

NEIL ABERCROMBIE
GOVERNOR OF HAWAII



STATE OF HAWAII
DEPARTMENT OF LAND AND NATURAL RESOURCES

STATE HISTORIC PRESERVATION DIVISION
KAKUHIHEWA BUILDING
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CONSERVATION AND RESOURCES ENFORCEMENT
ENGINEERING
FORESTRY AND WILDLIFE
HISTORIC PRESERVATION
KAHOOLAWE ISLAND RESERVE COMMISSION
LAND
STATE PARKS

May 16, 2014

Stephanie Toothman, Ph.D.
Associate Director
Cultural Resources, Partnerships, and Science
National Park Service
1849 C Street, N.W.
Washington, D.C. 96809

RE: Transmission of Corrective Action Plan (2) Final Report

Dear Director Toothman:

Transmitted herewith is the State of Hawai'i's Final Report in response to the Corrective Action Plan 2 (CAP 2). With the exception of the independent audit requirement (as explained in the Introduction to the Report), the State's Final Report addresses all of the mandated actions and deliverables in CAP 2. I look forward to the National Park Service's review and approval, and the final resolution of this matter.

I would like to take this opportunity to acknowledge the assistance provided to the State Historic Preservation Department by NPS during the course of this project, in particular I want to recognize the assistance provided by Melia Lane-Kamahele, Deidre McCarthy, Hampton Tucker, and Jon Smith. I also especially want to recognize the efforts of all State Historic Preservation Division staff particularly Nicholas Beluzzo, Anna Broverman, Alexis Caramonte, Theresa Donham, Michael Gushard, Chandra Hirotsu, Randolph Lee, Hinano Rodriguez, and Alan Smith who executed the additional work required to ensure that the CAP 2 requirements were met, while still fulfilling their day-to-day responsibilities to preserve Hawai'i's unique heritage.

If you have any questions, please contact Alan Downer, Ph.D., Administrator, State Historic Preservation Division at alan.s.downer@hawaii.gov directly.

Sincerely,

William J. Aila, Jr.
Chairperson, Department of Land and Natural

Resources

cc: Jesse Souki, First Deputy, DLNR
Alan Downer, Ph.D., Administrator, SHPD

SECTION 1

INTRODUCTION

INTRODUCTION

The following documents comprise the State of Hawai'i's Final Report (Report) to the National Park Service (NPS) in response to the Corrective Action Plan 2 (CAP 2). It addresses all of the items raised in CAP 2. Some items are not presented as separate section in the Report due to the brevity of the required response. These are discussed below as part of this Introduction.

The State is not resubmitting documents that have been previously accepted and approved by NPS.

ORGANIZATION OF THE REPORT

The Report is organized by functional area rather than by following the order in which issues were raised in CAP 2. The functional areas are: Survey, Review and Compliance, Information Management, CLG, National Register, and Administration.

The following will NPS aid in connecting the responses to the CAP 2 requirement.

CAP 2 Requirement	Response Location
Architecture Branch Work Plan	Section 4
Strategic Plan for archiving SHPD documents	Section 5
Strategic plan for enhancing Intake Database	Introduction
Explanation of failure to complete 'FY 13 Statewide Plan tasks	Introduction
Office Strategic Plan and Work Plan	Section 2
Employee Work Plans	Introduction
Office SOPs	Section 2
Functional inventory GIS & database	Introduction
Librarian recruitment status	Introduction
Professional staff recruitment status	Introduction
Revised Survey & Inventory SOP	Section 3
Revised Review & Compliance SOP	Section 6
Revised National Register SOP	Section 8
Public Facing National Register Document	Section 8
CLG contracting and grant management SOP	Section 7
Arrange for Audit	Introduction
Work Plan for building inventory database	Section 5
IT strategic plan	Section 5
GIS/IT training for staff	Introduction
Database accessible to agencies who are supporting Database development and maintenance	Introduction
Incorporate eligibility determinations into database	Section 4

Re-engage in website development to track project status	Introduction
Submit list of 106 training for staff	Introduction
National Register tracking log	Section 8
Coordinate National Register nominations review with NPS	Introduction
CLG staff to attend CLG training	Introduction
Provide scopes of work for CLG projects for NPS review	Introduction
Provide draft CLG grant products to NPS for review	Introduction
Provide documentation of CLG annual reviews	Introduction
Submit property inventory	Section 2
Branch Budgets	Section 2

STATUS REPORTS AND UPDATES

This section summarizes the status of various CAP 2 deliverables or represents the deliverable for items which are too short to warrant a separate section of the Report.

AUDIT

The State Historic Preservation Division (Division) has posted the Scope-of-Work for the independent audit of the Fiscal Years 2010 – 2013 on HIePRO, Hawai'i's electronic procurement site. Quotes are due by close-of-business, Friday, May 23, 2014.

The Division will also be one of the agencies tested in the State's Single Audit for FY 2014.

STATEWIDE PLAN

In the Hawai'i State Historic Preservation Plan (Plan), the Division committed to a significant set of tasks and responsibilities in addition to its day-to-day programmatic duties and responsibilities. The Plan is clear that additional resources, including for those tasks attributed to the Division, would be required in order to accomplish each of these additional tasks. The Division did not secure the additional resources from the Legislature during the budget process. Accordingly, Division was unable to make meaningful progress on the tasks assigned to it in the Plan.

PERSONNEL

Recruitment of Professional Staff.

The Division has made great progress in filling its vacant positions. By June 9, 2014, all approved and budgeted positions, except those listed below, will be filled by fully qualified staff (including, as necessary, meeting the Secretary's Professional Qualification Standards) on a full-

time basis. The Division continues active recruitment for all of its vacancies. The following positions will be vacant as of June 10, 2014:

<u>Position</u>	<u>Status</u>
Burial Specialist, Island of Hawai'i.	At the Governor's Office for approval to advertise
Burial Specialist, O'ahu	On its way to Governor's Office for approval to advertise
Culture Historian, O'ahu	Advertised, applications coming in
Burial Specialist, Maui	Advertised, applications coming in
Architecture Branch Chief	Awaiting posting of vacancy
Architectural Historian	Start date June 9, 2014
Culture and History Branch Chief	Scheduling interviews
Architectural Historian	Pending selection of Branch Chief

Librarian.

After many iterations, we believe the Position Description will now be approved by Department of Land and Natural Resources Personnel Office. The vacancy should be posted shortly after approval by Personnel.

Architecture Branch Chief.

The Architecture Branch Chief position is currently occupied by the Michael Gushard on a temporary assignment. Mr. Gushard is the individual meeting the Secretary's Professional Standards for Historian. The Architecture Branch Chief will be advertised as soon as the Personnel Office approves the Position Description. We anticipate this happening shortly, and hope to be able to fill the position prior to the end of the State Fiscal Year on June 30, 2014.

Historian.

As noted above, Mr. Gushard is the Division's qualified historian. The decision on what to do regarding this position will be dependent upon whether Mr. Gushard applies for the Architecture Branch Chief position, and, if he applies, whether he is selected.

Culture and History Branch Chief.

As noted above, the Division is currently scheduling interviews for this position. We anticipate filling this position prior to June 30, 2014.

Civil Service Conversion.

During the recently concluded legislative session, the Legislature approved conversion of 11 Division staff to Civil Service. These positions include all of the positions funded with Federal moneys. The Legislature also approved a bill requiring all new hires within the Division to be hired into Civil Service positions. Both bills are awaiting the Governor's action. The Division anticipates that both will be signed or allowed to become law.

If these bill are allowed to go into effect, conversion of Division positions to Civil Service will not be automatic. Conversion requires creation of positions in the Civil Service. Since many of

the Division's positions do not even have class specifications, this may be a lengthy process. Regardless of the length of time it takes or the complexities involved, the Division is committed to converting all its positions to Civil Service as quickly as possible.

Section 106 Training.

With the exception of Mary Jane Naone, the Kaua'i archaeologist, all Division staff involved in making technical decisions and recommendations relating to compliance have completed at least basic training in section 106. Staff training is summarized in the table at the end of this Introduction.

CLG

CLG Training for Division CLG Staff.

Mr. Gushard has completed formal CLG training.

CLG Projects.

Scopes-of-Work. All CLG project scope-of-works have been forwarded to NPS for review and approval prior to the Division giving notice-to-proceed.

Grant Products. All CLG products have been submitted to NPS for review and approval, prior to the Division accepting and approving the product and, then approving reimbursement cost incurred by the Division.

Documentation of CLG Annual Reviews. NPS has been provided with copies of the Division's annual reviews of the CLGs.

NATIONAL REGISTER NOMINATIONS

Coordinate with NPS staff on Review of National Register Nominations. Division staff have worked cooperatively with NPS staff on National Register nominations. All National Register nominations have been reviewed by NPS staff. Division staff is working to ensure revisions of nominations reviewed by NPS staff are completed.

DATABASE/GIS

Database Accessible to Agencies Who are Supporting Database Development and Maintenance. Currently no agencies provide any support for the Division's database development and/or maintenance and operation. Accordingly, no efforts have been made to identify means to allow agencies access to the database, except through the Division's regular procedures.

Functional Geodatabase. The Division's GIS specialist, Nicholas Beluzzo, has forwarded a copy of the Division's geodatabase via email directly to Deidre McCarthy for review. If needed, copies can be obtained from Ms. McCarthy.

GIS/IT Training. The Division has a functional GIS which is being "beta tested" by users, both internal and external. The archaeological site database is also in beta and has begun use on the part of Division staff on the Island of Hawaii. Training will be scheduled for staff during FY 2015 after the beta testing phase has been completed for both systems.

Enhance Intake Database. Work on "enhancing" the Intake Database was halted in mid-December at the direction of Alan Downer. Dr. Downer determined that the then recently upgraded Intake Database was adequate to the Division's needs and that other information management issues were more pressing and work on those areas would yield greater return for the Division, the professional community, the public, and the State's historic resources. Those areas were made a higher priority and, after mid-December 2013, no additional upgrades to the Intake database were made.

Consideration of enhancements will be part of the activity described in the Office Strategic Plan found in Section 2 of this Report.

Website Development for Project Status Tracking. The Division is highly constrained by the State's Information Technology policies. We are prohibited from allowing direct outside access to data housed on State servers. Consequently, any website that would allow for data access such as project tracking would have to be externally hosted, operated and maintained. The external host would also have to provide security for the site and the data. The Division and the State would have to develop a protocol that allows for regular transfer of data from the Division's servers to the external host.

As outlined in the "Office Strategic Plan," during FY 2015, the Division intends to initiate efforts to address these complexities and initiate development of a website that will allow the public to track progress on projects.

Federal Training

Employee	Course	Date	Training Sponser
Cayan; Phyllis	NEPA Compliance & Cultural Resources	3/24-3/25/09	National Preservation Institute
	Identification & Management of Traditional Cultural Places	3/25-3/26/09	National Preservation Institute
	The Architecture & Preservation of Hawaii Homes	3/22-3/23/10	National Preservation Institute
	NEPA Compliance & Cultural Resources	3/15-3/16/11	National Preservation Institute
	Section 4(f) Compliance for Historic Properities	3/17-3/18/11	National Preservation Institute
	The Section 106 Essential Training	7/19-7/20/11	The Advisory Council on Historic Preservation

Davis; Morgan	Identification & Management of Traditional Cultural Places	3/25-3/26/09	National Preservation Institute
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Donham; Theresa	Section 106: Agreement Documents	12/6-12/8/11	National Preservation Institute
	Beyond Compliance: Historic Preservation in Transportation	5/2-5/4/12	Hawaii Local Technical Assistance Program
	Culture Resource GIS Training Session	08/16/12	NPS Culture Resources GIS Program
	ACHP-SHPO Update and Issues Discussion	07/15/13	ACHP

Federal Training

Employee	Course	Date	Training Sponser
Gushard; Michael	Section 106: Agreement Documents	12/06/11	National Preservation Institute
	Renewable Energy Development: Impacts on Cultural Resources	12/09/11	National Preservation Institute
	National Alliance of Preservation Commissions Biennial Forum	7/18-7/22/12	National Conference of State Historic Preservation Officers
	Culture Resource GIS Training Session	8/13-8/16/12	NPS Culture Resources GIS Program
	Preservation Planning for Campuses, Complexes & Installations	11/14-11/15/12	National Preservation Institute
	Beyond Compliance: Historic Preservation in Transportation Project Development	4/8-4/10/13	Dept. of Transportation
	2013 National Preservation Conference	10/28-11/02/13	National Trust for Historic Preservation
	ACHP-SHPO Update and Issues Discussion	07/15/13	ACHP
Kauanoë; Hoomanawanui	Advance Introduction to ArcGIS 10.x Geographic Information Systems	8/13-8/16/12	National Park Service
	Beyond Compliance: Historic Preservation in Transportation Project Development	4/8-4/10/13	Dept. of Transportation
	The Section 106 Essentials	7/16-7/17/13	Advisory Council on Historic Preservation
	Section 106 Advanced Seminar	07/18/13	Advisory Council on Historic Preservation
	Section 106 Historic Preservation & Tribal Consultation	2/3 - 2/4/14	CLR International
Lebo; Susan	Culture Resource GIS Training Session	8/13-8/16/12	NPS Culture Resources GIS Program
	Beyond Compliance: Historic Preservation in Transportation Project Development	4/8-4/10/13	Dept. of Transportation
	ACHP-SHPO Update and Issues Discussion	07/15/13	ACHP

Federal Training

Employee	Course	Date	Training Sponser
Lee; Randolph	NEPA Compliance & Culture Resources	3/23-3/24/09	National Preservation Institute
	Indentification & Management of Traditional Cultural Places	3/25-3/26/09	National Preservation Institute
	Historic Preservation Fund Training	10/30/12	National Park Service
	ACHP-SHPO Update and Issues Discussion	07/15/13	ACHP

Naboa; Deona	The Section 106 Essentials Training	7/19-7/20/11	The Advisory Council on Historic Preservation
	The Advanced Section 106 Seminar	07/21/11	The Advisory Council on Historic Preservation
	Beyond Compliance:Historic Preservation in Transportation	11/08-11/10/11	Hawaii Local Technical Assistance Program
	Section 106:Agreement Documents	12/6-12/08/11	National Preservation Institute
	Renewable Energy Development:Impacts of Cultural Resources	12/09/11	National Preservation Institute
	NGPRA & ARPA:Applications & Requirements	3/8-3/9/12	National Preservation Institute
	Culture Resource GIS Training Session	8/13-8/16/12	NPS Culture Resources GIS Program
	ACHP-SHPO Update and Issues Discussion	07/15/13	ACHP

Naleimaile; Sean	Beyond Compliance:Historic Preservation in Transportation Project Development	4/8-4/10/13	Dept. of Transportation
	The Section 106 Essentials	7/16-7/17/13	Advisory Council on Historic Preservation
	Section 106 Advanced Seminar	07/18/13	Advisory Council on Historic Preservation
	ACHP-SHPO Update and Issues Discussion	07/15/13	ACHP

Federal Training

Employee	Course	Date	Training Sponser
Pickett; Jenny	Culture Resource GIS Training Session	8/13-8/16/12	NPS Culture Resources GIS Program
	The Section 106 Essentials	7/16-7/17/13	Advisory Council on Historic Preservation
	Section 106 Advanced Seminar	07/18/13	Advisory Council on Historic Preservation
Rodrigues; Hinano	Cultural & Natural Resources	3/22-3/23/10	National Preservation Institute
	The Section 106 Essentials Training	7/19-7/20/11	The Advisory Council on Historic Preservation
	The Advanced Serction 106 Seminar	07/21/11	The Advisory Council on Historic Preservation
	Section 106:Agreement Documents	12/6-12/8/11	National Preservation Institute
	Renewable Energy Development:Impacts on Cultural Resources	12/09/11	National Preservation Institute
	NGPRA & ARPA:Applications & Requirements	3/8-3/9/12	National Preservation Institute
	Advanced Introductin to ArcGIS 10.x Geographic Information Systems	8/13-8/16/12	National Park Service
	Section 106 Historic Presvation & Tribal Consultation	2/3 - 2/4/14	CLR International
Smith; Alan	ACHP-SHPO Update and Issues Discussion	07/15/13	ACHP

Federal Training

Employee	Course	Date	Training Sponser
Vitousek; Michael	STEP 2010 TPEA Freight & Safety Planning Projects	02/08/11	NCSHPO
	NEPA Compliance & Cultural Resources	3/15-3/16/11	National Preservation Institute
	Section 4(f) Compliance for Historic Properities	3/17-3/18/11	National Preservation Institute
	Beyond Compliance:Historic Preservation in Transportation Project Development	4/12-4/14/11	Department of Transportation
	The Section 106 Essentials	7/19-7/20/11	The Advisory Council on Historic
	The Advanced 106 Seminar	07/21/11	The Advisory Council on Historic Preservation
	Section 106:Agreement Documents	12/6-12/8/11	National Preservation Institute
	Renewable Energy Development:Impacts on Cultural Resources	12/09/11	National Preservation Institute
	Beyond Compliance:Historic Preservation in Transportation	5/2-5/4/12	Hawaii Local Technical Assistance
	Culture Resource GIS Training Session	8/13-8/16/12	NPS Culture Resources GIS Program
	ACHP-SHPO Update and Issues Discussion	07/15/13	ACHP

Wong-Kalu; Hinalaimoana	The Advance Section 106 Seminar	07/18/13	The Advisory Council on Historic Preservation
	The Section 106 Essentials	7/16-7/17/13	The Advisory Council on Historic Preservation

SECTION 2

ADMINISTRATION

Office Strategic Plan

Office Work Plan

Administrative Specialist

Travel Procedures

Time Sheet Procedures

Sample Time Sheet

SOP Purchasing

Inventory

Branch Discretionary Funds Budgets

SECTION 2

ADMINISTRATION

Office Strategic Plan

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STRATEGIC PLAN FISCAL YEAR 2015

INTRODUCTION

The State Historic Preservation Division's (Division) Strategic Plan (Plan) for Fiscal Year 2015 is presented below. It balances the Division's most pressing internal needs, its well established duties, projects that are deemed high value and high impacts, with the day-to-day operational requirements. As a result many interesting things and many projects or activities that could be done or should be done, if the Division had unlimited resources, are not in the Plan.

The Division's most pressing day-to-day requirement is the reviews of compliance documents generated as part of the compliance process for 36 CFR Part 800 and Section 6E Hawaii Revised Statutes. In Fiscal Year 2013, the Division completed over 10,500 reviews. While final figures are not available for FY '14, there is no indication that that figure will be appreciably lower. While the Division has made significant progress toward filling all vacant professional staff positions, even at full staffing completion of all reviews effectively in a timely manner is difficult. Given available resources until FY '16 at the earliest, the Division can take on only the most important activities in addition to the compliance reviews.

STRATEGIC PRIORITIES

The following are the Division's strategic priorities:

Staffing;
Reassessment of Division Processes;
On-going Implementation of Data Base/GIS Development;
Digitization of Records On-line Accessibility of Division Records:

Assessment of Economic Impact of Historic Preservation in Hawaii;
Utilization of Social Media;
Historic Preservation at the Capitol.

Staffing

Recruitment. The Division has made significant progress in filling its staff vacancies, but a number of positions remain to be filled.

Goal: The Division will continue its active recruitment efforts with a goal of have all positions filled by the end of FY '15.

Limitations: (1) Few, if any, of the Division's positions have existing Class Specifications, so these will have to be created as the first step. (2) The Department of Human Resources Development (DHRD) has expressed grave concern over its ability to handle the workload associated with converting the Division's and state agencies' positions with their current staffing level. DHRD's capacity is a limiting, external factor beyond the Division's control.

Civil Service Conversion. The Division is committed to converting all positions to Civil Service. The goal is to complete conversion by the end of FY '15. In addition, enactment of House Bill 3099 requires all Division positions filled after the start of FY '15 to be filled a Civil Service. Of the Division's 29 approved and budgeted positions, only 4 are currently Civil Service. Any position filled after the start of the new Fiscal Year will have to be created in the Civil Service before recruitment can begin. Our best estimate is that it will take approximately 6-months to create those positions. Recruitment for those positions will likely be delayed until after that occurs.

While H.B. 3099 does not require conversion of existing exempt positions, the Division intends to pursue conversion of all positions vigorously.

Goal: The Division's goal is to complete the classification process and convert all approved positions to Civil Service by the end of FY '15.

Limitations: (1) For already approved permanent positions, establishment of positions in the Civil Service will be necessary. Few of the positions within the Division have existing Class Specifications. So this conversion will have to begin at the very first step of creating class specifications and proceed for there. (2) Accomplishing this goal is heavily dependent upon the DHRD, which testified before Legislative Committees that creating and classifying these positions will strain its resources, perhaps beyond its capabilities. DHRD's capacity is a limiting, external factor beyond the Division's control.

Reassessment of Division Processes

Completing the CAP process has revealed inconsistencies, weaknesses, and unnecessary complexities in the various processes that guides the Division's work. The Division will undertake a review of all the business processes over which it has control with a goal of making them more rational and "streamlined." Due to the nature of this type of work and the heavy existing work load from mandatory day-to-day activities, the Division intends to undertake this review through a contractor with established expertise in government work and business processes.

Goal: Completed Work Flow business process study by the end of FY '15.

Limitations: This study is not currently funded in the FY '15 operating budget. The Division anticipates being able to fund and initiate this study during the 2nd quarter of FY '15 with vacancy savings that will result from having to classify positions as the 1st step in the recruitment process.

Utilization of Social Media

The Division will utilize social media to promote the economic and social value of preservation and a preservation ethic.

Goals: Establish a Division blog, Facebook page, and Twitter feed with postings and updates daily (ideally) and at least weekly. Utilize the Department of Land and Natural Resources (DLNR) social media as parallel communication mechanisms.

Limitations: Establishing social media accounts is strictly controlled by the State's IT policies and requires approval of the Chair of DLNR.

Historic Preservation at the Capitol

Historic preservation is valued in the State. The Legislature is generally supportive of preservation, but it competes with many other issues that seem more important, timely, pressing or critically threatened. The Division and preservation is not a top policy priority.

Goal: To raise the profile of preservation and the Division, the Division will arrange for a historic preservation day at the State Capitol during the early part of the next Legislative Session.

Limitation: There are "partner" organization and interests who will need to be engaged for this effort to have maximum impact. The nature and degree of interest and participation by these "outside" organizations is an open question and limited interest will diminish the effectiveness of the event.

Assessment of Economic Impact of Historic Preservation in Hawaii

The economic value of historic preservation is not widely known. Several states have funded studies that quantifies the economic value and impact of preservation on their economies.

Goal: The Division will complete a study of the economic impact of historic preservation on the State's economy by the end of FY '15.

Limitation: (1) This study is not currently funded. Funding it and procuring the services of a qualified consultant it dependent upon identification of funds, probably from vacancy savings, before the end of the 2nd quarter of FY '15.

SECTION 2

ADMINISTRATION

Office Work Plan

Work Plan SHPD Strategic Priorities, FY 2015

<i>Strategic Priority</i>	<i>STAFF</i>	<i>OVERSIGHT</i>	<i>Benchmark/ Product</i>	<i>Due Date</i>	<i>COMMENTS</i>
STAFFING					
Develop Civil Service Class Specifications for All Positions	Branch Chiefs/ Caramonte	ASD	Draft Class Spec	8.30.14	
Classification Questionnaires	Branch Chiefs/ Caramonte	ASD	Completed Questionnaires	9.30.14	
Classify Positions	Caramonte/DHRD	ASD	Established positions	1.30.15	
Initiate Recruitment	Caramonte	ASD	Posted JVAs	2.15.15	
Screen applicants	Branch Chiefs	ASD	List of Qualified Applicants	3.15.15	
Interviews	Branch Chiefs	ASD	Interview Notes	3.31.15	
Selection	Branch Chiefs	ASD	Selection memo	4.8.15	
Hiring Paperwork	Selectee/DHRD	ASD	DHRD Notice	5.15.15	
Start Work	DHRD	ASD	DHRD Notice	6.15.15	
REASSMENT OF SHPD PROCESSES					
Project Scoping	Smith	ASD	Draft SOW	7.30.15	
Identify Funding	Lee	ASD	Funding memo	9.30.15	
Select Contractor	ASD	WJA	Selection memo	10.30.15	
Process Mapping	Contractor	ASD	Specifications for Processes	12.15.15	
Scoping for Process Automation	Contractor	ASD	SOW	12.15.15	
Identify Funding	Lee	ASD	Funding Memo	1.15.15	
Select Contractor	ASD	WJA	Award	2.1.15	
Automation design, coding, etc	Contractor	ASD	Systems in beta	4.15.15	
Finalize systems	Contractor	ASD	Revised/upgrade system	5.15.15	
System goes live	Contractor	ASD	Systems on line	6.30.15	
ON-GOING DIGITIZATION	SEE SECTION 5				
ON-LINE ACCESSIBILITY	SEE SHPD PROCESS PLAN ABOVE				

Work Plan SHPD Strategic Priorities, FY 2015

ECONOMIC IMPACT OF HP					
Scope project	Branch Chiefs	ASD	Draft SOW	7.15.14	
Identify Funding	Lee	ASD	Funding Memo	9.30.14	
Develop RFP	Lee	ASD	Draft RFP	10.15.14	
Post RFP	Lee	ASD	Posting	11.1.14	
Evaluate Proposals	Evaluation Team	ASD	Evaluation Notes	12.1.14	
Select Contractor	ASD	WJA	Selection memo	12.15.14	
Initiate study	Contactor	ASD	NTP	1.2.15	
Draft Report	Contractor	ASD	Draft Report	4.30.15	
Report Review	Branch chiefs	ASD	Review Comments	5.15.15	
Revise Report	Contractor	ASD	Final Report	6.15.15	
Distribute/Post Report	Smith	ASD	Report on-line	6.30.15	
SOCIAL MEDIA PLAN					
Outline Social media strategy	Puff	Gushard	Draft strategy	6.15.14	
Draft Guidelines	Puff	Gushard	Draft Guidelines	7.15.14	
Implement Social Media Strategy	Staff	ASD	Implementation memo	8.15.14	
HP at the Capitol					
Consult w/ partners	ASD	WJA	PROPOSAL OUTLINE	7.15.14	
Develop plan w/ Partners	ASD	WJA	Plan	8.15.14	
Logistics planning	Partners	ASD	Logistics plan	9.15.14	
Schedule w/ Capitol Staff	Lorenzo-Granir	ASD	Date reservation	10.15.14	
Have event(s)	Partners	ASD		2.20.15	
Assess Event(s)	Partners	ASD	Summary report	4.15.15	

SECTION 2

ADMINISTRATION

Administrative Specialist

Administrative Specialist

The purpose of the administrative Specialist is to ensure the division's budget, fiscal and personnel paperwork is done in a timely manner and meets all state requirements. The Administrative Specialist main focus is on State General Funds. This position also manages two Office Assistants. One on Oahu and the other on Maui.

The Administrative Specialist handles all travel request for Historic Preservation including the Review Board and Burial Council Members. All employee, Review Board and Burial Council Members reimbursements are completed by the Administrative Specialist. Such reimbursements include: travel, mileage, parking, per diem, hotel, and any other approved reimbursements.

This position also handles the bills for Historic Preservation. The Administrative Specialist pays, tracks and adheres to State Policies. Employee use of Datamart is required to track State General Funds to ensure funds are available and appropriated correctly.

Administrative Specialist also tracks and audits all pCard accounts.

All training requests is also completed by the Administrative Specialist. The Administrative Specialist processes all approval paperwork and keeps track of employee training.

Timesheets are tracked and filed by the Administrative Specialist.

The Administrative Specialist is also responsible for the personnel record keeping for the Division. Employee prepares paperwork needed to open or create a position. Also included is the renewal process for exempt employees. Any impact in the employee's personnel record is maintained by the Administrative Specialist.

The Administrative Specialist acts as a back up to the leave record maintenance. When the Secretary is not available the Administrative Specialist will track attendance and update the leave record. The Administrative Specialist is also a back up to small purchases which includes offices supplies and any other small purchases approvals. State procurement is followed.

SECTION 2

ADMINISTRATION

Travel Procedures

Travel Procedures

Below are the requirements to request for travel. Employee must follow each step to ensure that the Administrative Specialist has adequate time to prepare the approval forms and book travel. At Historic Preservation we adhere to State policy SPO155, SPO 13-21 & SPO 12-14.

1. Approval Process

- Employee must inform the Administrative Specialist of intent to travel by email.

For intra state travel employee must give notification two weeks prior of intent date of travel and for out of state travel employee must give at least one and half months of notification.

- Administrative Specialist will request approvals from employee's supervisor and the Administrator via email or in writing.
- When approval has been given to the Administrative Assistant from appropriate supervisor and the Administrator notification will be given to the employee.

2. Preparing Travel

- Administrative Specialist will work with the employee on scheduling the travel. Such as, length of travel, arrival and departure time, rental car, hotel, parking, and per diem.
- Using SPO 13-21 & 12-14 airline tickets and if needed for intra state rental car is also booked for employee.
- Confirmations will be emailed to the employee.
- Travel packet will be prepared by the Administrative Specialist then given to the Administrator for approval.

3. Documentation

- After Travel packet is completed the Administrative Specialist will log expenses in transaction log associated with the Pcard used.
- Two copies will be made one for the office and one for Fiscal Office. It will also be scanned with the associated Pcard packet and submitted for review to fiscal.

4. Reimbursements Process

- After completed travel employee will need to give the Administrative Specialist boarding passes, parking receipts, hotel receipts, rental car receipts and any other receipts associated with travel.

- If any reimbursements are due a completed travel form will be completed and given to the employee via email or in person for review and signature.
- When completed travel form is signed by employee the Administrative Specialist will submit for Administrator approval.
- A PO or Petty Cash form will be completed for reimbursements and given to the Administrator for approval.
- When approved a copy of the PO will be made for Administrative Specialist and date stamped to filed in the Awaiting payment folder. The original PO will be hand delivered or by the State Carrier.
- If a Petty Cash was used two copies will be made one for the employee's folder and one for the Petty Cash file. The original will be sent when it is time to reimburse the Petty Cash Fund

5. Payments

PO process

- If PO was used a check will be processed by the Fiscal office. When the Administrative Specialist receives the check a copy will be made.
- The Administrative Specialist will distribute the check via in person or by certified mail.
- The copy of the check will be date stamped and attached to the copy of the PO and then filed into the employees file.

Petty Cash process

- Administrative Specialist will hand the Petty cash form to employee for signature and will then pay employee cash from the petty cash fund.
- Copies made will be filed in the employees file and petty cash file.

References

http://spo.hawaii.gov/wp-content/uploads/2013/11/SPO155_Travel-ProceduresRef.pdf

<http://spo.hawaii.gov/wp-content/uploads/2014/02/13-21-cr1.pdf>

<http://spo.hawaii.gov/wp-content/uploads/2013/12/12-14.pdf>

<http://dlnri.higov.net/main/fiscal-office/files>

<http://spo.hawaii.gov/all-forms/>

<http://spo.hawaii.gov/for-state-county-personnel/manual/travel-procedures/>

SECTION 2

ADMINISTRATION

Time Sheet Procedures

Time Sheet Procedures

Time sheets are due on the 15th and the last day of the month unless stated. Employee will need to refer each year to the memo from Fiscal which is posted on:

<http://dlnri.higov.net/main/fiscal-office/news>

1. Employee will follow the timesheet example attached.
2. Employee will get supervisors to review and initial.
3. Employee will turn in to the Administrative Specialist for Administrators review and approval.
4. When approved it will be hand delivered or using State Messenger delivered to Fiscal.
5. When processed by Fiscal copies will be delivered to SHPD. Administrative Assistant will file one copy in employees personnel file and the other will be given to the employee.

SECTION 2

ADMINISTRATION

Sample Time Sheet

STATE OF HAWAII INDIVIDUAL TIME SHEET

DEPARTMENT
Dept. of Land & Natural Res.

SUB-DIVISION OR SCHOOL
Historic Preservation

PAYROLL
J

BU CODE

FORM

SOCIAL SECURITY NO.
XXX-XX-1234

POSITION NO.

HOURLY RATE

EMPLOYEE NAME (LAST, FIRST, MIDDLE INITIAL)

ENTER MONTH CODE IN APPLICABLE HALF

SPECIAL INSTRUCTIONS:
1. This time sheet must be completed in hours, except for stand by days.
2. Time for days, meetings, drills, etc. must be reported on Organizational Time Sheet, State Accounting Form D-55.

DATE	TIME	HOURS								STAND BY DAYS	REMARKS	
		STARTED	ENDED	REGULAR TIME	ORDINARY OVERTIME	HOLIDAY OVERTIME	SPLIT SHIFT		NIGHT DIFFERENTIAL			
							Total Time Excluding Meal Time	ACTUAL TIME WORKED				
		B	O	P	E	D	N	S				
16		First month (1-15) PlacP. month number				Second month (16-end) in appropriate blank						
17												
18	6:15	2:45	7.5								1 Hour Lunch	
19	7:15	3:15	7								1 Hour Lunch	
20	6:30	3:30	8								Total time minus break. Place total time in correct column.	
21												
22												
23	10:15	4:45	5								1 Hour Lunch	
24	6:30	3:30	8								1 Hour Lunch	
25	6:30	3:30	8								1 Hour Lunch	
26	11:30	5:00	5								1 Hour Lunch	
27	6:30	3:30	8								1 Hour Lunch	
28												
29												
30												
31												
TOTALS			57.50								across.	57.50
INDICATE ACTUAL HOURS EMPLOYEE CHOOSES TO ELECT AS COMPENSATORY TIME IN LIEU OF CASH PAYMENT												TOTAL COMPENSATORY TIME

SAMPLE

40	41-43	44	45-47	48-51	52-55	56-58	59-62	63	64-69
UNIFORM ACCOUNTING CODE									
F	YR	APPRN	D	Sub Div	OBJECT	Function	LOC	PROJECT	ENC PERCENT

I CERTIFY THAT THE TIME CLAIMED ABOVE IS CORRECT. NO OTHER CLAIM HAS BEEN MADE OR WILL BE MADE FOR THE ABOVE PERIOD. IT IS MUTUALLY AGREED THAT THE EMPLOYEE WILL RECEIVE PAYMENT OR TIME OFF AS INDICATED ABOVE.

DATE _____ SIGNATURE OF EMPLOYEE _____

DATE _____ SIGNATURE OF DEPARTMENT HEAD _____

SECTION 2

ADMINISTRATION

SOP Purchasing

NEIL ABERCROMBIE
GOVERNOR OF HAWAII



**STATE OF HAWAII
DEPARTMENT OF LAND AND NATURAL RESOURCES**

STATE HISTORIC PRESERVATION DIVISION
KAKUHIHEWA BUILDING
601 KAMOKILA BLVD, STE 555
KAPOLEI, HAWAII 96707

WILLIAM J. AILA, JR.
CHAIRPERSON
BOARD OF LAND AND NATURAL RESOURCES
COMMISSION ON WATER RESOURCE MANAGEMENT

JESSE K. SOUKI
FIRST DEPUTY

WILLIAM M. TAM
DEPUTY DIRECTOR - WATER

AQUATIC RESOURCES
BOATING AND OCEAN RECREATION
BUREAU OF CONVEYANCES
COMMISSION ON WATER RESOURCE MANAGEMENT
CONSERVATION AND COASTAL LANDS
CONSERVATION AND RESOURCES ENFORCEMENT
ENGINEERING
FORESTRY AND WILDLIFE
HISTORIC PRESERVATION
KAHOOLAWE ISLAND RESERVE COMMISSION
LAND
STATE PARKS

State Historic Preservation Division

Standard Operating Procedure

Procurement

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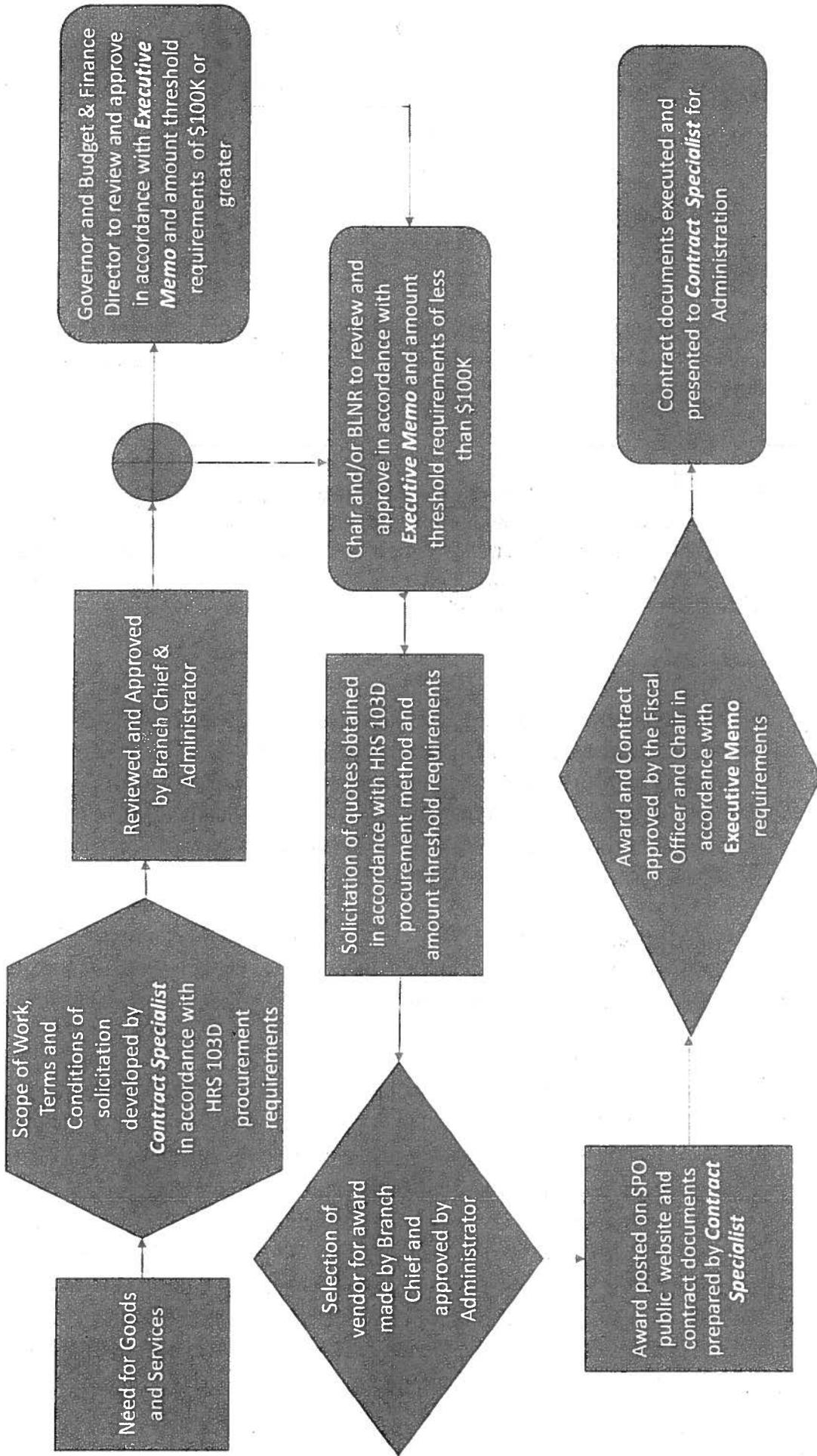
State Historic Preservation Division

Standard Operating Procedure

Procurement

- I. Procurement Workflow – see attached flow chart.

Procurement Workflow



State Historic Preservation Division

Standard Operating Procedure

Procurement

II. Background

Hawaii Revised Statutes, (HRS), Chapter 103D is based on the Model Procurement Code for State and local Governments which was drafted under the auspices of the American Bar Association by attorneys and state and local purchasing officials.

III. Applicability

HRS Chapter 103D applies to all procurement contracts made by governmental bodies of the state and counties whether the consideration for the contract is cash, revenues, realizations, receipts, or earnings, any of which the State receives or is owed; except for specific types of procurements which are exempt by law or administrative rule. Reference: HRS §103D-102 and HAR chapter 3-120.

IV. Organization

- A. Chief Procurement Officers. Public procurement in Hawaii for the most part is decentralized. The procurement function is carried out by 20 Chief Procurement Officers (CPOs). The CPOs are located throughout the state serving the Executive, Legislative and Judiciary branches of government, including county governments, the Department of Education, University of Hawaii, Hawaii Health Systems Corporation, and the Office of Hawaiian Affairs.
- B. Procurement Policy Board. A seven member autonomous board serves as the rule making body for all procurement law. There is no direct reporting or oversight relationship between the Procurement Policy Board and the Chief Procurements Officers.
- C. State Procurement Office and the Administrator. The State Procurement Office (SPO) is administratively attached to the Department of Accounting and General Services (DAGS). The Administrator of the SPO is responsible for assisting and advising governmental bodies in matters relating to the procurement process. The SPO serves as the central point for the distribution of procurement circulars, guidance, and directives to all jurisdictions. The SPO and the Administrator provide support to the Procurement Policy Board. The Administrator also serves as one of the CPOs with the responsibility for all executive branch procurements, except for the Department of Education, University of Hawaii, Hawaii Health Systems Corporation and the Office of Hawaiian Affairs.

State Historic Preservation Division

Standard Operating Procedure

Procurement

V. Methods of Source Procurement

- A. **Small Purchase.** A small purchase procurement is for an expenditure under \$100,000 for goods and services, or less than \$250,000 for construction. Small Purchases shall not be parceled by dividing the purchase of same, like or related items of goods, services, or construction, during any twelve-month period, so as to evade the statutory competitive source selection requirements. Reference: HRS §103D-305 and HAR chapter 3-122

Purchases between \$15,000 to under \$100,000 shall be conducted on the Hawaii Electronic Procurement System (HIePRO) for Executive departments.

See attachment.

(<http://spo.hawaii.gov>)



State of Hawaii
State Procurement Office
 (<http://spo.hawaii.gov>)

Home (<http://spo.hawaii.gov>) » For State & County Personnel (<http://spo.hawaii.gov/for-state-county-personnel/>) » Manual for State & County Personnel (<http://spo.hawaii.gov/for-state-county-personnel/manual/>) » Procurement (<http://spo.hawaii.gov/for-state-county-personnel/manual/procurement/>) » Solicitation (<http://spo.hawaii.gov/for-state-county-personnel/manual/procurement/solicitation/>) » Goods, Services & Construction (<http://spo.hawaii.gov/for-state-county-personnel/manual/procurement/solicitation/goods-services-construction/>) » Methods of Procurement (<http://spo.hawaii.gov/for-state-county-personnel/manual/procurement/solicitation/goods-services-construction/methods-of-procurement/>) » Small Purchases

SMALL PURCHASES

- Also known as small purchase request for quote.
- Act 173 SLH 2012 (http://www.capitol.hawaii.gov/session2012/bills/GM1276_.PDF) increased small purchase thresholds.

Determination For Use May be used for purchases within the small purchase threshold amount, and award is based on the lowest responsive, responsible quote. Small purchases shall be simple to procure and administer while providing for as much competition as is practicable.

Small purchases method of procurement may not be used for the following:

- Solicitations requiring a vendor to propose something other than price.
- Solicitations where award must be based on criteria other than lowest price.

No parceling: The total of multiple purchases of same, like or related goods, services or construction shall not exceed the small purchase threshold for any 12 month period."...Multiple expenditures shall not be created at the inception of a transaction or project so as to evade the requirements of (HRS Chapter 103D)... "small purchases "...shall not be artificially divided or parceled..."

Basis for Award Lowest responsive, responsible quote.

Brief Description of Procedure A small purchase request for quotation is developed including specifications, administrative requirements, provisions, etc. The solicitation is issued on an eProcurement System (State of Hawaii eProcurement System - HiePRO for the Executive Branch). Award is issued on the

eProcurement system to the lowest, responsible, responsive offeror. Awards of \$2,500 and greater are reported on the SPO awards posting system.

For solicitations between \$5,000 and less than \$15,000 - for the Executive Branch (\$25,000 for other CPO Jurisdictions) 3 written quotes may be solicited from vendors who may provide the goods, services or construction being solicited. Awards of \$2,500 and above are reported on the Awards Posting website (Executive Branch).

**Monetary
Cap**

Goods and services: less than \$100,000*
Construction: less than \$250,000*

- *Monetary cap was increased by Act 173 SLH 2012.
- Cap applies to combined total of all same, like or related goods, services or construction purchases within any 12 month period.

**Term Limit of
Contract**

In accordance with the request for quote.

**Public Notice
of Solicitation**

Not required.

Note: Small purchases of \$25,000 and greater shall be procured using an eProcurement system. Chief Procurement Officers may be more restrictive. For the executive branch, use of the eProcurement system is required for all small purchases of \$15,000 and greater.

**Public Notice
of Award**

Required. Awards of \$2,500 and above shall be posted to Awards Reporting Website (Executive Branch) within 7 days of award (Procurement Circular 2012-04 Instructions.) HiePRO awards are automatically posted.

Protests

Allowed for any phase of solicitation and award.

- Protest of any phase of solicitation: shall be submitted in writing prior to receipt of offers. (HAR Section 3-126-3)
- Protest of an award: shall be submitted in writing within 5 working days of posting of award. (HAR Section 3-126-4)
- Stay of Procurement: Once filed, no further action shall be taken on the procurement until the protest has been settled. (HAR Section 3-126-5)

(Reference: HRS Section 103D-701 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0701.htm))

Preferences

Preferences do not apply.

**Electronic
Procurement
System**

- For Executive Branch: required for all purchases of \$15,000 or greater. State of Hawaii eProcurement System (HiePRO) shall be used. HiePRO may also be used for smaller purchases.

- For other CPO jurisdictions: required for small purchases of \$25,000 and greater.

STATUTES & RULES

Hawaii Revised Statutes (HRS) Chapter 103D (Table of contents (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-.htm)) (Links to sections (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/))

- HRS Section 103D-305 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0305.htm)
- HRS Section 103D-101 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0101.htm) Requirements of Ethical Procurement

Hawaii Administrative Rules (HAR) Chapters 3-120 to 3-132 (<http://spo.hawaii.gov/references/har/goods/>) (all chapters apply)

- HAR Chapter 3-122, Subchapter 8 (<http://spo.hawaii.gov/wp-content/uploads/2013/11/har3-122.pdf>)
- HAR Section 3-131-1.02, Procurement Code of Ethics (<http://spo.hawaii.gov/wp-content/uploads/2013/11/har3-131.pdf>)

REFERENCE

- Small Purchase Procurement Method Awards (http://hawaii.gov/spo2/source/search_results.php?sourcethodID=3)
- Department of the Attorney General Conditions (Form AG-008) (<http://spo.hawaii.gov/wp-content/uploads/2014/02/103D-General-Conditions.pdf>)

State Historic Preservation Division

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Procurement

B. Competitive Sealed Bidding. Unless otherwise provided by law and administrative rules, contracts \$100,000 or more for goods, services, or construction shall be made pursuant to the competitive sealed bidding process. Competitive sealed bidding includes the issuance of a written invitation for bids containing the scope of work, purchase description, specifications, and the contractual terms and conditions applicable to the procurement. Award is made to the lowest responsive and responsible bidder. Reference: HRS §103-302 and HAR 3-122.

See attachment.



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COMPETITIVE SEALED BIDDING

This is the method of procurement used most frequently. The Invitation for Bids (IFB) is the solicitation document.

<p>Determination For Use</p>	Method of procurement to be used unless it is not feasible.
<p>Basis for Award</p>	Lowest responsive, responsible bidder.
<p>Brief Description of Procedure</p>	An invitation for bid is prepared including specifications for the goods, services or construction, and administrative requirements, provisions, etc. Public notice is issued inviting offerors to submit bids by a specified submittal date.
<p>Monetary Cap</p>	In accordance with the contract.
<p>Term Limit of Contract</p>	In accordance with the contract.
<p>Public Notice of Solicitation</p>	<p>Required. Shall be posted for a minimum of 10 days between the solicitation release date and bid submittal due date (a total of 12 days). Notices shall include brief description of goods, services or construction, due date for bid submittals, where and when solicitation may be obtained, contact information, pre-bid conference information and any other information as applicable.</p> <ul style="list-style-type: none"> • HlePRO solicitations: When a solicitation is conducted on HlePRO, procurement notice of solicitation is automatically posted. • For solicitations not conducted on HlePRO, the notice shall be posted manually to

Reference: HAR Sections 3-122-16.02, 3-12-16.03



Required. Must be posted to contract awards website (<http://hawaii.gov/spo2/>) (Executive branch) within 7 calendar days of award. Exception: HlePRO awards are automatically posted.

Protests

Allowed for any phase of solicitation and award.

- Protest of any phase of solicitation: shall be submitted in writing prior to receipt of offers. (HAR Section 3-126-3)
- Protest of an award: shall be submitted in writing within 5 working days of posting of award. (HAR Section 3-126-4)
- Stay of Procurement: Once filed, no further action shall be taken on the procurement until the protest has been settled. (HAR Section 3-126-5)

(Reference: HRS Section 103D-701 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0701.htm))

Preferences

Preferences apply. Applicable preferences are addressed in the solicitation.

Electronic

- Use of an electronic procurement system is permitted.



- For the Executive Branch the electronic procurement system to be used is HlePRO.

STATUTES & RULES

Hawaii Revised Statutes (HRS) Chapter 103D (Table of contents

(http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-.htm)) (Links to sections (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/))

- HRS Section 103D-302 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0302.htm) Competitive Sealed Bidding
- HRS Section 103D-101 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0101.htm) Requirements of Ethical Procurement

Hawaii Administrative Rules (HAR) Chapters 3-120 to 3-132 (<http://spo.hawaii.gov/references/har/goods/>) (all chapters apply)

- HAR Chapter 3-122, Subchapter 5 (<http://spo.hawaii.gov/wp-content/uploads/2013/11/har3-122.pdf>)
- HAR Section 3-131-1.02, Procurement Code of Ethics (<http://spo.hawaii.gov/wp-content/uploads/2013/11/har3-131.pdf>)

REFERENCE

- Competitive Sealed Bidding Award/Contract Information (http://hawaii.gov/spo2/source/search_results.php?sourcemethodID=1)
- Department of the Attorney General Conditions (Form AG-008) (<http://spo.hawaii.gov/wp-content/uploads/2014/02/103D-General-Conditions.pdf>)
- Preferences (<http://spo.hawaii.gov/for-state-county-personnel/manual/procurement/solicitation/goods-services-construction/preferences/>)

State Historic Preservation Division

Standard Operating Procedure

Procurement

C. **Competitive Sealed Proposals.** The competitive sealed proposal process or a request for proposal is used when it is not practical or not advantageous to use competitive bidding for contracts \$100,000 or more. Factors to be considered in determining whether competitive sealed bidding is not practical include:

1. Whether the primary consideration in determining award is not price;
2. The scope of work or specifications cannot be sufficiently described in the invitation for bid;
3. Whether discussions about the price or technical aspects of the proposals may be required;
4. Whether bidders may need the opportunity to revise their proposals.

After award, debriefing of non-selected bidders to be held, upon written request by a bidder. Reference: HRS §103D-303 and HAR chapter 3-122.

See attachment.

(<http://spo.hawaii.gov>)



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COMPETITIVE SEALED PROPOSALS

- The Request for Proposals (RFP) is the solicitation document for this method of procurement.
- It is used when price is not the most critical factor or the offeror is being asked to propose a means for accomplishing a stated outcome.
- Criteria for evaluation of proposals shall be stated in the solicitation.

Determination For Use Competitive Sealed Bidding is not practicable or advantageous; price is not the most critical factor. To utilize this method of procurement:

- It must be on the list of Procurements Approved for Competitive Sealed Proposals (HAR Chapter 3-122); or
- Written determination and justification shall be made by the head of the purchasing agency and kept in the procurement file. See HAR Section 3-122-43 for criteria for determination to use competitive sealed proposal method of procurement.

Basis for Award In accordance with the RFP criteria.

Brief Description of Procedure A request for proposals (RFP) is prepared including the scope of work, evaluation criteria, administrative requirements and provisions and submittal due date. Public notice is issued inviting offerors to submit a proposal in accordance with the RFP. A pre-proposal conference may be held.

Upon the submittal deadline the proposals are evaluated either by the procurement officer or an evaluation committee. Best and final offers may be solicited from priority-listed offerors.

Award is made to the proposal with the highest score.

Monetary Cap In accordance with the contract.

Term Limit of Contract In accordance with the contract.

Public Notice of Solicitation **Required.** Shall be posted for a minimum of 30 days between first date of availability of solicitation and submittal due date of offers, a total of 32 days.

Public Notice of Award **Required.** Must be posted to contract awards website (<http://hawaii.gov/spo2/>) (Executive branch) within 7 calendar days of award.

Protests Allowed for any phase of solicitation and award.

- Protest of any phase of solicitation: shall be submitted in writing prior to receipt of offers. (HAR Section 3-126-3)
- Protest of an award: shall be submitted in writing within 5 working days of posting of award. (HAR Section 3-126-4)
- Stay of Procurement: Once filed, no further action shall be taken on the procurement until the protest has been settled. (HAR Section 3-126-5)

(Reference: HRS Section 103D-701 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0701.htm))

Preferences Preferences apply. Applicable preferences are addressed in the solicitation.

Electronic Procurement System Use of an electronic procurement system is not required.

STATUTES & RULES

Hawaii Revised Statutes (HRS) Chapter 103D, Hawaii Public Procurement Code (Table of contents (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-.htm)) (Links to sections (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/))

- HRS Section 103D-303 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0303.htm) Competitive Sealed Proposals
- HRS Section 103D-101 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0101.htm) Requirements of Ethical Procurement

Hawaii Administrative Rules (HAR) Chapters 3-120 to 3-132 (<http://spo.hawaii.gov/references/har/goods/>) (all chapters apply)

- HAR Chapter 3-122, Subchapter 6 (<http://spo.hawaii.gov/wp-content/uploads/2013/11/har3-122.pdf>)

- HAR Section 3-131-1.02, Procurement Code of Ethics (<http://spo.hawaii.gov/wp-content/uploads/2013/11/har3-131.pdf>)

REFERENCE

- Competitive Sealed Proposal Awards (http://hawaii.gov/spo2/source/search_results.php?sourcethodID=2)
- Department of the Attorney General Conditions (Form AG-008) (<http://spo.hawaii.gov/wp-content/uploads/2014/02/103D-General-Conditions.pdf>)
- Preferences (<http://spo.hawaii.gov/for-state-county-personnel/manual/procurement/solicitation/goods-services-construction/preferences/>)

State Historic Preservation Division

Standard Operating Procedure

Procurement

D. Sole Source Procurement. A sole source procurement is authorized when there is only one source available for the goods, services, or construction. To justify a sole source purchase it must be established that:

1. The good, service, or construction has a unique feature, characteristic, or capability;
2. The unique feature, characteristic, or capability is essential in order for the agency to accomplish its work;
3. The particular good, service, or construction is available from only one source.

Reference: HRS §103D-306 and HAR chapter 3-122

See attachment.

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Home (<http://spo.hawaii.gov>) » For State & County Personnel (<http://spo.hawaii.gov/for-state-county-personnel/>) » Manual for State & County Personnel (<http://spo.hawaii.gov/for-state-county-personnel/manual/>) » Procurement (<http://spo.hawaii.gov/for-state-county-personnel/manual/procurement/>) » Solicitation (<http://spo.hawaii.gov/for-state-county-personnel/manual/procurement/solicitation/>) » Goods, Services & Construction (<http://spo.hawaii.gov/for-state-county-personnel/manual/procurement/solicitation/goods-services-construction/>) » Methods of Procurement (<http://spo.hawaii.gov/for-state-county-personnel/manual/procurement/solicitation/goods-services-construction/methods-of-procurement/>) » Sole Source

SOLE SOURCE

This method of procurement is used when there is only one source.

Determination For Use There is only one source for the good, service or construction; and either:

- Approved for Sole Source by Procurement Policy Board (HAR Section 3-122-81(j)); or
- Approved in writing by the chief procurement officer.

Basis for Award Approved single source at agreed upon price.

Brief Description of Procedure Procurement officer determines a procurement may qualify as sole source. Procurement officer checks the current list of procurements approved by the Procurement Policy Board as Sole Source per Chapter 3-122 Procurements Approved for Sole Source. If not on the list, a form SPO-001 Notice and Request for Sole Source Procurement is completed including justification, signed and submitted by the head of the purchasing agency to the chief procurement officer. The chief procurement officer posts the notice, reviews the request and posts the approval/disapproval on the SPO website. The CPO will not issue any action to approve until 7 days after posting of the notice, to allow time for objections.

Awards are posted on the Awards reporting site by the department within 7 days of award.

Monetary Cap In accordance with the approved sole source and contract. Awards over \$100,000 require cost or pricing data (HAR Section 3-122-123)

Term Limit of Contract 1 year

Public Notice of Solicitation Chief procurement officer posts the notice of sole source for a minimum of 7 days before approval action by chief procurement officer.

Public Notice of Award Required. Awards of \$2,500 and greater must be posted to Awards Reporting Website (Executive Branch) within 7 days of award.

Protests

Inquiries or objections shall be submitted in writing as stated in the Notice of Sole Source.

- **Protest of an award:** shall be submitted in writing within 5 working days of posting of award. (HAR Section 3-126-4)
- **Stay of Procurement:** Once filed, no further action shall be taken on the procurement until the protest has been settled. (HAR Section 3-126-5)

(Reference: HRS Section 103D-701 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0701.htm))

Preferences Preferences do not apply.

Electronic Procurement System Not used for this method of procurement at this time.

STATUTES & RULES

Hawaii Revised Statutes (HRS) Chapter 103D (Table of contents

http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-.htm) (Links to sections (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/))

- HRS Section 103D-306 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0306.htm) Sole Source Procurement
- HRS Section 103D-101 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0101.htm) Requirements of Ethical Procurement

Hawaii Administrative Rules (HAR) Chapter 3-122, Subchapter 9 Sole Source Procurement

- All Chapters (<http://spo.hawaii.gov/references/har/goods/>)
 - 3-120 General Provisions
 - 3-121 Procurement Organization
 - 3-122 Source Selection and Contract Formation
 - 3-123 Cost Principles
 - 3-125 Modifications and Terminations of Contracts
 - 3-126 Legal and Contractual Remedies
 - 3-128 Governmental Relations and Cooperative Purchasing

- 3-131 Compliance
- 3-132 Value Engineering Incentives in Construction Contracts

REFERENCE

- Sole Source Awards (http://hawaii.gov/spo2/source/search_results.php?sourcemethodID=5)
- Requests for Sole Source – CPO Approvals (<http://hawaii.gov/spo2/solesource/>) (Executive Branch)
- Department of the Attorney General Conditions (Form AG-008) (<http://spo.hawaii.gov/wp-content/uploads/2014/02/103D-General-Conditions.pdf>)

State Historic Preservation Division

Standard Operating Procedure

Procurement

- E. **Professional Services.** Professional services are generally procured through HRS § 103D-304 process that requires a purchasing agency to develop a list of individuals who have been qualified through the agency's review committee to perform an anticipated professional service for the agency. When the need for the professional services arises, the agency then establishes a selection committee who provide the head of the purchasing agency with the names of a minimum of three persons, in ranked order, determined to be the most qualified. The head of the purchasing agency shall negotiate with the first group of names, then the selection committee may be asked to submit a minimum of three additional names. After award, debriefing of non-selected bidders to be held, upon written request by bidder

Reference: HRS §103D-304 and HAR chapter 3-122.

See attachment.



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PROFESSIONAL SERVICES

Professional Services pursuant to HRS Section 103D-104, are those services within the scope of practice of architecture, engineering, law, medicine, accounting, etc. defined as professional by the laws of the State of Hawaii or the scientific occupation series contained in the United States Office of Personnel Management's Qualifications Standards Handbook (<http://www.opm.gov/policy-data-oversight/classification-qualifications/general-schedule-qualification-standards/#url=Group-Standards>).

Determination For Use	This method may be utilized only for those professions defined by statute or listed in the United States Office of Personnel Management's Qualifications Standards Handbook. Design professional services furnished by licensees under HRS Chapter 464 (http://www.capitol.hawaii.gov/hrscurrent/Vol10_Ch0436-0474/HRS0464/HRS_0464-.htm) must be procured by this method.
Basis for Award	Awarded to qualified respondent that meets determined criteria by evaluation committee. Prices are agreed to between the State and the vendor.
Brief Description of Procedure	For each professional service in which there is an anticipated need, a public notice of request for qualifications is issued inviting offerors to submit their qualifications for consideration in response to the request. The review committee evaluates all submissions and prepares a list of qualified providers. When the service is needed, a selection committee evaluates and ranks the qualified providers based on criteria in accordance with statute. The head of purchasing agency (HOPA) negotiates with the highest ranked offeror. If no agreement can be reached, the HOPA negotiates with the next highest ranked and so on until an acceptable contract agreement is reached.
Monetary Cap	In accordance with the contract.

Term Limit of Contract In accordance with the contract.

Public Notice of Solicitation **Required.** Shall be posted.

Public Notice of Award **Required.** Must be posted to Professional Services Awards Reporting Website (<http://spo3.hawaii.gov/psa/professional-service-awards>) within 7 days of award.

Protests Allowed.

- Protest of an award: shall be submitted in writing within 5 working days of posting of award. (HAR 3-126-4)
- Stay of Procurement: Once filed, no further action shall be taken on the procurement until the protest has been settled. (HAR Section 3-126-5)

(Reference: HRS Section 103D-701 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0701.htm))

Preferences Preferences do not apply.

Electronic Procurement System Electronic procurement system is not being utilized for this method of procurement at this time.

STATUTES & RULES

Hawaii Revised Statutes (HRS) Chapter 103D (Table of contents

(http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-.htm)) (Links to sections (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/))

- HRS Section 103D-304 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0304.htm) Procurement of Professional Services
- HRS Section 103D-101 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0101.htm) Requirements of Ethical Procurement

Also

- HRS Chapter 464 (http://www.capitol.hawaii.gov/hrscurrent/Vol10_Ch0436-0474/HRS0464/HRS_0464-.htm) Professional Engineers, Architects, Surveyors and Landscape Architects
- HRS Section 415A-2 (http://www.capitol.hawaii.gov/hrscurrent/Vol08_Ch0401-0429/HRS0415A/HRS_0415A-0002.htm) Definitions (of Professional Service)

Hawaii Administrative Rules (HAR) Chapters 3-120 to 3-132 (<http://spo.hawaii.gov/references/har/goods/>) (all chapters apply)

- HAR Chapter 3-122, Subchapter 7 Procurement of Professional Services (<http://spo.hawaii.gov/wp-content/uploads/2013/11/har3-122.pdf>)

REFERENCE

- Professional Services Awards (<http://spo3.hawaii.gov/psa/professional-service-awards>)
- Department of the Attorney General Conditions (Form AG-008) (<http://spo.hawaii.gov/wp-content/uploads/2014/02/103D-General-Conditions.pdf>)

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Procurement

- F. **Emergency Procurement.** An emergency condition means a situation, which creates a threat to public health, welfare, or safety. This procurement process applies to all emergency procurement expenditures for goods, services, or construction, and may be utilized only to purchase that which is necessary to cover the emergency. Reference: HRS §103D-307 and HAR chapter 3-122.

See attachment.

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EMERGENCY

This method is used to address immediate needs of an emergency.

Determination For Use

This method of procurement may be used under the following conditions:

- Unanticipated threat to life, public health, welfare or safety.
- For immediate and serious needs only. Not to include subsequent or non-emergency requirements.

Basis for Award

As determined by the situation.

Brief Description of Procedure

In selecting vendor, as much competition as feasible. Written approval by chief procurement officer may be obtained prior to or after-the-fact.

Monetary Cap

As stated in the approval by the chief procurement officer.

Term Limit

Immediate need only. As stated in the approval by the chief procurement officer.

Public Notice

Not required.

Public Notice of Award

Awards of \$2,500 and above shall be posted on the awards posting site within 7 days of award. (Executive Branch)

Protests

None provided by statute.

Preferences

Preferences do not apply.

Electronic Procurement

May be utilized for this method of procurement when feasible. May be directed to do so by the chief procurement officer.

System

STATUTES & RULES

Hawaii Revised Statutes (HRS) Chapter 103D (Table of contents

(http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-.htm) (Links to sections (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/))

- HRS Section 103D-307 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0307.htm) Emergency Procurement
- HRS Section 103D-101 (http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103D/HRS_0103D-0101.htm) Requirements of Ethical Procurement

Hawaii Administrative Rules (HAR) Chapters 3-120 to 3-132 (<http://spo.hawaii.gov/references/har/goods/>) (all chapters apply)

- HAR Chapter 3-122, Subchapter 10 (<http://spo.hawaii.gov/wp-content/uploads/2013/11/har3-122.pdf>)

REFERENCE

- Requests for Emergency Procurement – CPO Approvals (<http://hawaii.gov/spo2/emergency/>) (Executive Branch)
- Emergency Procurement Awards (Public Site) (http://webdev5.hawaii.gov/spo2/source/search_results.php?sourcemethodID=6)
- Department of the Attorney General Conditions (Form AG-008) (<http://spo.hawaii.gov/wp-content/uploads/2014/02/103D-General-Conditions.pdf>)

State Historic Preservation Division

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- G. Exemptions. An agency may request an exemption from procurement from their respective CPO when it is determined that none of the six methods of procurement is able to meet their needs, and it is not advantageous or not practical to competitively procure the goods, services, or construction. Reference: HRS § 103D-102 and HAR chapter 3-120.

See attachments.

What kinds of Procurements Exemptions are listed in HRS Section 103D-102?

- 1. Grants or subsidies as those terms are defined in section 42F-101, made by the State in accordance with standards provided by law as required by article VII, section 4, of the State Constitution; or by the counties pursuant to their respective charters or ordinances;**
- 2. To make payments to or on behalf of public officers and employees for salaries, fringe benefits, professional fees, or reimbursements;**

Continued HRS 103D-102

3. Obligations that the State is required to pay by law, including paying fees, permanent settlements, subsidies, or other claims, making refunds, and returning funds held by the State as Trustee, custodian, or bailee;
4. Entitlement programs, including public assistance, unemployment, and workers' compensation programs, established by state or federal law;

Continued HRS 103D-102

5. Dues and fees of organizations of which the State or its officers and employees are members, including the National Association of Governors, the National Association of State and County Governments, and the Multi-State Tax Commission;
6. For the deposit, investment, or safekeeping, including expenses related to their deposit, investment, or safekeeping;
7. Awards to governmental bodies of the State

Continued HRS 103D-102

8. Loans, under loan programs administered by a governmental body;
9. Contracts awarded in accordance with Chapter 103F, HRS;
10. Goods, services, or construction from a governmental body other than the University of Hawaii Bookstores, from the federal government, or from another state or its political subdivision;

Continued HRS 103D-102

- 11. Services of expert witnesses for potential and actual litigation of legal matters involving the State, its agencies, and its officers and employees, including administrative quasi-judicial proceedings;**
- 12. Works of art for museum or public display;**
- 13. Research and reference materials including books, maps, periodicals, and pamphlets, which are published in print, video, audio, magnetic, or electronic form;**

Continued HRS 103D-102

- 14. Meats and foodstuffs for the Kalaupapa Settlement;**
- 15. Opponents for athletic contests;**
- 16. Utility services whose rates or prices are fixed by regulatory processes or agencies;**
- 17. Performances, including entertainment, speeches, and cultural and artistic presentations;**
- 18. Goods and services for commercial resale by the State;**

Continued HRS 103D-102

19. **Services of printers, rating agencies, support facilities, fiscal and paying agents, and registrars for the issuance and sale of the State's or Counties' bonds;**
20. **Services of attorneys employed or retained to advise, represent, or provide any other legal service to the State or any of its agencies, on matters arising under laws of another state or foreign country, or in an action brought in another state, federal or foreign jurisdiction, when substantially all legal services are expected to be performed outside this state;**

Continued HRS 103D-102

21. Financing agreements under chapter 37D, HRS; and
22. Trade agreements, including the Uruguay Round General Agreement on Tariffs and Trade (GATT) which requires certain non-construction and non-software development procurements by the comptroller to be conducted in accordance with its terms.

What kinds of Procurements Exemptions are listed on Exhibit A in HAR Chapter 3-120?

1. Research, reference, and educational materials, including books, maps, periodicals, and pamphlets, which are published or available in print, video, audio, magnetic, or electronic forms, including web-based databases;
2. Services of printers, rating agencies, support facility providers, fiscal and paying agents, and registrars for the issuance and sale of the State's or counties' bonds;

HAR Chapter 3-120 Exhibit A Continued

- 3. Services of lecturers, speakers, trainers, facilitators and scriptwriters, when the provider possess specialized training methods, techniques, or expertise in the subject matter;**

HAR Chapter 3-120 Exhibit A Continued

4. Services of legal counsel, guardian ad litem, psychiatrists, psychologists, receivers and masters, when, required by court order;
5. ~~Fresh meats and produce;~~ (No longer, Act 175)
6. Insurance to include insurance broker services;
7. ~~Animals and plants;~~ (No longer, Act 175)
8. New or used items which are advantageous and available on short notice through an auction bankruptcy, foreclosure, etc.

HAR Chapter 3-120 Exhibit A Continued

9. Food and fodder for animals;
10. Facility costs for conferences, meetings, and training sessions;
11. Advertisements in specialized publications, such as in ethnic or foreign language publications, trade publications, or professional publications;
12. Arbitrators and mediator services;
13. Interpreter services

HAR Chapter 3-120 Exhibit A Continued

14. Procurement of repair services when dismantling is required to assess the extent of repairs;
15. Burial services consisting of mortuary crematory, cemetery, and other essential services for deceased indigent persons or unclaimed corpses;
16. Radio and television airtime when selection of station is based on the targeted audience (i.e., ethnic or age group, gender, etc)

HAR Chapter 3-120 Exhibit A Continued

17. Subscription costs and registration or workshop fees for conferences or training; and
18. Court Reporter Services.

State Historic Preservation Division

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VI. Executive Memorandum (EM)

- A. The SHPD staff handling procurement should be familiar with the Budget & Finance budget execution policies and instructions provided annually at the commencement of a new fiscal year.
- B. Approval authority is delegated to department heads by the Governor to make expenditures less than \$100,000. Procurements of \$100,000 or greater require the Governor's approval unless they fall under one of the exceptions listed in the EM, such as routine maintenance services necessary for ongoing operations.
- C. The Chairperson's approval is required for out of state travel under all methods of funding.
- D. The Governor's approval through Budget & Finance is required for single purchase orders of equipment totaling \$100,000 or more, except for federal funds.
 1. Department heads are delegated the authority to approve the purchase of equipment items which are 100% federally funded, or for all other means of financing, on single purchase orders which total less than \$100,000.
 2. All information technology and telecommunication purchases require submittal of the following items to the Office of Information Management Technology via IT-DLNR:
 - Hardware or software purchases -- Form T205
 - Telecommunications and network -- Form ICSD-001
- E. The Governor's approval is required for single purchase orders of motor vehicles totaling \$100,000 or more, except for federal funds.
 1. Department heads are delegated the authority to approve the purchase of motor vehicles which are 100% federal funded, or for all other means of financing, on single purchases which total less than \$100,000.
 2. The purchase of used or surplus vehicles requires the approval of the Chairperson.

State Historic Preservation Division

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3. All passenger vehicles, leased or purchased, new or used, also required the Comptroller's approval.
- F. Purchase orders requiring the Chairperson's approval must be sent to the Fiscal Office first for review and approval before transmittal to the Chair.
- G. Purchase orders must be submitted to and approved by the Fiscal Office prior to ordering and receipt of any goods or services.
- H. Procurement thresholds for purchases:
 1. Under \$5,000
 - Requires selection under adequate and reasonable competition;
 - Requires selection of the lowest or best value for the STATE;
 - Use of SPO Form 010 optional.
 2. \$5,000 to less than \$15,000
 - Requires a minimum of 3 positive quotes by phone, fax or e-mail;
 - Requires selection of the lowest or best value for the STATE;
 - Requires the use of SPO Form 010.
 3. \$15,000 to less than \$100,000
 - Requires the use of the Hawaii Electronic Procurement system (HiePRO) for solicitations;
 - Requires selection of the lowest or best value for the STATE;
 - Requires the attachment of the HiePRO Award Summary Report;
 - Requires the compliance documents to be received prior to award of purchase;
 4. \$100,000 or more
 - Requires using a Competitive Sealed Bid (RFB) or Competitive Sealed Proposal (RFP)
- I. Emergency procurements that are \$5,000 or more require written approval from the State Procurement Office using Form SPO 002, Emergency Procurement Request.

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- J. Sole Source procurement that are \$5,000 or more require prior written approval from the State Procurement Office using Form SPO 001, Notice and Request for Sole Source.
- K. All procurements of \$2,500 or more, including pCard, purchase order, HIePRO and contracts, require proof of vendor compliance from the Hawaii Compliance Express (HCE) prior to the award of purchase.
- Exceptions: Emergency procurements, SPO Price/Vendor List Contracts, utilities, governmental bodies, and other procurements exempt from Chapter 103D-102.
- L. Parceling Not Allowable:
1. Purchases of goods, services and construction shall not be parceled by dividing purchases that are the same, like or related into smaller quantities.
 2. The expenditure threshold applies for any 12 month period, not fiscal or calendar year.
 3. A purchase may be for more than 12 months if the total expenditure does not exceed small purchase thresholds, which includes recurring annual service contracts.
 4. Purchases shall not be artificially divided because of various funding sources.
- M. All awards by the procurement methods listed below are required to be posted on the Awards reporting system within seven calendar days of the award date:
1. Competitive Sealed Bidding (IFB)
 2. Competitive Sealed Proposals (RFP)
 3. Professional Services (awards posted on the Professional Services Awards posting webpage)
 4. Small Purchases \$2,500 or more

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5. Sole Source \$2,500 or more
 6. Emergency \$2,500 or more
 7. Exemption \$2,500 or more
 8. Contract amendments, extensions, change orders, supplemental agreements
- N. Access to various State systems is restricted to State employees only. The SHPD Division Administrator and staff should attend the required training and have the proper procurement delegated authority to conduct and participate in procurement activities.
- O. Department system Administrator's to create new users, reset passwords, and other questions contact the following staff:
1. HiePRO
 - Dennis Takahashi – administrator
 - Jean Daguio – alternate
 2. Datamart
 - Dennis Takahashi – administrator
 - Jean Daguio – alternate
 - Eleanor Chun-Lum – alternate
 - Grace Teves – alternate
 3. FAMIS
 - Dennis Takahashi – administrator
 4. Risk Management
 - Jean Daguio – administrator
 - Bobet Obedoza – alternate
- P. A small purchase HiePRO solicitation should not be awarded electronically to its successful bidder until its purchase order has been approved by the Fiscal Office.

State Historic Preservation Division

Standard Operating Procedure

Procurement

VII. Terms and Conditions Worksheet – see attached.

NEIL ABERCROMBIE
GOVERNOR OF HAWAII



STATE OF HAWAII
DEPARTMENT OF LAND AND NATURAL RESOURCES
STATE HISTORIC PRESERVATION DIVISION
601 KAMOKILA BOULEVARD, ROOM 555
KAPOLEI, HAWAII 96707

WILLIAM J. AILA, JR.
CHAIRPERSON
BOARD OF LAND AND NATURAL RESOURCES
COMMISSION ON WATER RESOURCE MANAGEMENT

GUY KAULUKUKUI
FIRST DEPUTY

WILLIAM M. TAM
DEPUTY DIRECTOR - WATER

AQUATIC RESOURCES
BOATING AND OCEAN RECREATION
BUREAU OF CONVEYANCES
COMMISSION ON WATER RESOURCE MANAGEMENT
CONSERVATION AND COASTAL LANDS
CONSERVATION AND RESOURCES ENFORCEMENT
ENGINEERING
FORESTRY AND WILDLIFE
HISTORIC PRESERVATION
KAHOOLAWE ISLAND RESERVE COMMISSION
LAND
STATE PARKS

Date: _____

Title: _____

Terms and Conditions Worksheet
(Non-Construction)

1. Amount: \$ _____

Detail Breakdown:

a. \$ _____

b. \$ _____

2. Scope(s) of Work: See attached.

3. Minimum Qualifications: See attached; Not Applicable.

4. Procurement: Small Purchase solicitation for goods and services

Form SPO-010a, HePS;

RFP; Sole Source, HAR 3-122;

Exempt from Chapter 103D, HRS.

5. Duration of Contract: 12-months;

Other: _____

6. Compensation Schedule:

a. & b. Monthly Invoice and/or Final Invoice upon completion of work with signed statement certifying the completion of work in accordance with the terms and conditions of the contract for goods and services accompanied by an invoice on company letterhead, the other required documentation accompanied including but not limited to a Certificate of Vendor Compliance.

7. Funding:

Budgeted, Non-Budgeted:

General Funds (G-XX-082);

Federal Funds (S-XX-209).

8. Approval:

Governor; BLNR; Chair; Administrator

9. Executed by:

Contract with AG's Approval; Purchase Order.

10. Encumbered by:

Purchase Order, or other _____.

11. Compliance:

Received Vendor's Compl. Certificate – Yes, No.

12. Special Conditions:

a. _____

b. _____

Accepted by: _____

Date: _____

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VIII. SPO Record of Procurement Form SP0-010 – see attached.



STATE PROCUREMENT OFFICE RECORD OF PROCUREMENT

1. Agency: _____

2. PO/pCard. No. _____

3. Date: _____

4. Project/Requisition/Work Order No. _____

5. Record for: Small Purchase procurements for goods, services, & construction \$5,000 to less than \$15,000 (HRS §103D-305)*

Small Purchase procurements for health & human services less than \$25,000 (HRS §103F-405)

* Small purchases \$15,000 to less than \$100,000 (goods & services) and less than \$250,000 (construction) shall be conducted on the Hawaii Electronic Procurement System (HePS) pursuant to Procurement Circular No. 2012-04.

6. **PART A.** Description of good/service/construction to be procured (Ref. HAR chapter 3-122, subchapter 8):

Empty box for description of good/service/construction.

7. **PART B.** Quotations Solicited - Obtain no less than three written quotes (Ref. HAR §3-122-75(b) & (c)):

Award To: (Check Box) 8. Vendor/Company Name 9. Representative Name 10. Phone No 11. Date of Quote 12. Amount Quoted

- 1.
- 2.
- 3.
- 4.
- 5.

Empty box for listing quotations.

13. **PART C.** Justification for inability to obtain minimum three quotations, if applicable (Ref. HAR §3-122-75(d)):

Empty box for justification for inability to obtain quotations.

14. **PART D.** Justification for award to other than lowest responsive, responsible vendor, if applicable (Ref. HAR §3-122-75(e)):

Empty box for justification for award to other than lowest responsive vendor.

Employee** conducting procurement:

Procurement Officer** approval:

Signature _____ Date _____

Signature _____ Date _____

**In accordance with Procurement Delegation No. 2010-01 – Delegation of Procurement Authority

FILE A COPY AS SUPPORTING DOCUMENTATION IN THE PROCUREMENT FILE.

State Historic Preservation Division

Standard Operating Procedure

Procurement

IX. Requirements of Ethical Public Procurement – see attached.

PART I. GENERAL PROVISIONS**§103D-101 Requirements of ethical public procurement. (a)**

all public employees shall conduct and participate in public procurement in an ethical manner. In conducting and participating in procurement, public employees shall:

- (1) Act as a fiduciary and trustee of public moneys;
- (2) Remain independent from any actual or prospective bidder, offeror, contractor, or business;
- (3) Act only in the public interest;
- (4) Abide by the statutes and administrative rules relating to public procurement;
- (5) Identify and maximize efficiencies in the public procurement process;
- (6) Encourage economic competition by:
 - (A) Ensuring that all persons are afforded an equal opportunity to compete in a fair and open environment; and
 - (B) Researching innovative goods and services to meet the public's needs;
- (7) Avoid the intent and appearance of unethical behavior;
- (8) Avoid social interactions with any actual or prospective bidder, offeror, contractor, business, or other interested parties during the procurement process;
- (9) Maintain confidentiality in a manner that ensures a fair procurement process;
- (10) Remain impartial in dealings with any actual or prospective bidder, offeror, contractor, business, or other interested parties; and
- (11) Identify and eliminate any conflicts of interest.

(b) Any actual or prospective bidder, offeror, [contractor], or business taking part in the conduct of public procurement, shall act in good faith to practice purchasing ethics, and when applicable, display business integrity as a responsible offeror through the public procurement process, including but not limited to the following:

- (1) Avoiding the intent and appearance of unethical behavior or business practices;
- (2) Refraining from any activity that would create the appearance of impropriety or conflicts of personal interest and the interests of the State or counties;
- (3) Identifying and eliminating any conflicts of interest; and

(4) Ensuring that all persons are afforded an equal opportunity to compete in a fair and open environment.

(c) All parties involved in the negotiation, performance, or administration of state contracts shall act in good faith. [L Sp 993, c 8, pt of §2; am L 2010, c 207, §1]

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SECTION 2

ADMINISTRATION

Inventory

OP CODES
0 - Summary Control
A - Add

REC CODES
0 - Summary Control

1 - Org/Loc Header Title
3 - Detail Inventory

EQUIPMENT
Classification of Property

STATE OF HAWAII
DEPT. OF ACCOUNTING & GENERAL SERVICES
DETAIL INVENTORY OF PROPERTY
AGS FORM 17-A (REV 10/01) Excel97

Date Prepared **September 23, 2013**
Quarter Ended Date **September 30, 2013**

PAGE **1** OF **1**

OR	G	R	D	S	I	F	U	N	D	P	R	E	Y	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	84-91
A	3	02	3	0	1	6	4	001	3060931	3375	1	COMPUTER DELL OPTI PLEX 7010 #3CT2XV1	13	5	2,067.27		C3 1087							
A	3	02	3	0	1	6	4	001	3064342	3375	1	COMPUTER DELL OPTI PLEX 7010 #3CS3XV1	13	5	2,064.27		C3 1079							
A	3	02	3	0	1	6	4	001	3060933	3375	1	COMPUTER DELL OPTI PLEX 7010 #3CS4XV1	13	5	2,064.27		C3 1084							
A	3	02	3	0	1	6	4	001	3060934	3375	1	COMPUTER DELL OPTI PLEX 7010 #3CQ3XV1	13	5	2,064.27		C3 1078							
A	3	02	3	0	1	6	4	001	3060935	3375	1	COMPUTER DELL OPTI PLEX 7010 #3CQ4XV1	13	5	2,064.27		C3 1080							
A	3	02	3	0	1	6	4	001	3060936	3375	1	COMPUTER DELL OPTI PLEX 7010 #3CT4XV1	13	5	2,064.27		C3 1081							
A	3	02	3	0	1	6	4	001	3060942	3375	1	COMPUTER DELL OPTI PLEX 7010 #3CR4XV1	13	5	2,064.27		C3 1085							
A	3	02	3	0	1	6	4	001	3060943	3375	1	COMPUTER DELL OPTI PLEX 7010 #3CV2XV1	13	5	2,064.27		C3 1106							
A	3	02	3	0	1	6	4	001	3064341	3375	1	COMPUTER DELL OPTI PLEX 7010 #3CP4XV1	13	5	2,064.27		C3 1110							

PROPERTY CUSTODIAN
NICK ANN THOMPSON
Interim-Administrator

PREPARED BY: FULL NAME & PHONE NO.
Randolph M. K. Lee III, 692-8033
Phone Number

PURCHASED FROM
APRN SYMBOL
S-13-209

OP CODES

0 - Summary Control

A - Add

C - Change

D - Delete

X - Removal

REC CODES

0 - Summary Control

1 - Org/Loc Header Title

3 - Detail Inventory

EQUIPMENT

Classification of Property

STATE OF HAWAII
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PAGE 1

OF 1

O P C C O D E	R E C O D E	ORG CODE					P R O P E R T Y	LOC CODE	MAINT CONTROL NUMBER	ITEM CLASS	QTY	DESCRIPTION OF PROPERTY <small>START WITH A NOUN INCLUDE IF APPLICABLE MAKE / MODEL / SERIAL NUMBER</small> <i>Maximum : 39 Characters Including Blank Spaces</i> <i>Font Size 11 or 12</i>	PURCHASED FROM APRN SYMBOL	FISCAL YEAR	A C C O U N T I N G	CARRYING VALUE OF ITEMS ON HAND AND ACQUIRED SINCE JULY 1st LAST YEAR BY	D E C R E A S E D	VALUE OF ITEMS REMOVED FROM INVENTORY DURING FISCAL YEAR BY	DECAL NUMBER
		D E P T	D I V	S /	I N D U S T R Y	F U N D													
A	3	02	3	0	3	6	4	001	3060937	3375	1	COMPUTER DELL OPTIPLEX 7010 #3CQ2XV1	S-13-209	13	5	2,064.27			C3 1108
A	3	02	3	0	3	6	4	001	3060938	3375	1	COMPUTER DELL OPTIPLEX 7010 #3CS2XV1		13	5	2,064.27			C3 1109
A	3	02	3	0	3	6	4	001	3060939	3375	1	COMPUTER DELL OPTIPLEX 7010 #3CP3XV1		13	5	2,064.27			C3 1093
A	3	02	3	0	3	6	4	001	3060941	3375	1	COMPUTER DELL OPTIPLEX 7010 #3CT3XV1		13	5	2,064.27			C3 1107

PROPERTY CUSTODIAN
NICK LAMK THOMPSON
Interim-Administrator

PREPARED BY: FULL NAME & PHONE NO.
Randolph M. K. Lee III, 692-8033

Phone Number

2013 SHPD PROPERTY INVENTORY

O	R	ORG CODE				P	R	LOC	MAINT	ITEM	Q	DESCRIPTION OF PROPERTY	FISCAL YEAR		CARRYING VALUE	D	VALUE	DECAL	QTY								
		D	D	S	I								L	A						A	P	Q	P	U	R	I	S
P	C	E	D	S	F	O	CODE	CONTROL NUMBER	CLASS	U	START WITH A NOUN INCLUDE IF APPLICABLE MAKE / MODEL / SERIAL NUMBER)	S	P	OF ITEMS	P	REMOVED	NUMBER	DISP									
A	R	P	V	D	U					A	(LIMITED TO 39 CHARACTERS INCLUDING BLANK SPACES)	T	R	I	S												
T	C	T	I	I	D					N		T	O	I													
I	O	D	S	V	N					T		W	X	T													
O	O	D	I	D	N					Y		O	I	I													
N	D	L	O	N	G							G	E	C													
E	N	N	O	O	OAHU (1)							T		O													
	R	N			GENERAL - STATE (1)							S															
	A	S	E	MAUI (2)	SPECIAL - STATE (2)							D	A	N													
C	S	H			BOND (3)							I	T														
O	D	P		HAWAII (3)	FEDERAL (6)							G															
E	I	D			LAND (1)							T															
N	G			KAUAI (4)	BUILDINGS (2)							S															
O	N				MOTOR VEHICLES (3)																						
E	N				EQUIPMENT (4)																						
N	O				CONTROLLED ITEMS (5)																						
N	D				HISTORIC ITEMS (7)																						
E	B																										
	Y																										
	F																										
	S																										
	C																										
	A																										
	L																										
1	2	3-4	5	6	7	8	9	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	72-82	84-91								
OAHU GENERAL FUND STATE																											
	3	2	3	0	1			4	001	3060610	3221	1	CHAIR SECRETARIAL SWIVEL	61		2	51.00	0.00	C5-2283	0							
	3	2	3	0	1			4	001	3061180	3223	1	DESK ART METAL 9160 FB 60 X 30 GRAY	62		2	167.42	0.00	799	0							
	3	2	3	0	1	1		3	001	3059550	3110	1	TOYOTA 4-RUNNER SPTSWGN VIN#JT3VN39W9L0	90		2	20266.73	0.00	SH-5218	0							
	3	2	3	0	1	1		3	001	3059570	3110	1	2001 JEEP CHEROKEE VIN#1GNM15Z1KB25760	08		5	7000.00	0.00	SH-D546	0							
	3	2	3	0	1	1		3	001	3059560	3120	1	TRUCK TOYOTA HILUX JT4RN38D 8C0029655	85		6	5909.31	0.00	SH-5226	0							
	3	2	3	0	1			4	001	3059640	3375	1	AST BRAVO CPU SN USL6068308	97		2	1738.48	0.00	2401	0							
	3	2	3	0	1	1		4	001	3059650	3375	1	AST BRAVO 4/66D COMP SN USL6068279	93		2	2093.04	0.00	2252	0							
	3	2	3	0	1	1		4	001	3059660	3319	1	BELLOWS PENTAX AUTOMATIC 30023	79		2	198.45	0.00		0							
	3	2	3	0	1	1		4	001	3059710	3225	1	CABINET FILE COLUMBIA LEGAL 4 DRW	65		2	78.00	0.00	C5-1512	0							
	3	2	3	0	1	1		4	001	3059730	3225	1	CABINET FILE HOLGA LEGAL 4 DRW	82		2	174.25	0.00	C5-1560	0							
	3	2	3	0	1	1		4	001	3059740	3225	1	CABINET FILE HOLGA 2043 LEG 4 DR	83		2	202.21	0.00	C5 1974	0							
	3	2	3	0	1	1		4	001	3059750	3225	1	CABINET FILE HOLGA 2043 LEGAL W/LOCK	83		2	209.00	0.00	C5-1564	0							
	3	2	3	0	1	1		4	001	3059760	3225	1	CABINET FILE HOLGA 2043 LEGAL W/LOCK	83		2	209.00	0.00	C5-1917	0							
	3	2	3	0	1	1		4	001	3059770	3225	1	CABINET FILE HOLGA 2043 LEGAL W/LOCK	83		2	209.00	0.00	C5-1918	0							
	3	2	3	0	1	1		4	001	3059780	3225	1	CABINET FILE LAT SUPREME 11014L1 LEGAL	83		2	394.00	0.00	C5-1565	0							
	3	2	3	0	1	1		4	001	3059790	3225	1	CABINET FILE LAT SUPREME 11014L1 LEGAL	83		2	394.00	0.00	C5-1566	0							
	3	2	3	0	1	1		4	001	3059800	3225	1	CABINET FILE LAT SUPREME 11014L1 LEGAL	83		2	394.00	0.00	C5-1567	0							
	3	2	3	0	1	1		4	001	3059810	3225	1	CABINET FILE LAT SUPREME 11014L1 LEGAL	83		2	394.00	0.00	C5-1568	0							
	3	2	3	0	1	1		4	001	3059820	3225	1	CABINET FILE METAL 4 DRW LEGAL	59		2	83.02	0.00	C5-1234	0							
	3	2	3	0	1	1		4	001	3059830	3225	1	CABINET FILE METAL 4 DRW LEGAL	52		2	137.00	0.00	C5-1235	0							
	3	2	3	0	1	1		4	001	3059840	3225	1	CABINET FILE NORWALK LEGAL 4 DRW	65*		2	78.00	0.00	C5 1511	0							
	3	2	3	0	1	1		4	001	3059850	3225	1	CABINET FILE NORWALK LEGAL 4 DRW	65*		2	78.00	0.00	C5 1521	0							
	3	2	3	0	1	1		4	001	3059860	3225	1	CABINET FILE STEELMASTER LEGAL 4 DRW	65*		2	78.00	0.00	C5 1520	0							
	3	2	3	0	1	1		4	001	3059870	3225	1	CABINET FILE YALE LEGAL 4 DRW	65*		2	78.00	0.00	C5 1513	0							
	3	2	3	0	1	1		4	001	3059880	3225	1	CABINET FILE YALE LEGAL 4 DRW	65*		2	70.00	0.00	C5-1519	0							
	3	2	3	0	1	1		4	001	3059890	3225	1	CABINET FILE YALE LEGAL 4 DRW	65*		2	70.00	0.00	C5-1526	0							
	3	2	3	0	1	1		4	001	3060260	3202	1	CALCULATOR CITOH-C1955 SN810309	79		2	244.40	0.00	C5-1878	0							
	3	2	3	0	1	1		4	001	3060330	3311	1	CAMERA PENTAX K1000	85		2	103.95	0.00	C5 2248	0							
	3	2	3	0	1	1		4	001	3060340	3311	1	CAMERA PENTAX K1000 BODY ONLY	86		2	124.75	0.00	C5 2355	0							
	3	2	3	0	1	1		4	001	3060560	3221	1	CHAIR ERGONOMIC BLUE	87		2	189.00	0.00	C5 2365	0							
	3	2	3	0	1	1		4	001	3060570	3221	1	CHAIR EXECUTIVE STEEL SWIVEL W/ARMS	70		2	62.00	0.00	C5-2305	0							
	3	2	3	0	1	1		4	001	3060580	3221	1	CHAIR EXECUTIVE STEEL SWIVEL W/ARMS	70		2	62.00	0.00	C5 2306	0							
	3	2	3	0	1	1		4	001	3060590	3221	1	CHAIR FLEW H580 W TA SWIV W AR	76		2	93.77	0.00	C5-2307	0							
	3	2	3	0	1	1		4	001	3060600	3321	1	CHAIR SEC SWIVEL NAUGHAYDE & FABRIC	87		2	80.35	0.00	C5 2357	0							
	3	2	3	0	1	1		4	001	3060940	3375	1	COMPUTER DELL OPTIPLEX GX110 SN#F2NB20B	00		2	1440.00	0.00	C3-0960	0							

2013 SHPD PROPERTY INVENTORY

O	R	ORG CODE				P	R	LOC	MAINT	ITEM	Q	DESCRIPTION OF PROPERTY	FISCAL		CARRYING	D	VALUE	DECAL	QTY
		D	D	S	I								YEAR	VALUE					
P	E											START WITH A NOUN INCLUDE IF APPLICABLE MAKE / MODEL / SERIAL NUMBER)	L	A	A	I			
E	O											(LIMITED TO 39 CHARACTERS INCLUDING BLANK SPACES)	A	P	Q	S			
R	R	E	I	/	S	U	E	CODE	CONTROL	CLASS	U		S	P	U	P			
A	D	P	V	D	L	N	R		NUMBER		A		T	R	I	CD			
T		T	I	I	A	D	T				N				S				
I	C	S	V	N	D	I	Y				T				I				
O	O	D	I	D		N					T				O				
N	D	L	O	N		G	C				T			W	X	T			
E	N	N	O	OAHU (1)			O				Y			O	I	I			
	R	N			GENERAL - STATE (1)		D							D	A	N			
C	A	S	H	MAUI (2)	SPECIAL - STATE (2)		E							I	T				
O	S				BOND (3)									G	E	C			
D	S	P		HAWAII (3)	FEDERAL (6)			LAND (1)								O			
E	I	D						BUILDINGS (2)								D			
N	N			KAUAI (4)				MOTOR VEHICLES (3)								T			
O	E							EQUIPMENT (4)								S			
N	D							CONTROLLED ITEMS (5)											
E								HISTORIC ITEMS (7)											
	B																		
	Y																		
	F																		
	I																		
	S																		
	C																		
	A																		
	L																		
1	2	3-4	5	6	7	8	9	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	72-82	84-91
	3	2	3	0	1	1	4	001	3060950	3375	1	COMPUTER DELL OPTIPLEX P64 GX1 SN#U84LE	99		2	1821.00	0.00	C3-0959	0
	3	2	3	0	1	1	4	001	3061150	3375	1	CPU IBM PS/2 9557DBG SN 2323LAACY	95		2	2921.60	0.00	DL100450	0
	3	2	3	0	1	1	4	001	3061160	3375	1	CPU IBM PS/2 9557DBG SN 2323LBRCH	95		2	2921.60	0.00	DL100451	0
	3	2	3	0	1	1	4	001	3061170	3223	1	DESK ART METAL SEC 30 X 60 IN	63		2	174.00	0.00	C5-0128	0
	3	2	3	0	1	1	4	001	3061400	3322	1	DICTATOR PORTABLE SONY MOD BM-12	85		2	265.00	0.00	C5-2295	0
	3	2	3	0	1	1	4	001	3061690	3310	1	LENS 28-135MM PENTAX "A"	84		2	453.92	0.00		0
	3	2	3	0	1	1	4	001	3061760	3329	1	MICROPHONE ECM-220-T UNIDIRECT W/ADAPT	85		2	65.50	0.00		0
	3	2	3	0	1	1	4	001	3061980	3377	1	PRINTER HP LASERJET III SN#3126A38160	92		2	1685.00	0.00	C3-0816	0
	3	2	3	0	1	1	4	001	3061990	3377	1	PRINTER HP LASERJET III SN#3126A38163	92		2	1685.00	0.00	C3-0817	0
	3	2	3	0	1	1	4	001	3062000	3377	1	PRINTER HP LASERJET III SN#3126A38277	92		2	1685.00	0.00	C3-0818	0
	3	2	3	0	1	1	4	001	3062010	3375	1	PRINTER IBM LASER 4039 SN#11AF855	95		2	1377.00	0.00	C3-0822	0
	3	2	3	0	1	1	4	001	3062020	3377	1	PRINTER IBM LASER 4039 SN#11AF896	95		2	1377.00	0.00	C30820	0
	3	2	3	0	1	1	4	001	3062070	3239	1	RACK NEWSPAPER ROLLER SHELF 6 SEC.	54		2	1326.00	0.00		0
	3	2	3	0	1	1	4	001	3062080	3239	1	RACK NEWSPAPER ROLLER SHELF 6 SEC.	54		2	1326.00	0.00		0
	3	2	3	0	1	1	4	001	3062090	3239	1	RACK NEWSPAPER ROLLER SHELF 6 SEC.	54		2	1326.00	0.00		0
	3	2	3	0	1	1	4	001	3062100	3239	1	RACK NEWSPAPER ROLLER SHELF 6 SEC.	54		2	1326.00	0.00		0
	3	2	3	0	1	1	4	001	3062110	3239	1	RACK NEWSPAPER ROLLER SHELF 9 SEC.	54		2	1999.46	0.00		0
	3	2	3	0	1	1	4	001	3062120	3239	1	RACK NEWSPAPER ROLLER SHELF 9 SEC.	54		2	1999.46	0.00		0
	3	2	3	0	1	1	4	001	3062130	3239	1	RACK NEWSPAPER ROLLER SHELF 9 SEC.	54		2	1999.46	0.00		0
	3	2	3	0	1	1	4	001	3062140	3239	1	RACK NEWSPAPER ROLLER SHELF 9 SEC.	54		2	1999.46	0.00		0
	3	2	3	0	1	1	4	001	3062150	3239	1	RACK NEWSPAPER ROLLER SHELF 9 SEC.	54		2	1999.46	0.00		0
	3	2	3	0	1	1	4	001	3062160	3239	1	RACK NEWSPAPER ROLLER SHELF 9 SEC.	54		2	1999.46	0.00		0
	3	2	3	0	1	1	4	001	3062170	3239	1	RACK NEWSPAPER ROLLER SHELF 9 SEC.	54		2	1999.46	0.00		0
	3	2	3	0	1	1	4	001	3062190	3320	1	RADIO MOTOROLLA MX360 SN 378AEE0549	82		2	1005.00	0.00	C5-1563	0
	3	2	3	0	1	1	4	001	3062200	3321	1	RADIO MOTOROLLA MX360 SN520AHU0027	83		2	3356.00	0.00	C5-1569	0
	3	2	3	0	1	1	4	001	3062350	3370	1	STAND TERMINAL TS-36 30X36	85		2	72.79	0.00	C5-1598	0
	3	2	3	0	1	1	4	001	3062380	3239	1	STAND TYPEWRITER TIFFANY 9800	79		2	63.25	0.00	C5-1860	0
	3	2	3	0	1	1	4	001	3062430	3219	1	TABLE DRAFTING MAYLINE S7748 C STEEL	66		2	306.80	0.00	C5-1538	0
	3	2	3	0	1	1	4	001	3062450	3227	1	TABLE HOLGA 53660LT CD 60X30	76		2	162.77	0.00	C5-2291	0
	3	2	3	0	1	1	4	001	3062570	3211	1	TYPEWRITER IBM SEL II 26 895 3282934	76		2	693.00	0.00	C5-2245	0
	3	2	3	0	1	1	4	002	3063410	3225	1	CABINET FILE VERTICAL 2-DRW W/O LOCK	86		2	150.38	0.00	C5 2356	0
	3	2	3	0	1	1	4	002	3063420	3225	1	CABINET FILE 4DR. MCDO CRAIG	71		2	88.65	0.00	169	0
	3	2	3	0	1	1	4	002	3063430	3225	1	CABINET LATERAL FILE 4DR. SUPME	75		2	335.76	0.00	170	0
	3	2	3	0	1	1	4	002	3063440	3225	1	CABINET LATERAL FILE 4DR. SUPME	75		2	335.76	0.00	171	0
	3	2	3	0	1	1	4	002	3063450	3225	1	CABINET LATERAL FILE 4DR. SUPME	76		2	379.81	0.00	172	0

2013 SHPD PROPERTY INVENTORY

O	R	ORG CODE				P	R	LOC	MAINT	ITEM	Q	DESCRIPTION OF PROPERTY	FISCAL YEAR		CARRYING VALUE	D	VALUE		
		D	D	S	I								L	A			A	I	S
P	E					O		CONTROL	CLASS	U	START WITH A NOUN INCLUDE IF APPLICABLE MAKE / MODEL / SERIAL NUMBER)	A	P	OF ITEMS	P	REMOVED	NUMBER	DISP	
E	O					P		NUMBER		N	(LIMITED TO 39 CHARACTERS INCLUDING BLANK SPACES)	T	R	ON HAND	CD				
R	R	E	I	/	S	U				A		T	O						
A	D	P	V	D	L	N				T		W	X						
T		T	I	I	A	D				N		O	I						
I	C	S	V	N	D	I				T		D	A						
O	O	D	I	D	N	N				T		G	E						
N	D	L	O	N	OAHU (1)	G				Y									
E	N	N	O	N	GENERAL - STATE (1)	O													
	R	N	O	E	MAUI (2)	E													
	A	S	H	E	SPECIAL - STATE (2)	E													
	O	S	H	E	BOND (3)	E													
	D	S	P	HAWAII (3)	FEDERAL (6)														
	E	I	D	D	LAND (1)														
	N	N			BUILDINGS (2)														
	O	E			MOTOR VEHICLES (3)														
	N	D			EQUIPMENT (4)														
	E	B			KAUAI (4)														
	Y				CONTROLLED ITEMS (5)														
	F				HISTORIC ITEMS (7)														
	I	S																	
	C																		
	A																		
	L																		
1	2	3-4	5	6	7	8	9	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	72-82	84-91
	3	2	3	0	1	1	4	001	3060880	3375	1	COMPUTER DELL DIMENSION 4600 SN#7WQZD41	04		5	1713.61	0.00	C3-0849	0
	3	2	3	0	1	1	4	001	3060890	3375	1	COMPUTER DELL OPTIPLEX	07		5	1286.86	0.00	C3-1026	0
	3	2	3	0	1	1	4	001	3060900	3375	1	COMPUTER DELL OPTIPLEX	07		5	1286.86	0.00	C3-1034	0
	3	2	3	0	1	1	4	001	3060910	3375	1	COMPUTER DELL OPTIPLEX	06		5	1286.86	0.00	C3-1029	0
	3	2	3	0	1	1	4	001	3060920	3375	1	COMPUTER DELL OPTIPLEX	07		5	1286.86	0.00	C3-1028	0
	3	2	3	0	1	1	4	001	3060930	3375	1	COMPUTER DELL OPTIPLEX	07		5	1286.86	0.00	C3-1027	0
	3	2	3	0	1	1	4	001	3060960	3375	1	COMPUTER DELL OPTIPLEX SN#CTFHH11	02		5	1236.38	0.00	C3-0975	0
	3	2	3	0	1	1	4	001	3060970	3375	1	COMPUTER DELL OPTIPLEX SN#DTFHH11	02		5	1236.38	0.00	C3-0976	0
	3	2	3	0	1	1	4	001	3060980	3375	1	COMPUTER DELL OPTIPLEX SN#FTFHH11	02		5	1236.38	0.00	C3-0977	0
	3	2	3	0	1	1	4	001	3060990	3375	1	COMPUTER DELL OPTIPLEX SN#GFJHH11	02		5	1190.55	0.00	C3-0978	0
	3	2	3	0	1	1	4	001	3061000	3375	1	COMPUTER DELL OPTIPLEX SN#GTFHH11	02		5	1236.38	0.00	C3-0969	0
	3	2	3	0	1	1	4	001	3061010	3375	1	COMPUTER DELL OPTIPLEX SN#HJFHH11	02		5	1190.55	0.00	C3-0967	0
	3	2	3	0	1	1	4	001	3061020	3375	1	COMPUTER DELL OPTIPLEX SN#HTFHH11	02		5	1236.38	0.00	C3-0979	0
	3	2	3	0	1	1	4	001	3061030	3375	1	COMPUTER DELL OPTIPLEX SN#H6FHH11	02		5	1000.00	0.00	C3-0983	0
	3	2	3	0	1	1	4	001	3061040	3375	1	COMPUTER DELL OPTIPLEX SN#JTFHH11	02		5	1236.38	0.00	C3-0980	0
	3	2	3	0	1	1	4	001	3061050	3375	1	COMPUTER DELL OPTIPLEX SN#1VFHH11	02		5	1236.38	0.00	C3-0981	0
	3	2	3	0	1	1	4	001	3061060	3375	1	COMPUTER DELL OPTIPLEX SN#2KFHH11	02		5	1190.55	0.00	C3-0968	0
	3	2	3	0	1	1	4	001	3061070	3375	1	COMPUTER DELL OPTIPLEX SN#4DLLH11	02		5	1339.50	0.00	C3-0972	0
	3	2	3	0	1	1	4	001	3061080	3375	1	COMPUTER DELL OPTIPLEX SN#4KFHH11	02		5	1190.55	0.00	C3-0970	0
	3	2	3	0	1	1	4	001	3061090	3375	1	COMPUTER DELL OPTIPLEX SN#5DLLH11	02		5	1339.50	0.00	C3-0973	0
	3	2	3	0	1	1	4	001	3061100	3375	1	COMPUTER DELL OPTIPLEX SN#6FHH11	02		5	1000.00	0.00	C3-0982	0
	3	2	3	0	1	1	4	001	3061110	3375	1	COMPUTER DELL OPTIPLEX SN#6KFHH11	02		5	1190.54	0.00	C3-0971	0
	3	2	3	0	1	1	4	001	3061120	3375	1	COMPUTER DELL POWEREDGE SERVER SN#9BRVR	04		5	5508.61	0.00	C3-0852	0
	3	2	3	0	1	1	4	001	3061130	3375	1	COMPUTER IMPRESSION PENTIUM 200MHZ	00		5	764.58	0.00	C3-0838	0
	3	2	3	0	1	1	4	001	3061190	3223	1	DESK DBT PED 30X60 HOLGA 5603060BN WALN	91		5	425.93	0.00		0
	3	2	3	0	1	1	4	001	3061200	3223	1	DESK SINGLE IT PED 5D3045AX WALNUT	91		5	333.02	0.00	C3-0575	0
	3	2	3	0	1	1	4	001	3061210	3223	1	DESK SINGLE IT PED 5D3045AX WALNUT	91		5	333.02	0.00		0
	3	2	3	0	1	1	4	001	3061220	3223	1	DESK STEEL HOLGA 5030608A BEIGE	91		5	479.51	0.00	C3-0571	0
	3	2	3	0	1	1	4	001	3061240	3223	1	DESK 5D3060AX/5RBR6 RIGHT RETURN	91		5	587.86	0.00	C3-0574	0
	3	2	3	0	1	1	4	001	3061330	3375	1	DESKJET--HP DJET 500 PLUS	92		5	478.00	0.00	C3 0104	0
	3	2	3	0	1	1	4	001	3061340	3375	1	DESKJET--HP DJET 500 PLUS	92		5	478.00	0.00	C3 0106	0
	3	2	3	0	1	1	4	001	3061350	3375	1	DESKTOP DELL OPTIPLEX WINXP PRO BPYSBBI	06		5	1031.00	0.00	C3-1013	0
	3	2	3	0	1	1	4	001	3061360	3375	1	DESKTOP DELL OPTIPLEX WINXP PRO GPYSBBI	06		5	1012.98	0.00	C3-1019	0
	3	2	3	0	1	1	4	001	3061380	3375	1	DESKTOP DELL OPTIPLEX WINXP PRO 8PYSBBI	06		5	1031.00	0.00	C3-1017	0
	3	2	3	0	1	1	4	001	3061410	3375	1	DIGITIZER--CALCOMP 95360	92		5	4265.00	0.00	C3 0109	0

