

Capital Programs Management Group (CPM)

CPM 315: State Historic Preservation

Effective: 1/19/1989

Revised: 7/1/2023

Purpose

To outline the historic preservation requirements for properties at Arizona State University

Source

Arizona Revised Statutes §§ 41–841 through –844; 41–861 through –865

Applicability

All university owned or controlled property

Policy

ASU, as a state agency, is responsible for the preservation of historic properties that are owned or controlled by the university in accordance with *Arizona Revised Statutes (ARS)*. All building construction, renovation, and maintenance to be performed in or on properties that have the potential to contain archaeological discoveries and/or may be considered prehistoric, historic, or architecturally and culturally significant must follow the policies of the State Historic Preservation Act (ARS §41–861 through 865) and the Arizona Antiquities Act (ARS §41–841 through 844). These statutes require that specific steps be taken to protect such properties and/or discoveries. The ARS requirements are summarized as follows (for complete text of the statutes, see

<http://www.azleg.state.az.us/ArizonaRevisedStatutes.asp?Title=41>.

1. Prior to acquiring, constructing, or leasing buildings for university use, use of historic properties available to the university shall be considered (§41–861).
2. ASU shall undertake any preservation in a manner consistent with the preservation of historic properties, the duties of the university, and the professional standards recommended by the State Historic Preservation Officer (§41–861).
3. All properties owned or controlled by ASU that appear to meet the criteria for inclusion on the Register shall be identified, evaluated, and nominated to the State and National Register of Historic Places (§41–862).
4. Caution shall be exercised to assure that property is not inadvertently transferred, sold, demolished, substantially altered, or allowed to deteriorate significantly (§41–862).
5. ASU shall provide an annual report to the State Historic Preservation Office (SHPO) regarding performance in initiating and satisfying the programmatic management of historic properties (which will be included in the SHPO's annual report to the state legislature) (§41–862).
6. ASU shall prepare an appropriate documentary recordation of historic properties that will be substantially altered or demolished, in consultation with SHPO and compliance with standards established by the SHPO (§41–863).
7. SHPO shall be allowed 30 days in which to review and comment on any plans for construction projects, sale, lease, or acquisitions that involve historic properties to ensure that prehistoric, historic, architectural, or culturally significant values will be preserved or enhanced (§41–864).

8. ASU shall not knowingly excavate in or upon any historic or prehistoric ruin, burial ground, archaeological, or paleontological site, nor collect any archaeological specimen or paleontological specimen without obtaining a permit (§41–841).
9. Only professional archaeologists shall investigate archaeological sites, and only under permit from the Arizona State Museum (§41–842).
10. No site or archaeological or paleontological specimen shall be defaced or otherwise altered except under permit granted by the Arizona State Museum (§41–843).
11. Any archaeological, paleontological, or historical sites or objects discovered in the course of survey, excavation, construction, or similar activity on university-owned land shall be promptly reported to the director of the State Museum, and in consultation with the director, steps shall be taken to immediately secure and maintain its preservation; in the event of the discovery of human remains and related items, appropriate disposition shall be coordinated by the director of the State Museum (§41–844).

In summary, historic and prehistoric properties (districts, buildings, sites, structures, and objects) that appear to meet the criteria for listing in the State and National Register of Historic Places shall be identified and evaluated for their historic significance and eligibility for listing. New construction, additions, remodeling, and/or maintenance of historic properties shall be performed in accordance with the *Secretary of the Interior's Standards and Guidelines* and reviewed by the SHPO.

The historic preservation coordinator in the Asset Management department will assist design managers, project managers, design professionals, and archaeologists with questions regarding historic preservation requirements, and is responsible for coordinating review submissions and other communications with the SHPO.

Procedures

Projects that involve historic properties shall comply with the procedures outlined by the State Historic Preservation Act and the Arizona Antiquities Act of the *Arizona Revised Statutes*. A summary of the historic preservation procedures for archaeology and historic buildings is provided in the following sections.

