



Portugal Country Report

EUFORI Study

European Foundations for
Research and Innovation

Raquel Campos Franco

Research and
innovation

EUROPEAN COMMISSION

Directorate-General for Research and Innovation

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1 Contextual Background

1.1 Historical background

The foundation sector is a relatively recent component of the Portuguese non-profit sector. However, the history of the Portuguese non-profit sector dates back to the birth of the nation, in the 12th century, when Catholic Church institutions already assisted, among others, the sick, the poor, pilgrims, orphans and foundlings. The culture of giving in Portugal has traditionally been deeply connected with the Church and people's expectations regarding a place in Heaven.

In the late 15th century, the monarchy and the Church, Queen Leonor widow of King John II and Father Miguel Contreiras, joined hands to create the *Misericórdias*,^[1] built to put into practice the works of mercy, the corporal and the spiritual. The *Misericórdias* are long-lasting organisations still active and relevant in the present.^[2] The oldest of them was founded in 1498, the *Santa Casa da Misericórdia de Lisboa*^[3] (www.scml.pt). The patrimony some of these institutions have been able to accumulate throughout the years came (and still comes) from the wills of individuals and families who relied on the *Misericórdias* to put them to good use. In parallel with these old institutions, there is a broad set of non-profit organizations - associations, foundations and cooperatives - mostly created after the 1974 revolution, when after a 4-decade-long dictatorship regime, the country saw a renaissance of the civil society movement, with a particular focus on the social welfare subsector (Franco, 2005 and Franco et al., 2005). The unusually large share of organisations that provide social assistance is a distinctive feature of the Portuguese non-profit sector in comparison to other countries (Salamon et al., 2012).

While there is no track record of quantitative data on the philanthropic tradition in Portugal, it is now possible to put the country into perspective in terms of the World Giving Index (CAF, 2013). In its last edition, Portugal ranked 71 out of a total of 135 countries, being better placed in terms of donations of money to charity (ranked 60), than in helping strangers (ranked 76) and finally in volunteering time to an organisation (ranked 81), the three components comprising the index. In a first pilot survey by the National Statistics Institute in 2012, 11.5 % of Portuguese people declared they had volunteered, which corresponds to about 1.4 million people doing volunteer work, or 1 % of the GDP (INE, 2013).

The first Civil Code to make reference to the new legal form of 'foundation' was published in 1867 (Franco, 2005) and it was the predecessor of the present Civil Code of 1966. Nevertheless, for decades, this sub-

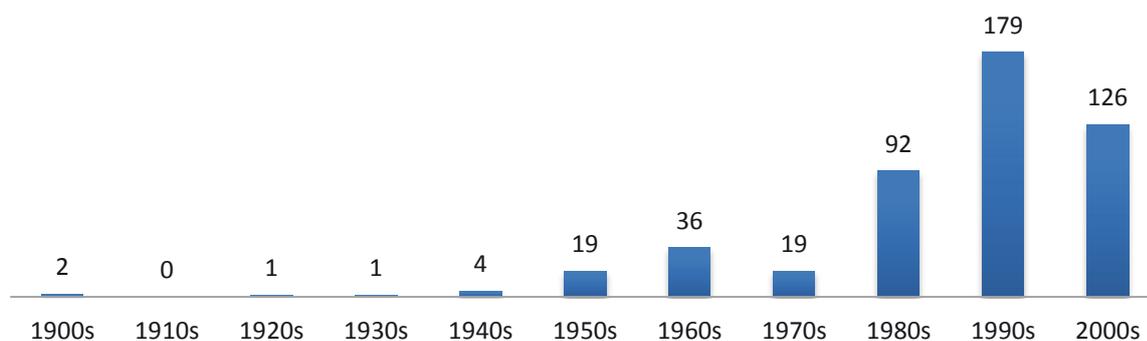
1 The history of the birth of the *Misericórdias* is not consensual. A different version refers only to the monarchy in this inception.

2 A total number of 398 active *Misericórdias* exist today, according to CASES, in <http://www.cases.pt/misericordias/bases-de-dados-de-misericordias>

3 This particular *Misericórdia* is the only one under administrative supervision from the Ministry of Social Security. Present status in <http://dre.pt/pdf1s/2008/12/23400/0862708638.pdf>

sector was not relevant in terms of numbers. In spite of insufficient data to create a precise landscape of the foundation sector in those early years, we know that a number of foundations only started showing signs of vitality in the 1950s. This growth lasted until the 1970s, when it slowed down due to the turbulent process of a country struggling to make the transition to democracy. Of particular note in the foundation world was the growth of the number of foundations that happened afterwards, during the 1980s and 1990s.

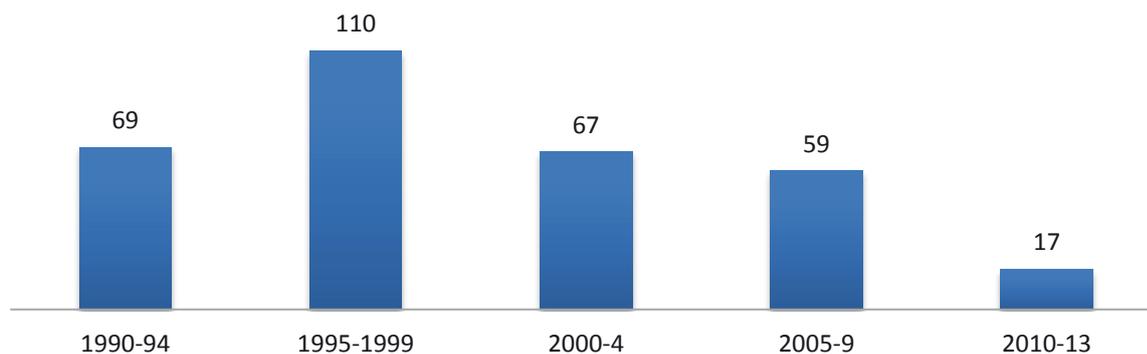
Figure 1: Number of new foundations in Portugal per decade



Source: PCM database, 2009, 2013; CPF, 1996, 2004

The 1990s were especially rich in terms of the creation of new foundations, particularly during the last 5 years of the decade. Among the reasons for this upsurge in the number of foundations might be the opportunistic use of the foundation’s legal status juridical form to establish public entities that would then remain outside the State budget and therefore be free from the usual obligations of public institutions in terms of hiring personnel and service adjudication. Another reason might be the growing awareness, in certain circles, of the practice of official approval for new foundations without sufficient patrimony, which was and is not in accordance with the law, but which has given rise to a set of foundations depending on public funds from their inception. Finally, another reason for the growth of the number of foundations during this particular period might have been the exploration of fiscal advantages, namely from companies, together with the opportunity for them to develop social and health-related goals in line with the emerging concept of corporate social responsibility.

Figure 2: Number of new foundations in Portugal per five-year period, 1990-2013



Source: PCM database, 2009, 2013; CPF, 1996, 2004

From the 2000s onwards, the number of new foundations has been diminishing, with a considerable drop in the last 4 years. A census and evaluation process targeting foundations and undertaken by the Portuguese government in 2012, partly triggered by the financial European crisis and the government's desire to cut State budget expenses, and probably guided by the results of an audit in 2010 undertaken by the Court of Auditors – Portugal (2010), was certainly among the reasons for this slowdown in the growth of the foundation sector. Public opinion's negative perception of foundations, partly a result of this evaluation process, may also have emerged as a dissuasive argument against the creation of new foundations in the last couple of years.

1.2 Legal and fiscal framework

At a European level, the legal status of foundations is a result of the national laws of each member state, as a European statute for foundations does not yet exist. This statute for a European Foundation could give rise to many benefits for the European Union (Vilar and Gonçalves, 2008) and for the field of R&I, as will be mentioned later.

The first legal framework for foundations to be considered in Portugal is the Civil Code. In the present Civil Code, the subject of 'foundations' is dealt with in Chapter 2 about Collective Persons, mostly in Section III. In this chapter, a Foundation is clearly identified as having to be of 'social interest,' which means that under the Portuguese legal framework it is not possible to create foundations with private interests. A foundation can be created either by the actions of living people or through a will, being necessary an official recognition of its goods.

A recent relevant framework for these institutions is the Foundations' 'Lei Quadro,'^[4] approved in 2012 by Law n. 24 on 9 July.^[5] This law, besides approving the 'Lei-Quadro,' introduced changes to the Civil Code. Among these was the obligation that the foundation statutes designate not only an administrative board (art. 162 Civil Code - CC), but also a supervisory board; transparency requisites were imposed concerning, for instance, statutes, annual reports and accounts, as well as supervisory board statements (arts 166, 185 CC). Also included were the clarification of the three main reasons for the denial of a recognition request (art. 188 CC); the conditions for the broadening of a foundation's scope through the initiative of an officially recognised entity (art. 190 CC); and the conditions for the merging of foundations (art. 190a CC).

The 'Lei-Quadro' clarifies the types of foundation recognised in Portugal:

- Private Foundations: the foundations created by one or more legal persons of Private Law, with or without public legal persons, if the latter, separately or together, do not detain a dominant influence over the new foundation. In this set of foundations, three special regimes are considered: Social Wel-

4 Lei nº 24/2012, 9.7 / Law n. 24/2012, *Lei Quadro das Fundações* / Foundations Law.

5 Another recent relevant law is the Basis Law for the Social Economy – Law n. 30/2013, 8.5.

fare Foundations ^[6], Cooperation for Development Foundations ^[7] and Foundations for the creation of private higher education establishments. ^[8]

- Public Foundations under Public Law: the foundations created exclusively by public legal persons, as well as funds created exclusively by public legal persons in the terms defined in the law of public institutes.
- Public Foundations under Private Law: the foundations created by one or more public legal persons, separately or together with private law legal persons, if the first, isolated or together, hold a dominant influence in the new foundation. Under the ‘Lei-Quadro’ new public foundations under private law cannot be created.

This ‘Lei-Quadro’ does not apply, among others, to public higher education institutions that are foundations, or to the Science and Technology Foundation (FCT), ^[9] which is a Public Institution created by a specific Law Decree. Foundations created by religious organisations are to be regulated by the Law of Religious Freedom ^[10] and the *Concordata* ^[11] between the Portuguese Republic and the Holy Faith.

When in its project phase, the ‘Lei Quadro’ was highly controversial, and the sector had the chance to put forward its points of view, namely in a hearing in a Parliamentary Commission (CPF, 2012). The dialogue with this sector resulted in some changes to the final content of the Law. An especially controversial innovation introduced by this Law was the obligation that foundations ask for a renewal of their public utility statute every 5 years, an obligation not imposed on any other type of non-profit institutions. Approved in 2012, the Law introduced, among many other things, the obligation that foundations approve and make public their codes of conduct (art. 7 ‘Lei Quadro’ - LQ), several disclosure duties (art. 9 LQ) and the limitations to their expenses (art. 10 LQ). The Law also demanded that foundations adjust their statutes to the new legal regime. The ‘Lei Quadro’ established the definition of a foundation: a legal person that is not-for-profit, that holds sufficient patrimony, and that is irrevocably allocated to the prosecution of a social interest (art. 3. n.1 - LQ). The social interest is outlined in the number that follows, within the same article. ^[12]

6 *Fundações de Solidariedade Social*, belonging to the set of organisations holding IPSS status – *Instituições Particulares de Solidariedade Social* (Private Institutions of Social Welfare), Law Decree n. 119/1983, 25.02.

7 *Fundações de Cooperação para o Desenvolvimento*, regulated by the Statute of Non-Governmental Organisations, defined by the Law n. 66/98, 14.10.

8 These ‘*Regimes Especiais*’ (‘Special Regimes’) are included in a specific chapter (chapter II) of the ‘Lei-Quadro’ that deals with specific types of foundation that already have specific legislations determining their creation and functioning. It is not intended as a limitation to the scope of activity of Portuguese foundations.

9 *Fundação para a Ciência e a Tecnologia* is a very relevant institution in the field of Research and Development in Portugal (http://www.fct.pt/documentos/Lei_Organica_2013.pdf). It is a public institution involved in the indirect administration of the State, and having administrative and financial autonomy as well as its own property. It fulfils roles given by the Ministry of Education and Science.

10 Law n. 16/2001, 22.06.

11 Articles n. 10 and the following.

12 Some examples, with no specific criteria of choice: assistance to people with learning disabilities, assistance to victims of violence, poverty prevention and eradication, cultural promotion etc.

