

Structure and Achievements of a Program to Assist Formation of Intermediary Organizations on Historic Preservation A Case of the Statewide and Local Partners Program in the U.S.

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Abstract:

The National Trust for Historic Preservation (NTHP), established in 1949, is a leading organization in the United States. In 1994, the NTHP launched a unique program, subsequently known as the Statewide and Local Partnership Program (SLPP), to improve the organizational foundation of newly formed statewide and local organization. The aim of this study is to clarify 1) structure of the SLPP, 2) what the program has achieved. We interviewed four organizations, Historic Hawaii Foundation, Preservation Massachusetts, Preservation Maryland and Baltimore Heritage Inc..

In 1994, there were only 17 staffed statewide organizations. As of 2012, 46 statewide and 81 local organizations participated in the SLPP. The structure of related entities in the SLPP has transformed in three steps from 1994 to 2012. Recently, the NTHP has closed their 6 regional and 3 field offices, and established 12 field offices that focus on specific National Treasures projects. Prior to the reorganization, the NTHP surveyed a number of preservation professionals, including statewide and local partners. In their survey responses, local partners and other preservationists often identified their statewide partners as their primary source for organizational building materials. This transition is thought to have occurred because statewide organizations were able to act independently.

Benefits to organizations participating in the SLPP can be classified into four categories: finance, networking, education, and information. For finance, Partners in the Field Challenge Grants (PFCG) were launched in 1998. The PFCG must be used to employ new field service staff and pay the salaries of existing field service staff. The SLPP partners and eligible organizations are alone funded from PFCG. The majority of partner organizations have budgets between \$100,000 and \$250,000. PFCG recipients succeeded in employing 53 field service staff. Naturally, The four interviewed organizations, mentioned above, have been awarded PFCG and employed field service professionals. For networking, partner organizations have multiple opportunities for networking through partner meeting held twice a year, regional meetings organized by regional offices in even numbered year, and other meetings. They can discuss measures to obtain funds through profit-making enterprises in the partners-only meetings. For education, the NTHP has taught methods for managing profit-making enterprises through the SLPP to promote fund-raising. For information, partner organizations can gather information through the partners-only website.

However, some organizations could not maintain their field service staff after the term of PFCG expired. How to retain full-time staff is a matter for further consideration.

Keywords:

NPOs, Intermediary organizations, Historic Preservation, National Trust

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1. Introduction

The National Trust for Historic Preservation (NTHP), established in 1949, is a leading organization in the United States. In 1994, the NTHP launched a unique program, known as the Statewide Initiative, to improve the organizational foundation of newly formed statewide organizations. The aim of the initiative was to help new and all-volunteer statewide preservation organizations strengthen their capacities and hire full-time professional staff. The program has been very successful, and the staff in statewide organizations has significantly increased. The program has been expanded to include local (e.g., city-wide) preservation organizations and is known as the Statewide and Local Partnership Program (SLPP). However, the program has not been introduced to other countries.

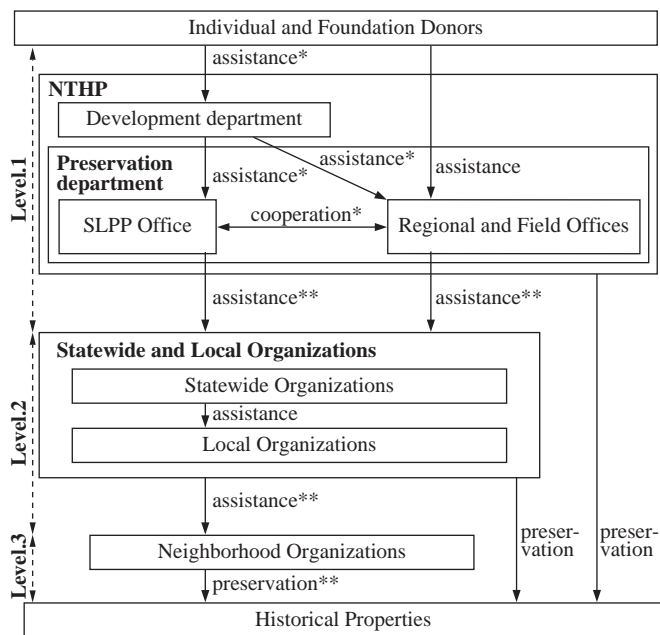
Previous studies have investigated intermediary organizations. However, to the best of our knowledge no studies on systems to assist intermediary organizations have been published. Some studies have investigated the NTHP’s Main Street Program (Umezu and Nishimura, 1999). Okazaki (2002) acknowledged the existence of the SLPP, and Saito et al. (2011) provided basic information about implementation of the program. In the U.S., two books about the history of the NTHP (David, 1965; Elizabeth, 1976) and a booklet about the SLPP (NTHP, 1996) have been published. However, academic papers have not addressed the SLPP.

