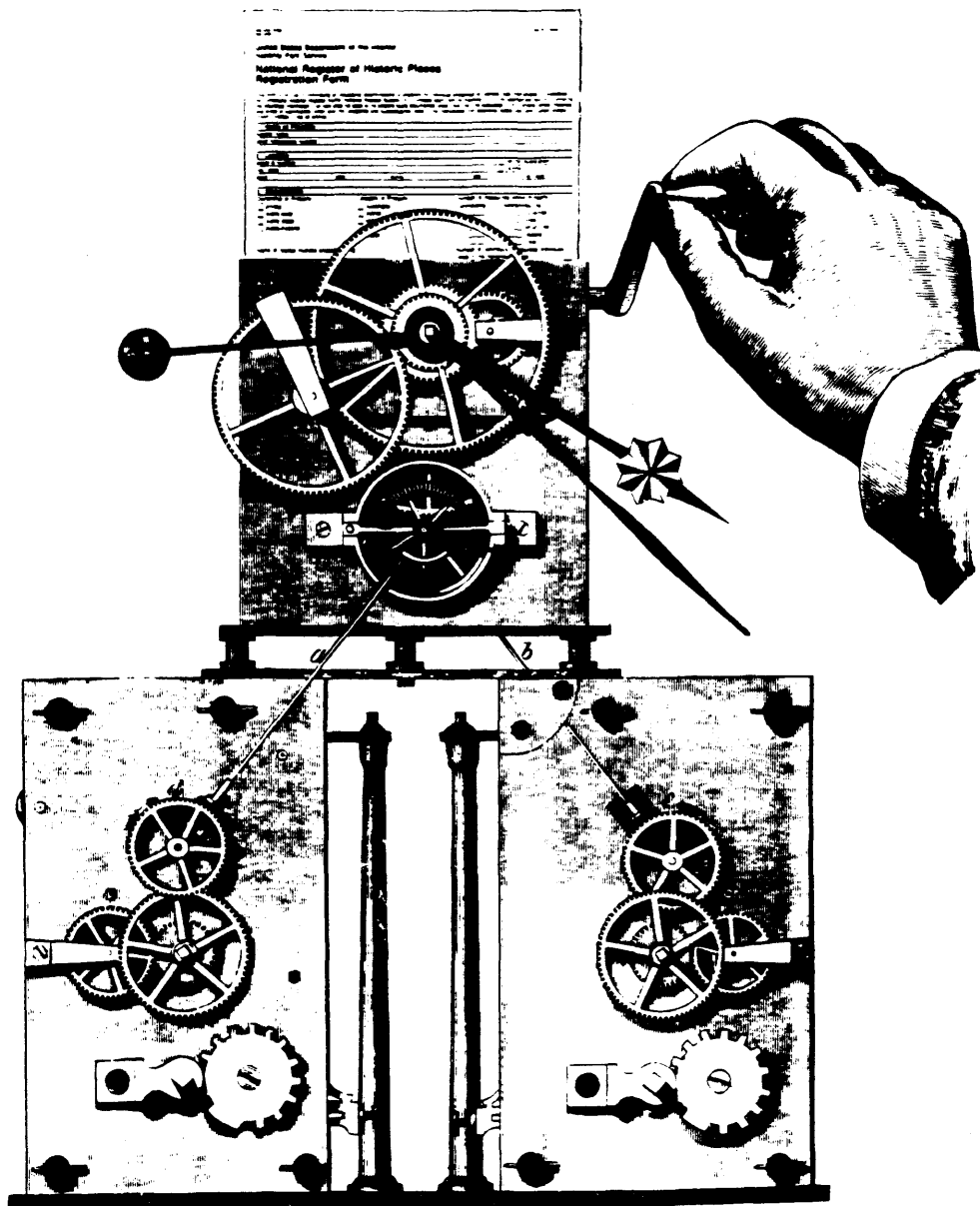


NATIONAL REGISTER BULLETIN

Technical information on comprehensive planning, survey of cultural resources, and registration in the National Register of Historic Places.

