

## APPENDIX A

### HISTORIC PROPERTY PROJECTS SUBMITTAL REQUIREMENTS/CHECKLIST

#### 1 SUBMITTAL REQUIREMENTS/CHECKLIST

The review of your project is based entirely upon what is presented verbally and graphically. It is our desire to help you in your project as much as possible. However, a good review of your project requires enough information to make good decisions and recommendations. As much information as practical is encouraged to lessen the time of the public hearing, the questions we may ask during the hearing, and the chance that a decision will have to be postponed due to incomplete information.

#### 2 PRE-APPLICATION SUGGESTIONS

The Prescott Preservation Commission suggests that you obtain a copy of the following documents to assist, educate, and inform you about the character, history, and unique aspects of your building. These resources may be obtained from the Preservation Specialist.

- Historic Property Inventory Form (if available)
- The Secretary of the Interior's Standards for Rehabilitation
- Yesterday, Today, Tomorrow: A Guide to Preserving Your Prescott Home (\$12.00)
- Prescott Preservation Master Plan (Check for Price at Counter)

We also encourage you to make an appointment with the City's Historic Preservation Specialist who can advise you on application procedures, design suggestions, and any other assistance you may need. *This is particularly important for commercial projects or projects requiring a Variance or Conditional Use Permit.*

#### 3 MANDATORY REQUIREMENTS - ALL PROJECTS

##### **Completed Application Form, Including:**

- Street address of the property (not "the corner of...") and zoning classification
- Tax parcel number
- Name, address & phone number of owner and/or agent
- Project description (attaching a letter describing the project is encouraged)
- Specifications for proposed work
- Timing of project

##### **Current Photographs of Property**

- All exterior elevations of existing structures should be included, with emphasis on elevations facing the public right-of-way (please mount photos on 8-1/2" by 11" heavy paper for reproduction)

## 4 ADDITIONAL MANDATORY REQUIREMENTS - COMMERCIAL PROJECTS

### Site Plans

- Location of proposed structure(s), use(s), and area in square feet
- Setbacks from property lines of all structures
- North arrow
- Adjacent streets, driveways, etc., appropriately labeled
- Landscaped and paved areas
- Building footprint for all existing buildings on the site

### Elevations

- All sides of the building(s) under review
- Heights of proposed and adjacent buildings
- Changes in exterior material and/or color

### Color

- Include material examples of color mounted on board(s) with paint manufacturer and name or number identified

### Landscape Plans

- Existing and proposed plant material, indicate species type and size
- Show trees to be removed with an "X." Indicate trunk diameters

## 5 ADDITIONAL SUGGESTED REQUIREMENTS - RESIDENTIAL PROJECTS

The following items are strongly suggested for residential projects and may be required based on the complexity of the project. Please check with the Historic Preservation Specialist for a determination.

### Site Plans

- Location of proposed structure(s), use(s), and area in square feet
- Setbacks from property lines of all structures
- North arrow
- Adjacent streets, driveways, etc., appropriately labeled
- Landscaped and paved areas
- Building footprint for all existing buildings on the site
- Footprints of buildings on adjacent properties

### Elevations

- Side of building to be modified by project
- Heights of proposed and adjacent buildings (new construction only)
- Exterior material and/or color (labeling is sufficient)
- Include material examples of color mounted on board(s) with paint manufacturer and name or number identified

## **Landscape Plans**

- Existing and proposed plant material, including species

### 6 SUBMITTAL DEADLINE

In order to place the project on the agenda and to allow Commission members time to review the project, submission materials are due to the on the Wednesday ten days prior to the meeting date (office closes at 5:00). It is the policy of the Prescott Preservation Commission to deny applications not submitted on time. Incomplete submittals will not be placed on the agenda for commission review.

### 7 THE MEETING AGENDA

An agenda containing the meeting date and the time will be mailed to the person(s) indicated on the application form.

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## APPENDIX B

### HISTORIC PROPERTY PROJECTS COMMISSIONER'S CHECKLIST

This checklist is to assist Prescott Preservation Commission members in the review of proposed projects. It is intended to ensure that, to the greatest degree possible, a full review is conducted and to minimize the possibility of something "slipping through the cracks."

It should be noted that the Secretary of Interior's Standards discourage new construction that is a copy of a historical style. That is, new construction can be built in a contemporary manner provided it is consistent with the character of the neighborhood and respects historical styles without strictly emulating them.

To judge whether an application meets the design guidelines for the district, commission members must determine if the project supports and maintains the stated goals of the district and respects the design elements that characterize the district. The Commission should first evaluate the project in terms of the larger issues of context, scale, massing, and height, followed by the details. The Commission should also consider the long-term effects of the project on the district.

#### I SITE PLANNING

##### Siting of the Building

Is the **setback, facade width, and spacing between buildings** consistent with the historic pattern in the district?

##### Delineation of Street Space

Is the **continuity of the street edge** maintained? Is the **separation of public, semi-public, and private areas** consistent with the historic pattern? Do **fences** obscure historic resources? Are fence materials historically consistent?

##### Garage

Is any carport or garage located appropriately? For example, is the garage placed even with or in front of the house in a neighborhood that historically has garages in the rear?

##### Site Improvements

Are **walkways** consistent with the historic location and pattern? Are **driveways** cut in such a way that they do not hamper historic resources (located at the property edge instead of the middle)? Are **retaining walls** of the same or similar material and height as the historic pattern?

## 2 BULK, PROPORTION AND SIZE

Is the building **height** consistent with other buildings in the neighborhood (despite what the current zoning allows)? Are the **facade proportions** consistent with the neighborhood (are the horizontal and vertical emphases compatible)? Is the overall **scale** of the project consistent (neither too large and imposing nor underscaled and inappropriate)?

## 3 MASSING

### Building Shape

Is the **form** of the building compatible with the neighborhood? Is the **roof shape** consistent? For example, are flat roofs proposed in an area of hips and gables? Is the **orientation** of the building consistent?

### Additions

Is the **placement, form, and bulk** of any addition consistent with the neighborhood and other buildings on the lot?

## 4 ROOF

Is the **roof shape** consistent with the neighborhood? Is the roof shape of any additions consistent or complementary to the existing building? Is the **roof pitch** (slope) compatible? Is the **overhang** consistent? Do **dormers, skylights and other appurtenances** exist elsewhere in the district? Are they sensitively designed for this project? Are **chimneys** designed to be consistent with others in the district?

## 5 WINDOWS

Is the window **type or style** consistent (double-hung, casement, etc.)? Are the **shape and proportions** of the windows compatible? Is the **rhythm and balance** of the window pattern complementary to the district? Are any **awnings or other shade structures** consistent with the district?

## 6 DOORWAYS

Is the **placement and orientation** of the door consistent with the district? For example, is the door placed to the side of the building when the historic pattern is on the front? Is the **type** of door consistent?

## 7 EXTERIOR ARCHITECTURAL ELEMENTS

Are **door platforms and steps** consistent with the district? Is the use of **stem walls** compatible? Are **porches and decks** used and treated in a manner consistent with the area? Do any architectural elements **block or obscure historic resources**?

## 8 MATERIALS

Consistency and compatibility of materials is critical. Be sure to review all elements, including **wall surfaces, foundations, and roofs**. Other less obvious, but still important items include **trim, gutter and downspouts, louvers and vents, lighting, and public utilities**.

# HISTORIC PRESERVATION MASTER PLAN

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## 9 COLOR

Has a **color palette** been established for this district? Is so, do proposed colors conform? Would any other proposed colors be compatible with the historic district?

## 10 LANDSCAPE

Is there an effort to **preserve mature trees**? Is the pattern of any **street plantings** maintained? Is the proposed landscape consistent with the district?

## NOTES AND COMMENTS

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## APPENDIX C

### SECRETARY OF INTERIOR GUIDELINES FOR HISTORIC REHABILITATION

#### BUILDING EXTERIOR

##### **Masonry: Brick, Stone, Terra Cotta, Concrete, Adobe, Stucco and Mortar**

Masonry features (such as brick cornices and door pediments, stone window architraves, terra cotta brackets and railings) as well as masonry surfaces (molding, tooling, bonding patterns, joint size, and color) may be important in defining the historic character of the building. It should be noted that while masonry is among the most durable of historic building materials, it is also the most susceptible to damage by improper maintenance or repair techniques and by harsh or abrasive cleaning methods. Most preservation guidance on masonry thus focuses on such concerns as cleaning and the process of repointing.

##### Recommended

Identifying, retaining, and preserving masonry features that are important in defining the overall historic character of the building such as walls, brackets, railings, cornices, window architraves, door pediments, steps, and columns; and joint and unit size, tooling and bonding patterns, coatings, and color.

Protecting and maintaining masonry by providing proper drainage so that water does not stand on flat, horizontal surfaces or accumulate in curved decorative features.

Cleaning masonry only when necessary to halt deterioration or remove heavy soiling.

Carrying out masonry surface cleaning tests after it has been determined that such cleaning is necessary. Tests should be observed over a sufficient period of time so that both the immediate effects and the long range effects are known to enable selection of the gentlest method possible.

Cleaning masonry surfaces with the gentlest method possible, such as low pressure water and detergents, using natural bristle brushes.

Inspecting painted masonry surfaces to determine whether repainting is necessary.

Removing damaged or deteriorated paint only to the next sound layer using the gentlest method possible (e.g., hand scraping) prior to repainting.

Applying compatible paint coating systems following proper surface preparation.

Repainting with colors that are historically appropriate to the building and district.

Evaluating the overall condition of the masonry to determine whether more than protection and maintenance are required, that is, if repairs to the masonry features will be necessary.

Repairing masonry walls and other masonry features by repointing the mortar joints where there is evidence of deterioration such as disintegrating mortar, cracks in mortar joints, loose bricks, damp walls, or damaged plasterwork.

Removing deteriorated mortar by carefully hand-raking the joints to avoid damaging the masonry.

Duplicating old mortar in strength, composition, color, and texture.

Duplicating old mortar joints in width and joint profile.

Repairing stucco by removing the damaged material and patching with new stucco that duplicates the old in strength, composition, color, and texture.

Using mud plaster as a surface coating over unfired, unstabilized adobe because the mud plaster will bond to the adobe.

Repairing masonry features by patching, piecing-in, or consolidating the masonry using recognized preservation methods. Repair may also include the limited replacement in kind or with compatible substitute material of those extensively deteriorated or missing parts of masonry features when there are surviving prototypes such as terra-cotta brackets or stone balusters.

Applying new or non-historic surface treatments such as water-repellent coatings to masonry only after repointing and only if masonry repairs have failed to arrest water penetration problems.