2013 SHPD PROPERTY INVENTORY

O	R	ORG CODE				P	R	LOC	MAINT	ITEM	Q	DESCRIPTION OF PROPERTY	FISCAL		CARRYING	D	VALUE	DECAL	QTY
		D	D	S	I								YEAR	YEAR					
P	E												L	A					
A	R	E	I	/	S	U	E	CONTROL	CLASS	U			A	P	Q	P			
T	D	P	V	D	L	N	R	NUMBER		A			S	P	U				
I	C	T	I	I	A	D	T			N			T	R	I	CD			
O	O	D	I	D		N	Y			T			T	O	I				
N	D	L	O	N		G	C			T			W	X	T				
E	N	N	O	OAHU (1)			O			Y			O	I	I				
	R	N			GENERAL - STATE (1)		D						D	M	O				
C	A	S	E	MAUI (2)	SPECIAL - STATE (2)		E						I	A	N				
O	S	H			BOND (3)								G	E	C				
D	S	P		HAWAII (3)	FEDERAL (6)								T		O				
E	I	D				LAND (1)							S		E				
N	N			KAUAI (4)		BUILDINGS (2)													
O	E					MOTOR VEHICLES (3)													
N	D					EQUIPMENT (4)													
E						CONTROLLED ITEMS (5)													
	B					HISTORIC ITEMS (7)													
	Y																		
	F																		
	S																		
	C																		
	A																		
	L																		
1	2	3-4	5	6	7	8	9	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	72-82	84-91
	3	2	3	0	1	1	4	001	3061440	3205	1	FAX XEROX WCP575 SN#63N277937	02		5	1196.00	0.00	C3-0961	0
	3	2	3	0	1	1	4	001	3061460	3375	1	GLOBAL POSIT'NG SYSTEM W/STN&BASIC PLUS	92		5	37482.00	0.00	143-145	0
	3	2	3	0	1	1	4	001	3061470	3377	1	GPS TRIMBLE GEO-XH SER#4624480756	06		5	5832.96	0.00	C3-1004	0
	3	2	3	0	1	1	4	001	3061480	3200	1	HEADSET TELE ELETRIC II	91		5	313.03	0.00	C3-0413	0
	3	2	3	0	1	1	4	001	3061490	3375	1	KEYBOARD DRAWER E&625	91		5	54.95	0.00	C3-0418	0
	3	2	3	0	1	1	4	001	3061500	3375	1	KEYBOARD DRAWER E4-605	91		5	89.95	0.00		0
	3	2	3	0	1	1	4	001	3061520	3378	1	LAPTOP DELL 820 WIN XP PRO SER TAG H6GN	06		5	1416.16	0.00	C3-1006	0
	3	2	3	0	1	1	4	001	3061530	3378	1	LAPTOP DELL 820 WIN XP PRO SER TAG 4864	06		5	1416.16	0.00	C3-1008	0
	3	2	3	0	1	1	4	001	3061540	3375	1	LAPTOP PC IBM PS/2 L40SX	92		5	1893.00	0.00	C3 0139	0
	3	2	3	0	1	1	4	001	3061550	3375	1	LAPTOP PC IBM PS/2 L40SX	92		5	1893.00	0.00	C3 0140	0
	3	2	3	0	1	1	4	001	3061560	3375	1	LAPTOP PC/TOSHIBA T1000SE	92		5	2200.00	0.00	C3 0097	0
	3	2	3	0	1	1	4	001	3061570	3380	1	LASER COLOR PRINTER DELL 5110CN CBX7891	06		5	971.99	0.00	C3-1005	0
	3	2	3	0	1	1	4	001	3061580	3380	1	LASER PRINTER DELL 1815DN SER CMKDD91	06		5	419.00	0.00	C3-1015	0
	3	2	3	0	1	1	4	001	3061590	3380	1	LASER PRINTER DELL 1815DN SER HKKDD91	06		5	419.00	0.00	C3-1003	0
	3	2	3	0	1	1	4	001	3061600	3380	1	LASER PRINTER DELL 1815DN SER 4MKDD91	06		5	419.00	0.00	C3-1011	0
	3	2	3	0	1	1	4	001	3061610	3380	1	LASER PRINTER DELL 1815DN SER 5MKDD91	06		5	419.00	0.00	C3-1013	0
	3	2	3	0	1	1	4	001	3061620	3375	1	LASER PRINTER JET500 3213AIO69	92		5	453.00	0.00		0
	3	2	3	0	1	1	4	001	3061630	3375	1	LASER PRINTER--HP LJET III	92		5	1685.00	0.00	C3 0098	0
	3	2	3	0	1	1	4	001	3061640	3375	1	LASER PRINTER--HP LJET III	92		5	1685.00	0.00	C3 0099	0
	3	2	3	0	1	1	4	001	3061650	3375	1	LASER PRINTER--HP LJET III	92		5	1685.00	0.00	C3 0141	0
	3	2	3	0	1	1	4	001	3061660	3375	1	LASER PRINTER--HP LJET IIISI	92		5	3963.00	0.00	C3 0103	0
	3	2	3	0	1	1	4	001	3061670	3310	1	LENS 24-50MMAF F3.3-4.5 MACRO ZM NIKON	91		5	369.95	0.00	C3-0630	0
	3	2	3	0	1	1	4	001	3061790	3375	1	MODEM SPORTSTER 14.4 360-099	93		5	249.00	0.00		0
	3	2	3	0	1	1	4	001	3061800	3375	1	MODEM SPORTSTER 14.4 360-099	93		5	249.00	0.00		0
	3	2	3	0	1	1	4	001	3061810	3375	1	MODEM--GANDALF LDS 309A	92		5	500.00	0.00	C3 0111	0
	3	2	3	0	1	1	4	001	3061820	3375	1	MODEM--GANDALF LDS 309A	92		5	500.00	0.00	***	0
	3	2	3	0	1	1	4	001	3061830	3375	1	MODEM--HAYES 9600 ULTRA	92		5	795.00	0.00	C3 0110	0
	3	2	3	0	1	1	4	001	3061840	3375	1	MODEM--INTEL 2400 MNPS	92		5	210.00	0.00	C3 0112	0
	3	2	3	0	1	1	4	001	3061850	3375	1	MODEM--INTEL 2400 MNPS	92		5	210.00	0.00	C3 0113	0
	3	2	3	0	1	1	4	001	3061880	3375	1	MONITOR DELL 17 INCH LCD	07		5	1.00	0.00	C3-1030	0
	3	2	3	0	1	1	4	001	3061890	3375	1	MONITOR DELL 17 INCH LCD	07		5	1.00	0.00	C3-1033	0
	3	2	3	0	1	1	4	001	3061900	3375	1	MONITOR DELL 17INCH LCD	06		5	1.00	0.00	C3-1018	0
	3	2	3	0	1	1	4	001	3061910	3375	1	MONITOR DELL 17INCH LCD	06		5	1.00	0.00	C3-1012	0
	3	2	3	0	1	1	4	001	3061920	3375	1	MONITOR DELL 17INCH LCD	06		5	1.00	0.00	C3-1010	0
	3	2	3	0	1	1	4	001	3061930	3375	1	MONITOR, DELL WIDE 22 INCH FLAT PANEL V	07		5	307.25	0.00	C3 1035	0

2013 SHPD PROPERTY INVENTORY

O	R	ORG CODE				P	R	LOC	MAINT	ITEM	Q	DESCRIPTION OF PROPERTY	FISCAL		CARRYING	D	VALUE	DECAL	QTY
		D	D	S	I								YEAR	VALUE					
P	E												L	A					
A	R	E	I	/	S	U	E	CONTROL	CLASS	U			A	P	Q	P			
T	D	P	V	D	L	N	R	NUMBER		A			S	P	U				
I	C	T	I	I	A	D	T			N			T	R	I	CD			
O	O	D	I	D	N	N	Y			T			T	O	I				
N	D	L	O	N	O	G	C			T			W	X	T				
E	N	N	O	OAHU (1)			O			Y			O	I	I				
	R	N			GENERAL - STATE (1)		D						D	A	N				
C	A	S	H	MAUI (2)	SPECIAL - STATE (2)		E						I	T					
O	S				BOND (3)								G	E	C				
D	S	P		HAWAII (3)	FEDERAL (6)								T		O				
E	I	D					LAND (1)						S		E				
N	N			KAUAI (4)			BUILDINGS (2)												
O	E						MOTOR VEHICLES (3)												
N	D						EQUIPMENT (4)												
E	B						CONTROLLED ITEMS (5)												
	Y						HISTORIC ITEMS (7)												
	F																		
	I																		
	S																		
	C																		
	A																		
	L																		
1	2	3-4	5	6	7	8	9	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	72-82	84-91
	3	2	3	0	1	1	4	001	3061940	3379	1	NETWORKING ROUTER CISCO SN#JMX0614K5Z4	03		5	4420.89	0.00	C3-0829	0
	3	2	3	0	1	1	4	001	3061950	3379	1	NETWORKING SWITCH CISCO SN#FHK0617ZIRK	03		5	1064.47	0.00	C3-0830	0
	3	2	3	0	1	1	4	001	3061970	3326	1	POLYCOM 2EX CONF. PHONE, SERIAL NO. H81	11		5	691.09	0.00	C3 1091	0
	3	2	3	0	1	1	4	001	3062030	3313	1	PROJECTOR DELL 1800 MP	07		5	806.51	0.00	C3-1025	0
	3	2	3	0	1	1	4	001	3062230	3322	1	RECORDER SONY DVCAM SN#0013679	01		5	2498.96	0.00	C3-0965	0
	3	2	3	0	1	1	4	001	3062250	3375	1	SERVER DELL PWREDGE WIN 2003/6NT2CB1	06		5	8378.32	0.00	C3-1016	0
	3	2	3	0	1	1	4	001	3062260	3375	1	SHARESPOOL ESI PRINTER 4SER 256JB UI 1/	93		5	1068.00	0.00		0
	3	2	3	0	1	1	4	001	3062270	3375	1	SHARESPOOL ESI PRINTER 4SER 256JB UI 1/	93		5	1068.00	0.00		0
	3	2	3	0	1	1	4	001	3062280	3313	1	SLIDE PROJECTOR WTTIMER EKTAGRAPHIC AV2	91		5	779.95	0.00	C3-0635	0
	3	2	3	0	1	1	4	001	3062300	3373	1	SOFTWARE ARCHVIEW GIS 3.3 UPGRADE	03		5	420.65	0.00	C3-0834	0
	3	2	3	0	1	1	4	001	3062310	3373	1	SOFTWARE RIGHT NOW SERVER LIC.	04		5	1245.00	0.00		0
	3	2	3	0	1	1	4	001	3062470	3228	1	TABLE WORK STATION #360 MICRO CENTRE UL	91		5	314.54	0.00	C3-0551	0
	3	2	3	0	1	1	4	001	3062580	3375	1	VACUUM CLEANER DATA VAC 2 MDV-2	92		5	87.50	0.00	C3-0611	0
	3	2	3	0	1	1	4	001	3062590	3314	1	VCR VHS SONY SLV-353UC	91		5	399.95	0.00	C3-0642	0
	3	2	3	0	1	1	4	001	3062610	3311	1	VIDEO CAMCORDER, MINOLTA: MASTER SERIES	91		5	1249.95	0.00	C3-0639	0
	3	2	3	0	1	1	4	001	3062700	3375	1	WINDOWS 98 SE LICENSE, MEDIA, 32MB RAM	00		5	225.74	0.00		0
	3	2	3	0	1	1	4	001	3060350	3311	1	CAMERA POLAROID SPECTRA SYHEM	91 *		6	54.00	0.00	C3-0633	0
	3	2	3	0	1	1	4	001	3061960	3311	1	POLAROID MP-3 LAND CAMERA/COPIER STAND	91 *		6	100.00	0.00	C3-0636	0
	3	2	3	0	1	1	4	001	3060310	3311	1	CAMERA PENTAX K 1 000 BODY	94 *		8	200.00	0.00	C3-0651	0
	3	2	3	0	1	1	4	001	3060320	3311	1	CAMERA PENTAX K 1 000 BODY	94 *		8	200.00	0.00	C3-0655	0
	3	2	3	0	1	1	4	001	3061420	3900	1	DRAFTING MACHINE STANDARD #49172 VEMCO	90		8	295.00	0.00	C3-0404	0
	3	2	3	0	1	1	4	001	3061680	3310	1	LENS 24-50MMAF F3.3-4.54 MACRO ZM NIKON	91		8	1047.00	0.00	C3-0631	0
	3	2	3	0	1	1	4	001	3061700	3310	1	LENS 28-21 0 MM FE.5-5.6 MACRO ZOOM VIV	92 *		8	200.00	0.00	C3-0652	0
	3	2	3	0	1	1	4	001	3061710	3310	1	LENS 28-70 MM F3.5 ZOOM SIGMA #07020644	92 *		8	200.00	0.00	C3-0653	0
	3	2	3	0	1	1	4	001	3061720	3310	1	LENS 35-135MMAF F3.5-4.5 ZOOM PENTAX	92 *		8	200.00	0.00	C3-0653	0
	3	2	3	0	1	1	4	001	3061730	3319	1	LIGHT TABLE WITH DUST COVER:ACV6000	91		8	335.00	0.00	C3-0637	0
	3	2	3	0	1	1	4	001	3061860	3219	1	MODULAR FLAT FILE 5 DRW SAFCO MODEL 499	90		8	522.30	0.00	C3-0615	0
	3	2	3	0	1	1	4	001	3061870	3219	1	MODULAR FLAT FILE 5 DRW SAFCO MODEL 499	90		8	522.30	0.00	C3-0616	0
	3	2	3	0	1	1	4	001	3062210	3329	1	RECORDER PORTABLE SONY BM1 8 0033414	93		8	306.50	0.00		0
	3	2	3	0	1	1	4	001	3062220	3375	1	RECORDER SONY BM 1 2 #0509501	91		8	350.00	0.00		0
	3	2	3	0	1	1	4	001	3062320	3329	1	SONY BM 120509501W. CABLE	91		8	370.00	0.00		0
	3	2	3	0	1	1	4	001	3062340	3800	1	STADIA ROD LIETZ FRISCO 8071-57 WOODEN	76 *		8	69.00	0.00	C5-1547	0
	3	2	3	0	1	1	4	001	3062420	3227	1	TABLE DATA STAND WALNUT #8235-32	91		8	299.00	0.00	C3-0429	0
	3	2	3	0	1	1	4	001	3062460	3227	1	TABLE W/CENTER DRAWER HOLGA 5T306OLC	92		8	286.00	0.00		0
	3	2	3	0	1	1	4	001	3062480	3329	1	TRANSCRIBER SONY BM77#0020607	93		8	499.00	0.00		0

2013 SHPD PROPERTY INVENTORY

O	R	ORG CODE				P	R	LOC	MAINT	ITEM	Q	DESCRIPTION OF PROPERTY	FISCAL		CARRYING	D	VALUE	DECAL	QTY
		D	D	S	I								YEAR	VALUE					
P	E												L	A					
E	O												A	P					
R	R	E	I	/	S								S	P					
A	D	P	V	D	L								T	R					
T		T	I	I	A														
I	C	S	V	N															
O	O	D	I	D															
N	D	L	O	N															
E	N	N	O	O	OAHU (1)														
	R	N				GENERAL - STATE (1)													
	A	S	E	MAUI (2)		SPECIAL - STATE (2)													
	O	S	H			BOND (3)													
	D	S	P	HAWAII (3)		FEDERAL (6)													
	E	I	D				LAND (1)												
	G						BUILDINGS (2)												
	N	N					MOTOR VEHICLES (3)												
	O	E					EQUIPMENT (4)												
	N	D					CONTROLLED ITEMS (5)												
	E						HISTORIC ITEMS (7)												
	B																		
	Y																		
	F																		
	I																		
	S																		
	C																		
	A																		
	L																		
1	2	3-4	5	6	7	8	9	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	72-82	84-91
	3	2	3	0	1	1	5	001	3062910	3225	1	CABINET FILE SEN 4 DRAWER LEGAL	71		2	85.90	0.00	C3-0815	0
	3	2	3	0	1	1	5	001	3062920	3225	1	CABINET FILE Y & E 2406 4 DRAWER LEGAL	51		2	124.60	0.00	C3-0813	0
	3	2	3	0	1	1	5	001	3062930	3225	1	CABINET FILE Y&E 2406 4 DRAWER LEGAL	51		2	124.60	0.00	C3-1000	0
	3	2	3	0	1	1	5	001	3062940	3225	1	CABINET FILE Y&E 2406 4 DRAWER LEGAL	51		2	124.60	0.00	C3-0799	0
	3	2	3	0	1	1	5	001	3062950	3225	1	CABINET FILE 4 DRAWER CRAIG MCDOWELL	89		2	234.68	0.00	C3-0800	0
	3	2	3	0	1	1	5	001	3062960	3225	1	CABINET FILE 4 DRAWER LEGAL	80		2	137.60	0.00	C3-0803	0
	3	2	3	0	1	1	5	001	3062970	3225	1	CABINET FILE 4 DRAWER LEGAL	80		2	137.60	0.00	C3-0804	0
	3	2	3	0	1	1	5	001	3062980	3225	1	CABINET FILE 4 DRAWER LEGAL HOLGA	76		2	120.80	0.00	C3-0996	0
	3	2	3	0	1	1	5	001	3062990	3225	1	CABINET FILE 5 DRAWER LEGAL	72		2	89.89	0.00	C3-0809	0
	3	2	3	0	1	1	5	001	3063000	3239	20	CASES SLIDE STORAGE METAL	81		2	133.22	0.00		0
	3	2	3	0	1	1	5	001	3063010	3219	2	CLOCKS WALL SEIKO QA395W	83		2	74.26	0.00		0
	3	2	3	0	1	1	5	001	3063050	3223	1	DESK METAL HOLGA MIST GREEN	76		2	294.03	0.00	C3-0824	0
	3	2	3	0	1	1	5	001	3063060	3225	3	FILE CARD METAL 5X8 STEELMASTER	86		2	129.87	0.00		0
	3	2	3	0	1	1	5	001	3063130	3375	1	MONITOR IBM G51 15" SN#66-HC980	99		2	191.53	0.00	C3-0952	0
	3	2	3	0	1	1	5	001	3063140	3375	1	MONITOR IBM G51 15" SN#66-HC988	99		2	191.53	0.00	C3-0949	0
	3	2	3	0	1	1	5	001	3063150	3375	1	MONITOR IBM G51 15" SN#66-HH345	99		2	191.53	0.00	C3-0947	0
	3	2	3	0	1	1	5	001	3063160	3375	1	MONITOR IBM G51 15" SN#66-HH346	99		2	191.53	0.00	C3-0943	0
	3	2	3	0	1	1	5	001	3063170	3375	1	MONITOR IBM G51 15" SN#66-HH749	99		2	191.53	0.00	C3-0951	0
	3	2	3	0	1	1	5	001	3063180	3375	1	MONITOR IBM G51 15" SN#66-HH750	99		2	191.53	0.00	C3-0941	0
	3	2	3	0	1	1	5	001	3063190	3375	1	MONITOR IBM G51 15" SN#66-HH753	99		2	191.53	0.00	C3-0950	0
	3	2	3	0	1	1	5	001	3063350	3228	1	STAND UNIV PRTR W/RACK W/B ACCO 508/47	87		2	93.60	0.00	1013105	0
	3	2	3	0	1	1	5	002	3063620	3250	53	BOOKS REFERENCE	78		2	667.26	0.00		0
	3	2	3	0	1	1	5	002	3063630	3225	2	CABINETS CARD METAL	76		2	13.72	0.00	350/351	0
	3	2	3	0	1	1	5	002	3063640	3221	12	CHAIR SIDE W/O ARM W UPHOLST	75		2	316.30	0.00	356-367	0
	3	2	3	0	1	1	5	002	3063650	3239	2	FILES MAP CARDBOARD	78		2	91.42	0.00		0
	3	2	3	0	1	1	5	002	3063660	3329	2	MICROPHONES MONO	79		2	53.51	0.00		0
	3	2	3	0	1	1	5	001	3063020	3377	1	COMPUTER APPLE MAC PROC UPGRADE ENCORE	04		5	540.71	0.00		0
	3	2	3	0	1	1	5	001	3063030	3375	1	COMPUTER COMPAQ DP EXM C733 SN#6B14JRY4	02		5	379.60	0.00	C3-0962	0
	3	2	3	0	1	1	5	001	3063040	3375	1	COMPUTER COMPAQ DP EXM C733 SN#6B14JRY4	02		5	379.60	0.00	C3-0963	0
	3	2	3	0	1	1	5	001	3063070	3377	1	HARD DRIVE EXTERNAL LACIE 320GB SN#1342	04		5	418.86	0.00	C3-0847	0
	3	2	3	0	1	1	5	001	3063080	3329	1	MICROPHONE AUDIO-TECHNICA AT3035 & KM S	04		5	302.25	0.00	C3-0846	0
	3	2	3	0	1	1	5	001	3063090	3329	1	MICROPHONE AZDEN SGM-2X OMNI/SUPERCARDI	04		5	233.24	0.00	C3-0848	0
	3	2	3	0	1	1	5	001	3063100	3329	1	MICROPHONE SONY ECM-77B SN#S0108123055	04		5	333.50	0.00	C3-0842	0
	3	2	3	0	1	1	5	001	3063110	3329	1	MICROPHONE SONY ECM-77B SN#S010812379G	04		5	333.50	0.00	C3-0841	0
	3	2	3	0	1	1	5	001	3063120	3329	1	MICROPHONE TASCAM US-122 USB SN#2100514	04		5	201.43	0.00	C3-0845	0

2013 SHPD PROPERTY INVENTORY

O	R	ORG CODE				P	R	LOC	MAINT	ITEM	Q	DESCRIPTION OF PROPERTY	FISCAL		CARRYING	D	VALUE	DECAL	QTY
		D	D	S	I								YEAR	VALUE					
P	E												L	A					
A	R	E	I	/	S	U	E	CONTROL	CLASS	U			A	P	Q	P			
T	D	P	V	D	L	N	R	NUMBER		A			S	P	U				
I	C	T	I	I	A	D	T			N			T	R	I	CD			
O	O	D	S	V	N	I	Y			T			T	O	I				
N	D	L	O	N	D	N	C			T			W	X	T				
E	N	N	O	N	O	O	O			Y			O	I	I				
	R					D	E						D	A	N				
C	A	S	H		MAUI (2)	GENERAL - STATE (1)							G	E	C				
O	S				SPECIAL - STATE (2)	BOND (3)							T		O				
D	S	P			HAWAII (3)	FEDERAL (6)							S		E				
E	I	D			KAUAI (4)	LAND (1)													
N	N					BUILDINGS (2)													
O	E					MOTOR VEHICLES (3)													
N	D					EQUIPMENT (4)													
E						CONTROLLED ITEMS (5)													
						HISTORIC ITEMS (7)													
	B																		
	Y																		
	F																		
	I																		
	S																		
	C																		
	A																		
	L																		
1	2	3-4	5	6	7	8	9	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	72-82	84-91
	3	2	3	0	1	1	5	001	3063200	3375	1	MONITOR NEC MITSU 19 IN. LCD SN#S340090	04		5	705.05	0.00	C3-0840	0
	3	2	3	0	1	1	5	001	3063210	3322	1	RECORDER MARANTZ MAPMD222 W/ SHURE MX39	02		5	857.84	0.00	C3-0955	0
	3	2	3	0	1	1	5	001	3063220	3322	1	RECORDER MARANTZ MAPMD222 W/ SHURE MX39	02		5	857.83	0.00	C3-0956	0
	3	2	3	0	1	1	5	001	3063230	3377	1	SCANNER BROTHER MFC7150 SN#M99758393	01		5	312.49	0.00	C3-0993	0
	3	2	3	0	1	1	5	001	3063240	3373	1	SOFTWARE BACKUP EXEC WIN V9.0 SERVER	04		5	261.33	0.00		0
	3	2	3	0	1	1	5	001	3063250	3373	1	SOFTWARE DELL POWEREDGE 350 ANTIVIRUS S	04		5	191.10	0.00		0
	3	2	3	0	1	1	5	001	3063260	3373	1	SOFTWARE LOTUS NOTES LIC PC	04		5	393.93	0.00		0
	3	2	3	0	1	1	5	001	3063270	3373	1	SOFTWARE LOTUS NOTES LIC SERVER	03		5	294.00	0.00		0
	3	2	3	0	1	1	5	001	3063280	3373	2	SOFTWARE MICROSOFT OFFICE XP PRO	02		5	833.38	0.00		0
	3	2	3	0	1	1	5	001	3063290	3373	1	SOFTWARE MICROSOFT WINDOWS 2000 PRO	02		5	281.22	0.00	C3-0992	0
	3	2	3	0	1	1	5	001	3063300	3373	3	SOFTWARE MICROSOFT WINDOWS 2000 PRO	02		5	801.43	0.00		0
	3	2	3	0	1	1	5	001	3063310	3373	4	SOFTWARE MICROSOFT WINDOWS 2000 UPGRADE	02		5	664.76	0.00		0
	3	2	3	0	1	1	5	001	3063320	3373	1	SOFTWARE MICROSOFT WORKS V6	02		5	76.63	0.00		0
	3	2	3	0	1	1	5	001	3063330	3373	5	SOFTWARE SYM NAV NORTON ANTIVIRUS	02		5	230.97	0.00		0
	3	2	3	0	1	1	5	001	3063340	3373	1	SOFTWARE SYMANTEC ANTIVIRUS PC LICENSES	03		5	556.14	0.00		0
	3	2	3	0	1	1	5	001	3063360	3377	1	UPS BACKUP KALANIMOKU SN#SQB0205223560	02		5	462.49	0.00	C3-0986	0
	3	2	3	0	1	1	5	001	3063370	3322	1	VCR PANASONIC AG-3200 SN#3A1341JV4	04		5	307.47	0.00	C3-0844	0
	3	2	3	0	1	1	5	001	3063380	3322	1	VCR PANASONIC AG-3200 SN#3A1734JV4	04		5	307.46	0.00	C3-0843	0
	3	2	3	0	1	1	7	001	3063390	3250	1	NEWSPAPERS BOUND (1746 VOLUMES)	72		4	26190.00	0.00		0
	3	2	3	0	1	1	7	002	3063670	7090	1	MAPS-ALL MAJOR HAWAIIAN ISLANDS 75/EA	86		4	5400.00	0.00		0
						OAHU			SPECIAL FUND STATE										
	3	2	3	0	1	2	4	001	3061770	3377	1	MODEM MOD GANDALF 309 BAUD 9600	84		2	462.00	0.00	C5-1577	0
	3	2	3	0	1	2	4	001	3061780	3377	1	MODEM MOD GANDALF 309 BAUD 9600	84		2	462.00	0.00	C5-1578	0
	3	2	3	0	1	2	4	001	3059910	3225	1	CABINET HOLGA 1 LI 842 LAT, 4DRW LEGAL	90		5	371.84	0.00	C3-0353	0
	3	2	3	0	1	2	4	001	3059920	3225	1	CABINET HOLGA 1 LI 842 LAT, 4DRW LEGAL	90		5	371.84	0.00	C3-0354	0
	3	2	3	0	1	2	4	001	3059930	3225	1	CABINET HOLGA 1 LI 842 LAT, 4DRW LEGAL	90		5	371.84	0.00	C3-0360	0
	3	2	3	0	1	2	4	001	3059940	3225	1	CABINET HOLGA 1 LI 842 LAT, 4DRW LEGAL	90		5	371.84	0.00	C3-0361	0
	3	2	3	0	1	2	4	001	3059950	3225	1	CABINET HOLGA 1 LI 842 LAT, 4DRW LEGAL	90		5	371.84	0.00	C3-0362	0
	3	2	3	0	1	2	4	001	3059960	3225	1	CABINET HOLGA 1 LI 842 LAT, 4DRW LEGAL	90		5	371.84	0.00	C3-0363	0
	3	2	3	0	1	2	4	001	3059970	3225	1	CABINET HOLGA 1 LI 842 LAT, 4DRW LEGAL	90		5	371.84	0.00	C3-0366	0
	3	2	3	0	1	2	4	001	3059980	3225	1	CABINET HOLGA 1 LI 842 LAT, 4DRW LEGAL	90		5	371.84	0.00	C3-0368	0
	3	2	3	0	1	2	4	001	3059990	3225	1	CABINET HOLGA 1 LI 842 LAT, 4DRW LEGAL	90		5	371.84	0.00	C3-0369	0
	3	2	3	0	1	2	4	001	3060110	3225	1	CABINET STORAGE#8S7824 4-SHELF W/LOCK	90		5	252.03	0.00	C3-0355	0
	3	2	3	0	1	2	4	001	3060120	3225	1	CABINET STORAGE#8S7824 4-SHELF W/LOCK	90		5	252.03	0.00	C3-0356	0
	3	2	3	0	1	2	4	001	3060130	3225	1	CABINET STORAGE#8S7824 4,HDF MOOCK	90		5	252.03	0.00	C3-0357	0

2013 SHPD PROPERTY INVENTORY

O	R	ORG CODE				P	R	LOC	MAINT	ITEM	Q	DESCRIPTION OF PROPERTY	FISCAL YEAR		CARRYING VALUE	D	VALUE	DECAL	QTY
		D	D	S	I								L	A					
P	E																		
E	O																		
R	R	E	I	/	S														
A	D	P	V	D	L														
T		T	I	I	A														
I	C	S	V	N															
O	O	D	I	D															
N	D	L	O	N															
E	N	N	O	O	OAHU (1)														
	R	N				GENERAL - STATE (1)													
	A	S	E	MAUI (2)		SPECIAL - STATE (2)													
	O	H				BOND (3)													
	D	P		HAWAII (3)		FEDERAL (6)													
	E	D					LAND (1)												
	I						BUILDINGS (2)												
	G						MOTOR VEHICLES (3)												
	N						EQUIPMENT (4)												
	O						CONTROLLED ITEMS (5)												
	N						HISTORIC ITEMS (7)												
	E																		
	B																		
	Y																		
	F																		
	I																		
	S																		
	C																		
	A																		
	L																		
1	2	3-4	5	6	7	8	9	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	72-82	84-91
	3	2	3	0	1	2	4	001	3060380	3221	1	CHAIR DRAFTING ECK ADAMS 4225 HAZE	90		5	95.00	0.00	C3-0489	0
	3	2	3	0	1	2	4	001	3060390	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0475	0
	3	2	3	0	1	2	4	001	3060400	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0476	0
	3	2	3	0	1	2	4	001	3060410	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0477	0
	3	2	3	0	1	2	4	001	3060420	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0478	0
	3	2	3	0	1	2	4	001	3060430	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0479	0
	3	2	3	0	1	2	4	001	3060440	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0480	0
	3	2	3	0	1	2	4	001	3060450	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0481	0
	3	2	3	0	1	2	4	001	3060460	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0482	0
	3	2	3	0	1	2	4	001	3060470	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0483	0
	3	2	3	0	1	2	4	001	3060480	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0484	0
	3	2	3	0	1	2	4	001	3060490	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0485	0
	3	2	3	0	1	2	4	001	3060500	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0486	0
	3	2	3	0	1	2	4	001	3060510	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0487	0
	3	2	3	0	1	2	4	001	3060520	3221	1	CHAIR ECK ADAMS 51 1 HAZE	90		5	95.00	0.00	C3-0488	0
	3	2	3	0	1	2	4	001	3060680	3221	1	CHAIR W/ARM ECK-ADAMS 5333/5355	90		5	260.00	0.00	C3-4507	0
	3	2	3	0	1	2	4	001	3060750	3221	1	CHAIR W/O ARM ECK-ADAMS 5333 BEIGE	90		5	231.00	0.00	C3-0494	0
	3	2	3	0	1	2	4	001	3060760	3221	1	CHAIR W/O ARM ECK-ADAMS 5333 BEIGE	90		5	231.00	0.00	C3-0495	0
	3	2	3	0	1	2	4	001	3060770	3221	1	CHAIR W/O ARM ECK-ADAMS 5333 BEIGE	90		5	231.00	0.00	C3-0496	0
	3	2	3	0	1	2	4	001	3060780	3221	1	CHAIR W/O ARM ECK-ADAMS 5333 BEIGE	90		5	231.00	0.00	C3-0497	0
	3	2	3	0	1	2	4	001	3060790	3221	1	CHAIR W/O ARM ECK-ADAMS 5333 BEIGE	90		5	231.00	0.00	C3-0499	0
	3	2	3	0	1	2	4	001	3061230	3223	1	DESK 5D3060XA/5RI 843BL6 W/RETURN	90		5	587.86	0.00	C3-0572	0
	3	2	3	0	1	2	4	001	3061250	3223	1	DESK 5D3060BA WALNUT	90		5	425.93	0.00	C3-0563	0
	3	2	3	0	1	2	4	001	3061260	3223	1	DESK 5D3060BA WALNUT	90		5	425.93	0.00	C3-0564	0
	3	2	3	0	1	2	4	001	3061270	3223	1	DESK 5D3060BA WALNUT	90		5	425.93	0.00	C3-0565	0
	3	2	3	0	1	2	4	001	3061280	3223	1	DESK 5D3060BA WALNUT	90		5	425.93	0.00	C3-0566	0
	3	2	3	0	1	2	4	001	3061290	3223	1	DESK 5D3060BA WALNUT	90		5	425.93	0.00	C3-0567	0
	3	2	3	0	1	2	4	001	3061300	3223	1	DESK 5D3060BA WALNUT	90		5	425.93	0.00	C3-0568	0
	3	2	3	0	1	2	4	001	3061310	3223	1	DESK 5D3060BA WALNUT	90		5	425.93	0.00	C3-0569	0
	3	2	3	0	1	2	4	001	3061320	3223	1	DESK 5D3060BA WALNUT	90		5	425.93	0.00	C3-0570	0
	3	2	3	0	1	2	4	001	3061390	3223	1	DESK5D3060AX/5RI 843BR6 W/RETURN	90		5	587.86	0.00	C3-0573	0
	3	2	3	0	1	2	4	001	3062240	3239	1	REFRIGERATOR KENMORE #60151 21 CUBIC	90		5	799.87	0.00	C3-0398	0
	3	2	3	0	1	2	4	004	3063700	3221	1	CHAIR CONFERENCE LABOSTAC BURG TONUS 20	90		5	154.00	0.00	C3-0463	0
	3	2	3	0	1	2	4	004	3063710	3221	1	CHAIR CONFERENCE LABOSTAC BURG TONUS 20	90		5	154.00	0.00	C3-0464	0
	3	2	3	0	1	2	4	004	3063720	3221	1	CHAIR CONFERENCE LABOSTAC BURG TONUS 20	90		5	154.00	0.00	C3-0466	0

2013 SHPD PROPERTY INVENTORY

O	R	ORG CODE				P	R	LOC	MAINT	ITEM	Q	DESCRIPTION OF PROPERTY	FISCAL YEAR		CARRYING VALUE	D	VALUE		
		D	D	S	I								L	A			A	I	S
P	E					O		CONTROL	CLASS	U	START WITH A NOUN INCLUDE IF APPLICABLE MAKE / MODEL / SERIAL NUMBER)	A	P	OF ITEMS	P	REMOVED	NUMBER	DISP	
C	O					R	NUMBER			A		(LIMITED TO 39 CHARACTERS INCLUDING BLANK SPACES)	S	R	ON HAND	CD			
E	O					E				N		T	O						
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	R	N	O			O													
	A	S	H	MAUI (2)		D													
	S	H				E													
	D	S	P	HAWAII (3)															
	E	I	D			LAND (1)													
	G					BUILDINGS (2)													
	N	N				MOTOR VEHICLES (3)													
	O	E				EQUIPMENT (4)													
	N	D				CONTROLLED ITEMS (5)													
	E					HISTORIC ITEMS (7)													
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	A																		
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1	2	3-4	5	6	7	8	9	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	72-82	84-91
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	3	2	3	0	1	2	4	001	3061740	3239	1	LOVE SEAT CHR D H60050 EL 42	90		8	424.00	0.00	C3-0396	0
	3	2	3	0	1	2	4	001	3062290	3239	1	SOFA CHR D H60072 EL 42	90		8	540.00	0.00	C3-0397	0
	3	2	3	0	1	2	4	001	3062390	3228	1	TABLE CONFERENCE 140 80X42X29 OAK	90		8	474.00	0.00	C3-0528	0
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OAHU BOND FUND																			
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	3	2	3	0	1	3	4	001	3059720	3225	1	CABINET FILE HAMILTON 5 DRW STEEL	70		2	444.00	0.00	C5-2303	0
	3	2	3	0	1	3	4	001	3060270	3203	1	CALCULATOR RICOH TCA 814 PD	76		2	133.72	0.00	C5-2249	0
	3	2	3	0	1	3	4	001	3060360	3311	1	CAMERA YASHICA MAT 1246 W/TWIN LENS	71		2	140.00	0.00	C5-2352	0
	3	2	3	0	1	3	4	001	3061140	3319	1	COPIER SLIDE PENTAX NO. 30029	79		2	77.76	0.00	C5-1555	0
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	3	2	3	0	1	3	4	001	3061450	3800	1	FINDER RANGE NO. 8026 15	70		2	160.00	0.00		0
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2013 SHPD PROPERTY INVENTORY

O P C E O R A T I O N E	R E D P T C O D E L O N R	ORG CODE				P R O P E R T Y C O D E	M A I N T E N A N C E C O D E	L O C A T I O N C O D E	M A I N T E N A N C E C O D E	I T E M C L A S S	Q U A N T I T Y	D E S C R I P T I O N O F P R O P E R T Y (LIMITED TO 39 CHARACTERS INCLUDING BLANK SPACES)	FISCAL YEAR		C A R R Y I N G V A L U E	D I S P O S I T I O N	V A L U E O F I T E M S	D E C A L N U M B E R	Q U A N T I T Y	
		L A S T	A S S E S S M E N T	A M O U N T	P R I C E								68-69	70						71
1	2	3-4	5	6	7	8	9	10-12	13-19	20-23	24-28	29-67	68-69	70	71	72-82	83	72-82	84-91	
	3	2	3	0	3		1	4	001	3064390	3375	1	MONITOR DELL 17INCH LCD	06		5	1.00	0.00	C3-1001	0
	3	2	3	0	3		1	4	001	3064380	3310	1	LENS 24-50MMAF F3.3-4.54 MACRO ZM NIKON	91		8	1047.00	0.00		0
	3	2	3	0	3		1	5	001	3064400	3900	1	AIR CONDITIONER, PANASONIC CW-XC122VU	03		5	312.49	0.00	C03-0839	0
	3	2	3	0	3		1	5	001	3064410	3219	1	BOOKCASE METAL 6 SHELVES	02		5	192.05	0.00	C3-0988	0
	3	2	3	0	3		1	5	001	3064420	3219	1	BOOKCASE METAL 6 SHELVES	02		5	192.04	0.00	C3-0989	0
	3	2	3	0	3		1	5	001	3064430	3225	1	CABINET FILE 4DR LETGAL STEEL	02		5	156.23	0.00	C3-0990	0
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	3	2	3	0	3		1	5	001	3064450	3377	1	MODEM SPORTSTER 56K	02		5	104.15	0.00	C3-0987	0
HAWAII BOND FUND																				
	3	2	3	0	3		3	4	001	3064330	3311	1	CAMERA BODY NIKON FM2	91		5	1139.85	0.00		0
	1	2	3	0	3					3064270		0	HAWAII OFFICE				0.00	0.00		0
	1	2	3	0	3					3064280		0	HISTORIC PRESERVATION DIVISION				0.00	0.00		0
KAUAI GENERAL FUND STATE																				
	3	2	3	0	4		1	2	001	3064480	2300	1	CONTAINER 20 FOOT INSULATED	92		8	3000.00	0.00		0
	3	2	3	0	4		1	3	001	3064500	3120	1	FORD BRONCO II TRUCK VIN#2FTEF14N5LCB39	90		2	20517.85	0.00	SH7028	0
	3	2	3	0	4		1	3	001	3064490	3120	1	DODGE DAKOTA P/U TRUCK 1D7HG38K54S61052	04		5	31865.00	0.00	SH-B187	0
	3	2	3	0	4		1	4	001	3064510	3225	1	CABINET FILE LATERAL 5 DRW LEGAL USED	03		5	300.00	0.00	C3-0832	0
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	3	2	3	0	4		1	4	001	3064540	3375	1	COMPUTER DELL OPTIPLEX SN#7RJ6L11	02		5	1236.39	0.00	C3-0828	0
	3	2	3	0	4		1	4	001	3064550	3377	1	GPS TRIMBLE GEO-XH SER #4624480745	06		5	5832.96	0.00	C3-1020	0
KAUAI SPECIAL FUND STATE																				
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KAUAI BOND FUND																				
	3	2	3	0	4		3	2	002	3064570	2600	1	KE'E HULA PLATFORM-CIP CONTRACT NO. 376	95		6	101000.00	0.00		0
	1	2	3	0	4					3064460		0	HISTORIC PRESERVATION DIVISION				0.00	0.00		0
	1	2	3	0	4					3064470		0	KAUAI OFFICE				0.00	0.00		0
	1	2	3	0	4			002		3064560		0	KE'E HULA HEIAU, HAENA, KAUAI				0.00	0.00		0

SECTION 2

ADMINISTRATION

Branch Discretionary Funds Budgets

2015 SHPD DISCRETIONARY EXPENDITURES BUDGET

Item No.	Description	Administration	Approved Staff	Archaeology	Approved Staff	Architecture	Approved Staff	History & Culture	Approved Staff	Total	Total No. Approved Staff
1	Office & Other Supplies	\$ 8,161	11	\$ 5,935	8	\$ 3,710	5	\$ 5,194	7	\$ 23,000	31
2	Travel, Lodging, Per Diem, & Car Rental	\$ 5,324		\$ 23,467		\$ 17,660		\$ 13,548		\$ 60,000	
3	Training	\$ 2,129		\$ 1,548		\$ 968		\$ 1,355		\$ 6,000	
4	Equipment	\$ 15,944		\$ 11,613		\$ 7,258		\$ 10,161		\$ 45,000	
5	Total Discretionary Expenditures	\$ 31,558	11	\$ 42,564	8	\$ 29,596	5	\$ 30,258	7	\$ 134,000	31
6	Reconciled									\$ 134,000	

Reconciled:

SECTION 3

SURVEY

Procedures and Guidelines for Archaeological Survey and
Inventory in Hawai'i

Guidelines: Architectural Historic Resource Surveys

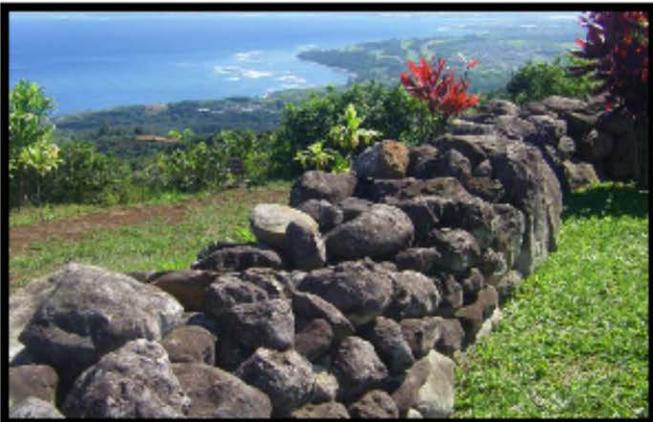
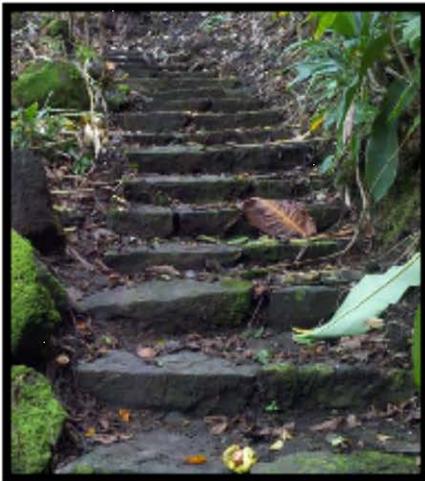
SECTION 3

SURVEY

Procedures and Guidelines for Archaeological Survey and
Inventory in Hawai'i

Procedures and Guidelines for Archaeological Survey and Inventory in Hawai‘i

- Site Identification, Documentation and Evaluation Standards
- Obtaining a State Inventory of Historic Places Site Number
 - Field Forms and Procedures for Survey and Inventory
 - Reporting and Review Standards
 - Public Access to Information



**Department of Land and Natural Resources
Historic Preservation Division
Archaeology Branch**



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

Please direct comments or questions regarding this document to:

**Theresa K. Donham, Archaeology Branch Chief and
Deputy State Historic Preservation Officer
State Historic Preservation Division
601 Kamokilo Blvd., Room 555
Kapolei, Hawaii 96707**

Cover Photos, clockwise from upper left:

Cut stone stairway constructed along the ocean cliff face at Hakalau Sugar Mill, Hakalau, Hawai'i Island (photo by T. Donham)

Strombus shell remnants on deflated surface in the uplands of Kaho'olawe (photo by J. Pickett)

Pi'ilani/Hoapili Trail in the area of Keone'olio, Maui (photo by J. Pickett)

Perimeter wall, Kukuipuka Heiau, Maui (photo by J. Pickett)



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B	Historic Contexts for Hawaiian Archaeology
C	Instructions for State Inventory of Historic Places Database Entry – Archaeology
D	Instructions for SIHP Geodatabase submittals
E	Content and Format Guidelines: Archaeological Inventory Survey Reports
F	Report/Plan Submittal Form
G	Instructions for SHPD Report Database Entry - Archaeology



Acronyms

ACHP	Advisory Council on Historic Preservation
AIS	archaeological inventory survey
APE	area of potential effects
CFR	Code of Federal Regulations
CLG	certified local government
DOE	determination of eligibility
GIS	geographic information system
HAR	Hawaii Administrative Rules
HPF	Historic Preservation Fund, administered by the National Park Service
HRS	Hawaii Revised Statutes
HRHP	Hawaii Register of Historic Places
NHO	Native Hawaiian Organization(s)
NHPA	National Historic Preservation Act
NPS	National Park Service, Department of the Interior
NRHP	National Register of Historic Places
OHA	Office of Hawaiian Affairs
SIHP	State Inventory of Historic Places
SOI	Secretary of the Interior
SHPD	State Historic Preservation Division
SHPO	State Historic Preservation Officer
TMK	Tax Map Key (property identification system in Hawaii)

Acknowledgement

This program receives Federal financial assistance for identification and protection of historic properties. Under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, as amended, the U.S. Department of the Interior prohibits discrimination on the basis of race, color, national origin, or disability or age in its federally assisted programs. If you believe you have been discriminated against in any program, activity, or facility as described above, or if you desire further information, please write to:

*Office of Equal Opportunity
National Park Service, 1849 C Street NW,
Washington, DC 20240*

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1. Introduction

This document was prepared by the Hawai'i State Historic Preservation Division (SHPD) for use by individuals, consulting firms and research teams who conduct archaeological field investigations within the State of Hawai'i. The manual also defines procedures for SHPD staff archaeologists who conduct fieldwork, review submitted documents and maintain the state inventory databases and geographic information system (GIS). The manual is organized to provide overviews of the various steps identified for survey and inventory, with more detailed instructions and guidelines attached in the Appendix. This allows for easy identification of task-specific procedures as needed, while maintaining an organizational framework that is consistent with Federal standards and guidelines. The primary purpose of this manual, regardless of the audience, is to ensure that the findings of all surveys conducted in the State of Hawai'i are incorporated into a statewide inventory of historic properties, to ensure that research results are collected in a manner that allows for integration into the SHPD preservation planning process, and to ensure public access to information that is not sensitive.

The survey process includes all actions related to the identification, documentation and evaluation of historic properties. The inventory process refers to those actions related to the documentation of the survey results and determinations. The desired result is a repository of information on specific properties that are evaluated as significant. Inventory often takes the form of record keeping, maintenance of appropriate databases, the geographic information system (GIS) and library resources, thus ensuring information is available to professional and public users.

The organization of the manual follows the general processes and principals of survey (Sections 2 through 4) and inventory (Sections 5 through 7) as sequential elements that result in a consistently maintained system. Concepts and practices described here are based on National Park Service guidelines as found in the Historic Preservation Fund (HPF) Grants Manual and the Secretary of the Interior's (SOI) Standards.



2. Identification

Survey activities are intended to identify, document and evaluate historic properties. Survey includes the analysis of data necessary to identify and evaluate historic properties, determine where gaps exist in our understanding of historic properties. The context of a survey can vary considerably and will influence many elements, such as the geographic extent, the types of historic properties identified, the level of coverage, the extent of documentation, and the degree to which findings are evaluated for National Register of Historic Places (NRHP) eligibility. Regardless of the context, the identification process must follow standards that will allow for the dissemination of knowledge to the public and contribute to the overall goals of the state historic preservation program. These standards are codified in the Secretary of the Interior's Standards and Guidelines for Identification

(http://www.nps.gov/history/local-law/arch_stnds_2.htm). The three basic standards for identification are:

- I. Identification of historic properties follow methods, techniques and level of detail necessary so that the gathered information will provide a sound basis for making decisions and achieve defined preservation goals.
- II. Results of the identification process are reviewed and integrated into the preservation planning process.
- III. The identification results and records are systematically gathered and maintained for accessibility, with the safeguarding of sensitive information.

The SHPD, in its capacity as the regulator of archaeological activities in Hawai'i, pursuant to Section 101 (b) (3) of the National Historic Preservation Act (NHPA), is responsible for defining and implementing identification standards as they directly relate to archaeological surveys. §6E-3 (13) Hawaii Revised Statutes (HRS).

2.1 Purpose and Scope of the Survey

Archaeological surveys are conducted for a variety of reasons; they are often designed and implemented to address specific research questions that are developed by teams or individuals associated with universities, or funded through public or private grants. Surveys are conducted by SHPD staff for purposes of expanding or refining the SIHP, for purposes of nominating a significant historic property to the Hawaii Register of Historic Places (HRHP) and NRHP, or for purposes of identifying areas where historic properties are absent. Surveys are conducted by Certified Local Governments (CLGs) for a number of reasons, such as assisting in the development of a historic context for evaluating historic properties, redefining or updating existing historic district boundaries and contributing properties, or developing guidelines for local government permits within historic districts. Surveys are also conducted by professional consulting firms in response to a request by SHPD, a State or Federal agency, or a private landowner, in compliance with state or federal preservation laws.



The purpose of a survey will directly affect its scope; it is therefore very important to clearly state the purpose of a proposed survey work plan or of a completed survey for which a report is prepared and submitted to SHPD.

2.2 Research Design

The research design is developed prior to initiation of any fieldwork and after the purpose of the survey has been determined. This written document provides the link between identified research topics or historic contexts (See Section 4.1) and the selected archival, field and/or laboratory methods. In the context of Chapter 6E or Section 106 NHPA compliance contexts, the research design is a required component of the inventory survey plan, when requested as part of the review process. The Secretary of the Interior's Standards recognize three general components of the research design: 1) objectives, 2) methods, and 3) expected results.

The objectives as stated in a research design should directly reflect the intended purpose of the survey, whether it is at the level of regional synthesis, thematic representation within a town, a historic corridor, or a small private parcel undergoing compliance review. Information that should be provided in this statement includes current knowledge about the research topic, historic context, or property type as compiled from background research or assessments of previous research. The objective statement should also include a clear and concise description of the survey area, and its relationship to prior survey areas or any area of potential effect (APE) associated with public or private development.

The methods component of a research design should explicitly define the boundaries of the survey area and state intended field and/or archival and laboratory research methods. This is particularly important if the research design is submitted in the context of an inventory survey plan for Chapter 6E or Section 106 compliance surveys. In many cases, methodological issues can affect the findings and conclusions of a survey; it is therefore critical that an accurate description of field methods be included. For surveys conducted pursuant to Chapter 6E, the expectation is that 100% of the surface area of a defined APE will be visually inspected (HAR §13-276-4). The investigator should determine whether or not the entire surface of an APE can feasibly be inspected prior to initiation of fieldwork. If conditions (such as development, topography or vegetation) preclude a 100% visual inspection, the survey sampling design must be developed in consultation with SHPD and is subject to approval prior to inclusion in the research design. The methods sections should include a discussion of how spatial data will be collected in the field in a manner compatible with the SHPD GIS data collection standards. The boundaries of the survey area as well as point, lines or polygons for identified cultural resources will need to be transmitted to SHPD along with appropriate metadata in a geodatabase format (see Section 5 below).

Expected findings are predictions based on the synthesis of previous archaeological work in the area, archival research and information on the current condition/uses of a survey area. These are often stated as working hypotheses to be tested during the course of the survey. For example, one might conclude



that based on current information, a certain type of archaeological site would be absent or very rare within a given survey area. The actual findings could prove the assumption erroneous, thereby increasing our knowledge regarding the distribution of a certain site type and the expectations of a certain environmental setting or land use pattern. When the background research for a survey duplicates or repeats previous work, predictions are usually self-fulfilling and the full research value of archaeological resources is not recognized. A true research design builds on existing knowledge to extract new information about a place and its history, rather than simply repeat known information.

2.3 Background Research

Background research is an important identification tool that is either a stand-alone method or is used in conjunction with field work. When used in conjunction with field work, the background research should always occur first, so that the information obtained can inform the observations made in the field. Preliminary background research is needed in order to complete the research design for a survey project. Additional research is conducted in accordance with the goals established in the research design. These goals may include directed research about a particular site type or geographic area that would constitute new information to be synthesized in conjunction with the field work findings.

The Secretary of the Interior's Standards for Historical Documentation contain a number of important factors that should be considered when doing background research for survey field work. Regarding the use of sources, the Standards note that the research design should state the kinds of source materials that will most likely contain the information needed. If it is determined that local newspapers and tax records will provide the most relevant information on former land uses of a survey area, then this component should be the focus of background research. In Hawaii, the most commonly used archival source materials include oral histories as recorded by various scholars, Māhele records including Native and foreign testimonies, boundary testimonies and other Land Commission records and claims; 19th century Hawaiian language newspapers, historic government survey maps, insurance maps, tax maps; church records; and historical narratives from travelers or residents. These sources can be found at the public and university libraries, the Hawai'i State Archives, Bishop Museum Archives, on line databases developed by Waihona 'Aina and the Office of Hawaiian Affairs, private museums (Mission Houses, Lyman Museum, Baily House Museum, train and plantation museums and corporate archives), Department of Defense records, and National Park records.

Surveys that are conducted as part of Chapter 6E compliance are required to conduct and report on background research of 18th and 19th century Hawaiian literature, mid-nineteenth century Land Commission awards (LCA), and post-1850 times as reflected in literature or oral history [HAR §13-276-5 (b)]. If LCA were granted within or near a survey area, specific information about the award, as documented in the Land Commission records, is required to be reported. This information has the potential to provide critical interpretive value that would otherwise not be visible in the archaeological



record. The extent to which Land Commission records are integrated into a research design varies, depending on the presence of (LCA) and the quality of available records.

Background research also includes an examination of archaeological reports, previously identified site records, and a compilation of previously surveyed areas within or near the proposed survey area. This research must be completed prior to the initiation of fieldwork in order to determine whether there are known historic properties within the survey area, and the extent of prior research/evaluation work that has been completed [HAR §13-276-5 (b)]. There are a variety of sources for information on previous archaeological work in Hawai'i. Many reports on the surveys conducted in the early to middle twentieth century were published by Bishop Museum and are available in public libraries as well as on line and at the local SHPD libraries. Reports generated in research and compliance contexts since the inception of SHPD are shelved at SHPD libraries. There are various paper forms of maps generated by SHPD in cooperation with other State agencies, available at SHPD offices, as well as site records, database information and GIS information. These resources are currently not available on line; researchers must visit the appropriate office (Wailuku, Hilo or Kapolei) to view the information. Copies of reports are available for short term checkout and copying.

2.4 Informant Interviews

Individuals with knowledge about historic properties in a survey area should be identified and consulted prior to the initiation of field work activities. This is particularly important for research projects or compliance projects that cover large areas, or are located in regions known to contain culturally significant resources. The initiation of consultation will also determine the need or appropriateness of an ethnographic survey in conjunction with the archaeological survey. It is mandatory for the lead federal agency to initiate efforts to identify persons and Native Hawaiian organizations knowledgeable about an undertaking's area of potential effect (APE) in order to inform identification and evaluation efforts (36 CFR Part 800.4). Chapter 6E compliance surveys require consultation with individuals or organizations associated with an ethnic group that may place traditional cultural value on resources or places located within the survey area [HAR §13-275-6 (c) and §13-284-6 (c)]. This consultation is not specifically required prior to the initiation of field work, but it must be completed and included in the report of findings and significance evaluations [§13-276-5 (g)]. SHPD urges all persons and firms conducting surveys in Hawai'i to become familiar with members of the descendant community associated with a survey area and invite them to be active participants in the process. People are generally more willing to share information about storied places if they are respected and their opinions are seriously considered when decisions are made regarding historic properties.

There are many Native Hawaiian organizations (NHO), commissions and non-profits who have special interest in given areas, based on traditional knowledge passed down through family and community members. Examples include the Island Burial Councils, comprising members with regional knowledge within the five Councils (Kaua'i/Ni'i'hau, Oahu, Moloka'i, Maui/Lana'i and Hawai'i), Hui Malama I Na



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Kupuna O Hawai'i Nei, regional representatives of the Office of Hawaiian Affairs, members of the Royal Order of Kamehameha and the Hawaiian Civic Clubs, Aha Moku members, church groups, the Native Hawaiian Legal Corporation, and the Native Hawaiian Organization Association, who can provide consultation lists for identified areas.

The US Department of the Interior Office of Native Hawaiian Relations maintains a notification list of over 70 organizations in Hawai'i that wish to be consulted regarding the identification and evaluation of historic properties within defined geographic areas of island, moku and ahupua'a. The list is available at (www.doi.gov/ohr/nativehawaiians).

2.5 Field Survey

The field work component of a survey is generally defined according to the level of coverage within a given area and according to the level of work conducted at each of the identified cultural resources. Field inspections are generally not defined as surveys; however, when the level of pedestrian coverage is equal to an intensive survey, the information obtained may be used to update the SHPD survey feature class in the GIS. SHPD may conduct field inspections to establish the presence or absence of cultural resources within a project APE that is under Chapter 6E or Section 106 compliance review. If any cultural resources are observed, the inspection ends and a formal inventory/intensive survey of the APE is recommended. If no cultural resources are observed, the inspection continues to ensure that 100% of the project APE is examined. In these cases, the negative findings of the inspection are documented and entered into the survey area geodatabase as a surface survey area with no resources. The field inspection field forms are further discussed in the next section and the field form is shown in Appendix A. The geodatabase procedures are described in Section 5.2 below.

Field inspections are also conducted by consulting firms in conjunction with literature searches, to establish the probability of cultural resources being present or absent within a project APE. These are often submitted to SHPD in accordance with HAR §13-275 or §13-284, as supporting documentation for an agency determination that no historic properties will be affected by a proposed project. Preferably, these types of studies should be conducted as reconnaissance level surveys. It is the responsibility of SHPD to determine whether the field inspection and literature review provides sufficient information to support the determination that no historic properties are present. If questionable, additional field work by SHPD staff or the project proponent will be conducted to verify the absence of cultural resources. No site documentation work is conducted as part of a compliance field inspection. In all cases, if cultural resources are found, an inventory/intensive survey is triggered. Field inspections are generally not conducted as part of research projects; in these situations, reconnaissance survey is conducted to establish the presence/absence or likelihood of cultural resources within a project area.

Reconnaissance surveys are appropriate when the goals of the project are general in nature, such as gaining an overview of the types and distribution of historic properties most common within a defined



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area, or when the presence/absence of cultural resources is needed for land use planning purposes. Information collected for identified sites is usually broad in nature and not always sufficient to establish the specific age and function (or significance) of each identified site. Subsurface testing is usually not included in the scope of reconnaissance surveys. A research design is expected to be developed in connection with reconnaissance surveys, along with documentation of 1) the kinds of historic properties looked for, 2) the boundaries of the survey area, 3) the methods used and extent of survey coverage, 4) description of the kinds and numbers of historic properties observed and other descriptive information as determined by the research design, and 5) identification of areas that contain no cultural resources (Secretary of the Interior's Standards for Identification). Reconnaissance surveys are appropriate for Chapter 6E and Section 106 compliance if and when no cultural resources are identified within a defined APE, with the understanding that the survey coverage is adequate. For 6E projects, the current HAR identifies assessment surveys as those with no findings. Current HAR allows the assessment survey report to be submitted to SHPD with no background information or research design (HAR §13-275-5 or §13-284-5); however, it is preferable that this type of survey be conducted in accordance with the Secretary of Interior's Standards. It is difficult to determine the presence or absence of potentially significant places within an APE when no background information is collected and no consultation has occurred.

Intensive surveys are appropriate when it is important to know where all historic properties are located within a project area; and when it is necessary to evaluate these properties so that appropriate treatment can be determined for each site. Chapter 6E compliance surveys must be intensive when potentially significant historic properties are present within a project APE. This type of survey is identified as an inventory survey in the HARs pertaining to the identification and evaluation process (§13-275, -276 and -284). Intensive surveys conducted in compliance with Section 106 must document the first three sets of information identified for reconnaissance surveys (above), as well as the following: 4) a record of the precise location of all properties identified; and 5) information on the appearance, significance, integrity and boundaries of each property to permit an evaluation of its significance (Secretary of the Interior's Standards for Identification). This information is also required for intensive/inventory survey reports prepared in compliance with Chapter 6E. In addition to the above, Chapter 6E reports must include descriptive information on subsurface deposits and recovered materials, drafted scaled plan maps of each property, representative photographs of each property, an assessment of site age and function, description and documentation of previous land disturbances within the project area, a summary discussion of the functional types identified (with distribution maps and tables), and a re-evaluation of ideas on the history of land use in the ahupua'a and survey area (§13-276-5). A more detailed discussion of information required to be presented in Chapter 6E intensive survey reports is found in Section 6.1 and Appendix E.

Parties conducting reconnaissance and intensive surveys in Hawaii are required to provide GIS data to SHPD regarding the survey area and all identified historic properties (and features). Geodatabase



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templates and data dictionaries are available from SHPD; this process and the required information sets are discussed in detail below (Section 5.2).

SHPD issues annual permits to archaeologists qualified pursuant to the Secretary of the Interior's Standards and pursuant to HAR §13-281. An annual permit is required before any archaeological historic property can be modified in any way. Persons holding annual permits (principal investigators) are required to submit brief reports of findings within one month after any field work is completed. Permit holders are encouraged to notify SHPD upon initiation and upon completion of any field work, whether for research or compliance purposes.

2.6 Underwater Survey and Submerged Resources

The channels between the main islands and waters within three miles of all shorelines are under State jurisdiction. All submerged historic properties under waters controlled by the State are considered property of the State. SHPD recommends that underwater surveys be conducted prior to any project (private or public) that has the potential to affect submerged resources. An underwater reconnaissance can be conducted using divers if conditions permit; otherwise, remote sensing should be employed. Areas that are not amenable to diver surveys include bays or estuaries that have high sedimentation rates; submerged resources in these environments would most likely be buried and not visible to divers. Areas generally deeper than 100 feet pose threats to diver safety due to the bottom time needed to conduct a systematic survey.

Marine remote sensing survey should employ dual instrumentation that will detect both buried and exposed cultural resources. Under normal conditions, shipboard equipment should include a positioning system, a depth recorder, and a marine magnetometer or side-scan sonar. A shallow seismic (sub-bottom) profiler may be needed where deep deposits of sand or other overburden are present. Initial survey transects for underwater surveys should be spaced no greater than 50 meters for magnetometer survey and no greater than 150 meters for side-scan sonar survey. When anomalies are detected, delineation transects should be 15 meters or less, depending on anomaly size and duration.

Exposed underwater resources located by remote sensing should be ground-truthed by visual inspection if safety and visibility conditions permit. Sub-bottom anomalies should be ground-truthed by manual or hydraulic probing or test excavation using induction dredge, airlift or water jet, as appropriate to bottom conditions. Ground-truthing should include documentation by measured sketches, verbal descriptions and photography or video if feasible.

Near-shore waters around the Hawaiian islands have a high potential to contain submerged cultural resources, due to subsidence, shoreline erosion and rising sea levels. Examples of threatened resources include petroglyphs, papamū, salt pans and bait cups, remnants of structural features that were once on the shoreline, fishpond and fish trap walls, and human skeletal remains (both in situ and disturbed). Satellite and lidar imagery can be very productive in identifying structural remains in these



environments. On-site documentation of these types of sites can be potentially unsafe and must be coordinated with local tide and surge conditions. These resources are too shallow for standard underwater techniques and require adaptive use of both land and water-based equipment. For example, positioning data can be collected using GPS equipment from a kayak, or a shore-based total-station or transit with a snorkel crew.

Other types of submerged sites found in waters immediately offshore include fishing ko'a (stone structures), concentrations of palu stones (bait weights), octopus lure weights and net weights. These items tend to concentrate due to repeated use of productive fishing locations (i.e., around pinnacles) and due to the prevailing underwater currents that move portable items into localized concentrations over time. These traditional sites can be overlooked if remote sensing equipment is not properly adjusted, or if divers are not familiar with the appearance of coral encrusted stone artifacts.

3. Documentation

The recordation of findings during a field survey is the beginning of a very important sequence of documentation, which ends with the completion of a report and entry of all pertinent information in the appropriate databases and archival locations. Archaeological documentation, as defined in the Secretary of the Interior's Standards, refers to operations performed using archaeological techniques as a means to obtain and record evidence about past human activity. This section focuses on the archaeological documentation as defined by the Secretary of the Interior. Methods of data collection, laboratory analysis and curation of recovered materials is also discussed here. Other aspects of documentation are covered in subsequent sections.

The SHPD does not have rules that define minimal requirements for field records used by consulting firms and researchers in Hawaii, and the SHPD does not formally monitor field recordation practices. The discussion here provides minimal guidelines for the types of forms that should be in use and the conditions under which they should be used. Qualified principal investigators have a duty to monitor their staff to ensure accurate field documentation, and that forms are used to record the types of activities that are listed below.

3.1 Survey Field Records and Descriptive Information

The SHPD Archaeology Branch has developed a number of field record forms to ensure the consistent and accurate collection of information during field activities. In addition to the field inspections and surveys described above, SHPD archaeologists must occasionally engage in mitigation level documentation. All of these types of field work require that specific sets of information be documented. The various types of field forms are discussed here and examples are provided in Appendix A.

The field inspection report ensures that sufficient information is recorded to determine whether a specific APE can be classified as having no historic properties present (Appendix A-1). Important data



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include total area of the APE, percentage of the APE inspected, visibility, and a description of the field activities. Other information, such as the background as to why the inspection occurred, caller, owner, TMK, date(s), staff involved, and findings must be filled out, along with recommendations, attached photos and GPS data if collected. The field inspection report becomes supporting documentation for a subsequent compliance review letter which will either recommend that an intensive survey be conducted, or that no historic properties will be affected by the project. The field inspection report is filed in two locations: 1) the correspondence TMK file used for review and compliance research (hard copy and DocuShare); and 2) the electronic "Field Inspection Reports" folder, located in the shared Archaeology Branch folder (T drive). Reports in this folder are reviewed by the Branch Chief to ensure that the inspections were thorough and constitute an accurate representation of the entire APE that was inspected. If approved as thorough, the electronic reports with negative findings are then marked for the GIS specialist who uses them to update survey areas with negative findings.

Site and feature records are used when SHPD archaeologists engage in reconnaissance or intensive field survey. The forms contain information needed to complete the SIHP site database for newly identified archaeological resources, or to update the database for previously identified resources (Appendix A-2). Descriptive information to be recorded at the time of discovery includes overall site dimensions, number of identified features, relative location of the features, location of GPS readings within or around the site, feature dimensions, portable materials and/or cultural deposits observed, construction materials and techniques for any surface architecture, setting and vegetation, functional interpretation, overall condition and appearance, informants or information regarding the site, miscellaneous comments, applicable significance criteria, attached photos, maps, or other records, dates of fieldwork, and recorder. The completed field forms are filed in the new or existing hard copy site file after the information has been transferred to the SIHP database and has been used to complete a report of findings, evaluation and significance determination for the site. This is considered base line data that directly contributes to the statewide inventory and provides sufficient information to conduct problem-oriented research directed toward data gaps, historic contexts, or important themes in Hawaiian archaeology. All SHPD archaeologists responsible for completing the field forms have sufficient experience in documentation to understand what information is required for the various items listed on the form.

Subsurface testing is normally conducted in the context of intensive survey; controlled excavation is conducted in the context of data recovery. SHPD archaeologists most frequently conduct controlled excavation in the context of emergency data recovery. In the context of intensive survey, testing is conducted to verify the presence or absence of cultural deposits in areas that show no surface evidence of such, or in architectural features that provide no surface clues regarding age or function. Examples of the latter include terraces that could be the result of temporary habitation or agriculture. Testing can verify whether habitation-related portable remains are present or absent and may provide dating samples, diagnostic artifacts, or other materials to aid in evaluating significance.



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Emergency data recovery is an on-going practice at several locations where severe shoreline erosion results in the exposure and loss of significant historic properties. At some locations, human burials, architectural features and intact subsurface features are exposed by waves; SHPD archaeologists monitor these locations and if necessary, conduct rescue excavations. This work follows standard archaeological field procedures and the Secretary of the Interiors Standards for Documentation. Research questions addressed are derived from the historic contexts and establish a systematic framework for measuring and monitoring shoreline erosion, which has the potential to increase dramatically in the future. Historic contexts are discussed in detail in Section 4.1.

The stratigraphic record is used by SHPD archaeologists to record soil deposition observed in shovel tests, controlled excavation units, or along exposed soil cuts, cliff banks or beach fronts (Appendix A-3). These forms also accompany any profiles that are completed for inadvertent discoveries made during construction activities. These forms document the depth range of each observed soil layer, moist and dry soil color based on the Munsell color charts, texture, structure, consistence, roots and the boundary. Nomenclature used for these variables follows the USDA National Soil Survey Handbook. Specific directions for completing this form are found in the Soil Description Guide, which is formatted to print as a small booklet, to be inserted in a Munsell color chart (Appendix A-4).

When controlled excavation is conducted, excavation records are used (Appendix A-5). Each form contains a scaled grid for plotting soil zones and features at the base of each arbitrary level or natural layer encountered. The form documents all observations of the soil, portable materials, and changes observed; and it records photos, samples, screening, collections, mapped material and other information. Soil descriptions used on this form also follow the Soil Description Guide. Samples and any portable material collections are accessioned in the field using the accession record, which is site-specific, but can continue through time (Appendix A-6). Repeated visits are often made to the same site over a period of several years for emergency data recovery. The accession record helps to keep a running record of what has been collected and level of analysis completed to date. All stratigraphy, excavation and accession records are maintained in the respective site files. Copies of accession records are also stored with the collections to ensure their proper identification. Curation is discussed in the following section.

A significant portion of the emergency data recovery work conducted by SHPD archaeologists involves the documentation and recovery of naturally exposed and endangered human skeletal remains in shoreline settings. To ensure complete and appropriate documentation of these finds, a burial description record is used in the field, in addition to the relevant excavation or stratigraphy records (Appendix A-7). HAR §13-300-32 concerning human burials prohibits the photography and physical examination of human skeletal remains, unless necessary for the determination of ethnicity. It is therefore important to maintain a thorough record of the disposition of human remains before they are removed from *in situ* contexts. The burial record requires information on the placement, flexure of



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limbs, orientation, and direction facing. Associated features, such as an identified pit feature, artifacts, and organic materials are documented, as well as the recovery record of what was screened, observed and collected for reburial with the remains. A scaled plan view map and profile view map of the burial feature is also completed when conditions allow.

SHPD staff archaeologists are not authorized to recover human skeletal remains unless the situation has been reviewed by the SHPD burial specialist for the appropriate island, or by the History and Culture Branch chief. In some cases, consultation is needed with recognized lineal and cultural descendants before a decision is made to recover human remains. Regardless of the context of the inadvertent discovery, all archaeological work at burial sites must be reviewed and approved by the History and Culture Branch.

3.2 Material Collection, Laboratory Analysis and Curation

The SHPD does not require the collection of surface artifacts from archaeological sites during surveys, and recommends that they remain on site unless they are in danger of being disturbed, destroyed, or stolen. Unique or diagnostic surface artifacts should be photographed on site with a suitable scale, especially when their presence is an important to the interpretation of site age or function. If such artifacts are moved to safer locations on the site after documentation, the original and new locational information should be documented.

Portable remains removed from archaeological sites are considered the property of the land owner; however, permanent curation must be in conformance with HAR and federal curation standards, regardless of ownership. Any and all portable remains removed from an archaeological site must undergo descriptive analysis and tabulation, and the information must be presented in the report of findings. The reporting details are discussed in Section 6. The types of data recorded during the descriptive analysis may vary, depending on the research questions addressed and the type of materials collected. Regardless of the nature of laboratory analysis, a record of collected items must be completed in the field at the time of collection, and the provenience and context information must remain with the collected items. Minimal information to be recorded for each sample or item should be prepared in advance on collection forms to ensure consistency in recorded data.

Laboratory analysis for reconnaissance surveys is normally limited, due to very small or no surface collections. Inventory surveys conducted for Chapter 6E compliance normally include subsurface testing, which may or may not result in collections of artifacts, midden materials and samples for specialized analysis such as dating or pollen analysis. The results of all laboratory analysis are required to be presented in Chapter 6E inventory survey reports. It is expected that recovered artifacts are properly cleaned and that photographs of representative items as well as unique and diagnostic items are presented (with a scale) in the report.



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Recovered ecofacts or midden materials should be separated by general type, such as marine shell, mammal bone, bird bone, fish bone, nut shell, wood/plant charcoal, and so forth. When marine shells or faunal bones are relatively complete, it is recommended that genus or species level of analysis occur for survey collections; it is required for data recovery level collections. Frequencies for each analytic category should be obtained and tabulated for each collection provenience, including each level of a test unit excavation. Frequencies are presented as either weight (in grams), a count of every piece (NISP), a count of minimum number of individuals represented (MNI), or combinations of the above. Complete analysis includes all three of these frequency values.

When specialized analysis is conducted of a selected group of collected materials, it is expected that the complete specialist's report will be attached to the survey or data recovery report, with the findings presented as appropriate in the body of the report. This applies to specialized analysis of faunal remains, pollen or phytolith analysis, and age determination analysis.

Curation of archaeological specimens and records is required when the information has been determined important to history and prehistory. The materials are curated for future use in research, interpretation, preservation, education and resource management activities. The Secretary of the Interior's Standards for Archaeological Documentation define four requirements for satisfactory curation:

1. Curation facilities have adequate space, facilities and professional personnel;
2. Archaeological specimens are maintained so that their information values are not lost through deterioration, and records are maintained to a professional archival standard;
3. Curated collections are accessible to qualified researchers within a reasonable time of having been requested; and
4. Collections are available for interpretive purposes, subject to reasonable security precautions.

SHPD does not have a specific administrative rule to regulate curation activities in the State; however as a recipient of federal funding via the HPF, the division is required to implement the Secretary of the Interior's Standards noted above as well as 36 CFR 79 – Curation of Federally-Owned and Administered Archaeological Collections. In order to be determined capable of long-term curation, a facility should maintain complete and accurate records; possess equipment and space to properly store, study and conserve the collection; maintain physically secure conditions for safety, intrusion detection and emergency response; have qualified museum professionals on staff; archive associated field records, site forms and final reports; conduct periodic inspections and inventories; and provide access for scientific, educational or religious uses (36 CFR §79.9(1) through (9)).

HAR regarding archaeological inventory surveys (§13-276) and data collection (§13-278) state that collections of materials from public lands (other than human remains) "...shall be placed in an acceptable archive to be designated by the SHPD." The curation of collections from private lands "...shall be determined in consultation with the SHPD." [§13-276-6(a); §13-278-5(a)]. As the regulator of archaeological activities throughout the State, SHPD is responsible for ensuring that archaeological collections are properly curated [Chapter 6E-3(13)]. All staff should be familiar with federal regulations regarding curation and ensure that survey reports fully disclose the location of collections.



4. Evaluation

Inventory survey reports prepared for Federal and Chapter 6E projects are required to include significance evaluations of all identified historic properties, presented in the context of the appropriate theme, geographic area and chronological period. The evaluations are presented as recommendations on the site forms and in the report, pending formal concurrence with the SHPD. Concurrence is formalized in writing, with specific statements indicating the recommended and accepted significance evaluation for each historic property, and acceptance of the site forms and report as final. In the context of federal projects, significance evaluation is sometimes presented as a recommendation, to be followed with the federal agency's formal determination of eligibility (DOE) for each identified historic property. In some cases, the SHPD will issue concurrence with the recommended significance assessments as presented in survey reports, if so requested by the federal agency; and will provide formal concurrence with the DOE. The critical elements of significance evaluations are the context of the evaluation and the criteria by which significance is assessed. Each of these elements are discussed below.

4.1 Historic Contexts

Significance is a quality that must be framed within a context that provides a basis for understanding the meaning and relative importance of a given historic property. A context normally consists of three distinct attributes: a theme, a specified geographic area, and a specified period in time. A historic context is defined by the National Park Service as a broad pattern of historical development in a community or its region that may be represented by historic resources (Derry et al. 1988).

Some of the more common themes in Precontact Hawaiian archaeology include the Polynesian settlement of Hawai'i, the development of the Hawaiian political structure and religion, Hawaiian agriculture, Hawaiian technology, and subsistence strategies. Each of these broad topics can be further divided into more focused themes, as indicated in Appendix B. The geographic extent of the broader themes can be statewide, or within more defined geographic regions, islands or moku. For example, the theme of Hawaiian agriculture can be subdivided into leeward or windward field systems, wet or dry systems, and variations based on geologic age or soil characteristics of the various islands. There has been extensive research in this theme and it is important that the context be adequately developed when agricultural fields or sites are being evaluated for significance. It is also important that the age of the agricultural sites being assessed has been established. For example, complex hillside terracing might be highly significant in a Precontact context, but not particularly significant in the context of 20th century coffee farming where terracing was accomplished with machinery.

After a theme and its spatial and temporal parameters have been established, it is important to identify the types of historic properties expected to occur within a given research or project area that are related to the context. For example, property types associated with agriculture in wet environments would include *lo'i* or pondfields, *'auwai*, terrace systems and boundary walls, trails, field shelters, land clearing



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features, and so forth. The expected geographic range of these types of properties, and the expected condition and preservation of these properties must also be considered in the evaluation process. For example, if an intact upper valley *lo'i kalo* complex is identified, its evaluation would need to consider the likelihood or known presence of other similar complexes in similar settings.

4.2 National Register Criteria

The National Register of Historic Places is used by all Federal agencies and most states to establish the integrity and significance of identified archaeological resources. Federal projects that are subject to the NHPA Section 106 process are required to evaluate findings pursuant to National Register criteria. These criteria have been adopted for use in Hawai'i, under the HAR §13-198, §13-275 and §13-284. The criteria focus on the historical, architectural, archaeological, engineering or cultural values of the identified resources. In depth discussions and guidelines for the application of National Register criteria are found in a number of NPS publications, such as National Register Bulletins 15, 16A, 16B, 22, 32, 36 and the Secretary of the Interior's Standards for Evaluation (see References for weblinks to these publications).

To be considered significant, a site, district, building, structure or object must possess attributes of integrity. The seven National Register elements of integrity are defined for archaeological sites below:

- 1) Location - the place where the historic property was constructed or the place where the historic event took place.
- 2) Design – the combination of elements that create the form, plan, space, structure and style of the property.
- 3) Setting – the physical environment of the historic property; includes topographic features, open space, viewshed, landscape, vegetation and constructed features.
- 4) Materials – the physical elements that were combined or deposited during a particular period of time and in a particular pattern or configuration to form a historic property.
- 5) Workmanship – the physical evidence of the labor and skill of a particular culture or people during any given period in history.
- 6) Feeling – a property's expression of the aesthetic or historic sense of a particular period of time or place.
- 7) Association – the direct link between an important historic event or person and a historic property; or the direct link between data and important research questions. (Little *et al.* 2000)

Information regarding the physical integrity of the historic property (location, design, setting, materials) is obtained through survey of the resources, to document physical condition, observable characteristics and extent, and to obtain to an accurate location. This information is used together with the background research and historic context to determine the more abstract elements of integrity, which is holistic quality that considers workmanship, feeling, and association as expressed by or through the historic property.



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Once the integrity is characterized and found to have value, the property is assessed to determine if it meets one or more of the following criteria:

- A. Associated with events that have made a significant contribution to the broad patterns of our history;
- B. Associated with the lives of persons significant in our past;
- C. Embodies the distinctive characteristics of a type, period, or method of construction, represent the work of a master, or possess high artistic value; or represent a significant and distinguishable entity whose components may lack individual distinction; or
- D. Has yielded, or may be likely to yield, information important in prehistory or history.

(National Register Bulletin 15 Part II)

It is important to consider the applicability of criteria other than D when evaluating archaeological resources (Little *et al.* 2000). The tendency is to assign an information value to the site and assume that other criteria are not demonstrable given the condition of the resource and lack of associated historic records. Many archaeological sites in Hawaii retain the seven attributes of integrity noted above, and can be associated with an event, events, or historical trend. The use of **Criterion A** is appropriate in these cases and requires the following information: 1) identify the event(s) with which the property is associated; 2) document the importance of the event(s) within the broad pattern of history; 3) demonstrate the strength of association between the property and the event or pattern or events; and 4) identify the attributes of integrity that conveys historical significance (i.e., well-preserved features, intra-site patterning, stratigraphic sequences that reflect patterns in stylistic change).

The steps involved in determining whether an archaeological site or district meets **Criterion B** are outlined in Boland 1989 and Little *et al.* 2000. In these cases, the site must be associated with an identified person or persons whose activities as an individual are demonstrably important within a local, state or national historic context. The site should be associated with the activities or events for which the person is recognized in oral or written histories as important, and should date to the period of the person's significant accomplishments. The site should also possess sufficient integrity to retain essential physical features that were present during its association with the important person's life; this usually implies excellent preservation of features and artifacts.

Criterion C distinguishes properties that are significant as representatives of human expressions of culture, technology, art or engineering. Archaeological features that exhibit characteristics distinctive of a type, period or method of construction are eligible under this criterion, as well as features that display a unique or extraordinary craftsmanship or artistic value in construction or design. The development of the historic context for this criterion should include a consideration of features common to the particular group or type of resources, the degree of known individual variation and the evolution of the feature class or type. Comparison with thematically-related properties is generally required when



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considering whether a particular site rises above the level of workmanship of similar properties. As with the above criteria, archaeological resources must meet the integrity requirement by being well-preserved and clearly illustrative of the design or construction style being represented. Properties that are important representatives of the aesthetic values of a cultural groups, such as petroglyphs, are generally eligible under Criterion C.

Most of the historic properties determined significant under **Criterion D** are archaeological sites and districts. It would appear that in many cases, archaeological sites by their nature are automatically put in the Criterion D category with no further consideration or justification. In reality, much of the footwork to establish significance under this criterion should be conducted as part of the background research and through the identification of the data sets or categories of information that are of value to the identified historic context or research framework. The specific research questions are stated in the evaluation process, in order to tie the framework to individual sites or features within sites. In this manner, the important information contained in the site is identified. It is critical that the full research potential of archaeological resources is considered; a too narrowly defined research design or historic context will fail to identify potentially important information. For example, small single component extraction sites may seem insignificant as stand-alone sites, but take on far more meaning when they are examined as part of a larger settlement and land use system. The statement of eligibility for Criterion D needs to make the connection between information that is important to understanding specific research questions or hypotheses as well as general cultural phenomena that transcend time and space.

4.3 Hawai'i Administrative Rule Criteria

Inventory surveys conducted pursuant to Chapter 6E must use significance criteria established by the state as specified in HAR §13-275 for public projects and §13-284 for private projects. The criteria and integrity considerations listed in these two rules are identical and are based directly on the National Register Criteria and integrity requirements. The HAR Criteria also includes a fifth significance category, identified as Criterion "e". The full text of the applicable HAR criteria follows:

Evaluation of significance. (a) Once a historic property is identified, then an assessment of significance shall occur. The agency shall make this assessment or delegate this assessment, in writing, to the SHPD. This information shall be submitted in the survey report, if historic properties were found through the survey.

(b) To be significant, a historic property shall possess integrity of location, design, setting, materials, workmanship, feeling, and association; and shall meet one or more of the following criterion:

- (1) Criterion "a". Be associated with events that have made an important contribution to the broad patterns of our history;
- (2) Criterion "b". Be associated with the lives of persons important in our past;
- (3) Criterion "c". Embody the distinctive characteristics of a type, period, or method of construction, represent the work of a master, or possess high artistic value;



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- (4) Criterion “d”. Have yielded, or is likely to yield, information important for research on prehistory or history; or
- (5) Criterion “e”. Have an important value to the native Hawaiian people or to another ethnic group of the state due to associations with cultural practices once carried out, or still carried out, at the property or due to associations with traditional beliefs, events or oral accounts – these associations being important to the group’s history and cultural identity (HAR 13-275-6 and HAR 13-284-6).

If historic properties determined as significant under Criterion “e” are identified in a project area and if they are of significance to Native Hawaiians, OHA must be consulted about project effects and mitigation.

A significant historic property as defined by HAR is equivalent to a property that is eligible for listing in the National Register, as defined by 36CFR 800. When projects are subject to both Chapter 6E and Section 106 review, the SHPD concurs with determinations of significance and determinations of eligibility. The terminology differs, however the outcome is the same, except when Criterion “e” is applicable. There is no federal eligibility criterion that is exactly equivalent to the HAR significance Criterion “e”, although many of these sites are considered traditional cultural properties (TCP) and eligible for inclusion in the National Register in accordance with NPS guidance (*National Register Bulletin* 38). Criterion “e” gets dropped by federal agencies when they are assessing project impacts pursuant to the 36 CFR Part 800. Archaeologists and project reviewers need to be aware of this disjuncture and ensure that the cultural value of a historic property is clearly reflected for federal projects. In nearly all cases, if a property is significant under HAR Criterion “e”, it will also be eligible under the National Register Criterion A, because it has cultural significance that relates directly to the history of a people, and their cultural ties to a specific place or activity. Therefore, when Criterion “e” is used from the Chapter 6E perspective, it is advisable to include National Register Criterion A from the Section 106 perspective, especially if there is a potential that federal funding may be sought for a project after the Chapter 6E review process has ended.



5. Integration into the Statewide Inventory

The SHPD maintains an inventory of all historic properties that have been determined eligible for listing in the State and National Registers of Historic Places and/or determined significant pursuant to HAR. The inventory includes properties that have been listed on the State and National Registers, as well as properties determined significant and subsequently destroyed after mitigation was agreed upon and implemented. The inventory is tracked via site numbers that are assigned by SHPD upon request, when sufficient information is submitted to determine significance or eligibility. To date, approximately 52,475 SIHP numbers have been assigned to historic properties in Hawai'i. Approximately 14,577 of these assigned numbers are represented by an entry in the SIHP database (28%). The remaining records are considered legacy data that are in need of updating and data entry.

The bulk of new entries in the SIHP are requests submitted by private consulting firms in connection with Chapter 6E or Section 106 projects. Additional new entries are made by SHPD staff in connection with field inspections, emergency or inadvertent discoveries, and context studies. National Park Service archaeologists also request numbers in connection with Section 110 studies; and researchers request numbers when new resources are discovered. The process for obtaining a site number is the same for all parties, regardless of the situation. Pursuant to HAR §13-276 -5(d), all archaeological reports submitted under Chapter 6E review are required to include SIHP numbers for identified sites. The site numbers must therefore be requested prior to the submittal of a draft survey report. Although not specifically required under Federal law, the SHPD urges all federal agencies to obtain SIHP numbers prior to submittal of reports associated with Section 106 undertakings.

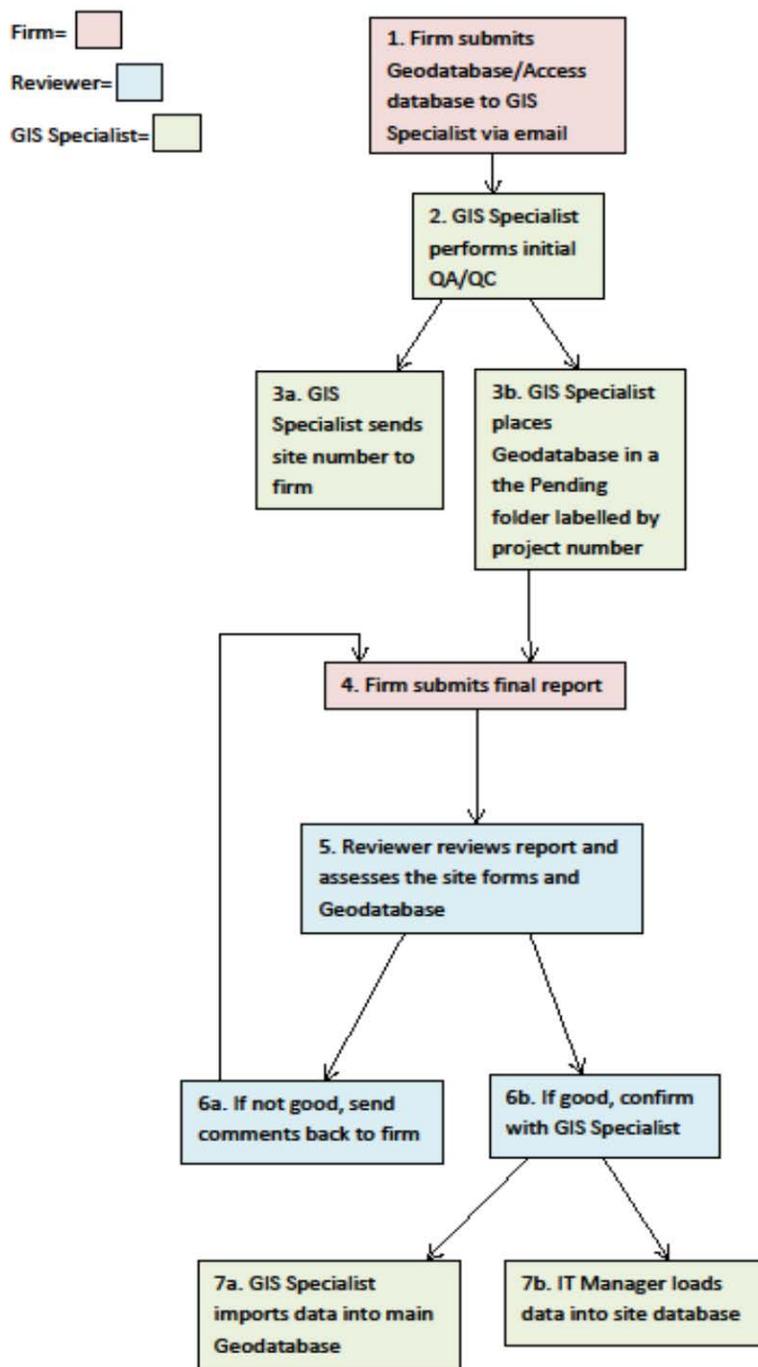
5.1 Obtaining State Inventory of Historic Places Site Numbers

The SHPD GIS specialist is responsible for assigning site numbers when requests are submitted and verified as complete. The submittal is considered complete when the following information is present:

1. Electronic site form (Access) and feature form completed for each identified feature (See Appendix C for site form instructions).
2. A geodatabase containing spatial data and descriptive metadata for each identified feature and for the survey area, following the format and specifications of the SHPD GIS program (See Appendix D for geodatabase instructions).

The processing of the site number request and entry of the information into the SIHP database follows the work flow as depicted on the following page. The information is transmitted from the source to the SHPD GIS specialist via email, and the numbers are transmitted back to the source via email. Internal movement of the site records and spatial data is via the protected State intranet system. In the future, this procedure will be conducted via a web-based information exchange. As noted in the workflow chart, the data are held in a pending folder until the report has been reviewed and information in the report is found to be consistent with the information submitted on the site forms.

Figure 1. SHPD Workflow for SIHP Site Number Requests





5.2 Report Submittal and Database Entry

Projects subject to Chapter 6E-8, 6E-42 and Section 106 require the submittal of an inventory survey report to the SHPD when historic properties are identified within the project APE. Discussion of the report content is found in the following section and Appendix E. This discussion focuses on the report submittal process and responsibilities of SHPD staff in connection with the review and processing of survey reports.

The SHPD is authorized to charge fees in order to partially defray the costs of administering Chapter 6E-3, 6E-8 and 6E-42 [§6E-3(15)]. Fees are established in HAR §13-275 and §13-284 for various types of archaeological reports and plans; these are payable at the time the document is submitted to the SHPD. If a Chapter 6E compliance report is submitted to SHPD without the appropriate payment, commencement of the review period is postponed until payment is received. All submittal fees are processed at the main SHPD office in Kapolei; neighbor island offices do not receive or process payments. The submitted report must also include an attached submittal form which provides basic information about the document. This form is available from the SHPD web site (<http://.dlnr.hawaii.gov/shpd/forms>) and an example is found in Appendix F. The submittal form is designed to document payment receipt and to provide sufficient information for an initial entry into the SHPD Reports database. Information requested includes name(s) and contact information of submitting agency or consultant, bibliographic information (title, author, date), TMK, ahupua'a, district, island, type of plan/report, survey area acreage, number of newly identified sites, newly assigned site numbers, and amount submitted as noted in the schedule (Appendix F).

Reports submitted in connection with Federal Section 106 projects are not subject to fee payment, unless the project is also subject to Chapter 6E jurisdiction. Report submittals for Federal projects are expected to include a cover letter with the following basic information: name, location and project identifying numbers, lead federal agency, contact person(s), description of the undertaking, applicable regulations that apply, and relevant factors that would assist in project review. A more detailed discussion of the cover letter for federal, CLG and research project reports is found in Section 6.

After the incoming report is assigned an intake log number, a new record is created in the SHPD report database, regardless of whether it was submitted for review or for information purposes. An accession number is assigned to the report at this time and the report is transmitted to the staff person responsible for conducting the review, if needed. If the report is for information only, the accession number is attached to the upper left hand corner of the front cover and the report is placed in the SHPD library. If the report is to undergo review, it is transmitted to the appropriate staff archaeologist (Figure 2). Data entry is normally completed by assistants, administrative staff or trained volunteers, and the review is completed by a staff archaeologist who is qualified under SOI standards. Detailed instructions for completing the SHPD report database record (Access) is found in Appendix G.

If the reviewer determines that revisions are needed to bring the report into compliance with the applicable standards, a letter is sent to the submitter with requests for revisions and the report is placed in a holding area as a draft. If after one year, no revised report is submitted to SHPD, the draft report will be shelved in the library as an unaccepted draft. Due to the number of reports that are not revised upon receipt of SHPD comments, it becomes necessary to make the information available to researchers. In these cases, the SHPD review letter is affixed to the inside back cover of the report, so that persons using the document are aware of our concerns regarding specific statements or information as presented.

The report database is structured to serve as a library tracking system as well as a data table that is linked to site records in the GIS. Its searchable tables allows researchers and consultants to locate reports by author, subject matter, location, activities conducted and specific sites described or discussed. The database also allows staff to track the status of the report in compliance contexts; reference numbers for correspondence accepting the report as final are entered at the time the formal review is completed.

When revised reports are submitted to SHPD (red arrows in Figure 2), a new submittal sheet is attached, indicating that it is a resubmittal. No fee is charged for resubmittals and only certain information needs to be completed on the form. If the revised draft is acceptable, SHPD issues a final acceptance letter, the report database entry is updated with the correspondence log information, the library accession number is affixed to the report cover and it is shelved in the appropriate TMK file in the library. If the accepted draft report is for a neighbor island project, the reviewing office retains the accepted draft report and the submitter is requested to send a hard copy of the report, marked "Final" to the central Kapolei library. When available, the assigned accession number is also transmitted in the acceptance letter so that it can be permanently affixed to the cover of the final report by the submitter.

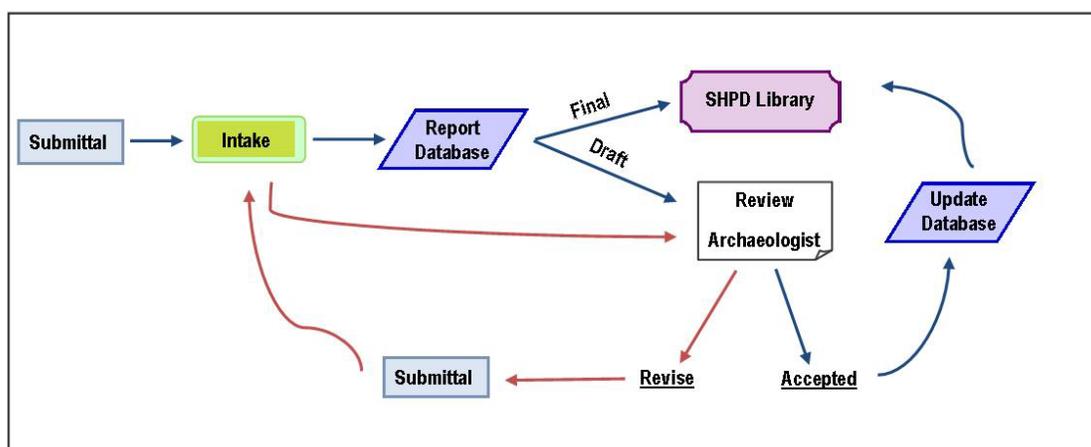


Figure 2. Report Review, Database and Library Entry Workflow



6. Report of Findings

This section discusses the format and content of survey reports deemed acceptable to SHPD and the procedures for reviewing submitted reports. As noted in Section 2.1, surveys are conducted for a variety of purposes; regardless of the purpose, reports of findings must meet minimum standards in order to be accepted by SHPD for research and inventory development purposes.

6.1 Archaeological Survey Reports

The three most common types of reports for archaeological surveys in Hawaii are: **a)** literature review and field inspection, **b)** reconnaissance survey, and **c)** inventory (intensive) survey. All three types are used for research purposes and by Federal agencies for Section 106 compliance. The third type is required for Chapter 6E compliance when historic properties are present. Reports for all three types of surveys must be in accordance with the Secretary of the Interior's Standards for Identification in order to be accepted by SHPD. Inventory survey reports must be in accordance with HAR §13-276-5 in order to be accepted by SHPD for Chapter 6E-8 and 6E-42 compliance, as articulated in HAR §13-275 and §13-284. The information summarized here is discussed in greater detail in Appendix E.

All reports and plans submitted to SHPD must be accompanied by a submittal form or cover letter that contains important information used to create a record in the report database (see Appendix F). There are two types of forms, one is used for reports that do not require payment of a submittal fee (Section 106 compliance, research) and one is used when payment is required (Chapter 6E compliance documents). The review period for these types of submittals does not commence until payment is received.

The content of survey reports is of course dictated by the nature of the work conducted and the findings. In general, submittals to SHPD must contain all elements required by the Secretary of the Interior's Standards for Identification which identifies five components:

1. Objectives;
2. Area researched or surveyed;
3. Research design or statement of objectives;
4. Methods used, including the intensity of coverage;
5. Results: how the results met the objectives; result analysis, implications and recommendations; where the compiled information is located. If the survey includes evaluation, the identified properties should be evaluated for inclusion in appropriate inventories.

Reports submitted in connection with Chapter 6E compliance actions must contain the above information in addition to specific information as stipulated in HAR §13-276. This information is discussed in detail in Appendix E and is not repeated here.



6.2 Report Review Procedures

Survey reports submitted to SHPD are reviewed for accuracy, literacy and conformance with the appropriate standards, guidelines and rules. When reports prepared for Chapter 6E projects are submitted, notice of the submittal is posted on the SHPD website and when payment is received, a 30-day public comment period commences. If comments are received from members of the public, SHPD must take them into consideration as part of the report review process. Chapter 6E and Section 106 reports include the results of identification, evaluation and determination of effects, and mitigation commitments. Reviewers must therefore examine the thoroughness of the identification process (were all potential historic properties identified?), the validity of the evaluation process (did consultation occur as indicated?), and the nature of possible effects (is the scope of the proposed project clear?) before agreeing with proposed mitigation commitments.

The review response from SHPD for compliance reports is due within 30 days (Section 106) or 45 days (Chapter 6E) of report submittal and it must include clear statements as to whether or not SHPD concurs with each of the four elements of identification, evaluation, effect determination and mitigation commitments. If information is incomplete or lacking in the identification process, SHPD can concur with the evaluations of identified sites that will not be subjected to additional fieldwork; or SHPD can defer concurrence with evaluations until the additional requested fieldwork is completed. In the latter case, additional fieldwork may provide new information to modify the significance assessment of a previously identified historic property. SHPD cannot concur with determinations of effect or mitigation measures until the significance of each historic property has been agreed upon. Once agreement is reached on significance, SHPD shall enter the evaluations for each historic property in the SIHP database, or ensure that the evaluations entered in the SIHP database are correct [§13-275-6(d)(3) and §13-284-6(d)(4)].

SHPD reviews of survey reports must be in writing and follow the structure indicated for review letters, as found in *Review and Compliance Procedures for Archaeology*, Section 2.2. The written response is sent to the party indicated on the submittal form, and can be copied to the agency responsible for issuing a permit or conducting the proposed project/undertaking. If revisions are requested, the draft report is stored in a holding area until the revised submittal is received and accepted; it is then placed in the library after the report database is updated. The workflow process is shown above (Figure 2).

Specific review procedures for Section 106, Chapter 6E, Section 110 and research reports are found in *Review and Compliance Procedures for Archaeology*, along with checklists that have been designed to ensure that all elements as required by the applicable standards and regulations are present in the report.



7. Public Access to Information

It is noted in the Secretary of the Interior's Standards for Identification is that information gathered during identification activities must be made available to those responsible for preservation planning, and sensitive information must be safeguarded from public distribution. It is necessary to protect information on the location of religious sites and properties whose integrity or cultural value might be damaged by widespread access. For these reasons, the entire SIHP archaeological site database is not readily accessible to the general public via the internet, and reports with site location information are maintained in SHPD offices where access is controlled by staff. The sequestering of information deemed sensitive from public access is mandated in HRS Chapter 6E-43.5(e), which states that "Department records relating to the location and description of historic sites, including burial sites, if deemed sensitive by the council or the Hawaii historic places review board, shall be confidential." This section of the law is further clarified in HAR §13-300-4:

Records relating to the location and description of historic sites including burial sites, and human skeletal remains and any burial goods, deemed sensitive by the council or review board, shall be exempt from the public disclosure requirements of section 92F-12, HRS. Location records include information regarding the island, district, ahupua'a, tax map key, address or site map where a burial is identified. Description records include information describing burial site features, human skeletal remains including genealogical information, or burial goods.

7.1 Electronic Data

Inventory information is organized and maintained in electronic format through the GIS, databases and DocuShare. Some of this information has been linked to the SHPD website, including SHPD procedures, administrative rules, federal standards, the Hawaii and National Registers of Historic Places, lists of permitted researchers, all incoming submittals statewide, and weekly reports of all "no historic properties affected" determinations. SHPD does not currently maintain public portals to the SIHP database or the GIS, and it does not have an electronic library that is accessible to the public. Researchers, Native Hawaiian organizations, landowners and community members who request access to information for a specified area can request SHPD staff to conduct searches at no charge. SHPD receives numerous phone calls from interested parties requesting information for specific land parcels, which is also provided at no charge.

Researchers are provided access to view and export GIS screen shots for areas being investigated upon request, and staff conduct SIHP database searches on request to provide information regarding known historic properties in survey areas. The DocuShare system contains both reports and correspondence organized by TMK. This source is currently accessible by staff who also run searches as requested. If an electronic copy of a report is available in DocuShare, staff are allowed to send a copy to the requestor, provided they are permitted to conduct archaeology in the state, or they are affiliated with an agency or organization that is working within the historic preservation review process. Summaries of the report database in spreadsheet format are distributed to researchers, agencies, community groups and



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interested parties on request. These files provide the dates, titles and authors of studies conducted for TMK parcels, organized by TMK zones and islands. The spreadsheets also provide information as to the location of the document, since not all library items are present on the neighbor islands. The spreadsheets do not provide information on the findings of the reports, SIHP sites recorded for each report, or other potentially sensitive data that is found in the reports.

7.2 SHPD Libraries

There are currently three locations statewide where researchers can access paper copies of survey reports, mitigation plans and mitigation reports, as well as other documents pertaining to research or preservation planning. The main library in Kapolei houses all reports statewide; the Hilo and Wailuku libraries house reports only for Maui and Hawaii islands respectively. All reports in these libraries should have duplicate copies in Kapolei. The libraries are monitored by SHPD staff to ensure that visitors are either permitted archaeologists, or affiliated with an agency, NHO or community group that has valid motives. Visitors are allowed to bring portable scanners to copy relevant report information; or reports may be checked out for a 48 hour period. For check-outs, the borrower must complete a check out form which provides the report number, TMK, name, phone number and date borrowed. When the report is returned, the form is completed by adding the return date.



8. References

Boland, Beth Grosvenor

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Derry, Anne, H. Ward Jandl, Caro D. Shull and Jan Thorman

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- 2000 Guidelines for Evaluating and Registering Archeological Properties. *National Register Bulletin* 36. National Register of Historic Places, History and Education, National Park Service, U.S. Department of the Interior, Washington, D.C.

National Register Bulletin 15, "How to Apply the National Register Criteria for Evaluation"

(http://www.nps.gov/nr/publications/bulletins/nrb15/nrb15_8.htm),

National Register Bulletin 22, "Guidelines for Evaluating and Nominating Properties that Have Achieved Significance in the Past Fifty Years" (<http://www.nps.gov/nr/publications/bulletins/pdfs/nrb22.pdf>).

