



# **Hudson River Valley National Heritage Area Evaluation Findings**

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# Executive Summary

## Purpose of the Report

In 1996, United States Congress through Public Law 110-229 officially designated nine National Heritage Areas (NHAs). An NHA can be any size and is intended to encourage historic preservation and an appreciation of the unique natural, cultural, historic, and scenic resources that represent a nationally important American story. The Hudson River Valley National Heritage Area (HRVNHA) in New York is one of the nine designated areas. The HRVNHA began receiving federal funds in 1998.

In May 2008, Congress mandated that an evaluation, under the auspices of the Secretary of the Interior be conducted of each of the nine NHAs to review accomplishments made over the fifteen year period in which the NHAs operated. Based on the findings from each evaluation, the Secretary of the Interior will prepare a report to Congress with recommendations regarding the future role of NHAs with respect to NPS.

## Key Evaluation Questions

The key findings from the HRVNHA evaluation are organized by the three questions introduced in Section 1 and derived from the legislation, Public Law 110-229, that serve as a framework for this evaluation:

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

## Key Findings

### **Evaluation Question 1: Based on its authorizing legislation and general management plan, has the heritage area achieved its proposed accomplishments?**

As outlined in Table 1, the legislated purposes for the Hudson River Valley National Heritage Area (HRVNHA) and the goals of the management plan were articulated into six strategy areas of activities

that framed our inquiry. The evaluation has determined that over the last 15 years, The HRVNHA coordinating entity has attended to its legislated purposes and goals outlined in the Management Plan through the federal resources provided. Its efforts have centered in the six strategy areas of: resource preservation, education and interpretation, recreational usage, marketing and outreach, economic development, and regional planning and community impact. A more complete assessment of the accomplishments and impacts in each of the areas is provided in Section 3.

**Table 1 Crosswalk of Heritage Area Purposes, Goals, and Current Activities**

Purposes as Specified in Legislation	HRVNHA Management Plan Goals	Current HRVNHA Goals/Activities
To recognize the importance of the history and the resources of the Hudson River Valley to the Nation	<p><u>Resource Preservation</u> – To inspire and educate people through sponsored events, grants programs, trainings and education. To work with communities to help them plan better.</p> <p><u>Heritage and Environmental Education</u> – To teach the HRV by developing curricula and by helping teachers use resources to teach the curriculum. To provide grants for interpretation of history, ecology, and art.</p>	<p>Resource Preservation</p> <p>Education and Interpretation</p>
To assist the State of New York and the communities of the Hudson River Valley in preserving, protecting, and interpreting these resources for the benefit of the Nation.	<u>Recreation and Public Access</u> - To develop and promote the use of trails through direct efforts and partnerships. To develop and promote the use of historic sites. To develop and promote access to the Hudson River.	<p>Resource Preservation</p> <p>Education and Interpretation</p> <p>Recreational Usage</p> <p>Marketing and Outreach</p>
To authorize federal financial and technical assistance to serve these purpose.	<p><u>Economic Development</u> – To increase tourism through experiential tours, use of trails, and regional events. To provide direct grants for economic development (i.e. community grants for neighborhood revitalization)</p> <p><u>Regional Planning</u> - To work on regional scale on events, interpretation, economic development, and resource preservation. To work inter-municipally with government agencies to engage local communities to help them plan regionally.</p>	<p>Economic Development</p> <p>Regional Planning and Community Impact</p>

**Overall, the HRVNHA and its management entity have successfully met the goals and objectives outlined in the original legislation and operationalized in the management plan.** Since 1996, **resource preservation** efforts have included providing Greenway Council and Greenway Conservancy Grants, supporting the Scenic Byways Program, preserving historic routes, and other resource preservation activities. Between 1996 and 2010, the Greenway awarded \$2,355,424 of Greenway Council Grants to partner organizations for the preservation and interpretation of historic properties. As a result, partner organizations were able to leverage an additional \$9 million for preservation and restoration of historic properties. Additionally, Greenway awarded \$1,219,401 of Greenway Conservancy Grants to preserve and restore the trail systems along the Hudson River and in the surrounding area between 1996 and 2010. The grantees leveraged an additional \$5,000,000 which helped to add between 7.31 and 25.71 miles of usable trails each year to the existing designated trail systems throughout the Greenway. As of 2011, the Greenway had a total of 487.62 miles of designated trails. Furthermore, approximately 95,000 volunteer hours are spent on heritage area events annually to increase stewardship for heritage resources.

The key HRVNHA activities within **education and interpretation** include: supporting Teaching the Hudson Valley; supporting the Hudson River Valley Institute at Marist College; providing grants that support education and interpretation activities; and supporting interactive education and development. Between 2003 and 2011, the HRVNHA awarded approximately 93 grants to schools through the Teaching the Hudson River Valley Explore Awards. These awards ranged from \$250 to \$5,000. The Teaching the Hudson Valley grants have provided funding for 900 to 2,000 students to heritage sites each year between 2006 and 2011. Additionally, the annual three-day Institute for curriculum development included between 140 and 200 educators and historians each year between 2006 and 2011. In November 2008, the HRVNHA launched a website for Teaching the Hudson Valley, [www.TeachingTheHudsonValley.org](http://www.TeachingTheHudsonValley.org), which features a library of over 250 place-based Hudson Valley lesson plans and activities. They also have a website for the Hudson River Valley Institute at Marist College, [www.hudsonrivervalley.org](http://www.hudsonrivervalley.org). This website serves as a digital library for public use, containing an archive of approximately 20,000 pages of historical, cultural and environmental records pertaining to the Hudson Valley. The digital library receives approximately 430,000 individual visits annually. Additionally, the Greenway has provided grants, such as the Heritage Development Grants and the Quadricentennial Implementation Grants, to partner organizations to support education and interpretation.

**Economic Development** activities include providing grants for local and regional economic development strategies; holding events that increase tourism within the NHA; and limited fundraising. Outcomes examined in regards to economic development include increased visitation and visibility of NHA and increased tourism dollars. Due to the size of the heritage area and number of different sites included

within it, the HRVNHA coordinating entity does not directly measure the annual number of visits to the NHA but estimate that it may be as large as 4,000,000. However, it is unclear how this number is calculated. Similarly, it is difficult to directly assess the impact of activities on the amount of tourism dollars. It is estimated that the tourism industry in the Hudson River Valley generates about \$4.7 billion dollar, but how much of that is attributable to the HRVNHA is unknown.

Providing places for recreation is a main focus of the HRVNHA coordinating entities. **Recreational usage** activities include holding recreational events, such as the Ramble, Heritage Weekend, and the Great Hudson River Paddle; developing water trails and water trail amenities; developing trail programs and designations; and providing bike guides, water trail guides, and online trail maps. Accurate measures of visitation and visibility of the NHA were hard to obtain. However, in 2011 HRVNHA events included 343 partners and were attended by over 170,000 people. Similarly, access to the Hudson River and trail usage is hard to estimate. However, since the heritage area designation over 743 miles of land trails and water trails have been added to the NHA.

The HRVNHA coordinating entities conduct a variety of **marketing, advertising, and outreach** activities. These activities consist of producing print and electronic materials for distribution, leveraging partnerships for marketing and advertising for events and NHA programs; providing technical assistance on water trail development and government planning; conducting traditional advertising for event promotion; and networking through board meetings and consortia. The HRVNHA coordinating entity measures marketing and outreach outcomes through distribution and use of print materials and through website access. Since the end of 2010, over 1,000 copies of the Hudson River Valley Heritage Guidebook have been sold and over 600 copies of the Hudson River Valley Review are in circulation. In 2010, the Hudson River Valley website had around 37,258 visitors with a 46% increase to 54,527 in 2011. The Hudson River Valley Ramble website usage also increased in this time period by 34% from 14,438 to 19,320 visitors.

The HRVNHA coordinating entity conducts a variety of **regional planning and community impact** activities in regards to event planning, interpretation, economic development, and resource preservation. These activities involve providing grants to local communities to facilitate planning and development; operating the Compact and Communities program; providing technical assistance to communities and organizations; and creating a community of heritage sites. Regional planning and community impact outcomes included increased number of communities participating in regional planning and development of a sense of identity for the Hudson River Valley Region. As of May 2012, six out of ten counties have begun the regional compact process. Part of the goal of the Compacts and Communities program is to

increase the sense of identity for region. This sense of regional identity is also developed through marketing heritage sites and trails as part of the Hudson River Valley region.

### **Evaluation Question 2: What have been the impacts of investments made by Federal, State, Tribal and local government and private entities?**

The evaluation assessed the investments made to the HRVNHA coordinating entity to support the goals and mission of the NHA and the impacts of these investments in fulfilling the purpose of the legislation. **Based on our analysis, HRVNHA coordinating entity has successfully met and exceeded the 50 percent federal funding match requirements over the entire funding period.** The coordinating entity has been able to successfully leverage the NPS dollars to attract funding from other local sources and to generate its own revenue. Since 1998, the coordinating entity successfully obtained matching funds for each year since funding began. The total match ratio is 2.87, with a total of approximately \$22.4 million matching funds to \$7.8 million NPS funds through the end of fiscal year 2011. In addition, the evaluation concludes that the HRVNHA coordinating entity has been fiscally responsible in expending funds for programmatic and operational activities as it pertains to the authorizing legislation and management goals.

The HRVNHA coordinating entity expended funds in fulfillment of the NHA goals and objectives specified in the legislation. The largest expenditures have occurred in the areas of resource preservation (29% of funding), which includes activities such as the Greenway Council and Greenway Conservancy Grants, trail signage, and interpretive plans and exhibits for historic sites and centers, and recreation usage (20% of funding), which includes holding recreational events, developing trails and amenities, and providing guides and online maps. In regards to the amount of funding spent on other programmatic spending, regional planning and community impact accounts for 16 percent, economic development accounts for 15 percent, education and interpretation accounts for 13 percent, and marketing and outreach accounts for 7 percent.

### **Evaluation Question 3: How do the heritage areas management structure, partnership relationships, and current funding contribute to its sustainability?**

To guide the assessment of sustainability, we have adopted the definition developed by NPS, with the assistance of stakeholders from a number of National Heritage Areas. Sustainability for an NHA is 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 evaluation found that the HRVNHA coordinating entity has a number of the components of sustainability in place. They have the necessary Board governance and partnerships to support sustainability. Strategic planning and partnerships have contributed greatly to the sustainability of the heritage areas mission and plans. However, they are limited in staff and have some staff with specialized skills that may be lost if funding for the NHA was discontinued.

**The HRVNHA coordinating entity has been successful at generating revenue from non-Federal sources in addition to the NPS funding, which should provide some continuity in funding should NPS funds be reduced or eliminated.** If the HRVNHA were to have the federal funds reduced, they would have to examine how to maximize the impact of available funding. It is possible that activities could be continued, though diminished in number or scope. If the HRVNHA lost its federal funds, progress would be slowed on many major activities, like the Hudson Valley Ramble or the Great Hudson River Paddle, would not be accomplished. Interview participants indicated that the presence of federal funding and the NHA designation provides an incentive for private investors to participate. The NHA designation serves as a “Good Housekeeping Seal of Approval” that provides the Hudson River Valley with a certain level of distinction.

## Structure of the Report

The report is divided into 5 sections:

**Section 1** defines and describes the National Heritage Areas (NHA) and NHA coordinating entity in general as well as the evaluation methodology, its limitations, and the roles and functions of key stakeholders involved in the development of this report. A brief overview of the Hudson River Valley National Heritage Area (HRVNHA) is presented in this section and is the focus of the evaluation report.

**Section 2** describes the area prior to the official designation as an NHA as well as the current heritage area and provides a map of the Hudson River Valley’s geographic boundaries. Section 2.2 introduces the HRVNHA coordinating entity’s structure and organization, including the roles and responsibilities of HRVNHA staff. This introduction is followed by Section 2.3 which provides an overview of the relationships that exist between and among the HRVNHA coordinating entity, stakeholder/partners organizations, and the National Park Service (NPS).

**Section 3** explores the first evaluation question, “Based on its authorizing legislation and general management plan, has the heritage area achieved its proposed accomplishments?” Section 3.1 describes the HRVNHA coordinating entity’s goals and objectives as required by the authorizing legislation and original and revised management plan. This section provides the logic model created by HRVNHA and Westat that outlines the resources and partnerships of the HRVNHA, how they lead to program areas and activities, and in turn, how the activities lead to outcomes and impacts the HRVNHA desires to achieve. Section 3.2 describes the HRVNHA’s programs and activities that have been conducted since receiving the HRVNHA designation and an analysis of whether the HRVNHA’s programs and activities are fulfilling the intent of the authorizing legislation and the current management plan. Section 3.3 describes the HRVNHA coordinating entity’s relationships with various NPS organizations and how these relationships compare to what is outlined in the authorizing legislation and current management plan.

**Section 4** explores the second evaluation question, “What have been the impacts of investments made by Federal, State, Tribal and local government and private entities?” Section 4.1 provides an overview of the investments made in the HRVNHA coordinating entity since its inception, broken down by major categories. Section 4.2 provides an analysis of how the HRVNHA coordinating entity has used the investments. Section 4.3 describes the impact of the HRVNHA’s investments including short and long-term outcomes.

**Section 5** explores the third evaluation question, derived from legislation (P.L. 110-229), “How do the coordinating entity’s management structure, partnership relationships, and current funding contribute to the NHA’s sustainability?” Section 5.1 defines important management roles and functions and examines the extent to which they exist formally or informally within the HRVNHA. Section 5.2 defines the partnerships and interrelationships that are needed to achieve sustainable results and addresses the extent to which they exist within the HRVNHA including NPS’s current role. Section 5.3 describes the role that the NHA funding has played and continues to play in the HRVNHA coordinating entity. Section 5.4 defines financial resources needed and their role in sustaining the HRVNHA coordinating entity and HRVNHA. Section 5.5 assess whether other organizations or mechanisms exist outside of the NHA coordinating entity can contribute to accomplishing HRVNHA goals and objectives post sunset or in the case that funding is reduced.

## Section 1: Introduction

This section of the evaluation report defines and describes the National Heritage Areas (NHAs) and NHA coordinating entities in general as well as a short overview of the Hudson River Valley National Heritage Area (HRVNHA), the focus of this evaluation report. The section also describes the evaluation methodology, its limitations, and the roles and functions of key stakeholders involved in the development of this report.

### 1.1 National Heritage Areas

An NHA is a designation given by the United States Congress to an area that has places and landscapes that collectively represent a unique, nationally important American story. An NHA can be any size and is intended to encourage historic preservation and an appreciation of the natural, cultural, historic, and scenic resources that have been shaped by the area's geography and history of human activity.

“...National Heritage Areas are places where natural, cultural, historic, and scenic resources combine to form a cohesive, nationally important landscape arising from patterns of human activity shaped by geography.”<sup>1</sup>

In 1996, Congress officially designated nine NHAs, with federal funds provided over subsequent years. Oversight of these programs was assigned to the National Park Service (NPS), with the exception of one NHA, Silos & Smokestacks, that was originally assigned to the United States Department of Agriculture in 1996 and then to NPS in 2000.

A coordinating entity or management entity is typically the organization within the NHA boundary that is tasked with bringing together diverse interests, goals and activities, resources, and efforts to define and work collectively toward common goals. The coordinating entity is charged with the responsibility for developing and implementing a management plan that will achieve the goals specified in the heritage area's enabling legislation. It also manages the federal funding provided to the heritage area. The coordinating entity may be a federal commission, state agency, local university, local government, or nonprofit organization. The coordinating entity usually creates working groups with balanced representation of diverse interests, disciplines, backgrounds, and ethnicities to plan and implement actions that meet the requirements of the heritage area legislation and plans. Members of the working groups may

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<sup>1</sup> National Park System Advisory Board. “Charting a Future for National Heritage Areas.” Available online at <http://www.nps.gov/history/heritageareas/NHAreport.pdf>

include elected officials, nonprofit practitioners, business representatives, librarians, historians, naturalists, landscape architects, educators, and civic organization leaders.

## **1.2 Report Purpose**

In May 2008, Congress mandated that an evaluation, under the auspices of the Secretary of the Interior, be conducted of each of the nine NHAs authorized in 1996 to review accomplishments made over the ten year period. Based on the findings from each evaluation, the Secretary of the Interior will prepare a report to Congress with recommendations regarding the future role of NHAs with respect to NPS.

The Center for Park Management (CPM) conducted the first of the nine evaluations in 2009 of the Essex National Heritage Commission in eastern Massachusetts. In 2011, Westat, under contract to NPS, conducted two additional NHA evaluations: Augusta Canal National Heritage Area in Augusta, Georgia, and the Silos and Smokestacks National Heritage Area in the Northeastern section of Iowa, that serve as the models for this set of NHA evaluations.

Currently, Westat is contracted by NPS to complete the six remaining NHA evaluations. The focus of this evaluation is the Hudson River Valley National Heritage Area (Greenway). The other sites include:

- National Coal;
- Rivers of Steel;
- Ohio and Erie Canalway;
- South Carolina Corridor; and
- Tennessee Civil War.

### **1.2.1 Hudson River Valley National Heritage Area**

Federally designated by Congress in 1996, the Hudson River Valley National Heritage Area (HRVNHA) is committed to recognizing, preserving, protecting, and interpreting the nationally significant cultural and natural resources of the Hudson River Valley for the benefit of the nation. HRVNHA encompasses 4 million acres, spanning 10 counties along both sides of the Hudson River.

As discussed in Section 2, the HRVNHA is managed by the Hudson River Valley Greenway Boards. The Hudson River Valley Greenway is a state sponsored program created to facilitate the development of a regional strategy for preserving scenic, natural, historic, cultural and recreational resources while encouraging compatible economic development and maintaining the tradition of home rule for land use decision-making. The Greenway Act of 1991 created two organizations to facilitate the Greenway process: the Hudson River Valley Greenway Communities Council and the Greenway Conservancy for the Hudson River Valley, Inc., a public benefit corporation.

### 1.3 Purpose of Evaluation

Public Law 110-229, enacted on May 8, 2008, directs the US Secretary of the Interior to evaluate each of the nine NHAs that were established in the Omnibus Parks and Public Lands Management Act of 1996<sup>2</sup> no later than three years before the date on which authority for Federal funding terminates. P.L. 110-229 describes the impetus for this evaluation, which is intended to inform the Secretary's report to Congress 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 three 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

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<sup>2</sup> See P.L. 104-333, 110 Statute 4093.

(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

### 1.3.1 Context

This evaluation of HRVNHA follows two major NHA evaluation projects. In 2005, the NPS Conservation Study Institute (CSI) began the process of developing an evaluation strategy for NHAs that culminated in a 2008 report titled *Development of a National Heritage Area Evaluation Strategy: Report on Phase 1*. This report was based on CSI's experience conducting evaluations of three Heritage Areas (Blackstone River Valley NHA, 2005; Delaware and Lehigh National Heritage Corridor, 2006; and Cane River National Heritage Area, 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.

In 2009, the Center for Park Management undertook the evaluation of the Essex National Heritage Commission. This was the first congressionally mandated evaluation of the nine NHAs authorized in Division II of the Omnibus Parks and Public Lands Management Act of 1996 and built on the structure and content of the program models developed by CSI during its evaluations. CPM's evaluation of Essex National Heritage Commission differed from the CSI evaluations in its objectives and focus. CSI's evaluations were focused on the processes that heritage areas use to accomplish their goals. It concentrated primarily on the role and benefits of partnership and collaboration. CPM's evaluation, because of the Congressional mandate, focused on outcomes as they related to the authorizing legislation and general management plan, the impact of financial investments, and the role of partnerships in the sustainability of Essex National Heritage Area.

The CPM/Westat evaluations of ACNHA and SSNHA built on CPM's evaluation of the Essex National Heritage Commission. The focus of these two evaluations continued to be on outcomes as they relate to the authorizing legislation and general management plan, the impact of financial investments on accomplishing these outcomes, the role of partners helping the NHA to accomplish its goals, and the

sustainability of the NHA. Unlike the first evaluation, however, these two evaluations did not include large-scale surveys due to cost and OMB Paperwork Reduction Act issues. Based on these two evaluations, a replicable model of evaluation was drafted and is currently being finalized. This model is designed to guide future NHA evaluation efforts supported by NPS and served as the guide for the current evaluations.

## **1.4 Evaluation Methodology**

In order to comply with the Congressional mandate for evaluation of the NHAs, NPS, National Heritage Areas Program Office, subcontracted with Westat to conduct this evaluation. Westat is an employee-owned research firm with expertise in conducting evaluations across a broad range of subject areas. The evaluation team was guided by NPS and the previous year's work of the NPS Evaluation Working Group, a group of NPS coordinators for NHAs, and a Park Superintendent. In the following sections, we describe the evaluation methodology, role of each party in the evaluation, and the context within which the evaluation was conducted.

### **1.4.1 Methodology**

The methodology was designed to maximize both the use of existing data and the ability to measure specific outcomes of the HRVNHA/Greenway's activities. The period covered by the evaluation is the 15 years during which the Greenway has received federal funding, 1996-2011.

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

1. Based on its authorizing legislation and general management plan, has the coordinating entity achieved its proposed accomplishments for the NHA?
2. What have been the impacts of investments made by Federal, State, Tribal and local government and private entities in the NHA?
3. How do the coordinating entity's management structure, partnership relationships and current funding contribute to the NHA's sustainability?

The evaluation used a case study design to address these evaluation questions. This design allowed for the examination of multiple variables of interest and multiple sources of data. The evaluation also incorporated a collaborative approach with project stakeholders to ensure that the findings are grounded in the local knowledge of the site. NPS National and Regional Coordinators for Heritage Areas reviewed

the methodology, as well as the NPS Panel of Experts for NHA. The tailored data collection tools and this report reflect the comments provided by NPS and the NHA evaluation site. The following sections describe each phase of the evaluation.

## ***Site Introduction***

During the initial phase of the evaluation process, Westat contacted Greenway staff, together with staff from NPS, to discuss preliminary planning details and initial background research requests. Multiple email exchanges and several telephone conversations occurred during November and December 2011. A two day in-person meeting, the Meet & Greet Visit, was held at the site in January 2012 to orient the Westat team to the site, introduce the Greenway staff to the evaluation team and methodology (Appendix C), and discuss roles and responsibilities for all parties involved in the evaluations. During this visit, we met with staff to learn more about the history and operations of the NCHA, toured key destinations in the site near the program office, and worked with Greenway staff to develop a logic model. Specifically, we conducted a session in which we led staff through a process of detailing the HRVNHA's goals, resources/inputs, organizations, strategies/activities, short-term outcomes, and long-term outcomes. We then developed a draft logic model that was shared with and revised by the Greenway director. The final logic model, displayed in Figure 4.1, guided the development of the domain matrix and data collection protocols (Appendix D) that were shared with staff.

## ***Data Collection***

Data collection methods for the evaluation included reviews of documents and financial audits, in-person and telephone interviews with key informants from the HRVNHA and its coordinating entity and partner and stakeholder organizations, and community conversations interviews with individuals visiting the Hudson River Valley National Heritage Area. A protocol guided the data collection, outlining the domains and measures of interest to collect from each identified source (i.e., prospective interviewees, program documents, financial documents, legislation). During data collection, evaluation staff used topic-centered guides for conducting interviews and abstracting documents. Data collection began in November 2011 and was completed in April 2012.

Numerous documents were reviewed to understand the background of the NHA (e.g., legislative documents, plans, by-laws), its staffing and structure (e.g., organizational charts), funding received and expenditures (e.g., yearly audit reports), and strategies and activities conducted (e.g., annual reports, management plans, concept plans). These documents also provided information on the outcomes that have occurred from HRVNHA/Greenway activities.



Individual interviews were conducted with nine members of the Greenway Board (the management entity for the HRVNHA) including the chair of the Hudson River Valley Greenway Communities Council and the Chairs of Greenway Conservancy for the Hudson River Valley, the Greenway Acting Executive Director, and other members of the Greenway staff. We also spoke with the staff who directs the HRVNHA's Teaching the Hudson Valley program and the Hudson River Valley Institute at Marist College, which serves as the academic arm of the Greenway. These interviews helped the evaluators gain an understanding of the background and history of the heritage area, the coordinating entity's activities and investments and their associated outcomes, and the coordinating entity's contribution to HRVNHA's sustainability.

Interviews were conducted with representatives from 22 stakeholder and partner organizations. These interviews discussed the genesis of the organization's relationship with Greenway; perceptions of the influence and impact that Greenway has made in the community; and additional ways the Greenway could serve the needs of the region; and the impact of reducing or eliminating funding for the Greenway.

Stakeholder interviewees were selected by Westat from a list of organizations that have partnerships or other relationships with the Greenway and that have a vested interest in the work of the Greenway/HRVNHA. We also engaged in "snowball" interviewing. While meeting with key informants we reviewed our list of representatives with them and asked for suggestions of others to be added to the list. Interviews were conducted with representatives from historic properties, such as Schuyler Mansion, the Van Wyck Homestead, and the Jay Heritage Center; nature preserves and trail organizations, including the Mohonk Preserve and the Wallkill Valley Rail Trail Association; and tourism departments, including Hudson Valley Tourism and the Albany County Convention and Visitors Bureau. Interviews were also conducted with key stakeholders from a variety of municipalities, including the Town and Village of Red Hook, the Town of Nassau, the Town of Kinderhook, and the Town of Stanford, and agencies involved with land use planning and preservation, such as the Kingston Land Trust, Columbia Land Conservancy, and Scenic Hudson. We spoke with representatives from regional associations, including the Greater Hudson Heritage Network and the Association of Public Historians of New York State, and from other heritage area partners, such as the Hudson River Maritime Museum, the Riverspark Visitor's Center, and the NYS Office of Parks Recreation and Historic Preservation.

Community intercept informal interviews were conducted with members of the public to learn how familiar they were with the history and culture of the Hudson River Valley and the ways in which they gained this knowledge and familiarity, whether they had visited the Greenway and used its resources, and their views on the impact the activities sponsored by the Greenway/HRVNHA has had on the community

(i.e., economic, cultural, historic, restorative). Participants were shown a copy of the HRVNHA logo and brochure that describes the HRVNHA and partner sites to assess their familiarity with the HRVNHA signage. As a part of the conversation, participants were also asked if they were a local, in-state or out of state resident.

Twenty interviews were conducted with individuals who were visiting a Greenway/HRVNHA partner organization, such as the Franklin D. Roosevelt National Historic Site or the Mohonk Preserve, or patronizing local cafes and restaurants within the Heritage Area. Individuals were approached at random, with some attention given to engaging individuals representing a range of ages. Most individuals were alone, but some were accompanied by one or more additional adults and/or children. We approached 23 members of the public, 20 of whom agreed to be interviewed. Interviews were guided by a set of topics, rather than the same set of questions.

