

**Evaluation of the Essex National Heritage Commission
Findings Document**

**Prepared by the Center for Park Management
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1. Introduction

1.1. National Heritage Areas & Coordinating Entities

National Heritage Area (NHA) is a designation given by the United States Congress to identify an area because it is believed to have authentic places and landscapes that collectively represent a unique, nationally important American story. The size of a NHA is congressionally mandated and there are no legislated standards or requirements for an area to receive this designation. An NHA is intended to encourage historic preservation and an appreciation of the area's unique natural, cultural, historic, and scenic resources that have been shaped by an area's geography and history of human activity. Sometimes these are places that are struggling financially to establish sustainable preservation, conservation, and interpretation of their story.

Congressional designation of a NHA establishes a boundary around a collection of places, landscapes, organizations, municipalities, private homes and businesses. A coordinating entity is the organization within that boundary that is tasked with bringing together diverse interests, goals and activities, resources and efforts to collectively define and work toward common goals. The coordinating entity is mandated to coordinate the development and implementation of a management plan that accomplishes the objectives defined in the heritage area's enabling legislation. They also manage the heritage area's funds, and receive funding through an allocation process from the National Park Service (NPS). While the coordinating entity is often a state agency, local university, local government or nonprofit, they engage working groups with balanced representation of diverse interests, disciplines, backgrounds and ethnicities to plan and implement the actions that meet the required standards of the heritage area's legislation and plans. Examples include elected officials, nonprofit practitioners, business representatives, librarians, historians, naturalists, landscape architects, educators, government representatives, and civic organization leaders.

1.2. Purpose of Evaluation

Enacted on May 8, 2008, Public Law 110-229, directs the Secretary of the Interior to evaluate the nine National Heritage Areas that were established in the Omnibus Parks Act of 1996 no later than three years before the date on which authority for Federal funding terminates (September 30, 2009 for the Essex National Heritage Commission (ENHC)). The purpose of this evaluation is to inform the Secretary's report to Congress, and the actual language from Public Law 110-229 is as follows:

(a) In General. For the nine National Heritage Areas authorized in Division II of the Omnibus Parks and Public Lands Management Act of 1996, not later than 3 years before the date on which authority for Federal funding terminates for each National Heritage Area, the Secretary shall—

- (1) conduct an evaluation of the accomplishments of the National Heritage Area; and
- (2) prepare a report in accordance with subsection (c).

(b) Evaluation. An evaluation conducted under subsection (a)(1) shall—

- (1) assess the progress of the local management entity with respect to—
 - (A) accomplishing the purposes of the authorizing legislation for the National Heritage Area; and
 - (B) achieving the goals and objectives of the approved management plan for the National Heritage Area;

(2) analyze the investments of Federal, State, Tribal, and local government and private entities in each National Heritage Area to determine the impact of the investments; and

(3) review the management structure, partnership relationships, and funding of the National Heritage Area for purposes of identifying the critical components for sustainability of the National Heritage Area.

(c) Report. Based on the evaluation conducted under subsection (a)(1), the Secretary shall submit a report to the Committee on Natural Resources of the United States House of Representatives and the Committee on Energy and Natural Resources of the Senate. The report shall include recommendations for the future role of the National Park Service, if any, with respect to the National Heritage Area.

1.3. Methodology, Roles & Context

In order to comply with the Congressional mandate, the NPS sought an outside organization to help develop a neutral, unbiased evaluation. In January 2009, NPS and the Center for Park Management (CPM) signed a statement of work to develop an evaluation methodology and conduct the first three evaluations. CPM's mission is to assist the NPS in promoting and enhancing leadership and management capacity within the service as a nonprofit under the umbrella of the National Parks Conservation Association (NPCA). NPCA is an independent, nonpartisan member organization that works to address major threats facing the National Park System. CPM's work with NPS was funded through a grant that NPCA received from the Robertson Foundation.

The NPS and CPM formed a Working Group and sought expertise from an Evaluation Committee as defined in Section 1.3.2. The evaluation methodology, role of each party, and context within which the evaluation was conducted are described in the following subsections.

1.3.1. Methodology

The CPM evaluation team worked with multiple project stakeholders to devise an evaluation methodology¹ that: (1) built on existing research to the extent possible, (2) avoided duplication of other work, and (3) maximized the potential of the evaluation to measure specific outcomes of Essex National Heritage Commission's (ENHC's) activities over a ten-year period of time.

The following three questions—derived from the Congressional mandate—guided the evaluation:

- 1) Based on its authorizing legislation and general management plan, has ENHC achieved its proposed accomplishments?
- 2) What have been the impacts of investments made by Federal, State, Tribal, and local government and private entities?

¹ The evaluation of ENHC was a pilot evaluation. After the evaluation the evaluation methodology and report format were revised. As such, the evaluation structure/content and report format used in the ENHC evaluation will differ in some regards from future evaluations.

- 3) How do the Heritage Area's management structure, partnership relationships, and current funding contribute to its sustainability?

Ultimately, a multi-faceted evaluation strategy was designed to answer the evaluation questions and provide data for ENHC to use in improving its capacity and accomplishing programmatic goals. The following sections describe each phase of the evaluation.

SITE INTRODUCTION AND BACKGROUND RESEARCH

During the initial phases of the evaluation process CPM contacted ENHC's executive director to discuss preliminary planning details and initial background research requests. Over the course of one onsite, face-to-face meeting, three scheduled conference calls and several informal phone conversations in October and November 2008, CPM introduced the evaluation team, the evaluation methodology, and the roles and responsibilities of all parties. ENHC was presented with an evaluation plan (see Appendix C) that explained the methodology, limitations, timeline and project stakeholders. The CPM evaluation team was provided with background materials, including ENHC's feasibility study, financial documents, marketing materials, general management plan, titled *Essex National Heritage Area Plan* (Area Plan), and spent several weeks becoming familiar with ENHC's activities and programs. CPM travelled to ENHC for an on-site meeting designed to further discuss the evaluation process and better understand ENHC's stakeholders and programs.

DETERMINING THE SCOPE OF THE EVALUATION

This evaluation covers the period from ENHC's inception (1996) through December 2008, and is subject to the limitations described in Appendix C. During the first week of December 2008, the CPM evaluation team traveled to ENHC again to facilitate on-site focus groups designed to collaboratively identify activities ENHC engaged in (either on its own or in partnership), and the subsequent accomplishments of those activities. The process of identifying program activities and their intended accomplishments, or outcomes, is called "logic modeling". The result of these focus group sessions was the creation of logic models. Logic models are systematic and visual ways to link short-term and long-term outcomes with an organization's program activities (W.K. Kellogg Foundation, 2004). The logic modeling sessions provided several benefits to the evaluation process. For example, the process of collaboratively developing logic models provided greater focus to the evaluation, clarified the important variables needed to achieve the desired outcomes, helped in the development of program outcomes (short-term and long-term; quantitative and qualitative) and allowed the stakeholders and evaluators to develop a shared understanding and clarity about ENHC programs.

Each focus group was convened to discuss one of the five elements of the ENHC Area Plan: (1) heritage programming, interpretation, and education, (2) preservation and resource stewardship, (3) heritage development and infrastructure, (4) marketing and public outreach, and (5) planning and design.² During the focus group sessions, a logic model for each Area Plan element was created. Focus groups were attended by ENHC staff, partners, executive committee members, and Commissioners. The resulting logic models (see Appendix G), provided the evaluation team with rich insights on the current manifestations of actions and goals in each of the Area Plan's program elements.

After the focus groups, the evaluation team compiled the data generated into logic models for each programmatic area and sent the models to ENHC for review. After receipt of ENHC's comments and edits, the evaluation team began to transform these frameworks into tools for collecting data.

² During discussions with staff and focus groups, it became apparent that ENHC has folded the "Planning and Design" category into "Preservation and Resource Stewardship." This change was made in the final logic models, and is consistent throughout this report.

COLLECTING DATA

The CPM evaluation team used information gathered during the background document review, informal conversations with ENHC staff, and focus groups to develop specific measures, or indicators for each ENHC accomplishment. These measures were then incorporated into several data collection instruments designed to assess accomplishments, investments, and critical components of sustainability, per the evaluation mandate. These instruments were also tailored to produce quantitative and qualitative data in equal amounts. Data collection began in January 2009. Data and information for this evaluation came from five sources:

- 1) Online Community Survey designed to assess the extent to which NHA accomplishments have been realized among residents and community organizations
- 2) Thirty interviews conducted with ENHC partners and non-partners
- 3) Organizational capacity assessment survey distributed to 17 ENHC staff and trustees and followed up by in-depth, 90-minute interviews with those who completed the assessment
- 4) An analysis of ENHC’s financial audits, IRS form 990 returns, and internal accounting records
- 5) An in-depth review of relevant documents including but not limited to legislation, strategic plans, programmatic materials, annual reports, marketing and outreach materials, bylaws, development materials, and board briefings.

Figure 1-1 outlines the CPM evaluation team’s methodology in relation to the areas of Congressional interest, and the type of data collected.

Figure 1-1. CPM Evaluation Team Methodology

CPM METHODOLOGY	AREA OF CONGRESSIONAL INTEREST	TYPE OF DATA COLLECTED
Document review	Accomplishing the purpose of the authorizing legislation Achieving the goals and objectives of the approved management plan	Qualitative
Partner Interviews (30 interviews)	Analyze the investments of Federal, State, Tribal, and local government and private entities in each NHA Review the partnership relationships Achieving the goals and objectives of the approved management plan	Qualitative
Management & Organizational Capacity Assessments (17 surveys and interviews)	Achieving the goals and objectives of the approved management plan Review the management structure	Quantitative & Qualitative
Analysis of Community Survey	Accomplishing the purpose of the authorizing legislation Achieving the goals and objectives of the approved management plan	Quantitative
Financial Analysis	Analyze the investments of Federal, State, Tribal, and local government and private entities in each NHA	Quantitative

See Appendix H, I, and J for the community survey, partner interview protocol, and management and organizational capacity assessment.

ENHC provided a list of suggested contacts for the partner interviews, organizational capacity assessments, and community survey. ENHC also sent an email to each individual to request his or her participation. The CPM evaluation team augmented the list of survey recipients by collecting contact information for nonprofit organizations with missions similar to ENHC's from the National Center for Charitable Statistics database, as well as contacts for all local government entities within the heritage area. Further, the evaluation team interviewed five individuals not included in ENHC's original list. The NPS Working Group and individuals who were already interviewed recommended that the evaluation team contact the five individuals not included in ENHC's original list for additional information. All respondents were assured of anonymity and confidentiality. The community survey was ultimately distributed to 405 individuals, and the evaluation team analyzed 217 responses. Organizational capacity assessment interviews were conducted with a mix of 17 ENHC staff and trustees. These individuals are referenced as community partner interviewees and ENHC interviewees respectively throughout the report.

ANALYZING DATA AND REVIEWING FINDINGS

The focus of the data analysis was ENHC's organizational and programmatic accomplishments, and the relationship between those accomplishments and the goals and objectives articulated in the Area Plan. Therefore, as data were analyzed, findings were mapped against specific goals and objectives identified in the Area Plan, as well as Area Plan recommendations for organizational structure and priorities.

Where three or more interviewees described a particular concept or perception, that concept was noted as a relevant theme and incorporated in the evaluation findings. It is important to underscore that themes are concepts or perceptions corroborated by at least three interviewees. Isolated opinions are not included in this report. Remarks of individuals are used only to provide additional context to themes supported by at least three interviewees.

Quantitative data gathered through the evaluation team's community survey were analyzed to identify correlations. Correlations that were statistically significant³ are included in the evaluation findings and are often compared to themes that emerged from other data sources like qualitative interviews, analysis of ENHC documents, or prior survey data collected by ENHC.

After analyzing the data, the evaluation team discussed preliminary findings with the NPS Working Group in order to better understand the data and contextual considerations. The final set of findings is contained in this report.

1.3.2. Roles

THE CENTER FOR PARK MANAGEMENT

CPM served as the external evaluator and consultant. The CPM evaluation team was well versed in evaluation methods, particularly methodologies employed to evaluate public-private partnerships and complex, multi-

³The evaluation team used a ten percent level of significance ($p \leq .10$) to determine statistical significance. This means that where correlations (e.g. chi-square test) are identified there is only a ten percent chance that relationships between variables are due to random chance alone; instead, it is much more likely that a statistical relationship exists between variables.

year partnerships across broad geographic regions. CPM framed the evaluation methodology, interfaced with the evaluation site, developed the data collection instruments, collected and analyzed evaluation data, and prepared this report.

WORKING GROUP

As CPM did not have specific expertise in heritage areas, the Working Group played a critical role in providing context for the evaluation team as well as oversight of the entire evaluation process. The Working Group consisted of the following NPS positions: National Coordinator for Heritage Areas, Assistant Coordinator for Heritage Areas, and the National Heritage Area Northeast Regional Coordinator. CPM members of the Working Group included the CPM Lead Consultant, an advisor, two assistants, and an administrative assistant. Changes in the Working Group composition are described in Appendix F.

The Working Group was actively engaged throughout the evaluation process and reviewed all data collection instruments, analysis, and findings. The Working Group met weekly, bi-weekly, or monthly throughout the evaluation process. With delivery of this report of evaluation findings, the NPS members of the Working Group are responsible for developing the policy report for Congress.

ESSEX NATIONAL HERITAGE COMMISSION

ENHC is the management entity of Essex National Heritage Area, and therefore played a key role in providing data, scheduling site visits, identifying contacts for interviews, identifying survey respondents, and providing feedback on the evaluation process. ENHC collaborated with the evaluation team during initial focus groups convened to identify ENHC's accomplishments. ENHC was not involved in developing data collection instruments or in data analysis. In July 2009, ENHC had the opportunity to review a draft of this findings document for factual accuracy.

EVALUATION COMMITTEE

The Evaluation Committee was established to advise the CPM evaluation team and Working Group. At key stages, the Evaluation Committee reviewed the evaluation team's progress and provided comments on the direction of the evaluation. Some Evaluation Committee members also provided feedback on specific data collection instruments and methods of analysis. The Evaluation Committee was composed of representatives from the National Park Service, other National Heritage Areas, preservation organizations, and landscape-scale conservation organizations. See Appendix F for a list of all Evaluation Committee members.

1.3.3. Context

In 2005, the NPS Conservation Study Institute (CSI) began the process of developing an evaluation strategy for National Heritage Areas that culminated in a 2008 report titled *Development of a National Heritage Area Evaluation Strategy: Report on Phase I*. This report was based upon CSI's experience conducting evaluations of three Heritage Areas (Blackstone River Valley NHA, 2005; Delaware & Lehigh National Heritage Corridor, 2006; and Cane River NHA, 2008), as well as substantial input from the Alliance of National Heritage Areas (ANHA) Peer-to-Peer Committee. The evaluation model articulated in the CSI report provides a comprehensive overview of the core ingredients, guiding strategies, implementation activities, and accomplishments of a generic heritage area.

The CPM evaluation methodology built upon the foundational model developed by CSI. Specifically, the CSI model influenced both the structure and the content of the ENHC-specific program models that were developed by the CPM evaluation team and ENHC. However, CPM's evaluation methodology differed from CSI's due primarily to the differences in objectives of the evaluation and subsequent focus of analysis. CSI's

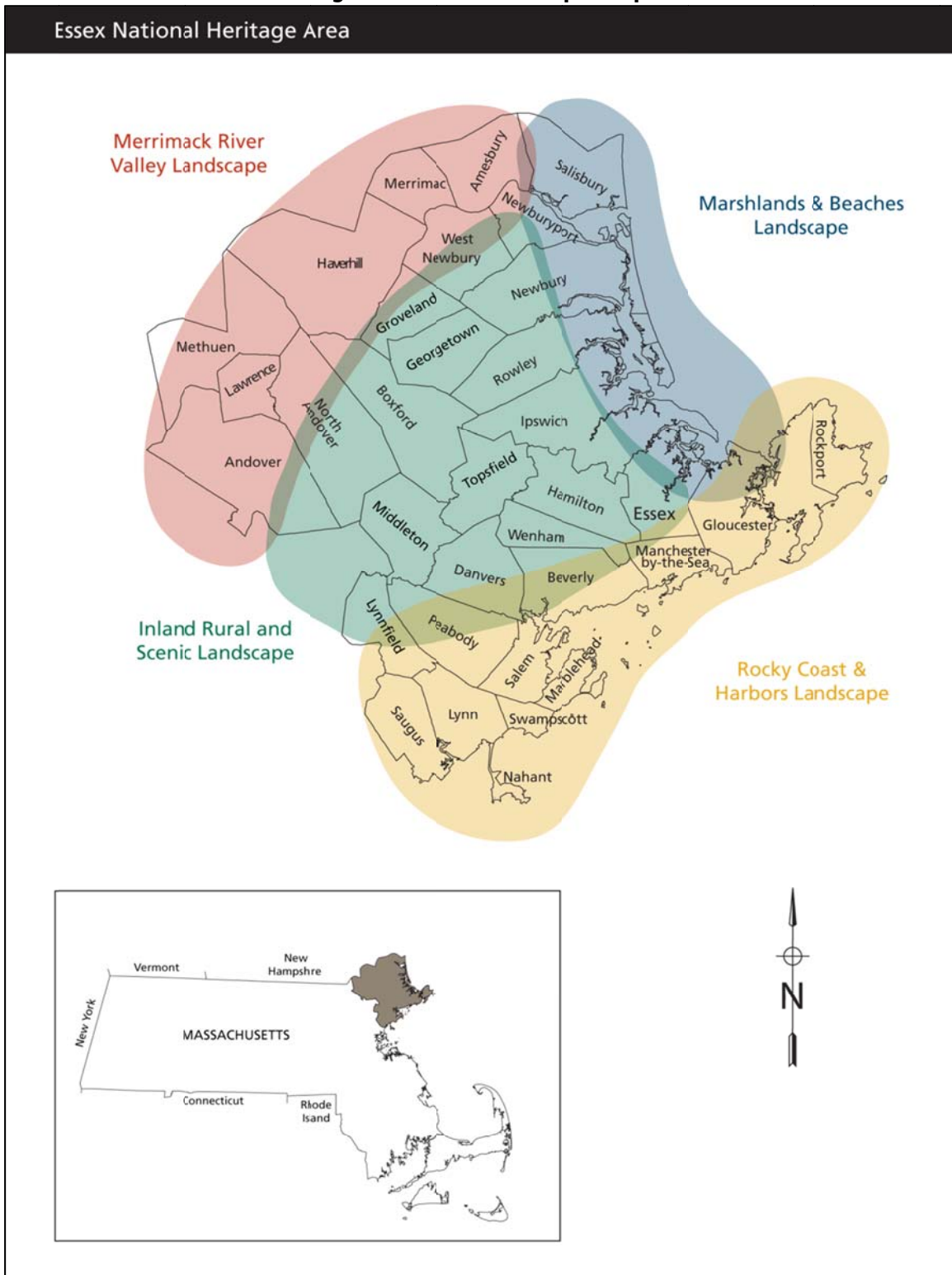
evaluations were focused on the processes that Heritage Areas make use of in order to accomplish their goals, and concentrated primarily on the role and benefits of partnership and collaboration. Due to the Congressional mandate, CPM's evaluation focuses on outcomes as they relate to the authorizing legislation and general management plan, the impact of financial investments, the role of partnerships in ENHC sustainability, and the role of the coordinating entity in planning and implementing the legislative mandate.

2. Essex National Heritage Area Commission Overview

2.1. Introduction to Essex National Heritage Area & Essex National Heritage Commission

Established by an act of Congress in 1996, Essex National Heritage Area (ENHA) is one of 49 National Heritage Areas in the country. ENHA received National Heritage Area designation due to the unique imprint that three nationally important American themes—early settlement, maritime history, and the early industrial era—have on the landscape. The cultural landscape that defines ENHA and illustrates these three themes is rich in man-made resources such as historic homes, small family farms, and historic industrial architecture. Additionally, the area contains an array of scenic and natural resources such as rocky coasts and harbors, marshlands, and rivers. These comprised four major landscapes in the Area: Rocky Coast and Harbors, Marshlands and Beaches, Merrimack River Valley, and Inland Rural and Scenic (also known as Farms and Woodlands), as shown in Figure 2-1. The Area contains 26 National Historical Landmarks, 9,968 sites on the National Register of Historic Places, 73 National Register Historic Districts, 2 National Park units and 1 National Wildlife Refuge. The ENHA is coordinated by the ENHC which facilitates public/private partnerships for the preservation and promotion of heritage resources. ENHC's work centers on regional initiatives for heritage programming, interpretation and education, preservation and resource stewardship, heritage development and infrastructure, and planning and design. This section introduces ENHC's authorizing legislation and mission, goals and objectives, organizational structure, and network of partners.

Figure 2-1. ENHA Landscapes Map



2.2. ENHC's Relationships With Partners and NPS

2.2.1. Partner Relationships

The cover letter to the Secretary of the Interior and the Governor of Massachusetts accompanying the submission of ENHC's Area Plan states that:

The most important conclusion of this process was that strong partnerships need to be developed and maintained in order to achieve the goals of the five elements of the Heritage Plan. The Area Plan establishes a regional vision and approach that promotes partnerships and collaborations, so together we can preserve our regional uniqueness and multifaceted heritage (ENHC, 1999, p. i).

These strong partnerships were essential to the original authorization of Essex National Heritage Area, and remain no less important for ENHC in the development and implementation of programming over the past 12 years.

ENHC's partners represent a connection between the organization and the community, and the unique historical, natural, and cultural resources that ENHC works to preserve. Organizational partners participate in specific programming such as *Trails & Sails!* and Using Essex History, as well as more generally through the Board of Commissioners. The role of partners in ENHC's accomplishments is described in more detail in Section 4.3. The importance of their contribution to organizational capacity is discussed in Section 6 of this report.

ENHC's partners also represent a critical means of sustaining ENHC's mission and goals. The Area Plan notes that:

Since the ENHC does not own or control any of the region's resources, the Plan's implementation will be strongly dependent on the responsibility and initiative of individuals, leaders, and organizations of the private and public sector. The initial federal funding through the [NPS] Heritage Area program will be a catalyst to build broader and more sustainable partnerships with private and public entities (ENHC, 1999, p. ii).

2.2.2. ENHC/NPS Relationship

While the partnership network in general is an essential component of ENHC's work, the partnership with the National Park Service sites within the Heritage Area is a central focus of ENHC's operations. One of the findings articulated in ENHA's 1996 authorizing legislation is that "the story told at the Salem Maritime and Saugus Iron Works National Historic Sites would be greatly enhanced through the interpretation of significant theme-related resources in Salem and Saugus and throughout Essex County" (U.S. Congress, 1996). The legislation goes on to purposely align the three themes on which ENHC should focus its work—early settlement, maritime history, and early industrial era—with those interpreted by Salem Maritime National Historic Site and Saugus Iron Works National Historic Site.

Since its authorization, ENHC has partnered with Salem Maritime National Historic Site and Saugus Iron Works National Historic Site on the development of educational curriculum, interpretive programming, coordination of special events, and resource preservation. Additionally, ENHC has provided technical assistance to NPS in the areas of fundraising, marketing and outreach, and strategic planning.

2.3. Key Findings

This section presents key findings from the ENHC evaluation. These findings are organized based on their association with Management Plan objectives, appropriation requirements, and sustainability.

2.3.1. Management Plan Objective Findings

The findings in this section describe the extent to which ENHC has met the objectives in its Management Plan as explained in Section 3. The text in bold italics specifies a Management Plan objective, and the text that follows provides the corresponding finding.

- ***Increase Awareness of the Region’s Opportunities and Resources Among Communities and Organizations of the Essex National Heritage Area.*** ENHC has been successful at engaging citizens and engaged residents who work in heritage and conservation agencies across the region. Further, ENHC has promoted heritage resources across the thirty-four cities and towns within the heritage area, engaging each of the four regional landscapes identified in the Area Plan: the Merrimack River Valley Landscape, the Inland Rural and Scenic Landscape, the Marshlands and Beaches Landscape, and the Rocky Coast and Harbors Landscape. Community surveys indicate that residents of the Merrimack River Valley were less likely to receive ENHC publications. Because ENHC’s authorizing legislation cites resources in the Merrimack River Valley as being particularly important, ENHC could place more emphasis upon its promotion of heritage resources in this region. However, by all accounts, ENHC’s events—most notably *Trails & Sails!*—programs, and outreach materials were found to be successful at increasing awareness of the resources.
- ***Foster Intra-regional relationships, projects, and activities that will promote the regional identity of the area.*** Through its comprehensive network of partners, ENHC has sponsored events that promote resources across the geographic landscapes of the heritage area. Through *Trails & Sails!*, Explorers Programs, and Photo Safaris, ENHC coordinates activities that promote regional identity. While a few marketing and public outreach activities—most notably Photo Safaris—have a strong commercial component, ENHC has primarily paid homage to heritage resources to promote the regional identity of the area.
- ***Clarify and support the region’s story and the three core themes.*** Community Survey respondents seem to have significant knowledge of the region’s story and three core themes. Additionally, respondents reported that ENHC was influential in education around the three themes. Early education programs were tied directly to the three themes. As time progressed, ENHC focused on promoting enjoyment of the natural and cultural resources and did not always and intentionally incorporate the three core themes into its programming.
- ***Provide an ENHA experience that encourages both residents and non-residents to enjoy and learn about and protect the unique resources and opportunities in the area.*** ENHC provided several substantive opportunities for residents to enjoy and learn about heritage resources. ENHC has an opportunity to do more to engage residents in resource protection through direct service projects. Community Survey results indicated that respondents were eager to protect heritage resources.

Eighty-three percent reported that they would spend their own personal money to protect resources if they were in jeopardy; 88 percent were willing to change their personal behavior to protect resources. Behavioral changes included volunteering at and cleaning up heritage sites. Survey results suggest that residents are eager to engage in direct resource protection through service or financial contributions and that ENHC can take greater advantage of this opportunity.

- *Develop educational programs that highlight the significant history of the Region.* ENHC has worked collaboratively to develop a range of successful educational programs, most recently Using Essex History and Essex LINC's. See Section 6.5 for additional insights on the long-term sustainability of ENHC programming.
- *Identify needs and priorities for preservation and conservation of the heritage area.* The Heritage Landscape Inventory and the Historical Records Council serve as examples of ENHC's ability to substantially determine community priorities for preservation and conservation in the heritage area.
- *Establish a constituency for preservation and conservation.* The Area Plan directs ENHC to engage residents and visitors in historic preservation efforts through a variety of mediums including brochures, guidebooks, historic walks, signage, and workshops. The Area Plan includes directives for ENHC that are designed to impact two populations in the community—residents and conservation professionals. This Area Plan objective of establishing a constituency for preservation and conservation—originally described under Preservation and Resource Stewardship activities—is focused on the resident population. The Area Plan suggests that by instilling stewardship values in residents, heritage resources will reap the most benefit in the long run. ENHC's most salient efforts in this section of the Area Plan are through the partnership grants program. The Partnership Grants Program has been a primary vehicle through which ENHC has impacted residents. ENHC cultivated a constituency for preservation and conservation among conservation professionals through the work of the Historical Records Council and the Heritage Landscape Inventory.
- *Clarify and reinforce the designated network of visitor centers.* In addition to creating signage that raises awareness of the network of visitor centers, ENHC has also improved the capacity of visitor centers to handle increases in visitation.
- *Enhance and expand the existing network of regional routes, trails, and signage.* Community Survey results reveal that heritage area signage has been recognized throughout the region and appears to be unifying the heritage area. Further, ENHC served as a catalyst for trail development work. Where isolated towns and other coalitions were unsuccessful in trail development, ENHC emerged as the coordinating entity that could bring technical expertise, political contacts, and partners together to create successful trail coalitions.
- *Provide technical assistance.* Through the Historical Records Council, ENHC exhibited the ability to successfully provide formal technical assistance. At the same time, ENHC also exhibited an inability to sustain these efforts due to shortfalls in the organization's financial capacity. Similarly, the extent to which ENHC could develop and sustain the Nonprofit Initiative, a formal technical assistance program in the developmental stage, given its current capacities is unclear. Nonetheless, heritage organizations that partner with ENHC laud the organization's ability to provide organizational development assistance in the form of outreach and facilitating community connections.
- *Provide assistance to intra-community projects or workshops that serve to educate local leaders, businesses, organizations, and residents to respect and uphold the high quality and character of the*

region. The Heritage Landscape Inventory is a substantive example of how ENHC has worked collaboratively to educate the community on upholding the high quality and character of the region. Through the Heritage Landscape Inventory, ENHC has collaboratively identified a need in community preservation efforts and seized an opportunity to address preservation needs by equipping the community with the knowledge, tools, and capacity to uphold the quality and character of the region.

2.3.2. Appropriation Requirement Findings

The ENHA's authorizing legislation contains two stipulations related to appropriations which are discussed in detail in Section 4.5. This section describes the extent to which ENHC has complied with those stipulations. The stipulations are in bold italics, and the text that follows provides the corresponding findings.

- *There is authorized to be appropriated under this title not more than \$1,000,000 for any fiscal year. Not more than a total of \$15,000,000⁴ may be appropriated for the Area under this title.* Between 1998 and 2008 ENHC's NPS annual Federal Assistance Funding (NPSFAF) never exceeded \$1,000,000. From 2003 to 2008 annual NPSFAF dropped from \$1,000,000 to \$682,207. ENHC's total NPSFAF since inception is \$9,327,437 which is well below the mandated cap of \$15,000,000.
- *Federal funding provided under this title, after the designation of the Area, may not exceed 50% of the total cost of any assistance or grant provided or authorized under this title.* This requirement means that ENHC's Matching Contributions as defined by OMB Circular A-110 Section 23 must be at least equal to the amount of NPSFAF on an annual basis. Since its inception ENHC has far exceeded this requirement with Matching Contributions ranging from 1.29 to 2.96 times the amount of NPSFAF.

2.3.3. Sustainability Findings

Section 6 provides a detailed description of ENHC sustainability⁵. Key findings related to sustainability include the following:

- NPS Federal Assistance Funds (NPSFAF) are currently essential for ENHC to exist in its current form. In 2008, ENHC would have been able to cover less than half of its operating expenses without NPSFAF. While it may be possible for ENHC to reduce its operating expenses enough to survive without NPSFAF, this does not appear to be sustainable and doing so would have a significant, negative impact on ENHC's ability to carry out its mission (see Sections 4.3 and 6.6.2).
- If ENHC chooses or is forced to raise more money from local sources (including philanthropic, state, and local government funds), it will be in competition with its partners for limited local resources. This will undercut the funding efforts of local heritage organizations, and potentially damage ENHC's relationships with those organizations.

⁴ This limit was originally \$10,000,000, but was increased to \$15,000,000 by subsequent legislation on May 8, 2008

⁵ NPS's current definition of sustainability was developed after the ENHC evaluation. Consequently, the findings related to sustainability do not tie directly to NPS's current definition. The evaluation methodology has been revised so that future heritage area evaluations provide a direct link to NPS's current definition of sustainability.

- ENHC is widely viewed as being able to effectively improve other organizations' ability to collaborate with groups that have similar missions and bridge the gap between organizations of different sizes, locations, and preservation/conservation priorities.
- ENHC has played a key role in encouraging communities to work together to cultivate a regional identity organized around the natural, cultural, and historic resources of Essex County.
- ENHC has enabled Salem Maritime National Historic Site and Saugus Ironworks National Historic Site to connect more deeply to local communities.
- ENHC has increased Salem Maritime National Historic Site's and Saugus Ironworks National Historic Site's capacity to interpret their resources and educate the public.
- ENHC has provided NPS more direct access to local leaders through ENHC's Commissioners.
- ENHC has provided support to NPS related to marketing, fundraising, and business planning.
- Given its 501(c)(3) nonprofit status and strong connections to community leaders, ENHC is often able to procure financial and other types of resources and support for key NPS initiatives as their key philanthropic partner.
- ENHC's mission is accessible and easily understood by those within and outside of the organization. The mission is widely published, and its broad nature allows ENHC to maintain flexibility to adjust to the changing needs of the community. At the same time, ENHC's broad mission creates the potential for the organization to pursue opportunities without clear strategy or direction.
- Given that no other organization has a mission of championing all of the region's resources, broad collaboration for resource protection between the 34 towns and cities within the ENHA would dramatically decrease without ENHC.
- Historic preservation groups, particularly small museums and historic societies, tend to be vulnerable to funding shortages, have little capacity, and benefit most from ENHC's partnership grants program and marketing and outreach assistance. In the absence of ENHC's financial and technical assistance, these groups would face a sudden deterioration in capacity with some having to close their doors.
- In some instances, such as the Coastal Trails Coalition and Historical Records Council, groups have leveraged their experience with ENHC by successfully applying the Commission's partnership/collaborative conservation model and move forward with limited to no assistance from ENHC. These efforts were often initiated by ENHC, and eventually became stand-alone programs.
- ENHC's efforts to market and associate collaborative conservation initiatives with Essex National Heritage Area, and subsequently with Essex National Heritage Commission, can sometimes make working collaboratively with partners more challenging, and result in situations where the public is not aware that stand-alone initiatives are sustainable and independent of ENHC.
- Many people (both partners and those in the community) believe ENHC is a part of the federal government and that its primary purpose is to provide financial and technical support to heritage organizations.

3. ENHC's Structure and Organization

3.1. ENHA/ENHC Authorizing Legislation and Mission

Authorizing Legislation and Mission

ENHC is guided by two foundational documents, the first of which is the legislation that authorized ENHA in 1996. Upon authorization, ENHC developed a mission, strategic goals, and objectives that are outlined in the second foundational document – ENHC's management plan titled *Essex National Heritage Area Plan* (Area Plan).⁶

See Appendix B for the full text of the Essex National Heritage Area authorizing legislation.

AUTHORIZING LEGISLATION

The Omnibus National Parks and Public Lands Management Act of 1996 designated ENHA after finding that the area was rich in history, resources, partnership potential, and Heritage Area supporters for the purpose of:

Preserving and interpreting, for the educational and inspirational benefit of present and future generations, the unique and significant contributions to our national heritage of certain historic and cultural lands, natural waterways, and structures within the County of Essex in the Commonwealth of Massachusetts (U.S. Congress, 1996).

The legislation establishes an important relationship between the Heritage Area and the National Park Service units in Salem and Saugus. It describes in its PURPOSE that the ENHA is established:

- (1) "to recognize, preserve, promote, interpret, and make available for the benefit of the public the historic, cultural, and natural resources of the North Shore and lower Merrimack River valley ... which encompass the three primary themes of the Salem Maritime National Historic Site and Saugus Iron Works National Historic Site" AND
- (2) "to implement the appropriate alternative as described in the (National Park Service) document entitled "The Salem Project: A Study of Alternatives", dated January 1990, within the boundaries of Essex County."
- (3) to provide a management framework to assist the Commonwealth of Massachusetts and its units of local government in the development and implementation of an integrated cultural, historical, and land resource management program in order to retain, enhance, and interpret the significant values of the lands, waters, and structures located in the Essex National Heritage Area

The legislation established ENHC as the management entity of the Heritage Area, and charged it with the following responsibilities:

- 1) The development of a Heritage Area Plan to be forwarded to the Secretary of the Interior and the Governor of Massachusetts no later than three years after the designation date.

⁶ Both the authorizing legislation and the Area Plan were heavily influenced by the feasibility study conducted and published prior to ENHC's authorization in 1996. The feasibility study called "The Salem Project: A Study of Alternatives" was prepared by the National Park Service and published in 1990. It formed the basis for designation of the Essex National Heritage Area. However, elements from the feasibility study were included in both the legislation and Area Plan, and so the feasibility study is not considered a guiding document for the ENHC evaluation.

- 2) The prioritization of implementing actions, goals, and policies in the heritage area. This involves assisting local units of government, community based organizations, and others in activities which: recognize the important resource values, encourage economic viability, establish interpretative exhibits, develop recreational and educational opportunities, increase public awareness and appreciation of the Area's resources, restore historic buildings, and ensure signage implementation.
- 3) Consideration of the interests of local groups, including "government, businesses, private property owners, and nonprofit groups" (U.S. Congress, 1996).
- 4) Conduct public meetings at least annually.

In addition to describing the role of ENHC, the legislation also outlines the duties of the Secretary of the Interior, including the Secretary shall assist the management entity with preparing studies and plans, and the Secretary is authorized to enter into agreements with the Commission (ENHC) or with owners of property with national significance for the purpose of facilitating public use and enjoyment of the resources or to further the objectives of the management entity. The Secretary may provide technical assistance and grants to assist the management entity in the performance of its powers and functions. Lastly, the legislation concludes with sections about private property rights, a sunset date for federal assistance of September 30, 2012, and an authorization of appropriations (see Appendix B).

ENHC'S MISSION

While ENHC's mission was not included in the authorizing legislation, it was articulated into three parts in the Area Plan, published in 1999. These three components correspond to the purpose and priorities described in the authorizing legislation. Additionally these components pay homage to the vision, goals, and objectives included in the Area Plan as follows:

- 1) To bring local, national, and international recognition to the collective importance and contributions of our historical, cultural, and natural resources within the Essex National Heritage Area.
- 2) To enhance and preserve these resources, promoting economic development and supporting educational programs to use them to benefit our residents and visitors.
- 3) To improve the quality of life for our citizens and, in collaboration with the National Park Service, to develop Essex County as a leading destination for heritage tourism (ENHC, 1999, p. ii).

An updated and shortened version of the mission can be found on ENHC's website and is as follows: "To preserve and promote the historic, cultural, and natural resources of Essex County, MA" (ENHC, n.d.).

3.2. ENHC Goals & Objectives

The Area Plan for the heritage area was released by ENHC in 1999. The Area Plan tracks the progress made since authorization, and defines a broad framework of future program elements and associated objectives.

The recommendations in the Area Plan revolve around five elements with associated goals and objectives. Section 4 provides an analysis of each of ENHC's objectives and its progress toward accomplishing each goal. The five elements of the Area Plan are as follows:

MARKETING AND PUBLIC OUTREACH

Marketing and Public Outreach activities are designed to “market and increase awareness of the ENHA,” and its unique resources to residents and visitors. Three objectives guide programs in this area:

- 1) Increase awareness of the region's opportunities and resources among communities and organizations of the ENHA;
- 2) Foster intra-regional relationships, projects, and activities; and
- 3) Promote interaction with regional, state, national, and international tourism entities (e.g. North of Boston Visitors and Convention Bureau) (ENHC, 1999, pp. 3, 40).

HERITAGE PROGRAMMING, INTERPRETATION, AND EDUCATION

Defined as programs and activities “designed to increase the public's understanding and use of the region and its resources,” ENHC's educational programs are framed by three objectives:

- 1) Clarify and support the region's story and three core themes;
- 2) Develop educational programs that highlight the significant history of the region; and
- 3) Provide an ENHA experience that encourages both residents and non-residents to enjoy, learn about, and protect the unique resources and opportunities of the area (ENHC, 1999, pp. 3, 37).

PRESERVATION AND RESOURCE STEWARDSHIP

The Preservation and Resource Stewardship element is comprised of actions that are “designed to promote and sponsor long-term awareness, preservation, and conservation of the region's significant resources.” Two objectives serve to guide programs in this area:

- 1) Identify needs and priorities for preservation and conservation of the ENHA; and
- 2) Establish a constituency for preservation and conservation (ENHC, 1999, pp. 3, 38).

HERITAGE DEVELOPMENT AND INFRASTRUCTURE

Heritage Development and Infrastructure encompasses the components that provide “a cohesive visitor experience,” and is guided by two objectives:

- 1) Clarify and reinforce the designated network of visitor centers; and

- 2) Enhance and expand the existing network of regional routes, trails, and signage (ENHC, 1999, pp. 3, 39).

PLANNING AND DESIGN ASSISTANCE

Defined as activities focused on “assisting individuals, organizations, and communities who are involved in preservation, education, and interpretation of historic and cultural resources,” the Planning and Design Assistance element is framed by two objectives:

- 1) Provide technical and financial assistance to local and regional organizations and governments that support the goals of the Commission and the ENHA.
- 2) Provide assistance to intra-community projects or workshops that serve to educate local leaders, businesses, organizations, and residents to respect and uphold the high quality and character of the region (ENHC, 1999, pp. 3, 41).

OBJECTIVES FOR ENHC AS AN ORGANIZATION

The Area Plan also includes a few objectives for the heritage area’s management entity, ENHC. These objectives relate to the role of ENHC, and the role of partners. Section 4 of this report explores each of these areas in detail.