Note: Contact the historic preservation coordinator in the Office of the department of Asset Management for information and assistance with historic preservation requirements by sending an email to HistoricPreservation@asu.edu.

Historic Buildings

Identification, Evaluation, and Treatment of Historic Properties

This section describes historic preservation requirements for actions that will involve historic buildings. Historic sites, structures, and objects (see [Glossary](#) for definitions) should be treated similarly. The following are the necessary steps in addressing building historic preservation. Each of these steps is described in the sections of the following narrative. A Summary of Required Actions is provided at the end of this section.

- Step 1: Identification and evaluation
- Step 2: Proposed action and treatment
- Step 3: Assessment of effect of the treatment

In the event that substantial alteration or demolition cannot be avoided, recordation documentation is required. The requirements for the documentation are provided at the end of this section.

Step One: Identification and Evaluation of Historic Properties

The following describes the historic identification and evaluation procedure. If eligibility has already been determined and the property is listed or eligible, continue on to Step Two (below). If eligibility has not yet been assessed, that will need to be performed. The current historic preservation status (listed, eligible, ineligible, or

pending eligibility determination) for ASU buildings is provided in the Facilities Data Sheets (under Codes>Historic Preservation). Contact the ASU historic preservation coordinator for assistance.

Obligation

ASU is required to identify and evaluate all properties owned or controlled by the university that appear to meet the criteria for eligibility for listing in the State and National Registers of Historic Places. The evaluation shall be prepared utilizing National Register Bulletin #15: *How to Apply the National Register Criteria for Evaluation*. The ASU historic preservation coordinator or a historical consultant may prepare the evaluations.

Note: The State and National Registers recognize districts, buildings, structures, sites, and objects considered worthy of preservation. Neither eligibility nor listing prevents the owner of a historic property from remodeling, repairing, altering, selling, or even demolishing a building, although ASU must comply with *ARS* requirements. *ARS* requirements include SHPO consultation and review of plans involving historic properties for compliance with *ARS* and the *Secretary of the Interior's Standards and Guidelines*. An annual reporting of the results of those consultations and actions is provided to the state legislature by SHPO.

Action

If eligibility has not been determined (for buildings over 50 years old or those potentially of “exceptional importance”), the preparation of a Historic Property Inventory Form for the property is required to determine if the building meets the criteria for listing in the State and National Registers of Historic Places. Contact the ASU historic preservation coordinator in the Office of the University Architect (OUA) for preparation of Historic Property Inventory Forms. Current eligibility status for individual properties is available in the ASU Facilities Data Sheets (under Codes>Historic Preservation).

Step Two: Proposed Action and Treatment

Obligation

Proposed actions (maintenance, remodeling, and/or additions) involving historic buildings, structures, and objects shall be treated in accordance with the standards and guidelines of the *Secretary of the Interior's Standards for Treatment of Historic Properties* (<https://www.nps.gov/tps/standards.htm>). Proposed actions and treatment of buildings shall follow one of the *Secretary of the Interior's Treatment* options: rehabilitation, preservation, restoration, or reconstruction.

Action

Rehabilitation will be the most appropriate treatment option for most projects. Rehabilitation allows for a new use of the property while protecting the features that give the property its historic character and significance (<https://www.nps.gov/tps/standards/rehabilitation/rehab/stand.htm>). The goal is to protect and preserve the historic integrity of the property (the “character-defining” features), which includes the design, materials, workmanship, location, and setting. The *Secretary of the Interior's Standards for Rehabilitation* are as follows:

1. A property will be used as it was historically or be given a new use that requires minimal change to its distinctive materials, features, spaces, and spatial relationships.
2. The historic character of a property will be retained and preserved. The removal of distinctive materials or alteration of features, spaces, and spatial relationships that characterize a property will be avoided.
3. Each property will be recognized as a physical record of its time, place, and use. Changes that create a false sense of historical development, such as adding conjectural features or elements from other historic properties, will not be undertaken.
4. Changes to a property that have acquired historic significance in their own right will be retained and preserved.
5. Distinctive materials, features, finishes, and construction techniques or examples of craftsmanship that characterize a property will be preserved.

