National Heritage Area

Evaluation Guide

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National Heritage Areas Program Office
1201 I Street NW
Washington DC 20005

www.nps.gov/heritageareas
(202) 354-2222

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Introduction

National Heritage Areas (NHAs) are designated by Congress as places where natural, cultural, and historic resources combine to form a cohesive, nationally important landscape. Through their resources, NHAs tell nationally important stories that celebrate our nation's diverse heritage. NHAs are lived-in landscapes and are a grassroots, community-driven approach to heritage conservation and economic development. Through public-private partnerships, NHA entities support historic preservation, natural resource conservation, recreation, heritage tourism, and educational projects. The National Park Service (NPS) provides administrative support and allocates funding provided by Congress for NHAs across the country. NPS uses evaluation findings to assess the accomplishments, investments and sustainability of NHAs and to make recommendations to Congress about the role of NPS with regard to NHAs.

This National Heritage Area Evaluation Guide (the Guide) is designed to assess the roles, processes, and structures that are common across National Heritage Areas, but also to be sensitive to each NHA's unique American story and context. It recognizes the roles that NHAs play in resource preservation, community and economic development, education and historical interpretation, and recreation, and ensures that the evaluation design captures these roles. The NHA evaluation methodology incorporates a case study design that addresses three main evaluation questions:

1. Based on its authorizing legislation and general management plan, has the Heritage Area achieved its proposed accomplishments?

2. What have been the impacts of investments made by Federal, State, Tribal and local government and private entities?

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

A case study evaluation design allows for the collection and analysis of multiple variables of interest from multiple sources of data within an NHA. Case study protocols are used to guide data collection from multiple sources of data. The data are then analyzed by synthesizing findings within areas of interest and across sources. Another component of the evaluation methodology is the incorporation of a collaborative approach with the NHA coordinating entity to ensure that findings are relevant to all and grounded in the local knowledge of the site while remaining objective. Integrated throughout the evaluation are opportunities for evaluators to incorporate NHA staff perspectives and review to ensure the evaluation is implemented in a manner that is attentive and attuned to each NHA's unique identity.

The Guide outlines an approach based on certain resource assumptions, including a 2 to 3 person evaluation team to carry out the evaluation in 4 to 6 months, depending on the size and complexity of the specific Heritage Area. The evaluators should have a background with social science research, and have experience in conducting multi-site evaluation projects that employ multiple methods for analyses. This includes the ability to collect and analyze qualitative and quantitative data from multiple methods and sources. In particular, the evaluators should have experience with developing data collection tools, conducting interviews to collect qualitative data from a range of key informants, and using tools and techniques to abstract data for analyses.

Overview of the Guide

The Guide outlines three phases for conducting a NHA evaluation to help ensure a comparable process is used across various NHA evaluations. The first phase involves steps the evaluation team needs to take to tailor the design to the specific NHA. These include becoming familiar with the background and activities of the NHA and its associated coordinated entity, and then tailoring the evaluation design for the respective Heritage Area. The second phase involves the collection and review of data from NHA documents, from interviews during a data collection site visit, and from a review of financial audits and reports. The third phase of the evaluation involves steps to complete data analyses, and draft the final evaluation report (titled the Findings Document).

The following is an outline of the activities that occur within each phase of the evaluation. The remainder of this Guide provides a detailed account of how to implement each of these activities.

Phase 1: Tailoring the Evaluation Design

Activity 1: Participate in the NHA Evaluation Kick-Off Call
Activity 2: Collect and Initial Review of Introductory NHA Documentation
Activity 3: Conduct Meet and Greet Site Visit
Activity 4: Draft and Finalize the NHA Logic Model, Domain Matrix, and Topic-Centered Interview Guides

Phase 2: Data Collection and Initial Review

Activity 1: Document Collection and Review
Activity 2: Conduct Data Collection Site Visit and Topic-Centered Interviews
Activity 3: Conduct the Financial Review

Phase 3: Data Analysis and Findings Document Writing

Activity 1: Conduct Data Analyses and Synthesize Data
Activity 2: Draft Findings Document, and Finalize for Submission

Acknowledgement

This 2014 Evaluation Guide is an update of the *National Heritage Area Evaluation Replication Guide* developed and written by Westat, an employee-owned research firm based in Rockville, Maryland, in 2012.

Phase 1: Tailoring the Evaluation Design

The first phase of the evaluation involves orienting the evaluation team to the NHA and its associated coordinating entity, and tailoring the evaluation design for the respective Heritage Area. This phase of the evaluation can last 1 to 2 months. Activities for the evaluation team within this phase include participating in an NHA Evaluation Kick-Off Call, collecting and reviewing introductory NHA documentation, conducting a Meet and Greet site visit to the Heritage Area, and drafting the site-specific logic model, domain matrix, and interview protocols. These activities are described in the following pages:

- Activity 1: Participate in the NHA Evaluation Kick-Off Call – Page 4
- Activity 2: Collect and Initial Review of Introductory NHA Documentation – Page 6
- Activity 3: Conduct Meet and Greet Site Visit – Page 8
- Activity 4: Draft the NHA Logic Model, Domain Matrix, and Topic-Centered Interview Guides – Page 11

Activity 1: Participate in the NHA Evaluation Kick-Off Call

In this first activity, the NHA Evaluation Kick-Off Call, the evaluation team will work with the National Park Service (NPS) to organize the call. The kick-off call is the first instance of communication between the evaluation team and the NHA being evaluated, and ideally occurs one month prior to the first data collection visit (the Meet and Greet site visit described in Activity 3). This kick-off call is hosted by NPS's National Coordinator for Heritage Areas. In arranging the call, NPS will share an agenda with the NHA coordinating entity, and ask them to set aside two hours. Figure 1-1 is a sample agenda for the kick-off call. Participants include the evaluation team, the Executive Director from the NHA coordinating entity, and the NPS national and regional coordinator to the Heritage Area. Other coordinating entity staff or governing body members may also attend the call.

The purpose of the kick-off call is for NPS to introduce the evaluation and evaluation team to the NHA coordinating entity. Prior to the call, NPS will have shared evaluation methodology and foundational document checklist (located in Appendix B) with the NHA. These materials will help prepare the NHA coordinating entity both for the evaluation and the kick-off call.

After the introduction, the evaluation team takes a lead role on the call by explaining to the NHA coordinating entity the evaluation's purpose and objectives, methodology, and timeline. The evaluation team also will work with NPS to clarify for the coordinating entity what its role is in the evaluation, how and with whom the findings will be shared, and how the evaluation findings will inform Congress. The coordinating entity's key responsibilities include providing evaluators with documents, helping schedule site visits, strategizing on ways to obtain community input, and reviewing draft evaluation reports. Also, during the conversation regarding roles and responsibilities, the evaluation team will let the coordinating entity know that they will be the first to review drafts of the findings document to ensure accuracy and thorough representation of their work before the draft is sent to NPS or any other group.

Other items that will be covered during the kick-off call include reviewing data collection plans, and initiating plans for an upcoming Meet and Greet site visit. As noted above, the NHA coordinating entity will have received a NHA foundational document checklist from NPS prior to the kick-off call. This helps the evaluation team discuss and confirm with the coordinating entity how and when the foundational documents will be shared (i.e., electronically or by mail). The next activity in the Guide (Phase 1 –Activity 2) provides details about the foundational documents and their purpose for the evaluation.

Finally, since a portion of the kick-off calls involves initiating plans for the upcoming Meet and Greet site visit (discussed further in Phase 1 – Activity 3), the evaluation team will share and review the draft agenda and schedule with the NHA coordinating entity. The call ends with the evaluation team and coordinating entity establishing who will be the key points of contact to facilitate future meeting scheduling and data collection.

Figure 1-1. Sample Kick-Off Call Agenda

NHA Evaluation Kick-Off Call
MM/DD/YYYY
Meeting Agenda

1.	Introductions	NPS
2.	Overview of Evaluation Purpose, Evaluation Timeline & Roles and Responsibilities	NPS
3.	Overview of Evaluation Methodology	Evaluation Team
4.	Review of NHA Foundational Documents & Data Collection Plan	Evaluation Team & NHA
5.	Meet & Greet Site Visit Logistics	Evaluation Team
6.	Key Points of Contact for Document Collection and Meeting Scheduling	Evaluation Team & NHA
7.	Wrap-Up & Questions	NPS & Evaluation Team

Activity 2: Collect and Initial Review of Introductory NHA Documentation

As noted, the evaluation team will initiate a process for the NHA coordinating entity to share its foundational documents at least two weeks prior to the Meet and Greet site visit. The foundational documents are plans, guides, processes and statistics that provide a snapshot of the NHA, the NHA coordinating entity, and the NHA coordinating entity's historical and current activities. The documents also include the legislation that established the NHA which outlines the purpose of the NHA and expectations of what coordinating entity should accomplish. Overall, these documents outline the decisions and actions implemented by the NHA coordinating entity. A list of these documents is provided in Appendix B.

In this second activity, the evaluation team will conduct an initial review of certain key documents to prepare for the Meet and Greet site visit. These documents will provide the team with contextual and background information on the Heritage Area, and support a framework for the logic modeling session that will be conducted during the visit. A more extensive review of NHA foundational documents will occur before the second site visit, and is discussed further in Phase 2: Activity 1.

The documents that need to be reviewed early in the process include:

- **Legislation:**
  - Each NHA has Federal legislation that designates the area as a National Heritage Area. The legislation establishes a coordinating entity with authority to manage Federal funds and specifies match requirements and a ceiling for the potential Federal NPS/NHA funds appropriated per year. The legislation also explains the purpose of the NHA, and details the goals and objectives the coordinating entity is expected to achieve. All federal legislation related to the NHA should be reviewed.
  - Some NHAs may also have state or local legislation that supports its designation as a Heritage Area. These documents also are important to review prior to the visit.

- **Management Plan:**
  - The Federal authorizing legislation requires the coordinating entity to submit a management plan within a specified time period after legislation. This plan establishes the mission and vision for the Heritage Area, and defines the partnerships' goals, objectives, and strategies to accomplish the Heritage Area's mission and vision.

  - In those instances when the NHA coordinating entities has revised its management plan, the evaluation should mainly focus on using this later plan so that it is assessing the coordinating entity's effectiveness in accomplishing its most current goals and objectives. Prior management plans will provide historical and contextual information about the Heritage Area.

- **NHA Coordinating Entity Operations Manual or Work Plans:**
    - Operations manuals or plans explain how the coordinating entity is structured in terms of staffing, board(s), and committees. The documents outline the roles and responsibilities for each group. For some NHAs, the information may not be in a separate operations manual, but incorporated in the NHA's management plan, or in other documents.
- **Current Statistics**
    - The NHA should be sure to provide current, up-to-date statistics that are mentioned in foundation documents such as the numbers of National Register properties, parks, trails, National Landmarks or other accomplishments to ensure that all statistics in the Findings document are accurate.

