

## Funding archive services in England and Wales: institutional realities and professional perceptions

Louise Ray<sup>a</sup>, Elizabeth Shepherd<sup>a\*</sup>, Andrew Flinn<sup>a</sup>, Erica Ander<sup>a</sup> and Marie Laperdrix<sup>b</sup>

<sup>a</sup>*Department of Information Studies (DIS), University College London, London, UK;*

<sup>b</sup>*Archives National, Paris, France*

This article reports on two related pieces of collaborative research carried out by the International Centre for Archives and Records Management Research in the Department of Information Studies at University College London, The National Archives, and the National Council on Archives between 2007 and 2012, which together investigated how archives in England and Wales are funded and the perceptions of funders and fundraising amongst archivists. Both pieces of research aimed to establish the institutional realities of funding and the funding mix for archive services, identifying which funding sources and fundraising techniques are well embedded and which are underdeveloped within the sector. The research projects also considered professional perceptions about fundraising and funding, in particular about funding from the Heritage Lottery Fund. Although not linked originally, the findings of these two projects throw light on an under-researched area of funding of archive services, and so the results of both projects are presented in a single article. The article also outlines some further research and professional development needs; suggests a target for a more robust funding mix and also that fundraising skills should properly form a part of the professional competencies framework.

**Keywords:** archives; archivists; funding; fundraising; England and Wales

### Introduction and research context

This article reports on two related pieces of collaborative research carried out by the International Centre for Archives and Records Management Research in the Department of Information Studies at University College London (DIS UCL), The National Archives (TNA) and the National Council on Archives (NCA) between 2007 and 2012, which together investigated how archives in England and Wales are funded and the perceptions of funders and fundraising amongst archivists. Both pieces of research aimed to establish the institutional realities of funding and the funding mix for archive services, identifying which funding sources and fundraising techniques are well embedded and which are underdeveloped within the sector. The research projects also considered professional perceptions about fundraising and funding. One project sought to investigate in some detail whether archivists' views of their professional role have been influenced by the Heritage Lottery Fund (HLF) as a project funder, whether the HLF has influenced archivists' views on career progression and the skills and knowledge of archivists, and to consider to what extent any impact in these areas can be attributed to the HLF specifically, rather than to a broader range of political and cultural factors. Although not linked originally, the two projects throw light on an under-researched area of funding of archive

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\*Corresponding author. Email: [e.shepherd@ucl.ac.uk](mailto:e.shepherd@ucl.ac.uk)

services, and so the authors decided to present some of the findings of both projects in a single article. The article also outlines further research and professional development needs; proposes activities, advice and training support to improve access to additional funding; suggests a target for a more robust funding mix and also that fundraising skills should properly form a part of the professional competencies framework.

Since 2000 (partly encouraged by the Museums, Libraries and Archives Council [MLA]), several studies have examined the instrumental value of museums, libraries and archives, and the economic and social impacts of cultural provision, for example, via the Culture and Sports Evidence Programme.<sup>1</sup> However, there has been surprisingly little investigation into what investment is needed to deliver effective archive services, how archive services themselves are funded, and what their potential is for exploiting additional fundraising opportunities. Although the Archive Lottery Advisory Service had gathered some data on archive services' ability to access lottery funding, no one looked at these wider questions.<sup>2</sup> Anecdotal evidence suggested that archives were heavily reliant on revenue funding from their parent organization, whereas the wider UK cultural sector aims for a funding mix split more equally between public funding, private giving, and income generation (the so-called 'tripod' funding model).<sup>3</sup> Archive services potentially risk losing critical funding from parent bodies, but may also miss out on opportunities to grow their income and increase private giving.

These research projects therefore aimed to support evidence-based policy-making by gathering data to clarify the funding picture for archive services and create a benchmark against which future developmental support could be measured, and to identify an appropriate aspirational funding model for the sector. They sought to consider both actual and perceived barriers to change and in doing so they aimed to provide a starting point for future development work, especially in the light of the wider leadership role of TNA, following the transfer of archive responsibilities from the MLA in 2011.

## **Literature review**

The literature relating to the funding of archive services was reviewed as the initial stage of both research projects. The literature examined here focuses on the fundraising practices of cultural institutions; practical strategies to find funds for cultural institutions including museums and libraries; fundraising as an archives function; and the use of new media. The literature review then introduces ideas about developing skills in the archival profession and concludes with a review of government funding changes in the UK since the establishment of the National Lottery in 1994.

Traditionally, philanthropy is the bedrock of cultural fundraising. Since the 1990s, governments around the world have implemented tax policies to encourage potential donors.<sup>4</sup> In the UK, tax schemes encourage philanthropic behaviour in the cultural sector.<sup>5</sup> For example, in 2010, the papers of J.G. Ballard were acquired by the nation in lieu of £350,000 inheritance tax.<sup>6</sup> However, the cost of administration and the time public servants dedicate to this policy provides, in effect, 'indirect government support for the arts'.<sup>7</sup> And these donations are not cost neutral to the receiving institution, thus requiring further resources to care for and provide access to the collections.

European funding for culture is based on celebrating diversity and attracting tourists: fundraising is not just about promoting collections or conserving them. Projects financed by the European Commission are usually linked to economic development and a clear distinction is made between tourism and 'other cultural activities'.<sup>8</sup> A survey of European Regional Development Funding between 1990 and 1996 suggested that if fundraising

projects are linked to social, education, town-planning or tourism issues, public or private donors would be more generous and helpful to these institutions.<sup>9</sup> The instrumental value of cultural projects was a driver for many grant programmes run by the UK's non-departmental public bodies in the 2000s, including the MLA,<sup>10</sup> and both public and private funders have become increasingly interested in the twenty-first century in how their investment will deliver outcomes and impact.

Much of the literature deals with museum collections or libraries, rather than archives, and the literature about libraries, especially academic libraries, is a particularly fruitful source. Fundraising has been of interest to libraries since at least the early 1990s, when, in the opening session of the annual meeting of the Association of Research Libraries (ARL) in the USA, Susan Nutter, the ARL President-Elect, said:

Fundraising can no longer be an afterthought or a tangential activity labeled as a non-library function. Raising funds will be imperative to the growth and maintenance of first-rate libraries. In the coming decades fund raising will literally make the difference between mediocrity and excellence for many of our libraries.<sup>11</sup>

The librarian of North Dakota State University explained the fundraising programme 'from scratch'.<sup>12</sup> Others, including Ruggiero and Zimmerman, have emphasized the need for the library staff to be 'active participants in fund-raising' and that it is an 'increasingly large part of library directors' jobs'.<sup>13</sup> Huang, a librarian in the University of Arizona, takes a more conceptual view of the aims of fundraising, saying 'if academic libraries want to manage and maintain existing collections, provide access to ever-growing electronic resources and launch innovative programs and new library services',<sup>14</sup> they must fundraise. The University Library at Albany, New York, was one of the first academic libraries to use the Internet as a mechanism to raise funds. Hazard concluded that 'the placement of links and the descriptors used may be more important than an extensive, feature-laden site'<sup>15</sup> and pointed out the main steps of building a framework for online fundraising. She suggested that raising funds online could be a new strategy for other cultural institutions to 'broaden traditional donor constituencies and to raise awareness of libraries needs and services', noting that the 'Friends' of the library page was especially valuable. This chimes with the thinking in the wider cultural sector, particularly around how to link social networking to fundraising.<sup>16</sup>

Some national libraries have been very successful at fundraising. Recent projects at the British Library (BL) have been supported by grants and donations, such as the construction of the new Centre for Conservation or the digitization of *Alice's Adventures Under Ground* for the website through the Turning the Pages™ project.<sup>17</sup> The BL Development Office manages donations, keeps in touch with donors and co-ordinates fundraising activity. The Office encourages four types of giving: one-off gifts, regular gifts, legacy giving, and gifts-in-kind.<sup>18</sup> In 2010, similar initiatives were undertaken by the Bibliothèque Nationale de France (BNF) which created a *Galerie des Donateurs* (a donors gallery) to freely exhibit the gifts given by the donors and to promote their activities.<sup>19</sup> Such exhibitions facilitate donations, such as in the case of *Gaston Leroux, de Rouletabille à Chéri-Bibi*. The BNF, like the BL, has its own association of donors, the 'Association des Amis de la BNF'.<sup>20</sup> In 2011, the BNF launched an initiative, modelled on the BL's 'Adopt a Book' scheme, to help the digitization of its books and manuscripts in order to make them available on the digital platform called Gallica.<sup>21</sup> In return, the names of all the donors appear on Gallica for 10 years.

