



MODULE ONE
INTRODUCTION TO THE MANUAL



Florida
Division of
Historical
Resources

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1.0 INTRODUCTION TO THE MANUAL

1.1 PURPOSE

The intent of this manual is to standardize the responsibilities and procedures for personnel and users of the Compliance Review Section (CRS) and Florida Master Site File (FMSF). User groups include federal, state and local agencies; planners and developers; consultants; and citizens. To meet these objectives, the *Cultural Resource Management Standards and Operational Manual (Manual)*:

- Specifies the standards for the preparation, submittal, handling, review, and commenting procedures for projects reviewed by the CRS;
- Sets forth requirements for the identification, evaluation, recordation and treatment of historic properties;
- Defines procedures for preparing and submitting projects for review and comment by consultants and the public;
- Identifies methods and procedures for DHR staff for reviewing, making comments and archiving submitted reports and project applications;
- Addresses the responsibilities of DHR employees, consultants, and others submitting projects for review, comment, and archiving;
- Provides training instructions for CRS staff as well as for the FMSF staff;
- Provides a users guide for private consultants and others requesting information or conducting research in the FMSF facilities;
- Provides guidelines for consultants and the public in the use of the FMSF for research and a guide to available resources within the FMSF.

1.2 ORGANIZATION AND CONTENTS

The *Manual* is intended to be dynamic. It is designed in modules so that future training components for other DHR responsibilities may be integrated seamlessly. The modular design facilitates updates to reflect changes in applicable laws and regulations, and regulatory responsibilities and procedures. The *Manual* makes extensive use of Internet hyperlinks imbedded within the document text. The hyperlinks provide direct electronic access to primary references for certain topics, issues, programs, and terms available via the World Wide Web.

The *Manual* is divided into five modules, including this Introduction. Each module contains its own Table of Contents and pagination.

- **Module One** includes the **purpose** and **contents** of the *Manual*, a discussion of **methods**, and a description of **Florida’s historic preservation program**, as well as a **List of Acronyms and Abbreviations** and **Glossary**.
- **Module Two** details a set of prescribed **Standard Operating Procedures (SOPs)** for use by the **CRS** and its users. It also includes an introduction to the CRS, and a summary of state and federal authorities for historic preservation review, including the Section 106 review process.
- **Module Three** provides **Guidelines for Use by Historic Preservation Professionals**. Among the topics covered are Phase I Cultural Resource Assessment Surveys; Phase II Archaeological Test Excavations; Adverse Impact Mitigation, including Phase III Excavations; the Evaluation of Site Significance; Effects Determinations and Case Reports; Preparing Agreement Documents; and Mitigation Measures for Historic Resources.
- **Module Four** explains the mission and history of the FMSF and provides an overview of the various resource and manuscript data contained within this archive. It also presents **User Guidelines** that describe the general requirements for requesting information and procedures for submitting information, and **Staff Instructions** for processing and distributing the data received by the FMSF.
- **Module Five** provides a **Guide to Available Resources at the FMSF**. Included are detailed instructions for completing forms and instructions for managing the electronic database.

This *Manual* also is intended to serve as a model for local governments wishing to establish historic preservation compliance review programs parallel to the state and federal programs. Such programs will expedite project reviews at the local level and can serve as the foundation for programmatic agreements between local governments and the DHR. Such agreements will allow local governments to act on behalf of the DHR in providing review comments on certain categories of development activities.

2.0 MANUAL DEVELOPMENT: PRECEDENTS AND METHODS

2.1 BACKGROUND

This document, created in 2002, is a compendium and an update of standards and guidelines produced by the DHR over the past two decades. In 1981, the first draft of the *Guidelines for Archaeological and Historic Site Assessment Survey, Test Excavation, and/or Mitigative Excavation or Historic Documentation Field Methodology and Report Content for Projects Conducted in the State of Florida* was produced by Louis Tesar for the DHR. In 1988, efforts were begun to upgrade these guidelines into formal standards, culminating in the final draft of *The Historic Preservation Compliance Review Program of the Florida Department of State Division of Historical Resources*, produced by Tesar in 1990. This document, used today by DHR professional staff as well as agencies and consultants, contains the standards for the identification, evaluation, and documentation of archaeological sites and historic resources in Florida. More recently (1992, amended 1996), *Archaeological Report Standards and Guidelines* were formalized in Chapter 1A-46, Florida Administrative Code (F.A.C.). In 2002, revisions to Chapter 1A-46 were adopted, resulting in *Historical and Archaeological Report Standards and Guidelines*.

Other guidance documents generated by the DHR include: *National Register Handbook* (1996), *Smart Form Manual with Guidelines for Documentation of Florida's Cultural Resources* (1997), *Documentation Requirements for Buildings Proposed for Demolition and Standards for Architectural Documentation*, *Performance Standards for Submerged Remote Sensing Surveys* (2001), and *Guidelines for Section 106 Review of Proposed Cellular Tower Locations* (2001).

2.2 METHODS

In 2001, the Florida Department of State entered into contract (RFP No. 914-260-09-4) with Archaeological Consultants, Inc. (ACI) of Sarasota, Florida and their subconsultant Janus Research of St. Petersburg, to develop a *Cultural Resources Management Standards and Operational Manual*. Development of this document entailed a number of specific methodologies, including a thorough review of all existing relevant documentation, and meetings with the State Historic Preservation Officer (SHPO) and DHR senior personnel. In addition, the consultant team developed questionnaires, conducted interviews with selected DHR personnel and other concerned parties, synthesized information, constructed flow charts, and shadowed DHR personnel as they performed their routine duties, as described below.

