

THE BUCK STOPS HERE: FINANCIAL MANAGEMENT STRATEGIES IN
FOLK AND TRADITIONAL ARTS ORGANIZATIONS

By

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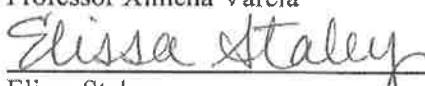
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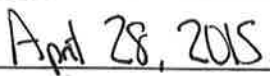


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This master's thesis is dedicated to all of the amazing women who have come before me. Three women in particular have been my inspiration and role models since I was small: Donna Hébert, Jane Rothfield, and Andy Spence. You have been there for me, taught me invaluable lessons, and given me countless opportunities. I have learned the power of quiet determination, when speaking up and being an instigator for change is the right path, and that a spine of steel is the common thread between these two different styles. I learned how to be a leader from you.

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ABSTRACT

Folk music and dance organizations are a vital part of the communities they serve. One cause of this central role they play arises from the nature of their formation. The founder typically sees a need in their community for a meeting place to sing, play, or dance. Consumed by this need, they strive to fill that vacancy. The organization's programs become a mainstay of the community. Attending one of these programs is like coming home to family, because they are family. However, despite the success of these programs, the organizations often remain in the start-up phase for years. Organizations typically operate on a shoestring budget for years, lacking the time and support to formalize operations and grow. A healthy budget with diversified revenue streams to support programming and the mission is crucial to organizational success.

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CHAPTER 1

INTRODUCTION

The National Endowment for the Arts defines the folk arts as:

rooted in and reflective of the cultural life of a community. Community members may share a common ethnic heritage, cultural mores, language, religion, occupation, or geographic region. These vital and constantly reinvigorated artistic traditions are shaped by values and standards of excellence that are passed from generation to generation, most often within family and community, through demonstration, conversation, and practice.¹

Folk music and dance organizations are a vital part of the communities they serve. One cause of this central role they play – of the community and for the community – arises from the nature of their formation. The founder typically sees a need in their community for a place to meet and sing, play, or dance. Consumed by this need, they strive to fill that vacancy. The organization's programs become a mainstay of the community – a gathering place – whether it is a yearly festival, monthly concert, bi-weekly open mic night, or a weekly dance or jam. Attending one of these programs is like coming home to family.

A few different factors are at play here, bringing about this association with family. For the standard programming, as outlined above, there are regulars who attend nearly every event (either cross events or specific to one event-type). Seeing each other week after week (or month after month) lends itself to forming strong bonds amongst attendees. However, exclusivity can have significant negative unintended consequences – regulars only consort with other regulars and do not extend the same warm greetings to new attendees. Some communities are able to balance this tight-knit family feel and welcoming new attendees with open arms, while others struggle with that balance, or simply do not seek out opportunities to grow their community

¹ “Folk & Traditional Arts | NEA.”

beyond the demographic it serves. Either approach is fine, depending on the type of organization and how they want to grow and serve their mission best, though they will impact overall growth of the organization differently. Additionally, the organization will need to match their funding strategies accordingly.

Research and articles have started to crop up in the past five to ten years regarding this idea of funding streams in multicultural and culture-specific organizations and how it differs from the benchmark – traditionally white, Eurocentric – arts. The crisis reached a tipping point just last year in San Francisco, when there was a proposal to transfer \$1 million dollars from Grants for the Arts, an organization that primarily funds the benchmark arts, and the San Francisco Arts Commission, the local arts agency that with a Cultural Equity Grants program (the Board of Supervisors and Mayor control both organizations).² And across the country, African American museums are struggling financially, in large part due to the nature of philanthropy in the U.S.³ “African American museums are under funded due to historical barriers, cultural preferences for charitable giving, institutional youth, and a dearth of professional business and museum skills.”⁴

Despite the financial pressures and funding challenges inherent in culturally specific and multicultural organizations, the programs organizations produce are typically met with a modicum of success. However, the organizations often remain in the start-up phase for years. Elizabeth Peterson headed a groundbreaking study on folk and traditional arts organizations in

² “Barry’s Blog: A Potential Deep Divide in the Arts Sector Is Brewing.”

³ “The State of Black Museums—Part I.”

⁴ Williams and Worth, “African American Museums and Financial Stability.”

the United States. In it, she references the start-up and founder-driven natures to these organizations:

Most of these organizations are still in their youth – the majority were founded well after the establishment of the National Endowment for the Arts in 1965 – and they are still driven by the passions and convictions of their founders.

In founder-director organizations it is unfortunately too easy for the organization to move directly to the decline stage with a founder exit looming. Organizations typically operate on a shoestring budget for years, lacking the time and support to formalize operations and grow. A healthy budget – one with diversified revenue streams and with enough of a cushion to carry the organization through rough patches – to support programming and the mission is crucial to organizational success. It is an area oft neglected, though, and not utilized effectively and strategically. Changing this will help facilitate a culture of financial sustainability to these organizations and ease the transition to new leadership.

One of the truly remarkable things about these organizations is the team of volunteers that assist to put on the events. These are events by and for the community; organizations take great pride in the bevy of volunteers that come to their aid in producing events. Sometimes actions are as simple as attendees picking up their chair at the end of a concert and stacking it against the wall. Other times the action or service offered is more recognizably significant:

Volunteers provided professional services and expertise of significant value...several said they've volunteered for their festival since they were teenagers or children – for 20 years or more.⁵

This mutually beneficial relationship shows how central these organizations are to their community. Throughout the year, volunteers look forward to the event and typically come out to

⁵ Silber and Rosenstein, "Live from Your Neighborhood."

other programs the organization produces throughout the year. I have seen and heard evidence of this in each city I have lived in and in each city I have visited while working on festivals.

Despite this impressive culture of volunteerism, it does not always translate to robust monetary support. Kay Sprinkel Grace writes about the three chief characteristics of donor motivations to give: connection to the organization, concern for the organization, and the capacity to give.⁶ While community members might have the connection and concern – thus donating their time and skills to the organization – they might not have the capacity to give. Wanting to discover if this observation is consistent across the sector, I decided to research the diversity of revenue streams – mainly focusing on contributed income, as the 990 Form breaks down contributed income into its smaller components (e.g.: campaigns, membership dues, grants) – in folk and traditional arts organizations. This is not an exhaustive study; many organizations are not represented due to my own qualifications and limitations in my data source (to be discussed in Chapter 3). I have also pointed out further areas of research on diversified revenue in the conclusion.

While research is being conducted on the financial sustainability of arts organization, the folk and traditional arts are typically neglected (the same can be said about research on any topic in arts management). And as Peterson points out in the introduction to her study, “studies of other areas of the arts provide little help...since traditional artists, cultural practitioners and community-based organizations are rarely counted in studies which rely on self-identification.”⁷ Some research specific to the folk and traditional arts has been conducted – the Peterson study and a study done by Carole Rosenstein, discussed later, are two of the preeminent studies done in

⁶ Grace, *Beyond Fundraising*.

⁷ Peterson, *The Changing Faces of Tradition: A Report on the Folk and Traditional Arts*.

the area – but more could be done to study folk and traditional arts organizations to see what makes them tick and how they can become more stable. When much of the documentation of these organizations remains “scattered, anecdotal and simplistic in their conceptions,”⁸ thorough understanding of how to help them become more sustainable will remain elusive.

Defining the Indefinable: Issues of Culture

Folklife, folklore, and the folk and traditional arts mean different things to different people. As an academic field of study, folklore is only around 125 years old – the American Folklore Society was founded in 1888. Since then, the definition for folklore (and later folklife) has gone through a few iterations. While scholars cannot seem to agree on a definition, they are in consensus on one thing: that no one can agree. “There are of course as many definitions of ‘folklore’ as there are scholars working in the field,” Don Yoder says in *Discovering American Folklife: Studies in Ethnic, Religious, & Regional Culture*.

Early leaders in the field – on US soil – were Benjamin A. Botkin and Richard M. Dorson. They found themselves at odds over defining folklore, and indeed, Dorson was Botkin’s harshest critic at times. Botkin was viewed as the “populizer” in his definition (*back this up*); Dorson was the purist. In his wish for folklore to be viewed as a serious, legitimate form of academic study, he was rigid in his classifications.⁹

In January 1952, Botkin and Charles Seeger came up with the following definition:

Folklore and the folk arts are a bridge between the humanities and the social sciences, a key to the understanding of and between cultures, regions, and social and economic groups.¹⁰

⁸ Ibid.

⁹ Rodgers and Hirsch, *America’s Folklorist*.

¹⁰ Ibid.

This definition was presented before the U.S. National Commission for UNESCO in a proposal to establish a panel on folklore and folk arts. It came out of a perceived “almost total neglect of the language and visual folk arts.”¹¹ In an attempt to include these areas, Botkin and Seeger broadened the definition of folklore to include them. Dorson saw this neglect and chose to keep his current definition of folklore (reserved for those traditions – typically music – orally or aurally passed to the next generation. He used the term *material culture* to refer to the tangible or tactile arts.¹²

A decade after Botkin and Seeger revised their definition, Jan Harold Brunvand provided the following guide for determining “what is folk:”

Folklorists generally associate five qualities with true folklore: (1) its content is oral (usually verbal), or custom-related or material; (2) it is traditional in form and transmission; (3) it exists in different versions; (4) it is usually anonymous; (5) it tends to be formularized.¹³

His definition adheres to Botkin and Seeger’s school of thought, as evidenced by his inclusion of “custom-related or material” in the first qualification. Already the field was leaning towards a broader definition of folklore.

By the 1970s, folklife had entered the lexicon of folklore and folklife scholars. Dissatisfied and burnt out with the narrowly-defined, overly-used, and perceived negative connotations of “folklore,” scholars started to use “folklife,” as they felt it better explained and covered the breadth of what they study. Yoder explains it as the following:

Folklife studies...is a newer holistic approach that analyzes traditional cultural elements in a complex society – whether these

¹¹ Ibid.

¹² Dorson, *Folklore and Folklife, an Introduction*.

¹³ Brunvand, *The Study of American Folklore*.

elements are defined as folk, ethnic, regional, urban, or sectarian – viewing them in the context of that larger unifying society and culture of which all subgroups and traditions are functioning parts. It can focus upon the individual, the group, single cultural traits or complexes, or the culture as a whole.¹⁴

That definition is essentially what Botkin and Seeger were getting at in the 1950s. Studying any cultural element (not just music) within the context of the larger society.

In the 1970s, Congress had to define folklife for the American Folklife Preservation Act. By 1976 – also the year of the bicentennial – the act was signed into law and the American Folklife Center was founded and placed in the Library of Congress. The act defined “American folklife” as:

...the traditional expressive culture shared within the various groups within the United States: familial, ethnic, occupational, religious, regional, expressive culture includes a wide range of creative and symbolic forms such as custom, belief, technical skills, language, literature, art, architecture, music, play, dance, drama, ritual, pageantry, handicraft; these expressions are mainly learned orally, by imitation, or in performance, and are generally maintained without benefit of formal instruction or institutional direction.¹⁵

While “folklife” took some time to be wholly adopted, by now it is the preferred term in the field.

Tracing the history of defining folklore was illuminating. Conveying what this thing I am passionate about to those not as familiar with folk arts often feels like an exercise in futility. I tend to find that people have an overly simplistic and patronizing view towards the folk arts. What tends to be missed is how rich, diverse, and complex these traditions can be. Ultimately, the most relevant definition for this study is the NEA definition for the folk and traditional arts.

¹⁴ Yoder, *Discovering American Folklife*.

¹⁵ Hufford, “American Folklife.”

While I do not know the year in which they adopted the definition they currently use, it is most similar to Congress's definition for folklife.

Like folklore and folklife, multiculturalism is a relatively new field of academic study. It is also not accurate for how it is used in this study – the study uses the adjective, not the noun, and the two parts of speech have different definitions. The adjective can be synonymous with multiethnic; the noun refers to official policy, as laid out in Western Europe, Australia, and Canada.¹⁶ The United States has had policies with multiculturalist components, but for the most part eschewed an official policy on multiculturalism when it was popular in the rest of the Western world.¹⁷

For another clarification of the difference – and overlap in usage – between multicultural and multiculturalism, Jan Nederveen Peeterse puts forth this definition in his book, *Ethnicities and Global Multiculture: Pants for an Octopus*:

[Multicultural] is the condition – a normal condition throughout the world, though at times ethnic diversity is not recognized and multiculturalism is a narrative and institutional policy framework that regulates multiethnicity in relation to the state and in terms of citizenship. In everyday use, multiculturalism also loosely refers to existing cultural diversity, so at times the two discourses fold into one another.¹⁸

Throughout, I will use multicultural when discussing an arts presentation organization that programs cross-culturally.

