

Coordination of Historic Resources – USACE Lead Agency

Project Development and
Environmental Analysis Branch



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Purpose

The purpose of the procedure is to detail the process that will be followed for historic resources coordination on state-funded projects in which the US Army Corps of Engineers (USACE) is the lead federal agency. The procedure covers both new location and widening projects.

Responsibility

Requests for Cultural Resources coordination come from both the PDEA Project Planning Engineers and Division Personnel. The requestor is responsible for submitting the EIR in a timely manner and at the different phases, if needed. Cultural resource surveys are needed only if the Historic Preservation Office recommends them in their scoping comments.

The Human Environment Unit -Cultural Resources Groups are responsible for completing the surveys and coordination with both the State Historic Preservation Office (HPO) and the USACE.

Scheduling and Time Constraints

The scheduling and time constraints for various activities is project specific, but will follow the general process for either Merger or non-Merger projects.

Procedures

New Location

[Historic Architecture
Investigations](#)

[Archaeology
Investigations](#)

Widening

[Historic Architecture
Investigations](#)

[Archaeology
Investigations](#)

Procedure 1: Historic Architecture Investigations – New Location

NOTE: Request Historic Architecture surveys only if the Historic Preservation Office recommends them in their scoping comments.

- Step 1.** The requestor will submit an Environmental Input Request (EIR) for surveys on the detailed study alternatives to the Historic Architecture Group after Concurrence Pt. 2 (CP 2), or the non-merger equivalent, has been completed. The location of available mapping will be noted on the submittal as well as providing hard copies. Refer to [Requesting Environmental Input Data from NEU and HEU](#) procedure for additional information.
- Step 2.** The Historic Architecture Project Manager (HA-PM) will schedule field surveys for the project. All project study corridors will be included in the initial Area of Potential Effects (APE) for Section 106 resources. A Building Inventory will be completed summarizing the survey results along with corresponding mapping showing the location of the sites.
- Step 3.** The HA-PM will schedule a Preliminary Eligibility Screening with the State Historic Preservation Office (HPO). At this meeting, NCDOT and HPO will discuss the building inventory using the map from Step 2 and photos taken of each site. NCDOT and HPO will concur on which sites are not eligible and can be eliminated from further study. If all sites on the building inventory are eliminated, then no additional studies will be required.
- Step 4.** The HA-PM will prepare a memo to the requestor stating the results of the meeting.
- Step 5.** The HA-PM will prepare the APE Form ([future link](#)) to take to the CP 3 meeting. The form will list all of the jurisdictional sites for reference. Additionally, a map showing the jurisdictional areas will be prepared. The HA-PM can either choose to produce this mapping or request the resources to be added to mapping or plans that will be taken to the CP 3 meeting.

Note: Known or potential archaeological resources will also be noted on the same form and map. Please coordinate with the AG-PM.
- Step 6.** At the CP 3 meeting where concurrence on the LEDPA is obtained, the HA-PM will hand the APE Form to the USACE Project Manager (USACE-PM) to fill out once the meeting has ended. The USACE-PM will decide if the permit areas are to include the areas in and adjacent to the jurisdictional crossings or include more of the project area (as defined in 33 CFR 325, Appendix C). The completed form will generally define the permit area(s) for the project and hence the final APE. If necessary, there can be informal discussion as needed since NEU and HPO staff will also be at the meeting.
- Step 7.** For non-merger projects, the HA-PM will contact the USACE-PM once the preferred alternative corridor is selected to determine whether to have a meeting or coordinate via mail/email/phone calls to determine if the permit areas are to include the areas in and adjacent to the jurisdictional crossings or include more of the project area.
- Step 8.** If jurisdictional sites are located within the permit area(s), the requestor will submit another EIR to HA to schedule an effects meeting with HPO. NCDOT, USACE and HPO will determine the effects on any eligible sites within the corridor and complete a memorandum of agreement (MOA), as necessary.

Procedure 2: Archaeology Investigations – New Location

NOTE: Request Archaeological surveys only if the Historic Preservation Office recommends them in their scoping comments.

Step 1. The requestor will submit an Environmental Input Request (EIR) for surveys on the detailed study alternatives to the Archaeology Group after Concurrence Pt. 2 (CP 2), or the non-merger equivalent, has been completed. The location of available mapping will be noted on the submittal as well as providing hard copies. Refer to [Requesting Environmental Input Data from NEU and HEU](#) procedure for additional information.

Step 2. The Archaeology Group Project Manager (AG-PM) will meet with the Office of State Archaeology (OSA) to review the project maps. All project study corridors will be included in the initial APE for Section 106 resources. At the meeting they will discuss:

- known sites
- site probabilities
- field methods to employ

NCDOT will also ask for concurrence on deferring surveys until after the LEDPA, or the non-merger equivalent, has been chosen.

