Fundraising Archives: a literature review

“Cultural capital, in an economic sense, can provide a means of representing culture which enables both tangible and intangible manifestation of culture to be articulated as long-lasting stores of value and providers of benefits for individuals and groups.”


This article examines the fundraising practices of cultural institutions around the world, and especially of archives. How can we define fundraising? When we think about fundraising, some important historic collectors and fundraisers such as the Medici Family in Italy or the Rockefeller Family in the United States come into our minds. In fact, philanthropy is a traditional support for cultural institutions, but it is not the only one. The balance between private and public funding highlights the purposes of fundraising, but what about archives? This study underlines how new this approach is for archival collections. A comparison with libraries could be useful for archivists. Indeed, unlike in museums and libraries, specific events or fundraising campaigns are not common practice in archives, even if this approach is changing with the digital age. In conclusion, this article will underline how using new technologies open a new field for finding funds. This literature review is the first stage of an important study about fundraising for archives in the United Kingdom.

**Introduction**

The Medici Family, the Rockefellers, the Kings and Queens of all countries have always been linked to fundraising for the humanities. This preserved the best examples of what artists created at every stage of human history. By helping artists, they offered the most exquisite expression of humanity. Studying archives fundraising is a new field of research.
This reveals the weaknesses and successes of fundraising for the arts. The question of finding funds for archives has raised a series of six key issues: the definition of fundraising for archives, philanthropy, private funding versus public funding, archives versus libraries in fundraising, fundraising for archives, and new perspectives (funding and new technologies).

In the 19th century, the European bourgeoisie became the new collectors who brought great influence to art by buying avant-garde art. Since then, new projects have been generated to develop culture. But the problem is: does the notion of philanthropy include fundraising? One of the six major issues of fundraising revealed is to know exactly what we are talking about.

Another part of this literature review deals with the history of philanthropy and fundraising, and explores the definition of fundraising. How can we link fundraising to philanthropy, history and to the question of the identity of collectors and fundraisers?

The third issue about the study of fundraising by archives is to understand the different sorts of fundraising. Collectors are not the only ones to give money to cultural institutions; the public sector provides significant financial support too. In the United Kingdom, cultural institutions can rely on public organisations and public initiatives to raise funds for their projects like the Heritage Lottery Fund (HLF). Then, the literature review underlines the lack of references concerning specific archives projects. Examples for archives are rather rare; events are usually organised for museum or library collections, not for archives. Museums and libraries are in the forefront of fundraising. In fact, it is more usual to find funding for arts than to have a fundraising policy for archives. But the literature also reveals that museums and libraries are not seen in a similar perspective. For museums, many articles deal with fundraising, bequests, events, and philanthropy. It has been a part of the history of museums since the first salons in Paris in the 18th century. For libraries, the literature focuses on how to handle budget cuts. Many studies offer an economic analysis of the subject and lack a practical point of view. They point at trends, but they do not describe solutions or practical cases.

In conclusion, the last references highlight the impact of new technologies on fundraising. It seems that supporting the development of electronic materials is a good way to

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2 The literature review does not focus on the organisation of fundraising in the UK, but more broadly in terms of Archives and fundraising. To know more about HLF, Arts Council, and other funders you may read the results of the future research study about fundraising by archives.
find donors and funds to promote collections, especially in the archival field. New technologies may serve as a tool to find funds, promote collections and reach new donors.

In this literature review, I shall examine and sum up the methodology of this study, and of the six general topics concerning fundraising by archives, described above. This review will also provide a comparison with France by describing certain interesting initiatives undertaken in the field of archives and libraries. With a comparison with France, I shall conclude by addressing the similarities between archives, libraries and museums, and see how archives can find funds to promote their collections and keep alive the memory of the United Kingdom.

