

## Chapter 6

# PLAN FOR MANAGEMENT ENTITY

---

Development of the concept of a Santa Cruz Valley National Heritage Area has involved a gradual transition from informal meetings of small numbers of local citizens to creation of a special-purpose, nonprofit organization to provide long-term leadership. In this process, other options were considered (see below, and also Chapter 9). The pending National Heritage Partnerships Act will require identification of the local management entity of a proposed National Heritage Area. This section outlines the structure and role of the proposed management entity for the Santa Cruz Valley National Heritage Area. Several different types of organizational structures are in place in the 24 existing National Heritage Areas. These other management concepts were assessed, and a local option was developed.

## MANAGEMENT STRUCTURES OF EXISTING NATIONAL HERITAGE AREAS

The management entities of existing National Heritage Areas can be categorized into several types. The following comparisons are based on information obtained about the organizational structures of 15 of the 24 existing National Heritage Areas. In this sample, there are four types of management entities: (1) federally appointed commissions; (2) locally appointed commissions; (3) departments of public universities; and (4) nonprofit corporations. In all of these types of management entities, representatives of the National Park Service serve in non-voting (*ex officio*), advisory roles.

### Federally Appointed Commissions

Several existing National Heritage Areas are managed by federally appointed commissions, with their operations administrated by National Park Service staff. Most of these National Heritage Areas were designated directly by Congress, and some operate under management plans prepared by the National Park Service. The number of commissioners on each of these management entities is usually between 15 and 30. Commission appointments are usually based on recommendations by Congressional delegations, and are designed to ensure representation of local municipalities, state agencies, business interests, economic development, tourism, historic preservation, outdoor recreation, and private landowners. Some of these commissions have formed nonprofit, 501(c)(3) corporations to build partnerships and to guide programs.

#### *Examples*

Blackstone Valley National Historic Corridor (Massachusetts and Rhode Island)

- ◆ Designated in 1986, second National Heritage Area in the country
- ◆ Managed by a 19-member, bi-state, federally appointed commission
- ◆ National Park Service staff administers operations and implements interpretive programs

### Cache La Poudre River Corridor (Colorado)

- ◆ Designated in 1996
- ◆ Managed by a federally appointed commission
- ◆ “To guide programs,” commission designees formed a nonprofit, with 12 board members representing local governments, agricultural interests, and a state water conservation district

### Cane River National Heritage Area (Louisiana)

- ◆ Designated in 1994
- ◆ Managed by a federally appointed commission, with 19 members representing municipalities, the state, business/tourism, preservation, hunting, river use, cultural heritage, and private landowners

### Erie Canalway National Heritage Corridor (New York)

- ◆ Designated in 2000
- ◆ Managed by a federally appointed, 27-member commission, with appointments based on recommendations by the governor and the region’s Congressional delegation

### Essex National Heritage Area (Massachusetts)

- ◆ Designated in 1996
- ◆ Managed by an 85-member, federally appointed commission representing municipalities, business, tourism, preservation, education, and environmental interests (26 additional members are state and federal legislators serving ex officio)
- ◆ An 18-member board of trustees represents local chambers of commerce, economic development, conventions/tourism, colleges, arts, nature conservation, museums, historic preservation, and private corporations
- ◆ A 23-member executive committee oversees operations

## Locally Appointed Commissions

The Lackawanna Heritage Valley in Pennsylvania started as a state heritage area and later obtained a National Heritage Area status. It is managed by a state-certified municipal authority, with a county-appointed board of directors. The board of directors is advised and assisted by several committees representing varied local interest groups. Similarly, the management plan of the National Coal Heritage Area in West Virginia recommends that the Heritage Area be managed by a state-appointed commission in partnership with a new nonprofit corporation with a board of directors representing varied local interest groups.