2.2.1 Questionnaires

The purpose of the questionnaires was to identify the roles and responsibilities of each section within the DHR and to develop a better understanding of how to design a manual that

would meet project objectives. Because the manual was designed to serve two distinct audiences, DHR personnel and outside users, two versions of the questionnaire were designed with slightly different content and format. Those questions created for section heads within the DHR included queries regarding staffing, organization, and other supervisory tasks and responsibilities. All questions were open-ended, to encourage an elaboration of responses.

The DHR questionnaires sought to determine:

- How long respondents have been employed by their respective sections within the DHR;
- The major responsibilities and activities of the sections and their personnel;
- Whether existing handbooks or manuals direct the processes of the sections;
- The extent to which section personnel are aware of the roles and responsibilities of other sections within the DHR;
- The extent and nature of communication between sections;
- Whether personnel in the various sections have attended any formal training classes;
- What GIS applications section personnel currently use;
- What personnel might make use of GIS-based software applications; and
- How tasks could be streamlined and made more efficient.

The questionnaire for outside users of services endeavored to assess their needs vis-à-vis facilities and personnel services. Of the 14 questions asked, two focused on general interactions with the DHR; five were about the CRS, and seven concerned interactions with the FMSF. Specifically, the questionnaires sought to determine:

- The types of services provided by the DHR that outside users require;
- The nature of the interaction between outside users and the DHR;
- The manner in which outside users contact DHR personnel;
- The extent to which outside users are aware of the roles and responsibilities of various sections within the DHR;
- The extent to which outside users understand the mission of the sections within the DHR;
- How well outside users understand the response time requirements of the DHR sections;
- Whether outside users are aware of the DHR's Web presence and the resources available there;
- What forms, checklists, guidelines, etc. have they received from the DHR and whether these materials were helpful;
- Whether outside users submit information to the FMSF, and, if so, how they submitted their data.

Questionnaires for the DHR personnel were distributed in person by the consultants to the heads of the CRS, FMSF, and Survey and Registration Section. The section heads were asked to complete their questionnaires, and also to provide them to selected staff members.

To maintain confidentiality, the section heads were asked to refrain from writing their names, and the names of other respondents, on the questionnaires. With the exception of the section head, no questionnaires were provided to the Survey and Registration Section. Including the three section heads, 12 questionnaires were completed by DHR personnel, and subsequently returned to the consultant team via fax. Questionnaires also were provided to four outside users via electronic mail, and returned to the consultant team in the same manner. Upon receipt of the completed questionnaires, the consultant team reviewed the results, and used these data to guide the interview process that followed.

2.2.2 Interviews

Interviews of selected DHR section heads and staff were conducted, by appointment, at the DHR offices in the R.A. Gray Building during the week of November 12, 2001. A two-person team carried out interviews. All interviews were scheduled for two hours in length. In general, a free exchange of information was encouraged, and confidentiality of the responses was guaranteed at the beginning of each interview. Like the questionnaire process, interviews were designed to assess training needs and to help identify and organize the contents for the *Manual*. Specifically, questions focused on ascertaining personnel responsibilities and duties, the work process, acquisition of skills and knowledge, use of available resources, issues commonly dealt with, and suggestions for improving the work process. Also, interviews were opened up to anything the respondents cared to discuss, as long as it was related to generally established themes. Asking DHR personnel to provide hard copy or electronic versions of the forms, checklists, and other materials used in the course of their work concluded the interviews. This included manuals and other instructional or teaching materials. Section heads were asked to provide copies of procedural and personnel manuals and guidelines.

In addition to DHR personnel, interviews were conducted via telephone or in person with a variety of outside users located throughout Florida. Users interviewed included: a historic architect; personnel at District Six of the Florida Department of Transportation (FDOT); the Historic Preservation Department, Miami-Dade County; the University of South Florida Department of Anthropology, Tampa; the Lighthouse Archaeological Marine Program in St. Augustine; the Central Environmental Management Office of the FDOT; Dade Heritage Trust; the Advisory Council on Historic Preservation; an officer of the Florida Archaeological Council; and an officer of the Florida Anthropological Society.

2.2.3 Information Synthesis and Flow Charting

Following synthesis of the questionnaire responses and interviews draft flow charts were constructed to illustrate the existing work processes for the CRS and FMSF. The flow charts included all steps in the processes arranged in the sequence of occurrence, and all decision points.

2.2.4 Shadowing and Process Verification

The same consultant team members who conducted the interviews conducted follow-up visits to the CRS and FMSF. This effort included the shadowing of personnel as they performed their routine duties, as well as a question and answer exchange with supervisory staff and selected personnel. This shadowing offered a more casual and personal perspective from which to view and document the procedures of the CRS and FMSF staff. Also, it allowed the steps in the CRS and FMSF processes to be verified, and the relationships among the respective steps and processes to be clarified. A related goal, assessing how well DHR staff understands the processes, with an eye toward the development of training materials, was also met. In the end, a more accurate set of step-by-step procedures used by the CRS and FMSF, as well as revised flow charts, were developed for incorporation into the *Manual*.

All DHR personnel and outside users are expressly acknowledged and thanked for their willing assistance with and participation in the manual development process. Without their generous cooperation and sincere interest in the interview process, it would not have been successful.

3.0 FLORIDA'S HISTORIC PRESERVATION PROGRAM

3.1 INTRODUCTION

The SHPO is the individual responsible for conducting an approved state historic preservation program as provided in subsection 101(b) of the [National Historic Preservation Act](#) (NHPA). The SHPO provides the first consultation step in reviewing federally involved (i.e., funded, assisted, licensed, or permitted) projects or “undertakings” in accordance with the provisions of Section 106 of the NHPA.