U.S. Department of the Interior
National Park Service
Interagency Resources Division

POLICIES AND PROCEDURES FOR PROCESSING NATIONAL REGISTER NOMINATIONS



July 1986
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I. INTRODUCTION

This National Register Bulletin outlines the procedures and policies for processing nominations that have evolved to address the need for more consistent property documentation. The National Register of Historic Places is the primary vehicle for establishing the qualification of historic and archeological properties for several official purposes. The expansion of the National Register as the basic property evaluation record has increased demand for consistent and complete nominations. This bulletin will:

- 1) explain procedures for processing nominations that have been adopted to address the changing function of the National Register list of properties; and
- 2) describe common documentation problems and how they are addressed.

The goal of National Register nomination review is to ensure that documentation is internally consistent and clearly depicts the significance of the property.

II. PROCEDURES FOR REVIEWING NOMINATIONS

The National Register nomination review process is outlined in the accompanying chart. All nominations are logged in upon receipt and listed in the National Register within 45 days, unless they do not meet documentation requirements or criteria for evaluation. Generally, the Keeper will not list nominations until the end of the 45 day period.

There are two levels of review outlined in the following subsections. The first subsection discusses the initial review of essential administrative and technical information which all nominations receive. The second subsection explains conditions under which a detailed evaluation of nomination documentation is provided.

A. Initial Review for Administrative and Technical Information

All nominations receive an initial review to ensure that essential administrative and technical information has been provided. This initial review occurs when data from nominations are entered into the National Register Information System (NRIS) data base. Data are now entered into the NRIS as soon as nominations are received, rather than after properties are listed in the National Register. Initial, or NRIS, review focuses on the completeness of the nomination and its supporting documentation, and on its internal consistency. As a result, all nominations are subjected to more thorough screening, and those with potential documentation problems now are more likely to be identified for detailed evaluation in addition to those routinely selected for quality control monitoring.

Following initial NRIS review, nominations may be:

- 1) forwarded to a National Register reviewer for detailed evaluation;
- 2) listed in the National Register; or
- 3) returned to the nominator.

While every nomination receives an NRIS review, a more detailed evaluation of nomination documentation is conducted only under certain conditions.

B. Detailed Evaluation of Nomination Documentation

Detailed evaluation monitors a State or Federal nominating authority's performance in applying the criteria for evaluating resources and in meeting the documentation standards. Nominations meeting any of the following conditions generally will receive a detailed evaluation:

- 1) Properties representing a programmatic issue currently under study by the Keeper;
- 2) A sample of nominations chosen for monitoring State or Federal programs;
- 3) When so requested by the nominating authority;
- 4) All appeals (36 CFR 60.12);
- 5) All Determinations of Eligibility due to owner objection to listing (36 CFR Part 60.6 (s));
- 6) Submissions from individuals or Certified Local Governments in States without approved preservation programs;
- 7) When NRIS review identifies documentation requiring further professional review; or,
- 8) All resubmitted nominations originally returned for failure to meet documentation standards or problems in applying the criteria for evaluation.

III. DISPOSITION OF THE NOMINATION

The majority of submitted nominations meet the National Register criteria and documentation standards and are listed. When nominations documenting properties that do not meet the criteria for evaluation are submitted, they are rejected, and a letter explaining the decision is sent to the nominating authority.

There are two possible dispositions of nominations in which documentation standards are not met:

- 1) If the documentation problem affects the outcome of evaluating the eligibility of the resource, the nomination will be returned with an explanation of the sections of documentation needing review; or
- 2) If the documentation is sufficient to evaluate the eligibility of the resource, but contains minor problems, a **Supplementary Listing Record** (See Attachment A) will be

prepared by the National Register staff and the nomination will be listed.

The **Supplementary Listing Record (SLR)** is used to ensure clear, consistent documentation while facilitating the registration process. The SLR is a modified National Register continuation sheet that becomes part of the nomination. It will be used only in cases where the National Register staff can clarify the documentation question by a telephone consultation with the nominating authority. When an SLR is issued, a copy will be sent to the nominating authority for inclusion in the documentation file for the property. As with other nominations, nominating authorities may amend the listing with new documentation following the issuance of an SLR if they choose.

There are two circumstances when the SLR may be used during the listing process:

- 1) For issues that can be clarified through a telephone consultation; for example, missing acreage or incomplete UTM coordinates that can be verified easily; and
- 2) When the nomination does not conform to National Register Bulletin 16, "Guidelines for Completing National Register of Historic Places Forms." Often these matters may be incidental to resource evaluation; for example, if construction materials for structural elements were listed in Section 7, this would provide an inaccurate characterization of the property, since this section of the form deals only with exterior materials.

