

30-meter, 50-meter, 50-foot or 100-foot tape).

- compass
- camera(s)
- black and white film
- color slide film
- official identification
- letter of introduction explaining survey
- additional lenses for camera (wide angle, telephoto, perspective correction).

Survey teams concentrating on architectural resources may also need an appropriate style manual (e.g., one developed for the survey itself, or by the State Historic Preservation Officer, or a general guide such as McAlester, McGee, or Whiffen [see Bibliography]).

Archeological survey teams will usually need at least trowels, and in some cases will require augers or posthole diggers, shovels, or such power equipment as

motorized augers or backhoes. In some cases, it will be useful to equip teams with guides to local artifact types or types of architectural elements indicative of different time periods or building functions.

Survey teams engaging in oral history or ethnographic recording will probably need tape recorders or videotape equipment.

The survey coordinator will also need to consider what sort of equipment may be appropriate for transporting the survey teams into and around their survey areas. Intensive surveys are usually done on foot, but teams must still be transported to and from their survey locations. If municipal transport is not sufficient for this purpose, the survey teams will need access to automobiles, bicycles, or some other mode of transport.

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# Review and Organization of Survey Data

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Before survey data can be integrated into the community planning process, it must be compiled in a systematic manner and reviewed for content, clarity, and accuracy. Properties identified must be evaluated against established criteria. The data must be stored in a form that makes key elements readily retrievable, and that protects the information against loss and deterioration. This section discusses what can be done

with survey data, including how an inventory—that is, a selective list of significant properties—can be derived from the data. Methods of compiling, evaluating, and storing the data are considered. This phase of the project should be undertaken with special care because it will have a direct effect on the usefulness of the inventory for planning purposes.

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## How are survey data reviewed during fieldwork?

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Organization and review of survey data should begin while fieldwork is still in progress, although naturally they will continue after fieldwork is complete. Descriptions of physical appearance and other observations made in the field should be checked against photographs and documentary evidence gathered by the researchers. Maps and other reference material may be used to verify locations of resources that are surveyed.

In order to use the review of survey data to correct mistakes and inaccuracies in field reporting, the data produced by each survey team in each area should be reviewed and organized as soon as possible after it is produced. Fieldwork should not be allowed to get too far ahead of review, organization, and analysis of data. Information gathered in the field must be integrated with documentary evidence uncovered during archival research. This responsibility may be assumed by the survey coordinator. Inconsistencies—descriptions not matching photographs, questions of ownership, conflicting dates of construction—should be carefully reviewed, and, if necessary, additional archival research or fieldwork should be done to achieve consistency.

### Treatment of Forms

Forms used in the field are usually considered rough working copies rather than final documents. Surveyors should review forms filled out in the field to make sure that observations are clear, terminology is correct, and descriptions are complete and accurate. After the preliminary forms have been reviewed by the survey coordinator or other knowledgeable persons, final forms for archival purposes should be prepared. Where an automated data processing system will be used in maintaining the survey data, the relevant information should be entered into the system from the forms at this point. If narrative descriptions are prepared from the forms, these too should be checked and edited, using original survey forms and photographs for verification.

### Organization of Other Notes

Supplementary notes taken in the field, both with respect to particular resources and with reference to the progress of the survey in general, should be compiled as the survey progresses. Since a given page of notes may include information on several different properties or areas, or touch on a number of different topics, it is often useful to photocopy notes as soon as they come in. The original can then be filed safely to guard against loss of data during analysis, while the

copy can be cut up in order to reorganize its contents, combine contents with other notes and forms, and organize files providing full data on particular properties, areas, or historic contexts.

### Organization of Photographs

As photographs are processed, they should be promptly correlated with forms and other field data. The accuracy of photo records should be checked, and relevant roll and frame numbers should be entered on the final forms. Information on systems for filing photographs may be found on pages 59-60.

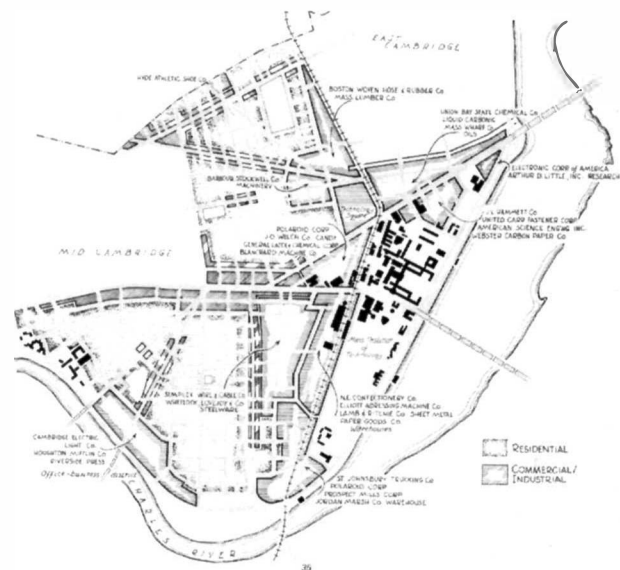
### Organization of Maps

Certain maps will usually have been prepared before fieldwork begins; for example, maps indicating the probable locations of properties relevant to different historic contexts, maps showing the predicted locations of subsurface archeological resources, and maps showing the locations of properties identified during previous surveys. As the new survey data are processed, these maps may be corrected, but it is usually wise to preserve a copy of each map originally prepared on the basis of archival research in order to compare pre-fieldwork expectations with actual results.

As data from the field are processed, properties should be located on a master map or maps. Each property mapped should be assigned a number, name, or other designator that makes it possible to relate the mark on the map to the form or forms that describe the actual property. Master maps should be consistent in size and type with those used by the State Historic Preservation Officer in the statewide comprehensive survey (usually USGS Quads), or should be of a size and scale to allow correlation with existing community planning base maps. As each step of the survey work is completed, data should be transferred to these maps. As the maps are filled in they should be reviewed to see what patterns are developing that may not be obvious on the ground; analysis of mapped data may make it possible to locate concentrations of historic resources other than those districts identified through archival work or evident in the field.

To avoid duplication of effort and to minimize confusion in future planning, it is essential that information concerning the nature and intensity of survey coverage be maintained in a clear and understandable format. It may be most effective to prepare a map or map overlays indicating which areas have been surveyed and which have not and identifying any differences in the type or intensity of survey among various areas. For example, areas that have been intensively surveyed for all types of historic resources would be differentiated from areas that have been surveyed intensively for architectural resources and only cursorily inspected for archeological resources. Such data may be recorded on coded map overlays, in block by block summaries, or in any other clear way.

Sketch maps for both individual properties and historic districts should be checked for accuracy and clarity. District sketch maps should be checked to make sure that all individual properties in the district are shown and that all outstanding features, intrusions, and boundaries are clearly marked. Street names and/or highway numbers should also be shown. Descriptions of the boundaries and inclusive street addresses should be checked against the sketch map to insure that they are consistent and that properties have not been inadvertently included or omitted. Sketch maps of archeological sites should be checked to ensure that such data as the location of surface features and subsurface exposures, the location of test pits, backhoe trenches, or auger holes, and cross-references to other notes, stratigraphic drawings, and remote sensing data are accurate and complete, and that key reference points (e.g., streets, buildings) are included to assist in relocating the site. A north arrow (magnetic or true) and scale should be added to the map, if not already present. It may be necessary to redraw district sketch maps once all the necessary checking and clarification has been done. Care should be taken in redrawing sketch maps to ensure that elements noted in the field are not lost, and to guard against creative reinterpretation of actual field conditions.



*This map, taken from the comprehensive Survey of Architectural History of Cambridge, Report 3: Cambridgeport (1971), is one of a series of maps showing the history of land use in this now urbanized area of Massachusetts. Residential areas are clearly indicated by dots while commercial and industrial areas are indicated by diagonal lines. Major industrial complexes are identified by name. Buildings that are blackened belong to the Massachusetts Institute of Technology and Harvard University. (Courtesy of the Cambridge Historical Commission)*

As archival research and fieldwork are completed, it may be useful to prepare a variety of kinds of maps to aid in evaluation and planning. Maps or multiple overlays on a master map, showing the following categories of information are often prepared:

1. **Predicted areas of sensitivity.** Areas where, based on survey work to date, it is predicted that significant historic resources may occur should be identified on maps. Such maps can help guide continuing survey efforts and provide community planners with early warning of potential conflicts between development and preservation, even when survey data are not yet complete.

2. **Areas where survey is needed.** Areas where the analysis of historic contexts and survey priorities indicate that survey is necessary, but where survey has not yet occurred, should be identified on maps, and eliminated as the survey progresses.

3. **Buildings and structures.** All buildings and structures, regardless of age, should be mapped, differentiating those that contribute to the character of the area surveyed from those that do not. (See definitions of *contributing* and *noncontributing* resources on p. 45.)

4. **Architectural style or period.** A map plotting architectural periods might be prepared by an architectural historian to show areas with particular design characteristics. This information may assist in identifying districts.

5. **Historical events.** Based on information gathered by archival researchers, and oral history or ethnography, a map may be prepared showing structures, sites, or areas associated with historic events, trends, activities, or important individuals in the history of the community. This information may also assist in identifying districts.

6. **Cultural groups.** A map or series of maps showing the locations and distribution of different social,

economic, or ethnic groups at various periods in the past may be prepared.

This map may serve to identify present-day neighborhoods having particular historic, architectural, or cultural characteristics, and areas that may have importance for historical archeology.

7. **Archeological data.** The locations of all sites, structures, building, districts, and objects of archeological importance can be mapped and coded to indicate period, type of property, condition, and other data. Based on archival research and/or fieldwork, maps may be prepared showing areas where archeological properties of different kinds are likely to occur, or where care should be taken during future construction or other development to minimize damage to buried archeological resources that cannot now be seen on the surface. It is important that archeological site location data be protected to avoid its misuse by artifact collectors who may both damage archeological sites and commit acts of trespass in their search for objects (Indian artifacts, old bottles, etc.) for sale or addition to their collections.

8. **Visual features.** Features identified by visual analysis—views and vistas, *edges*, focal points, cultural landscapes, streetscapes, visually prominent structures—may also be indicated diagrammatically on a map.

9. **Existing building uses.** Mapping the uses of all buildings within a given area often indicates the physical and developmental status of the area and may be useful for planning purposes. Standard planning color codes may be used to indicate zoning and various uses such as single-family residence, office, or retail use.

10. **Building condition.** Color-coding can also be used to show buildings in good condition, those needing minor or major repairs, and those dilapidated or structurally unsound.

## How and why are resources evaluated?

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The primary reason to evaluate properties found through the survey is to designate those which are worthy of preservation and should be considered in local planning. These properties may be listed in a historic resources inventory—a selective list of resources meeting establishing criteria of significance. By providing information on historic significance, integrity, and boundaries, survey results may provide the basis for designation of historic properties and districts under a local preservation ordinance and subsequently serve as an authoritative basis for design review and other functions of the local historic preservation commission. Furthermore, decisions concerning a wide range of local preservation activities, both

private and public, ranging from main street revitalization to tax abatement programs can be based on the evaluations made during the survey process.

A related purpose of the evaluation process is to identify properties for nomination to the National Register or those on which determinations of eligibility for the National Register should be made as part of Federal environmental review processes, and those that may be certified as eligible for Federal assistance through grants and tax credits.

The community should strongly consider using the National Register criteria given on page 5 as a

basis for evaluation. Developed by the National Park Service for evaluating potential entries to the National Register, the criteria are broadly worded to provide for the diversity of resources within rural areas, towns, and cities across the country. These criteria, used by the Federal government and the State historic preservation programs, are the national standard for evaluating historic resources. The use of historic contexts provides a mechanism for *translating* the broad National Register criteria into locally meaningful terms. For example, the National Register criteria allow any property that is *associated with the lives of persons significant in our past* to be regarded as eligible for listing, but it is the historic contexts of the area that define who such people were.

If criteria different from those of the National Register must be used, the community may wish to consider a dual evaluation system, using the National Register criteria as well as its own. The rationale for this is that it is properties included in and eligible for the National Register—not a separate local listing based on different criteria—that Federal agencies and governments receiving Federal assistance are required to consider in planning their projects. In evaluating the significance of resources, communities may find it useful to refer to the *Secretary of the Interior's Standards and Guidelines for Evaluation*.

Evaluation of historic resources should be made with reference to the historic contexts established during survey planning or during the survey itself. In essence, this involves identifying the historic context or contexts to which each property might relate and then deciding whether and how it does—or does not—fit into the context.

Evaluation decisions should be made by people who are qualified, through education, training, and experience, to apply the criteria with reference to the relevant historic contexts. Many communities establish review boards to make evaluation decisions. It is important that such a board include professionals in the disciplines of architectural history, history, archeology, architecture, and other fields appropriate to the historic contexts of the community. The board

should also include people broadly representative of the community and its cultural groups. Board members should be familiar with the range of properties included in the National Register, as most of the properties selected for the community inventory may well be eligible for National Register listing. The National Park Service's *Manual for State Historic Preservation Review Boards* (see Bibliography) is recommended reading for local review board members.

The evaluation process should ensure a balanced and adequate consideration of all resources in the survey area. Evaluation should be based solely on the historic, architectural, archeological, and cultural values perceived in the properties involved, **without consideration of the economic value of such properties or how they may be treated in planning**. In other words, properties should be evaluated purely on their merits. Decisions about what to do with properties evaluated as significant should be made separately.

The survey coordinator often presents the survey data to the evaluation group. The data is ordinarily organized to present a) the historic context involved; b) enough information on each property to assign it to a property type within the context, compare it with the characteristics expected of its type, locate it on the ground, and define its boundaries; and c) an argument as to why the property is or is not significant within the relevant historic context. Forms, photographs, maps, archival documentation, and surveyors' field notes are used in such presentations, often along with slide shows and planning base maps.

The inventory should be open, so that properties can be added as they are identified through survey work and as they come to be regarded as historic by the changing community. For this reason, review boards are often established by statute with permanent official status in local government, providing continuing oversight to the survey and evaluation process. In order to be certified for participation in the national historic preservation program under Section 101(c) of the National Historic Preservation Act, a community must establish its historic preservation commission by statute.

## What are the advantages and disadvantages of using numerical and categorical evaluation systems?

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Systems that assign numerical scores to surveyed historic resources for the purpose of establishing preservation priority categories have been developed by many communities. Summaries of several studies that use such evaluation systems are included in the appendix.

The premise behind these systems is that the relative architectural, historical, and archeological significance of resources can be evaluated on numerical scales,

permitting the resources to be placed within distinct priority categories. While it is essential that the results of the survey be incorporated into an overall community preservation plan (discussed in the introduction), numerical rating systems may not be the most effective way of determining priorities. The basic logistical problem with such systems is the difficulty in working with often complex rating formulas. Numerical systems can also give a false sense of cer-

tainty in judgement about resources: in quantifying intangibles like significance, it is questionable whether the difference between one building scoring 79 and another scoring 80 is really meaningful.

It is difficult to assess the number of points which should be given for any one aspect of significance. Although a building of *national* significance may receive more points than one of *local* significance, the locally significant building may be more critical to the character of the community. It is equally difficult to balance historical significance against architectural significance and to determine how many points each should receive. Finally, it is difficult to evaluate diverse resources within one system. For example, how does one evaluate an early industrial paper mill against a Frank Lloyd Wright house or an Indian burial mound?

Categorizing resources by total numerical score may lead to serious problems. Some cities have found that opponents of preservation projects use the classification systems to their advantage. While a community may intend to establish priorities for preservation activities by categorizing its historic resources, the system can be used to encourage the sacrifice of *lower priority* resources in situations also involving resources from the *higher priority* categories. Public officials or decisionmakers may themselves also neglect to give due consideration to buildings with less

than the highest numerical rankings. Conversely, a property that achieves a high rating may be perceived by some to be inviolate purely because of its historical value. This is inappropriate because decisions about what to do with a property, regardless of its level of significance, involve not only the historical value of the property but also community needs and interests, development priorities, and changing economic, legal, and social constraints.

Another problem with numerical systems is that they may not be sufficiently flexible. It may be difficult to move a property from one category to another if the factors used originally to categorize it change. Numerical evaluation systems generally do not provide for adjustment based on the discovery of additional resources, loss of similar resources, discovery of new data, or change in the condition of the evaluated resources.

The experience of the National Park Service suggests that the complexities inherent in historic resources evaluations and the number of other factors that must be considered in establishing preservation priorities do not lend themselves to simple numerical formulas. Case-by-case evaluation of resources may provide a more accurate assessment of the significance of resources and thus a more realistic basis for planning decisions.

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## What kinds of due process considerations may be required in evaluating properties?

In evaluating privately owned properties for listing in an inventory, it may be legally necessary and is always prudent to notify property owners and give them the opportunity to comment on the proposed listing. Such notification is required by law with respect to nominations to the National Register. Depending on local law, due process requirements for listing properties may involve public hearings and the opportunity to rebut the findings of the survey.

The State Historic Preservation Officer can assist in meeting Federal requirements for property owner notification in connection with National Register nominations. The community's legal counsel should be able to establish what due process requirements

may be imposed by State and local law. The rationale for such requirements springs from the fact that listing in the National Register and in some State and local inventories may confer economic advantages on a property owner and conversely may impose some constraints on his or her use of the property. As a result, if listing in the inventory gives no legal protection or restrictions on properties, due process procedures may not be required by law. Even where they are not required, however, it is wise to involve property owners in the evaluation process in order to maintain community support for the preservation program and avoid misunderstanding.

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## What kind of documentation should be included in the inventory files?

Documentation on each property selected for the inventory should include the final, clean form describing the property, pertinent supplementary data, relevant maps and sketches, record photographs, and an evaluation of the property's significance. In many cases, it may be appropriate to keep some of these items in different files: for example, base maps show-

ing the location of a property or relating it to other aspects of an historic context may be too large to file physically with the property form and notes, and negatives of photographs should normally be filed separately to ensure their protection from deterioration. In such a case, files should be cross-referenced so that all information pertinent to a given property or a

given historic context can be found and correlated. A microcomputer-based catalogue is useful for this purpose, as discussed below.

Evaluations of significance are sometimes entered on survey forms, and may be provisional, that is representing the survey team's judgement during fieldwork, or final based on the judgement of the review board or its equivalent. Alternatively, the community

may wish to prepare special inventory forms for those properties determined to be significant. A longer narrative form may be patterned after National Register forms. If survey forms have been adequately refined and evaluations are integrated into or kept with the other survey data, it may not be necessary for the community to spend extra time preparing special inventory forms.

## How can information be stored to permit efficient retrieval at a later date?

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As the survey data are evaluated, they must be organized for storage and further use. Decisions must be made about two things: how the data can be kept in a way that makes it most accessible and usable to those who need it, and how the physical products of the survey—forms, maps, photographs, surveyors' notes, evaluators' comments, and so forth—will be kept secure for future reference. The first issue involves decisions about data retrieval, the second about physical filing and security systems.

### Data Retrieval

Decisions about how to maintain data in a retrievable form must be based on the community's needs. Thus, as discussed in Chapter I, the community should determine how it expects or wishes the survey data to be used (i.e., what its information needs are) before devising its storage and retrieval system. Advance planning should enable the community to avoid wasting time and money on the development of a system that does not meet real informational needs.

The efficient use of survey data in community planning demands the use of an information system that makes basic data readily accessible, that allows information to be combined in different ways, and that permits the easy entry of new data. Keeping information current is a time-consuming task, but one that can be minimized with a modern data processing and retrieval system and a trained staff.

