



ADVISORY COUNCIL ON HISTORIC PRESERVATION

PROTECTING HISTORIC PROPERTIES: A CITIZEN'S GUIDE TO SECTION 106 REVIEW



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Cover photos represent a wide range of Section 106 cases. Top to bottom: Old U.S. Mint, San Francisco, CA; Paris Pike, KY; Stevens Creek Settlements, Lincoln, NE (Preservation Associates of Lincoln). Background: Mauna Kea, HI (R. Wainscoat).

CHAIRMAN'S MESSAGE



In 1966, the Federal Government created a process to ensure that American citizens would always have the opportunity to learn about and influence Government activities that could affect their communities'

historic resources. The Advisory Council on Historic Preservation is pleased to provide this Citizen's Guide to inform Americans how to use this process to protect their heritage and the places that embody our country's rich and varied history.



JOHN L. NAU, III, CHAIRMAN
ADVISORY COUNCIL ON HISTORIC PRESERVATION
WASHINGTON, DC, 2002

ABOUT THE ACHP

The mission of the Advisory Council on Historic Preservation (ACHP) is to promote the preservation, enhancement, and productive use of our Nation's historic resources, and advise the President and Congress on national historic preservation policy.

An independent Federal agency, the Advisory Council on Historic Preservation promotes historic preservation nationally by providing a forum for influencing Federal activities, programs, and policies that impact historic properties. It also advises the President and Congress about historic preservation matters, advocates preservation policy, protects historic properties, and educates stakeholders and the public.

John L. Nau, III, of Houston, Texas, is Chairman of the 20-member Council, which is served by a professional staff with offices in Washington, DC, and Colorado. For more information about the ACHP, contact:

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INTRODUCTION

Proud of your heritage? Value the things that reflect your community's history? You should know about Section 106 review, an important tool you can use to influence Federal decisions and protect historic properties. By law, you have a voice when Federal actions will affect properties that qualify for the National Register of Historic Places, the Nation's official list of historic properties.

This guide from the Advisory Council on Historic Preservation (ACHP), the Federal agency charged with historic preservation leadership within the Federal Government, will help you make your voice heard.

Each year, the Federal Government is involved in a variety of projects that impact historic properties. For example, the Federal Highway Administration works with States on road improvements, the Department of Housing and Urban Development grants funds to cities to rebuild communities, and the General Services Administration builds and leases Federal office space.

Agencies like the Forest Service, the National Park Service, the Bureau of Land Management, the Department of Veterans Affairs, and the Defense agencies make decisions daily about the management of Federal buildings, parks, forests, and lands.

Less obvious Federal actions can also have repercussions on historic properties. A Corps of Engineers permit to build a boat dock or a housing development that affects wetlands may also impact fragile archeological sites. Likewise, a Federal Communications Commission license for cellular tower construction might compromise rural landscapes or properties valued by Indian tribes for traditional religious and cultural practices.

These and many other Federal actions can harm historic properties. Section 106 review is your opportunity to alert the Federal Government to the historic properties you value and to influence decisions about the Federal projects that affect them.



To better provide the Army Corps of Engineers input regarding their management of the Missouri River Mainstem and its impacts on archeological and other historic properties, Indian Tribes and the public toured sites along the river after a public meeting convened by the ACHP.

WHAT IS SECTION 106 REVIEW?



The American Can Company industrial complex in Baltimore was slated for demolition using Department of Housing and Urban Development funds. Citizen groups opposed the project, the ACHP held public meetings, and the buildings were ultimately rehabilitated for commercial use. (photo: Pat Sommer, Struever Bros. Eccles & Rouse, Inc.)

In the National Historic Preservation Act (NHPA), Congress established a comprehensive program to preserve the historical and cultural foundations of the Nation as a living part of community life. Section 106 of NHPA is crucial to that program, because it requires

consideration of historic preservation in the multitude of Federal actions that take place nationwide. Section 106 requires Federal agencies to consider the effects of their actions on historic properties and provide the ACHP an opportunity to comment on Federal projects prior to implementation.

Section 106 review encourages, but does not mandate, preservation. Sometimes there is no way for a needed project to proceed without harming historic properties. Section 106 review does, however, ensure that preservation values are factored into Federal agency planning and decisions. Because of Section 106, Federal agencies must assume responsibility for the consequences of their actions on historic properties and be publicly accountable for their decisions.