Activity 3: Conduct Meet and Greet Site Visit

In this activity, the evaluation team conducts a Meet and Greet site visit to the Heritage Area. The main purpose of the Meet and Greet Site Visit is to provide the evaluators with first-hand information about the Heritage Area and its coordinating entity in order to help inform the evaluation design. This visit also is the first opportunity for the evaluation team to meet in person with the NHA coordinating entity and address any questions or concerns regarding the evaluation.

Typically, the visit occurs over two days, and the NHA coordinating entity takes a lead role in arranging the visit. As noted, planning for the Meet and Greet visit should begin as soon as possible after the kick-off call is held. The evaluation team will work with the NHA coordinating entity to finalize the agenda and participants. For example, the NHA coordinating entity may wish to include some of its Board members or NPS representatives in the meeting. The sample agenda, provided in the figure below, will help guide the NHA coordinating entity in making plans.

Figure 1-2. Sample NHA Meet and Greet Agenda

NHA Meet and Greet
MM/DD/YYYY
Agenda

1. Introductions	Evaluation Team & NHA Coordinating Entity
2. Overview of NHA	NHA Coordinating Entity
3. Tour of the heritage area and partner sites	NHA Coordinating Entity
4. Review of Evaluation Methodology	Evaluation Team
5. Logic Modeling Session	Evaluation Team & NHA Coordinating Entity
6. Strategy Session for Data Collection	Evaluation Team & NHA Coordinating Entity
7. Wrap-Up & Next Steps	Evaluation Team

The following details will help in working with the NHA coordinating entity in arranging the visit. Except for the tour of the NHA, the meetings can take place at the coordinating entity's office or partner site.

- **Overview of NHA:** The NHA coordinating entity will provide the evaluation team with an overview of the Heritage Area. This overview should include a description of the site's history prior to its federal designation, a current description of the NHA, and a description of how the coordinating entity supports the NHA. If desired, this portion of the site visit can be combined with the tour of the NHA, and take place off-site. The coordinating entity should allocate up to one hour for this overview.

- **Tour of the NHA**: The NHA coordinating entity will take the evaluation team on a brief tour of the Heritage Area (approximately half a day). It should be noted that depending on the size of the Heritage Area, the evaluation team may not be able to tour the entire area, and the tour may only consist of a portion of the area.

- **Review of the Evaluation Methodology:** As some of the NHA coordinating entity staff and/or board members may not have participated in the kick-off call, the evaluation team should consider formally presenting the evaluation objectives, study design and methodology, and each group's (the NHA coordinating entity staff, board, partners, evaluation team and NPS) roles and responsibilities with regard to the evaluation.

- **Logic Modeling Session:** Following the review of the evaluation methodology, the evaluation team will spend approximately two hours with the NHA coordinating entity staff to develop a site logic model. Details about this session are provided in Phase 1- Activity 4 of the Guide.

- **Strategy Session for Data Collection:** After the logic model session, the evaluation team will have a better sense of the NHA coordinating entity's range of activities and outputs since Federal designation. Time permitting, it would be helpful for the evaluators to have a strategy session with the key NHA coordinating entity to strategize on possible ways to conduct community intercept conversations (discussed within Phase 2-Activity 2), review and identify data (in addition to the foundational documents) that are pertinent for the evaluation. Examples of the types of data the evaluation may consider are provided in Appendix E. During the strategy session, the evaluation team also may want to review the financial data protocol, discussed within Phase 3 –Activity 2 and provided in Appendix F, with the NHA coordinating entity during the site visit. These discussions help both the coordinating entity and evaluation team understand the types of financial data needed, how they have been recorded or reported by the coordinating entity, and the timeframe for analyses once the data are received by the evaluators.

- **Wrap-up and Next Steps:** At the conclusion of the visit, the evaluation team will review next steps with the NHA coordinating entity. The major next steps include review and finalization of the NHA logic model, the collection of additional NHA documents, and planning for the second site visit.

Activity 4: Draft and Finalize the NHA Logic Model, Domain Matrix, and Topic-Centered Interview Guides

In this activity, the evaluation team will develop a logic model, a data domain matrix, and interview protocols that are tailored to the respective NHA under evaluation. These tools will help guide the data collection and analysis for the evaluation, discussed further in Phase 2 of the Guide. As these tools are instrumental in informing the evaluation design, they will be shared with the NHA coordinating entity for review before they are finalized. The drafting and finalization of these tools can take 2 to 4 weeks. Also, example versions of these tools for a general NHA are located in Appendix A, Appendix C, and Appendix D

Logic model: During Phase 1 - Activity 3, the Meet and Greet Visit, the evaluators work with the NHA coordinating entity to gather information that will help in developing a draft logic model. The logic model will provide a visual representation of: the overarching goals 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 goals; intended short- and long-term outcomes; and the linkages among the activities, strategies, and outcomes. An example of a logic model for a general NHA is located in Appendix A.

The process for developing and finalizing the logic model includes the following steps:

- Prior to the Meet and Greet Site Visit, the evaluation team will draft a logic model based on an initial review of foundational documents. This initial logic model is typically not shared with the NHA coordinating entity, but may help guide the logic modeling session.

- During the Meet and Greet Site Visit, the evaluation team will start the logic modeling session by providing an introduction to logic models. This includes an overview of what a logic model is, the purposes it serves, and how it will be used to frame the data collection. (This introduction may be omitted if the NHA coordinating entity is familiar with logic models.)

- If the NHA coordinating entity has had little exposure to logic models, it may be best for the evaluation team to lead the logic modeling as a conversation that covers the individual logic components (goals, resources, activities, outputs, short- and long-term outcomes). Rather than draw a logic model on the spot, the team can develop listings of the various components and strive to obtain a complete understanding of the coordinating entity and how the various components link together. If the NHA coordinating entity has an existing logic model, the evaluation team review can build upon this existing model during the session.

- After the Meet and Greet Site Visit, the evaluation team will draft the logic model, email it to the director of the NHA coordinating entity, and invite comments. It is helpful to review the model over the phone, walking the director through each component and asking for input on the accuracy of the linkages that are drawn. It is important that the NHA director realize that the logic model will be used as a blueprint in guiding the data collection and analyses and thus take care in confirming that it accurately and comprehensively portrays the NHA and NHA coordinating entity.

- Once the NHA-specific logic model is finalized, the evaluation team can develop the Data Domain Matrix and interview protocols, the two key tools that guide data collection.

Data Domain Matrix: A data domain matrix outlines the domains (areas of interest) and measures for the evaluation and the sources of information for each measure. The domain matrix guides data collection. Each row of the matrix lists a measure under a domain that relates to an evaluation question. Each column identifies a data source; an "X" in the column notes that the source can provide the data for a particular measure. Potential data sources include: the NHA coordinating entity management staff; NHA partners; the representative from the broader community; NHA plans and legal documents; NHA guides, brochures and web sites; and financial data documents, such as audits. By having multiple sources noted for each domain and measure, the matrix helps ensure that evaluation findings are supported by multiple viewpoints as well as corroborated by key documentation. Appendix C has a general NHA data domain matrix that is organized by the three evaluation questions. This can serve as a guide to the evaluators in developing a domain matrix that is tailored for each NHA evaluation site. In tailoring the NHA domain matrix, the domains may become more specific for the Heritage Area and potential data sources for each measure can be revised according to what is pertinent for each site's evaluation. For example, in the evaluation of the Silos and Smokestacks NHA, grant-making was specified as one of the coordinating entity activities that fell under the domain of Planning Activities.

The following describes the potential domains that relate to each of the three evaluation questions:

- For the first evaluation question: "Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?" each NHA's authorizing legislation outlines specific purposes and activities for the Heritage Area. These purposes or types of activities include:

    - Heritage Programming, Interpretation, and Education – activities and programs that foster public support and appreciation for the NHA site, and tell the story of its natural, historic and cultural significance;

- Preservation and Resource Stewardship – activities that support long-term preservation, conservation and reclamation of natural, cultural and historic resources, including implementing environmental conservation efforts;

- Development and Infrastructure – heritage-based development activities that further provide education and inspiration for current and future generations;

- Public Outreach – activities that increase public use and awareness of the NHA and further its economic sustainability; and

- Planning and Technical Assistance – activities that build local community capacity and assist individuals, organizations and communities who are involved in NHA interpretation, education, preservation, and development activities.

An NHA may do all or some of these types of activities, and may conduct multiple activities within a specific category.

- For the second evaluation question, "What have been the impacts of investments made by Federal, State, Tribal and local government and private entities", the matrix was developed to gather information to understand the amount, nature and sources of NHA investments over time, and to understand how the NHA coordinating entity utilizes these financial resources.

- For the third evaluation question, "How do the Heritage Area's management structure, partnership relationships and current funding contribute to its sustainability", the matrix was developed to gather information to understand the coordinating entity's contribution to the Heritage Area's sustainability, as well as the potential impacts on the coordinating entity and the Heritage Area if NPS Federal funding is reduced or discontinues. NPS developed the following definition of sustainability to be used in Heritage Area evaluations:

  NHA Sustainability

  - NHA sustainability is the coordinating entity's continuing ability to work with partners through changing circumstances to meet its authorized mission and includes the ability to:
    - Honor the legislative mandate
    - Govern and adaptively manage, staff and operate
    - Leverage and secure resources (time, talent, treasure)/(volunteers, expertise, funds)
    - Support partners in communication, collaboration and capacity building

- Steward programs and projects to improve economic value and quality of life, and
- Reach diverse audiences

Interview Protocols: After establishing an NHA site-specific domain matrix, the evaluation team drafts interview protocols to guide data collection for the second site visit. Topic-centered interviews will be conducted with NHA coordinating entity leadership and staff, NHA partners, and members of the Heritage Area community. The protocols are developed to cover broad topics that relate to the domains and measures identified in the domain matrix. Potential interview topics include: background and history of the NHA and coordinating entity; structure of the coordinating entity; activities undertaken by the coordinating entity; nature of NHA partnerships; perspectives on NHA accomplishments and challenges; perspectives on sustainability; and community familiarity, awareness, and appreciation of the Heritage Area. Examples of these protocols are provided in Appendix D, and the process for interview data collection is discussed further in Phase 2 – Activity 2 of the Guide.

The following section of the Guide, Phase 2 – Activity 1, discusses how the data domain matrix is used in the review of NHA documents and abstraction of data.