Replacing in kind an entire masonry feature that is too deteriorated to repair if the overall form and detailing are still evident using the physical evidence to guide the new work. Examples can include large sections of a wall, a cornice, balustrade, column, or stairway. If using the same kind of material is not technically or economically feasible, then a compatible substitute material may be considered.

## Not Recommended

Removing or radically changing masonry features which are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Replacing or rebuilding a major portion of exterior masonry walls that could be repaired so that, as a result, the building is no longer historic and is essentially new construction.

Applying paint or other coatings such as stucco to masonry that has been historically unpainted or uncoated to create a new appearance.

Removing paint from historically painted masonry.

Radically changing the type of paint or coating or its color.

Failing to evaluate and treat the various causes of mortar joint deterioration such as leaking roofs or gutters, differential settlement of the building, capillary action, or extreme weather exposure.

Cleaning masonry surfaces when they are not heavily soiled to create a new appearance, thus needlessly introducing chemicals or moisture into historic materials.

# HISTORIC PRESERVATION MASTER PLAN

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Cleaning masonry surfaces without testing or without sufficient time for the testing results to be of value.

Sandblasting brick or stone surfaces using dry or wet grit or other abrasives. These methods of cleaning permanently erode the surface of the material and accelerate deterioration.

Using a cleaning method that involves water or liquid chemical solutions when there is any possibility of freezing temperatures.

Cleaning with chemical products that will damage masonry, such as using acid on limestone or marble, or leaving chemicals on masonry surfaces.

Applying high pressure water cleaning methods that will damage historic masonry and the mortar joints.

Removing paint that is firmly adhering to, and thus protecting, masonry surfaces.

Using methods of removing paint which are destructive to masonry, such as sandblasting, application of caustic solutions, or high pressure water blasting.

Failing to follow manufacturers' product and application instructions when repainting masonry.

Using new paint colors that are inappropriate to the historic building and district.

Failing to undertake adequate measures to assure the preservation of masonry features.

Removing nondeteriorated mortar from sound joints, then repointing the entire building to achieve a uniform appearance

Using electric saws and hammers rather than hand tools to remove deteriorated mortar from joints prior to repointing.

Repointing with mortar of high portland cement content (unless it is the content of the historic mortar). This can often create a bond that is stronger than the historic material and can cause damage as a result of the differing coefficient of expansion and the differing porosity of the material and the mortar.

Repointing with a synthetic caulking compound.

Using a "scrub" coating technique to repoint instead of traditional repointing methods.

Changing the width or joint profile when repointing.

Removing sound stucco; or repairing with new stucco that is stronger than the historic material or does not convey the same visual appearance.

Applying cement stucco to unfired, unstabilized adobe. Because the cement stucco will not bond properly, moisture can become entrapped between materials, resulting in accelerated deterioration of the adobe.

Replacing an entire masonry feature such as a cornice or balustrade when repair of the masonry and limited replacement of deteriorated or missing parts of the masonry feature or that is physically or chemically incompatible.

Applying waterproof, water-repellent, or non-historic coatings such as stucco to masonry as a substitute for repointing and masonry repairs. Coatings are frequently unnecessary, expensive, and may change the appearance of historic masonry as well as accelerate its deterioration.

Removing a masonry feature that is unrepairable and not replacing it; or replacing it with a new feature that does not convey the same visual appearance.

## *Design for Missing Historic Masonry Features*

### Recommended

Designing and installing a new masonry feature such as steps or a door pediment when the historic feature is completely missing. It may be an accurate restoration using historical, pictorial, and physical documentation; or be a new design that is compatible with the size, scale, material, and color of the historic building.

### Not Recommended

Creating a false historical appearance because the replaced masonry feature is based on insufficient historical, pictorial, and physical documentation.

Introducing a new masonry feature that is incompatible in size scale, material and color.

## **Wood: Clapboard, Weather-Board, Shingles, and other Wood Siding and Decorative Elements.**

Because it can be easily shaped by sawing, planing, carving, and gouging, wood is the most commonly used material for architectural features such as clapboards, cornices, brackets, entablatures, shutters, columns and balustrades. These wooden features-both functional and decorative-may be important in defining the historic character of the building and thus their retention, protection, and repair are of particular importance in rehabilitation projects.

### Recommended

Identifying, retaining, and reserving wood featured that are important in defining the overall historic character of the building such as siding, cornices, brackets, window architraves, and doorway pediments; and their paints, finishes, and colors.

Protecting and maintaining wood features by providing proper drainage so that water is not allowed to stand on flat, horizontal surfaces or accumulate in decorative features.

Applying chemical preservatives to wood features such as beam ends or outriggers that are exposed to decay hazards and are traditionally unpainted.

Retaining coatings such as paint removal should be considered only where there is paint surface deterioration and as part of an overall maintenance program which involves repainting or applying other appropriate protective coatings.

Inspecting painted wood surfaces to determine whether repainting is necessary or if cleaning is all that is required.

Removing damaged or deteriorated paint to the next sound layer using the gentlest method possible (hand scraping and hand sanding), then repainting.

Using with care electric hot-air guns on decorative wood features and electric heat plates on flat wood surfaces when paint is so deteriorated that total removal is necessary prior to repainting.

Using chemical strippers primarily to supplement other methods such as hand scraping, hand sanding and the above-recommended thermal devices. Detachable wooden elements such as shutters, doors, and columns may-with the proper safeguards-be chemically dip-stripped.

Applying compatible paint coating systems following proper surface preparation.

Repainting with colors that are appropriate to the historic building and district.

Evaluating the overall condition of the wood to determine whether more than protection and maintenance are required, that is, if repairs to wood features will be necessary.

Repairing wood features by patching, piecing-in, consolidating, or otherwise reinforcing the wood using recognized preservation methods. Repair may also include the limited replacement in kind - or with compatible substitute material - of those extensively deteriorated or missing parts of features where there are surviving prototypes such as brackets, moldings, or sections of siding.

Replacing in kind an entire wood feature that is too deteriorated to repair - if the overall form and detailing are still evident - using the physical evidence to guide the new work. Examples of wood features include a cornice, entablature or balustrade. If using the same kind of material is not technically or economically feasible, then a compatible substitute material may be considered.

## Not Recommended

Removing or radically changing wood features which are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Removing a major portion of the historic wood from a facade instead of repairing or replacing only the deteriorated wood, then reconstructing the facade with new material in order to achieve a uniform or "improved" appearance.

Radically changing the type of finish or its color or accent scheme so that the historic character of the exterior is diminished.

Stripping historically painted surfaces to bare wood, then applying clear finishes or stains in order to create a "natural look."

Stripping paint or varnish to bare wood rather than repairing or reapplying a special finish, i.e., a grained finish to an exterior wood feature such as a front door.

Failing to identify, evaluate, and treat the causes of wood deterioration, including faulty flashing, leaking gutters, cracks and holes in siding, deteriorated caulking in joints and seams, plant material growing too close to wood surfaces, or insect or fungus infestation.

Using chemical preservatives such as creosote which can change the appearance of wood features unless they were used historically.

Stripping paint or other coatings to reveal bare wood, thus exposing historically coated surfaces to the effects of accelerated weathering.

Removing paint that is firmly adhering to, thus, protecting wood surfaces.

Using destructive paint removal methods such as a propane or butane torches, sandblasting or water blasting. These methods can irreversibly damage historic woodwork.

Using thermal devices improperly so that the historic woodwork is scorched.

Failing to neutralize the wood thoroughly after using chemicals so that new paint does not adhere.

Allowing detachable wood features to soak too long in a caustic solution so that the wood grain is raised and the surface roughened.

Failing to follow manufacturers' product and application instructions when repainting exterior woodwork.

Using new colors that are inappropriate to the historic building or district.

Failing to undertake adequate measures to assure the preservation of wood features.

Replacing an entire wood feature such as a cornice or wall when repair of the wood and limited replacement of deteriorated or missing parts are appropriate.

Using substitute materials for the replacement part that does not convey the visual appearance of the surviving parts of the wood feature or that is physically or chemically incompatible.

Removing an entire wood feature that is unrepairable and not replacing it; or replacing it with a new feature that does not convey the same visual appearance.

## *Design for Missing Historic Wood Features*

### Recommended

Designing and installing a new wood feature such as a cornice or doorway when the historic feature is completely missing. It may be an accurate restoration using historical, pictorial, and physical documentation; or be a new design that is compatible with the size, scale, material, and color of the historic building.

### Not Recommended

Creating a false historic appearance because the replaced wood feature is based on insufficient historical, pictorial, and physical documentation.

Introducing a new wood feature that is incompatible in size, scale, material, and color.

## **Architectural Metals: Cast Iron, Steel, Pressed Tin, Copper, Aluminum and Zinc**

Architectural metal featured - such as cast-iron facades, porches, and steps; sheet metal cornices, roofs, roof cresting and storefronts; and cast or rolled metal doors, window sash, entablatures, and hardware - are often highly decorative and may be important in defining the overall historic character of the building. Their retention, protection, and repair should be a prime consideration in rehabilitation projects.

### Recommended

Identifying, retaining, and preserving architectural metal features such as columns, capitals, window hoods, or stairways that are important in defining the overall historic character of the building; and their finishes and colors.

Protecting and maintaining architectural metals from corrosion by providing proper drainage so that water does not stand on flat, horizontal surfaces or accumulate in curved, decorative features.

Cleaning architectural metals, when necessary, to remove corrosion prior to repainting or applying other appropriate protective coatings.

Identifying the particular type of metal prior to any cleaning procedure and then testing to assure that the gentlest cleaning method possible is selected or determining that cleaning is inappropriate for the particular metal.

Cleaning soft metals such as lead, tin, copper, teneplate, and zinc with appropriate chemical methods because their finishes can be easily abraded by blasting methods.

Using the gentlest cleaning methods for cast iron, wrought iron, and steel- hard metals - in order to remove paint buildup and corrosion. If hand scraping and wire brushing have proven ineffective, low pressure dry grit blasting may be used as long as it does not abrade or damage the surface.

Applying appropriate paint or other coating systems after cleaning in order to decrease the corrosion rate of metals or alloys.

Repainting with colors that are appropriate to the historic building or district.

Applying an appropriate protective coating such as lacquer to an architectural metal feature such as a bronze door which is subject to heavy pedestrian use.

Evaluating the overall condition of the architectural metals to determine whether more than protection and maintenance are required, that is, if repairs to features will be necessary.

Repairing architectural metal features by patching, splicing, or otherwise reinforcing the metal following recognized preservation methods. Repairs may also include the limited replacement in kind - or with a compatible substitute material - of those extensively deteriorated or missing parts of features when there are surviving prototypes such as porch balusters, column capitals or bases; or porch cresting.

