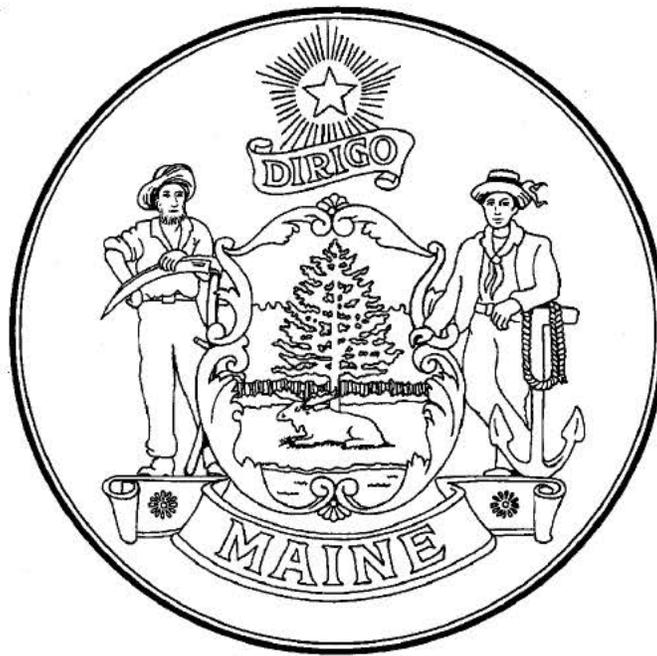


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PROGRAM EVALUATION REPORT

MAINE HISTORIC PRESERVATION COMMISSION

Submitted to the

**Joint Standing Committee on
Education and Cultural Affairs**

In accordance with the
State Government Evaluation Act

November, 2015

**Maine Historic Preservation Commission
Program Evaluation Report**

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Introduction

In 1971, the Legislature established the Maine Historic Preservation Commission to carry out the State's policy "to preserve the architectural, historic and environmental heritage of the people of the State, and to develop and promote the cultural, educational and economic benefits of these resources...." This work brings the Commission into contact and partnership with many different kinds of projects, people, and organizations. The work is varied, closely regulated, and involves the cooperation of multiple entities. In the flow of reporting and the recording of detail, it is often easy to lose track of the accomplishments that months, sometimes years, of work have brought to a beneficial conclusion. In light of that, the following paragraphs describe selected preservation accomplishments from the past several years:

Portland Glassworks Archaeological Survey, 2014

The Portland Glassworks was in operation from 1865 to 1875 on a site along Portland's waterfront that was also adjacent to the former Cumberland & Oxford Canal. After its closure, the glassworks site became a railroad yard, a function that it retained through much of the 20th century. Although the site has long been recognized for its archaeological potential, it has been inaccessible for testing. However, recent discussions with the new owner led to an archaeological survey funded by the Commission that has yielded important information about the layout of the buildings and the products produced by the company.

Building 178, Portsmouth Naval Shipyard, Kittery, 2013

Initially constructed in 1939-41 and then enlarged in 1942-44 and again in 1960-61, Building 178 was the Submarine Assembly/Covered Building Ways at the Portsmouth Naval Shipyard. Approximately 50 percent of all the U.S. submarines used in World War II were built at Portsmouth, and Building 178 was the facility in which those vessels were assembled. Thus, it is a building with significant historic associations. Several years ago, Portsmouth proposed to demolish Building 178 and convert the site into green space and a detention pond. However, spurred in part by the Section 106 consultation process and the Maine SHPO's objection to demolition, Portsmouth developed a plan to rehabilitate the long under-used building as a waterfront storage facility for submarine components. The Navy subsequently funded the project, which commenced in 2013.

Swan Island Advisory Group, 2012

Swan Island, also known as the Steve Powell Wildlife Management Area, is owned and managed by the Maine Department of Inland Fisheries & Wildlife (MDIFW). Formerly known as Perkins Township, the island was permanently settled in the mid-18th century, developed into a small community in the 19th century, and was abandoned by the 1930s. The entire island is listed in the National Register of Historic Places for its architectural, agricultural, industrial, and archaeological significance.

The Swan Island Advisory Group was created by the Maine Legislature to offer guidance and support to MDIFW staff for improving the educational opportunities, condition of the historic features, and overall user experience on the island. The Maine Historic Preservation Commission is a member of the Group. Working with the non-profit Friends of Swan Island, the Group applied for and received two grants to help preserve, restore and interpret the historic structures on the island. The first, from the Davis Family Foundation (\$12,500), was used to repair the center chimney base and first floor structural system at the c.1800 Tubbs-Reed House. The building is now periodically open to the public. The second grant, from the Merrymeeting Bay Trust (\$10,000), funded the creation and installation of ten signs relating the history of the island and the remaining five domestic complexes. In addition to these activities, the Group formed a panel of external, professional advisors in the areas of cultural landscape documentation, preservation planning and preservation architecture, to assist in the development of a long term plan for the island.

