HISTORIC PRESERVATION AND HERITAGE TOURISM IN TEXAS:

AN INTEGRATED APPROACH TO SUSTAINABLE HERITAGE MANAGEMENT

A Dissertation

by

RAMA IBRAHIM AL RABADY

Submitted to the Office of Graduate Studies of
Texas A&M University
in partial fulfillment of the requirements for the degree of

DOCTOR OF PHILOSOPHY

December 2006

Major Subject: Architecture

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ABSTRACT

Historic Preservation and Heritage Tourism in Texas:

An Integrated Approach to Sustainable Heritage Management. (December 2006)

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This study assesses the efforts of the State Historic Preservation Office in relating Historic Preservation (HP) with Heritage Tourism (HT) against principles of sustainability. It also seeks to contribute toward an integrated heritage management framework at the State Historic Preservation level that is based on theoretical principles and empirical study. The focus is on the heritage management practices as performed by the Texas Historical Commission (THC). This case offers good understanding about the relationship between two major interests involved in heritage management: HP and HT. It is used to conduct a constructive evaluation of the HP-HT relationship in terms of its 'existence' and 'effectiveness' guided by sustainability and good governance principles.

The study uses qualitative research based on a constructivist paradigm. Data are gathered using three research methods: documents, in-depth interviews, and participant observation. Documents were collected about the THC's heritage management programs, including: the Texas Heritage Trails Program and the Visionaries in Preservation program. Ten in-depth interviews were conducted with state and regional stakeholders involved in activities related to these programs. Observation was made for the visionary process in Nacogdoches,

Texas. Coding and categorizing for the interviews and documentary evidences were used as the fundamental analytic process. Coding included open coding, selective coding for core categories, and development of patterns and themes. This process assisted in identifying categories, properties, themes and the relationships between them that eventually helped in building a cohesive understanding of the HP-HT relationship as performed by the THC.

The research found that heritage management efforts of the THC are not consistent with sustainability and good governance principles. Effectiveness of these efforts is affected by factors of heritage management approaches, partnership building, capacity building attempts, strategic processes, authority devolution, and accountability relations. A new framework for integrated heritage management has been developed from this study to assist the state government in achieving not only good management but good governance, since it will guide the organizations to more closely align with the social and cultural realities of their communities and develop meaningful and responsive heritage management policies and strategies.

DEDICATION

To my beloved husband Fawaz,
To my hope in life, Dalia, Katia and Ibrahim to come,

To the memory of my father,
To my mother and mother in law,
To my brothers and sisters,

To all of you I dedicate this dissertation.

ACKNOWLEDGEMENTS

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CHAPTER I

INTRODUCTION

1.1. Sustainability and Heritage Management: The Challenge

The concept of "sustainable development" was introduced widely into business and economics through the Brundtland Commission's report to the World Commission on Environment and Development (WCED, 1987). This report entitled "Our Common Future" identified sustainable development as an approach enabling economic development while ensuring environment conservation. It defined sustainable development as a "development that meets the needs of the present without compromising the ability of future generations to meet their own needs" (WCED, 1987). The intent of sustainability is to control the adverse impact of human actions on the local and global environment. In other words, it encourages a balance between the benefits and costs of development while considering a long-term perspective. However, achieving sustainability requires a holistic approach that encompasses environmental sustainability (maintenance of natural and built environments), socio-cultural sustainability (addressing quality of life, equitable distribution of costs and benefits, etc.), and economic sustainability (economic development which considers the needs of current and future generations, i.e., intra- and inter-generational equity).

In many historical settings, tourism is a vital component in achieving economic development. Attempts to control the impact of mass tourism, and hence achieve sustainable development in heritage settings, fostered the emergence of the integrated heritage management

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This dissertation follows the style of *Journal of Sustainable Tourism.*

phenomenon in the early 1990s (Inskeep, 1991; Hall & McArthur, 1993; Hall & McArthur, 1998; Orbasli, 2000; McKercher & Du Cros, 2002). Such integration recognizes a need to balance heritage conservation and heritage tourism development. Sustainability is often approached by the tourism industry primarily through marketing planning and visitor management in which actions are driven by organizational interests focused on economic and profit motives (Fyall & Garrod, 2005). On the other hand, heritage preservation is concerned primarily with the conservation of built heritage resources. This leaves tourism planning and heritage management operating in a highly fragmented domain, which exacerbates the need for sustainability-oriented planning.

In the heritage management area, the main focus of this research, there are other challenges in addition to the fragmented planning domain. There is little discussion between heritage tourism planners and practitioners relating to historic preservation practices for conserving the historical assets themselves (Carter *et al*., 2001). Multiple stakeholders with widely varied interests and values exert different levels of control over the decision making process for heritage management (Jamal & Getz, 1995). The sustainable development of historic and heritage resources lacks a clear direction. Efforts to engage in sustainable tourism planning (Hall, 2000) are criticized as being rhetorical, managerialistic, and unable to address sustainability needs and priorities effectively (Sharpley, 2000; Mowforth & Ian, 2003). Effective mechanisms and approaches are needed to address value-based conflicts between historic preservation and heritage tourism interests and to develop heritage management tools that can guide activities between sectors and operational levels. These issues lie at the heart of sustainability discourse (Carter *et al*., 2001).

1.2. Purpose of the Study

The main aim of this study is to assess the efforts of the State Historic Preservation Office in relating Historic Preservation (HP) with Heritage Tourism (HT). Also it seeks to contribute toward an integrated heritage management framework at the State Historic Preservation Agency level that is based on theoretical principles and empirical studies. While many studies have developed theories and methods for combining tourism with sustainability since the 1990s, no attempts have been successful from a 'historic preservation' perspective. One such study, titled "Managing Change: Sustainable Approaches to the Conservation of the Built Environment" (Teutonico & Matero, 2003), appeared in the 4th Annual US/ICOMOS International Symposium held in Pennsylvania (2001). The symposium explored the issue of sustainability through conservation. Participants adapted the notion of sustainability to the built environment. For historical resources, sustainability means "ensuring the continuing contributions of heritage to the present through thoughtful management and change responsive to the historic environment and to the social and cultural processes that created it" (Teutonico & Matero, 2003). Although this provides an instrumental step in guiding historic preservation to the sustainability domain, the study falls short on two counts. First, these initiatives are not translated into practice because historic preservation in the US is still affected by the approaches and mechanisms delineated by the National Park Service for managing historic preservation. Such approaches are mostly focused on the documentation, evaluation and designation of historical properties on the National Register of Historical Places. Second, there is little discussion on specific methods to achieve sustainable heritage management by interrelating the two main sectors involved, historic preservation and heritage tourism.

Although heritage management[1] faces challenges in the US, it is a good place to examine the relationship between historic preservation and heritage tourism, because there is an institutional environment for historic preservation which operates on the federal, state and local levels to protect vital historic and heritage sites. These historic preservation efforts should consider the current needs of utilizing heritage for contemporary purposes, including using tourism as a tool for economic benefit and inter-cultural understanding. In other words, the historic preservation agencies should seek a comprehensive and integrative approach that incorporates conservation and development aspects of heritage management. The importance of such integration is emphasized by Executive Order 13278 (Preserve America) which was issued by President Bush in 2003. The Executive Order calls for cooperation between programs to use and reuse historic properties for economic purposes, specifically heritage tourism (Advisory Council on Historic Preservation *et al.,* 2003). Since these programs usually operate at different levels of government (state, regional and local), there is a need to develop an integrative framework for heritage management that would help government agencies involved with historic preservation to achieve sustainability effectively. This framework would need to consider lateral as well as vertical integration between the sectors and levels. Little has been done so far to effectively achieve this integration using a sustainable heritage planning and management approach.

In some states, some governmental preservation bodies have implemented initiatives to incorporate heritage tourism programs in historic preservation agendas (for example the Texas

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[1] In this study *heritage management* incorporates historic preservation and heritage tourism development.

Historical Commission[2]). These agency-initiated programs bring the two sectors (heritage

tourism and historic preservation) together and coordinate at the different levels (local, regional

and state). However, such initiatives are centered on economics, which makes it difficult to

achieve sustainable development in historical settings. It is a 'modernization' rationale that

emphasizes a tourism-centered and economic growth perspective (Sharpley, 2000; Telfer, 2002).

Hunter (1997) claims that such a perspective will not enable sustainability because real

sustainable-based development requires balancing costs and benefits of tourism. Hall (2000)

argued that:

> The sustainable approach embraces a need for broadly based
> consideration of negative impacts, including those on an
> ecological and socio-cultural nature. It is not enough that
> political systems continue to regard improved economic
> performance as an automatically ultimate goal of tourism.

In order to emphasize the sustainability paradigm in reconciling costs and benefits of

development efforts (including tourism), government efforts in heritage management need to

develop a more holistic frameworks for sustainable development and the protection of heritage

resources (WCED, 1987). This is a crucial endeavor towards which research must be directed.

Currently, research in the sustainable tourism and historic preservation domain is lacking. The

contribution made by this study will help to fill in some of this gap.

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[2] The Texas Historic Commission (THC) is officially mandated to administer tourism and historic
preservation under the same policy umbrella. In describing the duties for the Department of Economic
Development relating to tourism, the 1999 State Historic Preservation Legislation for heritage tourism (§
481.172): *Directs the Department of Economic Development, among other duties related to tourism, to:
(3) encourage travel by Texans to the state's scenic, historical, natural, agricultural, educational,
recreational, and other attractions; and (8) cooperate fully with the Parks and Wildlife Department, the
Texas Department of Transportation, the Texas Historical Commission, and the Texas Commission on the
Arts in all matters relating to promotion of tourism* (NCSL, 1999).

1.3. Research Goal and Research Questions

My study examines heritage management through the relationship between Historic Preservation (HP) and Heritage Tourism (HT). This study is an effective evaluation for existing strategies, policies, programs and activities for heritage management as performed by the Texas Historic Commission (THC). Two initiatives of the Texas Historical Commission serve the evaluative needs of this study: the Texas Heritage Trails Program (THTP) and the Visionaries in Preservation Program (VIP). I am conducting an evaluative study for these two programs that is based on responsive and constructivist approaches. In this evaluation, I am less concerned with the objectives of the evaluation but rather with its effects in relation to the interests of relevant publics. Guba and Lincoln (1981) pointed to the importance of values as fundamental bases for evaluative judgments because evaluation studies cannot be performed in a contextual vacuum. So, I focus on the heritage management programs in terms of their activities, and the considerations of the different value perspectives of the several stakeholders involved with the decision-making process for heritage management.

The rational for adopting an evaluative approach in the study is to assist in evaluating heritage tourism efforts. The State Historic Preservation Office in Texas (Texas Historic Commission) plays a crucial role in managing and administering Texas heritage. Its policies, strategies, regulations and institutional structure link historic preservation (HP) with heritage tourism development (HT) agendas. However, to achieve effective management for historical settings, this relationship should be based on sustainability principles that consider adverse impacts of development on human life. In other words, the THC heritage management efforts should be able to integrate the diverse concepts of environmental sustainability, economic sustainability and socio-cultural sustainability.

The evaluation process evolves in three steps. The first step is to explore the nature of the Historic Preservation-Heritage Tourism (HP-HT) relationship, evaluate it relative to sustainability principles and then make the transformation. Accordingly, the HP-HT relationship will be examined on two dimensions: *Existence* of such relationship and *Effectiveness* in achieving sustainability. Table 1.1 shows a framework for the study, illustrates the objectives and addresses questions for analyzing the HP-HT relationship at the state level.

Table 1.1 Framework for the study of the HP-HT relationship at the THC

	Existence	**Effectiveness**	
Position	Describe	Evaluate & critique (Dialectic)	Transform
Objective	To understand the relationship between HP and HT in the THC.	To identify whether/ how the THC apply sustainability principles to plans and programs.	To develop an integrated heritage management framework to guide state agencies in historic preservation.
Addressed Question	WHAT is the nature of the HP-HT relationship at the state level?	HOW well does the relationship enable the sustainable development and management of historical settings?	WHAT are the key criteria for developing an integrated framework for historic preservation and heritage tourism at the state level?

At the early stages of the study, tackling these questions was made with reference to an evaluative framework that has been developed for 'sustainability' and 'good governance' principles (see Chapter II). However, as the study progressed, new concepts and perspectives emerged to reflect the complexity of the phenomenon under investigation. For example, the issue of 'decentralization' became a major aspect in the study because integration was found to be

important not only horizontally among sectors (i.e., historic preservation and heritage tourism) but also vertically among the different operational levels (i.e., the state, regional and local). Accordingly, the nature of the study required that I stay open and adaptable to new concepts and occurrences in order to be able to achieve the research objectives.

1.4. Organization of the Dissertation

The guiding outline for organizing the dissertation is composed of three main components: first, understanding the nature of the HP-HT relationship as approached by the THC; second, evaluating this relationship based on sustainability principles; and, third, identifying the key criteria that should be considered in an integrated heritage management. The present chapter provides a general introduction about sustainability and heritage management and states the purpose and objectives of the study. Chapter II is a literature review that summarizes research on sustainability and good governance principles. The methodology used is presented in Chapter III. Chapter IV is a presentation of the analysis based on data collected from three main sources: documents, in-depth interviews and observation. Chapter V reviews the results of the study beginning by describing the nature of the HP-HT relationship as approached by the THC, progressing to assess its level of effectiveness while operating through a decentralized institutional structure, and closes by identifying key criteria for an integrated heritage management framework. The concluding Chapter (Chapter VI) identifies policy implications of the identified framework and offering suggestions for future research. Appendix A includes a power point presentation that provides an executive summary of the study.

CHAPTER II

LITERATURE REVIEW

2.1. Introduction

This chapter provides a literature review that examines the general concept of integrated heritage management through three main headings: integrated heritage management from a sustainability perspective; the interdependent relationship between historic preservation and heritage tourism; and the interdependent relationship among the three government levels involved in heritage management, beginning with the state level, then the regional level and finally at the local level. The chapter concludes with a summary that includes a literature-based theoretical framework. The framework is used in an iterative manner to evaluate how the THC is progressing toward integrating heritage management.

2.2. Sustainable Development Principles

The concept of sustainable development was developed in the 1960s and 1970s to mitigate the impact of industrialization on the environment and society (Murphy 1985, Southgate and Sharpley 2002). The concept was formalized in 1987 with the publishing of 'Our Common Future,' also known as the Brundtland Report, by the World Commission on the Environment and Development (WCED). Sustainable development was defined in this report as 'development that meets the needs of the present without compromising the ability of future generations to meet their own needs' (WCED, 1987: 43).

Following the Brundtland Report, world leaders at the 1992 United Nations Conference on Environment and Sustainable Development in the Rio de Janeiro endorsed this concept and developed *Agenda 21*, a strategy to implement sustainable development. The Rio Declaration is

a statement of 27 principles forming a sustainable development approach to environmental, social, and economic issues (UN, 1992). These principles are considered fundamental to a policy and planning process links that: mobilizes political, business and popular support; involves diverse sectors in the strategy formulation and implementation; and makes to other policy areas.

In 1997, The United Nation Environmental Program (UNEP) considered tourism's role in relation to sustainable development. Based on the Rio Declaration on Environment and Development, UNEP worked with the World Tourism Organization (WTO) and others to develop *Agenda 21 for the Travel & Tourism Industry*. The document contains sustainability principles designed to orient government efforts when developing policies, strategies, planning and management programs at the national, regional and local levels towards the sustainability domain (WTTC, 2002). The principles are derived from *Local Agenda 21,* a comprehensive plan to assist countries in implementing sustainable development at the local level (UNEP, 2003). All these principles revolve around three main criteria for sustainability which, according to the World Tourism Organization (McIntyre *et al.*, 1993) are:

- **Socio-cultural sustainability,** to ensure that development increases people's control over their lives, is compatible with the culture and values of people affected by it, and maintains and strengthens community identity,

- **Environmental sustainability,** to ensure that development is compatible with the maintenance and preservation of the environment (this encompasses both the natural and built environment), and

- **Economic sustainability,** to ensure that development is economically efficient and that resources are managed so that they can support future generation.

Any agendas seeking sustainability should accept these principles and operationalize them in the planning process. The following two sections show how these principles were

applied in heritage management, both horizontally (among the historic preservation and heritage tourism entities) and vertically (among the levels).

2.3. Integrated Heritage Management: The Interdependence between HP and HT

The concept of heritage management entails a convergence of two main agendas: historic preservation and heritage tourism. Although the relationship between these two entities is well documented (Ashworth, 2000; Garrod & Fyall, 2000), it is argued that one of the challenges facing sustainability of the historic built environment is to integrate historic preservation with tourism development (Nyryanti, 1996, as cited in Aas *et al*., 2005; Orbasli, 2000; McKercher & Du Cros, 2002; Nasser, 2003). These two forces have different approaches for managing the built environment and for enabling its sustainability. The following section describes how each tends to operate and approach sustainability from a different perspective.

2.3.1 Historic preservation and sustainability in the USA

In the 19th century, the French architect Viollet Le Duc argued for restoration processes to protect and maintain valuable historical and architectural properties. He defined restoration as the "effort to establish a complete state which may never have existed at any particular time." He called for replacing and enhancing the original fabric to create a unity of style. In contrast to Le Duc, John Ruskin considered restoration as "the most total destruction which a building can suffer." He thus called for a 'let-it-alone' school of thought (Murtagh, 1988). Despite the difference between Le Duc and Ruskin' approaches, both schools of thoughts affected the preservation practices and approaches in different places, including the US. Their influence appeared through three main aspects:

- Determining the kind of historic properties to be preserved. Properties identified for preservation are physical (tangible) properties.

- Determining the value of the historical properties to be preserved. Properties are evaluated for their historical and architectural significance.

- Determining the kind of curatorial treatment to be undertaken on a property to maintain its historical and architectural integrity. Inspired by the 'scrape-anti scrape' philosophies, treatments for historical properties are based on the degree of change that can be imposed on the physical features without affecting its historical integrity. These include preservation[3], rehabilitation[4], restoration[5], and reconstruction[6].

This approach shaped the philosophy for heritage management and historic preservation practices in the US. The steps in the planning process are identification, evaluation, and curatorial management (Tyler, 2000). The characteristics of this approach are defined in *With Heritage so Rich* (1965) and are suggested in several critical pieces of legislation: the 1906 Antiquities Act, the 1935 Historic Sites Act, the 1966 National Historic Preservation Act (NHPA) and the 1969 National Environmental Policy Act (NEPA). These pieces of legislation form the basic thrust for current historic preservation practices in the US. The NHPA fostered

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[3] Preservation is defined as the act or process of applying measures necessary to sustain the existing form, integrity, and materials of historic property. This work, which includes preliminary measures to protect and stabilize the property, generally focuses on the ongoing maintenance and repair of historic materials and features rather than extensive replacement and new construction. New exterior additions are not within the scope of this treatment; however, limited, sensitive upgrading of mechanical, electrical, and plumbing systems and other code-required work to make properties functional is appropriate as part of a preservation project (NPS, accessed 07.09.06).
[4] Rehabilitation is defined as the act or process of making possible a compatible use for a property through repair, alterations, and additions while preserving those portions or features which convey its historical, cultural, or architectural value (NPS, accessed 07.09.06).
[5] Restoration is defined as the act or process of accurately depicting the form, features, and character of a property as it appeared at a particular period of time by means of the removal of features from other periods in its history and reconstruction of missing features from the restoration period. The limited and sensitive upgrading of mechanical, electrical, and plumbing systems and other code-required work to make properties functional is appropriate within a restoration project (NPS, accessed 07.09.06).
[6] Reconstruction is defined as the act or process of depicting, by means of new construction, the form, features, and detailing of a non-surviving site, landscape, building, structure, or object for the purpose of replicating its appearance at a specific period of time and in its historic location (NPS, accessed 07.09.06).

the creation of the National Register of Historic Places (a program in the National Park Service) responsible for identifying historic and archeological resources in the US. Historic properties that can be included in the National Register include districts, sites, buildings, structures, and objects. While earlier philosophy focused on individual historical properties, *With Heritage So Rich* expanded this scope to include areas and whole historic districts. The NEPA requires an Environmental Impact Statement (EIA) to assess potential impacts of development on historical properties and makes suggestions for mitigations if needed (King, 1998).

In 1960s, the historic preservation movement in the US focused on the tangible and physical reality of natural places and physical landmarks, and managed them through a linear process of identification, evaluation and curatorial management. However, in response to the critique that historic preservation was not able to contribute to the wider context of sustainability, historic preservation sought to adopt a new paradigm that connected preservation with economic development. Several states conducted studies on the economic impacts of historic preservation (Advisory Council on Historic Preservation, accessed 05.30.06). In addition, the National Trust connected historic preservation with Smart Growth (Rypkema, 2006), which is a term for a set of tools and techniques that communities can use to control wasteful, out-of-control development known as sprawl. Smart Growth is a broad movement adopted by environmentalists and public officials across the country who wants development to be undertaken in a planned fashion that protects the things valued by society, such as historic buildings and landscapes, open space, environmental quality and local character. Donovan Rypkema presented the idea of Smart Growth at the National Audubon Society of New York's 1999 Conference and suggested twenty reasons to justify that historic preservation is smart growth. He asserted that historic preservation is one form of economic and community development (Rypkema, 2003). In 2005, he discussed "Economics, Sustainability, and Historic

Preservation" at the National Trust Annual Conference and connected historic preservation with

heritage tourism as a means to achieve economic development and thus sustainable development

(Rypkema, 2005).

Although connecting historic preservation to economic development is a significant shift

in the history of the US historic preservation movement, it does not address the role that historic

preservation can play in achieving social and cultural equity—a major aspect of the sustainable

development paradigm (Pannekoek, 1997; Avrami *et al*., 2000). It is argued that the approach to

historic preservation needs to be updated from both the 1965 physical version and the 2003

economic version; instead, a new perspective place historic preservation in historical contexts

and processes that have political, social and cultural dimensions (Avrami *et al*., 2000; Stipe,

2003).

2.3.2 Tourism and sustainability

While in the past historic preservation approached sustainability mainly through its

physical environmental, and more recently through an economic dimension, tourism developed a

different perspective on sustainability. From the 1950s to the early 1980s, there were two

concepts, economic rational of tourism and impacts of tourism (Buck 1978). However, the

perception that tourism has the ability to affect communities and their environments, both

positively and negatively, led to different directions for conceptualizing tourism. Following the

Brundtland Commission's report (WCED, 1997), tourism has striven to maximize benefits while

minimizing the overall costs. In particular, sustainable tourism development has attempted to

address the impact mass tourism has on the tourists' destinations. This has guided the

development of sustainable tourism approaches for urban, rural, natural and built heritage

environments. The World Tourism Organization defined sustainable tourism as "tourism which

leads to the management of all resources in such a way that economic, social, and aesthetic needs can be filled while maintaining cultural integrity, essential ecological processes, biological diversity and life support systems" (McIntyre *et al.*, 1993).

Tourism development has evolved from an economic basis to a concept that incorporates the environmental and socio-cultural aspects of sustainability. The 1980s tourism planning approaches argued that tourism planning and policies must include the social, economic, and physical values of every place (Murphy, 1985; Getz, 1986). In his book *Tourism: A Community Approach* Murphy argued that:

> if tourism is to become [a] successful and self-perpetuating industry…it needs to be planned and managed as a renewable resource industry, based on local capacities and community decision-making. To achieve these objectives will require a more balanced approach to planning and management than has existed in the past. More emphasis is needed on the interrelated nature of tourism development, in terms of its components parts (physical, economic, and social considerations (Murphy, 1985: 153).

And Getz stated that:

> Planning is a process, based on research and evaluation, which seeks to optimize the potential contribution of tourism to human welfare and environmental quality (Getz, 1987: 3).

Since then, tourism has striven to adhere to the three bottom lines of sustainability: economic viability, environmental bearability, and socio-cultural equity. Many tourism professionals and planners have begun to incorporate these concepts in developing their tourism planning models. Along with these models, multiple goals and principles were developed for sustainable tourism. Mostly, these principles were derived by taking into consideration enhancing the wellbeing of the communities, preserving their valuable resources, equitably distributing costs and benefits, and meeting the demands of the visitors (McIntyre *et al.*, 1993;

Jamieson, 1997; Garrod & Fyall, 1998; Jamal & Tanase, 2005). These principles serve as guidelines for sustainable tourism development approach and can be summarized as follow:

- Sustainable tourism should ensure that cultural, historical, and natural resources are maintained for the enjoyment of current and future generations (Fyall & Garrod, 1997; Jamieson, 1997; WTO, 1998).

- Sustainable tourism should enable intergenerational equity through equitable distribution of benefits and costs of the social, economic, ecological and cultural aspects (Jamieson, 1997; WTO, 1998; Jamal & Tanase, 2005).

- Sustainable tourism should allow communities to benefit from tourism development through enabling equitable access to the cultural resources, and providing quality employment (Jamieson, 1997; Jamal & Tanase 2005).

- Sustainable tourism should maintain diversity in the social, cultural, economic and environmental systems in the community (Fyall & Garrod, 1997).

So, in addition to achieving balance between economic growth and natural resources, sustainable tourism argues that there should be balance and fairness in opportunities between nations, regions and communities. In short, tourism should be able to address the cultural dimension of sustainability (Bramwell & Lane, 1993; Robinson, 1999). Concerns about equity and fairness and protecting the culture of communities urged sustainable tourism to address the local participation issue to the same extent as the economy and the environment. Typically, this has been sought through new approaches for stakeholder involvement and collaboration (Hardy *et al*., 2002). The following section discusses stakeholder participation and its role in achieving sustainability in integrated heritage management.

2.3.2.1 Stakeholder involvement in planning for integrated heritage management

Heritage is used as an equivalent term to inheritance, legacy, or tradition. The dictionary definition is "something that comes or belongs to one by reason of birth; an inherited lot or portion; a National heritage of honor, pride and courage" (Webster, 2003). The US National Park Service uses the term 'cultural resources' for heritage that has architectural, archeological, and historical significance to the nation (King, 2003). In geography, heritage is interpreted through the concept of representation because heritage signifies identity and sense of belonging to a group, nation, or place. Heritage is about the "contemporary use of the past" because it "is the part of the past which we select in the present for contemporary purposes, that be the economic, cultural, political, or social" (Graham *et al*., 2000: 17). As such, it has an economic value because it is used to promote tourism and achieve economic development, and it has also a socio-political use to signify cultural meaning and identity.

Incorporating these diverse values is the challenge of heritage management. Two broad interest groups are involved in managing heritage: historic preservationists and tourism specialists. Although each of these interest groups are concerned about managing heritage, they evolved individually because they have different values, approaches and mechanisms for dealing with the challenges of heritage management (Aas *et al*., 2005; McKercher & Du Cros, 2002). Historic preservationists seek to manage the socio-cultural and physical values of the heritage, whereas tourism seeks to commercialize them for economic purposes. Accordingly, the nature of their relationship is affected by several factors such as: the independence of tourism in relation to cultural heritage management, the diversity of stakeholders with different levels of knowledge, the diversity of heritage assets; and different types of consumption intensity (McKercher *et al*., 2004). Because of these differences, new studies started to focus on managing the relationship

between preservationists and tourism specialists—searching for effective methods to reconcile their different, and sometime conflicting, interests.

Relating historic preservation to heritage tourism in heritage management is critical to achieving sustainability (Garrod & Fyall, 2000; Carter & Hockings, 2001). Some studies in heritage management suggests strategies and models to bring the two sectors together to mutually understand and appreciate the legitimate interests of each other (Orbasli, 2000; McKercher & Du Cros, 2002; Nasser, 2003). Mostly, these models focus on planning for carrying capacity, visitor and site management, and urban planning. They emphasize that heritage managers should consider issues of access, visitor demands, marketing, resource conservation and community wellbeing. They attempt to deal with the differences between tourism and preservation through managing the physical environment. In contrast, other authors argue that managing organizations and stakeholders become the primary avenues to approach heritage management systems because management should consider the multiple attitudes, values and interests of all stakeholders (Hall & McArthur, 1998).

The Report 'Our Common Future' affirmed the importance of stakeholder involvement in the sustainability process; due to the complex nature of heritage management, taking action for sustainability has the potential to adversely impact some groups while benefiting others (WCED, 1987). Principles of sustainable tourism also call for an integrated stakeholder approach in order to be able to address the cultural aspect of sustainability (Bramwell & Lane, 2000). Stakeholder theory was pioneered by Freeman (1984) who suggested that an organization is characterized by its relationships with the stakeholders of the organization (including various groups, employees, customers, suppliers, governments, and members of the community). According to Freeman, "a stakeholder in an organization is (by definition) any group or

individual who can affect or is affected by the achievement of the organization's objectives"
(1984: 46).

Since that time, stakeholder theory has had a strong influence on organizational
management because it recommended developing structures, practices and relationships that
shape stakeholder management (Donaldson & Preston, 1995). Freeman (1984) stated that
effective management of stakeholders requires identifying all concerned stakeholders and their
interests, considering the relationship between stakeholders, and managing the transactions
between the stakeholders and their organization. Dealing with the interests of stakeholders
requires cognition of two core concepts: legitimizing the interests of all stakeholders and
involving them for their intrinsic value. According to Donaldson and Preston:

> Stakeholders are persons or groups with legitimate interests in
> procedural and/or substantive aspects of corporate activity.
> Stakeholders are identified by their interests in the corporation,
> whether the corporation has any corresponding functional
> interest in them. The interests of all stakeholders are of intrinsic
> value. That is, each group of stakeholders merits consideration
> for its own sake and not merely because of its ability to further
> the interests of some other group, such as the shareowner.
> (Donaldson & Preston, 1995: 67).

This means that stakeholder management should consider the interests of all
stakeholders regardless of their relative power. Gunn (1994) emphasized that tourism planners
should afford full consideration of people who have interests in the planning processes or its
outcomes or can affect or be affected by the organization performance. Involvement of these
stakeholders is for their own value, not because of its ability to accomplish the interests of power
holders (Donaldson & Preston, 1995). So the role of the organization is to coordinate the
interests of the diverse group of stakeholders while giving synchronous consideration to all
related stakeholders.

Freeman added a third important aspect of stakeholder involvement: the interests of these stakeholders should be taken in a timely manner. He stated that "Stakeholder management capabilities must have organizational processes to take these groups and their stakes into account routinely as part of the standard operating procedures of the organization and which implements a set of transactions or bargains to balance the interests of these stakeholders to achieve the organization's purpose" (Freeman, 1984: 53).

2.3.2.2 Stakeholder role in integrated heritage management

Stakeholder involvement and participation are critical to the discussion of sustainable development. In the guidelines provided by the WCED and UNEP, collaboration and partnership are recognized as essential mechanisms for achieving sustainability (Robinson, 1999). In order to achieve these goals, collaboration theory has been adapted to the tourism planning domain. Getz and Jamal (1994: 5) modify Gray's definition of collaboration to read:

> A process of joint decision making among autonomous and key stakeholders of an inter-organizational domain to resolve problems of the domain and/or to manage issues related to the domain.

Stakeholder collaboration has become a major issue in planning for sustainability (Jamal & Getz, 1995; Bramwell & Lane, 1999; Seiln, 1999; Hall, 2000). It has been used as a method to build organizational partnerships and to resolve conflicts between stakeholders in order to advance a shared vision (Jamal & Getz, 1995; Jamal, 2004). However, Jamal (2004) argued that organizations should not be focused only on the intra-organization goals; rather they should shift into an inter-organizational approach that maximizes the interests of all concerned parties. In this domain, the multiple stakeholders will be able to enter into a dynamic process of joint-decision making to mutually discuss the problems and issues on an interactive basis (Jamal, 2004). This provides an alternative to the traditional top-down method of planning for policies and actions.

Collaboration has tended to focus on the greater community and public participation of tourism development as it implies democratic practices and equalizing power (WTTC, 2002; WCED, 1987). Indeed, Jamal (2004) stated that solving the power imbalances and achieving equality requires three main aspects: 1) equal access to decision making processes; 2) equal decision making power in order to meet the interests of all concerned stakeholders; and 3) a historical basis of democracy. But in order to be active participants in this equality ideology, collaboration should deal with the capability and capacity of the stakeholders (Reed, 1997; Araujo & Bramwell, 1999; UNEP, 2002). Stakeholders should be empowered to practice as informed participants that can influence the decision making and decision taking processes[7]. This can be achieved through building channels of awareness, allowing transparent access to information, processes and institutions, and building a knowledge base to educate stakeholders and enhance their participatory skills. Through this empowerment, the joint-decision making process overcomes the problem of dominant-subordinate relationships that characterize most multi-stakeholder discussions and dispute resolutions.

Robinson (1999) purported "equitable collaboration" as a mechanism for addressing the cultural gaps and solving the cultural consents in multi-ethnic settings. In his attempt to refocus tourism planning to the cultural dimension of sustainability, he suggested that collaboration will be the pathway for achieving intra-generational equity between the diverse stakeholders. It is the tool that will provide a forum where the cultural groups can work together to bridge cultural disparities. In addition, it provides a new mechanism for achieving sustainability because the diverse ethnic groups are enabled to own their resources and planning processes and not be merely providers of cultural experiences to tourists. This was affirmed by the United Nations in

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[7] Decision making is the process of crafting decision and decision taking is the process of implementing decisions.

its report on the United Nations Technical Meeting on the International Year for the World's

Indigenous Peoples (UN, 1993), where it declared that:

> Projects which are imposed without …consultation with the
> traditional decision-making institutions…of indigenous
> communities may bring dissension rather than improved
> conditions…[It is] important to involve indigenous peoples in
> the planning, implementation and evaluation of projects
> affecting them. (UN, 1993: 17)

But again equitable collaboration requires the empowerment of communities, ethnic and

indigenous groups. Kieffer defined empowerment as a "process that involves relationships

between individuals and/or communities and others, it is a transactional concept nurtured by the

effects of collaborative effort" (Kieffer, 1984, as cited in Sofield, 2003). Empowerment by and

of communities in this manner is both a process and outcome (Sofield, 2003). It thus cannot be

sought only through consultation models that weaken active involvement of these groups as

decision makers. It is also not sufficient to accept their existence in the planning processes

because they lack resources and the capacity to be self-sufficient and self reliance. They might

even lack the basic knowledge to set an agenda for discussion and thus their involvement

becomes an act of "disempowerment" (Sofield, 2003). Efforts should be made to prepare them to

practice informed participation.

Mbaiwa (2005) suggested empowering indigenous people through building their

capacity. In an attempt to involve the marginalized groups, the Botswana government started a

community-based program in the 1990s to promote rural development and natural resource

management. Although the indigenous people were active participants in the program, this

project suffered from poor performance because the people were not well trained in the newly

imported tourism development in their communities. Efforts were then made by a sustainable

community-based tourism sector in the Okavango Delta to empower the Basarwa communities

(the indigenous people in Botswana). To achieve this, they used mechanisms of allowing resource ownership, and building managerial skills through joint venture partnerships between indigenous people and tourism experts. Nepal (2005) also pointed out that efforts in building capacity in indigenous communities should be sought through educating and training indigenous youth in tourism practices, establishing networks with and between indigenous organizations and individuals, and persuading the state government to provide financial and technical assistance to encourage self reliance.

The stakeholder and collaboration theories that have emerged over the past few years assert that consideration should be given to each stakeholder groups without prioritizing one over others. This means that any government intervention in tourism planning cannot be conducted in a vacuum. The government's ideas and the need for tourism development cannot be imposed on the communities without impacting these groups; thus, it is necessary to take the interests of all stakeholders into consideration.

2.3.3 Linking historic preservation with heritage tourism through sustainability principles

The literature shows that while several studies have been done to develop theories and models for combining tourism with sustainability, much less has been done to relate sustainability to historic preservation. Traditionally, historic preservation has been a practical discipline that focuses on maintaining the built environment and, if possible, developing it for generating revenue. Heritage tourism, on the other hand, focused on the socio-cultural dimension of sustainability. It borrowed from theories of stakeholders and organizational management in order to advance tourism into a holistic approach to sustainability. Given that, it can be argued that relying on the principles and theories presented in tourism literature can provide insights for enabling effective partnership between the historic preservation and heritage tourism entities.

Principles generated from stakeholder and organizational management approaches can be implemented to bring the relationship between these two entities to a higher level of maturity.

McKercher *et al*. (2004) developed a "maturity" framework to classify the relationship between preservationists and tourism specialists on a spectrum whose opposite sides are complete denial and complete integration. At the denial side, both sectors deny the interest and involvement of the others in heritage management. This relationship can evolve into a parallel relationship (parallel existence) when the two sectors acknowledge the legitimacy of each other as active participants in heritage management. However, each sector assumes a clearly defined role with few overlaps and minimal interaction or communication among the groups and stakeholders. They perceive their relationship as an exclusive but symbiotic one where a certain degree of collaboration occurs in product development and marketing. McKercher *et al*. (2004) suggested that the relationship moves from imposed co-management to partnership and ends in full integration.

The ideal state is full integration. The nature of the relationship might be challenged by several factors, including: 1) the independence of tourism and heritage management from each other; 2) politically imposed power balance; 3) diversity of stakeholders with different levels of knowledge; 4) diversity of heritage assets; and 5) different types of consumption intensity (McKercher *et al*., 2004). Accordingly, it is advised that the preservationists and tourism specialists create a mature relationship where they legitimize each others' roles and work collaboratively to achieve an integrated heritage management (McKercher *et al.,* 2004).

The sustainability principles discussed above can guide the interactions between preservationists, tourism specialists and all related stakeholders. It is equally important to investigate the principles that describe cooperation and coordination practices when heritage is managed through a multi-layer institutional structure (from state to local level). Issues of

decentralization, coordination, communication, and strategic planning are instrumental. The following section illustrates main principles that have been addressed in literature to guide planning processes for heritage management at the different levels. These principles are based on sustainable tourism and good governance principles.

2.3.4 Strategic tourism planning

Since the 1987 Brundtland Report, tourism has linked sustainability principles to its planning processes. Strategic planning has thus been presented as a substitute for the conventional, reactive planning approaches. Strategic planning for sustainability has three major characteristics: holistic, long-term, and systematic. It is a holistic approach because it is socially constructed and considers the social, economic and physical variables (Bramwell & Lane, 1993; Costa, 2001) as well as the politics of every place (Hall & McArthur, 1998). It emphasizes proactive, long-term, responsive, and comprehensive planning (Hall and Jenkins, 1995; Ruhanen, 2004). Finally, a strategic process includes visioning, strategic analysis, inventory, identifying goals and objectives, and monitoring indicators (Jamieson, 1997). Based on these three aspects, several principles have been developed in the tourism literature. All of the principles are essential to sustainable tourism development. It cannot be assumed that any of them can be eliminated for the benefit of another. These principles are shown in Table 2.1 and are categorized under three main concepts: holistic approach, long-term planning, and systematic planning.

Table 2.1 Sustainable tourism principles

Concept	Sustainable Tourism Principle
Holistic approach	• Adopting a holistic planning approach for tourism plans and strategies so that it can meet environmental, economic, and socio-cultural considerations (Bramwell & Lane, 1993)
Long-term planning	• Tourism planning should be based on long-term and proactive strategies to ensure sustainability of the destinations (Jamieson, 1997). • Tourism should be integrated into planning at the national, regional, and local levels (coordinate marketing and planning to match supply and demand (Garrod & Fyall, 1998; Jamal & Tanase, 2005)
Strategic planning	• Planning should seek to mitigate negative impacts of tourism while maximizing its benefits (WTO, 1998). • Sustainable development is a process-oriented approach (Liu, 2003). • Planning should be active, continuous, and adaptable to changes and circumstances (Gunn 1988; Yuksel *et al.*, 2005) • Assess the potential of tourism against other economic activities in the community (Jamal & Tanase, 2005) • Involvement of local communities in decision making about tourism type, tourism orientation, and quantity (Garrod & Fyall, 1998; Jamal & Tanase, 2005) • Tourism planning should take into consideration the interests of all stakeholders, both those who are affected by and who can influence the outcomes of tourism. Their involvement should be as early as possible (Jamieson, 1997). • Stakeholders and the public should be consulted on a timely base in order to collaboratively solve conflicts and differences (Garrod & Fyall, 1998) • Seek public input in preparing and implementing tourism plans and strategies. Public input involve the residents as well as the scientific/technical knowledge (Jamal & Tanase, 2005) • Training stakeholders to familiarize them with sustainability principles and practices (Garrod & Fyall, 1998) • Establish an awareness base to educate and enhance the understanding of tourism and its contribution to sustainable development (Alipour, 1996; Jamieson, 1997) • Allow local control of communities over their cultural heritage and foster local entrepreneurship and ownership (Getz, 1987; Jamal & Tanase, 2005; Jamieson, 1997) • Allow cooperation and partnership among stakeholders (public and private) with developing mechanisms for dispute resolution (Jamal & Tanase, 2005) • Establish a continuous monitoring system using data collected from on-going studies and research. This monitoring system should be used to monitor impacts, solve problems, and enable changes according to the stakeholders needs (Garrod & Fyall, 1998; Jamal & Tanase, 2005)

Although sustainability for tourism is largely based on having efficient plans and strategies, in most cases, appropriate planning policies are absent at the national, regional, and local levels (Simpson, 2001). As a result, a lack of planning could create major problems affecting the social, environmental and economic structures of the community and also affect the success and future of tourism in the entire region. Several models have been developed to assist heritage planners in developing strategic mechanisms for the planning processes (Jamieson, 1997; Hall & McArthur, 1998). Although the planning model developed by Jamieson (1997) is locally based, its approaches and stages might be integrated and adapted to regional and state levels. According to these models, stages of strategic planning are hierarchically structured from vision or mission statements through goals, objectives and action statements. They can be described as follows:

a) Identifying the purpose in order to recognize the expectations of the strategic process. At the community level, this stage is devoted to getting the community ready. It includes four main steps (Jamieson, 1997). Step 1: Assess the community needs and readiness for tourism to identify the current situation of tourism in the affected communities and regions and compare it to other existing economic sectors. Assessment also requires identifying key stakeholders; identifying economic, social, and labor forces; determining the community attitudes, concerns, interests and values; and evaluating the community readiness. Step 2: Establish leadership for the tourism process by identifying key leaders and key stakeholders, forming a community tourism organization, and establishing planning scope, terms of reference, and key responsibilities. Step 3: Develop a community tourism vision through a broad-based community process that assists in identifying key community themes and issues. This vision should be disseminated to all residents and be periodically updated. Step 4: Implement mechanisms for ongoing support through awareness and information exchange, building communication mechanisms, distributing

periodical community surveys, allowing consultation and conflict resolution processes, and enabling empowered participation in tourism planning. Outcomes from this community based stage should be used to inform the strategic plans at the regional and state levels.

b) Conducting strategic analysis. Sustainability requires developing thorough policies and strategies that are based on reliable social, economic and environmental data gathering and analysis. These analyses should help in foreseeing and considering possible negative impacts and simultaneously guiding the development of the planning processes (UNPAN, 2002). Four types of analyses are needed prior to initiating the strategic process. First, environmental (or macro-environmental) analysis is needed to anticipate potential impacts on the political, economic, social, and technological factors that affect an organization. This also includes market analysis[8] to assess visitation and competitor analysis to assess attractiveness to visitation. Second, resources analysis is required to assess both physical resources (inventory) and human resources[9] to ensure a successful ongoing management process. Third, the aspirations of concerned stakeholders need to be analyzed and considered. Fourth, situation analysis is necessary to assess the appropriateness of the current plans and their visions, goals, objectives, actions, and practices. Strategic analysis should be performed comprehensively in order to inform the strategies and plans—see Hall and McArthur (1998) for more details on analysis and its preparation.

c) Developing a mission statement. Heritage management should not adopt an issue-based planning approach that creates reactive and *ad hoc* attitudes. Visions, goals and objectives should be developed to guide strategic planning and its implementation. Hall and McArthur

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[8] Market analysis includes three types of analysis: 1) market measurement and forecasting to determine current and future market size for the heritage product; 2) market segmentation to determine the targeted groups to be served; and 3) consumer analysis to determine the characteristics of consumers and non-consumers.

[9] Inventory should be taken to assess the community resources including cultural heritage, ethnic attractions, special events, regional attributes, natural features, recreational facilities, entertainment, everyday activities, cultural attractions and community publications (Jamieson, 1997).

(1998) warned that the core ideology of an organization is generally focused on heritage resources rather than on the people who utilize or own the heritage. Effective vision statements should be able to represent the values, beliefs and activities of the organization and its various stakeholders.

Developing a mission statement that will guide the goals and objects is another critical component in strategic planning. A mission statement should be based on the strategic analysis and the identified values and be geared to all stakeholders. Specific guiding principles should also be adopted in developing the mission statement. An example provided from Hall and McArthur (1998) is the set of principles provided by the National Trust for Historic Preservation; it includes principles for both strategic planning and specific site management plans[10].

d) Setting goals and objectives. At the community level, identifying goals and objectives should be made with reference to the situation analysis and the visioning process (Jamieson, 1997). These established goals should be able to inform the goals and objectives articulated at both the regional and state levels. Halls identified three approaches for identifying goals and objectives, including (Hall & McArthur, 1998):

- **Top-down approach.** Goals of each level are determined by the goals of the next higher level and minor discussion is undertaken with concerned stakeholders.

- **Bottom-up approach.** The strategic plans of individual entities are arranged as parts that compose a comprehensive plan, but with little coordination between the units and failure to consider the bigger picture (sense of the whole).

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[10] Two principles are provided for strategic planning which are collaboration and building partnerships and finding the fit between communities and tourism. Three other principles are about site management: 1) focusing on authenticity and quality; 2) preserving and protecting resources; and 3) making sites come alive (NTHP, accessed 10.07.05).

- **Interactive approach.** A valuable level of interaction and participation between levels and stakeholders occurs to craft the common goals of all entities.

Costa (2001) called for an organizational framework that replaces the top-down approach with lateral and flexible interaction between all stakeholders. Interaction is recommended as it allows "planning *with* rather than *for* stakeholders" and thus acknowledges the stakeholder's legitimacy and ownership of the plans and heritage. It further allows the likelihood of implementing the plans because it fosters cooperation between involved stakeholders (Hall & McArthur, 1998; Hall, 1999).

e) Preparing actions, operations and strategies. Statements of the mechanisms and processes (actions) to achieve the objectives should be identified[11]. This stage involves three main steps: 1) identifying and evaluating alternatives for implementing the objectives; 2) developing action programs (responsibilities, budget and timelines) for each objective; and 3) developing indicators and thresholds (tourism, environmental, economic and social indicators). In order to achieve effective implementation of these action plans, it is recommended that consideration is given to: 1) coordinating strategies (at both the policy and action levels); 2) linking the strategies and plans to other community development plans and initiatives; 3) seeking the public input to ensure the representation of the plan and its implementation; and 4) cooperating among public and private sectors on planning, management, marketing and funding issues. For the latter, it is also important to consider building cooperation between the communities within the region to enhance the success of tourism (Jamieson, 1997).