Phase 2: Data Collection & Initial Review

The second major phase of the NHA evaluation, a review of data collection, typically lasts 1 to 2 months. The evaluation team will collect data from a range of documents, interviews conducted during a data collection site visit, and a review of financial audits and reports. This section of the Guide provides the evaluators with specific details about the types of data that need to be collected. The following data collection activities are outlined in the pages below:

- Activity 1: NHA Document Collection & Review – Page 16
- Activity 2: Data Collection Site Visit & Topic Centered Interviews – Page 20
- Activity 3: Financial Review – Page 23

Activity 1: NHA Data Collection & Document Review

In this activity, the evaluation team collects and reviews NHA documents. Portions of this activity begin during Phase 1 when the evaluation team requests NHA foundational documents (Appendix B), and conducts an initial review of the documents. Also, although most of the documents needed for the evaluation will be obtained in Phase 1, it is possible that additional documents will be identified and obtained throughout the course of the evaluation.

The evaluation team will review these documents and abstract information that corresponds to the NHA site-specific data domain matrix. This review will gather data that supports the evaluation's understanding of the NHA history and background, and support answering the evaluation questions. In addition, Appendix E of the Guide also lists templates of potential tables that the evaluation team can use during document review. The evaluation team can share these tables with the NHA coordinating entity staff after the Meet and Greet visit to familiarize staff to help them determine which additional documents may meet the needs of the evaluation. Examples of the table templates provided in Appendix E include a listing of the number of: NHA visitors per year; NHA grants offered per year; and NHA website hits per year.

In this section, we outline the types of documents that may be available and needed to understand the history and background of the NHA and address each of the key evaluation questions.

Overview of NHA and its Coordinating Entity - Table 2-1 shows a crosswalk of documents that may be available to provide an overview of the NHA and its coordinating entity.

Table 2-1. Crosswalk of Context Information and Respective Documents

Context Information	Documents
Introduction to unique features and purpose of the NHA	Authorizing Legislation Feasibility Study
Historical aspects of the NHA	NHA Timeline Feasibility Study NHA Management Plan Interpretive Plans NHA brochures, web site, trail guides
Introduction to the NHA coordinating entity and management structure	NHA Management Plan Operations Manuals / Work Plan Organization Charts
NHA coordinating entity activities and impetus for development of each activity	NHA Management Plan Cooperative Agreement with NPS Partnership Network Plans Work Plans Annual Performance Reports to NPS NPS NHA Program Office Annual Program Reports (Part 1 – Funding Report; Part 2 – Progress Report) Annual Reports Grants
Relationship of NHA with Heritage Area community and NPS	NHA Management Plan

	Feasibility Study Strategy Plans Grants Partnership Agreements
Sustainability Planning Documents	NHA Management Plan Business Plan Fundraising Plan Financial Resource Development Plan Fundraising Feasibility Study Capital Campaign Plan Endowment Campaign Plan

Other topics and areas needed for the evaluation that are likely available in one or many of these documents include:

- Federal authorizing legislation
- NHA mission and vision
- NHA goals and objectives
- Partnership goals and objectives
- NHA coordinating entity organizational chart
- Partnership organization chart
- Map of the NHA
- NHA partnership network (map and/or listing of partners, partner agreements)

Evaluation Question 1: "Based on the authorizing legislation and general management plan, has the Heritage Area achieved its proposed accomplishments?" A review of the NHA's authorizing legislation, management plan, additional plans, and annual reports will provide information on the nature of the NHA's activities; how activities are being implemented (by the coordinating entity, partnership network or local community) and outcomes and impacts of such activities.

Table 2-2 provides the evaluation team with a framework for displaying how the legislation for the NHA (as outlined in the authorizing legislation) were translated into goals for the coordinating entity

(as described in the NHA management plan), and in turn, into activities undertaken by the NHA coordinating entity and its partners (according to the logic model). This crosswalk helps guide the analysis to determine whether the NHA coordinating entity's activities are in line with what has been proposed.

Table 2-2. Crosswalk of Heritage Area Purposes, Goals, and Current Activities

Purposes as Specified in Legislation	Management Plan Goals	Current NHA Activities
Purposes Stated in Public Law	Goals From Management Plan	According to NHA Logic Model
Purposes Stated in Public Law	Goals From Management Plan	According to NHA Logic Model
Purposes Stated in Public Law	Goals From Management Plan	According to NHA Logic Model
Purposes Stated in Public Law	Goals From Management Plan	According to NHA Logic Model

Evaluation Question 2: "What have been the impacts of investments made by Federal, State, Tribal and local government and private entities?" The majority of the analysis for this question occurs during the review of the NHA financial documents (Phase 2 – Activity 3), but a review of the NHA coordinating entity plans, annual workplans/task agreements, and annual reports will provide supporting information for the financial analysis. The templates for tables provided in Appendix E provide documentation of the NHA activities, such as the number of grants awarded or workshops delivered, and these data can support findings on the impacts of NHA expenditures.

Evaluation Question 3: The third evaluation question, "How do the NHA's management structure, partnership relationships, and current funding contribute to its sustainability?" is partially supported by a review of NHA coordinating entity documents that detail its management structure, such as the management plan and operations manuals. It is also supported by Sustainability Planning Documents such as an NHA's business plan, fundraising plan, financial resource development plan, fundraising feasibility study, capital campaign plan and endowment campaign plan.

Activity 2: Conduct Data Collection Site Visit and Topic-Centered Interviews

In this activity, the evaluation team conducts a second data collection site visit to the NHA to conduct topic-centered interviews with a range of individuals. This visit is typically scheduled for 3 to 5 days (depending on the size of the Heritage Area) to allow sufficient time to conduct topic-centered interviews with NHA coordinating entity leadership and staff, NHA partners, and members of the Heritage Area community. This visit typically occurs at least one month after the Meet and Greet visit, and once the NHA site-specific evaluation tools are finalized. The development of interview protocols is discussed in Phase 1 – Activity 4 of the Guide; Appendix D provides examples of the generic topic-centered interview protocol to be tailored for the site-specific Heritage Area.

After the Meet and Greet site visit, the evaluation team will work with the coordinating entity to identify possible interviewees, and schedule a second data collection site visit. This section of the Guide provides an overview of who should be interviewed, methods for selecting interview participants, how the interviews will be conducted, and interview topics. The evaluation team should allow for 2 weeks to arrange the data collection site visit.

The following section provides an overview of possible categories of individuals to interview during the second site visit, and the potential interview topics.

NHA Coordinating Entity Staff: Key staff members from the NHA coordinating entity will be interviewed. These key staff members include the Executive Director as well as staff identified by the Executive Director who manage specific NHA activities and/or staff who can provide a historical perspective. Topics covered during the Executive Director interview include:

- Background and History of the NHA and Coordinating Entity – mission, vision, and situations that may have led to adaptation or adjustment of past strategies

- Structure of NHA Coordinating Entity – operational and leadership structure (including and understanding of the board), skills and expertise, and roles and responsibilities

- Nature of NHA Partners (including NPS) – who they are, their significance within the Heritage Area, how the NHA coordinating entity supports partners, how partners contribute to the NHA, opportunities and challenges resulting from partner relationships

- Activities Undertaken by the NHA Coordinating Entity – the impetus for starting each activity, when it began, what it entails, the role of NHA coordinating entity staff and the role of partners and the local community

- Perspectives on NHA Accomplishments and Challenges

- Perspectives on Sustainability – the role of management, NPS, and other partners and community in contributing to NHA sustainability and financial sustainability of the coordinating entity; and the effects if NHA Federal funding is discontinued

The interviews with other NHA coordinating entity staff largely focuses on their role in NHA activities, the operations of these activities, and their perspectives on NHA accomplishments and challenges.

NHA Coordinating Entity Leadership - Members of the NHA coordinating entity's governing body and members of advisory groups (if applicable) will be interviewed. If there is insufficient time during the site visit, some of these interviews can be conducted via conference call. It may not be feasible to interview each person so the evaluators may need to work with the NHA coordinating entity Executive Director to identify interviewees. Factors to consider in selecting board members to interview are the need to obtain input from those who have active leadership roles (i.e., board president) and those who have an extensive history with the NHA. Also, it may be useful to interview board members who also may belong to NHA partner organizations. The interview topics include:

- Background and History of the NHA and Coordinating Entity – mission, vision, and situations that may have led to adaptation or adjustment of planned strategies

- Structure of the NHA Coordinating Entity – operational and leadership structure, skills and expertise, and roles and responsibilities

- Perspectives on NHA Accomplishments and Challenges

- Perspectives on Sustainability – the role of management, NPS, and other partners and community in contributing to sustainability and financial sustainability of the coordinating entity; and the effects if NHA Federal funding is discontinued or reduced.

NHA Partners - Many NHAs are their connections with local community partners who help the Heritage Area achieve its mission and goals. These partners could include entities such as local and regional tourism boards, city and county administration, local museums, and historic and other preservation societies, each of which is affected to some degree by NHA-sponsored programs and activities. These community partners may belong to a larger network or may individually support the Heritage Area. Another primary partner to the NHA includes NPS; including the different entities within NPS. NPS partners could include the NPS National Coordinator for Heritage Areas, the NPS Regional Coordinator for Heritage Area, and local NPS sites that are located within the

heritage area.

In situations where there the NHA has a larger number of partners, it's helpful to consider the following factors to select a sample to interview: length of partnership with NHA, geographic location, size of partner, activities undertaken to support the NHA, and types and amount of support given to the partner from the NHA coordinating entity. Topics that are covered during these interviews include:

- Nature of NHA Partners – who they are, their significance to the Heritage Area, how the NHA supports the partners (and vice versa), and opportunities and challenges resulting from partner relationships

- Perspectives on NHA Accomplishments and Challenges

- Perspectives on Sustainability – the role of management, partners and community in contributing to sustainability; and the effects if NHA Federal funding is discontinued or reduced.

NHA Community - Due to the Office of Management and Budget Paperwork Reduction Act, the evaluation cannot collect the same data from more than nine community residents; however, this Act does not limit all community data collection. The evaluation team will conduct 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. For example, for the Augusta Canal National Heritage Area evaluation, the evaluators visited a local community festival and a portion of the NHA site to conduct intercept conversations. During the Meet and Greet visit and in working with the NHA coordinating entity to arrange the data collection visit, the evaluation team will come up with a plan for how to conduct these intercept conversations. Topics include:

- Familiarity with Heritage Area;

- Awareness of Heritage Area activities;

- Reasons for visiting the Heritage Area; and

- Appreciation for Heritage Area.

Activity 3: Conduct Financial Review

In this activity, the evaluation team will conduct a review of the NHA financial information to address the second evaluation question, "to assess the impacts of various investments made to the NHA," and part of the third evaluation, "to determine the financial sustainability of the NHA coordinating entity." This section of the Guide provides the evaluation team with an overview of how to conduct the financial review, including tools for conducting the review, a financial data protocol to review with NHA coordinating entity staff (provided in Appendix F), sections of audit reports containing relevant information, strategies for calculating program expenditures, and Microsoft Excel tables with embedded equations for analyses (provided in Appendix G).

