



AGENDA
**HISTORIC PRESERVATION/
DESIGN REVIEW COMMISSION**

Members

- Chairperson Tim Siebert
- Vice Chair Peter Munck
- Alderperson Marc Christianson
- Barry Calnan
- Erik McFarland
- Carol Molepske (Alternate 1)
- Hana Cutler (Alternate 2)

Date and Time: December 6, 2023
5:00 PM

Location: Community Room
933 Michigan Avenue, Stevens
Point, WI

OR

Zoom Teleconferencing

Meeting ID: 859 5130 6582

Passcode: 434274

By

Computer: <https://us02web.zoom.us/j/85951306582?pwd=aFU5a1Y1TUJxVG1hQ01WSm9ONVQ2Zz09>

By Phone: +1-312-626-6799 (US
Chicago)

Opening Section:

1. Roll Call

Discussion and Possible Action on:

2. Discussion on the Historic Preservation / Design Review Commission's Design Guidelines:

- Section 3.2.3: Exterior Metal Walls
- Section 3.3: Foundations
- Section 3.4: Windows and Doors
- Section 3.5: Roofs

3. Presentation and discussion on the creation of a citywide historic preservation plan:

PLEASE TAKE NOTICE that any person who has special needs while attending these meetings or needs agenda materials for these meetings should contact the City Clerk as soon as possible to ensure that a reasonable accommodation can be made. The City Clerk can be reached by telephone at (715) 346-1569 or by mail at 1515 Strongs Avenue, Stevens Point, WI 54481.

Maps further defining the above area(s) may be obtained from the City of Stevens Point Department of Community Development, 1515 Strongs Avenue, Stevens Point, WI 54481, or by calling (715) 346-1567, during normal business hours.

PLEASE TAKE FURTHER NOTICE that a quorum of the Common Council may be in attendance at this meeting.

- Components of a historic preservation plan
- Project timeline
- General themes to guide the public participation process

Closing Section:

4. Adjourn

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3.2.2 Masonry

Various types of masonry construction are found in the districts including brick, stone, stucco, and concrete. Buildings in the downtown commercial area are primarily of brick construction while there are also several examples of brick residential structures. Just like with wood, masonry construction contributes to a building's historic character in its texture, color, size and scale, and detailing. This architectural detailing includes subtle elements like variations in bond patterns to more prominent detailing like corbelling, brick cornices, quoins, etc.

Masonry should be properly maintained in order to prevent deterioration. Typical masonry maintenance issues include deteriorated mortar joints, broken or chipped bricks, and loose bricks. Much of this deterioration is due to the effects of weather as well as improper maintenance and cleaning.



Deteriorated masonry

Masonry Guidelines

1. Preserve and protect character-defining masonry architectural features including corbelling, cornices, sills, quoins, foundations, and walls.
2. Routinely inspect masonry features for cracks, loose bricks, and signs of weather damage paying particular attention to mortar joints.
3. Apply caulk to the joints between bricks and window frames in order to prevent water penetration.
4. Deteriorated masonry units should be repaired rather than replaced using materials that match the original in size, texture, color, and overall appearance. Synthetic materials are not recommended on historic structures for the wholesale covering of a structure.
5. Paint should not be applied to masonry surfaces that were historically not painted.
6. Removal of paint from a masonry structure is encouraged when the underlying masonry units are character defining and are in good condition, and only if safe and proper paint removal procedures are used resulting in no damage to the masonry.

7. When cleaning is necessary, proper techniques should be used.
 - a. Use the gentlest means possible including low-pressure washing with detergent and natural soft bristle brushes. Test the cleaning method on a small area first because older brick can be damaged by even low-pressure washing
 - b. Use caution when utilizing chemical cleaners. Test a small area first to determine that no damaging effects will occur. Run-off from chemical cleaning should be controlled and authorized by the City of Stevens Point prior to the cleaning process.
 - c. Sandblasting, iceblasting, corncob blasting or another method or high-pressure water blasting should not be used to clean historic masonry and may be subject penalty under WI state statute.
8. When repair to mortar joints is needed due to cracks, missing and crumbling mortar, and loose bricks, use proper techniques for re-pointing.
 - a. Remove deteriorated mortar by hand raking rather than using electric saws and hammers that can damage the brick.
 - b. Original texture, color, width, strength and profile of the historic mortar joints should be matched. Type N mortar should be used as defined by the American Society for Testing and Materials (ASTM).
- c. Repointing with mortar that is stronger than the original, such as Portland cement, can cause brick to crack, break or spall. In re-pointing mortar joints, mortar of appropriate PSI should be used.



Re-pointed and painted masonry

3.2.3 Metal

Architectural metals are frequently found in the historic districts on both residential and non-residential construction. Cast iron columns, metal roofs, and wrought iron details are typical metal treatments in

Stevens Point and are important character-defining elements of historic architecture. Common maintenance and deterioration issues include corrosion, rust, and peeling paint. Corrosion and rust are particularly problematic as they will continue to cause deterioration of metal as long as it is exposed.

Metal Guidelines

1. Preserve and protect character-defining metal features including cast iron columns, metal roofs, gutters, architectural details, fences, gates, and hardware.
2. Routinely inspect metal features for peeling paint, corrosion, and rust.
3. Deteriorated metal should be repaired rather than replaced. Should the level of deterioration warrant replacement, the element should match the original in design, color, detail, and material.
4. Paint historic architectural materials in the appropriate manner:
 - a. Remove all loose paint and corrosion prior to repainting
 - b. Apply a rust-inhibiting primer coat after cleaning
 - c. Apply a sound paint film using high quality paint
5. Cleaning of architectural metals should be done in the appropriate manner:
 - a. Use the gentlest means possible such as detergent and soft bristled brushes on soft metals such as pressed tin, aluminum, and copper. Avoid using sandblasting or high-pressure washing on these metals. Some chemical and thermal methods are appropriate for softer metals.



- b. Stronger metals such as cast and wrought iron can be cleaned with mechanical methods such as low-pressure, dry grit blasting.
6. The protective patina coating of metals such as copper and bronze should not be removed.

Sec. 3.3 Foundations

Most buildings within the historic districts are supported by continuous foundations or by brick piers, often with panels or lattice filling the spaces between piers. While most of the foundations create crawl spaces, there are several instances of historic buildings with basements. Although the foundation is not the most prominent architectural feature of a structure, it is certainly an important character-defining element of the historic building. The most common maintenance issue with a foundation is moisture retention as a result of poor drainage and lack of ventilation of the building's crawl space, or basement. Brick foundations also can have loose or cracked brick and deterioration of mortar joints due to the settling of the structure over the years. Vegetation growing too close to the building can also result in foundation damage.

Foundation Guidelines

1. Retain and preserve historic foundations including their design, texture, color, and materials. Character-defining features of historic foundations should be retained and preserved including vents, grills, panels, piers, lattice, porch steps, basement windows and door openings.
2. If a historic foundation must be repaired or replaced, the original size, shape, texture, color, and material should be matched.
3. Protect and maintain masonry foundations by:
 - a. Cleaning, repairing, and re-pointing foundations according to masonry guidelines.



- b. Keeping vents open to insure adequate ventilation of the crawl space
 - c. Grading the site around the foundation to drain water away from the building. Install drains near the foundation if necessary.
 - d. Removing vegetation that may cause structural damage to the building's foundation.
4. Paint should not be applied to previously unpainted masonry foundations. If paint is to be applied to previously painted surfaces, it should be done in a color that closely matches the existing masonry material.
 5. New foundation openings including vents or mechanical installations should be installed only in non-character defining elevations. New openings should not be installed if they will damage the historic structure.
 6. Underpinning should consist of bricks and joint tooling that match the piers as closely as possible. Non-structural underpinning may consist of a single course of bricks, lattice brick walls, or even treated wooden lattice. If openings between brick piers are to be filled in, they should be done with similar materials or lattice. The infill area should be recessed and clearly differentiated from the original piers
 7. Structural underpinning may be a veneer wall of brick covering a concrete block wall. This thickness may meet the minimum requirements for a foundation wall. Brick lattice may also be used as a veneer to cover the concrete block.

Sec. 3.4 Windows and Doors

Window and door openings are an important architectural feature of a historic building that is both aesthetic and functional. There is a wide variety of window designs in the historic districts based on the style and period of the structure itself. Most windows in the district are double-hung wooden units with a variety of pane configurations. Since historic window treatments are indicative of a building's architectural style and period, some modern treatments have compromised the character of the historic building. For example, vinyl or substitute siding applied to a home can often

obscure architectural details of a window surround. Also, many double hung, multi-paned windows have been replaced with single pane, single sash units, dramatically changing the look of the historic structure. Doors in the district also come in an assortment of shapes, sizes, and designs. Like windows, some original doors have been replaced by stock units that are conspicuously modern and quite different from the architectural style of the structure.



Residential window and doors



Second floor commercial windows

Windows and Doors Guidelines

1. Retain and preserve historic windows and doors. All elements associated with historic windows and doors should be retained and preserved including frames, trim, sashes, muntins, glass, lintels, shutters, and hardware.
2. Windows and doors should be repaired when necessary by splicing or patching only the deteriorated section to match the original.
3. If replacement of a window or door unit is necessary, the new unit should be replaced to match the original in size, scale, material, detail, pane and/or panel configurations. Exterior aluminum clad is permitted to be installed on new wooden windows.
4. Install shutters on a historic structure only if the building would have originally had shutter assemblies. New shutters should be made of wood and should have the appearance of being functional.



5. Replacement of a multi-light window with a single-pane sash or replacing multi-sash windows with only one sash is not recommended.
6. Vinyl shutters are not recommended on historic homes.
7. Historic windows and doors should be properly maintained and protected by:
 - a. Maintaining caulking and weather stripping to ensure the unit is weather tight and to improve thermal efficiency.
 - b. Properly cleaning wood windows and doors and maintaining a sound paint film.
8. Metal storm windows with painted or baked enamel finishes are acceptable. They should have a flush front and be installed properly and should not allow moisture to accumulate. They should not be installed in a manner which would obscure or damage the existing window and frame.
9. Storm doors should be full view glass doors and constructed of wood. If metal doors must be used, they should be full view and have a baked enamel finish to match the structure's trim color.
10. Replacing transparent windows or doors with tinted or frosted glass is not recommended.
11. Introduction of new window and door openings into the principal elevations of a structure is not recommended. If permitted, new openings should be proportionally the same as existing openings and should have matching sash, glass, sills, frames, casings, and muntin patterns.
12. Sash, window panes, muntins, and rails should not be replaced with those that are incompatible in size, configuration, and reflective qualities or alter the relationship between window and wall.
13. Canvas awnings can be installed over windows and doors if they are historically appropriate. Awnings should fit within the frame of the window and be installed in a manner that does not obscure or hide any historic materials. See 4.5 for further details.

14. Permanently filling in existing window or door openings is not recommended.
15. Replacing or covering window or door openings with plywood is strongly discouraged.
16. Prefabricated snap-in muntins are not recommended.
17. Retain and preserve energy efficient features such as transom windows, awnings, shutters, skylights, and porches.



Sec. 3.5 Roofs

There is a variety of historic roof configurations in the residential portions of historic districts, including primarily gable and hip, but also gambrel, and mansard. Most roofs in the downtown are flat or slightly pitched roofs hidden behind masonry parapet walls. Important roof elements commonly found in the district include chimneys, turrets, and cupolas. Almost as important to the historic character of the building as the roof's overall form, is the historic roofing material. Slate, clay tile, metal, and asphalt shingles are scattered throughout the historic districts. The most important maintenance issue with historic roofs is ensuring that they are watertight and properly ventilated.

Steeply pitched gable roof



Hipped Roof



Hipped roof with front gable



Gambrel Roof



Roof Guidelines

1. Retain and preserve historic roofs and roofing materials including its overall design, shape, pitch, and line.
2. Character-defining elements of historic roofs should be retained and preserved including dormer windows, chimneys, turrets, cupolas, and parapet walls. Eave overhangs, moldings and trim, and soffit boards should also be retained and preserved.
3. Roofs on historic structures are often characterized by their historic material including clay tiles, slate or wood shingles, and metal. These materials should be retained and preserved.
4. The use of white, red, blue, green or very light colored shingles is strongly discouraged, as houses built prior to 1920 utilized dark shingles such as brown, grey and black.
5. Changing the historic character of the building by adding roof elements that are not historically accurate such as dormer windows, vents, or skylights is not recommended.
6. Protect and maintain historic roofs in an appropriate manner:
 - a. Ensure the roof is weather tight by repairing leaks and deteriorated metal flashing.
 - b. Routinely clean gutters and downspouts.
 - c. Roofs should be properly ventilated to prevent moisture retention and condensation as well as insect infestation.
 - d. Roofing material should be adequately anchored to protect against wind and weather damage.
 - e. Protect a roof from vegetation that may potentially damage the roof.
 - f. For flat roofs, it is important to insure that they are properly drained and watertight.

7. Roof ventilators and other mechanical items should be installed on rear slopes or other locations not easily visible from the public right-of-way. Roof additions in downtown should be placed away from the primary elevation or hidden behind parapet walls.
8. Built-in gutters that are important to the architecture of the structure should be repaired rather than removed.
9. Painting roofing materials that historically were not painted is not recommended.
10. The installation of new gutters and downspouts is appropriate and should be done in a manner that does not damage any architectural features.

Sec. 3.6 Porches and Entryways

Entrances and porches are the focal point of a historic building. Porches were historically a center of activity in a residential structure. The design of a building's entryway is indicative of the structure's architectural style and period. In Stevens Point's historic districts, there are several types of architecture, ranging from Italianate to Queen Anne, to American Craftsman, Foursquare and Bungalow, many of which incorporate ornate front porches with intricate balustrades and sawn brackets. It is important that these primary significant features be retained, preserved, and if necessary, reconstructed.



Porches and Entryway Guidelines

1. Entryways and porches are important character-defining elements of a historic structure and should be retained and preserved. Important elements include steps, columns, balustrades, doors, railings, brackets, roofs, cornices, and entablatures.
2. If replacement of a porch element is necessary, replace only the deteriorated or missing detail with new materials that match the design of the original as closely as possible.



Well maintained porches preserve significant architectural features

3. Protect and maintain historic porches and entrances in appropriate ways:
 - a. Periodically clean wooden surfaces, remove rust from metal, and keep a sound paint film on all painted porch surfaces.
 - b. Ensure that water effectively runs off of floors and steps.
 - c. Replace rotted floor boards or other porch materials.
4. Reconstruction of missing or extensively deteriorated porches is encouraged. Reconstructed porches should be based on documentary evidence. If adequate documentation is not available, a new design is appropriate if it is compatible with the style and period of the building.
5. It is not recommended to enclose porches on primary elevations. Porches on rear elevations not seen from the public right-of-way may be screened or enclosed only if the work is designed so that it can be installed or removed without damage to the historic structure.



6. Repairs to porches using materials incompatible with the original materials are not recommended.

Technical Preservation Services



Sustainability > Windows



Recommended The wall and door glazing ensures that the corridor receives natural daylight and the operable transom helps air to circulate in this historic office building.



Recommended Historic exterior storm windows have been well maintained and continue to perform as intended.



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Recommended Historic exterior storm windows have been well maintained and continue to perform as intended.



Not Recommended A broken sash cord can be repaired easily and does not justify replacement of the window.



Recommended These exterior storm windows match the pane configuration of the historic interior windows in a residence and in a multi-story hotel building.

Recommended These exterior storm windows match the pane configuration of the historic interior windows in a residence and in a multi-story hotel building.



Recommended The new metal interior storm window was carefully matched to the exterior window as part of the rehabilitation of this historic armory building.



Not Recommended Not only have incompatible windows that do not fit the size and shape of the historic window openings been installed, but the original openings have also been shortened to install through-the-wall HVAC units.



Not Recommended Ill-fitting exterior aluminum storm windows viewed from both inside and outside are clearly not energy efficient.



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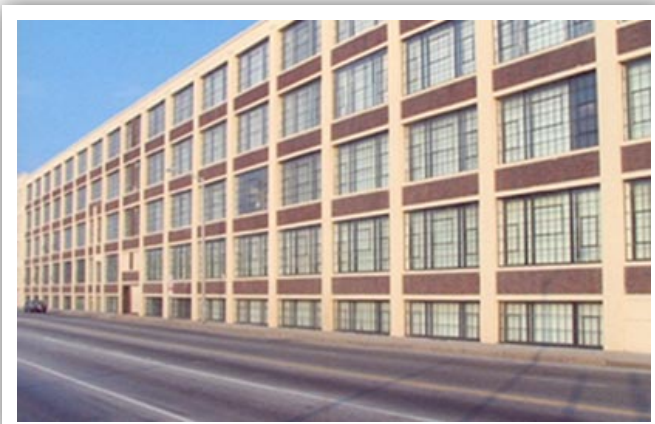
Recommended Original metal windows were appropriately repaired as part of the rehabilitation of this historic industrial building. Before rehabilitation.