The Secretary of the Interior's Standards and Guidelines for Identification

(http://www.nps.gov/history/local-law/arch_stnds_2.htm)

The Secretary of the Interior's Standards and Guidelines for Evaluation (http://www.nps.gov/history/local-law/arch_stnds_3.htm)

The Secretary of the Interior's Standards and Guidelines for Archaeological Documentation

(http://www.nps.gov/history/local-law/arch_stnds_7.htm)

APPENDIX A
SHPD Archaeology Field Forms



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

APPENDIX A Field Forms for SHPD Surveys and Field Inspections

1. Field Inspection Report	A-1
2. Site and Feature Record	A-2
3. Stratigraphy Record	A-5
4. Soil Description Guide	A-6
5. Excavation Record	A-13
6. Burial Description Record	A-14

APPENDIX A
SHPD Archaeology Field Forms



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DLNR – HISTORIC PRESERVATION DIVISION
Field Inspection Report – Archaeology Branch

ISLAND _____ **Date Initiated** _____
MOKU _____ **Staff** _____
TMK _____ _____
Address _____
Directions/Location _____

Caller _____ **Phone** _____ **Date of fieldwork** _____
Owner _____ **Phone** _____ **Return visit(s)** _____

Background _____

Area/Acreage _____ **Percentage Inspected** _____ **Visibility** _____
Description of field activities _____

Findings _____

Recommendations _____

Photos _____ **Attachments** _____
By _____ **Date** _____

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DLNR - SHPD – SITE DESCRIPTION RECORD

SIHP NO. 50- _____ - _____ - _____

Name/Location _____

Island _____ Ahupua`a _____ District _____

TMK:() _____ - _____ - _____ : _____ New site? _____

Owner/contact: _____

Address/phone/email: _____

Overall site dimensions: _____

Features Present (designation and formal type): _____

Relative Location of Features (distance & angle or UTM Coordinates): _____

Location of GPS reading within site: _____

ATTACH FEATURE FORMS FOR MULTIPLE FEATURES

Feature Dimensions: _____

Portable Materials: _____

Cultural Deposit: _____

APPENDIX A
SHPD Archaeology Field Forms



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**DLNR – SHPD
FEATURE DESCRIPTION RECORD**

Site _____
Feature _____

PROPERTY/PROJECT _____
TMK _____

Field. No. _____ Feature _____ Other numbers assigned _____

Previously recorded? (if so, by whom and when) _____

Formal Type/Description _____

Components (use letter designations) _____

Distance/angle to nearby features or UTM Coordinates _____

Location of GPS reading in relation to feature: _____

Construction materials and techniques (include size and type of stones, if used) _____

Dimensions (Walls: max, min and average heights and widths. Terraces, C-shapes and enclosures: interior and exterior dimensions, interior and exterior wall heights. If rubble present, provide original dimensions and area of rubble separately)

Portable remains observed and where _____

Condition, post-abandonment impacts _____

Natural Setting and Vegetation _____

Inferred function(s) _____

Potential for subsurface deposits _____

Photos: _____

Recorder(s) _____ Date _____

Samples/Artifacts collected _____

Plan Map ? _____ Surface Profile? _____ Tested? (if so, note who and when) _____

APPENDIX A
SHPD Archaeology Field Forms



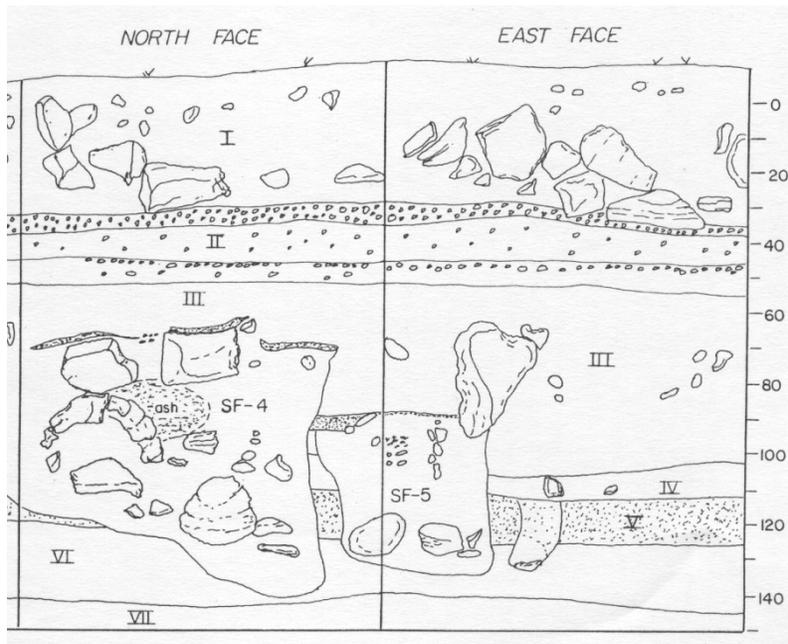
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SOIL DESCRIPTION GUIDE

For Use with Stratigraphy Form and Excavation Form

Nomenclature and Format follows

USDA National Soil Survey Handbook



APPENDIX A
SHPD Archaeology Field Forms



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SOIL DESCRIPTION GUIDE (Cont.)

LAYER: Use only one layer designation per line on stratigraphy form. Layers are designated using Roman numerals, **I, II, III, IV, V**, beginning from the top, or uppermost layer and increasing with depth.

If there is organic duff on the surface, this is designated as **duff** on the stratigraphy form, and depth range is indicated; describe components of the duff in notes.

DEPTH RANGE: Measured from the top and base of the Layer, using a location that reflects the average or most consistent depth.

Be sure to indicate whether the depths are **BS** (below surface) or **BD** (below datum). If a datum is used, you must provide the height of the datum above ground surface in notes. **BS** preferred.

MOIST COLOR: Use Munsell notations to nearest color chip (**10YR3/2**). Soil should be moist, but not saturated with water.

- If there are two or more colors in a randomly mixed pattern, indicate **mottled** and give notations, **5YR3/6, 7.5YR3/3**
- If one color is continuous, but there are small mottles, indicated the dominant color in the color column, with *; in the notes section, specify the color of the mottles and provide the following **information on the mottles:**
 - **Abundance:** **f** few, <2% of surface area
c common, 2-20% of surface area
m many, >20% of surface area
 - **Size:** **1** fine, <5 mm in diameter
2 medium, 5 to 15 mm in diameter
3 large, >15 mm in diameter
 - **Contrast:** **f** faint, hue and chroma same as matrix
d distinct, more than 1 value hue and chroma than the matrix
p prominent, 3 or more units in hue, chroma or value as compared to the matrix

Example: In notes, designate common, medium, distinct mottles as ***mottles: c1d 5YR3/2**

DRY COLOR: Use same notation system as shown for moist color, be sure that the soil is completely dry before taking colors.

APPENDIX A
SHPD Archaeology Field Forms



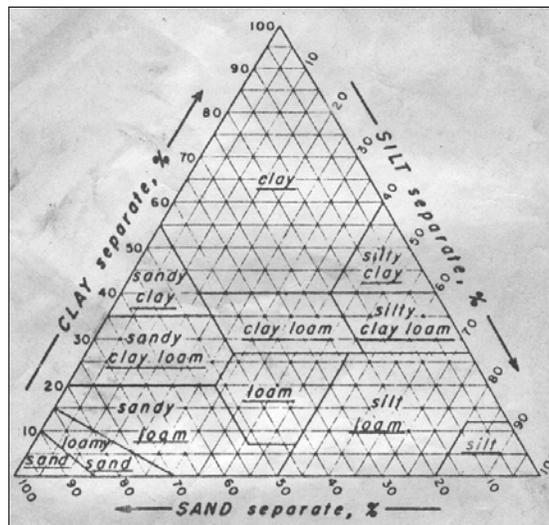
HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

SOIL DESCRIPTION GUIDE (Cont.)

TEXTURE: Refers to the proportions of clay, silt and sand for soil particles less than 2 mm in diameter. When stones are present, use **gravelly** or **cobbly** as a modifier. Stones between 2 mm and 7.5 cm are gravel; stones between 7.5 cm and 25 cm are cobbles. Soils are gravelly or cobbly when they contain about 17 to 50% gravel or cobbles by weight; over 50% is very gravelly or very cobbly.

For soil, the following textural abbreviations are used:

- | | |
|-------------------------------|---------------------------------|
| st stones and stony | sl sandy loam |
| k cobbles and cobbly | fsl fine sandy loam |
| g gravel and gravelly | vfs very fine sandy loam |
| vcos very coarse sand | l loam |
| cos coarse sand | si silt |
| s sand | sil silt loam |
| fs fine sand | scl sandy clay loam |
| vfs very fine sand | cl clay loam |
| lcos loamy coarse sand | siel silty clay loam |
| ls loamy sand | sc sandy clay |
| lfs loamy fine sand | sic silty clay |
| cosl coarse sandy loam | c clay |





SOIL DESCRIPTION GUIDE (Cont.)

STRUCTURE: Described by the grade, size and type of soil peds. Peds are natural aggregates in the soil.

Grade:

- 0** structureless; no observable aggregation or no orderly arrangement of natural lines of weakness.
- 1** weak; poorly formed indistinct peds, barely observable.
- 2** moderate; well-formed distinct peds, moderately durable and evident, but not distinct in undisturbed soil
- 3** strong; durable peds that are quite evident in undisplaced soil, adhere weakly to one another, withstand displacement and become separated when soil is disturbed.

- Size:**
- vf** very fine or very thin
 - f** fine or thin
 - m** medium
 - c** coarse or thick
 - vc** very coarse or thick

- Form or Type:**
- pl** platy
 - pr** prismatic
 - cpr** columnar
 - bk** blocky
 - abk** angular blocky
 - gr** granular
 - cr** crumb
 - sg** single grain
 - m** massive
 - sbk** subangular blocky

Examples:

fine sand (fs) is structureless, very fine, single grain = **0vfsg**
 Silty clay loam (sicl) might be weak, fine, crumb = **1fcr**
 or moderate, medium, subangular blocky = **2msbk**

<u>Crumb and Granular Structures</u>	<u>Blocky Structures</u>
Very fine = < 1 mm in diameter	< 5 mm in diameter
Fine = 1-2 mm in diameter	5-10 mm in diameter
Medium = 2-5 mm in diameter	10-20 mm in diameter
Coarse—5-10 mm in diameter	20-50 mm in diameter
Very Coarse = > 10 mm in diameter	> 50 mm in diameter



SOIL DESCRIPTION GUIDE (Cont.)

CONSISTENCE AND PLASTICITY: Four entries are made for each soil description: dry, moist and wet consistence, and wet plasticity.

Dry Consistence

- dlo** loose, noncoherent (i.e., beach sand)
- dso** soft, weakly coherent, easily crushed to powder
- dsh** slightly hard, easily broken with fingers
- dvh** very hard, broken with difficulty in hands
- deh** extremely hard, cannot be broken in hands

Moist Consistence

- mlo** loose, noncoherent
- mvfr** very friable, crushes under gentle pressure
- mfr** friable, crushes easily under moderate pressure
- mfi** firm, crushes under moderate pressure
- mvfi** very firm, crushes under strong pressure
- mefi** extremely firm, cannot be crushed with fingers

Wet Consistence: Stickiness is measured by pressing the wet soil between the thumb and forefinger.

- wso** nonsticky, practically no adherence when pressure released
- wss** slightly sticky after pressure applied; soil adheres to finger and thumb but comes off one rather cleanly, does not appreciably stretch
- ws** sticky, adheres and tends to stretch somewhat before pulling apart from either digit
- wvs** very sticky, soil adheres strongly to both digits and is markedly stretched when they separate

Plasticity: Measured by rolling the wet soil between the thumb and forefinger and observing whether or not a wire or thin rod can be formed.

- wpo** nonplastic, wire not formable
- wsp** slightly plastic, wire forms, but easily deformed
- wp** plastic, wire forms, moderate pressure required to deform soil mass
- wvp** very plastic, wire forms, much pressure required to deform soil mass

APPENDIX A
SHPD Archaeology Field Forms



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

SOIL DESCRIPTION GUIDE (Cont.)

Consistence is recorded as shown in examples:

Typical sand is loose when dry and moist, not sticky when wet, not plastic when wet:

dlo	wso
mlo	wpo

Some types of silty clay loam are slightly hard when dry, friable when moist, slightly sticky and slightly plastic when wet:

dsh	wss
mfr	wsp

ROOTS: Abundance and size values are recorded. If you know the species of plants represented, indicate in “notes” section.

Abundance is measured as number of roots per a 6 sq cm surface area unit in the soil profile wall.

- v1** very few, less than 1 root per unit
- 1** few, 1 to 3 roots per unit
- 2** common, 4 to 14 roots per unit
- 3** many, more than 14 roots per unit

Diameter Class

- mi** micro, less than .075 mm
- vf** very fine, .075 to 1 mm
- f** fine, 1 to 2 mm
- m** 2 to 5 mm
- co** coarse, > 5 mm

Example: In the “roots” column, record **1f** if roots are few and fine in size; if there are many fine roots and very few coarse roots, you would write **3f; v1co**



SOIL DESCRIPTION GUIDE (Cont.)

BOUNDARY refers to the horizon boundary at the base of the layer. Two levels of description are used, definition and appearance.

- Definition: **a** abrupt, boundary within a band < 1” wide
 c clear, boundary within 1 - 2.5”
 g gradual, boundary within 2.5 - 5”
 d diffuse, boundary wider than 5”

- Appearance: **s** smooth
 w wavy
 i irregular
 b broken

Example: a clear, wavy boundary would be recorded as **cw**

Example of a verbal soil description:

0 - 0.13 m—Gray (10YR5/1 moist) silt loam, light gray (10YR7/1, dry); volcanic ash, structureless; soft, loose, nonsticky, nonplastic; abrupt, broken boundary

0.13 - 0.54 m—Dark brown (10YR3/3, moist) gravelly silt loam, pale brown (10YR6/3, dry); weak, very fine, crumb, soft, very friable, nonsticky, nonplastic; many fine roots; about 25% water-rounded gravel; abrupt, smooth boundary.

0.54 - 0.74 m—Brown (10YR4/3, moist) sandy loam, very pale brown (10YR7/3, dry); massive, slightly hard, very friable, nonsticky, slightly plastic; few fine roots; gradual, wavy boundary

0.74 - 1.50+ - Brown (10YR4/3, moist), gravelly, cobbly loamy sand, very pale brown (10YR7/3, dry); single grain; loose, nonsticky, nonplastic, very few fine roots; about 50% water-worn gravel and cobble.

APPENDIX A
SHPD Archaeology Field Forms



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

**DLNR – HISTORIC PRESERVATION DIVISION
BURIAL DESCRIPTION RECORD**

1. Identification:

SHPD Site No. _____ Feature/Temp. No. _____ Inadvertent Discovery No. _____
UTMs: _____ Newly Identified or Previously Known? _____
TMK () _____ Moku/Ahupua'a _____
Date Identified/Reported _____ Caller _____ Phone _____
Investigation/Recovery Date(s) _____
Participants _____
Background of Discovery _____

2. Pre-Excavation Condition:

Description of exposed remains _____

Position of burial in relation to existing landforms, other features _____

Burial Depth: Below existing ground _____ Below estimated original surface _____
Disturbances _____

3. Burial Attributes:

Primary ___ Secondary ___ ND ___ Orientation (pelvis to cranium) _____ Facing _____
Age/age group _____ Criteria _____
Sex _____ Criteria _____
Elements present _____

General placement and disposition _____

Arm Placement: Right _____ Left _____
Leg Placement: Right _____ Left _____
Notes on Burial Attributes _____

APPENDIX A
SHPD Archaeology Field Forms



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

4. Burial Feature and Associations:

Burial Feature/Pit Definition _____

Inclusions/Soils in Pit Fill _____

Organic Staining/Soil Discoloration _____

Dimensions of Pit: At identified surface _____ At Burial Level _____

Total Depth Range of Pit and Burial _____

Positioned/Associated Artifacts or Portable Materials _____

Features or Surface Material in Vicinity of Burial _____

5. Recovery Record:

Associated soil screened _____ Volume/Screen size _____

Burial Feature/Pit soil screened _____ Volume/Screen size _____

Burial Level soil screened _____ Volume/Screen size _____

Midden samples collected _____ Disposition _____

Dating Samples _____ Disposition _____

Other screen or surface collections _____

6. Attachments (check if completed):

Scaled Plan view map Scaled profile Stratigraphy form Excavation form(s) Bag list Other

7. Curation/Reburial Notes:

8. Misc. Notes:

Recorder _____ Date(s) _____



HISTORIC CONTEXTS FOR ARCHAEOLOGICAL SURVEY

I. Traditional Hawaiian Culture

A. Polynesian Settlement of Hawaii

1. Timeframe of first settlement and earliest sites
2. Comparative studies of oral histories, genealogies and archaeological data
3. Social structure and subsistence during the period of settlement
4. Hawaiian chronologies for archaeology – critical analysis and testing

B. Development of Hawaiian Political Structure and Religion

1. Geographic boundaries of political units and changes through time
2. The effect and correlates of *kapu* practices on social organization and diet
3. Spatial organization of domestic, hinterland and ceremonial spaces
4. Material correlates of warfare, religion and politics in a complex society
5. The role of politics in resource procurement, distribution and use

C. Hawaiian Agriculture

1. Spatial and temporal variation in leeward agricultural field systems
2. Spatial and temporal variation in windward wet agricultural systems
3. Functional and temporal interpretation of individual agricultural features
4. Agricultural landscapes as reflecting population increase and political complexity

D. Hawaiian Technology and Subsistence Strategies

1. Fishing technology as relating to temporal, regional and functional variation
2. Hawaiian adzes - resource acquisition, manufacturing and trade
3. Extraction technologies for water, scoria, volcanic glass, and building materials
4. Hunting strategies for food or other commodities in selected environments

E. Method and Theory in Hawaiian Archaeology

1. Artifacts - stylistic nomenclature and categories for defining temporal change
2. Quantitative models of duration and use of sites using portable remains
3. Interpreting site chronology through use of stratigraphic data and sampling
4. Environmental determinism, human agency and other perspectives that influence outcomes in archaeological interpretation
5. The role of cultural resource management practices in shaping interpretive models



II. Western Contact

A. The Geography of Contact

1. The rise of shipping/trade centers and political power shifts
2. Religion realignment from traditional to western deity, consequent abandonment or reuse of ceremonial centers
3. Changes/continuity in mortuary ritual and associated sites

B. The Material Culture of Contact

1. Artifact-based models of pre- and post-contact sites and land use
2. Identifying architectural variation associated with contact

III. Nineteenth Century

A. Changing Landscapes and Population Decline

1. Post-contact land use patterns, effects of wage labor, disease, and private land ownership
2. Introduced animals and their impacts on traditional settlement patterns
3. Reading western artifacts – contexts and implications of presence/absence and stylistic elements in nineteenth century Hawaiian sites
4. *Kuleana* archaeology – hypotheses relating nineteenth century *kuleana* records to pre-contact settlement patterns and land use

B. Commerce and Government in the Nineteenth Century

1. Sandalwood and other natural resource harvesting for profit
2. Transformation of traditional trails to roads; changes in overland routes
3. Maritime shipping routes, landings; whaling technology and material culture
4. Sugar plantations and mills; economic role and technological development
5. Ranching, large and small scale; impacts on traditional land use and local economies; paniolo culture
6. Shipping/trade centers and the role of capitalist interests in political upheaval

IV. Twentieth Century

1. The interface(s) of immigrant cultures and Hawaiian culture
2. World War II era military installations – construction & abandonment
3. Early twentieth century agricultural landscapes – flumes, ditches, railroads
4. Sugar camps – their distribution, internal design and functional role in rural Hawaii
5. Coffee farms and other specialized agricultural land use

APPENDIX C
SIHP Database Form Instructions



HAWAII' I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

STATE INVENTORY OF HISTORIC PLACES DATABASE INSTRUCTIONS

SITE RECORD

1. **Island code:** entered as a two-digit number, no decimal places. Number must be selected from list box provided on form. Select one.

Choices are:

- 10 = Hawai'i Island
- 20 = Kaho'olawe
- 30 = Kaua'i
- 40 = Lana'i
- 50 = Maui
- 60 = Moloka'i
- 70 = Ni'ihau
- 80 = O'ahu
- 91 = Necker
- 92 = Nihoa
- 93 = Midway

2. **Quadrangle number:** entered as a two-digit number, no decimal places. Number must be selected from the USGS 7.5 Minute Quadrangle index for the specified island. Select one.

Choices are:

- Hawai'i Island - 01 thru 76 (attachment 2.a)
- Kaho'olawe - 01 or 02 (attachment 2.b)
- Kaua'i - 01 thru 11 (attachment 2.c)
- Lana'i - 01 thru 04 (attachment 2.d)
- Maui - 01 thru 17 (attachment 2.e)
- Moloka'i - 01 thru 05 (attachment 2.f)
- Ni'ihau - 01 thru 04 (attachment 2.g)
- O'ahu - 01 thru 15 (attachment 2.h)

3. **Site number:** entered as a five-digit number, no decimal places. Number must be selected from the current list of assigned numbers for the specified island; vacant numbers must be used in sequence. These numbers are unique within each island, but not unique across the state.
4. **Prior number:** entered as whole number and letter combinations. Most frequent examples are Bishop Museum site numbers, which use letter designations for island, number codes for ahupua'a and unique site numbers. Temporary field numbers assigned by consulting firms can also be entered here, if applicable. If a site has a prior SIHP number, a new SIHP number should not be assigned, unless the former site constitutes a portion of what is identified as a larger complex that was not previously recorded. In such case, the prior number is entered on the applicable feature record as well as here.

APPENDIX C
SIHP Database Form Instructions



HAWAII DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

5. **Name:** This information can be derived from historic or modern maps or other sources; and from informants who are knowledgeable about the area. More than one name may be entered. Do not fabricate a name.
6. **Feature Count:** Enter whole numbers, no decimal places. If the number of features is not certain, enter "ND". Complete attached sub-table for individual features.
7. **Total Area:** Enter value in square meters, one decimal place.
8. **Age:** Use general categories to include all features within the site area. Enter specific date ranges derived from radiocarbon dates (when available) on the applicable feature records. Select one.
Checkbox - choices are:
 - Indeterminate
 - Precontact
 - Early Precontact
 - Late Precontact
 - Late Precontact/early historic
 - 19th century
 - 19th/20th century
 - Early/middle 20th century
 - Continuous (Precontact through 20th century)
9. **Condition:** Use choice that best summarizes site as a whole; see features form(s) for individual features condition. Select one.
Checkbox – choices are:
 - Excellent (no alterations, no erosion, no disturbance)
 - Good (no alterations, minor erosion or natural wear, no disturbance)
 - Fair (minor alterations, minor erosion or wear, minor disturbance)
 - Poor (altered, disturbed or affected by severe natural processes)
10. **Description:** Free form entry, general description of overall site, construction materials, style, general formal/functional categories represented. Do not replicate information found in feature forms (Text box).
11. **Integrity:** Indicate here if the site possesses integrity of location, design, setting, materials, workmanship, feeling and association;
Yes/no checkbox.
12. **Significance Criteria:** Criteria A-D applicable to NRHP (36CFR60.4) and HRHP; Criterion "e" applicable to HRHP [Hawaii Administrative Rule §13-275-6 (b) and §13-284-6 (b)].

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SIHP Database Form Instructions



HAWAII DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

Checkbox – check all that apply:

- (A) associated with events that have made an important contribution to the broad patterns of our history; or
- (B) associated with the lives of persons important in our past; or
- (C) embodies the distinctive characteristics of a type, period, or method of construction; represents the work of a master, or possess high artistic values; or represent a significant and distinguishable entity whose components may lack individual distinction; or
- (D) has yielded or may be likely to yield information important for research on prehistoric or history;
- (E) has an important value to the native Hawaiian people or to another ethnic group of the state due to association with cultural practices once carried out, or still carried out at the property; or due to associations with traditional beliefs, events or oral accounts – these associations being important to the group's history and cultural identity (similar traditional cultural significance for NRHP).

13. **Criteria Considerations:** Ordinarily cemeteries, birthplaces, or graves of historical figures, properties owned by religious institutions or used for religious purposes, reconstructed historic structures and properties that have achieved significance within the past 50 years shall not be considered eligible for the NRHP. However, such properties will qualify if they fall within the following categories (36CRF60.4):

Checkbox – check first box only, or one or more of A through G:

- Not applicable
- (A) religious property deriving primary significance from architectural or artistic distinction or historical importance; or
- (B) building or structure removed from its original location but is significant primarily for architectural value, or which is the surviving structure most importantly associated with a historic person or event; or
- (C) birthplace or grave of a historical figure of outstanding importance if there is no appropriate site or building directly associated with his/her productive life; or
- (D) cemetery which derives its primary significance from graves of persons of transcendent importance, from age, from distinctive design features, or from associated with historic events; or
- (E) reconstructed building accurately executed in a suitable environment and presented in a dignified manner as part of a restoration master plan, and when no other building or structure with the same association has survived; or
- (F) property primarily commemorative in intent if design, age, tradition, or symbolic value has invested it with its own exceptional significance; or
- (G) property achieving significance within the past 50 years if it is of exceptional importance.

APPENDIX C
SIHP Database Form Instructions



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

14. **Historic Context(s):** The research realm/organizational format that groups information about related historic properties, based on a cultural theme, geographic limits and chronological period. See attachment 14a for current list of contexts.

Checkbox – choices are:

- Polynesian Settlement of Hawaii (four topics)
- Development of Hawaiian Political Structure and Religion (five topics)
- Hawaiian Agriculture (six topics)
- Hawaiian Technology and Subsistence Strategies (five topics)
- Material Culture Models for Hawaiian Research (three topics)
- The Archaeology and Geography of Western Contact (four topics)
- Changing Landscapes in the Nineteenth Century (three topics)
- Commerce and Government in the Nineteenth Century (five topics)
- Interfaces of Immigrant Cultures and Hawaiian Culture – 20th Century
- World War II Era Military Installations – construction, use and abandonment
- Early 20th Century Agricultural Landscapes (flumes, ditches, railroads, mills)
- Sugar Camps – distribution, internal design and functional role in rural Hawaii

15. **Preservation Status:** Recommended actions or conditions at time of recordation. Select one.

Checkbox – choices are:

- See Feature Records (use when there is more than one status within the site)
- Preservation recommended in AIS, BTP or Section 106 document
- Preservation with data recovery recommended in AIS or Section 106 document
- Data recovery recommended in AIS or Section 106 document
- No further work or action recommended in AIS
- Preserved following burial registration process
- Inadvertent discovery (burial and non-burial sites)
- Listed by SHPD staff, preservation recommended

16. **Year:** year of final AIS report acceptance and SHPD concurrence with significance assessments and preservation status. If no report was produced, enter the year the site number was assigned and form completed. Four digit number.

17. **Library Reference:** SHPD library accession number assigned upon report submittal or acceptance, if applicable. This reference should contain primary documentation of all above information, including significance assessment and preservation status recommendations. Entered as a five digit number, preceded by the Island code (one or two letters). Must be obtained from the library database and reflect next available open number for the respective island.

Checkbox – choices are:

- Hawai'i Island, H-
- Kaho'olawe, KH-
- Kaua'i, K-
- Lana'i, L-

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SIHP Database Form Instructions



HAWAII DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

- Maui, M-
- Moloka'i, MO-
- Ni'ihau, N-
- Niihoa, NI-
- Necker, NK-
- O'ahu, O-

18. **Preservation Update:** Condition/status of the site at time of update; no specific time frame is required. Update should occur when condition or status changes due to revised mitigation plans or inadvertent/intentional destruction of site.

Checkbox – choices are:

- Preserved, pursuant to preservation plan
- Preserved, no formal plan on file
- Integrity lost or diminished since recordation
- Disturbed, partially intact (some features destroyed or impacted)
- Destroyed

19. **Year of Update:** Four digit number reflecting year the updated report/site visit occurred.

20. **Library Reference:** SHPD library accession number of report containing updated information. Entered as five digit number preceded by the Island code. Must be obtained from the library database and reflect next available open number for the respective island. Note: do not enter same library number used in item 16. Leave blank for new entry.

Checkbox – choices are same as item 16 above.

21. **Comments:** Free form discussion, additional information regarding update items 18-20. Text box.

22. **TMK:** Enter tax map key at time site is listed. Entered as single digit in parentheses (island code), followed by zone (single digit), section (single digit), plat (three digits) and parcel (three digits). NOTE: If the site extends into multiple TMK parcels, enter the appropriate parcel number on Feature Record and enter "See Feature Records" on this line.

23. **New TMK:** Enter newly assigned TMKs as applicable. Use same format as Item 22.

24. **Geodatabase Submitted:** Yes/no checkbox



HAWAII DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

STATE INVENTORY OF HISTORIC PLACES DATABASE INSTRUCTIONS

FEATURE RECORD

Attach to the Site Record (Item 6). Complete one form per feature.

1. **Island-Quad-Site Number:** String of three numbers, following items 1-3 on Site Record, separated by hyphens.
2. **Feature Number/Letter:** Numeric or alphabetical designation. Should begin at 1 or A, and continue sequentially for each feature documented.
3. **Formal Type:** Use best-fitting descriptor from list provided, or enter one or two word descriptor.

Checkbox – choices are:

- Alignment
- 'Auwai
- Berm
- Bridge
- Bunker
- Cairn
- Cleared area
- C-shaped wall
- Cistern
- Concrete/cement pad
- Culvert
- Ditch
- Enclosure
- Fence
- Fishpond
- Footpath
- Hearth
- Historic Artifact Scatter
- Imu
- Lithic scatter
- Midden/artifact surface deposit
- Modified blister or lava sink
- Modified lava tube

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- Modified outcrop
- Modified pond
- Mound
- Pāhoehoe excavation
- Pā pamū
- Pavement
- Petroglyph
- Pictograph
- Pier
- Pit
- Platform
- Road
- Stairway
- Submerged artifacts
- Submerged aircraft
- Submerged structure
- Submerged watercraft
- Subsurface cultural layer
- Tank (water)
- Terrace
- Traditional artifact scatter
- Trail, curbstone
- Trail, steppingstone
- Trench
- Wall, free-standing
- Wall, retaining
- Wall, submerged or partially submerged
- Well
- Wood structural remains

4. **Function:** Use best-fitting descriptor from list provided, or enter one or two word descriptor.

Checkbox – choices are:

- Agriculture - irrigated (*lo 'i*)
- Agriculture - field clearance (stone pile, mound, modified outcrop)
- Agriculture - intense mechanized (i.e., sugar)
- Agriculture – generic

APPENDIX C
SIHP Database Form Instructions



HAWAII DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

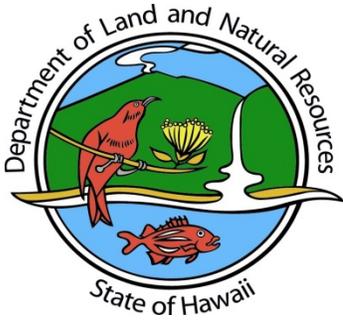
- Animal pen
- Art, symbolism
- Aquaculture
- Bird capture
- Burial
- Building foundations
- Boundary - *ahupua'a*
- Boundary - houselot or garden
- Boundary - *kuleana*
- Boundary – paddock, ranching
- Boundary - generic
- Ceremonial
- Communication
- Cupboard - storage
- Dam
- Dump - historic
- Fishing grounds (ko'a) - submerged
- Fishing/lookout station (shoreline)
- Foundation
- Habitation - generic
- Habitation - permanent
- Habitation - temporary
- Heiau - ceremonial complex
- Hunting blind
- Marker
- Military - encampment
- Military- gun emplacement
- Military- storage
- Oven
- Quarry
- Ranch infrastructure
- Refuse
- Recreation
- Resource procurement
- Shelter
- Shipping - interisland
- Shrine - ceremonial structure

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HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

- Storage
 - Tool production
 - Transportation
 - Unknown
 - Wreck (ship, plane, ect., submerged)
5. **Dimensions:** Enter length, width and height (averages) in that order, separated by commas. Metric units, two decimal places. (Example: 1.50, 0.95, 0.47)
6. **Condition:** Refers to specific feature.
Checkbox – choices are:
- Excellent (no alterations, no erosion, no disturbance)
 - Good (no alterations, minor erosion or natural wear, no disturbance)
 - Fair (minor alterations, minor erosion or wear, minor disturbance)
7. **Preservation Status:** Recommended actions or conditions at time of recordation. Select one.
Checkbox – choices are:
- Preservation recommended in AIS/BTP
 - Preservation with data recovery recommended in AIS
 - Data recovery recommended in AIS
 - No further work or action recommended in AIS
 - Preserved following burial registration process
 - Discovered during construction (with or without monitoring), preserved or partially preserved
 - Discovered during construction (with or without monitoring), destroyed
 - Listed by SHPD staff, based on report by owner/interested party, preserved
8. **Description:** Free form entry, general description of overall site, construction materials, style, general formal/functional categories represented. Include significance discussion if unique to site.
9. **TMK:** Use only if the site extends into multiple parcels; otherwise leave blank. Entered as single digit in parentheses (island code), followed by zone (single digit), section (single digit), plat (three digits) and parcel (three digits).
10. **Shapefile Submitted:** Yes/No Checkbox
11. **UTM at Center:** enter values with two decimal places.
- Zone
 - Easting
 - Northing



Hawai'i State Historic Preservation Division
Cultural Resources Geodatabase Structure
(Version 1.2.0)

Organization of the Cultural Resource Spatial Data Standards:

Within the State Government of Hawai'i, Environmental Systems Research Institute (ESRI) products remain the standard for GIS and spatial data. ESRI allows several different file types for spatial data ranging from shapefiles (the most common) to Geodatabases (the most recent). To accommodate the various methods that agencies, firms, and organizations may already be using to create and store cultural resource spatial data, the standards have been organized around individual data layers, rather than a particular file type. These data layers would translate into a single shapefile for instance. Gathered together they form a Geodatabase .

These various data layers are separated by cultural resource type, as defined by the National Register of Historic Places, then by spatial feature type (point, line and polygon). Additional feature classes have been developed to further address the unique needs of Hawai'i.

The Geodatabase is divided into 10 cultural resource types. Seven cultural resource types are derived from National Register of Historic Places cultural resource types; landscapes and ethnographic features are included as additionally useful resource types; survey areas, while not a resource type, are important to visualize in the context of known resources; and the tenth cultural resource type, "Preservation Area," is a unique resource classification meant to address specific, unique needs and delineate areas that have additional land-use stipulations. The cultural resource types and spatial data types include:

Historic Building Point or Polygon

Historic buildings are a resource created principally to shelter any form of human activity, such as a house. These resources would include features such as: farmhouses, homesites, mansions, churches, museums (if the building is historic), courthouses, offices, prisons, train depots, etc.

Historic buildings most often function primarily as dwellings. The point may represent the center of the building, an entrance, a corner, etc., while the polygon may represent the building footprint.

Historic Structure Point, Line or Polygon

Structures are a functional construction made for purposes other than creating shelter, such as a bridge. These resources would include features such as: fortifications, earthworks, roads, fences, canals, dams, engineering features, barns, outbuildings, arsenals, ships, manufacturing facilities, etc. These resources represent sites that do not function primarily as dwellings, however they may serve temporarily to house

humans, although their primary purpose is not a permanent shelter. The point may represent the location of a culvert, while a line may represent a fence or road, and a polygon may represent the circumscribed boundary of a manufacturing plant.

APPENDIX D
Geodatabase Instructions

Historic Object Point, Line or Polygon

Historic objects are a construction primarily artistic in nature or relatively small in scale and simply constructed, such as a statue or mile-post marker. These resources would include features such as monuments to individuals, individual tombs, etc. The point may represent a single survey marker, while a line may represent an element of a memorial or a decorative landscape element and a polygon may represent the boundary of a large memorial element, such as a plaza.

Archaeological Site Point, Line or Polygon

Archaeological sites are resources that have yielded or may be likely to yield information important to prehistory or history. These resources lie primarily below ground, but may have some above ground evidence indicating the presence of the potential to yield more information. These resources may include features such as: ruins of a building, the location of where a historic building, structure, or landscape may have once been. These resources represent the site of an event or the location of a resource which may have archaeological value. The point may represent a randomized point inside the archaeological site boundary, while a line may represent the excavated remains of a wall, and a polygon may represent the known extent of an archaeological site.

Ethnographic Resource Point, Line or Polygon

Ethnographic resources are landscapes, objects, plants and animals, or sites and structures that are important to a people's sense of purpose or way of life. These resources represent features understood from the viewpoint of peoples or groups for which they have a special importance. Ethnographic resources would include features such as traditional cultural properties, sacred sites, etc. These are resources primarily significant because of their association with a community's set of beliefs and they may not necessarily be historic in terms of age. A point may represent a significant petroglyph, while a line may represent an important trail, and a polygon may represent the boundary of a sacred site.

Cultural Landscape Polygon

Cultural landscapes are a geographic area (including both cultural and natural resources and the wildlife or domestic animals therein), associated with a historic event, activity, or person exhibiting other cultural or aesthetic values. These resources would include features such as: a plantation, a historic trail, a historic park or preserve, designed landscapes (formal gardens), vernacular landscapes (plantation site and associated features), battlefields, cemeteries, rural historic districts, prison camps, mooring locations, etc. These resources have contributing elements which may consist of built or natural features. The polygon should represent the larger cultural landscape boundary itself. Contributing elements to the larger cultural landscape should be included in the appropriate data layer for each element: historic building, historic structure, archaeological site, or ethnographic resource. If a contributing element to a landscape does not fit within these defined cultural resource type categories, they can be included in the Other Cultural Resource data layers, with the specification of what type of feature they represent recorded.

Historic District Polygon

Historic districts are a significant concentration, linkage, or continuity of sites, buildings, structures or objects united historically or aesthetically by plan or physical development. These resources may

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represent a local urban historic district within a city containing buildings related to a similar theme (such as commerce, manufacturing, college campus, etc.), or they may represent a rural area containing a series of plantations all from the same era that provide a representative example of typical residences in an area. A Historic District may also contain a series of archaeological sites or other resource types which exhibit some significant connection. The polygon represents the boundary of the district itself, encompassing all of the various contributing elements. Contributing elements to the district should be included in the appropriate data layer for each element: historic building, historic structure, archaeological site, or ethnographic resource. If a contributing element to a district does not fit within these defined cultural resource type categories, they can be included in the Other Cultural Resource data layers, with the specification of what type of feature they represent recorded.

Survey Point, Line or Polygon

A survey does not necessarily represent a cultural resource, but an area within which qualified individuals have made observations to locate cultural resources. These investigations may be undertaken as part of a specific project, in support of compliance with various historic preservation laws, or at the request of another agency, etc. The point may represent a generalized area within which searches were conducted or something as specific as a shovel test pit. While the line may represent a transect along which survey was conducted. The polygon represents a defined area within which survey was conducted.

Other Cultural Resource Point, Line or Polygon

Other Cultural Resources represent those features which do not fit easily into the defined cultural resource categories of historic building, structure, object, site or ethnographic resource. These include primarily elements which contribute to cultural landscapes. One contributing element of a landscape may include historic vegetation, such as a historic tree, a tree allee, a garden bed or parterre, etc. The point may represent a single tree, while a line may represent a tree allee and a polygon may represent a garden boundary. A field associated with the Other Cultural Resource data layers allows users to define more specifically what each feature is.

Preservation Area Polygon

The Preservation Area Polygon is designed to delineate an area designated as a preservation area through any mechanism, including Preservation Plans and Burial Treatment Plans. This polygon does not represent the resources contained within a preservation area, which should be represented by one of the other feature classes, but should represent the enclosing area of a preservation area.

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Feature Level Metadata Fields:

The feature level metadata fields associated with the Archaeology Site, Ethnographic Resource, Historic Building, Historic Object, Historic Structure, Historic District and Cultural Landscape data layers consist of:

CR_ID	BND_OTHER	SOURCE_COORD
SURVEY_ID	IS_EXTANT	MAP_METHOD
GEOM_ID	EXTANT_OTH	MAP_MTH_OT
feat_cl	RESTRICT_	CREATEDATE
RESNAME	SOURCE	EDIT_DATE
SIHP_ID	SRC_DATE	EDIT_BY
CONTRIBRES CR_NOTES	SRC_SCALE	ORIGINATOR
ISLAND	SRC_ACCU	CONSTRAINT
BND_TYPE	VERT_ERROR	

The feature level metadata fields associated with the Cultural Resource Other data layers consist of (those in italics represent those specific to the Other data layers):

CR_ID	BND_OTHER	SOURCE_COORD
SURVEY_ID	IS_EXTANT	MAP_METHOD
GEOM_ID	EXTANT_OTH	MAP_MTH_OT
feat_cl	<i>TYPE</i>	CREATEDATE
RESNAME	<i>TYPE_OTR</i>	EDIT_DATE
CONTRIBRES	<i>RESTRICT_</i>	EDIT_BY
SIHP_ID	SOURCE	ORIGINATOR
CR_NOTES	SRC_DATE	CONSTRAINT
ISLAND	SRC_SCALE	
BND_TYPE	SRC_ACCU	
	VERT_ERROR	

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The feature level metadata fields associated with the Cultural Resource Survey data layers consist of (those in italics represent those specific to the Survey data layers):

SURVEY_ID	<i>SRVY_MTHD</i>	MAP_METHOD
GEOM_ID	BND_TYPE	MAP_MTH_OT
feat_cl	BND_OTHER	CREATEDATE
RESNAME	RESTRICT_	EDIT_DATE
CR_NOTES	SOURCE	EDIT_BY
ISLAND	SRC_DATE	ORIGINATOR
<i>SRVY_TYPE</i>	SRC_SCALE	CONSTRAINT
<i>TYPE_OTHER</i>	SRC_ACCU	
<i>SRVY_LEVEL</i>	VERT_ERROR	
<i>LEVEL_OTH</i>	SOURCE_COORD	

Although the field names may seem abstract, in order to accommodate the ability to share data across any type of spatial data file type, the field names may not contain any blank spaces and must be kept to 10 characters or less. As a result, some of the field names represent abbreviations to fit these parameters. In order to make the field names and meanings clearer, an “alias” to each field name was assigned. As a result, when viewing the attribute tables in the GIS, users will not see, “CR_ID,” but will see, “Cultural Resource GUID.” Additionally, some fields represent *mandatory* information, some *mandatory if applicable* and some *optional*. Ultimately, filling in all information in all of the fields would provide the most complete documentation of our cultural resource spatial data, however to comply with the standards users must input data only in the required fields.

Feature Level Metadata Field Definitions, Potential Values and Examples:

Each of the feature level metadata fields are designed to contain specific information to assist those who might use the spatial data in understanding how the spatial data was originally created, when it was created, whether it has been edited, whether the spatial data is restricted, etc. Detailed definitions describing what is intended for each field, definitions of any menu or domain values and examples of what should be entered for these fields should provide help in migrating legacy data as well as incorporating new cultural resource data into any of the various data layers.

Standard fields and definitions for the Archaeology Site, Ethnographic Resource, Historic Building, Historic Object, Historic Structure, Historic District and Cultural Landscape data layers:

- ***CR_ID (Mandatory)***

Alias: Cultural Resource GUID

The CR_ID represents a unique identifier for cultural resource site, which takes the form of a “globally unique identifier (GUID).” A globally unique identifier is a 38 character alpha/numeric randomly generated identifier commonly used in database development. Generated via a Microsoft application, the length and variation in the identifier virtually guarantees its uniqueness helping to ensure that each one of the cultural resources in any of the data layers will have at least one ID that does not repeat and can be used to link to any other external SHPD database. ***A script is available from SHPD for generating GUIDs within ArcGIS.*** A single unique identifier must be assigned for each point, line or polygon used to represent a particular cultural resource site.

Example of a GUID:

{53D8A74E-AD5A-460A-BA71-D79CE2641AAA}

- ***SURVEY_ID (Mandatory if Applicable)***

Alias: Survey GUID

The SURVEY_ID represents a unique identifier for the survey through which the cultural resource represented was identified. Similar to the CR_ID, the SURVEY_ID takes the form of a GUID. Because SHPD does not maintain a central database of the various surveys conducted within the State, entering information into this field is mandatory only if applicable. The CR_ID is intended as a means to link to survey information maintained elsewhere or to identify resources surveyed as part of the same survey. Additionally, assigning an identifier to a survey will allow users to link individual cultural resources to the cultural resource survey data layers. The same methods employed to generate the CR_ID GUID can be used to create the SURVEY_ID.

Example of a GUID:

{37D1B949-ABCB-4C5E-A21E-1033606CD200}

- ***GEOM_ID (Mandatory)***

Alias: Locational GUID

The GEOM_ID (Geometry ID) represents a unique identifier for each geometry (point, line or polygon) describing the cultural resource in the data layer. Similar to the CR_ID and SURVEY_ID, the GEOM_ID takes the form of a GUID. The primary reason for assigning a geometry ID is to allow for the potential that a single cultural resource may have multiple spatial representations. These may be individual features of a larger site, or alternate ways of representing the same feature or site. For instance, a historic building may be represented by a point for the building entrance or as a polygon to describe the building footprint. In these cases, the building point and polygon would have the same CR_ID but two different GEOM_IDs. In the GIS, a user would be able to determine quickly that these two geographic features refer to the same cultural resource. Because maintaining this connection is crucial to understanding what cultural resource spatial data exists to represent a resource, and determining what data may best fit your specific analysis or application, filling in the GEOM_ID field is mandatory.

Example of a GUID:

{17432F80-794D-4DD9-819E-8A8893334A12}

- ***RESNAME (Optional)***

Alias: Resource Name

The RESNAME field allows users to enter a historic name or site name for the cultural resource. Although the standards are not intended to address descriptive data, there should be some way to identify a cultural resource using something other than a GUID that may be difficult to decipher or may be more familiar to resource specialists. Because any one cultural resource may be known by multiple names or identities, entering information into this field is optional. The RESNAME field is free text (no domain values) with space for 250 characters, therefore it could contain anything from a building name or address to an archaeological site description.

Example:

Fishing shrine; Keaiwa heiau; Fort Barrette; 601 Kamokila Blvd.; Feature A

- ***SIHP_ID (Optional)***

Alias: SIHP ID

The SIHP_ID field allows users to enter a State Inventory of Historic Properties site number, if the number is known. The full site number should be used. The SIHP_ID field is free text (no domain values) with space for 30 characters. If entered, the SIHP_ID should contain a complete site number.

Example:

50-80-10-00324

- ***feat_cl (Mandatory)***

Alias: Feature Class

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The Feature Class field allows users to select the appropriate feature class from the feature class types defined above. While this may appear redundant, this is included to allow a greater level of self-evidence for particular shapes. Exporting or incorporating data in a non-Geodatabase format is better facilitated by additionally including this as a separate field. Users should select one of the values to describe the feature class.

Example:
Archaeology Point; Landscape Polygon

- **BND_TYPE (Mandatory)**
Alias: Boundary Type

The BND_TYPE field is intended to allow users to indicate what the spatial data represents relative to the cultural resource. For instance, users may describe whether a point location for a building represents the entrance, the center of the building or a corner of the building. Similarly, with polygon features, users may describe whether the area represents a circumscribed boundary, a buffered boundary, etc. In order to ensure consistency in entering data and articulating what the spatial data depicts, menus or domain values for the Boundary Type field have been created. However, because the type of cultural resource and the type of spatial feature determine what the boundary type may be, different menus apply to different data layers. Users should select one of the values to describe the boundary represented by the spatial data.

Domain values for Archaeology Points:

Site datum point	The point data represents the site datum
Center point	The point data represents the center of the archaeological site
Vicinity point	The point data represents a user selected point in the vicinity of the site
Generalized point	The point data represents a computer generated generalized point based on site boundaries or other data
Random point	The point data represents a user selected or computer generated point randomly located on or near the archaeological site
Other point	The point data represents some other point on or near the site

Domain values for Building Points:

Entrance point	The point data represents the entrance of the building
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Center point	The point data represents the center of the building footprint
Façade point	The point data represents a location on the façade of the building, other than the entrance
Corner point	The point data represents a corner of the building
Random point	The point data represents a user selected or computer generated point randomly located on or near the building
Generalized point	The point data represents a computer generated generalized point based on site boundaries or other data
Other point	The point data represents some other point near the building

Domain values for Building Polygons:

Footprint polygon	The polygon data represents the actual building footprint, at the foundation
Circumscribed polygon	The polygon data represents a general area including the building
Perimeter polygon	The polygon data represents a detailed perimeter of the building, including rooflines, porches or other features
Buffer polygon	The polygon data represents a computer generated area based on building points or another type of building polygon
Other polygon	The polygon data represents some other polygon area describing the building

Domain values for all line features:

Center line	The line data represents the center line of any linear cultural resource
Edge line	The line data represents the bounding edge of any linear cultural resource
Perimeter line	The line data represents a line beyond the exact edge of the linear cultural resource, at a specific distance
Random line	The line data represents a user selected or computer generated line on or near the linear cultural resource
Derived line	The line data represents a computer generated line based on another spatial

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	representation of the linear cultural resource
Other line	The line data represents some other line describing the linear cultural resource

Domain values for all point features, other than Archaeology and Building Points:

Corner point	The point data represents a corner of the cultural resource
Center point	The point data represents the center of the cultural resource
Vicinity point	The point data represents a user selected point in the vicinity of the cultural resource
Random point	The point data represents a user selected or computer generated point randomly located on or near the cultural resource
Generalized point	The point data represents a computer generated generalized point based on the cultural resource boundaries or other data
Other point	The point data represents some other point on or near the cultural resource

Domain values for all polygon features, other than Building Polygons:

Derived polygon	The polygon data represents a computer generated polygon based on another spatial representation of the cultural resource
Circumscribed polygon	The polygon data represents a general boundary including the cultural resource
Perimeter polygon	The polygon data represents a detailed perimeter of the cultural resource
Buffer polygon	The polygon data represents a computer generated boundary describing a specified distance or buffer away from another spatial representation of the cultural resource
Other polygon	The polygon data represents some other polygon describing the cultural resource

- **BND_OTHER (Mandatory if Applicable)**

Alias: Boundary Type Comment

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The BND_OTHER field is intended to allow users to provide additional information related to the Boundary Type identified. Specifically, if users choose an Other Point, Other Line or Other Polygon menu value, they must enter some explanation of what the spatial data represents into the BND_OTHER field. Additionally, if users wish to provide more clarification related to the Boundary Type value chosen the BND_OTHER field can accommodate up to 250 characters of free text.

Example:

BND_TYPE value: Other point

BND_OTHER value: point represents a centralized point for site numbers written on a map. Precise location unknown.

BND_TYPE value: Corner point

BND_OTHER value: point represents the northwest corner of the building

- **IS_EXTANT (Mandatory)**

Alias: Is Extant?

The IS_EXTANT field is intended to allow users to indicate if the cultural resource is currently extant. Some points, lines or polygons included in the cultural resource data layers may represent cultural resources identified, recorded or documented many years ago. As a result, the cultural resource spatial data layers may include points, lines or polygons that represent features no longer in existence or only partially in existence following damage, disaster or some other change to its status.

Domain values for the IS_EXTANT field:

True	The cultural resource is intact with little disturbance
False	The cultural resource is no longer intact
Unknown	The condition/status of the cultural resource in not known
Partial	The cultural resource is partially extant (partially excavated or in a state of ruin)
Other	The cultural resource is in some other extant status

- **EXTANT_OTH (Mandatory if Applicable)**

Alias: Is Extant Comment

The EXTANT_OTH field is intended to provide additional information related to the Extant status indicated in the IS_EXTANT field. Specifically, if users choose the Other menu value, they must enter some explanation of what condition or intact status of the cultural resource. Additionally, if users wish to provide more clarification related to the Extant value chosen the IS_EXTANT field can accommodate up to 250 characters of free text.

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Example:

IS_EXTANT value: Other

EXTANT_OTH value: landscape feature suffered from flooding and is being restored

- **CONTRIBRES (Mandatory)**

Alias: Contributing Resource Flag

The CONTRIBRES field is intended to allow users to indicate if the cultural resource represented contributes to a larger historic district (of any resource type) or historic landscape. This field provides a means for users to record contributing and non-contributing resources to larger districts or landscapes, as well as individually significant resources.

Domain values for the CONTRIBRES field:

Yes	The cultural resource contributes to a historic district or landscape
No	The feature is a non-contributing element in a historic district or landscape
Not Applicable	The cultural resource does not contribute to a historic district or landscape, yet is historic or significant individually
Unknown	It is not possible to determine if the resource contributes to a historic district or landscape

- **RESTRICT_ (Mandatory)**

Alias: Restriction

The RESTRICT_ field is intended to allow users to indicate if the spatial data related to a specific cultural resource should be restricted from release to other parties or general distribution (Note: The RESTRICT_ field contains a trailing “_” character because the word “restrict” is a reserved word in database construction and cannot be used as a field name. Adding the “_” allows the word to be altered enough so that it can be used as a field name.).

Domain values for the RESTRICT_ field:

Unrestricted	There are no restrictions on the release or distribution of the spatial data for the cultural resource
Restricted: No third party release	The spatial data for the cultural resource is restricted to a limited distribution of the data requestor only
Restricted: Affected cultural group	The affected or affiliated cultural must concur before the

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concurrency	cultural resource spatial data is distributed
Restricted: Originating agency concurrency	The originating agency that created the cultural resource spatial data must concur before the data is distributed
Restricted: No release	The spatial data associated with the cultural resource should not be released

- **SOURCE (Mandatory)**

Alias: Source

The SOURCE field is intended to allow users to indicate or identify the source from which the point, line or polygon was derived. For instance, if the spatial data was created through a GPS survey, the source would be GPS. Other options might be the name of the image used in digitizing cultural resources or the name of the database tables from which coordinate pairs were used to create point features. Because users may generate points, lines and polygons from many different sources, particularly when working with legacy data, the SOURCE field has no menu or domain values and remains a free text field into which users can enter up to 250 characters. If the original source is not known, users may enter “Unknown” into the field.

Example:

GPS - Trimble GeoXH 6000

Example:

H-02078_p007.tif

- **SRC_DATE (Mandatory)**

Alias: Source Date

The SRC_DATE field is intended to allow users to record the date associated with the document, image, file or other data used to create the cultural resource spatial data, and identified in the SOURCE field. Because of the possible variations in the SOURCE field, the Cultural Resource Subcommittee did not develop a menu or domain for the SRC_DATE field, however the SRC_DATE field is formatted as a date field, as opposed to a text or number field. Date fields always take the form of month/day/year. If the date of the source data is not known, users may leave the field blank.

Example:

5/22/2008; 1/1/1926

- **SRC_SCALE (Mandatory)**

Alias: Source Scale

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The SRC_SCALE field is intended to allow users to record the original scale at which the cultural resource was mapped. For instance if a set of UTM coordinates was generated from a USGS quadrangle map, the scale would be 1:24,000. If the point, line or polygon was digitized from an aerial photograph, the resolution of the image (such as 1 foot per pixel) should be indicated. Note that data collected with GPS will not have a scale, but will have an accuracy (see the SRC_ACCU field) assessment. If the scale of the source data is not known, users may enter “Unknown” into the field.

Example:

SOURCE: USGS 7.5 minute quadrangle

SRC_SCALE: 1:24,000

(note: users can find scale information for the various standardized USGS map products by looking at the map collar information, located in the border of the map)

SOURCE: GPS

SRC_SCALE: not applicable

- **SRC_ACCU (Mandatory)**

Alias: Source Horizontal Accuracy

The SRC_ACCU field is intended to allow users to record the horizontal accuracy of the source data used to generate the spatial data. Because of the variety of possible sources of data and possible scales, the SRC_ACCU field is also a free text field with no menu or domain values, which can hold up to 250 characters. Note that base maps commonly used by cultural resource specialists, such as USGS quadrangle maps, all have a standardized accuracy assessment, which can be found in the National Map Accuracy Standards. For instance, a typical 7.5 minute USGS quadrangle map accuracy assessment is +/- 12 meters. Similarly, data collected with GPS will have an accuracy assessment related to the quality of the GPS unit used to collect the data, and may range from +/- 20 meters to +/- 1 meter depending on the data collection procedures. Additionally, many horizontal accuracy statements include information regarding the percentage of features on the map that may meet the accuracy. For instance a full map accuracy statement may take the form of a statement such as: +/- 12 meters for 90% of the points tested. If the accuracy of the source data is not known, users may enter “Unknown” into the field.

Example:

SOURCE: USGS quadrangle

SRC_SCALE: 1: 100,000

SRC_ACCU: +/- 50 meters

SOURCE: H-02078_p007.tif

SRC_SCALE: Unknown basemap accuracy (Hawaii County TMK layer). Georef RMS error +/- 5.5m. Original map accuracy is unknown.

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SOURCE: GPS

SRC_ACCU: 3 meters for 95% of check points

- **VERT_ERROR (Mandatory if Applicable)**

Alias: Vertical Error

The VERT_ERROR field is intended to allow users to record the vertical error for geographic data collected or created in a 3-D format. In general legacy cultural resource data does not contain vertical or Z values, with the exception of some archaeological data. New data collected with GPS or other survey tools have the option of recording a Z value, although accuracy of this measure vary greatly in comparison to horizontal accuracy. If Z values are being collected, vertical error must be similarly documented with each spatial feature. In order to make data entry more consistent and efficient, a menu or domain of potential values to describe the vertical error associated with this type of 3-D data was developed. For cultural resource spatial data, where Z values are rarely collected, users can enter the, “Not Applicable,” menu option or value.

Domain values for the VERT_ERROR field:

Unknown	The amount of vertical error is not known
Not Applicable	Vertical data was not collected, therefore vertical error is not applicable
>10 meters	Vertical error is greater than 10 meters
>5 meters <=10 meters	Vertical error is greater than 5 meters but less than or equal to 10 meters
>1 meter <= 5 meters	Vertical error is greater than 1 meter but less than or equal to 5 meters
>15 centimeters <=1 meter	Vertical error is greater than 15 centimeters but less than or equal to 1 meter
<= 15 centimeters	Vertical error is less than or equal to 15 centimeters

- **SRC_COORD (Mandatory)**

Alias: Source Coordinate System

The SRC_COORD field is intended to allow users to record the coordinate system associated with the source data used to create the cultural resource point, line or polygon. This critical information defines what form the spatial information takes and how it can be mapped or overlaid with data from other sources, such as GPS or aerial photographs. Recording these coordinate systems, and the associated datums that the coordinate systems are measured from is one of the most important aspects of the cultural

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resource spatial data standards, allowing data to be shared and used with other data types. For instance, the SIHP records at least one coordinate pair for each resource listed in the database. These coordinate pairs are based on the UTM coordinate system. Some are measured from the North American Datum established in 1927 while some are measured from the North American Datum established in 1983. If users map the locations collected based on the 1927 datum with the locations based on the 1983 datum without defining which locations came from each datum, the locations could be up to 200 meters off. Because of the variety of SOURCE options however, there are no menu or domain values. The SRC_COORD field is a free text field with up to 250 characters for users to describe the coordinate system and datum related to their source. If the coordinate system of the source data is not known, users may enter “Unknown” in the field.

Example:

- SOURCE: USGS 7.5 minute quadrangle map
- SRC_COORD: UTM zone 4 North, NAD83
- SOURCE: GPS
- SRC_COORD: WGS84
- SOURCE: GPS
- SRC_COORD: Geographic, decimal degrees, NAD83 (PA11)

(Note: all GPS data is collected in decimal degrees, World Geodetic System 1984, however the GPS data can be exported from the GPS receiver in any number of coordinate systems. Be sure the coordinate system of the data, as it is exported, is recorded)

- **MAP_METHOD (Mandatory)**

Alias: Map Method

The MAP_METHOD field is intended to allow users to indicate the method through which the cultural resource point, line or polygon was created or generated. The method used to create the spatial data will provide important information regarding the quality of the data and any potential applications the data could be incorporated into.

Domain values for the MAP_METHOD field:

Differential GPS	The spatial data was created via GPS and differentially corrected
Autonomous GPS	The spatial data was created via GPS and was not post-processed
Digitized	The spatial data was created by tracing or drawing features based on a base map or aerial photograph
Derived by XY event point or centroid generation	The spatial data was computer generated from a table of X/Y coordinate pairs to create points, or computer generated to find a center point of a polygon

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Geo-coded	The spatial data was created by interpolating a location based on a street address
Total Station	The spatial data was created by using a geo-referenced survey grade total station
Theodolite	The spatial data was created by using a surveying instrument geo-referenced to real world coordinates
Other	The spatial data was created via some other method

- **MAP_MTH_OT (Mandatory if Applicable)**

Alias: Map Method Comment

The MAP_MTH_OT field is intended to provide additional information related to the Map Method indicated in the MAP_METHOD field. Specifically, if users choose the Other menu value, they must enter some explanation of what method was used to create the point, line or polygon representing the cultural resource. Additionally, if users wish to provide more clarification related to the MAP_METHOD value chosen, the MAP_MTH_OT field can accommodate up to 250 characters of free text.

Example:

MAP_METHOD: Other

MAP_MTH_OT: point location generated via transit and geo-referenced with GPS

- **CREATEDATE (Mandatory)**

Alias: Creation Date

The CREATEDATE field is intended to allow users to enter the date the point, line or polygon was initially created. Date fields always follow a month/day/year format.

Example:

9/10/2012

- **EDIT_DATE (Mandatory if Applicable)**

Alias: Last Edit Date

The EDIT_DATE field is intended to allow users to enter the date the point, line or polygon was last edited or spatially modified. Because cultural resource specialists do not always revisit the spatial representations of their resources, an edit date subsequent to the Creation Date may not exist. In these cases the field may be left blank. Date fields always follow a month/day/year format.

Example:

9/10/2012

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- ***EDIT_BY (Mandatory if Applicable)***

Alias: Edited By

The EDIT_BY field is intended to allow users to document the name of the individual who last edited the point, line or polygon, associated with the Last Edit Date. If the data has not been edited since its original creation, this field may be left blank. The EDIT_BY field is a free text field to accommodate any text entry for the name of the editor.

Example:

EDIT_BY: Nick Belluzzo

- ***ORIGINATOR (Mandatory)***

Alias: Originating Institution

The ORIGINATOR field is intended to allow users to document the institution which originally created the point, line or polygon feature. Because SHPD cultural resource data originates in many various places, such as within SHPD, State Parks, or firms, it is important to identify the originator if users need to understand more about the spatial data itself, it's creation process or any of its parameters. Individuals identified in the EDIT_BY field may no longer remain in the office which originally generated the data. This free text field will provide an additional point of contact.

Example:

State Historic Preservation Division

Example:

XYZ Archaeology Consultants

- ***CONSTRAINT (Mandatory)***

Alias: Use Constraint

The CONSTRAINT field is intended to allow users to identify the appropriate use of the point, line or polygon or indicate what issues may be relevant for other data users to understand about the spatial data itself and any information that would affect how the spatial data could or should be incorporated into GIS applications. Due to other parameters documented through the cultural resource data feature level metadata, such as date, extant, source, source scale or source accuracy, it may be important for users to understand that some features within the larger cultural resource feature class may not be appropriate for all uses or legal uses in particular. The CONSTRAINT field is a free text field which can accommodate a brief statement as necessary.

Example:

None

Example:

Extant status and datum information for resource not recorded by source; coordinate pairs used to generate points not checked for accuracy by source

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Example:

Data not suitable for identifying resources potentially affected by a Section 106 undertaking

- **CR_NOTES (Optional)**

Alias: Comment on Resource

The CR_NOTES field is intended to allow users a free text field into which general comments regarding the specific resource or the specific spatial data representation can be placed. This optional field can accommodate any brief comment (up to 255 characters) that may be relevant to the point, line or polygon representing the cultural resource.

Example:

Although the point represents a resource listed on the National Register, corrected locational data from SHPD has been used to replace the original UTM coordinates stored in the National Register Information System.

Site comprised of 12 features, including 7 platforms, 3 burials, and 2 walls

- **ISLAND (Mandatory)**

Alias: Island

The ISLAND field is intended to allow users to specify the island upon which a cultural resource is found. While this could be evident from viewing a map, or reading a site number, it is designed to facilitate advanced querying and data distribution. Please note that no special characters are used. In general, the “Offshore” value should be used when a submerged resource falls outside of county boundaries. In most cases, this will include resources such as shipwrecks or plane wreck sites. To assist data entry, users may choose values from the domain that describes possible resource types:

Domain values for the ISLAND field:

Hawaii	The resource may be found on the island of Hawaii
Kahoolawe	The resource may be found on the island of Kahoolawe
Kauai	The resource may be found on the island of Kauai
Lanai	The resource may be found on the island of Lanai
Maui	The resource may be found on the island of Maui
Molokai	The resource may be found on the island of Molokai
Niihau	The resource may be found on the island of Niihau
Oahu	The resource may be found on the island of Oahu
Northwestern Islands	The resource may be found on one of the Northwestern Hawaiian Islands
Offshore	The resource may be found underwater and offshore

Fields and definitions added to the standard group, specific for with the Cultural Resource Other data layers (see list of fields for each feature class above).

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- **TYPE (Mandatory)**

Alias: Resource Type

The TYPE field is intended to allow users to define what cultural resource type the point, line or polygon classified as, “other,” represents. Because the Cultural Resource Other feature classes are intended to provide a category to place resources that do not fit easily into the other defined cultural resource feature classes it is critical to identify what type of resource the point, line or polygon is intended to represent. To assist data entry, users may choose values from the domain that describes possible resource types:

Domain values for the TYPE field:

Vegetation	The resource represents some type of vegetative feature that contributes to a cultural landscape or other cultural feature
Hydrology	The resource represents some type of hydrologic feature that contributes to a cultural landscape or other cultural feature
Topography	The resource represents some type of topographic feature that contributes to a cultural landscape or other cultural feature
Artifact	The resource represents an artifact collected as part of a identified site or an isolated artifact find
Land Use	The resource represents some type of land use feature that contributes to a cultural landscape or other cultural feature
Viewshed	The resource represents a viewshed associated with a cultural landscape or some other cultural feature
Other	The resource represents some other type of cultural feature

- **TYPE_OTR (Mandatory if Applicable)**

Alias: Resource Type Comment

The TYPE_OTR field is intended to provide additional information related to the Resource Type indicated in the TYPE field. Specifically, if users choose the Other menu value, they must enter some explanation of what type of resource the point, line or polygon represents. Additionally, if users wish to provide more clarification related to the TYPE value chosen, the TYPE_OTR field can accommodate up to 250 characters of free text.

Example:

TYPE: Other

TYPE_OTR: remnants of historic trail

Fields and definitions added to the standard group, specific for with the Cultural Resource Survey data layers (see list of fields for each feature class above).

- **SRVY_TYPE (Mandatory)**

Alias: Survey Type

The SRVY_TYPE field is intended to allow users to identify the type of cultural resource targeted with the survey undertaken and represented by the point, line or polygon. Because multiple surveys may have taken place within an area, it is critical to identify the type of cultural resource targeted by each individual

<p>APPENDIX D Geodatabase Instructions</p>
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survey effort. To assist data entry, users may choose values from the domain that describes possible cultural resource types that could be the subject of a survey:

Domain values for the SRVY_TYPE field:

Archaeology	Archaeological resources are the primary subject of the survey delineated
Architecture	Architectural resources are the primary subject of the survey delineated
Structure	Structural resources are the primary subject of the survey delineated
Cultural Landscape	Cultural landscapes and related resources are the primary subject of the survey delineated
Ethnography	Ethnographic resources are the primary subject of the survey delineated
Multiple resource types	Multiple cultural resource types are the subject of the survey delineated
Other	Some other cultural resource, or combination of resources, are the subject of the survey delineated

- **TYPE_OTHER (Mandatory if Applicable)**

Alias: Survey Type Comment

The TYPE_OTHER field is intended to provide additional information related to the Survey Type indicated in the SRVY_TYPE field. Specifically, if users choose the Other menu value, they must enter some explanation of what type of survey or the type of cultural resource that is the subject of the survey that the point, line or polygon represents. Additionally, if users wish to provide more clarification related to the SRVY_TYPE value chosen, the TYPE_OTHER field can accommodate up to 250 characters of free text.

Example:

SRVY_TYPE: Other
TYPE_OTHER: SHPD site visit

- **SRVY_LEVEL (Mandatory)**

Alias: Level of Survey

The SRVY_LEVEL field is intended to allow users to describe the intensity or level of the survey conducted and represented by the point, line or polygon delineated. Because multiple surveys may have taken place within an area, it is critical to identify the intensity of each survey undertaken in each survey effort. To assist data entry, users may choose values from the domain that describes possible survey intensity levels, as defined by the National Register of Historic Places:

Domain values for the SRVY_LEVEL field:

Reconnaissance survey	Survey conducted with a minimal or reconnaissance level methodology
Intensive survey	Survey conducted with a detailed or intensive level methodology
Archaeological Assessment	Survey conducted for an archaeological assessment
Monitoring	Data produced as part of a monitoring report
Data Recovery	Data produced from a data recovery report
Osteological Investigation	Data produced from an osteological investigation
Preservation Plan	Data produced for a preservation plan
Burial Treatment Plan	Data produced for a burial treatment plan

APPENDIX D
Geodatabase Instructions

Other	Some other level or intensity of survey conducted
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- **LEVEL_OTH (Mandatory if Applicable)**

Alias: Survey Level Comment

The LEVEL_OTH field is intended to provide additional information related to the Survey Level indicated in the SRVY_LEVEL field. Specifically, if users choose the Other menu value, they must enter some explanation of what level of survey, or intensity of survey, was conducted in the survey that the point, line or polygon represents. Additionally, if users wish to provide more clarification related to the SRVY_LEVEL value chosen, the LEVEL_OTH field can accommodate up to 250 characters of free text.

Example:

SRVY_LEVEL: Other

LEVEL_OTH: windshield form of reconnaissance survey conducted

- **SRVY_MTHD (Mandatory)**

Alias: Survey Method

The SRVY_MTHD field is intended to allow users to describe the field methods used in the survey undertaken, regardless of intensity level. Because multiple surveys may have taken place within an area, and with differing levels of intensity, the free text SRVY_MTHD field provides a location to describe the actual field procedures related to a specific survey, adding to the detail of the intensity selected. The SRVY_MTHD field can accommodate up to 250 characters of free text.

Example:

Shovel test pits dug at 10 meter intervals on transects 15 meters apart and 50 meters long



Content and Format Guidelines: Archaeological Inventory Survey Reports

Preface

This document was prepared by the Hawai'i State Historic Preservation Division (SHPD) for use by individuals, consulting firms and research teams who conduct archaeological field investigations within the State of Hawai'i and the United States Territorial Islands that were historically within the territory of Hawai'i (e.g., Midway, Johnston and Palmyra Atolls). The purpose of the guidelines is to aid archaeological report preparation and review by ensuring that all important information is included in reports, and that the information is organized in a manner that allows full and effective use by the SHPD as a regulatory agency and as the party responsible for maintaining the State Inventory of Historic Places (SIHP).

Some of the recommended content found here is derived from Hawaii Administrative Rule (HAR) Title 13 Subtitle 13 Chapter 276. This content is cited as to source and is *required* for all reports produced in connection with a State or County-issued permit. Some of the recommended content is derived from the Secretary of the Interior's Standards for Identification, Evaluation or Archaeological Documentation. This content is cited as to source and is *required* for all reports produced in connection with Federal undertakings or Federally-permitted projects. Many projects in Hawaii are permitted or funded through both Federal and State or County agencies. Reports produced in connection with these projects are required to include content pursuant to HAR 13-13-276 and The Secretary of the Interior's Standards. Most of the HAR requirements are based on The Secretary of the Interior Standards; the joint use of these sources is therefore relatively seamless.

Archaeologists conducting research projects in Hawaii are urged to incorporate the applicable guidelines regarding spatial data and metadata, and SIHP site number requests, to ensure that information is made available for long range planning, land use decisions, and emergency protection measures. Survey and inventory reports funded by Certified Local Governments must use The Secretary of Interior's Standards, and we urge the use of these guidelines when designing scopes of work, grant budgets and timelines, and in awarding grants to individuals or firms. In cases where archaeological and architectural surveys are conducted simultaneously, please refer to the guidelines for architectural surveys as well, to ensure that all information is consistent for the applicable resources.

Copies of these guidelines are available from our website (dlnr.hawaii.gov/shpd/). If you have questions or wish to comment, please contact:

Theresa K. Donham, Archaeology Branch Chief
Deputy State Historic Preservation Officer
DLNR- Historic Preservation Division
601 Kamokila Boulevard, Room 555
Kapolei, Hawai'i 96707

APPENDIX E
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Acronyms

AIS	archaeological inventory survey
APE	area of potential effects
CFR	Code of Federal Regulations
GIS	geographic information system
HAR	Hawaii Administrative Rules
HRS	Hawaii Revised Statutes
HRHP	Hawaii Register of Historic Places
NPS	National Park Service, Department of the Interior
NRHP	National Register of Historic Places
SIHP	State Inventory of Historic Places
SHPD	State Historic Preservation Division
TMK	Tax Map Key (property identification system in Hawaii)

Acknowledgement

This program receives Federal financial assistance for identification and protection of historic properties. Under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, as amended, the U.S. Department of the Interior prohibits discrimination on the basis of race, color, national origin, or disability or age in its federally assisted programs. If you believe you have been discriminated against in any program, activity, or facility as described above, or if you desire further information, please write to:

*Office of Equal Opportunity
National Park Service, 1849 C Street NW,
Washington, DC 20240*

The activity that is the subject of this (type of publication) has been financed (in part/entirely) with Federal Funds from the National Park Service, U.S. Department of the Interior, and administered by the Hawaii Department of Land and Natural Resources (DLNR). However, the contents and opinions do not necessarily reflect the views or policies of the Department of the Interior or the DLNR.



1. Submittal Form / Cover Letter

Submittal Form and Fee Payment

Inventory survey reports submitted to the SHPD for review and comment in connection with State or County permitted actions (Chapter 6E compliance) are subject to a submittal fee schedule, pursuant to HRS Chapter 6E-3 and HAR §13-275 and 284. The fee must be paid at the time of submission; fee payment triggers the beginning of the review period timeframe, assuming that the submittal is otherwise complete. All submittal fee payments are processed at the main SHPD office in Kapolei; neighbor island offices do not accept or process these payments. Report submittal forms are available from the SHPD website (<http://dlnr.hawaii.gov/shpd/forms>). The filing fee schedule is also posted on the SHPD website at <http://dlnr.hawaii.gov/shpd/archaeology/filing-fee-schedule/>. Filing fees do not apply to reports prepared for Federal undertakings or for research projects, unless there are also Chapter 6E permits involved. The submittal form is designed to provide sufficient information for an initial entry into the SHPD Reports Database. After the report is reviewed and accepted as final, the database entry is updated, the final report is uploaded to DocuShare, and hard copies are shelved at the SHPD Kapolei library and the applicable island SHPD library. Draft reports are stored in a holding area for one year; if no revised final is submitted after that time, the draft will be scanned into DocuShare, accessioned and shelved so that the information is available to researchers.

Information required for the Chapter 6E compliance submittal form includes the agency or consulting firm requesting the review, a contact person's name, address and other contact information, the title, authors and date of the report, number of pages, acres surveyed, and SIHP sites identified and described. If the submittal is a revised report, indicate the correspondence Log and Document numbers and date of the review letter. The submittal fee schedule, based on the type of report/plan submitted, is provided on the form. An example of a Chapter 6E report submittal form is found in Appendix A.

Cover Letter

Reports completed for federal undertakings should be submitted by the lead federal agency or its designated representative. No submittal fees are charged, however important information about the undertaking should be provided with the report. The following information should be included in the cover letter:

- A. The name of the undertaking, location including TMK parcel(s) with island code, and any identifying number assigned to the project by the lead federal agency;
- B. The lead agency name and applicable branch office, contact person(s) who can answer questions, and their contact information (phone and email);
- C. Brief description of the undertaking, including type and extent of proposed land disturbance, acreage of the area of potential effects (APE) and whether or not the entire APE had been surveyed and is addressed in the attached report;
- D. Applicable laws and regulations that apply and what action by SHPD is being requested, i.e., request for concurrence with National Register eligibility (36CFR800.4) and/or request for concurrence with a determination of effect (36CFR800.5);
- E. Any conditions that might affect or assist in the review of the report and in the responding correspondence; for example, consultation with NHO may be documented in a separate report.

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Reports completed in connection with a Certified Local Government grant or contract, or other National Park Service Historic Preservation Fund grant should be submitted with a cover letter that contains the following information:

- A. The survey or project name, location including TMK parcels(s) with island code;
- B. The title and type of grant, source of funding, tracking number(s) and deliverable schedule with the attached report identified as a specific deliverable;
- C. Dates of any fieldwork and/or archival work presented in the report;
- D. Conditions of the grant or contract scope of work that apply specifically to the attached report;
- E. A clear statement regarding what action by SHPD is being requested; for example, review of the report and comments are requested, or report being submitted for information and filing in the SHPD library database.
- F. Contact person familiar with the survey (preferably the principal investigator) who can answer questions, and their contact information (phone and email).

Reports prepared as part of or as the result of research projects should be submitted with a cover letter that contains the information listed above. We understand that TMK information is often not used in research contexts; however our inventory and library databases are most frequently searched by TMK. This field is very important for management purposes and for insuring that historic properties identified during research fieldwork are integrated into the review and compliance process.

2. Report Cover and Title Page

All reports submitted to SHPD, regardless of their regulatory context should provide the information listed below on the title page. Chapter 6E compliance reports should include the following information on the report cover as well as the title page:

- A. Report title, which should include the type of investigation (inventory survey, reconnaissance survey), project name, location (ahupua'a, modern district, island), and Tax Map Key parcel(s) with island code, written (x) x-x-xxx:xxx;
- B. All authors and editors; name and address of the consulting firm if applicable;
- C. If the report was prepared on behalf of a private entity or public agency, include the name and mailing address of that entity or agency, along with applicable contract or permit number;
- D. Year and month of report printing; if this is a revised report, the printing date should reflect the year and month of the most recent revision;
- E. Notation as to whether the document is a draft or final report.

Reports completed for projects funded by the NPS Historic Preservation Fund or other Department of the Interior grant sources must include an acknowledgment of federal assistance that shall be placed in its entirety on the title page or on the page immediately following the title page. The full text of the acknowledgement as found on page 3 of this document must be used.



3. Management Summary / Abstract

This section is appropriate for all Chapter 6E and Section 106 compliance reports as well as reports generated through NPS Historic Preservation Fund grants. It should be a succinct summary of the scope and findings of the survey, as well as recommendations for significance and any further work. The following information should be included:

- A. Specify the type of survey and acreage of area surveyed; if different levels of survey were used, indicate the acreage of each level; for example 7 acres of a 10-acre survey area may have been subjected to intensive pedestrian transects only and 3 acres may have been subjected to pedestrian transects and systematic subsurface shovel testing;
- B. Describe the regulatory context and reason for the survey, to include reference to pertinent laws and regulations, SHPD correspondence relating to the need for a survey and/or scope of work; if this is an addendum or update survey indicate such and provide reference to the preceding document(s);
- C. Provide a description of the proposed project or undertaking if the survey is in a compliance context; include location and description of APE; if the survey area and APE are not the same, indicate such and explain;
- D. Provide the name of the principal investigator, dates of the investigation (archival research, field work and laboratory work), the number of persons involved in the fieldwork and total labor hours;
- E. Summarize the findings, to include number of newly identified and previously identified archaeological sites found and their SIHP site numbers; number of subsurface tests conducted; if testing was conducted within site areas, indicate number of features and sites included in testing; indicate number of sites found via surface survey and number found via subsurface survey/testing;
- F. Provide a summary of recommended significance evaluations and indicate standards/criteria used (HAR §13-275, §13-284, HRHP or NRHP); and a summary of treatment recommendations.

4. Table of Contents

The table of contents for all reports and plans should provide the following information if the text exceeds ten pages:

- List the major sections with subheadings and appendices (pages numbered);
- Provide a list of figures and their page numbers;
- Provide a list of tables and their page numbers.

Chapter 6E compliance reports and plans should follow the organizational structure indicated in the HARs as applicable. Archaeological inventory survey reports, for example, are required to include a minimum of nine sections, each with multiple subsections (HAR §13-276):

- (1) Introduction, provides identification of the survey area, owners, permit(s), jurisdiction
- (2) Description of the environment, discussion of previous disturbances;
- (3) Background research – historic background information and archaeological background information;
- (4) Methods used during the field survey;

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- (5) Survey findings with descriptions of each site;
- (6) Description of recovered materials, if applicable;
- (7) Summary of findings;
- (8) Information on the consultation process, if needed;
- (9) Discussion of final disposition of collections;
- (10) Significance assessments and recommendations;

Reports prepared in advance of or as part of a federal undertaking must minimally include sections reflecting the required documentation points pursuant to the Secretary of the Interior's standards for reporting identification results. These are:

- (1) Objectives;
- (2) Area researched and surveyed;
- (3) Research design or statement of objectives;
- (4) Methods used;
- (5) Results;
- (6) Evaluation of identified properties.

The accuracy of the table of contents is checked by SHPD staff as part of their review process for Chapter 6E and Section 106 reports. Please ensure that it is accurate prior to submitting drafts to SHPD.

5. Introduction & Project Area Description

Much of the information provided in this section is summarized in the Management Summary section; it should be expanded here, with appropriate maps as specified in HARs or in the Secretary of the Interior's standards. The following components should be included:

- A. Explain why the study was conducted or why a plan was prepared, citing the relevant Federal, State or County laws or permitting process. If the report of plan was recommended by SHPD through the review process, this needs to be discussed and relevant correspondence should be cited;
- B. Provide information on the proposed undertaking or project, including a discussion of the nature and extent of anticipated disturbance.
- C. A location map showing the entire area surveyed; for Chapter 6E survey reports, this must be a section of the relevant 1:24,000 USGS quadrangle map [HAR §13-276-5(a)]. The map should identify the quadrangle, indicate a scale and north arrow and provide a key to identify boundaries or areas placed on the map. Please do not use quad map sections that are zoomed in larger than 1:12,000 scale.
- D. Chapter 6E compliance survey reports must include locational information consisting of the island, district (modern), ahupua'a, and tax map key (TMK) location [see HARs as cited in (C) above]. It is preferred that a copy of the relevant tax map plat showing the project area be included in the report, along with the topographic location map.
- E. Provide accurate dimensions and acreage of the area surveyed and state clearly whether this correlates or not with the APE of the associated undertaking or project. This is required for Chapter 6E survey reports [HAR §13-276-5(a)].
- F. Identify the property owner(s). This is required for Chapter 6E survey reports.



6. Scope of Work

This discussion can be included as a subsection of the introduction, or as a separate section, depending upon the nature of the study or plan. Inventory survey reports prepared for Chapter 6E compliance must include the following information in a discussion of the scope of work as defined under HAR §13-276-4:

- A. The entire surface shall be visually inspected; this should be confirmed in the report. If a deviation from a 100% surface survey is necessary, the scope of work shall be approved by SHPD prior to implementation. Documentation of such approval should be included in the report.
- B. The survey shall include an evaluation of the presence or absence of subsurface historic properties for areas with no visible historic properties. Normally, this is conducted in consultation with SHPD prior to initiation of field work. If no subsurface testing of non-site areas was conducted, it should be supported with documentation that subsurface historic properties are not anticipated.
- C. When identified historic properties have several possible alternative functions based on surface examination, test excavations shall be conducted to provide additional information regarding function. The results of all subsurface testing and analysis of recovered portable materials shall be included in the survey report.
- D. If a sampling strategy is used for the pedestrian survey, it must be approved by SHPD prior to implementation. The report must document the sampling approach and prior SHPD approval of the survey plan.

The scope of work for Chapter 6E compliance surveys must also address all required elements pursuant to HAR §13-276, including the following:

- a prediction of the kinds and distribution of expected historic properties, based on a synthesis of background information;
- interpretation of age and function of identified historic properties;
- recommended significance assessment of all identified historic properties; and
- recommendations regarding the appropriate treatment of identified historic properties.

The scope of work for surveys conducted pursuant to Federal guidelines is based on the type of survey (reconnaissance or intensive). Both reconnaissance and intensive survey reports should document the following: 1) the kinds of properties looked for; 2) the boundaries of the survey area; 3) methods used and extent of survey coverage.

Reconnaissance scopes of work prepared pursuant to the Secretary of the Interior's Standards include the following:

- The kinds of historic properties present in the surveyed area;
- Specific properties that were identified and categories of information collected; and
- Identification of areas that did not contain historic properties.

Intensive survey reports include the following in addition to the three items listed above:

- A record of the precise location of all identified historic properties;
- Information on the appearance, significance, integrity and boundaries of each historic property sufficient to permit an evaluation of its significance.



7. Environmental Setting

A description of the physical environment is required for all Chapter 6E compliance reports and is necessary for completing a research design for all other types of reports. The following information is required to be presented, pursuant to HAR §13-276-5 (a) (3):

1. Topography, including general elevations, distance inland and general terrain patterns;
2. Vegetation;
3. Geology and Soils;
4. Climate, including rainfall; and
5. Hydrology.

The discussion of certain items listed above (vegetation, rainfall, and hydrology) should be provided for the present environment and for any former periods that might be important to the interpretation of identified cultural resources. For example, existing vegetation in many areas of Hawai'i consists of introduced plants that were not present prior to western contact. A general reconstruction of the former (pre-contact) vegetation is therefore important in order to identify the types of sites and general level of expected land use within a project area. Likewise, the presence and economic importance of surface streams and rivers has changed dramatically in many areas; a consideration of hydrology must take such change into account when developing a research design or predicting expected findings. Information regarding former vegetation patterns, the extent of agricultural lands and the traditional uses of water resources is available from early to middle nineteenth century land records (boundary testimonies, Land Commission testimonies), the journals of visitors, traditional chants, and many additional sources that should be consulted during the collection and integration of background information.

Environmental information relating to the geology and soils should include a discussion of any culturally important resources or resource areas that are known to be present, or could potentially be present within the project area. Examples of important traditional materials relating to geology and soils include adze-quality basalt, volcanic glass, scoria, cinder, coral, salt, alae, and various types of wood or fibrous plants that require certain soils or topographic zones. The soil discussion should be consistent with the USDA soil classification system and survey maps of the islands provided by the Soil Conservation Service and the University of Hawaii Agricultural Experiment Station.

The environmental setting should include a description of the current land use within the project area, and the current condition(s) represented. If portions of the project area are disturbed by plowing, grubbing, grading or other mechanical means, these areas should be depicted on a map of the project area. This information is required for Chapter 6E compliance reports. HAR §13-276-5(e) states that, "The report shall document, describe, and graphically display any previous land disturbances (e.g., bulldozing, grubbing by machine, or sugarcane cultivation) if identified during the survey."

An examination of the natural features within a project area should also consider any natural landforms or areas that could potentially hold traditional cultural significance for Native Hawaiians or other ethnic groups. A consideration of place names, geological uniqueness, and geographic context should be



included in this discussion, in addition to consultation and background research regarding the potential for culturally significant natural features.

8. Historic Background

The background research sections of a survey report have a dual purpose, as described in the Secretary of the Interior's Standards and in the relevant HAR. The background discussions 1) provide a context for understanding and evaluating the significance of identified historic properties; and 2) provide information used to predict the kinds and distribution of historic properties that might be present within a given project area. Survey reports prepared for Chapter 6E compliance must include three specific sets of historic information:

- A. Findings on patterns of land use and site patterns for the project area and the relevant ahupua'a or other relevant research area, for three temporal periods: pre-contact and early post-contact, 1848-1851, and post 1851;
- B. Provide a summary of the documents and materials reviewed during the research; and
- C. Indicate whether any Land Commission awards were granted within or near the project area, and if so, specify the LCA number, the use of each apana awarded, and locate the awards on a map whenever possible [HAR §13-276-5 (b) (1)].

Discussions of land use and site patterns should be focused on the project area and ahupua'a in which the project area is located. If a different land area is selected, it should be in consultation with SHPD. It is not uncommon to find generic discussions of pre-contact land use patterns that apply to multiple districts or islands in this background discussion. This is acceptable as an introductory discussion to the background research, but it is not a substitute for the information described in item A. Boilerplate discussions of Hawaiian prehistory do not meet the requirements of HAR for Chapter 6E reports, particularly when the discussion does not include recent findings and is not tied to ahupua'a of focus. It is acceptable to provide additional time periods in the discussion of land use, particularly when 20th century archaeological resources are expected to occur within a project area. In these cases, the post 1851 period may be subdivided into additional units such as 1851-1900, 1900-1950 and post 1950.

Item B is often not included in the historic background discussion, the assumption being that materials reviewed are found in the List of References. It is important to search for primary sources of information when conducting background research and to state in this discussion which primary sources were used. It is not acceptable to only use other archaeological reports when compiling this information. There are many sources of information that should be routinely included in historic land use research efforts. Examples include:

- University of Hawai'i system, including Hamilton Library at Mānoa and neighbor island campus collections such as Hilo;
- Hawai'i State Archives (<http://ags.hawaii.gov/archives>);
- Mission Houses Museum Library, digital collections and manuscripts (www.missionhouses.org);
- Hawai'i Public Library system;

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- Archives and Library of the Bishop Museum (www.bishopmuseum.org/research);
- Historic photographs at the Hawai'i State Archives, Archives and Library of the Bishop Museum;
- Historic maps at the Land Survey Office of the Department of Land and Natural Resources (<http://ags.hawaii.gov>);
- Libraries and archives of private corporations or resource management firms;
- Māhele and Land Grant records available from a variety of sources
- Office of Hawaiian Affairs Papakilo and Kipuka databases (www.papakilodatabase.com/main/main/php), (www.kipukadatabase.com)
- Neighbor island museums such as the Kauai Museum in Lihue, Lyman Museum in Hilo, Parker Ranch in Waimea and others;
- Military museums and archives;
- Hawaiian language newspapers and early issues of mainstream newspapers;
- Specialty museums such as those serving the interests of railroads, plantations, and others.

Item C information pertaining to Land Commission claims and awards can be obtained from the online Waiihona 'Aina (www.waiihona.com), which maintains four databases: Māhele, Boundary Commission, Royal Patent and Land Grants (1846-1922+). A description of each database is found on the homepage of this website; important information regarding a specific project area or ahupua'a can be found in any of these databases, and it is recommended that these databases be used as resources for discussions of the environment, land use patterns and pre-contact/early historic settlement, in addition to a recitation of LCA for the study area. The records include information on claimant names, relatives, neighbors, place names and descriptions, house locations, trails, trees, plants, birds, roads, fishponds, burials, landscape features, local and regional chiefs, and other information. When this information is available in Native or Foreign testimony, Royal Patent narrative or maps, boundary descriptions or Land Grant records, it should be included as appropriate in the various sections of the background discussion.

It is not uncommon to find numerous LCA as well as claims that were not awarded within larger project areas or study areas. When this occurs pertinent information for each award should be tabulated in the report (award number, apana, awardee name, location, size, and designated use). As noted above, the locations of the LCA should be shown on a map, especially if they are inside the project area. Kuleana with documented uses that would have left archaeological traces (house sites, lo'i, fishponds) should receive special attention during archaeological pedestrian survey and subsurface testing because there is a higher likelihood of finding resources at these locations. Kuleana locations frequently exhibit perimeter walls in areas that were not mass grubbed or cultivated. These features could potentially be misinterpreted as ranch walls if the research on LCA and unawarded claims is incomplete.

When a project area is expected to include 20th century uses, it is highly recommended that consultation occur with local community members and any families connected to the area, as indicated in land records. Persons living adjacent to a project area often have first-hand information regarding the age and function of archaeological resources and land uses that are not clearly indicated in the archaeological record; this can eliminate guessing and misinterpretation when archaeological data is scant. It is also important to consult historic maps that could potentially depict prior land uses such as



residencies, barns, roads, walls, ditches and so forth. Even USGS topographic maps dating to the 1960s or 1970s provide information not found on the current topographic maps.

9. Previous Archaeology

This section of the report should include a records search for known historic properties within and near the project area and a summary of previous field work conducted within the project area and the ahupua'a or other agreed-upon study area. This generally requires more research than simply checking the shelves of the SHPD library. Many of the historic properties recorded during the initial statewide survey are not tied to a report, and may not be mentioned in previous studies. The locational information for these sites is located in the SHPD GIS and on blue line USGS topographic maps compiled in 1980. The researcher should contact SHPD staff regarding the GIS, paper maps and site database; access to the information will be made available, or staff will run searches in order to verify whether SIHP sites have been recorded in the project area. Please note that sites such as inadvertent burial discoveries and other types of post-review discoveries will not always have records available in the SHPD library; these will be available via the GIS, site database and consultation with staff.

When conducting SHPD library research, it is important to check the report database for the respective island; this information is also available in spreadsheet format at the respective libraries, and a spreadsheet will be sent to a researcher via email on request. The researcher should also check with the appropriate lead archaeologist to confirm whether the report database is current. There could be reports that are relevant to the study area under active review or waiting to be accessioned and shelved in the library.

Discussions of previous archaeology in Chapter 6E reports are required to contain the following information if prior studies have occurred within the agreed upon study area:

- A. The areal extent of the prior survey coverage indicated on a map;
- B. A synthesis and analysis of information on the project area and its related lands' chronology, function and land use patterns, reconciling, as needed, the historical and archaeological information; and
- C. Predictions as to types of sites expected to be encountered during field survey.

The above information is included as components 1 and 3 of a research design as defined by the Secretary of the Interior's Standards for Identification. The term "research design" is not used in the HAR for inventory survey reports, however information required to be present in a report fulfills the federal specifications. This is further discussed below.

Many of the consulting firms maintain a GIS with previously surveyed areas, making it relatively simple to produce a map of a given study area. When GIS or other data is used to compile these maps, study areas may be depicted that are not discussed in the report. If shown on a map, the previous study area should be included in the synthesis of information and all references for the depicted prior study areas must be included in the report's list of references.



Item B above stipulates a synthesis and analysis of information regarding chronology, function and land use patterns. This requirement entails more than summarizing the findings of each previous study. If here is no research design section in the report, the synthesis and analysis must occur in the previous studies discussion, or in the discussion of expected findings.

10. Research Design

Survey activities of any type are expected to have a statement of objectives or research design prepared before work is performed, pursuant to the Secretary of the Interior's Standards for Identification. The three elements of a research design as defined by the SOI Standards are: objectives, methods and expected findings. For a more detailed discussion of these elements, see Section 2.2 of *Guidelines and Procedures for Archaeological Survey in Hawaii*. The research design is an explicit statement of the theoretical and methodological approaches to be followed in any archaeological field study or research project. Reports prepared for Federal undertakings are required to include a research design section. As noted above, HAR do not require a specific section identified as a research design; however all the components of this section are required to be present in the background discussions. It is acceptable to group the three components in a research design section for Chapter 6E reports, so long as all information required in HAR §13-276 is present.

In the context of the Chapter 6E historic preservation review process, inventory surveys are intended to provide enough information to evaluate the significance of archaeological resources and in many instances are used to determine that no additional documentation is needed to adequately mitigate the effects of the loss or disturbance of the resources. This level of documentation needs to satisfy the requirements of the SOI Standards for Archaeological Documentation in order to be accepted by SHPD and integrated into the statewide inventory. The specifications for research designs in this context requires the same three components as a research design for identification, but it should be more oriented to specific types of archaeological resources, and should include an evaluation of the findings in terms of predictions or hypotheses made, and in terms of how the findings have modified or improved current research models, historic contexts, or planning tools. This additional research step is comparable to §13-276-5(f) for Chapter 6E reports, which specifies a summary of findings that includes the above information. The summary of findings section is further discussed below.

In order to link a research design to an actual field survey, there needs to be a consideration of the theoretical basis from which the proposed research questions and predictions are springing. There is no explicit requirement for this type of information in 13-276-5, or in the SOI for identification; however, a statement of research paradigm(s) is critical to the evaluation of significance. If a study proposes to collect as many dating samples as possible from certain feature types during an inventory survey, there must be a summary of the important research questions that will be addressed with the data, beyond the generic desire to determine the age of the feature. Asking and answering the questions of age and function are not adequate research paradigms for the proper evaluation of archaeological resources. These are starting points from which a research design should be developed. It would be more productive to develop mechanisms to assess the integrity of identified resources during an initial survey and then select the resources that have integrity to address more complex research questions. This process is supported under both the federal and state review processes. Unfortunately, the inventory survey is often conducted with the goal of "mitigating" as many sites as possible in one swoop and is



substituted for more intensive research-driven field work. Because of this situation, researchers should be more aware of the need to present research questions recognized as important for the region in which the project is located, and strive to formulate new ideas and questions. Repetition of non-focused and boiler-plate overviews do not meet the definition of a research design.

11. Methods

Survey reports completed for Section 106 and Chapter 6E projects must include a section on the methods used during the field work. Both types of reports may include the methods discussion within the research design; Chapter 6E compliance reports can include the methods as a separate section. The following information is required to be present, pursuant to the SIO Standards and HAR §13-276-5(c):

- (1) Names and qualifications of the principal investigator(s);
- (2) Number of field personnel, the dates when the survey was performed and the duration of time spent conducting survey fieldwork;
- (3) Extent of survey coverage;
- (4) A discussion of any factors that limited the survey effort;
- (5) Techniques used to identify archaeological resources;
- (6) Extent of recording conducted, techniques and rationale;
- (7) Method(s) used to plot site locations; and
- (8) Methods used to determine what constitutes a site and its boundaries.
- (9) When consultation occurs in connection with the survey, the methods used to identify and contact knowledgeable persons, and the methods used to interview and record or document the consultation process must be included.

When discussing and describing the extent of survey coverage (Item 3), please note that Chapter 6E surveys must include visual inspection of the entire surface of the project area (§13-276-4). If the coverage is less than 100%, the report must include a discussion of the rationale used in sampling (if such occurred), and information on when the sampling design was presented to SHPD and approved. The sampling design is often presented in a formal inventory survey plan which is approved prior to implementation. Some projects consist of complete pedestrian survey with a sampling design for subsurface testing. In these cases, the sampling design for testing should be approved prior to implementation and must also be presented in the methods section.

In many cases, a 100% pedestrian survey may be completed; however actual surface visibility may be 50% or less. This is considered a factor that limits the survey effort and it must be accurately reported in the methods section, along with a discussion of measures taken to control for poor visibility. The most common means of controlling for poor visibility is to decrease the distance between members of the survey team. If there are variable visibility conditions within a large survey area, the acreage and location of these areas should be described in the report and plotted on a project area map.

The discussion of techniques used (Item 5) must include a summary of the pedestrian survey methods including the spacing between surveyors, orientation of sweeps, how sweep lines were marked or identified; machinery testing including type of machine used, dimensions of trenches, trench profiling procedures, shovel testing procedures, use of soil screening, material collection methods, and any remote sensing procedures. Further information on the methods used during recording of identified

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resources is also required. This includes methods used to produce scaled plan view maps, controlled excavation methods, soil screening and collection, photography (equipment used and how photos stored). It should be noted whether standardized forms were used during any of these procedures, and the number of personnel involved in each activity. Laboratory analysis methods should be included in this section if portable materials or samples were collected during the survey. Other methods used to organize, clean, document and prepare the materials for shipment to a laboratory or for curation should also be included. There should be an explicit discussion of how identified sites were marked in the field. What information was written on temporary site tags and where were tags placed?

When survey areas contain numerous features with the potential to contain subsurface deposits, there should be a discussion in the methods section which clarifies why certain features were selected for testing. Likewise, the methods used to select samples for dating or other types of analysis should be discussed and tied to the research design. Any pre-analysis screening, such as plant species identification, should also be discussed. As noted elsewhere, all reports received from specialized analysis of materials should be attached to the report in their original format. As noted in the Secretary of the Interior's Standards for Archaeological Documentation, "The choice of methods for recording data in the field should be based on the research design...Field records should be maintained in a manner that permits independent interpretation in so far as possible. Record keeping should be standardized in format and level of detail."

The methods section must include a discussion of how site and feature location data were collected. This includes a description of the equipment used (brand and model), any limitations inherent in the equipment such as distance error for GPS units, who or how many personnel were collecting data, how and where it was post-processed, including software, coordinate system used at the time of collection, data dictionaries or attribute tables used in the field, and how the data was prepared for transmittal to SHPD as part of the SIHP site number request process.

The final discussion required to be in the methods section includes the theoretical and practical issues on how a site is defined and how the boundaries are determined. This is an important issue that is also one of the most frequently overlooked. The practice of delineating site boundaries is directly tied to the perceived definition of a site. SHPD does not have regulatory control over this sometimes charged issue. The long-standing "lumper vs. splitter" dichotomy is very evident in the results of various reports. At this time, SHPD does not stipulate how a site should be defined, or provide a minimum distance threshold between identified features. SHPD does require that the definition of a site as used by the researcher be explicitly stated in the report, and that the process of site boundary delineation clearly follows that definition.

Directly related to the concept of a site are the formal and functional categories used to describe identified features within a site. SHPD has developed a formal typology in connection with the SIHP site database (Appendix C, Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i). Use of this typology in the report alleviates the need to provide detailed definitions of each formal type used; the typology would only need to be referenced in the methods section. If the SHPD typology is not used in the report, the author(s) must provide their working definitions of each formal type identified and described. Functional categories used to describe the activities assumed to have occurred at

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archeological sites must also be defined. This is critical when the results of surveys are compared to the findings of other studies, when regional syntheses are attempted, or when hypotheses are being tested.



12. Findings

This section of the report presents all information that was collected during the field survey and during laboratory analysis. Reports for reconnaissance level surveys are required to contain information on the kinds of historic properties that are present in the survey area; and descriptions of specific properties that were identified with consistent categories of information presented. This level of presentation is not acceptable for most Section 106 compliance reports and is not acceptable for Chapter 6E compliance reports.

Inventory or intensive survey reports must document the precise location of identified historic properties and provide information on the appearance, significance, integrity and boundaries of each historic property (Secretary of the Interior's Standards for Identification). If no historic properties were identified, their absence should be explicitly noted. If expectations or the research design predicted the presence of archaeological resources, there should be a discussion as to why the expectations were not met, especially if such resources were previously observed or recorded in the project area. If no findings are reported, Chapter 6E survey reports are referred to as assessments. This term can only be applied to the report after the intensive level field survey has been completed. SHPD does not have a predetermined assessment category of survey that connotes less than intensive survey.

Specific requirements for Chapter 6E inventory survey findings are found in HAR §13-276-5(d) and (e). Section 276-5(d) addresses the requirements for the description of each archaeological property found during the survey:

- (1) A state inventory (SIHP) number and any previous numbers must be included in the report. The SIHP number must be requested from SHPD prior to completion of this section. See *Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i*, Section 5 for instructions on obtaining SIHP numbers. It is important to include the temporary site number, particularly if these numbers are used on site tags that are left at the site location during the survey. It is also important that the information submitted with the site number request on Access database forms and geodatabase is consistent with the information presented in the report.
- (2) Reference to any previous studies that described the site and the information that was recorded at the time of prior survey(s). There should be a comparison between past and current site conditions and any changes that have occurred since the prior study.
- (3) The formal feature types represented at the site and frequencies for each type; all formal types used in this section should either follow SHPD guidelines or be defined in the methods section.
- (4) A verbal description of each site/property to include the following information:
 - A. The size (in square meters or hectares) and horizontal dimensions along north-south and east-west axes or the major and minor axes. If subsurface testing is conducted, include the vertical extent of the historic property to the extent that it is definable.
 - B. Surface architecture and features must be described as to shape, materials, methods of construction and dimensions.
 - i. Material descriptions should be of sufficient detail to provide meaningful comparisons within the survey area and with other study areas. For example, descriptions of building stones should consider likely source, extent of

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- weathering, type of stone, and size grades using the Wentworth scale (i.e., pebble, cobble, and boulder).
 - ii. Dimensions for features with an interior area should include overall area and interior space measurements with a clear differentiation between the two values. Representative height measurements must be provided for surface features; this should be presented as a range and an estimated average height for features such as walls. Widths must be presented for features such as wall; this should also be expressed as minimum and maximum with an estimated average width when applicable.
 - iii. Identified subsurface features should be described in the same manner as surface features, with dimensions provided as applicable.
- C. The presence or absence of surface remains such as artifacts, midden or introduced debris must be noted.
- i. The description should include the location or distribution of such remains and their density on the surface in relation to any surface or subsurface features.
 - ii. Artifacts observed on the site surface should be described, photographed on site (if not collected) and dated to the extent possible. It should be clearly stated whether any surface materials were collected or moved (to a protected location on site) during the survey.
- D. If test trenching, coring or augering occurred, there must be a description of these findings, whether or not cultural deposits were encountered.
- i. Information presented must include standard U.S.D.A. soil descriptions and Munsell colors of soil strata, scaled profile drawings of natural and cultural strata, and descriptions of portable material observed in each layer (in addition to the natural soil inclusions).
 - ii. When controlled hand excavation units are excavated, the location of these units must be shown on a plan map and profiles of at least two contiguous side walls presented.
 - iii. Profile views of all identified subsurface features and cultural deposits must be presented (see item G comments below regarding excavations).
- E. Representative photographs of the site are required; it is recommended that these photos include representations of all feature types present. When there are six or fewer features within a site, it is recommended that photographs of all features be included. If vegetation allows, an overall site area photograph is also recommended.
- F. The major features of a site are required to be mapped in plan view to scale, with locations of surface remains, subsurface features, test units and other pertinent information depicted, such as site identification tag(s).
- i. The map must be presented with a scale and north arrow, and identified in the text as to whether it is hand drafted or auto drafted with schematic representation of stones. Auto drafted maps are usually identifiable as such based on appearance of the map; however it should be made clear whether or not characteristics such as the apparent uniformity of stones is actually reflected in the construction materials used.