Congress Street Historic District, 2010

In May of 2010, the Congress Street Historic District in Portland was certified by the Secretary of the Interior for purposes of the Tax Reform Act of 1986. The district encompasses the largest thoroughfare in Maine's largest city, and contains a number of properties previously listed in the National Register of Historic Places, as well as one National Historic Landmark and a total of 146 contributing resources. Certification capped an effort by the City's Historic Preservation Board and local preservation advocates over a period of several years to both locally designate the district and enable property owners to qualify for federal and state rehabilitation tax credits. Several rehabilitation projects using the credits have already been initiated in the district.

Belvedere Historic Preservation Grant Program, 2009

For the second year, the Commission partnered with the Maine Community Foundation in the implementation of its Belvedere Historic Preservation Grant program. The Belvedere Fund is a source of grants to support the preservation or restoration of historic buildings with a focus on Washington and Hancock Counties but also in under-resourced rural communities in other parts of the state. Commission staff work closely with the Foundation to develop the application materials and to review grant requests. The Commission also provides technical preservation assistance in the administration of the grants, and receives covenants on the properties.

1. **Enabling or authorizing law, including any federal mandates.**

Enabling Legislation

Title 27 – Maine Revised Statutes

Chapter 17 Maine Historic Preservation Commission

Chapter 13 Antiquities Act

National Historic Preservation Act of 1966 (as amended 2000)

The Maine Historic Preservation Commission operates under and complies with many other regulations while doing business; these include but are not limited to:

Title IV of the Civil Rights Act of 1964

Title IX of the Education Amendments of 1975

The Age Discrimination Act of 1975

18 U.S.C. Sec. 1913, which regulates lobbying with appropriated money

Hatch Act (5 U.S.C. Sec. 1501-1508 and 7324-7328), which limits political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

OMB Circulars A-102, A-128 and A-110

Equal Pay Act of 1963

Title 27, Chapter 17 – Establishes the function of the Commission. Establishes the number of Commission members and what their areas of specialty shall be; their terms of service; and their duties in relation to administration, programs, and rules. Establishes the position of Director, along with the duties and expectations attached to that position. Establishes a program in support of state rehabilitation tax credits for income-producing historic structures pursuant to Title 36, section 5219-BB.

Title 27, Chapter 13 – Establishes the Maine Historic Preservation Commission's duties and rights to issue permits to excavate protected archaeological sites, to consult with federally recognized Indian tribes, and to protect site location information.

Summary of the National Historic Preservation Act of 1966

The National Historic Preservation Act of 1966 defines the need for preservation and the policy of the Federal Government. This Act provides for the expansion and maintenance of the National Register of Historic Places and gives criteria for National Register and National Historic Landmarks and related rules and regulations. It covers State programs and the rules and regulations that govern those programs as well as grant monies that are available to States and other entities as well as the rules and regulations for those grants. This Act also includes archeological excavations and artifacts, prevention of illegal trafficking in artifacts, and the establishment of an Advisory Council on Historic Preservation at the federal level. It also covers the national initiative to coordinate and promote research, distribute information and provide training about preservation skills and technologies.

2. Comparison of agency-relevant federal laws/rules and state laws/agency rules.

Under Maine law, the Maine Historic Preservation Commission's function is to preserve the architectural, historic and environmental heritage of the people of the State, and to develop and promote the cultural, educational and economic benefits of these resources. Specifically, the work of the Commission supports stabilization and restoration of unique historic structures, in the form of matching grants, which meet the conditions of this law. Beyond this, the Commission is authorized to hold hearings, enter into contracts for cooperative endeavors, accept gifts, etc., and may establish an endowment fund. The State Historic Preservation Officer may make rules to enable the State to comply with laws of the United States intended to promote public historic preservation services. Maine law supports and gives authority to the Commission in its function as the State's authority on preservation and as custodian of historic resources for the people of Maine. Maine law also confers the ability to accept Federal funds and to act on behalf of the State in matters related to Federal laws. Maine law enables the Commission to carry out the Federal regulations in the areas of historic preservation.

Federal laws establish the need for historic preservation and the Federal Government's role in regulating and assisting States in the preservation process. The Maine Historic Preservation Commission is not only answerable to the National Historic Preservation Act of 1966, as amended, but is also responsible to comply with at least 26 laws regulating specific and general areas of preservation (such as marine sanctuaries, coastal zone management, public buildings, historic sites, American Indians, environmental policy, transportation, etc.), and also responsible to adhere to selected regulations from the Code of Federal Regulations, Executive Orders, and Selected Standards. Federal laws guide the work of the Commission in all the specifications of each Act. Federal law also allows the State Historic Preservation Officer to accept monies for the work of preservation in the form of Federal grants, enter into contracts on behalf of the State, and engage in the work of historic preservation as specified under the various acts.