Replacing in kind an entire architectural metal feature that is too deteriorated to repair - if the overall form and detailing are still evident - using the physical evidence to guide the new work. Examples could include cast

iron porch steps or steel sash windows. If using the same kind of material is not technically or economically feasible, then a compatible substitute material may be considered.

## Not Recommend

Removing or radically changing architectural metal features which are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Removing a major portion of the historic architectural metal from a facade instead of repairing or replacing only the deteriorated metal, then reconstructing the facade with new material in order to create a uniform, or "improved" appearance.

Radically changing the type of finish or its historical color or accent scheme.

Failing to identify, evaluate, and treat the causes of corrosion, such as moisture from leaking roofs or gutters.

Placing incompatible metals together without providing a reliable separation material. Such incompatibility can result in galvanic corrosion of the less noble metal, e.g., copper will corrode cast iron, steel, tin, and aluminum.

Exposing metals which were intended to be protected from the environment.

Applying paint or other coatings to metals such as copper, bronze, or stainless steel that were meant to be exposed.

Using cleaning methods which alter or damage the historic color, texture, and finish of the metal; or cleaning when it is inappropriate for the metal.

Removing the patina of historic metal. The patina may be a protective coating on some metals, such as bronze or copper, as well as a significant historic finish.

Cleaning soft metals such as lead, tin, copper, terneplate, and zinc with grit blasting which will abrade the surface of the metal.

Failing to employ gentler methods prior to abrasively cleaning cast iron, wrought iron or steel; or using high pressure grit blasting.

Failing to re-apply protective coating systems to metals or alloys that require them after cleaning so that accelerated corrosion occurs.

Using new colors that are inappropriate to the historic building or district.

Failing to assess pedestrian use or new access patterns so that architectural metal features are subject to damage by use or inappropriate maintenance such as salting adjacent sidewalks.

Failing to undertake adequate measures to assure the preservation of architectural metal features.

Replacing an entire architectural metal feature such as a column or a balustrade when repair of the metal and limited replacement of deteriorated or missing parts are appropriate.

Using a substitute material for the replacement part that does not convey the visual appearance of the surviving parts of the architectural metal feature or that is physically or chemically incompatible.

Removing an architectural metal feature that is unrepairable and not replacing it; or replacing it with a new architectural metal feature that does not convey the same visual appearance.

## *Design for Missing Historic Architectural Metal Features*

### Recommended

Designing and installing a new architectural metal feature such as a sheet metal cornice or cast iron capital when the historic feature is completely missing. It may be an accurate restoration using historical, pictorial and physical documentation; or be a new design that is compatible with the size, scale, material, and color of the historic building.

### Not Recommended

Creating a false historic appearance because the replaced architectural metal feature is based on insufficient historical, pictorial, and physical documentation.

Introducing a new architectural metal feature that is incompatible in size, scale, material, and color.

## **Roofs**

The roof - with its shape; features such as cresting, dormers, cupolas, and chimneys; and the size, color, and patterning of the roofing material - can be extremely important in defining the building's overall historic character. In addition to the design role it plays, a weathertight roof is essential to the preservation of the entire structure; thus, protecting and repairing the roof as a "cover" is a critical aspect of every rehabilitation project.

### Recommended

Identifying, retaining, and reserving roofs - and their functional and decorative features - that are important in defining the overall historic character of the building. This includes the roof's shape, such as hipped, gambrel, and mansard; decorative features such as cupolas, cresting, chimneys, and weathervanes; and roofing material such as slate, wood, clay tile, and metal, as well as its size, color, and patterning.

Protecting and maintaining a roof by cleaning the gutters and downspouts and replacing deteriorated flashing. Roof sheathing should also be checked for proper venting to prevent moisture condensation and water penetration; and to insure that materials are free from insect infestation.

Providing adequate anchorage for roofing material to guard against wind damage and moisture penetration

Protecting a leaking roof with plywood and building paper until it can be properly repaired.

Repairing a roof by reinforcing the historic materials which comprise roof features. Repairs will also generally include the limited replacement in kind - or with compatible substitute material - of those extensively deteriorated or missing parts of features when there are surviving prototypes such as cupola louvers, dentils, dormer roofing; or slates, tiles, or wood shingles on a main roof.

Replacing in kind an entire feature of the roof that is too deteriorated to repair - if the overall form and detailing are still evidence - using the physical evidence to guide the new work. Examples can include a large section of roofing, or a dormer or chimney. If using the same kind of material is not technically or economically feasible, then a compatible substitute material may be considered.

## Not Recommended

Radically changing, damaging, or destroying roofs which are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Removing a major portion of the roof or roofing material that is repairable, then reconstructing it with new material in order to create a uniform, or "improved" appearance.

Changing the configuration of a roof by adding new features such as dormer windows, vents, or skylights so that the historic character is diminished.

Applying paint or other coatings to roofing material which has been historically uncoated.

Failing to clean and maintain gutters and downspouts properly so that water and debris collect and cause damage to roof fasteners, sheathing, and the underlying structure.

Allowing roof fasteners, such as nails and clips to corrode so that roofing material is subject to accelerated deterioration.

Permitting a leaking roof to remain unprotected so that accelerated deterioration of historic building materials - masonry, wood, plaster, paint and structural members - occurs.

Replacing an entire roof feature such as a cupola or dormer when repair of the historic materials and limited replacement of deteriorated or missing parts are appropriate.

Using a substitute material for the replacement part that does not convey the visual appearance of the surviving parts of the roof or that is physically or chemically incompatible.

Removing a feature of the roof that is unrepairable, such as a chimney or dormer, and not replacing it; or replacing it with a new feature that does not convey the same visual appearance.

## *Design for Missing Historic Roof Features*

### Recommended

Designing and constructing a new feature when the historic feature is completely missing, such as a chimney or cupola. It may be an accurate restoration using historical, pictorial and physical documentation; or be a new design that is compatible with the size, scale, material, and color of the historic building.

### Not Recommended

Creating a false historical appearance because the replaced feature is based on insufficient historical, pictorial, and physical documentation.

Introducing a new roof feature that is incompatible in size, scale, material, and color.

Installing mechanical or service equipment so that it damages or obscures character-defining features; or is conspicuous from the public right-of-way.

Radically changing a character-defining roof shape or damaging or destroying character-defining roofing material as a result of incompatible design or improper installation techniques.

## *Alterations/Additions*

Installing mechanical and service equipment on the roof such as air conditioning, transformers, or solar collectors when required for the new use so that they are inconspicuous from the public right-of-way and do not damage or obscure character-defining features.

Designing additions to roofs such as residential, office, or storage spaces; elevator housing; decks and terraces; or dormers or skylights when required by the new use so that they are inconspicuous from the public right-of-way and do not damage or obscure character-defining features.

## **Windows**

A highly decorative window with an unusual shape, or glazing pattern, or color is most likely identified immediately as a character-defining feature of the building. It is far more difficult, however, to assess the importance of repeated windows on a facade, particularly if they are individually simple in design and material, such as the large, multi-paned sash of many industrial buildings. Because rehabilitation projects frequently include proposals to replace window sash or even entire windows to improve thermal efficiency or to create a new appearance, it is essential that their contribution to the overall historic character of the building be assessed together with their physical condition before specific repair or replacement work is undertaken.

## Recommended

Identifying, retaining, and preserving windows - and their functional and decorative features - that are important in defining the overall historic character of the building. Such features can include frames, sash, muntins, glazing, sills, heads, hood molds, paneled or decorated jambs and moldings, and interior and exterior shutters and blinds.

Protecting and maintaining the wood and architectural metal which comprise the window frame, sash, muntins, and surrounds through appropriate surface treatments such as cleaning, rust removal, limited paint removal, and re-application of protective coating systems.

Making windows weathertight by recaulking and replacing or installing weatherstripping. These actions also improve thermal efficiency.

Evaluating the overall condition of materials to determine whether more than protection and maintenance are required, i.e. if repairs to windows and window features will be required.

Repairing window frames and sash by patching, splicing, consolidating or otherwise reinforcing. Such repair may also include replacement in kind of those parts that are either extensively deteriorated or are missing when there are surviving prototypes such as architraves, hood molds, sash, sills, and interior or exterior shutters and blinds.

Replacing in kind an entire window that is too deteriorated to repair - if the overall form and detailing are still evident - using the physical evidence to guide the new work. If using the same kind of material is not technically or economically feasible, then a compatible substitute material may be considered.

## Not Recommended

Removing or radically changing windows which are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Changing the number, location, size or glazing pattern of windows, through cutting new openings, blocking-in windows, and installing replacement sash which does not fit the historic window opening.

Changing the historic appearance of windows through the use of inappropriate designs, materials, finishes, or colors which radically change the sash, depth of reveal, and muntin configuration; the reflectivity and color of the glazing; or the appearance of the frame.

Obscuring historic window trim with metal or other material.

Stripping windows of historic material such as wood, iron, cast iron, and bronze.

Failing to provide adequate protection of materials on a cyclical basis so that deterioration of the windows results.

Retrofitting or replacing windows rather than maintaining the sash, frame, and glazing.

Failing to undertake adequate measures to assure the preservation of historic windows.

Replacing an entire window when repair of materials and limited replacement of deteriorated or missing parts are appropriate.

Failing to reuse serviceable window hardware such as brass lifts and sash locks.

Using a substitute material for the replacement part that does not convey the visual appearance of the surviving parts of the window or that is physically or chemically incompatible.

Removing a character-defining window that is unrepairable and blocking it in; or replacing it with a new window that does not convey the same visual appearance.

## *Design for Missing Historic Window Features*

## Recommended

Designing and installing new windows when the historic windows (frame, sash and glazing) are completely missing. The replacement windows may be an accurate restoration using historical, pictorial, and physical documentation; or be a new design that is compatible with the window openings and the historic character of the building.

## Not Recommended

Creating a false historical appearance because the replaced window is based on insufficient historical, pictorial, and physical documentation.

Introducing a new design that is incompatible with the historic character of the building.

Installing new windows, including frames, sash, and muntin configuration that are incompatible with the building's historic appearance or obscure, damage, or destroy character-defining features.

Inserting new floors or furred-down ceilings which cut across the glazed areas of windows so that the exterior form and appearance of the windows are changed.

## *Alterations/Additions*

Designing and installing additional windows on rear or other non-character-defining elevations if required by the new use. New window openings may also be cut into exposed party walls. Such design should be compatible with the overall design of the building, but not duplicate the fenestration pattern and detailing of a character-defining elevation.

Providing a setback in the design of dropped ceilings when they are required for the new use to allow for the full height of the window openings.