One last point of clarification: when “arts” is used throughout the paper, it refers to folk and traditional music, dance, crafts, and visual arts. Due to the nature of the type of organization

¹⁶ Rattansi, *Multiculturalism*.

¹⁷ Peskin, *America and the World*.

¹⁸ Nederveen Pieterse, *Ethnicities and Global Multiculture*.

I am researching, music and dance are the more typically presented art form, but crafts and visual arts can be within the realm of arts presented, especially at a festival.

CHAPTER 3

LITERATURE REVIEW

I focused on two main topics for my literature review: revenue diversification and pros and cons of endowments. While cutting expenses is generally hailed as the desired focus when balancing the budget, folk and traditional arts organizations typically are already dealing with a shoestring budget, so there is not much room for trimming without sacrificing artistic programming. Finding ways to increase things on the revenue side – either through contributed or earned income – will propel these organizations into a brighter future.

Definitions

Unrestricted surplus: equal to the change in unrestricted net assets. For organizations without an endowment, this is a suitable approximation of the organization's surplus within a fiscal year.¹⁹

Operating surplus: preferred term for an organization with an endowment, as investment income goes back into the endowment and is therefore not available for use during that fiscal year. Simply put, this is the unrestricted surplus minus investment income. Bowman et al. provide a more thorough formula for determining this number.²⁰

Operating Margin: (total revenue-total expenses)/total revenue. Corresponds to “surplus (deficit) % of revenue” charts found in analysis.

Endowment: permanently restricted funds in an organization. Endowments are the result of donor gifts specifically for its creation (or addition to). Those funds cannot be touched by the organization; only the accumulated interest can be spent.

¹⁹ Bowman, Tuckman, and Young, “Issues in Nonprofit Finance Research Surplus, Endowment, and Endowment Portfolios.”

²⁰ Ibid.

Quasi-endowment: also called a board-restricted endowment, these are unrestricted funds upon which the board places spending restrictions.

Asset reserve: another term for a quasi-endowment, as used by Mark Hager and Thomas Pollak. Because this type of investment can have the restrictions removed at the discretion of the board, they believe that referring to it as an endowment is inaccurate.²¹

Contributed income: any money that comes in through donations/fundraising efforts. Part VIII, IRS Form 990 breaks down contributed into its smaller parts: federated campaigns, membership dues, fundraising events, related organizations, government grants, other, and noncash contributions.

Earned income: program service revenue, investment income, rental income, UBI. It is more challenging to track deeper breakdowns of program services using 990. In Part VIII, IRS Form 990, the organization has the option of indicating what funds come from which program services, but whether to do so is at the organization's discretion.

Commercial nonprofit: nonprofit that generates most of their revenue from program services.

Donative nonprofit: nonprofit that generates most of their revenue through gifts.

Revenue Diversification

Much of the literature on measuring the financial vulnerability of nonprofits argues that diversifying revenue will lead to healthier, less vulnerable organizations overall. Howard Tuckman and Cyril Chang hypothesized that there are four factors that point at an organization's ability (or lack thereof) to bounce back from financial shock: inadequate equity balances,

²¹ Hager and Pollak, "Haves and Have-Nots."

revenue concentration, low administrative costs, and low operating margin.²² Building on that research, Janet Greenlee and John Trussel developed a model to predict the financial vulnerability of a nonprofit. They discovered that all indicators, save for equity balance, were statistically significant in determining financial vulnerability.²³ Greenlee and Trussel also touch on the merits of using revenue (income) or expenses (program service expenditures) to define financial vulnerability in a nonprofit. They reference prior research done on financial vulnerability in the for-profit sector, where a net revenue loss over a three-year period is the indicator for distress, and dispute the efficacy of using the same in the nonprofit sector, arguing that because nonprofits are more focused on program services, tracking net program expenses is the better indicator.²⁴

Deborah Carroll and Keely Jones Stater have more recently conducted research on revenue diversification than the prior two studies and have concluded similar things: an increased diversification of revenue leads towards greater stability overall.²⁵ They also made interesting claims regarding size (large/small), location (urban/not urban), and type (commercial/donative) of nonprofit. Their argument is that large, urban, and commercial (receiving most of their revenue through program services) organizations are less likely to be financially vulnerable. Large organizations have greater growth potential due to increased expenses (thus, increased services provided). They do not explicitly say why urban organizations are more stable, but I would surmise it is due to increased access to people for either gifts or

²² Tuckman and Chang, “A Methodology for Measuring the Financial Vulnerability of Charitable Nonprofit Organizations.”

²³ Greenlee and Trussel, “Predicting the Financial Vulnerability of Charitable Organizations.”

²⁴ Ibid.

²⁵ Carroll and Stater, “Revenue Diversification in Nonprofit Organizations.”

program service fees. Commercial organizations are considered more stable because gifts are more subject to the economic climate. On this last point, I argue that program service fees are also at the whim of the economy, as people are less likely to spend money on the arts during uncertain financial times. Gross reliance on either type of revenue, contributed or earned, is not the answer – a balance between the two will lead to greater stability overall.

Additional points made in this study concern the ratio of program expenses to total expenses versus management or funding expenses to total expenses and the implications for revenue diversification. Ratio of expenses is a hotly contested issue in nonprofit management at the moment – funders (individual or institutional) like to see that their money is being used on programs and thus fund specific projects or do not (in the case of foundations) fund overhead. However, one argument for higher nonprogrammatic expenses is that in times of financial distress, there is room to trim expenses on the administrative and fundraising side before cutting programming.²⁶ Additionally, research has also found that higher nonprogrammatic expenses lead to less program and funding disruptions overall.²⁷ Carroll and Jones Stater, on the other hand, argue that lower nonprogrammatic expenses are better for an organization because higher nonprogrammatic expenses leads to a decrease in funding, thus lessening revenue diversification and increasing financial vulnerability.²⁸

Endowments

While much of the literature on endowments examines their function and merits in large institutions – such as hospitals and universities – and foundations, endowments are often touted

²⁶ Tuckman and Chang, “A Methodology for Measuring the Financial Vulnerability of Charitable Nonprofit Organizations.”

²⁷ Keating et al., *Assessing Financial Vulnerability in the Nonprofit Sector*.

²⁸ Carroll and Stater, “Revenue Diversification in Nonprofit Organizations.”

as a marker of financial maturity in organizations. Examining arguments for and against this type of investment seems prudent when considering ways to positively affect an organization's stability and financial health.

Bowman et al. cite two major discussions happening surrounding endowments: their social value and their relationship to operations.²⁹ The arguments surrounding the social value of endowments are fascinating, and most contest the value of having an endowment. One study found that keeping funds in an endowment reduces the social value they could do today by 25% to 50%.³⁰ In other words,

For the nonprofit, holding excess cash means sacrificing opportunities to get the maximum return...from donations. Our analysis suggests that the net present value of future spending is often less than the value that would be created by investing in solving problems today.³¹

The same study also says that organizations can keep their endowment, but simply increasing the payout rate will increase the amount of social good they do in society.³² Renée Irvin also points out the potential societal distrust of nonprofits with endowments, a potential for the organization to slack on meeting community relevance because of a dependence on endowment revenue, and it leaves ultimate decision making to the elite as they are the ones contributing to an endowment.³³

²⁹ Bowman, Tuckman, and Young, "Issues in Nonprofit Finance Research Surplus, Endowment, and Endowment Portfolios."

³⁰ Bradley, Jansen, and Silverman, "The Nonprofit Sector's \$100 Billion Opportunity."

³¹ Ibid.

³² Ibid.

³³ Irvin, "Endowments."

However, an endowment can increase financial stability. Two of the primary benefits most cite for having an endowment are the consistent stream of income and its use for smoothing out variations in the budget. The endowment does not need to be excessive to enjoy these benefits either. Returning to the funding overhead idea, using the revenue generated by an endowment can be used for overhead costs.

CHAPTER 4

METHODOLOGY AND SCOPE OF WORK

One of the first challenges in starting this research was finding and determining which organizations to study. As there is no database of folk and traditional arts organizations from around the country, where do I begin? How do I determine what constitutes an organization in service of the folk and traditional arts? As previously outlined, numerous definitions for folklore abound. Knowing that the National Endowment for the Arts has a definition and qualifications they adhere to, the research started there. By looking at who has received NEA grants for folk and traditional arts projects since 1998 (as far back as the NEA grant search goes), I began to compile a list.

The NEA grants search page gives many options for how to conduct a search. Wanting to begin with as broad a list as I could, I asked for organizations only, chose “Folk & Traditional Arts” for the discipline/field, and asked for advanced results – simple results only pull the first thousand grants (Figure 1). Asking for advanced results automatically exports every result from 1998 to the present in one spreadsheet.


This generated a list of 2,151 grants, for 554 organizations, which I then had to cull. First grants to go were ones that did not list “Folk Arts” as primary field/discipline. From there, I zeroed in on “Activity Type.” While projects ran the gamut from professional support to broadcasting to arts instruction, I am most interested in presenting arts organizations. (For a full list of activity types, see Appendix C)

The largest share of grants fell into the following two presentation categories: Fairs/Festivals at 15.9% and Concert/Performance/Reading at 15.2%. While the third largest share is Arts Instruction at 9.8%, as it does not fit my requirement of being a presentation

Search for information about NEA grants awarded since 1998 using the form below. Enter data or make a selection in *at least one* of the fields to begin your search. For further information and instructions see [Frequently Asked Questions](#).


Organization Grantee Name

Individual Grantee Name
Enter a partial name, or full name as Last, First (with comma and space)

Organization or Individual 

Award Year Range From: To:

Keywords
(Searches Grantee, Organization, Org Popular Name, Project Description(s))

City 

State

Zip ☐ Radius (mi.):

Congressional District
(Select a state to enable this box)

Grant Number


Disciplines/Fields

<input type="checkbox"/>	Visual Arts
<input type="checkbox"/>	Design
<input checked="" type="checkbox"/>	Folk & Traditional Arts
<input type="checkbox"/>	International
<input type="checkbox"/>	Literature
<input type="checkbox"/>	Local Arts Agencies




Grant Categories

<input type="checkbox"/>	Access
<input type="checkbox"/>	Access to Artistic Excellence
<input type="checkbox"/>	American Masterpieces
<input type="checkbox"/>	Art Works
<input type="checkbox"/>	Art Works: Research

Sort Options

Select Field(s) to sort by: 

Grantee Name - Ascending
Fiscal Year - Descending

☐ Simple Results (Limited to 1000 results, Displayed in Grid)

☒ Advanced Results (Unlimited results, All Fields, Export Only)

Note: Some data in a grant record (e.g., organization name, project description, congressional district) will reflect changes since the award was made (due to name changes, project amendments, congressional redistricting, etc.). Only current data will be shown in search results.

Figure 1: Screenshot Taken of NEA Grants Search Page, February 2, 2015.
Red boxes highlight criteria asked for.

category, I chose not to include them in my research. Focusing on these two categories resulted in a list of 257 presenting arts organizations that sought and received NEA grants, but there were still organizations that did not suit my requirements.

For some of the organizations on this list, their primary function is not in the service of the preservation or promotion of cultural heritage – e.g., colleges and universities and religious programs, with the exception of the John C. Campbell Folk School in North Carolina. For organizations that serve a preservation or promotion of cultural heritage role, if presentation was not a primary way for them to do so, I did not include them. This includes government departments, such as a Parks and Recreation Department, and grant-giving organizations/foundations who only give out grants. Some such organizations give out grants only as one aspect of their work and do presenting of their own in service of their mission.

