

Funding and sustainability in archives: a metasynthesis

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ENG Abstract. The financial management of archives is essential to guarantee their continuity and access to information in the long term. This study explores how public and private policies affect the sustainability of these institutions, highlighting how the funding of these services is essential for the pursuit of their mission. A systematic review of the qualitative literature on the funding and sustainability of archives is carried out, identifying gaps and emerging trends. Preliminary results point to a scarcity of studies. Strategies include diversification of sources, innovative fundraising and partnerships. While museums have made significant progress in this area, archives face challenges such as a lack of financial transparency and the absence of comprehensive data, making international comparisons difficult. Public funding is crucial, but revenue diversification is necessary to ensure sustainability. In summary, archives need to adopt an entrepreneurial stance and be open to new opportunities to ensure their financial sustainability; further research on these issues is also needed.

Keywords. Fundraising, archives, financing, financial transparency, sustainability.

ES Financiamiento y sostenibilidad en archivos: una metasíntesis

ES Resumen. La gestión financiera de archivos es esencial para garantizar su continuidad y el acceso a la información a largo plazo. Este estudio explora cómo las políticas públicas y privadas afectan la sostenibilidad de estas instituciones, destacando la importancia del financiamiento de estos servicios para el cumplimiento de su misión. Se lleva a cabo una revisión sistemática de la literatura cualitativa sobre el financiamiento y la sostenibilidad de los archivos, identificando brechas y tendencias emergentes. Los resultados preliminares señalan una escasez de estudios. Las estrategias incluyen la diversificación de fuentes, la recaudación de fondos innovadora y las alianzas. Aunque los museos han avanzado significativamente en este ámbito, los archivos enfrentan desafíos como la falta de transparencia financiera y la ausencia de datos integrales, lo que dificulta las comparaciones internacionales. El financiamiento público es crucial, pero la diversificación de ingresos es necesaria para garantizar la sostenibilidad. En resumen, los archivos necesitan adoptar una postura empresarial y estar abiertos a nuevas oportunidades para garantizar su supervivencia financiera, y se necesita más investigación en torno a estos temas.

Palabras clave. Recaudación de fondos, archivos, financiamiento, transparencia financiera, sostenibilidad.

Sumario. 1. Introduction. 2. Materials and methods. 3. Results. 4. Conclusion. 5. References.

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1. Introduction

The binomial of funding and sustainability of archives falls within the scope of management and policies, especially public policies on information, although not exclusively. In other words, it has a direct impact on their management, from creation/capture to organisation and representation, access and reuse, in a timely manner, with effectiveness and efficiency, and in the long term, which also implies their preservation, and more specifically policies for archives. Dollery, Byrnes and Crase (2007) define financial sustainability as the effective risk management that allows for the continuation of an organization's planned spending and to ensure that the services remain undisturbed. Policies cannot be reduced to principles and statements, nor can they be confused with legislation. In order to be able to affirm their existence, it is essential that, following the definition of the principles, which constitute the strategic orientation, programmes and projects are defined, as well as their implementation, so that public policies can be implemented and evaluated (and the same can be said for private, organisational policies). However, their implementation depends on resources: material, from facilities to furnishings and other equipment, including technology; financial; regulatory; and human, on which the quality of policies depends most, although they are sometimes the most overlooked resources.

In this sense, the topic of funding archives has to do with public and/or private policies, of a governmental or institutional nature, and their implementation, through the specific allocation of a specific type of resource, the financial one, but which implies the other resources, without which their proper operation is not possible. Sustainability, on the other hand, has to do with maintaining it in the long term, to guarantee the existence of the institution and its object - the accumulated information - in the long term, i.e. in permanent terms, allowing access to it for future generations, which implies, in most cases, rather the funding itself, but the financial reinforcement. Because other problems arise here, namely those related to preservation and technological obsolescence, which entail investments, also financial (information technologies acquisition, staff selection and recruitment and team management and retention, facilities, environmental conditions and adaptation. Problems also arise in the information organisation and representation, in order to promote its timely access, increasingly dependent on the conditions of semantic, technical, legal, preservation, organisational and inter-organisational interoperability, in other words, (supra-) systemic interoperability, which is currently being developed mainly within the Public Administration, but which we would like to see for society as a whole.

Preliminary research into the literature published on the topic attests to its scarcity. Evidence of this is the absence of any entry regarding "Funding" or "Fundraising archives" in the *Encyclopedia of Archival Science* by Duranti and Franks (2015), with a brief reference to financing in the "donation" entry (Hartsook, 2015).

Our aim is to carry out a meta-synthesis of qualitative literature within an interpretative paradigm, orientated towards theory-building on how the topic of funding archives to guarantee their sustainability has been addressed in international scientific literature.

2. Materials and methods

Subjects that are little explored in scientific literature benefit from qualitative approaches (Barnett-Page and Thomas, 2009). Metasynthesis is a type of knowledge synthesis of qualitative literature that aims to present results with a predominantly interpretive approach (Fingeld, 2003; Fingeld-Connett, 2018; Sandelowski and Barroso, 2010). In this way, this study adopts an interpretivist perspective, with a view to explaining the different theoretical approaches that have addressed this topic (Sim; Mengshoel, 2023).

The authors' reflexive stance is mirrored in the research process. While L. Macedo carried out the preliminary literature research and defined the methodological approach, C. G. da Silva analysed and interpreted the data. As this is a first approach to the topic, we believe that this is an ongoing investigation by Portuguese researchers.

2.1. Research questions and objectives

Unlike to literature knowledge syntheses which, in line with the nature of the study, opt to formulate structured questions (Booth, 2004), this meta-synthesis, as suggested by Fingeld-Connett (2018), opts to formulate more general questions, which may be followed by more specific ones, depending on the development of the research and in line with the intrinsic characteristics of qualitative research. Although Laperdrix (2011) carried out a literature review on the topic of fundraising, this study focuses, we believe for the first time, only on the topic of funding and sustainability in archives.

Thus, with the problem unknown, which needs to be explored, we have defined the following research questions:

RQ1. How is the funding of archives addressed in scientific and technical literature?

RQ2. What are the main challenges faced by archives in the search for more diversified sources of funding to ensure their sustainability?

RQ3. How important is access to financial information for archives?