The process for financial review typically requires on-going conversations with the coordinating entity and multiple reviews by both parties to confirm completeness and accuracy. The evaluation team will start the financial review process before the second data collection site visit, and it can take 1 to 2 months to complete the financial review. Appendix F contains a financial data protocol and tables that evaluators can use to review with NHA coordinating entity staff, and to familiarize them with the necessary evaluation data needs. This protocol will guide the conversation on identifying years in which there is audit information pertinent to the evaluation and help NHA coordinating entity staff identify other sources of information to support the financial analysis. In addition, the evaluation team should consider the following points in discussing the data needs for the financial review with the NHA coordinating entity:

- To the extent possible, the evaluation considers audit information beginning with the first year the NHA coordinating entity received NPS/NHA funds (including Heritage Partnership Program funding, statutory aid and contractual aid) and ending with the last audited year. To the extent possible, the evaluation will focus on data during the audit year, which for some NHA coordinating entities may differ from the calendar year or the Federal fiscal year.

- Although the evaluation team will need to understand the financial investments and expenditures in the years prior to the NHA designation, this information is to provide an understanding of the context. A detailed financial review of the coordinating entity prior to the NHA designation is not conducted.

- In areas where audited information is not available, the evaluation team will need the NHA coordinating entity to provide other documentation and estimates for analysis.

The following are details for how to conduct the financial review in order to answer the second and third evaluation question.

Public and Private Investments: This analysis involves examining the financial investments that support the coordinating entity's activities. These investments include:

- NPS/NHA funds that are allocated as part of the NHA designation; and
- Non-NPS/NHA funds, such as investments received from other NPS programs, other federal agencies, state or local government grants or private investments from community foundations or individuals.

The Statement of Revenues and Expenses from the audit reports will contain much of the information needed for this analysis. However, the audit statement may not have detailed information about funding sources, such as the amount of government assistance from NPS/NHA funds versus other entities. It will be necessary to work with the NHA coordinating entity to collect supporting documentation to complete Table 2-3. For example, some NHA sites may have written annual agreements with NPS that separate out the NPS amounts awarded from other federal funding.

Table 2-3. Direct Financial Investments in NHA Coordinating Entity Activities, Total and by Year (Expand Charts to Accommodate Years as Needed)

Each Year Since Desig-nation	Federal NPS/ NHA	Federal – Other NPS	Other Federal	State/ Local	Private – Indivi-dual	Founda-tion & Non-Profit	Corporate Sponsors	In-Kind	Misc.	Total
Total										

The financial analysis of the investments involves examining any trends in the amount and sources of investments. Another analysis is to understand if the non-NPS/NHA investments received by the NHA coordinating entity, are restricted to specific NHA activities. The Statement of Net Assets on the audit reports details the amount of restricted and unrestricted assets. Information collected from interviews with coordinating entity staff will provide details regarding specific activities to which funds are restricted, and help in understanding trends with investments.

Match Results: By Congressional instruction, each NHA coordinating entity must match the Heritage Area's Federal NPS/NHA assistance with non-federal dollars. Specific match requirements are specified in each area's authorizing legislation.

The analysis of the match involves examining yearly NPS investments compared to non-federal investments received. The non-federal revenue is a summation of the revenue received in Table 2-3. For some Heritage Areas there may be matching in-kind investments from the local community partners that do not flow directly through the coordinating entity, but meet match criteria and support the NHA. These matching contributions typically are not reported in audit statements; the evaluation team will need to work with the coordinating entity for documentation of sources and amounts. Examples of this documentation may be annual reports to NPS, or in individual grantee agreements if the NHA awards funds to community partners. The NHA match results can be displayed in Table 2-4.

Table 2-4. Overview of NPS/NHA Funds and Matching Contributions by Year

Each Year Since Designation	NPS/NHA Funds	Non-Federal Funds	Matching Partner Contributions
TOTAL			

Results from this table can be graphically displayed in a bar chart. Refer to Appendix G for instructions.

Use of Financial Resources: This section of the evaluation assesses how the coordinating entity uses its direct financial resources to support operational activities and programmatic initiatives. The Statement of Revenue and Expenses in the audit reports provides information on coordinating entity expenditures. Often these statements provide information on the types of expenditures, such as the amount of money spent on staff salaries or money spent on specific project expenses, such as meeting expenses. The evaluation team will need to work with NHA coordinating entity staff to categorize expenditures according to operational and programmatic expenses. Programmatic expenses need to be grouped into categories that reflect activities outlined in the Heritage Area's logic model, such as preservation or interpretation. In addition, the coordinating entity will likely need to provide estimates that allocate a portion of the staff salary operational expenses to specific

programmatic activities. This analysis involves examining expenditure trends over time as displayed in Tables 2-5 and 2-6. This trend analysis is supported by data collected from interviews, and can help inform reasons for a large increase in operational or programmatic expenses. For example, one year could experience a significant increase in programmatic expenditures reflecting an NHA renovation of a historic site.

Table 2-5. NHA Coordinating Entity Spending by Year

Each Year Since Designation	Operational Expenses	Program Expenses	Total
Total			

Table 2-6. NHA Coordinating Entity Programmatic Expenditures by Year

Programs	Year	Year	Year	Year	Year	Total
Activity Category A						
Activity Category B						
Activity Category C						
Activity Category D						
Activity Category E						
Total						

The coordinating entity's total programmatic spending for each category of program activity can be graphically displayed as a pie chart. Refer to Appendix G for instructions.

Financial Sustainability - Part of the third evaluation question involves assessing the NHA coordinating entity's financial sustainability. This analysis involves examining whether the coordinating entity has sufficient funds to cover its operational and programmatic expenses. This analysis will consider the coordinating entity's reliance on NPS/NHA funds; examine any trends in revenues from non-NPS/NHA sources; consider any reserve balances the coordinating entity may have; whether there are potential adverse impacts from restricted investments; and future fundraising strategies the coordinating entity plans to undertake.

Table 2-7. NPS/NHA Revenue, Other Revenue, Total Revenue, and Total Expenses by Year

Each Year Since Designation	NPS/NHA Revenue	Other Revenue	Total Revenue	Total Expenses

Phase 3: Data Analysis and Findings Document Writing

The final phase of the NHA evaluation is data analysis and the drafting of the Final Findings Document. Typically, this phase lasts 2 months. The following pages provide details for these activities:

- Activity 1: Conduct Data Analyses and Synthesize Data – Page 29
- Activity 2: Drafting Findings Document and Finalizing for Submission – Page 29

Activity 1: Conduct Data Analysis and Synthesize Data

To answer the evaluation questions, analyses of the NHA's data are guided by the data domain matrix (Appendix C) tailored for the Heritage Area and the Findings Document outline (Appendix H). Data analyses involve summarizing data from each source (interviews, document reviews and financial review) listed in each domain area, and then synthesizing data across sources.

In conducting analyses, evaluators will examine each domain (area of interest), and consider how data from the various sources (i.e. documents, coordinating staff and leadership, partners, or community residents) support evaluation findings. This technique ensures that findings are grounded and supported by a number of sources. The evaluation team should maximize the data collected and corroborate findings from the interviews with data in documents. Often the documents can also provide factual information and "hard" data, while the interviews are beneficial for providing perspectives on how the NHA and its coordinating entity operate.

Also, due to the multiple data sources from documents review and interviews, evaluators may consider using data analysis software, such as NVivo, to help meaningfully structure the data for each evaluation domain. NVivo provides a tool for organizing the data collected so that team member can review the same data and ensure they are arriving at the same conclusions.

Activity 2: Draft Findings Document and Finalize for Submission

Once the data are analyzed, the Final Findings Document is drafted according to the outline located in Appendix H. This document will introduce the NHA and its coordinating entity (including a description of the area prior to its formal designation as an NHA), and the coordinating entity's relationship with NPS and partners in the Heritage Area community. The document will then provide a detailed review of the coordinating entity's activities and its effectiveness in meeting goals and objectives. The last two sections of the document present an assessment of the public and private investments that support NHA activities, and the sustainability of the coordinating entity.

In drafting this document, the evaluation will first provide a draft findings document to the NHA study site for a review of technical accuracy. The NHA coordinating entity will have the option to provide comments, either in writing or via telephone discussion. Typically, this initial review process is a process that is composed of several conversations with the coordinating entity to ensure complete and accurate information is collected and analyzed. Then the NHA coordinating entity will have another opportunity to review the findings document for factual and statistical accuracy once its feedback is incorporated. The NHA coordinating review process is estimated to last 3 to 4 weeks cumulatively. Throughout this review process, the evaluation team will keep NPS informed of the coordinating entity's comments and how the feedback is being incorporated into the findings document. Once the coordinating entity review is complete, the evaluation team will submit the revised document to the NPS for a final review. This final review process is estimated to last 2 weeks, and then the final findings document will be submitted to NPS. Table 3-1 provides an overview of this review process.

Table 3-1. Final Findings Document Review Process

Final Findings Document Review Process	
Draft Findings Document Submission	Estimated Time
Initial draft to NHA Coordinating Entity	2 weeks for review
Evaluation team makes revisions	2 weeks for revision
Revised draft to NHA Coordinating Entity	1 week for review
Evaluation team makes revisions	1 week for revision
Second draft to NPS Working Group	2 weeks for review
Revision and final submission to NPS	2 weeks for revision and submission

National Heritage Area Evaluation Methodology

Background and Purpose

The National Heritage Area evaluation methodology is designed to answer the following questions:

1. Based on its authorizing legislation and general management plan, has the Heritage Area achieved its proposed accomplishments?

2. What have been the impacts of investments made by Federal, State, Tribal and local government and private entities?

3. How do the Heritage Areas management structure, partnership relationships and current funding contribute to its sustainability?

The methodology includes: the core evaluation approach; evaluation design; associated data collection methods, sources, and measures; and analysis and reporting plans. The methodology builds upon the methodology and instruments used in previous evaluations.

This document also describes the process recommended to tailor the approach for specific NHA evaluations.