Recommended Original metal windows were appropriately repaired as part of the rehabilitation of this historic industrial building. During rehabilitation.



Recommended Original metal windows were appropriately repaired as part of the rehabilitation of this historic industrial building. After rehabilitation.



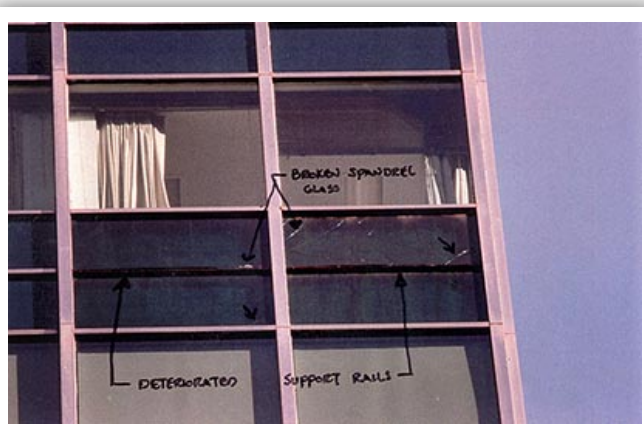
Recommended Original metal windows were retained and made operable during the rehabilitation of this historic mill complex. Installing patio slider doors as interior storm windows was a creative and successful solution to improve the energy efficiency of the existing windows.



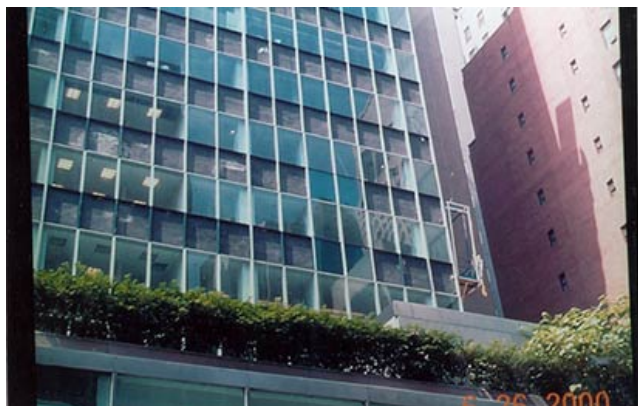
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Recommended The original windows, which were deteriorated beyond repair, featured a dark tint. They were replaced with a slightly lighter-tinted glazing to improve daylighting in this mid-century modern office building.



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Recommended Traditional canvas awnings should be retained when they exist on historic buildings.



Recommended Transoms and screen doors are distinctive and practical features that provided cross ventilation in this historic hotel.



Recommended The wall and door glazing ensures that the corridor receives natural daylight and the operable transom helps air to circulate in this historic office building.



Recommended Historic exterior storm windows have been well maintained and continue to perform as intended.



Recommended Historic exterior storm windows have been well maintained and continue to perform as intended.

Windows

Recommended

Not Recommended

Maintaining windows on a regular basis to ensure that they function properly and are completely operable.

Retaining and repairing historic windows when deteriorated.

Weather stripping and caulking historic windows, when appropriate, to make them weather tight.

Installing interior or exterior storm windows or panels that are compatible with existing historic windows.

Installing compatible and energy-efficient replacement windows that match the appearance, size, design, proportion and profile of the existing historic windows and that are also durable, repairable and recyclable, when existing windows are too deteriorated to repair.

Replacing missing windows with new, energy-efficient windows that are appropriate to the style of historic building and that are also durable, repairable and recyclable.

Retrofitting historic windows with high-performance glazing or clear film, when possible, and only if the historic character can be maintained.

Retrofitting historic steel windows and curtain-wall systems to improve thermal performance without compromising their character.

Installing clear, low-emissivity (low-e) glass or film without noticeable color in historically-clear windows to reduce solar heat gain.

Installing film in a slightly lighter shade of the same color tint when replacing glazing panels on historically-dark-tinted windows to improve daylighting.

Maintaining existing, reinstalling or installing new, historically-appropriate shutters and awnings.

Repairing or reopening historically-operable interior transoms, when possible, to improve air flow and cross ventilation.

Neglecting to maintain historic windows and allowing them to deteriorate beyond repair with the result that they must be replaced.

Removing repairable historic windows and replacing them with new windows for perceived improvement in energy performance.

Replacing repairable historic windows with new insulated windows.

Installing incompatible or inefficient replacement window units that are not durable, recyclable or repairable when existing windows are deteriorated beyond repair or missing.

Retrofitting historically-clear windows with tinted glass or reflective coatings that will negatively impact the historic character of the building.

Introducing clear glazing or a significantly lighter colored film or tint than the original when replacing historically-dark-tinted windows.

Removing historic shutters and awnings or installing inappropriate ones.

Covering or removing existing transoms.



Subject: Entrance Treatments

- Applicable Standards:**
- 2. Retention of Historic Character
 - 5. Preservation of Distinctive Features, Finishes and Craftsmanship
 - 6. Repair/Replacement of Deteriorated or Missing Features Based on Evidence

Issue: The treatment of entrances as part of a historic rehabilitation project is important in retaining the overall architectural character of the building. The entrance is often the focal point of the façade and is an integral component of a historic building's design. It should accurately reflect the building's style, period of significance and use. The historic entrance including the door, transom or fanlight, sidelights, pilasters and entablature should always be retained and repaired if at all possible. If any of these elements is missing, the *Secretary of the Interior's Standards for Rehabilitation and Guidelines for Rehabilitating Historic Buildings* recommend replacing the missing element to match if physical, pictorial, or photographic evidence exists to document its appearance. The individual components should match the historic entrance in material as well as design. Because the entrance is directly encountered upon entering the building, it is unlikely that a substitute material will adequately duplicate the appearance of a missing element. If no documentation for the historic appearance of the entrance exists, an appropriate design compatible with the building's residential or commercial character must be sought.

Application 1 (*Incompatible treatments later modified to meet the Standards*): This large three-story, frame building was in continued use as a tavern since 1820 and has now been rehabilitated as an assisted living residence. The interior of the building had undergone a great amount of alteration over the years, but the primary elevation retained its historic form and front entrances with transoms and sidelights. Ornamental steel doors with inappropriate leaded glass panels, sidelights and transom were installed. In order to bring the project into conformance with the Standards, remedial work involved replacing the doors with wood six-panel doors and reproducing the historic configuration of the sidelights and transom based on photographic documentation.



Tavern after rehabilitation before appropriate entrance installed.



LEFT: Inappropriate replacement entrance.



RIGHT: Entrance after remedial work.

Application 2 (*Incompatible treatment*): This two-story brick commercial building, dating from the 1890s, is being rehabilitated for use as law offices. The first floor level was covered with stucco sometime in the past and a compatible storefront, except for the entrance bay, was constructed during a previous rehabilitation. The proposed treatment for the entrance included double doors flanked by multi-paned sidelights, surmounted by a solid stucco panel covered by an awning. The sidelights are residential in design and not compatible with the commercial character of this building. In order to bring the project into conformance with the Standards, the sidelights will be removed and wider double doors installed to fill the central bay. The stucco panel above the doors will be replaced with a glass transom to match those in the adjacent bays, and the awning, which had been proposed only to conceal the stucco panel, will be eliminated.



Commercial building prior to rehabilitation.

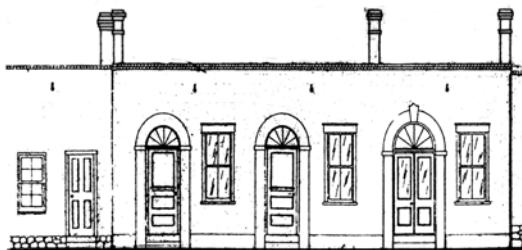


Inappropriate entrance design.

Application 3 (*Incompatible treatment*): This one-story row of vernacular adobe apartments, built and modified prior to 1914, is being rehabilitated to return it to its original residential use. In this case, significant alterations had been made to the front elevations, including filling the arched entrances to create simple rectangular entrance openings. Other than the physical evidence documenting the outline of arched openings, revealed when the stucco coating was removed to repair the adobe structure underneath, no information was available concerning the design of the historic doors and surrounds. The project originally proposed re-establishing the arched entrances, and adding half-glazed doors with ornamental arched surrounds and fanlights. However, this treatment was determined to be too elaborate and, thus, incompatible with the simple character of this adobe building. To meet the Standards, the design for the arched entrances will be simplified and will consist of paneled wood doors surmounted by single light, semi-circular transoms within plain plaster surrounds.



Adobe apartments prior to rehabilitation.



Inappropriate entrance design.



Outline of original arched opening.

4 PRESERVATION BRIEFS

Roofing for Historic Buildings

Sarah M. Sweetser



U.S. Department of the Interior
National Park Service
Cultural Resources
Heritage Preservation Services

Significance of the Roof

A weather-tight roof is basic in the preservation of a structure, regardless of its age, size, or design. In the system that allows a building to work as a shelter, the roof sheds the rain, shades from the sun, and buffers the weather.

During some periods in the history of architecture, the roof imparts much of the architectural character. It defines the style and contributes to the building's aesthetics. The hipped roofs of Georgian architecture, the turrets of Queen Anne, the Mansard roofs, and the graceful slopes of the Shingle Style and Bungalow designs are examples of the use of roofing as a major design feature.

But no matter how decorative the patterning or how compelling the form, the roof is a highly vulnerable element of a shelter that will inevitable fail. A poor roof will permit the accelerated deterioration of historic building materials—masonry, wood, plaster, paint—and will cause general disintegration of the basic structure. Furthermore, there is an urgency involved in repairing a leaky roof since such repair costs will quickly become prohibitive. Although such action is desirable as soon as a failure is discovered, temporary patching methods should be carefully chosen to prevent inadvertent damage to sound or historic roofing materials and related features. Before any repair work is performed, the historic value of the materials used on the roof should be understood. Then a complete internal and external inspection of the roof should be planned to determine all the causes of failure and to identify the alternatives for repair or replacement of the roofing.

Historic Roofing Materials in America

Clay Tile: European settlers used clay tile for roofing as early as the mid-17th century; many pantiles (S-curved tiles), as well as flat roofing tiles, were used in Jamestown, Virginia. In some cities such as New York and Boston, clay was popularly used as a precaution against such fire as those that engulfed London in 1666 and scorched Boston in 1679.

Tiles roofs found in the mid-18th century Moravian settlements in Pennsylvania closely resembled those found in Germany. Typically, the tiles were 14–15" long, 6–7" wide with a curved butt. A lug on the back allowed the tiles to hang on the lathing without nails or pegs. The tile surface was usually scored with finger marks to promote drainage. In the Southwest, the tile roofs of the Spanish missionaries (mission tiles) were first manufactured (ca. 1780) at the Mission San Antonio de Padua in California. These semicircular tiles were



HABS



Repairs on this pantile roof were made with new tiles held in place with metal hangers. (Main Building, Ellis Island, New York)

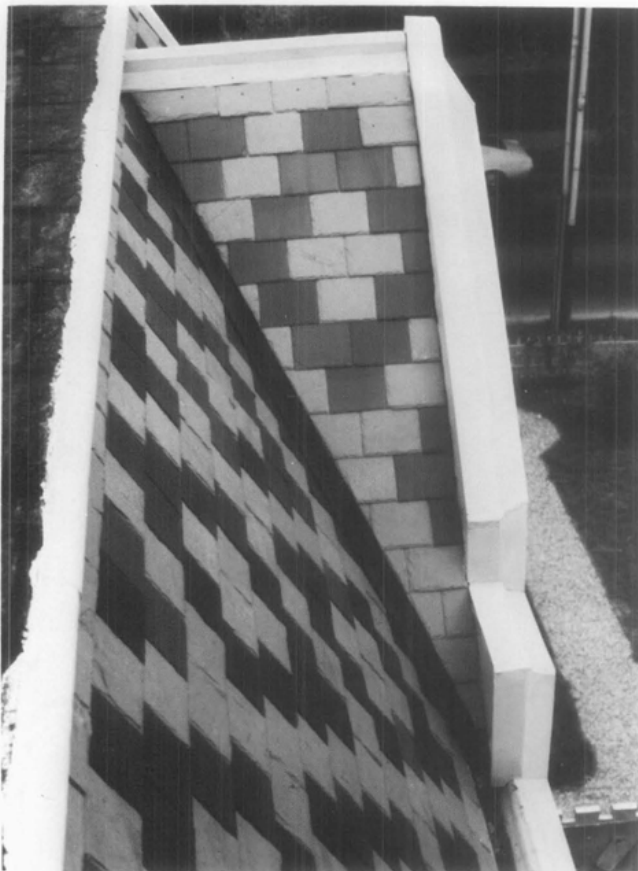
made by molding clay over sections of logs, and they were generally 22" long and tapered in width.

The plain or flat rectangular tiles most commonly used from the 17th through the beginning of the 19th century measured about 10" by 6" by 1/2", and had two holes at one end for a nail or peg fastener. Sometimes mortar was applied between the courses to secure the tiles in a heavy wind.

In the mid-19th century, tile roofs were often replaced by sheet-metal roofs, which were lighter and easier to install and maintain. However, by the turn of the century, the Romanesque Revival and Mission style buildings created a new demand and popularity for this picturesque roofing material.

Slate: Another practice settlers brought to the New World was slate roofing. Evidence of roofing slates have been found also among the ruins of mid-17th-century Jamestown. But because of the cost and the time required to obtain the material, which was mostly imported from Wales, the use of slate was initially limited. Even in Philadelphia (the second largest city in the English-speaking world at the time of the Revolution) slates were so rare that "The Slate Roof House" distinctly referred to William Penn's home built late in the 1600s. Sources of native slate were known to exist along the eastern seaboard from Maine to Virginia, but difficulties in inland transportation limited its availability to the cities, and contributed to its expense. Welsh slate continued to be imported until the development of canals and railroads in the mid-19th century made American slate more accessible and economical.

Slate was popular for its durability, fireproof qualities, and



The Victorians loved to use different colored slates to create decorative patterns on their roofs, an effect which cannot be easily duplicated by substitute materials. Before any repair work on a roof such as this, the slate sizes, colors, and position of the patterning should be carefully recorded to assure proper replacement. (Ebenezer Maxwell Mansion, Philadelphia, Pennsylvania, photo courtesy of William D. Hershey)

aesthetic potential. Because slate was available in different colors (red, green, purple, and blue-gray), it was an effective material for decorative patterns on many 19th-century roofs (Gothic and Mansard styles). Slate continued to be used well into the 20th century, notably on many Tudor revival style buildings of the 1920s.

Shingles: Wood shingles were popular throughout the country in all periods of building history. The size and shape of the shingles as well as the detailing of the shingle roof differed according to regional craft practices. People within particular regions developed preferences for the local species of wood that most suited their purposes. In New England and the Delaware Valley, white pine was frequently used: in the South, cypress and oak; in the far west, red cedar or redwood. Sometimes a protective coating was applied to increase the durability of the shingle such as a mixture of brick dust and fish oil, or a paint made of red iron oxide and linseed oil.

Commonly in urban areas, wooden roofs were replaced with more fire resistant materials, but in rural areas this was not a major concern. On many Victorian country houses, the practice of wood shingling survived the technological advances of metal roofing in the 19th century, and near the turn of the century enjoyed a full revival in its namesake, the Shingle Style. Colonial revival and the Bungalow styles in the 20th century assured wood shingles a place as one of the most fashionable, domestic roofing materials.

Metal: Metal roofing in America is principally a 19th-century phenomenon. Before then the only metals commonly



Replacement of particular historic details is important to the individual historic character of a roof, such as the treatment at the eaves of this rounded butt wood shingle roof. Also note that the surface of the roof was carefully sloped to drain water away from the side of the dormer. In the restoration, this function was augmented with the addition of carefully concealed modern metal flashing. (Mount Vernon, Virginia)



Galvanized sheet-metal shingles imitating the appearance of pantiles remained popular from the second half of the 19th century into the 20th century. (Episcopal Church, now the Jerome Historical Society Building, Jerome, Arizona, 1927)

used were lead and copper. For example, a lead roof covered "Rosewell," one of the grandest mansions in 18th-century Virginia. But more often, lead was used for protective flashing. Lead, as well as copper, covered roof surfaces where wood, tile, or slate shingles were inappropriate because of the roof's pitch or shape.