As research objectives, it is considered necessary to:

- a) Carry out a systematic review of the qualitative literature on the topic of funding and sustainability in archives, identifying research gaps and emerging trends;
- b) Research the challenges faced by archives in accessing funding, analysing the strategies recommended in the literature to overcome them;
- c) Investigate access to financial information for archival services, with a special focus on European countries.

2.2. Research strategy

The research was carried out in different phases and in an iterative way: a) preliminary research in databases, namely Clarivate Analytics/Web of Science Core Collection (WoS), Elsevier/Scopus (Scopus) and Google Scholar (GS through Publish or Perish or PoP) and b) review of the bibliographical references of the set of texts included, with a focus on identifying texts of different types. In these databases, in phase a) we used English descriptors such as financ* OR fund* AND archiv* (WoS and S) in occurrences of titles. In the case of GS, we used them to help with phase b) at title level. The data obtained was processed in Endnote, where duplicate records and incomplete data will be resolved.

Table 1. Used Algorithms

Database	Descriptors
Scopus	TITLE ((financ* AND archiv*) OR (fund* AND archiv*)) AND PUBYEAR > 1934 AND PUBYEAR < 2024 AND (LIMIT-TO (DOCTYPE , "ar") OR LIMIT-TO (DOCTYPE , "ch") OR LIMIT-TO (DOCTYPE , "bk") OR LIMIT-TO (DOCTYPE , "cp")) AND (LIMIT-TO (PUBSTAGE , "final")) AND (LIMIT-TO (SRCTYPE , "j") OR LIMIT-TO (SRCTYPE , "b") OR LIMIT-TO (SRCTYPE , "p") OR LIMIT-TO (SRCTYPE , "k")) (n=53)
WoS	TI=((financ* archiv*) OR (fund* archiv*)) and Article or Review Article or Book or Dissertation Thesis (Document Types) (n=68)
GS (via PoP)	Title occurrences: financing archives (n=6); funding archives (n=13); funding archive (n=14); financing archive (n=1); funding archival (n=5); financing archival (n=3)

Source: own work.

2.3. Inclusion and exclusion criteria

The inclusion of eligible texts in this meta-synthesis must respond directly to the original questions and objectives. The primary criterion for inclusion is the selection of texts that directly address the issue of funding and/or financial sustainability in the management of archive services. This information tends to appear in certain more visible sections such as the title (Haggan, 2004), complemented by a reading of the abstract and keywords. The research focused on the inclusion of monographs, book chapters, scientific articles, conference proceedings, scientific reports and dissertations, excluding all other typologies that did not fit this criterion. We did not establish any exclusion criteria in terms of starting dates, as it is important to understand how this topic has been approached over time, except in this case for publications in the course of 2024. From a linguistic perspective, we chose texts published in any language as long as there was an abstract in English.

From a thematic standpoint, we have excluded texts that refer to:

- a) studies of a historical nature, focusing on the importance of the financial information of certain institutions rather than on the actual economic and financial conditions in which the archival services exist;
- b) the design of records management systems regarding financial information;
- c) the theoretical and methodological perspectives for the record management analysis of financial information;

The diagram used to represent the selection flow is based on PRISMA 2020 (Haddaway *et al.*, 2022; Page *et al.*, 2021) and Rayyan (Ouzzani *et al.*, 2016).

2.4. Qualitative analysis and synthesis of the results

The interpretivist approach of this meta-synthesis is based on constructivist Grounded Theory (Charmaz, 2006). After a careful study of the texts, textual segments were categorised as part of an inductive approach, using open codes and memos in an iterative process that led to the construction of categories and themes that best matched the starting questions (see table below). The authors avoided making abstractions in the coding process, endeavouring to keep as close as possible to the texts included. No quality assessment approach (e.g. CASP) was applied, as this is a topic that has not been widely covered in the literature and could exclude relevant texts due to formal criteria (Finfgeld-Connett, 2018).

Table 2. Example of a coding strategy

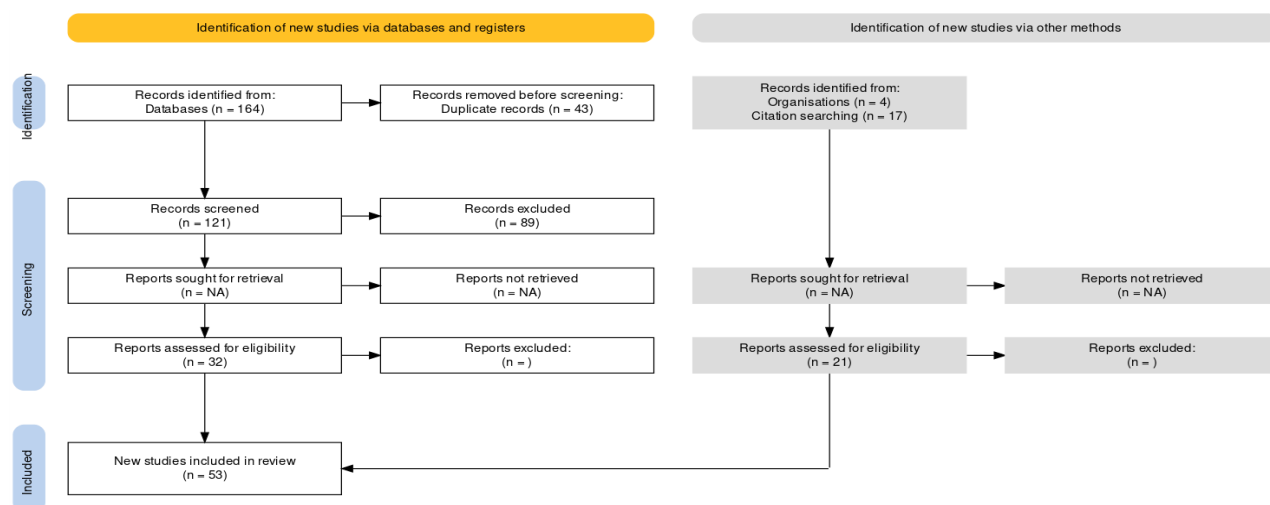
Codes	Sub-categories	Categories
Revenue generation	Financing models	Funding archives
Resources capture		
Sponsorship/Patronage		
Fundraising		
Economic and financial profile	Funding trends and challenges	
Structural changes	Impact of funding	Financial sustainability
Technological innovation		
Best practices		
Accountability	Access to financial information	Financial transparency
Management benchmarks		
Financial literacy		Professional training

Source: own work.