The basic information retrieval systems, as distinguished from the survey data files themselves, is often referred to as a *catalogue*. It is used, just as is a library card catalogue, to determine the location of full survey data needed for particular tasks, but it can also itself contain the most frequently used information about surveyed properties, thus eliminating the need for frequent reference to bulky manual files. The more readily available the key elements of the survey data are, the more likely they are to be used by local planners and others involved in community development.

The amount of information each catalogue entry should contain depends on how the catalogue is to be used. If the catalogue is only to be used as a guide to the location of survey files that are in good order and

are relatively easy to use, it may be little more than an index to the files, each entry including only name, location, classification, and possibly the date of the property. If the catalogue is to be used by groups in different places—planning offices, research centers, libraries—without immediate access to the survey files themselves, the catalogue will be of little use unless it contains more information. If users are likely to want to combine data in different forms for different purposes—to seek out all buildings of a particular style for a research project, for example, or to identify the locations of all historic properties of all kinds in a given area for purposes of development project planning—it will be appropriate for the catalogue to contain still more information. In these cases, it will be far easier to combine and recombine data using the catalogue only rather than to do so by digging through the full body of survey data. A typical catalogue entry in a system designated for substantial use in planning and research might include the name of the property, address, geographical data, property type, owner, short description, and a statement of significance.

The National Register maintains a computerized information system that is a useful model for communities to consider, although some of its data entries are specifically designed for the Register's own purposes and would require adaptation to meet local needs. A current description of the system and its contents can be obtained from National Park Service Regional Offices or from the National Register in Washington, DC.

What form should the catalogue take? Again, the deciding factor is how it will be used. A complicated system may become a burden to those responsible for maintaining it, but a system that does not permit easy cross-referencing and recombination of data for planning purposes, may become an expensive, useless overhead burden on the community.

A fully operational catalogue system should ideally be able to provide:

1. Rapid, easy access to information such as location, names of properties, types of ownership, uses, date, significance, etc.

2. Information services for land-use, policy, and project planning.
3. Comprehensive lists of, and information on, properties or types of properties for setting protection and enhancement priorities.
4. Information on what areas of the community have been surveyed and how comprehensive the survey is to date.
5. Clear identification of the location of further information on each property in the hard data survey files.

**The most commonly used catalogue systems are:**

1. *Computer-based systems.* These are by far the most flexible and broadly useful of catalogue systems, because of the tremendous amount of information that can be entered into the system, the ease with which information can be retrieved, and the variety of ways such information can be combined and sorted for different purposes. A great many readily available packaged programs for the maintenance and use of files are applicable to the maintenance of a survey catalogue. There should be no need to design a program specific to the community's purposes.

Inexpensive microcomputers are fully adequate for the maintenance and use of survey catalogue data in most communities. There should seldom be any need to use expensive mainframe computers, unless the community uses such a computer for other purposes and can make it available at a competitive price for the maintenance of survey data. Even where use of a mainframe computer is possible, it is wise to design the catalogue in such a way that it can be accessed through microcomputers as well, in order to ensure maximum accessibility by the greatest number of authorized users at all times.

In addition to providing easy access to information such as property location, significance, uses, and owners, a computer-based system makes it easy to eliminate inconsistent information and to correct, update, and add to existing material. Such a system has the capacity to quickly generate complex listings: all buildings located within the path of a proposed highway, all federally owned resources, properties needing restoration or rehabilitation work, buildings certified for rehabilitation tax credits. Readily available file search and graphics programs can make it possible to generate maps showing areas surveyed at different levels of intensity or with reference to different resource types, areas predicted on the basis of archival research or reconnaissance to contain specified kinds of properties, or the distribution of specified property types. File maintenance programs typically include provision for placing security codes on particular files, so that information to which the community wishes to restrict access—for example, archeological site descriptions and locations that might attract artifact collectors—can be kept secure.

As noted in Chapter I, in deciding on what kind of computer-based system to use, the community should consider its needs for consistency with two kinds of larger systems. On the one hand, consistency with other systems used in the community for other purposes is obviously desirable, both to permit sharing of hardware and software and more importantly to facilitate the use of survey data in community planning. On the other hand, consistency with systems used in the storage and retrieval of survey data in larger geographic areas should be considered. Consistency with the National Register Information System will facilitate National Register nominations and certification for tax benefits. Consistency with the system used by the State Historic Preservation Officer will make it easy to coordinate the local survey with the statewide comprehensive survey. Consistency with the systems used by Federal and State planning and land use agencies in the area (Coastal Zone Management, Bureau of Land Management, Forest Service, Corps of Engineers) will help ensure that these agencies will take the local survey data into account in their planning, and will make it possible for the local survey to tap the agencies' information resources. Consistency with the systems of academic institutions, museums, and other non-governmental entities that maintain information on historic properties in the area should also be considered. For example, if a university anthropology department maintains local archeological site files, it may be efficient to design a system that is consistent with that used by the university so that data can be readily shared for both community planning and university research purposes.

2. *Cards.* Card-based filing systems have been made virtually obsolete by the rapid growth of computer technology and the decrease in the cost of computer hardware and software. Before opting for a card-based system, with its inherent limitations, a community should carefully consider its alternatives. A community that adopts a card-based system is very likely to want to replace it with a computer-based system before very many years have passed, and the cost of transferring the data from one system to another at that time may be considerable. If a computer-based system is truly not feasible, however, cards are a reasonable alternative. A 5-by-7 or 8-by-10 inch card can be used simply as a reference to a complete property file, as with card catalogues used in libraries, or it can include such information as name, address, geographical data, building type, owner, short description, and statement of significance. The master card for each property could also include a section of map and a small photograph.

Many different card systems are available from private companies. Edge-punched cards—early precursors of computer-based catalogue systems—use punched holes along the edges of cards as a sorting device. Holes are punched according to a code that



refers to the different data entries; a needle-like device is then passed through the edges of a trayful of cards, and those with the appropriate hole codes are caught on the needle. If well planned, this system may be quite efficient for inventories of under approximately 1,000 sites.

3. *Publications.* A catalogue printed in booklet or other form can be widely disseminated but has the great disadvantage that effective updating requires republication. See Chapter V for more information on publications.

Whatever system or combination of systems is employed, the catalogue should be systematically organized, with each entry thoroughly recorded and cross-referenced to back-up hard data files, and accessible to the interested public and to appropriate user agencies and organizations. Communities seeking certification to participate in the national historic preservation program under Section 101(c) of the National Historic Preservation Act should ensure that their catalogue systems are consistent with the *Secretary of the Interior's Standards for Registration*, which require that registration of historic properties be conducted according to stated procedures, contain information that locates, describes, and justifies the significance and physical integrity of each registered property, and be accessible to the public. The *Standards* permit information on the location of historic properties to be withheld from the public, if revealing such information could cause damage to a property—for example, if revealing the locations of fragile archeological sites could lead to their destruction by artifact seekers.

### Hard Data Filing Systems

The hard data on paper and film that are the physical products of the survey must be filed in a manner that not only makes them reasonably accessible but also protects them. In contrast with the catalogue, where accessibility and flexibility of use are the key considerations, in establishing a hard data filing system the archival, curatorial need to maintain the material products of the survey in perpetuity becomes paramount.

The three basic decisions that must be made about devising a filing system are the physical form of the file, the order in which files will be kept, and the protection of the files.

1. *Physical form of the file.* Survey data may be stored in vertical files, one folder per property. In this way, forms, photographs, maps, results of historical research, and other material on a property may be kept together. Such a system of files would facilitate updating information and adding photographs and maps. Looseleaf notebooks may be used in the same way as vertical files. It may be useful to consult an archivist concerning the proper procedure for storing

loose papers. Tapes from interviews may have to be stored separately but should be clearly identified with the names of those recorded, the topic of discussion, and the date of the recording. Special considerations for photograph files are discussed later.

2. *Order.* A common method of organizing files is geographical, that is, properties listed by location (e.g., street) in a logical progression. Districts identified during the survey and analysis processes could be organized in the same way. The advantage to this kind of organization is that location does not change, as a property owner might. Also, although properties may be cross-referenced by historical theme or type of significance, it would probably be more difficult to find properties listed under themes than under locations.

3. *Protection of files.* Consideration should be given to how the files will be protected against loss, fire, theft, mutilation, and physical deterioration. It may be advisable to provide an archival backup in case of damage to or loss of the original files. Microfilm is a relatively inexpensive backup, especially microfiche jackets for records that are frequently updated.

### Repositories

It is important for survey documentation to be filed in a location that is convenient to planning officials and interested individuals alike. Ideally, this will mean the local planning department, where extensive use of the information will be made, or some other official branch of local government equipped to handle public records (town or county archives, hall of records, etc.). The local historic preservation coordinator's or commission's office, as a center for preservation information and activities, is a logical repository. If there are no public facilities equipped to handle these files, a private historic preservation organization or local historical society might be able to provide temporary storage. Since data gathered through a publicly funded survey belongs and should be available to the entire community, a private entity would probably not be appropriate as a permanent repository.

With regard to repositories for archeological information, it is imperative that the locations of archeological resources be treated as confidential with access to the records limited to qualified researchers and planners. Many State Historic Preservation Officers and State archeologists have procedures for limiting access to this information.

### Photographic Files

Photographic files should be able to accommodate three kinds of photographic material: prints, negatives, and slides. Photographic materials require special conditions for storage and handling. Because of their varying size, use, and conservation needs, they should be filed separately from paper records

and from each other. They should be stored in a location having a moderately low relative humidity and cool temperature, safe from direct sunlight and air pollutants such as dust, smoke, and chemical fumes. Temperatures from 65 to 68 degrees Fahrenheit with a relative humidity of 40 to 45% should provide both proper storage and comfortable working conditions. Photographic materials should be stored vertically in baked enamel metal filing cabinets (wooden boxes or cabinets contain harmful resins and glues). If protective envelopes or sleeves are used, they should be made of inert materials such as polyester, triacetate, polypropylene, or polyethylene (cellophane and glassine envelopes should not be used). Files should be free of paper clips, rubber bands, glues, tape, papers or cardboard, or other materials that will in time damage the photographs. White cotton gloves should be used when handling photographic materials, and materials should always be handled along the edges so that the emulsion is never touched.

Photographic prints may be stored most easily if they are mounted on acid free or alkaline buffered cardboard of a standard size; the dimensions of the board should be greater than those of the photograph to allow for handling without touching the photograph. Prints receiving considerable use may also be placed in clear plastic envelopes, sleeves, or print files made of inert materials (polyester, triacetate, etc.). For long-term stability, photographs should be archivally processed on fiber-based photographic paper (resin-coated papers should not be used); if mounted, photographs should be held in place by paper hinges attached with wheat starch paste (dry mount tissue or adhesives such as rubber cement should not be used). The mounting board or envelope should be labeled with the name of the property, identification number, location, view (e.g. SW elevation), photographer's name, and date of the photograph. Photographs may be organized by geographical location or property name or number.

Historic photographs, exhibition prints, or photographs for which no negatives are available should receive special care. They should be filed separately from paper records or other kinds of photographic materials. If regular usage for publication or study is anticipated, reference prints should be made and the originals stored under archival conditions. Because they can be replaced, reference prints do not require the archival storage condition of original materials and may be filed with other

materials, including survey forms, maps, and other documents.

Negatives should be stored in acid free or alkaline buffered envelopes made of inert material (polyester, triacetate, etc.) with the emulsion side away from any seams. Large format negatives (5-by-7, 4-by-5, etc.) should be placed in separate envelopes. Smaller negatives (35 mm), which come in rolls, should be cut into strips 5 to 6 frames in length (do not cut into individual frames; this makes storage and printing difficult). Each strip should then be stored in a separate plastic sleeve or envelope made of inert material. Clear plastic negative files are available that provide pockets for 5 or 6 strips having 5 to 6 frames each, making it possible to store an entire roll on one sheet and to locate easily a specific frame. Negatives may be classified using a simple three-part numbering system which identifies the film format, number of roll, and frame number. For example, the number 35-110-12 identifies the 12th frame of the 110th roll of 35 mm film. Protected negatives may be stored by consecutive roll and frame numbers and cross-referenced according to location, or may be filed directly by location.

Because negatives are generally original material and cannot be replaced, they should be stored separately from other materials under archival conditions. Contact prints may be made for filing with other survey records. A form attached to or filed with the contact print can easily reference the roll and frame numbers, and provide information for each negative such as property name, location, identification number, name, view, photographer, and date.

Slides should be stored separately from other materials in closed baked enamel metal compartment files. Because color materials are more susceptible to deterioration and damage due to heat, light, and humidity than other photographic materials, color slides should be stored at a lower temperature, between 50 to 60 degrees, if possible. Slides should always be handled along the cardboard mount, and placed in clear plastic sleeves made of inert material when being transported or used for study purposes. Information including property name, location, identification number, view, photographer, and date may be printed on the cardboard mount. Slides may be filed in various ways including geographical location, property name, or identification number.

# Use of Survey Data in Planning

The U.S. Supreme Court, in its decision *Penn Central Transportation Co. v. New York City*, commented that *identifying (historic) properties and areas . . . is critical to any landmark preservation effort* (438 U.S. 104, 110, 1978). The Conservation Foundation's *Handbook on Historic Preservation Law* (see Bibliography), commenting on the Court's observation, notes that *surveys are a key element in making city preservation planning and development goals complementary*. But how does this *key element* relate to other aspects of planning? This section will address questions about how survey data can actually be used.

Since each community's planning needs are unique, this discussion will necessarily be general, and some elements of it will apply to some communities better than others.

Two kinds of planning will be discussed: *preservation* planning and *community development* planning. These are not unrelated; indeed as will be stressed, they should be closely coordinated, and they often involve the same activities and strategies, but they will be discussed individually here for ease of presentation.

## What are the major components of preservation planning?

*Preservation planning*, as used in this publication, means planning for the continued identification and evaluation of historic properties and for their protection and enhancement. Ideally these efforts should be guided by a *comprehensive historic preservation plan* that integrates the various activities and gives them coherence and direction, as well as relates the community's preservation efforts to community development planning as a whole.

A comprehensive historic preservation plan typically has several elements: an *identification* element, an *evaluation* element, and a *protection* element, the last

incorporating a range of possible strategies for keeping historic properties in place, maintaining their integrity, and, in the words of the National Historic Preservation Act, letting them *exist in productive harmony and fulfill the social, economic, and other requirements of present and future generations* (16 U.S.C. 470-1(1)). A realistic preservation plan will also include provision for those instances in which historic resources *cannot* be physically preserved—when other community needs demand that they be removed, demolished, or dug up.

## How are survey data used in ongoing identification?

As the survey progresses, it is almost certain that historic contexts not recognized or fully defined at the time the survey was planned will become evident. Sometimes contexts that were initially defined very broadly are divided into multiple contexts as they are refined based on incoming survey data. For example, an initial context might be the *development of warehousing as a major city industry* and, as survey data developed, it might be found that in fact the city's history had been characterized by two major phases of warehouse development—one associated with steamship commerce, the other, in another period of

time, with railroads, and each represented by distinctive kinds of warehouses in different parts of town. Dividing the context into two would be appropriate to ensure that both kinds of warehouses and the historic and architectural significance of each were given due consideration.

Within each context, the analysis and synthesis of incoming survey data will almost always lead to the identification of property types and locational patterns not fully anticipated at the time the survey was planned, resulting in continual adjustments to the

survey design. As information gaps established as priority targets for survey during initial survey planning are filled, new gaps will become apparent. This should not be a surprise, but should be welcomed as evidence of a maturing survey effort. The incoming survey data should be used to adjust and retarget subsequent phases of archival research and fieldwork.

To take maximum advantage of the natural feedback between the survey work itself and survey planning, it is usually wise to conduct survey in phases, first conducting a broad-brush reconnaissance, then using the

results of the reconnaissance data to design subsequent phases of work. Unless some urgent development priority demands it, it is usually unwise simply to undertake a community-wide intensive survey at the outset, or to target a particular area for intensive survey while postponing giving attention to the rest of the community. Lacking the information provided by initial reconnaissance of the entire community, the intensive survey is likely to be poorly focussed, and important resources may be unnecessarily lost.

## How are survey data used in making evaluation decisions?

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Survey data obviously provide the raw material on which decisions about the significance of particular properties are made, but they are important to evaluation decisionmaking in more subtle ways as well. Since decisions regarding the evaluation of properties involves placing properties in historic contexts, the more that is known about a given context, the better will be the evaluation decisions made about particular properties. Recalling the example given above, for instance, when the question of how many and which warehouses to nominate to the National Register arises, the answer may vary considerably depending on whether a single warehouse-related context or two such contexts are recognized. In short, as the survey progresses, evaluation decisions should become steadily better and better informed. The level of information upon which an evaluation decision is made can be particularly important if the decision is likely to be controversial. Where a decision is likely to be challenged, for example by a property owner who feels that recognizing a building as historic will impede its demolition or by preservationists who feel that a property is more historic than the survey data indicate, it is essential that the decision made be based not only on information about the property itself but also on the historic context of which it is (or is not) a part.

Evaluation decisions can be made on the basis of incomplete survey data, but it is wise not to make them without *some* information on the community's historic contexts and their component property types. As a result, it may be best, unless there is some urgent reason to do otherwise, to defer decisions about the significance of particular properties until at least some initial survey data have been collected concerning the

relevant historic contexts. For example, even though a particular property owner is very anxious to have his or her building nominated to the National Register at the very outset of the survey effort, it may be in the best interests of an orderly and defensible process of evaluation to defer the nomination until at least reconnaissance-level data are available on that particular context or contexts to which the building may relate. More importantly, a decision that a given property is **not** significant should never be made without access to a reasonable body of survey data on relevant historic contexts, since such an uninformed decision may result in the property's destruction without attention to its historic values.

This is not to say that no evaluation decisions should be made until the survey effort has reached some particular level of maturity; sometimes there are good reasons to give priority to consider the significance of a particular property before much contextual information has been gathered. For example, if a particular site or structure is threatened by a development project, or if an evaluation of a building is important to a rehabilitation plan, it may be necessary to give the property's evaluation a higher priority than would normally be the case in the overall survey process. When an evaluation must be made without a firm understanding of the relevant historic contexts, however, it should be made on the basis of as much relevant data as it is possible to accumulate, and with full recognition of the fact that it may result in the destruction of a property that might later on the basis of complete survey results be found to be very significant, or in the investment of money and other resources in a property later found to lack historic value.

## How can survey data contribute to strategies for the preservation and enhancement of historic resources?

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A community historic preservation plan may include a wide range of strategies for the preservation and enhancement of historic properties. A summary of

many such approaches can be found in *Remember the Neighborhoods*, by the Advisory Council on Historic Preservation (see Bibliography). Several commonly

used strategies will be discussed below, with reference to the contribution survey data can make to them.

### General Historic Preservation Ordinances

Community-wide historic preservation ordinances are effective ways to ensure that historic properties are considered in community planning as a whole, and in the development of different areas of the community. A community seeking certification under Section 101(c) of the National Historic Preservation Act must have and enforce such an ordinance. The Conservation Foundation's *Handbook on Historic Preservation Law* (see Bibliography) gives a good outline of the key provisions of a general-purpose preservation ordinance (though with insufficient attention to the treatment of archeological sites), and provides useful advice about how to draft such ordinances.

Theoretically, a historic preservation ordinance could be established based on no information at all about a community's historic resources, but merely on the general supposition that there might be something in the community having historic significance. In fact, however, some body of information on the community's resources is usually necessary simply to generate the awareness that there is something to protect, and the more survey data that are available, and the more comprehensive such data are, the better the ordinance can be drafted to address the community's actual preservation opportunities and constraints.

