

Evaluation of HLF Catalyst: capacity building programmes

Final Report

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EXECUTIVE SUMMARY

INTRODUCTION (SECTIONS 1 AND 2)

Heritage Lottery Fund (HLF) commissioned DC Research Ltd to carry out an **Evaluation of the HLF Catalyst: capacity building programmes** which ran from 2014 until 2018.

This evaluation focused on the two Catalyst capacity building programmes in which a total of £4.6 million was originally invested: the Umbrella grants and the Small grants – and within this on the Umbrella programmes given this element received the greater proportion of funding.

The Catalyst capacity building grants were expected to deliver the following four outcomes:

- Outcomes for heritage - With our investment, heritage will be: **better managed.**
- Outcomes for people - With our investment, people will have: **developed skills.**
- Outcomes for communities - With our investment, your organisation will be **more resilient.**
- In addition, the Catalyst programme will seek to achieve the following: **bring additional private money into the heritage sector.**

Following a two-stage application process, a total of £3.46 million across nine grants was originally awarded to Umbrella organisations. This increased in March 2016 when the **Umbrella programmes** received additional funding, and the total funding to the Umbrellas including the extension funding was **£4.88 million.**

In total, the Umbrella programmes were collectively expecting to achieve a **total of 19,314 individuals trained** across the entire delivery timescale.

The HLF Catalyst: **Small grants** initiative was open to heritage organisations or partnerships of heritage organisations across the UK, and grants of between £3,000 and £10,000 were available. A total of £1.13 million across 125 grants was awarded through the two application rounds, both of which occurred in 2013.

HLF commissioned the evaluation to develop a greater understanding of the impact of Catalyst funding, as well as support HLF's discussions with policy makers and stakeholders and contribute to the wider body of knowledge relating to private giving to heritage.

The remit of the evaluation stated that the research should focus on a range of key questions. The main areas that the evaluation was to cover were: **(i) Achieving the programme aims...; (ii) Impact on heritage organisations...; (iii) Participants, sector and regional variations...; (iv) Lessons learned...**

The key **method tasks** specific to this final report included: desk-based research and analysis; consultations with Umbrella Programmes (programme managers, partners, stakeholders and delivery partners); Umbrella Programme pro forma process (collecting quantitative activity, output and outcome data); Heritage Sector Survey 2018 (a survey of a 'control group' of other heritage organisations); additional analysis of previous Small grant surveys and case studies.

HLF CATALYST: UMBRELLA PROGRAMMES ACHIEVEMENTS (SECTION 3)

- By March 2018, the **total number of participants across all events and activities was heading towards 16,000** (a total of 15,770 by mid-March, which is expected to increase once final events and activities are included).
- These 15,770 participants **represent more than 4,100 different organisations across the UK**.
- **More than 1,500 events (of all types) were delivered** by the Umbrella programmes (a total of 1,526 in by mid-March 2018).
- The total value of the combination of **the match funding achieved by the Umbrella programmes, alongside in-kind contributions** provided to help deliver the programmes, **exceeded £1million**.
- **Feedback from workshops and events was consistently positive**, and **satisfaction ratings are high** across all the Umbrella programmes.
- **Increased awareness about fundraising, increased information and knowledge about fundraising has been achieved by all Umbrella programmes. In addition, there has been an increasing appreciation of fundraising and an understanding of the importance of fundraising to heritage organisations.**
- **Skills development in terms of new skills as well as enhancement of existing skills has been achieved across all of the Umbrella programmes.**
- **Increased confidence** from those engaging with the various activities is a **common outcome**. This relates to both **general confidence** and also **confidence specific to fundraising**.
- Umbrella programmes typically highlight **changes in culture of the organisation and the attitudes around fundraising as well as resultant changes in practice** and behaviour around fundraising.
- Another achievement noted by many of the programmes (especially those with a geographic focus) is about **networking** – and the increase in networking opportunities and activities that have been made available to beneficiary organisations and taken up by the organisations.
- Overall, based on information from the four of the nine Umbrella programmes that have been able to identify the value of fundraising achieved, the **Umbrella programmes have supported the heritage sector in raising an additional £9 million so far** (£9,004,000 as at March 2018). On average, for every pound awarded by HLF to these programmes, £3.82 has been raised so far by programme beneficiaries.

HLF CATALYST: DELIVERY OF UMBRELLA PROGRAMMES (SECTION 4)

- All programmes reported **starting at a lower point than expected in terms of the capacity and capability of the heritage sector around fundraising**.
- **Many participant organisations needed support with wider issues than fundraising.** In particular, **support needs around governance were notable**.

- Consultees recognised that the **need for a programme such as Catalyst became greater** during delivery than it was when the programme started, with some Umbrella programmes (most notably those with an 'open' programme approach) anticipating an **ongoing demand and need** for the support provided beyond the end of the HLF Catalyst: capacity building programme.
- In contrast, other cohort programmes felt that they had reached their target audiences that were able to engage with the programme – suggesting that the capacity and interest may vary notably across heritage types and geographies.
- The broader context of the **public-sector funding landscape increased the need for, and importance of, HLF Catalyst.**
- An **ongoing issue** during the lifetime of the programme was **the capacity and capability of the heritage sector to engage with HLF Catalyst.**
- There is also an **ongoing issue about the low confidence of the heritage sector around fundraising.**
- Across all of the Umbrella programmes, **one recognised success is the scale of engagement achieved.**
- A notable evolution for many of the Umbrella programmes was that **as the skills, awareness and confidence of those engaging with the programmes developed, the demand for what was offered changed** – moving from more general to specific.
- This manifest itself in the **evolution of the types of support offered** across the Umbrella programmes. In particular, as the programmes moved towards and into their extension programmes, support and training became **more focused, more targeted, more detailed** and **narrower** in range.
- An important strength of the programmes is that they were able to **give participants access to external experts on fundraising.**
- An **important supporting factor throughout the delivery has been the flexibility afforded to the Umbrella programmes by HLF.**
- Similarly, partners and wider stakeholders also noted that the **flexibility of the Umbrella programme managers** in terms of delivery was a positive aspect, that enhanced what the programmes were able to deliver and achieve.
- There remained a **mix of both 'in house' (internal) delivery and 'contracted in' (external) delivery models across the Umbrella programmes** – with **both offering particular benefits** to the programmes.

HLF CATALYST: UMBRELLA PROGRAMMES - LEGACY & LESSONS (SECTION 5)

- Beneficiaries have better awareness, improved knowledge, and increased confidence and skills. The ongoing challenge is the capacity to apply this. There is a **need for support in putting things into practice.**
- Not all of the heritage sector engaged with HLF Catalyst, and there may be an **ongoing need for the more general levels of support provided in the early stages of the programmes - for those who did not engage.**

- Common aspects of heritage sector need are **ongoing support and training around leadership and governance issues, as well as more general capacity building** for the sector –important areas for future support.
- **The move from broad to narrow** themes and from general to more specific types of support **reflected the development of the heritage sector** for those parts of the sector that engaged with HLF Catalyst.
- Growing recognition from Umbrellas of the **demand for more intense forms of support** (e.g. one-to-one support, 'in-house' support, executive coaching, masterclasses etc.) and that these can be more effective (than more general 'classroom' sessions) in helping to change organisational culture about, and attitudes towards, fundraising.
- **Organisation-focused support** was effective for those Umbrellas that used this approach (either via the cohorts, or via support and activities provided to a single organisation – one a one-to-one basis with key staff, or via engagement with a group of staff and trustees/governing body representatives). Getting the **whole organisation on board** with fundraising is key, and many Umbrellas identify this as key factor in successful delivery.
- Many Umbrella programmes continued to note **ongoing issues for beneficiaries with engaging their trustees/board members**.
- All Umbrella programmes produced a range of tools and resources that will continue to be available beyond the end of the programme. It will be **important for HLF to ensure the learning, tools and resources are maintained and made available on an ongoing basis**.
- Some Umbrellas highlight networks and partnerships developed through the programmes as an important legacy – especially those that are self-sustaining.
- Some Umbrellas already have successor activity in place or have plans (contingent on external funding/support) to continue some form of delivery.
- The fact that Umbrella **programme delivery was heavily subsidised** (due to HLF funding) with only nominal cost for attendance, was a **very important factor in terms of engaging participants** in the training and support.
- **Significant effort was required to engage with some target beneficiaries** – especially for those operating 'open' programmes.
- The ability of the Umbrellas to customise delivery to the heritage sector is a clear benefit and a good practice lesson.
- The ability of the Umbrella programmes to **evolve the focus** (in terms of topics and themes) **and the type(s) of support** being delivered as the fundraising capacity of beneficiaries developed over time was an important aspect and a key strength of delivery.
- An **important supporting success factor was the flexibility afforded to the Umbrella programmes by HLF**.

HLF CATALYST: SMALL GRANTS ACHIEVEMENTS (SECTION 6)

- **The Small grant surveys found that all respondents already had, or were developing, a fundraising strategy** compared to a pre-grant position where more than half did not.

- **All respondents indicated that raising income from private sources formed a part of their fundraising strategy.**
- Almost all respondents (98%) indicated that **fundraising and income diversification** was either 'critical' (67%), or 'very important' (32%).
- **Nearly all respondents (94%) indicated that raising income from private sources was either 'critical' or 'very important' to their organisation,** with just over half (54%) indicating the former.
- 80% of Small grantee organisations felt that they were either 'significantly' (36%) or 'moderately' (44%) **better managed** with a further 14% indicating that they thought they were 'marginally' better managed.
- The vast majority of Small grantees (83%) indicated that the organisation's staff had **developed skills** to either a 'significant' or 'moderate' extent.
- The impact on governing body/trustees/ board members skills development was less marked, although more than half of the Small grantees indicated that the governing body had developed skills to a 'significant' or 'moderate' extent.
- Small grantees clearly felt that they were **more resilient** following the project, with almost 85% indicating they were 'significantly' or 'moderately' so.
- Just less than three-quarters of Small grantees stated that following the grant project the organisation had brought in **additional private money** to a 'significant' or 'moderate' extent.
- These **results show that Small grantee organisations have experienced clear success across the board** – showing positive achievements for all aspects compared to both the baseline position for Small grantees and compared to the wider heritage sector survey results.
- In terms of the sustainability of the impacts achieved, **over 92% of respondents indicated that the legacy impact from the Small grant project was expected to continue into the foreseeable future.**

CONCLUSIONS AND RECOMMENDATIONS (SECTION 7)

The findings of this evaluation show that both the Umbrella programmes and the Small grants have clearly contributed to the achievement of all four of the HLF Catalyst: capacity building outcomes.

- For the tools and resources produced by the Umbrellas, there are two aspects for HLF to consider: (i) ensuring ongoing availability of the tools and resources by each of the Umbrella programmes; (ii) whether there should be any central coordination/hosting of the tools & resources by HLF.
- For those parts of the heritage sector that did not engage with HLF Catalyst there **may well be an ongoing need for more general levels of support and training** – such as those provided in the early stages of the Umbrellas.
- **Organisations that engaged with HLF Catalyst need support in implementing, applying, and putting things into practice** on fundraising. HLF should ensure there are programmes available to support this.
- Beyond fundraising, there are two common aspects to the needs of the heritage sector – **support and training needs around leadership and governance issues, as well as more general capacity building** for the sector. HLF

should ensure that current/future programmes of support address these general capacity building needs and governance issues for the heritage sector.

- It is important to recognise that the Umbrella **programme delivery was heavily subsidised** (due to the HLF funding) with only nominal cost to beneficiaries. This was a **very important factor in engaging participants**. It will be important to consider this in any Umbrella programme successors.
- The **levels of engagement achieved by the Umbrellas** required **significant effort**. This should be borne in mind for any future programmes that seek to engage with, and support, the heritage sector in this way.
- The ability of the Umbrellas to customise delivery to the heritage sector and, where appropriate, to make delivery **bespoke to the specific attendees at each individual training event** is a clear benefit and a good practice lesson.
- An **important supporting factor to the success of HLF Catalyst was the flexibility afforded to the Umbrella programmes and Small grantees by HLF**. This is identified as a strength and is something that should continue to underpin such programmes by HLF.

1. INTRODUCTION

- 1.1 DC Research Ltd was commissioned by Heritage Lottery Fund (HLF) to carry out an Evaluation of the HLF Catalyst: capacity building programmes. The evaluation started in mid-2014 and concludes with this report, in April 2018.
- 1.2 This document is the Final Report, and reports on the overall findings of the evaluation, looking at the activity delivered across the entire programme. The primary research phase that underpins this report was carried out between December 2017 and March 2018, although the findings presented also draw on the previous reports produced for this evaluation.

AIMS OF HLF CATALYST: CAPACITY BUILDING PROGRAMMES

- 1.3 The Catalyst programme was part of a broader partnership initiative between HLF, the Department for Culture, Media & Sport (DCMS) and Arts Council England (ACE). It was a national programme **designed to encourage more private giving to culture and heritage**, and to **build the capacity and skills of organisations to diversify their income streams and access more funding from private sources**.
- 1.4 There were three HLF Catalyst strands:
- Catalyst: **Endowments** – Grants of £500,000 to £5million.
 - Catalyst heritage: building fundraising capacity (**Umbrella grants**; £100,000 to £500,000).
 - Catalyst heritage: building fundraising capacity (**Small grants**; £3,000 to £10,000).
- 1.5 **This evaluation focuses on the two Catalyst capacity building programmes** in which a total of £4.6 million was originally invested: the Umbrella grants and the Small grants.
- 1.6 Given that the HLF Catalyst: Umbrella grants have received the larger proportion of HLF funding (£3.46 million¹ compared to £1.13 million for the Small grants) the evaluation is weighted towards assessing the impact of the Umbrella programmes.
- 1.7 The Catalyst capacity building grants were expected to deliver the following four outcomes:
- Outcomes for heritage - With our investment, heritage will be: **better managed**.
 - Outcomes for people - With our investment, people will have: **developed skills**.
 - Outcomes for communities - With our investment, your organisation will be **more resilient**.
 - In addition, the Catalyst programme will seek to achieve the following: **bring additional private money into the heritage sector**.

¹ The allocation to the Umbrella grantees was originally £3.46million as set out above, however, this increased to £4.88million when all nine Umbrella grantees applied for and received extension funding from HLF.

AIMS OF THE EVALUATION

- 1.8 HLF commissioned this evaluation to develop a greater understanding of the impact of Catalyst funding, as well as support HLF's discussions with policy makers and stakeholders and contribute to the wider body of knowledge relating to private giving to heritage.
- 1.9 The remit of the evaluation states that the research should focus on a range of key questions:

(i) Achieving the programme aims:

- To what extent, if at all, has Catalyst capacity building supported heritage organisations to diversify their income streams and access more funding from private sources?
- Has the capacity building activity directly led to additional private money in the heritage sector? Is there evidence of new money being generated?
- To what extent have the outcomes been achieved and what factors have determined success in these areas?

(ii) Impact on heritage organisations:

- As a result of taking part in the Catalyst programme, are heritage organisations better managed and more resilient, with increased skills among governing bodies, staff and volunteers?
- Issues for consideration include:
 - *Has overall financial sustainability improved?*
 - *Have organisations trialled new and innovative methods of fundraising?*
 - *Is the sector better connected, with an improved understanding of donor (or investor) needs?*
 - *Is a sustained step-change in fundraising behaviour and attitudes evident?*
 - *Are staff at all levels fully engaged with private fundraising, including Boards?*
 - *The extent to which skills have been embedded in organisations. Are knowledge retention plans in place?*
 - *Have effective and viable fundraising strategies been devised and implemented?*

(iii) Participants, sector and regional variations:

- How has Catalyst been used by different parts of the heritage sector and to what degree of success?
- What has been the impact of Catalyst in different countries and English regions?
- What range and type of organisations or individuals have been involved in the projects, what skills have they learned and what have been the benefits to individuals or organisations?

(iv) Lessons learned:

- What are the notable patterns/trends/successes and failures or challenges in building capacity to access private funding?
- What particularly effective or innovative tools or approaches have been adopted?
- What are the key lessons learned which can be shared across the sector?

- Are there any lessons for HLF in regards to further support in this area? Which of the two interventions has been most successful at meeting the programme's aims – are there differences?

STRUCTURE OF REPORT

1.10 The structure of this report reflects these areas of focus for the evaluation:

- **The remainder of Section 1 provides an overview of the approach and key method tasks adopted for this final report.**
- **Section 2** provides an overview of the **Umbrella Programmes** of the HLF Catalyst: capacity building programmes.
- **Section 3** reports on the **achievements of the Umbrella Programmes** – both in terms of activities & outputs and outcomes & impacts.
- **Section 4** summarises the findings around the **delivery** of the Umbrella programmes and covers: delivery context; delivery arrangements and models; engaging target beneficiaries; and partnership & collaboration.
- **Section 5** considers the **legacy of the Umbrella programmes** and the sustainability of the learning, tools and resources that have been developed as well as outlining **lessons from the Umbrella programmes** – both for heritage organisations about fundraising and from the delivery of the programmes.
- **Section 6 focuses on the achievements of the HLF Catalyst: Small Grants – setting out what was achieved and comparing this to changes around fundraising in the wider heritage sector over the period of the HLF Catalyst: capacity building programmes. It also highlights some lessons learned from the Small grantees.**
- **Section 7** presents the main **conclusions and recommendations** from this evaluation.
- **Annex 1** lists the individuals consulted for this phase of the evaluation, and the meetings/events attended by the evaluation team.
- **Annex 2 summarises the findings from the 2018 Heritage Sector Survey that was carried out during this phase of the evaluation.**
- **Annex 3** provides additional information about the Small grants, listing those that were visited during the evaluation.
- **Annex 4** provides a summary of the various tools and resources that have been produced by the Umbrella programmes that are generally available.

OVERVIEW OF METHOD FOR FINAL REPORT

1.11 The key tasks specific to this final evaluation report have included:

- **DESK BASED RESEARCH AND ANALYSIS** – involved a range of tasks designed to gather evidence of the programme's progress across the whole delivery period. This has included: (i) **a review of documentation on fundraising and philanthropy for the heritage**

sector; and (ii) a review of key project and programme specific documents, data and information including HLF Catalyst: capacity building progress reports, end of project reports, and evaluation reports for specific Umbrella programmes.