3. Results

3.1. General characteristics of the texts included

Fifty-three texts were included in this meta-synthesis out of a total of 186 records, of which 88.59% were retrieved from the selected databases and 10.87% from the selection of bibliographical references of the included texts.



(Graph 1) PRISMA 2020 flow. Source: own work, based on Haddaway *et al.* (2022).

The texts included span from 1969 to 2022. From the most productive authors' angle, we have Laperdrix (2011; Ray *et al.*, 2013; Ray, Shepherd; Laperdrix, 2012), although not always as first author, while others have produced at least two texts on the subject and, for the most part, in co-authorship with more than two authors (Carlin, 2002a, 2002b; Claeson, 2021; Lomax *et al.*, 1997; Maher, 1978, 1982; Ray *et al.*, 2013, 2012).

From the perspective of scientific genres, 62.26% correspond to scientific articles, 13.21% to book chapters, 11.32% to conference papers, 5.66% to technical-scientific reports and lastly, with 3.77%, to dissertations and books, respectively.

With regard to the periods of greatest production on the topic under study, there was a greater concentration of texts in the 2010s (n = 21) and 1990s (n = 7), in contrast to the 1980s (11.32%), with the lowest volume of publications. The years of greatest production were 1982 (n = 5) and 2021 (n = 6).

Table 3. Texts included in the meta-synthesis

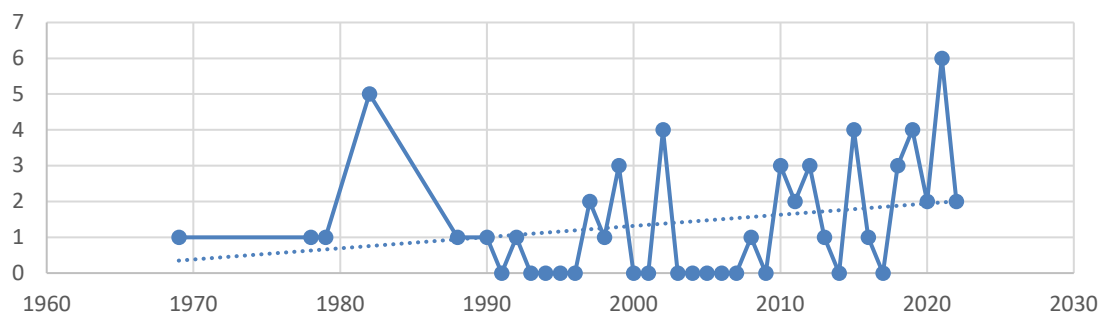
#	Author/Publication year	Title	Genre	Source title
1	Bellamy (1969)	Financial sources for church archival programs	Journal article	<i>The American Archivist</i>
2	Maher (1978)	The Importance of Financial Analysis of Archival Programs	Journal article	<i>The Midwestern Archivist</i>
3	Kohl (1979)	Trends in Funding Archival Programs: An Analysis of Proposals Submitted to the NHPRC	Journal article	<i>Georgia Archive</i>
4	Lang (1982)	Private archives and public funding: The National Heritage Memorial Fund	Journal article	<i>Archives: The Journal of the British Records Association</i>
5	Field (1982)	The Impact of Federal Funding on Archival Management in the United States	Journal article	<i>The Midwestern Archivist</i>
6	Stone (1982)	Private Archives and Public Funding: Preservation of the Heritage - Central Funding and Support	Journal article	<i>Archives: The Journal of the British Records Association</i>
7	Maher (1982)	Measurement and Analysis of Processing Costs in Academic Archives	Journal article	<i>College & Research Libraries</i>
8	Coachworth (1982)	Private Archives and Public Funding: The Victoria and Albert Museum Purchase Grant Fund	Journal article	<i>Archives: The Journal of the British Records Association</i>
9	Cox (1988)	Fund Raising for Historical Records Programs: An Underdeveloped Archival Function	Journal article	<i>Provenance: Journal of the Society of Georgia Archivists</i>
10	Stanley (1990)	Space, Funding, and Heritage: The Montreal-Ottawa Conference Archives	Journal article	<i>Archivaria: The Journal of the Association of Canadian Archivists</i>
11	Moss (1992)	Changes in the structure and financing of universities: The impact on archives and research collections	Journal article	<i>Journal of the Society of Archivists</i>

