## DEPARTMENT OF THE TREASURY

### Office of the Secretary

**[Supplement to Department Circular; Public Debt Series—N. 30-83]**

### Bonds of 2003; Interest Rate

September 23, 1983.

The Secretary announced on September 22, 1983, that the interest rate on the bonds designed Bonds of 2003, described in Department Circular—Public Debt Series—No. 30-83, dated September 14, 1983, will be 11⅞ percent. Interest on the bonds will be payable at the rate of 11⅞ percent per annum.

**Carole J. Dineen,**

*Fiscal Assistant Secretary.*

[FR Doc. 83-26507 Filed 9-28-83; 8:45 am]

BILLING CODE 4810-40-M

# Sunshine Act Meetings

Federal Register
Vol. 48, No. 190
Thursday, September 29, 1983

This section of the FEDERAL REGISTER contains notices of meetings published under the "Government in the Sunshine Act" (Pub. L. 94-409) 5 U.S.C. 552b(e)(3).

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**COMMODITY FUTURES TRADING COMMISSION**

**TIME AND DATE:** 10 a.m., Tuesday, October 4, 1983.

**PLACE:** 2033 K Street NW., Washington, D.C., Fifth floor hearing room.

**STATUS:** Open.

**MATTERS TO BE CONSIDERED:**

Agriculture Options—Proposed Rules.

**CONTACT PERSON FOR MORE INFORMATION:** Jane Stuckey, 254-6314.

[S-1376-83 Filed 9-27-83; 2:07 pm]

BILLING CODE 6351-01-M

2

**EQUAL EMPLOYMENT OPPORTUNITY COMMISSION**

**DATE AND TIME:** Tuesday, October 4, 1983, 9:30 a.m. (eastern time).

**PLACE:** Commission Conference Room No. 200, second floor, Columbia Plaza Office Building, 2401 E. Street NW., Washington, D.C. 20506.

**STATUS:** Part will be open to the public and part will be closed to the public.

**MATTERS TO BE CONSIDERED:**

1. Announcement of Notation Votes.
2. Report on Commission Operations (Optional).
3. Freedom of Information Act Appeal No. 83-06-FOIA-132-MK, concerning a request for a confidential witness statement from a charge file.
4. Freedom of Information Act Appeal No. 83-7-FOIA-107-SL, concerning a request to identify information on witnesses in an investigation.
5. Freedom of Information Act Appeal No. 83-08-FOIA-160-PA, concering a request for a Title VII charge file.
6. Compliance Manual, Section 605, Title VII Jurisdiction.
7. Proposed Contract for the Kentucky Commission on Human Rights.
8. Proposed Management Directive 711A, Affirmative Action for Hiring, Placement, and Advancement of Handicapped Individuals.

*Closed:*

1. Litigation Authorization; General Counsel Recommendations.
2. Proposed Withdrawal of Commissioner Charges.

**Note.**—Any matter not discussed or concluded may be carried over to a later meeting. (In addition to publishing notices of EEOC Commission meetings in the **Federal Register**, the Commission also provides recorded announcements a full week in advance on future Commission sessions. Please telephone (202) 634-6748 at all times for information on these meetings.)

**CONTACT PERSON FOR MORE INFORMATION:** Treva McCall, Executive Secretary to the Commission at (202) 634-6748.

This Notice Issued September 27, 1983.

[S-1377-83 Filed 9-27-83; 4:04 pm]

BILLING CODE 4710-29-M

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**FEDERAL DEPOSIT INSURANCE CORPORATION**

**AGENCY MEETING**

Pursuant to the provisions of the "Government in the Sunshine Act" (5 U.S.C. 552b), notice is hereby given that at 3:45 p.m. on Friday, September 23, 1983, the Board of Directors of the Federal Deposit Insurance Corporation met in closed session, by telephone conference call, to consider a recommendation regarding the liquidation of certain assets acquired by the Corporation from City and County Bank of Knox County (In Liquidation), Knoxville, Tennessee, City and County Bank of Anderson County (In Liquidation), Lake City, Tennessee, City & County Bank of Washington County (In Liquidation), Johnson City, Tennessee, and United American Bank in Hamilton County (In Liquidation), Chattanooga, Tennessee (Case No. 45,784-L).

In calling the meeting, the Board determined, on motion of Chairman William M. Isaac, seconded by Director Irvine H. Sprague (Appointive), concurred in by Mr. Doyle L. Arnold, acting in the place and stead of Director C. T. Conover (Comptroller of the Currency), that Corporation business required its consideration of the matter on less than seven days' notice to the public; that no earlier notice of the meeting was practicable; that the public interest did not require consideration of the matter in a meeting open to public observation; and that the matter could be considered in a closed meeting pursuant to subsections (c)(4), (c)(6), and (c)(9)(B) of the "Government in the Sunshine Act" (5 U.S.C. 552b (c)(4), (c)(6), and (c)(9)(B)).

Dated: September 26, 1983.

Federal Deposit Insurance Corporation.

**Hoyle L. Robinson,**

*Executive Secretary.*

[S-1372-83 Filed 9-27-83; 12:01 pm]

BILLING CODE 6714-01-M

4

**FEDERAL DEPOSIT INSURANCE CORPORATION**

**AGENCY MEETING**

Pursuant to the provisions of the "Government in the Sunshine Act" (5 U.S.C. 552b), notice is hereby given that the Federal Deposit Insurance Corporation's Board of Directors will meet in open session at 2 p.m. on Monday, October 3, 1983, to consider the following matters:

Summary Agenda: No substantive discussion of the following items is anticipated. These matters will be resolved with a single vote unless a member of the Board of Directors requests that an item be moved to the discussion agenda.

Disposition of minutes of previous meetings.

Application for Federal deposit insurance incidental to withdrawal from the Federal Reserve System:

Valley State Bank, Yankton, South Dakota

Application for consent to purchase assets and assume liabilities and establish three branches:

Liberty Bank, Glendale, Arizona, an insured State nonmember bank, for consent to purchase the assets of and assume the liability to pay deposits made in three

branches of Southwest Savings and Loan Association, Phoenix, Arizona, and to establish the three branches of Southwest Savings and Loan Association as branches of Liberty Bank

Applications for consent to establish branches:

The Stockmen's Bank, Kingman, Arizona, for consent to establish a branch at the southeast corner of the intersection of Fourth and Lewis Streets, Ash Fork, Arizona

Commonwealth Bank, Torrance, California, for consent to establish a branch at 12616 Ventura Boulevard, Studio City, California

The Valley Bank and Trust Company, Bridgeport, Connecticut, for consent to establish a branch at 925 White Plains Road, Trumbull, Connecticut

Barnett Bank of the Keys, Tavernier, Florida, for consent to establish a branch at 31 Ocean Reef Drive, Key Largo, Florida

Triad Bank, Greensboro, North Carolina, for consent to establish branches at 917 East Bessemer Avenue, Greensboro, North Carolina, and at 3703 High Point Road, Greensboro, North Carolina

Applications for consent to establish remote service facilities:

Camarillo Community Bank, Camarillo, California, for consent to establish a remote service facility at 2309 Antonio Avenue, Camarillo, California

Cheshire County Savings Bank, Keene, New Hampshire, for consent to establish remote service facilities at the Marlow Grocery Store, off Route 10, Marlow, New Hampshire, and at the South Village Store, Route 63, Westmoreland, New Hampshire

Northwest Bank & Trust Company, Davenport, Iowa, for consent to establish three remote service facilities in Geifman Food Stores located at Northgate Plaza at Kimberly and Eastern; 1646 West Kimberly Road; and 3021 Rockingham Road, all in Davenport, Iowa

Application for consent to relocate the main office and to establish a branch:

University Bank of Wichita, Wichita, Kansas, for consent to relocate its main office to Twenty First and Woodlawn, Plaza Twenty-one, and to establish a branch at 1741 North Hillside (the present main office site), both within Wichita, Kansas

Application for consent to relocate a branch:

Westlands Bank, Santa Ana, California, for consent to relocate its Santa Clara County Regional Lending Branch from 1701 South Bascom Avenue to 1901 South Bascom Avenue, Suite 500, Campbell, California

Request for an exemption pursuant to section 348.4(b)(1) of the Corporation's rules and regulations:

The Harbor Bank of Maryland, Baltimore, Maryland

Recommendations regarding the liquidation of a bank's assets acquired by the Corporation in its capacity as receiver, liquidator, or liquidating agent of those assets:

Case No. 45,777-L First National Bank of Oak Lawn, Oak Lawn, Illinois

Memorandum and Resolution re: The Madison County Bank, Fredericktown, Missouri

Memorandum and Resolution re: Penn Square Bank, National Association, Oklahoma City, Oklahoma

Reports of committees and officers:

Minute of actions approved by the standing committees of the Corporation pursuant to authority delegated by the Board of Directors

Reports of the Division of Bank Supervision with respect to applications, requests, or actions involving administrative enforcement proceedings approved by the Director or an Associate Director of the Division of Bank Supervision and the various Regional Directors pursuant to authority delegated by the Board of Directors

Discussion Agenda:

No matters scheduled

The meeting will be held in the Board Room on the sixth floor of the FDIC Building located at 550 17th Street NW., Washington, D.C.

Requests for further information concerning the meeting may be directed to Mr. Hoyle L. Robinson, Executive Secretary of the Corporation, at (202) 389-4425.

Dated: September 26, 1983.

Federal Deposit Insurance Corporation.

**Hoyle L. Robinson,**

*Executive Secretary.*

[S-1373-83 Filed 9-27-83; 12:02 pm]

BILLING CODE 6714-01-M

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**FEDERAL DEPOSIT INSURANCE CORPORATION**

Agency Meeting

Pursuant to the provisions of the "Government in the Sunshine Act" (5 U.S.C. 552b), notice is hereby given that at 2:30 p.m. on Monday, October 3, 1983, the Federal Deposit Insurance Corporation's Board of Directors will meet in closed session, by vote of the Board of Directors, pursuant to sections 552b(c)(2), (c)(6), (c)(8), and (c)(9)(A)(ii) of Title 5, United States Code, to consider the following matters:

Summary Agenda: No substantive discussion of the following items is anticipated. These matters will be resolved with a single vote unless a member of the Board of Directors requests that an item be moved to the discussion agenda.

Recommendations with respect to the initiation, termination, or conduct of administrative enforcement proceedings (cease-and-desist proceedings, termination-of-insurance proceedings, suspension or removal proceedings, or assessment of civil money penalties) against certain insured banks or officers, directors, employees, agents or other persons participating in the conduct of the affairs thereof:

Names of persons and names and locations of banks authorized to be exempt from disclosure pursuant to the provisions of subsections (c)(6), (c)(8), and (c)(9)(A)(ii) of the "Government in the Sunshine Act" (5 U.S.C. 552b(c)(6), (c)(8), and (c)(9)(A)(ii)).

**Note.**—Some matters falling within this category may be placed on the discussion agenda without further public notice if it becomes likely that substantive discussion of those matters will occur at the meeting.

Discussion Agenda:

Application for consent to establish a branch:

Provident Savings Bank, Jersey City, New Jersey, for consent to establish a branch at 2461 Livingston Street, Northvale, New Jersey.

Application for consent to exercise limited trust powers:

The Binghamton Savings Bank, Binghamton, New York.

Personnel actions regarding appointments, promotions, administrative pay increases, reassignments, retirements, separations, removals, etc.:

Names of employees authorized to be exempt from disclosure pursuant to provisions of subsections (c)(2) and (c)(6) of the "Government in the Sunshine Act" (5 U.S.C. 552b(c)(2) and (c)(6)).

The meeting will be held in the Board Room on the sixth floor of the FDIC Building located at 550 17th Street, NW., Washington, D.C.

Requests for further information concerning the meeting may be directed to Mr. Hoyle L. Robinson, Executive Secretary of the Corporation, at (202) 389-4425.

Dated: September 26, 1983.

Federal Deposit Insurance Corporation.

**Hoyle L. Robinson,**

*Executive Secretary.*

[S-1374-83 Filed 9-27-83; 12:02 pm]

BILLING CODE 6714-01-M

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**FEDERAL MINE SAFETY AND HEALTH REVIEW COMMISSION**

**TIME AND DATE:** 10 a.m., Wednesday, October 5, 1983.

**PLACE:** Room 600, 1730 K Street NW., Washington, D.C.

**STATUS:** Open.

**MATTERS TO BE CONSIDERED:** The Commission will hear oral argument on the following:

1. Old Dominion Power Company, Docket Nos. VA 81-40-R and VA 81-65. (Issues include whether the utility company is an "operator," under the circumstances of the case, subject to the coverage of the Mine Act.)

* * * * *

**TIME AND DATE:** Following oral argument, October 5, 1983.

**STATUS:** Closed (Pursuant to 5 U.S.C. 552(c)(10)).

**MATTERS TO BE CONSIDERED:** The Commission will consider and act upon the above listed case.

**CONTACT PERSON FOR MORE INFORMATION:** Jean Ellen, (202) 653-5632.

[S-1371-83 Filed 9-27-83; 11:19 am]

BILLING CODE 6735-01-M

7

**NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES**

**AGENCY:** Institute of Museum Services.

**ACTION:** Notice of meeting.

**SUMMARY:** This notice sets forth the agenda of a forthcoming meeting of the National Museum Services Board. This notice also describes the functions of the Board. Notice of this meeting is required under the Government in the Sunshine Act (Pub. L. 94-409) and regulations of the Institute of Museum Services 34 CFR 64.74.

**DATE:** October 14, 1983.

**ADDRESS:** Conference Room M07, Old Post Office Building, 1100 Pennsylvania Avenue NW., Washington, D.C.

**FOR FURTHER INFORMATION CONTACT:** Sara Traut, Special Assistant to the Director for Management and Budget, Institute of Museum Services, 1100 Pennsylvania Avenue, NW., Washington, D.C. (202) 786-0536.

**SUPPLEMENTARY INFORMATION:** The National Museum Services Board is established under the Museum Services Act which is the Arts, Humanities, and Cultural Affairs Act of 1976, Pub. L. 94-462. The Board has the responsibility for the general policies with respect to the powers, duties and authorities vested in the Institute under this title. Grants are awarded by the Institute of Museum Services after review by the Board.

The meeting of the Board is open to the public on October 14, 1983 from 10 a.m. to 4:30 p.m. The agenda for the meeting on October 14, 1983 will be as follows:

I. Director's Report
II. Review of 1983 Awards
III. Regulatory Issues
IV. Review of 1984 Application Packages/Schedule
V. SP Contract
VI. Conservation
VII. Other Business

**Susan Phillips,**

*Director-Designate.*

[S-1375-83 Filed 9-27-83; 2:02 pm]

BILLING CODE 4000-02-M

federal register

Thursday
September 29, 1983

## Part II

# Environmental Protection Agency

**Standards of Performance for New Stationary Sources; Alternative Sampling Procedures for Sulfuric Acid Plants**

**ENVIRONMENTAL PROTECTION AGENCY**

**40 CFR Part 60**

**[AD-FRL 2387-5]**

## Standards of Performance for New Stationary Sources; Alternative Sampling Procedures for Sulfuric Acid Plants

**AGENCY:** Environmental Protection Agency, EPA.

**ACTION:** Final rule.

**SUMMARY:** Alternative procedures for determining $SO_2$ or sulfuric acid mist air pollutant emission rates based on measurements of $O_2$ and $SO_2$ or acid mist concentrations in sulfuric acid plant exhaust were proposed in the **Federal Register** July 16, 1982 (47 FR 31012). This action promulgates revisions to new stationary source performance standards which would allow use of the alternatives for sulfuric acid plants that oxidize elemental sulfur or oxidize ore that contains elemental sulfur. The procedures may be used for emission monitoring calculations or for determining emission rates using the reference methods.

**EFFECTIVE DATE:** September 29, 1983.

Under Section 307(b)(1) of the Clean Air Act, judicial review of this revision is available *only* by the filing of a petition for review in the U.S. Court of Appeals for the District of Columbia Circuit within 60 days of today's publication of this rule. Under Section 307(b)(2) of the Clean Air Act, the requirements that are the subject of today's notice may not be challenged later in civil or criminal proceedings brought by EPA to enforce these requirements.

**ADDRESSES:** *Docket.* A docket, number A-82-03, containing information considered by EPA in revising the regulation, is available for public inspection between 8:00 a.m. and 4:00 p.m., Monday through Friday, at EPA's Central Docket Section (LE-131), West Tower Lobby, Gallery 1, 401 M Street SW., Washington, D.C. 20460. A reasonable fee may be charged for copying.

**FOR FURTHER INFORMATION CONTACT:** Mr. Roger T. Shigehara, Emission Measurement Branch, Emission Standards and Engineering Division (MD-19), U.S. Environmental Protection Agency, Research Triangle Park, North Carolina 27711, telephone (919) 541-2237.

**SUPPLEMENTARY INFORMATION:**

### Public Participation

Revisions to Subpart H of 40 CFR Part 60 for sulfuric acid plants were proposed and published on July 16, 1982, in the **Federal Register** (47 FR 31012). Public comments were solicited at the time of proposal. The public comment period was from July 16, to September 14, 1982.

Two comment letters were received concerning issues relative to the proposed revisions. The comments have been carefully considered, and where determined to be appropriate by the Administrator, changes have been made in the proposed revisions.

### Significant Comments and Changes to the Proposed Regulation Revisions

Comments on the proposed revisions to Subpart H of 40 CFR Part 60 were received from industrial representatives. The comments and EPA's responses serve as the basis for the changes made to the revisions between proposal and promulgation. The comments discussed in this preamble are the major comments and are summarily addressed.

Both commenters were concerned that the applicability of the revisions be defined clearly. One commenter felt that clearer language was needed to define for which plant types the revisions would be most appropriate. Another comment concerned the possible use of supplemental oxygen in sulfuric acid plants negating the use of the alternative procedure.

The applicability section of the revisions has been changed to emphasize the types of plants for which the alternative procedures would be applicable and those for which the procedures would not be applicable.

One commenter noted several minor errors in the equations of the revisions that required corrections. These corrections were made.

### Docket

The docket is an organized and complete file of all the information considered by EPA in the development of this rulemaking. The docket is a dynamic file, since material is added throughout the rulemaking development. The docketing system is intended to allow members of the public and industries involved to identify and locate documents so that they can effectively participate in the rulemaking process. Along with the basis and purpose of the proposed and promulgated revisions and EPA responses to significant comments, the contents of the docket will serve as a record in case of judicial review (except for interagency review materials (Section 307(d)(7)(A)).

### Miscellaneous

Under Executive Order 12291, EPA must judge whether a regulation is "major" and, therefore, subject to the requirement of a regulatory impact analysis. The regulation is not major because it will not have an annual effect on the economy of $100 million or more; it will not result in a major increase in costs or prices; and there will be no significant adverse effects on competition, employment, investment, productivity, innovation, or on the ability of U.S.-based enterprises to compete with foreign enterprises in domestic or export markets.

Pursuant to the provisions of 5 U.S.C. 605(b), I hereby certify that the attached rule will not have any economic impact on a substantial number of small entities, because the revisions do not impose any additional test cost. In fact, in some cases, costs may be reduced.

This rulemaking is issued under the authority of sections 111, 114, and 301(a) of the Clean Air Act, amended (42 U.S.C. 7411, 7414, and 7601(a)).

### List of Subjects in 40 CFR Part 60

Air pollution control, Aluminum, Ammonium sulfate plants, Asphalt, Cement industry, Coal Copper, Electric power plants, Glass and glass products, Grains, Intergovernmental relations, Iron, Lead, Metals, Metallic Minerals, Motor vehicles, Nitric acid plants, Paper and paper products industry, Petroleum, Phosphate, Sewage disposal, Steel Sulfuric acid plants, Waste treatment and disposal, Zinc, Tires, Incorporation by reference, Can surface coating, Sulfuric acid plants.

Dated: September 22, 1983.

**William D. Ruckelshaus,**

*Administrator.*

## PART 60—[AMENDED]

Subpart H of 40 CFR Part 60 is amended as follows:

1. By adding a paragraph (d) to § 60.84 as follows:

**§ 60.84 Emission monitoring.**

* * * * *

(d) Alternatively, a source that processes elemental sulfur or an ore that contains elemental sulfur and uses air to supply oxygen may use the following continuous emission monitoring approach and calculation procedures in determining $SO_2$ emission rates in terms of the standard. This procedure is not required, but is an alternative that would alleviate problems encountered

in the measurement of gas velocities or production rate. Continuous emission monitoring of $SO_2$, $O_2$, and $CO_2$ (if required) shall be installed, calibrated, maintained, and operated by the owner or operator and subjected to the certification procedures in Performance Specifications 2 and 3. The calibration procedure and span value for this $SO_2$ monitor shall be as specified in paragraph (b) of this section. The span value for $CO_2$ (if required) shall be 10 percent and for $O_2$ shall be 20.9 percent (air). A conversion factor based on process rate data is not necessary. Calculate the $SO_2$ emission rate as follows:

$$E_{SO2} = C_{SO2} S \frac{1}{0.265 - 0.0126(O_2) - A(CO_2)}$$

Where:

$E_{SO2}$ = $SO_2$ emission rate, kg/t acid (lb/ton acid).

$C_{SO2}$ = $SO_2$ concentration, kg/dscm (lb/dscf) (see table below).

S = Acid production rate factor.
= 368 dscm/t acid for metric units.
= 11800 dscf/ton acid for English units.

$O_2$ = $O_2$ concentration, percent.

A = Auxiliary fuel factor.
= 0.00 for no fuel.
= 0.0226 for methane.
= 0.0217 for natural gas.
= 0.0196 for propane.
= 0.0172 for #2 oil.
= 0.0161 for #6 oil.
= 0.0148 for coal.
= 0.0126 for coke.

$O_2$ = $CO_2$ concentration, percent.

**Note.**—It is necessary in some cases to convert measured concentration units to other units for these calculations:

Use the following table for such conversions:

| From— | To— | Multiply by— |
|---|---|---|
| g/scm | kg/scm | $10^{-3}$ |
| mg/scm | kg/scm | $10^{-6}$ |
| ppm ($SO_2$) | kg/scm | $2.660 \times 10^{-6}$ |
| ppm ($SO_2$) | lb/scf | $2.660 \times 10^{-7}$ |

2. By adding a paragraph (e) to § 60.85 as follows:

**§ 60.85 Test methods and procedures.**

* * * * *

(e) Alternatively, a source that processes elemental sulfur or an ore that contains elemental sulfur and uses air to supply oxygen may use the $SO_2$, acid mist, $O_2$, and $CO_2$ (if required) measurement data in determining $SO_2$ and acid mist emission rates in terms of the standard. Data from the reference method tests as specified in (a) of this part are required; that is, Method 8 for $SO_2$ and acid mist and Method 3 for $O_2$ and $CO_2$. No determinations of production rate or total gas flow rate are necessary. Calculate the $SO_2$ and acid mist emission rate as described in § 60.84(d) substituting the acid mist concentration for $C_{SO2}$ as appropriate.

[FR Doc. 83-26378 Filed 9-28-83; 8:45 am]
BILLING CODE 6560-50-M

federal register

Thursday
September 29, 1983

Part III

# Department of Energy

## Bonneville Power Administration

## Proposed Customer Service Policy; Request For Comments

## DEPARTMENT OF ENERGY

### Bonneville Power Administration

### Proposed Customer Service Policy; Request for Comments

**AGENCY:** Bonneville Power Administration (BPA), DOE.

**ACTION:** Notice of Proposed Customer Service Policy and request for comments. *File Number:* CSP-1.

**SUMMARY:** Under the Bonneville Project Act of 1937 and subsequent legislation, the Bonneville Power Administration is responsible for marketing power from Federal dams and other resources in the Pacific Northwest. BPA must assure the widest possible use and reasonable outlets for the electricity it markets. In fulfillment of this responsibility, BPA has provided a high-voltage power grid which transmits bulk power from Northwest generating facilities to the utilities and other customers which buy power from BPA.

BPA's Customer Service Policy defines the divisions of responsibility between BPA and its customers for providing facilities which link BPA's transmission system with the distribution systems or other facilities of BPA customers.

On June 15, 1982, BPA published notice of an intent to revise its Customer Service Policy, and requested recommendations on that revision. BPA has now considered the recommendations it has received, and proposes the revised Customer Service Policy printed below. BPA requests comments on this proposed policy.

The major changes in the revised Customer Service Policy include: (1) An expanded scope, covering BPA facilities provided for all customer groups; (2) a shift in the financial and construction role to customers in adding capacity at existing and constructing new distribution substations; (3) elimination of the feasibility test as a means of assuring cost recovery; (4) promotion of better joint, one-utility long-range planning between BPA and customers; and (5) allowance, under certain situations, of customer construction of facilities of BPA expense.