### *Examples*

#### Lackawanna Heritage Valley State and National Heritage Area (Pennsylvania)

- ◆ Designated in 2000

- ◆ Managed by a county-appointed commission with a 6-member board of directors representing the county, colleges, business, heritage destinations, historic preservation, economic development, and residents
- ◆ Advised and assisted by several committees:
  - Lackawanna Heritage Valley Roundtable (heritage attractions, tourism, preservation)
  - Lackawanna River Heritage Trail Management Committee (parks, recreation, business, boroughs, citizens)
  - Education Alliance (no information)

#### National Coal Heritage Area (West Virginia)

- ◆ Designated in 1996
- ◆ Currently developing management plan
- ◆ Management plan recommends that the National Coal Heritage Area be managed by a state-appointed commission in partnership with a new nonprofit representing various interests; some members would overlap

### **Departments of Public Universities**

One existing National Heritage Area is managed by a department of a public university. The department is tax exempt, and funds are managed by the university foundation. The department is advised and directed by a 25-member board representing the state, counties, tourism, historic preservation, and other local interests. The board's 4-member executive council is composed of representatives of the governor, the state tourism agency, the State Historic Preservation Office, and the university department.

#### *Example*

#### Tennessee Civil War National Heritage Area (Tennessee)

- ◆ Designated in 1996
- ◆ Operations administrated by staff of the Center for Historic Preservation at Middle Tennessee State University (MTSU), a university department which also serves as the clearinghouse for federal funding; center funds are administrated and invested by the MTSU Foundation
- ◆ Center is advised by a 25-member Board of Advisors representing the state, counties, preservation, nature conservation, heritage destinations, and tourism. Board members are appointed based on recommendations from the governor, state tourism agency, and State Historic Preservation Office (SHPO)
- ◆ A 4-member executive council of the Board of Advisors includes representatives of governor, state tourism agency, SHPO, and the Center for Historic Preservation

### **Nonprofit Corporations**

The most common management entities are nonprofit corporations with 501(c)(3) status with the Internal Revenue Service. These usually operate as public charities rather than private

foundations [the two types of 501(c)(3) organizations] because: (1) they receive substantial portions of their funding from governmental units, publicly supported organizations, and the general public; and (2) they receive more than one-third of their financial support from contributions, membership fees, and gross receipts from activities related to their tax-exempt functions, and normally receive less than one-third of their funding from investments. These nonprofits typically have boards of directors (or boards of trustees), with between 12 and 16 members, with executive committees of between five and seven members that oversee operations. Interests represented by board members often include counties, municipalities, state agencies, tourism, economic development, historic preservation, nature conservation, and residents. Board members usually participate in several planning committees. These nonprofits are usually assisted by advisory commissions, councils, or committees with broad representation of local interest groups, including counties, municipalities, tribes, state agencies, businesses, economic development, education, tourism, heritage attractions, arts, historic preservation, nature conservation, outdoor recreation, and private landowners.

### *Examples*

#### Ohio & Erie Canalway National Heritage Corridor (Ohio)

- ◆ Designated in 1996
- ◆ Managed by a nonprofit, 501(c)(3) corporation with a 15-member board of directors representing four counties, city planning departments, parks, economic development, and tourism (National Park Service ex officio)
- ◆ A 5-member executive committee oversees operations
- ◆ Management entity partners with two other nonprofits on programs
- ◆ Assisted by several advisory committees with broad representation of local interest groups

#### Path of Progress National Heritage Tour Route (Pennsylvania)

- ◆ Designated in 1988
- ◆ Originally managed by a 21-member federally appointed commission
- ◆ Supporting legislation renewed in 1998
- ◆ Federally appointed commission now serves as the funding entity
- ◆ Now managed by a nonprofit 501(c)(3) corporation with a 6-member board of directors
- ◆ Nonprofit management entity also has a for-profit arm

#### Quinebag and Shetucket Rivers Valley National Heritage Corridor (Connecticut and Massachusetts)

- ◆ Designated in 1994
- ◆ Managed by private, nonprofit 501(c)(3) corporation with 16-member board representing local organizations and state officials
- ◆ Board members elected annually by membership
- ◆ Members participate in five planning committees
- ◆ Partners include the National Park Service, Connecticut Humanities Council, state historic commissions, state environmental protection and transportation agencies, and local economic development organizations
- ◆ Has several active committees with broad citizen participation