The aim of this study is to clarify 1) how the SLPP is implemented, 2) what the program has achieved, and to identify 3) the positive aspects factors of the program. Based on a previous study (Saito et al., 2011), this paper clarifies the content of the program in greater detail by analyzing the activities of statewide and local organizations that have participated in the program. We collected information concerning SLPP from related websites and interviewed staff from the NTHP, and from statewide and local organizations that have participated in the SLPP since the beginning of the program. The interviews were conducted in September of 2011 and 2012.

2. Study framework and overview of the SLPP

2-1. Study Framework

There is a hierarchy of preservation organizations in the U.S. Upper level organizations assist lower level organizations. This assistance includes financial and technical assistance. A simplified model of preservation begins with offers of resources and ends in the preservation of historical properties (Fig. 1.). At Level 1, the NTHP collects financial resources from donors and provides assistance to statewide and local organizations. At



Legend: *focus points in Saito (2011) **focus points in this paper

Fig.1. Framework of the study.

Level 2, statewide and local organizations provide assistance to neighborhood organizations that are primarily interested in preserving a specific structure or a single district. Finally, at Level 3, neighborhood organizations successfully preserve historical properties.

This paper focuses on understanding the conditions associated with the items denoted by “**” in Fig.1. The items denoted by “*” have been clarified by Saito et al. (2011).

In this study, three elements are analyzed. 1) How the NTHP builds the management foundation and provides assistance in Level 1. 2) How statewide and local organizations build the management foundation and provide assistance in Level 2. 3) How neighborhood organizations contribute to the preservation of historical properties.

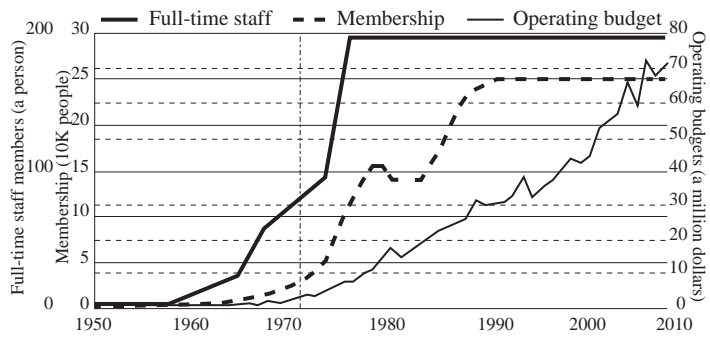


Fig.2. NTHP: Transition of operating budgets, membership and full-time staff members.

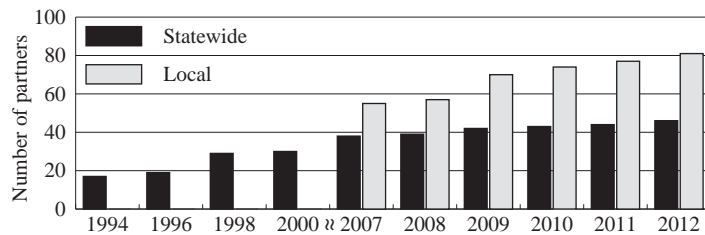


Fig.3. Transition of participants (Source: adapted from 1994-2000 ANNUAL REPORT etc.).

