

Guidance Memorandum for Department of Education Projects

SHPO Review & Project Documentation

Effective March 1, 2005

TO: US Department of Education, Iowa Department of Education, and Grant Recipients

FR: Lowell Soike, Deputy State Historic Preservation Officer, State Historical Society of Iowa

RE: Department of Education projects and SHPO review under Section 106 of the National Historic Preservation Act of 1966 and its implementing regulations 36 CFR Part 800 (revised, August 5, 2004)

This document is meant to be used in conjunction with the *Request for SHPO Comment on a Department of Education Project form and its Instructions*. Please download and consult each document as you prepare your submittal. The appropriate documents and forms, including the *Iowa Site Inventory Form* and instructions, are available online at www.iowahistory.org/preservation/review_compliance/schools or from the SHPO Review and Compliance Coordinator at (515) 281-8743.

1. Introduction

- 1.1 *Purpose.* The purpose of this memorandum is to outline the types of information that grant recipients and the Iowa Department of Education should submit to the State Historic Preservation Office (SHPO) for review in compliance with federal historic preservation laws and regulations. This memorandum will standardize the type of information received by the SHPO and eliminate many of the technical assistance inquiries that our office receives throughout the course of a review.
- 1.2 *Updates and Revisions.* This document addresses the special historic preservation issues, needs, and concerns resulting from the growing number of school infrastructure projects funded in whole or in part by the US Department of Education, through grants administered by the Iowa Department of Education. The SHPO considers the following guidance to be adequate documentation for initiation of project consultation and initial review. However, updates and revisions to this document may be necessitated by changing information needs or in response to revisions in the regulations implementing Section 106 of the National Historic Preservation Act (36 CFR Part 800).
- 1.3 *Projects Covered by this Document.* The US Department of Education currently provides grant funds to Iowa schools for school infrastructure projects under the Iowa Demonstration Construction Grant program. In past years, the School Renovation, IDEA (Individuals with Disabilities Education Act), and Technology (also known as SRIT) Grant program was also offered. Any projects funded in whole or in part by these two grant programs, and which fall under the categories described in Sections 2 through 6 below, may be considered “undertakings” as defined by 36 CFR Part 800 (see Section 8.2, below) and, as such, should be reviewed in accordance with Section 106. Please note that other federally funded, permitted, or licensed activities may also be considered undertakings. Contact the Iowa Department of Education if you are unsure whether a project falls under these guidelines.
- 1.4 *Project Submittal.* Each project should be submitted under separate letterhead. A cover letter should be accompanied by a *Request for SHPO Comment on a Department of Education Project form* and the appropriate project documentation as requested in this *Guidance Memorandum*. The *Request for SHPO Comment on a Department of Education Project form* has been tailored to expedite the SHPO review process. Copies of this form, along with instructions for its completion, are available online at www.iowahistory.org/preservation/review_compliance/schools. These documents are also available digitally and in hard copy from our office upon request. Please contact the SHPO Review and Compliance Coordinator at 515.281.8743.

All project documentation should be sent to the Iowa Department of Education for review and appropriate signature.

Forward all project documentation to:

School Facilities Consultant
Iowa Department of Education
Grimes State Office Building
Des Moines, IA 50319-0146
515.281.4743

The Iowa Department of Education will review the project documentation, sign the *Request for SHPO Comment on a Department of Education Project* form as the Federally Authorized Signature, and forward the information to the SHPO for review.

- 1.5 *Project Documentation*. Please use the guidelines provided below and the appropriate SHPO forms when planning projects and preparing project documentation for SHPO review. This will help streamline the review process. Submissions lacking this information may be returned along with a form letter indicating that inadequate documentation has been submitted. SHPO's 30-day review clock will begin when our office has received a complete project documentation packet with the appropriate signature from the Iowa Department of Education. **Once again, we strongly emphasize that the receipt of comprehensive and accurate project documentation will expedite SHPO review.**

2. Renovation of Existing School Facilities

This section addresses renovation and rehabilitation of school facilities. If an addition outside the current building footprint and/or substantial demolition is proposed, please refer to Section 3 and/or Section 4, respectively, for appropriate project documentation.