Recognizing that ENHC’s objectives require the involvement of multiple stakeholders, the Area Plan identifies four action categories that outline a spectrum of involvement. These categories are defined as actions, (1) by the Commission, (2) contracted by the Commission, (3) in partnership with others, and (4) achieved through grants and awards (ENHC, 1999, p. 5).

The Area Plan is less specific with regards to specific objectives for partnerships, but does caution that the “long-term success of the Essex National Heritage Area depends on the Commission’s ability to engage its members, local and state elected officials, city, and state agencies, businesses, institutions, and residents over the long run” (ENHC, 1999, p. 47).

3.3. Organizational Structure

ENHC was incorporated as a 501(c)(3) tax-exempt nonprofit organization in September 1997. The ENHC by-laws frame the management structure for the organization based on Commissioners, Trustees, and Officers. The daily administration of the Essex National Heritage Area is carried out by ENHC staff. The next section describes the evolution of ENHC’s management structure, while the remaining sections describe this structure as it existed at the time of the evaluation.

THE EVOLUTION OF ENHC’S GOVERNANCE STRUCTURE

Governance of ENHC was originally based on an 85 member Commission. The Management Plan states that:

“The Essex National Heritage Commission was formed to develop and implement the Heritage Plan. The Commission is composed of 85 appointed members, representing all communities and stakeholders within

the ENHA. There are three standing committees: Executive Committee, Finance and Audit Committee, and Nominating Committee. There are also monthly meetings of the ENHA Officers and semi-annual meetings of the full Commission. (ENHC, 2005, p. 12)”

In September 2001, the Commission voted to change ENHC’s governance structure. Oversight of ENHC transferred from Commissioners to a 25 member Board of Trustees. The role of Commissioners shifted from overseeing to advising ENHC, and the number of Commissioners was increased from 85 to 150. ENHC’s by-laws were modified to reflect this change with Article V, Section 1 of the by-laws stating that:

“The Board of Trustees of the Corporation (sometimes referred to in these by-laws as the “Board”) shall oversee, direct and control the management and administration of the property, affairs and funds of the Corporation. The Board shall exercise such authority and shall take such actions as it deems proper and consistent with the Articles, these by-laws and the laws of the Commonwealth of Massachusetts.”

COMMISSIONERS

The ENHC is advised by 150 ENHC Commissioners who live and/or work within the area and serve as representatives and ambassadors of the communities, businesses, community organizations, educational institutions, and historical, cultural, and natural resources of the region. ENHC’s by-laws state that Commissioners shall serve for terms of three years.

BOARD OF TRUSTEES

A 25-member Board of Trustees, selected from the ENHC Commissioners, is charged with the oversight, direction, and control of “the management and administration of the property, affairs, and funds” of ENHC. Trustees are elected to serve for three-year terms (ENHC, 2005, p. 4).

EXECUTIVE COMMITTEE

ENHC has an eleven member Executive Committee comprised of the officers and at-large trustees who serve on the Board of Trustees. The Executive Committee oversees the strategic direction and financial management of ENHC. The Officers include the president, vice president, 2nd vice president, treasurer, assistant treasurer, clerk, and assistant clerk. They are joined by the president emeritus, trustee at large, past president, and NPS Superintendent of Salem Maritime NHS and Saugus Iron Works NHS who represents NPS interests and participates in the Executive Committee and Board of Trustee meetings as an ex officio, non-voting member. The executive director also participates but is not a voting member.

STAFF

At the time of this evaluation ENHC was staffed by ten individuals (full time and part time employees) who were responsible for the daily operations, program management, and planning for the organization. These individuals were also responsible for implementation of each program area discussed later in this report, as well as organizational administration and coordination of the Board. ENHC’s staff capacity is extended by collaboration with partner organizations and other institutions in the delivery of many of its programs.

3.4. Organizational Evolution

ENHC was established by an act of Congress in 1996 to “recognize, promote, interpret, and make available for the benefit of the public the historic, cultural, and natural resources... which encompass the three primary

themes of . . . early settlement, maritime trade, and the textile and leather industries” (ENHC, 1999, Appendix A). Since its designation, ENHC has expanded the scope of its programming to appeal to the interests of residents in the heritage area.

ENHC’s three core themes were designed to mirror those of Salem Maritime National Historic Site, a unit of NPS and primary partner. According to the Area Plan, the idea for the heritage area originated when a coalition of community leaders partnered with NPS to use Salem Maritime NHS to enhance heritage tourism across the county. The three core themes of early settlement, maritime trade, and textile and leather industries are deeply linked to the four major natural landscapes of the region, and have influenced the development of each community within the heritage area.

EXPANDING BEYOND THREE CORE THEMES

ENHC’s early programs were clearly linked to its primary partner—NPS—and subsequently focused on interpreting the three themes for visitors and residents. In 1998 ENHC implemented a unified signage program to improve knowledge of the three themes and access to heritage sites. Signs directed the public to a designated network of visitor centers and to historic, cultural, and natural resources that told the maritime, early settlement, or industrial story of the area. As signage improved access to visitor centers, ENHC worked to improve visitor center capacity to interpret the three themes and four major landscapes.

Through early educational programs, ENHC brought the region’s three core themes to classrooms. ENHC partnered with NPS to: (1) create curriculum guides listing educational programs at heritage area sites, (2) host workshops designed to raise educators’ awareness of these programs, and (3) develop a hands-on educational tool called a “discovery box,” featuring artifacts related to the themes.

Appendix E shows the timeline of ENHC programs, categorized by programmatic area.

As ENHC engaged a more diverse set of stakeholders, the programmatic focus of the organization broadened. In addition to heritage resources that embodied the three core themes, ENHC promoted other significant historical, natural, and cultural resources in Essex County. *Trails & Sails!* is ENHC’s flagship event aimed at improving the public’s access to heritage area resources, and serves as a prime example of ENHC’s broadened scope. When *Trails & Sails!* launched in 2002 the event attracted approximately 2,500 visitors and provided them with the opportunity to visit over 150 sites in Essex County. Sites primed for visitors played homage to the three core themes and included Salem Maritime NHS and historic first period homes that told the story of first period settlement. ENHC also encouraged visitors to learn about other community resources by participating in activities unrelated to the three core themes. For example, visitors could participate in a tour with an edible plants foraging expert, take a tour at a community jelly factory, or watch a vintage baseball game. As an additional example of ENHC’s broadened focus, the organization developed and circulated thematic guides to other regional resources, such as birding, art, and agriculture.

BALANCING THE THREE CORE THEMES WITH EVOLVING COMMUNITY INTERESTS

ENHC has broadened its scope to stay relevant and appeal to community interests. ENHC’s marketing materials have shifted away from early mentions of the three core themes, and instead refer more generally to the “important historic, natural, cultural and recreational resources.” The Community Survey revealed that residents of the heritage area maintained an interest in some activities outside of the scope of the three core themes. When asked about participation in recreational activities, respondents most frequently cited that they had:

- Been to a museum (96%)
- Explored the scenic coastline (92%)
- Used trails (79%)
- Been to a visitor center (79%)
- Visited historic homes from the 16th and 17th centuries (77%)
- Been to a wildlife preserve (73%)

Many of these activities—particularly visiting museums, visitor centers, and historic homes—correspond closely to ENHC’s core themes. However, activities outside of the regional themes such as enjoying natural and recreational resources—including trails, coastline, and wildlife—seem to be equally important to residents. The enjoyment of the natural and recreational resources is directly related to the four core landscapes articulated in the Plan, and represents an organizational evolution that regards themes and landscapes as equally important.

4. ENHC's Fulfillment of the Authorizing Legislation and Management Plan Objectives

Section 3.2 describes the core programmatic objectives that are defined in ENHC's Area Plan along with a set of objectives that are the responsibility of those who manage and advise ENHC. This section examines the extent to which ENHC has fulfilled these objectives, satisfied the appropriations related requirements contained in ENHA's authorizing legislation, and built effective relationships with NPS and non-NPS partners.

4.1. Core Programmatic Objectives

The Area Plan is structured around five "plan elements," or program areas: (1) Marketing and Public Outreach, (2) Heritage Programming, Interpretation, and Education, (3) Preservation and Resource Stewardship, (4) Planning and Design Assistance, and (5) Heritage Development and Infrastructure. The following subsections describe each program area considering the program focus and anticipated accomplishments, and analyze ENHC's actual accomplishments in each program area.

4.1.1. Marketing and Public Outreach

The Essex National Heritage Area Plan sets forth the overarching objective to communicate the significance of the region's national, cultural, and historical resources to residents of Essex County and to the broader public. Through marketing and public outreach, this communication objective is intended to increase awareness of and encourage local and non-local participation in the resources. The Area Plan recommends that ENHC host events, develop programs, and publish and circulate important publications or collateral materials through marketing and public outreach activities. This section explores ENHC's marketing and public outreach efforts to date as compared with recommended actions in the Area Plan.

The following represent a substantive mix of ENHC's marketing and outreach program activities: *Trails & Sails!*: A Weekend of Walks and Water; Photo Safaris; Explorers Programs; E-communications, publications, and collateral materials; the ENHC website; themed trail guides (in print and web-based); Unigrid; cooperative ads; participation on boards and committees with other marketing organizations such as North of Boston CVB and the Peabody Essex Museum's "Escapes North", and with local and regional chambers of commerce; and a bi-annual booth at the International Heritage Development Conference organized by the Alliance of National Heritage Areas. The events, community programs, and circulated materials described below have built a foundation for increasing awareness, understanding, and enjoyment of the diverse resources in the heritage area.

TRAILS & SAILS!: A WEEKEND OF WALKS AND WATER

Since 2002, ENHC has coordinated *Trails & Sails!*: A Weekend of Walks and Water. *Trails & Sails!* is an annual two-day, county-wide event designed to highlight the diversity of natural, cultural, and historical resources in the heritage area. *Trails & Sails!* is highly collaborative and involves the participation of 50 – 100 host organizations that provide guided interpretive tours, hikes, walks, sails, and special events at no charge to participants. Host organizations include nonprofits, community groups, and recreation-based businesses.

In 2008, *Trails & Sails!* featured 200 free events at over 140 locations in Essex County. According to ENHC's staff and community partners, *Trails & Sails!* has grown in its scope and impact from 2002 to present. ENHC staff reported that resident and visitor participation rates steadily increased from 1,000 – 2,000 in the earlier years of the program, to 4,000 – 5,000 participants in recent years.

As ENHC's flagship event, *Trails & Sails!* embodies many of the goals set forth in the Area Plan. The success of *Trails & Sails!* is dependent on the participation of a comprehensive network of nonprofit and for-profit community organizations. *Trails & Sails!* offers access to the diverse spectrum of resources in the heritage area to local and non-local participants. Further, *Trails & Sails!* hosts are encouraged to educate participants on the value of the resources and to interpret the significance of the heritage area.

Over half of community partner interviewees reported that *Trails & Sails!* was the most impactful of ENHC's activities. Nearly all interviews identified that *Trails & Sails!* was a great success. One community partner interviewee's remarks, echoed by many, were that:

...Trails & Sails! is a fabulous event... and it attracts people from all over the place and it's really neat. So that's a big impact and something that people look forward to, it's amazing because you can do so many things you know for free and it's a great community building effort...

Two additional data sources reveal that ENHC has built a foundation for increasing awareness, understanding, and enjoyment of the resources through *Trails & Sails!* ENHC has collected data on *Trails & Sails!* through surveys of participants (local and non-local visitors) and partners (host organizations that sponsor free events) since 2002. The evaluation team also sought additional information about *Trails & Sails!* through the Community Survey. According to these data sources:

Trails & Sails! participants respond positively to the event. Over the years, an average of 98 percent of ENHC survey respondents reported that they would return to *Trails & Sails!* in the following year.

Trails & Sails! exposes participants to natural, cultural, and/or historical resources that they were previously unaware of. An average of 75 percent of ENHC's surveyed participants reported that they were exposed to new resources. Examples of newly discovered resources included farms, marshes, maritime sites, historic architecture, trails, conserved open space, and community arts.

Trails & Sails! serves as a catalyst for future engagement in the resources. Eight-five percent of ENHC's surveyed participants reported that they planned to return to the resources they discovered at other times during the year.

The evaluation team's Community Survey asked respondents about their participation in a variety of ENHC's programs and events. *Trails & Sails!* was the most frequented event with 52 percent of Community Survey respondents reporting that they had attended. While the Community Survey asked respondents about their satisfaction with a host of ENHC events, and not just *Trails & Sails!*, 83 percent of respondents reported that they were either very or extremely satisfied with ENHC's events; 98 percent of respondents reported that they would attend ENHC's events in the future.

According to ENHC's surveys, partner organizations have also responded positively to the event and have asked to participate in future *Trails & Sails!* events. As *Trails & Sails!* has grown, more host organizations have participated. Meanwhile, most of the host organizations that participated in prior years have been retained and continue to offer opportunities for residents and visitors to enjoy the resources for free during *Trails & Sails!* Over the years, an average of 86 percent of partners reported that they would participate in *Trails & Sails!* as hosts in the future.

PHOTO SAFARI

Launched in 2006, Essex Photo Safari is a program intended to introduce more people to ENHC and to the resources of the heritage area, including audiences that ENHC would not normally reach. The Photo Safari consists of a seminar where participants learn how to operate photography equipment and participate in expeditions or “safaris” to various regional heritage locations. During safaris, participants visit, learn about, and take pictures of resources in the heritage area. The Photo Safari project is accompanied by a Photo Contest where the photographers of the best photos of Essex attractions win digital cameras, gift certificates to Hunt’s Photo and Video, or National Park passes. Photographs submitted to the Photo Contest become property of ENHC and are used in promotional materials and displayed in a yearlong exhibit at the NPS Regional Visitor Center in Salem. ENHC offers both of these programs through a partnership with Hunt’s Photo and Video, New England’s largest photography retailer. The Photo Safari has reached over 100 participants annually with 115 participants in 2006, 169 participants in 2007, and 124 participants in 2008. The Photo Contest is designed to encourage participation from a broader range of individuals and provide increased visibility for ENHC through the exhibition of the winning photographs.

ENHC collects data annually on the Photo Safari program. This information reveals that the program simultaneously meets and falls short of objectives identified in the Area Plan:

Photo Safari participants gain awareness of heritage resources. For example, in 2007, 62 percent of participants reported that they were not aware of the heritage resource they photographed before participating in the Safari. Some of these newly discovered resources included the Gloucester Maritime Heritage Center, Appleton Farms, the Essex Shipbuilding Museum, and Halibut Point State Park.

Participants that were surveyed indicated more interest in the commercial aspect of Photo Safari—learning about and purchasing photography equipment—than in the heritage area resources. The 2008 survey asks respondents to identify the aspects of Photo Safari that they enjoyed the most. Sixty-nine percent found the instruction, photographer, and photo equipment most enjoyable; 5 percent found the locations most enjoyable, and 5 percent found exploring regional resources to be most enjoyable. While participants’ primary interest was in the commercial aspect, some Photo Safari participants indicated a deeper interest in ENHC by joining the “Essex Heritage Explorers” membership program⁷ – in 2008, 16 percent of participants became Explorers after the Safari event. The program also engages existing ENHC supporters, as evidenced by the fact that in 2008, 40 percent of participants were already Explorers.

Participant surveys indicated that unlike *Trails & Sails!*, where the primary benefit of participation is increased awareness and enjoyment of heritage resources, Photo Safari seems to have a commercial component that at times overshadows the resources. During community interviews, three respondents noted that while ENHC marketing and public outreach activities generally paid homage to heritage resources, at time there seemed to be an uncomfortable commercialization of ENHC’s efforts.

E-COMMUNICATION, PUBLICATIONS, AND COLLATERAL MATERIAL

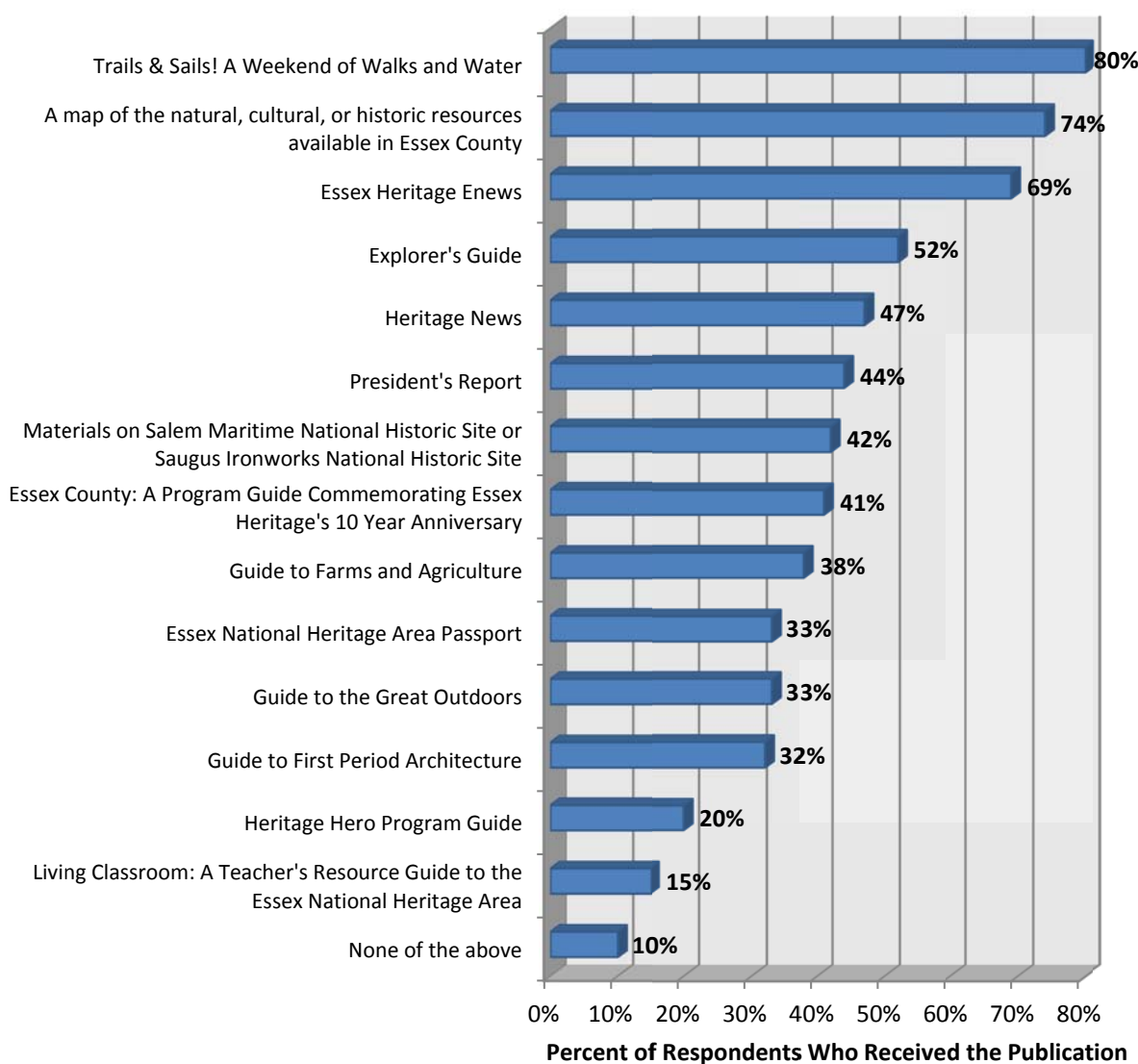
In addition to hosting events and sponsoring programs, the Area Plan recommends that ENHC develop information and guides as part of its marketing and public outreach activities. According to the Area Plan, these materials should highlight the unique aspects of the heritage area and should be accessible to the public in many forms (e.g. brochures, audio tapes, CDs). ENHC has developed and circulated an array of collateral

⁷ This program below in the subsection titled *Essex Heritage Explorers Program*

materials including brochures, newsletters, videos, guides, unigrids, and maps. ENHC has also made use of the Internet and e-mail to raise awareness of the heritage area.

The Community Survey asked respondents if they had received a diverse array of ENHC’s publications and collateral materials disseminated over the years. These materials included maps, newsletters, annual reports, thematic guides, NPS materials, and special event publications. Among the most received materials were: *Trails & Sails!* publications; a map of the natural, cultural, or historical resources available in Essex County; and Essex Heritage ENews, ENHC’s electronic newsletter. Special publications and materials on NPS sites were fairly well received. Thematic guides were not received broadly. See Figure 4.1 for additional details about ENHC’s publications.

Figure 4-1. Community Survey Respondents Who have Received ENHC Publications



The Community Survey reveals that ENHC has broadly disseminated its collateral materials in accordance with the recommendations of the Area Plan. The Area Plan directs ENHC to increase awareness of the heritage area among residents and organizations in the region. This means that ENHC should engage citizens who live in the region in addition to more engaged residents who work for heritage organizations. Further, the Area Plan suggests that ENHC build awareness across the entire geographic boundary of the heritage area, including all of its 34 cities and towns. Community Survey results revealed that:

Generally, there was no difference between citizens and more engaged residents who work for heritage and conservation agencies with regard to receiving ENHC publications; both groups seem to have equal access to ENHC publications. Citizens and engaged residents received maps, Essex Heritage ENews, annual reports, guides, NPS materials, and special publications in similar proportions. Citizens were slightly more likely than engaged residents to receive the Essex Heritage Newsletter. Citizens were less likely to receive *The Passport*, a guide that was disseminated early in ENHC's organizational development.

Generally, when publication data were analyzed by the respondent's town of residence, there seemed to be equal dissemination of ENHC publications across the region. However, residents of the Merrimack River Valley were slightly less likely to report that they received Essex Heritage ENews, ENHC's ten-year anniversary publication, and *The Explorers Guide*, special publications distributed to ENHC members.⁸

*The Community Survey also revealed that ENHC's brochures were one of the most prominent ways that respondents reported learning about the region's three core themes.*⁹ Seventy-eight percent of respondents reported that they learned information about the heritage area's three core themes from brochures; 71 percent from ENHC, and 60 percent from area museums. When responses were analyzed by type of resident (citizen or engaged resident) and by town, there seemed to be no differences with regard to the impact that ENHC, brochures, and museums had on educating respondents about the three core themes. Across the different towns in the heritage areas and among both citizens and engaged residents, ENHC and brochures were the most reported way of learning about the region's three core themes.

ESSEX HERITAGE EXPLORERS PROGRAM

The Essex Heritage Explorers Program provides opportunities for residents of the heritage area to explore historical, cultural, and natural resources in the region. After paying dues to ENHC in the amount of 40 dollars (individual), 35 dollars (seniors and students), or \$300 to \$575 (corporate), "Explorers" attend

⁸ According to Community Survey respondents from the Merrimack River Valley Landscape, 59 percent received Essex Heritage E-News (as compared to 81 percent in the Inland Rural and Scenic Landscape, 73 percent in the Marshlands and Beaches Landscape, and 70 percent in the Rocky Coast and Harbors Landscape); 35 percent received the 10-year Anniversary publication (as compared to 62 percent in the Inland Rural and Scenic Landscape, 53 percent in the Marshlands and Beaches Landscape, and 37 percent in the Rocky Coast and Harbors Landscape); and 46 percent received *The Explorer's Guide* (as compared to 64 percent in the Inland Rural and Scenic Landscape, 73 percent in the Marshlands and Beaches Landscape, and 48 percent in the Rocky Coast and Harbors Landscape).

⁹ Community Survey respondents cited brochures, not necessarily ENHC brochures, as the most prominent way they learned information about the region's three core themes—the histories of early settlement, maritime trade, and the textile and leather industries. Knowledge of the three core heritage themes was assessed through basic true and false questions on the Community Survey. Then respondents were asked where they learned the information needed to answer those questions.

cultural and interpretive events free-of-charge and receive a quarterly newsletter from ENHC, *The Explorers Guide*. *The Explorers Guide* contains information about unique heritage destinations throughout the area. By the approximation of ENHC staff, the organization has 300 individual and 12 corporate Explorers. Since the inception of the program, participants have been surveyed five times, every 12-18 months.

While the Community Survey did not ask specifically about Explorers, data from at least three interviews revealed that *Trails & Sails!* was the most impactful of ENHC programs followed by Explorers. According to one respondent:

Their (ENHC's) Explorers Program does a good job of promoting. Members who are Explorers are invited to go out and spend time in some resource area. That's a good way of having people learn more about the resources. The other thing they do that is very valuable is *Trails & Sails!*

STRATEGIC USE OF THE MEDIA

Strategic use of the media is another opportunity for heritage organizations to promote and raise awareness of important resources. For this reason, the evaluation team reviewed 162 articles published between 1996 and 2009 on a wide range of ENHC-related stories.

Through a media search of newspaper articles published over the last twelve years, the evaluation team identified that ENHC has been able to make strategic use of the media as reported by the local press.¹⁰ Findings from the evaluation team's media analysis are as follows:

ENHC's media contacts seem to represent a wide cross-section of regional newspapers and other media outlets.

Local papers in different parts of the country (e.g. Augusta Chronicle, Portland Press Herald, The Derrick in Pittsburgh) refer to ENHC in the context of stories about local National Heritage Areas. While ENHC is sometimes mentioned in a list of other National Heritage Areas, it is often singled out as a model heritage area.

The Boston Globe was by far the largest regional media outlet that covered ENHC's activities. The Globe published at least 90 stories related to ENHC over the past 10 years, and boasts a circulation of nearly 400,000. The Globe reported on more ENHC activities than were covered anywhere else. Stories covered by The Globe included: Trails & Sails!, the Photo Contest, the grant program, funding successes and shortfalls, and human interest stories on ENHC Trustees and Commissioners. Stories on Trustees and Commissioners focused on their role in their communities, but also touched on their service with the ENHC.

In recent years, the wickedlocal.com website has provided a great deal of coverage of ENHC grants, activities, and general updates. This website is a network of town-specific newspapers and community information. In addition to posting ENHC press releases and small news stories, wickedlocal.com also publishes Tom Leonard's¹¹ column, "ENHC Matters."

¹⁰ Due to the small circulation of several community papers (e.g., the *Georgetown Record's* circulation is approximately 1,700 households), it is likely that the media search did not uncover many ENHC-related stories that may have been published in these small papers.

¹¹ Leonard is one of the founders of ENHC and the current president emeritus.

The most popular news article topics were grants awarded through ENHC's Partnership Grants Program, Trails & Sails!, and coverage of partner organizations that mentions the heritage area. In recent years, the Photo Contest has been well represented in print outlets.

4.1.2. Heritage Programming, Interpretation, and Education

The Area Plan recommends that ENHC conduct and coordinate activities that increase public use and understanding of the region's unique resources. Interpretive and educational programming should incorporate the following three core concepts: (1) encourage partnerships; (2) create wayside exhibits, guides, maps, and other materials; and (3) "encourage interpretive and education grants, and place a priority on matching grants for educational activities with high potential for transferability and intra-regional cooperation" (Essex National Heritage Area Plan, 1999, p. 37). This section explores ENHC's activities considering these recommended actions in the Area Plan.

As described in Section 3.4, ENHC's early programmatic activities focused closely on interpreting the three core themes described above for visitors and residents. The Community Survey revealed that between 63 percent and 95 percent of respondents were familiar with the three core themes of the heritage area. Further, as described in Section 4.1.1, respondents reported learning about the three core themes generally from brochures and specifically from ENHC. Therefore, it is probable that ENHC's brochures and published materials contributed to respondents understanding of the three core themes.

In addition to collateral materials, ENHC collaboratively executed educational programs targeting teachers. Based on a strategy to cultivate appreciation of heritage resources in the long-term, ENHC targeted teachers who would educate the next generation of residents of Essex County on heritage resources. ENHC's teacher-targeted educational programs are described below.

FOUNDATIONAL EDUCATION PROGRAMMING

The ENHC Programmatic Timeline (Appendix E) describes several education programs targeting educators including:

Discovery Boxes (1998 - 2003). Developed in partnership with NPS, ENHC created a hands-on educational tool for classroom use that featured artifacts from resources throughout the region.

Educators Workshops (1998 to present – adapted and continued in Using Essex Heritage and Essex LINC). ENHC developed a series of workshops co-hosted with NPS. These workshops were designed to raise educators' awareness of resource-based educational programming and facilitate information sharing between educators and preservationists.

Curriculum Guide (1999–2003). Developed in partnership with NPS, ENHC created an educational resource guide listing educational programs at more than fifty sites in the heritage area.

Each of these programs began in the early stages of the heritage areas' development and has given way to other initiatives. Nonetheless, the strategy of educating educators about heritage resources has carried over to more recent ENHC programming, e.g. Using Essex History and Essex LINC.

USING ESSEX HISTORY

Using Essex History (UEH) was developed in 2005 to help middle and high school educators make connections between the heritage resources of Essex County, the Massachusetts Curriculum Frameworks, and the Massachusetts Comprehensive Assessment System. Offered through a partnership between ENHC, Salem State College, Beverly Public Schools, and the National Archives and Records Administration, this program is composed of monthly school-year seminars, a summer institute, and a web-based resource center.

In 2007, 27 high school teachers from 21 public schools participated in the monthly seminars, and 30 completed the graduate-level summer institute. Also in 2007, UEH provided teachers with an average of 50–75 primary resources for each seminar, with a great majority of primary source materials from local historic sites in the area.

UEH is funded by a Teaching American History grant received from the U.S. Department of Education and will conclude after a final summer institute in 2009. UEH curriculum is developed by the project's Academic Director, an employee of Salem State College, and contractors external to ENHC whose time is paid for by the grant. Additionally, UEH maintains an Advisory Board composed of ENHC partners, teachers, and school principals. A part-time researcher provided by the National Archives provides topical research support. While Salem State College will continue to host the project's website into the future - including all of the curriculum and resources housed there. At the time of the evaluation there were no firm plans to continue this program in its entirety.

ENHC has played two primary roles in UEH: (1) fiduciary agent, and (2) that of supporting the identification of local heritage sites and resources to use for primary source analysis in the curriculum. ENHC also supports several technical components of the program, including creation and management of the website and digitization of resources for web access. According to the UEH Annual Reports 2006—2008, the ENHC financial manager was budgeted to work up to 30 hours/month with UEH. Staff interviewed by the evaluation team report that ENHC has been an integral partner in UEH due to its role as fiduciary agent. Interviewees reported that the process of creating purchase orders and navigating them through bureaucratic school districts was complex and time consuming; ENHC's ability to take on this responsibility was a great help to the program.

Brown University's Education Alliance has evaluated UEH each year and found that the program is successfully meeting several objectives: (1) increasing teachers' knowledge of American history, (2) improving teachers' pedagogical approach and quality of curriculum, and (3) providing history teachers with much-needed professional development opportunities. The Brown evaluation team found that the positive impact UEH has had on teachers' knowledge of American history extends to local history.

The teachers...spoke about local historical sites and resources to a greater extent as a result of participating in UEH activities, and emphasized the importance of 'taking advantage of local history' (U.S. Department of Education, 2008 p. E6).

Additionally, the data indicated that some teachers feel more confident about visiting and working with their local historical society because of their participation in UEH (U.S. Department of Education, 2008, p. E10).

UEH has been successful in reaching educational objectives identified in the Area Plan. At present time, however, neither ENHC nor its partner organizations have developed a firm strategy for continuing its existence in full, a challenge often associated with grant funded projects. In lieu of a fully-functional UEH program, ENHC has taken measures to ensure that the resources for teachers generated by the program continue to be available. In that respect, Salem State College is hosting the site and keeping it current. The website will remain accessible for program "alumni" and the general public. The website has primary

resources, links to local historical institutions and lessons. During interviews, ENHC staff discussed applying for a new Teaching American History grant with a handful of potential partners. However, due to the time it takes to secure funding there may be a gap in educational programming targeting middle and high school teachers even if they are able to secure additional funding.

ESSEX LINC'S

Essex LINC's, an educational program that began in 2007, adapts the UEH model for elementary school teachers. Essex LINC's is also offered in partnership with Salem State College, Beverly Public Schools, and the National Archives and Records Administration. Again, ENHC is responsible for fiduciary oversight, connecting curriculum to local resources, and web development. Essex LINC's adopts UEH's model of school-year seminars followed by summer institutes with continuous access to a web-based resource center.

The program has been evaluated by an independent firm, Sun Associates, based on four elements: (1) teacher knowledge of American history, (2) student interest and knowledge, (3) project created materials, and (4) project professional development. Based on preliminary data from the first year, the evaluation found that the project met its objectives. Further, the Sun Associates evaluation team noted "gains in participant American history content knowledge," and "enthusiasm about the content knowledge and teaching strategies" (Sun Associates, 2008, p. 2). According to one seminar participant: "I never thought of local history as a window into national and world history. I can see its effectiveness."

Preliminary data on this new project suggests it is poised for success.

EDUCATION PROGRAMMING DIRECTLY TARGETING STUDENTS IN DIVERSE COMMUNITIES

In addition to targeting teachers, ENHC focused education programming directly on students in diverse communities through "History in the Making" from 1998 to 2007 in order to instill knowledge and appreciation of heritage resources among youth. "History in the Making" was created through an ENHC partnership grant in 1998, and continued as an afterschool program in several Essex County communities. This program combined history with art, dance, and other mediums to encourage school-aged children to engage in the heritage of their urban communities. Since the program's conclusion in 2007, ENHC has focused on partnering more closely with NPS at Salem Maritime and Saugus Iron Works on enrichment programs for children. For example, in 2007, ENHC and NPS worked jointly to develop the tall ship *Friendship's* Junior Ranger Ship's Mate program. According to ENHC, nearly 1,000 disadvantaged youth from Lynn Public Schools and Lynn Girls Inc. participated in the program.

4.1.3. Preservation and Resource Stewardship/Planning & Design Assistance¹²

As ENHC evolved, there became less of a distinction between Preservation and Resource Stewardship, and Planning and Design Assistance as described in the Area Plan. For this reason both groups of programmatic activities are explored in this section. Preservation and Resource Stewardship includes activities that support long-term preservation and conservation of historic heritage resources such as: (1) collaboratively identifying key resources, (2) launching an inventory of preservation activities, and (3) providing and coordinating technical assistance for resource protection. Similarly, the Area Plan directs ENHC to pursue technical and financial assistance activities in order to meet the Planning and Design Assistance Mission Goals in the Area Plan. This section explores both sets of these activities compared to directives in the Area Plan.

¹² During discussions with staff and focus groups, it became apparent that since the publication of the Area Plan, ENHC has folded the "Planning and Design" category into "Preservation and Resource Stewardship."

Preservation Technical Assistance

HISTORICAL RECORDS COUNCIL

ENHC leveraged research to fulfill technical assistance and preservation goals described in the Area Plan through the Historical Records Council. ENHC formed the Historical Records Council in 2000, a year after a feasibility study recommended that ENHC create an initiative to preserve historic records and make them more accessible to the public. The Historical Records Council supports the Archives Initiative through sponsorship of conferences and hands-on workshops. The Council also cultivates partnerships to enhance regional capacity to preserve archives in the same collaborative manner originally modeled by ENHC.

With the Historical Records Council, ENHC was a catalyst for collaborative community-wide preservation technical assistance. After ENHC shepherded the program, the Historical Records Council formally became a stand-alone initiative separate from ENHC. See Section 6.5 for additional insights on the sustainability of programming originally launched by ENHC.

At least three interviewees cited ENHC's inability to sustain funding for the Historical Records Council as the primary reason for the program's separation. According to one community partner interviewee, "The Historical Records... was funded by ENHC but because of [ENHC's] financial problems it has established a life of its own." Other interviewees go on to say that the Historical Records Council has been successful in providing technical assistance to organizations within the heritage area. Further, the Council seems to be on the road to broadening its impact to support historic societies in the state of Massachusetts.

Organizational Development Assistance

While the Historical Records Council was an example of a formal technical assistance program for historic preservation organizations, many partner interviewees spoke highly of ENHC's informal organizational development assistance that was more widely available to organizations within the network. These remarks were reinforced by Community Survey data. Organizational development assistance included outreach and facilitating community connections.

OUTREACH AND FACILITATING COMMUNITY CONNECTIONS

When asked if and how ENHC improved their capacity, about half of interviewees reported that ENHC assisted in their ability to conduct community outreach and facilitated important relationship building with other stakeholders in the heritage area. According to one community partner interviewee:

...working collaboratively with them helped actually, they did bring a lot to the project... a significant amount of the organizing... they helped the program make a lot more inroads than we may otherwise have been able to do independently without them.

Further, ENHC's organizational development assistance was particularly useful for leaders of small heritage organizations with limited capacity. According to one community partner interviewee:

We are very low budget... it helps us leverage because we have a small budget and were small staff and so partnering with them definitely helps increase our presence.

ENHC’s efforts with regard to outreach and facilitating community connections enhanced the reach of programming and improved the visibility of heritage organizations. The majority of organizations surveyed attributed similar benefits to their affiliation with ENHC. Seventy-seven percent of Community Survey respondents reported that being affiliated with ENHC improves their ability to deliver services to the community. Eighty percent reported that affiliation improves marketing, outreach, and the ability to access the community.

Interview and survey data reveal that affiliation with ENHC facilitated and underscored the importance of partnerships. According to one community partner interviewee, “ENHC showed that having a strong local community network is pretty key.” Eighty-eight percent of survey respondents reported that affiliation with ENHC improved their organizations’ ability to collaborate with groups that have similar missions.

Finally, more than three interviewees reported that in many instances outreach and facilitating community connections led to increases in program revenues. According to one community partner interviewee, “I would never have met the president of Saugus Bank.” After networking with the community partner interviewee at ENHC events, the President of Saugus Bank, (who is also an ENHC board member) made a financial contribution to his/her organization.

In general, interviewees and Community Survey respondents (seventy-six percent) reported that affiliation with ENHC helped their organizations fulfill their missions. Figure 4-2 below outlines the complete set of reported benefits to ENHC affiliates.

Figure 4-2. Reported Benefits of ENHC Affiliation¹³ %(n)

	False	Neither True Nor False	True	Total
Improves my organization’s ability to collaborate with groups that have similar missions	3 (3)	17 (18)	80 (88)	100 (109)
Improves my organization’s ability to deliver services to the community	3 (3)	20 (22)	77 (84)	100 (109)
Hosts events that generally benefit my organization	3 (3)	28 (30)	69 (74)	100 (107)
Helps my organization improve attendance for our events	10 (11)	38 (41)	52 (57)	100 (109)
Improves marketing, outreach, and ability to access the community	6 (6)	20 (22)	74 (80)	100 (108)
Helps my organization to grow and build capacity	10 (10)	39 (42)	51 (55)	100 (107)
Improves my organization’s ability to secure funding	15 (14)	32 (34)	54 (58)	100 (107)
Helps my organization fulfill its mission	4 (4)	20 (21)	76 (82)	100 (107)

Figure 4-3 below outlines reported challenges of ENHC affiliation. Few Community Survey respondents reported challenges due to their affiliation with ENHC. While only 15 percent of respondents reported that ENHC limited the pool of financial resources available to community groups by competing for scarce dollars, over half of interviewees reported that without federal funding, ENHC had the potential to diminish the financial capacity and sustainability of nonprofit heritage organizations.

¹³ Survey responses that were “very false” or “somewhat false” are combined as “false”. Responses that were “very true” or “somewhat true” were combined as “true”.

Figure 4-3. Reported Challenges of ENHC Affiliation¹⁴ %(n)

	False	Neither True Nor False	True	Total ¹⁵
Limits my organization's ability to collaborate with groups that have similar missions	77 (80)	20 (21)	3 (3)	100 (104)
Limits my organization's ability to fundraise	70 (73)	25 (26)	6 (6)	101 (103)
Limits the pool of financial resources available to community groups by competing for scarce dollars	60 (61)	26 (27)	15 (15)	101 (103)
Decreases my organization's capacity to reach the community by offering too many or competing events	68 (70)	25 (26)	8 (8)	101 (104)
Makes it more difficult for my organization to fulfill its mission	77 (79)	18 (19)	5 (5)	100 (103)

ADDITIONAL TECHNICAL ASSISTANCE THROUGH THE NONPROFIT INITIATIVE

In addition to informal organizational development assistance, ENHC conceptualized the **Nonprofit Initiative**, a formal technical assistance program in the developmental phases. The *Historic Site Situation Assessment and Opportunity Identification*, a study commissioned by ENHC, established the foundation for the Nonprofit Initiative. A consulting firm named Cause & Effect, with support from Brown University, completed the assessment “to explore opportunities for strengthening a number of small heritage organizations within the Essex National Heritage Area” (Cause & Effect, 2009, p. 3). In commissioning the assessment, ENHC was particularly interested in identifying opportunities for collaborative action that might provide support and technical assistance to small heritage organizations.