3. Detailed performance assessment of each program administered by the agency.

The Maine Historic Preservation Commission is responsible for administering the program of the National Historic Preservation Act of 1966, which involves the identification, evaluation, and protection of Maine's significant cultural resources on behalf of the people of Maine.

The following section summarizes the primary activities carried out by the Commission to implement the above program.

National Register of Historic Places

The National Register of Historic Places (Register) is the official Federal list of districts, sites, buildings, structures, and objects significant in American history, architecture, archeology, engineering, and culture. These properties help us to understand the historical and cultural foundations of the Nation. At present, more than 1,400 individual properties and 179 historic districts are listed in the National Register. These figures include 44 National Historic Landmarks, 18 vessels, 15 historic archaeological sites, and 113 prehistoric archaeological sites.

Survey and Inventory

Survey is activity directly pertinent to the location, identification, and evaluation of historic and archaeological resources. Inventory activity relates to the maintenance and use of previously gathered information on the absence or presence of historic and archaeological resources in the state.

The Maine Historic Resources Inventory, which was created in the early 1970s, presently contains records relating to more than 6,300 prehistoric archaeological sites, 4,600 historic archaeological sites, and 52,000 historic buildings, structures and objects. Some level of survey activity has been undertaken in 540 of the 597 organized cities, towns and plantations, and in 62 of the 425 townships or unorganized territories.

Survey records exist in paper format on file at the Commission where they are used on a daily basis by the staff, the public and qualified researchers. Archaeological survey records also exist in various digital formats, including GIS mapping used on a daily basis by staff. Access to archaeological survey records is restricted by rule (089 Chapter 812) to protect private property and archaeological sites from looting. Information from archaeological survey records is delivered to approved archaeologists, researchers, and members of the public on a need-to-know basis, mostly in digital format in response to email or other inquiries. In 2010, the Cultural Architectural Resources Management Archive (CARMA) became operational. Developed in consultation with and funded by the Maine Department of Transportation, CARMA is a web-based survey application for above ground resources. Any member of the public can access CARMA through the Commission's website, pull up a map of any given town that shows the location of surveyed properties, and obtain a copy of the related survey form. Individuals that have been trained by Commission staff can add survey information to CARMA.

Review and Compliance

Review and compliance refers to activities that advise and assist public (Federal, State, and local government) agencies in carrying out their historic preservation responsibilities broadly described and established under Sections 106 and 110 of the National Historic Preservation Act, as amended, and implemented through 36 CFR 60, 61, 63, and 800; as well as in other Federal historic preservation-related law. State and local government responsibilities are those

established in specific State or local legal and regulatory mandates which parallel in intent and objective the Federal laws cited above.

Unless previously exempted through programmatic agreements, all federally funded, licensed or permitted undertakings are subject to the provisions of Section 106. This means that a Federal agency must take into account the effects of its undertakings on historic properties, and must develop and evaluate alternatives or modifications to those undertakings that could avoid, minimize or mitigate adverse effects on historic properties.

Over the past seven years, the Commission has reviewed, on average, about 2,000 Federal undertakings annually. During that same period, we have provided more than 100 advisory comments annually to State agencies and municipalities, including the Maine Department of Environmental Protection and the Land Use Planning Commission.

Development/Acquisition/Covenants

Development/Acquisition/Covenants describes activities that assist the material conservation, protection, and preservation (both physical and legal) of properties listed in the Register. They include activities to acquire, preserve, stabilize, rehabilitate, restore, and reconstruct historic resources. This also includes “non-construction” activities such as technical assistance and monitoring of existing covenants relating to development or acquisition projects.

Although the Commission does not acquire or manage historic properties, when funding is available it does offer preservation or restoration grants to non-profit organizations and municipalities. Since 2007, such grants have been supported with State funds (general fund appropriation and bond) through the New Century Community Program, as well as through the Commission’s annual Historic Preservation Fund apportionment from the National Park Service.

Each development grant is awarded on condition that the work meets the *Secretary of the Interior’s Standards for the Treatment of Historic Properties*, and that a grantee enters into a legal agreement with the Commission to ensure that the property is maintained and made accessible to the public for a set term (typically 5-20 years). In addition, the Commission has the authority to review and approve any future work on the property during the term of that agreement.

The Commission also holds covenants in perpetuity on historic properties that have been transferred out of Federal ownership. These include a former customhouse, a post office, and 30 lighthouses.

Preservation Tax Incentives

The U.S. Internal Revenue Code provides incentives for historic preservation. These incentives include a tax credit for any rehabilitation project which the Secretary of the Interior

designates as a “certified rehabilitation” of a “certified historic structure.” State historic preservation offices, such as the Maine Historic Preservation Commission, assist owners to qualify for the credit by nominating properties to the Register, providing technical assistance, and reviewing and commenting on tax credit applications.