Provide:

- 2.1 *Location*. Street address, town, county, Urban Legal Description (i.e., plat, block, and lot) or rural legal coordinates (i.e., section, township and range), and UTM Coordinates.
- 2.2 *Vicinity Map*. USGS base map (found at <http://ortho.gis.iastate.edu/> under "Digital Raster Graphic") and/or city plat map, clearly and accurately depicting the Area of Potential Effects ("APE" – see Section 7.1) and locations of National Register-eligible or listed properties and National Historic Landmarks within the APE. A list of previously identified properties within a community can be obtained from the SHPO Inventory Coordinator at (515) 281-8742. Quad name or map source/date must appear on any photocopies.
- 2.3 *Project Description*. Complete project description, including existing and proposed floor plans and specifications (if applicable). See Section 7.2 for additional information on floor plans.
- 2.4 *Photographs*. Photographs of all sides of the affected building(s) and representative photographs of the interior(s). See Section 7.3 for more information on photograph format.
- 2.5 *Iowa Site Inventory Form*. For all buildings over 50 years of age in the APE, an Iowa Site Inventory Form should be completed. See Section 7.4 for additional information. Please note that based on the information provided and in-house inventory files, SHPO may request intensive inventory and evaluation of the property conducted by a professional meeting the Secretary of the Interior's Professional Qualifications Standards.

3. Addition to Existing School Facilities

This section addresses additions to existing school facilities, when construction is proposed outside the current building footprint. If substantial renovation and/or substantial demolition is proposed as part of the project, refer to Section 2.0 or 4.0 for appropriate project documentation.

Provide:

- 3.1 *Location*. Street address, town, county, Urban Legal Description (i.e., plat, block, and lot) or rural legal coordinates (i.e., section, township and range), and UTM Coordinates.
- 3.2 *Vicinity Map*. USGS base map (found at <http://ortho.gis.iastate.edu/> under "Digital Raster Graphic") and/or city plat map, clearly and accurately depicting the Area of Potential Effects ("APE" – see Section 7.1) and locations of National Register-eligible or listed properties and National Historic Landmarks within the APE. A list of previously identified properties within a community can be obtained from the SHPO Inventory Coordinator at (515) 281-8742. Quad name or map source must appear on any photocopies.
- 3.3 *Project Description*. Complete project description, including existing and proposed floor plans and elevations, specifications (if applicable), and architect's conceptual drawings (if available). A description of the width and depth of any proposed excavation should also be provided, along with a description of the current conditions of the project area. Include a site plan showing the limits of proposed excavation. See Section 7.2 for additional information on floor plans, site plans, and renderings.
- 3.4 *Photographs*. Photographs of all sides of the building(s) in the APE, representative photographs of the interior of the school facility, and streetscape photographs of properties within the APE. See Section 7.3 for more information on photograph format.
- 3.5 *Iowa Site Inventory Form*. For all buildings over 50 years of age in the APE, an Iowa Site Inventory Form should be completed. See Section 7.3 for additional information. Please note that based on the information provided and in-house

inventory files, SHPO may request intensive inventory and evaluation of the property conducted by a professional meeting the Secretary of the Interior's Professional Qualifications Standards.

- 3.6 *Archaeological Site File Search*. Contact the Office of the State Archaeologist's Site Records Manager for a site background check (there is a fee for this service). For additional information, please go to <http://www.uiowa.edu/~osa/focus/information/isf.htm>. Please note that based on the information provided, in-house records, and the nature of the project location, SHPO may request additional survey work conducted by a professional meeting the Secretary of the Interior's Professional Qualifications Standards.

4. Demolition of Existing School Facilities

This section addresses the demolition of extant school facilities and substantial demolition conducted as part of renovation or rehabilitation. For the purposes of this document, "substantial demolition" is defined as any demolition involving ground disturbance or not otherwise contained within the exterior walls of the school facility, or removal of the majority of interior walls (commonly called "gutting" the building). The removal of a few interior partitions or other minor interior demolition work is addressed under Section 2.0.