Twenty years ago Richard Cox called fundraising 'an underdeveloped archival function'.<sup>22</sup> In spite of Freeman Finch's book *Advocating Archives* about archival outreach, advertising and fundraising, not much has really changed.<sup>23</sup> Perhaps the

explanation partly lies in Hohmann's view which identified the lack of knowledge of archivists when they seek financial resources from the private sector to develop their projects.<sup>24</sup> There are a few successful cases, such as the Water Resources Archive in the Colorado State University Libraries.<sup>25</sup> This case study describes the event's concept, its planning and the reception itself, and analyses its success, noting the importance to donors of 'experiencing firsthand how dollars are spent and what impact the archive has on historical research', and the need to educate people, build new relationships, and strengthen existing ones in order to raise money.<sup>26</sup>

In 1969, Peacock underlined that 'access of the arts was greatly expanded by the development of the new media',<sup>27</sup> this is even more so today. Websites of archives are an important tool to promote activities of the institutions and find new donors. Their development can involve partnerships between institutions and companies, which could provide computers, smartphones and expertise to create new software. An example is Association Wikimedia, which has built strong partnerships not only with institutions such as Le Louvre and the Metropolitan Museum of Art New York, but also with local authority archives such as the Archives Municipales de Toulouse (France). They used the Wiki framework to build a new bridge between the collections and Internet users.<sup>28</sup> The initiative of the city of Toulouse is interesting, because the archives decided to partner with Wikimedia France, which has created a virtual space in Wikimedia Commons for the collections of a famous French photographer, Eugène Trutat, held in the Archives municipales.<sup>29</sup> The page is linked to the archive catalogue and website, and to their Wikipedia page. It offers an interactive tool and encourages collaborative research. The archives launched an exhibition in Toulouse with the Wiki project, providing a way for the local authority archives to give the archives increased publicity through the web, to reach new audiences, to attract new users, and to look for potential donors. Social media are important in a fundraising project because the institutions are given additional support and the opportunity to raise funds from new donors. Donors will sometimes support new fields of research. Examples include the BL exhibition 'Growing Knowledge'<sup>30</sup> and the French 'Labo BNF'.<sup>31</sup> Companies are often keen to get involved in such projects, which give a certain prestige image. As the growing literature around crowdsourcing funding in the digital era demonstrates, there are new opportunities for archives to harmonize their fundraising activities by promoting their institutions and opening up access to their collections via the Internet.

What skills and perceptions do archivists need in order to ensure that they can deliver the best funding mix for their archive service? A study of young (aged below 35 years) archivists in Australia considered what had attracted them to the profession, what kept their interest and reported on professional perceptions.<sup>32</sup> Most stated a passion for history or systematic approaches, but few referred to working with people, and yet, fundraising depends on personal contacts and encouragement. The study suggested an uncertainty and lack of confidence in the profession. Other authors have also looked at the developing profession and education, such as Gray and Procter.<sup>33</sup> Gray advocated reassessing professional identity to refocus on what 'unites us all at the deepest level', which for him is maintaining the record of the past and bringing new users and insights to the archives. Procter looked at different professional roles in compliance, access, and digital media, and questioned whether funding aligned with government policy agendas in the UK had distorted professional priorities. The NCA report on funding priorities for UK archives published in 2005 suggested that priority areas for development should be online access, engaging new audiences, sustainable development, interpretation and ensuring excellence, and innovation: all of these required funds which might be achieved by better partnership

working, improved organizational competence and better grant writing, and improved fundraising skills amongst archivists.<sup>34</sup> NCA's work was conducted in the context of new funding sources being available to UK heritage institutions after the launch of the National Lottery in 1994, which provided additional funding to 'good causes', namely the arts, charity, heritage and sports, and, after 1997, health, education and environmental causes.

The HLF distributes lottery funding to the heritage sector, but a 1999 study reported that:

between 1995 and 1998, library and archive projects received a relatively modest slice of the HLF's resources (5%) in comparison to museums (45%) and historic buildings (29%). In 1998/9, libraries and archives were allocated only about 6.4% of available funds.

A survey by the NCA in 1996 revealed that 46% of those who responded had considered applying for lottery funding but had decided against proceeding. Amongst the reasons (sometimes multiple) for not applying, 6% cited moral reasons based on the funding resulting from gambling, 37% considered themselves ineligible, 25% were not applying due to potential conflicts with other applications from their parent body, 38% did not think they had the staff resources to develop an application, and 52% felt they could not access sufficient match-funding. In order to support the sector, the NCA appointed an Archive Lottery Adviser in 1997, initially funded by the NCA, Public Record Office, and the Society of Archivists.

By its 10th anniversary, HLF had distributed 'over £193 million to archive and library projects' including 'more than £42 million to 164 record office projects', 'more than £6 million to Access to Archives (A2A), Scottish Archive Network and Archive Network Wales', and 'more than £46 million to university archive and library projects'. The Archive Lottery Advisory Service and, since 2010, TNA's funding advice helped to improve the understanding of the HLF within the sector and to improve the confidence of those applying, so that by 2012 this figure had increased to 'over £299 million to over 1200 archive and library projects' with two-thirds of the funding going to archive projects. It is clear that, although grants to archives remain a relatively small proportion of the HLF's total spend, the impact of the HLF on the sector has been significant: this was one of the issues which the authors wanted to investigate in the research projects.

## Methodology

The first of the two research projects was undertaken by the NCA and DIS UCL, funded by the British Academy small grants scheme in 2007–2008.<sup>35</sup> 'Archival Culture in the 21<sup>st</sup> Century: The Impact of the Heritage Lottery Fund on Perceptions of the Roles and Duties of the Archive Profession in the UK' aimed to investigate whether archivists' views of their professional role had been influenced by the HLF as a project funder and whether the HLF had influenced archivists' views on career progression and their skills and knowledge base, and to consider to what extent any impact in these areas can be attributed to the HLF specifically, rather than to a broader range of political and cultural factors.