Historic preservation ordinances typically provide for the existence of a review body of some kind to oversee the preservation program and specifically to make evaluation decisions. Survey data can help define the kinds of expertise that should be represented on the review body. For example, if on the basis of initial archival research or other survey work it appears that the community was the site of significant prehistoric development, the presence on the review body of an archeologist specializing in prehistory might be called for, while if it appears that the community contained many buildings representing different schools of design, periods of construction, and architectural styles, the presence of an architectural historian would be appropriate. Representation by sociologists or anthropologists might be called for if evaluation decisions were likely to involve the consideration of ethnic neighborhoods or other resources associated with particular contemporary social groups.

Ordinances also spell out the scope of authorities assumed by the review body and the preservation program it oversees. Survey data can help define what authorities are needed. If the community contains many historic buildings that may be candidates for adaptive use and rehabilitation, but which may also be subjected to insensitive renovation, the preservation program may need to have the authority to review and approve renovation activities as well as

outright demolition. If the visual qualities of certain streetscapes are likely to be important, the program may need the authority to review alterations to building exteriors. If the community is likely to contain significant subsurface archeological resources, the program may need the authority to review grading permits or other authorizations for ground disturbance.

Finally, ordinances usually set forth the procedures and standards that will be used by the preservation program in evaluation decisions and in decisions about approval or disapproval of particular kinds of activities that may affect historic properties. Survey data can help ensure that such procedures and standards are actually appropriate to the community's resources. For example, if the community's central business district contains many historic buildings suitable for rehabilitation, ordinance drafters may want to pay particular attention to the establishment of standards for rehabilitation and procedures for reviewing renovation projects. If an important historic context is agricultural development in what are now the suburbs of a city, special attention may need to be paid to standards and procedures for dealing with visual and physical intrusions on surviving farmsteads and agricultural buffers.

The relationship between the survey process and the development of an ordinance is a dynamic one. On the one hand, the ordinance will be most sensitive to the community's needs if it is based in part on some survey data. On the other hand, the survey will probably be most effective if it is backed up and structured by an ordinance. If a community has the luxury to establish its preservation plan in an orderly, step-by-step manner, it may be best to conduct at least initial survey planning, establishing basic historic contexts, and perhaps to conduct some level of reconnaissance work, before drafting an ordinance, and then to draft the ordinance with an eye toward facilitating further survey as well as fulfilling other preservation objectives. In any event, drafters of ordinances should take into account whatever survey data is available as they carry out their work.

### Historic District Ordinances

Historic district ordinances differ from general historic preservation ordinances in that they apply only within particular designated historic districts and in that they are typically much more specific in their terms. They often provide that particular kinds of changes, for example, any alteration to the exterior of a building or structure, can be undertaken only after issuance of a permit by the city historic preservation office or by a historic district commission. Drafters of historic district ordinances will need survey data of the kinds discussed above, but in addition, of course, survey data will be needed to define the historic district to

which the ordinance applies. If the district is to be nominated to the National Register, fairly complete data based on intensive survey will be needed. If it is to be designated at the local level only, less (or in some cases, more) information will be required, depending on local law and policy. To establish justifiable controls, it is necessary to know enough about the historic resources that make up the district to decide what their important characteristics are, and for this task, good survey data are needed.

### Financial Incentives

Financial incentives for the preservation, rehabilitation, and adaptive use of historic properties can take many forms, some carried out completely at the local level, some featuring a partnership with State and Federal agencies. Examples include:

- *tax incentives*, such as Federal investment tax credits and local exemptions from or reduction of property tax;
- *grants* from the State Historic Preservation Officer, the National Park Service, the Department of Housing and Urban Development, the National Endowments for the Arts and Humanities, the National Trust for Historic Preservation, and other public and private agencies;
- Federal, State, and local *subsidies* to assist key businesses and to support low-income housing, helping to stabilize deteriorating commercial areas and neighborhoods; the Department of Housing and Urban Development has published examples of such programs that are worth consideration (*e.g.*, *Leveraging your CDBG*, see Bibliography);
- *the charitable contributions of partial interest* in an historically important land area or certified historic structure that can be deducted from taxes; and
- the use of *revolving funds* and *low interest loans* to support such activities as sensitive rehabilitation and facade restoration.

Information and advice on possible financial incentives can be obtained from the State Historic Preservation Officer. Survey data are important in the administration of financial incentive programs not only to identify specific historic properties whose owners or developers might be offered such incentives, but also to give the community an early idea about what kinds of incentives might be appropriate. To return to an earlier example, the community whose central business district contains many buildings that could be rehabilitated may want to give special attention to tax incentives for rehabilitation, and perhaps to donations of facade easements, while the community whose agricultural hinterland is important may take special interest in the purchase or receipt by donation of conservation easements.

### Archeological Programs

Programs to protect and use archeological sites come in several forms. Provisions applicable to other kinds of historic properties can be adapted to archeological purposes; for example, conservation easements can be used to protect archeological sites from land disturbance, and tax credits can be offered for the contribution of funds to archeological excavation or for the contribution of the artifacts recovered from such excavations to the government or a non-profit corporation. Preservation ordinances can provide for the review of grading permits and other actions that permit subsurface disturbance, and can require that archeological salvage excavations be done when a significant site is to be disturbed.

All these provisions can be best and most sensitively put in place if some survey data are in hand. For example, development interests in a community may object strenuously to an ordinance giving a preservation program review authority over all grading permits, but may object less if the authority is restricted to particular areas where survey data indicates the likelihood of significant subsurface resources.

Because archeology is concerned with the preservation, recovery, and interpretation of information about the community's past, there are certain strategies that can be applied to archeological preservation more effectively than to the preservation of other kinds of resources. Salvage archeology—the excavation of sites that must be destroyed and the translation of the data they contain into books, archives, and exhibits—is an example of such a strategy. There is a great potential for public involvement in salvage archeology, which typically requires a large workforce and many skills and levels of experience. Some communities have *public archeology* programs that stimulate interest and provide recreational opportunities under professional supervision while supporting local museums and interpretive programs and salvaging archeological sites at low cost. Such programs not only use survey data to determine where to dig, but also can be used to carry out the archeological component of a survey program itself. An excellent example of such a program is described in the National Park Service publication *Approaches to Preserving a City's Past* (see Bibliography).

### Interpretive Programs

Programs that interpret historic properties, and the community's history, prehistory, and architecture in general, for the public can be powerful tools in preservation. They can generate public interest in and sympathy for preservation, and make the objects of preservation understandable to taxpayers, voters, and decisionmakers. Examples of interpretive programs include the development of house museums, the sponsorship of walking tours, the publication of brochures and books on the community's past, the

establishment of displays in museums, public buildings, and open spaces, and the on-site interpretation of historic buildings, structures, and sites.

Survey data are important to interpretive programs not only for the identification of properties that may be interpreted, but also for the establishment of contexts in which interpretation can be carried out. An interpretive program will be most meaningful to the public if it presents an integrated view of the community's past, based on significant history contexts developed in the course of survey work.

### Public Involvement

The more the public can be involved in a community's preservation program, the more likely the program is to succeed. Not only can survey data contribute to public support by helping the public understand what is important about the community's past, but the survey effort itself can be a powerful stimulus to public involvement. Because a survey can, and indeed must, draw on a wide range of talents, and because most survey work can be done by trained volunteers under professional supervision, a community's residents can become deeply involved in the conduct of the survey itself, and it can serve to catalyze their participation in the community's preservation program as a whole.

### Where Destruction Must Occur

Historic properties cannot always be preserved in place, even with the best of preservation plans and programs. Modern economic and social requirements

sometimes cannot be accommodated by the adaptive use of historic buildings, and in the competition for urban space, such buildings must sometimes be the losers no matter how earnestly the community may wish to preserve them. Archeological sites are even more prone to destruction, since even a rehabilitation project may involve disturbance of the ground under and around a building.

Where historic properties must give way to modern development, or to natural processes of erosion and decay, several strategies can be undertaken to avoid complete loss. In some cases historic buildings can be *relocated* to new sites with compatible surroundings where they can be preserved and rehabilitated. Often such buildings are *marketed* for relocation—offered for sale at a low price (the cost of demolition, or less) to anyone who will relocate and rehabilitate them. If demolition must occur, buildings are often *recorded* so that a body of information will remain about them. The Historic American Buildings Survey and the Historic American Engineering Record, both in the National Park Service, can provide detailed information on architectural recordation. In some cases, architectural elements are *salvaged* for reuse in new development, or for curation in a museum. Archeological sites are often subjected to *salvage excavation* or *data recovery*; this involves the conduct of archeological research aimed at extracting the useful information such sites contain before they are destroyed. Guidelines for archeological salvage research projects, and examples of such projects, can be obtained from the National Park Service.

## How can survey data be used in community development planning?

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Historic preservation can be viewed both as an opportunity for community development and as a constraint upon such development. In the past it has largely been viewed as the latter; today it is increasingly seen as the former, but in fact it properly is both.

From the standpoint of constraints, such survey data as the description of historic contexts, predictive maps, and inventories are vital to the identification of conflicts between development planning and local preservation priorities, and can facilitate determining what will need to be done to meet State and Federal environmental review requirements. From the standpoint of opportunities, survey data can be used to identify the historic contexts and their constituent elements—buildings, streetscapes, building uses, cultural activities, and other resources—on which community development can build in order to make the most of the community's unique historic qualities. Ideally, development planning should use survey data to identify opportunities for the use of the community's historic character in creating its future, to minimize conflicts between preservation and develop-

ment, and to provide for the orderly resolution of those conflicts that inevitably will occur.

The National Park Service publication *Economics of Revitalization* (see Bibliography) provides a prescription for integrating historic preservation positively into development planning. The essential steps in the process involve:

1. Identifying opportunities and constraints, including:
  - defining and characterizing the target area,
  - identifying community goals,
  - identifying assets for and constraints on development,
  - identifying the Federal, State, and local regulations that might control or influence the development, and
  - describing existing proposals or alternatives for development.

## 2. Overview analysis of:

- market dynamics,
- investment climate,
- the capabilities of the community and the developer(s) involved,
- the social and community interests and concerns that pertain to the development area, and
- the potential of the development to catalyze additional positive development.

## 3. Screening options, involving assessment of:

- economic impacts, both positive and negative,
- social impacts, both positive and negative,
- the potential of each option to catalyze further positive development, and
- the development opportunities that will be foregone if a particular development option is chosen.

Survey data are vital to carrying out many of the above steps in orderly development planning. It is obvious that survey data can and should be used to identify development assets such as historic buildings suitable for rehabilitation and adaptive use, and historic neighborhoods whose cultural cohesion provides a basis for economic growth without loss of character or displacement of residents. Survey data can also be useful in identifying community goals and social interests and concerns, especially with reference to the goals of neighborhood groups, social groups, businesses, and others who may wish to preserve and enhance the historic and cultural character of particular areas of the community. Similarly, survey data can provide a basis for measuring aspects of the social impact of a proposed development, by identifying the kinds of changes that will be welcome and those that will be distasteful to those who value the character of the areas that may be affected. Survey data can also help in the assessment of a project's catalytic potential, by identifying properties and areas with the potential for rehabilitation and reuse in the vicinity of a proposed development project.

Ideally, development planning should relate to an area's historic resources in a positive manner, viewing existing structures, views, streetscapes, social groups and activities, and cultural attributes of the area as things to be understood and built upon. Using survey data at an appropriate scale, development planning should seek to characterize the historic resources of the area and to identify the key elements that define its character—both such tangible elements as buildings, street plans, and archeological sites, and such intangible elements as social groups and patterns of activity. These should be used to help define the development plan in a way that uses the area's character rather than destroys it.

Even where survey data cannot be integrated into planning in such a positive manner, such data are still vital in identifying constraints and in establishing orderly processes for dealing with them. At a bare minimum, what a development planner needs to know about historic resources is a) where they are and b) what can feasibly be done to care for them in the development process. Survey data can, of course, provide such information. A completed survey will allow planners to identify precisely what historic resources exist in a proposed project area and, by providing a statement of each property's significance, will provide one key piece of information needed to determine how each property should be treated.

However, a survey need not be completed to provide vital information for development planning purposes. For example, based on archival research and reconnaissance level field investigation of an area where development is being planned, it should be possible to document:

- the historic contexts relevant to the area;
- the basic types of historic properties likely to be found;
- the contemporary cultural, social, and economic uses of such properties, and the way these structure the use of space;
- the general changes that are occurring in the architectural fabric and social uses of the area;
- the social groups, ethnic groups, organizations, and others having historic and cultural interests in the area;
- the historic preservation goals and priorities that currently apply to the area, and to some extent, likely future goals and priorities;
- in some cases, the mechanisms that might be used to resolve conflicts with preservation-related interests, and
- sources of additional information on the area's resources.

For example, imagine that a community wishes to undertake a program to revitalize an area consisting of an economically depressed residential neighborhood and a commercial street, and that an historic resources survey of the area has progressed only to the reconnaissance level. Based on archival research, windshield survey, interviews with local residents and organizations during survey planning, and minor archeological fieldwork, the survey data might document:

1. Three major historic contexts are thus far known to be relevant to the area. The earliest is based on use of the area in the 18th century as a cattle ranch, and is important to economic historians studying the early



development of the beef industry. The second involves commercial development stimulated by economic boom conditions in the 1880s and 1890s, and the third is the immigration of ethnic populations during the early 20th century.

2. It is unlikely that any standing structures survive to represent the cattle ranching historic context, but the archeological remains of the ranch center are likely to occur in a two-block area under existing low-density housing. Many of the area's commercial buildings date from the late 19th century boom. The neighborhood subject to effect by the project includes row houses built originally to house Irish immigrants and later adapted by an Italian immigrant group; the area remains heavily influenced by Italian customs today.

3. The cattle ranching historic context has no apparent influence on modern uses of space, and its archeological sites are not significantly influenced by contemporary activities. The commercial buildings continue in use, primarily serving the day-to-day needs of the neighborhood. The neighborhood appears to be close-knit; archival research and initial interviews indicate that related families tend to occupy adjacent or nearby houses, where they regularly interact and assist one another. Field reconnaissance suggests that this has resulted in the formation of somewhat distinctive mini-neighborhoods in which exterior painting, landscaping, and minor details of architectural ornamentation vary from one group of families to another; it is assumed that the same patterns would be observed if the interior organization of houses were examined.

4. The entire area is suffering decay as a result of its depressed economy. Owners of commercial buildings have damaged their buildings by deferring maintenance and by using inappropriate materials and techniques to cover up damage or to *modernize* the appearance of the buildings. In the residential neighborhood, it appears that some clusters of houses, representing particular groups of families, are well maintained, while other clusters are rapidly deteriorating. It is assumed that the well-maintained clusters represent groups of families that continue the tradition of cooperation and self-help, while those that are deteriorating reflect family clusters that are disintegrating.

5. A group of businesspeople has been cooperating with the survey, and its members have expressed interest in rehabilitation. A neighborhood group has expressed suspicion about the intentions of the survey team during initial interviews, but its representatives have spoken eloquently about their desire to retain the character of the neighborhood and reverse the patterns of disintegration they observe around them.

6. Current preservation goals applicable to the area include determining the integrity and significance of any archeological remains of the cattle ranching historic context, defining the significant characteristics of the area's commercial buildings as a basis for rehabilitation planning, and studying the residential neighborhood as a potential historic district. Dealing with the commercial buildings is given highest priority because of their deteriorating condition and the interest that their owners have shown in rehabilitation. Study of the neighborhood is given second priority because of the potential for using historic preservation strategies over the long run to help its residents reverse the process of decay. Addressing the archeological remains of the ranching context is given lowest priority because the remains are in no immediate danger.

7. The businesspeople do not form an organized group, but could probably be brought together to cooperate with local government and developers in a redevelopment effort. Some of the major leaders of the residential neighborhood do not speak English as their first language, so efforts should be made to ensure that project plans are described and discussed in Italian as well. An effort should be made to ensure that representatives of each family cluster are contacted to discuss project planning, preferably with the cooperation of trusted neighborhood leaders.

8. A master's thesis on file with the history department at a nearby college is the major organized source of information on the cattle ranching historic context, and describes how the location of the ranch center was established through the study of historical records. The anthropology department at the same college developed a proposal for a field school in historical archeology at the ranch center site, but failed to obtain funding; this proposal could serve as the basis for designing a testing program to determine what physical remains actually exist on the site, and perhaps for designing an archeological salvage project if the site is to be disturbed. The boom period of the late 19th century is well documented in records on file at the local courthouse and in the city library, though little work has yet been done on the study of its architectural products per se. Initial interviews have resulted in the identification of several individuals who can provide oral historical and ethnographic information on the Italian use of the residential neighborhood, but information on the initial Irish period is very sparse at present.

Based on such information, development planners and preservation authorities can work together to integrate preservation goals and priorities into the development process. Disturbance of the area likely to contain the remains of the historic ranch can be avoided if possible; if avoidance is not feasible, an archeological program can be designed to establish what remains actually exist and, if they have real value for research,

to recover pertinent data from them. Businesspeople interested in rehabilitating their buildings can be organized to work with developers and planners, and the project can be planned to the extent feasible to be compatible with their interests. Revitalization of the neighborhood can be planned to build on its social strengths and perhaps to correct the weaknesses that are leading to its deterioration, preserving its cultural character and, thereby, its particular architectural values.

Not all of these happy results may be possible. It may not be feasible to preserve so much of the area's historic and architectural fabric and still have an economically viable project. Even if in the end nothing is preserved, however, the application of survey data will not have been in vain. If nothing else, the data will provide the basis for understanding what is being lost and making informed decisions about whether to sacrifice it. It will also provide the basis for considering measures to mitigate loss of the resources, through relocation, recordation, and salvage. Finally, it will help ensure that people and groups interested in preserving and maintaining the character of the area participate in the planning process, rather than feeling that the project was imposed upon them without considering their concerns.

The major point to be remembered is that survey data can be mobilized and employed at virtually any point in the progress of a survey to provide information useful in development planning. If the survey itself is well planned, at each step in its progress survey leaders will have some idea of the historic contexts relevant to various parts of the community, and some set of goals and priorities for each context. Development planners should take these goals and priorities into account in carrying out their work, seeking to address them in carrying out their own programs.

If the survey is at a very early stage when it intersects with development planning, development planners will be able to draw only on general, preliminary survey data. They will probably have to be prepared for planning delays while historic contexts are developed, initial surveys are conducted, and preservation goals and priorities are established, before they can try to blend such goals and priorities with those of development. As the survey matures, development planners will have to worry less and less about the identification of contexts and properties and the establishment of goals and priorities; these will have been established, and the challenge for development planners will be to seek ways to accommodate them.

Survey data are most useful to development planning if they are systematically integrated into the community's general planning. This is done by establish-

ing a preservation element in the community's general plan, and by adjusting the general plan as a whole to ensure that the guidance it provides to decisionmakers is not inconsistent with preservation interests. *Zoning* is of particular importance to preservation. Whatever incentives to preservation a community may adopt, if its zoning is designed to encourage high-density development of areas containing historic resources, such development is likely to occur. It is desirable to incorporate historic preservation concerns into a community's zoning system, so that historic areas and areas around key historic sites and structures are zoned only for development that is compatible with the character of the historic resources. If this is not feasible, then the general plan may overlay onto the zoning plan a requirement for review and approval of development schemes by an historic preservation or architectultural design review body.