### ***Data Analysis***

The focus of the data analysis was to document the extent to which Greenway/HRVNHA had achieved its organizational and programmatic goals as articulated in the mandating HRVNHA legislation and the Greenway/HRVNHA foundational documents. Findings discussed have been triangulated; that is, information has been documented from multiple sources, except in cases we could only rely on a single source of data, for example, outcomes relied on interviews due to lack of data sources. In addition, efforts have been made to ensure that the information gathered from key informants also has been substantiated with data from documents and other written sources.

### ***Limitations***

One limitation of the methodology is the limited data collection from the community. Community input was collected through the completion of 15 topic-centered qualitative interviews. Although the individuals interviewed, especially on the street and in local restaurants, likely represent individuals with no vested interest in the NHA, they represent a “convenience sample” rather than a representative sample of all tourists, local residents, and volunteers. Time and resource limitations prevented a broader selection of community representatives. The data thus provide insights into community awareness of the NHA, but do not provide a definitive understanding of the extent to which the NHA has had an impact on community knowledge, attitudes, and involvement in the NHA.

A second limitation is the ability of the evaluation design to provide definitive evidence of the NHA’s achievement of outcomes, especially attributions to the NPS funding and NHA designation. The

historical growth and development of the NHA provides some indication of the role of the NHA funding and designation, but it is confounded with other factors that contribute to the growth of the NHA. For example, although it is likely that the NPS funding has helped to leverage other funding, the extent to which the Greenway may have been successful in receiving some of this funding without the NHA resources and designation is unclear.

A third limitation of the evaluation is the limited data available to measure outcomes like visitation to the NHA and awareness of the NHA. Given the size of the heritage area and the scope of activities the Greenway/HRVNHA sponsors, they do not have a mechanism in place to accurately measure involvement by the public. They do estimate the number of attendants at HRVNHA sponsored events, such as the Hudson River Valley Ramble; however, these events compose only a small number of visits to the heritage area throughout the year. This lack of data limits our ability to measure whether the Greenway/HRVNHA is achieving some of their intended outcomes.

#### **1.4.2 Roles**

##### ***Westat***

Westat served as the external evaluator. Westat used the revised methodology from Augusta Canal National Heritage Area in Augusta, Georgia and the Silos and Smokestacks National Heritage Area in the Northeastern section of Iowa, prepared and revised a logic model to guide the evaluation in collaboration with the Greenway staff, prepared the data collection protocols, collected and analyzed the data, and prepared this document.

##### ***National Park Service***

NPS representatives included the NPS National Coordinator for Heritage Areas, the NPS Assistant National Coordinator for Heritage Areas, the NPS Regional National Heritage Area Coordinator for the Midwest Region, the NPS Regional National Heritage Area Coordinator for the Southeast Region, the NPS Regional National Heritage Area Coordinator for the Northeast Region, and the NPS Superintendent of Roosevelt-Vanderbilt National Historic Sites. NPS staff met as needed throughout the evaluation process, involving Westat as needed. NPS staff participated in our initial calls and email exchanges with the site and the Assistant Coordinator for National Heritage Areas National Park Service joined us in the Meet and Greet site visit. NPS staff also reviewed the logic model, domain matrix, data collection protocols, and this report.

## ***Hudson River Valley National Heritage Area***

The staff of Greenway (the Acting Executive Director, the Trails and Special Projects Director/Finance Manager, the Trails Coordinator, and the Assistant Ramble Coordinator) played key roles in facilitating this evaluation. They provided data and documents, provided clarification on financial documentation, helped with scheduling and planning site visits, identified a pool of contacts for interviews, provided feedback on the evaluation process, and participated in interviews. Greenway collaborated with the evaluation team to develop the NHA logic model. Greenway was not involved in the development of the methodology or data collection protocols though they were provided an opportunity to comment. They also worked closely with the evaluation team to collect and review financial documents and to help fill in gaps in our knowledge. Greenway staff had the opportunity to review this document for factual accuracy after the draft was completed by Westat in May 2012.

## Section 2: Overview of the Hudson River Valley National Heritage Area and Coordinating Entity

This section of the evaluation report begins with an overview of the physical and operational aspects of the Hudson River Valley National Heritage Area, and the roles and responsibilities of the coordinating entity. This is followed by descriptions of the types and significance of relationships that exist between and among, Greenway staff, stakeholder/partners organizations, and the National Park Service (NPS) in Section 2.2. Finally, Sections 2.3 and 2.4 present a timeline of key events and key evaluation findings, including investments and their long-term impacts.

### 2.1 Introduction to the Greenway

The Hudson River Estuary covers the four million acres of the Hudson River Valley, including over 150 miles, through 10 counties from Troy to Yonkers. The heritage area consists of five National Historic Sites, 57 National Historic Landmarks, 89 historic districts, and over 1,000 sites listed on the National Register of Historic Places.

The Hudson River Valley possesses important historical, cultural, and natural resources, representing themes of settlement and migration, transportation, and commerce. The following are a few highlights from the Hudson River Valley region's history:

- The Hudson River Valley played a part in the military history of the American Revolution;
- The Hudson River Valley contributed to movements in American art and architecture;
- The Hudson River Valley played an important role in the development of the iron, textile, and collar and cuff industries in the 19th century;
- The Hudson River Valley is the home of the first women's labor union and secondary school;
- The Hudson River Valley displays resources of the 19th and early 20th centuries, including many National Historic Sites and landmarks; and
- The Hudson River Valley is the home of the well-known American stories such as "Rip Van Winkle" and the "Legend of Sleepy Hollow" that stem from the Dutch and Huguenot settlements of the 17th and 18th centuries.

In 1996, Congress designated the Hudson River Valley National Heritage Area in Title IX of Public Law 104-333, which reinforced and expanded the mission of the Greenway, as amended by Section 324 of Public Law 105-83 (1997). The purpose of the Hudson River Valley National Heritage Area Act of 1996 is to:

- Recognize the importance of the history and the resources of the Hudson River Valley to the nation;
- Assist the State of New York and the communities of the Hudson River Valley in preserving, protecting, and interpreting these resources for the benefit of the nation; and
- Authorize federal financial and technical assistance to serve these purposes.

The heritage area comprises the 10 counties of Albany, Rensselaer, Columbia, Greene, Ulster, Dutchess, Orange, Putnam, Westchester, and Rockland, and the Village of Waterford in Saratoga County. In this document, the term “Coordinating Entity” and the name “Greenway” refer to the Hudson River Valley Greenway Communities Council and the Greenway Conservancy for the Hudson River Valley, Inc. produced the Greenway Management Plan, which presented comprehensive recommendations for the heritage area.

The plan was structured to accomplish the following goals:

**Resource Preservation** – To inspire and educate people through sponsored events, grants programs, trainings and education. To work with communities to help them plan better.

**Heritage and Environmental Education** – To teach the HRV by developing curricula and by helping teachers use resources to teach the curriculum. To provide grants for interpretation of history, ecology, and art.

**Recreation and Public Access** - To develop and promote the use of trails through direct efforts and partnerships. To develop and promote the use of historic sites. To develop and promote access to the Hudson River.

**Economic Development** – To increase tourism through experiential tours, use of trails, and regional events. To provide direct grants for economic development (i.e. community grants for neighborhood revitalization)

**Regional Planning** - To work on regional scale on events, interpretation, economic development, and resource preservation. To work inter-municipally with government agencies to engage local communities to help them plan regionally.

The HRVNHA Management Plan was approved in 2002 and reaffirmed that heritage area will recognize, preserve, protect and interpret the nationally significant cultural and natural resources of the Hudson River Valley.

To date, the activities and programs supported and implemented by the Greenway and the Greenway staff are consistent with the HRVNHA Management Plan. All five areas highlighted in the plans goals are represented in the work they have conducted in the past 15 years. A detailed description of the Greenway's activities and programs and the extent to which they have followed the legislation and the HRVNHA Management Plan are provided in Section 3. Details about the Greenway's staffing and the Greenway Board structure are provided in Section 5.3.



Figure 2.1 The Hudson River National Heritage Area

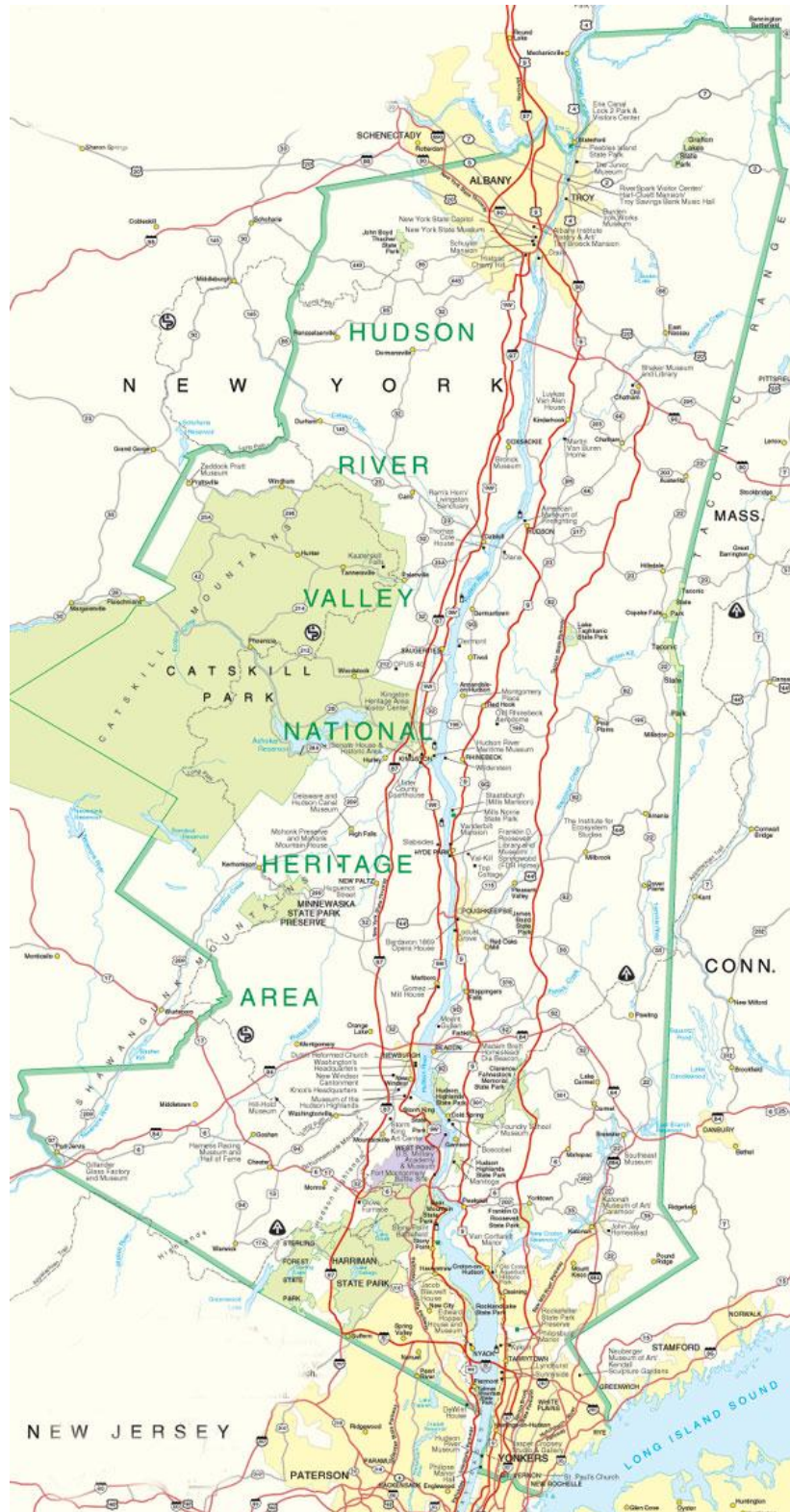


Photo courtesy of: [Hudsonrivervalley.org](http://Hudsonrivervalley.org)



## 2.2 Introduction to the Greenway

### 2.2.1 Greenway's Authorizing Legislation, Mission & Vision

As noted earlier, in 1996 Congress designated the Hudson River Valley National Heritage Area as a National Heritage Area under P.L. 104-333 (see Division II, Title IX) and recognized the Hudson River Valley Greenway Communities Council and the Greenway Conservancy for the Hudson River Valley, Inc. (“Greenway”) as the management entity. This legislation described the purpose of the Hudson River Valley Heritage Area as the following:

“(1) To recognize the importance of the history and the resources of the Hudson River Valley to the Nation; (2) To assist the State of New York and the communities of the Hudson River Valley in preserving, protecting, and interpreting these resources for the benefit of the Nation; and (3) To authorize Federal financial and technical assistance to serve these purposes.”

Title IX authorized the Secretary to appropriate up to \$300,000 for compacts and management plan, up to \$250,000 annually for each management entity or \$500,000 per year for operations, and additionally not more than ten million dollars over the course of the cooperative agreement implementation. In 1997, Section 909 b was amended through P.L. 105-83 and the annual cap of \$50,000 for technical assistance was dropped. In 2008, Congress increased the funding cap for each of the 1996 NHAs to \$15 million (P.L. 110-229 Title IV Section 461.) Federal funding has been approved for the Greenway until it reaches its sunset date on September 30, 2012. The authorizing legislation includes a “50% Match Requirement” that stipulates that the NPS Federal Assistance Funds (NPSFAF) provided to the Greenway cannot exceed 50 percent of the total funding it receives and must be matched by other non-Federal funding. This requirement is intended to encourage the NHA to seek funding from other sources that can support its mission, including the local community.

### ***HRVNHA Management Plan***

The managing entities of the heritage area submitted the Management Plan for approval by the Secretary. The authorizing legislation dictated that the resulting plan should, “...take into consideration existing State, county, and local plans and involve residents, public agencies, and private organizations working in the heritage area. It shall include actions to be undertaken by units of government and private organizations to protect the resources of the heritage area.” As a result, the HRVNHA Management Plan was structured according to the goals and objectives that had been specified in the 1996 legislation. In order to receive the Secretary’s approval, the HRVNHA Management Plan needed to include the following criteria:

- (1) An inventory of the resources contained in the heritage area, including a list of any property in the heritage area that is related to the themes of the heritage area and that should be preserved, restored, managed, developed, or maintained because of its natural, cultural, historic, recreational, or scenic significance;
- (2) A recommendation of policies for resource management which considers and details application of appropriate land and water management techniques, including but not limited to, the development of intergovernmental cooperative agreements to protect the heritage area's historical, cultural, recreational, and natural resources in a manner consistent with supporting appropriate and compatible economic viability;
- (3) A program for implementation of the management plan by the management entity, including plans for restoration and construction, and specific commitments of the identified partners for the first five years of operation;
- (4) An analysis of ways in which local, state, and federal programs may best be coordinated to promote the purposes of the title; and
- (5) An interpretation plan for the heritage area.

### ***Greenway Mission and Vision for the HRVNHA***

In 1991 the Hudson River Valley Greenway Act established the Hudson River Valley Greenway as “an innovative, state-sponsored program created to facilitate the development of a regional strategy for preserving scenic, natural, historic, cultural and recreational resources while encouraging compatible economic development and maintaining the tradition of home rule for land use decision-making.” The Greenway Act of 1991 created two organizations within the executive department of New York State, the Hudson River Valley Greenway Communities Council and the Greenway Conservancy for the Hudson River Valley, Inc. Together, these organizations form what is commonly referred to as “the Greenway” whose mission is “to continue and advance the state’s commitment to the preservation, enhancement and development of the world-renowned scenic, natural, historic, cultural and recreational resources of the Hudson River Valley while continuing to emphasize economic development activities and remaining consistent with the tradition of municipal home rule.” This mission was reinforced with the designation of the Hudson River Valley as an NHA and remains the impetus behind the Greenway’s activities to this day.

The Greenway Act of 1991 describes various responsibilities of the Greenway that support a vision for the Hudson River Valley to serve as a scenic, natural, and cultural resource that encourages responsible economic development. From the time of its origin in the late 1991, the Greenway has worked to educate the public about the Hudson River Valley’s history, and has invited public investment to contribute to the

sustainability of the historic and natural resources. The Greenway program logic model presented in the next chapter (Figure 3.1) shows the links between the federal legislation, the HRVNHA Management Plan, and the Greenway's intended and actualized goals.

Under the guidance of the Greenway, sites in the heritage area are organized according to three interpretive themes, as described in Table 2.1. Each theme draws attention to different features of the area's heritage. Taken together the themes are a basis for a series of heritage area trails linking heritage sites, communities, and public and private partners.

**Table 2.1      HRVNHA Themes**

Theme	Description
Freedom and Dignity	Examines the history of the HRV during Revolutionary War, abolitionist and other important movements, and the presidency of Franklin Delano Roosevelt
Nature and Culture	Examines the Hudson River's landscape and the artists, architects, and writers inspired by it
Corridor of Commerce	Recognizes the role of the Hudson River in the development of the iron, textile, and collar and cuff industries in the 19th century

Table 2.2 provides a crosswalk between the purposes for the Greenway as specified in the authorizing legislation and the goals established for the HRVNHA as stated in the current management plan. The table also describes Greenway/HRVNHA programs and activities that correspond to these purposes and goals.

**Table 2.2 Crosswalk of Heritage Area Purposes, Goals, and Current Activities**

Purposes as Specified in Legislation	HRVNHA Management Plan Goals	Current HRVNHA Goals/Activities
To recognize the importance of the history and the resources of the Hudson River Valley to the Nation	<p><u>Resource Preservation</u> – To inspire and educate people through sponsored events, grants programs, trainings and education. To work with communities to help them plan better.</p> <p><u>Heritage and Environmental Education</u> – To teach the HRV by developing curricula and by helping teachers use resources to teach the curriculum. To provide grants for interpretation of history, ecology, and art.</p>	<p>Resource Preservation</p> <p>Education and Interpretation</p>
To assist the State of New York and the communities of the Hudson River Valley in preserving, protecting, and interpreting these resources for the benefit of the Nation.	<p><u>Recreation and Public Access</u>- To develop and promote the use of trails through direct efforts and partnerships. To develop and promote the use of historic sites. To develop and promote access to the Hudson River.</p>	<p>Resource Preservation</p> <p>Education and Interpretation</p> <p>Recreational Usage</p> <p>Marketing and Outreach</p>
To authorize federal financial and technical assistance to serve these purpose.	<p><u>Economic Development</u> – To increase tourism through experiential tours, use of trails, and regional events. To provide direct grants for economic development (i.e. community grants for neighborhood revitalization)</p> <p><u>Regional Planning</u> - To work on regional scale on events, interpretation, economic development, and resource preservation. To work inter-municipally with government agencies to engage local communities to help them plan regionally.</p>	<p>Economic Development</p> <p>Regional Planning and Community Impact</p>

## 2.2.2 Coordinating Entity Structure and Organization

### *Hudson River Valley Greenway*

As designated in the National Heritage Area legislation, the coordinating entities for the HRVNHA are the Hudson River Valley Greenway Communities Council and the Greenway Conservancy of the Hudson

River Valley, Inc. (a public benefit corporation). Together these organizations form what is commonly referred to as “the Greenway.” Both agencies were established by the State of New York as part of the Hudson River Greenway Act of 1991. The Greenway Communities Council (the “Greenway Council”) functions like a state agency and was established to coordinate with local and county governments on enhancing local land use planning and creating a voluntary regional planning compact for the Hudson River Valley. The Board of Directors for the Greenway Council consists of two appointments by the Governor of New York and 27 voting members. The Greenway Conservancy of the Hudson River Valley, Inc. (the “Greenway Conservancy”) is a public benefit corporation that works with local and county governments, regional, local, private and public organizations, and individuals to coordinate efforts to establish a Hudson River Valley Trail system, promote the Hudson River Valley as a single tourism destination area, assist in the preservation of agriculture, and strengthen state agency cooperation with local governments. The Board of Directors for the Greenway Conservancy consists of three appointments (including the Chair) by the Governor, 17 voting members, and nine non-voting members. The Greenway Council and Greenway Conservancy have a five-member “advisory board” which was created administratively and includes various partners and collaborators who are not or cannot be official board members. HRVNHA business is conducted during quarterly joint sessions of both boards.

The Greenway Heritage Conservancy, HRV, Inc. is a 501(c) 3 non-profit organization that predated the Greenway and was known as the “Heritage Task Force for the Hudson River Valley.” It was reestablished as the Greenway Heritage Conservancy HRV, Inc. as a subsidiary to the public benefit corporation by the Greenway Act of 1991. The Greenway Heritage Conservancy, HRV, Inc. serves as the financial conduit for the Greenway. The board for the non-profit and for the Greenway Conservancy consists of the same individuals; however, each organization has separate bylaws.

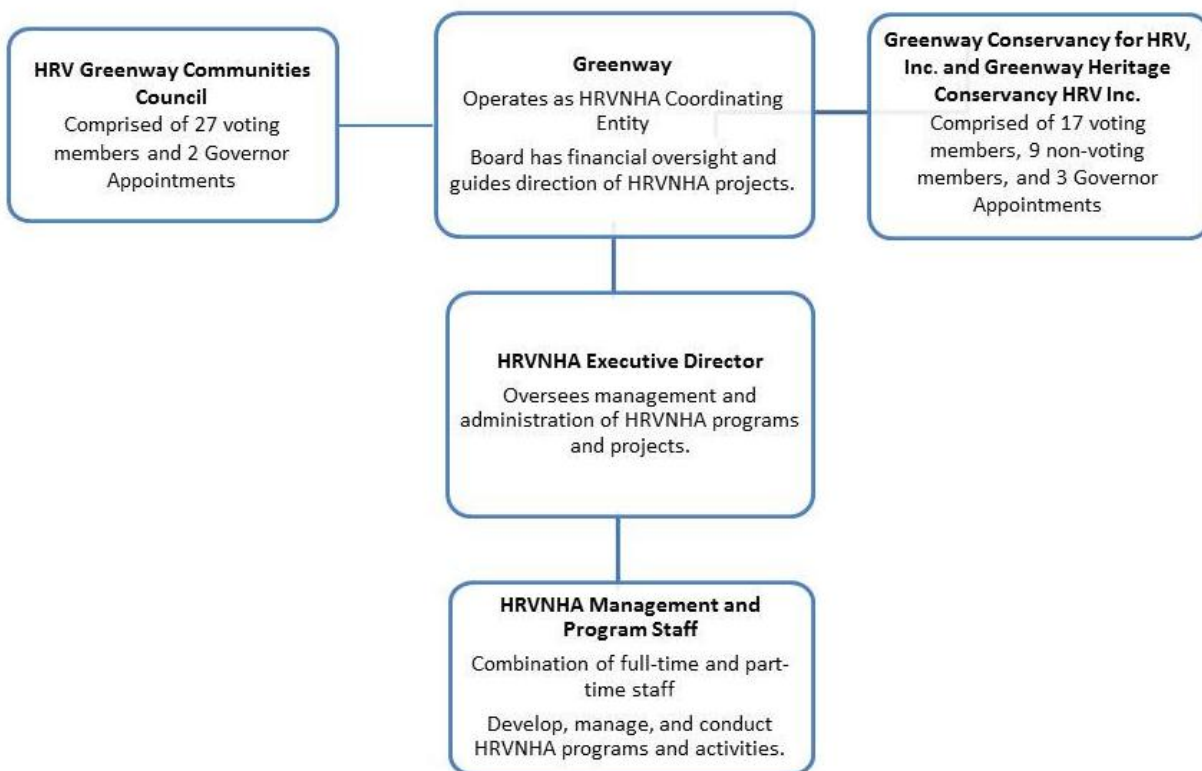
Section 904 of the heritage area legislation established the Heritage Area Committee. The 21 members comprising this management committee are appointed by the Co-Chairs of the Greenway Council and Greenway Conservancy. They may include representatives from each congressional district within the heritage area, a representative of each state agency member of the Greenway, and four representatives each from the Greenway Council and Greenway Conservancy. All initiatives and programs of the Greenway are reviewed by members of the Heritage Area Management Committee.

### ***Greenway and HRVNHA Staff***

Staff of the HRVNHA coordinating entity includes employees of the Council who are New York State Employees and employees of the Greenway Conservancy. Until 2004, the HRVNHA operated with Co-

Directors as outlined in the Management Plan, one Director from the Greenway Council and one from the Greenway Conservancy. From about 2001-2005, the Greenway operated with about 13-14 staff. Since 2008, the Greenway has been operating under a hiring freeze and has not been able to replace staff who leave. The HRVNHA currently operates with the following staff: the Acting Executive Director, the Trails and Special Projects Director, the Trails Coordinator, the Assistant Ramble Coordinator, and two Administrative Assistants. The Greenway/HRVNHA has been without an Executive Director since 2008, when the current Acting Executive Director was appointed to his position. Initially, the Acting Executive Director position was intended to be temporary. However, due to potential budget cuts at the state level, the acting position lasted longer than intended. The Board technically has the power to hire a director but preferred to not do so without the blessing of the Governor's office since a new director would be an appointee of the Governor to be a New York State employee. In January 2012, the Board passed a resolution recommending the current Acting Executive Director to the Governor's office as permanent director. Figure 2.1 shows an organization chart for the Greenway/Greenway.

**Figure 2.2 Organizational Chart for HRVNHA and the Greenway**



## 2.3 Greenway Partner Relationships

As described in Section 1.3, most of the relationships that the Greenway and HRVNHA staff have developed within the region are with “stakeholder” organizations and partners. These represent entities such as local and regional tourism boards, city and county chief elected officials and administrations, and historic and other preservation societies, each of which is affected to some degree by NHA-sponsored programs and activities. The major categories of stakeholders and collaborators are described below.

The Greenway’s support partners consist of federal agencies, New York State Agencies, 100 designated Heritage Sites, local government, foundations, not-for-profit organizations, and regional and local not-for-profit organizations. These public and private partners work together with the heritage area to direct resources toward the conservation, interpretation, management, and development of the NHA. The contributions of the partners and stakeholders to the Greenway/HRVNHA and its accomplishments are described more fully in Section 3.2. The importance of their contributions to the NHA’s sustainability is discussed in Section 5.

### 2.3.1 National Park Service

Another primary partnership is with the National Park Service (NPS), National Heritage Areas Programs Office. As specified in the legislations, Section 908 (a) (1) (a&b), the NPS will “upon request of the Management Entities provide technical and financial assistance to the heritage area to develop and implement the Management Plan.” As a result, NPS has been a resource for technical assistance and financial assistance for the Heritage Area. NPS members serve on NHA Management Committee and other ad hoc committees.

### 2.3.2 Other Partners

#### ***New York State Office of Parks, Recreation and Historic Preservation (OPRHP)***

OPRHP manages thousands of acres of park land and many of the heritage sites, such as Clermont, Olana, and Schuyler Mansion, within the NHA. With the purpose of developing and preserving Heritage Area Trails, OPRHP provides statewide grants that aid in local acquisitions, historic preservation, agricultural resource protection, and other historic and cultural projects.