12	Lomax <i>et al.</i> (1997)	A Guide to additional sources of funding and revenue for libraries and archives	Book	
13	Robinson (1997)	Surrey history centre: The experience of lottery application	Journal article	<i>Journal of the Society of Archivists</i>
14	Boomgard <i>et al.</i> (1998)	Report submitted to the Conference: Financing Archival Services	Conference article	<i>Financing archival services: Proceedings of the twenty-eight International Conference of the Round Table on Archives (CITRA), Haarlem 1991</i>
15	Cadell (1999)	Financing of archives	Journal article	<i>Arhivski vjesnik</i>
16	Rockwell (1999)	Funding social science data archiving and services in the networked environment	Journal article	<i>Journal of Library Administration</i>
17	Schmidt (1999)	Fundraising für Hochschulbibliotheken und Hochschularchive: Fachtagung in Potsdam	Journal article	<i>Bibliotheksdienst</i>
18	Eldridge (2002)	The price of eternal vigilance: is democracy compromised by the under-funding of archival services?	Journal article	<i>Innovation</i>
19	Carlin (2002a)	NARA's 2002 Budget Ensures Progress Toward Strategic Goals	Journal article	<i>Archival Outlook</i>
20	Carlin (2002b)	President's Fiscal Year 2003 Budget Proposal Will Advance NARA's Goals	Journal article	<i>Archival Outlook</i>
21	Harrop <i>et al.</i> (2002)	Bidding for records: Local authority archives and competitive funding	Journal article	<i>Journal of the Society of Archivists</i>
22	Weistein (2008)	A Word About the Archives' Budget—and the Quality of Our Staff	Journal article	<i>Prologue</i>
23	Sweeney (2010)	Lady sings the blues: The public funding of archives, libraries, and museums in Canada	Book chapter	<i>Better off Forgetting? Essays on Archives, Public Policy and Collective Memory</i>
24	Beyea (2010)	Pennies from heaven: The history of public funding for Canadian archives	Book chapter	<i>Better off Forgetting? Essays on Archives, Public Policy and Collective Memory</i>
25	Calderón (2010)	Iberarchivos-Programa ADAI: 10 años de cooperación iberoamericana en el ámbito de los archivos	Journal article	<i>Comma</i>
26	Laperdrix (2011)	Fundraising Archives: a literature review	Journal article	Unpublished (https://cdn.nationalarchives.gov.uk/documents/archives/appendix-8-1-literature-review.pdf)
27	Stanziola (2011)	Some more unequal than others: alternative financing for museums, libraries and archives in England	Journal article	<i>Cultural Trends</i>
28	Ray <i>et al.</i> (2012)	Funding the Archive Sector: Research Report	Report	Unpublished (https://cdn.nationalarchives.gov.uk/documents/archives/funding-the-archive-sector.pdf)
29	Robertson (2012)	The Archival Imperative: Can Oral History Survive the Funding Crisis in Archival Institutions?	Book chapter	<i>The Oxford Handbook of Oral History</i>
30	Thornton (2012)	Archiving of Comprehensive Annual Financial Reports (CAFRs) on State Government Web Sites	Journal article	<i>Behavioral and Social Sciences Librarian</i>
31	Ray <i>et al.</i> (2013)	Funding archive services in England and Wales: institutional realities and professional perceptions	Journal article	<i>Archives and Records: The Journal of the Archives and Records Association</i>
32	Asamoah <i>et al.</i> (2015)	Funding memory institutions in Ghana: The case of Public Records and Archives Administration Department (PRAAD)	Conference article	<i>4th International Conference On African Digital Libraries & Archives (ICADLA-4), Ghana</i>
33	Asato <i>et al.</i> (2015)	Exploring the Kyoto Digital Archives Project: Challenging the funding model of digital archive development	Conference article	<i>Digital Libraries: Providing Quality Information 17th International Conference on Asia-Pacific Digital Libraries, ICADL 2015, Seoul, Korea</i>
34	The Laura X (2015)	Opening the Info Vault: Preserving, Digitizing, and Funding the International Women's History Periodical Archive	Conference article	<i>Women's History in the Digital World</i>
35	Younger (2015)	The Role of Earned Income in Archive Funding	Dissertation	
36	Jackson <i>et al.</i> (2016)	Funding the future of African American religion archival collections	Journal article	<i>Theological Librarianship</i>

37	Pérez-Santana (2018)	La estadística de archivos en el marco de la transparencia. Radiografía de 2017	Book chapter	<i>La función de archivo y la transparencia en España</i>
38	Mackenzie (2018)	Evaluation of the Fundraising for Archives programme	Report	Unpublished (https://cdn.nationalarchives.gov.uk/documents/fundraising-for-archives-redquadrant-evaluation-report.pdf)
39	Pacios; La Torre Merino (2018)	Spanish historic archives' use of websites as a management transparency vehicle	Journal article	<i>Archival Science</i>
40	Teillet (2019)	Le mécénat aux Archives nationales, l'essor d'un outil pour financer le patrimoine et créer du lien avec l'extérieur	Journal article	<i>Gazette des Archives</i>
41	Pacios; Cerdá Díaz (2019)	Transparencia en la gestión del archivo como unidad organizativa. Una propuesta de indicadores para su evaluación	Conference article	<i>Memorias del XIII Congreso de Archivología del MERCOSUR. Paradigmas de los archivos en las políticas públicas. Conferencias, ponencias, carteles y conclusiones. Montevideo</i>
42	Holden <i>et al.</i> (2019)	Income Generation Guide	Report	Unpublished (https://cdn.nationalarchives.gov.uk/documents/archives/income-generation-guidance.pdf)
43	Bukvić (2019)	Financiranje državnih arhiva kroz programe javnih potreba u kulturi Republike Hrvatske (transl. State Archives Financing within Programmes of Public Needs in the Cultural Portfolio of the Republic of Croatia)	Journal article	<i>Arhivski vjesnik</i>
44	Runyon (2020)	Bills, Bills, Bills: An Investigation of How Libraries and Archives Seek Disaster Recovery Funding	Dissertation	
45	Rydbeck; Johnston (2020)	LAM institutions: a Cross-country Comparison of Legislation and Statistics on Services and Use	Book chapter	<i>Libraries, Archives and Museums as Democratic Spaces in a Digital Age</i>
46	Blair <i>et al.</i> (2021)	Building a COVID-19 Web Archive with Grant Funding	Conference article	
47	Joffrion (2021)	Funding, sustainability, and cross-institutional collaboration	Book chapter	<i>Economic Considerations for Libraries, Archives and Museums</i>
48	Riley (2021)	Collaboration north of the (U.S.) border	Book chapter	<i>Economic Considerations for Libraries, Archives and Museums</i>
49	Clareson <i>et al.</i> (2021)	A case study for collective action through federal grant funding: Grant programs that saved history	Book chapter	<i>Economic Considerations for Libraries, Archives and Museums</i>
50	Pacios; Martínez-Cardama (2021)	Active disclosure of Spanish historic archives' economic-financial information	Journal article	<i>Archives and Records: The Journal of the Archives and Records Association</i>
51	Matthew (2021)	Fundraising for Impact in Libraries, Archives, and Museums	Book	
52	Assmann (2022)	Funding Archives. Mobilizing resources for archiving. Navigating the Digital Age in the Archival Universe.	Conference article	Celebrating the 40th anniversary of the Archives and Research Center for Ethnomusicology (ARCE) and the 60th anniversary of the American Institute of Indian Studies
53	Eschenfelder <i>et al.</i> (2022)	The financial maintenance of social science data archives: Four case studies of long-term infrastructure work	Journal article	<i>JASIST Journal of the Association for Information Science and Technology</i>

Source: own work.

The following graph shows several periods of discontinuity in studies on this topic.



(Graph 2) Evolution of the topic according to the studies included (n=53). Source: own work.

It's notable that the majority of the articles retrieved are in publications in the LIS field, namely *Journal of the Society of Archivists* (n=3), *Archives* (n=3), *Archives and Records* (n=2), *Archival Outlook* (n=2), *Arhivski vjesnik* (n=2), *The Midwestern Archivist* (n=2) and the remaining journals with only one occurrence.

A significant proportion of the studies included were written in English (86.79%), followed by Spanish (5.66%), French, German and Croatian (1.89% each).