I am interested in folk and traditional arts presenters; however, only those that solely book external artists. Of the 96 organizations left (after taking out universities, grant-giving organizations, governmental departments), 41 organizations were dance troupes and music ensembles that teach their respective culture's dance and/or music. While they do fall under the guise of an arts presenters, because their primary function is instruction in their tradition I was not interested in studying them at the moment. While I value their purpose and impact in society, I am more interested in studying the groups who would program them.

Paring down the list to solely arts presentation organizations – and ones with 2012 990s – produced a list of 50 organizations with 185 grants between them (95 Fair/Festival and 90 Concert/Performance/Reading). Noting that the organizations appeared to be clumping geographically, I plotted all the organizations on a map (Appendix B). As I suspected, the two largest clusters are in the Northeast Corridor (fourteen organizations) and between Los Angeles

and San Francisco (sixteen organizations). The next largest cluster is in the South (eleven organizations).

Other items I looked at were what cultures the organization presents. The breakdown was an even split: 25 organizations are what I deemed as culture-specific and 25 are multicultural. 15 distinct cultures are represented by the culture-specific organizations. Within the culture-specific organizations, five present Indian arts and four present American Indian arts. Two would more aptly be described as genre-specific, not culture-specific: Birthplace of Country Music Alliance and the Carter Family Memorial Music Center. If following the same classification system as Carole Rosenstein in her paper, *Culture Heritage Organizations: Nonprofits That Support Traditional, Ethnic, Folk, and Noncommercial Popular Culture*, three organizations would be classified as Hispanic organizations: Clemente Soto Velez Cultural & Educational Center, Mexican Heritage Corporation, and the Regional Organization of Oaxaca.

Rosenstein uses the US census-recognized ethnicities and racial groups to divide up the organizations she studied. For my purposes, in determining whether one of my organizations is culture-specific or multicultural, using only six categories (Asian, Black/African-American, European, Hispanic, Native American, All other) does not provide sufficient options for classification. However, she points out that most analyses of ethnic, cultural, and folk organizations compared with their race or ethnic population groups typically use the US ancestry classifications.³⁴ Using the ancestry classifications avoids the problems some of the problems associated with the census classifications. For example, “other” is a catchall category for everyone not covered by the other five; Middle Eastern, Yiddish/Jewish diaspora, and Brazilian are all in the same group of “other”. However, problems with the ancestry classifications also

³⁴ Rosenstein and others, “Cultural Heritage Organizations.”

exist: “African” is one category and specific countries do not appear in the listing, yet European countries are listed separately (in addition to broader categories, such as “Scandinavian, Western European, Northern European, etc.).³⁵ This could be explained by population size, however, as the report only lists ancestries with more than 100,000 people in 2000.

I used 2012 990 forms to gather financial data. There were too few 2013 990s via GuideStar – additionally, while some 990s were labeled as 2013 on GuideStar, I opened them only to discover they were from 2012. Another source of differences in level of detail was due to which 990 an organization fills out. 16 of the organizations are small enough to fill out a 990-EZ form. This means their gross receipts from the year total no more than \$200,000 and their total assets are no more than \$500,000. The 990-EZ captures broad details for the organization and does not ask for more detailed information.

For the purposes of my research, the greatest area of relevancy is in the reporting of revenue. On the 990, organizations are not only required to report how much they receive in contributed income and earned income, but then are required to break down contributed income into they different types of contributions: federated campaigns, membership dues, fundraising events, related organizations, government grants, all other, and non-cash contributions. Additionally, the 990 requires organizations to report endowment income; the 990-EZ does not, though it is unlikely an organization of that size would have an endowment. Organizations filing the 990-EZ are also not required to list the number of employees and volunteers, while the 990 requires board size, staff size, and number of volunteers.

³⁵ Brittingham and De La Cruz, *Ancestry*.

CHAPTER 5

ANALYSIS: THE NORTHEAST CORRIDOR, THE SOUTH, & THE WEST

For this chapter and the next, budget size varies widely across organizations. All graphs use percentages of revenue, so they do not reflect dollar amounts of contributed and earned income.

Operating Margin

The Northeast Corridor (Figure 2) and the South (Figure 3) have the highest number of organizations with positive operating margins. The West (Figure 4) has the highest number of organizations with negative operating margins, and alarmingly, two of the organizations have expenses that nearly double their revenue (the Japanese American Cultural and Community Center with -92% and Tucson Meet Yourself, Inc. with -98%). In the South, of the three organizations with negative operating margins, two organizations have operating expenses that exceed -25% (Carter Family Memorial Music Center, Inc. with -28% and Texas Folklife Resources with -47%). On the positive operational side, it is again the South and the West with outliers: two organizations in the South generate revenue that nearly doubles their expenses (the Birthplace of Country Music Alliance with 87% and the International Accordion Festival with 93%) and in the West, the Regional Organization of Oaxaca has an operational margin of 65%. Barring these outliers, all three regions have organizations with operating margins that range between -25% and 25%.

Revenue Diversification

Analysis of revenue diversification in these regions reveals an interesting picture. In the Northeast Corridor (Figure 5), there is a steady decrease from the organization with the highest amount of

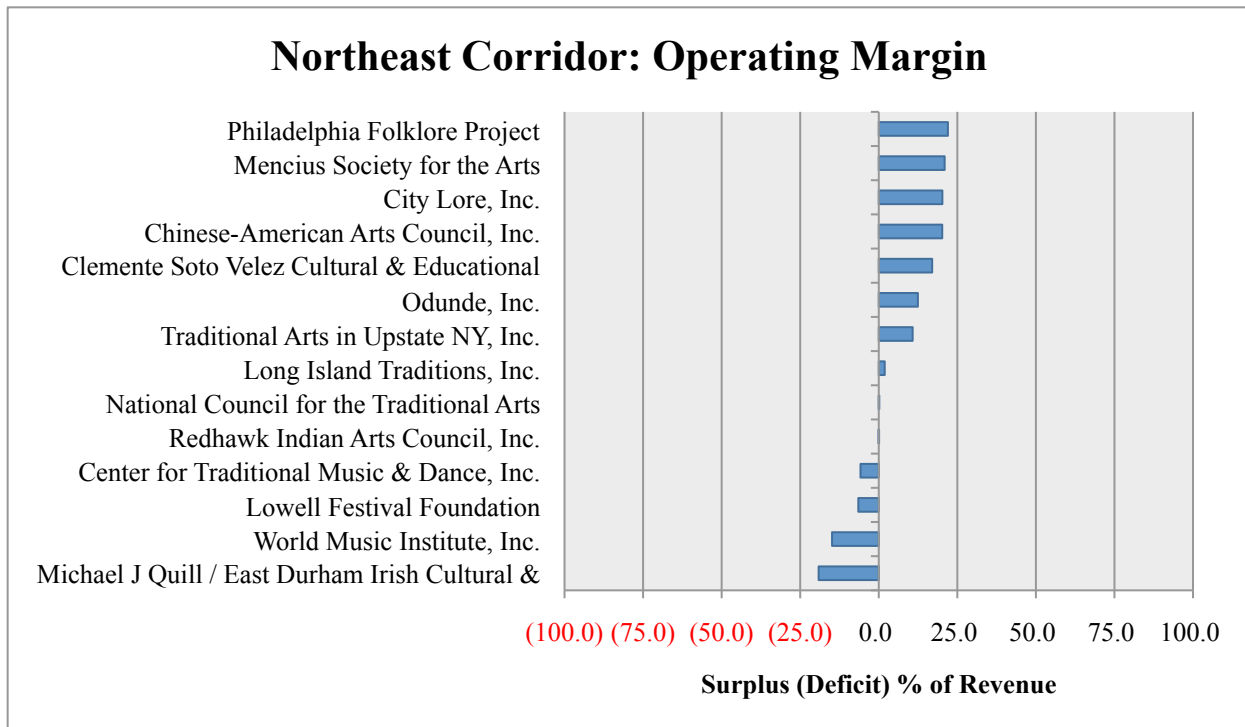


Figure 2: Operating Margin for Organizations in the Northeast Corridor.

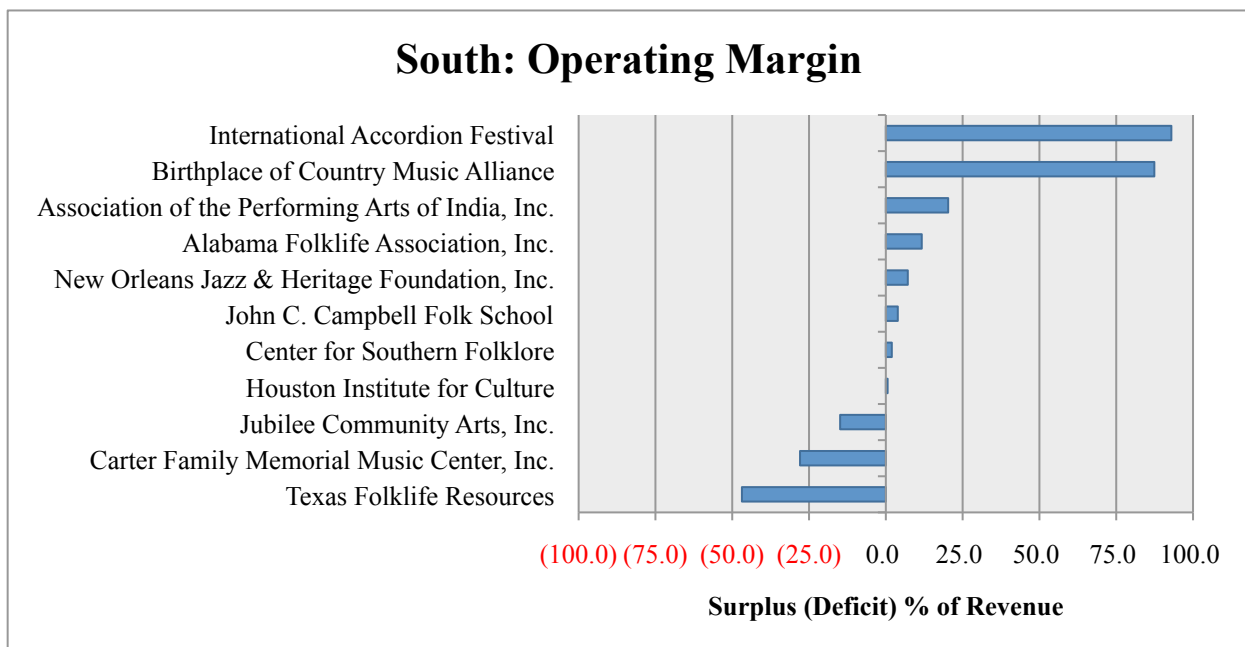


Figure 3: Operating Margin for Organizations in the South.