- **Consultations with Umbrella Programmes** – involved carrying out a range of face-to-face, one-to-one consultations with the programme managers from each of the nine Umbrella programmes. It also involved a range of one-to-one consultations with a selection of partners, stakeholders and delivery partners for each of the Umbrella programmes. In addition, the evaluation study team attended a number of the conferences and events that have taken place in recent months. Annex 1 provides a list of those individuals consulted, as well as listing the meetings and events that the evaluation team has attended.
- **Umbrella Programme pro forma** – in order to capture the quantitative achievements of the Umbrella programmes in a consistent manner, a pro forma process – whereby each individual Umbrella programme manager completed a standard pro forma setting out what was achieved (in terms of outputs, activities, and outcomes) by their programme. The results were aggregated and are presented in Section 3 of the report.
- **Heritage Sector Survey 2018** – this involved an e-survey of a sample of organisations from the wider heritage sector not directly involved in the HLF Catalyst: capacity building programmes but that have been applicants to HLF for other grant programmes – effectively a ‘control group’. This is the same group that were surveyed for the 2015 Baseline Report. Contact details for around 550 organisations were originally (in 2015) provided to the evaluation study team by HLF to use as the control group. Given the time-lag since then (the survey took place in early 2018), it is not surprising that more than one-fifth of the emails sent out ‘bounced back’ as the email addresses were invalid, or the named individual had moved on from the organisation. This reduced the number of valid send-outs to 424. In total 110 replies were received which equates to a 26% response rate - a good level of response for such a survey.
- **Achievements of Small Grant Organisations** – the findings for the HLF Catalyst Small grants included in this Final Report are drawn from analysis and results from the three previous reports produced for this evaluation. This included the 2015 Survey of Small grants (2015 Baseline Report); the 2016 Small grant Survey (First Interim Report); and the 2016-17 Small grant case studies (First and Second Interim Reports).
- **Ongoing Progress Meetings** – throughout the evaluation, progress meetings take place between representatives of the evaluation study team and HLF representatives. In relation to the Final Report, 2 face-to-face meetings took place (in July 2017 and March 2018) and ongoing progress was also reported via email and telephone discussion at regular intervals. In addition, the evaluation study team have had discussions with some of the evaluators carrying out the evaluations of individual Umbrella programmes to share thoughts, synthesise timings of research tasks and avoid overlap of effort.

2. HLF CATALYST: UMBRELLA PROGRAMMES OVERVIEW

This section provides an overview of the Umbrella Programmes of the HLF Catalyst: capacity building programmes, in relation to the outcomes of the programme, the scale of funding provided to each programme, and the anticipated scale of delivery to be achieved.

INTRODUCTION TO THE UMBRELLA PROGRAMMES

- 2.1 The Catalyst Umbrella grants programme was open to organisations and partnerships working across the heritage sector or parts of the sector, and across the UK or a part of the UK. Grants from £100,000 to £500,000 were available for Umbrella bodies providing support services for heritage organisations.
- 2.2 HLF's original intention was for Umbrella projects to deliver a range of capacity building services, learning and networking opportunities to enable heritage organisations to increase the funding they receive from private sources, such as individual and corporate donations and trusts and foundations.
- 2.3 According to HLF, the initiative was intended to:
 - Increase the capacity of heritage organisations to access funding from private sources.
 - Bring additional private money into the heritage sector.
 - Improve the financial sustainability of heritage organisations.
- 2.4 More specifically, Umbrella grants were expected to achieve outcomes for heritage, people and communities set out in Section 1 of this report – i.e.:
 - Outcomes for heritage - With our investment, heritage will be: **better managed.**
 - Outcomes for people - With our investment, people will have: **developed skills.**
 - Outcomes for communities - With our investment, your organisation will be **more resilient.**
 - In addition, the Catalyst programme will seek to achieve the following: **bring additional private money into the heritage sector.**
- 2.5 HLF's desire was to achieve a good spread of applications covering the UK and heritage sector as a whole. To help achieve this, partnership bids were welcomed, with an expectation that potential partners could include those with expertise in private fundraising and training, or other Umbrella bodies which cover a different part of the heritage sector or geographic area. However, HLF did emphasise that as the initiative aims to build capacity amongst heritage organisations, they expected to fund projects led by an Umbrella body with a strong focus on the heritage sector and not, for example, by a learning or training provider.

- 2.6 Following a two-stage application process, a total of £3.46 million² across nine grants was originally awarded to Umbrella organisations. This total funding increased in March 2016 when the Umbrella programmes were invited by HLF to submit applications to extend the delivery of their respective programmes. All nine Umbrella programmes applied for, and were successful in, receiving additional funding. The overall total funding to the Umbrellas including the extension funding (and the original development grant funding) is **£4.88 million**.
- 2.7 Table 2.1 provides an overview of each of the nine Umbrella programmes. As Table 2.1 shows, the Umbrella projects ran for varying lengths of time – originally this was approximately from eighteen months to just over three years, although a number of programmes had their original delivery timescale extended and, following the successful extension applications submitted by all nine Umbrella programmes in March 2016 at the invitation of HLF, the delivery timescales were extended into 2018.
- 2.8 Table 2.2 shows the outputs (in terms of numbers trained) that each of the Umbrella programmes expected to achieve, for both the original delivery and also the extension programmes.
- 2.9 For the original delivery period, the total numbers trained was expected to achieve 15,314 individuals, with an anticipated 4,004 additional individuals trained resulting from the extension programmes.
- 2.10 In total, therefore, the Umbrella programmes were collectively expecting to achieve a **total of 19,314 individuals trained** across the entire delivery timescale.

² The £3.46 million includes the development grants awarded to each Umbrella programme – which was a total of £146,000. The total funding for delivery is £3.32 million, and taken together these total £3.46 million.

Table 2.1: Summary Overview of Funding for the HLF Catalyst: Umbrella Programmes

Organisation	Umbrella Programme	Updated Delivery Timescale	Original Development Grant	Original Delivery Funding	Extension Funding	Total Funding
Arts and Business Scotland	Resourcing Scotland's Heritage	Jan 2014 – March 2018	£16,200	£452,200	£225,100	£693,500
Cornwall Museums Partnership	Cornwall Museum Partnership (Cornwall Catalyst)	Dec 2013 – Dec 2017	£15,000	£278,900	£146,900	£440,800
Hampshire Cultural Trust	Inspiring a Culture of Philanthropy (ICP)	Jan 2014 – Mar 2018	£8,500	£292,500	£145,000	£446,000
Norfolk Museums and Archaeology Service	SHARED Enterprise: developing business minded museums	Jan 2014 – Mar 2018	£10,500	£229,000	£119,700	£359,200
Northern Ireland Environment Link	Investing in Northern Ireland's Heritage	Jan 2014 – Mar 2018	£14,000	£216,500	£115,200	£345,700
The Heritage Alliance	Giving to Heritage	Jan 2014 – Jun 2017	£12,100	£487,700	£249,900	£749,700
The National Archives	Fundraising for Archives (previously Giving Value)	March 2014 – Mar 2018	£18,000	£476,100	£30,100	£524,200
The Princes Regeneration Trust (PRT)	Building Resources, Investment and Community Knowledge (BRICK)	Jan 2014 – Mar 2018	£44,500	£421,400	£227,300	£693,200
Wales Council for Voluntary Action (WCVA)	Giving the past a future – sustainable heritage in Wales (Catalyst Cymru)	Jan 2014 – Mar 2018	£7,200	£464,600	£160,000	£631,800
TOTAL			£146,000	£3,318,900	£1,419,200	£4,884,100

Source: DC Research Summary of HLF information (updated in April 2018)

Table 2.2: Summary Overview of Anticipated Numbers Trained by the HLF Catalyst: Umbrella Programmes

Organisation	Umbrella Programme	Numbers Trained (Original Delivery)	Numbers Trained (Extension Delivery)	Total Numbers Trained
Arts and Business Scotland	Resourcing Scotland's Heritage	450	160	610
Cornwall Museums Partnership	Cornwall Museum Partnership (Cornwall Catalyst)	70	324	394
Hampshire Cultural Trust	Inspiring a Culture of Philanthropy (ICP)	2,087	384	2,471
Norfolk Museums and Archaeology Service	SHARED Enterprise: developing business minded museums	429	200	629
Northern Ireland Environment Link	Investing in Northern Ireland's Heritage	780	600	1,380
The Heritage Alliance	Giving to Heritage	4,000	500	4,500
The National Archives	Fundraising for Archives (previously Giving Value)	1,000	246	1,246
The Princes Regeneration Trust (PRT)	Building Resources, Investment and Community Knowledge (BRICK)	6,048	1,180	7,228
Wales Council for Voluntary Action (WCVA)	Giving the past a future – sustainable heritage in Wales (Catalyst Cymru)	450	410	860
TOTAL		15,314	4,004	19,318

Source: DC Research Summary of HLF information (updated in April 2018)

2.11 The next section of the report considers the achievements of the Umbrella programmes – including achievements in terms of these outputs, but also across the outcomes for the HLF Catalyst: capacity building programmes.

3. HLF CATALYST: UMBRELLA PROGRAMMES ACHIEVEMENTS

This section summarises the overall achievements of the Umbrella programmes across the entire delivery period³. The section considers two main aspects - first, the scale of achievements in terms of activities and outputs is considered, followed by a summary of the achievements of the Umbrella programmes in terms of the main HLF outcomes and other related impacts.

KEY FINDINGS FROM SECTION 3:

- By March 2018, the **total number of participants across all events and activities was heading towards 16,000** (a total of 15,770 by mid-March, which is expected to increase once final events and activities are included).
- These 15,770 participants **represent more than 4,100 different organisations across the UK**.
- **More than 1,500 events (of all types) were delivered** by the Umbrella programmes (a total of 1,526 in by mid-March 2018).
- **A combination of match funding achieved by the Umbrella programmes alongside the level of in-kind contributions received to help deliver the programmes exceeded £1million.**
- **Feedback from workshops and events was consistently positive**, and **satisfaction ratings are high** across all the Umbrella programmes.
- **Increased awareness about fundraising, increased information and knowledge about fundraising has been achieved by all Umbrella programmes. In addition, there has been an increasing appreciation of fundraising and an understanding of the importance of fundraising to heritage organisations.**
- **Skills development in terms of new skills as well as enhancement of existing skills has been achieved across all of the Umbrella programmes.**
- **Increased confidence** from those engaging with the various activities is a **common outcome**. This relates to both **general confidence** and also **confidence specific to fundraising**.
- Umbrella programmes typically highlight **changes in culture of the organisation and the attitudes around fundraising as well as resultant changes in practice** and behaviour around fundraising.
- Another achievement noted by many of the programmes (especially those with a geographic focus) is about **networking** – and the increase in networking opportunities and activities that have been made available to beneficiary organisations and taken up by the organisations.
- Overall, based on information from the four of the nine Umbrella programmes that have been able to identify the value of fundraising achieved, the **Umbrella programmes have supported the heritage sector in raising an additional £9 million so far** (£9,004,000 as at March 2018). On average, for every pound awarded by HLF to these programmes, £3.82 has been raised so far by programme beneficiaries.

³ The data collected from the Umbrella programmes was collected during March 2018, and as such those programmes that are still delivering activities may not have been able to provide comprehensive data to the end of their programme. As such, it is anticipated that some of the achievements (activities and outputs) may increase once all programmes have completed delivery.

ACHIEVEMENTS: ACTIVITIES AND OUTPUTS

- 3.1 Section 2 of this report noted that the overall expectation across all nine of the Umbrella programmes was to achieve a total of more than 19,000 individuals trained through the delivery of the Umbrella programmes (including both the original delivery (around 15,000) and the extension programmes (around 4,000)).
- 3.2 Analysis of data provided by the Umbrella programmes found that by March 2018, the **total number of participants across all events and activities was heading towards 16,000** (a total of 15,770 by mid-March, which is expected to increase once final events and activities are included).
- 3.3 Whilst this level or scale of participation does not quite meet the expected level of engagement based on the anticipated outputs as originally set out by the Umbrella programmes, given the evolution that took place in the approach and the context, it is a good level of achievement.
- 3.4 In addition, it should be noted that a number of the individual programmes (most notably SHARED Enterprise, Catalyst Cymru, Resourcing Scotland's Heritage, and Catalyst Cornwall) met or more than exceeded their target in terms of numbers trained. In some cases, this involved exceeding their target by a notable scale – by more 50% for some and to almost double for others.
- 3.5 Of the others, it is recognised that for those that did not meet their anticipated level there were clear reasons for this – from a fundamental shift in the approach taken by some (e.g. Fundraising for Archives) to an acceptance that the original targets had been overambitious (e.g. BRICK).
- 3.6 In addition, the changing and challenging context within which the programmes were delivered (see Section 4 for more detail) needs to be borne in mind when assessing this scale of achievement – and given the ongoing wider context and challenges for the heritage sector this is a notable scale of achievement in terms of the number of individuals trained and the reach of the Umbrella programmes.
- 3.7 These 15,770 participants **represent more than 4,100 different organisations across the UK** that have benefitted from the HLF Catalyst Umbrella programmes. The number of organisations that each individual Umbrella programme engaged with reflected the scale of resources for the programme, as well as the overall approach – those that focused on an 'open' approach with open workshops and a national coverage (e.g. BRICK, Giving to Heritage, Catalyst Cymru and Resourcing Scotland's Heritage) clearly reaching a greater number of organisations than those that adopted a 'cohort' approach and also had a narrower/more focused/more targeted geography (e.g. Inspiring a Culture of Philanthropy and Catalyst Cornwall).
- 3.8 To some extent there is an element of 'double counting' in the number of participants – but this (as explained in previous reports from this evaluation⁴) reflects the level of sustained engagement with beneficiaries

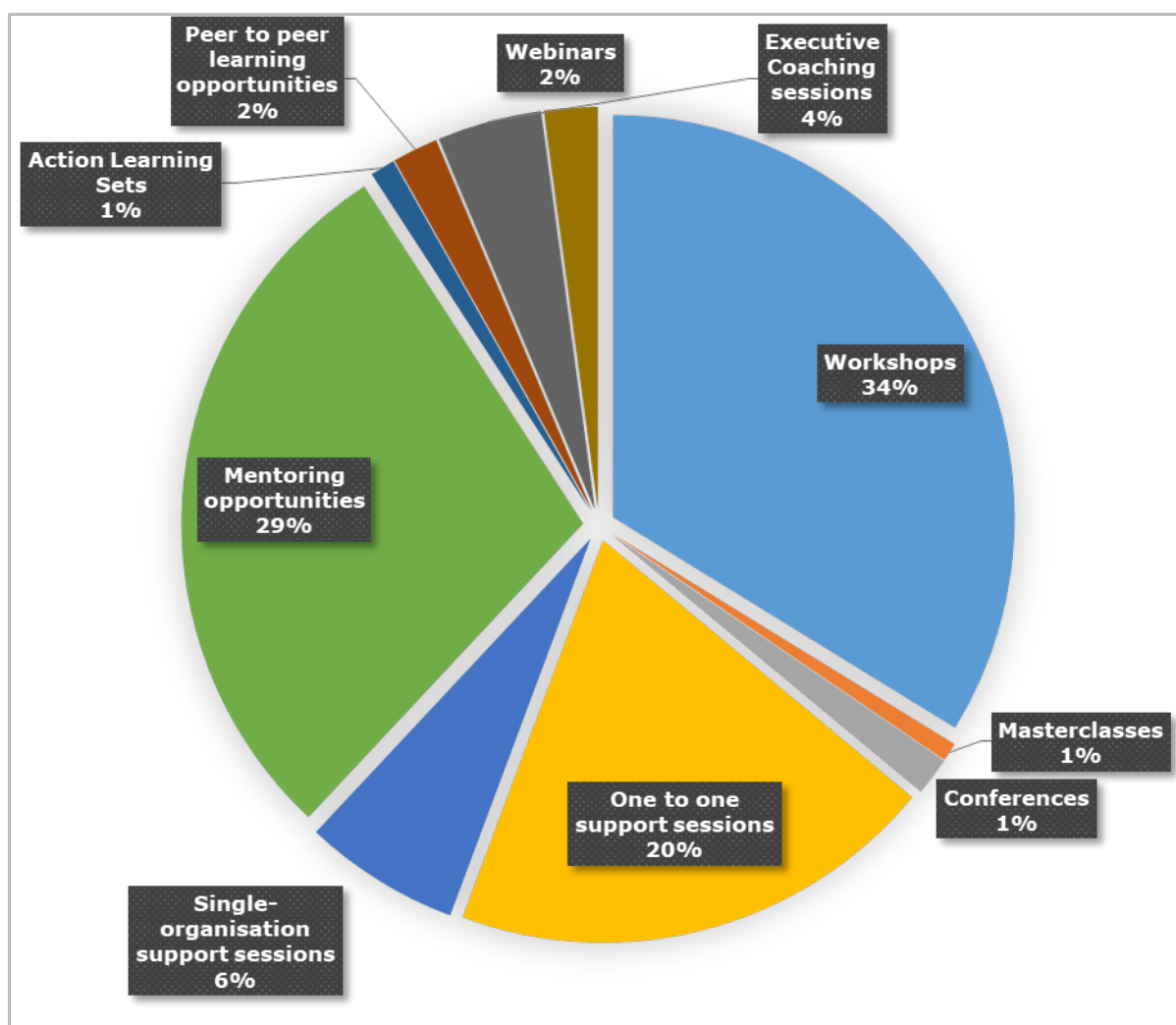
⁴ <https://www.hlf.org.uk/catalyst-capacity-building-programme-evaluation>

that has been achieved by many of the Umbrella programmes. Obviously, this has been achieved by the cohort programmes given their focus on this type of engagement – but it has also been achieved by the ‘open’ programmes where individual participants have engaged in multiple training opportunities and events throughout the programmes.

- 3.9 This type of sustained engagement can be viewed as a positive and may also reflect the demand from heritage sector organisations for an ongoing/sustained level of support (rather than simply attending one workshop/event). This is revisited in the lessons section (Section 6) later in this report.
- 3.10 Looking at the ‘open’ programmes that were able to identify the number of unique participants, the data suggests that as a proportion of all participants, more than 70% were unique, suggesting that more than one-quarter of attendees were repeat participants, showing a level of ongoing or sustained engagement for the open programmes.
- 3.11 **More than 1,500 events (of all types) were delivered** by the Umbrella programmes (a total of 1,526 in by mid-March 2018). Figure 3.1 shows the mix of types of events and activities that were delivered by the Umbrella programmes – and includes both events and activities⁵.
- 3.12 Figure 3.1 shows that the most common types of events/activities delivered were workshops (which were offered to some extent by all nine Umbrella programmes) followed by mentoring opportunities (which were offered by the majority of programmes, but the vast majority of these opportunities were offered by a small number of the programmes).
- 3.13 Support sessions – either one-to-one support, or single organisation support sessions (where support was provided to multiple representatives from a single organisation) were the next most common type of activity provided – and all of the Umbrella programmes were involved in this type of activity.

⁵ In some cases, multiple activities took place at one event, so the total number included in Figure 3.1 is greater than the total number of events 1,526 – with more than 1,900 events/activities included in this data.