Ideally, the historic preservation component of a community's general plan should be *comprehensive*—that is, it should deal with all kinds of resources important to understanding, appreciating, and experiencing the community's past. This requires that the community have at least the results of some archival research, and usually some reconnaissance-level survey data, in hand when it begins work on the plan. Enough should be known to have at least a general idea about such matters as:

- an initial formulation of historic contexts that may have characterized the community's history;
- whether the community is likely to have significant prehistoric or historic archeological resources, and in what areas these may be concentrated;
- the general types of buildings and structures that make up the community's built environment, and what their major important characteristics are;
- the general locations and boundaries of likely historic districts;
- the general nature and characteristics of any cultural landscapes; and
- the social and cultural characteristics of the community and its neighborhoods that may influence preservation decisions.

At the same time, it should be remembered that a survey need not be complete to serve as the basis for development of a preservation plan. Plans can be developed at relatively early stages in the conduct of a survey, as long as they provide for ongoing survey and evaluation, and for adjustments to the plan itself as new survey data are acquired.

# Publications

One of the major ways in which an historic resources survey benefits historic preservation in a community is that it builds public awareness of the community's built environment and historic heritage. As the survey progresses toward completion, increasing amounts of information will be available to help achieve this objective. Publications using this information are an effi-

cient means of communicating preservation concerns and recommendations to a variety of people in the public and private sectors—community planners, local decisionmakers, residents, and educators. This section discusses ways of making survey data available to a broad audience through a range of publications and promotional material.

## What should be published once a survey is completed?

The decision of what and how much to publish depends on the community's own goals and priorities. Among the factors to consider are the purpose to be achieved, the potential audience of the publication, and the amount of money available for publication. Communities should be aware that publication may be the single most expensive part of the survey process. A publication is evidence of local commitment to ongoing preservation activity, however, and may be instrumental in generating enthusiasm and obtaining support and funding for carrying out the overall community preservation plan and other preservation projects.

A single publication that attempts to convey the full range of detailed survey information may be overwhelming. The general public may be interested in some but not all of the information that is important to the professional historian, archeologist, architect, or planner or to local government officials. All may be interested in the historical, architectural, and archeological resources of their community, but extensive explanation of methodology, standards and criteria, and development and alternatives for further action may be of interest only to limited, particular audiences.

To make effective use of survey data, a community may want to schedule several publications reflecting the varied interests of local citizens and organizations. General interest publications can provide information on the architectural, archeological, historical, cultural, and environmental character of the community. Pub-

lications that can make citizens aware of their cultural heritage and provide the impetus for local preservation activity include summaries of local history and prehistory, guidebooks, historic and archeological monographs, photographic essays, illustrated selections from the inventory, and leaflets on individual properties or areas. Other ideas include the production of walking tour maps and posters summarizing survey results or illustrating the community's heritage.

Publications containing more technical information may be used to communicate the goals and methods developed in the preservation plan to local administrators and decisionmakers. These may summarize an entire inventory, present the results of archival research, reconnaissance, or intensive survey as overlay maps showing areas where particular kinds of historic properties may be expected, present the survey process and methodology, and provide detailed guidelines for preservation, restoration, or rehabilitation.

The following types of information should be published as the results of surveys, though not necessarily all in the same volume:

- The name of the group or agency conducting the survey and identification of personnel involved.
- A brief introduction to preservation and explanation of the reasons for undertaking the survey.
- A brief description of the historic contexts, goals, and priorities that structured the survey.

- An explanation of criteria used in evaluating properties.
- An explanation of survey methodology.
- A general description of the area covered by the survey.
- A discussion of the historic property types representative of each historic context.
- Particularly in the case of a reconnaissance level survey, a discussion of the likely locational distributions of different historic property types.
- Examples of, or a complete list of, the properties identified. A list of some or all properties in the inventory. If a large number of structures and sites are included in the inventory, description of all the properties may prove overwhelming to the general reader.
- Illustrations of significant resources; maps, photographs, line drawings.
- A discussion of the visual and physical interrelationship among environmental features, large and small, manmade and natural. Discussion of the visual effect of new buildings juxtaposed with older ones; pivotal structures with less important neighbors; the relationship of buildings to open spaces. Discussion of natural features such as rivers, bluffs, and hills which define an area's character; also other elements such as vistas and views, paths, focal points, *edges* and land-

marks, signs, graphics, landscaping, pavement, lighting, and street furniture. Discussion of pertinent social and cultural characteristics of historic districts and other properties.

- Outline of long and short term goals (as defined in the preservation plan).
- Recommendations for community action based on the survey, and discussion of techniques and strategies for accomplishing these objectives: legal and financial tools, sources of funding, architectural and planning options.
- Information explaining how the survey may result in or affect local designations, and how the local historic preservation commission and review process, if any, function.
- Glossary and bibliography.
- Additional planning data, such as current building use, social factors, and zoning.
- State, Federal, and local preservation activity, related groups, and programs.
- Storage and repository systems; explanation of where and how to find information on properties surveyed.

## What are some considerations in production and distribution of survey publication?

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The primary considerations in production and distribution are the format and quality of the publications desired, the intended means of distribution, and the amount of funding needed. Funding a publication usually involves resourcefulness, imagination, and persistence. Although a community should expect to bear most, if not at all, of the cost of publishing, Federal and State funding sources can sometimes be helpful; the State Historic Preservation Officer should be consulted for advice. Locally, businesses and chambers of commerce may be persuaded to underwrite the cost of such publications; also, groups whose members were involved as volunteers in the survey process may wish to contribute, as may other civic groups and clubs. Realtors and organizations of realtors may contribute to publication, particularly where they are active in the sale of real estate in historic districts. Editors and designers may also be persuaded to donate their time to production of the publication. An alternative means of paying for publishing costs is to obtain the services of a local university or environmental press willing to undertake such a publication. Bank loans may provide another means of funding publications; though rare, the technique has been used successfully by several organizations.

In creating a publication, it is important to consider format and tone. Well-designed publications will communicate the urgency and challenge of preservation efforts, educate residents and local officials, and stimulate greater visual awareness; unwieldy, verbose, or visually unattractive publications can negate the impact of the most interesting and valuable body of information. In tone, format, and content, a publication should be designed to interest as well as inform those to whom it is directed. A well-designed publication need not be expensive: imaginative use of line drawings, type copy, and paper color will enhance format at relatively little cost.

Obtaining the services of a designer, and possibly an editor, may result in a more professional-quality publication. Ideally, editors working on the project should have done similar work (with local historical or environmental groups, for example), and have interest or experience in preservation. Designers should be familiar with paper stock, typefaces, and page design, and be able to deal effectively with photographs, drawings, maps, and other graphic material.

A printer is usually selected on the basis of bids, and the press selected is generally the one that offers the

best quality at the lowest cost. Usually a publication schedule is not worked out until the project is well underway, at a point when the project manager can estimate the number of pages, amount of graphic material, kind of paper, type of cover, and number of copies needed.

Distribution and promotion considerations apply primarily to general interest publications. For these publications, alternative methods of distribution need to be considered: whether a publication is to be distributed free of charge (i.e., to every house in a particular area, at a lecture, tour or other event, or at a particular location), or sold. If sold, will it be sold by a particular organization or commercially, and at cost or for profit?

### **What are some alternatives to traditional publication?**

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It should be stressed that there is seldom a need to publish all the data resulting from a survey; what is important is to make it available to those who need it for planning and related purposes. The basic survey data should be maintained in flexible, open-ended files with appropriate catalogue systems, as discussed in Chapter III. Publications should present summary data, data needed to back up plans and recommendations, and material of direct public interest.

In the storage and presentation of primary survey data themselves, micropublication may be useful and economical. The most common form of micropublica-

tion is microfiche, where each 4-by-6 inch plastic fiche contains the images of up to 100 pages of text and pictures. Commercial microfilming companies can generally produce multiple copies at a much lower per-page cost than printing companies. Such newer technologies as videodisc recording should also be explored; videodisc recording is relatively inexpensive and can handle a greater range of material than any other form of data storage and presentation. It also can be integrated with computer systems and used in the analysis of data as well as in its storage and presentation.

Press releases and advertisements are useful in promoting a publication. Sending review copies to the State Historic Preservation Officer and local newspapers, journals, and radio and television stations, and publicity copies to municipal libraries, archives, and other public information centers, may encourage review and display of the publication. Thought may also be given to visual or graphic promotion of the publication; posters may be placed in post offices, grocery stores, libraries, and schools, or copies of the publication may be displayed in store windows.

# Appendix I:

## Archeological Surveys

As discussed in the preceding chapters, efforts to identify archeological sites and other properties containing important information about the past are normal parts of comprehensive historic resources surveys. Some special discussion of archeology is necessary, however, because archeological surveys require special methods and, more significantly, because they involve certain ways of looking at one's surroundings—and thinking about them—that may be relatively unfamiliar.

### What is Archeology?

Archeology is a systematic, scientific attempt to reconstruct activities and social groups that have occurred or existed in the past, and to see how these have changed through time. The perspective of archeology is essentially that of history—that if we can account for the past, we can better understand the present and the future. Archeology, however, is strongly influenced by the social sciences, particularly anthropology. As a result, archeology's attempts to account for the past tend to be comparative and scientific: archeologists try to ask definite questions about the past, pose hypothetical answers, and test the validity of these answers by examining comparative data, often from many sites and areas.

Many archeological questions are of purely local or short-term interest. For example, archeology may be used to obtain information necessary for the accurate restoration of a building, to check the validity of a reported historic event, or to reconstruct the culture-history of a particular area. The questions asked in such studies, while they may be important in understanding the community's history, serve no large historical or social-scientific purpose, except to provide bodies of information that may eventually be combined with other data in large-scale anthropological or historical research. An increasingly large segment of modern archeological research is devoted to a search for answers to questions of major anthropological significance; for example, archeologists seek to understand the effects of environmental change and population pressure, the reasons for war, the bases for various forms of political organization, and the effects of change from one economic system to another. It is important to realize that these big questions often require many little answers from many little and big sites. Like any other science, archeology is less involved with spectacular discoveries than with testing modest hypotheses about rather humble phenomena. The accumulated results of such tests provide the basis for large scale research. Thus, no one should be surprised at the fact that archeologists often are more interested in small, simple,

ordinary, and seemingly redundant properties than in big, impressive monuments.

On the other hand, not everything that an archeologist might possibly study is worth studying. Some research questions that might be studied in a community may be trivial, and others may have already been effectively answered through other research, or be better studied using other resources, making it redundant to invest time and trouble in seeking to study them using the community's particular archeological resources. Since archeology can be expensive, communities should be careful in designing the archeological components of their surveys. The historic contexts to which archeological data may be relevant should be carefully defined, and decisions should be made about the research questions that are truly significant enough to pursue, before beginning fieldwork. The *Secretary of the Interior's Standards and Guidelines for Archeological Documentation and Treatment of Archeological Resources*, a publication of the Advisory Council on Historic Preservation (see Bibliography), provide guidance in how archeological resources may productively be approached.

Things that are of archeological importance may be very subtle, hard to see and record. Usually it is not artifacts themselves that are important but the locations of artifacts relative to one another. Deetz, Fagan, McHargue and Roberts, and Brace (see Bibliography) give good basic introductions to archeological field methods.

Many, perhaps most, archeologists in the United States specialize in *prehistoric* archeology, which in this country means the study of the archeological remains of American Indian societies as they existed before substantial contact with Europeans. The National Historic Preservation Act treats prehistory as a part of history for purposes of national policy, and it is treated as such in this publication—in other words, it is assumed that a comprehensive historic preservation program should be concerned with properties created during *prehistoric* time periods as well as with those created since literate observers arrived on the scene and *history* began in a technical sense.

At the same time, it is important not to consider archeology as only prehistory, and not to think that archeological data exist only under the ground. Archeologists are concerned not only with prehistory but also with even the most recent past. One group of archeologists, for example, has studied industrial water power systems from the 19th and 20th centuries in Troy, New York, and Paterson, New Jersey, while

another group has concentrated on the very recent past by studying the garbage of modern Tucson, Arizona, to seek understanding of changing economic conditions and how people cope with them (Rathje 1977). Many archeologists specialize in *historic archeology*—that is, the archeology of sites and structures dating from time periods since significant contact between American Indians and Europeans, and some specialize in *industrial archeology*—the study of sites and structures reflecting changing industrial processes and practices.

The kinds of archeological expertise needed by a particular community in its survey effort should become apparent during the initial definition of historic contexts. If it appears that the community may have been the scene of substantial prehistoric American Indian activity, specialists in prehistory should be consulted. If early industrial developments may be important, a specialist in industrial archeology should be sought out. If the processes of growth and development in the community since the time of contact between American Indians and Europeans may have left evidence in the ground or in buildings or structures that could be profitably studied by archeologists, a specialist in historical archeology should be contacted. The State Historic Preservation Officer and the National Park Service Regional Offices can be of assistance in defining the kinds of assistance needed, and such organizations as the Society for Historical Archeology, the Society for Industrial Archeology, and the Society of Professional Archeologists (see p. 19) may be helpful.

### The Archeology of Buildings and Structures

To an archeologist, a building or structure is a complex artifact, created and used by people for activities that reflect their social, cultural, and economic needs and interests. The construction and organization of the building or structure, its modification through time, and the evidence of activities that occurred in it may all be important. For example, the way a house is constructed may reveal things about the builder's perceptions of how space should be organized. Modifications of the floor plan during the life of the house may reveal how occupants at different times wished to organize their life-space in response to changes in social conditions, population size, economic status, technology (e.g., the introduction of electricity), and so on. The things left in and around the house by its past occupants—furniture, papers, wallpaper, graffiti—may reveal facets of their daily lives, interests, preferences, and beliefs. Not only may the things themselves contain such information but their organization within the house may indicate things about the occupants' view of themselves and their world. The ways in which we organize and fill our living spaces can reveal a great deal about how we view ourselves and wish to be viewed by others. In industrial structures, such things as scars on the

floors left by belt-drive, marks left by the mounting of machinery, and patterns of grease or other stains reflecting drippage from pieces of equipment may provide evidence of vanished machinery and abandoned industrial techniques.

### The Archeology of Sites

A site is less obvious than a building because it does not protrude above the ground. It may, of course, contain elements (including buildings and structures) that do protrude above the ground. It is important to remember that most historic structures and buildings are surrounded and underlain by historic archeological sites—the debris remaining from the decay or demolition of outbuildings, deposition of trash, and so on. These sites are often of value not only for general archeological research but for developing a detailed understanding of the buildings or structures that stand on them. Other sites, of course, are not associated with buildings or structures now standing. Their buildings or structures may have disappeared or been reduced to subsurface remnants (e.g., prehistoric village sites, many early historic structures), or they may never have been associated with buildings or structures (e.g., campsites, trails, battlefields, hunting stations).



Immediately under a modern elevated expressway, archeologists excavate the remains of the 19th century Henley Distillery in Boston, Massachusetts. (Linda Gifford, Public Archeology Laboratory, Brown University, and Massachusetts Department of Public Works)

Sites are often very hard to recognize, especially for untrained persons. Prehistoric sites are sometimes the most difficult to notice, because they do not contain familiar manufactured items. A prehistoric campsite, for example, may have nothing on the surface of the ground but a few flakes of stone resulting from the manufacture of spear-points, and a few cracked rocks from cooking fires. On the other hand, sites representing more recent historic periods may be hard to recognize precisely *because* the debris they contain is so familiar; such a site may be represented on the surface only by a scatter of bottle fragments or pieces of porcelain or brick, indistinguishable by the untrained eye from modern trash.

Some sites may be entirely buried making it important to understand the geology and recent depositional and construction history of the area being surveyed in order to predict where such buried sites might occur. Historical data may indicate that a particular area experienced recurrent flooding in the past that may have buried archeological sites, including the remains of early structures, under silt, or that an area had been subjected to purposeful landfill. Archeologists in port cities like New York and San Francisco have found whole ship hulls preserved under such landfill. On the other hand, historical data on an area's construction history may reveal that the construction of buildings with deep basements has penetrated the levels at which archeological sites might be expected to be buried, leaving little likelihood that such sites remain undisturbed.

### The Archeology of Districts

Definition of an archeological district implies not only that sites, buildings, structures, or objects of archeological value are present but that there is some plausible connection or relationship among them. Archeologists often define as a district the area that was probably used by a social group in its daily activities. For example, a watershed containing a prehistoric village site and a number of campsites may be regarded as a district on the basis of archeological and/or ethnographic evidence that the whole area was used for hunting, gathering plant foods, or shifting agriculture, with the village and the campsites representing different types of activities engaged in by the same population. An area that was a recognizable ethnic neighborhood in the past—for example, a *Chinatown* or the location of a free Black community after the Civil War—may be defined as a district, as may an area of definable commercial or industrial activity such as a port area or a commercial street.

### The Archeology of Objects

Archeologists are unaccustomed to thinking of the subjects of their inquiry as objects; because the subjects are almost always stationary, they are thought of as sites instead. Objects, some still movable such as

totem poles, may have archeological value in much the same way as do structures and buildings, in that they may contain evidence of the way life and activities were organized in the past. Prehistoric objects such as isolated rocks covered with petroglyphs (pecked or inscribed rock-art) or pictographs (painted art rockart) are of archeological value as indicators of religious or artistic activities and often as markers of trails, hunting areas, social boundaries, water holes, dangerous areas, and other aspects of the environment that must be studied to understand prehistoric relationships between social groups and the natural world. Such objects may also retain cultural and religious importance to groups of American Indian extraction in the community.

### Selecting an Archeologist

Because of the subtlety, fragility, and complexity of the archeological record, it is vital that an archeological survey be professionally supervised and that surveyors be fully trained. In selecting an archeologist to supervise a survey it is important to recognize that not all professional archeologists are equal in their training or interests. For example, an archeologist who has specialized in studies of prehistory may be at a loss when confronted with the archeology of historic buildings, structures, or relatively recent sites. As noted above, the State Historic Preservation Officer, regional offices of the National Park Service, and relevant professional associations may be of aid in matching the community's needs with available archeological expertise. The community may also find it helpful to seek the advice of other communities that have obtained archeological services; the State Historic Preservation Officer and the National Alliance of Historic Preservation Commissions (see p. 19) should be able to identify such communities and provide information on contact people.

During the selection process, the supervisory archeologist should be made thoroughly familiar with the purposes of the survey and the historic contexts identified during survey planning to which archeological research may contribute.

Guidelines for the actual conduct of archeological surveys are included in Chapter II, and references to useful supplementary guidance are provided in the bibliography. The State Historic Preservation Officer should be consulted for guidelines specific to the State. Some States have State Archeologists, separate from the office of the State Historic Preservation Officer, who also should be contacted.



## Appendix II: Federal Legislation Affecting Historic Preservation

A large number of Federal laws affect historic preservation in various ways—by authorizing Federal support for preservation programs, by establishing such programs and defining their functions, by establishing procedures relevant to different kinds of preservation activities, and by creating particular opportunities for the preservation of different kinds of resources. This appendix briefly outlines the major pertinent legislation in existence as of 1985, with particular attention

to the statutes most directly pertinent to local historic preservation programs.

Since Federal law is constantly changing, communities interested in current information on applicable statutes should check with their State Historic Preservation Officer rather than relying on the following information to be comprehensive.