Step 3. If OSA does not agree to wait until the LEDPA/preferred alternative to initiate surveys, the AG-PM will:

- schedule to survey all corridors necessary to aid in reaching a decision on LEDPA/preferred alternative
- produce a Technical Report discussing the results of the field surveys
- send the Technical Report for agency review and comment

The review agencies will return either written comments or concurrence on the findings of the report. Once the report has been finalized, the AG-PM will distribute the report as required.

Step 4. If OSA does agree to defer surveys, the AG-PM will prepare the APE Form ([future link](#)) to take to the CP 3 meeting. The form will list all of the jurisdictional or potential jurisdictional sites for reference. Additionally, a map showing the jurisdictional areas will be prepared. The AG-PM can either choose to produce this mapping or request the resources to be added to mapping or plans that will be taken to the CP 3 meeting.

Note: Eligible historic architectural sites will also be noted on the same form and map. Please coordinate with the HA-PM.

Step 5. At the CP 3 meeting where concurrence on the LEDPA is obtained, the AG-PM will hand the APE Form to the USACE-PM to fill out once the meeting has ended. The USACE-PM will decide if the permit areas are to include the areas in and adjacent to the jurisdictional crossings or include more of the project area (as defined in 33 CFR 325, Appendix C). The completed form will generally define the permit area(s) for the project and hence the final APE. If necessary, there can be informal discussion as needed since NEU and HPO staff will also be at the meeting.

Step 6. For non-merger projects, the AG-PM will contact the USACE-PM once the preferred alternative corridor is selected to determine whether to have a meeting or

coordinate via mail/email/phone calls to determine if the permit areas are to include the areas in and adjacent to the jurisdictional crossings or include more of the project area.

Step 7. Once the APE Form has been completed, the AG-PM will:

- schedule field surveys on the indicated permit area(s) for the LEDPA/preferred alternative.
- produce a Technical Report discussing the results of the field surveys
- send the Technical Report for agency review and comment

The review agencies will return either written comments or concurrence on the findings of the report. Once the report has been finalized, the AG-PM will distribute the report as required.

Step 8. If jurisdictional sites are located within the permit area(s), the requestor will submit another EIR to AG to schedule an effects meeting with HPO. NCDOT, USACE and HPO will determine the effects on any eligible sites within the corridor and complete an MOA as necessary.

Procedure 3: Historic Architecture Investigations – Widening Projects

NOTE: Request Historic Architecture surveys only if the Historic Preservation Office recommends them in their scoping comments.

Step 1. The requestor will submit an EIR to the Historic Architecture Group requesting surveys on the proposed project corridor after the Citizens Informational Workshop (CIW). The request will note the location of available mapping as well as submitting hard copies of the mapping with the request. Refer to [Requesting Environmental Input Data from NEU and HEU](#) procedure for additional information.

Step 2. The HA-PM will schedule field surveys on the proposed project corridor, which defines the initial Area of Potential Effects (APE) for Section 106 resources. If there are multiple corridors, each corridor will be included in the APE. A Building Inventory will be completed summarizing the survey results along with corresponding mapping showing the location of the sites.

Step 3. The HA-PM will schedule a Preliminary Eligibility Screening with the HPO. At this meeting, NCDOT and HPO will discuss the building inventory using the map from Step 2 and photos taken of each site. NCDOT and HPO will concur on which sites are not eligible and can be eliminated from further study. If all sites on the building inventory are eliminated, then no additional studies will be required.

Step 4. The HA-PM will prepare a memo to the requestor stating the results of the meeting.

Step 5. The HA-PM will prepare the APE Form ([future link](#)) to take to the CP 2 meeting. The form will list all of the jurisdictional sites for reference. Additionally, a map showing the jurisdictional areas will be prepared. The HA-PM can either choose to produce the mapping or request the resources to be added to mapping or plans that will be taken to the CP 3 meeting.

Note: Known or potential archaeological resources will also be noted on the same form and map. Please coordinate with the AG-PM.

Step 6. At the CP 2 meeting where concurrence on the Detailed Study Alternatives is obtained, the HA-PM will hand the APE Form to the USACE-PM to fill out once the meeting has ended. The USACE-PM will decide if the permit areas are to include the areas in and adjacent to the jurisdictional crossings or include more of the

project area (as defined in 33 CFR 325, Appendix C). The completed form will generally define the permit area(s) for the project and hence the final APE. If necessary, there can be informal discussion as needed since NEU and HPO staff will also be at the meeting.

- Step 7.** For non-merger projects, the HA-PM will contact the USACE-PM once the final set of study alternatives is selected to determine whether to have a meeting or coordinate via mail/email/phone calls to determine if the permit areas are to include the areas in and adjacent to the jurisdictional crossings or include more of the project area.
- Step 8.** If jurisdictional sites are located within the permit area(s), the requestor will submit another EIR to HA to schedule an effects meeting with HPO. NCDOT, USACE and HPO will determine the effects on any eligible sites within the corridor and complete a memorandum of agreement (MOA), as necessary.