Figure 3.1: Summary of Types of Events and Activities Delivered

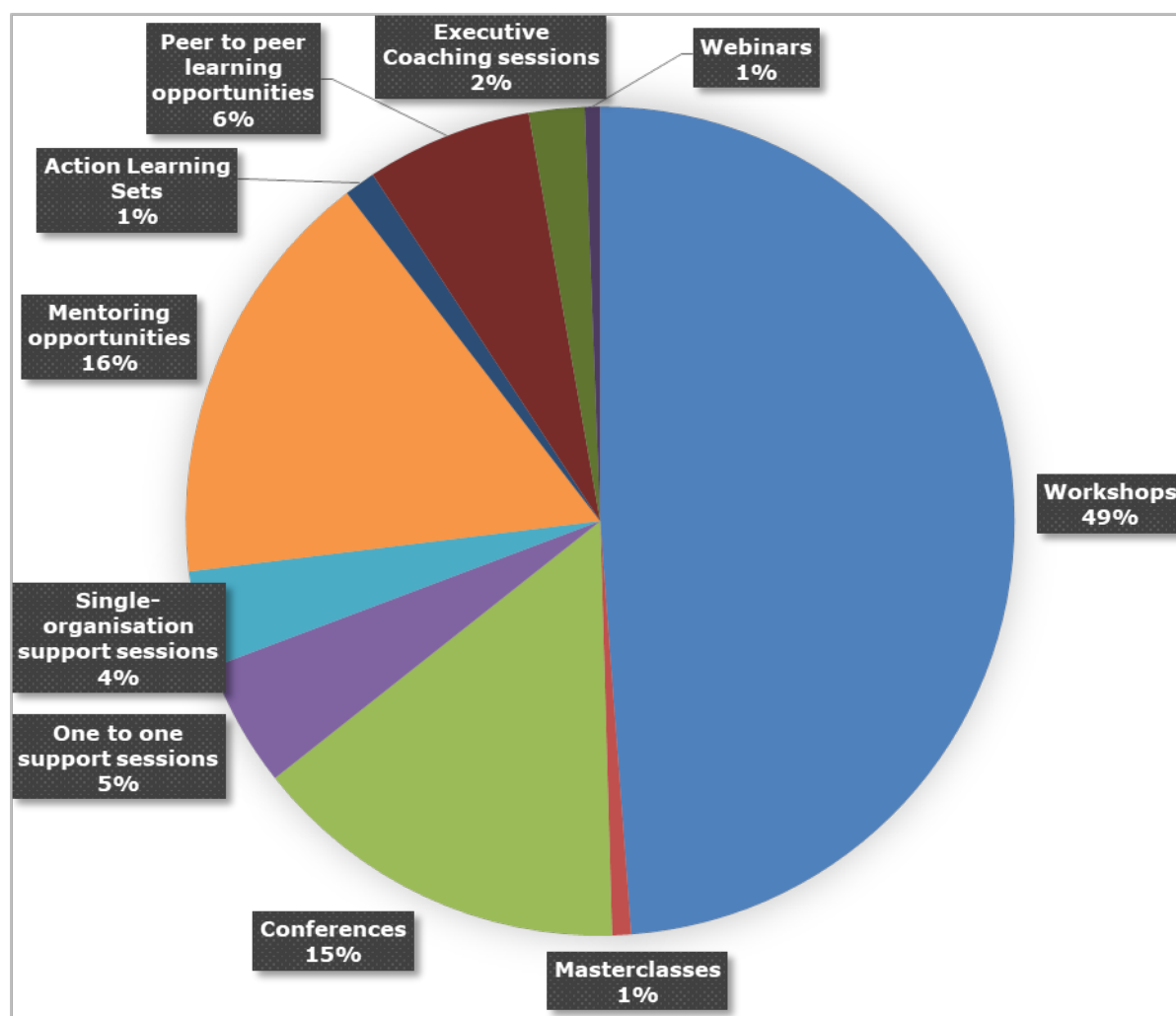


Source: DC Research analysis of pro forma responses from Umbrella programmes, April 2018. Note: percentages are reported as whole numbers, and due to this rounding, some slices report the same percentage but represent different values, hence the slight variance in size (i.e. those reporting 1%).

3.14 Figure 3.2 shows the number of individuals engaging in each type of event/activity⁶. Workshops account for the largest proportion of engagement, accounting for almost half of all individuals (49%), followed by mentoring opportunities (16%) and then conferences (15%).

⁶ Online engagement – i.e. via website visits is excluded from this data as not all Umbrellas were able to provide this information.

Figure 3.2: Number of Individuals Engaged in Different Types of Events and Activities Delivered



Source: DC Research analysis of pro forma responses from Umbrella programmes, April 2018. Note: percentages are reported as whole numbers, and due to this rounding, some slices report the same percentage but represent different values, hence the slight variance in size (i.e. those reporting 1%).

ADDITIONAL FUNDING AND SUPPORT FOR DELIVERY

- 3.15 In terms of funding, Section 2 set out the scale of funding provided to each Umbrella programme – a total of £4.88 million (including development grant funding, original delivery and extension funding).
- 3.16 Data provided by the Umbrella programmes shows that a **combination of match funding achieved by the Umbrella programmes alongside the level of in-kind contributions received to help deliver the programmes exceeded £1million** (totalling £1.03million in mid-March 2018).

ACHIEVEMENTS: OUTCOMES AND IMPACTS

3.17 As outlined in Section 2, the HLF Catalyst capacity building Umbrella programmes were expected to deliver the following four outcomes:

- Outcomes for heritage - With our investment, heritage will be: **better managed.**
- Outcomes for people - With our investment, people will have: **developed skills.**
- Outcomes for communities - With our investment, your organisation will be **more resilient.**
- In addition, the Catalyst programme will seek to achieve the following: **bring additional private money into the heritage sector.**

3.18 Given the types of activities, events and support delivered through the Umbrella programmes, many of the achievements reported contribute, to varying degrees, to more than one of the main HLF outcomes around 'better managed', 'developed skills', and 'more resilient'.

3.19 For example, better awareness about fundraising and increased knowledge of fundraising will play a supporting role across all three outcomes, whilst increased confidence and increased capability for the individual benefitting from the training/support will more directly contribute to all three of the outcomes. Changes in organisational culture, attitudes, practices and behaviours around fundraising within the beneficiary organisations (resulting from the implementation and application of what has been learnt through the training and support provided) are likely to contribute directly to 'better managed' and 'more resilient'.

3.20 All of the above will help to support the achievement of results in terms of bringing in additional (private) money to the heritage sector.

3.21 The main achievements – that contribute to one or more of the three main HLF outcomes – are set out below. This is followed by a summary of the achievements around bringing additional money into the heritage sector.

QUALITY OF DELIVERY

3.22 First, **feedback from workshops and events was consistently positive**, and **satisfaction ratings are high** across all the Umbrella programmes.

3.23 The high quality and high calibre of the training is recognised by partners and stakeholders across the Umbrellas – and was an important element in engaging beneficiaries.

- Providing access to experts was an important aspect of the Umbrella programmes and was highlighted by partners and deliverers for Investing in Northern Ireland's Heritage as a strength of the programme – something that would not have been possible without HLF support.
- For Resourcing Scotland's Heritage, the most recent evaluation report noted that the 'average rating across the whole RSH programme being

9 out of 10⁷. Furthermore, in terms of rating the quality and effectiveness of the sessions, 94% of participants rated their sessions as excellent or very good.

- The Giving to Heritage workshops were consistently well received across the entire programme, being rated as excellent or good by 95% of respondents to their own evaluation⁸.

"I finally found something which applied fundraising thinking to charities and heritage" (Giving to Heritage beneficiary)

"The quality of training is relevant and understandable" (BRICK beneficiary)

"Because it provides access to high quality training at an affordable price." (BRICK beneficiary)

"The talks, on the whole, were excellent, informative, inspiring and useful" (BRICK beneficiary)

AWARENESS, KNOWLEDGE, APPRECIATION & UNDERSTANDING ABOUT FUNDRAISING

3.24 Second, **increased awareness about fundraising, increased information and knowledge about fundraising has been achieved by all Umbrella programmes. In addition, there has been an increasing appreciation** of fundraising and an **understanding** of the importance of fundraising to heritage organisations.

3.25 The awareness of the various strategies, tools and approaches to fundraising is now greater amongst beneficiary organisations due to the Umbrella programmes.

3.26 All Umbrella programmes report that increased awareness about fundraising has been achieved.

3.27 The increased awareness is also exemplified for a number of the Umbrellas in the ongoing demand for support and training – which has increased over time for many of the programmes, showing that the programmes have raised awareness, and helped to stimulate a demand/need for such support which will continue beyond the programmes.

- The BRICK Evaluation⁹ found that the *"proportion of respondents reporting that they were either 'fairly' or 'fully confident' in terms of their understanding of fundraising increased by 38 percentage points to 65% as a result of support from BRICK."*
- One specific example from Inspiring a Culture of Philanthropy is the Museum of Army Flying (Cohort 1) – There is now deeper involvement from across the Board of Trustees in fundraising and a better understanding of the fundraising mission across the organisation. The coaching support from John Lippiett helped achieve this as did attending

⁷ Resourcing Scotland's Heritage: Programme Evaluation Year 3 Report, May 2017, Consilium Research & Consultancy

⁸ <http://www.theheritagealliance.org.uk/tha-website/wp-content/uploads/2017/11/CRC25-16-Final-Report-281117.pdf>

⁹ BRICK External Evaluation, Final Report, March 2018, Consilium Research & Consultancy

workshops on governance and one to one sessions with fundraising consultancy, Cause 4.

- Catalyst Cornwall reported that the most significant outcome has been museums understanding the need to diversify income, including fundraising but also retail, branding and partnerships with organisations in other sectors. For example, Helston Museum developed their branding and retail expertise, transforming their shop and raising their profile with Visit Cornwall, and are now part of the National Portfolio Organisation for museums in Cornwall.

"I came today with a very limited knowledge of Funding-I leave with a lot of knowledge and tips which I could use to benefit my workplace."
(Investing in Northern Ireland's Heritage beneficiary)

"Focused our attention on the needs of a realistic fundraising Strategy"
(Investing in Northern Ireland's Heritage beneficiary)

"very helpful insights into fundraising challenges specific to our organisation and some context helpful to understanding the bigger picture" (Giving to Heritage beneficiary)

"Several colleagues have attended training, broadening out fundraising knowledge across departments." (Cornwall Catalyst beneficiary)

SKILLS DEVELOPMENT

3.28 Third, skills development - in terms of new skills as well as enhancement of existing skills has been achieved across all of the Umbrella programmes.

- SHARED Enterprise's own evaluation highlighted strong outcome contributions to heritage, people and communities – individuals have learnt knowledge and skills and have more positive attitudes towards fundraising. For example, the Cambridge Museum of Technology have gained skills and knowledge from running a successful crowdfunding campaign, raising nearly £1,700.
- A particular benefit highlighted for Investing in Northern Ireland's Heritage was the provision of accredited training opportunities (e.g. the Institute of Fundraising courses being offered in Northern Ireland for first time).
- Resourcing Scotland's Heritage own evaluation found that almost two-thirds (64%) of participants indicated the training had provided them with strong or moderate improvement in their fundraising skills.
- Giving to Heritage's evaluation found that almost three quarters of respondents reported strong or moderate improvements in their skills as a result of accessing the programme.

"Great opportunity to learn from others about how successful they have been with their fundraising activities" (Investing in Northern Ireland's Heritage beneficiary)

"The knowledge and skills we learnt will be useful ... both now and long term" (Giving to Heritage beneficiary)

CONFIDENCE AROUND FUNDRAISING AND CONFIDENCE GENERALLY

3.29 Fourth, **increased confidence** from those engaging with the various activities is a **common outcome**. This relates to both **general confidence** and also **confidence specific to fundraising**.

3.30 All of the Umbrellas note that beneficiary organisations increased their confidence as a result of engaging with the programmes.

- A particular example from Inspiring a Culture of Philanthropy is Petersfield Museum (Cohort 1) – The museum has been successful with funding applications to trusts and foundations since being involved with Inspiring a Culture of Philanthropy. They attribute this to the Inspiring a Culture of Philanthropy workshops and core training. They have also secured high profile Patrons to support the museum. Increased confidence coming from attending Inspiring a Culture of Philanthropy events and networking with colleagues has helped achieve this.
- SHARED Enterprise were particularly pleased with the achievements of the Fry Art Gallery, which raised £200,000 to purchase the freehold of their building. Training was given to Fry Trustees (they have no paid staff) on improving confidence and their elevator pitch. ***"Creating an 'elevator pitch' has meant I know exactly what to say to visitors about fundraising for the gallery. This has helped raise our profile and has helped us raise funds. I now feel confident asking for money" Fry Art Gallery's Chair of Trustees¹⁰.***
- For Catalyst Cornwall, their own evaluation found that confidence, skills and knowledge of the partner museums around fundraising steadily increased, attributed directly to the training received through the programme. The evaluation also found that buy in and commitment from other members of staff had improved. Confidence amongst participants at the training sessions had also improved as a result of taking part in the programme, and were taking what they had learned and putting it into practice.
- The National Archives found that improvement in cohort members confidence and skills was the most significant outcome of the Fundraising for Archives programme. At the start of Catalyst, archivists were struggling to advocate for their own work. However there has been a huge change in outlook, with archivists becoming more articulate, confident etc. as a result of Catalyst. For example, Norfolk Records Office have established a development foundation to support fundraising and acquisitions.

¹⁰ <http://sharemuseumseast.org.uk/wp-content/uploads/2017/11/Income-Generation-and-Fundraising-for-Museums.pdf>

- Resourcing Scotland's Heritage own evaluation found that 79% of participants indicated that the training had provided them with strong or moderate improvements in their confidence in fundraising from private sources.
- For Giving to Heritage, almost three-quarters of respondents reported strong or moderate improvement in their confidence as a result of accessing the programme.

"Giving to Heritage has significantly improved my confidence with regard to making the ask and it has helped me to make a clearer ask for a clearer cause." (Giving to Heritage beneficiary)

"The benefits of the BRICK mentoring have been huge. The specialist knowledge and advice has brought us confidence and hope that we can obtain the significant funding and right business plan to deliver a sustainable future for St. Austell Market House" (BRICK beneficiary)

"it gave us the confidence to believe that what we were doing in these early stages was correct" (BRICK beneficiary)

"The mentoring process really took us to the next level. We learnt a huge amount, but also grew in confidence" (BRICK beneficiary)

ORGANISATIONAL CULTURE, ATTITUDES AND PRACTICE

- 3.31 Umbrella programmes typically highlight **changes in culture of the organisation and the attitudes around fundraising as well as resultant changes in practice** and behaviour around fundraising as a common outcome.
- 3.32 **This includes beneficiary organisations changing their approach or strategy to fundraising, or in some cases developing a strategy around fundraising for the first time.**
- 3.33 This also includes a change in the mindset and attitudes of the heritage sector around fundraising – the Umbrellas 'brought fundraising to the sector' in some cases and increased the level of consideration around fundraising in the heritage sector.
- 3.34 In addition, expectations about what can be achieved has positively changed – small organisations have had their ambitions and aspirations around fundraising lifted by engaging in the programmes. Alongside this, there is also a more realistic appreciation of what can be achieved around fundraising, including the time it may take to see the rewards of any fundraising activity.
- The strategic change that has occurred is regarded as a key success for Catalyst Cymru – with heritage organisations having changed their overall strategy and approach to fundraising due to the training and support provided. Having this impact on the culture, practice and behaviour of beneficiary organisations has underpinned the successes in Wales in terms of the increases in funding achieved (see later in this section).

- 3.35 The fact that organisations are now trying out various approaches and attempts at fundraising is thought to be helping to support their resilience – even if not all of the attempts are successful, it is helping to broaden their approach and strategy and resultantly diversify their income.
- 3.36 In this regard, consultees for this evaluation note that the changes in behaviour and practice through organisations trying different things around fundraising – e.g. launching membership schemes, individual giving campaigns, legacies etc. – are important – as these practices and activities are now in place, even if they haven't yet paid off.
- 3.37 Awareness about the importance of the role and behaviour of the board/trustees about fundraising has also been enhanced (although this continues to present a key challenge for many organisations, and for a number of the Umbrellas in their delivery – see Section (lessons) for more on this).
- Resourcing Scotland's Heritage found that 79% of participants indicated their attendance had provided them/their organisation with new ideas and approaches to fundraising. Importantly, in terms of implementing the ideas – almost three-quarters of participants stated that they were able to use some of the training in their role.
 - The Giving to Heritage participant survey illustrates progress on the HLF outcomes - with 39% of respondents stating that their heritage organisation is now more financially resilient and 45% stating that their heritage offer is better managed as a result of the Giving to Heritage programme.
 - An evaluation of the SHARED Enterprise programme (September 2016), indicated that the training had helped to shift attitudes towards embedding a more positive organisational fundraising culture. One participant indicated that the training had helped them develop the confidence to secure donations from individuals, which had resulted in raising a significant sum of money¹¹.

"Course has enabled us to be more "Structured" & better prepared when planning Fundraising Events and Applications" (Investing in Northern Ireland's Heritage beneficiary)

"Gave us fresh ideas and encouraged us to look beyond the normal sources in terms of fundraising." (Investing in Northern Ireland's Heritage beneficiary)

"The person I talked to was incredibly helpful, really generous with her time and advice. With her advice in mind, I have rewritten our general appeals to trusts and foundations, improved the way we manage current grant makers and changed our strategy." (Giving to Heritage beneficiary)

"We now have a dedicated 'How to donate' leaflet outlining our various methods of donating as well as a proper legacy process. We are building a database of funders large and small, and are working on a case for support flyer." (Resourcing Scotland's Heritage beneficiary)

¹¹ <http://www.artsprofessional.co.uk/magazine/article/positive-and-professional>

"The courses and advice received from Catalyst Cymru have made a tangible difference. We are now able to begin to raise modest sums as a result." (Catalyst Cymru beneficiary)

"Catalyst Cymru has been an invaluable programme for us, we were starting from scratch and had little experience... I am certain that we wouldn't have progressed as far as we have without both the formal training events and the extra support the staff have given us..." (Catalyst Cymru beneficiary)

"it provides EXPERT advice and guidance to focus the innate enthusiasm and drive of local volunteers so they have the confidence to turn their dreams and ideals into a reality" (BRICK beneficiary)

"We had plenty of passion and vision but hadn't expressed it clearly. We know the steps and have taken many of them, have a clear vision and mission statement and have a clear stakeholder management process." (BRICK beneficiary)

"The training enables you to focus – you need to know your story and your case for support without deviating from it" (Resourcing Scotland's Heritage beneficiary)

"As a result of attending several of the training courses, I have been able to develop new approaches to fundraising and build this in to the existing strategy for the organisation." (Cornwall Catalyst beneficiary)

- 3.38 Whilst there have been successes, it is also highlighted that (in Northern Ireland) the sector has moved and progressed from a low base – and therefore whilst there have been successes in this area, it is limited given the low starting point. However, it is also noted that, if there had not been support from the Investing in Northern Ireland's Heritage programme, there are concerns about how much worse off the sector would be at this stage.
- 3.39 Some consultees also emphasised, that whilst notable changes in practice, culture and strategic approaches to fundraising have taken place, that these types of change in behaviour and practice can take a long time to fully develop, describing it as a long cycle of change.
- 3.40 It is also recognised that there are still barriers and challenges that exist for organisations that have engaged in the Umbrella programmes - in trying to implement what they have learned in their own organisation. Most notably, lack of time, but this can include attitudes of other staff, trustee/board level attitudes, risk aversion and attitudes to particular facets/types of fundraising in some organisations, as well as an overall reluctance to change.
- For example, Resourcing Scotland's Heritage found that almost half (45%) of participants reported experiencing challenges in applying the training to their organisation – with lack of time being the main barrier.

NETWORKING

- 3.41 Finally, another achievement noted by many of the programmes (especially those with a geographic focus) is about **networking** – and the increase in

networking opportunities and activities that have been made available to beneficiary organisations and taken up by the organisations.

3.42 Networking was a key aspect for many of the cohort programmes, and these programmes expect that some of the cohort networks developed during the programmes will continue into the future – i.e. the Umbrella programmes have helped to establish peer networks that are now self-sustaining.