From the perspective of the regional origin of the institutions in which the authors are affiliated, it can be seen that a significant proportion of the visible production comes from European countries, with the UK (26.42%), Spain (9.43%) and France (1.89%) standing out; in America, a large part of scientific production is concentrated in the United States of America (33.96%) and Canada (7.55%); on the African continent, the most relevant scientific production comes from South Africa (5.66%) and Ghana (1.89%); lastly, Australia, with 1.89%. With regard to the roles reported by the authors in terms of their academic/professional affiliation, although 16.67% did not provide any information on their institutional affiliation, 37.04% reported belonging to an archival institution; 33.33% to university research centres; 9.26% to professional associations in the archival sector and 3.70% to companies providing consultancy services. This data points to the fact that the financing of archives is not yet part of the intervention actions of the sector's professional associations.

3.2. Summary of results

3.2.1. Funding archives: resilience and sustainability

Since the beginning of the 21st century, several studies have analysed the instrumental value of museums, libraries and archives, as well as the social and economic impacts of cultural services (Asamoah *et al.*, 2015; Beyea, 2010; Matthew, 2021; Ray *et al.*, 2013; Riley, 2021; Runyon, 2020; Rydbeck; Johnston, 2020; Stanziola, 2011; Sweeney, 2010). However, with regard to the funding of archives, several authors have emphasised the fact that scientific production is scarce and incipient (Boomgard *et al.*, 1998; Bukvić, 2019; Cadell, 1999; Clareson, 2021; Laperdrix, 2011; Lomax *et al.*, 1997; Maher, 1978, 1982; Ray *et al.*, 2013, 2012; Stanziola, 2011), especially when compared to museums, in greater numbers, and libraries, as is the case for other archive resources, and several explanations can be inferred for this issue. From identifying funding challenges and diversifying funding sources to devising fundraising strategies and innovative business models, the texts included address issues such as the increasing difficulty of obtaining adequate funding for their projects (Ray *et al.*, 2013, 2012; The Laura X, 2015), the downward trend in public funding (Lomax *et al.*, 1997; Ray *et al.*, 2012), dependence on external funding (R. Cox, 1988; Harrop *et al.*, 2002; Jackson *et al.*, 2016; Joffrion, 2021; Kohl, 1979; Mackenzie, 2018) and competition for limited resources (Asamoah *et al.*, 2015; Joffrion, 2021; Moss, 1992). These realities are common in both public and private archives (Coachworth, 1982; Lang, 1982: 198; Stone, 1982).

Maher, in one of the first studies on funding in the context of archives, looks at the use of cost analysis to measure the efficiency of processing archival and manuscript collections at an academic archives" (1982: 59) based on studies carried out at the University of Illinois at Urbana Champaign. In addition to the relevance of information on the cost and time spent on management, which allows productivity and efficiency to be measured, it makes it possible to "justify the budget and staff resources of the archives program, draft realistic grant proposals, and make better decisions about acquiring collections needing extensive processing" (1982: 60). Field (1982), for his part, reflects on the role and impact of federal funds on archives and archival management, as well as critically evaluating the effectiveness of these funds. The author questions whether federal funds have really contributed positively to archival management and suggests that, instead, they may have weakened the influences that drive strong archival programmes, such as leadership. In addition, the paper discusses the fragmented nature of funding and the potential impact of grants on the creation of temporary and permanent employment opportunities, as well as the establishment of new sustainability-oriented programmes, given the highly changing social, political, economic and environmental contexts (Runyon, 2020).

Stanziola investigates how organizational infrastructure and attitudes towards innovation and risk at museums, libraries and archives in England affect their propensity to diversify financing sources, concluding that, after more than 50 years (60 years, today) of policies and programmes to support funding diversification in the UK cultural sector, "the sector remains dependent on public funding and relatively reluctant to explore new ways of exploiting their assets" (2011: 113). This is a study that acquires relevance when it expands on initial descriptive analysis undertaken from responses to a questionnaire on financial sustainability at museums, libraries and archives in England commissioned by the Museums, Libraries and Archives Council in 2008 (Museums, Libraries and Archives Council, 2008 cit. by Stanziola, 2011). Also, research suggests that nonprofit organizations with more diversified revenue sources ensure and increase organizational sustainability, and urban-located GLAM "are likely to be in closer proximity to alternative sources of financing" (Stanziola, 2011: 119). For instance, in U.K. national museums have increased "their share of funding from private donors and sponsors in the past few decades" strengthening "their marketing functions as a key tactic to ensure financial sustainability (Stanziola, 2011: 116). Another aspect highlighted is that "the organisational dimension has also been identified as a key variable affecting a cultural enterprise's ability to attract funding" (Stanziola, 2011: 117).

In a literature review paper about "Fundraising Archives", Laperdrix mentions that "specific events or fundraising [finding funds for archives] campaigns are not common practice in archives" (2011: [1]), and she concludes that using new technologies to create and develop electronic collections can open a new field for finding funds. She also notes some studies highlight that "if the 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" (Laperdrix, 2011: [7]), as any archives can supports any cultural or educational project with a social impact.

A paper published by Ray *et al.* in 2013 entitled "Funding archive services in England and Wales: institutional realities and professional perceptions" focuses on two studies 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 financed, the perceptions of funders and fundraising among archivists. Both studies aimed to investigate the institutional contexts and sources of funding, as well as the combination of funding sources for archives, proposing benchmarks and a funding model combined with the

findings show that there are both well-established and underdeveloped fundraising techniques in the sector, and conclude that there is a need for a more robust combination of funding and the development of professional fundraising skills (Ray *et al.*, 2013), to which they refer to various guidelines for the development of training curricula for archivists. As early as 1992, Richard Cox considered fundraising "an underdeveloped archival function" (R. J. Cox, 1992: 172). Let's remember, however, that the reality of cultural funding, in the case of the United Kingdom, is based on three combined pillars: public funding (for the most part), private donations, and (own) revenue generation, which is common in the cultural industry of the English-speaking world (Pacios; Martinez-Cardama, 2021; Ray *et al.*, 2012). Curiously, and despite the lack of research into the investment needed to provide effective services, or how to finance them, these projects aimed to support policy-making in order to identify a financing model for the sector.