*Responsible Official:* Mr. Thomas M. Noguchi, Director, Division of Customer Service, is now the official responsible for development of the Customer Service Policy.

**EFFECTIVE DATES:** BPA will accept comments on the proposed Customer Service Policy through November 15, 1983. Written comment should be postmarked no later than that date. BPA expects to publish the final Customer Service Policy in early 1984.

BPA will hold Public Information and Comment Forums on the proposed policy at the dates and locations listed below. At each location, BPA will hold a Public Information Forum to describe the proposed policy and answer questions, followed by a Public Comment Forum at which formal comments will be received for the record. Registration for Public Information Forums is from 9:30 a.m. to 10 a.m. Public Information Forums are from 10 a.m. to noon. Registrations for Public Comment Forums is 1 p.m. to 1:30 p.m. Public Comment Forums are from 1:30 p.m. to 4 p.m.

Thursday, October 27, 1983, at Ron's 19th Hole, Veteran's Memorial Golf Course, 201 E. Rees, Walla Walla, Washington.

Friday, October 28, 1983, at Burley Inn, 800 N. Overland Avenue, Burley, Idaho.

Monday, October 31, 1983, at Cavanaugh's, Clearwater Room, North 700 Division, Spokane, Washington.

Tuesday, November 1, 1983, at Red Lion Village Inn, Blackfoot Room, 100 Madison, Missoula, Montana.

Thursday, November 3, 1983, at Room 464, BPA Headquarters, 1002 NE. Holladay, Portland, Oregon.

Friday, November 4, 1983, at Doubletree Plaza Hotel, Scottsdale Room, 16500 South Center Parkway, Tukwila, Washington.

**ADDRESSES:** Submit written comments to Ms. Donna L. Geiger, Public Involvement, P.O. Box 12999, Portland, Oregon 97212.

**FOR FURTHER INFORMATION, CONTACT:** Ms. Donna L. Geiger, Public Involvement Manager, at the above address, 503-230-3478. Oregon callers may use 800-452-8429; callers in California, Idaho, Montana, Nevada, Utah, Washington, and Wyoming may use 800-547-6048. Information may also be obtained from:

Mr. George Gwinnutt, Lower Columbia Area Manager, Suite 288, 1500 Plaza Building, 1500 NE. Irving Street, Portland, Oregon 97232, 503-230-4551.

Mr. Ladd Sutton, Eugene District Manager, Room 206, 211 East Seventh Avenue, Eugene, Oregon 97401, 503-687-6952.

Mr. Ronald H. Wilkerson, Upper Columbia Area Manager, Room 561, West 920 Riverside Avenue, Spokane, Washington 99201, 509-456-2581.

Mr. George E. Eskridge, Montana District Manager, 800 Kensington, Missoula, Montana 59801, 406-329-3860.

Mr. Ronald K. Rodewald, Wenatchee District Manager, P.O. Box 741, Wenatchee, Washington 98801, 509-662-4377, extension 379.

Mr. Richard D. Casad, Puget Sound Area Manager, 415 First Avenue North, Room 250, Seattle, Washington 98109, 206-442-4130.

Mr. Thomas Wagenhoffer, Snake River Area Manager, West 101 Poplar, Walla Walla, Washington 99362, 509-525-5500, extension 701.

Mr. Robert N. Laffel, Idaho Falls District Manager, 531 Lomax Street, Idaho Falls, Idaho 83401, 208-523-2706.

Mr. Fred Rettenmund, Boise District Manager, Owyee Plaza Suite 245, 1109 Main Street, Boise, Idaho 83707, 208-334-9137.

**SUPPLEMENTARY INFORMATION:**

#### Background

BPA's Customer Service Policy was last revised informally in 1976. Traditionally, the policy has outlined the division of responsibility between BPA and its preference customers in providing substations and related facilities. The present proposed Customer Service Policy revision expands the scope of the policy to include service to other BPA customer classes and provision of transmission facilities by BPA to customers' load areas.

#### Development of the Proposed Customer Service Policy

BPA announced its intent to revise the Customer Service Policy in the **Federal Register** on June 15, 1982. In September 1982, BPA held workshops on the Customer Service Policy revision in eight Northwest cities. BPA accepted recommendations on the policy revision from interested parties through November 20, 1982. Written recommendations were received from 31 parties. Since November 1982, BPA has remained in contact with various BPA customers and customer groups, and has continued to receive informal recommendations on the Customer Service Policy revision. All recommendations received have been considered in preparing this proposed policy.

Copies of written recommendations received to date and summarized notes of the Customer Service Policy workshops are available from the Public Involvement office at the address above.

This **Federal Register** notice contains the proposed CSP policy and attendant guidelines. Appendices to the proposed policy, excepting Appendix A, are available from the BPA Public Involvement office or from any BPA Area or District office at the addresses listed above. Appendix A, Definitions, is found at the end of this Notice.

#### CSP Appendices

A. Definitions
B. Project Proposal—Short-Term Construction Plan
C. BPA Reliability Criteria and Standards—Planning Sections
D. Environmental Procedures

E. Project Lead Times
F. Typical Distribution Substation—Development Guidelines, Elevation and Plan Views, One-line Diagram.
G. Division of Responsibilities Letter Agreement

**Policy Completion Schedule**

BPA will receive comments on the proposed Customer Service Policy through November 15, 1983. Public Comment Forums will be held in six Northwest cities at times and locations listed above.

Following closure of the public comment period, BPA will prepare a Staff Evaluation of the record which will present staff recommendations to the BPA Administrator. The Administrator will then determine the final policy, and will document his decision in a Record of Decision. BPA expects to publish the final policy in the **Federal Register** in early 1984.

**Compliance with National Environmental Policy Act**

NEPA procedures must ensure that environmental information is available to public officials and citizens before decisions are made and before actions are taken. BPA has undertaken a review of the proposed CSP to determine the level of NEPA documentation that is necessary in this case. Appropriate environmental review under DOE's NEPA guidelines will be prepared and integrated into the development of the proposed policy, and will be available before the final policy is decided upon.

**Reasons for Customer Service Policy Revision**

The 1962 CSP dealt only with BPA's largest customer class, the preference customers. Preference customers are those publicly owned utilities (i.e., PUD's, Cooperatives, Municipalities) that provide electrical service to approximately one-half of the consumers in the Pacific Northwest. Each preference customer is unique in terms of size, electrical load, and geographical characteristics. For example, some customers serve densely populated urban areas, while others serve sparsely populated rural areas. Further, some customers are located close to power plants, thus requiring a minimum of transmission facilities, while other customers are located at some distance from power plants, requiring much more extensive transmission facilities. The goal of the CSP was to provide a similar level of service for each of BPA's preference customers in the face of these differences.

The CSP was unofficially revised and updated in 1976. However, the scope was still limited to preference customers, and the policy focused only on distribution substations and related facilities. BPA's relationships with other classes of customers and other transmission facilities were not addressed.

Even within the context of service to preference customers, the existing policy has been difficult to apply consistently to all customers. Certain provisions, such as the feasibility test discussed below, have caused some customers to express dissatisfaction with their service. In other areas, more detail has been needed to allow consistent application of the policy.

In addition, customers have stressed the importance of retaining sufficient flexibility in the policy to allow practical resolution of individual utilities' unique problems.

**Major Revisions in Proposed CSP**

The revised CSP is designed to provide efficient and equitable services to all BPA customers. Two major features characterize the revised CSP. First, the scope is expanded, covering all customers and transmission facilities. Second, BPA's services and requirements have been described in detail, so utilities can use the policy as a tool in planning their own facility development. The level of detail provided will also help assure consistent application of the policy throughout BPA's service area.

*A. Expanded Scope*

The revised CSP deals with Direct Service Industries (DSI's), and Investor-Owned Utilities (IOU's) as well as preference customers.

Also, the revised CSP provides guidelines and criteria for all transmission facilities, not only distribution substations. Transmission lines, transmission line taps, and transformer additions are covered as well as distribution substations. The policy also describes the provision of facilities for wheeling. Wheeling is transmitting other utilities' energy over BPA lines. Finally, the revised CSP addresses BPA's participation in emergency operations should a customer suffer a transformer failure.

*B. Revised CSP as a Planning Tool*

BPA customers had expressed frustration with their inability to determine in advance what services BPA would provide for their systems. The proposed CSP revision contains sufficient detail to allow customers to employ the policy itself as a planning tool for future expansion projects involving BPA. The CSP outlines BPA's financial and construction responsibilities for a broad range of transmission facilities for different sizes and types of customers. Therefore, customers considering expansion projects can plan with knowledge of BPA's participation in the projects, minimizing uncertainty regarding the extent and timing of BPA's participation. The proposed policy will enhance customers' understanding of facility design, construction, operation, and maintenance standards that are required for BPA involvement. This will help them gauge the cost impact of these standards, and determine the overall project economies with more accuracy.

**Proposed CSP Structure**

The proposed CSP consists of a policy statement, guidelines, and appendices. The policy statement provides the foundation for the entire policy. The guidelines section provides the necessary detail to assist customers and BPA in policy interpretation, and maintain consistent application. The appendices provide further clarification in specific areas. They include Definitions, BPA Reliability Criteria and Standards, Environmental Implementation Procedures, and Construction Responsibilities. Copies of the Appendices are available from BPA at the locations listed under "Addresses."

**Goals of Proposed Policy**

*A. Provide Consistency and Flexibility in Relationship Between BPA and Customers*

The guidelines contained in the CSP establish the "groundrules" for BPA's involvement with its customers. These groundrules will help provide consistent levels of service. There can be exceptions to the guidelines; however, suitable justification must be provided for each exception.

*B. Institute One-Utility Planning Concept for all Customer Service Projects*

One-utility planning means that planning of future customer service projects will be done as if all facilities were owned by a single utility in a particular study or service area. This is the fundamental concept underlying the proposed policy revision. For planning purposes, there will be no distinction between BPA facilities and customer facilities. The actual division of construction and financial responsibilities will be done after the planning is completed. As a result of this

approach, the most efficient long-range plan will be developed with minimum overall cost and environmental impacts. This planning concept will encourage cooperation between BPA and its customers, thereby minimizing problems in the construction and operation phases.

*C. Emphasize BPA Mission*

The revised CSP closely adheres to the mandate of the Bonneville Project Act to BPA to encourage widespread electric use in the Pacific Northwest. Under the revised policy, BPA's mission of providing bulk power to the region's utilities, regardless of geographic location, is carried forth in the guidelines for financial and construction responsibilities. This is consistent with BPA's "postage stamp" rate concept, under which utilities are charged the same rate for energy regardless of their proximity to generation sources.

**Feasibility Test Eliminated**

The existing CSP contains a feasibility test as the yardstick to determine BPA's participation. Under this test, BPA would only construct facilities if the estimated gross revenues from the project would exceed the estimated annual costs of the project over a 10-year period. Since each utility customer is unique, this absolute criterion led to inconsistencies and penalized certain customers, particularly those located in remote areas.

In the proposed policy, the feasibility test is eliminated. BPA's participation in any project is generally determined by applying the one-utility planning concept, and is governed by restrictions on the facilities BPA will provide for any customer, articulated by customer class or contractual arrangement. Remotely located customers are no longer penalized, and will receive the same level of service as more proximate customers.

**Types of Transmission Facilities Provided by BPA**

The facilities involved in this policy are outlined below.

*A. Distribution Substations*

Distribution substations typically include a power transformer and both high and low voltage switching equipment. Generally, the low voltage switching equipment is the customer's responsibility.

*B. Transmission Lines*

Transmission lines, as opposed to distribution lines, are normally defined as those which transmit electrical energy at a minimum voltage of 115 kV. These lines carry the electrical energy to the distribution substations from generation sources.

*C. Transmission Taps*

A transmission tap is a direct connection to an existing transmission line. It generally includes protective switchgear.

*D. Revenue Metering Facilities*

Revenue metering facilities are required to record the exchange and/or delivery of electrical energy for billing purposes. Instrument transformers and meters are included in revenue metering facilities.

*E. Transformer Additions*

Transformation capacity can be added at existing distribution substations. This can usually be accomplished by increasing the size of a transformer or installing an additional transformer.

*F. Main Grid Substation Facilities*

In addition to its distribution substations, BPA has a number of large switching substations which interconnect lines within the high-voltage grid. Under the CSP, BPA will provide interconnections with customers' systems at main grid substations, if that is the most efficient way to serve customers.

**Conditions for BPA Facility Construction**

*A. Best Plan-of-Service Criteria*

The general construction plan for meeting the energy delivery needs of a customer is called a "plan-of-service." Under the one-utility planning process, appropriate BPA Area representatives and the customer will develop and evaluate plan-of-service alternatives for each service problem. This evaluation will determine the best plan-of-service. Criteria for determining the best plan-of-service include overall cost, reliability, environmental impact, etc. BPA's participation will be limited to the best plan-of-service. Within other limitations of the policy, the division of construction and financing responsibilities would depend upon the character of construction defined by the best plan-of-service. For example, if the best plan-of-service required transmission facilities (including distribution substations) to be constructed, BPA, as the transmission utility, would normally be responsible. Or, if the best plan-of-service required distribution facilities to be constructed, the customer, as the distribution utility, would be responsible.

*B. Facilities Provided by Customer Class*

1. Facilities for Power Sales Customers

Power sales customers are those preference customers, DSI's, and IOU's that purchase energy from BPA under long-term power sales contracts. BPA will normally construct transmission facilities, consistent with the best plan-of-service, for energy delivery to power sales customers. The following limitations apply to BPA's financial and construction responsibilities.

BPA will provide a maximum of 50 MVA transformer capacity, in either existing or new facilities, to all customers with less than 50 MW peak load. The customer is responsible for all additional transformer capacity. BPA intends to shift responsibility for building distribution substations from BPA (under existing policy) to the customers (under the proposed policy) because customers can frequently construct and finance such substations at lower costs. BPA will provide transformer capacity up to 50 MVA to help smaller customers develop sufficient rate bases to support construction of facilities greater than 50 MVA.

Consistent with existing BPA policy, BPA will not constuct transmission facilities within urban or other high load density areas.

Larger power sales customers will be responsible for a greater share of transmission line construction responsibilities. This limitation is based on the fact that larger customers generally have transmission facilities within their service area to serve their own loads. Therefore, costs for additional transmission facilities should be shared by the customer and BPA. However, regardless of the customer's increased responsibilities within their service area, BPA will still provide the necessary bulk power delivery facilities to their service areas.

2. Facilities for Wheeling Customers

Wheeling customers are utilities that transmit their own power over BPA transmission lines to their own customers. BPA will provide limited facilities for wheeling purposes. All costs will be borne by the wheeling customers.

3. Facilities for Special Situations

Some customers purchase power from BPA under short-term power sales contracts. For these customers, BPA will not specifically construct transmission facilities unless other regional benefits can be realized.

If BPA is asked to provide a convenience point of delivery (i.e., a facility not consistent with the best plan-of-service), the requesting customer will bear all of the associated direct and indirect costs.

## Customer Service Policy

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## Introduction

The main goal of the Customer Service Policy (CSP) is to provide the most efficient and equitable delivery of electrical energy from Bonneville Power Administration (BPA) through its customer utilities to the region's consumers. This policy will encourage both BPA and the region's utilities to work together in the development of the best plan-of-service under the one-utility concept, and to describe the financial and construction responsibilities for the implementation of the plan. The resulting policy is intended to provide the most efficient, fair division of responsibilities between BPA and its customer utilities for the construction of facilities for delivery of power to those utilities and to the ultimate consumers. The policy has been developed through the joint efforts of the region's utilities and BPA.

The CSP consists of a policy statement, guidelines, and appendices. The policy statement provides the foundation for the entire policy. All other statements must be consistent with this policy statement. The guidelines section provides the necessary detail to assist utilities and BPA in policy interpretation, and maintain consistent application. The appendices provide a further clarification of the policy statements and guidelines, with supplemental information regarding BPA's standards and policies. They include sections on Definitions, BPA Reliability Criteria and Standards, Environmental Implementation Procedures, and Construction Responsibilities.

Due to the detailed nature of certain sections, periodic revision of this document will be necessary. Whether or not a complete public involvement process is required for CSP modifications, the customer utilities shall be apprised of major changes and requested to comment. Minor changes to the guidelines and updates of the appendice shall be made by BPA and distributed to customer utilities.

## Customer Service Policy Statement

1. BPA provides services to its customers (power sales and wheeling) in accordance with the Bonneville Project Act, the Federal Columbia River Transmission System Act, and the Pacific Northwest Electric Power Planning and Construction Act. BPA will deliver the output from Federal generating plants and other acquired resources to its customers to achieve the greatest benefit to the Region's electric power consumers.

2. As a marketing agency, BPA's primary responsibility for delivery of power is to provide a reliable transmission system for the integration and delivery of bulk power to its customers in the Pacific Northwest. BPA will construct and finance transmission facilities for the delivery of bulk power to general service areas. BPA will not assume a utility's area transmission responsibility and will encourage larger utilities to develop the necessary interconnected transmission system.

3. Planning and construction of facilities by BPA will be based upon joint studies conducted by BPA and each customer to determine the best engineering, economic, and environmental plan-of-service based on the one-utility concept. Joint, one-utility, long-range planning will maximize economic efficiency, improve electrical system performance, and minimize environmental impacts.

4. BPA will be financially responsible for providing a limited amount of capacity for deliveries at distribution voltage levels for small utility power sales customers. This assistance to smaller utilities will enable them to develop the financial base necessary to provide the construction, operation, and maintenance of the facilities beyond the maximum level provided for by BPA.

5. BPA planning, construction, operation and maintenance of transmission lines and substations will be accomplished in accordance with applicable environmental legislation and in cooperation with Federal, State, and local governments, and concerned public.

## Customer Service Policy Guidelines

### *I. General*

The guidelines section of the Customer Service Policy (CSP) is intended to delineate the basic principles of the Customer Service Policy Statement by providing the details necessary for application. This should promote consistent interpretation of these principles by both BPA and the utilities. The guidelines were designed for and will be applied in normal situations. Deviations may be necessary to accommodate unique circumstances. Cordination of policy modifications and interpretations will be the responsibility of the BPA Division of Customer Service of the Office of Power and Resources Management. This section is divided into three parts: Utility planning, Facility Construction, and Financial and Construction Responsibilities.

### *II. Utility Planning*

#### A. One-Utility Planning

BPA will plan its system and encourage others to plan on a one-utility basis without regard to ownership of facilities. This planning criterion is essential to provide the greatest benefits to the electric power consumer. Under one-utility planning, consideration of such factors as engineering and operation and maintenance requirements, long-range planning, loss evaluation, and the economics and environmental impacts of various alternatives would assure the adoption of the best plan-of-service and avoid the construction of unnecessary facilities. A point of delivery which does not meet this criterion shall be deemed a convenience point of delivery (see B-3, Convenience Points of Delivery) and, if constructed, shall be at no expense to the BPA.

#### B. Joint Utility Plan Development

Joint utility plan development requires that all utilities work in a coordinated and cooperative manner to evaluate and develop the plans-of-service. These joint planning discussions must take place in all phases of the plan development.

Early involvement by BPA in the joint planning process will normally assure BPA acceptance and cooperation. This will lead toward a timely project completion. BPA Area staff will be the primary BPA contact and will work with Utilities in developing the joint utility plan.

Plan development should include all "study area" utilities and BPA. The utilities and BPA should evaluate each utilities' system requirements and planning assumptions. If differences exist in planning assumptions, BPA and the utilities should develop acceptable assumptions for planning purposes. If common assumptions cannot be agreed upon, BPA's financial participation in the subsequently developed plan may be limited and will be evaluated on a case-by-case basis.

After planning assumptions have been defined, the participants will jointly develop the system long-range plan. The key elements in planning for the study area include:

(a) Load forecast for existing and proposed delivery points.

(b) Idemification of transmission and distribution reliability problems and system losses due to increased loading of the existing system.

(c) Development of all reasonable alternative solutions.

(d) Alternative evaluation; economic, engineering, and environmental.

(e) Long-range plan selection.

It is important that all relevant factors be considered in the final decision, including alternative main grid costs, loss analysis, and environmental impacts. After the long-range plan is developed, the budget item proposal can be prepared. This proposal is a short term construction plan evaluating solutions to a particular service problem. The elements of this plan which shall be required are shown in Appendix B. Sufficient lead time will insure timely completion of BPA construction responsiblities (see Appendix E, Project Lead Time).

C. Reliability

Under the one-utility concept, reliability factors should be examined within each customer's system as well as in BPA's system. This is necessary because the reliability of the customer's system must be a factor in the selection of the best overall plan and the BPA system must be protected from any possible adverse effects of customer additions. The sensitivity and magnitude of the loads within each customer's system should also be considered in setting the level of reliability required. BPA's reference for its reliability planning is the Reliability Criteria and Standards Manual. This manual outlines the quality of service BPA strives to maintain in its system. The major Criteria are shown in Appendix C and include System Planning, Operations, Maintenance, Customer Service, Transmission Lines, Substations, and Control.

Any exceptions or deviations from the BPA Reliability Criteria may be referred by the customer to the appropriate Area office for evaluation (Appendix C, Procedures for Revisions).

D. Environmental

BPA is required to comply with the provisions of the National Environmental Policy Act (NEPA) and other environmental legislation. All final plan-of-service proposals will require compliance with NEPA and other applicable environmental legislation. When BPA evaluates alternative plans of service, the environmental impacts of each alternative must be considered. BPA will work closely with Federal State, and local agencies to minimize duplication of efforts in complying with environmental regulations.

The information necessary to conduct an environmental analysis must be obtained in a timely manner so that construction schedules can be maintained. Under certain circumstances, the Environmental Manager and/or the Environmental Coordinators, in consultation with the Area offices, will require customers to prepare or contribute data to environmental studies addressing their proposals. These studies must satisfy the appropriate environmental regulations to BPA's satisfaction before BPA will expend major funds on a customer service project. The implementation procedures and type of information needed are described in Appendix D.

*III. Facility Construction*

The major goal of facility construction is the timely addition of facilities to meet load growth in the most efficient and economic manner. This section discusses the engineering aspects of construction. The conditions under which the facilities will be constructed and the division of financial responsibility are discussed in Section IV, Financial and Construction Responsibilities. A chart on BPA typical project lead times is shown in Appendix E.

A. BPA Construction

The facilities interconnected shall be compatible with BPA facilities and shall neither jeopardize nor hinder the normal operation of the BPA system. BPA will not normally construct facilities required within city limits and urban or subdivided areas nor facilities to serve a single ultimate consumer (e.g., industrial consumer). Consistent with other provisions of this policy, points of delivery at distribution voltages shall be 3-phase deliveries and shall be granted at the secondary voltage level of the distribution substation only.

1. Transmission Taps. Line taps will normally be constructed, controlled, operated, and maintained by BPA personnel. Taps to BPA transmission lines must be adequately equipped with appropriate sectionalizing devices (e.g., disconnect switches, automatic sectionalizing switches, quick break, load break, power circuit breakers) as determined by BPA to maintain system reliability and stability. BPA's authorization for any new or revised POD will be required for this type of project. Compliance with environmental regluations is required. Project lead time is normally 1 year but may be extended due to project complexities.

2. Transmission Line. BPA will construct transmission lines at 115 kV and above, as necessary, to a customer's load area, consistent with the other elements of this policy. Construction will normally be by BPA or its contractor. The project lead time can be 2 years or more depending on project complexity. Compliance with environmental regulations is required.

3. Distribution Substation. The distribution substation will normally transform transmission level voltages, 115 kV and above, to distribution levels. If the existing transmission voltage is 69 kV, BPA may construct stepdown substations to transform it to distribution voltage levels. A typical BPA-constructed stepdown substation consists of high-side isolating and transformer protection devices, power transformer, metering, meter house, and yard. Under normal conditions it is assumed the customer will install a switching station adjacent to or within BPA the stepdown substation, with appropriate protective devices. In this case, BPA will not provide a lowside feeder breaker (see Appendix C, Reliability Criteria—Customer Service). Substations will be designed to allow the use of mobile emergency transformers and spare transformers simultaneously. Development guidelines, elevation and plan views, and one-line diagram for a typical distribution substation are shown in Appendix F. Construction will normally be done by BPA or its contractor. The normal project lead time is 4 years. Compliance

with environmental regulations is required.

4. Transformer Additions. BPA transformer capacity additions in distribution substations will normally be energized based on the following criteria: (see Appendix C, Reliability Criteria—Customer Service)

a. Winter peaking loads—before estimated peak load exceeds transformer force-cooled thermal rating adjusted for ambient temperature and 95 percent power factor (for nonstandard transformers apply the summer peaking criteria stated below);

b. Summer peaking loads—before estimated peak load exceeds 90 percent of transformer, force-cooled thermal rating adjusted for ambient temperature and 95 percent power factor.