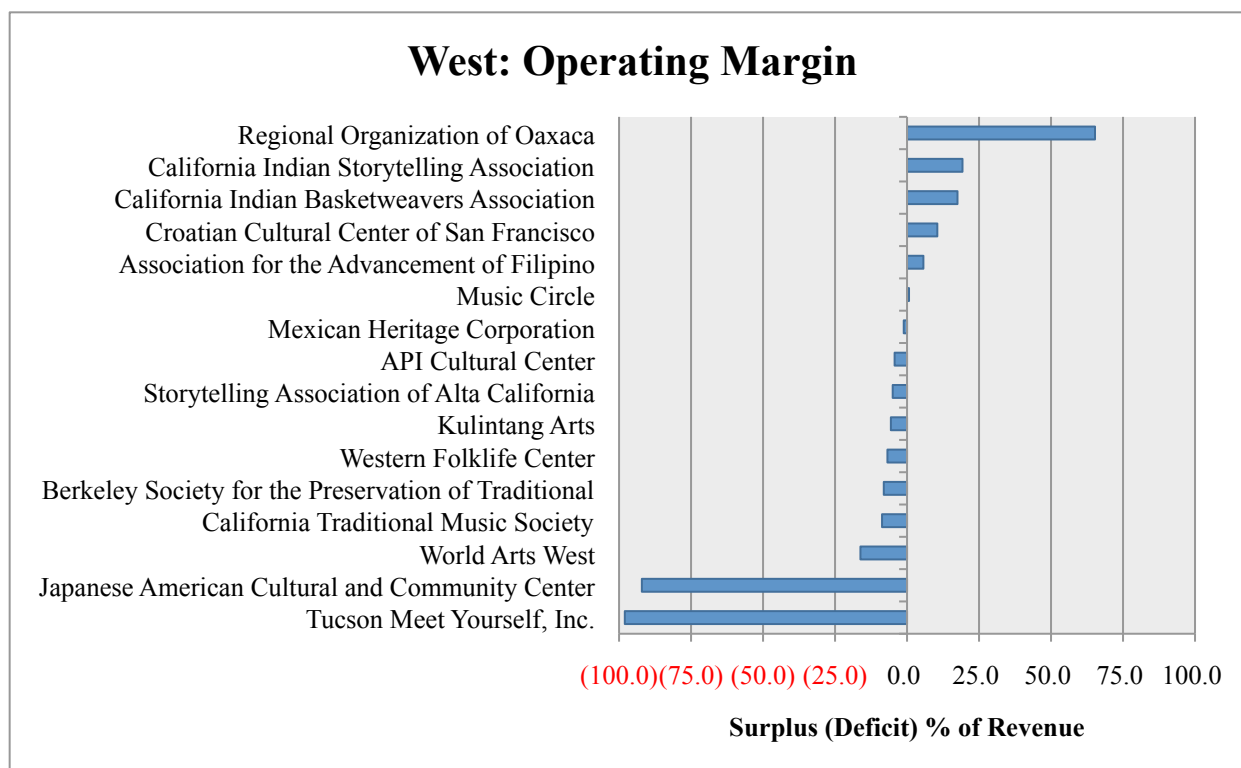


Figure 4: Operating Margin for Organizations in the West.

contributed income to the organization with the least. Following that descent, the organizations tend to have more diversified revenue as the percentage of contributed income decreases; however, that is not the case for all of the organizations. Of the five organizations (of 14) with the highest operating margin (Philadelphia Folklore Project, Mencius Society for the Arts, City Lore, Inc., Chinese-American Arts Council, Inc., and Clemente Soto Velez Cultural & Educational Center, Inc.), three generate more than 75% of their revenue from contributions. For the other two, one generates 62% of its income from “other” (the 990 does not require sources of this revenue to be specified), and the last organization generates 73% of its revenue from program services.

In the South (Figure 6), six organizations (of 11) generate more than 75% of their revenue from contributions. There is a sharp drop in percentage of contributions, and revenue generated from contributions versus program services flips for the last four organizations. Of the

five organizations with the highest operational margin (International Accordion Festival, Birthplace of Country Music Alliance, Association of the Performing Arts of India, Inc., Alabama Folklife Association, and New Orleans Jazz & Heritage Foundation, Inc.), four of them are also in the top five organizations with highest percentages of contributed income. New Orleans Jazz & Heritage Foundation, Inc. has the lowest percentage of contributed income. Another thing to note about these five organizations is organization size. New Orleans Jazz & Heritage Foundation, Inc. was the largest organization looked at in this study. Their total revenue in 2012 was \$32,303,540. International Accordion Festival was the smallest. Their total revenue in 2012 was \$5,064. Their total revenue is 0.3% of New Orleans Jazz & Heritage Foundation, Inc.'s contributed income.

Like the Northeast Corridor, the West (Figure 7) also showed a steady decrease in percentage of contributed income. Only five organizations (of 16) had a positive operating margin (Regional Organization of Oaxaca, California Indian Storytelling Association, California Indian Basketweavers Association, Croatian Cultural Center of San Francisco, and Association for the Advancement of Filipino American Arts & Culture). Four of these organizations generate more than 75% of their revenue from contributions. Association for the Advancement of Filipino American Arts & Culture generates 64% of its revenue from contributions.

No organizations in these three regions displayed much diversity in revenue streams. Most relied heavily on either contributed or earned income. Within contributed income, it would be interesting to see what the breakdown is between federated campaigns, membership dues, fundraising events, related organizations, government grants, other, and noncash contributions, but there is only data on this for some of the organizations, as the 990-EZ does not include this report. However, for the organizations that file a 990 in the Northeast Corridor, they display a

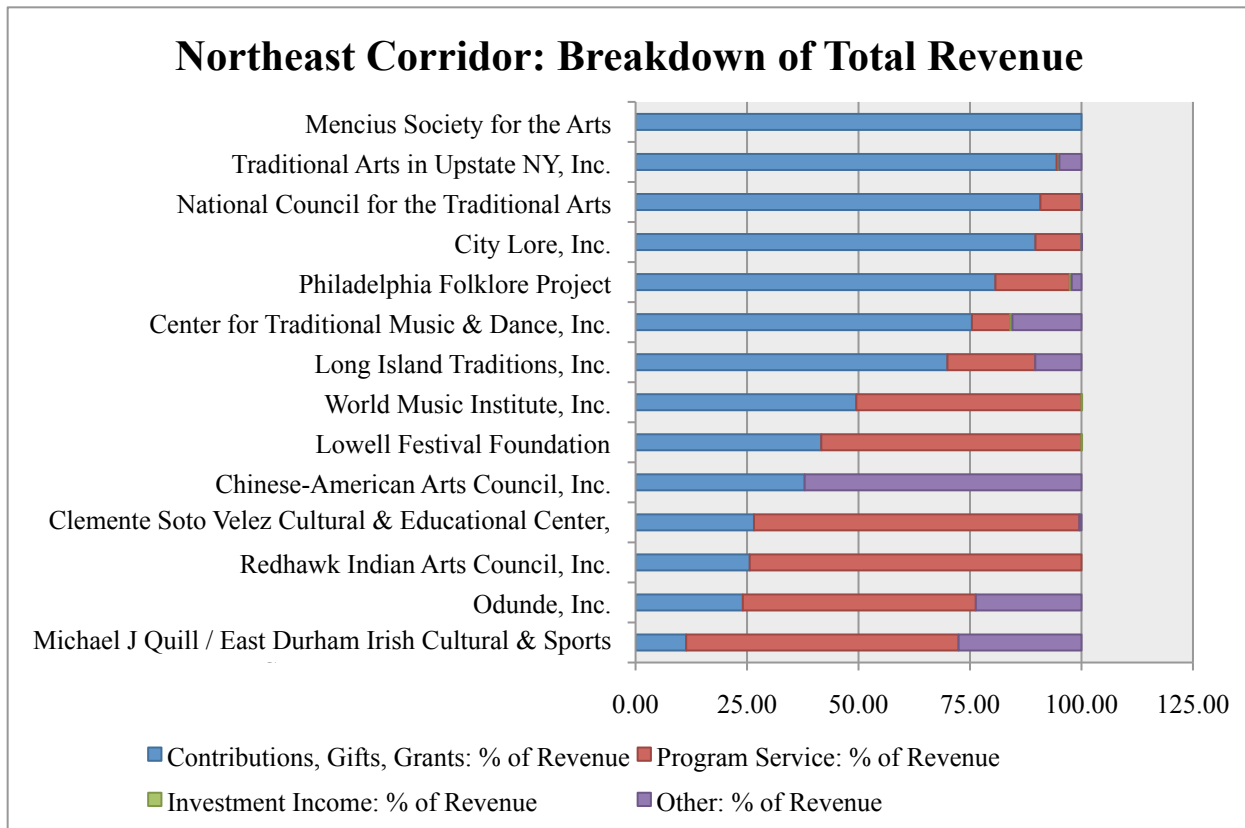


Figure 5: Breakdown of Total Revenue into Contributed and Earned Income. Northeast Corridor.

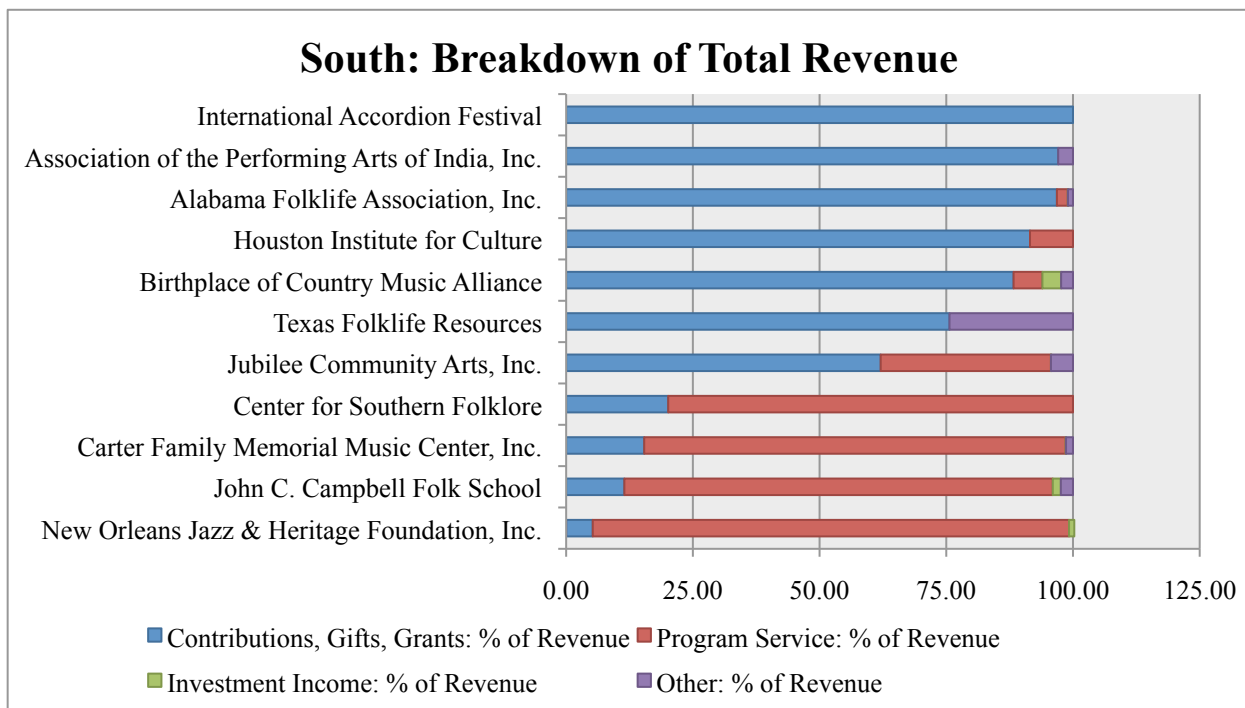


Figure 6: Breakdown of Total Revenue into Contributed and Earned Income. South.