Core Evaluation Approach

The 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, include the perspectives of NPS and NHA leadership. Develop working products 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

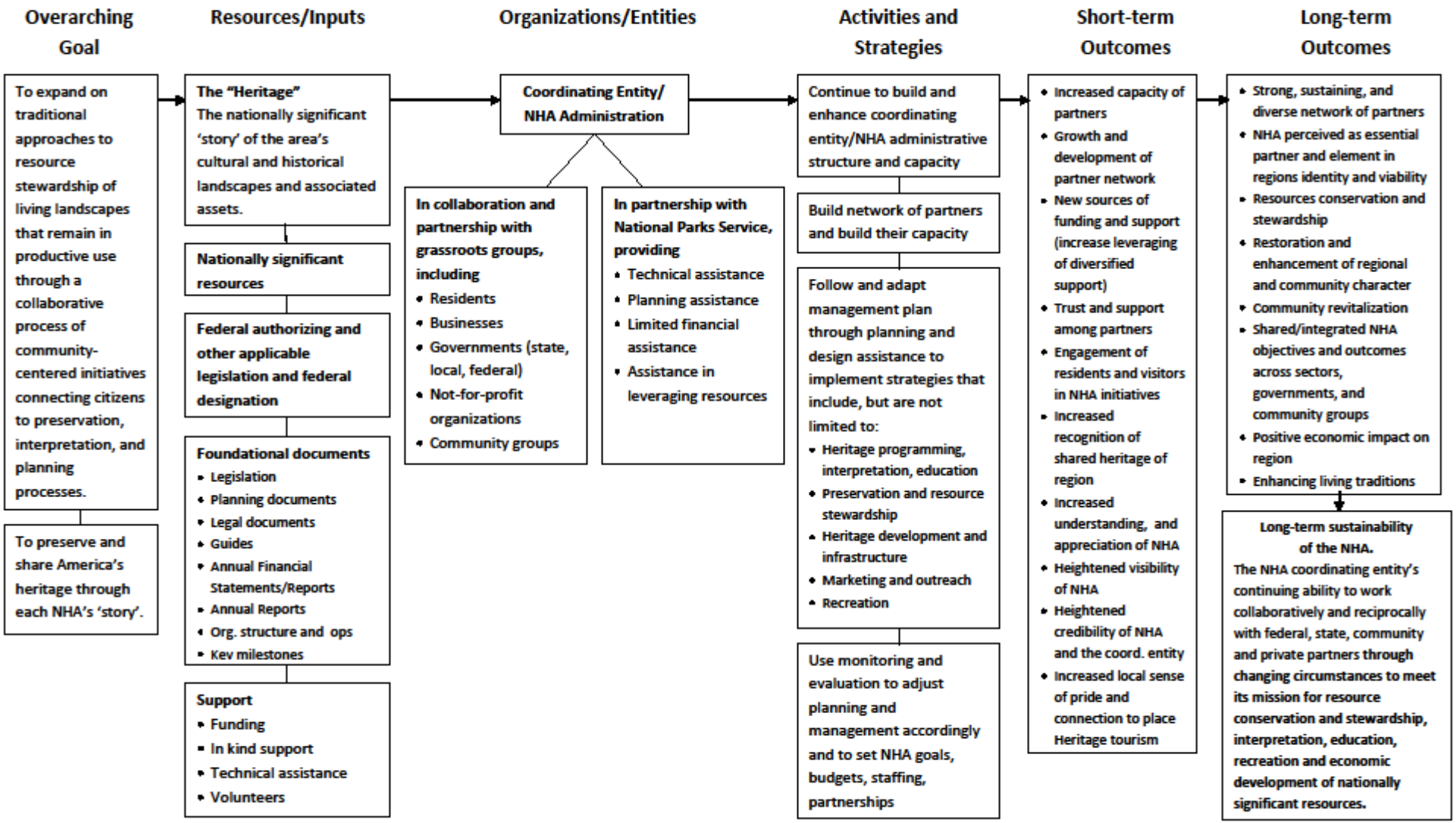
collection methods and indicators, the analysis, and interpretation of the findings reflect their views and concerns.

Core Evaluation Design and Measures

The core evaluation design should 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 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, 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 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, 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 begins 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. 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, focus on the NHA's "major" sources and whether these sources are restricted or unrestricted funds. To identify "major"

sources of investment, 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 in the footnote[1] will be employed in addressing this question. Examine the nature of management structure and partnership network and their contribution to sustainability. Assess the financial investments over time and their 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. 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, 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.

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[1] NHA sustainability is the coordinating entity's continuing ability to work with partners through changing circumstances to meet its authorized mission and includes the ability to:

- Honor the legislative mandate
- Govern and adaptively manage, staff and operate
- Leverage and secure resources (time, talent, treasure)/(volunteers, expertise, funds)
- Support partners in communication, collaboration and capacity building
- Steward programs and projects to improve economic value and quality of life, and
- Reach diverse audiences

Data Collection Methods

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, each of these methods is described, including how to select the data sources, what data to collect, and the tools to use to collect the data. For each of the methods, 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 such as cooperative agreements

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

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

In reviewing these documents, abstract information into tables that historically documents NHA activities, such as the number of visitors or number of workshops offered per year. 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 tailor the specifics of the evaluation for each site, particularly in selecting NHA staff and partners to interview.

Financial Data Review

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 since designation, and the impact of these resources on the economic sustainability of the NHA. Coordinate with the NHA coordinating entity and NPS to gather these materials and collect supporting documentation regarding external matching contributions and use of NHA resources according to program areas. 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, interview key staff from the NHA coordinating entity and possibly important former staff if applicable. 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. 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. Expect to spend 1 day interviewing up to nine staff in each NHA.

Topic-Centered Interviews with Members of the NHA Partner Network

Interview members of the NHA partner network, including NPS, 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, expect to select 15-20 partners from each NHA to interview. In determining criteria for selecting partners to interview, review foundational documents and web site 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. 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, contact the partners for interview scheduling. 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. 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 the evaluator 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. The evaluator 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 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. The evaluator 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 Executive 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 the evaluator can be held to discuss the comments and to arrive at a resolution. Once the evaluator 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, the evaluator will submit the draft findings documents to NPS for review.

Tailoring the Evaluation Design for Individual NHA Evaluations

The core evaluation design will be tailored to individual NHAs 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. 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.

A customized logic model for each NHA will be developed during the initial site visit; 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, review existing documentation for the NHA sites. Expect these preliminary Meet and Greet visits and logic modeling sessions to involve about 2 days of travel and meeting time.

Once the tailored logic models are finalized for each NHA evaluation, the evaluator 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

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

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, ensure the 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.

NHA Foundational Documents

Working Definition of Foundational Documents: Foundational documents are those printed or digital plans, guides, processes and statistics that provide a snapshot of who you are, where you've been and where you are going. These are the documents that frame all of your decisions and actions for your role as the coordinating entity and in working side-by-side with your partners.

Foundational Documents

☐	Legislation	All Federal, state and/or local legislation that provides the legal framework for what you do, where you are going, and how you are to get there. (Example: authorizing/designation/enabling legislation)
☐	Plans	All planning documents, including updates, developed by the coordinating entity and/or partners that are intended to deliver the legal mandate(s) defined by Congress and/or other legislative bodies. (Examples: management plans, strategic plans, interpretive plans, annual work plans, business plans, fundraising plan, financial resource development plan, fundraising feasibility study, capital campaign plan and endowment campaign plan.)
☐	Legal Documents	Documents signed by the coordinating entity that allow it to conduct/produce routine NHA business. (Examples: cooperative agreements, task agreements, bylaws, contracts for NHA services)
☐	Guides	Documents designed to define how NHA business operates. (Examples: employee handbooks, committee guidelines, partnership agreements)
☐	Annual Financial Statements & Reports	These include audits, tax returns, budget activities and performance program reports.
☐	Annual Reports	Examples include reports to Congress, to the partners, to NPS and others (including annual Data Collection forms sent to NPS).
☐	Organizational Structure & Operations	How the coordinating entity, board(s), and committees do Heritage Area work, their roles and functions. (Examples: Steering Committee, Partner Council, heritage development specialist, Heritage Area board, coordinating entity board, organization chart, staffing plan, work flow, facilities)
☐	Key Milestones	A timeline of major events that document the evolution of the Heritage Area to include outside influences affecting your planning and implementation process. (Examples: establishment and then disbanding of a Federal commission, events such as floods or economic recession, major changes in Federal assistance.)

Domain and Source Crosswalk

Research Question, Domains, Measures Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Heritage Programming, Interpretation and Education – Activities and programs that foster public support and appreciation for the NHA site and tell the story of its natural, historical and cultural significance to our nation						
Describe Nature of NHA activities						
Description of programming, interpretation and education activities	x	x		x	x	
Describe Implementation of each activity						
Role of the NHA coordinating entity	x	x		x	x	
Role of NHA administrative staff	x	x		x	x	

Research Question, Domains, Measures **Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?**	**NHA Management Interviews**	**Partner Network Interviews**	**Community Input**	**Plans, Legal Documents**	**NHA Guides, Brochures, Web Sites, Other Documents**	**Financial Data Forms**
Role of the partnership network	x	x		x	x	
Role of the local community	x	x	x	x	x	
Assess Impact of activities						
Engagement of residents and visitors (# served/involved/affected)	x	x	x			
Increased understanding, awareness and appreciation of NHA resources & stories		x	x			

Research Question, Domains, Measures **Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?**	**NHA Management Interviews**	**Partner Network Interviews**	**Community Input**	**Plans, Legal Documents**	**NHA Guides, Brochures, Web Sites, Other Documents**	**Financial Data Forms**
Increased recognition of shared heritage of region			x	x		x
Greater amount and diversity in sources of funding committed to interpretive and educational programming	x					x
Economic Impact / Job Creation	x					

Research Question, Domains, Measures Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Preservation and Resource Stewardship– Activities that support long-term preservation, conservation and reclamation of natural, cultural and historic resources; includes implementing environmental conservation efforts						
Describe Nature of NHA activities						
Description of preservation and resource stewardship activities	x	x		x	x	
Description of conservation efforts related to folklore, folk life, life ways, and traditions	x	x		x	x	

Research Question, Domains, Measures Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Describe Implementation of each activity						
Role of the coordinating entity (e.g., administration of grants; provision of TA)	x	x		x	x	
Role of NHA administrative staff	x	x		x	x	
Role of the partnership network	x	x		x	x	
Role of the local community	x	x	x	x	x	

Research Question, Domains, Measures Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Assess Impact of activities						
Environmental, cultural, and historic resources conservation	x	x		x	x	
Artifact or building restoration	x	x		x	x	
Greater amount and diversity in sources of funding committed to conservation and stewardship	x	x		x		x
Increased local sense of pride and connection to place		x	x			

Research Question, Domains, Measures **Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?**	**NHA Management Interviews**	**Partner Network Interviews**	**Community Input**	**Plans, Legal Documents**	**NHA Guides, Brochures, Web Sites, Other Documents**	**Financial Data Forms**
Increased capacity of partners	x	x				
Growth in partner network	x	x		x		
Community revitalization	x	x	x		x	
Economic Impact / Job creation	x					x