The Director of the DHR may also serve as the SHPO, in accordance with Chapter 267.061, F.S. The DHR of the Florida Department of State was established by state law as Florida's primary historic preservation agency to fulfill the provisions of the NHPA. The historic preservation program of the DHR consists of four sections that fulfill the requirements of SHPO: Architectural Preservation Services, Grants and Education, Review and Compliance, and Survey and Registration.

The cornerstone of Florida's historic preservation policy includes, but is not limited to, the elements of **identification, evaluation, registration, protection, enhancement, and education.**

- **Identification** involves all levels of property inventory and often is combined with the evaluation of identified properties. These efforts are coordinated through the DHR. Federal and state agencies, local communities, private industry, concerned citizens, and organizations assist in efforts to identify and protect elements of Florida's prehistoric and historic heritage. Planned identification efforts usually are undertaken as part of a historic resources survey. **Guidelines** for cultural resource assessment surveys are provided in **Module Three, Section 2** of the *Manual*.
- **Evaluation** involves an assessment of the significance of a site or group of sites in terms of the criteria used to determine eligibility for listing in the NRHP. The **evaluation criteria** are provided in **Module Three, Section 5** of the *Manual*.
- **Registration** occurs on two levels. The first is a general record entered into the FMSF, while the second is listing in the NRHP. The FMSF is a comprehensive database of all recorded sites in Florida. Some of its site records are for properties that no longer exist. The **FMSF** is the focus of **Modules 4 and 5** of the *Manual*. The NRHP, in contrast to the FMSF, only includes properties formally determined eligible and approved for listing on the basis of their national, state, or local significance, either individually or as a group.
- **Protection** includes such actions as rehabilitation, restoration, passive recreation, and greenspace conservation use. Protection normally is not considered for sites and properties unless they are determined to be NRHP-eligible. Protection responsibilities

are assigned to all federal and state land management agencies whose properties contain significant historic resources, as well as to those federal, state, and local agencies, and land developers whose activities are governed by the provisions of historic preservation law and might affect significant historic resources. The DHR both provides technical assistance, and follows the procedures of the historic preservation compliance review process in cases involving the protection of NRHP properties.

- **Enhancement** includes activities such as the restoration of damaged or deteriorated features of a site or the rehabilitation or restoration of historic structures and associated features, among others. These activities are undertaken by public and private agencies, as well as by individuals and concerned citizen organizations.
- **Education** covers a broad range of topics. It includes sponsoring workshops; the publication of books, articles, technical assistance bulletins, land management plans, and local government comprehensive plans concerned with historic preservation issues, policies and procedures; preparation of classroom lecture material; development of exhibits, films and videos; and historic tours and public archeology programs.

3.2 ORGANIZATION OF THE DIVISION OF HISTORICAL RESOURCES

The **DHR** is one of seven divisions within the Department of State, and the state agency responsible for promoting the historical, archaeological, museum, and folk culture resources in Florida. The Division Director, who also currently serves as Florida's SHPO, provides a liaison with the national historic preservation program conducted by the National Park Service (NPS).

Division Director and SHPO: Janet Matthews (850) 245-6300, FAX (850) 245-6435
jmatthews@dos.state.fl.us

The DHR includes **three bureaus**: the Bureau of Historic Preservation (BHP), the Bureau of Archaeological Research (BAR), and the Bureau of Historical Museums. An **organizational chart** of the DHR is provided in **Exhibit 1**.

3.2.1 Bureau of Historic Preservation

The **BHP** conducts historic preservation programs aimed at identifying, evaluating, preserving, and interpreting the historic resources of the state. The BHP manages the nation's largest historic preservation grants program and oversees the development of state historic markers, heritage publications, and Florida folklife programs. The Bureau also receives federal funding from the Historic Preservation Fund through the National Park Service and has certain responsibilities under federal law.

Bureau Chief: Fred Gaske (850) 245-6333, FAX (850) 245-6437
fgaske@dos.state.fl.us

The BHP is divided into **four sections**: Architectural Preservation Services Section, Compliance Review Section, Grants and Education Section, and Survey and Registration Section.

- The **Architectural Preservation Services Section** provides architectural technical assistance to the public on historic rehabilitation projects, provides architectural support for all Bureau programs (especially important in the review of grant applications), reviews applications for federal tax credits for the rehabilitation of historic properties, reviews applications for ad valorem tax relief projects in communities not qualified to review locally, and administers the Florida Main Street Program.

Section Administrator: David Ferro (850) 245-6333, FAX (850) 245-6437
dferro@dos.state.fl.us

- The **Compliance Review Section** reviews development projects of all types and provides technical assistance on preservation laws to ensure compliance with local, state and federal laws mandating consideration of a project's impact on historic and archaeological properties, assists in the preparation of historic preservation elements for state land management plans, reviews the historic preservation aspects of local government comprehensive plans, administers the Florida Certified Local Government (CLG) Program.

Section Administrator: Laura Kammerer (850) 245-6333, FAX (850) 245-6437
lkammerer@dos.state.fl.us

- The **Grants and Education Section** administers a program of grants for the rehabilitation and restoration of historic buildings, the survey of historic resources, the excavation of archaeological sites, and for preservation education programs; conducts a variety of education programs; publishes *Florida Preservation News* and *Florida History & the Arts Magazine*; prepares special publications on the historic resources of the state; and administers the State Historic Marker Program.