Specific documentation issues for which the SLR may be used are indicated in the next section. In all cases, the Keeper retains discretion on whether an SLR is issued, or the nomination returned.

IV. DOCUMENTATION ISSUES

All sections of the nomination form must be completed. Each item must be addressed, or an option chosen, as appropriate. If the information requested on the form does not apply to the property, "N/A" entered in the appropriate space is required. A nomination will not be returned if the information on description, significance, and boundaries is found elsewhere in the nomination than in the section designated for this purpose.

Listed below are the most common documentation issues which cause an SLR to be prepared, or a nomination to be returned. The issues are presented as they appear in the new nomination form. The National Register will continue to accept nominations submitted on the old form until October 1, 1988, but some of the guidance provided in this publication involves issues introduced for the first time on the new nomination form. Processing issues unique to multiple property submissions are not addressed in this edition of Bulletin 19.

Items that have "SLR/RETURN" indicated in the ACTION/COMMENT column are issues that generally will be handled with a Supplementary Listing Record but, in some cases, may be reasons for returns. Items marked "SLR" in the ACTION/COMMENT column are issues involving incorrect application of the guidelines in Bulletin 16 for filling in data on the registration form. These generally are not considered reasons for returning a nomination, but will cause a Supplementary Listing Record to be issued to clarify the documentation. The remaining items are sufficient reasons for returns; a Supplementary Listing Record would be issued for these items only in rare circumstances.

SECTION	ISSUE	ACTION/COMMENT
PRESENTATION	. Correction fluid or strips used	RETURN. Corrections may be made with these, but pages should then be photocopied on archival paper.
	. Photocopies not smudge-proof	RETURN
	. Nomination not clearly legible	RETURN
3. CLASSIFICATION	. Count of contributing and noncontributing resources ambiguous	SLR/RETURN
	. Count not supported by information in the text	RETURN
	. More than one resource category chosen	SLR
	. Incorrect resource category chosen	SLR
4. CERTIFICATION	. State includes Federal property with no evidence that FPO was notified	RETURN
	. State nominates a predominantly Federal property, and the FPO does not sign as commenting official	RETURN
	. Federal nomination submitted without indication that SHPO had opportunity to comment	RETURN
	. Original signature not included	RETURN
	. Unauthorized signature	RETURN

SECTION	ISSUE	ACTION/COMMENT
6. FUNCTION	. Predominant function not indicated for complex resources	SLR
	. Function listed is not included in Bulletin 16	SLR
	. Function listed is not consistent with the text	SLR
	. Function listed for resource that is no longer extant	SLR
	. Historic functions listed are outside of the period of significance	SLR
	. Projected usage listed for current function	SLR
7. DESCRIPTION Architectural Classification	. Predominant styles or stylistic derivatives are not indicated for complex resources	SLR
	. Style or stylistic derivative too long to fit in write-in field	SLR
	. Entry is descriptive only, not a style, e.g., "vernacular" or "eclectic"	SLR
	. Style or stylistic derivative given is no longer visible due to alterations	SLR/RETURN
	. Style or stylistic derivative given is incorrect	SLR/RETURN
7. DESCRIPTION Materials	. Materials listed are inconsistent with text	SLR
	. Predominant materials are not indicated	SLR
	. Materials listed are for artifacts or other items that are not part of a constructed feature	SLR
	. Materials indicated are not appropriate for resource, e.g., "walls" for a steel suspension bridge	SLR
	. Materials listed are not included in Bulletin 16	SLR
	. Interior and structural materials are listed	SLR