## ***Federal Agencies***

Other federal agencies serve as secondary partners to the Greenway. Active federal entities, such as the United States Military Academy at West Point, work to help implement the management plan by directing its existing resources to activities that preserve the history, resources, and culture of the Heritage Area.

## ***New York State Agencies***

The Greenway has partnerships with many of New York State's agencies, programs, and initiatives. For example, representatives from seven New York State agencies are included on the boards of the Council and Conservancy. Those agencies are the New York State Department of Transportation, New York State Department of Environmental Conservation, New York State Office of General Services, Empire State Development Corp, and New York State Agriculture and Markets. In addition, the Greenway works closely with New York States Heritage Program in coordinating the development and administration of many of the Heritage Area trails. The Greenway also has a partnership with the New York Department of Environmental Conservation's Hudson River Estuary Program that provides technical and financial assistance to many of the Greenway's programs and events.

## ***Local Governments***

Many of the Greenway's activities are directed at the local level and require partnering with municipal jurisdictions. Local governments contribute regional planning and the development of compacts. For example, the Town and Village of Red Hook has a strong relationship with Greenway. It works with the Greenway/HRVNHA to promote events like Ramble and Heritage Weekend, attends board meetings, and sits on committees. It also has been the recipient of Greenway grants. The Town and Village of Red Hook are also part of the Dutchess County Compact, as discussed in section 3.2.

## ***Foundations, Not-for-Profits, and Regional Organizations***

The Greenway/HRVNHA has collaborative relationships with a number of foundations, private not-for-profits, and regional organizations. Through philanthropic services and funds, these groups serve as key partners in the promotion of local and regional planning, preservation of open space through land or farmland trusts, development of interpretative and educational resources, and conservation of natural and cultural resources. The Greenway works closely with organizations like Scenic Hudson, one of the early advocate organizations that helped create the HRVNHA. Scenic Hudson sees itself as a parent



organization whose mission is very complementary to the Greenway. It works very closely with Greenway/HRVNHA in convening grassroots stakeholders, local officials, and state and federal agencies for the exchange of ideas and opportunities.

### ***Business Development Partners***

The Greenway partners with various organizations to create new business opportunities through the development of trails, the renovation of historic properties, and the marketing of sponsored events. As such, business development partners are critical to the continued growth and expansion of the heritage area. A key partner in this area is Hudson Valley Tourism/I Love New York Tourism. This organization has become a partner of the Greenway, coordinating activities and conducting joint programming that promote tourism in the area.

### ***The Public***

One of the key stakeholders for the Greenway is the public at large. Both the Board and the staff view the public as being the “owner” of the Hudson River and its properties and therefore the major stakeholder of their efforts. The planning process for the Management Plan included a central focus in obtaining public input. In addition, as programs and activities have been put into place, such as Hudson River Valley Ramble and the Great Hudson River Paddle, the Greenway has looked to the community to participate in these efforts.

## Section 3: Greenway Fulfillment of the Authorizing Legislation and Management Plan

### 3.1 Authorizing Legislation and Management Plan Objectives

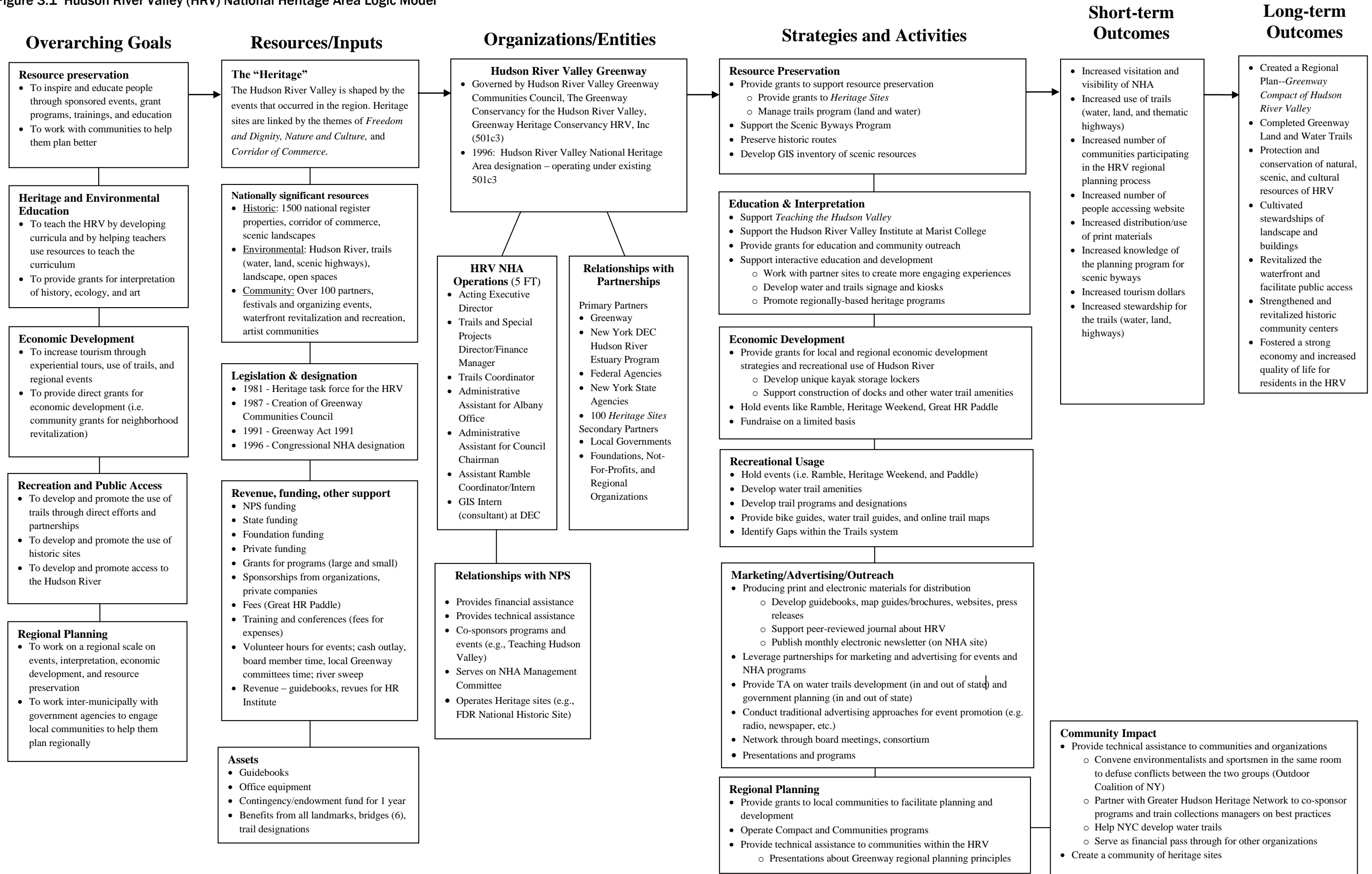
The authorizing legislation prescribed that the Greenway develop a management plan for the heritage area that presents comprehensive recommendations for the heritage area's conservation, funding, management and development that take into consideration existing state, county, and local plans and involve residents, public agencies, and private organizations working in the heritage area. Recognizing that "heritage" means the primacy of history in developing the region, the HRVNHA Management Plan outlines three themes that frame the heritage area, its system of Heritage Area Trails, and the development of heritage sites and programs. The themes are *Freedom and Dignity*, *Nature and Culture*, and *Corridor of Commerce*. Within each of these themes, the efforts of the Greenway are focused on six program strategies. As described in Section 3.2, Greenway management staff provided an updated classification of the Greenway's current programs and activities during a logic modeling session that was conducted with the evaluators in January 2012. The logic model, provided in Figure 3.1, outlines the six program strategies or areas in which the current activities fall. As displayed in Table 2.1, these strategy areas correspond to the original three objectives and the role of the Greenway in community planning.

The six strategy areas include:

- Resource Preservation;
- Education and Interpretation;
- Economic Development;
- Recreational Usage;
- Marketing and Outreach; and
- Regional Planning and Community Impact.

Section 3.2 describes the progress made in each of these six program areas and an assessment of their outcomes outlined in the logic model.

Figure 3.1 Hudson River Valley (HRV) National Heritage Area Logic Model



**Community Impact**

- Provide technical assistance to communities and organizations
  - Convene environmentalists and sportsmen in the same room to defuse conflicts between the two groups (Outdoor Coalition of NY)
  - Partner with Greater Hudson Heritage Network to co-sponsor programs and train collections managers on best practices
  - Help NYC develop water trails
  - Serve as financial pass through for other organizations
- Create a community of heritage sites

## 3.2 Greenway/HRVNHA Program Strategies

### 3.2.1 Resource Preservation Strategy

This strategy area relates to the first two legislative mandates described in Table 2.1: “To recognize the importance of the history and the resources of the Hudson River Valley to the Nation” and “to assist the State of New York and the communities of the Hudson River Valley in preserving, protecting, and interpreting these resources for the benefit of the Nation.” Activities that fall under the umbrella of Resource Preservation for the Greenway/HRVNHA are intended to inspire and educate people to preserve the historical and ecological resources through sponsored events, grant programs, trainings, and education. The Greenway also works with communities to help them plan better.

- The key Greenway/HRVNHA activities within resource preservation include:
- Providing grants to support resource preservation;
- Supporting the Scenic Byways Program;
- Preserving historic routes; and
- Developing a GIS inventory of scenic resources.

#### ***Description of Resource Preservation Activities***

##### **Providing Grants to Support Resource Preservation**

Since 1996, the HRVNHA and its management entity, the Greenway, have been involved in a number of activities intended to preserve and maintain the history and ecology of the Hudson River Valley landscape and its adjacent communities. These have included two grant programs, including Greenway Council Grants and Greenway Conservancy Grants.

##### ***Greenway Council Grants***

Greenway Council Grants are awarded to municipalities undertaking a variety of initiatives focused on heritage preservation and tourism, planning, and community development. Between 1996 and 2010 the Greenway awarded between 3 and 32 Greenway Council Grants annually.

**Table 3.1      Number and Amount of Greenway Council Grants Awarded, 1996-2010**

Year	Number of Grants	Amount Awarded
2010	15	\$150,005
2009	14	\$148,750
2008	25	\$219,868
2007	8	\$52,500
2006	29	\$218,600
2005	22	\$214,541
2004	22	\$200,790
2003	19	\$219,723
2002	32	\$314,751
2001	14	\$208,144
2000	6	\$89,191
1999	6	\$55,054
1998	11	\$138,000
1997	5	\$71,127
1996	3	\$54,380

#### ***Greenway Conservancy Grants***

Greenway Conservancy Grants are awarded for projects focusing on heritage trail development, heritage education, and cultural resource enhancement. Between 1997 and 2011 the Greenway awarded between 3 and 51 Greenway Conservancy Grants. Most of these grants ranged from \$2,000 to \$6,000 and were awarded for projects focused on repairing trails or installing signage and amenities such as benches. For example, in 2010 the Open Space Institute was awarded a grant of \$5,900 for the rehabilitation of 2,800 foot portion of the Old Champlain Canal Towpath. Occasionally, the Greenway awards Greenway Conservancy Grants for larger projects, such as planning and feasibility projects. In 2009, for example, the Greenway awarded a Greenway Conservancy Grant to the Southern Ulster Alliance and Town of New Paltz for \$17,750 to design a connection trail to join two existing designated Greenway trails, the Hudson Valley Rail Trail and the Wallkill Valley Rail Trail.

**Table 3.2      Number and amount of Greenway Conservancy Grants Awarded, 1997-2011**

Year	Number of Grants	Amount Awarded
2011	10	\$66,150
2010	6	\$38,850
2009	10	\$95,000
2008	13	\$59,000
2007	13	\$65,000
2006	21	\$150,000
2005	20	\$134,973
2004	6	\$43,320
2003	14	\$83,512
2002	3	\$12,722
2001	12	\$98,978
2000	19	\$120,257
1999	7	\$43,515
1998	9	\$52,929
1997	51	\$155,195

Table 3.3 lists the Greenway Conservancy grants the Greenway awarded in 2008 to provide an example of the types of projects it funded.

**Table 3.3 Greenway Conservancy Grants Awarded in 2008**

Amount	Grantee	Activity
\$8,000	Town/Village of Wappinger	Extension of the Wappinger Greenway Trail an additional 5 miles to connect existing trails and heritage sites in the Town of Fishkill and to create another Greenway Water Trail access point at Chelsea water front.
\$2,000	City of Newburgh	The development of a coloring book featuring native estuarine species by the Quassaick Creek Coalition and the City of Newburgh.
\$5,500	New York Forest Owners Association, Inc.	Construction of up to eight 2-sided kiosks at Hudson River Birding Trail sites including the development of a site list and interpretive materials, including a brochure, bird list, and kiosk panels.
\$5,000	Town of Philipstown	Building upon the results of the Hudson/Fjord Bike/Hike Trail Capital Improvements Feasibility Study, the development of the feasibility and costs associated with an off-road alternative proposed as a result of the initial study.
\$10,000	Town of East Greenbush	The selection and hiring of a consultant to prepare feasibility study of transforming an abandoned rail line into a recreational trail.
\$5,000	Town of Halfmoon	Construction of trailhead parking for approximately 10 cars on the Historic Champlain Canal Trail.
\$5,000	Town of Shandaken	Creation the Pine Hill Recreation Trail to link two state recreation facilities (Belleayre Ski Center and NYSDEC's Pine Hill Lake Day Use Area).
\$5,000	Mohonk Preserve, Inc.	Development of a plan for the best strategies to connect land in the Mohonk Preserve with the Wallkill Valley Rail Trail, the O&W Rail Corridor, and D&H Canal Trail in ways that are consistent with the Preserve's Land Management Plan.
\$2,500	Town of Cortlandt	Design of a trails booklet highlighting the Town's trails, including the Town of Cortlandt Shoreline trail, a designated section of Greenway trail.
\$2,500	Hudson Highlands Nature Museum	Development of a plan for regular trail maintenance and improved accessibility of the trails, purchase a mower for maintenance, and implementation of a "pilot year" of program operation.
\$1,000	Hudson Highlands Land Trust	Creation of a trail map/brochure and additional outreach materials, including a Highlands Adventure Passport, for the Take-A-Hike! Program.
\$5,000	Town of Rochester	Purchase and installation of way-finding signs, creation of a rail trail map and photos on the town website, and a feasibility study of linkage of existing trails with proposed new sections.
\$2,500	Town of Lewisboro, Conservation Advisory Council	Construction of a bridge on the Old Field Preserve Trail, a Town-owned hiking and horseback-riding trail to improve safety for both hikers and horses and to prevent damage to soil resources along the banks of the stream.

## **Supporting the Scenic Byways Program**

A scenic byway is a road corridor that is “of regionally outstanding scenic, natural, cultural, historic or archaeological significance”. These corridors are intended to offer alternative travel routes to major highways, while also telling a story about New York State’s heritage, recreational activities, or scenery. A scenic byway corridor is actively managed by a community or municipality to protect its character and to encourage economic development through tourism and recreation. The scenic byways program is a national program operated by the Department of Transportation; however, scenic byways require local nomination for designation by New York State.

The process of identifying and nominating a byway for designation by the state can be time-consuming and complicated. In order to facilitate this process for municipalities within the heritage area, the Greenway Scenic Byways Program collaborated with the State University of New York at Albany's Planning and GIS program, to develop a report for planning a scenic byway in New York State, with an accompanying website. This program began in 2000 with a series of grant from the New York State Department of Transportation. In 2010, the Greenway provided the report, "Building Your Byway from the Ground Up: A Guide Book for New York State Scenic Byway Planning," and technical assistance to communities that wanted assistance with scenic byway planning.

## **Preservation of Historic Routes**

The Greenway has worked on the planning and development of a four historic routes in the region. They coordinate efforts of partner organizations and volunteers and secure funding for these projects. These routes include the Albany-Hudson Electric Trail, the Champlain Canalway Trail, the Henry Know Cannon Trail, and the Washington-Rochambeau Revolutionary Route.

### ***Albany-Hudson Electric Trail***

The Greenway provided funding for a 2003 feasibility study for a series of trails in the town of Kinderhook. The study led to the town receiving a NYS Department of Transportation (DOT) Enhancement Program trail construction grant for \$552,000 for a portion of the trail. Much of the trail lies on the abandoned Albany-Hudson Electric Trail, now a National Grid right-of-way<sup>3</sup>, and stretches into both Rensselaer and Columbia counties. The Greenway awarded a grant of \$6,808 for a Rensselaer Trail Vision Plan that outlines the areas of greatest potential for trail development throughout Rensselaer County. This plan provided a conduit for communities in Rensselaer and Columbia counties to work

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<sup>3</sup> A National Grid right-of-way is a corridor of vegetation that must be carefully maintained to provide safe and reliable electricity and to prevent costly power outages. Maintenance consists of employing various techniques, such as planting small growth vegetation that prevents tree growth and limited use of herbicides, to limit tall tree growth.



together from opposite ends of the trail to plan and construct segments of the Albany-Hudson Electric Trail. The Greenway also funded a feasibility study for the Town of East Greenbush to survey its portion of the trail, in conjunction with the Town and Village of Nassau. This trail system has the potential to connect East Greenbush to the town of Stockport in Columbia County and beyond to the Harlem Valley Rail Trail, as well as to existing and potential trails in the City of Rensselaer and City of Troy. Greenway grants provided \$9,905 of funding for a feasibility study for trail segments through the Towns of Stockport, Stuyvesant and Kinderhook, which is currently ongoing. The Kinderhook, Stockport and Stuyvesant trail could provide a link to Lindenwald, the Martin Van Buren National Historic Site, representatives of which are participating in the feasibility study process. The Greenway has provided \$26,713 worth of funding for this project to date. The trail development is still ongoing, however; as the various municipalities are working on getting capital funds to complete the project.

### ***Champlain Canalway Trail Working Group***

The Champlain Canalway Trail Working Group is a volunteer, ad hoc partnership that includes local and regional canal and trail groups, public agencies, and park and preservation organizations. In 2011, the Greenway worked with this group to create an Action Plan that outlined a plan for the Champlain Canalway Trail corridor. Using a \$200,000 grant from the New York Scenic Byways Program, the Greenway has assisted several communities in implementing part of this plan. Waterford, Halfmoon, Stillwater, Saratoga, Schuylerville, Northumberland, Fort Ann, and Whitehall each have sections of trail in place. Whitehall, Fort Edward, the Saratoga battlefield and others are home to historic sites, parks and other attractions along the way. This plan will help unify these various municipalities within a single vision.

### ***The Henry Knox Cannon Trail***

The Henry Knox Cannon Trail traces the route followed by Colonel Henry Knox and his men from December 1775 to January 1776 to transport 59 captured artillery pieces from Fort Ticonderoga and Crown Point on Lake Champlain to Dorchester Heights overlooking Boston. The Henry Knox Cannon Trail extends 300 miles and is the oldest heritage trail in the northeast. It has been described by the US Department of the Interior as, “A National Historic Trail that has been ‘abandoned.’”

In 2008, the Greenway, working with NPS, completed Phase 1 of a project to conserve and restore the New York State Knox Cannon Trail monuments in 2008. Phase 2 of this initiative, which will begin when additional funds have been obtained, will include the replacement of “missing” markers within New York State.

### ***The Washington-Rochambeau Revolutionary Route***

In 2006, the Greenway received an NYS DOT grant for \$240,000<sup>4</sup> to enhance education and heritage tourism opportunities for the Washington-Rochambeau Revolutionary Route. These included developing and installing directional signs and interpretive wayside exhibits that would interpret significant resources along the route. To assist with promotion of the route, the Greenway has enhanced the *Revolutionary War in the Hudson River Valley* map/guide to promote the trail.

### **Developing a GIS Inventory of Scenic Resources**

The Greenway has recently contracted with an intern from SUNY, Albany to update existing GIS datasets to create a complete inventory of the landscape in the NHA. This inventory will include open land protected by federal, state, municipal, and not-for-profit entities; Greenway Trails (land and water); fish and wildlife habitats; Hudson River access points; designated scenic areas and scenic byways. Upon completion (expected in 2012), the system will include a searchable database of these features.

### **Other Resource Preservation Activities**

Other Greenway resource preservation activities include the on-going support for past Save America's Treasure recipient, City of Newburgh, for their work on the Dutch Reform Church, a designated Greenway Heritage Site. The Newburgh Dutch Reform Church is in the process of being stabilized and future public meetings will be convened to determine public use of the site once renovations are complete. The Church is identified in the Greenway *Architectural Traditions in the Hudson River Valley* guidebook (released in 2006) due to its architectural significance.

### **Resource Preservation Outcomes**

We examined the following outcomes for the resource preservation activities:

- Preservation and restoration of historic properties;
- Preservation and restoration of trails; and
- Increased stewardship for the heritage resources.

### **Preservation and Restoration of Historic Properties**

As noted in Section 1, the evaluators obtained evidence of the Greenway's efforts to preserve and restore the historic properties through a tour of the NHA, reviews of documents, and interviews with key

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<sup>4</sup> Although the grant was awarded in 2006, the money was not transferred from DOT to NPS until 2010. Much of this work is still currently underway.

informants, and intercept interviews with members of the broader community. Between 1996 and 2010, the Greenway awarded \$789,723 of Greenway Council Grants to partner organizations for the preservation and interpretation of historic properties, such as the re-building of the entrance porch and stairs of the Van Wyck Homestead Museum, a 1732 farmhouse that served as officers' headquarters for the Continental Army during the American Revolution. Although we do not have a comprehensive list of the properties these grants were used to restore, the partner organizations leveraged an additional \$4,527,839 during this time period. Interviews with partner organizations indicated that, although Greenway grants often only comprised a small portion of the overall costs of planned preservation and restoration activities, receipt of such grants gives credibility to the projects and enables them to leverage larger amounts of money.

### **Preservation and Restoration of Trail Systems**

When the HRVNHSA received federal designation in 1996, there were 275 miles of Greenway trails. Between 1998 and 2006, an additional 149.1 miles of trails were preserved and restored. Between 2006 and 2010 the Greenway awarded \$407,850 of Greenway Conservancy Grants to preserve and restore the trail systems along the Hudson River and in the surrounding area. The grantees leveraged an additional \$2,378,640 during this time period. These grants added between 7.3 miles and 25.7 miles of usable trail each year to the existing designated trail systems throughout the Greenway. As of 2011, the Greenway had a total of 487.62 miles of designated trails. It was noted, during interviews with grantees, that the Greenway has been a reliable funding source for planning activities, whereas other sources of funding available for the preservation of ecological resources often prohibit using the funds to develop feasibility plans.

**Table 3.4      Number of Miles of Designated Trails added to the Greenway, 2006-2011**

Year	Miles of Trails
2011	24.4
2010	9.2
2009	7.3
2008	12.6
2007	25.7
2006	9.6

### **Increased Stewardship for the Heritage Resources**

One of the resource preservation goals of the Greenway is to increase public stewardship for the resources of the heritage area, including both the historic properties and the trails. One measure of this stewardship is the number of volunteer hours dedicated to heritage area programs and events. When partner organizations register for the annual Hudson Valley Ramble or Heritage Weekends, described below, the Greenway asks them to estimate the number of volunteer hours that will be spent on their participation. Each year between 2006 and 2010, the Greenway reports that approximately 95,000 volunteer hours are spent on heritage area events. No data on volunteer hours prior to 2006 are available.

### **3.2.2 Education and Interpretation**

Consistent with the legislative mandate “to assist the State of New York and the communities of the Hudson River Valley in preserving protecting and interpreting these resources for the benefit of the Nation”, the HRVNHA has engaged in a number of education and interpretation activities. These are intended to “teach” the Hudson River Valley by developing curricula focused on the resources available in the area and by helping teachers access these resources to teach the curriculum. The HRVNHA also aims to provide educational information about the heritage area resources to the public.

- The key HRVNHA activities within education and interpretation include:
- Supporting Teaching the Hudson Valley;
- Supporting the Hudson River Valley Institute at Marist College;
- Providing grants that support education and interpretation activities; and
- Supporting interactive education and development.

#### ***Description of Education and Interpretation Activities***

##### **Supporting Teaching the Hudson Valley**

Beginning in 2003, in partnership with NPS, Roosevelt-Vanderbilt National Historic Sites, Hudson River Valley Institute at Marist College, and New York State Department of Environmental Conservation’s Hudson River Estuary Program, the Greenway sponsors the “Teaching the Hudson Valley” educational initiative.

Under this initiative, “Explore Awards” are given to schools and teachers in the Hudson Valley to develop place-based curriculum. The grants provided under this initiative enable teachers and educators to prepare for site visits to heritage sites throughout the Hudson River Valley and to provide the financial

resources for transportation and admission for their students to these sites. Between 2003 and 2011, the HRVNHA awarded between 4 and 25 grants to schools, ranging from \$250 to \$5,000.

**Table 3.5      Number and Amount of Teaching the Hudson Valley “Explore” Grants Awarded, 2003-2010**

Year	Number of Grants	Amount Awarded
2011	25	\$16,913
2010	16	\$28,545
2009	15	\$27,026
2008	7	\$59,500
2007	7	\$46,260
2006	8	\$62,150
2005	4	\$28,600
2004	7	\$50,500
2003	4	\$39,840

In addition to the grants, the HRVNHA sponsored a three day Institute each year between 2003 and 2011 at the Henry A. Wallace Education Center on the grounds of the FDR Presidential Library and Museum and the Home of FDR National Historic Site in Hyde Park. Teachers and curriculum staff met with members of the public as well as representatives from various historic organizations and agencies to learn how to implement place-based education. Professionals, including regional historians, geographers, and scientists, provide resources and tools to help teachers best plan for site visits and develop related curriculum. Major themes of the HRVNHA such as American Revolution, Architecture, Natural Landscapes, Industry & Commerce, and Parks & Environment are incorporated into the curriculum they develop.

In November 2008, the HRVNHA launched a website for Teaching the Hudson Valley at [www.TeachingTheHudsonValley.org](http://www.TeachingTheHudsonValley.org). The website features a library of over 250 place-based Hudson Valley lesson plans and activities. In addition to the lesson plans already online, users can post new lesson plans or activities, search by grade and subject, and use an interactive map to look for plans at nearby sites of interest.

### **Supporting the Hudson River Valley Institute at Marist College**

The Hudson River Valley Institute at Marist College was established in 1999 to serve as the academic arm of the HRVNHA and to fulfill the role identified in the Greenway Management Plan as the virtual campus for the region. The Institute has nine partners and has developed a fundraising capability, develops and maintains a website, and publishes a quarterly review that features scholarly articles on the history of the Hudson River Valley. The website for the Institute ([www.hudsonrivervalley.org](http://www.hudsonrivervalley.org)) serves as

a digital library for public use, containing an archive of approximately 20,000 pages of historical, cultural and environmental records pertaining to the Hudson Valley.

