

Interviews



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	12/14/2010	001
Report Subject: (b) (6), (b) (7)(C)			
Supplement: Investigative Report			

SUMMARY: From 1999 – 2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C), concerned citizen and former Effigy Mounds National Monument (EFMO) seasonal employee. (b) (6), (b) (7)(C) discussed information and opinions he has learned from current and former National Park Service (NPS) employees and other sources affiliated with EFMO.

Case Name: Effigy Mounds National Monument (EFMO)

Person Interviewed: (b) (6), (b) (7)(C)

Date/Time: 12/14/2010 1200-1500

Location: (b) (6), (b) (7)(C) Residence – McGregor Iowa

Present for Interview: SA Barland-Liles

Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) stated he was a seasonal NPS employee until 1997 in EFMO. EFMO has been an important location throughout (b) (6), (b) (7)(C) life.

After completing his work at EFMO, (b) (6), (b) (7)(C) often returned to the park to recreate. In 1999 (b) (6), (b) (7)(C) began noticing an emphasis on maintenance projects such as boardwalks and platforms which were being added to the parks infrastructure. These additions surprised (b) (6), (b) (7)(C) and he felt many damaged the parks historical land and viewscape.

During March of 2010 EFMO Park Ranger, (b) (6), (b) (7)(C) visited (b) (6), (b) (7)(C) at his house and told him EFMO officials were not following proper compliance procedures required for these projects. This deeply disturbed (b) (6), (b) (7)(C) who began corresponding with other EFMO contacts, academia, the press, the archeological community and affiliated Native American Tribes. (b) (6), (b) (7)(C) also used the Freedom of Information Act to receive documents pertaining to the funding of non-compliant projects and an Operations Evaluation conducted in 2009.

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 12/14/2010
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 (b) (6), (b) research led (b) (6), (b) (7)(C) to believe the EFMO Superintendent, (b) (6), (b) (7)(C), was personally motivated to provide
2 handicap access throughout the monument due to some negative experiences she had in other NPS sites with (b) (6), (b)
3 wheelchair bound mother. (b) (6), (b) (7)(C) believes EFMO's Facility Manager, (b) (6), (b) (7)(C) used the Superintendent's
4 motivation to create large projects that would feed his ego and increase (b) (6), (b) (7)(C) status within the local community.
5 (b) (6), (b) (7)(C) believes the end result was a conspiracy of waste, fraud and abuse that ultimately funded over \$3 million in
6 illegal projects, disturbed and damaged sacred grounds, damaged the public and professional trust, and negatively
7 impacted relationships with affiliates and cooperators destroying a positive NPS image.

8
9 (b) (6), (b) (7)(C) had no explanation about how these projects were funded without proper compliance and questioned if a
10 conspiracy also linked the NPS Regional Office.

11
12 (b) (6), (b) (7)(C) stated numerous NPS employees have provided (b) (6), (b) (7)(C) with information but fear reprisal from the NPS.
13 (b) (6), (b) (7)(C) stated (b) (6) is retired and had nothing to lose by whistle blowing and was happy to help employees if it helped
14 EFMO.

15
16 (b) (6), (b) (7)(C) agreed to provide related email correspondence and other associated corresponding documents.

17
18 (b) (6), (b) (7)(C) stated now that (b) (6) has met with a Special Agent (b) (6) feels his work to expose the non-compliance issues at
19 EFMO is complete.

20
21 (b) (6), (b) (7)(C) stated the National Park Service should remove all illegally funded construction projects and rehabilitate the
22 cultural landscape.

23
24 (b) (6), (b) (7)(C) stated (b) (6) does not understand why (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) are still working for the NPS and not in prison.

25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
Location: Northeast Iowa	IG Case Number: OI-HQ-10-0628-R		
Case Status	Report Date	Report Number	
Open	12/14/2010	002	
Report Subject: (b) (6), (b) (7)(C) – EFMO Administrative Officer			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) who has worked at Effigy Mounds National Monument (EFMO) since 1989 as an Administrative Officer. (b) (6), (b) (7)(C) was aware of non-compliance issues during the tenure of Superintendent (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) was unable to change the behavior of (b) (6), (b) (7)(C) or get a positive corrective response from regional officials when (b) (6), (b) (7)(C) attempted to report (b) (6), (b) (7)(C) practices.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C)
 Date/Time: 12/14/2010 1700-1810
 Location: Prairie Du Chien, WI
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) first became aware of a project with improper compliance issues in 1999 under Superintendent Miller. This project involved visitor access to a trail which was adjacent to a dangerous highway. After the project was completed EFMO officials realized tribal consultations were not properly conducted. (b) (6), (b) (7)(C) described this as an oversight and stated steps were made by Superintendent (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) office to correct the oversight on future projects.

The next EFMO Superintendent was (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) had an agenda to make the park accessible to disabled visitors. (b) (6), (b) (7)(C) felt (b) (6), (b) (7)(C) had a fundamental misunderstanding of the purpose of preserving the cultural resources and landscape of EFMO and misinterpreted the role of a Superintendent. (b) (6), (b) (7)(C) disagreed with officials in the regional office who told (b) (6), (b) (7)(C) EFMO was a “learning park” for (b) (6), (b) (7)(C) and not a National Park Service (NPS) unit (b) (6), (b) (7)(C) would retire at. (b) (6), (b) (7)(C) discussed the implication that EFMO did not deserve a fully committed and professional superintendent.

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 12/14/2010
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1
2 (b) (6), (b) (7)(C) became aware (b) (6), (b) (7)(C) was sending false reports to the regional office indicating project compliance and
3 environmental screening were properly completed in order to receive funding. (b) (6), (b) (7)(C) and other EFMO
4 employees were constantly attempting to advise (b) (6), (b) (7)(C) of proper procedures without success. (b) (6), (b) (7)(C) stated
5 (b) (6), (b) (7)(C) "...didn't want to learn from me or the Chief of Interpretation" and (b) (6), (b) (7)(C) "shot me down." (b) (6), (b) (7)(C) stated
6 (b) (6), (b) (7)(C) would not listen to EFMO's law enforcement officer, (b) (6), (b) (7)(C) who had an extensive academic
7 background related to cultural resources. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) "had no respect for (b) (6), (b) (7)(C)." .

8
9 During the last four years of (b) (6), (b) (7)(C) tenure (b) (6), (b) (7)(C) decided "I am not going to lie for a Superintendent" and
10 attempted to whistle blow to the Midwest Region Office. (b) (6), (b) (7)(C) stated the Regional Director admonished (b) (6), (b) (7)(C)
11 for going outside of (b) (6), (b) (7)(C) chain of command and (b) (6), (b) (7)(C) was unable to find an audience for (b) (6), (b) (7)(C) complaints. (b) (6), (b) (7)(C)
12 stated "Honestly, I said something too late." (b) (6), (b) (7)(C) expressed (b) (6), (b) (7)(C) frustration and the frustration (b) (6), (b) (7)(C) saw in other
13 employees as they attempted "...to keep on the up and up" within a command structure that was failing.

14
15 (b) (6), (b) (7)(C) frustration with the situation grew to a level that (b) (6), (b) (7)(C) wondered why (b) (6), (b) (7)(C) continues to work for the NPS.
16 (b) (6), (b) (7)(C) described the last four years of (b) (6), (b) (7)(C) tenure as "Totally out of control."

17
18 (b) (6), (b) (7)(C) did accept advice from (b) (6), (b) (7)(C) who is EFMO's Administrative Assistant. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C)
19 did not have adequate training and accepting (b) (6), (b) (7)(C) advice instead of the Administrative Officers was
20 inappropriate especially since much of the advice was poor and outside of standard operating procedures, rules
21 and regulations. (b) (6), (b) (7)(C) stated "I had no control over anything in the park." (b) (6), (b) (7)(C) became concerned
22 government documents associated with these projects may be destroyed by (b) (6), (b) (7)(C) and/or (b) (6), (b) (7)(C) so (b) (6), (b) (7)(C)
23 routinely made copies of many documents and stored them at home where they remain. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) intent
24 was to use the copied documents to replace originals if (b) (6), (b) (7)(C) discovered they were destroyed or removed.

25
26 (b) (6), (b) (7)(C) refused to keep an administrative record during (b) (6), (b) (7)(C) nine years despite constant encouragement from
27 (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) knew (b) (6), (b) (7)(C) routinely had conversations with the regional office, affiliated tribes and constituents
28 but would rarely document (b) (6), (b) (7)(C) work or merely use handwritten notes. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) continues to find these
29 notes and files them in an attempt to preserve some sense of (b) (6), (b) (7)(C) tenure.

30
31 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was the facilities manager/maintenance supervisor for EFMO and the "Section
32 106 Coordinator." (b) (6), (b) (7)(C) described (b) (6), (b) (7)(C) as an employee who will "go with the flow" and does not try to
33 make waves. However, (b) (6), (b) (7)(C) said (b) (6), (b) (7)(C) "...makes things happen" and if (b) (6), (b) (7)(C) wanted a project completed
34 (b) (6), (b) (7)(C) would do it. Occasionally (b) (6), (b) (7)(C) heard (b) (6), (b) (7)(C) "...put (b) (6), (b) (7)(C) two cents in" trying to modify (b) (6), (b) (7)(C)
35 vision but would fall in line if (b) (6), (b) (7)(C) resisted.

36
37 (b) (6), (b) (7)(C) was aware the Regional Director, (b) (6), (b) (7)(C) specifically told (b) (6), (b) (7)(C) during a site visit not to build
38 any more sections of proposed boardwalks along the Yellow River since the NPS was attempting to get Wild
39 and Scenic River designation for that stretch. Despite the order, (b) (6), (b) (7)(C) had the boardwalks built.

40
41 (b) (6), (b) (7)(C) noticed a compliance report for a maintenance shed was actually completed after the building was
42 erected. The maintenance building impacted cultural resources and had many compliance deficiencies.
43 Compliance reports are designed to be completed as part of the project funding proposal.

44
45
FOR OFFICIAL USE ONLY

1 After an operations evaluation was completed, (b) (6), (b) (7)(C) met with several affiliated tribal leaders in (b) (6), (b) office.
2 (b) (6), (b) (7)(C) was present during this meeting. (b) (6), (b) (7)(C) explained to the tribal leaders the evaluation results and defended
3 (b) (6), (b) position. (b) (6), (b) (7)(C) told the tribal leaders the reason (b) (6), (b) had the boardwalks and other structures built was for
4 them. (b) (6), (b) (7)(C) heard a tribal leader tell (b) (6), (b) (7)(C) the structures were the exact opposite of what should have
5 happened. That tribal leader explained the structures should remain as an example to future generations of what
6 not to do. (b) (6), (b) (7)(C) added “(b) (6), (b) just didn’t get it.”

7
8 (b) (6), (b) (7)(C) had to return to (b) (6), (b) residence. (b) (6), (b) (7)(C) stated (b) (6), (b) cooperated fully with regional employees during a 2009
9 Operations Evaluation. Most of the comments made during this interview were more fully explored by the
10 evaluation team.
11
12
13
14
15

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	12/15/2010	003
Report Subject: (b) (6), (b) (7)(C) – EFMO Natural Resources Manager			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) who has worked at Effigy Mounds National Monument (EFMO) since 1980 and has been the Natural Resources Manager since 1985. (b) (6), (b) (7)(C) was quickly excluded from EFMO’s decision making group along with other NPS employees after Superintendent (b) (6), (b) (7)(C) arrival.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C)
 Date/Time: 12/15/2010 1400-1540
 Location: EFMO
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) first met (b) (6), (b) (7)(C) when (b) (6), (b) (7)(C) became superintendent of EFMO. (b) (6), (b) (7)(C) learned (b) (6), (b) (7)(C) went from a seasonal National Park Service (NPS) position to superintendent in ten years. Prior to working for the NPS (b) (6), (b) (7)(C) owned a small family business. (b) (6), (b) (7)(C) prior NPS career was curatorial. Over a short period of time (b) (6), (b) (7)(C) noticed (b) (6), (b) (7)(C) lacked many skills and had no appreciation, comprehension or sensitivity for NPS values, resources or mission. (b) (6), (b) (7)(C) explained (b) (6), (b) (7)(C) liked the romance of National Parks but that did not translate to effective leadership.