SECTION	ISSUE	ACTION/COMMENT
7. DESCRIPTION Descriptive Text	<ul style="list-style-type: none"> . A list, and/or coded maps, and/or chart of all contributing and noncontributing resources is not provided. 	RETURN if not included in one of these formats.
	<p>The physical characteristics and historic significance of either individual resources or groups of resources considered contributing or noncontributing are not identified.</p>	RETURN
	<ul style="list-style-type: none"> . Incorrect classification of contributing/noncontributing resources 	SLR/RETURN
	<ul style="list-style-type: none"> . Dates of construction and major alterations not provided 	SLR/RETURN
	<ul style="list-style-type: none"> . Description inadequate to assess resource, or does not include all major and/or significant features. 	RETURN for clarification and justification if the property described does not appear to correspond to the photographs provided, or the information is inadequate to assess the resource.
	<ul style="list-style-type: none"> . Description inadequate to evaluate secondary resources, additions, wings and other portions of buildings that contribute to the significance of the resource or detract from its historic integrity 	RETURN if photographs and/or maps indicate that significant ancillary resources are included in the boundaries or that major alterations have been made to the main resource, and they are not mentioned and described in the text.
	<ul style="list-style-type: none"> . The impact of major alterations and additions is not documented, nor is the impact of these changes on the significant features of the resource evident from the text or photographs. 	RETURN
	<ul style="list-style-type: none"> . An assessment that the resource retains integrity from the period of significance (as defined in Section 8) has not been made. 	This assessment may appear in Section 8 rather than in Section 7. RETURN if not included in either place.

SECTION	ISSUE	ACTION/COMMENT
7. DESCRIPTION (continued)	. The unifying characteristics among resources in a district are not described.	RETURN. This is particularly important for archeological sites where the relationship of the components of a district may not be readily distinguishable.
8. SIGNIFICANCE	. No statement of significance, or the statement is inadequate to define the significance of the resource.	RETURN
	. Each criterion is not justified	RETURN
	. All criteria exceptions which apply to the resource under consideration are not justified	RETURN
	. Each area of significance is not justified	RETURN. Significance must be established beyond mere function, as outlined in the narrative history of a property, or beyond identification of a resource as older than 50 years
	. Each period of significance is not justified	RETURN
	. No relationship between criteria and chosen areas of significance	RETURN. For example, if areas of significance that relate to events-- such as commerce or transportation--are chosen, criterion A or B (or in some cases D) must be indicated and justified.
	. Periods of significance do not correspond to criteria and areas of significance	RETURN
	. Criteria and areas of significance are documented and justified, but not accurately reflected by areas or criteria chosen.	SLR

SECTION	ISSUE	ACTION/COMMENT
8. SIGNIFICANCE (continued)	. Significance is not directly related to the resource. A context within which the significance of the resource can be evaluated has not been established.	RETURN. It is not sufficient for a nomination to indicate that a property was connected to the events or themes given as context; the nomination must demonstrate why the resource is <u>significant</u> within this context.
	. An assessment that the resource retains integrity from the period of significance (as defined in Section 8) has not been made.	This assessment may appear in Section 7 rather than in Section 8. RETURN if not included in either place.
	. For properties meeting Criterion D, potential research topics are not described and justified as significant, and the nomination does not discuss whether the resource will provide information to address the topics.	RETURN
8. SIGNIFICANCE Areas of Significance	. Areas of significance listed are not included in Bulletin 16. (If "Other" is given for an area of significance, an appropriate area may be chosen from the list.)	SLR/RETURN
8. SIGNIFICANCE Cultural Affiliation	. No cultural affiliation or general time period is provided for Criterion D	SLR/RETURN
8. SIGNIFICANCE Significant Person	. No significant person is given for Criterion B	SLR/RETURN
	. Significant person is listed and justified without Criterion B being specified	SLR
	. A family or group is listed for Criterion B without the justification of individual contributions	RETURN
	. Several people are discussed and justified as significant without any indication whether there is a <u>most</u> significant person, or whether they are all of equal significance.	SLR

SECTION	ISSUE	ACTION/COMMENT
8. SIGNIFICANCE (continued)	. Architect/Builder is listed as the significant person for other than the home, studio, or other property eligible under Criterion B for this association	SLR/RETURN. Significant works by the architect are eligible under Criterion C as works of a master.
8. SIGNIFICANCE Architect/ Builder	. Full name of the architect/builder is not provided (e.g., "Smith", "Winters")	SLR. If the full name is not known, enter "Unknown".
	. Person who commissioned the building of the property, rather than the actual builder, is listed	SLR
	. If more than two architects/builders listed, most important was not specified	SLR
9. BIBLIOGRAPHICAL REFERENCES	. Incorrect box checked for Previous Documentation on file	SLR
	. The bibliography is not sufficient to illustrate that scholarly research was conducted to develop the context and support the claims of the nomination.	RETURN
10. GEOGRAPHICAL DATA	. Acreage given in measurement other than acres	SLR/RETURN
	. Acreage not given to nearest acre	SLR/RETURN
	. Acreage inaccurate	SLR/RETURN
	. No UTM's are provided	SLR/RETURN. Latitude and longitude coordinates are accepted if a USGS map with the UTM ticks is not available.
	. At least 3 UTM's not provided for property of 10 or more acres	SLR/RETURN
	. UTM's inaccurate	SLR/RETURN
	. UTM's incomplete	SLR/RETURN