6. Deteriorated historic features will be repaired rather than replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature will match the old in design, color, texture, and, where possible, materials. Replacement of missing features will be substantiated by documentary and physical evidence.
7. Chemical or physical treatments, if appropriate, will be undertaken using the gentlest means possible. Treatments that cause damage to historic materials will not be used.
8. Archeological resources will be protected and preserved in place. If such resources must be disturbed, mitigation measures will be undertaken.
9. New additions, exterior alterations, or related new construction will not destroy historic materials, features, and spatial relationships that characterize the property. The new work shall be differentiated from the old and will be compatible with the historic materials, features, size, scale and proportion, and massing to protect the integrity of the property and its environment.
10. New additions and adjacent or related new construction will be undertaken in such a manner that, if removed in the future, the essential form and integrity of the historic property and its environment would be unimpaired.

Step Three: Assessment of Effect

Obligation

An assessment of the effect of the proposed treatment for maintenance, remodeling, and/or additions shall be prepared and reviewed by SHPO. Compliance with the *Secretary of the Interior's Standards for Treatment of Historic Properties* provides the basis for the assessment and SHPO for review.

Action

Proposed modifications to a historic property or cultural resource shall be assessed to determine one of the three following effects in accordance with the National Historic Preservation Act (NHPA), Section 106 process:

1. *No Effect*: There will be no effect of any kind on the historic or cultural resource (building, site, structure, or object).
2. *No Adverse Effect*: There could be an effect, but the effect would not be harmful to the historic or cultural resource (building, site, structure, or object).

or

3. *Adverse Effect*: There could be a harmful effect to the historic or cultural resource (building, site, structure, or object). Adverse effects include, but are not limited to, the following actions:
 - a. Physical destruction or damage to all or part of the property;
 - b. Alterations of a property that are not consistent with the *Secretary of the Interior's Standards for Treatment of Historic Properties*;
 - c. Removal of the property from its original location;
 - d. Change of the character of the property's use or physical features that contribute to its historic significance;
 - e. Introduction of elements that diminish the integrity of the property's significant historic features;
 - f. Neglect of a property that causes its deterioration.

The goal is for the proposed work to result in "no effect" or "no adverse effect" to the historic property. The university shall follow the procedures and requirements identified in the National Historic Preservation Act (NHPA), Section 106, for submission of plans and consultation with the SHPO (per ARS §41–864) in assessing the effects of a proposed action on a historic property or cultural resource.

<https://www.nps.gov/subjects/historicpreservation/standards.htm>

<https://www.achp.gov/> (see also 36CFR Part 800)

Historic Buildings Summary of Required Actions		
Activity	Task	Responsible Party
Campus Planning	Consider historic preservation in campus planning (retaining/using, leasing, and/or acquiring historic buildings)	ASU Executive Administration; ASU Real Estate; Office of the University Architect
Identification and Evaluation (see <u>Step One</u>)	Determination of eligibility for the State and National Registers of Historic Places	ASU Historic Preservation Coordinator or Historic Preservation Consultant.
Nomination	Nominate eligible properties to the National Register	ASU Historic Preservation Coordinator or Historic Preservation Consultant
Proposal for Addition, Remodeling, or Maintenance (see <u>Step Two</u>)	Follow <i>“The Secretary of Interior’s Standards for Treatment of Historic Properties— Rehabilitation”</i>	Design professional (DP) and ASU project manager(s) (with assistance from the ASU Historic Preservation Coordinator)
Assessment of Effect (see <u>Step Three</u>)	SHPO review and comments on the Addition, Remodeling, or Maintenance Proposal	ASU Historic Preservation Coordinator or Historic Preservation Consultant
Addition, Remodeling, or Maintenance and Implementation	May proceed following receipt of SHPO concurrence with the Proposal	ASU Historic Preservation Coordinator and ASU Project Manager(s)
Building Demolition (see <u>Demolition Documentation Requirements</u> below)	Prepare recordation/ documentation per SHPO requirements/standards	ASU Historic Preservation Coordinator or Historic Preservation Consultant

If there is potential for an adverse effect, additional SHPO consultation is required to identify acceptable ways to avoid or mitigate the adverse effect. The consulting parties shall include the archaeologist and/or architect (dependent upon the property or resource involved); the project manager from the Capital Program Management Group (CPMG); the design manager from the Office of the University Architect (OUA); and the historic preservation coordinator.