- **Also, the development of relationships with the private sector is another form of networking that has been well supported by the Umbrella programmes – Investing in Northern Ireland’s Heritage sought to support engagement with the private sector for heritage organisations and Inspiring a Culture of Philanthropy was particularly successful around this (see below).**
- **Given the importance of networking for many beneficiaries, and the positive role of such networking, the importance of face-to-face aspects of delivery of the support and training were emphasised by some Umbrellas (e.g. Resourcing Scotland’s Heritage found the opportunity for networking at workshops was a particular asset and well appreciated by participants).**
- **SHARED Enterprise’s evaluation found that museums involved in the programme have developed business partnerships, which are expected to continue into the future beyond the programme.**
- The Programme Advisory Group remains a key achievement of **Inspiring a Culture of Philanthropy**. Some museums developed new contacts through showcases, leading to funding; new networks; new Patrons being appointed; further introductions to new donors. Some museums have raised additional funds as a result, with others having received high level patrons, plus improved confidence and tested elevator pitches.
- One particular example from **Inspiring a Culture of Philanthropy** is the Spring Arts and Heritage Centre (Cohort 2) – Bursary funding from Inspiring a Culture of Philanthropy supported a new project working with local artists. This has helped the museum team to explore different funding options and expand their network within their region.

“Practical part of the programme was excellent. Groupwork and networking opportunities provided were invaluable” (Investing in Northern Ireland’s Heritage beneficiary)

FUNDRAISING AND ADDITIONAL FUNDING INTO HERITAGE SECTOR

3.43 One of the main aims of Catalyst was that, as well as the three HLF outcomes considered above, the Catalyst programme will seek to achieve the following: bring additional private money into the heritage sector.

3.44 This section considers the achievements in terms of additional fundraising for the heritage sector due to the Umbrella programmes. Given the way in which the data has been collected by the Umbrellas, in addition to the wider focus of the Umbrellas on supporting fundraising generally rather than specifically private money (see Section 4 for a discussion on the issues

around this), this section looks at the total additional fundraising achieved so far from all sources.

- 3.45 Overall, based on information from the four of the nine Umbrella programmes that have been able to identify the value of fundraising achieved, the **Umbrella programmes have supported the heritage sector in raising an additional £9 million so far** (£9,004,000 as at March 2018).
- 3.46 This figure does need to be contextualised in various ways.
- 3.47 First, as noted above, this is the figure based on responses for four of the nine programmes – the other five have been unable to provide a figure at the current time. Therefore, the total figure for all nine programmes can be expected to be greater than this. Whilst some of the Umbrella programmes do expect to be able to identify a value of fundraising achieved in the future, others explained that they had not focused on this – for example, Resourcing Scotland’s Heritage focused on building skills and confidence rather than recording increases in income generation (although examples do exist and are included later in this section). In addition, Inspiring a Culture of Philanthropy did not collect specific data on the amount raised through the project as they did not want the museums to measure their success by this. Again, there are examples from Inspiring a Culture of Philanthropy below that show the range of ways in which the programme has supported organisations.
- 3.48 Second, this is the figure as at March 2018. Given that the majority of programmes are just completing delivery now, it would be reasonable to expect that additional successes will continue to occur into the future for all of the Umbrellas (in both the near future as delivery draws to a close, and also into the longer-term future given some of the activities being undertaken – e.g. around legacies as well as the time it can take for the relationship development that can often underpin fundraising activities – especially for private giving). As such, it is expected that this figure will continue to increase over time as fundraising strategies and activities are developed and implemented by organisations that have engaged with, and benefitted from, the Umbrella programmes.
- 3.49 Conversely, the figure is based on self-reported levels of fundraising success that have been attributed to the support provided by the Umbrella programmes. Some of the individual evaluation reports therefore note that such figures should be viewed with a (large) degree of caution given the likely variance in approaches to attributing causality between the support provided and the successes in fundraising.
- 3.50 In addition, an assessment of the examples of success in fundraising that underpin these overall results suggest that this overall figure of £9 million is underpinned by high levels of success for a relatively small number of organisations (with some organisations reporting successes to the scale of six and seven figure sums – i.e. hundreds of thousands, or millions of pounds for individual organisations). Whilst this is to be expected when it comes to successful fundraising, it does suggest that this scale of results is

due in part to large successes by a small range of organisations rather than a more moderate level of success replicated across a large range of beneficiary organisations.

- 3.51 Given all of this, **this scale of achievement at this stage of the programmes** (i.e. at the end of the delivery stage) should be recognised as a **success of the programmes in terms of supporting fundraising by beneficiary organisations**.
- 3.52 In terms of the specific examples of success at the programme level, Giving to Heritage reported in late 2017 that more than £3million had been raised by Giving to Heritage beneficiary organisations – with more than 40 organisations successes in fundraising being included in this figure. According to the Giving to Heritage evaluation, just under one third of respondents stated that they had increased their income from private and corporate sources as a result of participating in the programme. Whilst the evaluation suggests a degree of caution should be attached to the level of attribution reported by respondents it found that 16% reported a 'substantial' or 'large' increase in income from private and corporate sources, primarily from trusts and foundations.
- 3.53 The evaluation of BRICK found (in March 2018) that £3.65 million of income had been attributed by participants to the support provided by BRICK, albeit that this total emanated from a small number of organisations and includes some notable individual successes.
- 3.54 Catalyst Cymru found (in data collated in March 2018) that the programme had helped raise £1.465 million for heritage organisations in Wales. This total includes a range of scales of success from different organisations ranging from around £10,000 to in excess of £1 million. There may well be additional income raised as a result of the project that is not included in this total for Catalyst Cymru – this is an accumulation of the specific successes the programme was aware of at that time.
- 3.55 SHARED Enterprise reports that more than three-quarters of a million pounds (£753,000) has been raised by beneficiaries, with the scale of individual successes included in this ranging from less than £2,000 to more than £200,000.
- 3.56 Taken together, these four programmes have achieved more than £9 million in fundraising. When this is assessed relative to the HLF funding received by these programmes, this shows – **on average – that for every pound awarded by HLF to these programmes, £3.82 has been raised so far by programme beneficiaries**, with individual programmes return on HLF investment ranging from £2.16 to £5.63.
- 3.57 Many of the other Umbrella programmes were also able to identify examples of evidence of success around fundraising, even though the total amount achieved by beneficiaries was not available – as the examples below highlight.
- Whilst Resourcing Scotland's Heritage does not have any aggregate values of increased income from fundraising so far, their own 2017

evaluation found that almost one-quarter of participants reported having increased their income from private sources – with the majority describing these as small increases.

- Some examples of beneficiary organisations from Inspiring a Culture of Philanthropy that have had success around fundraising include:
 - Gilbert White's House and the Oates Collection (Cohort 1) – implemented a Donor Database which is now used across the organisation. This took place with guidance from their Inspiring a Culture of Philanthropy mentor and an Inspiring a Culture of Philanthropy workshop. This has transformed the way donors, and donations, are tracked which has helped to maintain links with donors and supporters. Whilst on the Inspiring a Culture of Philanthropy programme, the museum was successful with a large HLF bid. The Inspiring a Culture of Philanthropy Showcase in 2015 helped to make links with potential donors which went on to introduce the museum to a donor.
 - Dimbola Lodge (Cohort 2) – Through developing links at the Inspiring a Culture of Philanthropy Showcase events, the museum has secured substantial support from a donor which will support it through a renovation programme.
 - Hampshire Cultural Trust (Cohort 1) – Links made at the first Showcase event led to a successful funding bid which helped to support a new project working with young people in Hampshire.
- Cornwall Catalyst noted that due to the timescale for delivery it is hard to identify funding directly applicable to the programme. However, of recent beneficiaries, all four museums now have Fundraising Strategies in place, two have made changes already to diversify their income streams – Helston and Cornwall's Regimental Museum, two have undertaken branding and marketing exercises – Helston and Truro Cathedral, and all have higher levels of awareness of the need for sustainable income streams and fundraising across their organisations.
- An example from Fundraising for Archives includes an archivist who was seconded into a development role within their organisation. The support provided by Fundraising for Archives is helping the organisation to improve their resilience. This has included the establishment of a charitable partner for the beneficiary organisation and the raising of over £30,000 for the purchase of archive documents and other archive related projects.

4. HLF CATALYST: DELIVERY OF UMBRELLA PROGRAMMES

This section summarises the findings around the **delivery** of the Umbrella programmes and covers: delivery context; delivery arrangements and models; engaging target beneficiaries; and partnership & collaboration.

KEY FINDINGS FROM SECTION 4:

- All programmes reported **starting at a lower point than expected in terms of the capacity and capability of the heritage sector around fundraising.**
- **Many participant organisations needed support with wider issues than fundraising.** In particular, **support needs around governance were notable.**
- The broader context of the **public-sector funding landscape increased the need for, and importance of, HLF Catalyst.**
- An **ongoing issue is the capacity and capability of the heritage sector to engage with HLF Catalyst.**
- There is also an **ongoing issue about the low confidence of the heritage sector around fundraising.**
- Across all of the Umbrella programmes, **one recognised success is the scale of engagement achieved.**
- A notable evolution for many of the Umbrella programmes was that **as the skills, awareness and confidence of those engaging with the programmes developed, the demand for what was offered changed** – moving from more general to specific.
- This manifest itself in the **evolution of the types of support offered** across the Umbrella programmes. In particular, as the programmes moved towards and into their extension programmes, support and training became **more focused, more targeted, more detailed** and **narrower** in range.
- An important strength of the programmes is that they were able to **give participants access to external experts on fundraising.**
- An **important supporting factor throughout the delivery has been the flexibility afforded to the Umbrella programmes by HLF.**
- Similarly, partners and wider stakeholders also noted that the **flexibility of the Umbrella programme managers** in terms of delivery was a positive aspect, that enhanced what the programmes were able to deliver and achieve.
- There remained a **mix of both 'in house' (internal) delivery and 'contracted in' (external) delivery models across the Umbrella programmes** – with **both offering particular benefits** to the programmes.

- 4.1 All of the nine Umbrella organisations delivered separate programmes of activity with coverage tailored to different geographical areas and heritage sectors. This section looks at the delivery of the Umbrella programmes, across four common themes, highlighting specific findings for the individual programmes throughout. The section is structured as follows:

- **Context for the Umbrella Programmes** – considers the context within which the Umbrella programmes established and delivered their programmes, and any key changes in context that impacted on, or influenced programme delivery.
- **Programme Delivery Arrangements** – considers the delivery arrangements the Umbrella programmes put in place, identifying key successes, and reflecting on delivery challenges.
- **Reaching and Engaging Target Beneficiaries** – considers the different approaches taken to targeting and engaging beneficiaries, the relative successes of these approaches, particular areas of interest (geographic, thematic, heritage type, etc.) and any ongoing issues and challenges around engagement.
- **Collaboration and Partnership** – which considers the models of collaboration and partnership adopted by the programmes in terms of management and strategic oversight of the programmes as well as delivery of activities.

CONTEXT FOR THE UMBRELLA PROGRAMMES

- 4.2 A common theme across all the Umbrella programmes is that they all **started at a lower point than expected in terms of the capacity and capability of the heritage sector around fundraising**. This influenced the earlier stages of delivery, with the programmes having to reflect this lower capacity and capability of participants.
- 4.3 A related issue that has been persistent throughout delivery for the Umbrellas is that **many participant organisations needed support with wider issues than fundraising**. In particular, many of the Umbrella programmes highlighted that **support needs around governance were notable**, higher than anticipated, and that this continued to be the case throughout the programmes – and remains so (which influences the future areas of support that Umbrella programme managers have identified – see Section 7).
- 4.4 In general, consultees also recognised that the **need for a programme such as Catalyst became greater** during delivery than it was when the programme started, with some Umbrella programmes (notably those with an 'open' programme approach) seeing an ongoing demand for the support provided, describing it in one instance as 'infinite' in that it will continue into the future with no foreseeable end to such needs within the sector. Other programmes report that there is an acceptance from stakeholders and partners as well as beneficiary organisations that there will be an ongoing need for this type of support.
- 4.5 Within this general consensus it is important to note that not all programmes anticipate an ongoing demand for the types of support provided – partly due to the capacity issues of the heritage sector noted below, and also due to the particular characteristics of specific sectors (e.g. Archives – see paragraph 4.27 in the 'Reaching and Engaging Target Beneficiaries' section below).

- 4.6 The broader context of the **public-sector funding landscape increased the need for, and importance of, HLF Catalyst** for all Umbrella programmes. In addition, for areas that went through **restructuring of government** (e.g. Northern Ireland and Wales), the **related cuts to core government funding** further sharpened the context for the heritage sector in terms of the need to look at fundraising and diversifying income. This reduction in public sector funding also increases the competition for other sources of funding – making for a more competitive fundraising environment.
- 4.7 An **ongoing issue**, recognised throughout the evaluation, is on **the capacity and capability of the heritage sector to engage with HLF Catalyst**. Limited capacity (and increasing pressure on this existing or declining capacity) reduces the ability of organisations to engage with the Catalyst offer. Also, for those organisations that did engage, the ability to implement what they have learned is affected by these capacity issues – particularly the lack of time available.
- 4.8 There is also an **ongoing issue about the low confidence of the heritage sector around fundraising**. The achievements from many of the Umbrella programmes show there has been progress on this for those that have engaged with the HLF Catalyst: Umbrella programmes - but the issue of low confidence in general in terms of fundraising across the sector remains an issue.

PROGRAMME DELIVERY ARRANGEMENTS

- 4.9 Across all of the Umbrella programmes, **one recognised success is the scale of engagement achieved** – i.e. the number of participants/organisations that have received some form of support, training, mentoring, etc. The quantified scale and level of this achievement was set out in Section 3 and is supported by the opinion of all Umbrellas that programme delivery has been successful in terms of achieving (and surpassing) expected levels of engagement.
- 4.10 The Umbrella programmes achieved a **total number of participants across all events and activities of almost 16,000 and engaged with more than 4,100 different organisations**. In **excess of 1,500 events and activities of all types were delivered**, and the combination of **match funding achieved** by the Umbrella programmes alongside the level of **in-kind contributions received** to help deliver the programmes **exceeded £1million**.
- 4.11 A notable evolution for many of the Umbrella programmes was that **as the skills, awareness and confidence of those engaging with the programmes developed, the demand for what was offered changed** – moving from more general to specific.
- 4.12 This manifest itself in the **evolution of the types of support offered** across the Umbrella programmes. In particular, as the programmes moved towards and into their extension programmes, support and training became **more focused, more targeted, more detailed and narrower** in range.

Whilst this may be more obvious of the 'open' programmes it is something that has occurred across all of the Umbrella programmes.

- 4.13 A number of programmes introduced **new topics and subjects to their offer, especially during the extension of the programmes**, reflecting this evolution of the offer from the general to the more specific. In addition, the types of support offered evolved for some of the programmes from the more generic offer (e.g. off the shelf workshops) to a more specific offer tailored to specific participants.
- Catalyst Cymru evolved delivery to reflect the context within which they were delivering, and the demands of the heritage sector in Wales. This led to more effective delivery (and better achievements). For example, the programme delivered fewer classroom sessions. Instead, the programme addressed demand by **offering more bespoke training tailored to the needs of the individual organisations**, which is thought to be a more effective route to bring about long-term change in an organisation around fundraising.
 - Resourcing Scotland's Heritage noted an **increasing interest in specific themes**, and a resultant increased demand for the 'In Focus' sessions on offer, and less demand for the two main introductory courses. This change reflected both the evolution of the needs of the sector, and potentially the saturation of the market place in terms of the introductory level courses.
 - Investing in Northern Ireland's Heritage took a very broad and wide-ranging approach at start to meet the needs of the members at that point, but **over time the nature of training became more targeted and more specialised**. This is regarded by partners as the correct process to have gone through – given the needs of the sector at the time, but any future delivery (post-Catalyst) would look at a more targeted offer.
 - Giving to Heritage's delivery in the later stages involved **'in house' workshops**, delivered to an individual organisation, and this proved to be a well-regarded aspect of delivery. In addition, Giving to Heritage introduced **'masterclass' workshops targeted at more experienced fundraisers** with new content (covering 5-6 different subjects including legacy fundraising, corporate partnerships, and major donor fundraising).
 - The offer of **Executive Coaching** was attractive to beneficiaries for some programmes (e.g. Catalyst Cymru and Giving to Heritage both found this a popular aspect of delivery).
 - For Inspiring a Culture of Philanthropy **peer to peer learning** went very well, with earlier cohort members actively supporting later cohort members as mentors, also helping to build links with other museums not engaged in the cohorts. This was run and delivered by the cohort members themselves, and was found to be much more useful, well attended and more successful than the previous Action Learning Sets approach.

- BRICK found that there was a **high demand for mentoring**, but that it was a very staff resource intensive activity to offer.
 - The extension programme allowed SHARED Enterprise to move away from geographically based cohorts and **developed targeted cohorts for specific types of fundraising**.
 - Cornwall Catalyst found that it had the **most success through peer to peer learning and hands on support**. The programme has made a difference to core participants fundraising activity and activity in this area has increased and broadened out.
 - Fundraising for Archives revised approach delivered a 'menu' of provision, which meant **reach was much wider** than would have been possible with original programme approach. Delivered activity included over 30 open sessions, seven geographic cohorts and one resilience cohort.
- 4.14 An important dimension to support is that the **offer was bespoke to the heritage sector and bespoke to the specific attendees** (this is more naturally the case for 'cohort' programmes, but is also true of some of the open programmes). The role of heritage specific case studies (and speakers from heritage organisations) was an important aspect for many of the workshops and training sessions. An example from Resourcing Scotland's Heritage emphasises the strength of the delivery partnership with the workshop trainers/facilitators and the bespoke nature of the offer. Workshop facilitators carried out preliminary research on attendees for upcoming training events and customised the delivery to the attendees. Being able to customise the session to heritage generally, but also to the specific attendees, was **a key asset of delivery**.
- 4.15 An important strength of the programmes, identified by many consultees, is that they were able to **give participants access to external experts on fundraising** – and on particular aspects/topics of fundraising as well. This was helpful in two ways. First, it helped to attract participants to events – given the high profile of some trainers, speakers, etc. people were more interested in attending. Second, for those umbrellas providing more detailed support to specific organisations, being able to offer an external, experienced perspective (including from the programme managers themselves as well as other deliverers) to the beneficiary organisation during the training/support helped to address any concerns/reluctance in the organisation. This is something a member of staff from within the organisation would find more difficult – the external, objective perspective is able to carry more weight in change the attitudes to, and culture around, fundraising.
- 4.16 One reflection from a number of consultees is about the fact that the more bespoke types of support are more resource intensive. Those that have focused on, or moved towards, this type of support acknowledge that this may be the case but point towards the greater results that can be achieved by this more intensive support – in terms of fundraising successes, as well as the strategic and cultural changes that can be achieved and sustained by offering more sustained levels of support – leading towards greater resilience for the beneficiary organisations.