2-2. NTHP development process

From 1947 to 1970, the NTHP was committed to education and outreach activities, such as educational programs for communities and tours of historic sites that the trust has recognized, and promoting the importance of historic preservation.

Beginning with an office in San Francisco, the NTHP began to set up regional offices to deliver fields services in 1971. This led to increased operating budgets, membership and full-time staff members (Fig.2.).

In 1995, the NTHP decided to eliminate reliance on government grants by 1998; at that time, government grants for 20% of the trust’s operating budget. Consequently, the NTHP gained greater flexibility in the allocation of resources and was able to extend their operations.

2-3. Overview of the SLPP

In 1994, there were only 17 staffed statewide organizations. The SLPP has been successful and the number of staffed statewide organizations has increased significantly. Beginning in 2000, the program expanded to include local organizations. As of 2012, 46 statewide and 81 local organizations participated in the SLPP (Fig.3.). However, some statewide organizations have withdrawn from the program because of loss of full-time staff and lack of money to pay partnership dues. For information about the number of staff, operation budget of SLPP offices, and dues charged to participate in the SLPP (Saito et al., 2011).

2-4. SLPP regional and field office roles

The SLPP office works with all departments of the NTHP committed to supporting the partners network. Cooperation with regional and field offices had been the firmest and they provided on-the-ground resources for technical assistance and capacity building for statewide and local partners. Regional offices covered wide areas, whereas field offices were responsible for activities in smaller areas.

Recently, the structure of related entities in the SLPP has transformed (Fig.4). The NTHP had 6 regional and 3 field offices (Umezumi and Nishimura, 1999), but since 2011, the trust has transitioned from a regional office model to a field office model because 70% of their programs are focused on specific National Treasure projects (Okazaki, 2002). Today, the NTHP has 12 field offices.

Prior to the reorganization, the NTHP surveyed a number of preservation professionals, including statewide and local partners. In their survey responses, local partners and other preservationists often identified their statewide partners as their primary source for organizational building materials. The transition is thought to have occurred because statewide organizations were able to act independently. However, they continued to rely on the NTHP for advocacy, guidance, and new research.

3. Assistance provided by the SLPP

3-1. Four categories of assistance

Benefits to organizations participating in the SLPP can be classified into four categories: finance, networking, education, and information. Model examples are presented below and describe the components of each category. Further information can be found in Saito et al. (2011).

Partners in the Field Challenge Grants (PFCG) were launched in 1998. Twenty-two organizations were awarded over \$2 million in 2009, and many service personnel were employed. Regional and field offices offer financial assistance through small grants to support initial development of local organizations.

Partner organizations have multiple opportunities for networking through partner meeting held twice a year, regional meetings organized by regional offices in even numbered year, and other meetings.

In addition, the SLPP offers many educational programs, and regional and field offices offer technical assistance through consultants and field visits.

Partner organizations can gather information through the partners-only website.