(b) (6), (b) (7)(C) soon learned (b) (6), (b) (7)(C) had developed a small group of people (b) (6), (b) (7)(C) gained counsel from, Facility Manager (b) (6), (b) (7)(C) and Administration Assistant (b) (6), (b) (7)(C). This removed other professionals and their contributions from project decision making as well as the checks and balances they would normally provide. (b) (6), (b) (7)(C) was one of these professionals. (b) (6), (b) (7)(C) ran EFMO like a business and surrounded (b) (6), (b) (7)(C) self with “yes people” who (b) (6), (b) (7)(C) believes provided poor advice due to a lack of knowledge of policy and regulations.

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 12/15/2010
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 (b) (6), (b) (7)(C) arrival coincided with increased funds available for projects. (b) (6), (b) (7)(C) stated the reduction of the
2 amount of professionals involved in decision making and planning processes accelerated the project approval
3 and implementation process. This acceleration led to shortcuts which eventually became and a normal way of
4 doing business at EFMO. Projects were occurring so quickly and the exclusivity of involved employees
5 became so small that (b) (6), (b) (7)(C) would often be unaware of a projects existence until (b) (6) stumbled upon it under
6 construction. This was especially true with projects funded with year-end funds like a large storage shed built
7 to cover maintenance equipment. This shed was constructed within 100 ft. of a mound and 150 ft. from a
8 hiking trail and it is large enough to visibly detract from both. This project most likely disturbed archeological
9 resources. (b) (6), (b) (7)(C) stated "I was flabbergasted it was even considered." (b) (6), (b) (7)(C) added "Money came almost
10 for the want of it. Controls were not in place to keep up with the process."

11
12 Larger projects, especially boardwalks, often included engineers and archeologist from regional offices.
13 (b) (6), (b) (7)(C) took it for granted these projects had received proper oversight due to their involvement as well as
14 subsequent ribbon cutting and dedication ceremonies attended by regional officials. (b) (6), (b) (7)(C) involvement was
15 near non-existent due to (b) (6), (b) (7)(C) exclusion of him. Occasionally, (b) (6), (b) (7)(C) would feel compelled to state (b) (6), (b) (7)(C)
16 opinion and was told by (b) (6), (b) (7)(C) opinion was a sign of insubordination. (b) (6), (b) (7)(C) stated it felt like (b) (6) was
17 working for the Corps of Engineers rather than the NPS.

18
19 One of these instances involved (b) (6), (b) (7)(C) desire to extend a boardwalk through a wetland and beneath a state
20 listed endangered bird nest. This boardwalk extension would cost over \$400,000 and would provide disabled
21 visitors access to a county road. This project would add a redundant route to a nearby existing trail. This
22 project would also be used to justify future boardwalk extensions. (b) (6), (b) (7)(C) asked (b) (6), (b) (7)(C) to quickly draft an
23 environmental assessment (EA). (b) (6), (b) (7)(C) was opposed to the project and plead with (b) (6), (b) (7)(C) to reconsider.
24 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) wanted the boardwalk and ordered the EA. (b) (6), (b) (7)(C) consulted with a regional official asking if
25 (b) (6) could avoid writing the EA. The official advised the best thing to do to end the project was write a proper
26 EA that exposed the flaws of the proposal. While (b) (6), (b) (7)(C) was drafting the EA, the regional office organized an
27 operation evaluation which exposed these issues and many others. The proposed boardwalk extension was
28 cancelled.

29
30 (b) (6), (b) (7)(C) concluded the NPS made a terrible mistake by putting (b) (6), (b) (7)(C) on a fast track to a superintendent
31 position. (b) (6), (b) (7)(C) added this was complicated by a lack of oversight despite (b) (6), (b) (7)(C) professional deficiencies.
32

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	12/21/2010	004
Report Subject: (b) (6), (b) (7)(C) – EFMO Park Ranger			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) who has worked at Effigy Mounds National Monument (EFMO) as a Park Ranger since 1999. (b) (6), (b) (7)(C) was quickly excluded from EFMO’s decision making group along with other NPS employees after Superintendent (b) (6), (b) (7)(C) arrival. (b) (6), (b) (7)(C) made several unsuccessful attempts to persuade EFMO to gain proper compliance and to get the Regional Chief Ranger to investigate potential violations at EFMO. (b) (6), (b) (7)(C) was not fully aware of the scope of violations until an Operation Evaluation was completed.

Case Name: Effigy Mounds National Monument (EFMO)
Person Interviewed: (b) (6), (b) (7)(C)
Date/Time: 12/21/2010 1400-1448
Location: telephone
Present for Interview: SA Barland-Liles
Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) is the sole Law Enforcement Ranger (subject to furlough) at EFMO. (b) (6), (b) (7)(C) stated within three months of Superintendent (b) (6), (b) (7)(C) arrival (b) (6), (b) (7)(C) was systematically “cut out of the loop” of management decisions and oversight. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) furlough quickly extended from four pay periods a year to ten. It became obvious to (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) had no desire to have law enforcement in the park and (b) (6), (b) (7)(C) position was funded as little as possible. Palmer’s influence on enforcement and compliance issues was rarely sought and (b) (6), (b) (7)(C) attempts to enlighten (b) (6), (b) (7)(C) and other EFMO staff about potential violations were dismissed.

(b) (6), (b) (7)(C) stated potential problems with compliance issues first began at EFMO on Sept. 21, 2001. (b) (6), (b) (7)(C) discovered many years later a memorandum written by (b) (6), (b) (7)(C) EFMO’s Facility Manager, about a handicap accessible boardwalk planned for the Three Mounds area. Within the memorandum, (b) (6), (b) (7)(C) stated

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 12/21/2010
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 the area had been previously farmed and excavated citing records on file within the park. (b) (6), (b) (7)(C) used those
2 references to justify compliance of the proposed boardwalk project. (b) (6), (b) (7)(C) knew of no records available that
3 would verify the compliance claims and suspected (b) (6), (b) (7)(C) bent the facts.

4
5 (b) (6), (b) (7)(C) became aware of compliance issues in 2003-04 when a boardwalk project was built on top of a historic
6 road (over 100 years old) that was built during the Mississippi River steamboat era. (b) (6), (b) (7)(C) did not believe
7 proper compliance was associated with that construction project.

8
9 (b) (6), (b) (7)(C) described an incident in 2003 where contractors used an auger to plant landscaping trees near the Visitor
10 Center. (b) (6), (b) (7)(C) was aware the activity was taking place on top of potential archeological sites. (b) (6), (b) (7)(C) told
11 (b) (6), (b) (7)(C) about (b) (6), (b) (7)(C) concerns and (b) (6), (b) (7)(C) told him there was “blanket 106 compliance” associated with the project
12 which emanated from the facility manager, (b) (6), (b) (7)(C) EFMO’s 106 compliance coordinator. (b) (6), (b) (7)(C) did not
13 believe (b) (6), (b) (7)(C) and disagreed with any reference to “blanket” compliance. (b) (6), (b) (7)(C) returned to the job site to screen
14 the material disturbed by the auger. While screening the material (b) (6), (b) (7)(C) saw fire-cracked rock, charcoal and
15 discovered a piece that looked like the interior of a human skull. (b) (6), (b) (7)(C) sent the piece to regional archeologists
16 who determined it was actually a piece of chert. Despite the findings the archeologists began to understand
17 projects were occurring in EFMO that had not been vetted properly for compliance. They also stated there is an
18 inherent conflict of interest for a park to have a compliance coordinator who is also a facility manager. They
19 alerted other regional officials which resulted in the regional director, (b) (6), (b) (7)(C) advising (b) (6), (b) (7)(C) of the
20 potential violation. According to (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) professed ignorance and asked for compliance training. (b) (6), (b) (7)(C)
21 later reprimanded (b) (6), (b) (7)(C) for failing to follow (b) (6), (b) (7)(C) chain of command.

22
23 (b) (6), (b) (7)(C) described a repatriation project that occurred three to four years ago. (b) (6), (b) (7)(C) was on a review
24 committee for service-wide repatriation projects and was at a conference in San Diego. While at the
25 conference, (b) (6), (b) (7)(C) presented an EFMO project. During the presentation, it became clear to (b) (6), (b) (7)(C) the remains
26 (b) (6), (b) (7)(C) was talking about were not discovered on federal property, therefore authority over those remains fell
27 under the legal control of the state of Iowa, not the federal government. (b) (6), (b) (7)(C) stated this distinction was also
28 clear to other members of the committee. Despite the distinction, (b) (6), (b) (7)(C) later noticed the repatriation of those
29 remains were listed on the federal register and placed within EFMO (Three Mounds). (b) (6), (b) (7)(C) was unsure how
30 this transpired but believes it is an obvious violation and suspects some type of conspiracy. A review
31 committee eventually supported the repatriation, however (b) (6), (b) (7)(C) believes this was evidence of a cover-up.
32 (b) (6), (b) (7)(C) heard Regional Director (b) (6), (b) (7)(C) was reprimanded by the NPS Deputy Director of Cultural
33 Resources for requesting the review. Shortly after the review, (b) (6), (b) (7)(C) received a quality step increase.

34
35 (b) (6), (b) (7)(C) asked regional NPS archeologist (b) (6), (b) (7)(C) if (b) (6), (b) (7)(C) was aware of this repatriation. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C)
36 wasn’t and advised fellow archeologist (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) received a call from EFMO about
37 repatriation into the mounds and advised they were unequivocally not to do that. (b) (6), (b) (7)(C) stated EFMO did it
38 anyway and has seen pictures taken by (b) (6), (b) (7)(C) EFMO’s Natural Resources Manager of (b) (6), (b) (7)(C)
39 burying the remains into Three Mounds.

40
41 (b) (6), (b) (7)(C) believed the hard drive of (b) (6), (b) (7)(C) government computer was being accessed by EFMO’s Administrative
42 Assistant, (b) (6), (b) (7)(C) while following orders from (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) stated EFMO employee Ken Block saw
43 (b) (6), (b) (7)(C) doing it and told (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) has since been careful about information (b) (6), (b) (7)(C) leaves within (b) (6), (b) (7)(C)
44 computer.

45
FOR OFFICIAL USE ONLY

1 (b) (6), (b) (7)(C) stated (b) (6) waited too long to insist upon investigative action from the regional office. (b) (6), (b) (7)(C) said (b) (6) was
2 unaware just how much the regional office was “buffaloed” by (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) stated, “I should have hopped in
3 my P.O.V. and drove to region and raised hell.” When (b) (6) was able to get the attention of the Regional Chief
4 Ranger, (b) (6), (b) (7)(C) an Operation Evaluation conducted by the regional office was already occurring at
5 EFMO. (b) (6), (b) (7)(C) sent (b) (6), (b) (7)(C) a memorandum stating if the evaluation uncovered violations action would be
6 taken. (b) (6), (b) (7)(C) retired soon after.

7
8 (b) (6), (b) (7)(C) stated (b) (6) had additional information and documentation however family obligations required us to
9 postpone follow-up questions until a more convenient time.