- 4.17 The approach to charging for events - that has been in place throughout the delivery of the programmes - of having **a nominal charge for attendees has worked well**. In addition to helping to raise some match funding for Umbrella programmes, it has also helped to ensure that participants place a value on the training and this in turn has helped to support attendance levels by making them more likely to attend (compared to an event that was free of charge where attendance levels can be lower).
- 4.18 For all aspects of delivery, it is important to acknowledge the extent to which delivery (and the evolution of delivery) has benefited from the ongoing experience, expertise and understanding that has been developing amongst the programme managers and other delivery staff and partners throughout the lifetime of the HLF Catalyst: Umbrella programmes.
- 4.19 This level of **'tacit knowledge'** is a key asset to the HLF Catalyst: Umbrella programmes, and it will be important going forward as the programmes end that such knowledge and experience is captured and leaves a legacy for the wider heritage sector from the delivery of HLF Catalyst (see Section 5).
- 4.20 In addition, an **important supporting factor throughout the delivery has been the flexibility afforded to the Umbrella programmes by HLF**. The ability of the programmes to adjust and evolve their delivery and the supportive and flexible approach taken by HLF in this regard is identified as a strength by many of the Umbrella programmes. The ability for the Umbrella programmes to be able to adapt to their changing delivery circumstances and changes in the wider context (as set out earlier in this section) was a key asset for the programme, and it would not have been possible without the flexibility of HLF in this regard.
- 4.21 Similarly, partners and wider stakeholders also noted that the **flexibility of the Umbrella programme managers** in terms of delivery (which emanated from the flexibility afforded them by HLF) was a positive aspect, that enhanced what the programmes were able to deliver and able to achieve.

REACHING AND ENGAGING TARGET BENEFICIARIES

- 4.22 Following on from the overall scale of engagement achieved (see Section 3) the **Umbrella programmes also reported that they have been successful in general in terms of reaching and engaging with their specific target beneficiaries**.
- 4.23 For those programmes that adopted a 'cohort' approach the challenge was to maintain engagement of the cohort throughout the relevant timescale of the programme, as well as attracting and sustaining new cohorts as the programmes progressed.
- 4.24 For the **programmes with an 'open' approach, the challenge was around ensuring sufficient levels of attendance** at each of the workshops, events or activities offered. Overall, the **levels of attendance achieved have been good** and have improved over time for some programmes as they learned from previous experiences in terms of successful and unsuccessful approaches.

- 4.25 As noted in Section 3, the attendance at 'open' programmes included a notable number of returning participants – Giving to Heritage, BRICK, Resourcing Scotland's Heritage and Catalyst Cymru all have examples of participants engaging in notable numbers of multiple workshops/events and/or being engaged in and receiving various types of support from the programmes.
- 4.26 The 'open' programmes in particular noted that it **involved a notable scale of effort to engage participants** in the programme and to work to ensure that attendance was good at each event.
- 4.27 As the programmes progressed through their original delivery, and into the extension delivery, the Umbrella programmes became aware that **each of the programmes had become a trusted name in their respective sub sectors** (i.e. by type of heritage and/or by geography) and that **this reputation helped with attendance at events or engagement of cohorts** – 'word of mouth' about the quality of support and training provided had spread and engaging participants benefitted from this.
- Resourcing Scotland's Heritage found that the **most effective promotion route was via direct emails** from the programme manager. However, this still required notable scale of effort from the programme manager – finding the contacts and repeatedly promoting the events to them.
 - Giving to Heritage discovered through experience that a **combination of longer lead-in times to events, more support from Steering Group members in supporting and promoting events and using 'tried and tested' locations led to better attendance levels** and no cancelled events. Giving to Heritage also note that the **combination of location, venue and subject/theme can play an important part in the success** of an event where getting the right mix of these three aspects ensures high attendance.
 - Catalyst Cymru previously found areas such as rural, mid-Wales the biggest challenge (in terms of stimulating interest, as well as facing higher than average levels of cancellations). The **change of delivery model away from classroom type sessions to a more bespoke offer has led to a more effective and more efficient approach** addressed this issue (for both the beneficiary organisation/individuals and also in terms of delivery efficiencies). Catalyst Cymru also faced a challenge in terms of engaging natural heritage organisations, but achieved success by building on WCVA's environmental contacts.
 - Resourcing Scotland's Heritage **achieved excellent geographic coverage**, having delivered courses in all of Scotland's 32 local authorities by the end of the programme. In terms of ensuring geographic accessibility to training opportunities, Resourcing Scotland's Heritage offered a travel bursary. Whilst take up was very low, it was an important incentive for those attendees from remote locations who did make use of it.
 - It is interesting to note that SHARED Enterprise found that it was **easier to recruit to later cohorts, as there was increased awareness**

about the programme in the region, and the specificity and relevance of the topics being delivered.

- In recruiting later cohorts, Inspiring a Culture of Philanthropy **expected that the remaining pool of museums might be less able to engage with the programme than their predecessor cohorts. However, this proved not to be the case – with the later cohort being** perhaps the most engaged and demanding of the three cohorts.
- Fundraising for Archives reported that there was **demand for the established cohorts – there was a clear immediate need**, with cohort members often already engaged in fundraising projects. However, the programme also found that **beyond current cohort members, there are few archives with the current capacity to engage**, meaning that the programme has effectively captured the market and that there is not much more scope in the sector for cohort-based support beyond the programme at this time.
- The extension programme for Investing in Northern Ireland's Heritage was promoted through **launch events** and this **enabled the reach and awareness of the programme to be extended into new groups** and new people within groups that had engaged previously. Also, the use of social media and regular newsletters helped to engage rural groups in Northern Ireland through the Rural Community Network.
- Less popular themes included support specifically for trustees/board members, which relates to the wider issues and challenges around engaging trustees and board members in fundraising.
- Perceptions that amongst trustees/board members there is a **lack of understanding of their role in (and a lack of engagement in) fundraising alongside a perception that there is an attitude of risk aversion** (noted by many Umbrella programmes) continue to exist and this has been a challenge for some programmes. Specific activities aimed at trustees and board members has helped (although some report that they take more effort to attract participants), but there does continue to be a concern (which, whilst not true of all trustees/board members) is sufficient for it to remain a concern for programmes – in particular that the risk averse nature of trustees around fundraising could continue to be a barrier in terms of an organisation's ability to implement fundraising ideas and strategy. This issue is revisited later in the report.

COLLABORATION AND PARTNERSHIP

- 4.28 Throughout the delivery of the Umbrella programmes, and in particular with the opportunity provided by the extension funding, alongside the narrowing of focus and more specialised support discussed earlier in this section, some Umbrellas expanded their range of specialised delivery partners to help deliver some of the new subjects/areas of fundraising and new types of support.
- 4.29 In addition, previous experience of training and support delivered by external partners also led some Umbrella programmes to become increasingly discerning about the external delivery partners that they used.

- 4.30 There remained a **mix of both 'in house' (internal) delivery and 'contracted in' (external) delivery models across the Umbrella programmes** – with **both offering particular benefits** to the Umbrella programmes. For example, the use of external delivery (i.e. buying in delivery from external organisations) provided access to nationally recognised fundraising expertise and knowledge, whilst the use of internal delivery (i.e. by the programme managers themselves as well as other core partners) supported capacity and capability building within the Umbrella organisations, as well as the retention of tacit knowledge within core staff – increasing the potential for training legacy within the Umbrella organisations.
- 4.31 For some of the Umbrella programmes, the **partnership underpinning the programme has notably changed over time**, whilst for others the **existing partnership stayed in place for the entire programme**.
- For Investing in Northern Ireland's Heritage, a range of different partners were used to help deliver aspects of the programme in the later stages – based on occasional use as and when needed, rather than a formal partnership (as originally used in Northern Ireland). **The programme ended up going far beyond the original partnership and used a very broad range of delivery partners.**
 - Bringing **delivery in-house worked really well** for Fundraising for Archives. This embedded, and sector specific, expertise has been retained by The National Archives for future activity. The **flexibility of the programme to adapt to sector needs was critical to its ability to deliver**, and partner engagement improved over the life of the programme. Partners of Fundraising for Archives felt that the programme adapted well, those engaged in the programme found it helpful, and feedback was positive. The National Archives **also learned some useful lessons about what works and what does not work in terms of delivering programmes in partnership.**
 - For Resourcing Scotland's Heritage, the original partnership existed throughout, all partners remained involved (with it commonly being the same person from each partner organisation in attendance, helping to provide/ensure consistency), and the partnership worked well. The development of the partnership and the skills of the partners is a key part of the programme. The programme included 'Train the Trainer' sessions, where partners have learned to deliver support around fundraising and the ability of partners to deliver or facilitate the training themselves in the future is a key aspect of the legacy of the programme – the potential for which is currently being explored.
 - The partnership for Catalyst Cymru (which has been consistent throughout) has worked well in terms of delivery. In particular, the partnership between WCVA and The Funding Centre has been very helpful, and the knowledge and expertise that the partners (both The Funding Centre and MALD, Welsh Government) bring has been a key asset. The partnership of organisations, and the collaborations between the individuals involved has worked very well.
- 4.32 Other positive aspects of partnership working include:

- The Programme Advisory Group (made up of donors and experienced fundraisers) remains a key achievement of Inspiring a Culture of Philanthropy. Some museums developed new contacts through showcases, leading to funding; new networks; new Patrons being appointed; further introductions to new donors. Some museums have raised additional funds as a result, with others having received high level patrons, plus improved confidence and tested elevator pitches.
- Giving to Heritage found the partnership with the Institute of Fundraising improved as the programme developed and resulted in an effective partnership underpinned by good relationships between all of those involved. The Heritage Alliance will look to continue working with the Institute of Fundraising in the future (so sustaining the partnership that has been developed) on a range of activities.
- SHARED Enterprise, Inspiring a Culture of Philanthropy and Catalyst Cornwall all benefit from strong relationships with museum development officers (MDOs), who in each case were co-hosted in the same organisation (Norfolk Museums Service, Hampshire Cultural Trust and Cornwall Museums Partnership). Such relationships allow for appropriate cross referrals to be made, and good practice to be shared.
- Finally the Catalyst Umbrella Programme Managers Group itself – which met at fairly regular intervals throughout the programme – was a useful partnership and forum. It was helpful to the programme managers themselves in terms of sharing ideas, discussing delivery issues, and so on. It was also useful to HLF as a route for engaging with the programmes collectively, taking soundings on particular issues, and providing updates to the managers. The Group also served as a useful mechanism for the evaluation itself – where annual workshop discussions were used to share evaluation findings and discuss progress.

5. HLF CATALYST: UMBRELLA PROGRAMMES – LEGACY & LESSONS

This section of the report considers the legacy of the Umbrella programmes and the sustainability of the learning, tools and resources that have been developed as well as outlining lessons from the Umbrella programmes – both for heritage organisations about fundraising and from the delivery of the programmes.

KEY FINDINGS FROM SECTION 5:

- Beneficiaries have better awareness, improved knowledge, and increased confidence and skills. The ongoing challenge is the capacity to apply this. There is a **need for support in putting things into practice**.
- Not all of the heritage sector engaged with HLF Catalyst, and there may be an **ongoing need for the more general levels of support provided in the early stages of the programmes - for those who did not engage**.
- Common aspects of heritage sector need are **ongoing support and training around leadership and governance issues, as well as more general capacity building** for the sector –important areas for future support.
- **The move from broad to narrow** themes and from general to more specific types of support **reflected the development of the heritage sector** for those parts of the sector that engaged with HLF Catalyst.
- Growing recognition from Umbrellas of the **demand for more intense forms of support** and that these can be more effective (than more general 'classroom' sessions) in helping to change organisational culture and attitudes.
- Organisation-focused support was effective for those Umbrellas that used this approach. Getting the whole organisation on board with fundraising is key, and many Umbrellas identify this as key factor in successful delivery.
- Many Umbrella programmes continued to note **ongoing issues for beneficiaries with engaging their trustees/board members**.
- All Umbrella programmes produced a range of tools and resources that will continue to be available beyond the end of the programme. It will be **important for HLF to ensure the learning, tools, and resources are maintained and made available on an ongoing basis**.
- Some Umbrellas highlight networks and partnerships developed through the programmes as an important legacy – especially those that are self-sustaining.
- Some Umbrellas already have successor activity in place or have plans (contingent on external funding/support) to continue some form of delivery.
- The fact that Umbrella **programme delivery was heavily subsidised** (due to HLF funding) with only nominal cost for attendance, was a **very important factor in terms of engaging participants** in the training and support.
- **Significant effort was required to engage with some target beneficiaries** – especially for those operating 'open' programmes.
- The ability of the Umbrellas to customise delivery to the heritage sector is a clear benefit and a good practice lesson.

- An **important supporting success factor was the flexibility afforded to the Umbrella programmes by HLF.**

TOOLS AND RESOURCES

- 5.1 All nine of the Umbrella programmes have produced a range of tools and resources throughout delivery that have been available and will continue to be available beyond the end of the programme. This includes online resources, toolkits, guidance, templates, advice, tips, webinars, case studies, database/directories, links to funders and funding advice etc.
- 5.2 Annex 4 provides a list of the key tools and resources for each of the Umbrella programmes – those available online, as well as other resources that have been developed by each of the programmes. Table 5.1 below lists the main websites for the Umbrella programmes as well as key links to available resources and tools (as at April 2018).

Table 5.1: Summary of Online Links to Tools and Resources

Umbrella	Main website	Resources, tools useful links:
BRICK	https://brick-work.org/	https://brick-work.org/
Catalyst Cymru	https://www.wcva.org.uk/funding/catalyst-cymru	https://www.wcva.org.uk/funding/catalyst-cymru/useful-links https://www.wcva.org.uk/training-and-events/wcva-webinars/learning-zone
Catalyst Cornwall	https://www.cornwallmuseumspartnership.org.uk/	http://www.cornwallmuseumspartnership.org.uk/resource-results/?_sft_resource_cat=fundraising
Fundraising for Archives	www.nationalarchives.gov.uk/archives-sector/projects-and-programmes/fundraising-for-archives/	www.nationalarchives.gov.uk/archives-sector/projects-and-programmes/fundraising-for-archives/
Giving to Heritage	http://www.theheritagealliance.org.uk/gth/	www.theheritagealliance.org.uk/gth/?page_id=1398 (webinars)
Inspiring a Culture of Philanthropy	http://www.fundraisingportal.org.uk/	www.fundraisingportal.org.uk/resources
Investing in Northern Ireland's Heritage	https://www.heritagefundraisingni.org/	https://www.heritagefundraisingni.org/resource-library
Resourcing Scotland's Heritage	http://www.resourcingscotlandsheritage.org/	http://www.resourcingscotlandsheritage.org/resources/
SHARED Enterprise	http://sharemuseumseast.org.uk/shared-enterprise/	http://sharemuseumseast.org.uk/shared-enterprise-resources/

Source: Summary of information provided via Umbrella programmes, April 2018

- 5.3 Many of the Umbrella programmes outlined in their original applications and delivery plans some of the ways in which the tools and resources developed during delivery would be sustained beyond the end of the programme.
- 5.4 In addition to the online tools and resources, a number of the Umbrella programmes also point towards the networks and partnerships that have been developed as part of the programmes as an important legacy – especially given that a number of these networks are now self-sustaining.
- The National Archives will host legacy resources for the next four years, with e-learning modules and training materials embedded alongside core work. Three online toolkits, six e-learning modules and selected materials from the 11 training courses are already, or will soon be, available. The National Archives have retained training expertise in house, with regional officers in the field having awareness raising training on the resources.
 - Architectural Heritage Fund will manage the legacy resources from BRICK. This will focus on five resources on the key themes of BRICK (i.e. Governance; Fundraising and evaluation; Business Planning; Digital Media; Visioning). These have already been produced and went live in April 2018 via the website. BRICK felt that overall the project had developed too many online resources.
 - Hampshire Cultural Trust (which now has a permanent fundraising team as a result of their Inspiring a Culture of Philanthropy experiences) and the South East Museum Development Programme will continue to use and promote the legacy materials from Inspiring a Culture of Philanthropy via the www.fundraisingportal.org.uk website, which includes all resources from core training and workshops, as well as video case studies.
 - Networks developed via Inspiring a Culture of Philanthropy cohorts are expected to continue, and online forums have been set up for each cohort member to share matters of interest on fundraising. The fact that these cohort networks are now self-sustaining is an ongoing legacy of Inspiring a Culture of Philanthropy
 - Learning resources developed by SHARED Enterprise will continue to be available on the SHARE Museums website and will be used and promoted through the Museum Development programme and via MDO's (Museum Development Officers). An advocacy film has been produced, and a best practice booklet has been produced and distributed.
 - Building on lessons learned during delivery, Resourcing Scotland's Heritage have changed their plans for legacy materials. There are now two digital legacy projects planned, which will incorporate the various resources developed throughout the delivery into an online publication 'Inspiring Fundraising'. All partners will host these new resources on their respective websites. There are also plans to develop training videos of the two main Resourcing Scotland's Heritage courses – Make it Happen and Planning to Progress, capturing the key learning points

from the courses. Partners have also agreed to look at digital uptake in 12 months' time to assess use/take up – which will help inform future plans around the legacy of these tools and resources.

- There are a range of case studies and other tools available via the Catalyst Cymru website. In addition, content for Blended Learning courses and other materials (e.g. webinars) are available via the WCVA Learning Zone website. Additional resources (e.g. funding information sheets) are also available, and course materials are forwarded to participants after the courses have been delivered.
- The Heritage Alliance will maintain the tools and resources from Giving to Heritage for a period of five years. This will include continuing the website, making the webinars available, and maintaining a social media presence. In addition, the development of a new CRM system by The Heritage Alliance will ensure that Giving to Heritage beneficiaries will continue to receive tailored updates from the Alliance as part of its ongoing communications with the heritage sector.
- There are a range of resources from the Investing in Northern Ireland's Heritage programme that are available via a resource library – this includes presentations from various events, a wide range of reports (including toolkits, guides, research reports), useful links and webinars. In addition, the programme has also supported a recent 'heritage audit' mapping project which will help to inform the legacy of the programme.
- The legacy tools and resources from Cornwall Catalyst are part of the Resource Hub on Cornwall Museums Partnership website. This includes 13 skills development guidance and case studies that are a direct result of Cornwall Catalyst, and 10 best practice webinars resourced from other Catalyst programmes. Video case studies of participant museums are also available.

5.5 There are two aspects for HLF to consider around the tools and resources. The first relates to ensuring the ongoing availability of the tools and resources from each of the Umbrella programmes – throughout, and potentially beyond, the timescales that the Umbrella programmes have agreed to do so for. The second relates to whether or not there should be any central coordination or hosting of all of the resources by HLF – for example, hosting links to the relevant online resources via the HLF website, or creating a centralised hub of the resources accessible via HLF.

5.6 Both of these considerations relate to HLF ensuring that the learning, tools and resources from the Umbrella programmes are maintained and made available on an ongoing basis to the heritage sector.