The State Historic Preservation Officer has 30 working days in which to review an assessment of effect submission and to comment on plans for alterations to historic properties. Please allow a minimum of 45 days for preparation, submission, and review. If SHPO does not concur with the assessment of effect, additional time will be required for consultation to discuss mitigation of any proposed treatments that will result in adverse effects to the historic property.

Substantial Alteration or Demolition: Recordation Documentation

Obligation

In the event of substantial alteration or demolition of a historic property, a documentary recordation of the building shall be prepared and submitted to the State Historic Preservation Office and the Arizona Department of Library, Archives, and Public Records. Documentary recordation requirements are available from the State Historic Preservation Office and the ASU historic preservation coordinator. Contact the ASU historic preservation coordinator for assistance with the documentation preparation and submission to the SHPO and Arizona State Library and Archives submissions.

Note: A historic preservation consultant (historian or historical architect) may be required to prepare the documentation.

Hire a historical architect or architectural historian to prepare the recordation documentation for the proposed demolished property. The ASU historic preservation coordinator will manage the preparation of the report and coordination of the report submission. The following outlines the documentation requirements:

1. A narrative that includes the original name, construction date, architect or builder, and a brief discussion of the original function of the building and its uses over time. The narrative should include a statement concerning why the building is perceived as having historic importance.
2. A map indicating geographic location and contextual relationship of the property to adjacent structures and a campus map showing the location of the building on the campus.
3. Reproductions of any original floor plans and architectural drawings of the building showing their original appearance and design. If drawings cannot be located a simple floor plan and elevation drawings of the primary exterior facades should be prepared.
4. A set of black & white digital photographs and color digital photos showing all significant facades and architectural detailing, especially along the roofline and around the primary original entrance. Significant interior spaces, such as lobbies or staircases, should be photographed if any noteworthy features exist. One photograph should show the building within its surroundings or its relationship to adjacent buildings. At least one of the black and white elevation photographs should include a measuring stick or ruler to provide scale. All photographs must be indexed with the photographer's name, date of photograph, direction of view, and location.

Archaeology

Survey and Data Recovery of Cultural Resources

The following section summarizes the archaeological investigation and treatment requirements for addressing properties that have the potential to contain archaeological or paleontological prehistoric or historic cultural resources. The ASU historic preservation coordinator will submit the reports and coordinate communications with SHPO. The process involves five steps:

- Step One: Obtain professional archaeological services
- Step Two: Literature/records search
- Step Three: Field survey
- Step Four: Data recovery
- Step Five: Disposition/curation

Step One: Obtain Professional Archaeological Services

Obligation

A professional archaeologist, in coordination with the FDM project manager(s), the historic preservation coordinator in the Office of the University Architect, and the State Historic Preservation Office (SHPO), shall perform necessary archaeological work in accordance with the State Historic Preservation Act and the Arizona Antiquities Act of the *Arizona Revised Statutes*.

Action

At the earliest point in the planning for new building construction, additions, or renovation projects on sites that have the potential to contain historic or prehistoric archaeological discoveries, an archaeological investigation must be initiated. The archaeological investigation shall be managed by the FDM project manager(s) and performed by a professional archaeologist.

A professional archaeologist shall determine the scope of work required for the potential project and perform the archaeological investigation. The professional archaeologist must be selected through an approved ASU procurement process. Only institutions, organizations, or corporations organized for scientific, research, or land use planning purposes may perform the archaeological investigation activities. Permits must be obtained from the Arizona State Museum (ASM) prior to the initiation of the survey and associated exploratory requirements.