10
11
FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	12/22/2010	005
Report Subject: (b) (6), (b) (7)(C) – EFMO Natural Resources Manager			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) who has worked at Effigy Mounds National Monument (EFMO) since 1980 and has been the Natural Resources Manager since 1985. (b) (6), (b) (7)(C) stated the repatriation of Native American remains in Effigy Mounds National Monument (EFMO) is another area of potential violations that needs investigation.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C)
 Date/Time: 12/22/2010 1012-1031
 Location: telephone
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

During an interview with (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) mentioned (b) (6), (b) (7)(C) was in possession of photographs depicting (b) (6), (b) (7)(C) repatriating Native American remains in a mound. (b) (6), (b) (7)(C) stated repatriation is another area of potential violations conducted by (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C). Repatriation was an important emphasis during (b) (6), (b) (7)(C) tenure. It was extremely secretive and (b) (6), (b) (7)(C) was only allowed to participate during the final process when remains were being reburied. (b) (6), (b) (7)(C) took it upon himself to document the precise location of the reburials and took photographs of the burials.

(b) (6), (b) (7)(C) was unsure why repatriation was so important to (b) (6), (b) (7)(C). There was a dramatic increase of tribal communication immediately after (b) (6), (b) (7)(C) arrival and a dramatic decrease of involvement from (b) (6), (b) (7)(C) and other NPS subject matter experts. (b) (6), (b) (7)(C) was aware of numerous (b) (6), (b) (7)(C) trips to Washington D.C. with Regional Director (b) (6), (b) (7)(C). It was (b) (6), (b) (7)(C) understanding the meetings were about repatriation. (b) (6), (b) (7)(C) stated the repatriation was a multi-year process and (b) (6), (b) (7)(C) assumed it was conducted properly at the time. Due to (b) (6), (b) (7)(C)

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 12/22/2010
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 track record with other compliance issues and a lack of scrutiny during the 2009 Operation Evaluation, (b) (6), (b) (7)(C)
2 believes the EFMO repatriation issues need to be investigated.

3
4 (b) (6), (b) (7)(C) stated (b) (6) had photographs and would send them.
5

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	01/14/2010	006
Report Subject: (b) (6), (b) (7)(C) – Regional Cultural Resources Specialist			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) who has been the Midwest Regional Cultural Resources Specialist since 1982. (b) (6), (b) (7)(C) described the year long review process (b) (6) undertook of 78 Effigy Mounds National Monument projects that were completed in violation of the National Historic Preservation Act from 1999-2009.

Case Name: Effigy Mounds National Monument (EFMO)

Person Interviewed: (b) (6), (b) (7)(C)

Date/Time: 01/11/11 / 0800 - 1015

Location: Midwest Regional Office – Omaha NE

Present for Interview: SA Barland-Liles

Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) has been the Midwest Regional Cultural Resources Specialist since 1982. (b) (6), (b) (7)(C) stated cultural resource issues affecting Effigy Mounds National Monument (EFMO) can be traced back to a 1995 service-wide reorganization that delegated oversight authority from the Regional Director to park Superintendents. Suddenly the regional offices were merely advisory entities with no authority to enforce compliance. This created an obvious weakness and numerous Superintendants have since failed to secure proper compliance on projects. EFMO is an extreme example. This also led to a loss of any objectivity or uniformity associated with compliance processes.

(b) (6), (b) (7)(C) became fully aware of the failure of Effigy Mounds to gain compliance. When in 2009, (b) (6) tasked to participate in an Operations Evaluation of EFMO. The Operations Evaluation process is unique to the Midwest Region and (b) (6), (b) (7)(C) has been on the team since 2005. The team evaluates every aspect of park operations

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 01/14/2010
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 following a pre-determined format and involves members from every discipline. (b) (6), (b) (7)(C) evaluates cultural
2 resource protection and compliance.

3
4 Prior to arriving at EFMO, (b) (6), (b) (7)(C) reviewed regional files and online databases. Upon arriving (b) (6), (b) (7)(C)
5 retrieved the cultural resource project files from EFMO Headquarters and immediately noticed they were
6 “spotty.” (b) (6), (b) (7)(C) emphasized every portion of EFMO is on the National Register of Historical Places as a
7 cultural unit therefore every project affects cultural resources and requires numerous review steps before a
8 project can be funded. This is required by the National Historic Preservation Act (NHPA). Some of these
9 requirements include advisement of the State Historic Preservation Office (SHPO), completing an Assessment
10 of Effect form, advisement to the Cultural Resources Management Team, and the twelve affiliated Native
11 American Tribes of EFMO. (b) (6), (b) (7)(C) discovered during (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) reign as EFMO Superintendent (1999-
12 2009) 78 projects were completed without some or all of these advisories. Many of these projects harmed
13 cultural resources and had a detrimental and possibly irreparable impact on the cultural landscape.

14
15 (b) (6), (b) (7)(C) stated it was obvious, through (b) (6), (b) (7)(C) review, EFMO had an unlawful pattern of behavior. (b) (6), (b) (7)(C) stated
16 “Effigy Mounds went to the extreme and did whatever they wanted to do.” (b) (6), (b) (7)(C) added “There was clear intent to
17 circumvent the law by people who are at a high enough level to know better. I can’t explain why they did what
18 they did but they clearly knew what they were doing was against the law.” (b) (6), (b) (7)(C) knew many trained
19 professionals, including him, were available to assist (b) (6), (b) (7)(C) with compliance at EFMO and throughout the
20 region. (b) (6), (b) (7)(C) systematically excluded these professionals and relied upon the advice of EFMO’s Facility
21 Manager, (b) (6), (b) (7)(C) and the Administrative Assistant, (b) (6), (b) (7)(C) who were either unqualified and/or
22 had a professional or personal a conflict of interest.

23
24 (b) (6), (b) (7)(C) review of the files revealed large sums of money were coming from the Regional Maintenance
25 Division to fund many of these illegal projects. (b) (6), (b) (7)(C) explained the Regional Office provided the funds
26 assuming EFMO’s Superintendent had successfully completed (b) (6), (b) (7)(C) advisory obligations and stated there are
27 some obvious issues at the Regional Office where one office does not have input or checks and balances with
28 another.

29
30 (b) (6), (b) (7)(C) returned to EFMO two additional times to complete a document (spreadsheet) required by the Historic
31 Preservation Advisory Council (HPAC) called the “matrix.” The matrix is a compilation of all projects
32 completed at EFMO since 1999 that displays these compliance violations. Compiling the information to
33 complete the Matrix was (b) (6), (b) (7)(C) primary focus for approximately one year.

34
35 Throughout the process (b) (6), (b) (7)(C) continued to profess ignorance as (b) (6), (b) (7)(C) justification for violating the NHPA.
36 (b) (6), (b) (7)(C) attempted to interview EFMO’s Chief of Maintenance (b) (6), (b) (7)(C) who implemented the majority of
37 the 78 illegal projects. (b) (6), (b) (7)(C) refused and snubbed (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) also attempted to interview Sharon
38 (b) (6), (b) (7)(C) and described (b) (6), (b) (7)(C) as untrustworthy.

39
40 After the matrix was completed the Regional Director removed (b) (6), (b) (7)(C) from the EFMO Superintendent
41 position and placed (b) (6), (b) (7)(C) into a regional curatorial position. (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) continue to work at EFMO and
42 (b) (6), (b) (7)(C) is unaware of any form of discipline.

43
44 (b) (6), (b) (7)(C) explained a process used by the HPAC called foreclosure which, if enacted, would impair the ability of
45 the National Park Service (NPS) to complete projects nationwide. The Regional Office has essentially
46 “foreclosed” EFMO by requiring every project, including routine mowing of the mounds, to complete closely

FOR OFFICIAL USE ONLY

Park Case Number: n/a

IG Case Number: OI-HQ-10-0628-R

1 scrutinized compliance via the Regional Office, thus reversing the 1995 decision for EFMO. (b) (6), (b) (7)(C)
2 explained the NPS is the nation's premier protector of cultural resources and would face exponentially higher
3 restrictions if they were foreclosed service-wide by the HPAC. (b) (6), (b) (7)(C) concluded "We should all be very
4 concerned."
5

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	01/14/2011	007
Report Subject: (b) (6), (b) (7)(C) – Former EFMO Chief Ranger			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) who was the Chief Ranger of Effigy Mounds National Monument (EFMO) from 2000-2010.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C)
 Date/Time: 01/11/11 / 1315-2015, 01/13/11 / 1740-2045
 Location: Blair, NE
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) explained (b) (6) first met (b) (6), (b) (7)(C) at Valley Forge National Historical Park when (b) (6), (b) (7)(C) started (b) (6), (b) (7)(C) National Park Service (NPS) career in the late 1980's. (b) (6), (b) (7)(C) soon told (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) life story and explained (b) (6), (b) (7)(C) was beginning a second career after ending a successful business career.

(b) (6), (b) (7)(C) career path grew as (b) (6) traveled to many NPS units throughout the country. (b) (6), (b) (7)(C) occasionally heard about (b) (6), (b) (7)(C) career path and was surprised by how quickly (b) (6), (b) (7)(C) reached the Superintendent level.

In May of 2000, (b) (6), (b) (7)(C) now Superintendent of Effigy Mounds National Monument (EFMO), hired (b) (6), (b) (7)(C) as (b) (6), (b) (7)(C) Chief Ranger. Several months after arriving at EFMO it became obvious to (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) was excluded from many of the traditional duties assigned elsewhere to Chief Rangers. (b) (6), (b) (7)(C) sensed (b) (6), (b) (7)(C) was considered an outsider and (b) (6), (b) (7)(C) career experience or positional expertise was not proactively sought. When (b) (6), (b) (7)(C) would insert (b) (6), (b) (7)(C) opinions (b) (6), (b) (7)(C) was ignored or ostracized. Often (b) (6), (b) (7)(C) opinions were related to projects (b) (6), (b) (7)(C) felt would be detrimental to the cultural resources of EFMO.

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 01/16/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 (b) (6), (b) (7)(C) explained when (b) (6), (b) (7)(C) was faced with making the hiring choice for Chief Ranger, (b) (6), (b) must have felt
2 comfortable hiring (b) (6), (b) (7)(C) because they had previously worked together. Once (b) (6), arrived and began to
3 challenge several operational decisions, (b) (6), (b) (7)(C) began to marginalize (b) (6), (b) role by removing supervision of (b) (6), (b)
4 programs and staff and giving most of those responsibilities to the Administrative Assistant (b) (6), (b) (7)(C)
5 (b) (6), (b) (7)(C) believed (b) (6), (b) (7)(C) was grooming (b) (6), (b) (7)(C) for career advancement and was transferring responsibilities to
6 create employee and program supervision opportunities for (b) (6), (b) (7)(C)

7
8 (b) (6), (b) (7)(C) realized (b) (6), (b) (7)(C) created and led an insular group of decision makers which included the Facility Manager
9 (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) They considered themselves to be “local” and excluded staff that brought more
10 traditional service values and operational experience. (b) (6), (b) (7)(C) stated they treated EFMO like a county park and
11 focused on creating jobs and overtime for local staff members and nearby community day laborers while
12 ignoring the cultural resources within EFMO set aside to be protected for their nationally significant intrinsic
13 values. In doing so, (b) (6), (b) (7)(C) routinely circumvented laws, ignored orders, directives, policies and guidelines.