Research Question, Domains, Measures Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Development and Infrastructure – Heritage based development activities that further provide educational and inspirational opportunities for current and future generations						
Describe Nature of NHA activities Description of physical improvement and development activities	x	x		x	x	
Describe Implementation of each activity Role of the coordinating entity (e.g., administration of grants; provision of TA)	x	x		x	x	

Research Question, Domains, Measures **Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?**	**NHA Management Interviews**	**Partner Network Interviews**	**Community Input**	**Plans, Legal Documents**	**NHA Guides, Brochures, Web Sites, Other Documents**	**Financial Data Forms**
Role of NHA administrative staff	x	x		x	x	
Role of the partnership network	x	x		x	x	
Role of the local community	x	x	x	x	x	
Assess Impact of activities						
Development/construction that is successful in meeting objectives	x	x	x	x	x	

Research Question, Domains, Measures Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Increased local sense of pride and connection to place			x			
Heightened visibility of NHA resources and stories			x			
Economic Impact / Job creation	x					x

Research Question, Domains, Measures Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Marketing and Public Outreach – Activities that increase public use and awareness of the NHA and further its economic sustainability						
Describe Nature of NHA activities Description of marketing and public outreach activities (e.g., promotional materials, events programming)	x	x	x	x	x	
Describe Implementation of each activity Role of the coordinating entity (e.g., creation of marketing plans)	x	x		x	x	

Research Question, Domains, Measures **Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?**	**NHA Management Interviews**	**Partner Network Interviews**	**Community Input**	**Plans, Legal Documents**	**NHA Guides, Brochures, Web Sites, Other Documents**	**Financial Data Forms**
Role of NHA administrative staff	x	x		x	x	
Role of the partnership network	x	x		x	x	
Role of the local community	x	x	x	x	x	
Assess Impact of activities						
Engagement of residents and visitors (# served/involved/affected)	x	x	x		x	

Research Question, Domains, Measures **Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?**	**NHA Management Interviews**	**Partner Network Interviews**	**Community Input**	**Plans, Legal Documents**	**NHA Guides, Brochures, Web Sites, Other Documents**	**Financial Data Forms**
Increased understanding, awareness and appreciation of NHA resources and stories	x	x	x	x		x
Increased recognition of shared heritage of region	x	x	x			
Greater amount and diversity in sources of funding	x	x				x
Growth and development of partner network	x	x	x			
Heightened visibility of NHA resources and stories		x				

Research Question, Domains, Measures **Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?**	**NHA Management Interviews**	**Partner Network Interviews**	**Community Input**	**Plans, Legal Documents**	**NHA Guides, Brochures, Web Sites, Other Documents**	**Financial Data Forms**
Economic Impact / Job creation	x					
Planning and Technical Assistance – Activities that build local community capacity and assist individuals, organizations and communities who are involved in NHA interpretation, education, preservation and development activities						
Describe Nature of NHA activities Description of planning and technical assistance activities (e.g., leading conferences and workshops; technical assistance to local organizations; targeted financial assistance, catalyst, facilitation, convening, negotiating)	x	x		x	x	

Research Question, Domains, Measures Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Describe Implementation of each activity						
Role of the coordinating entity (e.g., coordinating, planning)	x	x		x	x	
Role of NHA administrative staff	x	x		x	x	
Role of the partnership network	x	x		x	x	
Role of the local community	x	x	x	x	x	

Research Question, Domains, Measures Evaluation Q.1: Has the NHA coordinating entity accomplished the purposes of the authorizing legislation and achieved the goals and objectives of the management plan?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Assess Impact of activities						
Increased capacity of partners	x	x				
Growth and development of partner network	x	x				
Trust and support among partners	x	x				
Heightened credibility of NHA	x	x				
Economic Impact / Job creation	x					x

Research Question, Domains, Measures Evaluation Q.2 What have been the impacts of investments made by Federal, State, Tribal, and local government and private entities?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Describe Financial investments:						
Amount of NPS NHA Federal funding over time	x			x		x
Amount of other Federal funding over time	x			x		x
Amount and sources of other funds over time						
In-Kind Match support over time	x			x		x
Nature/amount in grants sought and grants awarded over time						

Research Question, Domains, Measures Evaluation Q.2 What have been the impacts of investments made by Federal, State, Tribal, and local government and private entities?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Amount/diversity of donor contributions over time	x			x		x
Assess Impact of financial investments						
Amount of dollars committed to each NHA activity (Interpretation & education, Preservation, Development, Technical assistance and Marketing) over time	x	x				x
Revenue generated from NHA program activities – educational and recreational	x					

Research Question, Domains, Measures Evaluation Q.2 What have been the impacts of investments made by Federal, State, Tribal, and local government and private entities?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Consistency of donor support	x		x			x
Expansion of base of donors over time	x		x	x	x	x
Economic Impact / Job creation	x					x

Research Question, Domains, Measures Evaluation Q.2 What have been the impacts of investments made by Federal, State, Tribal, and local government and private entities?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Describe Other types of investment	x	x		x	x	x
Partnership contributions (e.g., time, staff, resources)	x	x	x	x	x	x
Community contributions (e.g., volunteerism)	x	x				x
Other In-Kind donations	x	x				x

Research Question, Domains, Measures Evaluation Q.2 What have been the impacts of investments made by Federal, State, Tribal, and local government and private entities?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, Other Documents	Financial Data Forms
Assess Impact of other investment sources						
Educational impacts	x	x		x		
Marketing and promotional	x	x		x		
Staff enhancement and retention	x	x		x		x
Land/facilities acquisition	x	x		x		x
Economic Impact / Job creation	x					x

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Describe Nature of management structure		x				x
Description of management structure	x			x	x	
Description of NHA mission and vision	x	x	x	x	x	x
Description of NHA goals	x	x		x	x	
Description of staffing and volunteers	x	x		x	x	

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Description of governance & role in organization	x			x	x	
Description of executive leadership& role in organization	x			x	x	

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Assess Coordinating entity's contribution to sustainability						
Diversity of skills and expertise	x	x		x		
Capacity for adaptive management over time (incl. changes in staffing levels, strategic planning, etc.)	x			x		x
Investments in developing staff and career advancement opportunities	x	x		x		

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Clear NHA goals with well-defined timeframes	x			x		x
System for setting annual goals or for establishing budgets	x	x		x		x
Systematic process for collecting data on measurable goals and usage of data (monitoring and evaluation)	x			x		x

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Established fundraising plan (immediate and long-term, sustainable impacts)	x	x	x	x		
Established system of financial accountability	x	x	x	x		
Transparency of systems for setting goals, establishing budgets and financial accountability (a public or private process)	x	x		x		
Stakeholder development plan (sustainable impacts)	x					

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Growth and development of partner network	x			x		
Transparent and effective communication channels with governance, staff, volunteers, partners, etc.	x			x		
Established and consistent communication mechanisms with partners, members and local residents	x			x		
Coordinating entity has leadership role in partner network	x					

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Describe Nature of partner network						
List of partners	x	x		x	x	
Purpose of each partnership	x	x		x		
Partners' involvement with NHA	x	x		x		
Resource commitment from partners (for what? for how long?)	x	x				

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Assess Partner network's contribution to sustainability						
Broad base of partners representing diverse interests and expertise in the NHA	x	x		x	x	
Partner collaboration and combination of investments to accomplish NHA objectives	x	x		x	x	

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Partner retention over time	x	x				
Number of partners over time	x			x		
Partners' role(s)on NHA boards	x					
Trust and support among partners	x					

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Assess Financial sustainability						
Amount of dollars committed to each NHA activity over time	x	x		x		x
Allocation of Federal funds over time	x			x		x
Sources and amount of leveraged funds over time and sources and amount on **matching** funds over time	x	x		x		x
Activities that can continue post-sunset of Federal dollars	x					

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Assess Economic impact on sustainability						
Resource stewardship resulting in improved economic value of NHA	x	x				x
Improved earned income over time	x	x				x
Trends in return on fundraising investment	x					x

Research Question, Domains, Measures Evaluation Q.3 How do the NHA management structure, partnership relationships and current funding contribute to its sustainability?	NHA Management Interviews	Partner Network Interviews	Community Input	Plans, Legal Documents	NHA Guides, Brochures, Web Sites, and Other Documents	Financial Data Forms
Trends in contribution and grants ratio – indicates dependence on voluntary support	x					x
Trends in debt ratio	x					x
Trends in average annual operating revenue	x					x
Economic Impact / Job creation	x					

NHA Management/Staff Topic-Centered Interview Discussion Guide

INTRODUCTION

Thank you for talking with me today. As part of the Federally mandated evaluation of NHAs we are talking with NHA coordinating entity staff who have the most history and scope of understanding of the NHA's operations. We developed this logic model, based on our last visit to your area, 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 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.

[Begin with reviewing goals, etc. from logic model]

HISTORY AND BACKGROUND

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

2. How did the NHA designation come about? How did this designation affect your strategic planning processes and management plan?

3. What was your working relationship like with NPS? Has that relationship evolved over the time you have been working with them?

4. How are the management and operations of the NHA coordinating entity currently structured?

   Probes: - Description of executive leadership and role in organization

   - Description of governance and role in organization
   - Description of staffing and volunteers

5. What is the mission and vision for the NHA? What are the goals for the NHA coordinating entity?

6. Can you describe the various planning processes that the NHA coordinating entity 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 NHA and who/what is involved in their implementation

[Begin with reviewing goals, etc. from logic model] According to the logic model, the coordinating entity is involved in the following activities *[Choose from the activities listed below that pertain to the NHA]*

Planning and Technical Assistance:

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

Grant-making

We'd like to learn more about your grant-making activities. We're interested in learning more about your grant programs, including:

- Grant Program A
- Grant Program B
- Grant Program C
- Grant Program D
- Grant Program E
- Any other types of grants we may have missed?

1. For each of these grant-making programs, could you describe:
    - 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 America'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 :
   - Partners – their capacity, the relationships among partners - in what ways?
   - The NHA overall and how it is perceived more generally?
   - Community support for preservations, interpretive, educational activities?
   - Job creation – for partners, in the larger community, etc?

3. Are there certain grant programs that have been more successful than others in achieving the goals of the NHA? If so, why do you think these have better impacts for the overall 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 NPS NHA Federal funding sunsets or is reduced? Are there other organizations in the community who also provide grants that support the Heritage Area?

8. 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 technical assistance activities. According to the logic model, we know you engage in several types of activities, such as:

- Technical Assistance Activity A (e.g., trainings and workshops, one-on-one consultations, sharing best practices and resources)

- Technical Assistance Activity B (e.g., trainings and workshops, one-on-one consultations, sharing best practices and resources)
- Any other technical assistance activities we may have missed?