Copper with standing seams covered some of the more notable early American roofs including that of Christ Church (1727-1744) in Philadelphia. Flat-seamed copper was used on many domes and cupolas. The copper sheets were imported from England until the end of the 18th century when facilities for rolling sheet metal were developed in America.

Sheet iron was first known to have been manufactured here by the Revolutionary War financier, Robert Morris, who had a rolling mill near Trenton, New Jersey. At his mill Morris produced the roof of his own Philadelphia mansion, which he started in 1794. The architect Benjamin H. Latrobe used sheet iron to replace the roof on Princeton's "Nassau Hall," which had been gutted by fire in 1802.

The method for corrugating iron was originally patented in England in 1829. Corrugating stiffened the sheets, and allowed greater span over a lighter framework, as well as reduced installation time and labor. In 1834 the American architect William Strickland proposed corrugated iron to cover his design for the market place in Philadelphia.

Galvanizing with zinc to protect the base metal from rust was developed in France in 1837. By the 1850s the material was used on post offices and customhouses, as well as on train sheds and factories. In 1857 one of the first metal roofs in the



Repeated repair with asphalt, which cracks as it hardens, has created a blistered surface on this sheet-metal roof and built-in gutter, which will retain water. Repairs could be made by carefully heating and scraping the surface clean, repairing the holes in the metal with a flexible mastic compound or a metal patch, and coating the surface with a fibre paint. (Roane County Courthouse, Kingston, Tennessee, photo courtesy of Building Conservation Technology, Inc.)

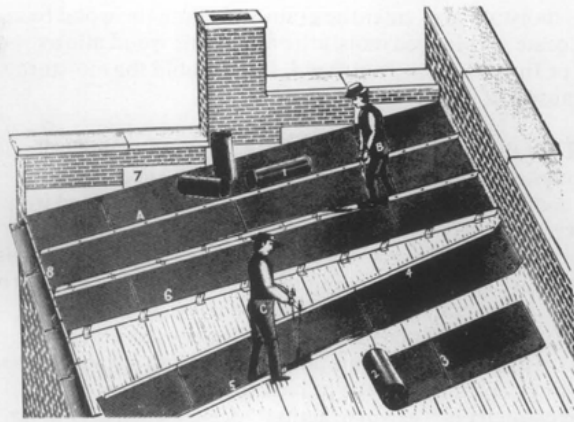
South was installed on the U.S. Mint in New Orleans. The Mint was thereby "fireproofed" with a 20-gauge galvanized, corrugated iron roof on iron trusses.

Tin-plate iron, commonly called "tin roofing," was used extensively in Canada in the 18th century, but it was not as common in the United States until later. Thomas Jefferson was an early advocate of tin roofing, and he installed a standing-seam tin roof on "Monticello" (ca. 1770–1802). The Arch Street Meetinghouse (1804) in Philadelphia had tin shingles laid in a herringbone pattern on a "piazza" roof.

However, once rolling mills were established in this country, the low cost, light weight, and low maintenance of tin plate made it the most common roofing material. Embossed tin shingles, whose surfaces created interesting patterns, were popular throughout the country in the late 19th century. Tin roofs were kept well-painted, usually red; or, as the architect A. J. Davis suggested, in a color to imitate the green patina of copper.

Terne plate differed from tin plate in that the iron was dipped in an alloy of lead and tin, giving it a duller finish. Historic, as well as modern, documentation often confuses the two, so much that it is difficult to determine how often actual "terne" was used.

Zinc came into use in the 1820s, at the same time tin plate was becoming popular. Although a less expensive substitute for lead, its advantages were controversial, and it was never widely used in this country.



A Chicago firm's catalog dated 1896 illustrates a method of unrolling, turning the edges, and finishing the standing seam on a metal roof.



Tin shingles, commonly embossed to imitate wood or tile, or with a decorative design, were popular as an inexpensive, textured roofing material. These shingles $8\frac{3}{8}$ inch by $12\frac{1}{2}$ inch on the exposed surface) were designed with interlocking edges, but they have been repaired by surface nailing, which may cause future leakage. (Ballard House, Yorktown, Virginia, photo by Gordie Whittington, National Park Service)

Other Materials: Asphalt shingles and roll roofing were used in the 1890s. Many roofs of asbestos, aluminum, stainless steel, galvanized steel, and lead-coated copper may soon have historic values as well. Awareness of these and other traditions of roofing materials and their detailing will contribute to more sensitive preservation treatments.

Locating the Problem

Failures of Surface Materials

When trouble occurs, it is important to contact a professional, either an architect, a reputable roofing contractor, or a craftsman familiar with the inherent characteristics of the particular historic roofing system involved. These professionals may be able to advise on immediate patching procedures and help plan more permanent repairs. A thorough examination of the roof should start with an appraisal of the existing condition and quality of the roofing material itself. Particular attention should be given to any southern slope because year-round exposure to direct sun may cause it to break down first.

Wood: Some historic roofing materials have limited life expectancies because of normal organic decay and "wear." For example, the flat surfaces of wood shingles erode from exposure to rain and ultraviolet rays. Some species are more hardy than others, and heartwood, for example, is stronger and more durable than sapwood.

Ideally, shingles are split with the grain perpendicular to

the surface. This is because if shingles are sawn across the grain, moisture may enter the grain and cause the wood to deteriorate. Prolonged moisture on or in the wood allows moss or fungi to grow, which will further hold the moisture and cause rot.

Metal: Of the inorganic roofing materials used on historic buildings, the most common are perhaps the sheet metals: lead, copper, zinc, tin plate, terne plate, and galvanized iron. In varying degrees each of these sheet metals are likely to deteriorate from chemical action by pitting or streaking. This can be caused by airborne pollutants; acid rainwater; acids from lichen or moss; alkalis found in lime mortars or portland cement, which might be on adjoining features and washes down on the roof surface; or tannic acids from adjacent wood sheathings or shingles made of red cedar or oak.

Corrosion from "galvanic action" occurs when dissimilar metals, such as copper and iron, are used in direct contact. Corrosion may also occur even though the metals are physically separated; one of the metals will react chemically against the other in the presence of an electrolyte such as rainwater. In roofing, this situation might occur when either a copper roof is decorated with iron cresting, or when steel nails are used in copper sheets. In some instances the corrosion can be prevented by inserting a plastic insulator between the dissimilar materials. Ideally, the fasteners should be a metal sympathetic to those involved.

Iron rusts unless it is well-painted or plated. Historically this problem was avoided by use of tin plating or galvanizing. But this method is durable only as long as the coating remains intact. Once the plating is worn or damaged, the exposed iron will rust. Therefore, any iron-based roofing material needs to be undercoated, and its surface needs to be kept well-painted to prevent corrosion.

One cause of sheet metal deterioration is fatigue. Depending upon the size and the gauge of the metal sheets, wear and metal failure can occur at the joints or at any protrusions in the sheathing as a result from the metal's alternating movement to thermal changes. Lead will tear because of "creep," or the gravitational stress that causes the material to move down the roof slope.

Slate: Perhaps the most durable roofing materials are slate and tile. Seemingly indestructable, both vary in quality. Some slates are hard and tough without being brittle. Soft slates are more subject to erosion and to attack by airborne and rain-

water chemicals, which cause the slates to wear at nail holes, to delaminate, or to break. In winter, slate is very susceptible to breakage by ice, or ice dams.

Tile: Tiles will weather well, but tend to crack or break if hit, as by tree branches, or if they are walked on improperly. Like slates, tiles cannot support much weight. Low quality tiles that have been insufficiently fired during manufacture, will craze and spall under the effects of freeze and thaw cycles on their porous surfaces.

Failures of Support Systems

Once the condition of the roofing material has been determined, the related features and support systems should be examined on the exterior and on the interior of the roof. The gutters and downspouts need periodic cleaning and maintenance since a variety of debris fill them, causing water to back up and seep under roofing units. Water will eventually cause fasteners, sheathing, and roofing structure to deteriorate. During winter, the daily freeze-thaw cycles can cause ice floes to develop under the roof surface. The pressure from these ice floes will dislodge the roofing material, especially slates, shingles, or tiles. Moreover, the buildup of ice dams above the gutters can trap enough moisture to rot the sheathing or the structural members.

Many large public buildings have built-in gutters set within the perimeter of the roof. The downspouts for these gutters may run within the walls of the building, or drainage may be through the roof surface or through a parapet to exterior downspouts. These systems can be effective if properly maintained; however, if the roof slope is inadequate for good runoff, or if the traps are allowed to clog, rainwater will form pools on the roof surface. Interior downspouts can collect debris and thus back up, perhaps leaking water into the surrounding walls. Exterior downspouts may fill with water, which in cold weather may freeze and crack the pipes. Conduits from the built-in gutter to the exterior downspout may also leak water into the surrounding roof structure or walls.

Failure of the flashing system is usually a major cause of roof deterioration. Flashing should be carefully inspected for failure caused by either poor workmanship, thermal stress, or metal deterioration (both of flashing material itself and of the fasteners). With many roofing materials, the replacement of flashing on an existing roof is a major operation, which may require taking up large sections of the roof surface. Therefore, the installation of top quality flashing material on



This detail shows slate delamination caused by a combination of weathering and pollution. In addition, the slates have eroded around the repair nails, incorrectly placed in the exposed surface of the slates. (Lower Pontalba Building, New Orleans, photo courtesy of Building Conservation Technology, Inc.)



Temporary stabilization or "mothballing" with materials such as plywood and building paper can protect the roof of a project until it can be properly repaired or replaced. (Narbonne House, Salem, Massachusetts)



These two views of the same house demonstrate how the use of a substitute material can drastically affect the overall character of a structure. The textural interest of the original tile roof was lost with the use of asphalt shingles. Recent preservation efforts are replacing the tile roof. (Frank House, Kearney, Nebraska, photo courtesy of the Nebraska State Historical Society, Lincoln, Nebraska)

a new or replaced roof should be a primary consideration. Remember, some roofing and flashing materials are not compatible.

Roof fasteners and clips should also be made of a material compatible with all other materials used, or coated to prevent rust. For example, the tannic acid in oak will corrode iron nails. Some roofs such as slate and sheet metals may fail if nailed too rigidly.

If the roof structure appears sound and nothing indicates recent movement, the area to be examined most closely is the roof substrate—the sheathing or the battens. The danger spots would be near the roof plates, under any exterior patches, at the intersections of the roof planes, or at vertical surfaces such as dormers. Water penetration, indicating a breach in the roofing surface or flashing, should be readily apparent, usually as a damp spot or stain. Probing with a small pen knife may reveal any rot which may indicate previously undetected damage to the roofing membrane. Insect infestation evident by small exit holes and frass (a sawdust-like debris) should also be noted. Condensation on the underside of the roofing is undesirable and indicates improper ventilation. Moisture will have an adverse effect on any roofing material; a good roof stays dry inside and out.

Repair or Replace

Understanding potential weaknesses of roofing material also requires knowledge of repair difficulties. Individual slates can be replaced normally without major disruption to the rest of the roof, but replacing flashing on a slate roof can require substantial removal of surrounding slates. If it is the substrate or a support material that has deteriorated, many surface materials such as slate or tile can be reused if handled carefully during the repair. Such problems should be evaluated at the outset of any project to determine if the roof can be effectively patched, or if it should be completely replaced.

Will the repairs be effective? Maintenance costs tend to multiply once trouble starts. As the cost of labor escalates, repeated repairs could soon equal the cost of a new roof.

The more durable the surface is initially, the easier it will be to maintain. Some roofing materials such as slate are expensive to install, but if top quality slate and flashing are used, it will last 40–60 years with minimal maintenance. Although the installation cost of the roof will be high, low maintenance needs will make the lifetime cost of the roof less expensive.

Historical Research

In a restoration project, research of documents and physical investigation of the building usually will establish the roof's history. Documentary research should include any original plans or building specifications, early insurance surveys, newspaper descriptions, or the personal papers and files of people who owned or were involved in the history of the building. Old photographs of the building might provide evidence of missing details.

Along with a thorough understanding of any written history of the building, a physical investigation of the roofing and its structure may reveal information about the roof's construction history. Starting with an overall impression of the structure, are there any changes in the roof slope, its configuration, or roofing materials? Perhaps there are obvious patches or changes in patterning of exterior brickwork where a gable roof was changed to a gambrel, or where a whole upper story was added. Perhaps there are obvious stylistic changes in the roof line, dormers, or ornamentation. These observations could help one understand any important alteration, and could help establish the direction of further investigation.

Because most roofs are physically out of the range of careful scrutiny, the "principle of least effort" has probably limited the extent and quality of previous patching or replacing, and usually considerable evidence of an earlier roof surface remains. Sometimes the older roof will be found as an underlayment of the current exposed roof. Original roofing may still be intact in awkward places under later features on a roof. Often if there is any unfinished attic space, remnants of roofing may have been dropped and left when the roof was being built or repaired. If the configuration of the roof has been changed, some of the original material might still be in place under the existing roof. Sometimes whole sections of the roof and roof framing will have been left intact under the higher roof. The profile and/or flashing of the earlier roof may be apparent on the interior of the walls at the level of the alteration. If the sheathing or lathing appears to have survived changes in the roofing surface, they may contain evidence of the roofing systems. These may appear either as dirt marks, which provide "shadows" of a roofing material, or as nails broken or driven down into the wood, rather than pulled out during previous alterations or repairs. Wooden headers in the roof framing may indicate that earlier chimneys or skylights have been removed. Any metal ornamentation that might have existed may be indicated by anchors or unusual markings along the ridge or at other edges of the roof. This primary

evidence is essential for a full understanding of the roof's history.

Caution should be taken in dating early "fabric" on the evidence of a single item, as recycling of materials is not a mid-20th-century innovation. Carpenters have been reusing materials, sheathing, and framing members in the interest of economy for centuries. Therefore, any analysis of the materials found, such as nails or sawmarks on the wood, requires an accurate knowledge of the history of local building practices before any final conclusion can be accurately reached. It is helpful to establish a sequence of construction history for the roof and roofing materials; any historic fabric or pertinent evidence in the roof should be photographed, measured, and recorded for future reference.

During the repair work, useful evidence might unexpectedly appear. It is essential that records be kept of any type of work on a historic building, before, during, and after the project. Photographs are generally the easiest and fastest method, and should include overall views and details at the gutters, flashing, dormers, chimneys, valleys, ridges, and eaves. All photographs should be immediately labeled to insure accurate identification at a later date. Any patterning or design on the roofing deserves particular attention. For example, slate roofs are often decorative and have subtle changes in size, color, and texture, such as a gradually decreasing coursing length from the eave to the peak. If not carefully noted before a project begins, there may be problems in replacing the surface. The standard reference for this phase of the work is *Recording Historic Buildings*, compiled by Harley J. McKee for the Historic American Buildings Survey, National Park Service, Washington, D.C., 1970.

Replacing the Historic Roofing Material

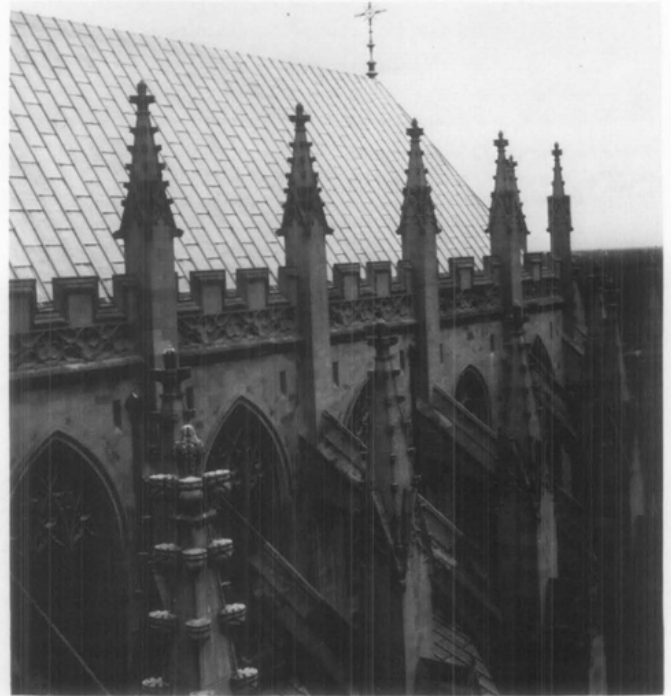
Professional advice will be needed to assess the various aspects of replacing a historic roof. With some exceptions, most historic roofing materials are available today. If not, an architect or preservation group who has previously worked with the same type material may be able to recommend suppliers. Special roofing materials, such as tile or embossed metal shingles, can be produced by manufacturers of related products that are commonly used elsewhere, either on the exterior or interior of a structure. With some creative thinking and research, the historic materials usually can be found.



