

## DOCTOR OF PHILOSOPHY

### Understanding varieties of arts philanthropy and Europe a new framework

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# **Understanding varieties of arts philanthropy and Europe: A new framework**

**BY**

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**OCTOBER 2018**

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***A thesis submitted in partial fulfilment of the University's  
requirements for the Degree of Doctor of Philosophy***

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## Abstract

Philanthropy has always played a role in the support of the cultural sector across Europe, and in the post-war years this has been alongside earned income and – in particular – public funding. In a changing funding landscape, however, and in particular since the financial crisis in 2008, cultural organisations in Europe have found themselves facing reductions in public funding. In order to mitigate these, the cultural sector has found itself looking for alternative sources of financing and there has been a move once more to looking towards philanthropy as one such alternative. This thesis investigates the extent to which arts philanthropy can be considered a new funding model for the cultural sector.

How philanthropy can be understood as a potential funding stream for the cultural sector is affected by different landscapes and the national, cultural, and institutional environment in which it takes place. Its potential is dependent on political, economic, and civic environment, and this varies across nations, economies, and societies. Drawing from work on ‘varieties of capitalism’, this research develops a framework – varieties of arts philanthropy – by which the role and potential of arts philanthropy can be mapped and understood in different national and institutional environments. Taking cultural organisations rather than firms as its central focus, both the opportunities and constraints for philanthropy can be understood when mapped against components of the framework such as ‘Cultures of giving’, ‘Philanthropic policy’, ‘Public-private sector relations’, and ‘State levels’.

This research undertakes a comparative study of the arts funding and philanthropic landscapes of three different European political-economic contexts – England, the Netherlands, and Denmark. The process of mapping and semi-structured interviews contributes to a greater understanding of the landscape and dynamics of arts funding and philanthropy in the respective countries, the key institutions, the relations between them, and, ultimately, their particular variety of arts philanthropy.

Through this conceptual development it is shown that rather than seeking to replicate other systems, and the easy learning of policy mobilities through the mobilisation and

territorialisation of policies and policy knowledge, developments in arts funding models need to be based upon the structural conditions and specificities of the surrounding institutional environment. It is possible to identify the key components in understanding the varieties of arts philanthropy within any institutional, national, or multi-scalar setting. First, this framework could similarly be applied to other environments, for example, non-European examples such as in Japan, India, or Australia, and second, it informs how practical funding strategies around philanthropy can be built recognising the specificities of the national and institutional environment.

The common theme that emerges across the three countries is that a more mixed model of funding is necessary in current funding climates, but that philanthropy can only function as part of a mixed funding model. It may be necessary alongside public funding, but it is in no position to replace it. How arts philanthropy might develop – such as from foundations, new forms of company and venturing, individuals or solidarity-based approaches – and through what methods (such as tax incentives, regional models, and religion-based cultures of giving) is framed by the variety of arts philanthropy in place.

## **Dedication**

This thesis is dedicated to my late grandfather, John Pogson (1922-2008), who was an inspiration for my formative interest in research. I wish he had been able to see the completion of this thesis.

## Acknowledgements

The completion of this thesis would not have been possible without the support of a number of people. I would like to thank in particular my supervisory team – my Director of Studies, Professor Nick Henry, and my supervisors, Dr Jennifer Ferreira and Dr Clive Winters. Thank you for your support and guidance during the PhD process. In addition, I would like to thank the Centre for Business in Society at Coventry University for the financial support that allowed for this research to take place. The studentship provided by the Centre for Business in Society at Coventry University provided the financial support necessary for this research, and for that I am grateful. Enormous thanks also go towards all the participants who generously gave their time to speak to me. It would not have been possible to conduct this research without their time and contributions.

There are a number of friends who have been particularly supportive throughout the process – they know who they are. In particular, my old pal Andrew, who is a good listening ear. The humour, the support, and the ability to at times pull me out of my wallowing and tell me to stop talking rubbish has been hugely important. In addition, other PhD Researchers including Rebecca for her messages of support and encouragement in the final few months, and Victoria for her advice and help with the PhD process from the perspective of someone several months further down the line.

The process of undertaking a PhD often begins much earlier than the actual enrolment. I would like to thank the staff of my Master's degree at Maastricht University for inspiring me to move in this direction of research, and for encouraging me to continue with research. My time in Maastricht set the stage for my PhD and Maastricht will always be an important place for me.

I also think in particular of the memory of my late Grandmother, John Pogson, and my late Great Uncle, Professor John Hargreaves. Their inspiration growing up has, I'm sure, helped provide the confidence to pursue my research. I wish that they had been able to see me complete my PhD.



More than anyone else, I thank my parents, for their love and support over the past three and a half years, and throughout my life. Whether it be meeting up to see a show, or simply me coming home to Lancashire to catch up and talk through whatever is going on in my life, they have been integral. Without their listening ears and feeling like I had somewhere and someone to fall back on when feeling down, I would not have been able to have got as far as starting a PhD, let alone finishing it.

# Chapter One: Introduction – Introducing arts philanthropy

## 1.1 Introducing the research topic

In 2010, the then Secretary of State for Culture, Media and Sport, Jeremy Hunt, announced a ten-point plan for philanthropy in the cultural sector as austerity began to dawn (Department for Culture, Media and Sport 2010). Meanwhile, and subsequently, the vote to leave the European Union has presented major concerns for the cultural sector (Arts Quarter 2016a) and questions continue to be asked as to how the cultural sector can survive in times of economic difficulties, with funding reductions especially impacting on local authorities (Harvey 2016).

In 2013 the Dutch King, Willem-Alexander – speaking on behalf of the Dutch Government in his king's speech on Prinsjesdag – declared the end of the welfare state and a move towards a participatory society (Steinglass 2013) and as cultural organisations faced swingeing funding cuts (Siegal 2013).

In Denmark, there is a strong and historical tradition of industrial foundations which has continued to be of importance (Thomsen 2017), but the Culture Minister declared that disbanding the radio orchestras and choruses, selling the concert hall, redefining the state broadcaster as a pure media company, and moving the musicians to the Royal Theatre could be a beautiful sight (Lebrecht 2017d). Meanwhile, nationalism continues to influence cultural policy in the justification of policy towards Danish national heritage (Lindsköld 2015) and major institutions such as the Royal Theatre have faced public funding reductions and been forced to reassess their business models (Duelund, Valtysson, and Bohlbro 2012).

Across Europe, philanthropy is being assessed as a potential source of funding in the light of public funding reductions to the cultural sector. Not that this is new. Philanthropy is an old form of funding for the cultural sector. Its place is, however, re-emerging and being looked at with renewed interest and in different forms. Its potential is, however, dependent on its political, economic, and civic environment, and this varies.

Across Western Europe, debates are taking place as to how the cultural sector will survive with a steadily decreasing level of government funding (Breen 2018; European Research Network on Philanthropy 2017a; 2017b; Hagood 2016; Hoolwerf 2018; Hoolwerf and Schuyt 2017a; 2017b; Lapucci 2018; MacDonald and de Borms 2008; Milner 2018; Observatoire de la Fondation de France / CERPhi 2015; Oldenburg 2018a; 2018b; Schuyt 2001; Schuyt 2010). Combined with an increased focus in government policy on encouraging philanthropic giving, the cultural sector is considering whether it should be seeking more funding from philanthropy (Gaio 2009; Phillips 2012). Meanwhile, the philanthropic sector is acknowledging its increased role in public discourse and responsibility in providing certain services such as for the cultural sector (Mermiri 2010; Salamon 2014). It is in this context that this thesis asks 'is, and to what extent can, arts philanthropy be a potential way of closing the funding gap created by reductions in state funding?'

This thesis, then, sets out to address the research question, 'Understanding varieties of arts philanthropy and Europe: A new framework'. This is based around two core areas. The initial premise of the thesis is that, in light of reductions to public funding to the cultural sector across Western Europe following the financial crisis of 2008, cultural organisations are having to diversify their funding streams and seek wider and alternative sources of revenue. One such possibility is philanthropy. In this context, the thesis is investigating whether or not arts philanthropy really could be considered a new funding model for the cultural sector.

In order to address this is the second core focus, how different national environments might affect the answer to this question and the capacity for philanthropy. Do the different historical, cultural, political, economic, and social characteristics of different countries imply that in some countries philanthropy is a stronger funding route possibility than in others and, if so, why? Do these characteristics and factors mean that whilst each country has its own traditions of patronage and philanthropy to build on, their specific histories affect how that philanthropy manifests itself? Do factors such as the nature of the welfare state, the 'distance' or lack thereof between the public and private sectors, and indeed the nature of the society itself and the attitudes of the inhabitants of the country (to giving) make a difference?

It is suggested that such differences, these ‘varieties of capitalism’ (Hall and Soskice 2001a) will make a difference. Thus, the thesis investigates the influence or not of such varieties and the particular factors and characteristics that might need to be taken into consideration in order to develop a framework for what could be termed ‘varieties of arts philanthropy’ (VOAP).

## **1.2 Research question and objectives**

The thesis research question, then, is ‘Understanding varieties of arts philanthropy and Europe: A new framework’.

Given this, the research objectives are:

1. To outline the landscape of arts funding – including philanthropy – in Europe through an investigation of England, the Netherlands, and Denmark.
2. To investigate and understand the constituency and range of European models of arts philanthropy.
3. To consider that in combination the outcomes of objectives one and two comprise the possibility, or framework, of ‘varieties of arts philanthropy’.
4. In light of the findings across the case study countries to assess the potential of philanthropy as a funding model for cultural organisations in Europe.

## **1.3 Definitions**

It is important from the start to be clear on definitions, especially when considering terms such as ‘arts’ and ‘culture’. This can, however, be problematic. In general discussion and interviews, many practitioners used these terms interchangeably, including within the same organisation, and it is generally agreed that there is no one definition. Much of the literature uses both terms together and interchangeably (Arts Council England 2016e; 2016f; 2016j; Arts & Business 2012; 2013). Culture has always included more than simply ‘high arts’ such as theatre and paintings, but has a fluid definition which has adapted over time (Hewison 1997).

The Arts Council England (2018: 2), however, observes in their preparation material for developing a new strategy for 2020-2030 that:

“we refer repeatedly to ‘culture’, ‘creativity’, and ‘creative practitioners’, rather than ‘art’, ‘the arts’ or ‘artists’. This is partly to acknowledge that our role includes activities involving museums and libraries as well as the arts, but it also reflects findings from the research commissioned for the new strategy, which showed that the general public’s understanding of what is meant by ‘the arts’ and ‘artists’ is significantly narrower than our own. So, in this document, the word ‘culture’ should be taken to include the activity we currently support in the arts, museums and libraries, the word ‘creativity’ refers to the act of creating culture, and the phrase ‘creative practitioner’ covers all those who are involved in creating culture, from artists and makers through to curators and producers.”

This is a useful distinction, commenting on the specificity of terms such as ‘arts’, whilst ‘culture’ has a broader understanding. Hewison (2014: 3) describes “culture in its traditional sense, meaning the arts and heritage”. Here again, then, the definition of culture is taken to include not only the narrower arts but also wider areas such as heritage – at a moment in time when ‘heritage’ was a growing policy term (Hewison 2014). However, the term ‘culture’ is viewed in some literature in a far broader sense, to include creative enterprise and entrepreneurship (Florida 2002; 2003; Scott 2010).

A further complication is added when considering terms which are broader still, such as the cultural industries or the creative industries. Hesmondhalgh (2013: 16) identifies the cultural industries as concerned with “the production of social meaning”, and goes on to explain this as “the industrial production and circulation of texts” (Hesmondhalgh 2013: 17), by which the film and music industries are included, but so also are industries such as advertising and web design (Hesmondhalgh 2013). Meanwhile, Hesmondhalgh (2013) argues, theatre and art are viewed on a more peripheral basis as, whilst potentially generating music, theatre has only recently begun to develop industrial forms of reproduction and art has limited means of reproduction. The European Commission (2010: 5) identifies the cultural industries as “those industries producing and distributing goods or services which at the time they are developed are considered to have a specific attribute, use or purpose which embodies or conveys

cultural expressions, irrespective of the commercial value they may have". Hesmondhalgh and Pratt (2005) observe that the principle interest in the cultural industries is the nature of their output and whether it is symbolic and aesthetic – or artistic. Terms such as creative industries (BOP Consulting 2010; Flew 2013) extend this further with a much more explicit economic and functional drive. The European Commission (2010: 6) identifies the creative industries as "those industries which use culture as an input and have a cultural dimension, although their outputs are mainly functional".

Further, Hesmondhalgh and Pratt (2005) argue that the distinction between the cultural industries and other fields which may in some broad means of production be considered cultural is between whether they have utilitarian or non-utilitarian functions, with cultural output being of a non-utilitarian aspect based on its artistic, aesthetic, or entertainment value, rather than with a primarily economic output. Pratt (2005) also argues over the depth of the cultural industries and in favour of the inclusion of those who facilitate the cultural production of such cultural products within the sector, such as the personnel associated with their training, management, rehearsal spaces, and performance facilities. Pratt (2005) argues that the switch to the idea of the creative industries is of great importance, as placing an economic respectability on the sector provided a route to public funding that has been previously much more difficult when viewed as part of the arts lobby. Further, Pratt (2005) makes the point that it is difficult to identify, in a broad sense, an activity which is not creative and does not involve creativity. Whilst one could argue the same with the cultural industries, there is in that instance a cultural output produced, rather than simply creativity. Similarly, when it comes to an understanding of private giving towards the arts and culture, the most commonly understood term is some variant of 'arts philanthropy' (Achates Philanthropy n.d.; 2016c; Arts Fundraising & Philanthropy n.d.; 2016; Gillies and Minkiewicz 2013; Hardy 2018; Mermiri 2010; Moss 2016; Radbourne and Watkins 2015; Smith 2008). There is, however, some literature which suggests 'cultural philanthropy' (Ragsdale 2011). Others still suggest "Private Investment in Culture" (Arts Council England and MTM 2016: 1).

Part of the problem with this is that, as outlined above (Arts Council England 2018), 'the arts' has a narrower definition encompassing areas such as the visual and performing arts, whilst culture can be understood in a broader manner, encompassing the wider periphery of related

institutions and persons including repositories of those cultural objects and practices such as museums or even aspects of civil society (Filicko and Lafferty 2010).

For the purpose of this document, 'arts philanthropy' is used. This is principally due to its being the most commonly used and understood definition. In this thesis, this is used to refer to private giving towards cultural practices – visual arts and performing arts, but also those institutions which provide a repository for those practices, such as museums and galleries. In this sense arts is taken to encompass a broader understanding, incorporating cultural activity. This aligns most closely to sectoral, practitioner, and industry understandings – rather than the broader still public understanding and definitional shift as recently articulated by the Arts Council England (2018) (see above) – but holds to the dominant term for the subject. Similarly, 'arts funding' is used rather than 'cultural funding'. When describing the broad field, however, the term 'arts and culture' is used together to fully explicate meaning and coverage of the sector. Similarly, when referring to the sector as a whole, this thesis uses the term 'cultural sector' rather than 'arts sector' unless specified otherwise for specific instances such as the visual or performing arts or when using a direct quote using that term. Likewise, the term 'cultural organisations' rather than 'arts organisations' is used unless a direct quote is used giving that term. Similarly, 'cultural patronage' rather than 'arts patronage' is used. Indeed, some of the earliest forms of patronage to culture went towards museums (Hewison 1997; Schanke 2007; Zimmer and Toepler 1999). This is, based on the above reasoning of the Arts Council England (2018), to be clear that the thesis covers 'arts' in the sense of performing and visual arts, but also includes museums and cultural heritage where these include areas surrounding the performing and visual arts, and provides repositories of support for them. The terms 'cultural industries' and 'creative industries' are, however, not used unless referring specifically to the broader sector or to particular policy directions as these terms are broader still than 'cultural sector'.

As such, this thesis looks at this 'cultural sector' – focusing on 'arts philanthropy' within that sector – as a system of policy, institutions, ideologies, and funding. This is driven by historical understandings and usages of terms, reflects current practitioner positions, but also takes note of evolving definitions such as those of the Arts Council England (2018). This is also based on the concept surrounding varieties of capitalism (Hall and Soskice 2001a) in that this system

and these landscapes are based on linking structures and relationships as influenced by their environment. In this sense, utilising the more focused term of 'arts philanthropy' whilst recognising the wider layers of the 'cultural sector' is a useful approach. It reinforces, also, the important recognition that definitions need to be put in place but are themselves historically and context dependent.

#### **1.4 Thesis structure**

The thesis is made up of five key components – a literature review and conceptual development, a research methodology, the two analysis and findings stages of the research involving a mapping stage and an analysis of the semi-structured interviews conducted, and discussion and conclusions.

The literature review begins by outlining the background and history to arts philanthropy and the changing dynamics of public arts funding. It does so in the context of the welfare state, cultural patronage and arts philanthropy and how this developed in various national contexts including in the USA, the UK, and a range of different European countries. This provides a historical overview of the field, placing the research into context and reflecting on traditions of philanthropy, their relationship to public funding, and how there is an increasing renewed interest in private arts funding. In providing this overview, the 'political economies' of arts funding come to the fore and, more broadly, an emergent sense of 'varieties of capitalism' (Hall and Soskice 2001a). In other words, that different political economies – in particular liberal and coordinated market economies, and others – have different characteristics (or 'varieties') and which can be seen to be influencing philanthropy and its role in economies and societies (including the cultural sector).

The chapter reviews briefly the literature and theories surrounding the varieties of capitalism, the development of this debate towards an understanding of the variegation of capitalism debate, and investigates this in terms of philanthropy in particular; how philanthropy might be reflected in varieties of capitalism and how the specific characteristics of philanthropic giving can be seen to potentially take different forms dependent on the surrounding institutional environment. Pulling this conceptual framing through, the chapter ends with a



focus on philanthropy in the cultural sector and the building blocks of the system of arts philanthropy. Combining these building blocks (components) with insights from the varieties of capitalism literature allows the thesis to present an initial framework for varieties of philanthropy and, ultimately, develop 'a framework for varieties of arts philanthropy'.

The methodology chapter begins by providing an overview of the philosophical framework that guided the research, based upon comparative case-study research and utilising a mixed-method approach comprising both qualitative and quantitative methods. This is followed by an explanation of the research design chosen to meet each of the research objectives and answer the research question. The design includes the rationale for the choice of case study countries in Europe. Following this, the chapter details how the research was undertaken and the different components and stages of the research – the mapping stage and the interview stage, including the rationale behind the choice of organisations chosen for interview. The analysis utilised to examine the findings of the fieldwork and the data collected is explained, and issues surrounding especially elite interviews and the positionality of the researcher are outlined. The chapter considers also the ethical considerations of research and provides reflections on the research process.

The first of the two data analysis chapters involved mapping the landscape of public and private arts funding across the three chosen European case study countries. Drawing on documentary analysis, quantitative data, institutional mapping, and key informant interviews, the researcher presents a profile of each of the case study countries, the history and backdrop to the public and private arts funding in the respective environments, the trends in arts philanthropy, and noticeable characteristics of the components and building blocks (of possible varieties of arts philanthropy) in each country. The analysis begins to provide an insight and mapping of the potential 'varieties of arts philanthropy'.

The second of the data analysis chapters (Chapter Five) provides an analysis of the semi-structured interviews undertaken across Europe. The first half of this chapter provides country profiles – a description of a putative 'varieties of arts philanthropy' for each country – as in Chapter Four, only based around the interview data in this instance. Each of these sets of findings which emerge from the different elements of data collection can be seen to add a

layer of understanding to the concept of ‘varieties of arts philanthropy’ in Europe. It is on this basis that they allow the thesis to answer the question as to the contribution of arts philanthropy to arts funding models. The second half of the chapter draws out the key findings and emergent themes which are of importance in assessing the particular characteristics of the national environments to allow further development of the concept of ‘varieties of arts philanthropy’ and how they might work across forms of political economy and national environment.

These findings are then brought together in the conclusion. The final chapter confirms how the research objectives have been fulfilled and the research question addressed. Overall, the research question is answered by highlighting how the possibilities and potential of arts funding models based on philanthropy are strongly determined by the institutional context – or rather, the variety of arts philanthropy. This is the major contribution to knowledge of the thesis – the development of the concept of ‘varieties of arts philanthropy’ and its usefulness in understanding the role of philanthropy in the arts funding system across different nations and political economies. The landscape mapping and interviews have allowed the thesis to provide an understanding of the constituency and range of different models of arts philanthropy in Europe. In turn, the thesis ends by highlighting the implications of such varieties for arts funding models and their development across Europe as cultural organisations seek financial sustainability. Similarly, the thesis provides some thoughts on the potential for further research.

## Chapter Two: The development of arts philanthropy

This chapter provides an overview of the literature regarding philanthropy, working through the history of arts funding and arts philanthropy in a pre-and-post-welfare context, and how this can be considered in relation to the body of work on varieties of capitalism (Hall and Soskice 2001a). This leads to a consideration of ‘varieties of philanthropy’ and following an assessment of the components of arts philanthropy, the conceptual development of a framework for ‘varieties of arts philanthropy’.

The first section covers a brief history of arts philanthropy in the context of the changing dynamics between public and private funding. This develops through cultural patronage, to public funding in the welfare state, and how this has developed in different national contexts. It covers the UK and US experience over time and the development of arts philanthropy in different European countries. Importantly, a distinction is drawn between American concepts of arts philanthropy and concepts in Europe given that the modern understanding of arts philanthropy is often seen as of American origin, with European institutions often looking towards this experience for guidance (Ragsdale 2011). Utilising such distinctions, ‘political economies’ – and varieties of capitalism (Hall and Soskice 2001a) – of arts funding come to the fore.

Once conceptual origins have been outlined, the chapter addresses the different perspectives – and varieties – of philanthropy in a European context. Different European countries have different traditions of both public funding and philanthropy based on their cultural and political environments, and which has affected the extent to which different environments are conducive to philanthropy, and the nature of philanthropy undertaken. These possible ‘varieties of philanthropy’ (MacDonald and de Borms 2008; Buckland, Hehenberger, and Hay 2013; Amable 2003) are examined, drawing on the lens of the ‘varieties of capitalism’ thesis (Hall and Soskice 2001a) given its focus on different institutional systems across economies – and the subsequent development of this debate surrounding variegation in capitalism (Peck and Theodore 2007). The chapter then outlines the building blocks of the systems of arts philanthropy. The chapter ends with an understanding of philanthropy as a system, providing

an initial framework for varieties of philanthropy. This sets up the development of the conceptual framework of the ‘varieties of arts philanthropy’.

## **2.1 Arts funding and the need for alternative funding sources**

In the light of public funding cuts in the cultural sector across Europe, following the 2008 financial crisis, there is an increasing awareness in both Government and cultural organisations themselves that the cultural sector should be looking towards philanthropic donations as part of its funding model. This recognition has been put forward not just by governments in the form of encouraging business sponsorship (Schiuma 2011; Turnbull 2008; Wu 2002), but also acknowledged by the cultural sector as it seeks new ways of fundraising (Mermiri 2010; Gaio 2009; Phillips 2012). Further, the philanthropic sector has also recognised that its role and responsibilities are changing to involve more engagement with government policy and with the public (MacDonald and de Borms 2008; Salamon 2014). Funding cuts should not, however, be the only reason for seeking other sources of revenue outside public funding. When considering the background to arts philanthropy and the changing context within it, the question of why it is significant does not simply relate to why it matters in terms of the political and financial necessity of finding new sources of revenue in a climate of reductions to the welfare state. It is also that seeking private financing for the arts and culture does not need to be taken upon grudgingly but understood as a good thing to do in and of itself in supporting the ability for cultural production and impact (Cowen 2006; Radbourne and Watkins 2015). This is, however, not the view in all quarters, and there is also widespread concern as to the effects of philanthropy and private giving in the cultural sector, whether through emphasising the importance of public funding and the investment it provides (BBC News 2016c; Henley 2016c; Hewison 2014), the problematic elements of philanthropy and its relationship to the corporate world (Khomami 2014), the importance of a mixed model even from the perspective of philanthropists (Higgins 2014), or the ethical dimensions of arts philanthropy whereby philanthropy should be focused on other areas (Ogden 2015).

Much writing about arts funding, and often by extension arts philanthropy, takes on a tone of justifying, seeking to show why a particular organisation ought to receive a particular grant,

or ought to continue to receive public subsidy within a reduced funding pool based on its social or economic worth (Centre for Economics and Business Research Ltd 2013; Local Government Association 2013). This is not entirely the fault of those within the cultural sector. If an organisation is attempting to justify its need for funding, it may appear counterproductive to suggest that they could cope perfectly well without it. Much of what is produced is, therefore, still very much based on the idea of organisations justifying themselves and their funding to the state and the public, as well as to potential donors. This can be seen in how advocacy toolkits have been created which attempt to understand the language and priorities of the Government in this way (Arts Council England n.d.a; n.d.b), rather than building relationships with wider philanthropists and business. Indeed, while there is increasing interest in arts philanthropy at a consultancy and fundraising level (Mermiri 2010; Gaio 2009; Phillips 2012; Radbourne and Watkins 2015; Kail, Simmonds, and Bagwell 2015), this is a relatively new area when it comes to academic literature.

It is through investigating this longer tradition and landscape of arts philanthropy in Europe that different national environments and the role of philanthropy is made clear, and with it the potential new approach to the field of varieties of arts philanthropy.

## **2.2 The origins of contemporary arts philanthropy**

The history of philanthropy goes back many centuries, and long predates the welfare state (Hamilton 2014). There are broader traditions of philanthropy and support for arts and culture in society. It is within such cultural contexts that the different forms of philanthropy which are observable in the post-2008 world can be exemplified. Arts philanthropy itself as a subject has a long history going back as far as Ancient Greece, through the patrons of Shakespeare, and artists such as Leonardo da Vinci and Michelangelo working for nobility (Schanke 2007). State philanthropy has existed in the sense of state subsidies in the form of the Comédie Française under Louis XIV and German states subsidising theatres from around the late eighteenth century (Schanke 2007). The Comédie Française was founded as early as 1680 and the Museum of the Republic in 1793 (Zimmer and Toepler 1999) emphasising the early routes of state patronage of the arts and culture in some European countries. Often, this has taken the form of religious institutions or religiously inspired giving. As shall be seen,

however, this form of traditional patronage has moved towards more of a welfare-based patronage system in Europe (MacDonald and de Borms 2008; Zimmer and Toepler 1999). Further, when considering the origins of arts funding in the UK and the USA, whilst it is evident in the form Arts Council of Great Britain (ACGB), which became the Arts Council England (ACE), and the National Endowment for the Arts (NEA) in the USA (Wu 2002), the nature of the USA as a relatively new state without an aristocracy has seen a different system compared to the European history of patronage.

### **2.2.1 Arts philanthropy in the American context**

In the USA, without the traditional sources of patronage present through the nobility or monarchy, it is argued that local elites took on more of the burden of arts funding (Schanke 2007). Whilst the Protestant work ethic initially frowned upon spending money on leisure activities, the years after the American Civil War of 1861-65 saw the development of entrepreneurs such as John D. Rockefeller, Andrew W. Mellon, Andrew Carnegie, and J. P. Morgan. Building on the new railroads, oil and steel trusts, banking, and mining, a concept of aristocracy in the American context began to develop (Schanke 2007). Donating to the arts and culture was a way of being included in this 'upper class', a sign of wealth and success, and a way of being accepted into this society, with donations to the high arts of particular value in this regard (Schanke 2007).

Arts philanthropy then experienced a significant boost in 1913 when a federal income tax was established by Congress, followed four years later by tax deductions for gifts made to non-profits (Schanke 2007). These changes meant that the wealthy began to contribute in order to receive a tax reduction, and because of the advantages present in the tax system wealthy Americans began to invest part of their money in endowments which were used to set up philanthropic foundations (Schanke 2007). Still existing examples today include the likes of the Rockefeller Foundation, with later examples such as the Andrew W Mellon Foundation and the MacArthur Foundation (Schanke 2007). All of this meant that arts funding and its setup remained a largely private affair in the USA. Even the National Gallery of Art in Washington D.C., whilst maintained with an underlying budget provided federally, was set up privately (Wu 2002).

In terms of corporate funding of the arts and culture in the USA, whilst initially the arts and culture were seen as not being an appropriate use of corporate funding, this attitude changed in the 1960s. Corporate donations towards the arts and culture moved from 3% of corporate contributions in 1959 to 11% in 1981, and from around \$22 million in 1965 to over \$500 million in the early 1980s. The establishment of the Business Committee for the Arts with a donation of \$100,000 from David and John D. Rockefeller III furthered this (Schanke 2007).

It should be noted, however, and as will become important later in this chapter, that there is a significant difference in motivations between corporate arts giving and giving from private individuals or foundations – which is perhaps at the core of the sometimes unclear difference between arts philanthropy and arts sponsorship. Corporations, at their core, are about making money for their stakeholders, even whilst including corporate social responsibility programmes, and the priority must therefore be about public relations and visibility above all (Wu 2002). By contrast, philanthropy – whether individual or through foundations – have a degree of altruistic motivations which take on particular forms within the cultural sector (Abbing 2002), though defining and understanding philanthropy is often more nuanced than this, and the line between the business and the altruistic motivations behind philanthropy can become blurred.

In 1965 an arts commission was established which ultimately led to the establishment of the National Endowment for the Arts (NEA), a federal funding body, and peer-review advisory panels which channelled funds to non-profit organisations and established incentive grants and matching grants under a principle of decentralisation, with the initial sum of almost \$3 million in 1965 reaching approaching \$159 million in 1981 (Schanke 2007).

What can be seen here is how arts philanthropy in the USA developed from being a largely private affair, built on the history of the United States, to taking in a substantial corporate element as well as an element of federal funding, in particular in the form of the NEA. Federal funding was therefore systematised alongside earlier private funding developments. When the UK began to adapt its funding model from the 1980s onwards it looked towards the USA and its history of private philanthropy as an example.

### **2.2.2 Arts philanthropy in a welfare state context: the UK funding model**

The welfare state model within the UK provides a different model for philanthropy (Wu 2002; Turnbull 2008), with the developments of the mid-2010s within UK arts funding traceable back to the post-war years of the late 1940s. A shift from arts funding as a historical form of private patronage towards a form of state patronage can be seen with the ideas of Keynes and the development of the Arts Council of Great Britain in 1946 (Turnbull 2008; Wu 2002; Flew 2013). This included a new policy of an element of culture as a beneficial force for the population. Before the Second World War, arts funding could be traced to wealthy individuals; indeed, the use of public money for the purposes of entertainment was prohibited, with forms such as the repertory movement being left to the initiative of wealthy individuals (Turnbull 2008). This included ventures such as the Manchester Gaiety and the Birmingham Repertory Theatre, led by individuals who believed in the potential of such institutions to be educational and uplifting, and of these institutions as cultural amenities (Turnbull 2008).

The origins of government arts funding in the UK can be seen in the form of the Council for the Encouragement of Music and the Arts (CEMA) during the Second World War, with the Arts Council of Great Britain (ACGB) simply following on from this (Wu 2002). The CEMA was initiated in 1939 and launched with a grant of £25,000 from the Pilgrim Trust, a private American body, and in addition received support from the Board of Education which sought to prevent cultural deprivation during the war (Wu 2002). It was also influenced through philanthropy, with philanthropists having a key role and influence in its formation and policy direction (Upchurch 2013; 2016). In effect, as seen in the vision of Dr. Thomas Jones, Secretary of the Trust and Vice-Chairman of the CEMA from its initiation in 1939 to 1942, this was extending the notion of a social service to the arts and culture (Wu 2002). Music travellers gave concerts in remote areas of the country, travelling 'Art for the 'People' exhibitions toured industrial towns, an 'Art for British Restaurants' scheme provided paintings and other art for canteens in which meals were served for the civilian population, and employment was provided for artists during the war (Wu 2002). Whilst a different context in terms of the war, this is not dissimilar to the Federal Theatre programme set up in the USA in 1935 during the



Great Depression and which was designed to provide work for unemployed American theatre artists and make their work accessible to Americans (Schanke 2007).

This social service direction of the CEMA came to a close, however, when in 1942 Jones resigned and the economist John Maynard Keynes took over (Wu 2002). A shift occurred, with the CEMA moving from being about provision for the people, to 'provision of excellence' based on a Keynesian emphasis on artistic quality within the Council (Wu 2002). This difference in emphasis and different view of what the ultimate role of arts funding is can be seen to continue throughout the development of cultural policy and remains a tension today. As Turnbull (2008) writes in his overview, the nature of funding from the Arts Council England was riven with problems from the start, replete with conflicting interests and requirements.

The UK model of cultural policy can thus be traced back in its public form to the 1946 foundation of the ACGB, with Keynes believing in a patron model of 'Cultural Policy' which held that the government had a role in the promotion of creative excellence and the enabling of artistic excellence – but that it should stay at a distance from the work itself, rather distributing government funds through a specialist arts council (Flew 2013: 131). He also disapproved of what he viewed as welfare taking precedence over standards and saw in his chairmanship of the CEMA an opportunity to forge a national cultural policy of his own making, although quality came almost exclusively from the metropolis (Turnbull 2008).

With the end of the war, the CEMA changed its name to the Arts Council of Great Britain and was granted the status as a permanent organisation with a Royal Charter, and these standards of excellence were continued through both the post-war Labour Government of 1945-51, and the following Conservative Government of 1951-64; with both viewing the arts and culture as a form of state patronage which provided quality and excellence (Turnbull 2008; Upchurch 2016). With the Labour Government of 1964-70, the emphasis and focus of arts funding altered. At this point, community arts and the arts and culture as a form of social welfare began to be acknowledged as of importance over simply 'high arts', but then with increased funding there was increased government intervention as the Arts Council found itself having to justify its policies and reflect those of the government (Turnbull 2008; Upchurch 2016). This emphasis was, however, not to last, with the difficulties in public finances and the

economic situation of the 1970s such as the international oil crisis which quadrupled heating costs between 1973 and 1974 (Turnbull 2008). The economic effects on cultural organisations during the economically unstable 1970s included a rapid increase in the prices of tickets, and the Arts Council once again returned to a more conservative ethos of viewing the arts and culture, and the rationale behind arts funding, as a form of national heritage in policy rather than part of a social ethos surrounding achieving social change such as through education (Turnbull 2008). This set the scene for the changes (and ‘difficulties’) of the Conservative Governments of Margaret Thatcher and John Major from 1979 to 1997 when, as shall be seen in section 2.2.3, arts funding found itself facing increasing funding cuts and pressure to find alternative sources of finance.

In reality, these difficulties were a consequence of the setup of arts funding and the difficulties presented by the differing notions of ‘what culture should be for’ and why it should be funded by the government. Unless this is agreed upon, which with constantly changing economic circumstances and different political administrations is difficult, then the nature of arts funding will always be in question. Herein lies a primary reason for seeking private philanthropy in the cultural sector in that public funding streams are reliant on differing notions surrounding the purpose of the arts and culture and fallible to them just as private philanthropy. Furthermore, problems such as the failure in public funds to keep up with changing demands and requirements of cultural organisations in terms of what their different funding sources required in exchange for funding, as well as multiple sources of funding through working with local authorities did not help (Turnbull 2008). This was because different authorities often had different objectives and thus cultural organisations often found themselves managing conflicts of interests whereby they had to fulfil different requirements to receive funding from different streams (Turnbull 2008). This is not to say, however, that a potential conflict of interest will also not be seen when cultural organisations rely on the private sector or philanthropy, as the private organisations or individuals funding the arts and culture also have different motivations and objectives.

### **2.2.3 Changing circumstances: A new direction in arts funding**

Private philanthropy in the post-war years was ongoing, but public funding was the dominant form of arts funding (Turnbull 2008; Upchurch 2016; Wu 2002). In the 1980s, however, the private sector was encouraged to take on a more active role within arts funding, and the emphasis of arm's length public funding and government policy moved from 'the arts for arts' sake' philanthropy, to the economic benefits which culture presented such as through as tourism and employment (Turnbull 2008; Upchurch 2016; Wu 2002). Cultural organisations were increasingly viewed as needing to fund themselves and not the priority of government funding, and marketing and Social Responsibility began to take an increasingly important place in funding and business models (Wu 2002; Turnbull 2008). This naturally had repercussions both on how the private sector involved itself with cultural organisations, and the organisational model the cultural sector needed to survive. Some adapted to the 'enterprise model', changing circumstances and reduced government funding. Other organisations did not survive, given that for many the ethos they had built was in order to fit in with the objectives of state funding, and draw their income primarily from the state. This move towards an 'enterprise model' can be clearly seen when, in 1987, an Arts Council publication announced a £5 million incentive fund simply entitled "Rewarding Enterprise" (Wu 2002: 65).

Within such a change, cultural organisations had to fundamentally change the way in which they operated (Upchurch 2016). The requirement to include a welfare dimension such as theatre in education and community projects as well as also serving high arts meant that their entire structure was under challenge (Turnbull 2008). The Thatcher Government set out to break from this model, seeking an enterprise model that did not fit with the previous traditions of patronage, with bodies such as the Arts Council being viewed with suspicion as upholding the vested interests of certain groups (Turnbull 2008). In reaction to government cuts to public funding, the Arts Council therefore followed suit, and perhaps even more significantly, the boards and trustees of cultural organisations were filled with those sympathetic to the position of the 'New Right' and the government with the council increasingly following government policy as a result (Turnbull 2008; Upchurch 2016; Wu

2002).<sup>1</sup> This meant that cultural organisations had to prove that they could function as a business, and the council had to be accountable to the government (Turnbull 2008). For example, theatres began to see a use in private-and-public partnerships that would increase the potential for profitable working with the commercial sector. Commercial producers, for example, may use a regional theatre as a test for the possibility of a national tour or transfer to the West End. This could then prove problematic as the aims of the regional theatres, run often by charitable trusts, and the commercial sector could be at odds. Indeed, such organisations faced criticism that their artistic values were being compromised for the purposes of commercial gain (Turnbull 2008). The nature of arts funding meant that the situation could arise that a theatre could have its funding withdrawn because it was too commercial whilst another may receive increased subsidy in order to facilitate a commercial partnership (Turnbull 2008). Whilst particularly obvious in sectors such as theatre where there was a clear commercial dimension, this could be seen in other areas of the cultural sector, for example museums and art galleries. The most obvious example of this is the introduction of admission charges, but also restructuring and shifting curatorial roles into different departments whilst reducing staff such as the Victoria and Albert Museum between 1985 and 1991 (Hewison 1997). Problems of this were not only the loss of curatorial expertise and the cost of redundancies, but also that when the museum was rented out, the curatorial staff of the V&A had no input over the exhibitions and no influence as to their success or failure, including commercially (Hewison 1997).

Likewise, cultural organisations were encouraged to seek business support which was encouraged by the Arts Council publicising and endorsing commercial sponsorship, and through collaborating with business, for example, through exhibition sponsorship (Wu 2002). With the formation of the Business Committee for the Arts in the USA in 1967 (Americans for the Arts n.d.) and the Association for Business Sponsorship of the Arts in the UK in 1976 (Arts and Business n.d.), a campaign began to encourage businesses of the benefits of arts sponsorship (Wu 2002). Similar events were taking place in the USA under the Reagan administration, receptions and galas were held in Downing Street and the White House respectively, offering businesses which sponsored the arts and culture prestige (Wu 2002).

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<sup>1</sup> Similarly, supporters of this agenda took similar roles in the USA in the NEA (Wu 2002).

Both the ACGB and the NEA saw moves towards what could be seen as a step towards the privatisation of culture (Wu 2002), and tax incentives were offered in both the UK and the USA to encourage private and corporate philanthropy towards the arts and culture (Wu 2002).

With the development of the 'Third Way' of Tony Blair and Bill Clinton in the 1990s, there began a renewed interest in funding culture, but the economic benefits were still at the forefront of this interest. These developments were tied in with concepts surrounding the 'creative industries' and the 'creative economy', the former first articulated under the New Labour Government of Tony Blair in a 1998 Mapping Document to measure the creative industries (BOP Consulting 2010). This move towards the 'creative industries' and the 'creative economy' was tied in with the replacement of the Department for National Heritage with the Department for Culture, Media and Sport (DCMS) (Flew 2013). The latter term of the 'creative economy' was adopted by the DCMS in 2008 in order to capture the contribution of these industries to economic life (BOP Consulting 2010). Therefore, cultural organisations still found themselves having to look towards private sources (Klaic 2012; Flew 2013; Schanke 2007). With the reduction in public funding and the Conservative-led and then Conservative majority and minority governments from 2010 onwards, this does not seem to be a development which is going to change as an emphasis is placed on the arts and culture diversifying their funding sources, and with the government presenting this as a positive development which can be seized upon as part of creative economy narratives (DCMS 2010; 2014). In this sense, arts philanthropy should be considered as a long-term goal.

It is also important to make clear that this is not to suggest that the American model and its historical roots in arts philanthropy can be replicated directly in other contexts, but rather simply that it is important to understand the background of the area. Ragsdale (2011), for example, comments that whilst many cultural organisations and cultural policymakers in Europe are looking to the example of the USA for guidance, to those within the American model it does not feel stable, with many cultural organisations running deficits and unable to balance their budgets. This suggests that arts philanthropy is not the easy solution to those European cultural organisations seeking new sources of revenue, although there are others

who argue that the USA's decentralised structure of small direct subsidies but large indirect subsidies does allow it to thrive (Cowen 2006).

#### **2.2.4 European models of cultural patronage**

Once one begins to build an understanding of philanthropic traditions and landscapes of arts funding, a picture of variety across nation states becomes clear. As Klaic (2012: 157) comments, “for some 60 years there has been a rather broad political and social consensus across Europe that quality art institutions deserve public subsidy for the public benefit they create”. Philanthropy has also had a long history in Europe going back to the earliest forms of patronage to the arts and culture, both acting as a form of charity and also affirming status and class divisions (Schuyt 2010). Indeed, whilst the assumption has thus far been of an American influence in modern forms of philanthropy, in this sense it can be seen as actually a highly European idea given its long history of patronage, which has in the last few decades seen a revival, especially in terms of the growth of foundations (Schuyt 2010). As MacDonald and de Borms (2008: 5) comment, “there is an abundance of literature about US philanthropy, which could lead to a belief that the methodologies and strategies used by our American colleagues are the benchmark for philanthropy around the world” but rather that “because of the various models of civil society in Europe and the role played by the state, the Anglo-Saxon style philanthropy found in the US is actually the exception” (MacDonald and de Borms 2008: 5). Indeed, Hoolwerf and Schuyt (2017a) argue that philanthropy is a European rather than an American invention. It is therefore important to investigate philanthropy in Europe in its own light. Moreover, when considering philanthropy within Europe it is important to acknowledge that there is not one single model used, and that in order to understand the nature of arts philanthropy one must consider the nature of funding models within Europe, and further, the different cultural norms and understandings of the role of the state and the private sector.

To provide some examples, there are a number of experiences that can be considered. The French model, for example, involves a more active form of cultural policy in terms of the role of the state in promoting French culture. With the formation of the Fifth Republic in 1958, and the appointment of the novelist and art theorist André Malraux as Minister of Cultural

Affairs by President Charles de Gaulle, the state was taken to be making the cultural heritage of the nation available, utilising public funding for the support of artists and cultural workers, and democratising access to culture (Flew 2013: 132). The French approach is more of a top-down bureaucratic approach, built on the history of public policy in France, with a dedicated and centralised Ministry of Culture which focuses exclusively on the arts and culture, and museums and galleries run by the ministry or local state authorities which are highly dependent on this ministry (Zimmer and Toepler 1999). Likewise, the state theatre sector is under the control of the ministry (Zimmer and Toepler 1999). Indeed, in the late 1980s the Ministry of Culture's budget increased by sevenfold, surpassing all other European countries, whilst private patronage and business sponsorship were actually discouraged until the 1980s (Zimmer and Toepler 1999). Further, the emphasis of French funding on expressing the grandeur of the nation state presents a clear rationale which discourages private enterprise, and the culture surrounding the arts and culture is influenced by high state ownership and bureaucracy in other industries (Zimmer and Toepler 1999).

In a country such as Sweden, by contrast, governmental support of the arts and culture is linked to a social democratic ideal of egalitarianism and equity whilst also being decentralised so as to allow communities their own decision making; popular cultural activities are viewed as equal to 'high cultural', with the result that there is high spending and the government retains a high responsibility for the arts and culture (Zimmer and Toepler 1999). This also affects how national developments move in terms of adapting to changing circumstances. The Arts Council England, for example, is criticised by some as a swollen bureaucracy but seen elsewhere in Europe as a solution and model to emulate (Klaic 2012: 167).

In other European countries there have been other dimensions to this. When Bulgaria saw its subsidies cut through the merging of repertory companies, despite the outcry there were no proposals offered by the government on how to update a system which had its model based on communism, showing a lack of priority on culture or arts funding (Klaic 2012: 158). In Greece, the financial crisis and overhaul of the finances of the country has resulted in artistic plight which has largely gone unnoticed amidst the crisis in the country (Klaic 2012: 158). This pattern is repeating across Europe as public culture becomes less of a priority for politicians. It also again emphasises the different cultural systems and norms which are present across

Europe. Problematic in all of this is that whilst the European Union has provided the freedom of movement, study, and work, it does not provide the same cross-border freedoms for philanthropic activity. Indeed, Salole (2008) suggests that to remedy this a European Foundation Statute would allow for philanthropic activities to be undertaken on a European level rather than being restricted. This would allow for a fully unrestricted single market like the USA whereby philanthropy can take place with ease from one state to the next.

Further, in terms of actual policy influence in these different contexts and countries, there are different levels of engagement insofar as the role, influence, and engagement of foundations in policy change (Leat 2008). There is a pronounced involvement in policy change in countries such as Denmark, Hungary, Poland, and indeed the USA, some involvement in countries such as Belgium, the Czech Republic, Estonia, Germany, Greece, Ireland, the Netherlands, Portugal, Spain, Switzerland, and the UK, and little at all in Austria, Finland, France, Italy, Norway, or Sweden (Leat 2008).

So, for example, when foundations can be seen as a key driver of arts philanthropy across Europe, there are a variety of different environments in which they can operate (European Foundation Centre 2015). MacDonald and de Borms (2008: 8-9) identify four models within Europe, (1) the Anglo-Saxon Model, (2) the Rhine Model, (3) the Mediterranean Model, and (4) the Scandinavian Model – and which they argue strongly influences the subsequent role of philanthropy. Buckland, Hehenberger, and Hay (2013) likewise give a variety of different models of society in Europe, noting the significant differences in historical, cultural, and social conditions, as well as legal framework, regulations, and degree of government interference, and some crossover can be seen, in their instance using a (1) Liberal Model, (2) Social democrat model, (3) Welfare partnership mode, and (4) Development model. These details are outlined in more detail in section 2.3, in particular on pages 45-47, and are outlined in Table I on pages 51-52. The US model of philanthropy, linked in with the Anglo-Saxon model also present within the UK, is only one such approach and may not be appropriate when applied to different cultures. These different models dispel the notion that there is one common goal or model within arts funding or arts philanthropy.



## **2.3 Varieties of capitalism, varieties of philanthropy**

It can be seen that when examining philanthropy in Europe, the features of philanthropic models in these different contexts reflect the broader institutional characteristics of that country or society such as the welfare system or the role of culture. More than this, the characteristics of that environment are affected by the particular types of institutions – whether that be different types of foundations or companies, for example. Philanthropy cannot, therefore, be solely viewed from the perspective of the most widely understood Anglo-Saxon or Liberal model. It is difficult to ask whether arts philanthropy can provide a new way forward for these industries until these different understandings of the role of philanthropy and the state in different economies has been understood.

This, then, brings us to the work on ‘varieties of capitalism’. A significant body of literature has developed surrounding the concept of varieties of capitalism. This discussion developed as early as Albert (1991; 1993) seeing different forms of capitalism, rather than the one form in the years following the end of the Cold War, with an American form and a Rhine form. The debate in particular around ‘varieties of capitalism’ emerged from the pivotal work of Hall and Soskice (2001a). In this, they outlined how there are two different capitalist market economies – a liberal market and a coordinated market – and how the institutional environments affect the ways in which firms coordinate based on these different economies.

In a liberal market economy, firms principally coordinate their activities via hierarchies and competitive market arrangements with an arm’s-length exchange of goods or services through competition and formal contracting and adjustment through signals from the markets (Hall and Soskice 2001a). In a coordinated market economy, there is a higher reliance on coordinating with other actors in order to construct core competencies and a high degree of collaborative rather than competitive relationships inside networks in order to develop these competencies (Hall and Soskice 2001a). This framework takes a relational view of the firm. Five spheres are identified in which firms must develop relationships. These are industrial relations, vocational training and education, corporate governance, inter-firm relations, and employees and the relationships which firms develop with them (Hall and Soskice 2001a). These relationships provide an insight as to how the initial framework might

be developed when considering philanthropic systems, by highlighting how the building blocks of a framework can be built and how the relations between institutions can help provide an understanding of the landscape of, in this instance, arts philanthropy. This initial framework is developed in the conclusion to this chapter. In this initial concept of Hall and Soskice (2001a), the model of the liberal market economy is in a country such as the United States of America, whilst the model of a coordinated market economy is a country such as Germany.

Institutions are defined in this context by Hall and Soskice (2001b: 9) “as a set of rules, formal or informal, that actors generally follow, whether for normative, cognitive, or material reasons”. Further, organisations are defined “as durable entities with formally recognized members, whose rules also contribute to the institutions of the political economy” (Hall and Soskice 2001b: 9). Building on ideas of comparative capitalism, this approach develops how “behavior is affected by the institutions of the political economy” (Hall and Soskice 2001b: 4) and develops the importance of strategic interactions between economic actors which affect their behaviour.

Whilst the initial thesis of Hall and Soskice (2001a; 2001b) identifies two forms of market economy, they observe “that, even within these two types, significant variations can be found” (Hall and Soskice 2001b: 33) and that this approach “can also be useful for understanding political economies that do not correspond to the ideal type of a liberal or coordinated market economy” (Hall and Soskice 2001b: 35). There can be seen a ‘variegation’, with writers such as Peck and Theodore (2007), and Brenner, Peck, and Theodore (2010) challenging the notion of two competing typologies of capitalism, viewing this as static, and seeing rather a variegation across a pluralisation of capitalism. Examples of this include through different levels of scale and through localised and transnational levels, with Peck and Theodore (2007) using the examples of divergence within different coordinated market economies such as Germany and Japan, and indeed if institutions diverge from the coordinated market economy within countries such as Germany itself. Jessop (2014a: 248) describes how:

“Variegation involves complementarities and tensions among types (varieties) of capitalism in a tendentially singular, yet still incomplete and unevenly integrated, world economy. These complementarities and tensions set limits to the coexistence and co-evolution of varieties within a given space–time envelope marked by specific combinations of spaces of places and flows and of economic cycles and other temporalities”

Peck and Theodore (2007: 733) have advocated “a shift away from the varieties-style reification and classification of economic-geographical difference, in favour of a more expansive concern with the combined and uneven development of ‘always embedded’ capitalism, and the polymorphic interdependence of its constitutive regimes”. Dixon (2010) engages with this work, suggesting that the variegation approach of Peck and Theodore (2007) should engage more with the firm.

Similarly, Hanké, Rhodes, and Thatcher (2007a) have suggested a revised typology which breaks up the liberal and coordinated market economies. In this analysis, there are the liberal market economies such as the UK, operating at an arm’s-length between the state and the economy which is decentralised and fragmented and coordinated market economies such as Germany, with more organised employee and labour relations and a stronger relationship with the state. Hanké, Rhodes, and Thatcher (2007a), however, also suggest two further forms. *Étatisme* in post-war pre-1990s France with a strong state, but weak and fragmented business and union relations in part as a result of the state’s dominance. Further, they identify a compensating state model in countries such as Italy or Spain where the state plays an important role in industrial policy but business is still relatively well organised with strong ownership structures, and with the state compensating in areas such as state funded wage compensation schemes and with more limited complementarities.

Amable (2003) identifies a market-based model, a social-democratic model, a Continental European model, a Mediterranean model, and an Asian model. This is useful and comparable to the models of philanthropy, the first four models showing relevance when looking at Europe and the USA, and the Asian model of capitalism showing relevance in understanding the global experience of arts philanthropy. Amable (2003) places these on a scale with the welfare or social-democratic model as seen in Scandinavia at one end and Asian capitalism as

seen in Japan and South Korea at the other, and with the rigid labour markets of the Mediterranean model as seen in countries such as Greece and Italy at one end, and the financial markets of the market-based model as seen in the UK and the USA at other. This shows that, as observed by Hall and Soskice (2001a; 2001b), there is variety within the varieties of capitalism, rather than necessarily seeing them as two binary groupings.

Others have developed this 'variegation model' in different ways. There have been a wide variety of typologies and much debate has emerged from the initial Hall and Soskice (2001a) framework. There is therefore a "need to transcend the cataloguing and labeling of *variety* according to institutional criteria, to probe the meaningful forms of *variegation*" (Peck and Theodore 2007: 761).

"this approach would produce a better understanding and recognition of systemic interdependence and contingent convergence occurring across scales and political-economic spaces" (Dixon 2010: 198)

In sum, the sense that capitalism does not have to be seen in two binary forms, but rather as variety and variegation, is relevant to this research and its study of systems of philanthropy. Whilst the potential of philanthropy as a form of arts funding is bound by the institutional constraints of the framework it finds itself in, it draws from a number of different structural influences surrounding its institutional, national, and environment. These are developed in Figure II, and then investigated throughout the thesis towards the final framework in Figure XXI.

Further, the debate about varieties of capitalism has developed in different directions (Hanké 2009a; 2009b; Hanké, Rhodes, and Thatcher 2007a; 2007b; Dixon 2010; Jessop 2012; 2014a; 2014b), acknowledging its importance and flexibility as an approach, but only so far as it is able to adapt to the complex world and changes in economies. Crouch (2009) criticised the centrality of the nation state observing that "Characteristics of economies have been bundled together as coherent wholes with inadequate attention being paid to the forces that produce the bundles" (Crouch 2009: 94). Dixon (2010: 197) likewise criticised the "methodological nationalism" of this approach.

“a variegated-capitalism approach is explicitly concerned with multiscalarity and the potential for supermodularity and conjunctural effects at multiple spatial scales. This contrasts sharply with the varieties-of-capitalism contention that significant levels of endogenous institutional coherence exists in the national-economic space. In the variegated-capitalism approach, a strong institutional coherence may exist at the national scale, but it is not necessarily presumed. More-over, the approach is not satisfied with demonstrating national-level institutional coherence alone, but rather understanding and finding the various multiscale relationships extant above and below the national scale that fit into a larger whole (ie, global capitalism/regionalism)” (Dixon 2010: 198)

Adopting a variegation approach therefore assists in mitigating this focus on the nation state alone, with other sub-national and cross-national ways of assessing the environment possible.

“they have suggestively placed institutions, and institutional ensembles, in the analytical foreground, often reading off relatively simple – patchwork or bipolar – geographies from their subsequent theoretically informed empirical investigations. The result has been a rudimentary geography of two-plus capitalisms, with a binary model defining the most parsimonious form of diversity . . . it has barely scratched the surface of deeper forms of geographical differentiation and spatial dynamics, as they pertain to the trans-national *combination* of modes of capitalist development” (Peck and Theodore 2007: 761)

The description of the different European traditions of philanthropy therefore shows variegation rather than simple variety and the debate regarding varieties of capitalism has been both significant but has also been critiqued and moved beyond a binary approach to capitalist development and the consequences on institutional environment which this entails.

“there has been a concerted shift away from the binary ideal-typical construct in later varieties- of-capitalism work towards more dynamic approaches that recognize transnationalization” (Dixon 2010: 197)

The argument of this thesis, then, is that through drawing on the institutional framework and analysis of the varieties of capitalism literature, so the concept of ‘varieties of philanthropy’

may be put forward. Whilst in the varieties of capitalism approach the firm is the centre of the focus, this research takes the organisations in the cultural sector as its central focus, and only in the arts and culture because this thesis focuses on the specific characteristics and components of 'varieties of arts philanthropy' rather than 'varieties of philanthropy'. The importance of institutions and the interactions and relationships between different actors is, however, crucial. As Hall and Soskice (2001b: 6) observe:

"The relevant actors may be individuals, firms, producer groups, or governments. However, this is a firm-centered political economy that regards companies as the crucial actors in a capitalist economy."

In the analysis conducted for this research when considering varieties of philanthropy in the cultural sector, the relevant actors may again be individuals, firms, producer groups, or governments, and the interactions between them. These actors, however, are focused on the organisations of the philanthropic and cultural sectors. As Hall and Thelen (2009: 253) observe:

"any strategy adopted by a firm or other actor is likely to be conditioned, not by one, but by a number of institutions"

In this way, the political economy is conceived "as an institutional ecology in which the strategies of the actors are simultaneously conditioned by multiple institutions" (Hall and Thelen 2009: 270). Indeed, Lew and Wójcik (2010) have also suggested some variegation within philanthropy when considering the impact of national and corporate environments on private foundations and their governance.

Given the above discussion it can be seen how funding of the arts and culture, and arts philanthropy, may be assessed through the 'varieties and variegation' lens. As will be seen, clear national differences and traditions emerge when observing cultural patronage according to different national and institutional environments, and that only in some instances do national and institutional environments align, with the presence of regional or supranational environments. Whilst there have been some initial attempts – outlined below – to understand

philanthropy through the varieties of capitalism analysis, this has not been given a coherent framework, nor viewed from the specific perspective of the cultural sector.

In the Anglo-Saxon model of civil society, the two most obvious examples being in the USA and the UK, civil society organisations such as foundations which are used for philanthropic purposes are seen as a counterbalance to the state, with a legal and fiscal infrastructure which encourages the giving of donations and gifts (MacDonald and de Borms 2008). Similarly, the Liberal model of Buckland, Hehenberger, and Hay (2013) describes that which is present in the United Kingdom and is in that sense comparable to the Anglo-Saxon model. With a large social sector which receives around half of its funding from the government, the social sector is nonetheless largely independent of government control, and UK philanthropy has a strong tradition, ranking as number one in Europe in terms of the percentage of GDP (Buckland, Hehenberger, and Hay 2013).

The Scandinavian model of MacDonald and de Borms (2008) has a strong role for the state, but also a strong emphasis on personal initiative; a strong welfare state is counterbalanced by volunteerism, and as such civil organisations act as a way of bridging the gaps and thrive in this system in a complementary position with donations less promoted via the fiscal system and with civil organisations having a strong relationship with the state and the government. This can be linked to the Social democrat model of Buckland, Hehenberger, and Hay (2013), which encompasses the Nordic countries, with a small social sector largely reliant on voluntarism, and the majority of social welfare being provided for by the government leaving little room for a substantial non-profit sector. As such, the social sector is independent of government, largely focusing on the recreational activities of people, but is limited in scale and influence and has a small philanthropic base.

Whilst these models show parallels, some distinctions then emerge. In what MacDonald and de Borms (2008) identify as the Rhine model, which includes countries such as Belgium, Germany, and the Netherlands, the counterbalance to the state present in the Anglo-Saxon or Liberal model is less present, as organisations may receive contracts from the state, independent from the state but largely funded publicly. This relationship does not therefore especially encourage donations and gifts, and as such they have not been recognised until

recently as an important part of philanthropy, especially in terms of corporate foundations (MacDonald and de Borms 2008).

In the Latin or Mediterranean model, the role of the state is emphasised further still, but there is a strong division in terms of the work of the state and the work of the church, the latter traditionally being involved in works of charity, and the former in social services. Given the strength and prevalence of the state in this model, and the role the state has in its relationship with the market, these organisations have difficulty in terms of their independence as they are often controlled politically, whether that be via representation on boards or through legal mechanisms, and nor are donations or volunteering encouraged, as it is considered a threat in the job market. When such organisations move into what is viewed as political territory, politicians challenge the mandate of these organisations (MacDonald and de Borms 2008).