The assessment analyzed 10 small heritage organizations in Essex County, and identified their heritage preservation needs (e.g. attracting visitors, preserving and caring for historic collections, and ensuring community relevance) as well as organizational capacity (e.g. revenue diversification, staff management, and board development). The study recommended several opportunities for ENHC to work collaboratively with and/or support these small organizations, including: sharing staff, knowledge, and expertise, collaborative grant seeking, and general capacity building.

Interviewees reported that capacity building through the Nonprofit Initiative would be a great asset to heritage organizations, particularly in difficult economic times. According to two interviewees:

They've made an impact yes. Could they have made a much larger impact? Absolutely. Our region is just having huge financial problems. We're struggling... a police chief just got his pink slip. People are really anxious and upset and nervous about the future of the region. I think if ENHC had tried to build more collaborative partnerships addressing these major financial issues that would have been a huge help.

One of the big issues is that they have higher than average nonprofit employment in Essex County. If you take out government employees one in four employees works in nonprofits in Essex County.

¹⁴ Survey responses that were “very false” or “somewhat false” are combined as “false”; similarly, responses that were “very true” or “somewhat true” were combined as “true”.

¹⁵ Due to rounding, percentage totals may not add up to 100 percent.

Massachusetts State is one in five. And you also have a limited pool of funders and a limited pool of board members. The nonprofit initiatives provide support to one of the major employers and in an economic time that is challenging particularly for the nonprofit sector.

Despite these recommendations to provide technical assistance, the extent to which ENHC has the capacity to implement recommendations is unclear. ENHC has been affected in many ways by the economic downturn that began in 2007, including the elimination of \$93,000 in funds promised by the State of Massachusetts during the time of this evaluation. This cut in funding affected ENHC's ability to continue the Partnership Grants Program, which is further discussed in Section 4.2.4.

Preservation Research

In addition to providing financial and technical assistance to community groups, ENHC worked collaboratively with communities to identify key heritage resources and prioritize needs for long-term resource protection.

HERITAGE LANDSCAPE INVENTORY

The Massachusetts Department of Conservation and Recreation (DCR) and ENHC executed the Heritage Landscape Inventory (HLI) from January 2004 through June 2005. HLI created a catalog of heritage landscapes that the community identified as valuable and were within the federally designated heritage area. Communities identified a wide range of landscape resources, particularly those that are "significant and unprotected" (Massachusetts Heritage Landscape Inventory Program, 2005, p. 1). Additionally, HLI articulated strategies for preserving heritage landscapes.

HLI was a collaborative community program that engaged diverse preservation organizations. Twenty-four of Essex County's 34 municipalities participated in the HLI. Together, participants identified 1,320 heritage landscapes with anywhere from 37 to 95 per community. These landscapes included parks, burial grounds, neighborhoods, industrial complexes, natural features, and scenic roads. As of 2008, 90 properties identified during the inventory have received attention, be it in planning, outreach, regulation, acquisition, and/or maintenance.

4.1.4. Heritage Development and Infrastructure

Promote economic development that will benefit the communities of the heritage area and build upon its historic, natural, and cultural resources.

- Essex Heritage Area Plan, Heritage Development and Infrastructure Mission Goal

The Area Plan describes Heritage Development and Infrastructure in terms of the physical components of the heritage area: visitor centers, trails, and signage. The Area Plan directs ENHC to: (1) clarify and reinforce the network of visitor centers such that they are better prepared to educate the public and interpret the value of the heritage area and (2) provide the public with access to regional resources through a system of connecting trails, regional routes and signage. This section explores ENHC's activities and accomplishments considering these Area Plan directives.

Physical Developments and Improvements

REGIONAL SIGNAGE

ENHC's unified signage program began in 1998 with the installation of 85 highway signs directing residents and visitors to NPS and regional visitor centers, as well as 87 site signs at historic, cultural, and natural resources. ENHC has continued to maintain and add signage for additional sites, historic districts, and trails, while ensuring a standardized, "branded" approach to this element of regional identity.

ENHC has published two sign standards manuals intended for use by Massachusetts Highway Department Personnel, local and regional governments, historic and natural resource managers, and sign contractors. The first of these manuals was published in 1998, and revised in 2001. These manuals include detailed graphic standards and technical specifications for directional roadside signs, site identification signs, and informational and interpretative signs. The manual identifies signage standards for historic districts, historic sites, natural resource sites, railway stations, visitor centers, state and local roadways, and historic farms and farm stands.

The 2001 manual establishes the following goals for the Essex National Heritage Area unified signage system:

- Provide a welcoming statement for visitors
- Generate a sense of pride in its residents
- More powerfully market the region for economic development
- Increase visitorship and strengthen the role of historic and natural resources in the heritage area
- Promote safe and efficient transportation
- Ensure a clear and consistent message
- Provide a structure for future updating and maintenance

ENHC signage was recognized by most survey respondents regardless of their level of engagement with heritage organizations and regardless of their region of residence within the heritage area. Aggregate findings from the Community Survey revealed that 72 percent of respondents recognized the ENHC signage; this figure is comparable to 86 percent of survey respondents who recognized NPS signage. After analyzing data by type of resident (citizen vs. engaged resident), and by regional town landscape (Merrimack River Valley, Inland Rural, Marshlands and Beaches, and Rocky Coast and Harbors), there were no significant differences. Citizens and engaged residents were equally likely to recognize both signs; similarly, residents across the different regional town landscapes were equally likely to recognize both signs.

Survey respondents reported seeing ENHC signage far more frequently than NPS signage. Forty percent of respondents reported seeing ENHC signage "a lot" or "almost everywhere" compared to 11 percent of respondents who reported seeing NPS signage at the same frequency. Further, 17 percent of respondents reported seeing the ENHC logo "never" or "somewhat infrequently" compared to 48 percent of respondents who saw the NPS logo "almost never" or "somewhat infrequently." This disparity is not unexpected as the number of ENHA sites is significantly greater than the number of NPS sites. See Figure 4-4 below for additional details.

Figure 4-4. Frequency of Seeing Regional Signage %(n)

	ENHC Signage	NPS Signage
Somewhat Infrequently or Almost Never	17 (24)	48 (82)
Sometimes	43 (60)	41 (69)
A lot or Almost Everywhere	40 (56)	11 (19)
Total	100 (140)	100 (170)

VISITOR CENTER NETWORK

With the installation of regional signage, ENHC worked to improve access to and the capacity of visitor centers. Starting in 1998, ENHC worked to link NPS and community visitor centers to create a region-wide network. After visitation to these centers increased, ENHC focused on building visitor center capacity by (1) providing operational grants, (2) marketing, (3) programming, and (4) volunteer development.

COASTAL TRAILS COALITION

In addition to creating regional signage and reinforcing the designated network of visitor centers, ENHC aimed to connect regional resources through a network of trails (rail trails) erected in the place of abandoned railroads. In 2003, ENHC coordinated a four-town regional partnership called the Coastal Trail Coalition (CTC) to advocate for a 30-mile public system of bicycle and pedestrian trails linking the communities of Amesbury, Newbury, Newburyport, and Salisbury.

All evaluation interviewees who knew about CTC agreed that without ENHC the four towns would have continued working independently and unsuccessfully on the trails. Before ENHC formed the coalition, each of the towns worked independently to establish a rail-trail that would exist only within town boundaries. Rail trails involve working through complex government bureaucracies and corporate structures including state transportation agencies, utility companies, and at times federal highways. The four towns were unable to navigate the rules of these agencies and the politics involved in erecting a rail trail. According to one community partner interviewee, “Without the Heritage Commission we would never get to where we are.” Another community partner interviewee gave additional details of the challenges facing the towns and the work of ENHC:

...the town of Salisbury and the city of Newburyport which is next door had both been trying to do something with respect to the rail corridor that goes through them. And they both had gotten, had made a little bit of progress but were stymied because the MBTA, which is the transportation agency that owns the track, was unwilling to make a long-term lease to the city or the town because they didn't want to foreclose the possibility of bringing back rail service. At the same time, the Federal Highway Administration couldn't [approve] a rail-trail unless they were guaranteed that it was there and protected for a long term. So the MBTA would give the town a short-term lease but Mass Highway insisted on long-term. And, Essex Heritage teamed up with the National Park Service Rivers and Trails program, which was wonderful. And they helped us organize cooperatively among the town and then through that we began to work legislators and eventually you know were able to work with our local legislators and with the kind of help from the Heritage Commission and the Park Service to convince the MBTA to change its policy and to adopt a, to enter into a lease that would be acceptable to the highway people. And then that then opened the door to beginning to work on the trails.

According to more than three interviewees, ENHC brought vital connections to the National Park Service River Trails and Conservation Program, political allies, and the technical expertise in navigating complex bureaucratic structures in Massachusetts.

Despite researchers' and real estate appraisers' conflicting opinions of the economic impact of rail trails, evaluation interviewees reported clear benefits of the rail trail¹⁶. Benefits according to interviewees were improvements to quality of life, access to neighbors, access to recreational activities, and the potential economic development of their towns.

As the four-town coalition got stronger and trail development moved forward, CTC became a thriving stand-alone organization. As a 501(c)(3) nonprofit organization with a clear charter and a strong board, CTC continues to receive technical assistance from ENHC, NPS Rivers Trails and Conservation Program, and the Rails-to-Trails Conservancy. CTC maintains board members with fundraising ability and boasts a growing membership. CTC continues to work on fund development, securing access agreements, and trail design and building activities. Section 6.5.3 further analyzes ENHC's ability to serve as a catalyst for sustainable community initiatives that support the vision of the heritage area.

BORDER TO BOSTON

CTC is not ENHC's only trail development project. The Border to Boston Trail is a 27.8 mile in-development trail that links Boston to communities to its north. Like CTC, Border to Boston is a collaborative multi-town initiative steered by ENHC, the National Park Service Rivers and Trails Program, the Metropolitan Area Planning Council (MAPC), and the Merrimack Valley Planning Commission (MVPC). The total population of the eight towns along the proposed trail route is 82,824 and approximately 47,000 people live within one mile of the corridor (Kentucky Rails to Trails Council, 2005). Proponents of the trail believe it will "serve the alternative transportation needs of the eight communities, as well as create public health, economic and recreational benefits" (Border to Boston ad hoc coalition Report, 2007, p. v).

While the vision for the Border to Boston Trail was developed by the North Shore Bikeways Coalition in 1994, the effort languished in inactivity until a 2003 meeting facilitated by ENHC. Meeting attendees, including advocates, elected officials, and planning staff agreed to pursue a collaborative approach to trail development. ENHC continued to support this loosely formed group as it more formally developed into CTC in February 2004. With CTC's success, ENHC worked with a host of stakeholders to drive momentum for the Border to Boston Trail by: (1) partnering with the East Coast Greenway Alliance in April 2004, (2) awarding grant funds for trail mapping and for the development of interpretative materials in June 2004, (3) applying for (and receiving) project status with the National Park Service Rivers and Trails Program in November 2005, and (4) providing ongoing technical and administrative support to the coalition's efforts. ENHC acted as an especially important catalyst in launching Border to Boston between 2003 and 2006, and remains an active partner in the coalition today.

¹⁶ A study of existing trails conducted by the National Trail Conservancy reports that 64 percent of adjacent landowners believe that the trail has no effect on resale values; 28 percent believed land values increased as a result of the trail. Further, 71 percent of realtors and appraisers believed that trail has no effect on adjacent residential property with 19 percent believing that the property values had increased (Kentucky Rails to Trails Council, 2005).

4.2. Objectives for Those Who Manage and Advise ENHC

The Area Plan charges those who manage and advise ENHC – the Commissioners, the Board of Trustees, and the staff - with several roles and responsibilities in the short and long-term management of the heritage area initiative. Further, the Area Plan directs the full body of ENHC – including the appointed Commissioners – to work collaboratively with the community to execute heritage activities.

While acknowledging that full implementation of heritage activities will be performed by multiple stakeholders, the Area Plan identifies four distinct sets of heritage activities that ENHC should pursue in slightly different ways: (1) actions that ENHC conducts directly, (2) actions contracted out by ENHC to outside specialists, (3) actions ENHC does in partnership with others, and (4) actions that ENHC achieves through grants and awards. The following section assesses ENHC's progress toward meeting Area Plan objectives.

4.2.1. Actions that ENHC Conducts Directly

According to the Area Plan, some initiatives should be directly carried out by the Commission, Board, and staff. Such actions are, for the most part, aimed at shaping the identity of the heritage area, establishing priorities, and coordinating the implementation of projects.

SHAPING THE IDENTITY OF THE HERITAGE AREA

ENHC's work in the areas of marketing and public outreach, and heritage and infrastructure development set the foundation for cultivating a regional identity. Marketing and public outreach events like *Trails & Sails!* have raised awareness of heritage resources throughout the region. Moreover, the heritage resources identified in marketing and public outreach activities are not specific to individual cities or towns but to the broader heritage area. Through heritage development and infrastructure projects, ENHC developed a unified signage system and the visitor center networks.

ESTABLISHING PRIORITIES AND COORDINATING THE IMPLEMENTATION OF PROJECTS

In order to establish priorities and coordinate the implementation of projects, the Area Plan calls for ENHC to create and make use of program subcommittees for every program area. While ENHC established some such committees—notably the Education Committee and Heritage Preservation Committee—evidence from community and ENHC interviews indicates that these groups are unevenly engaged, with some having little or no responsibility for establishing priorities. According to ENHC's Executive Director, the management structure and the concept of many committees was changed based on experience in order to increase effectiveness. Rigid committees that met just for the sake of meeting were replaced by committees focused on projects of particular interest to the partners such as the Border to Boston Rail Trail Committee and the Coastal Trails Coalition, or to special project committees that were formed to do a finite project such as the Heritage Landscape Inventory.

4.2.2. Actions Contracted out to Outside Specialists

The Area Plan recommends that “some actions should be contracted to outside specialists. There are a number of special projects, such as the design of wayside interpretative signs and travelling exhibits, that would best be accomplished by skilled professionals under the direction of the ENHA” (ENHC, 1999, p.5).

ENHC has implemented many of the suggested contracted actions, including development of training programs for visitor center staff, archive inventory and preservation efforts, the coordinated signage system, and interpretative exhibits (kiosks) and guides. Most of these actions were not only implemented successfully, but have also been sustained by ENHC beyond the participation of the initial contractor. This sustained effort is a direct result of expanding organizational capacity through the use of contracting specialists. These specialists were able to move forward with activities under the direction of ENHC without overburdening ENHC's staff. Further, ENHC has evolved beyond the initial action list of recommended actions in the Area Plan. ENHC has engaged specialists in several recent planning efforts that are key to the organization's current programs. For example, ENHC worked with contracted specialists to draft a feasibility study of the Nonprofit Initiative.

4.2.3. Actions Undertaken in Partnership with Others

According to the Area Plan, "one of the primary roles of the Commission is to foster partnerships among organizations, communities, and residents of the heritage area. In many cases, the Commission might initiate a project, but its implementation will be performed by other organizations and resources" (ENHC, 1999, p. 5).

The Area Plan affirms that partnership is a crucial ingredient for heritage area success, and indeed, most of heritage area's programmatic accomplishments can be linked to collaborative work. In each program area, partnership projects are often the most impactful and wide-reaching of ENHC's initiatives. A sampling of ENHC's partnerships by program area include:

Heritage Programming, Interpretation and Education – Early program work involved partnering with NPS to produce curriculum and workshops; ENHC is now engaged in broader partnerships with regional educational institutions through Using Essex History and Essex LINC's.

Preservation and Resource Stewardship/Planning and Design Assistance – ENHC spearheaded the Historical Records Initiative, a collaborative project created to preserve historic records and make them more accessible to the public. The initiative combines the efforts of large institutional partners and small preservation organizations to preserve archive materials. ENHC also launched the Heritage Landscape Inventory (HLI) in collaboration with the Massachusetts Department of Conservation and Recreation. HLI created an inventory of heritage resources through the work of 24 municipalities and heritage organizations.

Heritage Development and Infrastructure – Most of ENHC's heritage development and infrastructure work happens in collaboration with other organizations. The Coastal Trails Coalition and Boarder to Boston trail are good examples of collaborations for developing the physical infrastructure of the heritage area.

Marketing and Public Outreach – *Trails & Sails!* is dependent upon the individuals and organizations that partner with ENHC to deliver the multi-day event. ENHC also publishes marketing brochures that raise awareness of heritage resources in collaboration with other organizations.

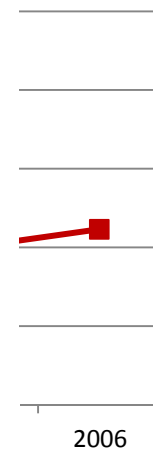
4.2.4. Actions Achieved through Grants and Awards

The Area Plan provides guidance on actions to be achieved through grants and awards. According to the Area Plan, ENHC may provide matching grants or special awards for projects that are implemented by other organizations. In order to achieve the heritage area’s goals, the Area Plan calls for an increase in the number of resources, sites, and organizations working cooperatively to further the area’s common objectives. This can be accomplished by awarding grants and other incentives to projects that are aligned with ENHC’s goals and objectives but do not require the direct supervision of the Commission or its staff.

THE IMPACT OF THE PARTNERSHIP GRANTS PROGRAM

The Partnership Grants Program was initiated in 1998¹⁷, and has been a highly visible incentive for the preservation and interpretation of historic, natural, and cultural resources in the heritage area. ENHC awarded over \$1.78 million¹⁸ between 1998 and 2008 to nonprofit organizations and municipalities across the heritage area. See Figure 4-5 below for the breakdown of ENHC’s yearly grantmaking awards.

Figure 4-5. ENHC Grants: Aggregate Grant Awards 1998 to 2006



The program has had a positive impact on ENHC’s ability to meet Area Plan directives by supporting projects in line with the five Area Plan elements. For example, grants have been awarded to develop interpretive materials and exhibits, develop educational curriculum and programming, and restore heritage resources. Further, some of the grant awards have supported local heritage and civic organizations by providing the funds necessary to maintain ongoing services and programming. Figure 4-6 and 4-7 illustrate how funds have been distributed by Area Plan element and region.¹⁹

¹⁷ There is no evidence of grantmaking activities prior to 1998 on ENHC’s 990 Tax forms
¹⁸ ENHC awarded \$1,271,677 in grants between 1998-2006
¹⁹ Note: Excludes funding information for 2004, which was not available on ENHC 990 tax forms.

Figure 4-6. ENHC Grants by Plan Element

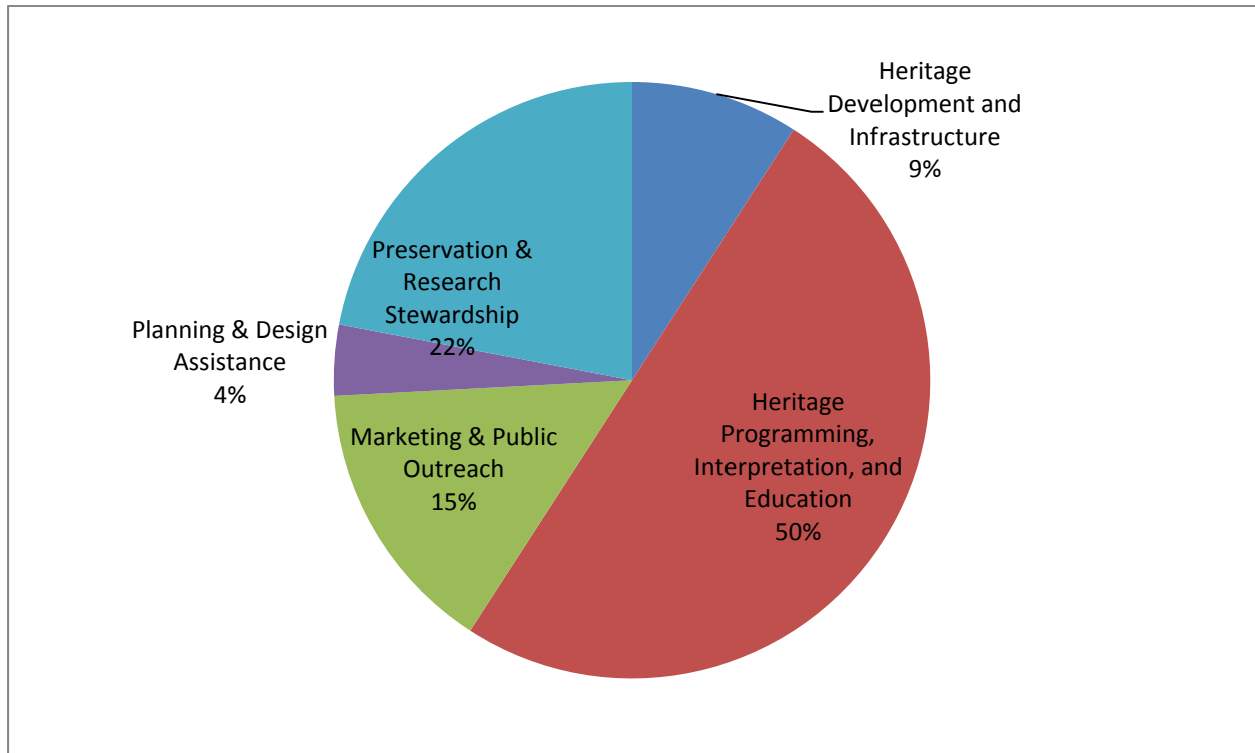
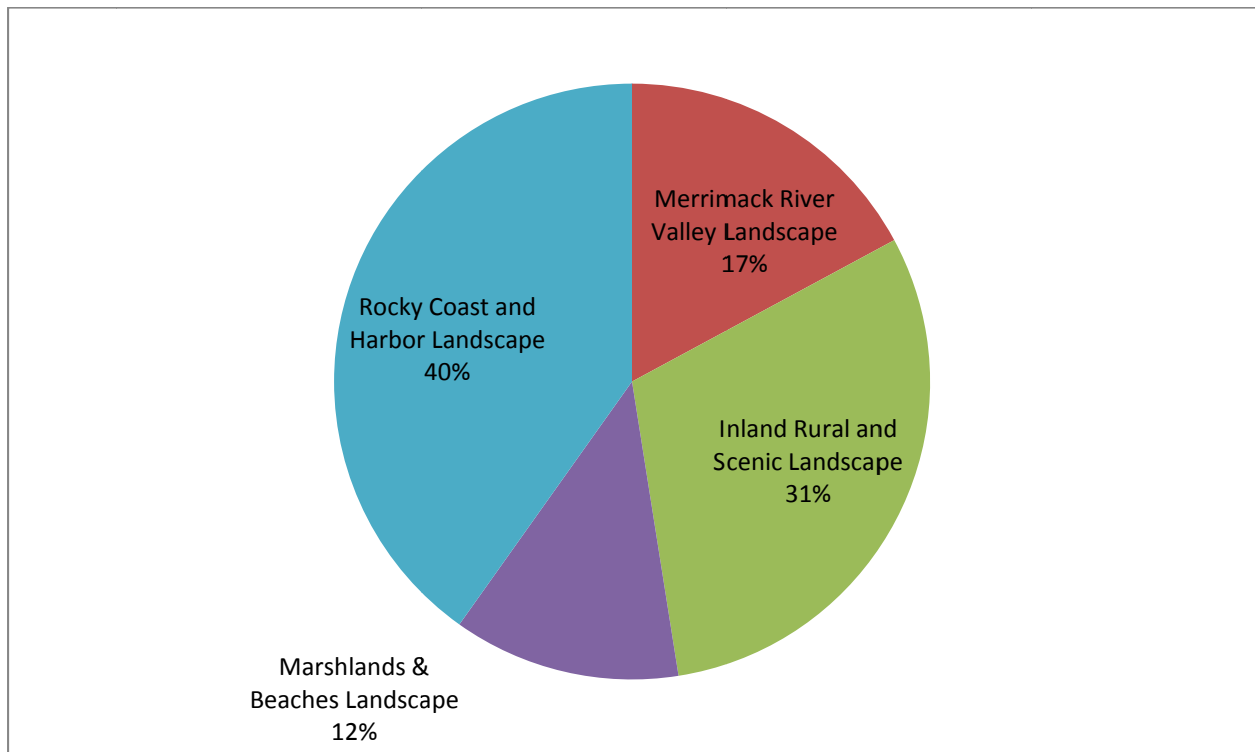


Figure 4-7. ENHC Grants by Region



Additionally, ENHC has created several awards programs, including **Pioneers in Partnership and Heritage Heroes**, to recognize individuals or organizations with outstanding heritage projects. Interviewees were overwhelmingly positive about the impact of the grants programs. Half of interviewees believed there would be a great loss to the community with the suspension of the program. One community partner interviewee noted that the grants provide not only financial support for small heritage organizations but also visibility and legitimacy:

Well I think what they [ENHC grants] do is provide support for small preservation organizations that otherwise um would be struggling more than they are now, or non-existent. I think that's a really important role... when you get outside of Salem, Ipswich, Gloucester, and Newburyport... there's a lot of very small towns in Essex County each with their teeny tiny little historical society... And often it's grants from the Essex Heritage Area or something like *Trails & Sails* that raises awareness in the local communities that these institutions exist and have something valuable to preserve in the community... I think that's a really important thing.

Due to unexpected budget cuts and general funding challenges, at the time of the evaluation the Partnership Grants Program had been suspended indefinitely²⁰. The choice to suspend the partnership grant program has minimized ENHC's ability to fulfill the financial assistance directive in the Area Plan. One community partner interviewee summarized the remarks of over two thirds of interviewees in his/her description of the impact the Partnership Grants Program had in the heritage area and the ability of ENHC to meet its fundamental organizational goals with the suspension of the program.

And I am very concerned that they're not doing these grants this year because I think that is absolutely wrong place for them to be saving money because I think that is their, one part of their core mission. Those little resource grants, they get magnified and magnified and magnified and leveraged so many times, I've used them in Amesbury so many different ways. They provide this great little bit of leverage, which is all a lot of these organizations need, because they have small budgets, they don't need a lot... And... that included all their grants, because they have different categories of grants; they have the historic records preservation grants, they have the buildings grants and they have the programs grants. It may have even been less than that, it just seems such a small amount of money compared to what their whole budget is.

The partnership grants program was a matching grant program. In order to receive the ENHC grant, organizations had to secure at least one—in some cases many—matching awards from other funders. By all accounts, interviewed recipients of ENHC grants reported that due to the clout and reputation of ENHC in the region, organizations could easily secure matching grants from other funders. **With the suspension of ENHC grants, all interviewees believed ENHC's former grantees would be unable to secure funds from alternate sources. Across the board, interviewees hypothesized that without ENHC's matching grants, small heritage organizations—particularly historic societies—would be forced to close.**

²⁰ The Grants program was suspended just before the evaluation began due largely to a \$93,000 cut in the funds expected from the State of Massachusetts. During discussions with ENHC staff and grantees, no mention was made of plans for alternatively financing and reinstating the program. After the evaluation team concluded data collection and analysis, ENHC was made aware of the draft findings. Two months later, ENHC reported that the Partnership Grants Program has been reinstated, although at a reduced amount. The evaluation team chose not to rewrite this section as it contains valuable information on the import, impact, and outstanding needs of the grants program.

While ENHC can probably still meet its federal 1:1 match requirement even without the grant program, its ability to create matching contributions will be greatly reduced. For example, ENHC's 2007 Annual Report lists 38 grants awarded through the partnership grant program totaling \$114,400, and "leveraging an estimated \$1,124,572 in additional non-federal investment in preservation and interpretation" (ENHC, 2007, p. 3). If this grant program created leverage had not existed, ENHC's total matching contributions for 2007 would have dropped from \$2,325,043 to \$1,200,471. While this would still have been well in excess of the \$786,230 in NPS Federal Assistance Funds, as shown in Figure 4.8 it would have reduced 2007's matching contributions from 3.0:1 to 1.5:1 (a drop of 48 percent).

Figure 4-8. Grant Program's Impact on ENHC's Ability to Meet 1:1 Match Requirement in 2007

	With Grant Program	Without Grant Program
Matching Contributions	\$2,325,043	\$1,200,471
NPS Federal Assistance Funding	\$786,230	\$786,230
Match Ratio	3.0 to 1	1.5 to 1

Due to the impact of suspending the program and the importance of the program to ENHC's core mission, at least three other interviewees, reported having concerns about ENHC's strategic decision-making ability. According to one of these interviewees:

If you're getting a million dollars of federal funding the advantage of that is the leverage across all of the organizations that you can support with that money... You're not in competition, you're collaborating with them and you can bring something to the table that helps them while they're helping you... When that goes away you've got to start to compete and you know it's an unfortunate fact of life. It affects our ability to collaborate with people because if they feel you are competing with them they're not as likely to wanna do that. And that's an important reason why we need to maintain some level of federal funding. Because if everything has to go from the corporate philanthropic organizations then you know, you're competing with all the others.

4.3. Building and Leveraging the Partnership Network

The Area Plan posits that the long-term success of the heritage area relies "on the development and maintenance of both strong internal and external partnerships. The Commission must engage the abilities and assistance of its own members as well as rely on public and private sector partnerships to accomplish many aspects of the Plan's goals" (ENHC, 1999, p. 47). ENHC has accomplished the majority of its work so far through collaborative action. Important outcomes for ENHC, residents, and organizations within the heritage area have evolved out of ENHC's model for partnerships, namely: (1) ENHC has served as a convener of heritage organizations, (2) ENHC has transcended the town-level parochialism that exists in Massachusetts which dissuades partnerships, by standing in for a non-existent county government, and (3) ENHC has worked to cultivate a regional identity and with it a regional sense of place.

ENHC as Convener and Connector of Natural, Historic, and Cultural Resource Conservationists

The Area Plan describes ENHC as a "catalyst for" and "facilitator of" region-wide preservation and planning efforts.

Survey respondents affirmed ENHC's role as a connector; when asked if ENHC "improves my organization's ability to collaborate with groups that have similar missions," 81 percent of respondents believed this statement was "true" or "very true. In an optional narrative feedback section, one respondent noted that a benefit of being affiliated with ENHC was that it is a "great way to meet others in the community with similar goals."

About half of interviewees echoed this finding, emphasizing that ENHC is able to bridge the gap between organizations of different sizes, locations, and preservationist personalities. According to one community partner interviewee:

The historic community in Salem is sort of, it's a crazy little place and I think ENHC is one of the few sort of umbrella organizations that can bring all of the different historic sites together ... I think that the more people we can get in conversation with each other...through ENHC...will be all to the better for Salem's historic community and for Essex County's historic community.

Transcending Parochialism in Massachusetts & Filling the Void of County Government

In addition to functioning as a community connector of resource conservationists, ENHC has worked to transcend town-centered parochialism that compromises the ability to create partnerships and a regional identity. The Area Plan suggests that while the resources in the area are rich, the "challenge is to unite these 34 communities, with their New England traditions of independence and autonomy, to support a regional vision that celebrates the integrity of each diverse part" (ENHC, 1999). Further, having abolished county governments in the 1980s, Massachusetts has increased challenges in forging cross-town connections.

CULTIVATION OF REGIONAL IDENTITY

ENHC has played a key role in encouraging communities to work together to cultivate a regional identity organized around the natural, cultural, and historic resources of Essex County. More than three interviewees supported this finding, which is illustrated by one community partner interviewee as follows:

They've done a lot around branding, making people feel proud about being in Essex County. That cohesiveness has come from them.

Interview and community survey data begin to reveal why ENHC was successful in cultivating a regional identity. Ultimately, ENHC advocates on behalf of heritage resources. These resources include historic and cultural structures that exist all over the heritage area; recreational trails that cross the boundaries of many towns; and natural resources like rivers, coastlines, and interior open landscapes that have no boundaries. At least three interviewees understood the transcending power of these resources, declaring "resources...don't know political boundaries, so there's a real benefit ... to begin to develop a greater sense of region." According to another community partner interviewee, resources "define the area" and are "the tie that binds the region together."

Community Survey data supports the idea that heritage resources unite portions of the region. Several questions on the survey probed for respondents' understanding of the heritage area's three core themes. One such question asked survey respondents to determine whether the statement, "Essex County has one of the largest rivers in New England," is true or false. By disaggregating respondents by region in the county, we learn that respondents from towns with river resources answered this question correctly more often than those

respondents from regions without rivers.²¹ Respondents from the Merrimack River Valley, Marshlands and Beaches, and Inland Rural scored high. The Ipswich River runs through Marshlands and Inland, and the Merrimack River runs through the Merrimack River Valley. There is no river in the Rocky Coast and Harbor regional landscape and those respondents were less likely to answer correctly.

Similarly, the evaluation team analyzed the frequency in which respondents reported visiting wildlife sanctuaries. Residents of Inland and Marshlands were more inclined to visit these regional assets. Further, these are the two regions with the most significant wildlife resources in Essex County.

This data suggests that the broader the regional scope of resources, the more impact landscape scale conservationists will have in educating residents about those resources. Because ENHC champions all resources in all parts of the heritage area, the organization maintains broad appeal. This appeal seems resilient enough to transcend the parochialism in Massachusetts that hinders the formation of a regional identity.

Sense of Place

Cultivating a regional identity is the precursor to cultivating a regional sense of place. A central theme to all heritage areas, the evaluation team defines sense of place in two ways—community sense of place and individual sense of place. E.C. Relph, author of *In Place and Placelessness*, supports these complementary ideas by his assertion that “landscape is very much an expression of communally held beliefs and values and of interpersonal involvements” (Relph, 1976, p. 34).

This definition has a global or community component which we refer to as community sense of place, and an interpersonal or individual component which we refer to as individual sense of place. Ultimately, community sense of places stresses community consciousness, while individual sense of place hones in on a personal and individual connection to the resources.

Many heritage areas assert that they cultivate sense of place. Survey findings, supported by interview data, begin to quantify and explain the extent to which this is true. A series of “sense of place” questions on the Community Survey asked respondents about their feelings relating to the importance of historic, natural, and cultural resources in Essex County. Respondents were asked if resources expressed community value—which would indicate community sense of place. And respondents were asked about their interpersonal experiences with the resources—which would indicate individual sense of place.²²

²¹The evaluation team grouped towns according to the four regional landscapes identified in the Essex National Heritage Area Plan:

- Merrimack River Valley Landscape: Amesbury, Merrimack, West Newbury, Haverhill, Groveland, Methuen, Lawrence, and Andover
- Inland Rural and Scenic Landscape: Georgetown, Rowley, Ipswich, Boxford, Topsfield, Hamilton, North Andover, Middleton, Wentham, Danvers, Peabody, Lynnfield
- Marshlands & Beaches Landscape: Salisbury, Newbury Port, Newbury, Essex
- Rocky Coast and Harbor Landscape: Rockport, Gloucester, Manchester-by-the-Sea, Beverly, Marblehead, Salem, Swampscott, Nahant, Lynn, Saugus

²²On a scale of one to five, respondents were asked to rank the extent to which they believed the following sense of place statements were true. High rankings indicated a high sense of place and low rankings indicated a low sense of place.

Community Sense of Place questions were:

- These resources are significant and important to my town.
- These resources are significant and important to my state.
- These resources are significant and important to the entire country.
- Essex County is a special place for the country.

COMMUNITY SENSE OF PLACE

In general, aggregate numbers reveal that respondents ranked high on community sense of place questions. Eighty to ninety percent of all respondents ranked high on the community sense of place scale, meaning that they strongly believed in the importance of the resources to the community. Further, respondents seemed to believe that the resources in Essex County were not just important to their small towns but to the state and even the entire country.

INDIVIDUAL SENSE OF PLACE

Respondents ranked individual sense of place significantly lower than community sense of place. When asked if resources were reflective of the respondent's personal history or culture, 50 percent ranked high, compared to 80-90 percent ranking high on the community sense of place scale.

However, disaggregating the data by citizens and engaged residents²³, and by town groupings adds additional insights.

Citizens were even less inclined to believe that resources were reflective of personal history and culture when compared to engaged residents. Forty percent of citizens, as opposed to 52 percent of engaged residents, believed resources were important to personal history and culture.

Residents of certain regional landscapes ranked quite high on individual sense of place. The Marshlands and Beaches regional landscapes stood out as being high on the scale with 73 percent of those residents strongly believing that heritage resources were important to their personal history. Meanwhile only 36 percent of residents of the Merrimack River Valley strongly believed that the resources were important to their personal history.

ADDITIONAL INSIGHTS ON TOWN GROUPS

Residents of Merrimack River Valley consistently lagged behind other town groups in Essex County on community sense of place scales. It should be emphasized that all towns ranked relatively high on this scale but the Merrimack River Valley group consistently lagged behind the other towns.

On the individual sense of place scales, the Merrimack River Valley ranked even farther behind the other town groups where respondents were asked if they created special memories with the resources. Sixty-nine percent of Merrimack River Valley residents strongly believed they were able to cultivate positive memories with the resources compared to 80-88 percent of respondents in other town groups.

Individual Sense of Place questions were:

- These resources reflect my personal history or culture.
- Essex County is a special place for me.
- Resources in Essex County helped me to create special memories.

²³Residents, or Citizens, are defined by survey respondents who did not indicate an interest group – conservation, education, arts and culture, preservation, or government – in their background data. Conversely, engaged residents are those respondents who identified as a member of one of the aforementioned groups.

THE ROLE OF ENHC IN CULTIVATING SENSE OF PLACE

Recall findings from Section 4.1.1 identifying that residents of the Merrimack River Valley were also less inclined to receive ENHC publications and outreach materials. *Does this imply that connection to the heritage area improves community or individual sense of place? Survey findings suggest that this is true.*

Residents who were aware of ENHC ranked higher on the following personal and community sense of place scales: Resources are important to my town, resources are special to me, and resources are special to the United States. Finally, paid ENHC membership (i.e. the Explorers Program) had no impact on sense of place. These findings suggest that the Merrimack River Valley is a potential key target for ENHC's marketing and programming efforts in the future.

ADDITIONAL INSIGHTS ON RESIDENT GROUPS

Residents were much less likely to exhibit personal and regional sense of place than their engaged counterparts. Only 60 percent of residents, compared to 80 percent of engaged residents, believed resources were highly important to their town. Further, 75 percent of residents, compared to 91 percent of engaged residents, believed resources were important to their state and/or country.

SENSE OF PLACE SUMMARY

In general, respondents ranked high on regional and individual sense of place scales. However, there is room to believe that organizations that champion natural, cultural, and historic resources — like ENHC— play a part in cultivating regional identity and subsequently sense of place. On ENHC and sense of place, one community partner reflected the view of at least three interviewees in saying:

... before the commission I don't think we had anything at all that was bringing focus to this region. You know sporadic attempts around common resources and things of that sort, but it wasn't until the Commission was on the scene that we saw a real advance in that sense of exposure and identity...

4.4. Evaluation of the NPS and ENHC Relationship

ENHC's connections to residents and community interests offer many benefits to NPS sites within the heritage area including: (1) broader connection to community, (2) educational and interpretation support, (3) technical assistance, and (4) securing additional resources for NPS. ENHC accomplished this through collaborating with the NPS on events such as Friendship Sails! and the reopening of Saugus Iron Works National Historic Site, as well as through the development of the Regional Visitor Center and the rehabilitation of the Salem Maritime wharves.

BROADER CONNECTION TO COMMUNITY

During interviews, staff at Salem Maritime National Historic Site (NHS) and Saugus Ironworks NHS reported connecting more deeply to communities in the heritage area through ENHC. Salem Maritime NHS and Saugus Ironworks NHS preserve and protect important national resources through education and outreach programs. During the region-wide event called Friendship Sails!, ENHC drew upon its connection

to a multitude of organizations and community members, and was instrumental in marketing to and engaging a broad audience of participants.

Park staff reported that they are able to reach larger constituencies for outreach and education through ENHC's marketing activities, such as the circulation of the electronic newsletter. In fact, one community partner interviewee discovered and learned about another NPS unit, Lowell NHS, through ENHC's website.

Further, NPS has direct access to influential leaders in each community through ENHC's body of Commissioners. ENHC's Commissioners are community leaders that span the public, private, and nonprofit sectors across Essex County. Commissioners serve as ambassadors, educating the public on ENHC's goals and activities. ENHC ensures that Commissioners are aware of the organization's partnership with NPS not only through updates, but also through person-to-person contact. ENHC invites NPS speakers to Commission meetings and occasionally convenes meetings at NPS sites. Additionally, the Superintendent of Salem Maritime NHS and Saugus Ironworks NHS serves on ENHC's Board of Trustees. Four interviewees noted an increased awareness of neighboring park units. According to one community partner interviewee:

... we were always aware of their presence but I would say barely. And probably a little bit more so with Saugus than Salem. And so I would say that it's only through the work with the Commission that we gained a much better understanding of their presence, again the important role they play... we don't have these as you know, these big national parks, and so I think it's a way in which... the mission of the Park Service through those places has gained exposure...