ONGOING DELIVERY

5.7 The extent to which there will be any legacy from the Umbrella programmes in terms of future delivery of support and training varies across the programmes. Some Umbrella programmes already have successor activity in place or have plans to continue delivery in some form, which are contingent on receiving additional external funding/support. Others are still

giving consideration to any future delivery but do not have any immediate plans in place – although the lessons from the delivery of the Umbrella programmes will inform any future delivery. Examples include:

- Peer to peer mentoring, regarded as most effective elements of Cornwall Catalyst, will continue after the programme. The Cornwall Museums Partnership are also developing a successor to Cornwall Catalyst via a Resilient Heritage Project covering Devon, Dorset and Somerset as well as Cornwall.
- Hampshire Cultural Trust now have a permanent fundraising team as a result of their Inspiring a Culture of Philanthropy experiences.
- There are plans to deliver ongoing support to the heritage sector by Arts and Business Scotland, which will build upon the Resourcing Scotland's Heritage programme, using revised versions of some of the courses. However, as this will not be supported by external funding this will be on a more commercial charging basis, rather than at the highly subsidised rates that Resourcing Scotland's Heritage was able to offer.
- In addition, due to the 'train the trainer' activities that the Resourcing Scotland's Heritage programme included, the partner organisations could potentially deliver aspects of the programme themselves in the future.
- Given the ongoing demand in Wales for support around fundraising as well as more general support around issues such as governance, there are plans for a succession programme in Wales that will include providing support and training to the heritage sector. This will be underpinned by a theory of change approach to demonstrating the impact of the support and training. The successor programme in Wales will seek to address the wider general capacity needs of the sector – rather than solely focusing on fundraising.
- Any future programme in Northern Ireland would not focus on fundraising training, would more broadly look to address the wider capacity building issues. In addition, any such delivery would be likely to look at more in-depth support and resources, and more specialised support for organisations to help them implement activity rather than be about delivering more workshop-type training. There are no definite plans for any successor programme at the moment, as any future delivery would require external funding support.
- For The Heritage Alliance, it is difficult to have any future plans on delivery of a successor or similar programme given the very limited capacity of the team at the Alliance. Any legacy will therefore be contingent on the time and priorities of the organisation. If funding was available, the organisation would be interested in delivering as the materials are already there, and there is ongoing demand for the programme.

LESSONS FROM UMBRELLA PROGRAMMES FOR HERITAGE ORGANISATIONS

- 5.8 In terms of lessons for beneficiaries (i.e. heritage organisations) about fundraising, the tools and resources produced by the Umbrella programmes discussed above and summarised in Annex 4 provide useful lessons – about fundraising generally and about specific types and activities around fundraising. These lessons are not repeated here but, as one example, the box below summarises the lessons learned from the Income Generation and Fundraising publication from the SHARED Enterprise programme.¹²

Lessons Learned

Different approaches work for different museums. Be prepared to take managed risks but ensure your fundraising efforts are right for you and your audiences.

The cohort model has been particularly successful, enabling organisations to benefit from tailored, expert advice, and building a peer network that provided accountability and support. Most organisations that participated in the cohort sent at least two members of their team, including trustees, to the sessions; this helped gain whole-organisation buy-in and embedded a fundraising mindset within organisations. If you are unable to create formal cohorts, consider whether you could set up informal networks of organisations looking to improve their fundraising skills.

The project enabled organisations to access paid-for professional fundraising advice from specialist consultants, which organisations credited with helping increase their knowledge and boost their fundraising efforts. If your museum cannot afford to engage a specialist fundraising consultant, consider whether you might be able to work with other museums to buy their time.

A single point of contact, our Project Manager, made it easier for participating organisations to access one-to-one advice and information.

Fundraising is hard work and there are not any shortcuts or magic wands that will lead to quick fundraising success, so it is vital to get everyone in an organisation involved in fundraising, especially trustees.

Source: taken from: 'Income Generation and Fundraising for Museums', SHARED Enterprise

¹² <http://sharemuseumseast.org.uk/wp-content/uploads/2017/11/Income-Generation-and-Fundraising-for-Museums.pdf>

LESSONS FROM DELIVERY OF HLF CATALYST: UMBRELLA PROGRAMMES

- 5.9 In terms of lessons from the delivery of the Umbrella programmes for any ongoing fundraising support and training to the heritage sector, a number of issues were identified.
- 5.10 Around the overall approach to delivery, the move for many of the Umbrella programmes from general to more specific support and training during HLF Catalyst discussed in Section 4 of this report was the source of a number of lessons from the Umbrella programmes, especially when considering the types of support needed in the future:
- Over the course of delivery there was a **movement** within the training and support being delivered from **broad to narrow** (or general to specific/specialised) themes. This movement also included a shift from general to more specific types of support, and both of these changes **reflected the development of the heritage sector** in terms of fundraising awareness, capacity and capability – especially those parts of the heritage sector that engaged with HLF Catalyst.
 - For those organisations that engaged with the Umbrella programmes, there is now an awareness around fundraising, improved knowledge, and increased confidence and skills – as set out in Section 3. The ongoing challenge identified by many of the Umbrellas is about the ability (and capacity) of organisations to apply this knowledge and skills and implement their ideas, plans and strategies around fundraising. As such, there is a **need for support to organisations in implementing, applying, and putting things into practice** around fundraising.
 - However, there is also a recognition that not all of the heritage sector engaged with the Umbrella programmes (or the Small grants), and this, alongside the findings from the 2018 heritage sector survey for this evaluation (see Section 6 and Annex 2) suggest that there **may be an ongoing need for the more general levels of support and training that HLF Catalyst provided in the early stages of the programmes - for those parts of the heritage sector that did not engage with Catalyst.**
 - The needs of the heritage sector beyond fundraising, with two common aspects being **ongoing support and training needs around leadership and governance issues, as well as more general capacity building** for the sector, were highlighted by the Umbrella programmes as important areas for future support. Such issues are not unrelated to fundraising, and there was a consensus amongst the Umbrella programmes that addressing leadership and governance issues can be key to successful and sustainable fundraising.
 - Finally, a number of consultees noted that the fact that the Umbrella **programme delivery was heavily subsidised** (due to the HLF funding) with only nominal cost for attendance, was a **very important factor in terms of engaging participants** in the training and support (see Section 4 – Programme Delivery Arrangements). It will be important for this to be borne in mind in terms of any future delivery of Umbrella programme successors – especially where a different funding model may result in a more commercial rate being charged.

5.11 Other lessons from delivery, beyond the ongoing support needs of the sector, and focusing on lessons from successful aspects of delivery include:

- Whilst the Umbrella programmes achieved **good levels of engagement**, exceeding expectations in some cases (see Section 3), it is important to recognise that **significant effort was required to engage with some target beneficiaries** – especially for those operating ‘open’ programmes, where the scale of time and effort required on this aspect was notably underestimated at the start of the programmes.
- Within both the cohorts and the open programmes, some Umbrella organisations report that they found it **easier to recruit** later cohorts or attract people to open workshops and events – and this is attributed towards **better awareness of the programmes** over time within the sector/target beneficiaries. In contrast, other cohort programmes felt that they had reached their target audiences that were able to engage with the programme – suggesting that the capacity and interest may vary notably across heritage types and geographies.
- A key lesson for Umbrella programmes with cohort elements was the need to **take time to get to know the target beneficiaries** in their target area to get a deeper understanding of who would benefit the most from the support available.
- Some of the Umbrella programmes noted that **engaging business groups and developing a stronger business and commercial focus** (which they did more of in the later parts of the programme), was particularly beneficial.
- The ability of the Umbrella programmes (both cohort and open) to customise delivery to the heritage sector and, where appropriate, to make delivery **bespoke to the specific attendees at each individual training event by reflecting and incorporating into the delivery the background and experiences of attendees** is a clear benefit and a good practice lesson.
- There was a growing recognition from Umbrella programmes of the **demand for more intense support** (e.g. one-to-one support, ‘in-house’ support, executive coaching, masterclasses etc.) and that these can be more effective (than more general ‘classroom’ sessions) in helping to change organisational culture about, and attitudes towards, fundraising.
- Organisation-focused support was found to be effective by those Umbrellas that used this approach (either via the cohorts, or via support and activities provided to a single organisation – one a one-to-one basis with key staff, or via engagement with a group of staff and trustees/governing body representatives). Getting the whole organisation on board with fundraising is key, and many Umbrellas identify this as key factor in successful delivery.
- The ability of the Umbrella programmes to evolve the focus (in terms of topics and themes) and the type(s) of support being delivered as the fundraising capacity of beneficiaries developed over time was an important aspect and a key strength of delivery as mentioned above.

An **important supporting factor in this was** (as discussed in Section 4) **the flexibility afforded to the Umbrella programmes by HLF**. The ability of the programmes to adjust and evolve their delivery and the supportive and flexible approach taken by HLF in this regard is identified as a strength by many of the Umbrella programmes.

- Across all Umbrellas, lessons have been learnt in terms of ensuring that the right delivery partners are engaged to deliver inputs, with the often sectorally transferred or generic provision observed in the earlier stages of Catalyst being superseded and replaced by **more specific and deeper provision – more typically delivered by specialists**. In addition, the use of a wider range of delivery partners can be helpful as it reduces reliance on a small number of providers, as well as allowing increasing specialism within delivery.
- Many Umbrella programmes continued to note **ongoing issues for beneficiary organisations with engaging their trustees/board members**. Some programmes developed specialised training aimed specifically at this type of beneficiary. Even in such circumstances, this group seems to exhibit **lower interest/demand** than others, as well as **requiring more effort** to engage with and attend training. It is important to bear these issues in mind in any future support for such beneficiaries, as well as the fact that 'in house' training can be more effective at engaging such individuals.

6. HLF CATALYST: SMALL GRANTS ACHIEVEMENTS

This section focuses on the achievements of the HLF Catalyst: Small Grants – setting out what was achieved and comparing this to changes around fundraising in the wider heritage sector over the period of the HLF Catalyst: capacity building programmes. It also highlights some lessons learned from the Small grantees.

This section draws on the findings from the Heritage Sector Survey 2018 (which achieved 110 responses, a 26% response rate - see Section 1 for more detail) as well as the results of the previous surveys of Small grantees (the 2015 Survey of Small grants and the 2016 Small grant Survey (First Interim Report)) as well as the 2016-17 Small grant case studies (First and Second Interim Reports).

KEY FINDINGS FROM SECTION 6:

- **The Small grant surveys found that all respondents already had, or were developing, a fundraising strategy** compared to a pre-grant position where more than half did not.
- **All respondents indicated that raising income from private sources formed a part of their fundraising strategy.**
- Almost all respondents (98%) indicated that **fundraising and income diversification** was either 'critical' (67%), or 'very important' (32%).
- **Nearly all respondents (94%) indicated that raising income from private sources was either 'critical' or 'very important' to their organisation**, with just over half (54%) indicating the former.
- 80% of Small grantee organisations felt that they were either 'significantly' (36%) or 'moderately' (44%) **better managed** with a further 14% indicating that they thought they were 'marginally' better managed.
- The vast majority of Small grantees (83%) indicated that the organisation's staff had **developed skills** to either a 'significant' or 'moderate' extent.
- The impact on governing body/trustees/ board members skills development was less marked, although more than half of the Small grantees indicated that the governing body had developed skills to a 'significant' or 'moderate' extent.
- Small grantees clearly felt that they were **more resilient** following the project, with almost 85% indicating they were 'significantly' or 'moderately' so.
- Just less than three-quarters of Small grantees stated that following the grant project the organisation had brought in **additional private money** to a 'significant' or 'moderate' extent.
- These **results show that Small grantee organisations have experienced clear success across the board** – showing positive achievements for all aspects compared to both the baseline position for Small grantees and compared to the wider heritage sector survey results.
- In terms of the sustainability of the impacts achieved, **over 92% of respondents indicated that the legacy impact from the Small grant project was expected to continue into the foreseeable future.**

INTRODUCTION TO THE SMALL GRANTS

- 6.1 The HLF Catalyst: Small grants initiative was open to heritage organisations or partnerships of heritage organisations across the UK and intended to build fundraising capacity and encourage more private giving to heritage.
- 6.2 Grants of between £3,000 and £10,000 were available, and there were two rounds of applications, both of which took place in 2013.
- 6.3 According to HLF, the initiative was intended to achieve the following:
- Increase the capacity of heritage organisations to access funding from private sources.
 - Bring additional private money into the heritage sector.
 - Improve the financial sustainability of heritage organisations.
- 6.4 More specifically, Small grants were expected to achieve outcomes for heritage, people and communities set out in Section 1 of this report – i.e.:
- Outcomes for heritage - With our investment, heritage will be: **better managed.**
 - Outcomes for people - With our investment, people will have: **developed skills.**
 - Outcomes for communities - With our investment, your organisation will be **more resilient.**
 - In addition, the Catalyst programme will seek to achieve the following: **bring additional private money into the heritage sector.**

OVERVIEW OF SMALL GRANTS AWARDED

- 6.5 A total of £1.13 million across 125 grants was awarded through the two application rounds. The first round of Small grant awards was made in June 2013 (a total of 44 awards with a total value of £410,400) and the second in October 2013 (a total of 81 awards with a total value of £727,200).
- 6.6 Since the original awards were made, two of the Small grant recipients did not proceed with their projects, and so the summary analysis presented below relates to 123 awards with a total value of £1,121,700.
- 6.7 Table 6.1 below presents the total number of grants awarded through the HLF Catalyst: Small grant programme split by region/nation and shows that the South East (18 awards) and London (17 awards) received the largest number and proportions of awards – accounting for 14% and 15% respectively. Conversely, Northern Ireland received only one award, and the East Midlands received four awards. Notably, Wales received 12 awards, around 10% of the total.

Table 6.1: HLF Catalyst: Number of Small grants by region/nation

Region/Nation	Number of Small grants	Percent
East Midlands	4	3%
East of England	10	8%
London	17	14%
North East	8	7%
North West	13	11%
Northern Ireland	1	1%
Scotland	10	8%
South East	18	15%
South West	13	11%
Wales	12	10%
West Midlands	7	6%
Yorkshire & the Humber	10	8%
Total	123	100%

Source: DC Research Summary of Data from HLF. Note: percentages may not total 100% due to rounding.

6.8 Table 6.2 below shows the total value of grants awarded through the HLF Catalyst: Small grant programme split by region/nation.

Table 6.2: HLF Catalyst: Value of Small grants by region/nation

Region/Nation	Value of Small grants	Percent
East Midlands	£38,900	3%
East of England	£94,100	8%
London	£154,400	14%
North East	£67,900	6%
North West	£110,400	10%
Northern Ireland	£7,200	1%
Scotland	£95,300	8%
South East	£174,000	16%
South West	£124,900	11%
Wales	£110,800	10%
West Midlands	£61,100	5%
Yorkshire & the Humber	£82,700	7%
Total	£1,121,700	100%

Source: DC Research Summary of Data from HLF. Note: percentages may not total 100% due to rounding.

6.9 The geographic proportionate breakdown in terms of value is very similar to the same analysis by number of award – with the South East (16%) and London (14%) receiving the largest proportions, and Northern Ireland the lowest (1%) followed by the East Midlands (3%).

6.10 The vast majority of Small grant projects were due to be completed by the end of April 2015, although a number of projects were delayed beyond this timescale.

SUMMARY OF ACHIEVEMENTS OF SMALL GRANTS

- 6.11 In terms of the achievements of the Small grant projects, the results from the previous evaluation reports, in particular key findings from the two Small grant surveys and the Small grant case studies, are presented below. The Small grant case studies themselves are all listed in Annex 3 to this report and available in full in previous reports from this evaluation.
- 6.12 **Overall the Small grant surveys found that all survey respondents already had, or were developing, a fundraising strategy.** This compared to a pre-grant position where more than half of Small grantees did not have a fundraising plan or strategy, showing clear progress from the baseline position.
- 6.13 It can also be compared to the 2018 Heritage Sector Survey results (see Annex 2) which show that of the wider heritage sector, almost 30% do not currently have a fundraising plan or strategy.
- 6.14 Further to this, **all respondent organisations indicated that raising income from private sources formed a part of their fundraising strategy**, whether it was completed or in development. This compares to the 2018 survey which found that 92% of other heritage organisations stated that raising income from private sources is part of the strategy.
- 6.15 At the end of the project, when asked to indicate **how important they felt fundraising and income diversification is to their organisation**, almost all respondents (98%) indicated that it was either 'critical' (67%), or 'very important' (32%). Comparing these results to the 2018 survey again shows the progress of Small grantees over and above the wider heritage sector position, where close to three-quarters (compared to the 98% for Small grantees) describe fundraising and income diversification as critical (45%) or very important (29%).
- 6.16 Small grantee organisations were also asked to express **the level of importance that raising income from private sources** currently has for their organisations. Again, **nearly all respondents (94%) indicated that it was either 'critical' or 'very important' to their organisation**, with just over half (53.7%) indicating the former. This shows progress against the baseline position where 85% described it as 'critical' or 'very important'. Again, the Small grantees compare very favourably on this issue to the wider heritage sector where the 2018 survey found that just over half (53%) said raising income from private sources was critical (26%) or very important (27%).
- 6.17 Small grantees were asked as part of the end of project survey to score or rank their own organisation against a range of statements about fundraising and their organisation's capacity, capability and successes around it.
- 6.18 The findings showed that the statements receiving the greatest proportion of high scores related to **staff capability and skills** (for both **fundraising generally** and also specifically for **fundraising from private sources**). This was followed by a range of organisational wide factors which were most commonly scored medium. The lowest ranked statements related to

volunteer capability and skills around fundraising (which was most commonly ranked low) and governing body capability and skills (where were most commonly scored as low or low/medium).

- 6.19 To allow a direct comparison between the ranking of the statements, average scores were calculated for each statement and the statements then ranked in order (with the highest average score being ranked 1, etc.).
- 6.20 The **three statements receiving the highest average scores** (all of which achieved an average score higher than 3 (out of a possible 5)) are:
- Staff capability and skills on fundraising in general - rank 1 (score = 3.2).
 - Staff capability and skills on fundraising from private sources - rank 2 (score = 3.04).
 - Success in fundraising from all sources – rank 3 (score = 3.02).
- 6.21 Progress by the Small grantees over time is shown in the average score for each of these statements being higher when compared to the baseline position for Small grantees, with particular improvements in staff capability and skills on fundraising in general (from 2.44 to 3.2) and staff capability and skills on fundraising from private sources (from 2.05 to 3.04).
- 6.22 The 2018 survey provides comparator results for the wider sector and shows that the average scores for the statements above are higher for Small grantees than for the wider sector, in particular for staff capability and skills on fundraising from private sources:
- Staff capability and skills on fundraising in general scored 2.8 (compared to 3.2 for Small grantees).
 - Staff capability and skills on fundraising from private sources scored 2.0 (compared to 3.04 for Small grantees).
 - Success in fundraising from all sources scored 3.0 (compared to 3.02 for Small grantees).

SMALL GRANTEE ACHIEVEMENTS: HLF CATALYST OUTCOMES

- 6.23 The end of project survey also asked grantees about the impact of the project in relation to the specific outcomes for HLF Catalyst: capacity building (i.e. better managed; developed skills; more resilient; and additional private money). Perspectives on the extent to which Small grantee organisations have achieved these outcomes are set out below.

Better Managed

- 6.24 In terms of better management, 80% of Small grantee organisations felt that they were either 'significantly' (36%) or 'moderately' (44%) better managed with a further 14% indicating that they thought they were 'marginally' better managed.

Developed Skills

- 6.25 In relation to staff skills the vast majority of Small grantee organisations (83%) indicated that the organisation's staff had developed skills to either a 'significant' or 'moderate' extent.
- 6.26 The impact on governing body, trustee's, or board member's skills development was less marked, although more than half (58%) of the Small grantee organisations still indicated that the governing body etc. had developed skills to a 'significant' or 'moderate' extent.
- 6.27 A fifth of respondent organisations indicated that the governing body had developed skills to a 'marginal' extent, and the remaining 22% expressed that the governing body had not developed skills; a larger proportion than in any of the other indicators. For most, this was as a consequence of the fact that the governing body was not involved in the project. Some indicated that although this was the case for the project, the governing body would be involved in further developments, such as future training, and joint development of a new fundraising strategy.