Rather than forming a Rhine and a Mediterranean model, Buckland, Hehenberger, and Hay (2013) split this into a Welfare partnership model, and a Development model. The former includes Germany, the Netherlands, Belgium, France, and Spain, the latter the Czech Republic, Poland, Slovakia, and Hungary. The former has a large social sector which is comprised of organisations providing a service and is dominated and subsidised by the government with philanthropy being weak in these countries. The Development model has a small social sector and is far more heavily reliant on philanthropy for its funding for whilst government spending on welfare is still relatively high, a legacy of Communism, there does not exist an especially close relationship between civil society and the government and little partnering between the different sectors for the provision of services. Non-profit organisations have, due to the years of suppression, had little voice of their own, but that situation has begun to change, and so whilst there is no tradition of philanthropy in these countries, it is emerging as an important source to nurture and finance organisations. In this sense, under these models, the Rhine and Mediterranean models are both included under the Welfare Partnership model, whilst the Development model is separate and different.

In summary, it can be seen that there are varieties of philanthropy in a similar way to there being varieties of capitalism. These different models dispel the notion that there is one



common goal or model within philanthropy (or arts philanthropy), just as there is no common model within capitalism.

#### **2.4 Looking further afield: global experiences, varieties of philanthropy, and varieties of arts philanthropy**

Once introduced, it can be seen that varieties of philanthropy supports understanding through cursory views of arts philanthropy across the world – suggesting even ‘varieties of arts philanthropy’. One of the criticisms of some of the ‘varieties of capitalism’ analysis is that it is also heavily focused on Europe and America (Peck and Theodore 2007). Placing Japan and Germany in the same categorisation, or looking to countries such as China and India, through this binary model is therefore limited (Peck and Theodore 2007). In Japan, for example, the experience of *méséna* can be drawn upon as an example of a philanthropic model which walks between the state and the private sector (Kawashima 2012). Through its policy of *méséna*, a term itself deriving from French, a country which places a large amount of dominance on the role of the state rather than the corporate world, Japan has developed a concept of corporate philanthropy and corporate citizenship in arts and culture which places itself somewhere between the corporate philanthropy of the USA and the welfare model mixed with arts sponsorship more common in Europe. Whilst in Europe public-private partnerships may be built up in the arts and culture, in this model the businesses actively initiate the relationships and have policies designed for this, giving the businesses concerned both a philanthropic and a commercial motivation, and as such, merging corporate philanthropy and arts sponsorship. This involvement is further emphasised by the direct provision of the arts and culture by the companies themselves, for example, in running venues which then bear the name of the organisation concerned.

Likewise, in India, philanthropy is growing with some potential, especially in areas such as development, despite the difficulties present in this area such as a not fully developed philanthropic system and a lack of interconnectedness and funding (Cantegreil, Chanana, and Kattumuri 2013). The origins of philanthropy in India can be seen in particular in religious organisations and cultures of giving (Singh 2002), but are now building on both family foundations and corporations interested in areas surrounding Corporate Social Responsibility

(Cantegreil, Chanana, and Kattumuri 2013). There is a growing art market in India with an Indian Art Fair having been held in New Delhi since 2009, and India's first art biennale held in Kochi from December 2012 to February 2013, the "Kochi Muziris Biennale" (UNESCO 2013: 70). With this powerful scene in contemporary art, the Federation of Indian Chambers of Commerce and Industry (FICCI) set up a Committee on Art and Business of Art which consisted of artists, gallery owners, auctioneers, art historians, tax experts and policymakers (UNESCO 2013: 70). It produced a report in 2011 on *Art Industry in India* which, working with the consulting company Deloitte and an Indian law firm which specialised in issues of public policy, looked at the legislation and taxation regimes for the visual arts and offered recommendations as to how these can be improved (UNESCO 2013: 70). A report was also released on this in 2010 offering policy recommendations (FICCI 2010) and then, in 2012, a study published on corporate support for the arts and culture and in particular the visual arts, *Art and Corporate India*, to make a case for greater business investment and support in this field (UNESCO 2013: 70).

Similarly, there is an increasing interest in philanthropy to cultural sector in Australia. Again, due to the cuts, and similar to the USA and UK, Australia is argued to be seeking to develop a uniquely Australian context whilst learning from the experiences of the USA and the UK. There have been several reports (Smith 2007; Mitchell 2011; Gillies and Minkiewicz 2013), principally looking at arts philanthropy in the context of foundations. The funding situation in Australia is perhaps more closely comparable within a European context to that of the situation of the United Kingdom, and yet the separation from the more direct forms of patronage within Europe also shows a resemblance with America. These reports show the practical potential of philanthropy in the arts and culture and offer new ways that they can be developed, in terms of the differing priorities of cultural organisations and the trusts and foundations, and of the need to work in a more systematic and collaborative way (Gillies and Minkiewicz 2013). The experiences gained from these Australian case studies offer interesting recommendations which could be adapted to the European context of arts philanthropy via private foundations.

What therefore emerges from the literature are commonalities and differences in philanthropic systems for arts funding – a 'varieties of arts philanthropy' conception which is

summarised in Table I. On the one hand, there are broad drivers and trends which can be seen across different examples in terms of the various reasons for giving to the arts and culture, but there are also differences based on culture or models of government or the economic development and history of a particular society or state as to how responses to such trends may materialise.

**Table I: Potential existing models of philanthropy**

Name	Region	Key Features	Characteristics of the philanthropy in these systems	Key actors
<b>Social democratic/ Scandinavian</b>	Norway, Denmark, Sweden	<ul style="list-style-type: none"> <li>• Strong role for the state</li> <li>• Strong emphasis on personal initiative</li> <li>• Small social sector reliant on voluntarism and independent of government with a largely recreational focus</li> <li>• Civil organisations bridge gaps and have a strong relationship with the state</li> </ul>	Strong welfare state counterbalanced by volunteerism with majority of welfare provided for by the government leaving little room for a substantial non-profit sector, Small philanthropic base	<ul style="list-style-type: none"> <li>• The State</li> <li>• Civil society organisations</li> </ul>
<b>Anglo-Saxon/ Liberal</b>	The United Kingdom, the USA	<ul style="list-style-type: none"> <li>• Civil society organisations such as foundations used for philanthropic purposes and seen as a counterbalance to the state</li> </ul>	Large social sector which receives government funding but is largely independent of government control, Strong tradition of philanthropy Legal and fiscal infrastructure which encourages philanthropy	<ul style="list-style-type: none"> <li>• Private Sector,</li> <li>• Corporation</li> <li>• Foundations</li> <li>• State at arm's length</li> </ul>
<b>Rhine</b>	Belgium, Germany, and the Netherlands	<ul style="list-style-type: none"> <li>• Counterbalance to the state less present, as organisations may receive contracts from the state</li> <li>• Independent from the state but largely funded publicly</li> </ul>	Relationship does not encourage donations and gifts, and recognised until recently as an important part of philanthropy, especially in terms of corporate foundations	<ul style="list-style-type: none"> <li>• The state</li> </ul>
<b>Mediterranean</b>	Southern Europe	<ul style="list-style-type: none"> <li>• Heavy emphasis on the role of the state, Strong division in role of the state and role of the Church which</li> </ul>	Donations and volunteering not encouraged, Mandate of charitable	<ul style="list-style-type: none"> <li>• The state</li> <li>• The Church</li> </ul>

		traditionally provided charity whilst the state provided social services	organisations challenged when seen to be in political territory	
		<ul style="list-style-type: none"> <li>Charitable and philanthropic organisations have difficulty in their independence as they are often controlled politically</li> </ul>		
<b>Welfare Partnership</b>	Belgium, the Netherlands, France, and Spain	<ul style="list-style-type: none"> <li>Large social sector comprised of organisations providing a service</li> <li>Dominated and subsidised by the government</li> </ul>	Philanthropy weak	<ul style="list-style-type: none"> <li>The state</li> </ul>
<b>Development</b>	Eastern Europe, for example, the Czech Republic, Poland, Slovakia, and Hungary	<ul style="list-style-type: none"> <li>Small social sector</li> <li>Government spending on welfare relatively high, Relationship between civil society and the government not close</li> <li>Little partnership between sectors for the provision of services</li> </ul>	Social sector heavily reliant on philanthropy, Non-profit organisations have had little voice but that is beginning to change, No tradition of philanthropy but an emerging and important source	<ul style="list-style-type: none"> <li>The state</li> <li>Non-profit organisations beginning to emerge</li> </ul>
<b>Asian</b>	Japan, South Korea, Taiwan	<ul style="list-style-type: none"> <li>Dependent on the business strategies of large corporations in collaboration with the state and a centralised financial system</li> <li>Investment of workers are protected</li> <li>Lack of social protection and sophisticated financial markets make the diversification of risk difficult</li> <li>Heavy emphasis on the stability of large corporations</li> </ul>	Can be broken down further, distinguishing between Japan, South Korea, and Taiwan	<ul style="list-style-type: none"> <li>Large corporations</li> <li>The state</li> <li>Centralised financial markets</li> </ul>

Table developed for this thesis based on Hall and Soskice (2001a); MacDonald and de Borms (2008); Buckland, Hehenberger, and Hay (2013); and Amable (2003).

## **2.5 Philanthropy and how the cultural sector is funded: The components of patronage**

Within the institutional varieties summarised in Table I above sit the specific building blocks of arts funding and philanthropy. It is to these the chapter now turns before finalising its concept of ‘varieties of arts philanthropy’. Combining these building blocks (components) with the earlier insights from the varieties of capitalism literature allows the chapter to end with a presentation of an initial framework for varieties of philanthropy and, ultimately, develop ‘a framework for varieties of arts philanthropy’.

This section reviews the present landscape of arts funding, the place of philanthropy within it, and the motivations for philanthropic organisations to engage in funding. This does not simply include a straight private-public split, but rather the distinction between individual philanthropy, foundations, and corporate funding channels and mechanisms, which all in turn have different motivations. These funding streams are outlined in Figure I, and then explored in more detail in Appendix VIII.

Characteristics and motivations of funding regimes and landscapes are related to the relationship between the private and the public sector, and the broader institutional, social, cultural, and historical context. For example, there are a variety of ways in which the state can be involved in arts funding. This can range from involving a direct and top-down approach as in France, to a more indirect approach as in the UK and the USA. Likewise, the motivations for state funding can vary, from the pursuit of artistic excellence, the preservation of national heritage, the provision of social welfare, the use of culture in urban regeneration, and using the arts and culture as a driver for economic growth including through areas such as tourism and gentrification.

Likewise, the key organisations of philanthropic foundations fit into funding models in a variety of different ways. In some contexts they are corporate foundations, in others they function due to historic or family legacies, as well as being linked with the aristocracy. Some are private, whilst in other European contexts some effectively act as arms of the state. There is also a growing recognition that what is now termed social enterprise can play a role in dealing with societal challenges and with the majority of their revenue coming from the public

sector, despite few European countries having a policy framework to develop this (Wilkinson et al 2014).

Figure I: Funding streams available to the cultural sector

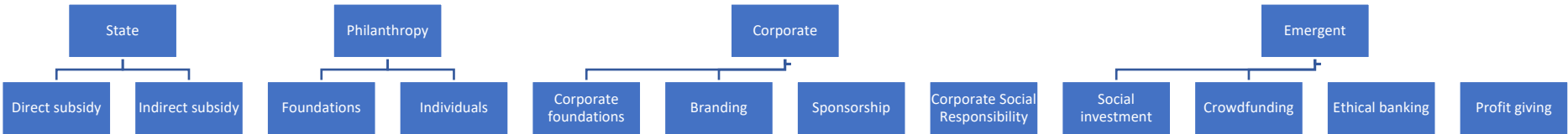


Diagram developed for this thesis.



### **2.5.1 Potential forms of arts philanthropy**

When considering philanthropy in the cultural sector, it is important to view this from the perspective of different cultural traditions and histories of arts funding, and different landscapes and institutional environments. It is also necessary to outline what is understood and meant by arts philanthropy within such contexts.

Whilst it is important to understand the different funding streams available to the cultural sector (Figure I), the principle focus of the following section is on the potential funding streams available through philanthropic means (Table II). Included are traditional forms of philanthropy, focusing on foundations and individual philanthropy, as well as other forms of private giving which are not traditionally considered a part of philanthropy but may have potential to be developed within the philanthropic sector. These include corporate philanthropy, related to business giving in the arts and culture, and social investment. These are not fully philanthropic as they provide 'returns' for the organisation giving (or 'investing') but nonetheless are being developed by more traditional philanthropic organisations. These are outlined in Table II.

**Table II: Potential forms of philanthropy for the cultural sector**

Forms of arts philanthropy	Key characteristics
Foundations	Traditional philanthropy often funding particular causes. Often funded by large private donors or family donors and businesses. Can also involve corporate foundations and community foundations.
Individual philanthropy	Large or small donations which may be one-off donations or given on a regular basis. May be related to membership schemes, tax incentives, trustee giving, or personal taste. Growing interest in values-based philanthropy.
Corporate philanthropy	May be motivated by corporate social responsibility, branding, or sponsorship. The business models of corporate philanthropy vary according to institutional environments, and the extent to which they are related to foundations and the state.
Alternative financing	Not traditional philanthropy but may be driven by returns with both a social and business orientation to investment, for example through social investment or ethical lending by institutions. In some countries, individuals may also be involved in such financing through specialist banks and intermediaries and may be encouraged to do so through tax relief schemes. <sup>2</sup>

Table developed for this thesis (Leat 2008; Schuyt 2010; European Foundation Centre 2015; Council on Foundations, European Foundation Centre, and WINGS 2012; Goodey and Hall 2007; Pharoah, Goddard, and Jenkins 2015a; Pharoah, Jenkins, and Goddard 2015b; Pharoah et al 2012; Gaio 2009; Pharoah and Harrow 2009; Mermiri 2010; Wu 2002; Phillips 2012; Breeze 2010; Bagwell et al 2013; Kail, Simmons, and Bagwell 2015; Harvey, Maclean, Gordon, and Shaw 2011; Schanke 2007; Mirikitani 1999; Leclair and Gordon 2000; Frank and Geppert 2002; Kirchberg 2003; Moir and Taffler 2004; Thomas and Nuttall 2009; Schiuma 2011; Daellenbach 2012; Walker et al 2012; Daellenbach, Thirkell, and Zander 2013; Fisher and Preece 2003; Comunian 2009; Turnbull 2008; Jeffery and Jenkins 2013; Rotheroe et al 2013; European Foundation Centre 2014; Rotheroe and Joy 2014; Harrison-Evans 2015; Jenkins and Rogers 2015; OECD/European Union 2013; European Commission 2011; Martin 2008; European Commission 2011; European Commission 2014; John 2006; European Venture Philanthropy Association 2014; Martin 2008; Grossman, Appleby, and Reimers 2013; Buckland, Hehenberger, and Hay 2013; Gillies and Minkiewicz 2013).

<sup>2</sup> See social investment tax relief [SITR] (Cabinet Office, HM Revenues & Customs, and HM Treasury 2016).

### **2.5.2 Foundations as a form of philanthropy**

One of the most prevalent sources of funding for cultural organisations, both historically and in a contemporary setting, can be found through foundations. Historically, in certain European countries, foundations have played a major role in providing welfare services. In others, given the reductions in funding for the welfare state, foundations have found themselves facing pressure to substitute for services provided by the state and finding this an increasingly difficult issue, including for example their relationship with statutory funding (Leat 2008). This includes taking on roles that may not be their principle priorities or focus and which may affect their independence (Leat 2008). These private grant-making foundations are increasingly acknowledged as having a role in social provision (Schuyt 2010).

Foundations can take on a number of forms. The European Foundation Centre (2015) found that across Europe the assets of a foundation should be focused on a specific purpose. For many, that means that under law the foundations must solely pursue public-benefit purposes, whilst in others private purposes can also be pursued which may include benefits for the relatives of the foundation's founder or for the education of the children of the founder through trusts (European Foundation Centre 2015). Further, foundations are often, despite often lacking funding, seen principally as donors, whilst seeing themselves on the other hand as partners (Council on Foundations, European Foundation Centre, and WINGS 2012). Foundations can see their involvement, when funding a project, as collaborating on a common mission, providing funding in return for involvement (Council on Foundations, European Foundation Centre, and WINGS 2012).

Foundations also have different forms in terms of how they are defined. Foundations and trusts are terms which are used interchangeably (Goodey and Hall 2007), and whilst all have the same legal structure in the UK it can be helpful to define them further (Pharoah, Goddard, and Jenkins 2015a; Pharoah, Jenkins, and Goddard 2015b). They are commonly divided into family foundations, corporate foundations, and community foundations (Pharoah, Goddard, and Jenkins 2015a), with further separations including member, church, trade, and fundraising foundations; foundations with multiple private and public funds; operating charities which

make grants; publicly-funded charitable grant-making foundations; and single foundations (Pharoah, Jenkins, and Goddard 2015b).

Creative Partnerships Australia (n.d.) divides the types of foundations into royal foundations, family foundations, corporate foundations, government-initiated foundations, private foundations, and trustee companies. As such, there are different definitions for how foundations can be split up. This emphasises the comment that there is no strict definition for these bodies and reflects a diversity of origins, orientations, and 'funding of arts' processes. Table II focuses on the most commonly used categories; family foundations, corporate foundations, and community foundations. As such, there is not necessarily consistency, with Mirikitani (1999) observing how when discussing foundations they can rarely behave as a single or coherent community at all, with creative philanthropic investors having an understanding that the line between culture and commerce is blurred and that utilising ideas can be a way of solving problems.

Recent reports show that foundations continue to be an important model, and continue to be heavily relied upon, whilst the value of the assets of foundations have continued to rise over the past few years (Pharoah, Goddard, and Jenkins 2014a; Pharoah, Jenkins, and Goddard 2014b; Pharoah, Goddard, and Jenkins 2015a; Pharoah, Jenkins, and Goddard 2015b). Family foundations are perhaps the most significant, and still have family members sitting on their boards and acting as trustees (Pharoah, Goddard, and Jenkins 2014a). Indeed, of total private giving in the UK, the vast majority of which comes from individual giving at 65.9% followed by legacies at 11.4%, the principle foundation support comes from family foundations at 7.4%, clearly ahead of the other top 300 foundations at 5.8% together (Pharoah, Goddard, and Jenkins 2014a). The income of these foundations comes from two principle sources, investments and endowments, and voluntary private donations and legacies on the other (Pharoah, Goddard, and Jenkins 2014a; Pharoah, Jenkins, and Goddard 2014b; Pharoah, Goddard, and Jenkins 2015a; Pharoah, Jenkins, and Goddard 2015b). There is also an increased interest in social investment in foundations, an area which will be further developed in section 2.6.4

The arts and culture are a particular focus of priority for family foundations in the UK (Pharoah et al 2012). Spending on the arts and culture from family foundations in the UK is some 18% of total spending, compared to between 6% and 13% of spending from American family foundations going towards the arts and culture, with the arts and culture having a lower priority in general amongst American foundations (Pharoah et al 2012). Indeed, family foundations may be more concerned with the arts and culture than foundations in general, as in 2010/11 UK family foundations gave approximately £133million to the arts and culture, amounting to 78% of all support to the arts and culture from all foundations (Pharoah et al 2012).

### **2.5.3 Individual philanthropy**

There is also philanthropic funding of the arts and culture from individuals. This can take on a number of forms, including on a low to medium level membership or friend's schemes, and tax incentives such as Gift Aid in the UK (Gaio 2009). There are other possible forms of individual giving, including the importance of charitable legacies (Pharoah and Harrow 2009) which are undercapitalised in the arts and culture (Mermiri 2010). In addition, there is an important role played by trustees and board members in arts philanthropy, as they are often expected to contribute (Wu 2002; Phillips 2012). Despite the fact that giving to the arts and culture is rising, the majority of philanthropic activity is not arts-focused, and more people attend arts events than give to them (Mermiri 2010). This does nonetheless show that this is an area with potential (Mermiri 2010).

In order to understand individual arts philanthropy, it is necessary to understand why individuals give to the arts and culture. There have been a number of reports on donor motivation (Gaio 2009; Breeze 2010; Phillips 2012; Bagwell et al 2013). Of importance here is the individual tastes of the donor which are in turn based on their social experiences (Breeze 2010). Related to this is the particular background of a donor which can influence their philanthropic choices (Breeze 2010). Another element of importance is the competence of the charity concerned in terms of how they use the money they receive from donors (Breeze 2010). There is also the wish of the donors in question to have an impact on a personal level,

with their particular donation making a difference rather than simply being one of many donations obtained from a variety of different sources (Breeze 2010).

There is also an increasing awareness (Kail, Simmons, and Bagwell 2015) of the importance within individual philanthropy of emphasising the outcomes of donations. Just as in social investment, where there are outcomes expected, this is also true of individual giving. These can include intrinsic outcomes to those who value the arts and culture for their own sake, education outcomes from the arts and culture in terms of the role the arts and culture can include in benefiting people through education, economic outcomes to the arts and culture in terms of the value the arts and culture have in terms of jobs and the economy, and social outcomes of the arts and culture in terms of the impact the arts and culture can have on communities and citizenship (Kail, Simmons, and Bagwell 2015). In this sense, there is a push from cultural organisations to encourage individual arts philanthropy not simply through the more traditional means such as legacies and membership schemes, but also in terms of the strategic impact which philanthropy can make (Kail, Simmons, and Bagwell 2015). Kail, Simmons, and Bagwell (2015: 4) observe, “Philanthropists have the chance to influence the future direction of the arts sector”. Arts philanthropists are increasingly not simply content to ‘give the money’ but seek an active involvement and relationship with the organisation, and this can be seen as a positive thing (Phillips 2012). This is an area with potential, given that there is an interest from the more affluent area of the market in both the value of the arts and culture in terms of creativity and entertainment, and also in social potential (Mermiri 2010). There is a real sense that philanthropists are being encouraged not simply to give but ask what they are wanting to gain by giving, seeing it as a form of investment (Kail, Simmons, and Bagwell 2015).

This relates to what Harvey, Maclean, Gordon, and Shaw (2011), using the example of Andrew Carnegie, term a model of entrepreneurial philanthropy in terms of how cultural, social, and symbolic capital can be gained from investing in philanthropic projects, which can then go on to result in economic capital. These entrepreneurial philanthropists, as Harvey et al (2011) term them, are actively investing with the intention that there will be social rewards or return of some sort (Harvey et al 2011). In this way, engaging in philanthropy creates a personal return for the philanthropist, increasing their social and symbolic capital (Harvey et al 2011).

There is a tendency for philanthropists to support high-quality arts (Kail, Simmons, and Bagwell 2015), and this relates to ideas put forward by Bourdieu (1984; 1993) surrounding how engagement in cultural activities is a form of social class distinction, raising the cultural capital of the philanthropist concerned. This can be seen in section 2.3.1 when describing how, in the American context, engaging in philanthropy to the arts and culture was seen as a way of moving into the upper class (Schanke 2007).

#### **2.5.4 Corporate funding of the cultural sector**

Another increasing area of funding support for cultural organisations can be found from corporate streams as businesses seek to utilise the arts and culture for sponsorship, or in order to fulfil their corporate social responsibility requirements. Corporate involvement and sponsorship of the arts and culture is not a new area; there have been a number of studies looking at this and the motivations for this as well as the forms it can take (Mirikitani 1999; Leclair and Gordon 2000; Frank and Geppert 2002; Kirchberg 2003; Moir and Taffler 2004; Thomas and Nuttall 2009; Schiuma 2011; Daellenbach 2012; Walker et al 2012; Daellenbach, Thirkell, and Zander 2013).

There is likewise the issue of motivation for business sponsorship of the arts and culture. Leclair and Gordon (2000) note the difference of giving to the arts and culture with giving to other forms of charity or social cause, with arts philanthropy being associated with sponsorship and firm promotion, whilst giving to other causes may have alternative motivations and objectives. This is addressed by Frank and Geppert (2002) in looking at whether corporate donations to the arts and culture can be considered as philanthropy or marketing and assessing that both advertising and more altruistic motivations factor in to the decision of a corporation to provide sponsorship. In turn, such decision-making sits within different cultures of corporate giving, as they show for the examples of Hamburg and Berlin.

The motives for philanthropy can be divided into the neoclassical or corporate philanthropy model, the ethical or altruistic model, the political model, and the stakeholder model (Fisher and Preece 2003; Moir and Taffler 2004). According to this division, the neoclassical or corporate philanthropy model is motivated purely by the profitability of the venture whilst

the ethical or altruistic model is motivated via a form of social contract (Fisher and Preece 2003; Moir and Taffler 2004). This neoclassical motivation could take the form, for example, of strong box office sales for performing arts companies attracting business support as a sign that the cultural organisation in question is valued by its audience and thus of value for a business to support, whilst altruistic motivations would not necessarily follow this logic, and may indeed take the opposite approach as they help organisations in need (Fisher and Preece 2003). The political model aims at advancing the long-term interests of the company through preserving their corporate power or legitimising their economic power, building goodwill with the government to create a positive environment for the business, and the stakeholder model allows that the company may be seeking both business and society interests as there are multiple stakeholders involved (Fisher and Preece 2003; Moir and Taffler 2004). The political model could in this sense be viewed as the responsibility being shifted from government support to corporate support as the former is reduced but can also be associated with publicising and marketing the business as being socially responsible and virtuous (Fisher and Preece 2003). Fisher and Preece (2003) suggest, using the example of Canada, that businesses support the arts and culture more when the support from other sources such as the government, sales, or individual philanthropy is lower, suggesting an altruistic element. There is also the suggestion that benefits to the public image of a business – the political motivation – is more of a driver for business giving than the benefits that the business may get as a source of direct sales for the business (Fisher and Preece 2003). This relationship between the arts and culture and business can be seen as the exchange of capital, from financial to symbolic, as a business improves their image (Bourdieu and Haacke 1995).

Comunian (2009) frames these benefits in terms of four segments, based around short-term financial support and long-term investment on one scale, and external focus such as image and brand versus internal focus such as Corporate Social Responsibility and Cultural Production on another scale. Those strategies for investment could fall into the segments of short-term financial support for the arts and culture which has an external focus, such as sponsorship, and short-term support with an internal focus including arts-based training, and long-term investment with an internal focus including corporate art collections, and long-term investments with an external focus including cultural partnerships and corporate art awards (Comunian 2009). This, however, differs from the altruistic motives mentioned by Frank and



Geppert (2002), and points again to a difference in arts sponsorship and arts philanthropy, important as these terms can be interchangeably used. This emphasises the importance of understanding context in terms of subsidies, but also of the differences between giving to the arts and culture and funding other forms of charity or private activity.

The arts and culture are deemed to have some other value which is more difficult to quantify in purely economic terms (Klamer 1996). Further, with different motivations, there has to be an awareness of what is expected from the philanthropic activity. Schanke (2007) gives the example of one donor to a theatre company then coming to a rehearsal and sending notes back to the director, and how when Daniel Sullivan was artistic director of the Seattle Repertory Theatre he resisted philanthropy from foundations and corporations precisely because he was uneasy about their motivations and how much control and influence they would then expect. This is relevant when one considers how best to encourage philanthropy to cultural organisations, as techniques relevant for other areas may not be directly applicable.

This also emphasises some of the more problematic aspects to philanthropy. There has been concern expressed at the relationship that cultural organisations have with the corporate world, with the prominent example of the sponsorship of the Tate by BP, with protests over the ethical dimensions of an oil company sponsoring a cultural organisation (Khomami 2014). Other examples include the Royal Opera House, the British Museum, the National Portrait Gallery, and the Royal Shakespeare Company (Khomami 2014). Others have emphasised the importance of a mixed model of funding, including philanthropists themselves who do not think that alone they can replace public funding and nor do they see that as their role (Higgins 2014); it has been emphasised that philanthropy alone cannot replace public funding (BBC News 2016c). Foundations, for example, have longstanding concerns about replacing public funding and substituting the state tied in with questions as to how this relates to their statutory funding and their political neutrality (Leat 2008). Others still have argued that given the pressing concerns around the world surrounding issues such as poverty and climate change, and the limited resources available to philanthropy – an issue not just limited to public funding – that philanthropy should not focus on arts philanthropy and should instead prioritise other areas (Ogden 2015).

There are also issues to be taken into account concerning the imbalance in private philanthropy regarding the artform being funded, and regarding regional imbalances. There is evidence that philanthropists have predispositions towards funding the ‘high-quality’ and ‘high arts’ such as ballet, opera, classical music, and visual arts, but rarely more controversial or alternative artforms (Kail, Simmons, and Bagwell 2015). This can also be seen when there is a political or ideological dimension, with funding preferred for areas surrounding national heritage rather than alternative artforms (Lindsköld 2012). Likewise, different forms of philanthropy focus on different artforms (Arts Council England and MTM 2016). This is developed further according to each country in Chapter Four. This in part relates to what return the philanthropist or corporation gets back from funding a particular artform, with these artforms having a better return whether that be, for example, in financial or marketing value. As discussed in relation to individual philanthropy in section 2.5.3, it also represents a class dimension (Bourdieu 1984; Bourdieu 1993; Bourdieu and Haacke 1995; Harvey et al 2011; Kail, Simmons, and Bagwell 2015). As with individuals, corporations engaging in the support of cultural activities raise their cultural capital and distinguish themselves according to class (Bourdieu 1984; 1993; Harvey et al 2011). There is, therefore, a symbolic relationship between business and the cultural organisations and activities being funded, as businesses seek to improve their image and raise their status (Bourdieu and Haacke 1995). There are also issues surrounding perception, for example, regarding limited private giving towards those organisations which are nationally subsidised (Ministerie van Onderwijs, Cultuur en Wetenschap 2016).

Further, there are also regional imbalances, also discussed in more detail throughout Chapter Four, with a heavy focus on cities – especially the capital city – and away from smaller towns and rural areas (Arts Council England and MTM 2016). Corporate support tends to gravitate away from smaller organisations or regions and towards the larger cities such as London (Phillips 2012). Similarly, different forms of private giving are more prevalent in different areas, with areas where philanthropy is less prevalent gaining more private giving via foundations rather than individual philanthropy or business giving. Overall, despite the historic push from governments such as in the UK and the USA to encourage corporate sponsorship of the arts and culture (section 2.2.3), there has been limited success as to the amount of sponsorship actually obtained by cultural organisations (Wu 2002; Turnbull 2008).

### 2.5.5 Social enterprise and investment

There is also an increasing interest from foundations in social investment as a potential route of collaboration (Jeffery and Jenkins 2013; Rotheroe et al 2013; European Foundation Centre 2014; Rotheroe and Joy 2014; Harrison-Evans 2015; Jenkins and Rogers 2015). Social investment is defined by Rotheroe et al (2013: 2) as “the provision of repayable finance to charities and other social enterprises with the aim of creating social impact, and sometimes generating a financial return”, and by Harrison-Evans (2015: 2) as “the use of repayable finance to achieve a social as well as a financial return”. Likewise, social enterprise is identified by the European Commission as operating in the social economy and seeking to have a social impact rather than working towards making a profit, providing goods and services in the market using entrepreneurship and innovation whilst using its profit for social objectives (OECD/European Union 2013; European Commission 2011).

Social investment is playing an increasingly important part, for foundations and in wider financing. In the UK, for example, charitable foundations provided approximately £100 million of risk capital and of this approximately half has been committed to a deal already (Jeffery and Jenkins 2013). Of this figure, almost 90% of social investment coming from foundations has come from ten foundations alone, with their endowments amounting to more than £100 million, whilst a more usual social investment from a foundation is closer to a loan of £100,000 for approximately five years, also often having some sort of financial return based on the project that is being supported being successful (Jeffery and Jenkins 2013). One particular element of importance of foundations in social investment is that they can have a key role in investment in organisations focused on social causes at points when those organisations may be finding it difficult to obtain funding from commercial sources (Jeffery and Jenkins 2013).

The report of the OECD/European Union (2013) divides social investment motivations within philanthropy into solidarity finance, venture philanthropy, institutional investors, individual investors, quasi-equity and equity instruments, ethical or social markets, and crowdfunding<sup>3</sup>. Harrison-Evans (2015), meanwhile, divides these up as secured loans, unsecured loans, charity

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<sup>3</sup> For further details of these, see the ‘Emerging models’ section of Appendix VIII.

bonds, and equity. Just as funding from foundations crosses with corporate funding and funding from the state, and the state can cross with corporate funding and individual philanthropy via government incentives, so also social enterprise involved elements of individual philanthropy and elements of business.

There is also the issue that most cultural organisations are not in tune with the new culture of philanthropy and still see their role as producing social benefits, rather than providing a link with the philanthropic organisation, individual, or business in question. These developments are not only not yet fully appreciated by the cultural sector, but the philanthropic sector likewise will have to adjust. Schuyt (2001) sees this as a paradigm shift as the responsibilities of the citizen with regards to the state are redefined and identifies the philanthropy model as being one of the models of the welfare state as citizens, foundations, and businesses are expected to take on social obligations.

Initiatives such as venture philanthropy and innovation in finance are growing in Europe (Martin 2008), and this can be seen through the development of projects such as the Social Business Initiative (European Commission 2011), which has aimed to achieve a social impact rather than generate profit for owners and shareholders, sought to use its surpluses to achieve social goals, and is managed by social entrepreneurs (European Commission 2014). There is, as such, recognition in Europe that the division does not have to be between pure philanthropy and pure commercial sponsorship, and that there are new alternatives emerging. This can involve co-operatives, mutuals, associations, and foundations, and can include solidarity finance, venture philanthropy, institutional investors, individual investors, social capital market, and crowdfunding (OECD/European Union 2013). These emerging ideas could provide further opportunities for cultural organisations seeking private financing.

One element of this is venture philanthropy. Whilst there is no one definition of venture philanthropy, John (2006: 7) defines venture philanthropy as “the relatively high level of engagement of the funder in the organisation being supported, over an extended time period, injecting skills or services in addition to finance” and that for this reason the term “engaged philanthropy” (John 2006: 7) is preferred by some venture philanthropy funds. John (2006) comments that there are also terms such as strategic philanthropy, high-engagement

philanthropy, effective philanthropy, and philanthropic investment used on an almost interchangeable basis.

The European Venture Philanthropy Association (EVPA) (n.d.; 2017) identify the three core practices of venture philanthropy as being tailored financing, organisational support, and impact measurement and management. Tailored financing refers to the process by which the most suitable financial instrument or instruments may be found by an organisation engaged in venture philanthropy so as to support a social purpose organisation (European Venture Philanthropy Association n.d.; European Venture Philanthropy Association 2017). Organisational support refers to the added value support services which are used to strengthen the organisational resilience of the social purpose organisation (European Venture Philanthropy Association n.d.; European Venture Philanthropy Association 2017). A social purpose organisation refers to an organisation such as a charity, non-profit organisation, or social enterprise which seeks to achieve social and environmental impact as its primary aim (European Venture Philanthropy Association 2017). Impact measurement refers to the way in which an organisation can identify what works and what does not work so that impact can be managed better (European Venture Philanthropy Association n.d.; European Venture Philanthropy Association 2017). This is so as to generate social impact on a high-engagement and long-term basis (European Venture Philanthropy Association n.d.; European Venture Philanthropy Association 2017).

Hehenberger, Boiardi, and Gianoncelli (2014: 5) define venture philanthropy as working “to build stronger investee organisations with a societal purpose (SPOs) by providing them with both financial and non-financial support in order to increase their societal impact. The venture philanthropy approach includes the use of the entire spectrum of financing instruments (grants, equity, debt, etc.), and pays particular attention to the ultimate objective of achieving societal impact.” Boiardi and Gianoncelli (2016) likewise agree with this definition. Hehenberger, Boiardi, and Gianoncelli (2014) identify the key features of venture philanthropy as being high engagement between management and venture philanthropists; organisational capacity building which builds the capacity of portfolio organisations through the funding of core operating costs as opposed to individual projects; tailored financing which focuses on the needs of the organisation; non-financial support such as value-added services such as strategic

planning; the involvement of networks that provide skill-sets and resources; multi-year support; and impact measurement. These are not dissimilar to those put forward by Martin (2008), or to Grossman, Appleby, and Reimers (2013), who identify eight core elements within venture philanthropy<sup>4</sup>.

Buckland, Hehenberger, and Hay (2013) observe that, in Europe, philanthropy makes up only 0.1 – 1% of the GDP, depending on the country, compared to 2% of GDP in the USA. Of that, venture philanthropy is only a small component of overall European philanthropy at only €278 million of annual expenditure (Buckland, Hehenberger, and Hay 2013). This was from 61 venture philanthropy respondents compared to €46 billion from 60,000 foundations (Buckland, Hehenberger, and Hay 2013). The UK is identified as being at the forefront of venture philanthropy in Europe, but it can be seen to be beginning to emerge across Europe, in different ways according to the different countries (Buckland, Hehenberger, and Hay 2013). In Europe, however, venture philanthropy began in the finance sector rather than the technology sector as in the USA, so has some different features to those in the USA (Buckland, Hehenberger, and Hay 2013). These features include the creation of some venture philanthropy organisations which were part social investment fund, and part grant making institution (Buckland, Hehenberger, and Hay 2013). Further, whilst in the USA venture philanthropy is sat in opposition to more traditional philanthropy, in Europe charitable

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<sup>4</sup> The eight core elements of venture philanthropy, according to Grossman, Appleby, and Reimers (2013: 2-3) are in funding terms:

1. Grants which support growth in addition to supporting core operations such as capacity building and improving the effectiveness of an organisation and its ability to scale.
2. A long-term commitment to grant length and larger than average sizes of grant compared with those given by traditional philanthropists.
3. The importance of having measurable results and ensuring that organisations which are funded maintain or achieve the outcomes which had been agreed upon, for example, through releasing the funds in stages over the duration of the grant which had been agreed.

During the selection process:

4. A process of reviewing, assessing, and understanding the potential grantees.
5. Assessing the scale of the impact which will be achieved – for example, the size of the potential impact of the organisation or the impact that will be achieved in relation to the societal problem which is being looked at and the size and scope of that problem – and using this as a criterion for investment.

During the investment period:

6. An approach focused on what else is included in addition to the funding and which may vary or be adapted throughout the period of investment.
7. Support from the management as building the right leadership team is crucial for the best implementation of a plan.
8. Venture philanthropy seeks from the beginning of the process of investment to form a way to the sustainability of the organisation and to establish a strategic path to leaving an investment which is sustainable.

foundations have begun to show interest as they look for new ways to improve and align their investments with their cause (Buckland, Hehenberger, and Hay 2013).

There is therefore potential for cultural organisations to expand into this area, and for venture philanthropists to engage with the arts and culture. Indeed, there is already some recognition of this, Gillies and Minkiewicz (2013) identifying catalytic philanthropy<sup>5</sup> as a potential alternative to more traditional methods of philanthropy and fundraising within the arts and culture, which involves building relationships across sectors and seeks measurable impact. The emphasis is as much on the funder as the cultural organisations when considering success. This will require the cultural organisations to understand the different motivations not simply for those engaging with the arts and culture, but for those engaging in the field of venture philanthropy.

## **2.6 Potential for cultural organisations**

Based on the philanthropic models represented, there is potential for cultural organisations to develop their business models to seek a wider and more diverse mixture of funding streams, including in philanthropy. Such developments do, however, sit within the context of understanding how this might vary according to the environment and the structures and relations of the key institutions and actors in that environment. The two principle areas of philanthropy in arts funding, as opposed to sponsorship, can be broken down into foundation support and individual support. These can then be broken down further into different types of philanthropic foundations. Further, individual philanthropy can then be broken down into one-off donations, regular giving, legacies, major donations, workplace giving, and giving from the trustees of cultural organisations. What the aforementioned literature suggests is that the key areas for further consideration in arts philanthropy are around family foundations, social investment, and building more involvement amongst individual philanthropists.

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<sup>5</sup> Gillies and Minkiewicz (2013: 72) define catalytic philanthropy as one which asks the question “How can I catalyze a campaign that achieves measurable impact?” Unlike conventional philanthropy to the arts and culture, it focuses on multi-sector campaigns rather than funding individual cultural organisations, and the funder rather than the cultural organisation being funded is responsible for its success (Gillies and Minkiewicz 2013). In this sense, it is not about which organisations should be supported, how they should receive, or whether they can be scaled up (Gillies and Minkiewicz). Rather, it is about how a campaign can be supported, motivated, and catalysed (Gillies and Minkiewicz 2013).

There are, as mentioned with philanthropy more generally, no clear-cut divisions between these different areas. Crossover can be seen between these different forms of giving in that just as foundations can effectively operate less as philanthropic organisations and more as arms of the state, so also they can be motivated by return as well as philanthropy. In this area there may be a place for social investment. Likewise, when discussing individual philanthropy, donations whether on a large or a small scale will also fit as regular or one-off donations.

## **2.7 Arts philanthropy as an area of research**

Where this leaves the subject of arts philanthropy is with great potential as a source of revenue for cultural organisations which has begun to be acknowledged, but only tentatively explored. As has been seen, there are different traditions of philanthropy, and different traditions of support and funding models for the arts and culture. These are related to differences in cultures and history and forms of governance, a subject addressed by Lew and Wójcik (2009) as they assess how, in reference to the USA, the UK, Germany, and Japan, socio-cultural differences are better indicators than purely economic at foundation giving. For example, those models described as Anglo-Saxon or Liberal, in particular in the USA and the UK, build on a strong philanthropic tradition, whilst those in Northern Europe have a strong tradition of state intervention. Countries such as France build on a tradition of national heritage and countries such as India have developed a tradition of traditional patronage which is beginning to move towards corporate involvement. Japan has its own traditions of heavy corporate involvement which walks between the state and the private sector and Australia has developed a tradition based on the Anglo-Saxon model but which has adapted to its own circumstances.

Despite renewed policy interest, especially in countries such as the UK and Australia as cultural organisations seek new methods of fundraising and building relationships (Mermiri 2010; Gaio 2009; Phillips 2012; 2010 Smith 2007; Mitchell 2011; Gillies and Minkiewicz 2013), academic scholarship on the subject of arts philanthropy remains limited (Schuyt 2010). This makes it an important and worthwhile area of research. Further, given that much literature related to private arts funding is associated with arts sponsorship, and the literature available on



philanthropy is not specific to the arts and culture, focusing in on arts philanthropy has a pressing need. The move away from a welfare-based model in Western societies has placed an increased burden and potential on philanthropic organisations, in particular foundations, and there exists the potential for existing funding models and emerging ideas surrounding venture philanthropy to be applied to the arts and culture.

## **2.8 A framework for varieties of philanthropy**

From the literature review an initial framework can be developed which illustrates the key components which might comprise the initial conception of ‘varieties of arts philanthropy’ for investigation – understanding different systems of arts philanthropy through institutions, forms, and actors. In essence, taking cultural organisations as placed at the centre of an institutional model and sitting within a philanthropy variety reflecting the broader political economy of the nation, region, or locality. From this perspective, the question of the potential of arts philanthropy as a funding model in the context of public funding reductions to the cultural sector will be seen to be bound by the environment in which the arts and culture find themselves in, both in terms of the potential of philanthropy, and also the forms that philanthropy will take. Hall and Soskice (2001a; 2001b) outline a number of components which are relevant to firms in the varieties of capitalism – as examined in section 2.3 – these being the role of institutions and organisations; the role of culture, informal rules, and history; institutional infrastructure and corporate strategy; and institutional complementarities. These components can be seen to have similar relevance when specifically investigating arts philanthropy in this context. Vocational training and education and inter-firm relations in the context of relationships between different organisations in the philanthropic landscape are particularly relevant. Further, whilst employee relationships are more relevant to firms than philanthropy, the importance of people and the personal relationships developed, whether from foundations or individual philanthropists, is relevant.

Linking the frameworks of the varieties of capitalism thesis to systems of philanthropy and arts funding, an initial framework for arts philanthropy can be proposed (see Figure II). This framework is comprised of an outer core with two key concepts (‘Culture and society’ and ‘Forms of governance’), and an inner core with five spheres (‘Types of philanthropy’, ‘Cultures

of giving', 'Policy', 'Welfare models', and 'State levels'). 'Culture and society', represented in Figure II through the different shades of orange, addresses the different types of philanthropy which are present in different national environments according to the cultural and institutional context, including historical 'cultures of giving'. Forms of governance, represented in Figure II through the different shades of blue, addresses the varying 'welfare models' present in different national environments, the relationship between the state and the private sector – and in this instance, the cultural sector – and the degree to which this is complimentary or competitive, the different levels and distance of the state – the 'state levels' – and of how the sub-national, national, and transnational can be seen through the theory to be flowing through scale, and the policy framework and extent to which philanthropy is encouraged, as well as how it is viewed.

It is this framework which will guide the subsequent investigation of arts philanthropy in Europe.

Figure II: Framework for varieties of philanthropy

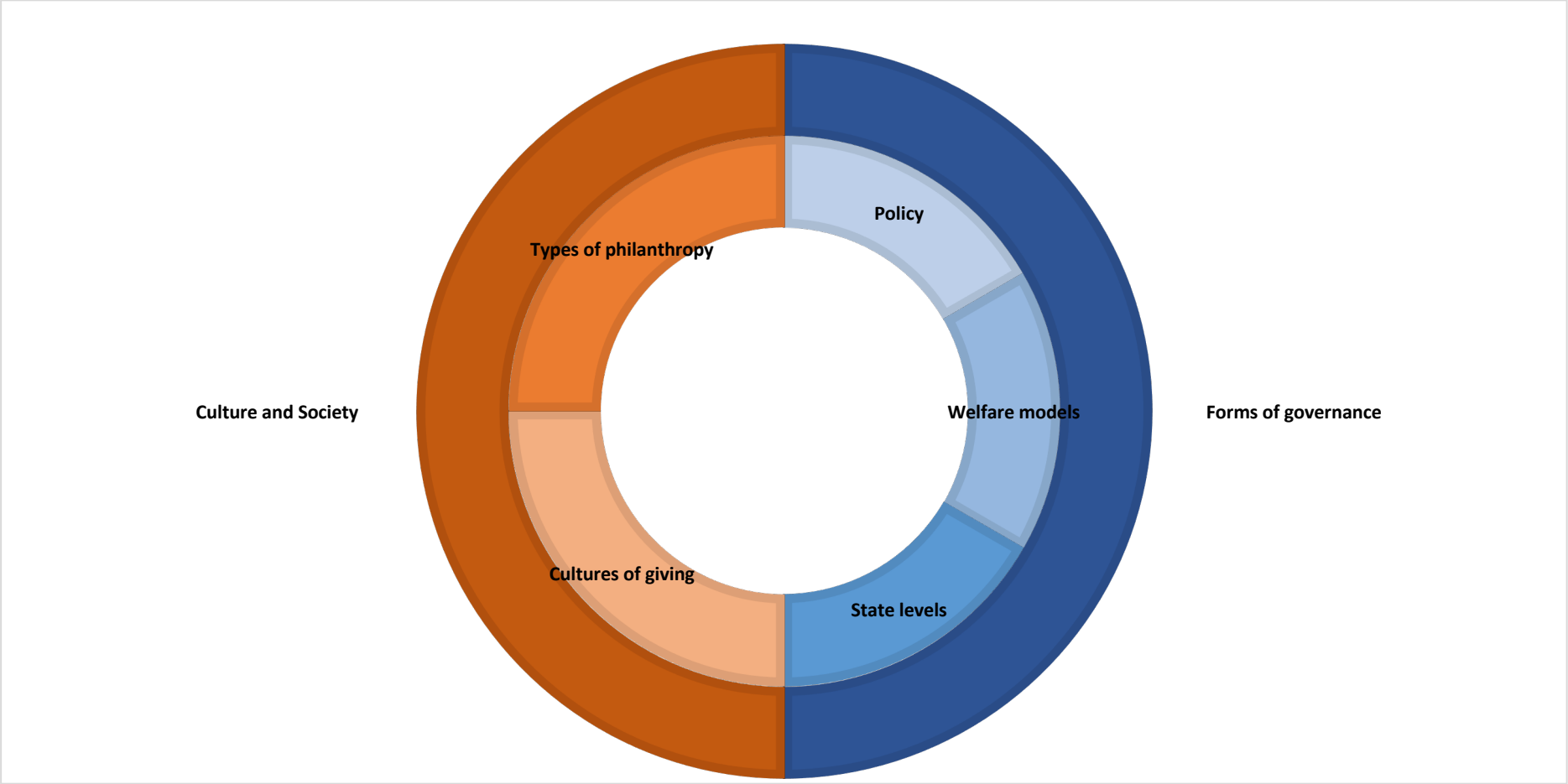


Diagram developed for this thesis.

## Chapter Three: Investigating arts philanthropy – research philosophy and design

The thesis has thus far provided the background and context of arts philanthropy. Moving to the process of investigation of arts philanthropy, this chapter will begin by covering the philosophical approach taken in this research. The chapter will then provide details of the research design. This will first of all outline the theoretical underpinnings of a design based upon comparative research and the case study approach. It will cover the choice of case studies within the framework of varieties of capitalism, and also why other potentially relevant ‘varieties’ case studies were not used on this occasion. Having outlined these case studies, the chapter will then move on to details of how the research was undertaken – its methodology – separated into two sections on the key components of mapping arts philanthropy and semi-structured interviews across the chosen case studies. The former will outline a mixed set of methods of documentary analysis and institutional mapping. The latter section will cover semi-structured interviews, including the issues surrounding elite interviews, and researcher positionality in terms of understanding power narratives. Finally, the timeline of research and ethical considerations are outlined.

### 3.1 Research philosophy

Before detailing the methodological approach taken during this research the philosophical approach will be outlined. This is important as the philosophy used underpins the choices made throughout the research, including the methodological approach (Graham 2005).

There are many different research philosophies which a researcher can utilise (Sarantakos 2005), including positivism, realism, interpretivism, objectivism, subjectivism, and pragmatism (Saunders, Lewis, and Thornhill 2007). This research is influenced by critical realism, which is defined by Yeung (1997: 52) as:

“a scientific *Philosophy* that celebrates the existence of reality independent of human consciousness (realist ontology), ascribes causal powers to human reasons and social

structures (realist ontology), rejects relativism in social and scientific discourses (realist epistemology) and reorientates the social sciences towards its emancipatory goals (realist epistemology).”

For the purposes of this research, this will reveal the relations between the structures present within the different actors amongst the arts and culture, funding bodies, and the philanthropic sectors, as well as the institutional layers present in government at local, national, and supranational levels. This is an independent reality, with the world existing independent of human knowledge of it (Sayer 2003), and the variation across national environments will show the different forms of arts philanthropy, thus responding to the question of the potential of arts philanthropy as a funding model. As outlined by Easton (2010), the assumptions of critical realism result in the key ontology of a reality existing independent of the observers. Unlike in the natural sciences, however, this reality is not readily accessible in the social sciences, leading to the view that this reality is socially constructed (Easton 2010). The apparent contradiction between an independent reality and a socially constructed reality is resolved in critical realism through the view that the world is socially constructed, but not completely, with the real world breaking through (Easton 2010).

The dynamic of structures is important to understand in critical realism, and for the purpose of this research. Arts funding does not happen in isolation, and nor does philanthropy. As outlined in the second chapter, arts funding is based to a large extent around the political dynamics of the period, whether that be economic, cultural, or a particular political agenda. Likewise, philanthropy and whether it is encouraged or not relies to varying degrees on the national, cultural, and political context present, a key focus of this research in terms of national environment and varieties of philanthropy. In this sense, structures are important for this research, as changes in institutional and organisational structures, and in the relations between them, will affect the dynamics of arts funding, philanthropy, and cultural policy. Critical realism holds that there are structures and causal powers that lead them to behave in certain ways, and which make them susceptible to certain types of change (Sayer 2000). These structures can be physical, such as minerals, or social, such as bureaucracies (Sayer 2000). Further, these structures “have powers and liabilities capable of generating events” (Sayer 2003: 5). Critical realism holds in the pre-existence of social structures which are “transformed

and reproduced by social actors” (Yeung 1997: 53), that human agency has intentions, that there is a continuous process of structuration between structures and agency, and that there are open systems with “no regular conjunctions of social events and outcomes” (Yeung 1997: 53). The distinction between open and closed systems is that open systems do not have regularities between states of affairs or events, whilst closed systems do have these regularities (Fleetwood 2017).

Realist methodology suggests an investigation of structures (Bhaskar 1989; Sayer 2000; Yeung 1997), including through case studies (Easton 2010), and this is useful for the study of arts philanthropy. The changing nature of the welfare state in Europe explained in chapter two is such that the structures and relations around cultural policy and public funding of the arts and culture means that the underlying structures are changing and adapting to the new political and economic reality, resulting in part in new possibilities and forms of philanthropy and arts funding. As such, despite some such as Yeung (1997: 70) arguing that “critical realism is still largely a philosophy in search of a method”, its relevance can be seen.

### **3.2 Comparative research**

The research was undertaken using the common method of a comparative approach (Ward 2010). As Yeung (2003: 456) observes, “Cross-border research can also provide much information about the social embeddedness of economic activities”. This builds on ideas surrounding the varieties of capitalism or, in this case, ‘varieties of arts philanthropy’ across different national contexts. The research investigates what the characteristics of these are and how this may impact on philanthropy in the cultural sector. As such, comparative research is a key part of the methodology as in order to explore the distinctive features of philanthropy in the cultural sector in different national environments, comparison will be necessary. In this sense it fulfils two of the reasons of McFarlane (2010) for comparative research – both placing the unit of analysis in a broader context and structures whilst at the same time showing its distinctiveness and possible uniqueness. The advantage of undertaking comparative research for this research lay in the research objectives surrounding the investigation of varying institutional arrangements surrounding arts philanthropy in Europe. It was therefore useful to assess the distinctiveness or not of particular theoretical claims (McFarlane 2010).

### **3.3 The case study approach**

The research was undertaken using an exploratory case study approach (Yin 1994; Stake 1995). A case study is, according to Yin (2014: 16), an empirical inquiry which “investigates a contemporary phenomenon in depth and within its real-world context, especially when boundaries between phenomenon and context may not be clearly evident”. Yin (2014: 17) outlines that case study inquiry “copes with the technically distinctive situation in which there will be many more variables of interest than data points and as one result relies on multiple sources of evidence, with data needing to converge in a triangulating fashion, and as another result benefits from the prior development of theoretical propositions to guide data collection and analysis”.

The key research questions to be addressed are those of who, what, where, how, and why (Yin 1994). Case study research is most appropriate for questions concerning how and why (Yin 1994). Easton (2010: 119) defines case research “as a research method that involves investigating one or a small number of social entities or situations about which data are collected using multiple sources of data and developing a holistic description through an iterative research process.” As Gillham (2000: 2) explains, “This use of multiple sources of evidence, each with its strengths and weaknesses, is a key characteristic of case study research”. The great benefit of case study research is therefore that it is “an all-encompassing method” (Yin 1994: 13). It can include very specific approaches of data collection and data analysis (Yin 1994).

Within this field, research can be exploratory, descriptive, or explanatory (Yin 1994; Saunders, Lewis, and Thornhill 2007; Robson 2002). This research focused on exploratory study, which seeks to discover what is happening and to clarify the understanding of a problem (Saunders, Lewis, and Thornhill 2007; Robson 2002).

### **3.4 Research methodology**

Having outlined the research philosophies being considered and the theoretical underpinnings of the choice of research design, the next section will cover the research methodology. The

methodology covered two major components – mapping the arts funding landscape and subsequent structures of varieties of arts philanthropy and investigating the arts funding models sitting within and as parts of these structures – both entailing mixed methods.

The mapping stage of the research involved looking at several important components for each of the case study countries. These entailed philanthropy, cultural policies, and the funding environment for the arts and culture. Each involved reports, data, and interviews. From this, an institutional landscape emerged of the role of philanthropy in the different funding models. This created an ‘organogram’ of the landscape of arts philanthropy in the three case study countries involving the institutions, actors, and networks (presented in Chapter Four). This then informed the second stage of the research, involving semi-structured interviews in which the specifics of the key actors and institutions identified and their specific role within philanthropy landscapes and possibly changing arts funding models were investigated.

The stages of the research are outlined in Figures III and IV.



Figure III: Research design

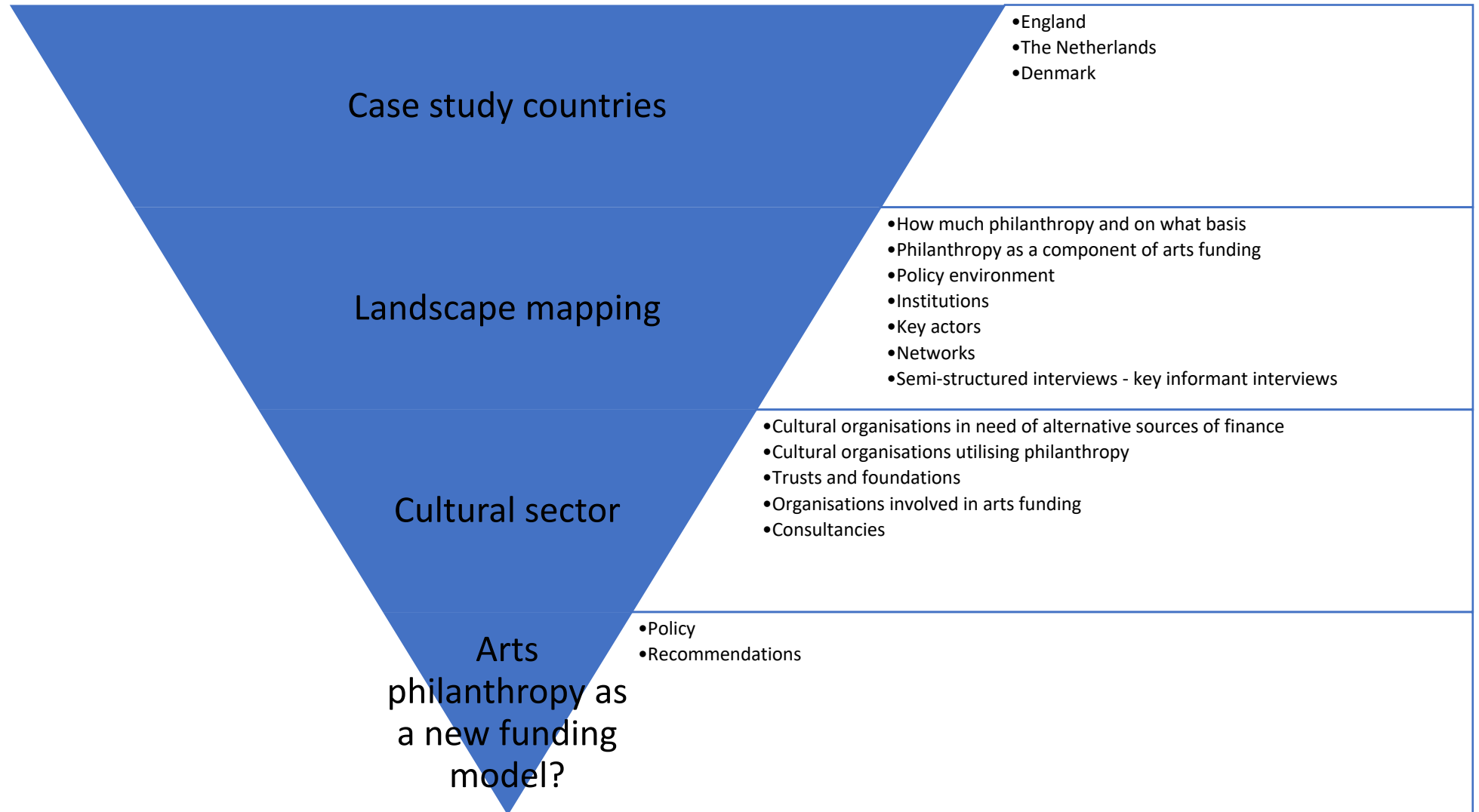


Diagram developed for this thesis.