### **Providing Grants that Support Education and Interpretation**

The Greenway has provided grants to partner organizations that support education and interpretation activities. These include both Heritage Development Grants, Quadricentennial Implementation Grants, and Greenway Conservancy Grants (discussed above).

#### ***Heritage Development Grants***

The Greenway awarded \$50,000 of Heritage Development Grants in 2010 to 13 projects that interpreted a designated Greenway heritage site, connected multiple heritage sites thematically or geographically, were part of a larger local or regional heritage initiative, and involved partnerships with other heritage sites, municipalities, and organizations. In order to be awarded a Heritage Development Grant, a project had to have a plan for sustainability beyond the period of the grant. An example of Heritage Development Grant projects includes the development of a summer kitchen exhibit at the John Jay Homestead which allowed for the rehabilitation, furnishing, and public display of a historic summer kitchen to highlight the lives of servants and slaves during the early 19<sup>th</sup> century.

#### ***Quadricentennial Implementation Grants***

2009 was the Quadricentennial Anniversary of Hudson and Champlain's voyages along the river and lake that bear their names and the 200th anniversary of Fulton's successful steamboat voyage and establishment of steam commerce on the Hudson River. To honor this anniversary, NPS allocated three rounds of funding (two in 2009 and one in 2010) to the Greenway to provide grants, between \$2,500 to \$5,000 each, for a variety of educational programs and events that celebrated the heritage of the region. This funding was separate from the NPS funding for the heritage area and, as such, did not count against the maximum funding amount. Quadricentennial funds were transmitted by a separate cooperative agreement using separate authorities from the heritage area funding transfers. In 2009, the Greenway awarded a total of \$150,000 to 30 projects, including a grant to the Thomas Cole Historic Site to design and develop Art Booklets and Art Cards that show the historical paintings and drawing of the Hudson River Art Trail and describe the history of the art and artists for hikers on the Art Trail.

## **Supporting Interactive Education and Development**

The HRVNHA engages in a number of other activities that support education in line with their education and interpretation goals. These include developing interpretive materials and platforms, working with partner sites to create more engaging experiences, and promoting regionally-based heritage programs, such as the annual “Patriots Weekend” commemorations. Patriots Weekend occurs over three weekends each spring and commemorates the anniversary of the Revolutionary War. HRVNHA sponsors events include reenactments, lectures by nationally-known figures, and honorary ceremonies that recognize key individuals.

The HRVNHA also uses available electronic resources to support its education and interpretation agenda. As part of the 2006 NYS DOT grant to interpret the Washington-Rochambeau Revolutionary Route, the HRVNHA will be developing an Interactive Information Commons, which included an internet-enabled information system to serve as an archive of all relevant documents, maps, video, audio, timeline, and wayfinding information. The Commons also will include a Sound trails component that allows wireless access to the Commons by cell phone, PDA or other similar device.

## ***Educational and Interpretation Outcomes***

Outcomes examined related to education and interpretation include:

- Increased visitation to the NHA and its partner organizations; and
- Increased awareness, understanding, and appreciation for the Hudson River Valley and its heritage

### **Increased Visitation to the NHA and Awareness of Its Heritage**

Given the size of the heritage area and the number of different heritage sites included within it, the Greenway does not have a mechanism for measuring the number of annual visitors to the heritage area. It has reached out to local and state tourism agencies to try to determine a precise measure of visitation to the area, but those agencies do not systematically capture these data either.

The Greenway does capture visitation information for specific programs and events that it sponsors. The Teaching the Hudson Valley grants have provided funding for 900 to 2,000 students to heritage sites each year between 2006 and 2011 (see Table 3.6). Additionally, the annual three-day Institute for curriculum development included between 140 and 200 educators and historians each year between 2006 and 2011. Additionally, the digital library of the Hudson Valley Institute at Marist College receives approximately 430,000 individual visits annually.

**Table 3.6      Numbers of Students Funded through Explore Awards, 2006-2010**

Year	Number of Students
2011	1,608
2010	1,900
2009	1,725
2008	2,000
2007	900
2006	1,500

### **Increased Awareness, Understanding, and Appreciation of the Heritage**

Of the community intercepts interviews we conducted, all 20 individuals were aware of various heritage sites within the NHA. The most common site mentioned was the FDR Presidential Library and Museum and the Home of FDR National Historic Site in Hyde Park. Other sites commonly mentioned included the Vanderbilt Mansion and the Olana State Historic Site. Of the ten local residents interviewed, nine indicated there were aware of and had used the trails within the NHA. None of the out of town residents indicated use of the trail systems, however; one couple noted that they saw signs for various hiking trails in the region. Despite being aware of the nature and historic resources within the heritage area, none of the individuals interviewed knew what a national heritage area is or that the sites they discussed were part of the HRVNHA. One woman, holding a HRVNHA map guide in her hand, said that she had never heard of the NHA.

### **3.2.3.      Economic Development**

Consistent with the legislative mandate “to authorize federal financial and technical assistance to serve these purpose [of preserving, protecting, and interpreting the resources of the NHA for the benefit of the Nation]”, the activities that fall under the umbrella of Economic Development are intended to support economic development activities of partner organizations, through grants (i.e. community grants for neighborhood revitalization), and to increase tourism through experiential tours, use of trails, and regional events.

These economic development activities include:

- Providing grants for local and regional economic development strategies;
- Holding events that increase tourism within the NHA; and
- Fundraising (on a limited basis).



## ***Description of Economic Development Activities***

### **Providing Grants for Local and Regional Economic Development Strategies**

The Greenway has provided funding through the Greenway Council Grants, Greenway Conservancy Grants, Heritage Development Grants, and Quadricentennial Grants, discussed above, that fosters local and regional economic development. Through these programs the Greenway awards partner organizations and municipalities grants to rehabilitate or preserve a part of the historical or ecological heritage of the NHA with the larger intention of attracting more visitors and increasing organization revenues and the amount of tourism.

One example of the work the NHA has supported and funded involves the Hudson River Maritime Museum, in Kingston, NY. The museum was founded in the mid-1970s by a group of maritime enthusiasts who had memorabilia they wanted to share. Kingston was chosen as the appropriate location because it was the birthplace of the steamboat industry. For 30 years the museum was open six months a year and largely dependent on membership fees, ticket sales, gift shop sales, private donations, and grants. By the mid-1990s the museum was failing economically and the museum's board discussed selling it. As part of a larger economic revitalization plan, they applied for and were awarded a series of Greenway grants to renovate and expand the dock facilities on the museum's river-front property. The newly renovated 400 feet of dock is available to boats of all sizes, ranging from kayaks to cruise ships, making it the only cruise dock available on the Hudson River.

Prior to the Greenway funded renovations and expansions, the docks outside the museum were closed to the public because they were unsafe. Now they are routinely used by both adult and high school rowing clubs, kayakers, small boat proprietors, and cruise ships. In addition to building docks, the museum also installed a set of kayak lockers, a new walkway, and better lighting to facilitate public use of the docking facilities. In 2011, the museum earned \$40,000 from docking fees. These funds help to cover the museum expenses. Additionally, the docks allow cruise ships and other boats to stay overnight in the area increasing visitation to the museum, Hyde Park, the Culinary Institute of America, and other local tourist attractions.

In 1994, the Greenway began working with the Hudson River Water Trail Association to complete a small boat water trail along portions of the lower Hudson River. In 2001, they were awarded a \$1 million grant to create the Hudson River Water Trail. With this money, the Greenway awarded Water Trail Grants to increase use of the Hudson River and surrounding businesses. These grants provided financial and technical assistance to launch and campsite owners for the creation of new launches or campsites; amenities, such as parking, restroom facilities, and shower facilities; kayak storage racks; and on-site

interpretive kiosks, including information about local businesses and cultural attractions, hotels, bed and breakfasts, and campgrounds.

Table 3.7 provides a summary of the Greenway's investments in developing a water trail and water trail amenities from 2001 to 2011.

**Table 3.7 Summary of the Hudson River Greenway Water Trail Program, 2001-2011**

Activity	Amount Invested	Total
<b>Capital Construction</b>		
Water Trail Grants	\$399,389	
Kayak Racks	\$114,946	
Kiosks	\$156,360	
Subtotal		\$670,696
<b>Publications and Website</b>		
Brochures/Maps	\$2,343	
Guide	\$27,791	
Great Hudson Paddle Website	\$12,384	
Subtotal		\$42,518
<b>Wayfinding</b>		
Flags	\$3,494	
Signs	\$2,346	
Subtotal		\$5,839
<b>Total</b>		<b>\$719,015</b>

### **Holding Events that Increase Tourism**

The Greenway also holds multiple events throughout the year to encourage tourism throughout the heritage area. They have held the Hudson Valley Ramble for three days in the fall every year, since 1999, to encourage use of trails and other landscapes through guided hikes. Beginning in 2009, they began holding an annual Heritage Weekend in the spring to encourage visitation to historic properties. Heritage Weekends serve as a kick-off to the tourism season, generating additional tourism dollars during the event but also throughout the summer. Additionally, for ten years they held the Great Hudson River Paddle, a multi-day kayaking event along the Hudson River intended to encourage not only use of the water trails but also use of surrounding restaurants and businesses. Each of these events is discussed in further details below, under Recreational Use.

### **Fundraising on a Limited Basis**

The Greenway participates in a limited number of fundraising activities to lend financial support for its recreational events. For example, prior to each of the annual Heritage Weekends and Hudson River Valley Ramble events the Greenway sends solicitation letters for sponsorship to local corporations and agencies sponsorship. The Hudson River Estuary Program has provided approximately \$5,000 annually to help support the Ramble. The New York State tourism office has provided a \$7,000 advertisement for the Ramble and the State Hudson River Estuary and state office of Parks and Recreation give in-kind services, in the form staff time.

### ***Economic Development Outcomes***

Outcomes examined related to economic development include:

- Increased visitation and visibility of NHA; and
- Increased tourism dollars.

#### **Increased Visitation and Visibility of NHA**

Given the size of the heritage area and the number of different heritage sites included within it, the HRVNHA does not have a mechanism for measuring the annual number of visitors to the NHA<sup>5</sup>. They have reached out to local and state tourism agencies to try to determine a precise measure of visitation to the area, but those agencies do not systematically capture this data either. Therefore, it is difficult to measure the impact of the Greenway's economic development outcomes because there are no data available.

#### **Increased Tourism Dollars**

Similarly, it is difficult to assess the impact of the Greenway's activities on the amount of tourism dollars spent in the area because there is limited data available. It is estimated that tourism in the Hudson River Valley is a \$4.7 billion industry; however, there are no data to precisely capture how much of that results from the events and activities sponsored by the Greenway/HRVNHA.

Of the 20 community intercepts interviews we conducted, more than half of the individuals were from out of state and were spending between one and six days in the area. Some were staying with friends or

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<sup>5</sup> On their annual reports, the HRVNHA estimates that the total number of visitors to the heritage area each year is approximately 4,000,000; however, it is unclear how this number was calculated.

family in the area while others indicated they were staying in hotels. Almost all of the out of state visitors mentioned dining at local area restaurants, including the Culinary Institute of America, or visiting other heritage sites that may have charged for tickets.

#### **4.2.4. Recreational Use**

Providing better access to and more opportunities for recreation has been a main focus of the Greenway since its beginning. This is based on their philosophy that people who enjoy the resources of the heritage area will be inspired to preserve and protect it. The goals of Greenway programming that are related to recreational usage of the Hudson River and its resources are to develop and promote the use of trails through direct efforts and partnerships, to develop and promote the use of historic sites, and to develop and promote access to the Hudson River.

Activities included under this category are:

- Holding recreational events, such as the Hudson River Valley Ramble, Heritage Weekends, and the Great Hudson River Paddle;
- Developing water trails and water trail amenities;
- Developing trail programs and designations; and
- Providing heritage area map/guidebooks, trail guides, and online trail maps.

#### ***Description of Recreational Use Activities***

##### **Holding Recreational Events**

As mentioned above, the Greenway/HRVNHA holds multiple events throughout the year to encourage recreational use and tourism throughout the Heritage Area. These events include the Hudson Valley Ramble, Heritage Weekends, the Great Hudson River Paddle, and others. Including staff time, the Greenway/HRVNHA spends over \$100,000 annually on these various events.

##### ***Hudson River Valley Ramble***

The Greenway/HRVNHA has sponsored the Hudson River Valley Ramble every year from 1999 to present. The Ramble is a three-day event that happens every September in locations across the NHA. It is intended to celebrate the history, culture, and natural resources of Greenway through sponsored hiking,

biking, and paddling events. The first Ramble included 50 events sponsored by partner organizations. In 2010, the Ramble included more than 200 sponsored events throughout the Heritage Area. The Greenway/HRVNHA works with partner organizations to develop appropriate events, such as a guided hike along a trail that highlights the art and artists who were inspired by the landscape. The Greenway/HRVNHA also creates promotional and distribution materials, advertises the events through its website, coordinates other advertising efforts, including drafting press releases for local media outlets, and applies for grants to support the event. Including staff time, the Greenway/HRVNHA spends approximately \$70,000 annually on the Hudson River Valley Ramble.

### ***Heritage Weekend***

Heritage Weekend is an annual spring event that began in 2009 in order to encourage public visitation to the Heritage Area and the NHA's partner organizations. During one weekend in May, Heritage Weekend features special programs, lectures, tours, re-enactments, and discounted admission at heritage and cultural destinations. The event is made possible through partnerships with federal, state and private organizations and hundreds of volunteers at heritage destinations who plan and present Heritage Weekend events. As with the Hudson River Valley Ramble, the Greenway/HRVNHA works with partner organizations to develop appropriate events, creates promotional and distribution materials, advertises the events through its website, coordinates other advertising efforts, and applies for grants to support the event.

### ***Great Hudson River Paddle***

The Great Hudson River Paddle was an annual multi-day kayaking event that is intended to highlight the recreational use of the Hudson River and to help people care about the region and the environment. The event began, during the summer of 2001, as a single 10-day trip for a small group of kayakers. It continued in that format through 2010. In 2011, the format of the Great Hudson River Paddle changed from a single end-to-end trip to a series of many types of partner run paddles. The new format, modeled on the Hudson River Valley Ramble, included short overnight paddles, day paddles, free paddles, and paddle races. This new format allows a larger number of people to participate. The 2012 Great Hudson River Paddle has been cancelled due to budget restrictions. It is unclear if the Greenway will offer this event in the future.

### ***Additional Recreation Events***

Throughout its history the Greenway has sponsored a number of other events intended to increase the recreational use of the heritage area. Some of these events were one-time events while others re-occurred over a number of years. These include the annual Patriots Weekend Celebrations (from 2002 through 2008) commemorating the anniversary of key Revolutionary battles, the Great Hudson Valley Pedal, which began in 2002 as an annual 6-day, 200-mile bike ride through the heritage area, and a series of Quadricentennial Commemorations of the explorations of Henry Hudson and Samuel de Champlain, celebrated in 2009.

### **Developing Water Trails and Water Trail Amenities**

When the HRVHNA was established in 1996 the Hudson River was largely blocked from public use by industrial development and railroads that ran along both sides of the river. In 2001 in order to increase public access to the river, the Greenway was awarded a \$1 million appropriation from the Governor to create the Hudson River Greenway Water Trail. A water trail is a recreational waterway on a river, lake or ocean between specific points containing access points, day use, and camping sites for the boating public. As of 2011, the Greenway water trail stretches 256 miles south from the Town of Hadley in Saratoga County and the Village of Whitehall in Washington County to Battery Park in Manhattan. There are currently 94 designated sites along the trail.

To increase public access to and use of the river the Greenway has also invested in making water trail amenities (e.g., docks, boat launches, etc.) available to the public. To that end, the Greenway has awarded numerous grants to construct docks, increase ways to access the water, and provide parking spaces, restrooms, and other amenities at water access points. For example, in 2007 the Greenway awarded a Greenway Conservancy Grant to the Kowawese State Park in New Windsor, NY to design, construct, and install a retaining wall to repair shoreline erosion and to reinstall a staircase leading to a landing dock at Plum Point Park. Likewise, it funded a series of grants to the Hudson River Maritime Museum (discussed above) to fund the construction of 400 feet of docks for use by boats ranging in size from kayaks to cruise ships. In addition to docks, the Maritime Museum also constructed a set of kayak storage lockers that would allow kayakers to lock up their kayaks and other personal belongings for lunch or other excursions on shore.

To meet the needs of long-distance paddlers and other boaters the Greenway is working with the Hudson River Water Trail Association, Inc., an all-volunteer, non-profit group, to build a long-distance water trail system throughout New York State. This project is expected to take about ten years to complete, during which time the Greenway will primarily contribute staff expertise in water trail development and grant

writing to the project. When complete, the trail will include a number of amenities for overnight accommodation, including campsites, hostels, and B&Bs.

### **Developing Trail Programs and Designations**

Designation of a trail by the Greenway is a formal recognition of the regional significance of the trail as a destination for experiencing the natural, scenic, cultural and historic resources of the Hudson River Valley. Designation recognizes that the trail is an important link in the Greenway Trail System, which will run along both sides of the Hudson River from Saratoga County, to NYC.

As discussed above, the Greenway awards a number of Greenway Conservancy Grants every year for projects that focus on heritage trail development. Between 2006 and 2010 the Greenway awarded between 6 and 21 Greenway Conservancy Grants annually. Most of these grants ranged from \$2,000 to \$6,000 and were awarded for projects focused on repairing trails or installing signage and amenities such as benches. In addition to the project mentioned above, the Greenway awards grants for trail development (e.g., \$10,000 in 2009 to the Town of Kinderhook for a feasibility study of a trail system), trail maintenance (e.g., \$2,500 in 2008 to the Hudson Highlands Nature Museum), and for the creation of trail brochures (e.g., \$1,000 in 2008 to the Hudson Highlands Land Trust, \$1,500 in 2009 to the Hudson Valley Rail Trail Association, etc.)

### **Providing Heritage Area Map/Guidebooks, Trail Guides, and Online Trail Maps**

The Greenway has produced a series of heritage area maps/guidebooks, trail guides, and online trail maps to increase the public's knowledge of and access to sites of the heritage area. In 2006, the Greenway produced two maps/guidebooks: one, 19th Century Painters of the Hudson Valley, that identifies the scenic landscapes as well as artists' residences and studios. Sites include the homes and landscapes of Thomas Cole, Frederic Church, and many other notable artists. The other map/guidebook, Architectural Traditions in the Hudson River Valley, features the varied architectural styles found throughout the Hudson River Valley. In 2007, the Greenway released a guide, Landscapes and Gardens in the Hudson River Valley, that interprets natural and manmade landscapes in the region and includes the works of nationally significant landscape architects. In 2008, in partnership with New York by Rail and I Love NY, it produced, Windows on History: Exploring the Hudson River Valley National Heritage Area, a guide that educates Amtrak passengers traveling through the Hudson River Valley about the resources, such as historically significant battlefields and National Register properties, they are seeing outside their windows. In 2010, the Greenway produced the Hudson River Valley National Heritage Area: Heritage Site Guidebook that identifies the 100 "Heritage Sites" in the region as well as thematic interpretations and visitation information, like hours of operation and admissions fees. In collaboration with Parks and

Trails New York, the Greenway/HRVNHA is in the final stages of developing a new guidebook, Cycling the Hudson Valley, which will provide maps, route details, and services as well as highlight heritage sites along the route.

### 3.2.6 Recreation Usage Outcomes

#### ***Increased Visitation and Visibility of the NHA***

As discussed above, it is difficult to precisely measure the number of visitors to the heritage area or the impact of Greenway recreational use activities on that number. However, the Greenway estimates that over 22,000 people participated in the 2011 Heritage Weekend at events sponsored by 143 partners and Attendance at all Hudson Valley Ramble events over the years is estimated to be around one million people with over 150,000 people attending the 2011 Hudson Valley Ramble at events sponsored by 200 partners.

#### ***Increased Access to the River and Use of Trails***

The HRVNHA does not have a mechanism in place to capture use of the trails or water trails. Nine of the individuals we spoke with during intercept interviews indicated they had used the land trails in the heritage area. Only two people indicated they had used the water trail (for kayaking). Since federal designation as a heritage area in 1996, the Greenway has designated over 743 miles in land trails and water trails. Table 3.8 indicates the amount of various trails, by type, in the heritage area.

There are 487.62 miles of land trail, including riverside trails, countryside corridor/connector trails, and the NYS bike route 9. There are also 256 miles of water trail, including 94 designated points for accessing the river.

**Table 3.8      Number of Miles of Designated Trails as of 2011**

Type of Trail	Miles of Trails
Land Trail	487.62
Riverside Trails	269.35
Countryside Corridors/Connector Trails	71.66
NYS Bike Route 9	147.00
Hudson River Water Trail	256.00
Greenway Trail System Total	743.62



The heritage area has been recognized for the work it is doing to increase public access to land and water trails. In 2011 the Greenway land and water trail won the Daily Green's (<http://www.thedailygreen.com/>) "Heart of Green" award for best new trail in both people's choice and editors' polls for its work to create regional trail connections, on both land and water, and improve public access to the Hudson River and its surrounding landscape. The annual Heart of Green Award "honors individuals, businesses and organizations that help make green go mainstream." The Greenway Land and Water Trail was selected among nominated trails from across the county. Additionally, the 2004 Hudson River Valley Ramble was awarded the U.S. Environmental Protection Agency's "Environmental Quality Award". Environmental Quality Awards are given to individuals or organizations that have made significant contributions to improving the environment in EPA Region 2, which covers New York, New Jersey, Puerto Rico, the U.S. Virgin Islands and seven federally-recognized Indian Nations.

### **3.2.7. Marketing, Advertising, and Outreach**

In order to satisfy the legislative mandate "to authorize federal financial and technical assistance to serve these purpose [of preserving, protecting, and interpreting the resources of the NHA for the benefit of the Nation]", the Greenway conducts a variety of activities to market and advertise the work of the Greenway and its partners, as well as performing outreach on behalf of the organization. These activities include:

- Producing print and electronic materials for distribution;
- Leveraging partnerships for marketing and advertising for events and NHA programs;
- Providing technical assistance on water trail development (in and out of state) and government planning (in and out of state);
- Conducting traditional advertising approaches for event promotion (e.g., radio, newspaper, etc.); and
- Networking through board meetings and consortium.

### ***Description of Marketing, Advertising, and Outreach Activities***

#### **Producing Print and Electronic Materials for Distribution**

A large component of the marketing, advertising, and outreach activities the Greenway centers on producing print and electronic materials highlighting the history and ecology of the heritage area. The Greenway/HRVNHA publishes a monthly electronic newsletter that discusses issues relevant to the NHA, highlights the work of partner organizations, and advertises upcoming events. It produces a number of

guidebooks, map guides, and brochures, as discussed above. It maintains six websites that highlight the Greenway/HRVNHA and its associated promotional events. The HRVNHA website ([www.hudsonrivervalley.com](http://www.hudsonrivervalley.com)) identifies the heritage properties and trails of the Hudson Valley; assists tourists in planning trips to the heritage area; and contains interactive maps, primary source materials, and interviews with experts in Dutch and Native American history as well as current issues facing the Hudson River. Three websites (<http://www.greathrpaddle.org>; <http://www.hudsonrivervalleyramble.org>; and <http://www.heritageweekend.org>) features the annual recreational events, including information about various ways to participate. The Teaching the Hudson Valley website (<http://www.teachingthehudsonvalley.org>) catalogs over 250 place-based Hudson Valley lesson plans and activities and hosts an interactive map to for educators to search for plans at heritage sites of interest. The fourth website ([www.hudsonrivervalley.org](http://www.hudsonrivervalley.org)), hosted and maintained by the Hudson River Valley Institute at Marist College, contains an archive of approximately 20,000 pages of historical, cultural and environmental records pertaining to the Hudson Valley. The Institute at Marist College also semi-annually publishes a peer-reviewed journal about the Hudson River Valley.

### **Leveraging Partnerships for Marketing and Advertising for Events**

The Greenway is able to leverage partnerships for marketing and advertising for its events. It works with a variety of partners, including the Hudson River Estuary Program, New York State Parks and Historic Preservation, and the New York State tourism office for the funding and materials for marketing and advertising.

### **Providing Technical Assistance**

As part of its outreach activities, the Greenway provides technical assistance to partner organizations and municipalities within the region. The Greenway provides assistance to partners that want to host events or apply for grants. It also sponsors workshops on a variety of topics for partner organizations. For example, in 2006 the Greenway helped to sponsor the “Managing Visitor Use in the Hudson River Valley” workshop. The workshop provided guidance on how to attract visitors, manage their experiences, and mitigate the effects of public use on natural resources. The workshop was free for anyone involved in managing or maintaining trails, parks, preserves, water trails, open spaces, heritage sites, and other public resources in the Hudson River Valley region.

It also assists counties in developing Greenway Compacts, which are plans for environmentally responsible economic development, and in introducing Compacts to the municipalities within the counties for adoption. The Greenway Compacts program is discussed in further detail below.

## **Networking through Board Meetings and Consortium**

The Greenway provides opportunities for partner organizations to network with each other at their Board Meetings and consortium. The Board meets quarterly at locations throughout the Hudson River Valley, but most typically at the Henry A. Wallace Education Center on the grounds of the FDR Presidential Library and Museum and the Home of FDR National Historic Site in Hyde Park. Representatives from partner organizations are invited to present at each meeting so that they can discuss the work they do and share the issues that are important to them with like-minded organizations. The Board Meetings are open to the public and for those who cannot attend in person, webcasts of the meetings are made available on the Greenway website two hours after each meeting ends.

## ***Marketing and Advertising Outcomes***

Outcomes examined related to marketing, advertising, and outreach include:

- Increased distribution/use of print materials; and
- Increased number of people accessing the websites.

### **Increased Distribution/Use of Print Materials**

As discussed above, the Greenway/HRVNHA produces a variety of maps/guidebooks, trail guides, and online trail maps. The print materials are available to the public in tourism offices, such as the Albany County Convention and Visitors Bureau, as well as gift shops of various partner organizations, such as the Hudson River Maritime Museum. In 2011, over 15,000 brochures were distributed between September and June. Between November 2010, when it was released, and September 2011, the Hudson River Valley Heritage Site Guidebook has sold over 1,000 copies. The Hudson River Valley Review currently has a circulation of approximately 600 (including 500 offered through subscriptions).