**Methodology**

When analysing fundraising for cultural institutions, I had to face some methodological difficulties. Indeed, what does “fundraising” mean? The term “fundraising” encompasses different notions. Donations, bequests, and philanthropy are different expressions of the same reality – the help of private funding to guarantee and promote public collections. The literature is large and concerns different institutions such as museums, libraries or monuments. At the beginning of the study, I listed as many articles and monographs as possible, but limited to Anglo-Saxon references with an insight into European policy. The aim is to give a genuine picture of the practices and the policies concerning fundraising. The analysis of the data from the publications was carried out using the resources of the library of the University College London, starting with electronic databases (Metalib, Scopus), a wide range of other databases linked to the first two, and its main library catalogue. For my research I used the keywords fundraising, funding, funds, donations, donors, bequests, philanthropy, private funding, public funding, tax system, and collectors. All the terms were combined to provide cross-references with the terms: archives, public collections, museums, libraries, heritage, and cultural institutions. The research strategy was to remain focused on archival collections. Analysis of the references concerning libraries and manuscript collections held by museums gave some detail on how to deal with archival collections in different contexts so as to consider what fundraising could mean for the archives. A difficulty was that the references themselves do not provide many examples related to archival collections. As for electronic data, the analysis of the partnership between
private companies or associations and public cultural institutions is based on recent material, mostly published online via social media tools such as Wikimedia or blogs.

The articles which are listed in this literature review have been read several times in order to understand the issues related to the subject, to improve the accuracy of the results, and to remain focused on archives.

**The importance of defining fundraising for the arts and culture**

The literature published on the subject deals with different aspects of fundraising: economic aspects, ethical aspects, and more practical strategies to find funds for cultural institutions. But it does not begin with the question of defining fundraising. It unveils the need to understand how essential fundraising is. Tourism and other cultural activities are clearly differentiated, which has a great impact on the success of fundraising. For instance, European funding for culture is based on celebrating diversity and attracting tourists. Fundraising is not just about promoting collections or conserving them. The projects financed by the European Commission are linked to the development of the economy, even if the aim of the European Community is to “contribute to the flowering of the cultures of the Member States, while respecting their national and regional diversity and at the same time bring the common cultural heritage to the fore.” A clear distinction is made between tourism and “other cultural activities.” But what does the expression “other cultural activities” mean? Does it mean promotion, conservation, publishing or exhibitions? All the authors have based their analysis on the definition given by the Treaty of Maastricht, which is, in fact, the definition of fundraising for the promotion of European Culture. Conservation or publishing seems not to be considered as “cultural projects.” Strictly speaking, the literature review reveals that fundraising for art means finding funds for purchases, exhibitions, and the promotion of collections via new media. But the different authors do not define fundraising precisely. As for finding funds for archives, the literature provides few details about fundraising. What are the expectations? What does fundraising mean for archival collections? What is the strategy

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for fundraising by archives? It would be really useful to give a precise definition to fill the gap for this study.

Even though general references on fundraising do not provide a proper definition of the notion, they point at the importance of finding and spending money for arts, assuming that “if the money had not been spent on the arts, no other economic or social values would have been produced.” In fact, the “cultural industries”, which represent arts and culture, have “a significant effect on the economies of many countries both in terms of contribution to GDP and in job creation.” W. Baumol underlines the problem of art in his “cost disease theory”, which states that “generally the production costs of the arts will tend to rise more rapidly than those in other industries.” Productivity in some sectors like in the arts is stable and not decreasing. In an interview in 1995, Baumol confirmed his original view. He said that “without sufficient public support, the arts will decline in both quantity and quality.” The examples of experiments in cultural economics are numerous: cultural events, specific policy for heritage, archeological and urban sites, monuments, museums, broadcast and broadband. Unfortunately, the author omitted archives and libraries in his overview of fundraising practice.

**Philanthropy: a traditional support for cultural institutions**

Traditionally, philanthropy is the only definition of fundraising. Since the Middle Ages, it has influenced the arts. Most collectors were from the aristocracy or the clergy. It was part of their “self-glorification”, to paraphrase Eva Rovers. Since the 19th century, the economic elite has allocated funds to promote the arts. Some particular patrons helped some museums build and sustain their collections by donating paintings by Picasso (Gertrude and Leo Stein), Matisse or Degas (Louisine and Harry Havemeyer). Today, the importance of the international market, and the rising prices of works of art make their contribution much more significant for cultural institutions.