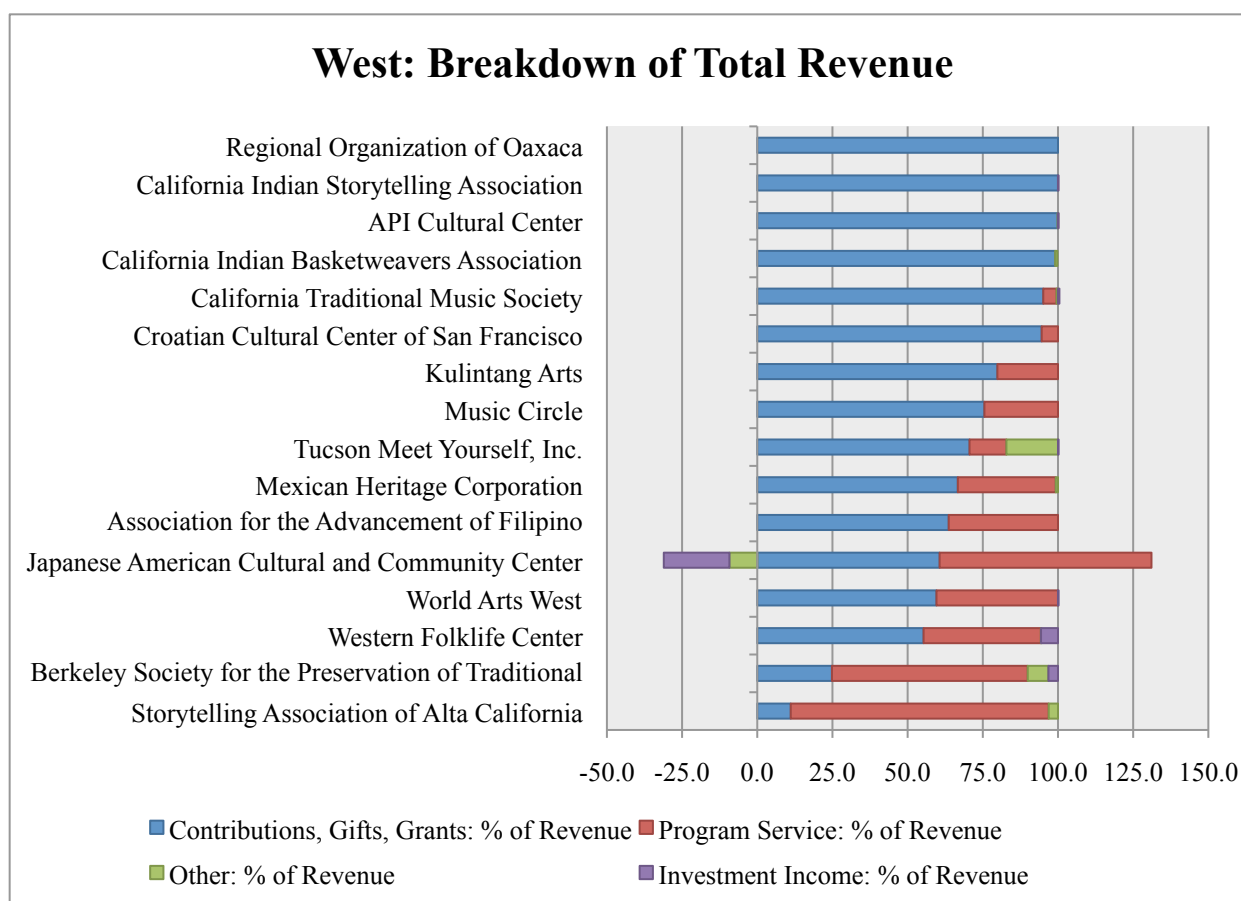


Figure 7: Breakdown of Total Revenue into Contributed and Earned Income. West.
The Japanese American Cultural and Community Center lost money on investments and fundraising events in 2012.

reliance on membership dues, government grants, and other (Table 1). The South and the West primarily rely on government grants and other, with a few who also take in membership dues and hold fundraising events (Table 2 and Table 3).

Endowments

City Lore, Inc. is the only organization in the North with an endowment. It is also generated the most revenue in 2012 (\$3,086,250) and had a 20% operation margin. 90% of its revenue came from contributions; 10% came from program services. Carter Family Memorial Music Center and New Orleans Jazz & Heritage Foundation, Inc. are the only organizations in the South with an endowment. Carter Family Memorial Music Center had the sixth highest total

revenue in 2012 (\$161,481) and a -28% operating margin. 15% of its revenue came from contributions; 83% came from program services. As aforementioned, New Orleans Jazz & Heritage Foundation, Inc. is the largest organization in the South and had a 7% operating margin. 5% of its revenue came from contributions; 94% came from program services.

Board Giving

Given the data sources used in this study, it is challenging to draw conclusions regarding board giving. While the 990 does ask questions surrounding governance, the organization is not required to report levels of board giving or even if board members are required to give. However, the 990 (though not the 990-EZ) does require the organization to provide board size and staff size. In the Northeast Corridor, board and staff are small. The largest board has 26 members; the staff for the organization is 7 people. The largest staff is one of 40 people; its board has 16

Table 1. Breakdown of Contributions, Gifts, and Grants for Organizations Along the Northeast Corridor

Organization	Membership Dues	Government Grants	All other
Center for Traditional Music & Dance, Inc.	12,283	268,409	237,629
Chinese-American Arts Council, Inc. *990-EZ			
City Lore, Inc.	7,066	1,698,116	1,062,813
Clemente Soto Velez Cultural & Educational Center, Inc.		227,998	3,145
Long Island Traditions, Inc. *990-EZ			
Lowell Festival Foundation		213,034	298,311
Mencius Society for the Arts *990-EZ			
Michael J Quill / East Durham Irish Cultural & Sports Centre, Inc.	2,670		48,304
National Council for the Traditional Arts		696,763	676,983
Odunde, Inc. *990-EZ			
Philadelphia Folklore Project	13,475	92,842	300,286
Redhawk Indian Arts Council, Inc.			54,345
Traditional Arts in Upstate NY, Inc.	135,615	290,225	19,731
World Music Institute, Inc.	22,825	161,215	336,511

Table 2. Breakdown of Contributions, Gifts, and Grants for Organizations in the South

Organization	Membership Dues	Fundraising Events	Government Grants	All other
Alabama Folklife Association, Inc. *990-EZ				
Association of the Performing Arts of India, Inc.		18,922	26,522	8,888
Birthplace of Country Music Alliance			4,079,480	383,131
Carter Family Memorial Music Center, Inc.			5,405	19,468
Center for Southern Folklore				72,450
Houston Institute for Culture *990-EZ				
International Accordion Festival *990-EZ				
John C. Campbell Folk School			82,500	466,495
Jubilee Community Arts, Inc. *990-EZ				
New Orleans Jazz & Heritage Foundation, Inc.	54,047	260,189	47,250	1,333,775
Texas Folklife Resources	6,340			202,178

Table 3. Breakdown of Contributions, Gifts, and Grants for Organizations in the West

Organization	Membership Dues	Fundraising Events	Government Grants	All other
API Cultural Center		15,165	95,124	197,155
Association for the Advancement of Filipino American Arts & Culture			26,500	124,148
Berkeley Society for the Preservation of Traditional Music, Inc.			11,000	499,643
California Indian Basketweavers Association *990-EZ				
California Indian Storytelling Association *990-EZ				
California Traditional Music Society *990-EZ				
Croatian Cultural Center of San Francisco			77,530	31,755
Japanese American Cultural and Community Center	45,735	505,192	25,400	196,843
Kulintang Arts			74,878	42,344
Mexican Heritage Corporation		5,530	106,633	257,270
Music Circle	14,596		16,100	16,085
Regional Organization of Oaxaca *990-EZ				
Storytelling Association of Alta California *990-EZ				
Tucson Meet Yourself, Inc.			14,000	94,607
Western Folklife Center	119,755		161,274	769,659
World Arts West			202,000	208,959

members, 5 of whom are independent voting members. The smallest board has 5 members, 2 of whom are independent. In the South and West, similar ranges of board and staff sizes appear. It is possible to extrapolate that the majority of these boards are working boards. Further research would be to survey these boards and acquire more information on trends in board fundraising requirements.

Multicultural vs. Culturally Specific Organizations

The Northeast Corridor was the only region with a more even split of multicultural and culturally specific organizations (Table 4). This factor did not have an affect on operating margin; however, for revenue breakdown, five of the six culturally specific organizations generated less than 50% of their revenue from contributions. In the South, three of the four culturally specific organizations had a positive operating margin in 2012, and two of the four generated less than 25% of their revenue from contributions (New Orleans Jazz & Heritage Foundation was one of these organizations). In the West, the five organizations with positive operating margins were all culturally specific.

Across the three regions, multicultural organizations used membership dues as a source of funding more than culturally specific organizations. In the South and West, only five organizations held fundraising events in 2012; four of them were held by culturally specific organizations.

Table 4. Multicultural and Culturally Specific Organizations by Region

Region	Multicultural	Culturally Specific
Northeast Corridor	8	6
South	7	4
West	6	10

CHAPTER 6

ANALYSIS: THE MIDWEST & THE PACIFIC NORTHWEST

The same notes on budget size from the prior chapter apply here as well. While the range from smallest to largest organization is not as extreme in these two regions, there are still varying sizes of organizations in these next two regions. Additionally, the sample size here is too small for definite conclusions on trends in the region as my methods for data selection resulted in four Midwest organizations and five Pacific Northwest organizations.

Theories on board giving in the Northeast Corridor, South, and West apply here as well. While the sample size is too small to posit that the majority is one type of board or another, the thoughts on board fundraising requirements remain true.

Operating Margin

Both regions had only one organization with an negative operating margin, and in neither case are they on the same scale as the Northeast Corridor, South, or West. In the Midwest (Figure 8), Folklore Village Farm, Inc. had an operating margin of -5.5%. In the Pacific Northwest (Figure 9), Northwest Folklife had an operating margin of -2.7%. Positive operating margins did not exceed 15% in either region. In the Midwest, Cedar Cultural Center, Inc. had an operating margin of 8.3%. In the Pacific Northwest, Celtic Arts Foundation and RASIKA had operating margins of 13.3% and 13.2%, respectively. Interesting to note, Cedar Cultural Center, Inc. generated the most revenue in 2012 in the Midwest, and in the Pacific Northwest, Northwest Folklife generated the most revenue. Both organizations' total revenue was a little more than \$1 million, while the next closest was \$250,000 (Midwest) and \$480,000 (Pacific Northwest).

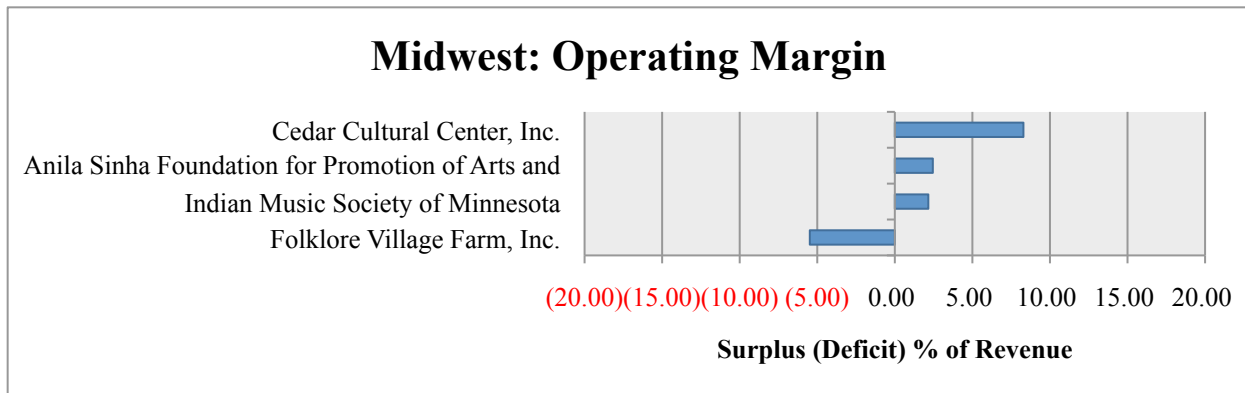


Figure 8: Operating Margin for Organizations in the Midwest.

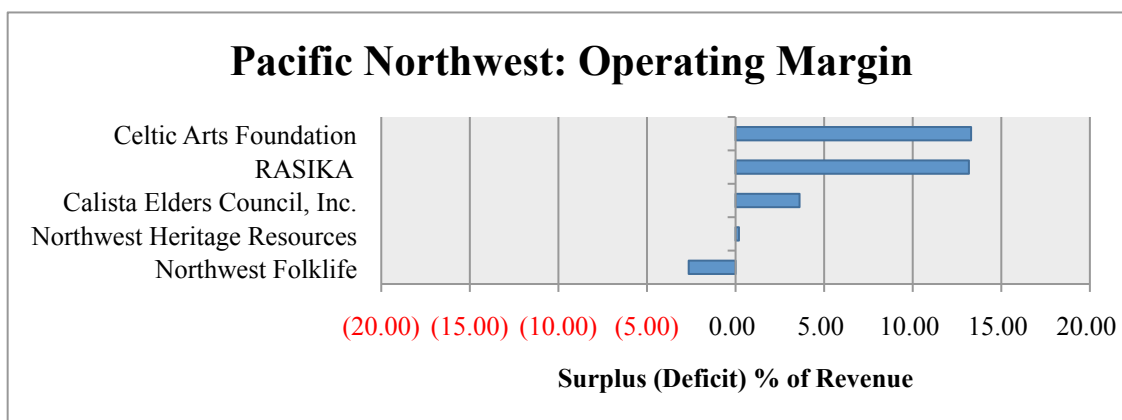


Figure 9: Operating Margin for Organizations in the Pacific Northwest.

Revenue Diversification

The four organizations in the Midwest (Figure 10) display the most balanced and diverse revenue streams. The Pacific Northwest (Figure 11) follows the same pattern as the Northeast Corridor and the West. It would be interesting to see how that changes with a larger data pool. One thing to note is that in the Pacific Northwest, Celtic Arts Foundation and RASIKA had the best operating margins, and contributed income made up a smaller percentage of their revenue than program services.