14
15 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) marginalized all EFMO divisions with the exception of maintenance which received a
16 disproportionate amount of the budget and emphasis. (b) (6), (b) (7)(C) also treated the maintenance staff like (b) (6), (b) personal
17 family and had social interactions with them that were well outside of professional ethical standards. (b) (6), (b) (7)(C)
18 unethical conduct permeated every aspect of EFMO operations and led to a level of favoritism and cronyism
19 never before seen by (b) (6), (b) (7)(C)

20
21 (b) (6), (b) (7)(C) favoritism of the maintenance division and marginalization of other staff led to maintenance staff
22 performing duties in which they had no authority or expertise. This was most prevalent in law enforcement.
23 EFMO is plagued by numerous enforcement issues including dumping, animal poaching, antler collecting,
24 illegal commercial operations and cultural resource theft. Enforcement and detection of these crimes was
25 assigned to maintenance staff as (b) (6), (b) (7)(C) maximized the furlough of EFMO’s lone commissioned Park Ranger
26 and further berated him by providing a lack of support and imposing (b) (6), (b) personal views about criminals, their
27 activities and the effects they have on EFMO. This created unintended but predictable consequences as
28 maintenance employees would occasionally illegally detaining visitors at EFMO. (b) (6), (b) (7)(C) added maintenance
29 employees refused to document and/or report detected illegal activity to minimize the need for on-site
30 enforcement staff. They would also exclude enforcement services provided by cooperating agencies and ignore
31 standard operating procedures choosing instead to manage violators verbally, often apologizing for laws
32 designed to protect NPS sites.

33
34 (b) (6), (b) (7)(C) described becoming so marginalized, micro-managed and scrutinized by (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) that (b) (6), (b)
35 work environment became hostile. The hostile work environment led to adverse effects on (b) (6), (b) personal well-
36 being and disrupted the harmony of (b) (6), (b) home life. (b) (6), (b) (7)(C) admitted “I should have wistleblowed” but (b) (6),
37 petrified of disrupting a 20+ year NPS career which (b) (6), (b) (7)(C) hoped would lead to an upper management position.
38 Eventually (b) (6), (b) (7)(C) left the NPS for another Department of the Interior agency which currently requires him to
39 live a state away from (b) (6), (b) family of six children.

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	01/14/2011	008
Report Subject: (b) (6), (b) (7)(C) & (b) (6), (b) (7)(C) - Archeologists			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) who are regional archeologists at the Midwest Archeological Center (MWAC). (b) (6), (b) (7)(C) has been with the National Park Service (NPS) for 32 years and (b) (6), (b) (7)(C) for 22. (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) described their interactions with Effigy Mounds National Monument during the tenure of Superintendent (b) (6), (b) (7)(C) when over 70 projects were completed without proper compliance.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C) & (b) (6), (b) (7)(C)
 Date/Time: 01/12/2011 / 0900-1125
 Location: Lincoln NE
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) are both Archeologists stationed at the Midwest Archeological Center (MWAC) in Lincoln Nebraska. (b) (6), (b) (7)(C) explained an ill-advised 1995 programmatic agreement reduced MWAC into an advisory unit to Midwest NPS units on cultural resource issues. Since the regional office no longer had any authority over decisions made by Superintendents, they merely provided subject expertise and assistance by assigning a liaison to each NPS unit. (b) (6), (b) (7)(C) was assigned to EFMO starting in 2003. (b) (6), (b) (7)(C) provided liaison services prior to 2003.

In 2000, shortly after (b) (6), (b) (7)(C) started (b) (6), (b) (7)(C) tenure as Superintendent of EFMO, (b) (6), (b) (7)(C) asked (b) (6), (b) (7)(C) how to properly meet compliance issues required by the National Historic Preservation Act and the National Environmental Policy Act. (b) (6), (b) (7)(C) provided the information. (b) (6), (b) (7)(C) learned in 2001, (b) (6), (b) (7)(C) had assigned (b) (6), (b) (7)(C) Facility Manager, (b) (6), (b) (7)(C) the task of completing compliance for each project. (b) (6), (b) (7)(C) immediately realized an inherent conflict of interest in that decision and told (b) (6), (b) (7)(C) of (b) (6), (b) (7)(C) concern. (b) (6), (b) (7)(C) ignored him.

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 01/14/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1
2 (b) (6), (b) (7)(C) started at MWAC in 2003 and would occasionally field phone calls from (b) (6), (b) (7)(C) but (b) (6), (b) (7)(C) felt (b) (6), (b) (7)(C) was
3 not interested in NHPA compliance rather (b) (6), (b) (7)(C) was focused on Americans with Disabilities Act (ADA)
4 accessibility issues which often conflicted with cultural resource protection. (b) (6), (b) (7)(C) would travel to EFMO
5 occasionally to inspect proposed boardwalk sites and perform testing for artifacts along those routes. This was
6 one of many steps needed for archeological clearance for project implementation and completion. (b) (6), (b) (7)(C)
7 stated (b) (6), (b) (7)(C) learned later the proposed routes were not followed and boardwalks were placed upon potential
8 archeological resources, however, (b) (6), (b) (7)(C) would still use (b) (6), (b) (7)(C) testing to claim an archeological clearance
9 for the boardwalk was completed. In reality, the damage to the archeological resource caused by the
10 boardwalks was minimal but the damage to cultural landscapes was great as boardwalks dominated the
11 viewscape and disrupted sacred sites.

12
13 (b) (6), (b) (7)(C) stated many times EFMO would call and receive advice but not formally continue with the consultation
14 process. This gave them a plausible deniability excuse which they often used as their illegal activities became
15 apparent. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) had an “I know best” philosophy and arrogance became (b) (6), (b) (7)(C) “great fallacy.”
16 (b) (6), (b) (7)(C) added the NHPA required advisory comments from numerous associated entities but (b) (6), (b) (7)(C) never
17 cast a wide enough net to receive proper consultation, rather (b) (6), (b) (7)(C) would do a small portion of each step and
18 decide in (b) (6), (b) (7)(C) own mind (b) (6), (b) (7)(C) met the requirements.

19
20 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was often surprised during visits to EFMO by completed projects (b) (6), (b) (7)(C) knew nothing about.
21 This was especially true with a large maintenance shed built on a section of a mound and visible from a nearby
22 visitor trail. After seeing the shed and complaining to some EFMO staff (b) (6), (b) (7)(C) returned to MWAC and received a
23 letter from (b) (6), (b) (7)(C) a few weeks later containing a “para-archeological” report for the shed that (b) (6), (b) (7)(C) claimed
24 was done before the project began. Para-archeologists are unique to the Midwest Region. MWAC trains NPS
25 employees to provide some resource protection services during NPS projects when MWAC is unable to supply
26 staff. Para-archeologists are assigned to each project by MWAC through a consultation process during project
27 development. (b) (6), (b) (7)(C) believes (b) (6), (b) (7)(C) surreptitiously created the letter (b) (6), (b) (7)(C) sent to (b) (6), (b) (7)(C) only after (b) (6), (b) (7)(C) visited
28 EFMO and saw the shed. (b) (6), (b) (7)(C) stated the shed would never have been approved if they properly followed
29 the compliance process. (b) (6), (b) (7)(C) added “The embarrassment is in the actual impact to the sacredness of the
30 setting.”

31
32 This lack of proper consultation also effected repatriation projects at EFMO. According to (b) (6), (b) (7)(C) a former
33 archeologist of MWAC, (b) (6), (b) (7)(C), had proactively prepared a known site for future repatriation activities.
34 When (b) (6), (b) (7)(C) learned of repatriation activities at EFMO, (b) (6), (b) (7)(C) described the location of the predetermined site.
35 (b) (6), (b) (7)(C) realized (b) (6), (b) (7)(C) did not seem satisfied with the location and emphasized (b) (6), (b) (7)(C) should never seriously
36 consider using an existing mound for repatriation activities due to the probable disturbance of human remains.
37 (b) (6), (b) (7)(C) later saw photographs of (b) (6), (b) (7)(C) burying Native American remains in a large hole dug into a mound
38 directly behind the visitor center.

39
40 (b) (6), (b) (7)(C) believed (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) would use previous disturbances to mounds (i.e. farming activity) as a
41 justification for their ability to perform additional activities. (b) (6), (b) (7)(C) stated the term disturbance is nuanced
42 within the archeological world. As the field continues to mature primarily due to technological advancements,
43 archeologists are discovering important finds despite previous disturbances. A disturbance does not necessarily
44 diminish the sacredness or significance of a site. (b) (6), (b) (7)(C) cited a recent study that revealed effigy and burial
45 mounds were not plainly visible to the naked eye due to disturbance caused by farming and the development of
46 the NPS visitor’s center. The study also revealed (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) had extended a leach field directly into an

FOR OFFICIAL USE ONLY

1 effigy (bear) mound which most likely contains Native American remains. No compliance was sought for the
2 leach field extension project. (b) (6), (b) (7)(C) was most disgusted by this project and believes many additional
3 academic studies will be performed exposing the damage caused during (b) (6), (b) (7)(C) tenure. (b) (6), (b) (7)(C) added “I feel I
4 was used by Superintendent (b) (6), (b) (7)(C)

5
6 (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) learned the Operations Evaluation was taking place at EFMO and were asked by their
7 supervisor, (b) (6), (b) (7)(C) to collect their EFMO documentation and correspondence for future
8 documentation by (b) (6), (b) (7)(C) the Regional Cultural Resource Specialist. (b) (6), (b) (7)(C) realized many of the
9 concerns articulated during the 1995 programmatic agreement had come true at EFMO. (b) (6), (b) (7)(C) stated (b) (6),
10 not shocked by the results of the Operation Evaluation due to the self-imposed lack of oversight within the NPS.
11 (b) (6), (b) (7)(C) desire to focus on accessibility and providing jobs to the local community and perspective of EFMO
12 being a “park” rather than a cultural resource allowed (b) (6), (b) (7)(C) to take advantage of the lack of oversight. (b) (6), (b) (7)(C)
13 described these factors as “the perfect storm” which may have permanently damaged EFMO.

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	11/14/2011	009
Report Subject: (b) (6), (b) (7)(C) – Assistant Regional Director			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) who is an Assistant Regional Director and the manager of the Midwest Archeological Center. In November 2009 (b) (6), (b) (7)(C) attended a consultation of tribal leaders affiliated with Effigy Mounds National Monument (EFMO) and members of the Iowa State Historic Preservation Office (SHPO). During that consultation it was discovered Superintendent (b) (6), (b) (7)(C) misled the tribes and SHPO.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C)
 Date/Time: 01/12/2011 / 1130 - 1230
 Location: Midwest Regional Archeological Center (MWAC)
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) is an Assistant Regional Director and manages the Midwest Archeological Center (MWAC). (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) knowledge of the issues surrounding EFMO coincided with an Operations Evaluation (OE) completed in 2009. The OE revealed over 70 EFMO projects, primarily associated with boardwalks and platforms built to provide access to Americans with disabilities, were completed without proper compliance required by the National Historic Preservation Act.

In November of 2009, (b) (6), (b) (7)(C) was asked by the Regional Director to participate in a consultation with the twelve tribes affiliated with EFMO and members of the Iowa State Historic Preservation Office (SHPO). At the time (b) (6), (b) (7)(C) was still the Superintendent of EFMO and (b) (6), (b) (7)(C) managed the consultation. It quickly became apparent to (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) had recently led the tribes and SHPO to believe (b) (6), (b) (7)(C) was required to build the boardwalks by (b) (6), (b) (7)(C) regional managers in order to provide handicap access. (b) (6), (b) (7)(C) took the opportunity to

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 01/14/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 explain that was false and the projects conducted at EFMO were under (b) (6), (b) (7)(C) direction and most likely would
2 not have been approved if (b) (6), (b) (7)(C) had performed proper consultation with them. A leader of the Ho-chunk Tribe
3 asked (b) (6), (b) (7)(C) why (b) (6), (b) (7)(C) did not consult with him prior to building. (b) (6), (b) (7)(C) professed ignorance and began to cry.
4 Several additional tribal leaders explained to (b) (6), (b) (7)(C) many of the boardwalks, platforms and structures (b) (6), (b) (7)(C) had
5 built were on top of their ancestor's graves and were destructive to the sacredness of the site. It became clear to
6 (b) (6), (b) (7)(C) most of the tribal leaders did not know they should be consulted on every project within EFMO. Some
7 tribal leaders recommended the piers of the boardwalks remain as "monuments of government stupidity." One
8 tribal leader asked (b) (6), (b) (7)(C) why (b) (6), (b) (7)(C) thought their ancient cemeteries should be treated as places for tourists to
9 walk their dogs.