Provide:

- 4.1 *Location*. Street address, town, county, Urban Legal Description (i.e., plat, block, and lot) or rural legal coordinates (i.e., section, township and range), and UTM Coordinates.
- 4.2 *Vicinity Map*. USGS base map (found at <http://ortho.gis.iastate.edu/> under "Digital Raster Graphic") and/or city plat map, clearly and accurately depicting the Area of Potential Effects ("APE" – see Section 7.1) and locations of National Register-eligible or listed properties and National Historic Landmarks within the APE. A list of previously identified properties within a community can be obtained from the SHPO Inventory Coordinator at (515) 281-8742. Quad name or map source must appear on any photocopies.
- 4.3 *Project Description*. Complete project description, including existing and proposed floor plans and specifications (if applicable), the proposed method of demolition, and information regarding the proposed location of demolition debris disposal. A description of the width and depth of any proposed excavation should also be provided, along with a description of the current conditions of the project area. Include a site plan showing the limits of proposed excavation. See Section 7.2 for additional information on floor plans and site plans.
- 4.4 *Photographs*. Photographs of all sides of the building(s), representative photographs of the interior(s), and streetscape photographs of properties within the APE. See Section 7.3 for more information on photograph format.
- 4.5 *Iowa Site Inventory Form*. For all buildings over 50 years of age, an Iowa Site Inventory Form should be completed. See Section 7.4 for additional information. Please note that based on the information provided and in-house inventory files, SHPO may request intensive inventory and evaluation of the property conducted by a professional meeting the Secretary of the Interior's Professional Qualifications Standards.
- 4.6 *Archaeological Site File Search*. Contact the Office of the State Archaeologist's Site Records Manager for a site background check (there is a fee for this service). For additional information, please go to <http://www.uiowa.edu/~osa/focus/information/isf.htm>. Please note that based on the information provided, in-house records, and the nature of the project location, SHPO may request additional survey work conducted by a professional meeting the Secretary of the Interior's Professional Qualifications Standards.

5. Sale, Abandonment, or Other Non-destructive Methods of Existing School Facility Disposal

This section addresses the sale, abandonment, or other method of disposal for extant school facilities that will no longer serve school district functions.

Provide:

- 5.1 *Location*. Street address, town, county, Urban Legal Description (i.e., plat, block, and lot) or rural legal coordinates (i.e., section, township and range), and UTM Coordinates.
- 5.2 *Vicinity Map*. USGS base map (found at <http://ortho.gis.iastate.edu/> under "Digital Raster Graphic") and/or city plat map, clearly and accurately depicting the Area of Potential Effects ("APE" – see Section 7.1) and locations of potentially National Register-eligible or listed properties and National Historic Landmarks within the APE. A list of previously identified properties within a community can be obtained from the SHPO Inventory Coordinator at (515) 281-8742. Quad name or map source must appear on any photocopies.
- 5.3 *Project Description*. Complete project description, including proposed plans for sale, abandonment or other methods of disposal. Please include any information known regarding proposed reuse of the property. If the property is considered a historic property, please note whether covenants or other types of preservation restrictions on the property will be recorded as part of the transaction.

5.4 *Photographs*. Photographs of all sides of the building(s), representative photographs of the interior(s), and streetscape photographs of properties within the APE. See Section 7.3 for more information on photograph format.

5.5 *Iowa Site Inventory Form*. For all buildings over 50 years of age in the APE, an Iowa Site Inventory Form should be completed. See Section 7.4 for additional information. Please note that based on the information provided and in-house inventory files, SHPO may request intensive inventory and evaluation of the property conducted by a professional meeting the Secretary of the Interior's Professional Qualifications Standards.

6. Construction of New School Facilities

This section addresses the construction of new school facilities. If construction of a new school facility (e.g., through school consolidation) results in the demolition of existing school facilities or the sale, abandonment, or other non-destructive method of disposal of existing facilities, please refer to Section 4.0 and Section 5.0, respectively, for documentation of those properties.

Provide:

6.1 *Location*. Street address, town, county, Urban Legal Description (i.e., plat, block, and lot) or rural legal coordinates (i.e., section, township and range), and UTM Coordinates.