### **Increased Number of People Accessing the Websites**

In 2010, the HRVNHA began keeping track of the number of people accessing the heritage area websites. From January to December 2010, there were 37,258 visits to the [www.hudsonrivervalley.com](http://www.hudsonrivervalley.com) website. On average, people visited 4.88 pages per visit and stayed on the website 4.02 minutes. From January to December 2011, there were 54,527 visits to the site, representing a 46% increase over the previous year. In 2011, people visited 4.10 pages per visit and stayed on the website 3.09 minutes.

From January to December 2010, there were 14,438 visits to the [www.hudsonrivervalleyramble.com](http://www.hudsonrivervalleyramble.com) website. On average, people visited 4.80 pages per visit and stayed on the website 4.17 minutes. From January to December 2011, there were 19,320 visits to the site, representing a 34% increase over the

previous year. In 2011, people visited 4.00 pages per visit and stayed on the website 3.40 minutes. The vast majority of these visits occurred in fall, when the ramble occurs.

Similar data were not collected on the Teaching the Hudson Valley website (<http://www.teachingthehudsonvalley.org>), the Hudson River Valley Institute website ([www.hudsonrivervalley.org](http://www.hudsonrivervalley.org)), the Great Hudson River Paddle website, (<http://www.greathrpaddle.org>), or the Heritage Weekend website (<http://www.heritageweekend.org>).

### **3.2.8. Regional Planning and Community Impact**

The Greenway conducts a variety of regional planning and community impact activities in order to work on a regional scale on events, interpretation, economic development, and resource preservation and to work inter-municipally with government agencies to engage local communities to help them plan regionally.

The activities that fall under this strategy include:

- Providing grants to local communities to facilitate planning and development;
- Operating Compact and Communities program;
- Providing technical assistance to communities and organizations; and
- Creating a community of heritage sites.

#### ***Description of Regional Planning and Community Impact Activities***

##### **Providing Grants to Facilitate Planning and Development**

A primary goal of the Greenway is to assist local communities in planning for development in a way that preserves the natural landscape. To that end it provides Greenway Compact Grants to allow municipalities to develop, approve, and implement a regional compact strategy consistent with the Greenway criteria and the Greenway Act. In 2005, for example, the Greenway awarded \$15,000 to the Town of Red Hook to develop an inter-municipal plan growth and preservation. The Town of Red Hook's partners included the Village of Red Hook, the Village of Tivoli, Dutchess County and the Red Hook Central School District. Together, they developed a proposal for targeting growth around existing commercial centers in order to preserve green spaces in the town. The Greenway provided the seed

money for this project as well as funding for a fiscal impact analysis and an infrastructure feasibility study.

The Greenway also awards Greenway Communities Grants to fund projects that relate to community planning, economic development, natural resource protection, cultural resource protection, scenic resource protection, and open space protection. Recent Greenway Communities grants include:

- Town of Marbletown, Ulster County (\$10,000): To develop a sustainable economic development project (June 2009)
- Town of Cairo, Greene County (\$5,000): To implement the adopted compact plan by developing a zoning law. (March 2009)
- City of Mechanicville, Saratoga County (\$5,500): To implement phase 2 of the downtown gateway and signage project to promote tourism. (March 2009)
- Town of Montgomery, Orange County (\$25,000): To produce a local economic development plan containing strategies to promote growth, with the villages of Maybrook, Montgomery, and Walden.

### **Operating Compact and Communities Programs**

The Greenway Compact program provides a process for voluntary regional cooperation to further the Greenway criteria of natural and cultural resource protection, regional planning, economic development, public access, and heritage and environmental education. The Greenway provides a variety of financial and procedural benefits, including technical assistance and Greenway Compact and Greenway Communities grants, to communities that choose to participate. Counties in the heritage area develop a regional planning compact that outlines a plan for economic development while addressing the Greenway's principles of resource preservation. Municipalities within those counties are encouraged to adopt the compact and use it to guide their development. These Compacts preserve local decision-making authority (at the municipality level) while providing guidelines for inter-municipality planning.

### **Providing Technical Assistance to Communities and Organizations**

The Greenway provides technical assistance to communities and organizations within the heritage area. It assists organizations with the grant application process and refers them to other funders who may provide additional financial support. For example, the Greenway has referred partners to the Greater Hudson Heritage Network to apply for support to preserve or restore museum collections. Additionally, the two organizations have collaborated to co-sponsor programs to train collections managers on best practices.

The Greenway also assists counties in developing Greenway Compacts, as discussed above, and in introducing Compacts to the municipalities within the counties for adoption. According to interviews

with town supervisors who have engaged in the Greenway Compacts process, the Acting Executive Director of the Greenway attended numerous meetings with the town board and town hall meetings with local residents to assist them in presenting the Compact to their communities.

The Greenway also has provided technical assistance to communities outside of the heritage area. In 2010, the Greenway provided assistance to New York City to develop water trails. Additionally, throughout the 1990s the Greenway provided technical assistance in the creation of the Prague to Vienna Greenway. This assistance culminated in 1995 in reciprocal visits by delegations from each Greenway to the other.

### **Creating a Community of Heritage Sites**

The Greenway also makes efforts to create a community of heritage sites. To that end, it convenes conferences for like-minded organizations to learn from one another and work together. For example, in April 2011 it sponsored the Columbia County Trail Conference at which about 70 attendees gathered to hear presentations about trail planning and participate in group brain-storming sessions to discuss the future of trails in Columbia County. In November 2011, the Greenway sponsored a similar conference in Ulster County. This event included a discussion of the economic impact of trails for communities. The Greenway has convened a number of groups to discuss water trails and their impact on regional economies as well.

### ***Regional Planning and Community Impact Outcomes***

Outcomes examined related to regional planning and community impact include:

- Increased number of communities participating in regional planning; and
- Development of a sense of identity for the Hudson River Valley region.

#### **Increased Number of Communities Participating in Regional Planning**

The main outcome for regional planning and community impact is the number of communities that participate in the HRV regional planning process. As of May 2012, four counties out of ten have completed regional planning compacts. Two others have begun the regional compact process and are actively engaged in developing compacts for the communities in their counties.

In 2000, Dutchess County developed the first compact plan, which now serves as the benchmark for compact planning. Twenty-nine of the 30 communities in Dutchess County have adopted the Compact and more than half have undertaken revisions to their comprehensive plans and zoning ordinances to implement it. The county also has appropriated \$5 million and committed an additional \$2 million to its

open space and Farmland Protection program. Projects completed and pending protect 2,465 acres of farmland through and 556 acres of public open space. The Westchester County Greenway Compact Plan was approved by the Greenway in 2004. The plan includes a regional economic development strategy that also promotes tourism, main street revitalization, protection of significant resources, and increased access to the Hudson River. With the support of the Greenway, between 2010 and 2012, Ulster, Orange, and Rockland Counties developed their own Greenway Compacts and have begun the process of introducing it to their municipalities for adoption. It provided grants of \$49,000 to Ulster County in 2010 and \$25,000 to Orange County in 2011 to assist in the development of their plans. A plan in Putnam County was adopted in 2008.

### **Development of a Sense of Identity for the Hudson River Valley Region**

According to the management staff and members of the board, one of the goals of the Greenway since its designation in 1996 has been to develop a regional identity. Rooted in their history of home rule, the cities and towns of the Hudson Valley region historically have operated very independently. As a result, the public has viewed the destinations within the Hudson Valley independently. The Greenway has engaged in a number of activities to encourage the development of a sense of identity for the region. It has initiated the Compacts and Communities program, discussed above, to encourage municipalities to work together to plan for economic development in a way that is environmentally conscious. It has marketed the heritage sites and trail systems as parts of a greater whole. It has initiated conferences that unite like-minded communities and organizations across the region and it has sponsored events that include partners from throughout the whole region. When interviewed a number of partner organizations discussed feeling part of the larger Hudson Valley community due to their partnership with the Greenway.

## **3.3 NPS and Greenway Relationship**

As described in Section 2, since 1996 local NPS support has been available to the HRV Greenway through the NHA Liaison at the Roosevelt-Vanderbilt National Historic Sites in Hyde Park. The HRV Greenway describes this NPS site as a key partner in all of their activities. Located in mid-Hudson River Valley, the Roosevelt-Vanderbilt National Historic Sites serves as a jumping off point for many of the HRVNHA activities. As a major tourist destination in the region, they introduce the public to the larger NHA, they provide marketing materials and guide maps, and serve as a de facto visitor center. They are a key partner in the HRVNHA-sponsored recreational activities, such as Heritage Weekend. They also host a number of board meetings and workshops. As a primary partner, NPS supports HRVNHA activities through technical and financial assistance and through serving on advisory committees. One of the strongest relationships between the NPS and Greenway/HRVNHA has been through the development of



Teaching the Hudson Valley (THV). THV was established in 2003 in an effort to increase utilization of national places of significance in the Hudson River Valley. As part of this program, grants were awarded to schools and site educators in the HRV to develop place-based curricula.

### **3.4 Summary**

Based on our evaluation findings, the HRVNHA appears to have met the goals outlined in its management plan. Each year, numerous grants are awarded to support resource preservation, historic route preservation, and trail development. Additionally, the Greenway/HRVNHA has provided grants in support of economic development activities such as the renovation of the dock facilities at the Hudson River Maritime Museum. This project has made the Museum more accessible to visitors, increased overnight visits to the area and its other attractions, and allowed the museum another source of income for docking fees. The HRVNHA sponsors a number of recreational events throughout the year and has developed number of bike guides, water trail guides, and trail maps to increase public access to and use of the historic and ecological resources available with the heritage area. They have also provided grants for water trail amenities, new campsites, parking lots, restroom facilities, and information kiosks. Finally, the Greenway provides grants and technical assistance to local communities in planning for development in a way that preserves the natural landscape.

While the HRVNHA has engaged in a wide number of activities in line with the goals outlined in the management plan, there are limited data available to measure a number of key outcomes, like visitation to the NHA and awareness of the NHA. Given the size of the heritage area and the scope of activities the Greenway/HRVNHA sponsors, they do not have a mechanism in place to accurately measure involvement by the public. This lack of data limits our ability to measure whether the Greenway/HRVNHA is achieving some of their intended outcomes. Thus, it is recommended that the HRVNHA and its partners develop a system to better track the visitation and revenues generated by their activities in order to more accurately measure the impact of HRVNHA activities on the region.



## Section 4: Public/Private Investments in the NHA Coordinating Entity and their Impact

The legislation that created HRVNHA, as amended by Congress in 1996, mandated the following concerning federal appropriations to ACNHA:

- (a) **IN GENERAL** —There is authorized to be appropriated under this title up to \$300,000 for compacts and management plan, up to \$250,000 annually for each management entity or \$500,000 per year for operations, and not more than ten million dollars over the course of the cooperative agreement implementation. Not more than a total of \$15,000,000 may be appropriated for the Partnership under this title.
- (b) **50 PERCENT MATCH** —Federal funding provided under this title, after the designation of this Partnership, may not exceed 50 percent of the total cost of any assistance or grant provided or authorized under this title.

In this section of the document, we describe the public and private investments that support HRVNHA activities, determine if the HRVNHA coordinating entity, Greenway, meets legislative requirements with regard to additional investments required, and summarize the ways in which Greenway makes use of heritage area investments.

### 4.1 Investments in HRVNHA Activities

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

- **Federal NPS Funding** — Funding provided to Greenway through NPS since 1998;
- **HRVNHA Non-Federal Funding** — All grants, contributions, and donations, made directly to Greenway to help meet its mission and counted towards match requirements. These funds include monies from the State of New York, local governmental entities, individual contributions, foundations and non-profit grants, corporate sponsorship, in-kind contributions, such as funds for Teaching the Hudson Valley project, and miscellaneous income generated from sale of guides and publications.

HRVNHA Non National Heritage Area funds from other NPS and federal sources are demonstrated in the Greenway's audited financial statements between 1996 and 2010 and indicate that over \$31 million in financial resources was directed toward HRVNHA-related activities. In addition to authorized heritage area funding for the HRVNHA, NPS provided \$1,021,802 for Hudson-Fulton-Champlain Quadricentennial Programs (\$851,000), for Save America's Treasures Grant for Dutch Reformed Church

in Newburgh (\$125,802) and for support of the Greenway (\$45,000). HRVNHA also received other federal funding in the amount of \$816,721, which included \$20,000 from National Endowment for the Arts for Heritage Weekend 2010. The balance of other federal funds supports research and monitoring at the Hudson River National Estuarine Research Reserve and comes from National Oceanic and Atmospheric Administration (NOAA). The majority of State/Local funding came from New York State appropriations to support the Greenway, and as such varied from year to year. Table 4.1 presents more detail on the direct financial support for Greenway.

**Table 4.1 Direct Financial Investments in Greenway, Total and by Year**

Year	Federal - NPS NHA Only	Federal - NPS Other	Other Federal	State/Local	Private - Individual	Foundation & Non-Profit	Corporate Sponsors	In-Kind	Total
1996	--	\$ 45,000	\$ 11,000	\$ 1,131,100	--	\$ 65,560	--	\$ 108,830	\$1,361,490
1997	--	--	\$ 100,125	\$ 794,000	\$ 15,426	\$ 30,000	--	\$ 122,959	\$1,062,510
1998	\$ 483,000	--	--	\$ 830,400	\$ 44,711	--	--	\$ 153,389	\$1,511,500
1999	\$ 552,956	--	--	\$ 678,400	--	\$ 29,503	--	\$ 174,038	\$1,434,897
2000	\$ 792,000	\$ 125,802	\$ 28,560	\$ 858,400	--	\$ 55,000	--	\$ 184,906	\$2,044,668
2001	\$ 902,000	--	\$ 42,221	\$ 1,396,415	--	\$ 35,000	\$10,000	\$ 240,333	\$2,625,969
2002	\$ 900,000	--	\$ 48,720	\$ 1,526,250	\$ 2,000	--	--	\$ 272,937	\$2,749,907
2003	\$ 596,000	--	\$ 62,160	\$ 825,000	--	--	--	\$ 302,281	\$1,785,441
2004	\$ 596,410	--	\$ 62,160	\$ 765,000	--	--	--	\$ 318,583	\$1,742,153
2005	\$ 493,000	--	\$ 62,160	\$ 1,011,000	--	--	--	\$ 326,190	\$1,892,350
2006	\$ 443,379	--	\$ 62,160	\$ 939,000	--	\$ 6,000	--	\$ 339,232	\$1,789,771
2007	\$ 532,055	--	\$ 86,305	\$ 929,000	--	--	--	\$ 340,319	\$1,887,679
2008	\$ 523,701	\$ 192,500	\$ 62,160	\$ 870,341	--	\$ 495,000	\$1,000	\$ 355,534	\$2,500,236
2009	\$ 524,000	\$ 347,500	\$ 77,190	\$ 3,336,820	\$ 610	\$ 48,192	--	\$ 401,480	\$4,735,792
2010	\$ 505,000	\$ 311,000	\$ 111,800	\$ 537,500	\$ 107,996	\$ 992,307	\$100,517	\$ 387,922	\$3,054,041
<b>TOTAL</b>	<b>\$7,843,501</b>	<b>\$1,021,802</b>	<b>\$816,721</b>	<b>\$16,428,626</b>	<b>\$170,743</b>	<b>\$1,756,562</b>	<b>\$111,517</b>	<b>\$4,028,934</b>	<b>\$32,178,406</b>

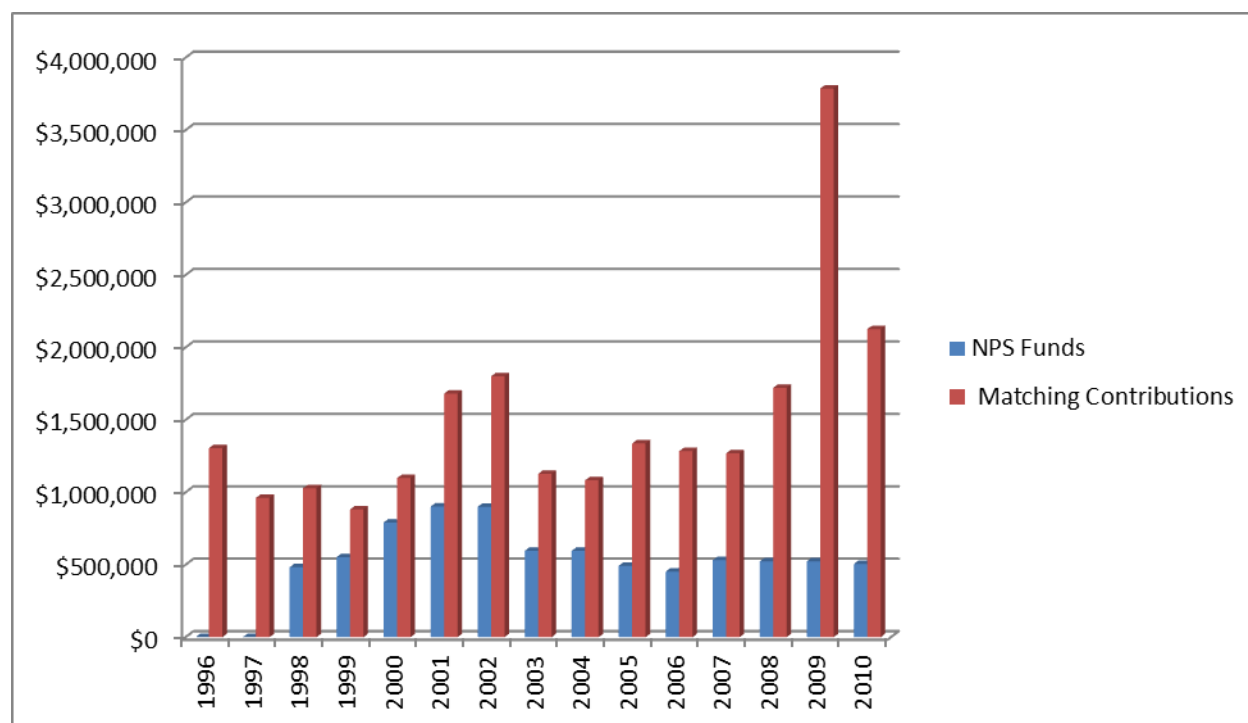
By Congressional instruction, Greenway /HRVNHA must match its federal assistance equally with non-Federal dollars. To do this, the expectation is that Greenway will leverage its federal assistance funds to secure additional funding in support of its mission. To date, Greenway has exceeded the 50 percent federal funding match requirement over the entire funding period. As of 2010, it received \$7.8 million worth of NPS federal funding and has \$22.4 million allowable matching dollars.

Table 4.2 presents the NPS funds and the matching contributions. Graph 4.1 presents the match results by year. In 2009 and 2010, the size of the matching contribution was higher than in other years due in part the increased amount of matching funding generated for the Quadricentennial activities.

**Table 4.2 Overview of NPS Funds and Matching Contributions by Year**

Year	NPS Funds	Matching Contributions
1996	--	\$1,305,490
1997	--	\$962,385
1998	\$ 483,000	\$1,028,500
1999	\$ 552,956	\$881,941
2000	\$ 792,000	\$1,098,306
2001	\$ 902,000	\$1,681,748
2002	\$ 900,000	\$1,801,187
2003	\$ 596,000	\$1,127,281
2004	\$ 596,410	\$1,083,583
2005	\$ 493,000	\$1,337,190
2006	\$ 443,379	\$1,284,232
2007	\$ 532,055	\$1,269,319
2008	\$ 523,701	\$1,721,875
2009	\$ 524,000	\$3,787,102
2010	\$ 505,000	\$2,126,241
<b>TOTAL</b>	<b>\$ 7,843,501</b>	<b>\$22,496,382</b>

**Graph 4.1**      **HRV Greenway /HRVNHA Match Results by Year**



## 4.2 Use of Financial Resources

Greenway uses its direct financial resources to support its programmatic initiatives and operational activities. Of the funds available to Greenway/HRVNHA since 1998, 24.9% or \$7.8 million were NPS federal funds for the NHA and 75.1% percent, or \$23.6 million, were other federal and non-federal funds. All funding to the Greenway each year is unrestricted or temporarily restricted. The majority of funds are temporarily restricted to what the grantor, including NPS for NHA and state appropriations, sets forth as allowable expenditures. Since 2005, Greenway has received \$194,319 worth of temporarily restricted funds from individuals and corporate donors for specific signage or educations projects. According to the 2010 Statement of Net Assets, Greenway/HRVNHA had \$884,521 in assets, 3.2 percent of which, \$28,066, were temporarily restricted funds.

Greenway/HRVNHA expenditures since 1996 total \$8.9 million, divided between operational expenses and the program activity expenses as displayed in Table 4.4. Operational expenses may include utilities and phone, audit and legal (filing) fees, general office expenses, and/or miscellaneous expenses and other administrative expenses. Programmatic expenses are those resources dedicated to HRVNHA activities, such as resource preservation and education and interpretation. Since, 1996, HRV Greenway/HRVNHA

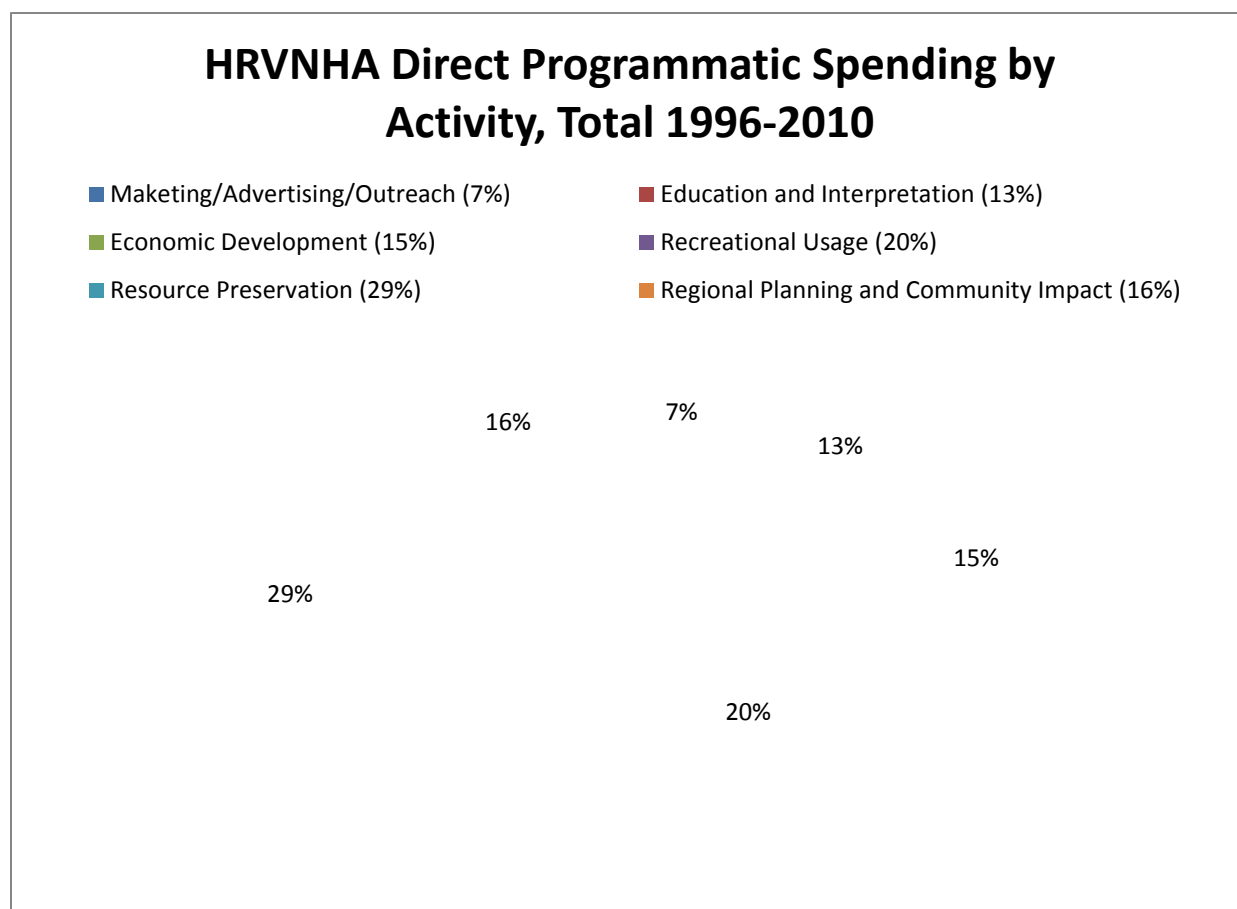
has spent \$85,860 in operational expenses and \$8.8 million on programmatic expenses. As noted in table 4.3, the operational expenses for Greenway/HRVNHA fluctuated over time.

These changes can be attributed to several different things. For example, in 1999-2000, the HRVNHA coordinating entity changed auditors when liability issues associated with the A-133 reports led our original auditor to decline future work. Because different auditing companies apply different line items to operations, the operating expenses before this time period vary from those after 2000 such that in the years where it was \$0 for operations the auditors counted audit and legal (filing) fees, general office expenses, and/or miscellaneous expenses as part of programs. In previous years, they counted this as operations. Furthermore, in 1999-2000 new auditors began to calculate the value of the coordinating entities rent free space and charge that to either operations, programs, or both. The coordinating entity was unsure of why these changes in auditing practices occurred and in which years particular practices were implemented.

**Table 4.3 Operational Spending by Year, 1996-2011**

Year	Operational Expenses	Program Expenses	Total
1996-97	\$10,005	\$42,602	\$52,607
1997-98	\$6,848	\$35,576	\$42,424
1998-99	\$2,562	\$134,325	\$136,887
1999-00	\$4,154	\$462,438	\$466,592
2000-01	\$38,565	\$768,419	\$806,984
2001-02	\$9,100	\$550,600	\$559,700
2002-03	--	\$1,047,234	\$1,047,700
2003-04	--	\$627,361	\$627,361
2004-05	\$2,685	\$905,517	\$908,202
2005-06	\$1,831	\$762,057	\$763,888
2006-07	\$1,643	\$691,169	\$692,812
2007-08	\$1,779	\$655,245	\$657,024
2008-09	\$2,067	\$763,471	\$765,538
2009-10	\$2,064	\$675,401	\$677,465
2010-11	\$2,557	\$749,127	\$751,684
Total	\$85,860	\$8,870,542	\$8,956,402

**Graph 4.2      HRVNHA Direct Expenditures by Program Type, Total 1996-2010**



The HRVNHA coordinating entity expended funds in fulfillment of the NHA goals and objectives specified in the legislation. The largest expenditures have occurred in the areas of resource preservation (29% of funding), which includes activities such as the Greenway Council and Greenway Conservancy Grants, trail signage, and interpretive plans and exhibits for historic sites and centers, and recreation usage (20% of funding), which includes holding recreational events, developing trails and amenities, and providing guides and online maps. In regards to the amount of funding spent on other programmatic spending, regional planning and community impact accounts for 16 percent, economic development accounts for 15 percent, education and interpretation accounts for 13 percent, and marketing and outreach accounts for 7 percent. Table 4.4 presents a detailed breakdown of HRVNHA program expenditures over the last fifteen years.