## **Entrances and Porches**

Entrances and porches are quite often the focus of historic buildings, particularly when they occur on primary elevations. Together with their functional and decorative features such as doors, steps, balustrades, pilasters, and entablatures, they can be extremely important in defining the overall historic character of a building. Their retention, protection, and repair should always be carefully considered when planning rehabilitation work.

## Recommended

Identifying, retaining, and preserving entrances and their functional and decorative features - that are important in defining the overall historic character of the building such as doors, fanlights, sidelights, pilasters, entablatures, columns, balustrades, and stairs.

Protecting and maintaining the masonry, wood, and architectural metal that comprise entrances and porches through appropriate surface treatments such as cleaning, rust removal, limited paint removal, and re-application of protective coating systems.

Evaluating the overall condition of materials to determine whether more than protection and maintenance are required, that is, if repairs to entrance and porch features will be necessary.

Repairing entrances and porches by reinforcing the historic materials. Repair will also generally include the limited replacement in kind - or with compatible substitute material - of those extensively deteriorated or missing parts of repeated features where there are surviving prototypes such as balustrades, cornices, entablatures, columns, sidelights, and stairs.

Replacing in kind and entire entrance or porch that is too deteriorated to repair - if the form and detailing are still evident - using the physical evidence to guide the new work. If using the same kind of material is not technically or economically feasible, then a compatible substitute material may be considered.

## Not Recommended

Removing or radically changing entrances and porches which are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Stripping entrances and porches of historic material such as wood, iron, cast iron, terra cotta, tile and brick.

Removing an entrance or porch because the building has been reoriented to accommodate a new use.

Cutting new entrances on a primary elevation.

Altering utilitarian or service entrances so they appear to be formal entrances by adding paneled doors, fanlights, and sidelights.

Failing to provide adequate protection to materials on a cyclical basis so that deterioration of entrances and porches results.

Failing to undertake adequate measures to assure the preservation of historic entrances and porches.

Replacing an entire entrance or porch when the repair of materials and limited replacement of parts are appropriate.

Using a substitute material for the replacement parts that does not convey the visual appearance of the surviving parts of the entrance and porch or that is physically or chemically incompatible.

Removing an entrance or porch that is unrepairable and not replacing it; or replacing it with a new entrance or porch that does not convey the same visual appearance.

## *Design for Missing Historic Entrance and Porch Features*

### Recommended

Designing and constructing a new entrance or porch if the historic entrance or porch is completely missing. It may be a restoration based on historical, pictorial, and physical documentation; or be a new design that is compatible with the historic character of the building.

### Not Recommended

Creating a false historical appearance because the replaced entrance or porch is based on insufficient historical, pictorial, and physical documentation.

Introducing a new entrance or porch that is incompatible in size, scale, material, and color.

## *Alterations/Additions*

### Recommended

Designing enclosures for historic porches when required by the new use in a manner that preserves the historic character of the building. This can include using large sheets of glass and recessing the enclosure wall behind existing scrollwork, posts, and balustrades.

Designing and installing additional entrances or porches when required for the new use in a manner that preserves the historic character of the building, i.e., limiting such alteration to non-character-defining elevations.

### Not Recommended

Enclosing porches in a manner that results in a diminution or loss of historic character such as using solid materials such as wood, stucco, or masonry.

Installing secondary service entrances and porches that are incompatible in size and scale with the historic building or obscure, damage, or destroy character-defining features.

## **Storefronts**

Storefronts are quite often the focus of historic commercial buildings and can thus be extremely important in defining the overall historic character. Because storefronts also play a crucial role in a store's advertising and merchandising strategy to draw customers and increase business, they are often altered to meet the needs of a new business. Particular care is required in planning and accomplishing work on storefronts so that the building's historic character is preserved in the process of rehabilitation.

### Recommended

Identifying, retaining, and preserving storefronts - and their functional and decorative features - that are important in defining the overall historic character of the building such as display windows, signs, doors, transoms, kick plates, corner posts, and entablatures.

Protecting and maintaining masonry, wood, and architectural metals which comprise storefronts through appropriate treatments such as cleaning, rust, removal, limited paint removal, and reapplication of protective coating systems.

Protecting storefronts against arson and vandalism before work begins by boarding up windows and installing alarm systems that are keyed into protection agencies.

Evaluating the overall condition of storefront materials to determine whether more than protection and maintenance are required, that is, if repairs to features will be necessary.

Repairing storefronts by reinforcing the historic materials. Repairs will also generally include the limited replacement in kind - or with compatible substitute material - of those extensively deteriorated or missing parts of storefronts where there are surviving prototypes such as transoms, kick plates, pilasters, or signs.

Replacing in kind an entire storefront that is too deteriorated to repair - if the overall form and detailing are still evident - using the physical evidence to guide the new work. If using the same material is not technically feasible, then compatible substitute materials may be considered.

## Not Recommended

Removing or radically changing storefronts - and their features - which are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Changing the storefront so that it appears residential rather than commercial in character.

Removing historic material from the storefront to create a recessed arcade.

Introducing coach lanterns, mansard overhangings, wood shakes, nonoperable shutter, and small-paned windows if they cannot be documented historically.

Changing the location of a storefront's main entrance.

Failing to provide adequate protection to materials on a cyclical basis so that deterioration of storefront features results.

Permitting entry into the building through unsecured or broken windows and doors so that interior features and finishes are damaged through exposure to weather or through vandalism.

Stripping storefronts of historic material such as wood, cast iron, terra cotta, carrara glass, and brick.

Failing to undertake adequate measures to assure the preservation of the historic storefront.

Replacing an entire storefront when repair of materials and limited replacement of its parts are appropriate.

Using substitute material for the replacement parts that does not convey the same visual appearance as the surviving parts of the storefront or that is physically or chemically incompatible.

Removing a storefront that is unrepairable and not replacing it; or replacing it with a new storefront that does not convey the same visual appearance.

## *Design for Missing Historic Features*

### Recommended

Designing and constructing a new storefront when the historic storefront is completely missing. It may be an accurate restoration using historical, pictorial, and physical documentation; or be a new design that is compatible with the size, scale, material, and color of the historic building. Such new design should generally be flush with the facade; and the treatment of secondary design elements, such as awnings or signs, kept as simple as possible. For example, new signs should fit flush with the existing features of the facade, such as the fascia board or cornice.

## Not Recommended

Creating a false historical appearance because the replaced storefront is based on insufficient historical, pictorial, and physical documentation.

Introducing a new design that is incompatible in size, scale, material, and color.

Using new illuminated signs; inappropriately scaled signs and logos; signs that project over the sidewalk unless they were a characteristic feature of the historic building; or other types of signs that obscure, damage, or destroy remaining character-defining features of the historic building.

## BUILDING INTERIOR

### **Structural System**

If features of the structural system are exposed such as loadbearing brick walls, cast iron columns, roof trusses, posts and beams, vigas, or stone foundation walls, they may be important in defining the building's overall historic character. Unexposed structural features that are not character-defining or an entire structural system may nonetheless be significant in the history of building technology; therefore, the structural system should always be examined and evaluated early in the project planning stage to determine both its physical condition and its importance to the building's historic character or historical significance. See also Health and Safety Code Requirements.

## Recommended

Identifying, retaining, and preserving structural systems - and individual features of systems - that are important in defining the overall historic character of the building, such as post and beam systems, trusses, summer beams, vigas, cast iron columns, above-grade stone foundation walls, or loadbearing brick or stone walls.

Protecting and maintaining the structural system by cleaning the roof gutters and downspouts; replacing roof flashing; keeping masonry, wood, and architectural metals in a sound condition; and assuring that structural members are free from insect infestation.

Examining and evaluating the physical condition of the structural system and its individual features using non-destructive techniques such as X-ray photography.

Repairing the structural system by augmenting or upgrading individual parts or features. For example, weakened structural members such as floor framing can be spliced, braced, or otherwise supplemented and reinforced.

Replacing in kind - or with substitute material - those portions or features of the structural system that are either extensively deteriorated or are missing when there are surviving prototypes such as cast iron columns, roof rafters or trusses, or sections of loadbearing walls. Substitute material should convey the same form, design, and overall visual appearance as the historic feature; and, at a minimum, be equal to its loadbearing capabilities.

## Not Recommended

Removing, covering, or radically changing features of structural systems which are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Putting a new use into the building which could overload the existing structural system; or installing equipment or mechanical systems which could damage the structure.

Demolishing a loadbearing masonry wall that could be augmented and retained and replacing it with a new wall (i.e., brick or stone), using the historic masonry only as an exterior veneer.

Leaving known structural problems untreated such as deflection of beams, cracking and bowing of walls, or racking of structural members.

Utilizing treatments or products that accelerate the deterioration of structural material such as introducing urea-formaldehyde foam insulation into frame walls.

Failing to provide proper building maintenance on a cyclical basis so that deterioration of the structural system results.

Utilizing destructive probing techniques that will damage or destroy structural material.

Upgrading the building structurally in a manner that diminishes the historic character of the exterior, such as installing strapping channels or removing a decorative cornice; or damages interior features or spaces.

Replacing a structural member or other feature of the structural system when it could be augmented and retained.

Installing a replacement feature that does not convey the same visual appearance, e.g., replacing an exposed wood summer beam with a steel beam.

Using substitute material that does not equal the loadbearing capabilities of the historic material and design or is otherwise physically or chemically incompatible.

## *Alterations/Additions*

### Recommended

Limiting any new excavations adjacent to historic foundations to avoid undermining the structural stability of the building or adjacent historic buildings.

Correcting structural deficiencies in preparation for the new use in a manner that preserves the structural system and individual character-defining features.

Designing and installing new mechanical or electrical systems when required for the new use which minimize the number of cutouts or holes in structural members.

Adding a new floor when required for the new use if such an alteration does not damage or destroy the structural system or obscure, damage, or destroy character-defining spaces, features, or finishes.

Creating an atrium or a light well to provide natural light when required for the new use in a manner that assures the preservation of the structural system as well as character-defining interior spaces, features, and finishes.

## Not Recommended

Carrying out excavations or regrading adjacent to or within a historic building which could cause the historic foundation to settle, shift, or fail; or could have a similar effect on adjacent historic buildings.

Radically changing interior spaces or damaging or destroying features or finishes that are character-defining while trying to correct structural deficiencies in preparation for the new use.

Installing new mechanical and electrical systems or equipment in a manner which results in numerous cuts, splices, or alterations to the structural members.

Inserting a new floor when such a radical change damages a structural system or obscures or destroys interior spaces, features, or finishes.

Inserting new floors or furred-down ceilings which cut across the glazed areas of windows so that the exterior form and appearance of the windows are radically changed.

Damaging the structural system or individual features; or radically changing, damaging, or destroying character-defining interior spaces, features, or finishes in order to create an atrium or a light well.