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- G. The description of an archaeological resource is required to include a consideration of its integrity, as part of the evaluation process. In order to characterize integrity, the resource should be compared with similar sites or features within the same general age/function group. As assessment of integrity would ask whether the intended function of a feature can be determined based on its current appearance or condition, and whether or not there might be any information of value obtainable. Subsurface testing is sometimes needed in order to assess this level of integrity. If a feature is potentially of cultural value, consultation with SHPD, OHA and NHO or local descendants should occur prior to conducting any destructive activities such as excavation at the feature.
- H. The function or functions of a site are required to be presented for each identified archaeological resource. This process is subject to a high error rate if the site lacks integrity, if no portable remains are visible, or if no subsurface materials or deposits are located. Many surface architecture forms such as terraces, enclosures and c-shapes have multiple possible uses and could have been reused for purposes not intended by the original constructor.
- ii. All information regarding the function of a site or feature obtained during consultation must be presented in this discussion. If there is insufficient information to establish function, it is preferable to state such and to recommend additional field work in order to obtain a more accurate understanding of the site.
 - iii. If function can be inferred based on the location, association of the feature with surrounding features, and other factors such as size and construction technique, it must be stated that these factors were used in determining function.
 - iv. If a model is being used to infer function, this must be stated and the model must be thoroughly discussed in the methods or research design section of the report. The model should also be assessed for accuracy in the discussion of findings. For example, a small enclosure may exhibit traits of what would be considered permanent habitation based on a certain model, yet its size would place it in a temporary habitation category.
 - v. The utility of the model for correctly predicting temporary vs permanent habitation would need to be considered and alterations to the model suggested in the summary of findings section.
- I. An assessment of site age is required to be included in the site description.
- i. Inferring site age can be problematic and creates the potential for severe misrepresentation of the archaeological record. For example, the absence of historic era artifacts on the surface of a site is often used as the only variable to infer a Precontact age for a site. There are many cases where sites such as agricultural complexes were inferred to be Precontact and later found to date well into the 20th century, based on first-hand information from former residents. The formal characteristics of certain feature types do not provide reliable dating criteria. If these are used, there must be a very convincing argument in support of their validity.
 - ii. When absolute dates are used in the context of determining site age, extreme caution must be exercised to ensure that one or two dates is not equated with

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- an “absolute” site age. If wood charcoal is collected and dated, there must be sufficient controls in place to establish a clear contextual relationship between the dated sample and the event or feature being dated.
- iii. It is very important that collected wood samples are identified by species and short-lived specimens be selected for dating. All of the information on sample condition, collection techniques, context, and species must be presented in the report, either in the methods section or in the discussion of laboratory analysis.
 - iv. As noted elsewhere, the specialist reports regarding wood identification, dating and other information should be attached to the report so that the primary information is available for use by other researchers and so that the interpretations offered in the report can be independently verified.
- J. The final element required in the description and discussion of each historic property is a consideration of its significance.
- i. Pursuant to HAR, significance is defined for Chapter 6E reports in §13-275-6 for public agency (6E-8) projects, or §13-284-6 for 6E-42 projects requiring a state or county permit. Please refer to these rules and to *Procedures and Guidelines for Archaeological Survey and Inventory in Hawai‘i*, Section 4.3 for a discussion on use of the HAR significance criteria. Four of these criteria correlate with the National Register criteria, making it possible to use federal guidelines for the evaluation process.
 - ii. Pertinent Federal standards for evaluation are found in the Secretary of the Interior’s Standards for Evaluation which state that significance is based on established criteria, not on proposed uses of the site or area. It is not acceptable to elevate the significance of a resource because it can be avoided, or to degrade significance because it is in an area of proposed development.
 - iii. The SOI standards state that evaluation should be made using a historic context that identifies and defines the characteristics of representative properties that can be used in a comparative manner to establish significance.
 - iv. The discussion of significance in this section of the report should include a consideration of missing or incomplete information and propose ways to acquire the missing information.
 - v. Although it is not required in §13-276, it is permissible to evaluate sites as eligible for listing in the Hawaii and/or National Registers, in addition to the HAR significance criteria. National Register criteria must be used for federal projects; projects needing federal and state permits should use both HAR and NRHP.
 - vi. The discussion of site significance is also required to be included in the site description, even though it is not part of the factual findings of the survey.
 - vii. It should be noted that archaeological resources found and determined to be not significant and/or not eligible for listing in the Hawaii or National registers should be described and evaluated in the report, so that SHPD is provided an opportunity to review the information and concur with the evaluation. SIHP numbers should not be assigned to these locations; they can be referred to using temporary numbers. If SHPD determines that such a site is significant, a SIHP number will be obtained and inserted in the revised report.



The final component of the report findings section addresses current conditions of the survey area that have the potential to affect the condition and distribution of identified archaeological resources. HAR §13-276-5(e) states that, "the report shall document, describe, and graphically display any previous land disturbances (e.g., bulldozing, grubbing by machine, or sugarcane cultivation) identified during the survey. This information is sometimes presented in the background section of the report in conjunction with the description of the environment. It is common to find no graphic representation of disturbed areas in the report. This is a requirement and will be requested by SHPD if it is not present. In cases where an entire survey area is within an area of current or former sugarcane cultivation, a current satellite view or historic aerial photos showing the extent of cultivation is acceptable and recommended. If the project area has been partially impacted by bulldozed trails or similar alterations, the perimeters of these areas should be walked with a GPS so that they can be accurately located on a project area map.

13. Summary Discussion/Interpretation

This section provides a summary of the findings and ties the survey findings with the research design and/or the discussion of expected findings. It should address both resource management concerns as well as research problems. Reports for Chapter 6E projects must include six elements that are enumerated in §13-276-5(f); and generally stated in the SOI for Archaeological Documentation:

- (1) The total number of sites and component features identified during the survey must be presented.
- (2) One or more maps showing the location of all identified sites and their boundaries must be included; one site location map must be a section of the relevant USGS topographic map at 1:24,000 scale. This requirement will be waived if an acceptable geodatabase is submitted at the time site numbers are requested, so long as it includes the survey area boundaries, all identified sites and features, and site boundaries, with associated data and metadata as described in *Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i*, Appendix D.
- (3) A table presenting the site SIHP numbers, formal type and function if determined; this table is frequently combined with the table required in the significance assessment section. Combining the tables is acceptable; however the information should be included in the significance assessment section and referenced in this section.
- (4) If multiple sites within a major functional type are found, summaries of each type shall occur. For large project areas, it is advisable to include maps showing the distribution of the represented site types, along with a consideration of possible environmental factors that could be affecting the distribution, such as soil types or lava flows, elevation gradients, rainfall differences, distance to the shoreline and so forth.
- (5) The section must contain a re-evaluation of models, hypotheses or stated ideas on the history of land use in the ahupua'a and parcel, and other research problems or topics identified in historic context studies, regional syntheses or published manuscripts. The research goals of the survey should also be evaluated in this discussion to determine whether they were appropriate for the project and whether they should be refined for future surveys. For example, was the approach adequate to identify areas with no built environment that have the potential to be culturally significance? Or was the approach sufficient to establish the likely presence or absence of subsurface cultural deposits or features within the survey area?



- (6) In cases where more than five sites are present within a major functional category, the map referred to in item 4 above is required, as well as a table itemizing the “relevant constituent structures” for each site and the key variables used to determine function.

If a considerable body of information was obtained about the survey area during consultation with knowledgeable individuals, a separate section on the consultation results should be included in the report. For example, if additional archaeological or cultural resources were identified through the consultation process, this information should be attributed to the appropriate source, unless the person consulted wishes to remain anonymous. Information that assists or guides the interpretation of specific sites must be included in the respective site descriptions.

The summary discussion or a subsection of the methods section should include information on the final disposition of any collected materials as well as the field records, maps and photographs generated during the survey. The curation/archival facility must be determined by SHPD if the materials originated from public lands and in consultation with SHPD if the materials originated from private land. Additional discussion of curation standards is found in *Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i*, Section 3.2.

14. Significance Assessments and Recommendations

The significance evaluations discussed for individual sites in the findings section must be summarized and tabulated in a separate section at the end of the report. Pursuant to HAR, these evaluations are considered recommendations until SHPD concurs formally in writing. Likewise the recommended mitigation measures are summarized and tabulated in this concluding section. The significance evaluations and recommended treatments (mitigation commitments) for Chapter 6E projects are required to be in one table, pursuant to HAR §13-276-8. The proposed treatment for each identified site is considered a recommendation until formal concurrence by SHPD is finalized. The recommendations section should also include proposed mitigation documents and the SIHP sites to be included in each document. These include a data recovery plan, preservation plan, burial treatment plan and archaeological monitoring plan. For large projects, it is not unusual to have all four of these plans recommended after the survey is completed and the report has been approved.

The discussion of significance evaluations and criteria used in a report should reflect the regulatory context(s) of the survey. If it is conducted for a private entity in response to a county permit application, the discussion of significance should be focused on significance criteria as listed in §13-284-6. If the survey is conducted for the state department of transportation and FHWA, pursuant to NHPA Section 106, the significance criteria should include National Register eligibility criteria as well as significance criteria listed in §13-275-6 which regulates state projects. This discussion should also consider the definitions of historic districts, historic landscapes and cultural landscapes and assess whether or not all or portions of the survey area are eligible for this designation. Pursuant to HAR, a group of sites can collectively be argued to be significant under any of the criteria. In many cases, additional criteria can be applied to a group of sites that reflect a meaningful unit within a historic context, as compared to the individual sites that make up the grouping.



15. References

All sources of information used in the preparation of the report should be cited in text and listed in the references section. It is recommended that the American Antiquity format or a similar format be used to list references. Regardless of the format, all entries should be consistent and listed in alphabetical order. Reports that are missing cited references will be returned for revisions.

16. Appendices

SHPD has no regulatory guidance on appendix content. It is preferred that site description information be presented in the body of the report, with lengthy tables such as dimensions of individual features and lists of recovered remains placed in an appendix. Specialized reports on material analysis should be appended to the report; these should be kept intact and complete, so long as the reported findings apply to materials described in the report.



STATE OF HAWAII
DEPARTMENT OF LAND AND NATURAL RESOURCES
HISTORIC PRESERVATION DIVISION
 601 Kamokilo Boulevard, Room 555
 Kapolei, Hawaii 96707

Submittal Form for Chapter 6E Compliance Reports and Plans

___ Electronic Submittal (dlnr.intake.shpd@hawaii.gov) Date _____
 ___ Hand Delivery to _____ office (indicate city) Resubmittal ? _____
 ___ Mail Delivery to _____ office (indicate city) **Jurisdiction:** ___ 6E-3 ___ 6E-7 / 8 ___ 6E-42 ___ 6E-43

AGENCY _____ STATE ___ COUNTY ___ PROJECT ALSO FEDERAL UNDERTAKING ___
 CONSULTANT/CONSULTING FIRM _____
 PRINCIPAL INVESTIGATOR _____ EMAIL _____
 ADDRESS _____

REPORT/PLAN TITLE _____

AHUPUA'A _____ **MODERN DISTRICT** _____ **ISLAND** _____

TMK (include island code in parentheses) _____

AUTHOR(S) _____

INFORMATION FOR FIRST SUBMITTAL:

Type of Plan /Report _____ No. of Pages _____

Survey Projects: Area Acres _____ Newly Identified Sites (no.) _____ Previously Identified Sites (no.) _____

All Projects : List Newly Assigned SIHP Site Numbers _____

SUBMITTAL FEE: (Check applicable) **TOTAL AMOUNT** _____ (Check payable to Hawaii Historic Preservation Special Fund)

___ \$25 Monitoring Plan, Burial Disinterment Rpt., Lit Review	___ \$250 Burial Treatment Plan
___ \$50 Archaeological Assessment Rpt., Osteological Analysis	___ \$450 Archaeological Survey, Data Recov. Rpt.

SHPD DATE RECEIVED STAMP	Payment Method: Cash \$ _____ Check \$ _____ Check No. _____
	Receipt Issued: By _____ Date _____
	Intake Log No. _____ Report DB Entry By _____ Date _____
	NOTE: Payments received only at Kapolei SHPD Office

APPENDIX G
SHPD Report Database Instructions



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

STATE INVENTORY OF HISTORIC PLACES
REPORT DATABASE FORM INSTRUCTIONS

Getting Started

The report database for each island is located at:

(T:) SHPD /_SHPD MASTER Databases (2010) /HistoricSites / Report /ReportData /HistoricSitesReport_[Island].

- When you open the database, check to see if there is a message indicating that “Some active content has been disabled”, if so, click the “Enable Content” button.
- Open the forms by clicking on “Report Form” from the main page; you will be at the beginning of the list of reports for your island.
- If you are not sure whether a report has already been entered – do a search on the TMK table or on the title in the report table. To search the TMKs, click on “TMK List” at the top right corner of the form; when that list opens, click on “Find Record” and do a search of the TMKs (Note: there are different versions of TMK numbers in the databases, look over the list and make sure you search for all possible formats).
- Once you have verified that the report has not been entered, and you know the last assigned library number as shown in the report list, click on the “Last” button, located along the right margin, near the center of the form; verify that this report number is the same as the last number in the report list. If they do not correspond, notify your supervisor and do not enter new data until the database has been checked.
- To enter new data, click the red “ADD” button at the upper right hand corner of the form; this should bring up a blank form. If you open the forms and the red “ADD” button is not present, you may not be able to save new records.
- Don't forget to click the red “SAVE” button after you have entered new data.
- To exit the Access database, click the red “EXIT” button on the form, then click the “Exit” button on the main screen; or go through the “File” command instead of just clicking the X in the upper right hand corner. Do not make copies of the files or save back-up files in the T drive folder. If the database cannot be edited from a neighbor island, notify the Branch Chief who will coordinate data entry via copied files; do not enter data from remote locations without coordinating with the Branch Chief or Librarian.

Report Form

NOTE: The data entry forms for different islands are not consistently formatted; some of the information as listed below, such as “Pages”, and “Date Entered” will be found at a different location on the form.

1. **LIBRARY# OR SHPD #:** entered as a five-digit number, no decimal places. Number must be unique and sequential for each island and must be preceded by the appropriate island code letter and dash (M-00345). This number must be affixed to the upper left hand corner of the report front cover. Use a permanent printed label or permanent marker if no label is available.

The appropriate letter codes are:

- H- Hawai'i Island
- K- Kaua'i
- KH- Kaho'olawe
- L- Lana'i
- M- Maui
- MO- Moloka'i

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- N- Ni'ihau
 - NI- Nihoa
 - NK- Necker
 - MW- Midway
 - O- O'ahu
2. **Year:** enter the year the report was printed; if more than one date is present, enter the most recent; The date is found on the cover or title page; if no date is present, enter "UNKN". **Month:** also found on cover or title page, enter most recent if more than one date is present; use 1 – 12 to designate month.
 3. **Manuscript #:** assigned by the consulting firm, author or institution; may or may not be present on the report cover or title page; this is often a project number with date, or other codified information. Examples include ACH 14-152, RC-0829, Ms. 040069. If not present, leave blank.
 4. **Pages:** enter the total number of pages, including any appendices; if there is more than one volume, enter a single total page count for all volumes combined.
 5. **Newman #:** if this space in on the form, it is no longer used, leave blank.
 6. **Date Entered:** refers to the date this form is filled out, creating the database record.
 7. **Title:** enter the primary title only, subtitles including TMKs, ahupua'a and island do not need to be entered here. If a TMK parcel number is part of the primary title, enter it here and in the TMK space.
 8. **Publisher:** enter the name of the company, or institution responsible for printing the report, do not use Acronyms. **Place of Publication** refers to the city and state location of the publisher or company; state names should be acronyms, i.e., HI for Hawaii.
 9. **Modern District:** choose from the drop-down menu which is formatted for each island; this information may not be on the report cover, some authors use traditional districts which do not always correlate with modern districts. If there is no drop-down list, refer to the list of districts found at the end of these instructions.
 10. **Ahupua'a:** enter the traditional ahupua'a where the project is located; list all applicable; this information should be provided on the cover, title page, abstract or introduction; if missing, consult the GIS or the applicable 7.5 minute quad map.
 11. **Locality:** enter other relevant place name (can be modern) that is different from the ahupua'a; examples include Chinatown, Pā'ia, Kapalua, Haleiwa, Hawaiian Shores, etc. Do not enter the island here; if there is no known place name mentioned in the report and you do not know a commonly used locality name, leave this space blank.
 12. **Acres:** entered with three decimal points to account for small project areas. If the project area is given in square footage, convert to acres (divide square feet by 43,560); this should only be left blank for general overview studies or research studies that are not compliance reports. **Acres (text):** this space is no longer used, leave blank if it is on the form.
 13. **Authors:** list each author in the order they appear on the report title page and number these sequentially beginning with 1. "Seniority" refers to their order in the list of authors, not their degree – the primary author is listed first on the report and should be listed first on the form, followed by "1" in the "Seniority" space; the second author should then be listed, followed by "2", and so on. Include middle initial if provided; do not include other information (such as degree) in the author space.

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14. **TMK:** list all parcels indicated in the report, using the standard TMK units - island, zone, section, plat and parcel - separated by dashes, i.e., 3-1-3-006:027; island, zone and section are one digit, plat and parcel are three digits. NOTE: to ensure consistency with existing data, do not put the island number in parentheses. The **Portion?** blank next to the TMK is a checkbox on some forms and a text entry on others (or check box and text box). If the report covers a portion of a TMK parcel, either check the box or enter a "y" in the text box. If the entire parcel is covered, leave this space blank.
15. **Sites:** enter the full SIHP site number for all sites identified and described or studied in the report, regardless of report type. The **State Site #** consists of a two digit state number (50 in all cases) followed by a two digit island number (see list at end of instructions) followed by a two digit quadrangle number followed by a five digit unique site number; i.e., 50-10-07-02976. The **New?** blank next to each site is to document whether this report is the first documentation of the site. AIS reports note which sites are newly identified and which are previously identified. If a site is newly identified, enter "Y" in the text box, or check the box if your form has a checkbox. If it is not newly identified, enter "N" in the text box or leave the check box blank.
16. **Research Activities:** there are seven checkboxes and one textbox in this group; check all that apply – Note: most AIS reports have three to four of these elements, check the report to see which apply: **Arch. Literature** refers to an archaeological literature search, which is required for AIS reports and is also found in "Literature Review and Field Inspection" reports; not required for archaeological assessment reports, but could be present. **Hist. Literature** refers to historic literature search; this is more involved than a general historic background section and is not always present in AIS reports; if the report has a comprehensive historic era discussion, check this box. **Research Design** may be present in AIS reports prepared for federal projects and should be present in data recovery reports; may be present in AIS Plans – check the table of contents. **Site Desc.** refers to site descriptions that are required for AIS reports; may also be present in a preservation plan or monitoring plan. **Mapping** refers to detailed site mapping that is generally present in AIS reports and in Data Recovery reports. If a report is using copies of maps or general site location maps only, do not check this box. **Testing** refers to subsurface testing; this occurs as part of AIS fieldwork in many cases, but can also occur in data recovery fieldwork; it includes either backhoe testing in areas to locate sites, or small-scale testing in site areas to assess presence/absence of subsurface deposits; check the box if any testing occurred and is reported. **Excavation or Areal Excav.** refers to intensive excavation of one or more sites; usually occurs in data recovery field work as opposed to survey work. This doesn't apply to construction-related excavation that is monitored. **Other** refers to other types of research such as palynology, paleontology, sedimentology, speleology, and so forth; this is used when the report is generated by, or in conjunction with a second discipline; enter the second discipline. Check the contents of AIS and DR reports for specialized studies for this category.
17. **Digitized:** check this box if there is an electronic version of the document, either on a CD or as a pdf in DocuShare.
18. **Corres. Log #** enter the log number assigned to the version of the report you are entering. The log number is often written on the report cover, or is found in the SHPD letter attached to the final report. Log No. is written as "2013.0596". If the report predates 2012 and no log number is available, a log number will have to be searched in the correspondence files; log numbers for 2012 and later reports can be found in the intake log, correspondence file, or the archaeology branch master file of letters. Log numbers for versions

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of the report that come in subsequent to the first entry are entered in the Comment box at the bottom of the form.

19. **Review:** there are five checkboxes in this group, reflecting different types of compliance reports: Check **Inventory Survey** for AIS reports and Assessment Reports, which are inventory surveys with no findings; check **Mitigation Plan** for archaeological preservation plans, burial treatment plans, data recovery plans, and combined mitigation plans that may include a monitoring component; check **Data Recovery** for data recovery reports; check **Monitoring** for monitoring plans, unless monitoring is part of a combined mitigation plan, and monitoring reports; check **Reconn.** for reconnaissance surveys and field inspection letter reports that consist of reconnaissance level field work. **Other** is used to list other types of compliance submittals, such as Determinations of Effect (federal projects), ethnographic surveys, cultural impact assessments, architectural surveys and so forth that may be stand-alone or attached to archaeological reports.
20. **# New Sites:** enter a total count here; should correlate with the number of new sites listed in item 15; if there are no new sites, leave this space blank.
21. **Sites Info Date:** do not use for the initial record creation; a date is entered here when the report record or information on the sites listed is updated or revised. For example, if the report is a draft when it is assigned a library number and entered in the database, this date should be completed at the time the “Final?” box is checked off.
22. **Review Date:** enter the date on the applicable correspondence letter; if entry occurs after the report is approved as final, this would be the date of the approval letter. If entry occurs prior to any review, this space is left blank for entry at a future time.
23. **Comment:** add any information that is not captured by this form, such as “xx radiometric dates presented”, or “Five sites identified but no SIHP numbers reported” – this would apply to older research reports that were not subject to compliance review and cannot be returned for revisions at the present time.
24. **Final?** Check this box after the report has been approved as final, or if it is a final at the time of data entry. Normally the draft should be in a designated holding area, but if a draft has been shelved in the library, the final should replace the draft; do not leave both versions in the library.
25. **DocuShare:** this textbox is for pasting a link to a pdf file of the subject report once it is uploaded to DocuShare.

SUPPLEMENTAL INFORMATION

Modern Districts for the Islands with Report Databases:

Hawai‘i:

Puna
South Hilo
North Hilo
Hāmākua
North Kohala
South Kohala
North Kona
South Kona

Kaua‘i:

Waimea
Koloa
Lihue
Kawaihau
Hanalei

Lana‘i:

Lahaina

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Ka‘ū

Maui:

Hāna
Makawao
Wailuku
Lahāina

Moloka‘i:

Moloka‘i
Kalawo

O‘ahu:

‘Ewa
Ko‘olauloa
Ko‘olaupoko
Kona
Wahiawa
Wai‘anae
Waialua

Island Codes for SIHP Site Numbers: (Number in parentheses indicates number of quads for the island)

Hawai‘i	10 (76 quads)	Moloka‘i	60 (5 quads)
Kaho‘olawe	20 (2 quads)	Ni‘ihau	70 (4 quads)
Kaua‘i	30 (11 quads)	O‘ahu	80 (15 quads)
Lana‘i	40 (4 quads)		
Maui	50 (17 quads)		

SECTION 3

SURVEY

Guidelines: Architectural Historic Resource Surveys

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Introduction

State and federal laws require the State Historic Preservation Division (SHPD) to implement a continuing and effective survey program that contributes to a well-maintained inventory of historic resources. This information allows researchers to have a complete picture of the historic built environment in Hawai'i and allows SHPD to more accurately review historic properties under state and federal law, as well as to direct Certified Local Government grant activity and identify sites and districts that are potentially eligible for the State and National Register of Historic Places.

This reference guide details SHPD requirements for evaluation and documentation of historic resources through survey activity. The guide contains a standard set of procedures for the collection of information about Hawai'i's historic built environment. SHPD requires that these instructions be followed for all survey projects dealing with the built environment. This will ensure that these projects are done in a rigorous manner and that the data collected will easily integrate into the Hawai'i State Inventory of Historic Places.

These procedures are for use by SHPD staff, consultants, and volunteer surveyors.

Historic Resource Surveys

Mandated by the National Historic Preservation Act (NHPA) of 1966 as amended-historic resource surveys are conducted by state agencies, local governments, and historic preservation professionals, and supported and reviewed by the State Historic Preservation Division (SHPD). A survey is the process of collecting and recording information about historic resources and evaluating their eligibility for the National Register of Historic Places through research, fieldwork, and reporting. Surveyed historic resources are listed in the State Inventory of Historic Places maintained by the SHPD and in inventories administered by counties participating in the Certified Local Government program. Completing a historic resource survey often is the first step in the preservation of historic resources important to Hawai'i's state and local heritage. Completing a historic resource survey is a multi-part process that consists of designing the survey, conducting research about the survey area, fieldwork and statistical analysis.

Professional Qualifications

Surveyors conducting historic resource surveys sponsored by SHPD or required for compliance activities must meet the *Secretary of the Interior's Standards for Archeology and Historic Preservation*, as maintained and enforced by the National Park Service (NPS). These standards define the minimum education and experience necessary to perform identification, evaluation, registration, and treatment activities.

These qualifications, in general, are a graduate degree in architectural history or closely related field, or a bachelor's degree in the same fields, plus at least two years of full-time experience in architectural-history related work.

Surveyors who do not meet the professional qualifications may assist with certain parts of the survey, such as historic research, mapping, photography, data entry, and in some cases other fieldwork. SHPD encourages public involvement in surveys but any work must be performed with the very direct involvement of a qualified professional. Please contact SHPD if you plan on using surveyors who do not meet the Secretary of the Interior's Standards.

Types of Survey

SHPD currently recognizes three types of architectural survey: a Reconnaissance Level Survey, a Selective Reconnaissance Survey, and an Intensive Level Survey.

A. Reconnaissance Level Survey and Selective Reconnaissance Level Survey

The *Reconnaissance Level Survey* (RLS) is designed as a "first-glance" at a broad group of historic resources and records. The RLS format is usually defined by a geographic boundary. Some surveys are also defined by a particular resource age or type. This is called a *Selective Reconnaissance Survey*. In both types of RLS, basic information is collected from the exterior of a building, object or site only, such as:

- address,
- number of stories,
- siding and building materials,
- architectural style,

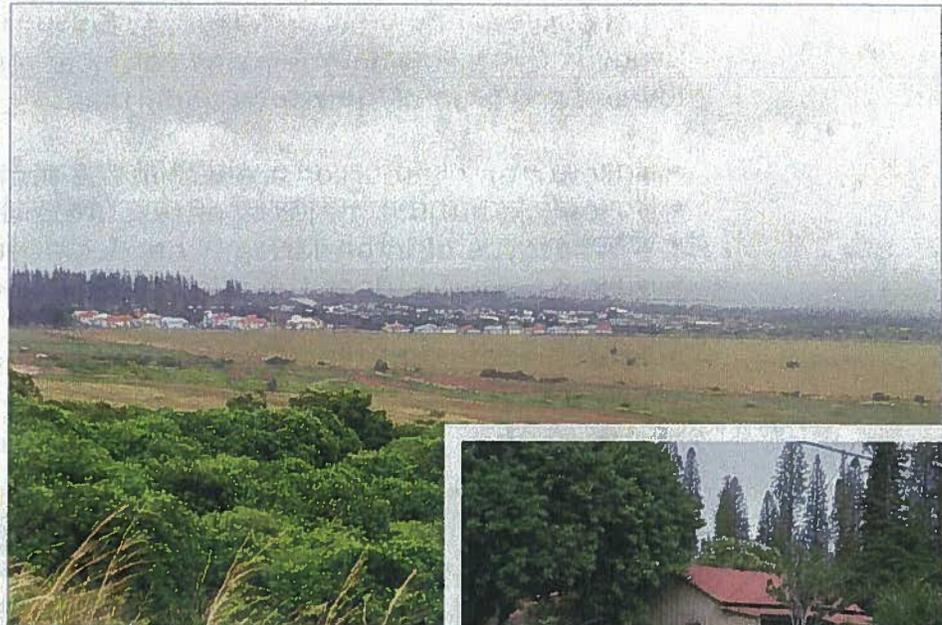
Information collected through a RLS should be assembled in a final paper report that should follow the Secretary of the Interior's Standards for Identification and Evaluation. It should be delivered to SHPD in digital form for inclusion in the State Inventory of Historic Properties.

B. Intensive Level Survey

The *Intensive Level Survey* (ILS) is a detailed look at a single resource and records in-depth information collected from a physical examination of a building's exterior and interior. It should include the results of research about the building's property and ownership history, and identify the resource's potential eligibility for the National Register either individually or as a contributing resource to a historic district.

Information collected through an ILS should include all types of information collected for an RLS but should also provide a nearly

complete basis for individual, historic district, and multiple property National Register nominations. ILS projects are generally informed by existing RLS work but in special circumstances can be undertaken without previous survey work.

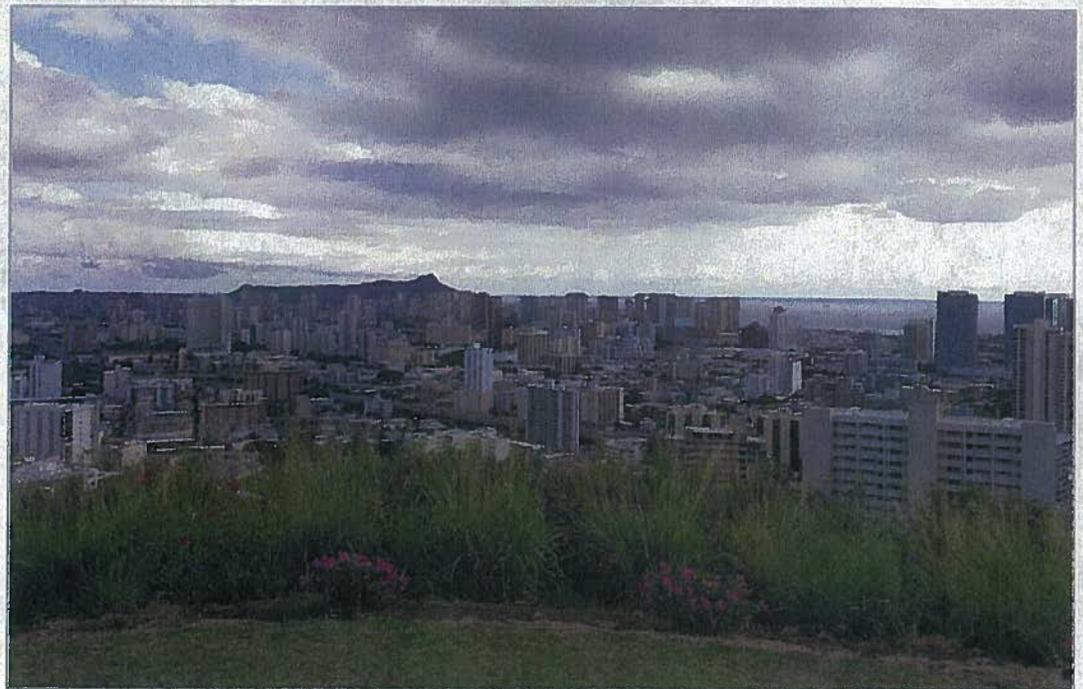


Choosing the Right Survey

Reconnaissance Level and Intensive Level surveys are both used for planning purposes but document different aspects of a resource's physical characteristics and history. Depending on the scope and schedule of a project, both a Reconnaissance Level and Intensive Level survey may be undertaken, but usually just one or the other is used. The following questions can help guide surveyors to the right level and type of survey to undertake:

- How many resources are within the project area?
- How old are the majority of resources within the project area?
- What type of information is needed about the resources?
- How definitive does the eligibility evaluation need to be?

After considering this question surveyors are invited to consult with SHPD staff to discern the best option.



Getting Started and Getting Done

Before undertaking a historic resource inventory you should complete and submit a Hawai'i Survey Proposal Form to SHPD. SHPD staff will respond to your proposal and make sure that it is on the path to meeting the Secretary of the Interior's Standards for Identification and that the surveyor understands how to collect data for inclusion in the State Inventory of Historic Places.

Upon approval SHPD will send the surveyor a copy of our data intake spreadsheet (See: *Completing in the Survey Spreadsheet*). This spreadsheet will list all of the requirements that the surveyor must meet in order to complete an approved RLS or ILS project.

Through fieldwork and other research, the surveyor will complete the spreadsheet for all properties. This spreadsheet will be submitted digitally to SHPD along with a folder of corresponding photos (which must be named following the guidelines in this manual). The submission must also include digital maps of the survey boundaries and of each surveyed resource; a geodatabase (See: *Standards and Guidance for the Creation of Cultural Resources Geospatial Data*); as well as a paper report that meets the Secretary of the Interior Standards for Identification and Evaluation.

Starting Off: The Survey Proposal

A survey proposal explains the survey project goals, methodology, timeline, personnel, funding, and expectations. Working with SHPD to create an acceptable proposal is a valuable opportunity for SHPD to assist local surveyors with their projects.

Prior to starting the project, you must submit a survey proposal to SHPD. The proposal should include the following items:

- **Project name:**
Provide the project name and names of those who will work on the project.
- **Statement of project objectives:**
Clearly define the purpose of the survey and cite to current knowledge about the history of the area and property types based on background research.
- **Boundary description and justification:**
Define the physical extent of the survey area and the amount and type of information to be gathered about the resources. Example objectives could include:
 - "to characterize the range of historic properties on an island;"
 - "to identify the number of properties associated with a context;" or
 - "to gather information to determine which properties in an area are eligible for the State and National Register."
- **Project timeline:**
Describe when the survey project will begin, when specific tasks will be completed (e.g. notification, fieldwork, data entry, etc.), and when final reporting will be completed.
- **Personnel and funding:**
Describe who will conduct the survey and that person's professional qualifications. If a surveyor has not yet been

identified, explain how and when the person will be selected. Explain if the survey is funded in whole or in part by the Certified Local Government program or any other grant program.

- **Geographic information:**

Provide a map clearly showing the boundary of the survey project area. A digital map file describing the boundary is requested with a survey proposal, but it is not required. SHPD prefers an ArcGIS Shapefile. SHPD can provide you with a blank ArchGIS shapefile and Geodatabase. While a Google Earth KMZ file is not the preferred file-type, it is also acceptable. Digital maps are required with your final submission to SHPD (See: *Standards and Guidance for the Creation of Cultural Resources Geospatial Data*).



The Reconnaissance Level Survey

The process in more detail

The Reconnaissance Level Survey (RLS) is the basic survey level to identify, document, and report historic resources. Reconnaissance Level Surveys document specific physical information and eligibility evaluations for all individual resources within the survey area, and document preliminary historical background information about the survey area. This information is reported and recommendations are provided in the document for future survey work in the State Inventory of Historic Places. The purpose of a RLS is to provide local governments, agencies, SHPD and the public with a baseline of data about historic and non-historic resources within a defined area.

A. Types of Reconnaissance Level Surveys

There are two types of Reconnaissance Level Surveys:

1. *Standard Reconnaissance Level Survey*

This type of survey examines every resource within a survey project area, regardless of the age of the resource. Use a Standard RLS if:

- the level of information needed for each resource is minimal;
- only preliminary eligibility evaluation of each resource for the National Register is needed;
- only two photos of each resource are needed.

2. *Selective Reconnaissance Level Survey*

Examines only resources within the survey project area that are 35 years old or older. Use a Selective RLS if:

- the survey project area contains more than ten resources;
- the survey project area contains a majority of resources less than 30 years old;
- a minimal level of historical background information is needed for the survey area;

- a minimal level of information is needed for each resource;
- there is a very specific resource type or age that is threatened within a small geographic area;
- only a preliminary eligibility evaluation of each resource for the National Register is needed;
- only one photo of each resource is needed.

B. Doing your Reconnaissance Level Survey

1. Determine the survey area

The area studied in a Reconnaissance Level Survey can be defined by several factors. When review and compliance is the catalyst for a survey a project's area of potential effect often defines its boundaries. Community driven surveys are often bound to a particular neighborhood, area, development or political jurisdiction.

Establish a survey area in consultation with SHPD or a qualified professional to ensure that all potentially eligible historic resources are included. For very large survey areas, such as an entire island, a project may be done in several phases as resources and funding allow. When projects are phased it is often best to divide them into smaller, nearly independent, survey units.

2. Background research

Background research must be done before fieldwork may begin. An initial orientation visit is encouraged but it is important to research a site before collecting data. This research will provide the necessary context for surveyors to understand the resources they encounter in the field. Early background research will also form the basis of the narrative history section that must be included in an RLS project's final paper report. Potential background sources include newspapers, photo archives, tax records, and secondary sources like books and journal articles. As with any history project, the sources will be defined by the subject matter. It may also be useful to examine the files SHPD maintains in its correspondence archive and project library.

3. *Creating a property list*

It is often useful to go into the field with a list of basic information about each property. This list should include addresses, tax map key (TMK) numbers and even property ages for every property within your project's boundary.

For projects on O'ahu, surveyors can consult the Honolulu Land Information System (HoLIS) at: <http://gis.hicentral.com/FastMaps/ParcelZoning/> to easily search for a list of TMK numbers within a survey boundary. On the neighbor islands county-planning departments may be able to assist in compiling this information.

4. *Fieldwork*

Fieldwork and recordation is the main component in identifying and evaluating resources within a survey project area during a Reconnaissance Level Survey. For an RLS project fieldwork should be conducted only in public right-of-ways. It is important that field data is collected in a rigorous and systematic way. Surveyors should go into the field with a plan to ensure that no resources are missed. For each resource surveyed, specific information is collected and at least one photograph must be taken. This data can be collected directly into the survey spreadsheet or by using a data collection application such as ArcGIS Online, RuskinARC or Fulcrum using a laptop or tablet device. Alternatively, data can be collected by hand and entered into the survey spreadsheet after fieldwork.

5. *Photographs*

A digital photograph of every resource within the survey project area is required for Reconnaissance Level Surveys:

- Take as many photos of each resource as you need to identify materials, style, and make an eligibility evaluation. If an outbuilding, such as a garage, is present, try to include it in a photo of the main resource if feasible.

- Take photos with a resolution of at least 1600 x 1200 pixels; a higher resolution means the photo will have more detail and specific features of a resource will be more easily identified. We will accept photos in TIF, JPEG, PNG and RAW format.
- Remember that you will not submit all your survey photos, only 2 photos per resource will be entered into the State Inventory of Historic Places. If there are multiple resources on the property, such as a house and outbuilding, then more photos can be attached of those additional buildings.
- Photos should be named to correspond with each resource's project ID (see *Completing the Survey Spreadsheet* for more information). For instance: *2013_Kahuku_Plantation_Photo_1*

6. *Final reporting*

Once the fieldwork and survey spreadsheet have been completed, a final "paper" report must be completed. The final report provides a brief historical overview of the survey project area, a summary of the survey data as well as recommendations for Intensive Level Surveys, possible State and National Register nominations, potential historic districts and other preservation activities.

This information is followed by a series of data sheets with data collected, year built and a preliminary determination of eligibility for each resource surveyed. The exact formats of these data sheets are at the discretion of whoever prepares the report.

The final report must be printed and delivered to SHPD for review. SHPD can either accept the report as is or ask for specific changes and corrections.

For Reconnaissance Level Surveys, submit a final report with the following items:

- ***Project Name:***

Provide the project name, the names of those who participated in the project, their qualifications and the name of any sponsoring organization.

- ***Statement of project objectives:***

This section can be re-stated from the Survey Proposal.

- ***Methodology:***

Provide a description of field methods, including any problems or obstacles encountered during fieldwork, and if or how the methodology changed during the survey process, noting any inconsistencies or omissions. Decisions to change methodology should not be taken lightly as they can invalidate previous research. It is best to consult SHPD before making major changes in the middle of a project.

- ***Boundary explanation and justification:***

This section can be re-stated from the survey proposal if the boundary has not been changed. If the boundary was altered during fieldwork, say to include similar resources nearby, please provide a thorough explanation of the circumstances that required the change.

- ***Setting:***

Describe the natural and built environment, addressing the urban or rural character of the survey project area.

- ***Historical overview:***

Provide brief background research and history for the survey project area. This should be at least a couple of paragraphs in length. Enough information should be provided to give later researchers and SHPD staff a complete picture of your background research.

- **Data summary:**

Describe the results of the survey, including the types of resources identified during the survey. Note specific, representative resources where appropriate, as well as common types of alterations/additions, common plan types, etc. SHPD recommends that this section include both a narrative section and statistical sections with charts and graphs.

- **Recommendations:**

Provide recommendations for future survey and preservation work, such as identifying specific resources for Intensive Level Surveys, potential individual, historic district, or multiple properties eligible for a State or National Register, good candidates for rehabilitation, possible public education opportunities, etc.

- **Bibliography:**

Include full citations for all primary and secondary materials referenced, including books, maps, archival documentation, oral histories, etc. Citations and bibliographies must be in the *Chicago Manual of Style* format.

- **Data Sheets:**

This is a list of resources surveyed with, at the very minimum, each property detailed with its estimated year of construction and a preliminary determination of eligibility. For smaller surveys which include fewer resources, SHPD may request an individual page for each surveyed resource, with a photo for of the resource and all information collected.

- **Maps:**

Survey maps must include building footprints, preliminary eligibility determinations, a north arrow, and a key. SHPD suggests using the digital map that is required with all survey project submissions as the basis for the final report map. It

may be necessary to include several smaller detail maps to completely communicate the data collected by surveyors in the field.

- **Other materials:**
Include other materials, such as historic maps, photos, or historical documentation, if desired.



Intensive Level Survey

The process in more detail

The Intensive Level Survey (ILS) is designed to provide a high level of documentation for specific historic resources. This documentation includes research into the history, events, and people associated with the resource, looking primarily at such facts as dates, building development, builders or architects, and biographical data of previous owners and tenants. It also includes more specific information about the condition and physical aspects of a historic place. Information gathered through an ILS is recorded in the State Inventory of Historic Places (SIHP).

Intensive Level Surveys are often conducted on historic resources identified through a Reconnaissance Level Survey (RLS). The purpose of an ILS is to provide governments, agencies, SHPD and the public with detailed and verifiable information about specific historic resources. In addition, information collected through an ILS provides a solid basis for individual, historic district, and multiple property State and National Register nominations.

I. Determine resources to survey

Identify resources to survey based on the survey project goals and the recommendations of previous Reconnaissance Level Surveys (RLS), other documentation, or prior knowledge. Conducting an Intensive Level Survey is appropriate for:

- *Further documentation:*
To document the history of a resource and definitively assess its eligibility for the State and National Registers.
- *Potential individual designation:*
To document the history of a resource and assess definitively its eligibility for the State and National Register.
- *Potential historic district designation:*

To document the history of several resources within the proposed historic district boundary to add specific building, event and occupant histories representative of the historic district. Choose resources that best represent the reasons for which the historic district is important using the *National Register Criteria for Significance*.

- *Potential multiple property designation:*

To document the history of several resources within the proposed multiple property boundary to add specific building, event, and occupant histories representative of the multiple property theme. Choose resources that best represent the reasons for which the multiple properties are important using the *National Register Criteria of Significance*.

- *Compliance-driven documentation:*

To document the history of a resource and assess definitively its eligibility for the State and National Register within the project area or collect data on properties as mitigation for an adverse effect to an associated property.

II. *Fieldwork*

Fieldwork and recordation is just as important as background research into the resource's history for an Intensive Level Survey. Surveyors will visit each resource identified to document specific location, physical, and architectural features. In addition, several photographs of the resource should be taken and field site and floor plans must be prepared.

A. Survey spreadsheet

For Intensive Level Survey both the RLS and ILS page of the survey spreadsheet must be completed in their entirety (see *Completing the Survey Spreadsheet*). ILS projects also require that the Hawai'i State Intensive Level Survey Form be completed.

B. Collecting physical and architectural information

An Intensive Level Survey provides a permanent record about a resource and acts as an aid in evaluating its historical integrity and eligibility for registration. Visit each resource identified for an intensive survey to document specific location, physical, and architectural features. Surveyors must examine the building in more detail and make important observations about such features as its exterior and interior spatial relationships, layout, building materials, and construction methods. These observations will help the surveyor become familiar with the resource's historic integrity and history.

C. Taking photographs

- At least four photos of the resource are required for an Intensive Level Survey. Photos should include at the *very least* a photo of each elevation of the property.
- Take as many photos of the resource as needed to identify materials, style, etc., correctly, and make an eligibility evaluation. Take additional photos of any outbuildings on the property.
- Take photos with a resolution of at least 1600 x 1200 pixels; a higher resolution means the photo will have more detail and specific features of a resource will be more easily identified. We will accept photos in TIF, JPEG, PNG and RAW format.
- Attach all photos to the survey spreadsheet following the name conventions described in the section *completing the Survey Spreadsheet*. For example: 2013_Tripler_ILS_Photo1.jpeg

D. Creating measured drawings

Measured drawings provide another way to understand a historic resource better. The act of drawing a resource is one of the best ways to become intimately aware of resource's smallest details. Two common kinds of measured drawings are: 1) site plans, which show a resource in relation to its immediate surroundings, and 2) floor plans, which illustrate the spatial arrangement and physical dimensions of a resource.

- **Site Plan:**

A site plan shows the layout of an entire property. It is especially useful in rural settings where there may be many outbuildings, fences, ditches, etc, associated with a historic resource. It is not necessary to measure the entire property to draw a site plan. The drawing does not need to be to scale. Use a large piece of graph paper to help make mapping easier and more accurate. First, sketch the resource, outbuildings, and any notable features such as large trees, gardens, or fences, trying to be as accurate as possible in positioning the resources. Next, add positions and approximate overall measurements for each resource and feature. Lastly, ensure the site plan has a north arrow, surveyor name, date, and scale.

- **Floor Plan:**

A floor plan shows the spatial relationships and physical dimensions of a resource. A floor plan should show room arrangement, locations of windows and doors, and wall thickness, if possible. Use a large piece of graph paper to help make mapping easier and more accurate.

First, record a preliminary overall measurement of the width and depth of the resource to help proportion rooms, doors, windows, and other features so that the field sketch is reasonably to scale. Next, take "running" measurements, which run continuously from start to finish, of the resource. Measure the exterior of the resource first, then the interior. Also, take overall measurements of the depth and width of all rooms. Lastly, ensure the floor plan has a north arrow, surveyor name, date, and scale.

Paper copies of the site plan and floor plan should be included in a paper final report detailing the project. Digital copies should also be made available. The files should be detailed in the survey spreadsheet and named appropriately. For example: *2013_Tripler_ILS_Site_Plan_1*.

Completing the Survey Spreadsheet

The survey spreadsheet is the primary way you will transmit survey data to SHPD. You must fill out the spreadsheet correctly and completely. This will ensure that survey data meets the Secretary of the Interiors Standards; it will also allow SHPD to easily add your data to the Hawai'i Statewide Inventory of Historic Places. You are free to collect the data in whatever way you find most efficient, but you *must* complete the spreadsheet correctly before submitting it to SHPD.

Choose a name for your survey

Choose a long form and a short form name for the project; both are required. Be consistent. Use the same name in all documents. The short form name you choose will determine the filename conventions for all photos and other such data that you submit. See the instructions below, for Column 1.

Decide what level of survey you will do

To complete a Reconnaissance Level Survey, you must only fill in the first 21 columns of the survey spreadsheet. If you plan an Intensive Level Survey, you must do more research and you must fill in all 30 columns in the survey spreadsheet.

The first 21 columns: required for both Reconnaissance and Intensive Level surveys

1. Project ID

Name each individual resource surveyed with a unique project id that begins with the year followed by the project's short name and followed by a number.

For example:

2013_KahukuPlan_1

If a number of resources are closely related, such as farm buildings that all share one TMK, you may add a letter to the number to create a group. For example

2013_KahukuPlan_1a

2013_KahukuPlan_1b
2013_kahukuPlan_1c

2. Photos

Name photos using the Project ID and a photo number. Write down the entire filename, for example:

2013_KahukuPlan_1_photo1.jpeg

3. TMK

Input the entire Nine-digit tax-map-key (TMK) number. The first digit should be the county number. A properly-formed TMK number looks like this:

12100315

If you encounter 8 digit TMKs, they will usually be lacking the country number. You can add that yourself, to the beginning of the TMK. The county numbers are:

- City and County of Honolulu: 1
- County of Maui: 2
- County of Hawaii: 3
- County of Kauai: 4

4. Address

Enter the street address. You must include the nearest Census Designated Place. You should not enter the name of the state. Do not include Hawaiian diacritical marks or commas. For example, you would type:

2323 Wilder Street Kapaa

5. Year built

The four digit year of construction. You can find this date in the county property tax information databases.

6. Number of stories

The number of stories in the surveyed building. You can note half-stories as well as full stories. A half-story is defined as a habitable space that is defined by the building's roof shape. A whole story is typically a finished and orthogonal space. Half stories should be denoted with a ".5" after the number of full stories. For example, the numbers of stories might be given as 1.5.

7. Condition

Classify the general condition of the building as excellent, good, fair, or poor, using these one-letter codes:

- Excellent: E
- Good: G
- Fair: F
- Poor: P

Contact SHPD for a matrix that provides standard definitions to these terms.

8. Foundation type

Describe the foundation type using standard terms provided by SHPD. Note that your descriptions must be perfectly consistent, down to the letters and spacing. This is the only way to ensure that the data will integrate with the state's larger database of historic resources.

9. Primary cladding

Describe the exterior cladding using standard terms provided by SHPD.

10. Secondary cladding

Describe any secondary exterior cladding visible on the resource. Again, be sure to use standard terms provided by SHPD.

11. Framing

Describe the framing of the building. Use standard terms such as single wall, double wall, etc.

12. Roof style

Describe the primary roof style, using standard terms.

13. Roof material

Describe the roof material. Use standard terms.

14. Primary window type

Many buildings have several types of windows. Describe the most prominent window type in this column. If there is no visually dominant window type, describe the most common window type. Specify only *one* type.

15. Secondary window type

This column is optional. If there is a predominant secondary window type, describe it here, using standard terms. Specify only *one* type.

16. Building features

Describe salient features physically attached to or part of the building that are not mentioned elsewhere. Examples: attached carport, lava-rock detail, integrated garage, cresting, decorative rafter tail, etc. If there is more than one feature that merits description you may insert up to two more columns for *Building features*. Describe only *one* item per column.

17. Site/Landscape features

Describe salient features that are not physically attached to the building and not noted elsewhere in the spreadsheet. Examples: lava-rock walls, sheds, sculptures, plazas, etc. If there is more than one feature that merits description you may insert up to two more columns for *Site/Landscape features*. Describe only *one* item per column.

18. Integrity

Describe the historic integrity of the resources as excellent, good, fair, or poor. Use the letter codes given below:

Excellent: E

Good: G

Fair: F

Poor: P

For more information on how to assess a building's integrity, see Chapter VIII of *How to Apply the National Register Criteria for Evaluation*, published by the National Park Service.

19. Eligibility

Make a preliminary determination of the resource's eligibility for the State or National Registers of Historic Places. Use the following codes:

ES (Eligible/Significant)

Record "ES" when a resource appears to be eligible for the State or National Register of Historic Places (individually, not as contributing resource to a district).

EC (Eligible/Contributing)

Record "EC" when a resource appears to be eligible as a contributing resource to an actual or potential State or National Historic District. If a resource is described as eligible/contributing, the corresponding district must be described in the paper report. The report must include a brief statement explaining the significance; it must also describe the district boundaries. This existing or potential district must also be described in the Grouping/District column (Column 21).

NC (Not Eligible/Not Contributing)

Record "NC" when a resource does not possess the integrity to be eligible for the State or National Register of Historic Places. This code is appropriate only for structures that have lost integrity.

NP (Not Eligible Out of Period)

Record "NP" when a resource is not yet 35 years old or older and when it does not have great significance as described in Criteria Consideration G in Section VII of How to Apply the National Register Criteria for Evaluation

UN (Undetermined)

Record "UN" only when the resource could not be located, was obscured by vegetation, or was too distant to evaluate from the public right-of-way. All resources marked "UN" must be accompanied by a detailed explanation as to why a determination could not be made. Describing resources as "UN" should be done sparingly. SHPD may choose not accept reports in which too many resources are marked as undetermined.

XD (Demolished)

Record "XD" only when a resource that was previously surveyed is no longer present at the site. All notations of "XD" must be accompanied by supporting documentation illustrating that the resource has indeed been destroyed.

20. Criteria of significance

If you believe that a resource is eligible, name the criteria that led you to make this determination. Use the National Register criteria, as described in *How to Apply the National Register Criteria for Evaluation*, published by the National Park Service. Enter only the letter for the criterion (A, B, C or D). If more than one criterion apply, list the applicable letters. Put a comma and space between letters. For example: A, C.

21. Grouping or district

If the resource is included in a State or National Register District or Multiple Property Nomination, put the name of the resource group or district in this column. If you believe that the resource should be included in a potential district or potential multiple property grouping, enter the name you have assigned to this district. The final report you submit to SHPD must contain a separate document with a brief description of the potential district and a justification for your claim of significance.

22. Style

Use SHPDs standard terminology. SOI qualified architectural historians should be familiar with most of the nomenclature in SHPDs standard terms. Contact the office for clarification if it is needed. You define more specific classifications for buildings but be consistent and use standard terms that can be cited elsewhere. Any style classifications new style classifications proposed must come with brief definition in the paper report. Please consult with SHPD when proposing new style classifications and descriptions. "Other" is an acceptable entry but should be used very sparingly. Simply describing resources as vernacular is not acceptable.

The last 8 columns, required only for the Intensive Level survey**23. Current name**

Enter the name of the property. If the resource does not have an official name, a combination of the owner name and resource type will suffice. For example: *Sakamoto Residence* or *Kaahumanu Elementary School*.

24. Historic name

Enter the name the property bore when it was first constructed or when it was historically significant. For example, the Kekuanaoa Building on Oahu was formerly known as the Territorial Office Building. "Territorial Office Building" would be entered in the historic name column. The paper final report should include references clearly establishing that this was indeed the name used for this property.

25. Current owner

Enter the name of the current owner of the property. You can find this information on the property tax database websites for each county.

26. Historic owner

Enter the name(s) of the owner or owners during the property's period of significance. The paper final report should include references clearly establishing that the property was owned by the named person or persons.

27. Architect/Builder

Enter the architect, builder, or developer of the resource. The paper final report should include references clearly establishing the names of the responsible person(s) or entities.

28. Site plan filename

The filename for site plans should follow the same format as the photos and include the extension. For example: *2013_Tripler_ILS_SitePlan.PDF*. Multi-page site plans should be saved as a single PDF.

29. Drawing filename

The filename for drawings should follow the same format as that used to name photos. Include the file extension. For example: *2013_Tripler_ILS_Drawings.PDF*. Multi-page drawings should be saved as a single PDF.

30. Research material filename

If a surveyor wishes to submit historic photos, drawings or other archival materials please combine them into a single PDF. The name of this PDF should follow the same conventions as used for other files. For example: *2013_Tripler_ILS_Research.pdf*.

Research

For the Intensive Level Survey, historical research is needed to uncover the facts of a resource's historically associated people and events. Histories of a resource, its uses and occupants should follow a chronological format, listing such details as the names of occupants, dates of events, and other information found through historical research. Each resource has its own research needs and different sources will need to be consulted depending on those needs. Sources that may be available to consult are listed below. The list is hardly exhaustive and surveyors are encouraged to be creative.

A. SHPD records

SHPD maintains a record for every project it reviews. These files are stored by TMK in the division's Kapolei Office and provide a SHPD preliminary determination of eligibility and a record of alterations made to the project. SHPD also maintains a library of legal documents and past reports that may be useful for your project.

B. Tax records

Tax records can reveal important information about a resource such as a description of structures, dates, and the evolution of a property over time. Portions of these records are available online for each county.

City and County of Honolulu

<http://honolulupropertytax.com>

County of Maui

<http://mauipropertytax.com>

County of Kaua'i

<http://kauaipropertytax.com>

County of Hawai'i

<http://hawaiipropertytax.com>

C. Bureau of Conveyances

The Bureau of Conveyances is located in the Kalanimoku buildings at 1161 Punchbowl Street in Honolulu. This office holds records of all land exchanges beginning with the Great Mahele of 1848. The information held in this office will reveal the owners of a given property through time.

D. City directories

These annual listings provide the names, addresses, and occupations of almost everyone in the county. They can be arranged alphabetically or by both name and address. Directories are useful in verifying when a house was built and whether the building was owner-occupied or rented. The headquarters of the State Library in Honolulu has the most complete set.

E. Newspapers

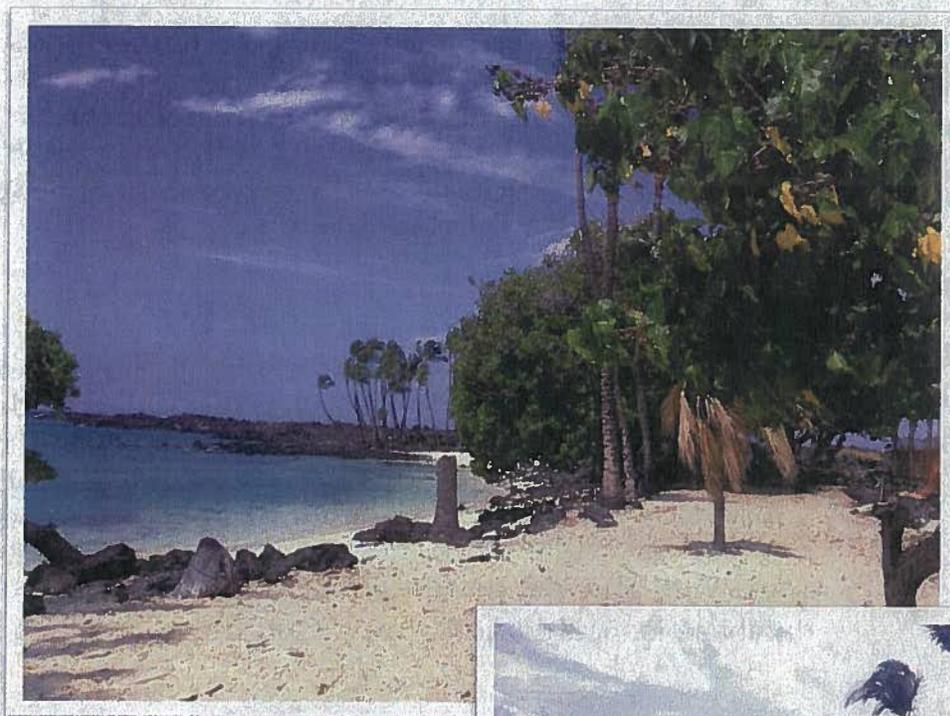
The State Library maintains an index of Hawai'i's two major newspapers. This index is organized by subject and is a good way to research past owners and major land transactions. Libraries in each county maintain a microfilm collection of these papers with complete articles. The Library of Congress maintains a database of newspapers from every state up to the 1920s. This database can be queried by keyword and is a powerful tool for researching older resources. This database is located at: <http://chroniclingamerica.loc.gov/>

F. Sanborn maps

These maps show each building on principal residential and commercial blocks and are coded to indicate construction materials. By comparing maps from different years, surveyors can establish an approximate date of construction and determine when and what types of changes have been made to the building and surrounding property. Incomplete sets of Sanborn maps are located at the Bishop Museum, The State Library of Hawai'i and at the University of Hawai'i at Mānoa's Hamilton Library.

G. Census/Manuscript census

Census schedules list each member of the household, dates of birth and marriage, occupations, etc. Census schedules are arranged by county and city and are available for each decade from 1850 to 1940. The easiest way to search this information is through subscription genealogy sites such as <http://ancestry.com>



Creating a Bibliography

An accurate bibliography is required for all surveys submitted to SHPD. Property citing sources will ensure that future researchers will be able to find previously located sources. While researching, it is important to keep detailed notes about the location of sources. Make sure to include full publication information, such as the author's name, publisher, date, and page numbers. For archival collections, make sure to include the collection's name, box number, folder number, and other useful information. SHPD requires that one of the standard reference formats described in *The Chicago Manual of Style* or *A Manual for Writers of Research Papers, Theses, and Dissertations* be used for all of its reports.

Submitting Your Work to SHPD

All survey submissions to SHPD require:

- "paper" final report;
- completed survey spreadsheet;
- a folder of photos named to correspond with each record in the survey spreadsheet;
- an ArcGIS shapefile or Google Earth KMZ file of the boundary and each resource surveyed following *Standards and Guidance for the Creation of Cultural Resources GIS*.

Intensive Level Survey projects should also include:

- *Site forms:*
Paper copies of completed ILS forms.
- *Measured drawings:*
Paper copies of final site plan and floor plan created from your field site plan and floor plan that include a title, north arrow, date, and key, if needed. The final drawings can be created by hand or using mapping or drawings software.
- *Photographs:*
Copies of original digital photos (at least 1600 x 1200 pixels and renamed) and one set of color prints of each resource. Label the back of each print with the resource name and description of view (e.g. "Sakamoto House, Mauka/North Elevation," etc.).
- *Other materials:*
Paper copies of any useful research materials, such as historic maps, photos, or archival documentation.

These materials may be submitted to SHPD via email to DLNR.HP.Intake@hawaii.gov or via regular mail with the required digital materials on a compact disk. Please include a version of the final report and all other documents in PDF form.

Recommended Reading

A. Pertinent National Register Bulletins

Ames, David L., and Linda Flint McClelland. 2002. *Historic residential suburbs: guidelines for evaluation and documentation for the National Register of Historic Places*. [Washington, D.C.]: U.S. Dept. of the Interior, National Park Service, National Register of Historic Places.

National Register of Historic Places. 1997. *How to apply the National Register criteria for evaluation*. Washington, D.C.: U.S. Dept. of the Interior, National Park Service, Cultural Resources].

National Register of Historic Places. 1999. *How to complete the National Register multiple property documentation form*.

[Washington, D.C.]: National Park Service.
<http://purl.access.gpo.gov/GPO/LPS47004>.

How to Complete the National Register Registration Form. US Department of the Interior, National Park Service, National Register of Historic Places, rev. 1997.

O'Donnell, Eleanor. 1991. *Researching a historic property*. [Washington, D.C.]: U.S. Dept. of the Interior, National Park Service, Interagency Resources Division.

B. Other resources

The Chicago Manual of Style. 16th ed. Chicago: The University of Chicago Press, 2010

Hibbard, Don, and Augie Salbosa. 2011. *Buildings of Hawaii*. Charlottesville: University of Virginia Press.

Seckel, Harry W. 1954. *Hawaiian residential architecture*. Honolulu: Bishop Museum Press.

Nishimura, Roland. 1977. "Traditional Japanese Architectural Influence in Hawaii" Issue 31 of *Theses for the degree of Master of Architecture, University of Hawai'i*.

Neil, J. Meredith. 1972. *Paradise improved; environmental design in Hawaii*. Charlottesville: Published for the American Association of Architectural Bibliographers [by] the University Press of Virginia.

Appendix A

Please contact the SHPD for an excel version of the following Terminology Spreadsheet

Foundation

- None
- Piles
- Slab on grade
- Stone Cast Stone
- Concrete Block
- Tofu Block
- Concrete Square
- Rock Pier
- Piles
- Other

Framing

- Steel
- Balloon
- Concrete
- Curtain Wall
- Masonry
- Single Wall
- Timber-Frame
- Platform
- Tilt-up Concrete
- Concrete Frame
- Concrete Block
- Concrete Shell
- Other

Windows

- Awning
- Casement
- Double Hung
- Fixed
- Glass Block
- Hopper
- Horizontal Slider
- Industrial Sash
- Jalousie
- Lancet
- Leaded
- None
- Palladian
- Picture
- Single Hung
- Stained Glass
- Store Front
- Canted
- Vinyl
- Pivot
- Other

Cladding

- Adobe
- Aluminum
- Board and batten
- Brick
- Brick Veneer
- Cast Iron
- Cast Stone
- Ceramic Tile
- Clinker Brick
- Concrete Block
- Concrete Panels
- Coral
- Glazed Brick
- Glazed Terra-Cotta
- Granite
- Hollow Clay Tile
- Horizontal Board
- Lava Rock
- Limestone
- Marble
- Masonite
- None
- Pigmented Structural Glass
- Poured Concrete
- Roman Brick
- Rug Faced Brick
- Sandstone
- Shake
- Shingle
- Slate
- Standard Brick
- Steel
- Stone
- Structural Glass
- Stucco
- Synthetic Stone
- Synthetic Wood Siding
- T-111
- Terra Cotta
- Vertical Board
- Vinyl Siding
- Composition Shingle
- Metal Screen
- Other

Roof Style

- Barrel Truss
- Clipped Gable
- Complex
- Conical
- Cross Gable
- Cross Hipped
- Dome
- Flat
- Front Gable
- Gable-on-hip
- Gambrel
- Half-Hipped
- Hipped
- Hip w/upturned Eaves
- Mansard
- Parallel Gable
- Parallel Hipped
- Shed
- Shikoro-yane
- Side Gable
- Other

Roof Materials

- Asphalt
- Board
- Cementious
- Ceramic Tile
- Concrete Tile
- Copper
- Corrugated
- Earth
- Fiberglass
- Rubber
- Wood Shake
- Shingle
- Slate
- Standing Seam
- Tar
- Terne
- Rubber Shake
- Tar Pitch
- Torchdown
- Other

Function

Domestic

- Single Dwelling
- Multiple Dwelling
- Secondary Structure
- Hotel
- Institutional Housing
- Camp
- Village Site

Commerce/Trade

- Business
- Professional
- Organizational
- Financial Institution
- Specialty Store
- Department Store
- Restaurant
- Warehouse
- Trade (Archaeology)

Social

- Meeting Hall
- Clubhouse
- Civic

Government

- Capitol
- City Hall
- Correctional Facility
- Fire Station
- Government Office
- Diplomatic Building
- Custom House
- Post Office
- Public Works
- Courthouse

Education

- School
- College
- Library
- Research Facility
- Educational Related Housing

Religion

- Religious Structure
- Ceremonial Site
- Church School
- Church Related Residence

Funerary

- Cemetery
- Graves/Burials
- Mortuary

Recreation

- Theater
- Auditorium
- Museum
- Music Facility
- Sport Facility
- Outdoor Recreation
- Fair
- Monument/Marker
- Work of Art

Agriculture/Subsistence

- Processing
- Storage/Outbuildings
- Field
- Animal Facility
- Fishing Facility or Site
- Horticultural Facility
- Irrigation Facility

Industry/Processing Extraction

- Manufacturing Facility
- Extractive Facility
- Water Works
- Energy Facility
- Communication Facility
- Processing Site

Health Care

- Hospital
- Clinic
- Sanatorium
- Medical Business/Office
- Resort

Defense

- Arms Storage
- Fortification
- Military Facility
- Battle Site
- Coast Guard Facility
- Naval Facility
- Air Facility

Landscape

- Parking Lot
- Park
- Plaza
- Garden
- Forest
- Unoccupied Land
- Underwater
- Natural Feature
- Street Furniture/Object
- Conservation Area
- Street Furniture/Structure
- Conservation

Transportation

- Rail-Related
- Air-Related
- Water-Related
- Road-Related
- Pedestrian-Related

Work in Progress

Unknown

Vacant/Not in Use

Other

Style

- Art Deco
- Arts & Crafts
- Beaux Arts
- Brutalism
- Chicago School
- Classical Revival
- Colonial Revival
- Contemporary
- Craftsman
- English Cottage
- Exotic Revival
- Federal
- French Second Empire
- Googie
- Gothic Revival
- International
- Italianate
- Mediterranean Revival
- Mid-Century Modern
- Minimal Traditional
- Modern Commercial
- Moderne
- Neo-Colonial
- Neo-Expressionist
- Neo- French
- Neo-Plantation
- Neo-Spanish/Mediterranean
- Neo-Territorial
- Neo-Tudor/English
- Neo-Victorian
- New Formalism
- Regional Modern
- Plantation Camp
- Plantation Style
- Post –Modern
- Queen Anne
- Renaissance Revival
- Romanesque
- Rustic
- Shingle Style
- Spanish Revival
- Stick
- Territorial Style
- Traditional Japanese
- Tudor Revival
- Utilitarian
- Other

Form

- 1-Part Block
- 2-Part Block
- 2-Part Vertical Block
- 3-Part Block
- 3-Part Vertical Block
- A-Frame
- Amphitheater
- Animal Pen
- Arcaded Block
- Barn
- Bungalow
- Quonset Hut
- Cape Cod
- Central Block w/Projecting Bays
- Central Block w/Wings
- Central Passage
- Commercial Court
- Commercial/Industrial Block
- Cottage Hui
- Courtyard Apartment
- Crosswing
- Crosswing – Center
- Crosswing – Double
- Crosswing – Half
- Dam
- Double Cell
- Double Pile
- Double-Loaded Corridor
- Drive-In Restaurant
- Drive-In Theater
- Dugout
- Duplex
- Enframed Block
- Enframed Window Wall
- Factory
- Foursquare (Box)
- Garage
- Hall-Parlor
- Linear
- Mobile Home
- McMansard
- Pair House
- Pond
- Projecting Gable Roof
- Ranch
- Rectangular Block
- Rounded Corner
- Salt Box
- Service Bay/Business
- Service Station
- Shed
- Shotgun
- Side Passage/Entry
- Single Cell
- Split Level
- Strip Mall
- Supermarket
- Temple Form
- Temple-Front Commercial
- Theater
- Walkup
- Warehouse
- Other

Condition

- Excellent
- Good
- Fair
- Poor

Integrity

- Excellent
- Good
- Fair
- Poor

Criteria

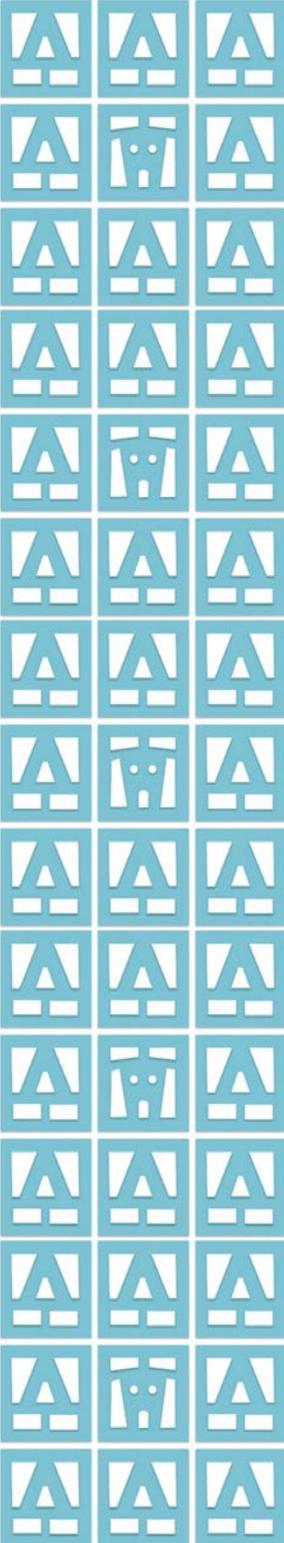
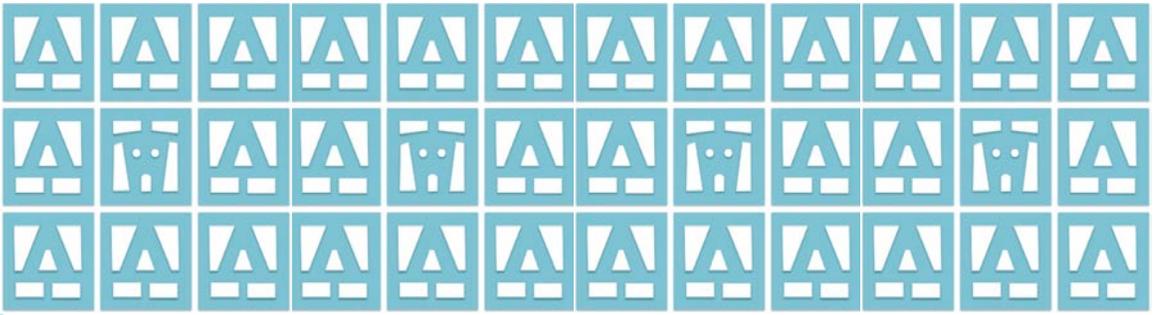
- A
- B
- C
- D

Eligibility

- ES = Eligible Individually
- EC = Eligible as a Contributing Resource
- NC = Non Contributing/Not Eligible Individually
- NP = Not Eligible/Out of Period
- UN = Undetermined
- XD = Demolished

SECTION 4

ARCHITECTURE BRANCH WORK PLAN



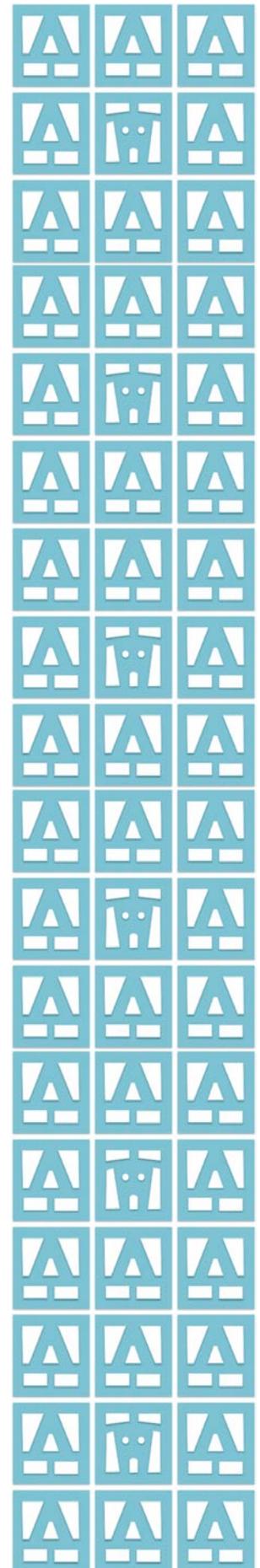
Hawaii State Historic Preservation Division **Architecture Branch Work Plan**

First Quarter State Fiscal Year 2015

PURPOSE & AUDITING

This document is a requirement of the National Park Service’s (NPS) Hawaii State Historic Preservation Division Corrective Action Plan 2 (CAP2). Its purpose is to strategically direct the time and activities of Architecture Branch positions. Adherence to this work plan will be tracked using Harvest Time Tracking Application. This makes it easy for staff to track their activities and use the resulting data to alter their activities and/or alter work plan expectations. This plan is for the 2015 State Fiscal Year (July 2014-June 2015). The Architecture Branch Chief will reassess and possibly revise this work plan quarterly taking into account changes in staffing and time-tracking data.

Screenshots of Architecture Branch Time Sheets

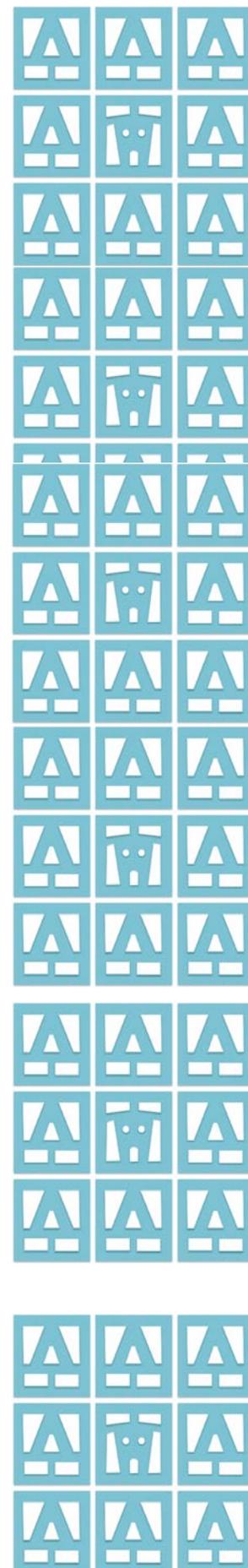


Staff Time

The Architecture Branch consists of four funded positions: three “Architectural Historians” and a supervisor called the Architecture Branch Chief. The Historic Preservation Grant Fund (HPF) Manual requires that, within these positions, there be individual staff members that meet the Secretary of the Interiors (SOI) Professional Qualification Standards for architectural historian and historian.

Currently the Architecture Branch is severely understaffed with only two positions; an SOI qualified historian who has been temporarily assigned as Branch Chief and an SOI qualified Architectural Historian, a former 89-day temporary position, who has just become a full-time staff-member. Another Architectural Historian has accepted an offer and will start in early June. Sometime in the upcoming fiscal year, either a new Branch Chief or Staff member must be hired. Quarterly updates to this plan will reflect and respond to the timeline for these changes as they become more clear.

At 40 hours a week each position has 2080 possible full time working hours. After taking into account mandatory holidays and discretionary leave this number is eroded to 1640 hours of guaranteed staff time per position. That means the branch has 6560 guaranteed hours when fully staffed and 3820 in the current, two-person, emergency conditions. This time must be divided between all of the HPF Grant Manual’s required program areas, state HRS § 6E review and administrative tasks. Broad descriptions of these program areas can be found in the 36 CFR Part 800, HRS § 6E and in the HPF Grant Manual. The State Historic Preservation Division’s (SHPD) specific plans to address each of these programs can be found in this document under the appropriate program area heading. A breakdown of how staff will expend time are as follows:



ARCHITECTURE BRANCH ANNUAL STAFF HOURS: 6560

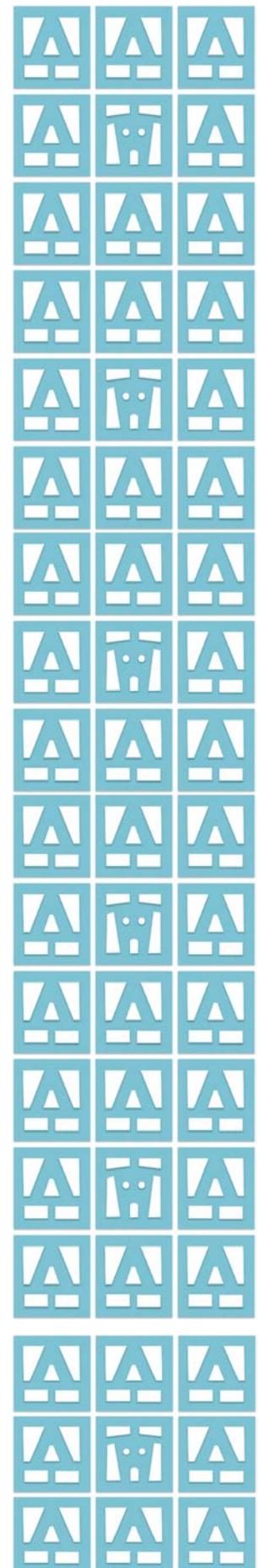
Program Area	Branch Hours Spent on Program	Percentage of Branch Time
HRS-6E Review	984	15%
Section 106	984	15%
Survey and Inventory	984	15%
National Register	984	15%
Certified Local Government	984	15%
Administrative and CAP	1312	20%
Tax Credit Program	328	5%

EMERGENCY CONDITIONS ANNUAL STAFF HOURS: 3820

Program Area	Branch Hours Spent on Program	Percentage of Branch Time
HRS-6E Review	692	21%
Section 106	592	18%
Survey and Inventory	200	6%
National Register	484	14%
Certified Local Government	492	15%
Administrative and CAP	656	20%
Tax Credit Program	164	5%

When fully staffed, the architecture branch will utilize its time evenly on each of the program areas listed. More time has been given to administrative tasks to account for training new staff. Only 5% of staff time will be expended on the Historic Tax Credit Program (HTC) because of the relative rarity of these projects in Hawaii. In the past two years SHPD has only reviewed two of these projects. Time from this category that is not expended directly on the review of HTC applications will be used to create a community education module to promote the use of tax credits in Hawaii.

During emergency conditions, while the Architecture Branch only has two staff people, time will be divided nearly evenly with a slight preference away from survey and inventory and toward HRS6E reviews. The Architecture Branch understands that survey and inventory is the backbone of everything a SHPO does. The current architecture staff values survey and knows that is impossible to target SHPD resources; make legally defensible review and compliance decisions; advise our CLGs effectively; or efficiently identify tax

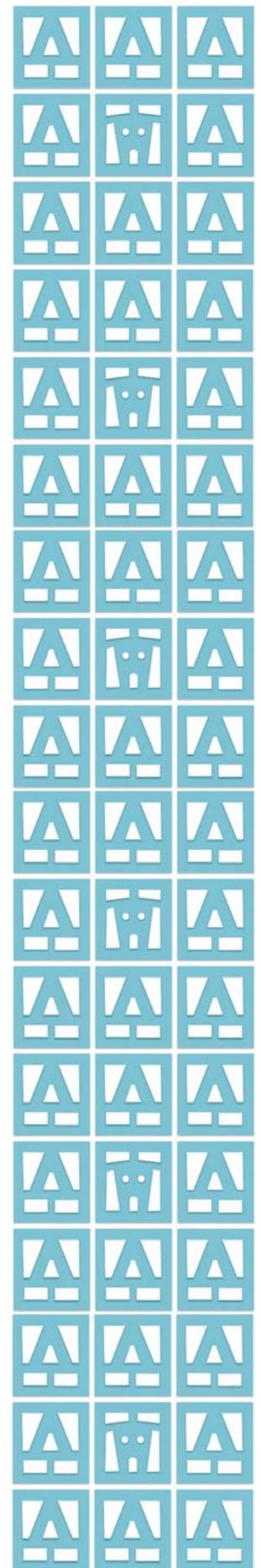


credit projects without a comprehensive inventory of Hawaii's historic places. Unfortunately, while the branch has only two permanent employees we must triage our time. The Certified Local Government Program, HRS § 6E Review; the review of nominations to the National Register and even review of HTC applications come with built in timelines, and in the case of the Certified Local Government, come with financial penalties for lack of compliance. The extra 5% of staff focus will be spent to ensure that permit reviews are conducted in an efficient and timely manner. It will also be used to allow time for architecture staff to set up a working group to create a set of priorities for local review by eliminating some unnecessary categories of properties and projects.

Expending staff time across program areas equally corrects the current imbalance between state and federal program areas. While HRS 6E review is an important and allowable function under HPF rules, better attention must be paid to the traditional SHPO responsibilities. In the recent past, the Architecture Branch spent 80% of its staff time on the review of county building permits. Though this more equitable distribution of time will require aggressively cutting back on permit reviews it will create a healthier, more proactive system for the management of Hawaii's built heritage. All our program areas are inter-related and mutually supportive. All of them must be fully functioning for the needs of any one-program area to truly be addressed.

When fully staffed, an individual staff person's time utilized on each program will not be even. The distribution of time on for each program is designed to be modular. Each program area will have a lead staff person. The program area leads will focus the majority of their time performing the regular duties and organizing special projects within their area of responsibility. Most positions will have two lead areas of responsibility. The CLG lead will spend a larger majority of their time on their area of responsibility to allow enough time to properly build capacity in the CLGs. The other areas of responsibility will be combined into positions based on the skills of new permanent staff.

All staff members will spend equal time on three special projects. These projects will be undertaken to build staff capacity, increase staff morale, address SHPD obligations dictated by the Hawaii State Historic Preservation Plan, supporting increased awareness of historic preservation and to address critical research needs. These projects are described in more detail in the survey and inventory program area section of this document.



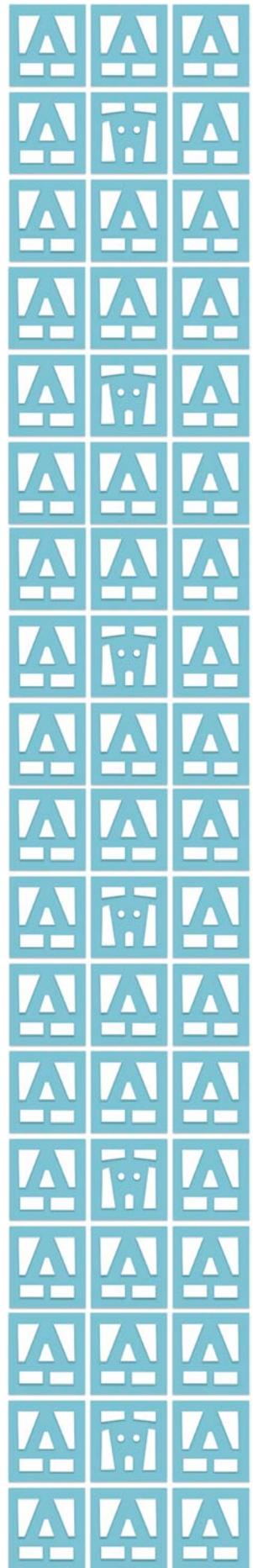
SAMPLE BREAK DOWN OF ANNUAL HOURS BY POSITION:

Program Blend:	Branch Chief-Admin / NR Lead	CLG Lead	106/ Tax Credit Lead	6E/ Survey Lead
	<u>Special</u>	<u>Projects</u>	-	-
RLS Project¹	50	50	50	50
ILS Project²	25	25	25	25
NR Project	25	25	25	25
	<u>Regular</u>	<u>Work</u>		
Survey and Inventory	50	276		358
Section 106	142	10	702	130
6E	134	10	138	702
Administration and CAP	562	250	250	250
National Register	584	100	100	100
Tax Credits	18	10	300	
CLG Program	50	884	50	

BREAKDOWN OF ANNUAL HOURS WHILE IN EMERGENCY CONDITIONS WITH TWO STAFF

	<u>BRANCH CHIEF</u>	<u>ARCHITECTURAL HISTORIAN</u>
<u>SURVEY AND INVENTORY</u>	<u>100</u>	<u>100</u>
<u>SECTION 106</u>	<u>346</u>	<u>346</u>
<u>6E</u>	<u>246</u>	<u>346</u>
<u>ADMINISTRATION AND CAP</u>	<u>375</u>	<u>281</u>
<u>NATIONAL REGISTER</u>	<u>346</u>	<u>138</u>
<u>TAX CREDITS</u>	<u>82</u>	<u>82</u>
<u>CLG PROGRAM</u>	<u>145</u>	<u>347</u>

¹ RLS – Reconnaissance Level Survey
² ILS – Intensive Level Survey



PROGRAM AREA ACTIVITIES

The following is a breakdown of what specific tasks will be required of staff:

SURVEY AND INVENTORY

Full Architecture Branch Hours: 948 Hours / 15% of staff time

Emergency Conditions Hours: 200 Hours / 6-7% of staff time

Regular duties include; *Review of survey reports and data as submitted.*

5 Priorities

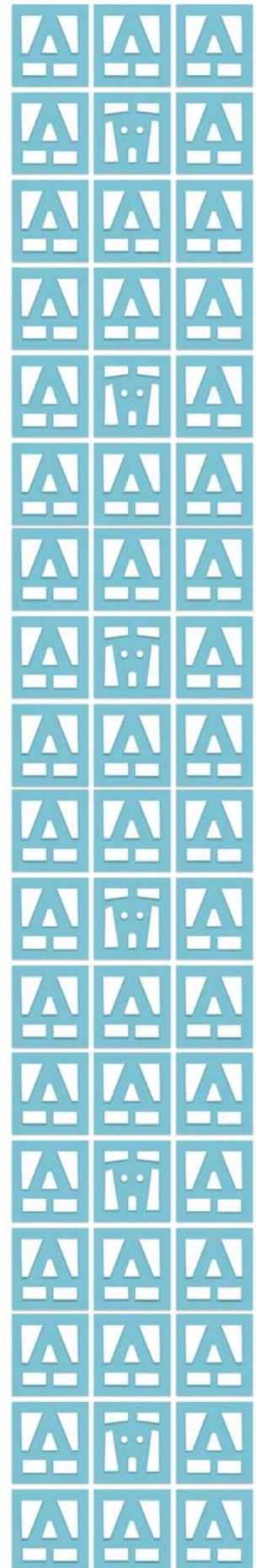
1. Consult with IT Manager on the creation of a coherent, standardized and accessible inventory database.
2. Train contractor pool on how to use state guidelines.
3. Work through Section 106 and HRS 6E to use review and compliance process to drive survey and inventory.
4. Identify, analyze and prepare legacy data for integration into future inventory database.
5. Facilitate research on areas of critical need and undertake special projects that address these needs through special RLS, ILS and National Register Projects.

Emergency Plan Activities

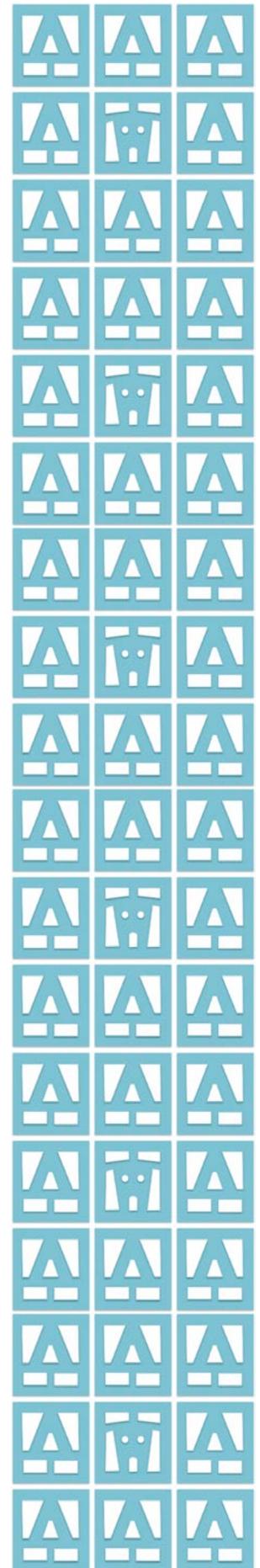
- **Architecture Branch Chief**
 - Lead discussions with IT Manager regarding creation of an inventory database
 - Final review for survey projects as submitted
- **Architectural Historian**
 - Contribute to discussions with IT Manager regarding the creation of an inventory database.
 - Review survey reports and data as submitted
 - Begin process of identification of legacy data for inventory database.

Regular Architecture Branch Staff Activities

- **Architecture Branch Chief**



- Lead discussions with IT Manager regarding creation of an inventory database
- Final review for survey projects as submitted
- Assist Survey and Inventory and CLG leads with management of reconnaissance and intensive level survey projects.
- Assist Survey and Inventory Lead with efforts to identify and integrate legacy data into SHPDs inventory database.
- Survey and Inventory Lead
 - Contribute to discussions with IT Manager regarding the creation of an inventory database.
 - Review survey reports and data as submitted
 - Identify and gather legacy data for inventory database
 - Create plan to analyze and prepare legacy data for integration into inventory database. This partially fulfills state plan items 2.1.4 and 2.1.5
 - Work with National Register Lead to create a list of unlisted but eligible properties that are publically owned. This list will be used to inform future National Register projects by staff. It can also be distributed to other agencies to assist with their 106 and 6E Responsibilities.
 - Act as coordinator for reconnaissance level survey (RLS) project, assign staff roles and create plan for project completion.
 - Work with GIS specialist to create training presentation for local architecture and history consultants explaining GIS requirements, RLS methodologies and survey guideline expectations.
- Certified Local Government Lead
 - Act as coordinator for intensive level survey (ILS) project, assign staff roles and create plan for project completion.
 - Promote survey projects among the CLGs and assist with reviewing survey reports funded by the CLG grant program.
 - Identify inventory capacity and needs for each of the counties. Work with survey and inventory lead and GIS specialist to increase accessibility to CLG program required county historic resource inventories.



ARCHITECTURE BRANCH SURVEY PLAN

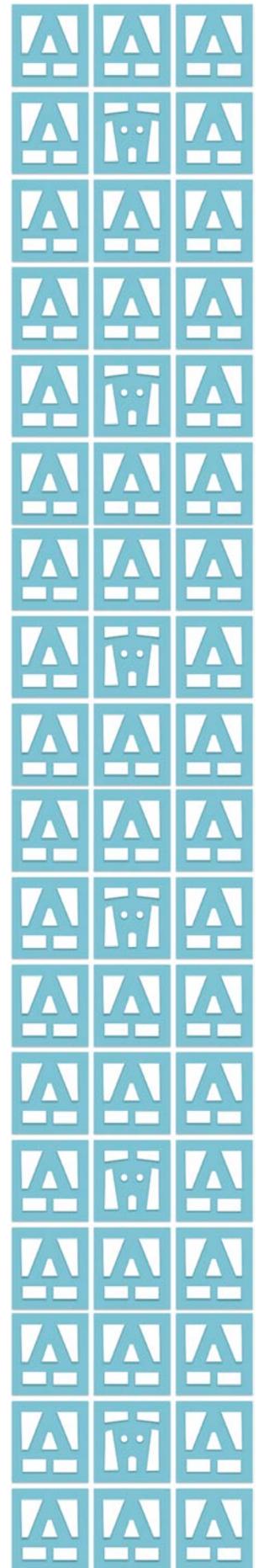
The NPS CAP2 requires that the Architecture Branch Chief articulate a plan for survey activities including methodology, strategy, justification and research design. The following section attempts to address this obligation from within the framework of the Architecture Branch Work Plan. In recent years the architecture branch has neglected its responsibility to assist SHPD in maintaining and expanding a comprehensive inventory of historic properties. As stated in previous sections of this document, neglect of this responsibility impacts all of the branch's other program areas. Reversing this trend is one of the Architecture Branch's main priorities and will be for at least the next two years. The branch will reengage with Survey and Inventory and ensure the state maintains a comprehensive inventory of architectural properties through 5 key tasks noted in the work plan.

Identification, analysis and preparation of legacy data for integration in SHPD's inventory database.

In order to effectively target future resources toward Survey and Inventory, the Architecture Branch must have a clear picture of what survey work has already been completed. Graduate students, consulting firms and government agencies have recently completed several surveys. These include:

- Lanai City
- Kaunakakai
- Lahaina Resurvey
- Bingham Tract – Honolulu
- Kapahulu Commercial Corridor
- Kaka'ako Redevelopment Area
- Honolulu Rapid Transit Right of Way
- University of Hawaii Manoa Campus
- Public Housing on Oahu
- 11 Postwar Subdivisions on Oahu
- Wahiawa Census Designated Place
- Honolulu Chinatown
- Kauai Historic Resource Inventory Update

Together these represent thousands, likely tens of thousands, of resources that have already been assessed by SOI qualified researchers. Other surveys certainly exist, especially the archives of the University of Hawaii Historic Preservation (UH HP) program. Before the end of 2014, Architecture Branch staff must set about accounting for all of this work by contacting each of Hawaii's architecture consulting firms, the UH HP Program, federal agencies



and large developers to create an inventory of survey projects that are not currently represented in SHPD files. In addition to these external sources of inventory data, SHPD houses roughly 130 linear feet of site files, which represent nearly 8500 separate structures.

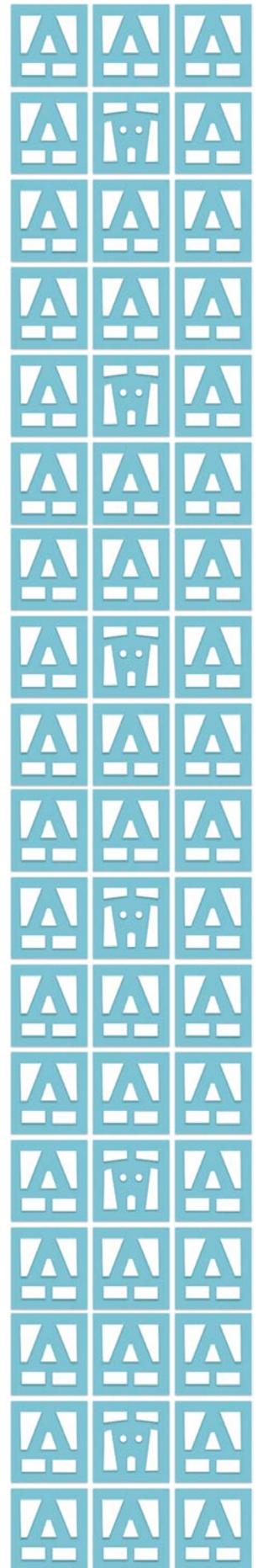
Once a complete inventory of existing survey information is established, staff must set about analyzing the accuracy and usability of the work. Projects meeting SOI standards for Evaluation and Identification of Historic Properties will then be processed for inclusion in the State Inventory of Historic Places. This will be achieved by formatting project data to comply with the *State Guidelines for the Inventory of Historic Architectural Properties*. The inclusion of existing SOI qualified data into the State Inventory of Historic Properties will allow SHPD to effectively identify areas of survey need that can be addressed in coming years.

Staff will complete at least one Reconnaissance Level Survey (RLS) project.

Architecture Branch staff shall undertake one survey project of at least 250 properties starting in state fiscal year 2015 and to be completed before the end of June 2015. The purpose of this project is manifold: to increase the number of resources in the State Inventory of Historic Places, to keep staff engaged in the research process and build staff capacity to review survey project; to increase staff morale by varying work; to engage the public in the preservation process and to provide a model RLS document for the public. The branch chief will choose a project by July 18, 2014 with input from staff and the preservation community. The project site must either fulfill an area of critical research need (e.g. increasing the knowledge of plantation style architecture or recent past architecture) or fulfill one of SHPD's items of obligation in the *Hawaii State Historic Preservation Plan*. Methodology and research design will follow the *State Guidelines for the Survey of Historic Architectural Properties*.

Staff will complete at least one Intensive Level Survey (ILS) project

The Architecture Branch will undertake one intensive level survey project starting in state fiscal year 2015 and to be completed before the beginning of state fiscal year 2016. The purpose of this project is manifold; to increase the number of intensive level surveys in the State Inventory of Historic Places, to keep staff engaged in the research process and build staff capacity to review



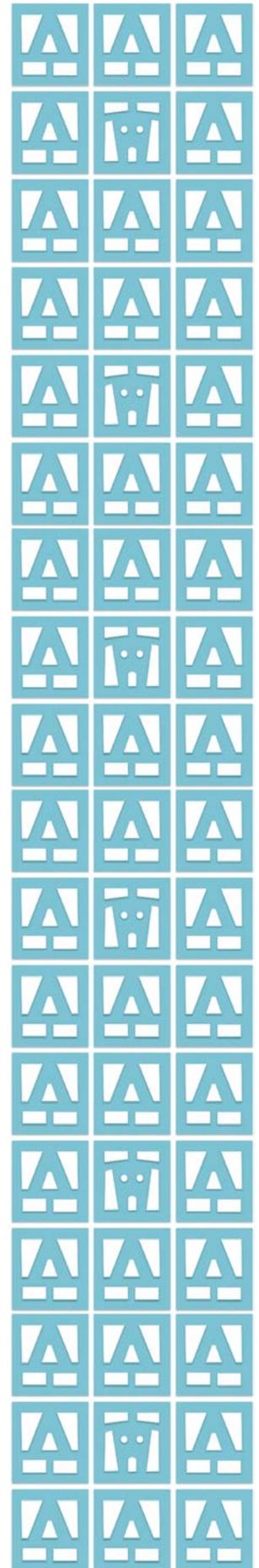
intensive level survey projects; to increase staff morale by varying work; to engage the public in the preservation process; and to provide a model ILS document for the public. The project will be selected by July 18th, 2014 with input from staff and the preservation community. The project site must either fulfill an area of critical research need (e.g. increasing the knowledge of plantation style architecture or recent past architecture); fulfill one of SHPD's items of obligation in the *Hawaii State Historic Preservation Plan*; or build off of previous RLS work and recommendations. Ideal candidates will address all three of these aspects. Methodology and research design will follow the *State Guidelines for the Survey of Historic Architectural Properties*.

Staff will complete at least one National Register nomination

The Architecture Branch Staff shall complete at least one National Register nomination form for a historic property starting in July of 2014 and to be completed before the beginning of calendar year June 2015. The purpose of this project is manifold; to increase the number of National Register Listed Properties in Hawaii; to keep staff engaged in qualified research and to build staff capacity to effectively review National Register nominations; to increase staff morale by varying work; to engage the public in the preservation process and to provide a model National Register Nomination to the public. The project will be selected by July 18th, 2014 with input from staff and the preservation community. The project site must either fulfill an area of critical research need (e.g. increasing the knowledge of plantation style architecture or recent past architecture), fulfill one of SHPD's items of obligation in the *Hawaii State Historic Preservation Plan*; or build off of previous RLS work and recommendations. Ideal candidates will also leverage SHPD GIS mapping and handheld GPS capabilities, this providing an extra opportunity for staff training. Research design and methodology will follow National Register Bulletins 15 and 16a.

Public training on the State Guidelines for the Survey of Historic Architectural Properties

Review and Compliance and Certified Local Government planning projects should drive survey activities. It is rare that SHPOs engage directly in survey projects and SHPD cannot use its small staff to ensure a consistently and comprehensively updated inventory of historic architectural properties. Outside of special projects taken on by SHPD occasionally most survey data will be generated by external sources. This is why it is important to provide



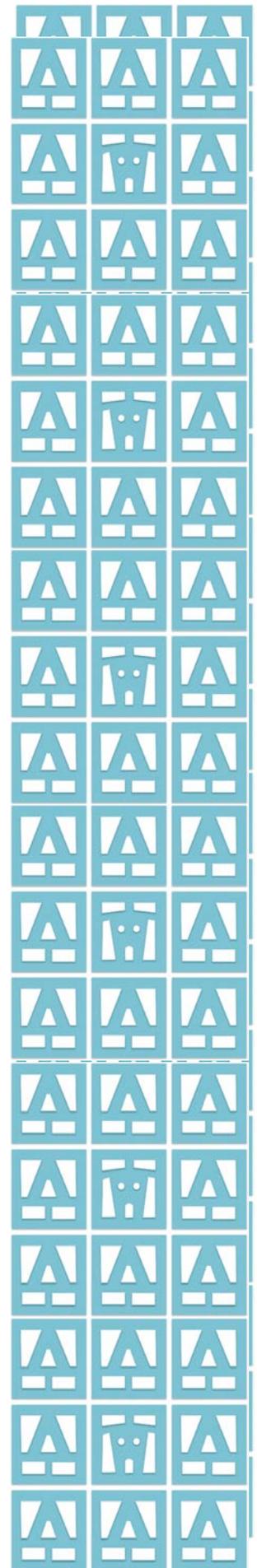
public trainings on SHPD’s requirements for reconnaissance level survey. This will allow Hawaii’s small pool of architectural history consulting firms a chance to clearly understand SHPD’s requirements and also expand the base of SOI qualified contractors who engage in RLS projects. The Architecture Branch Staff will work with the SHPD GIS Specialist to create a training on the *State Guidelines for the Survey of Historic Architectural Properties and Standards and Guidance for the Creation of Cultural Resources Geospatial Data*. This training will use the Wahiawa Historic Resource RLS as a model for explaining RLS methodologies and GIS requirements to a broad base of current and potential survey contractors. This will ensure that when SHPD requires survey as part of its review and compliance activities or a CLG requests an RLS project, there will be a large and competitive pool of qualified contractors ready to take on the task. This training will be completed before the end of calendar year 2014.

Consult with IT Manager on the creation of a coherent, standardized and accessible inventory database.

The absence of a functional and easily accessible inventory of historic architectural properties hampers the Architecture Branch’s ability to address its mandates and serve the public. Every effort must be made to assist the SHPD IT manager to construct a digital inventory database that is connected to GIS and actively used by all architecture branch staff in pursuit of their program responsibilities. While some consultation has taken place this must be the Branch’s highest priority. Staff will ensure that time it expended on providing responsive and active consultation on the development of the inventory.

Work through Section 106 and HRS 6E to use review and compliance process to drive survey and inventory.

The Architecture Branch routinely misses its best opportunity to increase the number of historic resources in its inventory by not requesting SOI qualified surveys of project APEs. In the past the Branch has used their training to guess at the potential for impacts to historic properties and has not demanded that the identification of historic properties is taken on by agencies in a systematic and professional manner. The Branch will work to ensure that, particularly in the case of 106 projects, adequate documentation and identification of properties is provided. The Branch will also supplement its efforts by encouraging frequent consulting parties and historic preservation



partners to request property APE inventories and by requesting survey projects as mitigation.

NATIONAL REGISTER OF HISTORIC PLACES PROGRAM

Full Architecture Branch Annual Hours: 948 Hours / 15% of staff time

Emergency Conditions Annual Hours: 484 Hours / 14-15% of staff time

Regular duties include: review and revision of State and National Register Nominations as submitted; planning for and staffing quarterly State Historic Review Board meetings.

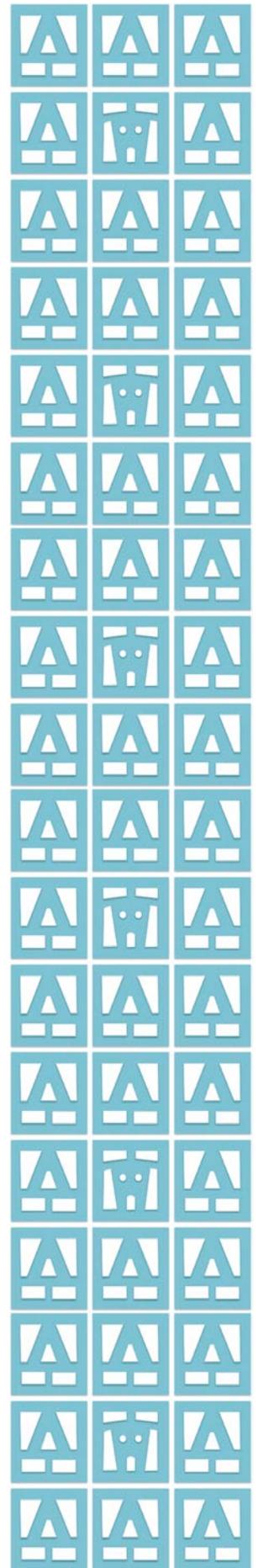
5 Priorities

1. Assist nominators in creating strong nominations for the State Register of Historic Places. Request that all nominations accepted by the Board to the State Register are forwarded to the NPS for National Register evaluation.
2. Provide for quarterly trainings for State Historic Review Board.
3. Create a public education module and perform at least one training by 2015.
4. Collaborate with other branches to increase the number of archaeology and TCP nominations submitted to the State and National Register.
5. Facilitate research on under-researched but ubiquitous property types and undertake special projects that address these needs.

Emergency Plan Activities

- **Architecture Branch Chief**
 - Assist nominators in creating strong nominations for the State Register of Historic Places. Request that all nominations accepted by the Historic Review Board to the State Register are forwarded to the NPS for National Register evaluation.
 - Provide for quarterly trainings for Historic Review Board Staff
 - Review and revision of State and National Register Nominations as submitted; planning for and staffing quarterly State Historic Review Board meetings.

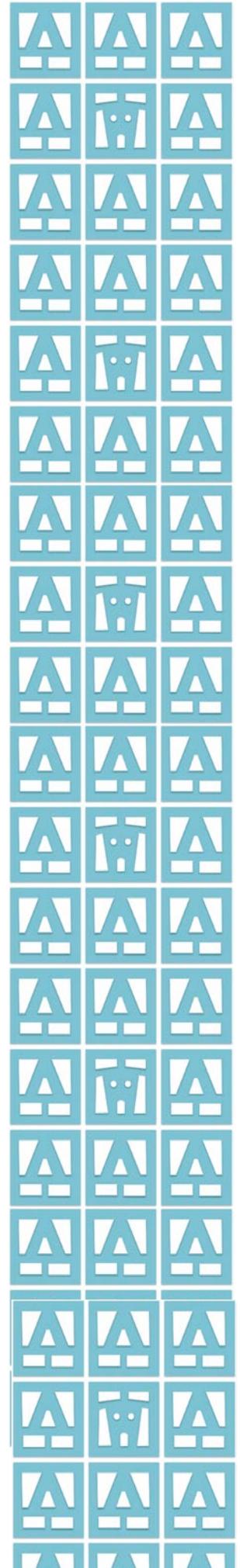
- **Architectural Historian**



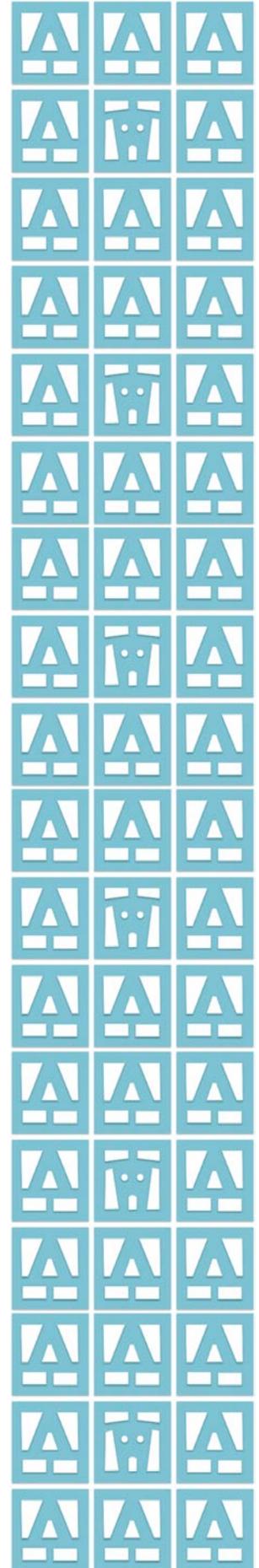
- Review and revision of State and National Register Nominations as submitted; planning for and staffing quarterly State Historic Review Board meetings.