**Table 4.4 HRVNHA Program Expenditures by Year, 1996-2010**

Year	Resource Preservation	Education and Interpretation	Economic Development	Recreational Usage	Marketing/Advertising /Outreach	Regional Planning and Community Impact	Total
1996	\$12,355	\$5,538	\$6,390	\$8,520	\$2,982	\$6,816	\$42,602
1997	\$10,317	\$4,625	\$5,336	\$7,115	\$2,490	\$5,692	\$35,576
1998	\$38,954	\$17,462	\$20,149	\$26,865	\$9,403	\$21,492	\$134,325
1999	\$134,107	\$60,117	\$69,366	\$92,488	\$32,371	\$73,990	\$462,438
2000	\$222,842	\$99,894	\$115,263	\$153,684	\$53,789	\$122,947	\$768,419
2001	\$159,674	\$71,578	\$82,590	\$110,120	\$38,542	\$88,096	\$550,600
2002	\$303,698	\$136,140	\$157,085	\$209,447	\$73,306	\$167,557	\$1,047,234
2003	\$181,935	\$81,557	\$94,104	\$125,472	\$43,915	\$100,378	\$627,361
2004	\$262,600	\$117,717	\$135,828	\$181,103	\$63,386	\$144,883	\$905,517
2005	\$220,997	\$99,067	\$114,309	\$152,411	\$53,344	\$121,929	\$762,057
2006	\$200,439	\$89,852	\$103,675	\$138,234	\$48,382	\$110,587	\$691,169
2007	\$190,021	\$85,182	\$98,287	\$131,049	\$45,867	\$104,839	\$655,245
2008	\$221,407	\$99,251	\$114,521	\$152,694	\$53,443	\$122,155	\$763,471
2009	\$195,866	\$87,802	\$101,310	\$135,080	\$47,278	\$108,064	\$675,401
2010	\$217,247	\$97,387	\$112,369	\$149,825	\$52,439	\$119,860	\$749,127
Total	\$2,572,457	\$1,153,170	\$1,330,581	\$1,774,108	\$620,938	\$1,419,287	\$8,870,542

### 4.3 Impact of Investments

The evaluation assessed the investments made to Greenway to promote the work of the heritage area and the impacts of these investments in helping accomplish the purpose of the legislation. Based on our analysis, Greenway has successfully met and exceeded the 50 percent federal funding match requirements over the entire funding period and annually since 1996. Greenway has been able to successfully leverage the NPS dollars to attract funding from other local sources and to generate its own revenue. Of the funds available to Greenway since 1996, 24.9% or \$7.8 million were NPS federal funds for the NHA, \$1.8 million were other federal funds, and nearly 70% percent, or \$22.4 million, were non-federal funds. As of 2010, Greenway's total fund balance was \$884,521. Also, in examining the use of HRVNHA investments, the evaluation concludes that Greenway has expended these funds in a manner that aligns with the goals and objectives specified in the authorizing legislation and management plan. The following section further examines the financial sustainability HRVNHA as well as other aspects of the NHA's sustainability.



## 4.4 Chapter Summary

This chapter outlines the direct investments from 1996 to 2010, usage of NPS funds and match, operational spending, programmatic spending by activity, and program expenditures. The NPS funding and federal designation as an NHA have enabled the HRVNHA and its partners to leverage millions of dollars in matching funds to engage in resource preservation, education and interpretation, recreational events, and regional planning activities. The HRVNHA has met the goals and objectives laid out in the legislation and the management plan.

## Section 5: HRVNHA Sustainability

### 5.1 Defining Sustainability

The third question guiding the evaluation, derived from legislation (P.L. 110-229) asks “How do the coordinating entity’s management structure, partnership relationships and current funding contribute to the NHA’s sustainability?” To guide the assessment of sustainability, we have adopted the definition developed by NPS, with the assistance of stakeholders from a number of National Heritage Areas. Sustainability for an NHA is 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.” Critical components of sustainability for a National Heritage Area include, but are not limited to:

- The coordinating entity and NPS honoring the legislative mandate of the NHA;
- The 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;
- Partnerships with diverse community stakeholders, including the heritage area 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; and
- Outreach and marketing to engage a full and diverse range of audiences.”

In the following sections, we address each of these components, drawing on the data provided in previous sections.

### 5.2 Honoring the Legislative Mandate of the NHA

As stated in legislation, the purpose of the HRVNHA is to assist the State of New York and the communities of the Hudson River Valley in,

“(1) To recognize the importance of the history and the resources of the Hudson River Valley to the Nation; (2) To assist the State of New York and the communities of the Hudson River Valley in preserving, protecting, and interpreting these resources for the benefit of the Nation; and (3) To authorize Federal financial and technical assistance to serve these purposes.”

This section of the document describes and assesses how HRV Greenway/HRVNHA’s management, leadership, and relationships with NPS and with stakeholder organizations aid in the development and sustainment of the National Heritage Area.

## **5.3 HRVNHA’s Management Capacity**

### **5.3.1 Governance, Leadership, and Oversight**

#### ***Board Members***

As discussed in Section 2, the coordinating entity for HRVNHA is the Greenway, which consists of the Hudson River Valley Greenway Communities Council (the “Council”) and the Greenway Conservancy for the Hudson River Valley (the “Conservancy”), a public benefit corporation. The Board of Directors for the Council consists of 27 voting members with the following appointments: two appointments by the Governor, one appointment from each of ten counties including Albany, Rensselaer, Columbia, Greene, Dutchess, Ulster, Putnam, Orange, Rockland, and Westchester based upon recommendations from town, cities, villages, two appointments by the mayor of New York in consultation with the presidents of the boroughs of the Bronx and Manhattan, two appointments by the temporary president of the senate, two appointments by the speaker of the assembly, one appointment by the minority leader of the senate, and one appointment by the minority leader of the assembly. There are also seven ex officio members: the commissioner of the Department of Environmental Conservation; the commissioner of parks, recreations and historic preservation; the secretary of state; and the commissioners of general services, transportations, agriculture, and markets and economic development. Any Board member other than ex officio members who serves on the Council cannot serve on the Board of the Conservancy and vice versa. The Board of Directors for the Conservancy consists of three appointments (including the Chair) by the Governor, 17 voting members, and nine non-voting members. The following appointments are made: Two appointments by the temporary president of the senate, two appointments by the speaker of the assembly, one appointment by the minority leader of the senate, one appointment by the minority leader of the assembly, and eight appointments by the Council. There are also seven ex officio members: the commissioner of the Department of Environmental Conservation; the commissioner of parks, recreations

and historic preservation; the secretary of state; and the commissioners of general services, transportations, agriculture, and markets and economic development; the chairman of the state senate committee on environmental conservation and the chairman of the state assembly committee on environmental conservation may be nonvoting ex-officio members. The HRVNHA Executive Director works directly with chairs of the Council and Conservancy to generate names for nominations to Conservancy.

Many of the members of the Board for both the Council and the Conservancy have been serving on their respective Boards of Directors since before the National Heritage Area designation. From its initial days, both Boards have assisted the Executive Director in planning by doing things such as planning for trails and brochures and considering how to turn events like the Ramble and Heritage Weekend into revenue source. In addition, because Board members represent areas of expertise that are useful to the NHA, such as architecture and history, they are often called upon to offer their skills and knowledge. For example, Board members work on the Greenway Compacts in their communities to help create a regional identity for the Hudson River Valley. However, the Greenway Act of 1991 which established the Council and Conservancy prohibits Board members receiving payment for their work and thus from involvement in some of the larger activities that may fit within their area of expertise. Both Boards come together on a quarterly basis to discuss HRVNHA business. Standing committees include: grant, finance, strategic planning, and heritage area, which decides which sites will be designated as heritage areas. Special subcommittees for activities like the Tiffany Windows and Heritage Weekend are created to address issues on an as needed basis. Ad hoc task forces turn into committees year after year.

The responsibilities of the Management Entities as defined in the NHA Authorizing Legislation (see Appendix 2) are to develop a management plan, implement activities as set forth in the compact and management plan, consider the interests of diverse governmental business and non-profit groups within the heritage area, conduct public meetings regarding the implementation of the management plan, and provide reports and other records regarding the activities of the NHA.

The Boards of the Council and Conservancy have satisfied all of the aforementioned responsibilities. They played an integral role in the development of the management plan, defining the HRVNHA's mission and vision and outlining the purposes, goals, and activities of the NHA. This management plan was approved by the Secretary of the Interior, Gale A. Norton, on April 17, 2002. As presented in Table 1.1, the primary goals outlined in the management plan include resource preservation, heritage and environmental education, recreation and public access, economic development, and regional planning. Although the Boards have not played a major role in making policy decisions for the HRVNHA,

committees, like the Grants Committee, have made policy decisions in regards to grant-making and have presented these policy recommendations to the larger Boards.

The Council and Conservancy Boards have been extremely involved from the outset in ensuring that the HRVNHA is informed by the community and is enmeshed in the work of the community. For example, Board members attend town planning Board meetings to testify and encourage support of the Greenway Compact. They work to get municipalities within in a county to come to meetings to discuss the compact process in a non-threatening way. Then they bring these issues back to the HRVNHA so that in may act as a clearinghouse for regional issues.

Interviews with Board members reveal that fundraising is also becoming a new priority. In the past two years, there has been more discussion around and interest in developing both short-term and long-term fundraising opportunities. Because the HRV Greenway activities include such diverse interests as historic preservation of buildings and battlefields; ecological preservation of hiking trails and farm land; land-use and water-front development, recreation and tourism, and education, among others, the challenge Board members face is much of the fundraising activity thus far has focused on raising funds for specific programs. Board members recognize that they need to make fundraising more of a priority and are awaiting a \$30,000 grant to begin a strategic planning process that would help address this issue.

The Acting Executive Director of the HRVNHA and the regional liaison from NPS are members of the Northeast Region Sunset Committee. This committee is working on developing a plan to extend the use of existing funds past 2012, to review alternative strategies if that is not possible, to assess how the loss of NHA's investment will impact the Greenway and other NPS National Heritage Areas and the impact on the National Park Service regional office, and NPS parks within NHAs throughout the northeast. The Northeast Region Sunset Committee began meeting in 2011, convene via conference call to monitor progress on regional strategies for sunsets.

### ***Executive Director***

The HRVNHA Executive Director position is appointed by the Governor. The HRVNHA has been without an Executive Director since 2008, when the current Acting Executive Director was appointed to his position. The HRVNHA's Acting Executive Director has been with the Greenway since 2002, when he was hired as an intern. Members of the Board indicated that initially, they thought this acting position would be temporary. They commented that while the Board technically has the power to hire an Executive Director it would be a potential misstep for them to do so without the blessing of the Governor's office because a new Executive Director would have to be an appointee of the Governor to be

a New York State employee. About the time the previous Executive Director stepped down, the Governor's office was proposing to eliminate the HRV Greenway due to budgetary issues. The Board did not feel at that time that it would be wise to draw attention to themselves by asking for the appointment of an Executive Director to the HRVNHA. More recently, there has been renewed interest among the Board members and partner organizations to appoint an Executive Director. In January 2012, Board passed a resolution recommending the current Acting Executive Director to the Governor's office as permanent director.

From both staff and stakeholder reports, the Acting Executive Director plays a pivotal position in the HRVNHA and in the community at large. His blend of skills, from planning to management to leveraging funding was cited repeatedly as an incredible advantage for the organization. He is recognized for having "his fingers on the pulse of all the issues in the Hudson River Valley." As these issues get communicated to the HRVNHA, they are translated into actionable steps. The ED has been noted as having a real desire to work with the community through planning, leveraging funding, creating partnerships, and facilitating collaborations. Because the ED and HRVNHA current and previous staff managed to show up at community meetings to explain the Greenway/HRVNHA, 269 communities have joined the Greenway.

### **5.3.2. Staffing and Operations**

In addition to the Acting Executive Director, current full-time staff of the organization includes the Trails and Special Projects Director, the Trails Coordinator, the Assistant Ramble Coordinator, two Administrative Assistants, and one intern. Staffing has been a source of concern for the Greenway and the community. Since 2008, the State of New York has been in a hiring freeze. As a result, when any staff of the HRVNHA leaves, whether it is for personal or professional reasons, they have not been able to be replaced. This has resulted in a decrease in staffing from 13 full-time employees in 2001 to five. Staff work on various activities such as trails development, event coordination, and marketing with many people having to occupy multiple positions or fill in as best as possible. For example, the Trails and Special Projects Director is also the Finance Manager. Moreover, at its inception, the Greenway and the HRVNHA had two separate Executive Directors. There was significant turnover in the HRVNHA's Executive Director position in the first five years following federal designation. Due to budgetary constraints these two positions were merged in to current position.

### **5.3.3 Strategic Planning and Adaptive Management**

Strategic planning has been at the heart of HRV Greenway as indicated by the HRVNHA Management Plan. The Management plan's goals, including resource preservation, heritage and environmental education, economic development, recreation and public access, and regional planning continue to guide the activities of the organization. Board and staff members interviewed acknowledge that although the plans guide HRVNHA's work, there is also a degree of opportunism and cultivating new ideas, such as creating a cider trail with Hudson valley branding for distilleries or helping communities develop organic gardening and farming to increase tourism. The goal is to develop a "lead by example" style of adaptive management in which communities evaluate resources, challenges, and opportunities to stimulate a planning process of regional significance. The HRVNHA is hoping to begin a formal strategic planning process in the near future.

### **5.3.4 Monitoring and Record Keeping**

One of the areas of HRVNHA's management capacity that could be strengthened is its collection and use of monitoring data and records. The HRVNHA has been looking at annual performance measures to figure out how to achieve and track those numbers on a regular basis. They are also considering how to maximize the use of technology in monitoring and record keeping helping alleviate the impact with declining staff that would traditionally have collected this information. In addition they are considering how to better engage partners in collecting and tracking data for their events. Overall, the HRVNHA recognizes that as an area of improvement and are making strides in that direction.

## **5.4 HRVNHA Partnerships**

HRVNHA operates with many formal and informal partnerships, as well as, through collaboration and stakeholder relationships. These partnerships, although not critical to the day-to-day operations of HRVNHA, are important for sustaining the organization. Relationships are established with the public at large; local government agencies; state government agencies, such as New York State Office of Parks, Recreation and Historic Preservation (OPRHP); business development organizations, such as the Empire State Development Corporation; regional planning and community organizations. These partnerships impact the sustainability of HRVNHA by providing input on strategic plans as well as providing grants and funding support for heritage area projects, such as Teaching the Hudson Valley or the Underwater Maritime Heritage Project. Overall, interviews with Greenway/HRVNHA staff and with partner

organizations indicate that these collaborations are significant for sustaining the heritage area's mission and plans.

## **5.5 Financial Sustainability, the Importance of NPS Funds, and the Importance of NHA Designation**

### **5.5.1 NHA Coordinating Need for Financial Resources**

As discussed above, the HRVNHA coordinating entity has been active in planning for the sustainability of the organization and the NHA. Increased revenues from tourism are seen as critical to the economic development of the region and the sustainability of the NHA. The various recreational activities that the HRVNHA sponsors could in the future provide a source of revenue for its operating expenses. In addition, as noted earlier, the HRVNHA has had many funding partners whose support may continue and expand in the face of declining NPS support.

Many of those interviewed, including NPS staff, noted that the strategic planning, technical assistance and consultation services that are often the most valuable contribution of the NHA coordinating entities, are not typically revenue generating. Their fear is that should federal funding of the NHA coordinating entity be reduced or eliminated, it would be difficult to resource these critical, non-tangible contributions. They noted this would reduce the benefit of the NHA to the community and their partners.

### **5.5.2 NHA Need for Financial Resource**

Table 6.1 also shows the leveraging strength of the Greenway. As described above, Greenway has sought and received funding from a diverse set of federal, state, local, and private funders. Over the years, Greenway Council and Greenway Conservancy Grants have been able to leverage millions of dollars in additional funding. For example, in 2006, \$1,924,741 was leveraged by municipalities, private funding sources, and various organizations for the 21 Greenway Conservancy Grants awarded that year. Additionally, in 2008 \$1,432,097.50 was leveraged by local communities and private funding sources from the 25 Greenway Council Grants that were awarded that year.



**Table 5.1 Federal Funds Received, Non-federal Funds Received, Total Revenue and Total Programmatic and Operational Expenses by Year**

Year	Federal Revenue	Non-Federal Revenue	Total Revenue	Expenses
1996	\$56,000	\$1,305,490	\$1,361,490	\$52,607
1997	\$100,125	\$962,385	\$1,062,510	\$42,424
1998	\$483,000	\$1,028,500	\$1,511,500	\$136,887
1999	\$552,956	\$881,941	\$1,434,897	\$466,592
2000	\$946,362	\$1,098,306	\$2,044,668	\$806,984
2001	\$944,221	\$1,681,748	\$1,905,954	\$559,700
2002	\$948,720	\$1,801,187	\$2,749,907	\$1,047,234
2003	\$658,160	\$1,127,281	\$1,785,441	\$627,361
2004	\$658,570	\$1,083,583	\$1,742,153	\$908,202
2005	\$555,160	\$1,337,190	\$1,892,350	\$763,888
2006	\$515,539	\$1,284,232	\$1,799,771	\$692,812
2007	\$618,360	\$1,269,319	\$1,887,679	\$657,024
2008	\$778,361	\$1,721,875	\$2,500,236	\$765,538
2009	\$948,690	\$3,787,102	\$4,735,792	\$677,465
2010	\$927,800	\$2,126,241	\$3,054,041	\$751,684
TOTAL	\$9,692,024	\$22,496,382	\$31,468,391	\$8,956,402

## Financial Sustainability

As noted earlier, there are several critical components to NHA sustainability, including but not limited to financial sustainability. In order for an NHA to be financially sustainable it must have sufficient funds to cover its operating and programmatic expenses. Table 5.1 presents HRVNHA's NPS funds received; non NPS funds received; and total expenses by year. A large portion of the total funds received by HRVNHA were not from the NHA funding stream and were in fact for other programs including the Hudson River National Estuarine Research Reserve (\$796,721) and the Quadricentennial program (\$851,000). As the chart shows, the federal investment in HRVNHA has ranged from a low of \$56,000 in its initial year of funding to a high of over \$948,000 in both 2002 and 2009. In total, the HRVNHA coordinating entity has received more than 50 percent (\$7,853,501) of the total \$15 million that was authorized in the original enabling legislation.

One of the fully sustainable programs of the HRVNHA is the Hudson River Valley Institute (HRVI) at Marist College. During the first year of the program, the HRVNHA coordinating entity invested money in the HRVI to underwrite a professorship at Marist College that focuses on the history of the Hudson

River Valley. Since then, the HRVI has become fully self-sustaining and is considered the academic arm of the HRVNHA. Marist College received funding through a National Endowment for the Humanities Challenge Grant and raised additional private funding to fund this professorship position moving forward. Now, the HRVNHA coordinating entity only provides funding for the publication of the journal and digital library produced by the HRVI.

### ***The Importance of NPS Funding and NHA Designation***

NPS funding provides flexibility and a consistent source of discretionary funding for the HRVNHA. The NPS funding has provided HRVNHA with flexibility to leverage other resources that can help preserve historical structures. A number of interviewees believe that NPS funding and NHA designation serves as an attraction for additional funds. If NPS funding is discontinued, the general view among those interviewed and close to the Greenway is that activities will likely be slowed.

Almost without exception, however, interviewees noted the importance of the NHA designation to the Hudson River Valley and its ability to be sustained. Interviewees involved in marketing and tourism note that the NHA designation has served as a good selling point. It serves in many ways as a “Good Housekeeping Seal of Approval” and helps to place the Hudson River Valley among a more elite group of destinations.

## **5.6 Sustainability Summary**

The evaluation found that the HRVNHA coordinating entity has a number of the critical components of sustainability in place. It has the necessary governance and staff to operate a sustainable NHA. The Boards of the Conservancy and Council lead the HRVNHA and have ongoing roles in planning, approving the direction of the staff, and ensuring that the HRVNHA is informed by the community as well as enmeshed in the work of the community. Staffing for the HRVNHA has seen a decline since 2006 due in large part to the hiring freeze from the state. As a result, some staff had to take on multiple roles and this has been a limitation. Even though the Executive Director’s unique set of skills and knowledge has been a strength for HRVNHA, this may be a weakness for overall sustainability.

Strategic planning has been at the heart of the Greenway, beginning with the development of the Management Plan. Planning continues to be a strong emphasis of the HRVNHA, with new attention being provided to engaging in opportunities of conveniences and strategic collaborations. As noted, two areas of HRVNHA’s management capacity that could be strengthened are lack of targeted fundraising and a formal structure for tracking data.

HRVNHA's partnerships have been significant for sustaining the heritage area mission and plans, as well as in financially sustaining the heritage area's work. In reviewing the financials for the Greenway, it is clear that the support of partner organizations is substantial in helping leverage other sources of funding. Over the past 12 years, HRVNHA has received over \$7.8 million from NPS, a little more than half of \$15million that could be available under the legislation. During this same time, HRVNHA has leveraged more double the federal NPS appropriation, or \$22.4 million of non-federal funds.

Both the NPS funding and the NHA designation have been of value to HRVNHA. The funding has provided flexibility, a consistent source of discretionary funds, and ability to leverage other resources. The funding has also helped the HRVNHA to have a coherent approach to implementing its management plan. If the NPS funding is discontinued, the general view among those interviewed and close to Greenway/HRVNHA is that progress will be slowed and some activities, like the Hudson Valley Ramble or the Great Hudson River Paddle, may not get accomplished. If funding were reduced, the HRVNHA would have to examine how to maximize federal dollars. For example, the HRVNHA would look for events of opportunity such as working with partners on their events, instead of sponsoring their own events. In addition, they would leverage use of technology like the website for marketing and advertising instead of brochures and promotional materials.

Almost without exception, interviewees also noted the importance of the NHA designation to the HRV and its ability to be sustained. Those interviewees involved with marketing and tourism note that the NHA designation has served as a good selling point for the Hudson River Valley. It serves in many ways as a "Good Housekeeping Seal of Approval" and helps to place the Hudson River Valley among a more elite group of destinations. Recognizing that the federal designation as an NHA will not itself sunset, this is a benefit that partner organizations will continue to benefit from even if the NPS financial support expires.

## **Appendix 1. National Heritage Area 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.

Or, see Section 462 at the following link:

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=110\\_cong\\_public\\_laws&docid=f:publ22](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=110_cong_public_laws&docid=f:publ22)

## Appendix 2. Authorizing Legislation

Public Law (PL) 104-333  
Enacted October 1996

### **SEC. 901. Short Title**

This title may be cited as the “Hudson River Valley National Heritage Area Act of 1996.”

### **SEC. 902. Findings**

The Congress finds the following:

1. The Hudson River Valley between Yonkers, New York, and Troy, New York, possesses important historical, cultural, and natural resources, representing themes of settlement and migration, transportation, and commerce.
2. The Hudson River Valley played an important role in the military history of the American Revolution.
3. The Hudson River Valley gave birth to important movements in American art and architecture through the work of Andrew Jackson Downing, Alexander Jackson Davis, Thomas Cole, and their associates, and played a central role in the recognition of the esthetic value of the landscape and the development of an American esthetic ideal.
4. The Hudson River Valley played an important role in the development of the iron, textile, and collar and cuff industries in the 19th century, exemplified in surviving structures such as the Harmony Mills complex at Cohoes, and in the development of early men’s and women’s labor and cooperative organizations, and is the home of the first women’s labor union and the first women’s secondary school.
5. The Hudson River Valley, in its cities and towns and in its rural landscapes--
  - a. displays exceptional surviving physical resources illustrating these themes and the social, industrial, and cultural history of the 19th and early 20th centuries; and
  - b. includes many National Historic Sites and Landmarks.
6. The Hudson River Valley is the home of traditions associated with Dutch and Huguenot settlements dating to the 17th and 18th centuries, was the locus of characteristic American stories such as “Rip Van Winkle” and the “Legend of Sleepy Hollow”, and retains physical, social, and cultural evidence of these traditions and the traditions of other more recent ethnic and social groups.
7. New York State has established a structure for the Hudson River Valley communities to join together to preserve, conserve, and manage these resources, and to link them through trails and other means, in the Hudson River Greenway Communities Council and the Greenway Conservancy.

### **SEC. 903. Purpose**

The purposes of this title are the following:

1. To recognize the importance of the history and the resources of the Hudson River Valley to the Nation.
2. To assist the State of New York and the communities of the Hudson River Valley in preserving, protecting, and interpreting these resources for the benefit of the Nation.
3. To authorize Federal financial and technical assistance to serve these purposes.

### **SEC. 904. Hudson River Valley American Heritage Area**

- a. Establishment.--There is hereby established a Hudson River Valley National Heritage Area (in this title referred to as the “Heritage Area”).

- b. Boundaries.--
1. In general.--Except as otherwise provided in paragraph (2), the Heritage Area shall be comprised of the counties of Albany, Rensselaer, Columbia, Greene, Ulster, Dutchess, Orange, Putnam, Westchester, and Rockland, New York, and the Village of Waterford in Saratoga County, New York.
  2. Areas excluded.--The Heritage Area shall not include any of the following:
    - A. The counties of Greene and Columbia
    - B. Those portions of the counties of Rensselaer and Dutchess located entirely within the 22d Congressional District of New York (as such district exists on the date of the enactment of this Act).

*The following was added by Section 324, PL 105-83 (1997)*

Notwithstanding section 904 (b) of Public Law 104-333, hereafter, the Heritage Area established under section 904 of title IX of division II of Public Law 104-333 shall include any portion of a city, town, or village within an area specified in section 904 (b) (2) of that Act only to the extent that the government of the city, town, or village, in a resolution of the governing board or council, agrees to be included and submits the resolution to the Secretary of the Interior and the management entities for the Heritage Area and to the extent such resolution is not subsequently revoked in the same manner.
- c. Management Entities.--The management entities for the Heritage Area shall be the Hudson River Valley Greenway Communities Council and the Greenway Conservancy (agencies established by the State of New York in its Hudson River Greenway Act of 1991, in this title referred to as the "management entities"). The management entities shall jointly establish a Heritage Area Committee to manage the Heritage Area.