The provisions of LD 262, An Act to Amend the Credit for Rehabilitation of Historic Properties, were incorporated into the supplemental state budget and signed into law on March 31, 2008. The law, 27 M.R.S.A. §511, went into effect on July 1, 2008. 27 M.R.S.A. §511 instructs the Director of the Maine Historic Preservation Commission to administer, in consultation with the Department of Administrative and Financial Services, Bureau of Revenue Services, a program in support of state rehabilitation tax credits for income-producing historic structures pursuant to 36 M.R.S.A. §5219-BB.

36 M.R.S.A. §5219-BB.2.A establishes a 25% State tax credit for rehabilitations that also qualify for a 20% Federal tax credit. Such rehabilitations must meet all the requirements of the Federal Tax Incentive Program, including certification by the National Park Service. 36 M.R.S.A. §5219-BB.2.B establishes a 25% State tax credit for rehabilitations in which qualified rehabilitation expenditures of between \$50,000 and \$250,000 are incurred, and which cannot utilize the Federal credit (the Small Project Rehabilitation Credit). These rehabilitations are reviewed and certified only by the Director of the Commission. The 25% State tax credits allowed pursuant to 36 M.R.S.A. §5219-BB.2.A and B are increased to 30% pursuant to 36 M.R.S.A. §5219-BB.3 if the project meets certain affordable housing requirements.

Since the state historic rehabilitation credit was amended in 2008, 60 projects totaling nearly \$300 million dollars in private investment have been certified by the National Park Service. In contrast, during the previous ten years when only the federal credit was available, 33 projects with approximately \$67 million dollars in investment were certified.

Certified Local Governments

The purpose of the Certified Local Governments (CLG) activity is to: (1) to ensure the broadest possible participation of local governments in the national historic preservation program while maintaining standards consistent with the National Historic Preservation Act, and the Secretary of the Interior’s “Standards and Guidelines for Archeology and Historic Preservation;” (2) to enrich, develop, and help maintain local historic preservation programs in cooperation and coordination with the State Historic Preservation Office; and (3) to provide financial and technical assistance to further these purposes.

The Commission is required by the National Historic Preservation Act to annually award 10% of its Federal funding to Maine municipalities that are designated as Certified Local Governments. CLG grants may be used to pay for professionally developed assessments, plans and specifications, as well as materials and labor in support of preservation, restoration, and rehabilitation activities that meet the *Secretary of the Interior’s Standards for the Treatment of*

Historic Properties. CLG grants may also be used for survey and inventory, planning, public education, and the preparation of nominations to the Register.

At present, there are 10 certified local governments in Maine: York, Kennebunk, Saco, Portland, Topsham, Lewiston, Gardiner, Castine, Hampden, and Bangor.

Historic Preservation Planning

Comprehensive Statewide Historic Preservation Planning is the rational, systematic process by which the State Historic Preservation Office (SHPO) develops a vision and goals for historic preservation throughout the state. The SHPO seeks to achieve that vision through its own actions and through influencing the actions of others. The vision and goals are based on analyses of resource data and user needs. The SHPO's statutory planning responsibility entails the organization of preservation activities (identification, evaluation, registration, and treatment of historic properties) into a logical interrelated sequence so that effective and efficient decisions and/or recommendations can be made concerning preservation in Maine.

The Commission has recently updated the statewide historic preservation plan, and will be submitting it to the National Park Service for review and comment in November of this year. The plan establishes four principal goals:

- Educate the public
- Establish new financial incentives to support historic preservation, and augment existing ones
- Provide additional technical assistance for preservation planning
- Expand the Maine Historic Resources Inventory and make it more accessible to the public

Each of the four goals noted above is accompanied by a number of strategies.

In addition to preparing the statewide historic preservation plan, the Commission provides historic and archaeological resource data to municipalities engaged in comprehensive planning at the local level. Over the past seven years we have provided data to 245 towns. Planning assistance is also provided through the CLG program, and in discussion with individuals and municipal officials interested in adding historic preservation provisions to local zoning regulations.