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[11] Examples of the objectives and action programs are provided by Jamieson (1997). These include implementation structure, marketing and promotion plans, land use regulations, protection of cultural and natural resources, community involvement and support (communication policies, awareness programs, residential involvement in interpretation), training programs, events and festival planning, private sector plans (accommodation, restaurants, and attractions), and public sector infrastructure (parks, campgrounds, recreational facilities, and information services and facilities). For more details see Jamieson (1997).

f) Establishing indicators, monitoring and evaluation to assess performance. Planning

processes are not static and rigid. They should be flexible, continuous, renewable and adaptable

to changes in circumstances in order to allow growth and raise the strategies and programs to a

higher level of satisfaction. It should thus involve a monitoring system to evaluate the

performance and effects of decisions on the institution and affected stakeholders (UNEP, 2002;

UNPAN, 2002). Several methods can be used such as cost-benefit analysis, goals achievement,

environmental and social impacts, limits of acceptable change, and goal free evaluation—see

Hall and McArthur (1998) and Jamieson (1997) for more details on the different methods.

Indicators should be developed to serve the needed evaluation method. However, financial or

number of visitors should not be the only types of indicators used for assessment. A variety of

qualitative and quantitative indicators should be used to assess the performances and

effectiveness of the programs to enable heritage managers to enhance their future management

processes and procedures and address the concerns of all stakeholders.

The report on the Cancun Colloquium on Regional Governance and Sustainable

Development in Tourism-driven Economies (UNPAN, 2002) also recommends that an effective

monitoring process should consider maintaining transparency and accessibility to the

information and processes in order to allow the citizens to participate in monitoring and

evaluating the government performances in heritage management. However, transparency

requires two other instrumental aspects that should be sought from early stages and throughout

the planning processes: 1) seeking public input and 2) responsiveness. Besides contributing to

strategic planning, public input has the advantage of building public support and enhancing

stakeholders' understanding of issues and concerns (Yuksel *et al*., 2005). Responsiveness should

not be restricted to queries, but also to complaints, concerns, and criticisms by the public to the

managers' performances (Thorsell, 2003).

2.4. Integrated Heritage Management: Interdependence between State, Regional and Local Levels

The 1990s witnessed a rapid evolution in tourism planning theory and practices (Costa, 2001). A growing awareness of the important role played by tourism-related organizations and the decentralization and democratization of the decision making process fostered new ideas about improving the organizational framework within which decisions are designed and implemented (Pearce, 1992). In his landmark book *Tourism Planning: Basics, concepts and cases.* Gunn (2002) approached tourism planning through a system perspective in which multiple disciplines are involved to manage the two major powers of demand and supply. Planners work together with the public, private and nonprofit sectors to enhance visitor satisfaction, improve economy and business success, and to enable sustainable use of cultural resources and community integration. Achieving such goals mandates a structured institutional arrangement that operate throughout the three levels of government (state, regional and local) to plan for heritage management and policies in a holistic, integrated, continuous and systematic manner (Hall, 2000; Gunn & Var, 2002).

Planning and policy development for heritage management is conceived as a continuum along these levels (Hall, 2000). It occurs through a system that "comprises the set of constant interactions between the various components of the system from the individual to the global" (Hall, 2000). Each level has a multidimensional set of policies and planning relationships that entails thinking of policies and planning processes not only horizontally (between heritage management related entities in each level), but also vertically (between the different levels of government—local, regional and state). Interactions between the levels occur through socially-based and highly political environments (Gunn & Var, 2002) because involved stakeholders and partners recognize the interdependent relationship between them at the various levels of

government. Accordingly, when dealing with a multi-layer institutional structure for enabling integrated heritage management, there are several substantial issues to address: good governance, decentralization and partnership, coordination, communication, networking, collaboration and joint decision making (Hall, 2000; UNEP, 2002). The last two aspects (collaboration and joint decision making) have been covered in previous sections in this chapter. The following will be an elaboration on the issues of good governance, decentralization and partnership, coordination, networking, and communication as contributors to sustainable and integrated heritage management.

2.4.1 Good governance

Adopting sustainability principles and implementing them in multi-layer institutional structures requires good governance (Dodson & Smith, 2003). Good governance is a recent notion that is mostly used alongside concepts of democracy, civil society, public participation, human rights and social and sustainable development (Agere, 2000). It emerged as a response to the cognition that economic growth alone cannot enable sustainability if no attention is given to peoples' participation, accountability, and equity. The United Nations Development Program (UNDP) defined good governance as "the exercise of economic, political, and administrative authority to manage a country's affairs at all levels." Governance comprises the "complex mechanisms, processes and institutions through which citizens and groups articulate their interests, mediate their differences and exercise their legal rights and obligations" (UNDP, 1997: iv). This definition is consistent with the World Bank description: "to denote the use of political authority and exercise of control in a society in relation to the management of its resources for social and economic development" (OECD, 1995: 14). As such, good governance is seen as one

of the most important factors for achieving sustainability because it contributes to economic growth, human development, and social justice (Agere, 2000; Dodson & Smith, 2003).

Agere (2000) warned that the absence of good governance can damage the intervention role of government in any development process. Governments adopting decentralization should seek to achieve both good management and good governance. According to the Governance for Human Development report for UNDP (1997), both political governance (the process of decision making to formulate policy) and administrative governance (the system of policy implementation) should consider some key elements to achieve good governance:

1. **Accountability** is defined as "holding responsible elected or appointed individuals and organizations charged with a public mandate to account for specific actions, activities or decisions to the public from whom they derive their authority" (Agere, 2000). This implies that decision makers in government, the private sector and civil society organizations should be accountable to the public, as well as to institutional stakeholders (Gurung, 2000).

2. **Transparency** is defined as "public knowledge of the policies of government and confidence in its intentions" (Agere, 2000). In general, transparency can be built through allowing free flow of information and providing direct accessibility to the processes, institutions, and information (Gurung, 2000).

3. **Stakeholder participation** is mandatory in good governance. It is defined as "a process whereby stakeholders exercise influence over public policy decisions and share control over resources and institutions that affect their lives, thereby providing a check on power of government" (Agere, 2000). In good government, participation in decentralized systems is always connected with two main issues: inclusiveness and empowerment (Agere, 2000). Inclusiveness is

enabled through a participatory approach that gives a central role to local people (Gurung, 2000) and allows active involvement on the on-going process of governance. Empowerment is based on the assumption that well-functioning, self sufficient local authorities and leadership are more active in identifying their needs and implementing the development strategies.

4. **Responsiveness** that mandates institutions and a process to serve all stakeholders (UNDP, 1997).

5. **Strategic vision** where leaders and the public have a broad and long-term perspective on good governance and human development, along with a sense of what is needed for such development. There is also an understanding of the historical, cultural, and social complexities in which that perspective is grounded (UNDP, 1997).

6. **Consensus orientation** that allows different interests to be mediated to reach a broad consensus on what is in the best interest of the group, and, where possible, directly determining policies and procedures (UNDP, 1997). Agere (2000) argues that meaningful consensus building demands sufficient consultation and cooperation—*not* only to inform partners about decisions that have been made without their involvement.

7. **Effectiveness and efficiency** where processes and institutions produce results that meet needs while making the best use of resources (UNDP, 1997).

8. **Equity building** where all people have opportunities to improve or maintain their well-being (UNDP, 1997).

9. **Rule of law** where legal frameworks should be fair and enforced impartially, especially laws regarding human rights (UNDP, 1997).

Applying these elements to achieve sustainability is challenged by the distinguished nature of governance that has legitimacy and power implications. These concerns have also been addressed by some international tourism organizations. The Report of the International Colloquium on Regional Governance and Sustainable Development in Tourism-driven Economies, for example, declared that healthy governance is characterized by the patterns of the social relations between interdependent actors, which takes shape around policy problems and programs (UNPAN, 2002). These patterns are affected by several factors including: 1) the structures of governance that articulate legitimacy and control; 2) level of authority for formulating and exercising rules and laws, resolve disputes, or carry on public administration; 3) availability of the economic, human, and physical resources to establish and implement the governance arrangements; and 4) accountability to all concerned stakeholders and institutions (Kickert as cited in Yuksel *et al*., 2005). Accordingly, governments should seriously consider the establishment of stable and legitimate governing institutions, structures, and processes (Agere, 2000; UNPAN, 2002; Dodson & Smith, 2003; Thorsell, 2003).

2.4.2 Decentralization and partnership

Decentralization emerged with the rejection of communities to merely being recipients of the services provided by the central (state) government (Agere, 2000; Gurung, 2000). People wanted to be the center of all governance policies, strategies and actions. The government was thus urged to adopt an inclusive and democratic decision making approach through which power is devoted to the people to be decision makers (Agere, 2000; UNPAN, 2002; Thorsell, 2003). The decentralization approach has the advantages of: 1) facilitating responsiveness to public demands; 2) increasing political accountability to the public; 3) decreasing concentration of power; 4) leading to better decision making; and 5) leading to better service delivery (Yuksel *et*

al., 2005). However, achieving decentralization might not be feasible in some cases where government is unwilling to cede power to others; lack of resources for local governments; or unwillingness of groups to participate in local policy (UNPAN 2002; Yuksel *et al*. 2005). Yuksel *et al*. (2005) and Stoker (1998) also warn that decentralization might be mere rhetoric when the government utilizes it as an ideology to mask problems. That is, when the government uses it to suit its own interests rather than those of the citizens.

When the government adopts a decentralization approach, it generally endorses the use of partnership arrangements and inter-organizational collaboration in planning for tourism. Partnership allows the affected parties to engage in exchanging knowledge, communication and to coordinate relevant policies and resources (Araujo & Bramwell, 2002). It thus helps to advance discussion, negotiation, consensus building, acceptance of resulting policies and effective implementation (Innes, 1995, as cited in Araujo & Bramwell, 2002; Healey, 1997; Hall, 2000) Nevertheless, effective partnership might be difficult because the wide involvement of diverse stakeholders can be complicated and time consuming. Additionally, other barriers might prevent partnership. One important barrier is the rejection of stakeholders to work together because collaboration might decrease independent power or because of mistrust between the involved stakeholders (Hall & Jenkins, 1995). Consideration should be given to create active coordination, communication, and planning strategies.

2.4.3 Coordination

Coordination is fundamental in heritage management because governments, like the US, endorse the use of inter-organizational collaboration and partnership arrangement in policy and strategic planning and implementation. Araujo and Bramwell (2002) point out that regions are important in the tourism partnership because they bring the voice and interests of local

communities and hence reduce the tension among state, regional, and local perspectives. Also, involvement of regions has three other advantages. First, it assists in achieving equitable distribution of benefits among less developed parts of the region. Second, it assists in achieving coordination among physical, economic and social planning. Third, it is an intermediary approach that works with external or global forces but with an influence from local people.

Having the region partner with the local level is critical because community support forms the basis for successful and sustainable tourism development (Jamieson, 1997). As Murphy (1985: 151) indicated, the community involvement is a way of "controlling the pace of development, integrating tourism with other activities and producing more individualistic tourist products." As a result, there have been frequent suggestions that planning for sustainability cannot be achieved solely through economic growth and tourism-centered strategies (Hunter, 1997). Instead, sustainable tourism planning should be community-oriented (Godfrey, 1996) and the community's involvement should occur early and throughout the planning processes (Jamieson, 1997; Gunn & Var, 2002). The community should be enabled to identify salient issues of local concern to help in determining attitudes to tourism development in their localities.

Even though these two levels (regions and localities) are instrumental in achieving sustainable tourism planning, empowerment and increasing their influence is mostly affected by the desire of the state governments to redistribute power and authority and their readiness to deal with the emergence of conflicting perspectives (Selin, 1999). A given government can delegate its functions and authorities to entities at the regional or local level such as private sectors, Non Governmental Organizations (NGO's), civic groups, public partners, or local or provincial authorities (Yuksel *et al.*, 2005). Nevertheless, an authentic devolution of control and power beyond the state to these entities might be difficult to achieve because it requires high commitment from the state government to transfer decision making and resources to lower

administrative levels. Therefore, governments tend to use diffused governance networks to retain their control and maintain their own policy priorities using either indirect management (monitoring techniques) or direct management methods (financial support or organizational reform). In order to maintain its control, a given government often promises to enhance local autonomy and wellbeing. However, Yuksel *et al*. (2005) pointed out that in case of complex governance where several subdivisions are involved, it is difficult for the state government to make this process work, especially if the subdivisions lack financial, technical or professional capacity.

Selin (1999) developed a typology of tourism partnership between the local, regional and state levels based on the dimensions of geographic scale, legal basis, organizational diversity and scale, and locus of control. Based on the locus of control criterion, he stated that the level of stakeholder participation and influence depends on the tendency of the government to distribute its power to its partners. Accordingly, partnership can evolve from a stage where the partnership is totally controlled by the agency to stages of *active consultation*, *seeking consensus*, *negotiating agreements*, *sharing authority*, *transferring authority and responsibilities*, or *stakeholder control*. This classification can be compared to Arstein's "ladder of Citizen Participation" (Arstein, 1969). She described the typology of citizen inputs in decision making on a continuum whose opposite sides are manipulation and citizen control, and which distinguish between tokenism and citizen power. In this ladder participation is divided onto three main categories: *non participation*; *tokenism*; and *citizen power*. In the *non participation* category stakeholders are providing advice or are engaged in activities that have no influence on the decision making. It is a therapeutic and manipulative approach. In *tokenism* participants are allowed to voice their interests but have no essential influence of the decisions. Finally, in *citizen*

power the stakeholders are given the authority to voice their interests and influence the decision making.

If the government approves a decentralized approach in its institutional structure, consideration should be also given to have an appropriate degree of decentralization in decision making between the agencies, authorities, and organizations concerned at all levels (Thorsell, 2003). Each level should be granted authority and their input should affect the strategic orientation of the planning processes. As declared by Simpson (2001):

> an effective development process for sub-national tourism is one which incorporates the input of all affected stakeholders to determine an appropriate strategic direction which will maximize the equitable distribution of tourism benefits in the interest of local, regional and national sustainability. (p. 13)

2.4.4 Networking and communication

A need for genuine coordination of the roles and responsibilities between the partners in decentralized structures led to an increase in emphasis on governance through network structures (Hall, 1999). Networks are defined as "the development of linkage between actors [organizations and individuals] where linkages become more formalized towards maintaining mutual interests" (Hall, 1999: 276). They thus assist governments to breakdown traditional hierarchical relationships and instead establish channels of communication among the state government and the complex web of participating stakeholders, groups, organizations and the community.

Pforr (2006) discussed the usefulness of networking in tourism policies. It facilitates cooperation, coordination and information exchange (communication) in states that rely on an interdependent relationship with their subdivisions and the public. But Hall (1999) also argues that networking should not be focused only on the organizational dimensions of development. As part of the planning and policy making, networking should also consider the public and

interested groups as significant components in developing these networks. It should be able to

deal with each actor (especially those at the local level) in the policy network system and

integrate them to the other actors at the same or other levels. Bramwell (2006) declared that:

> Policy issues in tourism are rarely resolved within a locality;
> rather they implicate networks of actors that extend from the
> local to the national and international, and back again. Local
> actors are tied into sets of relations both with other local actors
> and those located elsewhere. The idea of networks can assist in
> uncovering…the 'power geometry' of the relationships between
> local and non-local actors. (Bramwell, 2006: 156).

It is through this social perspective that networking contributed to achieving sustainable

equity (Hall, 1999). Borrowing from Healey (1997), Hall stated that maintaining and enhancing

the *social capital* for achieving sustainable development mandates a "rich set of social networks

and relationships that exist in places, through appropriate policies and programs of social equity

and political participation" (Hall, 1999: 280). Accordingly, he suggested the adoption of *issue

networking* because it allows interactions among participants away from centers of control.

Through this networking, policy making will be inclusive of the full range of values and

concerns of the wide set of stakeholders.

Additionally, networking should be connected with adopting a communicative approach for planning to enable relevant stakeholders to have a voice in policy making (Bramwell & Sharman, 1999). Jamal and Jamrozy (2006) suggest using communicative planning as an alternative to public input. In this respect, effective, open and direct mechanisms should be established in order to allow collective learning, consensus building practices and meaningful dialogue on day-to-day issues as well as strategic partnerships that need to be negotiated (Friedman, 1992, as cited in Bramwell & Sharman, 1999; Healey, 1997; Agere, 2000).

2.5. Summary

The literature review focuses on the concepts of 1) sustainable development; 2) integrated heritage management and the interdependence between its two main entities: historic preservation and heritage tourism; and 3) integrated heritage management and the interdependency between the three involved levels of government: state, regional and local. Addressing these concepts helps in identifying the guiding principles for sustainable heritage management. Table 2.2 summarizes key concepts, principles and proposition leading to the development of guiding principles for sustainable development and sustainable tourism. They are arranged in an analytical framework that addresses six main items: 1) holistic approach to sustainability; 2) participation and involvement; 3) good governance; 4) coordination between levels; 5) channels of communication; and 6) planning processes.

Table 2.2 Theoretical framework for sustainability and good governance principles

Items	Principle	Proposition (s)	
Holistic approach to sustainability	**Historic preservation-heritage tourism interconnection.** Policies should be able to enhance the economy while maintaining conservation of the heritage	**Prop. A:**	Integrated heritage management should be able to maintain diversity in the social, cultural, economic and environmental systems in the community (Garrod & Fyall, 1998).
		Prop. B:	Provide policies that support heritage conservation and promotion for sustainable tourism development (UNEP, 2002)
		Prop. C:	Integrated heritage management should be able to bridge the interdisciplinary between the interested stakeholders in order to be able to address the diverse impacts of tourism (Echtner & Jamal, 1997)
Participation and involvement	**Legitimacy and voice.** All concerned groups should have voice in decision making and decision taking	**Prop. D**:	Integrated heritage management should be inclusive to all related stakeholders (including local communities and residnts) (Freeman, 1984; Garrod & Fyall, 1998;Gunn & Var, 2002; Jamal & Tanase, 2005)
		Prop. E:	Integrated heritage management should legitimize the interests of all stakeholders (i.e., increase their circle of influence) (Donaldson & Preston, 1995; Jamieson, 1997)
		Prop. F:	Integrated heritage management should involve stakeholders for their intrinsic value (Donaldson & Preston, 1995)
		Prop. G:	Involvement of stakeholders should occur early and throughout the planning processes (Jamieson, 1997; Gunn & Var, 2002)
	Empowerment. Efforts should be made to build leadership in order to enable informed participation.	**Prop. H**:	Integrated heritage management should enable building capacity of all stakeholders (including marginalized groups) through building channels of awareness; establishing educative programs; training, allowing local control over their resources; fostering entrepreneurship and ownership of resources, and gaining governmental support (Alipour, 1996; Jamieson, 1997; Reed, 1997; Garrod & Fyall, 1998; Araujo & Bramwell, 1999; Agere, 2000; Gurung, 2000; UNEP, 2002; Sofield, 2003; Jamal, 2004; Mbaiwa, 2005; Nepal, 2005)

Table 2.2 Continued

Items	Principle	Proposition (s)
Good governance	**Accountability**. Decision makers from all sectors are accountable to the public as well as to institutional stakeholders.	**Prop. I**: Integrated heritage management should be accountable to the public, communities and all related stakeholders (Agere, 2000; Gurung, 2000).
	Transparency. Processes, institutions and information are directly accessible to those concerned with them.	**Prop. J**: Integrated heritage management should allow free flow of information and provide direct accessibility to the processes, institutions, and information (Agere, 2000; Gurung, 2000).
	Responsiveness. Institutions and processes should be able to serve all stakeholders.	**Prop. K**: Integrated heritage management should be responsive to the queries, complains and concerns of all stakeholders (UNDP, 1997; Thorsell, 2003)
	Equity and fairness. All people have opportunities to improve and maintain their wellbeing.	**Prop. L**: planning for heritage management should allow for equitable distribution of benefits and costs (Jamieson, 1997; WTO, 1998; Jamal & Tanase, 2005).
		Prop. M: Planning for integrated heritage management should allow all the local communities to benefit fairly from preservation and tourism development (Jamieson, 1997; Jamal & Tanase, 2005).
Coordination between levels	**Decentralization**. Governments allow appropriate degree of decentralization in policy making.	**Prop. N**: State governments should cede power and authority to stakeholders at lower levels to have influence on the decision making and decision taking processes (Simpson, 2001; Thorsell, 2003).
		Prop. O: State government should allow cooperation and partnership among stakeholders with developing methods for dispute resolution (Jamal & Tanase, 2005)
		Prop. P: State governments should develop community oriented heritage plans because community support is essential for successful planning practices (Godfrey, 1996; Jamieson, 1997)

Table 2.2 Continued

Items	Principle	Proposition (s)
Channels of Communication	**Networking**. Establish active networking between stakeholders at al levels to ensure their active involvement in decision making and decision taking processes.	**Prop. Q**: Integrated heritage management should establish networks that allow communication on administrative issues as well as concerns of involved stakeholders (Hall, 1999; Bramwell, 2006). **Prop. R**: Integrated heritage management should establish open and direct mechanisms of communications that allows meaningful dialogue on daily matters as well as strategic partnership (Healey, 1997; Agere, 2000; Friedman, 1992).
Planning processes	**Strategic planning**. Planning evolves in a strategic manner.	**Prop. S**: Integrated heritage management should consider the positive as well as the negative impacts of tourism (WTO, 1998). **Prop. T**: Integrated heritage management should include local as well as traditional and scientific knowledge (Jamal & Tanase, 2005; Yuksel *et al.,* 2005). **Prop. U**: Strategic planning should be based on comprehensive strategic analysis (Jamieson, 1997; Hall & McArthur, 1998; UNPAN, 2002) **Prop. V**: Vision and mission statements that are stakeholder and organization oriented should be developed at early stages of the process (Jamieson, 1997; Hall & McArthur, 1998) **Prop. W**: Goals and objectives should be prepared through an interactive approach that allows interaction between levels and organization to craft the common goals, i.e., organizations should not be focused only on the intra-organization goals; but also inter-organizational approach that maximizes the interests of all concerned parties (Hall & McArthur 1998; Jamal, 2004; Costa, 2001). **Prop. X**: Action plans should be developed in coordination between levels (especially the regional and local levels) and be linked with other community development plans (Jamieson *et al*., 1997; Hall & McArthur, 1998) **Prop. Y**: Monitoring systems and indicators should be established to evaluate the performance and effects of decision taken on the institutions and all affected stakeholders (Garrod & Fyall, 1998; UNEP, 2002; UNPAN, 2002; Jamal & Tanase, 2005)

I will use the extensive framework presented in Table 2.2 in an iterative manner to evaluate existing documents and activities for the case study introduced in chapter III. Items will be edited as new information arises through the research process. The iterative process means that I will engage with data analysis and obtain relevant literature simultaneously as concepts and issues emerge. An important outcome of this study, therefore, is the development of a sustainability framework to guide policy makers and planners in heritage development and management activities. The following chapter discusses the methodology and methods that were used in conducting the study.

CHAPTER III
METHODOLOGY

3.1. Introduction

This chapter consists of six sections. The first section discusses the research paradigm. The second describes the case study, the rational for choosing it and conditions of entry. The third introduced the three data collection methods utilized in the study. The forth illustrates techniques used for analyzing the data. The fifth and sixth sections describe the trustworthiness of the study and ethical considerations.

3.2. Research Paradigm

A researcher is guided by sets of beliefs that define a worldview, or what is generally termed a paradigm. Traditionally, an inquiry paradigm is composed of three main elements: ontology, epistemology and methodology (Guba & Lincoln, 2005). Ontology describes the nature of reality as assumed by the researcher about a specific social inquiry. It tends to answer the question: what is the nature of reality? Epistemology is the theory of knowledge, the nature of knowing and the assumptions made about the nature of knowledge. It determines the relationship between the knower and would-be- known and thus answers the question: what is the relationship of the researcher to the researched? The methodology is about how to generate knowledge about the world and answers the question: how do we come to know the world?

Four major paradigms are identified by Guba and Lincoln, namely: positivist, post-positivist, critical theory and constructivist (Guba & Lincoln, 1994). Adopting a specific paradigm helps a researcher link theory and method and determines the structure and shape of a given inquiry. In this research, I am influenced by the constructivist paradigm. I am assessing the relationship between historic preservation and heritage tourism as it functions between different

hierarchical levels (state, regional and local). In examining this relationship from an ontological point of view, I am locating myself in the constructivist paradigm because realities are constructed in a social context and can be understood only through the perspectives of those who function within this context (Erlandson *et al.*, 1993). Accordingly, the research is tailored to an actual social context. Moreover, epistemologically, the researcher is a partner in the construction of knowledge. From a methodological point of view, I am collecting knowledge through a dialectic (hermeneutic) process between me (the inquirer) and the world.

The positivist paradigm tends to employ an objective methodology that is based on the assumptions of linear causality and value freedom (Lincoln & Guba, 1985). To the contrary, the constructivist paradigm is value bounded because it is affected by the inquirer values in choosing, framing and evaluating a problem, as well as by the values that are constructed in the designated context. It also requires adopting a substantive theory that can be used in data management (collection, analysis and interpretation). Accordingly, the following philosophical and methodological assumptions guide my study:

Ontology: I understand the importance of the social and historical contexts that shape the relationship between historic preservation and heritage tourism and the planning process for managing this relation. The context is crucial because it captures the multiple realities and their meanings as constructed by stake-holding groups participating in the historic preservation and heritage tourism related programs. Nevertheless, the multiple realities provided by these stakeholders are not approached as isolated and segmented parts. Rather, I am looking at them as a whole in which realities are mutually interrelated to shape the whole picture that would best assist in conducting an effective evaluation for the program (Guba & Lincoln, 1981).

Epistemology: There will be an interactive relation between myself as a human instrument and the stake-holding groups participating in the THC's two programs: the Heritage

Trail Program and the Visionaries in Preservation program. I will be involved in the study because I am the human instrument that collects, analyzes and interprets the data (Guba & Lincoln, 1981). However, this implies that my own concerns, interests and agenda will affect the conduction of the research. It also affects the interpretation of the findings because they are created as a result of the continuous hermeneutic interaction between the stakeholders and myself (Erlandson *et al.*, 1993). It is therefore important to acknowledge my reflexivity in the study and understand that the findings are not absolute or inviolable facts; rather they are socially constructed through the continued interaction between myself and the study's participants (Jamal & Hollinshead, 2001).

Method: I am using a case study research method. Stake (1998) distinguished between three types of case studies: *intrinsic case* study where researchers use it to enhance their understanding about particular case, *instrumental case* study where researchers apply insights from a case to issue or refine a theory; and *collective case,* which is an instrumental study that is extended to several cases. In my study I am using the case of the THC for its instrumental value to conduct an evaluation and explore the role that state historic preservation offices in the US can play in enabling sustainable development in historical settings. However, although the study is used for its instrumental value, the attempt is not to generalize because "the purpose of case study is not to represent the world, but to represent the case" (Stake, 1998). And, through this case study, the reader can gain certain insights about the study under investigation and decide their transferability to his/her other contexts.

Using a case study in evaluative studies allows us to address three objectives: 1) provide an in-depth description of the study; 2) explore the experiential perspectives in the context of the investigated phenomenon, and 3) focus on the essentials while discarding the remainders (Guba & Lincoln, 1981). Realization of these goals, of course, depends on making a proper selection

for the case study (1998). The case of the Texas Historical Commission has been chosen for this study. A brief description of the case and the rationale for its selection is provided in the following section.

3.3. Study Location: Texas Historical Commission

The THC is the State Historic Preservation Office in Texas and is located in Austin, Texas. The Texas State Legislature established the agency in 1953. It now includes about 100 employees who work in various fields, including archeology, architecture, history, economic development, heritage tourism, public administration and urban planning (THC, 2005b). They work in seven main divisions: Administration; Archeology; Architecture; Community Heritage Development; History Program; Marketing Communications; and Staff Services. The Community Heritage Development Division consists of four programs; the Certified Local Government (CLG); the Main Street Program; the Heritage Tourism (and the Texas Heritage Trails program); and the Visionaries in Preservation program. The Texas Heritage Trails Program (specifically the Texas Forest Trail Region) and the Visionaries in Preservation (specifically Nacogdoches' Visionaries in Preservation community) have been chosen for this study.

3.3.1 Rationale for choosing the Texas Historical Commission

Although the THC is the State agency for historic preservation, its mandate also includes a heritage tourism component. In 1997, the Texas legislature charged the THC with promoting Heritage Tourism in the state. They, with other government agencies[12] signed a Memorandum of Agreement (MOA) and developed a model of tourism strategy to coordinate the marketing

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[12] Other agencies are the Texas Economic Development (TED), Texas Department of Transportation (TxDOT) Texas Parks and Wildlife Department (TPWD), and Texas Commission on the Arts (TCA)

responsibilities between these agencies. According to this strategy, the THC is responsible for managing the heritage type of tourism (TED, 2005). Thus, the Heritage Tourism program has been established in the THC to be a regional initiative where local preservation efforts are combined with statewide marketing of the areas as tourism destinations to increase visitation to cultural and historic sites and bring more dollars to Texas' communities (THC, 10.08.05).

The THC was chosen because it fits a number of criteria. Other states lack some or all of the following criteria because heritage tourism is not administered by a historic preservation agency (see Appendix B):

- The THC is mandated to establish a partnership between the preservation and tourism communities and to work cooperatively with other tourism-related government agencies.

- The THC is charged with coordinating heritage tourism at the state, regional and local levels. The Heritage Tourism Program was launched to coordinate heritage tourism efforts at the state level. The Texas Heritage Trails program was established in 1998 to involve ten heritage trails coordinated by regional coordinators. The Visionaries in Preservation Program is another program within the Community Development Division, which was activated in 1999 to work with communities to develop preservation and tourism plans at the local level. Having this collection of programs will allow me to investigate the HP-HT relationship as it is functioning between these three levels—an important aspect for studying their integration in heritage management.

- The THC has received awards for its tourism-related accomplishments. The Texas Heritage Trails Program recently received the *Preserve America* Presidential Award, presented in a special White House ceremony.

So, both the THTP and the VIP are exclusively THC's initiative programs structured to integrate historic preservation with heritage tourism. To achieve my goal of exploring the role that state historic preservation offices can take in enabling sustainable development in heritage areas, I will conduct an effectiveness evaluation for these two programs; the THTP and the VIP. According to Guba and Lincoln (1981) effective evaluation can be used for evaluating programs based on the constructivist approach because it allows collecting *in situ* information that illuminates the claims, concerns and values of stake-holding groups participating in specific program activities. Nevertheless, this evaluation is not made for the sake of assessing the overall impact of the programs. Rather, it is a formative evaluation that will potentially contribute to improvement and refinement in the operations and performances of the agency.

3.3.2 Choosing the TFTR and the VIP programs

Focus on the Texas Heritage Trails Program and the Visionaries in Preservation program allows me to investigate the horizontal relation between historic preservation and heritage tourism because both programs include historic preservation and heritage tourism components. It also facilitates investigation of the interactions between levels, since both programs are state initiatives with one regionally-based (the THTP) and the other locally-based (the VIP).

My main concern in selecting the cases was to look for an active regional trail that includes an ongoing VIP community. The Texas Heritage Trails Program currently includes ten regions: Plains Trail, Forts Trail, Lakes Trail, Forest Trail, Brazos Trail, Independence Trail, Tropical Trail, Hill Trail, Pecos Trail, and Mountain Trail. The Texas Forest Trail Region was chosen because the city of Nacogdoches hosted a visioning process that was scheduled in the

same time period as my research study[13]. In addition, the Forest Trail was an appropriate choice for the study because the organization has been established for five years. This is a good time frame of assessing its accomplishments and understanding how the interactions have been carried out between the historic preservation and heritage tourism entities on the one side, and between the different levels of government on the other side (the Forest Trail as a regional organization and the state agency, localities and the public). Figure 3.1 shows the relationships.

State level → Heritage Tourism Program
(Texas Heritage Trails Program)

↓

Regional level → Texas Forest Trail Region

↓

Local Level → City of Nacogdoches
(Visionaries in Preservation Program)
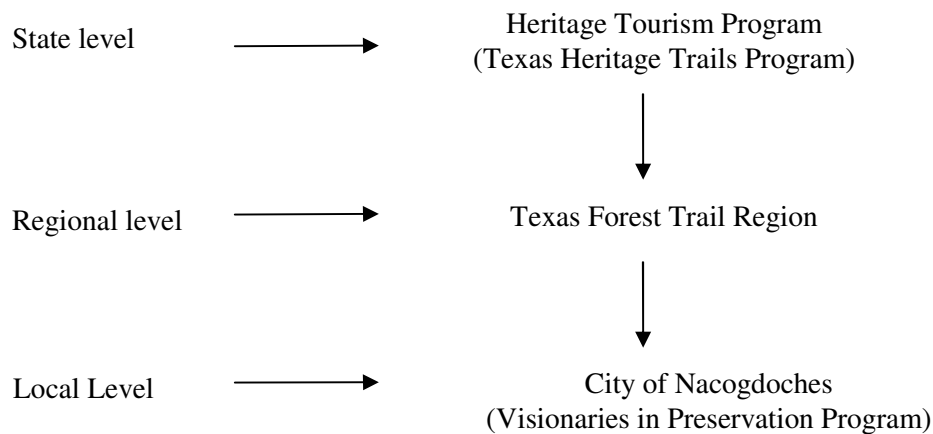
Figure 3.1 Cases chosen for the research

3.3.3 Entry conditions and building trust

Gaining entry to the research site is an important aspect for initiating an evaluative study (Erlandson *et al*., 1993) because evaluations always have a political stance (Guba & Lincoln, 1981) and thus evaluators are generally considered a threat, especially for policymakers (Murphy, 1980). The researcher role is to establish relationships with the agency officials and

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[13] Mount Vernon in the Forest Trail was also undertaking a VIP process, but it is a county case, which is not a level of concern in my study.

explain the purpose of evaluation. However, the researcher should be very careful in deciding how and with whom to establish relationships, because it will affect the subsequent decisions about the research design (Erlandson *et al.*, 1993).

My first interaction with the THC personnel occurred in the Fall of 2005 when I was working on an inventory project for the historical properties in the city of Hearne, Texas. Two THC's staff members from the Architecture division and the Visionaries in Preservation program were invited to Hearne to meet with the director of the Chamber of Commerce. During this visit my Co-chair and I met with them to inquire about the inventory process for Hearne. This meeting established a basic understanding about the agency and its activities.

Active interaction with this agency and its diverse programs included visiting their website to collect more information about the agency and registering my name in their heritage tourism list serve to be updated with the agency's activities, especially those related to heritage tourism. In April 2005 I attended the THC's annual conference held in Austin. During this conference I had the opportunity to hold discussion with state coordinators of the Heritage Tourism Program and the Visionaries in Preservation Program. I discussed my research interest with them, and they expressed their willingness to cooperate because they believed the results would be informative for the programs. Through these two key gatekeepers, I gained entry to this agency to study its programs relating to historic preservation with heritage tourism.

3.4. Data Collection Methods

Data gathering focused on information that would assist in constructing realities as furnished by the stake-holding groups (Erlandson *et al.*, 1993). The information came in several forms: descriptive information and information responsive to concerns, issues, values and standards of the subjects (Guba & Lincoln, 1981). I used three methods to gather the data:

document search, in-depth interviews, and observation. Initially, the research was designed to use only documents and interviews. But the scarcity of information (specifically in the VIP program) fostered the use of the observation. The circumstances are presented in more details under the observation section. What follows is a description of how and when the three methods were used.

3.4.1 Document search

Hakim (1987) and Murphy (1980) pointed out the importance of using documents in examining programs because these help understanding the milieu within which the program operates. Such documents provide information about the policy processes, institutional structures, policies, strategies, plans, and legislation. Patton (1990) called attention to the importance of accessing programs documents at early stages of the research as a means to provide the researcher with information about issues that took place before the study started. Furthermore, it provides a base upon which the researcher can build interview questions. As stated by Hakim:

> Program documents provide valuable information because of
> what the evaluator can learn directly by reading them; but they
> also provide stimulus for generating questions that can only be
> perused through direct observation and interviewing. (Hakim,
> 1987: 233)

Document search and analysis for this study started in October of 2005. The documents were important for two main purposes. First, the documents helped build initial knowledge about the THC as well as the Texas Heritage Trails Program and the Visionaries in preservation Program. The evaluative studies and assessment (the evaluative study done by the National Trust in 1994 and the self evaluation studies done by the THC in 1980 and 2005) were important

secondary sources. They helped to outline the THC's general approaches and concerns[14]. Also, the documents generated an initial understanding about the public's perception about the THC. Second, the documentary search and analysis was used to conduct the initial stages of the open coding in order to identify incidents and events that can be coded under specific categories. Such categories were broadened with more investigation through the interview questions and sometimes through my participant observation; both of these processes took place starting in February of 2006. Once the information was gathered, it was re-examined to identify a higher level of selective categorization (i.e., identify core categories).

In some cases the document analysis was made after specific issues were addressed in the interviews, such that content analysis for the documents and the interviews was occurring in an iterative manner. The analysis chapter (Chapter IV) illustrates how this iterative process was occurring throughout the study. Table 3.1 provides a list of the documents used in the study.

These documents were collected in two stages, prior to and during the investigation. Prior to starting the investigation, government documents accessible to the public were obtained from sources in the THC. The staff of the Heritage Tourism Program and the Visionaries in Preservation program provided program-related documents and some internal documents including annual reports, program fact sheets, strategies, operational plans, organizational charts, cases, and guidebooks. I was able to collect these documents during visits to the agency and others were sent by mail or as email attachments. Also, I found valuable assessment reports that evaluated the agency's performance in the THC library.

During the investigation the search for the documents was guided by the emerging design. Through the interviews, other documents were discovered that were valuable for informing the study and its design. These included staff diaries for the Texas Forest Trail

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[14] In the self evaluation the THC tries to justify the importance of its programs to the Texas legislature.

Region, meeting agendas, notes on meetings, logs and telephone calls, and organizational

structure and strategies. Other documents were gathered in Nacogdoches meetings and

workshops. They include exercises, presentation outlines and summary sheets.

Table 3.1 Documents used in the study analysis

Title of the document	Source	Year
Five Guiding Principles for Successful and Sustainable Cultural heritage Tourism (NTHP, 10.07.05)	National Trust for Historic Preservation (NTHP).	
Strategic Tourism Plan- Fiscal year 2005 (TED, 2005)	Texas Economic Development (TED).	2005
Texas Heritage Trails Program-FY 2005 Work Plan (THTP, 2004)	Texas Heritage Trails Program	2004
Historic Preservation: the Past for the Future: A Strategic Plan for the Texas Historical Commission, 1995-1999 (THC, 1994)	Texas Historical Commission	1994
Agency Strategic Plan for the 1997-2001 Period (THC, 1996)	Texas Historical Commission	1996
Texas Historical Commission Biennial Report- Breaking Out of the Box: New Approaches to Historic Preservation (THC, 1994/1996)	Texas Historical Commission	1996/7
Texas Historical Commission Strategic Plan for the Fiscal Years 1999-2003 Period (THC, 1998) (THC, 2000)	Texas Historical Commission	1998
Agency Strategic Plan for the Fiscal Years 2001-2005 Period (THC, 2000).	Texas Historical Commission	2000
Partners of the Texas Historical Commission	Texas Historical Commission	2002
Is Heritage Tourism Right for Your Community? (THC, 10.08.05)	Texas Historical Commission	2002
Examples of Roles and Responsibilities of Board and Coordinator- Texas Heritage Trails Program (THC, 2002a)	Texas Historical Commission	2002
Preserving Our Heritage: A Statewide Plan for Texas (THC, 2002b)	Texas Historical Commission	2002
Texas Forest Trail Region: A Site assessment and Evaluation for the Texas Heritage Trails Program (THC, 2002c)	Texas Historical Commission	2002
Statewide Organizational Structure- Texas Heritage Trails Program. Texas (THC, 2002d)	Texas Historical Commission	2002
Regional Coordinator Duties- Texas Heritage Trails Program (THC, 2003a).	Texas Historical Commission	2003
Regional Coordinator Performance Evaluation-Texas Heritage Trails Program (THC, 2003b)	Texas Historical Commission	2003
Texas Historical Commission Biennial Report 2003-2004 (THC, 2004/2005)	Texas Historical Commission	2004/5
Community Heritage Development Division. (Fact Sheet) (revised) (THC, 2005a)	Texas Historical Commission	2005

Table 3.1 Continued

Title of the document	Source	Year
Texas Historical Commission Divisions (fact sheet) Revised (THC, 2005b)	Texas Historical Commission	2005
Texas Historical Commission Self-Evaluation Report (THC, 2005c)	Texas Historical Commission	2005
The Forest Trail Region- Gateway to Texas (brochure) (THC, 2005d).	Texas Historical Commission	2002
Visionaries in Preservation Process Guide (THC, 2005e)	Texas Historical Commission	2005
Visionaries in Preservation Program (Fact Sheet). Revised (THC, 2005f)	Texas Historical Commission	2005
Grant Application for the Texas Forest Trail Region (TFTR, 2000)	Texas Forest Trail Region	2000
Texas Forest Trail Region Strategic Planning Meeting (TFTR, 2001)	Texas Forest Trail Region	2001
Texas Forest Trail Region Strategic Planning Meeting (TFTR, 2002)	Texas Forest Trail Region	2002
Texas Forest Trail Region Strategic Planning Meeting (TFTR, 2003)	Texas Forest Trail Region	2003
Texas Forest Trail Region Strategic Planning Meeting (TFTR, 2004)	Texas Forest Trail Region	2004
Texas Forest Trail Region Board of Directors (TFTR, 2005a)	Texas Forest Trail Region	2005
Texas Forest Trail Region Strategic Planning Meeting (TFTR, 2004)	Texas Forest Trail Region	2005
Assessment Report: Texas Historical Commission (Willis, 1994)	Texas Historical Commission	1994
VIP exercise for identifying issues and concerns	Texas Historical Commission	2005
Visionaries in Preservation for the city of Marshal	Texas Historical commission	2004
Visionaries in Preservation for the city of Jefferson	Texas Historical commission	2005
Meeting agenda for the Forest Trail Region (2006)	Texas Forest Trail Region	2006
Community Visioning: Planning for the Future in Oregon's Local Communities (Ames, 1997)	Ames, S	1997
Visionaries in Preservation for the city of Marshal	Texas Historical commission	2004
Visionaries in Preservation for the city of Jefferson	Texas Historical commission	2005
Meeting agenda for the Forest Trail Region (2006)	Texas Forest Trail Region	2006
Community Visioning: Planning for the Future in Oregon's Local Communities	Ames, S	1997

3.4.2 Observation

As noted above, the observation method was not included in my initial research design.

However, after conducting a preliminary documentary search for the VIP Program, very little

information was available to enhance a comprehensive understanding about the nature of this program, its activities and operation. During the first visit to the agency in October of 2005, a VIP staff provided three types of documents: 1) a fact sheet for the program; 2) the VIP process guideline; and 3) some examples for VIP communities in Texas. These resources were not enough to establish a sufficiently sophisticated and accurate understanding of the program and its activities. For example, the VIP staff advised that the guidelines do not reflect the actual stages that are currently undertaken in facilitating the visioning process[15]. Also the documents did not provide enough information about the detailed components of each stage, issues of interactions, stakeholder participation, and the role and influence of the community on the plans—all of which are essential aspects of the study. The in-depth-interviews with the VIP staff were not expected to cover these issues because of the scarcity of the VIP staff[16] and also because the interviews were aimed to collect information about the program itself, its ideologies and interaction with the Texas Heritage Trails Program.

Observation was also unintentionally used while attending one of the Forest Trail Region meetings in Huntsville. The main reason for this meeting was to conduct an in-depth interview with the board chair who resides in Mount Vernon, a six-hour drive from College Station. It was thus more convenient to perform the interview in Huntsville. The board meeting was held in Huntsville on the 27th March 2006 beginning with a workshop session (10:00 to 11:30 am) and followed by the board meeting (12:30 to 2:00 pm). The study participant preferred to conduct the interview after the completion of these two activities.

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[15] For example the guidelines show that the visioning process starts with an analysis for strength, weaknesses, opportunities, and threats (SWOT analysis). A VIP staff member told me that they are not undertaking this analysis anymore. It was replaced by a question-leaded exercise that assists the community in identifying their main issues and concerns. Also, the arrangements of the meetings are different from what is provided in the guidebook.

[16] There are regularly only two staff members. A third was hired recently to replace a staff member planning to leave her job.

Patton (1990) demonstrates that researchers should consider two main issues during observation exercises. First, the extent of the researcher's participation must be evaluated, where it ranges on a spectrum from full participation to an on-looking observer—or as Erlandson *et al*. (1993) classified them: participant-observer or observation only. Second, of the researcher should consider whether the observation taking place is overt or covert observation. In overt observations, people know they are being observed whereas in covert observations, they do not. In my study I was a direct observer. My main concern was to observe the programs' activities and the interactions between its stakeholders. This observation was overt. The participants in the two programs were fully informed about my role and the purpose of my research.

The planning process for the Visionaries in Preservation in Nacogdoches was a seven-month process. I attended three sessions held at 6:00 pm on the last Mondays of February, March and April of 2006. Meetings and workshops were documented by videotape recording and photography. I obtained some of the materials distributed throughout the processes, including presentation notes, exercises, and summary sheets for the outcomes of the preceding meetings.

3.4.3 In-depth interviews

Interviews are the backbone of evaluative research (Guba & Lincoln, 1981). They allow the researcher to grasp the larger context of the phenomenon under investigation and help to determine key concerns of the respondents (Lincoln & Guba, 1985, as cited in Erlandson *et al*., 1993). In thus study, I sought critical and information-rich respondents (Patton, 1990) who provide data upon which to base the findings (Erlandson *et al*., 1993). The respondents were chosen to clarify incidents and happenings in the HP-HT relationship as it functions between the diverse levels. Interviews also filled gaps in information or elaborated on the issues and concerns

that were coded in documentary analysis or from previous interviews. Chapter IV illustrates how these incidents were occurring throughout the study.

The purposive sampling mainly encompasses public actors involved in activities related to the Texas Heritage Trails Program, the Texas Forest Trail Region program and/or the Visionaries in Preservation program. Ten in-depth interviews were conducted in the period from February 2006 to April 2006. Table 3.2 shows the profiles of the study participants at the various levels.