Section Administrator: Robert Taylor (850) 245-6333, FAX (850) 245-6437
rtaylor@dos.state.fl.us

- The **Survey and Registration Section** prepares and processes nominations of significant historic resources to the NRHP, provides technical assistance to the public on survey and registration activities, manages the Florida Folklife/Folk Arts Apprenticeship program, conducts surveys to identify folk heritage resources, administers the Florida Folk Heritage Awards program, and prepares the statewide comprehensive historic preservation plan required for continued federal approval of the program.

Section Administrator: Barbara Mattick (850) 245-6333, FAX (850) 245-6437
bmattick@dos.state.fl.us

3.2.2 Bureau of Archaeological Research

The **BAR** cares for state-owned archaeological sites and artifacts, and helps to identify, preserve, and interpret the tangible remains of Florida's earlier cultures. It administers the state's shipwreck salvage program, and issues permits for archaeological investigations on state-owned and state-controlled lands including sovereignty submerged lands. The Bureau Chief is the State Archaeologist.

Acting Bureau Chief

Brenda Swann (850) 245-6444, FAX (850) 245-6436
jmiller@dos.state.fl.us

State Archaeologist

David Dickel, Conservation Lab Supervisor (850) 245-6444, FAX (850) 245-6436
ddickel@dos.state.fl.us

The BAR is divided into the following functional units:

- **Research and Conservation Laboratory Section**
David Dickel, Conservation Lab Supervisor (850) 245-6444, FAX (850) 245-6436
ddickel@dos.state.fl.us
- **Underwater Archaeology Program**
Roger Smith, Archaeologist II (850) 245-6444, FAX (850) 245-6436
rsmith@dos.state.fl.us
- **Mission San Luis**
Bonnie McEwan, Senior Archaeologist (850) 921-0440, FAX (850) 488-6186
bmcewan@dos.state.fl
- **CARL Survey and Management**
(850) 245-6444, FAX (850) 245-6436
Christine Newman, CARL Supervisor (904) 829-9100
cnewman@dos.state.fl.us

3.2.3 Bureau of Historical Museums

The **Bureau of Historical Museums** brings the history of the state alive at sites like The Old Capitol, Mission San Luis, and the Knott House. As the repository for the state's historical artifacts, the Bureau maintains permanent collections of over 45,000 items that document the

daily lives of Florida's varied populations. The on-going programs of the Bureau include traveling exhibits, educational programs, research, and collections.

Bureau Chief: Jeana Brunson (850) 245-6400, FAX (850) 245-6433
jbrunson@dos.state.fl.us

The Bureau of Historical Museums is divided into four functional units:

- **Education and Historic Sites**
Karin Stanford, Museum Curator Supervisor, kstanford@dos.state.fl.us
(850) 245-6400, FAX (850) 245-6433
- **Statewide Services/ Public Relations**
Lea Ellen Thorton, Museum Curator Supervisor, lthorton@dos.state.fl.us
(850) 487-1902, FAX (850) 921-2540
- **Design & Fabrication**
Charity Wood, Curator of Exhibits, cwood@dos.state.fl.us
(850) 245-6400, FAX (850) 245-6433
- **Collections and Research**
Jeana Brunson, Chief Curator of Collections and Research, jbrunson@dos.state.fl.us
(850) 245-6400, FAX (850) 245-6433

3.2.4 Office of Executive Direction and Support

The **Office of Executive Direction and Support** provides directives for the Division of Historical Resources. It is composed of three units: Director's Office, Office of Automation, and the Florida Master Site File.

- The **Director's Office** administers budgetary and fiscal programs, maintains human resources records, and fulfills administrative responsibilities of the Division.

The Office of Executive Direction and Support
(850) 245-6300, FAX (850) 245-6435

- The **Office of Automation** is responsible for the Division-wide Automation project, the Web Development Office, the development of the DHR Cultural Resource Management Standards and Operational Manual, and oversight and development of other projects as necessary.

Office of Automation Program Supervisor:
Wm. Brian Yates, Office Automation Analyst (850) 245-6372,
FAX (850) 245-6435, byates@dos.state.fl.us

- The **Florida Master Site File (FMSF)** is a paper file archive and computer database of all known historical resources and archaeological sites in Florida. The major objectives of the FMSF office are the maintenance of cultural resource data and the distribution of timely and accurate information to cultural resource managers, researchers, land managers, developers, and preservationists. It also serves the in-house needs of the DHR and other state agencies in the preparation of planning studies and analyses. The functions of the FMSF office are detailed in Module Four.

Florida Master Site File

Marion F. Smith, Jr., Data Base Administrator and Site File Supervisor (850) 245-6440, FAX (850) 245-6439, msmith@dos.state.fl.us