SECTION	ISSUE	ACTION/COMMENT
10. GEOGRAPHICAL DATA (continued)	. Verbal boundary description (VBD) or scaled sketch map is not provided	SLR/RETURN. USGS maps with boundaries clearly indicated are accepted as substitutes in the case of archeological sites and other resources encompassing large areas.
	. Boundaries are not clearly defined, either with a VBD or maps (If a sketch map is used for the VBD, it must be drawn to a scale of at least 1 inch equals 200 or less feet)	RETURN. Vague legal references, such as "1/2 of lot 4" that do not actually locate the resource, are not acceptable.
	. Boundary lines are not fixed at definable permanent features, such as survey lines, property lines, a major road, or, in the case of archeological or large rural resources, UTM references.	RETURN
	. Boundaries of the nominated property are not delineated to include all of the eligible resources and the nominated area is not a distinguishable, eligible entity.	RETURN
	. Boundary includes extensive, unjustified acreage; buffer zones are not accepted.	RETURN. Rural properties often may contain large areas and these should be addressed in the nomination. Features of the land should be described and evaluated, and the inclusion of the land should be justified. "Buffer zones" are not accepted.
	. Boundaries are drawn through buildings or structures; for example, to exclude non-contributing additions.	RETURN. Portions of buildings and structures are not listed in the National Register.

SECTION	ISSUE	ACTION/COMMENT
10. GEOGRAPHICAL DATA (continued)	. Boundaries of the resource are not justified. The more complicated the resource, the more explicit the justification must be.	RETURN. For single resources, the property lines of historic association will suffice as an explicit justification. For districts that appear to include areas with a high concentration of noncontributing resources that easily could have been excluded, the nomination is returned for explicit justification. Discontiguous districts are particularly complicated and require a clear, explicit justification.
11. ACCOMPANYING DOCUMENTATION Maps	. A USGS map with the location of the property and UTM references indicated not provided	RETURN
	. Sketch map not included for districts, archeological site, or other complicated resource	RETURN
	. Sketch map does not convey a sense of relative proportion or the relationship of resources to each other is not evident from other parts of the documentation	RETURN. Graphic scales are recommended.
	. For boundary increases and decreases, a new USGS map showing the complete boundaries is not provided	RETURN. The old and the new boundaries should be distinguished. UTM coordinates for the addition should be provided.
12. PHOTOGRAPHS	. Photographs not adequate to illustrate present appearance of the resource, including major features and alterations	RETURN.
	. Photographs do not provide a clear view of the resource	RETURN
	. Photographs in color only, with no black and white	RETURN
	. Major photographs not at least 3 x 5	RETURN. 8 X 10 photographs are preferred.

SECTION	ISSUE	ACTION/COMMENT
12. PHOTOGRAPHS (continued)	. Photographs not labeled according to the instructions in Bulletin 16	SLR/RETURN
	. General streetscapes or views, as appropriate, not provided for districts	RETURN
	. Photographs of representative resources in district not provided and street-scapes do not illustrate adequately the architectural qualities and varieties of style.	RETURN
	. Sketch maps and photographs not keyed to each other and clearly related to the description	RETURN
	. In the case of non-archeological resources, photos do not depict changes to significant features mentioned in the description.	RETURN

V. REVISING NOMINATIONS

To enhance the integrity of the National Register as the primary listing record, States are encouraged to revise the documentation of old listings using the procedures outlined in National Register Bulletin 8, "Use of Nomination Documentation in the Part 1 Certification Process."

All National Register listings have recently been compared to current documentation standards and, when necessary, a record was made of needed clarifications. These records of problems are being provided to nominating authorities as a recommended starting point for documentation revisions.

Revision of previously listed property documentation is not included in nomination audits for State Program Review.