The primary data collection tool was an online survey form. The survey was available via the NCA website between April and July 2007 and was widely publicized via *ARC*, the Society of Archivists' newsletter, and archive mail lists. The research was aimed at those with a professional archival background. Since there is no source of reliable information regarding the number of professional archivists working in the UK, it was difficult to know the size of the pool from which the sample was drawn. The research team hoped to use the

Society of Archivist's membership as a benchmark figure, which stood at 2200 members, but were not able to obtain the breakdown of membership between the types (full members, affiliate members, student members, and overseas members). The researchers estimated that around 1900 members might be categorized as 'professional archivists' and, seeking a 10% return rate for responses to the survey, aimed to collect around 190 responses to the survey. The final population totalled 185 responses from archivists across the UK. The survey was designed to provide anonymous responses to ensure openness amongst participants in their comments and encourage involvement. It should be noted, however, with the self-selecting nature of the survey respondents, that although trends have been identified within the responses, it is not possible to generalize from these data. Nevertheless, a number of strong themes are revealed from which it is possible to extrapolate some broader conclusions on the views of archivists.

Respondents were asked to identify in which geographical area of the UK they were located, and in which type of archive they worked (e.g. local authority, educational, business, charities). Taking into account the regional variations in the number of archive offices, the sample appeared to be fairly representative of geographical spread and repository type. Responses were received from all nine regions of England, as well as Wales and Scotland. The only area from which no responses were received was Northern Ireland. The geographical distribution is shown in [Figure 1](#). The larger number of respondents from the London region correlates to the fact that nearly a third of all archives are based in the capital, whilst the lower figures for the East Midlands are not surprising as there are only five local authority archives in the region.<sup>36</sup>

The highest numbers of responses came from local authority archives (41%), educational archives (25%), and national archives (10%), but business, charity, historic house, professional and learned, religious, and medical archives were all represented. Considering the make up of the archival landscape in the UK, this was felt to illustrate a fairly representative spread. The researchers were interested in whether there were differences in the perceptions of archivists dependent on the length of their career. Survey

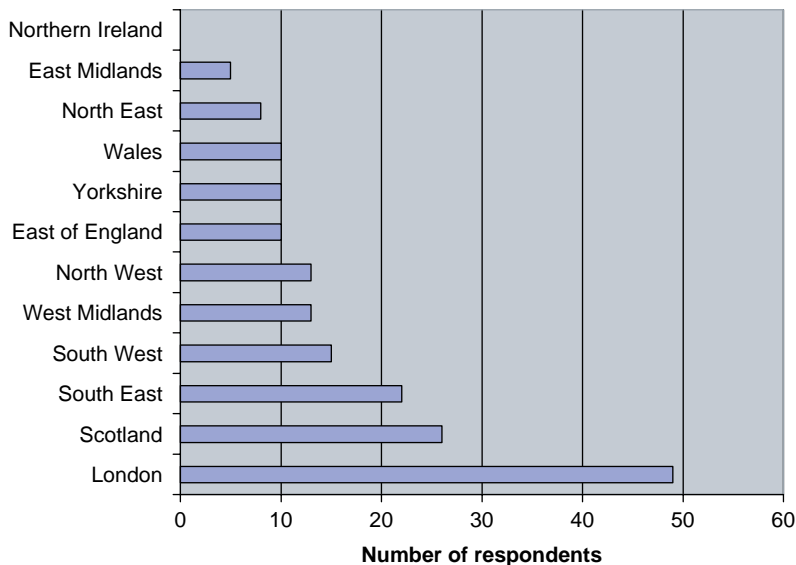


Figure 1. Geographical distribution of survey respondents.

respondents were asked to identify how many years they had been qualified, in one of three groups: 'newly qualified' (1–3 years), 'mid-career' (4–12 years), and 'seniors' (+13 years). In the sample, 42% of respondents had over 13 years of experience, 21% had 1–3 years of experience, and 37% had 4–12 years of experience.

Three focus groups were held in July 2007, one for each career stage grouping, to examine the research questions in more detail, enabling the researchers to gain further insight into the data from the survey. Each group included archivists from a range of repository types, from different regions, and with different levels of experience of the HLF. The 'newly qualified' focus group session was attended by eight archivists, the 'mid-career' focus group was attended by seven archivists, and the 'seniors' focus group was attended by eight archivists. Each focus group ran for 2 to 2 hours and 30 minutes. Members of the research team attended and the sessions were recorded. Questions were developed to structure the sessions, including prompts to discussion using quotations from the survey responses.

Throughout the project, desk-based research was undertaken. Topics investigated through published material and policy papers included the general impact of the HLF on the heritage sector, particularly with regard to cultural value; case studies of HLF-funded archive projects; articles addressing the archive profession on issues aligned with the HLF's strategic aims; and workforce development and professional practice within the archive sector.

Using the online survey data analysis and evidence collected from the focus groups, the research team tested out preliminary findings via a public session at the Society of Archivists Conference in Belfast in August 2007. In addition, a small group of stakeholders was convened in October 2007 at UCL. This group included representatives of a number of strategic bodies and academics with an interest in the research topic. Although the results are not generalizable, feedback on the qualitative data does seem to suggest that the views expressed are representative of at least a substantial part of the profession.

The second research project took place from 2011 to 2012.<sup>37</sup> It sought to answer three key research questions: How are archives in the UK funded? What funding resources are underdeveloped within the sector? What appropriate advice and training support can be delivered by TNA or other bodies to improve access to additional funding resources? Following a detailed literature review, a survey questionnaire asked respondents to provide data from their last full accounting year (for the majority of services this represented 2010–2011). Two focus groups were convened to identify key aspects to help data interpretation. Although initially the objective was to study the whole UK, it was agreed to limit the survey to England and Wales, as the funding landscape in these countries is more comparable than in Scotland and Northern Ireland.

The online survey questionnaire was used to capture a range of, primarily quantitative, information to establish a benchmark data set. It is hoped that this will mark the start of a longitudinal study of changes in the funding landscape for archive services. The survey questions relating to income were based on the Arts & Business *Private Investment in Culture* survey,<sup>38</sup> in order to enable comparison with the wider cultural sector. The survey content was agreed upon by the project advisory group and the questions were piloted by Gloucestershire Archives. The survey was divided into six sections. The first section asked for general information about the archive service; the second for general financial information from the service's last full accounting year; the third asked about earned income; the fourth about private investment; the fifth about the allocation of investment; and the final section focused on fundraising skills and resources.

During September 2011, 254 emails were sent to organizations previously identified by TNA as the major collecting institutions in England and Wales, based on the list of

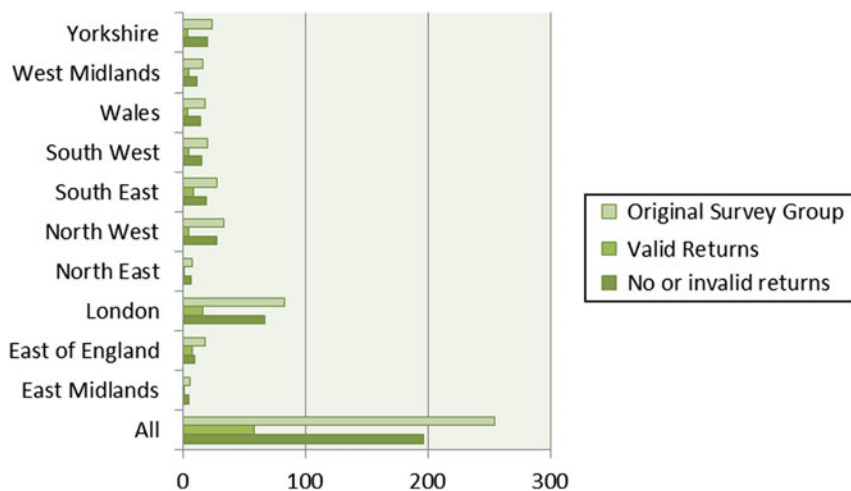


Figure 2. Regional spread of census pool and survey population.

organizations contacted as part of TNA's Annual Accession to Record Repositories<sup>39</sup> asking them to take part in an online survey. The survey was accompanied by publicity through targeted communication routes and follow-up phone contacts. The online survey tool was hosted by UCL, using the Opinio survey software tool. By the time of the survey closure date in November 2011, 132 responses had been logged onto Opinio. Of these, 28 were blank and a further 46 responses had too few completed answers to make them usable as part of the full data set. This left 58 questionnaires for analysis. This represents a return rate of 23%. Response rates varied between different regions, ranging from 10% in the North East to 40% in the East of England.