The project lead time for transformer additions is normally 3 years. However, if an unassigned system transformer is available, the lead time may be reduced. Compliance with environmental regulations is required.

5. Revenue Metering. Revenue metering facilities are required to record power deliveries or exchanges. The location of the revenue metering may be at the point of delivery or interconnection, or at a more convenient location. Metering facilities for power deliveries will normally be provided, installed, operated, and maintained by BPA. Normally, metering installations shall conform to BPA standards. Any designs for metering installations deviating from these standards shall receive BPA approval prior to construction. The project lead time for a metering installation is 1 year, but may be extended due to project complexities.

6. Main Grid Substation Facilities. BPA may construct facilities within existing main grid substations if required by a customer's load. The facilities must be consistent with the best plan-of-service, based upon the one-utility planning concept. Project lead time will vary due to project complexities and magnitude. Compliance with environmental regulations is required.

B. Customer Construction for BPA

Where feasible, it may be appropriate for the customer to construct for BPA (see Section IV[D]). Facilities must comply with environmental standards and be constructed so as to not jeopardize the integrity of the BPA system. If operated and maintained by BPA, these facilities must be constructed to BPA engineering and safety standards.

C. Customer construction in BPA Substations

In an effort to encourage one-utility planning, customers may install, construct, operate, and maintain their equipment within BPA substation yards when space is available. All interconnections to BPA facilities shall meet BPA standards in order to provide the protection necessary for safe and reliable operation of BPA facilities. Compliance with environmental regulations and contracting procedures will be required.

D. Project Responsibilities Statement

In any joint project involving two or more utilities, it is essential that a clear understanding of each party's responsibilities is established prior to design and construction. A Division of Responsibilities Letter Agreement will be developed and signed by all parties prior to design and construction phases of the project. Development of the agreement shall begin after the project Construction Budget Project Authorization (CBPA) is signed. The agreement will be initiated and negotiated by BPA Areas. A fully executed agreement will be required for each project. An agreement outline is shown in Appendix G.

*IV. Financial and Construction Responsibilities*

This section discusses BPA's role and responsibility in providing service facilities to its customers: Publicly and Cooperatively Owned and Investor-Owned Utilities, Federal Agencies, and Direct-Service Industries. Service facilities include both delivery and interconnection facilities, such as area transmission support projects, delivery terminals, distribution substations, transformer additions, and resource integration facilities.

A. BPA Criteria for Granting Interconnections

The following criteria shall be met in granting a Point of Delivery (POD) or Interconnection (POI):

1. *Best Plan-of-Service.* Consistent with the aspects of the Utility Planning Section (Section II), it must be demonstrated that the POD or POI represents the best overall plan-of-service on a one-utility basis. If it does not represent the best overall plan, it shall be deemed a convenience point of delivery. (See IV.B.3, Convenience Point of Delivery).

2. *Service Cost Recovery.* Recovery of BPA's costs associated with establishing and maintaining the facilities required for delivery to and at the POD or POI is assured. This will be accomplished normally through wholesale power rates (Power Sales Customers), or through transmission rates, or special contract actions (Wheeling Customers). Any contract action describing cost-sharing arrangements and construction responsibilities shall be approved prior to granting the POD or POI. The contract shall include provisions for recovery of any otherwise unrecoverable costs in the event of load reduction or early termination.

B. BPA Facility Construction

In determining BPA's financial and construction responsibility, the facilities required for Power Sales Customers and Wheeling Customers will be discussed separately. Costs associated with joint-use facilities (power sales and wheeling) shall be allocated equitably among the parties. If a customer requires a higher level of service than normally provided by BPA (e.g., looped instead of radial service), the additional costs of providing the higher level of service will be borne by the customer. Also, if BPA is requested to provide facilities to serve a load of tentative nature, a minimum bill provision shall be agreed upon before the Division of Responsibilities Letter Agreement is executed.

1. Power Sales Facilities—Firm Power. BPA will construct or be financially responsible for providing the transmission facilities required for the delivery of bulk power to customers' service areas.

a. Transmission Tap. BPA will construct all taps on BPA transmission lines for deliveries to utility customers at BPA substations or customer-constructed substations. Each tap will include the necessary line sectionalizing switches. The customer will provide the protection and isolation devices as required by BPA.

b. Transmission Line. BPA will construct lines which provide for bulk power delivery at the local transmission level, 115 kV and above, consistent with the best plan-of-service.

If transmission lines to a load area are required they will normally be constructed by BPA. However, customers shall be responsible for all construction of transmission lines within load areas, city limits and urban or subdivided areas and all construction of short tap lines (up to ½ miles). Also customers that have assumed load area transmission responsibilities or that serve continuous load areas will be responsible for providing all subsequent load area transmission lines Customers above 175 MW peak load will have all construction and financial

responsiblities within their service areas regardless of any of the above special conditions.

c. Distribution Substation. In order to assist small utilities (under 50 MW peak load), BPA will be responsible for providing up to 50 MVA of nameplate distribution or stepdown transformer capacity (force-cooled) at the distribution voltage level. The 50 MVA level includes BPA-installed transformer capacity and associated substation facilities, transformer capacity that BPA leases, and BPA-provided transfer service loads. As utilities approach the capacity level and additional capacity is required, BPA's financial assistance may be reduced but will be determined on a case-by-case basis. The 50 MVA level is intended to assist smaller utilities in developing the financial base necessary to provide for distribution facilities beyond the level provided by BPA. If BPA has installed an oversized transformer to serve a customer, the level of transformation capacity charged against the 50 MVA level will be determined on a case-by-case basis. Generally, the capacity of a standard-size transformer which could adequately have served the load will determine the level of capacity against the 50 MVA level. Customers shall be responsible for all substation construction within city limits, and urban subdivided areas.

In transfer situations, BPA will provide continued transfer service for load growth at existing points of delivery until additional facilities are required, contracted transfer demand limits and reach, or transfer agreements are terminated. Transfer cost for capacity above the 50 MVA level will be borne by the Customer.

d. Transformer Additions. Based on the best overall plan-of-service determination and consistent with the 50 MVA criterion as stated above, BPA will provide transfromer capacity additions at BPA distribution substations for existing points of delivery. Customers above the 50 MVA level will be responsible for transformer additions. BPA will assist these customers by constructing on a trust fund basis or by providing available substation property.

e. Metering. BPA will normally provide all necessary metering, and will assume financial responsibility for interchange telemetering required under transfer situations.

BPA may, at its option, meter and bill more than one point of delivery on a combined or coincidental basis. Under normal conditions, a diversity charge will be assessed; however, it may be waived if the customer has constructed transmission facilities which would provide benefits to BPA. These include, but are not limited to, facilities BPA would have normally constructed, facilities which provide backup for the BPA transmission system leading to continued power sales, and facilities which prolong the life of existing BPA facilities. In order to waive a diversity charge, it must be demonstrated that the benefits BPA would receive due to a customer's increased role in transmission construction exceed the revenues accrued through noncoincidental billing.

f. Main Grid Substation Facilities. BPA will construct and be financially responsible for facilities required for power delivery to customers at their area transmissionvoltage level. These delivery facilities include transmission terminal positions and main grid power transformers.

2. Power Sales Facilities—Nonfirm or Short-Term Firm Power. BPA will not normally construct facilities specifically for serving any part of a customer's nonfirm or short-term firm power purchases unless it can be shown to provide overall benefits to the region. If excess capacity is available, BPA will provide deliveries at the requested customer point of delivery.

3. Convenience Points of Delivery. A convenience point of delivery is a point of delivery which is requested for an individual customer's needs and which is not accepted as the best one-utility plan-of-service. Since BPA places the one-utility concept as a fundamental principle in its planning process, it must be assured other utilities plan on the same basis. Therefore, all costs associated with a convenience POD shall be borne directly by the interconnecting utility.

In order to grant a convenience POD, BPA must be assured of complete and long-term incremental cost recovery (increased cost of convenience POD over existing POD) associated with the power delivery. This will include direct BPA expenses of the transmission tap and metering, and any indirect costs, such as long-term increased transmission losses, transmission reconductoring, and increased system protection requirements. A specific agreement shall be negotiated outlining these terms prior to the POD approval. In the Power Sales Contract, the POD shall be stated as a convenience point of delivery. Compliance with environmental regualtions and procedures will be required.

4. Wheeling Facilities. In constructing facilities which provide a wheeling service, BPA must assure recovery of its investments. This will normally be accomplished by the actions stated below. However, a Use-of-Facility Transmission (UFT) rate, another appropriate BPA rate, or a trust fund may be employed if the recovery is uncertain.

a. Transmission Tap. The Wheeling Customer will be financially responsible for all costs associated with a BPA transmission line tap. BPA will normally construct the tap facilities. These will be financed under a trust fund arrangement. BPA will retain control and will operate and maintain any facilities which are an integral part of its transmission lines. BPA will retain ownership of all trust fund line sectionalizing switches.

b. Transmission Line. In the construction of transmission lines, BPA will construct network facilities required for and providing the benefits of an interconnected regional network. BPA will not construct facilities from a customer's resource to the BPA network nor assume a customer's service area transmission responsibilties unless agreed upon through specific contractual arrangements. Cost recovery for joint-use lines shall be through established transmission rates, while costs for sole use (Wheeling) facilities shall be borne directly by Wheeling customers (UFT rate or trust fund). Prior to BPA commitment of funds, appropriate contractual actions shall be agreed upon, including rate and load reduction/termination provisions.

c. Distribution Substation. All costs for the use of a distribution substation shall be borne by Wheeling Customers (using the UFT rate methodology). BPA will not normally construct these types of facilities for the sole purpose of wheeling deliveries.

d. Transformer Additions. All costs for the use of distribution substation transformer additions shall be borne by the Wheeling Customers (using the UFT rate methodology). BPA will not normally construct these types of facilities for the sole purpose of wheeling deliveries.

e. Metering. BPA will install the metering as required. Costs shall be borne by the Wheeling Customers through a trust fund mechanism.

f. Main Grid Substation Facilities. BPA will construct new main grid substations which provide a regional benefit. Appropriate contractual agreements for recovery of BPA investment will be signed prior to BPA commitment of funds. Specific facilities for wheeling customers within new or existing main grid substations shall normally be limited to terminal positions at approved PODs or POIs but may include other facilities, such as power transformers, based upon mutual

acceptance. All costs shall be borne by the wheeling customer and will normally be recovered by trust fund.

C. Customer Facility Construction

1. For BPA. A demonstrated benefit to BPA may allow a Power Sales Customer to construct a facility at BPA expense. The following factors will be considered in making the determination:

a. Best overall plan-of-service.

b. Customer(s) will experience undue hardship if project is delayed due to BPA procedural and construction requirements.

c. Overall cost benefit to BPA.

d. Land acquisition and construction will comply with all Federal, state, and local government regulations and environmental requirements.

e. Unanticipated load growth in the Customer's service area.

f. Geographic proximity to existing BPA facilities.

This service is not intended to circumvent normal one-utility planning.

Decisions by BPA whether to own or lease facilities constructed by customers will be made on an individual basis. If facilities are owned by BPA, then the operation and maintenance of the facility will be normally done by BPA. When customers retain ownership, they will normally provide operation and maintenance. BPA will make monthly payments based on the annual facility cost, including interest, amortization, overheads, operations, and maintenance costs.

2. In BPA Substation Yards and Other Properties. Customers will be encouraged to construct low-voltage delivery facilities within BPA substation yards or other properties. This construction will be limited to available space and compliance with BPA safety and environmental requirements. In this context, construction includes design, construction, operation, and maintenance. In existing properties, the customer shall pay for the costs incurred by BPA due to construction of the facility. Land costs will not be included.

D. Emergency Operations

BPA will assist in establishing an emergency transformer coverage program for transformer failures in customers' systems. Standard size transformers (25 MVA, 115 kV primary, and 34.5 kV, 24.9 kV, 13.8 kV, and 12.5 kV secondaries) will be available for participating small to intermediate level customers (less than 175 MW peak load). The customer substations must be designed to accommodate installation and safe operation of the transformers. All costs associated with this service shall be paid by the participants. To insure adequate coverage, BPA and the customers requesting this service will jointly develop a transformer coverage plan. Two services will be available: mobile spare coverage (short-term) and construction reserve coverage (up to 1 year).

E. Transfer Service

In accordance with other provisions of this policy for establishing new points of delivery, BPA can arrange for service to a power sales customer over a third party's (transferor) facilities if consistent with the best plan-of-service. BPA's financial responsibility shall include the costs of all transfers on the types of facilities that BPA would normally be required to provide for the customer.

In the event of unsatisfactory or discontinued transfer service, BPA and the customer will develop and implement the best plan-of-service based on one-utility planning principles and in accordance with other provisions of this policy, as an alternative to the original transfer service.

F. Resource Integration

Resources acquired by customers will be wheeled pursuant to section B-4 of this policy. All costs will be borne by the users and appropriate contractual actions shall be agreed upon before BPA commitment of funds.

G. Direct-Service Industry Service

BPA will construct or provide by transfer service the required transmission and substation facilities for service to its Direct Service Industrial customers. Repayment of facility cost shall be through wholesale industrial power rates.

Issued in Portland, Oregon, on September 19, 1983.

**Peter T. Johnson,**

*Administrator.*

## Appendix A

*Definitions*

*Annual Cost Ratio:* Annual cost of the Federal Transmission System, or any applicable portion thereof, divided by investment in such system. Similar calculation can be made for individual utility's system.

*Area Load Center:* Point at which the load of a given area is assumed to be centralized or concentrated.

*Bonneville Project Act:* Established Bonneville Power Administration in 1937.

Bulk Power *Delivery:* With regards to BPA mission, delivery of transmission level power quantities to point of delivery.

*Capacity Limit:* The maximum load carrying capability of a Utility's transmission or distribution facility determined by the owning utility. See Thermal Limit.

*Categorical Exclusion:* A category of actions which do not individually or cumulatively have a significant effect on the human environment and for which neither an environmental assessment nor an environmental impact statement is required.

*CEQ:* Council on Environmental Quality

*Coincidental Billing:* Combining two or more points of metering to bill as one point of delivery.

*Convenience Point of Delivery:* Point of delivery that is not accepted as the best plan-of-service.

*Cooperative:* A private, nonprofit utility, operating within state law but essentially self-regulated by a board of directors elected from its membership.

*Customer:* Power Sales Customer or Wheeling Customer of BPA.

*Direct-Service Industry* (DSI): An industrial customer that contracts for the direct purchase of power from BPA.

*Distribution Facilities:* Facilities that move low voltage power from the point of delivery to individual end-use loads. The maximum voltage of distribution facilities varies around the region but voltages at 34.5 kV and below are normally considered distribution voltages.

*Distribution Substation:* A substation which transforms voltage from transmission to customer distribution voltage. Transforms electricity from higher to lower voltage, usually 115 kV to 12.5 kV (or 24.9 kV or 34.5 kV).

*Distribution Voltage Level:* The voltage level of a utility for serving load areas, normally 34.5 kV and below.

*Diversity:* The difference between the sum of the noncoincident peaks of two or more individual loads and the coincident peak of the combined load.

*Diversity Factor:* The ratio of the sum of the noncoincident maximum demands of the various subdivisions of a system, or part of a system, to the maximum demand of the whole system, or part under consideration.

*End-Use Consumer:* A consumer which purchases power from a utility for its own use.

*Environmental Assessment* (EA): A document prepared by a Federal agency which assesses whether a proposed action is a "major Federal action significantly affecting the quality of the human environment," and which serves as the basis for a determination as to whether an environmental impact statement is required.

*Environmental Impact Statement* (EIS): A document prepared in accordance with the requirements of Section 102(a)(c) of the National Environmental Policy Act.

*Federal Columbia River Transmission Act*: A Federal law enacted in 1974 which gave Bonneville the jurisdiction to meet expenses with revenues received from customers.

*Feeder Position*: This normally includes a load and fault interrupting device, metering, a structure to connect an outgoing distribution line, and associated bus and switches as required.

*Finding of No Significant Impact* (FONSI): A document by a Federal agency briefly presenting the reasons for an action, not otherwise excluded, will not have a significant effect on the human environment and for which an environmental impact statement will not be prepared.

*Firm Power:* Power guaranteed to be available at all times during the period covered by a commitment, even under adverse conditions, except for reason of certain uncontrollable forces or service provisions. Firm power is composed of either firm energy, firm capacity, or both.

*Intermediate Customer*: A Power Sales Customer with less than 175 MW peak load and greater than 50 MW peak load. See Small Customer and Large Customer.

*Investor-Owned Utility* (IOU): A utility which is organized under state law as a corporation for the purpose of providing electric power service and earning a profit for its stockholders.

*Large Customer*: A Power Sales Customer with more than 175 MW peak load who operates an extensive utility system and receives bulk power deliveries from BPA. See Small Customer and Intermediate Customer.

*Lead time*: The time required from initial BPA review stages to project energization.

*Load*: The amount of electric power delivered or required at a given point on a system. Load originates primarily at the energy consuming equipment of consumer or a PBA customer.

*Load Area*: The distinct portion of a utility's service area in which the load is concentrated.

*Load Estimate*: The official BPA load estimate for the utility developed jointly between BPA and the utility.

*Mitigation*: Activity undertaken to reduce or eliminate environmental impacts of a proposed action. Includes: (a) Avoiding the impact altogether by not taking a certain action or parts of an action, (b) minimizing impacts by limiting the degree or magnitude of the action and its implementation, (c) rectifying the impact by repairing, rehabilitating, or restoring the affected environment, (d) reducing or restoring the affected environment, (e) reducing or eliminating the impact over time by preservation and maintenance operations during the life of the action, (f) compensating for the impact by replacing or providing substitute resources or environments.

*Minimum Bill Provisions*: Assurance of cost recovery for facilities constructed by BPA to serve loads of a tentantive nature, typically, larger industrial or irrigation loads.

*Municipal Utility*: A utility owned and operated by a city.

*NEPA*: The National Environmental Policy Act.

*NEPA Document*: An environmental assessment, an environmental impact statement, an environmental impact statement supplement, a finding of no significant impact, a record of decision, or any other documentation prepared pursuant to a NEPA requirement.

*Network*: The interconnected portion of BPA's transmission system rated 230 kV or higher.

*Nonfirm Power*: Power supplied or available under an arrangement which does not have the guaranteed continuous availability feature of Firm Power.

*Normal Utility Practice*: The range of practices that are generally accepted by electric utilities for all phases of operation, consistent with standards publications such as American national Standards Institute (ANSI), National Electric Code, National Electric and Safety Code, Rural Electric Administration Standards, and Institute of Electrical and Electronics Engineers (IEEE).

*One-Utility Concept:* Planning decisions are made as though the same utility owned all relevant generating, transmission, and distribution facilities.

*Pacific Northwest Electric Power Planning and Conservation Act* (Regional Act): Public Law 96–501, enacted on December 5, 1980.

*Peak Load:* Maximum power demanded by a utility.

*Planning Standards:* Criteria of a utility or utilities, in a joint plan, which describe the standards based in the planning process. These include reliability, economic, environmental, and public policy factors.

*Plan-of-Service:* The project or projects which will solve a utility's or utilities' electrical service problem.

*Point of Delivery* (POD): Point at which utility systems are connected with the primary purpose of one-way power delivery.

*Point of Interconnection:* Point in which utility systems are connected at which power can flow in either direction.

*Power Sales Customer:* A utility or industry which purchases electric power from BPA; distinguished from consumer, one who buys electric power from a utility. See Small, Intermediate, or Large Customer.

*Power Transformer:* Device used for changing voltage levels.

*PUD:* Public Utility District (in Washington) or People's Utility District (in Oregon); a separate unit of government established by voters of a district to supply electric or other utility service.

*Reliability:* In a network power system, the ability of the system to continue operation while some lines or generators are out of service or while the system is under stress. BPA has established minimum standards in the Reliability Criteria and Standards (Appendix C). For distribution utilities, reliability is defined in terms of yearly cumulative outage times per customer, number of outages per year per customer, and revenue loss due to outages.

*Resource Integration:* Facilities necessary for interconnection of a generation project to the BPA transmission system.

*Rural Electrification Administration* (REA): A Federal agency which provides assistance to qualifying utilities.

*Service Area:* Total geographic area in which the utility provides electrical service.

*Small Customer:* Power Sales Customer whose total load requirements are less than 50 MVA of total system capacity or less than 50 MW peak load. See Intermediate Customer and Large Customer.

*Subdivided Area:* Area zoned for residential development.

*Termination Charge:* Unrecoverable costs associated with the unamortized value of a facility, which are the responsibility of a utility in the event of load reduction or termination before contract expiration.

*Thermal Capacity:* Maximum load which an electric device can carry under specified conditions for a given period of time, without exceeding limits of temperature or stress.

*Transfer Agreement:* Contractual agreement outlining the responsibilities of a utility for transfer of another utility's power, normally when the POD is in the transferor's load control area.

*Transferor:* Entity which receives energy at one point of system and

makes such energy available at another point on its system.

*Transmission Facilities:* Facilities that transport energy from large generation centers over significant distances to distribution centers. Transmission voltages vary around the region depending on usage, but are at least 115 kV.

*Transmission Voltage Level:* Voltage level, 115 kV or aboved, which transmits bulk power from a source to other principle parts of the system.

*Urban Area:* Residential, commercial, or industrial area as defined by local land use plans.

*Voltage Regulator:* Usually a transformer device with the windings of the primary and regulated circuits suitably adapted and arranged for the control of the voltage of the regulated circuit.

*Wheeling:* The use of the transmission facilities of one system to transmit power of and for another system.

*Wheeling Customer:* A utility which transmits power over BPA transmission facilities for its own use.

[FR Doc. 83-28515 Filed 9-28-83; 8:45 am]
BILLING CODE 6450-01-M

federal register

Thursday
September 29, 1983

Part IV

# Department of the Interior

National Park Service

Archeology and Historic Preservation; Secretary of the Interior's Standards and Guidelines

## DEPARTMENT OF THE INTERIOR

### National Park Service

### Archeology and Historic Preservation; Secretary of the Interior's Standards and Guidelines

**AGENCY:** National Park Service, Interior.

**ACTION:** Notice.

**SUMMARY:** This notice sets forth the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation. These standards and guidelines are not regulatory and do not set or interpret agency policy. They are intended to provide technical advice about archeological and historic preservation activities and methods.

**DATE:** These Standards and Guidelines are effective on September 29, 1983.

**FOR FURTHER INFORMATION CONTACT:** Lawrence E. Aten, Chief, Interagency Resources Division, National Park Service, United States Department of the Interior, Washington, D.C. 20240 (202-343-9500). A Directory of Technical Information listing other sources of supporting information is available from the National Park Service.

**SUPPLEMENTARY INFORMATION:** The Standards and Guidelines are prepared under the authority of Sections 101(f), (g), and (h), and Section 110 of the National Historic Preservation Act of 1966, as amended. State Historic Preservation Officers; Federal Preservation Officers including those of the Department of Agriculture, Department of Defense, Smithsonian Institution and General Services Administration; the Advisory Council on Historic Preservation; the National Trust for Historic Preservation; and other interested parties were consulted during the development of the Standards and Guidelines; additional consultation with these agencies will occur as the Standards and Guidelines are tested during their first year of use.

#### Purpose

The proposed Standards and the philosophy on which they are based result from nearly twenty years of intensive preservation activities at the Federal, State, and local levels.

The purposes of the Standards are:

To organize the information gathered about preservation activities.

To describe results to be achieved by Federal agencies, States, and others when planning for the identification, evaluation, registration and treatment of historic properties.

To integrate the diverse efforts of many entities performing historic preservation into a systematic effort to preserve our nation's cultural heritage.

#### Uses of the Standards

The following groups or individuals are encouraged to use these Standards:

Federal agency personnel responsible for cultural resource management pursuant to Section 110 of the National Historic Preservation Act, as amended, in areas under Federal jurisdiction. A separate series of guidelines advising Federal agencies on their specific historic preservation activities under Section 110 is in preparation.

State Historic Preservation Offices responsible under the National Historic Preservation Act, as amended, for making decisions about the preservation of historic properties in their States in accordance with appropriate regulations and the Historic Preservation Fund Grants Management Manual. The State Historic Preservation Offices serve as the focal point for preservation planning and act as a central state-wide repository of collected information.

Local governments wishing to establish a comprehensive approach to the identification, evaluation, registration and treatment of historic properties within their jurisdictions.

Other individuals and organizations needing basic technical standards and guidelines for historic preservation activities.

#### Organization

This material is organized in three sections: Standards; Guidelines; and recommended technical sources, cited at the end of each set of guidelines. Users of this document are expected to consult the recommended technical sources to obtain guidance in specific cases.