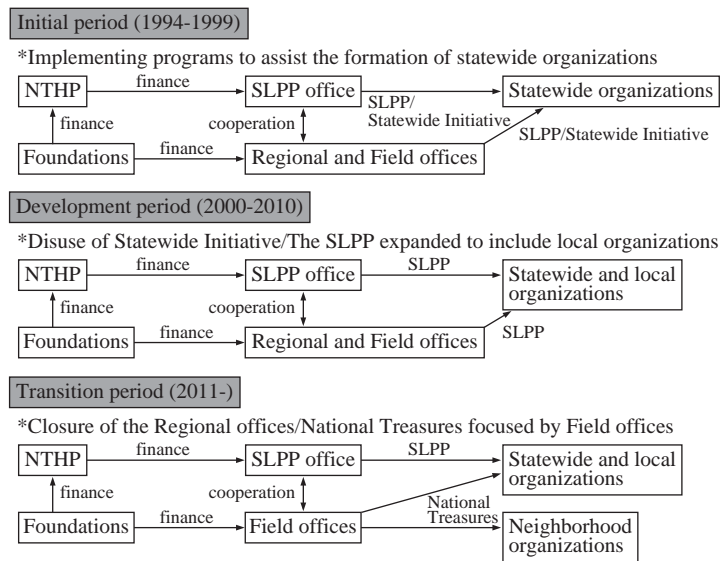


Fig.4. Transition of parties concerned in the SLPP.

3-2. Partner organizations achievements

In 2010, most partner organizations had an average of 4–6 full-time statewide staff members and 1–2 local full-time staff members. Moreover, there are some large-scale local organizations with over 50 staff members (Fig.5.).

As of 2011, the majority of partner organizations had budgets between \$100,000 and \$250,000. Over 15% had budgets over \$1 million (Fig.6.).

Over 65% of statewide organizations have staff members devoted to field services, while approximately 30% of local organizations reported having a staff member dedicated to field services (Fig.7.).

4. SLPP support

4-1. Effective employment support

According to Saito et al. (2011), the PFCG outlined above must be used to employ new field service staff and pay the salaries of existing field service staff. As a result, field service staff seems to play a direct role in activities. In addition, restricting how grant monies can be used makes it easier to receive funds from donors.

4-2. Fundraising events

In Japan, most prefecture-wide and local organizations have depended on government grants. In contrast, many statewide and local organizations take advantage of profit-making enterprises to raise funds in the U.S. (Fig.8.). In fact, government grants have been reduced since 1980. Moreover, many organizations compete for donations. Therefore, skills associated with the management of profit-making enterprises as a source of new operating revenue have emerged as a requirement.

Statewide and local organizations can discuss measures to obtain funds through profit-

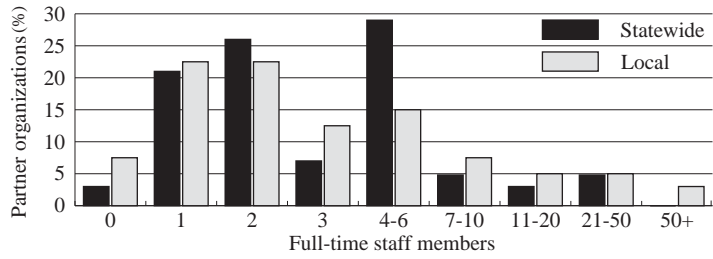


Fig.5. Full-time staff members (Source: adapted from 8)).

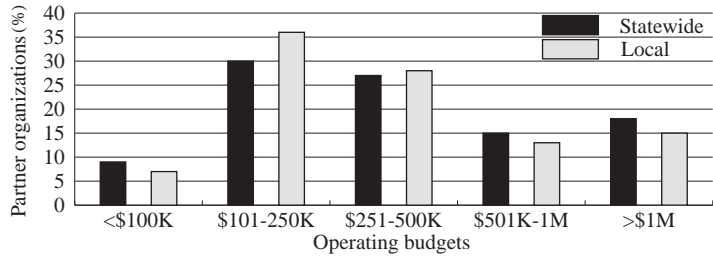


Fig.6. Operating budgets (Source: adapted from 8)).

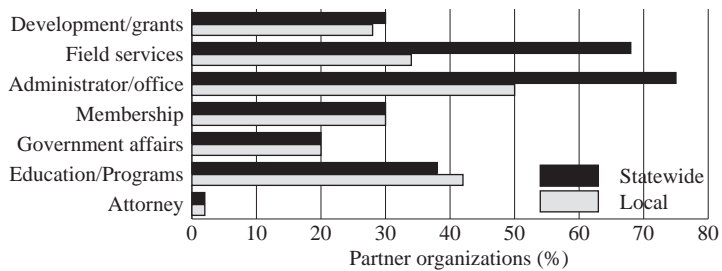


Fig.7. Staff-position types (Source: adapted from 8)).