6.2 *Vicinity Map*. USGS base map (found at <http://ortho.gis.iastate.edu/> under "Digital Raster Graphic") and/or city plat map, clearly and accurately depicting the Area of Potential Effects ("APE" – see Section 7.1) and locations of potentially National Register-eligible or listed properties and National Historic Landmarks within the APE. A list of previously identified properties within a community can be obtained from the SHPO Inventory Coordinator, at (515) 281-8742. Quad name or map source must appear on any photocopies.

6.3 *Project Description*. Complete project description, including a description of the neighborhood surrounding the project area and any potential for a historic district. Include proposed floor plans, elevations, and/or architect's conceptual drawings, if available. A description of the width and depth of any proposed excavation should be provided, along with a description of the current conditions of the project area. Include a site plan showing the limits of proposed excavation. See Section 7.2 for additional information on floor plans, site plans, and renderings.

6.4 *Photographs*. Photographs of any existing building(s) in the APE and streetscape photographs of the neighborhood surrounding the location of the new school. See Section 7.3 for more information on photograph format.

6.5 *Iowa Site Inventory Form*. For any buildings over 50 years of age in the APE, an Iowa Site Inventory Form should be completed. See Section 7.3 for additional information. Please note that based on the information provided and in-house inventory files, SHPO may request intensive inventory and evaluation of the property conducted by a professional meeting the Secretary of the Interior's Professional Qualifications Standards.

6.6 *Archaeological Site File Search*. Contact the Office of the State Archaeologist's Site Records Manager for a site background check (there is a fee for this service). For additional information, please go to <http://www.uiowa.edu/~osa/focus/information/isf.htm>. Please note that based on the information provided, in-house records, and the nature of the project location, SHPO may request additional survey work conducted by a professional meeting the Secretary of the Interior's Professional Qualifications Standards.

7. Other Helpful Information

7.1 *Area of Potential Effects (APE)*. The APE includes two distinct areas for potential effect: an area with potential for direct effects and an area with potential for indirect (e.g., visual, vibration, noise, dust, etc.) effects. The APE for direct effects includes the buildings and grounds that are directly affected by renovation, additions, demolition, or new construction. The APE for indirect or visual effects, often called the "viewshed" or "visual APE" includes grounds and properties beyond the immediate impact area. In the past the SHPO has recommended a visual APE for additions, demolitions, and new construction to include all legal properties adjacent to the subject property. This may be adjusted up or down based on project-specific factors such the height, size, or location of the new construction, and locational factors such as adjacent empty lots. Adjustments to this recommended visual APE should be justified in the cover letter submitted with project documentation. If you have any questions regarding the APE, please contact the appropriate SHPO reviewer.

7.2 *Floor Plans, Site Plans, and Renderings*. Any floor plans, site plans, or renderings submitted should be legible and no larger than 11" x 17" format, if possible. Please include scale, north arrow, and date.

7.3 *Photographs*. Documentation that includes faxed and photocopied reproductions of photographs are typically of substandard quality and are not considered adequate for SHPO review. Polaroid photographs will not be accepted. Color and digital photos are only acceptable for initial survey if they clearly show the building form and materials. Black and white photographic prints are preferred. They should measure 3"x5" minimum. If digital photographs are submitted, please use an appropriate camera (2 or 3 megapixel minimum – 4 megapixel preferred) and appropriate printing resolution (300 dpi preferred).

- 7.4 *Iowa Site Inventory Form.* The form and instructions for completing it are available online at www.iowahistory.org/preservation under “Review & Compliance.” The form should include the appropriate alphanumeric coding, date of construction and alterations, and a brief history of the facility, including how the school fits into local education history and the name of the architect and/or builder, if known.
- 7.5 *Project Submittal.* All projects should be submitted to SHPO through the Iowa Department of Education’s School Facilities Consultant after the grant award has been announced. The SHPO may return incomplete submittals depending on the circumstances. Multiple rounds of written correspondence regarding a single project are extremely time-consuming and will delay completion of the Section 106 review process.
- 7.6 *Complex Projects.* Multi-component projects, such as abandonment or renovation of existing buildings in addition to new construction can be confusing. Project components should be clearly identified to avoid confusion during the review process.
- 7.7 *Projects Involving More Than One Federal Agency.* If more than one federal agency is involved in an undertaking (e.g., if the school has applied for and been awarded federal monies other than those from the US Department of Education), a lead agency agreement is recommended to streamline the Section 106 review process [36 CFR Part 800.2(a)(2)]. Please contact the SHPO for information on how to set up an agreement.
- 7.8 *Project Changes.* If the proposed project changes during SHPO review or after SHPO has issued comments, new project information should be submitted to SHPO through the Iowa Department of Education’s School Facilities Consultant. Project changes include, but are not limited to, changes to building design or specifications, changes to location of demolition debris disposal, and additional federal funding or grants.