For a deeper look at the breakdown of contributions, the same problem from before occurs: the 990-EZ does not require this reporting. However, the data for the Midwest and Pacific Northwest are presented in Table 5 and Table 6. While the Midwest and three of the four

Pacific Northwest organizations followed the same pattern from before of only two or three sources of funding, RASIKA obtained funds from five sources. They also had one of the best operating margins in the Pacific Northwest.

Endowments

One organization in these two regions had an endowment: Celtic Arts Foundation. They were the other organization in the Pacific Northwest with the best operating margin.

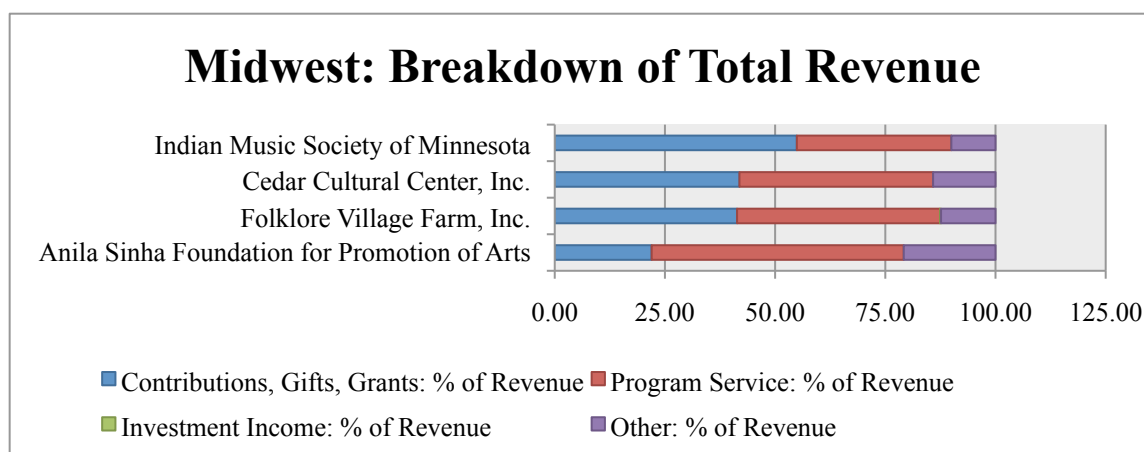


Figure 10: Breakdown of Total Revenue into Contributed and Earned Income. Midwest.

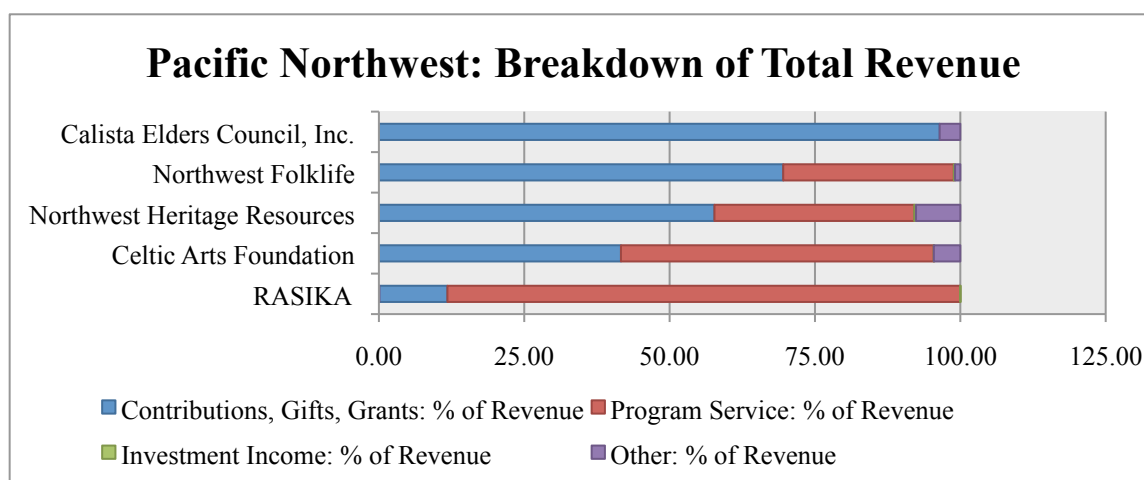


Figure 11: Breakdown of Total Revenue into Contributed and Earned Income. Pacific Northwest.

Table 5. Breakdown of Contributions, Gifts, and Grants for Organizations in the Midwest

Organization	Federated Campaigns	Government Grants	All other
Anila Sinha Foundation for Promotion of Arts and Culture of India *990-EZ			
Cedar Cultural Center, Inc.		146,843	497,445
Folklore Village Farm, Inc.	1,000	3,840	99,387
Indian Music Society of Minnesota *990-EZ			

Table 6. Breakdown of Contributions, Gifts, and Grants for Organizations in the Pacific Northwest

Organization	Federated Campaigns	Membership Dues	Related Organizations	Government Grants	All other
Calista Elders Council, Inc.				268,491	
Celtic Arts Foundation		9,005		25,580	165,411
Northwest Folklife				49,070	784,367
Northwest Heritage Resources *990-EZ					
RASIKA	920	9,425	500	20,083	5,360

Multicultural vs. Culturally Specific Organizations

No trends emerged to distinguish multicultural organizations from culturally specific organizations. However, in the Pacific Northwest, the three culturally specific organizations (Celtic Arts Foundation, RASIKA, and Calista Elders Council, Inc.) had the best operating margins.

Table 7. Multicultural and Culturally Specific Organizations by Region

Region	Multicultural	Culturally Specific
Midwest	2	2
Pacific Northwest	2	3

CHAPTER 10

CONCLUSION & FURTHER RESEARCH

Folk and traditional arts organizations in the U.S. are a complex field to study. Due to the lack of infrastructure surrounding the field – complicated definitions of folklore, a philanthropic culture that does not support the folk and traditional arts, no database for folk and traditional arts organizations – determining which organizations to study is difficult.

Because I limited myself to the NEA grants database, these organizations demonstrate at the very least the time to assemble the materials necessary to apply for an NEA grant, in addition to meeting the parameters the NEA adheres to when awarding grants for the folk and traditional arts. I would be curious to discover if and how these organizations' funding mix might differ from the organizations not receiving NEA grants. Do they find themselves relying heavily on program service revenue, unable to upgrade/transfer their community members and volunteers from loyal attendees to donors? Since these organizations are likely too small to have a development department (even of one), what can the board do to increase individual contributions or foundation support? Is corporate giving something the community they serve would approve of?

The research presented in this study could be expanded upon to develop a more robust survey of the field. While a few trends emerge, especially regarding the sources of funding for organizations, sample sizes are too small to say anything conclusive. In addition to the questions above, further research on boards and board relationship with the executive director would enhance the research presented in this study.

APPENDIX A

SELECTED LIST: ORGANIZATIONS RECEIVING GRANTS FOR FAIR/FESTIVAL & CONCERT/PERFORMANCE/READING CATEGORIES, 1998-PRESENT

Financials: drawn from 2012 IRS 990 Form

Mission Statements: drawn from websites; GuideStar if mission not on website, or if unclear.

Alabama Folklife Association, Inc.

Irondale, AL

Revenue: \$139,260

Expenses: \$122,974

Surplus (Deficit): \$16,286

The AFA is a 501(c)(3) nonprofit organization created in 1980 to document, preserve, and promote the folkways of Alabama through research, education, and programs. A partner program of the Alabama State Council on the Arts, the AFA fulfills the mission through funding scholarly research and the Archive of Alabama Folk Culture; presenting and disseminating folk and traditional arts through CDs, publications, programs, exhibits, and web sites; and providing scholars, authors, artists, and educators with the resources, skills, and tools to enhance their contributions and carry out projects consistent with the mission of the AFA. The AFA works to promote social media and web sites, traditional artists, festivals, folkways, and local organizations and institutions dedicated to the field.

<http://www.alabamafolklife.org/>

Anila Sinha Foundation for Promotion of Arts and Culture of India

Elk Grove Village, IL

Revenue: \$93,610

Expenses: \$91,317

Surplus (Deficit): \$2,293

The Anila Sinha Foundation's mission is to preserve, foster, and promote the performing arts of India, particularly classical music and dance. The Foundation plans to achieve its mission by organizing and funding programs, concerts, workshops, and conferences concerning classical Indian music and dance. The Foundation has opened a school of Kathak dance in the Chicagoland area, Kathak Nrityakala Kendra (Academy of Kathak Dance and Music), to offer opportunities for students to learn this art form. Furthermore, the Anila Sinha Foundation plans to collaborate with local music and dance institutions for cultural exchange and the cross-training of students. Hence, the medium of performing arts would serve to enhance global understanding.

<http://asfkathak.net/home.html>

API Cultural Center

San Francisco, CA

Revenue: \$307,876

Expenses: \$321,171

Surplus (Deficit): (\$13,295)

APICC's mission is to support and produce multi-disciplinary art reflective of the unique experiences of Asian Pacific Islanders living in the United States.

<http://www.apiculturalcenter.org/>

Association for the Advancement of Filipino American Arts & Culture

Los Angeles, CA

Revenue: \$236,633

Expenses: \$223,197

Surplus (Deficit): \$13,436

Embracing the value of KAPWA (shared being), the Association for the Advancement of Filipino American Arts and Culture's (also known as FilAm ARTS) mission is to facilitate

community synergy and transformation by advancing the arts and diverse cultural heritage of Filipinos through arts services, presentation, and education.

With five public programs - the Annual Festival of Philippine Arts & Culture, the statewide Pilipino Artists Network, the arts education program - Eskuwela Kultura, the Buy Pinoy Campaign, and the Saysay Project, FilAm ARTS believes in the power of the arts to overcome language barriers and build community through cultural diversity.

<http://www.filamarts.org/>

Association of the Performing Arts of India, Inc.

Pembroke Pines, FL

Revenue: \$55,963

Expenses: \$44,605

Surplus (Deficit): \$11,358

The Association of Performing Arts of India is a federal exempt organization 501(c)(3)31-1613301 founded in June 1998. All our committee members and Board of Directors are working as volunteers. Our goal is to promote Indian classical music and dance through lecture-demonstration and concerts. There are classes given in sitar (a stringed instrument), tabla (Percussion) and dance (bharatnatyam). We are located in Pembroke Pines, Florida.

<http://www.apaiart.com/>

Berkeley Society for the Preservation of Traditional Music, Inc. (The Freight & Salvage Coffeehouse)

Berkeley, CA

Revenue: \$2,056,282

Expenses: \$2,222,389

Surplus (Deficit): (\$166,107)

The Freight & Salvage Coffeehouse is a nonprofit community arts organization dedicated to promoting public awareness and understanding of traditional music—music that is rooted in and expressive of the great variety of regional, ethnic, and social cultures of peoples throughout the world. We are supported by your attendance, grants, musicians' benefit performances, volunteer efforts, and your generous tax deductible donations.

<http://www.thefreight.org/>

Birthplace of Country Music Alliance

Bristol, VA

Revenue: \$5,055,059

Expenses: \$636,494

Surplus (Deficit): \$4,418,565

To tell the story of the music and cultural heritage of the region, its role in the birth and development of country music, and its influence on music around the world.

<http://www.birthplaceofcountrymusic.org/>

California Indian Basketweavers Association

Woodland, CA

Revenue: \$147,638

Expenses: \$121,775

Surplus (Deficit): \$25,863

We are California Indians, mostly women, who weave baskets made from native plant materials in the traditions of their tribes. Just a decade ago, this rich heritage was in danger of dying out. Destruction of plant habitats, pesticide use in gathering areas, and loss of access to gathering sites limited our opportunities to tend plants and gather materials. The demands of family life and the struggle to make a living left little time for weaving, let alone teaching younger weavers.

We are working to reverse this trend and provide an environment where this rich cultural heritage may thrive.

<http://www.ciba.org/>

California Indian Storytelling Association

Fremont, CA

Revenue: \$36,323

Expenses: \$29,330

Surplus (Deficit): \$6,993

CISA is committed to providing a storytelling forum for the indigenous people of the Americas.