This community partner interviewee reported learning more about NPS through:

...a combination of just you know information that they would provide through their literature and so on, it would be you know meetings that would be held, particularly in Salem... just a general dissemination of information but then also just be getting there and getting a greater understanding of what it's about... I don't believe I had been to Salem believe it or not, before Essex came along...

ENHC facilitates community partnerships with NPS units due to its familiarity and relationships with staff at heritage organizations and local park units. Another community partner interviewee was able to do collaborative programming with local NPS units because of his/her relationship with ENHC; according to the community partner interviewee:

We have done a variety of different programs with Salem Maritime, and in that case Essex Heritage's partnership with the National Park Service has been helpful because it... it was just easier to get in touch with the right people and plan things with the Park Service through Essex Heritage than it would have been otherwise, I think. We've done about a program a year that uses Salem Maritime National Historic Site.

EDUCATION AND INTERPRETATION

In addition to providing communities improved access to NPS, ENHC has also built NPS's capacity to interpret its resources and educate the public once they have been engaged. ENHC has invested substantial time and expertise in developing educational materials, distributing interpretative brochures for local and non-local visitors, and preserving historical archives for public consumption. Salem Maritime NHS and Saugus Ironworks NHS are both small parks with limited interpretative staff; multiple staff reported regularly using ENHC materials to assist them in educating park visitors. According to one park employee:

Having that Essex National Heritage Area website to send people to if they're looking for information and for us to be able to go to that website to pull information for folks visiting the area is really really helpful... And the brochures and the programs they put together that we can just hand to people is fantastic.

Additionally, ENHC has involved park staff in educational programs that raise teachers' awareness of heritage resources. Staff from Saugus Ironworks NHS found the teacher workshops to be a particularly successful way of sharing the story of ironworks trading among communities across the county.

TECHNICAL ASSISTANCE

National parks in the heritage area also benefit from ENHC's technical expertise. When Saugus Ironworks NHS held its grand reopening in 2008, park staff relied heavily on ENHC's marketing expertise and fundraising capabilities. One community partner interviewee described ENHC's technical assistance in the following way:

We did our grand reopening this year and Essex Heritage was vital to making that happen. We used their publicity person quite extensively and she did a really good job putting together a kind of marketing plan for the whole thing. We ended up getting a donation from the *Lynn Item* of thousands of inserts in newspapers, did some special articles. We connected with other newspapers and broadcast media through the Essex National Heritage Area. We were able to connect with local businesses, they did a lot of funding for food and so forth for the event we did... Many thousands of dollars. There's no way we could have done that for ourselves, no way at all. ... We did an iron pour, which normally we wouldn't have been able to do because we wouldn't have had the money for materials, so the public was able to come in and make their own molds and pour some iron and that came from the business connections that were developed by one of the Commissioners on the Essex Heritage Board.

ENHC is also involved in the current business planning effort for Salem Maritime NHS's programs for the tall ship, *Friendship*.

SECURING ADDITIONAL RESOURCES

Due to its 501(c)(3) nonprofit status and strong connections to community leaders, ENHC is often able to procure financial and other types of resources and support for key NPS initiatives. Primarily ENHC secures financial support through direct fundraising. Additionally, ENHC has also provided fundraising support to Salem Maritime NHS by serving as a fiscal agent. According to one NPS interviewee:

Having the heritage area as a partner to assist us in marketing and funding and things like that, it's very helpful. Their maritime festival is a great example... they actually assisted us by accepting, they were able to accept donations.... We have a group that raises money but instead of having them go through the whole 501(c)(3) thing, we had folks basically donate to the Essex Heritage Area and then they handled that at the end of the donation process.

ENHC has also assisted the local NPS units with resource protection by acquiring real property. ENHC is currently working to acquire a historically significant property adjacent to Salem Maritime NHS. This property, the Baker's Island Light Station, will assist Salem Maritime in interpreting the core theme of maritime trade. The U.S. Coast Guard has granted ENHC the license to the light house station and will

likely transfer ownership of Baker's Island Light Station to ENHC in 2010 – 2011. Salem Maritime NHS will be able to use the light station in its outreach and interpretative activities.

ENHC REPORTING REQUIREMENTS

ENHC's use of NPS Federal Assistance Funds and relationship with NPS brings with it the requirement that ENHC submit numerous reports. These reports include items such as SF270 (Advance of Funds), SF272 (Federal Transaction Report), SF269 (Quarterly Financial Status Report), Annual Report of Accomplishments, and Annual Audits.

4.5. Fulfillment of Appropriation Related Requirements

The legislation that created the ENHA includes the following language with regard to appropriations:

SEC. 508. AUTHORIZATION OF APPROPRIATIONS

(a) IN GENERAL – There is authorized to be appropriated under this title not more than \$1,000,000 for any fiscal year. Not more than a total of \$15,000,000²⁴ may be appropriated for the Area under this title.

(b) 50 PERCENT MATCH – Federal funding provided under this title, after the designation of the Area, may not exceed 50% of the total cost of any assistance or grant provided or authorized under this title.

The following two subsections assess the extent to which ENHC met these two mandates

4.5.1. 50 Percent Match Requirement (Local Investment)

Section 508(b) of ENHA's authorizing legislation states that the NPS Federal Assistance Funds (NPSFAF) provided to ENHC cannot exceed 50% of its total assistance. The expectation is that ENHC will leverage its NPS Federal Assistance Funds by attracting the local community to make additional investments that support ENHC's mission. The authorizing legislation requires that this additional investment be at least equal to the level of NPS Federal Assistance Funds on a year-to-year basis. In conducting this evaluation the additional funding from non-Federal funding sources is termed *Matching Contributions* and is defined to be those contributions that meet the criteria for matching contributions in OMB Circular A-110 Section 23 (see Appendix K) regardless of whether or not they pass through ENHC.

Figure 4.9 shows ENHC's NPS Federal Assistance Funding, Matching Contributions, and the extent to which ENHC satisfied the 50% match requirement for the years 1998 - 2008. **Meeting the 50% match requirement in a given year requires that the ENHC's Matching Contributions be at least as much as its NPSFAF. Figure 4.8 illustrates that in every year between 1998 and 2008 ENHC's Matching Contributions were well above its NPSFAF, and in two years almost three times, its NPSFAF.**

²⁴This limit was originally \$10,000,000, but was increased to \$15,000,000 by subsequent legislation on May 8, 2008

Figure 4-9. ENHC Match Results For 1999 to 2008

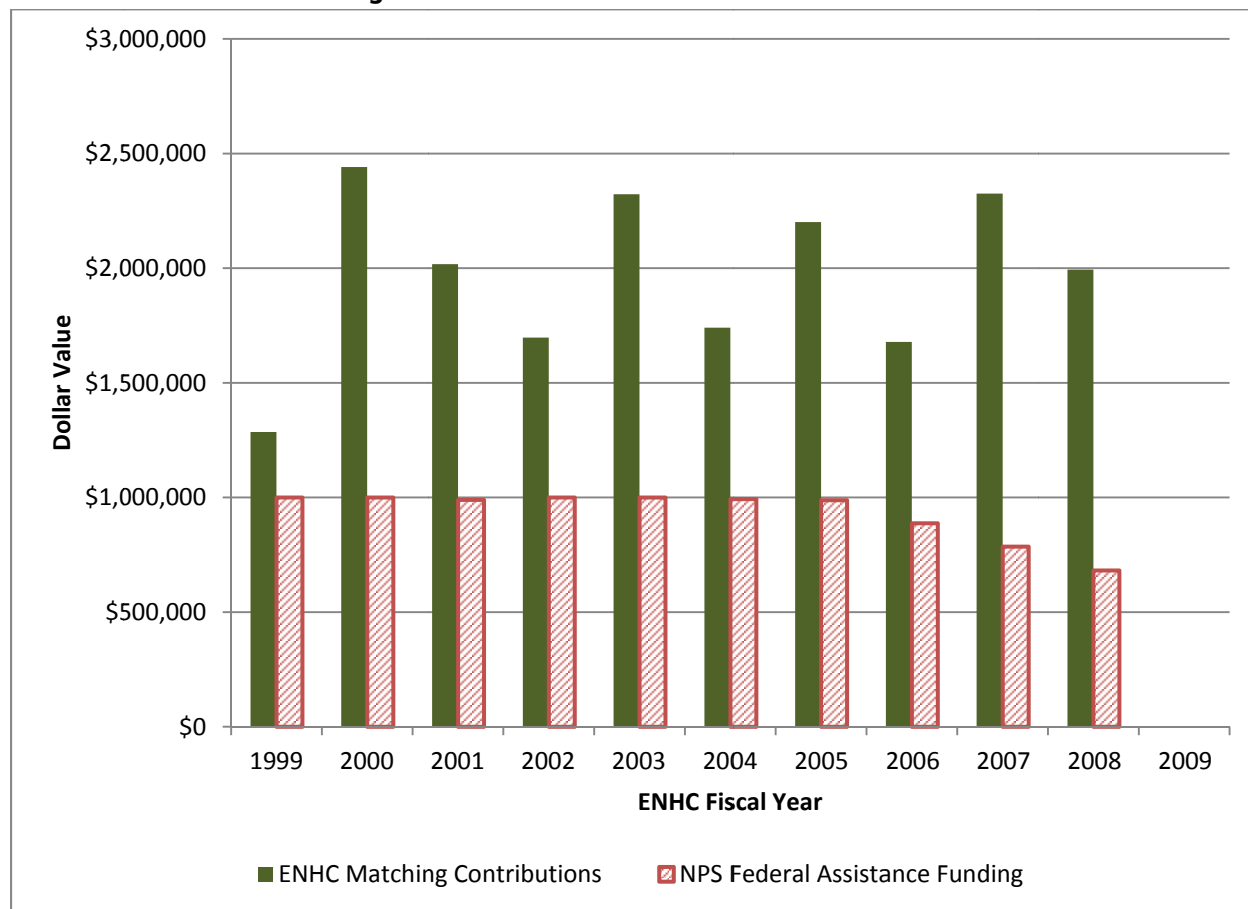


Figure 4.10 contains the data that was used to create Figure 4.9 and calculate a Leverage Ratio which is defined as the ratio of Matching Contributions to NPS Federal Assistance Funds. Reviewing ENHC’s yearly Leverage Ratios is informative in that it provides a direct measure of the extent to which ENHC met or exceeded the 50% match requirement. For example, if in a given year ENHC received \$900,000 in NPS Federal Assistance Funds and \$1,800,000 in Matching Contributions, the leverage ratio would be 2.0 indicating that every \$1 of NPS Federal Assistance Funds produced \$2 of Matching Contributions.

Between 1998 and 2008 ENHC’s Leverage Ratio was always above the required 1.0 and varied between 1.29 and 2.96. This indicates that each year ENHC was able to leverage every dollar of NPS Federal Assistance Fund into an additional \$1.29 to \$2.96 of Matching Contributions. The average leverage ratio over the entire 10 year period was 2.11, indicating an average of \$2.11 in Matching Contributions generated for every \$1 of NPS Federal Assistance Funds.

Figure 4-10. ENHC NPS Federal Assistance Funding & Matching Contributions 1998 – 2008

NPS/ Federal fiscal year ending:	ENHC fiscal year ending:	Amount Granted (in dollars)	Match Booked (in dollars)	Total (in dollars)	Leverage Ratio (must be >1.0)
09/30/98	06/30/99	1,000,000	1,285,475	2,285,475	1.29
09/30/99	06/30/00	1,000,000	2,441,149	3,441,149	2.44
09/30/00	06/30/01	990,000	2,017,787	3,007,787	2.04
09/30/01	06/30/02	1,000,000	1,697,163	2,697,163	1.70
09/30/02	06/30/03	1,000,000	2,322,665	3,322,665	2.32
09/30/03	06/30/04	993,000	1,740,290	2,733,290	1.75
09/30/04	06/30/05	988,000	2,201,246	3,189,246	2.23
09/30/05	06/30/06	888,000	1,678,593	2,566,593	1.89
09/30/06	06/30/07	786,230	2,325,042	3,111,272	2.96
09/30/07	06/30/08	682,207	1,993,481	2,675,688	2.92
		\$ 9,327,437	\$ 19,702,891	\$ 29,030,328	2.11

4.5.2. Total NPS Federal Assistance Funds

Section 508(a) of ENHA's authorizing legislation states that the NPS Federal Assistance Funds provided to ENHC cannot exceed \$1,000,000 in any fiscal year, and \$15,000,000 in total. **Figure 4.10 shows that ENHC is in compliance with this mandate in that it received no more than \$1,000,000 in NPS Federal Assistance Funds in any given year, and received a total of \$9,327,437 between 1998 and 2008.**

5. Public/Private Investments in ENHC

ENHC receives financial support from numerous sources and utilizes these investments to further its mission. This section examines the investments that have been made in ENHC since its inception, and analyzes how those investments have been utilized.

5.1. Financial Investment in ENHC Activities

The financial investments that support ENHC activities can be divided into the following three categories:

- NPS Federal Assistance Funding (NPSFAF) – Funding provided to the ENHC entity through NPS on an annual basis.
- Non-NPSFAF Funding – All non-NPSFAF funding, grants, contributions, donations, etc., made directly to the ENHC entity to help meet its mission.
- External Matching Contributions – The value of contributions, donated services/supplies, etc., that do not flow through the ENHC entity, but that do meet the criteria for OMB Circular A-110 Section 23 as investment by the local community that helps ENHC meet its programmatic objectives.

ENHC's financial statements indicate that between 1999 and 2008 a total of \$31,164,012 in financial resources was directed toward ENHC related activities. As shown in Figure 5.1, during this time External Matching Contributions and NPS Federal Assistance Funding accounted for almost 90% of these resources.

Figure 5-1. Total Financial Resources For ENHC Related Activities 1998 – 2008

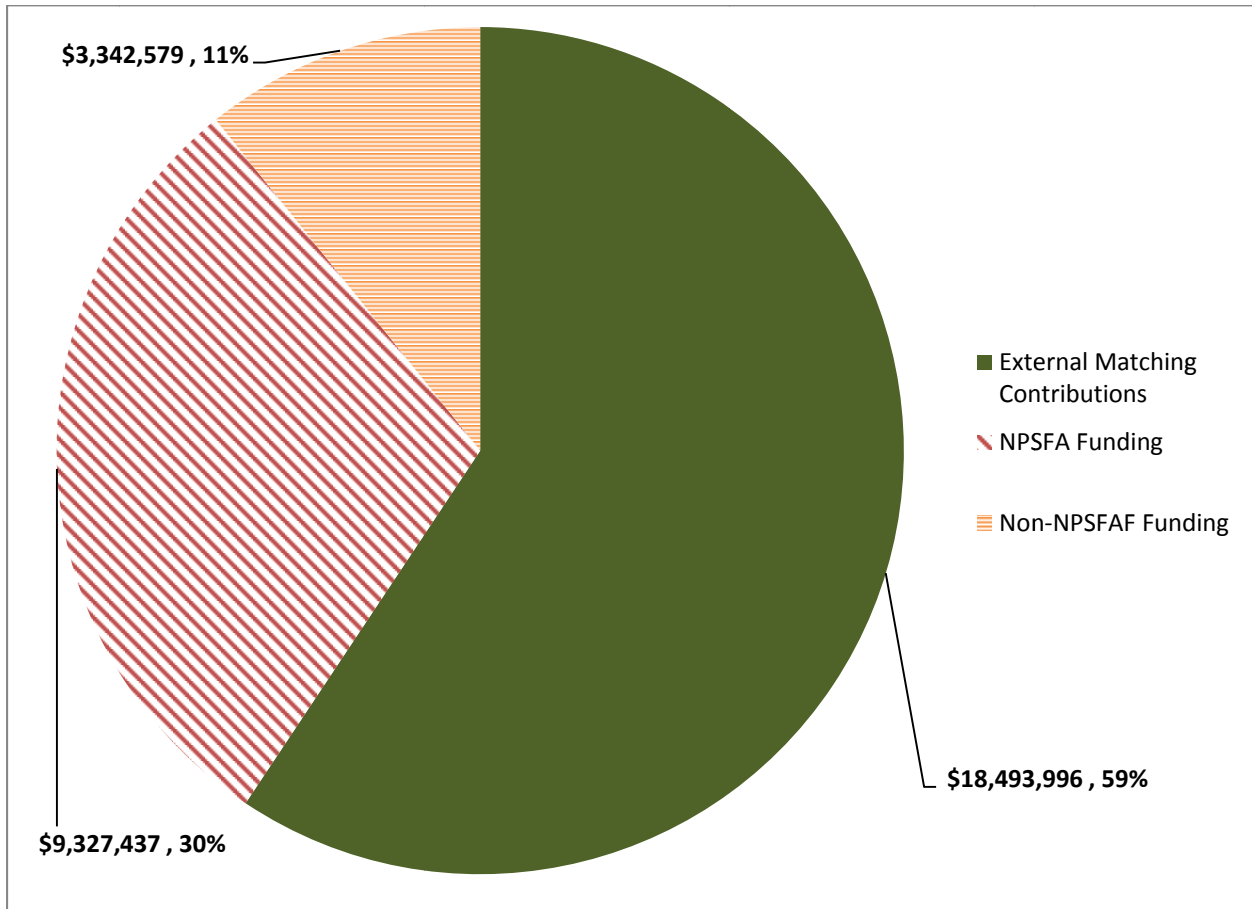
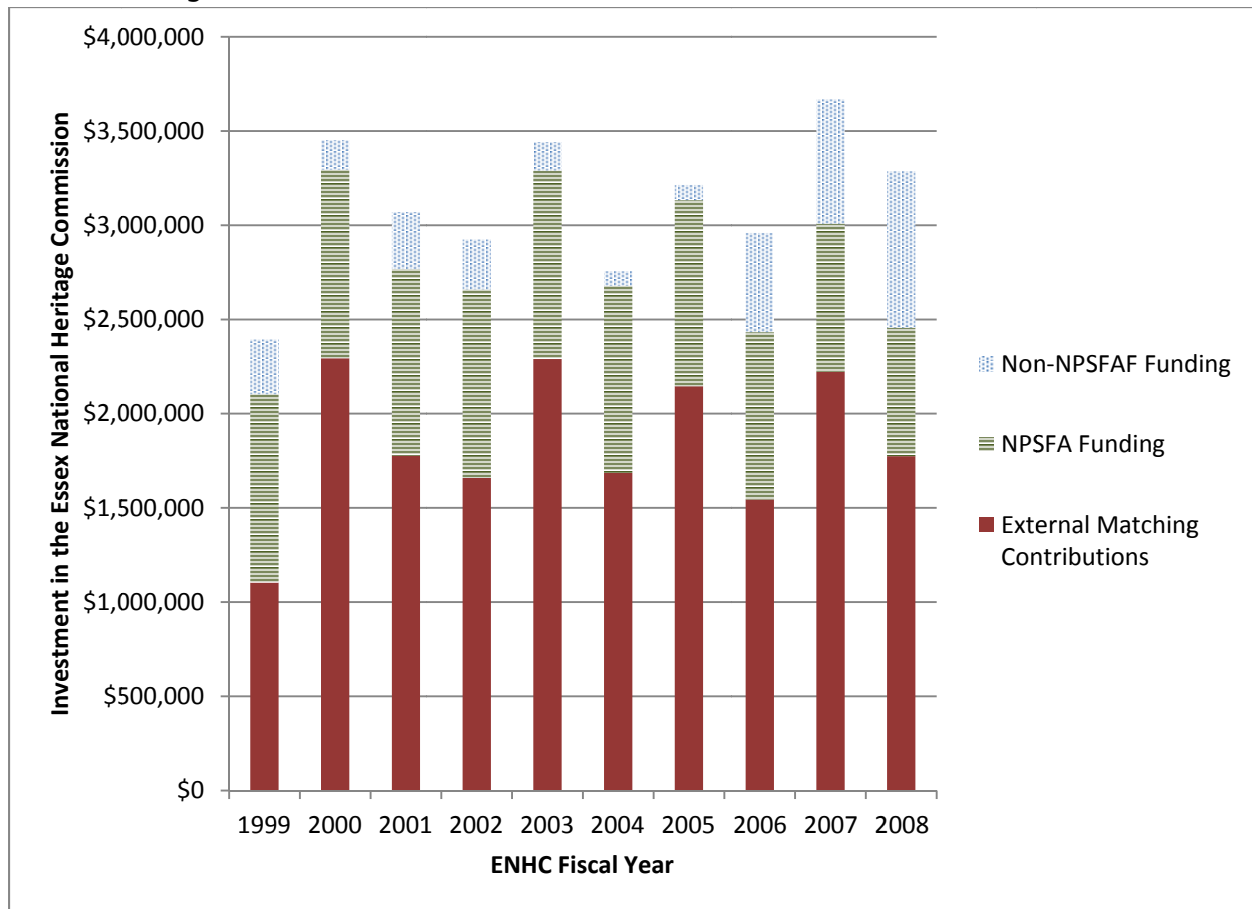


Figure 5.2 provides a year-to-year look at the financial resources that support ENHC related activities. This Figure shows that between 1999 and 2008 ENHC’s annual Matching Contributions varied between \$1.1 and \$2.3 million with no particular trend, while NPS Federal Assistance Funding held steady at \$1,000,000 until 2003 and then steadily declined to \$680,000 in 2008. Figure 5.2 also shows that between 2006 and 2008 “Other” investments increased to an average of about \$670,000 per year. This increase was largely due to grants associated with Teach American History and the Massachusetts Office of Travel and Tourism, as well as a Salem Float contract with NPS.

Figure 5-2. Annual Financial Resources For ENHC Related Activities 1998 – 2008



The above analysis relates to the total financial resources that supported ENHC related activities. However, a large part of these resources, the External Matching Contributions, do not pass through the ENHC entity. Between 1999 and 2008 only \$12,670,016 of the \$31,164,012 total investment actually passed through the ENHC entity. A breakdown of the funding that passed through the ENHC entity is shown below in Figure 5.3.

**Figure 5.3. Detail of Funding
Made Directly to ENHC 1999 – 2008**

NPS Federal Assistance Funding	9,327,437
Salem Float Contract	259,048
Teach American History Grant	824,335
Site Research	36,109
Mass Office of Travel & Tourism Grant	200,000
Signage	189,638
Other Grants	402,516
Contributions	1,067,216
Special Events	131,844
Interest	89,510
Other	<u>142,363</u>
Total	12,670,016

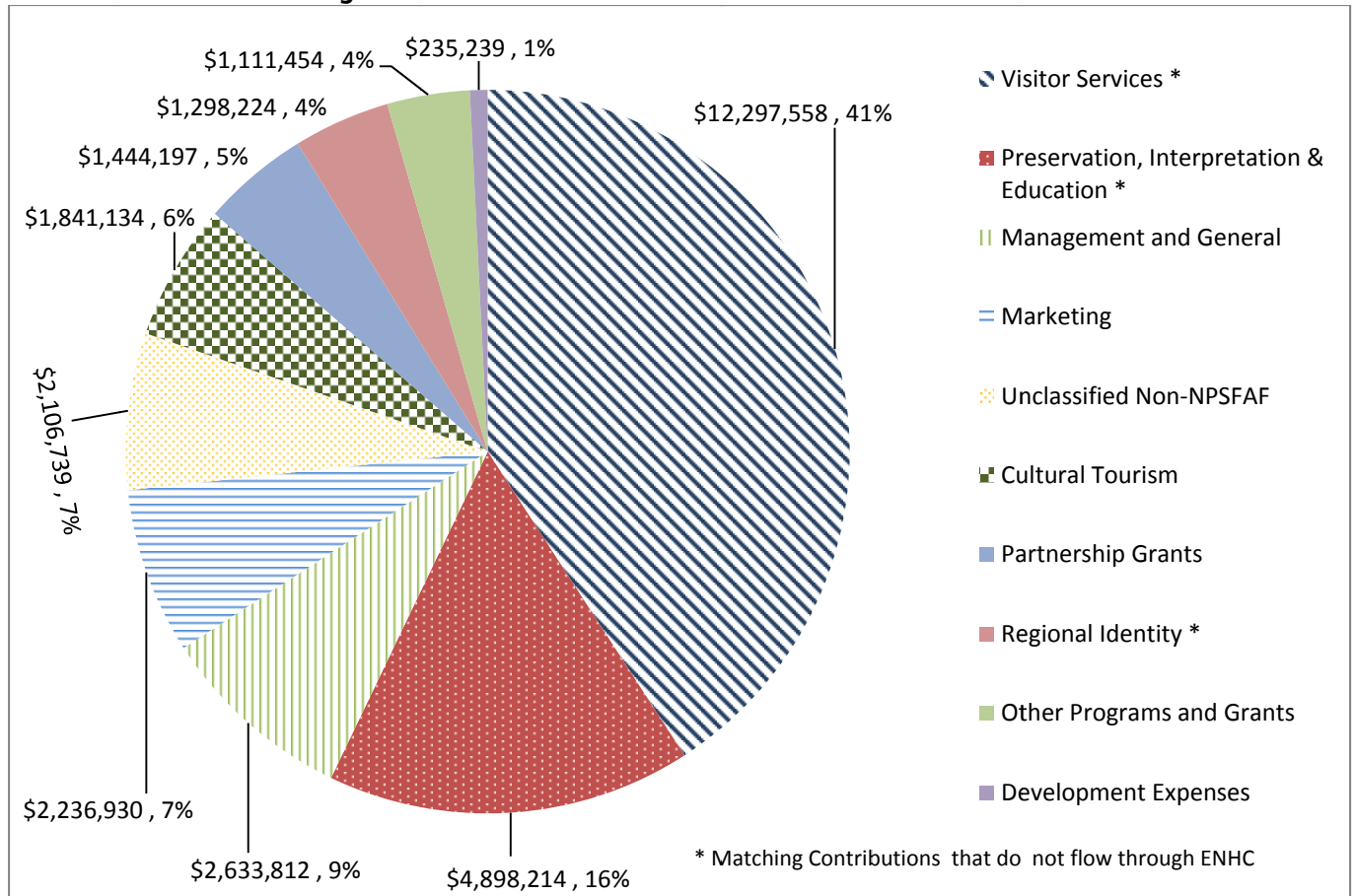
5.2. Use of Financial Resources

ENHC uses its financial resources to support its programmatic initiatives and operational activities. ENHC's efforts also create additional local investments, Matching Contributions, that support its work and mission. This section looks at the use of the total financial resources generated through ENHC's activities, as well as the specific use of ENHC's NPS Federal Assistance Funds.

5.2.1. Use of Total ENHC Financial Resources

ENHC's financial statements indicate that between the 1999 and 2008 it utilized, directly or through External Matching Contributions, \$30,103,501 worth of resources toward achieving its programmatic goals. Figure 5.4 provides a breakdown of where these resources went and indicates which items related to External Matching Contributions that did not flow through the ENHC entity.

Figure 5-4. Use of Financial Resources 1999 – 2008



5.2.2. Use of NPS Federal Assistance Funding

NPS Federal Assistance Funding is a subset of the financial resources described in Section 5.1. Between 1999 and 2008 ENHC utilized \$9,327,437 in NPS Federal Assistance Funds. Figure 5.5 provides a breakdown of how these funds were used.

Figure 5-5. ENHC Use of NPS Federal Assistance Funds 1999 - 2008

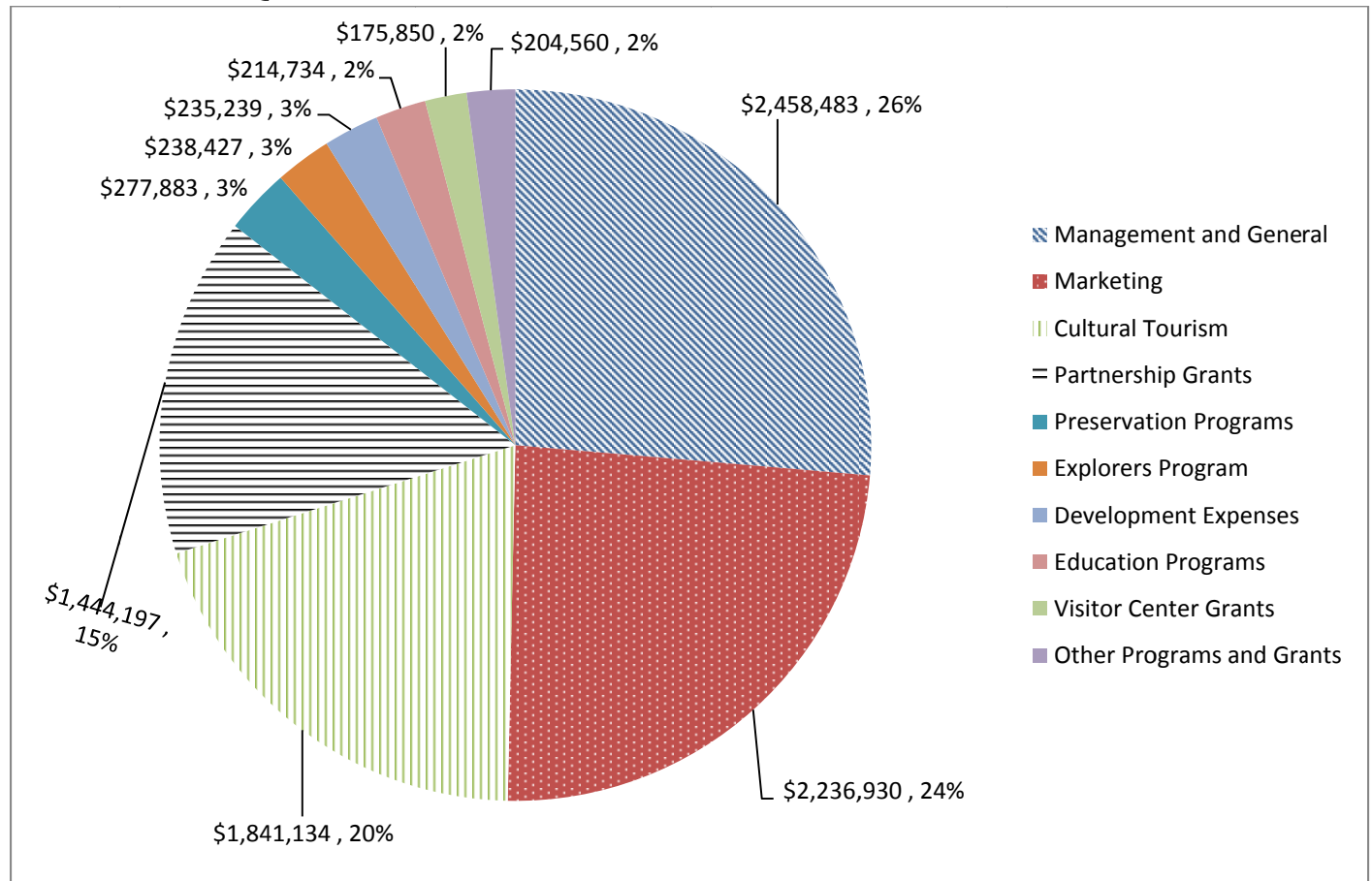


Figure 5.5 shows that 53% of the NPS Federal Assistance Funds were spent on Management, Marketing, and Development. The remaining 47% was spent on ENHC Programs and community grants. Since ENHC began, it has given out 354 grants to non-profit organizations and municipalities, for a total of \$1,780,696. Of these, 54 are Visitor Center Grants totaling \$198,875; 278 are Partnership Grants totaling \$1,526,822; and 22 are Archive Survey Grants totaling \$55,000. \$1,675,046 of these funds came from NPS Federal Assistance Funds, which is 18% of all NPS Federal Assistance Funds received through 2008.

6. ENHC Sustainability

As a result of ENHC's work, many conservation organizations in the heritage area have received financial support and capacity building assistance in the form of outreach and technical expertise (e.g. fundraising, marketing, and policy expertise). In addition to the provision of direct support, interviewees and Community Survey respondents also laud ENHC's ability to stand in the place of a limited county government apparatus, therein uniting conservation organizations with varying missions across different towns in the heritage area. ENHC's impact in the region transcends town boundaries focusing on regionalism and collaborative conservation in order to cultivate sense of place—all for the purpose of conserving and raising awareness of heritage resources. This section explores the sustainability of ENHC and its work.

6.1. The Definition of Sustainability

The third component of the evaluation legislation refers to the “critical components for sustainability of the National Heritage Area.” When the ENHC evaluation was performed the concept of sustainability was assessed by focusing on the following:

- Organizational Capacity
- Partnerships
- Financial Resources
- The Sustainability of Gains without ENHC
- Challenges to Sustaining ENHC's Successes

The following sub-sections discuss each of the above elements of sustainability. It should be noted that after the ENHC evaluation was performed NPS defined the sustainability of a National Heritage Area as follows:

“The National Heritage Area coordinating entity's continuing ability to work collaboratively and reciprocally with federal state, community and private partners through changing circumstances to meet its mission for resource conservation and stewardship, interpretation, education, recreation and economic development of nationally significant resources.”

The National Park Service further defined the critical components of sustainability of a National Heritage Area to include but not be limited to:

- Coordinating entity and the National Park Service honoring the legislative mandate of the National Heritage Area.
- Coordinating entity's management capacity including governance, adaptive management (such as strategic planning), staffing and operations.
- Financial planning and preparedness, including the ongoing ability to leverage resources in support of the local network of partners.
- Partnering with diverse community stakeholders including serving as a hub, catalyst and/or coordinating entity for on-going capacity building, communication and collaboration among local entities.
- Program and project stewardship where the combined investment results in the improved economic value and ultimately long-term quality of life of that region.
- Outreach and marketing to engage a full and diverse range of audiences.

As the above definition of sustainability was developed after the ENHC evaluation was completed, the ENHC evaluation data does not provide a direct 1-to-1 link to NPS's current definition of sustainability. The evaluation methodology has since been modified to provide a more direct link, and future evaluations will utilize this revised methodology.

6.2. Organizational Capacity

6.2.1. Mission, Vision, and Goals

A shared understanding and commitment of mission, vision, and goals is essential to an organization's long term sustainability. A mission should clearly define an organization's identity by addressing not only who the organization is, but what it does, and what it can accomplish (Philbin & Mikush, 2000). Further, the mission should be the focal point upon which its board, staff, financial resources, and activities are based. Where mission statements define an organization's identity, vision statements chart an organization's course by clearly and boldly describing the ideal future of programming (Philbin & Mikush, 2000). Goals allow organizations to actualize mission and vision statements, and should be developed to chart the measurable steps needed to work towards fulfilling both an organization's vision and mission. Mission oriented goals answer two simple questions: *Is our organization successful?* and *By what standard of success?*

According to their website, ENHC's mission is to "preserve and promote the historic, cultural and natural resources of Essex County, MA" (Essex National Heritage Area, 2009). By all accounts, staff and trustees found ENHC's mission to be accessible and easily understood by those within and outside of the organization. The mission is widely published on the website, email signature, business cards, and brochures, and its broad nature allows ENHC to maintain flexibility to adjust to the changing needs of the community. At the same time, ENHC's broad mission allows the organization to pursue opportunities without clear strategy or direction. Many interviewees were unfamiliar with ENHC's vision, and believed a vision statement would add clarity where the broader mission statement left some degree of ambiguity. ENHC does identify specific, measurable goals for programmatic initiatives. For example, ENHC's programmatic goals describe participation rates at *Trails & Sails!* or Photo Safaris, vendor satisfaction with hosting *Trails & Sails!*, or necessary coalition building in preparation for the Boarder to Boston trail development. Establishing clear and measurable metrics associated with the organization's mission would enhance ENHC's work. For ENHC, mission-oriented metrics would describe: (1) objectives for broad protection of natural, cultural, or historic resources, (e.g. amount of money raised, numbers of citizens engaged, percentage of assets protected, number of partnerships cultivated) and (2) targets for regional awareness and enjoyment of natural, cultural, and historic resources.

6.2.2. Governance and Oversight

An organization's board of directors is integral to supporting, guiding, and maintaining the accountability of the organization. Mikush and Philbin (2000) describe the role of the board as it relates to an organization's effectiveness: "The relationships among board and staff members contribute to or undermine an organization's effectiveness. The most effective organizations build and nurture trusting relationships among their board, staff and constituents as the foundation for making and acting upon good decisions. Responsible governance by the board and effective day-to-day management by the staff are equally important to organizational effectiveness" (Philbin & Mikush, 2000).

Mikush and Philbin (2000) describe several benefits that a strong and engaged board provide to an organization including organizational sustainability amidst crisis. Conversely, a weak board will diminish the

capacity of an organization to remain effective over the long-term in spite of strong programming, funding, and staff skills.

Within organizations, board members are engaged to serve a multitude of functions, both as a “teammate” and as a “governor.” As teammates, board members support the organization in achieving its mission while representing the organization to the public. As governors, board members must step “outside” the organization by providing the governance and oversight necessary to ensure the nonprofit is accountable to the public interest.

This section describes ENHC’s governance/oversight body, and examines the responsibilities that ENHC trustees and executive committee members should and actually do fulfill in their dual roles as “teammates” and “governors”.

6.2.2.1. The History of Governance at ENHC and Implications For This Evaluation

ENHC’s Area Plan specified that the organization’s governance be provided by a body which it described as being “composed of 85 appointed members that represent all communities and stakeholders” (ENHC, 1999, p.12). These 85 appointed members, known as Commissioners, were responsible for managing the heritage area initiative. According to the Area Plan, Commissioners were to form committees to act as working groups that executed heritage activities. However, at a September 26, 2001 annual meeting this governance structure was modified by a vote of the full Commission because it proved too unwieldy. At this time the number of Commissioners was increased to 150, and governance duties were transferred to a 25 member Board of Trustees selected from the ENHC Commissioners. Article V, Section 1 of ENHC’s bylaws was modified as follows to reflect this change:

“The Board of Trustees of the Corporation (sometimes referred to in these by-laws as the “Board”) shall oversee, direct and control the management and administration of the property, affairs and funds of the Corporation. The Board shall exercise such authority and shall take such actions as it deems proper and consistent with the Articles, these by-laws and the laws of the Commonwealth of Massachusetts.”

At this time the power of Commissioners was reduced to the election of new Commissioners who serve three year terms, and their role became focused on serving as representatives and ambassadors to communities in the heritage area, maintaining diverse professional backgrounds, and staying connected to financial, social, and political capital in Essex County.

ENHC also maintains an eleven member Executive Committee comprised of the officers and at-large trustees who serve on the Board of Trustees. The Executive Committee oversees the strategic direction and financial management of ENHC. The Officers include the president, vice president, 2nd vice president, treasurer, assistant treasurer, clerk, and assistant clerk. They are joined by the president emeritus, trustee at large, past president, and NPS Superintendent of Salem Maritime and Saugus Iron Works NHS. The executive director also participates but is not a voting member.

It should be noted that adaptive management was not assessed as part of this evaluation. This is due to the fact that the methodology used in this pilot evaluation was intended to evaluate ENHC’s governance relative to its original Area/Management Plan. The methodology was not intended to evaluate the success of changes in governance that were not updated in the Management Plan, including the September 26, 2001 modification described above. Following this evaluation, the inability to assess adaptive governance/management was determined to be a gap, and the methodology was revised to incorporate adaptive management in future evaluations.

6.2.2.2. Board of Trustees as Governors

Ultimately, all nonprofits are charged with supplying needed services to residents in their communities. Board members—in their role as governors—ensure that this happens. This section describes some key Board responsibilities along with the extent to which ENHC’s Board carries them out.

STRUCTURED SUPPORT THROUGH BOARD COMMITTEES

ENHC maintains committee structures to allow trustees and executive committee members to provide structured support to the organization. Board committees provide insights and support to specific functions of an organization. Often, board committees assist in the areas of: finance/fiduciary oversight, development, communication or public policy/advocacy. ENHC maintains the following committees: finance, audit, investment, and executive compensation.

In addition to deploying Commissioners into active working committees, ENHC has the opportunity to further engage board members through creating additional board committees. A development committee would actively assist in long-term financial planning and sustainability. Additional program specific committees at the board level—like marketing and outreach or heritage development and infrastructure—would support staff initiatives and harken back to the original intent of the Commission described in the area plan.

BUDGET AUTHORIZATION AND MONITORING

According to BoardSource (the organization dedicated to building the capacity of nonprofit boards), key board members—along with organizational staff—should be fully integrated in the budget process from planning to audit, and the Board should also work with staff to develop a budget for the fiscal year (Blumenthal, 2003). The Alliance for Nonprofit Management goes on to say that once the budget has been prepared, the board should assess the quality of the budget plan. The assessment of the quality of the budget plan should focus on the following questions (Masaoka & Allison, 1995):

- What information was used in planning?
- What will be accomplished?
- How will we know?
- Are these the right things to be accomplished?
- Why?