Because of the roof's visibility, the slate detailing around the dormers is important to the character of this structure. Note how the slates swirl from a horizontal pattern on the main roof to a diamond pattern on the dormer roofs and side walls. (18th and Que Streets, NW, Washington, D.C.)

6

Craft Practices: Determining the craft practices used in the installation of a historic roof is another major concern in roof restoration. Early builders took great pride in their work, and experience has shown that the "rustic" or irregular designs commercially labeled "Early American" are a 20th-century invention. For example, historically, wood shingles underwent several distinct operations in their manufacture including splitting by hand, and smoothing the surface with a draw knife. In modern nomenclature, the same item would be a "tapersplit" shingle which has been dressed. Unfortunately, the rustic appearance of today's commercially available "handsplit" and re-sawn shingle bears no resemblance to the hand-made roofing materials used on early American buildings.



Good design and quality materials for the roof surface, fastenings, and flashing minimize roofing failures. This is essential on roofs such as on the National Cathedral where a thorough maintenance inspection and minor repairs cannot be done easily without special scaffolding. However, the success of the roof on any structure depends on frequent cleaning and repair of the gutter system. (Washington, D.C., photo courtesy of John Burns, A.I.A.)

Early craftsmen worked with a great deal of common sense; they understood their materials. For example they knew that wood shingles should be relatively narrow; shingles much wider than about 6" would split when walked on, or they may curl or crack from varying temperature and moisture. It is important to understand these aspects of craftsmanship, remembering that people wanted their roofs to be weather-tight and to last a long time. The recent use of "mother-goose" shingles on historic structures is a gross underestimation of the early craftsman's skills.

Supervision: Finding a modern craftsman to reproduce historic details may take some effort. It may even involve some special instruction to raise his understanding of certain historic craft practices. At the same time, it may be pointless (and expensive) to follow historic craft practices in any construction that will not be visible on the finished product. But if the roofing details are readily visible, their appearance should be based on architectural evidence or on historic prototypes. For instance, the spacing of the seams on a standing-seam metal roof will affect the building's overall scale and should therefore match the original dimensions of the seams.

Many older roofing practices are no longer performed because of modern improvements. Research and review of specific detailing in the roof with the contractor before beginning the project is highly recommended. For example, one early craft practice was to finish the ridge of a wood shingle roof with a roof "comb"—that is, the top course of one slope of the roof was extended uniformly beyond the peak to shield the ridge, and to provide some weather protection for the raw horizontal edges of the shingles on the other slope. If the "comb" is known to have been the correct detail, it should be used. Though this method leaves the top course vulnerable to the weather, a disguised strip of flashing will strengthen this weak point.

Detail drawings or a sample mock-up will help ensure that the contractor or craftsman understands the scope and special requirements of the project. It should never be assumed that the modern carpenter, slater, sheet metal worker, or roofer will know all the historic details. Supervision is as important as any other stage of the process.



Special problems inherent in the design of an elaborate historic roof can be controlled through the use of good materials and regular maintenance. The shape and detailing are essential elements of the building's historic character, and should not be modified, despite the use of alternative surface materials. (Gamwell House, Bellingham, Washington)

Alternative Materials

The use of the historic roofing material on a structure may be restricted by building codes or by the availability of the materials, in which case an appropriate alternative will have to be found.

Some municipal building codes allow variances for roofing materials in historic districts. In other instances, individual variances may be obtained. Most modern heating and cooking is fueled by gas, electricity, or oil—none of which emit the hot embers that historically have been the cause of roof fires. Where wood burning fireplaces or stoves are used, spark arrestor screens at the top of the chimneys help to prevent flaming material from escaping, thus reducing the number of fires that start at the roof. In most states, insurance rates have been equalized to reflect revised considerations for the risks involved with various roofing materials.

In a rehabilitation project, there may be valid reasons for replacing the roof with a material other than the original. The historic roofing may no longer be available, or the cost of obtaining specially fabricated materials may be prohibitive. But

the decision to use an alternative material should be weighed carefully against the primary concern to keep the historic character of the building. If the roof is flat and is not visible from any elevation of the building, and if there are advantages to substituting a modern built-up composition roof for what might have been a flat metal roof, then it may make better economic and construction sense to use a modern roofing method. But if the roof is readily visible, the alternative material should match as closely as possible the scale, texture, and coloration of the historic roofing material.

Asphalt shingles or ceramic tiles are common substitute materials intended to duplicate the appearance of wood shingles, slates, or tiles. Fire-retardant, treated wood shingles are currently available. The treated wood tends, however, to be brittle, and may require extra care (and expense) to install. In some instances, shingles laid with an interlay of fire-retardant building paper may be an acceptable alternative.

Lead-coated copper, terne-coated steel, and aluminum/zinc-coated steel can successfully replace tin, terne plate, zinc, or lead. Copper-coated steel is a less expensive (and less durable) substitute for sheet copper.

The search for alternative roofing materials is not new. As early as the 18th century, fear of fire cause many wood shingle or board roofs to be replaced by sheet metal or clay tile. Some historic roofs were failures from the start, based on over-ambitious and naive use of materials as they were first developed. Research on a structure may reveal that an inadequately designed or a highly combustible roof was replaced early in its history, and therefore restoration of a later roof material would have a valid precedent. In some cities, the substitution of sheet metal on early row houses occurred as soon as the rolled material became available.

Cost and ease of maintenance may dictate the substitution of a material wholly different in appearance from the original. The practical problems (wind, weather, and roof pitch) should be weighed against the historical consideration of scale, texture, and color. Sometimes the effect of the alternative material will be minimal. But on roofs with a high degree of visibility and patterning or texture, the substitution may seriously alter the architectural character of the building.

Temporary Stabilization

It may be necessary to carry out an immediate and temporary stabilization to prevent further deterioration until research can determine how the roof should be restored or rehabilitated, or until funding can be provided to do a proper job. A simple covering of exterior plywood or roll roofing might provide adequate protection, but any temporary covering should be applied with caution. One should be careful not to overload the roof structure, or to damage or destroy historic evidence or fabric that might be incorporated into a new roof at a later date. In this sense, repairs with caulking or bituminous patching compounds should be recognized as potentially harmful, since they are difficult to remove, and at their best, are very temporary.

Precautions

The architect or contractor should warn the owner of any precautions to be taken against the specific hazards in installing the roofing material. Soldering of sheet metals, for instance, can be a fire hazard, either from the open flame or from overheating and undetected smoldering of the wooden substrate materials.

Thought should be given to the design and placement of any modern roof appurtenances such as plumbing stacks, air vents, or TV antennas. Consideration should begin with the placement of modern plumbing on the interior of the building, otherwise a series of vent stacks may pierce the roof membrane at various spots creating maintenance problems as well as aesthetic ones. Air handling units placed in the attic space will require vents which, in turn, require sensitive design. Incorporating these in unused chimneys has been very successful

in the past.

Whenever gutters and downspouts are needed that were not on the building historically, the additions should be made as unobtrusively as possible, perhaps by painting them out with a color compatible with the nearby wall or trim.

Maintenance

Although a new roof can be an object of beauty, it will not be protective for long without proper maintenance. At least twice a year, the roof should be inspected against a checklist. All changes should be recorded and reported. Guidelines should be established for any foot traffic that may be required for the maintenance of the roof. Many roofing materials should not be walked on at all. For some—slate, asbestos, and clay tile—a self-supporting ladder might be hung over the ridge of the roof, or planks might be spanned across the roof surface. Such items should be specifically designed and kept in a storage space accessible to the roof. If exterior work ever requires hanging scaffolding, use caution to insure that the anchors do not penetrate, break, or wear the roofing surface, gutters, or flashing.

Any roofing system should be recognized as a membrane that is designed to be self-sustaining, but that can be easily damaged by intrusions such as pedestrian traffic or fallen tree branches. Certain items should be checked at specific times. For example, gutters tend to accumulate leaves and debris during the spring and fall and after heavy rain. Hidden gutter screening both at downspouts and over the full length of the gutter could help keep them clean. The surface material would require checking after a storm as well. Periodic checking of the underside of the roof from the attic after a storm or winter freezing may give early warning of any leaks. Generally, damage from water or ice is less likely on a roof that has good flashing on the outside and is well ventilated and insulated on the inside. Specific instructions for the maintenance of the different roof materials should be available from the architect or contractor.

Summary

The essential ingredients for replacing and maintaining a historic roof are:

- Understanding the historic character of the building and being sympathetic to it.
- Careful examination and recording of the existing roof and any evidence of earlier roofs.
- Consideration of the historic craftsmanship and detailing and implementing them in the renewal wherever visible.
- Supervision of the roofers or maintenance personnel to assure preservation of historic fabric and proper understanding of the scope and detailing of the project.
- Consideration of alternative materials where the original cannot be used.
- Cyclical maintenance program to assure that the staff understands how to take care of the roof and of the particular trouble spots to safeguard.

With these points in mind, it will be possible to preserve the architectural character and maintain the physical integrity of the roofing on a historic building.

This Preservation Brief was written by Sarah M. Sweetser, Architectural Historian, Technical Preservation Services Division. Much of the technical information was based upon an unpublished report prepared under contract for this office by John G. and Diana S. Waite. Some of the historical information was from Charles E. Peterson, FAIA, "American Notes," *Journal of the Society of Architectural Historians*.

The illustrations for this brief not specifically credited are from the files of the Technical Preservation Services Division.

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Decorative features such as cupolas require extra maintenance. The flashing is carefully detailed to promote run-off, and the wooden ribbing must be kept well-painted. This roof surface, which was originally tin plate, has been replaced with lead-coated copper for maintenance purposes. (Lyndhurst, Tarrytown, New York, photo courtesy of the National Trust for Historic Preservation)

niques for preserving, improving, restoring and maintaining historic properties." The Brief has been developed under the technical editorship of Lee H. Nelson, AIA, Chief, Preservation Assistance Division, National Park Service, U.S. Department of the Interior, Washington, D.C. 20240. Comments on the usefulness of this information are welcome and can be sent to Mr. Nelson at the above address. This publication is not copyrighted and can be reproduced without penalty. Normal procedures for credit to the author and the National Park Service are appreciated. February 1978.

Additional readings on the subject of roofing are listed below.

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Technical Preservation Services



Sustainability > Roofs



Not Recommended 93. The vegetation on these green roofs has grown too tall and negatively impacts the character of these historic commercial buildings.



Recommended A cool or green roof is best installed on a flat roof where it cannot be seen from the public right of way and will not negatively impact the character of the historic building.



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Not Recommended Historic roofing materials in good condition should be retained rather than replaced with another material perceived as more sustainable, such as, in this case, solar roofing shingles.



Not Recommended This new, cool white metal roof is not an appropriate material or color for this historic mid-century house.

Recommended Low-scale and sustainable native plants are appropriate for these roof gardens on historic buildings.



Recommended Low-scale and sustainable native plants are appropriate for these roof gardens on historic buildings.



Recommended Low-scale and sustainable native plants are appropriate for these roof gardens on historic buildings.



Recommended Low-scale and sustainable native plants are appropriate for these roof gardens on historic buildings.



Not Recommended 93. The vegetation on these green roofs has grown too tall and negatively impacts the character of these historic commercial buildings.



Recommended A cool or green roof is best installed on a flat roof where it cannot be seen from the public right of way and will not negatively impact the character of the historic building.



Recommended A cool or green roof is best installed on a flat roof where it cannot be seen from the public right of way and will not negatively impact the character of the historic building.

Roofs—Cool Roofs and Green Roofs

Recommended

Retaining and repairing durable, character-defining historic roofing materials in good condition.

Analyzing whether a cool roof or a green roof is appropriate for the historic building.

Installing a cool roof or a green roof on a flat-roofed historic building where it will not be visible from the public right of way and will not negatively impact the building's historic character.

Selecting appropriate roofing materials and colors when putting a new cool roof on the historic building.

Ensuring that the historic building can structurally accommodate the added weight of a green roof and sensitively improving the structural capacity, if necessary.

Ensuring that the roof is water tight and that roof drains, gutters and downspouts function properly before installing a green roof.

Including a moisture-monitoring system when installing a green roof to protect the historic building from added moisture and accidental leakage.

Selecting sustainable native plants that are drought resistant and will not require excessive watering of a green roof.

Selecting appropriately-scaled vegetation for a green roof that will not grow so tall that it will be visible and detract from the building's historic character.

Not Recommended

Replacing durable, character-defining historic roofing materials in good condition with a roofing material perceived as more sustainable.

Installing a cool roof or a green roof without considering whether it will be highly visible from the public right of way and will negatively impact the building's historic character.

Installing a cool roof that is incompatible in material or color with the historic building.

Adding a green roof that would be too heavy and would damage the historic building or supplementing the structural capacity of the historic building in an insensitive manner.

Installing a green roof without ensuring that the roof covering is water tight and that drainage systems function properly.

Selecting vegetation for a green roof that will be visible above the roof or parapet.



MEMORANDUM

To: Historic Preservation / Design Review Commission

From: Adam Kuhn, AICP
Associate Planner / Zoning Administrator

Date: December 6, 2023

RE: Creation of a Citywide Historic Preservation Plan

Background: For the last few months, City staff have been working with the City's Historic Preservation / Design Review Commission in exploring ways to create a citywide historic preservation plan. Originally, the intent was to apply for grant funds from the State Historic Preservation Office's Certificated Local Grant Program to fund an outside consultant to produce the plan. Upon receiving preliminary quotes from qualified consultants, it is apparent that expected expenditures are more than what the aforementioned grant provides. Given the limited discretionary funds available to have a consultant produce the plan, we are shifting plans to have the plan be produced in-house. The following provides more detail as to what a historic preservation plan entails, how that will relate to Stevens Point, and how the Historic Preservation / Design Review Commission will be involved through the planning process.

What is a Historic Preservation Plan?: Simply put, a historic preservation plan is a long-range planning document that determines policies and procedures to protect and promote a community's historic resources. As Commissioners know, one required element of adopting a comprehensive plan is to provide a section on agricultural, natural and cultural resources. This plan will expand the limited scope of a cultural resources element to address items such as incentives, education and tourism (more detail provided below). Once adopted, Stevens Point's Historic Preservation Plan is intended to become the basis for our preservation program and is to complement other long-range planning documents (i.e., Comprehensive Plan, Downtown Targeted Area Master Plan, Comprehensive Outdoor and Recreation Plan, etc.).

www.stevenspoint.com

Open Records Rider: The City of Stevens Point is subject to Wisconsin Statutes relating to public records. Communication, such as this document, sent or received by City employees are subject to these laws. Unless otherwise exempted from the public records law, senders and receivers of City communication should presume that the communications are subject to release upon request, and to state record retention requirements.

What are Core Themes that Will be Explored Throughout the Planning Process?:

Proposed goals, objectives and policies of this plan will be determined through the public engagement phase of the planning process. With that said, there are certain themes that are commonly addressed among peer historic preservation plans. For reference, examples of local historic preservation plans include the following:

- [City of Racine Heritage Preservation Plan](#) (adopted in 2019)
- [City of Madison Historic Preservation Plan](#) (adopted in 2020)
- [City of Des Moines Historic Preservation Plan](#) (adopted in 2023)

Common themes included in preservation plans include the following:

- Evaluating historic resources
 - Conduct a reconnaissance assessment of historic resources within select historic areas.
 - Identify future survey priorities.
- Conduct a social and cultural analysis.
 - Identify the historic context of key social and cultural groups to provide a foundation for effective preservation planning.
- Preserve historic resources that are not under the purview of a municipality's historic preservation commission (i.e., sites/districts that are eligible for listing to the National Register of Historic Places).
- Identify financial resources and incentives to property owners of historic resources.
- Outreach, education and advocacy efforts.
- Connecting preservation planning with local tourism efforts.
- Increased collaboration between a community's preservation commission and other advocacy groups (e.g., historical societies, universities, non-profits, etc.)
- Outline responsibilities of a community's preservation commission and municipal staff.
 - What are specific ordinance amendments and design guideline amendments to pursue?
- Coordinate preservation planning with zoning, land use and growth management policies.