VI. THE NATIONAL REGISTER AND TAX ACT CERTIFICATIONS

At the time of nomination and listing, the significance and integrity of each contributing resource usually is not evaluated. Extensive documentation on each contributing property is not required for National Register purposes. Therefore, the Part 1 application must document whether the building for which certification is sought contributes to the area(s) and period(s) of significance as defined in the nomination's statement of significance. If the building at issue does not fall within these parameters, then the nomination must be revised according to existing procedures in order for the building to be certified as contributing. Nominations are revised either by:

- 1) the procedures established in 36 CFR 60.6; or
- 2) issuance of an SLR.

In some instances, the documentation in a National Register nomination may list a building as contributing, but the detailed documentation submitted with a Part 1 application may not support a contributing designation. An SLR is used during the Part 1 certification process when the NPS regional office staff concludes that a certain claim in the National Register documentation, such as an area of period of significance or the designation of contributing resources is not justified by the nomination. For example, this situation often occurs when nomination documentation has not been recently reviewed.

A. Procedures for Use of the SLR During Part 1 Certification

If the NPS regional office staff concludes that claims made in the registration documentation are not supported, the following procedures are followed.

- 1) The regional office forwards to the National Register:
 - a) the Part 1 application and supporting documentation

- b) a description of the inconsistencies between the Part 1 application and the National Register nomination
- 2) Upon forwarding the application, the regional office notifies the applicant and the SHPO that they have requested review and issuance of an SLR, and that the Part 1 will not be issued until a decision is made concerning whether the listing documentation will be amended.
- 3) The Keeper of the National Register, or his designee, decides within 30 days of receipt of application materials forwarded by the NPS regional office whether this information supports a nomination amendment.
 - a) If the documentation supports a nomination amendment, an SLR is issued, usually based on the information in the Part 1 application, and copies of the amendment are forwarded to the SHPO and the regional office.
 - b) Alternatively, if an amendment is not supported, the Keeper will let the nomination record stand and return the material to the regional office with an explanation.
- 4) The Regional Office issues the Part 1 certification.

B. Effect of SLRs Issued During Part 1 Certification

The SLR can either change the scope of the nomination by amending the criteria, periods, or areas of significance of the listed property, or, it can make an adjustment such as changing the contributing/noncontributing status of a component of the listed property. The changes to the scope of the nomination will apply only to certification requests received after the nomination has been officially amended by the SLR; the contributing/noncontributing status change will apply to the certification request that gave rise to the regional office's request for an SLR.

While the Keeper may decide to amend the areas and periods of significance in the nomination by issuing an SLR, an owner who has relied on the areas and periods of significance outlined in the current documentation will not be penalized in the certification process. If an SLR amending the scope of a nomination is issued during the Part 1 certification process, the regional office shall act on the Part 1 certification application consistent with the original nomination. Part 1 certification decisions based on the amended periods and areas of significance will apply only to those certification applications received after the nomination amendment is processed by the National Register, and the SHPO and NPS regional office are notified that the nomination has been officially amended by the SLR.

Because an evaluation of the designation of contributing resources is not essential to listing a nomination, the NPS does not make a determination concerning the significance and integrity of individual properties prior to listing. If the SLR does not amend the scope of the nomination but addresses

the designation of contributing resources, the regional office shall act on the Part 1 certification application consistent with the nomination as amended.

An applicant still may appeal an NPS certification decision made following the issuance of an SLR. Such an appeal should be made to the Chief Appeals Officer in accordance with the process outlined in 36 CFR 67. The Keeper of the National Register has delegated authority to the Chief Appeals Officer to make final decisions on nomination amendments arising through the tax certification appeals process.

Because the primary responsibility for amending nominations lies with the SHPOs, the procedures outlined for use of the SLR during the tax certification process does not apply to cases where the SHPO intends to revise the nomination. If the State provides written assurance that a nomination is being revised, and the applicant's certification request includes adequate documentation to support the revision, the NPS regional office may issue a preliminary Part 1 certification. Final certification is contingent upon completing the nomination revision.

United States Department of the Interior
National Park Service

National Register of Historic Places Continuation Sheet

Section number _____ Page _____

SUPPLEMENTARY LISTING RECORD

NRIS Reference Number: _____ Date Listed: _____

Property Name	County	State
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This property is listed in the National Register of Historic Places in accordance with the attached nomination documentation subject to the following exceptions, exclusions, or amendments, notwithstanding the National Park Service certification included in the nomination documentation.