Concerning the fiscal duties of foundations, there is no specific legal framework in Portugal, and the fiscal conditions are not uniform - for instance, there are some foundations with a public utility statute and others that do not have one. Foundations come under the concept of 'Passive Subject of Tax on the Collective Income.'^[13] Foundations that are granted the status of 'public utility',^[14] defined in the 'Lei-Quadro' (art 24. LQ), hold it for five years (after which a new request must be submitted); according to the Tax Code for the Income of Collective Persons^[15] (art 10. CIRC), and after requesting from and subsequent approval by the Ministry of Finance, they can benefit from corporate income tax exemption. Foundations can also benefit from other fiscal exemptions under the Statute of Fiscal Benefits,^[16] or other legal clauses.^[17] With regard to donors, tax deductions exist and are regulated by the Statute of Fiscal Benefits.^[18]

1.3 The foundation landscape

At present, it is estimated that the total number of Portuguese foundations is around 800 (Portuguese government, 2012). These include civil foundations^[19] as well as foundations created under the *Concordata* and Canon Law, the former representing around 75 % of the total.^[20]

The only official database publicly available is from the General Secretary of the Council of Ministers Presidency,^[21] which contains the denominations together with the legal diploma references and dates of recognition, listing more than 500 foundations. From a census^[22] which the Portuguese government did on the population of foundations in 2012, a total of 558 responses were received. It was in the aftermath of this census, which was not without controversy due to, among other things, the subsequent evaluation criteria, that the government issued a Resolution^[23] which contained decisions on cutting back financial support from the State for specific listed foundations, together with foundations that were to lose their

13 *Sujeito passivo de Imposto sobre o Rendimento Coletivo.*

14 The designation of 'public utility' can be attributed to private collective bodies – associations or foundations – that pursue non-profit aims of general interest and which cooperate with the central or local administration, in a way to earn that designation - Regulated by the Law Decree n. 460/77, 7.11.

15 *Código do IRC.*

16 *Estatuto dos Benefícios Fiscais* (EBF), last updated by Law n. 83-C/2013, 31.12. For instance, concerning real estate used for the purposes of a foundation's activities (art. 44 of the EBF: exemptions on IMI – *Imposto Municipal sobre Imóveis* / Municipal Tax on Real Estate).

17 Eg. *Imposto de Selo* / Stamp Tax, art 6. Stamp Tax Code; *IVA – Imposto sobre Valor Acrescentado* / Value Added Tax (VAT), Chapter II VAT Code; *IMT - Imposto sobre Transmissões de Imóveis* / Tax on Real Estate Transactions (TRET), art. 6 TRET Code.

18 *Estatuto dos Benefícios Fiscais*, Chapter X.

19 Foundations created under Civil Law and not Canon Law.

20 CPF interview.

21 *Secretaria Geral da Presidência do Conselho de Ministros* database, found in: <http://www2.sg.pcm.gov.pt/geupf/FullAccess/ListaEntidades.aspx?ReqType=2>

22 Integrated in the *Plano de Redução e Melhoria da Administração Central* (PRE-MAC) – Plan of Reduction and Central Administration Improvement, and was aimed at 'evaluating the cost-benefit and financial feasibility and decide about its maintenance or extinction, about the continuity, reduction or cessation of financial support, as well as about the maintenance of the public utility status'. (Law n.1/2012, 3rd of January).

23 *Resolução do Conselho de Ministros*, 79A/2012, 25 de Setembro / Council of Ministers Resolution, 79A/2012, 25.09.

public utility status, foundations that were to be dissolved and others whose dissolution was recommended.

The umbrella organisation for foundations is the Portuguese Foundations Centre ^[24] (CPF), created in 1993 as a private association, which currently represents 150 foundations. The Centre was created on the initiative of the *Eng. António de Almeida Foundation*, the Calouste Gulbenkian Foundation and the Oriente Foundation, as a response to the need for a platform that would work as a unique interlocutor with the State and other civil society organisations. Within the scope of its international relations, the CPF has a cooperation agreement with the Asociación Española de Fundaciones, and a close relationship with the European Foundation Centre (EFC), the Donors and Foundations Networks in Europe (DAFNE) and the Worldwide Initiatives for Grantmaker Support (WINGS).

In the absence of a complete and detailed database of foundations, it is nevertheless possible to understand that the sphere of Portuguese foundations constitutes a small number of large foundations, a considerable number of medium foundations and a very large number of small foundations. A large proportion of the existing foundations are social welfare organisations – estimated to be over 200. The Calouste Gulbenkian Foundation, established in 1956, ^[25] stands out among Portuguese foundations, with total assets of EUR 3 131 756 000 and total expenses of EUR 111 663 427 in 2012.

Portuguese foundations are devoted to areas such as science, culture, education, social welfare and so on. In Portugal, the field of Research and Innovation (R&I) in the foundation sector is not organised as such, and no umbrella organisation exists to represent those specific foundations. R&I can be part of or the only grant-giving or award-giving activities of small, medium or large foundations, or part of the operations of unusually large foundations.

For the relevance of their activities in the field of R&I, two foundations that are the only ones integrated into the official organogram of the National System of Innovation (FCT, 2013), will be introduced here with regard to their R&I-related activities – the Calouste Gulbenkian and Champalimaud Foundations. During the decades of dictatorship, the role of the Calouste Gulbenkian Foundation was fundamental in the education and development of scientists through scholarships for study abroad, and in providing grants for the acquisition of health equipment by public hospitals. Gulbenkian is also an operating research foundation through the *Instituto Gulbenkian de Ciência* (IGC), created in 1961 as a non-university multidisciplinary research centre. The Champalimaud Foundation, created in 2005, elected three areas of activity in research and research support – neuroscience, oncology and blindness prevention – the latter with an annual prize of EUR 1 000 000 for cutting edge research and prevention programs.

1.4 Research/innovation funding in Portugal

According to the European Commission's country profile on Research and Innovation performance (2013), 'Portugal has expanded its research and innovation system over the last decade, increasing its investment

24 *Centro Português de Fundações.*

25 Foundation created by the Law Decree n. 40690, 18.7.1956.

in research at a remarkable average annual growth rate of 7 % between 2000 and 2007. However, the R&D intensity in Portugal decreased by an average of 0.16 % from 2008 to 2011.²⁶

Between 2001 and 2012, ^[26] Portuguese expenses in Research and Development (R&D) as a percentage of the GDP almost doubled, rising from 0.77 % to 1.5 % (DGEEC, 2013), which is nevertheless still half the European 2020 target of 3 %. In 2011, the total expenditure on R&D in Portugal at current prices was EUR 2 606 130 000 and provisional data points to a small decrease in 2012, down to EUR 2 468 886 000€. Portugal is close to countries like Spain, the United Kingdom and Norway (Eurostat, 2012, R&D map), and is among the group of countries that have not yet been able to recover to pre-2009 levels (OECD, 2012). According to the Innovation Union Scoreboard classification, Portugal is a 'Moderate Innovator,' which means that its performance is below the EU average, on a par with Croatia, the Czech Republic, Greece, Hungary, Italy, Lithuania, Malta, Poland, Slovakia and Spain (European Commission, 2014). Within the group of Moderate Innovators, Italy is the top performer followed by the Czech Republic, which recently overtook Spain and Portugal. Nevertheless, in terms of growth, Portugal is, together with Estonia and Latvia, an innovation growth leader, and in the group of Moderate Innovators Portugal was the one that improved the most. The growth performance of these countries, including Portugal, is driven by strong growth according to specific indicators such as international scientific co-publications, R&D expenditure in the business sector, non-EU doctorate students and PCT patent applications (European Commission, 2014).

The sectors that represent a higher share of Portuguese expenditure on R&D are companies (47 %) and higher education (39 %) (DGEEC, 2013). The company sector has been a more active protagonist in the execution and financing of R&D activities, although its participation is still insufficient. The percentage of companies which are innovative in the service sector is higher than those in the innovation of goods and their introduction onto the market. The Portuguese economy has a profile specialising in low or medium technological intensity (FCT, 2013).

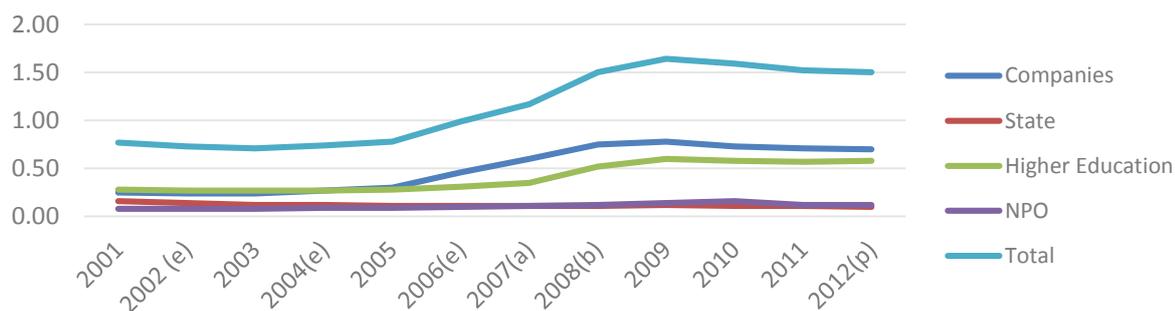
The share of the NPOs (non-profit organisations) in R&D expenditure (0.12 %), which includes private foundations, is low but surpassed the State's (0.11 %) in 2008. In 2012, companies represented 0.7 % of expenditure on R&D while higher education represented 0.58 %, with NPOs and the State showing the lowest levels, with 0.12 % and 0.10 %, respectively. ^[27] It is interesting to note that according to the Eurostat figures, Portugal has the highest levels of NPO expenditure in terms of percentage of GDP out of all the European countries, according to the available disaggregated data. ^[28]

26 Provisional data for 2012.

27 Provisional data, as shown in Fig. 3.

28 Eurostat Research and Development expenditure by sector of performance, available at: <http://epp.eurostat.ec.europa.eu/tgm/refreshTableAction.do;jsessionid=9ea7d07e30e5385157baf04f474aac1482fc7796e083.e34MbxSahmMa40LbNiMbxMc300e0?tab=table&plugin=1&pcode=tsc00001&language=en>

Figure 3: Expenditure on R&D in terms of percentage of GDP according to the sector of execution - 2001-2012(p)



Source: IPCTN12 – Provisional Results, DGEEC 2013 [29]

The number of researchers in Portugal has substantially risen over the last three decades. In the last decade the number of researchers rose from 17 725 in 2001 to 50 694 in 2012 (FTE). Researchers represent 9.3 % of the active population and are mostly concentrated in the higher education sector (30 185 FTE), followed by companies (12 117 FTE). Portuguese scientific output increased from 1 001 publications in 1990 to 13 897 in 2011. (DGEEC, 2013) The most significant change in the structure of Portuguese scientific output per area (2000-2010) in terms of the number of publications was that Medical Sciences and Health took the first place from the Exact Sciences (FCT, 2013).

A network of R&D units belonging to universities and State-managed autonomous research institutions make up the core of Portugal’s science and technology research output, and these are divided, according to the law, between State laboratories, which have been losing considerable weight in terms of the execution of their activities, other R&D public institutions, private R&D institutions and associated laboratories. [30] According to the FCT, R&D in Portugal is carried out mostly by research units and associated laboratories. [31] R&D units are public or private non-profit institutions dedicated to scientific research and technological development and there are 293 registered in the FCT. Associated laboratories are R&D institutions (public or private non-profit) selected for their characteristics, which cooperate in the prosecution of a specific aim of governmental policy in the area of science and technology, and which are consulted on the definition of the programs and instruments of that policy. There were 26 associated laboratories in 2008.

There is no specific organisation for foundations operating in the field of R&D. The number of foundations operating in this field or financing it is relatively small, which is, in any case, consistent with the small dimensions of the whole foundation sector.

29 Notes on the graph: NPO – Non-profit Organisations; (a) In 2007 there was a first ‘breakdown of the series’, due to the enlargement and improvement of administrative sources; (b) In 2008 there was a second ‘breakdown of the series’ due to the articulation by the IPCTN with REBIDES; the numbers include not only R&D carried out by teachers but also students doing PhDs and Masters theses; (e) estimated values; (p) provisional data.