#### Review of the Standards and Guidelines

The Secretary of the Interior's Standards for Rehabilitation have recently undergone extensive review and their guidelines made current after 5 years of field use. Users and other interested parties are encouraged to submit written comments on the utility of these Standards and Guidelines except for the Rehabilitation Standards mentioned above. This edition will be thoroughly reviewed by the National Park Service (including consultation with Federal and State agencies), after the end of its first full year of use and any necessary modifications will be made. Subsequent reviews are anticipated as needed. Comments should be sent to Chief, Interagency Resources Division, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

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#### Secretary of the Interior's Standards for Preservation Planning

Preservation planning is a process that organizes preservation activities (identification, evaluation, registration and treatment of historic properties) in a logical sequence. The Standards for Planning discuss the relationship among these activities while the remaining activity standards consider how each activity should be carried out. The Professional Qualifications Standards discuss the education and experience required to carry out various activities.

The Standards for Planning outline a process that determines when an area should be examined for historic properties, whether an identified property is significant, and how a significant property should be treated.

Preservation planning is based on the following principles:

—Important historic properties cannot be replaced if they are destroyed. Preservation planning provides for conservative use of these properties, preserving them in place and avoiding harm when possible and altering or destroying properties only when necessary.

—If planning for the preservation of historic properties is to have positive effects, it must begin before the identification of all significant properties has been completed. To make responsible decisions about historic properties, existing information must be used to the maximum extent and new information must be acquired as needed.

—Preservation planning includes public participation. The planning process should provide a forum for open discussion of preservation issues. Public involvement is most meaningful when it is used to assist in defining values of properties and preservation planning issues, rather than when it is limited to review of decisions already made. Early

and continuing public participation is essential to the broad acceptance of preservation planning decisions.

Preservation planning can occur at several levels or scales: in a project area; in a community; in a State as a whole; or in the scattered or contiguous landholdings of a Federal agency. Depending on the scale, the planning process will involve different segments of the public and professional communities and the resulting plans will vary in detail. For example, a State preservation plan will likely have more general recommendations than a plan for a project area or a community. The planning process described in these Standards is flexible enough to be used at all levels while providing a common structure which promotes coordination and minimizes duplication of effort. The Guidelines for Preservation Planning contain additional information about how to integrate various levels of planning.

*Standard I. Preservation Planning Establishes Historic Contexts*

Decisions about the identification, evaluation, registration and treatment of historic properties are most reliably made when the relationship of individual properties to other similar properties is understood. Information about historic properties representing aspects of history, architecture, archeology, engineering and culture must be collected and organized to define these relationships. This organizational framework is called a "historic context." The historic context organizes information based on a cultural theme and its geographical and chronological limits. Contexts describe the significant broad patterns of development in an area that may be represented by historic properties. The development of historic contexts is the foundation for decisions about identification, evaluation, registration and treatment of historic properties.

*Standard II. Preservation Planning Uses Historic Contexts To Develop Goals and Priorities for the Identification, Evaluation, Registration and Treatment of Historic Properties*

A series of preservation goals is systematically developed for each historic context to ensure that the range of properties representing the important aspects of each historic context is identified, evaluated and treated. Then priorities are set for all goals identified for each historic context. The goals with assigned priorities established for each historic context are integrated to produce a comprehensive and consistent set of goals and priorities for all historic contexts in the geographical area of a planning effort.

The goals for each historic context may change as new information becomes available. The overall set of goals and priorities are then altered in response to the changes in the goals and priorities for the individual historic contexts.

Activities undertaken to meet the goals must be designed to deliver a usable product within a reasonable period of time. The scope of the activity must be defined so the work can be completed with available budgeted program resources.

*Standard III. The Results of Preservation Planning Are Made Available for Integration Into Broader Planning Processes*

Preservation of historic properties is one element of larger planning processes. Planning results, including goals and priorities, information about historic properties, and any planning documents, must be transmitted in a usable form to those responsible for other planning activities. Federally mandated historic preservation planning is most successfully integrated into project management planning at an early stage. Elsewhere, this integration is achieved by making the results of preservation planning available to other governmental planning bodies and to private interests whose activities affect historic properties.

**Secretary of the Interior's Guidelines for Preservation Planning**

*Introduction*

These Guidelines link the Standards for Preservation Planning with more specific guidance and technical information. They describe one approach to meeting the Standards for Preservation Planning. Agencies, organizations or individuals proposing to approach planning differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

Managing the Planning Process
Developing Historic Contexts
Developing Goals for a Historic Context
Integrating Individual Historic Contexts—Creating the Preservation Plan
Coordinating with Management Frameworks
Recommended Sources of Technical Information

*Managing the Planning Process*

The preservation planning process must include an explicit approach to implementation, a provision for review and revision of all elements, and a mechanism for resolving conflicts within the overall set of preservation goals and between this set of goals and other land use planning goals. It is recommended that the process and its products be described in public documents.

*Implementing the Process*

The planning process is a continuous cycle. To establish and maintain such a process, however, the process must be divided into manageable segments that can be performed within a defined period, such as a fiscal year or budget cycle. One means of achieving this is to define a period of time during which all the preliminary steps in the planning process will be completed. These preliminary steps would include setting a schedule for subsequent activities.

*Review and Revision*

Planning is a dynamic process. It is expected that the content of the historic contexts described in Standard I and the goals and priorities described in Standard II will be altered based on new information obtained as planning proceeds. The incorporation of this information is essential to improve the content of the plan and to keep it up-to-date and useful. New information must be reviewed regularly and systematically, and the plan revised accordingly.

*Public Participation*

The success of the preservation planning process depends on how well it solicits and integrates the views of various groups. The planning process is directed first toward resolving conflicts in goals for historic preservation, and second toward resolving conflicts between historic preservation goals and other land-use planning goals. Public participation is intergral to this approach and includes at least the following actions:

1. Involving historians, architectural historians, archeologists, historical architects, folklorists and persons from related discipline to define, review and revise the historic contexts, goals and priorities;

2. Involving interested individuals, organizations and communities in the planning area in identifying the kinds of historic properties that may exist and suitable protective measures;

3. Involving prospective users of the preservation plan in defining issues, goals and priorities;

4. Providing for coordination with other planning efforts at local, state, regional and national levels, as appropriate; and

5. Creating mechanisms for identifying and resolving conflicts about historic preservation issues.

The development of historic contexts, for example, should be based on the professional input of all disciplines involved in preservation and not be limited to a single discipline. For prehistoric archeology, for example, data from fields such as geology, geomorphology and geography may also be needed. The individuals and organizations to be involved will depend, in part, on those present or interested in the planning area.

*Documents Resulting from the Planning Process*

In most cases, the planning process produces documents that explain how the process works and that discuss the historic contexts and related goals and priorities. While the process can operate in the absence of these documents, planning documents are important because they are the most effective means of communicating the process and its recommendations to others. Planning documents also record decisions about historic properties.

As various parts of the planning process are reviewed and revised to reflect current information, related documents must also be updated. Planning documents should be created in a form that can be easily revised. It is also recommended that the format, language and organization of any documents or other materials (visual aids, etc.) containing preservation planning information meet the needs of prospective users.

*Developing Historic Contexts*

*General Approach*

Available information about historic properties must be divided into manageable units before it can be useful for planning purposes. Major decisions about identifying, evaluating, registering and treating historic properties are most reliably made in the context of other related properties. A historic context is an organizational format that groups information about related historic properties, based on a theme, geographic limits and chronological period. A single historic context describes one or more aspects of the historic development of an area, considering history, architecture, archeology, engineering and culture; and identifies the significant patterns that individual historic properties represent, for example, Coal Mining in Northeastern Pennsylvania between 1860 and 1930. A set of historic contexts is a comprehensive summary of all aspects of the history of the area.

The historic context is the cornerstone of the planning process. The goal of preservation planning is to identify, evaluate, register and treat the full range of properties representing each historic context, rather than only one or two types of properties. Identification activities are organized to ensure that research and survey activities include properties representing all aspects of the historic context. Evaluation uses the historic context as the framework within which to apply the criteria for evalution to specific properties or property types. Decisions about treatment of properties are made with the goal of treating the range of properties in the context. The use of historic contexts in organizing major preservation activities ensures that those activities result in the preservation of the wide variety of properties that represent our history, rather than only a small, biased sample of properties.

Historic contexts, as theoretical constructs, are linked to actual historic properties through the concept of property type. Property types permit the development of plans for identification, evaluation and treatment even in the absence of complete knowledge of individual properties. Like the historic context, property types are artifical constructs which may be revised as necessary.

Historic contexts can be developed at a variety of scales appropriate for local, State and regional planning. Given the probability of historic contexts overlapping in an area, it is important to coordinate the development and use of contexts at all levels. Generally, the State Historic Preservation Office possesses the most complete body of information about historic properties and, in practice, is in the best position to perform this function.

The development of historic contexts generally results in documents that describe the prehistoric processes or patterns that define the context. Each of the contexts selected should be developed to the point of identifying important property types to be useful in later preservation decision-making. The amount of detail included in these summaries will vary depending on the level (local, state, regional, or national) at which the contexts are developed and on their intended uses. For most planning purposes, a synopsis of the written description of the historic context is sufficient.

*Creating a Historic Context*

Generally, historic contexts should not be constructed so broadly as to include all property types under a single historic context or so narrowly as to contain only one property type per historic context. The following procedures should be followed in creating a historic context.

*1. Identify the concept, time period and geographical limits for the historic context*

Existing information, concepts, theories, models and descriptions should be used as the basis for defining historic contexts. Biases in primary and secondary sources should be identified and accounted for when existing information is used in defining historic contexts.

The identification and description of historic contexts should incorporate contributions from all disciplines involved in historic preservation. The chronological period and geographical area of each historic context should be defined after the conceptual basis is established. However, there may be exceptions, especially in defining prehistoric contexts where drainage systems or physiographic regions often are outlined first. The geographical boundaries for historic contexts should not be based upon contemporary political, project or other contemporary boundaries if those boundaries do not coincide with historical boundaries. For example, boundaries for prehistoric contexts will have little relationship to contemporary city, county or state boundaries.

*2. Assemble the existing information about the historic context*

a. *Collecting information:* Several kinds of information are needed to construct a preservation plan. Information about the history of the area encompassed by the historic context must be collected, including any information about historic properties that have already been identified. Existing survey or inventory entries are an important source of information about historic properties. Other sources may include literature on prehistory, history, architecture and the environment; social and environmental impact assessments; county and State land use plans; architectural and folklife studies and oral histories; ethnographic research; State historic inventories and registers; technical reports prepared for Section 106 or other assessments of historic properties; and and direct consultation with individuals and organized groups.

In addition, organizations and groups that may have important roles in defining historic contexts and values

should be identified. In most cases a range of knowlegeable professionals drawn from the preservation, planning and academic communities will be available to assist in defining contexts and in identifying sources of information. In other cases, however, development of historic contexts may occur in areas whose history or prehistory has not been extensively studied. In these situations, broad general historic contexts should be initially identified using available literature and expertise, with the expectation that the contexts will be revised and subdivided in the future as primary source research and field survey are conducted. It is also important to identify such sources of information as existing planning data, which is needed to establish goals for identification, evaluation, and treatment, and to identify factors that will affect attainment of those goals.

The same approach for obtaining information is not necessarily desirable for all historic contexts. Information should not be gathered without first considering its relative importance to the historic context, the cost and time involved, and the expertise required to obtain it. In many cases, for example, published sources may be used in writing initial definitions of historic contexts; archival research or field work may be needed for subsequent activities.

b. *Assessing information:* All information should be reviewed to identify bias in historic perspective, methodological approach, or area of coverage. For example, field surveys for archeological sites may have ignored historic archelolgical sites, or county land use plans may have emphasized only development goals.

*3. Synthesize information*

The information collection and analysis results in a written narrative of the historic context. This narrative provides a detailed synthesis of the data that have been collected and analyzed. The narrative covers the history of the area from the chosen perspective and identifies important patterns, events, persons or cultural values. In the process of identifying the important patterns, one should consider:

a. Trends in area settlement and development, if relevant;

b. Aesthetic and artistic values embodied in architecture, construction technology or craftsmanship;

c. Research values or problems relevant to the historic context; social and physical sciences and humanities; and cultural interests of local communities; and

d. Intangible cultural values of ethnic groups and native American peoples.

*4. Define property types*

A property type is a grouping of individual properties based on shared physical or associative characteristics. Property types link the ideas incorporated in the theoretical historic context with actual historic properties that illustrate those ideas. Property types defined for each historic context should be directly related to the conceptual basis of the historic context. Property types defined for the historic context "Coal Mining in Northeastern Pennsylvania, 1860–1930" might include coal extraction and processing complexes; railroad and canal transportation systems; commercial districts; mine workers' housing; churches, social clubs and other community facilities reflecting the ethnic origins of workers; and residences and other properties associated with mine owners and other industrialists.

a. *Identify property types:* The narrative should discuss the kinds of properties expected within the geographical limits of the context and group them into those property types most useful in representing important historic trends.

Generally, property types should be defined after the historic context has been defined. Property types in common usage ("Queen Anne houses," "mill buildings," or "stratified sites") should not be adopted without first verifying their relevance to the historic contexts being used.

b. *Characterize the locational patterns of property types:* Generalizations about where particular types of properties are likely to be found can serve as a guide for identification and treatment. Generalizations about the distribution of archeological properties are frequently used. The distribution of other historic properties often can be estimated based on recognizable historical, environmental or cultural factors that determined their location. Locational patterns of property types should be based upon models that have an explicit theoretical or historical basis and can be tested in the field. The model may be the product of historical research and analysis ("Prior to widespread use of steam power, mills were located on rivers and streams able to produce water power" or "plantation houses in the Mississippi Black Belt were located on sandy clay knolls"), or it may result from sampling techniques. Often the results of statistically valid sample surveys can be used to describe the locational patterns of a representative portion of properties belonging to a particular property type. Other surveys can also provide a basis for suggesting locational patterns if a diversity of historic properties was recorded and a variety of environmental zones was inspected. It is likely that the identification of locational patterns will come from a combination of these sources. Expected or predicted locational patterns of property types should be developed with a provision made for their verification.

c. *Characterize the current condition of property types:* The expected condition of property types should be evaluated to assist in the development of identification, evaluation and treatment strategies, and to help define physical integrity thresholds for various property types. The following should be assessed for each property type:

(1) Inherent characteristics of a property type that either contribute to or detract from its physical preservation. For example, a property type commonly constructed of fragile materials is more likely to be deteriorated than a property type constructed of durable materials; structures whose historic function or design limits the potential for alternative uses (water towers) are less likely to be reused than structures whose design allows a wider variety of other uses (commercial buildings or warehouses).

(2) Aspects of the social and natural environment that may affect the preservation or visibility of the property type. For example, community values placed on certain types of properties (churches, historic cemeteries) may result in their maintenance while the need to reuse valuable materials may stimulate the disappearance of properties like abandoned houses and barns.

It may be most efficient to estimate of the condition of property types based on professional knowledge of existing properties and field test these estimates using a small sample of properties representative of each type.

*5. Identify information needs*

Filling gaps in information is an important element of the preservation plan designed for each historic context. Statements of the information needed should be as specific as possible, focusing on the information needed, the historic context and property types it applies to, and why the information is needed to perform identification, evaluation, or treatment activities.

*Developing Goals for a Historic Context*

*Developing Goals*

A goal is a statement of preferred preservation activities, which is

generally stated in terms of property types.

The purpose of establishing preservation goals is to set forth a "best case" version of how properties in the historic context should be identified, evaluated, registered and treated. Preservation goals should be oriented toward the greatest possible protection of properties in the historic context and should be based on the principle that properties should be preserved in place if possible, through affirmative treatments like rehabilitation, stabilization or restoration. Generally, goals will be specific to the historic context and will often be phrased in terms of property types. Some of these goals will be related to information needs previously identified for the historic context. Collectively, the goals for a historic context should be a coherent statement of program direction covering all aspects of the context.

For each goal, a statement should be prepared identifying:

1. The goal, including the context and property types to which the goal applies and the geographical area in which they are located;

2. The activities required to achieve the goal;

3. The most appropriate methods or strategies for carrying out the activities;

4. A schedule within which the activities should be completed; and

5. The amount of effort required to accomplish the goal, as well as a way to evaluate progress toward its accomplishment.

*Setting priorities for goals*

Once goals have been developed they need to be ranked in importance. Ranking involves examining each goal in light of a number of factors.

1. General social, economic, political and environmental conditions and trends affecting (positively and negatively) the identification, evaluation, registration and treatment of property types in the historic context.

Some property types in the historic context may be more directly threatened by deterioration, land development patterns, contemporary use patterns, or public perceptions of their value, and such property types should be given priority consideration.

2. Major cost or technical considerations affecting the identification, evaluation and treatment of property types in the historic context.

The identification or treatment of some property types may be technically possible but the cost prohibitive; or techniques may not currently perfected (for example, the identification of submerged sites or objects, or the evaluation of sites containing material for which dating techniques are still being developed).

3. Identification, evaluation, registration and treatment activities previously carried out for property types in the historic context.

If a number of properties representing one aspect of a historic context have been recorded or preserved, treatment of additional members of that property type may receive lower priority than treatment of a property type for which no examples have yet been recorded or preserved. This approach ensures that the focus of recording or preserving all elements of ths historic context is retained, rather than limiting activities to preserving properties representing only some aspects of the context.

The result of considering the goals in light of these concerns will be a list of refined goals ranked in order of priority.

*Integrating Individual Contexts—Creating the Preservation Plan*

When historic contexts overlap geographically, competing goals and priorities must be integrated for effective preservation planning. The ranking of goals for each historic context must be reconciled to ensure that recommendations for one context do not contradict those for another. This important step results in an overall set of priorities for several historic contexts and a list of the activities to be performed to achieve the ranked goals. When applied to a specific geographical area, this is the preservation plan for that area.

It is expected that in many instances historic contexts will overlap geographically. Overlapping contexts are likely to occur in two combinations—those that were defined at the same scale (i.e., textile development in Smithtown 1850–1910 and Civil War in Smithtown 1855–1870) and those defined at different scales (i.e., Civil War in Smithtown and Civil War in the Shenandoah Valley). The contexts may share the same property types, although the shared property types will probably have different levels of importance, or they may group the same properties into different property types, reflecting either a different scale of analysis or a different historical perspective.

As previously noted, many of the goals that the formulated for a historic context will focus on the property types defined for that context. Thus it is critical that the integration of goals include the explicit consideration of the potential for shared property type membership by individual properties. For example, when the same property types are used by two contexts, reconciling the goals will require weighing the level of importance assigned to each property type. The degree to which integration of historic contexts must involve reconciling property types may be limited by the coordinated development of historic contexts used at various levels.

*Integration with Management Frameworks*

Preservation goals and priorities are adapted to land units through integration with other planning concerns. This integration must involve the resolution of conflicts that arise when competing resources occupy the same land base. Successful resolution of these conflicts can often be achieved through judicious combination of inventory, evaluation and treatment activities. Since historic properties are irreplaceable, these activities should be heavily weighted to discourage the destruction of significant properties and to be compatible with the primary land use.

*Recommended Sources of Technical Information*

*Resource Protection Planning Process.* State and Plans Grants Division, 1980. Washington, D.C. Available from Survey and Planning Branch, Interagency Resources Division, National Park Service, Department of the Interior, Washington, D.C. 20240. Outlines a step-by-step approach to implementing the resource protection planning process.

*Resource Protection Planning Process Case Studies.* Available from Survey and Planning Branch, Interagency Resources Division, National Park Service, Department of the Interior, Washington, D.C. 20240. Reports prepared by State Historic Preservation Offices and other using the planning process.

*Planning Theory.* Andreas Faludi, 1980. Oxford: Pergamon Press. Constructs a model of planning using concepts borrowed from general systems theory.

## SECRETARY OF THE INTERIOR'S STANDARDS FOR IDENTIFICATION

Identification activities are undertaken to gather information about historic properties in an area. The scope of these activities will depend on: existing knowledge about properties; goals for survey activities developed in the planning process; and current management needs.

*Standard I. Identification of Historic Properties Is Undertaken to the Degree Required To Make Decisions*

Archival research and survey activities should be designed to gather the information necessary to achieve defined preservation goals. The

objectives, chosen methods and techniques, and expected results of the identification activities are specified in a research design. These activities may include archival research and other techniques to develop historic contexts, sampling an area to gain a broad understanding of the kinds of properties it contains, or examining every property in an area as a basis for property specific decisions. Where possible, use of quantitative methods is important because it can produce an estimate, whose reliability may be assessed, of the kinds of historic properties that may be present in the studied area. Identification activities should use a search procedure consistent with the management needs for information and the character of the area to be investigated. Careful selection of methods, techniques and level of detail is necessary so that the gathered information will provide a sound basis for making decisions.

*Standard II. Results of Identification Activities are Integrated Into the Preservation Planning Process*

Results of identification activities are reviewed for their effects on previous planning data. Archival research or field survey may refine the understanding of one or more historic contexts and may alter the need for additional survey or study of particular property types. Incorporation of the results of these activities into the planning process is necessary to ensure that the planning process is always based on the best available information.

*Standard III. Identification Activities Include Explicit Procedures for Record-Keeping and Information Distribution*

Information gathered in identification activities is useful in other preservation planning activities only when it is systematically gathered and recorded, and made available to those responsible for preservation planning. The results of identification activities should be reported in a format that summarizes the design and methods of the survey, provides a basis for others to review the results, and states where information on identified properties is maintained. However, sensitive information, like the location of fragile resources, must be safeguarded from general public distribution.

*Secretary of the Interior's Guidelines for Identification*

*Introduction*

These Guidelines link the Standards for Identification with more specific guidance and technical information. The Guidelines outline one approach to meet the Standards for Identification. Agencies, organizations and individuals proposing to approach identification differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

Role of Identification in the Planning Process
Performing Identification
Integrating Identification Results
Reporting Identification Results
Recommended Sources of Technical Information

*Role of Identification in the Planning Process*

Identification is undertaken for the purpose of locating historic properties and is composed of a number of activities which include, but are not limited to archival research, informant interviews, field survey and analysis. Combinations of these activities may be selected and appropriate levels of effort assigned to produce a flexible series of options. Generally identification activities will have multiple objectives, reflecting complex management needs. Within a comprehensive planning process, identification is normally undertaken to acquire property-specific information needed to refine a particular historic context or to develop any new historic contexts. (See the Guidelines for Preservation Planning for discussion of information gathering to establish plans and to develop historic contexts.) The results of identification activities are then integrated into the planning process so that subsequent activities are based on the most up-to-date information. Identification activities are also undertaken in the absence of a comprehensive planning process, most frequently as part of a specific land-use or development project. Even lacking a formally developed preservation planning process, the benefits of efficent, goal-directed research may be obtained by the development of localized historic contexts, suitable in scale for the project area, as part of the background research which customarily occurs before field survey efforts.

*Performing Identification*

Research Design

Identification activities are essentially research activities for which a statement of objectives or research design should be prepared before work is performed. Within the framework of a comprehensive planning process, the research design provides a vehicle for integrating the various activities performed during the identification process and for linking those activities directly to the goals and the historic context(s) for which those goals were defined. The research design stipulates the logical integration of historic context(s) and field and laboratory methodology. Although these tasks may be performed individually, they will not contribute to the greatest extent possible in increasing information on the historic context unless they relate to the defined goals and to each other. Additionally, the research design provides a focus for the integration of interdisciplinary information. It ensures that the linkages between specialized activities are real, logical and address the defined research questions. Identification activities should be guided by the research design and the results discussed in those terms. (See Reporting Identification Results)

The research design should include the following:

1. *Objectives* of the identification activities. For example: to characterize the range of historic properties in a region; to identify the number of properties associated with a context; to gather information to determine which properties in an area are significant.

The statement of objectives should refer to current knowledge about the historic contexts or property types, based on background research or assessments of previous research. It should clearly define the physical extent of the area to be investigated and the amount and kinds of information to be gathered about properties in the area.

2. *Methods* to be used to obtain the information. For example: archival research or field survey. Research methods should be clearly and specifically related to research problems.

Archival research or survey methods should be carefully explained so that others using the gathered information can understand how the information was obtained and what its possible limitations or biases are.

The methods should be compatible with the past and present environmental character of the geographical area under study and the kinds of properties most likely to be present in the area.

3. *The expected results* and the reasons for those expections.

Expectations about the kind, number, location, character and condition of historic properties are generally based on a combination of background research, proposed hypotheses, and analogy to the kinds of properties known to exist in areas of similar environment or history.

Archival Research

Archival or background research is generally undertaken prior to any field survey. Where identification is undertaken as part of a comprehensive planning process, background research may have taken place as part of the development of the historic contexts (see the Guidelines for Preservation Planning). In the absence of previously developed historic contexts, archival research should address specific issues and topics. It should not duplicate previous work. Sources should include, but not be limited to, historical maps, atlases, tax records, photographs, ethnographies, folklife documentation, oral histories and other studies, as well as standard historical reference works, as appropriate for the research problem. (See the Guidelines for Historical Documentation for additional discussion.)