**Figure IV: Research methods**

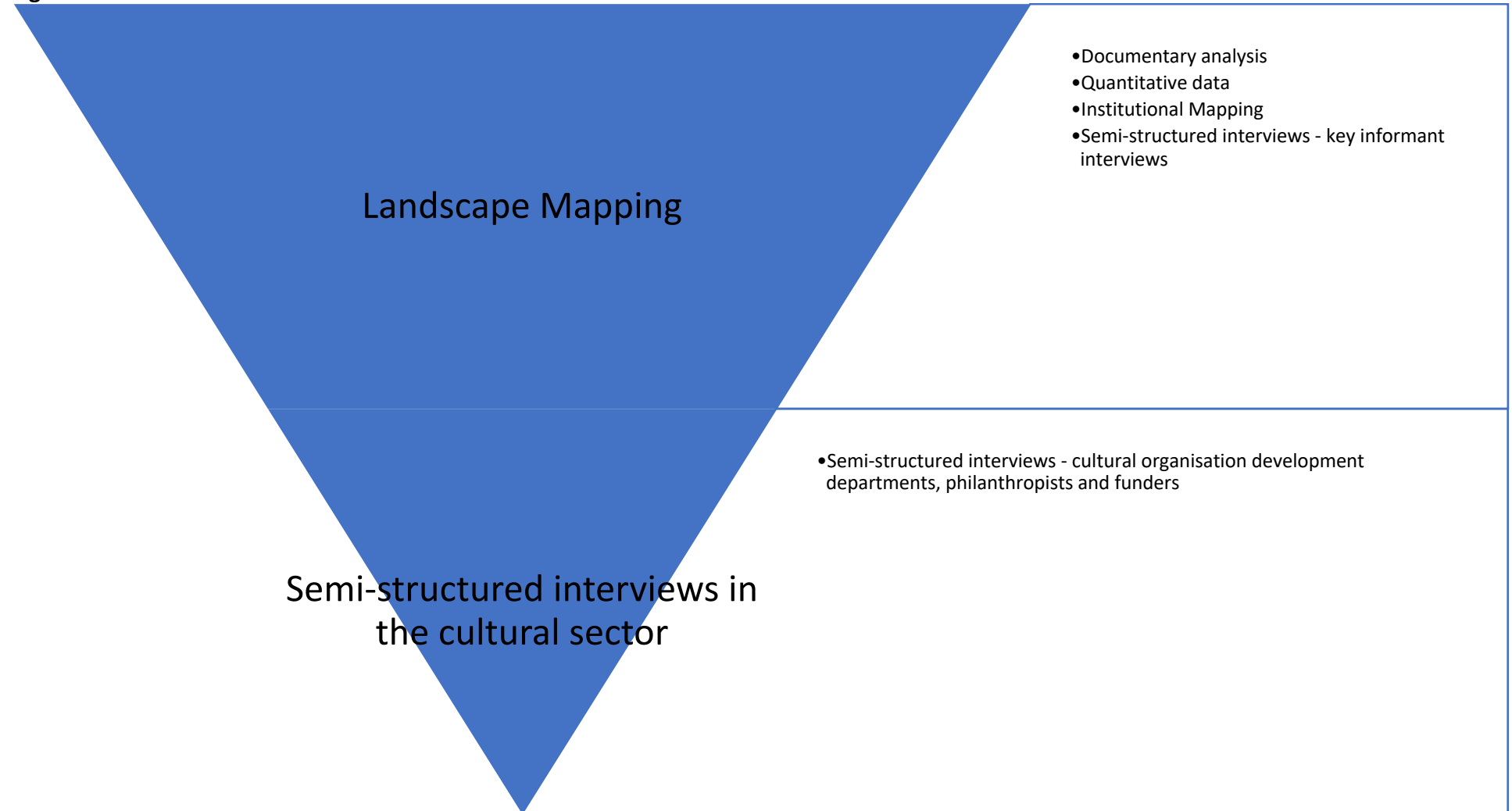


Diagram developed for this thesis.

### **3.4.1 Mixed method methodology**

It can be seen from Figure IV that the research used a mixed-method research approach, drawing particularly on qualitative research methods, but not excluding quantitative methods. There does not have to be a conflict between quantitative and qualitative research methods (Glaser and Strauss 1967), and therefore tools from both of these approaches can be used. This is especially useful for case studies where a range of data is often sought.

The research is based on a national case study approach reflecting ‘varieties’, comprising a quantitative driven mapping and subsequent semi-structured interviews investigation, combined with material available from policy documents, reports, media, and data available on philanthropy. This also ensured that the social and cultural influences, particularly prevalent when considering motivations and values present within the arts and culture and within philanthropy (Bourdieu 1984; 1993; Bourdieu and Haacke 1995; Kail, Simmons, and Bagwell 2015; Radbourne and Watkins 2015), and across nations, were not sidelined as can happen when using quantitative methods alone (Yeung 1997; Yeung 2003).

The methods utilised in this research constituted a process of triangulation (Punch 2005; Stake 1995) which sits at the core of case study research. This is the use of multiple methods to test the same finding (Babbie 2002), “the logic of which rests on the fallibility of any single method or representation of socioeconomic phenomena and psychological constructs” (Yeung 2003: 454). Both data triangulation and methodological triangulation (Yeung 2003) were used.

The researcher also utilised exploratory research (Shields and Rangarjan 2013; Saunders, Lewis, and Thornhill 2007; Sandhusen 2000), whereby the researcher investigates an area which has not as yet been established thoroughly – in this instance, arts philanthropy and understanding this through the lens of national varieties and the forms of the state – in order to best develop the form of data collection most appropriate for the research (Babbie 2007; Saunders, Lewis, and Thornhill 2007). This includes such techniques, as utilised and outlined below, including reviewing the available literature – in this instance through a process of mapping – and qualitative methods including interviewing key actors (Shields and Rangarjan 2013; Babbie 2007; Shields and Tajalli 2006). This approach has the benefit that, for a relatively

new field, the researcher may better understand the landscape concerned and what is happening on the ground (Engel and Schutt 2014) – and, from this, develop an understanding of the key actors and their relations with each other.

### **3.4.2 Choice of case studies**

It is important to justify the choice of case studies. As Yin (1994: 45) argues, “Every case should serve a specific purpose within the overall scope of inquiry”. In this case, the choice of case studies reflects the need to study different European national contexts of arts funding from different political contexts, as influenced by the ideas surrounding varieties of capitalism and philanthropy.

The research focused on three case studies. Due to the comparative and cross-national nature of the research, as well as theoretical background regarding different national environments, a multiple case study approach is required. Whilst single cases may be chosen when a critical or unique case is being considered, or on the other hand precisely because it is a typical example, multiple case studies may be used to discover whether the findings reoccur in different cases and therefore whether one should generalise (Saunders, Lewis, and Thornhill 2007). Indeed, utilising multiple case studies can be regarded as more compelling and resulting in more robust findings (Yin 1994).

The research also focuses on three case studies for practical reasons. As Yin (1994) observes, multiple case study research can be beyond the scope of an individual researcher, and as Kuzel (1999: 44) notes, “All investigators work within the limitations of time and funding available for their efforts”. Whilst two case studies would in essence be a direct comparison between two environments rather than an investigation of wider ‘varieties’, within the limited amount of time and resources available three case studies were taken as an appropriate number to assess different models of arts philanthropy whilst at the same time being practical.

It is important to make clear that the case studies chosen – England, the Netherlands, and Denmark – are not exhaustive. The varieties of capitalism, and from this the potential different national contexts for arts philanthropy, are wide and varied. The literature review includes a

review of some global examples of arts philanthropy precisely because this is not merely a European phenomenon and it is important to be aware of these cases and learn from their experiences. The two most important examples which can be taken from this are with regards to the United States of America (Ragsdale 2011; Schanke 2007; Wu 2002), and Asia, for example with an Asian model of capitalism (Amable 2003), and examples of such philanthropy being present in Japan (Kawashima 2012; Kakiuchi, Sumi, and Takeuchi 2012) and India (UNESCO 2013; FICCI 2010; Cantegreil, Chanana, and Kattumuri 2013; Basu 2013; Bain & Company 2015; Ghosh 2013; Godfrey 2015; Harrington 2015; Impact India Editors 2015; Jenkins 2011; Mangaleswaran and Venkataraman 2013; Singh 2002).

As has been outlined in section 2.2.1, there is a strong tradition of philanthropy in the cultural sector within the United States of America. Whilst this is an important example to be aware of, and indeed there is interest at looking towards American examples of philanthropy (Ragsdale 2011), the American example was not focused on as a case study in this thesis for a number of important reasons. Whilst there has been overlap in the political directions of the USA and European examples – for example, during the 1980s, the political direction of the administrations of both Ronald Reagan and Margaret Thatcher (Wu 2002) – each of the three European case studies chosen represents a different tradition of funding for the cultural sector. As outlined, the traditions of philanthropy in the United States of America are based on a separate tradition of wealthy industrialists and entrepreneurs such as the Carnegies and the Rockefeller's (Schanke 2007; Wu 2002). The traditions in Europe, on the other hand, are based in part on historic traditions of cultural patronage, often based on aristocratic and royal patronage, and on a model built around the welfare state (Hamilton 2014; Schuyt 2001; 2010; MacDonald and de Borms 2008; Zimmer and Toepler 1999). Whilst the USA has the National Endowment for the Arts (NEA) which operates public funding (Wu 2002; Turnbull 2008), it is still a tradition which places a far greater emphasis on private giving (Schanke 2007; Zimmer and Toepler 1999). Indeed, American philanthropy is the exception rather than the rule (MacDonald and de Borms 2008) and rather than seeking to emulate it, European philanthropy has its own particular tradition and history (Hoolwerf and Schuyt 2017a; 2017b).

Further, following the research focus on ideas surrounding varieties of capitalism (Hall and Soskice 2001a), each of the three case studies chosen fits into a particular variety and can

therefore be assessed through this lens. Each of the three countries is a North West European country which has followed a similar political trajectory of public and private funding in the post-war years (Fisher and Figueira 2011; Duelund, Valtysson, and Bohlbro 2012; Van der Leden 2017), but which fit into different models within the varieties of capitalism (Hall and Soskice 2001; Amable 2003; MacDonald and de Borms 2008). In this way, these three countries have similarities and differences, making them interesting and useful case studies to compare, as opposed to the USA, which has a distinct history and tradition.

In this way, whilst important to understand American philanthropy, it is more appropriate when comparing to use three European countries as case studies on the basis that the USA follows a quite distinct tradition whilst the European countries are emerging from a welfare state-based model, having had a previous tradition of patronage, and looking at philanthropy – in this instance, arts philanthropy, and philanthropy towards the cultural sector – with renewed interest.

Whilst it would therefore be too divergent to compare countries such as the United States of America, Japan, and India to Europe in this research given the specific challenges facing Europe regarding the aforementioned cutbacks in the welfare state, and the historical and cultural backdrop to the arts and culture in Europe, it is important to be aware of other potential philanthropic models of arts funding. This may prove of importance in the coming decades, especially if Europe finds itself looking not just to American arts philanthropy, but also Asian models of arts philanthropy.

Whilst there are a wide variety of possibilities concerning which countries to use as case studies – given the initial research narrative driver of the restructuring of the welfare state and the need for cultural organisations to seek alternative methods of funding with philanthropy as one possibility – the researcher looked for examples within the different forms of European capitalism which could potentially be viewed as having the conditions to potentially be receptive to arts philanthropy. The examples of England, the Netherlands, and Denmark were chosen based on initial investigation surrounding these criteria and circumstances as well as the intention to look at countries which can be placed within different varieties of capitalism. In choosing countries from different models of capitalism, the choices

are different also in terms of national environment, yet all were chosen based on having the same overarching factor in common, namely that they are all restructuring their welfare states and, thus to date, the nature of arts funding. There was purposiveness in the choices towards countries which exemplified particular national models of funding and showed particular dynamism. Other potentially interesting examples were ruled out for more practical reasons. These considerations are covered during the reasoning for the case studies set out below. As such, the key factors involved in deciding the choice of case studies are: the different varieties of capitalism; the restructuring of the welfare state with particular reference to decisions regarding arts funding and cultural policy; the case studies having the conditions of being potentially receptive to arts philanthropy; and pragmatics.

The first national case study is England representing the Anglo-Saxon or Liberal market-based model (Amable 2003; MacDonald and de Borms 2008; Buckland, Hehenberger, and Hay 2013). This is a context in which arts philanthropy is familiar and developed. As described in chapter two, the United Kingdom put in place a post-war welfare model based on ideas surrounding the preservation of 'high arts' and national heritage as promulgated through an arts council model in the Arts Council of Great Britain (ACGB) by John Maynard Keynes (Turnbull 2008; Wu 2002). It then moved to a model based on expanding the social and educational benefits of the arts and culture through public subsidy (Turnbull 2008; Wu 2002). A move towards private sector funding and sponsorship came into emphasis during the years of the 1980s and 1990s, to be followed by the new emphasis on the 'creative economy' during the New Labour years (BOP Consulting 2010; Flew 2013; Turnbull 2008; Wu 2002). Under the Conservative Government of 2015 onwards, continuing the policies of the Conservative-Liberal Democrat Coalition of 2010-2015, there is an encouragement of philanthropic funding (DCMS 2010; DCMS 2014), although there are some concerns more widely as to the extent of the success of arts philanthropy (Higgins 2011). Today, austerity and budget cuts are impacting substantially on the sector. There is, as such, a strong desire on the part of the government for the cultural sector to seek multiple methods of support – and a strong recognition by the sector of the need to. One such component of these multiple methods of support is through philanthropy, although as will be seen in Chapters Four and Five, the challenging economic climate has also affected the way in which philanthropy operates.

The second case study is the Netherlands, which can be placed in either the Rhine (MacDonald and de Borms 2008), the Welfare Partnership (Buckland, Hehenberger, and Hay 2013), or the Continental European model (Amable 2003). It has one of the most open approaches to philanthropic freedom in the world (Hudson Institute 2015) and therefore provides an example of a country where there may be a great deal of philanthropic potential within a Continental European environment, especially relevant given moves in the Netherlands towards cutting public funding of the arts and culture (Algemene Rekenkamer; Holligan 2012; Kaiser 2014; Service 2010; 2011; Dowling 2012; Kennedy 2015; The Strad 2012; Tinius 2013). This was emphasised particularly heavily during the centre-right government of 2010-2012 (Pignal 2010) in which the governing centre-right Liberal Volkspartij voor Vrijheid en Democratie or People's Party for Freedom and Democracy (VVD) and their coalition partners the Christen-Democratisch Appèl or Christian Democratic Appeal (CDA) were reliant on support from the right-wing nationalist Partij voor de Vrijheid or Party for Freedom (PVV). Under the coalition of the VVD and the centre-left Partij van de Arbeid or Labour Party (PvdA) and subsequent four party coalition of the VVD, the CDA, the ChristenUnie or Christian Union (CU), and the Democraten 66 or Democrats 66 (D66) there remains an emphasis on restructuring the welfare state. In 2013, when the government programme was outlined by King Willem-Alexander in the Prinsjesdag address, it was announced that the welfare state would be ended (Arkell 2013; Steinglass 2013; The Independent 2013; Waterfield 2013). The Dutch government thus expects artists to earn more of their income themselves and to be more entrepreneurial (The Ministry of Education, Culture and Science 2013). With this political backdrop, and a historically conducive environment for philanthropy in the Netherlands, as well as its place in the Continental model of capitalism with a strong foundation sector, the Netherlands makes an interesting and highly relevant case study.

The final case study used is Denmark, which fits in the Scandinavian or Social Democratic model (Amable 2003; MacDonald and de Borms 2008; Buckland, Hehenberger, and Hay 2013). It is not from a culture which is traditionally strong regarding philanthropy to the arts and culture, rather taking a state-driven approach to arts funding with a strong emphasis on public funding of the arts and culture (Heikkinen 2003). Further, there is in Denmark a decentralised character (Duelund 2001) and a public mood and appreciation for public subsidies (Hansen 1997). Denmark may, however, be receptive to growing philanthropy to the arts and culture.



This may be in part due to the changing political context in Denmark. Even before the current centre-right Liberal minority government led by Venstre took office in 2015 with the backing of the nationalist Dansk Folkeparti, the Danish People's Party, there were signs emerging that Denmark may be changing in approach to arts funding with examples of cultural organisations facing the possibility of a loss of public subsidy and a need to look towards alternative sources of finance (Eriksen 2012; Service 2015). Whilst the Scandinavian model is also present in other countries, in particular Norway and Sweden, the particular example of Denmark based on these changing political circumstances is of most interest. The situation in Norway and Sweden remains such that there is still generous public funding of the arts and culture, although there are important distinctions between the Scandinavian countries which will be further covered when looking at this model. Whilst there is some suggestion Sweden is beginning to show interest and potential in philanthropy (Stymne 2012; Radio Sweden 2013), the focus is principally on research and innovation (Gouwenberg et al 2015). In Norway, whilst there is some evidence of arts philanthropy (Fabrikant 2014) there is also generous cultural funding in part based on a strong tradition of collectivism (Heikkinen 2003; Lorentzen 2004) and also to some extent based on oil revenues (Stothard 2012). Denmark therefore provides an interesting example of a country which may be transitioning from a national environment which has not traditionally encouraged private arts philanthropy to one which is.

### **3.5 Mapping varieties of arts philanthropy**

There were two principle drivers of the mapping stage of research. These were the dynamics of the changing nature of the welfare state and the reductions in public funding for the cultural sector, and the emergence of philanthropy as a potential funding stream for cultural organisations. The mapping stage investigated the landscape through identifying three key sets of actors – policy, philanthropy, and cultural organisations – and identifying key informants within these. The drill-down within this mapping then assessed how arts philanthropy is actually taking place in order to assess its potential. The drivers of arts philanthropy are represented in Figure V.

Figure V: Researching new arts funding models through philanthropy routes

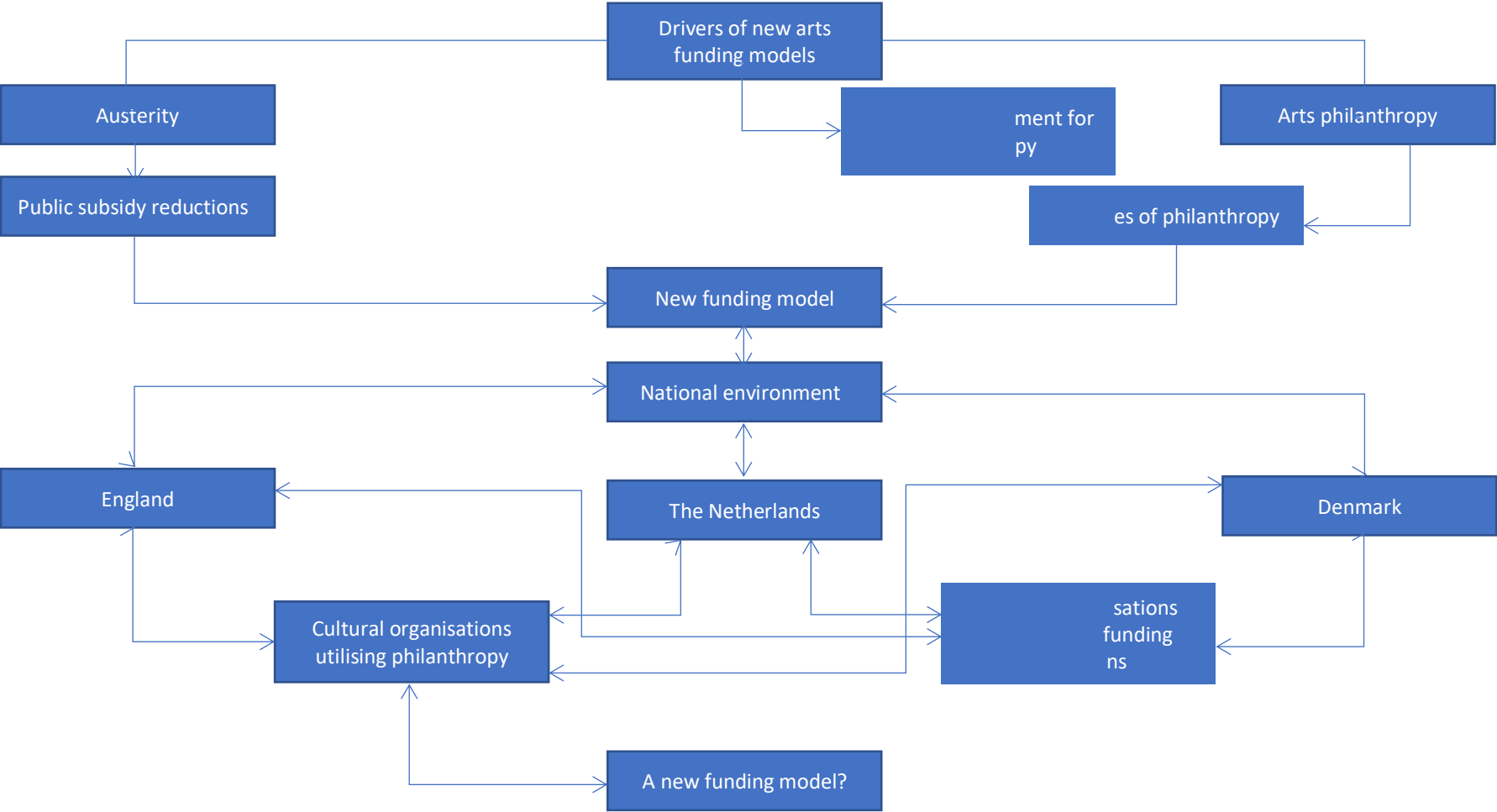


Diagram developed for this thesis.

As this is a relatively new area in Europe and involves the private sector as well as national governments, there is relatively little summary data on arts philanthropy in Europe, although cultural organisations themselves may have funding projects or policies in place. Across Europe there is data available on philanthropy in general (BNP Paribas and Forbes 2015; Hudson Institute 2015; Council on Foundations, European Foundation Centre, and WINGS 2012; European Foundation Centre 2015; Pharoah, Goddard, and Jenkins 2014a; Pharoah, Jenkins, and Goddard 2014b; Pharoah, Goddard, and Jenkins 2015a; Pharoah, Jenkins, and Goddard 2015b; Pharoah et al 2012; Goodey and Hall 2007; Grossman, Appleby, and Reimers 2013; John 2006; Lew and Wójcik 2009), and reports on potential approaches to philanthropy (Mermiri 2010; Gaio 2009; Phillips 2012) and donor motivation (Gaio 2009; Breeze 2010; Phillips 2012; Bagwell et al 2013), but little by the way of concrete research on arts philanthropy itself.

This is beginning to change, with a particular interest in values-based arts philanthropy (Kail, Simmons, and Bagwell 2015; Radbourne and Watkins 2015). Literature nonetheless remains limited. The research therefore needed to study and piece together the data, reports, and policy documents which were available, as well as relevant articles in the media which are often amongst the first to report arts funding cuts and with that the need for philanthropy. The research also involved interviews with key informants (Gilchrist and Williams 1999). The choice of informants was based on the data available in grey literature such as reports and government documents providing lists of cultural organisations and arts philanthropists, and government and market assessments of the state of arts philanthropy.

### **3.5.1 Landscape mapping**

Research samples should fit the research purpose and phenomenon of interest and utilise a strategy of sampling which is consistent with the style of inquiry (Kuzel 1999). The landscape mapping entailed four methods:

- 1) Documentary analysis played an important part in the research and was particularly significant in the first stage of the research during which reports were assessed on the situation regarding philanthropy and arts funding in the different case study countries. This

included policy documents surrounding the changing nature and direction of government policy in the three respective countries, in addition to reports from the third sector about the changing landscape of philanthropy and private giving. The quantity of literature which had been produced provided an initial suggestion as to how the trends might look, confirmed in chapter four, with more material on private giving available from England and the Netherlands, whilst Danish material principally focused on public funding. This provided an indication from early on as to how the trends and landscapes were developing.

2) Quantitative data was gathered regarding the funding and philanthropic situation in the respective countries. Much of this information came from organisations such as the Arts Council England which produces regular reports on the breakdown of their giving in relation to wider giving (Arts Council England n.d.d; n.d.e; n.d.f; n.d.g; n.d.h; n.d.i; n.d.j; n.d.k; n.d.l; n.d.m), in addition to other reports and documents on private giving and public policy (Arts & Business 2012; 2013; Arts Council England and MTM 2016; Culture, Media and Sport Committee 2014a; 2014b; 2016). It is important to note that the various different reports and surveys produced use different methodologies and sometimes cover different countries – the entire United Kingdom or just England, for example – and so, as outlined in Chapter Four when mapping the three countries, together all these reports produce clear trends and patterns in the way the institutional landscape is changing, but not necessarily fully consistent numbers. For the purpose of this research, it was therefore possible to assess the varying institutional landscapes on a national level, but they were not taken as fully consistent numbers from one year to the next.

3) Institutional mapping was utilised for this research as the first section of data collection. Whilst entailing widespread use in policymaking, it is not widely used in the academic community (Aligica 2006). It is, however, very relevant to this research given the necessity to understand the structures, institutions, and relevant actors within the field of arts philanthropy; in order to understand which institutions were of particular importance in each country, and then to decide who to interview. Quantitative data was part of the mapping process – to identify the key actors and institutions in each case study which then enabled initial interviews to be chosen and focus on particular features of arts philanthropy in the respective environments.

4) Key informants were also interviewed as part of the mapping stage in order to further develop a landscape of arts philanthropy in the three case study countries, and allow for the understanding of different cultural contexts (Gilchrist and Williams 1999). This has the benefit of efficiency in that it is not possible to interview everyone, and so key informants can provide information and access, as well as enhancing the knowledge of the researcher when studying in different cultural environments (Gilchrist and Williams 1999).

The results of these interviews also allowed for further institutions to be identified for possible interview, in the mapping or subsequent cultural organisation phase. This is a form of snowballing, which is one technique available for finding further interviewees and a method of collecting data whereby “the researcher *chooses a few respondents*, using accidental sampling or any other method, and *asks them to recommend other people* who meet the criteria of the research and might be willing to participate in the project” (Sarantakos 2005: 165). It is a useful technique when there is a lack of sampling frame, when the target population is not known, or when it is difficult to approach respondents in a different way (Sarantakos 2005). In the case of this research, the second element applies most of all, as the target population was small but often under the radar due to the size of the industries being researched.

Through collection of secondary data such as policy documents, reports, newspaper articles, statistics from government and professional bodies, and similar relevant documents, combined with key informant interviews, substantial data can be gathered and triangulated, and key actors and institutions identified. Just as the influence of critical realism causes the researcher to see the relationships between structures, bureaucratic institutions, and social actors, so mapping will likewise explore those relationships and identify key institutions and actors and how they are related to each other.

The arts councils and cultural ministries of the respective case study countries were of particular use during this initial secondary data collection stage of the mapping. Personal contacts of the researcher within the cultural sector also proved beneficial and acted as gatekeepers, allowing for snowballing as further contacts emerged through this. This allowed

initial stakeholders and actors to be identified, with the intention that three broad groups were covered: the cultural organisations, the philanthropic sector, and the government and policy layer.

The researcher remained aware that given the topical nature of this research, and the constant changing of government policies based on elections and political circumstances, the research was continually moving and these maps needed to be constantly kept up to date to reflect this. This was an advantage of the research, as the constant updating of institutional maps then allowed further key stakeholders to emerge. These findings based on both the interviews and the constantly updating mapping were then brought into the research as it progressed as part of a reflective process.

Likewise, some mapping of the cultural sector had already identified key issues of consideration. Hansen (2015), for example, when mapping the distribution of theatres in Denmark, described how mapping using three different sources and statistics created maps which were not always compatible, and reflected different cultural policy aims. As Hansen (2015) observes, it is not a case of whether or not these balances are fair, that one approach is better than the other, but whether they are important. It is important to thus acknowledge the limitations of the figures, and the different implications that the different approaches have on cultural policy (Hansen 2015).

### **3.6 Interviewing in the arts funding landscape: cultural organisations, philanthropic organisations and private sector funders, policy institutions**

The second phase of the data collection involved qualitative semi-structured interviews with and around cultural organisations, and whose sampling frame was generated by the previous mapping activities. Having studied the mapping data, a 'landscape' of the field emerged. This included quantitative data, and more specific data for the different national environments and on an organisational level in terms of the cultural organisations themselves, the philanthropists and philanthropic organisations, and the institutions guiding policies concerning private sector funding of the arts and culture. From this landscape, a differentiated national understanding was developed of the key components of arts funding

in each case study country, and the key actors involved of varying degrees of importance and scale. This then informed the selection of whom to interview in each national case in order to investigate the arts funding models and the key actors in these models.

Whilst it may seem preferable to select a similar number of interviewees from a similar number of institutions, in reality the very nature of the different national environments mean that there will be different institutional emphases in different countries. England also has a larger landmass and population, and so it was important for the researcher not to give undue bias to this case study but rather to try to treat the examples as proportionally as possible. In this regard, a similar number of interviews – around ten per country – were carried out in each of the three case study countries. In total, across the three case studies countries, there were thirty-one interviews or contributions with thirty-eight people – some interviews having multiple people from the organisation present – representing thirty-three organisations. These took place between October 2016 and August 2017. These can be seen in further anonymised detail in Appendix II.

### **3.6.1 Rationale of cultural organisations chosen**

The researcher chose the different cultural organisations based on a number of criteria. Given that, as outlined, the most important part of the interviews with the cultural organisation is regarding how the organisations themselves are finding the changing funding landscape, the researcher viewed the most important elements of the decision-making criteria as being to identify organisations which represented firstly, the varieties of philanthropy, and the particular circumstances in each of the case study countries. Secondly, the researcher wanted to interview cultural organisations which were particularly affected by the changes in the arts funding landscape. In some instances this was because that organisation had faced funding reductions, in some instances it was because that organisation had chosen to diversify its funding model or had a particularly innovative or successful form of private funding. In addition, the extent to which an organisation relied upon philanthropy needed to be taken into account. There was also the consideration of the scale of the organisation, its location within the country, and the particular art form concerned. As outlined in Chapter Four, these

criteria are of importance and also have particular relevance dependent on the country being investigated and therefore the variety of philanthropy concerned.

Whilst there is consistency in certain key criteria across those organisations interviewed in the three countries, given that the specific context and funding circumstances in each country differ and affects organisations in different ways based on the funding landscape, the level of organisations does differ in certain ways which are important to note. The consistency is based around the challenges and adaptations to the changing funding landscape, but the differences can be seen through the variety in which they sit.

In England, the most detailed breakdown of data regarding private giving towards the arts and culture was available, in addition to there being a larger population (Arts Council England and MTM 2016). In this sense, there was a far greater extent of choices. In this regard, the researcher first of all investigated those organisations which have either faced significant funding reductions and those which are already utilising alternative models of finance. Then, in order to further clarify the focus, the researcher broke the organisations down further. This was based in part on the data of the spread of private giving in England according to scale of organisation, region, and art form (Arts Council England n.d.d; n.d.e; n.d.f; n.d.g; n.d.h; n.d.i; n.d.j; n.d.k; n.d.l; n.d.m; Arts Council England and MTM 2016). The researcher chose these organisations based firstly on scale. Private investment and public funding are much more important for smaller and medium sized organisations than for larger organisations, which rely more on earned income (Arts Council England and MTM 2016). This is represented in Figure VI.



**Figure VI: Income sources by size of cultural organisation 2014/15**

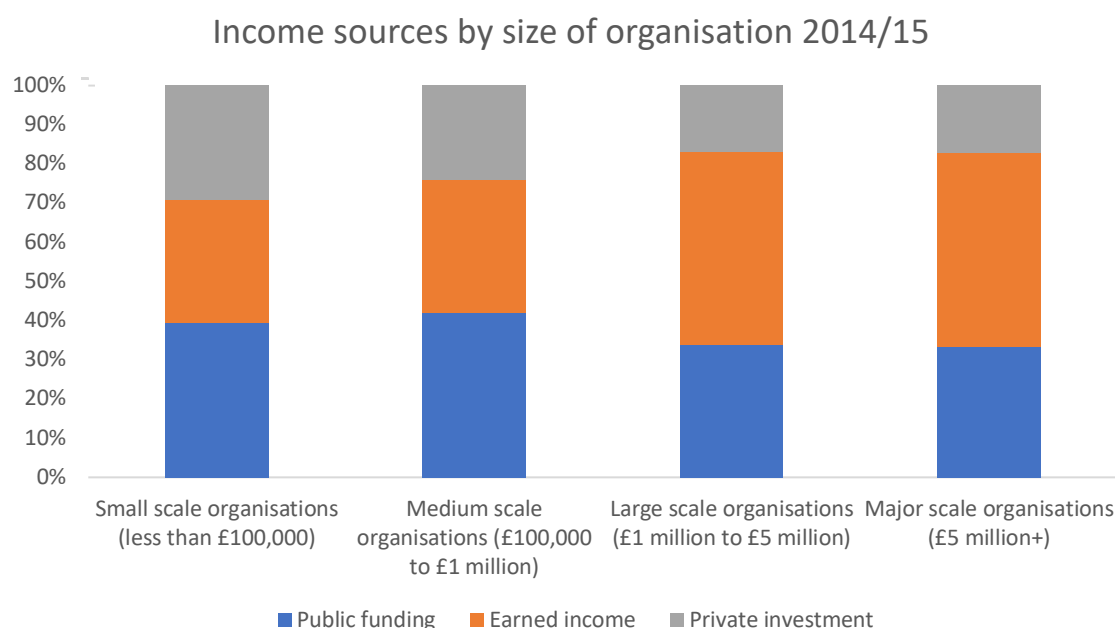


Diagram based on figures from Arts Council England and MTM (2016: 8).

The researcher also observed the regional dimension of arts funding and philanthropy in the mapping stage (Arts Council England and MTM 2016). Organisations in London and the South receive a larger proportion of their revenue from private investment and earned income, whilst organisations in the Midlands and the North are more reliant on public funding (Arts Council England and MTM 2016). This led the researcher to want a broad overview of England encompassing different regions.

In the Netherlands, the organisations have been chosen in part based on those which have faced reductions in public funding, but also on those which have proved successful in a mixed model of funding and in generating private income. This was based to a large extent on documentary analysis of policy reports and news (Dowling 2012; Van Lent and Kammer 2016; The Strad 2012). This was where the bulk of information regarding Dutch organisations facing funding reductions came from. As with England, the researcher noted the strong regional element of the Netherlands and attempted to choose a selection from across the country. Overall, of course, the organisational population was considerably smaller than in England.

In Denmark, organisations have been chosen based simply on those significant organisations, often of national or regional significance, which have faced funding reductions having been heavily reliant on public funding or those which have successfully redirected their funding model. Given the situation in Denmark as still heavily reliant on public funding, Denmark has only recently begun to face funding reductions, and is still generous comparative to much of Europe when it comes to public funding (Danmarks Statistik n.d.; Duelund, Valtysson, and Bohlbro 2012). It is only recently beginning to consider moving away from this model in the light of financial circumstances. As outlined in Chapter Four, when considering organisations engaged in arts philanthropy in Denmark it is important to consider the place of foundations. The Danish model of corporate philanthropic foundations emerged as particularly important in this national environment, which is explored in more detail in the analysis provided in Chapters Four and Five.

### **3.6.2 Rationale of philanthropic, private sector funding, and policy organisations chosen**

The researcher chose the different philanthropic and private sector funding organisations based on a number of criteria. The first factor which came to the fore when making the decision was based on the documentary analysis conducted as part of the Literature Review in Chapter Two and the Mapping in Chapter Four. When analysing the policy documents and surrounding literature with regards to the three case study countries several key institutions emerged as of particular importance. In all three countries, the researcher sought to interview representatives of trusts and foundations as the traditional form of philanthropy when concerning private arts funding. The researcher contacted a wide variety of trusts and foundations who were engaged in arts funding, and then interviewed those who accepted the invitation. The researcher then contacted private organisations specifically relevant to the institutional environment which emerged from the landscape mapping. In Denmark, this involved the importance of corporate foundations. In England this included consultancies involved in training and development. In both the UK<sup>6</sup> and the Netherlands, private banks were involved in private arts funding. This was not directly philanthropic but was relevant in

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<sup>6</sup> The research was focused on England, the Netherlands, and Denmark, but in some instances bodies were on a wider basis – for example, in England, some decisions were made on a UK-wide basis.

understanding the landscape of private arts funding and the changing dynamic of how the private sector supporting the arts and culture.

In addition, the interviews were conducted with those engaged in policy with regards to public arts funding, especially for the purpose of mapping the initial arts funding landscape. This was particularly focused on public arm's-length arts funding organisations – in England and Denmark, centralised bodies which made public arts funding decisions. Given the devolved nature of public arts funding in the Netherlands according to locality and according to artform (see Chapter Four), a number of Dutch organisations on a regional level and on an arts-specific basis which made public funding decisions were chosen.

### **3.6.3 Semi-structured interviewing of organisations**

There are generally considered three types of interview: structured, semi-structured, and unstructured (Punch 2005). Semi-structured interviews were chosen for this research in order to focus on the subject without being overly rigid or quantitative in questioning, whereby closed questions might be used with clear and set answers and without room for expansion, and thus missing potential openings in conversation which may be of interest but which the researcher may not have pre-empted or expected – as would occur through closed questions. It is possible to follow a line of inquiry and do so in a conversational manner which does not provide overly simplistic answers (Yin 1994).

Saunders, Lewis, and Thornhill (2007) outline how in semi-structured interviews the researcher may have a list of themes and questions to cover, but some be omitted or added depending on who is being interviewed, and the order may be varied. Saunders, Lewis, and Thornhill (2007) observe that data can be recorded by audio-recording and note taking. This therefore emphasises a benefit of this type of inquiry. Interviews can be adapted, and if an interview raises further issues or questions then modifications can be made for the future. Likewise, whilst comparisons are being drawn between the different national environments, this does not mean that exactly the same questions will be asked. It would not generate useful information to ask directly the same questions to an English manager of a cultural organisation, a manager of a Dutch private foundation, or a Danish policymaker. Rather, you

would expect questions to cover common themes for all cases, as set out in a semi-structured manner.

All interviews were recorded. The interviews were key noted and transcribed soon after the interview had taken place (Brinkmann and Kvale 2015). Wengraf (2001) recommends listening to the audio-recording immediately following the interview and making notes based on this rather than transcribing on the first listening, in order to gather notes based on the memories and ideas present in the interview which you could not note fully during the interview but can when listening to the audio recording. This allowed not only for the interview to be transcribed, but to add another layer to the investigation of the ideas. Similarly, the researcher also made notes during the interview and then typed up these notes immediately following the interview. All those being interviewed were asked beforehand whether they consented to the interview being recorded, and all signed a consent a form and agreed in advance.

The interviews involving bodies and individuals involved in cultural policy were important especially in the landscape mapping and as key informants in the identification of further lines of enquiry. The interviews with organisations involved in philanthropy or private arts funding such as banks, foundations, or consultancies were important especially in assessing the changing philanthropic landscape and the way private funding is assisted from the perspective of the giver. The interviews with the cultural organisations receiving private giving, facing public funding cuts, or adapting to a changing arts funding landscape provided a valuable insight into how the organisations facing the changing landscape on the ground are dealing with the changing environment and the extent to which they, rather than government, see the role of philanthropy as a component of their own funding model. The most important component of the interviews with the cultural organisations was, having understood the mapping presented in Chapter Four, to see how cultural organisations themselves are finding the developments and the changing landscape.

### **3.6.4 Semi-structured interview themes**

The researcher approached the interviews with key actors by addressing three key themes for discussion, structured around the research objectives. The three themes can be broadly explained as funding landscape, philanthropy, and policy. A full list of the interview questions across those involved in policy, private arts funding, and the cultural organisations themselves, can be seen in Appendix I.

The theme of funding landscape aimed to address the particular nuances within the national environment of the organisation or representative concerned. This included particular reference to the role of philanthropy in that funding landscape, how it had changed, how it was changing, what the perceived challenges were within it, and who the key actors within it were. Once this funding landscape had been discussed, a picture of the place of philanthropy within it could be assessed. This focused on how philanthropy took place in that particular set of circumstances, why that organisation was particularly interested in engaging in arts philanthropy, and the mechanisms and forms of philanthropy. The questions within this were nuanced according to the nature of the organisation being interviewed. Topics which were discussed with all of the interviewees included the possibility and potential of philanthropy as an alternative source of funding and what the organisation and the representative of the organisation thought should be done, and what they thought of the potential of philanthropy as a source of revenue for the cultural sector. The discussion also included what other forms of funding would complement philanthropy, what other forms of funding would complement public funding, whether philanthropy could be more of a solution than perceived, and whether there were any other forms of public or private funding that had not been fully utilised. The third of the three themes which guided the interviews was that of policy. This again contained nuance dependent on the nature of the organisation being interviewed. The discussion centred around the role of government policy in the arts and culture and in philanthropy in each particular nation.

Having discussed the three themes of the funding landscapes, philanthropy, and policy, the interviews were brought to a close with a discussion over what the representative thought would happen next. Linking to the policy, this involved what they thought shapes 'what

happens next'. This included the role of government and policy in these next steps, the role of philanthropy, and the role of the cultural sector, and from this, how these developments are changing and whether these are positive or negative developments, and whether there were any barriers in arts philanthropy. The final point of the interviews was linking back to the area of research to conclude as to whether or not philanthropy was seen as a potential funding model for the cultural sector.

### **3.6.5 Coding**

As part of the coding and analysis process (Miles and Huberman 1994; Miles, Huberman, and Saldaña 2014), the researcher identified key themes which were drawn from the interviews. These emerged as common themes across the three countries, but within these themes the different balances and varieties of the funding systems can be seen across the different national environments. Throughout this process, these themes linked back to the mapping data presented in Chapter Four. As Chapter Four presents, there are a number of key components which are present in all three countries, although as expected they have particular nuances within the specific varieties.

The researcher began with several provisional codes. Provisional coding is based on researcher-generated codes which were generated from the initial investigation (Miles, Huberman, and Saldaña 2014), in this instance the documentary analysis and quantitative data collection and were used to make the initial decisions of which organisations to interview. These decision level codes were based around cultural organisations, private organisations, and policy. Developing a start list of codes ahead of the fieldwork is deductive coding (Miles, Huberman, and Saldaña 2014). This then informed the interview protocol, which can be found in Appendix I. Within the interview protocol, and within the three top level interview codes, emerged several subsections. This also occurred due to the iterative nature of the interview process. The top level of coding involved the initial three themes – public, earned, and private funding – which were used to identify the funding landscape, and which became the structure for the semi-structured interviews. The funding landscape is broken down according to these themes in Chapter Four. Following the initial interviews for scoping the key components and institutions of arts funding, several of those from

organisations which had been contacted by the researcher for interview asked for some idea as to the themes of the interviews. The researcher therefore then put together several themes based on the interview protocol. These themes then informed the entire interview process and were based on the codes. These codes emerging through the interviews process is inductive coding (Miles, Huberman, and Saldaña 2014). These top-level interview codes around which the interviews were based were funding landscape, philanthropy and private funding, and policy. These themes and permeate the entire interview process and can be found in the sections on both public and private funding.

### **3.6.6 Elite interviews and researcher positionality**

An important factor to take into consideration when undertaking semi-structured interviews is the positionality of the researcher with the interviewee. As the research involved managers from philanthropic and cultural organisations this proved significant in an interview context. It had several different dimensions to take into account.

The first consideration to take into account is the personal views of the researcher. This is important for this research as it involves a politically contentious area. The initial narrative of the research is that the welfare state is changing in Western Europe and that there are consequences on public funding of the arts and culture, and therefore that philanthropy may provide an alternative source of revenue. This is inherently political. The objectivity of the researcher is of importance in order to ensure that the data is not misrepresented (Saunders, Lewis, and Thornhill 2007). Whilst the researcher can strive not to allow their own personal views to influence the research, this cannot be ignored. Nonetheless, the researcher should attempt to remain objective and remove themselves from their own beliefs insofar as it is possible.

The second element to take into consideration concerns the actual positionality in terms of the researcher and the person being interviewed and any power relations between the researcher and the interviewee. There are a wide variety of issues to take into consideration (Mikecz 2012; Schoenberger 1991). As a junior researcher, this must be taken into account when interviewing elites (Harvey 2001). Even minor differences of status, such as what

university one is and has attended or what the subject is can make a difference (Herod 1999), although Schoenberger (1992) argues that there is often little class difference between the researcher and someone from the corporate world being interviewed. Despite this, corporate elites may be used to being in control, and may therefore attempt to take the interview in a direction they want rather than one which is relevant to the research (Schoenberger 1991). These power dynamics need to be taken into consideration.

There is a further concern that the researcher may themselves subconsciously position themselves (Herod 1999). When undertaking interviews with elites, Harvey (2001) argues that the junior interviewer must be especially attentive towards their being organised, their flexibility with research design and the interview itself, ensuring transparency when in communications with those to be interviewed, good etiquette with participants, and perseverance during difficult parts of the research such as when interviews are rejected or meetings are uncomfortable.

Background can further provide an element to consider. These are not things that can be changed, but the background of the researcher as white, male, and British also impacts on positionality. Likewise, some of the interviews were with foreign elites which has an impact when considering the researcher positionality in terms of insider and outsider knowledge (Herod 1999). Insider knowledge will not necessarily produce better information than outsider knowledge (Herod 1999), but it is nonetheless important to be aware of. Likewise, interviewing foreign elites can provide different challenges which the interviewer needs to be aware of, such as differences in gaining access as foreign elites may well be part of an organisational structure, and cross-cultural understanding (Herod 1999). The researcher needed to be aware of these issues in general.

Whilst this is taking place, the researcher needs to be constantly alert to the issue of bias within the work and the evidence obtained. There may, for example, be a political bias, pressure, or ideological slant to a document (Robson and McCartan 2016). As mentioned in the previous chapter, for example, in the United Kingdom much literature produced with regard to the arts and culture relates to the economic worth it may have (Creative Industries Federation 2015; Centre for Economics and Business Research Ltd 2013; Local Government



Association 2013) suggesting that a particular attitude is taken towards justifying public subsidy over philanthropy. It is therefore important to consider the positionality and potential biases of the researcher, and work to reduce this, as well as take into consideration the potential biases present within the sources of evidence – be they documentary, interview, or web-based.

The researcher found the issue of positionality relevant throughout the interview process. There were indeed differences noted when interviewing directors of private foundations where a clear power dynamic existed, but even when the interview seemed to be conducted on equal terms, an awareness of the seniority of the person being interviewed by a junior researcher with no immediate benefit for the person being interviewed was present. The most interesting positionality was when the researcher interviewed those who had relevant roles within philanthropy and fundraising in a cultural organisation but were a similar age range to the researcher in question. Whilst the expectation might be that the interview would be on a more level and equal basis, in these interviews the researcher noted that the power dynamic seemed confused with there being no clear hierarchy within the interview. The researcher also noted the importance of language and terminology in the interviews, especially when speaking to those for whom English was not their first language. This was not simply relevant in terms of understanding of words, but of different cultural understandings of what words mean. This then relates to the issue of different national environments having different cultural understandings of arts funding. Whilst the researcher was not focusing on corporations or sponsorship, in Denmark, for example, the understanding of private funding via foundations or corporations was sometimes used interchangeably, related to a particular Danish private funding model of corporate foundations.

### **3.7 Timescale of data collection**

The data collection of mapping and semi-structured organisation interviews took approximately twelve months. This was followed by a data analysis and theoretical iteration of findings. This was undertaken in approximately eight phases, as represented in Figure VII.

**Figure VII: Work programme**

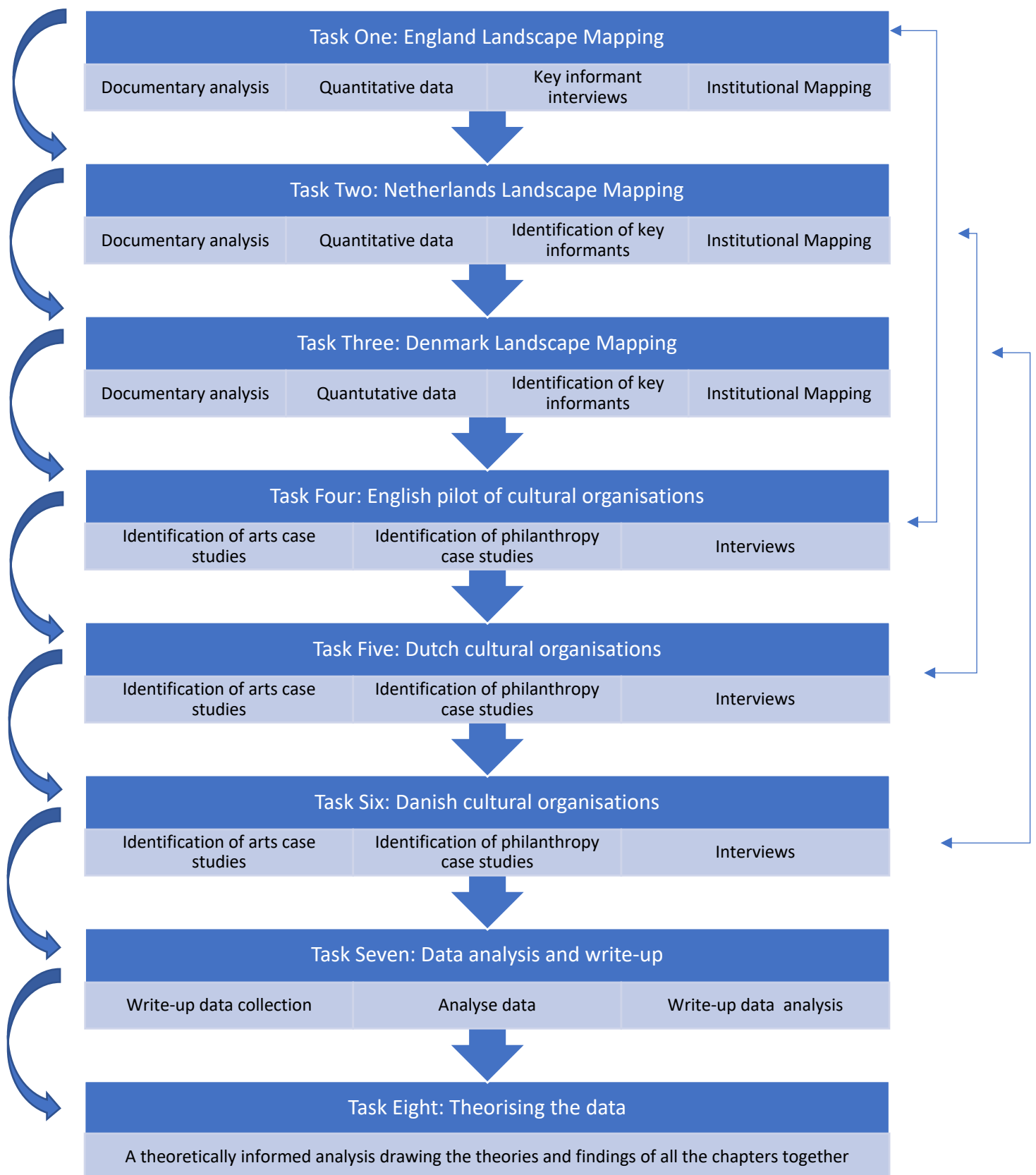


Diagram developed for this thesis.

The first task of the mapping stage of research involved a documentary analysis of England. This also involved key informant interviews at a policy level and on the changing environment and funding regimes. Having tested the research design through England, the researcher then moved on to the Netherlands, and undertook a documentary analysis of the Dutch policy and philanthropic landscape regarding the cultural sector whilst identifying the key informants to interview. The researcher then moved on to Denmark, where the final stage of documentary analysis was undertaken and key informants identified. The initial stage, involving the documentary analysis first of England and then of the Netherlands and Denmark, focused first of all on the policy dimension of arts philanthropy.

Once the documentary analysis of the environment and landscape had been investigated, England was used as the pilot to ‘drill-down’ and investigate the actual potential of funding models – through cultural organisations and philanthropic and funding organisations. Having undertaken the English pilot of cultural organisations, the researcher then completed the research regarding arts philanthropy in the Netherlands and Denmark in the same way. This process can be seen in Appendices IX to XII.

### **3.8 Ethical considerations**

It is important to take ethical issues into consideration when undertaking all research (Brinkmann and Kvale 2015; Saunders, Lewis, and Thornhill 2007; Harvey 2001; McQueen and Knussen, 2002; Sarantakos 2005). Ethics in research “refers to the appropriateness of your behaviour in relation to the rights of those who become the subject of your work, or are affected by it” (Saunders, Lewis, and Thornhill 2007: 178). The research design needs to be undertaken in a moral and responsible way, and be morally as well as methodologically defensible (Saunders, Lewis, and Thornhill 2007). Ethical principles are based around the avoidance of harm, both to those being involved in the research and also to the researcher themselves (Saunders, Lewis, and Thornhill 2007). This can include the way in which consent is obtained, the preservation of confidentiality, data collection methods, and the way findings are then used (Saunders, Lewis, and Thornhill 2007).

The research was conducted in strict adherence to Coventry University ethical guidance. It is important to follow the guidelines of the university ethics committee, as these have an important role in providing advice with regards to any ethical implications that the research design indicates, as well as making a judgement on research which involves dilemmas regarding ethics (Saunders, Lewis, and Thornhill 2007). Ethical approval was obtained before the initial data collection was undertaken, and further ethical approval was obtained before the semi-structured interviews were undertaken. In addition to this, all participants in the research were provided with a participants' information sheet and a consent form ahead of the interviews to ensure that full consent had been obtained for the interview before it takes place. These included the ethical guidelines of Coventry University and a summary of the research. Likewise, permission was sought not simply for the interview but for the interview to be recorded and data to be analysed and stored under strict Data Protection requirements. In all instances, the researcher offered the interviewee an opportunity both before and after the interview to ask any questions regarding the research being undertaken. The researcher also provided an executive summary of the research findings to all participants.

### **3.9 Summary**

This chapter has covered the philosophy, research design, and methodological approach which was undertaken during this research. It has outlined the research philosophy which inspires the methodology and provided the research design underpinning the comparative research and the case study approach. The chapter then provided the rationale behind the choice of case studies. From this position it then moved on to provide details of the methodology utilised during the course of the research, describing the range of methods used including documentary analysis, key informant interviews, and the use of semi-structured interviews of cultural organisations and philanthropists. This research approach enabled the detailed investigation of the different national environments of arts funding and philanthropy in the respective countries, and the different actors involved, and from this generates data and findings to support the assessment of the different potential or similar varieties of philanthropy and their framing of arts funding models. Possible impacts of these were also investigated. Given all this it is then possible to answer the research question and assess

whether philanthropy can indeed provide a new funding model for the arts and culture in different European states.

## Chapter Four: Mapping the Arts Funding Landscape

### 4.1 Introduction

The following chapter will outline the funding landscape of the three countries chosen as case studies to investigate the landscape of arts philanthropy. This involves three sections covering each of the case study countries, England, the Netherlands, and Denmark. As outlined in chapters two and three, these were chosen based on the criteria of different varieties of capitalism and the specific funding challenges for cultural organisations. Each of the three countries is based on a different variety of capitalism and potential 'variety of arts philanthropy', and each is facing reductions in funding for cultural organisations and restructuring of arts funding and cultural policy.

The chapter maps the arts funding landscape of the three case study countries. To do this it begins by setting out common frames of reference, including the governance of cultural policy and state funding to the arts and culture. This includes outlining the situation regarding arts funding in terms of the key actors involved in each country; focusing on the levels of public funding and the place of the state, the role of the private sector and, in particular, focusing on philanthropy in each country.

The chapter then moves on to set out the core components of the analytical framework, drawn from the literature review, and that is used to describe the funding landscape of each case study country in turn. The key components of arts funding include running through public arts funding, followed by private arts funding, in its various forms and, followed by the cultural policy context of the respective country. A picture is revealed of three countries with a long history of philanthropy in the arts and culture and a more recent history of public arts funding, but which differ on key points regarding the extent to which the direction of the cultural sector is towards the private sector, and the form that is taking. In England and the Netherlands this involves assessing public funding and then investigating in more detail private investment in the arts and culture, whilst in Denmark the focus is on public funding given the extent of this. The chapter concludes by observing these similarities and differences

between each country, making it possible to ask the question concerning potential different ‘varieties’ of arts philanthropy.

## **4.2 Understanding the case study countries**

None of the three case study countries – England, the Netherlands, and Denmark – are unitary states. Rather, each of them is a constituent part of a kingdom.

The UK (United Kingdom) constitutes England, Scotland, Wales, and Northern Ireland, in addition to the Overseas Territories and Crown Dependencies (Fisher and Figueira 2011). Cultural policy is a devolved matter, and the respective devolved assemblies and parliaments of the four constituent countries deal with issues of cultural policy and arts funding. These are the House of Commons for England, the Scottish Parliament, the Welsh Assembly, and the Northern Ireland Assembly. Cultural policy in the UK is administered across the four constituent countries in England by the Department for Culture, Media and Sport, in Scotland by the Department for Culture, Tourism and External Affairs, in Wales by the Department for Economy and Infrastructure in Wales, and in Northern Ireland the Department for Communities.

The Kingdom of the Netherlands constitutes the Netherlands, the Caribbean Netherlands which include Bonaire, Sint Eustatius, and Saba and which count as special municipalities within the Netherlands rather than distinct countries, in addition to Aruba, Curaçao, and Sint Maarten, all of which are subject to some European Union legislation as EU Overseas Countries and Territories (Van der Leden 2017).

Likewise, the Kingdom of Denmark constitutes Denmark, the Faroe Islands, and Greenland, each being a constituent country of the Kingdom of Denmark rather than an independent country (Duelund, Valtysson, and Bohlbro 2012; Heikkinen 2003). Denmark is a member of the European Union whilst the Faroe Islands and Greenland are not, but the Faroe Islands and Greenland do nonetheless have seats in the Danish Parliament and are represented by Denmark in matters of foreign policy (Duelund, Valtysson, and Bohlbro 2012; Heikkinen 2003).

This is significant as the three case study countries therefore each have constituent parts, and in each of these cases the constituent countries have their own cultural policy as in all instances this is a devolved matter rather than a matter which is dealt with by the overarching state. For practical reasons, this research shall focus on England, the Netherlands, and Denmark.

The relationship of the states with the EU (European Union) is also of relevance. Whilst all four countries of the UK are members of the EU at the time of writing, Denmark and the Netherlands are members of the EU but the other constituent countries within the respective kingdoms are not despite both Greenland and the Faroe Islands having seats in the Danish Parliament, and in 2016 the UK voted in a referendum to leave the European Union. The EU has a variety of different relationships with these countries, ranging from full membership of the EU, European Union Outermost Regions, European Union Overseas Countries and Territories, to non-European Union territories which have special relations with the EU.

#### **4.2.1 Arts Councils and the arm's-length principle**

Another important dynamic to understand when considering these particular case study countries is the role of 'arts councils'. All three have an Arts Council – the Arts Council England, the Raad voor Cultuur or Council for Culture in the Netherlands, and the Statens Kunstfond or Danish Arts Foundation in Denmark. Whilst having their own specific traditions and histories surrounding their formation, all of these emerged in the post-war period in the spirit of ideas by people such as John Maynard Keynes who suggested that 'high culture' should be provided through public funding for the benefit of the population (Upchurch 2016). All of these are government bodies and all of these operate an 'arm's-length principle' meaning that whilst the funding is public money, there is distance between the government and the decisions made. The extent of government influence or distance varies according to the country.



### 4.3 A framework and core components to describe and compare funding landscapes

Following the literature review and given the research questions, the following core components of any arts funding landscape were identified (Table III).

**Table III: Components of the arts funding landscape**

<b>Component</b>	<b>Description</b>
<b>Central Government</b>	State funding of the arts and culture – can take the form of public funding through arts councils (see below), or through legislation including tax reliefs.
<b>Arm's-length bodies</b>	Bodies operating following the arm's length principle with public funding but following their own policies and funding decisions. The structure, and the distance and extent of influence between government and the body, varies according to country.
<b>Municipalities</b>	Municipalities providing public funding for the arts and culture. The nature and extent of the devolution of local and municipal authorities and the arts funding system varies according to country.
<b>Trusts and foundations</b>	Private trusts and foundations which provide grants for the arts and culture.
<b>National Lotteries</b>	Funding for the arts and culture, amongst other causes, provided by lotteries.
<b>Business investment</b>	Corporate funding for the arts and culture as part of areas such as sponsorship, marketing, branding, and/or corporate social responsibility.
<b>Individual and household giving</b>	Membership schemes run by cultural organisations, legacies, low and high scale donations to the arts and culture, and individual funds set up with cultural organisations. This is the area normally identified with philanthropy.
<b>Other private organisations</b>	A variety of different forms of assistance to the cultural sector from private organisations which take on a range of forms which vary according to country. This may involve training and development programmes, consultancies and services to cultural organisations, civil society and voluntarism, and the banking sector assisting through encouraging cultural entrepreneurship and investment such as through low-interest rate loans.
<b>Commercial revenue</b>	Revenue raised by the cultural organisation through commercial sales, such as ticket sales or merchandise, food, and drink.