### Statutes directly pertinent to local preservation programs

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#### National Historic Preservation Act of 1966, as amended (Public Law 89-665) 16 U.S.C. 470-470w

This Act is the centerpiece of the national historic preservation program. As amended in 1980, it authorizes the Secretary of the Interior to expand and maintain the National Register of Historic Places, and establishes procedures for doing so; provides for gubernatorial appointment of State Historic Preservation Officers and specifies their duties; specifies how local governments are to be certified for participation in the program; authorizes grants-in-aid by the Secretary of the Interior to States and local governments for preservation purposes; sets forth responsibilities for Federal agencies in historic preservation; establishes the Advisory Council on Historic Preservation and specifies its responsibilities; and directs the Secretary of the Interior and the Advisory Council to conduct various studies and provide various types of guidance and regulations. Section 106 of the Act requires Federal agencies to consider the effects of their activities on historic properties, and to give the Advisory Council an opportunity to comment on such activities. Importantly for local communities, as amended in 1980, the Act also provides for the *certification* of local historic preservation programs for special participation in the activities authorized by the Act.

The full text of the Act with all amendments, in a convenient brochure form, can be obtained free of charge from the Advisory Council. Pertinent regulations implementing various portions of the Act include 36 CFR Part 60, dealing with National Register nominations and determinations of eligibility, 36 CFR Part 61, providing procedures for approved State and local government historic preservation programs, and 36 CFR Part 800, providing procedures for compliance with Section 106.

#### Federal Tax Law

Federal tax law supports historic preservation in two major ways. First, investment tax credits are provided for the substantial rehabilitation of historic commercial, industrial, and rental residential buildings, provided that both the historic significance of the building and the professional quality of the rehabilitation have been certified by the Secretary of the In-



*The Railroad Exchange Building (The Santa Fe Building), Chicago, Illinois, has undergone a successful rehabilitation that is consistent with the Secretary of the Interior's Standards for Rehabilitation. The owners were able to take advantage of the tax incentives provided by the Economic Recovery Tax Act of 1981. (Courtesy of Santa Fe Railway)*

terior. Second, the law permits income and estate tax deductions for the charitable donation of interest in historic properties, including certified historic structures and land areas (e.g., archeological and other historic sites).

The availability of investment tax credits for historic rehabilitation has been a major factor in engendering financial support for many local historic preservation programs, and has been important in defining survey priorities in many cases. Recent tax legislation supporting historic preservation has included the Tax Treatment Extension Act of 1980, Economic Recovery Tax Act of 1981, Tax Equity and Fiscal Responsibility Act of 1982, and Tax Reform Act of 1984. Changes to the tax laws occur frequently, and current information should be obtained from the State Historic Preservation Officer or the National Park Service when considering how Federal tax law may affect a particular program at a particular time.

**National Environmental Policy Act of 1969 (Public Law 91-190) 42 U.S.C. 4321 et seq. (1970)**

This legislation obligates Federal agencies to consider the environmental costs of their projects as part of the Federal planning process. It provides for the preparation and review of environmental assessments and impact statements during the planning of projects.

The Council on Environmental Quality promulgates regulations for implementation of this act; these are found at 40 CFR Part 1500 and subsequent sections of the Code of Federal Regulations.

**Housing and Community Development Act of 1974, as amended (Public Law 93-333 as amended) 42 U.S.C. 5300 et seq.**

Like the tax laws, the housing and community development laws change frequently, and since 1974, many provisions have been included that affect historic preservation. In 1974, the existing law was changed to combine a number of categorical grant

programs into a single program under which the Department of Housing and Urban Development (HUD) provides Community Development Block Grants (CDBG) to local governments, which have broad discretion in their use. CDBG funds can be used to support historic preservation activities, as well as activities that may damage historic properties. The 1974 act also authorized HUD support for programs of urban homesteading, which can provide the basis for rehabilitation of historic residential buildings. Subsequent amendments created such special grant programs as the Urban Development Action Grant (UDAG) and Housing Development Action Grant (HoDAG) programs.

Among the unusual features of the Housing and Community Development Act, as amended, are the fact that CDBG funds can be used as though they were non-Federal funds to match historic preservation grants from the Department of the Interior, and the fact that, for purposes of the CDBG, UDAG, and HoDAG programs, the local government that receives the grants, not the Department of Housing and Urban Development, is responsible for compliance with the National Environmental Policy Act and Section 106 of the National Historic Preservation Act. Special provisions dealing with historic preservation were included in amendments dealing with the UDAG and HoDAG programs, and have resulted in special regulations published by the Advisory Council on Historic Preservation at 36 CFR Part 801 (dealing with UDAG) and by HUD at 24 CFR Part 850 (HoDAG).

Participation in a local government's housing and community development program, including the provision of planning assistance in its compliance with the National Environmental Policy Act and Section 106 of the National Historic Preservation Act, is an important activity for many local preservation programs, which provides a context for the application of survey data to local planning.

## Statutes that may provide special opportunities for local preservation programs

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**"Surplus Real Property Act," 1972 Amendment to the Federal Property and Administration Services Act of 1949 (Public Law 92-362) 40 U.S.C. 484(K)(3)**

This act authorizes the General Services Administration to convey approved surplus Federal property to any State agency or municipality free of charge, provided that the property is used as a historic monument for the benefit of the public. To qualify for this provision, the structure must be included or eligible for inclusion in the National Register. This act is also applicable to revenue-producing properties if the income in excess of rehabilitation or maintenance costs is used for public historic preservation, park, or

recreation purposes and the proposed income-producing use of the structure is compatible with historic monument purposes, as approved by the Secretary of the Interior. The act includes recapture provisions under which the property would revert to the Federal government should it be used for purposes incompatible with the objective of preserving historic monuments.

**Public Buildings Cooperative Use Act of 1976 (Public Law 94-541) 90 STAT. 2505, 40 U.S.C. 175**

This act makes it national policy to acquire structures of historic or architectural significance for Federal office buildings, to encourage the public use of such

buildings by accommodating commercial, cultural, educational, and recreational uses of them both during and outside regular Federal working hours, and to provide the handicapped access to them.

**AMTRAK Improvement Act of 1974 (Public Law 93-496) as amended by the Rail Transportation Improvement Act of 1976 (Public Law 94-555) 45 U.S.C. 501**

These acts authorize the Department of Transportation and the National Endowment for the Arts to develop National Register listed railroad stations for use as inter-modal transportation centers, or civic or cultural centers, while preserving their historic integrity.

**Emergency Home Purchase Assistance Act of 1974 (Public Law 93-449) 12 U.S.C. 1723e**

This act authorizes Federal insurance for loans to finance the restoration or rehabilitation of residential structures listed in or eligible for the National Register.

**The Department of Transportation Act of 1966 (Public Law 89-670) 23 U.S.C. 138**

Among other things, this act directs the Secretary of Transportation not to approve any program or project that requires the use of land from a historic site of national, State, or local significance as determined by Federal, State, or local officials having jurisdiction thereof unless 1) there is no feasible and prudent alternative to the use of such land, and 2) such program includes all possible planning to minimize harm to such historic property. This means that the Federal

Highway Administration, the Federal Aviation Administration, the Urban Mass Transportation Administration, and the U.S. Coast Guard must give special consideration to the potential effect of their projects on historic resources whether or not the historic resource affected is in or determined to be eligible for the National Register.

**Archeological and Historic Preservation Act of 1974 (Public Law 93-291) 16 U.S.C. 469a-c**

This act provides for the recovery of archeological data that would otherwise be lost as the result of Federal construction or other federally licensed or assisted activities. It authorizes Federal agencies to recover such data when their activities will lead to its loss, and authorizes the Secretary of the Interior to conduct such recovery operations on behalf of other agencies and where such agencies do not do so themselves.

**Archeological Resources Protection Act of 1979 (Public Law 96-95) 16 U.S.C. 470aa-11**

This act prohibits the unauthorized disturbance of archeological resources on Federal and Indian lands, prescribes criminal penalties for such disturbance, and authorizes the establishment of regulations setting forth procedures for obtaining permits. Significantly for local preservation programs, it also prohibits interstate traffic in antiquities obtained illegally from any lands, public or private, providing a basis for prosecution in the Federal courts of parties who excavate archeological material in contravention of local statutes or trespass laws and move such material across State lines.

## **Federal authorities of secondary interest to local preservation programs**

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**Antiquities Act of 1906 (Public Law 59-209) 16 U.S.C. 431-33 (1970)**

This act authorizes the President to designate National Monuments and provides for the protection of historic and prehistoric ruins and objects of antiquity located on Federal lands.

**Historic Sites Act of 1935 (Public Law 74-292) 16 U.S.C. 461-67 (1970)**

This act gives the Secretary of the Interior the power to make historic surveys and to document, evaluate, acquire, and preserve archeological and historic sites across the country.

**Executive Order 11593, Protection and Enhancement of the Cultural Environment, 16 U.S.C. 470 (Supp. 1, 1971)**

This order directs Federal agencies to take leadership in preserving, restoring, and maintaining the historic

and cultural environment of the Nation. Federal agencies must survey, inventory, and nominate all historic resources under their jurisdiction or control (to the extent that the agency substantially exercises the attributes of ownership) to the National Register. Until these processes are completed, agency heads must exercise caution to assure that potential qualified Federal property is not inadvertently transferred, sold, demolished, or substantially altered. Many of the provisions of this order were incorporated into the National Historic Preservation Act by amendments in 1980.

## Appendix III: Legal and Financial Tools Used to Preserve and Enhance Historic Resources

As discussed in Chapter IV, a community's preservation efforts will be best served if it adopts a comprehensive historic preservation plan. Such a plan serves to guide both the community's preservation efforts per se—its survey, its program of evaluation and inventory, its programs to restore and rehabilitate historic properties and to provide for their study, archaeological salvage, and adaptive use, and its programs to encourage rehabilitation and reuse by the private sector—as well as its efforts to ensure that preservation concerns are addressed in development and land-use planning. The purpose of this appendix is to list and briefly discuss the legal and financial tools that can be incorporated into a preservation plan. It should be recognized that this list is by no means exhaustive, and that new and creative uses of financial and legal tools are being developed constantly.

### Legal Tools

A wide variety of legal approaches to preservation can be tailored to meet the needs and goals of a particular community; however, any local ordinance must recognize State constitutional restrictions, common law requirements, and existing legislation dealing with preservation and related areas. The existence of State enabling legislation for historic preservation can provide a legal framework in which local governments can base their preservation programs, commissions, and zoning ordinances. A thorough investigation of State and local laws, with the assistance of legal experts, is essential in determining which legal mechanisms are best suited to fulfilling local preservation needs.

#### 1. Community Historic Preservation Ordinances

Community historic preservation ordinances cover an entire city, county, or other political subdivision. They are often called *landmarks commission ordinances* because one of their major features is the establishment of a board of review, often called a landmarks commission, to oversee the community's preservation program and make judgements about the significance of resources. This terminology may be a little misleading, however, since it implies a concern only with *landmarks* rather than with the general historic, architectural, and cultural fabric of the community. Increasingly, more general terms like *historic preservation commission* are being used to describe the bodies that oversee local preservation programs.

Historic preservation commissions are generally responsible for designating significant individual resources or districts in accordance with criteria established by the ordinances under whose authority they operate. Such ordinances also often give them some measure of authority to control the alteration or demolition of designated properties, and sometimes to review the quality of new design in the vicinity of such properties, or within historic districts. Commissions sometimes are provided with staff which they oversee in carrying out the community's overall preservation program; in other cases, commissions are advisory to planning departments or other agencies of local government whose personnel carry out the day-to-day work of the program. The degree of authority granted to such commissions varies widely; in some cases, properties may not be designated as historic without the permission of their owners; in other cases, designation depends solely on the judgement of the commission. Some ordinances place great power in the hands of the commission to control alteration or demolition of designated resources, while others place none, and still others require that the views of the commission be taken into account in decisionmaking, but not necessarily heeded.

Local governments seeking certification to participate in the national historic preservation program under Section 101(c) of the National Historic Preservation Act must establish historic preservation commissions by ordinance, and give them responsibilities and authorities mirroring and coordinating with those of the State Historic Preservation Officer with respect to survey, nomination of properties to the National Register, preservation planning, grants administration, consultation with Federal, State, and local agencies to help them avoid damaging historic properties, and provision of education and information to the public (36 CFR Part 61.5[c][2]).

Guidelines for ordinance development can be found in *A Handbook on Historic Preservation Law* (see Bibliography), which also contains a model ordinance and sample ordinances, and can be obtained from the National Trust for Historic Preservation.

#### 2. Historic District Ordinances

Historic district ordinances protect specific designated districts—commercial, industrial, rural, or residential areas—within a community. Such ordinances generally define specific boundaries, limit development or otherwise protect the district, and establish a review board or commission to oversee compliance with the

protective clauses. As is the case with community historic preservation commissions, the degree of authority granted to historic district commissions varies widely; they may act simply as advisory boards, reviewing and making recommendations on applications for building permits for proposed alterations, or the legislation may enable them to stay, grant, or deny demolition, alteration, and new construction. Generally, the ordinance also establishes procedures for appealing decisions of the historic district commission.

The discussion of ordinance creation in *A Handbook on Historic Preservation Law* will be useful for those considering creation of historic district ordinances, and sample district ordinances are available from the National Trust for Historic Preservation.

### 3. Zoning

It is particularly important that a community's historic preservation plan is coordinated with its zoning ordinance. If permissible under local and State law, it is advantageous to create an historic preservation classification within the local zoning ordinance. Alternatively, an ordinance could provide for the overlay of preservation review, with reference to architectural design or modification of existing structures, on the existing zoning of historic districts. The important thing to strive for is to minimize conflict between preservation and existing zoning. However urgently a community's historic preservation plan



*The National Park Service has acquired scenic easements to protect the unique rural character of the Old Natchez Trace, Attala County, Mississippi, and to restrict undesirable commercial development. (Courtesy of National Park Service)*

seeks to promote retention and rehabilitation of historic structures, if the underlying zoning permits conflicting uses that have the potential for higher economic return, in the long run preservation will lose out. Conversely, if preservation planning and zoning are coordinated, they can work together to promote the beneficial use of historic resources.

### 4. Easements

Easements are acquired interests in property owned by another. Since an easement is less than a total or *fee* interest in property, it may be a cheaper means of controlling use than outright purchase. Acquisition of an easement which precludes a property owner from making nonconforming alterations to the facade of his or her historic house, for example, is a common and often effective preservation tool. Preservation or conservation easements are of three general types.

a. *Open Space, Conservation, or Scenic Easements*—Open space, conservation, or scenic easements are a well recognized general form of land use control which has been used for many years in the United States to conserve undeveloped land areas. An example of the use of this type of easement is the National Park Service program to acquire scenic easements to restrict development and maintain the picturesque qualities of lands along the Blue Ridge and Natchez Trace Parkways. This type of easement has also been used to control the development of lands surrounding historic properties and to keep archeological sites safe from development of the lands in which they exist.

b. *Exterior or Facade Easements*—Exterior or facade easements restrict the development, use, or alteration of the exterior portions of a building or structure. Such easements are particularly useful where the architectural or visual quality of the exteriors of buildings is a major concern, for example, in historic districts where the ambiance of streetscapes is important.

c. *Interior Easements*—Interior easements can be written to prevent alteration of interiors of buildings or structures. They can apply to an entire building interior or to particular elements, for example, providing that the detailing in a particular room not be altered without permission, or prohibiting the removal of a staircase.

Potentially, easements have several advantages over other types of less-than-fee controls:

- They may be *assignable to other parties*—transferred from the original purchaser to another.
- They may *run with the land*—be binding on subsequent purchasers of the property affected.

- They may be acquired through gift or purchase. Donors of easements, and those who sell them for less than their appraised value, may be able to deduct the value of their donations from Federal and State income and estate taxes. In addition, the sale or donation of an easement may substantially reduce the fair market value of a property, thus allowing possible decreases in local property taxes and other Federal, State, and local taxes.

Implementing an easement program is not a simple operation. The legal instruments that convey easements must be carefully drawn up, and easements require conscientious policing by their holders to insure that the property owners are complying with them. The following preliminary steps are important:

- Investigation of relevant Federal and State laws and passage of enabling legislation, where necessary.
- Meticulous drafting of the legal instrument creating the easement, accompanied by adequate documentation describing the exact qualities or conditions of the property to be preserved.
- Careful identification of appropriate organizations to receive, hold, and police easements. Such organizations may be agencies of local government—for example, local preservation commissions or parks departments—or private organizations such as historical or archeological societies. Decisions about easement recipients should be explored with legal counsel, because in many jurisdictions, the protection afforded a property will depend on who holds the easement.

Legal counsel is vital in the development and administration of an easement program, because of the need for the documents conveying each easement to be sound and appropriate under Federal, State, and local law. The validity of the entire easement program will depend on its relationship to the existing framework of State property laws.

Despite its advantages, an easement program may not necessarily be the most effective tool for preservation nor the most financially expedient in the long run. Although purchase of an easement is often cheaper than acquiring the entire fee, in some cases, the value of the development rights of a property, for example, may constitute the major portion of a property's fair market value, so that the acquisition of an easement restricting these rights would be almost as expensive as purchasing the property itself and would require policing.

## 5. Covenants and Reverter Clauses

Covenants are contractual agreements between private parties that run with the land, thereby restricting uses that may be made of the property. *Reverter* clauses in deeds stipulate that unless certain conditions are followed, ownership of the property involved will return to the conveyor or to a designated third party.

Both may be used to maintain the historic integrity of a property. When properly drafted, they may also bind subsequent owners to abide by the conditions contained in them.

These legal tools may be useful in *purchase and resale* or *leaseback* arrangements where properties have been acquired and will be later disposed of subject to the conditions of covenants. They may be useful in situations where property has been acquired through eminent domain and will be later disposed of subject to the condition of a covenant.

An advantage in using covenants is that specific provisions for penalties or other remedies may be included in them to come into effect if the terms of the agreement are broken.

Reverter clauses lack this flexibility, providing only for reversion of title to the conveyor or the conveyor's designee in event of a breach of the conditions agreed to. Their use could be an inappropriate means of attempting to enforce compliance with preservation goals where reversion of ownership would be a financial burden to the original seller, for example.

It should be noted that unless covenants or reverter clauses are very carefully drafted and contain the precise legal elements appropriate in the jurisdiction in which they are to apply, they may not *run with the land*, i.e., be binding on subsequent purchasers. In addition, they may be difficult to enforce over a long period of time, particularly if conditions present at the time of the agreement have changed.

## 6. Transfer of Development Rights

By permitting a property owner to sell the air rights over his or her property to another, a community can create the basis for compensating an owner who is not permitted to develop a parcel to what would ordinarily be its maximum potential. A local ordinance permitting transfer of development rights can make it possible, for example, for the local government or a preservation organization to exchange the right to develop a nonhistoric parcel for the air rights over an historic building, where otherwise a high-rise building could be constructed if the historic structure is demolished. Appraising the value of air rights when a sale or exchange is proposed may be complicated, but providing the opportunity for such transfers in the design of local ordinances can make a useful tool available for preservation in many circumstances.

## 7. Tax Advantages

Federal tax law at present encourages preservation and rehabilitation of historic properties by allowing corporate and individual taxpayers to deduct the value of the donation of conservation easements from their income taxes and by providing investment tax credits (ITCs) to taxpayers who carry out certified

rehabilitation projects on income-producing certified historic buildings. Many communities have found that the Federal tax laws provide a powerful tool for local preservation, both to encourage rehabilitation in particular parts of the community and to help build partnerships with developers and property owners who might otherwise be hostile to, or at least unresponsive to, preservation concerns.

Because of the fluid nature of Federal tax law, communities should be sure to have the most up-to-date available information on Federal tax incentives before relying heavily on them to help build a local program. The State Historic Preservation Officer and the regional offices of the National Park Service can provide current information.