30 Juridical Regime of Scientific Research Institutions, Law Decree n. 127/99, 20.04.

31 Yet not including funds from the European Framework Program, started in 2014 and still under negotiation. (<http://www.fct.pt/apoios/unidades/>)

2 Data Collection

2.1 Identification of foundations supporting R&I

In Portugal there was and is no public list on R&I foundations. The only publicly available database of foundations intends to cover the whole sector and is the one provided online by the previously mentioned General Secretary of the Council of Ministers Presidency.^[32] In this list, information is limited to the name of the foundation, its date of recognition, the respective legal diploma and status (extinct, non-recognised, pending, archived and recognised). On 16 March 2013, this list consisted of 539 foundations.^[33] From this, those classified as 'extinct' and 'non-recognised' were taken off, resulting in a list of 452 foundations. The next task was to complete this information with data about the mission and the objectives of every foundation listed, as well as their contact details. Besides the Internet, the following other sources were used to complete the information on each foundation and to add 'new' foundations: individual reports produced during the evaluation process done by the Government in 2012; the database of the members of the CPF (covering about a quarter of the sector); and the database produced by the *Eng. António de Almeida Foundation*, also available online.

Following their evaluation of the foundations, the Portuguese Government dissolved a few of them, and recommended the dissolution of some others, a decision in some cases highly contested by those concerned, which led to a few eliminations from our database while this process was taking place.

A further process of elimination on the database was then undertaken, first to eliminate those foundations on which there was no information available about their purpose and whose contact details resulted in no actual contact, and finally to extract the ones dedicated to R&I, which would be our object of study. The database produced for a previous study, FOREMAP,^[34] was always present in order to confirm no R&I foundation was left out of the study. In FOREMAP a snowball strategy had been undertaken, as information on foundations back then was even scarcer than nowadays.

Eventually, a group of 87 R&I foundations was selected for the survey, using the above approach to pro-

32 This *Secretaria* has a mission to guarantee and coordinate the juridical, informative, technical and administrative support to the Presidency of the Council of Ministers (PCM), and also to guarantee the functions of inspection and auditing through the appreciation of the legality and regularity of the acts practised by the PCM services and entities, or to be subject to the tutelage of the Government members integrated in the PCM, as well as to evaluate its management and results.

33 Considerably fewer than the 800 foundations estimated to exist in Portugal – for instance in the Evaluation Report issued in 2012 (Governo de Portugal, 2012), although it was also acknowledged that there were many with no activity, which was advanced as a justification for the non-participation of around 200 foundations in the census (558 answered the survey, 401 were evaluable, but some were not within the focus of this census – those with IPSS status attributed to social welfare organisations under certain conditions – and finally 190 were evaluated).

34 The Foremap (FOundations REsearch and MAPping) Project was the first attempt to systematically document the foundations' contribution to research in Europe (EFC, 2009).

duce the most complete set possible, and according to the information available. It was admitted as a possibility that a few foundations would be self-eliminated when responding to the survey, as in some cases their inclusion in the dataset arose from a wide interpretation of the mission communicated by the foundation, and therefore R&I, although one possible field of intervention, did not materialise in practice.

2.2 The survey

A total of 87 foundations received an invitation to participate in the survey, 71 ^[35] by email and 16 by ordinary mail. In both cases, letter and email, a letter of endorsement written by Prof. João Caraça from the Calouste Gulbenkian Foundation ^[36] was attached. In order to increase the response rate, first email reminders were sent and telephone calls were made, and finally a shorter version of the questionnaire was sent by email.

A total of 28 foundations started the questionnaire online. Of these, 1 quit immediately at the start and 7 responded negatively to the question 'support/operate in R&I'. In the end 20 foundations' sets of answers were analysed. ^[37] ^[38]

2.3 The interviews

The CPF was an essential source of information for this work, with a major interview conducted with its Secretary General ^[39] and several information exchanges afterwards, in order for a clear understanding of the field of R&I in the domain of the Portuguese foundation sector activity. The main subjects covered were: origins of funds and the role of the State/EU, different roles for different players, partnerships, activities abroad and prominent practices.

The group of foundations supporting R&I in Portugal in a significant way is relatively small but is comprised of very large and impactful foundations. All large Portuguese foundations disclose a lot of information, which was very relevant for this study. Nevertheless, two major interviews with two important players were conducted for a deeper understanding of a few issues. The first one was in the Calouste Gulbenkian Foundation, with the Director of the Paris Delegation, former Director of the Science Service in the Gulbenkian Foundation. ^[40] Gulbenkian is unavoidable in such a study, given its dimensions, translated here as 75 % of the reported expenses, 48 % of the reported expenses in research, 44 % of the reported expenses in research and innovation, 91 % of the total reported income and 73 % of the reported assets. The other interview was conducted in the Luso-American Foundation (FLAD), with the Director of Science, Technology and Innovation and of Transatlantic Relations and Public Policy, and the Director of Culture and

35 One of these was eliminated afterwards when it was clear its nationality was not Portuguese.

36 Former Director of the Gulbenkian Science Service and presently Director of the Paris Delegation of the foundation.

37 One of these answered just one question.

38 In Foremap, a snowball strategy was used and 12 foundations were studied. In the present study, a different strategy was adopted because more reliable information was expected due to the census and evaluation process in 2012. A longer list was produced but the set of foundations answering was only slightly higher (from 12 to 20).

39 Mário Curveira Santos.

40 João Caraça.

Art. FLAD is the next oldest foundation after the top five in terms of expenses in R&I and is an interesting case of an entity pushing for research and innovation in Portugal, facilitating links with top US research centres and universities since the 1980s. For both foundations, the most relevant topics covered were: the historical background of the foundation; the foundation today – present and recent past support for R&I and the reasons, impact evaluation, specific practices, success stories and the roles played by the foundation; future perspectives on the support of R&I; the origins of funds and the role of the State/EU; different roles for different players; partnerships; activities abroad and prominent practices.

A recent diagnosis of the Research and Innovation System in Portugal was also a relevant source of information for the state of R&I in Portugal, where the public sphere plays a very relevant role.

3 Results

3.1 Types of foundation

In Portugal, the field of R&I is mostly dominated by companies and higher education. Research units and associated laboratories undertake most of the scientific research in Portugal, most of them being hosted by universities. Foundations fit in the NPO (non-profit) share of R&D presented before, which means they play a small role in comparison to other players. Nevertheless, this role is highly relevant for the people and projects they support, and taking into consideration the sample of foundations taken in Portugal, we are looking at almost 50 million Euros in expenses in R&I. Most foundations surveyed support research or both research and innovation, but they do it as a main but not exclusive focus.

The role played in the field of R&D is mostly of an operating nature for the majority of the foundations who answered, while 'grant-making' and 'both grant-making and operating' make up a similar percentage.

Figure 4: Types of foundation according to research and/or innovation
As a percentage of the total number of foundations (N=19)

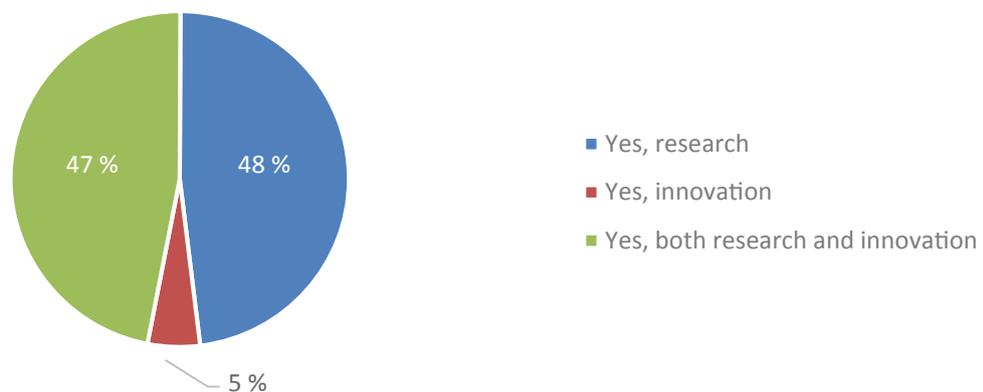


Figure 5: Types of foundation according to purpose
As a percentage of the total number of foundations (N=12)

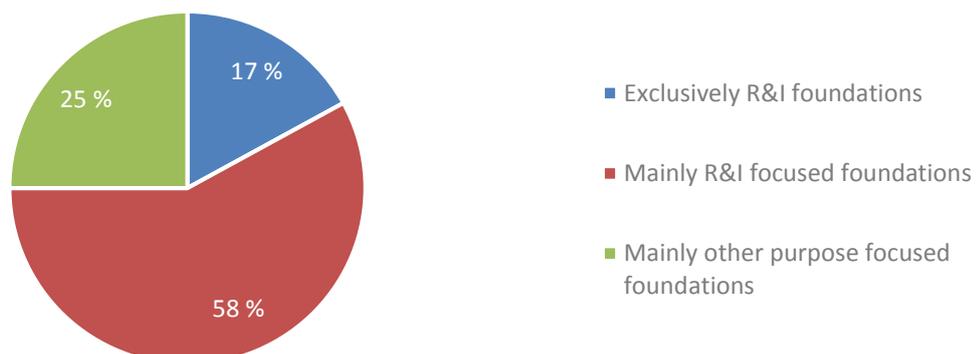
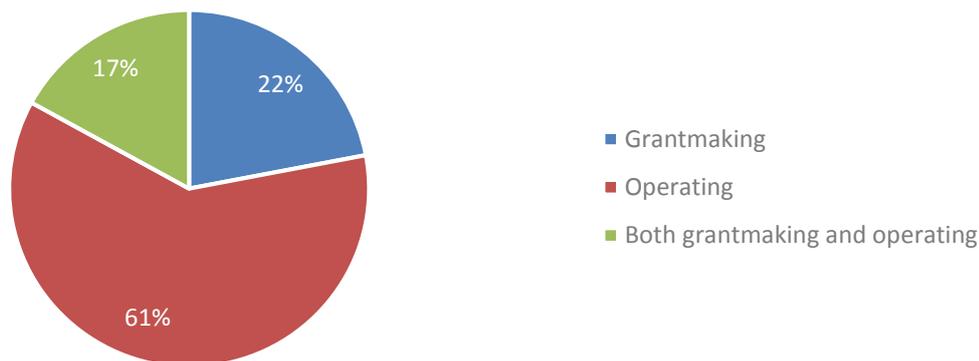
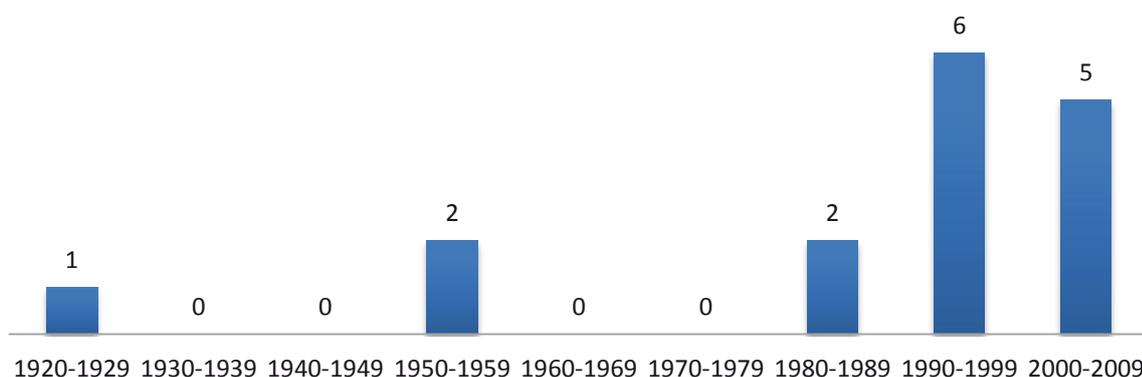


Figure 6: Types of foundation: grant-making versus operating
As a percentage of the total number of foundations (N=18)



The sample of foundations is comprised mostly of recent or very recent foundations, with the exception of two created before the 1960s.