4.0 APPENDICES

APPENDIX A: LIST OF ACRONYMS AND ABBREVIATIONS

ACHP	Advisory Council on Historic Preservation
ACOE	Army Corps of Engineers
AHPA	Archaeological and Historic Preservation Act
AIRFA	American Indian Religious Freedom Act
APE	Area of Potential Effects
ARPA	Archaeological Resources Protection Act
BAR	Bureau of Archaeological Research
BHP	Bureau of Historic Preservation
BHM	Bureau of Historic Museums
BMIS	Bridge Management Inventory System
CARL	Conservation and Recreation Lands
CATEX	Categorical Exclusion (Also CE and CX)
CDBG	Community Development Block Grant
CEQ	Council on Environmental Quality
CFR	Code of Federal Regulations
CLG	Certified Local Government
CRAS	Cultural Resources Assessment Survey
CRATLOG	Cultural Resource Assessment Team's Logging Database
CRM	Cultural Resource Management
CRS	Compliance Review Section
CZMA	Coastal Zone Management Act
DCA	Department of Community Affairs
DEIS	Draft Environmental Impact Statement
DEP	Department of Environmental Protection
DHR	Division of Historical Resources
DME	District Medical Examiner
DOE	Determination of Eligibility
DRI	Development of Regional Impact
EA	Environmental Assessment
EDMS	Electronic Database Management System
EIS	Environmental Impact Statement
EO	Executive Order
F.A.C.	Florida Administrative Code
FCC	Federal Communications Commission
FCMP	Florida Coastal Management Program
FCT	Florida Communities Trust
FDOT	Florida Department of Transportation
FEIS	Final Environmental Impact Statement
FEMA	Federal Emergency Management Administration
FERC	Federal Energy Regulatory Commission
FHWA	Federal Highway Administration
F.I.N.D.	Florida Inland Navigational District
FLMNH	Florida Museum of Natural History
FMSF	Florida Master Site File
FONSI	Finding of No Significant Impact
FPO	Federal Preservation Officer
FQD	Florida Quality Development
FR	Federal Register
FRA	Federal Railroad Administration
FS	Field Specimen
F.S.	Florida Statute
FTA	Federal Transit Authority
GIS	Geographic Information System

GSA	General Services Administration
HABS	Historic American Buildings Survey
HAER	Historic American Engineering Record
HPZ	High Probability Zone
HUD	Housing and Urban Development (U.S. Department of)
LGCP	Local Government Comprehensive Plan
LPZ	Low Probability Zone
LWCF	Land and Water Conservation Fund
MNI	Minimum Number of Individuals
MOA	Memorandum of Agreement
MPS	Multiple Property Submission
MPZ	Medium Probability Zone
NAE	No Adverse Effect
NAGPRA	Native American Graves Protection and Repatriation Act
NEPA	National Environmental Policy Act
NHL	National Historic Landmark
NHPA	National Historic Preservation Act
NOAA	National Oceanic and Atmospheric Administration
NPS	National Park Service
NRHP	National Register of Historic Places
NTA	National Transit Authority
OCRM	Ocean and Coastal Resource Management
OEDS	
PA	Programmatic Agreement
PL	Public Law
PSIQ	Preliminary Site Information Questionnaire
QE2	Query Engine II
RAI	Request for Additional Information
ROD	Record of Decision
RPC	Regional Planning Council
SHPO	State Historic Preservation Officer
SIA	Structural Inventory Assessment
SOP	Standard Operating Procedure
TCP	Traditional Cultural Property
THPO	Tribal Historic Preservation Officer
TRS	Township, Range and Section
USDA	U.S. Department of Agriculture
USGS	U.S. Geological Survey
WMD	Water Management District
ZAP	Zone of Archaeological Potential

APPENDIX B: GLOSSARY

Adverse Effect: An undertaking is considered to have an adverse effect on a historic property when it may diminish the integrity of the property's location, design, setting, materials, workmanship, or association that contributes to the property's qualification for the National Register of Historic Places (NRHP).

Advisory Council on Historic Preservation (ACHP, or the Council): An independent agency of the U.S. government whose members are charged with advising the President and the Congress on matters relating to historic preservation; recommending measures to coordinate activities of federal, state, and local agencies and private institutions and individuals relating to historic preservation; and advising on the dissemination of information pertaining to such activities. The Council reviews the policies and programs of federal agencies in regard to compliance with the National Historic Preservation Act of 1966 (NHPA), as amended.

Agreement Documents: Legal documents resulting from Section 106 consultation that obligate the signing parties to fulfill their Section 106 responsibilities by carrying out its terms. Three kinds of agreement documents include Agreement-based Determinations of No Adverse Effect, Memorandum of Agreement, and Programmatic Agreements.

Archaeological Occurrence:

Archaeological Resources: The locations of prehistoric or historic occupations or activities that can be used to reconstruct the lifeways of cultures of the past. They may range from a single artifact to the extensive ruins of a historic military fortification.

Area of Potential Effect (APE): The geographic area or areas within which an undertaking may cause changes in the character or use of cultural resources, if any such resources exist. The "APE" always includes the actual site of the undertaking, and may also include other areas where the undertaking will cause changes in land use, traffic patterns, or other aspects that could affect cultural resources.

Artifact: An object made or modified by humans.

Avoidance: Active attempts to deflect harm to cultural resources by partial or complete project redesign or relocation.

Categorical Exclusion (CATEX or CX or CE): A type of action that is categorically excluded from preparation of an Environmental Assessment (EA) or Environmental Impact Statement (EIS) under the National Environmental Policy Act (NEPA) because it has been determined, as a category, to have little potential for effect.

Certified Local Government (CLG): As defined in 36 CFR Part 61.2, a local government (municipality, city, county, etc.) that has been certified to carry out the purpose of the NHPA of 1966, as amended, in accordance with Section 101(c).

Change of Status: An important change in the physical condition or integrity of a NRHP-listed cultural resource, which could affect its listing.

Chapter 267, Florida Statutes: The state law that establishes the Florida Division of Historical Resources and defines state policy towards cultural resources and historic preservation. It also creates the Florida Historical Commission and the Florida Folklife Council. Also known as the **Florida Historical Resources Act**.

Code of Federal Regulations (CFR): A series published by the federal government that contains codification of the general and permanent rules published by agencies of the Federal government.

Collection: Any material remains that are excavated or removed during a survey, excavation, or other study of a prehistoric or historic resource, and associated records prepared or assembled in connection with the survey, excavation, or study.

Consultation: The process used to obtain the views or advise of parties concerned with the management of cultural resources. Examples of the types of parties who might be contacted in the consultation process are the Advisory Council on Historic Preservation; the State Historic Preservation Officer; other federal, state, local, or tribal government officials; members of the public; and Native Americans.