In its role as the governing body, the board should ensure that the organization’s budget has been created with all relevant information—including a community assessment that identifies needs and assets. Then, the budget plan should be crafted to identify how resources will be allocated to meet community needs (Fisman, Khurana, & Martenson, 2009).

Once budgets have been authorized, the board should take a lead role in monitoring what the organization did with its financial resources. Monitoring involves overseeing programming in the implementation phase and then evaluating programs upon completion.

ENHC does deploy the executive committee in budget authorization and monitoring. ENHC and the board are engaged in formal budget evaluations – the Executive Committee is engaged in community needs assessments and program evaluations to identify if and how funds were spent to meet community needs.

EVALUATION

There are three types of evaluation activities that board members participate in: overall organizational assessment, program evaluation, and management evaluation (including an assessment of senior staff).

Overall Organizational Assessment—ENHC conducted one organizational assessment in 2002 which included participation from members of the Board of Trustees.

Program Evaluation—ENHC routinely collects data on some of its programs like *Trails & Sails!* and Photo Safaris.

Management Evaluation—The majority of ENHC interviewee responses indicated that there was a process in place for management evaluation. Only a few interviewees were unsure whether the executive director was being evaluated. Interviewees who indicated that there was a system in place for evaluating the executive director reported that either the executive director was routinely, informally evaluated at monthly meetings or reported that the executive director's annual wages were assessed through the compensation committee. According to *Stanford Social Innovation*, board members are also charged with assessing the work of the top executive. Boards may utilize the assistance of independent management evaluators to obtain information from the executive director and the rest of the staff on the effectiveness of management (Fisman et al., 2009).

6.2.2.3. Board of Trustees as Organizational Supporters

In addition to their role as “governors”, trustees play an important role as “organizational supporters” for ENHC. This section describes some of the ways in which trustees fulfill this crucial function.

MEETING COMMUNITY NEEDS

Thomas Wolf, author of *Managing a Nonprofit Organization in the Twenty-First Century*, describes board members as a group of people that “act as guardians of the public trust—individuals who have the public's interest at heart” (Wolf, 1999, p. 47). Ideally, boards should be composed of residents who could act as guardians of the public trust. ENHC has engaged a board that has the public's interest at heart and is able to meet community needs. Nearly all of ENHC's trustees and executive committee members are residents of the heritage area and subsequently have their finger on the pulse of the community.

RELATIONSHIP BUILDING

Successful and dynamic boards are composed of individuals who represent various sectors within and outside of the nonprofit world. These individuals leverage their contacts to develop new relationships with funders, new relationships with potential nonprofit collaborators, and/or new relationships with professionals who could offer vital services to the organization (e.g. accountants, consultants, graphic designers, etc.). ENHC trustees and executive committee members have leveraged their relationships to offer staff no or reduced cost professional development opportunities in addition to supporting programmatic initiatives like Photo Safaris. By pursuing partnerships as its primary organizational strategy, ENHC has cultivated a board with strong relationship building capacity.

FUNDRAISING AND MAKING PERSONAL FINANCIAL INVESTMENTS

Often, the first type of contribution that many nonprofit staff associate with boards is a financial contribution through fundraising. However, before any board member is asked to solicit contributions through outside fundraising, every board member should make a personal investment in the form of a cash contribution (Fisman, R. et.al, 2009). Personal cash contributions show a tangible level of support to the organization. ENHC's board is currently debating the issue of giving the board fundraising or gift minimums.

ENHC interviewees reported that approximately 80 percent of the board made personal financial investments to the organization. Some board members are engaged in fundraising activities; the president and other members of the Executive Committee write and call other Trustees to remind them on their obligation to give to ENHC. Additionally, the annual Heritage Hero event is an example of a program in which Trustees support ENHC's fundraising activities.

6.2.3. Executive Leadership

The commitment among the executive leaders of an organization to invest in capacity building is essential for an organization's sustainability. Successful executive leaders must be proactive in seeking out new opportunities for their organization to achieve greater impact. Important skills and characteristics of effective organizational leaders include the ability to:

- Listen to the needs of their staff and constituents
- Invest in staff by finding or creating opportunities to promote individual capacity
- Create an environment of effective communication
- Live by the mission of the organization
- Recruit, develop, and retain capable staff
- Promote a respectful work culture
- Recognize the changing realities in the environment in which the organization works

These abilities, when combined with sound financial management, strategic thinking, and an understanding of the implications for decisions, result in strong organizational leaders that possess the ability to steer the organization on course to making an impact through the programs they deliver.

Executive leadership at ENHC consists of the top executives (executive director and president emeritus) and senior staff (chief operating officer, director of heritage development, and director of development).

By all accounts, ENHC interviewees reported that executive leaders possess the knowledge and experience necessary to effectively manage the organization and facilitate community partnerships. Community partner interviewees found that working with ENHC executive leaders was a great asset to their work, and noted that executive leaders possess personal interests in other programs throughout the community, providing support by serving on boards, offering advice, and helping foster key relationships with other heritage area stakeholders. Partners identified that the resources, advice, and credibility offered through ENHC's executive leaders benefited their organizations.

6.2.4. Staff, Intern, and Volunteer Management

People are the lifeblood of all organizations. How staff—both paid and unpaid—are developed and managed is crucial to the overall effectiveness and success of the organization. According to Philbin & Mikush (2000) effective organizations “develop staffs, boards and volunteers that embrace and support the organization's

values, vision, and mission. They provide individuals with avenues of service and opportunities for personal development that match their skills and interests. They offer training, mentoring and professional development support” (Philbin & Mikush, 2000). Further, effective staff management requires nonprofit managers to possess the skills and knowledge in human resource management, as well as personnel policies that are well-developed and part of organizational processes. For example, staff managers should be versed in hiring and managing staff, developing position descriptions, instituting performance reviews and staff development plans, and outlining salary and benefits structures to name a few (Philbin & Mikush, 2000).

STAFF AND INTERNS

At the time of evaluation ENHC maintained ten full time and part time staff.²⁵ ENHC has an intern program where college students support ENHC’s marketing work while being introduced to the heritage area. By all accounts the ENHC internship program has been successful. Further, interviewees described all major components of ENHC’s staff management to be sound and functioning well.

RECRUITING, ORIENTING, AND RETAINING STAFF

ENHC interviewees believed the organization was successful at recruiting, orienting, and retaining staff. All staff members receive orientation materials describing ENHC’s mission and programs from the chief operating officer at the start of their employment with ENHC. Further, the COO also orients staff to the HR manual, personnel policies, organizational chart, and the usual human resources materials. By all accounts these human resources materials were reviewed annually and kept up to date by the COO.

ENHC has been able to maintain its core group of senior staff—director of heritage development, director of development, chief operating officer—for four years or longer. Furthermore, the executive director and president emeritus have served since ENHC’s inception. Low turnover at the senior staff level has allowed ENHC to maintain the quality and consistency of programming. Over time, these staff members have cultivated strong relationships in the community to support ENHC’s partnering and outreach activities.

While interviewees described higher turnover rates at the junior staff level, interviewees also reported that ENHC offers all staff opportunities for growth. Several staff members have been promoted within the organization at junior and senior levels. Though opportunities for growth are limited due to ENHC’s size, the organization maximizes opportunities to promote from within.

PROFESSIONAL DEVELOPMENT

ENHC offers opportunities for all staff to engage in professional development via education courses or attending conferences or meetings. Because an ENHC board member is connected to the North Shore Community College, staff have had the opportunity to take courses at the community college at no or reduced cost. Further, program directors receive an annual professional development budget of \$1,500 to attend conferences and meetings.

²⁵ As of May 2010 ENHC had six full time staff, five part time staff and two interns.

SALARY AND BENEFITS

ENHC worked with the Alliance of National Heritage Areas to identify fair staff salaries given general heritage area compensation. Most interviewees believed that ENHC offered adequate salary and benefits packages by nonprofit standards.

VOLUNTEERS

According to research and studies conducted by the Urban Institute in their Volunteer Management Capacity Study Series, volunteer management practices are an important aspect of an organization's operational activities. Furthermore, by investing in these practices, organizations "enhance their volunteer management capacity and their ability to retain volunteers" (Hager, Brudney, 2004, p. 1). During the 2008 fiscal year ENHC had 18,571 volunteer hours²⁶ that were valued at \$488,789²⁷. Note that this only includes hours volunteered directly with ENHC, and does not include hours volunteered with partner organizations.

ENHC has 150 volunteer commissioners and board members. Roles and responsibilities of these individuals are discussed in Section 3.3.

6.2.5. Organizational Assessment, Informed Reorientation, and Strategic Planning

Organizational assessment, informed reorientation, and strategic planning serve to frame a continuous circle of interdependent stages necessary for an organization to be effective. After conducting activities, organizations must assess their impact and adjust their approach before planning and executing new programs. These activities are critical in order to continually measure progress and performance, and most importantly keep an organization on track towards fulfilling its mission. Evaluating an organization's successes and failures ensures greater organizational accountability to an organization's funders, constituents, staff, and board.

PROGRAM ASSESSMENT AND REACHING SHORT-TERM GOALS

ENHC conducts surveys and focus groups to evaluate programs and events, for example *Trails & Sails!* and Photo Safaris. The data collected is used to measure the success of a program based on goals, objectives, and past performance. The evaluation data is also used to guide decision-making, such as making adjustments on how a program is delivered or if the investment and community impact are worth continuing a program. Further, ENHC has the software systems in place to track the impact and reach of their electronic newsletter and website.

PROGRAM EVALUATION, REACHING LONG-TERM GOALS, AND STRATEGIC PLANNING

The last section identifies evaluation activities for specific program and outreach activities. However, at the time of this evaluation ENHC does not conduct internal assessments to measure the extent to which longer term organizational goals and objectives are reached. Assessment activities, such as the ones described,

²⁶ Between 2003-2009 ENHC volunteers worked a total of 83,959.5 hours. In 2003 volunteers worked 3,358.75 hours, 7,750 hours in 2004, 10,559.75 in 2005, 10,203 in 2006, 16,720 in 2007, and 18,571 in 2008.

²⁷ Based on the 2008 value of a volunteer hour in Massachusetts as reported on www.independentsector.org

provide valuable information for organizations. In particular, organizational assessments help guide decisions and strategic planning efforts, such as how resources are allocated to achieve their mission. Strategic planning charts where an organization is going, how it will get there, and how it will determine whether or not it has achieved what it set out to do. The strategy is outlined in the strategic plan which is often described as “the road map” for an organization’s work. It should be considered a living document that charts an organization’s shifting goals and includes objectives and strategies based on an organization’s strengths and weaknesses identified through an assessment process.

ENHC currently undertakes some informal strategic planning activities, however, it does not have a formal strategic plan in place.²⁸ The development of a strategic plan would provide ENHC greater focus and clarity in its work. ENHC interviewees expressed concern that instead of focusing the organization’s work on specific strategies, ENHC tries to be everything for everyone. Finally, a strategic plan would provide greater confidence in investments.²⁹

6.2.6. External Communication, Marketing and Public Outreach

The capacity of an organization to effectively communicate and market to its constituents can dramatically change how an organization is perceived outside of itself. Successful implementation of such strategies increases the profile of organizations within the communities they serve.

There are a range of different strategies and points to consider when conducting outreach to local communities. Foremost, organizations need to be responsive to their constituents, and pro-active in reaching out to them for support (APPL, 2009, p.19). As a whole the wider and more actively engaged an organization is perceived, the more responsive the larger community will be. These activities help members of the larger community (including prominent advocates) become more actively and constructively involved. This involvement can result in organizational activities such as serving on the board and/or fundraising. Also, the greater visibility helps create a tangible indicator of impact among the larger community served.

Section 4.1.1 describes ENHC’s success in marketing and public outreach, a core component of the Area Plan. Based on capacity assessment interviews with ENHC staff and trustees, the evaluation team attributes this success to:

Professional Staff—In 2007, ENHC hired a professional marketing manager to direct and cultivate the existing infrastructure for marketing and external communications. The predecessor to the marketing manager was a tourism professional with experience in communications and outreach; this predecessor was largely responsible for ensuring the success of *Trails & Sails!*. Investment in professional staff showed ENHC’s commitment to building this aspect of organizational capacity. Due to funding cuts, ENHC has been forced to lay off the marketing manager. However, a Director of Development and Communication has assumed responsibility for many of ENHC’s marketing and public outreach efforts. This gap poses a potential risk to ENHC’s ability to sustain its external communications, marketing, and public outreach capacity.

²⁸ Some interviewees noted that the Donovan Sloan Report was ENHC’s written strategic plan. However, upon review of the report the evaluation team identified it as a development report which outlined funding strategies, instead of the programmatic goals and objectives found in a strategic plan. (Donovan Sloan’s work began with a strategic plan from which the Development (Fundraising) Plan was developed.)

²⁹ ENHC has since commenced the strategic planning process based on the initial results of the evaluation.

Marketing Infrastructure—ENHC uses technology, including Constant Contact and Google Analytics, to track the impact of its external communications activities. Constant Contact is a web marketing tool that analyzes how many people open ENHC electronic communication, and measures the parts of email and other communication that recipients are most interested in through the number of clicks. Google Analytics is used to track hits on the ENHC website.

Relationship Building with Various Forms of Media—ENHC’s staff has successfully cultivated relationships with staff at varying media outlets. The prominence of ENHC and heritage area stories across local and regional media outlets as presented Section 4.1.1 is evidence of relationship building with the media.

Broad Dissemination of Marketing Materials—As described in Section 4.1.1 ENHC broadly disseminates its published materials across the entire region of the heritage area. Based on analysis presented in Section 4.3 these marketing materials seem to have assisted in cultivating both regional identity and sense of place.

Trails & Sails!—ENHC and community interviewees reported the overarching success of *Trails & Sails!* *Trails & Sails!* seems to act as the entry point through which residents are broadly engaged in learning about heritage resources.

6.2.7. Infrastructure

Infrastructure refers to all the assets needed to support an organization, both physical and technological (McKinsey & Company, 2001). The infrastructure includes all of the visible ways the organization operates, such as its formal structures for technology, communications, governance, and so on. As with each dimension of organizational effectiveness, infrastructure must align with the mission, vision, and goals for the organization to be the most impactful (McKinsey & Company, 2001).

ENHC has the necessary infrastructure to support the staff, programs, and mission of the organization. While some ENHC interviewees identified the desire to have more current technologies and a larger office space, they did not view them as an impediment to performing their job responsibilities. By all accounts, ENHC interviewees found the current infrastructure sufficient in order to perform their job responsibilities.

6.3. Partnerships

The ability of an organization to impart lasting change depends on its ability to collaborate with other organizations. Developing relationships with a network of partner organizations at the local, state, regional, or national level is essential for organizations to develop mutually beneficial collaborations that can leverage their ability to fulfill their mission. Collaborating with other organizations to develop/plan projects and share resources serves to strengthen the partner organizations. Mutual respect, trust, and understanding are all necessary conditions for creating effective partnerships. Furthermore, collaborating within a network of partners “increases its chances to affect public policy, influence public opinion, and make lasting change” (Philbin & Mikush, 2000).

Sections 4.3 and 4.4 detail ENHC’s success in cultivating partnerships for broad resource protection. By all accounts ENHC has cultivated an environment of mutual trust that will enable it to continue to engage partners on a long term basis, and has provided benefits which are recognized and valued by partners.

6.4. Financial Resources and the Importance of NPSFAF Funds

A large portion of the financial resources that support ENHC's efforts do not flow through the entity itself. In addition, some of the financial resources that do flow through the ENHC entity are restricted for certain programmatic activities. In order for the ENHC entity to be sustainable, it must have a sufficient level of unrestricted funding to cover its operating expenses, and must be able to pay its operating expenses in a timely manner. These two factors can be assessed within certain constraints via ENHC's Statement of Financial Position (balance sheet) and Statement of Financial Activity (income statement) which are shown in Figures 6.1 and 6.2 respectively.

6.4.1. Level of Unrestricted Funding

ENHC's Statement of Financial Activity, Figure 6.2, indicates that the entity's 2008 unrestricted funding is as follows:

ENHC 2008 UNRESTRICTED FUNDING	
Contributions ³⁰	59,666
Special Events	26,368
Interest	10,961
Other	<u>28,862</u>
Subtotal	125,857
NPS Federal Assistance Funding	<u>682,207</u>
Total	808,064

Given the above data and the fact that ENHC's 2008 operating expenses (referred to as *Supporting Services* in Figure 6.2) were \$395,129, the entity's ability to cover its operating expenses with unrestricted funds in 2008 with and without NPSFAF was as follows:

ENHC's Ability to Cover Operating Expenses		
	With NPSFAF	w/o NPSFAF
Potential Funding	\$808,064	\$125,857
Operating Expenses	\$384,955	\$384,955
Coverage Ratio	210%	33%

The above analysis indicates that in 2008 with NPS Federal Assistance Funds, ENHC's unrestricted funds were more than twice its operating expenses, thereby enabling it to use unrestricted funds to help support its programs. However, without NPS Federal Assistance Funds, ENHC would have been able to cover less than half (33%) of its operating expenses. While it might have been possible for ENHC to reduce its operating

³⁰ Assumes 50% of Contributions are unrestricted. The actual percentage varies on a year-to-year basis.

expenses enough to survive, it is not clear that this is sustainable and doing so would have had a significant, negative impact on ENHC's ability to carry out its mission.

6.4.2. Ability to Pay Operating Expenses in a Timely Manner

NPS Federal Assistance Funding is ENHC's primary source of the unrestricted funding that it uses to pay its operating expenses. However, as this funding is received once per quarter and on an after the fact basis, ENHC must be able to fund the gap between when its operating expenses are incurred and the time NPSFAF funding is received (which could be as long as three months).

During the last ten years ENHC has been able to retain some of its non-NPS Federal Assistance Funding on a year-to-year basis and accumulate a cash reserve. As of June 30, 2008, ENHC had approximately \$300,000 of unrestricted cash. Given that ENHC's 2008 annual operating expenses were \$395,129, this means the entity had enough unrestricted cash to fund approximately 7 months of operations. While ENHC's cash position will go up and down on a day-to-day basis, this level of reserve should make it possible for ENHC to fund its operating expense gap without the need for a line of credit.

ESSEX NATIONAL HERITAGE COMMISSION
STATEMENT OF FINANCIAL POSITION
June 30, 2008 and 2007

	2008	2007
ASSETS		
Current Assets		
Cash	385,776	652,851
Grants Receivable	765,849	336,289
Other Receivables	6,773	8,299
Prepaid Expenses	<u>12,492</u>	<u>8,467</u>
Total Current Assets	1,170,890	1,005,906
Fixed Assets		
Property & Equipment (net)	<u>19,265</u>	<u>26,655</u>
Total Fixed Assets	19,265	26,655
Other Assets		
Intangible Assets (net)	<u>3,768</u>	<u>4,233</u>
Total Other Assets	3,768	4,233
TOTAL ASSETS	<u><u>1,193,923</u></u>	<u><u>1,036,794</u></u>
LIABILITIES		
Current Liabilities		
Accounts Payable	14,417	61,898
Accrued Expenses	89,792	18,006
Payroll Liabilities	<u>24,717</u>	<u>21,371</u>
Total Current Liabilities	<u>128,926</u>	<u>101,275</u>
Total Liabilities	128,926	101,275
NET ASSETS		
Unrestricted	431,002	379,180
Temporarily Restricted	<u>633,995</u>	<u>556,339</u>
Total Net Assets	1,064,997	935,519
TOTAL LIABILITIES & NET ASSETS	<u><u>1,193,923</u></u>	<u><u>1,036,794</u></u>

Figure 6.1

ESSEX NATIONAL HERITAGE COMMISSION
STATEMENT OF ACTIVITIES
For Fiscal Years Ended June 30, 2008 and 2007

	2008	2007
REVENUE & SUPPORT		
National Park Service Cooperative Agreement	682,207	786,230
Salem Float	-	64,720
Teaching American History	455,828	284,510
Site Research	3,089	33,020
Massachusetts Office of Travel & Tourism Grant	100,000	100,000
Other Grants	86,331	6,750
Contributions	119,332	97,738
Special Events	26,368	23,913
Interest	10,961	11,526
Other	<u>28,862</u>	<u>37,482</u>
 TOTAL REVENUE & SUPPORT	 <u>1,512,978</u>	 <u>1,445,889</u>
 EXPENSES		
Program Services	<u>988,371</u>	<u>977,212</u>
Supporting Services		
Management and General	342,443	333,989
Fundraising	39,222	27,322
Special Event	<u>13,464</u>	<u>23,644</u>
Total Supporting Services	395,129	384,955
 TOTAL EXPENSES	 <u>1,383,500</u>	 <u>1,362,167</u>
 CHANGE IN NET ASSETS		
Excess of Revenue & Support Over (Under)		
Expenses	129,478	83,722
Net Assets - Beginning of Year	<u>935,519</u>	<u>851,797</u>
Net Assets - End of Year	<u>1,064,997</u>	<u>935,519</u>

Figure 6.2

6.5. The Sustainability of Gains Without ENHC

During interviews, ENHC's Commissioners and community partners were asked to explain the benefits of ENHC programming to residents and heritage organizations. After reporting their perceptions, interviewees were asked what would happen if ENHC were not present in the region. Almost unanimously, interviewees reported that there would be a loss to the heritage area; the majority of these losses can be categorized in two ways: (1) a slow retreat from the collaborative conservation model established by ENHC and (2) an immediate demise of heritage organizations due to the loss of ENHC funding and technical assistance.

6.5.1. A Slow Erosion of the Collaborative Conservation Model Established by ENHC

About half of interviewees believed that without ENHC, collaborative conservation efforts across the 34 cities and towns within the heritage area would cease. This is illustrated by one interviewee's comment that:

...well whatever how many towns and cities, they all have the opportunity to stop cooperating with each other and to fracture and I think that Essex, just by being there and providing the glue among the communities and the reasons and the themes that connect us all keep us from fracturing our efforts...

ENHC's three themes tie the diverse heritage resources together and facilitate regional collaboration for resource protection. Survey data reported in Section 3 support the idea that natural, cultural, and historic resources have the potential to create bonds among residents and community organizations—so long as resources have broad regional appeal. Where the boundaries of a river or trail stopped, cross-town collaboration for that resource also ended. ENHC's benefit to the region is its ability to champion for a broad array of natural, cultural, and historic resources that span the entire geographic boundary of the heritage area.

Given that no other organization has a mission of championing all of the region's resources, broad collaboration for resource protection would cease to exist without ENHC. This belief was echoed by at least three interviewees including one who said:

...to accomplish anything requires someone who has it as a mission... it requires effort and someone has to have that as a goal. And I think unless you have an entity like the Heritage Commission who has that kind of a goal... I don't think it [broad collaboration for heritage resources] would happen.

Most respondents did not believe gains made in the area of collaborative conservation would end immediately. Rather, they felt the gains would slowly erode as expressed by an interviewee's statement that:

It would take a little time but we would be back to being kind of isolated and working in islands. Private. Public. State parks. Federal parks. Individual historic sites would drift apart into own zones....benefits would go away.

6.5.2. More Immediate Demise of Heritage Organizations Due to the Loss of ENHC Funding and Technical Assistance

Where half of interviewees believed the collaborative conservation ethic would erode slowly in the absence of ENHC, another quarter of those interviewed believed there would be a sudden deterioration of heritage organizations—particularly small museums and historic societies. These interviewees believed historic

preservation groups were most vulnerable to funding shortages, had the least capacity, and benefited most from ENHC's partnership grants program and marketing and outreach assistance. In the absence of financial and technical assistance, these groups would have to close their doors. The following perspectives are representative of what was reported by interviewees:

We'd start by losing historic houses. They are the most fragile. That would be the first and quickest ramification. A number of other small museums and places like the Essex Ship Building museum, small specialty museums, would lose collective advertising and visibility.

A lot of things would disappear and we wouldn't appreciate them until they were gone... some of those things would be the natural resources but some of them would be small little museums or um and it's just a lot of things that wouldn't exist anymore.

The funding piece of it would go down, grants are very hard to get... a lot of the small historical organizations just wouldn't begin that process of protecting and making them available. Over time the community would lose access to those records, once they're gone, they're gone.

Further, at least three interviewees reported that gains in capacity among local organizations would erode if ENHC's networking and convening events ceased as evidenced by the following:

There would be less networking among historical records custodians and organizations...there would be less knowledge about other historical and natural resource sites.

6.5.3. ENHC's Success in Cultivating Other Groups to Carry the Collaborative Conservation Model

Though most interviewees had little hope that the collaborative conservation model and other benefits to heritage organizations would continue without ENHC, interviewees did report several instances where the collaborative conservation model had succeeded in moving forward with limited to no assistance from ENHC. The Coastal Trails Coalition and the Historical Records Council (described in Sections 3.1.3. and 3.1.4.) are two examples of sustainable efforts cited by about a third of interviewees. The Coastal Trails Coalition and the Historical Records Council began as initiatives of ENHC, but eventually became stand-alone programs.

One interviewee recounted how he/she applied the ENHC partnership model to efforts that ENHC was not working on, without the help of the Commission:

...when towns cooperate on any project... if something's regional and you're seeking money from the state... you get more points... You get more political power if you work together on something... that's a model really by this experience with the Heritage Commission.

In this case, ENHC's successful strategy provided a roadmap for a separate multi-town alliance. Learning from the heritage area's approach, the interviewee worked with multiple stakeholders, including state senators, to advocate for resource conservation funding. Thus, while ENHC provided a guide for this effort, it did not directly drive or control the final result.

6.6. Challenges to Sustaining ENHC's Successes

6.6.1. ENHC Marketing

ENHC's efforts to market and associate collaborative conservation initiatives with Essex National Heritage Area, and subsequently with Essex National Heritage Commission, can conflict with its efforts to work collaboratively with partners. Debate over the naming of the Border to Boston Trail offers insight in the phenomena described above. The *Border to Boston Trail Implementation Plan, Draft January 15, 2007* was produced and self-published by the Border to Boston Trail Coalition, an initiative steered by ENHC and the NPS Rivers and Trails Program. *Appendix C: Trail Name and Termini Analysis*, written by Clark Strategic Communications, contains a debate over the naming and branding of the trail. The bulk of stakeholders engaged in the Border to Boston Trail advocated for the name "Border to Boston" for the entire 28-mile trail. A handful, however, disagreed and wanted to rename the northern/upper segment of the trail to include the word, "Essex". This minority included ENHC's director of heritage development. According to the Clark Report, ENHC "would like to have 'Essex' as part of the name, given ENHC's mandate to brand the region" (Clark Strategic Communications, 2007, p. 88).

The Border to Boston debate was not the only case where ENHC encountered challenges with how its logo and identity should/could be used while working with partners. The following comments represent a view shared by at least three interviewees regarding ENHC's logo/identity challenge:

They tend to want to put their stamp on everything... They do tend to sort of take over stuff they think is interesting.

Whenever you work with them they want all of the publicity. They want things done so that they do get the publicity.

For a long time, no matter what the CTC [Coastal Trails Coalition] did [they] had to have the Essex National Heritage Commission logo bigger than the CTC logo, well not exactly but, I mean she [ENHC's executive director] worries I guess that, I think she worries that the Essex National Heritage Commission will lose its identity when it works specifically, in specific groups like this one, because as you may be aware in an organization of partnerships which is really what the Essex National Heritage Commission is, it's always hard to maintain the value of the partnership as well as the value of the partners.

Evidence indicates that efforts by ENHC to gain publicity through logo placement and general marketing have been successful. In several instances, interviewees were not aware that stand-alone initiatives like the Coastal Trails Coalition or the Historical Records Council were sustainable and independent of ENHC. For example, when asked if an interviewee knew about the independent successes of the Coastal Trails Coalition, he/she reported that it was easier to seek information from ENHC than from the Coastal Trails Coalition since he/she had a closer connection to ENHC. Another respondent associated 17th Century Saturdays, a community initiative aimed at raising awareness of first period history and architecture in the region, with ENHC and reported that the initiative would fail without ENHC. This is despite other interviewees acknowledging that 17th Century Saturdays was founded by ENHC, but in recent years has moved forward without ENHC shepherding the process. One interviewee reported that ENHC was no longer being cited as a primary project partner in the marketing of 17th Century Saturdays. Nevertheless, the community still seems to attribute 17th Century Saturdays to ENHC. Early ENHC branding of the initiative likely cemented 17th Century Saturdays' affiliation with ENHC.

6.6.2. ENHC's Fundraising

In addition to its independent marketing efforts, ENHC's fundraising could potentially undercut local heritage organizations and its relationships with those organizations. While sixty percent of Community Survey respondents reported that ENHC did not "limit the pool of financial resources available to community groups by competing for scarce dollars," 15 percent of survey respondents believed that ENHC did limit the financial resource pool. Most interviewees believed, however, that ENHC was not yet a fundraising threat, but could become one if federal funding decreased significantly. When asked how they would feel if ENHC received less federal money and was forced to pursue alternative sources of revenue (philanthropic, state, and local government funds) interviewees said:

I think looking ahead there's always a concern I would have regarding the funding structure. It's certainly nice to have something principally funded from the outside... we're all trying to raise money locally... inevitably there's gonna be some competition for dollars. I really haven't experienced that yet but I can see what that can happen because certainly it's a fact of life with other entities.

The more private funding they go after the more competitive they become. There's not enough for everyone. That's just life.

I would be very very very afraid because I see what they can do. And they'll be able to raise the money but at the expense of all of the little organizations that have struggled and done such good work and that would be terribly unfair.

6.6.3. Perceptions of ENHC as a Grantmaker and the Federal Government

While most interviewees reported that ENHC's partnership facilitation was an additional value to the community, many interviewees believed ENHC exists primarily to offer financial and technical support to heritage organizations, rather than to offer its own independent programming. At least three interviewees believed that the community saw ENHC as a grantmaker for heritage organizations and/or the federal government. Further, at least three interviewees believed that ENHC was the federal government. Staff and executive committee members interviewed as part of the capacity assessment made similar observations, reporting that the community often considered ENHC and NPS to be synonymous.

Appendix A: Evaluation Legislation

From P. L. 110-229, signed May 8, 2008:

SEC. 462. EVALUATION AND REPORT.

(a) In General.--For the nine National Heritage Areas authorized in Division II of the Omnibus Parks and Public Lands Management Act of 1996, not later than 3 years before the date on which authority for Federal funding terminates for each National Heritage Area, the Secretary shall—

- (1) conduct an evaluation of the accomplishments of the National Heritage Area; and
- (2) prepare a report in accordance with subsection (c).

(b) Evaluation.--An evaluation conducted under subsection (a)(1) shall—

- (1) assess the progress of the local management entity with respect to—
 - (A) accomplishing the purposes of the authorizing legislation for the National Heritage Area; and
 - (B) achieving the goals and objectives of the approved management plan for the National Heritage Area;
- (2) analyze the investments of Federal, State, Tribal, and local government and private entities in each National Heritage Area to determine the impact of the investments; and
- (3) review the management structure, partnership relationships, and funding of the National Heritage Area for purposes of identifying the critical components for sustainability of the National Heritage Area.

(c) Report.--Based on the evaluation conducted under subsection (a)(1), the Secretary shall submit a report to the Committee on Natural Resources of the United States House of Representatives and the Committee on Energy and Natural Resources of the Senate. The report shall include recommendations for the future role of the National Park Service, if any, with respect to the National Heritage Area.

Appendix B: Authorizing Legislation

PUBLIC LAW 104-333—NOV. 12, 1996 110 STAT. 4257
TITLE V—ESSEX NATIONAL HERITAGE
AREA

SEC. 501. FINDINGS AND PURPOSE.

(a) FINDINGS.—The Congress finds that—

(1) Essex County, Massachusetts, was host to a series of historic events that influenced the course of the early settlement of the United States; its emergence as a maritime power; and its subsequent industrial development;

(2) the North Shore of Essex County and the Merrimack River valley in Essex County contain examples of significant early American architecture and significant Federal-period architecture, many sites and buildings associated with the establishment of the maritime trade in the United States, the site of the witchcraft trials of 1692, the birthplace of successful iron manufacture, and the establishment of the textile and leather industries in and around the cities of Peabody, Beverly, Lynn, Lawrence, and Haverhill;

(3) Salem, Massachusetts, has a rich heritage as one of the earliest landing sites of the English colonists, the first major world harbor for the United States, and an early thriving hub of American industries;

(4) the Saugus Iron Works National Historic Site is the site of the first sustained, integrated iron works in Colonial America, and the technology employed at the Iron Works was dispersed throughout the Colonies and was critical to the development of industry and technology in America;

(5) the Salem Maritime National Historic Site contains nationally significant resources that explain the manner in which the Nation was settled, its evolution into a maritime power, and its development as a major industrial force;

(6) the story told at the Salem Maritime and Saugus Iron Works National Historic Sites would be greatly enhanced through the interpretation of significant theme-related resources in Salem and Saugus and throughout Essex County;

(7) partnerships between the private and public sectors have been created and additional partnerships will be encouraged to preserve the rich cultural heritage of the region, which will stimulate cultural awareness, preservation, and economic development through tourism;

(8) a visitors' center that has already been constructed at the Salem Maritime National Historic Site in Salem, Massachusetts, will be available to interpret the themes of the Essex National Heritage Area established by this title and to coordinate the interpretive and preservation activities of the Area; and

(9) the resident and business communities of the region

have formed the Essex Heritage Ad Hoc Commission for the preservation, interpretation, promotion, and development of the historic, cultural, and natural resources of the region and are investing significant private funds and energy to develop a plan to preserve the nationally significant resources of Essex County.

(b) PURPOSE.—It is the purpose of this title—

(1) to establish the Essex National Heritage Area to recognize, preserve, promote, interpret, and make available for the benefit of the public the historic, cultural, and natural resources of the North Shore and lower Merrimack River valley in Essex County, Massachusetts, which encompass the three primary themes of the Salem Maritime National Historic Site and Saugus Iron Works National Historic Site (the histories of early settlement, maritime trade, and the textile and leather industries);

(2) to implement the appropriate alternative as described in the document entitled “The Salem Project: A Study of Alternatives”, dated January 1990, within the boundaries of Essex County; and

(3) to provide a management framework to assist the Commonwealth of Massachusetts and its units of local government in the development and implementation of an integrated cultural, historical, and land resource management program in order to retain, enhance, and interpret the significant values of the lands, waters, and structures located in the Essex National Heritage Area.

SEC. 502. DEFINITIONS.

For purposes of this title:

(1) The terms “Area” and “National Heritage Area” mean the Essex National Heritage Area established by section 503.

(2) The term “Secretary” means the Secretary of the Interior.

SEC. 503. DESIGNATION OF NATIONAL HERITAGE AREA.

(a) DESIGNATION.—For the purpose of preserving and interpreting, for the educational and inspirational benefit of present and future generations, the unique and significant contributions to our national heritage of certain historic and cultural lands, natural waterways, and structures within the County of Essex in the Commonwealth of Massachusetts, there is hereby established the Essex National Heritage Area.

(b) BOUNDARIES.—The Area shall comprise the lands generally depicted on the map numbered NAR–51–80,000 and dated August 1994. The map shall be on file and available for public inspection in the office of the Director of the National Park Service.

(c) ADMINISTRATION.—The Area shall be administered in accordance with the provisions of this title.

SEC. 504. MANAGEMENT ENTITY.

(a) IN GENERAL.—The management entity for the National Heritage Area shall be an entity which is selected by the Essex Heritage Ad Hoc Commission or its designee, reflects a broad crosssection of interests within the Area, and includes—

(1) at least 1 representative of one or more units of government in each State in which the National Heritage Area is located; and

(2) private property owners who reside within the National Heritage Area.

(b) DUTIES.—The management entity for the Area shall fulfill each of the following requirements:

(1) HERITAGE PLAN.—Not later than 3 years after the date of the designation of the Area as a National Heritage Area, the management entity shall develop and forward to the Secretary, and to the Governor of Massachusetts, a heritage plan for the Area.

(2) PRIORITIES.—The management entity shall give priority to the implementation of action, goals, and policies set forth in the compact and heritage plan for the Area, including assisting units of government and others in—

(A) carrying out programs which recognize important resource values within the Area;

(B) encouraging economic viability in the affected communities;

(C) establishing and maintaining interpretive exhibits in the Area;

(D) developing recreational and educational opportunities in the Area;

(E) increasing public awareness of and appreciation for the natural, historical, and cultural resources of the Area;

(F) restoring historic buildings that are located within the boundaries of the Area and relate to the theme of the Area; and

(G) ensuring that clear, consistent, and appropriate signs identifying public access points and sites of interest are put in place throughout the Area.

(3) CONSIDERATION OF INTERESTS OF LOCAL GROUPS.—The management entity shall, in developing and implementing the heritage plan for the Area, consider the interests of diverse units of government, businesses, private property owners, and nonprofit groups within the geographic area.

(4) PUBLIC MEETINGS.—The management entity shall conduct public meetings at least annually regarding the implementation of the heritage plan for the Area. The management entity shall place a notice of each such meeting in a newspaper of general circulation in the Area and shall make the minutes of the meeting available to the public.

SEC. 505. DUTIES OF THE SECRETARY.

(a) IN GENERAL.—To carry out the purpose of this title, the Secretary shall assist the management entity in preparing such studies and plans as the Secretary considers appropriate and in implementing the recommendations contained in a study report prepared by the management entity. The Secretary is authorized to enter into agreements with the Commission or with any owner of property with national historic or cultural significance within the Area for the purpose of facilitating public use and enjoyment of such resources or to otherwise further the objectives of the management entity. Any such agreement shall provide whenever

appropriate that—

(1) the public may have access to such resources at specified, reasonable times for the purpose of viewing the property or exhibits or attending programs or other activities, as may be appropriate;

(2) the Secretary may make improvements to such resources as the management entity or the Secretary deem necessary to enhance the public use and enjoyment of the resources, or to render such property usable by the Secretary, the management entity, or any person for the purpose of this title; and

(3) the Secretary may occupy, utilize, and acquire easements or leasehold interests in resources as required to implement the programs and purpose of this title.

(b) TECHNICAL ASSISTANCE AND GRANTS.—The Secretary may provide, upon request, technical assistance and grants to the management entity to assist the management entity in the performance of its powers and functions as authorized under this title.

The Secretary may provide to any owner of property within the Area, to the Commonwealth of Massachusetts, to the City of Salem and other participating municipalities, to any other Federal or State entity, to any institution, or to any person such technical assistance and grants as the Secretary considers appropriate to carry out the purpose of this title.

SEC. 506. PRIVATE PROPERTY.

No privately owned property shall be included within the boundaries of the Area unless the government of the county, city, or town in which the property is located agrees to be so included and submits notification of such agreement to the Secretary.

SEC. 507. SUNSET.

The Secretary may not make any grant or provide any assistance under this title after September 30, 2012.

SEC. 508. AUTHORIZATION OF APPROPRIATIONS.

(a) IN GENERAL.—There is authorized to be appropriated under this title not more than \$1,000,000 for any fiscal year. Not more than a total of \$10,000,000 may be appropriated for the Area under this title.

(b) 50 PERCENT MATCH.—Federal funding provided under this title, after the designation of the Area, may not exceed 50 percent of the total cost of any assistance or grant provided or authorized under this title.

Appendix C: Evaluation Plan

Heritage Area Evaluation Plan

Background & Purpose

In May 2008, Congress passed legislation which requires the Secretary of the Interior to conduct evaluations of the accomplishments of nine National Heritage Areas (NHA) no later than three years before the date on which authority for federal funding for each of the NHAs terminates. Based on the findings of each evaluation, the legislation requires the Secretary to prepare a report with recommendations for the National Park Service's future role, if any, with respect to the NHA under review. The nine Heritage Areas authorized in 1996 will be required to comply with this directive by the end of FY 2009. (See Appendix 1 for Congressional language)

In order to comply with this Congressional mandate, the National Park Service (NPS) is partnering with the National Parks Conservation Association's Center for Park Management (CPM). CPM will develop an evaluation methodology and implement it at three of the nine required NHA sites. CPM and NPS will test-pilot this methodology and refine it as necessary. Ultimately, CPM will create a replication strategy which NPS can use to achieve its remaining Heritage Area evaluation needs.

Evaluation Questions

As prescribed by Congress, the evaluation will focus on the following questions:

- 1) Based on its authorizing legislation and general management plan, has the Heritage Area achieved its proposed accomplishments?
- 2) What have been the impacts of investments made by Federal, State, Tribal, and local government and private entities?
- 3) How do the Heritage Areas management structure, partnership relationships and current funding contribute to its sustainability?