### Shenandoah Valley Battlefields National Historic District (NHA) (Virginia)

- ◆ Designated in 1996
- ◆ Originally managed by a federally appointed commission
- ◆ Now managed by a nonprofit, 501(c)(3) corporation with a 23-member board of trustees representing varied interests, including the state, counties, municipalities, other nonprofits, and residents
- ◆ The nonprofit has the authority to provide federal funding to help local groups acquire Civil War sites; the only National Heritage Area with such authority

### Silos and Smokestacks National Heritage Area (Iowa)

- ◆ Designated in 1996
- ◆ Managed by a nonprofit, 501(c)(3) corporation with a 12-member board of trustees representing municipalities, counties, colleges, parks, agricultural equipment manufacturers, preservation, and residents
- ◆ Advised by a non-voting committee of prominent Leadership Advisors representing the state, municipalities, businesses, and universities
- ◆ Receives recommendations for project funding from a 15-member Partnership Council representing heritage destinations, preservation societies, universities, farm bureau, and lodging

### Wheeling National Heritage Area (West Virginia)

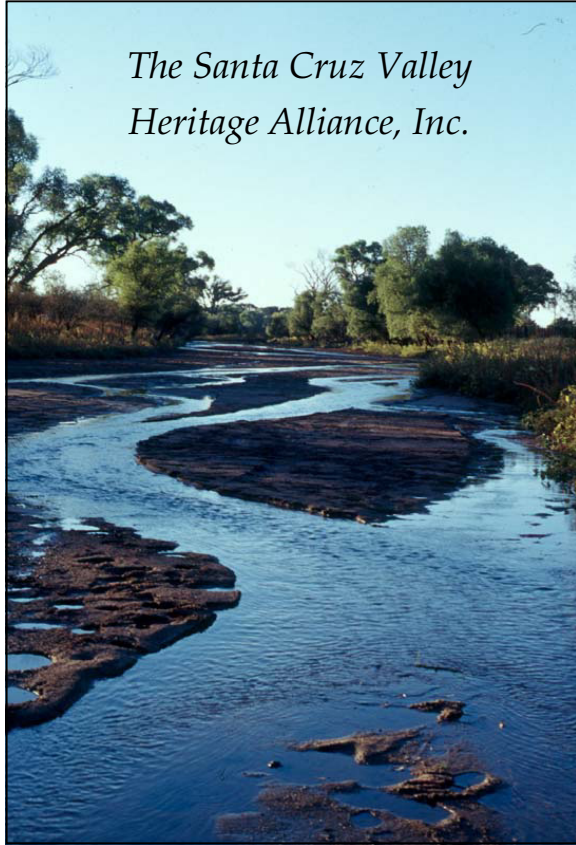
- ◆ Designated in 2000
- ◆ Managed by a nonprofit 501(c)(3) corporation with 12 board members representing city, county, and state
- ◆ A 9-member foundation helps with fundraising
- ◆ Management plan recommends creation of a 20-30 member Community Advisory Council

### Yuma Crossing National Heritage Area (Arizona)

- ◆ Designated in 2000
- ◆ Managed by a nonprofit, 501(c)(3) corporation with an 11-member board of directors representing the city, county, state, tourism/economic development, historical societies, historic preservation, agriculture, residents, and the National Park Service (ex officio)
- ◆ A 7-member executive committee oversees operations; members include representatives of the city, tourism/economic development, historical society, agriculture, and residents.
- ◆ A large advisory commission represents a broad range of community interests

## **PLAN FOR MANAGEMENT ENTITY OF THE SANTA CRUZ VALLEY NATIONAL HERITAGE AREA**

The organizational concept of the proposed management entity follows the nonprofit model used by the majority of existing National Heritage Areas. This nonprofit, 501(c)(3) corporation chartered in the State of Arizona includes a Board of Directors that is responsible for planning, fundraising, and staff hiring. The current board has reviewed various options and has approved