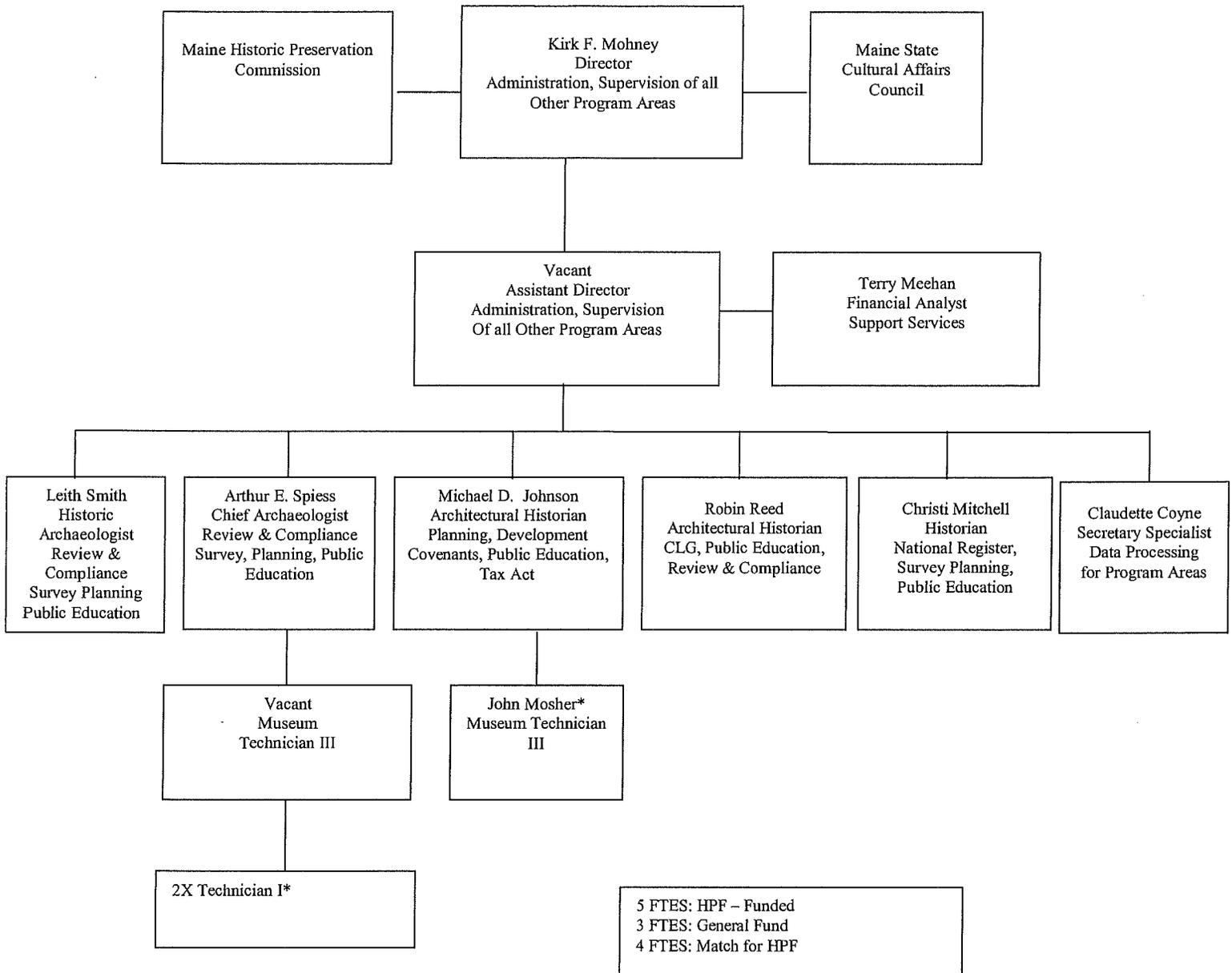
Public Education and Technical Assistance

In the past, the Commission has generally delivered public education about historic preservation in the form of lectures, publications, and participation in workshops. The Commission's former Director was particularly active in this area, delivering an average of more than 40 lectures annually and authoring numerous books about Maine history and architecture. However, as noted in the updated statewide historic preservation plan, the public is interested in

learning more about preservation in the state, and in utilizing social media to communicate that information.

Technical assistance is provided by Commission staff on a regular basis to a wide range of the public, from individual property owners to developers, as well as to representatives of municipal governments and State and Federal agencies.

4. Organizational structure, position count, job classes, organizational flow chart.



Maine Historic Preservation Commission

Job Classifications

Name/Title	State Classification
Kirk F. Mohney, Director	Public Services Exec. III (General Fund)
Terry Meehan Vacant, Assistant Director	Financial Analyst, GGSC, DAFS (Federal) Public Services Manager, II (Federal)
Leith Smith, Historic Archeologist	Historic Preservationist (Special Revenue)
A. Spiess, Chief Archaeologist	Chief Historic Preservationist (General Fund)
M. Johnson, Architectural Historian	Historic Preservationist (Federal)
R. Reed, Architectural Historian	Historic Preservationist (Federal)
C. Mitchell, Historian	Historic Preservationist (Federal)
C. Coyne, Secretary	Secretary Specialist (General Fund)
Vacant, Museum Technician III	Museum Technician III (Federal)
J. Mosher, Museum Technician III	Museum Technician III (Special Revenue)
2X Technician I	2X Technician I (Special Revenue)

5. Compliance with federal and state safety and health laws.

The Maine Historic Preservation Commission is a state agency that receives tax money appropriated by the Maine State Legislature as well as Federal grant monies. Therefore, the Historic Preservation Commission, and grant recipients, are contractually committed to abide by state and federal regulations and are mindful of those regulations in the performance of all areas of its endeavors. A summary of several important laws and/or policies follows:

People with Disabilities

Disability is defined as anyone who has a physical or mental impairment, which substantially limits one or more of such person's major life activities, has a record of such impairment, or is regarded as having such impairment.