## **Interiors: Spaces, Features, and Finishes**

An interior floor plan, the arrangement of spaces, and built-in features and applied finishes may be individually or collectively important in defining the historic character of the building. Thus, their identification, retention, protection, and repair should be given prime consideration in every rehabilitation project and caution exercised in pursuing any plan that would radically change character-defining spaces or obscure, damage or destroy interior features or finishes.

### *Interior Spaces*

#### Recommended

Identifying, retaining, and preserving a floor plan or interior spaces that are important in defining the overall historic character of the building. This includes the size, configuration, proportion, and relationship of rooms and corridors; the relationship of features to spaces; and the spaces themselves such as lobbies, reception halls, entrance halls, double parlors, theaters, auditoriums, and important industrial or commercial use spaces.

#### Not Recommended

Radically changing a floor plan or interior spaces - including individual rooms - which are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Altering the floor plan by demolishing principal walls and partitions to create a new appearance.

Altering or destroying interior spaces by inserting floors, cutting through floors, lowering ceilings, or adding or removing walls.

Relocating an interior feature such as a staircase so that the historic relationship between features and spaces is altered.

## *Interior Features and Finishes*

### Recommended

Identifying, retaining, and preserving interior features and finishes that are important in defining the overall historic character of the building, including columns, cornices, baseboards, fireplaces and mantles, paneling, light fixtures, hardware, and flooring; and wallpaper, plaster, paint, and finishes such as stenciling, marbling, and graining; and other decorative materials that accent interior features and provide color, texture, and patterning to walls, floors, and ceilings.

Protecting and maintaining masonry, wood, and architectural metals which comprise interior features through appropriate surface treatments such as cleaning, rust removal, limited paint removal, and reapplication of protective coating systems.

Protecting interior features and finishes against arson and vandalism before project work begins, erecting protective fencing, boarding-up windows, and installing fire alarm systems that are keyed to local protection agencies.

Protecting interior features such as a staircase, mantel, or decorative finishes and wall coverings against damage during project work by covering them with heavy canvas or plastic sheets.

Installing protective coverings in areas of heavy pedestrian traffic to protect historic features such as wall coverings, parquet flooring and paneling.

Removing damaged or deteriorated paints and finishes to the next sound layer using the gentlest method possible, then repainting or refinishing using compatible paint or other coating systems.

Repainting with colors that are appropriate to the historic building.

Limiting abrasive cleaning methods to certain industrial or warehouse buildings where the interior masonry or plaster features do not have distinguishing design, detailing, tooling, or finishes; and where wood features are not finished, molded, beaded, or worked by hand. Abrasive cleaning should only be considered after other, gentler methods have been proven ineffective.

Evaluating the overall condition of materials to determine whether more than protection and maintenance are required, that is, if repairs to interior features and finishes will be necessary.

Repairing interior features and finishes by reinforcing the historic materials. Repair will also generally include the limited replacement in kind - or with compatible substitute material - of those extensively deteriorated or missing parts of repeated features when there are surviving prototypes such as stairs, balustrades, wood paneling, columns; or decorative wall coverings or ornamental tin or plaster ceilings.

Replacing in kind and entire interior feature or finish that is too deteriorated to repair - if the overall form and detailing are still evident - using the physical evidence to guide the new work. Examples could include wainscoting, a tin ceiling, or interior stair. If using the same kind of material is not technically or economically feasible, then a compatible substitute material may be considered.

## Not Recommended

Removing or radically changing features and finishes which are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Installing new decorative material that obscures or damages character-defining interior features or finishes,

Removing paint, plaster, or other finishes from historically finished surfaces to create a new appearance (e.g., removing plaster to expose masonry surfaces such as brick walls or a chimney piece).

Applying paint, plaster, or other finishes to surfaces that have been historically unfinished to create a new appearance.

Stripping historically painted wood surfaces to bare wood, then applying clear finishes or stains to create a "natural look."

Stripping paint to bare wood rather than repairing or reapplying grained or marbled finishes to features such as doors and paneling .

Radically changing the type of finish or its color, such as painting a previously varnished wood feature.

Failing to provide adequate protection to materials on a cyclical basis so that deterioration of interior features results.

Permitting entry into historic buildings through unsecured or broken windows and doors so that interior features and finishes are damaged by exposure to weather or through vandalism.

Stripping interior of features such as woodwork, doors, windows, light fixtures, copper piping, radiators; or of decorative materials.

Failing to provide proper protection of interior features and finishes during work so that they are gouged, scratched, dented, or otherwise damaged.

Failing to take new use patterns into consideration so that interior features and finishes are damaged.

Using destructive methods such as propane or butane torches or sandblasting to remove paint or other coatings. These methods can irreversibly damage the historic materials that comprise interior features.

Using new paint colors that are inappropriate to the historic building.

Changing the texture and patina of character-defining features through sandblasting or use of other abrasive methods to remove paint, discoloration or plaster. This includes both exposed wood (including structural members) and masonry.

Failing to undertake adequate measures to assure the preservation of interior features and finishes.

Replacing an entire interior feature such as a staircase, paneled wall, parquet floor, or cornice; or finish such as a decorative wall covering or ceiling when repair of materials and limited replacement of such parts are appropriate.

Using a substitute material for the replacement part that does not convey the visual appearance of the surviving parts or portions of the interior feature or finish or that is physically or chemically incompatible.

Removing a character-defining feature or finish that is unrepairable and not replacing it; or replacing it with a new feature or finish that does not convey the same visual appearance.

## *Design for Missing Historic Interior Features*

### Recommended

Designing and installing a new interior feature or finish if the historic feature or finish is completely missing. This could include missing partitions, stair, elevators, lighting fixtures, and wall coverings; or even entire rooms if all historic spaces, features, and finishes are missing or have been destroyed by inappropriate "renovations." The design may be a restoration based on historical, pictorial, and physical documentation; or be a new design that is compatible with the historic character of the building, district, or neighborhood.

### *Alteration/Additions*

### Recommended

Accommodating service functions such as bathrooms, mechanical equipment, and office machines required by the building's new use in secondary spaces such as first floor service areas or on upper floors.

Reusing decorative material or features that have had to be removed during the rehabilitation work including wall and baseboard trim, door molding, paneled doors, and simple wainscoting; and relocating such material or features in areas appropriate to their historic placement.

Installing permanent partitions in secondary spaces; removable partitions that do not destroy the sense of space should be installed when the new use requires the subdivision of character-defining interior spaces.

Enclosing an interior stairway where required by code so that its character is retained. In many cases, glazed fire-rated walls may be used.

Placing new code-required stairways or elevators in secondary and service areas of the historic building.

Creating an atrium or a light well to provide natural light when required for the new use in a manner that preserves character-defining interior spaces, features, and finishes as well as the structural system.

Adding a new floor if required for the new use in a manner that preserves character-defining structural features, and interior spaces, features, and finishes.

## Not Recommended

Creating a false historical appearance because the replaced feature is based on insufficient physical, historical, and pictorial documentation or on information derived from another building.

Introducing a new interior feature or finish that is incompatible with the scale, design, materials, color, and texture of the surviving interior features and finishes.

Dividing rooms, lowering ceilings, and damaging or obscuring character-defining features such as fireplaces, niches, stairways or alcoves, so that a new use can be accommodated in the building.

Discarding historic material when it can be reused within the rehabilitation project or relocating it in historically inappropriate areas.

Installing permanent partitions that damage or obscure character-defining spaces, features, or finishes.

Enclosing an interior stairway with fire-rated construction so that the stairwell space or any character-defining features are destroyed.

Radically changing, damaging, or destroying character-defining spaces, features, or finishes when adding new code-required stairways and elevators.

Destroying character-defining interior spaces, features, or finishes; or damaging the structural system in order to create an atrium or light well.

Inserting a new floor within a building that alters or destroys the fenestration; radically changes a character-defining interior space; or obscures, damages, or destroys decorative detailing.

## **Mechanical Systems: Heating, Air Conditioning, Electrical and Plumbing**

The visible features of historic heating, lighting, air conditioning and plumbing systems may sometimes help define the overall historic character of the building and should thus be retained and repaired, whenever possible. The systems themselves (the compressors, boilers, generators and their ductwork, wiring and pipes) will generally either need to be upgraded, augmented, or entirely replaced in order to accommodate the new use and to meet code requirements. Less frequently, individual portions of a system or an entire system are significant in the history of building technology; therefore, the identification of character-defining features or historically significant systems should take place together with an evaluation of their physical condition early in project planning.

## Recommended

Identifying, retaining, and preserving visible features of early mechanical systems that are important in defining the overall historic character of the building, such as radiators, vents, fans, grills, plumbing fixtures, switch plates, and lights.

Protecting and maintaining mechanical, plumbing, and electrical systems and their features through cyclical cleaning and other appropriate measures.

Preventing accelerated deterioration of mechanical systems by providing adequate ventilation of attics, crawl spaces, and cellars so that moisture problems are avoided.

Repairing mechanical systems by augmenting or upgrading system parts, such as installing new pipes and ducts; rewiring; or adding new compressors or boilers.

Replacing in kind - or with compatible substitute material - those visible features of mechanical systems that are either extensively deteriorated or are missing when there are surviving prototypes such as ceiling fans, switch plates, radiators, grilles, or plumbing fixtures.

## Not Recommended

Removing or radically changing features of mechanical systems that are important in defining the overall historic character of the building so that, as a result, the character is diminished.

Failing to provide adequate protection of materials on a cyclical basis so that deterioration of mechanical systems and their visible features results.

Enclosing mechanical systems in areas that are not adequately ventilated so that deterioration of the systems results.

Replacing a mechanical system or its functional parts when it could be upgraded and retained.

Installing a replacement feature that does not convey the same visual appearance.

## *Alterations/Additions*

### Recommended

Installing a completely new mechanical system if required for the new use so that it causes the least alteration possible to the building's floor plan, the exterior elevations, and the least damage to historic building material.

Installing the vertical runs of ducts, pipes, and cables in closets, service rooms, and wall cavities.

Installing air conditioning units if required by the new use in such a manner that the historic materials and features are not damaged or obscured.

Installing heating/air conditioning units in the window frames in such a manner that the sash and frames are protected. Window installations should be considered only when all other viable heating/cooling systems would result in significant damage to historic materials.

### Not Recommended

Installing a new mechanical system so that character-defining structural or interior features are radically changed, damaged, or destroyed.

Installing vertical runs of ducts, pipes, and cables in places where they will obscure character-defining features.

Concealing mechanical equipment in walls or ceilings in a manner that requires the removal of historic building material.

Installing "dropped" acoustical ceilings to hide mechanical equipment when this destroys the proportions of character-defining interior spaces.