#### **SEC. 905. Compact**

To carry out the purposes of this title, the Secretary of the Interior (in this title referred to as the "Secretary") shall enter into a compact with the management entities. The compact shall include information relating to the objectives and management of the area, including the following:

1. A discussion of the goals and objectives of the Heritage Area, including an explanation of a proposed approach to conservation and interpretation, and a general outline of the protection measures committed to by the parties to the compact.
2. A description of the respective roles of the management entities.
3. A list of the initial partners to be involved in developing and implementing a management plan for the Heritage Area, and a statement of the financial commitment of such partners.
4. A description of the role of the State of New York

#### **SEC. 906. Management Plan**

The management entities shall develop a management plan for the Heritage Area that presents comprehensive recommendations for the Heritage Area's conservation, funding, management and development. Such plan shall take into consideration existing State, county, and local plans and involve residents, public agencies, and private organizations working in the Heritage Area. It shall include actions to be undertaken by units of government and private organizations to protect the resources of the Heritage Area. It shall specify the existing and potential sources of funding to protect, manage and develop the Heritage Area. Such plan shall include specifically as appropriate the following:

1. An inventory of the resources contained in the Heritage Area, including a list of any property in the Heritage Area that is related to the themes of the Heritage Area and that should be preserved, restored, managed, developed, or maintained because of its natural, cultural, historic, recreational, or scenic significance.
2. A recommendation of policies for resource management which consider and detail application of appropriate land and water management techniques, including but not limited to, the development of intergovernmental cooperative agreements to protect the Heritage Area's historical, cultural,

recreational, and natural resources in a manner consistent with supporting appropriate and compatible economic viability.

3. A program for implementation of the management plan by the management entities, including plans for restoration and constructions and specific commitments of the identified partners for the first 5 years of operation.
4. An analysis of ways in which local, State and Federal programs may best be coordinated to promote the purposes of this title.
5. An interpretation plan for the Heritage Area.

#### **SEC. 907. Authorities and Duties of Management Entities**

- a. Authorities of the Management Entities.--The management entities may, for purposes of preparing and implementing the management plan under section 906, use Federal funds made available through this title--
  1. to make loans and grants to, and enter into cooperative agreements with, States and their political subdivisions, private organizations, or any person; and
  2. to hire and compensate staff.
- b. Duties of the Management Entities.--The management entities shall--
  1. develop and submit to the Secretary for approval a management plan as described in section 906 within 5 years after the date of enactment of this title.
  2. give priority to implementing actions as set forth in the compact and the management plan, including taking steps to--
    - A. assist units of government, regional planning organizations, and nonprofit organizations in preserving the Heritage Area;
    - B. assist units of government, regional planning organizations, and nonprofit organizations in establishing, and maintaining interpretive exhibits in the Heritage Area;
    - C. assist units of government, regional planning organizations, and nonprofit organizations in developing recreational resources in the Heritage Area;
    - D. assist units of government, regional planning organizations, and nonprofit organizations in increasing public awareness of and appreciation for the natural, historical and architectural resources and sites in the Heritage Area;
    - E. assist units of government, regional planning organizations and nonprofit organizations in the restoration of any historic building relating to the themes of the Heritage Area;
    - F. encourage by appropriate means economic viability in the corridor consistent with the goals of the Plan;
    - G. encourage local governments to adopt land use policies consistent with the management of the Heritage Area and the goals of the plan; and
    - H. assist units of government, regional planning organizations and nonprofit organizations to ensure that clear, consistent, and environmentally appropriate signs identifying access points and sites of interest are put in place throughout the Heritage Area;
  3. consider the interests of diverse governmental, business, and nonprofit groups within the Heritage Area;
  4. Conduct public meetings at least quarterly regarding the implementation of the management plan;
  5. submit substantial changes (including any increase of more than 20 percent in the cost estimates for implementation) to the management plan to the Secretary for the Secretary's approval;
  6. for any year in which Federal funds have been received under this title, submit an annual report to the Secretary setting forth its accomplishments, its expenses and income, and the entities to which any loans and grants were made during the year for which the report is made; and
  7. for any year in which Federal funds have been received under this title, make available for audit all records pertaining to the expenditure of such funds and any matching funds, and require, for all agreements authorizing expenditure of Federal funds by other organizations, that the receiving organizations make available for audit all records pertaining to the expenditure of such funds. If a



- management plan is not submitted to the Secretary as required under paragraph (1) within the specified time, the Heritage Area shall no longer qualify for Federal funding.
- c. Prohibition on the Acquisition of Real Property.--The management entities may not use Federal funds received under this title to acquire real property or an interest in real property. Nothing in this title shall preclude any management entity from using Federal funds from other sources for their permitted purposes.
  - d. Eligibility for Receiving Financial Assistance.
    - 1. Eligibility.--The management entities shall be eligible to receive funds appropriated through this title for a period of 10 years after the day on which the compact under section 905 is signed by the Secretary and the management entities, except as provided in paragraph (2).
    - 2. Exception.--The management entities eligibility for funding under this title may be extended for a period of not more than 5 additional years, if--
      - A. the management entities determine such extension is necessary in order to carry out the purposes of this title and notify the Secretary not later than 180 days prior to the termination date;
      - B. the management entities, Not later than 180 days prior to the termination date, present to the Secretary a plan of their activities for the period of the extension, including provisions for becoming independent of the funds made available through this title; and
      - C. the Secretary with the advice of the Governor of New York, approves such extension of funding.

#### **SEC. 908. Duties and Authorities of Federal Agencies**

- a. Duties and Authorities of the Secretary.—
  - 1. Technical and financial assistance.—
    - A. In general.--The Secretary may, upon request of the management entities, provide technical and financial assistance to the Heritage Area to develop and implement the management plan. In assisting the Heritage Area, the Secretary shall give priority to actions that in general assist in--
      - (i) conserving the significant natural, historic, and cultural resources which support its themes; and
      - (ii) providing educational, interpretive, and recreational opportunities consistent with its resources and associated values.
    - B. Spending for non-federally owned property.--The Secretary may spend Federal funds directly on non-federally owned property to further the purposes of this title, especially in assisting units of government in appropriate treatment of districts, sites, buildings, structures, and objects listed or eligible for listing on the National Register of Historic Places
  - 2. Approval and disapproval of compacts and management plans.--
    - A. In general.--The Secretary, in consultation with the Governor of New York, shall approve or disapprove a compact or management plan submitted under this title not later than 90 days after receiving such compact or management plan.
    - B. Action following disapproval.--If the Secretary disapproves a submitted compact or management plan, the Secretary shall advise the management entities in writing of the reasons therefor and shall make recommendations for revisions in the compact or plan. The Secretary shall approve or disapprove a proposed revision within 90 days after it is submitted.
  - 3. Approving amendments.--The Secretary shall review substantial amendments to the management plan for the Heritage Area. Funds appropriated pursuant to this title may not be expended to implement the changes until the Secretary approves the amendments.
  - 4. Promulgating regulations.--The Secretary shall promulgate such regulations as are necessary to carry out the purposes of this title.
- b. Duties of Federal Entities.--Any Federal entity conducting or supporting activities directly affecting the Heritage Area, and any unit of government acting pursuant to a grant of Federal funds or a federal



permit or agreement conducting or supporting such activities, shall to the maximum extent practicable--

1. consult with the Secretary and the management entities with respect to such activities;
2. cooperate with the Secretary and the management entities in carrying out their duties under this title and coordinate such activities with the carrying out of such duties; and
3. conduct or support such activities in a manner consistent with the management plan unless the Federal entity, after consultation with the management entities, determines there is no practicable alternative.

#### **SEC. 909. Authorization of Appropriations**

- a. **Compacts and Management Plan.**--There is authorized to be appropriated to the Secretary, for grants for developing a compact under section 905 and providing assistance for a management plan under section 906, not more than \$300,000 to remain available until expended, subject to the following conditions:
  1. No grant for a compact or management plan may exceed 75 percent of the grantee's cost for such study or plan.
  2. The total amount of Federal funding for the compact for the Heritage Area may not exceed \$150,000.
  3. The total amount of Federal funding for a management plan for the Heritage Area may not exceed \$150,000.
- b. **Management Entity Operations.**--There is authorized to be appropriated to the Secretary for the management entities, amounts as follows:
  1. For the operating costs of each management entity, pursuant to section 907, not more than \$250,000 annually.

(Section 909 b was amended through PL 105-83 (1997) by dropping the following language:  
"For technical assistance pursuant to Section 908, not more than \$50,000 annually.")

The federal contribution to the operations of the management entities shall not exceed 50 percent of the annual operating costs of the entities.

- c. **Implementation.**--There is authorized to be appropriated to the Secretary, for grants (and the administration thereof) for the implementation of the management plans for the Heritage Area pursuant to section 908, not more than \$10,000,000, to remain available until expended, subject to the following conditions:
  1. No grant for implementation may exceed 50 percent of the grantee's cost of implementation.
  2. Any payment made shall be subject to an agreement that conversion, use, or disposal of the project so assisted for purposes contrary to the purposes of this title, as determined by the Secretary, shall result in a right of the United States of reimbursement of all funds made available to such project or the proportion of the increased value of the project attributable to such funds as determined at the time of such conversion, use, or disposal, whichever is greater.

#### **SEC. 910. Sunset**

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

## **Appendix 3 . Evaluation Methodology**

(drafted in November 2011)

### **Background and Purpose**

In May 2008, Congress passed legislation<sup>6</sup> which requires the Secretary of the Interior to evaluate the accomplishments of nine National Heritage Areas (NHAs) no later than three years before the date on which authority for federal funding for each of the NHAs terminates. Based on findings of each evaluation, the legislation requires the Secretary to prepare a report with recommendations for the National Park Service's future role with respect to the NHA under review.

The National Parks Conservation Association's Center for Park Management (CPM) conducted the first evaluation of Essex National Heritage Area in 2008. In 2010, CPM, in partnership with the National Park Service (NPS), then contracted with Westat to evaluate the next two NHA sites: Augusta Canals in Augusta, GA and Silos and Smokestacks in Waterloo, IA. Each evaluation was designed to answer the following questions, outlined in the legislation:

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?

This document presents Westat's methodology for conducting the NHA evaluations for the six remaining heritage areas. This methodology includes: our core evaluation approach; evaluation design; associated data collection methods, sources, and measures; and analysis and reporting plans. Our methods build upon the methodology and instruments used in previous Augusta Canal and Silos and Smokestacks NHA evaluations.

In addition to outlining our core approach to the evaluation, this document describes the process Westat will use to tailor the approach for each of the specific NHA evaluations.

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<sup>6</sup> From P.L. 110-229, Section 462. EVALUATION AND REPORT, signed May 8, 2008

## Core Evaluation Approach

Our approach to the NHA evaluation centers around three basic principles – stakeholder collaboration, in-depth and triangulated data collection, and efficiencies of time and effort. The evaluation will use a case study design, examining each NHA individually. The case study design is appropriate for addressing the NHA evaluation questions since there are multiple variables of interest within each NHA and multiple sources of data with the need for convergence or triangulation among the sources. As noted below, data sources in each site will include documents, key informants from the coordinating/management entity and partner organizations, and community stakeholders. Data collection will be guided by a case study protocol outlining the domains and measures of interest using topic-centered guides for extracting data from existing sources and for interviewing key informants (individually and in group interviews).

The evaluation will incorporate a collaborative approach with project stakeholders to ensure that it is relevant to all and is grounded in the local knowledge of the site as well as designed to meet legislative requirements. Therefore, in the design and implementation of each evaluation, we will include the perspectives of NPS and NHA leadership. Working products will be developed in close coordination with NPS and the NHA evaluation sites throughout the evaluation process. Involving all key stakeholders and including varying perspectives at each stage of the process will ensure that the data collection methods and indicators, the analysis, and interpretation of the findings reflect their views and concerns.

## Core Evaluation Design and Measures

Westat is developing a core evaluation design that will then be tailored for each NHA evaluation. Three tools guide the development of the core evaluation design: the NHA Logic Model (Figure 1), the NHA Domain Matrix (Appendix C of the Replication Guide), and a comprehensive case study protocol. The basic structure of the NHA Logic Model is a visual representation of the:

- overarching goal for a NHA;
- resources and key partnerships available to help an NHA accomplish its goals;
- activities and strategies that are being implemented to accomplish the NHA goal;
- intended short and long -term outcomes; and
- the linkages among the activities, strategies, and outcomes.

Figure 1. NHA Logic Model

The logic model provides a blueprint for the case study design, outlining the components to examine, the indicators to measure, and the relationships to investigate between the various activities and outcomes. It therefore is a key tool for outlining the data that should be collected as well as the types of analyses that might be conducted. In addition, it provides an efficient way to display the underlying logic or framework of the NHA. For the core evaluation design, the NHA logic model has guided the development of the NHA Domain Matrix, which will in turn inform the development of a case study protocol to conduct the evaluation.

The NHA Domain Matrix is designed to thoroughly address the three key evaluation questions outlined in the legislation. The left-hand side of the matrix lists the key domains and measures required to answer each evaluation question. Each of these domains and measures are cross-walked with the potential data sources. Many of the domains will be informed by more than one data source, as is typical in a case study, to provide for more valid and complete results through triangulation of multiple perspectives. The sources for data collection include: existing NHA documentation, including foundational and financial documents; interviews with NHA staff and key partners; and input from citizens in the NHA community. A later section of this methodology will provide greater detail about the selected data sources and process for data collection. A brief synopsis of the Domain Matrix and how it guides our approach to addressing the key questions follows:

### **Evaluation Question 1: Based on its authorizing legislation and general management plan, has the Heritage Area achieved its proposed accomplishments?**

In addressing this question we will collect data through interviews and documents on the nature of the proposed NHA activities; how these activities are being implemented by the local coordinating entity/management entity, partnership network and/or the local community; and, the impacts of the activities. The measures also will address whether the NHAs are implementing the activities proposed in the initial NHA designation, and if not, what circumstances or situations may have led to their adaptation or adjustment. This examination consists of in-depth interviews with staff to understand what activities have resulted from the NHA designation that was initially not intended or expected. Also, in assessing the goals and objectives of the NHA, we will try to discern if there were mechanisms in place prior to establishment of the NHA intended to achieve these goals.

## **Evaluation Question 2: What have been the impacts of investments made by Federal, State, Tribal, and local government and private entities?**

Addressing this question will begin with gathering information through interviews with key NHA management staff and a review of financial data forms. Understanding what investments have been made will involve collecting data on both financial and non-financial investments, including data on the amount, nature, and sources of these investments over time. We will also examine the impact of these investments and how they are helping the NHAs achieve their intended outcomes through data collected from reviewing NHA plans and interviews with key partners and local residents of the NHA community. In cases when an NHA has numerous investment sources, we will focus on the NHA's "major" sources and whether these sources are restricted or unrestricted funds. To identify "major" sources of investment, we will examine the range of investment sources and characterize them by financial or time commitment thresholds.

## **Evaluation Question 3: How do the NHA's management structure, partnership relationships and current funding contribute to its sustainability?**

Data to inform this question will be primarily gathered from interviews with key NHA management staff and a subset of NHA partners, and by performing a review and analysis of the NHA financial documents. The definition of sustainability developed by the NPS working group<sup>7</sup> will be employed in addressing this question. We will examine the nature of management structure and partnership network and their contribution to sustainability. We will also assess the financial investments over time and their

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<sup>7</sup> 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.

Critical components of sustainability of a National Heritage Area include but are not 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

corresponding impact on the financial sustainability of those investments and their future with and without future federal funding. Specifically, we will perform an analysis of the ratio of federal funding to other fund sources and the change in this ratio over time overall and for specific activities. We will also interview NHA leadership and board staff to understand the extent to which fundraising activities have been prioritized for specific activities. Based on these analytic and data collection activities, an attempt would be made to determine what the likely effects on the NHA would be if federal funding was reduced or discontinued; specifically, which activities might have a prospect of continuing with reduced or discontinued federal funding, which would likely end with reduced or discontinued federal funding, and therefore, which goals and objectives might not be reached. The evaluation will also examine if there are activities that support issues of national importance, and thus, should be considered for other federal funding. Finally, the evaluation will address how other organizations that exist within the heritage area be effected by the sunset of federal funds, and if there are mechanisms in place for these organizations to work toward the heritage area goals post-sunset.

## Data Collection Methods

The planned data collection methods include: topic-centered interviews with NHA management staff; topic-centered interviews with members of the NHA partner network; intercept conversations with community stakeholders; review of the NHA plans and legal documents; review of the NHA guides, brochures, websites and other descriptive documents; and review of the NHA financial data records. In the sections below, we describe each of these methods, including how we will select the data sources, what data we will collect, and the tools we will use to collect the data. For each of the methods, we will begin by developing a ‘generic’ instrument that corresponds to the key elements outlined in the domain matrix. The process for tailoring the instruments to each of the evaluation sites include:

## Foundation Documents Review

A first set of documents will be reviewed to frame the decisions and actions of the coordinating entity’s role in implementing the designated NHA’s objectives. These documents provide many of the objectives for the NHA and frame expectations for the local coordinating entity. These documents include:

- Legislation – all federal, state and/or local legislation that provides the legal framework for the NHA
- Plans – all planning documents, including updates, developed by the coordinating entity and/or partners that are intended to deliver the legal mandates defined by Congress and/or other legislative bodies

- Legal documents – documents signed by the coordinating entity that allow it conduct/produce routine NHA business

Another set of documents will be obtained and reviewed to understand the nature of NHA activities and their relationship with NHA objectives. These documents include:

- Guides – documents designed to define how NHA business operates
- Annual financial statements and reports – includes audits, tax returns, budget activities and performance program reports
- Annual reports – includes reports to Congress, to partners and to the NPS and others
- Organizational structure and operations – how the coordinating entity, board(s) and committees do NHA work, their roles and functions
- Key milestones – a timeline of major events that document the evolution of the NHA to include outside influences affecting your planning and implementation process

We will collaborate with each of the NHA coordinating entities and NPS to gather these materials. We will also provide sample table shells to help NHA coordinating entity staff understand evaluation data needs and identify relevant documents to share with Westat.

In reviewing these documents, we will abstract information into tables that historically documents NHA activities, such as the number of visitors or number of workshops offered per year. We will also use a case study protocol to abstract key information and make use of data analysis software, such as NVivo, to meaningfully structure the data. This review of documents will be critical in helping us tailor the specifics of the evaluation for each site, particularly in selecting NHA staff and partners to interview.

## Financial Data Review

Our approach to the financial data review is informed by the Augusta Canal and Silos and Smokestacks evaluations, particularly with respect to the types of data collected and the nature of the analyses performed. We will review key NHA financial data records such as audits, tax returns, budgets and performance program reports to collect data on the amount and sources of funding for the NHA, trends in funding over a ten year period, and the impact of these resources on the economic sustainability of the NHA. We will coordinate with each of the NHA coordinating entities and NPS to gather these materials and collect supporting documentation regarding external matching contributions and use of NHA resources according to program areas. We will use a protocol to guide the review of financial data needs with each NHA site.



## Topic-Centered Interviews with Staff of the NHA Coordinating Entity

During a follow-up site visit, key staff from the NHA coordinating entity will be interviewed. The staff will include the Executive Director and staff in key roles identified through review of the foundational documents. For example, some of the staff selected for interviews could include managers of specific NHA activities (i.e. programming or marketing directors), or staff who work in finance, development or partner relationship functions. A topic-centered, semi-structured protocol will be used to conduct each of the interviews, obtaining information about the background of the NHA, NHA activities and investments, and their associated impacts, including their contribution to NHA sustainability. We will conduct individual interviews with the staff with the most history and scope of understanding of the NHA operations, such as the Executive Director or Finance Manager. Other staff, especially those with similar roles such as program assistants will be interviewed in groups to maximize the number of viewpoints gathered. Each of the topic-centered interviews will be semi-structured, outlining the key areas to cover and probes that are specific to the site. However, as new areas emerge, the interviews will be flexible to collect information on these areas. Although all interviews will be conducted on site at the coordinating entity, follow-up telephone conversations will be conducted as needed to capture additional information. We expect to spend one day interviewing up to 9 staff in each NHA.

## Topic-Centered Interviews with Members of the NHA Partner Network

Members of the NHA partner network, including NPS, will be interviewed in order to gain an understanding about NHA activities and investments and their associated impacts, including their contribution to NHA sustainability. A topic-centered, semi-structured interview protocol will guide these interviews, some of which will be conducted individually, either in person or by telephone, and others that will be conducted through group interviews to maximize the number of viewpoints gathered. If applicable for the respective site, we expect to select 15-20 partners from each NHA to interview. In determining criteria for selecting partners to interview, we will review foundational documents and website materials for each NHA site. These criteria will likely include the level of the partner's relationship with the NHA, the extent to which they participate and/or support NHA activities, their financial relationship and their geographic representation. We will share the list of selected partners with the NHA for completeness and will incorporate the NHA's suggestions of other partners who should be interviewed. Once this list is finalized, Westat will contact the partners for interview scheduling. We expect to have a range of stakeholders and organizations participate in these interviews adding to the multiple sources of data for triangulation.

## Community Input

Members of the NHA community will be invited to provide their input about the nature and impact of NHA activities through intercept conversations with a sample of residents in the NHA community. These conversations may take place at the heritage area site or at an event or place within the community. Conversations will help evaluation team gain an understanding of the community's familiarity with the heritage area and its unique and nationally significant aspects. The intercept conversations will also provide information about the residents' awareness of and appreciation for the heritage area. Westat will work with the NHA management entity to develop strategies for obtaining community input.

It is important to recognize the limitations in the data that will be collected through the community input strategies. First, as we will be identifying 'convenient' groups of individuals, it is likely that those involved will not be fully representative of local residents, tourists, and volunteers. Depending on how they are identified, they have more or less motivation to be interested in the NHA. In addition, the data collected will be largely qualitative. We will not be able to develop quantitative indicators of the community input, but rather collect more impressionistic input that will provide an indication based on each respondent's background, prior involvement, and interest as to how well the NHA is enhancing community awareness of, appreciation of, and involvement in the NHA.

## Analyze Data and Findings Document

The analysis and synthesis of each NHA's data will be guided by the overall protocol and the Findings Document outline. Data reduction will first begin by summarizing the data within each domain area, first within each source, and then synthesizing the data across sources. Attempts will be made to reconcile any issues or discrepancies across the sources by contacting the relevant parties at each NHA. Data will be summarized within each domain and analyzed for relationships, guided by the logic model. To the degree possible, results will be displayed graphically and in tables. Findings will reflect the triangulated information – where appropriate and feasible, it will be important to ensure that the results not only reflect the perspectives of the key informants but are substantiated with data from documents and other written sources.

Results of each NHA evaluation will be communicated in a Findings Document. The findings document will be guided by a modification of the outline finalized by the NHA Evaluation Working Group. The Findings Document outline was developed according to Westat's experience with the Augusta Canal and

Silos and Smokestacks evaluation, and has been streamlined to present key findings in an Executive Summary, combine sections according to the three evaluation questions, and address sustainability questions regarding the impact of the sunset of federal funds on NHA activities. Westat will first share a draft of the findings document with the Executive Director of the NHA coordinating entity for a review of technical accuracy. The Director will have the opportunity to share the findings document with other staff and stakeholders as desired, and can provide comments to the evaluation team, either in writing or via telephone discussion. Finally, if necessary to discuss differences, a joint telephone conversation involving the NHA Executive director, NPS and Westat can be held to discuss the comments and to arrive at a resolution. Once Westat has incorporated the feedback, the NHA coordinating entity will have another opportunity to review the findings document before it is shared with NPS. Once the NHA's final feedback is reviewed and incorporated, Westat will submit the draft findings documents to NPS for review. Westat expects to have the Final Findings Document for each evaluation complete by July 2012.

## **Tailoring the Evaluation Design for NHA Evaluation Sites**

The core evaluation design will be tailored to the six NHA sites under evaluation. A preliminary “meet and greet” visit to the NHAs will largely inform how the protocols should be customized for each site, including the domains that are relevant, the probes that should be added to inquire about each domain, and the specific data sources that are relevant for the site. We will work with the Executive Director to determine the key staff to involve in individual and group interviews during a second site visit, partner organizations that should be represented, and strategies to obtain community input.

During the initial site visit, a customized logic model for each NHA will be developed; detailing the respective NHA's goals, resources, partnerships, activities and intended outcomes. This process will involve a group meeting with NHA management staff and NPS partners to get a diverse range of perspectives and obtain a complete picture of the designated NHA. In preparation for this visit, we will review existing documentation for the NHA sites. We expect these preliminary “meet and greet” visits and logic modeling sessions to involve about two day of travel and meeting time.

Once the tailored logic models are finalized for each NHA evaluation site, Westat will then adapt the NHA Domain Matrix and the comprehensive case study protocol that were developed as part of the core evaluation design. These tailored tools will still address the evaluation research questions identified by the legislation, but will ensure that the questions are geared toward the specific aspects of each NHA site.

Interview data collection for each NHA evaluation will occur during a second visit to each NHA site, and is expected to last 3-5 days depending on the scope of the site. We will use memos to keep the NHA Executive Directors informed of our evaluation activities both pre- and post- site visits.

We will also work with each NHA during the second site visit, and with email and phone communications post site-visit, to collect and analyze information for the financial review. The financial data protocol will provide the NHA coordinating entity with an understanding of the data needs to address the second evaluation question guide these conversations in identifying years in which there is audit information pertinent to the evaluation and will help NHA coordinating entity staff to identify other data sources that will support the financial analysis.

## **Evaluation Limitations**

To the greatest extent possible, Westat has tried to ensure this evaluation methodology thoroughly addresses the three research questions. However, there are parameters to this methodology that result in a few limitations on evaluation findings. In some instances, there is a trade-off between maximizing the time and efficiency for the evaluation and the ability to thoroughly collect information from a range of stakeholders. For instance, to obtain input from community stakeholders, a survey is not possible within the current evaluation due to OMB Paperwork Reduction Requirements. Therefore, the data received from intercept conversations will be a more qualitative assessment of the community's perceptions of the NHA. As noted, limitations to the community input include convenient, rather than representative, samples of tourists, local residents, and volunteers, and impressionistic rather than quantitative data on the impact of the NHA on stakeholder knowledge, attitudes, and involvement in the NHA. Therefore, the data obtained will have to be viewed with these limitations in mind.

## Appendix 4 . Hudson River Valley National Heritage Discussion Protocols

### Hudson River Valley NHA Management/Staff

#### Topic-Centered Interview Discussion Guide

#### INTRODUCTION

Thank you for talking with me today. As part of the federally mandated evaluation of National Heritage Areas (NHAs) we are talking with Hudson River Valley Greenway staff who have the most history and scope of understanding of the NHA's operations. We developed this logic model, based off our last visit to your program, and would like to use it as a guide throughout the interview. Using this logic model as a guide, our discussion will help us gain a more detailed understanding of the Hudson River Valley (HRV) NHA, including its background and history, your different activities and investments and their associated outcomes, and their contribution to the NHA's sustainability.

Your participation in this interview is voluntary and it should take about 1 to 2 hours to complete.