More Resilient

- 6.28 The vast majority of Small grantee organisations felt that their organisation was more resilient following completion of the project, with almost 85% of respondents indicating that their organisations was either 'significantly' or 'moderately' more resilient. A further 14% expressed that their organisation was 'marginally' more resilient.

Additional Private Money

- 6.29 Just less than three-quarters of Small grantee organisations (74%) stated that following the grant project the organisation had brought in additional private money to a 'significant' or 'moderate' extent. A further quarter of respondents indicated that it was to a 'marginal' extent that their organisation had brought in additional private money.

OVERALL REFLECTIONS ON THE IMPACT OF THE HLF CATALYST SMALL GRANT

- 6.30 The surveys asked organisations to respond to a list of statements regarding the overall impact the Small grant project had, stating the extent to which they agreed or disagreed with each statement about the impact of the grant on various aspects of the organisation.
- 6.31 The results presented in Table 6.3 show the top ten responses in terms of level of agreement (i.e. those that strongly agreed or agreed with the statement) in ranking order are as follows for the Small grantees (at, or near, the end of their project). The results are compared to the baseline survey for the Small grantees and also with the 2018 Heritage Sector Survey results (see Annex 2).

Table 6.3: Summary of Proportion of Organisations that Strongly Agree/Agree with particular statements

	<i>Small grantees: end of project</i>	<i>Small grantees: baseline</i>	<i>Heritage Sector Survey 2018</i>
<i>...Our organisation has attracted more private sources of funding</i>	94%	60%	34%
<i>...Our organisation has developed new/improved links with funders and donors</i>	92%	79%	49%
<i>...Our organisation has developed and tried new approaches to fundraising</i>	88%	89%	49%
<i>...Our organisation has developed a better understanding of funders/donors needs and expectations</i>	88%	86%	56%
<i>...Our organisation has developed a (more effective) fundraising strategy</i>	88%	86%	43%
<i>...The attitude of staff towards fundraising and diversifying income has improved</i>	86%	87%	41%
<i>...Our organisation has developed a more diverse range of income streams</i>	86%	76%	39%
<i>...Our staff have developed new fundraising skills</i>	86%	87%	40%
<i>...Our organisation has attracted more funding in general</i>	84%	61%	42%
<i>...Our organisation has extended its reach into our local community</i>	82%	<i>not asked</i>	77%

Source: Summary of Small grant Baseline (2015) Survey, Small grant 2016 Survey, and 2018 Heritage Sector Survey

- 6.32 It should be noted that the questions in the Baseline survey were worded slightly differently and related to current activity rather than achievement (i.e. 'we are...' rather than 'we have...'). Therefore, any statement where the end of project result matches the baseline shows achievement matching expectation, and any statement where the end of project position is higher shows achievement exceeding expectation.
- 6.33 These **results show that Small grantee organisations have experienced clear success across the board** – showing positive achievements for all aspects compared to both the baseline position for the Small grantees, and also compared to the wider heritage sector through the 2018 survey.
- 6.34 In particular, the areas **of sourcing new and more funding, developing new and improved links with funders and donors, and developing and testing new approaches to fundraising are highlighted by the vast majority of respondents**. Significant success is also seen in other key areas, including developing a more effective fundraising strategy as well as changes in staff attitudes and development of staff skills.

- 6.35 In terms of the sustainability of the impacts achieved, **over 92% of respondents indicated that the legacy impact from the Small grant project was expected to continue into the foreseeable future.**

KEY CASE STUDY ACHIEVEMENTS

- 6.36 Annex 3 includes a list of the case studies from the evaluation that were carried out in 2016-17¹³. Each of the cases provides examples of the types of activities supported as well as achievements resulting from HLF Catalyst: Small grant support. Some key achievements include:

- **Canal and River Trust** focused on high value fundraising work with the Trust's senior management team and trustees and were **able to secure their first £1m+ donation for a project** involving nearly 2,000 young people from some of England's most deprived communities to create the country's first ever coast to coast canoe trail.
- **Dorset Archives Trust** will be able to support Dorset History Centre deliver major projects, and attract more archives to the Centre. The Trust's board of trustees has a **made a step change in its ability to fundraise**, its ability to advocate for and support Dorset History Centre, and help save Dorset's disappearing history.
- **Mills Archive Trust** enhanced its Making Friends, Engaging People scheme which attracted a number of organisations to provide financial support, and encouraged existing supporters to become more committed. As a result of its Catalyst Small grant, the **Mills Archive doubled its income from organisations** in 12 months.
- For **Norwich Historic Churches Trust**, one result of the Trust's re-focussing was a **successful application to the HLF 'Our Heritage' Fund** to host a high profile two-day event to tell the story of Norwich's 31 extant medieval churches through exhibitions, trails, tours and a range of cultural activities.
- A concentration of efforts on three specific areas of activity for **Ulster Wildlife Trust** – grants and trusts; corporate fundraising; and membership development took place. Increased capacity enabled the Trust to bid for a far greater range of grants, achieving **more than seventeen successes in terms of grants awarded in the following year**, a substantial improvement in the level of success, compared to previously.
- **Shropshire Wildlife Trust** enhanced and improved its offer to potential corporate members. As a result, the Trust has increased corporate membership from 20 at the start of the project to over 30 at the end. **The Trust's income from businesses has doubled** and includes support from business foundations.
- The Small grant project focused essential time and energy on setting out a clearly defined development plan for **Cogges Heritage Trust**. It has helped to **define the tasks and processes necessary to manage donors, donations and the fundraising for the charity** on both a day-to-day basis and to support a major capital project.

¹³ The Second Interim Report from this evaluation includes case study write-ups, and is available at: https://www.hlf.org.uk/file/26246/download?token=4oIKmeJEhZJ-tdSpp-SyS3m8Y7IPH_IGx-pIe7W4LiM

LESSONS FROM HLF CATALYST: SMALL GRANTS FOR HERITAGE ORGANISATIONS

6.37 Organisations that received Small grants were asked to identify any lessons from their experiences. More detail on this is set out in previous reports for this evaluation, with some common themes set out below:

- One of the more common lessons highlighted by Small grants in relation to raising funds from private sources was the importance of **communication**. This included communication **internally** but, more importantly, it related to communication **with funders, with members** and particularly **with donors**. Linked to this, others highlighted the importance of working at **relationships with donors**, expressing the importance of **time investment**, and emphasis on **donor needs**, and **being knowledgeable** about donors to support a constructive relationship.
- **Time investment** was also highlighted with some frequency by Small grantees generally, indicating the importance of investing time into private fundraising, and the extent to which this investment was likely to be justified on the back of fundraising impacts and outcomes.
- Other respondents took the opportunity to express the importance attached to **careful planning and especially strategic planning** in relation to fundraising from private sources.
- Other lessons highlighted included the importance of getting out and **making 'the ask'**, the importance of **enthusiasm and engagement** on the part of staff and volunteers, and the importance of **being persistent**.
- Some organisations also highlighted **challenges** they had encountered, which included issues of capacity, the availability of time, and general difficulties in implementing organisational changes.
- **Opinion varied on the benefits of bringing in outside help**/external capacity, with some organisations indicating that external consultancy did not substitute for internal staff (referring to the importance of having detailed knowledge of the organisation) and other concerns included the need to embed skills within the organisation – something that some organisations feel is more likely if internal capacity is expanded rather than buying in short-term external capacity. Conversely, others extolled the virtues of external support, and the skills and expertise that this can provide – as well as the benefits of being able to draw on an independent perspective, especially when organisational change is needed.
- Other lessons highlighted included, the importance of **developing fundraising skills and capability** on the part of staff and volunteers, and the potential impact of staff moving on from the organisation (and as such the importance of sharing knowledge about fundraising within the organisation and ensuring the responsibility for fundraising is spread or shared throughout the organisation).

7. CONCLUSIONS AND RECOMMENDATIONS

This section reflects on the achievements of the two programmes in terms of the four HLF outcomes for the HLF Catalyst: capacity building programmes and also draws out some recommendations or issues to consider for HLF in terms of future delivery and support to the heritage sector.

CONCLUSIONS ABOUT ACHIEVEMENTS OF HLF: CATALYST CAPACITY BUILDING PROGRAMMES

7.1 The Catalyst capacity building grants were expected to deliver the following four outcomes:

- Outcomes for heritage - With our investment, heritage will be: **better managed.**
- Outcomes for people - With our investment, people will have: **developed skills.**
- Outcomes for communities - With our investment, your organisation will be **more resilient.**
- In addition, the Catalyst programme will seek to achieve the following: **bring additional private money into the heritage sector.**

The findings of this evaluation show that both the Umbrella programmes and the Small grants have clearly contributed to the achievement of all four of these outcomes.

'Better Managed' and 'More Resilient'

7.2 As noted in Section 3, many of the activities, events and support delivered through the Umbrella programmes contribute, to varying degrees, to more than one of the main HLF outcomes around 'better managed' 'developed skills', and 'more resilient'.

7.3 In particular, there is commonly an overlap between activities and support that lead to **both 'better managed' and 'more resilient'**. For example, the **increased awareness** about fundraising, increased information and **knowledge** about fundraising that were achieved by all Umbrella programmes (see Section 3) will **contribute to heritage being better managed and also organisations being more resilient.** As will the increasing appreciation of fundraising and understanding of the importance of fundraising to heritage organisations.

7.4 Similarly, the achievements by the Umbrella programmes **around changes in culture** of the beneficiary organisations and the **attitudes** around fundraising as well as resultant **changes in practice and behaviour** around fundraising **contribute to both better management and more resilience** for beneficiary heritage organisations.

7.5 For Small grants, **80% of Small grantee organisations** felt that they were **either 'significantly' (36%) or 'moderately' (44%) better**

managed with a further 14% indicating that they thought they were 'marginally' better managed.

- 7.6 Small grantee organisations also overwhelmingly felt that their organisation was more resilient following completion of the project, with **almost 85% indicating that their organisations was either 'significantly' or 'moderately' more resilient**. A further 14% expressed that their organisation was 'marginally' more resilient.

Skills Development

- 7.7 Achievements in terms of **skills development** by the Umbrella programmes are also clear from the findings in Section 3 which found that there had been both **development of new skills** as well as **enhancement of existing skills** by beneficiary organisations for all of the Umbrella programmes.
- 7.8 The **vast majority of Small grantee organisations** (83%) indicated that the organisation's **staff had developed skills** to either a 'significant' or 'moderate' extent.
- 7.9 The impact on a governing body, trustee's, or board member's skills development was less marked, although more than half (58%) of the Small grantee organisations still indicated that the governing body etc. had developed skills to a 'significant' or 'moderate' extent.
- 7.10 Overall, both the Umbrella programmes and Small grants have contributed to heritage organisations that engaged with the HLF Catalyst programmes achieving, or making progress towards achieving, the three main HLF outcomes – better managed, skills development and more resilient.
- 7.11 In turn, all of the above will help to support the achievement of results in terms of bringing in additional (private) money to the heritage sector.

Additional Private Money

- 7.12 Achievements in terms of bring additional private money into the heritage sector are clear for the Umbrella programmes. Based on information from four of the nine Umbrella programmes that have been able to identify the value of fundraising achieved, the **Umbrella programmes have supported the heritage sector in raising an additional £9 million so far**.
- 7.13 As explained in Section 3, this result so far is based on responses for four of the nine programmes – the other five have been unable to provide a figure at the current time. Therefore, the total figure for all nine programmes can be expected to be greater than this. In addition, this is the figure as at March 2018. Given that many of the programmes have just recently completed delivery, it is reasonable to expect that additional successes will continue to occur into the future for all of the Umbrellas. As such, it is expected that this figure will continue to increase over time as fundraising strategies and activities are developed and implemented by

organisations that have engaged with, and benefitted from, the Umbrella programmes.

- 7.14 It is important to note that an assessment of the examples of success in fundraising that underpin these overall results for the Umbrellas suggest that this £9 million is underpinned by high levels of success for a relatively small number of organisations (with some organisations reporting successes to the scale of six and seven figure sums – i.e. hundreds of thousands, or millions of pounds for individual organisations). Whilst this is to be expected when it comes to successful fundraising, it does suggest that this scale of results is due (at least in part) to large successes by a small range of organisations rather than a more moderate level of success replicated across a large range of beneficiary organisations. This is important when considering the extent to which the achievements here could be replicable by any successor programmes.
- 7.15 Examples of large successes by a small number of organisations is also the case for Small grantees with some reporting seven figure (i.e. £1 million) successes. Again, this scale of success is the exception rather than the norm, although there is evidence of success across the vast majority of Small grantees (just less than three-quarters of Small grantee organisations stated that following the project the organisation had brought in additional private money to a 'significant' or 'moderate' extent).
- 7.16 Given all of this, **this scale of achievement at this stage of the programmes** (i.e. at the end of the delivery stage) should be recognised as a **success of the programmes in terms of supporting fundraising by beneficiary organisations**.

RECOMMENDATIONS AND ISSUES TO CONSIDER

- 7.17 Based on the findings of this evaluation, there are a number of issues to consider, or recommendations for HLF, in terms of future support to the heritage sector around fundraising but also more generally.
- 7.18 In terms of ensuring an ongoing legacy from the Umbrella programmes around the tools and resources produced, there are two aspects for HLF to consider.
- The first is about ensuring the ongoing availability of the tools and resources from each of the Umbrella programmes – throughout, and potentially beyond, the timescales that the Umbrella programmes have agreed. There is **a role for HLF in ensuring that such tools and resources are made available on an ongoing basis** by the Umbrella organisations.
 - The second relates to **HLF giving consideration to whether there should be any central coordination or hosting of all of the tools and resources**. For example, hosting links to the relevant online resources via the HLF website, or perhaps creating a centralised hub of the resources accessible via HLF.
- 7.19 The evolution of delivery of the Umbrella programmes (i.e. from broad to narrow in terms of both the themes of delivery and types of support)

reflected the development of the heritage sector over this time. However, it is important to note that this relates to those that engaged with HLF Catalyst – whose fundraising and support needs going forward are likely to fall into this more specific, more bespoke, and more targeted approach.

- 7.20 In contrast, for those parts of the heritage sector that did not engage with HLF Catalyst (and further supported by the findings of the 2018 Heritage Sector survey presented in Section 6) there **may well be an ongoing need for the more general levels of support and training that HLF Catalyst provided in the early stages of the programmes.**
- 7.21 **HLF should ensure that consideration is given to the different needs of different parts of the heritage sector for any future programmes of support** like HLF Catalyst. In particular that the needs of those actively engaged in fundraising are different to those at earlier stages of their fundraising activities.
- 7.22 For those that did engage, the challenge going forward identified by many of the Umbrellas is about the ability (and capacity) of organisations to apply this knowledge and skills and implement their ideas, plans and strategies around fundraising. As such, there is a **need for support to organisations in implementing, applying, and putting things into practice** around fundraising. HLF should ensure that there are programmes of support (such as Resilient Heritage) available for this.
- 7.23 Beyond fundraising, there are two common aspects to the needs of the heritage sector – **ongoing support and training needs around leadership and governance issues, as well as more general capacity building** for the sector. Both of these issues were highlighted by Umbrella programmes as important areas for future support. Such issues are not unrelated to fundraising, and there was a consensus amongst Umbrella programmes that addressing leadership and governance issues can be key to successful and sustainable fundraising. **HLF should ensure that current/future programmes of support address these general capacity building needs and governance issues for the heritage sector.**
- 7.24 An important consideration for any future delivery of programmes of support similar in style to the Umbrella programmes is the recognition that the Umbrella **programme delivery was heavily subsidised** (due to the HLF funding) with only nominal cost for attendance. This was a **very important factor in terms of engaging participants** in the training and support (see Section 4). It will be important for this to be borne in mind in terms of any future delivery of Umbrella programme successors – especially where a different funding model may result in a more commercial rate being charged.
- 7.25 The **good levels of engagement achieved by the Umbrella programmes** required **significant effort** – especially for those operating ‘open’ programmes, where the scale of time and effort required on this aspect was notably underestimated at the start of the programmes. This should be borne in mind by HLF and delivery organisations for any future

programmes that seek to engage with and support the heritage sector in this way.

- 7.26 The ability of the Umbrella programmes to customise delivery to the heritage sector and, where appropriate, to **make delivery bespoke to the specific attendees at each individual training event** is a clear benefit and a good practice lesson that should influence any similar programmes of support in the future.
- 7.27 An **important supporting factor to the success of HLF Catalyst was the flexibility afforded to the Umbrella programmes and Small grantees by HLF**. The ability of the programmes and projects to adjust and evolve their delivery and the supportive and flexible approach taken by HLF in this regard is identified as a strength and is something that should continue to underpin such programmes by HLF.

ANNEX 1: LIST OF CONSULTEES & TRAINING/EVENT OBSERVATIONS

Table A1.1: List of Consultees for Final Report Phase

Name	Organisation	Umbrella Programme (or role in organisation)
Laura Norris	Prince's Regeneration Trust	BRICK
Matthew McKeague	AHF	BRICK
Eileen Kinsman Richard Roberts	WCVA	Catalyst Cymru
Richard Tynen	The Funding Centre	Catalyst Cymru
Carol Whittaker	MALD, Welsh Government	Catalyst Cymru
Liz Mulloy	Truro Cathedral	Cornwall Catalyst
Annette McTavish	Helston Museum	Cornwall Catalyst
Claire Pennington	Cornwall Museum Partnership	Cornwall Catalyst
Rachael Davies	The National Archives	Fundraising for Archives
John Chambers	Archives and Records Association (UK & Ireland)	Fundraising for Archives
Lucy Davies	The National Archives	Fundraising for Archives
Lizzie Glithero-West	The Heritage Alliance	Giving to Heritage
Romilly Beard	Hampshire Cultural Trust	Inspiring a Culture of Philanthropy
Isabel Hughes	Jane Austen's House and Museum of English Rural Life	Inspiring a Culture of Philanthropy
Lisa Laskey	Southampton City Council	Inspiring a Culture of Philanthropy
Jaane Rowhle	Hampshire Cultural Trust	Inspiring a Culture of Philanthropy
Jane Baker	Hampshire Cultural Trust	Inspiring a Culture of Philanthropy
Orianne Tyndale	Hampshire Cultural Trust	Inspiring a Culture of Philanthropy
Murdo Murray	Northern Ireland Environment Link	Investing in Northern Ireland's Heritage
Carol Forster	Northern Ireland Environment Link	Investing in Northern Ireland's Heritage
Craig McGuicken	Northern Ireland Environment Link	Investing in Northern Ireland's Heritage
Conor McGale	Rural Community Network	Investing in Northern Ireland's Heritage
Deirdre Murphy	NICVA	Investing in Northern Ireland's Heritage
James Laverty	HLF (Northern Ireland)	Investing in Northern Ireland's Heritage
Neil Irwin	Fundraising Consultant	Investing in Northern Ireland's Heritage
Angela Lavin	HLF (Northern Ireland)	Investing in Northern Ireland's Heritage
Lynn Kennedy	NICVA	Investing in Northern Ireland's Heritage
Louise Downing	Arts and Business Scotland	Resourcing Scotland's Heritage
Ailsa Macfarlane	BEFS	Resourcing Scotland's Heritage
Devon McHugh	MGS	Resourcing Scotland's Heritage

Name	Organisation	Umbrella Programme (or role in organisation)
Miranda Rowlands	Norfolk Museums and Archives Service	SHARED Enterprise

Table A1.2: Umbrella Programme Conferences/Events Observed & Meetings Attended

Event/Meeting	Umbrella Programme	Date/Location
HLF Catalyst Umbrella Programme Leaders Meeting	All	14 th March 2018, London
<i>Learning for the Future: How to Evaluate the Impact of Heritage Projects – BRICK Conference 2018</i>	BRICK	21 st -22 nd February, London
<i>Knowledge-sharing and Collaboration Day</i>	Fundraising for Archives	27 th March 2018, Kew
<i>'Learning and Legacy' Conference</i>	Inspiring a Culture of Philanthropy	8 th February 2018, Fareham
<i>In Focus: Membership and Friends</i>	Resourcing Scotland's Heritage	7 th March 2018, Glasgow
<i>Inspiring Fundraising: A National Heritage Conference</i>	Resourcing Scotland's Heritage	26 th April 2018, Edinburgh

ANNEX 2: SUMMARY FINDINGS FROM HERITAGE SECTOR SURVEY 2018

Number of Paid Staff in Organisation (Full Time Equivalent)

Range	Number	Percent
Less than 1	33	34%
1 to 5	27	28%
5 to 10	12	12%
10 to 25	8	8%
25 to 50	7	7%
More than 50	10	10%
Total	97	100%

Source: DC Research, Heritage Sector Survey 2018, n =97. Note: percentages may not total 100% due to rounding.