Table 3.2 Study participant profiling

Study participants	Main characteristics
State level	Tourism specialist/coordinator of the THTP program since 2002, set the current agenda for the program, and coordinates the THTP with the regions
	Historic preservationist, coordinates the VIP at the state level, and facilitates the VIP in Nacogdoches
	Historic preservationist and facilitates the VIP program
Regional level	Historic preservationist/the first coordinator for the Forest Trail, main link with the THC, and participated in a VIP program to present about HT
	Tourism specialist, main link with the THC, and active participant in Nacogdoches VIP process
	Heritage site manager and museum specialist and active participant in Nacogdoches VIP process
	CVB director and decision maker on the board/former board chair
	Chamber of Commerce and decision maker on the board
	Economic Development, and decision maker on the board/current board chair
	City manager and decision maker on the board/former board member

Three study participants were from the THC (the state level). They are a critical sample. One was from the THTP program and two from the VIP program. The THTP staff had the following characteristics that were needed in the study:

- The state coordinator since 2002 was the main person involved in delineating the ideology and operations of the program.

- A tourism specialist who coordinates the THTP at the state level assisted me in understanding how the THTP is connecting HP with HT through the THTP program.

- The THTP staff member coordinates the THTP efforts at the state level with those at the regional level. This helps in understanding the interactions between the state and regional level as portrayed in the THTP program.

The other two state respondents are from the VIP program. They had the following characteristics:

- They are preservationists. One is the state coordinator for the VIP program and the other is a program specialist. They help in understanding how they, as preservationists, tend to relate HP with HT.

- The two staff members facilitate the visioning process in Nacogdoches. Accordingly, they assist in understanding how the VIP program at the state level is coordinated with the local level.

Seven study participants are from the regional level representing different entities on the board. They have the following characteristics:

- Two are regional coordinators; one is former and the other is the current regional coordinator. Interviewing these two respondents is important because the regional coordinator is the main linkage between the region and the THC, so they help in understanding the coordination between the state and the regions as approached by the regional actors. Additionally, these two respondents participated in the VIP program; the former presented about HT in one of the communities and the other is currently involved in the Nacogdoches VIP planning process. Their experience with the VIP planning processes was helpful in understanding the coordination among the Forest Trail (as a regional initiative) and the VIP (as a local initiative).

- Five represent the different entities present on the board: a member of the Chamber of Commerce, a (former) CVB director, the economic development coordinator, the (former) city manager, and the heritage site manager (preservationist and museum specialist). The board members are the decision making body of the Forest Trail. Accordingly, it was important to understand how representatives from the five entities on the board affect the program approaches and operations in terms of: connecting HP with HT, stakeholder participation, collaboration between stakeholders, accountability to the agency, the public and marginalized groups, equity building, and planning processes.

Since the participants were closely involved in the two programs (the Texas Heritage Trails Program and the Visionaries in Preservation Programs) this purposive sample helped uncover the diverse concepts and issues related to the four umbrella categories identified at the beginning of the study: 1) approach to HP-HT relationship; 2) communication and coordination between sectors and between levels; 3) planning in terms of participation and processes; and 4)

sustainability approaches. Data collected from these ten purposive interviews were used along with the data gathered from the document analysis and observation to identify main themes, their categories, sub-categories and properties that assisted in building cohesive understanding about the HP-HT relationship as portrayed by the THC.

3.4.3.1 Generating the interview questions

Generally, interviews range from those that are structured to those that are open ended. I conducted semi-structured (guided) interviews guided by sets of questions and issues to be investigated. According to Patton (1990) guided interviews have several advantages. They give the researcher freedom to generate questions and develop new areas of inquiry through probing and asking questions that will elucidate particular subjects. They also help the researcher to conduct a systematic, focused and comprehensive interview that covers the issued to be explored. Finally they help the researcher accomplish the interview within the available time.

The questions were prepared in an iterative manner. Information gathered from literature, documents and previous interviews along with the observations from the VIP and the Forest Trail meetings assisted in developing the questions for each interview. The main body of the interview was structured to collect data related to behaviors, experience, opinions, values and concerns of the respondents, factual information, and demographic information, e.g. the respondent background and education (Patton, 1990). The questions were closely related to the research questions that investigate the existence and effectiveness of the HP-HT relationship.

RQ 1: What is the nature of the HP-HT relationship at the state level? (This evaluates the existence of the HP-HT relationship.)

RQ 2: How well do the relationships identified through question one enable the sustainable development and management of historical sites, properties and settings? (This evaluates the effectiveness of the relationship.)

With reference to the theoretical framework developed from the literature, the research questions addressed four main categories: 1) approach to HP-HT relationship; 2) coordination and communication (among and within levels); 3) planning (participants and processes); and 4) working within the wider context of sustainability. These four categories correspond to the concepts identified in the theoretical framework (Table 2.2). Table 3.3 illustrates the connection among research questions, theoretical framework concepts and propositions, and interview categories.

The first research question (existence of HP-HT relationship) is addressed by first category (i.e., approach to HP-HT relationship) and the rest of the categories focus on evaluating the effectiveness of the HP-HT relationship based on criteria of the holistic approach: 1) legitimacy and voice, 2) good governance, 3) coordination and communication, and 4) planning processes.

These four categories were used to frame all the interviews. However, standardizing the categories did not imply regimenting the questions addressed under each category. Rather, questions were asked according to concepts and themes emerging from the document analysis, previous interviews, and participant observation in the board meeting and the VIP planning process in Nacogdoches.

Table 3.3 Connection between the research questions, theoretical framework, and interview categories

Theoretical framework items	Related research question	Interview category	Issues addressed and its relation to the theoretical framework propositions
Holistic approach to sustainability	RQ (1) RQ (2)	Catgs. (1, 4)	• Discuss the approach for sustainable development (Based on prop. A) • Discuss the approaches for connecting historic preservation with heritage tourism (Based on prop. B) • Discuss the issue of interdisciplinary barriers (Based on prop C)
Legitimacy and voice	RQ (2)	Catg. (3)	• Discuss participation and involvement (Based on props. D, E, F, G) • Discuss empowerment for organizations and communities (Based on prop. H)
Good governance performances	RQ (2)	Catgs. (2, 3, 4)	• Discuss accountability to other organizations, to the public, communities, and all concerned stakeholders (Based on prop. I) • Discuss accessibility to the processes, information and institutions (Based on prop. J) • Discuss responsiveness of the THTP, the VIP, and the Forest Trail to the concerns and complains (Based on prop. K) • Discuss equitable distribution of benefits (Based on prop. L,M)
Coordination between levels	RQ (2)	Catg. (2)	• Discuss roles given to the regional organizations and local communities (Based on prop. N) • Discuss partnership between stakeholders (Based on prop. O) • Discuss community heritage plans (Based on prop. P)
Channels of communication	RQ (2)	Catg. (2)	• Discuss networking between stakeholders at each level and between levels (Based on prop. Q) • Discuss established mechanisms for communication (Based on prop. R)

Table 3.3 Continued

Theoretical framework items	Related research question	Interview category	Issues addressed and its relation to the theoretical framework propositions
Planning processes	RQ (2)	Catg. (3)	• Discuss considerations to the pros and cons of tourism (Based on prop. S) • Discuss attempts to seek the public input (Based on prop. T) • Discuss attempts to conduct comprehensive analysis (Based on prop. U) • Discuss the focus of the vision and mission statements (Based on prop. Y) • Discuss operations for developing goals and objectives (Based on prop. W) • Discuss operations for developing action plans (Based on prop. X) • Discuss established monitoring systems (Based on prop. Y)

3.5. Data Analysis

Data analysis was an iterative process that entailed literature review, interviews, and gathering of documents before and during the process, as well as participant observation. Coding and categorizing for the interviews and documentary evidences are used as the fundamental analytic process. Coding was inspired by Glaser and Strauss (1967), Glaser (1992) and Glaser and Holton (2004). I used the coding process only as a way to help me analyze my data. It provided a way to identify categories, properties, themes and the relationships between them that would eventually assist in building a clear picture and cohesive understanding of the phenomenon under investigation. The coding process used here progressed as follows:

First level: Open coding. This is a process by which each incident, action or interaction is coded into as many categories as possible. In this study, initial coding is done according to the evaluative theoretical framework developed prior to the field work. It was used to analyze the

interviews and available documents about the THC's Texas Heritage Trails and Visionaries in Preservation programs.

Second level: Selective coding for core categories. This is a process for identifying central categories that relate to many other sub-categories and their properties. Such categories are connected directly and meaningfully to the other categories, but they are broad enough to allow variation within the categories that can be subsumed under it. This implies an iterative process of working between the analysis and categories.

Third level: Development of patterns and themes. In this stage predominant categories and their properties are related and summarized to identify the embedded themes (underlying messages or stories). Seven predominant themes were identified by analyzing the HP-HT relationship as it operates between the three levels, including: 1) win-win relationship between HP and HT; 2) connection via programs; 3) creating self reliant bodies; 4) building mutual commitment between the THC and its partners; 5) coordination at the state, regional and local levels; 6) strategic planning for heritage management and 7) good governance in the THC's heritage management institutional structure. Each theme includes categories, subcategories, and their properties. In addition, descriptive codes for facts about the agency, the programs, and the interviewees (their background, positions, origins, etc.) were also applied. Table 3.4 shows the identified themes, with their categories, sub-categories, and their properties.

Table 3.4 Themes, categories, subcategories and properties identified

Theme	Category	Sub-category	Properties
Win-win relationship between HP and HT	Interdependent relationship between HP and HT		• Relating historic preservation with heritage tourism because they mutually benefit and support each other
	Economically based win-win relationship		• Relating historic preservation with heritage tourism to increase visitation and achieve economic development
Connection via programs	Types of programs		• The regional-based THTP and the locally-based VIP that includes historic preservation and heritage tourism components
	Connection between preservationists and tourism specialists		• Enabling interactions between the two sectors through their involvement in the programs to acknowledge their interdependency in heritage management
Creating self reliant bodies (empowerment)	Capacity building	Providing support	• Providing financial assistance • Providing training assistance • Providing connections and networking • Providing educational assistance • Providing technical assistance • Providing marketing assistance
	Leadership building	Establishing responsible stakeholder	• Giving stakeholders roles and responsibilities to participate in heritage management • Instilling confidence in stakeholder to do heritage management
		Ownership of the program and plans	• Allowing the communities to identify the agenda of their heritage management plans and programs

Table 3.4 Continued

Theme	Category	Sub-category	Properties
Building mutual commitment between the THC and its partners	Creating commitment	THC initiatives for creating commitment	• Visits to the communities and regions to discuss the programs and their benefits
		THC requirement for creating the commitment of the communities and regions	• Obtaining resolution from 75% of the counties within the region to permit participation in the THTP • Emphasizing the involvement of local officials in the VIP program
	Maintaining commitment	Keeping momentum with regions and localities	• The THC keeps continuous contact with regions to monitor their accomplishment • The THC keeps continuous contact and conduct visits to the communities to trace the accomplishment of the historic preservation plans
		Enabling seeding benefits	• The THC allows its partners to benefit from their participation in the THC's programs
Coordination at the state, regional and local levels	Partnership building between and within levels	Partnership at the regional level	• The THC partners with regional organizations through the THTP program • The regional organization allows partnership between communities within the region
		Partnership at the local level	• The THC partners with organized civic groups through the VIP program • The VIP program allows partnership building between the residents in a community
		Partnership with organized ethnic groups	• The THC partners take initiatives to establish partnership with organized ethnic groups • Existence of barriers in partnering with ethnic groups because of lack of willingness to partner with the THC.
	Coordination between levels	Identify roles and responsibilities of the three levels (state, region, localities)	• The THC identifies the roles of the heritage trails regions to coordinate them with those of the THC • The THC identifies the roles of VIP communities to coordinate them with those of the THC.
		Authority through coordination	• The THC validates the efforts of the regional non-profit organizations • The THC grants its partners at the regional level administrative authority to decide on the daily matters of the organization • Policy authority is unidirectional—the THC interferes in the region's agenda, but the reverse is not possible.
		Comprehensiveness in coordination between all levels	• Existence of coordination between the THC and its partners at the regional and local levels. • Lack of coordination between the regional and local levels because THTP and VIP operate in separate environments.

Table 3.4 Continued

Theme	Category	Sub-category	Properties
Coordination at the state, regional and local levels (continued)	Channels of communication	Communication and networking with partners at the regional and local levels	• Two-way communication between the THC and the regions through the regional coordinator • Communication between the THC and the regions occurs on administrative issues about the operation of the program and the organization • The THC is not open to communicate and network with the regions about their concerns and opinions. • Regional organization emphasized the importance of addressing their needs and priorities to the THC
Strategic planning for heritage management	Stakeholders participation	Diversity in participation for different levels, partners, interests, and cultural groups	• Absence of inclusiveness to the diverse entities, groups, and partners in THTP state strategic planning • Diversity is possible only geographically and for tourism-related interests in the strategic planning for the regional Forest Trail. • Placing emphasis on the participation of local authorities in the VIP to ensure its continuity and success • Lack of cultural diversity in the local VIP program • Cultural diversity is affected by barriers of consensus building, leadership demonstration, cultural traditions, and language barriers.
	Stakeholder influence in participation	Role of the THC and the regional board in the regional decision making processes	• The THC participate in the annual strategic planning for the regions • The THC's role is more than just fascinator—they actively influence the agenda of the regional strategic plans • The regional board have no influence over the annual regional strategic planning
		Role of the communities in the decision making	• Effective participation of the community to identify their issues and concerns in VIP visioning process
	Strategic processes	Perspective to tourism	• The THC and its partners have a positive perspective on tourism (revenue generator) that does not consider its impacts
		Strategic analysis	• The THC and its partners based their strategic plans only on SWOT analysis
		Vision and mission statement	• The THTP strategic plans at both the state and regional levels developed program-oriented vision and economic-centered mission statements
		Focus of the strategic plans	• The THTP strategic plans at the state and regional are tourism-focused • Lack of historic preservation influence because 1) the regional board is dominated by tourism-related entities and 2) the emphasis is on increasing visitation

Table 3.4 Continued

Theme	Category	Sub-category	Properties
Strategic planning for heritage management (continued)	Strategic processes (continued)	Approach for identifying goals of the programs	• Top-down approach for identifying the goals and objectives of strategic plans for the lower levels (the THC identifies goals of the regions) • Goals and objectives identified in the visioning processes are not used to inform the strategic plan at the regional or state levels despite the regional participation in the visioning processes • Concerns appeared about the need to bring the local issue to influence the regional and state strategic goals.
		Public input in the strategic plans	• The THC and its partners do not seek public input to inform the strategic plans. • The THC prevents public input in the first year of creating the regional organization in order to facilitate the creation of the regional agenda.
		Monitoring systems	• Continuous monitoring systems for the regional strategic plans included in each board meeting • Conducting goal-based monitoring to assess the accomplishment of the taskforces, regional board, and regional coordinator.
Good governance in the THC's heritage management institutional structure	Accountability	Relation in accountability	• The THC is accountable to the legislature advocacy to ensure the continuity of the heritage tourism program • The regional organization (the Forest Trail) is accountable to the state to ensure their continuous support and commitment • Absence of accountability to the public and societies
		Accountability to cultural groups	• The THC and its partners are accountable to the marginalized groups to assist them in their marketing strategies
	Equity and Fairness through good governance	Accessibility to the process and institution	• Accessibility to the board meeting is possible at the regional level • New stakeholders are welcomed to the regional board meetings to assist in the implementation of the strategic plans • Involvement of new stakeholders as decision makers on the board is limited
		Distribution of benefits	• The THC adopted *regionalism* approach to ensure fair distribution of benefits between the communities within the region. • Regionalism is possible only through marketing services • Absent communities from the regional board do not benefit from the other services provided by the organization

3.6. Trustworthiness of the Study

Data collection and their interpretation are undertaken mainly from a subjective stance. This implies the need to adopt procedures to continuously assess the interpretations and findings of the study. Such procedures are not used to justify the rigor of the findings, which is the issue of concern in the conventional paradigm. In the constructivist paradigm, the researcher seeks to build trustworthiness, authenticity, and ethics (Guba & Lincoln, 1981; Erlandson *et al.*, 1993). Issues of internal validity, external validity, reliability, and objectivity are treated by constructivists through credibility, transferability and reflexivity. When taken into consideration, such issues allow the production of findings that are plausible, context relevant and stable. Towards these ends, trustworthiness in this study is established by considering the following treatments.

Credibility (or internal validity as used in the conventional paradigm). This is the most important criteria for establishing trustworthiness. Credibility depends on the compatibility of the different constructed realities provided by the people in the context of the study. Accordingly, the objective is to gain a comprehensive interpretation of these realities. Another important aspect for building credibility is communicating the various constructions of reality back to the stakeholders in a form that will be affirmed by them. This is accomplished during the interviews; a respondent's answers are summarized and the major points are shared to ensure consistency in understanding.

Transferability (or external validity as used in the conventional paradigm). Guba and Lincoln stated that, "Evaluators ought not to think in terms of generalizations that have some kind of enduring truth. Rather they ought to think in terms of working hypotheses and of testing the degree to fit between the context in which the working hypotheses were generated and the

context in which they are to be next applied" (Guba & Lincoln, 1981). Thus, fittingness and transferability, rather than generalizability, are the main concerns in this study.

I kept a reflexive journal with weekly entries throughout the study as a means of supporting not only transferability, but also credibility and dependability of the study (Erlandson *et al*., 1993). A reflexive journal is a diary in which the researcher records his/her insights, thoughts, concerns, logistics and emerging methodological decisions.

Reflexivity. Another suggested method for judging the credibility or trustworthiness is reflexivity. Jamal and Hollinshead (2001) argued that reflexivity is more important than attaining objectivity, as emphasized in the conventional paradigm. Rather, reflexivity should allow the researcher to demonstrate to the reader how his/her own traditions, history and understanding of the research influenced the conduct of the study and the derived interpretations and meaning of the findings. This requires the researcher to bring his own interpretation into consideration in arriving at the socially constructed realties in the text. This means that the study findings cannot be seen as facts *per se*, but are constructed through the continuous interactions between the researcher, the study participants, the collected data and the reader of this study.

3.7. Ethical Considerations

A level of intrusion into the people's life and settings occurs when a researcher is utilizing interviews and observation participation techniques for data collection. Consideration was therefore given to five ethical matters. The first ethical consideration is to ensure that participation in the interviews is voluntary. The study participants were not obligated to participate in the study and no compensation was offered to them. They were also given the freedom to decline to answer any question or even to withdraw from the interview altogether. The second ethical consideration is maintaining the confidentiality of the data. The study

participants were promised that the recorded interviews and their transcripts would be kept in a secure place accessible only to me (the principal investigator). The third consideration is maintaining the anonymity of the participants. The names of the study participants are not used in the transcript or in the final reporting of the analysis and results. Instead I use the terms state study participant or regional study participant to refer to the participants at the state or regional level. The fourth consideration is to minimize disturbance to participants' routines. The scheduling and location of the interview was set up based on the needs of each of the participants. Generally, the interviews took place in the participant's office or in a conference room. During participant observation, I took a side location to minimize the level of disturbance during the visioning process. Finally, the interpretations and study results were offered to the participants.

3.8. The Context of the Texas Political System

Understanding the public policy in Texas requires first understanding the institutional framework within which political power is exercised and public policies are formulated and executed. This can be achieved through demonstrating two main contexts: the historical, socio-economic contexts.

Texans are a diverse people, and Texas has a rich multicultural population (Maxwell & Crain, 1992). Texas was originally populated by various Indian tribes. Over a dozen tribes lived in Piney Wood of East Texas. They were not welcoming to white Spanish settlers who encroached on their land. They thus entered into several struggles with the white settlers until the later won through numbers, advanced technology and the extermination of the buffalo (Bedichek & Tannahill, 1982). The first white settlement in Texas was comprised of Spanish settlers. Spanish colonization established five missions beginning in the late 1690s to extend Spanish

dominion and Christianize the Indians. These missions include: San Francisco de Los Tejas, which was built in 1690, and four other missions which were built in and around Nacogdoches and San Augustine. However, these missions were abandoned in 1776, and the white population moved to San Antonio, which was a halfway post between the East Texas missions and the Spanish presidios in northern Mexico (Bedichek & Tannahill, 1982).

In 1820 there were only three cities in Texas: Nacogdoches, Goliad, and San Antonio. A land developer named Moses Austin sought San Antonio to get permission to bring American colonists. His son Stephan F. Austin, along with other several impresarios as leaders and organizers, then undertook to colonize Texas. Between 1821 and 1836 the population of Texas grew from 7,000 to around 50, 0000. In 1832, Texas frontier character and its politics were affected by the frontier battles between Texas Rangers (armed with Colt's improved six-shooters) and seventy Comanches in a mounted battle (Bedichek & Tannahill, 1982).

During that period, difficulties arose between the Anglo-American and the Mexican authorities. The Mexican Congress enacted a law in 1830 that forbade further American settlers except in two colonies and imposed duties on all imports from the United States. The relations between Anglo settlers in Texas and the Mexican government continued to deteriorate, and war started. When the Texans moved from Gonzales to San Antonio in 1835, President Santa Anna marched the Mexican army to defend the Alamo. All Texan fighters were killed. After this fall and others, General Sam Houston took his army in 1836 and battled Santa Anna's force at the juncture of the San Jacinto River and Buffalo Bayou. Houston's force successfully attacked the Mexicans, and Texas celebrated its independence. This revolution resulted in increasing colonization to assert authority and provide enough people to defend its sovereignty. More European immigration was encouraged. Furthermore, the Texas government raised the issue of

annexation by the United States. It was accepted by the US Congress and Texas became the twenty-eighth state in the United States (Bedichek & Tannahill, 1982).

Texas' population continued to increase, and the percentage of slaves rose to 30 percent. By 1860, Texas cultural and social institutions had been formed and slaves and cotton were basic to the economy. Wealthy planters became very influential in their communities, and their influence allowed them to participate in political affairs. These political elites (conservative Democrats) gained control of the state government, and their domination of the political scene was furthered by discouraging persons outside the political elite from participating in the political process (Bedichek & Tannahill, 1982). Most of the Negro and Mexican-Americans remained employed as laborers. This created a heterogeneous population that handicapped and discriminated the minority ethnic groups, i.e., blacks and Mexican-American (Kraemer & Newell, 1983).

Texas, as other states in the US, used formal and private means to accomplish segregation. The African-American society was mistreated through these segregations[17]. Dealing with legal inequalities among social groups fostered hostility towards minority groups. This continued until after the Civil War.

Based on the seven abandonment made through court decisions and laws enacted by Congress, the states were required to consider individual liberty and/or perpetuate equality. The thirteen Amendment prohibits slavery and the fifteenth Amendment prohibits states from denying the right to vote to anyone because of race, color, or previous condition of servitude (Maxwell & Crain, 1992). Texas state courts refused to play a role in demanding desegregation. But in 1964, Congress enacted the Civil Rights Act, which allows the federal government to deny federal funds to segregated school districts. Also, the courts continued to issue orders

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[17] Examples of segregation practices include separation between blacks and whites in schools, restaurants, restrooms, theaters and most of the public facilities. The black were also given the most menial jobs.

requiring desegregation in public facilities and schools. Because of these two factors, Texas

eventually accepted integration in public facilities (Kraemer *et al.*, 1975).

As noticed above, the patterns of political culture in Texas were set during the state's

historical development that witnessed transition in history, economy, and society. McCleskey *et al.* (1975) summarizes six factors which affected this political culture. The first factor is the

heritage of ethnic and cultural heterogeneity. Different ethnic groups entered the state during its

formative years, diversifying its society, including: Indians, Spaniards, Mexicans, Anglos,

Germans, Blacks, and other groups. The second factor is the legacy of independence (Texas had

at various points been governed under six different flags: France, Spain, Mexico, Texas, the

United States, and the Confederate States). The third factor is the Old South and its way of life

that replicated the slave economy and plantation society. The fourth factor is the frontier.

Conflict between the Anglo on the one side and the Indians, Mexicans and each other on the

other side shaped the reality of the frontier. The fifth factor is the religious heritage. Religious

fundamentalism is the dominant tradition among Protestants, who always outnumbered

Catholics. Impacts of such factors can be seen in contemporary Texas. Ethnic pluralism is

affecting several areas in the societies. The frontier tradition survives in the class distinctions.

The heritage of Old South is reflected in racial intolerance. Such factors affect the current

approaches for public policy in Texas.

3.8.1 Policy and policy making in Texas

Much of public administration in Texas is the responsibility of the state administrative

system. The state administrative system used in Texas is known as the Commission or plural-

Executive administration (Benton, 1977). Bureaucratic agencies through this system are strongly

involved in public policy. However, such agencies need strong political support to increase

jurisdiction, influence, and prestige. Generally, agencies seek support from any of the following sources: clientele interest groups, the legislature, the chief executive (the governor) and the public. Clientele groups are the constituents that benefit directly from agency programs. Alliance between them and the agency grows as mutual convenience, power and prosperity increase. They share information, have common goals, exchange employees, and lobby together with the legislature for both the agency appropriations and government policies that favor the interest groups. Agencies seek powerful legislative allies to increase the scope of their duties, protect them from unfriendly interests, and appropriate funds for their operation. The legislature also needs the clientele support for campaign financing and supplementary incomes, especially since the legislature in Texas have low salaries. Accordingly, the agency, legislature and the clientele groups establish an interdependent relationship to support each other (Kraemer *et al*., 1975).

In some cases, agencies seek the governor's support. Alliance with the governor depends on the power of the later and the efforts of the agency in finding other powerful political allies. In other cases, the agency seeks public support, specifically when the agency wants to increase its area of jurisdiction (Maxwell & Crain, 1992; Kraemer & Newell, 1983). Although agencies seek public support, it is argued that bureaucratic agencies seek increased importance, growth, and appropriations and respond to their own internal needs rather than to the interests of the public (Maxwell & Crain, 1992: 215).

Establishing the bureaucratic agencies is accompanied by the problem of administrative accountability. These agencies must seek political support to be able to accomplish their goals, gain appropriations, and even survive as an entity (Kraemer *et al*., 1975). Two approaches are used to ensure citizenry accountability: elective accountability and legislature accountability. Elective accountability requires agencies to be sensitive to the needs of the public through being accountable to their elected representatives (e.g. the governor, attorney general, treasurer, etc.).

This approach is not used in Texas agencies for two reasons: first, because of the difficulty in determining the needs and interests of so many divergent groups with different, and even conflicting, interests; second, because of the invisibility of elected executives (Maxwell & Crain, 1992). Because of these difficulties, Texas agencies seek the second type of accountability: legislative accountability.

Legislative accountability is justified since the legislature is perceived as the branch of government closest to the people. Different techniques were established to ensure accountability to the legislature. The Texas legislature established a Sunset Advisory Commission to evaluate the agency's programs and provide recommendations on the termination or continuation of the state's agencies, boards and commissions (Maxwell & Crain, 1992). Although accountability to the legislature is important, its relevance to the public is questionable. Maxwell and Crain (1992) argued that legislatures tend to operate separate from the public because their judgment is affected by financial conflicts of interests and because of the close environment within which decisions are made by the legislature in the name of the public. Lack of accountability to the public is reflected in the distribution of powers that influences public policy in Texas and the public participation in public policy.

3.8.2 Powers influencing public policy in Texas

Conflict in Texas is mainly caused by the differences among various interests. Most influential interest groups in Texas have organized because of conflict over economic interests and to seek tangible economic gain from the political system (Kraemer & Newell, 1983; Maxwell & Crain, 1992). Interest groups in Texas take several forms, including: business, professions, agriculture, labor, ethnic groups and other groups. Business, professions and agriculture groups exert pressure on government policymaking to provide a variety of

government programs that benefit their special interest. Labor and ethnic groups remain small, scattered and weak. The interests of labor groups, for example, are considered only when their demands coincide with those of important groups in business.

The interests of ethnic groups did not take an influential effect until the establishment of powerful organizations, specifically the National Association for the Advancement of Colored People (NAACP). This organization had attained important accomplishments in public policy, such as the right to vote and equality in hiring, promotions and educational opportunities (Maxwell & Crain, 1992). Initially, the Mexican-American organization had less influence on public policy because of the competing nature of these organizations. But later, the Mexican group established their legal organization (the Mexican-American Legal Defense and Education Fund (MALDEF) to emphasize the need for representation of Mexican-Americans in the institutions of local governments (Maxwell & Crain, 1992). They were able to increase the level of their representation and to establish organized leadership. Since 1983, Mexican-Americans have created the Mexican-American Legislative Caucus, enabling them to participate in Texas Legislation. They have therefore become a major political force in Texas politics (Momayezi, 1992).

Legally, all these groups have equal opportunity to affect public policy in Texas. However, practically there are other factors that are not equally distributed between these groups and thus affect their level of policy influence. Such factors include extensive political experience, large scale financial resources for political actions (e.g., lobbying and manipulation of public), a reservoir of skilled political leaders that can deal with legislators, and the social status necessary to gain respect from public officials. Based on these criteria, the existing political system benefits powerful people inside and outside the system (Davis, 1992). The interests least able to compete in Texas politics are the two ethnic groups in the state's

population: African-Americans and Mexican-Americans (Maxwell & Crain, 1992). Maxwell and

Crain (1992) argue that limiting the influence of such groups over policy making is affecting

democracy in Texas. They declared that:

> Whether the great inequalities in impact on public policy of various parts of the Texas population can be reconciled with democracy depends on what one means by democracy. If democracy implies only equality of legal status (the right to organize), then democracy is substantially in existence in Texas. If it implies equality of opportunity to influence the public policies that affect one's life, then it is debatable whether democracy exists in Texas today. If it implies equality of benefits from the operation of those policies, then such equality is obviously not found in the state (Maxwell & Crain, 1992: 141-142).

Public participation in political processes is enabled through adopting an openness

approach that is achieved with open meetings where the general public is invited to participate

and making government records available to the public. Public participation is also encouraged

through voting. Current legal qualifications for voting include the following: (1) a citizen of the

US; (2) at least eighteen years of age; and (3) a resident of the state and of a county eligible to

register and vote in Texas. However, low voter participation has been witnessed in Texas.

Maxwell and Crain (1992) pointed out that this is affected by factors related to political culture,

socio-economic, and political structure in Texas. In terms of the political culture, Texas is a

mixture of traditionalistic and individualistic political culture that both do not encourage

participation. The traditionalistic culture sees politics as the special preserve of the social and

economic elites. The individualistic culture on the other hand blurs the distinction of economic

and political life. It tolerates conflicts of interests. Socioeconomic factors include ethnicity,

education, and income factors. Political structure factors include the complicated political

structures that provide numerous public offices and numerous constitutional amendments that

overwhelm the public in the voting process. With these diverse limitation and restrictions placed on voting, public participation in the political processes is weak in Texas.

The above discussion furnishes a landscape for understanding the public policy trends in Texas. Understanding and discussing such issues is not easy for me since I am from a country that has social, cultural and economic contexts different of those in Texas. Initially, my intention was to focus my research on heritage management in Jordan (my home country), which is mostly economically oriented. Through my first year of study, I worked on a heritage inventory project in one of Texas' rural communities (the City of Hearne). This assisted me in understanding the political complexities and realities of heritage, especially in a multi-cultural setting like the state of Texas. This growing interest changed the orientation of my study to focus on issues related to social and cultural aspects of heritage management. I thus took the case of the THC and investigated its heritage management efforts. Heritage management, according to this study, is meant to present the relationship between the two interest groups involved in heritage management: historic preservation and tourism planning. Operationally, heritage management can be defined as the process of relating historic preservation with heritage tourism. The following section is a discussion of the implications of governmental public policy on heritage management approaches in Texas.

CHAPTER IV

ANALYSIS OF THE HP-HT RELATIONSHIP

4.1. Introduction

This chapter is composed of two major parts. Each part addresses one of the research questions. The first question seeks to understand the existence of the HP-HT relationship in the THC: what is the nature of the HP-HT relationship at the state level? The discussion of the HP-HT relationship presents the analysis for this question. It includes two main themes: 1) there is a win-win relationship between HP and HT; and 2) these are connected via programs. The second part analyzes the effectiveness of the HP-HT relationship in order to answer the second research question: how well does the relationship enable the sustainable development and management of historical settings? This question is discussed under the topic decentralization and includes five main themes: creating self reliant bodies (empowerment); building mutual commitment between the THC and its partners; coordination at the state, regional and local levels; strategic planning for heritage management; and good governance in the THC's heritage management institutional structure. These themes were identified in the study to show a THC approach for managing Texas heritage through the hierarchal institutional structure set up by the THC: starting from the state government, on to the regional, and down to the local level. Content analysis was done on the THC documents and the interview transcripts, and the participant observations were used to assist in presenting the structured realities that were formulated through the iterative process of data collection and data analysis. A detailed description for the VIP visioning process in Nacogdoches is provided in Appendix M.

The themes and their categories, sub-categories and properties are presented in Table 3.4 Segments of this table are repeated throughout the chapter to facilitate tracing the evolution of the analysis. The rationale for identifying each theme and its properties is also discussed.

4.2. The Historic Preservation-Heritage Tourism Relationship

In 1987, the National Trust for Historic Preservation created an assessment program entitled The Community Preservation Organization Effectiveness Program to enhance the ability of State Historic Preservation Offices to achieve historic preservation in their communities. The THC was the first agency to participate in this program (Willis, 1994). Comments were sought from the preservation community and the THC staff about the agency's effectiveness in terms of its mission, leadership, accessibility to its various services, communication and partnership with relevant local, state and national groups.

One of the main concerns addressed in this assessment was the perception that the THC was not relevant to the needs of the state, including education, crime, jobs and economy. The THC's standards were said to be physically-oriented, not concerned with economic development, and did not contribute to improving the quality of life in Texas (Willis, 1994). The THC response to such claims appeared in the following year in the 1995-1996 Texas Historical Commission Biennial Report "Breaking out of the Box: New Approaches to Historic Preservation" which suggested a new direction for heritage tourism (THC, 1994/1996). It used heritage tourism to demonstrate the positive economics of historic preservation. Since then, the agency has worked closely with other state agencies such as the Department of Commerce; Texas Park and Wildlife Department and Texas Department of Transportation. It has also compiled a heritage tourism guide for Hispanic Texas: a Historical Guide (University of Texas, 1992, as stated in Willis, 1994).

These efforts were expanded in 1998 when the agency announced the commencement of its Heritage Tourism Program and THTP. THTP is described as "a regional initiative that combines historic preservation and tourism" (THC, 2005c: 54).

As a state agency for historic preservation, the addition of a heritage tourism program in an organization structured, created, and mostly funded by the National Park Service, which emphasizes the maintenance and protection of the national historical settings and properties, created an unfamiliar situation. Accordingly, it is important to understand how the THC sought to correlate historic preservation with heritage tourism and investigate the nature of this relation. Content analysis for the THC documents and the interviews was used to understand this relationship. Two themes were identified from this analysis: a win-win relationship exists between HP and HT, and a connection can be forged through programs that incorporate each of them (Table 4.1). The win-win relationship subsection describes the THC's philosophy for connecting the two entities, and the connection through programs section discusses how these entities were brought together.

Table 4.1 'Win-win' theme and its categories, subcategories and properties

Theme	Category	Sub-category	Properties
Win-win relationship between HP and HT	Interdependent relationship between HP and HT		• Relating historic preservation with heritage tourism because they mutually benefit and support each other
	Economically based win-win relationship		• Relating historic preservation with heritage tourism to increase visitation and achieve economic development

4.2.1 Win-win relationship

THC describes intertwining historic preservation with heritage tourism as a win-win opportunity (THTP fact sheet). This description became the subject of question 3 in the interviews, as illustrated in Appendices C to L. It was found that relating historic preservation with heritage tourism has two characteristics: interdependent relationship between HP and HT, and an economically-based win-win relationship.

4.2.1.1 Interdependent relationship between HP and HT

THC described this relationship as a win-win relationship because it recognizes the interdependent relationship between the two major entities involved in heritage management; historic preservation and heritage tourism. Both entities are mutually supporting and beneficial to each other. As stated by a state study participant:

> I know heritage tourism can't exist for me without historic preservation because if you don't have your preservation policy then…you're going to lose those sites…[and] your heritage tourism component to it. So it's absolutely win-win (interview 02.14.06).

And another state study participant affirmed this interdependency through stating:

> We want to preserve and protect them. But it's a vicious cycle. Preserve them and protect them and then you just do not promote them! Of course you have to promote them because you'll have the resources to maintain them in their really good pristine restored state (interview 02.14.06).

So, symbiotic relationship exists between historic preservation and heritage tourism as two major interest groups involved in managing historical assets of the THC. Unless the two entities understand and acknowledge their interdependent relationship, one or both of them will be a loser (creating a win-lose or lose-lose relationship).

4.2.1.2 Economically-based win-win relationship

It is an economically-based relationship because it assists in increasing visitation to

historic settings in Texas and thus enhances the economy of the state, regions and localities.

Quoting a state study participant:

> Economic development. We know that HP is an economic
> development. We also know that tourism is economic
> development. And what we have been able to do and I think
> very successfully is we've been able to meld those two
> industries, the preservation community and the tourism
> community together (interview 02.14.06).

It is clear that the THC sought to show the potential of historic preservation as an

engine for diversifying the economy in Texas. It achieved this through connecting historic

preservation and heritage tourism to mutually benefit and support each other. Besides enhancing

the economy, this connection encourages the preservation of Texas historical attractions as a

legacy for future generations and as a tourist destination. The question is: what did the THC do

to attain these economic and preservation needs? The subsection on connection given below

demonstrates the THC's efforts in this respect.

4.2.2 Connection via programs

Connection between historic preservation and heritage tourism is analyzed through two

main categories: types of programs that were created to achieve the connection and the

connection between preservationists and tourism specialists.

4.2.2.1 Types of programs

THC commenced the Texas Heritage Trails Program in 1998 to be a regional initiative.

In 1999, it launched the Visionaries in Preservation program as a community based program.

These two programs are housed within the Community Heritage Development Division, which works with communities and regions to revitalize historical assets and uses these assets to stimulate tourism and achieve economic development (THC, 2005b; THC, 2005c). THTP's philosophy is to combine the local preservation efforts with statewide product development and marketing of the areas as heritage regions in order to increase visitation to cultural and historic sites in order to bring more dollars to Texas communities (THC, 2005c). On the other hand, the Visionaries in Preservation program adopted the philosophy of empowering Texas communities to shape the future of their historic preservation efforts through visioning and planning tailored to achieve local preservation goals (THC, 2005c: 55). *Historic preservation plan* is used in VIP as an umbrella term that encompasses historic preservation, heritage tourism and economic development.

4.2.2.2 Connection between preservationists and tourism specialists

The Texas Heritage Trails Program pointed out in its strategic plan for the fiscal year 2005 that "[the Texas Heritage Trails Program] creates sustainable partnerships among preservation and tourism professionals" (THTP, 2004). The THC established the Texas Heritage Trails Program (THTP) and the Visionaries in Preservation program (VIP) as a venue for creating working relationship between the two main interest groups involved in heritage management; the preservationists and tourism specialists. This was affirmed by a regional study participant who is a tourism specialist but declared that the Forest Trail organization allowed her to interact with preservationists and understand the interdependent relationship between them:

> People [tourism specialists]…want to promote…But if you
> don't have those preservation people taking care of it, you don't
> have anything to share. So, we learned to appreciate those
> [preservation] people very quickly (interview 03.15.06).

Establishing the regional organizations to bring the two entities to work together in the regional organization enabled the preservationists and tourism specialists to acknowledge their interdependent relationship. This was vital, especially in rural communities that lack any other opportunities to amalgamate the different interests of the preservationists and tourism specialists. As the above study participant pointed out:

> But there was no place [like the Texas Forest Trail Region] in my opinion before, especially for small rural areas, to come together and tie the two together [historic preservation and heritage tourism] (interview 03.15.06).

And she added:

> So to me, the Texas Forest Trail Region created a new place for the two to come together, because I think they were very segregated. And it identified some common goals and encouragement and support for the two different sectors (interview 03.15.06).

While THTP allowed the connection between historic preservation and heritage tourism at the regional level, VIP initiative enabled this connection at the local level. Through this program the communities could plan for the future of their historic preservation and heritage tourism.

To summarize, two themes were identified for understanding the nature of the HP-HT relationship as approached by the THC: (1) there is a win-win relationship between HP and HT and (2) this connection can be established via programs. The THC sought to contribute to sustainable development in Texas by maintaining the built environment and meanwhile utilize it to ensure economical sustainability in Texas. It used heritage tourism as an appropriate venue for achieving that because heritage tourism can impact the economy and also promote preservation of Texas' historical inheritance. As such, these two entities have a symbiotic existence; the relationship between them is described as a win-win relationship. However, it is an economic

development relationship through which historic preservationists and tourism developers can partner with each other and with the THC to market historical areas as heritage tourism destinations.

The remainder of this chapter presents an analysis of the effectiveness of the HP-HT relationship in enabling sustainability in heritage areas. However, since the THC tended to manage this relationship through programs that operate outside the agency headquarters, it is important to assess the heritage management performances at the different operational levels of these programs i.e., the state, regional and local levels. "Decentralization in the THC's Heritage Management Institutional Structure" was used as a working heading to encompass the themes that will be analyzed to answer the second research question.

4.3. Decentralization in the THC's Heritage Management Institutional Structure

Unlike the other programs in the THC that operate on a project base, THTP and VIP programs are planning-oriented (THC, 2004/2006). The THC works with regions (through THTP) and with localities (through VIP) to plan historic preservation and heritage tourism. However, since involvement in these programs is based on volunteerism (THC, 1996/1997; THC, 2005c), THTP decided to build an organized structure that aims to provide a sustained and on-going heritage tourism program in the regions across the state (THC, 2000: 43) and VIP wanted to create organized civic groups capable of doing historic management at the local level.

THTP was therefore created as a regional system composed of ten regions covering the entire state. Each region is administered by a board of directors, regional coordinator and taskforces. The Visionaries in Preservation program also has a THC staff partner who organized the non-profit entity to assist them in crafting a historic preservation plan. Given that these two programs are directly connected with the THC, but operating at different level, it was important

to explore how the THC planned to set up the entities to manage historic preservation and heritage tourism at each level (the region and local) and to coordinate their efforts with each other and with the agency—the core subject of the second research question. Key concepts and issues that were addressed in the theoretical framework (Chapter II) are revisited to help in analyzing the THC's efforts in decentralizing heritage management. Some of these issues were de-emphasized according to the needs of the study.

Five themes have been addressed under decentralization. The first and second themes— creating self reliant bodies (empowerment) and building mutual commitment between the THC and its partners—demonstrate the THC's efforts in setting up its partner entities at both the regional and local levels. The third, fourth and fifth themes—coordination at the state, regional and local levels; strategic planning for heritage management; and good governance in the THC heritage management institutional structure—are used to analyze the roles of interactions between and within the partner bodies at the different levels. Each theme includes one or more of the concepts that have been identified in the theoretical framework along with new concepts and categories that were found throughout the conduction of the study. Information collected from documents, interview and participant observation assisted in this part of the study. The next sections illustrate how they were used to provide a clear picture of the THC efforts in its THTP and VIP initiatives.

4.3.1 Creating self reliant bodies (empowerment)

The concept of empowerment is a major issue in establishing well equipped bodies able to do heritage management at their levels and be active partners in the THC's heritage management institutional system. Based on the content analysis for the documents and interviews conducted in this study along with the participant observation in Nacogdoches

meetings, two categories were found under creating self reliant bodies: (1) capacity building; and (2) building commitment. The theme categories and their subcategories are shown in Table 4.2.

Table 4.2 'Creating self reliant bodies' theme

Theme	Category	Subcategory	Properties
Creating self reliant bodies (empowerment)	Capacity building	Providing support	• Providing financial assistance • Providing training assistance • Providing connections and networking • Providing educational assistance • Providing technical assistance • Providing marketing assistance
	Leadership building	Establishing responsible stakeholder	• Giving stakeholders roles and responsibilities to participate in heritage management • Instilling confidence in stakeholder to do heritage management
		Ownership of the program and plans	• Allowing the communities to identify the agenda of their heritage management plans and programs

4.3.1.1 Capacity building

THTP seeks to build regional systems that enable long-term continuation of the heritage trails regions and partnership with the THC (THC, 2005c). VIP works with communities to build organized civic groups capable of doing heritage management in their localities. Investigating the THC's efforts in establishing capable bodies at both the regional and local levels was the subject of category (3) in the interviews. It was found that the THC seeks capacity building mainly through providing supports to its partners.

4.3.1.1.1 Providing support

VIP program allows communities to benefit through their participation in the program in several ways. These include: (1) building partnerships among diverse groups and interests; (2) fostering preservation leadership; (3) developing unified preservation goals and action plans; (4)

receiving priority status for local training and assistance; and (5) enhancing their capability to secure grants and funds for preservation projects (THC, 2005c). To enable the communities to seed these benefits, the THC facilitates a series of local workshops to help the community in developing preservation action plans (THC, 2005e).

Providing training and financial assistance were described as the main two types of support that the THC provides to the communities to build their heritage management capacity. The VIP Program initiated a grant program in 2003 to assist communities in implementing priority activities in their action plan (THC, 2005c)[18]. A state study participant declared that these matching grants are provided for highest priority projects selected by the community, such as developing guidelines, creating ordinances, etc. (interview 02.14.06). As far as training support, the VIP fact sheet indicated that training assistance is provided to VIP communities as needed (THC, 2005f). This assertion was affirmed by a state study participant who stated that:

> And we give them [the community] training and expertise and
> directions on how to meet those goals [that are identified in the
> historic preservation plan] (interview 03.09.06).

However, the evaluative framework shows that capacity building and empowerment requires more than merely providing training and financial assistance. To address this, the content analysis was extended by interview question 3 as shown in Appendix F. The study participant added two other forms of assistance provided by VIP staff to the communities, including connection assistances and education.

VIP staff members are specialized in historic preservation and architecture. Recently, a new staff member jointed the program whose background is planning and law. Although these are important fields in developing preservation plans, implementing the plan might require other

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[18] The grant funds projects associate with the implementation of communities' preservation action plans. Allowable expenses include: consultation, bricks and mortar projects, start-up for revolving loans, and matching grants (THC, 2005c).

expertise, either from the same agency or outside it. In such cases, the THC acts as a mediator to

provide communities with contact information for other available and beneficial resources. As

stated by a state study participant:

> We've [VIP staff] taken out the goals that related specifically to
> divisions within the THC and given the communities specific
> contact people within the THC…and we've also given the
> people [in the]… THC...the names of the people in the
> community and their contact information and the specific goals
> so that they can …develop a relationship between each other
> (interview 03.09.06)

VIP staff realizes that communities need to be educated about historic preservation

before they start planning for their historic preservation future. As stated by a state study

participant:

> They need to be informed about the process if they're not
> educated about historic preservation…in general. And when I
> say historic preservation, I mean all the issues that fall
> underneath it. I mean public policy, education and
> communication, assets, heritage tourism (interview 03.09.06).