The overarching goals on the HRV NHA are:

1. **Resource Preservation** – to inspire and educate people through sponsored events, grant programs, trainings and education; to work with communities to help them plan better
2. **Heritage and Environmental Education** – to teach the HRV by developing curricula and by helping teachers use resources to teach the curriculum; to provide grants for interpretation of history, ecology, and art
3. **Economic Development** – to increase tourism through experiential tours, use of trails, and regional events; to provide direct grants for economic development
4. **Recreation and Public Access** – to develop and promote the use of trails through direct effort and partnerships; to develop and promote the use of historic sites; to develop and promote access to the Hudson River
5. **Regional Planning** – to work on a regional scale on events, interpretation, economic development, and resource preservation; to work inter-municipally with government agencies to engage local communities to help them plan regularly

#### HISTORY AND BACKGROUND

1. Could you tell us about the organizational history and evolution prior to the HRV NHA designation?

2. How did the HRV NHA designation come about? How did this designation affect your strategic planning processes and management plan?
3. What is the nature of your relationship with NPS? In what capacity do you work together?
4. What was your working relationship like with NPS? Has that relationship evolved over the time you have been working with them?
5. How are the management and operations of the Hudson River Valley Greenway currently structured?

*Probes:*

- *-Description of executive leadership& role in organization*
- *Description of governance & role in organization*
- *Description of staffing and volunteers*

6. What is the mission and vision for the HRV NHA? What are the goals for the Hudson River Valley Greenway?
7. Can you describe the various planning processes that the Hudson River Valley Greenway has undertaken over time? When and how did you determine a need for this and what type of engagement of the larger community was necessary?

## ACTIVITIES

We'd like to get a better understanding about some of the activities that you and other staff told us about during our first site visit. We'd like to learn about how these activities fit into your overall programming and vision for the HRV NHA and who/what is involved in their implementation.

The HRV NHA has developed a set of goals and strategies that address the overarching goals of Resource Preservation, Heritage and Environmental Education, Economic Development, Recreation and Public Access, and Regional Planning. According to the logic model, the Hudson River Valley Greenway is involved in the following activities *[Choose from the activities listed below that pertain to the HRV NHA]*

### Resource Preservation

Activities and programs that preserve and protect historic structures and natural resources and revitalize local structures. Related activities may include providing grants, advancing Greenway principles, managing trails program, partnering to support initiative that protect natural historic resources, or GIS inventory of scenic resources to create database of HRV resources.

1. For each of these activities please provide the following details:
  - When did it begin? What was the impetus for starting it?
  - What has been the role of the Hudson River Valley Greenway?

- What has been the role of the HRV NHA Administrative staff (coordinating, sponsoring, promoting, attending, staff service on Boards)?
  - What has been the role of the HRV NHA's partnership network?
  - What has been the role of the local community (attending, promoting, supporting)?
  - Did anyone else have a role in this activity?
2. What has/have been the greatest impact(s) of this activity in your area?

*Probes:*

*Environmental, cultural and historic resources conservation*

*Providing grants*

*Advancing Greenway principles*

*Managing trails program*

*Partnering to support initiative that protect natural historic resources*

*GIS inventory of scenic resources to create database of HRV resources.*

3. How would this activity be affected if the federal funding sunsets? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
4. Are there documents you could provide us that describe this activity and how it has been implemented over the years?

## Education and Interpretation

Activities and programs that tell the history and culture of the HRV and foster and ethic of pride and stewardship among area residents to understand the importance of the geographic area. These activities may include developing interpretive materials and platforms, providing grants for education and community outreach, supporting Teaching the Hudson River Valley, and promoting regionally based heritage programs.

1. Could you provide the following details about:
- The types of topics covered? How do you determine the interpretation/education topics?
  - Who are the recipients? Who attends? (i.e. NHA staff, NPS staff, partners, etc.)
  - How do you determine which region/areas receive support?
  - The role of Hudson River Valley Greenway staff in providing this?
  - The role of the community in implementing these activities?
  - What are the costs and funding sources for the consultation?
  - What are the goals and objectives of these education and interpretation activities?

2. How long has the organization been providing interpretation and educational activities? Overall, what was the impetus for starting this activity?

*Probe- was it part of the original management plan? Seen as an unmet need in the community?*

3. How have the activities impacted:

*Probe – for each of these, how do you know any of these outcomes occurred?*

*Recipients and Participants – increased awareness and understanding?*

*Increased engagement, visitation and visibility of HRV?*

*Partners – their capacity, the relationships among partners - in what ways?*

*Greater amount/diversity in sources of funding committed to these activities*

*Increased diversification of local economy (e.g. entrepreneur and small business development)*

4. Could you tell us what have been the overall accomplishments of the education and interpretation activities? What challenges have you encountered in implementing these activities?
5. How do you evaluate and/or assess the effectiveness of each education and interpretation activity?
6. How would this activity be affected if the federal funding sunsets? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
7. How would this activity be affected if the federal funding decreases? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
8. Are there documents you could provide us that describe education and interpretation activities, such as the types of assistance provided, to whom and the related outcomes?

## Economic Development

Activities and programs that help to develop the HRV into a destination for “heritage tourism” and stimulate tourism/economic development. Examples of some of these activities include providing grants for local and regional economic development strategies and recreations use of the Hudson River, developing unique kayak storage lockers, holding special events, and fundraising on a limited basis.

1. For each of these activities:
  - When did it begin? What was the impetus for starting it?
  - What has been the role of the Hudson River Valley Greenway?
  - What has been the role of the partnership network?
  - What has been the role of the local community?



- What have been the overall accomplishments of this activity in your area? What challenges have you encountered in implementing this activity?
  - How do you evaluate and/or assess the effectiveness of it?
2. What kind of an impact do you think oversight and management of the HRV NHA and its resources has had in the community?

*Probes:* - *Increase engagement, visitation and visibility of HRV Sites by locals and visitors*  
*Greater amount and diversity in sources of funding committed to interpretive and educational programming*  
*Increase attendance at Greenway events*  
*Increase tourism dollars to diversify the local economy (e.g. entrepreneur and small business development)*

3. How would this activity be affected if federal funding sunsets? Are there other organizations in the community who also provide this activity in a way that supports the heritage area?
4. How would this activity be affected if the federal funding decreases? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
5. Are there documents you could provide us that describe this activity and how it has been implemented over the years?

## Recreational Usage

Activities that promote recreational usage in the HRV. This may include special events, water trail amenities, trail programs and designations, and guide book development.

1. For each of these activities:
  - When did it begin? What was the impetus for starting it?
  - What has been the role of the Hudson River Valley Greenway?
  - What has been the role of the partnership network?
  - What has been the role of the local community?
  - What have been the overall accomplishments of this activity in your area? What challenges have you encountered in implementing this activity?
  - How do you evaluate and/or assess the effectiveness of it?
2. What kind of an impact do you think oversight and management of the HRV NHA and its resources has had in the community?

*Probes:*  
*Increase engagement, visitation and visibility of HRV Sites by locals and visitors*  
*Increase visitor amenities along HRV*

*Increase attendance at HRV Greenway events*

3. How would this activity be affected if federal funding sunsets? Are there other organizations in the community who also provide this activity in a way that supports the heritage area?
4. How would this activity be affected if the federal funding decreases? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
5. Are there documents you could provide us that describe this activity and how it has been implemented over the years?

## **Marketing, Advertising, and Outreach**

Activities that increase public use and awareness of the Hudson River Valley NHA and further its economic sustainability. Marketing and public outreach may encompass the use of guides, brochures, signage, newsletters, social media and/or participation in community events to increase public awareness of the Hudson River Valley NHA.

1. For each activity could you provide us details about:

- What it entails?
- The impetus for starting the activity?
- How long it has been in place?
- The role of Hudson River Valley NHA staff?
- The role of the local community?
- The role of members of your partnerships?

2. How have these marketing and awareness building activities affected:

*Probe – for each activity, how do you know any of these outcomes occurred?*  
*Increase awareness understanding, and pride in HRV*  
*Increase use of websites and distribution of guide books, map guides, brochures, and peer review journal*  
*Increase engagement, visitation, and visibility of HRV sites and events*  
*Increase collaborations with non-partner entities (i.e. other NHAs, outdoor sport organizations)*

3. Could you tell us the overall accomplishments of your marketing activities? What challenges have you encountered in implementing these activities?
4. How would the marketing and outreach activities be affected if the federal funding sunsets? Are there other organizations in the community who also provide the same marketing and outreach activities as the HRV NHA in a way that support the heritage area?

5. How would this activity be affected if the federal funding decreases? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
6. Are there documents you could provide us that describe the Hudson River Valley NHA's marketing and outreach activities and how they have been implemented over the years?

## Regional Planning and Technical Assistance

Activities that build local community capacity and assist individuals, organizations and communities who are involved in HRV NHA activities. These activities could include grant-making, provision of technical assistance, or other activities.

### Grant-making

1. We'd like to learn more about your grant-making activities. Can you describe the different grant programs that you offer?
  - When it began?
  - The impetus for starting it?
  - The activities it supports? *Probe – how does it promote the preservation, interpretation and education and programming of the Hudson River Valley's unique story?*
  - How it is funded? Does it leverage other funding?
  - Whether the grants are provided for a specific purpose/time period and/or if they could be sustained on their own without continued NHA funding?
  - The grant-making process for this program:
    - How do organizations find out about and apply for grants?
    - What is the size of the grants?
    - What is the process for determining award?
    - What are the funding and reporting requirements?
    - What is time period of award?
2. Overall, how have the grants programs affected :

*Probe – for each activity, how do you know any of these outcomes occurred?*

*Build capacity of communities*

*Facilitate compact process for communities in HRV*

*Foster future stewardship of HRV sites and resources*

*Greater amount and diversity in sources of funding committed to interpretive and educational programming*

*Simulate the local economy (e.g. entrepreneur and small business development)*

3. Are there certain grant programs that have been more successful than others in achieving the goals of the Greenway? If so, why do you think these have better impacts for the overall HRV NHA area than others?
4. What challenges have you had in administering these grant programs? Are there certain ones that are more or less problematic? In what ways? What have you done to deal with these challenges? What has worked? What has not?
5. What challenges have grantees encountered in implementing the grants?
6. How do you evaluate and/or assess the effectiveness of your grant-making activities?
7. How would this activity be affected if the federal funding sunsets? Are there other organizations in the community who also provide grants that support the heritage area?
8. How would this activity be affected if the federal funding decreases? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
9. Are there documents you could provide us that describe these grant programs and how they have been implemented over the years?

### **Technical Assistance**

We'd like to learn more about your grant-making activities. Can you describe the different grant programs that you offer?

1. What are the types of topics covered? How do you determine topics?
2. Who are the recipients?
3. How you determine when and to whom to offer these services?
4. If it is an event, in what region/area is it delivered?
5. Who provides the technical assistance activity (i.e. NHA staff, NPS staff, partners, etc.)?
6. How many times have you performed technical assistance activities in the past year? What is the length of time for each?
7. What are the costs and funding sources for different technical assistance activities?
8. What are the goals and objectives of technical assistance activities?

How long has the organization been providing technical assistance? Overall, what was the impetus for starting this activity?

*Probe- was it part of the original management plan? Seen as an unmet need in the community?*

*How has technical assistance affected:*

*Probe – for each activity, how do you know any of these outcomes occurred?*

*Build capacity of communities*

*Facilitate compact process for communities in HRV*

*Foster future stewardship of HRV sites and resources*

*Greater amount and diversity in sources of funding committed to interpretive and educational programming*

Simulate the local economy (e.g. entrepreneur and small business development)

1. Could you tell us what have been the overall accomplishments of technical assistance activities? What challenges have you encountered in implementing these activities?
2. How do you evaluate and/or assess the effectiveness of technical assistance?
3. How would this activity be affected if the federal funding sunsets? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
4. How would this activity be affected if the federal funding decreases? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
5. Are there documents you could provide us that describe technical assistance activities, such as the types of assistance provided, to whom and the related outcomes?

## Community Impact

Activities that promote a unified regional identity among diverse communities and organization within the geographic area of the HRV. This may include coalition building, creating trails and community plans, and partnership building.

1. For each of these activities:
  - When did it begin? What was the impetus for starting it?
  - What has been the role of the Hudson River Valley Greenway?
  - What has been the role of the partnership network?
  - What has been the role of the local community?
  - What have been the overall accomplishments of this activity in your area? What challenges have you encountered in implementing this activity?
  - How do you evaluate and/or assess the effectiveness of it?
2. What kind of an impact do you think oversight and management of the HRV NHA and its resources has had in the community?

*Probes: - Increase sense of community among local governments and organizations within the HRV*

*Increase partnerships among diverse organizations within the HRV  
Greater amount and diversity in sources of funding committed to community  
impact*

3. How would this activity be affected if federal funding sunsets? Are there other organizations in the community who also provide this activity in a way that supports the heritage area?
4. How would this activity be affected if the federal funding decreases? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
5. Are there documents you could provide us that describe this activity and how it has been implemented over the years?

## **Other Planning and Technical Assistance Activities**

1. When did it begin? What was the impetus for starting it?
2. What has been the role of the NHA coordinating entity?
3. What has been the role of the partnership network?
4. What has been the role of the local community?
5. What have been the overall accomplishments of this activity in your area? What challenges have you encountered in implementing this activity?
6. How do you evaluate and/or assess the effectiveness of it?
7. How would this activity be affected if the federal funding sunsets? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
8. How would this activity be affected if the federal funding decreases? Are there other organizations in the community who also provide this activity in a way that support the heritage area?
9. Are there documents you could provide us that describe this activity and how it has been implemented over the years?

## **BOARD OF TRUSTEES AND ADVISORY GROUPS**

### **Board of Trustees and Advisory Groups**

1. Can you tell us about the history of and/or your role on the Board of Trustees or Advisory Group? Has your/their role changed across the life of the HRV NHA?
2. What are the responsibilities of members of these committees? For instance, does it involve setting goals, establishing budgets and financial accountability for the Hudson River Valley Greenway?
3. How do the skills and expertise that members of these committees bring to the table contribute to the HRV NHA's sustainability?

4. Do you/ members of these committees assist with fundraising? Contribute financially?
5. What kind of fundraising plan (immediate and long-term, sustainable impacts) is in place?
6. What is the process of communication between this HRV NHA's staff and members of the Board of Trustees and Advisory Groups?
7. What activities has the HRV NHA conducted over the years to garner community support? What have been your successes and challenges?
8. Can you tell us what you think have been your greatest successes and most serious challenges across the history of this HRV NHA?

### **Board's Contribution to Sustainability.**

1. How do the diversity of skills and expertise that members of the Board bring to the table contribute to the HRV NHA's sustainability?
2. Has the HRV NHA's Board demonstrated a capacity for adaptive management over time (incl. changes in staffing levels, strategic planning, etc.)?
3. What kinds of investments has the Board made toward developing staff and career advancement opportunities?
4. Has the HRV NHA's Board seemed to have set clear goals for the HRV NHA with well-defined timeframes?
5. What kind of system does the Board have in place for setting annual goals or for establishing budgets?
6. What kind of process does the Board have in place for collecting data on measurable HRV NHA goals and usage of those data (monitoring and evaluation)?
7. What kind of fundraising plan (immediate and long-term, sustainable impacts) is in place?
8. How does the Board of this NHA maintain financial accountability for the HRV NHA? What kind of system is in place for this?
9. How "transparent" is the Board's system for setting goals, establishing budgets and financial accountability for the HRV NHA? (Is this a public or private process)?
10. What kind of plan is in place for stakeholder development?

*Probe:- How has the HRV NHA's partner network grown over the years?*

11. How does the Board typically communicate with partners, members and local residents?

*Probe: - What kind of communication systems are in place for communicating with these groups?*

*How "transparent" and effective are the Board's channels of communication with governance, staff, volunteers, partners, etc.?*

12. Would you say that this HRV NHA's Board has a leadership role in the partner network? If so, how?

## PARTNERS AND PARTNERSHIP NETWORK

### Partners and Nature of Partnerships

1. Who are the HRV NHA's key "partners" (e.g., city, other agencies, groups, foundations, businesses, exhibits/attractions)? *Probe on:*

#### *Primary Partners*

- Greenway
- National Park Service
- New York DEC Hudson River Estuary Program

#### *Secondary Partners*

- Federal Agencies
- New York State Agencies
- 100 Heritage Sites
- Local Governments
- Foundations, Not-For-Profits, and Regional Organizations

For each partner listed ask questions 1a – 1c.

- 1a. What do you see as the "purpose" of the HRV NHA's partnership?
- 1b. Describe the level of involvement with the HRV NHA.
- 1c. What kinds of resources has this partner committed to the HRV NHA? For what? For how long?
2. Could you describe how an organization becomes a partner? What is the partner designation process? What are the requirements for becoming a partner?
3. What types of services or support do partners receive from the HRV NHA?
4. What types of services or support do you receive from your partners?
5. How do partners support one another?



6. How has the HRV NHA's partnership network grown and evolved over time?

*Growth in number of partners and regions over time?*

*Different types of organizations that are partners – non-profits, volunteer-led organization, for-profits, etc.*

7. In what ways has the partnership network influenced your organization?

*Probe:*

*Increase engagement, visitation and visibility of HRV Sites by locals and visitors*

*Greater amount and diversity in sources of funding committed to interpretive and educational programming*

*Increase attendance at HRV Greenway events*

*Increase tourism dollars to diversify the local economy (e.g. entrepreneur and small business development)*

8. What challenges have you faced with your partnership network? For instance, have there been challenges in identifying partners, meeting their needs, engaging partners over time or in making a cohesive network of partners?

## **Partner Network's Contribution to Sustainability**

1. Does the HRV NHA have a broad base of partners representing diverse interests and expertise?
2. How do the partners/organizations contribute to accomplishing the goals and objectives of the HRV NHA? Do partners collaborate and combine their investments to accomplish NHA objectives? If yes, how?
3. How has the number HRV NHA partners changed over time?

*Probe: What kind of partner retention has the Hudson River Valley NHA had over the years?*

4. What kinds of roles (if any) do HRV NHA partners have on the board?
5. Does there seem to be trust and support among partners?
6. How would partners, and their HRV NHA related activities be affected if federal funding for the NHA discontinued? Would their activities continue to work towards accomplishing the goals and objectives of the NHA, and if so, how?

## **ACCOMPLISHMENTS, CHALLENGES AND LESSONS LEARNED**

1. In your experience, what have been some of the major accomplishments for the HRV NHA?
2. Could you tell us about some of the challenges the Hudson River Valley Greenway and the HRV NHA face?

3. How would the HRV NHA be affected if it could not be financially sustained with federal NHA funding?

*Probe:*

*Which program areas/activities would be affected and how?*

*What, if any, activities would continue?*

*What, if any, activities would end with the sun-setting of funds?*

*Are any of these activities of National importance and thus should be considered for further federal funding?*

4. What, if any, organizations or mechanisms currently exist outside of the HRV NHA entity for accomplishing the goals and objectives of the NHA? Would these organizations or mechanisms continue to work toward the heritage area goals post-sunset?
5. Are there ways the HRV NHA has changed the region since its inception? How? In what ways? How has the NHA's impact changed over time?
6. What were some of the early lessons learned or unintended consequences (e.g. issues related to collaborating rather than competing with partners) in implementing the activities and strategies for the HRV NHA?
7. Could you tell us about any evidence of community support for the HRV NHA? What does this look like (i.e. volunteers, funding, invitation to participate on the boards of other organizations, engagement of State leadership, etc.?)
8. What additional things would you have the Hudson River Valley Greenway of HRV NHA do, if any? What changes would it be helpful for the Hudson River Valley Greenway or HRV NHA to make?

# Hudson River Valley Partner Network

## Topic-Centered Interview Discussion Guide

### INTRODUCTION

Thank you for agreeing to meet with us today about your organization's involvement with the Hudson River Valley National Heritage Area (HRV NHA). We are researchers from Westat, a research company based outside of Washington DC and we are conducting a study on National Heritage Areas.

Specifically, we're interested in learning about your work with the Hudson River Valley Greenway and HRV NHA and any assistance you have either received from or contributed to the National Heritage Area. We are interested in collecting information about your relationship with Hudson River Valley Greenway and HRV NHA, how it has evolved and how the HRV NHA has changed over time.

Your participation in this interview is voluntary and it should take about an hour to complete.

### BACKGROUND

1. Describe your organization overall?

*Probe:*

*What is the type of organization (i.e. museum, historical society, etc.),*

*What does it do,*

*Who does it serve,*

*Size of the organization (staffing, number of active volunteers, budget),*

*Length of time it's existed.*

2. What is your position and role in the organization? How long have you been with the organization? Other positions held?

### WORK WITH HUDSON RIVER VALLEY GREEWAY AND HRV NHA

1. Can you briefly describe the nature of your relationship with the Hudson River Valley Greenway and HRV NHA?
2. When and how did your partnership with the HRV NHA begin? What, if any, requirements are there for being a partner?
3. What factors influenced your decision to become a partner with the HRV NHA?

4. What is the nature of the partnership?

*Probe here for receipt of activities from HRV NHA, including:  
Technical Assistance and Support (see probes below)  
Collaboration (see probes below)  
Grants (types, amount, when)*

5. Could you describe how your organization's program activities contribute to the HRV NHA's unique story?

6. Could you describe how your partnership with the Hudson River Valley Greenway and HRV NHA has affected your organization?

- Has it had any effect on the types of visitors you get? The number? Why or why not? How do you know?
- Has it helped you identify others to work with? Did you know of these organizations before you partnered with HRV NHA?
- Has it helped you receive funding? In what ways? What funding have you received that you may not have without the HRV NHA partnership?
- Has it helped you have more community:
  - Visibility?
  - Involvement?
  - Etc.?
- Does it help you identify or be in touch with other resources and best practices that you may not have known about?

## TECHNICAL ASSISTANCE & CAPACITY BUILDING ASSISTANCE

1. Could you describe the types of assistance and other types of non-financial support your organization has received from the HRV NHA?

- What type of assistance did you receive (training, consultations, facilitated meetings, brainstorming ideas, site assessments, etc.)
- Who did you receive it from?
- Where did you receive it?
- How did you find out about this assistance?
- Were there requirements for participating in these activities?

- Did you need to pay for this assistance?
- 2. Could you describe how you've used this assistance to incorporate or enhance stories about the Hudson River Valley into your programming?
- 3. How have this assistance and your activities/offerings evolved over time?
- 4. What does this assistance from HRV NHA allow your organization to do? Has it allowed you to work and collaborate with other organizations in the area? What are the advantages of receiving this assistance?
- 5. Do you still receive financial assistance from the HRV NHA? What would you have been able to do without this grant funding?

## COLLABORATION

1. Could you describe the ways your organization collaborates with HRV NHA and its partners?

*Probes:*

*Restoration and Preservation activities*

*Education and Interpretation activities*

*Recreational use, economic development, regional planning, etc.*

2. How does collaboration affect your organization's ability to meet its goals?

*Probe:*

*Has this collaboration helped you build your financial, programming or organizational capacity?*

3. Have you gained access to other organizations or resources in the community because of your collaboration with HRV NHA? How? *Probe – NPS, other state resources*

## OVERALL IMPACT OF PARTNERSHIP WITH HRV NHA – To all Partners and Partnership Panel

1. How has your relationship with the Hudson River Valley Greenway and HRV NHA evolved over time? Has the impact of HRV NHA changed over time – grown stronger, weaker or stayed the same?
2. Have you experienced any challenges as a result of your partnership with the HRV NHA?  
  
*Probe – limitations on ability to fundraise or collaborate with other organizations?*
3. What leadership roles does the HRV NHA play in the community? Convener? Organizer? Funder? Other?

4. Are there ways in which the Hudson River Valley Greenway and HRV NHA have changed the region over the past 12 years? How? In what ways? How has HRV NHA's impact changed over time?

*Probe – were there mechanisms present before the NHA coordinating entity designation?*

5. Is it important for your organization to continue working with HRV NHA? Why? What factors influence your continued relationship?
6. What additional things would you have the Hudson River Valley Greenway and HRV NHA to do, if any? What changes would be helpful for HRV NHA to make? In general, in what ways could they serve your needs better and the needs of the region?
7. How would your organization be affected if the federal funds that support the HRV NHA were reduced? Would any of your activities that contribute to the HRV NHA mission and story continue?

*Probe: if there would be an impact on the quantity or quality of these activities?*

8. How would your organization be affected if the federal funds that support the HRV NHA discontinued? Would any of your activities that contribute to the HRV NHA mission and story continue? *Probe if there would be an impact on the quantity or quality of these activities?*
9. What do you think would be the overall impact if the federal funding that supports the Hudson River Valley Greenway and HRV NHA discontinues? Are there other mechanisms or organizations that could support the unique features and heritage of the area?

## Hudson River Valley National Heritage Area Residents/ Visitors Topic Centered Interview Discussion Guide

Hi, my name is [INTERVIEWER NAME] and I'm working with the National Park Service to learn what visitors here know about the National Heritage Area that is located here. Do you have about 5 minutes to chat with me? I'm interested in getting your opinions rather than your personal information. We can stop our conversation whenever you wish and you are free to move on at any time. Also, feel free to skip any questions you would rather not discuss.

Interviewer Observations  
(Do not ask respondent.)

Gender:    ☐ Male                                      ☐ Female

Age range:

- |  |                                      |
|--|--------------------------------------|
| <input type="checkbox"/> 19 or younger | <input type="checkbox"/> 50 – 59     |
| <input type="checkbox"/> 20 - 29       | <input type="checkbox"/> 60 – 69     |
| <input type="checkbox"/> 30 - 39       | <input type="checkbox"/> 70 or older |
| <input type="checkbox"/> 40 - 49       |                                      |

Interview location: \_\_\_\_\_

### Conversation Topics:

1.    Residency:            ☐ Local resident    ☐ State resident            ☐ Out-of-state
2.    Do you know about the National Heritage Area?
3.    How did you find out about it?
4.    What is your reason for visiting:
5.    ☐ First time visit    ☐ Repeat visit
6.    Familiarity with Hudson River Valley NHA's history
  - Probe on source of knowledge
  - Probe on if and how this visit has enhanced their knowledge of the historical and cultural significance of the region
  - Probe on whether other sites have been visited or whether trails have been used

7. Familiarity with the Hudson River Valley National Heritage Area

- Probe on materials ( brochure)
- Probe on signage (signage)
- Probe on visiting Hudson River Valley NHA resources (tours, museums, trails)
- Probe on message (themes) of Hudson River Valley NHA
- Probe on what Hudson River Valley NHA means to them
- If local, probe on role of Hudson River Valley NHA in community – economic, cultural, historic, restorative [revitalization]



Appendix 5. Timeline of Hudson River Valley National Heritage Area Key Events