Figure 7: Types of foundation according to the year of establishment
Number of foundations by decade (N=16)



It is important to note that the foundations we surveyed are private foundations, but R&D&I in Portugal is mostly supported by a very relevant public institution already mentioned in 1.2, which although it contains the name ‘foundation’ in its title, is really a public institution – the Fundação para a Ciência e Tecnologia (FCT). ^[41] ^[42]

3.2 Origins of funds

3.2.1 Financial founders

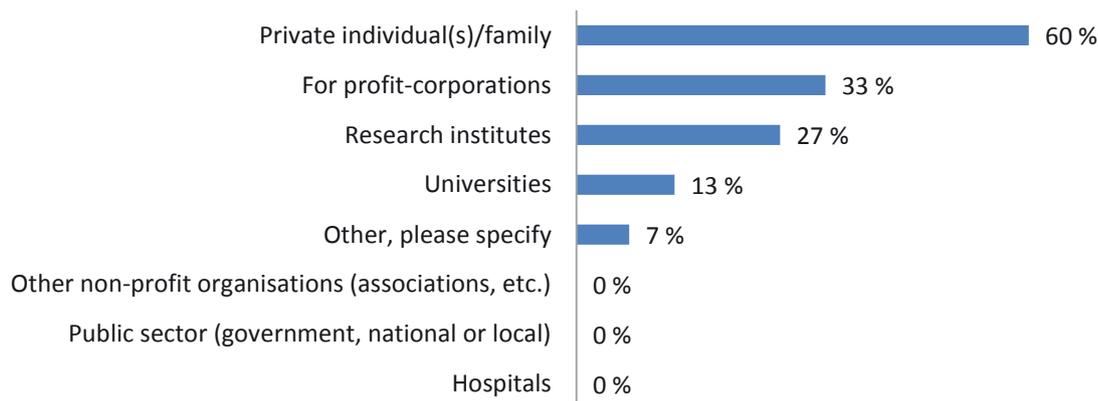
The financial founders of most foundations surveyed were individuals or families, but corporations are also present in significant numbers. The categories with null responses were intentionally included to highlight a reality that has no expression in the country. As mentioned in the context chapter (point 1.2) the ‘Lei-Quadro’ prohibits the creation of new public foundations under private law, a type of institution that, although not depicted in these results, still exists.

41 http://www.fct.pt/documentos/Lei_Organica_2013.pdf

42 With a budget of around EUR 463 million in 2014 (<https://www.fct.pt/fct/>)

Figure 8: Financial founders

As a percentage of the total number of foundations, multiple answers possible (N=15)



3.2.2 Income

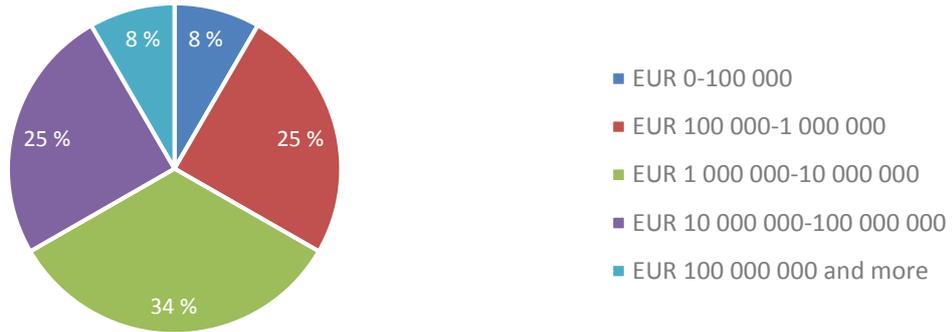
The diversity of foundations in terms of income is evident in the ranking we obtained, topped by the Calouste Gulbenkian Foundation with EUR 742 million, and followed by Champalimaud, with 22 times less than that amount. These are two very different foundations, although both play a relevant role in the field of R&D in Portugal and abroad. The Gulbenkian Foundation was established in 1956, and in accordance with the will of Calouste Sarkis Gulbenkian, a rich Armenian businessman who fell in love with Lisbon when fleeing the war, it was created with four statutory aims that remain to the present day – Art, Beneficence, Science and Education. Science has therefore been at the heart of the Gulbenkian Foundation since its inception, and while in the beginning this was mostly a grant-making activity, through grants for the acquisition of health equipment and scholarships for graduate studies abroad, in 1961 the foundation founded the Gulbenkian Science Institute (IGC).^[43] First with a wide scope of activity, the IGC more recently narrowed down its aims to four main fields of research in the area of Biology.^[44] The Institute secures 70 % of its budget through competitive grant awards from national and international, public and private funding agencies. The IGC researchers have been able to guarantee 300 grants since 2004, through institutions such as the FCT (206) and the EU Framework Programmes (53), totalling EUR 6.77 million in 2012 (including awards – FCG, 2013). For many years the Gulbenkian Foundation had a Science Service, a department devoted mainly to the dissemination of science. Presently, the scientific field in the Gulbenkian Foundation has, in addition to the IGC, two other main areas of intervention, or programs, somewhat connected with science – Innovating in Health, and Educating for Culture and Science. The Gulbenkian and Champalimaud foundations have been collaborating since the latter was created in 2005: for five years the IGC incorporated the Champalimaud Institute until 2012, promoter of the Champalimaud Neuroscience Program, one of the main units in the Champalimaud Foundation.

43 Instituto Gulbenkian de Ciência.

44 Cell & Developmental Biology, Quantitative Biology, Immunobiology and Evolutionary Biology (IGC, 2013).

Figure 9: Total income according to category in Euros, 2012

As a percentage of the total number of foundations (N=12)



Statistics on income	
Number of foundations	12
Mean in Euros	68 154 058
Median in Euros	3 643 432
Total Income in Euros	817 848 696
Total without Calouste Gulbenkian Foundation	75 848 696

The income from endowments is a source of income for the majority of the foundations surveyed, followed in smaller numbers by service fees and sales, and donations from individuals. Money is by far the most common source of the original endowment, followed by property.

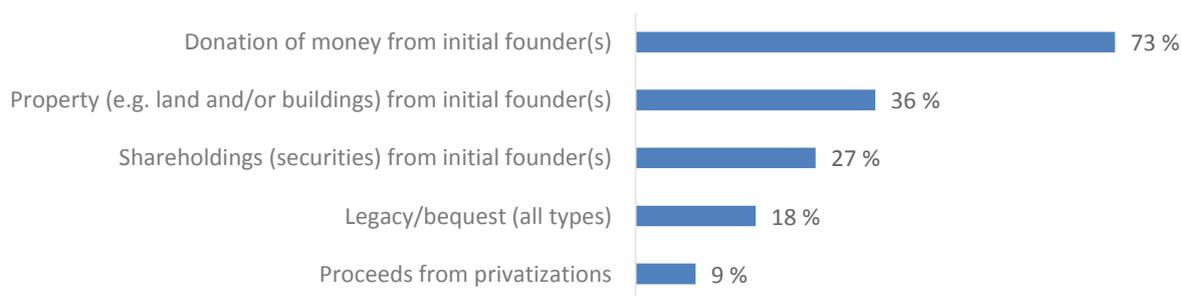
Figure 10: Sources of income

As a percentage of the total number of foundations, multiple answers possible (N=15)



Figure 11: Sources of the original endowment

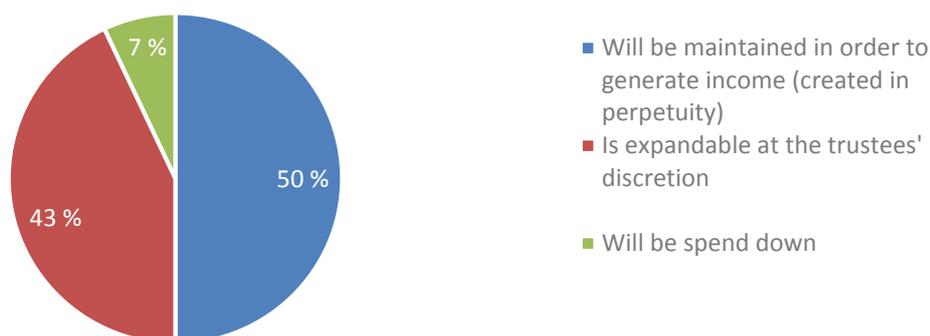
Number of foundations per source (N=11)



In spite of the financial crisis, half the foundations stated that their endowments would be maintained, while most of the others would expand them at the trustees' discretion. Only one foundation planned to cut back its endowment.

Figure 12: Future perspectives on endowments

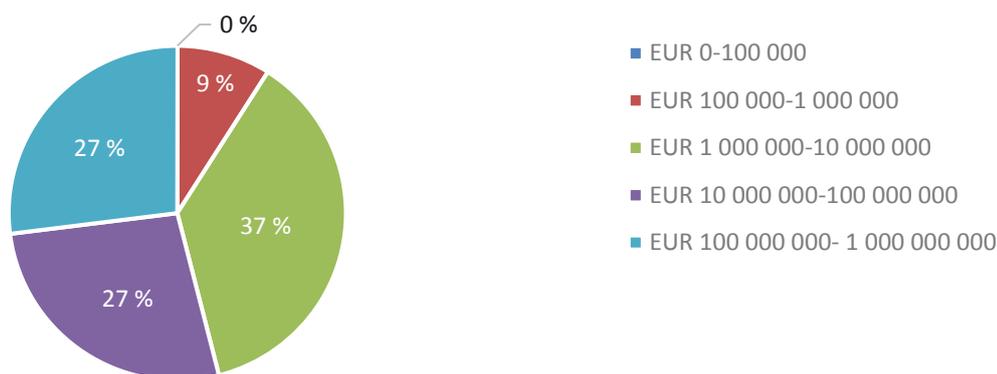
As a percentage of the total number of foundations (N=14)



3.2.3 Assets

The answers on the total assets reinforced the diversity within the group of foundations who responded. Once again the Gulbenkian Foundation stands out as the biggest foundation, with total assets of EUR 3.131 billion followed by Champalimaud with EUR 647 million; the 11 respondent foundations are responsible for EUR 3.997 billion of total assets.

Figure 13: Total assets according to category in Euros, 2012
As a percentage of the total number of foundations (N=11)



Statistics on assets	
Number of foundations	11
Mean in Euros	363 391 755
Median in Euros	10 000 000
Total assets in Euros	3 997 309 303
Total without Calouste Gulbenkian Foundation	865 553 303

Among the foundations disclosing information on the types of asset (n=9), all specified their current assets as being their total assets. In seven of the cases, the amount of current assets was superior to the other types of asset mentioned. Four foundations mentioned their fixed assets as another component, with values of between 10 % and 90 %. Another three foundations mentioned other types of fund, from the small amount of 0.34 % and up to 46 %. The two foundations that have long-term investment in securities, disclosed a high percentage in those, 89 % and 90 %; one of them being a small foundation and the other a large foundation (ranking 3rd in terms of total assets and 4th in terms of total income).

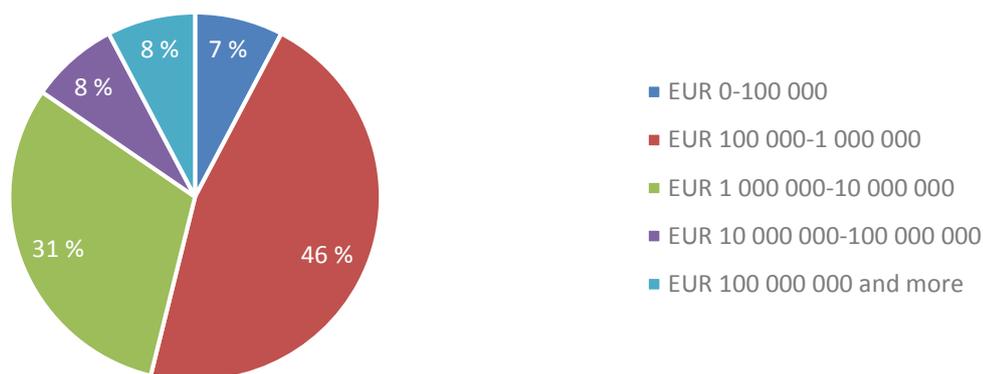
3.3 Expenditure

3.3.1 Total expenditure

The expenditure of the answering foundations totalled more than EUR 149 million, with an average of 22 % going to research and 11 % to innovation. Once again, the Gulbenkian Foundation leads the rankings, with about 75 % of the total reported expenses. Out of these foundations, only two declared higher expenditure on innovation than on research, one of them being the EDP foundation, a corporate foundation investing heavily in social innovation. The value of expenditure on 'other purposes' was 90 % for the Calouste Gulbenkian Foundation.