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10 BAUMOL, W., 1995. The case of subsidizing the arts; interview with economics professor William Baumol.
Since the 1990s, governments around the world have implemented specific tax policies to find potential donors\textsuperscript{13}. In the United Kingdom, an inheritance tax has been implemented which encourages philanthropic behaviour. For instance, in August 2010, an Italian masterpiece was donated to the National Museum of Wales in lieu of £200 000 inheritance tax bill\textsuperscript{14}. This kind of arrangement allows taxpayers to transfer works of art and significant heritage into public ownership\textsuperscript{15}. As for the tax systems linked to cultural fundraising, the analyses highlight how private funding affects public funding. Is it useful for cultural institutions or for the government to have a specific tax policy for citizens who donate to cultural institutions? Is it worth the cost of the administration and the time civil servants dedicate to this policy? It seems that this tax system is an “indirect government support for the arts”\textsuperscript{16}.

Even if the example developed by Alan L. Feld concerns the United States, his analysis of the deduction in the federal income tax for contributions to not-for-profit cultural institutions is relevant. It is interesting to make comparisons with the British tax system. Donations have a certain cost for the government. As Feld wrote, “the magnitude of the donation attributed to the donor increases beyond the donor’s real cost of making the gift\textsuperscript{17}.” And he added “[that it is] also often increasing the donor’s capacity to influence the arts in the institution\textsuperscript{18}.”

The impact of the tax system on the policy of a cultural institution should be underlined to measure the real cost of donations. It would be inaccurate to believe that donations are entirely beneficial for cultural institutions and the government. The impact of fundraising by archives should include an assessment of the impact on the archives.


In this article, the Art funds give an overview of the European tax system which helps private donors to give works of art to public cultural institutions. It could provide frameworks or models to improve the British policy on this subject.


\textsuperscript{15} The Institute of Fundraising gives advice to individuals who want to decrease their tax bill. Website: http://www.tax-effectivegiving.org.uk/ Accessed 15/03/2011. It does not advise only on cultural fundraising.


\textsuperscript{17} Ibid., p. 276.

\textsuperscript{18} Ibid., p. 276.
Private funding versus public funding

The analysis of the references reveals that both private and public fundraisers provide funds to cultural institutions. The studies highlight that if the fundraising projects are linked to social, education, town-planning or tourism issues, public or private donors would be more generous and helpful to these institutions, as the survey on the European Regional Development Funding (ERDF) between 1990 and 1996 underlines\textsuperscript{19}. Art funding is not just a matter of art; it is also closely linked to social or educational projects. Combining different issues would help find funds to support cultural projects. Attracting companies and private donors would be easier if we can convince them that these cultural projects have a social impact, for instance. The study of philanthropic issues points at the cost of donations for the government. The analysis carried out on public and private funding focuses on the balance between private and public donations. In many cases, the growth in private donations leads to the decrease in public funding. A detailed assessment of this mechanism is needed to understand whether soliciting funds through private donations is the best way to increase the budget and develop the collections of public cultural institutions.

The place of archives in fundraising: a useful comparison with libraries

The study proposed by The National Archives and the Department of Information Studies, University College London assesses the funding of archives. It is therefore worth asking to what extent the literature is applicable to archives as a specific kind of cultural institution. Many articles deal with museum collections. It is easier to give money to purchase a Picasso or a Da Vinci masterpiece than to give funds to conserve specific archival collections. A research strategy for finding relevant references concerning archives highlights the lack of publications on that topic. It may be linked to the fact that the private sector encourages its employers to publish, whereas the public sector and its archivists have no tradition of publishing their work. What strikes me the most when reading research on fundraising is the importance of the references concerning libraries, especially academic libraries. Whereas the literature concerning museums seems to be less relevant for archival collections, the literature about libraries provides answers to some questions that are related to archives too.