Through a personal contact with a state study participant she indicated that in the first

meeting in Nacogdoches (the kick off meeting) the staff showed a video about community and

choices to illustrate the connection between historic preservation and the community's economic

wellbeing (personal contact with a state study participant on 01.24.06). Additionally, through

participant observation at the second and third meetings in Nacogdoches, it was noticed that

most of the meetings were used for providing educational presentation to the communities. In the

second meeting, the staff presented "Preservation 101"[19] and in the next one they educated the

community about zoning, financial incentives, and signage and design guidelines. A state study

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[19] This presentation is mainly focused on the economic dimension of historic preservation and preservation treatment utilized in the US according to the Secretary of the Interior's Standards for the treatment of Historic Properties.

participant declared that this educational component is essential for creating skilled stakeholders

expert in heritage management issues:

> So we need to teach them what guidelines are and what they can
> do for the community. And the other thing that we encourage
> them to do is it's time for them to become the experts (interview
> 03.09.06).

The issue of empowerment and capacity building was mostly addressed in VIP

documents. Because of that, my intention was to investigate how the THC is seeking to build

capable bodies at the local level. After discovering these forms of support, the assistance

provided by THTP to its regional organizations (the Forest Trail) was also examined. The

documents and their website were accessed and it was found that similar assistance is being

given to the Heritage Trails. According to these documents, THTP assists the regions through

providing the following:

- Tourism evaluations of historic and cultural sites,

- Grants to fund a full-time regional coordinator for at least three years,

- Matching grants for projects that enhance the heritage tourism experience,

- Full-color regional travel brochure (approximately 500,000 copies),

- Advertising and media placements,

- Networking opportunities with other heritage tourism organizations (THC,
  accessed 10.08.05; THC, 2005c).

In addition to the above types of support, THTP provides its region with two other

important forms of assistances:

- Providing technical support—as already noted, THTP staff conducts an

  evaluative study to assess the visitation to the significant historical properties in

  the region[20].

- Providing marketing support—marketing assistance is provided through printing

  and distributing a full-color regional brochure and media advertisements. Also,

  the THC's website includes comprehensive information about each region in the

  state.

To summarize, the THC's efforts to build capable communities encompassed providing

several types of supports, including: education to create skilled communities, financial

assistance, training, technical assistance, connection and networking, and marketing. Such

support is indispensable, especially in the rural communities in Texas that lack some or all of

these essential needs for managing their heritage. As stated by a regional study participant in her

comment on the help provided by the THC:

> The Texas Historical Commission is one of the few state
> agencies that have come out knocked on the front door, get out
> of their desk in Austin. They came all the way to east Texas and
> say we can help you. Here's some money. Here is a structure.
> Here is a framework and if you plug in to this framework your
> community would benefit. There is not other state agencies that
> do that. The Texas Historical Commission came in and said: let
> us help you, and train you to help yourself. No other agency
> does that (interview 03.15.06).

4.3.1.2 Leadership building

Open coding for documents indicated that leadership and team building for localities and

regions are one of the issues that have been stressed by the THC in most of its strategic plans

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[20] An organized interdisciplinary team of historians, architects, museum specialists, tourism development
specialists and marketing specialists conduct intensive evaluations of the region's sites. The team develops
a comprehensive report for developing the region as a heritage tourism destination (THC, 2005c).

(THC, 1994; THC, 1996; THC, 2000; THC, 2002b). For example, the first goal of the statewide plan "Preserving our Heritage" stated the need to "develop and sustain exceptional leadership qualities in both public and private preservation organizations in the state of Texas" (THC, 2002: 25). Building leadership is mostly enabled through creating mechanisms to empower the groups and organizations to be effective partners and build on the agency's efforts. This is achieved through establishing responsible stakeholders and enabling ownership of the program and the plan.

4.3.1.2.1 Establishing responsible stakeholders

The guidebook for the Visionaries in Preservation process indicates that one of the components of the profiling meeting is to identify the structure and volunteers for needed taskforces (THC, 2005e). Through attendance at the Nacogdoches profiling meeting, it was observed that all the participants signed up for one or more of the taskforces that were identified according to the issues addressed by the community (Nacogdoches workshop on 02.27.06). As per the guidebook, these taskforces are responsible for the following tasks (THC, 2005e):

- Develop and complete a work plan that investigates critical preservation issues in the community,

- Determine the facts and issues critical to the community's understanding of local preservation,

- Identify the partners who will be critical to implementing the preservation action plan,

- Develop the vision and preservation plan.

The visioning process relies heavily on the local taskforces. Through these taskforces, the THC seeks to create local bodies able to take responsibility for managing their heritage. This was affirmed by a state study participant who described VIP philosophy as follows:

> It's enabling local folks to take care of their own issues within the community… and helping them take care of those problems (interview 03.09.06).

THC creates responsible stakeholders through identifying their roles and responsibilities for both the regional coordinator and the regional board of directors. The regional coordinator is the mediator between the THC and the regions, and the board is the decision making entity. They both also have administrative responsibilities[21].

Giving roles and responsibilities to the partner bodies is accompanied by instilling confidence that they are capable to manage their localities. This issue was highlighted through an interview with a state study participant who indicated that:

> So the force work expertise is local expertise. They're self empowered, to seek out the information and remedies to their issues. They're encouraged by us. They're definitely shown that they can do it and they have variables to solve their problems. They don't have to go to schools for it (interview 03.09.06).

This means that the THC seeks to supplement the diverse types of support provided to its regional and local bodies by creating motivated and confident partners. The document analysis and the insights gathered from the participant observation were reexamined and incorporated, along with the interviews, to present a clear picture about the THC's efforts for capacity building through instilling confidence. It was found that building confidence has two properties: establishing responsible stakeholders and allowing ownership of the program and the heritage management strategies, not just their implementation.

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[21] Detailed presentation for the different roles and responsibilities of the stakeholders in the regional organization is provided later in this chapter.

4.3.1.2.2 Ownership of the program and plans

When one study participant was asked about the factors that fostered the creation of the VIP program in the THC [see question 1 in Appendix G], he stated that the THC wanted to follow the "Portland Visioning Model" to get the communities involved in historic preservation. The Portland Visioning Model (or the Oregon Model) is described as a community governance model, which is a process through which a community imagines the future it most desires and then plans to achieve it. Through visioning, citizens come together to create a shared image of their preferred future; once this image has been created, they can begin working to achieve their goal (Ames, 1997). Based on that concept, the THC's VIP program was designed to allow communities to own the plans and the process. Through the Nacogdoches second meeting for profiling the issues, the community became involved in identifying their issues, subscribed to taskforces, and voted on the prioritized issues. These exercises instilled confidence in communities as the decision makers in the planning process. As stated by a regional study participant who participated in the VIP process:

> [the VIP staff member] did such a good job motivating the
> crowd and he really pointed you in the right direction but he let
> the people do the work. He didn't lecture. He said: come up
> with ideas. I mean it was on our heads to come up with the
> plan…it's coming from the community. It's not coming from
> the mayor or your state representatives…[or] the THC. It is
> coming from people (interview 02.28.06).

In summary, the THC uses two policies to create self reliant bodies: capacity building and leadership building. Capacity building enables through providing diverse types of supports and assistances to the regional and local partners. And leadership building is accomplished through two strategies. The first is establishing responsible stakeholders through giving them heritage management roles and responsibilities while ensuring their capability to accomplish these roles. The second is enabling localities to have control and ownership of their historic

preservation plans by allowing the participants to frame the agenda of their historic preservation plans. Besides creating self reliant bodies, the THC is concerned about building mutual commitment with its partners. The following analysis illustrates the THC's efforts for enabling commitment.

4.3.2 Building mutual commitment between the THC and its partners

This category was identified primarily from the interviews that were conducted with the state study participant. It was not addressed as a separate subject for a specific interview question. The content analysis for the transcripts of the interviews shown in Appendices C, F, and G helped in identifying this category and its properties. Other supporting evidence was sought from the THC's documents and through later participant observation. Two categories were identified under the building mutual commitment theme: creating commitment and maintaining commitment. Table 4.3 illustrates these subcategories and their properties.

Table 4.3 'Building mutual commitment between the THC and its partners' theme

Theme	Category	Sub-category	Properties
Building mutual commitment between the THC and its partners	Creating commitment	THC initiatives for creating commitment	• Visits to the communities and regions to discuss the programs and their benefits
		THC requirement for creating the commitment of the communities and regions	• Obtaining resolution from 75percent of the counties within the region to permit participation in THTP • Emphasizing the involvement of local officials in VIP program
	Maintaining commitment	Keeping momentum with regions and localities	• THC keeps continuous contact with regions to monitor their accomplishment • THC keeps continuous contact and conduct visits to the communities to trace the accomplishment of the historic preservation plans
		Enabling seeding benefits	• THC allows its partners to benefit from their participation in the THC's programs

4.3.2.1 Creating commitment

Prior to providing the communities or regions with any type of support, the THC seeks to obtain a commitment for organized involvement in the programs. It utilizes two strategies for creating commitment: the THC initiative for creating commitment and the THC requirement for creating the commitment of the communities and regions.

4.3.2.1.1 The THC initiative for creating commitment

Two of the state study participants demonstrated the importance of motivating the communities and the regions to get involved in THTP and VIP programs (interviews 02.14.06 and 03.09.06). To achieve this, the THC takes a proactive step and visits the communities or regions to encourage their participation in THTP or VIP programs. Before the inception of the Forest Trail region, the THTP state coordinator met with the regional board in Pittsburg, Texas, to discuss the THTP program, its nature, benefits and commitment (interview 02.14.06). VIP staff also met with city council members and the mayor in Nacogdoches to tell them about the nature, benefits and requirements for participating in the VIP program (interview 03.09.06).

4.3.2.1.2 The THC requirement for creating commitment

In order to ensure commitment to the THTP program, the THC requires the region to accumulate pass resolutions indicating their support for the program in 75 percent of the counties in the region (state study participant 02.14.06). The Forest Trail, therefore, contacted 35 counties searching for their support. As stated by a regional study participant in describing the history of the Forest Trail [see question 2 in Appendix J]:

> We have to prove this participation. So we had 35 counties
> [and]…we had to go into each county, identify a resource
> person, a contact person that would be willing to communicate
> with us. And then go to their local people and say can we
> commit to this project, can we support it? Then you have to go
> to your county court, the county commissioners and ask them to
> pass a resolution and the resolve that they would support it
> (interview 03.15.06).

In the Forest Trail grant application received on 04/2006 it was found also that the THC required local support for the Forest Trail Region (TFTR, 2000). County and local support was mainly needed to provide financial support for the organization after three years when the THC ends its financial support to the organization (TFTR, 2000).

The VIP staff expressed concern regarding mustering local support for different reasons. The VIP program emphasizes the involvement of members from the city council for two reasons: to accomplish the VIP planning process and to facilitate its implementation. A state study participant commented on the participation of the city council by stating:

> We've been much more insistent in this next round of
> application…In the past we've encouraged strong participation
> from planning and zoning, city council. We tried to emphasize
> that in our speech…that we're placing a lot of emphasis you
> know on getting those. We want a commitment that those folks
> would be there. We want it grass root, but if …folks [are] not
> going to listen, you ['re] just spending time and it's not going to
> get accomplished (interview 03.09.06).

So, the THC seeks to reach out to the people to build mutual commitment between them and the regions and communities. THTP and VIP state staff express their commitment to the communities and regions through taking initiatives to visit with them and discuss the characteristics of their programs and their benefits. Conversely, the communities and regions should be committed to the participation in the programs through sourcing financial support or through the involvement of the power holders in the city—the city council or the mayor. Their involvement is important for the success of the program and its accomplishments. However,

since VIP and THTP are volunteer programs, the THC looks for ways to maintain a long-term commitment. The following sections discuss the THC's efforts to sustain the localities and regions commitment.

4.3.2.2 Maintaining commitment

Through content analysis of the transcripts of the interviews shown in Appendices C, F, and G, two categories were identified for maintaining commitment, including: keeping momentum with the regions and localities, and enabling seeding benefits from participation. Through later interviews with regional study participant, probing questions were used to seek comments on their continuous commitment to serve on the board since its inception in 2000. This helped frame a complete picture about the properties of the maintaining commitment category.

4.3.2.2.1 Keeping momentum with regions and localities

Interaction of the agency with localities and localities or regions does not stop after the visioning planning process at the local level or the structuring of the organization at the regional level. Rather, continuous communication occurs in order to ensure the achievement of the initial goals for their participation. The THTP state coordinator, for example, stays in contact with the Forest Trail mainly through the regional coordinator. The coordinator traces the evolution and accomplishment of the board and its regional coordinator in a timely manner (interview 02.14.06). On the other hand, VIP staff maintains momentum with localities to monitor the implementation of the historic preservation plans. Monitoring is accomplished through continuous contact via telephone calls, emails or even visits to the site. As stated by a state study participant:

> Have…a six months check up with them and say how
> everything is going, what have you accomplished, what can we
> help you do from here…what don't you understand, what do
> you understand...we can ask them at that point…meet with the
> heritage tourism task force and say where have you been up to?
> Have you done these things? Do you need help doing these
> things? (interview 03.09.06)

4.3.2.2.2 Enabling seeding benefits from participation

Interviews with some of the regional study participants highlighted the importance of benefiting their communities through volunteering on the Forest Trails board. As stated by a regional study participant:

> No one does volunteer or give that thing…without benefits. So
> the benefits are the results (interview 03.15.06).

Most of the regional study participants advocated the benefits of marketing their destination, having information about grants sources, building networking and contact with other partners in the region, and building friendships. These benefits induced the long-lasting participation of the regional board members in the Forest Trail organization.

4.3.2.3 Summary for the themes *creating self reliant bodies* and *building mutual benefits*

The previous discussion illustrates the THC's attempts to build self reliant and empowered organized bodies at both the regional and local level to assist the THC in its heritage management efforts throughout the state. Four issues were addressed in this respect, building capable bodies, leadership building, creating and maintaining commitment. Under capacity building, it was found that the THC creates capable regional and local entities through providing different types of support essential to initiating THTP or VIP. It builds self reliant bodies through creating responsible and skilled stakeholders confident at managing their localities while allowing their control over the program and its plans (for the VIP program). To ensure the

continuity of these programs, the THC also seeks the participants' commitment not only at the

beginning of the program, but also throughout its operation. Accordingly, it seeks to create

commitment through motivating the partners to participate in the program and also have solid

support from localities, counties or government entities. It maintains this commitment by

enabling the participants to benefit from their involvement in the program, thus fueling

momentum even after the THC leaves the regional organization or VIP communities.

While these two themes discuss the THC's efforts for setting up its partner bodies at the

regional and local levels, it is equally important to investigate the THC's efforts to govern these

decentralized bodies. This will assist in understanding the operations, processes, and interactions

between the entities at the three levels: the state, regional and local levels. Accordingly, the next

part of this chapter is dedicated to discussing the issues through three themes: (1) coordination at

the state; (2) regional and local levels; (3) strategic planning for heritage management; and (4)

good governance in the THC's heritage management institutional structure. Information gathered

from the content analysis for the documents and the ten interviews along with insights attained

from the participant observation in the Nacogdoches visioning process and the Forest Trail

meeting in Huntsville assisted in drawing a holistic picture about the THC's efforts in

formulating the interactions between and within the three involved levels in the heritage

management institutional structure. The following parts of this chapter present a detailed

analysis for these interactions and their characteristics.

4.3.3 Coordination at the state, regional and local levels

THC is statutorily charged with providing leadership, coordination and services (THC,

2005c). However, the 1994 assessment conducted by the National Trust for Historic Preservation

concluded that the THC should play a bigger role in regional planning and should partner with

other state, regional and local agencies and organizations (Willis, 1994). The following concerns

were addressed by the interviewees who participated in the National Trust assessment:

- THC should be involved in local and state preservation issues and advocacy.

- THC should have a system of regional offices.

- THC should play a greater role than it currently does in regional planning.

- THC should form partnerships with relevant organizations and groups at the
  local, state and national levels.

- THC should coordinate efforts at the local level.

- THC should expand coordination with outside entities (Willis, 1994)[22].

The issues of partnership and coordination are vital aspects in the performance of the

THC. Since the interactions between the different levels involved in the heritage management

institutional structure are the focus of this study, these issues were furthered with detailed

examination. Accordingly, the issue of coordination was placed in an individual category

(category 2) in the interviews to examine its diverse characteristics. In some cases, the questions

under this category are repeated in different interviews. The following is a discussion of

categories that were identified under coordination: specifically, partnership building between and

within levels, coordination between levels, and channels of communication. Table 4.4 identifies

the coordination theme, its categories, subcategories and their properties.

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[22] Based on content analysis for the NTHP assessment (Willis, 1994).

Table 4.4 'Coordination at the state, regional and local levels' theme

Theme	Category	Sub-category	Properties
Coordination at the state, regional and local levels	Partnership building between and within levels	Partnership at the regional level	• THC partners with regional organizations through THTP program • The regional organization allows partnership between communities within the region
		Partnership at the local level	• THC partners with organized civic groups through VIP program • VIP program allows partnership building between the residents in a community
		Partnership with organized ethnic groups	• THC partners take initiatives to establish partnership with organized ethnic groups • Existence of barriers in partnering with ethnic groups because of lack of willingness to partner with the THC.
	Coordination between levels	Identifying roles and responsibilities of the three levels (state, regions and localities)	• THC identifies the roles of the heritage trails regions to coordinate them with those of the THC • THC identifies the roles of VIP communities to coordinate them with those of the THC.
		Authority through coordination	• THC validates the efforts of the regional non-profit organizations • THC grants its partners at the regional level administrative authority to decide on the daily matters of the organization • Policy authority is unidirectional- the THC interferes in the region's agenda but it is not possible for the regions.
		Comprehensiveness in Coordination between all levels	• Existence of coordination between the THC and its partners at the regional and local levels. • Lack of coordination between the regional and local levels because THTP and VIP operate in separate environments.
	Cannels of communication	Communication and networking with partners at the regional and local levels	• Two-way communication between the THC and the regions through the regional coordinator • Communication between the THC and the regions occurs on administrative issues about the operation of the program and the organization • THC is not open to communicate and network with the regions about their concerns and opinions. • Regional organization emphasized the importance of addressing their needs and priorities to the THC

4.3.3.1 Partnership building between and within levels

In its 1995-1999 strategic plan (Historic Preservation – A Strategic Plan for the Texas Historical Commission 1995-1999), the THC declared its philosophy as follows: "The Texas Historical Commission recognizes that the unique cultural heritage of Texas is owned and shared by all citizens. The protection and preservation of this heritage is a partnership between the government and the people. As public servants we accept this partnership in accordance with the highest standards of ethics, accountability, efficiency, competency, and openness" (THC, 1994). So the THC agreed to partner with other entities to achieve successful heritage management in the state of Texas. Interviewing state study participants from the THTP program (a regional-based program) and then from VIP (a local-based program) demonstrated that partnership was sought at three scales: at the regional level, at the local level, and with organized ethnic groups. Supplementing the interviews information with documentary analysis, the THC's partnership with regions, localities and ethnic groups was approached as follows.

4.3.3.1.1 Partnership at the regional level

THC created ten regions in its Heritage Tourism Program to cover the entire area within the state. These organizations were structured to assist the THC in its heritage tourism efforts. A regional study participant describes THTP's regional system as shown below:

> the Texas Historical Commission wanted to design a format that
> would work on the grassroots level to get the local people
> involved, take responsibility for an area that was willing to
> assist them in historic…cultural and heritage tourism (interview
> 03.15.06).

Partnership is approached through grassroots organizations that would assist the THC in planning and managing Texas heritage. These include volunteering residents from different communities within the region. In the Forest Trail Region, fifteen communities are involved in

the board to represent different entities that have heritage tourism—such as the Chamber of

Commerce, Convention and Visitors Bureau, museum specialists, etc. (TFTR, 2005b).

Besides establishing partnerships between the THC and local communities, THTP

allows partnership building among the communities within the region. This was affirmed by a

state study participant who indicated that the concept of regionalism was adopted as an

overarching approach for the Heritage Trails to encourage the participating communities to

partner and share resources, information, and expertise. The above state study participant stated

that:

> But the partnership is a critical thing. We know that partnering
> is one of the best ways to spread the resources…In the region
> 'regionalism' is the best way to combine and spread resources
> (interview 02.14.06)

4.3.3.1.2 Partnership at the local level

While THTP creates Heritage Trails to be planning entities for managing historic

preservation and heritage tourism at the regional level, the Visionaries in Preservation program

creates organized civic entities to plan for historic preservation and heritage tourism in their

localities. There are now 21 communities in the VIP Program (THC, 2005c). The THC partners

with these communities to empower them do 'usable' historic preservation that can mutually

benefit the state and the communities. As stated by a state study participant:

> we [THC] perform our duties of utilizing historic preservation
> and make it usable on the local level…It's more effective way
> to administer historic preservation, rather than single role type
> of thing. If I just do markers or if I only do restoration it didn't
> help the community plan on a larger scale, what…they want to
> do (interview 03.09.06).

Besides establishing partnerships between the state and communities, the VIP program is also intended to assist in building partnerships among diverse groups and interests in a community (THC, 2005c). In the Nacogdoches visioning process for example, people representing diverse entities participated in the process. They represented education, government, private sectors, etc.

4.3.3.1.3 Partnership with organized ethnic groups

Through an interview with a regional study participant, it was realized that the THC is also seeking to establish partnership with a third type of organized group: ethnic groups. However, while the Forest Trail is taking initiatives to invite ethnic groups to partner with the THC's heritage management institutional structure, the ethnic groups are not reported to be willing to participate. As declared by a regional study participant:

> We [the Forest Trail] also have Native American tribe here in Livingston and I went to visit them and they really don't participate with us. They're part of our brochure…And…I met with them, I said I am here…whatever I can do for you. If I can help promote your events or…help you to provide some assistance in developing…different things…they don't call (interview 02.28.06).

When asked about the rejection, the regional study participants stated that pride and an emphasis on achieving success without the THC help appeared to be the main reasons that ethnic groups did not want to be involved (interview 02.28.06). This lack of partnership between the ethnic group and the THC's programs was also noticed in the profiling meeting in Nacogdoches' visioning process. There was no representation from any ethnic groups (Native American, African, or Hispanic). In asking a state study participant about the reason behind their absence, she declared that it is a problem of the unwillingness of these groups to participate with other cultural groups (interview 03.09.06).

Nevertheless, through THTP and VIP programs, the THC encourages the establishment of multidimensional partnerships. Partnership is enabled between the state and the regions, among the communities within the region, between the state and localities, and among the residents in a community. However, thus far the THC's attempts to partner with organized ethnic groups have not been successful due to cultural barriers.

Having this complex web of partnerships demonstrates the stated value of studying the interactions among all the partnering entities, both horizontally within each level (e.g.: among communities within the region or among residents in a community) and vertically among the three levels. But since the focus of this study is to investigate the interaction of historic preservation and heritage tourism as administered by the THC among the three levels, the discussion will focus on the partners that are directly involved in the heritage management institutional structure. This study concentrates on the vertical interactions between the state (through THTP and VIP), i.e., the Regional Forest Trail, and the locally-based visioning process in Nacogdoches. The following illustrates the nature of the vertical interactions between the levels.

4.3.3.2 Coordination between levels

Both THTP and VIP provide regions and communities with guidelines that identify their roles and responsibilities in their partnership with the THC (THC, 2005e; THC, 2003a; THC, 2003b). Analyzing these documents, along with addressing coordination as the subject of category (2) in the interviews, clarified the nature of coordination between the involved entities in both the THTP and VIP programs. Conducting content analysis for these documents and the interviews assisted in identifying three main subcategories for coordination between levels,

including: identifying roles and responsibilities of the three levels (state, regions and localities),

authority through coordination, and comprehensiveness in coordination between all levels.

4.3.3.2.1 Identifying roles and responsibilities of levels

THC, as a state coordinator, dispenses roles and responsibilities of the partners at each

level. THTP provides the regional coordinator and the board of directors with a description of

the roles and responsibilities assigned to each of them [see Appendix M]. And VIP staff provides

communities with a guidebook for the visioning process that describes the roles and

responsibilities of the THC, the community leaders and taskforces (THC, 2005e). According to

these documents, coordination in roles and responsibilities of the THC, the region, and the

communities can be summarized as follows:

Coordination in roles between THTP and the regions: THTP's responsibility is to

assist in formulating the regional organization; provide technical, financial, marketing, and

promotion assistances; facilitates strategic planning; and conducting assessment inventory (THC,

2005c). Their role is coordinated with the Forest Trail organization which is composed of a

regional coordinator, a regional board of directors, and taskforces. The Forest Trail regional

coordinator works as a mediator between the Forest Trail and the THC. Meanwhile he/she

coordinates the administrative work of the organization[23]. Additionally, the regional coordinator

works with localities through responding to their inquiries about site management and marketing

their tourism destinations (THC, 2003a; THC, 2003b). The regional Board of Directors is the

decision making authority on strategic planning and financial matters[24]. Also, the taskforces are

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[23] In general, the main responsibilities delegated to the regional coordinator include administration, developing heritage tourism strategies in conjunction with the board, assisting the board and taskforces in developing action plans to implement regional strategies, outreach and education about the Forest Trail program, and assisting the board in securing funding for the Forest Trail organization (THC, 2003a; THC 2003b).
[24] Detailed responsibilities of the board are shown in Appendix N.

designated to be the working entity that implements the working plans of the regional

strategies[25].

      Coordination in roles between VIP and the communities: the VIP staff coordinates

its responsibilities with those of the leadership committee and taskforces in the communities.

They provide the communities with a guidebook for the visioning process that describes in

details the roles and responsibilities of both the THC and the community (including community

leaders and taskforces) throughout the conduction of the process (THC, 2005e)[26]. In general, the

role of the VIP staff is to design a visioning process and timeline, go to the communities and

facilitate the process in its different stages, and provide them with resources that they might need

during the process and after the preservation plan is completed (THC, 2005e). Additionally, the

efforts at the local level are coordinated with a (volunteer) local steering committee responsible

for organizing the process locally[27]. The taskforces are charged with developing the vision and

working plans, identifying critical issues in the community, and identifying partners who will

assist in implementing the preservation plan.

      THC clearly identifies the roles and responsibilities designated to each involved partner

at the three levels. Figure 4.1 summarizes the responsibilities between THTP and the regions and

between VIP and the communities. This explanation of the diverse roles and responsibilities will

assist in understanding the nature of this coordination and its implications. These implications

are analyzed through the following two subcategories: authority through coordination and

comprehensive coordination.

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[25] While attending the board meeting in Huntsville, I noticed that the board members formed the taskforce for the Forest Trail.

[26] The VIP guidebook also indicates that the VIP staff role is to assist in developing a visioning statement. But through a personal contact with the VIP staff I found that they are not doing it. They just develop the preservation plan with the community.

[27] The steering committee is responsible for garnering local support for the VIP, researching the issues, organizing and advertising community meetings maintaining local momentum and chairing taskforces.
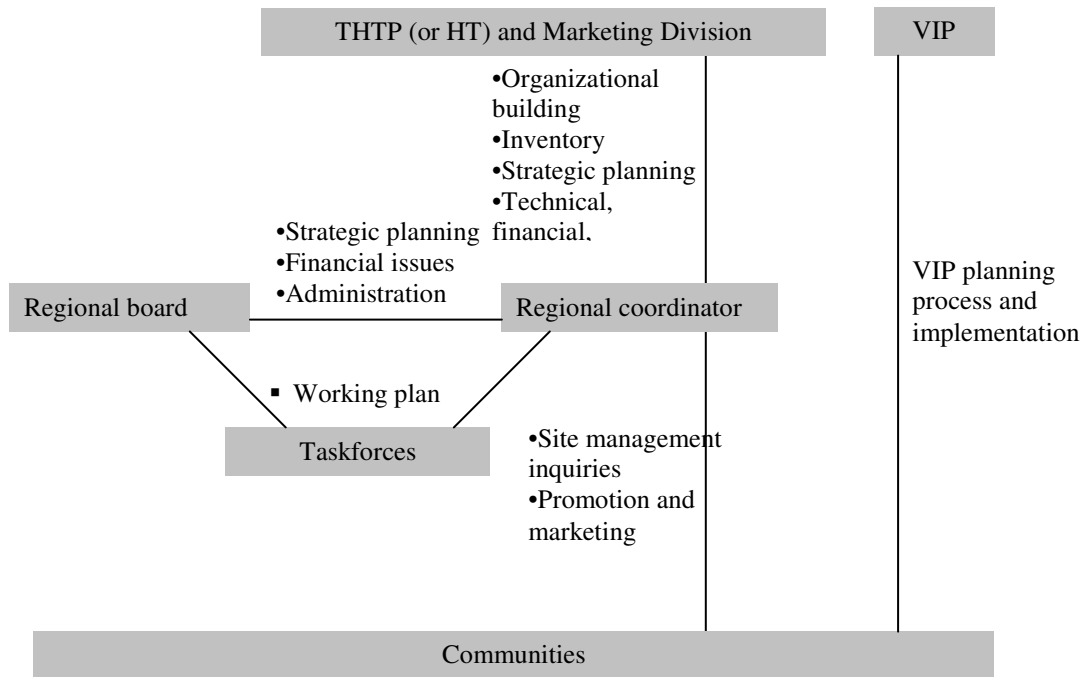
**Figure 4.1 Coordination between and within levels through THTP and VIP programs
Source: Modified from THC (2002 d).**

4.3.3.2.2 Authority through coordination

As shown in Figure 4.1, the regional organization has mainly administrative and

planning roles. The regional coordinator is also authorized to do promotion, marketing, and

publicizing for the program. The THC validates these roles, which is important to substantiate

the efforts of this non-profit organization. Nevertheless, when I analyzed the hierarchal

distribution in the roles and responsibilities I observed that the higher levels can participate in

the roles of the lower levels, but the reverse does not happen. In other words, the THC is able to

participate in the strategic planning for the Forest Trail, but the regional organizations were not

invited to do so. Accordingly, I sought to understand the authority granted to the regional

organization in the heritage management institutional structure. From category 3 in Appendix F,

it was found that the lower levels are not enabled to influence the Heritage Tourism program and

its policies because the program has an established structure that cannot be responsive to issues

that affect its operation. In an attempt for the agency to conduct a survey to assess the

performance of the Heritage Tourism program, some respondents asked for adjustments in the

agenda of the program, but their request was not considered because of the distribution of power

in the agency. As stated by a state study participant:

> It's always good to get feedback. But…the thing is we [THC]
> welcome them [the regional organizations] talking to us and
> letting us know how they feel…but we have bosses…our
> heritage tourism have bosses and then we have an executive
> Director and the Executive Director has bosses too and that the
> member of commission and if they decide it's going to be done
> in a certain way, we have to do it that way. We have no
> choice…we have to make it…satisfying the powers and
> satisfying the region folks (interview 02.14.06).

So, the agency provides roles and responsibilities to the regional organization and

validates their efforts, yet to an extent that does not affect the policies and performance of the

program. They give the regions authority to decide on the daily matters of the organization (for

example: hiring a regional coordinator, deciding on financial, or other administrative issues), but

not to interfere with the state. So, coordination occurs in a unidirectional manner where the THC

has influence over the regions and communities, but the latter do not necessarily participate in

the state policies or strategies. This is not advocated by the regional organization who wants their

input to actively affect the program to meet their needs and those of the agency simultaneously.

As declared by a regional study participant:

> if they're [THC] going to start a program they're going to have
> to reflect what the people in the businesses that have a stake in
> tourism wanted to do…and they [are] going to have to find a
> way to get those opinions and priorities, and they have to listen
> to them. If they don't, they're going to lose support rather than
> gain it (interview 03.28.06).

4.3.3.2.3 Comprehensiveness of coordination between all levels

Another insight found in analyzing the distribution of roles and responsibilities is that the coordination of the two programs (THTP and VIP) is occurring in a parallel manner. Accordingly, this concern was the subject of question 5 in Appendix D. The regional study participant commented on the lack of connection and coordination between the two programs that operate at the regional and local levels. She stated that:

> So, there was a big…gap between VIP and Texas Heritage
> Trails Program. There was a gap and I think there still is one
> (interview 02.27.06).

And although two of the current Forest Trail members are participating in the Nacogdoches visioning process, they both emphasized that the working environment of the VIP experience will be kept locally without necessarily affecting their performances at the regional level (interviews 02.27.06 and 03.14.06).

So, to summarize the issues addressed under the coordination theme, the THC is creating decentralized organized entities at both the regional and local level. Both THTP and VIP identified the roles and responsibilities required by all involved entities. However, the coordination is unidirectional where the THC controls the structuring of the regional and local entities without allowing the regions and localities to affect the program policies at the state level. Furthermore, this coordination was not comprehensive because of the gap between the regions and localities, since THTP and VIP are operating separately. These problems in the coordination system were reflected in the establishment of channels of communication between the levels. The following section will discuss the channels of communication utilized between the partners involved in the THC's heritage management institutional structure.

4.3.3.3 Channels of communication

The fifth goal of the THTP strategic plan for fiscal year 2004 was to "foster a statewide network of heritage tourism partners" (THTP, 2004/2005). The strategies that were addressed for achieving this goal include increasing list serve participation[28], increasing the participation of new members in board meetings (at the regional levels)[29], maintaining constant communication with heritage tourism partners[30], and conducting tourism related trade shows and conferences. For increasing the participation in the list serve the THC seeks the regional coordinator, regional boards, medallion, mailing list, travel industry, Economic Development Corporations, preservation community, local officials, National Park Service, and other state agencies involved in tourism (THTP, 2004/2005).

So, the intent of the THC through its communication strategies is to publicize the program and increase its outreach. However, my concern in this section was to investigate the communication strategies between the THC and the stakeholders that are involved in the administration of the program (i.e., the Forest Trail). Accordingly, category 2 in the interviews was used to investigate the communication as perceived by the study participants.

A state study participant indicated that the communication between THTP staff and the Forest Trail typically takes place through the regional coordinator. It is a two-way communication, yet only on issues related to the responsibilities of the coordinator and the development of the THTP program. The THC staff sends the coordinator a monthly update that talks about program development, product development, marketing and future plans of the

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[28] In order to increase the participation in the list serve, THTP promotes it, encourages people to sign in for any presentation, and calls people to ask for their involvement in the list serve (THC, 20042005; THTP, 2004).
[29] Increased participation at board meetings is sought through publicizing the meetings (press releases) and adding the educational component to the meetings (THC, 2004/2005; THTP, 2004).
[30] Constant communication is accomplished through producing bi-monthly heritage tourism updates, dispensing significant information to list serve, and surveying the regional coordinator and boards (THC, 2004/2005; THTP, 2004).

program. In return, the coordinator sends a monthly report of their activities with the board and

their personal activities (for example, making presentations, attending workshops, conferences,

etc.) (interview 02.14.06).

So, the THC communicates with the regional stakeholders on administrative related

matters. These communications do not necessarily involve inputs from the stakeholders about

their concerns, ideas and values. As stated by a state study participant:

> I guess we [THC] don't have it in [a] form [where] we go out
> and [say], 'okay, how do you think this program should be
> done?' We have not done that. I don't know if we ever would
> do that (interview 02.14.06).

Although administrative communication is important for ensuring an effective operation

of the program, the regional stakeholders recognize the importance of establishing networks that

exchange their opinions and priorities (interview 03.28.06).

Accordingly, participant partners are seeking policy networks that can complement the

administrative and monitoring networks that are currently used by the THC and its divisions.

They want interactive networks that allow them to get the services provided by the THC and its

professionals, but also an issue-based network that facilitates exchanging ideas and allows the

stakeholders' input to affect THTP's strategies and plans. The current mechanisms used for

communication (electronic mailing, ground mailing, and phone calls) are effective methods for

exchanging the information. However, the substance and content of this communication is what

matter in this case.

Summary of coordination at the state, regional and local levels: three main

categories have been discussed regarding coordination at the state, regional and local levels,

including: partnership building among and within levels, coordination between levels, and

channels of communications. It was found that the THC creates multidimensional partnerships

with organized entities at both the state and regional level. The roles and responsibilities of each partner were clearly identified to facilitate coordination. However, the coordination was made possible between the state and its partners, but not among the regional and local partners. In addition, the coordination was unidirectional. The THC works with the regional heritage trails to formulate their organizational structure and agenda, but the regions do not participate in THTP program organization at the state level. This issue was investigated in depth under the communication and networking category where it was found that the participant stakeholders are seeking not only administrative networking, but also policy networking. Policy networking allows their input to affect the state's programs and, therefore, meet their actual needs and aspiration in their voluntary-based participation. (talk about the ethnic issue raised under 3.3.1.3)

Understanding the ramifications of the coordination and communication strategies will be the subject of the following two themes: strategic planning and good governance through the THC's heritage management institutional structure. The theoretical framework was revisited in order to guide the analysis for these two categories. However, these issues were tackled in a manner that corresponds with the nature of the case under investigation. Accordingly, some issues and/or their properties have been de-emphasized and others have been added.

It is also worth mentioning here the shortcoming of little or no non-white ethnic participation. More than 50% of Texas' population is made up of non-white ethic groups. The complete lack of these groups' involvement, either as an organized ethnic organization or as individual members of the government and civic entities involved demonstrates that not all stakeholders are represented. The reasons for this and possible solutions could be a subject for additional research.

4.3.4 Strategic planning for heritage management

The 1994 assessment conducted by the National Trust for Historic Preservation concluded that the THC should play a bigger role in planning because reactionary strategies[31] do not consider the long-term vision and, therefore, do not help people move into the future (Willis, 1994). Several other related issues were addressed, including:

- THC needs to plan. It needs long-term planning.

- THC must develop plans for tourism if they are to fulfill their role.

- THC should be inclusive.

- The Anglo majority hasn't done a good job in recognizing the contributions of minorities. Specifically, the Spanish/Mexican influences have been virtually ignored.

- THC must work with and through local leaders and leadership.

- THC should seek collaboration and planning.

Response of the THC to these claims appeared throughout its 1995-1996 biennial report "Breaking Out of the Box: New Approaches to Historic Preservation" (THC, 1994/1996). Besides incorporating heritage tourism into its agenda, the THC announced that it is "dedicated to quality, committed to people," i.e., it is accountable to its stakeholders. And this was actually reflected in its later strategic plans where the THC considered the involvement of staff from all

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[31] The post WWII period witnessed the advent of development projects (building dams, reservoirs, and construction of highway systems) that were significantly affecting the historical settings in the USA. This fostered the foundation of the National Historic Preservation Act (NHPA) in 1966 by the National Park Service (Stipe, 2003). Section 106 in this act and its amendments required the creation of the State Historic Preservation Offices throughout the state to monitor the impact of these development projects as one of its responsibilities (King, 2003). Accordingly, the Texas Historical Commission (as well as other state historic preservation offices) established the Architecture, History and Archeology divisions. And in order to monitor the development projects, their work mostly took the form of project-based management. This case-by-case approach for management is described as reactive.

levels, the agency staff and the public perception for preparing the plans (THC,

1994, 1996, 2000).

The issues of stakeholder participation (inclusiveness) and planning are paramount to

this study. So, planning, in terms of participation and processes, was the subject of category

three in the interview questions (as shown in the appendices). An analysis for the categories that

were identified under the strategic planning theme follows. In the theoretical framework, these

issues can be found under the concepts of legitimacy and voice and strategic planning. These are

grouped under one category, planning processes, to discuss the strategic planning for the THTP

program at both the state and regional level and the strategic planning for VIP at the local level[32].

Table 4.5 shows the categories and subcategories that make up strategic planning for heritage

management and their properties thereof.

4.3.4.1 Stakeholder participation

The documents that were obtained from the agency about the THTP and VIP programs

included very little information about the stakeholder participation in the strategic planning

processes. The VIP guidebook does identify a general list of potential stakeholders that might be

invited to the visioning process. However, this does not necessarily reflect the reality of the

stakeholder involvement. In order to fill this gap in information, I relied on the other two sources

of information: the in-depth interviews (category 3) in the interviews and the participant

observation of the Nacogdoches visioning process. Stakeholder participation is analyzed through

the diversity in involvement.

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[32] The strategic planning for the VIP at the state level is not discussed because the VIP does not prepare
strategies at that level [based on Q.8 in Appendix G].

Table 4.5 'Strategic planning for heritage management' theme

Theme	Category	Sub-category	Properties
Strategic planning for heritage management	Stakeholders participation	Diversity in participation for different levels, partners, interests, and cultural groups	• Lack of inclusiveness to the diverse entities, groups, and partners in THTP state strategic planning • Diversity is possible only geographically and for tourism-related interests in the strategic planning for the regional Forest Trail. • Placing emphasis on the participation of local authorities in VIP to ensure its continuity and success • Lack of cultural diversity in the local VIP program • Cultural diversity is affected by barriers of consensus building, leadership demonstration, cultural traditions, and language barriers.
	Stakeholder influence in participation	Role of the THC and the regional board in the regional decision making processes	• THC participates in the annual strategic planning for the regions • THC's role is more than facilitator—they actively influence the agenda of the regional strategic plans • The regional board have no influence over the annual regional strategic planning
		Role of the communities in the decision making	• Effective participation of the community to identify their issues and concerns in VIP visioning process
	Strategic processes	Perspective to tourism	• THC and its partners have positive perspective to tourism (revenue generator) that does not consider its impacts
		Strategic analysis	• THC and its partners based their strategic plans on only SWOT analysis
		Vision and mission statement	• THTP strategic plans at both the state and regional levels developed program-oriented vision and economic-centered mission statements
		Focus of the strategic plans	• THTP strategic plans at the state and regional are tourism-focused • Lack of historic preservation influence because 1) the regional board is dominated by tourism-related entities and 2) the emphasis is on increasing visitation
		Approach for identifying goals of the programs	• Top-down approach for identifying the goals and objectives of strategic plans for the lower levels (THC identifies goals of the regions) • Goals and objectives identified in the visioning processes are not used to inform the strategic plan at the regional or state levels despite of the regional participation in the visioning processes • Concerns appeared about the need to bring the local issue to influence the regional and state strategic goals.

Table 4.5 Continued

Theme	Category	Sub-category	Properties
		Public input in the strategic plans	• THC and its partners do not seek public input to inform the strategic plans. • THC prevents public input in the first year of creating the regional organization in order to facilitate the creation of the regional agenda.
		Monitoring systems	• Continuous monitoring systems for the regional strategic plans in each board meeting • Conducting goal-based monitoring to assess the accomplishments of the taskforces, regional board and regional coordinator.

4.3.4.1.1 Diversity in participation—different levels, partners, interests, and cultural groups

THTP adopted the five main principles provided by the National Trust for Historic Preservation for achieving successful and sustainable heritage tourism programs (THC, accessed 10.08.05). One of these principles is about collaboration which reads as follows: "cultural heritage tourism brings together many different perspectives: preservation, tourism, economic development, the arts, museums, Main Street, humanities, elected officials, public land managers and more. By working together, you can accomplish much more than by working alone" (THC, accessed 10.08.05). This implies that the THC should consider the involvement from different sectors and levels. Given that, the study examined the THC's approach to determine the degree of inclusiveness by investigating the strategic planning for THTP at both the regional and local levels, and the visioning process at the local level.

Strategic planning for the Texas Heritage Trails Program at the state level: two concerns were raised in investigating the inclusiveness in THTP state strategies: horizontal and vertical inclusiveness. Since THTP and VIP are both housed in the same division and both have historic preservation and heritage tourism in their agenda, it was decided to examine VIP

involvement in THTP strategic plans. Since THTP at the state level is coordinating its roles and responsibilities with the regions, it was important to understand the contribution of the regions in the state strategies. These concerns were addressed through question 8 in Appendix L and question 9 in Appendix G. Participant responses to question 4 in Appendix F provided some useful information that informed the above mentioned concerns.

THTP staff is composed of eight members. They meet amongst themselves to prepare THTP strategic plan (interview 02.14.06). So, strategic planning is conducted in a closed environment that does not involve any external participants like VIP staff (interview 03.09.06) or THTP partners at the regional level (interview 03.28.06)[33]. However, both VIP program and the Forest Trail asserted the potential importance of their involvement because they are the tool that can bring the concerns of communities to inform the strategies that would mainly affect them. According to a state study participant:

> Well they [THTP staff] probably…want to get answers from the groups. So, we can help them figure out how to get answers from the field…especially if they want to get more involved—to know what the communities were thinking about, what the regions were thinking about. We can help them train them to conduct workshops and bring back in answers that they can better respond to the regions (interview 03.09.06).

And a regional study participant declared that:

> I hope they're [THTP staff] looking at people below them and seeing what their priorities are before they develop their own plans and their own priorities. The state sometimes acts in a vacuum and doesn't really look at what other people do and what the stakeholders want them to be doing (interview 03.28.06).

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[33] A state study participant indicated that the VIP staff participated in the strategic planning for in THTP once as facilitators because THTP wanted to use this process in crafting their strategy (interview 03.09.06).

So, it can be argued that THTP does not invoke an inclusive approach in crafting its strategies and plans at the state level. This actually contradicts the National Trust principle for collaboration and working together. It also contradicts with the THC's stated approach in creating its regional Heritage Trails organizations, as will be shown in the following section.

Strategic planning for the Texas Heritage Trails Program at the regional level: the board of directors is the decision making entity in the Forest Trail strategies (THC, accessed 10.08.05). Accordingly, inclusiveness will be discussed through investigating the composition of this board. In general, the THC emphasizes the importance of creating inclusive entities at the regional level. This was affirmed by a state study participant who stated that:

> We want the program [THTP program] to be an inclusive
> program both culturally as well as regionally (interview
> 02.14.06).

So, while inclusiveness is not considered at the state level, it is addressed as an instrumental approach in creating the regional organizations. The program is designed to be inclusive at the regional level; both geographically and culturally. Geographically, the Forest Trail board represents the three physical areas in the region (northern, central and southern parts) (interview 02.27.06). However, though the state wants to be culturally inclusive, it was found that the board lacks representation of any cultural groups (Hispanic, African American, or Native American). In investigating the factors that hinder their participation, several perspectives were provided by the state and regional study participants. These factors can be summarized as follows:

1. Involvement of minority groups is a barrier for building consensus on the board because in the past the THC "encourage[ed] the region for their board development…to reflect the makeup of their region, [but] we have had…very little consensus" (interview 02.14.06).

2. Minorities' involvement requires leadership, which is difficult to attain in the rural communities in Texas (interviews 03.14.06 and 03.25.06).

3. The cultural traditions of the minorities affect their willingness to partner with other groups; with the White or with other ethnicities. It is claimed that the old schools of thought and the slavery history is preventing the willingness of minority groups to share this history or to participate with others in preserving and promoting it (interviews 02.27.06, 02.28.06 and 03.15.06).

4. Language barriers are a problem, especially in the Hispanic population (interview 03.15.06).

5. Lack of communication and mutual understanding between the groups. Although the board recognizes the importance of involving minority groups in heritage management, they are not discussing that with these groups (interviews 03.15.06 and 03.28.06).