*A new nonprofit corporation to develop the management plan after designation of the National Heritage Area.*

*Will be the management entity of the National Heritage Area.*

*The management entity will include representatives from local governments, tribes, business interests, preservation groups, and other stakeholders.*

*The management entity will develop priorities and objective criteria for selecting projects to support.*

the general organizational structure and goals presented here. The board is currently seeking new members to ensure equitable representation of jurisdictions, interest groups, and cultures within the proposed boundaries of the National Heritage Area. Eventually, a smaller Executive Committee will be elected from among the board members to oversee operations and provide direction to staff. The staff will implement programs and coordinate the activities of the National Heritage Area. The Board of Directors will be advised and assisted by a relatively large Partnership Council whose members represent a broad range of local interests.

### **Board of Directors**

In June of 2004, an Arizona not-for-profit entity, the Santa Cruz Valley Heritage Alliance, Inc., was incorporated, and a Board of Directors was selected. This board is currently composed of 24 representatives of varying interests from throughout the region, with an equal number from each of the two counties within the proposed National Heritage Area. This board is currently applying for 501(c)(3) status, developing a two-year budget, and selecting new board members.

#### *Current Board of Directors*

- ◆ Its 24 members are evenly divided between the two counties in the proposed National Heritage Area, and represent a broad spectrum of local interests.
- ◆ Applying for 501(c)(3) status

- ◆ Developing a 2-year budget
- ◆ Selecting new board members.

A goal of the current, 24-member Board of Directors is to transition to a smaller board with a structure that equitably represents the two counties within the proposed boundaries of the National Heritage Area, as well as a composition which reflects the cultural diversity of the Santa Cruz Valley. The planned structure to achieve this goal is a board with 12 members (11 voting members and a non-voting National Park Service representative). Board members will include a representative of the National Park Service (the Superintendent of Tumacácori National Historical Park, serving in an ex officio role as the local partner of the National Heritage Area), a representative of the State of Arizona (appointed by the Arizona State Parks department), representatives of both counties (appointed by the respective county Boards of Supervisors), and eight at-large members representing some combination of the following interests: municipalities, Native American tribes, tourism/economic development, ranching, agriculture, historic preservation, nature conservation, and culture/arts.

In this structure, the full board will meet at least quarterly, with primary functions to include planning, fundraising, and staff hiring. Officers will be elected annually. Six members of the board will be elected to serve as an Executive Committee that will meet monthly to oversee operations and provide direction to staff (see below). The board will be advised and assisted by a large Partnership Council representing a broad spectrum of local interests (see below).

Pre-designation tasks for the Board of Directors include: (1) continued public outreach; (2) communication with the legislators sponsoring the designation bill; (3) organization of local support for the designation bill; (4) initiation of some programs to demonstrate the potential effectiveness of partnerships developed by the Alliance, and to raise the profile of the proposed National Heritage Area; (5) fundraising to support these activities; and (6) hiring of staff to coordinate these activities, following the necessary fundraising. After designation, the most important board tasks, initially, will be to identify the scope of work and to perform a review role during preparation of the Management Plan.

#### *Structure and Roles of Board of Directors*

- ◆ 12 members (11 voting members)
  - 1 Pima County Board of Supervisors
  - 1 Santa Cruz County Board of Supervisors
  - 1 State of Arizona (State Parks?)
  - 1 National Park Service (non-voting)
  - 8 at-large members representing the following interests:
    - Municipalities
    - Native American tribes
    - Ranching/ Agriculture
    - Tourism/Economic development
    - Historic Preservation
    - Nature Conservation
    - Culture/ Arts
- ◆ Elects a 6-member Executive Committee that meets monthly to oversee operations and provide direction to staff

- ◆ Meets at least quarterly
- ◆ Conducts planning
- ◆ Continues public outreach
- ◆ Communicates with legislators sponsoring designation bill
- ◆ Organizes local support for designation bill
- ◆ Initiates programs
- ◆ Conducts fundraising
- ◆ Identifies scope of work and performs review role for Management Plan
- ◆ Hires staff
- ◆ Receives recommendations from the Partnership Council for funding and other support of projects and programs (see below)

## **Staff**

The staff of the management entity will identify possible funding sources, prepare grant proposals, coordinate fundraising, conduct public outreach, liason with legislators, help build and support partnerships, develop and maintain a website, and develop and implement programs. A goal is to hire the first staff in 2005, to begin some of these activities prior to designation. After designation, the staff will coordinate preparation of the Management Plan.