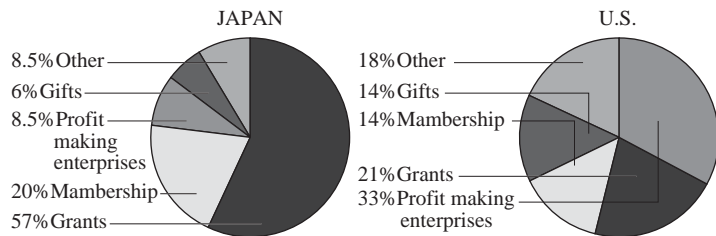


Fig.8. Difference of operating revenue sources between Japan and the U.S. (Source: adapted from 8) and 9)).

Table.1. Overview of partner organizations (U.S. dollars).

	Historic Hawaii Foundation	Preservation Massachusetts	Preservation Maryland	Baltimore Heritage Inc
Range of work	Statewide	Statewide	Statewide	Local
Date of incorporation	1974	1985	1931	1960
Date of participation in the SLPP	1994	1994	1994	2001
Full-time staff	4	3	4	2
Main operating revenue sources	Awards	Membership	Gifts, Grants and Investment	Tours, Gifts and Membership
Total income	547,054	270,749	685,017	144,800
Membership	70,709	114,196	32,200	25,000
Grants	0	55,068	306,278	60,500
Gifts	108,596	contained in grants	contained in grants	25,000
Profit-making enterprises	220,304	101,485	64,210	31,750
Other	147,445	0	282,329	2,550

Table.2. Profit-making enterprises of partner organizations.

	Historic Hawaii Foundation	Preservation Massachusetts	Preservation Maryland	Baltimore Heritage Inc
Main profit-making enterprises outline	Awards	Conferences and Awards	Conferences	Tours
	*Holding KAMA'ĀINA OF THE YEAR every year *Prices for tickets: \$500 (membership)/\$350 (Individual) *Four sponsor table levels: from \$3,500 to \$15,000	*Holding Annual Meeting, Preservation Awards Dinner and Believe in Preservation Event every year *Corporate membership benefits including event tickets etc *Six corporate membership levels: from \$500 to \$25,000	*Holding Preservation & Revitalization Conference every year *Registration rates: \$175 (Membership)/\$210 (Individual) *Pre-registration or student Discount	*Holding about 35 tours such as Behind the Scenes Tours every year *Fees: from \$10 to \$35 (Individual) *Second order effects such as rising the membership, donations and grants

Table.3. Achievements of field service staff (U.S. dollar).

	Historic Hawaii Foundation	Preservation Massachusetts	Preservation Maryland	Baltimore Heritage Inc
Grants of the PFCG	150,000	127,500	120,000	80,000
Employment	Full-time: 1 (Present: 0)	Part-time: 3 (Present: 1)	Full-time: 1 (Present: 1)	Full-time: 1 (Present: 1)
Main achievements	*Establishment of the Preservation Resource Center *Providing technical assistance, information services, preservation initiatives etc *Contribution to preservation of nine Most Endangered Historic Sites	*Implementing Circuit Rider Program *Providing technical assistance such as the tax credit program	*Establishment of the Field office *Providing technical and financial assistance *Implementing advocacy *Creating National Register nomination and reutilization of historic buildings	*Providing technical assistance *Management of events *Creating one Historic District nomination and working on three additional historic district nominations

making enterprises in the partners-only meetings. In our investigation, we interviewed four organizations, the Historic Hawaii Foundation, Preservation Massachusetts, Preservation Maryland, and Baltimore Heritage Inc. from among the 127 partner organizations (Table 1.). These organizations were selected because they are participating in the SLPP at a relatively early stage. The majority of profit-making enterprises are events such as preservation awards, conferences, and tours. The four interviewed organizations have raised funds with such events (Table 2.).