The regional spread of organizations in the census pool is compared with that of the survey respondents in Figure 2. It shows the number of valid returns and non-returns/unusable returns.

A focus group comprising members of the project advisory group and some heads of archive services was held at UCL in February 2012, using an initial analysis of the survey results to prompt a discussion. The aim was to bring together perspectives from different types and scale of services, and from different geographical locations. The session was recorded and anonymized contributions were used in the data analysis. The same questions were used in a follow-up focus group with the Archives Sector Development department of TNA in June 2012. Some of the findings were shared with delegates at the Archives and Records Association Conference in August 2012.

The geographical boundary of the first research project was designed to be UK-wide, as explained above, however, the data collected did not cover the whole UK: there were no data for Northern Ireland, the data for Wales and Scotland were limited, and the best data were for England. The second research project only collected data from England and Wales. As a result, the detailed analysis that follows is restricted to England and Wales, although many of the conclusions may be applicable to other home countries.

### Analysis of findings

The findings of the second piece of research set out the broader landscape of archive service funding and are addressed first in this section.<sup>40</sup> The findings of the more focused



research considering the effect of one particular funder, the HLF, are then examined within this wider context.

### *How are archive services in England and Wales funded?*

The research sought to establish the sources of funds that support archive services. The proportions of funding received from various sources in the previous financial year across all types of archive services in England and Wales are shown in Figure 3. Whilst recognizing that these figures represent a snapshot of a single accounting year for responding services, the findings support the assertion that archive services are reliant on parent organizations for either the whole or the majority of their funding. Indeed, a significant number of services, 12% of respondents, reported 100% of their funding was from their parent organization.

There were some variations between the funding sources accessed by different types of services and the scale of external funding, for example university archives received 31% of funding from external sources – mainly private investment (15%), plus government and additional higher education funds (5%), MLA funding (7%), Lottery (1%), and earned income and recharging. This compared to 16% in local authorities, whilst organizations with charitable status attracted 23% of their funding from external sources.

The relative success of London-based organizations in attracting private investment in comparison with other regions is one that is often referenced within the wider cultural sector. The 2010–2011 Arts & Business *Private Investment in Culture* survey showed that London received 71.1% of all private investment and 81% of all individual giving.<sup>41</sup> However, this picture does not appear to be replicated in the archive sector. The data show that London archives are more reliant on parent organizations for funding than the rest of England, with only 13% of income from external sources.

The survey also sought to establish actual levels of turnover for the previous financial year. The definition of turnover used for the survey was ‘Total income, including all monies fundraised, earned by and awarded to your archive service (included budget allocation from parent organisation)’. Figure 4 illustrates the range of turnover figures, showing that the mode is between £100K and £199K. The median turnover was £299,086. The mean average turnover was £468,471.

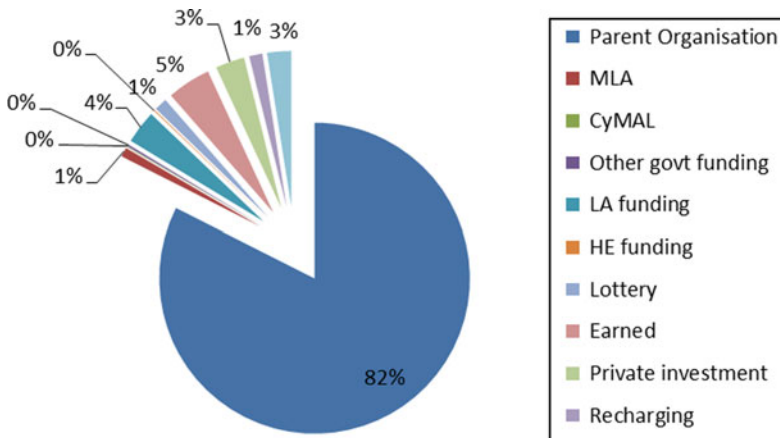


Figure 3. Archives in England and Wales: how much income did your archive service receive from each of the following sources in the last financial year?

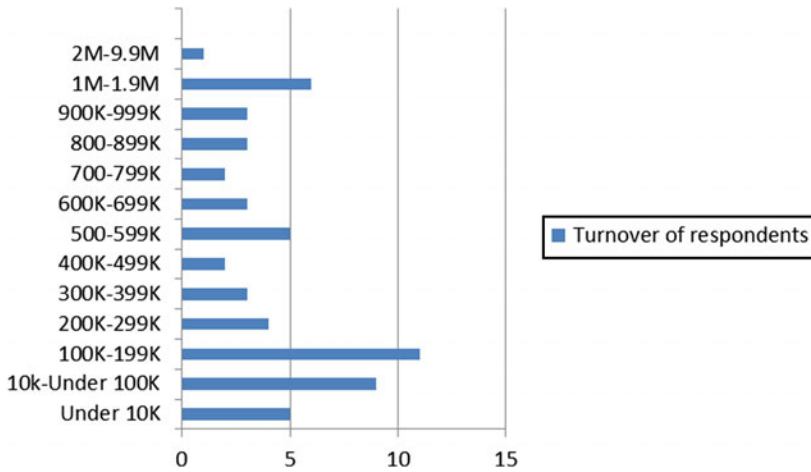


Figure 4. Range of turnover figures.

However, one challenge in data interpretation is that not all services have the same administrative structures or responsibilities and therefore what the turnover relates to varies amongst respondents. Approaches to joint service delivery and budget allocation and oversight are also very varied, as illustrated in Figure 5.

The research collected data about sources of funds in several categories: earned income, private investment (including business investment, individual investment, and trust and foundations), and the Lottery. Nationally, earned income represented 5% of overall income. Just over half of the respondents (53%) stated that they had control over setting targets for earned income and decisions on how to spend this money. Earned income derives from several sources, including use of facilities, publishing services, knowledge services and ‘Other’, such as sales from shops, vending machines and catering facilities, and charging for records management services. Respondents in the focus group commented about disincentives in accounting systems to earn income, for example ‘if you consistently over-achieve your earned income targets, they will rise’, although one

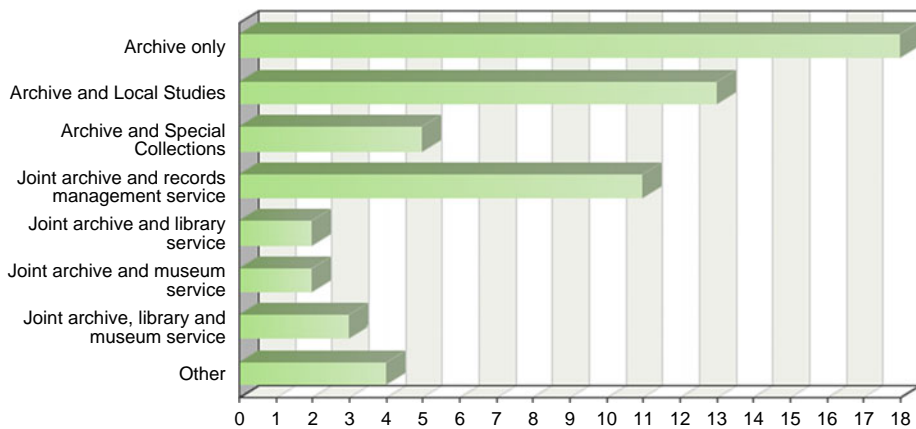


Figure 5. What service does your turnover figure represent?

remarked, 'everything is devolved to me (and it is hard work) but it does mean I can do what I like with the earned income. It is an incentive'. Another noted, 'any income we earn above core becomes development funding and does not pay for staffing etc. We don't get any money taken away from us as a result of earning'.