Field Survey

The variety of field survey techniques available, in combination with the varying levels of effort that may be assigned, give great flexibility to implementing field surveys. It is important that the selection of field survey techniques and level of effort be responsive to the management needs and preservation goals that direct the survey effort.

Survey techniques may be loosely grouped into two categories, according to their results. First are the techniques that result in the characterization of a region's historic properties. Such techniques might include "windshield" or walk-over surveys, with perhaps a limited use of sub-surface survey. For purposes of these Guidelines, this kind of survey is termed a "reconnaissance." The second category of survey techniques is those that permit the identification and description of specific historic properties in an area; this kind of survey effort is termed "intensive." the terms "reconnaissance" and "intensive" are sometimes defined to mean particular survey techniques, generally with regard to prehistoric sites. The use of the terms here is general and is not intended to redefine the terms as they are used elsewhere.

*Reconnaissance survey* might be most profitably employed when gathering data to refine a developed historic context—such as checking on the presence or absence of expected property types, to define specific property types or to estimate the distribution of historic properties in an area. The results of regional characterization activities provide a general understanding of the historic properties in a particular area and permit management decisions that consider the sensitivity of the area in terms of historic preservation concerns and the resulting implications for future land use planning. The data should allow the formulation of estimates of the necessity, type and cost of further identification work and the setting of priorities for the individual tasks involved. In most cases, areas surveyed in this way will require resurvey if more complete information is needed about specific properties.

A reconnaissance survey should document:

1. The kinds of properties looked for;
2. The boundaries of the area surveyed;
3. The method of survey, including the extent of survey coverage;
4. The kinds of historic properties present in the surveyed area;
5. Specific properties that were identified, and the categories of information collected; and
6. Places examined that did not contain historic properties.

*Intensive survey* is most useful when it is necessary to know precisely what historic properties exist in a given area or when information sufficient for later evaluation and treatment decisions is needed on individual historic properties. Intensive survey describes the distribution of properties in an area; determines the number, location, and condition of properties; determines the types of properties actually present within the area; permits classification of individual properties; and records the physical extent of specific properties.

An intensive survey should document:

1. The kinds of properties looked for;
2. The boundaries of the area surveyed;
3. The method of survey, including an estimate of the extent of survey coverage;
4. A record of the precise location of all properties identified; and
5. Information on the appearance, significance, integrity and boundaries of each property sufficient to permit an evaluation of its significance.

Sampling

Reconnaissance or intensive survey methods may be employed according to a sampling procedure to examine less-than-the-total project or planning area.

Sampling can be effective when several locations are being considered for an undertaking or when it is desirable to estimate the cultural resources of an area. In many cases, especially where large land areas are involved, sampling can be done in stages. In this approach, the results of the initial large area survey are used to structure successively smaller, more detailed surveys. This "nesting" approach is an efficient technique since it enables characterization of both large and small areas with reduced effort. As with all investigative techniques, such procedures should be designed to permit an independent assessment of results.

Various types of sample surveys can be conducted, including, but not limited to: random, stratified and systematic. Selection of sample type should be guided by the problem the survey is expected to solve, the nature of the expected properties and the nature of the area to be surveyed.

Sample surveys may provide data to estimate frequencies of properties and types of properties within a specified area at various confidence levels. Selection of confidence levels should be based upon the nature of the problem the sample survey is designed to address.

Predictive modeling is an application of basic sampling techniques that projects or extrapolates the number, classes and frequencies of properties in unsurveyed areas based on those found in surveyed areas. Predictive modeling can be an effective tool during the early stages of planning an undertaking, for targeting field survey and for other management purposes. However, the accuracy of the model must be verified; predictions should be confirmed through field testing and the model redesigned and retested if necessary.

Special survey techniques

Special survey techniques may be needed in certain situations.

Remote sensing techniques may be the most effective way to gather background environmental data, plan more detailed field investigations, discover certain classes of properties, map sites, locate and confirm the presence of predicted sites, and define features within properties. Remote sensing techniques include aerial, subsurface and underwater techniques. Ordinarily the results of remote sensing should be verified through independent field inspection before making any evaluation or statement regarding frequencies or types of properties.

*Integrating Identification Results*

The results of identification efforts must be integrated into the planning process so that planning decisions are based on the best available information. The new informantion is first assessed against the objectives of the identification effort to determine whether the gathered information meets

the defined identification goals for the historic context(s); then the goals are adjusted accordingly. In addition, the historic context narrative, the definition of property types and the planning goals for evaluation and treatment are all adjusted as necessary to accommodate the new data.

*Reporting Identification Results*

Reporting of the results of identification activities should begin with the statement of objectives prepared before undertaking the survey. The report should respond to each of the major points documenting:

1. Objectives;
2. Area researched or surveyed;
3. Research design or statement of objectives;
4. Methods used, including the intensity of coverage. If the methods differ from those outlined in the statement of objectives, the reasons should be explained.
5. Results: how the results met the objectives; result analysis, implications and recommedations; where the compiled information is located.

A summary of the survey results should be available for examination and distribution. Identified properties should then be evaluated for possible inclusion in appropriate inventories.

Protection of information about archeological sites or other properties that may be threatened by dissemination of that information is necessary. These may include fragile archeological properties or properties such as religious sites, structures, or objects, whose cultural value would be compromised by public knowledge of the property's location.

*Recommended Sources of Technical Information*

*The Archeological Survey: Methods and Uses.* Thomas F. King. Interagency Archeological Services, U.S. Department of the Interior, 1978. Washington, D.C. Available through the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. GPO stock number 024-016-00091. Written primarily for the non-archeologist, this publication presents methods and objectives for archeological surveys.

*Cultural Resources Evaluation of the Northern Gulf of Mexico Continental Shelf.* National Park Service, U.S. Department of the Interior, 1977.

*Guidelines for Local Surveys: A Basis for Preservation Planning.* Anne Derry, H. Ward Jandl, Carol Shull and Jan Thorman. National Register Division, U.S. Department of the Interior, 1978. Washington, D.C. Available through the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. GPO stock number 024-016-0089-7. General guidance about designing and carrying out community surveys.

*The Process of Field Research: Final Report on the Blue Ridge Parkway Folklife Project.* American Folklife Center, 1981.

*Regional Sampling in Archeology.* David Hurst Thomas. University of California, Archeological Survey Annual Report, 1968-9, 11:87-100.

*Remote Sensing: A Handbook for Archeologists and Cultural Resource Managers.* Thomas R. Lyons and Thomas Eugene Avery. Cultural Resource Management Division, National Park Service, U.S. Department of the Interior, 1977.

*Remote Sensing and Non-Destructive Archeology.* Thomas R. Lyons and James L. Ebert, editors. Remote Sensing Division, Southwest Cultural Resources Center, National Park Service, U.S. Department of the Interior and University of New Mexico, 1978.

*Remote Sensing Experiments in Cultural Resource Studies: Non-Destructive Methods of Archeological Exploration, Survey and Analysis.* Thomas R. Lyons, assembler, reports of the Chaco Center, Number One. National Park Service, U.S. Department of the Interior and University of New Mexico, 1976.

*Sampling in Archeology.* James W. Mueller, editor. University of Arizona Press, 1975. Tucson, Arizona.

*Scholars as Contractors.* William J. Mayer-Oakes and Alice W. Portnoy, editors. Cultural Resource Management Studies. U.S. Department of the Interior, 1979.

*Sedimentary Studies of Prehistoric Archeological Sites.* Sherwood Gagliano, Charles Pearson, Richard Weinstein, Diana Wiseman, and Christopher McClendon. Division of State Plans and Grants, National Park Service, U.S. Department of the Interior, 1982. Washington, D.C. Available from Coastal Environments Inc., 1260 Main Street, Baton Rouge, Louisiana 70802. Establishes and evaluates a method for employing sedimentological analysis in distinguishing site areas from non-site areas when identifying submerged archeological sites on the continental shelf.

*State Survey Forms.* Available from Interagency Resource Management Division, National Park Service, Department of the Interior, Washington, D.C. 20240. Characterizes cultural resource survey documentation methods in State Historic Preservation Offices.

*Truss Bridge Types: A Guide to Dating and Identifying.* Donald C. Jackson and T. Allan Comp. American Association for State and Local History, 1977, Nashville, Tennessee. Technical leaflet #95. Available from AASLH, 708 Berry Road, Nashville, Tennessee 37204. Information about performing surveys of historic bridges and identifying the types of properties encountered.

## Secretary of the Interior's Standards for Evaluation

Evaluation is the process of determining whether identified properties meet defined criteria of significance and therefore should be included in an inventory of historic properties determined to meet the criteria. The criteria employed vary depending on the inventory's use in resource management.

*Standard I. Evaluation of the Significance of Historic Properties Uses Established Criteria*

The evaluation of historic properties employs criteria to determine which properties are significant. Criteria should therefore focus on historical, architectural, archeological, engineering and cultural values, rather than on treatments. A statement of the minimum information necessary to evaluate properties against the criteria should be provided to direct information gathering activities.

Because the National Register of Historic Places is a major focus of preservation activities on the Federal, State and local levels, the National Register criteria have been widely adopted not only as required for Federal purposes, but for State and local inventories as well. The National Historic Landmark criteria and other criteria used for inclusion of properties in State historic site files are other examples of criteria with different management purposes.

*Standard II. Evaluation of Significance Applies the Criteria Within Historic Contexts*

Properties are evaluated using a historic context that identifies the significant patterns that properties represent and defines expected property types against which individual properties may be compared. Within this comparative framework, the criteria for evaluation take on particular meaning with regard to individual properties.

*Standard III. Evaluation Results in A List or Inventory of Significant Properties That Is Consulted In Assigning Registration and Treatment Priorities*

The evaluation process and the subsequent development of an inventory of significant properties is an on-going activity. Evaluation of the significance of a property should be completed before registration is considered and before preservation treatments are selected. The inventory entries should contain sufficient information for subsequent activities such as registration or treatment of properties, including an evaluation statement that makes clear the significance of the property within one or more historic contexts.

*Standard IV. Evaluation Results Are Made Available to the Public*

Evaluation is the basis of registration and treatment decisions. Information about evaluation decisions should be organized and available for use by the general public and by those who take part in decisions about registration and treatment. Use of appropriate computer-assisted data bases should be a part of the information dissemination effort. Sensitive information, however, must be safeguarded from general public distribution.

**Secretary of the Interior's Guidelines for Evaluation**

*Introduction*

These Guidelines link the Standards for Evaluation with more specific guidance and technical information. These Guidelines describe one approach to meeting the Standards for Evaluation. Agencies, organizations, or individuals proposing to approach evaluation differently may wish to review their approach with the National Park Service.

The Guidelines are organized as follows:

The Evalauation Process
Criteria
Application of Criteria within a Historic Context
Inventory
Recommended Sources of Technical Information

*The Evaluation Process*

These Guidelines describe principles for evaluating the significance of one or more historic properties with regard to a given set of criteria.

Groups of related properties should be evaluated at the same time whenever possible; for example, following completion of a theme study or community survey.

Evaluation should not be undertaken using documentation that may be out of date. Prior to proceeding with evaluation the current condition of the property should be determined and previous analyses evaluated in light of any new information.

Evaluation must be performed by persons qualified by education, training and experience in the application of the criteria. Where feasible, evaluation should be performed in consultation with other individuals experienced in applying the relevant criteria in the geographical area under consideration; for example, the State Historic Preservation Officer or local landmarks commission.

Evaluation is completed with a written determination that a property is or is not significant based on provided information. This statement should be part of the record.

Criteria: The purposes of evaluation criteria should be made clear. For example, the criteria may be used "to evaluate properties for inclusion in the county landmarks list," or "to implement the National Register of Historic Places program."

For Federal cultural resource management purposes, criteria used to develop an inventory should be coordinated with the National Register criteria for evaluation as implemented in the approved State comprehensive historic preservation plan.

Content of Criteria: Criteria should be appropriate in scale to the purpose of the evaluation. For example, criteria designed to describe national significance should not be used as the basis for creating a county or State inventory. Criteria should be categorical and not attempt to describe in detail every property likely to qualify. Criteria should outline the disciplines or broad areas of concern (history, archeology, architectural history, engineering and culture, for example) included within the scope of the inventory; explain what kinds of properties, if any, are excluded and the reasons for exclusion; and define how levels of significance are measured, if such levels are incorporated into the criteria. If the criteria are to be used in situations where the National Register criteria are also widely used, it is valuable to include a statement explaining the relationship of the criteria used to the National Register criteria, including how the scope of the inventory differs from that defined by the National Register criteria and how the inventory could be use to identify properties that meet the National Register criteria.

Information Needed to Evaluate Properties: The criteria should be accompanied by a statement defining the minimum information necessary to evaluate properties to insure that this information is collected during identification activities intended to locate specific historic properties. Generally, at least the following will be needed:

1. Adequately developed historic contexts, including identified property types. (See the Guidelines for Preservation Planning for discussion of development of historic contexts.)

2. Sufficient information about the appearance, condition and associative values of the property to be evaluated to:

a. Classify it as to property type;

b. Compare its features or characteristics with those expected for its property type; and

c. Define the physical extent of the property and accurately locate the property.

To facilitate distinguishing between facts and analysis, the information should be divided into categories, including identification and description of pertinent historical contexts; description of the property and its significance in the historical context; and analysis of the integrity of the property relative to that needed to represent the context.

Usually documentation need not include such items as a complete title history or biography of every owner of a property, except where that information is important in evaluating its significance. Information on proposed or potential treatments or threats, such as destruction of a property through uncontrollable natural processes, is also not needed for evaluation, unless those effects are likely to occur prior to or during the evaluation, thereby altering the significant characteristic of the property. If archeological testing or structural analysis is needed for evaluation, it should not proceeded beyond the point of providing the information necessary for evaluation and should not unnecessarily affect significant features or values of the property.

When more information is needed: Evaluation cannot be conducted unless all necessary information is available. (See Information Needed to Evaluate Properties.) Any missing information or analysis should be identified (e.g. development of context or information on the property) as well as the specific activities required to obtain the information (archival research, field survey and testing, or laboratory testing). When adequate information is not available, it is important to record that fact so that evaluation will not be undertaken until the information can be obtained. In some cases needed information is not obtainable, for example, where historical records have been destroyed or analytical techniques have not been developed to date materials in archeological sites. If an evaluation must be completed in these cases, it is important to acknowledge what information was not obtainable and how that missing information may affect the reliability of the evaluation.

*Application of the Criteria within a Historic Context*

The first step in evaluation is considering how the criteria apply to the

particular historic context. This is done by reviewing the previously developed narrative for the historic context and determining how the criteria would apply to properties in that context, based on the important patterns, events, persons and cultural values identified. (See the discussion of the historic context narrative in the Guidelines for Preservation Planning.) This step includes identification of which criteria each property type might meet and how integrity is to be evaluated for each property type under each criterion. Specific guidelines for evaluating the eligibility of individual properties should be established. These guidelines should outline and justify the specific physical characteristics or data requirements that an individual property must possess to retain integrity for the particular property type; and define the process by which revisions or additions can be made to the evaluation framework.

Consideration of property type and intergrity: After considering how the criteria apply to the particular historic context, the evaluation process for a property generally includes the following steps:

1. A property is classified as to the appropriate historic context(s) and property type(s). If no existing property type is appropriate, a new property type is defined, its values identified, and the specific characteristics or data requirements are outlined and justified as an addition to the historic context. If necessary, a new historic context is defined for which values and property types and their integrity requirements are identified and justified.

2. A comparison is made between the existing information about the property and the integrity characteristics or data required for the property type.

a. If the comparison shows that the property possesses these characteristics, then it is evaluated as significant for that historic context. The evaluation includes a determination that the property retains integrity for its type.

b. If the comparison shows that the property does not meet the minimum requirements, one of several conclusions is reached:

(1) The property is determined not significant because it does not retain the integrity defined for the property type.

(2) The property has characteristics that may make it significant but these differ from those expected for that property type in that context. In this case, the historic context or property types should be reexamined and revised if necessary, based on subsequent research and survey.

The evaluation should state how the particular property meets the integrity requirements for its type. When a property is disqualified for loss of integrity, the evaluation statement should focus on the kinds of integrity expected for the property type, those that are absent for the disqualified property, and the impact of that absence on the property's ability to exemplify architectural, historical or research values within a particular historic context.

The integrity of the property in its current condition, rather than its likely condition after a proposed treatment, should be evaluated. Factors such as structural problems, deterioration, or abandonment should be considered in the evaluation only if they have affected the integrity of the significant features or characteristics of the property.

*Inventory*

An inventory is a repository of information on specific properties evaluated as significant.

Content: The inventory should include:

1. Summaries of the important historic contexts. These may be in the form of an approved plan or analyses of historic contexts important in the history of the geographical area covered by the inventory.

2. Descriptions of significant property types of these contexts, whether or not any specific properties have been identified.

3. Results of reconnaissance surveys or other identification activities, even if the level of information on specific properties identified as part of those activities is not sufficient to evaluate individual properties.

4. Information on individual properties that was used in evaluation.

Historic contexts are identified by name, with reference to documents describing those contexts, or with a narrative statement about the context(s) where such documents do not exist.

A description of the property. Part of this description may be a photographic record.

A statement that justifies the significance of the property in relation to its context(s). This statement should include an analysis of the integrity of the property.

Boundaries of the property.

A record of when a property was evaluated and included in the inventory, and by whom.

Records on demolished or altered properties and properties evaluated as not significant should be retained, along with full description of areas surveyed, for the planning information these records provide about impacts to properties and about the location and character of non-significant properties to prevent redundant identification work at a later time.

Maintenance: Inventory entries should be maintained so that they accurately represent what is known about historic properties in the area covered by the inventory. This will include new information gained from research and survey about the historic contexts, property types, and previously evaluated properties, as well as information about newly evaluated properties. For individual properties, addition of kinds of significance, change in the boundaries, or loss of significance through demolition or alteration should be recorded.

*Uses and Availability:* An inventory should be managed so that the information is accessible. Its usefulness depends on the organization of information and on its abilty to incorporate new information. An inventory should be structured so that entries can be retrieved by locality or by historic context.

The availability of the inventory information should be announced or a summary should be distributed. This may be in the form of a list of properties evaluated as significant or a summary of the historic contexts and the kinds of properties in the inventory. Inventories should be avilable to managers, planners, and the general public at local, State, regional, and Federal agency levels.

It is necessary to protect information about archeological sites or other properties whose integrity may be damaged by widespread knowledge of their location. It may also be necessary to protect information on the location of properties such as religious sites, structures, or objects whose cultural value would be compromised by public knowledge of the property's location.

*Recommended Sources of Technical Information*

*How to Apply the National Register Criteria.* Available through the National Register Branch, Interagency Resources Division, National Park Service, U.S. Department of the Interior, Washington, D.C. 20240. Provides detailed technical information about interpretation of the significance and integrity criteria used by the National Register of Historic Places program.

*How To* Series. Available through the National Register Branch, Interagency Resources Division, National Park Service, U.S. Department of the Interior, Washington, D.C. 20240. Discusses application of the National Register criteria for evaluation. Titles include:

How To Establish Boundaries for National Register Properties.
How To Evaluate and Nominate Potential National Register Properties That Have Achieved Significance Within the Last 50 Years.
How To Improve Quality of Photos for National Register Nominations.
How To Apply for Certification of Significance Under Section 2124 of the Tax Reform Act of 1976.
How To Apply for Certification of State and Local Statutes and Historic Districts.
How To Quality Historic Properties Under the New Federal Law Affective Easements.

*Importance of Small, Surface, and Disturged Sites as Sources of Significant Archeological Data.* Valerie Talmage and Olga Chesler. Interagency Archeological Service 1977. Washington, D.C. Available from the National Technical Information Service. NTIS Publication Number PB 270939/AS. Discusses the role of small, surface, and disturbed sites as sources of significant information about a variety of prehistoric activities. These types of sites are frequently ignored in the development of regional archeological research designs.

**Secretary of the Interior's Standards For Registration**

Registration is the formal recognition of properties evaluated as significant. Preservation benefits provided by various registration programs range from honorific recognition to prohibition of demolition or alteration of included properties. Some registration programs provide recognition and other broad benefits while other programs authorize more specific forms of protection.

*Standard I. Registration Is Conducted According To Stated Procedures*

Registration of historic properties in the National Register of Historic Places must be done in accordance with the National Register regulations published in the Code of Federal Regulations, 36 CFR 60. Registration for other lists or purposes follow an established process that is understood by the public, particularly by those interests that may be affected by registration.

*Standard II. Registration Information Locates, Describes and Justifies the Significance and Physical Integrity of a Historic Property*

Registers are used for planning, research and treatment. They must contain adequate information for users to locate a property and understand its significance. Additional information may be appropriate depending on the intended use of the register.

*Standard III. Registration Information is Accessible to the Public*

Information should be readily available to the public and to government agencies responsible for the preservation of historic properties and for other planning needs.

**Secretary of the Interior's Guidelines for Registration**

*Introduction*

These Guidelines link the Standards for Registration with more specific guidance and technical information. They describe one approach to meeting the Standards for Registration. Agencies, organizations, or individuals proposing to approach registration differently may wish to review their approach with the National Park Service.

The Guidelines are organized as follows:

Purpose of Registration Programs
Registration Procedures
Documentation on Registered Properties
Public Availability
Recommended Sources of Technical Information

*Purpose of Registration Programs*

Registration of historic properties is the formal recognition of properties that have been evaluated as significant according to written criteria. Registration results in an official inventory or list that serves an administrative function. A variety of benefits or forms of protection accure to a registered property, ranging from honorific recognition to prohibition of demolition or alteration.

Some registration programs provide recognition and other broad benefits or entitlements, while other registrations of properties may, in addition, authorize more specific forms of protection. The application of the registration process should be a logical outgrowth of the same planning goals and priorities that guided the identification and evaluation activities. All registration programs should establish priorities for recognition of their authorized range of properties; provide for confidentiality of sensitive information; and establish a means of appealing the registration or non-registration of a property.

*Registration Procedures*

Explicit procedures are essential because they are the means by which the public can understand and participate in the registration process. Procedures for registration programs should be developed by professionals in the field of historic preservation, in consultation with those who will use or be affected by the program. Prior to taking effect, procedures should be published or circulated for comment at the governmental level at which they will be used. (Procedures for registration of properties in the National Register of Historic Places and the National Historic Landmarks list, for example, are published in the **Federal Register**.)

Any registration program should include:

1. A professional staff to prepare or assess the documentation;
2. A professional review, independent of the nominating source, to provide an impartial evaluation of the documented significance;
3. Adequate notice to property owners, elected officials and the public about proposed registrations and the effects of listing, if any; and
4. A means of public participation.

Professional Review: The registration process should include an independent evaluation of the significance of the property and of the quality and thoroughness of the documentation supporting that significance. Such evaluation ensures that significance is adequately justified and that registration documentation meets the technical requirements of the registration process.

State and local preservation programs, concerned with both public and private properties, generally use a review board, panel or commission. This level of professional review has proven to be effective in assessing the significance of properties considered for registration.

Review boards and other forms of independent review should include professionals in the fields or diciplines included in the criteria; representatives of other fields or disciplines may be desirable to reflect other values or aspects of the register. Key personnel must be qualified by education, training or experience to accomplish their designated duties. (See the Professional Qualifications Standards.)

The scope of the independent review should be clearly stated in the registration procedures and should not include issues outside the scope of the applicable criteria for evaluation and other areas specified in the procedures. Generally, independent reviewers should not be involved in any primary research or analysis related to properties under consideration; this information should be gathered and organized prior to review meetings. Documentation presented to the reviewers should be made available to

the public prior to review meetings or public hearings. Registration of properties should not take place until review of documentation has been completed.

Public Notice: Adequate notice allows property owners, officials and other interested parties to comment on proposed registrations prior to action by the independent reviewers. The degree of protection and control provided by a registration program may be a factor in determining what constitutes adequate notice. For example, adequate notice of proposed inclusion in honorific registers may be less complex than that for registration that results in local controls on alteration or demolition of registered properties.

Notice to elected officials and the public is necessary to distribute information about potential registrations of concern to planning and development interests.

Adequate notice to property owners may be accomplished through means ranging from individual notification by mail to publication of a public notice, depending on the nature of the registration program and the number and character of the properties involved.

Public notices and owner notification about proposed registrations should include the dates and times of public meetings and review meetings, the kinds of comments that are appropriate, and how comments will be considered in the evaluation process. The notice should also state where information can be obtained about the registration program, the criteria used to evaluate properties for inclusion, and the significance of specific properties under consideration.

The procedures should include a means of public participation in the form of submission of written comments or a review meeting open to the public or a public hearing.