Table developed for this thesis.

## **4.4 The arts funding landscape of England**

This section maps the landscape of arts funding in England. It begins by outlining the structure and components of cultural policy and arts funding. This examines the provision of funding for cultural organisations, the direction of cultural policy, and how this takes place on a national and a regional level. The section then investigates the breakdown of public and private arts funding in England including an outline of the trends in arts funding. By bringing these elements together, the landscape of arts funding in England is visible.

### **4.4.1 Cultural policy**

In England, cultural policy is primarily dealt with by the Department for Culture, Media and Sport (DCMS). The other devolved parliaments of the United Kingdom are largely responsible for their own cultural policy decisions. The DCMS, whilst being a UK department which deals with cultural policy principally for England, works together with the other respective devolved departments and where appropriate with other governmental departments. Public arts funding is dealt with through the arms-length principle by the Arts Council England, a public funded body responsible for funding decisions regarding the arts and culture which is responsible for the distribution of government and National Lottery money to the arts and culture in England.

In March 2016, the DCMS under the majority Conservative Government published a Culture White Paper, the first such white paper for culture since Jennie Lee's White Paper for the arts in 1965 (Department for Culture, Media and Sport 2016a). This white paper emphasises the priority of the Government towards a mixed-model of financing for the arts and culture, on the basis that "Since the Second World War, we have developed a unique model of cultural investment in which public funding sits alongside private investment, philanthropy, and earned income" (Department for Culture, Media and Sport 2016a: 50). This includes, for example, through funding via the Exchequer, the National Lottery Fund, the National Heritage Memorial Fund, and the ArtFund, as well as supporting free public access to national museums and galleries (Department for Culture, Media and Sport 2016a). It also includes setting the regulatory framework for charity fundraising and charitable giving (Department

for Culture, Media and Sport 2016a). Nonetheless, whilst the government states its continued belief in public investment in culture, “The government believes there is scope for cultural organisations to benefit further from philanthropy and private donations and to make greater use of non-grant funding, including commercial revenues” (Department for Culture, Media and Sport 2016a: 50). The white paper emphasises a key component of this research, that “In recent years, many cultural organisations have responded to changing economic circumstances by reviewing their structures, governance and operating models and diversifying their funding streams” (Department for Culture, Media and Sport 2016a: 50).

One measure that has been utilised to encourage private giving to the arts and culture is via the tax system. There are a number of creative industry tax reliefs (HM Revenues & Customs 2016a; HM Revenues & Customs 2016b; HM Treasury 2016) covering film, animation, high-end television, children’s television, video games, theatre, and orchestras (HM Revenues & Customs 2016a). These are considered by the British Government as state aid (HM Revenues & Customs 2016a). Taking the Theatre Tax Relief and the Orchestral Tax Relief, for example, relief is provided through an additional deduction when the taxable profits or losses of the separate theatrical trade is calculated, and from this either reducing the profits which can be taxed or through creating or enhancing a loss (HM Revenues & Customs 2016a). A proportion of this can then be surrendered for a tax credit, with the deduction the lower of 80% of the total expenditure of the theatre production and the European Economic Area expenditure (HM Revenues & Customs 2016a). There is, therefore, a general move towards a more mixed model of funding for the arts and culture, despite the challenges presented by the impact of cuts in particular affecting regional and local authorities (Arts Quarter 2016b).

#### **4.4.2 Arts funding**

There are three principle forms of funding for the arts and culture, these being public funding, private investment, and earned income. These components can be further broken down as represented in Figure VIII. These figures are based on data from the Arts Council England and MTM (2016) that 18% of private investment towards the arts and culture comes from private investment, including individual giving, giving from trusts and foundations, and business giving, equating to £480 million.

**Figure VIII: Arts funding in England 2014/15**

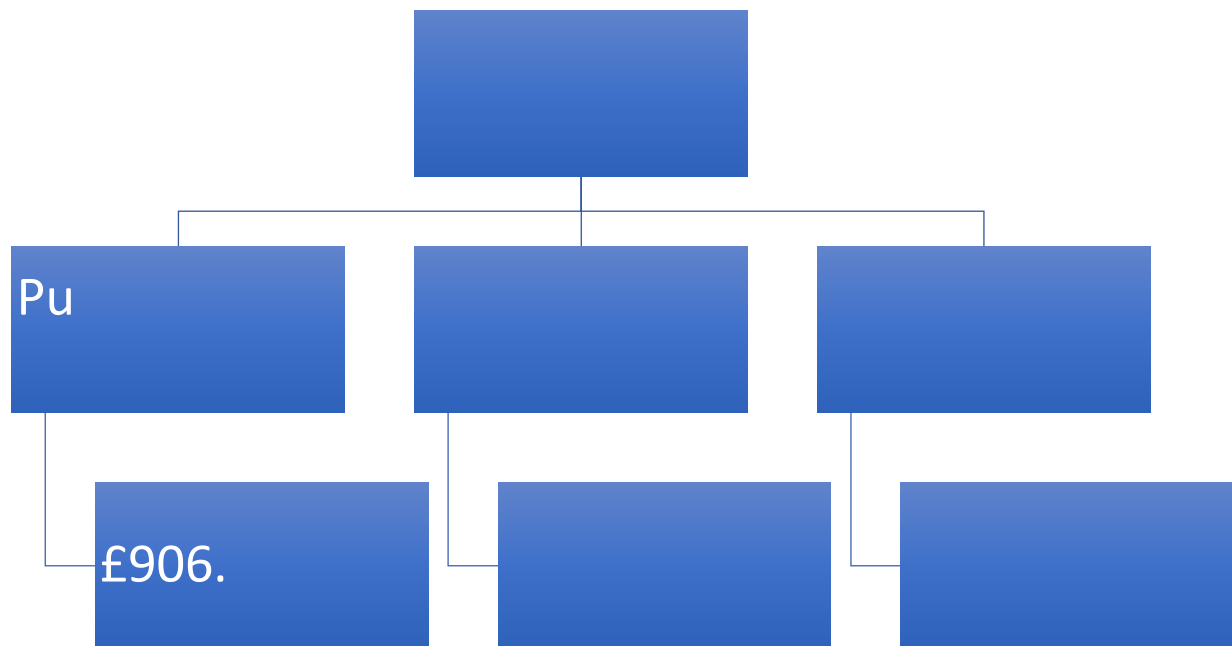


Diagram developed for this thesis

In England, the principle revenue for cultural organisations is earned income, which makes up just under half of their revenue. At 34%, public funding makes up around a third of revenue, with the remainder being earned via private giving. These figures, based on figures from the Arts Council England and MTM (2016), represent a slight shift from 2013/14 Arts Council England figures which suggested 52% of commercial revenue, 12% private funding, 28% Arts Council England funding, and 8% from other public funds such as local authority and local public grants making a total of 36% public funding (Arts Council England 2014). What can therefore be seen here is a slight increase in private funding, and a slight decrease in public funding, whilst earned income remains relatively stable between 48-52%. The figures from 2011/12 – 2014/15 are represented in Table IV. The figures for National Portfolio Organisations<sup>7</sup> alone can be seen in Table V. This similarly shows a gradual trend away from public funding which was previously the largest component of revenue, a gradual increase in

<sup>7</sup> National Portfolio Organisations are those organisations included within the National Portfolio of the Arts Council England, which is an integrated funding stream available for organisations in the arts and culture (Arts Council England 2016h).

earned income has overtaken public funding as the largest component of revenue, and a gradual increase in private investment as a form of revenue.

**Table IV: Investment in the cultural sector in England**

	<b>2011/12</b>	<b>2012/13</b>	<b>2013/14</b>	<b>2014/15</b>
<b>Public</b>	41%	36%	36%	34%
<b>Arts Council England</b>	29%	27%	28%	N.A
<b>Other public funds</b>	12%	9%	8%	N.A
<b>Private</b>	11%	12%	12%	18%
<b>Earned income</b>	49%	52%	52%	48%

Table developed for this thesis based on Arts Council England (2013; 2014a; 2014b; 2014c; 2015b) and Arts Council England and MTM (2016).

**Table V: Total income for Arts Council England National Portfolio Organisations**

	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16
<b>Public funding</b>	46%	40%	40%	37%	38.4%	37.1%	35.8%
<b>Arts Council England</b>	33%	29%	29%	28%	26.6%	25.8%	24.5%
<b>Local authority funding</b>	13%	8%	8%	6%	7.8%	7.1%	7.7%
<b>Other public subsidy</b>	Included in local authority figures	3%	3%	3%	4%	4.2%	3.6%
<b>Earned income</b>	45%	50%	50%	51%	49.8%	51.1%	51.4%
<b>Contributed income</b>	9%	11%	11%	12%	11.8%	11.9%	12.8%

Table developed for this thesis based on Arts Council England (n.d.d; n.d.e; n.d.f; n.d.g; n.d.h; n.d.i; n.d.j; n.d.k; n.d.l; n.d.m).

The size of the cultural organisation receiving funding is also significant. Table VI represents how the different streams of revenue break down according to the scale of the organisation. What can be seen is that both large and major cultural organisations – those earning between £1million and £5million per year, and those earning over £5million – earn just under half of their revenue from traded income, 17% from private giving, and around a third, 33% and 34% respectively, from public funding. Medium-sized cultural organisations, those earning between £100,000 and £1million per year, received slightly under a quarter of their revenues from private investment, just over a third from earned income, and the largest proportion, 42%, from public funding. Small organisations, those earning less from £100,000 a year, earned 29% of their income from private investment, 31% from earned income, and 39% from public funding. These figures suggest that the large organisations derive their revenues for the most part from earned income and to the least extent from private investment, whilst smaller and medium sized organisations are more heavily reliant on public funding rather than earned income, but also derive a high proportion of their income from private investment. This in turn suggests that as public funding is reduced, this will affect smaller and medium sized organisations to a greater extent as they have less of an

established route for earned income and more reliance on public funding, but equally that there may be potential to develop private investment and earned income.

**Table VI: Total income – breakdown by income scale (% , 2014/15)**

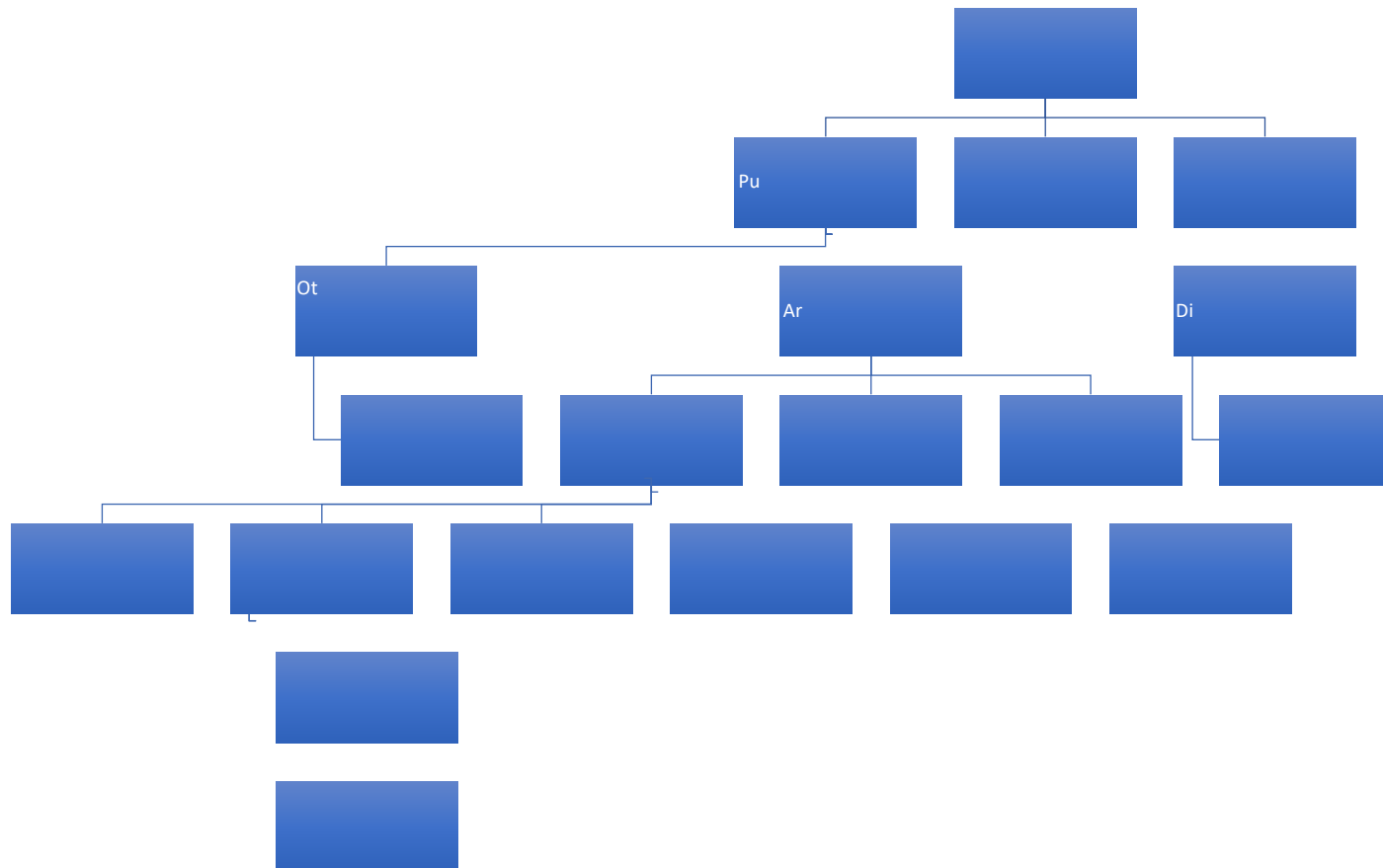
<b>Scale</b>	<b>Major (£5million+)</b>	<b>Large (£1million to £5million)</b>	<b>Medium (£100k to £1million)</b>	<b>Small (less than £100k)</b>
<b>% of the Sector</b>	76%	15%	8%	1%
<b>Public Funding</b>	33%	34%	42%	39%
<b>Earned Income</b>	49%	49%	34%	31%
<b>Private Investment</b>	17%	17%	24%	29%

Table developed for this thesis based on Arts Council England and MTM (2016).

#### **4.4.2.1 Public arts funding**

Public funding for the cultural sector can be split up into several forms (see Figure IX). The DCMS provided Grant-in-Aid to the Arts Council England of £463 million and £396 million of Lottery funding in 2015/6 (Arts Council England 2016a). There was a total of £851.8 million given in Grant in Aid and Lottery funding in 2014/15 of which £207 million was lottery funded, which included £148.5 million for strategic funding programmes, £78.2 million for Grants for the Arts, £40.3 million for Museums, and £519.4 million for NPOs (National Portfolio Organisations), but also £3.1 million for libraries, £3million for other Grant in Aid Spend, £30.2 million for support costs, and then £58.7 million for music education hubs million and £5.3million for music education and cultural education respectively which came out of the budget of the Department of Education (Arts Council England 2016b). In addition, the DCMS provides direct funding to certain museums and galleries deemed of national importance, amounting in total to £276.9 million in 2014/15 (Dempsey 2016).

### Figure IX: Public funding of the cultural sector in England



\*Includes £207 million of lottery funding for the period 2015-18

\*\*This figure is not part of the public funding for the cultural sector, but expenditure of the Arts Council England

Diagram developed for this thesis.



In 2016, the Arts Council England launched its new National Portfolio, its integrated funding stream available for organisations in the arts and culture (Arts Council England 2016h). A total of £409 million will be available through 2018-2022, including £341 million of grant-in-aid and £68 million of National Lottery funding (Arts Council England 2016h). There will be an increase of £37 million per annum on the investment period of 2015-18 in order to aid the Arts Council's ambition of a 4% uplift in the proportion of the budget spent outside of London, support the integration of museums and libraries, and bring new, small, diverse organisations into the National Portfolio (Arts Council England 2016h). This will be the first time that museums, cultural organisations, and libraries can apply for National Portfolio investment, showing a more integrated approach for partnerships as cultural organisations are encouraged to more easily collaborate and partner together on projects and build links (Arts Council England 2016e; 2016h). This also suggests a new route of public funding opening for these particular forms of cultural organisations such as museums and libraries, and that public funding as a whole is becoming more integrated and connected, encouraging partnerships. In addition, the funding period has been increased from three to four years (Arts Council England 2016h). The four new categories supported in the National Portfolio will be the inclusion of museums and libraries in the portfolio, lengthening the funding agreements from three to four years, introducing three bands – £40,000 to £250,000, £250,000 to £1 million, and over £1 million – and introducing a category for sector support and service organisations into the portfolio which support the cultural sector rather than simply delivering arts and culture, for example, library sector organisations (Arts Council England 2016e). This suggests a move towards a more rounded approach to the cultural sector, seeing the 'arts ecology' as interlinked rather than simply about the arts and culture themselves. This approach of supporting organisations which support the cultural sector as well as the cultural organisations themselves also points towards a move towards increased sustainability beyond public funding as cultural organisations are encouraged to use public funding to improve their long-term business sustainability. The three bands will be £40,000 to £250,000, £250,000 to £1 million, and over £1 million (Arts Council England 2016f).

Grants for the Arts is an investment of National Lottery funding which includes small grants for individual artists and community groups. Strategic funds target specific challenges such as Creative People and Places, a Strategic Touring Programme, a Capital Funding Programme,

Catalyst which encourages the diversification of funding streams to include private funding, digital work, and the Creative Employment Programme (Culture, Media and Sport Committee 2014b). The element of this which pertains to the diversification of funding streams is important, as it points to the direction of policy whereby where public funding is used, it is increasingly used to assist cultural organisations ultimately move away from public funding in the long-term including through increased earned income and increased private investment.

In terms of arts funding from the Arts Council, there are a total of 663 cultural organisations with 665 funding agreements being supported as NPOs in the period 2015-2017, down from 703 cultural organisations in the period 2012-2015 (Arts Council England 2014a). This is represented in Table VII. This includes 46 new organisations joining as NPOs and 60 leaving, and the number of major partner museums increasing from 16 to 21 (Arts Council England 2014a). In the period of 2015-2018 the amount of Lottery money being put into the National Portfolio increased from £29million to £69.5million with this being invested in touring and work with children and young people (Arts Council England 2014a).

An important element of public arts funding – and a point which will also be seen to be relevant in terms of private investment in the arts and culture – is the regional dimension. Table VIII shows the regional variance of NPOs in England during the periods 2012-2015 and 2015-2018.

**Table VII: National Portfolio Organisation funding arrangements across England**

	<b>2012-2015</b>	<b>2015-2018</b>	<b>Variance</b>
<b>London</b>	254	243	-4.33%
<b>Outside London</b>	449	422	-6.01%
<b>South East</b>	71	69	-2.82%
<b>South West</b>	80	81	+1.25%
<b>Midlands</b>	92	86	-6.52%
<b>North</b>	206	186	-9.71%
<b>Totals</b>	703	665	-5.41%

Table developed for this thesis based on Arts Council England (2014a).

Whilst this indicates a move towards including NPOs from outside of London, the variance in NPOs shows the greatest decline in the North followed by the Midlands, and the South West actually has a slight increase. Of the total number of NPOs, 36% are based in London, and receive 24% of all funding for NPOs (Dempsey 2016). With Major Partner Museums (MPMs) the distinction is more pronounced. The vast majority of MPMs are from outside of London, although this is in part because those in London are funded directly by the Department for Culture, Media and Sport.

**Table VIII: National Portfolio Organisations and Major Partner Museums in and outside London**

		<b>2008-2012</b>	<b>2012-2015</b>	<b>2015-2018</b>
<b>Outside London</b>	<b>National Portfolio Organisations</b>	49%	51%	55%
	<b>Major Partner Museums</b>	89%	91%	N.A
<b>London</b>	<b>National Portfolio Organisations</b>	51%	49%	45%
	<b>Major Partner Museums</b>	11%	9%	N.A

Table developed for this thesis based on Arts Council England (2014a).

When considering those organisations included as NPOs, there has been a gradual move towards NPOs from outside London (Table IX). In terms of total grants the move towards the regions and away from London can be more clearly seen in Table IX. All of the regions, with the exception of London, saw an increase in their total grants, whilst London saw a decrease.

**Table IX: Total grants**

	<b>2012-2015</b>	<b>2015-2018</b>	<b>Variance</b>
<b>London</b>	498.3 million	£443.8 million	-10.92%
<b>South East</b>	£86.4 million	£89 million	+2.99%
<b>South West</b>	£56.8 million	£59.8 million	+5.31%
<b>Midlands</b>	£171 million	£174 million	+1.75%
<b>North</b>	£208.5 million	£211.8 million	+1.55%
<b>Total Funding</b>	£1,020,943,573	£978,329,160	-4.17%

Table developed for this thesis based on Arts Council England (2014a).

This regional dimension also has a particular relevance given that local authorities play an important part in public arts funding. This has come under particular pressure in the light of public funding cuts towards the arts and culture (Dempsey 2016; Harvey 2016). Between 2009/10 and 2014/15 there was a 20% reduction in spending by English local authorities which amounted to a reduction in spending of 23% per person when population growth was considered (Harvey 2016). This has resulted in areas such as culture being hit even harder (Dempsey 2016) due to an attempt to protect other areas such as social care (Harvey 2016). Whilst there is an attempt to protect some cultural services, there may be little choice but to fund only statutory services, necessitating cuts to culture (Dempsey 2016).

The cultural sector has seen a decline in local government funding from £1.42 billion to £1.2 billion, although it should be noted that the largest component of this funding is towards libraries (Harvey 2016), which is not being investigated within this research in terms of arts funding. The effect specifically on the arts and culture is pronounced. One in five regional museums and galleries have closed or are planning to close, and again there is a strong regional dimension to cuts (Harvey 2016). There have been more severe cuts to London boroughs and the East and West Midlands, and least severe cuts to Shire counties and the South West (Harvey 2016). Relating this to the afore mentioned funding from the Arts Council England, there has been a steady decline in local authority funding for NPOs across all regions, although some specific instances stand out such as a significant reduction in the Midlands in 2012 (Harvey 2016).

Whilst local authorities have been told to expect further reductions to their budgets, the 2015 Spending Review also announced a number of measures which mean that local spending will actually increase in cash terms, funded by council tax and business rates (Harvey 2016). Further changes to local authority funding were announced meaning that local authorities will from 2019 be able to retain 100% of their business rates income, local authorities will be able to levy a tax on social care of up to 2% on council tax, and the possibility to spend capital receipts from asset sales on the revenue costs of reform projects will be open to local authorities (Harvey 2016). In this way, local authorities are facing further budget reductions, but equally being give the power and responsibility to raise more of their own funds. In principle, this would allow them to direct business rates income to arts and culture.

#### **4.4.3 Private investment in the cultural sector**

In addition to public funding for the arts and culture via the Arts Council England, there is also an important place for private investment of the arts and culture. There are three principle forms of private investment to the arts and culture; private giving, trusts and foundations, and business giving. The revenue from private investment then breaks down into private giving from individuals, business investment, and the giving from trusts and foundations, the distinctions and subsections of which were outlined in Chapter Two. This is represented in Figure X.

**Figure X: Private arts funding in England 2014/15**

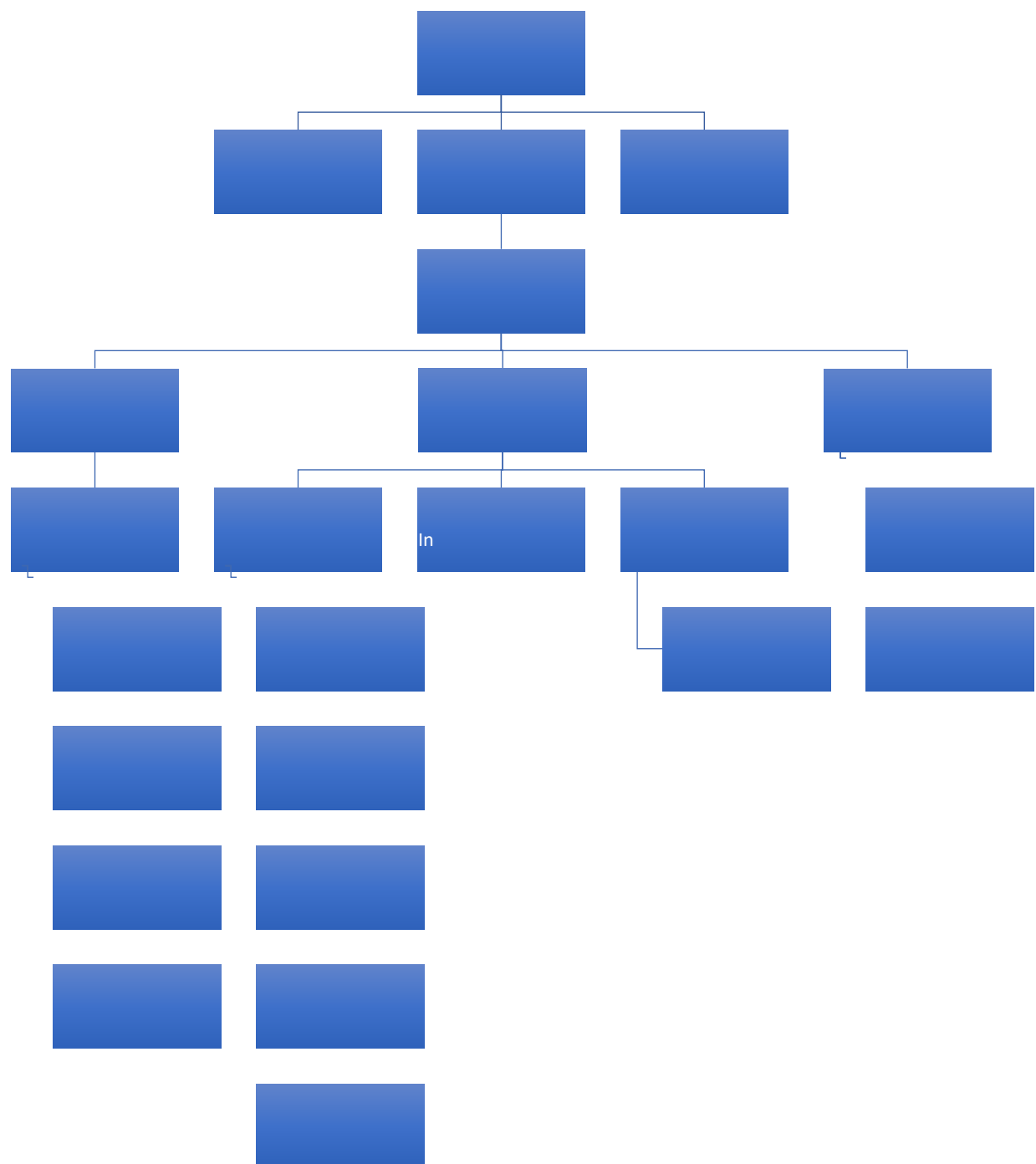


Diagram developed for this thesis.

#### 4.4.3.1 Arts philanthropy

Philanthropy is acknowledged as an increasingly important component of arts funding in the United Kingdom (Department for Culture, Media and Sport 2010; 2014; 2016a; Arts Council England and MTM 2016). In 2010 the Conservative-Liberal Democrat Coalition Government announced a ten-point philanthropy plan for culture. This plan included an £80 million fund which would be invested in a series of match fund schemes, the intention of which was to raise for the cultural sector an equivalent amount or more from private donors (Department for Culture, Media and Sport 2010; 2014). This ultimately evolved into the Catalyst programme (Arts Council England n.d.c). There is the expectation that this sector is going to grow further, and despite challenges, the sector is positive about a move towards a more mixed model of generating income (Arts Council England and MTM 2016). Despite this, there is an acknowledgement that this can only go so far. The Culture, Media and Sport Committee (2014b: 15) noted that:

“While there is surely scope for any arts organisation to raise more money through philanthropy, £5 cheques—even lots of them—will only go so far. Any constraints attached to public funding both for the arts in general and for specific projects ought to be informed by a realistic, quantitative assessment of the scope for philanthropic giving and self-help.”

In this regard, arts philanthropy is not simply viewed as encouraging private donations, but rather as building partnerships, including with the public sector, and encouraging a conversation with donors (Culture, Media and Sport Committee 2014a; 2014b).

Whilst the interest in private funding for the cultural sector has, as outlined, shown renewed interest following the 2008 financial crisis, it is not the first time that there has been a push for increased private funding or government incentives for corporate funding of culture. As outlined in sections 2.2.1 to 2.2.3 there was increased interest during the 1980s amidst the ‘New Right’ – both in the United Kingdom and in the United States of America – in shifting the funding of the arts and culture to the corporate sector (Wu 2002). This is important given that the professionalisation of the fundraising profession in the United Kingdom can to a large extent trace its routes to that time (Hewison 1997; 2014; Turnbull 2008; Wu 2002). Indeed,



Colin Tweedy, the then director of the Association for Business Sponsorship of the Arts, suggested in 1991 that one of the cornerstones of Thatcherism was arts sponsorship (Wu 2002).

When the Association for Business Sponsorship of the Arts was formed in 1976, chaired by Lord Goodman, whilst sponsorship of sporting events was common and well established, less than one million pounds a year went towards sponsorship of the cultural sector (Hewison 1997). By the time of Margaret Thatcher's Conservative Party coming to power in 1979, this figure had risen to approximately four million pounds a year in business sponsorship (Hewison 1997). Norman St John-Stevs formed a 'Committee of Honour' to further encourage this with a pamphlet entitled "The Arts are Your Business" (Hewison 1997: 257). The Business Sponsorship Incentive Scheme was set up in 1984 and administered by the Association for Business Sponsorship of the Arts, and involved the government adding further sums of money to a deal once it had been agreed (Hewison 1997). One problem with this, however, was that whilst there was some successful fundraising from private sources, it still tended to go towards the more prestigious and well-known companies rather than, for example, regional theatres, and when private funding was obtained for these sorts of companies it was more often on a project by project basis rather than for the long-term, and in relatively small amounts (Turnbull 2008). Further, changes in the economy also impacted the extent to which businesses were willing to give to cultural organisations (Turnbull 2008). This led to the situation where a cultural organisation might be putting a great deal of time and effort into fundraising for a relatively small return (Turnbull 2008).

As time went on, the need to seek sponsorship became an established and accepted part of the thinking of cultural organisations and indeed in 1989 the Arts Council set up its own sponsorship unit to seek sponsors for itself on the advice of the consultants Strategic Sponsorship Ltd (Hewison 1997). This was all part of the enterprise culture being pushed by the government (Hewison 1997; Wu 2002). It was also driven by funding reductions for the cultural sector. In the first budget of the new government, it became clear that the cultural sector would no longer necessarily be protected (Turnbull 2008). Whilst an initial cut of £5 million to the arts grant of £61,275,000 which was put in place by the previous Labour government was partially restored so that the amount was actually only £1,114,000, the

direction of travel was clear (Turnbull 2008). Then, as government funding was cut, the Arts Council likewise responded by cutting its own funding, in part due to the abolition of metropolitan authorities and the loss of arts funding that came with that, and in part due to cuts to local authorities (Turnbull 2008). Private funding and sponsorship came to be seen as a core part of the funding of cultural organisations rather than an additional extra, with people such as the then Artistic Director of the Royal Shakespeare Company, Adrian Noble, confirming that sponsorship went towards funding core activities (Hewison 1997). Increasingly, the language of the consumer was used, for example, describing customers rather than audiences (Hewison 1997). Indeed, the Finance Director of the Arts Council, Anthony Blackstock, commented in an interview with the Sunday Times in 1985 that “You have to talk to this government in the language it understands” (Hewison 1997: 258). This was further emphasised with the publication of “A Great British Success Story” (Turnbull 2008: 88), an attempt by the Arts Council to get an increased grant which sold the benefits of the cultural sector in commercial terms such as employment and Britain’s image in other countries (Hewison 1997; Turnbull 2008). This document, however, also included a section on investment through business sponsorship (Hewison 1997; Turnbull 2008). As Hewison (1997: 287) argues, “Business sponsorship of the arts made the closest connection between commerce and culture, and served subtly to shape artistic programmes and policy, more by what was not sponsored – and therefore not seen – than by what was.” In this way, whilst arguing for funding, the Arts Council itself was encouraging private giving. The Arts Council promoted sponsorship and also collaborated with business itself (Wu 2002). Indeed, in 1987 a Department of Marketing and Resources was set up which helped clients organisations and also the Arts Council improve their skills in marketing and fundraising (Wu 2002).

In 1984, purchase grants for new acquisitions by museums were frozen, and then reduced by an average of 13%, and underfunding forced museums to have an increased focus on marketing, sales, and business sponsorship (Hewison 1997). Whilst the government argument was that lower tax rates meant that private giving would be encouraged from companies and wealthy individuals, the government did little to encourage this through the tax system, beyond relatively minor measures of tax relief in the budgets in 1986 and 1990 (Hewison 1997). As Hewison (1997: 301) observes, the dominance of private patronage in countries such as the United States of America “is only possible because public policy encourages it”.

There was a Business Sponsorship Incentive Scheme set up in 1984 in an attempt to encourage sponsorship through matching funds (Wu 2002). However, as Wu (2002: 63) comments, “the scheme virtually entrusted business with the power of using taxpayers’ money”. Further, there was also a feeling in the corporate sector that business and sponsorship should and could not replace public funding (Hewison 1997). Nonetheless, arts funding stayed on average slightly ahead of inflation through most of the Conservative government, although this included funding to compensate for the abolition of the metropolitan authorities meaning that in practice arts funding was only slightly ahead of inflation (Turnbull 2008). The one positive development for a cultural sector facing cuts, however, came in 1994 with the establishment of the National Lottery. It was decided that a portion of Lottery funding would be given to the cultural sector and that this revenue would be administered by the Arts Council, meaning that from 1997 the funding available for cultural organisations increased by around double from 1995 onwards (Turnbull 2008).

This trend continued into the 1990s with the New Labour Government. An example of this, and the dangers surrounding business sponsorship, can be seen in the Millennium Dome. Whilst the initial expectation was that £195 million would be raised from private sources, by January 2000 only six of the twenty-six sponsorship deals had been finalised and at the time of the National Audit Office’s report, only £118.9 million had been received (Hewison 2014). Whilst at the time that New Labour left office in 2010 investment in the cultural sector had almost doubled and the cultural sector was thriving, the view still placed the market at the centre of investment, as seen in the renaming of the Department for National Heritage to the Department for Culture, Media and Sport (Hewison 2014), and in the focus on the ‘creative industries’ and the ‘creative economy’ (BOP Consulting 2010; Hewison 2014) discussed in section 2.2.3 of Chapter Two.

This ideological notion that if the state stepped back, private patronage would step in and fill the gap, was likewise counterintuitive under the Conservative-Liberal Democrat Coalition Government, given that people are less likely to give during a recession (Hewison 2014). Whilst Lottery funding was used to fund cultural organisations and projects, as Hewison (2014: 165), “A game of chance could not be a reliable source of funding, and although the

Arts Council found itself increasingly doing so, using lottery funds to replace core funding risked breaching the principle of additionality enshrined in the National Lottery Act of 2006.” The broad private funding landscape is represented in Figure VIII. There was a total of £480 million of private investment in culture in 2014/15, and of this £96 million came from businesses, £245 million came from individuals, and £139 million came from trusts and foundations (Arts Council England and MTM 2016). As can be seen, individual giving makes up the largest component of private giving, and the majority of this comes from individual donations. Individual givers favour the largest organisations and those in London (Arts Council England and MTM 2016), with the impact that this has as a form of class distinction, raising their social class and improving their cultural capital (Bourdieu 1984; Bourdieu 1993; Bourdieu and Haacke 1995; Harvey et al 2011; Kail, Simmons, and Bagwell 2015), as discussed in section 2.5.3 of Chapter Two. Of business investment, over half comes from cash sponsorship, with the remainder coming from a mixture of in-kind sponsorship, corporate donations, and corporate membership. The fifty largest recipients account for 60% of the total of private funding provided for cultural organisations (Arts Council England and MTM 2016). Private investment grew by 21% in the period of 2014/15, in large part as a result of high-level individual donations to the largest recipients (Arts Council England and MTM 2016). The importance of private investment is, however, particularly significant amongst smaller organisations, and those organisations outside of the largest 50 organisations have experienced 8% growth by annum of the preceding two years (Arts Council England and MTM 2016). Indeed, whilst private investment accounted for 18% of total income for arts and cultural organisations in 2014/15, it accounted for 29% of the total income of those organisations with a total income of below £100,000 (Arts Council England and MTM 2016).

There is also an important place for trusts and foundations in the arts funding landscape. Many of these have their origins in families and a history of supporting particular areas of concern for their original founders. They very often had their origins in the wealthy industrialists of the 19<sup>th</sup> Century seeking to assist their employees (Pharoah 2009; Pharoah, Keidan, and Gordon 2011), or for religious reasons, with Jewish philanthropy having a particularly prominent and important place in the landscape of British foundations (Pharoah 2009).

In the years following the 2008 financial crash there were some changes to private giving. Business investment in English cultural organisations had risen slightly from £113.6 to £113.8 million in 2011/12 (Kömhoff, Heinsius, and Van Dorssen 2013; Arts & Business 2013). Support by individuals to the arts and culture in England rose by almost £23 million between 2010/11 and 2011/12, reaching a total of £372.9 million (Kömhoff, Heinsius, and Van Dorssen 2013; Arts & Business 2013). This is a rise of 6.5% from the 2011 figures of £350 million (Kömhoff, Heinsius, and Van Dorssen 2013; Arts & Business 2013). There have, however, been changes in more recent years. As can be seen in Table X, there has been a steady decrease in the percentage of giving from businesses over the period 2012/13 to 2014/15 but a steady increase in individual giving. Giving via trusts and foundations remains relatively stable. Between 2010/11 and 2011/12, support of culture from trusts and foundations had risen by 15.8% (Kömhoff, Heinsius, and Van Dorssen 2013; Arts & Business 2013), but this appears to have levelled out, suggesting that trusts and foundations remain an important part of the private arts funding landscape in England, but the extent to which they can be viewed as an alternative to public funding may be limited.

**Table X: Total private investment in the arts and culture by category (£1million, 2012/13 – 2014/15)**

	<b>2012/13</b>		<b>2013/14</b>		<b>2014/15</b>	
<b>Business Investment</b>	£144million	36%	£124million	31%	£96million	20%
<b>Individual Giving</b>	£140million	35%	£145million	37%	£245million	51%
<b>Trusts and Foundations</b>	£117million	29%	£129million	32%	£139million	29%

Table developed for this thesis based on Arts Council England and MTM (2016).

The next consideration when looking at the breakdown of private investment in England is to consider the regional variation. This is represented in Tables XI and XII. Cultural organisations in London are significantly more successful at attracting private investment, with Yorkshire and the Humber, and the West Midlands, attracting the least, with 22% of total income coming from private investment in London and only 6% in Yorkshire and the Humber and the West Midlands (Arts Council England and MTM 2016). Cultural organisations based in London account for 66% of total private investment, broadly in line with their share of total income at 63% (Arts Council England and MTM 2016).

What is also significant is the different forms of private giving which are predominant in each region. In London, the South East, and the South West, individual giving is the largest component of private giving. In all other parts of the country, trusts and foundations make up the largest component of private giving, and indeed form the majority of private giving in the North East and East Midlands.

**Table XI: Private investment by region (% , 2014/15)**

	<b>% of Business Investment</b>	<b>% of Individual Giving</b>	<b>% of Trusts and Foundations</b>	<b>Total private investment</b>	<b>Primary type of private funding</b>
<b>London</b>	17%	59%	24%	£315million	Individual giving
<b>South East</b>	21%	50%	29%	£35million	Individual giving
<b>South West</b>	24%	40%	36%	£32million	Individual giving
<b>West Midlands</b>	23%	37%	40%	£31million	Trusts and foundations
<b>North West</b>	31%	32%	37%	£20million	Trusts and foundations
<b>Yorkshire and the Humber</b>	29%	31%	39%	£17million	Trusts and foundations
<b>East of England</b>	26%	28%	46%	£16million	Trusts and foundations
<b>East Midlands</b>	19%	29%	52%	£8million	Trusts and foundations
<b>North East</b>	24%	17%	58%	£7million	Trusts and foundations
<b>Overall</b>	20%	51%	29%	£481million*	-

Table developed for this thesis based on Arts Council England and MTM (2016).

\*The figures of £481million vs £480million are different due to rounding.

**Table XII: Private investment and total income by region (% , 2014/15)**

	<b>% of Business Investment</b>	<b>% of Individual Giving</b>	<b>% of Trusts and Foundations</b>	<b>% of Total Private Investment</b>	<b>% of Total Income</b>
<b>London</b>	57%	75%	55%	66%	63%
<b>South East</b>	8%	7%	7%	7%	4%
<b>North West</b>	10%	4%	8%	7%	6%
<b>South West</b>	8%	5%	8%	6%	6%
<b>West Midlands</b>	5%	3%	6%	4%	9%
<b>Yorkshire and the Humber</b>	5%	2%	5%	4%	5%
<b>East of England</b>	4%	2%	5%	3%	2%
<b>East Midlands</b>	1%	1%	3%	2%	2%
<b>North East</b>	2%	0%	3%	1%	2%

Table developed for this thesis based on Arts Council England and MTM (2016).



A final key area of consideration is related to private investment according to specific artforms as represented in Tables XIII and XIV. Several points of interest emerge here. Firstly, in relation to the extent to which different artforms utilise private funding as a funding stream of their total income, theatre and music use the most private

#### **Artform and forms of philanthropy**

- The largest percentage of private investment goes to the visual arts, followed by music and theatre.
- Theatre and Music have a higher proportion of their overall income from philanthropy.

funding, followed by visual arts and museums, with combined arts, dance, and literature relying much less on private investment in their income stream. As a proportion of total private investment towards the arts and culture, however, the visual arts form the largest area of private investment, followed by music and theatre, and with literature dance receiving a far smaller proportion. This suggests that theatre, music, visual arts and museums all have a relatively strong place in their revenues for private investment, but that private investment as a whole is most likely to go towards visual arts, music, and theatre.

In terms of the principal form of private giving, as with the regions, there is variance according to artform. The visual arts, music, and museums receive most of their private investment via individual giving. Non artform specific and combined arts utilise business investment. Literature, theatre, and dance have trusts and foundations as their principle form of private giving.

**Table XIII: Private investment by artform (£ million, 2014/15)**

	<b>Business investment</b>	<b>Individual giving</b>	<b>Trusts and foundations</b>	<b>% of total private investment</b>	<b>% of total income</b>
<b>Visual arts</b>	£24million	£104million	£26million	32%	17%
<b>Music</b>	£17million	£67million	£26million	23%	21%
<b>Theatre</b>	£15million	£28million	£32million	16%	22%
<b>Combined arts</b>	£18million	£11million	£17million	9%	9%
<b>Museum</b>	£7million	£19million	£15million	9%	17%
<b>Literature</b>	£6million	£3million	£6million	3%	1%
<b>Dance</b>	£2million	£5million	£8million	3%	5%
<b>Non artform specific</b>	£4million	£3million	£4million	2%	-

Table developed for this thesis based on Arts Council England and MTM (2016).

**Table XIV: Private investment by artform (% , 2014/15)**

	<b>Business investment</b>	<b>Individual giving</b>	<b>Trusts and foundations</b>	<b>Primary type of private funding</b>
<b>Visual arts</b>	16%	67%	17%	Individual giving
<b>Music</b>	15%	61%	24%	Individual giving
<b>Museum</b>	18%	46%	36%	Individual giving
<b>Non artform specific</b>	40%	26%	34%	Business investment
<b>Combined arts</b>	39%	23%	38%	Business investment
<b>Literature</b>	38%	22%	39%	Trusts and foundations
<b>Theatre</b>	20%	37%	43%	Trusts and foundations
<b>Dance</b>	12%	34%	54%	Trusts and foundations
<b>Overall</b>	20%	51%	29%	-

Table developed for this thesis based on Arts Council England and MTM (2016).

#### 4.4.3.2 Trends in arts philanthropy

The push for arts philanthropy in England has seen a number of initiatives, such as the Achates Prize for arts philanthropy which was launched in 2016 by the Achates Philanthropy fundraising consultancy (BOP Consultancy 2016). Achates Philanthropy fundraising works with organisations to assist them in achieving a long-term and sustainable position and to maximise the impact their work has, and a large amount of their clients come from the cultural sector (Achates Philanthropy n.d.). The Achates Philanthropy Prize celebrates emerging philanthropy which supports culture and involves cultural organisations nominating an individual or charity for their support and philanthropy towards the arts and culture (Achates Philanthropy n.d.). This individual is then named the winner of the prize whilst the organisation which nominated them receive £5,000 (Achates Philanthropy n.d.). In this way, arts philanthropy is encouraged, with the prestige, acknowledgement, and encouragement for the philanthropist, and the financial reward for the organisation.

Another key element in the development of arts philanthropy in England is through education and training for those involved in arts fundraising. This is to better prepare the organisations on the ground for the changing circumstances and landscape and provide a skilled labour force who can assist this transition and are prepared to engage with philanthropy as a source of revenue. One key programme involved in this is the Arts Fundraising & Philanthropy

##### **Trends in arts philanthropy in England**

- Encouragement of philanthropy through the tax system.
- Much cultural policy regarding philanthropy is orientated towards enabling cultural organisations to rely less on public funding and better their business models and development, including through consultancies, universities, and training programmes.

Programme (Arts Fundraising & Philanthropy n.d.). This programme is funded by Arts Council England and led by the Arts Fundraising & Philanthropy Consortium, with Consortium partners being Opera North, the University of Leeds, Cause4, and the Arts Marketing Association (Arts Fundraising & Philanthropy n.d.). It involves a variety of different forms of training for those involved with or seeking training in

arts fundraising and philanthropy, including through training, traineeships, digital resources, and innovative practice (Arts Fundraising & Philanthropy n.d.). This programme has been extended until March 2018 (Arts Fundraising & Philanthropy 2016).

This element of arts philanthropy moving in the direction of enabling and assisting cultural organisations to diversify their funding streams through the training of fundraisers links in with another element in the changing policy direction of the United Kingdom. The Arts Council England, for example, has been assisting organisations through programmes such as *Catalyst* and *Building Resilience*. These programmes are not aimed at simply providing organisations with money, but at encouraging a transition to a more mixed model of funding. Catalyst, for example, “supports organisations with a limited track record in fundraising to enable them to attract more private giving” (Arts Council England n.d.c), with a £17.5 million fund available for organisations which had a track record of fundraising from individuals, trusts, foundations, or businesses (Arts Council England n.d.c; Arts Council England 2016g). As such, it purposefully supported organisations trying to diversify. Likewise, the Building Resilience programme seeks to increase the resilience of cultural organisations and provide models and case studies which can be shared across the sector, using resources to provide cultural organisations with the means towards long-term sustainability.

The result of the referendum on the membership of the UK in the EU in June 2016 in which the United Kingdom voted to leave the EU has also caused uncertainty and concern in the cultural sector (BBC News 2016b; Wright 2016). Whilst prior to the vote the Arts Council England offered neutral advice on the referendum (Arts Council England 2016c), the cultural sector was largely in favour of continued EU membership with 96% surveyed by the Creative Industries Federation expressing the desire to remain (Russell 2016). Indeed, the cultural sector expects to grow less and receive less revenue from private fundraising and earned income than they had expected prior to the vote as a result of the decision to leave (Arts Quarter 2016a). There is also a greater fear of uncertainty (Arts Quarter 2016a). There are both concerns and opportunities expressed, opportunities including developing international markets with geographically more diverse regions and concerns over cross-border collaboration, but one key financial concern was over a loss of investment due to the uncertainty, and the concern of increased costs in overseas markets (Arts Quarter 2016a).

There is also substantial funding which comes from the European Union which is now at risk (Arts Council England 2016j). Further concerns include regarding the ease of movement for artistic workers, trade and the economic environment, and legal and legislative protection (Arts Council England 2016j). Any decline in economic confidence will likely affect the cultural sector (Wright 2016).

In August 2016, the Chancellor of the Exchequer, Philip Hammond, gave a statement in which he said those organisations which received funding from the European Structural and Investment Funds would have that funding guaranteed (HM Treasury et al 2016a; 2016b; Russell 2016). This was emphasised in the communication between the Chief Secretary to the Treasury, David Gauke, and the Secretary of State for Exiting the European Union, David Davis (HM Treasury et al 2016a; 2016b). Further, all projects on a multi-year basis which have signed contracts or agreements already in place will be guaranteed funding, including when these projects are due to continue beyond the exit of the UK from the EU and including those projects signed before the Autumn Statement in November 2016 (Russell 2016). The European Commission has also stated that UK businesses and universities are permitted to bid for competitive EU funds and that this may continue for as long as the UK remains a member, and likewise, the Treasury has stated that it will underwrite the payment of these awards, including when the projects are due to go beyond the exit of the UK from the EU (Russell 2016). Nonetheless, whilst these guarantees may be in place for the few years following the result of the referendum, the nature of funding or the relationship of the UK and the EU following its departure is not yet certain (Russell 2016). The Arts Council England has vowed to work with the Department for Culture, Media and Sport, the Treasury, and the Department for Exiting the European Union in order to make sure that the arts and culture are included in considerations and negotiations with regards to leaving the European Union (Russell 2016).

#### **4.4.4 Earned income**

As has been outlined, two of three principle blocks of funding for the arts and culture in England are through public funding and private funding. The third form of funding is from earned income. As represented in Tables V to VII, and Figures VIII, IX, and XI, this is by far the

largest component of arts funding, amounting approximately to almost half of the total income of cultural organisations in 2015/16, a figure which has been largely consistent, ranging between 48% and 52% from 2011/12 to 2014/15 (Arts Council England 2013; 2014a; 2016b; Arts Council England and MTM 2016). Based on the Arts Council England and MTM (2016) report that private investment amounts to 18% of funding and £480 million a year, with earned income at 48%, that means that this amounts to approximately £1280 million a year.

When considering the figures related to earned income, it is important to understand these figures in terms of the overall context of arts funding, and in terms of the trends. This includes noting the difference in methodologies with these figures. The figures from the private investment reports of Arts and Business (2009; 2010; 2011; 2012) from 2007 to 2011 are for the United Kingdom as a whole. The figures from the Arts Council England (2013; 2014; 2015) are from England alone and based on the figures from their National Portfolio Organisations. Further, the most recent figures from Arts Council England and MTM (2016) are for England alone and exclude the National Trust, the Royal Botanical Gardens, and English Heritage due to the high level of private support which these organisations receive which therefore skew the results (Arts Council England and MTM 2016). If viewed alongside the data from NPOs alone for 2014/15, the figure for earned income is 51.1%, with 11.9% coming from other contributed income and private investment, and 37.1% from public funding, of which, 25.8% came from the Arts Council England. This stands in contrast to the slightly higher levels of private investment across England as a whole, and the slightly lower levels of earned income and public funding. This suggests that NPOs receive a slightly larger proportion of their income from public funding, which should not be surprising given their relationship with the Arts Council England, and also a slightly higher proportion from earned income, which suggests that the initiatives of the Arts Council England at using public funding to develop the business models and sustainability of cultural organisations is having some success.

In this regard, the data and reporting has come from different methodologies so cannot be directly compared. An Arts and Business (2013) report for 2011/12 suggested that the breakdown of income was 41.4% public funding, 36.7% earned income, and 21.9% private investment. If taken alongside the Arts Council England (2013) figures, the proportion of

public funding is in line, but there is substantially higher amount of private investment and a substantially lower amount of earned income. This suggests that NPOs raise more of their money from earned income, and less from private investment, whilst on a wider level, cultural organisations are raising gradually more of their money from private investment. The Arts Council England NPOs, for example, receive a higher proportion of Arts Council England funding as a proportion of their public funding, whilst as a whole local authorities and other public funds make up a higher proportion. Despite this, the trend is still consistent and a clear direction can be seen when looking at the trends as a whole. There has been a steady decline in public funding and a steady increase in earned income, with earned income having overtaken public funding as the largest portion of revenue. This seems to have now levelled out to between 48% and 52% of total income. There has been a gradual rise in the proportion of revenue generated from private investment. Within this, giving from trusts and foundations has remained steady, business investment has been declining, and individual giving has been increasing.

**Figure XI: Earned income for cultural organisations in England 2014/15**

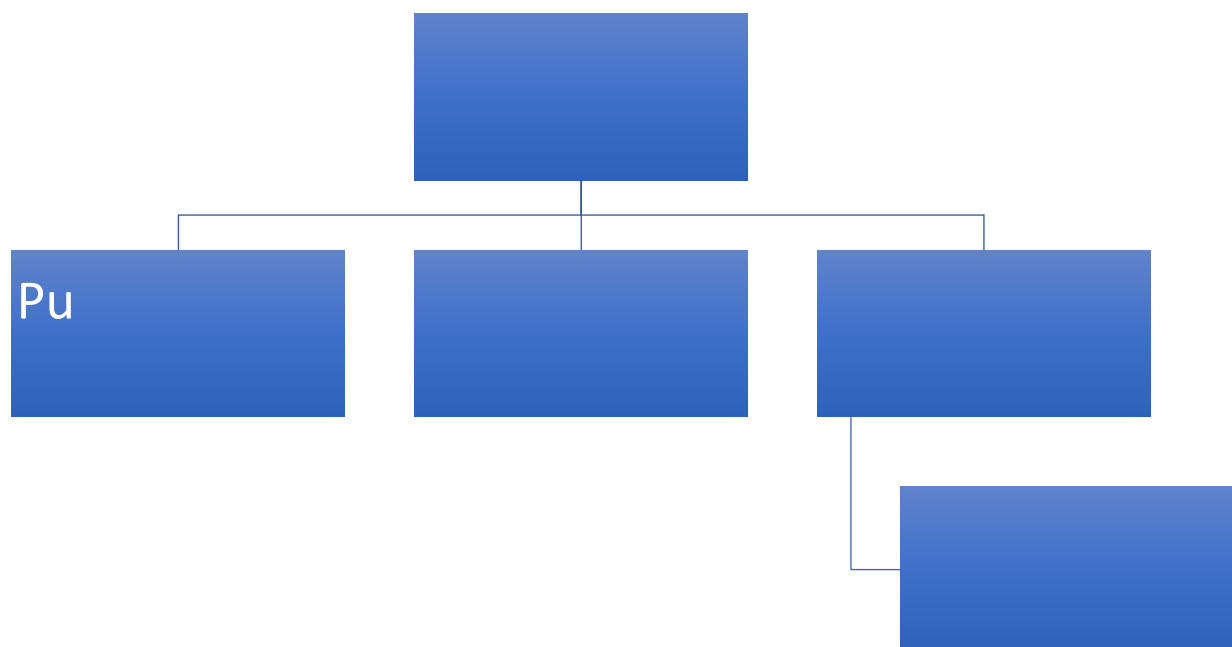


Diagram developed for this thesis.



#### 4.4.5 Arts funding in England: a summary

This section has provided a profile of the funding landscape of England. What can therefore be seen is an emergent variety of arts philanthropy for England, accessed through a landscape mapping. Through substantial documentary work, the components and balance of arts funding in England were outlined. This is represented in Figure XII.

#### An emergent variety of arts philanthropy in England

- Local authorities hit by funding reductions affecting cultural organisations.
- Majority of private investment in London.
- Figures skewed by largest institutions.
- Approximately half of funding comes via earned income.
- Approximately a third from public funding.
- The remainder comes via private investment, encompassing business giving, individual giving, and giving via trusts and foundations.

In England, a large portion of income is already derived from earned income, and what public funding is available is often used to the extent of developing business models to thrive without the state. Linked to this development, there is an encouragement of training and development in fundraising and new business models. Local authorities have been particularly hard hit by public funding reductions and so new forms of private giving are being encouraged, although the majority of private investment continues to be in London and there is a substantial variation in terms of private giving based on both region and artform, and also according to the form of private investment.

These findings sit within a cultural policy landscape that was explained as determined at transnational, national, regional, and local levels. Several clear trends emerge from this landscape. Public funding has steadily decreased and earned income has steadily increased as a proportion of revenue for organisations and earned income has now overtaken public funding as the predominant form of revenue. Cultural policy and public funding are increasingly orientated towards development and training of fundraisers, and assisting organisations develop their business models and their sustainability, so as to utilise more private and earned income and less public funding in the future. Individual giving has

increased substantially, business giving has declined substantially, whilst giving from trusts and foundations has remained steady. This therefore suggests that business giving cannot be relied upon to fill any gaps in public funding, and that whilst trusts and foundations remain an important component of private arts funding, they will not likely serve as a replacement to public funding. Individual giving, however, is rising substantially.

There is increasing focus on a policy level on training and development. This includes using public funding for the development of business models for cultural organisations in order to assist them achieve more independent sustainability and less reliance on public funding and providing training in fundraising. The evidence that earned income has now surpassed public funding, and that private giving is also increasing, suggests that this is having some success and that the cultural sector is beginning to recognise the circumstances it finds itself in. This is in addition to government policy encouraging philanthropy through tax benefits.

On a regional level, there are also substantial and significant differences across England. The largest amount of private giving goes to London by a substantial amount and similarly there is heavy regional difference in the forms of philanthropy which cultural organisations utilise the most. In London, the South East, and the South West, individual giving is the predominant form of philanthropy; in the North West, Yorkshire and the Humber, the East of England, the East Midlands, the West Midlands, and the North East, Trusts and Foundations form the predominant form of private giving. When taking this with the substantial rise in individual giving together with the consistent levels of giving from trusts and foundations, this suggests that the increase in giving has happened in large part in London and the South of England. This may suggest a rough North-South divide in private giving trends – the South appears to lean towards individual giving, the North towards a strong Trust and Foundation Sector. The question of sustainability is therefore particularly important for medium-sized organisations, in particular regional organisations which are not part of the ‘top fifty’ and are not based in London as they do not have the same profile or access to a network of giving, nor are large enough to attract private funding on the basis of national significance or corporate interest, but equally cannot run on a low budget with minimal costs. In terms of the implications of this, there may therefore be different funding models and different fundraising strategies necessary in England according to regional variation.

There is also heavy difference based on the cultural sector concerns. The visual arts receive the most private investment, although this is in part as a result of a small amount of high level giving. Despite this, private investment makes up the largest component of overall revenue from private sources for theatre and music. Dance and literature, on the other hand, receive a small proportion of private investment. There are also differences according to artform based on the form of philanthropy most utilised. Individual giving forms the largest component of private investment for the visual arts, music, and museums, whilst trusts and foundations make up the largest component of revenue for literature, theatre, and dance. Business giving makes up the largest component of combined arts and non-artform specific forms of the arts and culture.

Given that the visual arts receive a larger proportion of total private investment towards the arts and culture than other artforms, but theatre and music receive a larger proportion of their overall revenue from private giving, this suggests again that the visual arts receive a particularly large amount of private giving, but that private giving is a larger and more consistent form of giving for artforms such as the theatre sector. That music receives a large proportion of its revenue from private giving, and that more of this comes from individual giving, suggests that the music sector has developed a particularly strong model of individual private giving. This therefore again indicates that, just as there may be different strategies for private giving in England according to region, so also there may need to be different strategies according to the specific artform.

Other trends in England relate to the political situation. The impact of the vote to leave the EU is as yet unknown but has caused uncertainty with the majority of the cultural sector having wanted to remain in the EU. This has presented both opportunities and concerns, with particular issues being raised around the effect that this will have on both private and public funding, including EU funding, issues around freedom of movement for artists, and how economic confidence or the lack thereof will affect the funding landscape and fundraising efforts.