The literature review also points to the funding of memory institutions in European terms, based on cultural tourism and other cultural activities (Asato; Wertheimer, 2015; Harrop *et al.*, 2002; Matthew, 2021; Ray *et al.*, 2013; Riley, 2021; Teillet, 2019), as a way of overcoming the sector's underfunding trend (Clareson, 2021; Eldridge, 2002). However, archives are rarely considered in this context, so nothing seems to have changed since the publication of Freeman Finch's book *Advocating Archives* (1994), as Ray *et al.* (2013) and Sweeney (2010) have rightly noted. In their review of the literature, these authors also identified projects, albeit few in number, in which archives invest in studies to account for their financial spending, seeking to gauge its value by relating it to the archive's impact on historical research (Ray *et al.*, 2013). In this respect, archives' websites and social networks are considered important tools for promoting the activities of institutions and finding new donors, given their mediation in terms of visibility, enabling the development of partnerships between institutions and companies that can provide information technologies and expertise for the development of tools. Let's remember *Wikimedia*, which has built strong partnerships with the Louvre Museum and the Metropolitan Museum of Art in New York, but also with municipal archives such as Toulouse (France), which used the *Wiki* framework to build a new bridge between collections and netizens, simultaneously offering an interactive tool and encouraging collaborative research. From the perspective of businesses, there is recognition here of a prestigious opportunity to associate with cultural projects of significant social interest, as evidenced by the growing interest in crowdsourcing funding for projects in a digital environment (Ray *et al.*, 2013). The National Council on Archives (NCA) report on funding priorities for archives in the United Kingdom, 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" (Ray *et al.*, 2013: 178), who have received scant funding from the National Lottery since 1994 (Robinson, 1997).

Despite the scarcity of statistical data of a financial nature regarding archives, in the aforementioned Anglophone context, Weinstein (2008 cited by Pacios and Martinez-Cardama, 2021) discusses archive budgets in *Prologue*, a quarterly journal edited by the National Archives and Records Administration of the United States (NARA), in the spring 2008 issue, in an article titled "A word about the archives' budget - and the quality of our staff," addressing the source of archive funding and the increasing costs they face due to technological development, the need for long-term information preservation, and its increasing availability online. Other NARA professionals have published studies in journals such as *Archival Outlook*, edited by the Society of American Archivists. For example, Carlin (2002a, 2002b) authored a study linking institutional budgets with strategic objectives.

However, some national archives demonstrate good practices in terms of disclosing economic and financial information, notably through their websites. Examples include the National Archives and Records Administration (USA), The National Archives (UK), National Archives of Australia, and the Archivo General de la Nación de Uruguay (Pacios; Martinez-Cardama, 2021). In some cases, there is the possibility of budgetary performance comparison between countries regarding archives, as seen in Norway and Denmark (Rydbeck; Johnston, 2020), although there are predominant cases where comparisons between political-budgetary traditions among countries are particularly incompatible (Boomgard *et al.*, 1998; Cadell, 1999). In the national archives of the United States and Australia, budget allocations are related to strategic objectives, in the case of the former, to comply with the provisions of the "Government Performance and Results Modernization Act of 2010" (GPRA Modernization Act). Meanwhile, the financial reports of the United Kingdom, the USA, and Australia are more comprehensive, "associating a thorough evaluation of effectiveness with financial data," offering an analysis that enables readers to have a clear view of the work carried out (Pacios; Martinez-Cardama, 2021: 190).

Even in 2022, Assmann, arguing that "archives are expensive spaces" (2022: [1]), posed the following questions about archive funding very directly: "How do archives justify their existence and entice funders?" And, "Why is it so difficult for archives to get public funding to safeguard their materials, acquire more collections and remain sustainable?" (2022: [1]). Being a paper that responds to research and community archives set up to preserve the heritage of communities, Assmann underlines and concludes that "a fundamental requirement to fundraising is ensuring the donor recognises the values the archives offer and identifies with its mission" (2022: [6]). But "archives usually are not, or resist, entrepreneurial or forward-thinking" (2022: [7]). She adds,

entrepreneurial thinking means to be enterprising, taking calculated risks and always being on the lookout for new opportunities. Additional income reduces the dependence on a single revenue source (...) but requires an open-minded approach to recognise opportunities and ways to generate revenue. (Assmann, 2022: [7]).

Thus, the tripod model proposed by the British National Archive promotes revenue diversification, seeking funding from a large array of sources: subsidizers (public funding), funds (internal funding minimum 8%) and other partners (sponsorships/donations).

As the author states, "Diversification of revenue requires the archives to adopt a culture of being proactive, innovative, and monitoring global trends" (Assmann, 2022: [7-8]). Of course, many of these aspects discussed challenge the nature of traditional archives, as mentioned by Assmann (2022).

3.2.2. Training for fundraising

In May 2018, the report on the *Evaluation of the Fundraising for Archives programme* at The National Archives of the United Kingdom was published, coordinated by Sue Mackenzie (2018). The *Fundraising for Archives* training programme, conducted between 2016 and March 2018, is delivered by The National Archives and funded by the Heritage Lottery Fund. Its purpose is to support the country's archives sector and enhance archivists' skills in fundraising and fund management. The programme resulted from the study "Funding the Archives Sector," which "identified a range of skills gaps and development needs in the sector to achieve sustainable services and attract external fundraising" (Mackenzie, 2018: 3).

The training focused on ten key areas, including:

Financial preparedness: planning, efficiency and resilience; First steps in developing a fundraising strategy; Building a case for support; Developing advocates and in-kind support; Capital campaigns; Running fundraising events; Individual giving: legacy, crowd-sourcing, relationship management (stewardship) and major gifts; and Measuring outcomes. (Mackenzie, 2018: 3).

The topic of fundraising for archives has, and continues to, hold great importance in the U.K., that The British Library published *A guide to additional sources of funding and revenue for libraries and archives* (Lomax *et al.*, 1997, 2000), including Susan Palmer, the second author, of the Society of Archivists. The second edition, besides to update many data of the first edition, extends the section on raising money in Europe and adds a new section on raising money in the United States (Lomax *et al.*, 2000: vii). When core funding was becoming ever tighter and "increasingly the available funds cover little more than the barest running costs" (Lomax *et al.*, 2000: 1), the aim was to produce a brief guide "to sources of additional funding and revenue, providing a one-stop reference work for ideas, information and practical advice" (Lomax *et al.*, 2000: 1):

*While not claiming to provide the definitive answer to the problems faced by librarians and archivists, the Guide includes practical advice on how to plan and implement a funding application; concise information about the foremost national funding schemes and trusts; and a section giving information and advice about Lottery funding. Also included are ideas on how to raise extra funds through such schemes as Adopt-a-Book; how to offset costs through sponsorship; and how to make the most of volunteer workers and Friends groups. Ways of saving money through collaborative schemes are also explored. (Lomax *et al.*, 2000: 1).*

Among the major recommendations and conclusions of the *Guide*, we underline "Libraries and archives proposing to pursue additional funding or revenue should consider organising the activity as a project, following some of the principles of project management methodology" (Lomax *et al.*, 2000: 2), remain in close contact with the funding entities. In fact, fundraising is seen as a challenging and a competence of modern professional life in libraries and archives, at least, in the Anglo-Saxon context.