The procedures should state time periods within which reviews, notices, comments, public hearings, review meetings and appeals will occur. The time periods should be short enough to allow for efficient recognition of historic properties but also allow adequate time for public comment and participation by those affected. Time periods may vary depending on whether activities are carried out at the local, State, or national level. These time schedules should be widely circulated so that the process is widely understood.

Appeal Process: A means of appeal should be included in the registration process to allow for reconsideration of a property's inclusion. Reasons for appeal may range from existence of additional information about the property supporting or refuting its significance to administrative or procedural error. An appeal process should specify to whom an appeal may be made and how the information that is provided will be evaluated. The appeal procedures should also state the time limit, if any, on appealing a decision and on consideration of information and issuance of a decision by the appeal authority.

*Documentation on Registered Properties*

Documentation requirements should be carefully weighed to provide the information *actually* needed to reach a registration decision and should be made public. It should be made certain that identification and evaluation activities obtain and record the information necessary for registration. Documentation should be prepared in a standardized format and on materials that are archivally stable and easy to store and retrieve.

Location: The precise location of a historic property must be clearly identified.

Street address, town or vicinity, and county should be provided. Properties should also be located on maps; these may be USGS maps, county planning maps, or city base maps or real estate maps. A uniform system of noting location, such as UTM grid points or longitude and latitude, should supplement mapping. It is recommended that each registration process standardize the preferred choice of maps appropriate to the scope of the process.

Description: An accurate description of a property includes a description of both the current and historical physical appearance and condition of the property and notes the relevant property type(s) for the applicable historic context(s). Discussion should include alterations, deterioration, relocation and other changes to the property since its period of significance.

Significance: A statement of significance should explain why a property meets the criteria for inclusion in the register to which it has been nominated.

This statement should contain at least 3 elements:

1. Reference to the relevant historic context(s);
2. Identification of relevant property types within the context and their characteristics; and
3. Justification that the property under consideration has the characteristics required to qualify it.

Relevant historic contexts can be identified through reference to the preservation plan or other documents where the contexts have been previously described or can be provided by a narrative discussion of the context. (The development of contexts and their use in evaluating properties are discussed in the Guidelines for Preservation Planning and the Guidelines for Evaluation.) A significant property type and its characteristics are identified either through reference to the historic context(s) or by a narrative in the documentation that describes historic contexts. Justification of a specific property is made by systematic comparison of its characteristics to those required for the property type.

Boundaries: The delineation and justification of boundaries for a registered property are important for future treatment activities. It is expecially critical when legal restraints or restrictions may result from the registration of properties. Thus, boundaries should correspond as closely as possible to the actual extent and configuration of the property and should be carefully selected to encompass, but not exceed, the extent of the significant resource(s). The selection of boundaries should reflect the significant aspects of the property.

Arbitrary boundaries should not be chosen for ease of description since this can result in the inclusion of unrelated land or in exclusion of a portion of the historic property. Present property lines should not be chosen as property boundaries without careful analysis of whether they are appropriate to the historic property. A single uniform boundary description and acreage should not be applied to a group or class of properties (antebellum plantations, for example) without examination of the actual extent of each property. The selected boundaries should be justified as appropriate to the historic property.

Boundaries should be clearly and precisely described, using a verbal boundary description, legal description, accurate sketch map, or lines drawn on base maps, or a combination of these where needed to specify the limits of the property being registered. When used, maps should show the location of buildings, structures, sites or objects within the boundary.

Updating Information on Registered Properties: A change in the condition of the significant features of a property may require a change in the official registration record. Alteration of a significant architectural feature, for example, could mean that a property is no longer significant for its architectural design.

Additional significance of registered properties may be identified through development of new historic contexts.

Research may reveal that a property is significant in other historic contexts or is significant at a higher level. For example, a property previously recognized as of local significance could be found to be of national significance.

A change in location or condition of a registered property may mean that the property is no longer significant for the reasons for which it was registered and the property should be deleted from the registered list.

*Public Availability*

Lists of registered properties should be readily available for public use, and information on registered properties should be distributed on a regular basis. Lists of properties registered nationally are distributed through publication in the **Federal Register** and to Congressional Offices and State Historic Preservation Offices. Comprehensive information should be stored and maintained for public use at designated national, State and local authorities open to the public on a regular basis.

Information should be retrievable by the property name, and location, historic context or property type. The specific location of properties that may be threatened by dissemination of that information must be withheld. These may include fragile archeological properties or properties such as religious sites, structures, or objects whose cultural value would be compromised by public knowledge of the property location.

*Recommended Sources of Technical Information*

*How to Complete National Register Forms.* National Register Division, National Park Service, U.S. Deparment of the Interior, 1977. Washington, D.C. Available through the Superintendent of Documents, US Government Printing Office, Washington, D.C. 20402. GPO Stock Number 024–005–00666–4. This publication is the standard reference on the documentation requirements of the National Register of Historic Places program.

*How To* Series. Available through the National Register Branch, Interagency Resources Division, National Park Service, Department of the Interior 20240. These information sheets contain supplementary information about interpreting the National Register criteria for evaluation and documentation requirements of the National Register registration program. Title include:

How To Establish Boundaries for National Register Properties.

How To Evaluate and Nominate Potential National Register Properties That Have Achieved Significance Within the Last 50 Years.

How To Improve the Quality of Photographs for National Register Nominations.

How To Apply for Certification of Significance Under Section 2124 of the Tax Reform Act of 1976.

How To Apply for Certification of State and Local Statutes and Historic Districts.

How To Qualify Historic Properties Under the New Federal Law Affecting Easements.

**Note on Documentation and Treatment of Historic Properties**

Documentation and treatment of historic properties includes a variety of techniques to preserve or protect properties, or to document their historic values and information. While documentation activities may be applied to any potentially historic property, generally only those properties that first have been evaluated as significant against specified criteria (such as those of the National Register) are treated. Some commonly applied treatments are preservation in place, rehabilitation, restoration and stabilization; there are other types of treatments also. Documentation and treatment may be applied to the same property; for example, archeological, historical, and architectural documentation may be prepared before a structure is stabilized or before foundations or chimneys or other lost features are reconstructed.

Alternatives for treatment will usually be available, and care should be applied in choosing among them. Preservation in place is generally preferable to moving a property. Over time, the preferred treatment for a property may change; for example, an archeological site intended for preservation in place may begin to erode so that a combination of archeological documentation and stabilization may be required. If a decision is made that a particular property will not be preserved in place, the need for documentation must then be considered.

The three sets of documentation standards (i.e., the Standards for Historical Documentation, Standards for Architectural and Engineering Documentation, and Standards for Archeological Documentation) as well as the Standards for Historic Preservation Projects (Acquisition, Preservation, Stabilization, Protection, Rehabilitation, Restoration, and Reconstruction) describe the techniques of several disciplines to treat historic properties, and to document or preserve information about their historical values. The integration of planning for documentation and treatment with their execution is accomplished in a statement of objectives, or research design. Because both the goals and appropriate methodologies are likely to be interdisciplinary in nature, the relationship among these various activities should be specified in the research design to ensure that the resulting documentation produces a comprehensive record of historic properties in an efficient manner.

**Secretary of the Interior's Standards for Historical Documentation**

Historical documentation provides important information related to the significance of a property for use by historians, researchers, preservationists, architects, and historical archeologists. Research is used early in planning to gather information needed to identify and evaluate properties. (These activities are discussed in the Standards and Guidelines for Preservation Planning and the Standards and Guidelines for Identification.) Historical documentation is also a treatment that can be applied in several ways to properties previously evaluated as significant; it may be used in conjunction with other treatment activities (as the basis for rehabilitation plans or interpretive programs, for example) or as a final treatment to preserve information in cases of threatened property destruction. These Standards concern the use of research and documentation as a treatment.

*Standard I. Historical Documentation Follows a Research Design That Responds to Needs Identified in the Planning Process*

Historical documentation is undertaken to make a detailed record of the significance of a property for research and interpretive purposes and for conservation of information in cases of threatened property destruction. Documentation must have defined objectives so that proposed work may be assessed to determine whether the resulting documentation will meet needs identified in the planning process. The research design or statement of objectives is a formal statement of how the needs identified in the plan are to be addressed in a specific documentation project. This is the framework that guides the selection of methods and evaluation of results, and specifies the relationship of the historical documentation efforts to other proposed treatment activities.

*Standards II. Historical Documentation Employs an Appropriate Methodology to Obtain the Information Required by The Research Design*

Methods and techniques of historical research should be chosen to obtain needed information in the most efficient way. Techniques should be carefully selected and the sources should be

recorded so that other researchers can verify or locate information discovered during the research.

*Standard III. The Results of Historical Documentation Are Assessed Against the Research Design and Integrated Into the Planning Process*

Documentation is one product of research; information gatherd about the usefulness of the research design itself is another. The research results are assessed against the research design to determine how well they meet the objectives of the research. The results are integrated into the body of current knowledge and reviewed for their implications for the planning process. The research design is reviewed to determine how future research designs might be modified based on the activity conducted.

*Standard IV. The Results of Historical Documentation Are Reported and Made Available to the Public*

Research results must be accessible to prospective users. Results should be communicated to the professional community and the public in reports summarizing the documentation activity and identifying the repository of additional detailed information. The goal of disseminating information must be balanced, however, with the need to protect sensitive information whose disclosure might result in damage to properties.

**Secretary of the Interior's Guidelines for Historical Documentation**

*Introduction*

These Guidelines link the Standards for Historical Documentation with more specific guidance and technical information. They describe one approach to meeting the Standards for Historical Documentation. Agencies, organizations or individuals proposing to approach historical documentation differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

Historical Documentation Objectives
Research Design
Methods
Integrating Results
Reporting Results
Recommended Sources of Technical Information

*Documentation Objectives*

Documentation is a detailed record, in the form of a report or other written document, of the historical context(s) and significance of a property. Historical research to create documentation uses archival materials, oral history techniques, ethnohistories, prior research contained in secondary sources and other sources to make a detailed record of previously identified values or to investigate particular questions about the established significance of a property or properties. It is an investigative technique that may be employed to document associative, architectural, cultural or informational values of properties. It may be used as a component of structural recording or archeological investigation, to enable interpretation or to mitigate the anticipated loss of a property through conservation of information about its historical, architectural or archeological significance. Documentation generally results in both greater factual knowledge about the specific property and its values, and in better understanding of the property in its historical context. In addition to increasing factual knowledge about a property and its significance in one historical context, documentation may also serve to link the property to or define its importance in other known or yet-to-be defined historic contexts.

Documentation should incorporate, rather than duplicate, the findings of previous research. Research may be undertaken to identify how a particular property fits into the work of an architect or builder; to analyze the historical relationship among several properties; or to document in greater detail the historical contexts of properties. The kinds of questions investigated will generally depend on what is already known or understood and what information is needed. For example, documentation of a bridge whose technological significance is well understood, but whose role in local transportation history is not, would summarize the information on the former topic and focus research on the associative values of the property. The questions that research seeks to answer through deed, map or archival search, oral history and other techniques may also relate to issues addressed in structural documentation or archeological investigation; for example, the reasons for and history of modification of a building to be the subject of architectural or engineering documentation.

*Research Design*

Historical documentation is guided by a statement of objectives, research design or task directive prepared before research is performed. The research design is a useful statement of how proposed work will enhance existing archival data and permits comparison of the proposed work with the results. The purpose of the research design is to define the proposed scope of the documentation work and to define a set of expectations based on the information available prior to the research. Generally, the research design also ensures that research methods are commensurate with the type, quality and source of expected information.

The research design for a property should identify:

1. Evaluated significance of the property(ies) to be investigated;
2. Historical, architectural, archeological or cultural issues relevant to the evaluated significance of the property;
3. Previous research on those issues and how the proposed work is related to existing knowledge;
4. The amount and kinds of information required to produce reliable historical analyses;
5. Methods to be used to obtain the information;
6. Types of sources to be investigated; types of personnel required;
7. Expected results or findings based on available knowledge about the property and its context; and
8. Relationship of the proposed historical documentation to other proposed treatment activities; for example, recommendations on the use of documentation in interpretive programs or other aspects of treatment such as anticipated architectural, engineering or archeological documentation).

*Research Methods*

Research methods should be chosen based on the information needs, be capable of replication and be recorded so that another researcher could follow the same research procedure. Sources should be recorded so that other researchers can locate or verify the information discovered during the search.

Use of Sources: The variety of available written and graphic materials and the number of individuals that can serve as sources, including but not limited to personal records, deed and title books, newspapers, plats, maps, atlases, photographs, vital records, censuses, historical narratives, interviews of individuals and secondary source materials, should be considered in developing the research design. Part of the development of the research design is deciding what kinds of source materials are most likely to contain needed information and at what point in the research process that information will be most valuable. For example,

often secondary sources are most valuable for gathering background information, while primary sources are more useful to gather or confirm specific facts. The documentation goals may not *require* exhaustive investigation of sources, such as deed records or building permits. Research may be kept cost-effective by making careful decisions about when to use particular sources, thereby limiting the use of time-consuming techniques to when absolutely necessary. Decisions about when to gather information may also affect the quality of information that can be gathered. When dealing with large project areas where loss of many properties is anticipated, it is important to gather information from local archival sources and oral histories before project activities destroy or disperse family or community records and residents.

Analysis of the accuracy and biases of source materials is critical in analyzing the information gathered from these sources. Maps, historical atlases and insurance maps should be assessed like written records for errors, biases and omissions; for example, some map sources may omit structures of a temporary nature or may not fully depict ethnic or minority areas. Likewise, building plans and architectural renderings may not reflect a structure as it was actually built.

Analysis: Analysis should not only focus on the issues defined in the research design, but should also explore major new issues identified during the course of research or analysis. The documentation gathered may raise important issues not previously considered, and further investigation may be important, particularly when contradictory information has been gathered. It is important to examine the implications of these new issues to ensure that they are investigated in a balanced way.

Questions that should be considered in analyzing the information include:

1. Has enough information been gathered to anwser the questions that were posed?

2. Do the answers contradict one another? If so, it may be necessary to search for more evidence. If no additional evidence is available, judgements must be based on the available sources, weighing their biases. Conflicts of source materials should be noted.

In general, the more the researcher knows about the general historical period and setting, and limitations of the source materials under investigation, the better the individual is prepared to evaluate the information found in the documentary sources investigated. Peer review or consultation with other knowledgeable individuals about the information and the tentative conclusions can be an important part of the analysis.

*Integrating Results*

The results of documentation must be integrated into the planning process so that planning decisions are based on the best available informaiton. The new information is first assessed against the research design to determine whether the gathered information meets the defined objectives of the research. Then the relevant historic contexts, property types, and treatment goals for those contexts are all adjusted, as necessary, based on the historical documentation results.

*Reporting Results*

Reports should contain:

1. Summaries of the purpose of the documentation, the research design and methods and techniques of investigation.

2. Sources of facts or analyses so that other researchers can locate the information in its original context. Notation of any conflicts in source materials and how the individual performing the documentation interpreted these conflicts.

3. Sources consulted, including those expected to contain useful information and those that contained no information about the property(s).

4. Assessment of the accuracy, biases and historical perspective of all sources. This information and that identified in No. 3 may be provided in an annotated bibliography.

5. Discussion of major analyses and results, including conclusions regarding all major research issues identified in the research design, as well as important issues raised in the course of research. The analysis should be summarized in terms of its impact on interpretating the property's significance and expanding or altering the knowledge about the property and its context.

6. Researchers' interpretation of historical events or trends. These interpretations should be clearly identified.

Primary results should be preserved and made accessible in some manner, although they need not necessarily be contained in the report. At a minimum, the report should reference the location of notes and analyses.

Results of historical documentation should be made available for use in preservation planning and by the general public. Report formats may vary, depending on the audience and the anticipated uses of the documentation, but professionally accepted rules of report writing should be followed. If reports are of a technical nature, the format of the major scientific journal of the pertinent discipline may be the most appropriate format. Peer review of draft reports is one means of ensuring that state-of-the-art technical reports are produced.

*Recommended Sources of Technical Information*

*Folklife and Fieldwork: A Layman's Introduction to Field Techniques.* Peter Bartis. American Folklife Center, Washington, D.C., 1979.

*Ordinary People and Everyday Life: Perspectives on the New Social History.* James B. Gardnee and George Rollie Adams, editors, American Association for State and Local History, Nashville, Tennessee, 1983.

*The Process of Field Research.* Carl Fleischhauer and Charles K. Wolfe. American Folklife Center, Washington, D.C., 1981.

*Researching Heritage Buildings.* Margaret Carter. Ministry of the Environment, Ottawa, Canada, 1983.

**Secretary of the Interior's Standards for Architectural and Engineering Documentation**

These standards concern the development of documentation for historic buildings, sites, structures and objects. This documentation, which usually consists of measured drawings, photographs and written data, provides important information on a property's significance for use by scholars, researchers, preservationists, architects, engineers and others interested in preserving and understanding historic properties. Documentation permits accurate repair or reconstruction of parts of a property, records existing conditions for easements, or may preserve information about a property that is to be demolished.

These Standards are intended for use in developing documentation to be included in the Historic American Building Survey (HABS) and the Historic American Engineering Record (HAER) Collections in the Library of Congress. HABS/HAER, in the National Park Service, have defined specific requirements for meeting these Standards for their collections. The HABS/HAER requirements include information important to development of documentation for other purposes such as State or local archives

*Standard I. Documentation Shall Adequately Explicate and Illustrate What is Significant or Valuable About the Historic Building, Site, Structure or Object Being Documented.*

The historic significance of the building, site, structure or object identified in the evaluation process should be conveyed by the drawings, photographs and other materials that comprise documentation. The historical, architectural, engineering or cultural values of the property together with the purpose of the documentation activity determine the level and methods of documentation. Documentation prepared for submission to the Library of Congress must meet the HABS/HAER Guidelines.

*Standard II. Documentation Shall be Prepared Accurately From Reliable Sources With Limitations Clearly Stated to Permit Independent Verification of the Information.*

The purpose of documentation is to preserve an accurate record of historic properties that can be used in research and other preservation activities. To serve these purposes, the documentation must include information that permits assessment of its reliability.

*Standard III. Documentation Shall be Prepared on Materials That are Readily Reproductible, Durable and in Standard Sizes.*

The size and quality of documentation materials are important factors in the preservation of information for future use. Selection of materials should be based on the length of time expected for storage, the anticipated frequency of use and a size convenient for storage.

*Standard IV. Documentation Shall be Clearly and Concisely Produced.*

In order for documentation to be useful for future research, written materials must be legible and understandable, and graphic materials must contain scale information and location references.

**Secretary of the Interior's Guidelines for Architectural and Engineering Documentation**

*Introduction*

These Guidelines link the Standards for Architectural and Engineering Documentation with more specific guidance and technical information. They describe one approach to meeting the Standards for Architectural Engineering Documentation. Agencies, organizations or individuals proposing to approach documentation differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

Definitions
Goal of Documentation
The HABS/HAER Collections
Standard I: Content
STandard II: Quality
Standard III: Materials
Standard IV: Presentation
Architectural and Engineering Documentation Prepared for Other Purposes
Recommended Sources of Technical Information

*Definitions*

These definitions are used in conjunction with these Guidelines:

Architectural Data Form—a one page HABS form intended to provide identifying information for accompanying HABS documentation.

Documentation—measured drawings, photographs, histories, inventory cards or other media that depict historic buildings, sites, structures or objects.

Field Photography—photography, other than large-format photography, intended for the purpose of producing documentation, usually 35mm.

Field Records—notes of measurements taken, field photographs and other recorded information intended for the purpose of producing documentation.

Inventory Card—a one page form which includes written data, a sketched site plan and a 35mm contact print dry-mounted on the form. The negative, with a separate contact sheet and index should be included with the inventory card.

Large Format Photographs—photographs taken of historic buildings, sites, structures or objects where the negative is a 4 X 5", 5 X 7" or 8 X 10" size and where the photograph is taken with appropriate means to correct perspective distortion.

Measured Drawings—drawings produced on HABS or HAER formats depicting existing conditions or other relevant features of historic buildings, sites, structures or objects. Measured drawings are usually produced in ink on archivally stable material, such as mylar.

Photocopy—A photograph, with large-format negative, of a photograph or drawing.

Select Existing Drawings—drawings of historic buildings, sites, structures or objects, whether original construction or later alteration drawings that portray or depict the historic value or significance.

Sketch Plan—a floor plan, generally not to exact scale although often drawn from measurements, where the features are shown in proper relation and proportion to one another.

*Goal of Documentation*

The Historic American Buildings Survey (HABS) and Historic American Engineering Record (HAER) are the national historical architectural and engineering documentation programs of the National Park Service that promote documentation incorporated into the HABS/HAER collections in the Library of Congress. The goal of the collections is to provide architects, engineers, scholars, and interested members of the public with comprehensive documentation of buildings, sites, structures and objects significant in American history and the growth and development of the built environment.

The HABS/HAER Collections: HABS/HAER documentation usually consists of measured drawings, photographs and written data that provide a detailed record which reflects a property's significance. Measured drawings and properly executed photographs act as a form of insurance against fires and natural disasters by permitting the repair and, if necessary, reconstruction of historic structures damaged by such disasters. Documentation is used to provide the basis for enforcing preservation easement. In addition, documentation is often the last means of preservation of a property: when a property is to be demolished, its documentation provides future researchers access to valuable information that otherwise would be lost.

HABE/HAER documentation is developed in a number of ways. First and most usually, the National Park Service employs summer teams of student architects, engineers, historians and architectural historians to develop HABS/HAER documentation under the supervision of National Park Service professionals. Second, the National Park Service produces HABS/HAER documentation, in conjunction with restoration or other preservation treatment, of historic buildings managed by the National Park Service. Third, Federal agencies, pursuant to Section 110(b) of the National Historic Preservation Act, as amended, record those historic properties to be demolished or substantially altered as a result of agency action or assisted action (referred to as mitigation projects). Fourth, individuals and organizations prepare documentation to HABS/HAER standards and donate that documentation to the HABS/HAER collections. For each of these programs,

different Documentation Levels will be set.

The Standards describe the fundamental principles of HABS/HAER documentation. They are supplemented by other material describing more specific guidelines, such as line weights for drawings, preferred techniques for architectural photography, and formats for written data. This technical information is found in the HABS/HAER Procedures Manual.

These Guidelines include important information about developing documentation for State or local archives. The State Historic Preservation Officer or the State library should be consulted regarding archival requirements if the documentation will become part of their collections. In establishing archives, the important questions of durability and reproducibility should be considered in relation to the purposes of the collection.

Documentation prepared for the purpose of inclusion in the HABS/HAER collections must meet the requirements below. The HABS/HAER office of the National Park Service retains the right to refuse to accept documentation for inclusion in the HABS/HAER collections when that documentation does not meet HABS/HAER requirements, as specified below.

**Standard I: Content**

1. *Requirement:* Documentation shall adequately explicate and illustrate what is significant or valuable about the historic building, site, structure or object being documented.

2. *Criteria:* Documentation shall meet one of the following documentation levels to be considered adequate for inclusion in the HABS/HAER collections.

a. Documentation Level I:

(1) Drawings: a full set of measured drawings depicting existing or historic conditions.

(2) Photographs: photographs with large-format negatives of exterior and interior views; photocopies with large format negatives of select existing drawings or historic views where available.

(3) Written data: history and description.

b. Documentation Level II:

(1) Drawings: select existing drawings, where available, should be photographed with large-format negatives or photographically reproduced on mylar.

(2) Photographs: photographs with large-format negatives of exterior and interior views, or historic views, where available.

(3) Written data: history and description.

c. Documentation Level III:

(1) Drawings: sketch plan.

(2) Photographs: photographs with large-format negatives of exterior and interior views.

(3) Written data: architectural data form.

d. Documentation Level IV: HABS/HAER inventory card.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

4. *Commentary:* The HABS/HAER office retains the right to refuse to accept any documentation on buildings, site, structures or objects lacking historical significance. Generally, buildings, sites, structures or objects must be listed in, or eligible for listing in the National Register of Historic Places to be considered for inclusion in the HABS/HAER collections.

The kind and amount of documentation should be appropriate to the nature and significance of the buildings, site, structure or object being documented. For example, Documentation Level I would be inappropriate for a building that is a minor element of a historic district, notable only for streetscape context and scale. A full set of measured drawings for such a minor building would be expensive and would add little, if any, information to the HABS/HAER collections. Large format photography (Documentation Level III) would usually be adequate to record the significance of this type of building.

Similarly, the aspect of the property that is being documented should reflect the nature and significance of the building, site, structure or object being documented. For example, measured drawings of Dankmar Adler and Louis Sullivan's Auditorium Building in Chicago should indicate not only facades, floor plans and sections, but also the innovative structural and mechanical systems that were incorporated in that building. Large format photography of Gunston Hall in Fairfax County, Virginia, to take another example, should clearly show William Buckland's hand-carved moldings in the Palladian Room, as well as other views.