### *Structure and Roles of Staff*

- ◆ Positions will be funded by a combination of donations from local governments, businesses, and foundations and matching funds from annual Congressional appropriations to the National Heritage Area.
- ◆ The goal is to hire the first staff person in 2005.
- ◆ Obtains certifications for Arizona Office of Tourism TEAM funds and state Heritage Fund grants
- ◆ Writes grant proposals
- ◆ Coordinates public outreach
- ◆ Coordinates fundraising
- ◆ Serves as liason with Congressional legislators
- ◆ Develops content for website
- ◆ Develops programs

### Possible Programs in 2005

- ◆ Santa Cruz Valley Heritage Festival
- ◆ Santa Cruz Valley Birding and Nature Festival
- ◆ Photography contest that leads to a calendar for sale
- ◆ Regional music preservation project that leads to CD for sale
- ◆ Second phase of Kino Fruit Trees Project
- ◆ Coordinates preparation of Management Plan





*Stakeholders in National Heritage Areas include governments, local residents, landowners, tribes, neighborhoods, and nonprofit organizations.*



### **Partnership Council**

To ensure a broad range of local interests are represented in the management of the National Heritage Area, the Board of Directors will be advised and assisted by a 20-30 member Partnership Council that represents a broad range of local interests, including municipalities, Native American tribes, ranching, agriculture, historic preservation, nature conservation, culture/arts, education, parks, outdoor recreation, tourism/economic development, lodging, restaurants, transportation, private landowners, and others. Local units of the National Park Service, the National Forest Service, and the Bureau of Land Management will serve in advisory roles. This council will review and recommend projects and programs for funding and other assistance from the National Heritage Area, and will identify potential partnerships between the National Heritage Area and government agencies, nonprofits, and other local stakeholders to help achieve long-term goals. The council will have committees for identifying long-term funding needs and priorities, planning festivals and events sponsored by the National Heritage Area, and conducting public outreach.

#### *Structure and Roles of Partnership Council*

- ◆ Broadly representative group assembled to advise Alliance Board by January 2005
- ◆ Identifies potential partnerships with the National Heritage Area

- ◆ Reviews and selects projects and programs to be assisted by the National Heritage Area; recommendations are provided to the Board of Directors.
- ◆ Identifies long-term funding needs and priorities
- ◆ Plans festivals and other events sponsored by the National Heritage Area
- ◆ Conducts public outreach

## **RATIONALE FOR MANAGEMENT ENTITY PLAN**

Input from stakeholder meetings and a large number of supporting entities and individuals indicate strong support for the concept of a new local organization that will develop and manage the Santa Cruz Valley National Heritage Area. The unique purpose of this organization is to serve as the local coordinating entity for the National Heritage Area. This mission will require a very focused approach to planning and management over the long term.

While representatives of local governments will be involved, the need for this management entity to be broadly representative of local interests requires that it operate independently. The management entity should be designed to operate outside the influence of the often-changing political environment to be as responsive as possible to the changing needs of local residents and interest groups. Operating as a separate nonprofit, tax-exempt corporation, the management entity can most effectively approach individuals, corporations, foundations, and government funding sources for both operating and programmatic funds. An independent nonprofit will also be able to collaborate effectively with other entities in the region—government agencies, other nonprofits, and private foundations.

The organizational structure of the management entity outlined here—including a medium-sized Board of Directors, a small Executive Committee, staff positions with specified roles, and an inclusive Partnership Council—will allow for efficient planning and operations responsive to the needs and inputs of a broad spectrum of local stakeholders.