Evaluation Methodology (see end of report for definition of terms)

The CPM project team will use a multi-step process to develop and conduct a Heritage Areas evaluation. This work will be reviewed periodically by the Evaluation Project Team and the Steering Committee (see Appendix 2). The initial step will be to create a logic model and determine which program outcomes will be measured. The outcomes will be linked to indicators and tools which will measure the relative success of each outcome. The CPM team will use these tools to conduct the evaluation and then analyze the results. The NPS will use this information to write a recommendations report to submit to Congress.

Each step is further explained below:

In order to initiate the evaluation process, CPM will contact the HA ED to discuss preliminary planning details. The HA will need to assist with several activities:

- 1) Provide key documents for review by the CPM team,

- 2) Determine key individuals (staff, board members, partners, etc) for participation in the logic model session,
- 3) Assist with logistical needs for the logic model session (e.g. identify meeting space, assist with invitations for key individuals, provide time for pre- and post- meetings as necessary).

Four to six weeks prior to the logic model session, CPM will minimally request the following documents from the Heritage Area:

- 1) Legislative authority- original and any updates
- 2) Feasibility study
- 3) Management plan- original and any updates
- 4) Annual reports
- 5) Program plans
- 6) Articles of incorporation for 501c3 and by-laws, business plan
- 7) Financial records- 990s, grantee list, funding sources, etc.
- 8) Organizational chart, staff roster, job descriptions
- 9) Board member list, any committee lists and purposes
- 10) Commission list and purpose/roles
- 11) Any mandated NPS reporting

For the on-site meeting, the HA should select a week where the ED, staff, select board members and key partners are available to participate in an introductory meeting and logic model sessions. An introductory meeting will be held to introduce the evaluation team to the HA staff and other contacts and review the overall evaluation plan and timeline. The intent of this meeting is to explain the evaluation process, prepare staff for future engagement in the evaluation process and to answer any questions. If possible and appropriate, a site visit will also be conducted to better inform the CPM team about the HA.

Next, a series of logic model sessions will be conducted. Key stakeholders will be identified to participate in this activity. Approximately 15-20 individuals are requested representing HA staff, Board, and partners. The group will work through the eight logic models that have been identified. This work will ideally be conducted throughout the course of one work day.

For Essex NHA, five logic models will be developed to match the elements outlined in the *Essex National Heritage Area Plan*:

- 1) Heritage Programming, Interpretation and Education
- 2) Preservation and Resource Stewardship
- 3) Heritage Development and Infrastructure
- 4) Marketing and Public Outreach
- 5) Planning and Design Assistance

Three additional logic models related to the HA's sustainability are prescribed by the Congressional mandate. They include:

- 1) Organizational Structure
- 2) Partnership Relationships
- 3) Financial Sustainability

What is a logic model?

A program logic model is defined as a picture of how an organization does its work...[,] it links outcomes (both short- and long-term) with program activities/processes and the theoretical assumptions/principals of the program. (W.K. Kellogg Foundation Logic Model Development Guide, 2004)



Working with select stakeholders, eight logic models will be created. Starting with a complete description of program activities, outputs and inputs are then mapped to those activities. Next, outcomes, or those benefits or changes individuals or communities receive from NHA activities, will be determined. Working with a diverse group of participants will provide for the most complete picture of the NHA and its outcomes. Identifying, and ultimately, measuring these outcomes will help determine how the NHA is really making a difference and how it might improve its services.

After CPM completes the logic model session, they will present the results to the HA and the Steering Committee for approval. Once any adjustments have been made, CPM will determine how best to measure the identified outcomes. The next step will be for CPM to identify indicators, ultimately seeking approval of these indicators from the Steering Committee.

Outcome indicators are measures selected as markers of the NHA’s success. They describe observable, measurable characteristics or changes that represent achievement of an outcome and are the starting point for designing data collection strategies. A single indicator may not capture all aspects of an outcome and more than one indicator may be required to assess an outcome. A framework will be established to track the outcomes, their indicators and ultimately the data source and data collection methods that will be used. See the diagram below for an example:

Outcome Measurement Framework			
Evaluation area:			
Outcome	Indicator(s) (may be more than one per outcome)	Data Source	Data Collection Method

Once indicators are determined, CPM will identify potential data sources and data collection methods for measuring each indicator. Various data sources will be considered, such as internal and external records,

specific individuals, and general stakeholders. Data collection methods may include primary data review, interviews, and surveys, using existing or creating new data collection tools. The advantages and disadvantages of each option will be weighed to determine how accessible the information or individuals are, if the data is biased, the amount of time it will take to collect, the accuracy of the data, if an existing tool can be used or altered to fit the outcome, etc. These factors and others will help determine which data sources and tools will be used to conduct the evaluation.

Before the evaluation gets underway, the tools and indicators proposed by the CPM project team will be reviewed by the Steering Committee. This committee was established to serve as an advisor on the overall evaluation project. Their role is to evaluate the overall process and provide comments on the direction the evaluation is taking. They will review the evaluation team's progress periodically to ensure the process, tools and data collected are appropriate to comply with the Congress mandate. To this end, they will determine whether the indicators and tools are appropriate for measuring the intended outcomes before the evaluation is conducted.

As the data collection proceeds, the data will be validated by the HA and the Steering Committee to ensure the collection instrument is working as intended. Analysis will be conducted by CPM and preliminary and final findings will be shared with the HA and the Steering Committee. The final set of findings will be delivered to the NPS to serve as the base for their report for Congress. A separate report writing committee will be established and the Steering Committee and CPM will advise them on any aspects of the evaluation and findings that need clarity but will not assist with report writing.

Anticipated Timeline

Nov. 4th, 2008- Introductory meeting

Week of Nov. 7th or Dec. 1st, 2008- Proposed time for logic model sessions with key stakeholders

November/December- Refinement of outcomes, development of indicators and data collection tools

December/January – Begin data collection

January- CPM to finalize analysis

Late January/early February- CPM to deliver final report of findings to HA and NPS

Action Plan for Using the Evaluation Findings

Upon the completion of the evaluation, CPM will deliver their findings to the HA as well as NPS. As described in the project purpose above, the NPS is required to submit a report to Congress. The NPS will establish a report writing committee to complete this requirement. CPM and the Steering Committee may be consulted for clarity on the process of the evaluation or the findings if necessary but will not assist with the report writing. Ultimately, NPS will submit the final report to the Secretary of the Interior for his submission to Congress.

The HA will also receive a report of the findings. They will be able to use this information to better understand how successful they are at delivering their services. This information will provide an opportunity for reflection on current activities and goals and provide an opportunity to adjust organizational activities, if necessary. Additionally, the HA may want to consider creating a system for strategically monitoring, managing and reporting on program outcomes for the long term.

Limitations

While this process will provide value to the Heritage Area and the National Park Service, it will have limitations, which are important to understand.

- 1) The most obvious limitation is the time constraint on this evaluation process. All evaluation activities will be considered for their overall importance to the completion of the evaluation and the timeliness with which they can be completed, a balance will be sought between these two needs.
- 2) Outcome measures may show areas where intended benefits are not being met, but they do not show where the problem lies or explain what is needed to fix the problem.
- 3) While the outcome measures may show that desired outcomes are achieved, it does not conclusively prove the program or activities were the sole cause for these outcomes.
- 4) Completing the outcomes measures exercise will not reveal whether the outcomes measured are the appropriate ones for the program. It is important that the measures be selected carefully by the project team to identify the most likely measures of meaningful change. These measures will be reviewed by the Steering Committee as a way of addressing this issue and will be adjusted if need be.
- 5) Many indicators and tools will be created or adapted from other sectors to complete this evaluation project. It is important to note this as there are advantages and disadvantages to this situation. This may result in for tailor-made tools for the NHA's indicators but the disadvantage is they will not have been previously tested before being employed in this evaluation.

APPENDIX 1

From P. L. 110-229, signed May 8, 2008:

SEC. 462. EVALUATION AND REPORT.

(a) In General.--For the nine National Heritage Areas authorized in Division II of the Omnibus Parks and Public Lands Management Act of 1996, not later than 3 years before the date on which authority for Federal funding terminates for each National Heritage Area, the Secretary shall--

- (1) conduct an evaluation of the accomplishments of the National Heritage Area; and
- (2) prepare a report in accordance with subsection (c).

(b) Evaluation.--An evaluation conducted under subsection (a)(1) shall--

- (1) assess the progress of the local management entity with respect to--

(A) accomplishing the purposes of the authorizing legislation for the National Heritage Area; and

(B) achieving the goals and objectives of the approved management plan for the National Heritage Area;

(2) analyze the investments of Federal, State, Tribal, and local government and private entities in each National Heritage Area to determine the impact of the investments; and

(3) review the management structure, partnership relationships, and funding of the National Heritage Area for purposes of identifying the critical components for sustainability of the National Heritage Area.

(c) Report.--Based on the evaluation conducted under subsection (a)(1), the Secretary shall submit a report to the Committee on Natural Resources of the United States House of Representatives and the Committee on Energy and Natural Resources of the Senate. The report shall include recommendations for the future role of the National Park Service, if any, with respect to the National Heritage Area.

APPENDIX 2

National Heritage Area Evaluation Steering Committee

Michael Creasy, Superintendent, Lowell National Park

Denis Galvin, Trustee, National Parks Conservation Association/retired NPS

Jon Jarvis, Regional Director, Pacific West Region, NPS

Marcia Kees, New York State Heritage Areas Program

Renee Kivikko, Director of Education, Land Trust Alliance

Joel Lynch, Acting Director, Office of Strategic Planning, NPS

Nancy Morgan, Point HDC Consultant

C. Allen Sachse, President/Executive Director, Delaware and Lehigh National Heritage Area

Amy Webb, Director, Heritage Tourism Program, National Trust for Historic Preservation

Foundation Representative, TBD

National Heritage Area Evaluation Project Team

Martha Raymond, National Heritage Area Coordinator, NPS

Eleanor Mahoney, Contractor, National Heritage Area Program, NPS

Suzanne Copping, National Heritage Areas Coordinator, Northeast Region, NPS

Cyndi Szymanski, Director, Center for Park Management, National Parks Conservation Association

Kristen McConnell, Associate Director, Center for Park Management, National Parks Conservation Association

Maggie Ryan, Associate Director, Center for Park Management, National Parks Conservation Association

Omolara Fafore, Director, Center for Park Management, National Parks Conservation Association

Definition of Terms

Activities: The processes, tools, events, technology, and actions that are intentionally part of the program implementation. These interventions are used to bring about the intended program changes or results.

Impact: The fundamental intended or unintended change occurring in organizations, communities or systems as a result of program activities within 7 to 10 years.

Indicators: Specific items of information that track a program's success on outcomes. They describe observable, measureable characteristics or changes that represent achievement of an outcome.

Inputs: Include the human, financial, organizational, and community resources a program has available to direct toward doing their work.

Program activities: What a program does with its inputs or resources.

Program logic model: A picture of how your organization does its work- the theory and assumptions underlying the program. A program logic model links outcomes (both short- and long-term) with program activities/processes and the theoretical assumptions/principles of the program.

Outcome: The specific changes in program participants' behavior, knowledge, skills, status and level of functioning. Short term outcomes should be attainable within 1-3 years, while longer-term outcomes should be achievable within a 4 to 6 year timeframe. The logical progression from short-term to long-term outcomes should be reflected in impact occurring within about 7 to 10 years.

Output: Direct products of program activities and may include types, levels and targets of services to be delivered by the program.

Resources: see Inputs

Sources:

Measuring Program Outcomes: A Practical Approach, United Way of America, 1996.

W.K. Kellogg Foundation Logic Model Development Guide, W.K. Kellogg Foundation, January 2004.

Appendix D: Acronyms

ANHA	Alliance of National Heritage Areas
CNCS	Corporation for National and Community Service
CPM	Center for Park Management
CSI	Conservation Study Institute
CTC	Coastal Trail Coalition
CTdc	Cultural Tourism DC
DCR	Massachusetts Department of Conservation and Recreation
DVSA	Domestic Volunteer Service Act
ENHA	Essex National Heritage Area
ENHC	Essex National Heritage Commission
HLI	Heritage Landscape Inventory
IRS	Internal Revenue Service
LINC	Local History in a National Context
MAPC	Metropolitan Area Planning Council
MVPC	Merrimack Valley Planning Council
NCSA	National and Community Service Act
NHA	National Heritage Area
NHS	National Historic Site
NPS	National Park Service
NPSFAF	National Park Service Federal Assistance Funding
PL	Public Law
PUD	Planned Unit Developments
TAH	Teaching American History
UEH	Using Essex History

Appendix E: ENHC Programmatic Timeline

ESSEX NHA PROGRAMMATIC TIMELINE	
PROGRAM/EVENT	DESCRIPTION
MARKETING AND PUBLIC OUTREACH	
Signage <i>1998 - ongoing</i>	ENHC's unified signage program began in 1998 with the installation of 85 highway signs directing residents and visitors to NPS and regional visitor centers as well as 87 site signs at historic, cultural, and natural resources. ENHC has continued to maintain and add signage for additional sites, historic districts, and trails, while ensuring a standardized, "branded" approach to this element of regional identity.
ENHA Passport <i>1998 - 2003</i>	Three ENHA Passports were developed in 1998, 2000, and 2003 to encourage families to visit regional resources and assist ENHC in tracking visitation.
Visitor's Center Network <i>1998 - ongoing</i>	One of ENHC's first initiatives was to link NPS and community visitor centers to create a region-wide network. After visitation to these centers increased due to new signage, ENHC worked to build capacity in each center to better serve the region's visitors through operational grants, marketing, programming, and volunteer development.
Promotional Videos <i>1998 - 2005</i>	ENHC created an initial marketing video titled "There's More to Explore" in 1998, and then began production in 2003 on a series of cable television videos exploring Essex County's history and unique resources. The video program was designed to expose residents to the activities available in the area and to encourage them to visit and participate.
Newsletter <i>1998 - ongoing</i>	
Website <i>1998 - ongoing</i>	ENHC established a presence on the web in 1998 that introduces regional resources, ENHC programs, and events. This site has been continually updated and improved each year.
Frederick Wallace Character <i>2000-01</i>	In 2000, in order to interpret the region's history in an interactive and engaging way, ENHC developed a fictional historical character played by an actor who appeared at annual meetings, in schools, and at business events throughout the region.
Unigrd Brochure <i>2000 - ongoing</i>	ENHC developed a brochure designed in the style of the NPS Unigrd that maps regional resources, educates visitors on the distinctive landscapes and the three nationally significant themes.
Community Presentations <i>2000 - ongoing</i>	In order to more effectively outreach to organizations and communities within the Heritage Area, ENHC made presentations to educate residents on the ENHA, its mission and its programs.
Kiosks <i>2000 - ongoing</i>	ENHC developed travelling informational kiosks in 2000 to provide information about ENHA to residents and visitors. Kiosks feature maps, background on the ENHA, the history of the area, and resources of interest, and are rotated through popular businesses and community institutions throughout the region.

Volunteer Program <i>2000 - ongoing</i>	The volunteer program was launched in 2000 to educate the region's volunteers about unknown ENHC resources and show appreciation to the volunteers for their efforts in serving visitors to ENHA sites. The volunteer program included familiarization tours of regional sites, a reciprocal visitation program, and training sessions on ENHC initiatives.
Essex Heritage Ride <i>2000 - 2005</i>	The ENHC Heritage Ride was a non-competitive bicycle ride that highlighted key historic sites and natural areas in Essex County, as well as ENHC's conservation partner organizations.
Awards <i>2001 - ongoing</i>	2001-ongoing Pioneers in Partnership awards were first awarded in 2001 to recognize individuals or organizations that work in partnership to educate, preserve, and promote area resources. 2006 – ongoing Heritage Hero Awards were first awarded in 2006...
Explorers <i>2003 - ongoing</i>	The Essex Heritage Explorers program was launched in 2003 due to enthusiastic response to the opportunity the prior year to discover area resources through the Trails and Sails event. Explorers offers members a quarterly newsletter and year-round programming that showcases well-known and hidden regional resources through "behind the scenes" tours, educational lectures and interpretative demonstrations.
Photo Safari and Contest <i>2006 - ongoing</i>	In 2006, ENHC first partnered with a photography and video retailer to offer guided "photo safaris" at heritage sites across the region to introduce participants to unique landscapes and resources. An annual ENHC photography contest awards amateur photographers for images of ENHA historical, natural, and cultural resources.
10th Anniversary Event <i>2006</i>	ENHC's tenth anniversary in 2006 included a large fundraising event as a celebration of "Heritage Milestones," or the people, places, and organizations who work to make the region's resources relevant to residents and visitors.
Thomas M. Leonard Grant <i>2006 - ongoing</i>	The Thomas M. Leonard grant was first awarded in 2006 to support Essex County nonprofit organizations that deliver stewardship-related programming to underserved youth.
HERITAGE PROGRAMMING, INTERPRETATION AND EDUCATION	
Discovery Box <i>1998 - 2003</i>	Developed in partnership with the National Park Service, ENHC created a hands-on educational tool for classroom use that featured artifacts from resources throughout the region.
Educator's Workshops <i>1998 – ongoing as UEH and LINC's</i>	ENHC developed a series of workshops hosted with NPS designed to raise educators' awareness of resource-based educational programming and facilitate information sharing between educators and preservationists.
History in the Making <i>1998 - 2007</i>	History in the Making was created through an ENHC partnership grant in 1998, and continued as an afterschool program in several Essex County communities. HIM combines history with art, dance, and other mediums to encourage school-aged children to engage in the heritage of their urban communities.
Curriculum Guide <i>1999 - 2003</i>	Developed in partnership with the National Park Service, ENHC created an educational resource guide listing educational programs at more than 50 sites in the ENHA.
Education Presentations <i>2000 - 2001</i>	In 2000, the ENHC Education Committee developed a series of education presentations for school superintendents, principals, curriculum coordinators and teachers in order to highlight regional educational opportunities as well as ENHC programs.

Education Committee <i>2000 - 2008</i>	The ENHC Education Committee was developed in 2000 to guide education initiatives, and was made up of educators, community leaders, and site managers.
Friendship Commissioned <i>2001</i>	In 2001, the NPS and ENHC officially commissioned the tall ship Friendship during a four-day maritime celebration that included a Parade of Sail from Gloucester to Salem.
Teachers Summer Institute <i>2001 - ongoing</i>	ENHC partnered with Salem State College and others beginning in 2001 to sponsor an annual theme-based summer educational institute designed to help teachers make connections between community resources and standard curriculum requirements. The institute was conducted at historic sites across the region.
Education Exchange Program <i>2001</i>	ENHC developed an educational exchange program with 8th grade students from two middle schools that connected students through the internet and field trips that enabled them to share valuable resources in their own communities.
Internship Program <i>2001 - ongoing</i>	For two years beginning in 2001, ENHC facilitated opportunities for college students and high school seniors to intern at ENHA historical societies, museums, and natural history resources.
Reading Series <i>2001</i>	The Reading Series was a 2001 initiative designed to connect local literature (i.e. books by Nathaniel Hawthorne) with historic sites throughout Essex County.
Frameworks Program <i>2001 - 2005</i>	In 2001, ENHC partnered with the Blackstone Rivery Valley National Heritage Corridor and Boston's Freedom Trail Foundation to develop a web-based resource for Massachusetts history teachers designed around the American History Frameworks, or curriculum, requirements for grades 5-12.
Educator's Resource Guide <i>2003 - 2005</i>	The Educator's Resource Guide was developed in 2003 in collaboration with NPS, and is a searchable web guide that provides information on hundreds of educational offerings at the historic, cultural, and natural resources in the Area. The guide also provides information on the connections between the programs and standard Massachusetts curriculum requirements for history and life sciences.
Using Essex History <i>2005 - 2009</i>	Using Essex History is a collaborative program that educates over 150 area high school teachers each year on the connections between the heritage sites and resources in Essex County and the Massachusetts curriculum and standardized assessment requirements.
History Day <i>2005 - ongoing</i>	ENHC recognizes and presents two prizes for the best projects from Massachusetts History Day that reflect Essex Heritage Area topics.
Friendship Sails! <i>2006 - ongoing</i>	A partnership with Salem Maritime NHS, Friendship Sails! is a program that facilitates the touring of the tall ship Friendship to ENHA communities. In 2007, ENHC helped to develop a Junior Ranger Ship Mate program that encourages school-aged children to visit the Salem Maritime facility and learn about maritime history and culture.
Thematic Guides <i>1997 - ongoing</i>	ENHC has developed series of printed and online thematic guides to the region to connect sites and regional exploration. Guides included the three theme trails, "Birding in Essex County," "Art Escapes in Essex County" and "First Period Architecture." Additional guides on "Farms and Agriculture" was produced in 2007, A Guide to the Great Outdoors was produced in 2008, and a Maritime Guide: Exploring the Coast of Essex County was printed in 2009
Essex LINC's <i>2007 - ongoing</i>	Essex LINC's, or Local History in a National Context, is a three-year project designed to connect Essex County elementary social studies teachers with local primary source material. LINC's was launched in 2007.
PRESERVATION AND RESOURCE STEWARDSHIP	

Partnership Grants <i>1998 –new grants were suspended temporarily for part of 2009</i>	<p>The ENHA partnership grant program began in 1998, and annually awarded small matching grants to local municipalities and nonprofit organizations for collaborative projects that focused on the preservation and interpretation of ENHA's historic, cultural, and natural resources.</p>
Historical Records Initiative/Council <i>2000 - ongoing</i>	<p>After a 1999 feasibility study recommended that ENHC create an initiative to preserve historic records and make them more accessible to the public, the Historical Records Council was formed in 2000. The Council supports the Archives Initiative through the sponsorship of conferences and hands-on workshops, as well as cultivating partnerships to enhance regional capacity to preserve archives.</p>
Trails and Sails <i>2002 - ongoing</i>	<p>ENHC's largest collaborative event, Trails and Sails, was founded in 2002 to demonstrate the broad range of heritage activities in the region. During the two-day event, over 150 sites in communities across Essex County offer free tours, activities, and workshops. ENHC coordinates the many heritage organizations and individuals who volunteer for and host activities. Trails and Sails was expanded to three days in 2007.</p>
Heritage Preservation Committee <i>2003 –ongoing</i>	<p>The Heritage Preservation Committee was formed in 2003 to advise ENHC staff and Trustees on the preservation of the region's historic, cultural, and natural resources. The committee is composed of ENHC Commissioners and others with expertise in resource preservation. More recently it has helped create a Preservation Easement Program at ENHC.</p>
Nonprofit Initiative <i>2008 - ongoing</i>	<p>In 2008, ENHC commissioned a study to examine opportunities for strengthening small heritage organizations within ENHA. The study produced actionable recommendations for ENHC, but the next phase of this initiative has been suspended until funding can be secured.</p>
Preservation Façade Easements Program <i>2008 - ongoing</i>	<p>ENHC has begun to analyze the potential to acquire façade easements for several endangered historic buildings in communities in ENHA. See Preservation Committee above</p>
Bakers Island Light Station <i>2002 - ongoing</i>	<p>In 2002, ENHC began to work with Salem Maritime NHS to plan for the title transfer of the historic Bakers Island Light Station to ENHC. ENHC will then preserve and operate Baker's Island to maintain public access.</p>
HERITAGE DEVELOPMENT AND INFRASTRUCTURE	
Great Marsh Coalition <i>2002 - ongoing</i>	<p>Beginning in 2002, ENHC partnered with key conservation organizations and state agencies to form the Great Marsh Coalition to highlight, strengthen the economic viability, and enhance the value of the region's marshlands, estuaries and beaches.</p>
Coastal Trails Coalition <i>2003 - ongoing</i>	<p>In 2003, ENHC helped to form a four-town regional partnership called the Coastal Trail Coalition to advocate for a public system of interconnected bicycle and pedestrian trails. The CTC continues to work on securing access agreements, trail design and building activities, and fund development.</p>
Scenic Byway <i>2003 - ongoing</i>	<p>ENHC and partners spent several years organizing communities along historic Routes 1A and 133 to create a scenic byway, and legislation was passed to officially designate the Essex National Heritage Area Scenic Byway in 2003. ENHC and partners have continued to work to secure funding for, design, and promote the byway. ENHC is now overseeing the development of a scenic byway corridor management plan with the 13 byway communities.</p>

<p>Border to Boston Trail <i>2004 - ongoing</i></p>	<p>The Border to Boston trail is a project initiated in 2004 to promote development of a 28-mile bicycle and pedestrian path that will link eight ENHA communities along a decommissioned railroad corridor. ENHC is working to secure funding and technical assistance with the support of other partners including the NPS Rivers and Trails program, the Metropolitan Area Planning Council, trail advocates, and local officials.</p>
<p>Heritage Landscape Inventory <i>2004 - 2007</i></p>	<p>ENHC partnered with the Massachusetts Department of Conservation and Recreation to inventory valuable historic structures, landscapes, and resources in communities across Essex County in 2004-2005. Following the completion of the inventory, ENHC supported communities in implementing recommendations for zoning, technical assistance workshops, and other preservation work.</p>
<p>Farm Fresh – Northeast Harvest <i>2007 - ongoing</i></p>	<p>The Farm Fresh/Buy Local program was initiated in 2007 to identify, promote, and build the sustainability of local farms and agriculture. ENHC maintains a website of working farms in Essex County and Middlesex Counties.</p>
<p><i>*Descriptions derived from ENHC collateral materials and annual reports.</i></p>	

Appendix F: Evaluation Committee and Working Group Membership

National Heritage Area Evaluation Committee³¹

Original members at time of evaluation

- Michael Creasey, Superintendent, Lowell National Historical Park
- Denis Galvin, Trustee, National Parks Conservation Association/retired NPS
- Jon Jarvis, Regional Director, Pacific West Region, NPS³²
- Marcia Kees, Director, New York State Heritage Areas Program
- Renee Kivikko, Director of Education, Land Trust Alliance
- Joel Lynch, Acting Director, Office of Strategic Planning, NPS
- Nancy Morgan, Point HDC Consultant/Former Executive Director of Cane River NHA
- C. Allen Sachse, President/Executive Director, Delaware and Lehigh National Heritage Area³³
- Marty Sterkel, Assistant Regional Director, Midwest Region, NPS
- Amy Webb, Director, Heritage Tourism Program, National Trust for Historic Preservation

Added Members

- Charles Flynn, Executive Director, Yuma Crossing National Heritage Area
- Ernie Quintana, Regional Director, Midwest Region, NPS
- James Gramann, Visiting Chief Social Scientist, NPS

Working Group

Original members at time of evaluation

- Martha Raymond, National Coordinator for Heritage Areas, NPS
- Eleanor Mahoney, Assistant Coordinator for Heritage Areas, NPS³⁴
- Suzanne Copping, National Heritage Area Northeast Regional Coordinator, NPS³⁵
- Cyndi Szymanski, Director, Center for Park Management, National Parks Conservation³⁶ Association
- Kristen McConnell, Associate Director, Center for Park Management, National Parks Conservation Association³⁷
- Maggie Ryan, Associate Director, Center for Park Management, National Parks Conservation Association³⁷
- Omolara Fafore, Director, Center for Park Management, National Parks Conservation Association³⁷

³¹The Evaluation Committee was renamed the Panel of Experts in July 2009

³²Served on the Evaluation Committee from September 2008 until September 2009 when he was confirmed as Director, NPS.

³³Served on the Evaluation Committee from September 2008 - February 2009

³⁴Left the Working Group in April 2009

³⁵Left the Working Group in January 2009

³⁶Left the Working Group in November, 2009

³⁷Left the Working Group in January 2010

Added Members

- **Kathleen Durcan**, Assistant Coordinator for Heritage Areas, NPS
- **Sue Pridemore**, National Heritage Area Midwest Regional Coordinator, NPS
- **Peter Samuel**, National Heritage Area Northeast Regional Coordinator, NPS
- **Patricia Trap**, Superintendent, Salem Maritime NHS and Saugus Iron Works NHS, NPS

The working group was reformed in August 2009 following completion of the draft findings document. Repurposed as the NPS body tasked with decision making for the evaluation, the group provided oversight and direction to the independent evaluation team.

Appendix G: ENHC Logic Models

This Appendix contains the following logic models that were developed during the early stages of the ENHC evaluation. These logic models provided the foundation for the rest of the evaluation.

- Heritage Programming, Interpretation, and Education
- Financial Sustainability
- Heritage Development and Infrastructure
- Marketing and Public Outreach
- Partnerships
- Preservation and Resource Stewardship

Essex National Heritage Commission Evaluation Project
B. Heritage Programming, Interpretation, and Education Logic Model

Guiding Principle: ENHC cultivates the present and future stewards of the region's historic, cultural, and natural resources by (1) building awareness; (2) providing for public access and use; (3) creating a culture that values the connection between personal and regional heritage and the national story; and (4) creating partnerships across disparate actors in the education and preservation communities.

Resources	Activities/Outcomes	Short-term Outcomes (Years 1-3)	Mid-term Outcomes (Years 4-8)	Long-term Outcomes (Years 9-12)	
<ul style="list-style-type: none"> Staff Key partners (teachers, schools, museums, libraries, archives, historical societies, records repositories) NPS partners Commission Financial resources (private and public donations) Knowledge of American history and Essex historic, cultural, and natural resources ENHC relationships to local site and national resources (e.g., National Archives, NPS) ENHC status/reputation/regional credibility ENHC administrative capacity and role as fiscal agent 	<p>OUTREACH PROGRAMS</p> <ul style="list-style-type: none"> History Day - fund an award at annual student history competition History in the Making - provided grants to fund afterschool programs in 3 urban communities Visitors Centers <ul style="list-style-type: none"> Provided grant funding to assist operation of 8 cooperating visitor centers Coordinate information exchange to develop regional network and provided new marketing and promotional information on ENHA Develop and coordinate regional Passports Provide training, development and incentives for visitors center staff - including familiarization tours and reciprocal passes to other sites and museums in the area 	<ul style="list-style-type: none"> Trails and Sails <ul style="list-style-type: none"> Organize region-wide, multi event weekend scheduled for the last weekend in September Promote nearly 150 heritage sites and organizations with 200 events leading up to and during Trails & Sails weekend Organize the opportunity for heritage sites to present expert who provide "behind-the-scenes" introductions to resources regional resources Provide and encourage opportunities through Trails & Sail for organizations to pilot new programs and then refine new programs 	<ul style="list-style-type: none"> The public begins to see the breadth and depth of important historic, cultural and natural resources in the area Residents start to engage in new experiences in their community Begin to develop branding that identifies common regional identity Regional visitors start to connect better to the heritage resources ENHC and NPS are provided with an additional opportunity to interact and survey visitors 	<ul style="list-style-type: none"> Residents better understand the story of Essex Resident participants begin to feel more connection to area in which they live Some participants utilize event maps long after event to continue to discover their community Partner organizations gain new members and increase capacity Visitor Centers begin to create a sense of the region and its stories and the sites within Essex County begin to connect by network of visitors centers Some residents become ambassadors for area resources through work at visitors centers and participation in events Area businesses become more aware of historic, cultural, and natural resources through Trails & Sails and other ENHC programs Essex County grows in visibility with tourists 	<ul style="list-style-type: none"> ENHC and region maintain relevance of resources through continued on-the-ground feedback ENHC and partner organizations connect people and resources (historic, cultural, and natural) to engender and foster a sense of place among residents Local businesses see some increase in customer base <p>Very Long Term - (15-25 year goals)</p> <ul style="list-style-type: none"> Visitor Centers are well-managed and coordinated and foster repeat visitation Partner organizations grow capacity and sustainability through marketing and connections Resident participants gain a sense of the unique value of the region's resources and services in their own lives
	<p>EDUCATIONAL PROGRAMS INCLUDING LINCS/UEH</p> <ul style="list-style-type: none"> Cultivate productive relationships with partners (e.g., sites, schools, alumni teachers) Locate, digitize and transcribe primary source material Create lesson plans, focusing on innovative, hands-on, and engaging methods Distribute curriculum to educators and public using website and other means Host professional development seminars for teachers Introduce teachers to each other and to heritage area resources Evolved of ENHC "discovery boxes," educational curriculum frameworks and the community exchanges into LINCs and UEH educational programming in order to sustain higher impact on students and teachers 	<ul style="list-style-type: none"> Convened educators roundtables and coordinated resource guide Hosts website (during the grant period) that provides materials and sample lesson plans for teachers, sites and other users Acts as fiscal agent providing financial reports to grantor and steering committee Provides interface and link between educators and historic resources & site managers assists sites in gaining new educational tools & teaching aids through the LINCs & UES grants 	<ul style="list-style-type: none"> Provided enrichment to students in after school programs Provided opportunities for students to learn from each other (community exchange program) Provided new experiences for students in the classroom Made students and teachers aware of Essex-area resources and how they can use them as teaching tools Shone a light on lesser known resources Educational benefits of place-based learning 	<ul style="list-style-type: none"> Increase teacher content knowledge including local history and local content Increase teacher pedagogical skill (e.g., quality and depth of lesson plans) Improved teacher teacher within and outside of Essex have access to materials (through website and other means) Shine spotlight on teachers using the content especially the curriculum unit that they develop Teaching history made easier (e.g., one-stop shop for lesson plans, digitized images) Teachers get continuing education/graduate credits through seminar and institute Sites are better equipped to match resource interpretation to requirements of new curriculum standards Made some historical archives made more accessible to broad community 	<ul style="list-style-type: none"> Students gain increased knowledge of the intersection between American history and Essex culture Sites with newly accessible resources able to promote to community Set the foundation for benefits of program to exist even without programming (e.g., relationships established at workshop; materials available online into perpetuity, etc.) Creation of network between participating teachers across school districts ENHC benefits through increased fundraising, opportunities, education accomplishments attractive to funders ENHC broadens its membership base; niche program has broadened appeal to new audiences (e.g., teachers become explorers, etc.) Students improve understanding of primary source utilization in research methodologies Participating teachers gain additional professional development opportunities with the National Archives and other partners ENHC becomes noteworthy resource for area teacher professional development opportunities ENHC cultivates future stewards of community resources ENHC improves regional identity as the region can associate a tangible program with ENHC and subsequently knows who ENHC is and what role ENHC plays in the community Further professionalization of teaching field (especially history) in the region and beyond

Resources		Activities/Outcomes	Short-term Outcomes (Years 1-3)	Mid-term Outcomes (Years 4-8)	Long-term Outcomes (Years 9-12)
REGIONAL MARKETING & INTERPRETIVE MATERIALS	<ul style="list-style-type: none"> Creating marketing and interpretive materials including interpretive guides, maps, ungrids, newsletters, ENHA passports, etc using strategic themes (art, building, first period architecture, farms/agriculture, recreational opportunities/guide to the great outdoors) (originally used three themes: settlement, industrial, maritime and four landscapes) 	<ul style="list-style-type: none"> Revisit themes periodically to match community and visitor interests to interpretive materials Utilize website to expand thematic guides into town-by-town resources with links and event calendar Develop distribution plans for print materials 	<ul style="list-style-type: none"> Residents and visitors start to connect the stories and places within ENHC Attract residents to visit and interact with resources 	<ul style="list-style-type: none"> Build awareness of resources in niche markets and strategic locations ENHC and partners organizations increase knowledge and understanding about the region's core themes ENHC and partner organizations increase knowledge of the story of Essex throughout the community 	<ul style="list-style-type: none"> Cultivate awareness of ENHC in niche markets ENHC and partner organizations build awareness and understanding of the significance of the resource <p>Very Long Term – (15-25 year goals)</p> <ul style="list-style-type: none"> ENHC and partner organizations build broad community support of resource stewardship Residents embrace the story of Essex as their own story
NPS PROGRAMS	<ul style="list-style-type: none"> Cooperative programs and activities with NPS units at Salem Maritime and Saugus Iron Works National Historic Sites including such events/activities as "Discovery Bases", exhibits at the Salem Regional Visitor Center, <i>Friendship</i> commissioning, ENHC Passports, the case for Feddick's Warehouse, Baker's Island Light Station, and more Salem Maritime Festival - ENHC provides some marketing and outreach, fundraising activities, and fiduciary agent services; also marketed ENHC at festival 	<ul style="list-style-type: none"> <i>Friendship Sale!</i> - ENHC provided marketing, outreach, and fundraising capacity; coordinated logistics with individual towns; solicited corporate sponsorship; and planned event for sponsors (ENHC has also done fundraising for the Friendship Centennial Challenge grant match requirement) Saugus Ironworks Reopening - ENHC provided community connections, fundraising, and marketing and designed and had produced promotional materials Plan for strategic alignment between themes of ENHC and NPS units 	<ul style="list-style-type: none"> Residents engage in new experiences in their community ENHC encourages regional participation in events held in specific communities ENHC marketing to network of members and supporters results in increased participation at NPS events Passport program connected NPS visitor center and other 9 visitor centers to regional network of sites and resources 	<ul style="list-style-type: none"> NPS units able to develop relationships with businesses and other historical organizations in region through ENHC introduction (e.g., Saugus provides reproductive pieces for other organizations) Residents understand the benefits that the ports hold currently and have held historically <i>Friendship Sale!</i> generates economic returns related to visitation during event 	<ul style="list-style-type: none"> NPS presence expanded beyond park unit borders ENHC participation contributes to the sustainability and evolution of NPS events Media coverage of NPS events increases <p>Very Long-term – (15-25 year goals)</p> <ul style="list-style-type: none"> ENHC-NPS partnerships build broad community support for resource stewardship Active use and reinterpretation of historic and cultural resources ensures relevance of NPS work to community ENHC incorporates NPS signage into broader regional signage infrastructure
BUILDING INTERNAL & EXTERNAL CAPACITY FOR EDUCATIONAL/INTERPRETIVE PROGRAMMING	<ul style="list-style-type: none"> Conduct research and outreach to identify partners for collaborative programs Sub-granting (Partnership and Tom Leonard grants) – grant making, monitoring, attendance at programs, and promotion Assist smaller organizations in developing programming and disseminating information Some interpretive Training and development for internal staff 	<ul style="list-style-type: none"> ENHC supports partner organizations in spreading the story of Essex and/or its sub-themes to their constituencies ENHC staff prepared to interpret and enhance the stories and places within ENHC Sub-grants encourage demand and provide growth opportunities for organizations who play a role in encouraging the community to embrace the story of Essex and/or its sub-themes ENHC funding provides credibility for organizations to gain community attention and membership 	<ul style="list-style-type: none"> ENHC supports partner organizations in spreading the story of Essex and/or its sub-themes to their constituencies ENHC staff prepared to interpret and enhance the stories and places within ENHC Sub-grants encourage demand and provide growth opportunities for organizations who play a role in encouraging the community to embrace the story of Essex and/or its sub-themes ENHC funding provides credibility for organizations to gain community attention and membership 	<ul style="list-style-type: none"> Grantee organizations begin to build network of communication (e.g., Anebury) Partner organizations take more responsibility in incorporating Essex-related interpretation and education into their own activities ENHC staff capable of judging smaller organizations as they build interpretive capacity Sub-grants are strategically awarded to organizations for activities that complement ENHC's overall program priorities Grantee organizations attract additional funders 	<ul style="list-style-type: none"> The Essex story and the area's special regional assets such as the Great Marsh become more recognized and commonly acknowledged by many more ENHA residents ENHC and Partners are more effective in connecting area residents to the regional themes <p>Very Long Term (we're still working towards)</p> <ul style="list-style-type: none"> ENHC becomes model in interpretation and education programming in the region and maybe for other national heritage sites Museums, schools, and other education organizations in the community play well-orchestrated and effective roles in connecting area residents to their Essex story

Essex National Heritage Commission Evaluation Project
E. Financial Sustainability Logic Model

Guiding Principle: ENHA will be prepared for financial sustainability by: (1) Leveraging investments and ideas from diverse sources, (2) institutionalizing sound financial management practices and (3) strategically deploying resources in the community.