Besides the geographical and cultural representation on the board, and since the study focuses on the relationship between historic preservation and heritage tourism, the entities representation on the board were also studied. It was found that the board is composed of fifteen (15) members. They mostly represent different tourism related entities including Convention and Visitors Bureau directors, Chamber of Commerce directors, Economic Development directors; museum specialists and a historic site manager. This means that the majority of the board is composed of tourism-related entities with minor representation for the historic preservation sector[34]. So, THTP claims the adoption of an inclusive approach. Nonetheless, this approach is only considered at the regional level, and it is only geographically feasible at that level.

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[34] The former regional coordinator was a historic preservationist but currently a natural heritage tourism specialist is filling the regional coordinator position.

VIP strategic planning at the local level: the VIP program is adopting a community

approach that is modeled after the Oregon visioning process (interview 03.09.06). According to

its guidebook, VIP defines stakeholders as "individuals who can affect your efforts or be

affected by them"[35] (THC, 2005e). The THC asks the leadership committee to publicize the

program before and throughout the process in order to get a wide range of community

participation (THC, 2005e). However, at the profiling meeting it was noticed that only twenty

nine (29) residents participated, with no representation of any minority cultural groups. In

response to this limited involvement, inclusiveness was addressed as the subject of question 8 in

Appendix F.

The state study participant emphasized the importance of having inclusive participation.

They want a grassroots process that includes lay people as well as officials. The involvement of

the later was highly emphasized, as shown in the following quote:

> In the past we've encouraged strong participation from planning
> and zoning, city council. We tried to emphasize that in our
> speech and the way we talk to them. But that hasn't been always
> successful in getting them there. So this year we're telling them
> that we're placing a lot of emphasis…on getting those. We want
> a commitment that those folks would be there (interview
> 03.09.06).

In investigating the reason for emphasizing the involvement of officials, it was realized

that their involvement is important for two things: ensuring the continuous involvement of the

residents in the process and the implementation of the plan; i.e., the success of the program. As

affirmed by a state study participant:

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[35] Stakeholder may include: people who staff the program (e.g., management, staff); people who are
affected by the program (e.g., clients, their families and the community); people who contribute to a
program in other ways (e.g., funders, volunteers, partner organizations, board members, etc.); people with
a vested interest in a program (e.g., politicians, neighbors, etc.); and people who will be involved with the
implementation of the solutions (e.g., mayor, city council members, planning and zoning commissioners,
city planning staff and historic preservation committee members) (THC, 2005c; THC, 2005f).

So, if there [are] two communities that are kind of equivalent with historic resources and the planning that they've done in the past and everything, but one has a much stronger commitment from planning and zoning, we're going to go to them first because it's going to be more successful there in this community more that the other community (interview 03.06.06).

And another state study participant added:

Because the people who are involved in municipal, municipal people are decision makers and make things happen. If we leave them out of the discussion, we're just wasting our time and their time (interview 03.09.06).

This same emphasis is not placed on involving the marginalized groups because historic preservation is not of their concern, as claimed by a state study participant, and even if they are invited, they do not come. The THC has limited time for conducting the visioning process which means that they are not able to spend more effort on inviting groups unwilling to participate (state study participant, (interview 03.09.06).

To summarize, it can be noticed that inclusiveness is not achieved at the state level, and it is only geographically possible at the regional level. Inclusiveness is not possible for cultural or interest groups. At the local level, although the VIP program emphasized that the program should be inclusive; the THC puts more emphasis on the involvement of the local authorities in order to ensure the continuity and success of the program. With these approaches to stakeholder participation, it would be important to investigate the level of influence that the present participants can have over the strategic planning.

4.3.4.2 Stakeholder influence in participation

Since THTP does not involve diverse groups in its state strategic planning, I discuss strategic planning at the regional level. I also discuss it at the local level through the visioning

process. Interviews with the state and regional study participants were the source for discussing

the strategic planning at the regional level, and participant observation in the visioning process in

the Nacogdoches meetings (specifically the profiling meeting) will be used in the discussion of

local planning. Three subcategories were identified for stakeholder influence: the role of the

THC and the regional board in the regional decision making process and the role of the

communities in the VIP decision making process.

4.3.4.2.1 Role of the THC and the regional board in the regional decision making

process

THC practices facilitating involvement when they participate in the strategic plans at the

regional level. This was declared by a state study participant who stated:

> And then our staff [THTP staff] works with the region to
> facilitate them growing their organization…forming their
> organization. We do board orientation, a strategic planning with
> them to develop their program of work, the mission and vision
> statements and develop their program approach (interview
> 02.14.06).

However, through investigating this facilitating role with a regional study participant, it

was found that the THC is not merely a facilitator. Their annual participation in the regional

strategic planning is actively influencing the agenda of the organization. As stated by a regional

study participant:

> But…we always relied on THC to conduct our strategic
> planning. So we pretty much followed whatever they wanted
> (interview 03.15.06).

In another incident this regional study participant declared:

> And the educational component was very large piece of that....
> And that was again the THC saying we think this is an area that
> we need concentration (interview 03.15.06).

The influence of the THC over the regional strategies can also be noticed in the

components of the strategies at both the state and regional levels. They have similar goals and

strategies, as shown in Table 4.6.

Table 4.6 Goals of THTP and the Forest Trail strategic plans for 2005

Theme	THTP state goals	Forest Trail goals
Public outreach/advocacy	• Increase awareness of the program by 10 percent	• Raise the level of awareness in communities (about the program) • Develop contact plan for legislature • Create a model for board members to implement the TFTR updates
Increasing visitation to historical assets	• Increase the number of historic resources providing a positive visitor experience	
Promotion and marketing	• Increase visitation by 5 percent to active trails	• Enhance the existing marketing plan • Increase media awareness
Education and training	• Improve training opportunities for staff, regional coordinators and boards	• Provide educational training to stakeholders in the Texas Forest Trail Region
Networking	• Foster a statewide network of heritage tourism partners	
Continuous finical support	• Achieve additional revenue streams for the program	• Ensure the continued financial sustainability of the Texas Forest Trail Region

Sources: (THTP, 2004; TFTR, 2005b)

THC and regional programs both aim to increase the public outreach about the program,

promoting the sites to increase visitation, providing training and education, and securing

financial support. Since these are the overriding emphases of the THC, the board members did

not use their expertise and knowledge to inform the strategic plans or the programs. This was

asserted in the interviews with all the regional board members; despite their different fields and

backgrounds (CVB, Chamber of Commerce, Economic development, heritage site managers,

etc.), these skills did not influence the agenda of the program. They were focusing more on the organizational structuring in order to fulfill the THC's heritage tourism needs from the new organizations. As stated by a regional study participant when asked about the influence of his background during his participation in the program, he affirmed that:

> I have no idea. Let me think if I can come [up] with something.
> I am still thinking. It seems like I was always so involved in
> helping develop the organizational structure…So, I really spend
> a lot of time literally trying to develop and
> working…with…five others to develop the organizational
> structure. I want to say marketing but I can't…I can't put my
> finger on anything particular of influence that I made (interview
> 03.14.06).

With the THC having such a high level of influence over the regional organization, it can be argued that the regional organizations are used to assist the THC in maintaining and sustaining its Heritage Tourism program. It is an instrumental approach that does not necessarily reflect an authentic involvement of the real stakeholders in heritage management.

4.3.4.2.2 Role of the communities in the VIP decision making process

The VIP planning process is described as a community consensus because it allows communities to address their issues, needs and concerns (interview 02.28.06). They wanted it to be community-based because otherwise heritage management efforts in the community will not be successful (interview 02.28.06). This was observed accordingly in the profiling meeting; the community members were effectively participating in identifying their issues and concerns, grouping and voting to prioritizing them.

To summarize, both THTP and VIP are concerned about the success of their program at the regional or local level. However, while THTP is vigorously influencing the THTP agenda at the regional level, VIP is allowing the actual stakeholders (the communities) to influence and own their historic preservation plan. These approaches are eventually affecting the mechanisms

for developing the strategic plans. The following section will discuss the strategic processes involved.

4.3.4.3 Strategic process

Three sources of information were used to analyze the strategic processes category. They were used to provide a comprehensive picture about the processes at the three levels: state, regional and local. Some of the properties that have been addressed in the theoretical framework were reconsidered in this section and others were de-emphasized according to the needs of the study. They were investigated in depth through category (3) of the interview questions [Appendices from C to L]. In general, seven properties appeared in the strategic process category, including: perspective to tourism, strategic analysis, vision and mission statements, focus of the strategic plans, approach for identifying goals of the program, public input in the strategic plans, and monitoring systems.

4.3.4.3.1 Perspective to tourism

The beginning of this chapter discussed the economic approach that the THC adopts in its heritage management policies. Its main attempt for combining historic preservation with heritage tourism is to achieve sustainable economic development for the state and the communities. However, in order to understand how tourism is approached in formulating the plans and strategies, their consideration of the positive and negative impacts of tourism was examined. In the first interview this issue was not addressed. After attending the Nacogdoches profiling meeting, I noticed that the THC provides the community with a set of questions to help them identify their issues and concerns. Some of these questions address increasing visitation, but none trigger consideration of the impacts of tourism. In order to examine this, this issue was the subject of one of the questions under the planning category in subsequent meetings. It was

repeated on several occasions in order to clarify the overall perspectives of the study participants.

It was found that both the state and the regional study participants are positive about tourism. They do not see any negatives in importing the tourism industry to their communities and enhancing their economics. As stated by a state study participant:

> They [the community] don't even consider it… and…I doubt they could have any cons to consider…they're making money. So, you won't have that problem (interview 03.09.06).

A regional study participant affirmed that:

> I am…positive. I would…never consider the cons. I think we always consider the threats. So I guess it would depend on how you look at that. I don't really ever remember sitting around the table [of the board meeting] and thinking of what are the pros versus cons of this particular thing [tourism]. We are such optimistic people (interview 03.14.06).

Since tourism is a revenue generation tool, it is approached as the ideal industry that does no harm, especially in rural communities that are vigorously in need of this type of industry (interview 15.03.06). However, even though this might be possible in some cases, it cannot be generalized. I was told by a state study participant that the city of Marfa, Texas for example did not want to hear about tourism in its visioning process because of its negative impacts on the community[36]. But THTP and VIP did not consider that input because, for them, the benefits of tourism overrides its negatives. This positive perspective on tourism affected the formulation of the vision and mission statement, strategic plans, and other aspects in the systematic planning for heritage management. The following section shows these impacts.

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[36] This was established through an informal conversation with a state staff and an interview with a state study participant (03.09.06).

4.3.4.3.2 Strategic analysis

The VIP program conducts an analysis for the Strength, Weaknesses, Opportunities, and Threats (SWOT analysis) at the first meeting with the communities (THC, 2005e)[37]. The strategic plan document for the Forest Trail also includes a SWOT analysis to guide the strategies and working plans. A close analysis showed that it is mostly program-oriented. It does not address the potential threats generated by the program, but rather the threats that might affect the continuity and sustainability of the program. Accordingly, the study investigated whether any other type of analysis is made prior to identifying the goals and strategies in any strategic plans [this is the subject of one of the questions under the planning category, as shown in Appendices D, H, and G]. It was found that neither the Forest Trail nor VIP conducts any strategic analysis to inform the strategic plans (state study participant 03.09.06, regional study participant 02.27.06, and regional study participant 03.14.06). The SWOT analysis for the regional board was deemed to be sufficient, and the questioning process in the profiling meeting was adequate to build the strategic plans at both the regional and local levels.

4.3.4.3.3 Vision and mission statements

The vision and mission statements for both THTP at the state level and for the Forest Trail are shown in Table 4.7.

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[37] I was told by a state study participant that the VIP staff is not doing this stage anymore. They directly guide the community to identify their issues based on a questioning-based process where the community is given sets of questions to answer, and the staff helps them identify their issues and concerns (personal contact with THC on 01/24/2006).

Table 4.7 Vision and mission statements for the state THTP and the Forest Trail strategic plans for 2005

Strategic plan	Vision statement	Mission statement
The state THTP strategic plan for the FY2005 (THTP, 2004)	To build the premier state-run heritage tourism program in the United States	To encourage the statewide preservation and promotion of historic sites, historic landscapes and heritage events to foster economic development
The Forest Trail strategic plan for the FY2005 (TFTR, 2005b)	We envision the Texas Trail Region as a premier international heritage and cultural tourism destination	The Texas Forest trail Region is a network of partners working together to foster regional economic development by promoting heritage tourism through the preservation of cultural and historic resources

Both the state and regional visions are program-oriented, and their missions are to increase visitation to achieve economic development. This was also emphasized by most of the regional study participants, who occupy economic and tourism related positions. These positions influence them to strive to enhance the economy through increasing visitation to their cities (interview 03.16.06). As such, tourism is recognized through a positive lens without considering its potential impacts on the communities, be they economic, social, or environmental.

4.3.4.3.4 Focus of the strategic plans

As mentioned before, THTP strategic plans at both the state and regional levels are composed of four main components: public outreach, promotion and marketing, education and training, and financial support (THTP, 2004; TFTR, 2005b). The state strategic plans include two other components: increasing the number of the historical destination and establishing a statewide network between tourism partners. In previous strategic plans for the Forest Trail Region, historic preservation was addressed as one of the strategic components in order to

identify and maintain a continuous assessment for the historical destination in the region (TFTR, 2001/2002/2003/2004). However, this component is not a part of the current strategy.

The absence of a historic preservation element was a critical issue especially given that THTP describes the Texas Heritage Trails Program as a "combination of historic preservation and tourism" (THC accessed 10.08.05) that "creates sustainable partnership among preservation and tourism professionals" (THTP, 2004). Accordingly, the issue of the preservationists' input on the strategic plan became a subject of one of the interview questions under the planning category [e.g. Q.5 and Q.6 in Appendix H, and Q.9 in Appendix D].

A regional study participant emphasized the absence of historic preservation from strategic planning and noted that it is focused more on heritage tourism (interview 02.27.06). And in investigating the reasons for that in later interviews, it was found that two interrelated reasons affect that the focus on heritage tourism. First, the board is mostly composed of tourism specialists who lack knowledge about historic preservation. As stated by a regional study participant:

> The board is not really interested in doing that [historic preservation] because…the majority of them [are] CVB directors. That's not what they do. That's not that they know. So…you need the people who are involved in this kind of stuff [historic preservation] and not 90 percent CVB directors and 10 percent something else. I mean it needs to be [a] more even break up (interview 03.14.06).

The second reason is that the emphasis of these tourism specialists is to increase visitation to the region. As affirmed by a regional study participant:

> They're looking to just let's get people to the city. Let's get people to stay. What their focus is let's get people to stay in the hotels and B&B's because they are all funded by the hotel/motel tax funds. That's pretty much their only concern, which is not a bad thing. But I mean this is their concern (interview 03.14.06).

So the representation of entities on the board, along with their primary concern being to increase visitation to Texas rural areas, was affecting the strategic planning agenda and its orientation. These tourism-oriented strategies do not address the historic preservation aspects, site management or visitor management. Even the marketing strategies are merely promotional.

4.3.4.3.5 Approach for identifying the goals, objectives, and action plans

The previous section discussed the coordination between the different levels involved in the THC's heritage management institutional structure and found that a gap exists between the THTP and VIP programs. But since, these two programs operate at two complementary levels (THTP is a regional initiative and VIP is a community based program), the study examined the impact of this gap on the performance of the heritage management system. This was sought through question 7 in Appendix G and question 6 in Appendix L.

A state study participant indicated that the community is advised to coordinate with the regional coordinator if the community has a heritage tourism component in its historic preservation plan (interview 03.09.06). Coordination occurs on issues related to marketing and promotion, involving the community on the heritage trail brochure, including the community of the heritage trial website. Coordination depends on the identified goals of the community regarding heritage tourism. In some cases, either the regional coordinator or any of the board members might be an active participant in the community visioning process as well. As noticed in Nacogdoches, two of the Forest Trail members participated in the visioning process. They were involved in identifying and prioritizing the issues and concerns of the community[38].

So, the community-based visioning process may include regional representation. However, this participation was not specifically intended to affect the regional strategic plans.

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[38] One of them did not attend the prioritizing process (based on participant observation at the Preservation 101 meeting in Nacogdoches, 03.27.06).

Notwithstanding that the issues and goals resulted from a community consensus process, there was no intention to address these issues at the regional or state board tables (interview 03.14.06). Each level is structured to develop its own strategies without necessarily informing each other. A regional study participant hinted to the importance of coordinating between the regional and local goals and objectives because through this coordination the regions would be able to bring the real concerns of the Forest Trail communities to the forefront, and not only the state's goals. The regional study participant stated that:

> …at least you know if you are representing these [the community concerns] on the board at least you know that what you're bringing forward is what your community supports because you reach that conclusion through the process (interview 03.28.06).

This lack of representation of the communities concerns and needs at the regional board calls into question the value of the regional organization in benefiting the communities. As declared by a regional study participant:

> I just don't really think it's all that wonderful of an institution…the regional system. And that's from my involvement. I…use them to promote my structures, but I don't see a whole lot of return on that. Except spreading the word that…these places exist (interview 03.14.06).

In short, the regions are considering the needs and goals of the state but the communities' concerns are not approached at either the state or regional levels. This is obvious in two other matters. First, the degree to which the state and the regions seek public input in creating their strategic plans, and second, utilizing monitoring systems. The following is a discussion of these two properties for the systematic building subcategory.

4.3.4.3.6 Public input in the strategic planning

The 2001-2005 Texas Historical Commission included a report on Customer service, Compact with Texans and customer-related Performance Measures (THC, 2000). This report was prepared because the THC recognizes that the cultural heritage is owned and shared by all citizens. Accordingly, the THC announced that an integral part of the 2001 vision is the relationship between the THC and the citizens (THC, 2000: 83). This was achieved through two main venues: providing services to the citizens and being responsive to their inquiries. Although these are important aspects in interacting with the public, the concern in this study is to investigate the public impact on the strategies and policies of the THC's programs—specifically the THTP program—at both the state and regional levels. The subject of public input, therefore, was addressed in one of the questions under the planning category starting during the early stages of the interview processes [e.g. Q.7 in Appendix F, Q.10 in Appendix D, and Q.11 in Appendix I, and Q. 10 in Appendix L]. It was important to repeat the question in several instances in order to get the perspectives from different levels as well as from different positions on the regional board.

All responses indicated that public input was not sought in any strategic planning. The state conducts its strategic planning in a closed session (interview 02.14.06). The Regional Trail starts open meetings after the first year of the organization inception[39], but it does not seek public input in the initial or later meetings. Some assigned that to the small size and young age of the organization (interview 02.27.06), but others thought that it is simple enough to organize an open meeting that allows public participation (interview 02.28.06).

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[39] The open meetings are delayed until the second year because THC wants the regions to reach a consensus on the vision and mission statements of the organizations, which are identified in this meeting (interview 02.14.06).

4.3.4.3.7 Monitoring systems

Monitoring and assessment was not addressed as a specific subject in the interview questions. However, the participant observation at the Huntsville board meeting, together with the content analysis for some of the interviews with regional study participants, helped in reaching an understanding on the monitoring system that is used by the Forest Trail program. It was found that the regional board conducts a goal-based monitoring to assess the accomplishments of the action plans. It was noticed that the taskforces meet alone, and they discuss their achievements with the other taskforces[40] (participant observation in Huntsville 03.27.06). This same approach is used in the annual preparation of the regional strategic plans. Creating a new strategy is a process of reevaluating the accomplishments of the previous strategic plans, as stated by a regional study participant:

> What they [the Forest Trail program] did is after the first year,
> they would look, they reevaluate the first plan and say Okay:
> this work, this didn't work. We would refine some. It was
> basically looking at previous years plans; what do we want
> different, what we want the same? (interview 02.27.06).

So, public input was not sought either in the preparation of the strategic plans or in their evaluation. The main concerns focused on whether the goals and objectives of the strategic plans were accomplished with no consideration for their impacts on the communities and localities. Even though the THC announced its commitment to the people and the public, it was difficult to achieve that commitment in its practice. Accordingly, the THC's needs and goals for tourism were given a priority over a real commitment to the public. The last theme that has been analyzed under the THC's heritage management institutional structure is good governance. This will be the subject of the following part of this chapter.

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[40] The taskforce in that meeting was composed of the regional board members themselves with two other external participants.

4.3.5 Good governance in the THC heritage management institutional structure

The participants in the 1994 National Trust assessment stated some concerns that represent the THC's approach for governance. These include the following (Willis, 1994):

- THC adopts a purist approach which turns off local decision makers and property owners and ultimately damages the image of local preservationists and their work.

- THC does not have time to be involved in local issues.

- The people see things that are locally or regionally important—THC sees national importance in the same way.

- THC is concerned about the legislature's point of view in trying to phase out the THC.

- THC put more effort towards building a coalition with the legislature than with communities.

- Cultural pluralism—THC needs to be more involved.

- THC is not seen as relevant to Hispanic or black communities.

Issues of accountability and equity and fairness are paramount in the THC's governance. They also have implications in this study as it examines the interactions between partners from the three levels: state, regions and localities. Categories that were identified through the study include accountability and equity and fairness through good governance. Table 4.8 shows the categories, subcategories and properties of good governance. Good governance was not identified as a specific category in the interview structure because it has political implications that might affect the interviews negatively. Accordingly, the term "working within the wider context of sustainability" was used in category (4) in the interviews to investigate issues related to cultural pluralism. Other aspects were addressed through probing questions with several

interviewees. For example, the concept of advocacy was used to investigate the accountability

between levels. Also, the last interview investigated the distribution of benefits between the

communities within the region (Appendix M). This issue was postponed to the last interview

because the relevance of the distribution of benefits was identified after the board meeting in

Huntsville where I observed that the educational component provides financial and technical

information that assists the participants in sourcing grant money and creating brochures. In

general, the interviews and participant observation were the main sources for informing this part

of the study.

Table 4.8 'Good governance in the THC's heritage management institutional structure' theme

Theme	Category	Sub-category	Properties
Good governance in the THC's heritage management institutional structure	Accountability	Relation in accountability	• THC is accountable to the legislature advocacy to ensure the continuity of the heritage tourism program • The regional organization (the Forest Trail) is accountable to the state to ensure their continuous support and commitment • Absence of accountability to the public and societies
		Accountability to cultural groups	• THC and its partners are accountable to the marginalized groups to assist them in their marketing strategies
	Equity and Fairness through good governance	Accessibility to the process and institution	• Accessibility to the board meeting is possible at the regional level • New stakeholders are welcomed on the regional board meetings to assist in the implementation of the strategic plans • Involvement of new stakeholders as decision makers on the board is limited
		Distribution of benefits	• THC adopted 'regionalism' approach to ensure fair distribution of benefits between the communities within the region. • Regionalism is possible only through 'marketing' services • Absent communities from the regional board do not benefit from the other services provided by the organization

4.3.5.1 Accountability

THC's reaction to the 1994 assessment made by the National Trust for Historic Preservation can be seen in its 1995-1999 Historic Preservation Strategic Plan: The Past for The Future (THC, 1994). The plan announced the THC's eight main values. The fourth value concerned accountability[41]. Here the THC declared that it would be accountable to the public by strengthening the internal procedure to be responsive to the public (THC, 1994). However, although this is an important step to enhance the THC's accountability, it was important to investigate how this new direction affected the THC's performance in its heritage management institutional structure. Two subcategories were identified: relations in accountability and accountability to cultural groups.

4.3.5.1.1 Relations in accountability

The fifth goal of the THTP strategic plan at the state level seeks to achieve additional revenue streams for the Texas Heritage Trails Program (THTP, 2004). One of the strategies identified for achieving this goal is to create useful information for legislators to show the importance and necessity of the program. The plan is to distribute heritage tourism program brochures and other marketing tools to Texas legislators and the media. The intent is to publicize the program and its benefits in order to get money allocated by the legislature and ensure the continuity of the program. Regionally, to support the state office in this manner, the regional coordinator is required to conduct ongoing public awareness to enhance the understanding and appreciation of the region's heritage nature and benefits (THC, 2003a; THC, 2003b). The agency spreads information about the program at both the state and regional levels in order to gain the

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[41] The other values include historic preservation, leadership, responsiveness to the public, training and education, diversity of constituents, study of history and employees (THC, 1994).

legislature's advocacy and thus ensure the continuity of the program. As stated by a regional

study participant:

> The Historic Commission…receives their money from the
> legislature and it's a process of allocating resources and if the
> legislature is not hearing good things from the people that it
> represents it's not going to allocate the resources to the
> Historical Commission, and they're going to somewhere else
> (interview 03.28.06).

While the THC is concerned about the legislature's support, it was found that the Forest

Trail program is worried about the THC's advocacy. As mentioned before, the THC is providing

the regions with financial, technical, marketing, training and connection assistance. Conversely,

the Forest Trail voluntarily runs the THC's business at the regional level. So, they are mutually

benefiting and supporting each other. As stated by a regional study participant:

> I mean they [THC] hand us [the Forest Trail] $50,000 year
> check…I would hope that we would have a commitment that
> demonstrates their commitment to us. So…we want to fulfill
> their expectations the best we can. So it's kind of give and take
> kind of thing…they give us the money, the training… And…it
> is just mutually beneficial relationship on both sides (interview
> 03.16.06).

And another declared:

> I feel like we have shown the Texas Historical Commission that
> the Texas Forest Trail Region is a good steward of the
> investment they have made in the region for us to keep
> producing good things (interview 03.15.06).

So whilst the THC is accountable to the legislature and the Forest Trail is accountable to

the THC, the public is not paramount in this context. The emphasis on the continuation of the

program is orienting the accountability to function in a bottom-top format, so the public and their

needs are considered.

4.3.5.1.2 Accountability to cultural groups

In its 1997-2001 strategic plan, the THC described the Heritage Tourism program as an initiative that promotes minority participation and cultural diversity (THC, 1996). It also declared that its accountability to these minorities would be achieved through seeking their direct input, and contacting new minority heritage organizations and individuals to help in assessing the needs, resources, and issues of importance. One recent strategy for increasing minority participation was through the establishment of the Texas African American Heritage Organization.

These are significant initiatives for involving the minority groups in the THC's programs and specifically the heritage tourism program. Nonetheless, a major concern of this study is to investigate the implications of accountability. In all the interviews the state and regional study participants acknowledge the importance of minority heritage and its contribution to the history in east Texas. Accordingly, they recognize the importance of their involvement on the board. Even further, the board wants minorities to feel that their involvement is worthy. As pointed out by a regional study participant:

> If I can manage to get out to some of those communities and get
> them more involved may be we can pull somebody in…you
> want that. But again you don't want them to feel like a
> 'token'…like finally we have the African American on our
> board but no influences. I don't want them to feel just like they
> are on the board because we need somebody that was from
> Hispanic background or African American or Asian or anything.
> I don't want them to think that (interview 02.28.06).

According to this study participant, the board is looking for the genuine involvement of marginalized groups because of their own merit. However, in later interviews, it was found that the ability to achieve minority involvement is difficult. The board members want the minorities to assist them in accomplishing their (and the THC's) tourism goals, specifically their marketing

goals. As declared by a study participant, the board (and the whole travel industry) is not making serious efforts in marketing for multiple cultures and ethnicities (interview 03.14.06). The board recognizes that it is important to have minority representation on the board so that they can gain accurate information in developing their promotional, marketing, and interpretational strategies. As stated by a regional study participant:

> If we [the Forest Trail board] have people of Mexican or Spanish or Central American or South American background, they might be able to say, well probably we're going about marketing in the wrong way. If you talk about it in this perspective you might reach that population. I don't know that stuff because obviously I am not Hispanic… if we have people who are representing that community on the board they might be able to help us (interview 03.24.06).

And in order to be able to benefit the board, the leaders' representation of minorities is emphasized because otherwise, their involvement would not be beneficial, as stated by a regional study participant:

> I think we're going to have those representations [of minorities], but…we're going to need some really strong leaders in those areas. People who…want to step out…and really help lead us as a region in this direction (interview 03.14.06).

So, although the Heritage Tourism is accountable to the multi-cultural groups, still, it is led by the overarching goal for increasing visitation and enhancing the achievements of the THC's heritage tourism program. It is, therefore, conditional accountability that requires useful and beneficial participation in the heritage management institutional structure. This position, along with having a bottom-top approach in the multilayered institutional structure, was found to affect equity building to enable good governance. The following section discusses the THC's heritage management structure for achieving equitable distribution of benefits between levels and communities.

4.3.5.2 Equity and fairness through good governance

THC requires resolution of support from 75 percent of the counties within the heritage trail region and letters of support from individuals and organization supporting the efforts (THC, 2005c). However, of the 35 counties in the Forest Trail, it was found that only fifteen (15) counties are represented on the board. This number questioned the equitable distribution of benefits between the communities within the Forest Trail. Accordingly, questions 10 and 11 in Appendix L were used to investigate the distribution of benefits and supports between the Forest Trail counties and communities. Two subcategories were identified, first accessibility to the process and institution, and second distribution of benefits.

4.3.5.2.1 Accessibility to the processes and the institution

As mentioned previously, the board conducts open meetings that allow unconditional participation. However, as stated by a regional study participant, the new stakeholders are not decision makers. They participate on taskforces as "brainstormers" to help in accomplishing the working plans of the heritage tourism strategies (interview 02.28.06). In investigating this condition for accepting new participation, I founded that the board members do not advocate large boards as size hinders the decision making processes. As stated by a regional study participant:

> If [there were] more than 15 members [then] that would be
> pretty unwieldy group. If it gets bigger than that…ultimately
> you have to refer to [a] small group making the decisions. If you
> have too big [a] group you never get any decision made
> (interview 03.28.06).

So, while the board of directors allows open access to the decision taking processes, it practices limitations on the decision making process. This restriction is affecting the involvement of new members willing to benefit from the services provided by the organization. They adopt a

policy of replacement if any new member expresses his/her commitment to participate (interview

03.14.06). In Nacogdoches, for instance, the historic site manager replaced a Conventional and

Visitor Bureau director because the main concern is to achieve equitable opportunities for

geographical representation.

Accordingly, even though the region sought wide participation at the inception of the

institution, these efforts are now de-emphasized. There is a level of satisfaction about the

existing board as it allows the members to achieve their goals through their involvement (i.e.

benefit from the services provided by the organization to meet their job requirements in their

own communities) and also allows them to be able to get along and build friendship with the

other members. As stated by a regional study participant:

> it's been very beneficial to me and my job because I came here,
> and I hear about grants that I wouldn't know of any other way,
> and I think because we have worked together so well for so long
> we try really hard to help each other out (interview 03.16.06).

4.3.5.2.2 Distribution of benefits

A state study participant indicated that the THC adopted a regionalism approach in its

THTP program in order to allow fair distribution of benefits among all the communities in the

regions (interview 02.14.06). This fairness is approached mainly through allowing communities

to generate the benefits of marketing and promotional services provided by the THC and the

Forest Trail. Even though this is one possible way to approach fairness, this study found that the

board provides many more services that do not necessarily touch the whole of the communities

in the region.

For example, the board meetings include an educational component that provides

beneficial information about heritage management. In attending the board meeting in Huntsville,

it was noticed that the participants were able to get information about grant resources and other

technical information. In later interviews, the availability of this information to unrepresented

communities was questioned; it was found that such information was not accessible to these

communities. As a regional study participant noted:

> It would benefit if you can go, you get to see first hand of what
> the resources that are available in other parts of the state, so that
> you get those first hand information, and you get to know those
> sites and those historic programs and those things personally
> rather than just have heard about it (interview 03.28.06).

CHAPTER V

RESULTS

5.1. Introduction

The main goal of this study is to investigate the relationship between Historic

Preservation (HP) and Heritage Tourism (HT) in heritage management. In this study, achieving

an effective HP-HT relationship is argued to be the major criterion for successful and sustainable

development in heritage areas. The Texas Historical Commission (THC) served as the case

study. Texas was deemed a good place for examining the important and challenging task of

correlating HP with HT because its programs are managed through a multi-layer institutional

structure. This structure allows an investigation of the HP-HT relationship both horizontally

(within each level) and vertically (among the three operational levels: the state, regional and

local levels), which is important because heritage is rarely managed through one specific

organization at any of these levels. Ideally, stakeholders with historic preservation and heritage

tourism interests come from different groups, entities, organizations and levels, and may be

directly or indirectly involved in managing the process.

The investigation of the HP-HT relationship was made by examining three research

questions. The first is: what is the nature of the HP-HT relationship at the state level? The

objective of this question was to understand the existence of the relationship between HP and HT

in the THC—the state agency for historic preservation in Texas. Understanding the nature of this

relationship assisted in assessing its effectiveness in applying sustainability principles in the

heritage management policies and programs, which helped to answer the second research

question: how well does the relationship enable the sustainable development and management of

historical settings? In addressing these two questions, an integrated heritage management

framework was developed to guide the state agencies in historic preservation, which addresses the third research question: what are the key criteria for developing an integrated framework for historic preservation and heritage tourism at the state level?

This chapter presents the answers to these three questions based on the analysis made in chapter IV, a detailed analysis of the THC's approach for relating historic preservation with heritage tourism. The discussion for the first and second themes, the win-win relationship between HP and HT and connection via programs, illustrated the nature of the HP-HT as portrayed by the THC. The other five themes—creating self reliant bodies, building mutual commitment between the THC and its partners, coordination at the regional and local levels, strategic planning for heritage management, and good governance in the THC's heritage management institutional structure—are used to answer the second research question. They provide the means to investigate the HP-HT relationship as it exists at the various levels of the THC's heritage management institutional structure. Eventually the results of the two questions are used to conduct a pattern-matching technique with the theoretical framework that has been extracted from the literature in chapter II. This will assist in identifying the key criteria (concepts, principles and strategies) for an integrated and sustainable heritage management. Based on these, this chapter is composed of three main parts. The first provides a discussion of the analysis that has been made in chapter IV. The second presents the major learnings from the case of the THC. And the third provides a new comprehensive framework for an integrated heritage management system.

5.2. Sustainability and Heritage Management in the Texas Historical Commission

The Texas Historical Commission is the state agency for historic preservation. The Texas Sate legislature established the agency in 1953. In 1969, this agency was designated as a

state historic preservation office to carry out the mandates of the National Historic Preservation Act of 1966 (THC, 1996). Through this act, and as in other state historic preservation offices in the US, the agency was required to monitor the impact of development projects on the historical built environment. Accordingly, the agency places emphasis on protecting and maintaining the integrity of the historical and architectural assets against developmental impacts. However, in 1994, the National Trust for Historic Preservation conducted an evaluation program to assess the performance of the state agencies in the US. Texas was the first to host this program. Participants in this study were concerned with the contribution of the agency to the wellbeing and quality of life in Texas. It has been claimed that the THC is physically-oriented and not accountable to the public and their social needs—such as economic development, education, crime, and jobs (Willis, 1994).

In response to this, the THC decided to correlate historic preservation with economics (i.e. show the economic value of historic preservation), as declared in several later biennial reports. Building on some of the recommendations that were concluded in the 1994 National Trust report, the THC decided to incorporate heritage tourism program into its institutional structure. They modeled this program on the Camino del Rio Heritage Project that was initiated in 1990 as a public/private sector partnership for the development of a bi-national heritage tourism corridor (THC, 2000). They thus initiated the heritage tourism program in 1998 under the Community Heritage Development Division in the agency. It is a regional initiative that benefited from the pre-established travel routes delineated by the Texas Department of Transportation (TXDoT) in 1968. After one year (in 1999), the THC also initiated the Visionaries in Preservation Program as another innovative community-based program to help communities plan for the future of their historic preservation efforts.

Since the THC is a historic preservation agency, these two programs were designed to manage heritage by correlating historic preservation with heritage tourism development. The two programs were intended to allow stakeholders with historic preservation and heritage tourism interests to partner and work together in heritage management. Through this connection, the two sectors mutually benefit and support each other because preserving the historical assets and then promoting them for tourism will secure the resources necessary to maintain these assets. So, according to the analysis for the first theme, approaching sustainability through historic preservation and heritage tourism, this relationship is described by the THC as a win-win relation. However, it was found that it is largely an economic-based win-win relation because heritage management is used as a mechanism for contributing to achieving economic growth in Texas.

Following the physical emphasis that accompanied the THC since its commencement in the 1960s, the agency is currently concerned about the economic viability of historic preservation. The pressure that the agency underwent through in the 1990s forced it to articulate historic preservation through a new, economic framework. Historic preservation is now described by the agency as an economic development tool that has the responsibility of enabling smart growth. It has a positive impact on sustainable development because it assists in creating jobs, creating public/private partnership, increasing local household income, etc.

With this new approach, historic preservation is not only about sustaining the physical environment, but also about sustainable economic development. It also contributes to social sustainability and progress through maintaining the character and integrity of the historic settings and bringing more dollars to the communities and the state. Even though these are important aspects for enabling sustainability, the agency marginalized the responsibility of historic

preservation in achieving cultural equity. Inter-generational, intra-generational equity[42] and

social justice are not observable themes in the discourses of the agency about historic

preservation. In other words, although the agency chose to manage heritage tourism under the

umbrella of historic preservation, it did not consider the cultural implications of this new

approach. This gap was found to impact the performance of the agency in managing Texas

heritage through its two programs; the Texas Heritage Trails Program and the Visionaries in

Preservation program. This will be discussed through two major topics: the THC's philosophy

for creating heritage management institutional structure and sustainability in the THC's heritage

management institutional structure.

5.3. The THC's Philosophy for Setting Up Its Heritage Management Institutional Structure

Discussion concerning creating self reliant bodies and building mutual commitment

between the THC and its partners in chapter IV illustrated the THC's efforts to setup its partners

at the regional and local levels. The THC enables the establishment of self-reliant bodies through

capacity building and leadership building. It also seeks to build and maintain mutual

commitment with these partners.

5.3.1 Creating self reliant bodies

As noted earlier, the THC created two heritage management programs that have both

historic preservation and heritage tourism components. Through the THTP and VIP programs,

the agency decided to create a heritage management institutional structure that encompasses the

three hierarchical levels: the state, regions and localities. It adopted the policy of other centric

and multi-level of governance that allows for collective action by the multi-layer structure to

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[42] Inter-generation is used to describe the need to consider equity between the transcending generations.
Intra-generation is used to describe the need to consider equity within a generation.

manage heritage resources not only from one center (the state agency), but from the several other centers and layers. This architecture allows the distribution of heritage management responsibilities between the state agency, the regions and the communities. To achieve effective management systems, the agency endorsed the 'partnership' building strategy for coordinating the works at the different layers. Through this strategy, the THC realized the importance of creating independent entities at the different layers capable and willing to actively assist the THC in its heritage management endeavors. The THC utilized two mechanisms for building these self-standing entities; capacity building and building commitment.

Unlike other divisions in the agency that operate on a project base (i.e., case-by-case), the THC wanted THTP and VIP programs to be planning-oriented entities. This planning emphasis encouraged the agency to focus on creating organized and self-standing structures at both the regional and local levels. To enable these structures to actively cooperate with the agency, it sought to build their heritage management capacities. It, therefore, utilized two mechanisms for capacity building: providing support and instilling confidence. Both THTP and VIP offer the regions and communities different types of support, including financial, training, educational, technical, marketing, and networking assistances.

Financial assistance takes the form of salaries to the regional coordinators[43] and the provision of grants. Training is offered to the involved stakeholders to enhance their heritage management skills. THTP provides managerial training and VIP provides technical training. Educational assistance is given to educate the stakeholders about different activities that would enhance their heritage management performance (e.g.: design guidelines, preparing brochures, and museum management). Technical assistance is given specifically through THTP to asses the visitation in the regions before launching the program in the region. Marketing is also provided

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[43] Regional coordinators are the only fulltime employee in the regional organizations; in addition, THC pays $50,000 per year for the first three years after the regional organization's inception.

by THTP to promote the historical destination in the region through brochures, media placement, and websites. And finally, the THC supplies contact information to its related stakeholders to build channels of assistance between the stakeholders and other experts inside or outside the agency.

In addition, since the partners work independently, the THC is also concerned about having partners confident of their heritage management skills. It thus provides them with standards of roles and responsibilities that allow flexibility and creativity in accomplishing them. They are convinced that they can accomplish these roles through utilizing the diverse type of supports provided by the agency. Additionally, the THC ensures that the stakeholders feel ownership of their programs and plans.

5.3.2 Building mutual commitment between the THC and its partners

Through these assistances the THC seeks to create effective management leadership and skilled stakeholders at both the regional and local levels. Since the stakeholders partner with the THC through voluntary, not-for-profit organizations and groups, building commitment with them is paramount. The THC thus takes proactive steps to create commitment. The THC staff visit the regions and communities to discuss the programs and their benefits, assist in preparing for the application, and provide advice. At the same time, the communities are required to show solid support in order to ensure continuous involvement in the programs and assistance with implementation of their strategies and plans.

Since the THC agency relies on these local entities to assist it over the long-term, it seeks not only to create commitment, but also to maintain and sustain it. It achieves that through using a stick-and-carrot strategy. It keeps pressure on them by monitoring their accomplishment, but also allows them seed benefits (e.g. marketing their destination) to assist them and their

communities. Momentum is kept both formally (through monthly reports) and informally (through telephone calls or in-person conversation).

Since the THC endorsed a decentralized approach for its heritage management efforts, it accepted volunteer-based and organized partnerships with entities at both the regional and local levels. The ten regions involved in THTP program represent their counties (e.g. the Forest Trail represents thirty-five counties that include one-hundred and eight communities[44]), and the localities are represented by interested groups willing to participate in the VIP program (the average number of participants in the Nacogdoches visioning process is around 22 residents). The THC used its limited staff and available resources in the two programs to coordinate heritage management between the state and these regional and local entities. They empower them through creating skillful partners and establishing self-standing regional organizations and civic groups.

In summary, the THC's approach to decentralizing heritage management entailed creating a manageable number of independent entities at the regional and local levels and empowering them with strong leadership and commitment. Such an approach would assist the THC in its heritage management efforts because these independent entities will be effective partners in achieving the main goal of its heritage programs: maintaining the physical environment and achieving economic development. However, it is necessary to question how effective the THC is in coordinating the heritage management efforts between these entities that are related to each other through an interdependent relationship. This is discussed in the following section.

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[44] Source: the Forest Trails Region website (TFTR, accessed 06.14.06)

5.4. Sustainability in the THC's Heritage Management Institutional Structure

Three themes were identified in chapter IV for analyzing the effectiveness of the THC in achieving sustainability in the historical built environment: (1) coordination at the state, regional, and local levels; (2) strategic planning for heritage management; and (3) good governance.

5.4.1 Coordination at the state, regional and local levels

Partnership is critical to the THC's heritage management institutional structure. As noted, the THC tends to institute partnerships with established non-profit organizations at both the regional and local levels. The THC took the responsibility of providing codes of conduct to identify the roles and responsibilities of partners at each level. According to this code, THTP assists the regions in formulating and structuring their organization; providing technical, financial, marketing, and promotion assistances; facilitating strategic planning; and conducting assessment inventory. The regional coordinator, the board of directors, and the taskforces each have different roles. The board is the decision making entity on the strategic planning, financial and administrative matters. The regional coordinator acts as a mediator between the region and the THC and also conducts the day-to-day administrative responsibilities of the organization. The taskforces are made up of the volunteer component of the organization. They participate in implementing the strategic plans. VIP staff describes the roles and responsibilities of the THC and the communities in its visioning process guidebook. According to the guidebook, the THC's role is to facilitate the process, and the communities are responsible for organizing the process locally.

THC clearly identifies the roles and responsibilities of each level. However, this approach has implications for the type of authority granted from the THC to the other levels, and the comprehensiveness of this coordination structure. It was found that these partners are given

limited authority. It is an administrative authority that allowed transformation of the THC's managerial authority to validate the actions of the partners both regionally and locally. Accordingly, it was a unidirectional, top-down coordination where the higher levels influence the roles and responsibilities of the lower levels, but the inverse is not true. The THC, for example, can participate in the organizational structuring and the strategic planning of the regions, but it does not allow the regional board to influence the THC's program or its agenda. Also, the regions are able to participate in the locally-based visioning decision-making processes, but localities can participate in the regional meetings only as brainstormers and later as implementers of the strategic plans developed by the board.

Besides providing limited authority to the regional and local levels, it was found also that the THC is not building a comprehensive coordination structure between all the levels. There is a gap between the THTP and VIP programs that operate at the regional and local levels. Participants in these two programs do not coordinate their roles and responsibilities—with the possible exception of marketing coordination, such as including a historical site in the Forest Trail brochure or on its website. So, the coordination between the two programs occurs mainly based on the need to implement the strategic plans developed from the visioning processes. Even at the state level, these two programs do not coordinate their roles and responsibilities. Each works within its own world.

Clearly, the THC wanted to retain the coordination power at the state level. It wanted the other centers to stay attached only to the state, with minor coordination between these other centers. Besides, this central coordination is administrative-based through which the other centers are authorized to undertake the roles and responsibilities that serve the good management of the programs and their success. Such administrative-based coordination impacts the nature of communication and networking between these diverse levels.

THC allowed and encouraged open and direct communication between itself and its partners, and between the partners themselves and with the public. Communication with the partners occurs for administrative and monitoring purposes. THTP, for example, keeps continuous contact with the regional coordinator to trace the accomplishment of their responsibilities and strategic plans. The same approach is used in the communication between VIP and its communities. However, it was found in the analysis that besides this administrative networking, regional partners are seeking policy networking that allows them to communicate with the THC about their opinions and concerns. These networks should be active to allow meaningful dialogue, consultation, and communication between the THC and its partners on a wide range of issues, including strategic issues, which need to be drawn up and negotiated.

THC believes in institutional development and capacity building for its partners. They support the regions and localities mainly through training and upgrading of staff skills and knowledge in the operation of their duties in the programs. By creating these active partners, the THC permits the transmission of its administrative authority to them and validates their acts at both the regional and local levels. The THC's concerns about the success of the programs and their continuity did not encourage the decentralization in power and policy authority. Such an approach was found to affect the strategic planning processes that have been adopted in managing Texas heritage.

5.4.2 Strategic planning for heritage management

The strategic planning process was analyzed in chapter IV through three main categories: (1) stakeholders' participation, (2) stakeholder influence in participation, and (3) strategic processes. The following section will describe the results of this analysis.

5.4.2.1 Stakeholder participation

THC adopted the principles of sustainable heritage tourism provided by the National Trust for Historic Preservation. One of these principles encourages a collaborative approach to creating the heritage tourism programs in which partners from different sectors, groups, entities, and levels are actively involved in the program. Accordingly, THTP promotes inclusiveness in its heritage management programs, both culturally and regionally. However, it was found that this perspective has been practiced differently between the state, regional and local levels.

At the state level, it was found that the THC conducts its strategic planning processes in a closed environment that includes only the THC staff. Input from other the THC staff (e.g. VIP staff) was not possible except for facilitating purposes. Also, their partners at the regional or local levels were not invited to provide input to affect the state THTP strategic plans. So, although the THC adopted an inclusive approach, it did not enable it at the state level, but only at the regional level.