Step Two: Literature/Records Search

Obligation

A literature/records search of relevant existing inventories, archival information, ethnographic literature, archaeological reports, historic maps, and other records shall be conducted prior to beginning fieldwork.

Action

Background studies, including archival research, shall be conducted to begin the identification of eligible properties within a survey area. The literature/records search shall be conducted by a professional archaeologist to review all available information that could assist in determining whether cultural resources may exist in an area of proposed activity.

Step Three: Field Survey

Obligation

A field survey or monitoring shall be conducted to identify unrecorded historic and prehistoric cultural resources and to relocate and record previously identified cultural resources.

Action

The field survey shall be conducted by a professional archaeologist. Standards for conducting a field survey, including permitting, surveying, and site recording are provided in the [SHPO Reporting Standards](#).

A Survey Plan shall be submitted to SHPO for concurrence prior to conducting the field survey. A Survey Report shall be submitted to SHPO for review and comment upon completion of the field survey.

Step Four: Data Recovery

Obligation

If artifacts are discovered during the field survey, data recovery shall be implemented, which may include mapping, monitoring, sampling, excavation, remote sensing, recording, and reporting of human burials.

Action

A professional archaeologist shall include a Data Recovery Plan in the Treatment Plan in accordance with the SHPO Reporting Standards. The reporting standards and additional guidelines can be found on the [Arizona State Museum Web site](#), including guidelines for site recording, repository, and reporting human burials. The Data Recovery Plan shall be submitted to SHPO for review and comment prior to implementation.

Upon completion of the data recovery, a Data Recovery Report shall be submitted to the SHPO and Tribal Historic Preservation Officers for concurrence. Copies of the final Data Recovery Report shall be submitted to the SHPO, Tribal HPOs, and the Arizona State Museum.

Step Five: Disposition

Obligation

Repatriation, disposition, and/or curation of artifacts discovered during the field survey and data recovery shall be implemented as recommended by the archaeologist and in consultation with the director of the Arizona State Museum and the SHPO.

Action

The reporting standards and additional guidelines can be found on the [Arizona State Museum Web site](#), including guidelines for disposition of cultural artifacts and the repatriation of human remains and funerary or ceremonial objects. The Final Data Recovery Report shall be submitted to SHPO and Tribal HPOs for review and comment prior to implementation.

Archaeology Summary of Required Actions		
Activity	Task	Responsible Party
Project Initiation	Consult with ASU Historic Preservation Coordinator	FDM design and project manager(s)
Project Summary	Outline Project Scope in narrative and graphic formats describing parameters and showing site boundaries	FDM Design and Project Manager(s)
SHPO/Tribal Consultation Initiation	Initiation of consultation with SHPO and Native American Tribes (as necessary)	ASU historic preservation coordinator
Literature/Records Search	Literature/records review, field survey, and report	Archaeologist
Survey Plan	Preparation/submission of Survey Plan for SHPO review	Plan: Archaeologist SHPO Review: ASU historic preservation coordinator

Survey Report	Preparation/submission of Survey Report for SHPO review	Preparation: Archaeologist Submission: ASU historic preservation coordinator
Data Recovery Plan (if necessary)	Preparation/submission of Data Recovery Plan to SHPO	Preparation: Archaeologist Submission: ASU historic preservation coordinator
Preliminary Data Recovery Report	Preparation/submission of the Preliminary Data Recovery Report	Preparation: Archaeologist Submission: ASU historic preservation coordinator
Final Data Recovery Report	Preparation/submission of Final Data Recovery Report [followed by Disposition, as recommended]	Report: Archaeologist SHPO Review: ASU historic preservation coordinator Disposition: Archaeologist coordinates with the director of the Arizona State Museum

Glossary

Archaeological Discovery

Any historic or prehistoric ruin, burial ground, archaeological or vertebrate paleontological site, or site including fossilized footprints, inscriptions made by human agency, or any other archaeological, paleontological, or historical feature.