The survey asked about private investment: the questions concerning this area of investment were modelled on the Arts & Business *Private Investment in Culture* survey. The Arts & Business report 2010–2011 shows that investment in library/archives stood at £8,654,762, which accounts for 1.3% of regional investment in culture.<sup>42</sup> Private investment in the archive sector, according to the responses to Q15, Q18, and Q19 in our survey, comes from trusts and foundations (71%), businesses (20%), and individuals (9%). The Arts & Business report 2010–2011 reported that business investment accounted for 19.5% of total private investment, which would appear comparable to the archive figure of 20%, but these percentages mask significant differences. In total, only 10 business relationships were identified by respondents, and one of these relationships accounts for 90% of the total business investment. Just over £204,000 was invested by business in archive services in our survey, compared to the £134.1 million reported in the Arts & Business report.<sup>43</sup> However, one respondent in the focus group commented that although some money might come directly from a business, an approach might unlock other funds, 'we would approach the company and get a small amount, but the managing director might give a personal contribution or have access to a trust fund'.

The Arts & Business report 2010–2011 found that trusts and foundations accounted for 24.8% of total private investment, compared with 71% for the archive sector, illustrating a significant reliance on this funding source by archives.<sup>44</sup> A total of 97% of archive services income in this category was from UK-based trusts, with 3% from those based overseas. The survey responses regarding HLF funding were surprising, representing only around 1% of total income with a total figure of £359,113. The HLF's own figures for a comparable period, state that £4.37 million was awarded to projects in archives and libraries.<sup>45</sup> The discrepancies between these figures may be due to the size and character of the survey population, or to the fact that, as HLF grants are paid out in instalments, turnover figures may only record a proportion of the individual grant award in any given year. However, some respondents noted problems with trust and Lottery funding, which 'is never for core or boring stuff ... trusts are interested in eye-catching stories'.

Individual giving represents 9% of private investment in archives services (£87,284), whereas the Arts & Business report 2010–2011 reported that individual giving made up 55.7% of total private investment (£382.2 million).<sup>46</sup> Survey respondents were asked to break down the sources of individual giving and this showed that the majority of individual giving takes the form of donations (79%), followed by 18% from friends or membership schemes, 2% from legacies, and 1% gift aid. One respondent at the focus group commented that they were setting up a development trust with the intention of approaching private investors, although it was 'tentative because there is no track record in the sector'. Respondents were asked if they record a financial equivalent against volunteer support. Only two respondents stated that they did so. Of those respondents who provided a total of volunteer hours contributed over the last financial year to their service, the total was 82,935 hours. The average per responding organization was 2176 hours. The Chartered Institute of Public Finance and Accountancy Archive Service Statistics record 240,663 volunteer hours within local authorities in England and Wales in 2010–2011.<sup>47</sup> A respondent in the focus group commented, 'if you put a value on the volunteer time it would be quite something. If you said, don't give your time, give money instead, they wouldn't'.

### *Allocation of resources*

The survey identified how earned income and private investment were being used. Earned income predominantly went into operational costs (59%), but private investment was split more evenly between activity and capital projects, most of the remainder spent on operational costs (Q15, Q18, and Q19). When respondents were asked about allocation from the perspective of access versus preservation spending, 69% of private investment was allocated to costs associated with preservation and 24% to access; whereas with earned income, 5% was allocated to preservation and 23% to access. This left the largest element (61%) of earned income as not specifically allocated (Q13), which may reflect the fact that many services also reported that income is not retained by the archives service itself, but is reallocated at a higher level of budgeting within the organization.

### *Fundraising expertise and techniques*

The final section of the survey sought to identify what fundraising expertise and resources archive services were able to access, and where support was needed. Respondents were asked about strategic fundraising. Only 33% stated that their organization had a fundraising strategy, although this compares favourably with the figure of 18% recorded in 2010 self-assessment returns.<sup>48</sup> The low number of organizations with fundraising strategies is perhaps not surprising when contextualized by respondents' ratings for their own experience and confidence in developing a strategy. Of the sample, 88% of the respondents rated themselves between 1 and 3 (on a scale ranging from 1 = low to 5 = high) for experience and 85% between 1 and 3 for confidence. A respondent in the focus group commented that there were 'two issues – ability and attitudinal' and another suggested that 'if archives were trusts and put out in the cold, we would have to learn. At the moment, we don't have to' and that many archivists were 'not naturally entrepreneurial'.

The survey sought to identify what resources archive services had to help them with fundraising and income generation. When comparing the full-time equivalent (FTE) staffing allocated to fundraising and income generation with the total FTE used by the archive service, the national figure allocated to this activity is only 3.2%, and only 17% of respondents have a budget allocation towards fundraising activities, resources, and training. This suggests that fundraising is not seen as a core activity for services. However, 56% of respondents stated that they could access fundraising expertise and resource from their parent organization, in local authority, university, and specialist archives.

All respondents were asked to identify their experience and confidence levels in relation to a number of fundraising areas and techniques (Q31 and Q32; on a scale ranging from 1 = no confidence/no experience to 5 = very confident/very experienced). The data for running a capital campaign, developing relationships with business, developing relationships with high net-worth individuals, setting up online giving opportunities, setting up and running legacy programmes, and using direct marketing, all display a strong correlation between confidence and experience levels and show that very few respondents have either confidence or experience in these techniques. Slightly higher confidence/experience was shown in organizing fundraising events and developing a fundraising strategy. The only area where respondents indicated significantly higher levels of confidence was in writing applications to trusts and foundations and even here the largest number of respondents recorded a mid-range score (3). Respondents in the focus group commented that 'writing bids is seen as part of the job in a local authority but spending time networking might be questioned' and another said, 'the expectation from the public is that they have already paid for the service' through their taxes.

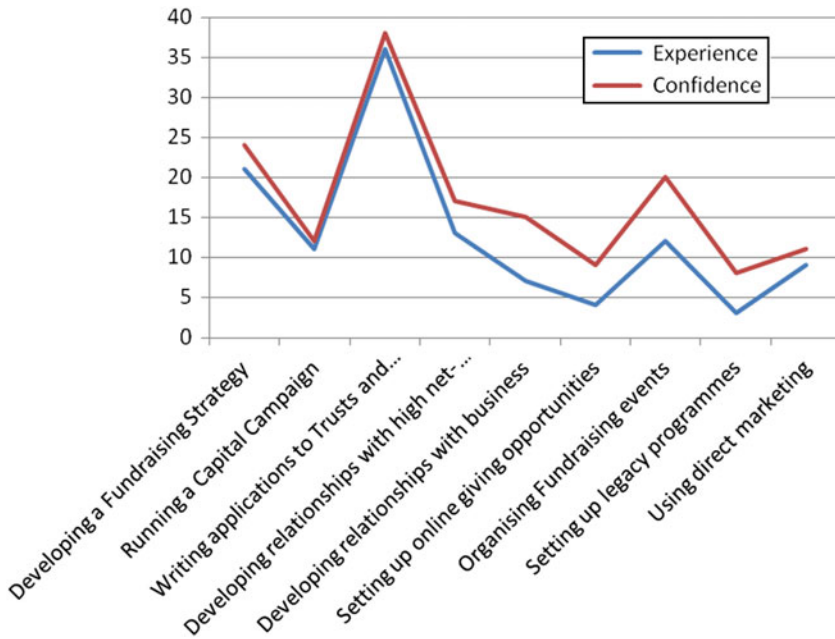


Figure 6. Comparison of confidence and experience levels.