At this level, although the THC declared that the program should be inclusive both culturally and regionally; it was found in the Forest Trail that inclusiveness is possible only geographically. The board included members that represent the three physical parts of the region: the northern, southern, and central areas. However, it did not achieve cultural inclusiveness because the board is void of cultural diversity. It is served by fifteen Anglo-American members who have similar social and educational status. Furthermore, the board has representation from limited entities, which are mostly tourism-oriented, including Convention and Visitor Bureaus directors, Chamber of Commerce directors, Economic Development and Main Street directors, museum specialists, and a historic sites manager. The board is, therefore, dominated by tourism specialists with minor representation from the historic preservation sector and an absence of any other related entities (e.g. the private sector).

While stakeholder involvement was restricted at the state level and limited at the regional level, it has a different dimension at the local level. VIP conducts open forums that allow any interested resident in Nacogdoches to participate in the visioning processes. However, the THC puts more emphasis on the participation of the local authorities, such as city council members or planning and zoning representatives. Participation of this sector is important for VIP staff to ensure the success of the process and the program because these people have the power to facilitate the implementation of the plans. As Chapter IV shows, the THC does not appear to be making adequate efforts to the involvement of the multi-cultural groups in the city (Hispanic, Native American, and African American) or other pertinent groups.

This cultural representation was absent not only at the local level, but also at the regional level. Several factors and barriers were found to affect their involvement, including: the difficulty of reaching a consensus if they are involved, the fact that their involvement requires leadership, language barriers, their lack of willingness to participate in the THC's programs, cultural differences between the ethnic groups, and lack of communication and understanding between the groups. It was found that the THC and its partners are making minimal efforts to overcome these barriers.

Even though the THC adopted a decentralized approach that is meant to increase stakeholder involvement in the heritage management efforts, it did not succeed in achieving participatory and inclusive programs. The programs are still dominated by the elite groups, with no serious efforts to have broader participation of new decision makers. The THC accepts a limited number of partnerships that can assist it achieving success of the programs. This perception was found to affect the active role of the partners and their influence on these programs, especially THTP, at the regional level.

THC builds capacity in the regional organizations by assisting with the creation of the local organization and participating in its strategic planning. The THC has been involved in the Forest Trail strategic planning sessions since The Forest Trail's inception in 2000. The THC emphasizes that they participate merely to facilitate the process and reach a consensus. However, the analysis demonstrated that the THC's involvement is more than simply facilitators. They are actively influencing the regional strategic plans in order to ensure that it is fulfilling the goals and objectives of the heritage tourism program at the state level. As such, the backgrounds of the board members (who are purportedly the decision making entity in the regional organization) did not influence the strategic planning agendas. Instead, they were oriented to work on organization-building to ensure viability and continuity.

In summary, the focus on achieving the goals and objectives of the programs prevented pluralistic and diverse stakeholder participation. Involvement of new decision makers was not widely sought. In some cases it was even prevented, especially in the first year when the THC works with the region to identify the organizational vision and mission statements. New participants were accepted after the first year, but they are involved only as brainstormers who can work in the plans, but not on it (i.e., working on the decision *taking* processes but not on the decision *making* processes). While the THC accepted the decentralized approach in its heritage management institutional structure, the other centers in this system are mainly utilized to serve the needs of the THC. The THC wanted to retain its policy making control, and it achieved that through limiting the stakeholders involvement and giving secondary roles for those involved as mediators at the regional level. The influence of such an approach for managing Texas heritage was also found to affect the systematic planning processes at its different stages. The following discussion illustrates this finding.

5.4.2.2 Strategic planning

Processes for undertaking decisions are influenced by the approaches that are adopted in the heritage management policies. As mentioned in the first part of this chapter, the THC sought to link historic preservation with heritage tourism to enable historic preservation to have a successful role in the economic development in Texas. This implied that enhancing the economy through heritage management depends mainly on increasing the tax revenues generated from heritage tourism at historical destinations in Texas. Such an economic-centered perspective on tourism influenced the strategic planning for heritage management at the different levels. Tourism is approached through a positive lens that does not accept any negative impact over the communities and their lives. In short, all the stakeholders involved in the THC's heritage management institutional structure think that tourism is the economic savior for the communities, especially in the rural areas in east Texas. Accordingly, the strategic plans are prepared without conducting any assessment studies (social, economic, cultural, and environmental) to appraise the potential negative impacts of tourism on the communities. The only form of analysis made by the THC or the regions is the SWOT analysis (Strength, Weaknesses, Opportunities, and Threats). This is an organization-oriented assessment to evaluate the impact of any external or internal factors on the success of the program in achieving economic development. In other words, it addresses impacts *on* the program; not on the impacts *of* the program on the general public.

Based on this type of analysis, the strategic plans at both the state and regional levels have a program-oriented vision and economic-focused mission statements. They are not targeting public well-being even though the THC adopts the state's vision which puts the people at the center of their beliefs. The state vision reads as follows:

> We envision a Texas where all people have the skills and opportunities they needs to achieve their individual dreams; a Texas where people enjoy good health, feel safe and secure from harm, and share a quality of living; a Texas where we and future generations can enjoy our continuous natural and cultural beauty and resources" (THC, 1994/1996).

Concerns about the program and its economic achievements challenge the historic preservation influence over the heritage management strategies and plans. The strategic plans at both the regional and state levels are oriented to serve the tourism needs with minimal consideration of other historic preservation related issues. It was found that two factors affected this one-sided view of tourism; first, the composition of the board, which is dominated by tourism specialists, and second, the emphasis on developing strategies that can achieve the goal of increasing visitation to historical destination in Texas—the main concern of the state government. So, even though the THC declared that the regional organization is the place for creating a sustainable partnership between preservationists and tourism planners (THTP, 2004), economic priorities are weakening the role of preservationists in enabling successful and comprehensive strategic planning. For instance, the plans are void of any component that reflects the historic preservation needs and values of heritage management, site management or visitor management.

The limited nature of the historic preservation component in the strategic plans is accompanied by an absence of input from the lower levels to inform the strategies and plans of the higher levels. Development of the strategies does not utilize any mechanisms to include public input in identifying its goals and objectives. Further, and despite the fact that the VIP program works with the communities to reach a consensus in identifying their major issues, concerns, and goals, these mechanisms are not used to inform the strategic plans at the regional or state level. As discussed earlier, the THC conducts its strategic plans through closed sessions

and the regional strategic plans are organized to serve the THC's goals and aspirations in heritage tourism. It is a top-down approach that allows the goals and objectives of the higher levels to affect the lower levels, without considering the public concerns and values.

Since the THC is worried about achieving its economic and tourism goals and the success of its programs, it utilizes monitoring systems to assess the accomplishment of these goals. Part of the Forest Trail board meeting is used to discuss the achievements of the taskforces with reference to the working plans, and the VIP staff maintains continuous communication with the communities to trace their evaluation in the working plans. Even though these monitoring systems have the advantage that they are utilized continuously, they are not oriented to assess the short-term and long-term impacts of the programs on the communities and the general public. Accordingly, the public input is again not sought in this phase of the strategic planning and the strategic plans are not distributed to the public.

In summary, the THC has, thus far, succeeded at managing heritage through a civic-based participatory approach that considers the engagement of a wide variety of interested parties. Inclusiveness was sought only for specific organized groups that can assist the agency in achieving the internal goals and objectives of its programs. Because of this emphasis on the program, participant stakeholders were not granted the opportunity to play a meaningful part in the overall partnership-building development. They were involved only in a limited number of negotiations on specific issues that partially considered their needs and those of the wider context. So, even though the THC adopted a decentralized approach, it did not acknowledge the legitimacy of its other centers to affect the administration or the governance of the heritage management institutional structure. Its operating style is limiting their accessibility to the institutions and the processes. This limits the accessibility of the lower levels to its strategic planning process and restricts the accessibility of the public to the regional strategic planning

processes. This was especially in the first year, which is very important because that was when the organization established its overall agenda and framework. The following sections illustrate the study results about the THC's approach to good governance.

5.4.3 Good governance in the THC's heritage management institutional structure

Chapter IV provided an analysis of good governance through two main categories: accountability and equity and fairness through good governance.

5.4.3.1 Accountability

THC announced its accountability to the public and cultural groups in its 1995-1996 Biennial Report "Breaking out of the Box: New Approaches to Historic Preservation" (THC, 1994/1996). It wanted to be committed to the people and to the cultural diversity in Texas. However, the realization of this aim is not supported by the findings after analyzing the accountability of the THC through its heritage management institutional structure.

Accountability has different approaches at the different levels. At the state level, the THC is concerned with demonstrating the importance of its heritage tourism program to the state legislature to ensure its own continuity. Accordingly, the THC seeks to promote its program and expand its outreach to the public. It also provides services to the public upon their request. It is also responsive to their in quires for information or assistance. At the regional level, the organizations are trying to fulfill the expectations of the agency to ensure their continuous commitment in supporting the organization with technical, networking, marketing and financial services. They also assist the agency in its advocacy efforts through spreading the information about the heritage tourism program and its benefits.

So, accountability through the decentralized heritage management institutional structure is operating in a unidirectional, bottom-up approach where the lower levels seek advocacy at the higher levels. The agency does not use this decentralized structure to establish solid links with the people and thereby increase their role and participation in heritage management. When the THC created the regional organizations, which would ideally be accountable to local populations and convey their needs to the state level, it reoriented their accountability to the higher levels to ensure the continuity of the program. The marketing services that the agency and its regional organizations provide to the public were the venue for expressing the agency's commitment to enhance the public wellbeing and their economic capital. It thus did not consider the importance of heritage management in achieving the social capital and equity between the multiple cultures that have contributed to the history of Texas. Its accountability to the cultural groups is only sought to enhance marketing strategies and thus increase visitation of tourists eager to know the authentic history of the ethnic groups in Texas. This marketing emphasis along with the adopted accountability policies negatively affected equity building between the communities and ethnic groups.

5.4.3.2 Equity and fairness through good governance

The agency required solid support from 75 percent of the counties in the Forest Trail region to ensure the long-term viability of the regional organization. However, of the 35 counties that represent 108 communities in east Texas, only 15 counties are participating as decision makers on the regional board of directors. Limitations are placed on involving new stakeholders in the regional organization because the board does not advocate large boards, as they hinder consensus building. Involvement of new stakeholders is thus conditional on finding a replacement with a past board member and demonstrating participation commitment. Otherwise,

new stakeholders are involved as brainstormers to assist in implementing the pre-established strategic plans.

Placing such restrictions on institutional accessibility is affecting fairness in distributing the benefits and services provided by the regional organization. The board is allowing participants to benefit through building channels of awareness, exchanging experiences, building friendship and networking, and getting valuable information that assist the participants in their local heritage management activities. The Forest Trail board meeting, for example, includes educational components that provide valuable information about financial and technical issues that assist the participants in enhancing their heritage management performances and eventually increase visitation to their communities. Such information is not provided to other non-participating communities within the region. So, even though the agency emphasized the regional organizations about the importance of adopting a regionalism approach; regionalism is only seen through the equitable distribution of marketing services provided by the regions and the agency. Other services are restricted to the participants to encourage their long-term commitment to the organization and the agency.

5.5. Summary

The findings show that the THC's priorities are not consistent with a sustainable development paradigm. The THC advocated the environmental (physical) and economic dimensions of sustainability but not the cultural and equity obligation. This focus does not make the people the foundation of its development strategies. Rather, it puts emphasis on the economic success of its heritage management programs to demonstrate the economic viability of historic preservation. Although it adopted decentralized strategies that utilized the regions to facilitate the transition from centralized policies to policies more reflective of local realities, its

accountability structure negatively affected the effectiveness of these strategies. It created upwardly accountability where accountability is transferred to the state level instead of a downwardly accountability that is responsive to the public and their needs. Impacts of the upwardly accountability structure on the effectiveness of heritage management can be summarized as follows:

1. **Inadequate home-grown partnership.** The THC accepted a multi-part system and participation in heritage management. While this is commendable and is a positive sign of its interest in being collaborative, however, this partnership witnessed the following:

- **Absence of wide participation:** Partnership focuses on the organized not-for-profit organizations which include a limited number of participants and representatives to act as managers and arms to the state. Partnership strategies are therefore not used to increase citizen engagement and make the society more inclusive. Rather, limitations are placed on participation, especially at the early stages of the strategic planning.

- **Inadequate consideration of representative partnership:** Partnership does not consider community, cultural, and background representation. Concerns are focused on having geographical representation and tourism-related entities.

- **Limitation of participation:** Accessibility to the regional institution is not always possible because of the barriers created for participation. Involvement of new stakeholders is not easily feasible as decision makers (i.e. as board members), which hinders the equitable distribution of participation opportunities for willing regions and groups in the society. Also, participation of marginalized groups is conditional on demonstrating effective leadership.

- **Rhetoric participation:** The programs utilize a de-concentration strategy where the decision-making authority is retained at the state government level while giving the other centers (regional representatives) authority only over everyday management, i.e., authority on financial and administrative issues. It is a process of reallocating the responsibilities that the agency cannot fulfill from their location in Austin without enabling policy decentralization through which partners can have a certain degree of influence on state policy or have actual influence over their own regional strategic plans.

2. **Supply-driven policies rather than demand-driven policies.** Heritage management is based purely on supply-driven policies through the services provided by the state government authorities. It does not take into account the demands of the local population. It does not create a bridge between the local and regional levels to bring the local needs and goals to the higher levels. Its two programs (THTP and VIP) operate in separate environments with only minor coordination in the implementation of the community plans. Its strategic plans at both the regional and state level are not based on public input; therefore, there is no mechanism for the needs and concerns of the local people to inform the vision, mission and goals of the policies and strategic plans. Furthermore, these strategies are not preceded by comprehensive strategy-analysis to assess the potential impacts on the public and communities.

3. **Purposive capacity building.** The THC seeks to create partners with effective management capacity to assist in the system of policy implementation. Accordingly, the agency provides support for capacity building mainly to its partners, who act as arms to the state at both the regional and local levels. The general public is dealt with like customers who can merely benefit from the agency's public services.

4. **Lack of policy-based commitment.** The THC focuses on building and sustaining administrative commitment with its partners to ensure the continuity of the organization and the heritage tourism programs. Again, this is an important and considerable move, but so far, little consideration has been given to create policy commitment through which partners and citizens can enter into the policy debate to identify priorities and develop joint activities. Instead, the communication and networking systems are used for informational exchange and monitoring purposes. It is not used for opinion exchange or for engaging the partners or the public in a meaningful dialogue on day-to-day issues and strategic partnerships.

5. **Inadequate sensitivity to the legitimacy of voiceless groups.** Minimal efforts are being made by THTP and the VIP staff to craft procedures for increasing the voice of traditionally marginalized ethnic groups in the communities. The few efforts that are made are done so with the express purpose of enhancing the marketing strategies to ethnic groups to increase tourist visitation to cultural destinations.

6. **Lack of a holistic approach.** Policies and strategic plans of THTP program are economic and tourism-centered. They do not reflect the complexity of the cultural and environmental contexts of sustainability.

7. **Poor systems for monitoring continuous improvement.** Monitoring systems are goal-oriented to assess the implementation of the strategic plans. They do not consider the impacts of the policies and plans on the wider social context. Furthermore, monitoring is done by the key actors and partners. The public is not provided information about the agenda of the programs and they are not consulted (formally or informally) on assessment of the impacts of the heritage management activities and the possible shortcomings of the programs.

While the THC has implemented some very good measures for decentralizing decision making and involving local stakeholders, its activities also create a number of obstacles. These

obstacles are affecting the effectiveness of the THC's heritage management program in achieving sustainability in the historical built environment. Adopting a decentralized institutional structure is a challenging initiative because it is subject to issues of partnership, power, and accountability. It will require the government to put the present and future generations at the core of its heritage management philosophies and approaches. It also requires more than disposition of public resources. Actual devolution of authority should include a meaningful transfer to the other centers in order to be able to act as an active mediator for the local public that they are representing. However, these authorized bodies must be accountable to the public that they represent. When accountability is approached in this way, it enhances opportunities to broaden public participation and involvement in decision making. It will also assist the government in achieving not only good management but good governance, since it will guide the organizations to more closely align with the social and cultural realities of their communities and develop meaningful and responsive heritage management policies and strategies.

Fostering and broadening participatory development promises a more equal distribution of benefits within and between communities. Their participation should be empowered by developing the capacity of everyone who can increase a political and administrative commitment to sustainable heritage management. It is not enough to provide support only to upgrade the skills and knowledge of key stakeholders operating in heritage management duties. The program can develop confident and committed participants representing a wide variety of parties with different backgrounds, cultural ethnicity, and social status. Their training should enhance their skills in the areas of creating, implementing and monitoring heritage management policies and strategies.

Building capable entities should be accompanied by open systems of communication and networking. Such networks should allow partners and stakeholders to mutually support and benefit each other through exchanging information and assistance that will allow policy debates on a wide range of issues related to heritage management. Technology can facilitate this goal by being a medium for the distribution of information. The internet makes it feasible to create a forum for discussion and maintaining a commitment to the on-going process of heritage management, regardless of the location of the participants.

Commitment to the public can assist the agency's aim to contribute effectually to sustainable development through advancing social capital and social cohesion. It will be able to bridge the gaps between the cultural differences and instead build mutual channels of communication and understanding between the cultural groups. It will then be able to bridge the existing barriers that prevent the participation of marginalized groups.

These concepts delineate the main principles that should be considered for integrated heritage management. They are based on the case of the Texas Historical Commission with reference to the theoretical framework. They are summarized as shown in Table 5.1.

Table 5.1 Empirical framework for integrated heritage management based on the evaluation of the heritage management institutional structure in the Texas Historical Commission

Theme identified in the study	Propositions based on the study	Principles corroborating theoretical framework
Holistic approach to sustainability through HP-HT relationship	Proposition (1): Integrated heritage management should put the people at the center of its policies and strategies in order to be able to effectively address the environmental, social, economic and cultural values of the heritage. Proposition (2): Integrated heritage management should be able to acknowledge the symbiotic relation between historic preservation and heritage tourism to mutually support each other in achieving sustainability in its different dimensions. Proposition (3): Mutuality requires active interaction between historic preservationists and heritage tourism specialists which can be achieved through integrated programs for preserving and developing the historic built environment.	**Historic preservation-heritage tourism interconnection.** Heritage management policies and strategies should consider the environmental, social, cultural and economic dimensions of sustainability.
Creating self reliant and empowered bodies	Proposition (4): The government should be able to provide all possible supports to its partners in the heritage management institutional structure to build their heritage management skills in their localities and meanwhile be able to actively coordinate their efforts with their partners at the other levels. Proposition (5): leadership building should allow creating skilled partners responsible for heritage management on their own. Proposition (6): Empowering partners is enhanced by enabling partnerships in the program and policies, not only in the implementation of the strategic plans, i.e. it is important to allow partners to have control over the program and policies.	**Capacity building and leadership building to empower partners.** Capacity building and leadership building should be enabled for all relevant stakeholders and allow their active participation in heritage management policies and strategies in its different stages: the making, implementing and monitoring.
Building mutual commitment between the THC and its partners	Proposition (7): The state should be proactive in creating commitment with its partners at both the regional and local levels to motivate their participation in heritage management efforts. Proposition (8): Gaining the partners' commitment is enhanced through attaining sufficient and effective support from local officials, communities and all concerted cultural groups. Proposition (9): Maintaining commitment requires continuous interaction and communication between the different levels and partners on issues related to both administrative and policy concerns. Proposition (10): Maintaining commitment is enhanced by enabling partners to benefit from their involvement to contribute to sustainable development in their localities.	**Building commitment.** Mutual policy commitment between the state and its partners at the local and regional levels is vital for an effective integrated heritage management system in a multi-layer institutional structure.

Table 5.1 Continued

Theme identified in the study	Propositions based on the study	Principles corroborating theoretical framework
Coordination at the state, regional and local levels	Proposition (11): Partnership building should be sought from all relevant stakeholders, entities, groups and communities. Proposition (12): Roles and responsibilities of each partner should be negotiated between all affected partners and clearly identified. Proposition (13): Coordinating the roles and responsibilities should be accompanied by delegating authority on administrative as well as policy actions to partners at both the regional and local levels Proposition (14): coordination should be multidirectional among the state, region and localities, and among the regions and localities. This multidirectional coordination should allow the concerns and issues of the lower levels to inform the policies and strategies at the higher levels. In other words, it will allow the creation of policies based on the public demands. Proposition (15): Communications between the state, regions and localities should be made through active networks that allow the exchange of not only information and assistance, but also opinions and concerns about the heritage management program, policies and strategies.	**Coordination between involved partners and stakeholders in the heritage management institutional structure**. Heritage management that is based on partnership among several entities at all levels of government should allow equitable partnership and effective coordination and communication among these partners.
Strategic planning for heritage management	Proposition (16): Integrated heritage management should ensure the participation of a wide range of partners representing the diverse entities, groups, and stakeholders in the society. Proposition (17): Participation should be granted legitimacy to participate in the decision making, decision taking and monitoring of the policies and strategies. Proposition (18): Participation should consider the diverse needs of the participants and allow them to influence the policies and strategies of the program.	**Stakeholder participation in planning processes**. Planning processes should be inclusive to the diverse groups, entities, communities and stakeholders to enable their active influence over decision making.

Table 5.1 Continued

Theme identified in the study	Propositions based on the study	Principles corroborating theoretical framework
Strategic planning for heritage management	Proposition (19): Planning for integrated heritage management should consider both the long-term positive and negative consequences of tourism on the communities and the state, including: environmental, economic, social and cultural impacts. Proposition (20): Planning for integrated heritage management should be based on comprehensive analysis that considers the impacts of the policies and strategies on the programs and of the programs. Proposition (21): Goals and objectives should be created through an interactive approach that allows the concerns of localities, regions and the state to inform the common goals of the heritage management policies and strategies. Proposition (22). Vision and mission statements of the integrated heritage management entities should be based on the people and their social, cultural, and economic wellbeing. Proposition (23): Strategies and action plans in integrated heritage management should be able to address the issues related to all affected communities. Additionally, it should be able to reconcile the interests of both historic preservationist and heritage tourism developers. Proposition (24): Policies, strategies and plans should effectively consider the public input to inform not only the strategic implantation but also the strategic preparation and monitoring. Proposition (25): Monitoring systems should be effective and allow the assessment of the goals of the policies and strategies as well as the social, economical, environmental and cultural impact of these policies on the general public.	**Strategic approach in planning processes**. Planning processes should be strategic to ensure the full consideration of all relevant aspects necessary to achieve integrated heritage management.

Table 5.1 Continued

Theme identified in the study	Propositions based on the study	Principles corroborating theoretical framework
Good governance	Proposition (26): Policy making and program development for heritage management should be downwardly accountable to the public to meet their needs and aspirations.	**Good governance in integrated heritage management**. Policies and strategies should be accountable to the public in order to be able to achieve inter-generation and intra-generation equity in the society.
	Proposition (27): Accountability and sensitivity to all cultural groups should be considered to mobilize their willingness to participate in heritage management.	
	Proposition (28): Transparency and open accessibility to the heritage management programs, policies and plans is necessary to ensure fairness between all concerned stakeholders, groups, entities, and communities.	
	Proposition (29): Provisions of the benefits generated from heritage management should be equitably distributed among all concerned stakeholders, groups, entities, and communities.	

This table delineates a empirical framework for effective heritage management practices based on the results that have accumulated from this study. The issues that have been addressed will be instrumental in enhancing the institutional design of heritage management in the Texas Historical Commission. To ensure that a comprehensive picture is provided about all the issues and concerns that should be considered for an effective integrated heritage management, this empirical framework will be supported by the concepts that have been addressed in the theoretical framework extracted from the literature in chapter II. This will assist in achieving the third objective in this study: developing an integrated heritage management framework that guides state agencies in historic preservation. This answers the third research question: what are the key criteria for developing an integrated framework for historic preservation and heritage tourism at the state level? A pattern matching technique is used to establish a dialogue between

the empirical and theoretical frameworks and identify a comprehensive set of integrated heritage management criteria. Table 2.2 in Chapter II shows the theoretical framework, its concepts and propositions.

5.6. Rethinking Sustainable Heritage Management

Heritage management and tourism planning have been widely discussed in the literature. Authors based their discussion on sustainability principles in order to mobilize tourism planning efforts toward a more responsible tourism that maximizes the benefits and minimizes the impacts on the people and their wellbeing. They examined different levels of emphasis on the environmental, economic, and socio-cultural aspects of sustainable development. Current approaches for sustainable tourism put more emphasis on the cultural rationale as it will be the venue for achieving inter-generational and intra-generational equity and fairness. Tourism planning paradigms borrow from theories related to stakeholders and organizational management to emphasize the importance of the human and cultural dimensions of sustainability.

This study also argues that accountability to the people and their concerns should be a key principle in heritage management. Heritage management will then be able to achieve sustainability because it will integrate historic preservation (to maintain the built environment) with heritage tourism development (to enhance economic development) for the wellbeing of, and equity between, the people. However, such attempts might be challenged by several obstacles, especially when heritage is managed through preservation-based government organizations such as the case of the THC. As shown in the findings from this study, the effectiveness of the THC at enabling sustainability in the built environment is affected by the approaches and philosophies that have been adopted for heritage management, and also by the mechanisms for applying these philosophies. Although the agency utilized a multi-layer institutional structure, it was not able to

maximize the benefit from this structure to create heritage management policies that are accountable and sympathetic to the core needs of the communities. Accordingly, its efforts and priorities were not consistent with a sustainable development paradigm.

This study provided insights to the real issues that should be considered for evaluating the effectiveness of heritage management in enabling sustainability. Some of these issues have been addressed in the literature, but this case also added new perspectives that build upon the existing theoretical concepts and principles to create a framework for integrated heritage management. Presenting a dialogue between the theoretical framework (extracted from literature) and the empirical one (concluded from the THC study) has been instrumental in delineating the key criteria for developing an integrated framework for historic preservation and heritage tourism at the state level—the third question of this study.

5.6.1 Holistic approach to sustainability

The World Tourism Organization provides three main criteria for sustainability (McIntyre *et al.*, 1993). The first is socio-cultural sustainability to advance people's control over their lives and strengthening their community identity. The second is environmental sustainability to ensure the protection and continuity of the environment (both the natural and built environment). The third is economic sustainability to enable prosperity and wellbeing for current and future generations. Based on that, Garrod and Fyall (1998) argued that tourism planning should be able to maintain diversity in the social, cultural, economic and environmental systems in the community (proposition A in Table 2.2). Even further, Bramwell and Lane (1993) and Robinson (1999) emphasize the importance of considering the concerns of the community and related stakeholders. The study findings (as presented in proposition 1) correspond with this research and further argues that addressing the concerns and interests of localities requires a

meaningful level of accountability to the people. Accountability is instrumental, especially with a decentralized organizational structure that can witness several political challenges, in effecting its responsibility to the public.

In heritage management, dealing with the three core dimensions of sustainability in the historical built settings is challenged by the involvement of two main interest groups in heritage management: historic preservation and heritage tourism (Orbasli, 2000; McKercher & Du Cros, 2002; Nasser, 2003). These two groups have different, and sometimes conflicting, approaches for heritage management. The United Nations on Environment Program (UNEP, 2002) suggests developing policies that support historic preservation and tourism development (based on proposition B in Table 2.2). Based on propositions 2 and 3 in Table 5.1, this study finds that it is not enough to recommend preparing integrated policies. Effective integrated policies can be prepared only when there is meaningful interaction between the two concerned entities: historic preservationists and tourism developers. This relationship can be described as symbiotic because the connection between them is mutually beneficial, and they provide support for each other. Unless these two entities acknowledge the symbiotic relation that connects them, heritage management policies will be dominated by the interests of one sector in the absence of the other.

The THC case shows that even HP and HT can be brought together through heritage-based programs; it is not necessary that they both affect heritage management policies and strategies to the same extent. The Forest Trail Region undermines the voice of historic preservation in its strategic plans because the board is dominated by heritage tourism interests. So, the claim of McKercher *et al*. (2004) that the relationship between historic preservation and heritage tourism can be successful even if there is a parallel relationship between them is not supported in this study. Although the THC connects HP with HT in its programs and allows mutual acknowledgement between them, it does not enable the legitimization of the voice of the

HP interest group. Accordingly, this study suggests that connecting HP with HT through such programs should enable effective interactions that legitimize the values and aspiration of both interest groups.

The research identified two main issues under the concept holistic approach:

- Accountability to the public as an overarching principle in integrated heritage management, and
- There is a need for active and continuous interaction between historic preservationists and tourism developers in developing heritage management policies and strategies.

5.6.2 Legitimacy and voice

Three concepts have been identified under the concept legitimacy and voice. These are stakeholder participation and involvement; stakeholder collaboration, and empowerment.

5.6.2.1 Stakeholder participation

Stakeholder participation and collaboration is one of the foremost issues that have been addressed in literature on sustainable tourism planning and management. It is argued that tourism planning should be inclusive to all related stakeholders (Garrod & Fyall, 1998; Gunn & Var, 2002; Jamal & Tanase, 2005). Freeman (1984) also argues that effective management requires identifying all concerned stakeholders and their interests. The THC case shows that the issue of inclusiveness is instrumental in heritage management. THTP and VIP are supporting inclusive programs which acknowledge the importance of having diversity of interest groups, communities, cultural groups and representatives from the diverse geographies in the region. However, practically, inclusiveness is challenged by other factors that make inclusiveness

difficult to achieve when heritage is managed by state agencies. Such factors include, for example: (1) attempts of the power holders to prevent the diverse participation as it might affect the reaching of a consensus and joint decisions and thus affect the achievements of the programs; (2) a lack of effort was made to incorporate a wide spectrum of diverse stakeholders; instead, the THC focuses mainly on the participation of stakeholders that enable the success of the programs; and (3) willingness of the concerned groups to participate, especially from the minority groups. Based on this study, adopting an inclusiveness approach should be accompanied by real efforts to deal with such factors; otherwise, inclusiveness remains rhetoric. If such factors are successfully dealt with and heritage management programs are effectively inclusive, then considerations should be given to take the concerns of all stakeholders in a timely manner (Freeman, 1984).

So, the main addition to the theoretical framework involving legitimacy and voice is to have wide participation of representation at the regional level from diverse entities, groups, interests, and communities.

5.6.2.2 Stakeholder collaboration

Stakeholder collaboration is a major issue in planning for sustainability (Jamal & Getz, 1995; Bramwell & Lane, 1999; Selin, 1999; Hall, 2000) It is specifically important in respect to communities and heritage owners as they are the groups the most affected by heritage management activities. Jamal (2004) argued that effective collaboration requires equal access to the decision making processes, equal decision making power and a history of liberal rights. Practically, this case shows that allowing equitable accessibility to the processes does not imply equitable decision making power. Regional organization in the THC heritage management institutional structure allows and encourages participation of new stakeholders through its open

meetings. However, they are involved to assist in implementing the policies and strategies, not as decision makers. Accordingly, findings from a case like the THC place more emphasis on the equitable distribution of decision making power to increase the influence of these new stakeholders over their heritage.

5.6.2.3 Empowerment

Empowering stakeholders is addressed in tourism literature as a method to allow stakeholders to practice informed participation (Reed, 1997; Araujo & Bramwell, 1999; UNEP, 2002). Mechanisms suggested in the literature include building channels of awareness between stakeholders; allowing transparency and accessibility to information, processes and institutions; capacity building of stakeholders; establishing educative programs; allowing local control over their resources; and persuading governmental support (Alipour, 1996; Jamieson, 1997; Reed, 1997; Garrod & Fyall, 1998; Araujo & Bramwell, 1999; Agere, 2000; Guraung, 2000; UNEP, 2002; Sofield, 2003; Jamal, 2004; Mbaiwa, 2005; Nepal, 2005). The case demonstrated the active efforts of the THC to empower partners at both the regional and local levels. Empowerment for these entities is instrumental in allowing them to practice active participation in implementing heritage management policies and strategies. The THC accordingly relies on two main techniques in setting up these entities. First, it assists in capacity building through providing diverse kind of supports (financial, technical, marketing, etc.). Second, it builds leadership through establishing responsible stakeholders and allowing ownership of programs and plans.

Although the THC undertakes these efforts to create empowered and self reliant entities at both the regional and local levels, this case study found that the THC is selective in its capacity building efforts. In other words, it is training stakeholders who are effectively involved

in the THC's heritage management institutional structure at both the regional and local level. Its attempt is to create organized and self standing entities at these two levels that can assist the THC in doing heritage management that the THC cannot do from their location in Austin. Consideration for creating a wide range of capacity building is thus minimal, and it is obviously absent for cultural groups, as both the Forest Trail and Nacogdoches VIP program are void of cultural representation. Accordingly, this study supports the importance of empowering concerned stakeholders. However, it places more emphasis on the need to consider equitable empowerment for concerned stakeholders and the diverse cultural groups.

Although empowerment is an essential aspect in both the theoretical and empirical frameworks, the THC case provides a new insight to the consequences of adopting empowerment strategies in setting up heritage management institutional structures that operates at different levels of government. The THC (the source of empowerment in the institutional structure) is promoting itself as a service agency. The case concluded that restricting the role of the agency to service provision creates supply-driven policies that are not responsive to the public's needs; i.e. not demand-driven. Accordingly, the case emphasized the need to build commitment between the THC and its partners at the different levels. It is an administrative as well as policy-based commitment that allows partners to interact continuously and to communicate on issues related to the operation of the heritage management programs and their policies.

5.6.3 Good governance

The theoretical framework approached good governance through its four main attributes: accountability, transparency, responsiveness, and equity building. These issues were grouped in the empirical framework under accountability and equity building.

5.6.3.1 Accountability

Gurung (2000) argues that decision making in decentralized institutional structures should be accountable to the public as well as to institutional stakeholders. The THC case emphasizes the importance of accountability to the public as a guiding principle for achieving integrated heritage management. It is important because heritage is managed through a multi-layer governmental institutional structure, where accountability is approached upwardly to the legislature and state agency with minimal consideration to public accountability. The impact of this approach in heritage management is manifested in abandoning demand-driven policies that are accountable and sensitive to the needs and aspirations of the public and diverse cultural groups. So the empirical framework supports the issue of accountability addressed in the theoretical framework. Furthermore, it emphasizes that accountability should be real and sensitive, especially in respect to cultural groups.

Transparency is another issue related to good governance. Gurung (2000) argues that transparency requires providing direct accessibility to the processes, institutions and information. Transparency in the THC case is mostly possible in providing information, but limited in accessibility to processes and institutions. The THC, for example, limits the participation in its strategic planning processes for the Texas Heritage Trails Programs. Partners at the regional level are not allowed to participate in crafting these processes. Furthermore, the THC does not grant transparent accessibility to the regional strategic planning processes, specifically during the first formative year after the inception of the regional organization. Practicing such limitations negatively affects good governance in the THC's heritage management institutional structure. Agere (2000) warned that the absence of good governance can damage the intervention role of government in the development processes. Accordingly, this case supports the theoretical framework. It also emphasizes that transparency can be enhanced if the government adopts an

accountability strategy that is downwardly oriented to address the needs and demands of the public.

Responsiveness is the third issue addressed in good governance. UNDP (1997) urged that institutions and processes should serve all stakeholders. Thorsell (2003) also argued that responsiveness should be considered for complains, concerns and inquiries of concerned stakeholders. The THC addresses responsiveness as one of its main approaches to demonstrate its accountability to the public. However, the THC mainly considers responsiveness in regards to queries, not complaints or concerns. Although this is important for enabling good governance, the THC case demonstrates that regional partners in the THC heritage management institutional structure demand policies that ensure government agencies are responsive to their opinions and concerns about the programs and their local agenda. As such, active mechanisms should be considered for creating mutual communication between the THC and its partners.

While the theoretical framework suggested accountability to the public, the empirical framework emphasized its importance, and added the following principles:

- Accountability should be downwardly approached to enable the creation of policies responsive to the public and their needs.

- There should also be accountability towards the diverse cultural groups.

5.6.3.2 Equity and fairness

Planning for integrated heritage management should allow stakeholders and communities to benefit from preservation and tourism development (Jameison, 1997; Jamal & Tanase, 2005). The THC case demonstrates the importance of fairness, especially when the government is adopting a regionalism approach. However, it was found that adopting this notion might not be adequate for ensuring fairness if it is narrowly implemented. Communities

participating in the regional trail are benefiting from all the services provided by the THC and the regional organization (e.g. education, training, networking, building channels of awareness, and exchanging experiences) whereas the rest of the communities in the region are only getting the marketing benefits. The THC case provides an approach for enabling equity and fairness in distributing benefits between communities, i.e. a regionalism approach. However, achieving equity through regionalism requires adopting inclusive and participatory programs that allow openness and accessibility to the institutions, processes, and information by all stakeholders.

5.6.4 Coordination between levels

Partnerships with regions and localities are vital in decentralized heritage management institutional structures (Murphy, 1985; Jameison, 1997; Araujo & Bramwell, 2002). The THC study is also innovative in bridging the marketing-planning gap discussed by Jamal & Jamrozy (2006). However, since heritage management is operating on a wide range, partnership is advised to be inclusive of a wider range of communities, groups, entities, and interests. Furthermore, the roles and responsibilities of each partner should be clearly identified through consensus building. The case of the THC shows that the agency retains its power for identifying the roles and responsibilities of all partners, which is found to affect heritage management in two ways: first, the roles and responsibilities are merely administrative and do not allow participation in the programs and their policies; and, second, the coordination was not comprehensive. The THC did not follow through with the need for coordination between localities and the regions to allow community-oriented heritage plans and strategies. Accordingly, the study concluded that roles and responsibilities should be negotiated by all affected parties and that it should be multidirectional coordination. This is important for developing community-oriented heritage plans that earn support from these communities.

Coordination should allow the state to cede power and authority to stakeholders at all levels (Simpson, 2001; Thorsell, 2003). Devolving power should allow these stakeholders to influence the decision making and decision taking processes. The THC case validates this assumption since the state is found to transfer its fiscal responsibilities and thus allows only administrative authority. Policy authority is also needed if the government adopts a decentralized heritage management system.

Issues of partnership, ceding power from the state to lower levels, and developing community are addressed in both the theoretical and empirical framework, but the empirical framework highlights the importance of two other aspects that should be considered when heritage is managed through a multi-layer institutional structure.

Consensus building in identifying roles and responsibilities ensures that lower levels will not be merely implementers for the policies prepared by higher levels.

There is also a need for multidirectional coordination among the state, regions and localities and between the regions and localities to allow the regions to be active representatives of the communities, not merely first arms of the state. This will also be true for developing community-oriented heritage plans.

5.6.5 Channels of communication

It is important to establish networks in the multi-layer institutional structure because it facilitates cooperation, coordination and information exchange (Pforr, 2006). Networks should be established to allow communication about administrative as well as other concerns and opinions of stakeholders involved in heritage management (Hall, 1999; Bramwell, 2006). The THC uses its communication channels mainly to exchange information, monitoring accomplishment and providing assistances (e.g. connections with experts, grant information,

events, etc). It is not enabling open communication and networking on issues for assessing the programs, its policies and impacts. Although the THC is utilizing active mechanisms for daily communication, such as electronic mailing, and telephone calls; the communication problem resides in the substance of these communications.

Both the theoretical and empirical frameworks addressed the policy networks, but the theoretical framework added the need for active mechanisms, which is an essential aspect to consider in creating heritage management strategies.

5.6.6 Planning processes

Both the theoretical and empirical frameworks considered several issues under planning processes, including perception of tourism, public input, strategic analysis, development of vision and mission statements, approaches for developing goals and objectives, development of action plans, and monitoring systems. These can be summarized as follows:

The World Tourism Organization emphasized the importance of considering the pros and cons of tourism (McIntyre *et al.*, 1993). This was important in the case of the THC because tourism in heritage management policies was approached only from a positive perspective and as an engine for enhancing the economy of the communities and the state. Emphasis on the success of heritage management programs prevented the THC from considering possible impacts on the communities.

UNPAN (2002) pointed out that sustainability requires conducting thorough policies that are based on reliable social, economic, and environmental analysis. The THC case also suggests that planning for heritage management should be based on comprehensive strategic analysis to assess the impacts on the institutions and its programs, and on the general public and the communities who are the most affected party from the heritage management policies. The THC

and its partners conduct an program-oriented assessment through the SWOT analysis (Strength, Weaknesses, Opportunities, and Threats), but do not seek the public input or scientific knowledge to conduct comprehensive analysis on the environmental, socio-cultural, aspiration and situation analysis for assessing the appropriateness of current plans.

Sustainability principles call for including public as well as traditional and scientific knowledge (Jamal & Tanase, 2005; Yuksel *et al.*, 2005). The THC did not seek any input from the public because its strategies are supply-oriented and do not necessarily consider the needs and aspirations of the communities.

Propositions V and 22 suggest that planning for heritage management should develop community-oriented vision and mission statements. This proposition surfaced in this study because the THC did not acknowledge the people in its vision and missions because the emphasis was to envision a program that can be sustainable and also achieve economic development goals.

Planning for heritage management should adopt an interactive approach in identifying the common goals and objectives of the heritage management programs (Hall & McArthur, 1998; Costa, 2001; Jamal, 2004). The THC operates a top to bottom approach in identifying the heritage management goals and objectives which are program-centered. The THC does not seek public and community input for informing these goals.

Planning for heritage management should include the development of action plans which are coordinated among levels and with the community development plans (Jameison, 1997; Hall & McArthur, 1998). This is an important issue in the case of the THC specifically because the historic preservation plan prepared through the VIP visioning process and other community based initiatives assist in preparing community plans, include action plans, based on the issues and concerns that have been identified through a community consensus process. In addition, it is

important to reconcile the interests of historic preservationists and tourism developers. This insight emerged because the current policies and strategies are dominated by tourism-oriented goals and objectives.

Planning for heritage management should utilize effective monitoring systems for assessing not only the accomplishment of goals and objectives of the program, but also the program's impacts on the general public, stakeholders, and the institutional structure (Jameison, 1997; Garrod and Fyall, 1998; UNPAN, 2002; UNEP, 2002; Jamal and Tanase, 2005). The THC's concerns about the programs and their success orient the monitoring systems to assess the achievement of these programs without necessarily considering their impacts on the public.

The only addition that has been suggested by the empirical framework is the need to consider the interests of both historic preservation and heritage tourism to enable effective and comprehensive heritage management policies, strategies and plans (see Jamal and Jamrozy's argument for bridging the marketing-planning gap for integrated destination management).

In general, the empirical framework was able to support the concepts that have been addressed in the theoretical framework. It also added new concepts and insights that merit consideration in integrated heritage management. The third research question seeks to identify the criteria for developing an integrated heritage management framework. The following section will summarize the existing theoretical criteria and the practical criteria that emerged from the case of the THC.

5.7. An Approach for Integrated Heritage Management

A new comprehensive approach for integrated heritage management concluded from this study requires consideration of all aspects of the development of its philosophies, approaches and mechanisms. The criteria that are suggested in this study can assist by underlining the main

issues and principles that should be taken into consideration in the whole process of preparing,

deciding, undertaking, and monitoring the heritage management initiatives and programs. These

criteria are presented in Table 5.2 as aspects and principles. The strategies that have been taken

from the theoretical framework are alphabetically designated and those taken from the empirical

framework are recognized numerically.

Table 5.2 New framework for integrated heritage management

Aspect (1)	Principle
Holistic approach to sustainability; HP-HT integration	**Historic preservation-heritage tourism interconnection.** Heritage management policies and strategies should holistically consider social, cultural, environmental and economic dimensions of sustainability. Integrated heritage management should: • Consider social, cultural, economic and environmental dimensions of sustainability (based on proposition A). • Put the people at the center of its policies and strategies in order to be able to effectively address the environmental, social, economic and cultural values of the heritage (based on proposition 1). • Provide policies that support heritage conservation and sustainable tourism development (based on proposition B). • Provide policies that acknowledge the symbiotic relation between historic preservation and heritage tourism to mutually support each other in achieving sustainability (based on proposition 2). • Enable active interaction between historic preservationists and heritage tourism specialists. Active interaction can be achieved through integrated programs for preserving and developing the historic built environment (based on proposition 3).

Table 5.2 Continued

Aspect (2)	Principle
Empowerment	**Capacity building to empower partners**. Capacity building should take place for all relevant stakeholders to enable their active participation in heritage management policies and strategies. Integrated Heritage Management should: • Ensure the governmental support to stakeholders (including marginalized groups) to build their capacity and heritage management skills (based on propositions H and 4). • Establish capacity building programs that allow creating self-reliance partners responsible of doing heritage management on their own (based on proposition 5). • Allow partnership in the program and its policies (not only implementation of policies) i.e., allow partners to have control over the program and policies (based on propositions H and 6). • Create policy-based commitment between the state and its partners (based on proposition 9). • Maintain continuous communication on issues related to both administrative and policy concerns (based on proposition 9). • Enable partners to benefit from their involvement in order to contribute to sustainability in their localities (based on proposition 10).
Aspect (3)	**Principle**
Good governance	**Good governance in integrated heritage management**. Policies and strategies should be accountable to the public in order to be able to achieve inter-generation and intra-generation equity in the society. Integrated heritage management should: • Consider downward accountability to the public to meet their needs and aspirations (based on proposition I and 26). • Be sensitive and accountable to diverse cultural groups to mobilize their willingness to participate in heritage management (based on proposition 27). • Allow transparency through a free flow of information and open accessibility to the heritage management programs, policies and plans (based on propositions. J and 28). • Be responsive to the queries, complains and concerns of all stakeholders (based on proposition K). • Allow equitable and fair distribution of benefits between concerned stakeholders, groups, entities, and communities (based on propositions L, M, and 29).

Table 5.2 Continued

Aspect (4)	Principle
Coordination between levels	**Coordination among involved partners and stakeholders in the heritage management institutional structure**. Heritage management should be based on partnership among several entities at the different levels of government. Integrated heritage management should: • Allow partnership building for relevant stakeholders, entities, groups and communities (based on propositions O, and 11). • Identify roles and responsibilities of partners based on negotiation between affected partners (based on proposition 12). • Allow delegation of policy as well as administrative authority in coordination. Ceding power to these partners should enable then to have influence on the decision making and decision taking processes (based on propositions N and 13). • Allow multidimensional coordination, i.e. among the state, regions and localities as well as between the regions and localities. This multidirectional coordination should enable demand-driven policies (based on propositions P and 14).

Aspect (5)	Principle
Channels of communication	**Building channels of communication.** Multi-layered heritage management should develop active networks that allow effective coordination and communication between all involved stakeholders and partners. Integrated heritage management should: • Allow communications between the state, regions and localities through active networks which facilitate exchanging not only information and assistance, but also opinions and concerns about the heritage management program, policies and strategies (based on propositions Q and 15). • Establish open and direct mechanisms of communications that allows meaningful dialogue on daily matters as well as strategic partnership (based on proposition R).

