



SECTION 106 PRE-EFFECTS MEETING CHECKLIST

BEFORE THE MEETING

- ☐ **SUBMIT** a request for Effects Assessment with NCDOT Historic Architecture using **ETRACS**
- ☐ **DEVELOP MAPPING** that clearly displays the following overlaid on detailed aerial imagery:
 - ☐ Project design files* with all relevant details such as:
 - Slope stakes / limits of construction
 - Right-of-way and permanent easements
 - Construction easements / utility relocations
 - Wetlands / streams
 - Community resources
 - Other conflicting resources
 - ☐ Historic resources that could be affected (data available online at **HPO WEB**)
 - Historic district boundaries
 - Individual resources (points) including property boundaries
 - **Note:** if you can't find the boundaries on **HPO WEB** then contact the architectural historian assigned to the project.

*Designs must be **sufficiently advanced** to evaluate impacts – a study area is not enough!

- ☐ **TAKE PHOTOGRAPHS** or gather current images of historic resources in the project area
- ☐ **PREPARE DISCUSSION POINTS** for the project relative to historic resources, including:
 - Alterations to the historic resource itself (e.g., destruction or relocation)
 - Right-of-way or easement impacts and changes in access
 - Potential physical, visual or auditory effects, including landscape and fencing
 - Measures already taken in current designs to avoid or minimize impacts

DURING THE MEETING

Note: The pre-effects meeting will be led by a member of the NCDOT Historic Architecture Team who has the required training and credentials to evaluate the effects of projects on historic resources and serves as the liaison with the SHPO and lead federal agency.

- ☐ The NCDOT representative may determine that **additional information is needed** to fully assess effects. Additional information requested may include:
 - Visualizations
 - Quantification of impacts (e.g., noise, retaining wall height, right-of-way required)
- ☐ If the NCDOT representative determines there is the potential for an **adverse effect**, discuss potential measures to avoid, minimize, and mitigate impacts, such as:
 - Can designs be shifted?
 - Can different materials be used?
 - Can landscaping be added to help screen visual impacts?

AFTER THE MEETING

- ☐ **FOLLOW UP** with NCDOT Historic Architecture on action items
- ☐ **REVIEW** the Section 106 Effects Meeting Checklist



SECTION 106 EFFECTS MEETING CHECKLIST

BEFORE THE MEETING

- ☐ **SCHEDULE AND ATTEND** a pre-effects meeting* with NCDOT Historic Architecture (HA)
*See the Section 106 Pre-Effects Meeting Checklist
- ☐ **UPDATE MAPPING** as needed per NCDOT HA request in the Pre-Effects meeting
- ☐ **PREPARE ADDITIONAL INFORMATION** as needed per NCDOT HA request, such as:
 - Visualizations
 - Quantification of impacts (e.g., retaining wall height, utility and right-of-way required)
 - Potential measures to avoid, minimize, and mitigate impacts (e.g., design changes, material choice, landscaping)

DURING THE MEETING

Note: The effects meeting will be led by a member of the NCDOT HA team, with a representative from the NC State Historic Preservation Office (SHPO) and lead Federal agency in attendance.

- ☐ **ATTENDEES** should include the Project Manager as well as specialist personnel as needed to address questions (e.g., roadway and structure design, hydraulics, geotech, utilities)
- ☐ **PRESENT RELEVANT INFORMATION** about the project and its potential impacts to historic resources. At a minimum, the effects presentation should include the following information:
 - ☐ Briefly describe the project (verbal is acceptable)
 - ☐ Show project plans with all alternatives within the APE
 - ☐ Show maps of project design files and historic resources with aerial imagery
 - ☐ Discuss all potential physical, visual, or auditory effects on historic resources
 - ☐ Discuss all options pursued to minimize, avoid, or mitigate historic resource impacts

AFTER THE MEETING

- ☐ **ASSESSMENT OF EFFECTS FORM** is prepared by NCDOT HA at the conclusion of the Effects meeting to document the effect on historic resources of each project alternative
 - Potential outcomes are No Effect, No Adverse Effect, and Adverse Effect
- ☐ **IF THE PROJECT GENERATES A FINDING OF ADVERSE EFFECT, NCDOT HA staff will:**
 - ☐ Prepare a Finding of Adverse Effect document to transmit to the lead Federal agency
 - ☐ Develop a Memorandum of Agreement; discussion begins at the Effects meeting
 - ☐ Continue Section 106 consultation with SHPO
 - Includes developing mitigation measures related to project design and/or external to project design (e.g., additional documentation of historical research)
- ☐ **MONITOR DESIGN CHANGES** to ensure that the project does not further impact historic resources or extend beyond the current APE (regardless of effects determination)
 - ☐ Submit design changes within or adjacent to historic resources, or changes in the project APE, to NCDOT HA to determine if additional effects consultation is needed