Number of Volunteers in Organisation

Range	Number	Percent
10 or fewer	29	28%
11 to 20	20	19%
21 to 50	27	26%
51 to 100	11	11%
101 to 250	8	8%
251 to 500	6	6%
More than 500	3	3%
Total	104	100%

Source: DC Research, Heritage Sector Survey 2018, n =104. Note: percentages may not total 100% due to rounding.

Total Annual Income from all sources

Range	Number	Percent
Less than £10,000	18	20%
£10,001 to £25,000	5	5%
£25,001 to £50,000	11	12%
£50,001 to £100,000	12	13%
£100,001 to £250,000	9	10%
£250,001 to £500,000	13	14%
£500,000 to £1M	7	8%
£1M to £2.5M	8	9%
More than £2.5M	8	9%
Total	91	100%

Source: DC Research, Heritage Sector Survey 2018, n =91

Does your organisation currently have a fundraising plan/strategy?

Answer	Percentage	Number
Yes	70.87%	73
No	29.13%	30

Source: DC Research, Heritage Sector Survey 2018, n =103

If Yes, is raising income from private sources (i.e. trusts and foundations, private donors, corporate giving/donations, individual giving/donations, corporate sponsorship, etc.) part of t

	Percent	Number
Yes	91.89%	68
No	8.11%	6

Source: DC Research, Heritage Sector Survey 2018, n =74

In general, how important would you say fundraising and income diversification currently is to your organisati

	Percent	Number
Critical	45.10%	46
Very important	29.41%	30
Moderately important	19.61%	20
Of minor importance	3.92%	4
Not at all important	1.96%	2

Source: DC Research, Heritage Sector Survey 2018, n =102

In general, how important would you say raising income from private sources currently is to your organisation?

	Percent	Number
Critical	26.2%	27
Very important	27.2%	28
Moderately important	27.2%	28
Of minor importance	15.5%	16
Not at all important	3.9%	4

Source: DC Research, Heritage Sector Survey 2018, n =103. Note: percentages may not total 100% due to rounding.

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On a scale of 0 to 5, please rank/score your organisation for each of the following at the current time:	0 –none %	0 –none #	1-very low %	1-very low #	2 – low %	2 – low #	3 – medium %	3 – medium #	4 – high %	4 – high #	5 – very high %	5 – very high #	Total
Success in fundraising from all sources	5%	5	7%	7	10%	10	42%	42	31%	31	5%	5	100
Success in diversification of fundraising sources	6%	6	13%	13	23%	23	47%	47	7%	7	3%	3	99
Success in raising income levels from private sources	14%	14	22%	22	26%	26	28%	28	7%	7	2%	2	99
Organisational capacity dedicated to fundraising in general	7%	7	19%	19	32%	32	35%	35	6%	6	0%	0	99
Organisational capacity dedicated to fundraising from private sources	26%	26	17%	17	25%	25	23%	23	7%	7	1%	1	99
Staff capability and skills on fundraising in general	9%	9	8%	8	16%	16	35%	34	27%	26	5%	5	98
Staff capability and skills on fundraising from private sources	18%	17	15%	14	25%	24	28%	27	11%	11	3%	3	96
Governing body (e.g. trustees, board) capability and skills on fundraising in general	11%	11	17%	17	22%	22	35%	34	12%	12	2%	2	98
Governing body (e.g. trustees, board) capability and skills on fundraising from private sources	16%	16	20%	19	28%	27	29%	28	5%	5	2%	2	97
Volunteer capability and skills on fundraising in general	15%	15	24%	24	25%	25	27%	27	8%	8	1%	1	100
Volunteer capability and skills on fundraising from private sources	24%	24	30%	30	21%	21	18%	18	6%	6	1%	1	100

Source: DC Research, Heritage Sector Survey 2018, n =100

Average Score (out of 5) for each of the following at the current time:	-
Success in fundraising from all sources	3.0
Staff capability and skills on fundraising in general	2.8
Success in diversification of fundraising sources	2.5
Governing body (e.g. trustees, board) capability and skills on fundraising in general	2.3
Organisational capacity dedicated to fundraising in general	2.1
Staff capability and skills on fundraising from private sources	2.1
Success in raising income levels from private sources	2.0
Governing body (e.g. trustees, board) capability and skills on fundraising from private sources	1.9
Volunteer capability and skills on fundraising in general	1.9
Organisational capacity dedicated to fundraising from private sources	1.7
Volunteer capability and skills on fundraising from private sources	1.6

Source: DC Research, Heritage Sector Survey 2018, n =100

Has your organisation undertaken any specific activities around fundraising, income

-	Percent	Number
Yes	67.01%	65
No	32.99%	32
Don't know	0.00%	0

Source: DC Research, Heritage Sector Survey 2018, n =97

Word Cloud Summary of Key Fundraising Activities Carried Out:



Source: DC Research, Heritage Sector Survey 2018, n=66, (word cloud of top 75 words)

Did your organisation receive any external funding and/or any support or training around fundraising in the last year?

Answer	Percent	Number
Yes	32.65%	32
No	64.29%	63
Don't know	3.06%	3

Source: DC Research, Heritage Sector Survey 2018, n =98

Please state how much you agree/disagree with each of the following statements: "Over the last year or so...

Statement	Strongly agree %	Strongly agree #	Agree %	Agree #	Disagree %	Disagree #	Strongly disagree %	Strongly disagree #	No change yet (expected in future) %	No change yet (expected in future) #	No change yet (not sure if there will be any change) %	No change yet (not sure if there will be any change) #	Total
...Our organisation is more financially sustainable."	7%	7	41%	40	20%	19	4%	4	13%	13	14%	14	97
...Our organisation has developed a more diverse range of income streams."	3%	3	36%	35	21%	21	5%	5	19%	19	15%	15	98
...Our organisation has attracted more private sources of funding."	6%	6	28%	27	17%	17	9%	9	18%	18	21%	21	98
...Our organisation has attracted more funding in general."	7%	7	35%	34	17%	17	4%	4	19%	19	17%	17	98
...Our organisation has developed a (more effective) fundraising strategy."	5%	5	38%	37	14%	14	5%	5	19%	18	19%	18	97
...Our organisation has engaged more with our local community."	14%	14	67%	66	6%	6	2%	2	4%	4	6%	6	98
...Our organisation has extended its reach into our local community."	10%	10	66%	65	9%	9	1%	1	6%	6	7%	7	98

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Statement	Strongly agree %	Strongly agree #	Agree %	Agree #	Disagree %	Disagree #	Strongly disagree %	Strongly disagree #	No change yet (expected in future) %	No change yet (expected in future) #	No change yet (not sure if there will be any change) %	No change yet (not sure if there will be any change) #	Total
...Our organisation has developed more capacity to dedicate to fundraising activities."	7%	7	23%	22	25%	24	12%	11	12%	11	21%	20	95
...Our organisation has developed new/improved links with funders and donors."	4%	4	45%	44	12%	12	4%	4	19%	19	15%	15	98
...Our organisation has developed a better understanding of funders/donors needs and expectations."	4%	4	52%	51	14%	14	3%	3	15%	15	11%	11	98
...Our staff have developed new fundraising skills."	3%	3	37%	34	14%	13	8%	7	18%	17	20%	18	92
...Our governing body/board/trustees have developed new fundraising skills."	2%	2	23%	22	26%	25	7%	7	21%	20	22%	21	97
...Our volunteers have developed new fundraising skills."	1%	1	20%	20	23%	23	12%	12	17%	17	26%	25	98
...The attitude of staff towards fundraising and diversifying income has improved."	2%	2	46%	43	12%	11	5%	5	12%	11	23%	21	93

Evaluation of HLF Catalyst: capacity building programmes, Final Report

Statement	Strongly agree %	Strongly agree #	Agree %	Agree #	Disagree %	Disagree #	Strongly disagree %	Strongly disagree #	No change yet (expected in future) %	No change yet (expected in future) #	No change yet (not sure if there will be any change) %	No change yet (not sure if there will be any change) #	Total
...The attitude of staff towards accessing funding from private sources has improved."	3%	3	38%	35	10%	9	9%	8	12%	11	29%	27	93
...The attitude of our governing body/board/trustees towards fundraising and diversifying income has improved."	4%	4	39%	37	16%	15	4%	4	18%	17	20%	19	96
...The attitude of our governing body/board/trustees towards accessing funding from private sources has improved."	2%	2	37%	36	14%	14	5%	5	15%	15	26%	25	97
...The attitude of our volunteers towards fundraising and diversifying income has improved."	0%	0	34%	33	16%	16	5%	5	14%	14	31%	30	98
...The attitude of our volunteers towards accessing funding from private sources has improved."	0%	0	29%	28	19%	19	8%	8	12%	12	32%	31	98

Please state how much you agree/disagree with each of the following statements: "Over the last year or so..."	% that strongly agree or agree
...Our organisation has engaged more with our local community."	81.64%
...Our organisation has extended its reach into our local community."	76.53%
...Our organisation has implemented pre-existing plans and strategies around fundraising."	56.70%
...Our organisation has developed a better understanding of funders/donors needs and expectations."	56.12%
...Our organisation has developed new/improved links with funders and donors."	48.98%
...Our organisation has developed and tried new approaches to fundraising."	48.96%
...Our organisation is more financially sustainable."	48.46%
...The attitude of staff towards fundraising and diversifying income has improved."	48.39%
...Our organisation has developed a (more effective) fundraising strategy."	43.29%
...The attitude of our governing body/board/trustees towards fundraising and diversifying income has improved."	42.71%
...Our organisation has attracted more funding in general."	41.83%
...The attitude of staff towards accessing funding from private sources has improved."	40.86%
...Our staff have developed new fundraising skills."	40.22%
...The attitude of our governing body/board/trustees towards accessing funding from private sources has improved."	39.17%
...Our organisation has developed a more diverse range of income streams."	38.77%
...Our organisation has attracted more private sources of funding."	33.67%
...The attitude of our volunteers towards fundraising and diversifying income has improved."	33.67%
...Our organisation has developed more capacity to dedicate to fundraising activities."	30.53%
...The attitude of our volunteers towards accessing funding from private sources has improved."	28.57%
...Our governing body/board/trustees have developed new fundraising skills."	24.74%
...Our volunteers have developed new fundraising skills."	21.43%

Source: DC Research, Heritage Sector Survey 2018, n =98

ANNEX 3: SMALL GRANT CASE STUDIES

This annex lists all of the Small grant case studies that were visited during the evaluation. Each of the cases provides examples of the types of activities supported by the Small grants as well as achievements resulting from HLF Catalyst: Small grant support.

The table below lists the Small grant case studies that were visited during the Interim Reporting phases of the evaluation. Case study write-ups for some of these projects were included in the [Second Interim Report published in 2017](#).

Table A4.1: List of Small Grant Case Studies for Interim Report Phase

Name	Organisation	Small grant Project
Jane Rosegrant	Borders Forest Trust	Forest Futures
Kate Hogg	The Management Centre, on behalf of the Canal & River Trust	Engaging philanthropists for heritage: building major donor fundraising capacity
Judy Niner	Cogges Heritage Trust	Getting fit to fundraise
Alex Khan	DH Lawrence Heritage	DH Lawrence Heritage digital giving
Carola Campbell and Sam Johnston	Dorset Archives Trust	Changing with the Times: Dorset Archives Trust
Jim Cokill	Durham Wildlife Trust	Membership Interests
Caro Howell	Foundling Museum	Maximising Membership Scheme Income
Frank Hargrave	Norton Priory Museum Trust	Friends for all Seasons
Stella Eglinton and Neil Blunt	Norwich Historic Churches Trust	Fundraising for the Future of the Past
John Hughes and Richard Carpenter	Shropshire Wildlife Trust	Business for wildlife in Shropshire
Sally Carr	The Centre for Alternative Technology	Building capacity for sustaining our natural heritage
Liz Bartram	The Mills Archive Trust	Making Friends, Engaging People
Sarah Brown	The Stained Glass Trust	Mobilising our Supporters: Empowering our Friends
Vickie Chambers/ Dawn Miskelly	Ulster Wildlife Trust Ltd	Fundraising for the Future

ANNEX 4: LIST OF TOOLS & RESOURCES FROM UMBRELLA PROGRAMMES

THE MAIN WEBSITE LINKS FOR THE NINE UMBRELLA PROGRAMMES ARE:

<https://brick-work.org/>
<https://www.wcva.org.uk/funding/catalyst-cymru>
<https://www.cornwallmuseumspartnership.org.uk/>
www.nationalarchives.gov.uk/archives-sector/projects-and-programmes/fundraising-for-archives/
<http://www.theheritagealliance.org.uk/gth/>
<http://www.fundraisingportal.org.uk/>
<https://www.heritagefundraisingni.org/>
<http://www.resourcingscotlandsheritage.org/>
<http://sharemuseumseast.org.uk/shared-enterprise/>

RESOURCES, TOOLS AND USEFUL LINKS AVAILABLE AT:

<http://sharemuseumseast.org.uk/shared-enterprise-resources/>
<http://www.resourcingscotlandsheritage.org/resources/>
<https://www.wcva.org.uk/funding/catalyst-cymru/useful-links>
<https://www.wcva.org.uk/training-and-events/wcva-webinars/learning-zone>
www.theheritagealliance.org.uk/gth/?page_id=1398 (webinars)
<https://www.heritagefundraisingni.org/resource-library>
www.nationalarchives.gov.uk/archives-sector/projects-and-programmes/fundraising-for-archives/
www.fundraisingportal.org.uk/resources
http://www.cornwallmuseumspartnership.org.uk/resource-results/?_sft_resource_cat=fundraising
<https://brick-work.org/>

CASE STUDIES AVAILABLE AT:

www.resourcingscotlandsheritage.org/your-stories/fundraising-case-studies/
<http://sharemuseumseast.org.uk/wp-content/uploads/2017/11/Income-Generation-and-Fundraising-for-Museums.pdf>
<https://www.wcva.org.uk/funding/catalyst-cymru/case-studies>
www.fundraisingportal.org.uk/resources

http://www.cornwallmuseumspartnership.org.uk/resource-results/?_sft_resource_cat=case-studies

In addition to the above links, specific examples of resources identified by the Umbrella programmes themselves also include:

CORNWALL CATALYST

Creation of [Resource Hub](#) on Cornwall Museums Partnership website.

13 skills development guidance and case studies as direct result of Catalyst, and 10 best practice webinars resourced from other Catalyst programmes.

[Talking heads films](#) (3 films)

[Blogs](#): 15 including contributions to monthly tech review blogs

BRICK

Five resources on the key themes of BRICK have been produced and went live on 1st April 2018 [available on the [BRICKwork website](#)].

- Governance
- Fundraising and evaluation
- Business Planning
- Digital Media
- Visioning

FUNDRAISING FOR ARCHIVES

3 online toolkits, addressing the topics of [Financial Planning](#), [Building Networks](#) & Supporters, and [Measuring Outcomes](#).

[6 e-learning modules](#) on Case for Support, Financial Planning, Developing a Fundraising Strategy, Measuring Outcomes & Evaluation, Crowdfunding, and Building Networks and Supporters. Currently 3 live, and the remaining 3 will be put live as part of the move into Business as Usual.

Selected materials from the 11 training courses were made available in the archives sector area of [TNA's website](#), which is currently going through a refresh. A separate project has been begun by TNA staff to create a 'decision tree' with these materials and resources embedded within it

INSPIRING A CULTURE OF PHILANTHROPY

Audit tool – shared with SWMDP and SEMDP

[Fundraising Portal](#) – includes all resources from core training and workshops as well and other useful links.

LinkedIn groups set up for each cohort to share matters of interest on [fundraising video case studies](#).

[Video from 2016 conference](#). Three video case studies were produced in 2016 with three museums involved: Petersfield Museum, HMS Warrior and Gilbert White's House and the Oates Collection. These will be added to the Portal.

Bursary case studies/use of funding written case studies to be added to the Portal. Mentoring programme paperwork to be made available on Fundraising Portal available for use as a template. Philanthropy audit will also be on the Portal. Pack for each cohort provided on how to run their own fundraising event. Templates for budgeting, time planning, draft invitations and letters.

INVESTING IN NORTHERN IRELAND'S HERITAGE

- Workshop, Course and Seminar etc Checklists and Guidance Notes
- IoF Accredited Trainers and Trainees – and Course Notes, Manuals, Essays, Projects etc
- Legacy Fundraising Toolkit
- Social Investment Research and Pilot Study Templates etc
- NI Fundraising Infrastructure Resource Research
- NI Fundraising Regulation Consultation etc
- Peer and Mentoring Relationships Engagement
- Charitable/Corporate Engagement Relationships
- Case studies – ongoing...
- Programme and Northern Ireland Environment Link websites

RESOURCING SCOTLAND'S HERITAGE

[Resourcing Scotland's heritage website](#).

Inspiring Fundraising Digital Publication: In production (to be completed end June 2018)

[7 Steps Animation](#).

Sources of Funding Animation: In production (to be completed end June 2018)

How to... develop a case for support Animation: In production (to be completed end June 2018)

How to... develop a fundraising strategy Animation: In production (to be completed end June 2018)

[Video Case Studies](#).

SHARED ENTERPRISE

[34 resources currently available online](#) covering a range of fundraising activities plus governance review, role descriptions etc and case studies.

A review of our resources is in progress to ensure an up to date, relevant and comprehensive set of resources remains online after the project ends.

CATALYST CYMRU - HERITAGE FUNDRAISING

[Case Studies](#).

Fundraising Information sheets (Trusts and Foundations)

Content for [Blended Learning courses](#) available to attendees on WCVA's Learning Zone.

Examples of these include:

1. Developing a Fundraising Strategy
2. Getting Fit For Fundraising
3. Trusts and Foundations (Introductory)
4. Trusts and Foundations (Intermediate)
5. Building your Fundraising Teams
6. Full Cost Recovery

Course materials are forwarded to beneficiaries, post course. Examples of these include:

1. Developing a membership scheme
2. Gift Aid Registration Surgery
3. Legacy Fundraising
4. Individual Giving
5. Major Donors
6. Building a Case for Support