Contributing Context: An organizational format that groups information about related cultural resources, based on a theme, geographical area or cultural landscape, and chronological period. A cultural context describes one or more aspects of the cultural development of an area and identifies the significant human behavior patterns that individual cultural resources represent.

Contributing Resource: A building, site, structure, or object that adds to the historic significance of a property.

Council on Environmental Quality (CEQ): The federal entity that is responsible for the formulation of regulations, guidelines and policies relative to NEPA.

Cultural Resource: An archaeological site or historic building, site, structure, object, or district. Other cultural resource types include social institutions, beliefs, lifeways and other culturally valued aspects of the physical and social environment. Cultural resource is not the same as “historic property;” i.e., not all cultural resources are eligible for the NRHP.

Cultural Resources Assessment Survey (CRAS): The process of identification, documentation, and evaluation of historical, archaeological, architectural, and traditional cultural properties.

Cultural Resource Management (CRM): The management of historic properties and other valued aspects of the physical and social environment, and of the impacts they experience.

Cumulative impact: The impact on the environment that results from the incremental impact of the action when added to other past, present, and reasonably foreseeable future actions. Cumulative impacts can result from individually minor but collectively significant actions taking place over a period of time.

Curation: The management and care of collections according to common, professional museum practices, including, but not limited to: (1) inventorying, accessioning, labeling and cataloging collections; (2) identifying, evaluating and documenting collections; (3) storing and maintaining collections under appropriate environmental conditions and physically secure controls; (4) periodically inspecting collections and taking any necessary actions as may be necessary to preserve them; (5) providing access to and facilities for studying collections; and (6) cleaning, stabilizing and conserving collections.

Debitage: Pieces of chipped stone debris resulting from the manufacture and modification of stone tools. Also referred to as **waste flakes**.

Determination of Eligibility: The identification and evaluation of the eligibility of a resource for inclusion in the NRHP.

Direct effects: Effects which are caused by the action and which occur at the same time and place.

District: A geographically definable area possessing a significant concentration, linkage, or continuity of sites, buildings, structures, or objects united historically or aesthetically by plan or physical development. A district may also comprise individual elements separated geographically but linked by association or history.

Effect: An undertaking has an effect, either harmful or beneficial, on a cultural resource when the undertaking may alter characteristics of the resource that may qualify it for inclusion in the NRHP.

Eligible Resource: A cultural resource that has been determined eligible for NRHP listing by the Secretary of the Interior, or one that has not yet gone through the formal eligibility determination process but which meets the NRHP Criteria of Eligibility. For Section 106 purposes, an “eligible” resource is treated in the same manner as a listed resource.

Environmental Assessment (EA): A document completed under the requirements of NEPA in order to decide whether an action is a major federal action significantly affecting the quality of the human environment.

Environmental Impact Statement (EIS): A document completed under the requirements of NEPA to assess alternatives for implementing a major federal action significantly affecting the human environment. The Final EIS (FEIS) responds to and incorporates agency and public comments and recommendations.

Evaluation: The process of determining the eligibility of a cultural resource for listing in the NRHP.

Finding of No Significant Impact (FONSI): A document completed and filed upon reaching the decision, based on an Environmental Assessment, that the proposed action is not a major federal action significantly affecting the quality of the human environment.

Florida Historical Resources Act: The state law that establishes the Florida Division of Historical Resources and defines state policy for cultural resources and historic preservation. It also creates the Florida Historical Commission and the Florida Folklife Council. Also known as **Chapter 267, Florida Statutes**.

Florida Master Site File (FMSF): A comprehensive listing of recorded cultural resources in Florida, including archaeological sites, historic structures, bridges, and cemeteries. Some of its records are for resources that no longer exist.

Geographic Information Systems (GIS): A computer system capable of assembling, storing, manipulating, and displaying geographically- or spatially-referenced information (i.e., data identified according to their locations).

Historic: The period after the advent of written history in a geographic region. In Florida, the historic period began in the early 1500s with the arrival of Europeans. For the recording of sites, buildings, structures, objects, and districts, historic is defined as 50 years of age or older.

Historic American Buildings Survey (HABS): A program of the National Park Service that identifies and records buildings significant in American architecture.

Historic American Engineering Record (HAER): A program of the National Park Service that identifies and records significant American engineering and industrial sites and structures.

Historic Preservation: The management of historic properties and impacts upon them.

Historic Property: Any prehistoric or historic district, site, building, structure, or object that is included in, or eligible for inclusion in, the NRHP. This term includes artifacts, records, and remains that are related to and located within such properties, as well as properties of traditional religious and cultural importance to an Indian tribe or Native Hawaiian organization and that meet the National Register criteria.

Historic Structures: Cultural resources including bridges, residences, commercial buildings, constructed features, etc. which, with few exceptions, are at least 50 years old.

Identification: The inventory of all cultural resources within a project area of potential effects. This is accomplished through archaeological and historic structures surveys.

Indirect effects: Effects caused by the action that are later in time or farther removed in distance, but are still reasonably foreseeable. Indirect effects may include growth inducing effects and other effects related to induced changes in the pattern of land use, population density or growth rate, and related effects on air and water and other natural systems.

Integrity: The authenticity of a cultural resource's identity, evidenced by the survival of physical characteristics that existed during the resource's historic or prehistoric period. The seven aspects of integrity are location, design, setting, materials, workmanship, feeling, and association.

Isolated Find: An artifact found in a river bottom that has become displaced from its original archaeological context through erosion or water currents, thus losing part of its archaeological significance.