UNDERSTANDING SECTION 106 REVIEW

Regulations issued by the ACHP guide Section 106 review, specifying actions Federal agencies must take to meet their legal obligations. The regulations are published in the Code of Federal Regulations at 36 CFR Part 800, “Protecting Historic Properties,” and can be found on the ACHP’s Web site at www.achp.gov/regs.html.

Federal agencies are responsible for initiating Section 106 review, most of which takes place between the agency and State and tribal officials. Appointed by the governor, the State Historic Preservation Officer (SHPO) coordinates the State’s historic preservation program and consults with agencies during Section 106 review.

Agencies also consult with officials of federally recognized Indian tribes (herewith, “tribe”) when tribal lands or historic properties of significance to such tribes are involved. Some tribes have officially designated Tribal Historic Preservation Officers (THPOs), while others designate representatives to consult with agencies as needed. Contact information appears on the final pages of this guide.

To successfully complete Section 106 review, Federal agencies must:

- determine if Section 106 of NHPA applies to a given project and, if so, initiate the review;
- gather information to decide which properties in the project area are listed in or eligible for the National Register of Historic Places;
- determine how historic properties might be affected;
- explore alternatives to avoid or reduce harm to historic properties; and
- reach agreement with the SHPO/tribe (and the ACHP in some cases) on measures to deal with any adverse effects or obtain advisory comments from the ACHP, which are sent to the head of the agency.

THE NATIONAL REGISTER OF HISTORIC PLACES

The National Register of Historic Places is the Nation's official list of properties recognized for their significance in American history, architecture, archeology, engineering, and culture. It is administered by the National Park Service, which is part of the Department of the Interior. National Register properties include districts, sites, buildings, structures, and objects. They can be significant to a local community, a State, an Indian tribe, or the Nation as a whole.

In order to be considered during Section 106 review, a property must either be already listed in the National Register or be eligible for listing. A property is considered eligible when it meets specific criteria established by the National Park Service.

During Section 106 review, the Federal agency evaluates properties against those criteria and seeks the consensus of the SHPO/tribe regarding eligibility. (For more information, visit the National Register Web site at www.cr.nps.gov/nr.)

When historic properties will be harmed, Section 106 review usually ends with a legally binding agreement that establishes how the Federal agency will address the adverse effects. In the few cases where this does not occur, and the ACHP issues advisory comments, the head of the Federal agency must consider the comments in making a final decision.

The point of Section 106 review is not to stop projects. It is to ensure that Federal agencies fully consider historic preservation issues and the views of the public during project planning.

WHAT IS AN ADVERSE EFFECT?

In Section 106 review, a project is considered to adversely affect a historic property if it may alter the characteristics that qualify the property for inclusion in the National Register in a manner that would diminish the integrity of the property. Integrity is the ability of a property to convey its significance, based on its location, design, setting, materials, workmanship, feeling, and association.

Adverse effects can be direct or indirect. They include reasonably foreseeable impacts that may occur later in time, be farther removed in distance, or be cumulative. Typical examples of adverse effects are:

- Physical destruction or damage
- Alteration inconsistent with the Secretary of the Interior's Standards for the Treatment of Historic Properties (see www2.cr.nps.gov/tps/secstan1.htm for more information)
- Relocation of the property
- Change in the character of the property's use or setting
- Introduction of incompatible visual, atmospheric, or audible elements
- Neglect and deterioration
- Transfer, lease, or sale out of Federal control without adequate preservation restrictions



DETERMINING FEDERAL INVOLVEMENT



Citizen participation in the Section 106 process balances preservation with ongoing uses of historic properties, as demonstrated at the Makua Military Reservation in Hawaii. Rich in archeological resources, the site is used by the U.S. Army for live ammunition fire training.

If you are concerned about a proposed project and wondering whether Section 106 applies, you must first determine whether the Federal Government is involved. Will a Federal agency fund or carry out the project? Is a Federal permit, license, or approval needed? Section 106 applies only if a Federal agency is taking an action, so confirming Federal involvement is key.

IS THERE FEDERAL INVOLVEMENT?