10 (b) (6), (b) (7)(C) believes (b) (6), (b) (7)(C) picked (b) (6), (b) (7)(C) own direction, made (b) (6), (b) (7)(C) own decisions and ignored procedure in order to
11 follow that direction. (b) (6), (b) (7)(C) added (b) (6), (b) (7)(C) is hard headed enough that no one is going to tell (b) (6), (b) (7)(C) how to run
12 (b) (6), (b) (7)(C) park."

13 (b) (6), (b) (7)(C) took the opportunity after the consultation to visit the Sny Magill unit of EFMO. (b) (6), (b) (7)(C) previously
14 visited the unit decades ago and enjoyed a sense of discovery (b) (6), (b) (7)(C) had searching for the mounds due to its lack of
15 development. (b) (6), (b) (7)(C) said (b) (6), (b) (7)(C) latest visit revealed the site now looked like a golf course. (b) (6), (b) (7)(C) stated "It was
16 disgusting."

17 (b) (6), (b) (7)(C) admitted numerous management opportunities were missed at EFMO primarily due to a decision in 1995
18 to remove oversight authority from the regional office and rely entirely on park Superintendents. Travel
19 ceilings and budget constraints further reduced oversight effectiveness. (b) (6), (b) (7)(C) was dismayed about why (b) (6), (b) (7)(C)
20 would ever be hired as a Superintendent and added Superintendents were often set loose without any training in
21 protecting cultural resources. (b) (6), (b) (7)(C) expressed anger at (b) (6), (b) (7)(C) for using the professionals in (b) (6), (b) (7)(C) office to
22 surreptitiously complete (b) (6), (b) (7)(C) personal goals which were counter to the mission of the NPS.
23
24
25

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
Location: Northeast Iowa	IG Case Number: OI-HQ-10-0628-R		
	Case Status	Report Date	Report Number
	Open	01/14/2011	010
Report Subject: (b) (6), (b) (7)(C) – Associate Regional Director of Cultural Resources			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) who is the Associate Regional Director of Cultural Resources. (b) (6), (b) (7)(C) started (b) (6), (b) (7)(C) current position as an Operational Evaluation uncovering Effigy Mounds National Monument (EFMO) violations was being conducted. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) attempted to sabotage regional efforts to begin repairing EFMO.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C)
 Date/Time: 01/12/2011 / 2:30-4:50
 Location: Omaha, NE
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) became the Associate Regional Director of Cultural Resources in March 2009 shortly before an Operations Evaluation (OE) of EFMO was completed. (b) (6), (b) (7)(C) learned 78 projects were illegally completed at EFMO without properly securing compliance consultations during the tenure of Superintendent (b) (6), (b) (7)(C). (b) (6), (b) (7)(C) learned many of these projects were completed despite directions from the Regional Directors Office and/or the Midwest Archeological Center. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) first year at the regional office was dedicated to documenting compliance violations at EFMO and assisting with the reformation of the park. (b) (6), (b) (7)(C) stated many EFMO staff members were reluctant to get EFMO back into compliance. For instance, (b) (6), (b) (7)(C) was reluctant to accept a direct order from the Regional Director to immediately remove a particularly egregious boardwalk section and Davis learned (b) (6), (b) (7)(C) stated it would be removed over (b) (6), (b) (7)(C) dead body. Other staff members were unknowingly part of the problem but had been systematically marginalized during (b) (6), (b) (7)(C) tenure.

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 01/14/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 (b) (6), (b) (7)(C) also heard (b) (6), (b) (7)(C) attempted to sabotage regional efforts to begin repairing EFMO by providing
2 misinformation to the Iowa State Historical Preservation Office and many Native American Tribes affiliated
3 with EFMO. (b) (6), (b) (7)(C) apparently told these entities the regional office required (b) (6), (b) (7)(C) to build in EFMO due to the
4 Americans with Disabilities Act.

5
6 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) completely failed to understand Section 106 compliance and consultation policies and/or
7 decide to ignore these policies. (b) (6), (b) (7)(C) added “We’ve tried to understand how a park can behave so badly...
8 Wherever they had a chance to screw up, they did.” (b) (6), (b) (7)(C) stated the accumulative effect of (b) (6), (b) (7)(C) actions
9 “destroyed the park” and it will take decades of hard work to begin to repair the damage to the cultural resource
10 and the National Park Service’s reputation.

11
12 The Regional Director removed (b) (6), (b) (7)(C) from the Superintendent’s position and (b) (6), (b) (7)(C) accepted a transfer to a
13 regional curator position. (b) (6), (b) (7)(C) now works for (b) (6), (b) (7)(C)

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
Location: Northeast Iowa	IG Case Number: OI-HQ-10-0628-R		
Case Status	Report Date	Report Number	
Open	01/14/2011	011	
Report Subject: (b) (6), (b) (7)(C) – Former EFMO Museum Technician			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) who was the Museum Technician from (b) (6), (b) (7)(C) to (b) (6), (b) (7)(C). (b) (6), (b) (7)(C) described the dysfunction (b) (6), (b) (7)(C) encountered at Effigy Mounds National Monument.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C) – former EFMO Museum Technician
 Date/Time: 01/13/11 / 1000 - 1115
 Location: Pipestone MN
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) was hired by Effigy Mounds National Monument (EFMO) in (b) (6), (b) (7)(C) as a temporary Museum Technician and was supervised by (b) (6), (b) (7)(C). (b) (6), (b) (7)(C) quickly learned routine duties associated with (b) (6), (b) (7)(C) position had not been accomplished for quite some time. When (b) (6), (b) (7)(C) discovered portions of duties had been accomplished (b) (6), (b) (7)(C) learned it was inappropriately done by (b) (6), (b) (7)(C) and/or (b) (6), (b) (7)(C) husband (b) (6), (b) (7)(C) such as annual museum and collections/artifact inventories. (b) (6), (b) (7)(C) also saw tense staff dynamics and realized two camps existed. (b) (6), (b) (7)(C) admitted (b) (6), (b) (7)(C) spent a great deal of energy remaining neutral adding “everyone there was crazy.”

(b) (6), (b) (7)(C) first noticed (b) (6), (b) (7)(C) spent more energy trying to control the office than performing (b) (6), (b) (7)(C) job. (b) (6), (b) (7)(C) noticed (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) had an unusual and unprofessional mother/daughter relationship that dominated the headquarters building.

Another dominant force was the Facilities Manager (b) (6), (b) (7)(C) who appeared to be “empire building” and was considered a “hero” by all of (b) (6), (b) (7)(C) people. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was leading (b) (6), (b) (7)(C) “down a rabbit hole” and (b) (6), (b) (7)(C) was fueling that by providing poor, self-serving administrative advice.

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 01/14/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1
2 (b) (6), (b) (7)(C) noticed EFMO's sole law enforcement officer, (b) (6), (b) (7)(C) was never in the park due to long
3 furloughs and out-of-park assignments which resulted in bizarre "patrols" performed by untrained and
4 ineffective maintenance staff. (b) (6), (b) (7)(C) stated it was the most dysfunctional work group (b) (6), (b) (7)(C)
5 described it as a "monkey cage."

6
7 In 2009, an Operations Evaluation was conducted at EFMO. In December 2009, (b) (6), (b) (7)(C) asked (b) (6), (b) (7)(C) to
8 transition to performing project compliance duties for numerous pending proposals. (b) (6), (b) (7)(C) told (b) (6), (b) (7)(C) (b) (6), (b) (7)(C)
9 would take care of him if (b) (6), (b) (7)(C) accepted the new duties. (b) (6), (b) (7)(C) accepted and was sent to training courses and
10 began project compliance work. In April 2010, (b) (6), (b) (7)(C) was replaced by (b) (6), (b) (7)(C) who took over compliance
11 issues due to (b) (6), (b) (7)(C) background. (b) (6), (b) (7)(C) began working for the Regional Cultural Resources Specialist (b) (6), (b) (7)(C)
12 (b) (6), (b) (7)(C) who was responsible for researching completed EFMO projects to determine and document
13 compliance practices.

14
15 Eventually (b) (6), (b) (7)(C) found the situation too awkward to tolerate and left EFMO for a non-NPS assignment.
16
17

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	01/20/2011	012
Report Subject: (b) (6), (b) (7)(C) – Former EFMO Cultural Resource Specialist			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act.

The following is an interview with (b) (6), (b) (7)(C) who worked at Effigy Mounds National Monument (EFMO) from (b) (6), (b) (7)(C) as the Cultural Resource Specialist. (b) (6), (b) (7)(C) chose to leave EFMO shortly after (b) (6), (b) (7)(C) work duties were restricted by Superintendent (b) (6), (b) (7)(C) to curatorial duties.

Case Name: Effigy Mounds National Monument (EFMO)

Person Interviewed: (b) (6), (b) (7)(C)

Date/Time: 01/20/2011 / 1120 - 1256

Location: telephone

Present for Interview: SA Barland-Liles

Method of Documentation: Interview notes

Narrative

In 1999, (b) (6), (b) (7)(C) was hired by former EFMO Superintendent (b) (6), (b) (7)(C) as a Cultural Resource Specialist. At the time, (b) (6), (b) (7)(C) was completing an advanced Anthropology/Archeology degree at the University of Wyoming. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) hired (b) (6), (b) (7)(C) to help prepare the monument for future land acquisitions and Native American Graves Protection and Repatriation Act projects.

While working for Miller, (b) (6), (b) (7)(C) was assisting EFMO's Facilities Manager, (b) (6), (b) (7)(C) with project compliance. (b) (6), (b) (7)(C) showed (b) (6), (b) (7)(C) the process and (b) (6), (b) (7)(C) understood (b) (6), (b) (7)(C) would oversee compliance issues for all of EFMO's future projects.

In 1999 (b) (6), (b) (7)(C) was replaced by (b) (6), (b) (7)(C) When (b) (6), (b) (7)(C) first met (b) (6), (b) (7)(C) it became clear to (b) (6), (b) (7)(C) had very little understanding of cultural resource protection issues or obligations. (b) (6), (b) (7)(C) noticed (b) (6), (b) (7)(C) could not properly pronounce archeology ("arch-ology"). (b) (6), (b) (7)(C) admitted to (b) (6), (b) (7)(C) while in High School in nearby Waukon IA (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) friends would often picnic on burial mounds and dig into them to find Native American

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 12/20/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 remains. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was incompetent yet thought of herself as a “Queen.” (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C)
2 wanted to be in charge and must have been intimidated by (b) (6), (b) (7)(C) because (b) (6), (b) (7)(C) was a young female and better
3 trained and educated in cultural resources. This became most prevalent with project compliance. (b) (6), (b) (7)(C)
4 decided (b) (6), (b) (7)(C) was in charge of compliance which seemed like an obvious conflict of interest to (b) (6), (b) (7)(C) (b) (6), (b) (7)(C)
5 (b) (6), (b) (7)(C) alerted employees at the regional office of (b) (6), (b) (7)(C) concerns and they advised (b) (6), (b) (7)(C) to “pick (b) (6), (b) (7)(C) battles.” Soon
6 (b) (6), (b) (7)(C) found (b) (6), (b) (7)(C) had marginalized (b) (6), (b) (7)(C) to just performing curatorial duties.

7
8 Occasionally (b) (6), (b) (7)(C) would discuss with (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) desire to perform compliance for EFMO. (b) (6), (b) (7)(C) would
9 not reconsider and occasionally they would have heated arguments. (b) (6), (b) (7)(C) found herself retreating to the
10 headquarters basement to cry and punch the wall after one such argument.