Lithics: Stone tools and the debris (debitage or waste flakes) created in the process of tool manufacture/modification.

Memorandum of Agreement (MOA): An accord that is prepared when an undertaking will have adverse effects on cultural resources, and the consulting parties agree on ways to reduce, avoid, minimize or mitigate such effects. A three-party MOA is signed by the federal agency, the SHPO, and the Advisory Council; a two-party MOA is when the Advisory Council has not been involved in the consultation but receives the MOA after the federal agency has prepared it.

Mitigation: Any actions that reduce or compensate for the damage an undertaking may have on an NRHP-listed or eligible property. Mitigation of impacts or adverse effects may include project redesign or relocation, data recovery and documentation.

Monitoring: Periodic or continuous inspection of cultural resources to ascertain their condition and assess the effects of natural forces, authorized actions, or illegal acts.

Multiple Property Submission (MPS): A report nominating a group of historic properties related by a common theme, geographical area, and period of time for inclusion in the NRHP. Properties in a MPS, unlike those in a NRHP district, do not need to be contiguous.

National Environmental Policy Act (NEPA): The federal law that establishes the U.S. government policy towards the environment. NEPA's fundamental policy is to "encourage productive and enjoyable harmony between man and his environment." Federal agencies are required to assess the environmental impacts of their proposed actions. Preparation of an Environmental Assessment (EA) may precede preparation of an Environmental Impact Statement (EIS), to determine whether a proposed action may "significantly affect" the quality of the Human Environment. The EA either will support a finding of no significant impact (FONSI), or will document the need for an EIS. When an EIS is prepared, agencies are required to identify an environmentally preferable alternative in the record of decision (ROD). The Council on Environmental Quality's (CEQ) implementing regulations define "effects" or "impacts" to include "ecological . . . aesthetic, historic, cultural, economic, social or health, whether direct, indirect or cumulative" (40 CFR 1508.8).

National Historic Landmark (NHL): A historic property evaluated and found to have significance at the national level and designated as such by the Secretary of the Interior.

National Historic Preservation Act (NHPA): The federal law that defines the U.S. historic preservation program, including the Advisory Council on Historic Preservation, the NRHP, and Section 106 review.

National Register of Historic Places (NRHP): The national list of districts, sites, buildings, structures, and objects significant in American history, architecture, archaeology, engineering, or culture. It is maintained by the National Park Service on behalf of the Secretary of the Interior under authority of Section 101(a) of the NHPA, as amended. Properties listed may be significant at the national, state, or local level.

Native American: Of, or relating to, a tribe, people, or culture that is indigenous to the United States.

Native American Cultural Items: Under the Native American Graves Protection and Repatriation Act (NAGPRA), Native American cultural items include human remains of deceased Native Americans, associated and unassociated funerary objects, objects sacred to a Native American group, and objects of cultural patrimony.

No Adverse Effect: An undertaking has an effect on a historic property, but the effect would not be harmful to those characteristics that qualify the resource for inclusion in the NRHP.

No Effect: An undertaking has no effect of any kind (neither harmful nor beneficial) on a resource that is eligible for inclusion in the NRHP.

Non-Contributing Resource: A building, site, structure, or object that does not add to the historic significance of a property.

Object: A material thing of functional, aesthetic, cultural, historical, or scientific value that may be, by nature or design, movable yet related to a specific setting or environment.

Outreach: Activities designed to inform and educate the public about cultural resources and cultural resource management.

Precontact: Time prior to the arrival of Europeans in a region.

Prehistoric: The period of time before the advent of written history in a geographic region. In Florida, this is the time before the arrival of Europeans.

Phase I: The first stage in the archaeological (and historical) survey process which entails a “good faith effort” to identify cultural resources within an undertaking’s area of potential effects.

Phase II: In the archaeological site identification and evaluation process, Phase II focuses on the determination of site significance in terms of eligibility for listing in the NRHP. This process usually involves limited test excavation.

Phase III: In the archaeological site identification and evaluation process, Phase III focuses on mitigating the adverse effects of an undertaking to NRHP-eligible sites through excavation and data recovery.

Preliminary Site Information Questionnaire (PSIQ): An initial evaluation of a property that the property owner(s), interested individuals, municipalities or organizations would like to have listed in the NRHP.

Principal Investigator: A qualified cultural resource professional responsible for the design and implementation of a cultural resources study.

Programmatic Agreement: A type of agreement document which sets forth means by which a whole federal agency program, or a large and complicated undertaking, will comply with Section 106 of the NHPA via an alternative to the standard process set forth in 36 CFR Part 800.

Protection: The act or process of applying measures designed to affect the physical condition of a property by defending or guarding it from deterioration, loss, or attack, or to cover or shield the property from danger or injury. In the case of buildings and structures, such treatment is generally of a temporary nature and anticipates future historic preservation treatment; in the case of archaeological sites, the protective measure may be temporary or permanent.

Protohistoric: The time of transition between the prehistoric and historic periods, after the advent of written history in a geographic region, but before all groups have entered the historic period.

Provenience: The origin of or the position of an archaeological find in time and space.

Reconnaissance Survey: (1) Small-scale archival or field research, designed to provide a general impression of an area's architectural, archaeological, and historic properties and their values, but not designed to produce a level of documentation sufficient to nominate a property to the NRHP or determine its eligibility for listing. (2) An examination of all or part of an area accomplished in sufficient detail to make generalizations about the types and distributions of historic properties that may be present.

Reconstruction: The act or process of reproducing by new construction the exact form and detail of a vanished building, structure, or object, or part thereof, as it appeared at a specific period of time.