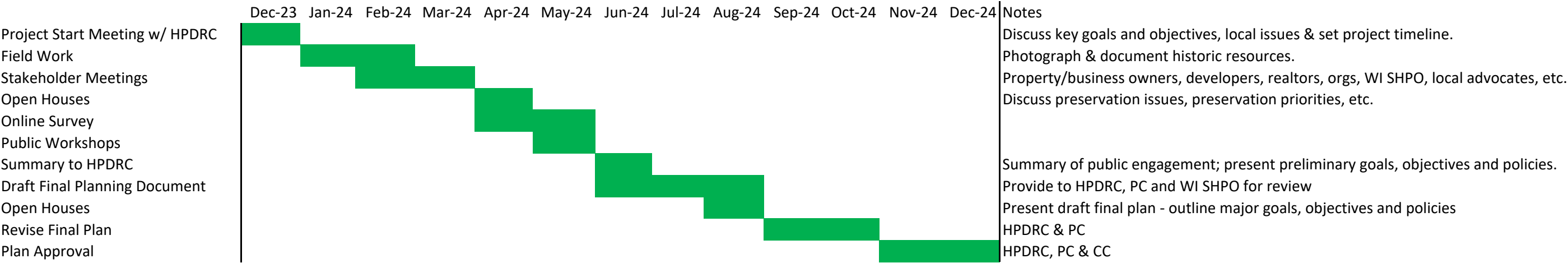
Next Steps: Within the agenda packet includes a preliminary project schedule in preparing this plan, starting with field work and public engagement sessions during Q1 & Q2 of 2024. For this kick-off meeting, I am looking to achieve the following:

- Review common components of a historic preservation plan;
- Discuss and edit, as needed, the proposed project timeline; and
- Discuss general themes that the Commission would like to explore, which will serve as a guide through the public participation process.

If you have any questions, please do not hesitate to contact me.

Historic Preservation Plan Outline:

1. Executive Summary
2. Statement of Goals
3. Preservation Background in Wisconsin & Stevens Point
 - a. Definition of 'historic character' in Stevens Point
 - b. Provide a legal basis for historic preservation and preservation planning
4. Historic Resources in Stevens Point
5. Social and cultural context
6. How to Use the Historic Preservation plan
7. Planning Process
 - a. Timeline of events for creating this plan
8. Goals, Objectives and Policies
 - a. Coordinating preservation with zoning, land use and growth management techniques
 - b. Outline public sector responsibilities for preservation planning
 - c. Incentives
 - d. Education/outreach
9. Implementation



Chapter 1. Why Preservation Planning?

The historic preservation movement in America came of age in the 1970s and the 1980s as evidenced by the explosion in the number of communities that adopted historic preservation ordinances to protect historic resources. A 1975 study by the National Trust for Historic Preservation found 421 communities with local programs to protect historic resources. By 1983, that number had soared to about 1,000. A September 1993 survey by the National Trust for Historic Preservation, the National Park Service, and the National Alliance of Preservation Commissions identified 1,863 communities with historic preservation commissions across the country.

The surge in local interest in historic preservation laws has been accompanied by a new wave of planning at the local, regional, and state levels for the preservation and protection of historic resources. The proliferation of state planning and growth management laws has also increased the importance of preservation planning. Some of these laws mandate that preservation plans be included in comprehensive plans, and most of them require at least consideration of historic preservation issues (see Appendix A.) Especially promising is the move to make preservation planning "comprehensive."

Consider the traditional comprehensive plan. It has four principal characteristics. First, it is future oriented, establishing land-use and development goals that will be attained incrementally over time through regulations, individual decisions about zoning and rezoning, development approval or disapproval, and municipal expenditures for capital improvements, such as road construction and the installation of municipal utilities. Second, planning is continuous in that the plan is intended not as a blueprint for future development that must be as carefully executed as the architect's design for a building, but rather as a set of policies which must be periodically reevaluated and amended to adjust to changing conditions. Third, the plan must be based on a determination of present and projected conditions within the area covered by the plan. Fourth, planning is comprehensive.¹

A comprehensive preservation plan should have similar overall characteristics. The preservation plan may "stand alone" outside of the state, regional, or local comprehensive plan, or it may be adopted as a discreet element of the comprehensive plan. Preservation values may also be integrated into other comprehensive plan elements, such as housing, transportation, and public improvements. However, the most effective preservation plan is adopted as an element of the comprehensive plan complete with goals, definition of historic character, summary of past preservation efforts, survey of historic resources, explanation of legal basis,

discussion of the relationship between historic preservation and other land-use and growth management authority, explanation of public-sector responsibilities, discussion of incentives, summary of the relationship between historic preservation and local education programs, and a statement of an agenda for future action. In addition, other elements of a comprehensive plan should be reviewed to eliminate conflicting goals.

A "noncomprehensive" preservation plan may actually exist in some form in a community's land-use management tools and other public policies. For example, objectives that may be part of a preservation plan can often be found in a community's zoning ordinance or historic preservation ordinance. However, these ordinances do not typically provide the community with a complete, well-thought-out, and comprehensive preservation plan.

A preservation plan will vary depending on the community's stage of development, the size of the community, the number of historic resources located in the community, awareness of local historic resources, and existing protection and incentives for the preservation of historic resources. However, in all cases, a preservation plan is a proactive means of planning for the preservation and protection of a community's character and historic resources.

PURPOSES OF PRESERVATION PLANNING

There are at least 13—and likely more—good reasons why a community should have a preservation plan. Not every community adopts a preservation plan for the same reason or group of reasons. A preservation plan provides the basis for development of a preservation program where none exists, strengthens existing preservation programs, and helps to resolve existing and future conflicts between competing land-use goals. Among the reasons for having a preservation plan are the following:

- 1) To state clearly the goals of historic preservation in the community
- 2) To comply with state zoning or planning enabling legislation requiring local governments to have comprehensive plans and requiring that there be a mandatory (or optional) historic preservation element in that plan
- 3) To let current and future property owners and residents know in advance how the community intends to grow and what the community wants to protect
- 4) To help provide a legal defense against lawsuits alleging unfair treatment of property owners or



arbitrary decisions by government

- 5) To eliminate uncertainty or confusion about the purpose, meaning, and content of an existing local historic preservation ordinance
- 6) To form the basis for adoption of a new historic preservation ordinance or to strengthen the legal basis of an existing historic preservation ordinance
- 7) To ensure consistency, or eliminate inconsistency, between various local government policies that affect the community's historic resources
- 8) To educate and inform citizens about their heritage and its value to the community
- 9) To create an agenda for future preservation activities and to create a way to measure progress in protecting historic resources
- 10) To provide a basis for interim protection of historic resources while steps are taken to adopt a formal preservation ordinance to protect those resources
- 11) To comprehensively address issues relating to tourism, zoning, traffic patterns, development patterns, and design that affect historic resources
- 12) To encourage economic development through the preservation of historic resources
- 13) To strengthen the political understanding of and support for historic preservation policies

The preservation plan will vary depending on the community's stage of development, its size, the number of historic resources, awareness of them, and existing protection and incentives for preservation. The resources and communities can be quite different. Consider, multifamily housing in St. Paul (upper left); homes in the Church Hill historic district in Richmond, Virginia (lower left); stone houses in Oley Township, Pennsylvania (upper right); and the Lit Brothers Building in Philadelphia (lower right).



TYPES OF PRESERVATION PLANNING

Preservation planning can be generally classified into the following types:

- Statewide preservation planning
- Regional preservation planning
- Citywide preservation planning
- Neighborhood preservation planning

This report will focus on city and neighborhood preservation planning, and, to some extent, on the newly evolving form of preservation planning that is emerging on a regional and state basis, especially regional planning for heritage tourism development and for protection of rural historic resources. While planning for individual structures or small groups of structures is the typical building block of citywide or neighborhood preservation planning, preservationists now understand that plans must be prepared in the context of the larger community and region, and must consider zoning, transportation, public improvements, and other land-use management tools.

WHAT IS A PRESERVATION PLAN?

No two preservation plans are the same. Just as a preservation ordinance evolves in response to particular local conditions and needs, so too must a preservation plan be a unique document that responds to the goals of the particular community.

Is a plan always a single written document? No. The plan may exist in policy statements in a variety of ordinances, programs, and public pronouncements by local officials concerning the community's heritage. Also, the preservation plan may exist in comprehensive plan elements, such as land use, housing, economic development, and transportation, among others. Consistency between these various documents and comprehensive plan elements is essential to provide clarity and insurance against a legal attack that the preservation plan is vague, inconsistent, and unenforceable.

Sometimes, the preservation plan is implicit. For example, local preservation commissions, through alteration or design review decisions, create an accumulated body of unwritten precedents that will guide their future actions.

More and more frequently, however, the preservation plan is a formal written document that reconciles policies and procedures regarding the community's historic resources into a coherent whole. These preservation plans are used as the basis for the community's preservation program and may be adopted as an element of the community's comprehensive plan. What are the essential components of a good preservation plan? There are at least 10 essential

components that should be contained (or addressed) in every formal written preservation plan. These components are summarized here and treated in detail in Chapter 2.

- 1) Statement of the *goals* of preservation in the community, and the purpose of the preservation plan
- 2) Definition of the *historic character* of the state, region, community, or neighborhood
- 3) *Summary of past and current efforts* to preserve the community's or neighborhood's character
- 4) *A survey of historic resources* in the community or neighborhood, or a definition of the type of survey that should be conducted in communities that have not yet completed a survey
- 5) *Explanation of the legal basis* for protection of historic resources in the state and community
- 6) Statement of the *relationship between historic preservation and other local land-use and growth management authority*, such as the zoning ordinance
- 7) Statement of the *public sector's responsibilities* towards city-owned historic resources, such as public buildings, parks, streets, etc., and for ensuring that public actions do not adversely affect historic resources
- 8) Statement of *incentives* that are, or should be, available to assist in the preservation of the community's historic resources
- 9) Statement of the *relationship between historic preservation and the community's educational system and program*
- 10) A precise statement of goals and policies, including a specific *agenda for future action* to accomplish those goals

Another way to understand the purpose of a preservation plan is to look at the questions it typically tries to answer:

Why is historic preservation important to our community?

What elements of our heritage do we want to preserve?

What have we previously done to preserve and protect that heritage?

What are we currently doing to preserve and protect that heritage?

What should we do to preserve and protect it in the future?

When do we want to begin to add that additional protection?

Chapter 2. Elements of a Good Preservation Plan

There are at least 10 essential elements of a good historic preservation plan. These elements provide the basis for incorporating and reconciling policies and procedures regarding a community's historic resources into a formal written document. Each of these elements will be unique to the state, region, or city to which it applies and will be dependent upon many factors, including the community's stage of development, number and type of historic resources, awareness of the local historic resources, and existing protection and incentives for the preservation of historic resources.

STATEMENT OF GOALS

A statement of goals is the backbone of a historic preservation plan. It provides direction to the community and helps rank various elements of the preservation program. The statement of goals is also the outline for the work program for the community in the area of preservation. It is a statement of the philosophy by which the other provisions of the preservation plan and the preservation program are guided.

In 1987 and 1988, the City of Atlanta undertook a comprehensive review of its process for protecting historic resources. As in so many cities, it was a controversy over demolition of historic structures that prompted the review. Community leaders in Atlanta agreed to participate in a mediated negotiation process as a way to develop a comprehensive program for improving the protection of Atlanta's historic resources. A Preservation Policy Steering Committee consisting of leading developers, preservationists, and city government officials was appointed to work with outside consultants to reach agreement on the elements of the comprehensive preservation plan.

One of the first tasks the Steering Committee had to do was reach agreement on the goals for historic preservation in Atlanta¹. The group developed the following goals:

To preserve and maintain sites and structures that serve as significant visible reminders of the city's social and architectural history

To contribute to the economic development and vitality of the city

To preserve the character and livability of Atlanta's neighborhoods and strengthen civic pride through neighborhood conservation

To integrate historic preservation more fully into Atlanta's city planning system.²

These are typical of the goals and objectives of most historic preservation plans adopted around the country in recent years.

Redlands, California, makes the same statement in a slightly different way:

Redlands intends to identify, maintain, protect and enhance its cultural, historic, social, economic, architectural, agricultural, archeological and scenic heritage. In so doing, Redlands will preserve its unique character and beauty, foster community pride, conserve the character and architecture of its neighborhoods and commercial and rural areas, enable citizens and visitors to enjoy and learn about local history, and provide a framework for making appropriate physical changes.

Redlands intends to provide incentives wherever possible to protect, preserve and maintain the city's heritage.

Redlands intends to foster an understanding and appreciation of its history and architecture.³

The goals statement for Kane County, Illinois, acknowledges the diverse and changing nature of the county and the linkage between heritage protection and landscape protection in the outer suburban fringe of the Chicago metropolitan area.

Locate, designate, and then protect and maintain the County's most important historic and natural sites, districts, and landscapes

Maintain the elements of the landscape that contribute to the attractiveness and historic character of the suburbanizing and urban fringe areas of the County

Retain as a working group those elements of the County's farm landscape, such as farmsteads, fanciers, and cropland, that contribute to the aesthetics, historic character, and economy of agricultural areas

Maintain the historic character of the County's rural towns and villages while encouraging their development as commercial and cultural centers

Improve the economy of Kane County by encouraging expenditures for restoration work, adaptively reusing buildings to improve local economies, and promoting tourism related to historic resources.⁴

The goals stated in the preservation plan should be consistent with the purposes stated in the preservation ordinance that implements the plan,⁵ and with the goals and objectives of the community's comprehensive plan.

DEFINITION OF HISTORIC CHARACTER

The definition of historic character is an essential part of the preservation plan element because it describes the unique character of the community. Over time, the character of a community may change; this provision will provide context and continuity when the preservation plan is updated or amended in the future.

Communities approach this element of a historic preservation plan in many different ways. Some simply provide a capsule summary of the community's history, emphasizing significant dates, trends, events, eras,

people, buildings, architectural styles, neighborhoods, streetscapes, and landscapes. Others go further and try to define what makes this community's heritage different from that of its neighbors or from other communities in the state or region.

Some may actually list the individual structures or the particular neighborhoods or districts that give the community historic significance. Some show them on a map. This is more common in communities that have completed a comprehensive historic structures survey and in smaller communities with only a few scattered historic structures or one clearly defined historic neighborhood or district.

Other communities may define their historic character by referring to the recognition given to some of the community's areas or structures in surveys conducted by state or federal government agencies, or in state registers of historic places or in the National Register of Historic Places.

Evanston, Illinois, a north shore suburb of Chicago, carefully summarizes its distinctiveness in the following statement from the "Character" chapter of its Preservation Plan:

Evanston, which Daniel Burnham described as "the most beautiful city in the world/" derives its special ambience from an effective blending of natural and manmade environments. Distinctive homes, attractive landscapes, generous tree cover, and aesthetic street lighting have long been priorities in plans for Evanston's development. These priorities are still embraced throughout the community.

Evanston's architectural heritage offers unique contrasts, from stately mansions to smaller-scale vernacular houses on tree-lined streets. Open green areas and landscaping, which were given high priority in the early plans of Evanston, are still abundant throughout the community. Trees unify the city's diverse architecture and weave a lovely pattern of greenery throughout the city's neighborhoods. The proud Tallmadge streetlights lend a special charm to Evanston's streets.

The blending of these elements is so appealing and pervasive that it creates the pleasant image of Evanston shared by residents and nonresidents alike.⁶

The proposed Sarasota, Florida, historic preservation plan element of its comprehensive plan defines the historic character of the community by describing the city's wide array of built resources through the relationship of architectural buildings, height of buildings, rhythm of spacing of buildings on a street, lot coverage, rhythm of entrance and porch projections, relationships of materials, rhythm of solids to voids in facades, relationship of room shapes, relationship of textures, height-width ratio of facades, scale, directional expression of front elevation, relationship of colors, and concentrations of resources.