11
12 One day (b) (6), (b) (7)(C) told (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) had a discussion with (b) (6), (b) (7)(C) EFMO’s Administrative Officer, (b) (6), (b) (7)(C)
13 and the Administrative Assistant (b) (6), (b) (7)(C) about EFMO’s need to maintain a Cultural Resource
14 Specialist position. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) all agreed EFMO needed the position. (b) (6), (b) (7)(C)
15 told (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) disagreed with (b) (6), (b) (7)(C) staff but was going to maintain (b) (6), (b) (7)(C) position. (b) (6), (b) (7)(C) emphasized
16 other divisions within the monument were making budgetary sacrifices to maintain St. Clair’s position. (b) (6), (b) (7)(C)
17 (b) (6), (b) (7)(C) believed (b) (6), (b) (7)(C) work environment had become hostile and began looking for a reassignment that day.

18
19 (b) (6), (b) (7)(C) transferred to Grand Teton National Park and is now employed as an Archeologist with the
20 Intermountain Region Archeology Program.

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	02/21/2011	013
Report Subject: Iowa State Historic Preservation Office (SHPO)			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with the Iowa State Historic Preservation Office who stated the root of the NHPA violations at EFMO was Superintendent (b) (6), (b) (7)(C) fundamental lack of understanding of the consultation process.

Case Name: Effigy Mounds National Monument (EFMO)

Person Interviewed: Iowa SHPO

Date/Time: 02/21/2011 – 0900-1115

Location: Des Moines, Iowa

Present for Interview: SA Barland-Liles

Method of Documentation: Interview notes

Narrative

The following members of the Iowa State Historic Preservation Office (SHPO) participated in an interview concerning their interactions with employees of Effigy Mounds National Monument during Superintendent (b) (6), (b) (7)(C) tenure:

(b) (6), (b) (7)(C) Interim Administrator

(b) (6), (b) (7)(C) – Deputy State Historic Preservation Officer

(b) (6), (b) (7)(C) – Archaeologist

(b) (6), (b) (7)(C) – Archaeologist

The Iowa SHPO described their relationship with EFMO during Superintendent (b) (6), (b) (7)(C) tenure as “alienated.” SHPO stated transparency and trust are the primary attributes needed for successful consultation required by the National Historic Preservation Act (NHPA). SHPO perceived (b) (6), (b) (7)(C) lacked a fundamental understanding of the consultation process and (b) (6), (b) (7)(C) was unable to attempt to improve (b) (6), (b) (7)(C) understanding or formalize (b) (6), (b) (7)(C) relationship with SHPO during (b) (6), (b) (7)(C) tenure. They believe this was the root of the NHPA violations at EFMO.

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 02/21/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1
2 (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) remember occasional phone calls from (b) (6), (b) (7)(C) asking disjointed questions regarding
3 EFMO projects but there was never any cohesive follow-up or additional meaningful communication. SHPO
4 was also aware EFMO's Chief of Maintenance, (b) (6), (b) (7)(C) was the consultation coordinator which they
5 described as "the fox guarding the henhouse." This exacerbated the consultation and review process and they
6 never heard from (b) (6), (b) (7)(C)

7
8 SHPO did not fully understand the extent of the EFMO violations until they were invited to attend several
9 meetings in 2009 and 2010. They also received a spreadsheet of the violations from the Regional Historian,
10 (b) (6), (b) (7)(C) As they studied the spreadsheet and understood the context of the violations, their
11 disappointment with the National Park Service grows and they are seriously considering recommending a
12 foreclosure of the National Park Service to the National Advisory Council of Historical Preservation.

13
14 SHPO will research local databases and work logs to provide a contact history between SHPO and EFMO.

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	02/22/2011	014
Report Subject: Iowa State Office of Archaeology			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with the Iowa Office of State Archaeology (OSA). The OSA perceived EFMO Superintendent (b) (6), (b) (7)(C) lack of understanding of archeology and the nuances of the consultation process led to NHPA violations at EFMO.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: Iowa State Office of Archaeology
 Date/Time: 02/22/2011 – 0830-1045
 Location: Iowa City, Iowa
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

The following participated in an interview concerning their interactions with the staff of Effigy Mounds National Monument (EFMO) during the tenure of Superintendent (b) (6), (b) (7)(C)

- (b) (6), (b) (7)(C) – State Archaeologist
- (b) (6), (b) (7)(C) – Burials Program Coordinator

The Iowa Office of State Archaeology (OSA) provides consultation services and works in conjunction with the State Historic Preservation Office. OSA’s relationship with Superintendent (b) (6), (b) (7)(C) began after they invited (b) (6), (b) (7)(C) to join an advisory committee, a state-wide watch dog group that meets twice a year, to discuss archeological issues in Iowa. The Superintendent of EFMO is traditionally a member of this committee. During their first meeting in 1999, (b) (6), (b) (7)(C) admitted (b) (6), (b) (7)(C) had a limited understanding of archeology. (b) (6), (b) (7)(C) stated this limited understanding persisted throughout (b) (6), (b) (7)(C) ten years at EFMO which minimized (b) (6), (b) (7)(C) contribution to the committee

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 02/22/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 and may have contributed to EFMO's NHPA violations. (b) (6), (b) (7)(C) stressed (b) (6), (b) (7)(C) had constant access to
2 subject matter experts but (b) (6), (b) (7)(C) did not use them to improve (b) (6), (b) (7)(C) understanding or increase (b) (6), (b) (7)(C) effectiveness.
3

4 OSA stated (b) (6), (b) (7)(C) was unable to grasp the nuances of proper consultations which were exacerbated by a
5 perceived rush to get things done. Despite (b) (6), (b) (7)(C) positive energy and passion to work with affiliated tribes, (b) (6), (b) (7)(C)
6 failed to improve (b) (6), (b) (7)(C) understanding of the law and the consultation process.
7

8 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) would occasionally receive phone calls from (b) (6), (b) (7)(C) on Native American Graves Protection
9 and Repatriation Act (NAGPRA) projects but there was a lack of formality to these consultations.
10

11 OSA is still hoping to learn repatriation details at EFMO from the National Park Service.

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
Location: Northeast Iowa	IG Case Number: OI-HQ-10-0628-R		
Case Status	Report Date	Report Number	
Open	02/24/2011	015	
Report Subject: (b) (6), (b) (7)(C) – EFMO Chief of Maintenance			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with (b) (6), (b) (7)(C) who has been the Chief of Maintenance at Effigy Mounds National Monument (EFMO) since 1986. (b) (6), (b) (7)(C) was the compliance coordinator during Superintendent (b) (6), (b) (7)(C) tenure. (b) (6), (b) (7)(C) stated (b) (6) never developed a full understanding of how to properly complete the project consultation process required by NHPA. (b) (6), (b) (7)(C) cites poor and conflicting instructions and a lack of feedback from the National Park Service as the source of (b) (6), (b) (7)(C) lack of understanding.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C)
 Date/Time: 02/23/2011 – 0900-1130
 Location: EFMO
 Present for Interview: SA Barland-Liles
 Method of Documentation: Digital recording (voluntary interview)

Narrative
 (b) (6), (b) (7)(C) stated (b) (6) was given the responsibility of compliance coordination for EFMO by former Superintendent Munsin in the early 1990's. Since receiving that responsibility, (b) (6), (b) (7)(C) has been frustrated with a lack of regional support in providing clear, step by step, consultation procedures. (b) (6), (b) (7)(C) stated the regional office and the Midwest Archeological Center (MWAC) consistently redefined the consultation process and provided contradictory information which would leave him directionless.

(b) (6), (b) (7)(C) stated (b) (6) never understood the regional offices role with project consultations and was often frustrated with their lack of communication and feedback. For instance, (b) (6), (b) (7)(C) never understood if it was (b) (6), (b) (7)(C) responsibility or regions to pass on EFMO project proposals to the State Historic Preservation Office (SHPO), the Office of State Archaeology (OSA) and the affiliated Native American Tribes.

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 02/23/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 (b) (6), (b) (7)(C) stated prior to Superintendent Kate Miller's work in the late nineties, the National Park Service was
2 unaware what Native American Tribes were affiliated with EFMO. (b) (6), (b) (7)(C) knew Superintendent (b) (6), (b) (7)(C) built
3 upon Miller's work and had many positive relationships with affiliated tribes, but (b) (6) was unsure which tribes
4 were affiliated and who represented them.

5
6 (b) (6), (b) (7)(C) stated EFMO should have maintained a cultural resources specialist who focused on consultations.
7 (b) (6), (b) (7)(C) was aware Superintendent Miller hired (b) (6), (b) (7)(C) to focus on and manage consultations, was
8 enthusiastic about (b) (6), (b) (7)(C) role, and disappointed when (b) (6), (b) (7)(C) left EFMO. (b) (6), (b) (7)(C) agrees there is a perceived conflict of
9 interest with (b) (6), (b) (7)(C) position having compliance responsibility. (b) (6), (b) (7)(C) stated the conflict would have been
10 minimized if (b) (6), (b) (7)(C) had clear instructions on how to achieve proper compliance. (b) (6), (b) (7)(C) stated (b) (6) is not aware of
11 any National Park Service (NPS) reference manuals, Directors Orders or standard operating procedures that
12 provide consultation instructions.

13
14 (b) (6), (b) (7)(C) stated consultations with major projects were hampered by the one year funding nature of the federal
15 government. During (b) (6), (b) (7)(C) tenure, the regional office routinely asked the park if they had projects available
16 for funding. The ability to properly complete consultations and use project and year-end funding are not
17 compatible with multi-year consultation processes. (b) (6), (b) (7)(C) learned there was no mechanism in the regional
18 office to ensure consultation completion prior to project funding and (b) (6) was never asked if consultations were
19 completed prior to receiving funds. (b) (6), (b) (7)(C) stated (b) (6) finished some projects without knowing the status of
20 consultations. (b) (6), (b) (7)(C) stated (b) (6) intention was never to damage EFMO or circumvent any obligations; (b) (6) was
21 merely managing the maintenance operations of the park and the associated staff and budgets.

22
23 (b) (6), (b) (7)(C) admitted (b) (6) now understands some of the building projects within EFMO would have been
24 significantly altered or not built if the consultation process was done properly. (b) (6), (b) (7)(C) cited a temporary
25 maintenance shed as an example.

26
27 During (b) (6), (b) (7)(C) tenure there was an emphasis on Native American remains repatriation. (b) (6), (b) (7)(C) stated (b) (6) was
28 instructed by (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) Administrative Assistant, (b) (6), (b) (7)(C) to dig specified holes in a bird effigy in
29 the Sny Magill unit and within a mound in the three mound group near the visitor center for these reburials.
30 (b) (6), (b) (7)(C) believed (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) were instructed on the proper placement of these burial sites by MWAC
31 staff.

32
33 (b) (6), (b) (7)(C) stated (b) (6) was not privy to (b) (6), (b) (7)(C) decision making process but was aware (b) (6), (b) (7)(C) treated all EFMO staff
34 like family. (b) (6), (b) (7)(C) noticed (b) (6), (b) (7)(C) management team fractionalized during (b) (6), (b) (7)(C) tenure. (b) (6), (b) (7)(C) believes the influence
35 of several management team members were reduced due to their focus on tangential issues or their tendency to
36 slow down the decision making process. This had no effect on maintenance issues within the park. (b) (6), (b) (7)(C) is
37 aware (b) (6), (b) (7)(C) management style and the break-down of (b) (6), (b) (7)(C) team led many staff members to perceive (b) (6), (b) (7)(C)
38 favored the maintenance division.