\textsuperscript{19} EVANS, GRAEME, FORD, JO, 1999. “European funding of culture: promoting common culture or regional growth?”…, p. 56.
In order to investigate fundraising of archival collections, it seems relevant to read and analyse articles about library collections. Libraries have often archival collections, so, it can be useful to study their activities to understand what works and what does not work. Many articles relate to academic libraries only. The question of fundraising has been relevant for libraries since at least 1992, when, in the opening session of the annual meeting of the Association of Research Libraries (ARL) in the USA, Susan Nutter, the ARL President-Elect, said: “Fundraising can no longer be an afterthought or a tangential activity labeled as a non-library function. Raising funds will be imperative to the growth and maintenance of first-rate libraries. In the coming decades fund raising will literally make the difference between mediocrity and excellence for many of our libraries.” The research underlines that public institutions, such as national libraries, do not publish their fundraising policies. Academic librarians are more likely to write, because academic writing is part of their skills and of their institutional traditions. They have written many articles about their own initiatives, although their experiences are not related to others and they do not generally attempt to build a conceptual framework, which could be relevant for other institutions. For example, the librarian of North Dakota State University explains the fundraising programme “from scratch.” She describes the team strategy and the “crucial role of the library dean.” The article also underlines the trend of fundraising for academic libraries. It represents a turning point for the policy applied in these institutions, even if, in 2004, Anne Ruggiero and Julia Zimmerman emphasized the need for the library staff to be “active participants in fundraising.” This article underlines how important it is that librarians should be involved in the search for new donors, even if it is an “increasingly large part of library directors’ jobs.” Another article by Samuel T. Huang, a librarian in the University of Arizona, seemed to be more conceptual. Huang insists on the aims of fundraising. For him, fundraising is needed “if academic libraries want to manage and maintain existing collections, provide access to ever-growing electronic resources and launch innovative programs and new library services.” The focus on innovation seems to be relevant for academic libraries. But to what extent is this relevant for the archives? Few articles developed the notion of innovation, or analysed how

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22 Ibid., p. 54.
24 Ibid., p. 145.
libraries can find new donors. The University Library at Albany, NY, was one of the first academic libraries to use the internet as a means to raise funds; i.e. online fundraising. To help those who want to create online fundraising websites, these librarians share their experience in the area of online fundraising by describing and detailing their strategy, and by analysing how to improve their policy. They conclude that “the placement of links and the descriptors used may be more important than an extensive, feature-laden site”. Brenda Hazard points at the main steps of building a framework for online fundraising – procedures, findings, lessons to consider, and recommendations. Raising funds online could be a new strategy for academic libraries but also for other cultural institutions to “broaden traditional donor constituencies and to raise awareness of libraries needs and services”. It is essential for archives to develop innovative tools to broaden traditional donation processes and find new ways to promote their collections. Online transaction processing requires appropriate secure system to protect donors’ data such as ID, password, or email addresses. The webpage from the “Friends” of the archives or libraries could be a good start to improve the system. The Friends page “was the most highly placed page for library fundraising information.” From this first experience, it could be useful to develop specific attractive pages to raise funds. As for archives, no article gives information about how to proceed, but it could be relevant to study the impact of the “Friends of the Archives” webpage and see if it is appropriate to explore this new fundraising strategy.

Drawing a comparison between two different national libraries highlights how successful such a policy is and how it adapts to different cultural and local contexts. The British Library has collections made available to all. Its missions rely on the generosity of its donors. Supporting the Library would not be possible without the Development Office which manages the donations, informs the donors etc. The Office is in charge of four different “gifts”: one-off gifts (small donation, adopt a book), regular gifts (Friends of the British Library, monthly / quarterly / annual gift), a “priceless legacy” by making gifts in your will and gifts-in-kind (gifts of rare books, manuscripts, stamps and other items). The

27 Ibid., p. 13.
28 Ibid., p. 10.
29 Ibid., p. 11.
31 www.bl.uk/adoptabook Accessed 18/03/2011.
32 www.bl.uk/friends Accessed 18/03/2011.
33 www.bl.uk/supporters Accessed 18/03/2011.
34 www.bl.uk/legacies Accessed 18/03/2011.
recent developments of the British Library have been the result of these grants and donations, such as the construction of the new Centre for Conservation or the digitisation of Alice’s Adventures Under Ground for the website through the Turning the Pages™ project. This policy is a real success. Indeed, in 2010, the same initiatives were undertaken by the Bibliothèque nationale de France. To become more active, they decided to create a “Galerie des Donateurs” (a Donors Gallery) to exhibit the gifts given by the donors and to promote their actions. The Library has organised many exhibitions in relation to important donations, such as the one on Gaston Leroux, de Rouetabille à Chéri-Bibi in 2008-2009. But, since 2010, a specific place is dedicated to the donors in a building on the Seine in Paris (Bibliothèque François Mitterand). Exhibitions in the ‘Donors Gallery’ are free for everyone (readers and visitors). The BNF, like the British Library, has its own association of donors, the “Association des Amis de la BNF” (Association of BNF Friends). On their website, you can make a donation online via their secure online payment facility. In March 2011, the BNF launched a new initiative to help the digitisation of its books and manuscripts in order to make them available on their digital platform called Gallica (www.gallica.bnf.fr). The BNF adapted the initiative of the British Library, Adopt a book. In return, the names of all the donors appear on Gallica for ten years. The BNF emphasises the advantages of the fiscal system related to this gift. The strategy is to define specific themes so as to reach a large public (feminism, industries and companies, or literature of the XIXth Century).