Table 5.2 Continued

Aspect (6)	Principle
Strategic planning	**Strategic approach in planning**. Planning processes and stages should be systematic to ensure the consideration of the full aspects that should be considered in an integrated heritage management. Planning for integrated heritage management should: • Consider both the long-term positive and negative consequences of tourism on the communities and the state; be that environmental, economic, social, or cultural impacts (props. S and 19). • Consider the involvement of all people and residents affected by the heritage management policies and strategies (based on proposition G). • Be based on comprehensive analysis that considers the impacts of the policies and strategies on the programs and of the programs (based on propositions U and 20). • Create goals and objectives through an interactive approach that allows the concerns of localities, regions and the state to inform the common goals of the heritage management policies and strategies (based on propositions W and 21). • Develop people-centered vision and mission statements (based on propositions V and 22). • Develop action plans coordinated among levels (especially between the regional and local levels) and be linked with other community development plans. Also, it should be able to reconcile between the interests of both historic preservationists and heritage tourism developers (based on propositions X and 23). • Consider the residents' input as well as traditional and scientific knowledge to inform the strategic implantation along with the strategic preparation and monitoring (based on propositions T and 24). • Develop effective monitoring systems that allow the assessment of the goals, policies and strategies as well as the social, economic, environmental, and cultural impact of these policies on the general public (based on propositions Z and 25).
Aspect (7)	Principle
Legitimacy and voice	**Stakeholder participation in planning processes**. Planning processes should be inclusive to the diverse groups, entities, communities and stakeholders. Integrated heritage management should: • Be inclusive to all related stakeholders, especially local communities (based on proposition C). • Ensure the participation of a wide range of partners representing the diverse entities, groups, and stakeholders (based on proposition 16). • Address the interests of concerned stakeholders in the decision making, decision taking and monitoring of policies, strategies and plans (based on propositions D and 17). • Allow the involvement of stakeholders early and throughout the planning processes (based on proposition F). • Adopt a collaborative approach and joint decision making (based on proposition G).

These criteria must be considered comprehensively because they are inter-dependent. They will enable heritage managers to embrace the core issues to ensure that the THC's efforts in heritage management contribute to sustainability in the historical built environment. Current over-reliance on the economic value of the heritage is argued to be insufficient for achieving sustainability because it creates philosophies and mechanisms that prevent effective practices for heritage management. The THC is well equipped to enhance its heritage management performance, yet a new perspective is needed in its philosophies and approaches. The agency should reorient its accountability downwardly to the people and communities in Texas, so that its heritage management will succeed in the short-term economic benefits of heritage management and also support the long-term equity and fairness between the communities, stakeholders, and cultural groups. Incorporating heritage tourism in its institutional structure requires the THC to deal responsibly with the heritage and its complex attributes, be they economic, physical, social or cultural.

CHAPTER VI

CONCLUSIONS

6.1. Introduction

This study was an investigation of integrated heritage management. The overall purposes of the study were to (1) assess the efforts of the State Historic Preservation Office in relating HP with HT against principles of sustainability and (2) contribute to an integrated heritage management framework at the State Historic Preservation Agency level that is based on both theoretical principles and empirical study. The case of the US has been chosen because historic preservation in the US has an institutional environment that works from the federal to the local levels. More important, some states, like Texas, endorsed the incorporation of heritage tourism into their institutional structure—bringing together the two major entities involved in heritage management: historic preservation and heritage tourism. This is not the case in other tourism-related organizations that are mostly managed by the private sector and are generally focused on only one part of heritage management: tourism development.

This study is described as evaluative research. The attempt to explore the contribution of the state historic preservation agency in enabling sustainability was made possible through conducting an evaluation of heritage management programs that address the HP-HT relationship. This was feasible in the case of Texas because it launched programs that correlate historic preservation with heritage tourism at the three governmental levels: the state, regional and local. THTP is a regional initiative for coordinating the local preservation efforts with the statewide marketing of areas as tourism destinations. VIP is a local initiative through which the THC works with Texas communities to shape the future of their historic preservation efforts through visioning and planning. These two programs are organized to operate through planning processes

which fostered the THC's adoption of a decentralized approach for managing heritage and partnering with organized groups in the regions and localities. As such, these two programs allowed HP-HT to be investigated both laterally (between entities) and vertically (between levels).

This evaluative study is based on responsive and constructivist approaches because the emphasis is placed not on the objectives and goals of the heritage management programs, but rather on their ideologies, approaches and mechanisms from the perspectives of the different stakeholders that have been involved in articulating the agendas of these programs. I looked at the HP-HT relationship through an analytical lens and investigated it through three stages: describing the nature of the HP-HT relationship (i.e., it existence), evaluating its effectiveness in enabling sustainability, and then suggesting tools for enhancement. These three stages were reflected in the three research questions:

- RQ 1: What is the nature of the HP-HT relationship at the state level?

- RQ 2: How well does this relationship enable the sustainable development and management of historical settings?

- RQ 3: What are the key criteria for developing an integrated framework for historic preservation and heritage tourism at the state level?

A case study research design has been utilized in conducting an inductive study. Three data sources have been used, including documents, in-depth interviews, and observation. Using these three sources enhanced the understanding of the realties as constructed by the active actors in the THC's heritage management programs. Thematic content analysis was used to analyze the data and correlate the realties with each other to create a clear picture about the programs and their effectiveness in achieving sustainability. The results of this analysis provided answers to the three main research questions. This chapter is dedicated to provide a conclusion based on the

answers of these three questions. However, prior to presenting these finding it is important to present a general overview of the public policy in Texas.

6.2. Reflection of the State's Public Policy Trends on the THC's Heritage Management Policies

The THC was able to link historic preservation with heritage tourism through two of its heritage programs, THTP and VIP programs. The THC acknowledges the symbiotic relationship that connects these two entities to each other and wants these two programs to create a forum for enabling consensus building between professionals with historic preservation and heritage tourism. This is a very constructive move on the part of the THC. However, it was found that it is an economic-oriented win-win relationship because the THC has primarily used these programs so far to show the economic viability of historic preservation and its contribution to the economic sustainability in Texas as a whole.

This emphasis on the economic dimension has affected the pubic policy trends in heritage management. Obviously, it affected the policy making processes and power distribution that can affect these policies. The THC sought to create partners (cliental groups) at both the regional and local level to establish an interdependent relationship between the THC, partners and the state legislature. This affected the partnership formulation in heritage management. First, partnership was purposive and thus was not inclusive to all the stakeholders, groups, communities, related entities and concerns. It was dominated by representatives of Anglo-American backgrounds from fifteen of the one-hundred and eight communities included in the area of the study. Most of these fifteen representatives were associated with tourism interests. Second, partnership was not feasible for all willing stakeholders because of the barriers that have been created in incorporating new board members for the Forest Trail. Third, partnership was

sought mainly to benefit the THC. The THC sought to build skillful partners at both the regional and local levels to assist in achieving its own heritage tourism goals and aspirations, not those of the partners and the communities.

Accomplishing the THC goals in its heritage management programs was important to attain the legislative advocacy. Legislative accountability characterized the accountability relation in the THC heritage management institutional structure. This affected the formulation of the heritage management public policy in the THC. The THC created supply-driven policies that focus on the services provided by the THC. It did not consider the demands of the communities, the public or cultural groups. In other words, the THC did not seek public input to influence the public policy agenda. Although the THC and its partners conduct open meetings and allow accessibility to information, these mechanisms were not found to increase the public influence over heritage management. The THC still retains its power and control in identifying the goals and objectives of its policies.

Upward accountability affected the THC consideration of other involved interest groups in heritage management, specifically the cultural groups. The THC has some valuable initiatives in incorporating the ethnic groups in its institutional structure. It is creating a diversity committee in the agency that is composed of representatives from three ethnic groups in Texas: Mexican-American, African-American and Native American. The committee responsibility is to prepare a diversity plan that can assist the agency in two aspects: develop a proposal for a diversity internship program in the agency and increasing the outreach about historic preservation for these ethnic groups. Besides establishing this committee, the THC is seeking to increase equality in employment through adopting the Equal Employment Opportunity (EEO) laws[45]. The Heritage Tourism Program in the THC also has sought to involve the ethnic heritage

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[45] Information provided in this section is based on personal contact with THC planner on 07/05/2006.

in its agenda. This is mainly made through identifying their heritage sites and presenting them in brochure format that can be used for tourism promotion. Two brochures were prepared to present the heritage of the African-Americans and Mexican-Americans, including "African American in Texas: Historical and Cultural legacies", and "Los Caminos del Rio." In addition to these, ethnic heritage sites are included in most of the brochures prepared for the ten heritage trails in Texas.

Although these initiatives are important in incorporating the ethnic groups in the THC and its heritage tourism programs, they can not be considered adequate. The heritage management programs at the state, regional and local levels do not include representatives from any of the cultural groups. It places emphasis on involving partners who can assist the THC is doing heritage management and enabling the success of its programs (e.g., local officials and representatives of the tourism interests). But these same emphases are not considered in involving ethnic groups. So, although the situation is improving, the THC still needs to do more to ensure equal justice. This is important especially with the increasing number of minority groups. In the year 2000 "Anglo" accounts for almost 53.1 percent, Black for 11.6 percent, Hispanic 32.0 percent and other formed 3.3 percent. By 2040, Texas's population will be between 24.2 and 32.5 percent Anglo, 7.9 and 8.4 percent black, 59.1 and 52.5 percent Hispanic, and 8.8 and 5.6 percent other (Murdock *et al.*, 2003)[46]. Unless these groups are involved in heritage management from the early stages, heritage management by the state authorities will not be able to effectively address the interests of these ethnic groups.

Texas today is the child of Indians and England and Spain clashing against each other in a long struggle against each other's armies, as well as a war to degrade each other's ethnicity and character. For over 500 years, each of the three ethnic groups has lived somewhat isolated in its

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[46] These numbers are based on the Projection Program in the Texas State Data Center in the Office of the State Demographer in the Department of Rural Sociology in the Texas A&M University System (Texas Population Estimates and Projections Program, 2001).

own world. Bringing them together via heritage tourism policies is one way to decrease the

existing cultural gap. The last recommendation provided through the assessment study made by

the National Trust for Historic Preservation in 1994 reads as follows[47]:

> Because of the size and diversity of the state and its vast array
> of historic and cultural resources, public and private
> preservation-oriented organizations at the state level (including
> the THC) should embark on collaborative needs assessment and
> planning to meet the preservation challenges of Texas and
> ensure the full development of Texas heritage for all of its
> citizens (NTHP, 1994).

Twelve years after this assessment, the THC was not able to achieve effective

collaboration in its programs. This study recommends that the THC heritage management efforts

can be enhanced if the THC strongly reorients its accountability downwardly to the public,

ethnic groups, and their cultural attributes. In other word, the THC should base its heritage

management ideologies on more than the physical and economic values of the heritage. The

THC should be committed to the socio-cultural responsibilities of historic preservation. Success

of the heritage tourism program cannot be assessed only through the statistical economic

revenues generated from heritage tourism, but rather from its long-term impacts on the inter- and

intra-generational equity and democracy in the communities. Adopting such an approach

promises ways for the state historic preservation offices to achieve sustainability through

heritage management, because it will ultimately change its current policies, mechanisms and

strategies. It will affect its sustainability approaches, coordination and communication, planning

processes and governance because:

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[47] Four other recommendations were also addressed, including: (1) enhancing the investment in historic
and cultural resources, (2) enhancing THC's programs, (3) approaching historic preservation through
economic development, and (4) increasing the outreach of the agency.

- Sustainability approaches will integrate historic preservation with heritage tourism to mutually support each other in achieving environmental sustainability, economic sustainability, and socio-cultural sustainability.

- Coordination will be based on inclusive, equitable and authorized partnership among several entities, groups, communities, representatives and stakeholders. Also, roles and responsibilities will be identified through democratic negotiation. To ensure responsiveness to the public and their needs, coordination will occur between the state and its partners and meanwhile between the partners themselves at the regional and local levels.

- Communication will be based on policy as well as administrative networking to allow open and direct negotiation and dispute resolution between all involved stakeholders and partners.

- Legitimacy and voice will be granted to all stakeholders to actively address their diverse concerns and values. To ensure their active participation, efforts will be made to build their administrative as well as their policy skills.

- Effective planning processes that operate through systematic and comprehensive stages will consider the negatives as well as the positives of tourism development, by conducting comprehensive strategic analysis, creating inter-organizational goals and objectives through interactive processes, establishing community-oriented vision and mission statements, addressing issues related to both historic preservation and heritage tourism, seeking the public input to inform strategic planning in its different stages (decision making, decision taking and monitoring), and activating effective monitoring systems to assess not only goals and objectives of the programs but also their impact on the

societies and communities.

- Good, accountable, transparent and responsive governance will allow fair distribution of benefits and equitable accessibility to the institutions, processes and information.

Some of these issues have been widely addressed in tourism literature. This study of the government's role in heritage management, however, placed emphasis on two interrelated major topics. The first is the commitment of the government to its communities as an essential and fundamental guiding principle in developing heritage management policies, strategies, and plans. The second is the adoption of a downwardly accountability approach to ensure that the heritage management process will be responsive and representative to the communities and their needs. This study argues that *accountability* and *commitment* become the essential elements of heritage management when administered by government entities. This is especially true for those adopting decentralized strategies that can maximize the voice of the people and bring it to the higher levels and thus achieve democracy and equity.

The importance of this study resides in the fact that it goes beyond being a description of the way in which heritage management policies are occurring. Rather, it is a critical analysis that utilizes a case study approach to assess the effectiveness of the actions of the government, particularly the state government, and the potential consequences and impacts of its heritage management polices. It recognized that heritage management policies are formulated and implemented in dynamic environments with complex patterns of ideologies, powers, interactions, values, and institutional arrangements (Hall & Jenkins, 2004). Since heritage management in the THC is operating through multi-layered institutional structure, the study places more emphasis on analyzing heritage management through the partnership and coordination relationship between the three involved levels: the state regions and localities. This

approach provides an understanding of the politics of heritage management which is important in heritage management and tourism studies. This allows not only understanding of the processes of heritage management, but also how they can be made more sustainable for heritage tourism development by state preservation agencies like the THC (Hall & Jenkins, 2004).

Looking at heritage management through a historic preservation lens is a valuable contribution to this study. Carter *et al*. (2001) highlighted the absence of historic preservation and resources management from tourism planning discourses. This study provides an example of how historic preservation and heritage tourism knowledge can be melded together to provide a holistic approach for integrated heritage management. My background in historic preservation and architecture along with building a solid knowledge of tourism planning throughout my graduate studies assisted me in analyzing the heritage management policies through applied socially-relevant, multi-disciplinary and integrative analysis. The suggested framework was developed from this multi-disciplinary knowledge.

This study is also significant in that it analyzed effective practices of heritage management within a historic preservation agency. On the one hand, this gives the historic preservation field an opportunity to have significant contributions and influences on enabling meaningful sustainability in the societies. On the other hand, it allows historic preservation to enter into a new realm of research. Current historic preservation studies address management issues particularly focused on the identification, evaluation, designation, impact assessment and curatorial management of the historical settings and properties. Although there are recent pragmatic attempts to relate historic preservation to heritage tourism through heritage management (as seen in the case of the THC); historic preservation researchers are not undertaking studies to enhance the historic preservation role in heritage management. It is important to recognize that managing historical settings is no longer restricted to merely

preserving and maintaining physical integrity; that is, historic preservation cannot work in a vacuum. It must also acknowledge the role of tourism development, because in most cases these resources are developed and interpreted to operate as tourism destinations.

6.3. Policy Implications: Paradigm Shift in the THC Policies for Integrated Heritage Management

The concept of sustainable development has been presented through the Brundtland Report "Our Common Future" to stress the need for considering economic development while enabling environmental conservation and inter- and intra-generational equity (WCED, 1987). Heritage management was one of the fields that sought to adopt these principles and operationalize them. However, although heritage management brings historic preservation with tourism development, tourism took precedence in incorporating the three bottom-line principles of sustainability to heritage management. Since the early 1980s, tourism has utilized theories from other sciences and disciplines to assist tourism planners and stakeholders in managing tourism in a responsible manner to maximize its benefits and minimize its impacts on the economy, environment and the socio-cultural structures of the societies. Historic preservation contribution was minimal in this respect, especially in the US, because it tended to focus on the physical integrity of the historical built environment and the processes of maintaining them against development trends. Accordingly, historic preservation management policies are often limited to the practices of archeological analysis, eligibility for inclusion on the National Register for Historic Places, Environmental Impact Assessment (EIA), and curatorial management of historical sites.

Attempts to acknowledge the economic dimension of historic preservation started in the 1980s through two main initiatives by the National Trusts for Historic Preservation including the

Main Street Program (in the 1970s) and the Heritage Tourism Program (in 1990) (ACHP,

accessed 05.30.06). Texas launched heritage tourism programs through which it can intertwine

historic preservation with heritage tourism. It inserted heritage tourism into two programs, the

Texas Heritage Trail Program (THTP) and the Visionaries in Preservation program (VIP). The

former is a regional initiative and the later is a local initiative.

THC relied on the principles provided by the National Trust for Historic Preservation

(NTHP) in delineating the ideologies and mechanisms for its heritage tourism program

(specifically THTP). These principles (1) preserve and protect resources; (2) focus on

authenticity and quality; (3) make sites and programs come alive; (4) find the fit between the

community and tourism; and (5) collaborate (NTHP, accessed 10.07.05). Adopting these

principles promises to enable sustainability of the programs. Four strategies were recommended

to apply these principles, including:

- **Strategy 1:** Assessing the tourism potential in terms of attractions, visitor
  services, organizational capabilities, ability to protect resources and marketing.

- **Strategy 2:** Plan and organize through utilizing human and financial resources.

- **Strategy 3:** Prepare for visitors, protect and manage resources.

- **Strategy 4:** Market for success and seek partners at the local, regional, state and
  national levels (NTHP, accessed 10.07.05).

The THC adopted these principles and their strategies in furnishing the policy landscape

for its heritage tourism program. Through the THTP program, the THC sought to create ten

regional organizations in which it utilized available human resources to create supply-based

policies. The THC assesses the tourism potentiality by: conducting an evaluation study for the

region and its significant attractions (strategy 1 above); partnering with representatives at the

regional level to formulate a non-profit organization and providing them with diverse types of

supports (strategy 2 above); and then working with the organizations to prepare marketing plans (strategy 4 above).

One of the main insights that can be captured from these principles and their strategies is that sustainability is approached through the integration of HP and HT. Continuity of this program is enabled through developing partnership with organizations, planning for marketing, and effective management of the cultural sites. Accordingly, the THC created a long-lasting heritage tourism program by creating ten organizations to cover all the regions in Texas, and working with them to create marketing strategies that enable heritage tourism to contribute to the economic development in Texas. The early attempts for sustaining the organizations are currently supported by new direction for the THC to focus on the sustainability of the destination and heritage sites (strategy 3 above). As stated by a state study participant:

> we've always talked about sustainability… we've been so
> focused on getting the program going…[but] beginning
> probably in the next year to the next five to ten years…we're
> going to be focusing on the sustainability not only from the
> standpoint of the regional organizations…but…also from the
> standpoint of sustainable tourism and management of the site
> (interview 02.14.06).

The THC benefited from the model provided by the NTHP in creating its heritage tourism policies and ideologies. It is widely accepted to be the venue for achieving successful and sustainable heritage tourism programs (ACHP, accessed 05.30.06). This model puts the program, economic development and site conservation at the center of the heritage management philosophies. However, it does not consider the cultural and social aspects of heritage tourism and its responsibilities in achieving equity and democracy in society. Accordingly, based on the findings of this study, the THC's heritage management policies and strategies were not consistent with the principles of sustainability and good governance. Several problems in its heritage management approaches and mechanisms were found to affect its effectiveness in

enabling the long-term goals and objectives of sustainable development in the historical built environment.

The study suggested a comprehensive framework that the THC could use as an alternate to the existing heritage tourism model provided by the National Trust for Historic Preservation (NTHP). Although the five principles that the NTHP'S model provided are essential in developing heritage tourism program, this study argues that they are not sufficient, and do not support the basic principles of sustainability. The THC needs to incorporate new principles and strategies that can effectively move its heritage management efforts towards sustainability. The assessment study made by the National Trust for Historic Preservation in 1994 to assess the effectiveness of the THC performances encouraged the agency to consider the economic dimension of historic preservation through initiating economic-oriented programs such as the heritage tourism program. Nevertheless, taking the responsibility of managing the heritage cannot be restricted to physical maintenance and economic development. Heritage also has a socio-cultural component that makes the people and their concerns the major aspect for enabling equity and democracy through heritage management. Accordingly, this evaluative study suggests a paradigm shift for THC toward a comprehensive and real sustainability in the built environment and the communities.

In focusing on the case of THC, the research aims to establish a comprehensive framework for sustainable and integrated heritage management. The study suggests that this framework can be transferable to other states in the US where there is a need to consider the diverse value systems of heritage. It can be used to maximize the voices of the society and key players in heritage management and allow them to manage heritage responsibly for current and future generations.

6.4. Recommendations for Future Research

This is a qualitative-based research to investigate the Historic Preservation- Heritage Tourism (HP-HT) relationship as orchestrated by the Texas state agency for historic preservation (the Texas Historical Commission). The findings of this study focused on the issues that have been tackled throughout the study. However, observations and analysis showed that other related areas should be researched in order to enhance a comprehensive understanding about the HP-HT relationship and best practices for managing it. Below are some of the areas that can be considered for future research.

This study investigated the role that the state historic preservation offices in the US can play for enabling sustainable development for heritage settings. The Texas Historical Commission has been chosen because it is the state agency mandated for administering historic preservation and heritage tourism in Texas. This case served the main goal of this current study. However, other state and regional organizations are also involved in the planning and management of heritage tourism in Texas, including Office of the Governor, Economic Development and Tourism; Texas Tourism Research Server; Texas Department of Transportation; Texas Highways Magazine; Texas Parks and Wildlife; Texas Commission on the Arts; Lower Colorado River Authority. Currently, the THC signed a Memorandum of Agreement to coordinate heritage tourism across the state level. Investigating the coordination between these state agencies would supplement this study which has mostly focused on the THC and its programs as they operate both horizontally between sectors and vertically between the levels.

Dealing with tourism management from the state to the local level should not imply that the national level is not crucial in the heritage management institutional system. Further research should consider the interrelation between the state heritage tourism efforts with those of other

US tourism organizations including: the Travel Industry Association of America (TIA), International Association of Amusement Parks & Attractions (IAAPA), World Tourism Organization, American Hotel & Motel Association, International Association of Convention and Visitor Bureaus, and American Automobile Association. Such a study would increase the understanding about the micro-macro environments within which heritage management occurs.

Another major piece missing from this study is the private sector. The institutional structure of the Texas Forest Trails Program requires that the regional coordinator harmonize his/her regional heritage tourism efforts with participating community organizations such as industrial entrepreneurs, local historical organizations, and local tourism organizations. In this current study, the local level was dealt with only through the Visionaries in Preservation program to see how the THC benefits from its programs by allowing comprehensive and coordinated heritage management from the state to the regional and local levels. However, future research should also consider coordination with the private sector because they are essential stakeholders in managing the two polar opposites of tourism planning: the supply and demand sides.

The study focused on one region (the Texas Forest Trail Region) because of its feasibility for the study, but THTP includes nine other regions distributed throughout the state. It is essential that more research be undertaken to cover all these regions in order to see the relevance of the findings from this study to other regions in the state. This might assist in two ways. First, it will help in investigating the socio-cultural dimension of this study more deeply because other regions (such as the Plains Region) includes more cultural diverse entities on the board. Second, studying these regions will assist in investigating the lateral coordination between them and its contribution to achieve sustainable development in the state, not only for specific region or setting.

The Community Heritage Development Division currently includes four community-based programs: the Certified Local Government, the Main Street Program, the Heritage Tourism Program, and the Visionaries in Preservation Program. The Main Street program enables communities to revitalize their downtown areas and reuse them for achieving economic development. Mostly, these areas are also developed as tourism destinations as well. The CLG program also assists communities in creating entities in the city that are officially responsible for protecting and preserving their significant historical properties. Considering the vital contribution of such initiatives for managing Texas heritage in different communities, these locally based historic preservation and heritage tourism efforts can be furthered by future research to investigate their contribution in the heritage management system as managed by the Texas Historical Commission.

The Community Heritage Development Division is only one component of the THC's organizational structure. Other divisions include the Architecture, History, and Archeology departments. Although they are all hosted under the THC agency, it was noticed that there is a lack of coordination and communication between these divisions. This, as stated by a study participant, is affecting the quality of historic preservation and heritage tourism services provided by the THC to the communities. A study that explores possible strategies for enabling effective inter-organizational coordination between the diverse divisions within the agency will be paramount to maximize the performance of the agency and the communities in their historic management efforts.

Current good governance principles emphasized the importance of creating local governance entities in the communities. This current study shows that involving local authorities (the city council) in tourism-related activities might not be feasible in all cases because their involvement is constrained by several factors including their required role and responsibilities

(which mostly does not include tourism or historic preservation management), their personal willingness and interest to participate, and the availability of financial and human resources to undertake the local heritage management activities. Future studies might investigate methods to overcome these barriers in order to create active self-governed and empowered local entities able to coordinate their efforts with the regions and the states.

The VIP program is a powerful initiative by the THC to assist in building historic preservation communities. Most of the participants in this study emphasized that this program should be a forerunning program in any community even before the CLG, Main Street, or Heritage Tourism programs. It assists communities in creating participatory-based, systematic, and structured historic preservation plans that orient their prospective heritage management efforts. Future research can investigate possible methods for enabling effective coordination between VIP communities within a region (example the Forest Trail Region) in order to allow these locally-based historic preservation plans to inform the heritage management strategies and policies at both the regional and state levels.

Participation and involvement of marginalized cultural groups has always been one of the THC challenges for achieving inclusive historic preservation programs. Barriers include efforts and resources to enable the minorities' involvement; and insufficient channels of communication with the marginalized groups. Other barriers are related to the cultural groups themselves. This study suggests that many relates to: (1) trust factor; (2) unwillingness to participate in heritage related efforts; and (3) lack of understanding about the importance local heritage management. Future study that investigates these barriers and delineates possible solutions for overcoming them would assist in developing an effective process for sustainable heritage management.

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APPENDICES

APPENDIX A
Power Point Presentation for the Dissertation

1.

HISTORIC PRESERVATION AND HERITAGE TOURISM
IN THE US:

AN INTEGRATED APPROACH TO SUSTAINABLE
HERITAGE MANAGEMENT

Dissertation prepared by

Rama Al Rabady

July 7th 2006

2.

Introduction: Sustainability and Heritage Management: the challenge

Brundtland Report definition for Sustainable Development:

"The development that meets the needs of the present without compromising the ability of future generations to meet their own needs" (*WCED, 1987*)

Holistic approach that considers:

- Environmental sustainability
- Economic sustainability
- Socio-cultural sustainability

3.

Integrated Heritage Management: Problem in planning

Heritage management Managing impacts

Historic Preservation (HP) ← → **Heritage Tourism (HT)**

Control impacts of development on the historical and cultural integrity

- Physical impacts

  AND

- Economic impacts

Achieve economic development (Smart Growth, executive order 'Preserve America')

Did not connect heritage management with the three dimensions of sustainability

Control the impacts of tourism on the people who own the heritage

- Economic impacts
- Environmental (physical) impacts
- Socio-cultural impacts

Tourism planning models that connect heritage management with sustainability principles

But **RHETORICAL**

4.

Overall Purpose of the Study

- **Assess the efforts of the State Historic Preservation Office in relating HP with HT against principles of sustainability**

- **Contribute toward an integrated heritage management framework at the State Historic Preservation Agency level that is based on theoretical principles and empirical study.**

5.

Research outline and questions

Investigating integrated heritage management through the relationship between Historic Preservation and Heritage Tourism

(**HP-HT relationship**)

Existence

RQ.1: WHAT is the nature of HP-HT relationship at the state level?

Effectiveness

RQ.2: HOW well does the relationship enable sustainable development and management in historical settings?

RQ.3: WHAT are the key criteria for developing an integrated framework for historic preservation and heritage tourism at the state level

6.

Developing a Theoretical Framework

Based on principles of tourism sustainability and good governance

Literature that covers issues of:

- Sustainable tourism principles
- Stakeholder and organizational management literature
    - Stakeholder involvement in the planning
    - Stakeholder role in integrated heritage management
- Strategic tourism planning
- Good governance
- Decentralization and partnership
- Coordination
- Networking and Communication

7.

Developing a Theoretical Framework

Items	Principle	Proposition(s)
Holistic approach to sustainability	HP-HT interconnection	▪ Consider three dimensions of sustainability ▪ HP and HT policies ▪ Bridge the interdisciplinary between HP and HT
Participation and involvement	Legitimacy and voice	▪ Inclusiveness ▪ Consider the diverse interests ▪ Consider stakeholders for their intrinsic value ▪ Early and continuous involvement
	Empowerment	▪ Allow capacity building
Good governance	Accountability	▪ Accountability to the public, communities, and stakeholders
	Transparency	▪ Accessibility to processes, institutions, and information
	Responsiveness	▪ To queries, concerns and complains of stakeholders
	Equity and Fairness	▪ Equitable distribution of benefits for communities and stakeholde
Coordination between levels	Decentralization	▪ Central government cede authorities to lower levels ▪ Allow partnership among stakeholders ▪ Develop community heritage plans
Channels of communication	Communication and networking	▪ Administrative and policy networking ▪ Open and direct mechanisms of communication
Strategic Planning	Planning processes	▪ Consider pros and cons of tourism ▪ Include local input (residents and scientific knowledge) ▪ Comprehensive strategic planning ▪ Stakeholder-oriented vision and mission statements ▪ Interactive approach for developing goals and objectives ▪ Coordinated approach for developing action plans ▪ Effective monitoring systems

8.

Study Location: the State Historic Preservation Office in Texas- Texas historical Commission (THC)

Rationale for Choosing the THC

- The Agency is officially mandated to promote heritage tourism in the state

- The THC connects historic preservation with heritage tourism through its two main programs:
  - Texas Heritage Trails program (THTP) – A regional initiative (1998)
  - Visionaries in Preservation Program (VIP) - A local initiative (1999)

- THC is coordinating heritage tourism at the three governmental levels: the state, regional and local level

9.

Regional and Local cases

State level   Heritage Tourism Program

(Texas Heritage Trails Program)

Regional level   Texas Forest Trail Region

Local level   City of Nacogdoches

(VIP program)
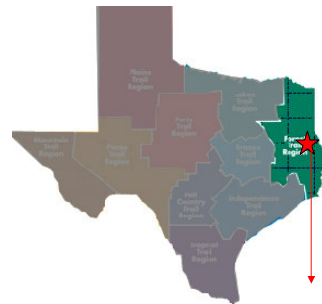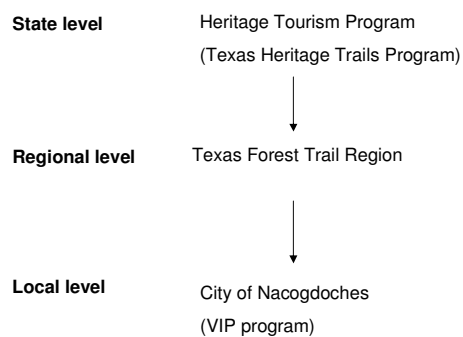
City of Nacogdoches

10.

Data Collection Methods

1. **Document Search**

2. **Observation**

3. **In-Depth Interviews**

11.

Data Collection Methods: Document Search

Purpose of Document Search

- Building initial knowledge about the THC
- Understand the environment of the programs
- Benefit from the conducted evaluative studies to understand issues that took place before I started my research
- Needs for conducting initial open coding

Documents Used (prior and throughout the conduction of the study)

- THC documents (e.g., the agency in general, the THTP and the VIP programs, evaluative studies)
- TFTR documents
- NTHP related documents

12.

Data Collection Methods: Observation

Purpose of Observation

- Insufficient information about the VIP program and its performance in localities
- Limited number of staff that can be interviewed to gather information about the program
- Gather information about the VIP planning process

Observation used in:

- Nacogdoches visioning process (three meetings- February, march, April /2006)
- TFTR meeting in Huntsville (March 16th 2006)

13.

Data Collection Methods: Document Search

Purpose of Document Search

- Building initial knowledge about the THC
- Understand the environment of the programs
- Benefit from the conducted evaluative studies to understand issues that took place before I started my research
- Needs for conducting initial open coding

Documents Used (prior and throughout the conduction of the study)

- THC documents (e.g., the agency in general, the THTP and the VIP programs, evaluative studies)
- TFTR documents
- NTHP related documents

14.

Study participant profiling

State level	THTP state coordinator	▪ Tourism specialist/ The coordinator of the THTP program since 2002. Set the current agenda for the program. ▪ Coordinate the THTP with the regions
	VIP state coordinator	▪ Historic preservationist ▪ Coordinate the VIP at the state level ▪ Facilitate the VIP in Nacogdoches
	VIP program specialist	▪ Historic preservationist ▪ Facilitate the VIP program
Regional level	Regional coordinator	▪ Historic preservationist / the first coordinator for the Forest Trail ▪ Main link with the THC ▪ Participated in a VIP program to present about HT
		▪ Tourism specialist ▪ Main link with the THC ▪ Active participant in Nacogdoches VIP process
	TFTR board member	▪ heritage site managers and museum specialists ▪ Active Participant in Nacogdoches VIP process
		▪ CVB director ▪ Decision maker on the board/ former board chair
		▪ Chamber of Commerce ▪ Decision maker on the board
		▪ Economic Development ▪ Decision maker on the board/ current board chair
		▪ City manager ▪ Decision maker on the board/ former board member

Interviews stopped when main themes were identified to tell the story of the THC's effort in heritage management and achieve the objectives of the study

15.

Trustworthiness of the Study

Constructivist Paradigm ⟶ Trustworthiness

Credibility

- Gain a comprehensive picture of the socially constructed realities
- Communicating these realities with respondents

Transferability

- Fittingness and transferability rather than generalizability
- Readers can compare the context of the case study under investigation and judge its transferability to their own contexts

Reflexivity

- Stiuatedness through bringing my own interpretation to the socially constructed realities
- To demonstrate to the reader how my traditions, background and understanding of the research affected its design and findings

16.

Studying the HP- HT relationship at the THC heritage Management Institutional Structure

Data Reduction

Data Analysis

Data Results and Findings

Conclusion Drawing

17.

Data Reduction

Coding and Categorizing described by Glaser (1992)

- To identify categories, subcategories, properties, and themes
- Build relationships and patterns between and within categories and themes
- Build Cohesive understanding about the phenomenon under investigation

Stages of coding
- Open coding
- Selective coding for core categories
- Development of patterns and themes

- **For Documents**
  - List set of categories based on the theoretical framework (open to new categories)
  - Manual coding: Conduct open coding for the document (reference for the document, year, paragraph, line)
  - Cutting the document into pieces of papers according to the categories

- **For Interviews**
  - Using categories identified in the documents and stay open to new categories

18.

Open Coding: From Theoretical Framework and Documents

Coordination

From theoretical framework

- **Decentralization**
- **Partnership building between and within levels**
- **Authority through coordination**
- **Develop community heritage plans**

From documents

- **Leadership building**
- **Comprehensivity in coordination between levels**
- **Identifying roles and responsibilities**

- ▪ Leadership in public and private preservation organizations
- ▪ Dealing with organized entities
- ▪ Providing support
- ▪ Empowerment
- ▪ Participation requires attaining support

- • With other state agency
- • Between preservationists and tourism planners

- • Coordination within the state level
- • At the state level (with regions)
- • At the regional level (with the state and localities)
- • Between the state and localities

- • THTP role
- • Forest Trail role
- • VIP role
- • Community role

Historic preservation plans

From interviews

- • Partnership at the regional level
- • Partnership at the local levels
- • Partnership with organized ethnic groups

- • Coordination between THTP and VIP

- • Authority through coordination

19.

Open Coding

Channels of communication

Coordination

From theoretical framework

- **Administrative and policy networking**
- **Open and direct communication**
- **Partnership building between and within levels**
- **Authority through coordination**

- **Comprehensivity in coordination between levels**
- **Identifying roles and responsibilities**

From documents

- • Networking

- • Open lines of communication between the THC and its supports

- • With other state agency
- • Between preservationists and tourism planners

- • Coordination within the state level
- • At the state level (with regions)
- • At the regional level (with the state and localities)
- • Between the state and localities

- THTP role
- Forest Trail role
- VIP role
- Community role

From interviews

- ▪ Nature of communication and networking

- ▪ Venues of communication

- • Partnership at the regional level
- • Partnership at the local levels
- • Partnership with organized ethnic groups

- • Coordination between THTP and VIP

- • Authority through coordination

20.

Identifying Themes

Theme

Coordination at the state, regional and local levels

Core categories

Channels of communication	Partnership building	Coordination between levels

From theoretical framework

- Administrative and policy networking
- Open and direct communication
- Partnership building between and within levels
- Comprehensivity in coordination between levels
- Identifying roles and responsibilities
- Authority through coordination

From documents

- Networking
- Open lines of communication between the THC and its supports
- With other state agency
- Between preservationists and tourism planners
- Coordination within the state level
- At the state level (with regions)
- At the regional level (with the state and localities)
- Between the state and localities
- THTP role
- Forest Trail role
- VIP role
- Community role

From interviews

- Nature of communication and networking
- Venues of communication
- Partnership at the regional level
- Partnership at the local levels
- Partnership with organized ethnic groups
- Coordination between THTP and VIP
- Authority through coordination

21.

Theme	Category	Sub-category
1. Win-win relationship between HP and HT	Interdependent relationship between HP and HT	
	Economically-based win-win relationship	
2. Connection via programs	Types of programs	
	Connection between preservationists and tourism specialists	
3. Creating self-reliant bodies	Capacity building	• Providing support
	Leadership building	• Establishing responsible stakeholders • Ownership of the programs and plans
4. Building mutual commitment between the THC and its partners	Creating commitment	• THC initiatives for creating commitment • THC requirements for creating commitment of the regions and communities
	Maintaining commitment	• Keeping momentum with regions and localities • Enabling seeding benefits
5. Coordination at the state, regional and local levels	Partnership building between and within levels	• Partnership at the regional level • Partnership at the local level • Partnership with organized ethnic groups
	Coordination between levels	• Identifying roles and responsibilities of the three levels • Authority through coordination • Comprehensivity in coordination
	Channels of communications	• Communications and networking with partners
6. Strategic planning for heritage management	Stakeholders participation	• Diversity in participation
	Stakeholder influence in participation	• Role of the THC and the regional board in regional decision making processes • Role of communities in the decision making process
	Strategic processes	• Perspective to tourism • Strategic analysis • Vision and mission statements • Focus of the strategic planning • Approach for identifying goals and objectives • Public input in the strategic plans • Monitoring systems
7. Good governance	Accountability	• Relation in accountability • Accountability to cultural groups
	Equity and fairness through good governance	• Accessibility to the process and institutions • Distribution of benefits

22.

Data Analysis

Existence

RQ.1: WHAT is the nature of HP-HT relationship at the state level?

HM Approach | HP-HT relationship

Theme (1): Win – win relationship between HP-HT

Theme (2): Connection via programs

Effectiveness

RQ.2: HOW well does the relationship enable sustainable development and management in historical settings?

Decentralization

Setting up the entities (regional and local)
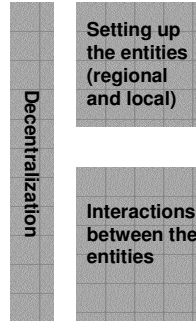
Theme (3): Creating self reliant bodies (Empowerment)

Theme (4): Building mutual commitment between the THC and its partners

Interactions between the entities

Theme (5): Coordination at the state, regional and local levels

Theme (6): Strategic planning for heritage management

Theme (7): Good governance in the THC's heritage management institutional structure

RQ.3: WHAT are the key criteria for developing an integrated framework for historic preservation and heritage tourism at the state level

---

23.

Analysis: Heritage Management Approach through the HP- HT Relationship

Theme (1): Win – win relationship between HP-HT

✓ Economic sustainability

✓ Physical sustainability

X No consideration to the Socio-cultural implications in the HP-HT relationship

Theme (2): Connection via programs

The relation is enabled through the THC's two programs: the THTP and VIP programs

24.

Analysis: Decentralization- Setting up the Entities at the Regional and local levels

Theme (3): Creating self reliant bodies (Empowerment)

- Capacity building through:
    - Providing assistance
    - Leadership building

State — THC (HT+THTP programs)

↓

Regional — (10) Heritage Trails, non-profit Organizations

↓

Local — (21+) VIP communities

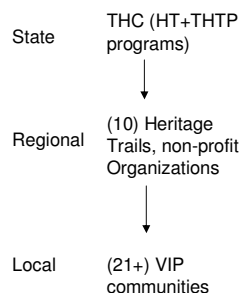**Theme (4):** Building mutual commitment between the THC and its partners

- To ensure their continuous participation in the programs

25.

Analysis: Decentralization- Interactions between Entities

Theme (5): Coordination at the state, regional and local levels

THC identifies roles and responsibilities of each level:

- Top-down, unidirectional coordination.
    - The THC interferes in regions and localities but not possible in reverse
    - Coordination was centered in the state
- Administrative-based coordination

26.

Analysis: Decentralization- Interactions between Entities

Theme (6): Strategic planning for heritage management

Stakeholder participation: adopt 'inclusive' approach in decentralization

- Not possible at the state- strategies are crafted in closed environments
- At the regional level: possible only geographically, not backgrounds or cultural groups
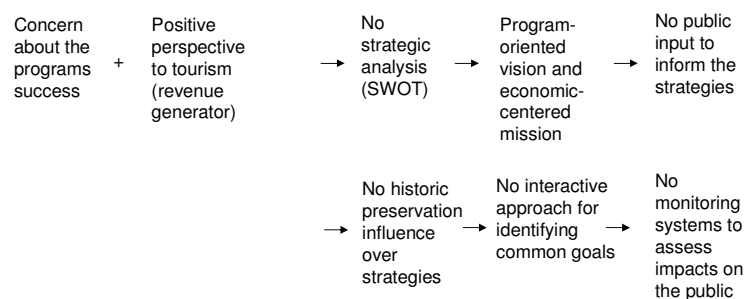- At the local level: not possible culturally

Stakeholder influence:

- THC did not allow regions or the public to attend and influence its strategies
- THC gives regions secondary role in the regional strategic planning (to serve its marketing, promotional, educational and publicizing goals).

27.

Analysis: Decentralization- Interactions between Entities

Theme (6): Strategic planning for heritage management

Strategic processes

Concern about the programs success + Positive perspective to tourism (revenue generator) → No strategic analysis (SWOT) → Program-oriented vision and economic-centered mission → No public input to inform the strategies

→ No historic preservation influence over strategies → No interactive approach for identifying common goals → No monitoring systems to assess impacts on the public

28.

Analysis: Decentralization- Interactions between Entities

Theme (7): Good governance in the THC's heritage management institutional structure

Accountability

- Upwardly accountability- oriented to the state government (Legislature and THC)
- Decentralization was not used as it should be (bring the government closer to the public)

Equity and Fairness

- Unfair accessibility to the institution (15 counties)
- Fair distribution of 'marketing' benefits, but not of other services- restricted to participants

29.

Findings: Effectiveness of the THC based on sustainability and good governance principles

1. Lack of holistic approach

- Not sensitive to the socio-cultural contribution of HM to sustainability

2. Purposive capacity and leadership building

- Targeting only the partners that can assist the state achieve its programs goals

3. Inadequate home-grown partnership

- Limited participation and representation of related stakeholders
- Rhetoric participation (deconcentration of the state's responsibilities- not decentralization of policy power)

4. Supply–driven policies; not demand driven policies

- Policies that focus on the services that can be provided by the THC, not according to the demands of the public and communities
- Policies that is not able to create bridge between the localities, regions and state

30.

Findings: Effectiveness of the THC based on sustainability and good governance principles

5. Lack of policy-based commitment
- Communication on administrative-related issues
- Does not consider the opinions and concerns of partners

6. Problems in the strategic process in its different components
- Focus on the program and its success in increasing visitation

7. Inadequate sensitivity to voiceless groups
- No serious efforts to involve marginalized groups
- Needed to assist in achieving the program goals (increasing visitation)

8. Problems in governance
- Upwardly accountability
- Restricted accessibility to institution
- Benefits are not fairly distributed between related communities

31.

Practical framework for Integrated Heritage Management

Aspect	Principle	Propositions
Holistic Approach to sustainability through HP-HT relationship	**Historic preservation-heritage tourism interconnection.** Heritage management policies and strategies should consider the environmental, social, cultural and economic dimensions of sustainability.	• People centered • Acknowledges HP-HT interdependency • Active interaction between HP and HT specialists
Creating self reliant and empowered bodies	**Capacity building and leadership building to empower partners.** Capacity building and leadership building should be enabled for all relevant stakeholders	• Support from the government • creating skilled stakeholders • Partnership in the program and its policies
Building mutual commitment between the THC and its partners	**Building commitment.** Mutual policy commitment should be established between the central government and its partners	• Government proactive in building commitment • Gaining support for regions and localities • Maintaining commitment through contiguous interaction • Maintaining commitment through allowing partners to benefit
Coordination at the state, regional and local levels	**Coordination between involved partners and stakeholders in the heritage management institutional structure.** Heritage management should be based on partnership between several entities at the different governmental levels with enabling effective coordination and communication between these partners.	• partnership for all relevant stakeholders • Roles and responsibilities should be negotiated • Partnership that allows delegation of policy and administrative power • Multidirectional coordination • active, policy based networking and communication

32.

Practical framework for Integrated Heritage Management

Aspect	Principle	Propositions
Strategic planning for heritage management	**Stakeholder participation in planning processes**. Planning processes should be inclusive to the diverse groups, entities, communities and stakeholders with enabling their active influence over decision making	▪ Inclusive participation (background, geographical and cultural) ▪ Granting voice in decision making ▪ Consideration the concerns of stakeholders
	Strategic approach in planning processes. Planning processes and stages should be systematic to ensure the consideration of the full aspects of integrated heritage management.	▪ Strategies that consider the long-term and short term impacts of tourism ▪ Conducting comprehensive strategic analysis ▪ Adopting interactive approach for identifying goals ▪ People-centered vision and mission statements ▪ Consideration of the interests of all stakeholders ▪ monitoring the impacts on and of the programs
Good Governance	**Good governance in integrated heritage management**. Policies and strategies should be accountable to the public in order to be able to achieve inter-generation and intra-generation equity in the society.	▪ Downwardly accountable HM policies and strategies ▪ Accountability to cultural groups ▪ Transparency and accessibility to institutions and decision making processes ▪ Equitable and fair distribution of benefits

33.