Figure 14: Total expenditure according to category in Euros, 2012

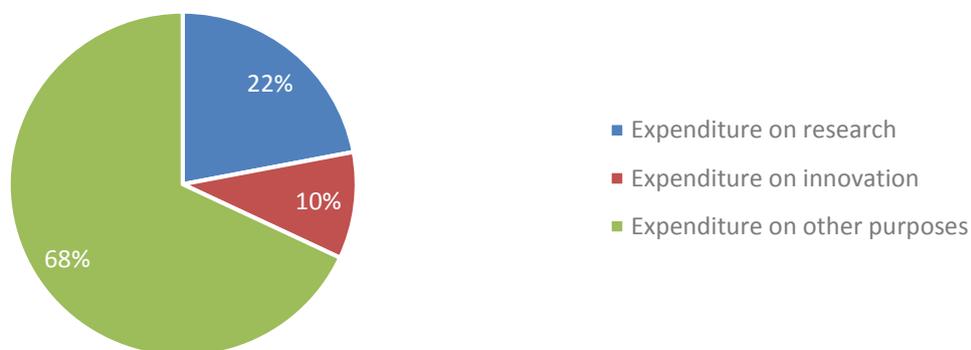
As a percentage of the total number of foundations (N=13)



Statistics on expenditure	
Number of foundations	13
Mean in Euros	13 569 008
Median in Euros	984 503
Total Expenditure in Euros	149 259 086
Total Expenditure without Calouste Gulbenkian Foundation	37 595 659

Figure 15: Distribution of total expenditure according to research, innovation and/or other purposes

As a percentage of the total known expenditure (N=12)



Expenditure	Euros
Research	32 399 904
Innovation	15 717 878
Other purposes	100 607 357
Unknown	533 946
Total Expenditure	149 259 086

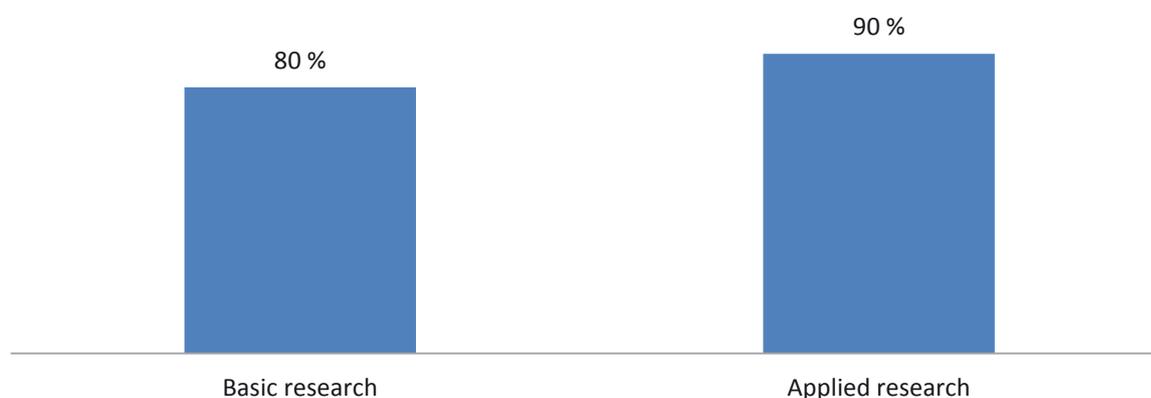
3.3.2 Research expenditure

Research expenditure includes expenses in the form of grants and operating costs. Of the seven answering foundations, six declared channelling most of their expenditure (61 % of the total) into grants and three into operating costs (39 % of the total). In terms of the distribution of expenditure between direct and research-related, there is great diversity within a small set of answers.

Distribution of expenditure on research; direct vs research-related	Euros
Direct research (N=8)	21 817 366
Research related (N=8)	5 931 469
Unknown	4 651 070
Total expenditure on research	32 399 904

Figure 16: Distribution of foundations' expenditure on research; basic vs applied

As a percentage of the total number of foundations (N=10)



Out of 11 answers on areas of research, ten foundations develop or support applied research and nine develop or support basic research, with a variety of answers.

Distribution of expenditure on research; basic vs applied	Euros	Percentage
Basic research (N=6)	6 557 835	20 %
Applied research (N=6)	7 277 736	22 %
Unknown	18 564 333	57 %
Total expenditure on research	32 399 904	100%

3.3.3 Innovation expenditure

Innovation expenditure can also take the form of grants and operating expenses. Three out of five foundations answered that expenditure on innovation took the form of grants (for one of them 100 %) and four out of five said that it took the form of operating costs (for two of them 100 %). In terms of value, 85 % of expenditure on innovation assumed the form of grants and 15 % their own operating costs.

3.3.4 Changes in expenditure

In spite of the economic crisis in Portugal, expenditure on R&I, compared with the previous fiscal year remained about the same for six out of eleven foundations and even increased in three foundations. In the next fiscal year six out of eleven foundations also expected to maintain the same level of expenditure on R&I, and four even considered increasing it.

Foundations have had different strategies for coping with the crisis, from a suspension of their asset allocation on the stock market and an increase in their capacity to generate their own revenue through sales (Champalimaud Foundation, 2013), to a careful control of their costs, to a reinforcement of the financial return on their investments (Gulbenkian Foundation, 2013), to a reduction in their costs as ways of getting the most out of their activities (FLAD interview).

Figure 17: Changes in expenditure on research and innovation compared to previous year
As a percentage of the total number of foundations (N=12)

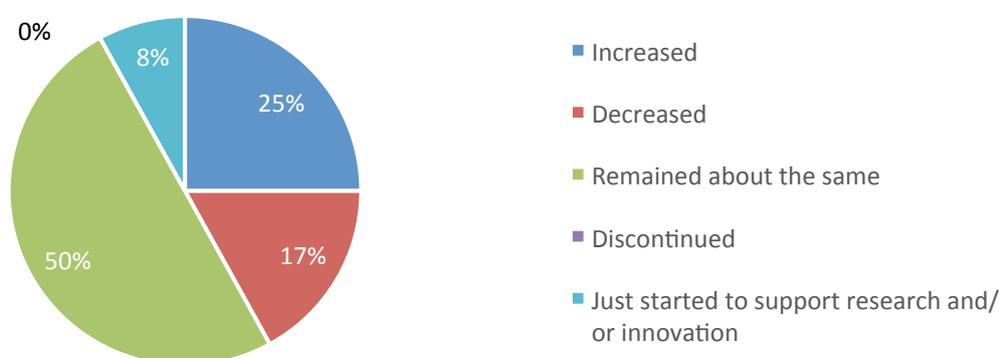


Figure 18: Changes in expenditure on research and innovation, expectations for next year

As a percentage of the total number of foundations (N=12)



3.4 Focus of support

3.4.1 Beneficiaries

Public higher education institutions received the highest number of affirmative answers concerning the beneficiaries of foundations' support (6/7). Individuals, private higher education institutions and research institutes were the choices that followed with the same number of answers (4/7).

As mentioned in 1.4, researchers are mostly concentrated on the higher education sector, which explains the numbers presented here. FCT is the main funder of the public research sector, and although foundations play a comparatively small role in the funding of R&I, they do it mostly through scholarships and awards.

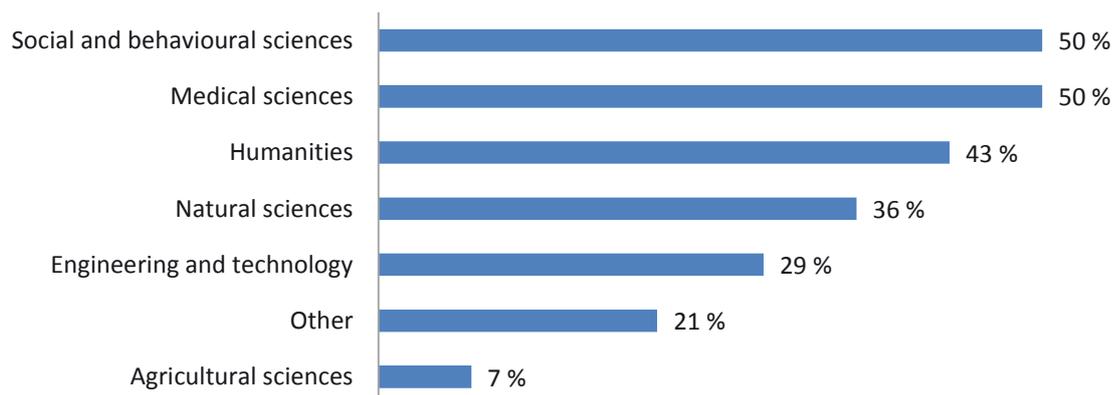
3.4.2 Research areas

Medical science emerged as the research area supported by more foundations in the answering group and with the highest percentage in terms of value – 84% of expenditure. This was closely followed by the field of social and behavioural science, and the humanities in terms of the number of answers, but the percentage of expenditure for each was very low and not comparable to what takes place in the field of medical science.

The majority of support for medical science is mainly thanks to the Champalimaud and Calouste Gulbenkian Foundations, which together represent 94 % of the expenditure reported in this field. A contribution to society through ground-breaking medical research was an essential part of the vision of António Champalimaud for the foundation he wanted to be created after his death. Science was one of the statutory aims defined in Calouste Gulbenkian's will, and since the inception of the foundation, medicine has been a priority area of support. Social science and the humanities have more recently emerged as growing areas of support in Portugal, as can be seen in the example of the creation in 2009 of the *Francisco Manuel dos Santos Foundation*, with their commitment to invest in research into Portuguese society and its major problems, and the dissemination of the results as a starting point for discussion in Portuguese civil society. Also, FLAD, which for years strongly supported the traditional sciences, recognised its growing share of support for the social sciences and humanities, which was a result not only of the pressure of demand, or constraints due to diminishing support from public sources, but also of the growing quality of Portuguese universities' research into social sciences.

Figure 19: Thematic research areas, 2012

As a percentage of the total number of foundations, multiple answers possible (N=14)



Expenditure	Euros
Natural sciences (N=3)	425 500
Engineering and technology (N=2)	309 500
Medical sciences (N=7)	21 034 118
Agricultural sciences (N=2)	150 000
Social and behavioural sciences (N=2)	228 800
Humanities (N=2)	230 700
Other (N=1)	2 600 000
Unknown	7 421 286
Total expenditure on research	32 399 904

3.4.3 Research-related activities

Infrastructure and equipment were the research-related activities undertaken by the majority of the answering foundations (6/7), followed by research mobility and career development (5/7) and then technology transfer (4/7).

The relatively high expenditure on technology transfer in this survey was due to the Champalimaud foundation's activities, which in order to complement intense research work in the oncological field, acquired a portfolio of patents that would allow its researchers and medical staff to develop new approaches for premature cancer diagnosis and more precise results for prognosis in each case. ^[45]

45 <http://www.fchampalimaud.org/pt/investigacao/investigacao-oncologica/>

Expenditure	Euros
Research-related activities (N=3)	748 000
Research mobility and career development (N=2)	304 336
Technology transfer (N=3)	1 598 000
Infrastructure and equipment (N=3)	563 894
Dissemination of research (N=1)	432 000
Unknown	2 285 239
Total expenditure on research-related activities	5 931 469

3.4.4 Changes in expenditure on research and research-related activities

Of the eleven respondent foundations, only one had changed the scope of the areas it supports, dropping its support for agriculture, in the past five years. Out of the three foundations that answered the challenge of ranking in order of importance (ie. research expenditure) the areas of their support in the past five years, two of them put medical science in first place, two put engineering and technology in second place, and two put natural sciences in third place. Changes in the last five years in research-related activities were minimal.

Out of the options in research-related activities, in the past five years the items that were considered most important (according to the amount of expenditure) were infrastructure and equipment, and technology transfer.

3.5 Geographical aspects of the activities

3.5.1 Geographical focus

Half of the answering foundations have a national focus, and 57 % of their R&I expenditure was spent on that same level. ‘Local’ or ‘regional’ were the following options, but with fewer choices and representing only 19 % of the total value. The three foundations operating on the European level or internationally admitted having difficulties with intellectual property rights (2) and legal and fiscal barriers (1).