Record of Decision (ROD): The document filed upon reaching a decision about a project on which an Environmental Impact Statement (EIS) has been prepared. The ROD is issued after the final EIS has been completed and analyzed by the decision-maker.

Rehabilitation: The act or process of returning a property to a state of utility through repair or alteration which makes possible an efficient contemporary use while preserving those portions or features of the property which are significant to its historical, architectural, and cultural values.

Repository: A facility such as a museum, archaeological center, laboratory or storage facility managed by a university, college, museum, other educational or scientific institution, a federal, state, or local government agency or Indian tribe that can provide professional, systematic and accountable curatorial services on a long term basis.

Research Design: A statement of proposed identification, documentation, investigation, or other treatment of a historic property that identifies the project's goals, methods, and techniques, expected results, and the relationship of the expected results to other proposed activities or treatments.

Resource Group: A collection of historic or archaeological resources or both, or a building complex, that possesses a significant concentration, linkage, or continuity of sites, buildings, structures, or objects united historically or aesthetically by plan or physical development. Each individual resource does not have to be significant, and a resource group typically contains both contributing and non-contributing resources.

Restoration: The act or process of accurately recovering the form and details of a property and its setting as it appeared at a particular period of time by means of the removal of later work or by the replacement of missing earlier work.

Rural historic landscape: A geographic area that historically has been shaped or modified by human activity, occupancy, or intervention, and that possesses a significant concentration, linkage, or continuity of areas of land use, vegetation, buildings and structures, roads and waterways, and natural features.

Scoping: In the NEPA process, determining what the scope of an EA or EIS will be, based on background research, consultation, and public comment.

Secretary's Standards and Guidelines: (48FR44716-44742) The *Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation* provide technical information about archaeological and historic preservation activities and methods. The *Standards and Guidelines* are prepared under the authority of Section 101(f), (g), and (h), and Section 110 of the NHPA, as amended.

Section 106: The portion of the NHPA that requires federal agencies to consider the effects of their undertakings on cultural resources. The head of any such federal agency is directed to afford the Advisory Council on Historic Preservation a reasonable opportunity to comment with regard to such undertakings. Impact assessment under Section 106 and its regulations, 36 CFR 800, is referred to as the "Section 106 process."

Section 110: The portion of the NHPA that spells out the affirmative responsibilities of federal agencies for dealing with historic properties, above and beyond the agencies' Section 106 responsibilities. Section 110(a)(1) stipulates that is the federal agencies' responsibility to preserve and use historic buildings; Section 110(a)(2) states that each federal agency shall establish a preservation program.

Shovel Tests: Excavation units, usually 0.5m in diameter by at least 1m deep (deeper when soil development conditions indicate potential for deeply buried anthrosols such as alluvium or wash), used to discover buried archaeological sites and also used to sample or probe a site before large-scale excavation.

Significant: A prehistoric or historic district, site, building, structure, or object meeting one or more of the Criteria for Evaluation used in considering NRHP eligibility. Significance is achieved through association with events or important persons, distinctive physical characteristics, or the potential to yield important information. The National Register regulations, 36 CFR 60, note that significance is found in properties that have "integrity of location, design, setting, materials, workmanship, feeling, and association."

Site: The location of a significant event, a prehistoric or historic occupation or activity, or a building or structure, whether standing, ruined, or vanished, where the location itself possesses historic, cultural, or archaeological value. Examples include battlefields, campsites and shipwrecks.

Stabilization: The act or process of applying measures designed to reestablish a weather resistant enclosure and the structural stability of an unsafe or deteriorated property while maintaining the essential form, as it exists at present.

State Historic Preservation Officer (SHPO): The official appointed or designated by the Governor of each state pursuant to Section 101(b)(1) of the NHPA to administer the state historic preservation program or a representative designated to act for the SHPO. The SHPO consults with federal and state agencies during Section 106 review, reviews NRHP nominations, and maintains file data on cultural resources.

Structure: The term "structure" is used to distinguish from "buildings" those functional constructions made usually for purposes other than creating human shelter.

Sunshine Law: The state law that requires any records made or received by any public agency in the course of its official business to be available for inspection, unless specifically exempted by the Legislature. It is found in Chapters 119 and 286 of the Florida Statutes.

Township, Range and Section (TRS): A method for locating a piece of property and recording its legal survey description using baselines and principal meridians established by surveyors as points of reference. The baseline is the reference for measuring north or south townships, while the principal meridian is the reference for measuring east or west ranges. A single township and range generally consists of 36 sections arranged in a six

by six array, measuring six miles by six miles. Each section is generally one mile by one mile, each containing 640 acres, though many sections are irregular.

Traditional Cultural Properties (TCP): Properties associated with cultural practices or beliefs of a living community. These practices or beliefs must be rooted in that community's history and be important in maintaining the continuing cultural identity of the community.

Undertaking: Under the NHPA, a federal action that is subject to Section 106 review. It is intended to include any project, activity, or program that can result in changes in the character or use of historic properties, if any such historic properties are located in the area of potential effects. The project, activity, or program must be under direct or indirect jurisdiction of a federal agency or licensed or assisted by a federal agency. Undertakings include new and continuing projects, activities, or programs and any of their elements not previously considered under Section 106.

United States Geological Survey (USGS): A bureau of the Department of the Interior that collects, monitors, analyzes, and provides scientific understanding about natural resource conditions, issues, and problems. USGS also produces topographic maps that are used in the recording of cultural resources.

ZAPs: Low, Medium, and High: Zones of Archaeological Potential; that is, areas of differential archaeological site location expectancy.