Cutting through features such as masonry walls in order to install air conditioning units.

Radically changing the appearance of the historic building or damaging or destroying windows by installing heating/air conditioning units in historic window frames.

## BUILDING SITE

The relationship between a historic building or buildings and landscape features within a property's boundaries - or the building site - helps to define the historic character and should be considered an integral part of overall planning for rehabilitation project work.

### Recommended

Identifying, retaining, and preserving buildings and their features as well as features of the site that are important in defining its overall historic character. Site features can include driveways, walkways, lighting, fencing, signs, benches, fountains, wells, irrigation ditches; and archeological features that are important in defining the history of the site.

Retaining the historic relationship between buildings, landscape features, and open space.

Protecting and maintaining buildings and the site by providing proper drainage to assure that water does not erode foundation walls; drain toward the building; nor erode the historic landscape.

Minimizing disturbance of terrain around buildings or elsewhere on the site, thus reducing the possibility of destroying unknown archeological materials.

Surveying areas where major terrain alteration is likely to impact important archeological sites.

Protecting, e.g. preserving in place known archeological material whenever possible.

Planning and carrying out any necessary investigation using professional archeologists and modern archeological methods when preservation in place is not feasible.

Protecting the building and other features of the site against arson and vandalism before rehabilitation work begins, i.e., erecting protective fencing and installing alarm systems that are keyed into local protection agencies.

Providing continued protection of masonry, wood, and architectural metals which comprise building and site features through appropriate surface treatments such as cleaning, rust removal, limited paint removal, and re-application of protective coating systems; and continued protection and maintenance of landscape features, including plant material.

Evaluating the overall condition of materials to determine whether more than protection and maintenance are required, that is, if repairs to building and site features will be necessary.

Repairing features of buildings and the site by reinforcing the historic materials. Repair will also generally include replacement in kind - with a compatible substitute material-of those extensively deteriorated or missing parts of features where there are surviving prototypes such as fencing and paving.

Replacing in kind an entire feature of the building or site that is too deteriorated to repair - if the overall form and detailing are still evident - using the physical evidence to guide the new work. This could include an entrance or porch, walkway, or fountain. If using the same kind of material is not technically or economically feasible, then a compatible substitute material may be considered.

## Not Recommended

Removing or radically changing buildings and their features or site features which are important in defining the overall historic character of the building site so that, as a result, the character is diminished.

Removing or relocating historic buildings or landscape features, thus destroying the historic relationship between buildings, landscape features, and open space.

Removing or relocating historic buildings on a site or in a complex of related historic structures - such as a mill complex or farm - thus diminishing the historic character of the site or complex.

Moving buildings onto the site, thus creating a false historical appearance.

Lowering the grade level adjacent to a building to permit development of formerly below-grade area such as a basement in a manner that would drastically change the historic relationship of the building to its site.

Failing to maintain site drainage so that buildings and site features are damaged or destroyed; or, alternatively, changing the site grading so that water no longer drains properly.

Introducing heavy machinery or equipment into areas where their presence may disturb archeological materials.

Failing to survey the building site prior to the beginning of rehabilitation project work so that, as a result, important archeological material is destroyed.

Leaving known archeological material unprotected and subject to vandalism, looting, and destruction by natural elements such as erosion.

Permitting unqualified project personnel to perform data recovery so that improper methodology results in the loss of important archeological material.

Permitting buildings and site features to remain unprotected so that plant materials, fencing, walkways, archeological features, etc. are damaged or destroyed.

Stripping features from buildings and the site such as wood siding, iron fencing, masonry balustrades; or removing or destroying landscape features, including plant material.

Failing to provide adequate protection of materials on a cyclical basis so that deterioration results.

Failing to undertake adequate measures to assure the preservation of building and site features.

Replacing an entire feature of the building or site such as a fence, walkway, or driveway when repair of materials and limited replacement of deteriorated or missing parts are appropriate.

Using a substitute material for the replacement part that does not convey the visual appearance of the surviving parts of the building or site feature or that is physically or chemically incompatible.

Removing a feature of the building or site that is unrepairable and not replacing it; or replacing it with a new feature that does not convey the same visual appearance.

## *Design for Missing Historic Building Site Features*

### Recommended

Designing and constructing a new feature of a building or site when the historic feature is completely missing, such as an outbuilding, terrace, or driveway. It may be based on historical, pictorial, and physical documentation; or be a new design that is compatible with the historic character of the building and site.

### Not Recommended

Creating a false historical appearance because the replaced feature is based on insufficient historical, pictorial, and physical documentation.

Introducing a new building or site feature that is out of scale or otherwise inappropriate.

Introducing a new landscape features that are visually incompatible with the site or that destroy vistas.

Placing parking facilities directly adjacent to historic buildings where automobiles may cause damage to the buildings or landscape features or be intrusive to the building site.

Introducing new construction onto the building site which is visually incompatible in terms of size, scale, design, materials, color and texture or which destroys historic relationships on the site.

Removing a historic building in a complex, a building feature, or a site feature which is important in defining the historic character of the site.

### *Alterations/Additions*

Designing new onsite parking, loading docks, or ramps when required by the new use so that they are as unobtrusive as possible and assure the preservation of character-defining features of the site.

Designing new exterior additions to historic buildings or adjacent new construction which is compatible with the historic character of the site and which preserve the historic relationship between a building or buildings, landscape features, and open space.

Removing nonsignificant buildings, additions, or site features which detract from the historic character.

## DISTRICT/NEIGHBORHOOD

The relationship between historic buildings, and streetscape and landscape features within a historic district or neighborhood helps to define the historic character and therefore should always be a part of the rehabilitation plans.

### Recommended

Identifying, retaining, and preserving buildings, and streetscape, and landscape features which are important in defining the overall historic character of the district or neighborhood. Such features can include streets, alleys, paving, walkways, street lights, signs, benches, parks and gardens, and trees.

Retaining the historic relationship between buildings, and streetscape and landscape features such as a town square comprised of row houses and stores surrounding a communal park or open space.

Protecting and maintaining the historic masonry, wood, and architectural metals which comprise building and streetscape features, removal, limited paint removal, and reapplication of protective coating systems; and protecting and maintaining landscape features, including plant material.

Protecting buildings, paving iron fencing, etc. against arson and vandalism before rehabilitation work begins by erecting protective fencing and installing alarm systems that are keyed into local protection agencies.

Evaluating the overall condition of building, streetscape and landscape materials to determine whether more than protection and maintenance are required, that is, if repairs to features will be necessary.

Repairing features of the building, streetscape, or landscape by reinforcing the historic materials. Repair will also generally include the replacement in kind - or with a compatible substitute material - of those extensively deteriorated or missing parts of features when there are surviving prototypes such as porch balustrades, paving materials, or streetlight standards.

Replacing in kind and entire feature of the building, streetscape, or landscape that is too deteriorated to repair - when the overall form and detailing are still evident - using the physical evidence to guide the new work. This could include a storefront, a walkway, or a garden. If using the same kind of material is not technically or economically feasible, then a compatible substitute material may be considered.

### Not Recommended

Removing or radically changing those features of the district or neighborhood which are important in defining the overall historic character so that, as a result, the character is diminished.

Destroying streetscape and landscape features by widening existing streets, changing paving material, or introducing inappropriately located new streets or parking lots.

Removing or relocating historic buildings, or features of the streetscape and landscape, thus destroying the historic relationship between buildings, features and open space.

Failing to provide adequate protection of materials on a cyclical basis so that deterioration of building, streetscape, and landscape features results.

Permitting buildings to remain unprotected so that windows are broken; and interior features are damaged.

Stripping features from buildings or the streetscape such as wood siding, iron fencing, or terra cotta balusters; or removing or destroying landscape features, including plant material.

Failing to undertake adequate measures to assure the preservation of building, streetscape, and landscape features.

Replacing an entire feature of the building, streetscape, or landscape such as a porch, walkway, or streetlight, when repair of materials and limited replacement of deteriorated or missing parts are appropriate.

Using a substitute material for the replacement part that does not convey the visual appearance of the surviving parts of the building, streetscape, or landscape feature or that is physically or chemically incompatible.

Removing a feature of the building, streetscape, or landscape that is unrepairable and not replacing it; or replacing it with a new feature that does not convey the same visual appearance.

## *Design for Missing Historic District/Neighborhood Features*

### Recommended

Designing and constructing a new feature of the building, streetscape, or landscape when the historic feature is completely missing, such as row house steps, a porch, streetlight, or terrace. It may be a restoration based on historical, pictorial, and physical documentation; or be a new design that is compatible with the historic character of the district or neighborhood.

### Not Recommended

Creating a false historical appearance because the replaced feature is based on insufficient historical, pictorial and physical documentation.

Introducing a new building, streetscape or landscape feature that is out of scale or otherwise inappropriate to the setting's historic character, e.g., replacing picket fencing with chain link fencing.

Placing parking facilities directly adjacent to historic buildings which cause the removal of historic plantings, relocation of paths and walkways, or blocking of alleys.

Introducing new construction into historic districts that is visually incompatible or that destroys historic relationships within the district or neighborhood.

Removing a historic building, building feature, or landscape or streetscape feature that is important in defining the overall historic character of the district or the neighborhood.

Although the work in these sections is quite often an important aspect of rehabilitation projects, it is usually not part of the overall process of preserving character-defining features (maintenance, repair, replacement); rather, such work is assessed for its potential negative impact on the building's historic character. For this reason, particular care must be taken not to obscure, radically change, damage, or destroy character-defining features in the process of rehabilitation work to meet new use requirements.

## *Alterations/Additions*

Designing required new parking so that it is as unobtrusive as possible, i.e., on side streets or at the rear of buildings. "Shared" parking should also be planned so that several business can utilize one parking area as opposed to introducing random, multiple lots.

Designing and constructing new additions to historic buildings when required by the new use. New work should be compatible with the historic character of the district or neighborhood in terms of size, scale, design, material, color, and texture.

Removing nonsignificant buildings, additions, or streetscape and landscape features which detract from the historic character for the district or the neighborhood.

## HEALTH AND SAFETY CODE REQUIREMENTS

As a part of the new use, it is often necessary to make modifications to a historic building so that it can comply with current health, safety and code requirements. Such work needs to be carefully planned and undertaken so that it does not result in a loss of character-defining spaces, features, and finishes.

### Recommended

Identifying the historic building's character-defining spaces, features, and finishes so that code-required work will not result in their damage or loss.

Complying with health and safety code, including seismic codes and barrier-free access requirements, in such a manner that character-defining spaces, features, and finishes are preserved.

Working with local code officials to investigate alternative life safety measures or variances available under some codes so that alterations and additions to historic buildings can be avoided.