These components, identified through the landscape mapping, all therefore point to an emergent variety of arts philanthropy in England.

Diagram developed for this thesis.

## **4.5 The arts funding landscape of the Netherlands**

“Art is not the business of government as the government cannot judge art, nor yet control it”

Johan Rudolph Thorbecke (1798-1872)

(Department of Education, Culture and Science 2013: 4 [footnote])

This section maps the landscape of arts funding in the Netherlands. It begins by presenting the arts funding and cultural policy landscape of the Netherlands, examining the provision of public funding for cultural organisations, the formation of cultural policy, and how this takes place on a national and a regional level. The section then investigates the breakdown of public and private arts funding in Netherlands including an outline of the trends in arts funding. By bringing these elements together, the landscape of arts funding in Netherlands is visible.

### **4.5.1 Cultural policy**

Cultural policy in the Netherlands is dealt with by the Ministry of Education, Culture and Science. According to the Ministry of Education, Culture and Science (2013), the Cultural Policy (Special Purpose Funding) Act has since 1993 provided the basis of the involvement of the Government of the Netherlands in culture. There are eighty-four institutions which are funded by the government directly on the basis that these institutions serve a particular function in national arts and culture or have a particular place in the regional and urban infrastructure (Ministry of Education, Culture and Science 2013). There are six cultural funds for the performing arts, film, visual arts, literature, the creative industry, and cultural participation (Ministry of Education, Culture and Science 2013). Initiatives are supported by these in the various different sectors on a project basis or in two-year cycles (Ministry of Education, Culture and Science 2013). Whilst the responsibility for the policy and the working methods of the funds is with the Minister, the cultural funds hold the responsibility for the funding decisions (Ministry of Education, Culture and Science 2013).

Cultural policy in the Netherlands must be renewed every four years as stipulated by the Cultural Policy (Specific Purpose Funding) Act (Ministry of Education, Culture and Science

2006; Ministry of Education, Culture and Science 2013; Arts Management Network 2007). This four-year cyclical process is a key part of the structure of Dutch cultural policy (Ministry of Education, Culture and Science 2006). This is all determined by the Specific Cultural Policy Act (Ministry of Education, Culture and Science 2006). As such, every four years an analysis is conducted by the Council for Culture on the present situation in the national cultural sector which forms the basis of the policy document which the Minister of Culture issues and which provides the following four years policy objectives and the criteria of funding for the basic national infrastructure (Ministry of Education, Culture and Science 2013). This is then debated in parliament, and once approved organisations which wish to be considered for government funding can apply (Ministry of Education, Culture and Science 2013). Applications for funding are assessed by the Council for Culture on the basis of a variety of criteria, including artistic quality, and general recommendations then submitted to the Minister (Ministry of Education, Culture and Science 2013). It is on the basis of these recommendations by the Council for Culture that the Minister will then set out the following four years subsidy plan (Ministry of Education, Culture and Science 2013).

It is also important to raise the issue of the provinces and municipalities in the Netherlands. All three tiers of government – the national government, the provinces, and the municipalities – can all follow their own autonomous cultural policy (Ministry of Education, Culture and Science 2013). There is collaboration between these three tiers of government, thus preventing fragmentation and bureaucracy and allowing cohesion with the available funding (Ministry of Education, Culture and Science 2013). The General Framework for Intergovernmental Relations in respect of Culture 2013-2016 (Ministerie van Onderwijs, Cultuur en Wetenschap, Interprovinciaal Overleg, and Vereniging van Nederlandse Gemeenten 2012) lays out the collaboration between the regions, the three major cities, and the Association of Netherlands Municipalities (VNG) and Interprovincial Consultative Body (IPO), and outlines the coordination of policy, the conclusion of the 2013-2016 cultural covenants, and the division of tasks between the tiers of government (Ministry of Education, Culture and Science 2013). This can broadly be split up as the central government bearing responsibility for the maintenance of the national museums, the symphony orchestras, and the national theatre and dance companies (Ministry of Education, Culture and Science 2006). The provinces bear responsibility for the distribution, coordination, and maintenance of

culture at a provincial level, whilst the municipalities bear responsibility for the upkeep and the programming of the venues (Ministry of Education, Culture and Science 2006). The three major cities of Amsterdam, Rotterdam, and The Hague have different arrangements which are special agreements which are known as covenants (Ministry of Education, Culture and Science 2006). These covenants present the funding arrangements from both central and municipal government of city arts institutions (Ministry of Education, Culture and Science 2006).

The principles for Dutch cultural policy from 2017-2020 was published in 2015 by Minister Bussemaker in her letter *Ruimte voor Cultuur*, Space for Culture, and also for the basic infrastructure, that is, which cultural institutions receive state funding (Van der Leden 2017; DutchCulture 2015; Van Hamersveld and Oosterhuis 2015a; 2015b; 2015c). Following the previous cuts put into place by Secretary of State Halbe Zijlstra, the budget is slightly increasing with over 18 million Euros available to artists and cultural institutions for young talent development, innovation, and cooperation (Van der Leden 2017; DutchCulture 2015; Van Hamersveld and Oosterhuis 2015a; 2015b; 2015c).

#### **4.5.2 Arts funding**

The principal components of arts funding in the Netherlands are represented in Figure XIII. This is broken down into private funding, public funding, and earned income. Of this, public funding is split into state level funding, regional funding, and funding from the municipalities, representing a strong regional element to funding. Of the private funding, this is broken down into business giving, trusts and foundations, lotteries, households, and legacies. In this diagram, lottery funding is included in private funding, whilst in England it is included in public funding, and individual giving is together with household giving. The rationale for this is that this is how the data is made available in the Netherlands. It is noticeable that complete figures for earned income are not available. Despite this, there are some figures related to specific artforms which can allow an idea of the arts funding landscape (Ministerie van Onderwijs, Cultuur en Wetenschap 2016).



**Figure XIII: Arts Funding in the Netherlands**

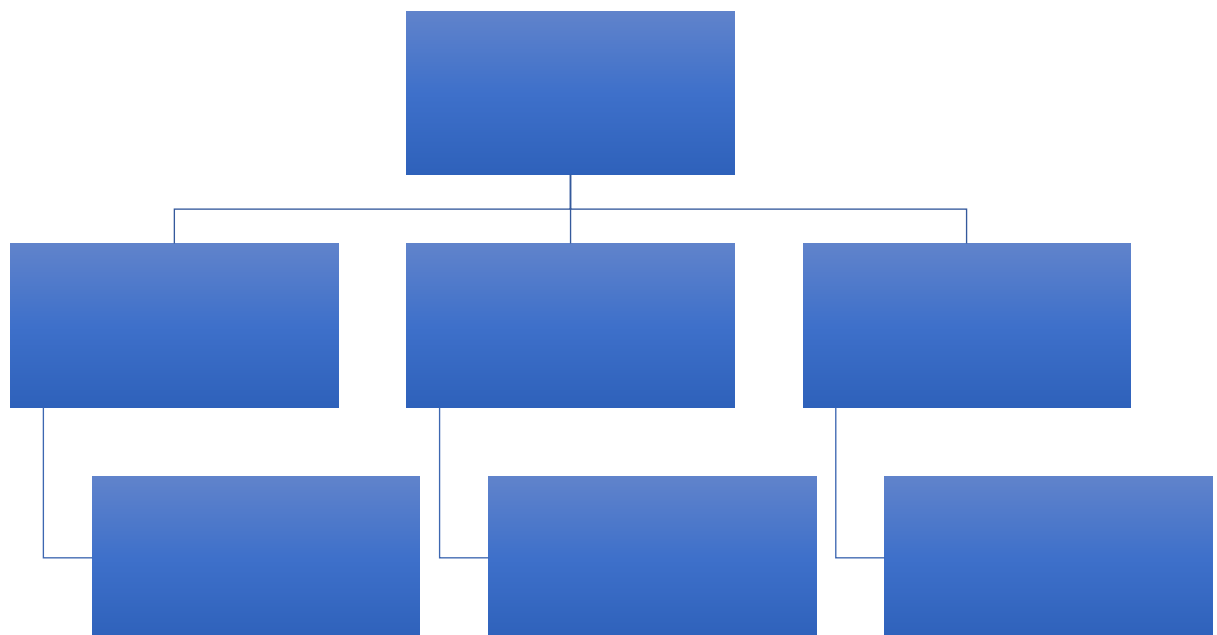


Diagram developed for this thesis.

#### **4.5.2.1 Public arts funding**

The Netherlands operates an arms-length principle in decisions regarding arts funding (Ministry of Education, Culture and Science 2006; Arts Management Network 2007). Public arts funding is dealt with by the Raad voor Cultuur, or Council for Culture. The Council for Culture advises the government when it is formulating policy, but it is autonomous of the government (Ministry of Education, Culture and Science 2006). The ‘Thorbecke principle’<sup>8</sup> makes clear that the government should not make artistic judgement on cultural expressions, with this instead being left to the Council for Culture, the Raad voor Cultuur, which advises the government and the parliament on issues which concerns culture and media policy (Department of Education, Culture and Science 2013). The funding bodies take advice from

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<sup>8</sup> Johan Rudolph Thorbecke lived from 1798-1872, was chairman of the Constitutional Committee and laid the foundations of the Dutch state in 1848. He was Prime Minister of three governments, and stated that the government’s position regarding art was that “*Art is not the business of government as the government cannot judge art, nor yet control it*” (Department of Education, Culture and Science 2013: 4 [footnote]).

professionals with regards to what should be supported, and the Minister decides the quantity of the funding alone rather than having any decision with regards to what will be funded (Ministry of Education, Culture and Science 2006). Parallels between the arms-length principle present in both England and Denmark are therefore visible. Most of the policy programmes, for example those including education and entrepreneurship, involve inter-ministerial cooperation with other ministries such as the Ministry of the Interior, the Foreign Ministry, and the Ministry of Economic Affairs, in addition to province and municipalities, as well others in the public and private sectors (Ministry of Education, Culture and Science 2006; 2013).

There are three principle forms of public arts funding, with funding coming via the state, the province, and the municipalities; in addition to a smaller amount from joint regulations which are regional expenditures funded by municipalities collaborating together (Van der Leden 2017). This is represented in Figure XIV.

**Figure XIV: Public arts funding in the Netherlands**

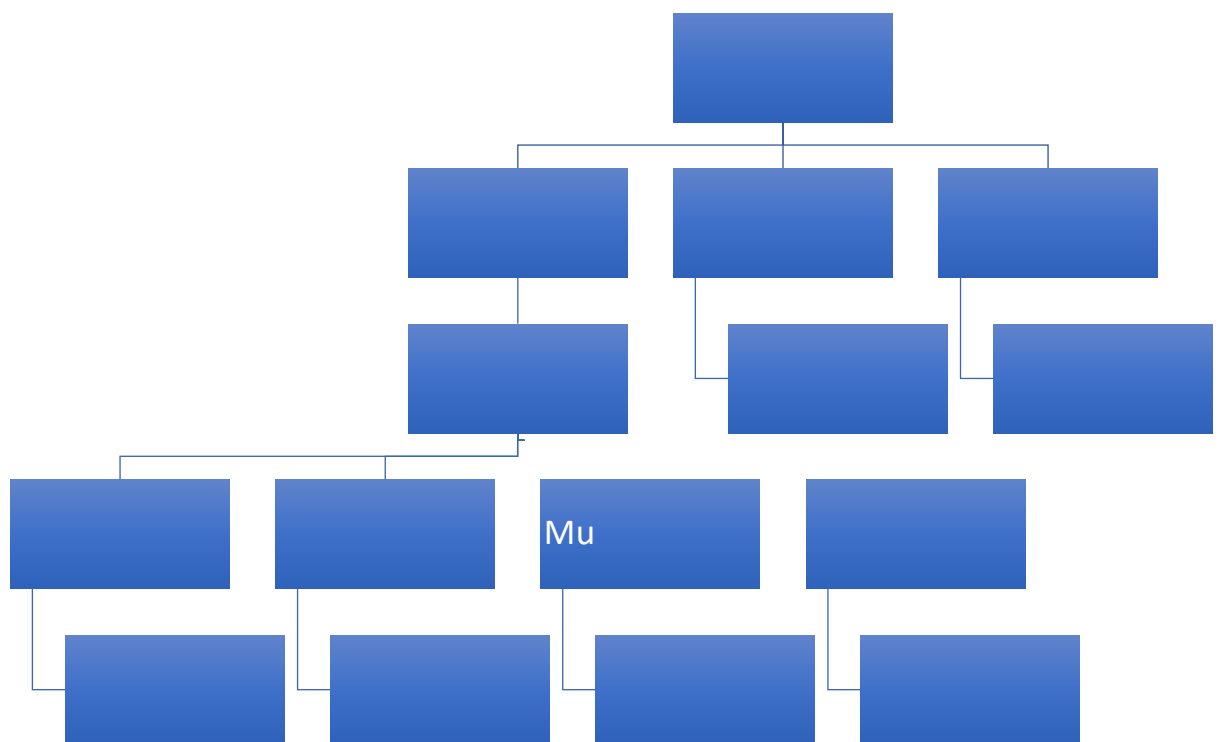


Diagram developed for this thesis.

Given that the three tiers of the government each have their own funding streams to support cultural organisations, the national government is not the biggest provider of funding (Ministry of Education, Culture and Science 2013). The breakdown of public funding in the Netherlands according to the different regions of government is represented in Table XV.<sup>9</sup> As can be seen, the majority of public funding for arts and heritage comes from the municipal level of government, followed by the state level, and with the provinces providing the lowest amount of public funding. Despite this, there has been a slight decrease in the level of municipal and state funding, and a slight increase in the level of provincial funding, although this is marginal. In 2009, for example, the combined budget for culture of the three tiers of government was over 3 billion Euros, and of this 860 million Euros were provided by the national government, 261 million Euros were provided by the provinces, but 1.9 billion Euros were provided by the municipalities (Ministry of Education, Culture and Science 2013). The most recent data on cultural expenditure in the Netherlands showed this trend continuing (Ministerie van Onderwijs, Cultuur en Wetenschap 2015). As such, municipalities are by far the largest provider of government funding for cultural organisations. This therefore fits in with the ethos that if something can be done by a lower level competence it should not be done by a higher level one (Ministry of Education, Culture and Science 2006).

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<sup>9</sup> The data collection took place during 2016. The data provided was up-to-date and the most recent available data at the time of collection.

**Table XV: Public cultural expenditure according to level of government (per million Euros, 2005-2011 (gross))**

	<b>Exp. 2005</b>	<b>%</b>	<b>Exp. 2007</b>	<b>%</b>	<b>Exp. 2009</b>	<b>%</b>	<b>Exp. 2011</b>	<b>%</b>
<b>Total arts &amp; cultural heritage</b>	<b>2 769</b>	<b>100</b>	<b>3 008</b>	<b>100</b>	<b>3 349</b>	<b>100</b>	<b>3 378</b>	<b>100</b>
<b>State</b>	842	30.4	913	30.4	990	29.6	987	29.2
<b>Provinces</b>	220	7.9	261	8.7	301	9	340	10.1
<b>Municipalities</b>	1 669	60.3	1 748	58.1	1 986	59.3	1 988	58.9
<b>Joint regulations</b>	40	1.4	88	2.9	72	2.1	60	1.8

Table developed for this thesis based on Van der Leden (2017: 38) and Van Hamersveld (2015: 36).

The budget of the Government of the Netherlands in 2013 for culture amounted to 789 million Euros (Ministry of Education, Culture and Science 2013). Of the 327 million Euros per annum which was available for the basic national infrastructure, this comprised direct government funding of nine theatre companies, eight youth theatre companies, four dance companies, nine symphony orchestras, three festivals of which there were two film festivals and one performing arts festival, thirty museums, six visual arts exhibition spaces, and twelve support organisations for other sectors (Ministry of Education, Culture and Science 2013). Further, during this period there was 133 million Euros per annum available for the six cultural funds (Ministry of Education, Culture and Science 2013). A total of 49.3 million Euros of this was available for the Performing Arts Fund, 12.4 million Euros for the Cultural Participation Fund, 11.5 million Euros for the Creative Industries Fund, 26 million Euros for the Mondriaan Fund which comprises of visual arts and heritage, 29.2 million Euros for the Netherlands Film Fund, and 10.2 million Euros for the Dutch Foundation for Literature (Ministry of Education, Culture and Science 2013). The key priority areas for culture in the 2013-2016 period consisted of cultural participation and education, innovation and talent development, philanthropy and entrepreneurship, and internationalisation, a particular focus in this period compared to previous years (Ministry of Education, Culture and Science 2013). Philanthropy and entrepreneurship are therefore an area encouraged by the Dutch Government (Zijlstra 2012).

The Raad voor Cultuur has expressed concern at the funding reductions faced by the cultural sector, and whilst noting the importance of entrepreneurship to the sector and the fact that most organisations seeking funding have solid entrepreneurial plans (Raad voor Cultuur n.d.b), the Council does not view the private sector alone as a solution (Raad voor Cultuur 2015). The Council sees an annual investment of 29.5 million Euros to the sector to therefore be necessary for the sustainability of the sector (Raad voor Cultuur 2015). There is also a disparity between the forms of the cultural sector. For example, film festivals achieve an average of 162% of funding required from private means, opera on average 30% (Raad voor Cultuur n.d.b). Some 20% of institutions have limited equity, and 35% have limited financial resilience (Raad voor Cultuur n.d.b). The Council observes, "In the end, the cultural product is the basis for the business plan of each institution" (Raad voor Cultuur n.d.b: 16).

As with England, there is also a distinction based on public funding according to the different artforms. As can be seen, of what is termed the 'Arts and Cultural Heritage', the Performing Arts, and related to this accommodation for the Performing Arts – referring to the physical spaces needed for the performing arts – and the Visual Arts, form the bulk of public funding. When including total cultural heritage, museums and public libraries are, however, the predominant focus of public spending on culture. As with Table XVI, this is also heavily dominated in all sectors by municipal funding, followed by state funding, and then provincial funding.

**Table XVI: Public cultural expenditure according to sector (per million Euros, 2011)**

	<b>Total</b>	<b>State</b>	<b>Provinces</b>	<b>Municipalities</b>	<b>Joint regulations</b>
<b>Arts and Cultural Heritage</b>	<b>3 378</b>	<b>987</b>	<b>340</b>	<b>1 988</b>	<b>60</b>
<b>Total Arts</b>	<b>1 720</b>	<b>514</b>	<b>168</b>	<b>1 029</b>	<b>8</b>
<b>Performing Arts</b>	375	286	12	77	0
<b>Visual Arts</b>	268	177	9	82	0
<b>Accommodations for (performing) arts<sup>10</sup></b>	435	0	37	398	0
<b>Cultural education</b>	307	4	30	264	8
<b>Other arts</b>	271	36	76	158	0
<b>Amateur arts</b>	64	10	3	50	0
<b>Total cultural heritage</b>	<b>1 658</b>	<b>473</b>	<b>172</b>	<b>959</b>	<b>52</b>
<b>Public libraries</b>	650	95	46	508	0
<b>Archives</b>	200	51	5	96	48
<b>Museums</b>	495	214	46	231	4
<b>Monuments</b>	313	113	75	124	0
<b>Media (including broadcasting)</b>	1 075	912	144	19	0

Table developed for this thesis based on Van der Leden (2017: 38-9) and Van Hamersveld (2015: 36).

<sup>10</sup> This refers to the physical space needed for the performing arts.



### 4.5.3 Private investment in the cultural sector

In addition to public funding for the arts and culture via the public arm's-length bodies and from the national, municipal, provincial, and city levels of government, there is also an important place for private investment of the arts and culture. There are three principal forms of private investment to the arts and culture; private giving, trusts and foundations, and business giving. The revenue from private investment then breaks down into private giving from individuals and households, business investment, and the giving from trusts and foundations, the distinctions and subsections of which were outlined in Chapter Two. In the Netherlands, this includes several components which are of particular interest in the Dutch context revolving around new forms of private giving involving the commercial sector. The landscape of arts funding in the Netherlands in the period 2011 and 2013 is presented in Figure XV<sup>11</sup>.

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<sup>11</sup> The data collection took place during 2016. The data provided was up-to-date and the most recent available data at the time of collection.

[illegible]

#### **4.5.3.1 Philanthropy**

Philanthropy in the Netherlands has a long history, going back to hofies, homes for the elderly dating back to the early modern period, which still exist today (Hoolwerf, Karamat Ali, and Gouwenberg 2015). Philanthropy is an important part of the society of the Netherlands, both from individuals and from foundations (Observatoire de la Fondation de France / CERPhi 2015). Some 85% of the population of the Netherlands are donors in some form, making the Netherlands amongst the top philanthropic nations of Europe (Observatoire de la Fondation de France / CERPhi 2015). Indeed, estimates suggest some 85% of the population of the Netherlands give to charity (Hoolwerf, Karamat Ali, and Gouwenberg 2015). The Netherlands has the largest non-profit sector in the world (Hoolwerf, Karamat Ali, and Gouwenberg 2015), and one of the most open levels of philanthropic freedom in the world (Hudson Institute 2015). The Netherlands is likewise a strong supporter of philanthropy in terms of economically contributing to the common good, or the well-being of its citizens, with the proportion of GDP being the second highest in Europe in terms of common good, and highest in Europe in terms of the spending of foundations (Observatoire de la Fondation de France / CERPhi 2015). Of companies in the Netherlands, 71% are philanthropic donors in some form, with corporate philanthropy occasionally exceeding that of private giving, an unusual situation in Europe (Observatoire de la Fondation de France / CERPhi 2015).

#### **4.5.3.2 Arts philanthropy**

There is a long history of philanthropy towards the cultural sector in the Netherlands. This involves a variety of forms, including household and individual giving, legacies, funds, companies, and lotteries. This landscape is represented in Figure XX. As can be seen, private investment in the arts and culture takes on a number of forms. Unlike England, the Lotteries are also included in these figures, as are legacies.

The change in the different focuses of private giving is represented in Table XVII. As can be seen, there has been an increase in terms of household giving and an increase in funds available from lotteries, but a noticeable decrease in giving provided by businesses. This shows a parallel with the situation in England. Whilst giving from funds, trusts, and

foundations remains steady, in both instances there has been an increase in household giving.

**Table XVII: Private financial contributions to the arts and culture (2005-2013)**

<b>Euros (millions) and % of total sum of donations to culture to the nearest whole number</b>										
<b>Year</b>	<b>2005</b>		<b>2007</b>		<b>2009</b>		<b>2011</b>		<b>2013</b>	
<b>Households</b>	€31	10%	€24	6%	€33	7%	€26	9%	€57	20%
<b>Legacies</b>	€2	1%	€7	2%	€2	0%	€6	2%	€3	1%
<b>Funds</b>	€125	38%	€82	21%	€76	17%	€69	24%	€79	28%
<b>Companies</b>	€135	41%	€235	61%	€296	65%	€124	43%	€80	28%
<b>Lotteries</b>	€33	10%	€38	10%	€47	10%	€62	22%	€63	22%
<b>Total</b>	<b>€326</b>	<b>100%</b>	<b>€386</b>	<b>100%</b>	<b>€454</b>	<b>100%</b>	<b>€287</b>	<b>100%</b>	<b>€282</b>	<b>100%</b>

Table developed for this thesis based on data from Van der Leden (2017: 39), Bekkers et al (2015); Franssen and Bekkers (2016); Bekkers, Schuyt, and Gouwenberg (2015); and Van Hamersveld (2015: 37).

The Dutch philanthropic environment, with regards to the arts and culture, can also be seen through the tax system. Income tax deductions have the result that a high return is yielded from these cultural trusts (Ministry of Education, Culture and Science 2006). From 1 January 1997, inheritance tax could be paid by donating works of art to the state which were considered of cultural value to the Netherlands or which would result in cultural impoverishment should they be taken out of the country and which are part of an estate (Ministry of Education, Culture and Science 2006). This encouragement of private donations in tax law has continued through the 2000s (Ministry of Education, Culture and Science 2006). Further, there is a gift tax of 0% which means that museums which have collections of regional or national importance and the donations to these museums which are in the public interest can apply to the Minister of Finance to be exempt entirely from gift tax (Ministry of Education, Culture and Science 2006). There is also a tax allowance on historic buildings for personal expenditure for the preservation of cultural heritage and which is included in the Income Tax Act 2001108 meaning that expenses and amounts over 1.1% are tax deductible when written

down in relation to a historic building which is in residential use (Ministry of Education, Culture and Science 2006). There are also Societies of Friends common in the Netherlands, as in other countries, which provide both funding through membership fees, donations, and legacies, in addition to volunteering (Ministry of Education, Culture and Science 2006). Around 7% of donations in 2011 went towards culture (Hoolwerf, Karamat Ali, and Gouwenberg 2015).

There is also a strong philanthropic tradition in terms of individual and household giving. Giving to culture increased by 246% between 1995 and 2011 (Van der Leden 2017), with private giving to culture accounting for approximately 7% of the total amount of Dutch private giving (Van der Leden 2017; Kömhoff, Heinsius, and Van Dorssen 2013). As such, arts philanthropy has been on the Dutch agenda before the financial situation called for a reassessment of public subsidy following the financial crash in 2008.

From the early 2000s, successive governments, including the State Secretaries of Culture Van Leeuwen and Medy van der Laan have emphasised the importance within the cultural policy agenda of private donations (Van der Leden 2017) resulting in private individuals and businesses who donate either money or works of arts to cultural institutions or cultural foundations are exempt from gift and inheritance tax as well as being eligible for reductions in income or corporate tax (Ministry of Education, Culture and Science 2006). Further, whilst there is this government funding, a great deal of the culture of the Netherlands is created by independent actors on the free market and funded without government support by individuals and private funds (Ministry of Education, Culture and Science 2013). In 2009, the turnover of the cultural sector in the Netherlands was approximately 18 billion Euros, and estimates suggest that over two thirds of this was generated by the free market from areas such as the creative services and the entertainment industry (Ministry of Education, Culture and Science 2013).

The Dutch Government believes that cultural organisations need to make the first move in terms of stimulating entrepreneurship and cultural giving, especially given the temporary nature of government subsidy and the cuts to public subsidy announced (Ministry of Education, Culture and Science 2013). This was encouraged through the Cultural

Entrepreneurship Programme of 2012-2016 (Ministry of Education, Culture and Science 2013). This programme was implemented by the Ministry of Education, Culture and Science in cooperation with the Culture Federation, or Federatie Cultuur, which is the umbrella body for organisations in the cultural sector, with the Culture-Entrepreneurship, or Cultuur-Ondernemen, foundation also having a part to play (Ministry of Education, Culture and Science 2013).

#### **Trends in arts philanthropy in the Netherlands**

- Philanthropy and cultural entrepreneurship encouraged through the tax system.
- Involvement of the commercial and banking sector.
- Charitable funds set up within organisations
- Relatively high level of individual giving towards voluntary organisations.
- High level of philanthropic freedom.
- Giving from Households and lotteries have seen a steady increase.
- Giving from companies have seen a noticeable decline.

There is also a growth of other initiatives in private giving. These include investment and loans. There are investment trusts which invest upwards of 70% of their capital towards artistic and cultural projects (Ministry of Education, Culture and Science 2006). The Dutch bank, the Triodos Bank, introduced the first cultural investment fund which was recognised by the government in 2006 under the fiscal regulations for cultural projects (2004)<sup>109</sup>, the Triodos Cultural Fund providing investment in museums, concert halls, theatre, galleries, ateliers, and artists (Ministry of Education, Culture and Science 2006). This scheme was a public-private cooperation which allowed entrepreneurs to borrow against a low interest rate and allows for investment without a loss on return in a fund supporting culture (Ministry of Education, Culture and Science 2006). For the fund to take advantage of the fiscal benefits, a minimum of 70% of the capital of the fund must be invested in cultural projects (Ministry of Education, Culture and Science 2006). The Triodos Cultuurfonds is a fund which was launched in 2006 and is available for Dutch clients, providing investment in cultural projects, and with the aim of encouraging cultural entrepreneurship and thus helping the cultural sector becomes less dependent on subsidies, grants, and charity (Triodos Bank n.d.e; n.d.h).

#### 4.5.4 Earned income

There are three principal components of arts funding in the Netherlands, public funding, private investment, and earned income. Unlike in England, the figures for earned income are less complete, but it is nonetheless possible to obtain important information from the figures which are available. Whilst figures for the total revenue of the cultural sector containing public funding, private investment, and earned income is not available, there is some indication as to the breakdown of these figures based around specific artforms in the cultural sector. The Ministerie van Onderwijs, Cultuur en Wetenschap (2016) reported that the majority of the sector was funded via public subsidies, with the exception of free theatre productions, festivals, and venues linked to either the VSCD (Vereniging van Schouwburg- en Concertgebouwdirecties or Association of Dutch Venues and Concert Halls Directors) or the VNPF (Vereniging Nederlandse Poppodia en Festivals or Association of Dutch Music Venues and Festivals). For these sectors, income was the predominant form of revenue, for all others public funding was the predominant form of revenue (Ministerie van Onderwijs, Cultuur en Wetenschap 2016).

Private investment also showed large variance, with very little private investment going towards VSCD or VNPF venues, or to nationally subsidised performing arts, whilst areas such as museums received a moderate amount and film and free theatre productions received more still. It is also important to observe the difference in definitions when considering these terms (Ministerie van Onderwijs, Cultuur en Wetenschap 2016). In the Netherlands, income was taken to include private sponsorship (Ministerie van Onderwijs, Cultuur en Wetenschap 2016), which is included in private investment in England (Arts Council England and MTM 2016). What this suggests is that public funding is still the largest form of revenue for the cultural sector, but that this varies according to artform, and that there are certain areas of the cultural sector which do not follow this trend.

#### 4.5.5 Arts funding in the Netherlands: a summary

This section has provided a profile of the funding landscape of Netherlands. What can therefore be seen is an emergent variety of arts philanthropy for the Netherlands, accessed through a landscape mapping. Through substantial documentary work, the components and balance of arts funding in Netherlands were outlined, including the importance of the different levels of regional, municipal, and national government. This is represented in Figure XVI.

What emerges is a profile of a landscape which has large variety. The findings sit within a cultural policy

#### An emergent variety of arts philanthropy in the Netherlands

- Mixed funding landscape. Still a strong place for public funding, but a varied private landscape, with a focus not just on more traditional forms of giving, but the potential of new and alternative forms of private financing.
- Strong tradition of philanthropy.
- Involvement of commercial sector in assisting the cultural sector.
- Public funds separated according to artforms.
- Heavy devolution of funding responsibilities between national, municipal, and local government.
- The majority of public funding comes via the municipalities.
- Funding decisions made in four-year cycles.

landscape that is heavily regionalised. Public funding comes disproportionately from the municipalities rather than the central state, and this also applies to the arm's-length public bodies. These arm's-length public bodies do not simply operate as a straightforward arm's-length body operated by a central arts council, but rather the Raad voor Cultuur is an advisory council whilst there are further councils for culture specific to particular cities. Further, this is likewise the case when it comes to different artforms, with there being arm's-length public funding bodies specific to different sector of the arts and culture such as visual arts or performing arts. The regional dimension is also of significance when it comes to policymaking with the national, municipal, and regional levels of government cooperating with each other, in addition to specific cultural policies to the city level, and the different levels of government having different areas of responsibility. Funding decisions are made in four-year cycles.



When it comes to government policy for philanthropy, in addition to tax incentives for both giving to cultural organisations and to collections when it comes to cultural works of national importance, there is also encouragement of philanthropy in particular through a policy of entrepreneurship and seeking to widen the extent of arts philanthropy. In Dutch society as a whole, there is a history and tradition of volunteering and of giving to culture. Despite this, government policy does not seem to actively be using government funding to shift cultural organisations away from the public sector. The private level of giving is also present in other more innovative forms of private giving. This includes investment through the commercial sector, for example, the banking sector. This is not traditional philanthropy, but nonetheless encouraging cultural organisations to seek funding beyond subsidy from the state, whilst also encouraging the private sector to assist the cultural sector through public-private sector partnerships such as through low interest rate investment. Cultural organisations themselves also utilise private funds whereby, beyond the traditional membership schemes, individuals can set up funds within an organisation for a specific cause under their name in addition to receiving tax benefits.

In terms of the trends in private giving to the arts and culture, public spending on culture still far exceeds private giving. Indeed, private investment in culture has seen a decline, but this is almost entirely as a result of a sharp decline in business giving. Whilst previously the largest component of private investment by a substantial amount, business giving is now only marginally higher than giving from trusts and foundations. Giving from trusts and foundations declined during the period of the financial crisis but has now levelled out and started to increase again. Private giving from individual and household giving, however, and giving from Lotteries, has been steadily increasing. There is, therefore, a mixed picture. Just as in England, individual giving is rising, funding from lotteries is rising, giving from trusts and foundations is steady, and business giving is falling, but the trend is less stark in the Netherlands. This may be because whilst public funding has faced reductions, it still provides substantial funding.

These components, identified through the landscape mapping, all therefore point to an emergent variety of arts philanthropy in the Netherlands.

[illegible]

Diagram developed for this thesis.

## 4.6 The arts funding landscape of Denmark

This section maps the landscape of arts funding in Denmark. It begins by outlining the structure of cultural policy and arts funding in Denmark. This examines the provision of funding for cultural organisations, the formation of cultural policy, and how this takes place on a national and a regional level. The section then investigates the breakdown of public and private arts funding in Netherlands including an outline of the trends in arts funding. By bringing these elements together, the landscape of arts funding in Denmark is visible.

### 4.6.1 Cultural policy

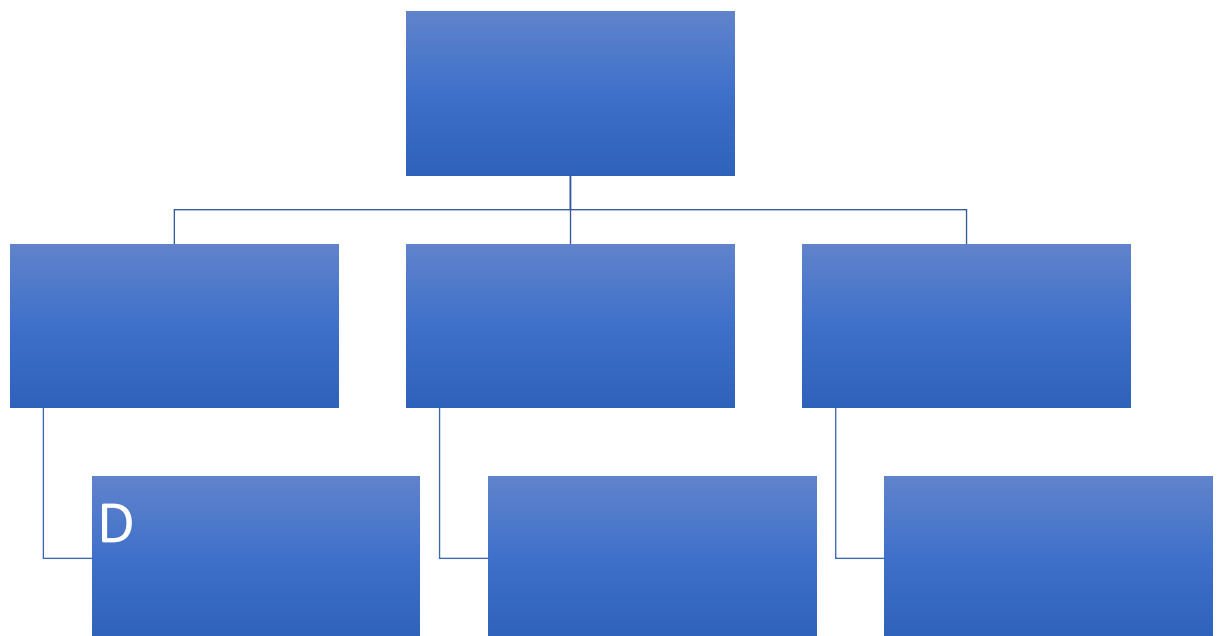
In recent history, cultural policy has been state centred in Denmark, in addition to there being a significant role for the Royal House (Jørgensen 2016). Cultural policy in Denmark is dealt with by the Department of Culture. With the advent of democracy in 1849, cultural policy transferred from being exclusively that of the royalty to the state, with a focus on Enlightenment Philosophy, and this philosophical underpinning continued in the post-war welfare state (Jørgensen 2016). With the 1960s came the strategy of the *democratisation of culture* with the welfare state distributing cultural goods to Danes regardless of where they lived so that all parts of Denmark could receive access to professional and good quality culture, and in this regard state support was for the best of the artistic community of Denmark (Duelund 2003; Duelund, Valtysson, and Bohlbro 2012). Following this, with criticism of the focus on fine art, decentralisation was encouraged with the view that culture should be as close to the people as possible, and touring companies sought to spread Danish culture across the country (Duelund 2003; Duelund, Valtysson, and Bohlbro 2012). Culture then came to be seen as a means to achieve social goals, in addition to having an economic rationale and motivation (Duelund 2003; Duelund, Valtysson, and Bohlbro 2012). In addition, there was an increased sense of cultural diversity in a society (Skot-Hansen 2002). The Local Government Reform (kommunalreformen) of 2005 then decreased 275 municipalities and 14 counties to 98 municipalities and 5 regions, coming into force in 2007 (Duelund, Valtysson, and Bohlbro 2012). The result of this for cultural policy was that cultural responsibilities of the counties were transferred to the state or the municipalities, and the municipalities were given full

political, administrative, and financial responsibilities over cultural institutions (Duelund, Valtysson, and Bohlbro 2012).

#### 4.6.2 Arts funding

The principal form of funding for the arts and culture is public funding. Like England and the Netherlands, however, there is also a private element, plus earned income as represented in Figure XVII.

**Figure XVII: Arts funding in Denmark**



\*This figure accounts for business giving, but corporate philanthropic foundations may be included within this. This is not the figure for individual giving alone.

Diagram developed for this thesis.

#### 4.6.2.1 Public arts funding

There is a strong tradition of public arts funding in Denmark, with this representing the predominant form of funding for the cultural sector. As Henriksen, Boje, Ibsen, and Koch-Nielsen (2008: 82) observe, “In all the Scandinavian countries, volunteering and voluntary work seem to unfold on the foundations of a large public sector which takes the main responsibility for social assistance and investment in culture and leisure facilities.” Arts funding is dealt with by Om Statens Kunstfond, or Danish Arts Foundation. Originally founded in 1964 (Duelund, Valtysson, and Bohlbro 2012), in its latest incarnation this was formed in 2014 from a merger of the Danish Arts Council and the Danish Arts Foundation to form one body which is known as the Danish Arts Foundation (Danish Arts Foundation n.d.). Moreover, the Danish public have generally been receptive to paying for the arts and culture through public money even if they do not themselves attend (Hansen 1997). The Danish Arts Foundation operates as an arms-length public funding body, as with the Arts Councils found in the United Kingdom and the Netherlands, thus meaning that funding is provided by the Department of Culture but the funds are distributed by a professional board made up of the chairman of the committees of professional artists, in addition to there being a Representative Committee of elected politicians from various different political parties to oversee the foundation (Ministry of Culture Denmark n.d.c; n.d.e; n.d.f). There is, therefore, a distance between political decisions and funding, with politicians not directly involving themselves in what is funded (Duelund 2003).

The Danish Arts Foundation has a variety of specialist committees which focus on funding streams for different art forms. There are six committees which deal with international projects, these being the Committee for Visual Arts Project Funding, the Committee for Literary Project Funding, the Committee for Music Project Funding, the Committee for Crafts and Design Project Funding, the Committee for Performing Arts Project Funding, and Committee for Architecture Grants and Project Funding (Danish Arts Foundation n.d.). Within the remit of the Ministry of Culture are included Visual Arts, Music, Theatre, Film, Libraries, Education in the Arts, Archives, Museums, Zoological Facilities, Cultural Environment, Sport, Broadcasting, and Copyright (Ministry of Culture Denmark n.d.c; n.d.e; n.d.f). These areas are largely financed from public money through three principle streams; taxes, licence fees, and

profits from the national lottery and football pools (Ministry of Culture Denmark n.d.c; n.d.e; n.d.f). These subsidies are divided between the central government and municipal councils (Ministry of Culture Denmark n.d.c; n.d.e; n.d.f). There is variance as to how the different cultural forms are financed. Theatre, for example, is largely funded by the state whilst libraries on the other hand are largely funded from municipal councils (Ministry of Culture Denmark n.d.c; n.d.e; n.d.f). In addition, there are forms of international cooperation, including through the Nordic Council of Ministers and the Nordisk Kulturfond (Ministry of Culture Denmark n.d.d).

The Agency for Culture and Palaces is another body which deals with state funding and decentralised organisation of culture. The Agency for Culture and Palaces is advised by three councils with representatives of museums and universities (Agency for Culture and Palaces n.d.a). Seven museums are owned by the state with a further ninety-nine approved to receive subsidies from the state (Agency for Culture and Palaces n.d.a). The Agency for Culture and Palaces does not itself run the museums, but rather makes grants to the museums and supervises state-subsidised museums and the majority of the state owned-museums (Agency for Culture and Palaces n.d.a). A museum which is state-subsidised may be owned by one or more local authorities, or by an association, or be independent (Agency for Culture and Palaces n.d.a). Approximately one fifth of the museums which are state-subsidised are owned by one or more local authorities, around three quarters are independent, and less than one tenth are owned by an association (Agency for Culture and Palaces n.d.b). Those museums which are state-subsidised receive the majority of their funding from local authorities, with additional grants being available from foundations (Agency for Culture and Palaces n.d.b). The grants from the state to the state-subsidised museums is equivalent to around 31% of funding from local authorities and foundations, but there is a cap on the subsidies available from the state to each museum (Agency for Culture and Palaces n.d.b). The significant institutions of Danish Cultural Policy can thus be identified as the Ministry, the Agencies, the Councils, Committees, and arm's length bodies, and the state institutions (Duelund, Valtysson, and Bohlbro 2012).

Overall public funding for the arts and culture in Denmark is represented in Figure XVIII. In 2016, public funding for cultural purposes added up to a total of 23,274.1 million Danish

Krone. This could be broken down between the state and the municipalities. Within the total state, this included the National Budget within the Ministry of Culture, cultural spending within other ministries, Lotto Funds, and the License Fee for Public Service Broadcasting, of which the predominant amount was from the Ministry of Culture. As can be seen in Table XVIII, the federal level of the state is the predominant form of funding. This is in contrast to the Netherlands where it is at the municipal level.

Based on statistics from 2011<sup>12</sup>, public cultural funding in Denmark amounted to some 20 billion Danish Krone, with a similar situation in 2010 and previous years, with the division between state and municipal grants in 2011 amounting to 56% to 44% respectively (Ministry of Culture Denmark n.d.a). Overall, 85% of the funding was spent on running and maintenance (Ministry of Culture Denmark n.d.a). Of the public cultural funding, 21% went towards radio and television, 20% towards libraries, 17% towards sport, 8% towards the performing arts, 7% towards museums, and 6% towards music, with the remaining 21% on other elements (Ministry of Culture Denmark n.d.b). More recent statistics indicate that total public funding towards culture in 2016 would amount to 23,241.1 million Danish Krone (Statistics Denmark n.d.). Of this, DKK10,132.5 million would be from Municipalities, and DKK13,132.5 million would be from state funding including DKK6451.5 million from the Ministry of Culture, DKK506.2 million from other ministries, DKK1748.9 million from Lotto Funds, and DKK435 million from Public Service Broadcasting (Statistics Denmark n.d.).

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<sup>12</sup> The data collection took place during 2016. The data provided was up-to-date and the most recent available data at the time of collection.

### Figure XVIII: Public arts funding in Denmark

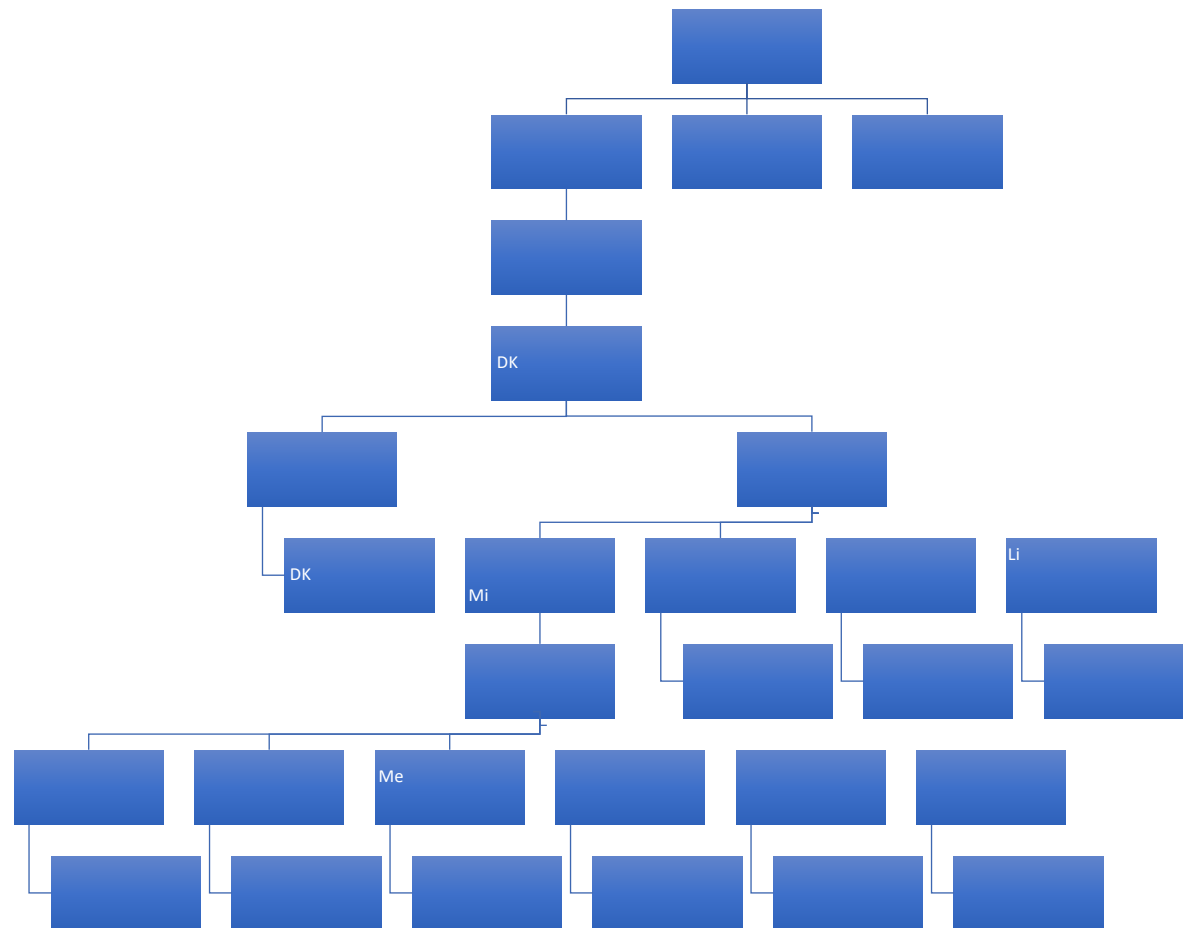


Diagram developed for this thesis



Table XVIII: Public cultural expenditure according to level of government (per million Danish Krone, 2006, 2009 and 2011)

Level of government	Total 2011	% of total	Total 2009	% of total	Total 2006	% of total
State	10 399.6	62.4	10 195.6	62.3	9 059.2	63.5
Regional	-	-	-	-	559.6	3.9
Municipalities	6 261.2	37.6	6 173.3	37.7	4 636.7	32.5
Total	16 660.8	100.0	16 368.9	100.0	14 255.6	100.0

Table developed for this thesis based on Duelund, Valtysson, and Bohlbro (2012: 77).

As with both England and the Netherlands, there are distinctions according to which artform receives the most public funding and within that according to the level of government, as represented in Table XIX. Payments by the Ministry of Culture amounted to DKK1349.5 million to Cultural and National Heritage, DKK1948.1 million to Media, Library and Literature, DKK2151 million to Performing Arts and Music, DKK242.7 million to Visual Arts and Design, and DKK1642.6 million Krone to other cultural activities (Statistics Denmark n.d.), figures which with some variance were broadly in line with recent years. Libraries and media are also included in the figures, despite not being included in the English and Dutch figures. This shows the importance of differing definitions of what constitutes culture.

**Table XIX: Payments by the Ministry of Culture (DKK millions)**

	<b>2013</b>	<b>2014</b>	<b>2015</b>
<b>Sports and Recreation</b>	962.7	937.7	924.5
<b>Cultural and Natural Heritage</b>	1364.7	1334.6	1349.7
<b>Media, Library and Literature</b>	1901.6	2006.4	1948.1
<b>Performing Arts and Music</b>	2111.4	2125.3	2151.0
<b>Visual Arts and Design</b>	208.7	200.8	242.7
<b>Other Cultural Activities</b>	1565.8	1639.4	1642.6

Table developed for this thesis based on figures from the Danish Ministry of Culture recorded via Statistics Denmark (n.d.).

#### **4.6.3 Private investment in the cultural sector**

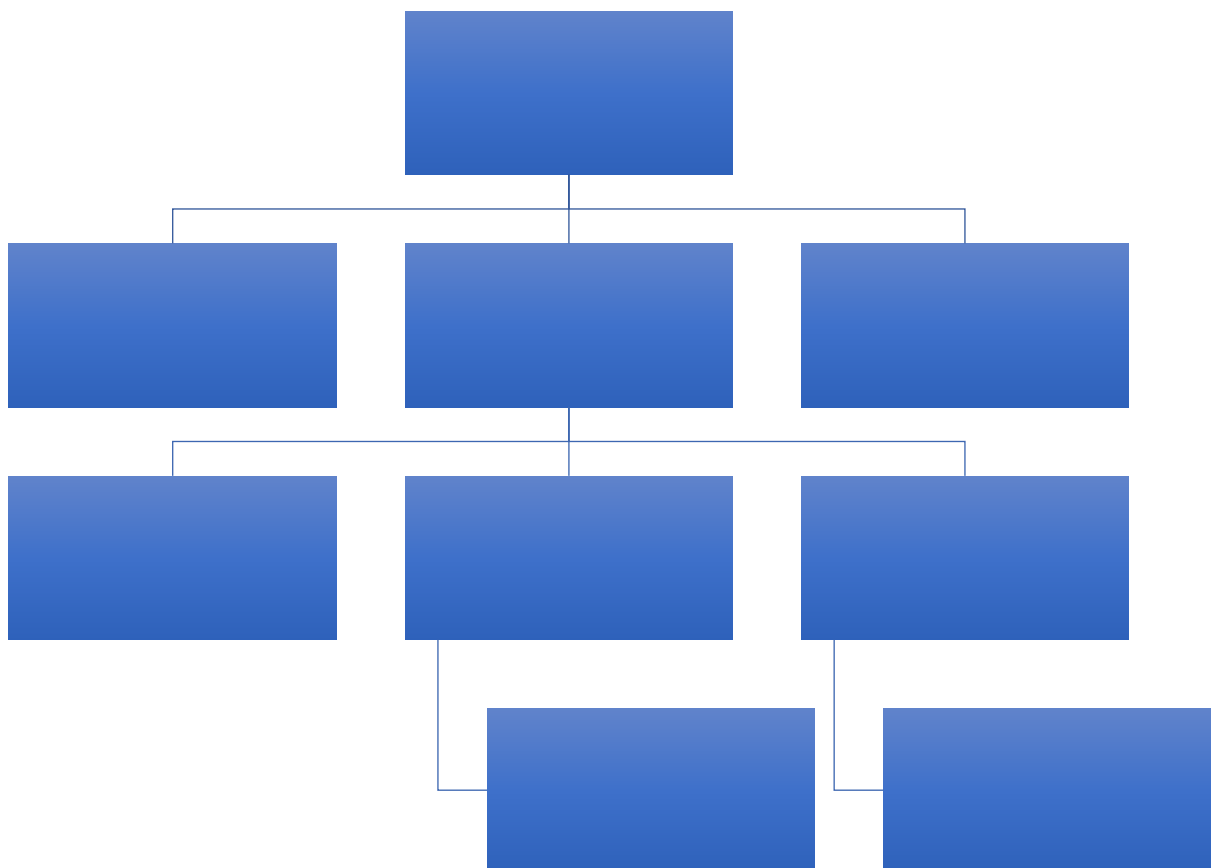
In addition to public funding for the arts and culture via the public arm's-length bodies and agencies and from the national and municipal levels of government, as well as the importance

of associations, there is also an important place for private investment of the arts and culture. As Henriksen, Boje, Ibsen, and Koch-Nielsen (2008: 69) comment:

“Even in social-democratic welfare states like the Scandinavian, strong public and political trust in the voluntary or non-profit sector as a partner in a ‘new welfare mix’ has been voiced over the last 15–20 years. In Denmark this has been evident in symbolic political expressions such as a ‘charter for the mutual cooperation between associations and government’ in 2001, as well as in changes in various laws and legal frameworks, e.g. the ‘Social Services Act’ of 1998, in which it was made compulsory for local government to cooperate with voluntary social organizations.”

The most important elements of philanthropy are from businesses and from private trusts and foundations. In Denmark, this is of particular importance when considering the private foundations and their relationship with the corporate sector. As will be shown, Denmark is still very focused on public funding, and so whilst the data available for public funding according to the different levels of government and the different artforms in the cultural sector are very detailed, the data and figures available for philanthropy and private investment are more limited in all forms of private investment – individual giving, business giving, and trusts and foundations. Nonetheless, there are signs that this is beginning to change on a policy level (Duelund, Valtysson, and Bohlbro 2012) and there are figures available which make it possible to see the trends in Danish private arts funding (European Research Network on Philanthropy 2017a). The landscape of private arts funding in Denmark is presented in Figure XIX.

**Figure XIX: Private arts funding in Denmark**



\*This figure accounts for business giving, but corporate philanthropic foundations may be included within this.

Diagram developed for this thesis.

#### 4.6.3.1 Philanthropy

There has traditionally been a strong role for the state in Danish arts funding but that does not stop there being philanthropy within Denmark.

“Only in a few cases does voluntary organized service provision account for a considerable part of the services provided. On the other hand, the universalistic welfare path followed by Denmark does not exclude a mix of public, voluntary and non- profit providers.”

(Henriksen, Boje, Ibsen, and Koch-Nielsen 2008: 81)

Data on private giving is more limited than public spending figures, which are readily available. As Lilleør and Lund (2017: 2) observe, “Research on private giving is a marginal field in Danish social sciences”. Further, what research is available tends to take a historical and qualitative approach (Lilleør and Lund 2017). There is some data available.

Approximately 67% of Danes give to charity, 20% of the population volunteer, and Denmark ranks as 44% in the world giving index score according to the Charitable Aid Foundation (2010). The philanthropic environment in Denmark is built around a history of associationalism and thus a strong role and interplay between social and voluntary organisations, and civil society and mutual associations (Kaspersen and Ottesen 2001; Henriksen and Bundesen 2004; Jørgensen 2016). There is also a tradition especially prevalent in Northern Europe of corporate philanthropic foundations, the roots of which in Denmark are the private ownership rights which were endorsed by the 1849 Constitution (Jørgensen 2016). In Denmark this means that owning a business is perfectly legitimate for a foundation and that how the business operates can be considered a form of philanthropy (Jørgensen 2016). The nature of corporate philanthropic foundations involving business ownership being considered a legitimate form of philanthropy (Jørgensen 2016) does suggest, however, that it may also be difficult to break down the figures to distinguish between businesses and corporate philanthropic foundations (such as in England and the Netherlands).

Whilst there are a variety of different terminologies for this particular foundation model present in Denmark, Thomsen (2017: 14) describes how these industrial foundations are

foundations “that owns one or more business companies.” This is distinct from commercial foundations in that the majority of them have a charitable purpose and they were not founded by the companies but by the owners, and distinct from family businesses in that it is not the money of the family any more (Thomsen 2017).

These are characterised as having being created by donation from the founder, independent and self-owning with a separation between the founder and the foundation, having a non-selfish purpose which goes beyond the benefit of the founder, have an endowment, have an organisation such as a board of directors or trustees, have a charter, have majority control of a business company, and have outside supervision by, for example, the government or the courts (Thomsen 2017).

Most industrial foundations in Denmark have two purposes – business ownership and philanthropy (Thomsen 2017). Thomsen (2017: 201) observes that “In addition to their role as business owners, Danish industrial foundations account for the bulk of private Danish philanthropy.” This is therefore an important dynamic to understand in the Danish context. Thomsen (2017) comments that whilst in the short-term the business ownership element of the foundations means that these foundations often have higher reinvestment and lower donation ratios than in non-industrial foundations, which tend to have a more diversified portfolio, in the long-term this means that they have a stronger capital base, thus improving the amount of donations in the long-term. Between 2006 and 2010, 12% of philanthropic donations from industrial foundations in Denmark went to culture (Thomsen 2017). The largest focus of donations from industrial foundations by far is to research, with 58% of donations going towards this area (Thomsen 2017).

The European Research Network on Philanthropy estimates that total giving in Denmark amounted to €2072 million Euros in 2013 (European Research Network on Philanthropy 2017a). Of this, €795 million came from individuals and households, €67 million from bequests, €1200 million from foundations, and €10 million from lotteries (European Research Network on Philanthropy 2017a). The data for corporations was not available, and of the data that was available not all of this came from the same year and total estimations were not available across private giving (European Research Network on Philanthropy 2017a). This

represents the paucity of data available for Denmark, and how data is only just beginning to be researched.

#### 4.6.3.2 Arts philanthropy

Danish traditions of philanthropy through foundations and business giving applies to the arts and culture. Private business giving to the arts and culture amounts to approximately DKK600 million (Kömhoff, Heinsius, and Van Dorssen 2015). Given that this figure comes from 2008, this emphasises the paucity of data on Danish private giving. This is growing by approximately DKK90million per year out of a total of DKK 3billion in overall business sponsorship (Kömhoff, Heinsius, and Van Dorssen 2015). This amounts to a growth of approximately 15-20% per year (Kömhoff, Heinsius, and Van Dorssen 2015). To compare, the Ministry of Culture has a budget of approximately DKK6billion (Kömhoff, Heinsius, and Van Dorssen 2015).

Denmark does also have strong support for culture from individuals and households, with 5.6% of households giving to culture in 2010 (European Union 2016). The total annual private cultural expenditure in Denmark according to purchasing power standard (PPS)<sup>13</sup> was 1593 PPS per household (European Union 2016). This figure uses a broad definition of culture which includes television and newspaper consumption. Private expenditure on cinema, theatre, and concerts was 7% of the total, which is 111.51 PPS (European Union 2016). Approximately 4% of people donated to culture in 2012, amounting to a

##### **Trends in arts philanthropy in Denmark**

- The state is a dominant form of arts funding, and arm's-lengths bodies have a great deal of independence from the government in terms of funding decisions.
- The majority of culture is publicly funded.
- Private trusts and foundations, often being corporate philanthropic foundations, are the principle form of philanthropy, and have a long history.

<sup>13</sup> The purchasing power standard (PPS) is an artificial currency unit used by Eurostat as a common currency so that national account aggregates can be expressed when price level differences are adjusted using purchasing power parties (Eurostat 2014). In theory, one PPS can buy the same goods in each country, although in practice there are price differences (Eurostat 2014). They are used here to allow for comparisons across countries and currencies.

mean amount of €244 per person (Lilleør and Lund 2017). This amounted to €39 million being donated by individuals for culture in 2012, 5% of all individual giving (Lilleør and Lund 2017).