Consider the possibilities:

- Is a federally owned or federally controlled property involved, such as a military base, park, forest, office building, post office, or courthouse? Is the agency proposing a project on its land, or would it have to provide a right-of-way or other approval to a private company for a project such as a pipeline or mine?
- Is the project receiving Federal funds, grants, or loans? If it is a transportation project, frequent sources of funds are the Federal Highway Administration, the Federal Transit Administration, and the Federal Aviation Administration (for airport improvements). Many local government projects receive funds from the Department of Housing and Urban Development. The Federal Emergency Management Agency provides funds for disaster relief.
- Does the project require a Federal permit, license, or other approval? Often housing developments impact wetlands, so a Corps of Engineers permit may be required. Airport projects frequently require approvals from the Federal Aviation Administration. Many communications activities, including cellular tower construction, are licensed by the Federal Communications Commission. Hydropower and pipeline development requires approval from the Federal Energy Regulatory Commission. Creation of new bank branches must be approved by the Federal Deposit Insurance Corporation.



Sometimes Federal involvement is obvious. More often, the answer is not immediately apparent. If you have a question, contact the project sponsor to obtain additional information and to inquire about Federal involvement. All Federal agencies have Web sites, many listing regional or local contacts and information on major projects. The SHPO/tribe, State or local planning commissions, or statewide historic preservation organizations may also have project information.



Under a Section 106 agreement, the U.S. Army Corps of Engineers dismantled and stored one of the Nation's last historic Waddell A-Truss bridges to save it from flood damage during construction of Smithville Lake in Missouri. Collaborative efforts led to its reconstruction in a local riverside park.

Once you have identified the responsible Federal agency, write to the agency to request a project description and inquire about the status of project planning. Ask how the agency plans to comply with Section 106 and begin to voice your concerns. Keep the SHPO/tribe advised of your interest and contacts with the Federal agency.

MONITORING FEDERAL ACTIONS

The earlier you learn about proposed Federal actions, the greater your chance of influencing the outcome of Section 106 review.

- Learn more about the history of your neighborhood, city, or State. Join a local or statewide preservation, historical, or archeological organization. These organizations are often the ones first contacted by Federal agencies.
- If there is a clearinghouse that distributes information about local, State, tribal, and Federal projects, make sure you or your organization is on their mailing list.
- Make the SHPO or tribe aware of your interest.
- Become more involved in State and local decision making. Ask about the applicability of Section 106 to projects under State, tribal, or local review. Does your State, tribe, or community have preservation laws in place? If so, become knowledgeable about and active in the implementation of these laws.
- Review the local newspaper for notices about projects being reviewed under other Federal statutes, especially the National Environmental Policy Act (NEPA). Under NEPA, a Federal agency must determine if its proposed actions will significantly impact the environment. Usually, if a Federal agency is analyzing a project's environmental impacts under NEPA, then it must also complete a Section 106 review.



WORKING WITH FEDERAL AGENCIES

Throughout Section 106 review, Federal agencies must consider the views of the public. This is particularly important when an agency is trying to identify historic properties that might be affected by a project and is considering ways to avoid or minimize harm. In either case, agencies must give the public a chance to learn about the project and provide their views.

How agencies publicize projects depends on the nature and complexity of the particular project and the agency's public involvement procedures. Public meetings are often noted in local newspapers and on television and radio. A daily Government publication, the Federal Register (available at many public libraries and online at www.access.gpo.gov), has notices concerning projects, including those being reviewed under the National Environmental Policy Act (NEPA). Federal agencies often use NEPA public outreach for purposes of Section 106 review.

Federal agencies also frequently contact museums and historical societies directly to learn about historic properties and community concerns. Let these organizations know of your interest.

When the agency provides you with information, let the agency know if you disagree with its findings regarding what properties are eligible for the National Register of Historic Places or how the proposed project may affect them. Tell the agency—in writing—about any important properties that you think have been overlooked or incorrectly evaluated. Be sure to provide documentation to support your views.

When the Federal agency releases information about project alternatives under consideration, make it aware of the options you believe would be most beneficial. To support alternatives that would preserve historic properties, be prepared to discuss costs and how well your preferred alternatives would meet project needs. Sharing success stories about the treatment or reuse of similar resources can be helpful.



U.S. Fish and Wildlife Service collaborated with the Chinook Tribe and Portland State University to interpret the Cathlapotle archeological site in Washington State. To foster better understanding of the site, the partners developed tours, an archeology festival, and educational programs. (photo: Kenneth Ames, Portland State University)

Applicants for Federal assistance or permits, and their consultants, often undertake research and analyses on behalf of a Federal agency. Be prepared to make your interests and views known to them, but remember that the Federal agency is ultimately responsible for completing Section 106 review. Make sure that you also convey your concerns directly to the Federal agency.