1. Could you provide the following details about each of your technical assistance activities?
    - What are the types of topics covered? How do you determine topics?
    - Who are the recipients?
    - How you determine when and to whom to offer these services?
    - If it is an event, in what region/area is it delivered?
    - Who provides [Technical Assistance Activity] (i.e. NHA staff, NPS staff, partners, etc.)?
    - How many times have you performed [Technical Assistance Activity] in the past year? What is the length of time for each?
    - What are the costs and funding sources for [Technical Assistance Activity]?
    - What are the goals and objectives of [Technical Assistance Activity]?

2. How long has the organization been providing [Technical Assistance Activity]? 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 has [Technical Assistance Activity] affected: *Probe – for each of these, how do you know any of these outcomes occurred?*
    - Recipients – increased knowledge and skills?
    - Partners – their capacity, the relationships among partners - in what ways?
    - The NHA overall and how the NHA is perceived more generally?
    - Community support for preservation, interpretive, educational activities?

4. Could you tell us what have been the overall accomplishments of [Technical Assistance Activity]? What challenges have you encountered in implementing this activity?

5. How do you evaluate and/or assess the effectiveness of [Technical Assistance Activity]?

6. How would this activity be affected if the Federal funding sunsets or is reduced? Are there other organizations in the community who also provide this activity in a way that support the Heritage Area?

7. Are there documents you could provide us that describe [Technical Assistance Activity], such as the types of assistance provided, to whom and the related outcomes?

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 or is reduced? 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 this activity and how it has been implemented over the years?

Development and Infrastructure:

Heritage based development activities that further provide educational and inspirational opportunities for current and future generations. Examples of some of these activities include overseeing NHA clean-up and management and performing or overseeing repair and management.

1. For each of these activities:
    - When did it begin? What was the impetus for starting it?
    - What has been the role of the NHA coordinating entity?
    - 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 NHA and its resources has had in the community?

Probes: - Engagement of residents and visitors/future stewardship

- Educational/interpretational impacts
- Preservation of NHA and its historical resources
- Restoration of NHA resources
- Economic impact / Job creation

3. How would this activity be affected if NPS NHA Federal funding sunsets? Are there other organizations in the community who also provide this activity in a way that supports the Heritage Area?

4. Are there documents you could provide us that describe this activity and how it has been implemented over the years?

Heritage Programming, Interpretation and Education:

Activities and programs that foster public support and appreciation for the NHA site and tell the story of its natural, historical and cultural significance. These activities may include special centers, tours, trail walks, events (regular or special) and festivals.

Programming and Interpretation

1. Please provide the following details for each of these activities.
   - When did it begin? What was the impetus for starting it?
   - What has been the role of the NHA coordinating entity?
   - What has been the role of the NHA's 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 has/have been the greatest impact(s) of programming and interpretation activities in your area?

Probes: - *Engagement of residents and visitors*

(# served/involved/affected)

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

3. How would [Programming/Interpretation Activity] be affected if the NPS NHA Federal funding sunsets or is reduced? 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 [Programming/Interpretation Activity] and how it has been implemented over the years?

Education

1. For each educational activity, could you provide details about:
   - The nature of the activity?
   - When it began?
   - What was the impetus for offering the activity?
   - When it is offered?
   - To whom you provide it? (i.e., teachers, students, etc.)
   - The role of NHA staff in providing this?
   - The role of the community in implementing these activities?

2. How have the educational activities affected:
   - Participants – increased knowledge and skills
   - Partners – their capacity, the relationships among partners - in what ways?
   - This NHA overall and how it is perceived more generally?
   - Community support for preservations, interpretive, educational activities?
   - Ability to provide a cohesive NHA experience focused on the themes of American agriculture?

3. Could you tell us what have been the accomplishments of your educational activities? What challenges have you encountered in implementing these activities?

4. How do you evaluate and/or assess the effectiveness of your educational activities?

5. How would this activity be affected if the Federal funding sunsets or is reduced? 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 these educational activities, such as the types of educational activities provided, to whom and the related outcomes?

Marketing and Public Outreach:

Activities that increase public use and awareness of the 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 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 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?)*
    - Partners – their capacity, the relationships among partners - in what ways?
    - The NHA overall and how it is perceived more generally?
    - Engagement of residents and visitors/tourism?
    - Community support for preservations, interpretive, educational activities?
    - Economic impacts?
    - Ability to provide a cohesive NHA experience

3. Could you tell us the overall accomplishments of your marketing activities? What challenges have you encountered in implementing these activities?

4. How would [Marketing Activity] be affected if the NPS NHA Federal funding sunsets or is reduced? Are there other organizations in the community who also provide [Marketing Activity] in a way that support the Heritage Area?

5. Are there documents you could provide us that describe the NHA's marketing and outreach activities and how they have been implemented over the years?

Preservation and Resource Stewardship:

Activities that support the long-term preservation, conservation and reclamation of natural, cultural and historic resources. Related activities may include property rehabilitation, historic reenactments and environmental conservation efforts.

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 NHA coordinating entity?
    - What has been the role of the NHA Administrative staff (coordinating, sponsoring, promoting, attending, staff service on Boards)?
    - What has been the role of the NHA's partnership network?
    - What has been the role of the local community (attending, promoting, supporting)?

2. What has/have been the greatest impact(s) of this activity in your area?

Probes: - *Environmental, cultural and historic resources conservation*

- *Artifact or building restoration*
- *Greater amount/diversity in sources of funding committed to conservation and stewardship*
- *Increased capacity of partners*
- *Growth in partner network*
- *Community revitalization*
- *Job creation*

6. How would this activity be affected if the NPS NHA Federal funding sunsets or is reduced? Are there other organizations in the community who also provide this activity in a way that support the Heritage Area?

7. 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 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 NHA's coordinating entity?

3. How do the skills and expertise that members of these committees bring to the table contribute to the 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 NHA's staff and members of the Board of Trustees and Advisory Groups?

7. What activities has the 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 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 NHA's sustainability?

2. Has the 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 NHA's Board seemed to have set clear goals for the 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 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 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 NHA? (Is this a public or private process)?

10. What kind of plan is in place for stakeholder development?

    Probe: - How has the NHA's partner network changed 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.?

9. Would you say that this 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 NHA's key "partners" (e.g., city, state, other agencies, groups, foundations, businesses, exhibits/attractions)?

2. For each partner please provide the following information:

    - What do you see as the "purpose" of the NHA's partnership with [partner name]?

- Describe [partner name]'s level of involvement with the NHA.
- What kinds of resources has [partner name] committed to the NHA? For what? For how long?

3. Could you describe how an organization becomes a partner? What is the partner designation process? What are the requirements for becoming a partner?

4. What types of services or support do partners receive from the NHA?

5. What types of services or support do you receive from your partners?

6. How do partners support one another?

7. How has the NHA's partnership network 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.

8. In what ways has the partnership network influenced your organization? *Probe – look at the logic model for examples of activities in which the partnership network may have been an influence*

9. What challenges have you faced with your partnership network? For instance, have there been in 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 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 NHA? Do partners collaborate and combine their investments to accomplish NHA objectives? If yes, how?

3. How has the number NHA partners changed over time?

   Probe: What kind of partner retention has the NHA had over the years?

4. What kinds of roles (if any) do NHA partners have on the board?

5. Does there seem to be trust and support among partners?

6. How would partners, and their NHA related activities be affected if NPS NHA Federal funding for the NHA discontinued or reduced? 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 this NHA?

2. Could you tell us about some of the challenges the coordinating entity and the National Heritage Area face?

3. How would the National Heritage Area 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 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 of funding?

5. Are there ways this 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 this NHA?

7. Could you tell us about any evidence of community support for the 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 NHA coordinating entity do, if any? What changes would it be helpful for the NHA coordinating entity to make?

Partner Network Topic-Centered Interview Discussion Guide

INTRODUCTION

Thank you for agreeing to meet with us today about your organization's involvement with the [NHA]. We are researchers from and we are conducting a study on National Heritage Areas. Specifically, we're interested in learning about your work with the NHA coordinating entity 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 NHA coordinating entity, how it has evolved and how the NHA coordinating entity 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, size of organization, 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 NHA AND NHA COORDINATING ENTITY

1. Can you briefly the nature of your relationship with the NHA and its coordinating entity?

2. What factors influenced your decision to become a partner with the NHA coordinating entity?

3. When and how did your partnership with the NHA coordinating entity begin? What, if any, requirements are there for being a partner?

4. What is the nature of the partnership?

   Probe: What types of services/programs/benefits do you receive through the NHA coordinating entity?

   What types of services/programs/benefits does the NHA/coordinating entity receive through you?

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

6. Could you describe how your partnership with the NHA coordinating entity 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 NHA coordinating entity?
   - Has it helped you receive funding? In what ways? What funding have you received that you may not have without the NHA coordinating entity 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 NHA coordinating entity?
   - 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?

7. Could you describe how you've used this assistance to incorporate or enhance stories about the NHA heritage into you programming?

8. How have this assistance and your activities/offerings evolved over time?

9. What does this assistance from NHA coordinating entity 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?

COLLABORATION

1. Could you describe the ways your organization collaborates with NHA coordinating entity and/or with other NHA regional partners?

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 other organizations or resources in the community because of your collaboration with NHA coordinating entity? How? *Probe – NPS, other state resources*

OVERALL IMPACT OF PARTNERSHIP WITH NHA

1. How has your relationship with the NHA coordinating entity evolved over time? Has the impact of NHA coordinating entity changed over time – grown stronger, weaker or stayed the same?

2. Have you experienced any challenges as a result of your partnership with the NHA coordinating entity? *Probe – limitations on ability to fundraise or collaborate with other organizations?*

3. What leadership roles does the NHA coordinating entity play in the community? Convener? Organizer? Funder? Other?

4. Are there ways in which the NHA coordinating entity coordinating entity has changed the region over the past x years? How? In what ways? How has NHA coordinating entity'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 NHA coordinating entity? Why? What factors influence your continued relationship?

6. What additional things would you have the NHA coordinating entity coordinating entity do, if any? What changes would be helpful for NHA coordinating entity 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 NPS NHA Federal funds that support the NHA discontinued? Would any of your activities that contribute to the NHA mission and story continue? *Probe if there would be an impact on the quantity or quality of these activities?*

8. What do you think would be the overall impact if the Federal funding that supports the NHA coordinating entity discontinues? Are there other mechanisms or organizations that could support the unique features and heritage of the area?

Heritage Area Residents/Visitors Topic Centered Interview Discussion Guide

For Interviews at Interpretive Center and/or Boat Tour

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.