Denmark has a strong tradition of private foundations. There are many small foundations in addition to a number of large ones, with Lilleør and Lund (2017) estimating at least 14,000 self-governed entities. Major foundations take two principle forms, public and private, the public foundation represented through the Danish Arts Foundation, and the private through businesses often set up by industrialists and with a relationship with the corporation. There are also some tax regulations in place to aid the arts and culture including tax regulations targeted at artists, exemptions on corporate taxes for the arts and culture, and laws on private foundations of public utility and VAT exemptions (Duelund, Valtysson, and Bohlbro 2012). Legislation on Foundations is limited and there is little demand for public accounts, no standards or demands for a percentage of giving, nor for public transparency with regards to the boards and governance of the foundations or the purpose of giving (Petersen 2014). This is, however, beginning to change with new legislation (Petersen 2014). Lilleør and Lund (2017) estimate that there are at least 1350 foundation-owned-businesses. As Lilleør and Lund (2017) observe, this complicates the study of data on corporate giving as a large amount of corporations in Denmark are in fact foundation-owned-businesses, a particular form of private ownership which previously included tax benefits, competitive advantages, and prevented takeover by foreign companies, and which donate large amounts.

A significant example of a corporate philanthropic foundation and the role of private money in the arts and culture would be the New Carlsberg Foundation which is one of the major foundations in Denmark for the funding of visual arts. It provides significant donations, the New Carlsberg Glyptotek each year and the board members of the New Carlsberg Foundation are also on the board of the Glyptotek and share a chairman (New Carlsberg Foundation n.d.a). The relationship between the foundation funding the arts and culture and the company is very clear. The Foundation is an independent part of the Carlsberg Foundation (Carlsberg Foundation n.d.; Carlsberg Group n.d.a). The principal aim of the New Carlsberg Foundation was to support the New Carlsberg Glyptotek, in addition to the promotion of art and art history's wider study, assisting museums to acquire art, and the provision of public artworks across Denmark for squares, gardens, and buildings (Carlsberg Foundation n.d.;



Carlsberg Group n.d.a; n.d.b; n.d.c; n.d.d). Carl Jacobsen gave the New Carlsberg Brewery to the Carlsberg Foundation (Carlsberg Foundation n.d.; Carlsberg Group n.d.a). This thus meant that in addition to his own money funding the New Carlsberg Foundation, the Foundation was guaranteed a share of the profits of the brewery (Carlsberg Foundation n.d.; Carlsberg Group n.d.a). As such, the relationship between the Carlsberg Brewery as a company and the New Carlsberg Foundation funding the arts and culture is interlinked.

#### **4.6.4 Earned income**

It is noticeable that, unlike England and the Netherlands, there is no data readily available on earned income in Denmark. This does not necessarily mean that it is of no importance, but the extensiveness of data on public funding, combined with limited data on private giving in general and a strong historical tradition of arm's-length public funding of the arts and culture in Denmark, suggests that a lack of data on this particular form of revenue indicates that it is still a relatively undeveloped area in comparison to public funding. There has also been decline in ticket sales to state-subsidised cultural institutions by 23% since the early 1990s, although museums still prove popular (Statistics Denmark 2017). Nonetheless, with the move of the Danish government not only towards encouraging private sponsorship but also towards investigating how to increase ticket sales in general, and an increasing awareness of public perceptions as to where public money goes in terms of overall subsidies (Duelund, Valtysson, and Bohlbro 2012; Haarder 2016; Lebrecht 2017a; 2017b; 2017c; 2017d), this may be an area of further development. This is in contrast to a previous tradition of public subsidy whereby the public were happy to fund institutions such as the Royal Theatre (Hansen 1997).

#### **4.6.5 Arts funding in Denmark: a summary**

This section has provided a profile of the funding landscape of Denmark. What can therefore be seen is an emergent variety of arts philanthropy for Denmark, accessed through a landscape mapping. Through substantial documentary work, the components and balance of arts funding in Denmark were outlined, including the importance of the different levels and elements of government, agencies, and private foundations. This is represented in Figure XX.

A picture emerges of a country with a strong continuing tradition of public funding with a variety of agencies playing a role in this, combined with a tradition of associationalism and artistic independence from the state. Nonetheless, business giving is rising, and there is a long history of philanthropy, in particular through private foundations which often work as corporate foundations, and which is finding itself considering the potential of the private sector through tax incentives and partnerships.

#### **An emergent variety of arts philanthropy in Denmark**

- Largely state focused with a strong sense of artistic independence in the Social Democratic tradition of arts funding.
- Where private funding does exist, whether that be private foundations, businesses, or individuals, it is complementary to the state.
- Tradition of private foundations, often working as corporate philanthropic foundations with a business in a foundation model particular to Denmark.

The picture which emerges in Denmark is different to that of England and the

Netherlands. In Denmark, public funding is by far the largest and dominant form of arts funding. This involves the arm's-length principle, but this is extended to the point whereby little justification or accountability is required for how public funding is spent. This also involves a large role for local authorities and municipalities, and the devolution of public funding to specific specialist agencies focused on the specific artform concerned. This can also involve a role for associations, and associationalism has a strong tradition in Denmark.

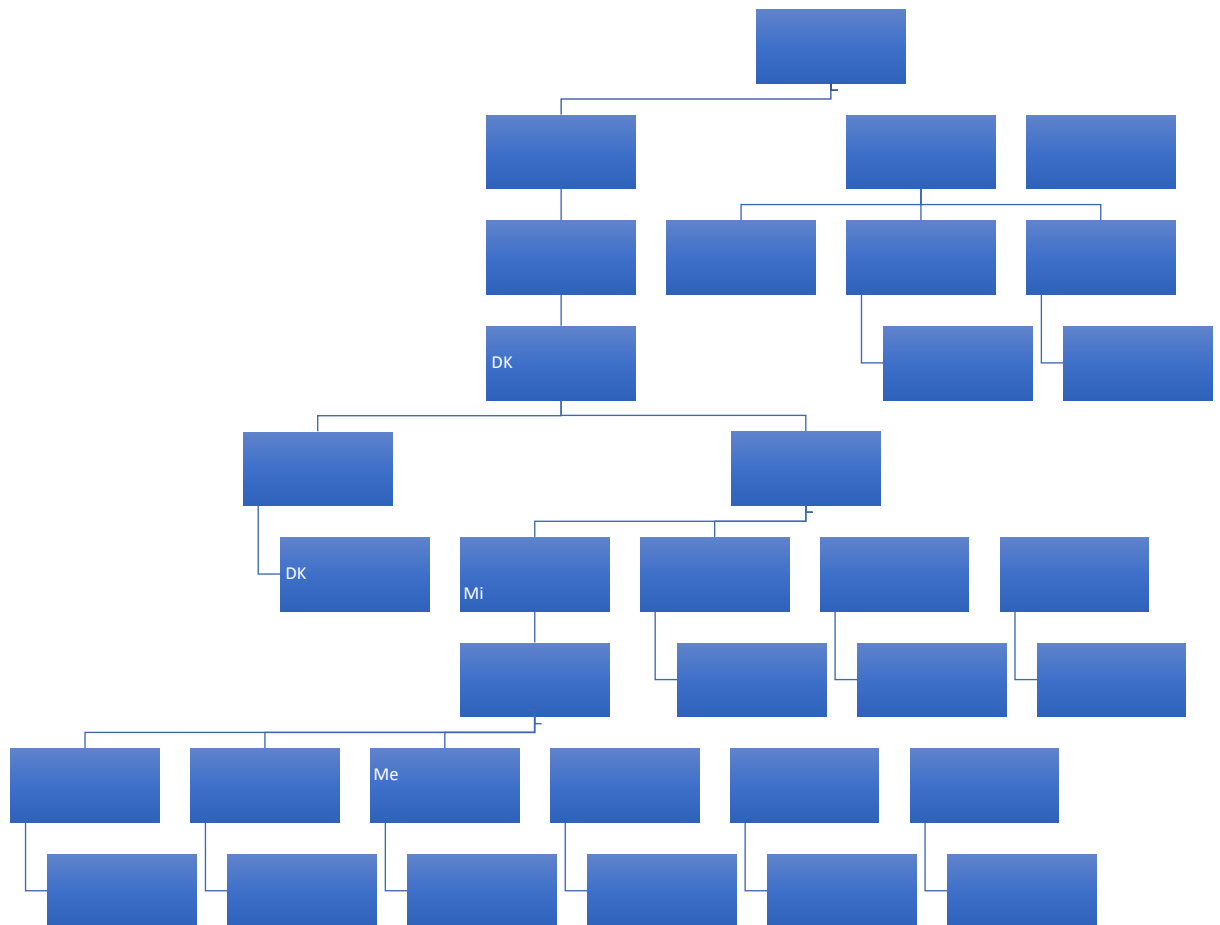
Public funding for culture has been consistently rising, but this changed for the first time in 2016 (Statistics Denmark n.d.). This may be an anomaly at this stage, or it may be the funding levelling out, but recent policy announcements suggest this may not be the case (Duelund, Valtysson, and Bohlbro 2012; Lebrecht 2017a; 2017b; 2017c; 2017d), with cuts being announced and cultural organisations finding themselves facing public funding reductions, sometimes for the first time (Lebrecht 2016a; 2016b; 2015a; 2015b; 2015c; 2015d; 2015e; 2012a; 2012b; The Strad 2012; 2015). These changes are relatively new, so the long-term impact is as yet unclear, but based on the funding reductions and government policy interest

in increasing private funding for the cultural sector the landscape may move from being one of the most generous European countries for arts funding, towards a more mixed model.

Where philanthropy does exist, it has tended towards traditional forms of philanthropy such as historic trusts and foundations, and business sponsorship. A particular form of private foundations in Denmark are corporate foundations in which the line between business and philanthropy becomes blurred as companies may make profits from their philanthropic endeavours.

These components, identified through the landscape mapping, all therefore point to an emergent variety of arts philanthropy in Denmark.

### Figure XX: The landscape of arts funding in Denmark



\*This figure accounts for business giving, but corporate philanthropic foundations may be included within this.

Diagram developed for this thesis.

## **4.7 Conclusion – Varieties of arts philanthropy**

This chapter has outlined the landscape of arts funding in the three respective case study countries. What emerges is a picture of the similarities and the differences between these countries – and an emerging potential set of ‘varieties of arts philanthropy’.

### **4.7.1 Trends in public funding**

A comparison can firstly be made according to the trends in public funding. Each of the three countries is built around a welfare model of arm’s-length public funding of the arts and culture. The trends in each country are, however, different. In England and the Netherlands there has been a steady decline in public funding and a steady increase in private investment and in earned income. In England, the decline has been noticeable, as whilst public funding used to provide the largest component of arts funding, it is now earned income. In comparison, in the Netherlands, public funding is still significantly higher than private investment. Despite this, the trend is still moving in the same direction. In Denmark, however, public funding remains the largest component of arts funding, with some suggestion of potential decline (2015/16). This indicates not only initial ‘varieties of arts philanthropy’, but the suggestion that there may be a slight and gradual shift from one variety towards another. Whilst it seems unlikely that Denmark will ever occupy the same space as England in its variety, this indicates a move towards a more market orientated direction.

All three also have a regional element via municipalities or local authorities. The balance is, however, different. This reflects the different ‘state levels’ across the different countries as suggested in Figure II and indicates the importance of multi-scalar levels for ‘varieties of arts philanthropy’. In England, the local authorities are the areas which have faced some of the most significant reductions in public funding. Outside of London, there has been a far greater reliance on public funding and private funding from trusts and foundations, putting a greater strain on the system. Measures to encourage greater private investment and philanthropic giving for cultural organisations include a focus in policy terms on training and development in order to further train those in the fundraising profession to enable the move towards improved business sustainability. In the Netherlands, municipalities make up the largest

component of public arts funding, and this expresses a wider national trend. Just as public funding decisions are devolved on a national, municipal, provincial, and city level, so also is arm's-length public funding devolved to the different artforms within the cultural sector. In Denmark, the municipalities have links with associations and agencies which deal with the arm's-length principle with very little interference whatsoever. This again represents the importance of 'state levels' and within that multi-scalar levels when understanding 'varieties of arts philanthropy' as a model.

#### **4.7.2 Trends in private funding**

Concerning philanthropy and funding, the review has shown that there already was a philanthropic tradition in all three countries, in particular via private trusts and foundations. As such, when asking the question as to whether arts philanthropy is a new funding model, it must be noted that it always was a funding model: indeed, the rise of state funding has been the more recent phenomenon. Despite this, the extent of arts philanthropy is still limited, with public funding and earned income still representing the predominant forms of revenue. What emerges, however, are several differences across the landscapes. The different trends in philanthropic traditions represent the 'culture and society' which is core to the model in Figure II. Within this, different 'types of philanthropy' are observable and how an analysis of these trends can be fit into a framework for varieties of arts philanthropy.

The English experience of private arts funding is heavily regionalised. It can be seen that in London and the South East there is significantly more individual giving, whilst in the North of England there is much more reliance on public funding, and the philanthropic giving is from more traditional means such as trusts and foundations. In England, the predominant form of income is earned income, and the majority of government schemes are built around advancing the business models of the organisations. Individual giving is in total the predominant form of private giving, but this is regional in pattern.

This is in comparison to the Netherlands. The Dutch private environment is extremely mixed. There exists a varied private landscape with a focus not just on traditional forms of giving such as trusts and foundations but also on more alternative forms of private financing such as loans

and private investment. There is a strong place for cultural entrepreneurship and involvement from private commercial organisations and businesses, and a strong place for private charitable funds in addition to a wide variety of private foundations. In the Netherlands, the investment from companies appears to be declining, but household donations and individual donations seem to be increasing, suggesting that business investment may have reached its limit, but there may be further room for individual giving.

In Denmark, the state is still by far the largest provider of funding for the cultural sector, and the arm's-length principle provides a strong sense of artistic independence within the tradition of public funding. The Danish philanthropic situation is more traditional, with a history of private foundations, often working with businesses as corporate philanthropic bodies. Support from trusts and foundations remains relatively steady. It maintains, however, a heavily state-focused approach towards arts funding. This thus remains an important part of the private landscape, but where private funding does exist, it is complementary to the state. Public funding of the arts and culture still dominates the landscape, even when taken with private bodies such as historic foundations. The tradition of private foundations often involves working as corporate philanthropic foundations with a business as the overarching structure and any profits being considered philanthropic despite the link with the business.

There can therefore be observed an emergent set of 'varieties of arts philanthropy' across the three countries, accessed through the landscape mapping. The sense of emergence of these varieties is strengthened by how the three countries were assessed through the same process and allows an impression of the structuring characteristics of the systems of arts philanthropy.

## **Chapter Five: Arts philanthropy in action**

Following mapping of the landscape of arts funding in Chapter Four, this chapter will analyse the data gathered during the semi-structured interview stage of the research. This will include drawing on the contextual data gathered during the mapping. Using interview transcripts, notes taken during the interview itself, and the recordings of the interviews, it was possible to identify a number of key themes which ran as a common thread throughout the interviews. These built from the process of coding as outlined in Chapter Three. From these themes, it is possible to describe a landscape of arts philanthropy in the three case study countries, and identify where these trends are moving, what the countries have in common, and what is different, and what changes were taking place. Varieties of arts philanthropy can be discerned.

The landscape data mapping conducted in Chapter Four has already given a sense of the changing funding landscapes and guided the choice of interviewees. The initial questions in the interviews were therefore to get a sense of how the interviewee perceived, understood, or fitted in to these changing landscapes. The interviews then went on to gather the perceptions of the interviewees as to the place of philanthropy within that landscape, and finally a discussion over the policy landscape.

The chapter will begin by identifying a set of key themes which emerged during interviews specific to each country, assessing England, the Netherlands, and Denmark separately. The chapter then identifies emergent themes observable across the three countries. Given this, the chapter concludes with key messages around how the empirical material discussed further exemplifies the presence of varieties of arts philanthropy and a restating of the conceptual framework of Chapter Two incorporating this learning.

### **5.1 An English model of arts philanthropy?**

In England, what emerges from the interview evidence are several distinctive themes that structure and inform the arts philanthropy landscape. The first is the different governance



levels and the importance that those governance levels have on the funding landscape and on the relationships with various funding streams. This includes the effect which a collapse in local authority funding has had on cultural organisations, and the perceived effectiveness or ineffectiveness of regional policies resulting in uneven outcomes of funding. All of this relates to the place of the arts and culture in the context of national austerity, and the question of what should be funded and what should not be funded.

The second theme is the significant importance placed upon developing fundraising, including training for the profession. Fundraisers are trained to enhance the business models of cultural organisations, and public funding is actively utilised to improve the business models. This means that the cultural organisations do not require as much public funding in the future. Public funding is therefore used to decrease its long-term need. The changing approach towards fundraising also raises questions regarding the attitudes of the cultural sector towards philanthropy, and changing the approach – in part based on issues surrounding culture and society. The focus on training also has an interesting significance in terms of the place which universities and higher education plays in the landscape of the arts and culture; with fundraisers being taught these skills in collaboration with both the public sector, the non-profit sector, and academic institutions. This will be discussed in more detail when outlining the professionalisation of fundraising, as it is a trend which was evident in the Netherlands and Denmark, alongside its particular emphasis in England.

#### **5.1.1 England – Public funding and governance of its dispersal**

Key characteristics of the English funding system are the arm's-length principle, and the difference in both levels of public funding and the place of private funding according to region. This included the issue of governance levels and their relationship to funding streams such as local authority funding and the Arts Council England. Whilst there have been efforts on a governmental level at rebalancing the amount of funding outside of London, this is not always being felt on the ground.

One of the key observations from England highlighted by the interviewees across the different regions was that there was a noticeable disparity between London and the rest of England.

Cuts to local authorities had hit regional arts particularly badly. Cuts to local authority budgets by central government have had effects which have filtered down to the regional arts, a representative of one Trust describing how they had been “decimated” (Trust, Interview 2).

A rural theatre company accused the local council of reneging on their deal (Theatre, Interview 25), again suggesting the difficulties felt by local authorities. Indeed, the comment was made by a charitable agency (Interview 10) that a tripartite model of public funding, philanthropy, and earned income – as broken down in the mapping – would simply not be possible for some smaller cultural organisations in these sorts of areas. There was a sentiment, in England and in the regions, of anger at the government. This was particularly evident in the North of England, where the ‘North-South divide’ was alluded to. A Northern performing arts company expressed frustration that those in government do not make it easy for them, nor seemed to care (Ballet Company, Interview 26). This is in part down to the requirements asked of cultural organisations to access certain government streams. For example, there were complaints that there were a lot of hoops to jump through in order to get things like Gift Aid which could become a difficulty and a matter of box-ticking which hampered charities with small teams and limited administration staff – essentially all but the very large cultural organisations (Trust, Interview 2). This made it less likely that a charity would take a risk and do something new.

The artistic director of a rural touring theatre company went a step further, accusing the government of “sheer bloody-mindedness” (Theatre, Interview 25). Part of the frustration was over the apparent priorities of the public funding bodies such as the Arts Council England which, some in the sector felt, was wasting public funding on administration and projects such as Creative People and Places and throwing money at pointless projects – and yet here is a policy deliberately aimed to fund localities and target areas of low participation (Creative People and Places n.d.; Culture, Media and Sport Committee 2014b).

This again raised the sense of having to tick boxes. The rural touring theatre company, for example, travelled across the countryside in the North of England and visited communities which would not otherwise have easy or regular access to the arts and culture – and yet, based on the criteria presented, they felt as if they were not judged as eligible or

“disadvantaged enough” (Theatre, Interview 25). Yet, there was a feeling that rural communities were being disenfranchised as a result of this. This was mentioned most acutely when the artistic director observed that in one map they had seen – not currently in circulation – that was initially produced of England, everywhere north of Newcastle was simply cut off the map. This was a specific example to this part of the country, and in this sense it therefore seemed like this part of the country did not exist as far as the government or the public funding bodies were concerned. Further, when projects were funded they would sometimes be at opposite ends of the county. This was viewed as problematic, as you might have a large county and the only funded activities were at opposite ends of the county, not easily accessible by public transport, and potentially an hour or more drive away from the rural communities that they sought to represent (Theatre, Interview 25). This was again seen as box-ticking, that that particular county had therefore been covered. The question in response to this is, however, one of political choices – if not all projects can be funded, decisions have to be made, and it may be that if there are funded projects in various different parts of the county in the main population centres, then sparsely populated areas had those offerings and it was not possible to fund absolutely everything. In the eyes of the funders, there was therefore publicly funded projects in the area, but from the perspective of those who lived there they were sometimes over an hour apart with nothing in between.

This is not the uniform experience of arts philanthropy in the rural North of England. Writing in *WhatsOnStage*, Hardy (2018: Paragraph 5) – whose company is one of the winners of the Achates prize mentioned – comments that:

“winning a prize like the Achates makes people look at us differently. We recently ran a crowdfunder at November Club and reached our target and I think that's off the back of the profile from winning the prize. People start to take note of you. We're based in Northumberland, one of the UK's most far-flung areas, and people often don't think anything of cultural note happens up here. Actually we have a very vibrant arts presence.”

Utilising the tax system to help the cultural sector was generally viewed as a positive help from the government. In England, for example, the Theatre Relief Tax was mentioned in several interviews as being beneficial. The artistic director of a regional rural theatre company

suggested that this saved them £10-15,000 a year (Theatre, Interview 25). Other areas, such as charities not having to pay National Insurance for the first £2000 – an annual ‘employment allowance’ whereby charities and businesses can reduce their liabilities for Class 1 secondary National Insurance Contributions (HM Revenues & Customs 2013) made a big difference to organisations (Trust, Interview 2). Whilst these sort of numbers do not make a big difference to large organisations, they can make a huge difference and make the difference as to whether an organisation survives or not for small organisations (Trust, Interview 2).

### **5.1.2 England – Training for philanthropy**

Throughout the cultural sector in England training and education was important. One regional theatre in England was saved through its university model (Theatre, Interview 18). This was based on its strong relationship and engagement with the local university on a formal basis. It did not simply work together with the university on projects on a case-by-case basis, it also operated in collaboration with the local university, training the students at the theatre, and teaching the students about arts and business (Theatre, Interview 18). There is an increasing move towards training people professionally in fundraising, and it was viewed as important for students in the cultural sector to have business skills. If arts philanthropy and the business of the cultural sector was to become more professional, this meant having people within the cultural sector with the experience to run the organisation as a professional company and business. In this sense, it is a business first and a cultural organisation second, even though the cultural sector has its own particular challenges and contexts, with Abbing (2002) seeing this as being a unique context to the arts economy. In this way, agencies which focused specifically on the arts and culture were especially valuable as they “brought a real understanding of the sector which we helped to develop, and way of curating a programme of activity which works for that sector” (Charitable Agency, Interview 10).

“trying to rethink some of the models . . . some of the business models, some of the practices, I think it’s very hard when you’re in a pressurised environment with limited resources and your main focus is develop creative works, to think about other elements”

(Consultancy, Interview 12)

This suggests a professionalisation of arts fundraising in England, with some organisations being more proactive in training and seeking private funding for the arts and culture.

“It’s got to be about capacity building . . . think about what do you need to do now for the next five, ten, twenty years. So, this is about making sure your database is working and you have the database. It’s about making sure you’re developing individual giving schemes. It’s about making sure you’re developing relationships with customer foundations, getting them to understand you, know you. Submitting applications which might be unsuccessful but which might ultimately lead to successful bids. Business relationships are a key, they take three years to develop, so how are you going to start. And I think that message is seeping through. People are realising that the key resource you need for capacity building is staff, because fundraising is all about relationships, that’s people, you can’t actually do it without someone at a meeting or at the end of a phone. And that’s why you’ll see more staff coming in. People are now being prepared to actually find some of their core money to give to fundraising resources which had not been the case before, people had been expecting this to kind of materialise out of nothing.”

(Charitable Agency, Interview 10)

This also draws in another dynamic in the English landscape, that of seeing the arts and culture as an investment. When philanthropy is no longer seen in purely charitable terms, but as a strategy facilitated by trained professionals, there was a sense of philanthropy as a business model. Fundraising was no longer simply about appealing to the altruism of an individual or trust but requiring professionals to sell the product and explain why it justified that money.

One problem of the reasons for the development of this approach was in part related to an expectation of public funding which had developed in some cultural organisations. Fundraising takes time and starting philanthropy because of financial difficulties has very limited chance of success as if a cultural organisation has no relationships – which can take five years – then suddenly changing their business model in five years will be very difficult (Charitable Agency, Interview 10). There was also the issue raised that public funding is given to provide a service, and yet with public arts funding it sometimes had actually the opposite effect. When you are in receipt of public funding, your relationship is with the Arts Council

England – potentially even one arts professional – rather than the public (Charitable Agency, Interview 10).

“Organisations became more divorced from the public the more public subsidy they got, because they actually didn’t need to ask the public for any money, because somebody had already given it to them.”

(Charitable Agency, Interview 10)

Engaging with the public required different skills, different requirements, and some cultural organisations were worried that the answer might be ‘no’ as it had been so long since they had engaged in this sort of fundraising (Charitable Agency, Interview 10). This also therefore raises a question of how a historical culture of giving had been subdued by the welfare model, but also how the historical and welfare context was affected by culture and society. The importance of culture and society is developed in more detail later in the chapter across the

#### **English emergent themes**

- There is a substantial difference between the regions of England and the capital city, including an additional issue of rurality.
- Cuts to local authorities have hit cultural organisations hard.
- Some in the regions – especially parts of the North – are feeling the effects of public funding reductions but see limited scope for philanthropy.
- Others see their locality as an advantage in selling themselves to their audience.
- There is an increased focus on training and development in business skills, especially fundraising as a profession.
- The focus is on developing more hybrid business models, including encouraging philanthropy.
- The concern is that organisations have become used to public funding and are not used to asking the public for money – relationships need to be developed over several years rather than seeing philanthropy as an immediate way out of financial difficulties.
- This requires long-term strategy.

three countries, but a key observation from England in relation to improving the business models of cultural organisations, including by training, is about improving the relationship with the public.

## **5.2 A Dutch model of arts philanthropy?**

Several distinctive structures and themes were evident also in the interviews for the Netherlands. Firstly, the political narrative surrounding arts funding, with culture, nation, and the citizen playing an important role in the justification of funding decisions, but under more scrutiny than previously.

Secondly, the regional dimension holds true, with cities such as Amsterdam and Rotterdam in the north west of the country being much more developed than those in the south.

Third, the heavily devolved nature of the Dutch system was also important, with public funding decisions made not just nationally, but on a municipal or city level by local cultural councils, and with the arm's-length institutions themselves devolved according to artform.

### **5.2.1 The Netherlands – Culture and 'the nation' in Dutch society**

The role of 'culture and the nation' play a significant role in the cultural model of the Dutch arts funding landscape. This took on several elements, including the politics of subsidy and funding metrics, and the rationale of funding decisions. In several different interviews Geert Wilders was mentioned, the Dutch politician and leader of the right-wing Partij voor de Vrijheid, who described the arts and culture as a "linkse hobby" – a left-wing hobby. The Dutch right-wing are not in favour of subsidising this. This was commented on in frustration, but also almost in bemusement, in that this does not appear to be true if you actually go to the majority of museums or orchestra concerts. If you go to a concert of classical music, one commented, the likelihood is that the majority of people there will actually be middle class with high incomes and quite conservative, voting for centre-right parties (Orchestra, Interview 21).

This national element to the Dutch landscape also manifested itself in relation to cultural diplomacy. The development team of a museum noted at how if the king was visiting another country on an official visit there might be representatives of the museum present in order to represent the Netherlands (Museum, Interview 23).

“If they go for a visit, if like our king or queen go to another country, then they need our orchestra, or they need the director . . . to tell something about the exhibition. It’s always about the diplomacy.”

(Museum, Interview 23)

Whilst this cultural diplomacy exists in other countries – in the United Kingdom through the British Council, for example – it was specifically mentioned in several interviews in the Netherlands, suggesting an importance seen not just on a governmental level but by the cultural organisations themselves.

Whilst much of the justification for continued public funding of the arts and culture in the United Kingdom, for example, comes in the form of arguments about its value for tourism and its value on the economy – although in cities such as Amsterdam there was a strong cultural economy and tourist sector which did value the money which the cultural sector brought (Regional public arts funding body, Interview 22) – it is of interest that in the Netherlands the cultural sector was arguing on a different level, that it had a value for society and a value for the national interests of the country. Further, this was raised by a development team in the context of philanthropy – a national pride and a sense of the Netherlands as a country could be seen in the rationale of why people might donate to a cultural organisation, observing that “We are not a country that doesn’t like culture” (Museum, Interview 23). This again emphasises a particular feature of the funding variety in this context, focusing on an idea of ‘the nation’. There was, nonetheless, a difference in terms of individual giving in that it was less obvious and public. It was suggested, for example, that it was not usual for Dutch funders to want to present themselves too loudly, and that many preferred to give anonymously.



“And then private givers it’s more interesting because it’s not in the Dutch culture to put your name very big on a badge because you gave money, it’s always anonymous, so, yeah. That’s a culture thing.”

(Museum, Interview 23)

This therefore also reflects a cultural mind-set which does not actively encourage giving to culture in a public way – and if it is not obvious that others give to culture, it may not be obvious that culture needs philanthropy.

Again, however, whilst this is a particular rationale for justifying either the public or the private funding, as with England there was a sense that the selling of the arts and culture as a product to the philanthropist took on a necessity to find out what the giver wanted. It was not simply altruism, “because they need us also” (Museum, Interview 23). This included the philanthropist or business needing them for marketing and publicity, but also for raising their social status (Museum, Interview 23) as discussed in sections 2.5.3 and 2.5.4 of Chapter Two in relations to ideas surrounding how private giving can be used to raise the cultural capital of the person or business giving the money (Bourdieu 1984; Bourdieu 1993; Bourdieu and Haacke 1995; Harvey et al 2011; Kail, Simmons, and Bagwell 2015).

A further dynamic was the importance of foundations within foundations – private funds set up individuals within foundations, often focused on specific causes. This was common and popular in the Netherlands, and a particular feature of the Dutch arts philanthropic landscape.

“Yes, we have 140 . . . named sub-foundations within our main foundation, and some of them are already really old, and some of them that founded them are no longer alive”

(Museum, Interview 23)

These are not simply old foundations, however. More and more are emerging.

“So, what you see now is you’ve got foundations basically popping up everywhere, and from wealthy people . . . it’s not, I’m giving because I feel that I need to give back to society because

no, yes, I'm giving back to society, but I'm also trying to sort of make something happen, make a change happen. And that's what they're doing is quite, quite big."

(Museum, Interview 19)

Here then is a particular characteristic of the Dutch funding landscape which is popular and developing, and has a new impetus of not simply giving for altruistic purposes but in order to achieve something.

A further element of the Dutch model was the independence of cultural organisations, which were nonetheless publicly funded – how private museums, for example, could be heavily funded by the government.

"Something important to be independent. Because – yeah. That's a very interesting contradiction in the Netherlands, that museums have always been funded by the state, you know, but at the same time they are independent in their positions, and, you know."

(Museum, Interview 23)

On a policy level, this reflects a distance towards public funding which is manifested itself in private cultural organisations. Further, public funding is heavily devolved, with public funding decisions made not just nationally, but on a municipal or city level by local cultural councils, and with the arm's-length institutions themselves devolved according to artform. This was described by one such artform specific funding body that "We are a public body, but not directly under the control of the minister" (Artform-specific public funding body, Interview 9) and that with regards to the Raad voor Cultuur – the advisory council for culture – that "The only relation we have with them is they advise about the whole system (Artform-specific public funding body, Interview 9). A city based public funding body further described the breakdown in detail:

"There's a layer of national government funded bodies – there's the Performing Arts, the Creative Industries, stuff like that – so you have this layer of the Raad voor Cultuur, it's called the Basic Infrastructure, and they give advice on, I don't know how much institutions, 200, something like that, and they get money for four years, and that's completely centralised. The Raad voor Cultuur advises the ministry, and the ministry says you get this much. Then there's

the layer beneath that. That's the Performing Arts Fund, and the Creative Industries, and the Mondriaan Fond and the Letters Fonds and the Literary Fond and stuff like that, and they are funded by the ministry but they have their own goals basically. And the layer underneath that is where we are. We are funded by the local municipality of Amsterdam, so we don't get money from the ministry, and we have own goals, we get funded by the city, we fund projects that take place and are of value to the city. So those are three layers basically . . . On the municipal level there are also two levels. In Amsterdam we kind of mimic the system from the national government but for the city, so we also have a Basic Infrastructure here, and that Basic Infrastructure used to be less complicated, but now it's pretty complicated! There are about 150 institutions that get money for the Basic Infrastructure, and 21 of them, they get advice by the Kunstraad – so not the Raad voor Cultuur, the Kunstraad, it's a local advising body, an equivalent, that advises the eldersmen, the local council . . . and the rest of those 150 institutions apply for money from us.”

(Regional public arts funding body, Interview 22)

This emphasises the heavily devolved and multi-layered nature of the Dutch funding system. Indeed, one of those speaking during an interview with a regional public arts funding body commented that the strongly decentralised and multi-layered nature of the system was nothing like the experience of a strong national state in Belgium or France (Regional public arts funding body, Interview 22). There is, however, a change emerging in the Dutch landscape with regards to these responsibilities and the role that local government is playing.

“The national government is more responsible for the artistic organisations, the local government is more responsible for the buildings . . . what we now see is that there is a shift going where the local government want more influence for the artistic programme . . . because they want much more than before a local flavour . . . and local connections”

(Artform-specific public funding body, Interview 9)

The regional element also comes in with private fundraising, which is far more developed in the North West of the country, in particular surrounding the large cities, and this is dealt with across all three countries in section 5.4.3.

### 5.2.2 The Netherlands – Political reaction and organisational reality

As in England, there was also a sense of frustration at the government in the Netherlands. This also related to the differences between different parts of the country. This was in part due to a “backwards” (Museum, Interview 19) approach to the funding landscape. The example was given that the government has not yet caught up with the technology that the cultural sector was using to market and broadcast their material.

“If we, one of the factors we are judged on is how much audience do we reach. We just did a live premier from the studio with a new American artist that we think is gonna be great . . . It’s on Facebook, it’s very nice. And there were 50,000 people live watching from all over the world . . . But the Dutch Government still says, yeah, but that doesn’t count because they weren’t there. And we’re like, come on! It’s the 21<sup>st</sup> Century! It’s like a parallel universe, sometimes.”

(Orchestra, Interview 21)

Likewise, policymakers were scorned for their buzzwords and unhelpful suggestions which do not reflect the reality of the situation on the ground for the cultural sector.

“And on a regional level I think that you know the province could be quite, could be bolder if, you know, with what they want. So, that’s another thing, they’ve got this sort of policy document written about what they feel that you know arts institutions should be doing in the next couple of years, but again, it’s sort of, it’s quite, so they want them to go back to the you know there should be more funding from other sources, they think companies should be investing more, but then they write things like, we see great benefits in crowdfunding. And I go, like, why would you see benefits in crowdfunding? I mean, crowdfunding is great, but not for big exhibitions.”

(Museum, Interview 19)

Further frustration was expressed at the coverage of the cuts, and how completely disproportionate it was (Orchestra, Interview 21). This was in part related to specific comments such as those from Wilders, commenting that “I think it’s ridiculous you give space for that” (Orchestra, Interview 21). This again relates back to the national context present in

the Netherlands, and the political dialogue taking place. It was, however, also mentioned more generally, that the perception of public funding for the arts and culture was out of balance.

“the amount of money the Dutch Government gives to arts, and if you look at the amount of press and bad press it has been given, it’s totally out of balance. OCW, the Department of Onderwijs, Cultuur en Wetenschappen, education, culture and science, has a budget of 42 billion a year, and the budget cuts on arts that caused all that fuss was 200 million. If you look at that . . . it is 0.5. That’s shocking. And the problem that 0.5 gives to organisations next to the image damage with the left-wing hobbies, the impact is enormous. And the impact isn’t only people play in orchestra, work in museum. The impact in the end is if you would take it very far is the mental health of people, but then you can never make that clear. The impact is for hotels, for restaurants, for taxis. The impact is so much bigger.”

(Orchestra, Interview 21)

This emphasised the point about coverage. The amount that the arts and culture received from public funding as a percentage of overall public expenditure was very small, and yet the coverage that – in the eyes of some – public arts spending received was disproportionate to the amount actually spent. As such, funding cuts have taken place with a particular political reaction, but not one which is necessarily based on the actual numbers, and yet the way it is perceived does not have that impression.

The policy dimension manifested itself in other ways. Just as in England, there was an interest in education. In this context, however, it was presented more as deciding what children learned in schools and emphasising the importance and value of the arts and culture in society. If they did not receive a strong arts education, then it is difficult to see how they could see the value of the arts and culture, nor become philanthropists to the arts and culture in the future themselves. The development manager of a Dutch orchestra put it more bluntly in terms of decisions around what to fund:

“What the government do is define 21<sup>st</sup> Century skills. What do you want children to learn? What do you want children to be able to? And you come down to science, arts, sports, language. In those fields, decide what will make people stronger, and invest in them. So, I

think the shift to education . . . And to an extreme extent, we don't need ten classical orchestras, but we do need to run a school bands. I know it won't be like that, and I wouldn't justify that, I wouldn't think that's right, but what I miss is the total vision on culture in the government, and that's cast by the, that's because cultural education has been missing, by practically, by high schools, by primary schools, but by practically everyone in the House of Parliament. I know these are quite strong words, but."

(Orchestra, Interview 21)

Once they have made that decision, they in effect accept that the things which they do not deem as important may disappear from society.

"I strongly hope that in five years' time they may in one line say we have 6 million for an orchestra in the North, 6 million for an orchestra in the East, 6 million for an orchestra in the South, and six million, or 4 and a half million even for an orchestra for light music."

(Orchestra, Interview 21)

In this way, it was hoped that all regions and all types of the arts and culture – in this instance, music – would be covered and funded.

As in England, there were tax incentives for the arts and culture, but in the Netherlands the political dynamic of the country came into play. Whilst tax reliefs such as the Theatre Tax Relief, the Orchestra Tax Relief, and the Museums and Galleries Exhibition Tax Relief have been introduced in the United Kingdom (not just England), there is the fear that tax reliefs amongst the Dutch arts will be cut. The liberalisation of gambling regulations in the Netherlands was also raised as a potential concern as foreign lotteries may no longer be obliged to help the arts and culture (Foundation and University, Interview 8). Policy legislation therefore had implications wider simply than public funding reductions. Indeed, lottery money is one of the areas – as evidenced in the data in Chapter Four – that has been rising. When people are going through austerity they are more likely to buy lottery tickets as a way out of their financial difficulties, so lottery funding increases during periods of funding reductions (Foundation and University, Interview 8).

### **Dutch emergent themes**

- The political narrative surrounding the funding of the arts and culture is significant – culture, nation, the citizen, and what happened to civil society, play an important role in the justification of public funding decisions, but under more scrutiny than previously.
- The regional dimension is important, with cities such as Amsterdam and Rotterdam in the north west of the country being much more developed at private arts fundraising than those in the south.
- The heavily devolved nature of the Dutch system is important, with public funding decisions made not just nationally, but on a municipal or city level by local cultural councils, and with the arm's-length institutions themselves devolved according to artform.
- Private funds set by individuals in foundations, often focused on specific causes, are popular.

### **5.3 A Danish model of arts philanthropy emerging?**

Several distinctive structures and themes were evident in the interviews for Denmark. The tradition of public funding for the arts and culture was much more pronounced than in England and the Netherlands, with a move towards private funding being only a very recent phenomenon.

Firstly, the cultural and historical background of the Danish landscape provided justifications for that public funding, including on a political level, to the point that the public may not even be aware of any funding reductions, and there is a great deal more autonomy for cultural organisations. This has its backdrop in the Danish tradition of cultural policy and civil society, outlined in Chapter Four, and of 'building a state'.

Secondly, the national character of the Danish state stands in contrast to England and the Netherlands with regards to private funding. As Henriksen, Boje, Ibsen, and Koch-Nielsen (2008:84) observe:

“What we have seen during the past 20–25 years is first and foremost a change taking place at the level of discourse. By and large, the basic structures of the Danish voluntary sector have remained unchanged. A relevant question therefore seems to be to what extent a new welfare mix relying more on voluntary organized provision of welfare is realistic. To what extent this will change in the future is difficult to predict. At present, it seems questionable whether voluntary organizations and non-profit institutions within the welfare fields will be able to compete with the much more professionalized public and for-profit providers in the new contract culture.”

Thirdly, the importance of industrial foundations taking on a unique form in Denmark as compared to England and the Netherlands represents particular characteristics for a Danish variety of arts philanthropy.

### **5.3.1 Denmark – Arts funding and building a state**

One of the key elements to consider when understanding the Danish funding landscape is the nature of civil society in the country. As outlined in Chapter Four, there has, since the establishment of the Danish state and constitution, been a strong focus on providing culture for Danish society and a strong role for the state. Chapter Four outlines the background to this, and the arm’s-length approach which manifests itself with a great deal of artistic freedom and a heavy focus on associations and municipalities, and this was evident throughout the interviews. When discussing the landscape of arts funding in Denmark with a representative from a government agency, it was described how regarding the arms’-length model of funding in Denmark “the arm is longer” (Public arts foundation, Interview 3). One example was given that there was a particular fund specifically aimed at artists starting out on a new project, and with no requirements whatsoever.



“There’s this tradition from the old foundation support that the foundation supports the artist directly, and they give these working grants that are not, that you can give to them and they do not have to make a specific project . . . and if they have some kind of background, and they say this is a very good talented artist, they can give a working grant, but he or she doesn’t have to report back with what they do with this money, so we call this very free working grants. And you don’t see that in England, I think, but you do see this still in the Nordic countries, very free funding.”

(Public arts funding body, Interview 3)

Indeed, when comparing with England, a representative of a public funding body commented that the idea of three or four-year plans with government lists of what to do – “you wouldn’t see that in Denmark” (Public arts foundation, Interview 3).

“The culture has been to really distance yourself”

(Public arts funding body, Interview 3)

As in the Netherlands, the national culture of Denmark came into play when considering arts funding, but in a different direction. Whilst the political right in the Netherlands were sceptical of arts funding in the Netherlands, this took on a different dimension when it came to Denmark. There are also right-wing nationalist parties in Denmark, but the broad consensus across the Danish Parliament is nonetheless in favour of public funding for the arts and culture – “There is agreement across the whole Danish Parliament” (Public arts funding body, Interview 3). As the data in Chapter Four presents, Denmark has only recently faced funding reductions to the cultural sector in comparison to other countries, but was beginning to.

“Last year<sup>14</sup> we saw the first cuts to the foundation that we’ve received in ages. We didn’t have any cuts during the financial crisis. We had cuts on the administration, and we separate that, we have the administration, and then we have all the funding money. Nobody really remembers when we last had, so it was a big wakeup call for us.”

(Public arts funding body, Interview 3)

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<sup>14</sup> This interview was conducted in 2016.

The difference that political ideology makes is in relation to the nature of the arts and culture being funded. A representative of a government agency suggested that right-wing nationalist parties were in favour of public arts funding, but for specifically Danish national projects, for example, national heritage, and that cuts were therefore not so much cuts to the sector as a whole, but rather shifting money from one emphasis to another.

“They were taking out to cultural heritage projects, it wasn’t like a general cut, they were taking money out . . . to support some specific projects. That was because we have a party called the Dansk Folkeparti, and in general they are more interested in cultural heritage than in arts . . . so we saw that this could be maybe a new – be aware”

(Public arts funding body, Interview 3)

This fits with the analysis by Lindsköld (2015: 22) that:

“The Scandinavian radical right legitimizes their cultural policy with the idea of a national culture that needs to be protected from other cultures to avoid the risk of, in the most extreme case, extinction. The promotion of national culture is seen as the solution to different societal issues by these political parties . . . There is an underlying conflict or contradiction in the radical right cultural policy discourse. While the parties argue that the political governance of culture needs to be limited, they are, at the same time, deeply involved in how cultural expressions and cultural life should be defined.”

In the Netherlands the perception was that the arts and culture received too much in public funding. There was a slight difference expressed in interviews in Denmark. Funding cuts were taking place and the pressure building but the public were not always aware that there were public funding reductions taking place.

“I think a lot of people are more, well, if we need to cut on something, let’s cut on art, because what’s more important than my Nanny in the nursing home to look after, or we have an exhibition with Monet’s – you know what I mean? It tends to be that that people kind of decide, so when you have the movement happening within the welfare, like, the reciprocal

system, it's about hospitals, or nursing homes, or kindergartens, or whatever, then people react to it."

(Museum, Interview 20)

This therefore raises the issue of the visibility of funding reductions. The example was given that the National Gallery in Copenhagen introduced entrance charges where it was previously free entry, in part precisely as a visible display of the impact of the cuts to funding as in the past it was not necessarily obvious to the public that organisations were struggling with funding reductions (Museum, Interview 20). Even when it was apparent, there was the constant pressure of what else to fund, and how to prioritise this.

Further frustration was expressed at the coverage of the cuts. This was expressed in both the Netherlands and Denmark, that part of the problem with fundraising was that people did not necessarily realise the organisations were having their funding reduced, and so visibility was important.

"I don't think people really see it. I think people see it when the volunteers are involved in the welfare sector. Within the arts and culture sector, I don't think people really notice it . . . It keeps functioning."

(Museum, Interview 20)

In this way, the different coverage of public arts funding, and the different nature of civil society in Denmark in its approach to public arts funding and the autonomy it has are distinct characteristics.

### **5.3.2 Denmark – Business and philanthropy, hand in hand**

Another important dimension to understand in Denmark is the role of corporate philanthropic foundations, what Thomsen (2017) terms 'industrial foundations'. As outlined in Chapter Four, in contrast to both England and the Netherlands, the trends in private philanthropy were focused on businesses, and trusts and foundations, rather than individual giving. All the interviewees in Denmark agreed this was not a likely focus for them.

“A small number of people. It’s more that you buy membership. You know, that’s the extent that we have it, you buy a membership, and then. But people don’t donate like that themselves, we don’t have those friendship programmes like that . . . It’s a few people who like the arts but, yeah, we don’t really have it . . . It’s just not part of it. We’ve spoken a lot about it, but the thing is, there is – Denmark’s a small country, there aren’t that many rich people, and if they are they put their money somewhere else because the taxes are so high here, right? And then there’s the whole thing about tax deduction. So, there’s also some government rules that aren’t really, I’m not quite sure how much tax deduction you can get from actually donating to a museum, but I’m sure there are some, but it’s no huge amount”  
(Museum, Interview 20)

One such company observed that whilst they would do some engagement with individuals - “We have a business club, a small business club with some private donors” (Opera Company, Interview 29), it was not very much. There were also far fewer highly wealthy individuals in the regions who might be willing to give back to the arts and culture.

“I don’t think, there are not that many rich people around here in this area, and the only ones that are actually contributing, they do it through their company”  
(Orchestra, Interview 28)

When researching Danish examples, the interviewer had to clarify what was meant by foundations, corporations, and funds. In the Danish national environment, private foundations very often operate as corporate foundations, and funds are used to refer to foundations, both publicly and privately. In this regard, interviewees would describe fundraising activities with foundations, funds, and corporations at times interchangeably, despite these having distinct fundraising roles and motives in other national environments. Rather than seeing a trend of individual giving, wealthy donors in Denmark would set up their own small private foundation.

“So, it’s just not a – and most of the people who have that amount of money have actually made a foundation. So, they do that instead . . . No, it’s just, I don’t think it’s profitable.”  
(Museum, Interview 20)

Corporations would often be owned by foundations, and thus the profits from the corporations could be seen as philanthropic as they were used in part to fund the foundations, and the foundations could be seen as corporations as they owned profit-making entities. This raises a particularly interesting phenomenon in Denmark. It is also why the philanthropic data presented in Chapter Four is not separated quite as clearly as in England and the Netherlands.

One such example in Denmark in the cultural sector, for example, is the New Carlsberg Foundation. The Carlsberg Foundation owns the Carlsberg Brewery and receives its money from the profit of this company. The New Carlsberg Foundation then owns the New Carlsberg Glyptotek, a large private museum in Copenhagen set up from the private collection of the founder of the New Carlsberg Foundation, Carl Christian Hillman Jacobsen, who was the son of the founder of the Carlsberg Foundation and Carlsberg Breweries, Jacob Christian Jacobsen (Glamann 1996).

These foundations, however, see their role very clearly – they are not a replacement for public funding, they have a historic role in contributing to Danish society.

“The purpose of the foundation is to develop the sense for art in the Danish people as a public good. So, we should stick to that. We are not here for supporting the arts, but doing something for society. And there has been this tradition that we give artworks to Danish museums. We support public arts, public spaces, we support publications about art, there’s a lot of things that we traditionally have done, but when I was away, one of the other members of the board . . . one of his ideas was that we support PhDs and postdocs in the Danish museums, so we have made a very large programme of research areas in Danish museums on a high level”  
(Private foundation, Interview 5, Denmark)

In summary, what was shown through the interviews relating to foundations was a particular Scandinavian model of philanthropy, with a strong tradition of private foundations working as corporate philanthropic profit-making bodies and co-existing alongside the strong tradition of public funding. In contrast, individual giving is much less pronounced.

### **Danish emergent themes**

- The tradition of public funding for the arts and culture is much more pronounced than in England and the Netherlands, with a move towards private funding being a very recent phenomenon.
- There is a more autonomy for cultural organisations making decisions over what to do with the money.
- The importance of industrial foundations taking on a unique form in Denmark as compared to England and the Netherlands represents particular characteristics for a Danish variety of arts philanthropy. These industrial foundations are charitable foundations which own businesses and have a charitable purpose strongly inclusive of philanthropy.
- These foundations form the largest amount of philanthropy in Denmark.

#### **5.4 Varieties of arts philanthropy: Emergent themes**

The first half of this chapter has further exemplified the national frameworks and characteristics for arts philanthropy across the case studies. Alongside this clear national distinctiveness, a number of common themes pertaining to varieties of arts philanthropy emerged across the international interviews. The overarching factor, unsurprisingly, involved the changing roles and perspective of the key actors and networks. These then in turn fed into the role of several key factors: how to operationalise philanthropy; civil society and religion; emergent models of philanthropy; different national, sub-national, and multi-scalar levels; language; and the professionalisation of fundraising. These themes will now be investigated, leading to – together with the components identified during the mapping – a final conceptual framework for varieties of arts philanthropy.

##### **5.4.1 How to operationalise philanthropy: Tax, artform, and mixed funding mindsets**

In all three countries a move towards a more mixed model of funding could be seen. This was at its most developed in England and was still relatively new in Denmark. A key element of

public funding which was raised across all three countries was that of utilising the tax system to support cultural organisations in their funding. Whilst tax incentives for cultural organisations in order to encourage private funding could be argued to be in relation to the private sector, it was seen by all of the organisations who raised it as ultimately still indirect public funding given that it is the government reducing revenue that it would otherwise receive and thus that the organisation would pay in taxes.

All cultural organisations interviewed accepted the need for more private funding and none expected the Government to change its position. Even in the case of a change of Government in a more Social Democratic direction, the best that was hoped for was a halting in the funding reductions rather than a reversal of them. Despite this, all maintained that whilst private funding for specific projects was possible, private funding for the running costs of the organisation was more difficult.

“Specific projects or specific investments in lighting, technical stuff, or new pianos or something like that, that’s more or less kind of easy money. But the running costs money? . . . That’s not easy.”

(Opera Company, Interview 29, Denmark)

All three countries had tax incentives as a way of encouraging private philanthropy, but this was more noticeable in England and the Netherlands. The left-right political divide was also noticeable more generally across the three countries. There is an increasing shift towards a more market-based model of funding, but the extent of this varied depending on the national environment of giving.

Another difference was based on artform. Whilst classical music or ballet, for example, was generally seen as being good at fundraising, other artforms struggled more. This related to the particular interests of the donors. If you are a donor and you have a particular interest in a particular form of music, perhaps even a specific composer or instrument, then that interest can be developed. Similarly, in museums a donor might have a particular interest in a particular painter, or period and style of art. This can then be developed and the role of the development staff will include cultivating that interest. This is more difficult in certain forms

of the arts and culture. A large museum or ballet can function with these types of relationships, but a small rural theatre company or a contemporary dance company might have more difficulty in finding people to give to them in large enough quantities as to be sustainable.

Part of the problem of attracting private funding may also be down to perception. The comment was made in England that many people may simply not be aware that cultural organisations are charities and may assume that they are funded publicly. This then comes down to marketing and education so as to raise awareness in the mind of the public that cultural organisations need private funding. It also relates to the problem of a conflict between public and private funding. In both the Netherlands and Denmark, if an organisation is receiving public funding, it cannot make a profit. If it does make a surplus and have reserves, then it has in a sense ‘failed’ as it will no longer be eligible for public funding (Orchestra, Interview 21, the Netherlands; Opera Company, Interview 29, Denmark). It will also risk having less public funding in the following cycle and may have to pay that money back to the government.

“if you have reserves you don’t need public funding”

(Opera Company, Interview 29, Denmark)

There is therefore a disincentive to private fundraising. The more successful an organisation is at private fundraising, the more likely it will receive further reductions to its government funding. Yet, if an organisation is to be sustainable in the-long-term, it has to have reserves – this is therefore an obstacle to business sustainability. This is part of the transition of the mindset of the system, of how the system is changing. This presents a difference with the situation in England, where trying to make a surplus and not seeing a conflict with the charitable status of an organisation was viewed as a positive thing to do, whilst in the Netherlands it was not permitted.

The question of a direct contradiction between the amount of public funding and the amount of private funding an organisation receives does not just exist in policy, but also in economics. Much has been written about the phenomena of crowding out (Balcerzak and Rogalska 2014;



Bekkers 2015; Carlson and Spencer 1975; BM Friedman 1978a; 1978b; M Friedman 1972). This is the idea that one form of funding crowds out another form of funding, or in terms of philanthropy, that when the level of public funding increases the level of private funding decreases, and vice versa. The question can then be asked not only whether philanthropy is an effective long-term funding strategy alongside public funding or whether a choice needs to be made as to the direction an organisation wants to take their funding streams – some organisations have, for example, made the decision to be less reliant on an uncertain public funding landscape, whilst others simply do not see that as possible – but also whether philanthropy and public funding can coexist side by side.

This theory is, however, not without criticism. Henriksen, Boje, Ibsen, and Koch-Nielsen (2008: 82) comment that, with regards in particular to Scandinavian countries, “There is no evidence that the generous welfare states of these countries have crowded out people’s engagement in civil society organizations.”

The overall sentiment expressed by all in terms of public funding was that whilst all were seeing reductions in the level of funding they received from the government and local authorities, and all were trying to assess the situation and work out ways in which they could increase their revenues from private funding, the majority – the exceptions were those which were already entirely funded from earned income and private donations already – did not see how they could survive entirely without public funding. One regional orchestra in England (Orchestra, Interview 27, England) which had been highly successful at adapting its fundraising programme made the point that if all public money was cut they, and the majority of similar organisations, would not be able to survive. The key point mentioned in terms of public funding was therefore that whilst there was a move towards a more mixed model of funding, and cultural organisations were being encouraged to widen their revenue sources and be more sustainable, it was not possible to survive without some degree of public funding, or on private funding alone. The manager of the culture fund of a Dutch bank (Bank, Interview 7, the Netherlands) made the observation that an organisation receiving 90% of its funding from only one income source, whether that be the government or private funding, was a risk itself.

Whilst a more mixed-model is therefore being encouraged, and there is little to indicate that this will change or roll back to how it was previously, there is still an understanding that without any public funding the sector would not survive. As a public funding body observed, “it is important to stress that philanthropic donations alone will never replace public funding shortfalls but it is one-way organisations can look to increase their overall income” (Public funding body, written contribution [interview table number 6], England). This was put positively by a public funding body in England, that “We will stand by local authorities that stand by their culture” (Public funding body, Interview 1, England).

When considering the role of philanthropy as a funding model, therefore, whilst all those interviewed viewed it as increasingly necessary and important, and all saw the move towards a more mixed model of funding as unlikely to be reversed, it was not viewed as an alternative to public funding. Cultural organisations did not view private funders as willing to compensate for reductions in government funding, and likewise, private funders wanted to contribute and be involved but did not see their own role as being a replacement for funding. Indeed, the chair of one private foundation described any attempt at reducing funding in such a way as for private foundations to replace it as “pretty stupid” (Private foundation, Interview 5, Denmark).

### **Operationalising philanthropy**

- Tax incentives for arts philanthropy are present across all three countries.
- There is – to be greater or lesser extent – a gradual move towards a more market-orientated model of arts funding in all three countries.
- There is a distinction based on artform – how the fundraising takes place, and the extent to which there is potential for philanthropy.
- Some of the problem in fundraising is down to perception – not everyone necessarily knows that cultural organisations are charities and simply assume they receive public funding; even when they are aware, they may prioritise public funding in other areas such as health or education.
- Whilst the cultural sector in all three countries recognises a need for an increase in arts philanthropy, much of it could nonetheless not survive without some public support.
- Whether a publicly funded organisation can fundraise and make a profit varies across national environments – this affects the potential for philanthropy from a policy perspective.

#### **5.4.2 Culture and society**

In Chapters Two and Four, the importance that the cultural environment and history of a country has on its national environment was identified. This was very clear throughout the interviews. Two key concepts emerged within this. First, the cultural and religious heritage of the country and how this impacted the giving patterns and mind-set of giving. Second, that of the increasingly important role of civil society. What emerges are trends regarding the cultural characteristics which affect the national environment, for example, from a tradition of cultural patronage which was often based on religion to a welfare model of arts funding returning again to a tradition of cultural patronage.

“Changing the attitude towards fundraising in the sector, a lot of thought leadership, because I think when we started at this point . . . one of the strong motives for this was simply the

economic crash and the reduction of funding . . . and we've come out of a period of unprecedented amount of public funding and I think that's one of the difficulties, you look at things like, ooh, this new thing called philanthropy."

(Charitable Agency, Interview 10, England)

The development is that with this cultural patronage, civil society replaces religion but maintains the cultural characteristics, attitudes, and trends of the particular institutional environment in which it sits.

Whilst every one of the cultural organisations interviewed in Denmark had begun to think about private funding as a possibility, and was beginning to develop a fundraising strategy, it was in all instances the beginning of that process. In the regions, the process generally did not even include having a full-time fundraiser. In one instance, other members of staff were taking on the responsibility for seeking private funding; in another they had not yet hired a fundraiser but were seeking to. Even when discussing this with a major private museum in Copenhagen with a successful history of private funding, the position of fundraiser was only two years old. The fundraiser expressed the sentiment that this reflects a wider understanding in Denmark:

"So, it's actually quite an interesting time to work within fundraising in the arts world, and I don't think that – because fundraising is not really a profession, it's not really a professional profession in Denmark. If you say fundraiser in Denmark most people think of people who are cold calling . . . and someone in here could tell me when I started and they gave me a title of fundraiser, you could have just been called a beggar. And yeah, true, I want money, that's what I do want. But it is a funny model."

(Museum, Interview 20, Denmark)

This again addresses a core issue raised across the interviews in Denmark, that individual private funding is not within the tradition of the Danish funding landscape – private funding came from foundation and companies, but generally not from individuals. In both England and the Netherlands, when the interviewer asked about private funding in relation to individual philanthropy, there was a developed stream focused on this. In the case of every single cultural organisation spoken to in Denmark, the response was an immediate negative,

that there was no real possibility of individual philanthropy in the sense understood in the Anglo-Saxon and Liberal models. It was suggested that this was in part due to the wealth of Danish society. It was commented that due to the higher level of taxation and more equal levels of society, there were not so many wealthy individuals, and those that did give tended to form their own private foundations and give via that mechanism.

“I would like to say yes, but I also think no, because I am not sure you can do that here.”

(Orchestra, Interview 28, Denmark)

This again represents the varieties of different cultures and forms of giving across different national landscapes. The broader institutional context therefore has an impact on the behaviour of an organisation, both the funder and the organisation receiving funding.

Likewise, with the Netherlands, whilst there is a strong tradition of private funding, that tradition is not necessarily as strong with the cultural sector, and it was suggested that this was in part because of the cultural environment. The development manager of a Dutch orchestra compared the difference in national character directly with England:

“The English nature is a proud nature, proud of what they have, proud of the LSO, the London Symphony Orchestra. If you ask an average Englishman who knows something about music, the LSO is the best orchestra in the world. Without any doubt. The London orchestra scene is the biggest one in the world. Without any doubt. And they’re proud of it. The Dutch is a country of salesmen, originally . . . Merchants . . . And there’s no pride in that. They are far more Calvinistic.”