INFLUENCING PROJECT OUTCOMES



This once-elegant 1920s movie theater in Washington, DC, will be given new life as part of a neighborhood revitalization plan, thanks in part to local groups and preservation organizations who used the Section 106 review process to formally present their views to the city. (photo: Horning Brothers)

In addition to seeking the views of the public, Federal agencies must actively consult with certain organizations and individuals during review. This interactive consultation is at the heart of Section 106 review.

Consultation does not mandate a specific outcome. Rather, it is the process of seeking consensus about how project effects on historic properties should be handled. The organizations and individuals that Federal agencies must consult are called “consulting parties.”

To influence project outcomes, you may work through the consulting parties, particularly those who represent your interests. For instance, if you live within the local jurisdiction where a project is taking place, make sure to express your views on historic preservation issues to the local government officials who participate in consultation.

You or your organization, however, may want to take a more active role in Section 106 review, especially if you have a legal or economic interest in the project or the affected properties. You might also have an interest in the effects of the project as an individual, a business owner, or a member of a neighborhood association, preservation group, or other organization. Under these circumstances, you or your organization may write to the Federal agency asking to become a consulting party.

WHO ARE “CONSULTING PARTIES”?

The following parties are entitled to actively participate as consulting parties during Section 106 review:

- State Historic Preservation Officers
- Indian tribes
- Native Hawaiian organizations
- Local governments
- Applicants for Federal assistance, permits, licenses, and other approvals

Other individuals and organizations with a demonstrated interest in the project may participate in Section 106 review as consulting parties “due to the nature of their legal or economic relation to the undertaking or affected properties, or their concern with the undertaking’s effects on historic properties.” Their participation is subject to approval by the responsible Federal agency.



When requesting consulting party status, explain why you believe your participation would be valuable to successful resolution. Since the SHPO/tribe will assist the Federal agency in deciding who will participate in the consultation, be sure to provide the SHPO/tribe with a copy of your letter to the agency.



Local groups met with State agencies and city officials to discuss highway improvement plans to ease traffic congestion between Kentucky and Indiana. They expressed concern about the potential effect on sites such as the historic Swartz Farm.

The Federal agency makes the ultimate decision. However, if you are denied consulting party status, you may contact the ACHP to request a review of the matter.

Consulting party status entitles you to share your views, receive and review pertinent information, offer ideas, and consider possible solutions together with the Federal agency and other consulting parties. It is up to you to decide how actively you want to participate in consultation.

MAKING THE MOST OF CONSULTATION

Consultation will vary depending on the Federal agency's planning process and the nature of the project and its effects.

Often consultation involves diverse participants with a variety of concerns and issues, including preservation proponents as well as those who view historic properties as impediments.

Effective consultation occurs when you:

- keep an open mind;
- state your interests clearly;
- acknowledge that others have legitimate interests, and seek to understand and accommodate them;
- consider a wide range of options; and
- identify shared goals and seek options that allow mutual gain.

Creative ideas about alternatives—not complaints—are the hallmarks of effective consultation.



HOW THE ACHP CAN HELP



The closure of the old U.S. Mint in San Francisco, a National Historic Landmark that once housed one-third of the Nation's gold reserve, sparked significant public interest that resulted in several meetings where citizens voiced their opinions on the building's preservation and potential reuse.

Under Section 106 review, most harmful effects are addressed successfully by the Federal agency, the SHPO/tribe, and any other consulting parties. So, your first points of contact should always be the Federal agency and the SHPO/tribe. However, the ACHP can also assist with your questions and concerns.

When there is significant public controversy, or if the project will have substantial effects on important historic properties, the ACHP may elect to participate directly in the consultation. The ACHP may also decide to get involved if important policy questions are raised or if there are issues of concern to Indian tribes or Native Hawaiian organizations.

Whether the ACHP becomes involved in consultation or not, you may contact the ACHP to express your views or to request guidance, advice,

or technical assistance. Regardless of the scale of the project or the magnitude of its effects, the ACHP is available to assist with dispute resolution and advise on the conduct of Section 106 decision making.

If you disagree with the Federal agency regarding which historic properties are affected by a project or how they will be impacted, contact the ACHP. The ACHP may then advise the Federal agency to change its findings.

CONTACTING THE ACHP: A CHECKLIST

When you contact the ACHP, try to have the following information available:

- the name of the responsible Federal agency and how it is involved;
- a description of the project;
- the historic properties involved; and
- a clear statement of your concerns about the project and its effect on historic properties.