39
40 (b) (6), (b) (7)(C) stated (b) (6) recognizes ultimate responsibility for EFMO lies in the Superintendent position. (b) (6), (b) (7)(C) believes
41 (b) (6), (b) (7)(C) lacked an understanding of the consultation process as well but never had any intention of circumventing
42 the NHPA. (b) (6), (b) (7)(C) stated EFMO's attempts to improve visitor access to features in the park started long before
43 (b) (6), (b) (7)(C) arrival. The increase of projects during (b) (6), (b) (7)(C) tenure was the result of increased funds.

44
45 (b) (6), (b) (7)(C) realizes now EFMO chose the wrong path and has been damaged by, ultimately, (b) (6), (b) (7)(C) efforts. (b) (6), (b) (7)(C)
46 stated (b) (6) is committed to repairing the park and renewing the reputation of the NPS.

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
Location: Northeast Iowa	IG Case Number: OI-HQ-10-0628-R		
Case Status	Report Date	Report Number	
Open	02/23/2011	016	
Report Subject: (b) (6), (b) (7)(C) – EFMO Administrative Assistant			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with (b) (6), (b) (7)(C) who has been the Administrative Assistant at Effigy Mounds National Monument (EFMO) since 1993. (b) (6), (b) (7)(C) stated Superintendent (b) (6), (b) (7)(C) leadership style and a lack of understanding of proper consultations led to violations of the NHPA.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C)
 Date/Time: 02/23/2011 1300-1700
 Location: EFMO
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes (voluntary interview, refused digital recording)

Narrative

(b) (6), (b) (7)(C) stated shortly after Superintendent (b) (6), (b) (7)(C) arrived at EFMO in 1999, an obvious contentious and adversarial relationship developed with (b) (6), (b) (7)(C) Administrative Officer, (b) (6), (b) (7)(C) began to circumvent (b) (6), (b) (7)(C) and relied heavily on (b) (6), (b) (7)(C) administrative support. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) relied on (b) (6), (b) (7)(C) because (b) (6), (b) (7)(C) could research administrative issues, had good organizational skills and kept on top of park operations. (b) (6), (b) (7)(C) also had poor computer and composition skills and needed (b) (6), (b) (7)(C) constant assistance. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) had the closest working relationship with (b) (6), (b) (7)(C) at EFMO.

(b) (6), (b) (7)(C) noticed (b) (6), (b) (7)(C) had an informal, family oriented leadership style and treated EFMO like (b) (6), (b) (7)(C) home rather than a cultural unit of the National Park Service (NPS). (b) (6), (b) (7)(C) learned through (b) (6), (b) (7)(C) the NPS transferred (b) (6), (b) (7)(C) to EFMO to give (b) (6), (b) (7)(C) the opportunity to care for (b) (6), (b) (7)(C) nearby ailing mother. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) had agreed to transfer from EFMO prior to retirement and (b) (6), (b) (7)(C) understood that to mean the NPS considered EFMO a training park for (b) (6), (b) (7)(C) who was moving up. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) leadership style superseded (b) (6), (b) (7)(C) ability to provide effective leadership at EFMO and ended up alienating most of the staff.

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 02/23/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1
2 This led to (b) (6), (b) (7)(C) enabling certain staff members to perform poorly and a subsequent over-reliance on (b) (6), (b) (7)(C)
3 and (b) (6), (b) (7)(C) (Chief of Maintenance). This led to the marginalization of the rest of EFMO's employees.
4 However, (b) (6), (b) (7)(C) would give awards to every EFMO employee each year.

5
6 (b) (6), (b) (7)(C) knew there was an inherent conflict of interest with having EFMO's Chief of Maintenance supervising
7 project consultations. (b) (6), (b) (7)(C) stated maintenance gets most of the funding but there is a subsequent lack of
8 involvement with cultural resource staff. (b) (6), (b) (7)(C) was aware there was an EFMO employee (Jacquelin St.
9 Clair) who was hired to manage consultations. Prior to leaving EFMO, (b) (6), (b) (7)(C) prophesized to (b) (6), (b) (7)(C)
10 consultations at EFMO would suffer without (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) was unaware why (b) (6), (b) (7)(C) left EFMO.

11
12 (b) (6), (b) (7)(C) became aware of consultation problems with EFMO projects. (b) (6), (b) (7)(C) would often hear (b) (6), (b) (7)(C)
13 phone talking with the Iowa State Historic Preservation Office (SHPO), the Midwest Archeological Center
14 (MWAC), or the regional office. (b) (6), (b) (7)(C) noticed (b) (6), (b) (7)(C) often did not make sense during these conversations.
15 (b) (6), (b) (7)(C) and other staff would often attempt to provide (b) (6), (b) (7)(C) with information and reference material to help
16 (b) (6), (b) (7)(C) make informed decisions. (b) (6), (b) (7)(C) believes (b) (6), (b) (7)(C) never read the material and did not have the research
17 skills to independently find guidance on how to properly do (b) (6), (b) (7)(C) job. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) would merely rely
18 on the above mentioned phone calls. (b) (6), (b) (7)(C) would rarely follow-through with available experts and also did a
19 poor job of maintaining an administrative record. (b) (6), (b) (7)(C) believes (b) (6), (b) (7)(C) never read available NPS reference
20 manuals or Directors Orders about many aspects of proper NPS operations including consultations. (b) (6), (b) (7)(C)
21 believed (b) (6), (b) (7)(C) never read and did not understand the 1995 Programmatic Agreement that made compliance the
22 responsibility of Superintendent's rather than the Regional Director.

23
24 One area that (b) (6), (b) (7)(C) had some success was working with Native American Tribes to repatriate the remains of
25 their ancestors. In (b) (6), (b) (7)(C) opinion, (b) (6), (b) (7)(C) displayed great skill with these consultations because (b) (6), (b) (7)(C) was
26 motivated to return remains to their resting place. That skill never translated to consultations with other projects
27 within EFMO.

28
29 Although ultimate responsibility with EFMO operations fell upon (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) believes (b) (6), (b) (7)(C) failures were
30 enabled to a great degree by a lack of leadership and proper supervision from the Regional Office.

31
32 (b) (6), (b) (7)(C) admits (b) (6), (b) (7)(C) was aware of many deficiencies with (b) (6), (b) (7)(C) and EFMO and wishes (b) (6), (b) (7)(C) acted to correct
33 them.

34
35 (b) (6), (b) (7)(C) stated some of the emphasis on park improvement projects at EFMO started many years before
36 (b) (6), (b) (7)(C) arrival, indicating the NPS was on the wrong path in respect to EFMO for decades.

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	IG Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	03/07/2011	017
Report Subject: (b) (6), (b) (7)(C) – Iowa Tribe of Kansas and Nebraska			
Supplement: Investigative Report			

SUMMARY: From 1999–2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with (b) (6), (b) (7)(C) with the Iowa Tribe of Kansas and Nebraska. (b) (6), (b) (7)(C) discussed consultation issues at Effigy Mounds National Monument (EFMO). (b) (6), (b) (7)(C) believes National Park Service (NPS) Regional leadership should have reformed consultation issues much earlier and the EFMO staff is not fully to blame for NHPA violations.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C)
 Date/Time: 03/07/2011
 Location: telephone
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) of the Iowa Tribe of Kansas and Nebraska stated (b) (6), (b) (7)(C) was routinely involved in consultation and project development processes at EFMO during Superintendent (b) (6), (b) (7)(C) tenure (1999-2010). (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was particularly involved with the development of EFMO’s General Management Plan and three Native American Graves Protection & Repatriation (NAGPRA) projects.

(b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was pleased with (b) (6), (b) (7)(C) efforts as EFMO’s Superintendent and added (b) (6), (b) (7)(C) didn’t think one could find a better crew of employees. (b) (6), (b) (7)(C) admitted (b) (6), (b) (7)(C) was not fully aware of the amount of EFMO projects that were completed without achieving proper consultations required by the NHPA. Through an Operations Evaluation in 2009 and subsequent meetings with affiliated tribes (b) (6), (b) (7)(C) was aware of two projects; a temporary maintenance shed in the north unit and a boardwalk extension on the Nazekaw Terrace. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) believes the lack of consultations was due to “sloppiness” and was not intentional. (b) (6), (b) (7)(C) added “The biggest thing they did really wrong was moving the boardwalk extension to the other side of the draw

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 03/07/2011
Approving Official/Title Les Seago – Assistant Special Agent in Charge	Signature	Date

Distribution: Original – Case File Other: Other:

1 without consultation.” (b) (6), (b) (7)(C) stated (b) (6) did not believe any significant harm was done to cultural resources but
2 the potential was there and the NPS was lucky it didn’t happen.
3

4 (b) (6), (b) (7)(C) stressed EFMO staff was not fully to blame. (b) (6), (b) (7)(C) stated (b) (6) read the 1995 Programmatic Agreement and
5 found it ambiguous, leaving room for Superintendent’s to possibly interpret they did not have to seek
6 consultations at all.
7

8 (b) (6), (b) (7)(C) added there is plenty of blame to spread to NPS regional leadership. (b) (6), (b) (7)(C) was present while
9 regional employees participated in the General Management Plan process where many of the boardwalk
10 projects were openly discussed. (b) (6), (b) (7)(C) added “Regional staff should have been on top of that a long time
11 ago.”
12

FOR OFFICIAL USE ONLY



Department of the Interior
National Park Service
INVESTIGATIVE SERVICES BRANCH



Report of Interview

Investigation Subject: Effigy Mounds National Monument (EFMO)	Park Case Number: n/a		
	ISB Case Number: OI-HQ-10-0628-R		
Location: Northeast Iowa	Case Status	Report Date	Report Number
	Open	06/22/2011	018
Report Subject: (b) (6), (b) (7)(C) – Regional Director – 2004-2011			
Supplement: Investigative Report			

SUMMARY: From 1999-2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with (b) (6), (b) (7)(C) who was the Midwest Regional Director for the National Park Service from 2004 – 2011.

Case Name: Effigy Mounds National Monument (EFMO)
 Person Interviewed: (b) (6), (b) (7)(C)
 Date/Time: 06/22/2011 0900-1145
 Location: (b) (6), (b) (7)(C) residence – Plattsmouth NE
 Present for Interview: SA Barland-Liles
 Method of Documentation: Interview notes

Narrative

(b) (6), (b) (7)(C) stated (b) (6) first visited Effigy Mounds National Monument during the fall of 2004 when (b) (6) was conducting an eighteen month orientation of all Midwest National Park units shortly after (b) (6), (b) (7)(C) arrival as Regional Director.

(b) (6), (b) (7)(C) remembers meeting a highly spirited staff led by Superintendent (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) provided a tour of the monument and discussed (b) (6), (b) (7)(C) vision of providing disability access to some of the cultural resources. (b) (6), (b) (7)(C) told (b) (6), (b) (7)(C) raised boardwalks would be the primary method to provide access. (b) (6), (b) (7)(C) stated providing disability access was “admirable” but recognized an inherent conflict the boardwalks would have with the other responsibilities of the park including preserving cultural and natural resources and landscapes. (b) (6), (b) (7)(C) pointed out the park was simultaneously had a long term goal of obtaining Wild and Scenic River recognition for the Yellow River section that bisects the park. (b) (6), (b) (7)(C) stated any good park manager would recognize and mitigate these conflicts.