The focus of the Lancaster, Pennsylvania, preservation plan is specifically on community character—the preservation plan is titled "Preserving Community Character, City of Lancaster, Pennsylvania." The plan defines community character in the following way:

The character of a community, its distinctive identity, is defined by its physical, cultural, and social qualities. The City of Lancaster's community character has been shaped by more than 250 years of history, our people, our cultural and social diversity, and the physical environment we created in which to live and work.⁷

To further define the historic character of the community, Lancaster describes the historic development of the city from a colonial city founded in the early 1730s to its growth into an industrial city in the late 19th century. The preservation plan then describes how the built environment reflects the development history of the city. Finally, with the context for development in place, the city's preservation plan describes the existing conditions that have resulted from historic development patterns. It is clear from these provisions that Lancaster's historic character derives from a "dynamic community shaped and strengthened by a rich collective history."

As evidenced by the examples discussed above, the historic character of a community or neighborhood may be described in a variety of ways, but it should include, at the very least, a complete description of the history of development of the community or neighborhood.

SUMMARY OF PAST PRESERVATION EFFORTS-PRESERVATION CONTEXT

A concise and accurate summary of the history of the preservation movement in the community is one of the most important elements in a good preservation plan. This will provide the preservation context in any future disputes concerning protection of the community's heritage.

Business, government, and preservation leadership changes over time. Future leaders need a way to understand how the community's preservation program has evolved. Many preservation controversies result in carefully crafted compromises and trade-offs between preservationists, developers, property owners groups, and local government leaders. Too often such compromises are tacitly understood at the time they are made but never formally adopted in writing. The preservation plan can be the place where the public record on such matters is kept.

Such issues as owner consent to designation, protection of districts versus individual landmarks, review of alteration or demolition, and the handling of cases of economic hardship reoccur time and again in communities with significant historic resources. If a community has already addressed these issues once and settled on an acceptable way of handling them, there is usually no need to address the issue again unless circumstances have significantly changed. The preservation plan can provide the guidance to future generations concerning why the preservation program is structured the way that it is in this community.

The Kane County, Illinois, Historic Preservation Plan details the history of planning and historic preservation over a 60-year period, from the time the county adopted its first zoning ordinance. The preservation plan outlines the surveys and publications that the county has undertaken and other measures that the county has

implemented, such as a county historic preservation ordinance, to preserve and protect historic resources.

Roanoke, Virginia, undertook an extensive public process resulting in a preparation of a preservation plan as part of its overall zoning process. An important result of the process was a written understanding of the history of the historic preservation movement in Roanoke.

The Plan for Preservation for Providence, Rhode Island, provides a detailed description of past preservation efforts:

Providence has been at the forefront of the historic preservation movement almost since the movement's inception. Many hallmarks or "preservation firsts" dot the city's past, and several forward-thinking individuals and important organizations have played a key role in continuing to make Providence a national leader in historic preservation.

For example, in 1844 the Rhode Island Historical Society built a small Greek Revival building for its Providence headquarters, the first structure built by and for an American historical society—

Providence became one of the first cities in the United States to integrate preservation techniques and ideals into its planning process through an effort to save the College Hill neighborhood....

Currently, downtown revitalization poses one of the most formidable preservation challenges. Since 1970, four major department stores have closed; the Outlet Company Store, a landmark which occupied a full block on Weybosset Street, was destroyed by fire in 1986 and its site is still vacant—

Finally, the ultimate preservation challenge in Providence may be to coalesce myriad neighborhood, civic, educational, nonprofit, and other groups into a unified force to strengthen and implement the city's preservation agenda. . . .⁸

Such a summary is especially important for two reasons. First, it alerts government leaders to the precedents that should guide good preservation planning and decision making. Second, it may be considered by judges or juries in preservation disputes that wind up in the courts. A summary of past preservation battles, how they were resolved, and what the working compromises have been may help a judge or jury decide fundamental questions of fairness between the parties in a subsequent preservation dispute.

HISTORIC RESOURCES SURVEY

A community's preservation program should include a process for ensuring that all potential historic landmarks and all potential historic districts eventually are considered for designation. Why is this so important? It guards against singling out some owners of historic structures for designation while other owners with properties equally meritorious under criteria adopted by a community for designation of landmarks or historic districts escape consideration. Courts may call that a violation of the fundamental American legal principles of "due process" and "equal protection of the law."

A preservation plan provides a process for ensuring that all potential historic resources are considered for designation. The survey is the method for identifying and gathering data on a community's historic resources. According to the



Dennis McClendon

As stated in its Plan for Preservation, many hallmarks or "preservation firsts" dot Providence, Rhode Island. One is the Providence arcade, built in 1828.

National Park Service, "a survey includes a field survey, the physical search for and recording of historic resources on the ground, and planning and background research before the field survey begins." It also includes an organization and presentation of survey data as the survey proceeds, and the development of inventories. An inventory, one of the basic products of a survey, is an organized compilation of information on those properties that are evaluated as significant.⁹ Evaluation, the process of paring the survey data to produce an inventory, requires determining whether identified properties meet defined criteria of historical, architectural, archaeological, or cultural significance.¹⁰

All preservation plans should include the results of a historic resources survey. Such a survey provides the community with a specific universe of historic resources and a focus for the implementation of the goals and objectives of the preservation plan. The survey must be updated on a regular basis, particularly where a large number of buildings are involved, to document any changes, and to add buildings and landscapes that become more important to the community over time. The survey is also important because it is an educational tool for residents of the community. Through publication of the survey, the community comes to an understanding that there is a system for recognizing historic resources.

Guidelines for Local Survey: A Basis for Preservation Planning, originally published by the National Park Service in 1970 and updated in 1985, is the best guide for communities interested in undertaking surveys of historic resources. Although it contains information and recommendations with broad applicability, it is designed primarily for use by local government officials and those who undertake surveys of cities and other communities.

Preparation of the survey involves four major steps:

- 1) Planning the survey
- 2) Conducting the survey
- 3) Review and organization of survey data
- 4) Use of survey data in planning

Effective surveys are carefully planned to take into account the community's needs, legal obligations, citizen interest, available funds or expertise of volunteers, and the nature of the historic resources. Some communities have relied on existing state surveys of historic resources or surveys that volunteers have previously prepared locally. These surveys may need to be updated or comprehensively reviewed to provide a current inventory of resources. Will the survey be used as the basis for designation of individual buildings and structures or districts or will it be used to identify possible resources for planning purposes, with more detailed information compiled at some later date for purposes of designation? The questions and issues are many, but the answers are necessary to plan for the survey.

The Secretary of Interior's Guidelines for Identification, as well as common practice, distinguish between two general levels of survey: reconnaissance and intensive survey. Both kinds of surveys involve gathering background data, but the level of detail and research is different.

Reconnaissance surveys are a "once over" inspection of an area, useful in characterizing its resources in general and for developing a basis of how to organize more detailed survey efforts. Such a survey may involve a "windshield survey" of a community that includes driving or walking around a community noting general building distribution, architectural styles, and modes of construction; "walkover" archaeological



Carolyn Torma

There are four approaches or organizing principles (see text) to consider when doing a historic resources survey. No matter which is used, the important point is that all potential historic structures be considered for designation according to criteria in the preservation plan or ordinance. Shown here is a field survey of Fredericksburg, Virginia.

inspection; study of aerial photographs to gain a general understanding of the community's layout and environment at different times during its development; and a detailed inspection of sample blocks or areas.¹¹

An intensive survey is designed to identify precisely and completely all historic resources in the area being studied. It generally involves detailed background research, and a thorough documentation of all historic properties in the field. An intensive survey should produce all the information needed to evaluate historic properties and prepare an inventory.¹²

The type of survey completed depends on the needs of the community. Either type of survey may form the basis of a preservation planning effort. A reconnaissance survey should be undertaken under most circumstances to provide the basis for further intensive research.

Surveys have become increasingly important since the decision of the United States Supreme Court in 1978 in *Venn Central Transportation Company v. New York City*, 438 U.S. 104, 98 S. Ct. 2646 (1978). In that decision, the Supreme Court for the first time recognized that protection of historic resources is a legitimate exercise of the local government "police power." The owners of Grand Central Terminal, whose application to construct a cantilevered 50-story office building above the station had been rejected by the New York City Landmarks Preservation Commission, argued that protection of individual landmarks merited less judicial support than protection of historic districts. The Supreme Court rejected this argument, at least as it applied to the New York City process for designating and protecting both individual landmarks and historic districts.

But the Supreme Court was obviously influenced in its decision in that case by the comprehensive way in which the New York Landmarks Preservation Commission systematically surveyed the city to identify all potential landmarks and districts. As the Court stated, the New York City law "embodies a comprehensive plan to preserve structures of historic or aesthetic interest wherever they might be found in the city, and, as noted, over 400 landmarks and 31 historic districts have been designated pursuant to this plan." (438 U.S. at 132).¹³

Does this mean that a city must have a comprehensive preservation plan in place and completed a historic structures survey before it can designate landmarks or historic districts? No. New York City had an ongoing process to survey and eventually consider for designation all potential landmarks and historic districts. But it does mean that a community's preservation program should include a process for ensuring that all potential landmarks and all potential historic districts eventually are considered for designation.

In smaller communities with only a handful of potential landmarks or one clearly identifiable district, the preservation plan may state the addresses of the significant structures and the geographic boundaries of the single historic district. In larger communities, the preservation plan may state the process for eventually reviewing all parts of the city for potential landmarks or historic districts. Among the methods for ultimately

ensuring consideration of all potential landmarks or districts are the following:

The systematic approach. Schedule consideration by reference to discrete geographic areas or political districts of the city (e.g., north side first, then the south side, etc., or first ward, second ward, etc.) that will be considered.

The timeline approach. Schedule consideration of structures or districts in order of age (e.g., survey the city for all remaining structures that pre-date some critical event or date—like pre-Civil War structures in southern cities, pre-fire or pre-flood structures in other communities—and then consider structures from the next appropriate era or period, etc.).

The stylistic/thematic approach. Schedule consideration of structures by style or theme (e.g., first survey for all Prairie style, Federalist, Beaux Arts, pioneer settlement, Civil War era, early Industrial Revolution, etc., structures or sites, then systematically survey for other significant styles or themes).¹⁴

The crisis approach. Schedule consideration by reference to the strength of the threat to selected historic resources. Consider the most endangered structures first, which might mean consideration of that part of the city experiencing the most redevelopment activity or the most demolition or neglect.

Whatever organizing principle is selected, the important point is that a schedule be created to ensure that all potential historic structures will eventually be considered for designation according to the criteria contained in the community's preservation ordinance or preservation plan.

This does not mean, however, that the community must rigidly stick to a schedule and ignore other reasons for considering a particular building or district. Many communities allow individual owners or even members of the public to propose structures or districts for possible designation. Such a process can continue to operate to present potential candidates for designation to the preservation commission and the local legislative body. It does mean that a community should be proactive as well as reactive, it should have both a program for identifying and considering potential landmarks and districts as well as one for reacting to nominations brought forth by others.

Sometimes, state law requires that historic structure surveys be completed. In Oregon, all local governments (including counties) are required by state law to have comprehensive land-use plans, and every plan must contain a historic preservation plan element. Nineteen statewide goals are established that must be addressed in every comprehensive plan. Goal 5 requires that local programs be adopted to "protect scenic and historic areas and natural resources for future generations."¹⁵ Historic areas are then defined as "lands with sites, structures and objects that have local, regional, statewide or national historical significance."¹⁶ As part

of the Goal 5 process, an inventory of all local historic resources must be completed before the local comprehensive plan can be approved by the State of Oregon, and the resources found in the inventory process must be evaluated to determine their "quality."¹⁷

More and more communities are adding a "ranking" process to the survey or designation process. In some communities, a ranking of landmarks has been precipitated by political realities—elected officials and local governments are unwilling to treat all designated buildings the same. In other words, they want to provide different protection and incentives to landmarks based on an objective ranking system in the belief that some landmarks are more important than others. In other communities, a ranking or evaluation system is implemented solely for planning purposes—to establish priorities for designation and incentives. Sometimes, the ranking system is qualitative in that it is a relative comparison of buildings based on style, design/artistic qualities, materials, construction type, age, and rarity. And, sometimes, it is quantitative—communities assign a numerical value to each of the qualitative categories and then rank the buildings based on total "scores" and scores in particular categories.

A ranking or evaluation system has the advantages of allowing communities to set priorities in an objective manner, creating political flexibility for designation and protection of historic resources, and recognizing that there are a wide spectrum of historic resources, based in both history and architecture, that may require different types of protection and incentives. The survey and evaluation must be completed by a professional familiar with ranking systems. It is also critical that ranking be updated on a regular basis because situations may arise in which rehabilitation of a particular resource may raise its ranking or when demolition of a number of buildings of a particular style may make the remaining buildings with that style in the community unique, thereby increasing their ranking for "rarity." Ranking systems or regulation and protection based on such systems may be inappropriate where a community has only a few historic resources, or in the case of a landmark district, where all of the resources contribute to the significance of the district so that distinctions between the resources are impossible or irrelevant.

The major disadvantage of a ranking or evaluation system is that the community's preservation program may actually be weakened by the implementation of such a system. A ranking system provides different protection and incentive to a particular ranking—a tiered system of protection and incentives. Within such a system, less significant structures become viewed by many, including property owners, elected officials, and developers and others not familiar with the preservation of a community, as dispensable. Such a system may erode the cohesiveness of the historic district if buildings are evaluated on an individual basis as opposed to part of the district as a whole.

Over the past two decades, the historic preservation movement has recognized that what gives a community its unique character is not individually designated museum-quality structures, but rather the entire collection of historic resources. The very ranking system

that is meant to help set priorities for planning purposes and provide certainty to property owners and developers may, in fact, place at risk those structures which, when considered together as a whole, constitute an important component of a community's character and historic fabric. Therefore, a ranking system should only be undertaken after careful consideration and discussion about its likely impacts on the historic resources in and historic character of the community.

The requirement in Oregon that the quality of the inventoried historic resources be determined has led some communities to adopt a detailed system for evaluating the relative significance of inventoried historic sites, structures, and areas. Josephine County has adopted a rating system that evaluates each property in the inventory according to its architectural, environmental, and historical significance. Each of those categories is further divided into subcategories. For example, in the category of architectural significance, the subcategories are as follows:

- A. Style: Significance as an example of a particular architectural style, building type, or convention.
- B. Design/Artistic Quality: Significance because of quality of composition, detailing, and craftsmanship.
- C. Materials/Construction: Significance as an example of a particular material or method of construction.
- D. Integrity: Significance because it retains its original design features, materials, and character.
- E. Rarity: Significance as the only remaining or one of few remaining properties of a particular style, building type, design, material, or method of construction.

Each historic property in the county is evaluated as "excellent, very good, good, or fair/poor" on each of those criteria, and each rating gets a corresponding number of points. For example, the maximum number of points that can be awarded for architecture is 35. Once a property has been scored, its total cumulative point score is compared to the scores of all the other historic resources inventoried. All the resources are then given a final evaluation based on those scores and included in the inventory either as of primary importance, secondary importance, or minor importance. For example, properties of primary importance are defined as "individually the most important sites, buildings, structures, or objects in Josephine County, distinguished by outstanding qualities of architecture, relationship to the environment and historical associations."¹⁸

In Oregon, potential historic districts are identified after all the historic resources have been inventoried and evaluated according to the three required criteria of location, quantity, and quality.

Other communities have also adopted ranking systems. For example, San Francisco ranked its downtown historic resources as part of the preparation of the Downtown Plan. All buildings in the downtown district were designated as Significant Buildings—Category I; Significant Buildings—Category II; Contributory Buildings—Category III; Contributory

Buildings—Category IV; or Unrated Buildings.¹⁹ The designations were based on research undertaken by the Foundation for San Francisco's Architectural Heritage published in a book entitled *Splendid Survivors, San Francisco's Downtown Architectural Heritage*. The criteria that the foundation used for its research were based on the National Register criteria, but were more inclusive. Category I buildings were of the highest importance and reflected buildings that were eligible for listing in the National Register and qualified as city landmarks; Category II buildings were also eligible for the National Register but were only of major importance; Category III buildings were contextually important because of their materials, cornice, size, and general fabric, and these may have been eligible for the National Register. Finally, Category IV buildings were background buildings that generally contributed to the fabric and character of the downtown district. The complete evaluation system included in the San Francisco Planning Code is reproduced in the Appendix G.

Most communities do not use a point system. The Boston Landmarks Commission has developed a ranking system to evaluate historic significance for purposes of designation. Based upon a survey of historic resources, the Landmarks Commission established six categories of significance: Highest Significance, Major Significance, Significant, Notable, Minor, and Noncontributing. The survey and classification provides the commission with an agenda for future designation and helps to establish the protection for existing landmarks. Boston's evaluation system is included in Appendix C. The Chicago Landmarks Commission used a system to evaluate potential landmarks during its comprehensive survey of historic resources. Resources were assigned a color on a map based on their age, integrity, architectural style, and historical significance, among other issues. In this instance, the evaluation was used to help create future workplans for the commission and for future preservation planning purposes.