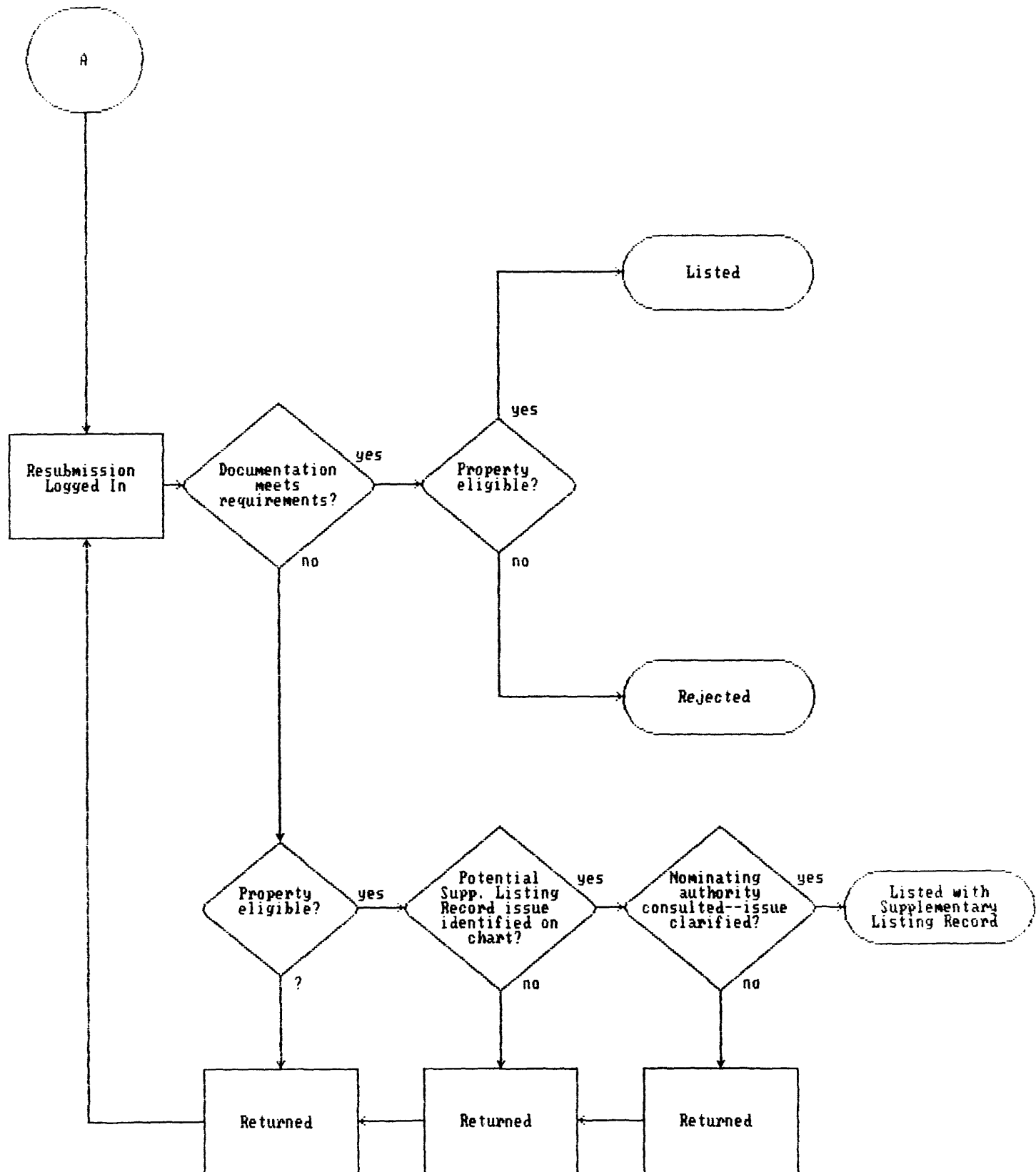
Signature of the Keeper	Date of Action
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Amended Items in Nomination:

DISTRIBUTION:
 National Register property file
 Nominating Authority (without nomination attachment)

NATIONAL REGISTER NOMINATION REVIEW PROCESS (continued)
(Nominations Selected for Detailed Evaluation)



ATTACHMENT B
 NATIONAL PARK SERVICE NOMINATION REVIEW PROCESS