It should also be recognized that over-reliance on Federal tax incentives can lead to some distortion in a local preservation program's priorities. The fact that Federal ITCs are available only for the rehabilitation of income-producing property has caused some communities to concentrate their attention on commercial areas and on historic contexts relevant to commercial buildings at the expense of other aspects of the community and its heritage. Care should be taken to avoid ignoring other important preservation problems and opportunities in the face of enthusiasm over the tax advantages of rehabilitating income-producing properties.

State and local tax laws have traditionally worked to discourage the preservation and rehabilitation of historic and cultural properties. This is rapidly changing in many parts of the Nation, but in formulating preservation plans, communities should carefully study the local and State tax codes to identify potentially useful amendments. Listed below are tax incentives which can work to encourage preservation:

- Tax credits or deductions on State income or property taxes for rehabilitation and maintenance of historic properties or for donations of easements for preservation purposes.
- Tax credits or deductions on local property taxes.
- Abatement or partial abatement of property taxes, i.e., partial or complete exemptions on qualified properties.
- Alternate methods of valuation, i.e., assessment of property value on the basis of existing use or other than fair market value.

Alternate valuation of historic and cultural properties can help to alleviate the development pressures on historic properties and other *undeveloped* areas caused by their assessment at fair market value. Where a property has substantial development potential, its fair market value is often much greater than the value of the property at its existing use. If a basis other than fair market value can be established for

valuation, the pressure created by taxation to convert the property to its *highest and best use* can be alleviated.

Effective use of alternate methods of valuation requires accurate means of assessing the value of historic resources. These means must be developed carefully to insure fairness and objectivity.

Tax incentives for preservation need not always be applied on a community-wide basis, or in perpetuity. For example, it may be appropriate to target a particular area containing a concentration of historic buildings in need of rehabilitation, and reduce the assessed valuation of or provide tax credits to rehabilitated buildings in the area for a specific period of time. The time period established and the amount of the reduction or credit should be sufficient to stimulate significant investment in the area; at the same time, care must be taken to ensure that the incentive program is fair and does not work to the detriment of other parts of the community.

Development of State and local programs for tax credits, deductions, or abatement should include consideration of the following factors:

- Criteria for the recognition of properties eligible for tax credits, deductions, or abatement, such as National Register listing or inclusion in the community inventory.
- Definitions of activities for which credit or deductions would be allowed (kinds of rehabilitation, maintenance, etc.).
- Amount of credit or deduction allowed per property, per activity, or per period of time.
- Length of time for amortization of allowable expenses.
- Relationship between State and local tax benefit programs, and between these programs and the Federal program.

## 8. State and Local Environmental Laws

Many States have adopted laws designed to ensure that both the natural and cultural environments are considered in government decisionmaking; these can provide an important basis for the integration of historic preservation into local planning. Such laws are usually modelled on the National Environmental Policy Act (NEPA) and are referred to as State Environmental Policy Acts or SEPAs in the legal literature. SEPAs typically require the preparation of an environmental impact report or statement whenever a State or local government agency proposes an action that might affect the environment—for example, approval of a subdivision, issuance of a major grading permit, provision of financial assistance to a development, or undertaking capital construction. The environmental impact document involves identifying



those aspects of the environment that may be affected, projecting the effects, and analyzing alternatives. It is then up to the government decision-maker—the State agency, the city council, the planning board—to use the environmental document in deciding whether to proceed with the action and if so, whether to adopt conditions on the action to mitigate its effects on the environment.

Virtually every SEPA includes historic properties in its definition of the environment that it seeks to protect, so SEPAs can provide a powerful tool for use by local governments and preservation organizations to ensure that preservation is considered in planning. What is often a problem in making SEPAs work for preservation is ensuring that historic properties and preservation issues are actually identified in the environmental impact document. Here, of course, the availability of survey data can be very important. On the other hand, if a preservation agency or organization has a good working relationship with the local decision-makers who require and review environmental documents under a SEPA, it can work to ensure that studies undertaken to prepare the environmental documents do identify historic properties and do so in a manner that contributes to the survey data base. Once accurate information on historic properties and preservation issues has been presented in an environmental document, the next problem is to encourage the relevant decisionmakers to consider preservation alternatives in a positive light. Such consideration will be most likely if the community has a comprehensive historic preservation plan in place, providing access to some or all of the preservation tools discussed in this appendix.

Where a SEPA exists, community preservation agencies and organizations will find it useful to become familiar with its terms and how they are interpreted by local and State decisionmakers. It should then be possible to incorporate the use of the review process prescribed by the SEPA into the community's historic preservation plan. Local ordinances can also be developed to build on the provisions of the SEPA. If no SEPA exists, the community might consider adopting a similar law itself. The *Handbook on Historic Preservation Law* (see Bibliography) provides a useful discussion of SEPAs and their uses, with references to the rapidly growing literature on the topic that will be helpful to those designing or using such laws.

## 9. Social Impact Ordinances

In order to minimize conflict between development and other community interests, and to maximize citizen participation in decisionmaking, some communities have adopted ordinances providing for analysis of the social impacts of proposed actions, and for organized participation by affected social groups in decisions about development and land use. Often these ordinances provide for negotiation between af-

ected groups and development interests or government agencies, or for mediation of disputes. The City of Honolulu, for example, adopted an ordinance in 1981 that required the preparation of social impact analyses in advance of development projects, in consultation with affected neighborhood groups and other interests, and the conduct of meetings with all concerned parties to resolve conflicts (see Bibliography). Social impact analysis and negotiation to resolve environmental disputes are being used increasingly at State and Federal government levels as well, both in the United States and in other nations (see Baldwin, Kent, *Social Impact Assessment*, Susskind and Weinstein, and Talbot in Bibliography).

Because neighborhood concerns about development and land use changes often focus on perceived injury to neighborhood character, cultural values, and property value, they often are closely related to, or incorporate, historic preservation interests. A community's preservation agency or organization can benefit from exploring ways to ensure that preservation interests and alternatives are fully considered in social impact analysis and the negotiation of solutions to conflicts between development and neighborhood concerns.

## 10. Regulating Consultant Quality

Environmental documents prepared under SEPAs, under the National Historic Preservation Act, and with reference to the National Historic Preservation Act are usually done by or with the aid of professional consultants. A community can help ensure that preservation issues will be properly considered in its own planning and in that carried out by State and local agencies if it finds ways to regulate the quality of the consultants who prepare such documents.

At a minimum, consultants who prepare the historic preservation elements of environmental documents should be required to meet the professional qualification standards in the *Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation*, and should have a demonstrated record of doing good historic preservation work of the type for which a consultant is needed. For archeologists, a community may wish to consider requiring certification by the Society of Professional Archeologists (SOPA). SOPA reviews the qualifications of archeologists and certifies them in various specialties, also requiring them to abide by a code of ethics and professional standards equivalent to, but more detailed than, the relevant parts of the *Secretary of the Interior's Standard and Guidelines*.

Agencies and organizations interested in regulating the quality of consultants should discuss options carefully with legal counsel. There are strong legal strictures on requiring consultants to be members of particular organizations, but in most jurisdictions it is legal to



require that an individual's professional qualifications be certified by an organization of peers. Alternatively, formal licensing by the local government might be considered.

## Financial Tools

### 1. Revolving Funds

Revolving funds are designed to provide a preservation organization with the financial capacity to buy, sell, and maintain property without large sources of long-term financing. They have proven to be effective preservation techniques in a wide range of situations. As the name implies, funds in a revolving fund *revolve*; they are invested in a property, recovered—ideally at a profit, and invested in another. Organizations with preservation revolving funds can respond quickly to emergencies by purchasing endangered sites or buildings directly rather than looking for a sympathetic buyer or trying to raise funds for special purchase. By buying endangered properties, the organization buys time. Buildings and structures may be rehabilitated, easements may be placed on them, and they may be resold or leased to parties who will maintain them. Alternatively, properties can be transferred and rehabilitated by the new owner according to agreements accompanying the sale. Archeological sites may be sold with covenants restricting excavation or permitting only certain kinds of land use, or might be subjected to a program of research excavation and then sold without restrictions once their important data have been extracted. When the properties are sold, the money returns to the revolving fund and can be used again to save other properties.

Use of revolving fund techniques places the community or preservation organization in the real estate market. As the organization begins to buy and sell property, local business people begin to take note, and if the program is successful they can develop respect for preservation as a new economic force in the community. Properties bought and sold gain in value as they are rehabilitated, and the rehabilitation itself generates other economic activity. When several properties in an area have been bought and rehabilitated, the area is likely to become more attractive to private investors. Bank loans may be more easily obtained, and other property owners in the area may begin to rehabilitate their property. The net value is increased property values and an increased tax base for the community—proof that historic preservation can be good business.

The problems involved in establishing and operating a revolving fund are to obtain the money to make the initial purchases, to turn these around quickly enough to generate momentum rather than allowing the fund to *stall* with its first few projects, and to operate the fund in a businesslike manner. Some communities use Community Development Block Grants to establish

revolving funds, while others have obtained initial funding through community-based fundraising efforts, local appropriations, grants from private foundations, and bequests. Revolving funds may also be established on a statewide basis. The advantage of State revolving funds is that they have a broader base of support.

For additional information on revolving funds see *Revolving Funds for Historic Preservation*, by Arthur Ziegler, Leopold Adler, and Walter Kidney (see Bibliography).

### 2. Grants

Community Development Block Grants and certain Federal categorical grants available through the U.S. Department of Housing and Urban Development are popular sources of funding for preservation activities. Block grants have few limitations that apply to their use, and can be applied to survey, operation of a general historic preservation program, establishment of revolving funds, direct rehabilitation projects, and a wide variety of other preservation functions. Categorical grants are typically more limited in their application.

The State Historic Preservation Officer may be a source of grant funds from the Historic Preservation Fund managed by the National Park Service. The National Historic Preservation Act provides for the pass-through of Historic Preservation Fund money to local governments whose preservation programs have been certified by the State Historic Preservation Officer and the Secretary of the Interior; these funds can then be used at the local government's discretion for historic preservation purposes, within guidelines established by the National Park Service. The basic procedures to be followed by certified local governments are published in the Code of Federal Regulations at 36 CFR Part 61. The State Historic Preservation Officer can also provide matching grants from the Historic Preservation Fund for particular preservation activities, including those carried out by local governments that have not been certified in accordance with 36 CFR Part 61, and often administers grant programs established by the State as well.

State Arts and Humanities Councils and folklife programs are possible sources of funding for particular preservation-related projects, and may be able to offer advice about other sources. Other State funding opportunities are likely to be available from time to time, often in connection with economic development programs; it is wise to maintain contact with State legislators to keep track of potentially useful legislation.

Grants may also be available from such Federal agencies as the National Endowment for the Arts, the National Endowment for the Humanities, and various

agencies of the Departments of Housing and Urban Development, Agriculture, Commerce, and Transportation, for particular project and program activities. The availability of grants for particular purposes changes from year to year as Congress approves new programs and allows others to expire or remain in existence without appropriations. The State Historic Preservation Officer should be consulted for current information.

Private sources of grant funds can also be important. The National Trust for Historic Preservation maintains a variety of grant programs, and should be contacted directly to determine what is currently available. A wide range of private foundations offer support for activities related to preservation, ranging from research to restoration, and some local philanthropic organizations specialize in supporting worthwhile projects in particular communities. The local library or university grants office is a good place to consult directories of foundations and other potential private sources of grant support.

### **3. Contracts**

Some local preservation programs contract with Federal, State, and local agencies, private developers, and regulated industries to carry out the surveys, evaluations, and other studies that may be required of them under the National Historic Preservation Act, the National Environmental Policy Act, or relevant SEPA's. This has several advantages; it ensures that the work done on such studies is consistent with the standards and policies of the local preservation program, builds up the survey data base, can usually be done efficiently, and helps support the local program by covering overhead costs. The practice can lead to real or perceived conflicts of interest if the local program is also involved in review of the undertakings on which it does studies. Care should be taken, and the advice of legal counsel sought, in establishing any such contracting operation.

### **4. Syndication**

Syndication is an increasingly popular way of financing rehabilitation projects; it involves bringing together investors and preservation interests into legally constituted syndicates for the purpose of carrying out a project or projects from which all will theoretically benefit. Several large private firms now specialize in syndication; the State Historic Preserva-

tion Office may have information on such specialists, and may be able to advise about the applicability of syndication to a particular project.

### **5. Development Bonuses**

A community can encourage rehabilitation of historic buildings or preservation of historic open space by providing development bonuses. For example, a corporation that agrees to rehabilitate certain historic buildings as part of a development in an historic district might be given an increase density allowance for another part of the development. Such arrangements typically involve zoning variances and are one good reason for close coordination between historic preservation planning and zoning.

### **6. Land Cost Subsidies**

A community can provide a strong incentive to rehabilitation by purchasing historic properties and then selling them to developers at a reduced price. Particularly in large cities with a high level of economic activity, land prices are often among the biggest expense items faced by a developer, and may be a major factor in making rehabilitation less cost-effective than demolition and construction of a larger, taller building with greater marketable floor space. By reducing the cost of the land through a partial subsidy, the community can reduce, or even reverse, the differential between rehabilitation and new construction.

### **7. Reduction in Interest Rates**

Another way to encourage the private rehabilitation of historic buildings is to reduce the interest rates on construction loans or mortgages. Some local governments use Community Development Block Grants or other grant funds to provide developers with low-interest loans, while others use their revenue bond powers to raise the necessary capital.

The use of such techniques as syndication, reduction in interest rates, and land cost subsidies requires a high level of cooperation among preservationists, local government, funding sources, and the development community. An effective community historic preservation plan should be developed in consultation with such interests so that these and other innovative approaches to financing historic preservation activities can be fully explored.

# Appendix IV: Bibliography

Communities may wish to consult the following publications for further information on the identification, evaluation, and protection of historic resources. These publications are a sampling of the information currently available and are not meant to comprise an exhaustive list. For an encyclopedic treatment of available sources on virtually every aspect of historic preservation, see the National Trust for Historic Preservation's *All About Old Buildings: the Whole Preservation Catalogue*. Washington, DC: The Preservation Press, 1985.

In the discussion below, publications are listed under six headings:

1. Survey and Planning Methodology
2. Examples of Preservation Plans
3. Preservation Tools and Strategies
4. Legal Reference Material
5. Examples of Survey Publications
6. General References

## 1. Survey and Planning Methodology

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### Essential Readings

**National Park Service publications.** The following publication is available from the National Park Service. For information contact the Regional Director in your National Park Service Regional Office, or write: Associate Director, Cultural Resources, and Keeper, National Register of Historic Places, National Park Service, P.O. Box 37217, Washington, DC 20013-7127.

*Secretary of the Interior's Standards and Guidelines for Preservation Planning, Identification, Evaluation, and Registration.* Federal Register, Thursday, September 29, 1983, pp. 44716-28 (48 FR 44716-28). Available with other standards and guidelines as the *Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation*.

**State Historic Preservation Officer publications.** The following documents, either in published form or as drafts or compilations of documents, should be available from the State Historic Preservation Officer of the State applicable to a community planning survey. The titles given below are generic.

Comprehensive Statewide Historic Preservation Plan.

Guidelines and standards applicable to the Comprehensive Statewide Historic Properties Survey.

**Advisory Council publications.** The following publication is available free of charge from the Advisory Council on Historic Preservation, 1100 Pennsylvania Avenue, NW, Washington, DC, 20004.

*Identification of Historic Properties: Decisionmaking Guide for Managers.* "Working With Section 106" series. Washington, DC: Advisory Council on Historic Preservation and U.S. Department of the Interior, September 1988.

### Specialized Readings

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#### National Park Service publications

Eighmy, Jeffrey L. *Archeomagnetism: A Handbook for the Archeologist*. Springfield, VA: National Technical Information Service, 1977. NTIS Publication No. PB 81-175515.

King, Thomas F. *The Archeological Survey: Methods and Uses*. Washington, DC: U.S. Government Printing Office, 1978. Stock No. 024-016-00091.

Lyons, Thomas R., and Thomas E. Avery. *Remote Sensing: A Handbook for Archeologists and Cultural Resource Managers*. Springfield, VA: National Technical Information Service, 1977. NTIS Publication No. PB 88-201694.

Melnick, Robert Z., Daniel Spohn, and Emma Jane Saxe. *Cultural Landscapes: Rural Historic Districts in the National Park System*. Springfield, VA: National Technical Information Service, 1977. NTIS Publication No. PB 85-106037 (Note: This publication deals not only with the National Park Service, but also provides comprehensive guidelines for identifying and evaluating rural historic districts).

Morris, Stephen A. "Zoning and Historic Preservation." Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, Local Preservation Series, 1989.

Salwen, Bert, and Geoffrey Gyrisco. *Archeology of Black American Culture: An Annotated Bibliography*. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Archeology Services, n.d.

Talmage, Valerie, and Olga Chesler. *The Importance of Small, Surface, and Disturbed Sites as Resources of Significant Archeological Data*. Springfield, VA: National Technical Information Service, 1977. NTIS Publication No. PB 270930/AS.

*Cultural Resources in Massachusetts: A Model for Management.* Washington, DC: U.S. Department of the Interior, Interagency Resources Division, Preservation Planning Series, August 1979.

*Historic Preservation Certifications Pursuant to the Tax Reform Act of 1976, The Revenue Act of 1978, The Tax Treatment Extension Act of 1980, and The Economic Recovery Tax Act of 1981.* Codified as 36 CFR Part 67.

*National Register of Historic Places: Criteria for Statewide Historic Surveys and Plans.* 36 CFR Part 60.

National Register of Historic Places Bulletins—periodically issued practical guides to aspects of the nomination process. U.S. Department of the Interior, National Park Service, Interagency Resources Division, National Register of Historic Places, P.O. Box 37127, Washington, DC 20013-7127.

*National Register Bulletin 4: Contribution of Moved Buildings to Historic Districts.*

*National Register Bulletin 5: Tax Treatments for Moved Buildings.*

*National Register Bulletin 7: Definition of Boundaries for Historic Units of the National Park System.*

*National Register Bulletin 8: Use of Nomination Documents in the Part I Certification Process.*

*National Register Bulletin 12: Definition of National Register Boundaries for Archeological Properties.*

*National Register Bulletin 13: How to Apply National Register Criteria to Post Offices.*

*National Register Bulletin 15: How to Apply the National Register Criteria for Evaluation.*

*National Register Bulletin 16: Guidelines for Completing National Register of Historic Places Forms. 16A: How to Complete the National Register Registration Form and 16B: How to Complete the National Register Multiple Property Documentation Form.*

*National Register Bulletin 17: Certification of State and Local Statutes and Historic Districts.*

*National Register Bulletin 18: How to Evaluate and Nominate Designed Historic Landscapes.*

*National Register Bulletin 19: Policies and Procedures for Processing National Register Nominations.*

*National Register Bulletin 20: Nominating Historic Vessels and Shipwrecks to the National Register of Historic Places.*

*National Register Bulletin 21: How to Establish Boundaries for National Register Properties.*

*National Register Bulletin 22: Guidelines for Evaluating and Nominating Properties That Have Achieved Significance Within the Last Fifty Years.*

*National Register Bulletin 23: How to Improve the Quality of Photos for National Register Nominations.*

*National Register Bulletin 24: Guidelines for Local Surveys: A Basis for Preservation Planning.*

*National Register Bulletin 26: Certified Local Governments in the National Historic Preservation Program.*

*National Register Bulletin 28: Using the UTM Grid System to Record Historic Sites.*

*National Register Bulletin 29: Guidelines for Restricting Information about Historic and Prehistoric Sites.*

*National Register Bulletin 30: Guidelines for Evaluating and Documenting Rural Landscapes.*

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## 2. Examples of Preservation Plans

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Since preservation plans are not always published, it is often not easy for those outside the community or State to which they apply to review them. Copies of some State Historic Preservation Plans are available from the National Park Service by inquiring of the Regional Director serving your area. To determine the availability of preservation plans discussed below, it is suggested that the relevant State Historic Preservation Officer be contacted. State Historic Preservation Officer addresses can be found in Appendix V.