Regular Architecture Branch Staff Activities

- **Architecture Branch Chief / National Register Lead**
 - Assist nominators in creating strong nominations for the State Register of Historic Places. Ensure that all nominations accepted by the board to the State Register are forwarded to the NPS for National Register evaluation.
 - Provide for quarterly trainings for Historic Review Board Staff. This fulfills item 4.3.3 of the *Hawaii State Historic Preservation Plan*
 - Review and revision of all State and National Register Nominations as submitted; planning for and staffing quarterly State Historic Review Board meetings.
 - Act as coordinator for National Register project; assign roles and create project completion schedule for staff.
 - Provide technical assistance and advice to archaeology branch staff in the selection of potential National Register sites and the completion of nominations of sites as described in the Archaeology Branch Work plan.
 - Assist archaeology branch in completion of their National Register goals described in the *Archaeology Branch Work Plan*.
 - Create action plan for and assemble a working group to identify publically owned TCPs for nomination to the National Register of Historic Places as described in item 3.3.1 of the *Hawaii State Historic Preservation Plan*. This also meets the goals of Archaeology Branch Workplan
- **Tax Credit Lead**
 - Assist National Register Lead staff person with those projects that require a high level of structural/architectural knowledge.
 - Work with National Register Lead and Survey and Inventory Lead to compile a list of properties that would be good candidates for Historic Rehabilitation Tax Credits. Create an outreach plan for identified property owners.



- CLG Lead
 - Assist National Register lead by ensuring that the appropriate local commission reviews National Register Nominations for properties within Certified Local Government boundaries.
 - Promote National Register program while meeting with CLG commissions.
- Survey Lead
 - Work with National Register Lead and Tax Credit Lead to compile a list of properties that would be good candidates for Historic Rehabilitation Tax Credits.
 - Work with National Register Lead to create a list of unlisted but eligible properties that are publically owned. This list will be used to inform future special National Register projects by staff.
- Project Review Leads
 - Use the mitigation process to drive nomination of eligible properties to the National Register.
 - Work with counterparts in archaeology to identify a list of archaeological properties discovered through the review and compliance process that would make good candidate for nomination to the National Register. This list can be used to inform future projects by Archaeology Branch staff.



CERTIFIED LOCAL GOVERNMENT PROGRAM

Full Architecture Branch Annual Hours: 948 Hours / 15% of staff time

Emergency Conditions Annual Hours: 484 Hours / 14-15% of staff time

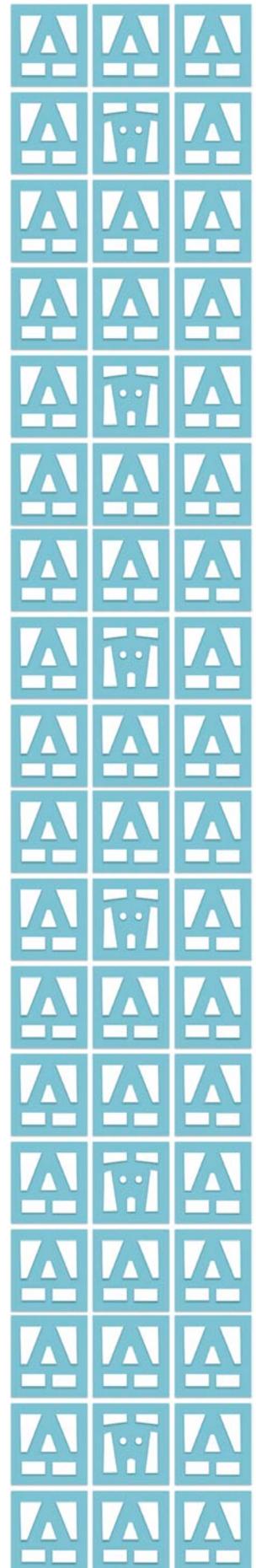
Regular program duties: respond to requests for technical assistance by CLG counties; promote CLG programs and applications; tracking and management of Certified Local Government grants; providing annual reviews of CLGs

5 Priorities

1. Assist Hawaii County in forming rules for their commission and their application to the Certified Local Government Program. This partially fulfills item 1.5.1 of *Hawaii State Historic Preservation Plan*
2. Create and execute a strategy to promote the activation of ordinance 93-55 by the City and County of Honolulu establishing and staffing a Historic Resource Commission and applying for the CLG program.
3. Create and ensure a predictable system of CLG commission review. This fulfills item 4.3.2 of *Hawaii State Historic Preservation Plan*.
4. Create working group of CLG commissioners to develop a list of potential context studies. This fulfills item 2.3.1 of the *Hawaii State Historic Preservation Plan*.
5. Encourage participant counties to hire SOI qualified staff capable of providing commissions with expert advice and facilitating HRS § 6E streamlining agreements.

Emergency Plan Activities

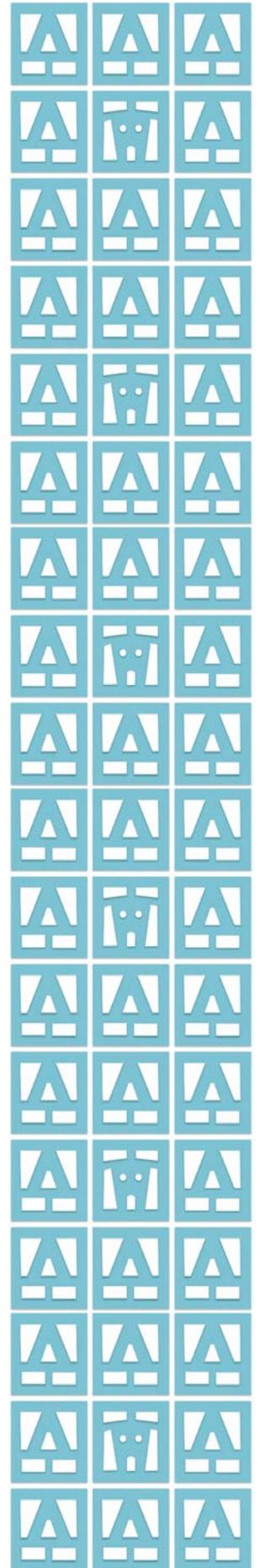
- Architecture Branch Chief
 - Work with CLG Lead and SHPD Administrator to create a strategy to promote the activation of ordinance 93-55 by the City and County of Honolulu establishing and staffing a Historic Resource Commission and applying for the CLG program.
 - Provide SHPD presence at CLG Education workshops for FY 2014



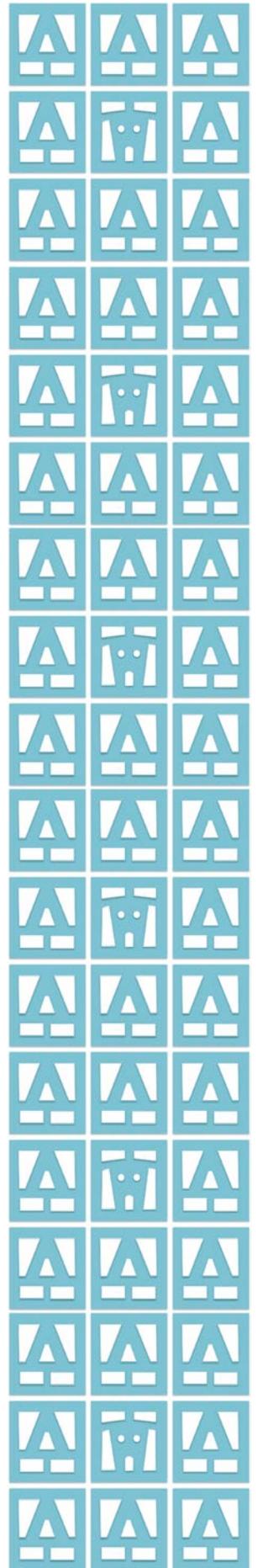
- Track outstanding FY14 grant projects
- Ensure that commissions review National Register nominations for properties within CLGs.
- **Architectural Historian**
 - Work with Architecture Branch Chief and SHPD Administrator to create a strategy to promote the activation of ordinance 93-55 by the City and County of Honolulu establishing; staffing a Historic Resource Commission and applying for the CLG program.
 - Track new CLG projects as required.
 - Review CLG project products as required.
 - Provide annual review of CLGs as required.

Regular Architecture Branch Staff Activities

- **Architecture Branch Chief**
 - Work with CLG Lead and SHPD Administrator to create a strategy to promote the activation of ordinance 93-55 by the City and County of Honolulu establishing; staffing a Historic Resource Commission and applying for the CLG program.
 - Provide SHPD presence at CLG Education workshops for FY 2014
- **CLG Lead**
 - Track all CLG projects, outstanding and new
 - Work with Architecture Branch Chief and SHPD Administrator to create and execute a strategy to promote the activation of ordinance 93-55 by the City and County of Honolulu establishing and staffing a Historic Resource Commission and applying for the CLG program.
 - Select a working group from among CLG commissioners to develop a list of potential historic context studies
 - Ensure that at least one member of each CLG commission or prospective CLG commission receives training as required in the Hawaii State CLG Grant Manual.
 - Work with National Register Lead to ensure that the appropriate commission reviews National Register Nominations within CLGs.
- **Survey Lead**



- Review CLG survey projects as required.
 - Work with GIS Specialist and CLG Lead to identify CLG counties inventory capacity and needs. Provide technical assistance to improve accessibility of SIHP.
- Tax Credit Lead
 - Work with CLG Lead to educate commissions about the HTC program.
- Project Review Leads
 - Work with CLG coordinator to ensure commissions are afforded the opportunity to consult on 106 and 6E project reviews.



FEDERAL REVIEW AND COMPLIANCE AND SECTION 106

Full Architecture Branch Annual Hours: 948 Hours / 15% of staff time

Emergency Conditions Annual Hours: 592 Hours / 18% of staff time

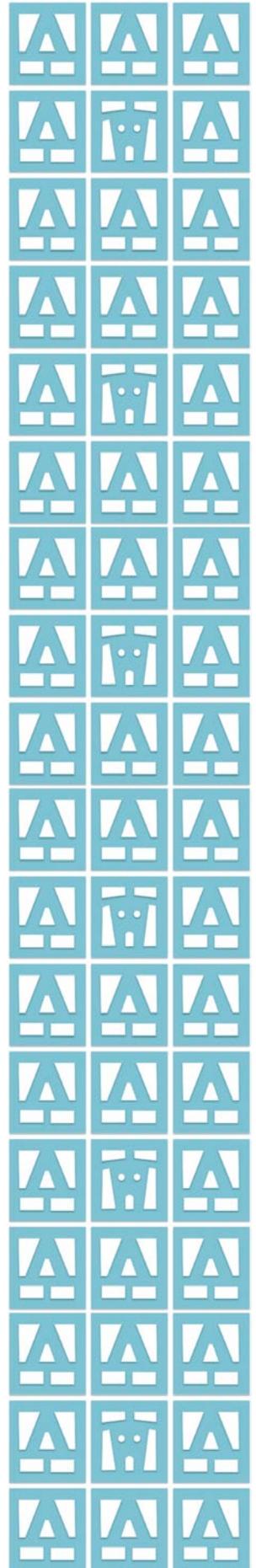
Regular program duties: review 106 submittals in a timely manner, assist with the creation of MOAs and PAs pursuant to Section 106, and facilitate consultation on federal projects.

5 Priorities

1. Create outward facing guidance documents about SHPD requirements for Section 106 Review.
2. Work with HDOT, FHWA and other SHPD branches to create a PA or system of PAs to facilitate review of common projects or projects.
3. Reach out to the local office of the Department Housing and Urban Development (HUD) to improve their 106 submittals. Distribute outward facing guidance document to HUD and firmly establish that SOI qualified contractors must be used to provide SHPD with determinations.
4. Facilitate quarterly informal meetings between Army, Air Force, Navy and Marines CRM staff. These meetings will facilitate communication between SHPD and our most frequent 106 partners. The meetings will also allow the subject area experts of the various branches an opportunity to learn from one another and set best practices for base management.
5. Monitor MOA/PA database collection to follow up on open stipulations.

Emergency Plan Activities

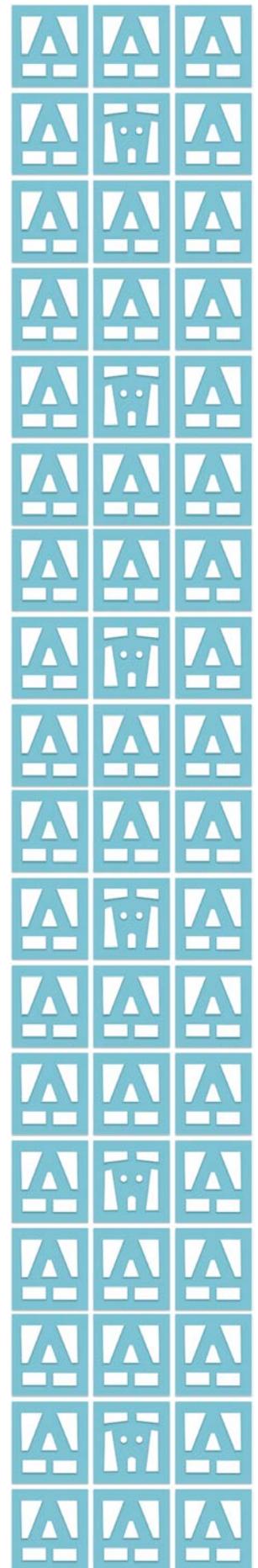
- Architecture Branch Chief
 - Act as point person for all 106 activities
 - Facilitate interim plan for military CRM meetings
 - Chair Weekly Review and Compliance Staff meetings and facilitate interbranch dialogue on projects that may impact burials or archaeological resources



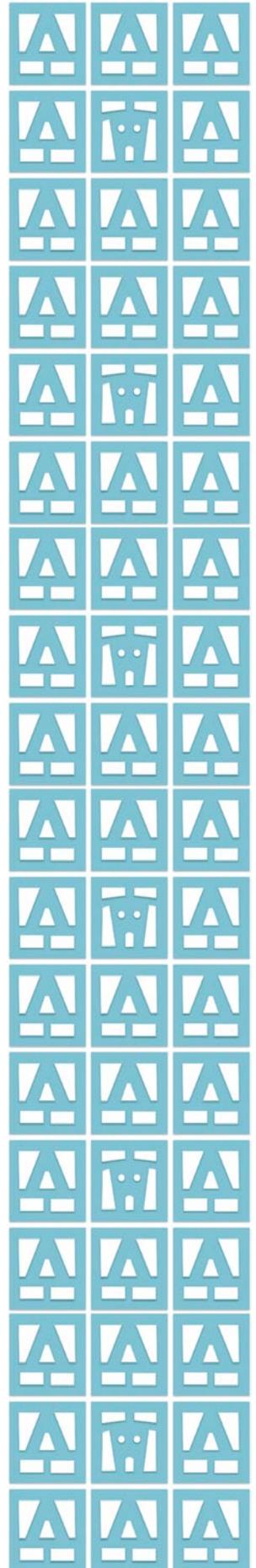
- Architectural Historian
 - Assist architecture branch chief at meeting by taking notes and compiling information
 - Composing letters for Architecture Branch Chief signature as needed.

Regular Architecture Branch Staff Activities

- Architecture Branch Chief
 - Assist the 106 lead with large, complex or controversial 106 consultations
 - Attend annual PA meetings and assist 106 lead with mitigation and consultation strategy
 - Work with 106 lead to promote the use of PAs with HDOT and FWHA
- National Register Lead
 - Review MOAs and PAs before forwarding them to the administrator
 - Review federal Determinations of Eligibility (DOE) and provide comments to 106 Lead for inclusion in SHPD response.
 - Review National Register focused mitigation products as necessary.
- 106 Lead
 - Staff all section 106 consultation meetings
 - Establish a schedule for and arrange quarterly meetings between the Army, Navy, Marines and Air Force CRM staffs.
 - Ensure review of survey data by the Survey and Inventory Lead and GIS specialist.
 - Ensure data that is collected for review and compliance purposes and that it is integrated into the SIHP.
 - Review and comment on environmental documents associated with federal undertakings.
 - Monitor MOA/PA database and follow through on open stipulations.
 - Work with Architecture Branch Chief to promote the use of PAs with HDOT and FHWA.



- Maintain dialogue with other branches and ensure their input is included in all 106 reviews that involve Archaeological resources.
- CLG Lead
 - Work with 106 Lead to ensure that commissions are afforded opportunities to consult on projects within their boundaries. Policy must be in place by January 2015.
 - Use knowledge of CLG communities to assist 106 lead and agencies
- Survey Lead
 - Review survey information from 106 submittals as required
- 6E Lead
 - Assist 106 Lead on large and controversial projects by taking notes and offering advice.
 - Collaborate with 106 Lead on combined 106/6E projects.



HAWAII REVISED STATUTES § 6E- REVIEW AND COMPLIANCE

Full Architecture Branch Annual Hours: 948 Hours / 15% of staff time

Emergency Conditions Annual Hours: 592 Hours / 18% of staff time

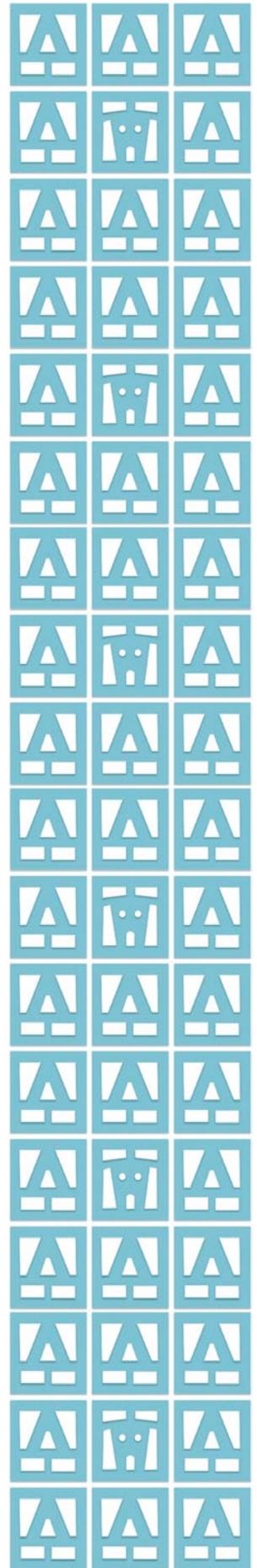
Regular program duties: review building permit submittals in a timely manner, assist with the, and facilitate consultation on large projects

5 Priorities

1. Engage preservation community to create policies to streamline and triage HRS § 6E- Review
2. Ensure that HRS § 6E- obligations are used as a tool to drive expansion of the State Inventory of Historic Resources through mitigation and project submission requirements.
3. Create review agreements with SOI qualified CLG planners to establish them as frontline reviewers.
4. Continue quarterly meetings with Department of Accounting and General Services (DAGS) to proactively discuss projects ahead of their design phase. Repeat the success of the DAGS meetings with other state agencies.
5. Leverage survey data to support the creation of memoranda of understanding (MOUs) between SHPD and other state agencies. For instance using the bridge inventory to facilitate MOUs with Hawaii Department of Transportation (HDOT) and previously mentioned staff work to prioritize DAGS held properties to inform a MOU with DAGS.

Emergency Plan Activities

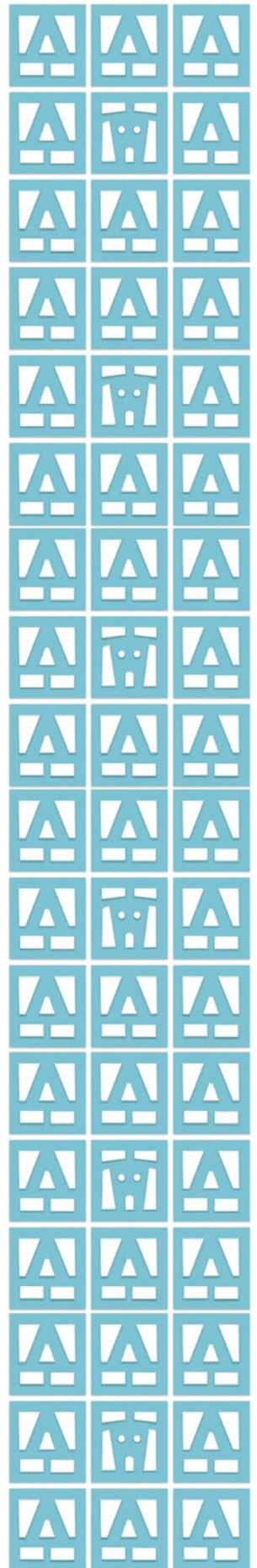
- **Architecture Branch Chief**
 - Consult on large and controversial 6E review projects.
 - Review and sign Architectural Historian correspondence.
 - Begin efforts to organize working group to set priorities for HRS §6E project review.
- **Architectural Historian**
 - Review minor building permits and compose SHPD responses.
 - Organize, print and file signed correspondence.



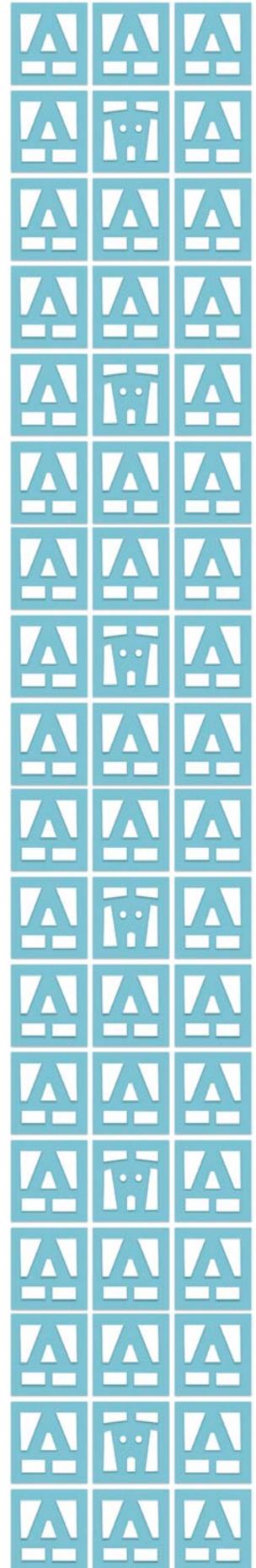
- Assist Architecture Branch Chief with agenda and minutes for weekly Review and Compliance Staff Coordination meetings.

Regular Architecture Branch Staff Activities

- Architecture Branch Chief
 - Review and sign Architectural Historian correspondence for a probationary period.
 - Assist 6E Review Lead with efforts to set priorities and streamline HRS § 6E review.
 - Assist with and monitor consultation on large or controversial projects.
 - Chair Weekly Review and Compliance Staff meetings and facilitate interbranch dialogue on projects that may impact burials or archaeological resources.
 - Attend quarterly meetings with DAGs and other state agencies. Assist 6E Lead in establishing regular contact with other divisions.
- CLG Lead
 - Work with 106 Lead to ensure that commissions are afforded opportunity to consult on projects within their boundaries. Policy should be in place by 2015.
 - Use knowledge of CLG communities to assist 106 lead and agencies
- 106 Lead
 - Assist 6E Lead with large and controversial projects by taking meeting notes and offering advice.
 - Collaborate with 6E Lead on combined 106/6E reviews.
- 6E Lead
 - Review architectural projects pursuant to HRS § 6E and compose Division response to these projects.
 - Create strategy to set priorities for streamlining and triaging the 6E review process. Plan should take into account HRS §6E, relevant HARs, community input, staffing and other division obligations. Policy must be in place by September 2014.
 - Work with HDOT and DAGS to create intergovernmental agreements to effectively manage minor or common 6E projects.



- Work with CLGs, the Attorney General’s office and CLG Lead to establish review agreements those with counties that have SOI qualified staff people. Agreements should limit SHPD review of 6E projects and place County Staff at the frontline of review. Agreements should be in place by January 2014.
- Attend DAGS quarterly meetings and work to establish similar arrangements with other state agencies. Verify minutes from the meetings and follow up on SHPD responsibilities set in discussion with DAGS.
- Assist Architecture Branch Chief with agenda and minutes for weekly review and compliance meetings. Follow up on Branch responsibilities set in meetings.



HISTORIC TAX CREDIT PROGRAM

Full Architecture Branch Annual Hours: 328 Hours / 5% of staff time

Emergency Conditions Annual Hours: 164 Hours / 5% of staff time

Regular Duties: Reviewing Historic Rehabilitation Tax Credit (HTC) applications

5 Priorities

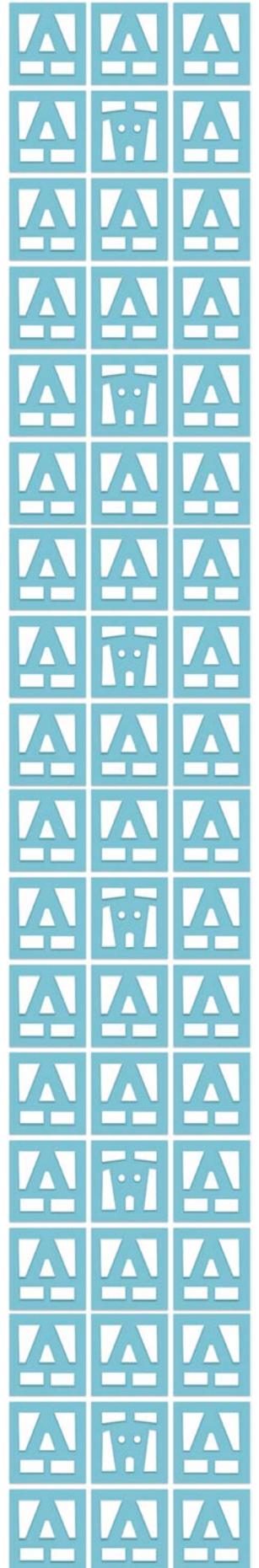
1. Create a strategy to promote the use of HTCs in Hawaii.
2. Use inventory data and State and National Register files to compile a list of “most eligible” properties and inform property owners and offer technical assistance.
3. Create a strategy to promote the use of the City and County of Honolulu’s tax incentive paired with HTCs.
4. Create and execute policy of directly informing the owners of potential tax credit recipients discovered through review and compliance.
5. Work to increase the number of tax credit projects to at least two.

Emergency Plan Activities

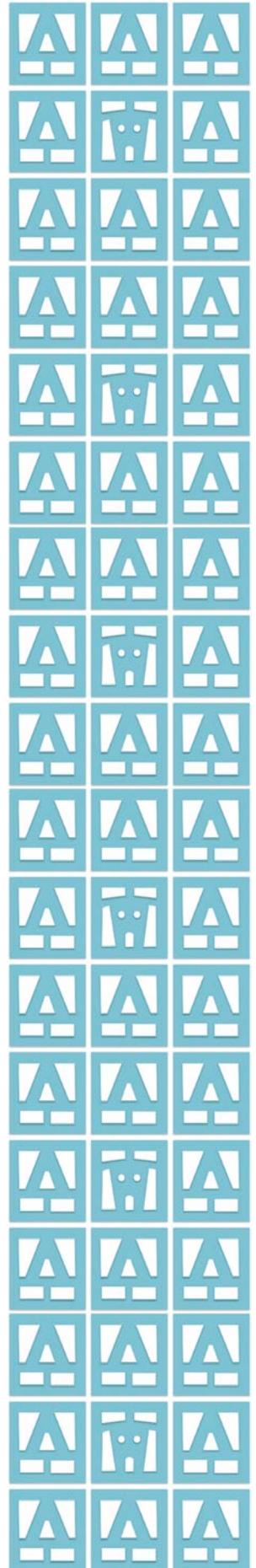
- Architecture Branch Chief
 - Train Architectural Historian on how to review and compile tax credit applications submitted to the office.
 - Review applications as necessary.
- Architectural Historian
 - Compile applications for review by Architecture Branch Chief and National Park Service
 - Assist with review of application as necessary.

Regular Architecture Branch Staff Activities

- Architecture Branch Chief
 - Provide provisional training for Tax Credit lead.
 - Ensure that Tax Credit lead attends semi-annual NPS training on the review of HTC projects.
 - Assist with review as necessary.
- CLG Lead
 - Promote the use of tax credits at monthly commission meetings



- Work with Tax Credit lead to make create a list of
- National Register Lead
 - Work with National Register Lead and Survey and Inventory Lead to compile a list of properties that would be good candidates for HTC. Create plan for outreach to chosen property owners.
- Tax Credit Lead
 - Review all HTC applications.
 - Create plan to promote use of HTC and City and County Commercial Tax Credits. Execution of plan to start no later than January 2015.
 - Work with National Register Lead and Survey and Inventory Lead to compile a list of properties that would be good candidates for Historic Rehabilitation Tax Credits. Create plan for outreach to chosen property owners.
 - Work to increase number of annual HTC projects to 2 by 2015.



SECTION 5

INFORMATION MANAGEMENT

SHPD Inventory Database Plan

GIS Training Plan

SECTION 5

INFORMATION MANAGEMENT

SHPD Inventory Database Plan

SHPD Inventory Database Plan

May 14, 2014

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Inventory Database Plan Overview

The Historic Preservation Inventory Database is based on the most recent Standard Operating Procedures (SOP) available. These SOP documents are under review by the National Park Service, and the SOP versions used for this database design are not final.

Microsoft Access Database was selected for its' ability to rapidly development users interfaces, and because Historic Preservation legacy data is also contained in Microsoft Access tables.

Historic Preservation has low bandwidth locations on Hawaii and Maui. An office on Kauai is planned but no location has been selected. For operation in a multi-user, low bandwidth, wide area network, Microsoft Access should be configured to operate in "split" configuration where the user interface forms and database tables are separated. The user interface forms will be distributed to branch office network storage devices and the database tables will be hosted in a central location in Kapolei. This configuration will allow updates to the user interface forms to be made without any requirement to contact each user and have them install updated versions on their computer. This method ensures that the most recent versions will be available to all users and that all users will be updating the same database.

Archaeology has provided a design document (Archaeology Site Form Instructions) detailing the data fields for the Archaeology site database. The Archaeology Site database design is based on this document. With the assistance of Archaeology Branch Chief, Theresa Donham, some Hawaii Island legacy data has migrated to new fields in the design, and the remaining Hawaii Island legacy data is available on supplemental areas of the interface.

The legacy data for each island group is stored in separate databases and the field definitions are not uniform. **Until the SOP for Archaeology is approved, the databases should be kept separate.**

The Culture Branch has decided to use the Archaeology site database without any changes.

Architecture has provided a design document (Completing the Survey Spreadsheet) detailing the data fields for the Architecture survey database. The Architecture Survey database design is based on this document. The Acting Architecture Branch Chief, Mike Gushard, **does not want to migrate any legacy data into the new database.**

Status and Deployment

The user interface for the Hawaii Island Archaeology Site database is undergoing beta testing and has been deployed for data review and editing by the branch. A number of legacy data errors have been discovered, documented, and reported. These include Site numbers that are not unique and Site numbers that do not conform to the design specification.

Archaeology Site database deployment on Maui can be done after a local network storage device has been procured and installed. The procurement process is ongoing.

Archaeology Site database deployment on Kauai can occur once an office location has been made, a DLNR network connection installed, and a local network storage device installed.

The Acting Architecture Branch, Mike Gushard has reviewed the Architecture Survey database design and one round of changes has occurred, this process is ongoing.

Risk Factors

The Historic Preservation professional staff, Archaeologists, Architectural Historians, and Burial Site Specialists, do not have sufficient time to enter records into, and maintain a database. Neither do they have sufficient time to digitize and archive the supporting documents related to their work. Historic Preservation needs to create new positions dedicated to entering and maintaining the data in the database and document archives.

Historic Preservation needs a public internet portal to securely capture data from submitters. The purpose of this portal would be to host web forms designed by Historic Preservation, ensure the security of the data, and make that data available Historic Preservation on the DLNR private network. The contract should include programming and design services to assist Historic Preservation with all technical requirements. Without this Historic Preservation can only receive data through email or by physical media.

SHPD Information Technology Project Status Report

May 14, 2014

- 1) **Replacement of Windows XP Computers.**
Start 09/13, Completion 03/28/14
Status is completed.
- 2) **Xerox DocuShare Hardware replacement.**
Start 02/14, Completion 04/25/14
Replacement hardware received and installed. Operating system and Microsoft SQL server software installed and configured.
Status is completed.
- 3) **Xerox Professional Services.**
Start 02/14, Ongoing
Contract and SOW procurement completed and management phase started. First meeting with Xerox to reconfirm the SOW took place on 05/12/14. DocuShare software installation and data transfer is scheduled to begin on 05/19/14. Estimate for completion is two business days.
Status is ongoing.
- 4) **Inventory Database, GIS Interface.**
Start 12/13, Ongoing
December and January meetings and preliminary designs resulted the GIS interface design that is being submitted for NPS approval.
Status is ongoing.
- 5) **Archaeology Site Database**
Start 12/13, Ongoing
Table definition to SOP specifications completed. User interface to SOP specifications completed. Split database deployment successfully tested. Legacy data evaluation and conversions completed. The Archaeology Branch is performing corrections to primary index.
Status is ongoing.
- 6) **Architecture Survey Database**
Start 02/14, Ongoing
Table definition to SOP specifications completed. User interface to SOP specifications completed. Design was provided to Architecture Branch in March for evaluation. Revisions and changes are in discussion.
Status is ongoing.
- 7) **Culture Database**
Start 01/14, Completion 02/14
The Culture Branch has confirmed they will use the Archaeology Site Database without any changes.
Status is completed.

SHPD Information Technology Project Status Report

May 14, 2014

8) National Historic Register and Hawaii Historic Register Databases

Start 06/13, Ongoing

SHPD has decided the number of National Historic Register and Hawaii Historic Register (NHR and HHR) registrations in Hawaii does not warrant creating and maintaining separate databases. The Architecture Survey database specifications include fields to track NHR and HHR. The Archaeology Site database specifications do not address NHR and HHR status, however the Archaeology legacy tables have fields and data, for NHR and HHR. The Archaeology legacy user interface does not display NHR and HHR. Status is ongoing.

9) Network Storage Device

Start 01/14, Ongoing

T-205 Technology Form has been approved. Remaining tasks are procurement approval, procurement and ordering, and installation.

Status is ongoing.

SHPD Information Technology Project Status Report May 14 2014
 Alan Smith - SHPD Information Technology Manager

PROJECTS	DUE DATES	FEB	MAR	APR	MAY	JUN
1. Replacement of Windows XP Computers - 11 Windows 7 - Delay Office software not shipped as of 02/26	3/14/2014	XXX XXX XXX XXX XXX XXX XXX XXX XXX	XXXX			
2. Xerox DocuShare - DocuShare Hardware/Software Purchase - Procurement - Purchase Order - Hardware expected delivery - Hardware install, config, testing	6/31/2014	XXX XXX XXX XXX XXX	XXXX XXX XXX	XXXX XXX XXX	XXXX XXX XXX	
3. Xerox Professional Services - Procurement - Installation, Data Migration	4/30/2014 6/30/2014		XXX XXX XXX XXX XXX XXX XXX XXX	XXXX	XXX XXX	
(Note: Replacement of DocuShare Server, Upgrade to 6.6.1, Data Migration)						
4. Inventory Database - GIS interface, Revised database design - Inventory Database Schema (tables, fields)	3/31/2014	XXX XXX XXX	XXX			
5. Archaeology Database - Define data structure - User Interface - Testing and revisions for approved SOP	5/31/2014	XXX XXX XXX	XXX	XXXX		
6. Architecture Database - Define data structure - User Interface - Testing and revisions for approved SOP	5/31/2014		XXX XXX XXX	XXXX		
7. Culture Database (Note: will use the Archaeology database without any modifications.)	5/31/2014	XXX XXX XXX	XXXX			
8. National Historic Register Database - Define data structure - User Interface [Note: tracking only - fields defined in Architecture and Archaeology Databases]	5/31/2014	XXX XXX XXX XXX XXX XXX	XXXX			
Hawaii Historic Register Database (Note: fields defined in Archaeology and Architecture Database)	5/31/2014	XXX XXX XXX XXX XXX XXX	XXXX			
9. Network Storage Device Procurement and ordering Configuration and Installation	5/31/2014			XXX XXX XXX XXX XXX XXX		

Task Legend:
 - Completed 
 - Proceeding XXX
 - Targeted 

Section One

Archaeology Site Database Schema Overview

This is documentation for the Archaeology Site Database, which is based on the Archaeology SOP document "Archaeology Site Form Instructions", as it appears in Appendix 1.

To facilitate the use of legacy data stored in Microsoft Access databases, this design also uses Microsoft Access, and merges new tables and fields with legacy data.

Previous Archaeology databases were Island specific and divided into four separate databases: Hawaii Island, Oahu, Kauai, and Maui (including Molokai, Lanai, and Kahoolawe). Because there are database design differences between the separate island databases, the Hawaii Island design is being used as the standard model. The design goal is to merge the separate island databases into a single database, after data conflicts have been resolved.

Section 1.

List of database tables in the Archaeology Site Database for Hawaii Island. Includes new and legacy tables. Legacy table data has been evaluated for inclusion in the design of the Hawaii Island Database.

Section 2.

Relationship diagram for tables used in the Archaeology Site Database for Hawaii Island.

Section 3.

Detailed field attribute documentation in the Archaeology Site Database for Hawaii Island.

Section 4.

User Interface screen captures annotated with table, field, and SOP references for the Archaeology Site Database for Hawaii Island.

Appendix 1.

Copy of "State Inventory of Historic Places, Archaeology Site Form Instructions" document. (pages 2 – 10) This is the design provided by the Archaeology Branch in December 2013, and is included in that branches Standard Operating Procedures. This document and the requirement to retain access to valid legacy data, is the basis for the Archaeology Inventory database design.

Section Three

List of new and legacy tables for the Hawaii Island Database. Tables with the "*" notation will be utilized in the new Hawaii Island Database.

* HASITE – Main table. Currently has 98 new and legacy fields. After first level of deployment and data cleaning, 46 will be retained, 52 will be eliminated. Most significant indexes are "State site #" and "GUID".

* HA_FeatureRecords – table to store multiple Features records related to a single record in HASITE, relationship index is State site #. This table was created to meet the requirements in the draft Archaeology SOP. Currently has 110 fields. SOP page 6 "FEATURE RECORD".

* HA_SPREV – table to store prior multiple numbers used for a site. Relationship index to HASITE is State site #. This table has 2 fields. SOP item #4.

* HA_SREPT – table to store multiple SHPD Library Report References. Relationship index to HASITE is State site #. This table has 3 fields. SOP item #17.

* HA_STMK – table to store multiple Tax Map Key references. Relationship index to HASITE is State site #. This table has 3 fields. SOP item #22.

* HA_SFORM – table to store multiple records of short phrases that characterize a "Form" found at the site. This appears under the heading "Form" on the legacy User Interface and appears on the new User Interface on tab #8 "Legacy Data 1". This table has 3 fields. The SOP does not provide a method to map this legacy data to the new specification.

* HA_SFUNF – table to store multiple records of short phrases that characterize the current function of the site. This appears under the heading "Function (current)" on the legacy User Interface and appears on the new user interface on tab #8 "Legacy Data 1". This table has 3 fields. The SOP does not appear to provide a method to map this legacy data to the new specification.

* HA_SFUNC and Ha_Sfunction are similar to each other, the useful data filed is "Function" in each case and they both store multiple records of short phrases that characterize the various functions of the site using "State site #" as an index. Ha_Sfunction also uses "Sitenum", which is the last 5 characters in "State site #". These tables do not appear on the legacy user interface, however because some of the records include a reference to "Burial?" both tables have been included on the new user interface on tab #8 "Legacy Data 1". The SOP does not provide a method to map this legacy data to the new specification.

* HA_SSTAT – legacy data, 101 records, not on legacy user interface, retained on new user interface tab #8 "Legacy Data 1". Potential appending of data to HASITE.Description (SOP item #10).

* HA_SUTM – legacy data, 276 records, not on legacy user interface, retained on new user interface tab #8 "Legacy Data 1". UTM reference in SOP is at feature level, reference Feature Record, item #11.

HA_FORM and HA_FORM1 – these tables are identical to each other, and both are copies of the HASITE fields "Site name", "Sitenum", "Site description", "State site #", and "Comments". Neither are referenced in the legacy user interface. These tables will not be retained in future versions of the database. A query can be used to obtain the same results.

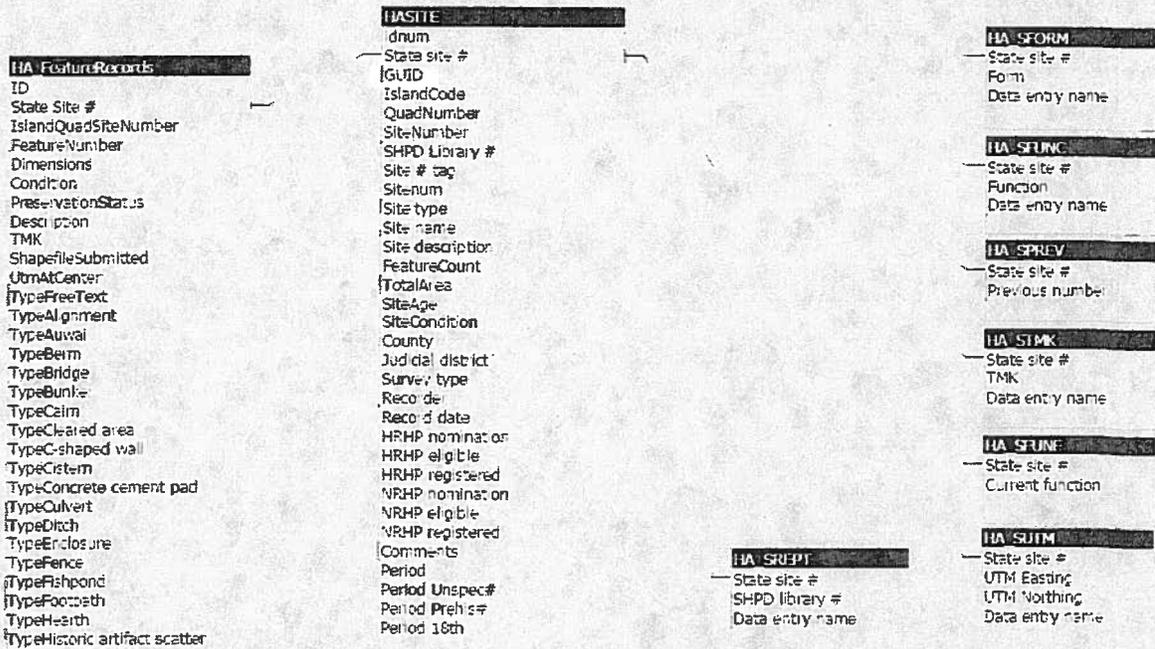
ha_site_form – similar to HA_SFORM with additional index on "Sitenum" (the last 5 characters in "State site #"), and does not include the field for "Data entry name". As an index, "Sitenum" is not unique across the island databases. Reference Archaeology Site Form Instructions, Site Record, item #3, "These numbers are unique within each island, but not unique across the state." This table will not be included with new user interface.

The following 7 tables are lists of values that appear in the user interface as the responses that can be selected in various listbox elements. A reference to the Archaeology SOP is included.

- * ListSiteAge – Site Age, Tab #1, SOP #8, 9 selections.
- * ListSiteCondition – Site Condition, Tab #1, SOP #9, 4 selections.
- * ListPreservationStatus – Preservation Status, Tab #5, SOP #15, 8 selections.
- * ListPreservationUpdate – Preservation Update, Tab #5, SOP #18, 5 selections.
- * ListIslandCodes - Island code, Alternate Tab #1, SOP #1, 11 selections.
- * ListQuadNumber – Quadrangle number, Alternate Tab #1, SOP #2, 8 selections.

Section Two - Relationship diagram

Relationships for HistoricSites_Hawaii
Wednesday, March 07, 2012



Section Four - Main table field definitions

Table name - HASITE						
Field name	Data Type	Data Length	Data Description	Source	Notes	UI Location
Idnum	Long Integer	4	System generated Record ID number	System	Primary index for system housekeeping	Form header and footer
State site #	Short Text	14	User assigned unique site identification number	Archaeology SOP, concatenation of Items #1, #2, and #3	Current SOP uses spreadsheet to manage numbers, and allows for retraction and reuse of numbers.	Tab #1 (Site Record)
GUID	Replication ID	16	System generated unique, 32 characters stored as 16 bytes	GIS request	32 alpha-numeric characters, 8+4+4+4+12	Not shown to user
IslandCode	Short Text	2	Two-digit number, no decimal places, limited to list box.	Archaeology SOP, Item #1	List box selection UI created, will be used when assignment process is complete.	Tab #1 (Site Record) in future UI design
QuadNumber	Short Text	2	Two-digit number, no decimal places, limited to list box.	Archaeology SOP, Item #2	List box selection UI created, will be used when assignment process is complete.	Tab #1 (Site Record) in future UI design
SiteNumber	Short Text	5	Five-digit number, no decimals, unique to island, but not unique across the state.	Archaeology SOP, Item #3	Assignment process is not complete. May become system generated or pulled from another table	Tab #1 (Site Record) in future UI design
SHPD Library #	Short Text	8	Not used at this time	Legacy field	Table HA_SREPT supersedes single field with table allowing multiple references related by State site #.	N/A
Site # tag	Short Text	7	Not used at this time	Legacy field	Concatanation of Islandcode and SiteNumber. Legacy use in Hawaii Island database is 13%.	N/A
					99% use in legacy database, has duplicates. Because duplicates across State are allowed, this field will not survive merging of all Island databases. Can be corrected using an insert query that parses State site # after data repairs.	N/A
SItemum	Short Text	15	Not used at this time	Legacy field		N/A
Site type	Short Text	40	Not used at this time	Legacy field	0% usage in Hawaii Island database	N/A
Site name	Short Text	53	legacy field used as same	Legacy field	60% usage in Hawaii Island database	Tab #1 (Site Record)
Site description	Short Text	255	legacy field used as same	Legacy field	100% usage in Hawaii Island database	Tab #1 (Site Record)
FeatureCount	Short Text	255	User input, whole number, use "ND" when not certain	Archaeology SOP, Item #6	Could become a computed field, count of HA_FeatureRecords.IslandQuadSiteNumber	Tab #1 (Site Record)
TotalArea	Number	8	User entered value in square meters, one decimal place	Archaeology SOP, Item #7	use input mask	Tab #1 (Site Record)
SiteAge	Short Text	50	User choice from checkbox	Archaeology SOP, Item #8	predifined from table ListSiteAge	Tab #1 (Site Record)
SiteCondition	Short Text	50	User choice from checkbox	Archaeology SOP, Item #9	predifined from table ListSiteCondition	Tab #1 (Site Record)
County	Short Text	1	Not used at this time	Legacy field	data is digits 0-9, 14% usage in Hawaii Isle database, in pre-1992 records only	N/A
Judicial district	Short Text	1	Not used at this time	Legacy field	data is digits 0-9, 14% usage in Hawaii Isle database, in pre-1992 records only	N/A
Survey type	Short Text	1	Not used at this time	Legacy field	data is digits 0-9, 14% usage in Hawaii Isle database, in pre-1992 records only	N/A
Recorder	Short Text	30	Not used at this time	Legacy field	data is two-place character (initials), 14% usage in Hawaii Isle database, in pre-1992 records only	N/A

Section Four - Main table field definitions

Field name	Data Type	Data Length	Data Description	Source	Notes	UI Location
Record date	Date With Time	8	Not used at this time	Legacy field	data is date format (m/d/y), 14% usage in Hawaii Isle database, in pre-1992 records only	N/A
HRHP nomination	Date With Time	8	Future use	Legacy field	Less than 1% used, data is date format (m/d/y)	Recommend that these fields be used.
HRHP eligible	Date With Time	8	Future use	Legacy field	Less than 1% used, data is date format (m/d/y)	Recommend that these fields be used.
HRHP registered	Date With Time	8	Future use	Legacy field	Less than 1% used, data is date format (m/d/y)	Recommend that these fields be used.
NRHP nomination	Date With Time	8	Future use	Legacy field	Less than 1% used, data is date format (m/d/y)	Recommend that these fields be used.
NRHP eligible	Date With Time	8	Future use	Legacy field	Less than 1% used, data is date format (m/d/y)	Recommend that these fields be used.
NRHP registered	Date With Time	8	Future use	Legacy field	Less than 1% used, data is date format (m/d/y)	Recommend that these fields be used.
Comments	Short Text	255	User entered text data	Legacy field matched to Archaeology SOP Item #21	usage in Hawaii Island database is 3.8%	Tab #5, Preservation
Period	Short Text	1	Not used at this time	Legacy field	Numeric code 0-9 not shown on legacy database user interface, 14% usage in HI Isle database	N/A
Period Unspec#	Short Text	1	Not used at this time	Legacy field	Maps to Archaeology SOP field SiteAge, 62% usage	confirm with Theresa D and write query insert
Period Prehis#	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Maps to SiteAge "Precontact"? Usage 2.5%	confirm with Theresa D and write query insert
Period 18th	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Maps to SiteAge "Late Precontact/early historic"? Usage 2%	confirm with Theresa D and write query insert
Period 19th	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Maps to SiteAge "19th century"? Usage 3.4%	confirm with Theresa D and write query insert
Period 20th	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Maps to SiteAge "19th/20th century", or "Early/middle 20th century", or both? Usage 4.6%	confirm with Theresa D and write query insert
Period Contin#	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	maps to SiteAge "Continuous", Usage <1%	confirm with Theresa D and write query insert

Section Four - Main table field definitions

Field name	Data Type	Data Length	Data Description	Source	Notes	UI Location
Site condition	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Undocumented field with 1022 of 7545 records (225%) populated with a "0". Cannot determine what this value signifies. Not on legacy user interface.	confirm with Theresa D and write query insert
Condition Unspec#	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Related to legacy field "Site condition". New Archaeology SOP specifies four values to rate SiteCondition (SOP item #9, row #18 in this spreadsheet) vs the 7 values for legacy. Mapping the 14% legacy entries to new may be possible	confirm with Theresa D and write query insert
Condition Exc#	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Related to legacy field "Site condition". New Archaeology SOP specifies four values to rate SiteCondition (SOP item #9, row #18 in this spreadsheet) vs the 7 values for legacy. Mapping the 14% legacy entries to new may be possible	confirm with Theresa D and write query insert
Condition Good	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Related to legacy field "Site condition". New Archaeology SOP specifies four values to rate SiteCondition (SOP item #9, row #18 in this spreadsheet) vs the 7 values for legacy. Mapping the 14% legacy entries to new may be possible	confirm with Theresa D and write query insert
Condition Fair	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Related to legacy field "Site condition". New Archaeology SOP specifies four values to rate SiteCondition (SOP item #9, row #18 in this spreadsheet) vs the 7 values for legacy. Mapping the 14% legacy entries to new may be possible	confirm with Theresa D and write query insert
Condition Deter#	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Related to legacy field "Site condition". New Archaeology SOP specifies four values to rate SiteCondition (SOP item #9, row #18 in this spreadsheet) vs the 7 values for legacy. Mapping the 14% legacy entries to new may be possible	confirm with Theresa D and write query insert
Condition Ruins	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Related to legacy field "Site condition". New Archaeology SOP specifies four values to rate SiteCondition (SOP item #9, row #18 in this spreadsheet) vs the 7 values for legacy. Mapping the 14% legacy entries to new may be possible	confirm with Theresa D and write query insert

Section Four - Main table field definitions

Field name	Data Type	Data Length	Data Description	Source	Notes	UI Location
Condition Unexp#	Short Text	1	Not used at this time, not on known legacy user interface	Legacy field	Related to legacy field "Site condition". New Archaeology SOP specifies four values to rate SiteCondition (SOP item #9, row #18 in this spreadsheet) vs the 7 values for legacy. Mapping the 14% legacy entries to new may be possible	confirm with Theresa D and write query insert
PreservationStatus	Short Text	60	Changed from checkbox to droplist after discussion with Theresa Donham. Droplist requires less screen space and only one selection allowed.	Archaeology SOP, item #15, tab #5 "Preservation" on UI form.	Selections are from table ListPreservationStatus	
PreservationUpdate	Short Text	60	Changed from checkbox to droplist after discussion with Theresa Donham. Droplist requires less screen space and only one selection allowed.	Archaeology SOP, item #18, tab #5 "Preservation" on UI form.	Selections are from table ListPreservationUpdate	
PreservationUpdateYear	Number	4	Year of most recent Perservation Update, which is SOP Item #18, a dropbox list	Archaeology SOP, item #19, tab #5 "Preservation" on UI form.		
ReportYear	Integer	4	Year of final AIS report acceptance and SHPD concurrence. Four digit number.	Archaeology SOP, item #16, tab #5 "Preservation" on UI form.	Currently user entered, no required, not default, list or other validation method could be used.	
Status	Short Text	40	Legacy field, data appears to have been inserted into legacy table HA_SSTAT, which is many records to one HASITE record. Archaeology SOP only allows one "status"	Archaeology SOP, item #15, tab #5 "Preservation" on UI form.	legacy, 101 values (1.3%) all prior to 1992.	check with Theresa D. If this should change from one per to many to one.
Status year	Double	8	Legacy field, data appears to have been inserted into legacy table HA_SSTAT, which is many records to one HASITE record. Archaeology SOP only allows one "status"	Archaeology SOP, item #15, tab #5 "Preservation" on UI form.	legacy, 101 values (1.3%) all prior to 1992.	check with Theresa D. If this should change from one per to many to one.
Status library	Short Text	8	Legacy field, data appears to have been inserted into legacy table HA_SREPT, which is many records to one HASITE record. Archaeology SOP item #20.	HA_SREPT is on tab #5 "Preservation". Labeled as "Library Report References"	legacy, data has been inserted into HA_SREPT	
Status memorandum	Long Text	255+	Legacy field, data appears to have been inserted into legacy table HA_SSTAT, which is many records to one HASITE record. Archaeology SOP only allows one "status"	Archaeology SOP, item #21, tab #5 "Preservation" on UI form.	legacy, 101 values (1.3%) all prior to 1992.	check with Theresa D. If this should change from one per to many to one.
SiteIntegrityNew	Short Text	15	New field was crated to allow for "Undetermined" default status, as per discussions with Theresa Donham.	Archaeology SOP, item #11, tab #1 "Site Record"		confirm this change with Theresa and have her change SOP.
Site integrity	Short Text	1	Legacy field, does not appear on known legacy UI.		legacy records 14% with "0" value others with null.	

Section Four - Main table field definitions

Field name	Data Type	Data Length	Data Description	Source	Notes	UI Location
SignificanceCriteriaA	Yes/No	1	Check all that apply of selections A to E	Archaeology SOP, Item #12, tab #2 "Significance Criteria"	This maps from legacy field Crit event2	
SignificanceCriteriaB	Yes/No	1	Check all that apply of selections A to E	Archaeology SOP, Item #12, tab #2 "Significance Criteria"	This maps from legacy field Crit person2	
SignificanceCriteriaC	Yes/No	1	Check all that apply of selections A to E	Archaeology SOP, Item #12, tab #2 "Significance Criteria"	This maps from legacy field Crit example2	
SignificanceCriteriaD	Yes/No	1	Check all that apply of selections A to E	Archaeology SOP, Item #12, tab #2 "Significance Criteria"	This maps from legacy field Crit info2	
SignificanceCriteriaE	Yes/No	1	Check all that apply of selections A to E	Archaeology SOP, Item #12, tab #2 "Significance Criteria"	This maps from legacy field Crit culture2	
CriteriaConsiderationNA	Yes/No	1	Not applicable - check this box or one or more of A to G	Archaeology SOP, Item #13, tab #3 "Criteria Considerations"		
CriteriaConsiderationA	Yes/No	1	Check all that apply of selections A to G	Archaeology SOP, Item #13, tab #3 "Criteria Considerations"		
CriteriaConsiderationB	Yes/No	1	Check all that apply of selections A to G	Archaeology SOP, Item #13, tab #3 "Criteria Considerations"		
CriteriaConsiderationC	Yes/No	1	Check all that apply of selections A to G	Archaeology SOP, Item #13, tab #3 "Criteria Considerations"		
CriteriaConsiderationD	Yes/No	1	Check all that apply of selections A to G	Archaeology SOP, Item #13, tab #3 "Criteria Considerations"		
CriteriaConsiderationE	Yes/No	1	Check all that apply of selections A to G	Archaeology SOP, Item #13, tab #3 "Criteria Considerations"		
CriteriaConsiderationF	Yes/No	1	Check all that apply of selections A to G	Archaeology SOP, Item #13, tab #3 "Criteria Considerations"		
CriteriaConsiderationG	Yes/No	1	Check all that apply of selections A to G	Archaeology SOP, Item #13, tab #3 "Criteria Considerations"		
HistoricContextA	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
HistoricContextB	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
HistoricContextC	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		

Section Four - Main table field definitions

Field name	Data Type	Data Length	Data Description	Source	Notes	UI Location
HistoricContextD	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
HistoricContextE	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
HistoricContextF	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
HistoricContextG	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
HistoricContextH	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
HistoricContextI	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
HistoricContextJ	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
HistoricContextK	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
HistoricContextL	Yes/No	1	Check all that apply of selections A to L	Archaeology SOP, Item #14, tab #4 "Historic Context"		
Crit event	Short Text	1	Legacy field previously migrated to Crit event2		Not used	
Person2	Yes/No	1	Data mapped to SignificanceCriteriaA		Not used - mapped to new field in SOP	
Person	Short Text	1	Legacy field previously migrated to Crit person2		Not used	
Person2	Yes/No	1	Data mapped to SignificanceCriteriaB		Not used - mapped to new field in SOP	
Crit example	Short Text	1	Legacy field previously migrated to Crit example2		Not used	
Crit example2	Yes/No	1	Data mapped to SignificanceCriteriaC		Not used - mapped to new field in SOP	
Crit info	Short Text	1	Legacy field previously migrated to Crit info2		Not used	
Crit info2	Yes/No	1	Data mapped to SignificanceCriteriaD		Not used - mapped to new field in SOP	
Crit culture	Short Text	1	Legacy field previously migrated to Crit culture2		Not used	
Crit culture2	Yes/No	1	Data mapped to SignificanceCriteriaE		Not used - mapped to new field in SOP	
Category	Double	8	Undocumented legacy data, does not appear on legacy UI, data found is numeric code digits 1-6, 14% usage		Not used	
Lastchange	Date With Time	8	Undocumented legacy data, does not appear on legacy UI, data found is mm/dd/yyyy, 14% usage		Not used, date range found ranges from 1/1/1992 - 10/31/2006	
Function	Short Text	120	Undocumented legacy data, does not appear on legacy UI, no data found		Not used	
Complex form	Short Text	1	Undocumented legacy data, does not appear on legacy UI, single character of "X" (upper and lower case) or null. Usage is 44%		Not used	Research further
Complex function	Short Text	1	Undocumented legacy data, does not appear on legacy UI, single character of "X" (upper and lower case) or null. Usage is 15%		Not used	Research further
Subsurface	Short Text	1	Undocumented legacy data, does not appear on legacy UI, single character of a single "Y" and 1380 "X" (upper and lower case) or null. Usage is 15%		Not used	Research further

Section Four - Main table field definitions

Field name	Data Type	Data Length	Data Description	Source	Notes	UI Location
Dummy	Short Text	1	Undocumented legacy data, does not appear on legacy UI, no data found		Not used	
Version	Date With Time	8	Undocumented legacy data, does not appear on legacy UI, no data found		Not used	
Data entry name	Short Text	20	Usage 70%, 98% of those = "HPASS" Future usage will be background update.		Using system function call to populate with Windows user name, code tested good, not yet implemented.	
DateEntered	Date With Time	8	New administrator defined field, updates in background.		Using system function call to populate with Windows user name, code tested good, not yet implemented.	
DateLastChanged	Date With Time	8	New administrator defined field, updates in background.		Using system function call to populate with Windows date and time stamped, code tested good, not yet implemented.	

Archaeology User Interface

BigIsleArchaeologyForm

Site Number: 50-92-11-99999 Exit to Main Menu

Site Record | **Significance Criteria** | Criteria Considerations | Historic Context | Preservation | TMK | Feature Record | Legacy Data 1

Criteria Considerations: Ordinarily cemeteries, birthplaces, or graves of historical figures, properties owned by religious institutions or used for religious purposes, reconstructed historic structures and properties that have achieved significance within the past 50 years shall not be considered eligible for the NRHP. However, such properties will qualify if they fall within the following categories (36CFR60.4):

Check first box only, or one or more of A through G:

- (A) Antiquities
- (B) Property of national significance (architectural, artistic, historic or scientific)
- (C) Building or structure which is a monument, landmark or historic site of national significance
- (D) Cemetery
- (E) Historic structure
- (F) Property of national significance
- (G) ...

SOP item #13

HASITE.CriteriaConsiderationA
HASITE.CriteriaConsiderationB
HASITE.CriteriaConsiderationC
HASITE.CriteriaConsiderationD
HASITE.CriteriaConsiderationE
HASITE.CriteriaConsiderationF
HASITE.CriteriaConsiderationG

Record # 7540 of 7545 Search

BigIsleArchaeologyForm

Site Number: 50-92-11-99999 Exit to Main Menu

Site Record | **Significance Criteria** | Criteria Considerations | **Historic Context** | Preservation | TMK | Feature Record | Legacy Data 1

Historic Context(s): The research realm/organizational format that groups information about related historic properties, based on a cultural theme, geographic limits and chronological period. See attachment 14a for current list of contexts. Check box - choices are:

- (A) Political Settlement of Hawaii
- (B) Development of Hawaiian Political and Legal Relations
- (C) Hawaiian Culture
- (D) Hawaiian Technical and Engineering Skills
- (E) Historic Culture Models for Hawaiian Research
- (F) The Colonization and Secularization of Modern Contact
- (G) Cultural Landscapes of the Nineteenth Century
- (H) Commercial and Government in the Nineteenth Century
- (I) Interfuses of Nineteenth Century and Hawaiian Culture - 20th Century
- (J) World War II Military Installations - construction, operational and modern
- (K) Early 20th Century Agricultural and Commercial - ranches, roads, etc.
- (L) Solar Camps - distribution of land use and functional or cultural Hawaiian

SOP item #14

HASITE.HistoricContextA
HASITE.HistoricContextB
HASITE.HistoricContextC
HASITE.HistoricContextD
HASITE.HistoricContextE
HASITE.HistoricContextF
HASITE.HistoricContextG
HASITE.HistoricContextH
HASITE.HistoricContextI
HASITE.HistoricContextJ
HASITE.HistoricContextK
HASITE.HistoricContextL

Record # 7540 of 7545 Search

Archaeology User Interface

EpisicArchaeologyForm

Report Number: 1

Exit to Main Menu

Site Record | Significance Criteria | Criteria Considerations | Historic Context | Preservation | TMK | Feature Record | Legacy Data 1

HASITE.PreservationStatus Section 106 document **SOP item #15**

HASITE.AisReportYear 21 **SOP item #16**

SHPD library # Data entry name State site #

HA_SREPT.SHPD library # **SOP item #20**

Preserved, pursuant to preservation plan HASITE.PreservationUpdate **SOP item #18**

HASITE.PreservatioUpdateYear **SOP item #19**

HASITE.Comments **SOP item #21**

1 of 140 Search

EpisicArchaeologyForm

Site Number: 50-10-01-02302

Exit to Main Menu

Site Record | Significance Criteria | Criteria Considerations | Historic Context | Preservation | TMK | Feature Record | Legacy Data 1

Preservation TMK Data entry name State site #

* | 50-10-01-02302

HA_S1MI6.TMK **SOP item #22 and # 23 -**

Record Search

Archaeology User Interface

BigisArchaecology Form

Site Number: 50-10-01-02302

Exit to Main Menu

Site Record | Significance Criteria | Criteria Considerations | Historic Context | Preservation | TMK | Feature Record | Legacy Data 1

HA Feature Records subform

Feature Description | Formal Type, Function

Island Quad Site Number: HA_FeatureRecords.IslandQuadSiteNumber (SOP Feature Record item #1)

UTM Center: HA_FeatureRecords.UtmAtCenter (SOP Feature Record item #11)

Feature Count: 0 HA_FeatureRecords.FeatureNumber (SOP Feature Record item #2)

Dimensions: 0 HA_FeatureRecords.Dimensions (SOP Feature Record item #5)

Site condition: HA_FeatureRecords.Condition (SOP Feature Record item #6)

Preservation Stat: HA_FeatureRecords.PreservationStatus (SOP Feature Record item #7)

Description: HA_FeatureRecords.Description (SOP Feature Record item #8)

TMK: HA_FeatureRecords.TMK (SOP Feature Record item #9)

State Site: 50-10-01-02302

Shapefile submitted: HA_FeatureRecords.ShapefileSubmitted (SOP Feature Record item #10)

HA_FeatureRecords.ID (New)

Record: 1 of 1

Record: 3 of 7545

Archaeology User Interface

Big Island Archaeology Form
Exit to Main Menu

Site Number
50-10-01-02302

Site Record
Significance Criteria
Criteria Considerations
Historic Context
Preservation
TMK
Feature Record
Legacy Data 1

HA_FeatureRecord Form

Feature Description Formal Type Function

<input type="radio"/> Alignment	<input type="radio"/> Footpath	<input type="radio"/> Placement	<input type="radio"/> Traditional artifact scatter
<input type="radio"/> Drainage	<input type="radio"/> Hearing	<input type="radio"/> Petroglyph	<input type="radio"/> Traditional
<input type="radio"/> Earth	<input type="radio"/> Historic Artifact Scatter	<input type="radio"/> Pictograph	<input type="radio"/> Traditional (e.g. old)
<input type="radio"/> Burial	<input type="radio"/>	<input type="radio"/> Pictograph	<input type="radio"/>
<input type="radio"/> Bank	<input type="radio"/> Scatter	<input type="radio"/> Pile	<input type="radio"/> Visible (e.g. stone)
<input type="radio"/>	<input type="radio"/> Traditional artifact surface	<input type="radio"/> Platform	<input type="radio"/> Visible (e.g. stone)
<input type="radio"/> Clearing Area	<input type="radio"/> Erosion	<input type="radio"/> Pile	<input type="radio"/> Visible (e.g. stone)
<input type="radio"/> C-shaped	<input type="radio"/> Traditional site or	<input type="radio"/> Stone	<input type="radio"/>
<input type="radio"/> Cistern	<input type="radio"/> Pit	<input type="radio"/> Stone and artifacts	<input type="radio"/> Visible (e.g. stone)
<input type="radio"/> Concrete pad	<input type="radio"/> Modified Lava Tube	<input type="radio"/> Stone and Artifact	
<input type="radio"/> Culvert	<input type="radio"/> Modified outcrop	<input type="radio"/> Stone and structure	
<input type="radio"/> Ditch	<input type="radio"/> Modified (e.g.)	<input type="radio"/> Stone and structure	
<input type="radio"/> Enclosure	<input type="radio"/> Modified (e.g.)	<input type="radio"/> Stone surface (e.g. stone)	
<input type="radio"/> Fence	<input type="radio"/> Traditional excavation	<input type="radio"/> Traditional	
<input type="radio"/> Foundation	<input type="radio"/> Pallet		

Record: 1 of 1

Search

Record: 3 of 7545

Search

SOP Feature Record item #3

These fields are defined in the table HA_FeatureRecords, which has a many to one relationship to HASITE through the unique ID of State Site #

Archaeology User Interface

BigIsleArchaeologyForm

Site Number: 50-10-01-02302

Exit to Main Menu

Site Record | Significance Criteria | Criteria Considerations | Historic Context | Preservation | TMK | Feature Record | Legacy Data 1

HA_FeatureRecords subform

Feature Description | Formal Type | Function

SOP Feature Record Item #4

These fields are defined in the table HA_FeatureRecords, which has a many to one relationship to HASITE through the unique ID of State Site #

<input type="radio"/> Agriculture - irrigated (lo'i)	<input type="radio"/> Communication	<input type="radio"/> Military storage
<input type="radio"/> Agriculture - field clearance	<input type="radio"/> Coastal storage	<input type="radio"/> Oven
<input type="radio"/> Agriculture - inter-land cleared	<input type="radio"/> Dam	<input type="radio"/> Platform
<input type="radio"/> Agriculture - generic	<input type="radio"/> Dump - historic	<input type="radio"/> Refuse
<input type="radio"/> Animal pen	<input type="radio"/> Fishing Grounds (pa'a) - storage	<input type="radio"/> Refuse
<input type="radio"/> Animal symbolism	<input type="radio"/> Fishing lookout station (pohaka'i)	<input type="radio"/> Refuse
<input type="radio"/> Bird capture	<input type="radio"/> Foundation	<input type="radio"/> Resource procurement
<input type="radio"/> Burial	<input type="radio"/> Habitation - generic	<input type="radio"/> Storage
<input type="radio"/> Building foundations	<input type="radio"/> Habitation - permanent	<input type="radio"/> Storage - site
<input type="radio"/> Boundary - ahupua'a	<input type="radio"/> Habitation - temporary	<input type="radio"/> Storage - site structure
<input type="radio"/> Boundary - house lot or garden	<input type="radio"/> Heiau - ceremonial complex	<input type="radio"/> Storage - site structure
<input type="radio"/> Boundary - kulepa'a	<input type="radio"/> Hunting ground	<input type="radio"/> Tool production
<input type="radio"/> Boundary - paddock, ranching	<input type="radio"/> Market	<input type="radio"/> Transportation
<input type="radio"/> Boundary - generic	<input type="radio"/> Military - emplacement	<input type="radio"/> Unknown
<input type="radio"/> Ceremonial	<input type="radio"/> Military - emplacement	<input type="radio"/> Unknown (multiple, e.g. submerged)

Record: 1 of 1

Record: 3 of 7545

BigIsleArchaeologyForm

Record Number: 7658

Exit to Main Menu

Site Record | Significance Criteria | Criteria Considerations | Historic Context | Preservation | TMK | Feature Record | Legacy Data 1

Legacy data from HA_SFSPM subform

Form1 | State site # | Data entry n.

Legacy data from table HA_SFSPM many to one related with State site #

Legacy data not on SOP

Record: 1 of 1

Legacy data from HA_SFSTAT subform

State site # | Status

Legacy data from table HA_SFSTAT

Legacy data not on SOP

Record: 1 of 1

Legacy data from HA_SFJMC subform

Function | State site # | Data entry n.

Legacy data from table HA_SFJMC many to one related with State site #

Legacy data not on SOP

Record: 1 of 1

Legacy data from HA_SFJMC subform

State site # | UTM Ea | UTM No | Data entry name

Legacy data from table HA_SFJMC

Legacy data not on SOP

Record: 1 of 1

Legacy data from HA_SFJMC subform

Current function | State site #

Legacy data from table HA_SFJMC many to one related with State site #

Legacy data not on SOP

Record: 1 of 1

Record: 7548 of 7548

Architecture Survey Database Schema

Section One

List of tables for the Architecture Branch Survey and Inventory database.

ArchitectureSite – Main table. 46 fields as per Architecture Standard Operating Procedures document entitled “DRAFT—January 2013 Hawai'i State Historic Preservation Division Guidelines for Historic Resources Surveys, section ‘Completing the Survey Spreadsheet’, which are the last six pages of document” Primary indexes are “SiteID” which is system generated, and “ProjectID” which is foreign key from submitting party.

TblPhoto – table to store multiple records of photo filenames submitted with a ArchitectureSite record, indexed by “ProjectID”

ListCladding – User Interface selection options for Claddings, 44 entries.

ListEligibility - User Interface selection options for Eligibility, 6 entries.

ListFoundation - User Interface selection options for Foundation, 10 entries.

ListFraming - User Interface selection options for Framing, 13 entries.

ListRoofMaterials - User Interface selection options for Claddings, 20 entries.

ListRoofStyle - User Interface selection options for Claddings, 22 entries.

ListStyle - User Interface selection options for Style, 48 entries.

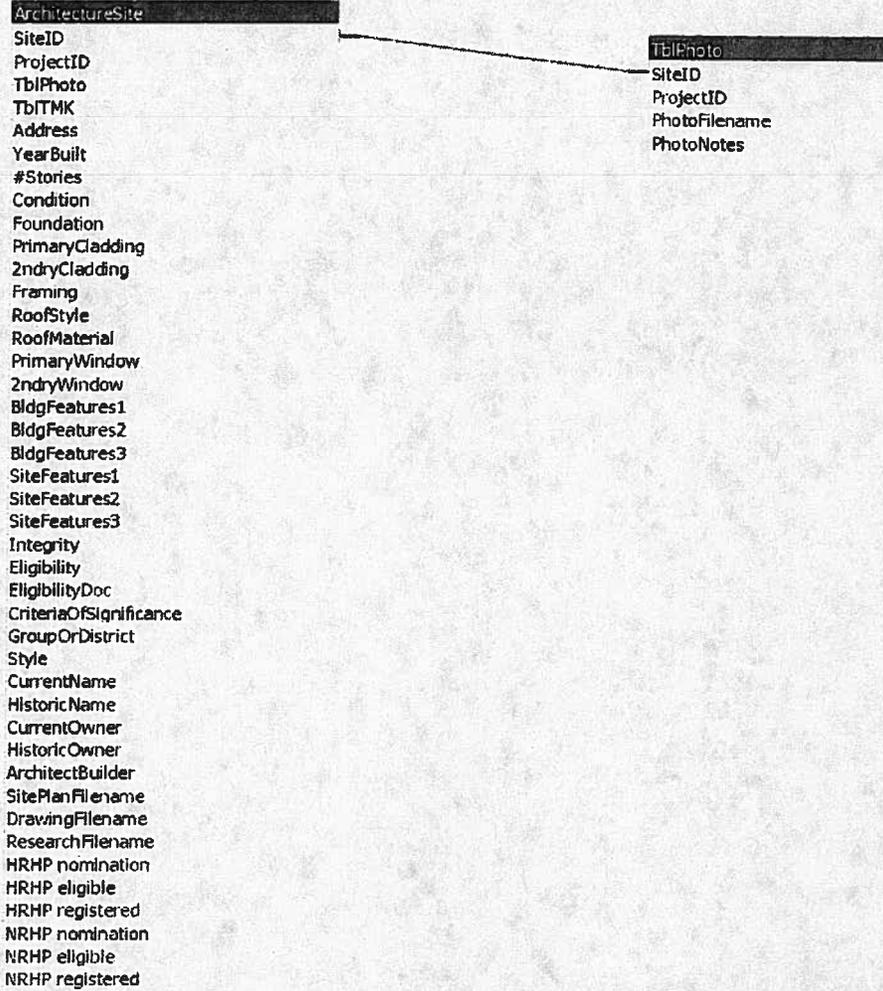
ListWindow - User Interface selection options for Window, 21 entries.

ListFunction – In State Historic Preservation Division Terminology for Architectural Resource Surveys, does not appear in “Completing the Survey Spreadsheet”. 108 entries.

ListForms – In State Historic Preservation Division Terminology for Architectural Resource Surveys, does not appear in “Completing the Survey Spreadsheet”. 63 entries.

Section Two – Relationship Diagram

Relationships for ArchitectureSite
Monday, May 12, 2014



Section Three – Main table field definitions

Table name - ArchitectureSite						
Field name	Data Type	Data Length	Data Description	Source	Notes	UI Location
SiteID	Long Integer	4	System generated auto number	System	Primary index for system housekeeping	Form footer.
ProjectID	Short Text	50	Foreign Key from submitter - defined as YYYY_Projname_ID#, max length 50 characters	Architecture SOP Item #1	Recommend change to method that prevents error in assignment. System generated or SHPD assigned.	Main Page Tab #1
GUID	ReplicationID	32	System generated unique 32 characters	GIS request		Not shown on UI
TblPhoto	Short Text	50	Reference to sub form/table with references to photos submitted with project and URL or object	Architecture SOP Item #2	Multi records related to submitted defined ProjectID	Photo References Tab #2
TMK	Short Text	9	TMK reference from submitter, no formatting, leading zeros, total 9 digits	Architecture SOP Item #3	Single TMK reference in specification	Main Page Tab #1
Address	Short Text	100	Address line 1, specification is number and street name	Architecture SOP Item #4	Confirmed Architecture specification allows single line for entire address and city name	Main Page Tab#1
YearBuilt	Short Text	4	Year built as 4 character string	Architecture SOP Item #5		Main Page Tab#1
#Stories	Integer	2	Number of building stories, 1/2 stories as .5	Architecture SOP Item #6		Main Page Tab#1
Condition	Short Text	50	E=Excellent, G=Good, F=Fair, P=Poor (note draft guideline include one letter codes, draft spreadsheet does not)	Architecture SOP Item #7		Main Page Tab#1
Foundation	Short Text	100	ListFoundation	Architecture SOP Item #8	Selections from table ListFoundation	Main Page Tab#1
PrimaryCladding	Short Text	50	ListCladding	Architecture SOP Item #9	Selections from table ListCladding	Main Page Tab#1
2ndryCladding	Short Text	50	ListCladding	Architecture SOP Item #10	Selections from table ListCladding	Main Page Tab#1
Framing	Short Text	255	ListFraming from Architecture Details	Architecture SOP Item #11	Selections from table ListFoundation	Main Page Tab#1
RoofStyle	Short Text	50	ListRoofStyle	Architecture SOP Item #12	Selections from table ListRoofStyle	Main Page Tab#1
RoofMaterial	Short Text	50	ListRoofMaterial	Architecture SOP Item #13	Selections from table ListRoofStyle	Main Page Tab#1
PrimaryWindow	Short Text	50	ListWindow	Architecture SOP Item #14	Selections from table ListWindow	Main Page Tab#1
2ndryWindow	Short Text	50	ListWindow	Architecture SOP Item #15	Selections from table ListWindow	Main Page Tab#1

Section Three – Main table field definitions

BldgFeatures1	Short Text	50	Spreadsheet allows submitter to insert up to 2 additional columns for additional features 3 total	Architecture SOP #16, specification allows 0-3 responses	ArchitectureSite.BldgFeatures1	Bldg/Site Features Tab #3
BldgFeatures2	Short Text	50	Spreadsheet allows submitter to insert up to 2 additional columns for additional features 3 total	Architecture SOP #16, specification allows 0-3 responses	ArchitectureSite.BldgFeatures2	Bldg/Site Features Tab #3
BldgFeatures3	Short Text	50	Spreadsheet allows submitter to insert up to 2 additional columns for additional features 3 total	Architecture SOP #16, specification allows 0-3 responses	ArchitectureSite.BldgFeatures3	Bldg/Site Features Tab #3
SiteFeatures1	Short Text	255	Spreadsheet allows submitter to insert up to 2 additional columns for additional features 3 total	Architecture SOP #17, specification allows 0-3 responses	ArchitectureSite.SiteFeatures1	Bldg/Site Features Tab #3
SiteFeatures2	Short Text	255	Spreadsheet allows submitter to insert up to 2 additional columns for additional features 3 total	Architecture SOP #17, specification allows 0-3 responses	ArchitectureSite.SiteFeatures2	Bldg/Site Features Tab #3
SiteFeatures3	Short Text	255	Spreadsheet allows submitter to insert up to 2 additional columns for additional features 3 total	Architecture SOP #17, specification allows 0-3 responses	ArchitectureSite.SiteFeatures3	Bldg/Site Features Tab #3
Integrity	Short Text	255	E=Excellent, G=Good, F=Fair, P=Poor (note draft guideline include one letter codes, draft spreadsheet does not)	Architecture SOP Item #18	ArchitectureSite.Integrity	Integrity and Eligibility Tab #4
Eligibility	Short Text	4	ES = Eligible/Significant, EC = Eligible/Contributing, NC = Not Eligible/Not Contribution, HP = Not Eligible Out of period, UN = Undetermined, XD = Demolished	Architecture SOP Item #19	ArchitectureSite.Eligibility	Integrity and Eligibility Tab #4
EligibilityDoc	Short Text	255	Notes. URL, or object to required documentation for use of Demolished (XD) notation	Architecture SOP Item #19, additional documentation for this item.	ArchitectureSite.EligibilityDoc	Integrity and Eligibility Tab #4
CritenaOfSignificance	Short Text	12	Letters in comma separated string for resources noted as eligible by submitter (A, B, C, or D)	Architecture SOP Item #20	ArchitectureSite.CriteriaOfSignificance	Integrity and Eligibility Tab #4
GroupOrDistrict	Short Text	255	Resource group or district	Architecture SOP Item #21	ArchitectureSite.GroupOrDistrict	Integrity and Eligibility Tab #4
Style	Short Text	255	ListStyle, note - not on draft spreadsheet, shown as item #23 in Draft January 2013 "Completing the Survey Spreadsheet"	Architecture SOP Item #22	Selections from ListStyle, stored in ArchitectureSite.Style	Main Page Tab #1
CurrentName	Short Text	50	Name of property - for intensive level survey only	Architecture SOP #23	User entered text	Intensive Survey Tab #5

Section Three – Main table field definitions

HistoricName	Short Text	50	Name of property when first constructed or when historically significant - for intensive level survey only	Architecture SOP #24	User entered text	Intensive Survey Tab #5
CurrentOwner	Short Text	50	Name of current owner of property - for intensive level survey only	Architecture SOP #25	User entered text	Intensive Survey Tab #5
HistoricOwner	Short Text	100	Name(s) during property's period of significance - for intensive level survey only	Architecture SOP #26	User entered text	Intensive Survey Tab #5
Architect/Builder	Short Text	100	Architect, builder, or developer of the resource - for intensive level survey only	Architecture SOP #27	User entered text	Intensive Survey Tab #5
SitePlanFilename	Short Text	100	Filename for site plans saved as a single multi-page pdf - for intensive level survey only	Architecture SOP #28	User entered text	Intensive Survey Tab #5
DrawingFilename	Short Text	100	Filename for drawings saved as a single multi-page pdf - for intensive level survey	Architecture SOP #29	User entered text	Intensive Survey Tab #5
ResearchFilename	Short Text	100	Filename for research material saved as a single multi-page pdf - for intensive level survey	Architecture SOP #30	User entered text	Intensive Survey Tab #5
HRHP nomination	Date/Time	8	Hawaii Register of Historic Places nomination date and time	Suggested field, not on SOP	null assumes not nominated. UI has date picker	Historic Register Tab #6
HRHP eligible	Date/Time	8	Hawaii Register of Historic Places eligibility determination date and time	Suggested field, not on SOP	null assumes not eligible, but provides no indication of who made determination and when. UI has date picker. UI has date picker	Historic Register Tab #6
HRHP registered	Date/Time	8	Hawaii Register of Historic Places registration date/time	Suggested field, not on SOP	not null indicates it was registered	Historic Register Tab #6
NRHP nomination	Date/Time	8	National Register of Historic Places eligibility determination date and time	Suggested field, not on SOP	null assumes not nominated. UI has date picker	Historic Register Tab #6
NRHP eligible	Date/Time	8	National Register of Historic Places eligibility determination date and time	Suggested field, not on SOP	null assumes not eligible, but provides no indication of who made determination and when. UI has date picker	Historic Register Tab #6
NRHP registered	Date/Time	8	National Register of Historic Places eligibility determination date and time	Suggested field, not on SOP	not null indicates it was registered. UI has date picker	Historic Register Tab #6
Data entry name	Short Text	50	admin field for housekeeping		Not on UI	
DateEntered	Date/Time	8	admin field for housekeeping		Not on UI	
DateLastChanged	Date/Time	8	admin field for housekeeping		Not on UI	

Section Four – User interface documentation

Architecture Site Database User Interface

FrmArchitectureSite

Architecture Site Database Return to menu

Main Page Photo References Sldg/Site Features Integrity

Project ID: 2014-ProjectTest-001

Address: 601 Kamokila Blvd

Year Built: 2000

Stories: 6

Condition: E

Foundation: Piles

Primary Cladding: Concrete Block

2ndry Cladding: None

Framing: Concrete Frame

Roof Style: Hip w/ upturned eaves

Roof Material: Earth

Primary Window: Store Front

2ndry Window: Stained Glass

Style: Modern Commercial

SOP item #1, ArchitectureSite.ProjectID

SOP item #3, ArchitectureSite.TMK

SOP item #4, ArchitectureSite.Address

SOP item #5, ArchitectureSite.Yearbuilt

SOP item #5, ArchitectureSite.#Stores

SOP item #12, ArchitectureSite.RoofStyle

SOP item #10, ArchitectureSite.Framing

SOP item #9, ArchitectureSite.2ndryCladding

SOP item #9, ArchitectureSite.PrimaryCladding

SOP item #8, ArchitectureSite.Foundation

SOP item #7, ArchitectureSite.Condition

SOP item #13, ArchitectureSite.RoofMaterial

SOP item #14, ArchitectureSite.PrimaryWindow

SOP item #15, ArchitectureSite.2dryWindows

SOP item #22, ArchitectureSite.Style

Record 1 of 1 Search

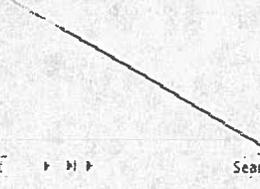
FrmArchitectureSite x

Architecture Site Database

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Main Page | **Photo References** | Bldg/Site Features | Integrity and Eligibility | Intensive Survey | Historic Register

Photo Filename	Photo Notes
2014 Test Photo 1	Internal use only

* 

Record: 1 of 1 Search

SOP item #2, TBPhoto, multiple records linked by index ArchitectureSite.ProjectID

Record: 1 of 1 Search

Architecture Site Database User Interface

FrmArchitectureSite x

Architecture Site Database

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Main Page | Photo References | **Bldg/Site Features** | Integrity and Eligibility | Intensive Survey | Historic Register

Bldg Features 1	Site Features 1
Bldg Features 2	Site Features 2
Bldg Features 3	Site Features 3

SOP item #16, ArchitectureSite.BldgFeatures1

SOP item #16, ArchitectureSite.BldgFeatures2

SOP item #16, ArchitectureSite.BldgFeatures2

SOP item #17, ArchitectureSite.SiteFeatures1

SOP item #17, ArchitectureSite.SiteFeatures2

SOP item #17, ArchitectureSite.SiteFeatures2

Architecture Site Database

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Main Page Photo References Bldg/Site Features Integrity and Eligibility Intensive Survey Historic Register

Integrity	F	▼	SOP item #18, ArchitectureSite.Integrity
Eligibility	NP	▼	SOP item #19, ArchitectureSite.Eligibility
Eligibility Documentation	N/A	▼	SOP item #19, ArchitectureSite.EligibilityDoc
Character of Significance	Blank	▼	SOP item #20, ArchitectureSite.EligibilityDoc
Group or District	Blank	▼	SOP item #21, ArchitectureSite.GroupOrDistrict

Record: 1 of 1 Search

Architecture Site Database

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Main Page Photo References Bldg/Site Features Integrity and Eligibility Intensive Survey Historic Register

Current Name	Current Name	SOP item #23, ArchitectureSite.CurrentName
Historic Name	Historic Name	SOP item #24, ArchitectureSite.HistoricName
Current Owner	Current Owner	SOP item #25, ArchitectureSite.CurrentOwner
Historic Owner	Historic Owner	SOP item #26, ArchitectureSite.HistoricOwner
Architect/Builder	Architect/Builder	SOP item #27, ArchitectureSite.Architect/Builder
Site Plan Filename	Site Plan Filename	SOP item #28, ArchitectureSite.SitePlanFilename
Drawing Filename	Drawing Filename	SOP item #29, ArchitectureSite.Site.DrawingFilename
Research Filename	Research Filename	SOP item #30, ArchitectureSite.Site.ResearchFilename

Architecture Site Database

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Main Page	Photo References	Bldg/Site Features	Integrity and Eligibility
Intensive Survey	Historic Register		
			ArchitectureSiteSite.HRHP nomination
			ArchitectureSiteSite.HRHP eligible
Hawaii Register of Historic Places Nomination Date and Time	5/12/2014		
Hawaii Register of Historic Places Eligible Date and Time	5/12/2014		
Hawaii Register of Historic Places Registered Date and Time	5/12/2014		ArchitectureSiteSite.HRHP registered
National Register of Historic Places Nomination Date and Time			ArchitectureSiteSite.NRHP nomination
National Register of Historic Places Eligible Date and Time			ArchitectureSiteSite.NRHP eligible
National Register of Historic Places Registered Date and Time			ArchitectureSiteSite.NRHP registered

Proposed Linking Table for Inventory Database of Resources that have been Mapped in GIS

This table is designed to facilitate the use of GIS as a tool to create and maintain relationships between the domain databases of Archaeology, Architecture, Culture, other existing and future SHPD data resources.

The previous design proposed in early 2013 used Hawaii Tax Map Key references (TMK) as a method of creating geographic relationships between data resources. Feedback and analysis have demonstrated that the TMK system has systemic problems that prevent it from being used to maintain relationships. These flaws are the potential changes of TMK boundaries, potential subdivision within TMK boundaries, and lack of support for resources that cross multiple TMK boundaries.

This design is the result of input from the SHPD GIS Specialist Nick Belluzzo, other SHPD employees, a study of Inventory database schemas from the Pennsylvania and Wisconsin SHPO offices, and my experience with current and legacy data.

Inventory Table Definition

Field Name	Field Description
RecordID	System generated sequential number, housekeeping use only.
ResourceKey	Foreign Key (non GUID) from parent table
ResourceType	Description of the resource from parent table
MappedGIS	Indicates if parent resource is mapped in GIS
GisGUID	Foreign Key (GUID) from the parent table.
SourceGIS	Location of GIS data as URL path or file Object

Notes:

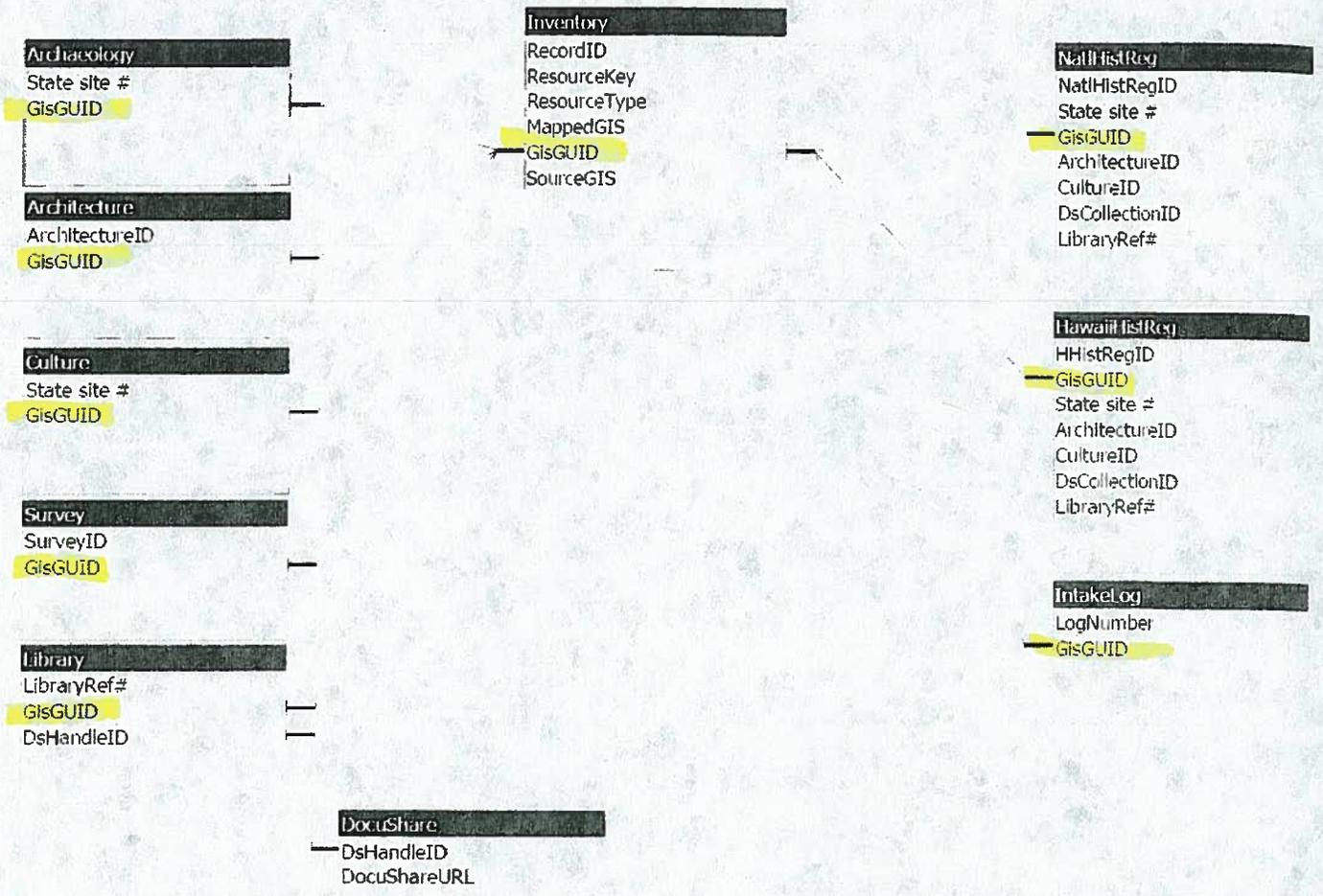
Two unique foreign keys were included to support the presence of State site # keys in the legacy Archaeology tables that are not in the standard format. The State site # will be edited into a standard format by the Archaeology branch. The GUID key from the parent Archaeology table will remain unchanged as the State site # is edited. The GUID value will be used to maintain referential integrity between the parent and child tables. This strategy will be used with other tables as needed.

Creating and maintaining records in the Inventory table can be done with SQL queries. For example a query to add records to the Inventory Linking table will compare the key value for a record in the parent table against all records in the Inventory table, if that value is not found, a new record will be added to the Inventory Linking table.

The purpose of the "MappedGIS" field, is to indicate if the Resource has been mapped in GIS. If the Resource has been mapped the SourceGIS reference is to be updated with a reference to the map. These fields can be updated with a query that uses data from a spreadsheet.

A diagram of the Inventory Linking data schema is on page two. The relationship between parent and child is one to one, one parent record in the Resource table linked to one child record in the Inventory table.

Relationship Diagram for Inventory Linking



Appendix 1 - Archaeology Site Form Instructions

STATE INVENTORY OF HISTORIC PLACES **ARCHAEOLOGY SITE FORM INSTRUCTIONS**

SITE RECORD

1. **Island code:** entered as a two-digit number, no decimal places. Number must be selected from list box provided on form. Select one.

Choices are:

- 10 = Hawai'i Island
- 20 = Kaho'olawe
- 30 = Kaua'i
- 40 = Lana'i
- 50 = Maui
- 60 = Moloka'i
- 70 = Ni'ihau
- 80 = O'ahu
- 91 = Necker
- 92 = Nihoa
- 93 = Midway

2. **Quadrangle number:** entered as a two-digit number, no decimal places. Number must be selected from the USGS 7.5 Minute Quadrangle index for the specified island. Select one.

Choices are:

- Hawai'i Island - 01 thru 76 (attachment 2.a)
- Kaho'olawe - 01 or 02 (attachment 2.b)
- Kaua'i - 01 thru 11 (attachment 2.c)
- Lana'i - 01 thru 04 (attachment 2.d)
- Maui - 01 thru 17 (attachment 2.e)
- Moloka'i - 01 thru 05 (attachment 2.f)
- Ni'ihau - 01 thru 04 (attachment 2.g)
- O'ahu - 01 thru 15 (attachment 2.h)

3. **Site number:** entered as a five-digit number, no decimal places. Number must be selected from the current list of assigned numbers for the specified island; vacant numbers must be used in sequence. These numbers are unique within each island, but not unique across the state.
4. **Prior number:** entered as whole number and letter combinations. Most frequent examples are Bishop Museum site numbers, which use letter designations for island, number codes for ahupua'a and unique site numbers. Temporary field numbers assigned by consulting firms can also be entered here, if applicable. If a site has a prior SIHP number, a new SIHP number should not be assigned, unless the former site constitutes a portion of what is identified as a larger complex that was not previously recorded. In such case, the prior number is entered on the applicable feature record as well as here.
5. **Name:** This information can be derived from historic or modern maps or other sources; and from informants who are knowledgeable about the area. More than one name may be entered. Do not fabricate a name.
6. **Feature Count:** Enter whole numbers, no decimal places. If the number of features is not certain, enter "ND". Complete attached sub-table for individual features.
7. **Total Area:** Enter value in square meters, one decimal place.

8. **Age:** Use general categories to include all features within the site area. Enter specific date ranges derived from radiocarbon dates (when available) on the applicable feature records. Select one.

Checkbox - choices are:

- Indeterminate
- Precontact
- Early Precontact
- Late Precontact
- Late Precontact/early historic
- 19th century
- 19th/20th century
- Early/middle 20th century
- Continuous (Precontact through 20th century)

9. **Condition:** Use choice that best summarizes site as a whole; see features form(s) for individual features condition. Select one.

Checkbox – choices are:

- Excellent (no alterations, no erosion, no disturbance)
- Good (no alterations, minor erosion or natural wear, no disturbance)
- Fair (minor alterations, minor erosion or wear, minor disturbance)
- Poor (altered, disturbed or affected by severe natural processes)

10. **Description:** Free form entry, general description of overall site, construction materials, style, general formal/functional categories represented. Do not replicate information found in feature forms (Text box).

11. **Integrity:** Indicate here if the site possesses integrity of location, design, setting, materials, workmanship, feeling and association;

Yes/no checkbox.

12. **Significance Criteria:** Criteria A-D applicable to NRHP (36CFR60.4) and HRHP; Criterion “e” applicable to HRHP [Hawaii Administrative Rule §13-275-6 (b) and §13-284-6 (b)].

Checkbox – check all that apply:

- (A) associated with events that have made an important contribution to the broad patterns of our history; or
- (B) associated with the lives of persons important in our past; or
- (C) embodies the distinctive characteristics of a type, period, or method of construction; represents the work of a master, or possess high artistic values; or represent a significant and distinguishable entity whose components may lack individual distinction; or
- (D) has yielded or may be likely to yield information important for research on prehistoric or history;
- (E) has an important value to the native Hawaiian people or to another ethnic group of the state due to association with cultural practices once carried out, or still carried out at the property; or due to associations with traditional beliefs, events or oral accounts – these associations being important to the group’s history and cultural identity (similar traditional cultural significance for NRHP).

13. **Criteria Considerations:** Ordinarily cemeteries, birthplaces, or graves of historical figures, properties owned by religious institutions or used for religious purposes, reconstructed historic structures and properties that have achieved significance within the past 50 years shall not be considered eligible for the NRHP. However, such properties will qualify if they fall within the following categories (36CRF60.4):

Checkbox – check first box only, or one or more of A through G:

- Not applicable
- (A) religious property deriving primary significance from architectural or artistic distinction or historical importance; or
- (B) building or structure removed from its original location but is significant primarily for architectural value, or which is the surviving structure most importantly associated with a historic person or event; or

- (C) birthplace or grave of a historical figure of outstanding importance if there is no appropriate site or building directly associated with his/her productive life; or
- (D) cemetery which derives its primary significance from graves of persons of transcendent importance, from age, from distinctive design features, or from associated with historic events; or
- (E) reconstructed building accurately executed in a suitable environment and presented in a dignified manner as part of a restoration master plan, and when no other building or structure with the same association has survived; or
- (F) property primarily commemorative in intent if design, age, tradition, or symbolic value has invested it with its own exceptional significance; or
- (G) property achieving significance within the past 50 years if it is of exceptional importance.

14. **Historic Context(s):** The research realm/organizational format that groups information about related historic properties, based on a cultural theme, geographic limits and chronological period. See attachment 14a for current list of contexts.

Checkbox – choices are:

- Polynesian Settlement of Hawaii (four topics)
- Development of Hawaiian Political Structure and Religion (five topics)
- Hawaiian Agriculture (six topics)
- Hawaiian Technology and Subsistence Strategies (five topics)
- Material Culture Models for Hawaiian Research (three topics)
- The Archaeology and Geography of Western Contact (four topics)
- Changing Landscapes in the Nineteenth Century (three topics)
- Commerce and Government in the Nineteenth Century (five topics)
- Interfaces of Immigrant Cultures and Hawaiian Culture – 20th Century
- World War II Era Military Installations – construction, use and abandonment
- Early 20th Century Agricultural Landscapes (flumes, ditches, railroads, mills)
- Sugar Camps – distribution, internal design and functional role in rural Hawaii

15. **Preservation Status:** Recommended actions or conditions at time of recordation. Select one.

Checkbox – choices are:

- See Feature Records (use when there is more than one status within the site)
- Preservation recommended in AIS, BTP or Section 106 document
- Preservation with data recovery recommended in AIS or Section 106 document
- Data recovery recommended in AIS or Section 106 document
- No further work or action recommended in AIS
- Preserved following burial registration process
- Inadvertent discovery (burial and non-burial sites)
- Listed by SHPD staff, preservation recommended

16. **Year:** year of final AIS report acceptance and SHPD concurrence with significance assessments and preservation status. If no report was produced, enter the year the site number was assigned and form completed. Four digit number.

17. **Library Reference:** SHPD library accession number assigned upon final report acceptance, if applicable. This reference should contain primary documentation of all above information, including significance assessment and preservation status recommendations. Entered as a five digit number, preceded by the Island code (one or two letters). Must be obtained from the library database and reflect next available open number for the respective island.

Checkbox – choices are:

- Hawai'i Island, H-
- Kaho'olawe, KH-
- Kaua'i, K-
- Lana'i, L-
- Maui, M-
- Moloka'i, MO-
- Ni'ihau, N-

- Nihoa, NI-
- Necker, NK-
- O'ahu, O-

18. **Preservation Update:** Condition/status of the site at time of update; no specific time frame is required. Update should occur when condition or status changes due to revised mitigation plans or inadvertent/intentional destruction of site.

Checkbox – choices are:

- Preserved, pursuant to preservation plan
- Preserved, no formal plan on file
- Integrity lost or diminished since recordation
- Disturbed, partially intact (some features destroyed or impacted)
- Destroyed

19. **Year of Update:** Four digit number reflecting year the updated report/site visit occurred.

20. **Library Reference:** SHPD library accession number of report containing updated information. Entered as five digit number preceded by the Island code. Must be obtained from the library database and reflect next available open number for the respective island. Note: do not enter same library number used in item 16. Leave blank for new entry.

Checkbox – choices are same as item 16 above.

21. **Comments:** Free form discussion, additional information regarding update items 18-20. Text box.

22. **TMK:** Enter tax map key at time site is listed. Entered as single digit in parentheses (island code), followed by zone (single digit), section (single digit), plat (three digits) and parcel (three digits). NOTE: If the site extends into multiple TMK parcels, enter the appropriate parcel number on Feature Record and enter "See Feature Records" on this line.

23. **New TMK:** Enter newly assigned TMKs as applicable. Use same format as Item 22.

24. **Shapefile Submitted:** Yes/no checkbox

STATE INVENTORY OF HISTORIC PLACES
ARCHAEOLOGY SITE FORM INSTRUCTIONS

FEATURE RECORD

Attach to the Site Record (Item 6). Complete one form per feature.

1. **Island-Quad-Site Number:** String of three numbers, following items 1-3 on Site Record, separated by hyphens.
2. **Feature Number/Letter:** Numeric or alphabetical designation. Should begin at 1 or A, and continue sequentially for each feature documented.
3. **Formal Type:** Use best-fitting descriptor from list provided, or enter one or two word descriptor.

Checkbox – choices are:

- Alignment
- 'Auwai
- Berm
- Bridge
- Bunker
- Cairn
- Cleared area
- C-shaped wall
- Cistern
- Concrete/cement pad
- Culvert
- Ditch
- Enclosure
- Fence
- Fishpond
- Footpath
- Hearth
- Historic Artifact Scatter
- Imu
- Lithic scatter
- Midden/artifact surface deposit
- Modified blister or lava sink
- Modified lava tube
- Modified outcrop
- Modified pond
- Mound
- Pāhoehoe excavation
- Pā pamū
- Pavement

- Petroglyph
- Pictograph
- Pier
- Pit
- Platform
- Road
- Stairway
- Submerged artifacts
- Submerged aircraft
- Submerged structure
- Submerged watercraft
- Subsurface cultural layer
- Tank (water)
- Terrace
- Traditional artifact scatter
- Trail, curbstone
- Trail, steppingstone
- Trench
- Wall, free-standing
- Wall, retaining
- Wall, submerged or partially submerged
- Well
- Wood structural remains

4. **Function:** Use best-fitting descriptor from list provided, or enter one or two word descriptor.

Checkbox – choices are:

- Agriculture - irrigated (*lo 'i*)
- Agriculture - field clearance (stone pile, mound, modified outcrop)
- Agriculture - intense mechanized (i.e., sugar)
- Agriculture - generic
- Animal pen
- Art, symbolism
- Aquaculture
- Bird capture
- Burial
- Building foundations
- Boundary - *ahupua 'a*
- Boundary - houselot or garden
- Boundary - *kuleana*
- Boundary – paddock, ranching
- Boundary - generic
- Ceremonial
- Communication

- Cupboard - storage
- Dam
- Dump - historic
- Fishing grounds (ko'a) - submerged
- Fishing/lookout station (shoreline)
- Foundation
- Habitation - generic
- Habitation - permanent
- Habitation - temporary
- Heiau - ceremonial complex
- Hunting blind
- Marker
- Military - encampment
- Military- gun emplacement
- Military- storage
- Oven
- Quarry
- Ranch infrastructure
- Refuse
- Recreation
- Resource procurement
- Shelter
- Shipping - interisland
- Shrine - ceremonial structure
- Storage
- Tool production
- Transportation
- Unknown
- Wreck (ship, plane, ect., submerged)

5. **Dimensions:** Enter length, width and height (averages) in that order, separated by commas. Metric units, two decimal places. (Example: 1.50, 0.95, 0.47)

6. **Condition:** Refers to specific feature.

Checkbox – choices are:

- Excellent (no alterations, no erosion, no disturbance)
- Good (no alterations, minor erosion or natural wear, no disturbance)
- Fair (minor alterations, minor erosion or wear, minor disturbance)

7. **Preservation Status:** Recommended actions or conditions at time of recordation. Select one.

Checkbox – choices are:

- Preservation recommended in AIS/BTP
- Preservation with data recovery recommended in AIS
- Data recovery recommended in AIS
- No further work or action recommended in AIS

- Preserved following burial registration process
- Discovered during construction (with or without monitoring), preserved or partially preserved
- Discovered during construction (with or without monitoring), destroyed
- Listed by SHPD staff, based on report by owner/interested party, preserved

8. **Description:** Free form entry, general description of overall site, construction materials, style, general formal/functional categories represented. Include significance discussion if unique to site.
9. **TMK:** Use only if the site extends into multiple parcels; otherwise leave blank. Entered as single digit in parentheses (island code), followed by zone (single digit), section (single digit), plat (three digits) and parcel (three digits).
10. **Shapefile Submitted:** Yes/No Checkbox
11. **UTM at Center:** enter values with two decimal places.
 - Zone
 - Easting
 - Northing

Completing the Survey Spreadsheet

The survey spreadsheet is the primary way you will transmit survey data to SHPD. You must fill out the spreadsheet correctly and completely. This will ensure that survey data meets the Secretary of the Interiors Standards; it will also allow SHPD to easily add your data to the Hawai'i Statewide Inventory of Historic Places. You are free to collect the data in whatever way you find most efficient, but you *must* complete the spreadsheet correctly before submitting it to SHPD.

Choose a name for your survey

Choose a long form and a short form name for the project; both are required. Be consistent. Use the same name in all documents. The short form name you choose will determine the filename conventions for all photos and other such data that you submit. See the instructions below, for Column 1.