Resources	Activities/Outcomes	Short-term Outcomes (Years 1-3)	Mid-term Outcomes (Years 4-8)	Long-term Outcomes (Years 9-12)
<ul style="list-style-type: none"> ENHA Commission ENHA staff, consultants and technical skills IT Systems Revenues (from federal, state, and local government, private philanthropy, partner match, fees for service, etc.) In-kind donations Federal legislation creating and authorizing ENHA NPS cooperative agreement and task agreements 	STARTUP, CREATING AND MAINTAINING FINANCIAL MANAGEMENT SYSTEMS <ul style="list-style-type: none"> Learn federal process and requirements (requisition process, rules, regulations, etc.) Negotiate Cooperative Agreement and subsequent Task Agreements with NPS Learn nonprofit reporting requirements/financial transparency requirements Identify correct reporting formats Learn grant making requirements Learn how to establish a business in the Commonwealth of MA Learn how to implement the requirements of the federal authorizing legislation Establish management structure that oversees financial planning Early marketing of the vision to secure resources Leverage early investments from partners in the first 2 yrs so stay afloat before major funding streams come in Create culture of financial transparency and accountability Solicit in-kind contributions for start-up activities Pay for other start-up activities (IRS Form 1023, getting 501(c)(3) status, etc.) Manage ad hoc volunteers to keep the organization moving Recruited trustees with strong financial skills Due diligence in traveling the region and ensuring that ENHC is known and trusted Act as fiscal agent (for NPS and other organizations) Build donor confidence in ENHC Develop and improve accounting systems Train and hire staff (COO, CPA, consultant, etc.) Establish staff professional development opportunities related to financial management Establish an audit committee, an audit process and has an annual audit performed by an independent auditor 	<ul style="list-style-type: none"> ENHC established a financial system that met both the federal funding requirements (of NPS, OMB and IRS) and non-profit fiscal management and reporting requirements (IRS and Mass Sec of State and DOR) ENHC prepared to regularly review financial status, revenues, expenditures, etc. – with Trustees, Commissioners, independent auditors, NPS, IRS, MA state regulators Staff have developed critical financial management skills ENHC creates and maintains a body of institutional knowledge ENHC receives federal funds, private donations, state funds, etc. 	<ul style="list-style-type: none"> Decentralizes financial monitoring system established; staff can monitor where they are financially in their programs (shared responsibility across staff) Provide checks and balances to ensure that effective financial oversight (to prevent fraud and waste) is continually in place Clearly maintained reports ENHC gains knowledge to assist other heritage areas, other nonprofits locally, and the NPS in developing their financial planning systems ENHC gains credibility in the region—especially among partner organizations—and also among other heritage areas across the country ENHC gains trust from other organizations/stakeholders ENHC generates good will (as helpful and responsible agent) and some revenue from acting as fiscal agent ENHA has efficient, transparent, and accountable financial systems for management and reporting ENHC has an extensive independent audit produced each year with a minimum number of adjustments/corrections required in the auditor's management letter ENHC adjusts financial systems and oversight as it learns more about procedures and/or as requirements change (i.e. Sarbanes Oxley Act) and/or as independent auditors have made recommendations Key Trustees and Commissioners volunteer on fiscal committees (Finance Committee, Audit Committee, Investment Committee) and provide oversight to the organization Donors give to ENHC; in turn they receive the proper reports and gift acknowledgements as well as additional thanks and recognition; and as a consequence donors continue to give to ENHC 	<ul style="list-style-type: none"> ENHC is well managed and is able to monitor up-to-the-minute changes in its fiscal picture (i.e. grants rescinded by state, continuing resolutions with the federal budget, etc.) and respond to them ENHC emerges as model of accountable financial management among other organizations in the nonprofit sector (not just among heritage areas)
	BUDGETING & STRATEGIC PLANNING <ul style="list-style-type: none"> Implement zero-based budgeting Create annual budget Evaluate (and continually monitor) budget during course of entire year to see if resources have been properly allocated Assess and prioritize programmatic and administrative activities ID strengths, weaknesses, opportunities, and threats to get highest impact out of scarce resources Prepare annual NPS Task Agreements, quarterly and annual reports that summarize past activities and outline future work 	<ul style="list-style-type: none"> Spending patterns are reflective of ENHA mission ENHC financial resources are allocated strategically ENHC cash reserves meet immediate needs ENHC governance body (Commissioners) understand ENHC financial status and have the tools/resources to govern 	<ul style="list-style-type: none"> ENHA maintains efficient operations ENHA is financially prepared to respond to necessary but unexpected shifts in programming and ENHC is capable of adjusting programs in response to shifts in fiscal support Other stakeholders (beyond commissioners) recognize ENHC as trustworthy organization ENHC gains credibility as a resource for region across the region 	<ul style="list-style-type: none"> ENHA emerges as financially flexible and may proactively pursue necessary but unexpected shifts in programming
	FUNDRAISING & PREPARING FOR FINANCIAL SUSTAINABILITY <ul style="list-style-type: none"> Leveraging federal dollars to secure other sources of funding ENHC exhibit fundraising restraint so not to damage emerging network of partners (fundraising restraint fosters subsequent collaboration) Bringing more public funds into the region (an on-going activity) 	<ul style="list-style-type: none"> Establishing and maintaining positive relationship over time with community partners/prospective donors who will eventually have a relationship with ENHC Partners establish interest in working with ENHC as a member of a collaborative network of organizations in the region ENHC increases partners' visibility as a result of ENHC fundraising efforts (particularly related to the Trails & Sails event) 	<ul style="list-style-type: none"> ENHC operates from a base of federal funding and identifies opportunities for revenue diversification Donors establish interest in supporting ENHC as a member of a collaborative network of organizations in the region Improved donor retention Leverage match: every dollar of federal funding is matched with non-federal funding which is invested in the heritage resources and projects in the region ENHC provides high levels of programming and regional value despite 38% decrease in federal funding 	<ul style="list-style-type: none"> Donor network evolves from wholesale to retail ENHC sustains interest and support of existing donors who are interested in regional collaboration ENHC increases the numbers of new donors for its programs ENHC raises funds for specific programs (i.e. TML Grant Fund, ENHC Partnership Grants Program) to support the region's heritage (including students, resources and organizations) ENHC emerges as efficient fundraising organization and is considered to have a very competent fundraising strategy despite challenging circumstances (i.e. The current recession and decreasing federal funding) ENHC values and works to maintain a high level of fundraising competency ENHC provides high value programs and excellent private and local matches to the federal funding as long as it remains in place

Essex National Heritage Commission Evaluation Project
 D. Heritage Development and Infrastructure Logic Model

Guiding Principle: By identifying, enhancing, and linking Essex-area historic, cultural, and natural resources (in some cases this means building physical links, in other creating networks of resources), ENHC fosters the opportunity for community and regional change, acts as a catalyst for developing a regional sense of place, and is building lasting improvements in the Area (i.e., the development of new trails, and a unified approach to the preservation of the Great Marsh).

PROGRAMS: Border to Boston Trail, Coastal Trails Coalition, Heritage Landscape Inventory, Great Marsh Coalition, Farm Fresh, Essex Heritage Scenic Byway

Resources	Activities/Outcomes	Short-term Outcomes (Years 1-3)	Mid-term Outcomes (Year: 4-8)	Long-term Outcomes (Years 9-12)	
<ul style="list-style-type: none"> Staff Commission Volunteers Partner organizations/coalitions NPS, especially RTCA Community members Community, regional and state organizations Elected officials – local, state and federal State agencies Local boards and commissions Knowledge and expertise Funding Government recognition and support Media 	<p>NETWORKING</p> <ul style="list-style-type: none"> In response to and in cooperation with local and regional citizens and organizations, ENHC identifies the needs and opportunities for regional collaboration around specific resource protection and/or development projects, then builds the case for the benefits of such regional projects and communicates these benefits in Essex County and in the Commonwealth of Massachusetts Identifies potential partners for these projects and seeks to create coalitions beginning with local organizations and citizen groups and then expanding to include local, state and federal agencies and elected officials private nonprofits funders and some private companies (e.g. banks, outfitters, tourism operators) Forms regional coalitions and strategic workgroups, including key partners such as NPS's RTCA program and MBTA, and then nurtures and sustains these coalitions – sometimes for many years – until the coalition is self-sustaining and/or the project is completed (an example of a coalition that was nurtured by ENHC and is now largely self-sustaining is the Coastal Trails Coalition) Maintains the staff expertise and makes the commitment to regional projects to bring capacity to the table for sustained momentum Advocates for regional approach to planning and for the need for communities and citizens to cooperate across town boundaries for the benefit of their communities and the region's resources Foster regional goals and guide communities and their citizens to understand the benefits of collective actions across their traditional boundaries 	<p>TECH ASSISTANCE</p> <ul style="list-style-type: none"> Research the issues, establish the opportunities, set the goals Nurture the partnerships and develop the work plans with the partners for their mutual benefit Guide the process and the plans in a professional and inclusive manner Continue to keep the coalitions together and focused on the shared goals Respond to individual communities/citizens needs and wants while maintaining the regional coalition – continue to promote the good of the whole and assist communities and their citizens to understand and appreciate these goals Apply for funding, administer funds Present initiatives to funders, develop funding plans and budgets, apply for funding Arrange and conduct meetings: maintain meeting schedules, and minutes and other records for these meetings Maintain accountability among partners and foster mutual respect for the variety of perspectives that can collaborate for a mutually beneficial project Manage details and deadlines for all involved partners Execute agreed-upon plans Enlist partners and other key spokespeople to be advocates for initiatives; listen and respond to partners and key spokespeople's questions, issues and disagreements Bring additional resources to the table for the committees and subcommittees (ENHC identifies what is needed and sources) 	<ul style="list-style-type: none"> ENHC creates networks across and within communities (e.g., Coastal Trails – 4 communities worked together for the first time, and Heritage Landscape Inventory (HLI) boards, commission, selectmen, open space advocates and historic preservations met together for, in some cases, the first time in their community) ENHC assists NPS to work beyond their park boundaries – i.e., enables NPS RTCA to partner with two regional coalitions and the value of NPS assistance is communicated beyond NPS's traditional unit boundaries through these partnership activities Community members begin to recognize, appreciate and support the heritage (historic, cultural and natural) resources in their own communities 	<ul style="list-style-type: none"> ENHC and its partners effect a significant change in MBTA policy towards leasing and using 'unused' rail rights of way and set a new legal precedent that begins to allow other trail projects in state of Massachusetts that are proposed for MBTA tow to move forward As a result of the HLI, communities in the Essex NHA established a clear set of priority properties that their citizens wanted protected and from this inventory these communities have been able to work to protect these key parcels of land with several successful results Through the HLI, it has been easier to solicit tax deductible gifts of property because the study identified their historic, cultural and/or natural significance Individual communities begin to work cooperatively across town boundaries. Great Marsh Coalition facilitates remaining of (and thus level of protection for) onsite state environmental protection area Coastal trails coalition evolves and expands into B2B coalition Year-long farm fresh initiative (begun by ENHC) transitions into two-county effort under leadership of Essex Agricultural Society, increases marketing opportunities for local farms Some physical improvements begin to take place (i.e., small portion of Newburyport's trail is constructed) Increased community support for new trail and greenway initiatives Residents have increased appreciation of the historic, cultural, and natural resources available in their own and other communities 	<ul style="list-style-type: none"> Town-by-town provincial approach begins to be replaced by authentic regional collaboration HLI study provides foundation for region to draft an open space plan, resulting in strategic vision for regional planning Tangible success – building of parts of linkages – sustains momentum within the coalition for future trail development. Coalitions able to leverage ENHC seed funding and technical assistance into significant long-term investment from community organizations and state and local governments. Partner organizations integrate mission of stewardship into long-term vision Community members understand the benefit of being a part of a National Heritage Area Community governments and planning efforts begin to be approached regionally and collaboratively Improved recognition of the importance of the Great Marsh and its remaining in the state helps in protection of this important flyway and wildlife corridor Positive encounters among the region's residents increase as people's interest and support of trails and greenways projects; NIMBYs in their influence begin to wane, utilize trails and greenways Communities begin to work more strategically and collaboratively to protect the region's natural and cultural resources/landscapes ENHC and coalition members help to energize citizen advocates for protection of area resources beyond the original initiatives Other community organizations begin to use infrastructure for their own educational and interpretive missions (once you have it, people find all kinds of ways to use it) ENHC and community partners help shape NPS 21st century relevancy and improve outreach to diverse communities <p>Very Long Term - (15-25 year goals)</p> <ul style="list-style-type: none"> Completed trails begin to inspire positive, unintended community use. (e.g., geocaching, attracts people from within and outside of the community; children walk to ball games they otherwise would have been driven to; senior citizens form walking group, etc.) ENHC and community partners encourage transportation choices (i.e., walking and bicycling) that promote a healthy lifestyle Real estate developers begin to take advantage of areas adjacent to trails and greenways Positive encounters among the region's residents increase people's use of the trails and greenways projects Residents are connected by new trails to the centers of cities and towns as well as area natural and cultural resources, and not only do they appreciate and enjoy alternative means of transportation but they also develop a stronger sense of place and regional identity Along the trails and greenways, property values increase and this generates increased revenue for towns and additional investment in area preservation (one example of this 'long term outcome' has been the opening of the Topfield Station development project this year (2008) on the yet-to-be-built but well recognized and supported Topfield portion of the Border to Boston Trail) Local and area businesses enjoy greater economic multipliers from increased use of heritage resources by residents and tourist – who stay longer and spend more as there is more to do and it is easier to find

Essex National Heritage Commission Evaluation Project
A. Marketing & Public Outreach Logic Model

Guiding Principle: Through marketing and public outreach, ENHC will: (1) foster broad community engagement and stewardship, (2) create and tell the story of natural, cultural, and historic assets in the region, particularly lesser known assets, (3) increase capacity of natural, cultural, and historic organizations, (4) create opportunities for educating, promoting and instilling the value of assets in the region in partnership with NPS, (5) increase local and non-local tourism, and (6) support economic development in the region.

PROGRAMS: Annual Fund Campaign Collateral, Thomas M. Leonard Grant Fundraising, Messaging Collateral, E-newsletter, MOTT Ads, ENHA Kiosks, Trustee/Commissioner Relationship Management, ENHC Annual Event, Visitor Centers, Explorers, EssexHeritage.org, Photo Safaris, Photo Contest, Essex Heritage Merchandise, Media Outreach, Cable TV videos, Website, Newsletters, Unigrd, NPS cooperative promotions, Regional signage system, TML Monthly news column.

Resources	Activities/Outcomes	Short-term Outcomes (Years 1-3)	Mid-term Outcomes (Years 4-8)	Long-term Outcomes (Years 9-12)	
<ul style="list-style-type: none"> Natural, cultural, and historical assets ENHC staff and skills Financial and in-kind resources Technological and physical infrastructure (computers, website, office, etc.) Community partners Stakeholders (corporate, residents, NPS, community groups, state parks, municipalities, ENHC members, historic organizations, asset holders, local and regional chambers of commerce, elected officials, educators, media) Resources (staff, finances, in-kind support, etc.) from NPS and other organizational stakeholders Understanding of community needs Calendar Tools Local and regional media Cooperating visitor centers including NPS Regional Visitor Center in Salem & NBVCB Center on I-95 	<p>MESSAGING & MASS COMMUNICATION</p> <ul style="list-style-type: none"> Created marketing plan including creating logo, graphic design standards, tag line, etc to clearly identify the heritage area Create promotional materials such as ENHA video and Cable TV videos, brochures, website, newsletter, ENHA passport, area guides, Explorers quarterly letter, etc. Unigrd Advertisement Public service announcements Press releases TML monthly news column Electronic communications Cultivating relationship with media ENHC visitor center outreach (e.g., familiarization tours...professional development for interpretive staff) Coordinating communication among visitor center 	<ul style="list-style-type: none"> Create, install and rotate ENHA Kiosks Co-branding with arrow head Creating the communication channels to get the word out and Managing the distribution of the message Manage communication channels to various constituents Designed, had fabricated and installed regional system of signs; (designed an extensive second phase that is as yet unfunded) Cross marketing/co-marketing the NPS Arrowhead <ul style="list-style-type: none"> Issuing joint press releases on all relevant projects (e.g., 2nd Century Commission visit, Trails & Sails events, Photo exhibit in visitor center, etc.) Referencing the NPS partnership in all "About ENHC" messaging Providing full marketing support staff to special NPS projects (e.g., Grand Reopening of Saugus Iron Works NHS) Promoting co-development of Essex Heritage Hero award concept honoring 	<ul style="list-style-type: none"> Increased awareness around ENHA and partner organizations' activities Increased participation of locals and non-locals in activities/events/resources Increased participation in and recognition of ENHC and its activities Branding/Signage used to identify the Area and to link the region ENHC gains credibility as a professional organization ENHC attracts a broad base of commissioners and partners Increase bandwidth for ENHC to get message out Personal connections established with ENHC 	<ul style="list-style-type: none"> Increased participation and membership rate for ENHC Broden the understanding of the resources in the region—particularly lesser known assets Branding/Signage begins to create an identity for the region Consistent signage begins to create easier access to area resources for residents and tourists Increased visitation by non-locals and residents to heritage sites within ENHA Encourages reciprocity in that other community groups and organizations begin to build partnerships with each other to promote, co-market, and encourage one another. 	<ul style="list-style-type: none"> Increased shared sense of stewardship Increased sense of regional identity and pride <p>Very-long term (15-25 year goals)</p> <ul style="list-style-type: none"> ENHC mission/causes become regional/community causes
	<p>EVENTS & PROGRAMS</p> <ul style="list-style-type: none"> Friendship Sails (ENHC raises money so NPS tall ship Friendship can visit the historic ports in the heritage area and in some cases conduct education programs on and/or about the ship) NPS/ENHC Heritage Hero Event Other NPS/ENHC special events such as Friendship Commissioning Ceremony, Saugus Iron Works Reopening Celebration, the ENHC 10th Anniversary Event with Senator Kennedy, and the annual NPS Salem Maritime Festival Trails & Sails: A Weekend of Walks and Water Explorers membership program Photo Safaris Essex Heritage Annual Photo Contest Participation in partner events/community events/activities/programs (Escapes North, 17th Century Saturdays, Eagle Fest, maritime festivals, Topsfield Fair (county fair)) Partnership grants 	<ul style="list-style-type: none"> Research Partner communication/networking Strategy development/feasibility study Fundraising and raising sponsorship (e.g., corp. engagement) Timeline development Communication/mass marketing Mayors' breakfasts and/or visits Press releases Program development Program evaluation – including surveying of participants, assessment, followup and modification to programs Visits services Administrative support Coordinating partner communication/administrative support 	<ul style="list-style-type: none"> Increased awareness of ENHA (Residents have new experiences, new connections to significant places) Increased awareness of ENHC and NPS at Salem and Saugus Interest generated in ENHC programs following participation in events Event hosts and new partners are introduced to larger heritage network of orgs Start of a new relationship that ENHC will have with participants Creation of new images of region to be used within and outside of the region 	<ul style="list-style-type: none"> Local residents start to become aware of the value of regional assets promoted by ENHC and partner organizations Residents visit and re-visit regional assets Some residents become ambassadors of resources and share experiences Increased viability of the heritage area Increased tourism in the area by locals and non-locals Strengthening of ENHC partnerships Some event hosts and new partners envision potential partnering opportunities/synergies with other event hosts 	<ul style="list-style-type: none"> ENHC engages new participants in stewardship and conservation – reaching out to involve people who heretofore have not participated in these activities. More residents become ambassadors of resources and share experiences More Event hosts and new partners envision new potential partnering opportunities/synergies with other event hosts Improved sustainability of the heritage area; building the capacity of the area by building partnership and collaborative networks <p>Very-long term (15-25 year goals)</p> <ul style="list-style-type: none"> ENHC helps to create a culture of actionable stewardship; ENHC helps to cultivate conservation ethic (the care factor) Emergence of the preservation ethic Create model stewards Junior education; cultivating the next generation of stewards within and outside of the region
	<p>APPEALS</p> <ul style="list-style-type: none"> Fundraising Appeals to grow non-public financial and in-kind support Annual campaign Influence consumer decision-making to see value of their choice to: (1) spend locally and (2) spend on heritage assets Tom Leonard partnership grant fund for youth education (Also includes events that are appeals) Corporate Partner Program to target longer-term funding Corporate level membership in Explorers Program 		<ul style="list-style-type: none"> Some diversity and inclusiveness of stakeholders financially supporting ENHC and the heritage area 	<ul style="list-style-type: none"> Greater diversity and inclusiveness of stakeholders financially supporting ENHC and the heritage area 	<ul style="list-style-type: none"> Greater diversity and inclusiveness of stakeholders financially supporting ENHC and the heritage area Some Community economic development <p>Very-Long-term (15-25 year goals)</p> <ul style="list-style-type: none"> More Community economic development Money generated supports more heritage assets
	<p>STRATEGIC MARKETING & OUTREACH PLANNING</p> <ul style="list-style-type: none"> Development of marketing and outreach plans Develop public information strategies to support regional identity and foster collaboration Development and packaging the message Planning meetings (ENHC board, staff, commissioners, etc.) Convening community focus groups Commissioners act as champions of ENHC; advocating for the organization to diverse groups of potential stakeholders 	<ul style="list-style-type: none"> Commissioners and ENHC staff strategically engaging leadership in the geographic region; Engaging grassroots stakeholders (like explorers) Work with the ANHA Regional, state, and national outreach Student Internships (ENHC partners with area colleges to provide educational experiences for student interns. As part of their course requirements, students volunteer to work with ENHC for a semester (150 hours) assisting in the ENHC marketing effort.) 	<ul style="list-style-type: none"> ENHC gains understanding of community needs/levels of community awareness around natural, cultural, and historical resources ENHC identifies marketing and outreach strategies 	<ul style="list-style-type: none"> ENHC modifies and improves effective marketing and outreach strategies ENHC develops closer partnerships with several higher learning center stakeholders ENHC gains volunteers for staffing events (Trails & Sails, Photo Safaris, etc.) 	<ul style="list-style-type: none"> ENHC's effective marketing and outreach strategies continue to evolve and improve ENHC facilitates students gaining an appreciation and "sense of place" in the area they are living in, sowing the seeds for future stewardship. ENHC gains volunteers for staffing events (Trails & Sails, Photo Safaris, etc.) <p>Very-Long-term (15-25 year goals)</p> <ul style="list-style-type: none"> In addition to preservation and conservation stewardship benefits, business and other economic benefits are realized by communities The majority of community stakeholders (community groups, corporate partners, business leaders, etc.) recognize the value of the National Heritage Area and the heritage assets and understand and support the key role that ENHC plays in preserving and promoting the Area and its heritage

Essex National Heritage Commission Evaluation Project
G. Partnerships Logic Model

Guiding Principle: ENHC will collaboratively promote stewardship and appreciation for natural, historic, and cultural assets in the region by: (1) understanding that disparate organizations have common goals; (2) identifying need and opportunity for regional collaboration; (3) growing the organizational development of other groups working toward common goals; and (4) leveraging investments and ideas from diverse sources. Ultimately the goal of ENHC facilitated partnerships is to improve community quality of life and the viability/sustainability of the area's heritage resources.

Resources	Activities/Outcomes:	Short-term Outcomes (Years 1-3)	Mid-term Outcomes (Years 4-8)	Long-term Outcomes (Years 9-12)
<ul style="list-style-type: none"> ENHC staff, knowledge and technical skills ENHC Commission ENHC credibility, track record and reputation Feasibility study Locally, regionally, and nationally significant resources (natural, cultural, historic) Culture of collaboration Organizational partners (e.g. North of Boston CVB, regional and local Chambers of Commerce, main street organization, etc.) and their resources Network of affiliations and expertise through partnerships Media Public and private leadership (Legislators, town managers, congressional office, educators, etc.) Financial Resources (federal, state, private donations) Community organizations/municipalities with need and adequate capacity to participate in partnership grants program Success stories Volunteers Infrastructure to support ease and feeding of partnership grants applicants (database, etc.) 	<p style="text-align: center;">SUBGRANTING</p> <ul style="list-style-type: none"> Researching pluses and minuses of a grant making program; evaluating the ultimate impact of the program for ENHC Document community need Document and strategically communicate the need for the program to donors Create strategic guidelines (nonprofits and municipalities with a special interest in underserved populations), categories, and criteria Implement 2-tier review process within commission Conduct grantmaking Develop and update grant applications for programs Administer grants One-on-one technical assistance with grantees Review grantee reporting Monitor and evaluate grantee performance for success AND communicating that success to donors and other stakeholders Marketing and outreach (making people aware of grant availability) Press releases (when grants are made) Signage (when grants are made) Awards ceremonies (at the point of awarding grants) 	<ul style="list-style-type: none"> Grantees receive dollars to accomplish individual organizational goals and/or preservation projects Grantees get seed money ENHC staff develop relationships with grantees Grantees (particularly smaller ones) begin to build their capacity to get funding/conduct fundraising ENHC broadens/creates a pool of much needed resources for smaller organizations in the community ENHC fosters networking/peer exchange for grantees ENHC grant funds prevent the loss of resources (i.e. makes grants to redo leaking roofs) Increased community awareness of programs and the success and impact of grantee work ENHC fosters professionalization and technical expertise of nonprofit grantees (especially small ones) by getting them to focus on their organizational needs 	<ul style="list-style-type: none"> ENHC fosters nonprofit grantees' diversification revenue streams (grantees begin engaging other donors) ENHC funds give grantees legitimacy Increased promotion of heritage area resources by ENHC and partner organizations ENHC fosters the elevation of resources (spotlight on resources) ENHC increases its and partners' capacity to broaden range of service delivery (more programs, more participants, etc.) Community organizations begin to identify potential projects ENHC fosters the prioritization of community projects Organizations are able to leverage ENHA's funding to encourage other funders to support the organization ENHC seen as being a leader and responsive to community needs ENHC gains respect/legitimacy ENHC grant program serves as gateway to other programs; grantee organizations for one program begin to work in partnership on other ENHC programs Other ENHC programs (e.g. Heritage Inventory, Trails and Saik, etc.) begin to shape the ENHC grantmaking program; this shows the strategic development of ENHC and the grantmaking program 	<ul style="list-style-type: none"> ENHC fosters partnering across organizations, across towns ENHC fosters additional organizational capacity development in small organizations focused on preservation ENHC assists the network of partner organizations in improving synergies (working together harmoniously toward common goals) ENHC raises awareness of and fosters common vision for preservation ENHC facilitates increased local stewardship of heritage area resources The region sees improved protection and conservation of historic, cultural, and natural resources <p>Very Long-term</p> <ul style="list-style-type: none"> Community develops comprehensive understanding and appreciation of natural, historic, and cultural resources ENHC continually improves its status and reputation among partner organizations

Resources	Activities/Outcomes	Short-term Outcomes (Years 1-3)	Mid-term Outcomes (Years 4-8)	Long-term Outcomes (Years 9-12)
<ul style="list-style-type: none"> Matched funds/leveraging dollars Volunteers Residents Donors and the business community Regional planning agencies Federal delegation support NPS support Alliance (especially for peer exchange, info exchange, etc.) 	<p>REGIONAL PLANNING</p> <ul style="list-style-type: none"> Identify broad list of stakeholders across the region Identify common goals Visioning and establishing strategic objectives Identify opportunities for networks of organizations to collaborate for the purpose of promoting heritage area resources Identify collaborative funding opportunities Strategically bring organizations together to forge a partnership Continually engage partners to work toward common goals Sustaining partnerships by participating in community events (Networking and getting ENHC at the table) Filling a regional void by training ENHC strengths to the table Provide administrative capacity once partnership is formed Hosting/convening meetings once the partnership has been established Balance leading and participating in the partnership Influencing local and regional policy Assisting in creating regional identity Use website to build presence in and beyond region 	<ul style="list-style-type: none"> Relationships begin to be cultivated among a diverse array of partner organizations in the heritage area Trust starts to be built among organizations in the region ENHC creates positive model for collaboration within the region Scarce financial resources leveraged 	<ul style="list-style-type: none"> ENHC credibility lent to other organizations to move forward common goals "Quick win" projects executed successfully (e.g. historical records) to leverage additional funds and establish credibility for ENHC and further cultivate regional identity Immediate success for partners Network of partners sees increased efficiencies due to sharing of in-kind resources Efficiencies—in terms of effort—gained (particularly for smaller/low capacity groups) 	<ul style="list-style-type: none"> ENHC emerges as a catalyst organization in the region that inspires new programs that promote heritage area resources ENHC emerges as coalition builder within the heritage area Partner organizations see mutual benefit to participation in activities that promote the heritage area Communities and organizations see ENHC as a welcoming organization Other network organizations seek out ENHC for collaborative work to promote heritage area resources Communities begin to identify new and innovative methods/processes to enjoy/understand/preserve resources collaboratively ENHC fosters grassroots support for regional assets ENHC is often able to convene the right stakeholders to further effective regional projects and the planning required to implement them such as the Coastal Trails Coalition and the Border to Boston Trails <p>Very long term</p> <ul style="list-style-type: none"> ENHC sets an example of a new model for regional planning/project implementation ENHC's work leads to a new sense of the importance of heritage resources to the regional quality of life and economic development
	<p>NPS ACTIVITIES & PROGRAMS</p> <ul style="list-style-type: none"> Salem Maritime Festival - ENHC provided marketing and outreach, fundraising activities, and fiduciary agent services; also matched ENHC at festival Friendship Sails' NPS tall ship Friendship visits historic ports in and beyond the heritage area and has a pilot Junior Ranger Ship's Mate program that ENHC has assisted in)- ENHC provided marketing, outreach, and fundraising capacity, coordinated logistics with individual communities, solicited corporate sponsorship, and planned event for sponsors (ENHC has also done fundraising for the Friendship Centennial Challenge grant match requirement) Saugus Innowork Reopening - ENHC provided community connections, fundraising, marketing and public relations Plan for strategic alignment between themes of ENHC and NPS units NPS/ENHC Heritage Hero Event Formation of regional coalitions and strategic workgroups, including key partners such as ETCA or MBTA ENHC/NPS plan for Baker Island Light Station and expanding the presence of NPS beyond the EAMA boundary into the greater Salem Sound Cross marketing/marketing the NPS Arrowhead <ul style="list-style-type: none"> Issuing joint press releases on all relevant projects (e.g. 2nd Century Commission visit, Trails & Sails event, Photo exhibit in visitor center, National Archives exhibit, Visitor Center usability, etc.) Referencing the NPS partnership in all "About ENHC" messaging Providing full marketing support staff to special NPS projects (e.g. Grand Reopening of Saugus Iron Works NHS) Promoting co-development of Essex Heritage Hero award concept honoring 	<ul style="list-style-type: none"> Increased awareness of NPS and ENHA at NPS Salem Visitor Center, and in other parts of the region Increased participation of locals and non-locals in NPS activities/events/resources ENHC begins to broaden the capacity/reach of local NPS units 	<ul style="list-style-type: none"> Visitation increases at NPS sites - Salem and Saugus and aboard Friendship NPS units able to develop new relationships with businesses and other historical organizations in region through ENHC introduction (e.g., Saugus provides reproductive pieces for other organizations) Residents engage in new experiences with NPS (i.e. Friendship Sails to Newburyport) Residents see NPS presence in region and begin to understand the benefits of the Northeast NPS, its local units, and its partnership programs Friendship Sails generates some new economic returns related to visitation during event ENHC marketing to network of its members and supporters results in increased participation at NPS events Value of NPS - its park units at Saugus and Salem, its technical assistance programs (such as ITCA (mid) and archives survey (early) and its mission - is communicated beyond NPS unit boundaries through partnership activities, programs and marketing including some co-branding. NPS presence expanded beyond park unit borders ENHC participation contributes to the sustainability and evolution of NPS events ENHC incorporates NPS signage design into broader regional signage/infrastructure (note - while Essex designed the regional signage system to complement the NPS system, we were not given permission to initiate the system nor were we allowed to use the Arrowhead except for the Salem Regional Visitor Center) Passport program connects NPS visitor centers (Salem and Saugus) to regional network Media coverage of NPS events increases ENHC and community partners gradual progress with off road trails begins to develop new transportation choices for residents (i.e., walking and bicycling) that promote a healthy lifestyle Increased community support for new trail and greenway initiatives ENHC and community partners help shape NPS 21st century relevancy and improve outreach to diverse communities 	<ul style="list-style-type: none"> As trails begin to be built, they start to inspire other positive and not always anticipated community uses (e.g., geocaching attracts people from within and outside of the community; children walk to ballgames they otherwise would have been driven to; senior citizens form walking group, etc.) Real estate developers begin to take advantage of areas adjacent to trails and greenways and see the potential of locating new and/or rehabilitated development along side (e. Topfield) Increase and shared sense of stewardship (ENHC causes become regional/community causes) Increase sense of regional pride Residents cultivate a strong sense of place Junior ranger programs and other kinds of educational programs begin to cultivate the next generation of stewards within and outside of the region ENHC-NPS partnerships build broader community support for resource stewardship <p>Very long term</p> <ul style="list-style-type: none"> Active use and reinterpretation of historic and cultural resources fosters greater support of the heritage sites by the communities and as NPS expands its involvement in these heritage resources through its partnerships with ENHC then as a consequence, NPS greatly expands its relevance to the Area's communities and the support it is able to rely on from the residents and leadership in the region and the state. Positive encounters between the region's residents increase as people utilize trails and greenways Residents, connected to the centers of cities and towns as well as area natural and cultural resources by alternative infrastructure, feel a strong sense of place and regional identity. Residents enjoy the region because they can experience and interact with it in new ways. Property values begin to increase along the trails, byway and other "linkage" created by ENHC, NPS and their partners in turn this generates increased revenue for the cities and towns and is expected to lead to additional investment in area preservation

Essex National Heritage Commission Evaluation Project
C. Preservation & Resource Stewardship Logic Model

Guiding Principle: ENHC will foster the understanding/appreciation and preservation of assets in the region by: (1) providing financial support, (2) increasing the economies of scale (3) collaborating with asset holders, donors, residents, and community organizations, (4) providing education and technical assistance to increase capacity ultimately to improve sense of place and improve community quality of life and foster tourism/economic development.

PROGRAMS: ENHC Partnership Grants, Historical Records Council, Technical Assistance to Heritage Organizations, and new pilot projects such as the proposed Preservation Facade Easements program, the Nonprofit Initiative, and Bakers Island Light Station

Resources	Activities/Outcomes	Short-term Outcomes (Years 1-3)	Mid-term Outcomes (Years 4-8)	Long-term Outcomes (Years 9-12)	
<ul style="list-style-type: none"> Locally, regionally and nationally significant resources (natural, cultural, historic) ENHC Staff and technical skill-sets ENHC Commission ENHC ex-officio Commissioners Organizational partners (e.g., North of Boston CV3, Chambers of commerce, main street and non-profit organizations) and their resources Media Public and private leadership (Legislators, town managers, congressional office, etc.) 	<ul style="list-style-type: none"> Researching pluses and minuses of a grantmaking program: evaluating the ultimate impact of the program for ENHC Document community need Document and strategically communicate the need for the program to donors Create strategic guidelines (non-profits and municipalities, develop and evaluate annual grant categories (such as trail grants, preservation grants, historical records, and education grants with special interest in underserved populations), develop and annually review grant criteria; develop and update grant applications forms and procedures as necessary and based on feedback Implement 2-tier review process within commission; convene experts group for initial screening Conduct grantmaking procedures consistently and fairly each year from the announcement of the new grant cycle to selecting grant recipients to announcing grant awards to awarding and contracting for the grants Financial and contractual administration of grants- create new contract for each grantee including payout schedule that will be based on performance and deliverables; manage grant start-up and issue checks, account for funds that are granted and annually audit grants for compliance with ENHC, federal and state policies where applicable 	<ul style="list-style-type: none"> Staff provide One-on-one technical assistance with grantees before and during grant period and assist grantees in completing final report Staff Review grantee reporting and encourage/assist with compliance Monitor and evaluate grantee performance for success AND communicate/celebrate that success to donors and other stakeholders Marketing and outreach (making people aware of grant availability) Press releases (when grants are made) Signage for preservation grants (when grants are made and during construction/renovation periods) Awards event: usually the Grants Breakfast (at the point of awarding grants) Strongly emphasize through words and actions the importance of PARTNERSHIPS in the grants program – from the beginning, defining the program as The Partnerships Grants Program to promoting and awarding grants on the strength and variety of partnerships in the projects that receive grants. 	<ul style="list-style-type: none"> Grantees receive dollars to accomplish individual organizational goals and/or preservation projects Grantees get seed money ENHC staff develop relationships with grantees Grantees (particularly smaller ones) begin to build their capacity to get funding/conduct fundraising ENHC broadens/creates a pool of much needed resources for smaller organizations in the community ENHC fosters networking/peer exchange for grantees ENHC grant funds prevent the loss of resources (repair, maintenance, and bricks & mortar preservation projects) Increased community awareness of programs and the success and impact of grantee work ENHC funds give grantees legitimacy Increased promotion of heritage area resources by ENHC and partner organizations Community organizations begin to identify potential projects ENHC fosters the prioritization of community projects 	<ul style="list-style-type: none"> ENHC fosters professionalization and technical expertise of nonprofit grantees (especially small ones) by getting them to focus on their organizational needs ENHC fosters nonprofit grantees' diversification revenue streams (grantees begin engaging other donors) ENHC fosters the elevation of resources (spotlight on resources) Organizations are able to leverage ENHC's funding to encourage other funders to support the organization ENHC seen as being a leader and responsive to community needs ENHC fosters new partnerships and collaborations between organizations and across community boundaries ENHC gains respect/legitimacy ENHC grant program serves as gateway to other programs; grantee organizations for one program begin to work in partnership on other ENHC programs Other ENHC programs (e.g., Heritage Inventory, Trails & Sails, etc.) begin to shape the ENHC grant-making program; this shows the strategic development of ENHC and the grantmaking program 	<ul style="list-style-type: none"> Community develops comprehensive understanding and appreciation of natural and cultural resources ENHC fosters overall organizational capacity development in small organizations focused on preservation The region sees improved protection and conservation of historic and natural resources
<ul style="list-style-type: none"> Financial Resources (federal, state, private donations) Community organizations/municipalities with need and adequate capacity to participate in partnership grants program Success Stories Volunteers Infrastructure to support care and feeding of partnership grants applicants Matching funds/leveraging dollars 	<ul style="list-style-type: none"> Historical Records Council (Note: one of the more mature programs) <ul style="list-style-type: none"> Initial research to identify need including conducting a comprehensive resource survey Engage stakeholders in the initiative and the idea of forming a records council Created, convened and managed the Historical Records Council for Essex County comprised of professionals (archivists, document preservation organizations, librarians, etc.) work included assessing community and resource (such as libraries, archival repositories, historical societies) needs, implementing an archival/historical records grants program that included vetting grantees organized historical records workshops and several regional conferences) 	<ul style="list-style-type: none"> ENHC fulfills a need for preservation training in handling, preserving and cataloging historical records Area non-archivists and volunteers (untrained custodians) better understand preservation techniques for paper-based archival collections in local institutions, libraries, and records depositories ENHC fosters increased awareness among custodians of historical records resources on new technologies and practices (e.g., digitized) ENHC fosters peer to peer exchange ENHC begins professional development of resources staff and volunteers through workshops and grants 	<ul style="list-style-type: none"> ENHC fosters an ever growing group of preservation professionals interested in sharing their knowledge with the community Preserved records provide community members with opportunities to dig deeper into the stories of Essex Preserved records provide researchers and historians with better access to information from which to interpret the story of Essex County ENHC fosters more professional development of resource staff and volunteers through workshops and grants. 	<ul style="list-style-type: none"> Preservation of historic documents leads to many outcomes such as: (1) increased understanding of the role of preservation in maintaining the county's and nation's cultural heritage, (2) improved access to resources (including genealogical), (3) improved understanding and appreciation of assets in the region, (4) improved education of youth ENHC's work creates a more permanent Historical Records Council, now managed by professionals in the field (in which ENHC plays a supporting role but no longer has to lead and manage) and this Council has adopted a new mission to expand its historical records expertise, workshops and knowledge beyond Essex County to other regions in the state 	

Resources		Activities/Outcomes	Short-term Outcomes (Years 1-3)	Mid-term Outcomes (Years 4-8)	Long-term Outcomes (Years 9-12)
OTHER PRESERVATION OUTREACH & TECHNICAL ASSISTANCE TO HERITAGE ORGANIZATIONS	<ul style="list-style-type: none"> Staff provide expert advice to resources managers, organizations and communities seeking information on a variety of historic preservation issues Staff and commissioners endorse and support through letters and other means high quality preservation projects and issues Staff alerts communities to key preservation issues and assists in the promotion of historic resource preservation (i.e., Cusumano Point, Pecklick's Warehouse, Tea Most Endangered) 	<ul style="list-style-type: none"> ENHC commission serves as community incubator/catalyst for preservation and resources stewardship Individuals and organizations are better equipped to preserve historic parcels of land and structures. Leadership within community organizations (e.g., boards) begin to understand technical aspects of preserving resources 	<ul style="list-style-type: none"> ENHC is established as resource stewardship leader in community ENHC (particularly the Commission) provided leadership to successfully foster broad community support of regional assets Fostering a ethic of preservation leads to many outcomes including an increased understanding of the role of preservation in maintaining the county's - and nation's - cultural heritage 	<ul style="list-style-type: none"> ENHC emerges as champion for organizational partners ENHC fosters the systemic assessment of area assets and offered recommendations for stewardship of resources 	
PILOT PROGRAMS	<ul style="list-style-type: none"> The following pilot programs will be explored with ENHC staff during in-depth interviews: <ul style="list-style-type: none"> Assistance to Heritage Organizations (like pilot collaboration of Salem State College Bertolon School of Business with Danvers Historical Society) Preservation Easements Nonprofit Initiative Bakers Island Light Station program with NPS at Salem Maritime National Historic Site 				

Appendix H: Essex Community Survey

This Appendix is a printout of the Essex online community survey that was administered using zoomerang.com

Essex Community Survey

1 Let's start with some basic background information. Please check all of the following characteristics that describe you:

- Resident
- Member of the business community
- Staff/member of an arts or culture community organization
- Staff/member of an environmental community organization
- Staff/member of a community group with a focus on youth and/or education
- Staff/member of a historic preservation society
- Staff of a public commission or government agency
- Staff of the National Park Service
- Other, please specify



Survey Page 1

Essex Community Survey

PUBLICATIONS ABOUT ESSEX COUNTY

In this section, please answer a few questions related to publications about Essex County.