Providing barrier-free access through removable or portable, rather than permanent, ramps.

Providing seismic reinforcement to a historic building in a manner that avoids damaging the structural system and character-defining features.

Upgrading historic stairways and elevators to meet health and safety codes in a manner that assures their preservation, i.e., so that they are not damaged or obscured.

Installing sensitively designed fire suppression systems, such as a sprinkler system for wood frame mill buildings, instead of applying fire-resistant sheathing to character-defining features.

Applying fire-retardant coatings, such as intumescent paints, which expand during fire to add thermal protection to steel.

Adding a new stairway or elevator to meet health and safety codes in a manner that preserves adjacent character-defining features and spaces.

Placing a code-required stairway or elevator that cannot be accommodated within the historic building in a new exterior addition. Such an addition should be located at the rear of the building or on an inconspicuous side; and its size and scale limited in relationship to the historic building.

## Not Recommended

Undertaking code-required alterations to a building or site before identifying those spaces, features, or finishes which are character-defining and must therefore be preserved.

Altering, damaging, or destroying character-defining spaces, features, and finishes while making modifications to a building or site to comply with safety codes.

Making changes to historic buildings without first seeking alternatives to code requirements.

Installing permanent ramps that damage or diminish character-defining features.

Reinforcing a historic building using measures that damage or destroy character-defining structural and other features.

Damaging or obscuring historic stairways and elevators or altering adjacent spaces in the process of doing work to meet code requirements.

Covering character-defining wood features with fire-resistant sheathing which results in altering their visual appearance.

Using fire-retardant coatings if they damage or obscure character-defining features.

Radically changing, damaging, or destroying character-defining spaces, features, or finishes when adding a new code-required stairway or elevator.

Constructing a new addition to accommodate code-required stairs and elevators on character-defining elevations highly visible from the street; or where it obscures, Damages or destroys character defining features.

## ENERGY RETROFITTING

Some character-defining featured of a historic building or site such as cupolas, shutters, transoms, skylights, sun rooms, porches, and plantings also play a secondary energy conserving role. Therefore, prior to retrofitting historic buildings to make them more energy efficient, the first step should always be to identify and evaluate the existing historic features to assess their inherent energy conserving potential. If it is determined that retrofitting measures are necessary, then such work needs to be carried out with particular care to insure that the building's historic character is preserved in the process of rehabilitation.

## Recommended

### *District/Neighborhood*

Maintaining those existing landscape features which moderate the effects of the climate on the setting such as deciduous trees, evergreen wind-blocks, and lakes or ponds.

## *Building Site*

Retaining plant materials, trees, and landscape features, especially those which perform passive solar energy functions such as sun shading and wind breaks.

Installing freestanding solar collectors in a manner that preserves the historic property's character-defining features.

Designing attached solar collectors, including solar greenhouses, so that the character-defining features of the property are preserved.

## *Masonry/Wood/Architectural Metals*

Installing thermal insulation in attics and in unheated cellars and crawl spaces to increase the efficiency of the existing mechanical systems.

Installing insulating material in the inside of masonry walls to increase energy efficiency where there is no character-defining interior molding around the window or other interior architectural detailing.

Installing passive solar devices such as a glazed "trombe" wall on a rear or inconspicuous side of all the historic building.

## *Roofs*

Placing solar collectors on noncharacter-defining roofs or roofs of non-historic adjacent buildings.

## *Windows*

Utilizing the inherent energy conserving features of a building by maintaining windows and louvered blinds in good operable condition for natural ventilation.

Improving thermal efficiency with weatherstripping, storm windows, caulking, interior shades, and, if historically appropriate, blinds and awnings.

Installing interior storm windows with airtight gaskets, ventilating holes, and/or removable clips to insure proper maintenance and to avoid condensation damage to historic windows.

Installing exterior storm windows which do not damage or obscure the windows and frames.

Considering the use of lightly tinted glazing on non-character-defining elevation if other energy retrofitting alternatives are not possible.

## *Entrances and Porches*

Utilizing the inherent energy conserving features of a building by maintaining porches, and double vestibule entrances in good condition so that they can retain heat or block the sun and provide natural ventilation.

## *Interior Features*

Retaining historic interior shutters and transoms for their inherent energy conserving features.

## *New Additions to Historic Buildings*

Placing new additions that have an energy conserving function such as a solar greenhouse on non-character-defining elevations.

## *Mechanical Systems*

Installing thermal insulation in attics and in unheated cellars and crawl spaces to conserve energy.

## Not Recommended

Stripping the setting of landscape features and landforms so that the effects of the wind, rain, and the sun result in accelerated deterioration of historic materials.

Removing plant materials, trees, and landscape features, so that they no longer perform passive solar energy functions.

Installing freestanding solar collectors that obscure, damage, or destroy historic landscape features.

Locating solar collectors where they radically change the property's appearance; or damage or destroy character-defining features.

Applying area of formaldehyde foam or any other thermal insulation with a water content into wall cavities in an attempt to reduce energy consumption.

Resurfacing historic building materials with more energy efficient but incompatible materials, such as covering historic masonry with exterior insulation.

Installing passive solar devices such as an attached glazed "trombe" wall on primary or other highly visible elevation; or where historic material must be removed or obscured.

Placing solar collectors on roofs when such collectors change the historic roofline or obscure the relationship of the roof to character-defining roof features such as dormers, skylights, and chimneys.

Removing historic shading devices rather than keeping them in an operable condition.

Replacing historic multi-paned sash with new thermal sash utilizing false muntins.

Installing interior storm windows that allow moisture to accumulate and damage the window.

Installing new exterior storm windows which are inappropriate in size or color, which are inoperable.

Replacing windows or transoms with fixed thermal glazing or permitting windows and transoms to remain inoperable rather than utilizing them for their energy conserving potential.

Using tinted or reflective glazing on character-defining or other conspicuous elevations.

Enclosing porches located on character defining elevations to create passive solar collectors or airlock vestibules. Such enclosures can destroy the historic appearance of the building.

Removing historic interior features which play a secondary energy conserving role.

Installing new additions such as multistory solar green house additions which obscure, damage, destroy character-defining features.

Apply urea formaldehyde foam or any other thermal insulation with a water content or that may collect moisture into wall cavities.

## NEW ADDITIONS TO HISTORIC BUILDINGS

An attached exterior addition to a historic building expands its "outer limits" to create a new profile. Because such expansion has the capability to radically change the historic appearance, and exterior addition should be considered only after it has been determined that the new use cannot be successfully met by altering non-character-defining interior spaces. If the new use cannot be met in this way, then an attached exterior addition is usually an acceptable alternative. New additions should be designed and constructed so that the character-defining features of the historic building are not radically changed, obscured, damaged, or destroyed in the process of rehabilitation. New design should always be clearly differentiated so that the addition does not appear to be part of the historic resources.

### Recommended

Placing functions and services required for the new use in non-character-defining interior spaces rather than installing a new addition.

Constructing a new addition so that there is the least possible loss of historic materials and so that character-defining features are not obscured, damaged, or destroyed.

Locating the attached exterior addition at the rear or on an inconspicuous side of a historic building; and limiting its size and scale in relationship to the historic building.

Designing new additions in a manner that makes clear what is historic and what is new.

Considering the attached exterior addition both in terms of the new use and the appearance of other buildings in the historic district or neighborhood. Design for the new work may be contemporary or may reference design motifs from the historic building. In either case, it should always be clearly differentiated from the historic building and be compatible in terms of mass, materials, relationship of solids to voids, and color.

Placing new additions such as balconies and greenhouses on non-character-defining elevations and limiting the size and scale in relationship to the historic building.

Designing additional stories, when required for the new use, that are set back from the wall plane and are as inconspicuous as possible when viewed from the street.

## Not Recommended

Expanding the size of the historic building by constructing a new addition when the new use could be met by altering non-character-defining interior spaces.

Attaching a new addition so that the character-defining features of the historic building are obscured, damaged, or destroyed..

Designing a new addition so that its size and scale in relation to the historic building are out of proportion, thus diminishing the historic character.

Duplicating the exact form, material, style, and detailing of the historic building in the new addition so that the new work appears to be part of the historic building.

Imitating a historic style or period of architecture in new additions, especially for contemporary uses such as drive-in banks or garages.

Designing and constructing new additions that result in the diminution or loss of the historic character of the resource, including its design, materials, workmanship, location, or setting.

Using the same wall plane, roof line, cornice height, materials siding lap or window type to make additions appear to be a part of the historic building.

Designing new additions such as multistory greenhouse additions that obscure, damage, or destroy character-defining features of the historic building.

Constructing additional stories so that the historic appearance of the building is radically changed.

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## APPENDIX D

### OUTLINE OF MAJOR FEDERAL PRESERVATION PROGRAMS

The National Historic Preservation Act of 1966, as amended, is the basic federal law for identification, designation and protection of historic and archeological places of local, state and national significance. The Act established the major federal preservation programs including the National Register of Historic Places, the rehabilitation tax credit and easement programs, and the Advisory Council on Historic Preservation. The SHPOs carry out preparation of National Register nominations, work with developers seeking tax credits and with easement donors, and administer monies from the Historic Preservation Fund.

The **National Register of Historic Places**, maintained by the National Park Service, is the official list of the nation's cultural resources which are worthy of preservation. Listing on the Register, or determination that a property contributes to a listed historic district, may qualify properties for various types of government assistance. Listed properties may qualify for grants from the Historic Preservation Fund if selected by the State Historic Preservation Officers.

The **Historic Preservation Fund**, administered by the National Park Service, provides matching funds to the states for the purposes of preparing comprehensive statewide historic surveys and plans, and for preserving and protecting properties listed on the National Register of Historic Places. Funds may be provided by the states for matching subgrants to private organizations, individuals or governmental subdivisions for purposes specified in the National Historic Preservation Act. In each state, the selection of preservation activities for financial assistance is determined by the State Historic Preservation Officer (SHPO), who is appointed by the governor. A portion of the funds is allocated to Certified Local Governments (CLGs). These local governments which have preservation plans in place, work in partnership with the SHPO's to identify, protect and preserve historic resources.

The **rehabilitation tax credit program** has been largest federal incentive for revitalizing historic buildings. Income-producing structures listed on the National Register or contributing to a registered historic district may qualify for tax credits for rehabilitation projects that meet the Secretary of the Interior's Standards for Rehabilitation. These Standards were developed to assure that the distinctive features of an historic structure is preserved in the process of rehabilitation. Certifications are issued by the National Park Service. Developers interested in tax credits for rehabilitation projects should contact their State Historic Preservation Offices and work closely with them to be sure they meet all criteria for certification as the process proceeds. The 20% tax credit, which is applied to qualified rehabilitation expenses, is specifically targeted at income-producing historic properties. The credit leverages five times its cost in private expenditures on historic preservation. The low income housing tax credit is often used in conjunction with the rehabilitation tax credit to create or maintain affordable housing in historic areas.