Decide what level of survey you will do

To complete a Reconnaissance Level Survey, you must only fill in the first 21 columns of the survey spreadsheet. If you plan an Intensive Level Survey, you must do more research and you must fill in all 30 columns in the survey spreadsheet.

The first 21 columns: required for both Reconnaissance and Intensive Level surveys

1. Project ID

Name each individual resource surveyed with a unique project id that begins with the year followed by the project's short name and followed by a number. For example:

2013_KahukuPlan_1

If a number of resources are closely related, such as farm buildings that all share one TMK, you may add a letter to the number to create a group. For example

2013_KahukuPlan_1a

2013_KahukuPlan_1b

2013_kahukuPlan_1c

2. Photos

Name photos using the Project ID and a photo number. Write down the entire filename, for example:

2013_KahukuPlan_1_photo1.jpeg

3. TMK

Input the entire ten-digit tax-map-key (TMK) number. The first digit should be the county number. A properly-formed TMK number looks like this:

12100315

If you encounter 9 digit TMKs, they will usually be lacking the country number. You can add that yourself, to the beginning of the TMK. The county numbers are:

City and County of Honolulu: 1

County of Maui: 2

County of Hawaii: 3

County of Kauai: 4

4. Address

Enter the street address. You must include the nearest Census Designated Place. You should not enter the name of the state. Do not include Hawaiian diacritical marks or commas. For example, you would type:

2323 Wilder Street Kapaa

5. Year built

The four digit year of construction. You can find this date in the county property tax information databases.

6. Number of stories

The number of stories in the surveyed building. You can note half-stories as well as full stories. A half-story is defined as a habitable space that is defined by the building's roof shape. A whole story is typically a finished and orthogonal space. Half stories should be denoted with a ".5" after the number of full stories. For example, the numbers of stories might be given as 1.5.

7. Condition

Classify the general condition of the building as excellent, good, fair, or poor. using these one-letter codes:

Excellent: E

Good: G

Fair: F

Poor: P

Contact SHPD for a matrix that provides standard definitions to these terms.

8. Foundation type

Describe the foundation type using standard terms. Note that your descriptions must be perfectly consistent, down to the letters and spacing. This is the only way to ensure that the data will integrate with the state's larger database of historic resources.

9. Primary cladding

Describe the exterior cladding using standard terms.

10. Secondary cladding

Describe any secondary exterior cladding visible on the resource. Again, be sure to use standard terms.

11. Framing

Describe the framing of the building. Use standard terms such as single wall, double wall, etc.

12. Roof style

Describe the primary roof style, using standard terms.

13. Roof material

Describe the roof material. Use standard terms.

14. Primary window type

Many buildings have several types of windows. Describe the most prominent window type in this column. If there is no visually dominant window type, describe the most common window type. Specify only *one* type.

15. Secondary window type

This column is optional. If there is a predominant secondary window type, describe it here, using standard terms. Specify only *one* type.

16. Building features

Describe salient features physically attached to or part of the building that are not mentioned elsewhere. Examples: attached carport, lava-rock detail, integrated garage, cresting, decorative rafter tail, etc. If there is more than one feature that merits description you may insert up to two more columns for *Building features*. Describe only *one* item per column.

17. Site/Landscape features

Describe salient features that are not physically attached to the building and not noted elsewhere in the spreadsheet. Examples: lava-rock walls, sheds, sculptures, plazas, etc. If there is more than one feature that merits description you may insert up to two more columns for *Site/Landscape features*. Describe only *one* item per column.

18. Integrity

Describe the historic integrity of the resources as excellent, good, fair, or poor. Use the letter codes given below:

Excellent: E

Good: G

Fair: F

Poor: P

For more information on how to assess a building's integrity, see Chapter VIII of *How to Apply the National Register Criteria for Evaluation*, published by the National Park Service.

19. Eligibility

Make a preliminary determination of the resource's eligibility for the State or National Registers of Historic Places. Use the following codes:

ES (Eligible/Significant)

Record "ES" when a resource appears to be eligible for the State or National Register of Historic Places (individually, not as contributing resource to a district).

EC (Eligible/Contributing)

Record "EC" when a resource appears to be eligible as a contributing resource to an actual or potential State or National Historic District. If a resource is described as eligible/contributing, the corresponding district must be described in the paper report. The report must include a brief statement explaining the significance; it must also describe the district boundaries. This existing or potential district must also be described in the Grouping/District column (Column 21).

NC (Not Eligible/Not Contributing)

Record "NC" when a resource does not possess the integrity to be eligible for the State or National Register of Historic Places. This code is appropriate only for structures that have lost integrity.

NP (Not Eligible Out of Period)

Record "NP" when a resource is not yet 35 years old or older and when it does not have great significance as described in Criteria Consideration G in Section VII of *How to Apply the National Register Criteria for Evaluation*

UN (Undetermined)

Record "UN" only when the resource could not be located, was obscured by vegetation, or was too distant to evaluate from the public right-of-way. All resources marked "UN" must be accompanied by a detailed explanation as to why a determination could not be made. Describing resources as "UN" should be done sparingly. SHPD may choose not accept reports in which too many resources are marked as undetermined.

XD (Demolished)

Record "XD" only when a resource that was previously surveyed is no longer present at the site. All notations of "XD" must be accompanied by supporting documentation illustrating that the resource has indeed been destroyed.

20. Criteria of significance

If you believe that a resource is eligible, name the criteria that led you to make this determination. Use the National Register criteria, as described in *How to Apply the National Register Criteria for Evaluation*, published by the National Park Service. Enter only the letter for the criterion (A, B, C or D). If more than one criterion apply, list the applicable letters. Put a comma and space between letters. For example: A, C.

21. Grouping or district

If the resource is included in a State or National Register District or Multiple Property Nomination, put the name of the resource group or district in this column. If you believe that the resource should be included in a potential district or potential multiple property grouping, enter the name you have assigned to this district. The final report you submit to SHPD must contain a separate document with a brief description of the potential district and a justification for your claim of significance.

22. Style

SHPD is working on a selection list of accepted style descriptions and definitions. Until this is prepared it is critical that surveyors be accurate and consistent in their description of building style. When in doubt choose broad categories such as "Craftsman" or

"Modern." Feel free to define more specific classifications for buildings but be consistent and use standard terms that can be cited elsewhere. For the time being all style classifications must come with brief definition in the paper report. "Other" is an acceptable entry but should be used very very sparingly. Simply describing resources as vernacular is not acceptable.

The last 8 columns, required only for the Intensive Level survey

23. Current name

Enter the name of the property. If the resource does not have an official name, a combination of the owner name and resource type will suffice. For example: *Sakamoto Residence* or *Kaahumanu Elementary School*.

24. Historic name

Enter the name the property bore when it was first constructed or when it was historically significant. For example, the Kekuanaoa Building on Oahu was formerly known as the Territorial Office Building. "Territorial Office Building" would be entered in the historic name column. The paper final report should include references clearly establishing that this was indeed the name used for this property.

25. Current owner

Enter the name of the current owner of the property. You can find this information on the property tax database websites for each county.

26. Historic owner

Enter the name(s) of the owner or owners during the property's period of significance. The paper final report should include references clearly establishing that the property was owned by the named person or persons.

27. Architect/Builder

Enter the architect, builder, or developer of the resource. The paper final report should include references clearly establishing the names of the responsible person(s) or entities.

28. Site plan filename

The filename for site plans should follow the same format as the photos and include the extension. For example: *2013_Tripler_ILS_SitePlan.PDF*. Multi-page site plans should be saved as a single PDF.

29. Drawing filename

The filename for drawings should follow the same format as that used to name photos. Include the file extension. For example: *2013_Tripler_ILS_Drawings.PDF*. Multi-page drawings should be saved as a single PDF.

30. Research material filename

If a surveyor wishes to submit historic photos, drawings or other archival materials please combine them into a single PDF. The name of this PDF should follow the same conventions as used for other files. For example: *2013_Tripler_ILS_Research.pdf*.

Information Technology Corrective Action Plan 2 Status Report

May 14, 2014 Alan Smith – Historic Preservation Systems Manager

Summary

The goal of SHPD Information Technology is to anticipate and provide for the technology goals of the division. One important goal is to work with the National Park Service in addressing the concerns raised in the Corrective Action Plan 2. To accomplish this SHPD IT has listed those concerns, progress to date, and what actions are planned to achieve each goals.

IT CAP2 Goals

1. Continued building of the Inventory Database (Archaeology and Architecture)
2. Providing database training to users
3. Create internal digital National Register tracking log
4. Incorporating past eligibility decisions into the inventory database
5. SHPD to develop website to track review and compliance project status
6. Maintain and update Strategic Plan

IT CAP2 Goal Analysis

1 and 2. - First priority is to complete the Inventory Database using the schemas presented here and to provide training for the database users. Work is proceeding, database schemas and user interfaces have been defined and built for Archaeology and Architecture. Legacy data has been analyzed and incorporated.

When reviewing the legacy data I found many copies of the same databases on the SHPD network. I discovered that poor network performance was the reason previous users would copy the database and update it independently. This has to be prevented in the future.

While network instability problems for the SHPD Kapolei, Hilo, and Wailuku offices have been resolved. The Hilo and Wailuku office have network performance problems when using high bandwidth applications such as GIS and Microsoft Access Database. These offices are already operating at the maximum capacity for the type of wide area network (WAN) service they have. There are two options to improve application performance.

Option one is to improve WAN performance by purchasing the next higher tier of service, "Ethernet over Copper (EoC)". Cost estimates for EoC range from \$349 to \$473 per month, per location, and would require a 5 year contract. This would provide a blanket improvement to all applications and services. However actual performance gains for specific applications cannot be predicted without extensive testing. Because the benefit cannot be determined, and there would be a long term budget commitment, further discussion is required before this option can be recommended.

Option two is to expanding and upgrading the use of local network storage devices (NAS) in the neighbor island offices. Storing GIS data and Access application forms on NAS devices located in each office will improve the performance of these applications. The Hilo office has been successfully using a NAS device since early 2013 for GIS data, and testing has demonstrated equal benefits for the Microsoft Access database.

This IT plan recommends immediately expanding the use of NAS devices in all neighbor island offices. This will improve the performance of the GIS and Access database applications. The estimated cost of upgrading NAS devices for all offices is \$6,500. Once procured, installation and operation can be completed within 30 days. This can occur while work on the Inventory Database continues.

IT CAP2 Goal Analysis - continued

3. Create an internal digital National Register tracking log. A design for including this as an application incorporated with the Archaeology and Architectural Inventory Databases will be presented for approval in June 2014. This will be on my June to September work plan.

4. Incorporate past eligibility decisions into the inventory database. Previous eligibility decisions are present in the Intake Log, which includes data from 2012 to the present. This is likely the best source for past decisions, and could be linked to the Inventory database. A relational index, or a manual process for creating a relationship, will be discussed. This will be on my June to September work plan.

5. SHPD to develop website to track review and compliance project status. DLNR Security requirements would require contracting with an outside vendor to achieve this goal. Starting this discussion will be on my June to September work plan.

6. IT Program Strategic Plan. SHPD IT immediate goals are to achieve the CAP2 goals. Development of a Strategic Plan will be on my June to September work plan.

Some of the topics that will be discussed on this Strategic Plan are:

1. Assist the division with the development of a document archiving plan.
2. Enhancing the Intake Log application and database.
3. Migration of the Inventory Database and it's applications from Microsoft Access to a platform with greater capacity and flexibility.

SECTION 5

INFORMATION MANAGEMENT

GIS Training Plan

State Historic Preservation Division Cultural Resources GIS Training Plan

The State Historic Preservation Division is comprised of 5 offices on 4 islands. These are: Lihue, Kauai; Kapolei, Oahu; Wailuku, Maui; Kailua-Kona, Hawaii; and Hilo, Hawaii. Each office has at least one member of the technical staff who will be expected to use GIS and GPS on a regular basis. As such, it is essential to provide both initial and on-going training to ensure technical capacity and office procedures.

Status of the Training Plan

Staff was trained in the use of GIS by the National Park Service in August of 2011. However, since that time, two important actions occurred. First, there was a substantial delay between the training and acquisition of GIS software. The impact of this is that many of the basic operational skills were forgotten by staff. Secondly, the office developed revised Standard Operating Procedures which accounted for the newly created GIS Specialist position. Therefore, it was identified that re-training should occur for all technical staff in the use of GIS, GPS, and the integration of the two technologies within the office workflow.

In the Corrective Action Plan – 2, it was mandated that “SHPD GIS and IT staff will create and provide training for SHPD staff to describe workflow and procedures for incorporating new data into both the GIS and Inventory database, to ensure continued maintenance and updating of the inventory.” Initial re-training has been provided to all technical staff.

Instructional material was developed to assist with initial training in GIS basics. This was delivered to staff in-person by the GIS Specialist for Oahu, Maui, and both Hawaii Island offices. As SHPD does not currently have a physical office in Kauai, and since that position has only been recently hired, GIS/GPS training will be provided once that position/office is fully deployed.

The new Survey and Inventory SOP will require the submission of both GIS and tabular records for newly identified resources. An office workflow has been developed for this and staff will need to be trained in the process. However, while the GIS workflow has been developed and while paper site forms have been in existence since 2012, the digital site inventory is still under development. Training in the office workflow will be postponed until such time as staff can be trained in the complete process. At that point, this training plan will be integrated into the complementary IT training plan. There is no negative impact in delaying the workflow training, as the new workflow will not be implemented until the site database is finalized.

Components of the Training Plan

Training in GIS will be provided as both in-person and modular, self-paced lessons. These formats will be applied for both initial and on-going training. Each staff will have a training record which will track all trainings completed and guide both individual employee development and staff-wide training initiatives.

Each staff member will develop a GIS training schedule in conjunction with the GIS Specialist. While the initial training will be standardized, the advanced training will be structured around the employee's individual research interests and work plan.

1) Initial Training

All staff will use GIS as part of their day-to-day workflow. Consequently, it is important that all staff become familiarized with the basic GIS operation as soon as feasible. A series of self-paced, modular trainings have been developed to allow for this. However, whenever feasible in-person training will be provided by the GIS Specialist either on-location or in Kapolei. When the training is conducted for new staff in-person, this will be timed with Update Training (see below) for any other technical staff.

This training will be completed within one month of new staff arriving. It will consist of three major components: 1) basic GIS operation; 2) explanation of the Hawaii Standards for Cultural Resources GIS; 3) and office workflow for incoming data, further subdivided into a) submitted data and b) collected GPS data. Training in the use of handheld, mapping-grade GPS units will also be provided as part of new employee training, which will feed into the GIS training.

2) Advanced Training

There are many GIS skills which will not be utilized by staff frequently or ever. However, it may be useful for staff to have knowledge of certain advanced skills for unique, specialized projects. As such, modular, self-paced trainings have been developed for advanced skills. Currently, these are document-based trainings; it is hoped to augment these with video screencasts.

Staff will be required to complete all trainings within a module before engaging in the corresponding activity. Examples include georeferencing site maps/aerial imagery; spatial analysis; geocoding; advanced querying; LiDAR analysis; etc. While the training schedule will be variable and depend on need, it is expected that staff will complete an advanced module at least once a year.

3) Update Trainings

As the workflow and software change, it will be important to update staff on any new changes. These updates will be expected to fall during the 2nd Quarter of each State fiscal year which is, generally, when new versions of ArcGIS are released.

To the extent possible, update trainings will be provided in-person for one-day. If there are no major changes, or the budget prevents it, self-guided training material will be created and distributed.

SECTION 6

REVIEW AND COMPLIANCE

Review and Compliance Procedures for Archaeology

Architecture Branch Review and Compliance Procedures

SECTION 6

REVIEW AND COMPLIANCE

Review and Compliance Procedures for Archaeology

Review and Compliance Procedures for Archaeology



State of Hawai'i Historic Preservation Division

- **Correspondence Format and Document Flow**
- **Regulatory Contexts and Resources**
- **National Historic Preservation Act**
- **Hawaii Revised Statutes Chapter 6E**
- **Document Review Procedures**



Archaeological complex in Puna, Hawai'i Island, preserved as result of Chapter 6E-42 historic preservation review and private landowner cooperation (T. Donham photo)



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APPENDICES:

- A Information required for Intake Database entry
- B Format Guidelines and examples of review and compliance correspondence
- C National Historic Preservation Act Sections 101, 106 and 110
- D Hawaii Revised Statutes Chapters 6E-3, 6E-7, 6E-8 and 6E-42
- E File Search Checklist for Review and Compliance
- F Weblinks to Resource Materials
- G Review Checklists for Archaeological reports and plans
- H Checklist for Preparation and Review of Agreement Documents (AHP)
- I Definitions of frequently used terms



Acronyms

ACHP	Advisory Council on Historic Preservation
AIS	archaeological inventory survey
APE	area of potential effects
CFR	Code of Federal Regulations
CLG	certified local government
DOE	determination of eligibility
GIS	geographic information system
HAR	Hawaii Administrative Rules
HPF	Historic Preservation Fund, administered by the National Park Service
HRS	Hawaii Revised Statutes
HRHP	Hawaii Register of Historic Places
MOA	memorandum of agreement
NHO	Native Hawaiian Organization(s)
NHPA	National Historic Preservation Act
NPS	National Park Service, Department of the Interior
NRHP	National Register of Historic Places
OHA	Office of Hawaiian Affairs
PA	Programmatic Agreement
SIHP	State Inventory of Historic Places
SOI	Secretary of the Interior
SHPD	State Historic Preservation Division
SHPO	State Historic Preservation Officer
TMK	Tax Map Key (property identification system in Hawaii)

Acknowledgement

This program receives Federal financial assistance for identification and protection of historic properties. Under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, as amended, the U.S. Department of the Interior prohibits discrimination on the basis of race, color, national origin, or disability or age in its federally assisted programs. If you believe you have been discriminated against in any program, activity, or facility as described above, or if you desire further information, please write to:

*Office of Equal Opportunity
National Park Service, 1849 C Street NW,
Washington, DC 20240*

The activity that is the subject of this (type of publication) has been financed (in part/entirely) with Federal Funds from the National Park Service, U.S. Department of the Interior, and administered by the Hawaii Department of Land and Natural Resources (DLNR). However, the contents and opinions do not necessarily reflect the views or policies of the Department of the Interior or the DLNR.



1. Introduction

This document was prepared by the Hawai'i State Historic Preservation Division (SHPD) primarily for use by SHPD staff archaeologists responsible for review and compliance activities. The manual also defines and clarifies review procedures for individuals, consulting firms and agencies that interact with SHPD in the various aspects of historic preservation review. The manual is organized to provide overviews of procedures, with more detailed instructions, forms, templates and guidelines attached as Appendices. This allows for easy access to task-specific procedures as needed, while providing general information in narrative format.

The Review and Compliance program area includes all activities that advise and assist Federal, State and County agencies in carrying out their historic preservation responsibilities. SHPO responses to Federal agency requests must follow Sections 106 and 110 of the National Historic Preservation Act as amended and implemented through 36 CFR 60, 61, 63 and 800. Such responses must be completed by qualified professional staff and returned to the Federal agency within a 30-day review period. Responses must consistently apply the National Register Criteria for Evaluation and the Secretary of the Interior's Standards for Archaeology and Historic Preservation. In addition, inventory data obtained during Federal review and Section 106 activities must be incorporated into the State Inventory of Historic Places (SIHP) that is maintained by the Hawai'i Historic Preservation Division (SHPD). Specific procedures relating to the above requirements are outlined in Sections 5 and 5 below.

SHPD responses to State and County agencies follow pertinent sections of Hawaii Revised Statutes (HRS) Chapter 6E (Historic Preservation) as amended and implemented through Hawaii Administrative Rules (HAR, Title 13, Chapters 13-275 through 286 and Chapter 13-300). Review of State and County actions is funded through the National Park Service Historic Preservation fund (HPF) or through State-matching funds. These reviews must conform to the Federal regulations and standards noted above, in order to be eligible for HPF funding. The details and specific language of State and County review actions vary slightly from Federal review procedures; however, the document tracking and inventory data management concepts are identical for both processes; the application of significance criteria for evaluation is consistent; and the standards for acceptable products resulting from State and County reviews incorporate Federal standards and guidelines. These two processes diverge in details of implementation and in the role of the SHPD in relation to regulatory agencies. Each process is therefore discussed separately in Sections 2, 3 and 5.

The general processes identified herein for the Review and Compliance program are:

- 1) The management and organization of incoming and outgoing correspondence;
- 2) Review and comment procedures for agency projects, programs and permits;
- 3) Documentation and regulatory standards for federal Section 106 undertakings; and
- 4) Documentation and regulatory standards for state Chapter 6E projects

Additional activities associated with review and compliance, such as updating the SIHP and report database are found in *Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i*.



2. Administrative Framework

Detailed procedures for intake management and office workflow are found in administrative procedure documents and are not repeated here. This discussion focuses on the roles and responsibilities of the review archaeologists in the overall document flow process. The key personnel in this discussion are the intake specialist, based in Kapolei, O'ahu; other administrative personnel based in Kapolei and Wailuku, Maui; and the staff archaeologists, based in Hilo, Kailua-Kona, Kapolei, Lihue and Wailuku.

2.1 Intake Management

Information and requests for review or action come into the SHPD offices via traditional and certified mail, faxed material, electronic files, and hand-carried paperwork. It is the policy of SHPD to request electronic files to the extent feasible, and it is a long-range goal to achieve a paperless review and compliance process. Electronic submittals are routed to a dedicated email address that is managed by the intake specialist (DLNR.Intake.SHPD@hawaii.gov). It is preferable that all requests for review are submitted electronically to the intake email address so that the information is vetted and logged consistently, and distributed rapidly within the offices. In cases where this is not feasible, the submittal is accepted and date stamped at the office where it is received. It is the responsibility of neighbor island staff to send all required data entry information regarding submittals to the intake specialist in Kapolei for log assignments. This can be accomplished by scanning the submittal information and electronically filing it via the intake email address; or by sending completed log database entries (in spreadsheet format) to the intake specialist for transferal to the master intake database.

The intake specialist creates a new entry in the correspondence database for each item coming into the office; this involves assigning a unique log number and entering specific information about the project, its location, review jurisdiction, and other data as listed in Appendix A. The log number consists of the year followed by a dot and a sequential five-digit number; this is written on the upper right-hand corner of the first page or cover sheet of the submittal by the person making the entry. If an item does not require a response from SHPD, the log database entry is completed and the material is sent to the appropriate island or staff for their information and filing. If an item requires a response from SHPD, the entry is initiated by the intake specialist prior to routing the submittal to the appropriate review staff. The intake specialist also writes the initials of the assigned review staff on the submittal front, immediately below the intake log number. More than one set of initials is written if the submittal needs review by two or more branches. Data are entered **1)** when an incoming submittal is assigned a new log number (16 of 24 fields) and **2)** when a letter has been generated and sent in response to the logged submittal (remaining eight of 24 fields). The log entry is not considered complete until the information from the letter is correctly entered in the intake database. The data fields and entry sequence are listed in Appendix A. When a review is completed and a letter is generated and signed, the file copy is routed to the intake specialist, who enters the remaining eight fields for the log entry, based on the letter contents. The file copy of the letter is then routed to administrative staff for filing by TMK (*Figure 1*).

The current intake log database is available in read-only format to all staff. Two forms are available – a simple interface and a datatable interface. Logs are available for 2012, 2013 and 2014 via internet access at <http://10.104.104.100/IntakeSearch>.



2.2 Archaeology Branch Document Flow

It is the responsibility of the Archaeology Branch chief to keep the intake specialist informed of the geographic areas assigned to review staff, so that submittals are routed correctly as they are received and logged in at the Kapolei office. Lead archaeologists (level IV) are responsible for a specific island, and in consultation with their assistants (level III), determine how the geographic areas (TMK Zones) within each island will be partitioned. Geographic partitioning allows each staff to follow all the actions and projects within a given area through time, and allows them to be involved in all stages of review or all phases of projects. The proposed geographic partitions for each island are submitted to the branch chief for approval; once approved, the specific TMK zones assigned to each staff archaeologist are forwarded to the intake specialist. In reviewing the proposed workload allocation, the branch chief examines frequency data for submittals by specific TMK zones, using the intake database. If proposed workload divisions are not equitable according to the numbers of incoming requests for reviews, the lead is requested to reorganize the division of work. Geographic divisions are used on islands only when assistants are level III archaeologists. Level I and II archaeologists are given workloads by type of submittal rather than geographic division, due to their more limited professional experience. Whenever possible, lead archaeologists should try to assign geographic areas based on prior field experience and research interests of their assistants.

All review archaeologists are provided training in the organization of their specific office and the location of all resources needed to conduct reviews (detailed in Section 3.5). Each person is provided a desktop computer with access to the DLNR intranet, the State email system, and internet search engines, in addition to a number of software packages (Office Professional 2010, ArcMap 10.1, Adobe Acrobat X Standard, Lotus Notes 8.5). The Archaeology Branch is assigned a folder (“Archaeology”) on the DLNR HF intranet (T Drive); this is the primary document flow medium for review and compliance. Each staff person is assigned a personal folder under “Archaeology” which contains their monthly activity reports and final copies of letters they have written, in Microsoft Word format. The T Drive/Archaeology folder also contains a folder labeled “Pending Reviews”, which is organized with subfolders for each archaeologist who signs letters. When a letter is drafted, the person who drafted the letter assigns a unique document number (Section 2.3) and moves a copy in Word format to the “Pending Reviews” folder, where it is accessed by the branch chief and/or lead archaeologist for review and signature (*Figure 1*). Persons signing letters are required to be qualified pursuant to the Secretary of the Interior’s Standards for archeologists and the SHPD requirements for a lead archaeologist. Regardless of qualifications, staff must have a minimum of six months experience prior to signing letters.

Persons authorized to sign correspondence are responsible for ensuring that the letter is formatted correctly, contains all pertinent information regarding jurisdiction and regulations, is grammatically correct, reflects an adequate level of professional analysis, and offers a valid conclusion based on information provided in the letter. If the signer has questions regarding the content of a letter, notes are inserted in the Word document (red font) and the reviewer is notified that revisions are needed. Minor items, such as typos, erroneous dates or formatting errors are corrected by the signer and saved to the Word document that is moved to the reviewer’s personal folder on the T drive. The reviewer then has access to the corrected letters and they are encouraged to obtain templates from this source.

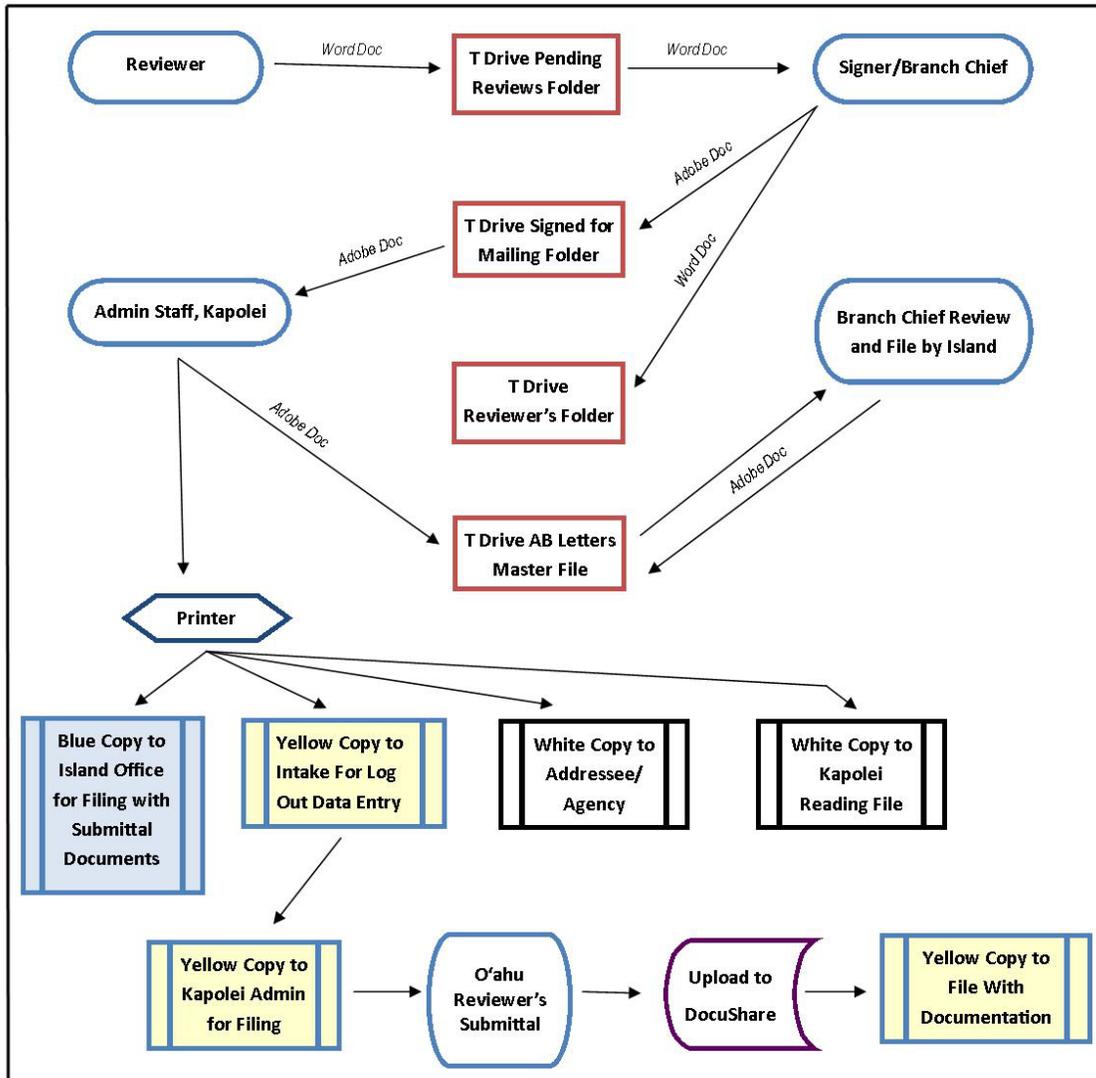


Figure 1. Correspondence and Document Movement, Archaeology Branch

Currently, all signatures by archaeology staff are electronic and consist of inserted Adobe file signatures. After the electronic signature is inserted, a pdf copy of the letter is printed and sent to the appropriate “Signed for Mailing” folder on the T Drive. The signature is then removed from the word document and it is sent to the reviewer’s folder (Figure 1).

A minimum of three hard copies of every correspondence letter are currently printed in Kapolei by office administrative staff. One or more copies use regular stationary, one is with yellow stationary and one is with blue stationary. One of the white copies is filed in the SHPD Reading File at Kapolei, which consists of a daily file of all letters sent out by the office. If the letter is electronically transmitted to the applicant



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or agency via email, a second copy on white stationary is not printed. If the letter is cc'd to other parties, additional white copies are printed for mailing, or are emailed to the recipients. Copies on yellow stationary are filed in the Kapolei office by TMK. If the review was conducted by staff based in Kapolei, the yellow copy is attached to the submittal and any supporting documents before it is uploaded to DocuShare and filed. Blue copies are sent via USPS to the appropriate neighbor island office, where it is attached to the submittal and any supporting documents, uploaded to DocuShare and filed by TMK.

The filing system allows reviewers to access previous correspondence electronically via the T Drive and physically via paper files. The Archaeology Branch (AB) Master File found in the Archaeology folder on the T Drive contains pdf files of all archaeology letters signed during the current calendar year, organized by island and TMK. The Archaeology folder also contains archived pdf files of all letters written in 2012 and 2013, respectively. Between 2007 and 2011, electronic copies of letters were stored in the reviewers' personal files, making it difficult to locate letters by project or TMK. These are being uploaded to DocuShare, and are filed by TMK. Letters predating 2007 are also being uploaded to DocuShare, and are currently available as hard copy only from TMK files in Kapolei and the relevant island office.

2.3 Archaeology Branch Correspondence – Format Guidelines

Reviewers are responsible for ensuring that their letters conform to the style and format described below and in Appendix B. Each letter consists of eight to nine elements, beginning at the top and moving through to the end. These elements include:

1. Letterhead
2. Addressee and tracking information
3. Subject lines
4. Introductory paragraph
5. Findings of records search and other pertinent information
6. Conclusion/concurrence/determination
7. Recommendations and contact person
8. Signature, cc list
9. Attachment(s)

The elements listed above are discussed in detail in Appendix B. Examples of completed letters for various types of submittals are also found in Appendix B.

Most responses require case-by-case research, presentation of findings and conclusions. The use of address templates is acceptable and ensures consistency when responding to agencies that submit large quantities of permits for review. Examples are county departments of public works, and state agencies that route numerous permits to SHPD for review and comment. Other examples include consulting firms that submit large numbers of plans and reports for review. When using templates for addresses, it is necessary to monitor the information for appropriate contact persons and address changes. Form letters were used in the past by the Archaeology Branch for Chapter 6E reviews, but were discontinued due to the lack of supporting information provided in the letter, and the tendency to make responses fit one of the few possible check boxes. Form letters are currently used only for responses to the State



Commission on Water Resource Management regarding well permits; an example is found in Appendix B. These are used because of the high volume of well permit applications sent to SHPD and because in 99% of the cases, the well location has already been prepared prior to submittal of the permit paperwork to the state. Exceptions to this are wells associated with larger public projects that include other infrastructure such as pipelines and reservoirs; and well projects requiring additional information or inventory surveys.

It is not advisable to use template letters that contain elements 1 thru 7 as listed above. When using this type of template, the reviewer must be very aware of information that needs to be changed. Common errors include failing to use the correct log or document number, failing to revise the date, location, and TMK of the proposed project, and failing to change elements of the text to fit the specific project. There are a limited number of generic phrases that can be used as templates, with appropriate editing. These can be found on the T drive in Archaeology\Templates, Forms & Phrases\SHPD Templates. An example of a template phrase is the final acceptance language for survey reports prepared for Chapter 6E projects:

The report contains information required by Hawaii Administrative Rule (HAR) §13-276-5 and it is accepted by SHPD. Please send one hardcopy of the document, clearly marked FINAL, along with a copy of this review letter and a text-searchable PDF version on CD to the Kapolei SHPD office, attention SHPD Library.

This template is not appropriate for Section 106 projects or for reports or plans other than inventory survey reports. As noted above, when a draft report is accepted as final, it is retained and shelved in the respective neighbor island library, and one copy marked final is requested to be sent to the main Kapolei library. Additional processing steps, such as updating the report and library databases are involved in the report review and acceptance procedures. These are discussed in detail in *Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i*.

2.4 Activity Records

Staff archaeologists are required to maintain a daily activity record as part of their administrative responsibilities. This record is a tabulated record of time and products, organized by activity areas as defined by the NPS HP Grants Manual. The activity areas identified for each staff person's individual record vary, depending upon their specific assigned duties within Archaeology Branch. All staff members have review and compliance duties; these are documented by recording the Log No for each product (normally review letter) completed each day, which is indicated by the date (table rows). Typical activity areas (columns) in the monthly table include: Federal Letters, State Letters, Requests for Info/Public Education, Meetings/Site Visits, Survey & Inventory, NRHP Nominations, CLG Support, and Admin. Each day, staff completes a brief summary of the activity (i.e., purpose of meeting, new site numbers assigned, etc.) and the number of hours spent for the activity. For each day, a total number of hours spent on HP Funded activities is recorded. This required record provides documentation of staff activities in accordance with the HP Grant. Completed activity reports are filed each month in the designated folder in T:\Archaeology, and are used by the branch chief to compile summary statistics as needed.



3. The Review Process for Archaeology

This section discusses a general process that should be followed by the reviewer for each submittal they must respond to, regardless of the applicable laws, type of permits, or involved agencies. An understanding of this process will allow the reviewer to focus on specific tasks in sequence, and avoid the confusion that results if steps are skipped in an attempt to “get the letter out” quickly. Important questions for every review are:

- 1) What is the regulatory context?
- 2) Is the submittal complete?
- 3) Are comments from Architecture Branch or History and Culture Branch also needed?
- 4) Is the complexity such that consultation with a supervisor is warranted?
- 5) Have the appropriate resources and references been checked for relevant information?
- 6) Are the conclusions and recommendations supported with sufficient background information?

These questions and the process for answering them are examined in greater detail below.

3.1 Regulatory Context

SHPD archaeologists must operate within the parameters of federal and state historic preservation law, and in many cases must determine which state or federal law applies to the case at hand. Many submittals do not include information on the jurisdictional trigger, especially those coming directly from members of the public. Federal law, primarily the NHPA, regulates not only how the SHPO interacts with federal agencies, but also specifies SHPO responsibilities at the state and local level. For purposes of this discussion, the focus is on the sections of the NHPA that pertain to consultation between the SHPO and federal agencies regarding permits, undertakings, and programs (Sections 101, 106 and 110). Text from Sections 101 and 106 are found below (Section 4.2), and the text of Section 110 is found in Appendix C.

State law specifies the duties of the SHPD through HRS Chapter 6E-3, and it outlines the interaction of SHPD with private entities and public agencies regarding projects and permits in HRS Chapter 6E-7, 6E-8, 6E-10, 6E-41, 6E-42 and 6E-43. These sections of Chapter 6E are found in Appendix D.

NHPA Section 106 is applicable to all projects that are initiated and carried out by federal agencies, projects fully or partially funded with federal money, and/or projects that require permits from federal agencies, or occur on federally-owned lands.

Examples of Section 106 projects that are carried out by federal agencies in Hawai'i include the following:

- Highway or bridge construction, highway widening, resurfacing or repairs carried out by the Federal Highways Administration (FHWA);
- Construction, capital improvements, facility renovation, adoption of plans, infrastructure repair or improvements located within any U.S. military installation, carried out and funded by the Department of Defense (U.S. Army, Navy, Air Force, Marines, Coast Guard);
- Construction or capital improvements, infrastructure or facility repairs not located at a U.S. military installation but are funded wholly or in part by the Department of Defense;



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- Construction, capital improvements, adoption of plans, maintenance activities conducted by the National Park Service, inside a national park or outside a national park;
- Construction or repair of any federal facility or office such as a U.S. Postal Service facility, a federal courthouse, federal penitentiary, or any facility under the jurisdiction of the General Services Administration (GSA);
- Construction or repair of facilities associated with and National Aeronautics and Space Administration (NASA).

Examples of Section 106 projects fully or partially funded with federal money include the following:

- Improvements to water delivery systems such as ditches or streams that are funded by private or public entities, and receive funds from the U.S. Department of Agriculture, usually as a matching grant;
- Improvements to privately owned agricultural lands (fencing, irrigation, water delivery, erosion control) that receive grant funding from the U.S. Department of Agriculture, usually as reimbursements after the work is completed to standards, i.e., EQUIP grants;
- Programs for construction of new homes or improvements to residential or service business properties that are partially or wholly funded through the U.S. Department of Housing and Urban Development (HUD) program;
- Repairs, planning or insurance relating to floods, storm or hurricane damage, or disaster preparation, funded wholly or in part by the Federal Emergency Management Agency (FEMA);
- Studies, planning, research or construction that is funded wholly or in part by the National Science Foundation (NSF);
- Repairs or retrofitting projects funded by grants in aid from the Environmental Protection Agency (EPA).

Examples of Section 106 projects that are subject to permits issued by federal agencies include:

- Installation of or improvements to wireless, radio, television or satellite facilities and antennae and other activities subject to permits issued by the Federal Communications Commission (FCC);
- Installation of or improvements to airport facilities and similar activities that are subject to permits issued by the Federal Aviation Administration (FAA);
- Dredging within waterways, any construction or maintenance within waterways or along the shoreline, and any similar activity that is subject to permits issued by the U.S. Army Corps of Engineers (ACOE);
- Improvements to treatment facilities and power plants, or any activity that is subject to permits issued by the Environmental Protection Agency (EPA);
- Activities involving power infrastructure subject to permits issued by the U.S. Department of Energy (DOE).

A number of federal agencies not mentioned above also conduct activities, fund projects or issue permits for projects, triggering Section 106 of the NHPA. Examples include the Bureau of Land



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Management, the U.S. Fish and Wildlife Service, the U.S. Forest Service, Bureau of Mines, Federal Trade Commission, U.S. Customs and Border Protection, and the Federal Trade Commission.

When requests for comment or consultation are received directly from a federal agency, it is clear that the agency is involved, either as the principal proponent, as a funding source, or as the permitting agency. Any of these levels of involvement trigger the same law (NHPA Section 106) and the same sets of rules (36 CFR 800). When requests for comment are received from private or public entities, a source of federal funding or the need for a federal permit may not be disclosed. In these cases, it is important to request additional information so that it can be verified whether or not the project is subject to Section 106 review. In some cases, a state or county agency, private entity, or private non-profit may apply for federal aid, however the status of the grant is not known at the time the agency is in planning stages. In these cases, the Chapter 6E process is initiated and the agency or organization is advised to ensure that their identification, evaluation and assessment of project effect includes sufficient consultation to satisfy federal standards in the event that federal funding materializes. At that time, it is the funding agency's responsibility to ensure that the Section 106 process is successfully completed. A detailed description of the Section 106 process is found in Section 4.2.

NHPA Section 110 defines federal agency responsibilities regarding historic properties located on federal land. This provides a mechanism for agencies to conduct identification surveys, evaluate the significance of historic properties on their lands, and nominate significant historic properties to the NRHP. SHPD plays a smaller role in the implementation of Section 110; however, it is still an active participant in the identification, evaluation and nomination process. Examples of Section 110 projects include:

- Requests for SIHP site numbers for historic properties identified within federal land holdings, such as National Parks;
- Submittal of archaeological or architectural surveys of federal lands for SHPD review and comment
- Requests for concurrence on determinations of eligibility (DOE) and requests for review of NRHP nomination forms from federal agencies that are not associated with an undertaking.

HRS Chapter 6E-7 applies to any actions affecting historic properties on state land. Examples of actions that should be reviewed by SHPD include:

- Issuance of right-of-entry permits for purposes of conducting archaeological surveys or research involving historic properties;
- Transfer of state land or easements that contain known historic properties or are highly likely to contain historic properties;
- Modifications to historic properties on state land, including structures, trails, buildings, archaeological features, and burial sites;
- Any actions that potentially affect submerged historic properties in state jurisdiction waters.

HRS Chapter 6E-8 applies to projects that are initiated and implemented by any state or county agency. This chapter does not apply to projects that require permits issued by state or county agencies, unless the applicant is also a state or county agency.



Examples of Chapter 6E-8 projects include:

- Highway or road construction and repair initiated by the Hawaii Department of Transportation or by county departments of public works or departments of transportation; frequently these are joint state/county projects and can also be federal undertakings;
- Improvements to state land, including state parks, natural area reserves, forest reserves or unencumbered state land; includes roads, fencing, resource management, planning;
- Public infrastructure construction or improvements, including water reservoirs, wells, water transmission lines, sewer lines, sewage treatment facilities;
- Management plans prepared for state lands by state agencies;
- Capital improvements or construction at schools (including the University of Hawaii), state office buildings, hospitals and other facilities owned by the state or county;
- Any project initiated by the Department of Hawaiian home lands, including infrastructure, subdivision, construction or demolition.

HRS Chapter 6E-10 applies to any action that has the potential to affect a privately owned historic property listed on the Hawaii register of historic places. The owner of such property is required to consult with SHPD prior to commencing any construction, alteration, or improvement of the listed site. This chapter applies regardless of whether any other permit from the state or county is needed. Ordinary maintenance of the historic building or structure is not subject to this chapter, so long as it does not change the design, materials or outer appearance of the site. Examples include:

- A private non-profit proposes to add a lanai to an existing building that is listed on the HRHP; construction of the addition will change the character of the building and involve excavation into yard deposits that are likely to contain important archaeological information; consultation with the Architecture and Archaeology Branches of SHPD must be completed prior to initiation;
- A private ranch proposes to reconstruct a portion of a traditional trail that is listed on the HRHP, no permits are required from public agencies; SHPD must still be consulted prior to commencement.

HRS Chapter 6E-41 applies to any entity wishing to relocate or redesignate a cemetery. One of the five requirements of this chapter is that written concurrence from the department is required prior to any removal or redesignation if the cemetery has existed for more than 50 years. See Appendix D for the other four requirements of this chapter. A permit from the Department of Health is also required for this type of action if the cemetery is considered active (burials less than 50 years are present) and maintained.

HRS Chapter 6E-42 applies to any project that requires a permit, license, subdivision, land use change or other entitlement from the state or any county. Examples include:

State-issued permits and entitlements such as:



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- Conservation district use permits (CDUP) to allow for any activity within a state-designated conservation district; much of this district is private land and the owner needs approval from the Office of Conservation and Coastal Lands (OCCL), a division of DLNR;
- Permits to install water wells and pumps on private land, issued by the Commission on Water Resource Management (CWRM), a division of DLNR;
- Revocable leases of state land to private entities for purposes of long term agricultural, commercial or residential use or access, issued by DLNR Land Division or the state Department of Agriculture;
- Rights of entry to access state land for short term activities;
- Requests for changes in state land use/zoning to allow for non-conforming activities, issued by the state Land Use Commission (LUC)
- Projects subject to Chapter 343, which defines when an environmental assessment (EA) or environmental impact statement (EIS) is required for a project.

County planning department permits and entitlements such as:

- Special use permits (SUP, SPP) to conduct activities not specifically allowed within a zoning district; examples are bed and breakfast operations, stores, commercial garages in agricultural or residential zoned areas;
- Special management area (SMA) assessments, minor or major permits to conduct activities within the special management/shoreline area designated by each county; includes vegetation management, any type of construction, certain types of improvements, and any land modification;
- Applications or requests to change zoning (CIZ) in order to allow for such entitlements as smaller lot size, higher residential density, or other land uses that are not allowed in current zoning rules;
- Subdivision (SUB) of large land tracts into any number of smaller parcels, or consolidation of land parcels with re-subdivision into differently configured parcels;

County department of public works permits for land alteration and construction:

- Grubbing permits for mechanical removal of vegetation;
- Grading permits for cutting, filling and other land modification, usually in connection with construction activities;
- Stockpiling permits to allow for the deposition of soil removed from a different location; can be permanent.
- Building or demolition permits, both of which usually involve land alteration.

As noted in the preceding section, the applicable law is noted on the first line of SHPD review and compliance correspondence. This is important information that defines the scope of SHPD involvement and identifies the relevant regulations that provide additional guidance and compliance requirements. The enacting regulations for NHPA Section 106 compliance are found in 36 Code of Federal Regulations (CFR) Part 800. Relevant sections of this rule are cited in Section 4.2 below, and the full text can be found at <http://www.achp.gov/regs.html>. The historic preservation review process for Chapter 6E-7 and 6E-8 projects is found in Hawaii Administrative Rule (HAR) §13-275; and the process for Chapter 6E-42 projects is found in HAR §13-284. Relevant sections of these two rules are cited below in Section 5.



3.2 Submittal Information

After a reviewer has determined the applicable regulations, the second step is to determine whether or not the submittal is complete; does it contain enough information to conduct an informed and thorough review? The implementing rules for federal and state laws stipulate that it is an agency responsibility to consult with the SHPO/SHPD, identify and evaluate historic properties, and resolve adverse effects. However, it is often private citizens who are tasked with submitting requests for review when 6E-42 permits are involved. Review archaeologists must be able to explain what they need and why they need it, so that permit applicants can cooperate effectively.

3.2.1 Section 106 Submittals

To improve SHPD's process of reviewing federal undertakings, the division asks that all notifications sent to our office, pursuant to Section 106 of the National Historic Preservation Act, contain the following information. This requested information is described in detail in the implementing regulations of the statute at 36 CFR Part 800, Subpart B, §§800.3 through 800.5. While many of SHPD's federal partners already provide most or all of these items, division staff would appreciate it if all notifications to the SHPD office, pursuant to Section 106, follow this basic format. These materials should be submitted to the SHPO by the responsible federal agency or its designated representative.

1. Area of potential effect (APE) shown on a USGS quad map or other appropriate map. Please include the site plan of the APE with locations of historic sites and their relation to roads, public views, etc.;
2. Tax Map Key number, including parcel and lot numbers;
3. A description of the undertaking, and the nature of Federal involvement. The description should include architectural plans and elevations, if applicable;
4. The acreage of the APE;
5. The steps taken to identify historic properties;
6. Photographs of the existing conditions of the APE, and other pertinent subjects such as known historic properties;
7. A summary of historic properties known or thought to be within the APE. If any historic buildings are within the APE, please include the date of construction, if known, or whether the age is known or an estimate;
8. A determination of effect made by the relevant federal agency, and the basis for the determination (e.g., follows the Secretary of the Interior's Standards);
9. A request for SHPO's review and comment on the determination of effect made by the relevant federal agency;
10. Documentation showing consultation with local governments, Native Hawaiian Organizations, and other appropriate individuals and organizations, including discussion of any concerns raised;
11. Name, telephone and facsimile numbers, and email address of the point of contact at your agency.

If the SHPD receives a notification of a proposed undertaking, and any of these items are missing, the notification may be regarded as incomplete, and review will not commence until the missing information is supplied. The 30-day review period will begin with the receipt of adequate and complete



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documentation on the proposed undertaking. SHPD will use the information provided to notify the agency, in writing as soon as possible that information is needed to complete the review.

The following types of information can be very helpful in SHPD's review of a proposed undertaking. It is recommended that this information be included with the documentation listed above:

- Land use history of the APE;
- Reports or assessments of historic properties within or near the APE;
- Oral historical information on historic properties within or near the APE, gathered through cultural assessments or other ethnographic work;
- A statement on whether your agency believes that all of the historic properties in the APE have been identified, including Traditional Cultural Properties, and whether any group or individual has concerns about the possible destruction or damage to such properties.

When archaeological survey reports or mitigation plans are submitted for review in connection with Section 106 consultation, they should have an attached cover letter with the following basic information: name, location and project identifying numbers, lead federal agency, contact person(s), description of the undertaking, applicable regulations that apply, and relevant factors that would assist in project review. A more detailed discussion of the cover letter for federal, CLG and research project reports is found in the AIS Report Guidelines (*Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i*, Appendix G). No submittal fee is charged for reports or plans submitted in connection with Section 106 undertakings. If a report is intended to fulfill Chapter 6E-8 requirements in addition to Section 106, a submittal fee is applicable. See *Procedures and Guidelines for Survey and Inventory* for a more in-depth discussion of report submittal forms and applicable fees.

3.2.2 Chapter 6E Submittals

The Chapter 6E process as currently defined in HAR §13-275 and §13-284 allows the acting or permitting agency to request a determination of project effect from the SHPD as the initial step of the review process (<http://dlnr.hawaii.gov/shpd/rules>). This clause in the regulations is used very frequently by county agencies and places full burden of project effect determination on SHPD staff. In some cases, the SHPD is able to confirm the absence of historic properties based on existing records on file for the parcel. However, it is preferable to obtain information about the project and the project area in order to ensure that information in SHPD files is accurate and current.

SHPD requests that the following information be submitted with requests for a determination of project effect in connection with Chapter 6E-8 and 6E-42 projects:

1. Description of the proposed project, including total area in acres and nature of any land alteration, new construction, demolition or modification of existing structures;
2. A TMK map showing the full extent of the project area within the affected parcels;
3. Description of current vegetation cover and condition of the project area, including structures, roads, wall or other features within the project area (photographs preferred);
4. Summary of land use history, such as previous intensive cultivation, grubbing or grading;
5. Construction dates of buildings within the project area;
6. Copies or dates of previously approved permits, survey reports, and/or prior SHPD review letters that pertain to the property;



7. Name, mailing, email address and phone number of a contact person for the project.
8. Copy of completed permit application and landowner if not provided on permit application.

Chapter 6E submittals can also consist of a request for concurrence that no historic properties will be affected by a proposed project (§13-275-5(b)(2) and §13-284-5(b)(2)). In these cases, the above information should be submitted in addition to the following:

9. Supportive evidence documenting prior land altering activities, including areal extent and depth of disturbance (cutting, filling, cultivation; the latter use may not impact all subsurface resources)
10. Supportive evidence documenting the likely nature and depth of historic properties that may have once existed in the area;
11. Documentation, such as the results of an archaeological field survey that verifies there are no historic properties within the project area.

The review of a request for determination of project effect or request for concurrence may result in a finding that no historic properties will be affected by the project; or the review may result in a request for more information, or a determination that historic properties are present or likely to occur within the project area. In these cases, an inventory survey is requested. Archaeological inventory survey reports prepared in connection with Chapter 6E projects are expected to include the following general information for review purposes (§13-275-3 and §13-284-3):

- Identification and documentation of all historic properties within a project area;
- Evaluation of significance (eligibility for listing in the HRHP) for each historic property;
- Determination of the project's effect on each historic property; and
- Proposed mitigation commitments to minimize the effect of the project on significant historic properties.

All Chapter 6E survey reports, survey plans and mitigation plans must be submitted with the applicable fee payment and a completed submittal form (*Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i*, Appendix G). These submittals are discussed in greater detail in the above referenced document, and the review procedures are described in Section 5 below.

3.3 Multiple Branch Reviews

Federal and Chapter 6E projects often involve multiple types of resources and have the potential to affect architectural, archaeological and cultural historic properties. In these cases, it is imperative that the SHPD review includes members of all branches – Archaeology, Architecture and History & Culture. These cases are referred to as joint reviews or combined reviews. The identification of relevant branches for all submittals is determined by the intake specialist at the time the project is assigned a log number. In some cases, it may become apparent during a review that an additional branch's input is needed; the combined review is initiated as soon as possible to allow all parties adequate review time. Communication between the reviewers of the various branches is important to ensure that a) the lead reviewer is identified and b) all branch's comments are accurately reflected in the letter. The lead reviewer/branch is determined by the nature of the project. For example, if the permit being reviewed is



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for the demolition of a dwelling over 50 years in age, Architecture is the lead branch, and comments should be requested from Archaeology if the proposed demolition will involve excavation or grading (land alteration) in connection with the permit. The letter originates within Architecture, is given a Document number by architecture staff, and the Architecture Branch chief reviews and signs the letter. If the permit involves mass grading of a large project area, the letter will most likely originate with Archaeology; it is sent to Architecture for additional comments if the grading has the potential to affect architectural resources, and is returned to be reviewed and signed by a lead archaeologist or the Archaeology Branch chief.

Combined Review Work Flow

When a project is determined to need combined review, the draft letter is initiated by the lead branch and is then moved to a mutually accessible folder on the SHPD T Drive (Architecture\COMBINED REVIEWS). Review letters initiated by Archaeology and needing Architecture's input are placed in a folder titled "for Architecture's Input". Review letters initiated by Architecture and needing Archaeology's input are placed in a folder titled "for Archaeology's input". The lead reviewer then emails the submittal to the appropriate island archaeologist and notifies them of the pending review. After the review archaeologist has completed their portion of the letter, the lead reviewer is notified and the letter is sent to the Architecture Branch Chief for signature. A similar arrangement occurs with History and Culture Branch when a review involves burial sites or traditional cultural properties.

To ensure continued review coordination between the branches, a weekly Review and Compliance meeting is held each Monday morning to discuss combined review projects. The agenda for each meeting is placed in the COMBINED REVIEWS folder a week in advance and is available for all review staff to add items.

If the intake specialist does not mark a submittal for combined review, the reviewer in Archaeology will need to determine whether additional input is appropriate and follow the steps noted above. The following examples have been routed to the Archaeology Branch with no indication of combined review needed. However, in all of these cases, the reviewer should solicit input from Architecture Branch regarding the significance assessments and recommended treatment of the affected resources:

- An archaeological inventory survey report submitted for review in connection with a Chapter 6E permit; among the recorded sites is an outbuilding constructed *circa* 1920;
- A request for comment on a DEA submitted for a proposed pedestrian trail that will utilize the grade of a former railroad;
- A request for determination submitted for a grading permit in connection with the construction of a large office/retail complex within the boundaries of a historic town district;
- An archaeological inventory survey report submitted for a federally funded road widening project; among the recorded sites is an abandoned bridge associated with a former alignment of the road;
- A request for concurrence with no historic properties affected submitted in connection with a Chapter 6E use permit application to allow a retail store in a residential neighborhood; the existing building to be used was constructed in 1946;



3.4 Resources for Informed Decisions

The review process begins in earnest after the reviewer has established the legal jurisdiction, confirmed that the submittal is complete, and is clear on the nature of the request. There are a number of information sources that must be consulted prior to responding to any requests for determination, requests for concurrence, or requests for information regarding a specific project area. These sources are listed on the preliminary file search checklist (Appendix E) and described below.

1. **GIS.** The SHPD GIS is the primary tool all staff should be using as a reference for permit and report reviews, regardless of their jurisdiction. This source is being updated and improved on a daily basis; information that is not available at the time of this writing may be present at the time a review is conducted. Each reviewer has ArcMap 10.1 software on their desktop computer, and the GIS specialist has prepared a fully loaded template for use statewide. Specific regions or project area views can be easily saved as separate projects by each reviewer, allowing them to rapidly access specific locations without starting over each day. For example, a reviewer's geographic area might include West Maui and the Hana District of Maui. Their GIS desktop might include projects for Lahaina, Wailuku, Kahakuloa, and Hana. Important layers that should be turned on for permit reviews include all of the cultural resources (24 feature classes), surveyed areas, the TMK map for the respective island, soil zones and satellite imagery. Additional information, such as ahupua'a, quadrangle boundaries and other basemaps are needed for some reviews. A more in-depth discussion of the geodatabase is found in the GIS documentation. The current geodatabase was built using a prior system that identified SIHP resources as points, lines or polygons; descriptive tables were not attached to these points, and limited information was entered in an attribute table at the time the GIS was established in 1995. A recent inventory of the SIHP in the preexisting GIS found significant differences in the amount of "unknown" resources between the various islands, and between the types of spatial data. For example, "lines", which most frequently depict trails or walls, has the highest frequency of unknowns, meaning there is no attached SIHP site number, report reference number, or source for the information. As the GIS develops, these types of problems will be corrected; in the meantime, additional sources besides the GIS must be consulted to determine whether known historic properties exist within a project area and the nature of those historic properties.
2. **Hawai'i and National Registers of Historic Places.** The list of registered sites must be consulted to determine if registered historic properties are present within or near the project APE, and to determine if Chapter 6E-10 is applicable in addition to other state or federal laws. The current list of registered historic properties is available at <http://dlnr.hawaii.gov/shpd/architecture/>. Reviewers should be aware that the list is potentially expanded each time the Review Board meets. The more recent additions may not be added to the master list immediately; it is therefore important to check the "Recent additions to the National and State Registers", also found at the above link. The summary listing by island includes the TMK parcel at the time the property was listed, the SIHP Site number, site name, address (if known), the date the site was listed on the Hawaii Register, and the date the site was listed on the National Register. The first level of search on this list should be by TMK Plat. If there is a listed site in the same plat as the project area, it must be



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determined whether the plat or parcel has been subdivided since the site was listed. For example, a site listed in 1987 as TMK of (3) 1-3-004:018 could currently be located in TMK (3) 1-3-004: 095. If the search was for parcel 095 only, the presence of the site in the project area would not be recognized. Once it has been determined whether a registered site is within or near a project APE, the relevant site file must be consulted to obtain information about the site, such as its significance, size, condition at the time of listing, and current condition.

3. **TMK Plat.** This source should be checked before or in conjunction with the HRHP/NRHP site list, and should be checked before any searches are conducted of the correspondence file, the SIHP database, or the report database. The reason this needs to be checked first is explained in the above discussion illustrating how a TMK parcel can change after it has been documented in a site record. In order to determine if an APE has been subject to TMK changes, the current plat is checked to see if a notation is present at the bottom stating “Formerly 9-2-001:006”, or “Formerly 1-3-001:001”. This type of notation means that a current plat was once part of a single large parcel that was subdivided into numerous plats and parcels at some point in the past. It is very common to find survey reports and site information attached to the former large parcel, since the survey was conducted prior to the issuance of the final subdivision approval. The reviewer must backtrack from the current parcel and plat and identify where this location occurred within the former large parcel. Reports and site records will most likely be filed under the original TMK, while more recent correspondence will be filed under the current TMK. The tax map is also consulted to determine if there are any surveyed Land Commission Awards within or near the APE. These 19th century land parcels are depicted on plat maps, if they have not been consolidated into an adjacent or surrounding land parcel. Additional data regarding LCA is discussed below. Most of the counties can provide CDs or on-line records of historic Tax Maps. For example, maps from 1930 are available for Hawaii County. An example of the level of change that has occurred in the tax map system can be seen by comparing the number of plats found in a given Section (3) of Zone 7 on Hawai‘i Island. In the 1930s, (3) 7-3 consisted of 10 plats. In 1960, there were 19 plats in this section; in 1980, there were 51 plats, and in 2010 there were 68 plats. All of the new plats were created within the same geographic area identified as Zone 7 Section 3. This indicates that not only do parcel numbers change through time, but plats can change as well. It should also be noted that site locations were drawn onto the paper TMK plats for Maui Island prior to 2006, and notes by staff regarding surveys or reports can be found in the paper plat maps for each island. These paper plats are no longer current for obtaining TMK information, but they do provide additional information regarding the location of recorded historic properties. See Appendix F for links to current county tax maps.
4. **State Inventory of Historic Places Database.** The SIHP is available to search and view using a variety of media. Due to the nature of this data, one should not expect that all sites listed in the SIHP will be present in each or every format. For example, the Access database that is available for searches by TMK, site number or other variables does not currently contain sites listed after 2006. This database does not contain all sites listed before 2006, so it cannot be a one-stop reference source. The database is available on the T drive [SHPD\SHPD



MASTER Databases (2010)\HistoricSites\Report\SiteData\select island folder]. A description of the structure of this database and specific instructions for its use are found in *Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i* and Appendix C of that document. Paper files for the original state-wide survey conducted in the 1970s are available for all of those sites, and for many sites recorded during subsequent federal or state compliance surveys; however, not all sites listed in the SIHP have a paper file. These files are organized by site number, so unless the number is known (based on its mapped location as shown in the GIS or on paper maps), they will not be useful in determining whether or not known sites are present within any given TMK parcel. The most useful source for information on specific site locations is the [GIS](#).

5. **USGS Topographic Quadrangle Maps.** The locations of all historic properties (archaeological and architectural) recorded during the state wide survey of the 1970s are shown on paper blue-line copies of USGS quadrangle maps for each island. These maps were completed in 1980 by the Office of State Planning and sent to various state agencies and to the relevant county planning department. These maps are an important source of information for SIHP site location data and are also very useful as historic research tools because the topo maps date to the mid-1950s or earlier. They depict many features such as dwellings, ditches, roads, walls and other structures that are no longer shown on current topo maps or current satellite imagery. The Maui SHPD office in Wailuku updated the blue line topo maps as site numbers were assigned during the 1990s.
6. **Report Database.** This is a very important source to check during reviews because it is the only location of site information for many known historic properties. As with the site database, this data will reflect TMK locations at the time the inventory surveys were conducted; it is therefore important to know both current and former TMKs when searching this database by TMK. The report information is available as an Access database and has also been extracted into an Excell spreadsheet for use as a library search tool. The database is available on the T Drive [SHPD\SHPD MASTER Databases (2010)\HistoricSites\Report\ReportData\select island folder]. The Excel spreadsheets are available for use at the various island offices. When searched by TMK, the database or spreadsheet will provide the title, author(s), date and library number for any reports or plans that have been submitted for SHPD review. Most of the reports in the database have been approved as final; however there are draft copies of reports that were never finalized that contain important site information. When conducting review of projects that have previously approved inventory survey reports on file, it is important to reassess the old report for completeness and for conformance with current regulations. Many reports that predate 2003 are not acceptable under HAR 13-276.
7. **Correspondence File.** Any prior correspondence issued by SHPD or received by the office is filed together with the relevant submittal by TMK at the source office. As noted in section 2.2, blue copies of letters are sent to the island of origin for filing and yellow copies are retained in Kapolei for filing. This practice has been in place since the neighbor island offices were first established in the early 1990s. Prior to writing any comments or



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recommendations regarding a project, it is critical to know whether any previous comments were sent from our office, and to know what was recommended or concluded. When prior letters are referenced, it is important to include the log and document citations from the prior letter, written as: (Log 2001.0467, Doc 0109PM10). When searching TMK files for relevant letters, any former TMK designations must be known and checked. When letters are filed by plat, do not assume that they are ordered by parcel; check all letters for that plat to be thorough. The reviewer is not expected to concur with all prior determinations made by SHPD for any given parcel or project, especially for determinations made decades ago. As more information is gathered by our office, the expectation is that our ability to make informed decisions will improve. This often results in a reevaluation of previous assumptions and new outcomes. For example, a determination of no historic properties affected was made in 2003 for a project located in a former sugar cane field, based on the assumption that any historic properties would have been destroyed by cane cultivation. During the permitted work, the applicant encountered significant intact subsurface deposits and features beneath the plowzone, which were reported as an inadvertent discovery. This new information would then need to be considered by subsequent reviewers, who should recommend subsurface testing for projects in the vicinity of the find.

8. **DocuShare.** As the use of this source increases, it will become more critical to the review process. Currently, DocuShare holds numerous correspondence and report folders for TMK plats or parcels, organized by island. It is possible that this on-line electronic filing system may be the only accessible location for information, and it should be checked regularly during the review process. The collections are found at <http://10.104.1.35/docushare/dsweb/HomePage>. From the home page, click on the Historic Preservation Collection link, which will take you to the first level of Island choices. From the selected island link, you will get a list of TMK zones; after clicking one choice, you see a list of TMK sections; after clicking one of these, you see a list of TMK plats; after clicking one of these, you will see folders labeled "Reports/Plans" and "Correspondence", or a list of parcels. Within these folders will reside the applicable pdf files. The use of this information is dictated by the same principals noted above for the correspondence file. Additional information regarding the use of DocuShare and instructions for uploading documents is found in the IT section procedures.
9. **Burial Site Files.** The burial specialist for each island maintains sensitive files regarding burials sites and associated correspondence. It is not common, but there are cases where the only SHPD correspondence generated for a parcel concerns burials and copies of this correspondence were not transmitted to the archaeology branch for filing in the general TMK folders. For example, an inadvertent discovery of human remains may occur on a parcel that is not connected in any way to a permit or to development activities. In this case, the burials program may handle the case from inception and implement a burial treatment plan with no input from SHPD archaeologists. The only way to ensure that these types of finds do not exist on a parcel is to check the burial site files; this information is not in the GIS, and is not always in the site database.



10. **Community Consultation.** SHPD staff should have active communication with community members and keep them informed of projects that they will have an interest in. When inventory surveys are recommended, SHPD should provide information to the landowner to ensure that interested community members are consulted as part of the identification process. Staff can also talk directly with community members to verify whether or not consultation occurs when it is recommended. A discussion of the consultation process and information sources are found in *Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i*, Section 2.4.
11. **Other sources.** Each island office contains archived maps, aerial photographs and other written sources that may not be in the research library. The reviewer is expected to be familiar with this information and use it during project review. Other sources of important information include the **State Archives**, which now have online collections of maps and photographs, available at www.digitalstatearchives.com/hawaii, and statearchives.us/hawaii.htm. Archived maps can be found at ags.hawaii.gov/survey/map-search/. The Bishop Museum also provides on line access to digital maps and other resources. For example, the maps of Henry Kekahuna are available on line at <http://kekahuna.bishopmuseum.org/kekahuna.php?b=about>.

The **Office of Environmental Quality Control** (OEQC) maintains a semi-monthly on line bulletin that summarizes this agency's decisions and approved documents, including EAs and EISs for proposed projects and determinations indicating that no EA is needed. The bulletin has links to the applicable EA and EIS, which can be very useful in project review. This information is found at [http://oeqc.doh.hawaii.gov/Shared%20Documents/Environmental Notice/current_issue.pdf](http://oeqc.doh.hawaii.gov/Shared%20Documents/Environmental%20Notice/current_issue.pdf).

There are a number of additional on line sources that can be bookmarked for repeated referencing. These are often specific to an island or region, and should be compiled by the reviewer by way of simple Google searches. Additional resources and web links to various items mentioned above, such as current Hawaii and National Registers, county tax maps, Hawaii Administrative Rules are found in Appendix F



4. National Historic Preservation Act

This section provides an overview of SHPD's responsibilities as outlined in the NHPA, and more detailed discussions of Section 106 consultation, Memoranda of Agreement, Programmatic Agreements and Section 110 correspondence. Other areas of SHPO/SHPD responsibilities are covered elsewhere.

4.1 SHPD Responsibilities, Section 101

Section 101 of the NHPA lists ten responsibilities that are delegated to the SHPO, which in Hawai'i is represented by SHPD. Five of the ten general duties apply directly to review and compliance activities (underlined below). These are items A, E, F, G and I as listed below and underlined. The areas listed in Section 101 are required for any state historic preservation program that receives funding from the Department of the Interior.

NHPA Section 101(b)(3) It shall be the responsibility of the State Historic Preservation Officer to administer the State Historic Preservation Program and to –

(A) in cooperation with Federal and State agencies, local governments and private organizations and individuals, direct and conduct a comprehensive statewide survey of historic properties and maintain inventories of such properties;

(B) identify and nominate eligible properties to the National Register and otherwise administer applications for listing historic properties on the National Register;

(C) prepare and implement a comprehensive statewide historic preservation plan;

(D) administer the State program of Federal assistance for historic preservation within the State;

(E) advise and assist, as appropriate, Federal and State agencies and local governments in carrying out their historic preservation responsibilities;

(F) cooperate with the Secretary, the Advisory Council on Historic Preservation, and other Federal and State agencies, local governments, and organizations and individuals to ensure that historic properties are taken into consideration at all levels of planning and development;

(G) provide public information, education and training, and technical assistance in historic preservation;

(H) cooperate with local governments in the development of local historic preservation programs and assist local governments in becoming certified pursuant to subsection (c);

(I) consult with the appropriate Federal agencies in accordance with this Act on-

(i) Federal undertakings that may affect historic properties; and

(ii) the content and sufficiency of any plans developed to protect, manage, or to reduce or mitigate harm to such properties;

(J) advise and assist in the evaluation of proposals for rehabilitation projects that may qualify for Federal assistance.

Pursuant to the above conditions, SHPD must assist and advise Federal and State agencies, maintain a statewide inventory of historic properties, cooperate with Federal, State and local agencies to ensure historic properties are taken into consideration at all levels of planning, and consult with Federal agencies regarding federal undertakings and any plans relating to these undertakings.



By spelling out these duties, Section 101 of the NHPA sets the stage for Section 106 consultation. It is no coincidence that these ten duties are included in the list of seventeen responsibilities delegated to SHPD in Chapter 6E-3 (see Appendix D).

4.2 Section 106 Consultation

Section 106 of the NHPA consists of a single paragraph that directs all Federal agencies to participate in a historic preservation review process. The text of Section 106 follows:

The head of any Federal agency having direct or indirect jurisdiction over a proposed Federal or federally assisted undertaking in any State and the head of any Federal department or independent agency having authority to license any undertaking shall, prior to the approval of the expenditure of any Federal funds on the undertaking or prior to the issuance of any license, as the case may be, take into account the effect of the undertaking on any district, site, building, structure, or object that is included in or eligible for inclusion in the National Register. The head of any such Federal agency shall afford the Advisory Council on Historic Preservation established under Title II of this Act a reasonable opportunity to comment with regard to such undertaking [NHPA Section 106 (16U.S.C. 470f)].

Federal regulations guiding the implementation of NHPA Section 106 define a sequential process consisting of four steps, each with defined actions that are spelled out in the Code of Federal Regulations. In this process, the lead federal agency is responsible for ensuring that the following steps are successfully completed prior to the commencement of a project. The four steps are spelled out in 36 CFR 800.3 through 800.6:

1. Determine whether a proposed action is an undertaking and initiate the Section 106 process;
2. Identify historic properties within the area of potential effect (APE) and evaluate significance;
3. Assess adverse effects through public involvement and consultation; and
4. Obtain resolution through consultation and an executed memorandum of agreement.

The process, possible outcomes at the different steps, and the occurrences of public involvement are diagrammed in Figure 2.

4.2.1. Initiation of the Section 106 Process

As noted in 36 CFR 800.3, the SHPO/SHPD is notified of an undertaking as soon as it is determined that the project, program or activity is funded in whole or in part under the direct or indirect jurisdiction of a Federal agency [NHPA Title III Section 301 (16 U.S.C. 470w)]. In addition to notifying SHPD of the undertaking, the Federal agency must identify consulting parties as part of Step 1. It is not unusual for a Federal agency to request information from SHPD regarding potential consulting parties and known historic properties at this point in the process. SHPD may have knowledge of Native Hawaiian organizations, non-profit community groups, local governments and individuals that have expertise in the area of concern or have a vested interest in the outcome(s) of the process. Examples include the Island Burial Councils, comprised of members with regional knowledge within the five Councils (Kaua'i/Ni'ihau, Oahu, Moloka'i, Maui/Lana'i and Hawai'i), Hui Malama I Na Kupuna O Hawai'i Nei, regional representatives of the Office of Hawaiian Affairs, members of the Royal Order of Kamehameha and the Hawaiian Civic Clubs, Aha Moku members, church groups, the Native Hawaiian Legal

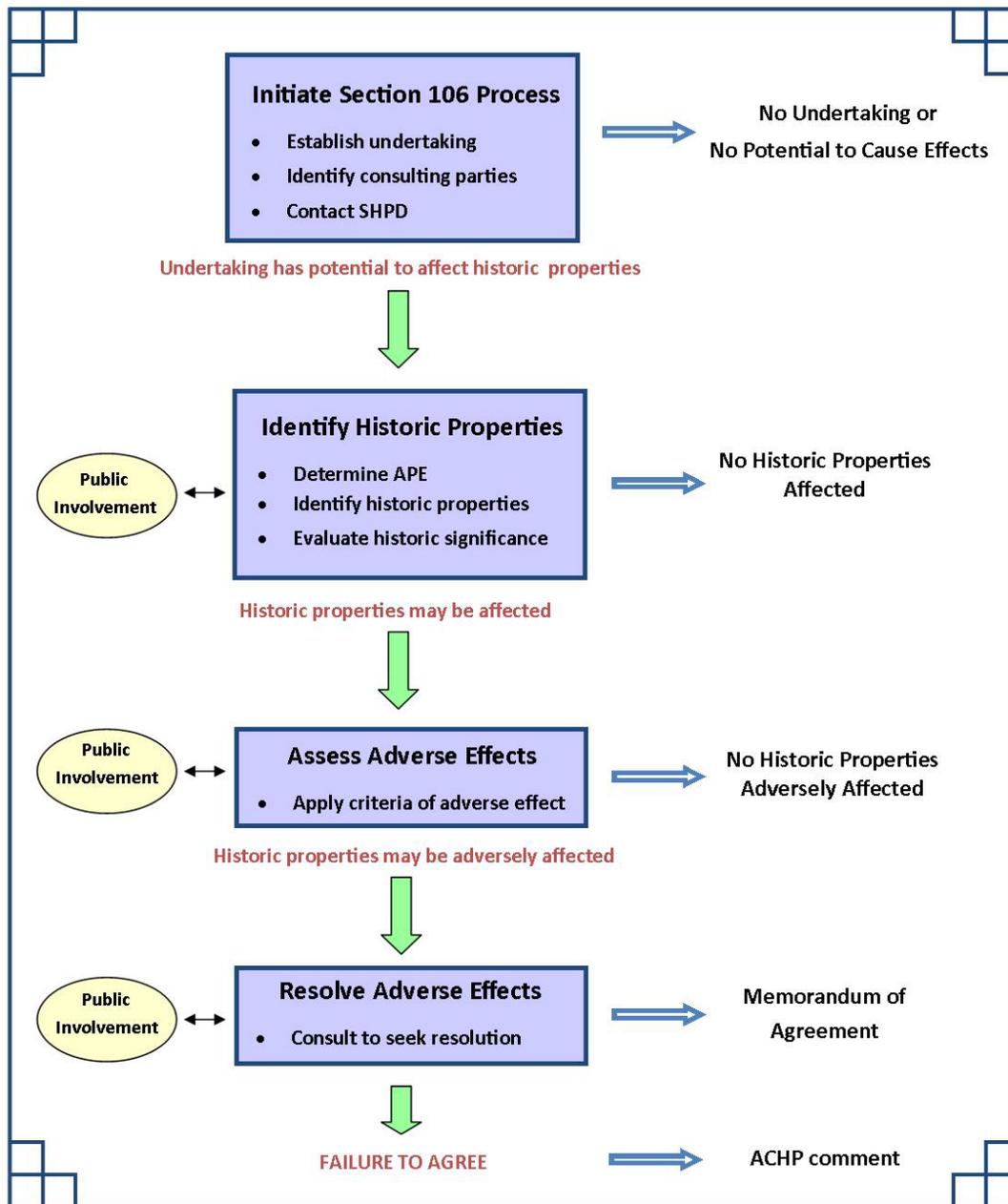


Figure 2. Diagram of Section 106 Process for Federal Agencies (Source: ACHP)

Corporation, and the Native Hawaiian Organization Association, which provides consultation lists for identified areas. The US Department of the Interior Office of Native Hawaiian Relations maintains a notification list of over 70 organizations in Hawai'i that wish to be consulted regarding the identification and evaluation of historic properties within defined geographic areas of island, moku and ahupua'a.



The list is available at (www.doi.gov/ohr/nativehawaiians). SHPD responses to Federal agencies at Step 1 should include this reference so that the appropriate NHO can be contacted at the onset of the process. Addition guidance on consultation with NHO is found in “Consultation with Native Hawaiian Organizations in the Section 106 Review Process: A Handbook” (Advisory Council on Historic Preservation, 2011) ([http://www.achp.gov/Native Hawaiian Consultation Handbook.pdf](http://www.achp.gov/Native%20Hawaiian%20Consultation%20Handbook.pdf)).

SHPD responses to the lead agency or its designated representative at the initiation of the process should be based on the same level of research indicated in Section 3 above. The response should indicate whether acceptable surveys have been completed within or around the general area of the project and if applicable, recommend that an archaeological inventory survey be conducted as soon as the APE has been established. If significant historic properties are known to exist in the vicinity, the agency should be notified as soon as possible so that avoidance can be included in early plans. At this step in the process, it is not uncommon for SHPD to acknowledge receipt of the notice and request more information about the proposed project, in addition to providing general input as noted here.

4.2.2. Determine APE, Identify Historic Properties and Evaluate Significance

In some cases, the lead agency provides sufficient information in their notification letter regarding the APE as defined for their project; in other cases, the APE is defined as part of Step 2. The **area of potential effect (APE)** refers to the geographic area within which an undertaking may directly or indirectly cause alterations in the character or use of historic properties [36 CFR 800.16 (d)]. Upon notification of an undertaking’s APE, the SHPD conducts a review of the scale and nature of the proposed work, in order to ensure that the APE as identified by the agency is of sufficient size and configuration to take into account all historic properties that might be directly and indirectly affected.

The APE should include all of the following geographic areas:

1. Alternative locations for all elements of the undertaking;
2. All areas of ground disturbance, including the installation of infrastructure and utility lines;
3. Locations from which elements of the undertaking (e.g. new structures or land alteration) may be visible or audible;
4. Areas where the activity may result in changes in traffic patterns, land use, public access; and
5. Changes that will affect access to cultural resources, the setting of cultural or historic properties.

If the SHPD does not agree with the APE as defined, the agency should be notified in writing as soon as possible. The configuration of the APE has a direct effect on the identification process, because it is used to define the extent of survey field work, archival research and in some cases informant interviews.

In addition to commenting on the APE, the SHPD may make recommendations or concur with the proposed method of identifying historic properties within the APE. Options include background/archival research, consultation, oral history interviews, archaeological and/or architectural survey, and ethnographic survey. The selection of appropriate identification methods should be guided by input from the SHPD and consulting parties. It is important that the SHPD is aware of consulting party concerns before concurring with the Step 2 procedures and findings offered by the Federal agency.



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Documents produced as the result of the Section 106 identification process are reviewed by the SHPD for completeness and for compliance with appropriate Federal standards and guidelines. Important elements for identification/survey activities include a research design which specifies the objectives, methods and expected results of the study in the context of explicit research problems and goals. Specific requirements for reports produced during the discovery process are included in the Secretary of the Interior's *Standards for Identification* and *Standards for Archaeological Documentation*. Review of the various reports submitted to the SHPD during the Section 106 process are guided by review checklists specific to the type of report and nature of findings. These checklists are discussed in Section 6 and examples are found in Appendix G. Further discussion of the identification and evaluation process for Section 106 consultation is found in *Procedures and Guidelines for Archaeological Survey and Inventory in Hawaii*.

SHPD may receive a draft inventory survey report for a proposed federal project before any formal notification of the undertaking is received from the lead agency. The report may comply with all federal standards for reporting; however, information on the APE may be preliminary at the time of fieldwork. If reports are accepted, SHPD should include the condition that additional identification work may be needed in the event that the APE is enlarged or moved. Also, some inventory survey reports do not include consultation, which should occur prior to initiation of fieldwork. In these cases, the lead agency should be notified that the AIS does not constitute a complete or thorough identification effort.

The final element of Step 2 in the Section 106 process is the **evaluation** of all historic properties identified within the APE. In the context of federal projects, significance evaluation is usually presented as a recommendation in a survey report, to be followed with the federal agency's formal determination of eligibility (DOE) for each identified historic property. The SHPD issues concurrence with the recommended significance assessments as part of the survey report review. Formal concurrence may follow the report review if the federal agency issues a subsequent DOE for each historic property. The critical elements of significance evaluations are the context of the evaluation and the criteria by which significance is assessed. A context normally consists of three distinct attributes: a theme, a specified geographic area, and a specified period in time. A historic context is defined by the National Park Service as a broad pattern of historical development in a community or its region that may be represented by historic resources (Derry et al. 1988). See *Procedures and Guidelines for Archaeological Survey and Inventory in Hawaii*, Section 4.1 and Appendix B for more information on historic contexts in Hawaii and their role in significance evaluations.

The **National Register of Historic Places** is used by all Federal agencies and most states to establish the integrity and significance of identified archaeological resources. Federal projects that are subject to the NHPA Section 106 process are required to evaluate findings pursuant to National Register criteria, which focus on the historical, architectural, archaeological, engineering or cultural values inherent in the identified resources. In depth discussions and guidelines for the application of National Register criteria are found in a number of NPS publications, such as National Register Bulletins 15, 16A, 16B, 22, 30, 32, 36, 38, 39 and 41; and the Secretary of the Interior's Standards for Evaluation. See Appendix F for weblinks to the bulletins and other relevant publications.



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To be considered significant, a site, district, building, structure or object must possess attributes of integrity. The seven National Register elements of integrity are defined for archaeological sites below:

- 1) Location - the place where the historic property was constructed or the place where the historic event took place.
- 2) Design – the combination of elements that create the form, plan, space, structure and style of the property.
- 3) Setting – the physical environment of the historic property; includes topographic features, open space, viewshed, landscape, vegetation and constructed features.
- 4) Materials – the physical elements that were combined or deposited during a particular period of time and in a particular pattern or configuration to form a historic property.
- 5) Workmanship – the physical evidence of the labor and skill of a particular culture or people during any given period in history.
- 6) Feeling – a property's expression of the aesthetic or historic sense of a particular period of time or place.
- 7) Association – the direct link between an important historic event or person and a historic property; or the direct link between data and important research questions. (Little *et al.* 2000)

Information regarding the physical integrity of the historic property (location, design, setting, materials) is obtained through survey of the resources, to document physical condition, observable characteristics and extent, and to obtain to an accurate location. This information is used together with the background research and historic context to determine the more abstract elements of integrity (workmanship, feeling, association). Once the integrity is characterized and found to have value, the property is assessed to determine if it meets one or more of the following criteria:

- A. Associated with events that have made a significant contribution to the broad patterns of our history;
- B. Associated with the lives of persons significant in our past;
- C. Embodies the distinctive characteristics of a type, period, or method of construction, represent the work of a master, or possess high artistic value; or represent a significant and distinguishable entity whose components may lack individual distinction; or
- D. Has yielded, or may be likely to yield, information important in prehistory or history.

(National Register Bulletin 15 Part II)

Please refer to *Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i*, Section 4.2 for discussion of criteria A-D.

The timeframe for Step 2 of the Section 106 process is not always discreet or predictable, especially if additional consulting parties enter the process after the identification of historic properties is nearly complete. In some cases, reports of findings must be updated and additional review cycles with SHPD and consulting parties must be completed before identification and evaluation is considered adequate. SHPD actions during this step include: concurrence with the APE, concurrence with the methods used to identify historic properties, concurrence with the findings of the identification process, and concurrence with the eligibility determinations for identified historic properties. These actions can occur in one



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letter, or in numerous letters, depending upon the timing of Federal agency correspondence. In some cases, concurrence with the determination of effect (Step 3) is also included in one letter with the above information. If it has been determined that no historic properties will be affected by the undertaking and all parties agree, the Section 106 process ends and the undertaking may commence.

When a Federal project commences under a “no historic properties affected” determination, there is often a possibility that previously unknown historic properties will be discovered during construction. If the likelihood of this happening is somewhat high, SHPD or any consulting party can request that a programmatic agreement be developed to establish a process to be followed in the event of a post-review discovery. When there is no programmatic agreement in place, the agency must follow procedures as outlined in 36 CFR Part 800.13 (3), which stipulates notification of the SHPO/SHPD, NHO and the ACHP within 48 hours of the discovery; determine actions to resolve adverse effects; take into account any concerns from consulted parties; and notify all parties of the actions when completed. It is SHPD’s responsibility to respond to such notices within 48 hours after receipt of the notice. As noted below, when a memorandum of agreement is developed for an undertaking with a determination of “historic properties adversely affected”, procedures for addressing post-review discoveries are generally included in the agreement document.

4.2.3. Assess Adverse Effects

An assessment of adverse effects must occur if there is a potential for historic properties to be affected. An effect occurs when an action alters the characteristics of a property that qualify it for listing in the National Register of Historic Places, including changes to the property’s historic integrity, which comprises location, design, setting, materials, workmanship, feeling, and association. Effects can be direct or indirect, and can be physical, visual, spatial, audible, or atmospheric. For example, increased access to a historic property may result in damage to the site, which would be an adverse effect. The transfer, lease or sale of government lands without appropriate protections for historic properties on the land is also considered to be an adverse effect.

The criteria of no adverse effect and adverse effect are used in consultation with the SHPO, NHO and other consulting parties to determine potential effects on historic properties. Specific criteria for adverse effect are found in 36 CFR Part 800.5(a), and the Federal agency is instructed to also consider any views provided by consulting parties and the public.

The following text is taken from 36 CFR Part 800.5(a):

- (1) *Criteria of adverse effect.* An adverse effect is found when an undertaking may alter, directly or indirectly, any of the characteristics of a historic property that qualify the property for inclusion in the National Register in a manner that would diminish the integrity of the property’s location, design, setting, materials, workmanship, feeling, or association. Consideration shall be given to all qualifying characteristics of a historic property, including those that may have been identified subsequent to the original evaluation of the property’s eligibility for the National Register. Adverse effects may include reasonably foreseeable effects caused by the undertaking that may occur later in time, be farther removed in distance or be cumulative.



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- (2) *Examples of adverse effects.* Adverse effects on historic properties include, but are not limited to:
- (i) Physical destruction of or damage to all or part of the property;
 - (ii) Alteration of a property, including restoration, rehabilitation, repair, maintenance, stabilization, hazardous material remediation, and provision of handicapped access, that is not consistent with the Secretary's standards for the treatment of historic properties (36 CFR part 68) and applicable guidelines;
 - (iii) Removal of the property from its historic location;
 - (iv) Change of the character of the property's use or of physical features within the property's setting that contribute to its historic significance;
 - (v) Introduction of visual, atmospheric or audible elements that diminish the integrity of the property's significant historic features;
 - (vi) Neglect of a property which causes its deterioration, except where such neglect and deterioration are recognized qualities of a property of religious and cultural significance to an Indian tribe or Native Hawaiian organization; and
 - (vii) Transfer, lease, or sale of property out of Federal ownership or control without adequate and legally enforceable restrictions or conditions to ensure long-term preservation of the property's historic significance.

When reviewing the adequacy of an agency's assessment of effect, the SHPD applies the above Federal criteria for adverse effect, as well as any information provided by consulting parties. At this point in the process, there are two possible outcomes: either there will be "no historic properties adversely affected" (no adverse effect), or there will be "historic properties adversely affected" (adverse effect).

As described in 36CFR Part 800.5, a finding of no adverse effect can be proposed by a Federal agency if the following conditions are present:

(b) *Finding of no adverse effect.* The agency official, in consultation with the SHPO/THPO, may propose a finding of no adverse effect when the undertaking's effects do not meet the criteria of paragraph (a)(1) of this section or the undertaking is modified or conditions are imposed, such as the subsequent review of plans for rehabilitation by the SHPO/THPO to ensure consistency with the Secretary's Standards for Treatment of Historic Properties (36 CFR part 68) and applicable guidelines, to avoid adverse effects.

A finding that no historic properties will be adversely affected (no adverse effect) must be documented by the federal agency pursuant to 36 CFR Part 800.11(e), which lists six components:

- (1) A description of the undertaking, specifying the Federal involvement, and its area of potential effects, including photographs, maps and drawings, as necessary;
- (2) A description of the steps taken to identify historic properties;
- (3) A description of the affected historic properties, including information on the characteristics that qualify them for the National Register;
- (4) A description of the undertakings' effects on historic properties;
- (5) An explanation of why the criteria of adverse effect were found applicable or inapplicable, including any conditions or future actions to avoid, minimize or mitigation adverse effects; and
- (6) Copies of summaries of any views provided by consulting parties and the public.



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It is not uncommon for SHPD to receive a determination of no historic properties adversely affected from a Federal agency in the same document providing notice that the Section 106 process has been initiated. It is not likely that sufficient consultation or identification and evaluation has occurred in these cases, unless the undertaking is tied to a programmatic agreement. Any preexisting conditions, such as a memorandum of agreement or programmatic agreement should be noted in the correspondence; otherwise SHPD should withhold concurrence until all six components as listed above are provided. A response to the agency within 30 days is required; in this case, SHPD would inform the agency that we cannot concur at this time and request more information regarding the undertaking and any missing information.

4.2.4. Resolve Adverse Effects

If it has been determined that an undertaking will have an adverse effect on historic properties, the Federal agency must begin consultation with the SHPO, other consulting parties, and possibly the Advisory Council on Historic Preservation (ACHP) to minimize, mitigate or avoid the adverse effect. When an adverse effect to historic properties cannot be avoided, the Section 106 participants (Federal agencies, consulting parties including SHPD, the ACHP and the public) identify measures to mitigate or minimize the adverse effect. The Federal agency has the responsibility to provide the necessary information to enable the discussion of mitigation; they must also inform the public that there are unavoidable effects and provide the opportunity for the public to comment. Once agreement has been reached regarding appropriate mitigation, a memorandum of agreement (MOA) is executed. It is the lead Federal agency's responsibility to consult with the ACHP prior to finalizing the MOA. If there is agreement between the SHPO, the Federal agency and consulting parties regarding resolution of adverse effects, the ACHP may withdraw from the process and is not involved in reviewing or signing the MOA. Procedures for the lead-up to and execution of an MOA are found in 36 CFR §800.6.

The Section 106 regulations do not strictly limit the forms of acceptable mitigation that may be agreed upon during consultation to resolve adverse effects. The more common forms of mitigation for archaeological resources include preservation, documentation, historic context studies, or off-site mitigation such as funding education programs or GIS data creation.

Preservation is a mitigation measure when a historic property is avoided by a project and undergoes conservation, reconstruction, or restoration to ensure that the existing form, integrity and materials of the historic property are maintained. The SOI standards for preservation state clearly that, "Archaeological resources will be protected and preserved in place. If such resources must be disturbed, mitigation measures will be undertaken." Many of the archaeological historic properties in Hawai'i are surface structural features that are subject to deterioration if neglected. Stabilization is a common preservation measure because in many cases, preserved archaeological resources are not used for their intended purpose(s). Stabilization should retain the character, appearance, materials, features and construction techniques exhibited in the original historic property. Stabilization was removed from the SOI Standards for the Treatment of Historic Properties in 1995; however, it is a useful term when used for archaeological resources. When preservation is proposed within the context of a federal project, SHPD requests the preparation of a preservation plan to ensure that the SOI standards for preservation are being followed.



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Documentation as used in the federal process is comparable to data recovery as used in the Chapter 6E process. The SOI has compiled detailed standards for archaeological documentation, including guidance standards, objectives, plans, methods, reporting results, and curation. These standards cover documentation when it is stand-alone mitigation, or when it is used in conjunction with interpretation, reconstruction or stabilization efforts. Such documentation must follow an explicit statement of objectives or research design that is tied to a larger preservation planning process and to historic contexts that have been identified within the state. Field and laboratory methods must be justified in the context of the research design and must also be evaluated after completion to determine if they achieved the expected results. The SOI also requires that the results of the documentation be made available to the public, to the extent that sensitivity requirements are also met. In addition, research designs for documentation must provide for methods and procedures that resolve potential conflicts between archaeological research and cultural, social or ethnographic issues that may arise as a result of destructive field methods or other activities perceived as inappropriate for certain historic properties.

Prior to commencement of archaeological documentation, a plan or research design must be prepared that contains at a minimum the following information:

- (1) A description of the properties to be studied and their evaluated significance;
- (2) Research problems and other issues relevant to the significance of the properties;
- (3) Prior research on the topic and property type, and how the proposed objectives are related to previous research and existing knowledge;
- (4) The amount and kinds of information required to address the research objectives and to make reliable statements including at what point information is redundant;
- (5) Methods to be used to find and collect the information;
- (6) Relationship of the proposed investigation to other forms of proposed documentation, such as historic, architectural or ethnographic, or to proposed preservation measures.

(SOI Standards for Archaeological Documentation).

The above requirements should be used to guide the review of archaeological documentation or data recovery plans submitted in connection with federal undertakings. When these plans are attached to agreement documents, they should be in final form and approved by SHPD as well as other consulting parties.

Upon completion of the documentation fieldwork and laboratory analysis, a report of findings must be completed. Normally, the SHPD will request the opportunity to review and comment on this report during consultation to resolve adverse effects. The SOI Standards minimally require the following information be included in the report of findings:

- (1) Description of the study area;
- (2) Relevant historical documentation and background research;
- (3) A research design with components as identified in the Standards;
- (4) Description of the field studies implemented and any deviations from the plan and reason for the changes;
- (5) All field observations;
- (6) Analysis of results, illustrated as appropriate with tables, charts, graphs and maps;



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- (7) Evaluation of the investigation in terms of the goals and objectives of the investigation, including discussion of how well the needs dictated by the planning process were served;
- (8) Recommendation for updating the relevant historic contexts and planning goals and priorities, and generation of new or revised information needs;
- (9) Reference to related on-going or proposed treatment activities, such as stabilization, restoration, appropriate cultural use, etc.;
- (10) Information on the location of original data in the form of field notes, photographs and other materials. (SOI Standards for Archaeological Documentation)

The above requirements should be used to guide the review of archaeological documentation or data recovery reports submitted in connection with federal undertakings. These types of reports are normally completed after agreement documents are executed, and should contain all elements as indicated in the plan or research design.

4.3 Agreement Documents

Federal agencies execute agreement documents to ensure that the Section 106 process is followed for the duration of an undertaking. For one-time projects such as highway construction, a memorandum of agreement is normally executed. For long term projects that involve repetitive activities, or in cases where the full affects cannot be predicted, a programmatic agreement (PA) may be executed. Both types of documents have similar internal structure, require signatures from a) signatories, b) invited signatories, or c) concurring parties; have attached documents; and require filing with the ACHP. The agreement documents must have the following components:

- (1) A title that describes its type (MOA or PA), its purpose, the associated undertaking and location.
- (2) A preamble that identifies the lead federal agency and responsible agency; describes the action or permit that triggers the NHPA Section 106 process; notification of the SHPO; identification of consulting parties; identifies the historic properties that will or may be adversely affected, or states that such identification will occur; and describes public involvement efforts completed.
- (3) Stipulations that clearly describe and enumerate all actions the federal agency has committed to; provide clear timeframes for initiation and completion, as well as procedures to monitor the implementation; procedures for dispute resolution, agreement amendment, termination or extension; where appropriate, require use of qualified professionals in the implementation of actions; and procedures for public involvement and reviews that may need to be carried out by the SHPO and consulting parties.
- (4) Signatures of the signatories, invited signatories and concurring parties, clearly identified by category and grouped as such; the printed name, title, agency/organization, and date signed is provided for each signature line; and the signatories listed match agencies or organizations assigned responsibilities in the stipulations.
- (5) Attachments such as survey reports, mitigation plans, project descriptions and maps are all included and labeled as cited in the preamble or stipulations.

In addition to the above, the agreement document should be reviewed for spelling, grammar, and formatting consistency, and it should be clearly understandable without needing reference to



background documents that are not attached. The ACHP provides a checklist to assist in the preparation and review of these documents (Appendix H). When a draft MOA or PA is received by SHPD, it is reviewed pursuant to the ACHP checklist as well as 36 CFR §800.6(c) or §800.14(b). SHPD must also monitor the consultation process and ensure that all parties are ready to sign before recommending that the SHPO sign. When the consultation is confirmed as completed and the agreement document has been accepted pursuant to the items discussed above, SHPD staff drafts a memo to the SHPO indicating that it is ready for signature. If the SHPO's office does not have the most current version of the agreement, it should be transmitted electronically, or in hard copy if there are pre-existing original signatures attached.

4.4 Section 110 Correspondence

The NHPA requires federal agencies to establish a preservation program for the identification, evaluation, nomination and protection of historic properties. These activities are to be carried out in consultation with other agencies and Native Hawaiian organizations (NHO). In accordance with NHPA Section 110, federal agencies initiate surveys and context studies of lands under their jurisdiction. The ACHP published amended guidelines for these federal agency historic preservation programs in 1998 (available at www.nps.gov/history/fpi/Section110.html). In general, Section 110 responsibilities involve agency consultation with the Secretary of the Interior and the ACHP during the process of setting up and managing a historic preservation program. Consultation with outside parties (SHPO and Native Hawaiian organizations) is elective for some of the actions specified in this section; however, there tends to be considerable overlap of Section 110 responsibilities with Section 106, NAGPRA, ARPA and NEPA responsibilities, which mandate consultation with outside parties. In addition, Section 110(a)(2)(E)(ii) requires that an agency develop procedures for compliance with Section 106 in consultation with SHPOs, local governments, NHO, and interested public. The degree to which an agency develops an on-going preservation program is related to many factors, such as the mission of the agency, its land and resource base, and its role as a permitting or regulatory agency. As a result, Section 110 consultation is usually with agencies such as NPS, USFWS, and BLM, as well as DOD bases that encompass large numbers of historic buildings or archaeological resources.

The ACHP guidelines for Section 110 compliance state that agency efforts to identify and evaluate historic properties should include early consultation with the SHPO to ensure that such efforts benefit from and build effectively upon any relevant data already included in the state's inventory. Agencies are also encouraged to share information with the appropriate SHPO, to design long-term planning in consultation with the SHPO and NHO, and to identify preservation priorities in consultation with the SHPO and NHO.

The most common examples of Section 110 consultation are reports of reconnaissance or intensive surveys; and historic context studies that will directly tie into long range land use planning or proposed undertakings. In all cases, a cover letter should be attached to the submitted document identifying the applicable NHPA Section, so that the SHPD can respond appropriately. For Section 110 submittals, the information provided and determinations should be in accordance with SOI standards. The SHPD can concur or not with eligibility determinations if offered, and provide additional input or advise as indicated. For example, consultation with a specific NHO might be recommended to provide better insight regarding the eligibility of a specific historic property, district or landscape.



5. Chapter 6E Consultation and Project Review

Hawaii's historic preservation law establishes the Chair of the Department of Land and Natural Resources as the State Historic Preservation Officer (SHPO) and establishes SHPD as the division within DLNR responsible for carrying out the activities delegated to the SHPO by the NPS and mandated by Chapter 6E-3. This section details the historic preservation review process as stipulated in HAR, with a focus on SHPD responsibilities and responses.

5.1 Overview of the Chapter 6E Process

The Chapter 6E historic preservation review process is essentially the same as the Section 106 process; the difference is found in the nature and extent of consultation with interested parties, the role of the permitting agency and the terminology used. Examples of differences in the meaning of specific terms are found in Appendix I. The Section 106 process is described in federal regulations as comprising four procedural steps. The Chapter 6E process is described in state regulations as comprising six steps, as follows:

- (1) Identification and inventory, to determine if historic properties are present in a project area, and if so document them;
- (2) Evaluation of significance;
- (3) Effect determination;
- (4) Mitigation commitments to minimize impacts to significant historic properties;
- (5) Detailed mitigation plan(s) to carry out mitigation commitments; and
- (6) Verification that mitigation plan(s) is/are implemented. (§13-275-3 and §13-284-3)

The above steps are very similar to the steps listed in Section 4.2 above for the federal process. Step 1 as identified for the Section 106 process (initiate the process) is addressed in State regulations; however it is not specified as a "review step" in the regulations. For purposes of this discussion, the Chapter 6E process initiation is important and will be discussed below.

5.1.1. Initiation of the Chapter 6E Process

The commencement point of a 6E process can be any of the following:

- a) A state or county agency begins planning a project and they request a meeting with staff, or the SHPD receives a notice that an environmental assessment is in preparation;
- b) A state or county agency receives a permit application and forwards it to the SHPD;
- c) An inventory survey report for a planned project is submitted to the SHPD by a consultant;
- d) SHPD receives a request for concurrence with a "no historic properties affected" determination from a project planner or consultant in advance of applying for permits.
- e) A permit applicant walks into the SHPD office and requests a "no effect" letter to attach to their county permit application.

According to the HAR governing 6E-8 and 6E-42 processes, the lead agency is responsible for determining whether historic properties are present in the project area, and to properly identify and inventory them. Pursuant to state regulations, the agency shall consult with the SHPD to determine if an inventory survey is needed; or the agency may submit documentation to SHPD supporting a



determination that no significant historic properties are present [§13-275-5(b) and §13-284-5(b)]. For 6E-8 projects, the initial request for comment or the request for concurrence are submitted by the agency or the agency's contracted consultant or planner. When state or county projects require an environmental assessment, the lead agency issues a notice of preparation to all involved agencies and known interested parties, including SHPD. When these notices are received, SHPD staff should provide information as requested and recommend that an AIS be conducted as part of the EA process, if it is determined that it a survey is needed.

For 6E-42 projects, the permitting agency usually submits project plans along with the permit application to SHPD and the response letters are send back to the agency. The permitting agencies do not currently conduct any type of historic preservation review and they do not prepare requests for concurrence; however, a permit applicant (or their consultant) may submit this information directly to SHPD. Each of the counties have their own protocol for submitting permit applications to SHPD, and not all of them follow the process as stipulated in the regulations. Staff must be prepared to work with the existing conditions and to continue to educate county and state agency staff regarding the procedures for requesting SHPD comment and review.

If at the onset of consultation, it is clear that a proposed project will potentially affect historic properties that have important cultural value to native Hawaiians or other ethnic groups, SHPD should inform the agency/applicant that consultation with OHA or other ethnic groups will be required in the development of mitigation measures.

5.2. Identification and Evaluation of Historic Properties

In the context of Chapter 6E, the SHPD has the authority and responsibility to determine whether an inventory survey is needed for any given project area. As noted above, an agency or permit applicant can submit documents in support of their conclusion that no historic properties are present; however, SHPD must concur with this conclusion in order for the agency to proceed with the project or issue the permit. SHPD is required to respond in writing within 30 days after receipt of either submittal. The response must include statements justifying the conclusion of the letter. If SHPD determines that no historic properties will be affected, or concurs with a recommendation that no historic properties will be affected, the determination must be posted weekly at the SHPD office or on the SHPD website, for access by interested persons. Members of the public have 30 days from the time of posting to submit comments regarding these determinations, and SHPD may reconsider the determination. Details of this process are found in HAR §13-275-5(b)(3), §13-275-11, §13-284-5(b)(3), and §13-284-12. If there are no comments from the public after 30 days from the posting of this determination, the Chapter 6E process is considered concluded.

If during project review, SHPD staff does not have sufficient information to justify a determination of no historic properties affected, a written response will be sent to the submitting agency or person requesting additional information and/or requesting that an inventory survey be conducted of the project APE. Current state regulations do not require consultation with OHA, Native Hawaiian organizations, or local community members during the identification process unless previously known properties of cultural values are present. If there appears to be a high likelihood of such properties within a project area, SHPD staff should consult with the History and Culture Branch regarding

recommendations for consultation, and to determine if an ethnographic survey is needed in addition to an archaeological survey. If there is a high likelihood that historic buildings or structures are present in a project area, staff must consult with the Architecture Branch to determine if an architectural survey is also needed.

After SHPD recommends in writing that an inventory survey be conducted of a project area, additional requests for review of the project are often submitted before the survey report has been submitted, or before it is reviewed and approved. In these cases, SHPD must respond in writing and notify the submitter that a survey has been recommended and the review of the report is not complete. Full citation of the preceding letter(s) should be included in the new correspondence. When a report is submitted to SHPD, a 30-day public comment period commences; this is often the first opportunity concerned community members, Native Hawaiian organizations or local families have to express concerns regarding historic preservation. If comments are received during the review period, SHPD must take them into consideration when reviewing the report. It should be noted here that the public comment periods are initiated when SHPD makes or concurs with a determination of no historic properties affected, and when a survey report is submitted to SHPD for review. These comment periods are potential feedback loops that can return the process to a preceding or skipped step, as illustrated in Figure 3.

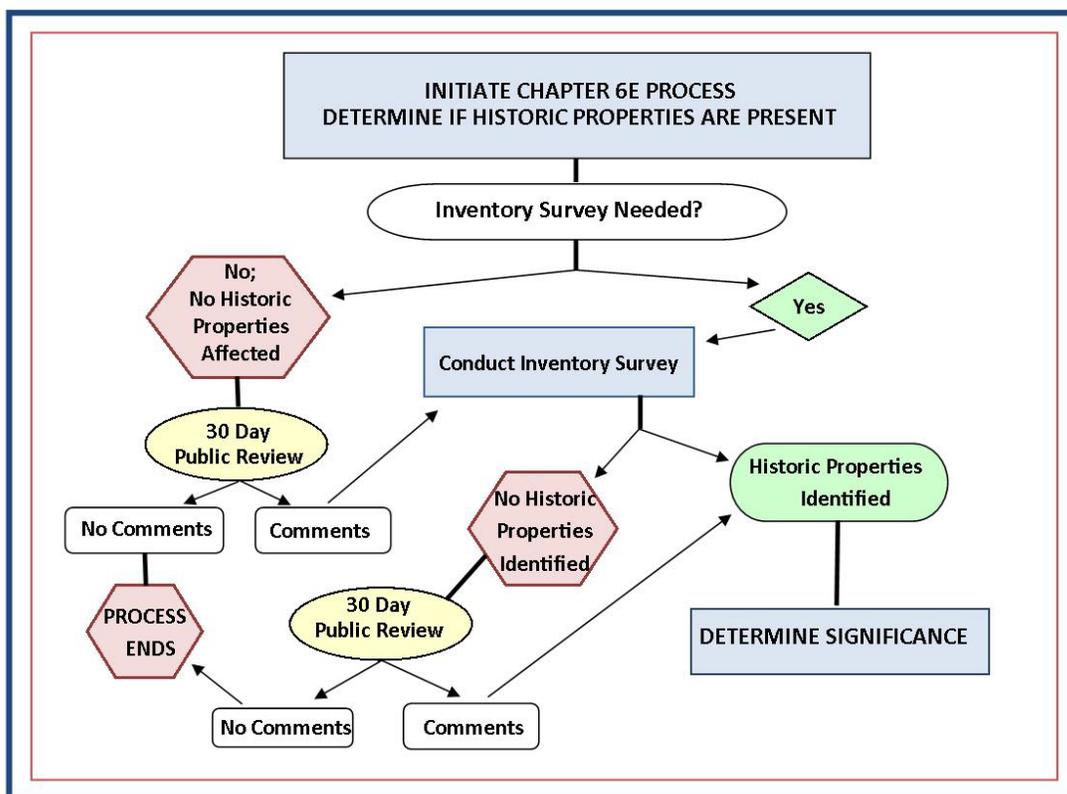


Figure 3. Review Steps and Feedback Loops, Chapter 6E Identification Process



It is not uncommon for Chapter 6E-42 projects to start the planning and identification process, only to stall or terminate due to lack of funding or market conditions. When these are reinitiated at a later date, SHPD staff must be prepared to assess previous work and determine if it is still acceptable. An inventory survey report submitted and accepted by SHPD in 1989 will probably not be acceptable under the current standards and regulations, which were adopted in their current form in 2003. The most common failures of early (pre-2003) surveys are that all historic properties within the project area were not located and documented; or there is insufficient information about the identified sites to establish their significance. SHPD recommends supplemental survey work in these cases, and the submittal of an addendum report to fill in the information that is missing from a previously accepted report.