In other states and in other communities, districts may be identified early on in the survey and inventorying process. Evaluation of the significance of structures within a district is increasingly important. A historic district may contain some structures that are only background structures; that is, they generally contribute to the overall character of the district, but are not outstanding or primary historic resources. Other structures in the district may be "noncontributing"; that is, they do not actively participate in the qualities that give the district its overall character but neither do they specifically detract from the character of that district either. Yet other structures in the district may be "intrusions," structures that detract from the qualities that give the district its historic or architectural significance.²⁰ More and more communities are classifying properties in districts according to such a rating system.

Ranking systems can be controversial. For example, federal funds for publication of *Splendid Survivors*, San Francisco's comprehensive survey that used a ranking system, were denied because many preservation

professionals felt that ranking of historic resources was dangerous precedent. There is a concern that those buildings ranked low on the scale will be the first sacrificed for new development or the first buildings altered beyond recognition. Communities must recognize that a ranking system must be carefully designed and implemented in a positive way to promote preservation and rehabilitation. An evaluation system coupled with regulation will be successful if it is properly designed with strict protection and useable incentives for highly ranked buildings and if it provides property owners the flexibility and encouragement to promote the preservation and rehabilitation of buildings ranked lower on the scale. Communities must also understand that historic resources do not simply stand alone as individual buildings or landscapes but are part of an entire context of a community. Without this understanding, the community will lose its historic and architectural character if only "the best" buildings are protected and preserved.

EXPLANATION OF THE LEGAL BASIS FOR HISTORIC PRESERVATION

Both the legal basis of the preservation plan as well as the legal basis of any ordinances or laws interpreting and applying the goals, objectives, and policies of the plan should be addressed in the planning document itself. This is important because it helps the preservation plan stand up to legal challenges and provides more legitimacy for the plan.

If a preservation plan is a mandatory or optional element of a comprehensive local plan under state law, the preservation plan should reference that state statute. Despite the recent trend toward mandatory local comprehensive planning, most states still do not require that all local communities have land-use plans. In those states, it is sufficient to reference the state statute that gives local government the opportunity to create local land-use plans and provide any background information that supports the concept of including a historic preservation plan element for adoption in the comprehensive plan or developing a separate historic preservation plan.

In some states, a historic preservation element may be required even though not mandatory under state enabling laws governing comprehensive plans. In New Jersey, where historic preservation is only an optional element of a mandated local master plan, the state planning act specifically requires that a historic preservation element must be adopted *before* a community adopts and enforces a historic preservation ordinance.²¹

Providing the legal basis for the preservation plan helps when later challenges to the plan emerge. In Lawrence, Kansas, for example, the Downtown Plan provided that the downtown retail core be preserved and protected (see the case study in Chapter 3.) The plan was used as the legal basis for supporting the city's decision to deny a developer permission to construct a regional shopping center on the fringe of town near an interstate expressway interchange.²²

States Mandating Local Comprehensive Land Use or Master Plans

State	Preservation Element	
	Mandatory	Optional
California		X
Delaware		X
Florida		X ¹
Georgia	X	
Hawaii		X
Maine		X ²
Maryland		X
New Jersey		X ³
North Carolina		X
Oregon		X
Rhode Island	X	
Vermont		X ⁴
Virginia		X
Washington		X
1. Historic preservation is required to be addressed in three mandatory elements: land use, housing, and coastal zone management.		
2. Historic and scenic resources must be considered in the plan.		
3. Preservation plan element is required before adopting and enforcing preservation ordinance.		
4. Plans must include "a statement of policies on the preservation of rare and irreplaceable natural areas, scenic and historic features and resources/"		

COORDINATING PRESERVATION WITH ZONING, LAND USE, AND GROWTH MANAGEMENT

The simplest way to coordinate historic preservation with zoning is to make designated historic districts official zoning districts. In some states, state enabling legislation requires that local historic districts be so classified.²³ In other states, communities have a choice of designating local districts either through the zoning ordinance or through "stand alone" preservation ordinances.²⁴ In yet other states, when state enabling legislation either requires that local historic resources be handled outside the zoning code²⁵ or the state zoning enabling legislation does not specifically mention historic preservation as a legitimate purpose of zoning,²⁶ it is wise to base the local preservation program on some authority other than zoning.

In every community, however, it is important to clarify the relationship between preservation and zoning. Zoning variances or special use applications granted in historic neighborhoods or districts, or for

properties adjacent to historic resources, can have a significant impact on the historic character of the heritage resource. For example, in a historic residential district where one of the essential qualities is a streetscape of single-story cottages with uniform setbacks from the street, an application for a variation from the setback requirements might mar the character of the district. Or a special exception application to allow a commercial use in one of the cottages might also change the character of the district. Conversely, if local zoning promotes the auto-oriented suburban model (as many ordinances do), failure to grant variances for historic properties (e.g., for parking requirements) may destroy historic streetscapes.

The role of the preservation commission in land-use, transportation, and public works decisions has to be addressed.

- Should the preservation commission have clear authority to appear at hearings of the planning board or board of zoning appeals to raise preservation concerns affected by rezonings, special uses, or variations?
- How does the preservation commission get notice of these hearings?
- How much time should the preservation commission be given to review the application prior to the hearing before the planning or zoning board?
- Can the planning or zoning board ignore the concerns of the preservation commission or must the board take the commission's recommendation into account?
- Should all zoning and planning matters concerning or affecting historic resources, including rezonings, special uses, variations, planned unit development applications, and subdivisions, resubdivisions, or consolidations be reviewed by the preservation commission?

To adequately protect historic resources, a preservation plan must take into consideration all of the land-use management tools available in a community. Zoning ordinances must be compatible with and promote the protection of historic resources. Too frequently, zoning ordinances in general (or as applied in particular districts) allow incompatible uses and densities out of line with existing densities in a district with historic resources, thereby threatening historic resources. If prescribed zoning densities did not provide for structures of 10 to 15 stories, as is often the case in commercial districts, property owners would not have the incentive to demolish two- and three-story commercial structures. Instead of demolition, the property owner would have to look to rehabilitation to enhance property values and attract tenants. In residential districts, prescribing densities below existing densities can threaten the character of historic neighborhoods and promote sprawl-type development patterns that can pose a regional threat to historic resources. Zoning-based parking policies that place overwhelming design and economic obstacles in the

path of architects and property owners seeking to renovate and convert old buildings to new uses are another example of how zoning codes can be counterproductive to preservation efforts.

The integration of other land-use management tools with historic preservation can be accomplished in a variety of ways. A preservation plan provides the opportunity to review other land-use management tools and make recommendations for needed changes from a preservation perspective to resolve what may otherwise be viewed as competing objectives. It is also necessary to review the other elements of the comprehensive plan to insert preservation concerns. For example, the Sarasota City Plan includes a housing element that identifies the historically significant housing in the community based on its listing in the National Register of Historic Places, the Florida Master Site File (a state inventory of historic resources) or the local register of historic landmarks.²⁷ In addition, the city has acknowledged in the housing element that the protection of historic resources will also serve to protect and enhance neighborhoods as well as to preserve the character of the entire community.²⁸ Unfortunately, the housing plan element is silent on the methods that the city will undertake to protect and encourage the protection of the historically significant housing stock of the community, even though much of it is endangered because of development pressures as a result of existing zoning regulations. This example highlights a problem with many comprehensive plans—the community's goals are often seemingly unreconcilable because they seek to promote economic development, create affordable housing, promote tourism, protect historic, cultural, and scenic resources, and encourage new development through flexible land-use management tools, among other things. These often competing goals can only be successfully implemented where detailed preservation plans are prepared and adopted into the comprehensive plan *and* where historic preservation issues are integrated into other comprehensive plan elements, such as land use, transportation, housing, and public works.

The City of Albuquerque recognized that the edge districts of historic downtown residential neighborhoods were in decline or in jeopardy from the intensive commercial development pressures of the downtown core. In the downtown development plan, the established strategies address these issues—"Make downtown an asset for neighborhood use; entice neighborhood use of Downtown through shopping corridors and other connections; give interface areas their own identity; strengthen neighborhoods through neighborhood commercial revitalization as well as housing; and strengthen Downtown edges through promotion of residential projects."²⁹ The plan also called for strengthening pedestrian/transit connections and upgrading streets, and concentrating and focusing commercial development pressure within the core rather than at the edges, where it was affecting neighborhoods.

Providence, Rhode Island, provides that the city achieve its preservation goals through broad development policies including those involving urban design and land use:

Urban Design: Future development should adhere to traditional design principles to ensure compatibility with existing structures. These principles should be articulated within the city's regulatory framework to assure the preservation of historic resources and their settings.

Land Use: City regulations and codes should be revised and enforced to promote the preservation of historic buildings. Codes affecting historic properties should be flexible in order to promote shared use and adaptive reuse.³⁰

The City of San Francisco, in its proposed preservation plan element of the City and County Master Plan, includes the following policy:

Assure that municipal regulatory policies are conducive to preservation. Local regulatory rules often act as significant deterrents to the conservation of older buildings. All City departments should consider the impact on historic preservation in the development and enforcement of land use, building code, fire code, environmental review and other city regulations.³¹

The preservation plan then discusses how the regulations involving the state historical building code, zoning regulations, transfer of development rights (TDRs), the California Environmental Quality Act (CEQA), and unreinforced masonry buildings may affect historic resources. Of particular significance are the following:

Zoning Regulations. Zoning regulations should be consistent with the objectives and policies of this element. Allowable height and bulk should be compatible with concentrations of historic buildings. Provisions such as allowable floor area, off-street parking, and side- and rear-yard requirements should be compatible with the aims of this Element.

Transfer of Development Rights (TDRs). TDRs can be effective as a planning tool for redirecting development away from the sites of historic buildings and may have some use in other sub-area plans. Limits on the demand for TDRs affected by the administration of the "Annual Limit Program" on new office space should be evaluated to determine if this process and other constraints in the Downtown Plan conflict with the Historic Preservation goals of the city.³²

The preservation plan must address other land-use management techniques currently in effect in a community to be an effective tool for the preservation of historic resources and to promote economic development within a community or specified area of a municipality. Preservation efforts will not be successful unless other regulatory tools incorporate preservation goals and policies.

DEFINING PUBLIC-SECTOR RESPONSIBILITIES

Municipal and county governments frequently own some of the most important historic resources in the community—city hall, county buildings, libraries, schools, museums, and parks. In addition, local governments are responsible for many infrastructure improvements, including road repair and replacement,

sewer upgrading, sidewalk improvements, public transportation, and street lighting. Decisions regarding the maintenance and disposition of municipally owned property and infrastructure improvements may have substantial impacts on local historic resources, especially if that property is itself historic.

Albuquerque's Center City Downtown Core Revitalization Strategies Plan, completed in 1990, includes the following goals to enhance the cultural heritage of the city.

Downtown shall relate in a complementary manner to other activities within the Center City. Its amenities should strengthen the immediately adjacent neighborhoods and complement rather than compete with those of Old Town. Pedestrian and transit connections should function to strengthen positive interrelationships between Downtown and other major activities within the Center City.

Downtown shall have a sense of place and a strong positive image; it should offer a unique, distinctive identity that expresses Albuquerque's special climate, geography and cultural heritage. This distinctive character should enhance the City's competitive

position nationally, create a destination for tourism, and provide a focal point for community pride and identity.

The Downtown should offer a high-quality urban environment which respects the past, captures present opportunities, and anticipates the future. The

Downtown core shall project high standards of architecture and urban design.

The City of Albuquerque developed a number of strategies that the city would undertake to meet these goals. For example, the city proposed the development of new street lighting standards that would provide consistency throughout the downtown and improve the urban surroundings. Parking and transit were also addressed in the Downtown Revitalization Plan.

The proposed preservation plan of the City of San Francisco addresses the preservation of city-owned historic resources in the following policy:

Demonstrate leadership through preserving and rehabilitating publicly owned cultural resources. A variety of cultural resources are located within public



The City of Paris building, a Beaux Arts structure on San Francisco's Union Square, was demolished in 1981 and replaced with a Neiman Marcus department store. Today, the preservation element of the City and County Master Plan includes provisions to "assure that municipal regulatory policies are conducive to preservation."

Carleton Knight III

rights-of-way and on/in City-owned property. City departments should consider the value of these resources in all projects involving their review and participation. Guidance is offered and should be requested from the Landmarks Board in identifying such resources for any project. Historic features such as street furniture, street lamps, granite curbstones, street markers and signs should be recycled when feasible.³³

A local municipality must recognize that it should act as a steward of historic resources in the community through the preservation of municipally owned property. Such recognition is necessary to add legitimacy to the preservation plan. A municipality will have only limited success in implementing the preservation plan if it does not take responsibility for the historic resources over which it has direct control.

INCENTIVES FOR HISTORIC PRESERVATION

A preservation program is not complete without incentives to promote the protection of historic resources. There are three reasons why incentives should be included in a preservation program.

First, incentives help to offset additional expenditures that may be necessary to comply with a historic preservation ordinance. In some cases, higher costs may be incurred to meet specific design criteria for alterations.

Second, rehabilitation of historic properties can be a catalyst for neighborhood revitalization and conservation. Carefully crafted incentives can be a spark for such district or neighborhood restoration work.

Third, there are instances where a denial of a certificate of appropriateness may be considered an unconstitutional taking. Incentives may be used to offset economic hardships that might arise in a taking.

Every incentive program must be tailored to fit the goals and objectives of preservation in the community.

While the preservation plan does not actually create or implement the incentive, it can summarize how the incentive program works and provide a timetable for its implementation. The preservation plan can also explain the various pros and cons of incentive programs and recommend improvements.

There are many types of incentives. They include property tax abatement, a property tax freeze, a property tax credit, tax-exempt bond financing, mortgage guarantees or credit enhancement, tax increment financing, relief from local sales taxes, local government acquisition and subsequent write-down of sale of historic resources for rehabilitation, direct loans or grants, and relief from zoning and building code regulations. The availability of a particular type of incentive often depends on state enabling legislation. Sometimes, existing local incentives that are available to new construction projects can be made available to owners of historic properties. For example, many communities have facade rebate programs available to property owners and tenants making improvements to commercial buildings. This type of program could be

redesigned so that facade improvements to historic buildings that are consistent with the Secretary of Interior's Standards for Rehabilitation are given preference or priority over other projects. Or, as an alternative, the entire program could be redirected to historic districts or individual historic resources.

Operating expense incentives, such as property tax abatements and property tax freezes directly reduce expenses of income-producing buildings and lower taxes on owner-occupied homes. Examples from around the country involve the following³⁴:

- Commercial historic properties in Alabama are assessed at 10 percent of their appraised value, rather than 20 percent for other commercial properties.
- In Florida, state legislation permits local governments to establish an abatement program abating up to 100 percent of the assessed value of all improvements of historic properties for up to 10 years. Under the legislation, property owners and the local government enter into an agreement establishing covenants and requirements for rehabilitation work.
- Austin, Texas, provides a property tax exemption for income-producing historic properties equal to 50 percent of the assessed value of the structure and 25 percent of the value of the underlying land. No restoration or rehabilitation is necessary. Owners of single-family residential historic properties and historic properties owned by not-for-profits receive an exemption of 100 percent of the assessed value of the historic structure and 50 percent of the value of the land.
- In North Carolina, all historic structures designated by local governments or local landmark commissions are assessed at one-half of their market value. No rehabilitation is necessary, but the owner must apply annually to the tax supervisor of the county, city, or other special taxing unit. If the owner alters the structure and in the process destroys key historic features during the time that the tax relief plan is in effect, a penalty must be paid equal to the tax savings accrued for the previous three years with interest.
- Iowa provides for a 100 percent abatement of property taxes on improvements only for rehabilitated National Register properties. Abatement is taken over a period of 10 years. Taxing authorities must opt to participate in the program. Iowa also has an Urban Revitalization Area program that provides for 100 percent abatement of property taxes on residential and commercial properties. Abatement on commercial properties can be taken over a period of three to 10 years; abatements on residential properties are taken over a 10-year term.

Unlike an abatement program, a property tax freeze program typically provides that property tax assessments are frozen at pre-rehabilitation values for a certain period of time. During this period, taxes may increase annually due to fluctuations in the tax rate.