Since preservation plans often have multiple authors or compilers, or do not list authors as such, the following plans are listed in alphabetical order by title.

*An Archaeological Preservation Plan for Charleston, South Carolina*, by Martha Zierden and Jeanne A. Calhoun. Charleston, SC: Charleston Museum Archaeological Contributions No. 8, 1984.

Based on extensive archival research and study of the results of archeological excavations carried out in advance of construction projects in various parts of the

city, this study identifies the general locations in which different kinds of historic archeological resources (remains of fortifications, antebellum planters' homes, commercial establishments, piers, slave and free black residences, etc.) are likely to be found underground, and indicates them on maps. It goes on to outline a series of research questions to guide archaeological research in the city. Recommendations for linking archeological studies with planning are relatively weak, but the volume is a good example of the mobilization of archival and archeological data to indicate where development planning should exercise caution to avoid damaging archeological resources.

*Austin Historic Preservation Plan.* Charles Hall Page and Associates, Inc. San Francisco: Charles Hall Page and Associates, 1981.

This plan, prepared on the basis of relatively little survey data, provides a basis for further survey and inventory work. The plan focuses solely on architecture, without discussion of archeological resources. It provides an overview of the city's history, and goes on to discuss such preservation tools as the use of building codes, tax incentives, and zoning. It proposes the establishment of a city-wide inventory program, and offers implementation recommendations. Appendices are provided on local architectural styles, standards for granting certificates of appropriateness, and rehabilitation guidelines.

*The Cache River Archeological Project: An Experiment in Contract Archeology.* Michael B. Schiffer and John H. House, assemblers. Fayetteville, AR: Arkansas Archeological Survey Research Series No. 8, 1975.

A classic study involving the use of archival research and controlled sample field surveys to determine the probable distribution and nature of archeological sites over a large (approximately 2,000 square mile) rural area, this plan was stimulated by proposed flood control construction projects of the U.S. Army Corps of Engineers. Similar techniques could be applied to the study of archeology of a rural county or other substantial land area. The project was not an intensive archeological survey; instead it focused specifically on prehistoric archeology, guided by an explicit research design. Several aspects of the Cache River Project are discussed in Schiffer's and Gummerman's *Conservation Archeology*.

*College Hill Demonstration Study.* Providence, RI: City Planning Commission in cooperation with the Providence Preservation Society and the Department of Housing and Urban Development, 1967.

One of the earliest comprehensive plans for renewal of a historic area based on a survey, this study has served as the model for many subsequent surveys. It includes an excellent section on the area's historic architecture and on the city's development. Careful analysis of the

physical, social, and economic characteristics of the area provides the basis for general and detailed proposals. Its numerical evaluation system has also been a model for others; the scope and timetable of overall renewal programs are developed and detailed. The design proposals seem outdated, but do not mitigate the historical importance of this study.

*Cultural Resources in Massachusetts: A Model for Management.* Massachusetts Historical Commission. Washington, DC: U.S. Department of the Interior, 1979.

The first comprehensive State Historic Preservation Plan developed along the lines advocated by the National Park Service in its Resource Protection Planning Process (RP3), this is still among the most available example of such a plan. It provides a description of methodology and orientation, an overview of the State's history leading to the establishment of historic contexts (study units), an evaluation of the levels of existing knowledge concerning different classes of resources, and patterns of their destruction, leading to the identification of needs for policy changes and the establishment of preservation priorities.

*Cultural Resources Management Plan for Killens Pond State Park,* by Cara L. Wise. Dover, DE: Delaware Division of Parks and Recreation, 1984.

This brief publication is a good example of a simple plan for the preservation of historic (in this case, all archeological) resources in a lightly developed recreation area of modest size. The plan is based on an intensive survey of the park, which is reported in the publication. The plan outlines priorities for preservation in place and prescribes a series of decision-making steps to be followed in the event a project is planned that might disturb the archeological site. It goes on to set forth a modest interpretive plan, including preparation of a flyer and additions to a nature trail.

*Green Springs, Louisa County, Virginia: A Land Use Study.* Meade Palmer. Warrenton, VA: 1973.

This study presents a land use plan for a rural historic area which includes a brief section on the community's historical development, landscape character, and its visual and architectural character. The study focuses primarily on a physical survey of the land (geology, soils, hydrology, etc.) as these suggest the parameters for future development.

*Hampton: An Archeological and Historical Overview of a Proposed Strip Mine Tract in South Central Arkansas.* Timothy C. Klinger, assembler. Fayetteville, AR: Arkansas Archeological Survey Research Report 19, 1979.

This study is an example of the use of archival research, interviews with local residents and artifact collectors,

and very small-scale field reconnaissance to develop initial predictions about the nature and distributions of historic properties in a rural area of about 36,000 acres. Although the study was motivated by an impending coal surface mine, the approach would be applied in other circumstances involving areas of similar scale and type. See also *Settlement Predictions in Sparta*.

*Historic and Archeological Resources of the Boston Area*. Boston: Massachusetts Historical Commission, 1982.

A follow-up study to the Massachusetts *Model for Management* (see above), this study focuses on Boston and its hinterland. It is comprehensive in that both the existing built environment and the subsurface archeological resources are examined in all communities of the area, using archival research and compilation of data from numerous surveys of particular areas. General locations in which different kinds of historic properties representing different aspects of the area's history and prehistory are likely to be found are identified. Generalizations are offered about the patterns of property survival that characterize urban cores versus peripheries. Recommendations are largely directed toward the Massachusetts Historical Commission itself, but some recommendations are offered for management of particular areas and kinds of resources in particular political subdivisions. The approach is strongly research-oriented, as it is designed to guide the Commission's survey efforts. As a general management document, it seems to give short shrift to the social and humanistic value of historic properties. This emphasis does not detract from its value, however, as an example of how archival and partial survey data on a large, dynamic urban area can be organized to provide structure to an ongoing survey effort.

*Historic and Architectural Conservation Element*. San Luis Obispo, CA: City of San Luis Obispo, n.d.

This plan, an official element of the city's general plan, represents the history of the development of the city, and organizes the discussion of the city's urban environment around the architectural styles represented there. It identifies critical structures and general areas of conservation concern. It analyzes potential opportunities for and constraints on preservation, and recommends city policies and alternatives.

*Historic Richmond, Toward Architectural Preservation*. Richmond, IN: City Planning Commission, 1970.

A publication designed for a community with little preservation activity, this report covers the survey of Richmond's architecture and history and includes a survey of resident and tourist attitudes. It also outlines the range of preservation activities available to the communities and recommends which of these should be undertaken. The report also includes a good section on legal controls for preservation purposes.

*Historic Survey and Appendix*. San Antonio, TX: City Planning Department, 1972.

Primarily a visual study intended to stimulate greater awareness of the visual quality of the city, this study employs photography extensively: shots of single buildings, details, and streets. The appendix explains survey methodology, cataloging and use of data-index cards and maps, and evaluation system. Its broad survey criteria include natural and archeological resources as well as buildings. The appendix also includes a comprehensive section entitled "Historic Preservation and the Law for San Antonio," which traces the effects of Federal, State, and municipal laws that relate to preservation concerns and the amount of latitude these laws allow.

*Lancaster's Heritage*. Lancaster, PA: Lancaster County Planning Commission, 1972.

This study is an example of preservation at the county level. The study clearly defines the reasons for preservation; presents Federal, State, and local preservation activities, and includes selected examples from a county-wide inventory of historic sites. It includes good summaries of legal controls and education efforts. Chapter 7 emphasizes the importance of area preservation and identifies four kinds of areas: major significance areas, significant areas, interest areas, and large rural historic areas. The final chapter defines the need for a county-wide program to encourage rural and community preservation. Goals suggested for planning commissions include the development of zoning ordinances, restructured tax systems, and environmental review procedures.

*Marshall, A Plan for Preservation*. Marshall, MI: Marshall Historical Society, 1973.

This publication presents the results of a community architectural survey. An explanation of local architectural styles and an explanation of the methodology of the survey are emphasized. Based on the survey, treatment areas are suggested and long and short range activities for community preservation are recommended. The book is outstanding for its graphic quality.

*Our Lasting Heritage: An Historical and Archeological Preservation Plan for Central Solano County*. Solano County, CA: Central Solano County Cultural Heritage Commission, 1977.

An example of a plan for a largely agricultural county, addressing both architectural and archeological resources, this plan was developed largely by local people with professional assistance. Based on partial survey data, the plan organizes information on known historic properties with reference to chronological periods from the Indian Presence through Recent History and describes the known resources of different cities and



parts of the county. It goes on to present an *action program* for the Cultural Heritage Commission that emphasizes public education, regulation of development, and research.

*Pioneer Square Historic District Plan.* Seattle, WA: Office of Urban Conservation, 1974.

A sophisticated study of a recognized historic commercial district, this plan includes careful analysis of the existing urban setting. Space use, parking, traffic, transportation, resident population, and housing provide the basis for development proposals. Communications guidelines and project specifications for continued redevelopment of the area are also included.

*A Plan for Historic Preservation in Denver.* Robert Carper. Denver, CO: Denver Planning Office, 1974.

This series of publications covers a comprehensive program for municipal preservation activities. The plan itself is intended for use by various councils, commissions, agencies, and citizens' groups. Besides explaining inventory criteria, the publication includes sections on preservation at national, State, and local levels, preservation philosophy, various kinds of preservation legislation, ordinances, and preservation financing. It also outlines methods used to accomplish preservation objectives. Appendices include an "Inventory of Denver Architecture," "Survey Manual," "Procedural Manual," and "Project Record."

*Prehistoric Resources of East-Central New England: A Preliminary Predictive Study.* Dena F. Dincuze and Judith Meyer. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Archeological Services, 1976.

This study presents a regional overview based on background research into prehistoric environments, documentation of known prehistoric site distributions, and ethnographic settlement patterns. Projections of possible differential sensitivity areas are made, and impacts of past, current, and probable future programs of land modification are discussed. State laws and programs are analyzed for effectiveness in dealing with such impacts, and recommendations are offered.

*Preservation and Rehabilitation of a Historic Commercial Area: A Demonstration Study of a Waterfront Historic District.* New Bedford, MA: New Bedford Development Authority in cooperation with the New Bedford City Planning Department and the Waterfront Historic Area League, 1967.

This study is one of the first comprehensive design plans based on the area's existing physical and historic character. It includes a summary of the area's historic development, background information on historic preservation, a statement of goals, specific design

recommendations and developmental standards, a summary of methods of implementation, and an analysis of relative costs and benefits.

*Preservation Plan, Lowell, Massachusetts.* Lowell: Lowell Historic Preservation Commission, 1980.

This is an example of a plan for a small city with major historical interpretive opportunities, in this case, the Local Historic Preservation District, being developed by the National Park Service for the interpretation of the Industrial Revolution in the nineteenth century. The major strength of this plan lies in the way it shows how park interpretive development can be integrated with, and made supportive of, community development and the maintenance of social and architectural integrity. The plan promotes incentives for maintenance and rehabilitation of buildings in and around areas to be interpreted, and active involvement of the community in all aspects of the interpretive program.

*Riverfront Development Plan and Historic Preservation Plan.* Jefferson County, MO: Planning and Zoning Commission, 1970.

This planning study includes the history and analysis of development potential of riverfront areas. A historic district is proposed (and a copy of an ordinance included) based on initial identification of historic sites and areas. The best section, however, includes analysis, recommendations, and proposals for revitalizing riverfront areas. Techniques discussed include acquisition of easements.

*The Russell Wright Report.* Alexandria, VA: Department of Planning and Regional Affairs, 1970.

The report is a complete examination of the rating system used in evaluating the architectural significance of buildings in historic Alexandria, and in developing priorities for preserving them.

*Sacramento "Old City": A Preservation Program.* Sacramento, CA: Sacramento Historic Structures Advisory Commission, 1974.

Prepared before substantial survey had been undertaken, this plan establishes goals and objectives for the city historic preservation program, and recommends actions to facilitate survey, registration, and a variety of protective activities and incentives to encourage rehabilitation.

*Salem, Massachusetts, Historic Area Study.* Salem, MA: Salem Planning Board and Massachusetts Department of Commerce, 1963.

One of a series of eight reports of a community's comprehensive planning programs, this report traces the development of the area, maps buildings by style,

evaluates their quality, and defines potential conservation areas. The report also includes a general land use and circulation plan, makes specific recommendations with regard to the regulation of historic districts, and outlines development options in the historic areas (which are covered in greater detail in some of the other reports).

*The Sautee and Nacoochee River Valleys: A Preservation Study*, by Allen D. Stovall, ASLA. Sautee-Nacoochee, GA: Sautee-Nacoochee Community Association, 1982.

This award-winning study approaches the historic resources of two rural Georgia valleys from a comprehensive standpoint guided by the principles of landscape architecture. Archival and field data on archeology, history, architecture, land use, scenic qualities, and natural resources are systematically organized and combined to provide a composite picture of the valleys' cultural values. Threats to their integrity and legal and financial opportunities for control of threats are carefully analyzed. Extensive community involvement in the study is documented. A comprehensive and detailed preservation plan is the result, containing both general and specific recommendations for actions by individuals and local, county, and State governments to restrain development and ensure that it is compatible with the historic and cultural character of the two valleys.

*Settlement Predictions in Sparta*, by Robert H. Lafferty III, et. al. Fayetteville, AR: Arkansas Archeological Survey Research Series No. 14, 1981.

A follow-up study to the *Hampton* report (see above), this publication further documents archival research and a 10% sample field reconnaissance, resulting in a sophisticated prediction of the distribution of historic properties of different types throughout the 36,000 acres study area.

*Southampton Village: Planning for Preservation*. New York: Buckhurst Fish Hutton Katz for Southampton Association, 1983.

This is an example of a plan developed by a concerned community organization in response to perceived threats. The Southampton Association was concerned about a proposed master plan that called for substantial expansion of retail marketing in certain historic areas of the community, and arranged for development of a preservation plan to analyze alternatives. The plan summarizes the community's historical development, describes historic and existing patterns of land use, discusses the specific issues for historic preservation raised by the master plan, and offers recommendations for economically viable alternatives that will preserve historic properties, architectural design qualities, farmland, open space, and beach access.

*The Southern Santa Clara Valley: A General Plan for Archeology*. Thomas F. King and Patricia P. Hickman. San Francisco: A.E. Treganza Anthropology Museum, San Francisco State University, 1973.

This plan is a regional archeological study designed to assess the indirect impacts of a large water importation project. Background research and sample fieldwork permitted the prediction of zones of differential sensitivity for prehistoric sites, and a more general discussion of historic properties. Pertinent Federal and State laws and the general plans of local counties and cities are analyzed, leading to recommendations for planning actions to protect all kinds of archeological properties. A summary discussion of the project is provided in Schiffer and Gummerman's *Conservation Archeology* (see General Sources below).

*The Tulsa Historic Preservation Plan Report*. Tulsa, OK: Tulsa Historic Preservation Office, 1980.

Based on architectural surveys, this plan identifies 17 historic preservation areas in the city, and prescribes achievable preservation targets and policies for achieving them. It outlines legal and financial implementation tools applicable to each.

*Urban Design and Historic Preservation for Columbia*. Columbia, SC: Central Midlands Regional Planning Council and the City of Columbia, 1974.

This study explains and illustrates proposed designs for selected historic areas of the city. Emphasis is on linking several discrete areas through the use of improved landscaping, street furniture, etc., on the connecting streets.

*Urban Design Plan*. San Francisco, CA: San Francisco Department of City Planning, 1972.

This plan was prepared as a result of a two-year study by the Department of City Planning as a part of a master plan to guide public and private development as it affects the design of the city. Based on studies by varied consultants, resident polls, and other planning studies, four topics were selected as important: city pattern, conservation, major new development, and neighborhood environment. Each of these receives in-depth study in this publication, based on a review of human needs, a statement of overall objective, a description of fundamental principles, and formulation of policies. Sections of principles and policies could provide models for other communities.

*The Urban Design Plan*, Historic Hill, Newport, Rhode Island. Newport, Rhode Island: Redevelopment Agency of the City of Newport, 1971.

A detailed plan for a historic city center based on thorough survey and analysis of the city's architect-

ture, public spaces, roads, signs, etc., this study includes consideration of land and building uses, architectural and historical significance, and structural conditions that provide further basis for design proposals. Good statements of preservation and development objectives and design criteria are included, as well as maps and sketches for individual areas and properties.

*Vieux Carré Historic District Demonstration Study*. Vols 1-7. New Orleans, LA: Bureau of Government Research for the City of New Orleans, 1968.

An extremely thorough study in seven volumes, the plan and program for the preservation of Vieux Carré is supplemented by a series of more technical publications: (1) Environmental Survey, (2) Legal and Administrative Report, (3) Economic and Social Study, (4) Vieux Carré—Its Plan, Its Growth, and Its Architecture, (5) Central Business District Traffic Study, (6) Evaluation of the Proposed Riverfront Expressway. The main plan and program include a brief review of Volume D, the history of architecture of the Vieux Carré.

*Woodbury, Connecticut, A New England Townscape*. Woodbury, CT: Old Woodbury Historical Society, 1975.

A small, handsome study of a rural New England town intended to generate local interest in preservation, this study includes a discussion of the specific aspects of the townscape, amenities, land use, and historic character are based on a community survey. The study also explains the survey itself, summarizes the economics of local preservation, and recommends a program of historical research and cultural rural landscape study.

### 3. Preservation Tools and Strategies

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#### National Park Service publications

Curtis, John Obed. *Moving Historic Buildings*. Springfield, VA: National Technical Information Service, 1979. NTIS No. PB 85-180792.

Gayle, Margot, David W. Look, and John G. Waite. *Metals in America's Historic Buildings: Uses and Preservation Methods*. Springfield, VA: National Technical Information Service, 1978. NTIS Publication No. PB 90-206269.

Gyrisco, Geoffrey M. *Legal Tools to Protect Archeological Sites*. In 11593, Fall 1980.

Weiss, Norman R. *Exterior Cleaning of Historic Masonry Buildings*. Springfield, VA: National Technical Information Service. NTIS No. PB 85-180818.

*Secretary of the Interior's Standards and Guidelines for Historical, Architectural, and Archeological Documentation Professional Qualifications Standards*. (The above are

available as part of *The Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation*).

*National Register of Historic Places* 36 CFR Part 60.

*Secretary of the Interior's Standards for Historic Preservation Projects, with Guidelines for Applying the Standards*.

*Economics of Revitalization: A Decisionmaking Guide for Local Officials*. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, January 1981.

*Federal Tax Provisions to Encourage Rehabilitation of Historic Buildings: An Assessment of Their Effect*.

*National Register Bulletin 17: Certification of State and Local Statutes and Historic Districts*. Washington, DC: U.S. Department of the Interior, National Park Service. *Historic Preservation Certifications Pursuant to the Tax Reform Act of 1976, the Revenue Act of 1978, the Tax Treatment Extension Act of 1980, and the Economic Recovery Act of 1981* 36 codified as CFR Part 67.

#### Preservation Briefs:

*Preservation Brief No. 1: The Cleaning and Waterproof Coating of Masonry Buildings*.

*Preservation Brief No. 2: Repointing Mortar Joints in Historic Brick Buildings*.