The tours organized by Baltimore Heritage Inc. are particularly notable. The tours are primarily organized by an executive director and a field service staff member. They realize that the tours have directly contributed to funding and have also increased membership, donations, and grants.

4-3. Influence on preservation activities

The four organizations mentioned above have been awarded PFCG and employed field service professionals (Table 3.). The technical assistance these professionals provided to neighborhood organizations was instrumental in achieving nominations to the National Registry of Historical Places as well as in restoration of historic buildings. Thus, field service professionals can contribute to preservation of local historic buildings and sites. Moreover, the SLPP office realizes that hiring a field service professional allows organizations, which have only one or two staff members, to increase their capacity and overall effectiveness significantly.

Some organizations, however, could not maintain their field service staff after the term of PFCG expired. How to retain full-time staff is a matter for further consideration.

5. Conclusion

(1) Implementation: The structure of related entities in the SLPP has transformed in three steps from 1994 to 2012. Recently, the NTHP has closed their 6 regional and 3 field offices, and established 12 field offices that focus on specific National Treasures projects. This transition is thought to have occurred because statewide organizations were able to act independently.

(2) Achievement: As mentioned by Saito et al. (2011), the number of partner organizations is continuously increasing. Most SLPP partner organizations have an average of 4–6 full-time staff members in statewide organizations, and 1–2 such members in local organizations. Over 65% of statewide organizations have staff members devoted to field service. The majority of partner organizations have budgets between \$100,000 and \$250,000. PFCG recipients succeeded in employing 53 field service staff; however, some partner organizations could not maintain their staff beyond PFCG funding.

(3) Positive Aspects Factors: For the NTHP, establishment of regional offices contributes to increased operating budgets, membership, and full-time staff. In addition, activities of field service staff, employed by PFCG within statewide and local organizations, contributed to preservation of regional and local historic sites.

The NTHP has taught methods for managing profit-making enterprises through the SLPP to promote fund-raising. Moreover, these events results in second order effects, such as increased membership, donations, and grants.

(4) Suggestion: There are some possible applications of the SLPP to preservation in Japan. Considering that there are only some prefecture-wide and local organizations in Japan, implementation of a model program to assist management of these organizations should be considered, along with assistance to establish new prefecture-wide and local organizations. Based on experience in the U.S., employment of at least one full-time staff in these organizations seems to be the first step. Until strong prefecture-wide or local organizations are established, it seems that national organizations must assist regional organizations, including neighborhood organizations. The Japanese Association for MACHI-NAMI Conservation and Regeneration has started to provide a similar type of assistance within regional blocks that are wider than a prefecture. Development of this new challenge and support of the national government is expected.

Acknowledgements

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Notes

(1) We interviewed the following: Ms. Susan West Montgomery (Associate Director, Statewide and Local Partnerships), Mr. Brian Roberts Turner (Senior Field Officer and Attorney, San Francisco Field Office), Ms. Rebecca Harris (Field Officer, Boston Field Office), Mr. Tyler Gearhart (Executive Director, Preservation Maryland), Mr. Johns Hopkins (Executive Director, Baltimore Heritage Inc.), Ms. Kiersten Faulkner (Executive Director, Historic Hawaii Foundation), Mr. James W. Igoe (President, Preservation

Massachusetts), and Ms. Erin D.A. Kelly (Assistant Director, Preservation Massachusetts).

(2) There had been regional offices in Boston (MA), Charleston (SC), Chicago (IL), Denver (CO), Fort Worth (TX), and San Francisco (CA). Field offices had been located in Philadelphia (PA), Washington D.C., and Lake Mills (WI).

(3) National Treasures is a program to support local organizations and preservation professionals for promotion of historic preservation. Offerings by the NTHP differ from one National Treasure to another. For example, the NTHP serves as the primary convener of various stakeholders, helps fund and identifies funding for strategic plans, advocates for and works on nominations for the expansion of protective boundaries, such as the National Registry.

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