Figure 6 takes the responses to individual questions about the different fundraising approaches and compares confidence in different techniques, based on an analysis of responses ranged between 3 and 5 (i.e. where respondents expressed average or above experience or confidence).

So for the first time, the sector has an evidence base that begins to answer the research question ‘how are archives in the UK funded?’ Some of the common assertions made within the archives sector are now supported by evidence:

- (1) Services are reliant on parent organizations for either the whole or the majority of their funding.
- (2) Little investment is made at a service level to diversifying funding sources.
- (3) Archivists are lacking in confidence and experience in a range of fundraising techniques.

However, analysis of the current climate does not represent a wholly gloomy picture. Recognizing that fundraising is still in its infancy within the archives sector, there are a number of healthy signs of the potential for future improvement and interventions to address some of the weaknesses and tackle some of the threats to this area of work.

### *Knowledge and understanding amongst archivists of HLF funding*

Data from both the research projects helped the researchers to understand better what funding resources are well developed and which are underdeveloped within the sector. The data from both pieces of research will be employed here, using the results of the 2007–2008 survey of the impact of the HLF on perceptions and roles of archivists to illustrate aspects and to deepen the discussion.

The archive sector has received substantial investment from the HLF (£290.48 million to archive and library projects between 1994 and 2010).<sup>49</sup> Archivists have been developing the capacity to access funding from HLF, with nearly 450 attending funding workshops through the Archive Lottery Advisory Service. Amongst focus group respondents, the HLF was still identified as the top funder that the sector should focus upon. Engaging with the funder at policy-making level and providing tailored support for individual applicants, as the Archive Lottery Advisory Service has done, is a model that can be drawn on for engagement with other funding sources. HLF increased funding for new grant awards, £375 million a year from 2013 to deliver its new strategic framework, so initiatives to support archive services to access HLF funding are still valuable.

The 2007–2008 research project sought to explore the level of knowledge and understanding of the HLF within the archive sector and how it had affected the role of the archivist. Survey respondents were asked to identify their relationship with HLF against a series of statements, including: ‘My post is funded by HLF’; ‘I have worked on an HLF application’; ‘I have project managed or run an HLF project’; ‘I have been part of a team working on an HLF funded project’; ‘My organisation has received HLF funding, but I didn’t work on the project’; and ‘No previous involvement with HLF’. Of the sample, 45% of the survey group indicated some active engagement with the HLF, with another 27% having worked in an organization in receipt of HLF funding. However, a substantial proportion, 28% of those who responded, had no direct experience of HLF. Length of time in the profession does not appear to be an indicator of experience of the HLF. It might be expected that the longer the career, the more likely an archivist would be to have had contact with HLF, and yet 38% of those who stated that they had ‘no previous involvement with HLF’ had worked in the sector for 13 years or more (i.e. they have worked in the sector for the duration of the Fund’s existence). Those working in specialist archives were much more likely to have had no experience of HLF (48%) than those working in publicly funded archives (21%). For this substantial group with only an indirect relationship to HLF, their perceptions of the funder, and the way these perceptions have developed, are a significant factor in HLF’s impact on the archive sector.

Even if an archivist was employed on an HLF-funded project, or within an archive service that has run an HLF-funded project, they do not necessarily gain an understanding of HLF’s aims or funding criteria. Once HLF has awarded a grant to a project, ownership of the project aims and plan seem to be transferred to it, and the role of the applicant organization and its staff seems to be minimized. Criticisms of the project, or its fit with the organization’s broader aims, can develop over time into a critical view of the funder, particularly where the link between those that developed the project and those involved with the project delivery is broken. One respondent commented:

In my last job I inherited an HLF-funded project from my predecessor ... What we really needed was an audit, to make sure it was all there, and a decent catalogue to improve access. What we ended up with was a project based around community and volunteering.

A powerful tool for information dissemination within the archive sector is networking and word of mouth. Whilst interpersonal communication provides huge benefits for the cross-fertilization of ideas and knowledge-sharing, there is also the threat of the spread of misinformation or partial knowledge. Within the focus groups there was acknowledgement that word of mouth had a significant impact on their views:

I know things are changing over the next few years, or at least we have heard the rumour that things are changing over the next few years with HLF – HLF funding and how it is going to be

made available and what is going to be available and where HLF funding, or generally lottery funding might be going – not into archives or that’s the rumour.

This rumour was not borne out, but experience of the Archive Lottery Adviser in talking to potential applicants illustrated that word-of-mouth communication is an incredibly quick and powerful mechanism. For example, it took only a matter of weeks from the HLF’s rejection of Organization A’s application, for staff at Organization C with contacts at Organization B to be told, ‘HLF no longer fund that type of project’. Such assertions, although based on no evidence, are very difficult to counter once they have begun to circulate. Bad news stories seem to have a much greater chance of gaining purchase in the archive sector than positive ones.

### *An embattled profession?*

Perhaps it is because such word-of-mouth stories play into a sense that archives are either beleaguered, or ignored, that lends them greater credence. A report on the effect of bidding culture on local authority museums, libraries, and archives, identified that archives were disproportionately affected by unsuccessful bids; whilst 25% of museums and libraries felt an unsuccessful funding bid would have a negative impact on their future bidding, this figure rose to 50% of archives.<sup>50</sup> Archivists seem to interpret ‘no’ as ‘no, go away’, whereas, as Ross and Segal have suggested, most fundraising ‘no’s’ actually leave room to continue exploring a relationship with that funder.<sup>51</sup> Responses to the survey question ‘How successful do you believe each domain is at gaining grant funding from the Heritage Lottery Fund?’ suggest a perception of archives as the ‘Cinderella domain’ in comparison with museums and libraries. Of the sample, 85% of archivists in the survey ‘agreed’ or ‘strongly agreed’ that museums were successful at gaining grant funding, 48% ‘agreed’ or ‘strongly agreed’ that libraries were successful at gaining grant funding, whereas only 31% ‘agreed’ or ‘strongly agreed’ to this statement in relation to archives. In fact, whilst museums had indeed received over £1.42 billion from the HLF, in comparison with £191.9 million for archives, libraries had received less HLF funding than archives at around £92.2 million.<sup>52</sup> The belief that archives lose out to museums and libraries was exacerbated by the way the different domains fared after the creation of the MLA in 2000, which was also criticized for underplaying the evidential value of the archive. The comparative successes of the ‘Renaissance in the Regions’ and ‘Framework for the Future’ as advocacy campaigns and funding initiatives for museums and libraries compared to the lack of government funding in response to the 2004 Archives Task Force perhaps demonstrate this point. Whether this will change with the transfer of archives powers to TNA in 2011, and those for museums and libraries to Arts Council England, is not yet clear.