A European Foundation Statute has been a long sought-after juridical framework for foundations operating or wishing to operate across borders within Europe. ^[46] The European Foundation Centre and Dafne have been fighting for its creation, acknowledging that foundations are indeed increasingly working across borders and that a European Statute would provide ‘a simple, optional legal tool to enable foundations to work more easily across Europe’ (EFC, 2013). There are numerous examples justifying its creation ^[47] some of which are relevant to Portuguese foundations. CPF shared during their interview that foundations were already intensively sharing knowledge across borders, but obstacles emerged when they attempted

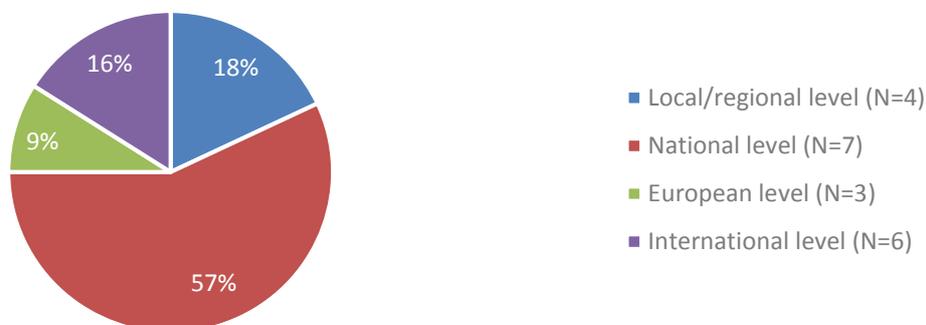
46 Expected in 2014, as in http://www.efc.be/programmes_services/resources/Documents/EFS_brochure_2012_FINAL.pdf

47 See http://www.efc.be/programmes_services/resources/Documents/TheCasesfortheEFS_updated.pdf. Also, for a summary of the process undertaken so far in pushing forward this statute see: http://www.efc.be/programmes_services/resources/Documents/2014_Fact%20sheet_EFS_Jan_def.pdf and http://www.efc.be/programmes_services/resources/Documents/2013EFSBriefHistory-Milestones.pdf

to implement joint projects, and they would have to face multiple bureaucratic challenges. Challenges also exist in the field of donations: for instance, if someone wants to make a donation to Gulbenkian in France, where it has a delegation, it would not be possible for the donor to benefit fiscally as this foundation is registered only in Portugal.

Figure 20: Geographical focus of support

As a percentage of the total (known) expenditure on research and/or innovation (N=10)



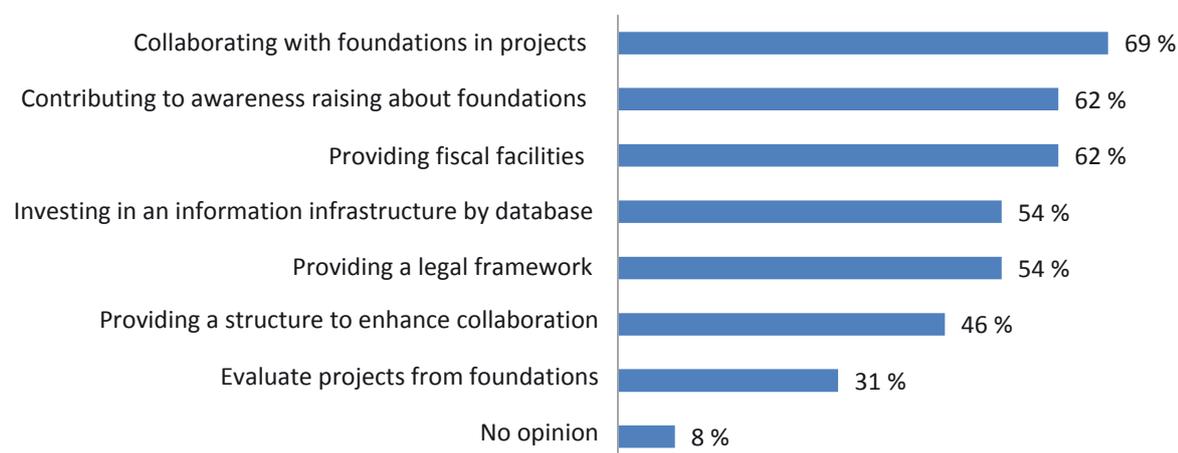
Geographical level	Euros
Local/Regional level (N=4)	6 347 383
National level (N=7)	19 569 413
European level (N=3)	2 939 619
International level (N=6)	5 496 297
Unknown	13 765 070
Total expenditure on R&I	48 117 782

3.5.2 The role of the European Union

A total of 13 foundations answered the question about the role of the EU in relation to foundations. Most of the roles suggested in the survey were chosen by more than half the foundations, with ‘collaboration with foundations in projects’ topping their answers.

Figure 21: Role of the European Union

As a percentage of the total number of foundations, multiple answers possible (N=13)

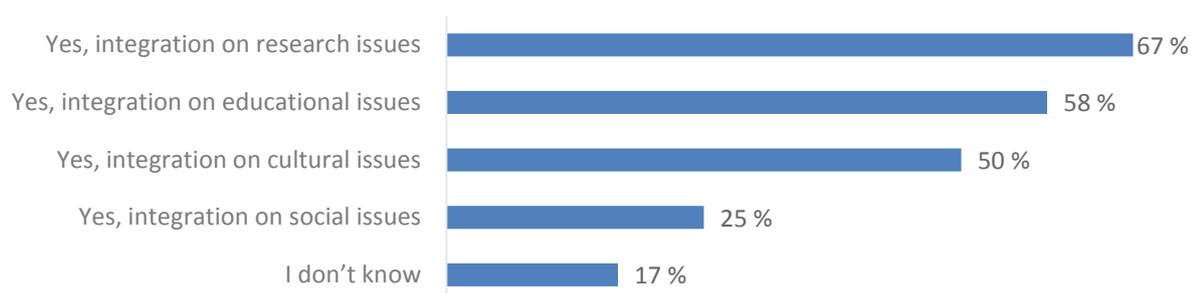


3.5.3 Contributions to European integration

The contributions of foundations to European integration are perceived as being specifically for the issues of research and education, followed by cultural issues. It is interesting to note that, although the respondent foundations operate mainly on a national and local level, which corresponds to the reality of the majority of Portuguese foundations, they still consider they contribute to EU integration. This may be due to the fact that Portuguese foundations benefit Portuguese society as a whole in several areas, pushing the country and the Portuguese society up to the EU average and even above average levels, therefore contributing to a deeper integration of the country and its population with the EU.

Figure 22: Contribution to European integration

As a percentage of the total number of foundations, multiple answers possible (N=12)



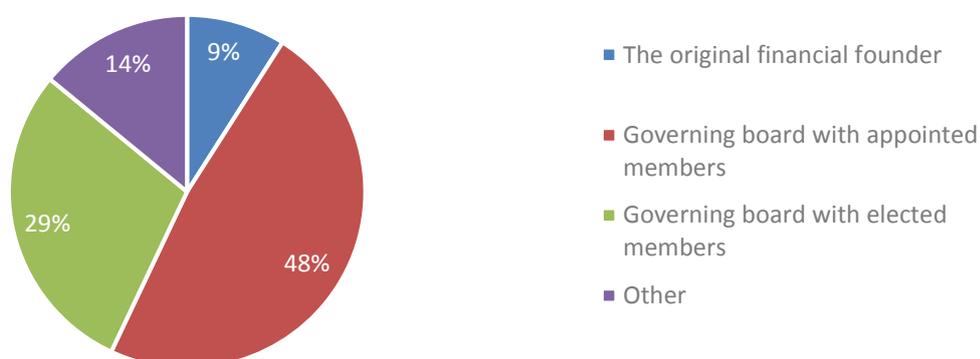
3.6 Foundations' operations and practices

3.6.1 Management of foundations

A governing board with appointed members is the most common option (48%) in terms of foundations' annual strategy.

Figure 23: Those defining annual strategy

As a percentage of the total number of foundations (N=16)



Most foundations have governing boards with three members, followed by those with five members. The number of members on the supervisory board is very diverse, ranging from foundations with three members (in four out of ten foundations) to one foundation with 38 members.

The answering foundations are almost divided in half on the issue of having professional staff. Out of those that do, and that have provided a number for their staff, foundations vary from 33 FTE to 462 FTE employees, with four foundations with four FTE employees or less.

Out of the foundations reporting no professional staff are the award- and grant-giving foundations with a narrow focus, as well as foundations created by other entities that support the daily activities of the foundation. Foundations in Portugal, as mentioned previously, are mostly small and relatively new, as we can see in Figs. 1 and 2 in Chapter 1. These foundations have acknowledged the unavoidable need to develop a clear vision and an adequate and transparent management, together with a commitment to accountability – the census, the subsequent evaluation process and the ‘Lei Quadro’ have all played their roles in making this necessary. The CPF’s commitment to the professionalisation of management in the foundation sector is not new, and in 2013 it created a Competences Centre for the Foundation Sector, in partnership with the universities.

3.6.2 How do grant-making foundations support research?

In terms of foundations’ support for research, evaluation seems to play a relevant role for seven of the answering foundations. Demanding evidence on how grants are spent after the projects have been completed (all answering ‘often/always’), and conducting their own evaluations on whether the grant was successful or not (5/7 answering ‘often/always’, and 2/7 ‘sometimes’) are both common actions. The data gathered for this study were insufficient to support a generalisation of these results for the area we are under analysis. There are signs, though, that a culture of demand for results supported by evaluation is growing in the foundation world. Long-term support, giving ‘small grants to many’ rather than ‘large grants to a few’, and proactively searching for projects are on the next (lower) level in the ranking of importance (5/7 of foundations answering ‘often/always’).

3.6.3 Engagement in partnerships

All the foundations were involved in some kind of partnership, with universities being the most common partner (5/6), followed in equal measure by companies, other non-profits, research institutes and other foundations (3/6).

The main reason for foundations to engage in partnerships is to pool their expertise and/or share their infrastructure (5/6). Creating economies of scale, expanding their activities and increasing their impact were the other reasons mentioned immediately afterwards (4/6).

According to the CPF, partnerships are not a minor issue. A project’s scale often demands greater resources and reality dictates that partnerships become inevitable. Larger foundations have more experience, but even for them managing partnerships tends to be a challenge.

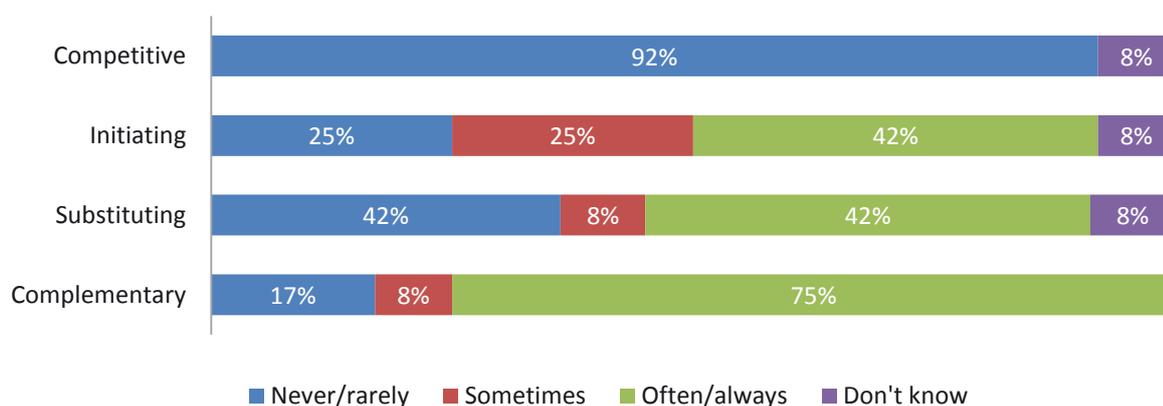
3.7 Roles and motivations

3.7.1 Roles

Most foundations perceive their role in R&I as being mostly 'complementary' and 'never' or 'almost never' as 'competitive'. Moreover, 'initiating' was admitted by five foundations as being 'almost always' or 'always'.

Figure 24: Roles of foundations

As a percentage of the total number of foundations by role (N=12)



3.7.2 Motivations ^[48]

As explained by the CPF interviewee, there is a structural aspect in Portuguese foundations' interventions – which is knowledge. Foundations promote the advancement of knowledge through their own activities or by supporting others; *knowledge* in the fields of science, culture, the environment, social relations and so on.