City of Iowa City

The state of Iowa provides for a 100 percent abatement of property taxes on improvements to National Register properties, such as the Moffitt cottages in Iowa City, which were built by Howard Moffitt in the 1930s with scrap materials taken from the riverbank.

Unlike a 100 percent abatement program, the taxpayer will pay some taxes annually during the period of the property tax freeze but will not pay property taxes on the increased value resulting from the rehabilitation of the property. Examples include the following:

- Illinois provides an eight-year assessment freeze at the pre-rehabilitation value followed by a four-year step-up period for the rehabilitation of owner-occupied residential property. Substantial rehabilitation, comprising at least 25 percent of the assessor's market value, is required.
- Like Illinois, Georgia has a property tax incentive program for single-family homeowners that provides for an eight-year freeze of property tax assessments of substantially rehabilitated historic buildings. The property tax assessment is stepped up to market levels over the two years following the freeze. Unlike in Illinois, substantial rehabilitation in Georgia is defined as expenditures of at least 50 percent of the pre-rehabilitation value.
- South Carolina has combined a freeze and abatement program. Under legislation enacted in 1990, the state provides a two-year assessment freeze during the substantial rehabilitation of a historic property followed by an eight-year period in which the local government will tax property at a rate that is either 40 percent of the post-rehabilitation assessment or 100 percent of the pre-rehabilitation assessment, whichever is greater.

In addition to providing direct property tax incentives, some states and local governments explicitly require that property tax assessments for historic buildings reflect "current use" value rather than "highest and best use." In neighborhoods in which zoning permits medium or high densities and land values are consequently high, this can dramatically reduce property taxes. For example, Washington, D.C., provides that historic properties be assessed based upon

their actual value for their current use. However, to qualify for this type of assessment, property owners must sign an agreement guaranteeing the property's maintenance and preservation for a period of 20 years. A number of states, including Illinois, Connecticut, Idaho, Nebraska, North Carolina, Ohio, South Dakota, West Virginia, and Tennessee, provide that assessment practices must consider the effects of preservation and conservation easements.

Maryland state law enables counties and municipalities to provide a special tax credit for the restoration and preservation of historic structures and the construction of architecturally compatible new structures in historic districts. Restoration or rehabilitation qualifies for a property tax credit up to 10 percent of the property owner's restoration expenses, and compatible new construction qualifies for a credit of up to five percent. Unused portions of the tax credit may be carried forward up to five years. (Other enabling statutes allow Allegheny and Frederick Counties and Baltimore City to establish rehabilitation assessment and abatement programs rather than the tax credit.)

Another type of property tax incentive that should be considered is a deferral program in which the taxes resulting from an increase in assessed value from the rehabilitation of a historic structure are deferred for a period of years or until sale of the property. Unlike an abatement or assessment freeze program, the deferral allows for the recapture of the property taxes due over the period of the deferral. In essence, the deferral is a no-interest loan to the property owner in the amount of the property taxes resulting from the increase in value from the improvement of the historic property.

There may be special problems associated with selecting the right incentive for income-producing historic properties. Property tax incentives can reduce operating expenses. However, downturns in the real estate market can destroy sources of capital for rehabilitation projects. Overbuilding in virtually every market across the country in the 1980s limited the supply of capital available for real estate development in

the early 1990s, particularly for office and hotel projects. When credit and capital for investment in real estate are scarce, financing incentives may be more valuable than operating-expense reductions.

Some states and communities have responded to credit shortages. For example, tax-exempt bond financing has been used to provide grants or loans to not-for-profit organizations that rehabilitate historic properties. It has also been used for private projects either to allow a government agency to purchase property for sale to a developer at a write-down or as a method for directly financing the rehabilitation project.

The Maryland Historical Trust administers a revolving loan fund for acquisition, stabilization, rehabilitation, restoration, site work, and pre-development work funded by tax-exempt bond sales. Eligible borrowers include not-for-profits, government agencies, businesses, and individuals. Preference is given to not-for-profits and projects sponsored by government agencies that include public-private partnerships. Borrowers must be unable to obtain sufficient conventional financing to complete the project and must grant a preservation easement to the Maryland Historical Trust. The maximum loan amount is the lesser of 100 percent of project cost or 80 percent of post-rehab appraised value for rehabilitation of the property; for acquisition, the maximum loan amount is 80 percent of the appraised value. The interest rate is one-eighth percent above the state's cost of funds. The maximum loan term is 20 years.

Another form of financing incentive is mortgage guarantees or credit enhancement for some types of rehabilitation projects that are difficult to finance. The guarantee reduces the risk to the mortgagee, and benefits, such as a waiver or reduction in loan costs or a reduction in interest rates, may be passed along to the developer or property owner. It may also be helpful in securing construction or permanent financing.

Tax increment financing (TIF) can be used in historic districts.³⁵ Increases in tax revenues from the redevelopment are used to pay bonds that have been issued for capital improvements. These capital improvements may include infrastructure improvements, site improvements, and purchases of land or buildings for sale to developers at a significant write-down of acquisition costs. Tax recipient agency revenues are frozen during the term of the TIF district. The increment in tax revenues is used to reduce the debt for infrastructure improvements, site improvements, and acquisition.

Other types of incentives can reduce acquisition or construction costs associated with historic rehabilitation projects. Forgiveness of sales taxes on construction materials may provide substantial savings. In some states, projects taking place within identified "enterprise zones" qualify for sales tax relief. Cities may also provide a pool of funds for acquisition of historic resources and resale at a significant write-down to purchasers agreeing to rehabilitate the historic resource.

A local government may also create a pool of funds for loans or grants for the rehabilitation of historic resources. Loan or grant pools can be financed through direct appropriations or collections from building permit fees or

other fees. Among the better programs are the following:

- The City of Beaumont, Texas, has used a \$250,000 Community Development Block Grant from the U.S. Department of Housing and Urban Development to create a Historic Preservation Loan Program. Under this program, the loans were used for either residential or commercial property. The loan term was for as long as 10 years with no interest. Grants were to be used for exterior rehabilitation, preservation, and the restoration of historic properties publicly or privately owned. Priority was given to residential properties.
- The Maryland Historical Trust provides grants for development planning, acquisition, rehabilitation, and preservation planning to not-for-profits, government-sponsored projects, and private individuals and businesses. Only 10 percent of the funds appropriated during any fiscal year may go to private individuals and businesses.
- The State of Arkansas has authorized a portion of the real estate transfer tax for financing of historic preservation programs, including model business grants for "Main Street" properties.

Some states have instituted tax credit programs at the state level. These programs are similar to federal tax credit programs, but such programs are typically easier to use but only apply against state income taxes. Frequently, the state tax credits can be used for rehabilitation to income-producing property and owner-occupied property.

- Colorado has a program that allows a tax credit not to exceed \$50,000 per qualified property or an amount equal to 20 percent of the aggregate qualified costs incurred per qualified property, whichever is less. Rehabilitation costs must exceed \$5,000. For any given taxable year, the maximum amount of the credit that can be claimed cannot exceed \$2,000, plus an amount equal to 50 percent of the difference between the tax liability of the taxpayer and \$2,000. The tax credit may be carried forward for a maximum of five years if the taxpayer is unable to fully take advantage of the credit in any one year.
- Wisconsin permits owner occupants of historic structures to claim a 25 percent credit against the approved costs of the rehabilitation of the structure. Rehabilitation expenditures must exceed \$10,000. The structure must be listed on the National Register of Historic Places or the Wisconsin Register of Historic Places. A five percent tax credit is also provided for taxpayers of income-producing property taking advantage of the federal rehabilitation tax credit.
- Maryland has implemented a program that authorizes amortization of rehabilitation expenses incurred in connection with the rehabilitation of nondepreciable (owner-occupied, residential) property. The rehabilitation must be certified by the

Maryland Historical Trust and can be claimed ratably over a five-year period.

State income tax credits are not always effective. State income tax rates are usually so low that the benefit of the state tax credit is often insufficient to offset administrative burdens associated with the program. However, some taxpayers planning to rehabilitate their historic structure will take advantage of tax credit programs, and sometimes make improvements that they would not have considered without the tax credit.

Zoning and building code incentives are not direct subsidies. They can, however, have significant impacts on the rehabilitation of historic structures. Local communities must analyze zoning, parking, and other land-use management tools for their effect on historic structures. Simple allowances for the shifting or sale of density may provide enough incentives to owners of historic structures to undertake rehabilitation. In addition, relaxation of use classifications and variance and special use procedures for historic structures may make rehabilitation and reuse more likely. Relaxation of building codes, while not endangering the health, safety, and welfare of the public, is possible to help keep the costs of rehabilitation competitive with new construction. In addition, reductions in permit fees may also provide an incentive for rehabilitation. Relaxation of parking codes can prevent the demolition of properties or the clearing of areas near historic structures that may be necessary to comply with parking requirements.

No one incentive can ensure the preservation of all historic resources. The best preservation programs include a menu of incentives. Flexibility is important. One incentive may help one kind of building but not another. The preservation plan must explain existing incentives and provide a mechanism for their use as well as the development of new incentives. In addition, the preservation plan should provide for periodic review and analysis of incentives to determine which ones are being used by property owners and how those incentives that are currently being underused may be improved to maximize their effectiveness.

Incentives that reduce rehabilitation costs improve project feasibility. Programs that reduce annual mortgage payments also reduce annual costs of ownership. Every reduction in upfront loan costs or interest rates can help to make a project feasible. A reduction in mortgage costs can allow the borrower to borrow more money. Incentives that reduce the operating expenses, such as property tax incentives, increase net operating income or lower holding costs and thereby increase the value of the property. Property tax incentives can give an income property an edge—a pro rata share of property tax incentives are frequently passed through to the tenant. A recently rehabilitated historic property may be better able to compete against other real estate projects for tenants where a tenant knows that the cost of property taxes will be fixed through the term of the lease or that property taxes will be below market during the term of the lease.

The preservation plan must clearly articulate the need for preservation and address the most common objections

to preservation incentives. Property tax incentives can be the most effective incentive but often raise the most political objections. Opponents of property tax reductions frequently argue that such incentives drain local tax revenues and encourage rehabilitation that would have occurred even without an incentive.

Studies of the Washington property tax incentive program refute this. Washington established a special property tax valuation for rehabilitated historic buildings. Under the 1985 legislation, the cost of the improvements to a substantially rehabilitated historic structure are exempt from property taxes for a period of 10 years. According to a study conducted by Washington's Department of Community Development, 122 property owners took advantage of the special valuation program between 1986 and 1991.³⁶ Approximately one-third of the projects would not have occurred without the availability of the special valuation program. Estimates by the Department of Community Development indicate that \$13 million was gained from additional retail sales and other tax revenue generated by the initial rehabilitation. Evidence also indicated that property tax revenue would increase by \$5 million to \$6 million between 1997 and 2001. Even after considering that \$3 million in property tax revenue would be lost because of the incentive, the study showed that there was a total revenue gain of \$15 million to \$16 million, enough to offset property tax revenue lost as a result of the exemptions on two-thirds of the property owners who would have undertaken their project without the incentive.

The Washington experience is typical of what other communities across the country have found. Property tax incentives improve the existing building stock at little or no cost. In fact, because of the way in which dramatic restorations of historic structures improve the character of a neighborhood, investment in rehabilitation of neighboring structures follows. The net result is more rehabilitation and an overall increase in property values that more than offsets the small costs of the property tax incentive.

In selecting the right preservation incentive to be included in a preservation program and a preservation plan, ask and answer the following questions:

What types of incentives are allowed by state or local law?

What existing incentive programs could easily be extended to historic properties?

Do we want to assist owner-occupied historic structures, income-producing historic properties, or both?

But the most important question is to ask Whom do we want to help, and why? And, in answering this question, the community must consider the way in which the local preservation ordinance deals with the issue of the economic hardship that might be imposed when an alteration or demolition permit is denied:

Do we want to help all property owners with fixed or limited incomes or with limited funds to renovate or rehab their properties under the

sometimes more costly methods required when certificates of appropriateness are reviewed by local preservation commissions (i.e., use of wood siding instead of vinyl or aluminum, restoration of porches or cornices rather than demolition, etc.)?

Do we want to help only those property owners who can prove that denial of an alteration or demolition permit is an unconstitutional hardship?

THE RELATIONSHIP BETWEEN PRESERVATION AND EDUCATION

An important function of the preservation plan is to outline a plan for communitywide education on preservation issues and policies. The plan should highlight annual meetings and celebrations revolving around preservation, including the nationally celebrated and recognized Preservation Week held annually during May. Annual awards programs provide recognition for appropriate rehabilitation, give recognition to individual preservation efforts, garner good press, and provide opportunities to educate and inform other residents about the benefits of preservation.

The opportunity to bring preservation values and policies into the public schools should also be addressed. The Kane County, Illinois, Historic Preservation Plan includes the following goal:

Foster public education and greater appreciation and understanding of historic and archaeological resources, and public support for preservation in Kane County.

An explanation of this goal provides that:

the development and continued success of Kane County's historic preservation program, resulting in tangible economic and environmental benefits, requires above all else the understanding and support of the people of the County. The County must work with the municipalities, the school districts, and historical and other organizations to further a general understanding of the importance of the historic built environment to the continued success and attractiveness of the County.³⁷

The Tampa Historic Resources Element includes a goal that provides that the city's architectural review commission "provide for the *education* of the citizens about the City of Tampa's historical, architectural, and archaeological resources." One of the objectives to address this goal makes it the responsibility of the commission to disseminate information about the city's historic resources. One of the methods that the city has identified for implementing this objective is to establish a speaker's bureau, using local preservation professionals, architectural historians, and other experts to visit schools, clubs, and other forums to promote preservation. The historic resources element also provides that the commission will cooperate with Tampa Preservation Incorporated to develop a curriculum to "Teach the Teachers" about Tampa's historic resources so that those teachers can present the curriculum to other teachers and implement it in the classroom. The commission is also responsible for

encouraging other programs to educate students about and create appreciation of local historic resources.

AN AGENDA FOR FUTURE ACTION

A preservation plan must include an agenda for future action for three reasons. One, the agenda will provide time frames and an action plan for implementation of the goals and strategies included in the plan. Two, the agenda will also help set priorities for implementation of the plan. Three, an agenda allows periodic review by local government and the preservation commission to determine progress in meeting stated goals, whether the goals and strategies should be redefined, or whether priorities should be re-established. An action agenda provides a perspective on preservation accomplishments over time.

The action agenda for implementation of the preservation plan can take on a variety of forms. Kane County, Illinois, includes a separate "strategies for implementation" section in the historic preservation plan. Such strategies include improving the effectiveness of the county's historic preservation ordinance, incorporating preservation goals into the land-use decision process, developing cooperative preservation efforts between county and municipal governments, and improving education and public awareness.

The Providence, Rhode Island, preservation plan includes an "Action Strategy for Preservation." (See Appendix F.) It details the goals, actions, first steps, time frame, and participants for implementing the plan. While not providing specific dates, the time frames include "immediate and ongoing," "short term," "mid term," and "long term." The participants that are identified to take the actions specified include government staff and elected representatives and agencies, private not-for-profit organizations, municipal unions, private institutions, and neighborhood organizations. The action strategy included in the Providence preservation plan will enable the community to measure its progress towards its preservation goals.³⁸

The City of Unalaska, Alaska, has taken a somewhat different approach in preparing its action agenda for future action. While not as comprehensive as the Providence approach, Unalaska has identified 14 specific projects that the city and historical commission should undertake to promote the preservation of the community's historic resources. As examples, the preservation plan provides that the historical commission should: propose and assist in the drafting of a local historic preservation ordinance for the city; continue the Cultural Resources Inventory of Unalaska city limits and surrounding areas and publish the inventory; nominate the Jesse Lee Home dormitory to the State Register of Historic Places and the National Register of Historic Place; develop a resource library on Unalaska, prehistory to the present; and preserve the prisoner of war stockade guard tower in Unalaska Valley. The activities involve a variety of preservation strategies, including drafting regulations, recognizing important resources, and developing educational materials. In addition, the Unalaska preservation plan

lists other projects that it hopes to influence but that require the cooperation of federal and state agencies as well as private interests.³⁹

The agenda for action can also be incorporated directly into the goals, objectives, and strategies of the

preservation plan by providing a time frame for implementation of the objectives and strategies. Time frames, even when not mandatory, provide a necessary touchstone for measuring success and adjusting priorities.