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37 To see an example of an ongoing exhibition, [Treasures of the British Library](http://www.bl.uk/onlinegallery/ttp/alice/accessible/introduction.html), for the full version of this project.

38 The exhibition was organised after the donation of the archives of the author in 2004. In fact, the family could not decide on whether it should donate its archives to the Bibliothèque nationale de France (BNF) or to the Institut Mémoires de l’Édition Contemporaine (IMEC). But, the curator in charge of the manuscripts offered to organise an exhibition of his archives. Then, the family decided to give the whole collection to the BNF.

39 [http://www.amisbnf.org/l-association-des-amis-de-la-bnf-a-l-honneur-80effcb54e4a7595858d15e80946d1e.html](http://www.amisbnf.org/l-association-des-amis-de-la-bnf-a-l-honneur-80effcb54e4a7595858d15e80946d1e.html). Accessed 21/03/2011.
Fundraising for Archives: first initiatives, successes and weaknesses

Richard J. Cox raised the problem almost twenty years ago, calling fundraising for historical records “an underdeveloped archival function"40. "Since then, nothing seems to have changed, even if a book about archival outreach, advertising and fundraising was published by Elsie Freeman Finch in 199441. Advocating Archives is a collection of articles that underline many issues related to archives, patrons, fundraising, the celebration of events or anniversaries, and marketing. Archivists would be advised to consult it since she compiled and described relevant case studies. Judy Hohmann’s article about “Money Talk42,” is really interesting for our subject. She focuses on the lack of knowledge of archivists when they face the financial resources of the private sector, while trying to find public funds to develop their projects. She points out how to find funds from corporations, foundations and individuals. She gives some strategies which can be adopted to raise money.

The comparison between libraries and archives is not so encouraging for archives. But the case of the Water Resources Archive43 in the Colorado State University Libraries is relevant for the study on fundraising for archives. It gives useful clues and evidence that such an experiment could be really successful and relevant for archives. The event was organised by libraries, but it focuses on archival collections. The project is called “Water tables”, because the fundraising campaign specifically benefits the Water Resources Archive. It highlights the need for archivists “to become fund-raising experts44.” This article is really useful, because it describes and details the event concept, its planning, the reception itself (tour, dinner, speakers), and analyses its success (impact, new donors, money collected). Patricia J. Retting points at the importance of “experiencing firsthand how dollars are spent and what impact the archive has on historical research45.” It is for her the key to success to educate people, build new relationships, strengthen the existing ones, and raise money46.

44 Ibid., p. 205.
46 Ibid., p. 216.
To study fundraising for archives more specifically is hard because of the general lack of references on the subject. The examples of archival collections from academic libraries are useful, but they do not fully explore the objectives of this study to find new ways to do fundraising, including for small archives services.

**New perspectives: funding and new technologies**

In 1969, A. Peacock underlined that “access of the arts was greatly expanded by the development of the new media.” The case of the online fundraising is mentioned in the paragraph related to libraries, above. The **websites** of archives are an important tool to promote activities of the institutions and find new donors. The development of new tools involves partnerships between institutions and companies or associations, which could provide computers, smartphones and expertise to create new software. Such is the case with the **Association Wikimedia**, which has built strong partnerships with renowned institutions such as Le Louvre or the Metropolitan Museum of Art New York, but also with local authority archives such as the **Archives municipales de Toulouse** (France). They use the Wiki framework to build a new bridge between the collections and the internet users. The initiative of the city of Toulouse is very interesting, because the archives does not have enough money to buy software and to hire new staff to put their photograph collections on their website. They decided to sign a partnership agreement with Wikimedia France to benefit from their expertise. Wikimedia France has created a virtual space in Wikimedia Commons, especially for the collections of a famous French photographer, Eugène Trutat, which are in the **Archives municipales**. Thus the foundation helps the institution improve the tool implemented. The page is linked to their catalogue and website, and to their Wikipedia page too. It offers an interactive tool and encourages collaborative research. Thanks to this innovative partnership, the archives experienced significant growth in visitors. The director decided to launch an exhibition in Toulouse and to integrate the Wiki project into it. It is a way for these local authority archives to give the archives increased publicity through the web, to reach new audiences, to attract new users, and to look for potential donors. In fact, it draws the attention