Research and innovation emerges as an area of activity in foundations, either through grants or awards, or through operations, as part of their motivation to promote the advancement of knowledge and to contribute to the development of Portuguese society and/or of humanity. When instituted by a person or family, their motivations are understandably connected to the wills of their founders and contribute in that way to the public good. Using as a reference the top five R&I foundations and two of the lowest in terms of their ranking for expenditure, it is possible to understand what motivates foundations in this field.

In the case of the Calouste Gulbenkian Foundation, 'since its first activities, in the 1950s, the Foundation responded to the most urgent needs of the Portuguese society'. ^[49] This was the period of the foundation's first interventions in several fields: education, scientific research, artistic education, cultural expression, public health and assistance to the most needy. But more recently, and 'with the progressive development of the country, its democratization and integration into the European Community, the role of the foundation was redefined.' The new priorities are not only Portuguese or Lusophones, but global; issues such as intercultural dialogue, migration and mobility, and the environment.

48 This subchapter relies mostly on the interviews conducted and public information (Internet sites, annual reports etc.).

49 www.gulbenkian.pt

Whereas in the beginning the motivation for R&I was mostly associated with the improvement of Portuguese society, as were the scholarships and grants for PhD and Post Doctoral Studies and the support for public hospitals for the acquisition of equipment, as well as the wider scope of the IGC 's activities, now the motivation for R&I is more focused on global priorities. Consistent with this, is the narrower focus of the IGC at present, and the re-organisation of the foundation (previously organised according to services, including museums) according to programs. These are created within a limited timeframe, and encapsulate a diverse range of activities – from pilot projects, to conferences and training courses, to shows and books editions, and so on. The old Science Service was also part of this restructuration, and integrated into a program with the name of 'Education for Culture and Science', devoted to the development of civil society, with a special but not exclusive focus on younger generations, as a way to improve integration and capacity-building in Portuguese civil society. One mention must be made to another program by the Calouste Gulbenkian Foundation – the Human Development Program. Its main purpose has been to support Portuguese society within the specific context of the economic and financial crisis. Among the projects it has supported are many examples of social innovation pilot projects and other projects, which are not only relevant per se, but also have a symbolic meaning attached to them which definitely is attracting more attention – and actions – in terms of the potential of social innovation in Portugal and the rest of the world. ^[50]

The EDP Foundation is the second foundation on the list of reported expenditure on R&I. This corporate foundation was created in 2004 by *EDP – Energias de Portugal, SA*. Among its strategic purposes are social innovation and science and education related to energy. As a corporate foundation, the choices of paths for the EDP Foundation to follow are ingrained in the business of the corporation behind it. It is one ambition that its business model should integrate social innovation, allowing the building of relationships with the communities it serves. So, in parallel with activities related to the dissemination of science, the EDP Foundation supports the development of social innovation models for the resolution of social problems, mainly through the Social Lab and the EDP Solidária.

The next foundation on the list of rankings for expenditure is Champalimaud. This very new foundation, created nine years ago, one year after the EDP Foundation, is motivated by the promotion of health and the well-being of humanity, actively seeking solutions that alleviate the burden of disease on society and individuals. This has led the foundation in different directions, most of them related to medical research.

The *Francisco Manuel dos Santos* Foundation, founded in 2009, made a breakthrough appearance into the Portuguese foundation landscape with a budget of around EUR 6 million to invest in social research, motivated by the will of its founder to instigate the participation of Portuguese civil society in an active debate on the resolution of the main problems of the country. As a way of attaining this end, the foundation has been supporting carefully designed research projects, publishing publications written by relevant experts in areas of importance for society, thereby disseminating knowledge, and via an innovative infor-

50 As examples: Arrebita! Porto (www.arrebita.org) and FAZ – Ideias de Origem Portuguesa (www.faz.com.pt), originally a Gulbenkian only project (and Arrebita was a winner in the first edition), now a partnership with the COTEC. Another very good example was the Immigrant Doctors Recognition Project, widely disseminated internationally. An ECCH case study is available at: <http://www.thecasecentre.org/educators/products/view?id=103263>

mation platform on the Internet, Pordata, ^[51] which aggregates quantitative information from different sources (such as the National Statistics Office) and simplifies it, thus making it accessible to the majority of the population.

Last out of the top five foundations in terms of R&I expenditure is the Luso-American Foundation. Created in the mid-eighties (1985) with an initial endowment from the Cooperation and Defense Agreement between Portugal and the United States, and surviving since 1992 exclusively on the income generated by those EUR 85 million, FLAD has as its mission to contribute to the development of Portuguese society. It supports projects that in some way connect Portuguese society with American society. Naturally, since its inception, many research projects undertaken by Portuguese researchers, individuals or in centres, have benefitted from FLAD's support for research to be undertaken in the US.

One of the lowest spenders on the list of rankings for R&I expenditure in this survey is *Fundação Amadeu Dias*, with their pioneering experience of private support for a university – the University of Lisbon. In fact, in Portugal there is no culture of philanthropy as there is in Anglo-Saxon countries. But this was not the case for Amadeu Dias, a recently deceased entrepreneur. The financial protocol, signed for the first time in 2007 and renewed in 2010, included scholarships for Masters' students at until at least 2013, ^[52] and in 2011 two additional protocols were signed – for awards of excellence for the best PhD thesis, and for event and conference support (Petronilho, 2011).

Another smaller foundation in the group in question is the Bial Foundation. Linked to a Portuguese pharmaceutical company with the same name, it was created in 1994 by this company together with the Council of Rectors of the Portuguese Universities. Firmly based on its president's motivation to contribute to the world of science, this foundation has as its mission the promotion of scientific study of human beings – both from physical and spiritual viewpoints. It promotes a major award for basic (EUR 200 000) and clinical research (EUR 100 000) while also awarding grants and organising a biannual symposium.

51 www.pordata.pt

52 *Bolsas Universidade de Lisboa/ Fundação Amadeu Dias.*

4 Innovative Examples

4.1 Successful partnerships

4.1.1 Successful partnership with a business association and an innovative project with a significant impact

COHiTEC, 2004-

The Luso American Foundation (FLAD)

Reason for inclusion: an internationally recognised innovative partnership project involved in the creation of technology-based companies.

COHiTEC is a training program concerned with technology sales, created in 2004 by COTEC Portugal in partnership with FLAD, and is in close cooperation with the North American universities North Carolina State University and Brown University. The program was developed in Porto and Lisbon, with the support of Porto Business School (from the University of Porto) and ISCTE (Lisbon University Institute). It is an example of a successful partnership between a foundation and a business association.

The mission of the program is to value the knowledge produced by Portuguese R&D institutions: the participating projects are based on technologies whose economic interest is evaluated for their potential for the creation of technology-based companies aimed at global markets.

For four months, multidisciplinary teams, composed of researchers, management students and managers, generate product ideas based on the participating technologies and prepare business plans that can sustain the viability of their development.

Since 2004, 123 projects have already participated in this program, with a total of 500 researchers and management students. 23 technology-based companies have been created.

The program received the Price Foundation Innovative Entrepreneurship Educators Award from Stanford University in 2006, and the teams from the COHiTEC program, invited by the University of Texas in Austin, have achieved outstanding places in the Idea to Product Competition (1st place in 2010, 2nd and 3rd places in 2008 and 2007).

Main sources: Eufori questionnaire, FLAD interview

4.1.2 A successful public-private partnership

Projeto CISA – Centro de Investigação em Saúde de Angola, 2010-

The CISA Project – Health Research Centre in Angola

The Calouste Gulbenkian Foundation

Reason for inclusion: This Centre is the result of an innovative partnership. The partnership includes a Portuguese foundation – Calouste Gulbenkian, a foreign Ministry and a Regional authority – the Angolan Health Ministry and the Provincial Government in Bengo, as well as a Portuguese public institute - Camões IP, with the aim of developing research in the healthcare field.

The purposes of this Centre are to:

- contribute to a better knowledge of diseases and health problems in Angola such as malaria, tuberculosis, AIDS, and neglected diseases such as schistosomiasis, filariasis and helminthiasis, and non-communicable diseases such as cardiovascular ones;
- and work as a catalyser of biomedical research involving Angolan researchers with researchers from other countries, namely Portugal.

Research activities began in 2010 and a total of ten research projects have since been embarked upon, with a total of four of these studies currently ongoing. These research projects have already resulted in a total of seven published scientific articles, with a further two publications in collaboration with other research institutions and one opinion article.

The projects completed so far are the following:

- A survey of the prevalence of malaria, schistosomiasis, intestinal parasitoses, anemia and malnutrition in children and women in Dande Municipality (Caxito, Úcuá and Mabubas), Angola.
- Arterial hypertension in an adult population sample in Bengo Province: its magnitude and conditioning factors.
- An evaluation of the impact of training health technicians on improving malaria laboratorial diagnostic quality.
- An intervention study on controlling schistosomiasis in children aged between two and fifteen in Dande Municipality.
- Traditional knowledge and the natural therapeutic resources of Bengo: ethno-botanical sampling.
- A study on the causal factors of diarrhoea in children aged under five treated at Bengo General Hospital.
- A study on the cardiovascular risk factors in an adult population sample in Bengo Province (with FESA funding support).

Main sources:

CPF interview, www.cisacaxito.org/en/

4.2 Projects engaging the public interest in research

Gripenet / Influenzanet, 2005-

www.gripenet.pt

Gulbenkian Science Institute (IGC) - Calouste Gulbenkian Foundation

Reason for inclusion: already a project suggested by Foremap, this project is still innovative in Portugal and Europe as a way of engaging the population in the monitoring of the evolution of influenza. With its origin in the Netherlands in 2003, researchers from the IGC initiated an international cooperation that led to the creation of the Portuguese project two years later.

Gripenet is an online monitoring system. The idea of monitoring seasonal influenza epidemics using the Internet and with the voluntary participation of citizens was born in the Netherlands in 2003. It was then extended to the Flemish Belgium, and its success led researchers from the Gulbenkian Science Institute to begin international cooperation and then create Gripenet in 2005.

Gripenet monitors influenza activity, collecting data from November to May each year, received voluntarily from citizens resident in Portugal and with an email account. The project's Internet site is open all year round with information about influenza.

Gripenet is financed by the Calouste Gulbenkian Foundation, and is a partner of Epiwork, sponsored by the Future and Emerging Technologies program of the European Community and proposing a multidisciplinary research effort aimed at developing the appropriate framework of tools and knowledge needed for the design of an epidemic forecast infrastructure.

Gripenet was distinguished by the Agência para a Modernização Administrativa (Agency for Administrative Modernization) as the best practice in the service of citizens.

Main sources:

www.gripenet.pt, www.epiwork.eu

Programa Novos Talentos em Matemática

The New Talents in Mathematics Program

Gulbenkian Science Service ^[53] - Calouste Gulbenkian Foundation

Reason for inclusion: a very innovative experience with the purpose of promoting the development of high potential young students in mathematics, offering the conditions to accelerate their development while infusing others with a zest for a specific area of knowledge.

With the aim of celebrating the International Year of Mathematics back in 2000, the *Programa Novos Talentos em Matemática* was born. It is still active today.

The main purpose of the program was to give a new generation of research candidates the possibility of making more informed decisions about their careers. The chosen target comprised first to third-year students studying for an undergraduate degree in mathematics.

The main objective of the program was to give each scholarship recipient the chance to work for a year with a recognised researcher; an opportunity to develop his/her capacities in a particularly stimulating environment. The objective, therefore, was to promote excellence through contact with excellence in the form of peers and globally recognised mathematicians.

From the first year 'Diagonal Seminars' were organised in schools with the largest number of scholarship recipients in sessions open to all students, and from the fourth year on 'Diagonal Schools' were created during the summer, allowing students (for instance young winners of the Portuguese Mathematics Olympics) and all those interested in complementing their scientific training with contact with high-level mathematicians. From the eighth year on the Program was open to students from other areas who showed an interest in mathematics and who could benefit from a more in-depth contact with the discipline. It was also in the 8th year that the Program became international, with visits from students to other countries to present their work.

During the 10 years of its existence, the Program accepted 519 candidacies, of whom 200 were selected. The following numbers of scholarships were offered: 67 for first-year students, 82 for second-year students, and 51 for third-year students.

The Program has helped raise the ambitions of a group of young and specially gifted students, still at a time when they are influenced on decisions concerning their future, such as entering a PhD program quickly. Another program from the Gulbenkian Foundation – Scientific Initiation Scholarships – initiated in 2007, has benefitted from the experience gained in the Programme Novos Talentos.