Section 504 of the Rehabilitation Act of 1973, as amended provides that no otherwise qualified person with a disability in the United States, as defined in Section 7(6), shall, solely by reason of his or her disability, be excluded from participation in, be denied benefits of, or be subject to discrimination under any program or activity receiving federal assistance.

The Americans with Disabilities Act of 1991 extends protections of the Civil Rights Act of 1964 by prohibiting discrimination in employment based in disabilities, requiring places of public accommodation be accessible to people with disabilities, mandating gradual replacement of buses and railroad cars with equipment that can accommodate people with disabilities, and making telephone services available to people with hearing and speech impairments, nationwide.

Occupational Safety and Health Act of 1970

Section 5 states that each employer will furnish each employee a place of employment that is free from recognized hazards that are causing or are likely to cause death or serious physical harm to the employees; and each employer will comply with the occupational safety and health standards of this act. This section covers environmental hazards, ergonomics, as well as workplace violence.

The Maine Historic Preservation Commission has a written policy statement against sexual harassment.

Maine VDT Law

Title 26, Chapter 5, Subchapter 2-A establishes that employers shall educate and train all operators of video display terminals annually.

Drug Free Workplace

The Drug Free Workplace Act of 1988 requires that employees of the grantee not engage in the unlawful manufacture, dispensation, possession, or use of controlled substances in the grantee's workplace or work site.

6. 10-year financial summary.

	FY 15	FY14	FY13	FY12	FY11	FY10	FY09	FY08	FY07	FY06
General Fund	300,653	287,438	261,646	277,118	277,276	286,056	295,851	315,180	305,419	308,060
New Century General Fund	14,035	1,800	1,500	0	0	2,491	13,571	0	0	0
Total General Fund	314,688	289,238	263,146	277,118	277,276	288,547	309,422	315,180	305,419	308,060
Federal Fund	732,950	667,726	560,220	621,709	569,565	630,697	646,085	582,914	571,990	601,002
Special Revenue	265,780	238,064	293,845	303,115	280,239	329,719	333,317	339,600	368,195	368,734
Bond Fund	15,523	28,536	15,941	34,487	73,106	159,483	131,047	63,424	19,811	2,789
Total all Funds	<u>1,328,942</u>	<u>1,223,564</u>	<u>1,133,153</u>	<u>1,236,428</u>	<u>1,200,186</u>	<u>1,408,445</u>	<u>1,419,871</u>	<u>1,301,117</u>	<u>1,265,415</u>	<u>1,280,585</u>
Positions	FY 15	FY14	FY13	FY12	FY11	FY10	FY09	FY08	FY07	FY06
General Fund	3	3	3	3	3	3	3	3	3	3
Federal Fund	5	5	5	5	5	5	5	5	6	6
Special Revenue	4	4	4	4	4	4	4	4	3	3
Total	<u>12</u>									

7. **Regulatory agenda and summary of rules adopted.**

The Maine Historic Preservation Commission needs to review its rules pertaining to Maine Historic Restoration Standards (Chapter 810) and Historic Buildings Restoration Grants (Chapter 811), both of which were written in the late 1980s.

A summary of each of the Commission's existing rules follows:

Rules Adopted:

- 94 089 Chapter 100 – Rules for Implementing an Act to Preserve Maine's
Archaeological Heritage
Chapter 810 – Maine Historic Restoration Standards
Chapter 811 – Historic Buildings Restoration Grants
Chapter 812 – State Historic Preservation Officer's Standards for
Archaeological Work in Maine
Chapter 813 – Historic Rehabilitation Tax Credit
Chapter 815 – Historic Preservation Revolving Loan Fund

Summary of Rules Adopted:

**94 089 - Chapter 100 – Rules for Implementing an Act to Preserve Maine's
Archaeological Heritage**

These rules set forth the standards and procedures for access to records in the possession of the Maine Historic Preservation Commission, the State Maine State Museum, the Bureau of Parks and Lands and other State agencies or the University of Maine that contain information regarding the locations or other attributes of archaeological sites.

94 089 - Chapter 810 – Maine Historic Restoration Standards

The Maine Historic Restoration Standards were adopted to guide and govern owners of historic buildings and structures, and local historical commissions involved in the preservation, restoration, reconstruction, and rehabilitation of historic properties. These standards govern all projects funded by state grants administered by the Director of the Maine Historic Preservation Commission, as well as buildings offered for federal tax incentives pertaining to historic preservation. Otherwise, the standards serve as guides for owners of historic buildings and structures who seek to follow appropriate standards of care.

94 089 - Chapter 811 – Historic Buildings Restoration Grants

Historic Buildings Restoration Grants are awards of state monies to restore and preserve buildings and structures listed in or nominated to the National Register of Historic Places, which are in governmental, or non-profit ownership and which are open to the public.