HABS/HAER documentation is usually in the form of measured drawings, photographs, and written data. While the criteria in this section have addressed only these media, documentation need not be limited to them. Other media, such as films of industrial processes, can and have been used to document historic buildings, sites, structures or objects. If other media are to be used, the HABS/HAER office should be contacted before recording.

The actual selection of the appropriate documentation level will vary, as discussed above. For mitigation documentation projects, this level will be selected by the National Park Service Regional Office and communicated to the agency responsible for completing the documentation. Generally, Level I documentation is required for nationally significant buildings and structures, defined as National Historic Landmarks and the primary historic units of the National Park Service.

On occasion, factors other than significance will dictate the selection of another level of documentation. For example, if a rehabilitation of a property is planned, the owner may wish to have a full set of as-built drawings, even though the significance may indicate Level II documentation.

HABS Level I measured drawings usually depict existing conditions through the use of a site plan, floor plans, elevations, sections and construction details. HAER Level I measured drawings will frequently depict original conditions where adequate historical material exists, so as to illustrate manufacturing or engineering processes.

Level II documentation differs from Level I by substituting copies of existing drawings, either original or alteration drawings, for recently executed measured drawings. If this is done, the drawings must meet HABS/HAER requirements outlined below. While existing drawings are rarely as suitable as as-built drawings, they are adquate in many cases for documentation purposes. Only when the desirability of having as-built drawings is clear are Level I measured drawings required in addition to existing drawings. If existing drawings are housed in an accessible collection and cared for archivally, their reproduction for HABS/HAER may not be necessary. In other cases, Level I measured drawings are required in the absence of existing drawings.

Level III documentation requires a sketch plan if it helps to explain the structure. The architectural data form should supplement the photographs by explaining what is not readily visible.

Level IV documentation consists of completed HABS/HAER inventory cards. This level of documentation, unlike the other three levels, is rarely considered adequate documentation for the HABS/HAER collections but is undertaken to identify historic resources in a given area prior to additional, more comprehensive documentation.

**Standard II: Quality**

1. *Requirement:* HABS and HAER documentation shall be prepared accurately from reliable sources with limitations clearly stated to permit independent verification of information.

2. *Criteria:* For all levels of documentation, the following quality standards shall be met:

a. Measured drawings: Measured drawings shall be produced from recorded, accurate measurements. Portions of the building that were not accessible for measurement should not be drawn on the measured drawings, but clearly labeled as not accessible or drawn from available construction drawings and other sources and so identified. No part of the measured drawings shall be produced from hypothesis or non-measurement related activities. Documentation Level I measured drawings shall be accompanied by a set of field notebooks in which the measurements were first recorded. Other drawings, prepared for Documentation Levels II and III, shall include a statement describing where the original drawings are located.

b. Large format photographs: Large format photographs shall clearly depict the appearance of the property and areas of significance of the recorded building, site, structure or object. Each view shall be perspective-corrected and fully captioned.

c. Written history: Written history and description for Documentation Levels I and II shall be based on primary sources to the greatest extent possible. For Levels III and IV, secondary sources may provide adequate information; if not, primary research will be necessary. A frank assessment of the reliability and limitations of sources shall be included. Within the written history, statements shall be footnoted as to their sources, where appropriate. The written data shall include a methodology section specifying name of researcher, date of research, sources searched, and limitations of the project.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

4. *Commentary:* The reliability of the HABS/HAER collections depends on documentation of high quality. Quality is not something that can be easily prescribed or quantified, but it derives from a process in which thoroughness and accuracy play a large part. The principle of independent verification HABS/HAER documentation is critical to the HABS/HAER collections.

**Standard III: Materials**

1. *Requirement:* HABS and HAER documentation shall be prepared on materials that are readily reproducible for ease of access; durable for long storage; and in standard sizes for ease of handling.

2. *Criteria:* For all levels of documentation, the following material standards shall be met:

a. Measured Drawings:

Readily Reproducible: Ink on translucent material.

Durable: Ink on archivally stable materials.

Standard Sizes: Two sizes: 19 × 24" or 24 × 36".

b. Large Format Photographs:

Readily Reproducible: Prints shall accompany all negatives.

Durable: Photography must be archivally processed and stored. Negatives are required on safety film only. Resin-coated paper is not accepted. Color photography is not acceptable.

Standard Sizes: Three sizes: 4 × 5", 5 × 7", 8 × 10".

c. Written History and Description:

Readily Reproducible: Clean copy for xeroxing.

Durable: Archival bond required.

Standard Sizes: 8½ × 11".

d. Field Records:

Readily Reproducible: Field notebooks may be xeroxed. Photo identification sheet will accompany 35 mm negatives and contact sheets.

Durable: No requirement.

Standard Sizes: Only requirement is that they can be made to fit into a 9½ × 12" archival folding file.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

4. *Commentary:* All HABS/HAER records are intended for reproduction: some 20,000 HABS/HAER records are reproduced each year by the Library of Congress. Although field records are not intended for quality reproduction, it is intended that they be used to supplement the formal documentation. The basic durability performance standard for HABS/HAER records is 500 years. Ink on mylar is believed to meet this standard, while color photography, for example, does not. Field records do not meet this archival standard, but are maintained in the HABS/HAER collections as a courtesty to the collection user.

**Standard IV: Presentation**

1. *Requirement:* HABS and HAER documentation shall be clearly and concisely produced.

2. *Criteria:* For levels of documentation as indicated below, the following standards for presentation will be used:

a. Measured Drawings: Level I measured drawings will be lettered mechanically (i.e., Leroy or similar) or in a handprinted equivalent style. Adequate dimensions shall be included on all sheets. Level III sketch plans should be neat and orderly.

b. Large format photographs: Level I photographs shall include duplicate photographs that include a scale. Level II and III photographs shall include, at a minimum, at least one photograph with a scale, usually of the principal facade.

c. Written history and description: Data shall be typewritten on bond, following accepted rules of grammar.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

*Architectural and Engineering Documentation Prepared for Other Purposes*

Where a preservation planning process is in use, architectural and engineering documentation, like other treatment activities, are undertaken to achieve the goals identified by the preservation planning process. Documentation is deliberately selected as a treatment for properties evaluated as significant, and the development of the documentation program for a property follows from the planning objectives. Documentation efforts focus on the significant characteristics of the property, as defined in the previously completed evaluation. The selection of a level of documentation and the documentation techniques (measured drawings, photography, etc.) is based on the significance of the property and the management needs for which the documentation is being performed. For example, the kind and level of documentation required to record a historic property for easement purposes may be less detailed than that required as mitigation prior to destruction of the property. In the former case, essential documentation might be limited to the portions of the property controlled by the easement, for example, exterior facades; while in the latter case, significant interior architectural features and non-visible structural details would also be documented.

The principles and content of the HABS/HAER criteria may be used for guidance in creating documentation requirements for other archives. Levels of documentation and the durability and sizes of documentation may vary depending on the intended use and the repository. Accuracy of documentation should be controlled by assessing the reliability of all sources and making that assessment available in the archival record; by describing the limitations of the information available from research and physical examination of the

property; and by retaining the primary data (field measurements and notebooks) from which the archival record was produced. Usefulness of the documentation products depends on preparing the documentation on durable materials that are able to withstand handling and reproduction, and in sizes that can be stored and reproduced without damage.

*Recommended Sources of Technical Information*

*Recording Historic Buildings.* Harley J. McKee. Government Printing Office, 1970. Washington, D.C. Available through the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. GPO number 024-005-0235-9.

*HABS/HAER Procedures Manual.* Historic American Buildings Survey/Historic American Engineering Record, National Park Service, 1980. Washington, D.C.

*Photogrammetric Recording of Cultural Resources.* Perry E. Borchers. Technical Preservation Services, U.S. Department of the Interior, 1977. Washinton, D.C.

*Rectified Photography and Photo Drawings for Historic Preservation.* J. Henry Chambers. Technical Preservation Services, U.S. Department of the Interior, 1975. Washington, D.C.

**Secretary of the Interior's Standards for Archeological Documentation**

Archeological documentation is a series of actions applied to properties of archeological interest. Documentation of such properties may occur at any or all levels of planning, identification, evaluation or treatment. The nature and level of documentation is dictated by each specific set of circumstances. Archeological documentation consists of activities such as archival research, observation and recording of above-ground remains, and observation (directly, through excavation, or indirectly, through remote sensing) of below-ground remains. Archeological documentation is employed for the purpose of gathering information on individual historic properties or groups of properties. It is guided by a framework of objectives and methods derived from the planning process, and makes use of previous planning decisions, such as those on evaluation of significance. Archeological documentation may be undertaken as an aid to various treatment activities, including research, interpretation, reconstruction, stabilization and data recovery when mitigating archeological losses resulting from construction. Care should be taken to assure that documentation efforts do not duplicate previous efforts.

*Standard I. Archeological Documentation Activities Follow an Explicit Statement of Objectives and Methods That Responds to Needs Identified in the Planning Process*

Archeological research and documentation may be undertaken to fulfill a number of needs, such as overviews and background studies for planning, interpretation or data recovery to mitigate adverse effects. The planning needs are articulated in a statement of objectives to be accomplished by the archeological documentation activities. The statement of objectives guides the selection of methods and techniques of study and provides a comparative framework for evaluating and deciding the relative efficiency of alternatives. Satisfactory documentation involves the use of archeological and historical sources, as well as those of other disciplines. The statement of objectives usually takes the form of a formal and explicit research design which has evolved from the interrelation of planning needs, current knowledge, resource value and logistics.

*Standard II. The Methods and Techniques of Archeological Documentation are Selected To Obtain the Information Required by the Statement of Objectives*

The methods and techniques chosen for archeological documentation should be the most effective, least destructive, most efficient and economical means of obtaining the needed information. Methods and techniques should be selected so that the results may be verified if necessary. Non-destructive techniques should be used whenever appropriate. The focus on stated objectives should be maintained throughout the process of study and documentation.

*Standard III. The Results of Archeological Documentation are Assessed Against the Statement of Objectives and Integrated Into the Planning Process*

One product of archeological documentation is the recovered data; another is the information gathered about the usefulness of the statement of objectives itself. The recovered data are assessed against the objectives to determine how they meet the specified planning needs. Information related to archeological site types, distribution and density should be integrated in planning at the level of identification and evaluation. Information and data concerning intra-site structure may be needed for developing mitigation strategies and are appropriately integrated at this level of planning. The results of the data analyses are integrated into the body of current knowledge. The utility of the method of approach and the particular techniques which were used in the investigation (i.e. the research design) should be assessed so that the objectives of future documentation efforts may be modified accordingly.

*Standard IV. The Results of Archeological Documentation are Reported and Made Available to the Public*

Results must be accessible to a broad range of users including appropriate agencies, the professional community and the general public. Results should be communicated in reports that summarize the objectives, methods, techniques and results of the documentation activity, and identify the repository of the materials and information so that additional detailed information can be obtained, if necessary. The public may also benefit from the knowledge obtained from archeological documentation through pamphlets, brochures, leaflets, displays and exhibits, or by slide, film or multi-media productions. The goal of disseminating information must be balanced, however, with the need to protect sensitive information whose disclosure might result in damage to properties. Curation arrangements sufficient to preserve artifacts, specimens and records generated by the investigation must be provided for to assure the availability of these materials for future use.

**Secretary of the Interior's Guidelines for Archeological Documentation**

*Introduction*

These Guidelines link the Standards for Archeological Documentation with more specific guidance and technical information. They describe one approach to meeting the Standards for Documentation. Agencies, organizations or individuals proposing to approach archeological documentation differently may wish to review their approach with the National Park Service.

The Guidelines are organized as follows:

Archeological Documentation Objectives
Documentation Plan
Methods
Reporting Results
Curation
Recommended Sources of Technical Information

1. Collection of base-line data;

2. Problem-oriented research directed toward particular data gaps recognized in the historic context(s);

3. Preservation or illustration of significance which has been identified for treatment by the planning process; or

4. Testing of new investigative or conservation techniques, such as the effect of different actions such as forms of site burial (aqueous or non-aqueous).

Many properties having archeological components have associative values as well as research values. Examples include Native American sacred areas and historic sites such as battlefields. Archeological documentation may preserve information or data that are linked to the identified values that a particular property possesses. Depending on the property type and the range of values represented by the property, it may be necessary to recover information that relates to an aspect of the property's significance other than the specified research questions. It is possible that conflicts may arise between the optimal realizations of research goals and other issues such as the recognition/protection of other types of associative values. The research design for the archeological documentation should provide for methods and procedures to resolve such conflicts, and for the close coordination of the archeological research with the appropriate ethnographic, social or technological research.

*Archeological Documentation Objectives*

The term "archeological documentation" is used here to refer specifically to any operation that is performed using archeological techniques as a means to obtain and record evidence about past human activity that is of importance to documenting history and prehistory in the United States. Historic and prehistoric properties may be important for the data they contain, or because of their association with important persons, events, or processes, or because they represent architectural or artistic values, or for other reasons. Archeological documentation may be an appropriate option for application not only to archeological properties, but to above-ground structures as well, and may be used in collaboration with a wide range of other treatment activities.

If a property contains artifacts, features, and other materials that can be studied using archeological techniques, then archeological documentation may be selected to achieve particular goals of the planning process—such as to address a specified information need, or to illustrate significant associative values. Within the overall goals and priorities established by the planning process, particular methods of investigation are chosen that best suit the types of study to be performed.

Relationship of archeological documentation to other types of documentation or other treatments: Archeological documentation is appropriate for achieving any of various goals, including:

*Documentation Plan*

Research Design: Archeological documentation can be carried out only after defining explicit goals and a methodology for reaching them. The goals of the documentation effort directly reflect the goals of the preservation plan and the specific needs identified for the relevant historic contexts. In the case of problem oriented archeological research, the plan usually takes the form of a formal research design, and includes, in addition to the items below, explicit statements of the problem to be addressed and the methods or tests to be applied. The purpose of the statement of objectives is to explain the rationale behind the documentation effort; to define the scope of the investigation; to identify the methods, techniques, and procedures to be used; to provide a schedule for the activities; and to permit comparison of the proposed research with the results. The research design for an archeological documentation effort follows the same guidelines as those for identification (see the Guidelines for Identification) but has a more property-specific orientation.

The research design should draw upon the preservation plan to identify:

1. Evaluated significance of the property(ies) to be studied;

2. Research problems or other issues relevant to the significance of the property;

3. Prior research on the topic and property type; and how the proposed documentation objectives are related to previous research and existing knowledge;

4. The amount and kinds of information (data) required to address the documentation objectives and to make reliable statements, including at what point information is redundant and documentation efforts have reached a point of diminishing returns;

5. Methods to be used to find the information; and

6. Relationship of the proposed archeological investigation to anticipated historical or structural documentation, or other treatments.

The primary focus of archeological documentation is on the data classes that are required to address the specified documentation objectives. This may mean that other data classes are deliberately neglected. If so, the reasons for such a decision should be carefully justified in terms of the preservation plan.

Archeological investigations seldom are able to collect and record all possible data. It is essential to determine the point at which further data recovery and documentation fail to improve the usefulness of the archeological information being recovered. One purpose of the research design is to estimate those limits in advance and to suggest at what point information becomes duplicative. Investigation strategies should be selected based on these general principles, considering the following factors:

1. Specific data needs;

2. Time and funds available to secure the data; and

3. Relative cost efficiency of various strategies.

Responsiveness to the concerns of local groups (e.g., Native American groups with ties to specific properties) that was built into survey and evaluation phases of the preservation plan, should be maintained in archeological investigation, since such activity usually involves site disturbance. The research design, in addition to providing for appropriate ethnographic research and consultation, should consider concerns voiced in previous phases. In the absence of previous efforts to coordinate with local or other interested groups, the research design should anticipate the need to initiate appropriate contracts and provide a mechanism for responding to sensitive issues, such as the possible uncovering of human remains or discovery of sacred areas.

The research design facilitates an orderly, goal directed and economical project. However, the research design must be flexible enough to allow for examination of unanticipated but important research opportunities that arise during the investigation.

*Documentation Methods*

Background Review: Archeological documentation usually is preceded by, or integrated with historical research (i.e. that intensive background information gathering including identification of previous archeological work and inspection of museum collections; gathering relevant data on geology, botany, urban geography and other related disciplines; archival research; informant interviews, or recording of oral tradition, etc.).

Depending on the goals of the archeological documentation, the background historical and archeological research may exceed the level of research accomplished for development of the relevant historic contexts or for identification and evaluation, and focuses on the unique aspects of the property to be treated. This assists in directing the investigation and locates a broader base of information than that contained in the property itself for response to the documentation goals. This activity is particularly important for historic archeological properties where information sources other than the property itself may be critical to preserving the significant aspects of the property. (See the Secretary of the Interior's Standards and Guidelines for Historical Documentation for discussion of associated research activities.)

Field Studies: The implementation of the research design in the field must be flexible enough to accommodate the discovery of new or unexpected data classes or properties, or changing field conditions. A phased approach may be appropriated when dealing with large complex properties or groups of properties, allowing for changes in emphasis or field strategy, or termination of the program, based on analysis of recovered data at the end of each phase. Such an approach permits the confirmation of assumptions concerning property extent, content or organization which had been made based on data gathered from identification and evaluation efforts, or the adjustment of those expectations and resulting changes in procedure. In some cases a phased approach may be necessary to gather sufficient data to calculate the necessary sample size for a statistically valid sample. A phased documentation program may often be most cost-effective, in allowing for early termination of work if the desired objectives cannot be achieved.

Explicit descriptive statements of and justification for field study techniques are important to provide a means of evaluating results. In some cases, especially those employing a sampling strategy in earlier phases (such as identification or evaluation), it is possible to estimate parameters of certain classes of data in a fairly rigorous statistical manner. It is thus desirable to maintain some consistency in choice of sampling designs throughout multiple phases of work at the same property. Consistency with previously employed areal sampling frameworks also improves potential replication in terms of later locating sampled and unsampled areas. It often is desirable to estimate the nature and frequency of data parameters based on existing information or analogy to other similar cases. These estimates may then be tested in field studies.

An important consideration in choosing methods to be used in the field studies should be assuring full, clear, and accurate descriptions of all field operations and observations, including excavation and recording techniques and stratigraphic or inter-site relationships.

To the extent feasible, chosen methodologies and techniques should take into account the possibility that future researchers will need to use the recovered data to address problems not recognized at the time the data were recovered. The field operation may recover data that may not be fully analyzed; this data, as well as the data analyzed, should be recorded and preserved in a way to facilitate future research.

A variety of methodologies may be used. Choices must be explained, including a measure of cost-effectiveness relative to other potential choices. Actual results can then be measured against expectations, and the information applied later in similar cases.

Destructive methods should not be applied to portions or elements of the property if nondestructive methods are practical. If portions or elements of the property being documented are to be preserved in place, the archeological investigation should employ methods that will leave the property as undisturbed as possible. However, in cases where the property will be destroyed by, for example, construction following the investigation, it may be most practical to gather the needed data in the most direct manner, even though that may involve use of destructive techniques.

Logistics in the field, including the deployment of personnel and materials and the execution of sampling strategies, should consider site significant, anticipated location of most important data, cost effectiveness, potential time limitations and possible adverse environmental conditions.

The choice of methods for recording data gathered in the field should be based on the research design. Based on that statement, it is known in advance of field work what kinds of information are needed for analysis; record-keeping techniques should focus on these data. Field records should be maintained in a manner that permits independent interpretation in so far as possible. Record-keeping should be standardized in format and level of detail.

Archeological documentation should be conducted under the supervision of qualified professionals in the disciplines appropriate to the data that are to be recovered. When the general public is directly involved in archeological documentation activities, provision should be made for training and supervision by qualified professionals. (See the Professional Qualifications Standards.)

Analysis: Archeological documentation is not completed with field work; analysis of the collected information is an integral part of the documentation activity, and should be planned for in the research design. Analytical techniques should be selected that are relevant to the objectives of the investigation. Forms of analysis that may be appropriate, depending on the type of data recovered and the objectives of the investigation, include but are not limited to: studying artifact types and distribution; radiometric and other means of age determination; studies of soil stratigraphy; studies of organic matter such as human remains, pollen, animal bones, shells and seeds; study of the composition of soils and study of the natural environment in which the property appears.

*Reporting Results*

Report Contents: Archeological documentation concludes with written report(s) including minimally the following topics:

1. Description of the study area;
2. Relevant historical documentation/background research;
3. The research design;
4. The field studies as actually implemented, including any deviation from the research design and the reason for the changes;
5. All field observations;
6. Analyses and results, illustrated as appropriate with tables, charts, and graphs;
7. Evaluation of the investigation in terms of the goals and objectives of the investigation, including discussion of how well the needs dictated by the planning process were served;
8. Recommendations for updating the relevant historic contexts and planning goals and priorities, and generation of new or revised information needs;
9. Reference to related on-going or proposed treatment activities, such as structural documentation, stabilization, etc.; and

10. Information on the location of original data in the form of field notes, photographs, and other materials.

Some individual property information, such as specific locational data, may be highly sensitive to disclosure, because of the threat of vandalism. If the objectives of the documentation effort are such that a report containing confidential information such as specific site locations or information on religious practices is necessary, it may be appropriate to prepare a separate report for public distribution. The additional report should summarize that information that is not under restricted access in a format most useful to the expected groups of potential users. Peer review of draft reports is recommended to ensure that state-of-the-art technical reports are produced.

Availability: Results must be made available to the full range of potential users. This can be accomplished through a variety of means including publication of results in monographs and professionals journals and distribution of the report to libraries or technical clearinghouses such as the National Technical Information Service in Springfield, Virginia.

*Curation*

Archeological specimens and records are part of the documentary record of an archeological site. They must be curated for future use in research, interpretation, preservation, and resource management activities. Curation of important archeological specimens and records should be provided for in the development of any archeological program or project.

Archeological specimens and records that should be curated are those that embody the information important to history and prehistory. They include artifacts and their associated documents, photographs, maps, and field notes; materials of an environmental nature such as bones, shells, soil and sediment samples, wood, seeds, pollen, and their associated records; and the products and associated records of laboratory procedures such as thin sections, and sediment fractions that result from the analysis of archeological data.

Satisfactory curation occurs when:

1. Curation facilities have adequate space, facilities, and professional personnel;

2. Archeological specimens are maintained so that their information values are not lost through deterioration, and records are maintained to a professional archival standard;

3. Curated collections are accessible to qualified researchers within a reasonable time of having been requested; and

4. Collections are available for interpretive purposes, subject to reasonable security precautions.

*Recommended Sources of Technical Information*

*Archeomagnetism: A Handbook for the Archeologist.* Jeffrey L. Eighmy, U.S. Department of the Interior, Washington, D.C., 1980.

*The Curation and Management of Archeological Collections: A Pilot Study.* Cultural Resource Management Series, U.S. Department of the Interior, September 1980.

*Human Bones and Archeology.* Douglas H. Ubelaker. Interagency Archeological Services, Heritage Conservation and Recreation Service, U.S. Department of the Interior, Washington, D.C., 1980. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402

*Manual for Museums.* Ralph H. Lewis, National Park Service, U.S. Department of the Interior, 1976.

*Treatment of Archeological Properties: A Handbook.* Advisory Council on Historic Preservation. Washington D.C., 1980.

**Secretary of the Interior's Standards for Historic Preservation Projects**

*General Standards for Historic Preservation Projects*

The following general standards apply to all treatments undertaken on historic properties listed in the National Register.

1. Every reasonable effort shall be made to provide a compatible use for a property that requires minimal alteration of the building, structure, or site and its environment, or to use a property for its originally intended purpose.

2. The distinguishing original qualities or character of a building, structure, or site and its environment shall not be destroyed. The removal or alteration of any historic material or distinctive architectural features should be avoided when possible.

3. All buildings, structures, and sites shall be recognized as products of their own time. Alterations which have no historical basis and which seek to create an earlier appearance shall be discouraged.

4. Changes which have taken place in the course of time are evidence of the history and development of a building, structure, or site and its environment. These changes may have acquired significance in their own right, and this significance shall be recognized and respected.

5. Distinctive architectural features or examples of skilled craftsmanship which characterize a building, structure, or site shall be treated with sensitivity.

6. Deteriorated architectural features shall be repaired rather than replaced, wherever possible. In the event replacement is necessary, the new material should match the material being replaced in composition, design, color, texture, and other visual qualities. Repair or replacement of missing architectural features should be based on accurate duplications of features, substantiated by historic, physical, or pictorial evidence rather than on conjectural designs or the availability of different architectural elements from other buildings or structures.

7. The surface cleaning of structures shall be undertaken with the gentlest means possible. Sandblasting and other cleaning methods that will damage the historic building materials shall not be undertaken.