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of local donors, who could make financial contributions to the archives to build new projects (digitisation, catalogue, etc.) in the future. Social media are important in a project of fundraising because the institutions were given additional support and the opportunity to raise funds from new donors. You might also find donors to investigate new fields of research. It is the case of many national libraries such as the British Library with its exhibition “Growing Knowledge” or the Bibliothèque nationale de France with its “Labo BNF”. The institutions can benefit from their partnership with Microsoft, Orange, Bridgestone or Google, which support their projects. These companies provide them with very expensive devices. The “Labo BNF” is changing every year to adapt to technological advances. The companies are really keen to get involved in such projects, which give a certain prestige image. These projects also emphasise the expertise that these companies have developed and their quality in terms of innovation and creativity.

Conclusion

The literature review reveals the lack of references concerning archives fundraising. The archivists do not seem to be really engaged by the subject. The references underline that few case studies have been published, and they do not concern the archives collections from an archives services perspective, but usually from a library or museum perspective. The archives have to change their approach to fundraising. This article points at the lack of a proper definition for the concept of fundraising itself, and highlights the aspects of fundraising archives which can be explored in a future study: philanthropy – individuals or companies –, the search for private and public fundings, initiatives of libraries and their adaptation to the environment of the archives – events, adopt a book project. The digital era offers new opportunities for archives to support their activities, to promote the institutions and to open the access to their collections via the internet. Fundraising for archives must become one of the major issues for archivists. It offers great opportunities to develop their activities and services and to preserve archives in order to give access to a larger public.

50 http://www.growingknowledge.bl.uk/ Accessed 17/02/2011.

References

This list is the result of the search strategy described on pages 3 and 4. The references which are the most relevant from an archivist’s point of view have been used to write the literature review above.

1. General - Definition of culture and funding
2. Philanthropy - Culture
3. The place of archives: a useful comparison to libraries
4. Funding archives

1. General – Definition of culture and funding


CASEY, B., DUNLOP, R., SELWOOD, S., 1996. Culture as Commodity?: The Economics of the Arts and Built Heritage in the UK, Policy Studies Institute, 192 p.


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PHILANTHROPY - CULTURE


(---). Individual giving – a study into donor motivation.


WIEPKING, P., 2010. Democrats support international relief and the upper class donates to art? How opportunity, incentives and confidence affect donations to different types of charitable organizations, Social science research, 39(6), pp. 1073-1087.
**THE PLACE OF ARCHIVES: A USEFUL COMPARISON TO LIBRARIES**


FUNDING ARCHIVES


MLA, 2010. *Action for Archives: Strategic planning and fundraising program final evaluation*.


The references below are not linked closely to the literature review, but concern fundraising Arts and culture in the United Kingdom. It gives specific references with a focus on the Heritage Lottery Fund (HLF).

1. Funding for culture in the UK  
2. Heritage Lottery Fund  
3. Governance models

1. Funding for Arts/Culture in the UK


CASEY, BERNARD, RACHAEL DUNLOP, SARA SELWOOD, c1996. Culture as commodity?: the economics of the arts and built heritage in the UK, London : Policy Studies Institute, xxi, 185 p.


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2. HERITAGE LOTTERY FUND

ANNUAL REPORTS: www.hlf.org.uk


KINGSLEY, NICHOLAS, 1996. Archives services and the National Lottery: Meeting needs or sustaining inequalities?

3. GOVERNANCE MODELS

BOLTON, M AND COOPER, C. WITH ANTROBUS, C. LUDLOW, J AND TEBBUTT, H., Capital Matters How to build financial resilience in the UK’s arts and cultural sector Mission Models Money


MUSEUMS GALLERIES SCOTLAND, Choices for Change. Website: http://www.choicesforchange.info/