Procedure 4: Archaeological Investigations – Widening Projects

NOTE: Request Archaeological surveys only if the Historic Preservation Office recommends them in their scoping comments.

Step 1. The requestor will submit an EIR to the Archaeology Group requesting surveys on the proposed project corridor after the CIW. The request will note the location of available mapping as well as submitting hard copies of the mapping with the request. Refer to [Requesting Environmental Input Data from NEU and HEU](#) procedure for additional information.

Step 2. The AG-PM will meet with OSA to review the project map of the proposed corridor. If there is more than one corridor, then all corridors will be included in the initial APE for Section 106 resources. At the meeting they will discuss:

- known sites
- site probabilities
- field methods to employ

NCDOT will also ask for concurrence on deferring surveys until after the LEDPA, or the non-merger equivalent, has been chosen.

Step 3. If OSA does not agree to wait until the LEDPA/preferred alternative to initiate surveys, the AG-PM will:

- schedule to survey the proposed project corridor(s)
- produce a Technical Report discussing the results of the field surveys
- send the Technical Report for agency review and comment

The review agencies will return either written comments or concurrence on the findings of the report. Once the report has been finalized, the AG-PM will distribute the report as required.

Step 4. If OSA does agree to defer surveys, the AG-PM will prepare the APE Form (future link) to take to the CP 2 meeting. The form will list all of the jurisdictional or potential jurisdictional sites for reference. Additionally, a map showing the jurisdictional areas will be prepared. The AG-PM can either choose to produce this mapping or request the resources to be added to mapping or plans that will be taken to the CP 3 meeting.

Note: Eligible historic architectural sites will also be noted on the same form and map. Please coordinate with the HA-PM.

- Step 5.** At the CP 2 meeting where concurrence on the Detailed Study Alternatives is obtained, the AG-PM will hand the APE Form to the USACE-PM to fill out once the meeting has ended. The USACE-PM will decide if the permit areas are to include the areas in and adjacent to the jurisdictional crossings or include more of the project area (as defined in 33 CFR 325, Appendix C). The completed form will generally define the permit area(s) for the project and hence the final APE. If necessary, there can be informal discussion as needed since NEU and HPO staff will also be at the meeting.
- Step 6.** For non-merger projects, the AG-PM will contact the USACE-PM once the final set of study alternatives is selected to determine whether to have a meeting or coordinate via mail/email/phone calls to determine if the permit areas are to include the areas in and adjacent to the jurisdictional crossings or include more of the project area.
- Step 7.** Once the APE Form has been completed, the AG-PM will:
- schedule field surveys on the indicated permit area(s) for the LEDPA/preferred alternative
 - produce a Technical Report discussing the results of the field surveys
 - send the Technical Report for agency review and comment
- The review agencies will return either written comments or concurrence on the findings of the report. Once the report has been finalized, the AG-PM will distribute the report as required.
- Step 8.** If jurisdictional sites are located within the permit area(s), the requestor will submit another EIR to AG to schedule an effects meeting with HPO. NCDOT, USACE and HPO will determine the effects on any eligible sites within the corridor and complete a MOA as necessary.
- Step 9.** The AG-PM will conduct surveys on permit area(s) and provide them to the USACE-PM for consultation with the HPO/OSA. Then NCDOT will work with the USACE-PM and the HPO to determine effects on any eligible sites and complete a MOA as necessary.

Background

The USACE is often the lead agency for state funded projects and, therefore, is responsible for ensuring compliance with a number of laws and regulations, including Section 106. NCDOT has been directed to initiate surveys for Section 106 resources once the USACE has determined the Area of Potential Effects (APE). However, waiting until later in the project development process can often jeopardize the project schedule, especially if a Memorandum of Agreement (MOA) is required to be submitted and coordinated through the National Advisory Council. This process is the result of a collaborative effort between NCDOT and USACE to move projects through the project development process more efficiently. The process is centered around either conducting surveys early on all project corridors (as with Historic Architecture investigations) or by requesting permission to defer conducting surveys until the LEDPA/Preferred Alternative has been chosen (as with Archaeological investigations). For both types of resources, the final APE and any effects calls occur later in the process.

Policy, Regulatory, and Legal Requirements

[33 CFR 325, Appendix C](#)

[Guidelines for Coordinating with USACE – State Funded Projects](#)

Warnings and Precautions

For non-FHWA projects that have more than one federal agency it is important to clearly establish in writing the lead federal agency for section 106 purposes. When archaeological surveys are required for either new location or widening at least six months will be required to complete the investigations.

Resources and Tools

- APE Form ([future link](#))

Contacts

- For suggestions to change this procedure contact: Karen Capps (919) 431-2003
- For questions about performing this procedure contact: Mary Pope Furr (919) 431-1616, and Matt Wilkerson (919) 431-1609

User Access

- Restricted NCDOT, FHWA, MPO, RPO, Consultants, etc.

Flowchart

- None