If you suspect Federal involvement but have been unable to verify it, or if you believe that the Federal agency or one of the other participants in review has not fulfilled its responsibilities under the ACHP's regulations, you can ask the ACHP to investigate. In either case, be as specific as possible.



WHEN AGENCIES DON'T FOLLOW THE RULES

Federal agencies must conclude Section 106 review before project funds are approved or permits issued. They must not sign contracts or take other actions that would preclude consideration

of the full range of alternatives to avoid or minimize harm to historic properties before Section 106 review is complete.

If the agency acts without properly completing Section

106 review, the ACHP can issue a finding that the agency has foreclosed the possibility of meaningful review of the project. This means that, in the ACHP's opinion, the agency has failed to comply with Section 106 and therefore has not met the requirements of Federal law.

A vigilant public helps ensure that Federal agencies comply fully with Section 106. In response to requests, the ACHP can investigate questionable actions and advise agencies to do what is required. As a last resort, preservation groups or individuals can litigate in order to enforce Section 106.



Preservation advocates' involvement with plans to widen Paris Pike, a historic road in the heart of Kentucky's bluegrass region, encouraged highway officials to add landscape architects and preservationists to the design team. The result is a road that's both efficient and in context with its setting.

FOLLOWING THROUGH

Designed to accommodate project needs and historic values, Section 106 review needs strong public participation if it is to be meaningful. Section 106 review can—and does—permit the public to influence how Federal actions affect historic properties. By keeping abreast of Federal involvement, participating in consultation, and knowing when and whom to ask for help, you can play an active role in deciding the future of your community.

Section 106 review gives you a chance to weigh in when Federal actions will affect historic properties you care about. Seize that chance and make a difference!



The Confederate submarine *H.L. Hunley*, which successfully completed the world's first submarine attack on a surface ship, was raised from the ocean floor through funding by an unprecedented collaboration among Federal and State agencies, private-sector organizations, corporations, and individuals. (photo: *Friends of the Hunley, Inc.*)

CONTACT INFORMATION

ADVISORY COUNCIL ON HISTORIC PRESERVATION

Office of Federal Agency Programs
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Washington, DC 20004
Phone: (202) 606-8503
Fax: (202) 606-8647
E-mail: achp@achp.gov
Web site: www.achp.gov

The ACHP's Web site includes "Working with Section 106" and contact information for Federal agencies, SHPOs, and THPOs.

The ACHP's Colorado office handles most Section 106 reviews in the western States:

12136 West Bayaud Avenue, Suite 330
Lakewood, CO 80228
Phone: (303) 969-5110
Fax: (303) 969-5115

NATIONAL TRUST FOR HISTORIC PRESERVATION

1785 Massachusetts Avenue, NW
Washington, DC 20036
Phone: (800) 944-6847 or (202) 588-6000
Fax: (202) 588-6038
Web site: www.nationaltrust.org

The National Trust has regional offices in San Francisco, Denver, Fort Worth, Chicago, Boston, and Charleston.

NATIONAL CONFERENCE OF STATE HISTORIC PRESERVATION OFFICERS

444 N. Capitol Street, NW, Suite 342
Washington, DC 20001-7572
Phone: (202) 624-5465
Fax: (202) 624-5419
Web site: www.ncshpo.org

NATIONAL ASSOCIATION OF TRIBAL HISTORIC PRESERVATION OFFICERS

P.O. Box 19189
Washington, DC 20036-9189
Phone: (202) 628-8476
Fax: (202) 628-2241
Web site: www.nathpo.org

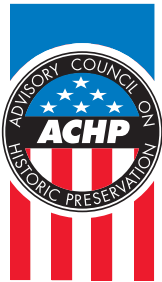
NATIONAL PARK SERVICE

Heritage Preservation Services
1201 Eye Street, NW, 2255
Washington, DC 20005
Phone: (202) 513-7270
Web site: www2.cr.nps.gov

National Register of Historic Places
1201 Eye Street, NW
8th Floor (MS 2280)
Washington, DC 20005
Phone: (202) 354-2213
Web site: www.cr.nps.gov/nr



The 1882 Beehive Building, a component of the National Historic Landmark District at Ft. Leavenworth, Kansas, was originally used as troop and family quarters. The Army converted the badly deteriorated building to house the high-tech National Simulation Center.



ADVISORY COUNCIL ON HISTORIC PRESERVATION

TO LEARN MORE

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