⁵³ As a result of a recent restructuring process, this Service was dissolved. Part of its functions resides now in the Education for Culture and Science Program.

In 2010, 18 students had already finished their PhDs either that year or in previous ones, and 26 were working on their PhDs.

Main sources:

The Gulbenkian interview; Gulbenkian (2010), O Gosto pela Matemática – uma Década de Talentos, Fundação Calouste Gulbenkian

4.3 Innovative projects

Molecular and Systems Pathology

The Champalimaud Foundation

Reason for inclusion: ground-breaking research in the area of medicine, with the aim of improving cancer treatments

The Champalimaud Foundation is developing an innovative technology that integrates clinical data, morphometric elements and the distribution of molecular bio-markers in the context of tissue architecture, through the application of artificial intelligence instruments and sophisticated proprietary algorithms, in order to produce predictions of specific results for each patient.

This innovative and sophisticated system may be a valuable instrument in cancer diagnosis, in predicting responses to treatment and the probability of recurrence, and in contributing to personalised treatment.

Main sources:

The Eufori questionnaire, The Champalimaud Annual Report 2012

Plataforma de telemedicina no Programa ‘Saúde para todos’/Telemedicine platform in the ‘Health for Everyone’ Program

Instituto Marquês de Valle Flor (IMVF)

Reason for inclusion: An innovative application of technology in the service of the resolution of health needs of deprived populations (social innovation)

The IMVF is a foundation with NGO status,^[54] whose activities are focussed on Portuguese-speaking countries on the African Continent, promoting their socio-economic and cultural development. The IMVF has been providing assistance in the São Tomé archipelago for the past 25 years in the areas of education, health and food security. This platform is an innovative way the IMVF has found for accomplishing

54 ONGD – NGO for Cooperation and Development, therefore it is a Cooperation for Development Foundation, as mentioned in 1.2 in this text.

its mission, and it has emerged as part of the 'Health for Everyone' Program (2012-2015), developed in S. Tomé e Príncipe, itself the result of previous work by the IMVF on the development of primary health care in the country. The platform is used to provide health services remotely, through the use of information and communications technologies provided by PT Inovação (Medigraf),⁵⁶ its partner company. In its second-generation format, the platform is portable, totally in Portuguese, compatible with all kinds of equipment and allows access to telemedicine from any common portable computer with Internet access. It is an example of innovation in access to a health service – telemedicine – provided by Portugal for São Tomé e Príncipe. Steps have been made to replicate this project in other countries, namely Cabo Verde and Angola.

The 'Health for Everyone' Program is supported by Camões – Instituto da Cooperação e da Língua, IP, a public institution and by the Calouste Gulbenkian Foundation, and has as its main partner the Ministry of Health and Social Affairs in São Tomé e Príncipe. The program covers the entire archipelago population, and in 2012 it allowed the realisation of 80,000 family-planning and mother-child protection medical appointments and more than 60,000 other appointments of diverse medical issues remotely. 9,900 exams were uploaded onto the platform during 2012 as support for the medical appointments. It is estimated that in 2012 it allowed savings of EUR 180 000 in transferences of patients to Portugal – savings which were reflected in the budgets of both the countries involved.

Recognising the capacity of the IMVF, and for its 25 years of work in the archipelago, the São Tomé government awarded the organisation public utility status, and the Portuguese government honoured it with a medal of Merit.

Main sources:

IMVF 2013 report, IMVF site:

<http://www.imvf.org/index.php?projeto=1314&tag=Saude-para-Todos:-Programa-Integrado-Projeto-de-Cuidados-Primarios:-autonomia-e-eficacia>,

5 Conclusions

5.1 Main conclusions

Portuguese foundations supporting or developing activities in the field of R&I belong to a relatively small group of very diverse foundations. As detailed in Chapter 2, a group of 87 foundations was identified in this study as being R&D foundations. ^[55] The diversity of this group is expressed in quantitative and qualitative terms.

The range of foundations in the Portuguese foundation world is very diverse, and that diversity is also apparent in the subset of foundations devoted to R&I. Their income, overall expenditure, expenditure on R&I and the number of (FTE) employees all provide us with evidence of the wide variety of these organisations. A unique organisation in the Portuguese foundation world, the Calouste Gulbenkian Foundation, exerts its influence in a significant way with its highly valuable uniqueness and its huge size. This size also translates into impact – in fact, Portuguese society would not be what it is now, if the Gulbenkian had not been created back in 1956. It was, for years, our ‘Ministry of Culture’ and maybe of ‘Education and Science’ as well. But very recent foundations, which are now at the top of the rankings for expenditure on R&I, are making all the difference in specific areas, which offers us hope that they will keep on investing in the advancement of the country and of the world, and maybe inspiring others to follow the same path through the creation of valuable new foundations as a generous gesture of devotion to society and through what the country has allowed them to achieve.

According to the data collected in the Eufori survey, the Calouste Gulbenkian Foundation ^[56] expenditure on R&I is more than double that of the next foundation in the rankings – the EDP Foundation, almost triple that of the Champalimaud Foundation, and seven times more that of the following two in the rankings, the Luso-American Foundation and the *Francisco Manuel dos Santos* Foundation. When speaking of foundations, to characterise the system of research and innovation in Portugal in its private non-profit aspect, and to acknowledge the as yet new ground in the area of ‘social innovation’, is therefore, inevitably, and without any discredit to the others, to speak of the Gulbenkian and Champalimaud Foundations. The system developed by the public institution FCT, a major financial backer of the public research sector, and also of the more basic and strategic R&I activities of the private sector, includes (only) these two foundations in the organogram of the innovation system in Portugal (FCT, 2013, pp. 258-262).

In terms of foundations’ activities, ‘innovation’ plays a lesser role compared to research, or R&I taken

55 The small size of the group of R&D foundations in Portugal, together with its disparity in terms of size and impact determined a relatively small set of answers to some questions. The number of answering foundations was given for every question considered.

56 Numbers relative to specific foundations are mentioned when it is possible to obtain them from public sources, and not from the Eufori survey.

together, in terms of expenditure. The results also point to a tendency for foundations to have either research or R&I as their main focus. One major exception to this is the Calouste Gulbenkian Foundation, with its activities spread over four statutory aims, and therefore with a high level of expenditure in the 'other expenses' (not R&I) category. The area of social innovation still emerging and affirming itself in the field of R&I must be emphasised, especially when the rate of expenditure in this area is so high by the hand of a corporate foundation – the EDP. We should also make note of the role the *Francisco Manuel dos Santos* Foundation has assumed in Portugal in social research and in the dissemination of knowledge for the pursuit of a better-informed and therefore more engaged civil society.

Medical science has emerged as a research area with a high level of expenditure, in which the Gulbenkian and Champalimaud represent 94% of the overall amount. Social research is on a par with medical science in terms of the number of foundations supporting or undertaking it, but the low number of answers to the question about the amount of expenditure determines an undervaluation of this area in the results. With a national or local/regional focus, the foundations surveyed still consider they are contributing to European integration. As a peripheral Western European country, Portugal has been on target to meet the EU averages in several areas. On a small scale, the group of foundations supporting or operating in the R&I field probably acknowledge their role in the advancement of Portuguese society in that direction. And therefore, to a more and deeper integration of the Portuguese population with the European continent. Closer support for and a greater control over the effectiveness of grant-making activities are apparent in the majority of the foundations surveyed, and they are all involved in ongoing partnerships. As researchers in Portugal are mostly concentrated in the universities, and particularly in public higher education institutions, it is not strange to see that universities are chosen as partners by almost all the foundations surveyed, as well as their beneficiaries. In terms of the role of foundations, the majority consider this to be of a complementary nature, with more than half admitting they are 'initiators' and only after that, 'substitutes'.

5.2 Strengths and weakness of the R&I foundation sector

Summing up strengths and weaknesses in general terms in a sector with as great a diversity as this one is a challenging exercise. Nevertheless, the challenge is accepted, and a list of main items is presented below. When we refer to foundations we are referring to the focus of their work, which is Portuguese foundations operating in and / or supporting R&I.

Strengths:

Foundations in the field of R&I are very firm about the accomplishment of their missions and have a strong ability to move with the changing times. This characteristic is apparent in older foundations that have been able to re-interpret their missions over time in various effective ways.

They are able to engage in fruitful partnerships, with the same or different types of organisation, be it in juridical terms or in terms of size. It is common to find foundations in partnerships with public organisations, national or foreign, or with other foundations or other non-profit organisations, or even private companies. Several examples are mentioned in Chapter 4. An excellent example of partnership, and even

generosity, was the incubation of the Champalimaud Neuroscience Program in the Gulbenkian Science Institute for 5 years. During that period, IGC scientists were able to foster the emergence of another institution which would eventually become independent.

They are generally very independent organisations, nevertheless taking the opportunity of financing from public funds for projects wherever those opportunities exist so that their own funds can be used for other purposes.

In Portugal, the biggest foundations in the R&I field are also the biggest foundations in the country. With a few others, they are the ones setting the standards and examples for the rest of the Portuguese world of foundations. They set standards in terms of accountability and reporting, for instance.

Dialogue and exchanges of experiences and challenges at a national and international level have always been a practice of foundations, although not specifically for the field of R&I, and not specifically for larger foundations.

Investment in a professional management structure and in its training when needed is another characteristic relevant to the biggest foundations, which has been an important example for the rest of the foundation world.

Weaknesses:

Foundations do not invest too much in communicating their achievements, which may be a result of a strict focus on their activities. Nevertheless, it might be a lost opportunity to engage society and other organisations in their efforts, enhancing their impact even further.

Foundations have been making an effort to broaden the scope of their activities to the whole country, although the bigger ones are based in Lisbon, and these efforts could be even stronger.

Opportunities:

R&I foundations are part of a positive national convergence of R&I towards the EU average, which might result in a further stimulus and opportunities of doing more and better.

There is increasingly open access to scientific production, which is making Portuguese scientific production from Portuguese R&I foundations (as well as the rest) more visible internationally.

The growing quality of Portuguese universities and research centres constitute an increasingly interesting pool of researchers to support.

A European field of collaboration in R&I, which is expected to grow and deepen, might be an interesting opportunity for Portuguese R&I foundations to explore.

The growing number of Portuguese researchers provides an increasingly interesting pool for operating foundations, as well as grantmaking foundations, in their efforts to foster the development of the best ones.

The growing mobility of researchers internationally is opening up the pool of people available to engage in challenging projects and programs in foundations such as Gulbenkian and Champalimaud.

A growing interest on the part of the EU in the potential of social innovation is opening up opportunities for R&I foundations willing to invest in the promotion of products and processes developed to solve the most urgent needs of society.

Threats:

The financial and economic crisis might turn the attention of foundations to more urgent societal needs, instead of a long-term investment in R&D. The same is true for the overall ageing of the population and the increasingly higher proportion of dependents on the social security system, increasing pressure on the State budget as well as the foundations' own budgets.

5.3 Recommendations

Portugal has a 1.5 % GDP in terms of R&I. This is well below the target of 3 % set by the country, following up on the target set by the European Union as a whole. Nevertheless, efforts to close this gap seem most realistically to be in the hands of companies than in any other type of organisation. The State laboratories in Portugal have considerably reduced their activity and the FCT is the biggest funder of universities and private companies. Private companies have been investing more, even SMEs, but this is not enough for the established target. One important reason lies in the low and medium technological levels of our enterprises.

In this context, in Portugal, it seems unreasonable to expect that an increase in the 1.5 % GDP will be achieved by the foundation world. It is too small, even though it comprises (very few) foundations with a size on a par with the biggest and most influential foundations in Europe.

Foundations in Portugal could benefit themselves and the country with increased investment in communicating what they do, and the impact of their activities. More knowledge would probably drive more people and resources towards foundations and their activities.

Also, the foundations in the field of R&I could invest further energy in engaging with universities, challenging them with the foundations' capacity to mobilise experts from around the world, and with their knowledge. In one interview ^[57] it was suggested that foundations, together or independently, should set up 'institutes of higher study,' which would serve as references in the public arena in their specific areas of knowledge.

57 João Caraça, the Calouste Gulbenkian Foundation.

Finally, a European foundation status would also be highly beneficial for R&I foundations. It would allow foundations to operate/fund at a European level with no constraints. It would eliminate bureaucracy in terms of operations, and it would allow donations to flow freely to any given foundation in any part of Europe.

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