Eligibility

An “eligible” property is one that appears to meet the criteria for listing on the State and National Registers of Historic Places based upon the National Register Criteria for Evaluation. The same criteria apply to both state and national eligibility.

Historic Property (also known as Historic Resource or Cultural Resource)

A district, site, building, structure, or object significant in Arizona’s history, architecture, engineering, archaeology, or culture (with historic significance at a national, state, or local level) that is listed in, or eligible for, the State and National Registers of Historic Places (same requirements for both listings). The following are definitions of the five types of historic properties:

1. Building

A building, such as a house, barn, church, hotel, or similar construction, is created principally to shelter any form of human activity. Examples of buildings include an administration building, house, dormitory, garage, library, office building, social hall, student union, classroom building, or bookstore.

2. Site

A site is the location of a significant event, a prehistoric or historic occupation or activity, or a building or structure, whether standing, ruined, or vanished, where the location itself possesses historic, cultural, or archaeological value regardless of the value of any existing structure. Examples of sites include a designed landscape, natural features having cultural significance, ruins of a building or structure, trail, village site, petroglyph, or habitation site.

3. District

A district possesses a significant concentration, linkage, or continuity of sites, buildings, structures, or objects united historically or aesthetically by plan or physical development. A district derives its importance from

being a unified entity, even though it is often comprised of a wide variety of resources. The identity of a district results from the inter-relationship of its resources, which can convey a visual sense of the overall historic environment or be an arrangement of historically or functionally related properties.

4. Structure

The term “structure” is used to distinguish buildings from those functional constructions usually made for purposes other than creating human shelter. Examples of structures include a bridge, canal, fence, street, or tunnel.

5. Object

The term “object” is used to distinguish buildings and structures from those constructions that are primarily artistic in nature or are relatively small in scale and simply constructed. Although it may be, by nature or design, movable, an object is associated with a specific setting or environment. Examples of objects include a boundary marker, fountain, milepost, monument, sculpture, or statuary.

Integrity

The unimpaired ability of a property to convey its historical significance. The seven aspects of integrity include location, design, setting, materials, workmanship, feeling, and association.

National Register of Historic Places (NRHP)

Preservation of historic properties became a national policy through the passage of the Historic Sites Act of 1935 and the National Historic Preservation Act of 1966, as amended. The Historic Sites Act authorized the Secretary of the Interior to identify and recognize properties of national significance (National Historic Landmarks) in United States history and archaeology. The National Historic Preservation Act of 1966 authorized the Secretary of the Interior to expand this recognition to properties of local and state significance in American history, architecture, archaeology, engineering, and culture. The National Register of Historic Places is the official listing of prehistoric and historic properties worthy of preservation. The National Register is maintained and expanded by the National Park Service on behalf of the Secretary of the Interior. The National Register of Historic Places also documents the appearance and importance of districts, sites, buildings, structures, and objects significant in our prehistory and history through its Heritage Documentation Programs.

Nomination

The official recommendation for listing a property in the National Register of Historic Places.

Professional Archaeologist

A professional archaeologist has the education and experience to meet the *Secretary of the Interior's Qualifications Standards for Archaeology* (http://www.nps.gov/history/local-law/arch_stnds_9.htm); and the requirements of the Arizona State Museum's archaeological permit to carry out archaeological work on state land.

Secretary of the Interior's Professional Qualification Standards

The Professional Qualification Standards of the *Secretary of the Interior's Standards and Guidelines* define the minimum education and experience required to perform identification, evaluation, registration and treatment activities. Qualifications are defined for history, archaeology, architectural history, architecture, and historic architecture (http://www.nps.gov/history/local-law/arch_stnds_9.htm).

State Historic Preservation Office or State Historic Preservation Officer (SHPO)

The State Historic Preservation Office, led by the State Historic Preservation Officer, is responsible for administering compliance with the State Historic Preservation Act and the Arizona Antiquities Act of the *Arizona Revised Statutes* and providing advice and assistance in carrying out the delineated preservation activities.