94 089 - Chapter 812 – State Historic Preservation Officer’s Standards for Archeological Work in Maine

These rules and regulations contain the composition and functions of the Archaeological Advisory Committee, the credentials requirements for persons on the Commission’s approved lists of prehistoric archaeologist and historic archaeologists, procedure for review of credentials, procedure for removal from approved lists, method for applying for survey grants, participation in environmental impact projects, and guidelines for research and reporting.

94 089 - Chapter 813 – Historic Rehabilitation Tax Credit

These rules provide guidelines to certify, for taxpayers claiming state rehabilitation tax credits for historic structures in the state, that: 1) rehabilitations of such structures are consistent with the United States Secretary of the Interior’s Standards for Rehabilitation; and 2) that historic structures undergoing such rehabilitations are listed in or are eligible for listing in the National Register of Historic Places or are in certified local districts.

94 089 - Chapter 815 – Historic Preservation Revolving Loan Fund

These rules establish guidelines for the application process and the administration of the Historic Preservation Revolving Loan Fund including the following: 1) procedures for identifying qualified nonprofit historic preservation organizations; 2) criteria for identifying endangered historic properties; 3) application procedures; 4) evaluation criteria; and 5) appeal procedures.

8. Efforts to coordinate with other state and federal agencies in achieving program objectives.

In its regulatory role of reviewing all federally funded, permitted, and licensed undertakings, the Commission regularly interacts with several Federal and State agencies. These include at the Federal level, the departments of Agriculture, Defense, Homeland Security, Housing and Urban Development, Interior, and Transportation; and at the State level the departments of Agriculture, Conservation & Forestry (including the bureaus of Parks and Lands, LUPC, Land Use Planning), Economic and Community Development, Environmental Protection, Inland Fisheries and Wildlife, Transportation and the Maine State Housing Authority. Technical services are provided to the Bureau of General Services. The Commission also works closely with the Maine State Museum, principally in the area of archaeology.

In accordance with Sections 106 and 110 of the National Historic Preservation Act, the

Commission regularly assists Federal agencies when construction activities are planned or Federal properties need to be assessed for potentially significant historic resources.

One of the most innovative inter-agency efforts in State Government has been the collaboration since 1990 of the Commission and six other cultural partners in the Maine State Cultural Affairs Council. Among the notable achievements of this collaboration has been the New Century Community Program. This program is designed to provide a wide range of cultural services statewide to local communities.

As the responsible entity for preparing the statewide historic preservation plan, the Commission sought input from a broad audience, including State and Federal agencies. Those agencies that have preservation-related responsibilities are encouraged to pursue the goals and strategies outlined in the plan.

Financial, personnel, and human resource services are provided to the Commission through the General Government Service Center in the Department of Administrative and Financial Services. Technology related systems are obtained from the Office of Information Technology.

9. Identification of constituencies served, and any changes or projected changes.

The Maine Historic Preservation Commission serves the entire Maine population. Cooperation with all levels of government – Federal, State, county, and municipal - is essential. Ties are also maintained with both public and private colleges and universities. In addition, technical and educational assistance is provided to individual property owners, as well as to local historical societies and museums. The business community is directly involved with preservation, as the Commission assists developers seeking Federal and State historic rehabilitation tax credits for depreciable historic buildings and provides project review in accordance with Federal laws and State regulations.

The Commission does not anticipate any change to the constituencies it serves.

10. Use of alternative delivery systems including privatization, in meeting goals and objectives.

As stipulated in the National Historic Preservation Act of 1966, the states are partners with the Department of the Interior in administering the program. Each state must have a designated State Historic Preservation Officer, advised by a specifically structured, multi-disciplinary professional staff, as well as a specifically structured, multi-disciplinary Review Board (the appointed public members of the Maine Historic Preservation Commission). Thus, there is no alternative delivery system for the Commission's services. However, the Commission may award grants to qualified entities for allowable

preservation activities, including the preservation and restoration of historic buildings, public education, and the conduct of survey and inventory projects.

One of the most innovative efforts in State Government has been the collaboration since 1990 of the Commission and six other cultural partners in the Maine State Cultural Affairs Council. Among the notable achievements of this collaboration has been the New Century Community Program. This program is designed to provide a wide range of cultural services statewide to local communities. As a collaborative effort, this Council has provided an alternative and structured means for the Cultural Agencies to most effectively deliver coordinated services to cultural entities around the State.

As noted above in Item #8, the Maine Historic Preservation Commission's financial, personnel, and human resources functions are provided through the General Government Service Center, and its technology related services are furnished by the Office of Information Technology.

11. Identification of emerging issues.

The following goals of the 2016 statewide historic preservation plan were developed, in part, to address issues identified by the public and the Commission's preservation partners. A number of strategies have been formulated to address these goals, and Maine's preservation community will be pursuing these strategies over the next five or more years. In addition, progress has been made in working with municipalities on preservation efforts at the local level, but there is more to be done in this area.