**Easements** may be granted by private owners to protect facades or important interior spaces of certified historic structures, or significant landscapes or sites, from alterations that will detract from their historic character. Restrictions granted by easements pass with title of the property to new owners, to protect the property in perpetuity. Easements may be held by a suitable non-profit organization; the granting of an easement may result in lessening of federal or local taxes. Again, the State Historic Preservation Offices are the contact point for further information.

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The **Historic American Buildings Survey/Historic American Engineering Record (HABS/HAER)** of the National Park Service produces measured drawings, large format photographs, and written histories on historic sites and structures that are significant to the architectural, engineering, maritime, and industrial heritage of the United States. Documentation has been produced on nearly 25,000 sites and structures.

The **Archeological Assistance Program** provides federal, state and local agencies, Indian tribes and others with technical assistance on the identification, evaluation and preservation of archeological properties, collections, reports, and records. Activities include limited technical assistance on specific projects for the recovery of important archeological and historical data threatened with damage or destruction by federal undertakings. Available publications include a quarterly newsletter and a series of technical briefs.

Listing on the National Register of Historic Places, or a determination of eligibility for listing on the National Register, means that any activity funded or licensed by a federal agency which might impact on the listed property must be evaluated by the **Advisory Council on Historic Preservation**. The Council determines whether or not the impact will adversely affect the historic property. If it determines that the effect may be adverse, it will seek mitigative action.

The **National Trust for Historic Preservation** chartered by Congress in 1949, is a private, nonprofit organization with more than 250,000 members and is supported financially by membership dues, private donations, federal grants and other sources. The National Trust's mission is to foster an appreciation of the diverse character and meaning of our American cultural heritage and to preserve and revitalize the livability of our communities by leading the nation in saving America's historic environments. Its National Main Street Center provides technical assistance to older business districts in rural and urban areas. The Inner-city Ventures Fund provides loans, grants and technical assistance to nonprofit-sponsored projects which rehabilitate historic buildings for low income housing and neighborhood-based economic development. Other programs include the National Preservation Loan Fund which makes below-market rate loans; the Critical Issues Fund which funds policy orientated research; and the Preservation Services Fund which provides grants for consultant services, educational programs and conferences. Headquartered in Washington DC, the National Trust has regional offices in Boston, Philadelphia Charleston, Fort Worth, Chicago, Denver and San Francisco.

**Legacy** is the Department of Defense program to manage the natural and cultural resources on the 25 million acres of land it controls in the United States. Legacy may fund demonstration projects which will have application to stewardship of Department of Defense resources.

## APPENDIX E

### SIGNIFICANT PRESERVATION LEGISLATION FEDERAL AND ARIZONA

#### INTRODUCTION

Historic preservation laws were enacted because of public concern that so many of our nation's and state's prehistoric and historic resources were being destroyed by government sponsored public works. This brochure provides an overview of the Section 106 review process established by the National Historic Preservation Act (NHPA) of 1966, as amended, and Arizona state laws that pertain to cultural resources listed on, or eligible for the Arizona or National Register of Historic Places. Much of the information presented here summarizes policy statements and other guidance provided by the Advisory Council on Historic Preservation.

#### FEDERAL LAWS

##### *National Historic Preservation Act (NHPA) of 1996, as amended (16 USC 470 et seq.)*

This law established the national historic preservation program and the State Historic Preservation Offices (SHPO). Its provisions include:

- 1 The expansion and maintenance the National Register of Historic Places, the nation's official inventory of prehistoric and historic districts, sites, structures, buildings, and objects worthy of preservation.
- 2 Establishment of a grants program for statewide comprehensive surveys to acquire, preserve and/or develop historic or prehistoric properties.
- 3 Establishment of an Advisory Council on Historic Preservation, Historic Preservation, an independent agency which advises the President and Congress on matters related to preservation, as well as advising state and local governments in drafting preservation legislation.

Section 106 of the NHPA requires Federal agencies to consider the effects of their undertakings (actions conducted, funded, licensed or permitted by an agency) on properties listed or eligible for inclusion in the National Register of Historic Places.

Section 110 establishes more detailed procedures that federal agencies must follow in managing cultural resources. The primary responsibilities include locating and inventorying historic properties under their jurisdiction and insuring that these resources are protected during federal projects or land transfers. Federal agencies are also directed to execute their projects in accordance with the purposes of the National Historic Preservation Act.

In 1990, the NHPA was amended to expand the national preservation partnership to local governments, and the 1992 amendments expanded the national preservation program to tribes.

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## *Archaeological Resources Protection Act of 1979 (16 USC 470aa-470mm)*

This law (ARPA) considerably strengthened preservation and archaeological protection by instituting civil and criminal penalties for illegal use and destruction of resources and sites on Federal and Indian lands (vandalism and pothunting). A permit is required from the land manager who has jurisdiction in order to excavate or remove cultural resources from public lands. ARPA also makes it a criminal offense to buy or resell illegally obtained artifacts.

## *Native American Graves Protection and Repatriation Act (25 USC 3001)*

The law requires each federal agency and museum receiving federal funding (except the Smithsonian Institution) to inventory human remains and associated funerary objects and to provide culturally affiliated tribes with the inventory and a summary of its collection of other cultural items. Upon request, a tribe having cultural affiliation may request repatriation of human remains and funerary objects.

## *Rehabilitation Credit :Section 47 of the Internal Revenue Code (26 USC 47)*

Section 47 establishes a 20% tax credit for the substantial rehabilitation of buildings listed on the National Register of Historic Places for income-producing purposes.

## STATE OF ARIZONA LAWS

### *Arizona Antiquities Act of 1927 (ARS §41-841 to §41-846)*

This state law prohibits unauthorized excavation and defacing of historic, archaeological, or paleontological sites and the unauthorized collection, alteration, or destruction of artifacts on lands owned or managed by state agencies. It requires anyone wishing to excavate archaeological sites on state lands to obtain a permit from the Director of the Arizona State Museum. The act requires those in charge of authorized excavations or surveys on state lands to report cultural resources found to the Arizona State Museum and to take reasonable steps to secure their preservation. The act also prohibits the reproduction or alteration of any antiquity or the sale of such objects.

### *State Parks Board Law of 1957 and amendments (ARS §41-511.04)*

The Governor is given the power to designate a State Historic Preservation Officer who has "competence and expertise" in the field of historic preservation. The preservation officer is to plan, coordinate, and administer a state historic preservation program including the program established pursuant to the NHPA.

The State Historic Preservation Officer's duties are to:

- 1 Direct and conduct a comprehensive statewide survey of historic properties and to maintain an inventory of historic places.
- 2 Identify and nominate eligible properties to the National Register of Historic Places and the Arizona Register of Historic Places.
- 3 Administer grant-in-aid for historic properties within Arizona.

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- 4 Advise and monitor federal, state, and other agencies of Arizona in carrying out their historic preservation responsibilities.
- 5 Develop and make available information concerning professional methods and techniques for the preservation of historic properties.
- 6 Make recommendation on the certification, classification, and eligibility of historic properties for state and federal property tax and investment tax incentives.

## *State Historic Property Tax Program (ARS §42-161 to §46-165, and §42-227)*

This law establishes the State Historic Property Tax owners of historic properties. To receive the tax reduction, an owner of a residential or commercial property must maintain that property according to the Secretary of Interior's Standards for Rehabilitation. The tax reduction is given and administered by the county assessor in the county where the property is located.

## *State Historic Preservation Act of 1982 (ARS §41-861 to §41-865)*

The State Historic Preservation Act (State Act) directs State agencies to consider impacts their plans may have on historic properties on lands that are owned or controlled by the agency. In cooperation with the SHPO, each state agency must establish a program to locate, inventory, and nominate historic properties under their control or ownership. This process is embodied in Arizona Revised Statutes Sections 41-861 through 41-864:

- 41-861: The chief administrator of each state agency is responsible for the preservation of properties owned or controlled by the agency and should carry out necessary preservation activities in a manner consistent with standards recommended by the State Historic Preservation Officer (SHPO). Prior to acquiring, constructing or leasing buildings for purposes of carrying out agency responsibilities each agency should consider the use of available historic properties.
- 41-862: In cooperation with the State Historic Preservation officer, each state agency shall establish a program to locate, inventory and nominate to the Arizona Register of Historic Places all properties under the agency's ownership or control. Each agency shall exercise caution to assure that Register-eligible properties are not transferred, sold, demolished, substantially altered or allowed to deteriorate.
- 41-863: Each agency shall, in consultation with the State Historic Preservation Officer, assure that if, as a result of a state action or assisted action, a historic property is substantially altered or demolished, steps are taken to make appropriate documentation in accordance with SHPO standards. Documentary records shall be deposited with the Department of Library, Archives and Public Records.
- 41-864: The SHPO has 30 working days to review and comment on plans of a state agency which involve property that is included on or eligible for the Arizona Register of Historic Places, including any construction projects, sales, leases, or acquisitions.
- 41-865: The statute requires anyone discovering or disturbing human remains or funerary objects on privately owned land in Arizona to notify the Director of the Arizona State Museum (the Director) and to protect those remains while the Director consults with Native American groups and other interested parties about their treatment and disposition. Rules implementing this statute are available from the Director.

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The state compliance process mirrors the federal process with the exception of the fourth step which requires Advisory Council review. Having one basic process reduces confusion and facilitates the review of projects that involve both federal and state jurisdiction. If a state project will have an adverse effect on an Arizona Register-listed or eligible property that requires archaeological data recovery, a permit for that work must be obtained from the Director of the Arizona State Museum (ASM).

For more information on these laws which are administered by the Arizona State Museum (ASM), call 602/621-4795. ASM distributes an informational brochure entitled "Human Burial, Sacred Objects, and You!" explaining these laws; this pamphlet can be obtained by contacting the ASM telephone number listed above.

## *Parks Board Heritage Fund (ARS §41-501 to §41-503)*

Established by voter initiative in 1990, the Arizona Heritage Fund sets aside \$20 million from the state lottery fund to go toward preserving and enhancing Arizona's natural and cultural environment. Of this amount, \$1.7 million goes specifically toward historic preservation projects with a majority being awarded through a competitive grant program.

## *Municipal General Plans (APS §9-461.05)*

This statute requires that each municipality prepare and adopt a General Plan which includes a statement of community goals and development policies including land-use and circulation. Communities over 50,000 are also required to include a conservation and recreation element in their General Plan.

## APPENDIX F

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