SHPD staff also encounter cases where prior reviews of a project or a former project area by SHPD resulted in a no historic properties affected, or “no effect” determination; however, there is no longer a clear justification for maintaining that determination. In these cases, staff should collect the new information that has come into the office since the previous review and make a revised recommendation based on the new information. SHPD is not required to maintain the prior determination; however if it is revised, there must be sufficient justification.

In many cases, an existing survey report previously accepted by SHPD is available for a project area and it is still acceptable under current standards. If no significant historic properties were identified and no new information has been generated regarding the potential for such properties to be present, SHPD shall concur with the previous findings and issue a current determination of no historic properties affected. This determination is subject to the 30-day public comment period; if there are no comments from the public after 30 days from the posting of this determination, the Chapter 6E process is considered concluded. Specific details regarding the identification process and content guidelines for inventory survey reports are found in *Procedures and Guidelines for Archaeological Survey and Inventory in Hawai'i*.

The review of inventory survey reports should focus on three primary considerations: accuracy, literacy and compliance with regulations. To ensure accuracy, the reviewer should use the same resources that are checked for any other request for comment or determination. These are discussed in Section 3.4 above, and listed in the file search checklist (Appendix E). Reviewers should not assume that these reports contain all pertinent information about a project area; it is important that the GIS, correspondence files, report database and other resources be checked when reviewing inventory survey reports. The literacy consideration includes basic editing, spell checking, sentence structure, formatting and so forth. Reviewers should not provide editing services to report authors; it is too labor-intensive to reference each and every editing error in a review letter. If the report is not adequately edited, it should be returned with a request to find and correct errors. The final consideration – compliance with regulations – is relatively straightforward and is accomplished through use of the review checklist which includes all elements required to be present in accordance with the regulations (see Appendix G for report and plan review checklists). As noted above, some inventory survey reports may state in the text that they are prepared in accordance with HAR, implying a connection with a Chapter 6E project; if these reports are subsequently adopted for a federal project, review staff must ensure that consultation as required for the Section 106 process is conducted.



5.2.1. Evaluation of Significance

Pursuant to HAR, the lead agency is responsible for assessing the significance of identified historic properties or delegating the assessment, and the results of this step are required to be included in the archaeological inventory survey report prepared for the project [§13-275-6(a) and §13-284-6(a)]. The evaluation process for Chapter 6E projects is very similar to the Section 106 process, with minor differences in terminology. The HAR definition of the term “historic property” differs from the CFR definition; and the HAR uses the concept of “significant” to identify historic properties that are eligible for listing in the NRHP or HRHP. Frequently, reports produced for Chapter 6E projects reference HRHP eligibility rather than HAR significance criteria. This is not a major concern unless Criterion “e” is referenced; The HRHP eligibility criteria do not include Criterion “e”. It is acceptable if the report cites both HRHP eligibility and HAR significance when making significance evaluations; however, minimum requirements are to reference the HAR.

Inventory surveys conducted pursuant to Chapter 6E must use significance criteria established by the state as specified in HAR §13-275 for Chapter 6E-8 projects and §13-284 for Chapter 6E-42 projects. The criteria and integrity considerations listed in these two rules are identical and are based directly on the National Register Criteria and integrity requirements. The HAR significance criteria also include a fifth significance category, identified as Criterion “e”.

The full text of the applicable HAR criteria follows:

Evaluation of significance. (a) Once a historic property is identified, then an assessment of significance shall occur. The agency shall make this assessment or delegate this assessment, in writing, to the SHPD. This information shall be submitted in the survey report, if historic properties were found through the survey.

(b) To be significant, a historic property shall possess integrity of location, design, setting, materials, workmanship, feeling, and association; and shall meet one or more of the following criterion:

- (1) Criterion “a”. Be associated with events that have made an important contribution to the broad patterns of our history;
- (2) Criterion “b”. Be associated with the lives of persons important in our past;
- (3) Criterion “c”. embody the distinctive characteristics of a type, period, or method of construction, represent the work of a master, or possess high artistic value;
- (4) Criterion “d”. Have yielded, or is likely to yield, information important for research on prehistory or history; or
- (5) Criterion “e”. Have an important value to the native Hawaiian people or to another ethnic group of the state due to associations with cultural practices once carried out, or still carried out, at the property or due to associations with traditional beliefs, events or oral accounts – these associations being important to the group’s history and cultural identity (HAR 13-275-6 and HAR 13-284-6).

If historic properties interpreted as significant under Criterion “e” are identified in a project area and if they are of significance to Native Hawaiians, OHA *must* be consulted about project effects and mitigation. A more comprehensive discussion of significance criteria is found in Section 4 of *Procedures and Guidelines for Survey and Inventory in Hawaii*.



A significant historic property as defined by HAR is equivalent to a property that is eligible for listing in the National Register, as defined by 36CFR 800. When projects are subject to both Chapter 6E and Section 106 review, the SHPD concurs with determinations of significance and determinations of eligibility. There is no federal eligibility criterion that is exactly equivalent to the HAR significance Criterion “e”. It therefore gets dropped by federal agencies when they are assessing project impacts pursuant solely to the CFR. Archaeologists and project reviewers need to be aware of this disjuncture and ensure that the cultural value of a historic property is clearly reflected for federal projects. In nearly all cases, if a property is significant under HAR Criterion “e”, it will also be eligible under the National Register Criterion A, because it has cultural significance that relates directly to the history of a people, and their cultural ties to a specific place or activity. Therefore, when Criterion “e” is used from the Chapter 6E perspective, it is advisable to include National Register Criterion A from the Section 106 perspective, especially if there is a potential that federal funding may be sought for a project after the Chapter 6E review process has ended.

As noted elsewhere and in the HAR, the significance criteria assigned to a historic property must be presented in two contexts within the survey report: 1) at the end of the description and discussion of each historic property and 2) in a separate section of the report labeled “Significance Assessments”, which includes a summary table listing all identified historic properties and their significance criteria (HAR §13-276-7). The SHPD shall concur or not with the significance assessments within 45 days.

5.3 Effect Determination

The Chapter 6E review process identifies two effect determinations, one of which must be used by SHPD when providing written concurrence with recommendations provided in correspondence or in reports. These determinations are found in HAR §13-275-7 and §13-284-7:

- (1) “No historic properties affected”. The project will have no effect on significant historic properties; or
- (2) “Effect, with proposed mitigation commitments”. The project will affect one or more significant historic properties, and the effects will be potentially harmful. However, the agency has proposed mitigation commitments to reasonably and acceptably mitigate the harmful effects.

The Federal term “adverse” is not used in the State process of effect determination, which can create confusion among SHPD staff as well as agencies and the public. For example, a Federal agency may determine that “no historic properties will be adversely affected” by an undertaking, which means that historic properties are within the APE, but they will not be affected. The same project would result in a “no historic properties affected” determination under the Chapter 6E process. Likewise, an “adverse effect” determination by a Federal agency is equivalent to an “effect with proposed mitigation commitments” determination by a State or County agency. SHPD staff must ensure that the concurrence language they use in correspondence is consistent with the applicable regulations.

The HARs specifically state that “effects” as used in the review process include both direct and indirect impacts. Examples of “effects” listed in the regulations include partial or total destruction or alteration of the historic property; detrimental alteration of the surrounding environment; detrimental visual,



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spatial, noise or atmospheric impingement; increasing access with the chances of resulting damage; and neglect resulting in deterioration or destruction.

A project can result in visual effects to significant historic properties if it creates a demonstrable negative *aesthetic effect* by diminishing the existing visual aesthetics through (a) elimination of open space, a scenic view or a culturally significant view, or (b) through introduction of a visual element that is incompatible, out of scale, in great contrast, or out of character with the surrounding area and its aesthetics or character. Visual effects can also create an *obstructive effect* by (a) blocking or intruding into a significant view from the historic property; (b) blocking a significant feature of the historic property; (c) blocking another historic property viewed from the subject historic property; or (d) providing a visual element that would detract from a scenic view or historic property. These are important factors when considering effects to historic properties significant under HAR Criterion “e”.

Effect determinations for Chapter 6E projects are required to be submitted to SHPD for review and approval once the significance assessments have been determined. The effect determinations are required to include a map showing the location of the project and a discussion of the project’s scope of work, so that the nature of possible effects is clear. This information is not required to be included in the survey report pursuant to HAR §13-276-5; however, the report must include recommended mitigation measures, so it is necessary to obtain this information from the project proponent before SHPD can concur with the recommended mitigation. In some cases, the survey reports include a brief statement on project effects; however, these are often completed early in the planning process when project effects are still subject to modification. This can result in mitigation recommendations that must be revised as a project is developed, or were not appropriate for the outcome. For example, the default assumption for most surveys is that a historic property will be destroyed by the project unless it is formally recommended for preservation. When historic properties are later found to be avoided by a project, there are no measures in place to ensure they are not subsequently affected by neglect. The reasoning (mitigation has already occurred) does not take into account the possibility that the site is still significant and still exists. It is therefore important that the full range of project effects are known before mitigation commitments are agreed upon.

5.4 Mitigation Commitments and Implementation

A mitigation commitment refers to a written proposal consisting of a table or the significant historic properties with the form of proposed mitigation for each property, along with text justifying the proposed treatments. The HARs call for these commitments to be submitted by the agency for Chapter 6E-8 projects (§13-275-8); for Chapter 6E-42 projects, the commitments are required to be submitted by the agency concurrently with the survey report, significance evaluations, and effect determinations (§13-284-8). Both rules recognize five forms of mitigation, all of which may be applicable to various types of archaeological historic properties. The five mitigation forms are:

- A. Preservation;
- B. Architectural recordation;
- C. Archaeological data recovery;
- D. Historical data recovery; and
- E. Ethnographic documentation.



If Native Hawaiian burials are included among the historic properties, mitigation commitments cannot be concurred with by SHPD until the appropriate island burial council determines the disposition of the burial(s) – the options are “preserve in place” or “relocate” (HAR §13-300-33).

5.4.1. Preservation

As defined in the HAR, preservation includes all categories recognized by the SOI preservation terminology – conservation, rehabilitation, restoration, reconstruction, interpretation, and appropriate cultural use. These categories of preservation are defined in Appendix I. Also included in the HAR definition of preservation is avoidance and protection, and stabilization. Protection as a preservation treatment was defined by the SOI Standards as acts of guarding a historic property from deterioration, loss, or to cover or shield the property from injury. For archaeological sites, protection can be either temporary or permanent. This type of preservation was deleted from the SOI list in 1995, but is still included in the HAR. Stabilization, defined for archaeological sites as applying measures to reestablish the structural stability of a deteriorated property while maintaining the essential form as it exists today, was also deleted from the SOI list in 1995.

In some cases, more than one type of approach is applied when planning for the preservation of a historic property or a group of historic properties. Normally, it is expected that the form of proposed preservation will be included in the mitigation commitments; after concurrence by SHPD (within 45 days) a more detailed preservation plan must be prepared which outlines the implementation of the proposed commitments. Specific requirements for archaeological preservation plans are found in HAR §13-277.

If Native Hawaiian burials are included among the historic properties to be preserved, a burial treatment plan must be prepared pursuant to HAR §13-300-33 and submitted to SHPD and the appropriate island burial council for review and approval (HAR §13-275-8 and §13-284-8). When archaeological complexes comprised of multiple features are recommended for preservation, it is not uncommon to have two preservation plans, one for the non-burial features and one for the burial features. It should also be pointed out that when the preserved sites are significant under HAR Criterion “e”, consultation must occur with the appropriate ethnic group or with OHA during preparation of the preservation plan, and other types of mitigation plans.

Preservation plans prepared pursuant to the HAR must contain five sets of information:

- (1) Identify the form(s) of preservation to be implemented;
- (2) Specify the buffer zones and depict them on a map;
- (3) Specify short-term protection measures for each site that will be within or near a construction area;
- (4) Discuss the consultation process for historic properties significant under HAR Criterion “e”;
- (5) Specify the long term preservation measures to be implemented at each historic property. (HAR §13-277-3).



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Specific requirements for each of the elements listed above is found in HAR §13-277. If interpretative signage or brochures are proposed in connection with the preservation measures, the text of the sign or brochure must be reviewed and approved by SHPD. Signs must be located to minimize visual affects to the historic property, and text must be culturally sensitive. In general, there are no set distance requirements for long and short term preservation measures, buffer zones or the manner in which the buffer zones must be demarcated. These are decided on a case-by-case basis because they are affected by the nature of the project, extent of available land, proposed construction, final uses of the project area, and significance of the historic property. Once the preservation plan for non-burial sites is submitted to SHPD for review, a 30 day public comment period commences; SHPD must respond within 45 days by either accepting the preservation plan or requesting revisions to the plan. After it is approved, all short term preservation measures must be implemented prior to the commencement of any construction or land alteration activities within the project area. Written verification of this implementation is required; SHPD may request photos showing interim buffer zones in place if staff is not able to visit the project area to confirm implementation of the short-term measures.

The long term measures stipulated in preservation plans are in many cases implemented during or after project construction, when all permits and entitlements have been approved. One of the eight requirements for long term measures is that the plan include provisions for reasonable monitoring of site integrity and SHPD inspection to assure compliance (HAR §13-277-6). SHPD has developed a preservation plan database (a subset of the reports database) that allows staff to identify where preservation areas are located and track ownership so that letters requesting site inspections can be sent out at regular intervals. It is important that these preservation areas are visited at least every five years to verify whether the site still exists, and whether the long term preservation measures are still in place.

5.4.2 Archaeological Data Recovery

Data recovery is the most frequently used mitigation measure for archaeological resources considered significant under HAR Criterion “d”; however preservation is the preferred mitigation, and should be pursued when possible. Data recovery alone is not considered adequate mitigation for archaeological resources considered significant under HAR Criteria “a”, “b”, “c” or “e”. When appropriate, and acceptable to all parties, data recovery must be conducted in accordance with HAR §13-278. After SPD concurs that data recovery is appropriate mitigation for identified and evaluated historic properties, a data recovery plan must be submitted to SHPD and accepted prior to the initiation of any fieldwork. The data recovery plan is considered a research design and minimally must include six components:

- (1) Identify the historic properties to be studied (if human burials are proposed for recovery and relocation, procedures must be in accordance with HAR §13-300);
- (2) State research objectives to be addressed with background discussion;
- (3) Identify data needed to address the research objectives;
- (4) Describe field methods to be used to acquire and analyze the data;
- (5) Describe proposed laboratory work, including specialized analysis of acquired samples;
- (6) Indicate location and procedures for curation of collections;



The above information categories are in accordance with the components of a research design as stipulated for a Documentation Plan in the SOI Standards for Archaeological Documentation (discussed above in 4.2.4). Data recovery plans are subject to a 30-day public review period and any interest party may submit written comments to SHPD; these must be taken into account during review of the plan. A written response either approving or requesting revisions to the data recovery plan must be complete by SHPD within 45 days of receipt. After completion of the data recovery field work and laboratory analysis, a completion report (or end of fieldwork report) must be submitted to SHPD for review and approval. In cases where numerous sites were studied or extensive analysis must occur, a project may proceed as long as SHPD concurs that the mitigation plan was completed as proposed. A summary report of completed field activities is submitted to the SHPD, along with a request for verification that mitigation has been acceptably completed. The SHPD must respond to this request within 30 days; a completion report is then submitted within a reasonable period of time, usually after the project has commenced.

The review period for the data recovery report of findings is 30 days. The report is expected to include all information listed in HAR §13-278-4 and address any research questions or problems outlined in the data recovery plan. Components required for a data recovery report pursuant to HAR are consistent with the minimal reporting results required in the SOI Standards for Archaeological Documentation.

In general, it is not unusual for Archaeology Branch staff to write eight to twelve letters in connection with a single project. Continuity is an important factor in maintaining a response pace that allows a project to move forward; for this reason, staff are usually assigned review tasks by geographic area so that the same person is allowed to follow a project from planning stages to completion.

5.4.3 Architectural, Historical and Ethnographic Documentation

In many cases, architectural and archaeological resources are identified and evaluated within a single project area. The most common example is a bridge replacement or repair project that will affect a historic bridge as well as archaeological resources located adjacent to or beneath the bridge. If the joint review results in a determination that both architectural and archaeological documentation is needed, separate mitigation plans and reports of findings should be sent to the respective branches of SHPD. As noted in the schedule of submittal fees, each type of mitigation plan or report requires a separate payment.

Many archaeological historic properties are associated with places or areas that warrant historic and/or ethnographic documentation as mitigation measures. The historic and ethnographic mitigation plans and reports are reviewed by the History and Culture Branch using guidelines developed by SHPD. These documents should also be submitted separately from the archaeological plans and reports, and are also subject to submittal fees. The review period time frame and 30-day public review period for these mitigation plans are the same as the archaeological plans. If no fieldwork within the project area is required in connection with historic or ethnographic mitigation, the permitting agency or lead agency for the project may request to proceed with the project while these reports are being prepared (HAR §13-275-9(e) and §13-284-9(e)).

APPENDIX A
Intake Log Database- Entry Descriptions



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

Intake Log Database – Entry Descriptions

The following information will be added to the Intake Database by the intake specialist at the time the submittal is received by SHPD:

A) Information entered when intake log number assigned:

- 1) **Log No.** - Unique nine digit number beginning with year and five digit sequential number
- 2) **Date** - Specifies date the entry is made, written as mm/dd/yyyy
- 3) **Jurisdiction** - Indicate applicable federal or state law, i.e., 6E-8, 6E-42 or NHPA Sec 106
- 4) **Project Name** - Brief summary of project, title of document, or development name
- 5) **Agency** - Permitting agency for 6E reviews or lead agency for Section 106 reviews
- 6) **Firm** - Owner's representative who is submitting the application or consulting firm submitting a report or plan)
- 7) **Owner** - Person or legal entity that owns the affected land
- 8) **Ahupua'a** - Traditional land division at the time of the Māhele; consult GIS if unknown
- 9) **Moku** - Modern land district that correlates with the Tax Key Zone, some are traditional
- 10) **Island**
- 11) **TMK** - nine digit number, each parcel affected by the action is entered
- 12) **Div Assign** - refers to the applicable Branch or Branches, i.e., Archaeology, Architecture and/or History and Culture
- 13) **Person Assign** - Initials of person assigned the review, can be up to three if different Branches are involved
- 14) **Acres** - Area of the project in acres
- 15) **Received** - Specifies the date the submittal was received and date stamped, written as mm/dd/yyyy
- 16) **Due** - Specifies the date comments are due, based on type of submittal and permit

B) Information entered when SHPD correspondence completed and entry logged out:

- 17) **New Sites** - Indicate the number of historic properties that are newly identified in connection with the project
- 18) **Old Sites** - Indicate the number of previously identified historic properties that are known and considered in connection with the project
- 19) **Eligibility** - Enter significance criteria or "no" if new or old sites are present
- 20) **Determination** - Enter the determination of effect reached or concurred with, i.e., "no historic properties affected, effect with mitigation, adverse effect, etc,
- 21) **Day Late** - Calculated value indicating the difference between "Received" and "Done" dates
- 22) **Done** - Date on letter at the time it is logged out, written as mm/dd/yyyy
- 23) **Doc No** - Document number on letter, assigned by staff person who composed the letter; Indicates year, month, person's initials and unique number for the month, i.e., 1403TD15.
- 24) **DocuShare** - Link created to a folder in DocuShare that contains the electronic copies of all documents relating to this submittal (same as link in first column ?)

APPENDIX B
Correspondence Guidelines



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

Guidelines for Correspondence – Archaeology Branch

1. Letterhead

All SHPD correspondence uses DLNR letterhead which includes the address of the main office in Kapolei or the address of the DLNR office in Honolulu. Other information on the letterhead includes the names of the Governor, Chair of the Land Board, the First Deputy and Deputy Director of Water. The state seal and DLNR seal are also present. The letterhead components can be edited in Microsoft Word. It is important to check the names listed in the letterhead being used, to ensure that all officers listed are still current. If an older letter is used as a template, it is possible that this information is outdated. Most outgoing correspondence should use the letterhead that shows the address of SHPD in Kapolei. If a letter is going to the SHPO for signature, or if it is in response to a submittal that was addressed to the SHPO, the address of the SHPO's office in Honolulu should be used. Examples of the two letterheads are shown below.

2. Addressee and tracking information

This section of the letter includes (left justified) the date, the person to whom the letter is written and their title (one line), a company or agency name if applicable (one line), their physical address (two lines) and their email address in parentheses (one line). The salutation is also left justified, one open line below the address information. The log number is placed on the right justified side of the letter at the first addressee line, written as LOG NO: 2014.00768. The next right-justified line contains the document number, written as DOC NO: 1404ZZ10. The third line names the branch or branches from which the letter originated, written as "Archaeology" or "Archaeology, Architecture". See examples.

3. Subject lines

This section should include a minimum of four lines and a maximum of six lines, except in cases where multiple locations and TMKs must be listed. The lines are indented and in bold font; the last line is underlined, with the line extending to the right margin (see examples). The information is preceded with the word SUBJECT: that is not bold, but in upper case, left justified. The following information is needed in this section of the letter: the **first line** states the jurisdiction, written as "Chapter 6E-xx Historic Preservation Review", or "National Historic Preservation Act Section 106 Consultation", followed by a dash. The **second line** states the name of nature of the review. It is preferable to keep this to one line; however two lines can be used if necessary. Do not include the entire title of a report, plan or document in this section of the letter; state the type of study and acreage of the project area for surveys. If the document is a mitigation plan, include the SIHP number(s). The **third line** states the ahupua'a, district and island where the project is or will occur; written as: _____ Ahupua'a, _____ District, Island of _____. Include all ahupua'a and districts affected, unless the project affects a very large area. In general, if more than six ahupua'a are affected the subject line should state Multiple Ahupua'a. For statewide projects with multiple locations on several islands, this line should include the names of the affected islands, with districts and ahupua'a as multiple; this information may require more than one line. The **fourth line** contains the Tax Map Key (TMK) information, beginning with the island code number in parentheses followed by a space, then the zone (single digit) followed by a dash, then the section (single digit) followed by a dash, then the plat (three digit) followed by a colon, then the parcel (three digit); written as TMK: (x) x-x-xxx: xxx. It is common to have multiple parcels within a project area; these

APPENDIX B

Correspondence Guidelines



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

should all be listed unless the project encompasses multiple zones as well. In these cases, it is acceptable to list the plats and parcels as multiple. See examples below.

4. Introductory paragraph

The first sentence of the letter acknowledges receipt of the submittal and includes the date it was received by SHPD. This date should reflect the time stamp, not the date the letter was received on the reviewer's desk. For neighbor island offices, there may be a difference of a week or more between the time a submittal is received in Kapolei and when it arrives via USPS. This time is not added to the review schedule; the receipt date must reflect the day it was received in Kapolei. If the response is past the due date, the letter should include an apology in the second line. If the letter is a follow up of a previously written letter, or in response to a follow-up, this is stated in the first sentence (see examples). The rest of this paragraph should contain a concise description of the project or action being reviewed, or a summary of the actions being discussed. Sufficient detail should be provided to inform any reader of the nature of the work being proposed. For construction, be sure to include depth and area of excavations; for cell towers, include the height of the tower and extent of any ground disturbance. For grading and grubbing permits, the total area to be disturbed is required information. If the disturbed area is smaller than the TMK parcel indicated, then the location of the project area within the parcel must be provided.

5. Findings of records search and pertinent information

The purpose of the information in this section is to provide a basis for the conclusion, determination and recommendations presented in paragraphs 6 and 7. Information found in SHPD records regarding the project area should be presented in a paragraph separate from the description of the project area. Minimally, there should be a statement as to whether we have records of any historic properties within or near the project area, and whether we have records of any archaeological surveys for the project area. Presence/absence of registered historic properties (HRHP and NRHP) should also be noted. When known sites are present, a brief description of the site followed by its SIHP number should be included. Previous determinations and recommended mitigation measures for known sites should be included in this paragraph, along with references to any existing mitigation plans. When referencing previous studies, it should be noted whether the report was accepted by SHPD or not, and the previous correspondence should be cited (Log 2014.00456, Doc 1404KK05). If the project area is in a region where multiple studies have been conducted on surrounding parcels, it is not necessary to go through each study in detail. Summary statements regarding previous work and findings will suffice. If archaeological surveys have been completed, they must be assessed for accuracy and conformance with current rules. Generally, surveys conducted before 2000 may not meet current standards. In these cases, it should be stated in this paragraph that the report does not meet the applicable regulations (cite the regulation).

6. Conclusion/concurrence/determination

The nature of this section will depend upon the type of submittal. For federal and state agency effect determinations, the letter should state the agency determination and based on information provided in paragraph 5, concur or not with the determination made by the agency. For county permit applications submitted by the applicant, SHPD must usually make a determination; again, this must be based on information provided in the letter. For appropriate language, see the respective discussions in Sections 3 and 4 of *Review & Compliance for Archaeology*. In other cases, the submittal may be initiating

APPENDIX B
Correspondence Guidelines



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

consultation, providing an EA or EIS for comment pursuant to environmental regulations, or a request for review and comment of a report or plan. If the submittal is a notice of initiation of the Section 106 process, there should be no determination made at this time and this section is not present in the letter. Occasionally, it is possible to make a determination in a response to a notice of EA preparation, if the project area has already undergone the historic preservation review process. Normally, SHPD would skip this section for these types of responses and go directly to recommendations. For inventory survey report submittals that are being accepted as final, SHPD must concur with: **a)** the significance evaluations for each historic property, **b)** the recommended mitigation/treatment for each historic property, **c)** the project effect determination if included, and **d)** recommendations for archaeological monitoring if included. If the reviewer is requesting revisions to the document, concurrence with significance assessments and recommended treatments normally wait until the revised report is submitted and found to be acceptable. For inventory survey reports, it is also important to indicate whether or not the survey area was adequately covered during the reported field work. See additional notes on review letters for reports in Section 5 of *Review & Compliance for Archaeology*.

7. Recommendations

In many cases there are conditions attached to determinations that should be stated clearly in this paragraph. These might include either submittal of mitigation or monitoring plans, or implementation of mitigation plans. When a determination of “no historic properties affected” is made for county permits, this paragraph should include the standard language on procedures for inadvertent discoveries during construction (see example below). In cases where existing documentation such as a survey report is found to be deficient, this paragraph should explain how the report should be updated and if supplemental fieldwork is needed. In cases where a submitted report or plan is being reviewed, this paragraph recommends that the questions and comments found in the attachment be addressed and a revise report submitted; or it requests that a final copy of the report with an electronic version on CD be submitted to the Kapolei office, attention SHPD Library. See example below for specific language. The contact person’s name, email address and phone number are then included as the final sentence of this paragraph, or as a separate paragraph.

8. Signature and cc list

The letter is concluded with a standard salutation, such as “Aloha”, (left justified), followed by a single space (left justified), followed by the title of the signer (left justified). If State of Hawaii letterhead is used, the division name is placed beneath the signer’s title. If SHPD letterhead is used, it is not necessary to write “State Historic Preservation Division” beneath the title. Any person or agency that has requested to be copied, or that the reviewer feels should be copied, is listed as a cc. Each person being cc’d should be on a separate line, to ensure that they are distinguished as a separate mailing or emailing. When copied persons or agencies are to receive the letter via email, their full name and title should appear in front of their email address, which is in parentheses. Do not just list email addresses.

9. Attachment(s)

Attachments might include maps or lists of information that are necessary but too extensive to include in the body of a letter. The most common attachments are usually found with report reviews. Specific comments or questions with the page citation are organized by report section and listed in an attachment to the review letter. See examples below.

APPENDIX C
National Historic Preservation Act
Sections 101, 106 and 110



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

Section 101(b) of the National Historic Preservation Act of 1966, as amended:

- (3)** It shall be the responsibility of the State Historic Preservation Officer to administer the State Historic Preservation Program and to . . .
 - (E)** advise and assist, as appropriate, Federal and State agencies and local governments in carrying out their historic preservation responsibilities;
 - (F)** cooperate with the Secretary, the Advisory Council on Historic Preservation, and other Federal and State agencies, local governments, and organizations and individuals to ensure that historic properties are taken into consideration at all levels of planning and development; . . .
 - (I)** consult with the appropriate Federal agencies in accordance with this Act on:
 - (i)** Federal undertakings that may affect historic properties; and
 - (ii)** the content and sufficiency of any plans developed to protect, manage, or to reduce or mitigate harm to such properties;

Section 106 of the National Historic Preservation Act of 1966, as amended:

The head of any Federal agency having direct or indirect jurisdiction over a proposed Federal or Federally assisted undertaking in any State and the head of any Federal department or independent agency having authority to license any undertaking shall, prior to the approval of the expenditure of any Federal funds on the undertaking or prior to the issuance of any license, as the case may be, take into account the effect of the undertaking on any district, site, building, structure, or object that is included in or eligible for inclusion in the National Register. The head of any such Federal agency shall afford the Advisory Council on Historic Preservation established under Title II of this Act a reasonable opportunity to comment with regard to such undertaking.

Section 110 of the National Historic Preservation Act of 1966, as amended:

(a)(1) The heads of all Federal agencies shall assume responsibility for the preservation of historic properties which are owned or controlled by such agency . . .

(2) Each Federal agency shall establish (unless exempted pursuant to section 214), in consultation with the Secretary, a preservation program for the identification, evaluation and nomination to the National Register of Historic Places, and protection of historic properties. Such programs shall ensure –

(A) that historic properties under the jurisdiction or control of the agency are identified, evaluated, and nominated to the National Register . . .

(D) that the agency's preservation-related activities are carried out in consultation with other Federal, State, and local agencies, Indian tribes, Native Hawaiian organizations carrying out preservation planning activities, and with the private sector . . .

The full text of the NHPA is found at (<http://www.nps.gov/history/local-law/nhpa1966.htm>):

APPENDIX D
Hawaii Revised Statutes Chapter 6E



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

§6E-7 State title to historic property. (a) All historic property located on lands or under waters owned or controlled by the State shall be the property of the State. The control and management of the historic property shall be vested in the department.

(b) The department may dispose of the historic property subject to chapter 171 and subject further to those reservations, restrictions, covenants, or conditions which relate to the preservation of the historic property, such as rights of access, public visitation, operation, maintenance, restoration, and repair. The department shall determine the conditions for any research affecting the historic property and may issue permits for the research.

(c) The State shall hold known burial sites located on lands or under waters owned or controlled by the State in trust for preservation or proper disposition by the lineal or cultural descendants.

(d) The State shall not transfer any historic property or aviation artifact under its jurisdiction without the concurrence of the department, and shall not transfer any burial site under its jurisdiction without consulting the appropriate island burials council.

§6E-8 Review of effect of proposed State projects. (a) Before any agency or officer of the State or its political subdivisions commences any project which may affect historic property, aviation artifact, or a burial site, the agency or officer shall advise the department and allow the department an opportunity for review of the effect of the proposed project on historic properties, aviation artifacts, or burial sites, consistent with section 6E-43, especially those listed on the Hawaii register of historic places. The proposed project shall not be commenced, or in the event it has already begun, continued, until the department shall have given its written concurrence.

The department is to provide written concurrence or non-concurrence within ninety days after the filing of a request with the department. The agency or officer seeking to proceed with the project, or any person, may appeal the department's concurrence or non-concurrence to the Hawaii historic places review board. An agency, officer, or other person who is dissatisfied with the decision of the review board may apply to the governor who may request the Hawaii advisory council on historic preservation to report or who may take action as the governor deems best in overruling or sustaining the department.

(b) The department of Hawaiian home lands, prior to any proposed project relating to lands under its jurisdiction, shall consult with the department regarding the effect of the project upon historic property or a burial site.

(c) The State, its political subdivisions, agencies and officers shall report to the departments the finding of any historic property during any project and shall cooperate with the department in the investigation, recording, preservation and salvage of the property.

APPENDIX D
Hawaii Revised Statutes Chapter 6E



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

§6E-10 Privately owned historic property. (a) Before any construction, alteration, disposition or improvement of any nature, by, for, or permitted by a private landowner may be commenced which will affect an historic property on the Hawaii register of historic places, the landowner shall notify the department of the construction, alteration, disposition, or improvement of any nature and allow the department opportunity for review of the effect of the proposed construction, alteration, disposition, or improvement of any nature on the historic property. The proposed construction, alteration, disposition, or improvement of any nature shall not be commenced, or in the event it has already begun, continue, until the department shall have given its concurrence or ninety days have elapsed. Within ninety days after notification, the department shall:

- (1) Commence condemnation proceedings for the purchase of the historic property if the department and property owner do not agree upon an appropriate course of action;
- (2) Permit the owner to proceed with the owner's construction, alteration, or improvement; or
- (3) In coordination with the owner, undertake or permit the investigation, recording, preservation, and salvage of any historical information deemed necessary to preserve Hawaiian history, by any qualified agency for this purpose.

(b) Nothing in this section shall be construed to prevent the ordinary maintenance or repair of any feature in or on an historic property that does not involve a change in design, material, or outer appearance or change in those characteristics which qualified the historic property for entry onto the Hawaii register of historic places.

(c) Any person, natural or corporate, who violates the provisions of this section shall be fined not more than \$1,000, and each day of continue violation shall constitute a distinct and separate offense under this section for which the offender may be punished.

(d) If funds for the acquisition of needed property are not available, the governor may, upon the recommendation of the department allocate from the contingency fund an amount sufficient to acquire an option on the property or for the immediate acquisition, preservation, restoration or operation of the property.

(e) The department may enter, solely in performance of its official duties and only at reasonable time, upon private lands for examination or survey thereof. Whenever any member of the departmet duly authorized to conduct investigations and surveys of an historic or cultural nature determines that entry onto private lands for examination or survey of historic or cultural finding is required, the department shall give written notice of the finding to the owner or occupant of such property of at least five days prior to entry. If entry is refused, the member may make a complaint to the district court in the circuit in which such land is located. The district court may thereupon issue a warrant, directed to any police officer of the circuit, commanding the officer to take sufficient aid, and, being accompanied by a member of the department, between the hours of sunrise and sunset, allow the member of the department to examine or survey the historic or cultural property.

APPENDIX D
Hawaii Revised Statutes Chapter 6E



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

§6E-41 Cemeteries: removal or redesignation. (a) Any person removing or redesignating any cemetery shall comply with the following requirements:

- (1) Publish a notice in a newspaper of general circulation in the State, requesting persons having information concerning the cemetery or persons buried in it to report that information to the department;
- (2) Photograph the cemetery generally, and take separate photographs of all headstones located in the cemetery;
- (3) Turn over to the department all photographs and any other relevant historical records;
- (4) Move all headstones to the place of reinterment; and
- (5) Obtain written concurrence of the department prior to any removal or redesignation if the cemetery has existed for more than 50 years.

(b) The requirements of subsection (a) shall be in addition to any requirements imposed by the department of health.

§6E-42 Review of proposed projects. (a) Before any agency or officer of the State or its political subdivisions approves any project involving a permit, license, certificate, land use change, subdivision, or other entitlement for use, which may affect historic property, aviation artifacts, or a burial site, the agency or office shall advise the department and prior to any approval allow the department an opportunity for review and comment on the effect of the proposed project on historic properties, aviation artifacts, or burial sites, consistent with section 6E-43, including those listed in the Hawaii register of historic places.

(b) The department shall inform the public of any project proposals submitted to it under this section which are not otherwise subject to the requirement of a public hearing or other public notification.

§6E-43 Prehistoric and historic burial sites. (a) At any site, other than a known, maintained, actively used cemetery where human skeletal remains are discovered or are known to be buried and appear to be over fifty years old, the remains and their associated burial goods shall not be moved without the department's approval.

(b) All burial sites are significant and shall be preserved in place until compliance with this section is met, except as provided in section 6E-43.6. The appropriate island burial council shall determine whether preservation in place or relocation of previously identified native Hawaiian burial sites is warranted, following criteria which shall include recognition that burial sites of high preservation value, such as areas with a concentration of skeletal remains, or prehistoric or historic burials associated with important individuals and events, or areas that are within a context of historic properties, or have known lineal descendants, shall receive greater consideration for preservation in place. . . .

(the full text of this section is found at (http://www.capitol.hawaii.gov/hrscurrent/Vol01_Ch0001-0042F/HRS0006E/HRS_0006E-0043.htm):

SHPD File Search Checklist for Review & Compliance

Log No. _____ TMK _____ By _____ Date _____

Description of Project _____

Description of APE _____

Sources examined for information/status of parcel or project area:

- ___ GIS: ___ not available at time of review
 ___ no sites or other cultural features within or near parcel
 ___ land use indicates prior disturbance, grubbing or grading
 ___ resources present, see below
- ___ Hawai'i and National Register of Historic Places: ___ no sites listed in or near APE
 ___ see below
- ___ TMK Plat: ___ no change in parcel size or parcel number
 ___ no LCA within or near project
 ___ no sites or survey area marked on map within or near APE
 ___ see below
- ___ SIHP Database search: ___ no sites within or near APE
 ___ see below
- ___ Quad map with site locations pre-1980: ___ no sites within or near APE
 ___ no historic structures or roads
 ___ see below
- ___ Report Database search: ___ no surveys within or near APE
 ___ see below
- ___ Correspondence file (DocuShare and Paper files): ___ no information in file
 ___ see below
- ___ Burial site files: ___ no prior reports of burials in or near APE
 ___ see below
- ___ Historic maps, aerial photos: ___ not available for subject area
 ___ no resources shown in vicinity of project
 ___ see below
- ___ Agency/project files: ___ none available for subject area
 ___ no historic properties indicated
 ___ see below
- ___ Soils map (NRCS or GIS) ___ not in sand/sensitive soil zone
 ___ see below
- ___ Other source:(describe) ___ no resources indicated
 ___ see below

**SHPD Preliminary File Search Checklist for Review & Compliance
Summary of findings (for items checked “see below”)**

GIS:

Hawai`i and National Register :

TMK Plat Map:

SIHP Database search:

Quad Map with Site locations:

Report Database search:

Correspondence/DocuShare files: (attach copy of relevant correspondence)

Burial Site files:

Historic Maps, photos:

Agency or Project files:

Soils:

Other source as indicated:



HAWAII DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

County Property Tax Offices:

- Hawaii County – www.hawaiipropertytax.com
- Honolulu City & County – www.honolulupropertytax.com/Main/Home.aspx
- Kaua'i County – www.qpublic.net/hi/kauai/
- Maui County – www.mauipropertytax.com

Current County Tax Maps:

- Hawaii County - <http://www.hawaiicounty.gov/tax-maps/current/>
- Honolulu City & County - <http://gis.hicentral.com/FastMaps/ParcelZoning/>
- Kauai County - <http://csc-s-maps-q.csc.noaa.gov/khat/viewer.html>
- Maui County - <http://www.co.maui.hi.us/index.aspx?NID=757>

Secretary of the Interior's Standards and Guidelines:

- Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation (http://www.nps.gov/history/local-law/arch_stnds_0.htm),
- Secretary of the Interior's Standards and Guidelines for Identification (http://www.nps.gov/history/local-law/arch_stnds_2.htm),
- Secretary of the Interior's Standards for Evaluation (http://www.nps.gov/history/local-law/arch_stnds_3.htm)
- Secretary of the Interior's Standards for the Treatment of Historic Properties (http://www.nps.gov/history/local-law/arch_stnds_8_2.htm)
- Secretary of Interior's Standards for Identification, Standards for Evaluation and Standards for Archaeological Documentation (http://www.nps.gov/history/local-law/arch_stnds_7.htm)

National Register Bulletins and Other Publications: All found at www.nps.gov/history/publications/

- *National Register Bulletin 15*, How to Apply the National Register Criteria for Evaluation
- *National Register Bulletin 16A*, How To Complete the National Register Nomination Form
- *National Register Bulletin 16B*, How to Complete the National Register Multiple Property Documentation Form
- *National Register Bulletin 22*, Guidelines for Evaluating and Nominating Properties that Have Achieved Significance in the Past Fifty Years
- *National Register Bulletin 30*, Guidelines for Evaluating and Documenting Rural Historic Landscapes
- *National Register Bulletin 32*, Guidelines for Evaluating and Documenting Properties Associated with Significant Persons

APPENDIX F WEBLINKS TO RESOURCE MATERIALS



HAWAI'I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

- *National Register Bulletin 36*, Guidelines for Evaluating and Registering Archaeological Properties
- *National Register Bulletin 38*, Guidelines for Evaluating and Documenting Traditional Cultural Properties
- *National Register Bulletin 39*, Researching a Historic Property
- *National Register Bulletin 41* Guidelines for Evaluating and Registering Cemeteries and Burial Places
- Historic Preservation Briefs (<http://www.nps.gov/tps/how-to-preserve/briefs.htm>)
- Historic Preservation Tech Notes (<http://www.nps.gov/tps/how-to-preserve/tech-notes.htm>)

**SHPD REVIEW
INVENTORY SURVEY REPORT**

ISLAND _____
TMK:() _____

RECEIVED _____
DUE _____

CONSULTANT _____
TITLE _____

REVIEWED BY _____

	OK	COMMENTS/REVISIONS NEEDED
13-276-5 (a) ARCHAEOLOGICAL INVENTORY SURVEY REPORT		
1. Identification of the survey area:		
A. 1:24000 scale USGS map		
B. Island, District, Ahupua'a, TMK, Acreage stated in text		
2. Identify Owner(s)		
3. Description of environment:		
A. Topography (elevations, distance inland, terrain patterns)		
B. Vegetation		
C. Geology & Soils		
D. Climate & Rainfall		
E. Hydrology		
(b) Background Research to predict kinds & distrib. of sites		
1. Historic background:		
A. Land use & Site patterns - project area & ahupuaa/other		
i. Prehistoric or historic information from 19th cent sources		
ii. 1848-51 (LCA)		
iii. Post-1850 literature & oral accounts		
B. Summary of Documents & Materials Reviewed		

**SHPD REVIEW
INVENTORY SURVEY REPORT**

ISLAND _____
TMK:() _____

RECEIVED _____
DUE _____

CONSULTANT _____
TITLE _____

REVIEWED BY _____

(b)1. C. Indicate:		
i. LCA granted in project area/ahupua`a or other area		
ii. LCA information (number, LCA no., use, location)		
2. Archaeological Background Information-relvant prior studies		
A. Map of prior survey coverage		
B. Synthesis & analysis of chronology, function, use patterns		
C. Prediction of site types expected within project area		
3. If Inventory Plan was submitted, Section (b) is not needed		
(c) Methods used in field survey		
1. Name(s) & qualifications of Principal Investigator		
2. Dates, no. of personnel, duration of work		
3. Extent of survey coverage (sampling design, % of property)		
4. Limiting factors		
5. Techniques used to identify sites & rationale		
6. Site recording techniques & rationale		
7. Methods used to plot site location		
8. Methods used to determine site boundaries		
(d) Field survey & laboratory findings (each site described)		
1. New & previous State Site numbers		
2. Reference to previous study/recordation		
3. Formal type of site and individual features		

**SHPD REVIEW
INVENTORY SURVEY REPORT**

ISLAND _____
TMK:() _____

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TITLE _____

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(d) 4. Description of each property to include:		
A. Size, horizontal extent		
B. Shape, materials, construction, area of each feature		
C. Presence/absence of surface remains, density, distribution		
D. Presence/absence of subsurface deposits, depth, nature		
i. U.S.D.A Soil descriptions (w/Munsell)		
ii. Stratigraphic profile drawings to scale showing features		
E. Photographs and/or drawings		
F. Plan map to scale & method used, N arrow, scale, features		
G. Description of integrity of the site		
H. Assessment of site function w/supportive arguments		
I. Assessment of site age (dating if possible)		
J. Evaluation of site significance		
(e) Document Previous Land Disturbance identified during survey		
(f) Summary of Findings:		
1. Total number of sites found		
2. Map with all sites, including U.S.G.S. Topo map		
3. Table presenting site numbers, formal type, function		
4. Summary of sites by functional type if multiple sites occur		
5. Re-evaluation of the history of land use in ahpua`a & parcel		
6. If five or more sites present within a major functional type:		

**SHPD REVIEW
INVENTORY SURVEY REPORT**

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A. Include a table itemizing each site with key variables		
B. Map showing distribution of sites within each functional type		
(g) Information on consultation (if indicated by SHPD)		
1. Information shall Include:		
A. Personnel, names & qualifications, conducting consultation		
B. Methods of identifying & contacting knowledgeable persons		
C. Names of persons consulted, unless requested otherwise		
D. Summary of additional information & new findings		
2. Add'l Information Included in Site Descriptions		
3. Consult SHPD Guidelines on Ethnographic Info		
13-276-6 Final Disposition of Collections		
a. All Collections, Remains, Grave Goods Archived		
b. Treatment of Human Remains under 6E-43		
13-276-7 Significance Assessments		
Included at end of each site description		
Also in separate section labeled "Significance Assessment"		
with summary table		
Assessments follow HAR 275-6 or 284-6		
13-276-8 Recommendations		
Included in summary table listing sites and significance		
Mitigation commitments shall be included in report		

ARCHAEOLOGICAL ASSESSMENT REPORT	OK	Needs Revision	COMMENTS
13-276-5 (a)			
1. Identification of the survey area:			
A. 1:24000 scale USGS map			
B. Island, District, Ahupua'a, TMK, Acreage			
2. Owner(s)			
3. Description of environment:			
A. Topography			
B. Vegetation			
C. Geology & Soils			
D. Climate & Rainfall			
E. Hydrology			
13-276-5 (c)			
Methods used in Field Survey			
1. Names & Qualifications of Prin. Investigator			
2. Dates, No. of Personnel, Duration of work			
3. Extent of Survey (% of property)			
4. Limiting Factors			
5. Techniques to Identify & Rational			
6. Recording & Techniques Used			
13-284-5 (b)(5)(A) or 13-275-5 (b)(5)(A)			
1. Brief background section discussing former land use			
2. Brief discussion of types of sites that might have been present			
Recommendations			
Indicate no further work or monitoring if indicated, justify			
Report Title:			
Author(s), Company, Date:			

**SHPD REVIEW
DATA RECOVERY PLAN**

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TITLE _____

REVIEWED BY _____

	OK	Needs Revision	COMMENTS
13-278-3 (a) ARCHAEOLOGICAL DATA RECOVERY PLAN			
1. Identify Historic Properties to be studied			
2. Research Objectives			
Review prior work in parcel, ahupua`a, region			
State specific research objectives			
3. Identify Data needed for Objectives			
Specific to research questions			
4. Identify Field Methods			
Sampling approaches, efficient methods			
5. Identify necessary Laboratory Work (dating, etc)			
6. Procedure for Depositing Collections			
7. Burials - DRP not required (§13-300 applies)			
(b) Consultation for Culturally Significant Properties			
Members of relevant ethnic group must be consulted			
Include process, list of consulted parties,			
summarize comments, relate to planned work			

**SHPD REVIEW
DATA RECOVERY REPORT**

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CONSULTANT _____
TITLE _____

REVIEWED BY _____

	OK	Needs Revision	COMMENTS
a. 13-278-4 ARCHAEOLOGICAL DATA RECOVERY REPORT			
1. Management Summary			
A. Sites Studied			
B. General Findings relevant to research objectives			
2. Introduction			
A. U.S.G.S. Map with Ahupua'a & Sites			
B. Text with Island, District, Ahupua'a, TMK			
3. Research Objectives			
4. Field Methods			
A. Personnel Information			
B. Dates work performed			
C. Methods planned			
5. Fieldwork Findings			
6. Laboratory Findings			
7. Historical & Oral History Findings			
8. Research Conclusions			
9. References			
10. Location of Depository (archive)			

**SHPD REVIEW
DATA RECOVERY REPORT**

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TITLE _____

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b. FIELDWORK FINDINGS - SITES			
1. State Site #'s & previous #'s			
2. Reference to previous study			
3. Formal type			
4. Description			
A. Size, horizontal extent			
B. Shape, area, architecture			
C. Surface remains (density & distrib.)			
D. Subsurface deposits			
E. Photographs/Line drawings			
F. Drafted plan maps			
5. If Excavations:			
A. Location on a plan map			
B. Description of stratigraphic layers			
C. Line-drawings (to scale)			
D. Stratigraphic profiles to scale			
E. Descriptions; provenience			
F. Listing of artifacts; provenience			
G. Listing of faunal remains, by layer			
H. Listing of debris & other remains			

**SHPD REVIEW
DATA RECOVERY REPORT**

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TITLE _____

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I. Listing of carbon samples, by provenience			
6. An assessment of site function			
7. Assessment of site age			
c. RESULTS & ANALYSES			
1. Artifacts			
A. Master list with provenience			
B. Measurements			
C. Analyses			
D. Illustrations(drawings or photographs)			
2. Faunal & Botanical remains			
A. Master list			
B. Analyses by taxa			
C. Methods of sample selection			
3. Chronology(absolute & relative dating)			
A. Master list by site & provenience			
B. Methods of collection & treatment			
C. Radiocarbon dates (C12/C13 ratios)			
D. Methods of sample selection			
4. Lithic Sourcing			
A. Master list by site & provenience			

SHPD REVIEW
DATA RECOVERY REPORT

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B. Methods of sample selection			
C. Methods & technique of source analyses			
5. Osteological Analyses			

**SHPD REVIEW
MONITORING PLAN**

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DUE _____

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TITLE _____

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	OK	Needs Revision	COMMENTS
a. 13-279-4 ARCHAEOLOGICAL MONITORING PLAN			
1. Kinds of Historic remains/properties			
2. Where in project located			
3. Needed fieldwork to protect & document			
4. Provision to halt ground disturbance			
5. Coordination meeting with construction			
6. Laboratory work expected to be done			
7. Report preparation			
8. Archiving of any collections			
b. Review & Approval by SHPD			
c. Inadvertant Discovery of human remains			

**SHPD REVIEW
MONITORING REPORT**

ISLAND _____
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DUE _____

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TITLE _____

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	OK	Needs Revision	COMMENTS
13-279-5 ARCHAEOLOGICAL MONITORING REPORT			
1. Management Summary			
A. Presence or absence of sites			
B. General Findings			
2. Location of Study Area			
A. U.S.G.S. Map			
B. Island, District, Ahupua'a, TMK, Acreage			
3. Purpose of Monitoring			
4. Archaeological Field Methods			
A. No. of personnel, names, qualifications			
B. When work was done			
C. Methods & Techniques planned/deviations			
5. Archaeological Fieldwork			
A. State Site #'s & previous #'s			
B. Reference to previous study			
C. Site's Formal Type			
D. Description of Sites			
i. Size, horizontal extent			
ii. Major features			

**SHPD REVIEW
MONITORING REPORT**

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TITLE _____

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iii. Presence/Absence of surface remains			
iv. Presence/Absence subsurface deposits			
v. Photographs and/or line drawings			
vi. Drafted Plan Maps			
E. If subsurface analysis occurred include:			
i. Analysis locations on plan map of site			
ii. Description of stratigraphic layers			
iii. Line-drawings to scale			
iv. Representative stratigraphic profiles			
v. Descriptions of features w/provenience			
vi. Listing of artifacts			
vii. Listing of faunal & botanical remains			
viii. Listing of debris & other remains			
ix. Listing of processed radiocarbon			
F. An Assessment of Site Function			
G. An assessment of Site Age			
H. An Assessment of Site Significance			
I. Recommendations			

**SHPD REVIEW
MONITORING REPORT**

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TITLE _____

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6. Laboratory Analyses			
A. Overall presentation of artifacts including:			
i. A master list			
ii. Measurements of artifacts			
iii. Analysis of artifact type			
iv. Photographs or line-drawings			
B. Overall presentation of faunal & botanical			
i. A master list; layer & weight			
ii. Analyses of species			
C. Overall presentation of absolute dating			
i. A master list by site & provenience			
ii. Methods of collection			
iii. Radiocarbon dates (C12/C13 ratios)			
D. Overall presentation of lithic sourcing			
i. Master list by site & provenience			
ii. Methods of sample selection			
iii. Methods of technique & source analyses			
E. Osteological analyses (13-283 & 13-300)			
7. Significant Properties - Consultation			
8. Conclusions			
9. References			
10. Location of depository (archive)			

**SHPD REVIEW
PRESERVATION PLAN**

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DUE _____

CONSULTANT _____
TITLE _____

REVIEWED BY _____

	OK	Needs Revision	COMMENTS
a. 13-277-3 ARCHAEOLOGICAL PRESERVATION PLAN			
1. Identify form of preservation to be implemented			
2. Specify buffer zones and depict on a map			
3. Specify short-term protection measures			
4. Discuss consultation process			
5. Specify long-term protection measures			
13-277-4 Buffer Zones			
a. Ensure that integrity and context is preserved			
b. Size of buffers determined site-by-site			
c. Demarcation & allowed activities site-by-site			
d. Approved buffers to be marked on ground & maps			
13-277-5 Interim protection measures (may include)			
1. Flagging the perimeter of buffer zones			
2. Erecting barriers			
3. Avoidance instructions on construction plans			
4. On-site pre-consultation briefing			
5. Archaeological monitor on site			

**SHPD REVIEW
PRESERVATION PLAN**

**ISLAND _____
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13-277-6 Long term preservation measures			
1. Maintenance measures to be followed			
2. Methods for clearing vegetation			
3. Litter control			
4. Access to site and cultural use			
5. Public interpretation and information			
6. Permanent markers			
7. Potential future impacts and site stability			
8. Reasonable monitoring of site integrity			
13-277-7 Interpretation requirements			
a. Text for signs & brochures approved by SHPD			
b. Interpretive signs shall be:			
1. Sufficient quality to enhance public understanding			
2. Culturally sensitive based on consultation			
3. Not visually affect site			
c. Data Recovery work to meet standards of 13-278			

Section 106 Advanced Seminar Agreement Preparation Checklist

Project Name:

Review Date:

TITLE			
Memorandum of Agreement or Programmatic Agreement?	See definitions at 36 CFR §800.6(c) and §800.14(b)		
	Yes	No	Comments
Are all the signatories named in the title?	<input type="checkbox"/>	<input type="checkbox"/>	Federal agency(ies), SHPO/THPO, and ACHP if participating
PREAMBLE			
	Yes	No	Comments
Is the entire undertaking and the nature of federal involvement described?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the preamble note the agreement was developed pursuant to Section 106 of the National Historic Preservation Act?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the responsible federal agency identified?	<input type="checkbox"/>	<input type="checkbox"/>	
If there is a lead federal agency, has it been identified?	<input type="checkbox"/>	<input type="checkbox"/>	If so, identify the role of delegating agencies [36 CFR §800.2(a)(1)]
Is an applicant for federal permits, licenses, grants, or other assistance involved?	<input type="checkbox"/>	<input type="checkbox"/>	If so, have the applicant's role and responsibilities been described?
Has the appropriate SHPO/THPO been identified?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all other consulting parties identified?	<input type="checkbox"/>	<input type="checkbox"/>	See 36 CFR §800.2
Have the historic properties affected by the undertaking been identified?	<input type="checkbox"/>	<input type="checkbox"/>	If PA with phased identification, is the need for such an approach described?
Does the preamble acknowledge historic properties will or may be adversely affected?	<input type="checkbox"/>	<input type="checkbox"/>	
Is a reference included to the agency's public involvement efforts?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all acronyms and abbreviations identified and used consistently?	<input type="checkbox"/>	<input type="checkbox"/>	
STIPULATIONS			
	Yes	No	Comments
Are the stipulations preceded by a clear	<input type="checkbox"/>	<input type="checkbox"/>	

Section 106 Agreement Preparation Checklist

statement that <i>the federal agency shall ensure that these terms are carried out?</i>			
Are all of the provisions agreed upon during consultation included?	<input type="checkbox"/>	<input type="checkbox"/>	Make sure stipulations are grouped logically.
Do the stipulations clearly identify who is responsible for carrying out each measure?	<input type="checkbox"/>	<input type="checkbox"/>	
Do all tasks have clear timeframes for initiation and completion?	<input type="checkbox"/>	<input type="checkbox"/>	
Have all terms and references been used correctly and accurately?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all stipulations written in the active voice?	<input type="checkbox"/>	<input type="checkbox"/>	
Are tasks assigned only to those parties that will sign the agreement?	<input type="checkbox"/>	<input type="checkbox"/>	Signatories or invited signatories: see 36 CFR §800.6(c)(1-2) for more information.
Has the use of qualified professionals been stipulated where appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	See the Secretary of the Interior's professional qualifications standards at 36 CFR Part 61.
If archaeological data recovery is stipulated, is a data recovery plan attached or referenced in the agreement?	<input type="checkbox"/>	<input type="checkbox"/>	See the ACHP's archaeological guidance at www.achp.gov/archguide .
Is the process for post-review decision making described in a complete, logical, and organized way?	<input type="checkbox"/>	<input type="checkbox"/>	Who makes the decisions? Who is consulted? When do decisions need to be made? What information is needed?
Are procedures for public involvement included for any ongoing reviews carried out according to the agreement's terms?	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures for responding to the unanticipated discovery of historic properties or adverse effects to identified historic properties included?	<input type="checkbox"/>	<input type="checkbox"/>	
Is a dispute resolution procedure included?	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures for monitoring and reporting on agreement implementation included as appropriate to the project?	<input type="checkbox"/>	<input type="checkbox"/>	
Are provisions for the amendment and termination of the agreement included?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the duration specified, and does it allow adequate time for the terms to be completed?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the stipulations conclude with an affirmation statement consistent with the template MOA?	<input type="checkbox"/>	<input type="checkbox"/>	

Section 106 Agreement Preparation Checklist

SIGNATURES			
	Yes	No	Comments
Are all parties assigned responsibilities in the agreement signatories or invited signatories?	<input type="checkbox"/>	<input type="checkbox"/>	
Does each signature line include a printed name, title, agency/organization, and date of signature?	<input type="checkbox"/>	<input type="checkbox"/>	
Are signatories, invited signatories, and concurring parties clearly separated or designated?	<input type="checkbox"/>	<input type="checkbox"/>	
ATTACHMENTS			
	Yes	No	Comments
Are all attachments and appendices cited in the agreement included?	<input type="checkbox"/>	<input type="checkbox"/>	Confine lengthy lists of historic properties, detailed procedural instructions, maps, address lists, etc. to appendices.
GENERAL			
	Yes	No	Comments
Are spelling, grammar, page numbering, section numbering, etc. accurate and consistent?	<input type="checkbox"/>	<input type="checkbox"/>	
Can a cold reader understand the agreement and what it requires?	<input type="checkbox"/>	<input type="checkbox"/>	A cold reader should not have to refer to consultation meeting minutes or other background documents to understand the agreement's provisions.
FILING			
	Yes	No	Comments
Once fully executed, has the agreement been filed with the ACHP?	<input type="checkbox"/>	<input type="checkbox"/>	

Notes and Comments



- adverse effect - **1** an adverse effect is found when an undertaking or project may alter, directly or indirectly, any of the characteristics of a historic property that qualify the property for inclusion in the National Register in a manner that would diminish the integrity of the property's location, design, setting, materials, workmanship, feeling or association (CFR). **2** any alteration to the characteristics of a historic property (HAR).
- agency – **1** each authority of the government of the United States, whether or not it is within or subject to review by another agency, but does not include the Congress, the courts, governments of territories, District of Columbia, courts martial, military authority in the field in time of war, and other exclusions (§551 of title 5 [United States Code]. **2** any State or county governmental entity (HAR).
- ahupua'a - a traditional Hawaiian land division usually extending from the mountain to the sea (HAR)
- archaeological data recovery - the form of mitigation that archaeologically records or recovers a reasonable and adequate amount of information as determined by the department, from a significant historic property (HAR).
- archaeological inventory survey - the identification and documentation of archaeological historic properties and burial sites in a delineated area, gathering sufficient information to evaluate significance of the historic properties, and compiling the information into a written report for review and acceptance by SHPD (HAR).
- architectural inventory survey - the process of identifying and documenting the architectural historic properties in a delineated area, and providing the information to the DLNR.
- architectural recordation - the form of mitigation that records and analyzes through architectural study a reasonable and adequate amount of the information about a significant historic property.
- burial site - any specific unmarked location where prehistoric or historic human skeletal remains and their associated burial goods if any, are interred, and its immediate surrounding archaeological context, including any associated surface or subsurface features, deemed a unique class of historic property, and not otherwise included in section 6E-41, HRS.
- consultation – **1** the process of seeking, discussing, and considering the views of other participants, and, where feasible, seeking agreement with them regarding matters arising in the section 106 process (36CFR§800.16). **2** the process of notifying interested organizations and individuals that a project could affect historic properties of interest to them; seeking their views on the identification, significance evaluations, and mitigation treatment of these properties; and considering their views in a good faith and appropriate manner during the review process (HAR).
- detailed mitigation plan - the specific plan for mitigation, including, but not limited to, a preservation plan, an archaeological data recovery plan, an ethnographic documentation plan, a historic data recovery plan, a burial treatment plan, and an architectural recordation plan. The detailed mitigation plan serves as a scope of work for mitigation (HAR).
- determination letter - the SHPD's written response which either concurs or does not concur with an agency's proposed project (HAR).



HAWAII' I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

- ethnographic documentation - the form of mitigation that records and analyzes a reasonable and adequate amount of information about a significant historic property through interviews with knowledgeable individuals and the study of historical source materials (HAR).
- ethnographic inventory survey - the process of identifying and documenting historic properties in a delineated area, gathering information through interviews with individuals knowledgeable about the area and a study of historical source materials (HAR).
- Hawaii historic places review board - the board required by §101(c)(1)(B) of the National Historic Preservation Act, and appointed by the governor as established by Chapter 6E-5.5, HRS.
- historic context - a unit created for planning purposes that groups information about historic properties based on a shared theme, specific time period and geographical area (SOI).
- historic data recovery - the form of mitigation that records, compiles, and analyzes a reasonable and adequate amount of information about a significant historic property prior to its destruction, through the study of historical source materials (HAR).
- historic preservation review process - the process specified in HAR §13-275 and HAR §13-284, used to comply with sections 6E-7, 6E-8 and 6E-42, HRS.
- historic property – **1** any prehistoric or historic district, site, building, structure, or object included in, or eligible for inclusion in the National Register, including artifacts, records, and material remains related to such a property or resource (36 CFR §800.16). **2** a district, site, building, structure or object significant in American history, architecture, engineering, archaeology, or culture at the national, State or local level (SOI). **3** any building, structure, object, district, area, or site, including heiau and underwater site, which is over fifty years old (HAR).
- integrity - the authenticity of a property's historic identity, evidenced by the survival of physical characteristics that existed during the property's historic or prehistoric period (CFR)
- intensive survey - a systematic, detailed examination of an area designed to gather information about historic properties sufficient to evaluate them against predetermined criteria of significance within specific historic contexts (SOI).
- interested persons – those organizations and individuals that are concerned with the effect of a project on historic properties (HAR).
- interpretation - the presentation of information about an historic property to the public (HAR).
- inventory - a list of historic properties determined to meet specified criteria of significance (SOI).
- mitigation - the measures taken to minimize impacts to significant historic properties. Mitigation may take different forms, including, but not limited to, preservation, archaeological data recovery, reburial, ethnographic documentation, historic data recovery, and architectural recordation (HAR).
- mitigation commitment - the commitment to the form or forms of mitigation to be undertaken for each significant historic property (HAR)
- memorandum of agreement – **1** the document that records the terms and conditions agreed upon to resolve the adverse effects of an undertaking upon historic properties (CFR). **2** a document written between parties to cooperatively work together toward mutually agreed upon ends (HAR).
- Native Hawaiian – any individual who is a descendant of the aboriginal people who, prior to 1778, occupied and exercise sovereignty in the area that now constitutes the State of Hawai'i (CFR).



HAWAII' I DEPARTMENT OF LAND AND NATURAL RESOURCES - HISTORIC PRESERVATION DIVISION

- Native Hawaiian organization - any organization which: serves and represents the interests of Native Hawaiians; has as a primary and stated purpose the provision of services to Native Hawaiians; and has demonstrated expertise in aspects of historic preservation that are culturally significant to Native Hawaiians (CFR).
- preservation - **1** the act or process of applying measures necessary to sustain the existing form, integrity, and materials of an historic property (SOI). **2** the mitigation form which a historic property is preserved (HAR).
- programmatic agreement – **1** a document that records the terms and conditions agreed upon to resolve the potential adverse effects of a federal agency program, complex undertaking or other situations in accordance with §800.14 (b) (CFR). **2** a document to govern the implementation of a particular program or the resolution of adverse effects from certain complex project situations or multiple undertakings (HAR).
- project - any activity directly undertaken by the State or its political subdivisions or supported in whole or in part through appropriations, contracts, grants, subsidies, loans, or other forms of funding assistance from the State or its political subdivisions or involving any lease, permit, license, certificate, land use change, or other entitlement for use issued by the State or its political subdivisions (HRS).
- project area - the area the proposed project may potentially affect, either directly or indirectly. It includes not only the area where the project will take place, but also the proposed project's area of potential effect (HAR).
- reconnaissance survey - an examination of all or part of an area accomplished in sufficient detail to make generalizations about the types and distribution of historic properties that may be present (SOI).
- reconstruction – the act or process of depicting, by means of new construction, to form, features, and detailing of a non-surviving site, landscape, building, structure, or object for the purpose of replicating its appearance at a specific period of time and in its historic location (SOI).
- Rehabilitation – the act of process of making possible a compatible use for a property through repair, alterations, and additions while preserving those portions or features which convey its historical, cultural , or architectural values (SOI).
- significant historic property - Any historic property that meets the criteria of the Hawaii register of historic places (HAR §13-198) or the criteria enumerated in HAR §13-275-6(b) or §13-284-6(b) (HAR).
- undertaking - a project, activity, or program funded in whole or in part under the direct or indirect jurisdiction of a Federal agency, including those carried out by or on behalf of a federal agency; those carried out with federal financial assistance; and those requiring a Federal permit, license, or approval (CFR).

SECTION 6

REVIEW AND COMPLIANCE

Architecture Branch Review and Compliance Procedures

SECTION 7

CETRIFIED LOCAL GOVERNMENT

How to Apply for and Maintain CLG Status

CLG Grants and Contracts Guidance

SECTION 7

CETRIFIED LOCAL GOVERNMENT

How to Apply for and Maintain CLG Status

**STATE OF HAWAI'I
CERTIFIED LOCAL GOVERNMENT:
PART 1
HOW TO APPLY FOR AND MAINTAIN CLG STATUS**

A Program of the
State Historic Preservation Division

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Introduction: Local Preservation Certified Local Government Program

The Certified Local Government program is a partnership between local, state and federal entities designed to promote preservation at the local level. Funded by the National Park Service and administered by the Hawaii State Historic Preservation Division, the program allows communities to partner with the state and federal governments to identify and manage their historic resources. In Hawaii, the State Historic Preservation Division's Certified Local Government coordinator will assist local governments in setting up local historic preservation programs that meet CLG requirements and will process the local government's application for CLG status. The National Park Service reviews and gives final approval on the application.

Benefits of the Certified Local Government program include:

- The expert advice and resources of the state and federal preservation agencies, and the chance to network with other CLG programs throughout the state and country.
- Annual grants through the State Historic Preservation Division. The state is required to give 10% of its annual historic preservation fund or approximately \$50,000 to its CLG programs in the form of 50/50 match grants.
- Trainings for staff and commission members
- A public platform for the promotion and discussion of your area's preservation and history.

Requirements for the certified local government are:

- The establishment of a local preservation ordinance that will define how the local government will address historic preservation issues
- The creation of a historic preservation commission with qualified and interested members
- The creation and maintenance of a survey and inventory system in collaboration with the Hawaii State Historic Preservation Division
- To facilitate public participation in preservation matters, such as the National Register process.
- To agree to enforce and follow the state of Hawaii's existing preservation laws.

Applying for Certified Local Government Status

Before a county can participate in the Certified Local Government Program, it must have a county historic preservation program that meets the CLG program standards for certification. To establish such a program, a county must have a:

- Preservation Ordinance
- Historic Preservation Review Commission
- Inventory of Historic Properties
- Historic Preservation Plan
- Complete Final Submittal Package

1. Preservation ordinance

In order to become a CLG, the local government must have and enforce local legislation for the designation and protection of historic properties under the provisions of *HRS Hawaii Section 6E-13*. For counties in Hawaii, the Mayor and Council must pass the ordinance and the following provisions must be included:

- A statement of purpose
 - The purpose should spell out the function of the program and be written broadly in order to allow the historic preservation commission to operate in a variety of activities
- Definitions
 - Definitions should provide linkage to both the state and federal preservation programs
- The establishment of a historic preservation commission
- The powers assigned to the commission, which include:
 - The recommendation and designation of historic properties
 - Provide advice and guidance to property owners, government agencies and the local community concerning historic preservation issues
 - Adopt rules for conduct
 - Design review or the power to approve or disapprove any demolition, relocation, new construction or exterior alteration affecting designated properties under its jurisdiction.
- Local Designation and Review, meaning the commission can:
 - Designate or place a landmark on the county's inventory of historic places
 - Review and certify the appropriateness of proposed alterations to the exteriors, visible from public right of ways, of designated historic properties.
- Provision for revision of the law

2. Creating a commission

The CLG must seek the expertise necessary to make informed decisions about historic and prehistoric cultural resources. Ideally, historic preservation commissions should have a mix of laypersons and preservation professionals with a demonstrated positive interest in historic preservation. Hawaii State Regulations require the commission to have at least seven members, and Federal CLG requirements call for a minimum of two preservation professionals, or persons who meet the Secretary of the Interior's Professional Qualification Standards. However, because

many of these professionals are difficult to find outside of urban and metropolitan areas in Hawaii, the commission may contain individuals from diverse backgrounds with an interest in historic preservation.

In Hawaii, the creation of a historic preservation commission is a public process. Notices and meeting announcements should be circulated throughout the community so interested citizens have an opportunity to apply.

Each applicant for a commission position must provide the local government with a biographical sketch or resume that includes information about education, training employment, particularly if the applicant worked in historic preservation, and a summary of the applicant's involvement in historic preservation. If the commission applicant has no prior experience in historic preservation, he or she must attach a statement certifying that they will adhere to the provisions of the local ordinance as well as state and federal standards for commission members. Commission members should be present in the community for most of the year and able to attend evening events and/or out-of-town training sessions. An active commission member of a preservation commission probably spends an average of eight hours a month on historic preservation work (meetings, work on projects, etc....)

Once received, applications are sent to the county government for review and selection. The CLG must provide the SHPD with the opportunity to comment on qualifications of candidates prior to their appointment.

Once the county government has appointed commission members, the members are an official historic preservation commission and should elect officers. In addition, it is recommended that one member or a county planning staff official be appointed to serve as liaison with the State CLG coordinator. SHPD will then provide historic preservation orientation materials and training to all county commissions. The orientation and training will be designed to provide a working knowledge of the roles and operations of federal, state and local preservation programs.

In some cases, CLGs cannot obtain professionals with the various expertise required by CLG regulations. In Hawaii, as long as the commission can demonstrate that it made a reasonable effort to fill those positions, this is ok. However, the CLG must seek expertise in this area when considering National Register nominations and other actions that will affect properties that are normally evaluated by a professional in the discipline. This expertise may be gained through hiring a consultant or by other means that SHPD determines appropriate. Additional expertise may be obtained by consulting SHPD, a professional affiliated with another CLG commission, or a historic preservation consultant on an as-needed basis. This is a CLG Grant eligible activity.

3. Inventory of Historic Properties

An early goal of the CLG should be the creation of a functional county historic sites inventory system. County CLGs are required to maintain a system for the survey and inventory of historic properties coordinated with and complementary to the survey activities of the SHPD. The SHPD should be consulted for information on building an inventory and preexisting listed properties.

Note that this is a preliminary inventory and not a definitive or exhaustive one. Preparing the list allows the commission to plumb its knowledge of local prehistory and historic properties that reflect it. The SHPD can provide examples of historic property inventories.

In addition to keeping an inventory, CLGs are encouraged to nominate properties to the Hawaii State and National Registers of Historic Places. Listing on registers qualifies properties for state and federal incentives and encourages owners to take care of their properties. Additionally, listing can provide properties with protection from federal and state assisted undertakings.

4. Historic Preservation Plan

Counties must have at minimum a one year preservation plan to guide its commission. This may be done by adding a preservation component in the county comprehensive land use plan, or the historic preservation commission can prepare and submit an action plan. The preservation plan can be long or short term and can be modified once the commission has operated and become more familiar with their mission and responsibilities.

The action plan must include the following:

- A proposed schedule for the survey of historic properties
- A proposed schedule for developing management and protective measures to insure that historic properties are maintained and used properly.
- A proposed schedule for training the historic preservation commission
- A proposed schedule for developing and educational program for the county to inform officials and residents about the local historic preservation program, historic properties, and appropriate historic preservation practices.
- A commission meeting place, time and schedule for the next 12 months
- The name and address of the repository where commission records will be kept

5. The Final Submittal Packet

The local government shall make a formal request to the SHPD for certification. The request must include the following:

- A letter from the chief elected official requesting Certified Local Government Status. The letter must be on official stationery and direct to the SHPD CLG Coordinator, Department of Land and Natural Resources.
- A copy of the historic preservation legislation and any policies, procedures, or regulations that have been adopted for administering and enforcing the legislation
- Information on the membership of the commission, documenting each member's interest or expertise in fields related to historic preservation and a description of the appointment process. If there are no preservation professionals on the commission, the chief elected official should send a disclaimer letter to the SHPD CLG coordinator.
- A copy of the historic property inventory
- A copy of the commission's historic preservation action plan.

Once the information is received, the SHPD will review the local government's submission to determine if it fulfills the requirements outlined above. During the review process, the SHPD may request additional documentation necessary to evaluate the county's eligibility for certification. The SHPD shall respond to the chief elected official within 60 days of receipt of an adequately document application for certification.

- If the SHPD determines that the county's historic preservation program fails to qualify, the SHPD will identify the deficiencies and suggest remedies.

- If the CLG coordinator determines the local government meets the requirements for certification, SHPD will send the commission three copies of a Certification Agreement, which is an agreement between the local government and the state that outlines the local government/commission responsibilities as a participant in the CLG program. The chief elected official of the county must sign all three copies of the agreement.

The SHPD will then forward documentation of the local government's eligibility for certification to the National Park Service along with the signed certification agreement and a request for NPS concurrence. If the request for concurrence cannot be affirmed as submitted, the NPS will notify the SHPD of deficiencies within 15 working days. If the NPS concurs with the SHPO recommendation, the date of the NPS concurrence shall be the effective date of certification. The NPS will notify the CLG of the concurrence, along with a copy to the SHPD.

Responsibilities of Certified Local Governments

1. All the responsibilities delegated to the certified local government shall be listed in the written certification agreement, which may be amended upon mutual agreement of both parties and concurrence of the National Park Service.
2. In order to maintain CLG status, the local government must perform certain responsibilities according to the performance standards specified below. In cases where the performance standard is not being met at the time of certification, the certification agreement shall specify a time period for meeting that standard.

Requirements of Participating County Governments and Historic Preservation Commissions

CLG Standard 1: Enforce the local historic preservation legislation

- The local legislation shall be enforced continuously and consistently
- Before amending legislation or implementing regulations, the local government shall consult with the SHPD
- Any amendments to the legislation enacted by the local government and any rules or related administration procedures shall be consistent with the requirements and intent of the CLG program.
- The local government shall provide the SHPD with copies of any amendments or rules within 90 days of enactment.

CLG Standard 2: Maintain a qualified historic preservation review commission

- An adequate commission shall be maintained at all times. Vacancies shall not be allowed to impair the commission's ability to take action for more than thirty days.
- The local government shall make maximum effort to obtain professionals who meet the qualification standards set forth in 36 CFR 61.6 and the Secretary's Professional Qualifications Standards to fill any vacancies on the commission. At a minimum, commission members must demonstrate interest, competence or knowledge of historic preservation. The local government shall maintain records of the appointment process and shall submit a description of the recruitment process and qualifications of any newly appointed members to the SHPD.
- When a commission reviews and comments on National Register nominations or other actions requiring evaluation by a professional in a discipline that is not represented on the commission, the commission shall obtain expertise in that area before rendering its decision. The commission may seek assistance from universities, private preservation organizations, the SHPD, other review commissions or private consultants. The local government shall maintain records documenting that such professional advisors to the commission comply with the 36 CFR 61.6 and the Secretary's Professional qualification Standards.
- Commission members shall maintain or augment their knowledge through participation in historic preservation training at least annually or as provided by the SHPD. The SHPD will provide all local commissions with orientation materials and training pertaining to the roles and operations of federal, state and local historic preservation programs. Commission members may satisfy the training requirement through attendance at training provided by the SHPD or at other training approved by the SHPD.
- The commission shall meet at least four times during each year. In order to ensure public participation, the commission shall conduct all business in a public manner, consistent with Hawaii Regulation Statute.

CLG Standard 3: Maintain a system for the survey and inventory of historic properties coordinated with and complementary to the survey activities of the SHPD.

- Local inventories should include at minimum all properties in the county that have been listed on the State and National Registers of Historic Places.

- Inventories must be updated to reflect new information or changes to historic properties as such material becomes available, but at least every five years.
- Local inventories must be accessible to the public

CLG Standard 4: Provide for adequate public participation in the historic preservation program

- All commission meetings will be open to the public, announced by public notice, and documented through the taking of minutes.
- All records, policies, procedures and standards for the historic preservation program shall be accessible to the public.

CLG Standard 5: Actively participate and nominate properties to the State and National Registers of Historic Places

- CLGs can propose and sponsor nominations to the State and National Registers
- If a State or National Register Nomination within a CLG county is received by SHPD, they will forward a copy of the proposal to the historic preservation review commission.
- If a historic district is proposed, the CLG will assist SHPD in notifying property owners and/or conducting public information meetings.
- After public comment, the commission will prepare reports stating its opinion as to whether or not such property merits the criteria for listing on the State and National Registers.

CLG Standard 6: Demonstrate Compliance with Standards 1 through 5

The CLG Agreement requires that counties annually prepare and submit two copies of the completed Certified Local Government Annual Report from to the SHPD. This form allows the commission to report on the historic preservation activities that occurred in the county during the year. Every county in the CLG program is subject to a performance review. The reviews start three years after certification and continue on a three year predetermined cycle thereafter. The annual report form figures heavily in the performance review since it queries participating counties about their respective historic preservation programs. The annual report form serves as a guide to the activities and programs that CLG participants are expected to have in their local historic preservation programs.

Responsibilities of the CLG

An effective historic preservation commission has a regular meeting time, place and location and minimally meets quarterly. The historic preservation commission must comply with Hawaii Code by publicizing the meeting time, place and agenda; by taking and filing minutes; by welcoming the public to all commission meetings where a quorum is in attendance; and by conducting official business only when there is a quorum of the Historic Preservation Commission present.

The historic preservation commission develops and initiates county policy and programming for: survey-evaluation-registration, inventory development, planning, protection of historic properties and public education. The commission works with county staff and other commissions to integrate historic preservation into comprehensive land use planning, development, capital improvements, and other local interests and initiatives.

A well-trained and educated historic preservation commission can play a useful role in assisting the county, agencies, public and private organizations comply with the Section 106 process. The commission will use the Secretary of the Interior's Standards and Guidelines as well as procedures issued by the Hawaii SHPD in the review process. If the county has established a property inventory and/or consults with the State Historic Preservation Office, the historic preservation commission may be able to determine if a survey is needed, if there are National Register eligible or listed properties in a project area, assist in designing a project so that it does not have an adverse impact, or recommend appropriate mitigation measures to avoid or lessen negative project impacts.

SHPD discourages historic preservation commissions from establishing a museum, engaging in long-term involvement with a single property, and stewarding a property. The noted activities are time consuming and require large amounts of capital. Roles such as these could be better managed by local historical societies.

**STATE OF HAWAI'I
CERTIFIED LOCAL GOVERNMENT:
PART 2
GRANT APPLICATION
PROCESS**

DRAFT



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PART I **INTRODUCTION**

Jointly administered by National Park Service (NPS) and the State Historic Preservation Offices (SHPO), the Certified Local Government (CLG) Program is a model and cost-effective local, state, and federal partnership that promotes historic preservation at the grassroots level. Working closely with national organizations such as the National Alliance of Preservation Commissions the CLG program seeks:

- 1) To develop and maintain local historic preservation programs that will influence local decisions critical to the preservation of historic properties, and
- 2) To ensure the broadest possible participation of local governments in the national historic preservation program while maintaining preservation standards established by the Secretary of the Interior.

An incentive for participating in the CLG program is the pool of matching grant funds made available annually to participating counties. In Hawaii, the CLG grant fund amounts to over 10% of the state's annual Historic Preservation Fund (HPF) grant allocation from the National Park Service. For the past several years the CLG grant round has set aside approximately \$55,000.

To qualify for a CLG grant a county must meet two criteria:

- 1) Have a certified local historic preservation program:
The county must have an established local historic preservation program created by ordinance and must have applied for and received Certified Local Government status from the National Park Service, Department of the Interior.
- 2) Be current in CLG Annual Report submittals:
The county must be current in their submission of the Hawai'i CLG reports. This means that the county CLG has submitted its annual report.

If you have questions, contact the CLG coordinator for the SHPD.

IMPORTANT GRANT DATES AND DEADLINES

- | | |
|----------|--|
| April 1, | Submit a draft CLG grant application for review and comment by State Historic Preservation Division staff. It is <u>highly</u> recommended that you submit a draft application for review and to insure that your budget is ample to successfully complete the project. – BE SURE TO INCLUDE AN APROPRIATION REQUEST TO THE COUNTY GOVERNMENT. |
| May 1, | The State will return comments on draft applications to the applicants. |
| July 1, | Final grant applications must be post marked by this date. Hand-delivered applications must be delivered by this date. |

August 1,	State Historic Preservation division will make final recommendations for CLG grant awards.
August to Sept.	Develop Contracts so work can begin soon after October 1, assuming the Federal budget is passed
October 1,	Earliest possible start date for CLG Grant projects
September 1-	CLG Grant projects must be completed (NEXT FEDERAL FISCAL YEAR_)

KEY PLAYERS IN THE CLG GRANT PROCESS

County Financial Officer: Typically, this is the City Clerk or the County Auditor. The Clerk or Auditor manages the CLG grant budget, oversees expenditures, insures that accounting meets Federal and State standards, and coordinates with the Project Director in preparation and submission of requests for reimbursement for CLG grant expenditures.

Consultant: Typically, this is a professionally-trained archaeologist, historian, architectural historian, or historical architect who meets the Secretary of the Interior’s Professional Qualification Standards and is hired by a CLG to work on a CLG grant project. The consultant serves as the principal investigator for the project, works directly with the CLG, and channels all communication to the State through the CLG project director. Lists of archaeological, historical, and architectural historian consultants can be obtained from the State Historic Preservation Division.

Local Project Director: A historic preservation commissioner, paid County staff member, or volunteer who works with the consultant in administering and directing the project. The project director reports bi-monthly to the state CLG coordinator and to the County Historic Preservation Commission on the status of the project.

State CLG Coordinator: the professional staff of the Hawai’i Historic Preservation Division serves as the project manager or advisor for each of the funded grant projects. The staff coordinator represents the State in the administration of the awarded grant projects; serves as the primary point of contact with the Local Project Director and consultants; answers questions, provides technical information on the project and reviews and comments on grant products.

FREQUENTLY ASKED QUESTIONS

WHAT TYPES OF PROJECTS ARE ELIGIBLE FOR CLG FUNDING?

- Surveys of historic properties and accompanying context studies
- National Register nominations of either individual buildings or historic districts
- Public education activities: school curriculum, walking tour booklets, websites, etc...
- Preservation planning: updating ordinances, preparing design guidelines, administering local preservation programs, etc.

- Architectural and engineering studies and plans for rehabilitating historic properties, studying adaptive reuse strategies, and developing maintenance plans
- Physical rehabilitation work on National Register Buildings

WHAT TYPES OF PROJECTS ARE NOT ELIGIBLE FOR CLG FUNDING?

- Archival research and public education unrelated to historic preservation or nominated properties
- Building maintenance fees, property acquisition or the cost of moving properties
- Fees related to preparing grant applications

CAN A CLG WORK WITH ANOTHER AGENCY OR ORGANIZATION ON A CLG GRANT PROJECT?

Yes. Check with SHPD, CLG Coordinator for more information about on "Pooling CLG Grants" and "Delegating Third-Party Administration."

CAN A CLG WORK ON A GRANT PROJECT THAT INVOLVES HISTORIC PROPERTIES LOCATED OUTSIDE THE CLG LIMITS?

Yes, if all local governments involved approve and if the project meets the CLG Grant program requirements.

HOW MUCH MONEY IS AVAILABLE? HOW MUCH CAN BE REQUESTED?

Approximately \$57,000.00 has been allocated in recent years for use as CLG Grant funds.

There is no cap for grant projects. However, please use common sense in making your requests.

It is very important that you ask for enough funding to cover project costs. It is better to ask for a slightly larger grant than a reduced one. Please contact SHPD for examples of past grant applications and budgets. It is also strongly recommended that you contact several consultants about your project to help you determine costs

WHAT ARE COST REIMBURSABLE AND MATCHING GRANTS?

Cost-reimbursable: grant funds can only be used to reimburse the CLG for actual expenditures after the CLG has paid for that expense. This means that the local government may have to carry the cost of the grant for a brief period between the time it pays the grant project bills and the time it is reimbursed by the State. After a CLG has been awarded a grant, the CLG completes the grant project, submits documentation to the State on the paid project expenses, and the State reimburses the CLG for the grant portion of the paid expenses. The State will reimburse the CLG for grant project costs when it has reviewed and approved the documentation that supports the expenditures.

Matching: The CLG shares in the cost of the project by matching project costs. The CLG costs can consist of cash and/or it can be in-kind contributions such as labor, materials, facilities or services. In-kind labor, service and supply costs must be documented, and labor costs must be given a value per hour. For example, volunteers performing services within his or her profession may evaluate their donated time at the maximum rate allowed for professionals. The work of volunteers, performing services outside his or her profession, will be evaluated at the Federal minimum wage rate per hour.

CLG grants have a 60:40 match ratio. This means that the CLG grant will cover 60% of the total project costs, and the CLG will provide 40% of the total project cost as match. **Please be sure that your match equals 40% or more of the total cost of the project, when filling out the budget page.**

CAN THESE GRANTS BE USED ON PROJECTS WHERE THERE IS OTHER FEDERAL INVOLVEMENT?

These grants can be matched with federal Community Development Block Grants (CDBG), and under certain circumstances Transportation Equity Act-21 (TEA-21) Enhancement funds.

Certified Local Government grants cannot be used for Section 106 (federally assisted, licensed, or permitted) compliance. CLG grants cannot be matched with grants from the National Endowment for the Humanities, National Science Foundation, and National Endowment for the Arts.

ARE THERE ANY PARTS OF THE APPLICATION PROCESS THAT MIGHT TAKE MORE TIME THAN EXPECTED?

Yes. You might need between two weeks and a month to get the approval of your local government and the signature of the Chief Elected Official on the final grant application.

CAN THE CLG GET HELP IN PREPARING THE GRANT APPLICATION?

Yes! Here are your options:

- You are **strongly** encouraged to contact the Historic Preservation Division Staff members with questions and requests for help.
- Submit a draft application for staff review and comment.
- Contact staff to find out which CLGs have done similar projects, so you may contact them and ask for their advice. Also you may request a copy of a funded grant application for a similar project.
- Contact preservation professionals who work as consultants on grant projects. You may hire a consultant to prepare the application. However, be advised that grant money cannot be used to reimburse the consultant for preparation of the application, nor can the CLG promise to hire the consultant to work on the project if the grant is awarded.

WHEN WILL WE KNOW IF WE ARE AWARDED A GRANT?

Applicants will be notified in August.

WHEN CAN WORK ON THE PROJECT BEGIN?

Work can begin when the CLG receives the Notice to Proceed and a Grant in Aid Agreement that has been signed by the State and the Chief Elected Official of the CLG. Costs incurred prior to this do not qualify as grant related expenses and will not be reimbursed or regarded as match.

Generally, preliminary work, such as sending Requests for Proposals and signing on consultants, will begin in October or November if possible. Grant projects that are not underway by June are subject to cancellation. Projects must be completed by September of the following federal fiscal year.

WHO CAN SERVE AS A CONSULTANT FOR A PROJECT FUNDED WITH A CLG GRANT?

All consultants (architects, historians, or other professionals) must meet the Secretary of the Interior's Professional qualifications and be approved by the Hawai'i State Historic Preservation Division. CLG grant awardees are required to send Requests for Proposals (RFP) to a minimum of three consultants.

Selection can be based on locally determined criteria, e.g., a mixture of experience, qualifications, and cost, rather than cost alone.

REQUIRED REPORTS

CLG grant awardees are required to submit bi-monthly progress reports on their grant projects. The report form is available from SHPD. It asks for a summary of grant project activities that were completed during the two month period, a summary of grant monies expended, and the match that was generated. The report helps the CLG and the State track the progress of the project and provides an early alert system if problems develop.

WHEN ARE GRANT FUNDS ACTUALLY TRANSFERRED TO THE CLG?

The county must have enough money "up-front" to be able to carry the project (including paying for consultants and other project costs) until it gets reimbursed by the State. After the draft grant products have been reviewed and approved by the State, the city or county may request reimbursement of 80% of the grant award. The CLG must first pay the project costs, then submit a request for reimbursement documenting their payment and sufficient cash and/or in-kind match to support payment.

At the end and close of the project, the CLG can request reimbursement on the remaining balance, 20% of the grant award.

WHAT HAPPENS IF WE CANNOT FINISH OUR PROJECT?

Your State Project Manager will work closely with you to try to avoid this happening. Grant projects can be amended after the award is made as long as the amendment(s) do not substantially change the original type of project. In other words, a survey and evaluation project could not be changed to a public education or planning project. However, the project's size, schedule (within 24 months) and products may be revised under extraordinary conditions.

WHAT HAPPENS IF WE DO NOT SPEND ALL OF THE GRANT AWARD OR IF WE DO NOT HAVE ENOUGH MATCH?

You will only be reimbursed for the amount of the grant award that you can prove that you spent. If you have not produced enough match, your CLG grant award will be reduced since its size is contingent on the amount of local cash and in kind match that you are able to provide.

WHAT HAPPENS IF ALL OF THE STATE'S CLG GRANT MONEY IS NOT SPENT?

The National Historic Preservation Act requires that each State Historic Preservation Office disburse all of the CLG grant money. If at the end of the grant period, a CLG has not expended all of their grant money and/or has not generated enough match to meet the total award—everyone in the CLG and Historic Preservation Program is penalized. The Hawai'i Preservation Division has to return the unspent balance of the CLG grants to the National Park Service awarded, thus decreasing State Historic Preservation Office funds. In the next fiscal year, the Park Service will deduct the unspent amount from the Historic Preservation Grant award to Hawai'i. In effect, Hawai'i is penalized two-fold when CLG grant awardees do not fulfill their obligations. Please notify the SHPD CLG Coordinator **ASAP** if you believe you will not use the entire amount granted to you.

PART II

ELIGIBLE PROJECT CATEGORIES

CLG grants are intended to support local preservation efforts. They can be used to underwrite the following types of activities: Planning for Preservation, Planning, Survey/Evaluation, Registration, Pre-Development, Development and Public Education.

The grants cannot be used for maintenance on historic properties (buildings, structures, sites, objects, districts). Nor may CLG grant money be used to cover operating costs, care for museum collections, prepare exhibits, prepare publications or organize events that are not directly related to historic preservation topics or issues.

The following is an in-depth discussion of the different types of projects that are supported by CLG grants:

PLANNING FOR PRESERVATION

These are start-up grants geared to help newly certified or inactive commissions receive basic training in three areas:

- 1) Preservation activities—planning, survey, evaluation
- 2) Project development, management, and completion; and
- 3) Working with a historic preservation professional.

The goal of these projects is to help the Commission and Community understand the role and use of planning, survey and evaluation in a local historic preservation program, particularly in developing a historic property inventory that could be used for comprehensive planning.

A planning for preservation project is limited in scope. The project should focus on activities that provide historic preservation training to commission members and volunteers and provide an opportunity to apply that training. Training may include instruction on research, recording, and context development for survey and evaluation, and how to apply this knowledge. Training in historic preservation planning may include instruction from a consultant on comprehensive land use planning basics and the commission's role in the planning process. Training can involve meetings with local governmental officials, local organizations and individuals to identify ways to integrate historic preservation into future community projects.

The project should also involve preparation of a project report that includes a bibliographic listing of previous historic preservation work done in the community. The report will include a discussion of potential historic contexts and associated property types and properties; and the report will contain the consultant's recommendations for future survey, evaluation, and/or planning projects. The consultant will write the report. The commission members and volunteers will do the major portion of the research and assist the consultant in the mechanical aspects of report preparation, collation, and reproduction of the report. It is recommended that a commission focus on either archaeological or architectural/historical properties when doing a planning for preservation project.

The proposed project must comply with the Secretary of the Interior's Standards and Guidelines for planning, identification and evaluation, and any guidelines required by the State in the application.

Planning for Preservation grant projects cannot be combined with other types of projects. For example, the commission may be trained in survey procedures, do preliminary research and inventory work, but the commission cannot perform a survey as part of the project. If your commission wants to survey, then apply for a survey project.

SURVEY AND EVALUATION

CLG counties are responsible for locating historically significant buildings, structures, objects, sites (including archaeological sites) and districts within their jurisdiction. The process of locating is called "identification" and known informally as "survey." The process determining if a property is significant is called "evaluation." Evaluation involves taking the information gathered in identification and applying it to determine if a property meets the Significance and Integrity Criterion of the National Register or of a local register.

Critical and essential steps in developing a local historic preservation program are locating historic properties and building a file of information about them. "Identification" provides the foundation of a local historic preservation program because as a result of locating properties it also generates information about those properties. That information consists of completed Hawai'i Site Inventory forms, Survey Reports, Photographs, Maps, plans of properties. These documents make up the file of information that is called an "Inventory" and used for preservation planning, property management and protection.

Survey data should be readily integrated into the State's planning process and inventory, consequently reports must be in a particular format and information on individual properties. Always consult SHPD before proceeding with a survey project.

Identification projects must gather enough information to make decisions. Reconnaissance level surveys require enough information to decide which areas and individual properties merit intensive survey and evaluation. Intensive level surveys require sufficient information to develop historic contexts and make significance evaluations. Identification projects must be conducted according to a research design that specifies the objectives, methods and expected results of the survey. (Identification Standards I through III), and must be designed to lead to nominations of significant properties to the National Register (or to a determination of eligibility).

Identification projects can vary in focus, scope and intensity. Surveys can look at various types of resources including:

- How properties reflect different events or developments within a town or county
- Architecture, design & engineering
- Archaeological areas
- Property types
- Interdisciplinary projects that include historical, architectural and archaeological significance

There are two levels of intensity: "Reconnaissance," covering a large area but not in depth and "Intensive," covering a small area in depth.

RECONNAISSANCE SURVEY is designed as a “first glance” at a broad group of historic resources and records and is usually defined by a geographic boundary. Some surveys are also defined by a particular resource age or type - this is called a Selective Reconnaissance Survey. In both types of RLS, basic information is collected from the exterior of a building, object or site only, such as:

- Address,
- Number of stories,
- Siding and building materials
- Architectural style

Reconnaissance surveys are used to determine the nature of the next “level of documentation” and may indicate when it is advisable to do an intensive level survey of a historic district, an individual property or when additional survey is unnecessary because no historic properties are in the surveyed area.

The results of a reconnaissance survey may indicate that it would be productive to survey properties associated with a particular historic context. The research undertaken in a reconnaissance survey will produce information on historic contexts for the area covered during the survey. A comparison of these contexts can suggest which would be the most productive to pursue in a follow-up intensive survey.

If the survey is archaeological or interdisciplinary, there are some additional provisions. Archaeological site information is recorded on the State Archaeological Site Forms. See the SHPD staff for interdisciplinary surveys. Finally, provision must be made for permanent curation of artifacts and associated records at a repository that meets the Secretary of the Interior's Standards for Curation.

Information collected through a RLS should be assembled in a final paper report that should follow the Secretary of the Interior's Standards for Identification and Evaluation. It should be delivered to SHPD in digital form for inclusion in the State Inventory of Historic Properties.

INTENSIVE SURVEY AND EVALUATION is a detailed look at a single resource and records in-depth information collected from a physical examination of a building's exterior and interior. It should include the results of research about the building's property and ownership history, and identify the resource's potential eligibility for the National Register either individually or as a contributing resource to a historic district. In the case of archaeological sites, intensive survey and evaluation may involve various forms of subsurface testing sufficient to gather information about the horizontal and vertical extent of the associated remains, their structure and composition.

Information collected through an ILS should include all types of information collected for an RLS but should also provide a nearly complete basis for individual, historic district, and multiple property National Register nominations. ILS projects are generally informed by existing RLS work but in special circumstances can be undertaken without previous survey work.

ONLINE ASSISTANCE An explanation of survey and evaluation and an outline of requirements are found in the Secretary's Standards and Guidelines for Evaluation. Go to <http://www2.cr.nps.gov/freepubs.htm> to download *The Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation*.

You may view a comprehensive list of all multiple property documentation (context documents) by visiting the National Park Service web site at www.cr.nps.gov/nrcover.htm

The following National Park Service Publications provide more information and are available on-line at <http://www.cr.nps.gov/nr/publications/bulletins.html>

Guidelines for Local Surveys: A Basis for Preservation Planning. National Register of Historic Places -- Bulletin 24.

Researching a Historic Property. National Register of Historic Places -- Bulletin 39.

Guidelines for Counting Contributing and Noncontributing Resources for National Register Documentation. National Register of Historic Places -- Bulletin 14.

How to Apply National Register Criteria for Evaluation. National Register of Historic Places -- Bulletin 15.

How to Complete the National Register Registration Form. National Register of Historic Places -- Bulletin 16A.

How to Complete the National Register Multiple Property Documentation Form. National Register of Historic Places -- Bulletin 16B.

EVALUATION is determining whether a property or group of properties is eligible for listing on the National Register of Historic Places or local designation

REGISTRATION

is the official recognition of a significant property by nominating it to a register maintained by the federal or local government.

NATIONAL REGISTER NOMINATIONS

Counties that have surveyed and evaluated properties are encouraged to complete the process by nominating properties, determined significant and eligible for listing, to the National Register of Historic Places. This typically involves completing additional research and recordation, preparing and submitting the nomination for a series of reviews by State Staff and then for the final review to the State National Register Review Board. Guidance for preparing National Register nominations can be found in the National Register Bulletins listed above.

The following guides, available on the Web at www.cr.nps.gov/nr/publications, should be of help to you:

Guidelines for Counting Contributing and Noncontributing Resources for National Register Documentation. National Register of Historic Places -- Bulletin 14.

How to Apply National Register Criteria for Evaluation. National Register of Historic Places -- Bulletin 15.

How to Complete the National Register Registration Form. National Register of Historic Places -- Bulletin 16A.

How to Complete the National Register Multiple Property Documentation Form. National Register of Historic Places -- Bulletin 16B.

LOCAL REGISTRATION Because all CLG Counties have passed an ordinance that allows for the designation of local historic landmarks and districts, CLG grant money may be used to prepare nominations for local designation of individual landmarks or historic districts.

If a CLG commission does a local registration project, they should plan to involve interested or affected parties and the general public in all aspects of the project. Incorporate workshops, focus groups, or other public meetings at all phases of the project to allow for public participation.

Local registration projects funded with these grants must employ National Register of Historic Places criteria, standards, and guidelines for measuring significance and for documentation.

PLANNING

Planning within the Secretary of the Interior's Standards encompasses the development of a long-term program for identification, evaluation, and registration of historic properties and contexts within a city or county. The objective is to develop and maintain an inventory of local, state and federal historic properties which can be used to assist in their treatment, maintenance and long-term protection.

In addition, the National Park Service recognizes that planning also involves integrating county historic preservation into comprehensive planning processes. This type of planning can include development of any of the following:

- Local policies: governmental commitment to maintain publicly owned historic buildings or policy to seek historic properties when additional facilities are needed;
- Incentives: revolving funds, property tax abatement, freeze, or credit; no or low cost loans;
- Streets: promote appropriate parking, streetscape design and maintenance, signage, relate traffic patterns to use for historic properties;
- Maintenance programs for historic properties: free or low cost paint, tool bank/exchange; development of training programs in appropriate painting, pointing, repair procedures;
- Architectural salvage and recycling building materials;
- Regulatory: local designation, historic conservation zoning, historic preservation easements, historic building codes;
- Programs to ensure maintenance, protection and continued use of historic properties. This type of planning also involves establishing review and communication networks among local governmental staff and departments (planning, engineering, roads, parks, utilities, permits);
- Accessibility issues for historic buildings.

The planning projects can be done on a step-by-step basis, or a community/county might choose to develop a plan incorporating many of the activities described below:

- Develop historic contexts to guide future survey and evaluation projects in your city or county.
- Develop a plan for completing intensive level survey and evaluation projects of your city or county.
- Reviewing your local government's ordinances (e.g., zoning, subdivision, historic preservation) and regulations (e.g., building codes, health and fire codes) which affect historic properties. Prepare revisions that allow for recognition and protection of local historic properties.
- Developing design guidelines for proposed alterations of National Register listed and/or locally designated historic landmarks or properties in local historic districts;
- Developing local incentives to encourage appropriate rehabilitation, use, and preservation of historic properties;
- Developing a historic preservation component to incorporate into your local comprehensive plan.
- Developing a system for local designation of single properties and historic districts.
- Develop a financial incentive program for rehabilitating and maintaining historic properties.
- Develop a training program and literature to enhance and facilitate interdepartmental communication about historic preservation issues.

PUBLIC EDUCATION

These projects provide CLG historic preservation commissions with an opportunity to educate their communities about local historic properties and the local historic preservation program. Public education projects must relate to historic preservation activities. Ideally, the projects should also relate to historic properties within your city or county—you need to provide this linkage in your grant proposal.

Public education projects can include these activities: preparing a publication, audio or visual materials; presenting a workshop, conference, lecture, or class; developing curriculum for local schools; adult education programs; or training materials for realtors, contractors, or owners of historic properties. A commission can work with local partners (e.g., civic, historic, youth groups) on the project.

Grant money can be used for planning and organizing the project, promotion and publicity, preparation of materials (registration, schedules, and evaluation forms), obtaining speakers or renting special materials such as videotapes, and producing materials to hand out at the meeting. Grant money cannot be used for refreshments or meals served at the conference. Conference activities should be based on work that meets the Secretary of the Interior's Standards, where applicable.

PRE-DEVELOPMENT PROJECTS

Pre-development projects are used to plan for 1) applying the appropriate treatment, 2) long-term stabilization and maintenance, and 3) use or adaptive reuse of National Register listed properties. In effect, predevelopment projects provide plans for activities that protect and preserve significant, historic properties. Eligible activities include preparing architectural plans to implement the appropriate "Historic Property Treatment," conducting engineering studies, researching and writing historic structure reports, and preparing feasibility studies or master plans. The projects may focus on prehistoric or

historic archaeological sites as well as on buildings, structures, and objects. The Secretary of the Interior's Standards http://www.cr.nps.gov/local-law/arch_stnds_0.htm provide guidance for preparing the documentation required for pre-development projects.

If the project will involve a building, structure, or object, then all work must follow the Secretary of the Interior's Standards for the Treatment of Historic Properties, 1995.

<http://www2.cr.nps.gov/tps/standguide/index.htm>

You might want to look at the checklist for rehabilitating historic properties, <http://www2.cr.nps.gov/tps/cheklist.htm>. In addition, the final report may need to follow Historic Structure Report format. See Preservation Brief #43 Preparing a Historic Structure Report (<http://www.cr.nps.gov/hps/tps/briefs/brief43.htm>)

For archaeological sites, pre-development grants should be used only to develop plans to preserve and manage sites, e.g., stabilization, non-destructive uses, and erosion control. These grants are not to be used for additional study of the site's prehistoric and/or historic occupations.

The State requires the following of applications for pre-development projects:

1. Funds can be used only on properties that are listed on the National Register of Historic Places or determined eligible. Priority will be given to properties that are endangered.
2. Funds should be normally used on properties that are publicly owned or that are owned by a not for profit organization and open for public use. Others should be approved by SHPD.
3. CLGs requesting pre-development funds must have prepared a preservation plan that contains the following:
 - The historic contexts of the community's development are identified and ranked in terms of importance or priority.
 - Property types are identified and linked to historic contexts and to the local resources that represent them.
 - Statement of local preservation goals and objectives.
 - The plan should demonstrate that the property targeted for pre-development merits use of public funding in terms of the community's goals and priorities.
4. Applications for predevelopment projects must have photographs of each property to be assisted. For historic /architectural properties, one interior view and one exterior view are required of each property. For archaeological properties, one photograph is required.

PART III COMPLETING THE APPLICATION

WHAT IS INVOLVED IN DOING A GRANT PROJECT?

Key elements in a grant project:

- Work with the state CLG coordinator on all aspects of the project through phone, email consultation and submission of bi-monthly progress reports.
- Develop a satisfactory request for proposals (RFP) to send to consultants, establish criteria for selecting a consultant and to developing a subcontract for hiring the consultant.
- Hire a consultant.
- Meet with the consultant to go over project goals, set the project schedule, the research design if needed, allocation of project responsibilities, and get the consultant's input on best way to do the project.
- Recruiting, training and organizing volunteers to do project activities.
- Do the project activities (e.g., meetings, training, research and/or recordation, organize and present event, assist in report preparation) over a 6 to 8 month period.
- Prepare the draft grant products and submission to State for approval.
- Prepare the final grant products and submission to State for approval.
- Prepare and submit the Request for Reimbursement(s) with accompanying documentation of expenses and match.

Consultant, Professional—what does this mean?