- Educate the public
- Establish new financial incentives to support historic preservation, and augment existing ones
- Provide additional technical assistance for preservation planning
- Expand the Maine Historic Resources Inventory and make it more accessible to the public

12. Policies on managing personal information, implementation of information technology, and adherence to the fair information practice principles.

Managing Personal Information

Information that is submitted to the Commission as part of a grant or project review process is considered public information. The Privacy Policy for users of the Commission's website is provided at the bottom of each web page which links the user directly to the Maine.gov web policies section.

Personnel files are considered confidential and treated as such.

By law, information on the location of archaeological sites is limited to those with a specific, legitimate need to know. Requests for this information must be made in writing.

Implementation of Information Technologies

The Maine Historic Preservation Commission has developed a website that is informational, educational, and that allows the user to access information for all a wide range of of preservation-related matters. There are links to related websites, and there are guidelines for each of the programs administered by the Commission. Interested parties may download necessary forms and the accompanying guidelines for those forms are available on the web.

The National Register of Historic Places portion of the website has links to teaching resources for educators. Having this information readily available to the public, along with the FAQ section, not only makes the work of the Commission more efficient, but it also serves as an efficient way to educate the public about the work of the Commission as well as the need for historic preservation.

The Commission is actively involved in the creation of databases that will become permanent sources of searchable information. The most recent such database that is accessible from the website is the Cultural & Architectural Resources Management Archive (CARMA). CARMA allows the user to access information about architectural resources that have been surveyed in a given community. The scope of the database expands regularly as new surveys are uploaded.

Adherence to the Fair Information Practice Principles

At the bottom of each page on the Commission's website is a link to the web policies of the State of Maine, including the Privacy Policy for users of the site.

13. Detailed information on paperwork required to be filed with the agency by the public and paperwork reduction efforts.

- Written requests for access to archaeological site location records
- Written research proposal to obtain a permit to excavate a protected site under Title 13.
- National Register Eligibility Assessment Form for individuals who wish to have a property evaluated to determine if it meets the criteria for listing in the National Register of Historic Places
- Federal or State funded grants require specific information, including:
 - Grant Application
 - Standard Form 424B (Rev. 7-97), Assurances – Non-Construction Programs (for projects that do not involve construction)
 - Standard Form 424D (Rev. 7-97), Assurances – Construction Programs (for projects that involve construction activities)
 - Letter of Agreement, if awarded a grant
 - Copies of bills, receipts, etc.

- Final Project Report
- Stewardship or Preservation Agreement for preservation/restoration grants
- The Commission's grants manual contains specific information for preservation grant assisted projects (federal and state)
- Reports for archaeological survey and research must be submitted in accordance with the rules in Chapter 810
- Archaeological projects must comply with Rules of Chapter 100 and 810
- Federal and State funded architectural surveys must be conducted in accordance with the Commission's survey manual and survey forms
- Project Review Applications vary according to the project but may include the following:
 - Cover Letter
 - 7.5' USGS topographic map with boundaries clearly indicated for project
 - Photographs of buildings nearby over 50 years old, photographs of existing shorelines, photographs of nearby structures
 - Maine Historic Preservation Commission Historic Building/Structure Survey form
 - Plans, Concept Drawings, Sketches
 - Historic Barn and Agricultural Outbuilding Form
 - Historic Farmstead Survey Form
 - Continuation Sheet
 - Federal Communications Commission Forms, where applicable
- Annual Reports for Certified Local Governments
- Applications for state historic rehabilitation tax credits or the Historic Preservation Revolving Loan Fund must comply with applicable Rules adopted by the agency (see item 6 of this report)

Optional or As-Needed Forms

- Citizen Complaint and Investigation Form

Submittal of the paperwork noted above is necessary for the staff to make informed professional judgements about actions to be taken by the Commission or by others. Years of experience in implementing the program of the National Historic Preservation Act has shown that certain information is necessary to expeditiously render decisions in any given area of activity. We believe that our submittal requirements represent the minimum level of information to adequately support decision making. Furthermore, with regard to the state historic rehabilitation tax credits, the program rules state that if a taxpayer is applying for federal tax credits, she or he does not have to complete a comparable separate application to obtain the state credit.

Members of the Maine Historic Preservation Commission

Thomas B. Johnson, Chairman and Historian Member, Cumberland

Jason Libby, Vice-Chairman and Public Member, New Gloucester

Dr. Emerson Baker, Ph.D., Historic Archaeologist Member, York

Thomas Elliman, Public Member, Portland

Joseph R. Hanslip, Public Member, Sanford

Dr. James F. O’Gorman, Ph.D., Architectural Historian Member, Windham

Michael Pearson, Public Member, Enfield

Michael Pullen, Architect Member, Holden

Dr. Richard Will, Ph.D., Prehistoric Archaeologist Member, Ellsworth

Megan Hopkin, Ex-Officio Member, Maine Department of Transportation

Nicholas Livesay, Ex-Officio Member, Maine Department of Agriculture, Conservation & Forestry