At the time of the 2007–2008 survey, the HLF’s aims were ‘to encourage more people to be involved in and make decisions about their heritage’; ‘to conserve and enhance the UK’s diverse heritage’; and ‘to ensure that everyone can learn about, have access to and enjoy their heritage’.<sup>53</sup> The survey and focus groups invited archivists to consider the appropriateness of these aims: did they agree or disagree with these as broad aims in relation to the heritage of the UK? Did they agree or disagree that these aims are priorities for the archive profession as a whole; or important to their own archive service; or to their parent organization? Very few respondents contested the overall aims of the HLF in relation to the heritage sector and many commented along the lines that ‘HLF has had a positive cultural effect on archive services, encouraging them to address modern agendas and take a more creative and experimental approach’.

However, many respondents expressed concern that the evidential value of archives was not reflected in these aims. One respondent said that:

The involvement of HLF seems to me to have raised the profile of archives in the culture/heritage sector but to have taken the balance away slightly from the informational/business-related aspect.

This illustrates the long-standing perception of a tension between cultural and evidential values, and that by investing in the former the HLF has had a significant impact on the public value of the archive. And yet, the numbers of archive services that successfully apply to the HLF demonstrate widespread ability to develop projects that meet the HLF's strategic aims. When asked, 'Where funding is available for publicly funded archives, over and above core costs, what areas do you think archives should spend it in?', survey respondents identified online services, cataloguing, and preservation and conservation as their top priorities, all of which are fundable as elements of HLF projects.

No topic is more likely to elicit comments in relation to the HLF than cataloguing. There was a view amongst respondents that the HLF underplays the value of cataloguing:

HLF are very 'access' focused but don't recognise cataloguing as being an access activity by itself. When devising a project, a lot of time has to be spent devising HLF-friendly outreach to disguise the real work you want to do – creating a catalogue so the public can access a collection.

Considerable confusion about the role and value of cataloguing in HLF-funded projects led to the HLF including a number of statements on this issue in its specific guidance note for archive projects, first published in 2006.<sup>54</sup>

We see cataloguing, digitisation and retroconversion as important activities, which may need to be undertaken before people can access and learn from archives, but not as ends in themselves. We can support cataloguing, digitisation and retroconversion activities where they form part of a wider project that will provide additional activities to help more people access and learn from the material.

We will not support projects whose sole aim is to carry out cataloguing, digitisation or retroconversion. We are unlikely to fund projects that are aiming to catalogue the entire archive of an applicant organisation.

On one level, this is clearly a pragmatic approach to an almost limitless need for archive cataloguing, but perhaps this is indicative of a broader issue. Is the terminology of archival practice hampering an understanding of its importance amongst funders? Why, in the HLF's own language, are certain archival practices not seen as valid 'as ends in themselves'? Perhaps to non-professionals, cataloguing is symbolic of 'order, rationalisation, regularising' when the HLF's aspiration is to showcase the heritage sector as embracing creative dynamic opportunities.

It seems surprising that archivists have not expressed similar concern about HLF's approach to digital preservation needs, given that appraisal and preservation are the core to archival practice. The more archivists emphasize the core nature of cataloguing to their practice, the further they remove cataloguing from the concept of 'additionality' (i.e. that Lottery funding is not being used as a substitute for government funding), thus damaging the argument for cataloguing to be supported by the HLF. So why has cataloguing becoming such a focus of tension between the HLF's aims and the archivist? One possible explanation is that cataloguing is a signifier of much more than the act of creating effective finding aids, cataloguing has somehow become symbolic of professional practices under threat.

The idea of an embattled profession seems to link with much of the language used in exploring perceptions of the HLF's impact in both survey responses and focus groups.



A common complaint, particularly in terms of external factors that influenced the role of the archivist, was a lack of understanding of the profession: ‘Most people don’t know who or what we are, which has been a bit hard sometimes!’ together with questions about self-image eliciting self-deprecating responses, such as ‘I’m a bit of an anorak when it comes to filing’. Comments suggest that archivists can feel that there are unrealistic expectations of their service, whilst simultaneously believing it to be undervalued and underutilized. This article earlier referred to archives being disproportionately affected by the failure of funding bids, of the ability of bad news stories to gain validity through word-of-mouth transmission, of frustration that aspects of the value of archives are overlooked, and that archives are compared unfavourably with museums and libraries. As one survey respondent commented ‘I think Archives have not reached their full potential – the world seems to see archives in a certain limited sort of light, and the profession still acts to fit the role they have been cast in’. This perception has to be shifted and in a poor economic climate it is even more essential for archive services to articulate their value in order to fight for scarce resources. This requires archive services to have a more robust and nuanced approach to fundraising.

### *What support, advice, and training do archivists need to improve fundraising?*

The tradition of word of mouth in the archive sector can be used in a positive way, encouraging knowledge-sharing through networking. Some level of cultural shift in attitudes to fundraising could be achieved without the need for large-scale top-down change programmes. Models such as the Major Archives Project Learning Exchange<sup>55</sup> show how archive services can come together to create communities of practice; sharing knowledge based on their experience. Collaboration within the sector has created national inter-organizational infrastructures, such as the Archives Hub and Access to Archives. Local partnerships such as that investigated in the Greater Manchester Archives Feasibility Study could be built on.<sup>56</sup> A project led by the Archives and Records Association (ARA) in partnership with TNA to create a national digitization consortium focused on school records could provide a model for future collaborative working, in particular helping services with less experience of income generation to explore the potential of licensing images.<sup>57</sup> It also demonstrated how TNA can, in its leadership role, harness its own technical expertise, in particular its experiences around income generation, to support and advise the wider sector.

There are also precedents for bringing together funders to work collaboratively to support the sector. The National Cataloguing Grants Scheme launched in 2006 was instigated by The Pilgrim Trust. Working with TNA, this private trust has encouraged a number of foundations to contribute to a fund to support cataloguing projects, including The Foyle Foundation, The Wolfson Foundation, The Monument Trust, The Gladys Kriebel Delmas Foundation, The Mercers Company Charitable Foundation, The Goldsmiths Company, and The J Paul Getty Jnr Charitable Trust.<sup>58</sup> The demand for this scheme has more than demonstrated its value and the model shows that with the right argument to the right funders, cataloguing can attract external funding. The scheme not only supports the cataloguing work it funds, but also acts as a ‘nursery slope’ for archivists and organizations new to fundraising, enabling them to gain valuable experience of developing a case for support within a programme that is closely aligned to their core objectives. Collaborative approaches could also be explored with other forms of private giving.

With relatively small budgets and low profiles within their parent organization, it is not surprising that most archive services are risk averse, preferring to draw on the experience

of fellow archivists to improve their services, rather than pilot completely new approaches. This article reports above both a lack of experience and a lack of confidence within the sector in relation to testing out fundraising techniques. The difficulty of this professional culture is that if no service is willing to take the first step to try new approaches then stasis prevails. This has been recognized and initiatives such as the Archive Pace Setters programme have sought to support and celebrate innovation.<sup>59</sup>

Future professionals do have some education about fundraising: UCL, University of Dundee, and University of Liverpool all include financial planning and fundraising in core management courses for archivists and records managers in their postgraduate programmes,<sup>60</sup> however, this is inevitably a small part of an overall teaching programme and the timescales for graduating students progressing to budget holder roles will inevitably vary. Providing access to financial training might help to ameliorate this issue. This could be tackled at an individual level at key moments within a career progression (as identified via the competencies framework) through the ARA's Continuing Professional Development programme. It could also be embedded into support at an organizational level via the Archive Services Accreditation programme or mentoring. The identified need across the wider cultural sector might also enable collaboration between strategic agencies in supporting this area of development work, and the HLF is taking a lead in this area through its Catalyst Heritage building fundraising capacity programme.<sup>61</sup>

The profile of good fundraising practice needs to be raised within the sector. Identifying good practice from outside the sector and encouraging learning from it is one route, although traditionally archivists have struggled with learning from outside, finding this easiest where the good practice examples are from related sectors, for example libraries and museums. An alternative is to support innovation by reducing the risk to an individual archive service of testing out a new approach, for example by a 'development laboratory' providing small amounts of funding and support for pilots of new approaches. A 'development laboratory' provides an environment within which a pilot is not judged on a crude success/failure measure. In this way, the archive sector can be moved from struggling to learn from external good practice, to drawing from peer learning.