CLG grant funded projects must be conducted or supervised or reviewed by a preservation professional who meets the Secretary's Professional Qualification Standards. When a project involves a workshop, presentation, publication, exhibit, or event, you may also need to seek other professional expertise. If more than one discipline is involved, then the consultant or consultants should have expertise in those disciplines.

Currently, Professional Qualification Standards have been promulgated for Architecture, Archaeology, Architectural History and History. Standards for Cultural Anthropology, Folklore, Curation, Conservation, Rural or Urban Planning, Cultural Geography are not available. In any event, the professional staff in the State Historic Preservation Division determines if an individual qualifies as a preservation professional or has professional expertise in non-preservation areas, e.g., exhibit design, graphic design, publishing, publicity, marketing, technology.

If there is a county employee or a historic preservation commissioner who meets the Professional Qualification Standards, that individual can serve as the consultant for the project. If it is a county employee, the project work should be considered part of the employee's normal work duties and would qualify as in-kind match, the value of which would be calculated at his or her hourly rate. If a Historic Preservation Commission member meets the professional qualifications and is willing to serve as the consultant, then the work is done on a volunteer/ *pro-bono* basis, using time spent on the project as in-kind match calculated at a professional rate. Federal and State definitions of "conflict of interest" prohibit a county or city from hiring a historic preservation commission member or employee to work on a historic preservation project.

In summary, on the application, specify the types of professional expertise needed for the grant project. For each professional, calculate the amount of time needed and the professional hourly rate, and, if out of town, include per diem and travel expense—as appropriate. If the consultant is to be paid from the CLG grant, then put the total salary, per diem, and mileage amounts in the column marked Federal/CLG Grant. If the consultant is a city or county employee or a historic preservation commissioner, then put the total salary expense in the "applicant match, in-kind" column.

Division of project responsibilities, who does what?

The Historic Preservation Commission needs to decide when they complete the grant application, how work on the project will be allocated. Some commissions have the consultant do most of the work. This means asking for a larger grant because of the salary and travel expense for the consultant. Other commissions choose to assist the consultant and do much of the work themselves. Often this will reduce the cost of the project. If a commission chooses to do project work, it is very important that the commission fulfills this commitment. Survey and evaluation projects will fail when commission members do not complete their assigned research and recordation tasks. Remember, if a CLG does not use all of their grant award or fails to provide sufficient match, then the unspent money must be returned to the National Park Service and next year that amount will be deducted from the Hawai'i Historic Preservation Grant. The next two sections describe the jobs that typically are assumed by the Historic Preservation Commission, volunteers and staff and those that are generally assigned to Consultant.

What are the responsibilities of the local project director and Historic Preservation Commission members in the grant project?

- The Commission prepares the Request For Proposals (RFP) and consultant subcontract; obtains State review and comment on the RFP and contract, sends the RFP to no less than 3 consultants, reviews the consultant proposals, selects the consultant, and hires the consultant.
- Organize any meetings, training sessions, tours or other events held as part of the project. This will include scheduling, finding locations, publicizing, actively recruiting participants or volunteers, setting up, hosting, and cleaning up.
- Assist consultant in gathering information, illustrations or photographs for the draft and final project reports.
- Prepare, print, and distribute to the State all grant products. Actually, this is negotiable. Some consultants can provide this service themselves but will need to be reimbursed for it.
- Prepare one-page report.
- Submit draft and final products to the State for review and comment.
- Submit completed bi-monthly progress reports to the State Project Manager during the course of the project.
- Submit requests for reimbursement along with documentation to the State CLG Coordinator.
- Submit requests to the County to pay the consultant.
- Maintain documentation of local match: hours volunteered, mileage expended, materials donated, donated facilities, donated professional services, etc.

Typically, what are the consultant's responsibilities?

- Provide professional expertise and guidance.
- Provide and lead training and project related work sessions.
- Provide guidance for conducting specific project activities such as research and recordation or inventory development and maintenance.
- Serve as a consultant and provide expertise in public meetings.
- Present and explain project results to the commission.
- Provide handouts and assistance for locating reference materials.

- Conduct some research, collate the results of volunteer recordation and research efforts.
- Guide volunteers in completion of forms and paperwork.
- Serve as primary speaker or trainer in educational session.
- Work with volunteers to develop educational materials, media presentation, or publication.
- Conduct pre-development studies and prepare specifications and plans.
- Guide volunteers who are assisting in production of draft and final reports
- Prepare the draft and final project reports

WHAT COSTS AND ACTIVITIES ARE ASSOCIATED WITH PROJECTS?

Translate these lists into the activities you will need to undertake to complete your project. Use the lists to give you a sense of time, materials, and costs involved in doing each activity.

Consultants will need to be paid for hours spent on:

1. Preparing for training sessions, meetings, and preparation of hand out materials, draft report, final report.
2. Necessary Research.
3. Travel to your community, touring your community, travel to research facilities.
4. Conducting training sessions or meetings.
5. Consulting with the local project director and SHPD project manager in person, on the phone, or by email.
6. Doing on site demonstrations of research or recordation of properties.

Consultants may receive:

1. Reimbursement for mileage accumulated during project related travel.
2. Reimbursement for meals and lodging while traveling.
3. Instead of reimbursement, some consultants are willing to receive in-kind lodging and meals, in effect be guests in the homes of Staff or Historic Preservation Commission members.

The following services and supplies may be needed to conduct the project:

- Correspondence between State, consultant, local project director.
- Publicity mailings, emails, phone calls for meetings, training sessions, and presentations.
- Print and produce the draft and final reports or other printed materials (handouts, brochures, exhibit labels, etc.).
- Various paper supplies: stationary, copy paper; envelopes, file folders, labels, etc;
- Photographic materials: Digital photographs will be accepted, see Appendix for details to assist you in determining associated photographic costs. Black and white film and Kodachrome 35 mm color film:, developing, printing, and duplicating services. Black and white and Kodachrome film must be used, no substitutions are allowed.
- Drafting services to make maps and plans.
- Clerical services.

The following communication costs are typically used on projects:

- Telephone

- Email
- Postage
- Fax
- Printing costs

Curation costs for Archaeological Survey and Evaluation Projects

Archaeological surveys will need to specify a curation facility, where archaeological materials, recovered during the survey, will be stored. The curation facility must meet the Secretary of the Interior's Standards for Curation. Generally, curation facilities have a per unit charge for curation, e.g., \$20.00 per box. There are other agencies that meet the Secretary of the Interior's Standards.

REQUIRED PRODUCTS FOR ALL PROJECTS

The following items must be produced. Be sure to include the list on the application. Estimate the cost of producing each and figure that into the project budget.

1. Two draft copies of the Request for Proposals and a list of consultants to whom it will be sent;
2. Copies of the final Request for Proposals for distribution to consultants;
3. Copies of the draft subcontract agreement with the consultant;
4. Copies of the fully executed subcontract agreement with the consultant;
5. Copies of a one-page report, summarizing the project results, required for all CLG grant-funded projects;
6. Bi-monthly reports

ADDITIONAL REQUIRED PRODUCTS FOR EACH CATEGORY OF PROJECT

The following are lists of items that must be produced for specific types of projects. Be sure to include the list for your type of project on the application. Estimate the cost of producing each and figure that into the project budget.

RECONNAISSANCE SURVEY PRODUCT LIST

- Two (2) draft copies of the project research design outline project activities and schedule
- All other requirements are detailed in *Guidelines: Architecture Historic Resource Surveys*. Ask your CLG Coordinator for a copy

INTENSIVE SURVEY AND EVALUATION PRODUCTS

For Architectural Survey and Evaluation Projects:

- Two (2) copies of a research design outlining the project activities and schedule;
- All other requirements are detailed in *Guidelines: Architecture Historic Resource Surveys*. Ask your CLG Coordinator for a copy.

For Archaeological Survey and Evaluation Projects:

- Two (2) copies of a research design outlining the project activities and schedule;
- Three (one original and two copies) finished sets of typed Archaeological site inventory forms for each new site located. For previously reported sites, prepare an updated site inventory form;
- Two sets of black and white photographs documenting sites, methodology, associations, features, profiles, associated topography, and disturbances;
- For each roll of black and white film used for the project, develop two (2) contact sheets and one set of negatives to be filed in Print file type plastic sleeves;
- A minimum of five (5) copies of the final project report, to include five bound copies and one unbound, print-ready master copy;
- Two (2) copies of a one-page report, summarizing the project results, as required for all grant-funded activities;

REGISTRATION PROJECTS PRODUCTS

For the National Register Nomination:

- Two (2) copies of the Request For Proposals (RFP) sent to consultants and the list of consultants to whom it will be sent;
- Two(2) copies of the fully executed subcontract agreement with the consultant;
- Two (2) copies of the research design outlining the project activities and schedule;
- Three (3) copies of final National Register nomination form on archival, 25% cotton acid-free paper, including appropriate maps on continuation sheets.
- An original and a copy of the completed Historic Places Review Board Form for the nomination, indicating that the Historic Preservation Commission and the Chief Elected Official have reviewed and commented on the nomination.

For Local Designation:

- Two (2) copies of the draft Request For Proposals (RFP) to send to consultants and the list of consultants to whom it will be sent;
- A minimum of five (5) final copies of the RFP;
- Two (2) copies of the draft subcontract agreement with the consultant;
- Three(3) copies of the fully executed subcontract agreement with the consultant;
- Two (2) copies of a research design outlining the project activities and schedule;
- A minimum of three (3) draft copies of the nomination form; use of National Register Nominations or National Register Nomination format is encouraged
- A minimum of five (5) final copies of the nomination form in National Register nomination format, with required text, maps, plans, photographs, and bibliography;
- If a historic district is being designated, three (3) copies of documentation of residents' consent or lack of objection to the designation. These can be letters, lists of attendees at public meetings, minutes of public meetings, petitions;
- Three (3) copies of the public notice, agenda, and minutes for the meeting at which the commission will consider the nomination;
- Three (3) draft copies of the ordinance, designating the property as a historic landmark or historic district;
- Two copies of the ordinance, designating the property;
- Two (2) copies of the public notice, agenda, and minutes from the Council meeting in which the nomination was considered.

PLANNING PROJECTS

- A minimum of three (3) copies of the RFP
- Two (2) copies of the draft subcontract agreement with the consultant
- Three(3) copies of the fully executed subcontract agreement with the consultant
- Two (2) copies of a research design outlining the project activities and schedule
- A minimum of three (3) draft copies of the plan, ordinance, guidelines or other document being prepared as part of this project
- A minimum of five (5) final copies of the plan, ordinance, guidelines, manual or other document, being prepared as a result of this project

PUBLIC EDUCATION PROJECTS

If a consultant is hired:

- Two (2) draft copies of the Request for Proposal and a list of consultants to whom it will be sent
- A minimum of three (3) copies of the final Project Request for a Proposal for distribution to consultants;
- Two (2) copies of the draft subcontract agreement with the consultant;
- Three (3) copies of the fully executed subcontract agreement with the consultant;
- Two (2) copies of a research design outlining the project activities and schedule;

If brochures, flyers or pamphlets are produced:

- Two (2) draft copies of any brochure, flyer, or pamphlet;
- A minimum of twenty-five (25) copies of each final version of any brochure, flyer, or pamphlet

If a conference, workshop, or lecture is presented:

- A minimum of two (2) copies of each of the following types of material: all promotional material, programs, conference notebooks or hand-outs created by the CLG as part of the project;
- Two (2) copies of a draft evaluation form to be distributed to participants
- Two (2) copies of each of the following:
 1. A list of participants with names, addresses and CLG Affiliation
 2. Completed Conference Evaluation Forms collected from each of the Participants
 3. Promotional Flyers, press releases, etc.
 4. Programs and hand-outs;

If an exhibit is presented:

- Two (2) copies of promotional material, program, captions or other text;
- Two (2) sets of labeled photographs or slides documenting any exhibit produced

If audio-visual materials or publications are developed:

- Two draft copies of scripts, publications, curriculum materials, or outline/conceptual plan for audio-visual materials;
- Five (5) final copies, including one unbound, print-ready master copy of script, publication, and curriculum materials;

- Four final copies of proposed slide show in slide tray with all slides numbered and labeled; labeled video tapes; labeled CD-Roms; and/or labeled DVDs.

PRE-DEVELOPMENT PROJECTS

- Two (2) copies of the final RFP;
- Three(3) copies of the fully executed subcontract agreement with the consultant;
- Two (2) copies of a research design outlining the project activities and schedule
- Three (3) copies of the draft project report (this will be the feasibility study, structural assessment, etc.);
- A minimum of five (5) copies of the final project report (this will be final version of the feasibility study, structural assessment etc), to include four bound copies and one unbound, print-ready master copy

PART IV **DEVELOPING YOUR BUDGET**

All costs for your project must conform to federal guidelines. Detailed information is provided in Office of Management and Budget Circulars A-87 and A-122 and in the National Park Service, Historic Preservation Fund Grants Manual, 1997. These are summarized in the following discussion.

There will be a period of time when the CLG will have to cover the cost of the grant. That time is the period between submission of final products and Request for Reimbursement and the CLG's receipt of a reimbursement check from the State. Be sure that your chief elected official and city/county fiscal officer understands this.

BUDGET EXPLANATION:

- The Grant Costs (budget) for the project is made up of two parts: the CLG Grant and the Applicant's Match. The CLG Grant consists of those costs or portions of costs that are to be reimbursed by the Historic Preservation Fund (HPF) grant (federal) dollars. The Applicant's Match consists of those costs or portions of costs that are provided by the CLG local government (applicant match). All costs, both the HPF federal portion and the Applicant match must be adequately documented on the budget page.
- The Applicant's match may consist of Cash Contributions, representing the Applicant/grantee's cash outlay, including the outlay of money contributed to the grantee by nonfederal third parties, and/or In-Kind Contributions, representing the value of non-cash contributions provided by the grantee or nonfederal third parties. In-kind contributions represent the value of non-cash contributions provided by the grantee or nonfederal third parties. These can consist of charges for real property, non-expendable personal property, and the value of goods and services directly benefiting and specifically identifiable to approved objectives of the grant-supported project.
THERE IS NOT A CASH MATCH REQUIREMENT FOR CLG GRANTS. AN APPLICANT'S MATCH MAY CONSIST ENTIRELY OF IN-KIND MATCH
- The match ratio for all projects is 60/40. The federal grant should be sixty percent (60%) of the total cost for the project. The local government provides forty percent (40%) of the total cost for the project. If the total cost of a project is \$10,000, then the requested grant should be for \$6,000.00 and the applicant match provided by the local government should be \$4,000.00.
- All of the costs must be in payment of an obligation incurred during the grant period. You cannot charge for costs incurred prior to the award of the grant, nor can you charge for costs that will be incurred after the grant project is completed.
- All costs must represent expenditures that are necessary to the accomplishment of the grant objectives and are outlined in the budget. Make sure that each cost in your budget represents an expense that is needed to support the proposed grant activity.
- Generally, you cannot use transferred federal monies as applicant match; nor can you use money from other federal grants as applicant match. The rule of thumb is that federally derived money

cannot match federally derived money. There are two exceptions. The first is Community Development Block Grant money; this can be used as applicant match for CLG federal grants. The second exception is TEA-21 enhancement grants, administered by the Hawai'i Department of Transportation. Under certain conditions, the Hawai'i Department of Transportation will allow CLG Grant monies to serve as match for TEA-21 Enhancement Grant monies.

COSTS

The following costs are allowed:

- **Communications.** Communication costs incurred for telephone calls or service, fax, mail, messenger and similar communication expenses necessary for and directly related to grant project operations are allowable and may be charged to either the federal and/or applicant portion of the budget. Specify type of communication, cost basis and amount of usage, and total cost. For example,
 - *Postage mailing products: # of Items x Rate x Estimated total weight*
 - *Telephone: # of Calls x Length of Call x Rate per minute*
 - *Email: # of Email Postings x local rate (charged by Kinkos or like organization)*

- **Donated Goods** (i.e. expendable personal property/supplies and donated use of space) may be furnished to a grantee. The value of the goods and space is not reimbursable. However, the value of the donations may be used to meet matching share requirements. Specify type of donated good, quantity donated, cost basis and total value.
 - *Paper: # of Reams x Cost per Ream*

- **Room or Equipment rental.** Rental and use private or publicly owned meeting space or of equipment: earth moving, surveying, computer, photographic, audio-visual and/or other equipment needed to conduct grant project activities is acceptable, provided the equipment is only needed for a short time. The value shall be based on the rental agreement. The cost of which may not exceed the rental cost of comparable equipment in that locality. This may be charged to either the federal and/or the applicant's share of the grant project costs. Specify type of rental (room or type of equipment), estimated length of rental, rental rate and total cost of each rental. For example,
 - *Room rental (local rate for conference room rental) # of hours use x hourly rate*
 - *Photographic or computer system rental: # hours used x hourly rental rate*

- **Materials and supplies.** The cost of materials and supplies, necessary to carry out the grant project, are allowable. This may include film, maps; material for grant related correspondence, reports, flyers, pamphlets. Purchases made specifically for the grant project should be charged at their actual prices after deducting all cash discounts, trade discounts, rebates and allowances received.

Withdrawals from general stores or stockrooms should be charged at cost under any recognized method of pricing, consistently applied. These may be charged to the federal and/or applicant's share of the project. Specify type of material or supply being used, amount, price and total price.

Materials and supplies donated by third parties. The cost of these supplies may be charged at cost under any recognized method of pricing, consistently applied. The value should be placed

in the applicant match in-kind column of the budget. Show type of material or supply, cost, and total value.

- **Professional and consultant service costs.** Cost of professional and consultant services rendered by persons or organizations that are members of a particular profession or possess a special skill, are allowable. A subcontract with consultant outlining responsibilities, standards, products and fees will be required. Consultants are reimbursed for all time spent on the project (planning training workshops, participating in workshops/meetings, research, fieldwork, travel time to the CLG, research facilities, etc.). The current federal hourly rate is \$88.10 or \$705.00 per day.

On the budget page, show total number of hours, hourly rate of pay, and total compensation for consultant and as separate costs, total mileage, mileage compensation rate and total cost for mileage as well as total per diem days, per diem rate, and total cost of per diem expense.

- **Publication and printing costs.** Costs of printing and reproduction services necessary for grant administration and grant project activities are allowable. Photographic processing and printing are included in these costs and should be identified as such. These can be charged to the Federal and/or the applicant share of the total project cost. Specify type of item, number produced of each item, show per page or copy rate and the total cost. Specify type of film, number of rolls to be purchased, cost per roll, developing cost per roll, special printing or duplication costs. For example:

- 10 rolls Black and White film @ \$9.00 per roll;
- Printing 10 rolls of black and white film @ \$10.00 per roll plus \$2.00 for contact print for each roll;
- Duplicate prints # of black and white prints x duplication cost per print
- Printing/Photocopying (use local rate e.g., Kinko's, Office Max, Wal-Mart). Number of pages x Number of copies x price per page.

- **Personnel.** Project-specific personnel hired as regular employees specifically for the grant project. Eligible costs are salary expenses. These costs may be charged to the federal portion and/or the applicant portion of the budget. These costs are classified as "cash" on the budget page of the grant application. On the budget page, for each project specific employee hired, show the total estimated hours times the hourly rate and total salary expense, e.g., *draftsman @ \$20.00 x 5 hours.*
- **Volunteers.** Volunteer personnel may contribute time to the grant project. If a volunteer is performing tasks within his/her normal trade or profession, eligible costs include the volunteer's normal rate of pay up to established maximums. Benefits are not eligible. If the volunteer is performing tasks outside of his/her normal trade or profession, eligible costs may include only federal minimum wage (\$7.25 effective July 24, 2009) for the hours worked. These costs may be utilized only for the applicant portion of the budget and are classified as In-kind/Volunteer on the budget page of the grant application. In Budget Table, show as follows, *30 volunteers x @ \$7.25 x 10 hours per volunteer = \$2,175.00*
- **Personal Services.** These costs would include reimbursement to regular employees of the city or county who spend all or part of their time working on the grant project. Eligible cost is the salary of the employee. The employee must be working in the same skill for which he/she is

normally paid; otherwise, minimum wage is used. These costs may be charged to the applicant match portion only. These are considered in-kind match and would be placed in the In-kind/Volunteer match column. In Budget Table, show estimated hours X hourly rate for each employee and total salary cost. On budget page show as follows, *Planning Director, hourly salary rate \$30.00 x 40 hrs*

- **Mileage.** The mileage of trips taken in performing grant activities costs may be charged to the grant budget. Mileage costs do not include costs of mileage from place of residence of project personnel to the project site (except consultants who live in one community and travel to job site in another community). Mileage paid for by the Applicant/grantee to consultants or personal hired to work on the project may be charged to the federal portion and/or to the applicant match portion of the budget. Donated mileage accumulated by CLG employees or third party volunteers while engaged in project activities may be charged only to the applicant match portion. Maximum mileage rate is 39 cents per mile. On the budget page, show total estimated mileage times mileage rate and total cost of or value of accumulated mileage, e.g., *consultant mileage 500 miles x 39 cents per mile = \$195.00*
- **Travel.** Travel costs are allowable for expenses for transportation, lodging, subsistence, and related items incurred by consultants or other paid employees while engaged in grant project activities. Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip, and results in charges consistent with those normally allowed in like circumstances in non-federally sponsored activities. These costs should be formalized in advance.

What costs can be underwritten by the grant?

- With two exceptions, all costs can be charged to the grant. The two exceptions are staff salaries, commissioner and volunteer reimbursement for time and mileage.
- Costs can be divided between the grant and the applicant. For example, a charge of \$200.00 for copying could be pro-rated to \$100.00 as part of the grant request and \$100.00 as CLG applicant match.

What can be used as “Applicant In-Kind Match”?

- All the time that the local project director and commission members spend involved in grant project related activities.
- All the time that volunteers and meeting participants spend involved in grant project related activities including meetings, review of documents, planning
- All the time that county staff and officials spend involved in grant project related activities
- All the mileage that commissioners, volunteers, staff and officials accumulate traveling to participate in grant project related activities.
- The value of all communication costs (telephone, email, post, fax), materials (paper supplies, film, etc.), services (clerical, photographic, drafting, graphic arts, editing, administrating, etc) that local project director, volunteers, commissioners, and staff contribute to the project.

- The value of goods (e.g., paper, film, copying or printing etc.) and services (e.g., producing multiple copies of the final report, computer services, professional photography, graphic artist, promotional) contributed to the project by the County or the public.
- Local value of equipment or facility rental for meetings and other project related events. In regard to equipment rental, e.g., use of projectors, public address systems, video recorders, Iowa Communication Network, or equipment (remote sensing, machinery) for archaeological investigation

The following costs are not allowed:

- Any cost related to a fundraising appeal.
- Archival research. Cost of purely archival research is unallowable. Grant -assisted research must directly relate to achieving the purposes of the grant project.
- Alcoholic Beverages. Costs of alcoholic beverages are unallowable.
- Archaeological Salvage. Costs of data recovery unrelated to increasing an understanding of a National Register property are unallowable.
- Honoraria. Payments for honoraria are not allowable when the primary intent is to confer distinction on, or to symbolize respect, esteem, or admiration for a recipient. (Payments for services rendered, such as a speaker's fee at a grant-assisted workshop, are allowable).
- Lobbying. The cost of certain activities associated with obtaining grants, contracts, cooperative agreements, or loans is an unallowable cost. The costs associated with activities or any form of communication designed to influence in any manner a Member of Congress to favor or oppose any legislation or appropriation are unallowable. For non-profit organizations, attempts to influence outcomes of any Federal, State, or local election, referendum, initiative, or similar procedure, through in kind or cash contributions, endorsements, publicity or similar activity; any attempt to influence: the introduction of Federal or State legislation; or the enactment or modification of any pending Federal or State Legislation; legislative liaison activities, including attendance at legislative sessions or committee hearings, gathering information regarding legislation, and analyzing the effect of legislation, when such activities are carried on in support of or in knowing preparation for an effort to engage in unallowable lobbying.
- Meals. Costs of meals for grantee employees or CLG Commission members are not allowed, except as per diem when such persons are on travel status in conjunction with activities eligible for HPF assistance (e.g., scholarship to attend the NAPC Forum).
- Mitigation expenses. Cost of mitigation activities performed as a condition or pre-condition for obtaining a Federal permit or license or funding by other Federal programs are not allowable.
- Museums. Costs of museum exhibits, staff salaries, and other administrative expenses, including maintenance, are unallowable, if they are not directly related to HPF-eligible activities.

COMPLETING THE BUDGET PAGE

Use the information on allowable and unallowable expenses as well as the product lists for each activity as guides in identifying costs related to doing a particular activity. Remember some costs can be split between the grant and applicant match. Other costs may only be charged as applicant match. Try to put all costs that will entail cash payments in your grant request and all costs that can be covered by donated services, equipment, room rental etc. in the Applicant In-Kind Match column to lessen local cash outlays.

The most important figure on the Budget Page and the one that cannot be changed once your grant is awarded is the amount of the CLG grant.

SAMPLE BUDGET

Projected Costs	CLG Grant (Federal)	Applicant Match		Project Subtotals
		Cash	In-Kind	
Consultant 240 hours at \$50/hr	\$12,000.00			\$12,000.00
Consultant Mileage 1800 at 39 cents/mile		\$702.00		\$702.00
Consultant Lodging 8 days @\$65/day	\$520.00			\$520.00
Photography (film & Processing) 15 roll @\$30/roll	\$450.00			\$450.00
Copies/Maps Miscellaneous/As Needed		\$150.00		\$150.00
Volunteer Hours (general) 450 hr @ \$7.25/hr			\$3262.50	\$3262.50
Volunteer Hours (professional) 15 hrs @ \$30/hr for site research and review			\$450.00	\$450.00
Project Director (city staff) 210 hrs @ \$18.90/hr			\$3,969.00	\$3,969.00
Finance Director (city staff) 5 hrs @ \$29.14			\$146.00	\$146.00
Office Supplies/ Miscellaneous Materials			\$300.00	\$300.00
Phone/Fax/Postage/ Computer Services/ Clerical			\$315.00	\$315.00
Totals	CLG Grant \$12,970.00	Total Applicant Match		Total Project Cost \$22,264.50
		\$852.00	\$8442.50	
		\$9,294.50		

PART V

PROCESS AND CRITERIA FOR EVALUATION OF APPLICATIONS AND RECOMMENDING GRANT AWARDS

THE REVIEW PROCESS

During the historic preservation professional staff review, applications are checked to make sure they meet federal and state grant requirements (Evaluation Standard 1) and to provide preservation professional comment on how the project meets the other four Evaluation Standards

The State Historic Preservation Division staff conducts individual and group reviews. They score the applications and comment on them in their individual reviews, then meet and discuss the total scores and ranking of the applications during their group review. The group review is concluded with a funding recommendation. They can recommend the following:

- a. That a proposed project be funded in full
- b. That a proposed project be partially funded
- c. That a proposed project not be funded

The final review is done by the SHPO who considers the review and recommendations of the professional staff, then makes funding decisions. The evaluation process begins upon receipt of the final applications and will be completed by the beginning of August.

EVALUATION STANDARDS

All CLG grant applications are evaluated using the five standards described below:

Standard I.

COMPLIANCE WITH FEDERAL STANDARDS AND STATE CLG GRANT PROGRAM GUIDELINES

Desired: The proposal and project activity conforms to federal standards and state CLG grant program guidelines. Meeting these standards and guidelines means that the applicant used the appropriate application form, provided complete information, provide required number of copies, had original signature of chief elected official on one application on first page and the final budget page. In addition, the application was for historic preservation project, the proposed activities complied with the Federal Standards and State guidelines. The applicant proposed to generate all of the required products for that type of project. The budget was complete and all proposed costs met federal and state requirements

Not Desirable: If the proposed grant activity does not conform with federal standards or state CLG grant program guidelines, the project includes activities, products or projected costs that are not allowed, information is incomplete or missing, then the project may be disqualified. The project includes activities, products or projected costs that are not appropriate for the proposed project. The applicant incorrectly identified the type of project: e.g., identified as a planning project when it is registration project. The project will be done without the use of a historic preservation professional. Budget unit rates do not comply with federal or state standards.

Any project that is submitted before the final deadline and is found to be incomplete or problematic will be returned to the applicant to allow for revisions and corrections. To qualify, the applicant will need to submit the revised application by final deadline.

Standard II

CLEARLY STATED OR SPECIFIC GOALS THAT CAN BE REALISTICALLY ATTAINED WITHIN THE FUNDING PERIOD AND PROPOSED BUDGET.

Desired: There is a clearly stated goal for the project. The scope of work contains the requisite activities and products for achieving the goal and completing the type of project. The commission will use a qualified consultant and has sufficient in-house personnel (commission volunteers, county staff, community volunteers) to do the job. The budget is realistic in terms of time and cash allotments for completion of the various project activities. There is sufficient time to do the work.

Not desirable: It is unclear what the project goal is, several conflicting goals have been identified. The project includes activities and products cannot be completed within the proposed time frame. The local match for the project seems weak, e.g., not enough volunteers, too few hours, or too ambitious, expect too much from local volunteers. There is a lack of understanding of what such a project entails as reflected in the activities and schedule in the scope of work. Project personnel will not have the expertise needed to complete the work or there is not a clear demonstration of in-house paid or volunteer help to complete the project. The project cannot be completed within the stated time frame and/or for the proposed cost.

Standard III

MEASURABLE RESULTS OR PRODUCTS (NUMBER, QUALITY)

Desired: The applicant clearly describes the project impact and generated products and explains how this will further the local or state historic preservation effort. The applicant describes the results or products and how these will help to grow the historic preservation program. The project will result in the required products and there will be additional benefits, for example, public meetings in which the consultant will work with the commission and other volunteers from the community. An effort will be made to publicize the project. The project may provide a model in terms of the way it is organized or the products generated for other CLG's,

Not desirable: The project will not result in the required products and/or schedule and budget suggest insufficient funds and time have been allotted to project so that the products will not be good ones.

Standard IV

LINKAGE WITH GOALS AND OBJECTIVES EMBODIED IN STATE OR LOCAL PRESERVATION PLANS.

Desired: The applicant demonstrates how this completion of this project fits into local and/or State goals. For example, the applicant discusses how a planning for preservation project will assist a newly certified City or County in understanding how they can use their historic preservation program to the benefit of the community and identify some future projects. Another example, the applicant discusses how the proposed survey and evaluation project will contribute to the local and state property

inventory, position the area for future registration projects and better comprehensive land use planning in that area.

Not desired: The applicant makes no reference to long term local or state preservation goals and objectives. The applicant has not demonstrated an understanding of how this project will further historic preservation objectives in the county and or the State.

Standard V.

ABILITY TO COMPLETE THE PROJECT

Desired: The applicant demonstrates through previous CLG grant performance or work on other historic preservation projects an ability to complete the task. In addition, the applicant shows commission commitment to the project through the involvement of commissioners; public support for the project through the involvement of staff, community groups and individuals. Local officials demonstrate project support through in-kind and cash match contributions.

Not Desired: The applicant does not address problems that occurred in previous CLG grant or other projects. There appears to be insufficient support by the commission, staff, groups and individuals. There is no local governmental support or involvement.

SAMPLE

**CERTIFIED LOCAL GOVERNMENT
GRANT-IN-AID AGREEMENT
Contract No. 2007-07
HAWAI'I STATE HISTORIC PRESERVATION DIVISION
GRANT-IN-AID AGREEMENT FOR:**

Kaua'i County, Hawai'i

Phase II testing of archaeological sites and National Register eligibility determination of architectural properties

This agreement is made and entered into by and between **Kaua'i County**, hereinafter referred to as the **RECIPIENT**, and the Hawai'i State Historic Preservation Division, hereinafter referred to as the **STATE**; WITNESSETH THAT:

WHEREAS, the **STATE**, is interested in broadening the role of local governments in historic preservation through the Certified Local Government program; and

WHEREAS, the **STATE**, in accordance with the National Historic Preservation Amendments of 1980, is providing 10% of its annual federal Historic Preservation Fund appropriation to Certified Local Governments; and

WHEREAS, the **RECIPIENT** has demonstrated its interest in historic preservation by becoming a Certified Local Government, and desires to complete **Phase II testing of archaeological sites and National Register determination of architectural properties**;

NOW THEREFORE, it is agreed by and between the parties hereto as follows:

1. That the **RECIPIENT** is qualified to complete the attached Scope of Work (Exhibit C);
2. That the **RECIPIENT** will be responsible for overseeing all aspects of fiscal management;
3. That the **RECIPIENT** provide a permanent copy of financial records suitable for State and Federal audit as directed under the Single Audit Act of 1984, P.L. 98-502, if required;
4. That the **STATE** provide for only project costs eligible under provisions stipulated by the National Park Service, U.S. Department of the Interior for grants -in-aid. Project work which does not meet Secretary of Interior Standards will not be reimbursed for under this contract;
5. That the **STATE** monitor the project and provide input as called for in the attached Scope of Work (Exhibit C);
6. That the Recipient and the **STATE** mutually agree that if, during the duration of the contract, it is deemed necessary by either party to make alterations to or amendments to this Agreement, such changes shall be incorporated into this contract upon mutual agreement and shall be in effect as of the date of the amendment unless otherwise specified within the amendment;
7. That the **STATE** agrees to pay the project eligible costs under the terms of this Agreement;

8. That the RECIPIENT and the STATE mutually agree to abide by the general and specific conditions attached hereto as Exhibits A, B, C, and D;
9. That the RECIPIENT and the STATE mutually agree that all work performed under this contract will be completed by June 30, 2008:
10. That the RECIPIENT and the STATE mutually agree that the cost of this contract shall be **\$10,000.00** (Exhibit D). All eligible costs necessary to carry out the project shall be initially advanced by the RECIPIENT and then the STATE shall reimburse the RECIPIENT for **\$10,000.00** upon receipt of all work products and as specified in the Scope of Work. The agreement will end on June 30, 2011. The final bill must be submitted with the final report by June 30, 2011.
11. Expenditures are to be according to the Budget, attached as Exhibit D. Adjustments between budget categories are permissible following written mutual consent between the RECIPIENT and the STATE;
12. The RECIPIENT will faithfully comply with all applicable Federal and State laws, regulations and guidelines, including the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation as published in the Federal Register on September 29, 1983;
13. The RECIPIENT shall hold the STATE and federal government harmless from damages in any action arising from the performance of work described herein.

IN WITNESS WHEREOF, the parties hereto have executed this contract on the day and year last specified below.

RECIPIENT

Mayor Kaua'i County

Date

STATE

Deputy State Historic Preservation Officer, State of Hawaii

Date

EXHIBIT A
GENERAL CONDITIONS
Certifications etc. in Detail available for CLG coordinator at SHPD

EXHIBIT B
SPECIAL CONDITIONS
Conditions available in Detail for CLG Coordinator at SHPD

EXHIBIT C
SCOPE OF WORK

A. WORK ELEMENTS

This project is for the completion of Phase II level testing and research and will result in the specific identification of archaeological sites and architectural properties eligible for the National Register in Subsections F, G, and H and Subsections J, N, and O and recommendations for the completion of these nominations by future studies. This project is a continuation of an effort to analyze and preserve the history of Kaua'i County and is based on the results of a comprehensive planning survey.

The project will also include more intensive historic research and inspection of the architectural properties identified in the previous grants in order to completely address questions concerning eligibility of the properties under Criterion A and/or B and under the Early Settlement Era context.

Phase II testing will require permission of the current property owners; therefore it is anticipated that some properties will be denied access for testing. It is estimated that a minimum of five archaeological sites and 10 architectural properties will be examined during this study.

Phase II archaeological testing will involve intensive testing and level of evaluation using test unit excavation (0.5 m x 0.5 m up to 1 m x 1 m units) to address questions concerning site integrity and information potential in order to complete a determination of either eligibility or ineligibility for the National Register of Historic Places for each site. Test unit excavation will be documented by sketch maps, profile drawings, and photographs. A research design will also be completed and submitted for review prior to initiation of fieldwork.

Archaeological site information will be recorded on Hawai'i State Archaeological Site Forms. The report will be in Multiple Property Cover Document format and meet information/content requirements. Provision will be made for permanent curation of artifacts and associated records at a repository that meets the Secretary of the Interior's Standards for Curation.

The end products of the project will include draft and final reports summarizing the results of the Phase II testing of the archaeological sites and the additional research and study of the architectural properties. The final report will include any properties identified as eligible for the National Register of Historic Places. Additional products will include black-and-white prints and color slides of sites and properties (a minimum of one each per property examined), updated archaeological site record and architectural inventory forms, photo log sheets, negatives, and contact prints of negatives. The end result will provide Kaua'i County with documentation needed to pursue National Register status listing for eligible properties within these subsections.

This project will require the work of the Kaua'i County Historic Preservation Commission, area volunteers, and a consultant or consultants who qualify as an Architectural Historian and Historical Archaeologist according to the Secretary of the Interior's Professional Qualification Standards. The consultant(s) will be responsible for the quality and completion of the work performed as well as the recruitment, training, and coordination of volunteers for the project.

The project director will be _____, Kaua'i County CLG Grants Manager and staff liaison to the Kaua'i County Historic Preservation Commission. Grants manager will be responsible for administration of the grant and coordination of Historic Preservation Commission meetings. Administration will include effective budget management, timely and accurate report preparation and submittal, and ensuring the scope of work is implemented completely and according to schedule. Historic Preservation Commission chair, will also assist in grant management. The 9-member Commission as a whole is expected to dedicate 40 hours to this project. They will be responsible for soliciting proposals for a qualified consultant(s) and selection of the most appropriate candidate. They will also aid in identifying and organizing volunteers as needed.

Volunteers will be recruited from the Kaua'i County Historic Preservation Commission, historical societies, and county residents. Volunteers will be carefully selected and trained by the project consultant(s). They will assist with conducting property research, photography, and on-site documentation. Their work will be under the oversight of the project consultant(s).

B. PRODUCTS

See CLG coordinator and appropriate Branch Chief for List of Products required for each type of CLG Grant

The RECIPIENT will prepare and distribute the following products:

General requirements:

The Historic Preservation Commission will be responsible for furnishing the STATE and the public with draft copies of the project report for review and comment. The draft report must be complete when submitted for review. The STATE may request, and the RECIPIENT will supply, additional revised draft products (report, site inventory forms, etc.) for review and comment at no additional cost to the STATE. If additional, revised draft products are required, each will be due 30 days after the STATE requests the revisions.

C. SCHEDULE: ACTIVITIES AND PRODUCT SUBMISSION

Details available from CLG Coordinator

D. REIMBURSEMENT SCHEDULE

Payments by the STATE shall be made upon receipt of billing invoices from the RECIPIENT that relate expenses being billed to budgeted expenses identified in Exhibit D. Each payment request will be audited by the STATE to insure that sufficient progress has been made in support of the invoice. Timely submission of products is essential for reimbursement. Claims for reimbursement must be accompanied by a progress report. Claims must be submitted to the SHPD CLG coordinator.

The following payment schedule will be used:

Approval of draft products	up to 80% of grant
Approval of all products	remaining balance of the grant

E. COORDINATION

This project will be managed by the RECIPIENT in cooperation with the STATE. The RECIPIENT will be represented by the Project Director, _____; (808) 892-5118; and the STATE will be represented by _____, State Historic Preservation Division who will provide routine information and technical guidance.

The RECIPIENT's Project Director will maintain continuous coordination with the STATE's CLG coordinator during the course of the contract. This will consist of written bi-monthly progress report due on the 5th of each month. These reports will keep the STATE abreast of contract progress and serve as a vehicle for assessing performance of the contract. Progress reports shall be directed to the state's CLG Coordinator. The project manager is encouraged to send these reports via email.

EXHIBIT D

BUDGET

PROJECTED COSTS	CLG GRANT REQUEST	APPLICANT'S MATCH		ROW TOTALS
		<i>Cash</i>	<i>In-Kind</i>	
Personnel: Consultant (166.66 hours @ \$60/hour)	\$10,000			\$10,000
Project Director (50 hours @ \$27/hour)			\$1,350	\$1,350
Commissioners (40 hours @ \$5.15/hour)			\$206	\$206
Volunteers (260 hours @ \$5.15/hour)			\$1,339	\$1,339
Additional Consultant Labor		\$2,000		\$2,000
Consultant Per Diem: Meals (9 days @ \$35/day)		\$315		\$315
Consultant Lodging: Lodging (4 nights @ \$68/night + \$8 taxes per night)		\$304		\$304
Consultant Mileage: 2,466 miles @ \$.445/mile		\$1,097		\$1,097
Photocopying: 1,000 copies @ \$.10 each		\$100		\$100
Photography: Film Purchase, Developing and Printing		\$200		\$200
Artifact Curation: 2 cubic feet @ \$350/cubic foot		\$700		\$700
Subtotals		Cash \$4,716	In-Kind \$2,895	
TOTALS	CLG GRANT* \$10,000	APPLICANT MATCH** \$7,611		TOTAL PROJECT COST \$17,611

CERTIFIED LOCAL GOVERNMENT
BI-MONTHLY PROGRESS REPORT

Grant Recipient:
Grant #:
Report for months of:
Contact Person:
Daytime Phone #:
Describe the progress made during this 2 month period toward accomplishing the goals of your project. Refer to work elements and products listed in the Exhibit C-contract scope of work.
Is the project currently on schedule? If not, please explain. Describe any significant problems encountered this month which may impede the successful and timely completion of your project.
Return by the 5th of every two months to: (email is recommended)
Email Electronic Copy to the State Project Manager and CLG Coordinator:
Or Mail Hard Copy to: State Historic Preservation Division
601 Kamolika
Kapolei, Hawaii

(continued on the reverse
side)

Itemized Project Match

Category	Column 1 Match accumulated this month (hours, mileage, etc.)	Column 2 Value of match accumulated <u>this month</u> (Column 1 x unit cost)	Column 3 Total match accumulated to <u>date</u> (including this month)	Column 4 Amount of match committed to per contract (Exhibit D)
A. Volunteer hours	_____ hours	\$	\$	\$
B. Staff/other hours	_____ hours	\$	\$	\$
C. Mileage	_____ miles	\$	\$	\$
D. Room use and rental		\$	\$	\$
E. Contributed Materials		\$	\$	\$
F. Contributed Communication		\$	\$	\$
G. Contributed Services		\$	\$	\$



SECTION 7

CETRIFIED LOCAL GOVERNMENT

CLG Grants and Contracts Guidance

NEIL ABERCROMBIE
GOVERNOR OF HAWAII



**STATE OF HAWAII
DEPARTMENT OF LAND AND NATURAL RESOURCES**

POST OFFICE BOX 621
HONOLULU, HAWAII 96809

WILLIAM J. AILA, JR.
CHAIRPERSON
BOARD OF LAND AND NATURAL RESOURCES
COMMISSION ON WATER RESOURCE MANAGEMENT

JESSE K. SOUKI
FIRST DEPUTY

WILLIAM M. TAM
DEPUTY DIRECTOR - WATER

AQUATIC RESOURCES
BOATING AND OCEAN RECREATION
BUREAU OF CONVEYANCES
COMMISSION ON WATER RESOURCE MANAGEMENT
CONSERVATION AND COASTAL LANDS
CONSERVATION AND RESOURCES ENFORCEMENT
ENGINEERING
FORESTRY AND WILDLIFE
HISTORIC PRESERVATION
KAHOOLAWE ISLAND RESERVE COMMISSION
LAND
STATE PARKS

SHPD Grant Program Administration

The State Historic Preservation Division (SHPD) shall prepare and transmit as required the HPF grant applications, amendments, billings, and reports in a timely and accurate manner in accordance with Office of Management and Budget Circular A-102.

- (1) All documents shall be accurately prepared by the SHPD Grant Coordinator and submitted with internally consistent and accurate numbers.
- (2) Upon notification by the National Park Service (NPS) of award appropriation, the HPF grant application shall be prepared by the SHPD Grant Coordinator, reviewed and approved by the SHPD Administrator, and submitted to NPS.
- (3) The End-of-Year Report shall be prepared by the SHPD Grant Coordinator and submitted to NPS by December 31, upon review and approval by the SHPD Administrator.

Competitive Procurement Procedures: The SHPD shall implement competitive procurement for all grant-supported professional services, supplies, and equipment (Chapter 3 & 20 HPF Manual, OMB A-102) by exercising the general provisions for goods and services under the Hawaii Revised Statutes (HRS) Chapter 103D, the Hawaii Public Procurement Code.

The SHPD Grant Coordinator shall document that all professional consultants meet 36 CFR 61 qualifications.

The SHPD Grant Coordinator shall verify that all requests for reimbursement under the HPF grant are supported by acceptable documentation and properly analyzed for accuracy and completeness prior to reimbursing any costs claimed.

A SHPD program staff shall be designated to review and approve all work and or products that result from a grant supported procurement.

The SHPD Grant Coordinator shall prepare and submit a formal Request for Reimbursement Form SF 270 and with supporting documentation upon review and approval from the SHPD Administrator to NPS for acceptance and authorization for reimbursement.

The SHPD Grant Coordinator shall update as warranted all property inventory records in accordance with the HRS Chapter 103D, Part XII, and the Hawaii Administrative Rules (HAR) Title 3, Subtitle 11, Chapter 130, Inventory Management.

The SHPD Grant Coordinator shall monitor the HPF grant fiscal activities in consultation with the Administrative Specialist to insure the SHPD is in compliance with Federal requirements.

SECTION 8

NATIONAL REGISTER PROGRAM

Register Nomination Checklist

Public Facing Document

SECTION 8

NATIONAL REGISTER PROGRAM

Register Nomination Checklist

Register Nomination Review Checklist

Historic Name of Property: _____
Date _____ Reviewer _____

General Review

____ Have all the blanks been filled, including "n/a" where applicable?

Section 1. Name of Property

____ Is the name entered the one that best reflects the property's historic importance or was commonly used for the property during the period of significance?

Section 2. Location

____ Are all items completed? Are the correct codes used? Is the name of the federal land area noted, if pertinent? If the property needs certain protection, has "not for publication" been checked?

Section 3. Certification

- ____ Is a Level of Significance checked?
- ____ Is the form signed by a SHPO, FPO, or authorized delegate?
- ____ For concurrent nominations, have both parties signed the form?

Section 5. Classification

- ____ Are all items completed? Is there a clear identification of the number of contributing and noncontributing resources?
- ____ Does the resource count agree with the narrative in Section 7?

Sections 6. Function or Use

____ Have the historic and current functions been indicated, using functions listed in the *How To Complete the NR Registration Form Bulletin*?

Section 7. Description

- ____ Have the Architectural Classification and Materials sections been completed (where appropriate)?
- ____ Is there an initial paragraph that identifies what is being nominated, summarizes its appearance, and describes the property's integrity?
- ____ Are the important features of the property identified, including site, materials, style, size, roof-shape, story, plan, windows, foundation, details, interior?
- ____ Does the Description include information about the setting, environment, and or surrounding buildings/areas?
- ____ Have all alterations to the building/site over time been described and dated, to the extent possible? Do the descriptions of contributing/ noncontributing resources agree with the resource counts in Section 5? Is integrity assessed? Have alterations been evaluated regarding significance that may have accrued over time?
- ____ For historic districts, is there a complete inventory list or accompanying sketch map identifying all resources counted and marked whether they contribute or not?

___ Has all pertinent information been included? The following are mandatory: Applicable NR

Section 8. Statement of Significance

___ Has all pertinent information been included? The following are mandatory: Applicable NR Criteria, Areas of Significance, and Period of Significance. The following may be needed:

Significant Person (if Criterion B is applicable), Cultural Affiliation (if Criterion D--and in some cases Criterion A—is applicable), Significant Dates and Criteria Considerations, as pertinent, and Architect/Builder (if “work of a master” pertains).

___ Does the Narrative Statement include a summary paragraph indicating the pertinent NR Criteria, the period of significance, and the areas and level of significance of the property?

___ Is the Statement of Significance written in a clear and complete manner?

___ In subsequent paragraphs, is the case made for each checked Area of Significance as it relates to a particular historic context/theme?

___ Are any criteria exceptions (if applicable) justified according to their specific requirements?

Section 9. Major Bibliographical References

___ Are bibliographic sources provided?

Section 10. Geographical Data

___ Does the verbal boundary description delineate the precise area within the boundaries of the property, not just a general location?

___ Is the specific number of acres given? Is it consistent with the size of the area noted within the boundaries?

___ Are UTM references provided? Is the minimal requirement of three points given, if the property is 10 or more acres in area?

Section 11. Form Prepared By

___ Is the preparer identified, with contact information?

Maps

___ Is the original USGS map enclosed and properly labeled?

___ Is a map enclosed for historic districts that contains a north arrow and a scale?

Sketch of Floor Plan

___ Is a sketch of a floor plan included?

Photos (Updated NR Photo Policy 2010)

___ Are the photographs on the correct paper and appropriately identified and labeled?

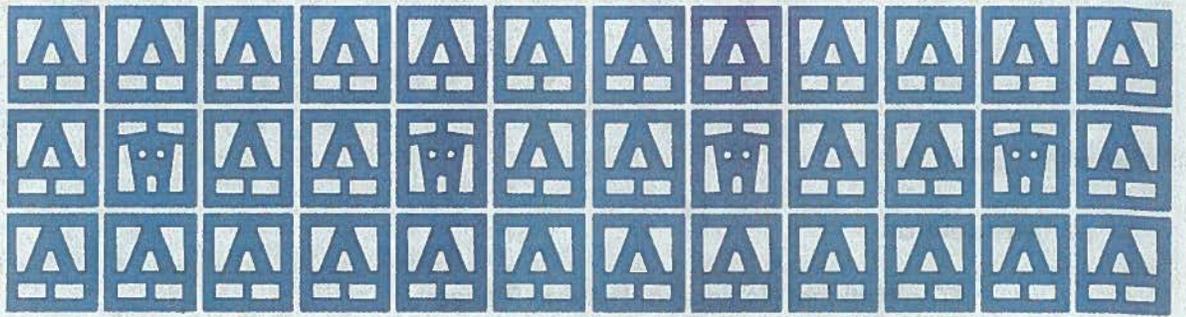
___ Is a photo log included? For historic districts, are photos keyed to the district map?

___ Are the photo files saved as TIF files at the correct resolution on an archival quality CD?

SECTION 8

NATIONAL REGISTER PROGRAM

Public Facing Document



PREPARING NATIONAL REGISTER NOMINATIONS IN HAWAII

May, 2014

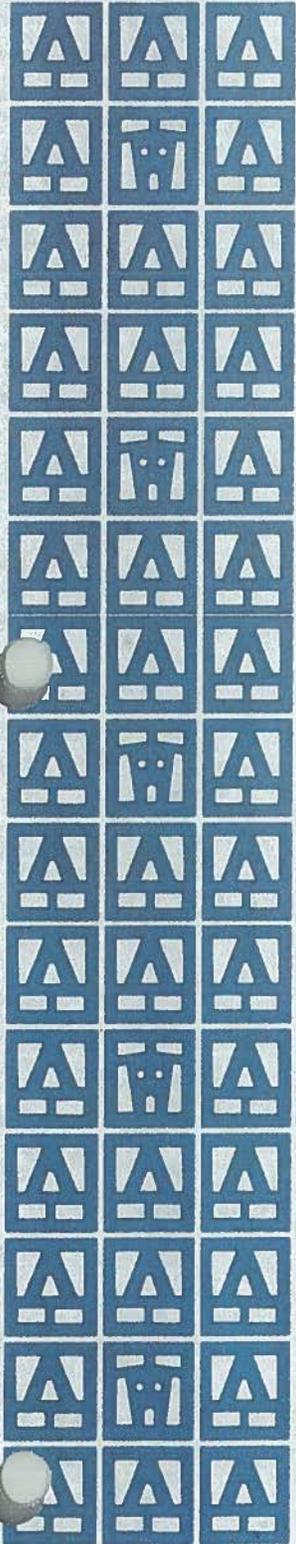
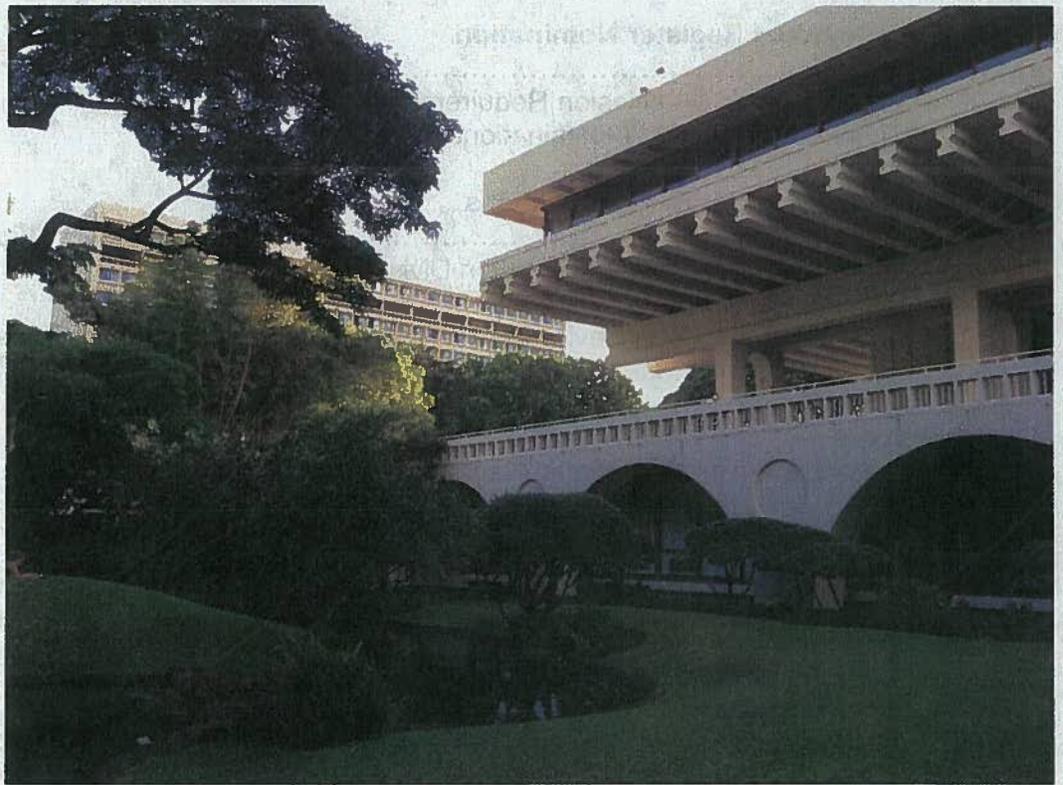
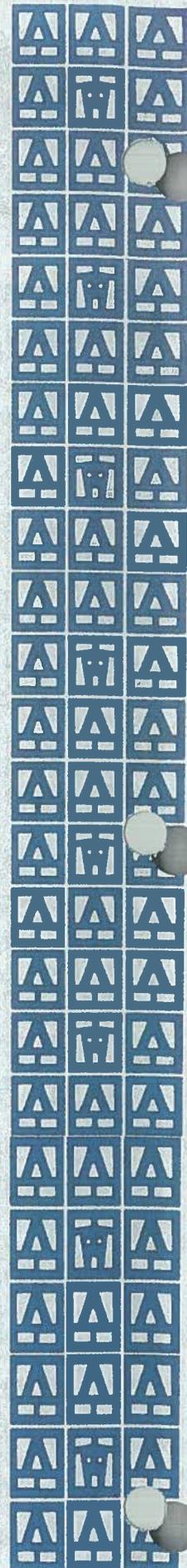


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Introduction

The National Register of Historic Places

Thank you for your interest in nominating one of Hawaii's historically significant properties to the National Register of Historic Places. The National Register is the nation's official list of buildings, structures, sites, objects, and districts significant in American history, architecture, and archaeology. The National Register is maintained by the National Park Service in Washington, D.C. and is administered across the nation by State Historic Preservation Offices (SHPO).

How to Use This Guide

Preparing National Register Nominations in Hawaii is a supplement to existing guidance from the National Park Service, but does not replace those important resources, which are National Register Bulletin 15 "How to Apply the National Register Criteria for Evaluation," and Bulletin 16a, "How to Complete the National Register Form." The first portion of this guide presents information to help owners decide if listing their property in the National Register is right for them and determine if their property qualifies for listing. "Writing a National Register Nomination" includes the necessary information to successfully complete the form, and "The National Register Review Process" describes how properties are listed in the National Register. This document specifically addresses nominating individual properties to the National Register. Please contact the office if considering nominating a historic district.

These guidelines are based on instructions provided by the National Park Service for the submission of digital nomination documents to the agency. The requirements for digital submissions are listed beginning on page 5. Paper nomination forms, United States Geological Survey maps, and printed digital 35mm photographs are still accepted, but preparers will need to meet all requirements for paper submissions if submitting any portion of the nomination in paper format. Please contact the office for further information. All National Register nominations must be on the form provided by the Hawaii State Historic Preservation Division (SHPD).

Staff Contact Information

The staff of the Hawaii State Historic Preservation Division (SHPD) look forward to working with you. Please contact SHPD to discuss your project, research strategy, and important deadlines before beginning.

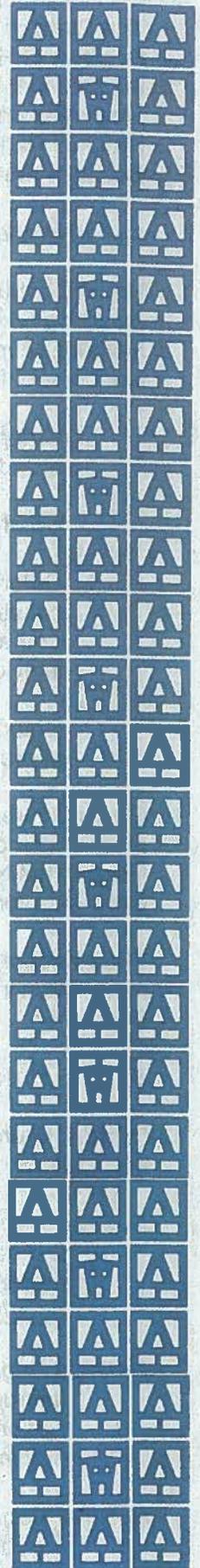
General questions and requests for completed National Register nominations for listed properties:

Chandra Hirotsu
Office Assistant
(808) 692-8015

Questions regarding National Register eligibility and the preparation of nominations:

Mike Gushard
Architecture Branch Chief
(808) 692-8032 or michael.j.gushard@hawaii.gov

Anna Broverman
Architectural Historian
(808) 682-8028 or anna.e.boverman@hawaii.gov



Two Registers?

The State of Hawaii has its own Register of Historic Places that is very similar to the National Register of Historic Places. The form and criteria for the State Register are identical to that of the National Register. The State Historic Places Review Board (SHPRB) reviews and lists properties on the Hawaii Register of Historic Places and makes recommendations to the National Park Service (NPS) about listing properties on the National Register of Historic Places. Because the Standards and forms for both Registers are identical, this guide is useful for both.

Listing Properties in the National Register

Not all old buildings are eligible for listing in the National Register. Eligible properties are generally 50 years old or older; retain their historic appearance (called "integrity"); and are historically important (referred to as "significant") at the local, state, or national level under at least one of four Criteria identified by the National Park Service. These criteria are:

Criterion (a): Association with events that have made a significant contribution to the broad patterns of our history.

Criterion (b): Association with the lives of persons significant in our past.

Criterion (c): Embodiment of the distinctive characteristic of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction.

Criterion (d): Properties that have yielded or may be likely to yield, information important in prehistory or history.

Generally, religious buildings and sites; moved resources; birthplaces or graves; cemeteries; reconstructed and commemorative properties; and properties less than 50 years old may not be listed in the National Register. However, under certain circumstances, called Criteria Considerations, these properties may be recognized.

The National Park Service describes the Criteria and what is and is not eligible for listing in more detail in National Register Bulletin 15 "How to Apply the National Register Criteria for Evaluation."

Essential Instructions and Guides

In order to properly prepare a National Register nomination preparers need to read the following publications, which are available from the National Park Service or other agencies noted below

National Register Bulletin 15, "How to Apply the National Register Criteria"

Defines terms commonly used in the National Register program and describes what properties are eligible for listing.

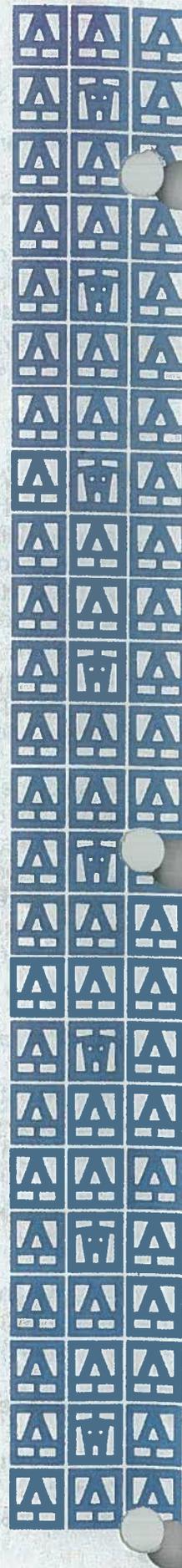
<http://www.nps.gov/history/nr/publications/bulletins/nrb15/>

National Register Bulletin 16a, "How to Prepare the National Register Form"

Instructions for completing the National Register form. See the passage titled "Writing a National Register Nomination" in this document for further instructions and the sample nomination in Appendix F. <http://www.nps.gov/history/nr/publications/bulletins/nrb16a/>

National Register Bulletin 39, "Researching a Historic Property"

A good how-to guide that describes how to research the history of a building and document its past. <http://www.nps.gov/history/nr/publications/bulletins/nrb39/>



Appropriate Property-Specific National Register Bulletins

The National Park Service offers a number of guides or bulletins that describe how to document special properties, such as lighthouses, or buildings and sites associated with historic persons. Please review the list of Bulletins on the National Park Service website at: <http://www.nps.gov/nr/publications/> to see if there is a bulletin specific to the nominated property.

Sample National Register Nomination on the National Park Service Website

Writing a nomination is easier using a successful nomination for a similar property as a guide. http://www.cr.nps.gov/nr/sample_nominations.htm Contact the SHPD directly for relevant sample documents.

A Guide for Nominating Residences to the Hawaii Register of Historic Places

This guide by the Historic Hawaii Foundation was written specifically for registering historic homes in Hawaii. It describes the process of nominating a property and has excellent information about common styles and house types in Hawaii.

<http://historichawaii.org/resource-center-2/register-guide/>

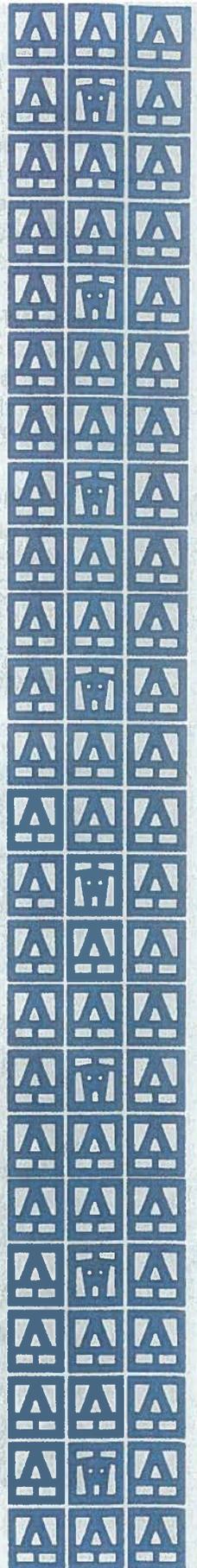
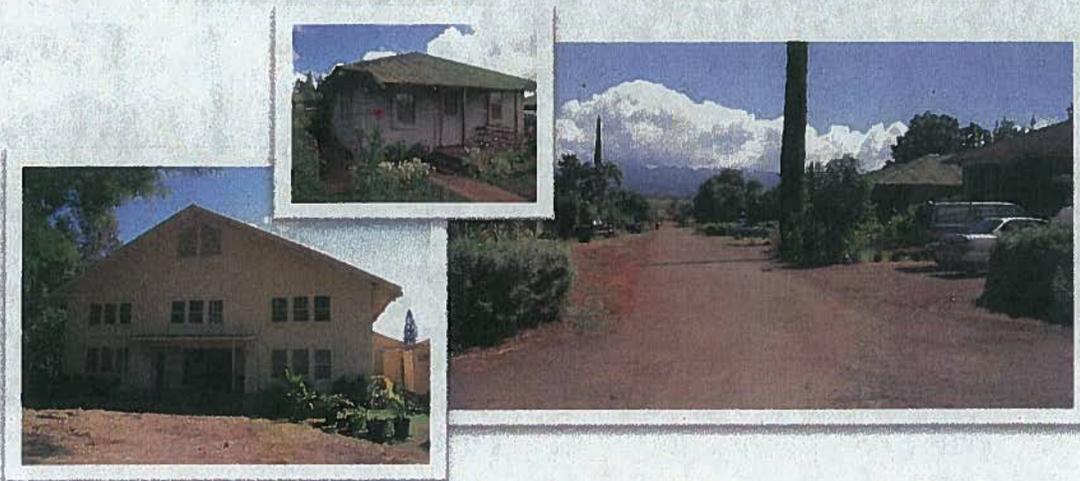
Listing Multiple Properties

Individual properties may also be listed in the National Register using a Multiple Property Document or within a listed historic district. A brief description of each process is below. Before starting the nomination process it is a good idea to contact SHPD for advice on the eligibility of a potential district.

Historic Districts

A historic district is a concentration of buildings, structures, objects, and/or sites, and associated landscape and streetscape features that are 50 years old or older, retain their historic character, and are associated with an important aspect of the past or together represent a notable collection of architectural styles or building types. Historic districts are documented using the same National Register form as individual properties, but additional documentation is required, including a property list and district map, among other materials. The following items are required for historic district nominations:

- Historic district map with boundaries clearly identified.
- Photo location map showing the location, photo number, and direction of view for each photo included in the nomination.

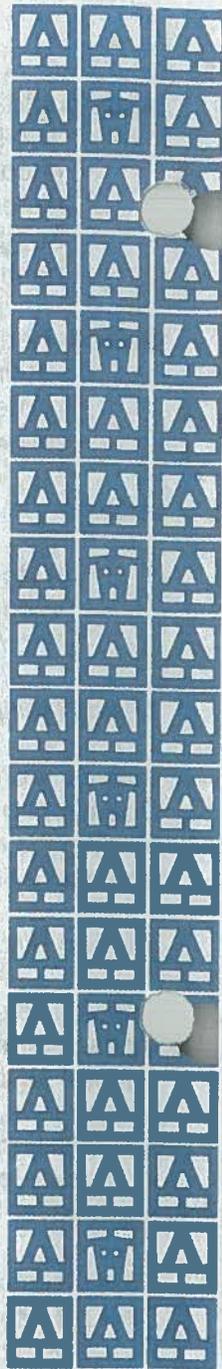


Multiple Property Documents

The Multiple Property Document Form (MPD) is a document used to nominate individual properties and historic districts that share a similar time period, geographic distribution, historic theme, and importance. For example, property types and topics that could be described in a MPD include Craftsman style houses in Manoa; work by a specific influential architect in Hawaii; or properties related to the Coastal Defense. An MPD also identifies what qualities properties must possess to be eligible for listing in the National Register.

While an MPD is not a National Register nomination itself, preparers may use an MPD to more easily list properties that meet the requirements specified in the document. Generally, only historic preservation professionals should attempt to complete an MPD; however, anyone may use one of the many existing Hawaii MPDs to write a nomination if it is relevant to the subject. Current MPDs exist for the following:

- Chinese Society Halls
- Kilauea Plantation Stone Buildings
- College Hills Tract; Manoa
- Art Deco Parks of Oahu
- Fire Stations of Oahu
- Tantalus Drive Residences
- English Tudor and French Norman Cottages of Oahu



Writing a National Register Nomination

Writing a National Register nomination is a collaborative process between the preparer and the SHPD. SHPD encourages preparers to contact the office before beginning a nomination and to work with the office throughout the process. Preparing a National Register nomination for a single property often requires between 100 and 150 hours of research, writing, and revision, and once submitted, the review process can take up to a year. There is no application fee to submit a nomination; however, preparers supply completed nomination materials at their own cost. Property owners may also choose to hire a consultant to complete the work.

Register nominations are public documents, are not subject to copyright and will be posted online by the National Park Service and the Historic Hawaii Foundation. Please do not include descriptions of personal possessions in the narrative, and consider removing objects of value from the property when taking photos for the nomination document.

Deadlines and Submission Requirements

SHPRB meetings are generally in February, May, August and November. A nomination must be submitted to SHPD for review no less than 90 days prior to a meeting date to appear on that meeting's agenda. Any and all revisions must be completed no later than 30 days before the review board meeting.

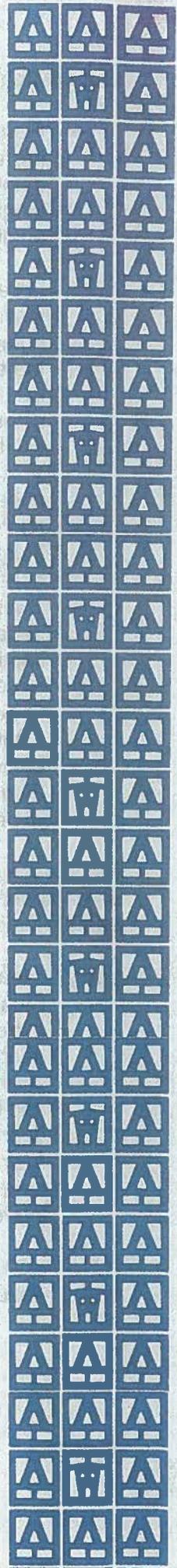
The easiest and most convenient way to submit a nomination is on CD. A complete nomination for digital submission includes the CD with the National Register form in Word 2010 or compatible format with the required items (location maps, tax lot map, site plan, and floor plans), and digital images on a separate CD in .tif format. Optional items may include historic photographs of the property and its occupants, historic maps, and any key research materials. See Appendix A "Hawaii National Register Format Standards;" Appendix B "Grammar and Punctuation Standards;" Appendix C "Digital Photo Standards;" and Appendix F "Hawaii Sample National Register Nomination" for detailed instructions for each required item noted below.

These guidelines are based on instructions provided by the National Park Service for the submission of digital nomination documents to the agency and National Register Bulletin 16a, "How to Complete the National Register Registration Form." Paper United States Geological Survey maps and printed 35mm photography are still accepted, but preparers will need to meet all requirements for paper submissions if submitting any portion of the nomination in paper format. Please contact the division for further information. SHPD *highly* recommends using the electronic submission method.

1. The National Register Form

- Digital copy of the National Register form on a CD (including required figures, photo log, and photo continuation sheets) formatted in a single word-processing document, in or compatible with, Word 2010 or higher version and not exceeding 10mb in total file size. Please name the document in the following format. State_County_PropertyName. Ex: HI_MauiCounty_SakamotoHouse.
- One hard copy of the nomination form.

2. Figures



General requirements for figures:

- Figures, images, and tables may be inserted into the text of the Section 7 and 8 narratives when the item meets the applicable general requirements for figures noted below, are centered widthwise on the page, and do not exceed one-half of the page length including the caption, excluding the document header. In-text items do not require a figure number and need not be noted in the list of figures at the end of the document.

Location maps, tax lot map, site plan(s) and floor plan(s) and oversize items may not be inserted into the text of the section 7 and 8 narratives. Instead, these items must be noted in a list of figures and placed on Additional Documentation Continuation sheets at the end of the National Register form in the following order: general vicinity map, specific location map, tax map key, site plan, floor plan, historic maps, historic site and floor plans, and historic photos, followed by other materials as appropriate. Provide each exhibit included as an appendix its own number (including each floor plan). Larger, 11"x17" paper, exhibits are acceptable when needed to show better detail. Oversize pages must include the Additional Documentation Continuation Sheet header.

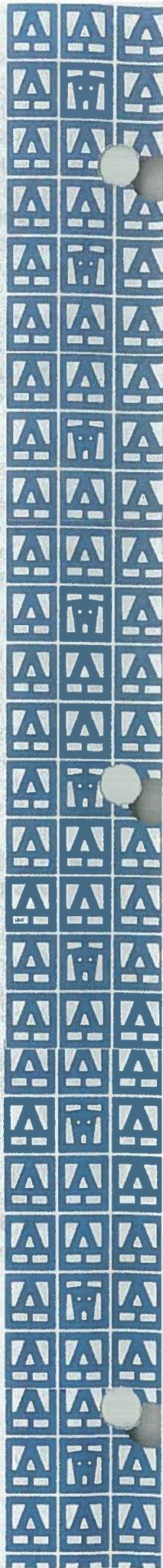
- All inserted images must be in .jpg or .png format and not exceed 100kb in file size. Images may be resized and converted to a compatible format using a photo enhancement program.
- Orient maps, aerial photographs, and site and floor plans so that north is at the top of the page and include a north arrow and scale. If the figure is not to scale, note this in the caption. If necessary, images may be oriented so the top is at the left margin to allow for more space. Maps may also be labeled mauka/makai etc to assist readers.
- For each figure included as an appendix, place the caption with the figure number above the item and include it in the list of figures. For in text illustrations, place the caption below the item. Note source information in the caption or in a footnote as needed.
- Please submit only those images and maps that will copy and print well in black-and-white.

Place each of the following required figures on an Additional Documentation Continuation sheet as an appendix at the end of the National Register nomination form. See Appendix F for a sample National Register document.

Location Maps (2 separate maps required)

- Clear digital "general vicinity map" showing adjacent towns, major highways, etc. surrounding the nominated property. Locate the nominated property by marking the geographic center with a "pin" or shading the entirety of the nominated area. Include a scale and north arrow, and a caption that states name of the property, city, county, state, and the latitude and longitude coordinates using WGS84 or NAD83 datum in decimal degrees to the sixth decimal point.
- A close up "site map" centered on the property as a separate map with the nominated area marked. Include a scale and north arrow, and a caption that includes the same information provided in the general vicinity map as described above.

NOTE: Complete instructions for creating digital location maps are provided by the National Park Service at <http://www.nps.gov/nr/publications/forms.htm>.



- TMK map from county planning department or bureau of conveyances. Please indicate the boundary of the nominated parcel or portion of the lot by shading or outlining the subject area. Include key street or road names if they are not already on the map. In cases where a building extends to the lot lines, the tax lot map and site plan may be the same map.

Site sketch

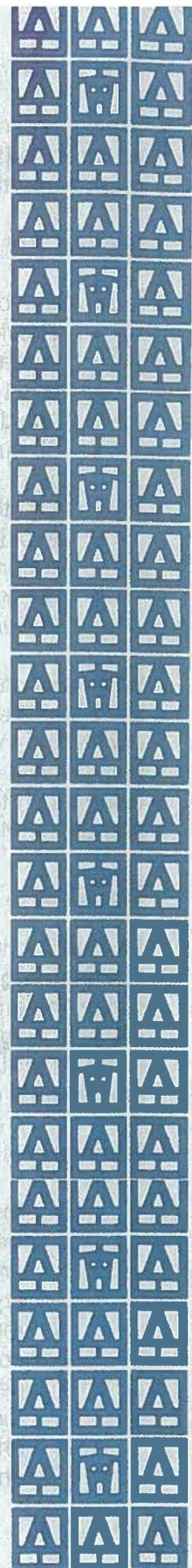
- Drawing showing all buildings, structures, and major landscape features within the subject property, including a label for each feature. Clearly mark the boundary of the nominated area and include adjacent streets. Hand drawn plans are acceptable if the illustration is reasonably to scale. Photos of hand drawn plans are not acceptable. The tax lot map may also be used as the site map if the subject building is built to the lot lines, as is the case for many commercial buildings. Tip: use Google Maps or Google Earth satellite view to provide the base of a site sketch. You can trace over the satellite image and mark the contributing and non-contributing elements.

Floor plans (if appropriate)

- Floor plans for each floor (basement to attic) for the principal building(s) (residence, commercial building, etc.) Include exterior walls and interior partitions, window and door locations, and major built-in cabinetry. Label each room (kitchen, dining room, etc.). Hand-drawn plans are acceptable if the illustration is reasonably to scale. Historical plans and architectural drawings may be included as optional exhibits. Images of sketch floor plans should be scanned from an original drawing. Photos of hand drawings will not be accepted.

3. Photos

- CD of digital images (Images may be on same CD as National Register form) meeting all aspects of the National Register Digital Photo Standards, which are based on NPS requirements. See Appendix C.
- Photo Log and Photograph Continuation Sheets meeting the following standards:
 - All inserted images must be in .jpg format and not exceed 100kb in file size. Images may be resized and converted to a compatible format using a photo enhancement program, like Adobe Photoshop or Microsoft Office Picture Manager (included with most Microsoft Office Suites).
 - Insert photos on the standard 8-1/2"x11" photo continuation sheet.
 - Position photos so that the top of the image is aligned with the top of the page.
 - For each photo, place the caption, including the photo number, at the bottom of the each image.
 - Please submit only those photos that will copy well in black-and-white print.



Tips for Writing Better Nominations

Writing a good National Register nomination is not necessarily difficult, but the task does require attention to detail. The following tips may not be applicable in every situation, but do apply to most properties.

General Tips:

- Use correct architectural terminology (many architectural dictionaries are available).
- Provide citations for all quotes and sources in an appropriate and consistently applied format.
- Use topic headings to organize the narrative.
- Avoid repetition and be as direct as possible.
- Be sure that the number and type of resources noted in the form are consistent in name, type, and number throughout the document and appendices.
- Cite the source(s) consulted to determine the construction date.
- Avoid long quotes unless they are very important to help explain the history and importance of the property.
- When using quotes, state who is quoted and why what they say is important (Example: *In Buildings of Hawai'i* historian Don Hibbard explains...).

While any consistently applied academic citation method is acceptable, the National Park Service prefers footnotes, the academic standard for history. Footnotes provide the essential publication information without cluttering the text, and are an easy way to clarify a point, cite a fact, or tell a brief side-story without distracting the reader. The SHPD **strongly** recommends using the 16th edition of *The Chicago Manual of Style* (2010) or the 5th edition of *Turabian's Manual for Writers* (2007) as guidance for footnotes and the bibliography.

Section 7:

Section 7 is the narrative architectural description and includes three parts. The first part is the National Register form that asks the nominator to complete blanks using only the architectural styles, materials, etc. provided in National Register Bulletin 16, "How to Complete the National Register Registration Form." The second part is the written "Summary Paragraph," and the third is the "Narrative Description." The tips below describe how to successfully write an accurate architectural description.

Summary Paragraph

- In a single brief paragraph, summarize the appearance of the nominated property. Begin by describing the location, setting, site and orientation of nominated property(ies), and continue to describe, as applicable, the form, height, footprint, roof style, construction method, windows and doors, and materials (siding, roofing, foundation, etc.). Note the style or type and construction date; and cite the archival source for the building date. Also, briefly describe notable exterior features. After describing the exterior, begin the discussion of the interior by noting the square footage and the number, type, and arrangement of rooms and finishes. Follow with brief descriptions of secondary buildings on the site, such as barns, garages, etc., and end with a summary of alterations to the resource(s).

Location and Setting

- As appropriate, include a paragraph that describes in further detail the general location and immediate setting of the resource. Be sure to discuss the grounds in detail if they are historically significant.

Exterior

- Describe each side of the building in an orderly manner. For example, a building can be described from the foundation and up, and then counter-clockwise around the building starting with the main facade. If one facade is similar to another there is no need to repeat the description. Instead, state that the facade is similar to another and note any unique characteristics.
- Provide measurements only if a feature is dramatic or unusual, or if the feature will be elaborated on in Section 8 and the dimensions are important to understanding the property's significance.

Interior

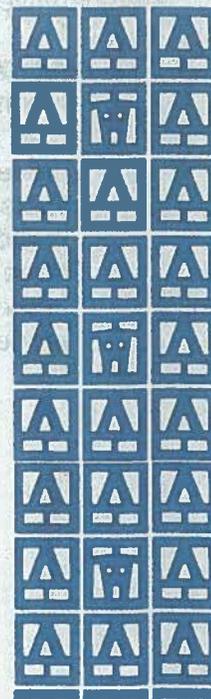
- Organize the interior description so that it moves from the entryway through the building in a commonsense manner (e.g. first describe the entryway, then the hallway, then the living room, etc.). If helpful, note where windows, doors, fireplaces, closets, and built-in cabinetry are located within each room. Describe trim and finishes (flooring, wall finishes, etc.) briefly.
- Describe notable historic lighting and plumbing fixtures and hardware fittings generally when first addressing the interior, but avoid a detailed discussion unless these features are known to be original, unusual, or if a particular piece serves as a focal point for a room.

Outbuildings, structures, and other secondary resources (Garages, sheds, barns, wells, etc.)

- Include a brief exterior and interior description of the building, structure, object, or site as applicable, and describe how each building relates to the others. Include more information for buildings or spaces that are particularly notable or historically significant. Be sure to note if these resources are “contributing,” meaning they retain their historic appearance, or are “non-contributing,” if the resource was recently constructed or is altered.

Alterations and Additions

- Describe any alterations and additions made to the property and the approximate dates the alterations occurred in one or more paragraphs either after each resources discussed or at the end of the Section 7, whichever is more appropriate



Section 8 is divided into two parts, each intended to accomplish a specific purpose. The form includes general information, and should be completed using only the categories provided in National Register Bulletin 16a, "How to Complete the National Register Form." The written Summary Statement of Significance quickly identifies the selected Criteria and level(s), area(s), and period(s) of significance the subject property is nominated under, and includes a brief paragraph justifying these statements. The Narrative Statement of Significance explains and justifies all of the information provided in the Summary paragraph.

Summary Statement of Significance

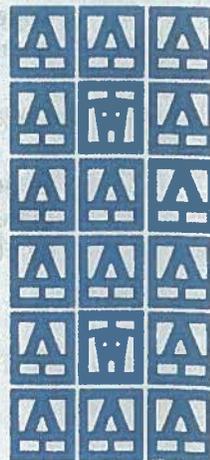
- In a single paragraph state the Criterion and level(s), area(s), and period(s) of significance for the property(ies) being nominated and justify each. See National Register Bulletins 15 and 16A for more information about selecting Criteria, and levels, areas, and periods of significance.
- Note any Criteria Considerations and provide a one or two sentence justification for each. See National Register Bulletin 15, "How to Apply the National Register Criteria for Evaluation" for an explanation of the National Register Criteria Considerations.

Narrative Statement of Significance

- Do not repeat the Summary Statement of Significance.
- The Narrative Statement of Significance provides the historic context, and should begin with a discussion of general topics before moving to more specific information about the property. For example, for a historic school, a good nomination will talk generally about the development of the area, the town, and education system, then will provide the architectural context and the construction history of the building. The nomination then draws on information already presented to make an argument for how the school represents the important trends of local development and education, and then finally tells the reader why the building should be listed in the National Register.
- Include only the facts that support the argument for listing and limit the discussion of events that took place before and after the selected period of significance. A nomination is not intended to be a complete history of a building. Opportunities for additional research can be cited in footnotes as appropriate.

Comparative Analysis

- All National Register nominations need to explain how the nominated property is more architecturally notable or closely associated with an important historic event or person than another similar resource. This argument should be based on the selected Criterion; the level(s), area(s), and period(s) of significance. Address similar properties with one or two sentences describing the resource, noting if it is listed, and discussing how it is related to the historic context the subject property is associated with. Usually two or three comparisons are sufficient. A more in-depth discussion may be required for properties being nominated for their architectural importance; however, unique properties may not need a complete comparative analysis.



The Review Process

Every accepted nomination is reviewed by SHPD staff, the SHPRB and, for National Register Nominations, the National Park Service. In some cases even local government commissions review nominations. Interested private citizens and public officials will also have the opportunity to comment. The decision to list or not list a property is based on the merits of property; adequacy of the documentation; and in the case of private property, owner consent. Public agencies may object to the listing of their property, but their objection will not prevent listing. Historic districts may be listed if the majority of the property owners do not object.

State Historic Preservation Division

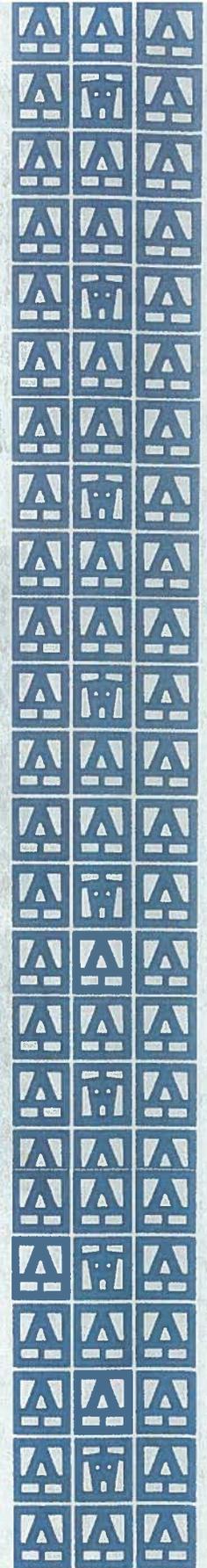
The nomination process begins when the preparer submits the document to the SHPD for review. Staff will review the nomination according to the requirements established in National Register Bulletin 16a, "How to Complete the National Register Form," and any property-specific guidance available from the National Park Service. If the document requires revisions, a SHPD staff member will provide a memo within 30 days that outlines requested changes to address before the nomination advances to the next step, SHPD will also suggest changes to improve the clarity and accuracy of the document. When SHPD staff feels that a nomination is technically sufficient to be reviewed by the board they will officially place it on the agenda for the next scheduled meeting. This must happen at least 30 days before the next SHPRB meeting to allow members enough time to read all of the nominations. Given SHPD's review period, the fastest a nomination can go from submission to the SHPRB is 90 days. This is if SHPD staff have no comments. This is unlikely and SHPD suggests nominators submit nominations at least 120 days before their preferred SHPRB meeting date. This process is longer in Maui and Kauai as those counties' local historic review boards must comment on the nomination as well.

Certified Local Government Review

Maui and Kauai counties have a special status in the review process as Certified Local Governments (CLG). This means they are the NPS' and SHPD's partners in the preservation process and have established a preservation ordinance and citizens' commission on historic preservation. This certification provides the CLGs with access to a yearly grant availability from NPS and SHPD. It also means the counties have special historic preservation responsibilities. One of these obligations is the review of Register nominations within their boundaries. Nominators of properties in Maui and Kauai County should recognize that there is an extra level of review for their nominations. This can add as much as a month to the normal review period. Draft nominations must be submitted to the county at least 7 days before the next local commission meeting. Commission sessions are generally held the first week of every month.

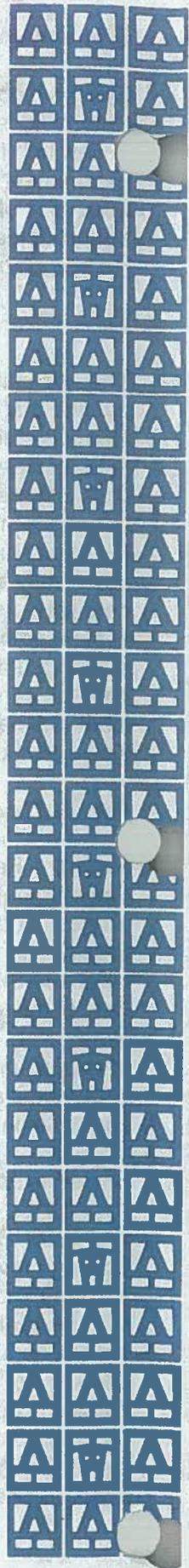
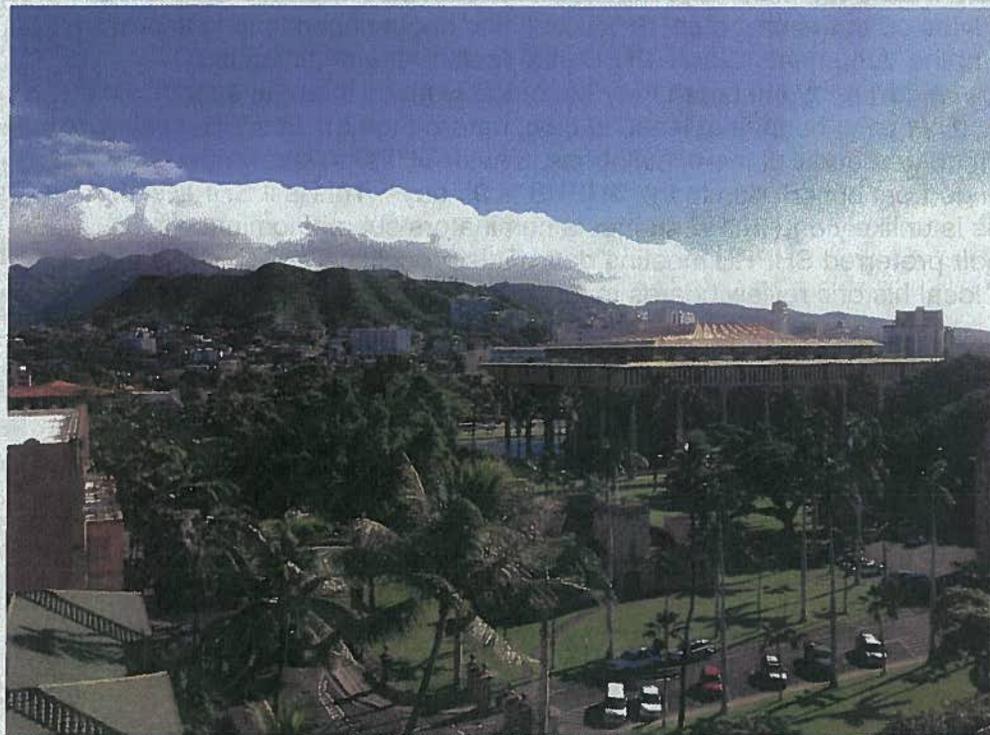
State Historic Places Review Board and The State Register and the National Register

The SHPRB receives the nomination 30 days before the meeting. It is the responsibility of the Board to review nomination documents to make a decision as to whether or not to list the property and in the *State Register of Historic Places*. This happens at a public meeting. They will also make a recommendation to the State Historic Preservation Officer regarding whether or not the nomination should be forwarded to the Keeper of the National Register for a final decision for listing on the National Register. The SHPRB can recommend to forward or not to forward a nomination to the National Park Service, or delay a decision until the next meeting to allow the preparer to make further revisions. After the SHPRB meets, SHPD will compile meeting minutes and contact the nominator to share the SHPRB concerns. This restarts the review process.



National Park Service and the National Register

For National Register Nominations the comments of the local government, SHPRB, and SHPD are advisory. Only the National Park Service has the authority to list a property in the National Register. After the SHPRB recommends nomination to the National Register of Historic Places SHPD staff will forward the nomination to the NPS offices in Washington DC. The NPS review team has 45 days from their receipt of the nomination to issue comments on the nomination or to list it on the National Register. SHPD staff will forward any NPS comments to nominators. When those comments are addressed the nomination is resubmitted to the NPS reviewer. NPS will notify the SHPD by email when the property is listed in the National Register of Historic Places. Staff will then inform the owners by letter or by phone. As part of the SHPD's efforts to promote the program, the office will issue a press release and forward the nomination to the Historic Hawaii Foundation for inclusion in their online database of register-listed properties.



PREPARING NATIONAL REGISTER NOMINATIONS IN HAWAII

Hawaii State Historic Preservation Division

Draft Document without formatting, images

Appendix A: Hawaii SHPD National Register Format Standards

The following is a summary of the format standards used by Hawaii State Historic Preservation Division staff to prepare all nominations to the National Register of Historic Places. Applicants are encouraged to prepare their documents to the following standards to ensure efficient processing; however, nominations will not be rejected if they do not. Nominations must be formatted to the correct standards before

Text: Form blanks: Arial or Helvetica font, 10 pt size, with text set off one space from left-hand margin.

Narrative: Arial or Times New Roman font, 11 pt size.

Page numbers and footnotes: Arial or Helvetica font, 9 pt size.

Section 3, first page of form:

Use a capital bold "X" to check the "nomination" blank and the correct level(s) of significance. Leave the determination of eligibility, the second blank, empty.

Header (second page of form and continuation sheets):

Property name typed as it appears on the first page.

Appropriate county spelled out and state abbreviated.

Example: Maui County, HI

Section 5, Classification:

Ownership of Property and Category of Property: Use a capital bold "X" to check all boxes that apply.

Number of Resources: Indicate the number of buildings, sites, structures and objects with counting numbers, 1, 2, 3, etc. On the "Total Line" add up each column. Enter "0," if appropriate. Do not count properties already listed in the National Register.

Name of related multiple property listing and number of contributing resources previously listed in the National Register: Enter "N/A" for all blanks that do not apply.

Section 8, form blanks:

List the names of significant person, builders, architects, etc. by last name, then first. Ex: Ossipoff, Vladimir, Architect

Section 9, Bibliography

Provide an alphabetical listing of all resources following a recognized documentation standard, such as the Chicago Manual of Style. Include only those resources used in the preparation of the document, not all materials that were viewed as part of the research. Check all blanks in the "previous documentation" section with an "x."

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Appendix A: Hawaii SHPD National Register Format Standards

Section 10, Geographical Information:

Enter the latitude and longitude location coordinates (rounded to the sixth decimal point) and estimated acreage, not including properties already listed, using counting numbers. If the acreage is 0.99 acre or less, enter "Less Than One" in the blank.

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Appendix B: Grammar and Punctuation Guidelines

The following is a summary of the grammar and punctuation standards adopted from the Historic American Building Record (HABS); Historic American Engineering Record (HAER); and Historic American Landscape Survey (HALS) standards published by the National Park Service and used by Hawaii State Historic Preservation Division staff to prepare nominations to the National Register of Historic Places. Applicants are encouraged to prepare their documents to the following standards; however, nominations will not be rejected if they do not. Staff will format documents not meeting the standards before they are forwarded to the State Historic Places Review Board, which may result in delays.

- Years:** 1930s, '30s
not Thirties or 1930's
- 1850-60, 1999-2000
Do *not* repeat century unless it changes
Always include the decade, ie., not 1850-7
- First quarter of the nineteenth century
Not first quarter of the 1800s
- spring 1888, January 2012
do *not* capitalize season, or state as "summer of 1969."
do *not* use a comma, as in "December, 1990."
- Dates:** December 14, 2009, was a great day
note comma after the year
- ca. 1850: *not* c. or circa (written out)
- Towns:** Honolulu, Hawaii is a big town.
note comma after the state
- Numbers/
Numerals:** All numbers from one to ninety-nine are written out, while 100 and above are cited as numerals, except in the case of ages, street numbers, dimensions, and millions.
- Percent:** 0.7 percent, 50 percent; always use a numeral, and only in a chart or graph use the "%" symbol.
- Money:** \$5.87, \$24.00, \$234.98, 1 cent, 10 cents 99 cents
do *not* write out dollars.
- Dimensions:** Measurements and dimensions are *never* written out; they always appear as numerals, and feet or inches are always indicated using technical symbols.
- Ex: 10'-6" x 18'-0"

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6'-3-1/2"

2" x 4"

9'3/4"

Appendix B: Grammar and Punctuation Guidelines

Use a lowercase *x*, *not* "by"

Use apostrophes and quotation marks for feet and inches, respectively

Hyphenate all feet and inches numerals and any fractions. Indicate an even measurement with "-0."

When punctuating dimensions, commas fall outside the inches/feet marks. Ex: The planks measures 10'-6", 5'-2-1/3", and 2'-0".

Approximate measurements do not require the "-0": ie., The commercial building is about 20' wide and 40' deep.

Exception to measurements rule: 10 cubic feet and 10 square feet.

Streets/ Addresses:

1495 Kamehameha Hwy.

capitalize and abbreviate street, avenue, boulevard, etc., but not short items such as road and lane, when the number prefaces the street name.

Eric lived on Kilauea Street

Write out and capitalize street, avenue, etc. when no number is given.

It is at the intersection of King and 41st streets.

When two proper names (also true of companies, rivers, etc.) are listed, do *not* capitalize street.

The houses surveyed are No. 15 and No. 27 Pi'ikoi St.

"number(s)" is always capitalized and abbreviated as No. or Nos.

Capitalization: U.S. government, U.S. Department of the Interior, U.S. exports

Write out "United States" when it is the noun, but *not* when it is an adjective, *do not* place a space between U. and S.

Hyphenations: Many phrases are clarified when augmented by a hyphen; the following architectural terminology is clarified using the general rules of hyphenation:

1. In general, hyphenate an adjectival construction, one that which precedes the subject.
2. In general, *do not* hyphenate an adverb ("ly" word), including "federally."
3. Do *not* hyphenate "late" or "early" before a century.

Ex: one-over-one-light, double-hung sash (write out numbers)
bird's eye view, bulls-eye window
load-bearing brick wall; but the brick wall is load bearing
stained-glass windows, but the windows contain stained glass
five- and seven-course bond (note division form in a series)

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single-family and multi-family dwellings

nineteenth-century light house

Palladian-style, ... a Mission-style roofline.

Append “-style” to an established architectural term if the subject is reminiscent of the original but not an example of the actual model, except in cases of proper names, like International Style.

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Appendix C: National Register Digital Photo Standards

Photographs for National Register of Historic Places nominations must meet specific requirements for image and printing quality. Digital images and prints not meeting the requirements will be returned to the preparer for correction. Unfortunately, staff cannot offer guidance on camera or software operation. If using 35mm photography, please contact the Hawaii State Historic Preservation Division for instructions.

1. Adjust camera settings

Set the camera to take .tif or .raw images

The National Park Service prefers that images be taken as original-capture .tif or as .raw files and then converted to .tif. If taking images as .raw files, a photo enhancement program, such as Adobe Photoshop, is needed to read the file and convert it to .tif format. Refer to the camera's user's manual to determine whether it can take .tif or .raw images and how to set this function.

Most consumer-grade, point-and-shoot digital cameras take images as .jpeg or .jpg, or proprietary image files and do not have the ability to take .tif or .raw images. Jpeg or .jpg images can be used if they are converted to .tif images using a photo enhancement program. See step 3 below.

Adjust image size to at least 6 megapixels and 3000 x 2000 pixels in size and 300 dpi.

Generally, to adjust the size (pixels) of an image the file size of the picture (number of megapixels) will need to be increased. See user manual to set this function.

Take images in 8-bit RGB color

Take images in 8-Bit, or higher, RGB color. This is the default setting for most cameras.

2. Take complete photo coverage of the resource

Exterior: Provide one image of the building(s) within the setting, and at least two images, taken from opposite corners, showing all four sides of the building. More photos may be necessary to show each facade in sufficient detail. Additionally, include at least one photo of each outbuilding and images of any notable architectural features. As appropriate, include images that show the relationships between the building(s) and features.

Interior: Include one image of each principal room (living room, kitchen, dining room, etc.). Large spaces may require two photos taken from opposite ends of the room. It is not necessary to provide a photo for similar rooms, such as bedrooms. Instead, choose a representative room. Take detail photos of notable features, such as a fireplace.

Appendix C: National Register Digital Photo Standards

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3. Convert and name digital images

Convert .raw, .jpg, or proprietary image files to .tif files.

A photo enhancement program, such as Adobe Photoshop, will be needed to convert image files to alternative formats. This step is not necessary if the image is already in .tif format. Do not crop, color enhance, lighten, darken, or otherwise change images as part of this process. Retake poor-quality images that do not meet the image size specified in step 1.

Rename files according to the following conventions:

HI_CountyName_FullPropertyName_ImageNumber (with three leading zeros)

Ex: Individual properties: HI_HawaiiCounty_MylesNakamuraHouse_0001

Ex: Historic Districts: HI_HawaiiCounty_ChinatownCommercialHistoricDistrict_0001

Ex: Multiple Property Document: HI_HawaiiCounty_MylesNakamuraHouse_HiloMPD_0001

4. Create a photograph log

Complete Section 12, Photographs, including providing the property name, address information, photographer, date the images were taken and a description of each photo. See Appendix XX "Hawaii Sample National Register Nomination" for an example.

5. Key all photos to the site plan (Nominated Historic Districts Only)

Using a computer program or by hand, place the image numbers on a clean copy of the site plan to indicate where each image was taken, and draw an arrow from the image number pointing the direction the photographer was facing. Insert a digital copy of this map in the nomination form after the photograph log on its own page.

6. Insert resized images into the National Register form

As part of the review process, photos are provided to local governments and the State Historic Places Review Board on photo continuation sheets at the end of the National Register nomination form. This appendix is not provided to the National Park Service, but is posted with the nomination on the Hawaii SHPD website if the property is listed in the National Register.

Format the photo continuation sheets according to the instructions provided in this document under "Writing a National Register Nomination," "Photos," page XX. Before inserting images, resize the files to 100kb or less using a photo enhancement program. Insert up to two images per page. See Appendix XX "Hawaii Sample National Register Nomination" for an example.

7. Print the images

Print on set of color 4"x6" images using archival-quality material such as Fuji Crystal Archive paper and processing or similar-quality photo paper and process, widely available at most photo processing retailers. If printing photos on a home printer, consider the following ink and paper

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suggestions provided by the National Park Service: **Appendix C: National Register Digital Photo Standards**

Recommended Papers: Epson Premium Glossy Paper
HP Professional Satin Photo Paper
Matte Epson Ultra Premium Glossy Photo Paper
HP Premium Plus Photo Paper

Recommended Inks: Epson UltraChrome K3
HP Vivera Pigment Inks
Epson Claria "Hi-Definition Inks"
Epson DuraBrite Ultra Pigmented Inks

Agfa paper is not accepted by the National Park Service.

The list of products provided here is not intended to be restrictive or comprehensive, and does not constitute, and shall not be taken as, an endorsement.

8. Label the printed images

Using a soft-lead pencil or archival pen, label the back of the printed photos using the following convention:

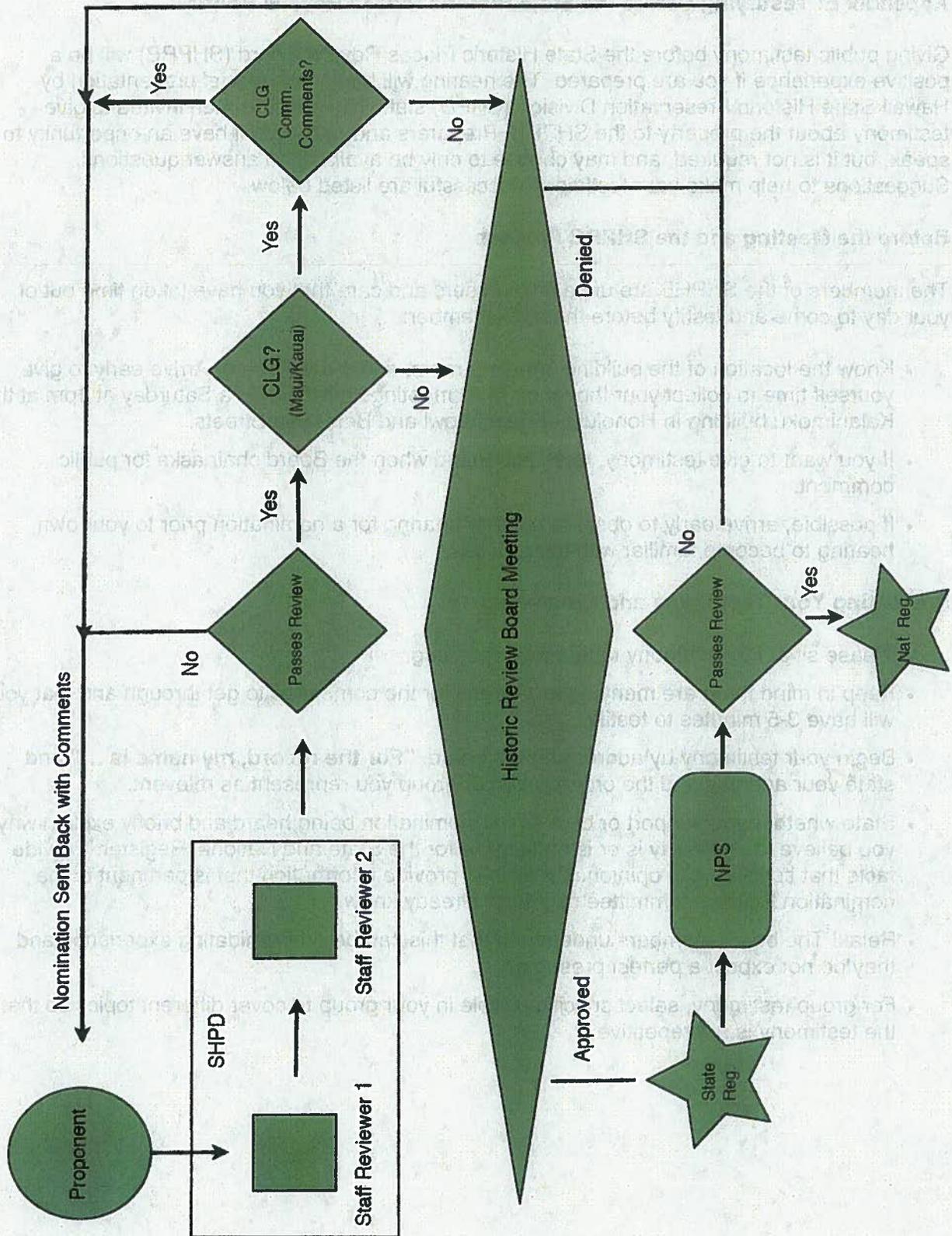
Ex: Photo 1 of 15: Myles Nakamura House, Honolulu Co., HI

Do not press so hard that the lettering can be seen from the image side of the photograph.

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Appendix E: Testifying Before the State Historic Places Review Board

Giving public testimony before the State Historic Places Review Board (SHPRB) will be a positive experience if you are prepared. The hearing will begin with a brief presentation by Hawaii State Historic Preservation Division (SHPD) staff. The public is then invited to give testimony about the property to the SHPRB. Preparers and owners will have an opportunity to speak, but it is not required, and may choose to only be available to answer questions. Suggestions to help make your testimony successful are listed below.

Before the Meeting and the SHPRB Process

The members of the SHPRB are unpaid volunteers and care that you have taken time out of your day to come and testify before them. Remember:

- Know the location of the building, meeting room, and meeting time. Arrive early to give yourself time to collect your thoughts. Most meetings are held on a Saturday at 1pm at the Kalanimoku building in Honolulu at Punchbowl and Beretania Streets.
- If you want to give testimony, raise your hand when the Board chair asks for public comment.
- If possible, arrive early to observe another hearing for a nomination prior to your own hearing to become familiar with the process.

Presenting Your Testimony and Comments

- Please sit at the testimony table when speaking.
- Keep in mind there are many agenda items for the committee to get through and that you will have 3-5 minutes to testify.
- Begin your testimony by addressing the board. **“For the record, my name is ...”** and state your address and the organization or group you represent as relevant.
- State whether you support or oppose the nomination being heard and briefly explain why you believe the property is or is not eligible for the State and National Register. Provide facts that support your opinion. If possible, provide information that is pertinent to the nomination that the committee might not already know.
- Relax! The board members understand that this can be an intimidating experience and they do not expect a perfect presentation.
- For group testimony, select specific people in your group to cover different topics so that the testimony is not repetitive.

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Division of Financial Institutions

State of Hawaii

The above information is confidential.