<http://www.cistory.org/>

California Traditional Music Society

Encino, CA

Revenue: \$28,643

Expenses: \$31,129

Surplus (Deficit): (\$2,486)

CTMS is a nonprofit dedicated to the support and dissemination of the traditional music, dance and art of Southern California's diverse communities. Its programs include production of festivals and other public events, community education, and services to artists.

Calista Elders Council, Inc.

Anchorage, AK

Revenue: \$278,381

Expenses: \$268,327

Surplus (Deficit): \$10,054

The Calista Elders Council (CEC) is a non-profit organization representing the 1,300 Yup'ik tradition bearers of the Yukon-Kuskokwim delta in southwest Alaska. It is the major research organization for the region, including a population of more than 23,000, and is active in documenting the traditional knowledge of the Yup'ik people.

<http://www.yupikscience.org/cec/>

Carter Family Memorial Music Center, Inc.

Hiltons, VA

Revenue: \$161,481

Expenses: \$206,579

Surplus (Deficit): (\$45,098)

The Carter Family Memorial Music Center, a non-profit organization, serves fans and supporters of old-time country and folk music through the presentation of weekly performances at the Carter Family Fold, in Hiltons, Virginia. It also honors the memory of the first family of country music, the legendary Carter Family (A.P. Carter, Sara Carter, and Maybelle Carter), whose first recordings (in 1927) are credited with giving birth to the commercial country music industry.

<http://www.carterfamilyfold.org/>

Cedar Cultural Center, Inc.

Minneapolis, MN

Revenue: \$1,537,173

Expenses: \$1,409,742

Surplus (Deficit): \$127,431

The Cedar's mission is to promote inter-cultural appreciation and understanding through the presentation of global music and dance. The Cedar is committed to artistic excellence and integrity, diversity of programming, support for emerging artists, and community outreach.

<http://www.thecedar.org/>

Celtic Arts Foundation

Mount Vernon, WA

Revenue: \$480,406

Expenses: \$416,533

Surplus (Deficit) \$63,873

To sponsor, encourage and promote Celtic culture through events and educational activities.

<http://celticarts.org/>

Center for Southern Folklore

Memphis, TN

Revenue: \$359,773

Expenses: \$352,775

Surplus (Deficit) \$6,998

Celebrating the arts, music, and heritage of the South from the cultural crossroads of Memphis.

<http://www.southernfolklore.com/>

Center for Traditional Music & Dance, Inc.

New York, NY

Revenue: \$687,128

Expenses: \$727,085

Surplus (Deficit): (\$39,957)

The Center for Traditional Music and Dance works to celebrate and strengthen the practice of the traditional performing arts of immigrant and ethnic communities residing in the New York metropolitan area. Through its cultural equity efforts, the Center affirms the value of cultural diversity as an essential component of our national identity.

<http://www.ctmd.org/>

Chinese-American Arts Council, Inc.

New York, NY

Revenue: \$193,247

Expenses: \$154,224

Surplus (Deficit): \$39,023

Chinese American Arts Council was established in 1975 to meet the cultural needs of the expanding Chinese community in New York City. It aims to preserve the Chinese heritage within its own community and to introduce its culture to the greater New York community.

Today it is the largest Chinese American arts presentation and service organization in the Eastern US. It presents many events annually at Lincoln Center, Chinatown and other locations in NY City and is recognized by New York city and state agencies as the arts liaison including but not limited to the Chinese American community.

<http://www.caacarts.org/dp/>

City Lore, Inc.

New York, NY

Revenue: \$3,086,250

Expenses: \$2,461,584

Surplus (Deficit): \$624,666

Founded in 1986, City Lore's mission is to foster New York City – and America's – living cultural heritage through education and public programs. We document, present, and advocate for New York City's grassroots cultures to ensure their living legacy in stories and histories, places and traditions. We work in four cultural domains: urban folklore and history; preservation; arts education; and grassroots poetry traditions. In each of these realms, we see ourselves as furthering cultural equity and modeling a better world with projects as dynamic and diverse as New York City itself.

<http://citylore.org/>

Clemente Soto Velez Cultural & Educational Center, Inc.

New York, NY

Revenue: \$870,365 Expenses: \$722,451 Surplus (Deficit): \$147,914

Cultivation, presentation and preservation of Puerto Rican and Latino culture in a multi-cultural and inclusive manner, housing and providing artists and performance events that fully reflect the cultural diversity of the Lower East Side and New York City as a whole.

<http://www.csvcenter.org/>

Croatian Cultural Center of San Francisco

San Francisco, CA

Revenue: \$115,545 Expenses: \$103,396 Surplus (Deficit): \$12,149

The Croatian Cultural Center of San Francisco organizes cultural programs that preserve and reflect the artistic traditions of Croatia and the Balkan region's ethnic groups.

<http://www.slavonicweb.org/>

Folklore Village Farm, Inc.

Dodgeville, WI

Revenue: \$251,963 Expenses: \$265,772 Surplus (Deficit): (\$13,809)

Folklore Village creates opportunities for individuals and communities to celebrate, experience and support ethnic and traditional folklife. Folklore Village offers an ongoing program of cultural, educational and participatory folklife activities in rural Southwest Wisconsin, serving regional communities and the Upper Midwest.

<http://folklorevillage.com/>

Houston Institute for Culture

Houston, TX

Revenue: \$122,635 Expenses: \$121,920 Surplus (Deficit): \$715

To achieve higher quality of life standards, Houston Institute for Culture promotes cultural knowledge and experience through public programs, and innovative approaches to social change through education about cultural influences - history, media, religion, arts, environment, and economics. The organization improves cultural literacy and cross-cultural participation through free and low-cost events featuring traditional arts, creative expression and modern media. It inspires social innovation through forums, community dialog and meaningful social interaction to increase community involvement and circulate the best, most effective ideas.

<http://www.houstonculture.org/>

Indian Music Society of Minnesota

Minneapolis, MN

Revenue: \$37,696 Expenses: \$36,882 Surplus (Deficit): \$814

The mission of IMSOM is to foster in the citizens of Minnesota an understanding and appreciation of the music of an ancient culture that has a rich heritage namely, the culture of India. Through an understanding and appreciation of the values of another culture, fellowship between different nations and culture is furthered.

<http://www.imsom.org/>

International Accordion Festival

San Antonio, TX

Revenue: \$5,064

Expenses: \$357

Surplus (Deficit): \$4,707

The mission of the International Accordion Festival is to present and explore these connections and differences, to celebrate the instrument's local identity and global reach, to preserve and present the accordion music traditions of ethnic, regional and national cultures worldwide and to educate audiences about the many related free-reed instruments central to these musics.

<http://www.internationalaccordionfestival.org/>

Japanese American Cultural and Community Center

Los Angeles, CA

Revenue: \$1,274,838

Expenses: \$2,448,737

Surplus (Deficit): (\$1,173,899)

The mission of the JACCC is to present, perpetuate, transmit and promote Japanese and Japanese American arts and culture to diverse audiences, and to provide a center to enhance community programs.

<http://www.jaccc.org/>

John C. Campbell Folk School

Brasstown, NC

Revenue: \$4,779,713

Expenses: \$4,593,573

Surplus (Deficit): \$186,140

The John C. Campbell Folk School, Inc. strives to provide experiences in non-competitive learning and community life that are joyful and enlivening.

<https://www.folkschool.org/>

Jubilee Community Arts, Inc.

Knoxville, TN

Revenue: \$133,411

Expenses: \$153,253

Surplus (Deficit): (\$19,842)

Jubilee Community Arts (JCA) is a regional, community cultural center dedicated to preserving and presenting the traditional arts of the Southern Appalachians. We began operating as an arts presenter in Knoxville in 1969 and received 501(c)3 status in 1980. The organization's stated mission is "to promote, preserve and present the performing arts of the Southern region and to nurture the cultural milieu responsible for the birth and evolution of these and related art forms." JCA serves two overlapping constituencies: 1) rural, predominately European- and African-American communities of East Tennessee, and 2) the more ethnically diverse communities of the Knoxville metropolitan area.

<http://www.jubileearts.org/>

Kulintang Arts

San Francisco, CA

Revenue: \$146,801

Expenses: \$155,044

Surplus (Deficit): (\$8,243)

To inform and expand the understanding of American Pilipino culture and preserve the spirit and integrity of ancient Pilipino art forms. We produce innovative artistic works; foster mentorship among emerging and established artists; facilitate local and international collaborations; design and implement educational outreach programs for elementary through college age students; lead cultural tours to the Philippines; and more.

<http://kularts.org/wp/>

Long Island Traditions, Inc.

Port Washington, NY

Revenue: \$100,291

Expenses: \$98,392

Surplus (Deficit): \$1,899

Long Island Traditions documents local architecture, from beach bungalows and bay houses to garden apartments and farm buildings. As fishermen and farmers disappear, we fight for the preservation of Long Island's contemporary maritime and farming culture throughout the region.

To recognize and pay tribute to Long Island's diverse ethnic cultures, we support Irish stepdance, African American quilting, gospel and blues music, Jewish klezmer music, Native American stories and crafts, and the traditions of recent immigrants from Central and South America, India and Asia.

Through field interviews and oral histories, we seek to break down the barriers that divide us, so that we can share in the power and excellence of our family traditions.

<http://www.longislandtraditions.org/>

Lowell Festival Foundation

Lowell, MA

Revenue: \$1,227,570

Expenses: \$1,307,468

Surplus (Deficit): (\$79,898)

The Lowell Festival Foundation is a volunteer based non-profit organization which promotes and enriches the cultural life for the people of Greater Lowell through musical, social, and educational programming. This is accomplished through community partnerships and a strong, active core of volunteers.

<http://www.lowellfestivalfoundation.org/>

Mencius Society for the Arts

New York, NY

Revenue: \$45,062

Expenses: \$35,615

Surplus (Deficit): \$9,447

Mencius Society for the Arts (MSA) is devoted to the performance and education of cultural arts in the multicultural context of America. Drawing inspiration from the Chinese philosopher, Mengzi (better known in the west as 'Mencius'), MSA seeks to foster the spirit of discipline and self-cultivation that is Unique to the Chinese tradition of learning, with emphasis on the total contract of "master-and-disciple" and the life time devotion of the "practitioner".

<http://www.menciussociety.org/eng/mencius/>

Mexican Heritage Corporation

San Jose, CA

Revenue: \$491,768

Expenses: \$497,403

Surplus (Deficit): (\$5,635)

The mission of the MHC is to affirm, celebrate and preserve the rich cultural heritage of the Mexican community and showcase multicultural arts within the region.

<https://vivafest.org/>

Michael J Quill Irish Cultural & Sports Centre, Inc.

East Durham, NY

Revenue: \$449,102

Expenses: \$535,061

Surplus (Deficit): (\$85,959)

The Michael J. Quill Irish Cultural & Sports Centre, Inc. is a 501 (c)(3) educational non-profit corporation founded in 1987 in the hamlet of East Durham, New York. Its mission is to promote and preserve the cultural and artistic heritage of the Irish and those of Irish descent.

We are also active in encouraging and promoting the development of younger artists who will carry their heritage with them into the next century.

While dedicated to maintaining the traditional aspects of our past, the Centre will present to the public a variety of Irish cultural programs, both historic and contemporary, in fine arts, language, literature, theater, music, dance and folk arts.

<http://mjquillculturalcenter.com/>

Music Circle

Pasadena, CA

Revenue: \$61,934

Expenses: \$61,509

Surplus (Deficit): \$425

To foster awareness, appreciation, and understanding of the classical music of India—one of the world's great musical treasures—by providing a supportive and inspiring platform for the its leading exponents, especially for those emerging and acclaimed artists destined to be tomorrow's masters.

<http://www.musiccircle.org/>

National Council for the Traditional Arts

Silver Spring, MD

Revenue: \$1,512,958

Expenses: \$1,513,578

Surplus (Deficit): (\$620)

The National Council for the Traditional Arts (NCTA) is a non-profit organization dedicated to the presentation and documentation of folk and traditional arts in the United States. Founded in 1933, it is the nation's oldest producing and presenting organization with such a focus. Its programs celebrate and honor deeply rooted cultural expressions – music, dance, crafts, rituals and stories passed on through time in families, communities, tribal, ethnic, regional and occupational groups. Traditional arts have proven to be a force for cultural cohesion and social understanding in the complex, culturally diverse communities of our nation. In the 21st century, this force will be essential to our democratic society. These are the vibrant, living cultural treasures of the American people and, as such, will play a central role in the future health of all American communities.