To also assist archives with generating their own incomes, the British National Archives produced the 2nd ed. of the "Income Generating Guide" (Holden *et al.*, 2019). To Assmann, this document presents the guidelines to "provide an overview of the key issues and outline different income-generating options, including a series of tools to assist archives in planning and executing revenue initiatives" (2022: [5]). The perspective focused on revenue diversification, as studied in Younger's dissertation (2015), depends on the ability of archival institutions to promote innovation in service delivery. For example, while some thrive through digitization and licensing of records, others, especially smaller ones, face challenges that may involve adapting to changes and integrating with other institutions. Additionally, there is a growing need to ensure access and preservation conditions for electronic archives, not only motivated by the imbalance in investment between scientific domains, as observed in the Social Sciences and Humanities (where most archives are located) compared to other domains of knowledge (Blair *et al.*, 2021; Eschenfelder *et al.*, 2022; Moss, 1992; Rockwell, 1999).

In the German context, Schmidt (1999) challenged to go beyond simple fundraising and focus on "friendraising," arguing that the former only addresses short-term needs while the latter should be seen as a long-term project, as evidenced by sponsorship and patronage (Teillet, 2019). This perspective is not only pressing in private archives, especially those of a religious nature (Bellamy, 1969; Jackson *et al.*, 2016; Stanley, 1990), and in specific projects like oral history (Robertson, 2012), but also confronted in Matthew (2021), where it considers that the impact of fundraising actions "is not a trending line on a chart or a monthly accounting entry" (2021: 255), as it needs to be reflected in the community, especially when it becomes "evident in community measures of improved wellbeing and lives changed" (2021: 255).

3.2.3. Statistical and economic-financial data for transparency

In a 2021 article titled "Disclosure of Spanish historic archives' economic-financial Information," Ana R. Pacios and Sara Martínez-Cardama highlight the relevance of economic and financial information regarding Spain's national historical archives being accessible to citizens, invoking the Transparency Law (since 2013) due to their importance as national public cultural institutions. The authors analyze economic and financial data from the websites of eight historical archives in Spain and those of their parent institutions: Archivo Histórico Nacional (AHN), Archivo General de la Administración (AGA), Archivo de la Real Chancillería (ARC), Archivo General de Indias (AGI), Archivo de la Corona de Aragón (ACA), Archivo General de Simancas (AGS), and Archivo Histórico de la Nobleza (AHNo). The research concluded that most archival institutions do not provide any economic, budgetary, or statistical information on their websites, suggesting that these institutions, which are dependent

on the Ministry of Culture, do not contribute to active financial transparency. However, an effort in this direction could contribute to increasing their visibility, credibility, and institutional image, as the fact that their activity does not aim for economic objectives does not justify their management bodies not being publicly accountable, assuming a stance of accountability to citizens, providing "an account of what they do, how they do it, and the resources they use" (Pacios; Martínez-Cardama, 2021: 183).

However, Pérez-Santana had already raised concerns about the lack of statistical (and relevant) information about Spanish archives, asking questions such as: how much does an archive cost? And how much public money is invested in its maintenance? (Pérez-Santana, 2018). In fact, statistics about archives are very deficient in Spain, as corroborated by Pacios and La Torre Merino (2018), and Pacios and Cerdá Díaz (2019). These latter authors even mention that archivists, concerned with ensuring access to information and promoting active transparency and public integrity, end up forgetting that, in this aspect, they should also fulfill the same obligations since they manage public resources, making their activity plans and budgets known, as well as their activity reports and accounts, publishing this information on their websites. Being a study that presents a proposal for indicators to evaluate the presence of information on archive websites adapted to the "Metodología de Evaluación y Seguimiento de la Transparencia" (Methodology for Evaluation and Monitoring of Transparency) (MESTA), promoting open public administration, two of the indicators presented are of a financial nature: one related to the budget; another on administrative contracts and public tenders (Pacios and Cerdá Díaz, 2019). The topic of active disclosure of financial information, within the scope of transparency and accountability, remains current and relevant, however, it is not new. Already in the *Report on Archives in the enlarged European Union*, of the European Commission, which aimed an Increased archival cooperation in Europe: action plan, elaborated by the National Experts Group on Archives of the EU-Member States and EU-Institutions and Organs at the request of the Council of the European Union, that need was justified: "Administrations are financed by taxation and the citizen should have confidence that they do what they are supposed to do" (European Commission and Secretariat-General, 2005: 30). In the American context, Thornton (2012) focused on the issue of access to financial information, especially those published on the web, due to the lack of physical format and short availability period. However, perhaps the novelty here is the duty to advertise not only the information from institutions that provide support lines, such as the *Ibero-American program Iberarchivos-Programa ADAI* (Calderón, 2010), but also that of the archive services themselves, which should adhere to the same principles and follow similar practices, this time with more proactive availability of these informational resources.

Therefore, funding constitutes an important indicator of policy implementation in the field of archive sector statistics, as advocated in the text of ISO 24083:2021 (International Organization for Standardization, 2021), an aspiration already articulated by Cadell (1999). This standard specifies guidelines for the archival community on the collection and communication of statistics for various purposes, including:

- *strategic planning and internal management of archives;*
- *aggregating and comparing operational and performance statistics at regional, national, and international levels;*
- *reporting to stakeholders such as funding institutions, politicians, researchers, and the general public;*
- *promoting the role and value of archives for advancing learning and research, education and culture, and social and economic life;*
- *improving the management of processes, reinforcing transparency and supporting good governance.* (International Organization for Standardization, 2021).