(Orchestra, Interview 21, the Netherlands)

Investigating further, just as in Denmark the comment was made that people may be happy to sponsor sport but not the arts and culture, the interviewee observed that whilst the Dutch give a lot to charity, it depends to be related to areas such as the environment or poverty. This, the interviewee commented, also related to this “Calvinistic” approach towards private giving. A person gives towards a worthy social cause, but not something deemed frivolous.

The religious element was also raised in the context of Denmark, but in a different sense. Whilst the Ministry of Culture is now separate from religion, there is still a Ministry of Ecclesiastical Affairs, and from 1849 until 1916 they were part of the same ministry (Duelund, Valtysson, and Bohlbro 2012). The example was made that, whilst in the past, the Church of Denmark was key in the formation of the Danish welfare state, the interviewee could see a move back towards civil society having a role in arts funding. The difference was that the role which in the past was played by the Church was now being played by private foundations, and they were shaping policy towards the arts and culture.

“the Church in Denmark played such a huge role in building up the whole welfare system and everything else, and it’s actually, you can just see . . . I can see the movement going in that direction again, not towards the Church, but towards private foundations.”

(Museum, Interview 20, Denmark)

The importance of religion in philanthropy is borne out through the data (Giving USA 2017; Lilly Family School of Philanthropy 2017; McKittrick, Landres, Ottoni-Wilhelm, and Hayat 2013). King (2017a; 2017b) suggested that faith has a large impact on the likelihood of a person giving, and indeed was the focus of much philanthropy. The impact of religion and the culture of the national environment was raised on several occasions as indicating whether philanthropy might be successful for the cultural sector in each of the three respective countries. The manager of the cultural funds of an ethical bank made the comparison between arts and faith groups as having similar skills in terms of fundraising and suggested that collaborations would be increasingly the way forward (Bank, Interview 31, United Kingdom).

This relationship between civil society and philanthropy can be seen not just in a return to cultural patronage, a shift from the role of religion being replaced by civil society, and in the cultural values which a national environment may have in part due to its religious history. There is also a direct relationship with religion and philanthropy which continues. Religion is not only the source of a great deal of philanthropic giving (King 2017a; 2017b; Giving USA 2017; King and Austin 2017), but also religiosity has a significant effect on the likelihood of a person giving to charity, with those for example in the USA who are religious more likely to

make philanthropic donations (King 2017a; 2017b; McKittrick, Landres, Ottoni-Wilhelm, and Hayat 2013). In the United Kingdom, Jewish philanthropy has played a particularly prominent role with a significant number of major private foundations having Jewish roots (Pharoah 2009; Pharoah, Goddard, and Jenkins 2015a; 2015b). Also of note in this environment is the role of Quaker philanthropy, with three leading philanthropists – the Cadburys, the Rowntrees, and the Frys – all coming from Quaker families (Charities Aid Foundation 2016d).

A move towards a more pronounced role for private foundations in civil society did have a problematic dimension in terms of influence and policy. If private foundations, for example, had a more important role in funding the arts and culture then that would bring with it increased scrutiny and increased influence over the decision-making process of the arts and culture, which would not be acceptable to many in the cultural sector.

“I think the negative side of this is that the foundations gain all the power in what will be funded thus will be shown to the public . . . Where I think that it’s really important that the art world come out and say, oh no, you’re not deciding what the exhibition is about. If you can help us with processors and all sorts of other things, we’d love to work together and these kind of things, because big foundations are very, very good at that, but the context of the museum must always lie within the museum, because we have the people who know about it.”

(Museum, Interview 20, Denmark)

This feeds into the wider debate about the ethics of philanthropy and whether large companies should fund the arts and culture (BBC News 2016c; Henley 2016c; Hewison 2014; Higgins 2014; Khomami 2014; Ogden 2015), and whether the arts and culture should accept their money as discussed in section 2.5.4 of Chapter Two.

“I think it’s really difficult, because I mean as my personal point of view is that we do need to have some sort of a mixed model, but I do think it would be nicer if it was more of a 50-50 model, maximum, towards the private sector, because I do fear that the private sector will have too much of a say. If the private sector isn’t, if the foundations aren’t very clear on what their purpose is, and if they try and set the tone too much, then I don’t think we will have the best ride.”

(Museum, Interview 20, Denmark)

This therefore reflects the debate about the role of the state and the role of the private sector, and what sort of activities should be funded publicly. The foundations themselves also did not see their role as replacing the government (Trust, Interview 2, England), but rather as independent negotiators who could use their independence and political distance to their advantage, with the chairman of one describing himself in terms of “Robin Hood” (Private foundation, Interview 5, Denmark).

Despite this, there is a history and tradition of patronage to the arts and culture in Europe. Indeed, the post-war welfare state model of funding is the exception in history and across the world rather than the norm.

“I don’t think of philanthropy as new and it’s been the business model for the arts since the Classical Greece.”

(Charitable Agency, Interview 10, England)

The increased interest in philanthropy therefore reflects a return to a tradition of patronage rather than a new form of funding (Foundation, Interview 10; Museum, Interview 19).

“So, you know, it can be done, it’s just about shifting that culture back towards thinking that this is necessary and getting society to think that they should do that, rather than relying on the state, you can’t just rely on the state.”

(Orchestra, Interview 21, the Netherlands)

What can therefore be observed is a changing landscape which is returning to a previous tradition of patronage which was often based on the religious and cultural context of the country, and which has particular characteristics based on the specific national environment it is based in, including its religious and cultural history. Understanding these different environments then allows for the cultural organisations, the funders, and the policymakers to react accordingly to changes in the funding landscape in a way that is appropriate to that environment.



### **Evolving civil society**

- The civil society and the religious heritage of a country shaped its traditions of patronage.
- The success or lack thereof a fundraising strategy is dependent on guiding that strategy around the characteristics of an environment.
- In Denmark, individual giving was less in the tradition of the country – foundations playing a more prominent role – whilst in England and the Netherlands, individual giving showed potential and increase.
- Whilst philanthropy in the Netherlands is strong, arts philanthropy is hindered by a cultural attitude which makes it less likely to give to the arts and culture over other sectors, expressed as part of a religious characteristic.
- In Denmark, the Church of Denmark previously played an important role in supporting the arts and culture – and the wider charitable and welfare sector – and now the importance of the voluntary sector is returning again, but the role of the Church is being replaced by civil society.
- In England, Jewish and Quaker philanthropy are particularly prevalent.
- Religion also impacts degree to which a person is philanthropic.
- The increasing importance of philanthropy is therefore less a new form of funding, but returning to a previous tradition of patronage that had move to a less prominent position and is now re-emerging in different forms.

#### **5.4.3 Fundraising – training and the professionalisation of the funding landscape**

One of the elements which emerged in particular in England, but could be identified across all three countries, was a professionalisation of the fundraising process. In England, and to an extent the Netherlands, this was about fundraising as a business and a profession, whilst in Denmark it was at the early stages of simply hiring fundraisers and locating donors as a business strategy. The key point was that in the long-term fundraising was a necessary add-on which may not make up the bulk of financing but was necessary for large and sometimes necessary projects. As was put by a heritage trust:

“We’re a modestly successful business. It’s really hard to see what you can do to make an extra – to pluck a figure out of the air – an extra million pounds a year from the business, whereas to raise that from fundraising, I’m not saying that’s easy, you can see that there is potential there.”

(Trust, Interview 2, England)

From this, the building blocks of private funding for the arts and culture can be identified, with fundraising and philanthropy fitting into a clear position in the financing of an organisation. The manager of the cultural funds within an ethical bank in the Netherlands (Bank, Interview 7) described how there were three principle forms of finance for a cultural organisation. The first of these was money needed for day-to-day running costs of the organisation. The second was large capital projects, for example, a refurbishment or a new bar or wing of a museum. The third was reserves, ‘money for a rainy day’.

This was raised in by the development manager of a heritage trust in England (Trust, Interview 2) who argued along the same line. In this instance, this trust raised its own funds through commercial revenue rather than public funding, but again mentioned philanthropic funding as increasingly important for large capital projects such as the restoration of a heritage property. The manager observed that:

“We can sustain with the commercial, but we can’t develop or innovate.”

(Trust, Interview 2, England)

The consensus across all three countries was likewise that private funding was most appropriate and beneficial for the second of these three costs.

“Well, first of all, all major investments, we will need to seek private money for that. I mean, in terms of tickets machines, lighting equipment, all kinds of stuff. We have no money for investments, so we’ll seek that privately. And then we’re trying to have a small permanent ensemble here, and we’re trying to get that financed by private people, private money too.”

(Opera Company, Interview 29, Denmark)

This was in part due to the process of fundraising. It was observed that when an organisation – for example, a foundation – makes a private donation towards a cultural organisation, they wanted a tangible end result which they could see and advertise, whether that be through a gala or advertisements in the programme or a plaque with the name of a foundation on it.

“that funding is for maintenance, so it’s for having your roof made . . . it’s not for the fun stuff! It’s not what the visitor sees . . . But that money once again goes towards maintenance, paying salaries, you know, all the boring things that people really don’t notice. And a lot of people don’t really want to fund, because it’s not something that you can make a fuss about.”

(Museum, Interview 20, Denmark)

One trust took this a step further and commented that one individual giver being spoken to specifically asked whether their donation would go towards paying for the salaries of those who worked there, with the specific request that it did not, but only went towards the particular project (Trust, Interview 2, England). Whilst this sort of directness in approach was not usual, it again represents the point that money gained from philanthropy was most appropriate for projects rather than for day-to-day running costs.

In England, much of the developing focus of philanthropy was on training. This involved training fundraisers and embedding cultural fundraising as a profession rather than seeing it simply as an extra to marketing. The expression “building resilience” also came up over and over again – this points to the sense in the cultural sector that the public funding landscape is not going to return to the previous state and that the sector therefore had to increase its resilience in the face of funding challenges. The difference between seeing philanthropy as an act of giving and seeing it as an investment, also brought with it a risk as there is an inherent risk with investment. Part of this relates to the point already raised from the ethical bank (Bank, Interview 7, the Netherlands) that a company cannot base its funding model on one source of finance alone. There should be a more diverse funding model for every organisation, and this will then help diversify the risk. The success of some cultural organisations in succeeding in arts philanthropy is therefore in part due to the foresight of key individuals and developing a strategy in advance rather than as a response to financial difficulties (Charitable Agency, Interview 10, England).

The sense from both cultural organisations and private funders was that they have not yet adapted to the changing landscape and are responding to circumstances rather than developing with them. As the chairman of one foundation in England put it, “necessity is the mother of change” (Foundation, Interview 11, England). This gets to the heart of the political question of what the role of private and public organisations is. A board member of a Dutch regional foundation and academic posed it as a question as to “who is the more demanding master” (Foundation and University, Interview 8, the Netherlands), the government or the private funder?

These changes had practical implications for the organisations and they developed their business models. Some of the cultural organisations were also developing new ways of private fundraising beyond the common forms of philanthropy. A regional orchestra in England (Orchestra, Interview 27, England) completely rethought their funding strategy following severe cuts from the public local authorities. They did three principal things. Firstly, they made efforts to control their costs. Secondly, they froze the pay of the staff who were previously paid one third more than the average wage but were now more like the norm. They also sought to maximise income by looking at areas that were no longer necessary – efficiency in their business model through cost reduction. They also undertook an entire audit of everything the orchestra had done. They then took a positive attitude towards their messaging, not seeing it as a negative approach of asking for help because they were struggling – the manager described their previous fundraising strategy as being a stick rather than a carrot approach reflecting the perceived negativity of only asking for private funding because the organisation was struggling at this point rather than because it was a worthwhile organisation to give towards. Their second wave of funding then came following the appointment of a new Musical Director reflecting the importance of artistic quality in fundraising.

A private foundation in Denmark also observed how they were developing to a changing funding landscape. These changes were based around the foundation being “very aware of this international profile” (Private foundation, Interview 5, Denmark), so included donating Danish art to international museums, supporting Danish art exhibitions, improving their

branding and website, and in due course seeking to establish an international art historian prize.

Another museum (Museum, Interview 23, the Netherlands) had a highly successful fundraising programme which included a researcher specifically dedicated to researching and developing donor relations. The projects did not simply include corporate giving, individual giving, and trusts and foundations, but also donations of pieces of art, and a project in collaboration with a cruise company whereby the museum pieces were digitised and included on the cruises.

Others were also setting up funds for their impact, which could then gain interest. The aforementioned orchestra (Orchestra, Interview 27, England) had built up an Endowment Trust of £2.4 million which had grown from nothing in 2012, whilst a private theatre had an Impact Fund for those who wanted to help the theatre but could not commit the time to it and so were happy for the theatre to make the active decisions about the funding, the suggestion being that the people who gave to this sort of fund were also big givers to other charities and in general (Theatre, Interview 16, England). It was also helpful to live within your means, with a consultancy developed to help advise those seeking arts philanthropy keeping charges low by having no fixed office and not overcharging the organisations seeking help either (Consultancy, Interview 12, England). These reflect thinking outside of the box and attempting to adapt to the changing funding landscape. They also reflect new broader forms of private fundraising – what might be viewed as the non-commercial landscape of private arts funding rather simply than the landscape of arts philanthropy (Foundation and University, Interview 8, the Netherlands).

The key part of development or fundraising department at a cultural organisation was about building – or developing – relationships with a donor (Museum, Interview 23, the Netherlands). Whilst in the USA people expect to be asked to donate if they are invited to a meeting with the fundraising or development team, in Europe that ask is not necessarily made (Theatre, Interview 16, England). One board member of a museum in the Netherlands expressed extreme frustration at this:

“But then I talk to them and I say, why aren’t you talking to them to see if they, you know, if they want to become a donor, if they, you know, if you can get rights to be a partnership with them for the next couple of years, and they say, well, we should do that, and we’re talking to people about that, but people are being really sort of hesitant to talk to us, and I say, who are you talking to, oh the head of communication. And I say . . . you shouldn’t be talking about fundraising with the head of communication! You should be, you know, talking to the CEO or someone that he delegates it to, but not with the head of communication. They’ve got no clue.”

(Museum, Interview 19, the Netherlands)

This also meant utilising the entire organisation and not simply the fundraising or development department, but rather “embedding the culture of fundraising and getting an understanding from colleagues right across the organisation of what voluntary income can do for us” (Trust, Interview 2, England). The extent to which a culture of giving and a culture of asking was emerging therefore varied. Large organisations in major cities were more successful, but smaller organisations in the regions across the three countries were struggling and did not have the experience or skills necessary for successful cultural fundraising. The suggestion was, from the larger organisations spoken to, that whilst this was a core part of their strategy, this was not necessarily the case in other parts of the country.

“But I think the power of our department is that we are all very personal. We all have very personal relations with our companies, our private benefactors, and we do much, much, much to have the best time for them. Or whatever they need or whatever they want to, a guided tour of one of our conservatories, then we arrange it. And I think, if I look around at other museums, we are far more in giving a real personal relation to our benefactors and also our sponsors, and that is our power different to other institutions.”

(Museum, Interview 23, the Netherlands)

The approach also varied according to the type of institution concerned. Whilst cultural organisations may not necessarily be confident, foundations were used to being asked and expected to be asked, one commenting that “The problem is now that everyone is very strong in asking” (Private foundation, Interview 5, Denmark). This therefore reflects the different

level of experience that cultural organisations may have, with those with more confidence already approaching the relevant private bodies.

Building relationships was also important. In Denmark, for example, smaller museums were adapting to the funding reductions through collaborations with each other (Museum, Interview 20, Denmark). This could take on the form of sharing a researcher if they could not afford to fund one for the museum alone:

“So, the museum world is changing as well, like, a lot of the small museums in Jutland, for example, are cooperating in a number of different ways, they’re really surprising, and it is really innovative and really interesting how they do it, like, they’ll share a PhD or, they’ll do all these different things to make sure they fulfil all their criteria, and as they realise they can’t do it on their own they start cooperating . . . Because they can’t afford – it’s just not possible for them to have a PhD or a Postdoc associated with them, it’s too expensive, there are too many things, but then if there are four museums they can share a Postdoc, for example, and still get the research done and whatever else.”

(Museum, Interview 20, Denmark)

It also involved, in the case of foundations, “trying to find other foundations abroad that look like us to find collaborations and ideas and inspirations” (Private foundation, Interview 5, Denmark).

There is, therefore, an appreciation that there is potential to build relations and adapt to the changing landscape. This also emphasises the need for collaborating with others in the sector, mentioned in both Denmark and the Netherlands.

“for example, if you need, if the museum is in need of a conservator of Asian arts, but there’s no money for it, then I know, in the museum there is a gap, and then I look into the broader field, are there people who might be interested, or companies, or parties, or anything.”

(Museum, Interview 23, the Netherlands)

Another important issue raised was the role of trustees and board members. The cultural organisation themselves needed to encourage their own board members and trustees to give

to the organisation. Likewise, the cultural organisation would need to develop their own audience so that the current donors would then encourage their family and friends to also become donors. This was termed by one development manager as encouraging advocacy amongst your peers so as to link different groups who may then bring others in (Orchestra, Interview 27, England). This would also have the effect of identifying the linkage people who might provide access to high net worth individuals. If the development manager were to contact a member of what he termed the “global elite” (Orchestra, Interview 27, England), he would not necessarily expect a positive response, but if a linkage had been identified as a contact point it might provide both access to the individual and access to a wider network of potential donors. This identification of key people also involved an element of exclusivity, so that philanthropy is not simply a transaction, but there is a personal dimension to it.

“So, we never rent our location just for parties, we only do it for our benefactors, because then you have a relation together and then it is exclusive for you to have dinner organised.”  
(Museum, Interview 23, the Netherlands)

Whilst all organisations would like to increase the number of their donors, it was pointed out by one Trust that the number of people who were interested in giving to culture and heritage, and who saw the values of the arts and culture to society, probably could not easily be increased as that is a particular type of person.

“You always want to expand, but I think we’re a bit niche. We’re not as niche as some, but we’re not Cancer Research, you know, we’re not fluffy kittens, there is going to be a group of people who are going to be our natural supporters, and I think we’re so far away from having fully tapped out that market . . . and, you know, fundamentally, if people don’t really, if they’re not in that natural market, if they don’t fundamentally believe in the power of art and literature to improve life, I’m not going to convince them. Nothing I say is going to have that impact, and certainly the fact that they can get a few quid off their tax bill isn’t going to do it.”  
(Trust, Interview 2, England)

In that sense, it was a better strategy to try and deepen the relationships and build up with those who were already giving and interested in culture, rather necessarily than spending a



large amount of time and resources seeking new donors – developing relations with those who have an “emotional” (Museum, Interview 23, the Netherlands) attachment.

On several occasions it was mentioned that the cultural sector is simply not adapting to the changing landscape quickly enough, and that it must recognise the changing landscape. Part of the problem is strategic. The success rate of converting people to culture and then keeping them as long-term donors is mixed (Consultancy, Interview 12, England), and thus the sector needs to adapt at “Being more strategic and less reactive” (Trust, Interview 2, England). This means adapting to change rather than reacting to difficulties. This also meant that funding bodies such as private foundations had to ask themselves more deeply what they wanted to fund – did they, for example, want to fund less but at a higher level, thus limiting their funding pool but developing deeper forms of engagement (Foundation, Interview 15, England). Much of this could be put down to presentation, again making clear to people that cultural organisations are charities and to get beyond the echo chamber of the cultural sector (Consultancy, Interview 12, England), and ask the question as to what it means to be a cultural organisation in the twenty first century (Consultancy, Interview 12, England). The echo chamber, and the need to maintain engagement, was described by a foundation in Denmark in terms of “this dialogue with the user, with society, is extremely important, and I think that you should be careful that you are not getting into this tower of ivory” (Private foundation, Interview 5, Denmark). This was further described by the development manager of a Dutch orchestra in these terms:

“So the marketing of the arts as a whole field of companies should be better. Why are arts here? What can it bring you? What does it mean for society? Why is it important? And a lot of organisations never could until a couple of years ago didn’t really think about it, didn’t have any answers ready.”

(Orchestra, Interview 21, the Netherlands)

In this sense, philanthropy also provides the challenge to decide what is actually worth funding.<sup>15</sup>

What therefore emerges is a clear trend in the professionalisation of fundraising. In England this is very developed, whilst in Denmark and the south of the Netherlands it is still very much in the early stages as organisations seek to hire their first fundraisers. In all three case studies, whilst at different positions, there is a move in the same direction, seeing philanthropy as a necessary component of their financing and fundraising as a necessary part of their business model, but with the clear dimension that it could never completely replace other funding sources nor be used for general day-to-day running costs but was a component which was particularly useful for large projects. Whilst a key component of the interview research, within a framework of varieties of arts philanthropy, the training and professionalisation of fundraising and the cultural sector in seeking philanthropy is part of a particular sphere of culture and society which impact the environments in which philanthropy finds itself.

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<sup>15</sup> In 2018, for example, the Royal Academy of Music in England was renovated through philanthropic donations, with the point being made that whilst fundraising has become harder since the recession, it also makes people assess what they value and what causes which they actually want to believe in (Alberge 2018).

### **Fundraising and professionalisation**

- There is a professionalisation of the process of fundraising taking place across all three countries.
- Philanthropy held a particularly important place for large capital projects – it was less successful for either running costs or reserves, but large-capital projects were often only possible with philanthropy.
- The tangible outcome of large projects, rather than maintenance of running costs, also made that an appealing prospect for philanthropy – and indeed, sometimes donors specified where they wanted their money to go.
- In England in particular, philanthropy was seen as an investment as much – if not more – than altruism.
- In England in particular, the professionalisation of the fundraising process involved training fundraisers and utilising public money to improve the business model of a cultural organisation so that it was less necessary in the long-term.
- It is important to see philanthropy as part of a long-term strategy which is built up over several years rather than as a quick fix to financial difficulties.
- The cultural sector is beginning to accept these developments and adapt their funding strategies.
- There are also those in the commercial sector – such as banks and consultancies – which are not purely philanthropic but are engaged in assisting the cultural sector through advice and low-interest loans, and taking customers deemed as ‘high risk’, which mainstream commercial banks and companies would be reluctant to do.
- A key component of fundraising is building and developing relationships with donors and the philanthropic sector, and with others in the cultural sector, which in turn allows organisations to identify linkage people.
- There is a general concern that the cultural sector is not adapting to the changes in the funding landscape fast enough.
- There is a strong regional element to these developments, with those cultural organisations centred in or around large cities doing better.

#### **5.4.4 Forms of governance – Sub-national and multi-scalar variegation**

Another key theme which emerged was related to the levels of governance. From this, the different sub-national and multi-scalar variegation could be identified.

One of the most striking themes across all three countries was the difference between the capital city and outside of the capital city. In all three countries much more public funding came from the local government or municipalities, as outlined in Chapter Four, and thus the effect of cuts on local authorities directly impacted the cultural organisations. Indeed, in the Netherlands regional government would make their decisions based on how the public funds – for example, the Performing Arts Fund – decided to fund particular activities. What was also noticeable, however, was the different levels of philanthropic activity outside of the capital cities.

“we live a little more silent life in the provinces”

(Opera Company, Interview 29, Denmark)

Several companies in Denmark have been helped through European funding based around the European Capital of Culture in Aarhus, which was specific to Aarhus, and not reflective of the situation in Denmark as a whole. As well as European funding, Denmark also had a particular place in Scandinavia. One public fund interviewed was based in Copenhagen but covered the wider Nordic region and funded projects across Scandinavia. Here was a situation which was not based around Denmark, not around Europe – or politically around the European Union – but rather around the Nordic region, including Denmark, Finland, Iceland, Norway, Sweden, the Faroe Islands, Greenland and Åland. This was still public money, and decisions were made in part by the Nordic Council of Ministers, but represents how place and space can take on multiple levels. Indeed, whilst public money, it was public money and public representation on a Scandinavia-wide basis. The local element was important, but there was also therefore a wider transnational level. This therefore points to not only a subnational (local and regional) level to the multi-scalar issue, and how the funding landscape, and the idea that there are different varieties of capitalism, is not about the ‘national level’ alone. When discussing the national environment, it is therefore also important to recognise a

transnational environment and subnational aspect to 'the national environment'. This relates to the comments regarding a global elite in high net worth individual philanthropy, that these types of philanthropists are now in an increasingly global circle rather than on a national level (Orchestra, Interview 27, England). This is nonetheless difficult for small and medium sized organisations outside of the capital cities (which tend to be the focus of this global elite). The funding strategy cannot be the same.

In another example, there was also less evidence of a culture of giving in the North of England. As identified in Chapter Four, the traditions of giving were quite distinct between different regions in England, with a far greater level of individual giving in the South of England and private arts support in the North of England largely coming from foundations (Arts and Council and MTM 2016).

Likewise, in the Netherlands and Denmark there was the problem that there were far fewer businesses.

"At least not in the southern part of Jutland, because there are only a certain amount of businesses. The businesses are not keen on putting their money into symphonical [sic] music. I mean, if a company is going to fund an organisation they need to get something back for what they give and I don't think we are able to give that much back to, for example, a group of banks or whatever, sort of private companies."

(Orchestra, Interview 28, Denmark)

This implies also that it is not simply a culture of philanthropy, but a culture of philanthropy to the arts and culture which varies. This was also true in both the Netherlands and Denmark. When discussing the differences between Copenhagen and the regions in Denmark, it was commented that companies might be interested in sponsoring sports, but less interested in sponsoring a cultural organisation. Likewise, in the Netherlands the observation was made that people might be more interested in giving to charities which helped the environment or natural disasters than to the arts and culture (Orchestra, Interview 21, the Netherlands). This again indicates a national approach to philanthropy where both philanthropy and culture are seen in national terms, and this impact the approach made towards arts philanthropy.

This was related both to the nature of the state in Denmark, and the different traditions of giving. The social democratic tradition present in Denmark had the result that whilst there was a tradition of public funding and people were more likely to have an equal status in their own wealth and status in society, there were fewer highly wealthy individuals. Likewise, just as in the Netherlands a popular form of private giving was to set up your own fund, in Denmark if you were wealthy you were more likely to give through your own company than personally.

### **Multi-scalar variegation**

- Strong emphasis on the arm's-length principle, this being particularly prevalent in Denmark, and taking an especially devolved form in the Netherlands.
- In all three countries there is a noticeable difference between the situation regarding arts philanthropy in the capital city and the scale and potential of philanthropic giving as perceived outside of the capital.
- There is a strong importance placed on the local and municipal level in all three countries, albeit with different characteristics – in England the public funding reductions have affected the local authorities particularly harshly, in the Netherlands local public funds guide funding decisions and maintain a distance with the central government, in Denmark there is a strong history and tradition of associationalism.
- The principal form of philanthropy – trusts and foundations, individual giving, businesses – varied according to the region.
- The equity of a country or region had an impact – if taxes were higher and there were fewer wealthier individuals, this hinted at less philanthropy and a stronger welfare state, whilst if there were more wealthy individuals there may be more potential for philanthropy.
- It was not only the local level which was important and had distinct characteristics from the national level, but also the transnational level – in Denmark, there was also a Scandinavia-wide dimension to funding, and placing Denmark within a wider Scandinavian context, just as there is an EU-wide dimension.

#### **5.4.5 Language and understandings in changing welfare models**

One of the important themes to emerge from all of the countries was regarding new models of philanthropy and changing welfare models. This could be seen through the example of how language was changing in its approach to philanthropy. The importance of language emerged in how different national environments understood key concepts. In some instances, the distinction that might be understood in one environment was not present in another.

The decision was made at the beginning of the research process that the focus would be on philanthropy rather than sponsorship, as there was already a substantial body of research on sponsorship and marketing, and there were key differences between philanthropic private giving and between sponsorship. This distinction was, however, not as easily identifiable when interviewing representatives of cultural organisations. From the perspective of an arts development department, it was all viewed as fundraising from private donors, and all of these were seen in a transactional sense – what the donors wanted out of the relationship with the organisation – and whether that was a plaque or special meetings and invitations or corporate social responsibility and branding made little difference to the cultural organisation. It was all fundraising. In this sense, whilst the fundraising strategies differed in each instance, and whilst the motivations for giving differed, the distinction between philanthropy and sponsorship from an arts funding perspective is less nuanced than from an academic rationale in that the two are seen as overlapping and all part of the fundraising process, only with different motivations.

What this pointed to was a changing attitude towards arts fundraising and philanthropic giving, and the difference this had in terms of the marketing and fundraising activities of an organisation. Philanthropy was increasingly being seen as a business rather than a charity. A major museum in the Netherlands described it as moving from philanthropy to an investment, and with this then comes a more transactional approach to philanthropy (Museum, Interview 23, the Netherlands). If it is an investment rather than a gift, then the fundraising department will have a different approach to seeking donors. What are the benefits of philanthropy? What can the organisation receiving the money give back to the donor? These are questions that an organisation will need to be asking itself. This points to a shifting model of philanthropy which fits within a changing model of the welfare state. Philanthropy is seen to be shifting from a charitable form of patronage to a business. There is still often an ethical dimension to this business model, as in social investment, and a tension between the ethical and the financial element of the business. One consultancy which offered advice on arts philanthropy operated as a business but described this as “Doing a good job and not overcharging” (Consultancy, Interview 12, England), expressing how they operated as business, but their business model, with no offices, was designed to stick within a particular social ethos surrounding using the business to help cultural organisations rather than solely



for profit. This allowed smaller cultural organisations access to advice and a company with the expertise to help it, but the point was nonetheless made that this was not altruism – the interviewee described how they believed in philanthropy, not altruism, going so far as to say they did not believe in altruism (Consultancy, Interview 12, England). This shifting model was also present more generally in terms of how businesses themselves were changing.

“And you need us for the tourists who come over here, so that’s one, and second, companies, they old school companies will always sponsor arts, sports, that kind of thing, but I think it will change the way they are sponsoring, because I think for start-ups they won’t really.”

(Museum, Interview 23, the Netherlands)

Language is important in marketing in another way. In Copenhagen, a private museum included within its name the name of the foundation which owned it and which provided much of its funding. When the name was changed so as to not include this foundation name, the private donations from other companies to that museum increased. The suggestion was that when the name of another foundation was included in the name, it was assumed that they would pay for everything so further funding was not necessary, but when this was removed, other companies became interested in getting involved (Museum, Interview 20, Denmark). Further, “The effect is spontaneous” (Private foundation, Interview 5, Denmark). When discussing language, therefore, it is in relation to an approach and attitude towards the business model which reflects the varieties and variegation of philanthropy within a particular – and shifting – welfare mode.

#### **Evolving language**

- The language when discussing philanthropy reflected the changing welfare models and the changing understanding of philanthropy.
- The understanding of philanthropy is increasingly moving towards one of ‘investment and business’ rather than ‘charity and altruism’.
- How a cultural organisation labels and describes itself also influences its success or lack thereof in fundraising.
- Understanding the nuances of language help the cultural sector navigate the changing funding landscape.

## 5.5 Emergent models of philanthropy

What was apparent from the initial themes surrounding public and private funding was therefore a general awareness and move towards a more mixed model of funding in the context of funding reductions. How this manifested itself in the different countries did vary. What was seen is that of a sector which is moving towards more mixed-model of funding and which is finding itself increasingly having to think about philanthropy as a possibility, but which is not always keeping up with the changes to the landscape. As was described by a heritage trust:

“In terms of our long-term survival, we do need to refresh and revive and, yes, we need to maintain the houses, but we need to do more than that to continue to be relevant and successful as a business and as a cultural organisation in the long-term. If we don’t get voluntary funding tomorrow, we’re not going to die as an organisation, but actually, if we had no voluntary funding over the next twenty years? Well, I wouldn’t like to say what it would be like . . . So, it’s not that kind of life or death thing for the moment, it’s not about paying salaries and keeping the lights on, but actually . . . it is about our development as an organisation.”

(Trust, Interview 2, England)

The situation in England is of a more developed private funding landscape, and one based on seeing fundraising in increasingly professional terms, and this trend is also apparent in the Netherlands. The Dutch culture, however, whilst with a strong tradition of philanthropy, has a quieter tone to it. By contrast, in Denmark there is no real tradition of individual philanthropy and the focus is on private foundations and companies, and even then this is a relatively new field. The most noticeable difference between the countries was therefore in Denmark. As presented in the data in Chapter Four, individual giving was rising in both England and the Netherlands, giving from trusts and foundations was steady, and corporate philanthropy was falling. In Denmark, there was no real expectation that individual giving would make much of a difference. Further, whilst business giving was viewed in England as “fickle” (Foundation, Interview 11, England), it was seen as a real possibility in Denmark. In the Netherlands it was not viewed in quite such negative terms, but rather that businesses were being much more selective about what they were giving to, and so the apparent

reduction in the numbers was actually more reflective that businesses wanted much more from their giving – an investment and transactional relationship rather than mere charity (Museum, Interview 19, the Netherlands). All of this fit with the trends in giving presented in Chapter Four.

What can also be observed across all three countries are several common strands which show the importance of the landscape and the national environment. There is also a multi-scalar dimension which represents a transnational (and local, regional, national, and EU-region) environment and which, in a global world of the wealthy, plays an important role.

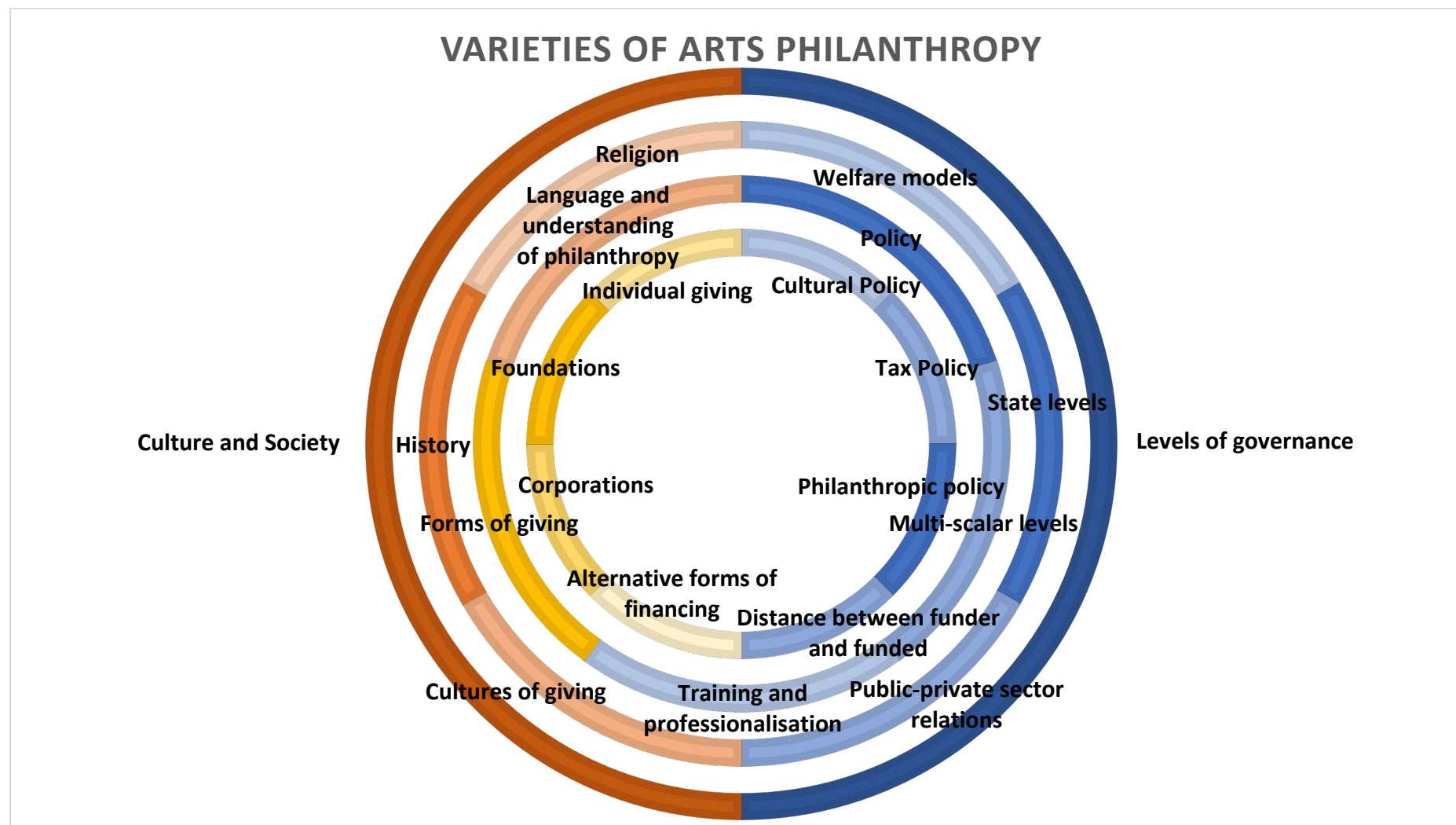
What is also noticeable is the importance civil society and the cultural and religious background the country has, which is reflected in trends of philanthropy even when those involved are not themselves religious. Finally, two related areas, building relations and an increasing focus on the arts and culture as a business with cultural organisations professionalising and developing new forms of private fundraising which lead the way in the funding landscape rather than react to changes can be seen, especially in England, with the line between philanthropy and investment blurring as the cultural sector seeks new forms of financing. The extent to which the sector is prepared to adapt is therefore likely to impact on which organisations survive further funding reductions and which do not – despite this, however, the majority of the sector does still require some public funding.

## **5.6 Varieties of arts philanthropy – a new conceptual framework**

Having investigated the landscape of arts philanthropy through the lens of varieties of capitalism (Hall and Soskice 2001a) and through both mapping and semi-structured interviews, the themes identified over the course of Chapters Four and Five can be brought together as a further development of the framework for varieties of arts philanthropy introduced in Chapter Two. The revised framework brings together the initial identified components with a number which have emerged through the empirical research; this is presented graphically in Figure XXI. This is portrayed in Figure XXI through different sets, represented through different colour blocs. These sets are interlinked with each other, but also show the particular hierarchies and relationships that exist within the framework. The

section begins with a description and explanation of the new components integrated into the revised framework. It then explores both the theoretical and practical implications of the framework, and the original contribution to knowledge of this thesis.

Figure XXI: A framework for 'varieties of arts philanthropy'



Framework developed by the researcher for this thesis.

### **5.6.1 Culture and society**

Civil society is of particular importance when understanding the potential for philanthropic giving. How a society understands charity and the cultural backdrop and attitudes both towards giving and the arts and culture in particular impact on whether philanthropy will be receptive in a particular environment, and what forms it may take. This takes on three key forms – religion, history, and the cultures of giving.

#### **5.6.1.2 Religion**

The interviews highlighted the importance of the religious dimension to giving in the past, but more significantly of how the religious heritage of the country affected the nature of philanthropy. In these particular case studies, there were clear differences across national environments. In England, for example, the research identified in particular the particular place that Jewish foundations and Quaker charities historically had. In the Netherlands, the Calvinistic nature of society led to a culture of giving which, whilst open to causes such as natural disasters, was less receptive to the arts and culture. In Denmark, the history of welfare in light of its original role in close relation to the Church of Denmark was significant, and there emerged a move back towards philanthropy except with civil society and private foundations taking over the role instead of the Church. For future research and other environments, this will be equally relevant. Whether it is researching a different country, or a different sector of philanthropy, there must be an awareness of the religious heritage of the country and the way this shapes attitudes towards philanthropy. The implication is that the heritage and culture of giving as shaped by the religious history and character of the nation – even if the people concerned are no longer particularly religious – will be important to observe.

#### **5.6.1.3 History**

A crucial component of the philanthropic landscape of a country is its particular history of patronage. On a number of occasions, it came across that philanthropy was not so much a new form of funding but rather returning to a previous tradition of patronage which had taken less prominence during the post-war years of the welfare state, but which was taking on a

new level of importance in light of public funding reductions and was taking on new forms. Even with these new forms, however, the historical traditions are of importance as they shape how these new forms take place. In Denmark, for example, the tradition of profit-making industrial foundations is a particular form of philanthropy based on a particular environment and history in Denmark. In this way, it is of great importance when understanding the Danish environment, but not necessarily as easily applicable in other contexts.

#### **5.6.1.4 Cultures of giving**

What the overarching theme of culture and society, and the aforementioned area of religion and history, thus relate to are the different cultures of giving which exist in different countries and societies according to the particular limits of the environments in which they find themselves. In this thesis, there are opportunities for arts philanthropy in each of the three case study countries, but the possibilities and forms this philanthropy will take vary and are affected by the different cultures of giving which reflect the different environments.

#### **5.6.1.5 Forms of giving – individual giving, foundations, corporations, alternative forms of financing**

In Chapter Two, the thesis outlined the key components of philanthropy and in Chapter Four assessed the data on the trends regarding different forms of giving – in particular relating to individual giving, foundations, and corporations, but not excluding developments in other alternative forms of financing which made up the private funding landscape given how philanthropy and investment are increasingly overlapping. Whilst it is important to be aware of the different forms of philanthropy in their own right in order to understand the philanthropic landscape, the different traditions of culture and society will affect the trends and the emphasis on which forms of philanthropy are most present in a country according to the national environment. This was most noticeable in this research in Denmark where private foundations were the significant form of giving and individual philanthropy was not a significant part of the environment, in contrast to England and the Netherlands where individual giving was rising, foundation giving was steady, and corporate giving was falling and becoming more focused and specific. The nature of civil society and the culture and society

of a country are therefore of importance in assessing its particular variety, and the forms of philanthropy that will be successful and worth developing, and the ones which will not be as successful as bound by the constraints of that particular environment.

#### **5.6.1.6 Training and professionalisation**

One of the key themes which emerged, in particular from the interview stage of research, was regarding an increasing move in philanthropy towards training and professionalisation. This treats fundraising as a profession rather than an extra, and seeks to professionalise the industry by hiring trained fundraisers – and provided training and courses in philanthropy – so that a cultural organisation can successfully seek private funding and diversify its revenue stream. The extent to which this is taking place reflects the characteristics of a particular environment, and the stage that environment is in encouraging philanthropy. In some countries that professionalisation may be well under way, in others there may be less interest in training fundraisers or even hiring philanthropy specialists to begin with. The extent to which this is the case will therefore also reflect the particular attitudes of that environment, and as such its characteristics and variety.

#### **5.6.1.7 Language and understanding of philanthropy**

Another of the themes which emerged from the interview stage in particular was that of language and how philanthropy is understood according to the different traditions and history of the particular countries it was taking place in. How philanthropy is described and how it is understood reflect the particular environment and history it sits in, and thus reflects the particular variety of philanthropy – and arts philanthropy – that exists in that context. Utilising this sphere of the framework therefore means that it is possible to take the language and what philanthropy is understood to mean in any particular environment and use that to model the best philanthropic model for an organisation based on how philanthropy is seen in that set of circumstances.



## **5.6.2 Forms of governance**

The second overarching sphere is that of levels of governance. This relates to the way in which the country is structured regarding public and private funding, and the extent to which it is devolved, and the role that the state has as well as the role of municipalities and regional authorities, in addition to the relationship these have with private funders.

### **5.6.2.1. Welfare models**

One of the key areas within the levels of government are the welfare models and arrangements which are place regarding funding. In one country, there may be a suspicious attitude towards welfare not simply from a particular government or party, but an attitude in society as a whole that the government should not necessarily be funding certain things. In other environments, however, there may be a strong tradition and appreciation of the welfare state, and thus no real expectation that philanthropy can or should replace it. The implications in the former instance are that philanthropy may take on a very prominent role and that reductions in public funding might reignite a tradition of patronage, whilst in the latter philanthropy might be an added extra to help out with certain things and broaden the range of funding rather than replace it directly as people may feel that this is the responsibility of the government – and through taxation, by extension, of wider society as a whole as a public good.

### **5.6.2.2 Multi-scalar levels**

The multi-scalar levels of governance represent a range of elements including the devolved and regional levels of governance, and the regional levels of philanthropic giving, but also the ways in which the public and private sectors interact amongst themselves, with each other, and the way different elements of the public sector and different elements of the private sector interact with each other. It is therefore important to understand the different levels and hierarchies within arts philanthropy and the different scales of governance and of giving.

### **5.6.2.3 Public-private sector relations - Distance between funder and funded**

The nature of the levels of governance also have implications on the relationship between the public and the private sectors. In one environment there may be a tradition of the private sector working with the public sector as a partner and even providing certain public services with the government. In other environments, there may be a more distant relationship, with distinct roles for each, and even a sense that there is a direct conflict and contradiction between the two spheres.

### **5.6.2.4 State levels**

The state levels recognise the importance of different forms of devolution and funding in different countries. In one country public funding – and with that any public funding reductions – may be heavily top-down and from the state, whilst in others much public funding may be undertaken by local municipalities and city regions and local authorities. In this case, the funding reductions may be felt – as is the case in England – particularly harshly at a local level. These different state levels affect philanthropy in that the more devolved a country is, the more likely that that will impact on how philanthropy manifests itself, whether through local foundations or local causes and regional pride in individual and corporate giving, and even in the artforms themselves such as found in the Netherlands, as well as through traditions of associationalism such as that found in Denmark.

### **5.6.2.5 Policy – Cultural Policy, Tax Policy, and Philanthropic Policy**

The extent to which philanthropy is encouraged in the cultural sector can be seen in the extent to which the government is encouraging it. This is reflected in particular and most obviously in the tax system, and whether cultural organisations are encouraged to seek philanthropic funding, for example through tax reliefs for those which increase their philanthropic revenue, and in wider philanthropic policy regarding tax breaks for donations. In terms of cultural policy, this might not simply be reflected in tax policy, but in terms of the role of culture in society and how this is nurtured and delivered through what means and through which institutions.

### 5.6.3 – Understanding the framework for ‘varieties of arts philanthropy’

Built on the literature, mapping data, and interviews conducted, the revised framework conceptualises how the initial five spheres of the varieties of capitalism (Hall and Soskice 2001b) can be built up, ‘filled out’, and translated for the purpose of understanding the landscapes of arts philanthropy. In this way, this multi-layered conceptual model allows the identification of the key components of the landscapes of arts philanthropy through the understanding of (different) varieties of arts philanthropy across different institutional, national, or multi-scalar settings.

The framework allows a journey ‘inwards’ from the abstract to the practical, from the theoretical to the increasingly operational. From the outer layer of ‘Culture and society’, the key components within that of ‘Religion’, ‘History’, and ‘Cultures of giving’ have been identified, each making up part of what constitutes the cultural environment in which arts philanthropy finds itself, affects the traditions of giving which may exist, and the nature of philanthropy towards the arts and culture. This is represented in Figure XXI through the different shades of orange components, representing an interrelated set within the diagram. Within this can be found different ‘Language and understanding of philanthropy’ different ‘Forms of giving’ according to the particular background and environment, and different levels of ‘Training and professionalisation’ within the cultural sector. Moving fully to the innermost circle, within these different forms and understandings of giving can be seen the (practical) implications for understanding the landscapes of arts philanthropy according to ‘Individual giving’, ‘Foundations’, ‘Corporations’, and other ‘Alternative forms of financing’. These are represented within this set with the interlinked subset of yellow components. Alternatively, journeying out from the innermost sphere, these different components can be better ‘placed’ and understood within their strategic and operational landscapes (or environments) when considering their role in the system of arts philanthropy. The fundraising strategies of a cultural organisation or philanthropic organisation cannot simply be developed on its own based on outcomes such as marketing and publicity. It has to be developed in the relevant context and with the relevant strategic understanding of this background, working from the innermost sphere outwards to understand its overarching environment – its variety

of arts philanthropy. This framework, then, allows organisations, policymakers, and stakeholders within the arts philanthropy field to better navigate their landscape.

A similar journey can be made for the outer layer of 'Levels of governance'. This is represented in Figure XXI through the different shades of blue components, again showing interrelated and interlinked sets within the diagram. Within 'Levels of governance' can be found different 'Welfare models' and how that influences philanthropic traditions and arts funding models. The 'State levels' show the different subnational, national, and transnational levels at which these funding models and environments are governed, and hence, operate – 'Multi-scalar levels'. These then relate to, for example, 'Public-private sector relations' and how these affect the different traditions surrounding private giving and arts funding. The 'Distance between funder and funded' then emerges as of importance and whether the public and private sectors have a close relationship or not. 'Policy' is another component within this sphere, and the relevance and implications this has surrounding arts funding and arts philanthropy, and how it functions in a society – in the case of arts philanthropy, the central components of 'Cultural policy', 'Tax policy', and 'Philanthropic policy'.

This framework is, therefore, a theoretically useful synthesis diagram which has been developed from the research findings of the thesis and adds a new dimension to the ideas surrounding varieties of capitalism (Hall and Soskice 2001a). It is also useful as an abstract model which is not national-centric but rather looks across institutional landscapes and environments (including learning from European geographies) and can be applied across different regional, national, and transnational specialities. It is, therefore, relationally structured by environment. Further, it provides a greater explanatory power in the real-world layers through this theoretical underpinning, this providing the explanatory power for strategic thinking of landscapes of arts philanthropy and supporting cultural organisations to understand and navigate across their different funding environments.

The multi-layered conceptual model allows an analysis of arts philanthropy that moves from the abstract to the operational, or vice-versa, identifying the components and relationships that underpin any landscape or system of arts philanthropy – its particular variety. Arts philanthropy has not been understood through this theoretical lens before, drawing from the

institutional approach of varieties of capitalism (Hall and Soskice 2001a) to frame the subject. A theoretical synthesis, the framework supports also cultural organisations, policy organisations, and the philanthropic sector in how they understand their different landscapes and the possibilities and constraints therein. This framework is therefore the key original contribution to knowledge of this thesis and achieves the goal of the research question, 'Understanding varieties of arts philanthropy and Europe: A new framework'.

## **5.7 – Summary**

This chapter has, through the investigation of the interview data gathered during the semi-structured interview stage of the research, identified the key themes which ran through the interviews. Some of these were specific to the national and institutional environment – the varieties – whilst others ran as a common thread of emergent themes across the landscapes. Varieties of arts philanthropy can be discerned, and these themes allow further development of the building blocks for the development of a framework for varieties of arts philanthropy. The opportunities and constraints for philanthropy can be understood when mapped against components of the framework.

### **5.7.1 – Varieties of arts philanthropy and its potential**

It is through the utilisation of varieties of arts philanthropy and the varieties of arts funding models across different national landscapes that the actual potential and limitations of philanthropy as a funding model can be seen across Europe. In all three countries, there is potential for philanthropy to be developed and interest in a more mixed funding model.

In England the potential is already being tapped into, and much of this is around emergent forms of private financing and investment. With the increase in individual giving, this is an area which can be developed further, encouraging cultural organisations to 'make the ask', as the evidence is that individuals who want to give will do so, or are more likely to do so, if asked. The onus here is then on the cultural organisations themselves to go out to the public. The focus on training and developing fundraisers may aid this, as professional fundraising teams are brought in. Public information would also be helpful – if the public think that a

cultural organisation is publicly funded and do not realise that it is still a charity, they might be under the misconception that philanthropy is not necessary. Regarding emergent forms of investment, there is, as described, an increasing move towards more ethical business models and running business as a social good which seek to help cultural organisations rather than solely seeking profit. This may also provide an area for further development and encouragement, whether that be through social investment, ethical businesses, or consultancies focusing on aiding the charitable sector.

In the Netherlands, policy could aid the tradition of setting up private funds by individuals if there were appropriate tax measures to encourage it. This policy focus could also aid giving in terms of the points mentioned regarding deciding what is of value in society, and therefore encouraging that support. Given the increased scrutiny on aiding the cultural sector, the sector may need to push its case with renewed strength. In the regions, where philanthropy is not as developed as in the cities, encouraging collaborations between cultural organisations and corporations might be beneficial. This could be aided, again, on a policy level, with the development of collaborations between public and private funding bodies. A focus on the professionalisation of regional cultural organisations would also be beneficial, with a professional development team rather than relying on the communications team.

In Denmark the possibilities are based more around corporate giving and further developing the relationships with foundations. This is an area which already has a long history and a particular form in Denmark, but which will require scrutiny as the private sector and civil society once again move into some of the space occupied by the state and finds itself having to justify its decisions. There are also possibilities surrounding increased collaborations between cultural organisations in pooling and sharing resources where appropriate – the Danish tradition of associationalism can be integrated into this in order to ensure sustainable use of available resources, and this may prove particularly useful for smaller regional cultural organisations.

### 5.7.2 – Varieties of arts philanthropy and Europe: A new arts funding model?

Arts philanthropy is less a new funding model, but rather a form of patronage which has long existed but which has re-emerged and is being reinvented, in particular in light of public funding reductions to the cultural sector following the 2008 financial crisis. It takes different forms according to the different national and institutional context and environment, including through means which would not traditionally be considered philanthropic but include such areas as (social) investment and ethical banking in which the private sector is taking an increasingly important role, but one based in part around profit as well as altruistic giving. This brings challenges to the system and whole new arenas of business and organisational development.

In some instances where the cultural organisation was small and rural, philanthropy is less of a potential funding model as it would simply not be sustainable for some parts of the country. There are not enough people prepared to give in large enough quantities. Further, the inability to make a profit in the case of some charitable organisations in the Netherlands and Denmark receiving public funding presents a fundamental obstacle in the political narrative of funding. If a publicly funded organisation is not allowed to make a profit, then philanthropy risks simply becoming about filling the gaps made from the reductions rather than being a sustainable part of a mixed model of funding. The English system on the other hand has funding streams working in hybrid harmony, but this is structurally difficult in other models of philanthropy. In all countries, however, there was an interest in developing philanthropy further, within the conception of the national environment.

This chapter has, therefore, together with the landscape mapping, provided the building blocks for a framework for varieties of arts philanthropy. These key themes, which forms the basis for the components of the framework, present a picture of a landscape undergoing change – on a national level, the ‘varieties’, and on a structural, institutional, and specialised multi-scalar level. Some of these themes are specific to the national ‘variety’, whilst others provide a common thread across national boundaries. These show the importance of the framework not as a static instrument, but as a multi-layered conceptual model. It is possible

to identify the key components in understanding the varieties of arts philanthropy within any institutional, national, or multi-scalar setting.



## Chapter Six – Conclusion

### 6.1 Thesis journey: towards varieties of arts philanthropy

This thesis set out to address the research question, ‘Understanding varieties of arts philanthropy and Europe: A new framework’. This chapter will outline the research journey, including returning to the research question and the research objectives as set out in Chapter One. It will state the contribution to knowledge before highlighting future potential research pathways.

The thesis began by acknowledging the increased interest from the cultural sector across Europe in diversifying their funding streams in the light of public funding reductions, and following the financial crisis of 2008. A possibility was that philanthropic giving may provide one potential source of revenue. The thesis considers the extent to which arts philanthropy could be considered a new funding model for the cultural sector. In order to address this, broader questions of the environment for such an approach become immediately apparent; such as the role of the cultural sector in society, public and private funding landscapes, and traditions of philanthropy. What is clear also is that the answers to these questions, and their inter-relationships, can vary across European countries – the answer, or environment, in one country is not necessarily the same as that in another. In other words, whilst the phenomenon of arts philanthropy is observable across a variety of different countries of Europe, this may take on particular forms according to the different national or institutional environments.

In order to assess whether philanthropy could be considered a new funding model it became necessary to understand the specific environments in which public and private funding for the cultural sector operated, and what opportunities and constraints these placed on philanthropic giving. It became necessary to understand the structural conditions the cultural and philanthropic sectors find themselves in. It is possible to look at philanthropy as a funding model – but only within the particular contexts for cultural organisations, philanthropic bodies, and policymakers that shape action and both create and limit possibilities. Thus, in seeking to understand different structural and institutional environments for philanthropy

the thesis turned to the literature of recent years on ‘varieties of capitalism’ (Hall and Soskice 2001a) given its intellectual focus on understanding models of capitalism.

Drawing on the institutional framework and analysis of the varieties of capitalism literature, what emerges are structural and institutional commonalities and differences in philanthropic systems for arts funding, a ‘varieties of arts philanthropy’ conception. Whilst in the varieties of capitalism approach the firm is the centre of the focus, this research takes the organisations in the cultural sector as its central focus, and only in this sector because this thesis focuses on the specific characteristics and components of ‘varieties of arts philanthropy’ rather than ‘varieties of philanthropy’. Taking a theoretical cue from this framework, and its usefulness in understanding institutional variety across forms of capitalist system, a set of building blocks and components were built attuned to philanthropy and its culture, systems and institutions within modern economies and societies; ultimately, a framework for ‘varieties of arts philanthropy’ was produced.

Given this, the thesis has comprised five key components – a literature review and conceptual development, a research methodology, the two empirical and data analysis stages of the research involving a mapping stage and an analysis of the semi-structured interviews conducted – the findings – and this discussion including conclusions.

A literature review was undertaken, outlining the historical backdrop of arts philanthropy and how traditions of cultural patronage have developed, ideas surrounding varieties of capitalism (Hall and Soskice 2001a) and how philanthropy – and ultimately arts philanthropy – may fit into this framework, and the different forms philanthropy may take. The research design was developed, outlining an approach built on comparative research and a case study approach utilising a mix of both quantitative and qualitative methods. The research design was then enacted, involving mapping the landscape of arts funding and philanthropy across the case study countries of England, the Netherlands, and Denmark, followed by semi-structured interviews with key actors in the three countries. From this, a framework for varieties of arts philanthropy was developed.

## 6.2 Meeting the research objectives

The research question for this thesis was ‘Understanding varieties of arts philanthropy and Europe: A new framework’. Within the research question, there were four objectives which would enable the wider research question to be answered:

- 1 To outline the landscape of arts funding – including philanthropy – in Europe through an investigation of England, the Netherlands, and Denmark.
- 2 To investigate and understand the constituency and range of European models of arts philanthropy.
- 3 To consider that in combination the outcomes of objectives one and two comprise the possibility, or framework, of ‘varieties of arts philanthropy’.
- 4 In light of the findings across the case study countries to assess the potential of philanthropy as a funding model for cultural organisations in Europe.

Thus, the landscape of arts funding and arts philanthropy in England, the Netherlands, and Denmark was mapped. The mapping and the interviews together allowed an understanding of the constituency and range of European models of arts philanthropy, and how they varied according to the national and institutional environment in which they found themselves. From this a framework for varieties of arts philanthropy was developed, framing the assessment of the potential of philanthropy as a funding source for cultural organisations in Europe.

The thesis has put forward a framework conceptualisation of ‘varieties of arts philanthropy’, drawn from an understanding of the political economy, institutional structures, activities, and cultures which the empirical investigation has shown shapes and forms the systems of arts philanthropy and funding models across different European nations. Alongside unique data and descriptions of arts philanthropy and funding models in different nations, it is the abstraction of this conceptual model that is the main contribution to knowledge of the thesis. This frames any answer to the thesis question, ‘Understanding varieties of arts philanthropy and Europe: A new framework’.

The thesis has provided an important theoretical and conceptual contribution to knowledge in terms of advocating arts philanthropy from the perspective of varieties of philanthropy. It has shown how greater understanding of (arts) philanthropy, its make-up, and its impact can be gained through its insertion into thinking surrounding theories of varieties of capitalism. It has shown that rather than seeking to replicate other systems, and the easy learning of policy mobilities (Cochrane and Ward 2012; McCann and Ward 2015; Ward 2017), developments in arts funding models need to be based upon the structural conditions and specificities of the surrounding institutional environment.

Through the development of a framework for varieties of arts philanthropy, as presented at the end of Chapter Five in Figure XXI, it is possible to identify the key components which are of importance in understanding the varieties of arts philanthropy within any institutional, national, or multi-scalar setting. This could similarly be applied to other environments, for example, non-European examples such as in Japan, India, or Australia, as discussed in Chapter 2.4. These varieties of arts philanthropy could be studied and assessed through the same framework. This then allows strategies to be built according to the specificities of the national and institutional environment. The research thus provides further extension to the explanatory reach of varieties of capitalism – almost uniquely through its application within the realms and structures of philanthropy. This provides a different theoretical underpinning to philanthropic studies and an alternative conceptual framework for the philanthropic sector when developing its strategies.