<http://ncta-usa.org/>

New Orleans Jazz & Heritage Foundation, Inc.

New Orleans, LA

Revenue: \$32,303,540

Expenses: \$29,993,556

Surplus (Deficit): \$2,309,984

To promote, preserve, perpetuate and encourage the music, arts, culture and heritage of communities in Louisiana through festivals, programs and other cultural, educational, civic and economic activities.

<http://www.jazzandheritage.org/>

Northwest Folklife

Seattle, WA

Revenue: \$1,198,521 Expenses: \$1,230,242 Surplus (Deficit): (\$31,721)

Northwest Folklife creates opportunities for all to celebrate, share, and participate in the evolving cultural traditions of the Pacific Northwest.

<http://www.nwfolklife.org/>

Northwest Heritage Resources

Lake Forest Park, WA

Revenue: \$103,963 Expenses: \$103,765 Surplus (Deficit): \$198

To promote cultural heritage.

<http://www.northwestheritageresources.org/>

Odunde, Inc.

Philadelphia, PA

Revenue: \$148,581 Expenses: \$130,093 Surplus (Deficit): \$18,488

ODUNDE, Inc. is a world-renowned cultural organization whose mission is to serve the need for cultural enrichment in the African American community.

<http://odundefestival.org/>

Philadelphia Folklore Project

Philadelphia, PA

Revenue: \$503,788 Expenses: \$392,983 Surplus (Deficit): \$110,805

Our focus is to build critical folk cultural knowledge, sustain vital and diverse living cultural heritage in communities in our region, and create equitable processes and practices for nurturing local grassroots arts and humanities.

<http://www.folkloreproject.org/>

RASIKA

Portland, OR

Revenue: \$307,842 Expenses: \$267,295 Surplus (Deficit): \$40,547

rasika is a dynamic nonprofit, organization, incorporated in the State of Oregon with federal exempt 501(c) (3) status. rasika was founded with a mission of promoting and educating Indian arts and culture in the state of Oregon. In addition to presenting premier Classical Carnatic music and dance concerts by celebrated artists of India, rasika 's goal is also to introduce Indian arts, crafts and culture, to the children through lectures, demonstrations by visiting artists, workshops and summer heritage camp. The distinguishing feature of this organization is its mission to reach out to the local community and bring both entertainment and education/outreach of the Indian arts and culture to the State of Oregon.

<http://www.rasika.org/>

Redhawk Native American Arts Council, Inc.

Brooklyn, NY

Revenue: \$212,213 Expenses: \$212,432 Surplus (Deficit): (\$219)

The Redhawk Native American Arts Council is a not for profit organization founded and maintained by Native American artists and educators residing in the New York City area. Since

1994, the Council is dedicated to educating the general public about Native American heritage through song, dance, theater, works of art and other cultural forms of expression. The council represents artists from North, South, Central American, Caribbean and Polynesian Indigenous cultures.

<http://redhawkcouncil.org/>

Regional Organization of Oaxaca

Covina, CA

Revenue: \$17,632

Expenses: \$6,124

Surplus (Deficit): \$11,508

The Regional Organization of Oaxaca (ORO) is a 27 year old community sustained organization whose mission is to promote and preserve indigenous Oaxacan culture in California. ORO preserves and promotes Oaxacan culture in Los Angeles through the organization of cultural events and artistic activities, such as the Guelaguetza Festival in unison with the indigenous communities and dance groups that they represent. In addition, ORO has also created a scholarship fund that has been awarded to various students to pursue a higher education.

<http://www.guelaguetzaoro.com/>

Storytelling Association of Alta California

Berkeley, CA

Revenue: \$33,676

Expenses: \$35,354

Surplus (Deficit): (\$1,678)

To promote Storytelling as a living art. Grow and nurture small storytelling groups; create opportunities for communities to hear storytellers from many cultures; disseminate information about traditional and contemporary storytelling; and cultivate storytelling opportunities through networking, training and education.

<http://www.storysaac.org/>

Texas Folklife Resources

Austin, TX

Revenue: \$275,671

Expenses: \$404,807

Surplus (Deficit): (\$129,136)

Texas Folklife is a statewide non-profit organization dedicated to preserving and presenting the diverse cultures and living heritage of the Lone Star State. For 29 years, Texas Folklife has honored the cultural traditions passed down within communities across Texas and explored their importance in contemporary society. Texas Folklife has been called “one of the state’s true cultural treasures” by the Austin American-Statesman for the accessible, joyful arts experiences we provide.

<http://www.texasfolklife.org/>

Traditional Arts in Upstate NY, Inc.

Canton, NY

Revenue: \$471,768

Expenses: \$420,907

Surplus (Deficit): \$50,861

Traditional Arts in Upstate New York is a non-profit organization dedicated to helping people understand and appreciate the folk traditions and local culture of everyday life--present and past--in the North Country. To do so, TAUNY seeks to research and preserve a record of diverse groups, customs and traditions; to recognize and empower traditional arts and artists; to identify and promote regional identity; and to provide opportunities for people of all ages to learn about folklore and local culture.

<http://tauny.org/>

Tucson Meet Yourself, Inc.

Tucson, AZ

Revenue: \$153,844

Expenses: \$304,619

Surplus (Deficit): (\$150,775)

To research, document, interpret and present the living traditional arts and expressions of everyday life of the folk and ethnic communities of the multi-national Arizona-Sonora region.

<http://www.tucsonmeetyourself.org/>

Western Folklife Center

Elko, NV

Revenue: \$1,899,614

Expenses: \$2,029,024

Surplus (Deficit): (\$129,410)

The Western Folklife Center is dedicated to exploring, presenting and preserving the diverse and dynamic cultural heritage of the American West. We celebrate the wisdom, artistry and ingenuity of western folkways through exhibitions, educational programs, national radio and television programs, research and preservation projects, our website, and our premier event, The National Cowboy Poetry Gathering. We nurture connections among rural and ranching cultures globally, exploring universal themes in working traditions and artistic expression, which we believe are vital links to the past, present and future of the American West.

<http://www.westernfolklife.org/>

World Arts West

San Francisco, CA

Revenue: \$689,539

Expenses: \$801,135

Surplus (Deficit): (\$111,596)

Our mission is to support artists sustaining the world's diverse dance traditions by providing needed services and performance opportunities, and provide the general public with opportunities to experience and learn more about world arts and cultures.

World Arts West serves as the hub for over 450 dance companies based in Northern California that are collectively sustaining over 100 dance forms from around the world.

<http://worldartswest.org/>

World Music Institute, Inc.

New York, NY

Revenue: \$1,051,495

Expenses: \$1,207,820

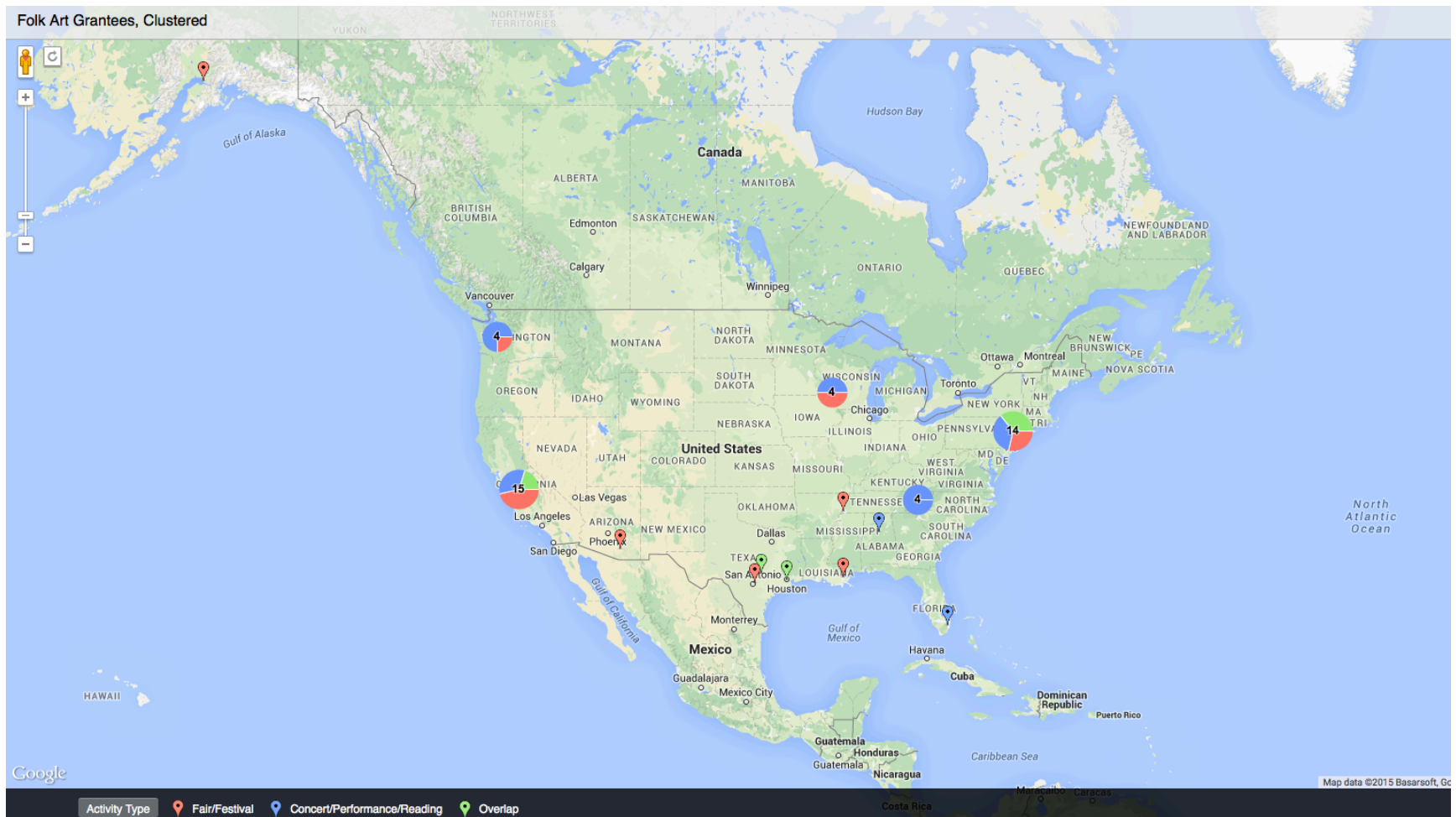
Surplus (Deficit): (\$156,325)

World Music Institute inspires wonder for world cultures through music and dance. Through powerful programming, WMI is creating a movement that promotes awareness and engagement of other cultures, helping to foster deeper understanding of communities around the globe.

<http://worldmusicinstitute.org/>

APPENDIX B

MAP OF ORGANIZATIONS IN THE U.S.



APPENDIX C

NATIONAL ENDOWMENT FOR THE ARTS – FOLK ARTS GRANTEES BY ACTIVITY TYPE

The two activity types with the largest share of grants are in bold face.

Activity Type	Percentage
Apprenticeship	8.8%
Arts Instruction	9.8%
Artwork Creation	2.2%
Broadcasting	1.5%
Building International Understanding	0.1%
Building Public Awareness	5.1%
Concert/Performance/Reading	15.2%
Curriculum Development/Implementation	0.4%
Distribution of Art	0.3%
Exhibition	4.5%
Fair/Festival	15.9%
Identification/Documentation	7.6%
Marketing	0.0%
None of the Above	2.2%
Other Residency	1.5%
Presenting/Touring	0.8%
Professional Development/Training	2.4%
Professional Support - Administrative	6.1%
Professional Support - Artistic	2.2%
Publication	0.2%
Recording/Filming/Taping	1.8%
Repair/Restoration/Conservation	0.9%
Research/Planning	1.6%
School Residency	0.8%
Seminar/Conference	2.3%
Technical Assistance	1.6%
Web Site/Internet	1.2%

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