2 Have you ever seen or received a brochure, guide, or map of Essex County that shows significant places or highlights special events?

YES NO

3 Have you ever seen or received any of the following? Please check all that apply.

- A map of the natural, cultural, or historic resources available in Essex County
- Heritage News
- Essex Heritage ENews

- President's Report
- Essex County: A Program Guide Commemorating Essex Heritage's 10 Year Anniversary
- Heritage Hero Program Guide
- Explorer's Guide
- Guide to the Great Outdoors
- Guide to First Period Architecture
- Guide to Farms and Agriculture
- Trails & Sails! A Weekend of Walks and Water
- Essex National Heritage Area Passport
- Living Classroom: A Teacher's Resource Guide to the Essex National Heritage Area
- Materials on Salem Maritim National Historic Site or Saugus Ironworks National Historic Site
- None of the above



Survey Page 2

Essex Community Survey

PUBLICATIONS ABOUT ESSEX COUNTY

In this section, please answer a few questions related to publications about Essex County.

On the last page, you responded that you have seen or received one or more of the following. Please answer the questions below about these materials.

- A map of the natural, cultural, or historic resources available in Essex County
- Heritage News
- Essex Heritage ENews
- President's Report
- Essex County: A Program Guide Commemorating Essex Heritage's 10 Year Anniversary
- Heritage Hero Program Guide
- Explorer's Guide
- Guide to the Great Outdoors
- Guide to First Period Architecture
- Guide to Farms and Agriculture
- Trails and Sails! A Weekend of Walks and Water
- Essex National Heritage Area Passport

- Living Classroom: A Teacher's Resource Guide to the Essex National Heritage Area
- Materials on Salem Maritime National Historic Site or Saugus Ironworks National Historic Site

4 On a scale of 1 to 10, how useful were these materials?

Not at all useful Extremely useful

1 2 3 4 5 6 7 8 9 10

5 How did you use these materials?

6 Have you saved any of the materials above to reuse for exploring Essex County in future outings?

YES NO

7 Did you share the materials above with others?

YES NO



Survey Page 3

Essex Community Survey

SIGNS IN ESSEX COUNTY

In this section, please answer a few questions related to signs in Essex County.



8 Do you recognize the sign above?

YES NO

If yes, what does the sign mean?

SUBMIT →

Survey Page 4

Essex Community Survey

SIGNS IN ESSEX COUNTY

In this section, please answer a few questions related to signs in Essex County.



9 How frequently do you see this sign?

- Almost everywhere
- A lot
- Sometimes
- Somewhat infrequently
- Almost never



Survey Page 5

Essex Community Survey

SIGNS IN ESSEX COUNTY

In this section, please answer a few questions related to signs in Essex County.



10 Do you recognize the sign above?

YES NO

If yes, what does the sign mean?

SUBMIT →

Survey Page 6

Essex Community Survey

SIGNS IN ESSEX COUNTY

In this section, please answer a few questions related to signs in Essex County.



11 How frequently do you see this sign IN ESSEX COUNTY?

- Almost everywhere
- A lot
- Sometimes
- Somewhat infrequently
- Almost never



Survey Page 7

Essex Community Survey

NATURAL, CULTURAL, AND HISTORIC RESOURCES

In this section, please answer a few questions about the resources in Essex County.

- 12 One of the few remaining colonial period wharfs in the entire country is in Essex County.
- True
 - False
 - I don't know

- 13 Of all places in America, Essex County has the greatest number of homes from the 1600s and 1700s.
- True
 - False
 - I don't know

- 14 Essex County has one of the largest rivers in New England.
- True
 - False
 - I don't know

- 15 Historic ship-builders, boat houses, and light houses can be found in Essex County.
- True
 - False
 - I don't know

- 16 The following statements about Essex County are **true**. Please read through them, and place a check mark next to the facts that you knew *before* reading them now.
- Gloucester, Marblehead, and Amesbury have a rich Maritime culture.
 - Lawrence, Saugus, and Lynn were once very important to the nation's textile and leather industries.
 - Salem, Essex, and Ipswich were important areas to early settlers of America during colonial days.
 - Essex County offers opportunities for bird watching.
 - Essex County offers opportunities to experience the great outdoors (hiking, biking, boating, sailing, etc.).
 - I was not aware of any of the facts listed above.

17 How do you learn information about Essex County? Please check all that apply.

- School
- Museum
- Community organization
- Community event
- Brochures
- Friends, relatives, or neighbors
- Essex National Heritage Commission
- Salem Maritime or Saugus Ironworks National Historic Site
- Not sure
- Other, please specify

18 Have you ever done any of the following things IN ESSEX COUNTY? Check all that apply

- Gone bird watching
- Been to a wildlife preserve
- Visited light houses
- Used trails
- Used bikeways
- Explored the scenic coastline
- Went on a self-guided tour of the area
- Went on a guided tour of the area
- Been to Trails and Sails! A Weekend of Walks and Water
- Been to a visitor center
- Been to a National Archives exhibit
- Been to a museum
- Been to Salem Maritime National Historic Site
- Been to Saugus Ironworks National Historic Site
- Visited the NPS tall ship Friendship
- Been to Friendship Sails! event
- Visited coastal villages
- Visited a marsh or marshland farm
- Visited historic homes from the 16th and 17th century (also known as first period homes)
- None of the above



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Essex Community Survey

NATURAL, CULTURAL, AND HISTORIC RESOURCES

In this section, please answer a few questions about the resources in Essex County.

On the previous page, you indicated that you have done one or more of the following things in Essex County. Please provide more information on your experience by answering the questions below.

- Visited light houses
- Used trails
- Used bikeways
- Explored the scenic coastline
- Went on a self-guided tour of the area
- Went on a guided tour of the area
- Been to Trails and Sails! A Weekend of Walks and Water
- Been to a visitor center
- Been to a National Archives exhibit
- Been to a museum
- Been to Salem Maritime National Historic Site
- Been to Saugus Ironworks National Historic Site
- Visited the NPS tall ship Friendship
- Been to a Friendship Sails! event
- Visited coastal villages
- Visited a marsh or marshland farm
- Visited historic homes from the 16th and 17th century (also known as first period homes)

19 Have you done any of the activities listed above more than once?

YES NO

Additional Comment



20 How often do you do any combination of the above activities?

- At least weekly
- At least monthly
- A few times per year
- About once a year
- Less than once a year



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Essex Community Survey

MY CONNECTION TO ESSEX COUNTY

In this section, please answer a few questions concerning how you feel about Essex County and its resources.

21 On a scale of 1 to 10, describe how you feel about natural resources (e.g. farms, marshes, coastline), cultural resources (e.g. museums, wharfs, lighthouses), and historic resources (e.g. architecture, archives) in Essex County.

1 2 3 4 5 6 7 8 9 10
 Not at Absolutely
 all true true

These resources reflect my personal history or culture.

1 2 3 4 5 6 7 8 9 10

These resources are significant and important to my town.

1 2 3 4 5 6 7 8 9 10

These resources are significant and important to my state.

1 2 3 4 5 6 7 8 9 10

These resources are significant and important to the entire country.

1 2 3 4 5 6 7 8 9 10

Essex County is a special place for me.

1 2 3 4 5 6 7 8 9 10

Essex County is a special place for the country.

1 2 3 4 5 6 7 8 9 10

Resources in Essex County helped me to create special memories.

1 2 3 4 5 6 7 8 9 10

22 Do you take your friends or relatives with you to share your experience when exploring natural, cultural, or historic resources in Essex County?

YES NO

23 If natural, cultural, and/or historic resources in Essex County were in jeopardy, would you spend your own personal money to protect them so that they might be available for your children and grandchildren in the future?

YES NO

If yes, how much out of your monthly budget would you spend to protect the resources in Essex County?

24 Aside from contributing money, would you change your own personal behavior to ensure that natural, cultural, and/or historic resources in Essex County were available for your children and grandchildren in the area?

YES NO

If yes, what would you do?

SUBMIT

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Essex Community Survey

ESSEX NATIONAL HERITAGE AREA

In this section, please answer questions about Essex National Heritage Area, also referred to as Essex National Heritage Commission (ENHC). ENHC is an organization recognized by Congress with the goal to build awareness of natural, cultural, and historic resources in Essex County.

25 Have you ever attended or participated in any of these events?
Please check all that apply.

- Trails and Sails! A Weekend of Walks and Water
- 17th Century Saturdays
- Art Escapes
- Friendship Sails!
- Cycling through Essex National Heritage Area
- Farm Fresh
- Photo Safari
- 10th Anniversary Event
- Heritage Landscape Inventory: Landscape of Opportunity Symposium
- Statewide Archives Conference

- Essex National Heritage Commission Annual and Semiannual Meetings
- First Heritage Hero Event
- Border to Boston - End to End Walk
- None of the above



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Essex Community Survey

ESSEX NATIONAL HERITAGE AREA

In this section, please answer questions about Essex National Heritage Area, also referred to as Essex National Heritage Commission (ENHC). ENHC is an organization recognized by Congress with the goal to build awareness of natural, cultural, and historic resources in Essex County.

On the previous page, you indicated that you have done one or more of the following things in Essex County. Please provide more information on your experience by answering the questions below.

- Trails and Sails! A Weekend of Walks and Water
- 17th Century Saturdays
- Art Escapes
- Friendship Sails
- Cycling through Essex National Heritage Area
- Farm Fresh
- Photo Safari
- 10th Anniversary Event
- Heritage Landscape Inventory: Landscape of Opportunity Symposium
- Statewide Archives Conference
- Essex National Heritage Commission Annual and Semiannual Meetings
- First Heritage Hero Event
- Border to Boston - End to End Walk

26 On a scale of 1 to 5, how satisfied were you with the event(s)?

Not satisfied	Somewhat satisfied	Satisfied	Very satisfied	Extremely satisfied
<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5

27 Do you think you might attend more events in the future?

YES NO

28 Are you aware that these events were coordinated by the Essex National Heritage Commission (ENHC)?

YES NO



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Essex Community Survey

ESSEX NATIONAL HERITAGE COMMISSION

In this section, please answer questions about Essex National Heritage Area, also referred to as Essex National Heritage Commission (ENHC). ENHC is an organization recognized by Congress with the goal to build awareness of natural, cultural, and historic resources in Essex County.

29 Have you ever heard of the Essex National Heritage Commission?

YES NO



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Essex Community Survey

ESSEX NATIONAL HERITAGE COMMISSION

In this section, please answer questions about Essex National Heritage Area, also referred to as Essex National Heritage Commission (ENHC). ENHC is an organization recognized by Congress with the goal to build awareness of natural, cultural, and historic resources in Essex County.

30 How did you learn about the Essex National Heritage Commission? Please check all that apply.

- Newspaper
- Newsletter
- E-Newsletter
- Website
- Survey
- Events calendar
- Other brochure
- Community event
- Through another organization
- Through Saugus Ironworks National Historic Site
- Through Salem Maritime National Historic Site
- Other, please specify

31 Are you a member of the Essex National Heritage Commission?
(ENHC members are also called Explorers. They contribute money to the organization and receive publications in return)

32 Does ENHC provide you or your organization with information or a service that you need?

If yes, what do you get from ENHC?

33 Do ENHC publications appeal to your interests?

- Yes
- No
- Not sure



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Essex Community Survey

COLLABORATIVE CONSERVATION

In this section, please answer questions about your or your organization's partnership with Essex National Heritage Commission.

34 Do you or your organization partner with ENHC?



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Essex Community Survey

COLLABORATIVE CONSERVATION

In this section, please answer questions about your or your organization's partnership with Essex National Heritage Commission.

35 First, describe any BENEFITS that your organization receives from being affiliated with Essex National Heritage Commission (ENHC). Rate how you feel about the following statements. ENHC:

1 2 3 4 5
 Very false Somewhat false Neither true nor false Somewhat true Very true

Improves my organization's ability to collaborate with groups that have similar missions

Improves my organization's ability to deliver services to the community

1 2 3 4 5

Hosts events that generally benefit my organization

1 2 3 4 5

Helps my organization improve attendance for our events

1 2 3 4 5

Improves marketing, outreach, and ability to access the community

1 2 3 4 5

Helps my organization to grow and build capacity

1 2 3 4 5

Improves my organization's ability to secure funding

1 2 3 4 5

Helps my organization fulfill its mission

1 2 3 4 5

36 Please describe any other BENEFITS that you or your organization receive from being affiliated with Essex National Heritage Commission.

37 Next, describe any CHALLENGES that your organization faces from being affiliated with Essex National Heritage Commission (ENHC). Rate how you feel about the following statements. ENHC:

1 2 3 4 5
 Very false Somewhat false Neither true nor false Somewhat true Very true

Limits my organization's ability to collaborate with groups that have similar missions

1 2 3 4 5

Limits my organization's ability to fundraise

1 2 3 4 5

Limits the pool of financial resources available to community groups by competing for scarce dollars

- 1
- 2
- 3
- 4
- 5

Decreases my organization's capacity to reach the community by offering too many or competing events

- 1
- 2
- 3
- 4
- 5

Makes it more difficult for my organization to fulfill its mission

- 1
- 2
- 3
- 4
- 5

38 Please describe any other CHALLENGES that you or your organization face from being affiliated with Essex National Heritage Commission.



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Essex Community Survey

DEMOGRAPHIC QUESTIONS

In this section, please answer a few questions about yourself. This information will be completely confidential, and will be used to make the activities in Essex County better for everyone in the community.

39 Town of residence:

- Amesbury
- Andover
- Beverly

- Danvers
- Essex
- Georgetown
- Gloucester
- Groveland
- Haverhill
- Ipswich
- Lawrence
- Lynn
- Manchester
- Marblehead
- Methuen
- Nahant
- Newbury
- Newburyport
- North Andover
- Peabody
- Rockport
- Salem
- Salisbury
- Saugus
- Swampscott
- Topsfield
- Wenham
- Other, please specify

40 Gender:

- Male
- Female

41 Age:

- 18 - 24
- 25 - 34
- 35 - 44
- 45 - 54
- 55 - 64
- 65+

42 Race:

- White
- Hispanic/Latino
- Black or African American
- Asian
- American Indian or Alaska Native
- Native Hawaiian or Pacific Islander
- Other

43 Annual Household Income:

- Less than \$25,000
- \$25,000 - \$34,999
- \$35,000 - \$49,999
- \$50,000 - \$74,999
- \$75,000 - \$99,999
- \$100,000 and greater



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Essex Community Survey

44 Thank you very much for taking the time to complete this survey. Your feedback is an important part of making Essex County the best place it can be!

If you would like to add any additional comments or questions, please do so below:

Zoomerang

http://app.zoomerang.com/Report/print_survey_body.zgi?ID=L23PDU...



Survey Page 18

Appendix I: Essex National Heritage Commission Evaluation Community Interview Protocol

QUESTIONS FOR ALL COMMUNITY PARTNERS

The first part of our interview will help me learn more about your organization, your work in the community, and your partnerships.

1. Please tell me about your organization. What type of work do you do in the community?
2. What organizations do you work with? What organizations would you like to work with (but don't currently)?
3. Tell me about your work with ENHC? How do you partner with them? How long have you been in this partnership?
 - (PROBE: Does the partnership seem positive? Is the partnership mutually beneficial or “two-way?” How could the relationship benefit your organization more? Is the relationship stronger or weaker than it was a few years ago? How often are ENHC and the organization in communication?)
4. Do you work with organizations in different towns? Do you have common goals despite being in different towns? How difficult or easy is working across town boundaries? Does ENHC facilitate working across town boundaries?
5. How does working collaboratively affect your organization's ability to meet its goals?
6. Are regional organizations (organizations operating in different towns in Essex County) on the same page when it comes to conserving/preserving natural, cultural, and historic resources and encouraging stewardship? Was ENHC involved in the process of getting everyone on the same page?

Next we will discuss your partnership with ENHC in further detail.

7. Have you, your organization, and/or your constituents learned more about the region's natural, cultural, and/or historic resources by working collaboratively with ENHC? How? What resources stand out as being most important to you?
8. Have you been able to access other organizations and resources in the community resulting from your relationship with ENHC? How?
 - (PROBE: Have you learned more about the National Park Service [Salem Maritime National Historical Site or Saugus Ironworks National Historical Site] by working with ENHC? Have you worked with the National Park through your relationship with ENHC?)
9. Do you feel like ENHC works on behalf of your organization? How?
10. Has working collaboratively with ENHC helped your organization build capacity? How?

- (PROBE: Improvements to financial capacity (through direct funding or ability to leverage additional funding? Partnering capacity? Marketing and outreach capacity? Education capacity? Increase relevance or credibility? Innovative ideas?)
11. Have you experienced any challenges as a result of your partnership with ENHC?
- (PROBE: Limitations on your ability to fundraise? Attendance at your organization's events? On your ability to collaborate with other groups?)
12. Has your organization incorporated ENHC themes/events/ideas into your own program activity?
13. Is it important for your organization to continue working with ENHC? Why? What factors influence your continued relationship?

Now, let us discuss ENHC as an organization working in the community.

14. In your opinion, has ENHC impacted the region and Essex National Heritage Area over the past 12 years? How? To what extent?
15. (If yes to above) Has ENHC's impact changed over time? Grown stronger, weaker, the same? Why?
16. Does ENHC broadly foster innovation and facilitate the exchange of ideas among organizations in the region? How?
17. Has ENHC emerged as a leader among organizations in the community? Does ENHC fill a unique void in the community by bringing together diverse public and private stakeholders? If so, what is that role?
- (PROBE: If ENHC has emerged as a leader, what are the benefits of ENHC's leadership role? Do you see ENHC as a "critical partner?" What is ENHC's reputation in the region?)

Now, let us discuss your vision for the region and Essex National Heritage Area.

18. How would you like to see awareness and appreciation of natural, cultural, and historic resources in the Heritage Area improve?
19. What do you think the role of ENHC should be? How should ENHC improve upon its efforts?
20. What would happen if ENHC were not present in the region?
21. How would you feel if ENHC received less federal money and was forced to secure alternative sources of revenue (pursue more philanthropic, state, and local government funds)?

ADDITIONAL GRANTEE QUESTIONS

1. Please describe the ENHC grant application and reporting process?
- (PROBE: Is it time consuming? Does it build your capacity/make it easier to conform to requirements from other funders?)

2. ENHC grants represent what percentage of total funding? Has this percentage changed over time?
3. What is the process for getting matching grants from other sources?
 - (PROBE: Who do you get grants from? Do they seem more inclined to support your organization with the initial/provisional funding from ENHC?)
4. What did ENHC funding allow your organization to do?
5. Does ENHC offer technical assistance—support to your organization aside from a financial contribution? If so, please describe.
6. Would ENHC be a valuable partner if it was not funding grants? Why or why not?
7. After receiving funding, have you worked with ENHC to support any of their programs or events? If so, how and to what extent? Was this partnership meaningful for your organization?
8. Describe the relationship you have with ENHC staff?
 - (PROBE: Are they professional? Reliable? Responsive, etc.? Please provide examples)

ADDITIONAL BUSINESS COMMUNITY QUESTIONS

1. Does the local economy improve around the time of events that celebrate natural, cultural, or historic resources?
2. Could you estimate how much your business revenues increase around the time of events that celebrate natural, culture, or historic resources?
3. To what extent have you been able to partner with the National Park Service (Salem Maritime National Historic Site)?
4. To what extent have you been able to partner with ENHC?
5. To what extent have you been able to partner with other organizations in the community?

ADDITIONAL COMMISSIONER QUESTIONS

1. How do commissioners assist ENHC in: reaching out to the community? Building the partnership network? Generating and implanting innovative ideas for programs?
2. Do you assist with fundraising? Contribute financially?
3. How could the commission collaborate more effectively with organizations in Essex County? ENHC staff?

ADDITIONAL EDUCATOR QUESTIONS (USING ESSEX HISTORY AND LINC'S PROGRAM)

1. Have you been able to incorporate facts about the region's natural, cultural, and historic resources into student lesson plans (e.g. America's founding, early settlement, height and decline of maritime era, textile and leather industry)?

2. Where do you get information for lesson plans? ENHC website? LINC's and UEH materials? How useful are these resources?
3. Are you able to get information through dialog and exchange with other teachers? Has ENHC facilitated this exchange?
4. Has ENHC improved upon your general professional development as an educator? Built your capacity as a teacher? How?
5. Do you believe that students retain knowledge better through hands-on (or place-based) learning opportunities?
6. Do you believe that the stewardship ethic of students is improving through the LINC's and UEH programs? How? How do you know?

ADDITIONAL QUESTIONS FOR HISTORIC RECORDS PRESERVATION GRANTEES

1. How does the preservation of a community's written past, through the management of historic records, impact local residents?
2. (PROBE: Does preservation of historic documents leads to outcomes like: (1) improved access to resources (including genealogical), (2) improved understanding and appreciation of assets in the region, (3) improved education of youth)
3. Has ENHC assisted in the accomplishment of any of these outcomes?
4. Has ENHC assisted your organization in its mission to preserve historic records in any other ways? How?

QUESTIONS FOR ORGANIZATIONS THAT DO NOT PARTNER WITH ENHC

The first part of our interview will help me learn more about your organization, your work in the community, and your partnerships.

1. Please tell me about your organization. What type of work do you do in the community?
2. What organizations do you work with?
3. Do you work with organizations in different towns? Do you have common goals despite being in different towns? How difficult or easy is working across town boundaries?
 - (PROBE: Does the partnership seem positive? Is the partnership mutually beneficial? How often are ENHC and the organization in communication)
4. Are regional organizations (organizations operating in different towns in Essex County) on the same page when it comes to conserving/preserving natural, cultural, and historic resources and encouraging stewardship?
5. How does working collaboratively affect your organization's ability to meet its goals? What are the challenges and benefits associated with collaboration?

Now, let us discuss the Essex National Heritage Commission as a potential partner organization.

6. Are you aware of the work that the Essex National Heritage Commission (ENHC) does? (INTERVIEWER provides description if respondent is unaware)
7. Do you know of any community groups that partner with them? (INTERVIEWER provides examples of ENHC partners)
8. Do you think that partnering with ENHC would be beneficial to your organization? How?
9. Might partnering with ENHC present any potential drawbacks?
10. Are there any reasons why you have not partnered with ENHC up until now?

(PROBE: Lack of information about ENHC? No capacity to partner with other organizations? Partnerships can be time consuming? Partnerships can decrease fundraising potential? Partnerships can sometimes be ineffective?)

Appendix J: ENHC Evaluation Management and Organizational Capacity Assessment 2009

Essex National Heritage Commission Evaluation Management and Organizational Capacity Assessment 2009

Name and title: _____

Date of hire: _____

Please complete this entire assessment to the best of your ability. You will be asked to comment specifically on ENHC's capacity in the following areas: (1) mission, vision, and goals; (2) staff, intern, and volunteer management; (3) executive leadership; (4) governance and oversight; (5) organizational assessment, informed reorientation, and strategic planning; (6) external communication, marketing and public outreach; (7) building the partnership network; (8) financial capacity; (9) organizational culture; and (10) infrastructure.

Please take the time to complete this assessment carefully and candidly. This information will not be shared with any staff or commissioners of Essex National Heritage Commission. At the completion of the Center for Park Management evaluation, this information and other evaluation findings will be reported in aggregate form, and no information will be linked specifically to any individual. It is important for you to be as honest as possible in assessing ENHC's capacity.

Someone from the Center for Park Management will be calling you to schedule a time to walk through the assessment after you have completed it. When walking through the assessment, feel free to elaborate on any capacity elements. If you have any questions, please contact Omolara Fafore (Evaluation Lead), NPCA Center for Park Management, 202-454-3916, ofafore@npca.org.

Thank you in advance for your time.

1. Mission, Vision & Goals

Please check the appropriate answer for the statements below about your organization’s mission, vision, and goals. Please check only one answer for each statement.

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
a. ENHC has a clearly expressed, written mission statement that describes its values and purpose. This succinct mission statement exists in a location and format that is easily accessible to board, staff staff, residents, community partners, and other stakeholders.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. ENHC has a written, clear, specific, and compelling vision statement. This statement explains what ENHC aspires to achieve and is consistently used to direct actions and set priorities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

c. Based on ENHC's mission, vision, and enabling legislation, the organization has well-defined, achievable goals and time frames for goal accomplishment.

If "true, and functioning well," or "true, but needs improvement," please provide examples

2. Staff, Intern, & Volunteer Management

Please check the appropriate answer for the statements below about your organization’s staff, intern, and volunteer management.

Please check only one answer for each statement.

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
a. ENHC has a process of orienting staff, volunteers, and interns to the mission, vision, and goals of the organization at the time of hire.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. ENHC maintains a current organizational chart that depicts the organizational structure and reporting lines.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. ENHC maintains well-designed comprehensive systems to capture, document, and disseminate knowledge internally in all relevant areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

d. ENHC maintains current, written position descriptions that describe staff responsibilities and identify supervisors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. ENHC maintains current, written position descriptions that describe volunteer responsibilities and identify supervisors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. ENHC has a good system of recruiting, managing, acknowledging, and retaining volunteers .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. ENHC has a good system of recruiting, managing, acknowledging, and retaining staff .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
h. ENHC maintains adequate staffing levels to successfully meet its mission	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. ENHC maintains a current, written employee manual that describes procedure and policies (including employment and pay procedures; staff evaluation procedures; layoff, termination, and grievance procedures; sexual harassment policies; and general office practices and procedures.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. ENHC invests in developing staff skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If “true, and functioning well,” or “true, but needs improvement,” please describe briefly how staff typically go about developing their skills

k. ENHC has an adequate system of keeping communication channels open among staff and volunteers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--	--------------------------	--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

l. ENHC has an adequate system of keeping communication channels open between staff, volunteers, the board, and commissioners

m. ENHC offers potential for career advancement

n. ENHC offers competitive salaries and benefits packages AND compensation is on par with hiring and recruiting staff with advanced skills

3. Executive Leadership

Please check the appropriate answer for the statements below about your organization’s executive leadership. Executive leadership refers to the Executive Director, and most senior management of the organization. Executive leadership does not refer to the Commission or Board. Please check only one answer for each statement.

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
a. ENHC executive leadership is highly experienced in: (1) nonprofit management, (2) the inner workings of other sectors [e.g. government, for profit, and academia] AND (3) navigating the rules and regulations of the National Park Service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. ENHC executive leadership creates an atmosphere where staff look to leadership for guidance but are not powerless and incapable of forward movement without leadership.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. ENHC executive leadership, particularly the executive director, are seen externally as strong, experienced, and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

highly respectful of other people and organizations.

d. ENHC executive leadership, particular the executive director are analytical, strategic thinkers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--	--------------------------	--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

e. ENHC executive leadership are “contagiously energetic” and highly committed to the organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--	--------------------------	--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

4. Governance & Oversight

Please check the appropriate answer for the statements below about your organization’s executive leadership. Governance and Oversight refers to the role of the Commission and/or Board. Please check only one answer for each statement.

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
a. Board and commission maintain an effective way to organize and divide responsibilities (e.g. committee structure)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Board members and commissioners represent a diverse array of skills, and professional expertise and community interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Board members and commissioners provide strong direction and support to ENHC and ensure that the organization is accountable to the NPS, community stakeholders, and the general public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

d. Board members and commissioners remain fully aware of the needs of residents, NPS, and other community stakeholders AND identify ways to continually enhance ENHC programs to meet those needs

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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e. Board members and commissioners have an effective system for setting the organization's overall program goals from year to year

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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	True, and functioning well	True, but needs improvement	Not true, but currently being considered/developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
f. Board members and commissioners have an effective system of establishing fiscal policy and boundaries with budgets and financial controls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Board members and commissioners engage in long range planning to chart the course of ENHC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Board members and commissioners have an effective system of evaluating the executive director	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Organizational Assessment, Informed Reorientation, & Strategic Planning

Please check the appropriate answer for the statements below about your organization’s capacity to engage in the process of assessment, informed reorientation, and strategic planning. Please check only one answer for each statement.

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
a. ENHC has a system of identifying measureable goals for the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. ENHC has a systematic process for collecting data on measureable goals; AND ENHC uses these data to make improvements to programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If “true, and functioning well,” or “true, but needs improvement,” please describe briefly how ENHC collects data and uses data to make improvements to programs

c. ENHC has a system of frequently assessing gaps in the ability of existing programs to meet community and residents' needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. ENHC maintains a system where all programs and services are well defined and fully aligned with the overarching mission and vision of the organization AND community needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. ENHC has the ability to create, hand-over, alter, or phase out existing programs to better meet community and residents' needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
f. ENHC routinely creates, hands over, alters, or phases out existing programs based on knowledge of community and residents' needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. ENHC has extensive knowledge of organizations that engage in collaborative conservation and landscape scale conservation. Subsequently, ENHC has extensive knowledge of alternative models of effective programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. ENHC has clear, coherent, written mid-term and long-term strategies that are actionable and linked to the overarching mission and vision of the organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If “true, and functioning well,” or “true, but needs improvement,” please describe.

i. ENHC has created a culture that does not punish the acknowledgement of mistakes and programs that did not achieve anticipated success

j. ENHC maintains current, concrete, detailed, written strategic plans

k. ENHC has created a culture of continual assessment and improvement of staff and programs

6. External Communication, Marketing, & Public Outreach

Please check the appropriate answer for the statements below about this organization’s external communication, marketing, and public outreach.

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
a. ENHC has mechanism(s) for communicating regularly with members and constituents (e.g., newsletters, email alerts, website, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. ENHC a method for evaluating the effectiveness of its communication with its members and constituents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If “true, and functioning well,” or “true, but needs improvement,” please describe.						
c. ENHC identifies, builds, and maintains working relationships with community stakeholders including residents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

d. ENHC staff and commissioners meet regularly with residents and community stakeholders to learn about community needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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e. ENHC identifies, builds, and maintains appropriate relationships with elected officials (and their staff) who make or influence policy decisions related to the organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
f. ENHC has a clear and concise message designed to be shared with specific audiences, such as policymakers, community stakeholders, the media, and the general public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. This organization identifies, builds, and maintains relationships with key personnel in both print, broadcast, and any other forms of media that specifically targets its constituents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. ENHC maintains an effective system to build awareness of the natural, cultural, and historic resources in the heritage area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. ENHC and partner organizations offer diverse events and activities in the community to facilitate individuals experiencing natural, cultural, and historic resources in the region	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. In 2008 how frequently were the executive director, staff, board members, or key volunteers of ENHC contacted by the media (print and broadcast) for information, interviews, or opinions?						

Not at all Sometimes A lot Always

k. In 2008, how frequently did the executive director, staff, board members, or volunteers of this organization pro-actively reach out to the media to convey information or their opinions (e.g., op-eds, paid advertisement, Public Service Announcements)?

Not at all Sometimes A lot Always

7. Building the Partnership Network

Please check the appropriate answer for the statements below about this organization’s partnerships. Please check only one answer only for each statement.

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
a. ENHC’s executive director, staff, and board members participate in networks that share its goals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. ENHC plays a leadership role in networks that share its goals (e.g. it convenes meetings, develops the agenda and strategies, facilitates information exchange among network members)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. ENHC’s executive director, staff, and board members serve on the boards of other organizations that share its goals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

What capacities (e.g., knowledge, skills, relationships) do they bring to these other boards?

d. ENHC maintains a current database or list of individual and organizational allies that can help promote its goals

e. ENHC engages in partnerships that are mutually beneficial

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
f. ENHC has an effective strategy for identifying, mobilizing, and engaging members and partners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. ENHC has an effective strategy for retaining members from year to year (as opposed to a new group of members each year)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. ENHC's staff members take a lead role in preparing educational materials about natural, cultural, and historic resources in the region, especially when working in partnership with other organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. ENHC'S staff convene meetings and informal gatherings to educate and debrief members about natural, cultural, and historic resources in the region	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

j. Since the beginning of 2005, the number of members and constituents who support this organization has:

- Increased Stayed the same Decreased

8. Financial Capacity

Please check the appropriate answer for the statements below about this organization’s financial capacity. Please check only one answer for each statement.

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
a. ENHC has an updated and current fundraising plan, including goals, strategies, and benchmarks, for its work.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. ENHC identifies and retains board members and commissioners with fundraising capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. ENHC sets fundraising targets for board members and commissioners to secure contributions from other organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. ENHC has a system in place to ensure that board members and commissioners make financial contributions to the organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(individually and/or through their organizations).

e. ENHC maintains donor lists and continually seeks out prospective donors to the organization.

f. ENHC is effective at not relying on any one source of funding.

g. ENHC maintains a system of creating well documented financial reports (e.g. balance sheets, cash flow statements)

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
h. ENHC maintains a decentralized financial monitoring system such that staff may monitor financial status of each program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. ENHC develops realistic financial plans that outline expected revenue, expected costs, and actions to bridge any funding needs/gaps.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. ENHC maintains a system of remaining financially accountable to the public by completing audits, foundation grant reports, IRS Form 990s, and NPS reporting requirements in a timely fashion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k. ENHC program expenditures and spending patters are reflective of ENHC mission, vision, and goals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
l. ENHC has cash reserves to meet immediate needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

m. ENHC maintains a system such that every dollar of federal funding leads to a significant leverage of dollars.

If “true, and functioning well,” or “true, but needs improvement,” please describe.

n. ENHC continually adjusts and re-interprets programs to appeal to donors changing interests and subsequently retains donors for significant periods of time

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
o. ENHC maintains a diverse base of existing donors that are interested in funding regional collaboration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please provide the following financial information:

Source of Revenue for Advocating for Essex’s Cultural, Natural, and Historic Resources for Current Fiscal Year	Amount	Please indicate if the percentage increased, decreased, or stayed about the same since 2005 using the following scale: <div style="display: flex; justify-content: space-around; text-align: center;"> -3 -2 -1 0 +1 +2 +3 </div> <div style="display: flex; justify-content: space-around; text-align: center; margin-top: 5px;"> decreased decreased decreased stayed increased increased increased </div> <div style="display: flex; justify-content: space-around; text-align: center; margin-top: 5px;"> significantly moderately slightly the same slightly moderately significantly </div>
a. Donations from individuals		<div style="display: flex; justify-content: space-around;"> -3 -2 -1 0 +1 +2 +3 </div>
b. Foundation grants		<div style="display: flex; justify-content: space-around;"> -3 -2 -1 0 +1 +2 +3 </div>
c. Earned income		<div style="display: flex; justify-content: space-around;"> -3 -2 -1 0 +1 +2 +3 </div>
d. Membership dues		<div style="display: flex; justify-content: space-around;"> -3 -2 -1 0 +1 +2 +3 </div>
e. Government grants or contracts		<div style="display: flex; justify-content: space-around;"> -3 -2 -1 0 +1 +2 +3 </div>

f. Other (e.g., corporate giving, United Way funding)		-3	-2	-1	0	+1	+2	+3
TOTAL								

g. Has any current funder increased its support to this organization over the past few years? Yes No

If yes, please identify the funder.

(i) _____

(ii) _____

(iii) _____

h. Over the past few years has ENHC received funding for the first time from any funder? Yes No

If yes, please identify the funder.

(i) _____

(ii) _____

i. Over the past few years has ENHC lost funding from any significant funder? Yes No

If yes, please identify the funder.

(i) _____

(ii) _____

9. Organizational Culture

Please check the appropriate answer for the statements below about your organization’s culture. Please check only one answer for each statement.

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
a. ENHC maintains office practices and procedures that make it an enjoyable place to work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. ENHC encourages innovation and new ideas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. ENHC maintains systems that make it an inclusive organization. All staff are encouraged to contribute to the future direction of programs and ENHC’s strategic goals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. Infrastructure

Please check the appropriate answer for the statements below about your organization’s physical infrastructure (e.g. office space, computers). Please check only one answer for each statement.

	True, and functioning well	True, but needs improvement	Not true, but currently being considered/ developed	Not true and desired, but currently no capacity to initiate (knowledge, time, resources)	Not true, never thought of before	Not true and not necessary
a. ENHC office space facilitates a productive work environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. ENHC technology is up to date and compatible with the technology of other organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11. Any other comments you would like to add?

Thank you for completing this assessment!

Appendix K: OMB Circular A-110 Section 23

(a) All contributions, including cash and third party in-kind, shall be accepted as part of the recipient's cost sharing or matching when such contributions meet all of the following criteria.

- (1) Are verifiable from the recipient's records.
- (2) Are not included as contributions for any other federally-assisted project or program.
- (3) Are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
- (4) Are allowable under the applicable cost principles.
- (5) Are not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching.
- (6) Are provided for in the approved budget when required by the Federal awarding agency.
- (7) Conform to other provisions of this Circular, as applicable.

(b) Unrecovered indirect costs may be included as part of cost sharing or matching only with the prior approval of the Federal awarding agency.

(c) Values for recipient contributions of services and property shall be established in accordance with the applicable cost principles. If a Federal awarding agency authorizes recipients to donate buildings or land for construction/facilities acquisition projects or long-term use, the value of the donated property for cost sharing or matching shall be the lesser of (1) or (2).

- (1) The certified value of the remaining life of the property recorded in the recipient's accounting records at the time of donation.
- (2) The current fair market value. However, when there is sufficient justification, the Federal awarding agency may approve the use of the current fair market value of the donated property, even if it exceeds the certified value at the time of donation to the project.

(d) Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as cost sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for volunteer services shall be consistent with those paid for similar work in the recipient's organization. In those instances in which the required skills are not found in the recipient organization, rates shall be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.

(e) When an employer other than the recipient furnishes the services of an employee, these services shall be valued at the employee's regular rate of pay (plus an amount of fringe benefits that are reasonable, allowable, and allocable, but exclusive of overhead costs), provided these services are in the same skill for which the employee is normally paid.

(f) Donated supplies may include such items as expendable equipment, office supplies, laboratory supplies or workshop and classroom supplies. Value assessed to donated supplies included in the cost sharing or matching share shall be reasonable and shall not exceed the fair market value of the property at the time of the donation.

(g) The method used for determining cost sharing or matching for donated equipment, buildings and land for which title passes to the recipient may differ according to the purpose of the award, if (1) or (2) apply.

- (1) If the purpose of the award is to assist the recipient in the acquisition of equipment, buildings or land, the total value of the donated property may be claimed as cost sharing or matching.

(2) If the purpose of the award is to support activities that require the use of equipment, buildings or land, normally only depreciation or use charges for equipment and buildings may be made. However, the full value of equipment or other capital assets and fair rental charges for land may be allowed, provided that the Federal awarding agency has approved the charges.

(h) The value of donated property shall be determined in accordance with the usual accounting policies of the recipient, with the following qualifications.

(1) The value of donated land and buildings shall not exceed its fair market value at the time of donation to the recipient as established by an independent appraiser (e.g., certified real property appraiser or General Services Administration representative) and certified by a responsible official of the recipient.

(2) The value of donated equipment shall not exceed the fair market value of equipment of the same age and condition at the time of donation.

(3) The value of donated space shall not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately-owned building in the same locality.

(4) The value of loaned equipment shall not exceed its fair rental value.

(5) The following requirements pertain to the recipient's supporting records for in-kind contributions from third parties.

(i) Volunteer services shall be documented and, to the extent feasible, supported by the same methods used by the recipient for its own employees.

(ii) The basis for determining the valuation for personal service, material, equipment, buildings and land shall be documented.

Appendix L: References

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