The proposed framework for varieties of arts philanthropy allows the key elements of importance to be identified and strategies to be built according to the specificities of the institutional and national environment. This research therefore not only represents a theoretical and conceptual contribution to knowledge and contribution to the debate surrounding varieties of capitalism, but also interesting practical implications for the cultural sector and the wider philanthropic sector. Whilst in strategy the norm may be to approach the potential for philanthropy in terms of ‘how can we raise more money?’ or ‘how can we increase our friend’s scheme?’, this framework shows the importance of taking it back a level. These questions are limited to answer adequately without understanding the structural and institutional environment (and its components) within which the question is asked.

There is also a growing interest in understanding philanthropic environments. The Global Philanthropy Environment Index (Indiana University Lilly Family School of Philanthropy 2018a; 2018b; 2018c; 2018d; 2018e), for example, has sought to identify the barriers to philanthropy, and has done so through classifying and measuring the enabling conditions for philanthropy, using the terminology of regulatory environmental conditions, the political environments, and the socio-cultural environments. These environmental assessments are based around five factors – regulations concerning the ease of operation for philanthropic organisations, fiscal incentives and disincentives of domestic giving, law concerning cross-border giving, political and governance environment, and socio-cultural environment (Indiana University Lilly Family School of Philanthropy 2018a; 2018b; 2018d; 2018e). Whilst the Index is not specific to either a European context or the cultural sector, it demonstrates how the framework for understanding varieties of arts philanthropy – and understanding national and institutional difference through the lens of variety – developed in this thesis is therefore of contemporary relevance. In a landscape where there is a developing interest not only in philanthropic potential, but in the philanthropic environment, its cultural and political causes, and its regulatory status and the implications of that, the framework is of importance, and its components and segments have direct implications for understanding contemporary philanthropy.

Overall, in answering the research question, it is concluded how, clearly, the possibilities and potential of arts funding models based on philanthropy are strongly determined by the institutional context – or rather, the variety of arts philanthropy. This is the major contribution to knowledge of the thesis – supporting understanding of the role of philanthropy in the arts funding system across different nations and political economies; empirically in England, the Netherlands, and Denmark, and analytically through the development of a framework for varieties of arts philanthropy which may be utilised to study philanthropy in other forms of capitalism, institutional contexts, and nations and regions. There is, then, a constituency and range of different models of arts philanthropy in Europe and beyond – and the thesis provides a common framework through which to study them, compare and contrast.

In summary, then, a framework for varieties of arts philanthropy was developed. There is a conceptual contribution to knowledge from the research, adding to the explanatory reach of varieties of capitalism by placing arts philanthropy in this framework. This aids the development of arts philanthropy, and assists the cultural and philanthropic sectors in understanding the importance of the structural and institutional conditions of the environment in which they find themselves. The research allows the identification of the key components which are of importance in understanding the varieties of arts philanthropy within any institutional, national, or multi-scalar setting. This theoretical framework also adds to the literature on philanthropic studies, adding a different theoretical underpinning to the field, and with practical implications for the philanthropic sector, as the key elements of importance can be identified and strategies built according to the specificities of the institutional and national environment.

### **6.3 Varieties of arts philanthropy: the potential of philanthropy in arts funding**

This research therefore not only presents a theoretical and a conceptual contribution to knowledge but also interesting practical implications for the cultural sector and the wider philanthropic sector.

The common theme that emerges across the three countries is that a more mixed model of funding is necessary in current funding climates, but that philanthropy could only function as part of a mixed funding model in tandem with other forms of funding. It may be necessary alongside public funding, but it is in no position to replace it. For example, recognising its limitations, the most useful form of private financing was for specific projects or large-scale investments, but not so much as funding for the day-to-day running of an organisation. This was not credible in the eyes of philanthropists as defined in any of the national systems. William Beveridge (1948: 301-302) observed that:

“The capacity of Voluntary Action inspired by philanthropy to do new things is beyond question . . . It is needed to do things which the State is most unlikely to do. It is needed to pioneer ahead of the State and make experiments. It is needed to get services rendered which cannot be got by paying for them.”

Despite the changing funding landscape, the findings from this thesis suggest that this continues to be the case.

Nevertheless, one area where there may be potential for further development is surrounding interest in developing new and emergent forms of finance and investment – in particular in England, but also in the Netherlands – and further developing fundraising and business, including through collaboration with cultural centres and universities, whilst also working within the cultural environments to recognise the different traditions. This potential for emergent and ethical forms of business, and assisting the cultural sector in increasing its financial sustainability through private investment, was expressed in one of the interviews in England as being a return to a previous model of a company rather than necessarily a new concept:

“I don’t think, for me, the idea of a company ever was just about making profit, that’s a very recent idea that’s come into development. So, for me, just because it’s a company doesn’t mean you’re not responsible – responsible for my workforce, responsible for the environment in which I work, responsible for the wider social benefits. So, for me it’s going back to a more traditional idea of what a company is than perhaps the idea that we have in the last twenty years been encouraged to think of, of a company model, that I don’t think is desperately successful anyway in real terms.”

(Consultancy, Interview 12, England)

This again emphasises the point that these traditions existed before the welfare state existed in its present form, and that the reductions in public funding which came following the financial crisis in 2008 have seen the possible re-emergence of these. This is likewise expressed in the UK Civil Society Strategy, published in August 2018, which outlines how:

“Many of our public services began life independent of government. Individuals and communities developed their own responses to the challenges or injustices they saw around them . . . Over time, government stepped in to support and extend the work done by communities and private philanthropy. This helped ensure high standards and universal access, and created a system – the welfare state – which people could trust.”

(HM Government 2018: 105)

It also emphasises that the primarily market-driven orientation of a company is not necessarily the only form that can be taken, and that that in itself can involve bringing in previous traditions which may have potential to be reinvented in the contemporary changing landscape.<sup>16</sup> Indeed, this is one aspect of the ‘rise’ of social enterprise in recent times (Wilkinson et al 2014).

Ideas surrounding social business and its relationship with philanthropy could lead to ideas surrounding venture philanthropy (Gillies and Minkiewicz 2013; John 2006; Grossman, Appleby, and Reimers 2013; Martin 2008; European Commission 2011; European Commission 2014; European Venture Philanthropy Association 2014; OECD/European Union 2013; Harrison-Evans 2015). Venture philanthropy utilises tailored financing, organisational support, and impact measurement and management in order to generate social impact on a high-engagement and long-term basis (European Venture Philanthropy Association n.d.; European Venture Philanthropy Association 2017).

Collaboration may also lead to pooling resources for shared ownership and for cooperative style management (Addison 2018). Paez-Acosta (2018: Paragraph 1) describes “an emerging philanthropy and solidarity-based innovation paradigm” invoking civil society led action and communities working together for philanthropic action, not as wealthy individuals or private foundations but rather as collaborative communities facing a new funding landscape in innovative ways as a community pooling resources. This has been argued to be about solidarity philanthropy and shifting the balance of power in philanthropy (Hunt-Hendrix 2018; Schäfers 2017; Tanaka 2018).

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<sup>16</sup> At the time of interviewing, the Danish example of funding some artists without requirements stood out as a comparison with England, but the Arts Council England has in 2018 since launched a new fund of £14.4million for individual artists or creatives aimed at giving individual artists the space to work on their projects without the pressure of putting their work forward publicly or commercially and without a requirement to prove match-funding or public engagement (Romer 2018). Here then is an instance whereby the English model can be compared back to the Danish model and its funding of some artists without requirements rather than the direction of funding always necessarily being towards further marketization. There may be a trend in that direction, but it is not so simple as to see everything in that light.



As the state retreats from a space, philanthropy may be forced to fill the void. This philanthropy may not, however, take the form of the traditional philanthropy of foundations or high net-worth individuals, but communities and bottom-up philanthropy filling that space. Hunt-Hendrix (2018: Paragraph 13) comments that “a philanthropy based on metrics and measurements will always overlook this subtle but powerful element of human society. The challenge ahead, then, is whether alternative traditions of philanthropy can continue to build new methods and mechanisms to strengthen solidarities based on values of justice and equality and interdependence.”

Theodossopoulos (2016) addresses this through the case of austerity in Greece and, drawing on a Marxist-inspired critique of philanthropy, outlines both the potential and the problems that these humanitarian solidarity initiatives provide. On the one hand, they may have empowering potential – in this case solidarity enhances local social awareness, allowing citizens who seek change to form social networks, and provides help to those in need.

“Little by little people organise themselves and learn ‘how and what’ to demand from the authorities. When the local authorities have some money to direct towards a cause, groups that have cultivated their social consciousness are ready to act in unison and make particular demands.”

(Theodossopoulos 2016: 176)

On the other hand, such initiatives may de-politicise the crisis in that they only temporarily address the consequences thereof, and actually focus attention away from systematic inequalities and hierarchical problems whilst at the same time offering comfort to the person involved.

“As I soon realised, passing food, hand-to-hand, induced an emotional, altruistic effect, which I experienced, and shared with other volunteers and aid professionals. Was I becoming a better person? Or I merely deluded myself in believing so? Is this, after all, the secret fascination of bourgeois philanthropy? That is, to mislead the benefactor into feeling unique and important? To exonerate one’s guilt for tolerating inequality?”

(Theodossopoulos 2016: 171)

This, therefore, represents the importance of ideas surrounding solidarity philanthropy – and how understanding philanthropy as a form of solidarity has implications beyond the cultural sector, but in contexts that might include austerity or humanitarian disasters. The importance of understanding this through the lens of varieties of arts philanthropy – and indeed varieties of philanthropy – is to ask the question as to whether such forms of solidarity are possible in the particular institutional and structural environment, and what components of this landscape need to be understood for such forms of both solidarity and philanthropy to be enacted successfully.

In a more operational sense, looking across the different segments of the framework supports understanding of developing the environment for arts philanthropy in different national and institutional settings.

In England a simplification of the administrative and tax incentive requirements may be of help, in particular for smaller organisations – the policy segments in the framework on ‘Cultural policy’, ‘Tax policy’, and ‘Philanthropic policy’ are of relevance. In the Netherlands, a focus on balancing out the regional distribution of public funding, and assisting those organisations in the regions would be of use. Further, cultural organisations in the regions in particular would benefit from assistance with learning the mechanisms and forms of private philanthropy, in particular through developing relations with trusts and corporations – the different ‘Levels of governance’ together with the ‘Forms of giving’. In the North, building on the strong tradition of philanthropic freedoms in other areas such as natural disasters could be transferred across to working with individuals in the cultural sector, bringing together ‘Cultures of giving’ with ‘Policy’ and ‘Multi-scalar levels’. In Denmark, there is little interest in building individual philanthropy, a common theme across all the organisations interviewed, relating to the segment on ‘Culture of giving’ in the framework. A strong tradition of industrial foundations already exists, but with increasing collaborations between smaller organisations – in particular outside of the capital – and the development of fundraising strategies and business models – ‘Distance between funder and funded’, ‘Training and professionalisation’, and ‘Public-private sector relations’. In the Danish environment it is almost about building new philanthropic traditions.

There is also the potential to develop the regional element in philanthropy, emphasising the regional pride which may encourage philanthropy giving. Hardy (2018: Paragraph 6) observes that:

“it's also about the stories we are telling. The stories we need to be telling up here are things like: is Berwick Scottish or English, or about the hardships the farmers suffer as well as their joyous and celebratory stories too.”

What can be seen, then, is how all of these strategies, outlooks, and actions on the potential of philanthropy as a funding model for the cultural sector varies and can be set within and assessed against the framework of varieties of arts philanthropy. The solutions sit in, or across, the components in the framework. The framework thus guides the solutions, and at what level in the model in terms of the scale of change (for example, tax policy, or the state).

#### **6.4 Future potential areas of research**

Several key themes have also emerged which present opportunities for future research. First, these include exploring arts philanthropy in other national environments, including outside of Europe. This research has focused on three countries in the North West of Europe, but as has been commented upon, there is scope to explore traditions of philanthropy in different institutional environments, including other parts of Europe and its regions or countries with growing traditions of arts philanthropy such as Australia (Smith 2007; Mitchell 2011; Gillies and Minkiewicz 2013). As discussed in Chapter Two, there exists a separate body of ideas surrounding, for example, an Asian model of capitalism (Amable 2003). Within this, there is a growing amount of interest, research, and potential in philanthropy in an Indian and Japanese environment (Cantegreil, Chanana, and Kattumuri 2013; Singh 2002; Kawashima 2012).

Second, new areas of research might involve focusing on research in the various segments of the framework relating to arts philanthropy – for example, historical and cultural dimensions to the development of arts philanthropy, or the relationship between religion and arts philanthropy and the importance of religion, or a religious tradition in the cultural mind of a country's giving seems of relevance for future exploration (Jacob 1996; King 2017a; 2017b;

Davis 2013; Dorff 2002; Rozin 1999; Horowitz 2009; Ferngren 2009; Flew 2015; Enright 2013; Marshall and Van Saanen 2007; McKittrick, Landres, Ottoni-Wilhelm, and Hayat 2013). How different religious traditions approach philanthropy, and how this varies according to subnational, national, and transnational environment would be of interest and relevance for further research. Overall, one can see possibilities in each of the 'segments' of the model such as the history of cultural patronage and how it might lead to the components of the framework, the regional nature of philanthropy – including urban and rural giving – or different culture of giving.

Third, there are also potential alternative and emergent models of arts financing which could be investigated, for example, through social investment, venture philanthropy, and ethical businesses. This may extend to ideas surrounding solidarity philanthropy, and the space which philanthropy fills when the state – possibly through austerity – vacates. In Chapter Five, it was described how in some instances the landscape of arts philanthropy was perhaps more aptly described as the 'non-commercial landscape of private arts funding' (Foundation and University, Interview 8, the Netherlands). How different forms of private arts funding fit into this landscape therefore has potential in what is an evolving landscape.

One other interesting possibility is to investigate a growing cross-European policy focus on philanthropy, for example, on ideas relating to the Single Market and how this might pertain to philanthropy. Put another way, creating a European variety of arts philanthropy. Building on the four freedoms of the Single Market – freedom of goods, freedom of services, freedom of capital, and freedom of labour – with regards to freedom of capital there is an interest in developing a Single Market for Philanthropy, whereby the barriers to cross-country philanthropic giving within the European Union may be broken down (DAFNE 2018; Lapucci 2018; Oldenburg 2018a; 2018b; Philanthropy Scrum 2018). The Freedom of Capital allows not just the free flow of for-profit capital but also of philanthropic capital, and it is suggested that a single market for philanthropy would aid the better implementation of this (Lapucci 2018). This itself poses interesting questions and challenges.

Goods and services can move freely across Europe, yet philanthropic support cannot, the result of which is that the bulk of philanthropic funds in Europe do not cross borders

(Oldenburg 2018b). As Oldenburg (2018b) observes, many of the challenges which the philanthropic sector seeks to address are increasingly interconnected and increasingly international. On this basis, it does not make sense to stop at national borders due to logistical preventative measures. Constraints caused by national borders may adversely affect the philanthropic potential of the European philanthropic sector (DAFNE 2018). Oldenburg (2018b: Paragraph 3) suggests that “European donors and foundations ask for a single market for philanthropy and citizen action that (1) recognises philanthropy, (2) reduces barriers to cross-border philanthropy, (3) enables and protects philanthropy, and that (4) co-grants and co-invests for the public good.”

This may involve those in the philanthropic sector working together on a European level and collaborating in ways that will further advance their causes and enable foundations and civil society to speak with more of a united voice and have a legal presence on EU-level, in particular amongst policymakers, and increase impact (DAFNE 2018; Lapucci 2018). This is of interest not just on an EU level, but there are indications that the flows of donations across borders are becoming more restrictive globally, in part due to the political environment, in part due to restrictive legislation (Indiana University Lilly Family School of Philanthropy 2018).

The relevance here for varieties of arts philanthropy is that this is, to an extent, the breaking down of ideas of ‘variety’ in philanthropy through alignment and the breaking down of national boundaries. The framework for varieties of arts philanthropy assists in the question of understanding whether this is possible, and through what mechanisms.

Finally, this also raises potential concerns – as also identified within the cultural sector – of the role of private foundations and the philanthropic sector in policymaking. If private foundations, for example, have a greater involvement in the future of European policy and private capital is mobilised in this way, there are potential concerns as to how this might impact on democratic accountability to the public. If, as some would like (Association of German Foundations 2018a; 2018b), European foundations use their assets for political projects and goals on a European level, what are the potential risks of that in terms of the democratic deficit? Given the importance of the national and institutional environment, there are also questions as to whether it would be appropriate to create a means by which

philanthropic capital may impact upon specific national welfare models and what the effect of such a development would be – on the welfare models and on the extent to which the public have democratic oversight of such institutions.

There is potential for research in these areas and, indeed, for bringing varieties of arts philanthropy into more mainstream philanthropic studies to move beyond the too often operational, shifting the balance away from looking at philanthropic outcomes and targets and towards also understanding the institutional environment and landscapes. Understanding all of these areas in the light of a knowledge of the historical background of cultural patronage and the theoretical underpinnings of philanthropy is important throughout, and it has shown how ‘varieties of arts philanthropy’ will aid strategic developments in thinking about arts philanthropy and its place within the funding models of the European cultural sector.

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# Appendices

## Appendix I: Interview Protocol

Objectives/ timing	Questions
<b>Introduction</b> (2 mins)	<p>Nature of research and how will be used</p> <ul style="list-style-type: none"> <li>• Research study aims;</li> <li>• University research funded by the Centre for Business in Society at Coventry University;</li> <li>• Used in PhD thesis, academic publications, reports, and conferences;</li> <li>• Recording for recollection purposes / quotes;</li> <li>• Anything said will be treated as confidential and anonymous and your personal data will not be passed on to anyone else;</li> <li>• I'm interested in your own reflections on arts funding and arts philanthropy;</li> <li>• So, before we start, please fill in the consent form.</li> </ul>
<b>'Warm up'</b> (5 mins)	<p>Now tell me a little bit about yourself/let's start by discussing your background form (<i>if completed</i>), e.g.:</p> <ul style="list-style-type: none"> <li>• Your name;</li> <li>• Current position and a little about how you ended up working in the field and what your role is.</li> </ul>
<b>Funding landscape</b>	<ul style="list-style-type: none"> <li>• What is the funding landscape?</li> <li>• What is the role of philanthropy in it?</li> <li>• Has it changed?</li> <li>• How has it changed?</li> <li>• How is it changing?</li> <li>• What are the key challenges?</li> <li>• Who are they key actors in this?</li> </ul>
<b>Philanthropy</b>	<ul style="list-style-type: none"> <li>• How does arts philanthropy take place?</li> <li>• Why does arts philanthropy take place?</li> </ul>



	<ul style="list-style-type: none"> <li>• Who gives?</li> <li>• To what extent is philanthropy a component of funding?</li> <li>• How much do they give, and how much are they involved with the funding process?</li> <li>• Do they have any other roles?</li> <li>• Are there any further possibilities?</li> <li>• What are the mechanisms and forms of philanthropy?</li> <li>• What are the mechanisms and forms of philanthropy in terms of foundations?</li> <li>• What are the values of the foundation concerned? How do these guide the mission of the foundation?</li> <li>• Is there a way of encouraging foundations to take on more of a leading role in arts funding given reductions in government funding?</li> <li>• What do you think of the possibility of philanthropy as an alternative source of funding?</li> <li>• What do you think should be done?</li> <li>• If philanthropy provides a partial, but not whole, solution to funding challenges, to what extent are they a solution?</li> <li>• What are the other forms of funding that would complement philanthropy? What are the other forms of funding that would complement the state?</li> <li>• Is there a way that philanthropy could be more of a solution than currently perceived?</li> <li>• Are there other forms of funding that have not been fully utilised?</li> </ul>
<b>Key actors, institutions, and networks</b>	<ul style="list-style-type: none"> <li>• Who are the key actors in philanthropy?</li> <li>• Who are the key actors in arts funding?</li> <li>• How are they involved?</li> <li>• How have the funding reductions affected the key actors?</li> </ul>

	<ul style="list-style-type: none"> <li>• What is the relationship between your organisation and other key actors?</li> <li>• How is your organisation dealing with this situation and adapting to the changing policies and budget?</li> <li>• What does your organisation think should be done?</li> </ul>
<b>Policy</b>	<ul style="list-style-type: none"> <li>• What is the role of government policy in the arts and culture?</li> <li>• What is the role of government policy in public funding decisions?</li> <li>• What is the role of government policy in philanthropy? How can this be developed?</li> <li>• Changing nature of the welfare state – policy issues in restructuring arts funding? Why? What are the benefits of public funding and what are the benefits of philanthropy?</li> <li>• Austerity is one reason for the funding reductions – should cultural budgets be treated differently, and with more or less protection, than other benefits?</li> <li>• Mechanisms and form of public subsidy – arm’s length approach, state approach, tax incentives? Which is best?</li> <li>• What can government policy do to help arts philanthropy? What can government policy do to help the cultural organisations?</li> <li>• Is there a way of nurturing philanthropy?</li> <li>• Do philanthropists feel valued by the organisations they support and by the government? Can this be improved? How?</li> <li>• What impact will the vote for the United Kingdom to leave the European Union have on cultural policy, arts funding, and philanthropy?</li> </ul>
<b>Thoughts on what will happen next – barriers and concerns</b>	<ul style="list-style-type: none"> <li>• What do you think will happen next?</li> <li>• What do you think should happen next?</li> <li>• What do you think will shape what happens next?</li> </ul>

	<ul style="list-style-type: none"> <li>• What is the role of government and policy in this? What is the role of philanthropy? What is the role of the cultural sector?</li> <li>• How is this changing?</li> <li>• Do you feel positive or negative about developments? Why?</li> <li>• Do you have any concerns about current developments? What are they?</li> <li>• Do you see any barriers in arts philanthropy? If so, what are they?</li> <li>• Is philanthropy a potential funding model for the cultural sector? If yes, why? If no, why not?</li> </ul>
<b>Any other relevant aspects not discussed (2 mins)</b>	<p>The discussion is coming to an end now, so:</p> <ul style="list-style-type: none"> <li>• Is there anything else you think is important about arts philanthropy/arts funding/cultural policy that we haven't talked about that you think we should discuss?</li> </ul>
<b>Finalise interview (5 mins)</b>	<p>Thanks and close:</p> <ul style="list-style-type: none"> <li>• Indicate whether they would like to receive preliminary report draft in order to provide feedback</li> </ul>

Table developed for this thesis.

## **Appendix II – List of Interviews**

Three countries

Thirty-eight people

Thirty-three organisations

Thirty-one interviews or contributions

Interviews with key actors conducted between October 2016 and August 2017

Interviews conducted around three themes – funding landscape, philanthropy, and policy

### **England interview areas:**

- Arm's-length public funding bodies
- National public advisory bodies
- Training and development
- Trusts and foundations
- Cultural organisations

### **Netherlands interview areas:**

- Private companies
- Public funding bodies
- Cultural policy advisors
- Trusts and foundations
- Cultural organisations

### **Denmark interview areas:**

- Trusts and foundations
- Cultural policy experts
- Public funding bodies

<b>Interview Number</b>	<b>Country</b>	<b>Category</b>	<b>Type of Communication</b>	<b>Position</b>	<b>Number of People Interviewed</b>	<b>Interview Date</b>
<b>1</b>	England	Arm's-length public funding body	Face to face interview	Relationship Manager: Museums; Senior Manager: Operation Midlands	1	20th October, 2016
<b>2</b>	England	Heritage trust and museum	Face to face interview	Head of Development; Development team	2	2nd November, 2016
<b>3</b>	Denmark	Arm's-length public funding body; Public Agency	Face to face interview	Senior Advisor	1	21st November, 2016
<b>4</b>	Denmark	University Centre; Key Informant	Face to face interview	Assistant Professor	1	21st November, 2016
<b>5</b>	Denmark	Industrial Foundation	Face to face interview	Board Member and Chairman	1	22nd November, 2016
<b>6</b>	England	Arm's-length public funding body	Email correspondence and document	Senior Policy Advisor – Philanthropy and New Models	1	Document sent 23rd November, 2016; Consent form returned 5th December, 2016
<b>7</b>	The Netherlands	Ethical bank and investment company	Face to face interview	Head of Socially Responsible Investments and Head of Arts and Culture	1	28th November, 2016
<b>8</b>	The Netherlands	Board member of a foundation, academic	Face to face interview	Former director of a Master's programme in Arts and Heritage; Member of the Executive Committee of a centre for arts and culture, conservation and heritage; Advisor of a regional foundation	1	29th November, 2016

<b>9</b>	The Netherlands	Arm's-length artform specific public funding body	Face to face interview	Head of subsidy agency	1	1st December, 2016
<b>10</b>	England	Public charitable agency	Face to face interview	Director, Strategic Development	1	12th December, 2016
<b>11</b>	England	Private foundation	Face to face interview	Chief Executive	1	12th December, 2016
<b>12</b>	England	Consultancy and social investment body in the arts and culture	Face to face interview	Founder and Director	1	13th December, 2016
<b>13</b>	England	Public trust with private collaborations	Telephone interview	Interim Director/Theatre Advisor	1	15th December, 2016
<b>14</b>	The Netherlands	Private foundation	Face to face interview	Foundation Spokesperson	1	20th January, 2017
<b>15</b>	England	Private foundation	Face to face interview	General Manager	1	2nd February, 2017
<b>16</b>	England	Theatre company	Face to face interview	Senior Philanthropy Manager	1	4th July, 2017
<b>17</b>	England	Opera company	Face to face interview	Development Director	1	4th July, 2017
<b>18</b>	England	Theatre company	Face to face interview	Business Development Manager	1	5th July, 2017
<b>19</b>	The Netherlands	Museum	Face to face interview	Board Member and fundraising advisor	1	10th July, 2017
<b>20</b>	Denmark	Museum	Face to face interview	Fundraiser	1	12th July, 2017
<b>21</b>	The Netherlands	Orchestra	Face to face interview	Marketing and Development Spokesperson	1	19th July, 2017

<b>22</b>	The Netherlands	City-level public funding body	Face to face interview	Secretary of Fine Arts, Heritage and Film; Secretary of Music and Musical Theatre	2	20th July, 2017
<b>23</b>	The Netherlands	Museum	Face to face interview	Development Researcher; Development and Sponsoring	2	20th July, 2017
<b>24</b>	The Netherlands	Public fund from the foreign ministry with private fundraising	Face to face interview	Fundraising Coordinator	1	21st July, 2017
<b>25</b>	England	Theatre company	Face to face interview	Artistic Director	1	25th July, 2017
<b>26</b>	England	Ballet company	Face to face interview	Development Manager: Corporates & Individuals; Development Executive: Friends, Patrons & Legacies; Development Manager: Trusts & Foundations	3	28th July, 2017
<b>27</b>	England	Orchestra	Face to face interview	Director of Development	1	7th August, 2017
<b>28</b>	Denmark	Orchestra	Telephone interview	Communication Spokesperson	1	10th August, 2017
<b>29</b>	Denmark	Opera company	Skype interview	Administration Director	1	14th August, 2017
<b>30</b>	Scandinavia*	Transnational public fund	Skype interview	Advisor	1	16th August, 2017
<b>31</b>	United Kingdom**	Ethical bank and investment company	Face to face interview	Senior Relationship Manager – Social and Cultural Team	1	18th August, 2017

\*Based in Denmark, but covers the entire Nordic region

\*\*Based in Scotland, but covers the entire United Kingdom

## Appendix III – Interview Consent Form: Face-to-face

# Arts Philanthropy and Europe: A new funding model?

**Researcher: Jonathan Peter David Gunson**

You are invited to take part in this research study, which seeks to understand the role and landscape of arts philanthropy. Your participation will be in the form of a **face-to-face interview**.

Before you decide to take part it is important for you to **read the accompanying participant information sheet**.

If you consent to having your interview recorded, all tapes will be destroyed once they have been transcribed. Transcripts from the research will only be viewed by the research team and will be stored in a secure location until they are destroyed (i.e., 5 years after the completion of this study).

Please do not hesitate to ask us questions if there is anything that is not clear or if you would like more information about any aspect of this research. It is important that you feel able to take the necessary time to decide whether or not you wish to take part.

Some materials have been removed from this thesis due to Third Party Copyright or confidentiality issues. Pages where material has been removed are clearly marked in the electronic version. The unabridged version of the thesis can be viewed at the Lanchester Library, Coventry University

1	I confirm that I have read and understood the Information Sheet for the above study and have had the opportunity to ask questions.	YES	NO
2	I understand that my participation is voluntary and I am free to withdraw (including the information I provide) until 28 <sup>th</sup> February 2017 without providing a reason.	YES	NO
3	I understand that all the information I provide will be anonymised and treated in confidence.	YES	NO
4	I am happy that information collected may be used in reports and academic publications produced by Coventry University.	YES	NO
5	I am happy for my interview to be recorded.	YES	NO
6	I agree to take part in the above study.	YES	NO

Participant's Name	Date	Signature
Researcher	Date	Signature



## Appendix IV – Interview Consent Form: Telephone

# Arts Philanthropy and Europe: A new funding model?

**Researcher: Jonathan Peter David Gunson**

You are invited to take part in this research study, which seeks to understand the role and landscape of arts philanthropy. Your participation will be in the form of a **telephone interview**.

Before you decide to take part it is important for you to **read the accompanying participant information sheet**.

If you consent to having your interview recorded, all tapes will be destroyed once they have been transcribed. Transcripts from the research will only be viewed by the research team and will be stored in a secure location until they are destroyed (i.e., 5 years after the completion of this study).

Please do not hesitate to ask us questions if there is anything that is not clear or if you would like more information about any aspect of this research. It is important that you feel able to take the necessary time to decide whether or not you wish to take part.

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1	I confirm that I have read and understood the Information Sheet for the above study and have had the opportunity to ask questions.	YES	NO
2	I understand that my participation is voluntary and I am free to withdraw (including the information I provide) until 28 <sup>th</sup> February 2017 without providing a reason.	YES	NO
3	I understand that all the information I provide will be anonymised and treated in confidence.	YES	NO
4	I am happy that information collected may be used in reports and academic publications produced by Coventry University.	YES	NO
5	I am happy for my interview to be recorded.	YES	NO
6	I agree to take part in the above study.	YES	NO

Participant's Name	Date	Signature
Researcher	Date	Signature

## Appendix V – Interview Consent Form: Email

# Arts Philanthropy and Europe: A new funding model?

**Researcher: Jonathan Peter David Gunson**

You are invited to take part in this research study, which seeks to understand the role and landscape of arts philanthropy. Your participation will be in the form of **email, written, and documentary communication**.

Before you decide to take part it is important for you to **read the accompanying participant information sheet**.

If you consent to having your interview recorded, all tapes will be destroyed once they have been transcribed. Transcripts from the research will only be viewed by the research team and will be stored in a secure location until they are destroyed (i.e., 5 years after the completion of this study).

Please do not hesitate to ask us questions if there is anything that is not clear or if you would like more information about any aspect of this research. It is important that you feel able to take the necessary time to decide whether or not you wish to take part.

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1	I confirm that I have read and understood the Information Sheet for the above study and have had the opportunity to ask questions.	YES	NO
2	I understand that my participation is voluntary and I am free to withdraw (including the information I provide) until 28 <sup>th</sup> February 2017 without providing a reason.	YES	NO
3	I understand that all the information I provide will be anonymised and treated in confidence.	YES	NO
4	I am happy that information collected may be used in reports and academic publications produced by Coventry University.	YES	NO
5	I agree to take part in the above study.	YES	NO

Participant's Name	Date	Signature
Researcher	Date	Signature

## Appendix VI – Interview Consent Form: Skype

# Arts Philanthropy and Europe: A new funding model?

**Researcher: Jonathan Peter David Gunson**

You are invited to take part in this research study, which seeks to understand the role and landscape of arts philanthropy. Your participation will be in the form of a **Skype interview**.

Before you decide to take part it is important for you to **read the accompanying participant information sheet**.

If you consent to having your interview recorded, all tapes will be destroyed once they have been transcribed. Transcripts from the research will only be viewed by the research team and will be stored in a secure location until they are destroyed (i.e., 5 years after the completion of this study).

Please do not hesitate to ask us questions if there is anything that is not clear or if you would like more information about any aspect of this research. It is important that you feel able to take the necessary time to decide whether or not you wish to take part.

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1	I confirm that I have read and understood the Information Sheet for the above study and have had the opportunity to ask questions.	YES	
2	I understand that my participation is voluntary and I am free to withdraw (including the information I provide) until 30 <sup>th</sup> September 2017 without providing a reason.	YES	
3	I understand that all the information I provide will be anonymised and treated in confidence.	YES	
4	I am happy that information collected may be used in reports and academic publications produced by Coventry University.	YES	
5	I am happy for my interview to be recorded.	YES	
6	I agree to take part in the above study.	YES	

Participant's Name	Date	Signature
Researcher	Date	Signature

## **Appendix VII – Interview Participant Information**

### **Arts Philanthropy and Europe: A new funding model?**

#### **Participant Information Sheet**

**Jonathan Peter David Gunson, PhD Researcher**  
**Centre for Business in Society, Coventry University**

#### **PARTICIPANT INFORMATION SHEET**

You are being invited to take part in a research study conducted by a PhD researcher from the Centre for Business in Society (CBiS) at Coventry University as part of his PhD research. Before you decide to take part it is important for you to understand why the research is being conducted and what it will involve. Please take time to read the following information carefully and discuss it with others if you wish.

#### **What is the purpose of the study?**

This project investigates arts philanthropy as a potential new funding model for arts organisations. There are two main methods being used. The first involves mapping the landscape of arts philanthropy in three European countries, the United Kingdom, the Netherlands, and Denmark, based around different institutional and policy environments. The second stage involves interviewing arts organisations about their funding models and use of philanthropic funding in the different and international policy environments.

#### **Why have I been chosen?**

You are invited to participate in this study because you are involved in cultural policy and therefore have important opinions and information regarding funding for the arts sector.

#### **Will my taking part in this study be kept confidential and anonymous?**

Information collected about you during the course of the research will be kept strictly confidential and made anonymous. If you consent to having your interview tape recorded, all tapes will be destroyed once they have been transcribed. Transcripts from the research will only be viewed by the researcher and will be stored in a locked filing cabinet. All data from the research will be destroyed after five years.

#### **Do I have to take part?**

It is up to you to decide whether or not to take part. If you decide to take part, please retain this information sheet and complete the informed consent form at the beginning of the interview, to indicate that you understand your rights in relation to this research and are happy to participate. You are free to withdraw the information you provide by 30<sup>th</sup> September, 2017 prior to data analysis and without giving a reason. A decision to withdraw, or a decision not to take part, will not affect you in any way. It is hoped, however, that you will find the project interesting and relevant and that you will wish to participate.

#### **What will happen if I take part?**

If you would like to take part in the research, you will be invited to participate in an interview with the researcher. Before the start of the interview, you will be given the opportunity to ask as many questions as you want about the research and what your participation involves.

**What are the benefits of taking part?**

Whilst there may be no direct personal benefits in taking part, by participating in the project the research will potentially be disseminated in various forms, including conferences, publications, and reports, and to various audiences, including academics, the public, and policymakers. As a result of this, the researcher intends to help support policymakers and government bodies in a developing funding landscape and the arts sector in finding sustainable funding solutions.

**What will happen with the results of this study?**

The results of this study will be presented through a PhD thesis of approximately 80,000 words, in addition to potentially being presented at various academic and industry conferences, publications and reports to academics, practitioners, government and policymakers.

**Making a Complaint**

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## Appendix VIII: Potential funding streams for the cultural sector

Types of funding	How funding stream manifests itself	Basic premise	Further characteristics	Key references used
<b>State</b>	Direct or indirect subsidy of the arts and culture via the state.	<ul style="list-style-type: none"> <li>Can involve a strong and bureaucratic state as in France, or funding via institutions which are given some independence like the Arts Council in England.</li> </ul>	<p>Artistic motivations: Maintaining artistic excellence.</p> <p>National motivations: Maintaining what is deemed to be important to national heritage and national pride.</p> <p>Social welfare motivations: Providing the arts and culture as beneficial to society, including through education and community projects.</p> <p>Urban regeneration motivations: Using the arts and culture to encourage the regeneration of an area or as an asset to bring people to the area.</p> <p>Economic motivations: Using the arts and culture for economic purposes in order to benefit the economy, including through tourism.</p>	<p>Zimmer and Toepler 1999; Schuyt 2001; Wu 2002; Amable 2003;</p> <p>Buckland, Hehenberger, and Hay 2008; MacDonald and de Borms 2008; Turnbull 2008; Schuyt 2010</p>

<b>Philanthropy</b>	Family foundations:	<ul style="list-style-type: none"> <li>Funded by large individual donors or private family donors, including family businesses</li> </ul>	<ul style="list-style-type: none"> <li>Family members, spouses, and descendants of the founders often act as trustees and sit on the governing board</li> <li>The motivations may be associated with support of a particular cause in order to maintain artistic excellence.</li> </ul>	Goodey and Hall 2007; Smith 2007; MacDonald and de Borms 2008; Martin 2008; Leat 2008; Salole 2008; ACF Guide 2010; Mermiri 2010; Mitchell 2011; Gillies and Minkiewicz 2013; European Foundation Centre 2014; European Foundation Centre 2015; Council on Foundations, European Foundation Centre, and WINGS 2012; Pharoah, Goddard, and Jenkins 2014a; Pharoah, Jenkins, and Goddard 2014b; Pharoah, Goddard, and Jenkins 2015a; Pharoah, Jenkins, and Goddard 2015b; Wharton 2015; Gaio 2009; Pharoah and Harrow 2009; Breeze 2010; Mermiri 2010; The Philanthropy Review 2011; Phillips 2012; Bagwell et al 2013; Kail, Simmons, and Bagwell 2015; Radbourne and Watkins 2015
	Community foundations:	<ul style="list-style-type: none"> <li>Funds are raised through local giving</li> <li>The focus is on funds being distributed to a particular local area</li> </ul>	<ul style="list-style-type: none"> <li>Focused on causes of importance for the local community or social welfare</li> <li>Manage funds from donors and build up endowments</li> <li>Link donors with the needs of the locality</li> </ul>	
	Individual philanthropy	<ul style="list-style-type: none"> <li>Can involve high-net-worth investors who are socially motivated and invest on a large scale over a long period of time, and who have financial advisors to manage their money</li> <li>Can also involve small scale investments by individual investors, supporting local initiatives</li> <li>Small, medium, and large-scale donors. Can involve one-off donations, regular donations</li> </ul>	A variety of motivations. With small scale donations, sometimes associated with loyalty schemes, the motivations are often simply discounts and rewards. With larger scale donations, the motivations can include social status, personal taste, or artistic excellence. Motivations associated with workplace giving may be related to incentives within the tax system to give.	

		including through friends and membership schemes, major donations, workplace and tax giving, and trustee giving.	Trustee giving can be related to how trustees are often encouraged to contribute as a part of their being included on a board.	
Corporate	Business giving to the arts and culture	Short-term investment with an internal focus: Arts-based training	Neoclassical: Motivated by the profitability of the venture	Mirikitani 1999; Leclair and Gordon 2000; Frank and Geppert 2002; Fisher and Preece 2003; Kirchberg 2003; Moir and Taffler 2004; Charity Commission 2009; Thomas and Nuttall 2009; Schiuma 2011; Daellenbach 2012; Walker et al 2012; Daellenbach, Thirkell, and Zander 2013
		Short-term investment with an external focus: Sponsorship	Ethical: Motivated via a form of social contract	
		Long-term investment with an internal focus: Corporate art collections	Political: Advancing the long-term interests of the company through preserving their corporate power or legitimising their economic power	
		Long-term investment with an external focus: Cultural partnerships and corporate art awards		
		Short-term financial support and long-term investment on one scale, and external focus such as image and brand versus internal focus such as Corporate Social Responsibility and Cultural Production on another scale.	Stakeholder: The company may be seeking both business and society interests as there are multiple stakeholders involved	
	Corporate foundations:	<ul style="list-style-type: none"><li>• Receive endowments or gifts from private companies to fund their grants</li><li>• Relationship to corporate social responsibility</li></ul>		



<b>Emerging models</b>	Venture Philanthropy	<ul style="list-style-type: none"> <li>• Turning the venture capital model into a strategy of social investment</li> <li>• Uses investment strategies that bring in the provision of finance, business advice, and monitoring</li> <li>• Creates new methods to redirect charitable funds which were at one time viewed as maximum-risk and no-return</li> <li>• Prioritises the innovative and entrepreneurial aspect of initiatives supported</li> <li>• Normally long-term investments</li> </ul>	<ul style="list-style-type: none"> <li>• Secured loans: A loan which can be repossessed if not repaid and which is given against the security of an asset</li> <li>• Unsecured loans: Support on a short-term basis which acts as a bridge before a particular repayment, but which has a higher interest rate than secure loans</li> <li>• Charity bonds: Debt which is tradable and has interest payments on a periodic basis, with a high level of finance provided, for the most part over £1million</li> <li>• Equity: A stake of the organisation being funded is owned by the donor as an investment, in general as shares</li> </ul>	<p>Pfitzer and Stamp 2010; European Commission 2011; Buckland, Hehenberger, and Hay 2013; Gillies and Minkiewicz 2013; Grossman, Appleby, and Reimers 2013; Jeffery and Jenkins 2013; Jenkins and Rogers 2013; OECD/European Union 2013; Rotheroe et al 2013; European Commission 2014; European Foundation Centre 2014; Rotheroe and Joy 2014; Salamon 2014; EVPA 2014; Wilkinson et al 2014; European Foundation Centre 2015; Harrison-Evans 2015; Jenkins and Rogers 2015</p>
	Institutional investors and profit giving	<ul style="list-style-type: none"> <li>• Examples include pension or mutual funds, insurance companies, and traditional banks which manage large portfolios of capital</li> <li>• By and large unused for social enterprise funding</li> <li>• Used in some countries, such as France, the USA, and Canada, despite legal restraints</li> <li>• In other cases, institutional investors go via intermediaries including investment funds</li> <li>• These investment funds can be debt-orientated or equity-orientated</li> <li>• The investment funds are subjects to the regulations of their respective countries</li> </ul>		

- 
- |                                   |   |
|-----------------------------------|---|
| Ethical or social capital markets | <ul style="list-style-type: none"><li>• Markets in which investment occurs in a socially responsible way</li><li>• Emerging as a source of finance for social enterprise as capital pools are increased</li></ul> |
|-----------------------------------|---|

- 
- |              |  |
|--------------|--|
| Crowdfunding | <ul style="list-style-type: none"><li>• A form of finance that aid the funding of a project via a large amount of small donations, often via individuals over the internet</li><li>• Utilising online platforms to host the pitch</li><li>• Often involves fundraising targets with a timespan</li><li>• If the target is met in the timespan, the money is kept, if not, it stays with the donors</li><li>• Can address social and humanitarian projects</li><li>• Can contribute to meeting the equity needs of social enterprise</li><li>• Reward based: People can contribute to a project and receive some sort of non-financial reward in return</li><li>• Lending based: Donors support a project by taking a portion of a loan which is being sought</li></ul> |
|--------------|--|
-

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- Equity based: Those donating are investing in equity or profit sharing in the project
  - Donation based: Charities or social projects build up an online community which can then donate to particular projects
- 

Table developed for this thesis.

## Appendix IX: Policy – who is important?

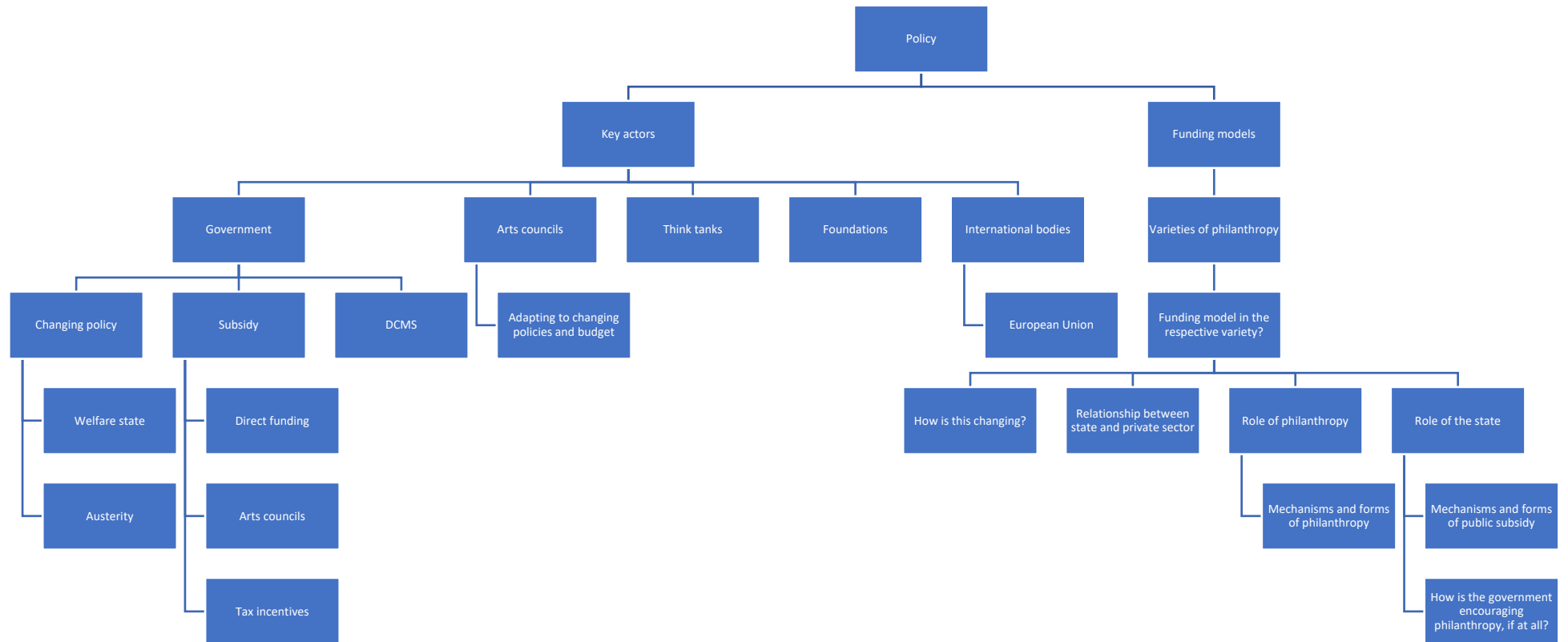


Diagram developed for this thesis. Source: Author.

## Appendix X: Philanthropy – who is important?

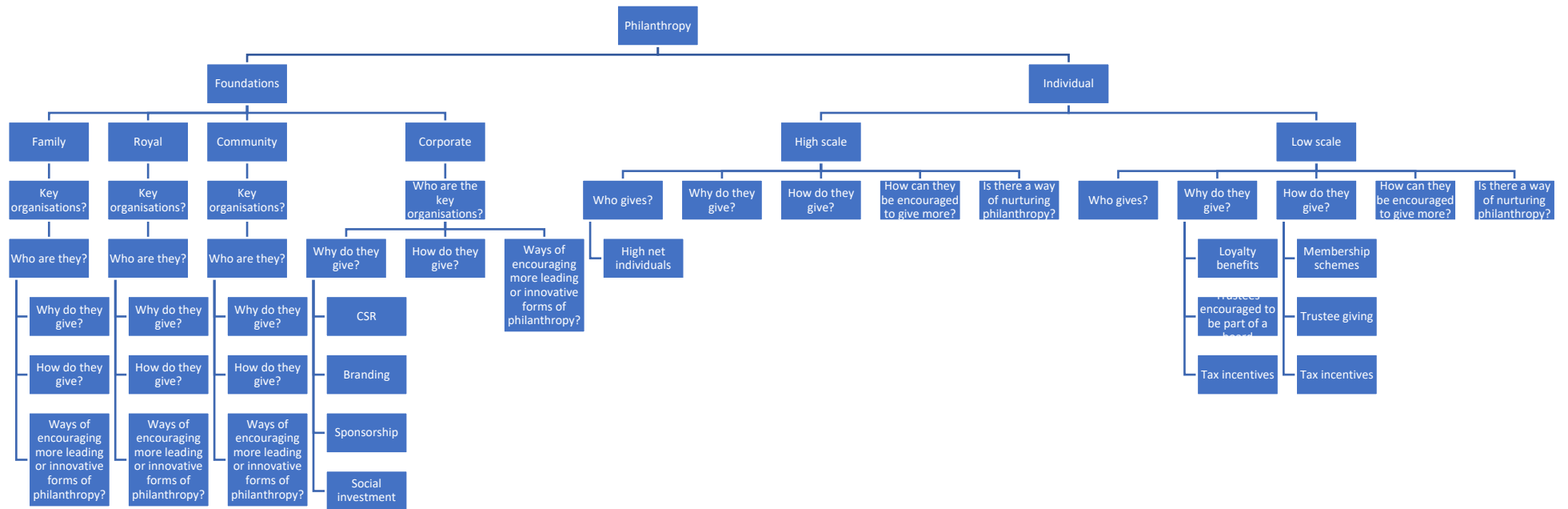


Diagram developed for this thesis. Source: Author.

Appendix XI: Cultural organisations – who is important?

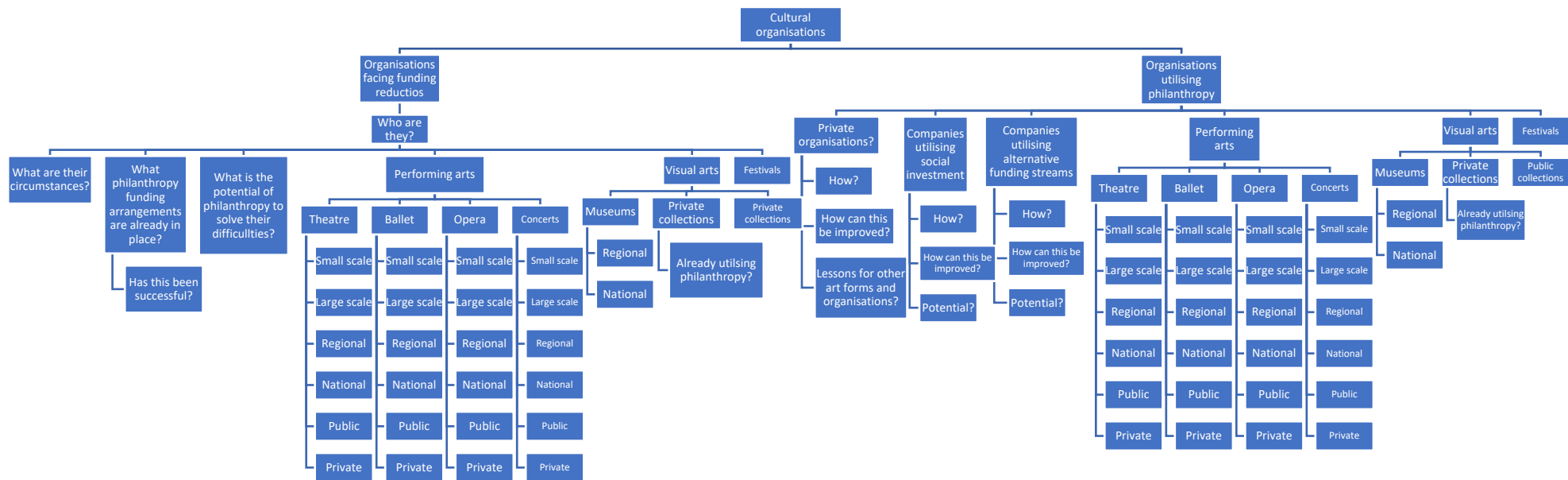


Diagram developed for this thesis.

## Appendix XII: Cultural organisations – identification of key actors and relationships

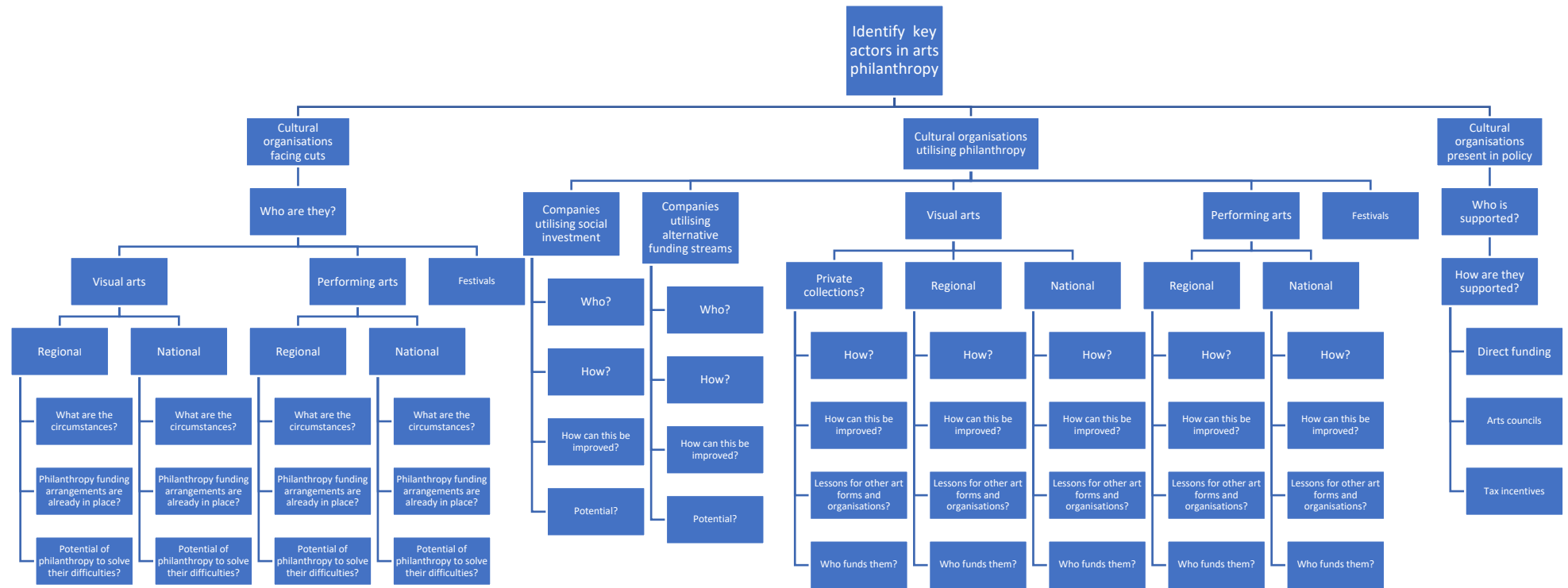


Diagram developed for this thesis.

### Appendix XIII: Arts funding landscape of England, the Netherlands, and Denmark

	England	The Netherlands	Denmark
<b>Policy environment</b>	<ul style="list-style-type: none"> <li>• Encouragement of philanthropy through the tax system</li> <li>• Local authorities hit by funding reductions affecting cultural organisations</li> <li>• Majority of private investment in London</li> <li>• Figures skewed by largest institutions</li> <li>• Approximately half of funding comes via earned income</li> <li>• Approximately a third from public funding</li> <li>• The remainder comes via private investment, encompassing business giving, individual giving, and giving via trusts and foundations</li> <li>• Much cultural policy regarding philanthropy is orientated towards enabling cultural organisations to rely less on public funding and better their business models and development</li> </ul>	<ul style="list-style-type: none"> <li>• Philanthropy and cultural entrepreneurship encouraged through the tax system</li> <li>• Heavy devolution of funding responsibilities between national, municipal, and local government</li> <li>• The majority of public funding comes via the municipalities</li> <li>• Funding decisions made in four-year cycles</li> </ul>	<ul style="list-style-type: none"> <li>• The government encourages philanthropy through the tax system</li> <li>• The state is a dominant form of arts funding, and arm's-lengths bodies have a great deal of independence from the government in terms of funding decisions</li> <li>• The majority of culture is publicly funded</li> </ul>
<b>Institutions</b>	<ul style="list-style-type: none"> <li>• Department of Culture, Media and Sport</li> <li>• Arts Council England</li> </ul>	<ul style="list-style-type: none"> <li>• The Ministry of Education, Culture and Science</li> <li>• Raad voor Cultuur</li> <li>• Public foundations</li> </ul>	<ul style="list-style-type: none"> <li>• The Ministry of Culture</li> <li>• The Danish Arts Foundation</li> <li>• The agencies related to culture</li> </ul>



			<ul style="list-style-type: none"> <li>• The committees related to culture</li> <li>• State cultural institutions</li> </ul>
<b>Key actors</b>	<ul style="list-style-type: none"> <li>• The national Government</li> <li>• Local authorities</li> <li>• Arts Council England</li> <li>• Family foundations</li> <li>• Universities and training programmes</li> <li>• Fundraising bodies and consultancies</li> </ul>	<ul style="list-style-type: none"> <li>• The national Government</li> <li>• Regional Government</li> <li>• Municipalities</li> <li>• City Regions</li> <li>• Raad voor Cultuur</li> <li>• Public foundations</li> <li>• Private foundations</li> <li>• Private investors</li> </ul>	<ul style="list-style-type: none"> <li>• The national Government</li> <li>• Municipalities</li> <li>• The Danish Arts Foundation</li> <li>• Private family and corporate foundations</li> </ul>
<b>Philanthropy</b>	<ul style="list-style-type: none"> <li>• Trusts and foundations</li> <li>• Individual donors</li> <li>• Training and development</li> <li>• Consultancies</li> <li>• Individual giving is in total the predominant form of private giving, but this is regional – in London, the South East, the South West, and the Midlands, individual giving is the largest component; in the North West, Yorkshire and the Humber, the East of England, the East Midlands, and the North East, Trusts and Foundations form the predominant form of private giving. This may suggest a rough North-</li> </ul>	<ul style="list-style-type: none"> <li>• Trusts and foundations</li> <li>• Individual donors</li> <li>• Involvement of the commercial and banking sector</li> <li>• Charitable funds set up within organisations</li> <li>• Relatively high level of individual giving towards voluntary organisations</li> <li>• High level of philanthropic freedom</li> <li>• Giving from Households and lotteries have seen a steady increase</li> </ul>	<ul style="list-style-type: none"> <li>• Private trusts and foundations, often being corporate philanthropic foundations, are the principle form of philanthropy, and have a long history</li> <li>• Individual donor schemes run by cultural organisations</li> </ul>

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South divide in private giving trends – the South appears to lean towards individual giving, the North towards a strong Trust and Foundation Sector.

- There is strong variation according to artform. Private investment makes up the largest portion of private investment towards the arts and culture, followed by music and then theatre, with museums, literature, and dance comprising the lowest portion of private investment towards the arts and culture. Of these, private investment makes up the largest component of the total income of theatre, music, visual arts, and museums, and the lowest of literature and dance.
- Whilst the visual arts, followed by museums, dance, and music, have seen an increase in total private investment from 2013/14 – 2014/15, theatre has seen little increase.
- The primary form of private funding is individual giving for visual arts, music, and museums, business investment for not artform specific work and combined arts, and funding

- Giving from companies have seen a noticeable decline

	from trusts and foundations for literature, theatre, and dance		
<b>Varieties</b>	<ul style="list-style-type: none"> <li>• Strong liberal focus, largely driven by earned income, with a push even regarding public funding towards an improvement of business models through transition and sustainability</li> <li>• Outside of London, far greater reliance on public funding and private funding from trusts and foundations</li> <li>• Focus on training and development</li> </ul>	<ul style="list-style-type: none"> <li>• Mixed funding landscape. Still a strong place for public funding, but a varied private landscape, with a focus not just on more traditional forms of giving, but the potential of new and alternative forms of private financing.</li> <li>• Involvement of commercial sector in assisting the cultural sector</li> <li>• Public funds separated according to artforms</li> </ul>	<ul style="list-style-type: none"> <li>• Largely state focused with a strong sense of artistic independence in the Social Democratic tradition of arts funding</li> <li>• Where private funding does exist, whether that be private foundations, businesses, or individuals, it is complimentary to the state</li> <li>• Tradition of private foundations, often working as corporate philanthropic foundations with a business</li> </ul>

Table developed for this thesis

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## **Appendix XV – Ethical Approval Application: Interviews**

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