*Preservation Brief No. 3: Conserving Energy in Historic Buildings*.

*Preservation Brief No. 4: Roofing for Historic Buildings*.

*Preservation Brief No. 5: The Preservation of Historic Adobe Buildings*.

*Preservation Brief No. 6: Dangers of Abrasive Cleaning to Historic Buildings*.

*Preservation Brief No. 7: The Preservation of Historic Glazed Architectural Terra-Cotta*.

*Preservation Brief No. 8: Aluminum and Vinyl Siding on Historic Buildings*.

*Preservation Brief No. 9: The Repair of Historic Wooden Windows*.

*Preservation Brief No. 10: Exterior Paint Problems on Historic Woodwork*.

*Preservation Brief No. 11: Rehabilitating Historic Storefronts*.

*Preservation Brief No. 12: The Preservation of Historic Pigmented Structural Glass (Vitrolite and Carrara Glass)*.

*Preservation Brief No. 13: The Repair and Thermal Upgrading of Historic Steel Windows.*

*Preservation Brief No. 14: New Exterior Additions to Historic Buildings: Preservation Concerns.*

*Preservation Brief No. 15: Preservation of Historic Concrete: Problems and General Approaches.*

*Preservation Brief No. 16: The Use of Substitute Materials on Historic Building Exteriors.*

*Preservation Brief No. 17: Architectural Character—Identifying the Visual Aspect of Historic Buildings as an Aid to Preserving Their Character.*

*Preservation Brief No. 18: Rehabilitating Interiors in Historic Buildings—Identifying Character-Defining Elements.*

*Preservation Brief No. 19: The Repair and Replacement of Historic Wooden Shingle Roofs.*

*Preservation Brief No. 20: The Preservation of Historic Barns.*

*Preservation Brief No. 21: Repairing Historic Flat Plaster—Walls and Ceilings.*

*Preservation Brief No. 22: The Preservation and Repair of Historic Stucco.*

*Preservation Brief No. 23: Preserving Historic Ornamental Plaster.*

**Advisory Council publications** (see above for availability).

*Federal Tax Law and Historic Preservation: A Report to the President and Congress.* Washington, DC: Advisory Council on Historic Preservation, November, 1983.

*Treatment of Archeological Properties.* Washington, DC: Advisory Council on Historic Preservation, February, 1981.

*Federal Historic Preservation Case Law.* Washington, DC: Advisory Council on Historic Preservation, July 1985. GPO Stock No. 052-003-01000-3.

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American Association for State and Local History. *Directory of Historical Societies and Agencies in the United States and Canada.* Nashville, TN: American Association for State and Local History, eleventh edition, 1978.

American Institute of Architects. *Design Review Boards: A Handbook for Communities.* Washington, DC: American Institute of Architects, 1974.

American Planning Association. *Planning.* (Monthly magazine). Chicago: APA Planners Press.

American Society of Planning Officials/Planning Advisory Service. *Transferable Development Rights.* Chicago: American Society of Planning Officials, 1975.

Andrews, Gregory E., ed. *Tax Incentives for Historic Preservation.* Washington, DC: The Preservation Press, 1980.

Baldwin, Pamela, ed. *Environmental Mediation: An Effective Alternative?* Palo Alto, CA: Resolve Center for Environmental Conflict Resolution, 1978.

Bowles, Roy T. *Social Impact Assessment in Small Communities.* Toronto, Ontario: Butterworths, 1981.

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# Appendix V: Contacts

Listed below are major national contacts for aspects of historic preservation survey and planning.

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## NATIONAL PARK SERVICE

For the National Register of Historic Places, Historic American Buildings Survey, Historic American Engineering Record, Preservation Assistance Division, Archeological Assistance Division, contact:

Associate Director, Cultural Resources,  
Keeper, National Register of Historic Places  
National Park Service  
P.O. Box 37127  
Washington, DC 20013-7127

or one of the regional offices of the National Park Service:

**Alaska Regional Office**  
National Park Service  
2525 Gambell Street  
Anchorage, AK 99503

Phone: (907) 257-2684

**Mid-Atlantic Regional Office**  
National Park Service  
143 South Third Street  
Philadelphia, PA 19106

Phone: (215) 597-7013

**Rocky Mountain Regional Office**  
National Park Service  
12795 West Alameda Parkway  
P.O. Box 25287, Denver Federal Center  
Denver, CO 80225-2500

Phone: (303) 234-2500

**Southeast Regional Office**  
National Park Service  
75 Spring Street, SW  
Atlanta, GA 30303

Phone: (404) 841-5185

**Western Regional Office**  
National Park Service  
600 Harrison Street, Suite 550  
San Francisco, CA 94102-1372

Phone: (415) 484-3985

**Advisory Council on Historic Preservation**  
Old Post Office Building  
1100 Pennsylvania Avenue, N.W., Suite 802  
Washington, DC 20004  
Denver, CO 80225-2500

Phone: (202) 786-0503

## NATIONAL CONFERENCE OF STATE HISTORIC PRESERVATION OFFICERS

Hall of States  
444 North Capitol Street, Suite 332  
Washington, DC 20001

Phone: (202) 624-5465

## STATE HISTORIC PRESERVATION OFFICERS

Alabama  
State Historic Preservation Officer  
Alabama Historical Commission  
725 Monroe Street  
Montgomery, AL 36130-5101

Phone: (205) 242-3184  
FAX: (205) 242-3128

Alaska  
State Historic Preservation Officer  
Division of Parks  
Office of History & Archeology  
P.O. Box 107001  
Anchorage, AK 99510-7001

Phone: (907) 762-2622  
FAX: (907) 762-2535

American Samoa  
Historic Preservation Officer  
Department of Parks & Recreation  
Government of American Samoa  
Pago Pago, AS 96799

Phone: (684) 699-9614  
FAX: (684) 699-4427

Arizona  
State Historic Preservation Officer  
Arizona State Parks  
800 W. Washington, #415  
Phoenix, AZ 85007

Phone: (602) 542-4009  
FAX: (602) 542-4180

Arkansas

State Historic Preservation Officer  
Arkansas Historic Preservation Program  
225 E. Markham, Suite 200  
Little Rock, AR 72201

Phone: (501) 324-9346  
FAX: (501) 324-9345

California

State Historic Preservation Officer  
Office of Historic Preservation  
Department of Parks & Recreation  
P.O. Box 942896  
Sacramento, CA 94296-0001

Phone: (916) 653-6624  
FAX: (916) 653-9824

Colorado

State Historic Preservation Officer  
Colorado Historical Society  
1300 Broadway  
Denver, CO 80203

Phone: (303) 866-2136  
FAX: (303) 866-5739

Connecticut

State Historic Preservation Officer  
Connecticut Historical Commission  
59 South Prospect Street  
Hartford, CT 06106

Phone: (203) 566-3005

Delaware

State Historic Preservation Officer  
Division of Historical & Cultural Affairs  
P.O. Box 1401  
Hall of Records  
Dover, DE 19901

Phone: (302) 739-5313

District of Columbia

State Historic Preservation Officer  
District Building  
1350 Pennsylvania Avenue, NW  
Washington, DC 20004

Phone: (202) 727-6365  
FAX: (202) 727-8040

Florida

State Historic Preservation Officer  
Division of Historical Resources  
Department of State  
R.A. Gray Building  
500 S. Bronough Street  
Tallahassee, FL 32399-0250

Phone: (904) 488-1480  
FAX: (904) 488-3353

Georgia

State Historic Preservation Officer  
Office of Historic Preservation  
205 Butler Street, SE  
1462 Floyd Towers East  
Atlanta, GA 30334

Phone: (404) 656-2840  
FAX: (404) 656-2285

Guam

Historic Preservation Officer  
Guam Historic Preservation Office  
Department of Parks & Recreation  
490 Naval Hospital Road  
Agana Heights, GU 96910

Phone: (671) 477-9620  
FAX: (671) 477-2822

Hawaii

State Historic Preservation Officer  
Department of Land & Natural Resources  
P.O. Box 621  
Honolulu, HI 96809

Phone: (808) 548-6550

Idaho

State Historic Preservation Officer  
Idaho State Historical Society  
210 Main Street  
Boise, ID 83702

Phone: (208) 334-2682

Illinois

State Historic Preservation Officer  
Illinois Historic Preservation Agency  
1 Old State Capitol Plaza  
Springfield, IL 62701-1512

Phone: (217) 785-1153  
FAX: (217) 524-7525

Indiana

State Historic Preservation Officer  
Department of Natural Resources  
402 West Washington Street  
Indiana Government Center, South Room C-265  
Indianapolis, IN 46204

Phone: (317) 232-4020  
FAX: (317) 232-8036

Iowa

State Historic Preservation Officer  
State Historical Society of Iowa  
Capitol Complex  
East 6th & Locust Street  
Des Moines, IA 50319

Phone: (515) 281-8837  
FAX: (515) 282-0502

Kansas

State Historic Preservation Officer  
Kansas State Historical Society  
120 West Tenth  
Topeka, KS 66612

Phone: (913) 296-3251  
FAX: (913) 296-1005

Kentucky

State Historic Preservation Officer  
Kentucky Heritage Council  
12th Floor, Capitol Plaza Tower  
Frankfort, KY 40601

Phone: (502) 564-7005  
FAX: (502) 564-6578

Louisiana

State Historic Preservation Officer  
Office of Cultural Development  
Department of Culture, Recreation and Tourism  
P.O. Box 44247  
Baton Rouge, LA 70804

Phone: (504) 342-8200  
FAX: (504) 342-3207

Maine

State Historic Preservation Officer  
Maine Historic Preservation Commission  
55 Capitol Street, Station 65  
Augusta, ME 04333

Phone: (207) 289-2132  
FAX: (207) 289-2861

Marshall Islands, Republic of the

Historic Preservation Officer  
Secretary of the Interior and Outer Islands Affairs  
P.O. Box 1454  
Majuro Atoll  
Republic of the Marshall Islands 96960

Phone: (692) 625-3413  
FAX: (692) 625-3412

Maryland

State Historic Preservation Officer  
Division of Historical & Cultural Programs  
Department of Housing and Community Development  
100 Community Place, 3rd Floor  
Crownsville, MD 21032-2023

Phone: (410) 514-7600  
FAX: (410) 987-4071

Massachusetts

State Historic Preservation Officer  
Massachusetts Historical Commission  
80 Boylston Street, Suite 310  
Boston, MA 02116

Phone: (617) 727-8470  
FAX: (617) 727-5128

Michigan

State Historic Preservation Officer  
Bureau of History, Department of State  
717 West Allegan Street  
Lansing, MI 48918

Phone: (517) 373-0511  
FAX: (517) 373-0851

Micronesia, Federated States of (Chuuk, Kosrae,

Pohnpei, Yap)  
Historic Preservation Officer  
Office of Administrative Services  
Division of Archives & Historic Preservation  
FSM National Government  
P.O. Box PS 35  
Palikir, Pohnpei, FSM 96941

Phone: (691) 320-2343  
FAX: (691) 320-2597

Chuuk

Historic Preservation Officer  
Department of Resources & Development  
Moen, Chuuk, FSM  
East Caroline Islands 96942

Phone: (691) 330-3309  
FAX: (691) 330-2232

Kosrae  
Historic Preservation Officer  
Division of History & Cultural Preservation  
Department of Conservation & Development  
Kosrae State, FSM  
East Caroline Islands 96944

Phone: (691) 370-3078  
FAX: (691) 370-3003

Pohnpei  
Historic Preservation Officer  
Department of Land  
Pohnpei State Government  
P.O. Box 158  
Kolonia, Pohnpei, FSM  
East Caroline Islands 96941

Phone: (691) 320-2715  
FAX: (691) 320-2505

Yap  
Historic Preservation Officer  
Office of the Governor  
Colonia, Yap, FSM  
West Caroline Islands 96943

Phone: (691) 350-2194  
FAX: (691) 350-2381

Minnesota  
State Historic Preservation Officer  
Minnesota Historical Society  
690 Cedar Street  
St. Paul, MN 55101

Phone: (612) 296-2747  
FAX: (612) 296-1004

Mississippi  
State Historic Preservation Officer  
Mississippi Department of Archives & History  
P.O. Box 571  
Jackson, MS 39205-0571

Phone: (601) 359-6850  
FAX: (601) 359-6905

Missouri  
State Historic Preservation Officer  
State Department of Natural Resources  
205 Jefferson  
P.O. Box 176  
Jefferson City, MO 65102

Phone: (314) 751-4422  
FAX: (314) 751-8656

Montana  
State Historic Preservation Officer  
Historic Preservation Office  
Montana Historical Society  
225 North Roberts  
Helena, MT 59620-9990

Phone: (406) 444-7715  
FAX: (406) 444-2696

Nebraska  
State Historic Preservation Officer  
Nebraska State Historical Society  
P.O. Box 82554  
Lincoln, NE 68501

Phone: (402) 471-4787

Nevada  
State Historic Preservation Officer  
Division of Historic Preservation & Archeology  
123 West Nye Lane, Room 208  
Carson City, NV 89710

Phone: (702) 687-5138

New Hampshire  
State Historic Preservation Officer  
Division of Historical Resources  
P.O. Box 2043  
Concord, NH 03301

Phone: (603) 271-3483

New Jersey  
State Historic Preservation Officer  
Department of Environmental Protection  
CN-402, 401 East State Street  
Trenton, NJ 08625

Phone: (609) 292-2885  
FAX: (609) 292-8115

New Mexico  
State Historic Preservation Officer  
Historic Preservation Division  
Office of Cultural Affairs  
Villa Rivera  
228 East Palace Avenue  
Santa Fe, NM 87503

Phone: (505) 827-6320  
FAX: (505) 827-7308

New York

State Historic Preservation Officer  
Parks, Recreation, & Historical Preservation  
Agency Building #1  
Empire State Plaza  
Albany, NY 12238

Phone: (518) 474-0443  
FAX: (518) 474-4492

North Carolina

State Historic Preservation Officer  
Division of Archives & History  
Department of Cultural Resources  
109 East Jones Street  
Raleigh, NC 27601-2807

Phone: (919) 733-7305  
FAX: (919) 733-5679

North Dakota

State Historic Preservation Officer  
State Historical Society of North Dakota  
Heritage Center  
612 East Boulevard Avenue  
Bismarck, ND 58505

Phone: (701) 224-2667

Northern Mariana Islands, Commonwealth of the  
Historic Preservation Officer

Department of Community & Cultural Affairs  
Commonwealth of the Northern Mariana Islands  
Saipan, Mariana Islands 96950

Phone: (670) 322-9722/9556  
FAX: (670) 322-4058/5096

Ohio

State Historic Preservation Officer  
Historic Preservation Division  
Ohio Historical Society  
1985 Velma Avenue  
Columbus, OH 43211

Phone: (614) 297-2470  
FAX: (614) 297-2411

Oklahoma

State Historic Preservation Officer  
Oklahoma Historical Society  
2100 North Lincoln Boulevard  
Oklahoma City, OK 73105

Phone: (405) 521-2491  
FAX: (405) 525-3272

Oregon

State Historic Preservation Officer  
State Parks & Recreation Department  
525 Trade Street, SE  
Salem, OR 97310

Phone: (503) 378-5019  
FAX: (503) 378-6447

Palau, Republic of

Historic Preservation Officer  
Ministry of Community & Cultural Affairs  
P.O. Box 100  
Koror, Republic of Palau 96940

Phone: (680) 488-2489  
FAX: (680) 488-1725/1662

Pennsylvania

State Historic Preservation Officer  
Pennsylvania Historical & Museum Commission  
P.O. Box 1026  
Harrisburg, PA 17108

Phone: (717) 787-2891  
FAX: (717) 783-1073

Puerto Rico

State Historic Preservation Officer  
Office of Historic Preservation  
P.O. Box 82, La Fortaleza  
San Juan, PR 00901

Phone: (809) 721-2676  
FAX: (809) 723-0957

Rhode Island

State Historic Preservation Officer  
Rhode Island Historical Preservation Commission  
Old State House  
150 Benefit Street  
Providence, RI 02903

Phone: (401) 277-2678  
FAX: (401) 277-2968

South Carolina

State Historic Preservation Officer  
Department of Archives & History  
P.O. Box 11669  
Columbia, SC 29211

Phone: (803) 734-8592  
FAX: (803) 734-8820

South Dakota

State Historic Preservation Officer  
South Dakota State Historical Society  
900 Governors Drive  
Pierre, SD 57501

Phone: (605) 773-3458  
FAX: (605) 677-5364

Tennessee

State Historic Preservation Officer  
Department of Conservation  
701 Broadway  
Nashville, TN 37243-0442

Phone: (615) 742-6758  
FAX: (615) 742-6594

Texas

State Historic Preservation Officer  
Texas Historical Commission  
P.O. Box 12276, Capitol Station  
Austin, TX 78711

Phone: (512) 463-6100  
FAX: (512) 463-6095

Utah

State Historic Preservation Officer  
Utah State Historical Society  
300 Rio Grande  
Salt Lake City, UT 84101

Phone: (801) 533-5755  
FAX: (801) 364-6436

Vermont

State Historic Preservation Officer  
Agency of Development and Community Affairs  
109 State Street  
Montpelier, VT 05069-0501

Phone: (802) 828-3211  
FAX: (802) 828-3233

Virgin Islands

State Historic Preservation Officer  
Department of Planning and Natural Resources  
Nisky Center #231  
No. 45 A Estate Nisky  
St. Thomas, USVI 00802

Phone: (809) 774-3320

Virginia

State Historic Preservation Officer  
Department of Historic Resources  
221 Governor Street  
Richmond, VA 23219

Phone: (804) 786-3143  
FAX: (804) 225-4261

Washington

State Historic Preservation Officer  
Office of Archeology & Historic Preservation  
111 West 21st Avenue, KL-11  
Olympia, WA 98504

Phone: (206) 753-4011  
FAX: (206) 586-0250

West Virginia

State Historic Preservation Officer  
Department of Culture and History  
Capitol Complex  
Charleston, WV 25305

Phone: (304) 348-0220  
FAX: (304) 348-2779

Wisconsin

State Historic Preservation Officer  
Historic Preservation Division  
State Historical Society of Wisconsin  
816 State Street  
Madison, WI 53706

Phone: (608) 264-6500  
FAX: (608) 264-6404

Wyoming

State Historic Preservation Officer  
Parks and Cultural Resources Division  
Department of Commerce  
1825 Carey Avenue  
Cheyenne, WY 82002

Phone: (307) 777-7013  
FAX: (307) 777-6005

## **LOCAL HISTORIC PRESERVATION COMMISSIONS**

For information on local historic preservation commissions and agencies, and those States where State alliances of historic preservation commissions have formed, contact:

National Alliance of Historic Preservation Commissions  
Hall of the States  
444 North Capitol Street, Suite 332  
Washington, DC 20001

Phone: (202) 624-5465

## **FEDERAL AGENCY HISTORIC PRESERVATION OFFICERS**

Section 110(c) of the National Historic Preservation Act directs all Federal agencies to appoint agency preserva-

tion officers. These officials are good contacts for information about particular agency programs in historic preservation, and about agency projects that may affect historic properties.

For a current listing of agency preservation officers, contact the Advisory Council on Historic Preservation.

## **NATIONAL TRUST FOR HISTORIC PRESERVATION**

The National Trust for Historic Preservation is a federally chartered nationwide membership organization that provides a wide variety of preservation services. For information contact:

National Trust for Historic Preservation  
1785 Massachusetts Avenue, NW  
Washington, DC 20036

Phone: (202) 673-4000