At a national level the sector lacks strong advocates, members of the profession with a public profile and 'the great and the good' willing to present the case for funding of archive services. Some attempts have been made to improve this situation, through the creation of the All Party Group on Archives and History and through individuals such as Professor Lisa Jardine, patron of the ARA. However, much more progress is needed to get key advocacy messages across at a national level and to set a context for local fundraising. At a local level, services need strong advocates both within and outside their organization to support their fundraising. Archivists need to have the confidence and skills to understand the motivations of individuals and businesses to give. The research suggested potential to capitalize on the highly engaged user of archives to attract more individual giving. Part of this could be 'crowdfunding', which is not a new concept, but the mechanisms that allow many individuals to give small amounts of money have changed. Technology has led to a boom in online giving platforms and associated opportunities for giving via mobile phones.<sup>62</sup> So far, few archives engage with online crowdfunding to any great extent. Further work is needed to explain to archives services how they might best use this technology and to articulate the benefits and weaknesses of this approach.

As well as using general giving platforms via the Internet, it is possible to create a collaborative platform specific to archive giving. This might be modelled on the Big Arts Give, an initiative in 2010 which aimed to encourage individual giving via matching donations to existing pledges using The Big Give website.<sup>63</sup> Another model might be a

national funding scheme under development that aims to develop a mobile giving infrastructure for the cultural sector.<sup>64</sup> This proposes to allow individuals to give via QR codes whilst visiting cultural venues. Quick response (QR) codes are added to wall texts for works of art, the aim being to respond to an immediate and targeted motivation to give, that is to support the conservation of a particular painting. The nature of archival access to individual records might make it possible to replicate this experience in an archive service. It is important for the sector as a whole to stay abreast of developments in this area, to learn lessons from new initiatives, and identify where it might be appropriate for archive services to get involved in wider giving initiatives.

There are, however, significant challenges for archive services in attempting to attract donations from high net worth individuals. There is a perception that major donors focus their attention on national London-based institutions and this accounts for the London figures outlined in the Arts & Business *Private Investment* survey. Major donations to support archives services do seem to follow this model, for example the £2.2 million donation from Hyman Kreitman to support the library and archive of the Tate.<sup>65</sup> When considering the elements necessary to attract major individual gifts, there are challenges for archive services. Some major gifts are motivated by a culture of peer-to-peer giving or giving as a social activity. Large cultural institutions are well placed to provide the environment for this type of giving through the individuals that constitute their boards, development committees or other high-profile advocates, and through opportunities to give at special ‘cultivation’ events. The high profile of the national museums and performing arts companies gives the donors a social kudos through association. As focus group attendees highlighted, the level and nature of investment that might be needed by an individual service to cultivate relationships with major donors would be unlikely to be forthcoming for both financial and political reasons and most archive services will need to accept that they cannot compete with these national cultural institutions. However, there is still the potential for archives to attract major gifts, perhaps focused on major capital campaigns or acquisitions. If the profession was able to develop a wider pool of national advocates for the sector, then there could be a natural progression to identifying likely major donors and brokering relationships with individual services.

## Conclusions

The two research projects, taken together, have established some baseline data for the funding position of archive services in England and Wales, from which to suggest ways in which funding sources can be enlarged, by exploiting the sector’s strengths and opportunities, and by addressing some of the weaknesses and external threats. The conclusion considers what a more robust funding mix might look like at both local and national level. Is it possible to identify a funding model for the sector overall which the sector could work towards? Does the ‘tripod’ model with its balance of earned income, private giving, and core (predominantly public) funding, provide a basis for a less risky future funding model? [Figure 7](#) visualizes a possible national target for the sector in the short to medium term, reducing reliance on core public funding and potentially increasing total income for archives by building up new sources of funds. The authors recognize that this represents a significant shift in the make up of funding for archive services and that individual services would not be in a position to match these targets but it might start to encourage archivists to diversify funding sources.

The model builds from the research data explored earlier in this article (and set out in detail in the published research report ‘Funding the Archive Sector’), which established

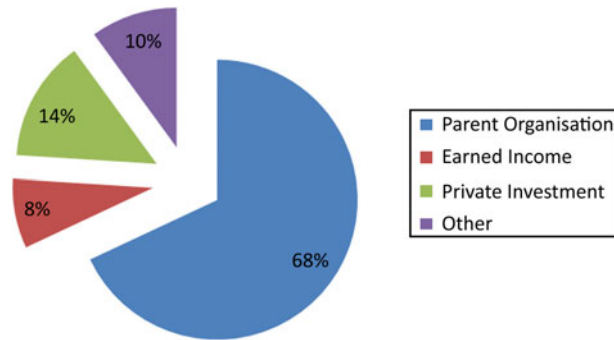


Figure 7. Aspirational national income mix for the archive sector.

the current (2012) funding mix.<sup>66</sup> It proposes a target of 8% of national funding for archive services from earned income (an increase of 3% of the 2012 national figure). A significantly greater increase is proposed in private investment (funding from trusts/foundations, individuals and business) from the current 3% of total income to 14%. Some archive services, such as those in universities, already exceed this target, suggesting potential in this area for future growth. Recognizing the reduction in statutory funding sources (including the loss of MLA), the model proposes that other funding from central government, non-departmental public bodies and other public-funding sources (including the HLF), as well as recharging within organizations for archival or records management services should make up around 10% of total income. The remainder of funding from parent organization contributions, at 68%, still represents a significant commitment for core funding from organizations.

For an individual archive service, it might be more helpful to think in terms of actions that might help promote change locally, rather than the specific proportions discussed above. Parent organizations must understand the need to continue to invest in their archive service so that external funding is not used to withdraw or reduce core funding but rather to grow capacity. Heads of service and other budget holders need to be confident in financial planning and have a clear understanding of the cost of all aspects of delivering their service. They also need to embed financial efficiency into service delivery, maximizing the benefit of both core and external funding. They need sufficient resources to develop a more strategic approach to fundraising and income generation and work with their parent organization on approaches that enable the archive service to harness the full benefit of successful fundraising and income generation. Ideally, they will work with their parent organization's development teams or draw on other internally available expertise, to do this. Services will then be able to access a greater range of funding sources through an analysis of strategic fit and return on investment, rather than simply chasing any funding. Income generating activities will then be pursued with an understanding of value both for profit generation and other purposes.

The skills required for effective fundraising need to be embedded into professional competencies frameworks for the archivist of the twenty-first century, as well as championing the skill set that makes up the effective archivist, to celebrate the broad values attributed to the archive, and to promote the archival profession on a wider stage. To create the necessary cultural shift to improve the ability of archives to access additional funding requires action at individual, organizational, and national level.

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## Notes

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