However, the standard, following a historicist view, does not apply to the traditionally designated area of records management, but only to permanent archives, and does not have an application in terms of an (organizational) information system. Additionally, because it is recent, the collection and use of statistical data that follow its guidelines in the exclusively archival field are unknown. However, it is known that a recent study, dated 2020, states that "the lack of national statistics for the archive sector makes comparisons impossible" (Rydbeck; Johnston, 2020: 40). Also, it is not possible, based on existing archival statistical data, to gather information on the services provided and the utilization of archival institutions, given the diversity of legislation in different countries, as well as the variety of memory institutions, some with different levels, territorial scales, and participatory projects, especially regarding archives. Therefore, statistics that include data on the total operating costs of the archive are rare, as seen in Norway (Arkivverket, 2018 Rydbeck; Johnston, 2020; Statistics Denmark, 2018). Additionally, each archive is funded differently (Cadell, 1999), with extreme situations at the end of the 20th century: privatization of archives in New Zealand, removing their funding from the state sphere; the possibility (although not realized) of a National Archive being supported by funds from the ministries whose documentation it holds, proposed at the Round Table of the International Council on Archives, held in Haarlem, the Netherlands, in 1991, among other experiences, such as in Costa Rica, where archives, when dependent on the Ministry of Finance, were funded by proceeds from a tax on checkbooks and the sale of fiscal stamps (Cadell, 1999).

Thus, the reality of archive funding in different countries tends to converge, although factors such as the size of each National Archive, as well as its organizational system and the parent entity on which it depends, can greatly influence its funding. However, nowadays, no national archive can function without a substantial portion of its funding being public or state-funded (Cadell, 1999). Naturally, we are far from funding solely or substantially dependent on the copying of documents, whether on paper, microfilm, or digital media, or on charging fees for issuing certificates, as is the case especially in municipal, regional, and national archives. About two decades ago, funding from the provision of these services was very low: 1.5% in South Africa; 2.5% in Australia; 2.75% in Sweden; 8.5% in the Public Record Office in London, and 19.5% in the National Archives of Scotland (Cadell, 1999: 98).

In 1999, according to Cadell, despite some variation, personnel costs represented about 55% of the total funding for an archive service. In Sweden, facilities accounted for over 50% of the amounts spent on personnel, while personnel expenses in Scotland were around 42%. On the other hand, statistics vary from archive to archive, sometimes not including expenses such as building maintenance, rent, office supplies, water and electricity, or internet costs. When we have statistics, we are not actually referring to identical archive realities from one archive to another, whether national, regional, or local, as can be inferred from the literature, both nationally and internationally. And here, the differences necessarily increase, as is the case in many countries.

4. Conclusion

In the only literature review we have found on fundraising for archives, Laperdrix (2011), as well as Ray *et al.* (2012, 2013) on Funding archives, among other authors, noted that the literature on fundraising is more voluminous than that on funding memory institutions, and that it has focused more on libraries and museums than on archives, a situation that seems to still be recognizable on a global scale today.

The size and implementation (systemic or not) of archives, the services and products offered, among other aspects, condition their respective readings. Since many archives are integrated into the cultural sector or depend on cultural organizations and departments, the data, when available, are limited to the cultural domain, obscuring other functional areas within the scope of open government, such as administrative modernization, general administration, information technologies, quality management, etc.), which the ISO 24083: 2021 *Information and documentation: International archives statistics* standard also does not address.

We identified the existence of three main types of funding, with public funding tending to be the majority (sourced from taxes or community funds), in addition to funding from donors and own-source revenues, with appropriate legal framework. However, even in the case of the archival sector, own-source revenues may not benefit the receiving institution if there is no obligation to allocate them to the revenue-generating service. This is why most archive services fall within the scope of direct administration, without administrative and financial autonomy.

However, we cannot doubt that all services and products incur costs, in addition to the ongoing management of information, which is important to study and has not garnered the attention of researchers, archival communities of practice, or the institutions themselves. Therefore, it is of great interest to make this data publicly available in detail, so that revenues and expenses are clearly delineated, as evidenced in the National Archives of the United Kingdom, Norway, and Denmark, for example. On the other hand, it is also true that the lack of economic autonomy can affect active financial transparency in archives. Since transparency is a legal requirement in some countries, it also implies an ethical obligation to uphold the public integrity of institutions through accountability when their funding is predominantly public, by top management bodies, and the accountability of leaders to the citizens who elected them or support their funding through taxes. Even in the case of archives with exclusively public funding, some questions about funding allocations raised by Matthew remain relevant: “How are public funds budgeted and distributed to the LAM? How are nongovernmental funds designated and accessed? Can your LAM directly receive and use private donations or grants? Are tax deductions possible (assuming they are allowed in your jurisdiction)?” (2021: 178).

It is important to identify other scopes of public administration (local, regional, and national) not only from a synchronous perspective but also from a diachronic one. It becomes essential that the evaluation of information about certain areas of financial administration does not prioritize synthesized information (which is only as valuable as its content) over detailed information, risking the erasure of data and information that, while not relevant to memory institutions, could obscure detailed knowledge about the functioning of various services, including archives.

Policies for archives, and beyond, have been incipient, if not sometimes nonexistent. Naturally, resources are not unrelated to policies; in fact, they are mandatory, without which those policies cannot be implemented. Therefore, it is not possible to assert the existence of policies, whether public or private, without the allocation of resources. The fragility of public policies here is also the result of underfunding in the sector.

This article does not intend to present specific recommendations for different economic and financial realities at the national and/or subnational levels, considering that comparability regarding the financial situation of archival services largely depends on the public policies adopted by each territory, which are not always compatible.

In summary, from the perspective of their funding, the majority of archives lack sustainability guarantees, despite some good examples. There is a significant path yet to be forged in fundraising and diversification of funding, akin to what happens primarily in museums but also in libraries. This involves resorting to philanthropy as support for archives, anchored in philanthropy laws and a tax system that impacts the funding of cultural institutions. An example of this is the regulation governing the issuance of a declaration attesting to the effective transfer of capital for the purpose of obtaining residency permits for investment activities in the cultural sector; the creation of a webpage from the “Friends” of the archives to promote a fundraising strategy, and to include a Donors Gallery; initiatives to help the digitisation of its books and manuscripts in order to make them available in open access. In this way, donors (companies or individuals), adopting, for instance, a book, an archive, or a collection project, obtain a certain prestige image, and a social recognition. Thus, almost everything discussed here about financing and fundraising for archives applies more to the Anglo-Saxon context and less to continental Europe, as well as it challenges the nature of traditional archives.

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