8. Every reasonable effort shall be made to protect and preserve archeological resources affected by, or adjacent to, any acquisition, stabilization, preservation, rehabilitation, restoration, or reconstruction project.

*Specific Standards for Historic Preservation Projects*

The following specific standards for each treatment are to be used in conjunction with the eight general standards and, in each case, begin with number 9. For example, in evaluating acquisition projects, include the eight general standards plus the four specific standards listed under standards for Acquisition. The specific standards differ from those published for use in Historic Preservation Fund grant-in-aid projects (36 CFR Part 68) in that they discuss more fully the treatment of archeological properties.

**Standards for Acquisition**

9. Careful consideration shall be given to the type and extent of property rights which are required to assure the preservation of the historic resource. The preservation objectives shall determine the exact property rights to be acquired.

10. Properties shall be acquired in fee simple when absolute ownership is required to insure their preservation.

11. The purchase of less-than-fee-simple interests, such as open space or facade easements, shall undertaken when a limited interest achieves the preservation objective.

12. Every reasonable effort shall be made to acquire sufficient property with the historic resource to protect its historical, archeological, architectural or cultural significance.

**Standard for Protection**

9. Before applying protective measures which are generally of a temporary nature and imply future historic preservation work, an analysis of the actual or anticipated threats to the property shall be made.

10. Protection shall safeguard the physical condition or environment of a property or archeological site from further deterioration or damage caused by weather or other natural, animal, or human intrusions.

11. If any historic material or architectural features are removed, they shall be properly recorded and, if possible, stored for future study or reuse.

**Standards for Stabilization**

9. Stabilization shall reestablish the structural stability of a property through the reinforcement of loadbearing members or by arresting deterioration leading to structural failure. Stabilization shall also reestablish weather resistant conditions for a property.

10. Stabilization shall be accomplished in such a manner that it detracts as little as possible from the property's appearance and significance. When reinforcement is required to reestablish structural stability, such work shall be concealed wherever possible so as not to intrude upon or detract from the aesthetic and historical or archeological quality of the property, except where concealment would result in the alteration or destruction of historically or archeologically significant material or spaces. Accurate documentation of stabilization procedures shall be kept and made available for future needs.

11. Stabilization work that will result in ground disturbance shall be preceded by sufficient archeological investigation to determine whether significant subsurface features or artifacts will be affected. Recovery, curation and documentation of archeological features and specimens shall be undertaken in accordance with appropriate professional methods and techniques.

**Standards for Preservation**

9. Preservation shall maintain the existing form, integrity, and materials of a building, structure, or site. Archeological sites shall be preserved undisturbed whenever feasible and practical. Substantial reconstruction or restoration of lost features generally are not included in a preservation undertaking.

10. Preservation shall include techniques of arresting or retarding the deterioration of a property through a program of ongoing maintenance.

11. Use of destructive techniques, such as archeological excavation, shall be limited to providing sufficient information for research, interpretation and management needs.

**Standards for Rehabilitation**

9. Contemporary design for alterations and additions to existing properties shall not be discouraged when such alterations and additions do not destroy significant historic, architectural, or cultural material and such design is compatible with the size, scale, color, material, and character of the property, neighborhood, or environment.

10. Wherever possible, new additions or alterations to structures shall be done in such a manner that if such additions or alterations were to be removed in the future, the essential form and integrity of the structure would be unimpaired.

**Standards for Restoration**

9. Every reasonable effort shall be made to use a property for is originally intended purpose or to provide a compatible use that will require minimum alteration to the property and its environment.

10. Reinforcement required for structural stability or the installation of protective or code required mechanical systems shall be concealed wherever possible so as not to intrude or detract from the property's aesthetic and historical qualities, except where concealment would result in the alteration or destruction of historically significant materials or spaces.

11. Restoration work such as the demolition of non-contributing additions that will result in ground or structural disturbance shall be preceded by sufficient archeological investigation to determine whether significant subsurface or structural features or artifacts will be affected. Recovery, curation and documentation of archeological features and specimens shall be undertaken in accordance with appropriate professional methods and techniques.

**Standards for Reconstruction**

9. Reconstruction of a part or all of a property shall be undertaken only when such work is essential to reproduce a significant missing feature in a historic district or scene, and when a contemporary design solution is not acceptable. Reconstruction of archeological sites generally is not appropriate.

10. Reconstruction of all or a part of a historic property shall be appropriate when the reconstruction is essential for understanding and interpreting the value of a historic district, or when no other building, structure, object, or landscape feature with the same associative value has survived and sufficient historical or archeological documentation exists to insure an accurate reproduction of the original.

11. The reproduction of missing elements accomplished with new materials shall duplicate the composition, design, color, texture, and other visual qualities of the missing element. Reconstruction of missing architectural or archeological features shall be based upon accurate duplication of original features substantiated by physical or documentary evidence rather than upon conjectural designs or the availability of different architectural features from other buildings.

12. Reconstruction of a building or structure on an original site shall be preceded by a thorough archeological investigation to locate and identify all subsurface features and artifacts. Recovery, curation and documentation of archeological features and specimens shall be undertaken in accordance with professional methods and techniques.

13. Reconstruction shall include measures to preserve any remaining original fabric, including foundations, subsurface, and ancillary elements. The reconstruction of missing elements. The reconstruction of missing elements and features shall be done in such a manner that the essential form and integrity of the original surviving features are unimpaired.

**Secretary of the Interior Guidelines for Historic Preservation Projects**

The guidelines for the Secretary of the Interior's Standards for Historic Preservation Projects, not included here because of their length, may be obtained separately from the National Park Serivce.

**Professional Qualifications Standards**

The following requirements are those used by the National Park Service, and have been previously published in the Code of Federal Regulations, 36 CFR Part 61. The qualifications define minimum education and experience required to perform identification, evaluation, registration, and treatment activities. In some cases, additional areas or levels of expertise may be needed, depending on the complexity of the task and the nature of the historic properties involved. In the following definitions, a year of full-time professional experience need not consist of a continuous year of fulltime work but

may be made up of discontinuous periods of full-time or part-time work adding up to the equivalent of a year of full-time experience.

*History*

The minimum professional qualifications in history are a graduate degree in history or closely related field; or a bachelor's degree in history or closely related field plus one of the following:

1. At least two years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historic organization or agency, museum, or other professional institution; or

2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of history.

*Archeology*

The minimum professional qualifications in archeology are a graduate degree in archeology, anthropology, or closely related field plus:

1. At least one year of full-time professional experience or equivalent specialized training in archeological research, administration or management;

2. At least four months of supervised field and analytic experience in general North American archeology; and

3. Demonstrated ability to carry research to completion.

In addition to these minimum qualifications, a professional in prehistoric archeology shall have at least one year of full-time professional experience at a supervisory level in the study of archeological resources of the prehistoric period. A professional in historic archeology shall have at least one year of full-time professional experience at a supervisory level in the study of archeological resources of the historic period.

*Architectural History*

The minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation, or closely related field, with coursework in American architectural history; or a bachelor's degree in architectural history, art history, historic preservation or closely related field plus one of the following:

1. At least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historical organization or agency, museum, or other professional institution; or

2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of American architectural history.

*Architecture.*

The minimum professional qualifications in architecture are a professional degree in architecture plus at least two years of full-time experience in architecture; or a State license to practice architecture.

*Historic Architecture*

The minimum professional qualifications historic in architecture are a professional degree in architecture or a State license to practice architecture, plus one of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or closely related field; or

2. At least one year of full-time professional experience on historic preservation projects.

Such graduate study or experience shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

**Preservation Terminology**

*Acquisition*—the act or process of acquiring fee title or interest other than fee title of real property (including acquisition of development rights or remainder interest).

*Comprehensive Historic Preservation Planning*—the organization into a logical sequence of preservation information pertaining to identification, evaluation, registration and treatment of historic properties, and setting priorities for accomplishing preservation activities.

*Historic Context*—a unit created for planning purposes that groups information about historic properties based on a shared theme, specific time period and geographical area.

*Historic Property*—a district, site, building, structure or object significant in American history, architecture, engineering, archeology or culture at the national, State, or local level.

*Integrity*—the authenticity of a property's historic identity, evidenced by the survival of physical characteristics that existed during the property's historic or prehistoric period.

*Intensive Survey*—a systematic, detailed examination of an area designed to gather information about historic properties sufficient to evaluate them against predetermined criteria of significance within specific historic contexts.

*Inventory*—a list of historic properties determined to meet specified criteria of significance.

*National Register Criteria*—the established criteria for evaluating the eligibility of properties for inclusion in the National Register of Historic Places.

*Preservation (treatment)*—the act or process of applying measures to sustain the existing form, integrity and material of a building or structure, and the existing form and vegetative cover of a site. It may include initial stabilization work, where necessary, as well as ongoing maintenance of the historic building materials.

*Property Type*—a grouping of individual properties based on a set of shared physical or associative characteristics.

*Protection (treatment)*—the act or process of applying measures designed to affect the physical condition of a property by defending or guarding it from deterioration, loss or attack, or to cover or shield the property from danger or injury. In the case of buildings and structures, such treatment is generally of a temporary nature and anticipates future historic preservation treatment; in the case of archeological sites, the protective measure may be temporary or permanent.

*Reconnaissance Survey*—an examination of all or part of an area accomplished in sufficient detail to make generalizations about the types and distributions of historic properties that may be present.

*Reconstruction (treatment)*—the act or process of reproducing by new construction the exact form and detail of a vanished building, structure, or object, or any part thereof, as it appeared at a specific period of time.

*Rehabilitation (treatment)*—the act or process of returning a property to a state of utility through repair or alteration which makes possible an efficient contemporary use while preserving those portions or features of the property which are significant to its historical, architectural and cultural values.

*Research design*—a statement of proposed identification, documentation, investigation, or other treatment of a historic property that identifies the project's goals, methods and techniques, expected results, and the relationship of the expected results to other proposed activities or treatments.

*Restoration*—the act or process of accurately recovering the form and details of a property and its setting as it appeared at a particular period of time

by means of the removal of later work or by the replacement of missing earlier work.

*Sample Survey*—survey of a representative sample of lands within a given area in order to generate or test predictions about the types and distributions of historic properties in the entire area.

*Stabilization (treatment)*—the act or process of applying measures designed to reestablish a weather resistant enclosure and the structural stability of an unsafe or deteriorated property while maintaining the essential form as it exists at present.

*Statement of objectives*—see Research design.

Dated: September 26, 1983.

**Russell E. Dickenson,**

*Director, National Park Service.*

[FR Doc. 83-26807 Filed 9-28-83; 8:45 am]

BILLING CODE 4310-70-M

federal register

Thursday
September 29, 1983

## Part V

# Environmental Protection Agency

### Energy Related Authority and Delayed Compliance Orders

## ENVIRONMENTAL PROTECTION AGENCY

### 40 CFR Parts 55 and 65

[AH-FRL 2401-5]

### Energy Related Authority and Delayed Compliance Orders

**AGENCY:** Environmental Protection Agency (EPA).

**ACTION:** Final rule.

**SUMMARY:** The Agency is eliminating several obsolete sections from Part 55, entitled "Energy Related Authority," and Part 65, entitled "Delayed Compliance Orders." Some sections became obsolete when the Clean Air Act was amended in 1977. Others are obsolete because they pertain to temporary orders which have expired. Because the remaining sections of both Parts are interrelated, they will be consolidated into one Part. Several sections from Part 55 will be moved to Part 65 and the remainder of Part 55 will be eliminated. This action was proposed on September 1, 1982 (47 FR 38557).

**EFFECTIVE DATE:** September 29, 1983.

**FOR FURTHER INFORMATION CONTACT:** Richard Biondi, Stationary Source Compliance Division (EN-341), U.S. Environmental Protection Agency, 401 M Street, S.W., Washington, D.C. 20460, telephone (202) 382-2831.

**SUPPLEMENTARY INFORMATION:** A rulemaking action dated April 28, 1975 established Part 55, entitled "Energy Related Authority," to implement § 119 of the Clean Air Act as amended in 1974. Section 119 provided temporary relief from air pollution requirements to certain fuel burning stationary sources that converted from oil or gas to coal as their primary fuel.

The regulations in Part 55 became obsolete when the 1977 amendments eliminated Section 119 of the Clean Air Act. The Clean Air Act amendments continue to provide temporary relief for certain coal burning sources but utilize a new mechanism, the section 113(d)(5) Delayed Compliance Order. Delayed Compliance Orders are also available to other categories of sources, under sections 113(d) (1), (2), (3) and (4). When the Agency began issuing Delayed Compliance Orders under the authority of the 1977 Amendments, it published notices of section 113(d)(5) orders in Part 55, "Energy Related Authority." Orders issued under sections 113(d) (1), (2), (3) and (4). When the Agency began issuing Delayed Compliance Orders under the authority of the 1977 Amendments, it published notices of section 113(d)(5) orders in Part 55, "Energy Related Authority." Orders issued under sections 113(d) (1), (2), (3) and (4) were published in a newly established Part 65, entitled "Delayed Compliance Orders."

In the context of a review designed to identify obsolete portions of Part 55, it was discovered that once the obsolete portions were deleted, only notices of Delayed Compliance Orders would remain. Since Parts 55 and 65 would both relate solely to Delayed Compliance Orders, it makes sense to combine those parts. This action proposes to drop the obsolete portions of Part 55 and to move the remaining sections to Part 65. Obsolete portions of Part 65 will be eliminated as well.

*Elimination of Part 55*—Part 55, entitled "Energy Related Authority," contains three elements. The first is a set of regulations that governs the procedures by which certain coal burning stationary sources could receive Compliance Date Extensions (CDE's), Temporary Suspensions (TS's) and one-year postponements of applicable SIP requirements under the authority of the Clean Air Act as amended in 1974. Those regulations became obsolete through the Clean Air Act Amendments of 1977 and will be rescinded by today's action. The second and third elements of Part 55 are notices of Compliance Date Extensions and Delayed Compliance Orders that have been issued to individual sources. All of the Compliance Date Extensions and many of the Delayed Compliance Orders have expired and, by this action, will be rescinded. Because the legislative authority has expired, no additional Compliance Date Extensions will be issued. The Agency does expect to continue issuing Delayed Compliance Orders, although they will be published in Part 65.

*Part 65*—Part 65 will be amended by making a few minor changes to the General Provisions and adding to the lists of Federal Delayed Compliance Orders, those issued under section 113(d)(5). Orders that have expired will be deleted.

*Comments on the Proposal*—No comments were received by the Agency.[1]

*Changes Since the Proposal*—Notices of 5 Orders have been dropped because compliance with final emission limits has been demonstrated in the interim and the Orders are now obsolete. Those dropped are notices of Orders from the General Motors Corporation in Fremont, California; the New England Power Company's Brayton Point Generating Station; the Andersons' grain loading facility in Toledo, Ohio; and the Virginia Electric Power Company's Portsmouth and Chesterfield Generating Stations. An order issued to Montaup Electric Company, Somerset Generating Station in Somerset Massachusetts has been added to Part 65 because it was issued after the proposal.

*Classification*—Under The Regulatory Flexibility Act I certify that this regulation will not have a significant impact on a substantial number of small entities.

Under E.O. 12291 the Agency must state if a regulation is "major." The regulation is not major E.O. 12291 because the regulation would not impose any new requirements; therefore, no additional costs would be imposed. This rulemaking was reviewed by the Office of Management and Budget under Executive Order 12291.

*Environmental Impact Statement.* Not required for this action.

**List of Subjects**

*40 CFR Part 55*

Air pollution control, Energy.

*40 CFR Part 65*

Air pollution control.

(Sec. 113 of the Clean Air Act, as amended; 42 U.S.C. 7413)

Dated: September 22, 1983.

**William D. Ruckelshaus,**

*Administrator.*

Accordingly, Title 40 of the CFR is amended as set forth below.

## PART 55—[REMOVED]

1. Title 40 of the CFR is amended by removing Part 55.

## PART 65—DELAYED COMPLIANCE ORDERS

### Subpart A—General Provisions

2. Section 65.01(f) is revised to read as follows:

**§ 65.01 Definitions.**

* * * * *

(f) The term "Federal delayed compliance order" shall mean a delayed compliance order issued by the Administrator under section 113(d) (1), (3), (4) or (5) of the Act.

* * * * *

**§ 65.02 [Amended].**

3. Section 65.02(a) is amended by revising the phrase, "section 113(d)(1),

[1] The proposed rule erroneously cited the Docket number as A-81-22. The number should have been A-82-17. No comments were addressed to either docket number.

(3), or (4)" to read, "section 113(d) (1), (3), (4) or (5)."

**§ 65.03 [Amended].**

4. Section 65.03(d) is amended by revising the phrase, "section 113(d) (1), (3), or (4)" to read, "section 113(d) (1), (3), (4) or (5)."

**§§ 65.50, 65.60, 65.80, 65.120, 65.130, 65.150, 65.160, 65.170, 65.230, 65.270, 65.280, 65.290, 65.310, 65.320, 65.330, 65.340, 65.360, 65.370, 65.390, 65.410, 65.420, 65,430, 65.440, 65.450, 65.460, 65.470, 65.490, 65.500, 65.520, 65.540, 65.550, 65.570, 65.580, 65.590, 65.600 [Amended]**

5. Sections 65.50, 65.60, 65.80, 65.120, 65.130, 65.150, 65.160, 65.170, 65.230, 65.270, 65.280, 65.290, 65.310, 65.320, 65.330, 65.340, 65.360, 65.370, 65.390, 65.410, 65.420, 65.430, 65.440, 65.450, 65.460, 65.470, 65.490, 65.500, 65.520, 65.540, 65.550, 65.570, 65.580, 65.590 and 65.600 are amended by revising the section headings to read "Federal delayed compliance orders issued under section 113(d) (1), (3), (4) and (5) of the Act," and replacing the word "proposal" with the word "promulgation" in the table headings.

**§§ 65.51, 65.101, 65.111, 65.141, 65.171, 65.191, 65.192, 65.201, 65.211, 65.221, 65.222, 65.231, 65.251, 65.281, 65.301, 65.321, 65.361, 65.362, 65.381, 65.382, 65.391, 65.401, 65.402, 65.431, 65.432, 65.451, 65.471, 65.491, 65.511, 65.531, 65.532, 65.551, and 65.552 [Amended]**

6. Sections 65.51, 65.101, 65.111, 65.141, 65.171, 65.191, 65.192, 65.201, 65.211, 65.221, 65.222, 65.231, 65.251, 65.281, 65.301, 65.321, 65.361, 65.362, 65.381, 65.382, 65.391, 65.401, 65.402, 65.431, 65.432, 65.451, 65.471, 65.491, 65.511, 65.531, 65.532, 65.551 and 65.552 are amended by removing the current entries from the tables and retaining the table headings, as shown:

| Source | Location | Order No. | SIP regulation(s) involved | Date of FEDERAL REGISTER promulgation | Final compliance date |
|---|---|---|---|---|---|
| [Reserved] | [Reserved] | [Reserved] | [Reserved] | [Reserved] | [Reserved] |

**§§ 65.90, 65.100, 65.110, 65.140, 65.180, 65.190, 65.200, 65.210, 65.220, 65.240, 65.300, 65.380, 65.400, 65.480 and 65.530 [Amended]**

7. Sections 65.90, 65.100, 65.110, 65.140, 65.180, 65.190, 65.200, 65.210, 65.220, 65.240, 65.300, 65.380, 65.400, 65.480, and 65.530 are amended by revising the section heading, removing the current entries from the table, and retaining the table headings, as shown:

**§ Federal delayed compliance orders issued under section 113(d) (1), (3), (4) and (5) of the Act.**

* * * * * * *

| Source | Location | Order No. | SIP regulation(s) involved | Date of FEDERAL REGISTER promulgation | Final compliance date |
|---|---|---|---|---|---|
| [Reserved] | [Reserved] | [Reserved] | [Reserved] | [Reserved] | [Reserved] |

## Subpart D—Arizona

8. Section 65.70 is amended by revising the section heading and table, as shown:

**§ 65.70 Federal delayed compliance orders issued under section 113(d) (1), (3), (4) and (5) of the Act.**

* * * * *

| Source | Location | Order No. | SIP regulation(s) involved | Date of FEDERAL REGISTER promulgation | Final compliance date |
|---|---|---|---|---|---|
| Phelps Dodge Co | Ajo, Ariz | 9-81-27 | 40 CFR 51.125(d) 40 CFR 52.126(b) | Jan. 12, 1982 | Dec. 31, 1985. |
| Phelps Dodge Co | Morenci, Ariz | 9-81-28 | 40 CFR 51.125(d) Reg. 7-1-3.6 (Ariz. Dept. of Health). | do | Jan. 1, 1985. |

## Subpart V—Maryland

9. Section 65.250 is amended by revising the section heading and table, as shown.

**§ 65.250 Federal delayed compliance orders issued under section 113(d) (1), (3), (4) and (5) of the Act.**

* * * * * * *

| Source | Location | Order No. | SIP regulation(s) involved | Date of FEDERAL REGISTER promulgation | Final compliance date |
|---|---|---|---|---|---|
| Naval Ordnance Station, Goddard Units 1-3. | Indian Head, Md | R-III-CC-007 | COMAR § 10.03, 40.02B, 103.03, 40.02D, 10.03, 40.02C(2). | June 23, 1983 | Mar. 1, 1985. |

## Subpart W—Massachusetts

10. Section 65.260 is amended by revising the section heading and table, as shown:

**§ 65.260 Federal delayed compliance orders issued under section 113(d) (1), (3), (4) and (5) of the Act.**

* * * * * * *

| Source | Location | Order No. | SIP regulation(s) involved | Date of FEDERAL REGISTER promulgation | Final compliance date |
|---|---|---|---|---|---|
| Holyoke Water Power Mt. Tom Unit. | Holyoke, Mass | | 310 CMR 7.02(8), 7.05(4) and 7.06(1) | Nov. 24, 1981 | Feb. 15, 1984. |
| New England Power Co., Salem Harbor Units 1, 2 and 3. | Salem, Mass | | 310 CMR 7.02(8), 7.05(4) and 7.06 | Feb. 9, 1982 | No later than Dec. 31, 1985. |
| Montaup Electric Co., Somerset Station. | Somerset, Mass | | 310 CMR 7.02(8) and 7.06(1) | Mar. 22, 1983 | Do. |

## Subpart FF—New Jersey

11. Section 65.350 is amended by revising the section heading and table, as shown.

**§ 65.350 Federal delayed compliance orders issued under section 113(d) (1), (3), (4) and (5) of the Act.**

* * * * * * *

| Source | Location | Order No. | SIP regulation(s) involved | Date of FEDERAL REGISTER promulgation | Final compliance date |
|---|---|---|---|---|---|
| Atlantic City Electric Deepwater Unit 8. | Pennsville, N.J | 00109 | N.J.A.C. 7:27-3.1 et seq. and 7:27-4.1 et seq. and 7:27-8.1 et seq. | Jan. 26, 1981 | Oct. 1, 1983. |

## Subpart VV—Virginia

12. Section 65.510 is amended by revising the section heading and table, as shown:

**§ 65.510 Federal delayed compliance orders issued under section 113(d)(1), (3), (4) and (5) of the Act.**

* * * * * * *

| Source | Location | Order No. | SIP regulation(s) involved | Date of FEDERAL REGISTER promulgation | Final compliance date |
|---|---|---|---|---|---|
| Virginia Electric Power Co. Possum Pt. Units 2 & 3. | Possum Point, VA | R-111-CC-005 | VAPCB Section IV, Rules 2 & 3 | Mar. 9, 1981 | Apr. 1, 1984, Nov. 1, 1982. |

## Subpart WW—Washington

13. Section 65.521 is amended by retaining the section heading and revising the table, as shown:

| Source | Location | Order No. | SIP regulation(s) involved | Date of FEDERAL REGISTER promulgation | Final compliance date |
|---|---|---|---|---|---|
| Fletcher Oil Co | Takoma, Wash | W-13 | WAC 173-490-040 WAC 173-490-201 PSAPCA 2. | May 19, 1982 | Jan. 1, 1983. |

## Subpart AAA—Guam

16. Section 65.560 is amended by revising the section heading and table, as shown.

**§ 65.560 Federal delayed compliance orders issued under section 113(d) (1), (3), (4) and (5) of the Act.**

| Source | Location | Order No. | SIP regulation(s) involved | Date of FEDERAL REGISTER promulgation | Final compliance date |
|---|---|---|---|---|---|
| Guam Power Authority | Agana, Guam | 9-80-8 | Section 13.4 of Chapter 13, Guam Air Pollution Standards and Regulations. | Apr. 27, 1981 | Feb. 15, 1985. |

[FR Doc. 83-26673 Filed 9-28-83; 8:45 am]
BILLING CODE 6560-50-M