8. Information on SHPO Review Authority and Role in Reviewing Projects

- 8.1 The Iowa SHPO reviews all projects that are federally funded, licensed, or permitted when historic properties may be affected. The law and regulations governing this review are Section 106 of the National Historic Preservation Act of 1966, as amended, and its implementing regulations, 36 CFR 800. Under this act, federal agencies are required to take into account the effects of their undertakings or actions on historic resources. The review process is consultative and SHPO comments are offered to assist the US Department of Education grantees in its effort to comply with Section 106. Copies of federal regulations governing the Section 106 process can be obtained at www.achp.gov.
- 8.2 An undertaking is defined as “a project, activity, or program funded in whole or in part under the direct or indirect jurisdiction of a Federal agency, including those carried out by or on behalf of a Federal agency; those carried out with Federal financial assistance; and those requiring a Federal permit, license or approval” [36 CFR Part 800.16(y)].
- 8.3 Under federal regulations, the agency that issues funding, licensing or permitting is responsible for notifying the SHPO of a proposed project. A federal agency may authorize a state or local official or a grant recipient to initiate consultation with the SHPO/Tribal Historic Preservation Officer (THPO) and others. In the case of School Renovation, IDEA, and Technology Grants, this authority has been delegated down to the Iowa Department of Education. As part of the grant application process, the Iowa Department of Education requires grant applicants to assure by signature that they will assist in the Section 106 review process.
- 8.4 During the review process, the Iowa SHPO, in its capacity as a consulting party, assists in identifying historic resources that may be affected by US Department of Education undertakings; and, as part of the consultation process, assists in exploring ways to avoid, minimize, or mitigate adverse effects to historic resources. SHPO assistance is limited to consultation of records that are maintained at the SHPO office. Apart from this, Iowa SHPO is not responsible for performing background research on projects. The Iowa SHPO also assists the agency in assessing the need for cultural resource or archaeological surveys. Historic resources include buildings, districts, objects, structures, landscapes, archaeological sites, and sites that are of cultural or religious significance to Indian Tribes. Historic properties are those which are listed in or eligible for inclusion in the National Register of Historic Places.
- 8.5 As part of the identification process, the SHPO assists federal agencies in making determinations of eligibility; however, final determinations of eligibility and effect legally rest with the US Department of Education or the agency’s authorized representative, the Iowa Department of Education. Effects on historic resources may include, but are not limited to: (1) visual impacts to the resource’s setting or to the resource itself; and/or (2) physical destruction or damage of all or part of a property. Additional definitions of adverse effects are found in 36 CFR Part 800.5(a)(2).
- 8.6 It should be understood that the Iowa SHPO does not provide “clearance” for the federal undertakings that it reviews. The SHPO must respond within 30 days of receipt of complete project documentation. If project documentation proves to be incomplete or otherwise inadequate, then it will be returned to the applicant with a letter outlining the deficiencies. Project reviews need to be coordinated with SHPO early in the planning process, pursuant to 36 CFR 800.1(c). Please allow time for receipt of a letter written on day 30.

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Effective March 1, 2005

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This memorandum may be periodically revised to address new issues as they come to our attention. Please do not hesitate to contact the State Historic Preservation Office should you have any questions regarding Section 106 review.

Questions or comments regarding this document should be directed to:

Barbara A. Mitchell, Architectural Historian

State Historical Society of Iowa

515.281.4013

barbara.mitchell@iowa.gov