Conclusion: An Approach for Integrated Heritage Management

Purpose of the study:

Investigate possible role that governmental historic preservation agencies can play in achieving sustainability by reconciling the interests of historic preservation and tourism development

RQ.3: WHAT are the key criteria for developing an integrated framework for historic preservation and heritage tourism at the state level

Theoretical Framework ←——————→ Practical Framework

Pattern matching technique
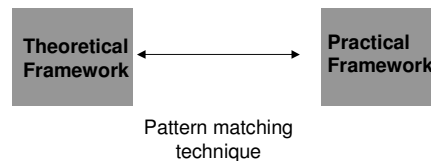
Developing new framework for Integrated Heritage Management

34.

Conclusion: An Approach for Integrated Heritage Management

1. Holistic approach to sustainability; HP-HT integration

Historic preservation-heritage tourism interconnection. *Heritage management policies and strategies should holistically consider social, cultural, environmental and economic dimensions of sustainability.*

2. Legitimacy and voice

Stakeholder participation in planning processes. *Planning processes should be inclusive to the diverse groups, entities, communities and stakeholders and allow their active influence over the strategies.*

3. Empowerment

Capacity building to empower partners. *Capacity building should be considered for all relevant stakeholders to enable their informative participation in heritage management policies and strategies.*

4. Good governance

Good governance in integrated heritage management. *Policies and strategies should be accountable to the public and their demands in order to be able to achieve inter-generation and intra-generation equity in the society.*

35.

Conclusion: An Approach for Integrated Heritage Management

5. Coordination between levels

Coordination between involved partners and stakeholders in the heritage management institutional structure. *Heritage management should be based on meaningful partnership between the entities at the different governmental levels.*

6. Channels of communication

Building channels of communication. *Multi-layered heritage management structures should develop administrative and policy networks that allow effective coordination between all involved stakeholders and partners.*

7. Strategic planning

Strategic approach in planning. *Planning processes should be systematic to ensure the consideration of the full aspects of an integrated heritage management.*

36.

Recommendations and Policy Implications

National Trust Principles for sustainable Heritage Tourism Programs	New framework for integrated heritage management
1. Collaboration	1. Holistic approach to sustainability; HP-HT integration
2. Finding the fit between the community and tourism	2. Legitimacy and voice
3. Make site and programs come alive	3. Empowerment and capacity building
4. Focus on authenticity and quality of the site	4. Good governance
5. Preserving and protecting the resources	5. Coordination between levels
	6. Channels of communications
	7. Strategic planning

APPENDIX B

Organizations Responsible for Tourism Development and Historic Preservation Management in the Different States

State	Historic preservation organization name	Tourism organization name	Responsibilities			
			Development	Marketing	Management	Policy Advocacy
Arkansas	Department of Arkansas Heritage	Arkansas Dept. of Parks and Tourism	-	-	-	-
Arizona	Office of Historic Preservation- Arizona State Parks	Museum Association of Arizona c/o Pueblo Grande Museum		-		-
		Arizona Humanities Council	-	-		-
California	Office of Historic Preservation- Department of Parks and Recreation	California Travel and Tourism Commission		-		
District of Columbia	DC Office of Planning, Historic Pres. Division	Cultural Tourism DC	-		-	-
Florida	Division of Historical Resources	VISIT FLORIDA	-	-		
Georgia	Department of Natural Resources	Georgia Department of Industry, Trade and Tourism	-	-		-
Hawaii	Department of Land and Natural Resources	Lyman Museum	-	-	-	-
		Hawaii State Foundation on Culture and the Arts	-	-	-	-
Idaho	State Historic Preservation Office	ID Dept. of Commerce., Div. of Tourism Development	-	-		-
Illinois	Illinois Historic Preservation Agency- Preservation Services Division	IL Bureau of Tourism	-	-	-	

State	Historic preservation organization name	Tourism organization name	Responsibilities			
Kansas	Kansas State Historical Society- Cultural Resources Division	Department of Commerce	-			-
Kentucky	Kentucky Heritage Council	KY Department of Tourism	-	-	-	-
Louisiana	Office of Cultural Development	Louisiana Office of Tourism	-	-		-
		LA Division of the Arts	-			
Maryland	Department of Housing and Community Dev.- Peoples Resource Center	Maryland Historical Trust	-			
Maine	Maine Historic Preservation Commission	Maine Arts Commission	-	-	-	-
		Maine Office of Tourism	-	-	-	-
Michigan	State Historic Preservation Office- MI Hist. Cntr., Dept. of History Arts & Libraries	MEDC/Travel Michigan	-	-		
Minnesota	Minnesota Historical Society- State Historic Preservation Office	Minnesota Office of Tourism	-	-		
		Minnesota Office of Tourism	-	-		
North Carolina	Department of Cultural Resources- Division of Archives and History	North Carolina Arts Council	-	-	-	-
		North Carolina Division of Tourism, Film & Sports Dev.	-	-	-	
		Heritage and Cultural Partnership -f NC	-			-
North Dakota	State Historical Society of North Dakota- ND Heritage Center	ND Dept. Of Commerce Tourism Division	-	-	-	
New York	Office of Parks, Recreation and Historic Pres.	New York State Division of Tourism	-	-		

State	Historic preservation organization name	Tourism organization name	Responsibilities			
Pennsylvania	Bureau for Historic Preservation	PA Tourism Office	-	-		
Tennessee	Department of Environment and Conservation	TN Department of Tourism Development	-	-		
		TN Department of Tourism Development	-	-		
Texas	**Texas Historical Commission**	**Texas Historical Commission**	**-**	**-**	**-**	**-**
Utah	Utah State Historical Society	Utah Division of State History	-	-	-	-
Vermont	Agency of Commerce & Community Dev.- VT Division for Hist. Preservation	Vermont Department of Tourism and Marketing	-	-	-	-
Washington	Office of Archeology & Historic Preservation	WA State Arts Commission	-	-	-	-
Wyoming	Wyoming State Historic Preservation Office- Dept. of State Parks & Cultural Resources	Wyoming Travel & Tourism	-	-		

Source: NTHP, accessed 10.7.05.

APPENDIX C

Interview Questions with a State Study Participant (02/14/2006)

Q.1: What encouraged the THC to host a HT and a THTP programs?

Approach
Q.2: The THTP is intended to be a regional initiative that combines HP and HT. How does the THTP allow this combination?

Q.3: In the HT brochure, this relation is described as a win-win opportunity
Do you think it is a win-win opportunity?
If yes, why?
If no, why not?

Coordination and communication
Q.4: How does the THC tend to coordinate the tourism efforts between and within the different levels- the state, regional, subregional and local levels?

Q.5: What venues are used for communication and information exchange between the different levels?

Planning: Participation and processes

The THTP adopted the five main principles for heritage tourism provided by the National Trust for Historic Preservation. The fifth principle emphasizes the importance of collaboration and participation of numerous individuals and organizations for a sucessful program.

Q.6: Do stakeholders with historic preservation interests participate in framing tourism-related policies, strategies and plans?
- If yes, are their concerns and needs considered as priorities while preparing the plans?
- If not, what alternative methods are used to address their concerns?

Q.7: Is the public input important in preparing the policies, strategies, and plans?
If yes, How is the public input sought?
If no, why not?

Q.8: Does the planning consider the pros and cons of tourism?
If yes, How does the planning seek to balance between them?
If not, why not?

Q.9: Are policies, strategies and management plans made accessible to all concerned people?
If yes, how is this information made available?

Working within the wider context of Sustainable Development

Q.10: It is mentioned in the "Statewide Plan for Texas: Preserving Our Heritage" that cultural diversity is one of the major challenges facing the THC in this decade. How does the THTP address this challenge?

Q.11: How does the THC approach the sustainable tourism development concept?

APPENDIX D

Interview Questions with a Regional Study Participant (02.27.06)

Q.1: How do you look at your five year experience as a regional coordinator?
Q.2: What encouraged the Forest Trail to participate in the THTP program?

Approach
Q.3: The THTP is intended to be a regional initiative that combines HP and HT. How does the Texas Forest Trail Region enable this combination?

Q.4: In the HT brochure, the THC describes this relation as a win-win opportunity
  Do you think it is a win-win opportunity?
      If yes, why?
      If no, why not?

Coordination and communication
Q.5: Management of a heritage site might require the involvement of the THC and local authorities along with the regional office. As a mediator, can you explain how you tried to coordinate the efforts of these different levels?

Q.6: Managing the heritage site involves preserving the historic properties, interpreting and promoting and marketing them for tourism. How were you trying to manage these three components?

Planning: Participation and processes

The THTP adopted the five main principles for heritage tourism provided by the National Trust for Historic Preservation. The fifth principle emphasizes the importance of collaboration and participation of numerous individuals and organizations for a sucessful program.

Q.7: How are relevant stakeholders identified for inclusion in preparing policies, strategies and management plans?

Q.8: How are these stakeholders encouraged to work together?

Q.9: Do stakeholders with historic preservation interests participate in framing the Forest Trail strategies and plans?
                - If yes, how do their concerns and needs influence the plans?
                - If not, what alternative methods are used to address their concerns?

Q.10: Is the public input important in preparing the Forest Trail strategies, and plans?
        If yes, How is the public input sought?
        If no, why not?

Q.11: What kinds of studies are conducted before setting the strategic plans?

Q.12: Are policies, strategies and management plans made accessible to all concerned people?
    If yes, how is this information made available?
    If no, why not?

<u>Working within the wider context of Sustainable Development</u>

Q. 13: How does the THC approach the sustainable tourism development concept?

Q. 14: The THC is faced with the challenge of "diversity". How the Texas Forest Trail Region does address this challenge?

APPENDIX E

Interview Questions with a Regional Study Participant (02.28.06)

Q.1: How do you look at your position as a new regional coordinator?

Approach
Q.2: The THTP is intended to be a regional initiative that combines HP and HT. How does the Texas Forest Trail Region allow this combination?

Q.3: In the HT brochure, the THC describes this relation as a win-win opportunity
      Do you think it is a win-win opportunity?
            If yes, why?
            If no, why not?

Coordination and communication
Q.4: One of your responsibilities as a regional coordinator is to serve as the primary link between the THC and Heritage Trails Region's heritage tourism sites and partner organizations. How do you carry out this responsibility?

Q.5: What venues are used for communication and information exchange between the regional and state and local levels?

Planning: Participation and processes

The THTP adopted the five main principles for heritage tourism provided by the National Trust for Historic Preservation. The fifth principle emphasizes the importance of collaboration and participation of numerous individuals and organizations for a sucessful program.

Q.6: How are relevant stakeholders identified for inclusion in preparing policies, strategies and management plans?

Q. 7: Are local authorities in the different cities within the Texas Forest Trail region involved in framing the strategic plans?
      If yes, what is the form of their participation?
      If not, why not.

Q.8: Do stakeholders with historic preservation interests participate in framing the Forest Trail strategies and plans?
            - If yes, how are their concerns addressed in the strategic plans?
            - If not, what alternative methods are used to address their concerns?

Q. 9: In the SWOT matrix, one of the addressed threats is the conflict (Board conflict, conflict with other organizations, and conflict with other state agencies).
      Q.9a: What is the nature of these conflicts?
      Q.9b: Do these conflicts affect the strategic plans, especially those of the board?

If yes, what are their impacts?
Q.9c: Are there any actions made to overcome this problem?
If yes, what are these actions?
If no, why not?

Q.10: What stimulates the need to add an advocacy task force to the new strategic plan (2005)?

Q.11: Are policies, strategies and management plans made accessible to all concerned people?
If yes, how is this information made available?

Working within the wider context of Sustainable Development

Q.12: How does the Texas Forest Trail Region approach the sustainable tourism development concept?

Q.13: One of the challenges that face the THC is dealing with the "diversity" issue. How does the Texas Forest Trail Regional deal with this challenge?

APPENDIX F

Interview Questions with a State Study Participant (03.09.06)

Q.1: How do you look at your experience in the VIP program?
Q.2: What is the philosophy of the VIP program?

A. Approach

Q.3: In the "Visionaries in preservation Program" brochure, the VIP allows communities to foster preservation leadership.
      a. Why leadership is important?
      b. What venues are used to enable communities be preservation leaders?

Q.4: The THTP is intended to be a regional initiative that combines HP and HT.
      a. Does the VIP have a role in allowing this combination (between HP-HT)?
          - If yes, what is the nature of that role?
          - If not, why not?
      b. Could this relation be a win-win combination?
          - If yes, how do you describe this win-win relation?
          - If not, why not?

B. Coordination and communication

Q.5: How do you look at the heritage tourism program and the Texas Heritage Trail program in relation the VIP program?

Q.6: How does the VIP coordinate its responsibilities with those of the CLG, Main Street program and the HT within the Community Heritage Development division?

Q.7: What channels are used for communicating and exchanging information with other programs and divisions in the agency (HT, history, architecture, ect.)?

C. Planning: Participation and process

For the VIP at the local level:

The VIP program emphasizes the importance of building partnership among diverse groups and interests.
      Q.8: How are relevant stakeholders identified for inclusion in the planning process?

      Q.9: Did the communities that have a VIP involve the local authorities?
          a. If yes, how do you think their involvement affected the planning process and the implementation of the plan?
          b. If no, why not?

Q.10: How are stakeholders in the VIP encouraged to collaborate?

Q.11: Are preservation plans made accessible to all concerned people?
     If yes, how is this information made available?
     If no, why not?

D. Working within the wider context of Sustainable Development

Q.12: How can the VIP initiative assist the communities to consider the physical, economic and socio-cultural values of the historical assets?

Q.13: The VIP program emphasizes the important of cultural, age and functional diversity.
     a.   Why is it important to diversify the visioning process?
     b.   What venues are used for encouraging diversity?

Q.14: The diversity has been addressed by the "Statewide Plan for Texas: Preserving Our Heritage" as a major challenge facing the THC in this decade.
     a.   How the locally-based VIP can help the state in facing this challenge?

APPENDIX G

Interview Questions with a State Study Participant (03.09.06)

Q.1: What encouraged the THC to initiate the VIP program?
Q.2: How do you look at your experience in the VIP program?

A. Approach

Q.3: The VIP is intended to be a local initiative that empowers Texas communities to shape the future of their historic preservation efforts.
      a. Why does the THC seek to empower local communities through the VIP?
      b. How the THC and the communities benefit from this empowerment?

Q.4: The THTP is intended to be a regional initiative that combines HP and HT.
      a. Does the VIP have role in allowing this combination (between HP-HT)?
          - If yes, what is the nature of that role?
          - If not, why not?
      b. Could this relation be a win-win combination?
          - If yes, how do you describe this win-win relation?
          - If not, why not?

B. Coordination and communication

Q.5: Are there coordination between the VIP and the THTP program in the agency?
      a. If yes, how does this coordination occur?
      b. If no, why not?

Q.6: Do you coordinate your historic preservation efforts with those of the other divisions in the agency (History, Archeology, and Architecture)?
      a. If yes, what is the nature of this coordination?
      b. If not, why not?

Q.7: In case that a VIP community in a regional trail incorporates a HT component in their preservation plan, are they coordinating their HT efforts with those of the regional and state?
      a. If yes, how are they advised to coordinate?
      b. If not, why not?

C. Planning: Participation and process

For the VIP at the state level:
Q.8: Does the VIP program have a strategic plan?
      a.   If yes, who participate in formulating the plan?
      b.   If no, why not?

Q.9: Does the VIP staff participate in crafting the strategic plans for the THTP?

a. If yes, how do you think your HP input might affect the plan?
b. If not, why not?

For the VIP at the local level:

Q.10: The VIP is designed to allow communities create their preservation plans. Why is it important that the community themselves create these plans?

Q.11: Are communities advised to conduct specific studies or research before initiating the VIP program?
    If yes, what are the types of analysis made?
    If no, why not?

Q.12: Does the community consider the pros and cons of tourism in preparing their preservation plans?
    If yes, how do they address them?
    If not, why not?

D. Working within the wider context of Sustainable Development

Q.13: How does the VIP initiative assist the communities to consider the physical, economic and socio-cultural values of the historical assets?

Q.14: The diversity has been addressed by the "Statewide Plan for Texas: Preserving Our Heritage" as a major challenge facing the THC in this decade.
    b. How the locally-based VIP can help the state in facing this challenge?

APPENDIX H

Interview Questions with a Regional Study Participant (03.14.06)

Q.1: Can you describe your responsibilities as a Historic Sites Manager in the city of Nacogdoches?

Q.2: How do you look at your experience as a member on the Texas Forest Trail Region board?

Approach

Q.3: The THTP is intended to be a regional initiative that combines HP and HT. How does the Texas Forest Trail Region enable this combination?

Q.4: In the HT brochure, the THC describes this relation as a win-win opportunity
    Do you think it is a win-win opportunity?
        If yes, why?
        If no, why not?

Coordination and communication

Q.5: The structure of the Texas Forest Trail Region is composed of board members with a regional coordinator and committees.

    a. How do you describe the role of the regional board, the regional coordinator and the committee?

    b. How do you look at the composition of the regional board members coming from different fields of expertise?

    c. Can further members or sectors participate on the board?
        If yes, what is their expected contribution?
        If no, why not?

Q.6: Did your position as a historic sites manager inform your participation on the TFTR board?
    If yes, what is your major input to the board?
    If no, why not?

Q.7: The VIP program just started in the city of Nacogdoches.

    a. What encouraged you to think about initiating the VIP program in Nacogdoches?

    b. Does the VIP coordinate the historic preservation and heritage tourism efforts with the Texas Forest Trail Region?
        If yes, how do you describe this coordination?
        If no, why not?

Q.8: Managing the heritage site might involve preserving the historic properties, interpretation, promoting and marketing, and visitor management.

Does the board consider these four aspects?

If yes, how does the board seek to coordinate between these four aspects?

If no, why not?

Planning: Participation and processes

The THTP adopted the five main principles for heritage tourism provided by the National Trust for Historic Preservation. The fifth principle emphasizes the importance of collaboration and participation of numerous individuals and organizations for a sucessful program.

Q.9: How are relevant stakeholders identified for inclusion in preparing policies, strategies and management plans for the TFTR? (Discuss local authorities)

Q. 10: Are local authorities in the different cities within the Texas Forest Trail region involved in framing the strategic plans?

If yes, what is the form of their participation?

If not, why not.

Q.11: Do stakeholders with historic preservation interests participate in framing the Forest Trail strategies and plans?

If yes, does their concerns and needs influence the plans?

If not, what alternative methods are used to address their concerns?

Q.12: What kinds of studies are conducted before setting the strategic plans?

Q.13: Does the preparation of the strategies consider the pros and cons of tourism development in the region?

If yes, How does the planning seek to balance between them?

If no, why not?

Working within the wider context of Sustainable Development

Q. 14: How does the Texas Forest Trail Region approach the sustainable tourism development concept?

Q. 15: It is mentioned in the "Statewide Plan for Texas: Preserving Our Heritage" that cultural diversity is one of the major challenges facing the THC in this decade. How does the THTP address this challenge?

APPENDIX I

Interview Questions with a Regional Study Participant (03.14.06)

Q.1: How do you look at your experience as a member on the Texas Forest Trail Region board?
Q.2: What encouraged you to start the application for the Texas Forest Trail in this region?

Approach

Q.3: The THTP is intended to be a regional initiative that combines HP and HT. How does the Texas Forest Trail Region enable this combination?

Q.4: In the HT brochure, the THC describes this relation as a win-win opportunity
        Do you think it is a win-win opportunity?
                If yes, why?
                If no, why not?

Coordination and communication

Q.5: The structure of the Texas Forest Trail Region is composed of board members with a regional coordinator and committees.

        a. How do you look at the composition of the regional board members coming from different fields of expertise?

        b. Can further members or sectors participate on the board?
                If yes, what is their expected contribution?
                If no, why not?

Q.6: Did your position as a coordinator of the CVB informed your participation in the TFTR board?
        If yes, what is your major input to the board?
        If no, why not?

Q.7: The VIP program just started in the city of Nacogdoches.

        a. What encouraged you to participate in this program?

        b. How could the VIP open venues for coordinating local historic preservation and heritage tourism efforts with the Texas Forest Trail Region?

Q.8: Managing the heritage site might involve preserving the historic properties, interpretation, promoting and marketing, and visitor management.
        Does the board consider these four aspects?
                If yes, how does the board seek to coordinate between these four aspects?
                If no, why not?

Q.9: How does the regional board tend to coordinate its heritage tourism effort at the regional level with the efforts of other agencies and organizations at both the state and local levels?

Planning: Participation and processes

The THTP adopted the five main principles for heritage tourism provided by the National Trust for Historic Preservation. The fifth principle emphasizes the importance of collaboration and participation of numerous individuals and organizations for a sucessful program.

Q.10: How are relevant stakeholders identified for inclusion in preparing policies, strategies and management plans for the TFTR? (Discuss local authorities)

Q. 11: In the SWOT matrix, one of the addressed threats is the conflict (Board conflict, conflict with other organizations, and conflict with other state agencies).
        Q.9a: What is the nature of these conflicts?
        Q.9b: Do these conflicts affect the strategic plans, especially those of the board?
            If yes, what are their impacts?
        Q.9c: Are there any actions made to overcome this problem?
            If yes, what are these actions?
            If no, why not?

Q.12: Does the preparation of the strategies consider the pros and cons of tourism development in the region?
        If yes, How does the planning seek to balance between them?
        If no, why not?

Q.13: Are policies, strategies and management plans made accessible to all concerned people?
        If yes, how is this information made available?
        If no, why not?

Working within the wider context of Sustainable Development

Q. 14: How does the Texas Forest Trail Region approach the sustainable tourism development concept?

Q. 15: It is mentioned in the "Statewide Plan for Texas: Preserving Our Heritage" that cultural diversity is one of the major challenges facing the THC in this decade. How does the THTP address this challenge?

APPENDIX J

Interview Questions with a Regional Study Participant (03.15.06)

Q.1: How do you look at your experience as a member on the Texas Forest Trail Region board?

Q.2: can you describe the history of the Texas Forest Trail Region?

Approach

Q.3: The THTP is intended to be a regional initiative that combines HP and HT. How does the Texas Forest Trail Region enable this combination?

Q.4: In the HT brochure, the THC describes this relation as a win-win opportunity
        Do you think it is a win-win opportunity?
                If yes, why?
                If no, why not?

Coordination and communication

Q.5: The structure of the Texas Forest Trail Region is composed of board members with a regional coordinator and committees.

        b. How do you look at the composition of the regional board members coming from different fields of expertise?

        c. Can further members or sectors participate on the board?
                If yes, what is their expected contribution?
                If no, why not?

Q.6: How do you describe your own contribution to the regional board?

Q.7: Managing the heritage site might involve preserving the historic properties, interpretation, promoting and marketing, and visitor management.
        Does the board consider these four aspects?
                If yes, how does the board seek to coordinate between these four aspects?
                If no, why not?

Planning: Participation and processes

The THTP adopted the five main principles for heritage tourism provided by the National Trust for Historic Preservation. The fifth principle emphasizes the importance of collaboration and participation of numerous individuals and organizations for a sucessful program.

Q.8: How are relevant stakeholders identified for inclusion in preparing policies, strategies and management plans for the TFTR? (Discuss local authorities)

Q.9: Is the public input important in preparing the Forest Trail strategies, and plans?

        If yes, How is the public input sought?

        If no, why not?

Q.10: In the SWOT matrix, one of the addressed threats is the conflict (Board conflict, conflict with other organizations, and conflict with other state agencies).

        Q.10a: What is the nature of these conflicts?

        Q.10b: Do these conflicts affect the strategic plans, especially those of the board?

           If yes, what are their impacts?

        Q.10c: Are there any actions made to overcome this problem?

           If yes, what are these actions?

           If no, why not?

Q.11: Does the preparation of the strategies consider the pros and cons of tourism development in the region?

        If yes, How does the planning seek to balance between them?

        If no, why not?

Working within the wider context of Sustainable Development

Q. 12: How does the Texas Forest Trail Region approach the sustainable tourism development concept?

Q. 13: It is mentioned in the "Statewide Plan for Texas: Preserving Our Heritage" that cultural diversity is one of the major challenges facing the THC in this decade. How does the THTP address this challenge?

APPENDIX K

Interview Questions with a Regional Study Participant (03.16.06)

Q.1: How do you look at your experience as a board chair for the Texas Forest Trail Region?

Approach

Q.2: The THTP is intended to be a regional initiative that combines HP and HT. How does the Texas Forest Trail Region enable this combination?

Q.3: In the HT brochure, the THC describes this relation as a win-win opportunity
     Do you think it is a win-win opportunity?
          If yes, why?
          If no, why not?

Coordination and communication

Q.4: The structure of the Texas Forest Trail Region is composed of board members with a regional coordinator and committees.

     b. How do you look at the composition of the regional board members coming from different fields of expertise?

     c. Can further members or sectors participate on the board?
          If yes, what is their expected contribution?
          If no, why not?

Q.5: Managing the heritage site might involve preserving the historic properties, interpretation, promoting and marketing, and visitor management.
     Does the board consider these four aspects?
          If yes, how does the board seek to coordinate between these four aspects?
          If no, why not?

Q.6: How does the regional board tend to coordinate its heritage tourism effort at the regional level with the efforts of other agencies and organizations at both the state and local levels?

Q.7: What venues are used for communication and information exchange between the regional and state and local levels?

Planning: Participation and processes

The THTP adopted the five main principles for heritage tourism provided by the National Trust for Historic Preservation. The fifth principle emphasizes the importance of collaboration and participation of numerous individuals and organizations for a sucessful program.

Q.8: How are relevant stakeholders identified for inclusion in preparing policies, strategies and management plans for the TFTR? (Discuss local authorities)

Q.9: How are these stakeholders encouraged to work together?

Q.10: Is the public input important in preparing the Forest Trail strategies, and plans?
                If yes, How is the public input sought?
                If no, why not?

Q. 11: In the SWOT matrix, one of the addressed threats is the conflict (Board conflict, conflict with other organizations, and conflict with other state agencies).
        a: What is the nature of these conflicts?
        b: Do these conflicts affect the strategic plans, especially those of the board?
            If yes, what are their impacts?
        c: Are there any actions made to overcome this problem?
            If yes, what are these actions?
            If no, why not?

Q.12: Does the preparation of the strategies consider the pros and cons of tourism development in the region?
        If yes, How does the planning seek to balance between them?
        If no, why not?

Working within the wider context of Sustainable Development

Q. 13: How does the Texas Forest Trail Region approach the sustainable tourism development concept?

Q. 14: It is mentioned in the "Statewide Plan for Texas: Preserving Our Heritage" that cultural diversity is one of the major challenges facing the THC in this decade. How does the THTP address this challenge?

APPENDIX L

Interview Questions with a Regional Study Participant (03.28.06)

Q.1: How do you look at your experience as a member on the Texas Forest Trail Region board?

Q.2: How do you describe the main accomplishments of the Texas Forest Trail region?

Approach

Q.3: The THTP is intended to be a regional initiative that combines HP and HT. How does the Texas Forest Trail Region enable this combination?

Q.4: In the HT brochure, the THC describes this relation as a win-win opportunity
>   Do you think it is a win-win opportunity?
>>   If yes, why?
>>   If no, why not?

Coordination and communication

Q.5: You are a city manager who received the Award of Excellence in Community Heritage Development in the 2005 THC conference. How do you think you were able to bring your concerns about the community heritage to the regional program?

Q.6: The Visionaries in preservation Program is a state initiative to help communities plan for their historic preservation, heritage tourism and economic development in the cities.

>   a. How do you look at this "grass root" initiative?

>   b. Does the VIP initiative have any contributions to the Forest Trail program?
>>   If yes, what are these contributions?
>>   If no, why not?

Q.7: The structure of the Texas Forest Trail Region is composed of board members with a regional coordinator and committees.

>   a. How do you look at the composition of the regional board members coming from different sectors?

>   c. Can further members or sectors participate on the board?
>>   If yes, what is their expected contribution?
>>   If no, why not?

Q.8: Does the ten Texas Heritage Trail Regions participate in formulating the State strategies for heritage tourism?
>   If yes, what is their contribution?
>   If no, why not?

Planning: Participation and processes

Q.9: Does your job description require you to participate in the Texas Forest Trail Region program?
> a. If yes, how does your involvement help in fulfilling your duties as a city manager of Pittsburg?
> b. If no, what were you expecting from your involvement in the program?

Q.10: How do you think your community benefited from having you representing them on the board?

Q.11: The Texas Forest Trail Region program is intended to help counties and cities through providing promotion, education and training for historic preservation and heritage tourism. How do you look at the distribution of these benefits between the communities within the Forest Trail?

Q.12: Was the board open to incorporate new board members
> If yes, what was the reason for incorporating them?
> If no, why not?

Q.13: Could the local authorities in the different cities within the Texas Forest Trail region participate in framing the strategic plans of the Texas Forest trail Region?
> If yes, what is the form of their participation?
> If not, why not?

Q.14: Does the preparation of the strategies consider the pros and cons of tourism development in the region?
> If yes, How does the planning seek to balance between them?
> If no, why not?

Working within the wider context of Sustainable Development

Q.15: How does the Texas Forest Trail Region approach the sustainable tourism development concept?

Q.16: It is mentioned in the "Statewide Plan for Texas: Preserving Our Heritage" that cultural diversity is one of the major challenges facing the THC in this decade. How does the THTP address this challenge?

APPENDIX M

The VIP Visioning Process in Nacogdoches

Each year the THC accepts the application from three communities to assist them conducting a visioning process. Currently the THC is facilitating visioning process in three communities, Nacogdoches, Franklin County, and Uvalde. The visioning process in Nacogdoches has been launched in November 2005 and underwent through several stages. Based on the document analysis for the VIP guidebook and participant observation in attending the meetings, the following describes the process, specifically its four first meetings.

November/2005: Community kick off meeting

Prior to initiating the visioning process in Nacogdoches, I was told by a state study participant that the VIP staff conducted an introductory meeting with the city to introduce the VIP program and its concept to the city. The city of Nacogdoches, and through its leadership committee, was asked to publicize the first community meeting that was scheduled in November 2005. It is the 'community kick-off' meeting.

So starting from November 2005 the VIP planning process started in Nacogdoches. The first phase is a preparatory stage to identify issues and concerns (THC, 2005c). It includes two meetings: a 'Kick off meeting' and a 'profiling' meeting. In the first part of the kick-off meeting (which was made in November 2005), the VIP staff met with fourteen key players in the community, including: planning and zoning members, city staff members, individuals from the university, historic sites board members, and Convention and Visitor Bureau coordinator[48]. Through this meeting, the staff discussed the expectations from the community and emphasized the importance of municipal participation. Then the staff held a meeting for the community at large with the participation of new citizens[49]. The staff outlined the Visionaries in Preservation Program and what the community expects during the upcoming year (2006). They also displayed a video film entitled 'Community of Choices' to show the connection between historic

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[48] Personal contact of the researcher with a VIP staff in the THC on January/24/2006
[49] Participation was less than the VIP staff expectations

preservation and the community's economic well being. The video covers planning, historic preservation, tourism, to link it with the health of a community[50].

This stage was necessary to familiarize the community about the program, its time line and historic preservation as a contributor the community's well being. It prepared the community for the next meeting that was scheduled in 27th February 2006 to identify issues and concerns of Nacogdoches residents.

February 27 2006: Leadership Committee workshop

The meeting was arranged at the Liberty hall (Figure A.1), and at the same time (6:00 pm – 7:30 pm)[51]. Twenty nine residents attended the meeting to identify issues critical to preservation in their community, reach consensus regarding these issues and then group them into goals based on common factors. The hall was prepared for fifty persons but only 29 residents attended the meeting. The overall characteristics of the attendees are: White people, form both sex (men and women), some are partners; age between 30-60 years.

Figure A.1 Nacogdoches Liberty Hall from outside (left) and inside (right)

Identifying the issues was made through a question-driven process. The VIP distributed an exercise through which the residents can answer sets of core questions that focus of foreseeable future, elicit critical information and encourage specific responses. The seventeen questions were

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[50] Traditionally, this meeting should also include a SWOT analysis to be used as a measuring tool throughout the process. But the staff decided not to include it in Nacogdoches.

[51] All the rest of the meetings were arranged at the last Monday of each month, at the same place and same time. The staff arranged it in this way to ensure keeping momentum with the community.

structured to cover four main themes; historic preservation (public policy and inventory); heritage tourism, education and communication and economic development- which are basically the task forces that should emerge from this process.

The THC staff invited the residents to use this exercise to list his/her critical issues on a panel (Figure A.2). The residents were then grouped to five groups to summarize the issues and then have a representative to share them with the attendees (Figures A.3, A.4). The VIP staff then bulleted these issues to prepare them for classification under task forces (Figure A.5). Five task forces were created: Public policy, Historic assets (survey), Heritage tourism, Education and communication and Economic development. The participants were then solicited to sign in any of the task forces. It was noticed that all the participants volunteered, some as chairs for the task force, and some signed on more than one task force.

Figure A.2 Identifying critical issues

Figure A.3 Grouping to discuss and summarize issues

Figure A.4 Presenting identified issues

Figure A.5 Arranging issues under themes (task forces)

This was the critical meeting for the community to shape their historic preservation concerns and issues. According to the VIP guidebook, this meeting should be preceded by a SWOT analysis (Strength, Weaknesses, Opportunities, and Threats). The THC did not conduct this analysis.

Investigating the reasons from a VIP staff I was told that the community can identify their issues based on the exercise that was given to them and therefore there was no need to do the SWOT analysis.

So, identifying the issues and concerns was the purpose of this meeting. Some insights were addressed about this meeting.

- The THC emphasized that this is a consensus building process through which the community can work together to identify their issues and goals regarding historic preservation.

- The community was the ones who identified the issues and concerns. The THC took a facilitator stand to organize the meeting and its framework.

- The workshop started directly with the questioning exercise to identify the issues. The community did not use any studies or analysis to assist in identifying these issues.

- Participation was restricted to twenty nine Anglo American people with no presentation from other cultural groups (African American, Hispanic, or Native American). Three of the participants commented on the lack of ethnic diversity in the process. The THC acknowledged its importance and encouraged the community to have more diverse groups in the next meetings.

- The questioning exercise addressed issues related mainly to historic preservation, its impact on the sense of belonging, controlling new development through coding, visitation, historic preservation as an economic strategy, role that should be played by the local government in historic preservation, downtown revitalization, gateways and tourism attractions, threatened historical building, downtown revitalization, housing, and diversity participation. Of these issues, the community focused on issues related to historic preservation (coding and ordinances, protecting natural resources, and creating pedestrian areas, developing revitalization plans, and inventorying Nacogdoches heritage assets); economic development through developing downtown revitalization strategies; heritage tourism through promotion; and educating the community about design guidelines, and financial incentives. So, in general the emphasis is on historic preservation (to protect the physical environment) and its economic possibilities (to achieve economic development). The exercise did not elicit thinking about issues related

to cultural and diversity challenges that have been addressed in the THC statewide plan (2002).

- This meeting was able to bring people with both historic preservation and heritage tourism interests. Four (4) community members signed in the heritage tourism task force; eighteen (18) in historic preservation-related issues (public policy, historic assets, and education and communication). Also there was three (3) members who had economic interests.

- The meeting ended with reaching consensus on the main issues since the participant were able to jointly work together to identify these issues.

March 27, 2006: Preservation 101 meeting

The community held its second meeting with a participation of 31 residents- including 7 students[52]. This meeting was designed to provide preservation 101 and conduct voting to prioritize issues on a scale of highest priority, higher priority and high priority. In preservation 101 the staff provided a power point presentation about principles, techniques and practices of historic preservation. Topics addressed in the presentation include modern preservation philosophy and techniques (its connection with economics); Charleston principles, and the Secretary of interior's standards for rehabilitation.

So, this part of the meeting provided an educational component to teach the community about historic preservation and its practices. Following that was a voting session to prioritize the pre-established issues. The THC worked on the issues that have been identified in the previous meeting, refine and combine them to prepare them for voting. These issues were written on separate sheets and attendees participated in voting on them (Figure A.6).

_____

[52] The students were from Stephan F. Austin State University and they were encouraged to participate by their instructor to get grade credits. They left the hall before the voting.

Figure A.6 The community is voting to prioritize issues

It was noticed in that meeting that the educational component was mostly focused on historic preservation- related issues. Heritage tourism for instance was addressed under the preservation translation into economic power "Heritage tourism: NO ONE is coming to visit your strip mall" (according to the presentation provided to the community).

23rd April 2006: Community visioning workshop

This is another educative session through which the THC staff (or invited specialists) presents about specific preservation issues affecting the community. Fourteen of Nacogdoches' community attended the meeting and were provide a presentation by the VIP staff about zoning, financial incentives, signage, and design guidelines. Part of the presentation was about design guidelines because the community identified it as one of their highest priorities. The community was informed that the next meeting will be about 'planning the solution' through which the task forces will refine the action plans that contains strategies, schedules and individual initiatives. The THC role is to prepare the goals based on the classified issues and send them for the task forces to prepare for the next meeting. The VIP staff asked the participants to bring more people for the next meeting.

May 22 2006: Goals and Action Planning

I did not had the opportunity to attend this meeting but through a personal contact with the VIP staff I was advised that the staff prepared sets of action plans for each task force and in Nacogdoches they identified the personals and timelines for the action plan. The community role

in this meeting was to volunteer on these tasks. So, basically this meeting was about identifying roles and responsibilities of the volunteering participants.

Note: Although the process is called visioning process that is intended to prepare a vision statement and working plan, practically the community concluded the process with having only one component; the working plan. Through an informal conversation with a VIP staff I was told that the THC do not develop a vision statement because it is 'time waster' and not beneficial to the community. More focus is thus made on creating the working plan.

Nacogdoches Visionaries in Preservation

Take a Panel

To help your community design the best plan for Nacogdoches, we would like to know as much as possible about the community's strengths and challenges and how you feel about living here. These questions are designed to help gather a quick snapshot of life in Nacogdoches.

Assignment
Please write your name in the upper right-hand corner of your panel. Then use the panel to respond to the list of questions and statements on the back of this sheet.

It is not necessary to answer all of the questions, answer only the questions that interest you. You do not have to respond in any particular order. Feel free to skip a question or statement and proceed to another one.

Take your time and be creative in your thinking and responses.

Read through **ALL** of the questions and be sure to answer the ones that you feel strongly about.

Process
Use words, sketches and diagrams to respond. Be big, bold and creative.

Time
Approximately twenty-five minutes.

Next
Instructions for the next activity will be distributed at the end of twenty-five minutes.

- What does historic preservation mean to you? What are some examples of preservation in Nacogdoches that make you proud? Are there any examples of poor preservation efforts in Nacogdoches?

- How does historic preservation affect how Nacogdoches looks? How does it affect how you feel about living here? Ideally, what is possible through historic preservation in Nacogdoches?

- Should new developments and new construction fit in with the prevailing historic character of Nacogdoches?

- Why do people visit Nacogdoches? What places do they visit when they come? What are some of Nacogdoches's unique resources? What makes Nacogdoches different from other places?

- Should Nacogdoches pursue historic preservation as an economic development strategy? If so how?

- Who should be involved in forming an economic development strategy based on historic preservation? This can include private individuals, groups, elected officials, educators— anyone you can think of.

- What actions should local government be taking to establish historic preservation as a practice?

- What or who is missing downtown (this can be anything, for example, shopping opportunities, groceries, apartments, people, tourists, etc.)

- What do the gateways to Nacogdoches, such as roads, highways and entrances, look like? Who uses these gateways? Do they represent what Nacogdoches is? How could they be better?

- Is Nacogdoches a pedestrian-friendly City? What part(s) of town do you like to walk around best? Where is it uncomfortable to walk? How could Nacogdoches encourage more pedestrians and walking?

- What makes you feel most a part of your community? Name and/or roughly draw some of your favorite places in town. Do you consider them historic? Why?

- What specific buildings in Nacogdoches are in danger of decay or destruction? Why are they important to you?

- Describe and/or roughly map the historic commercial areas of Nacogdoches. What do these areas look like? What does it feel like to be there? Who uses them? Are they easily accessible from other parts of the City?

- How could development pressure on downtown and other historic areas affect their character? Is all of such change bad? Are there any positive things that can come out of anticipated change?

- Which historic areas or neighborhoods are best-suited for revitalization as middle-income housing to help more of Nacogdoches' residents live near downtown?

- Identify some vacant or dormant buildings or industrial complexes. Why are they empty now? How could they be re-used?

- Take a look around the room. Who is here? Is this a diverse group? Who's missing and why? What can this group do right now to include representatives from Nacogdoches's diverse community?

Identified Issues and Task Forces

Task Force # 1
Public Policy

- Improve enforcement of existing codes and sign ordinance
- Assure new development harmonizes with character of city through design guidelines
- Create pedestrian-friendly city
  - Establishment of walking/biking trails
- Obtain government commitment to meet preservation goals
- Encourage adaptive re-use
- Establish business incentives
- Review/revise ordinances to meet preservation goals
  - Revise building code
  - Revise preservation ordinance
- Rehabilitate historic structures
  - Establish preservation financial incentives
- Protect historic natural resources
  - Preserve/plant trees on North Street
  - Encourage historic landscaping

Task Force Members

Gerry Larrabee   Heather Wyatt-Nichol
Diana Walker   Randi Cooper
Bill Clark   Scott Runnels
Shirley Clark   Kent Hutchison

Task Force # 2
Historic Assets

- Identify/survey Nacogdoches' broad range of historic assets, including all time periods and the full extent of the city's diverse resources
- Focus on threatened Zion Hill district
- Protect Millard's Crossing
- Recognize and promote all periods of Nacogdoches' period
- Promote Spanish/Aboriginal heritage
- Recognize historic architectural themes present throughout Nacogdoches

Task Force Members

Sharon Rulfs Kerr   Charles L. Bass?
Scott Runnels   Tom Middlebrook
Barbara Stump   Robert Groebel
Jo Carlson   Perky Beisel
Ann Phillips

Identified Issues and Task Forces

Task Force # 3
Heritage Tourism

- Increase number of visitors through heritage tourism
  - Emphasize Nacogdoches as an authentic Texas community
  - Establish community regions
  - Create signage highlighting historic assets and areas
- Establish and encourage appropriate development at community gateways
- Promote historic resources

Task Force Members
Pam Fitch
Kathleen Seal
Bill Forbes
Morris K. Jackson

Task Force # 4
Education & Communication

- Obtain government commitment to meet preservation goals
  - Identify and involve city leaders and activists to help meet preservation goals
- Increase local involvement in preservation planning/historic preservation
  - Assure more diverse participation
  - Involve Garden and Study Clubs
  - Involve educators and parents
  - Involve Stephen F. Austin State University
- Educate community about the existence and economic and aesthetic benefits of design guidelines
- Increase the appeal of historic preservation
- Encourage adaptive use

Task Force Members
Carolyn Morley
Scott Runnels
Charlotte Sanderson

Task Force # 5
Economic Development

- Revitalize downtown
  - Encourage downtown/loft living
  - Establish business incentives
  - Concentrate retail attractions downtown
  - Attract established local businesses to relocate downtown
  - Improve downtown nightlife
  - Work with merchants to establish beneficial hours
  - Diversify downtown retail and encourage restaurants downtown
- Educate/involve leaders and stakeholders, including developers and NEDCO
- Educate community about preservation and economic development
  - Promote and encourage residents to patronize local establishments

Task Force Members
Perky Beisel
Linda McKinney
Bruce Partain

Nacogdoches Goals Summary Diagram

Nacogdoches' vision and goals are the inspiration and foundation of the preservation action plan. The preservation goals provide the basis for specific actions carried out by a variety of individuals and entities. This diagram is a summary of all goals developed and prioritized by the task forces. Each goal references the page of the related action planning worksheet that outlines possible partners, responsibilities, timelines and an estimated budget for implementation. The goals and actions are not set in stone, but rather are a road map to a specific destination.

EDUCATION AND COMMUNICATION

Educate community on existing design guidelines and financial incentives. p. #

ECONOMIC DEVELOPMENT

Implement strategies to revitalize downtown. p. #

HERITAGE TOURISM

Promote historic resources from all periods. p. #
Promote historic natural resources. p. #

HISTORIC ASSETS

Develop revitalization plan for Zion Hill District. p. #
Identify Nacogdoches' range of historic assets. p. #

PUBLIC POLICY

Improve enforcement of existing codes and ordinances. p. #
Protect historic natural resources. p. #
Create a pedestrian-friendly city. p. #

Encourage appropriate development at gateways. p. #
Establish community regions. p. #
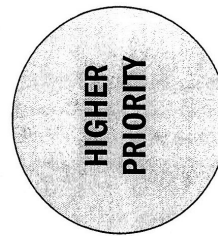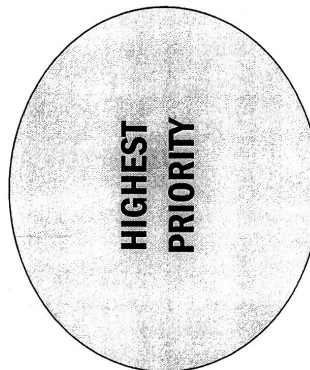
Review/revise existing ordinances to support preservation goals. p. #
Increase number of visitors through heritage tourism. p. #
Encourage downtown/loft living. p. #
Educate community about preservation and economic development. p. #
Increase local involvement in preservation and planning. p. #

HIGHEST PRIORITY

HIGHER PRIORITY

HIGH PRIORITY

APPENDIX N

Roles and Responsibilities of the Regional Coordinator and the Board

TEXAS HISTORICAL COMMISSION

TEXAS HERITAGE TRAILS PROGRAM
A Regional Tourism Initiative

EXAMPLES OF ROLES AND RESPONSIBILITIES
OF BOARD AND COORDINATOR

BOARD	COORDINATOR
1. Make final decisions relating to personnel, finance, public relations and service.	1. Carry out work authorized by policy making body.
2. Expertise in a variety of technical and leadership areas needed by program.	2. Educated and experienced in professional skills needed by program.
3. Expected to know history, purpose, program, policies and practices of program.	3. Responsible for understanding job to which he/she is assigned.
4. Prepared by general experience and interest in program work to represent the region.	4. Responsible for learning about the region, program and clientele being served.
5. Expected to know duties delegated to coordinator.	5. Make day-to-day decisions required to do work of program.
6. Available to coordinator for consultation on matters of common concern.	6. Consult with professionals in order to make wise decisions.
7. Interpret both informally the work of program in day-to-day contacts, and formally when requested.	7. Act as bridge between board and organization, and as bridge between cultures in a culturally diverse organization.
8. Insure financial support for program work.	8. Direct work of other staff members assigned to him/her, define duties, give support.
9. Evaluate work of program with assistance of coordinator.	9. Help board make good decisions based on complete information.

VITA

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                 Doctor of Philosophy in Architecture, Texas A&M University, College Station,
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