Conversation Topics:

1. Residency: ☐ Local resident ☐ State resident ☐ Out-of-state

2. How visitor found out about the site:

3. Reason for visiting:

4. ☐ First time visit ☐ Repeat visit

5. Familiarity with 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

6. Familiarity with National Heritage Area
   - Probe on materials (brochure)
   - Probe on signage (signage)
   - Probe on visiting NHA resources (tours, museums, trails)
   - Probe on message (themes) of NHA
   - Probe on what NHA means to them
   - If local, probe on role of NHA in community – economic, cultural, historic, restorative [revitalization]

Data Table Shells for NHA Activities

The following tables serve as guides for identifying relevant data sources and collecting data pertinent to the National Heritage Area's activities, including grant-making programs, technical assistance activities (workshops and trainings), marketing activities, etc. Instructions for completion are shown below each table. Expand tables as necessary.

Table E1. Overview of Grant Programs, Inaugural Years and Purposes

Grant Program	Year Started	Purpose of Grant Program

Instructions: Populate the table with each grant program the NHA offers, the year each program began and the purpose for each grant program.

Table E2. Grant Type, Number Awarded and Dollars by Year

Year	Grant Type	#	Dollar Amount
Totals			

Instructions: Populate the table with the data on the types of grants awarded to applicants each year, the number of awards administered for each grant program in the corresponding year, and the cumulative dollar amount for that grant program. Note: There may be multiple types of grants awarded in each year.

Table E3. Yearly number of grants requested and awarded and award ratios

Year	**Number Requested**	**Number Awarded**	**Award Ratio**
Total			

Instructions: In the Number Requested column list the number of grant applications the NHA received for each year. List the number of grants awarded in the following column. Calculate the award ration and list the percentage in the final column.

To calculate the award ratio for each row, use the following formula: $\frac{Number\ Awarded}{Number\ Requested} \times 100$

Table E4. NHA Workshop Offerings and Attendance by Year

Year	**Workshop**	**Location**	**Attendance**
		Total Attendance	

Instructions: Populate the table with the name of each workshop offered within the respective year, the workshop location and corresponding number of attendees.

Table E5. NHA Trainings and Attendance by Year

Year	Training	Location	Attendance
		Total Attendance	

Instructions: Populate the table with the name of each training offered within the respective year, the training location and corresponding number of attendees.

Table E6. NHA Consultation Offerings and Recipients by Year

Year	Consultation Type	Recipients
	Total Number of Recipients	

Instructions: Populate the table with the type of each consultation provided within the respective year, and corresponding number of recipients.

Table E7. NHA Partners and Types of Support Provided to the NHA

Partner	Support Provided	Value, if applicable
Example: *County Parks & Recreation*	*Maintains NHA visitor center*	

Instructions: Populate the table with names of each of the NHA's partners and the support each partner provides to the NHA.

Table E8. Accomplishments in NHA Preservation

Year	Accomplishments

Instructions: Populate the table with the NHA's accomplishments for supporting long-term preservation, conservation and reclamation of its natural, cultural and historic resources.

Table E9. NHA Interpretation and Education Activities

	[Interpretation/ Educational Program] Beneficiaries **i.e. # of visitors to summer camps**	**[Interpretation/ Educational Program] Beneficiaries** **i.e. # of schools/grades using NHA education curricula**	**[Interpretation/ Educational Program] Beneficiaries** **i.e. # of school trips to NHA**
Total			

Instructions: Place the NHA's interpretation or education activities and programs in the header row. List the number of beneficiaries for each of the programs listed. Relevant programs may include summer camps, informative/interactive websites, grade/age appropriate-curricula and/or educational tours of the NHA.

Table E10. Visitors to the Heritage Area

	NHA Visitors
Total	

Table E11. NHA Website Hits per Year

Year	Website Hits
Total	

Protocol for Review of NHA Financial Data Forms

Targeted information sources: Annual financial statements and reports (audits, tax returns, budget activities and performance reports)

Purpose: The information targeted by this protocol is intended to determine the following:

- The extent to which the NHA coordinating entity has met its legislative mandate for receipt of NPS NHA Federal funding, including matching contributions from non-Federal sources
- Sources and amounts of funds (including Federal, non-Federal and in-kind sources) received by the NHA coordinating entity
- How the NHA coordinating entity invests its funding
- The level of funding that is required to sustain NHA operation and achievement of goals, and
- How the NHA coordinating entity maintains financial accountability
- Areas of legislative mandate that currently are not receiving funding

NHA COORDINATING ENTITY FINANCIAL & OTHER RESOURCES

A. NPS funding

1. How much did the NHA coordinating entity receive each year from NPS Federal Assistance (Federal funding for NHA) from time of designation?
2. Other NPS Funding?

B. Funding Received from Other Sources

1. What were the amounts of funds received from other sources each year since designation?
    - What/Who were the sources of those funds?
    - How much was received?
    - What (activities, programs, etc) were the funds received for?

2. What were the amounts and sources of leveraged funds receivedsince designation?
    - Extent to which the funding is discretionary or restricted
    - Nature/amount in grants applied for (if data are available) and grants awarded over time

C. Other types of investments

1. What other types of investments have been made in the NHA between since designation? To which activities?

- Partnership contributions (e.g., time, staff, resources)
- Community contributions (e.g., volunteerism)
- Donated services and supplies

2. What amounts of revenue have been generated from NHA program activities since designation (e.g., from educational and recreational activities)?

ALLOCATION OF FINANCIAL & OTHER RESOURCES

1. How has financial and non-financial (donated goods/services) funding been allocated?
   - Amount of dollars from NPS allocated to each NHA activity (Interpretation & Education, Preservation, Development, Technical Assistance and Marketing) over time
   - Amount of dollars from other sources that have been allocated to each NHA activity (Interpretation & Education, Preservation, Development, Technical assistance and Marketing) over time

RESOURCES NEEDED TO SUSTAIN THE NHA

A. NHA coordinating entity's level of unrestricted[2] funding

1. What are the NHA coordinating entity's assets (current, fixed, other, net)?

2. What are the NHA coordinating entity's liabilities (loans, outstanding costs)?

   - What are the NHA's typical operating expenses and what proportion of NPS funding supports this?

B. Areas the Coordinating Entity Contributed to Sustainability

1. What kinds of investments have been made toward developing staff and career advancement opportunities and how do they contribute to heritage development?

[2] "Unrestricted" funds are those that are available for a nonprofit to use toward any purpose. Unrestricted funds usually go toward the operating expenses of the organization

2. What kind of system does the coordinating entity have for setting annual goals or for establishing budgets?

3. What kind of fundraising plan is in place and what kinds of impacts has this had (immediate and long-term, sustainable impacts)?

FINANCIAL ACCOUNTABILITY

1. What kind of system is in place for maintaining financial accountability (who does the coordinating entity report to)?

2. How does the coordinating entity account for its activities and any requests for/uses of funds (What types of reports are maintained and why)?

3. Who has financial oversight of financial planning for the NHA?

4. What type of accounting system is in place (staffing and systems)?

Financial Data Tables and Graphs

Table G1. Overview of NPS Funds and Matching Contributions by Year

Year	NPS Funds	Non-Federal Funds	External Matching Contributions
TOTAL			

Table G2. NHA Match Results by Year

Year	NPS Funds	Matching Contributions
TOTAL		

Table G3. Investments Received

Year	Federal - NPS	Other Federal	State/Local	Private - Individual	Foundation & Non-Profit	Corporate Sponsors	In-Kind	Misc.	Total
TOTAL									

Table G4. NHA Coordinating Entity Spending by Year

Year	Operational Expenses	Program Expenses	Total
TOTAL			

Table G5. NHA Coordinating Entity Programmatic Expenditures by Year

Year																**Total**
Activity A																
Activity B																
Activity C																
Activity D																
Activity E																
Activity F																
Total																

Table G6. NHA Programmatic Spending by Activity, Total since designation

Activity	**Total**	**Percentage**
Activity A		
Activity B		
Activity C		
Activity D		
Activity E		
Activity F		
Total		

Table G7. Federal Funds Received, Non-Federal Funds Received, Total Revenue and Total Expenses by Year

Year	Federal Revenue	Non-Federal Revenue	Total Revenue	Expenses

Findings Document Outline

For Evaluations of NHA Coordinating Entities

Executive Summary/Key Findings

A. Define the purpose of the evaluation in relationship to PL 110-229 and outline the key evaluation questions
B. Key Findings in relationship to key evaluation questions

Section 1: Introduction (common to all NHA Coordinating Entity evaluation findings documents)

A. Define and describe the National Heritage Areas (NHAs) and NHA coordinating entities
B. Describe the evaluation methodology (including limitations), tools, and roles/functions

Section 2: NHA Coordinating Entity Overview

A. Introduction of the NHA and NHA coordinating entity (include map)
B. Description of the area prior to official designation as a NHA, and current description of the Heritage Area
C. Description of the NHA coordinating entity structure and organization – include summary of authorizing legislation, mission and vision, and organizational structure
D. Overview of the relationships between and among the NHA coordinating entity, Partners, and the National Park Service

Section 3: NHA Coordinating Entity's Fulfillment of the Authorizing Legislation and Management Plan

A. Describe NHA coordinating entity's goals and objectives as required by the authorizing legislation, original and revised management plans(present logic model)
B. Identification (and assessment of progress) of the NHA coordinating entity's programs/activities and the ways in which they fulfilled the intent of the authorizing legislation and current management plan

C. Description (and assessment of progress) of the NPS/NHA coordinating entity relationship and how it compares to what is described in the authorizing legislation and current management plan

Section 4: Public/Private Investments (Federal, State, Tribal, and local government and private entities) in the NHA Coordinating Entity and their Impact

A. Overview of the investments made in the NHA coordinating entity since its inception, broken down by major category
B. Analysis of how the NHA coordinating entity utilized its investments
C. The impact of the NHA coordinating entity's investments including short term outcomes and also long term outcomes.

Section 5: Identification and Assessment of Components Required for Maintaining a Successful and Sustainable (self-sufficient) NHA Coordinating Entity

A. Define important management roles/functions and the extent to which they exist (formal or informal)
B. Define partnerships/interrelationships that are needed to achieve sustainable results and the extent to which they exist (formal or informal). Include in this analysis NPS' current role and how it impacts the sustainability of the NHA coordinating entity
C. Describe the role that catalyst funding has played and continues to play in the NHA coordinating entity (leveraging)
D. Define financial resources needed and their role in defining and sustaining the NHA coordinating entity. Include in this analysis NHA coordinating entity activities/program areas that would continue or discontinue with the sunset or reduction of funds, and assess whether these activities support issues of National importance.
E. Assess whether other organizations or mechanisms exist outside of the NHA coordinating entity can contribute to accomplishing NHA goals and objectives post-sunset or reduction of Federal funds

Appendices:

1. Evaluation Legislation
2. Authorizing Legislation
3. Evaluation Methodology
4. Timeline of NHA Key Events - including investments and key events affecting, influencing, and changing local priorities/need