(b) (6), (b) (7)(C) stated (b) (6) stressed to (b) (6), (b) (7)(C) the need to develop a long-term plan that would ensure public review and input and to complete all required compliance processes. (b) (6), (b) (7)(C) stated (b) (6) knew the park was in the process of

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 02/22/2011
Approving Official/Title Les Seago / ASAC	Signature	Date

Distribution: Original – Case File Other: Other:

1 completing a new General Management Plan (GMP) which was one tool to obtain success with these matters.
2 (b) (6), (b) (7)(C) stressed to (b) (6), (b) (7)(C) the importance of allowing the GMP process, the expertise of required Regional
3 reviews, and the compliance process to dictate the scale of the projects. (b) (6), (b) (7)(C) stated any good park manager
4 would ensure the requirements of public input and compliance would be achieved prior to project funding.
5

6 In 2009, (b) (6), (b) (7)(C) was approached by (b) (6), (b) (7)(C) Regional Chief of Interpretation, Tom Ritter. Ritter stated (b) (6), (b) (7)(C) recently
7 saw projects that were completed at EFMO without proper compliance. (b) (6), (b) (7)(C) mobilized an auditing team to
8 conduct an "Operations Evaluation" of EFMO. (b) (6), (b) (7)(C) assigned (b) (6), (b) (7)(C) Associate Regional Director, Jim Loach to
9 lead the team.
10

11 (b) (6), (b) (7)(C) stated the evaluation uncovered EFMO completed projects with a disregard for the compliance process.
12 (b) (6), (b) (7)(C) learned (b) (6), (b) (7)(C) management team collapsed under (b) (6), (b) (7)(C) leadership and was not utilized to provide unified,
13 proper advice. (b) (6), (b) (7)(C) stated any good manager should have recognized the seriousness of this collapse and
14 made adjustments to pull the team back together. This breakdown in the management team led to a lack of project
15 compliance oversight which enabled (b) (6), (b) (7)(C) to complete projects without compliance support.
16

17 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) knows the GMP process is "agonizingly slow" and often takes 5-8 years. (b) (6), (b) (7)(C) stressed
18 there are no shortcuts and if the process is not completed properly "All good intentions are lost." (b) (6), (b) (7)(C) stated
19 moving cautiously is the only way for a park manager to assure success. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) allowed the
20 availability of funding and project goals to drive (b) (6), (b) (7)(C) management of the park rather than the planning and
21 compliance process.
22

23 (b) (6), (b) (7)(C) stated the Operations Evaluation and subsequent reviews also uncovered additional planned projects
24 within the proposed GMP that would have continued to detrimentally affect the park. (b) (6), (b) (7)(C) immediately
25 suspended the GMP.
26

27 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) waited approximately one year after the Operations Evaluation to make a decision related to
28 (b) (6), (b) (7)(C) future with the National Park Service. (b) (6), (b) (7)(C) wanted to give (b) (6), (b) (7)(C) the opportunity to help EFMO recover and
29 prove (b) (6), (b) (7)(C) as a park manager. During that year (b) (6), (b) (7)(C) continued to lose confidence in (b) (6), (b) (7)(C) and was unsatisfied
30 with (b) (6), (b) (7)(C) abilities as a park manager. (b) (6), (b) (7)(C) decided to intervene and remove (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) offered (b) (6), (b) (7)(C) the
31 opportunity to resign or be reassigned to a non-leadership position at the Regional Office. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was
32 surprised (b) (6), (b) (7)(C) accepted a reassignment instead of resigning. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) repeatedly stated (b) (6), (b) (7)(C) was
33 accountable and responsible for what occurred at EFMO but remains unconvinced (b) (6), (b) (7)(C) believes (b) (6), (b) (7)(C) did anything
34 wrong.
35

36 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) did not consider firing (b) (6), (b) (7)(C) because (b) (6), (b) (7)(C) had "No devious design to do something wrong."
37

38 After the Operations Evaluation (b) (6), (b) (7)(C) focused on providing full disclosure of the violations and dealing with
39 the consequences. (b) (6), (b) (7)(C) stated it was the most difficult part of (b) (6), (b) (7)(C) career because "We did not live up to the
40 trust expected of us." (b) (6), (b) (7)(C) retired in January of 2011.
41
42

FOR OFFICIAL USE ONLY



**United States Department of the Interior
National Park Service
Investigative Services Branch**



Investigative Activity Report

Case Title: Effigy Mounds National Monument (EFMO)		ISB Case Number: OI-HQ-10-0628	
Location: Northeast Iowa	Case Status: Open	Report Date: 04/12/2012	Report Number: 019
Report Subject: Interview of (b) (6), (b) (7)(C) – Superintendent of Effigy Mounds National Monument – 1999 – 2009			

SUMMARY: From 1999-2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with former Effigy Mounds National Monument (EFMO) Superintendent (b) (6), (b) (7)(C). (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was unaware project compliance was not performed properly at EFMO until an evaluation was conducted in 2009. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) delegated compliance responsibility to EFMO's Facility Manager, (b) (6), (b) (7)(C). (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) never had any reason to doubt Sinclair's compliance procedures. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) has taken responsibility for the violations of NHPA in the way (b) (6), (b) (7)(C) has to protect the National Park Service (NPS). (b) (6), (b) (7)(C) stated the NPS system failed to have the oversight mechanisms needed to protect EFMO and sufficient funding was not provided to enable EFMO to operate properly.

Date/Time: 04/12/2012 – 9:00 a.m. - 12:15 p.m.
Location: Office of Grefe & Sydney P.L.C. – 500 East Court Ave., Des Moines IA
Person Interviewed: (b) (6), (b) (7)(C)
Present for Interview: SA David Barland-Liles, AUSA Forde Fairchild, Attorney Guy Cook

DETAILS: On Thursday, April 12, 2012, at approximately 0900 hours, I interviewed (b) (6), (b) (7)(C) in reference to this investigation. Prior to the arrangement of this interview AUSA Forde Fairchild sent a proffer agreement to (b) (6), (b) (7)(C) attorney, Guy Cook. Upon arriving at Mr. Cook's office, AUSA Fairchild and I introduced ourselves to Mr. Cook and (b) (6), (b) (7)(C). AUSA Fairchild confirmed with Cook that (b) (6), (b) (7)(C) discussed the proffer agreement with (b) (6), (b) (7)(C) client. A brief synopsis of the reason for the interview was provided. Mr. Cook acknowledged the reason for the interview and stated they were prepared to voluntarily participate. The interview was recorded using interview notes.

(b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) arrived at Effigy Mounds National Monument (EFMO) in 1999. When (b) (6), (b) (7)(C) arrived the park was implementing a project which involved the installation of a boardwalk and a large foot bridge spanning the Yellow River. This project was completed in 2001. (b) (6), (b) (7)(C) stated the bridge had been a goal of the park for decades and the completion of the project was implemented by the previous superintendent, (b) (6), (b) (7)(C). (b) (6), (b) (7)(C) stated the installation was a large project by EFMO standards. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) asked EFMO's

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 04/16/2012
Approving Official/Title Les Seago / ASAC	Signature	Date

Distribution: Original – Case File Other: Other:

1 Facility Manager, (b) (6), (b) (7)(C) if the compliance for the project was completed (required by the National
 2 Historic Preservation Act (NHPA)). (b) (6), (b) (7)(C) was EFMO's compliance coordinator. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C)
 3 said it was and (b) (6), (b) (7)(C) added "Tom seemed to know what (b) (6), (b) (7)(C) was doing." (b) (6), (b) (7)(C) felt reassured compliance was being
 4 performed properly by (b) (6), (b) (7)(C) because a project of that magnitude should not have been completed otherwise.
 5

6 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was assigned as the compliance coordinator by the superintendents before (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C)
 7 continued to delegate that responsibility to him throughout (b) (6), (b) (7)(C) tenure. (b) (6), (b) (7)(C) emphasized (b) (6), (b) (7)(C) knew (b) (6), (b) (7)(C)
 8 was a "para-archeologist" [had attended NPS paraprofessional archeology training (1995)]. (b) (6), (b) (7)(C) directly
 9 supervised (b) (6), (b) (7)(C) and performed (b) (6), (b) (7)(C) evaluations.
 10

11 (b) (6), (b) (7)(C) stated because (b) (6), (b) (7)(C) was the superintendent of EFMO (b) (6), (b) (7)(C) has a "Trumanesque" perspective on the
 12 failures of EFMO to obtain compliance consultations for projects. (b) (6), (b) (7)(C) clarified by stating "The buck stops
 13 with me."
 14

15 Although projects were being completed in EFMO during (b) (6), (b) (7)(C) tenure, (b) (6), (b) (7)(C) stated the majority of (b) (6), (b) (7)(C) time
 16 was consumed with the repatriation of Native American remains and the Native American Graves Protection
 17 and Repatriation Act (NAGPRA). Repatriations had not been performed at EFMO prior to (b) (6), (b) (7)(C) tenure and they
 18 fell on (b) (6), (b) (7)(C) lap. (b) (6), (b) (7)(C) stated no one knew how to help EFMO when it came to NAGPRA. During (b) (6), (b) (7)(C) tenure
 19 three repatriations were performed which resulted in the reburial of numerous individuals. The time and effort
 20 dedicated to perform these repatriations was where (b) (6), (b) (7)(C) focused most of (b) (6), (b) (7)(C) attention related to managing
 21 EFMO. These repatriations combined with the day to day operations of EFMO overwhelmed the staff and there
 22 was no sign of relief. (b) (6), (b) (7)(C) stated EFMO was underfunded by the NPS which resulted in a lack of staff.
 23

24 (b) (6), (b) (7)(C) stated additional stress on the staff was added by an acquisition of land purchased by the National Park
 25 Service (NPS) called the Heritage Addition. Although the addition dramatically increased the size of EFMO
 26 (b) (6), (b) (7)(C) stated the NPS regional office was not providing an adequate increase of funding to properly manage
 27 it.
 28

29 (b) (6), (b) (7)(C) stated although the regional office did not have funds available for providing the staff EFMO needed to
 30 be properly managed; there was money available for projects. The regional office provided no corresponding
 31 checks or oversight related to the compliance of these projects nor did they provide funding for employee
 32 training or travel.
 33

34 (b) (6), (b) (7)(C) stated the regional office providing funding to EFMO for Wildland Urban Interface projects related to
 35 hazardous fuels reduction. The first year EFMO performed the projects they hired seasonal employees.

36 (b) (6), (b) (7)(C) stated the second year (b) (6), (b) (7)(C) was directed by (b) (6), (b) (7)(C) (Regional Fire Management Officer) the fuels
 37 reduction funds needed to be used to hire a contractor rather than seasonal employees. (b) (6), (b) (7)(C) expressed (b) (6), (b) (7)(C)
 38 did not understand why a contractor needed to be hired and would have preferred rehiring the previous year's
 39 crew.
 40

41 As an example (b) (6), (b) (7)(C) discussed an EFMO employee named Jacquelyn (b) (6), (b) (7)(C) who arrived at approximately
 42 the same time as (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was a Cultural Resources Specialist but was funded by
 43 reducing the budget of EFMO's other divisions. (b) (6), (b) (7)(C) stated when (b) (6), (b) (7)(C) found (b) (6), (b) (7)(C) dream job in Grand
 44 Teton National Park and left EFMO, (b) (6), (b) (7)(C) felt relieved because (b) (6), (b) (7)(C) could better fund the other divisions.
 45 EFMO became a cultural resources park without a cultural resources specialist.
 46

FOR OFFICIAL USE ONLY

1 (b) (6), (b) (7)(C) stated the first time (b) (6), (b) (7)(C) became aware EFMO had completed projects without properly completing the
2 compliance process required by the NHPA was during an evaluation of EFMO's operation. This evaluation
3 was conducted by a NPS team led by Associate Regional Director (b) (6), (b) (7)(C) in 2009. Prior to the evaluation
4 (b) (6), (b) (7)(C) had no reason to think compliance was not being done properly.

5
6 (b) (6), (b) (7)(C) was asked to describe how the compliance process was conducted. (b) (6), (b) (7)(C) stated since it was
7 performed by (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) was unaware what the steps were and was unable to accurately describe them. (b) (6), (b) (7)(C)
8 had no reason to know about the compliance process or the steps needed to properly obtain compliance.
9 (b) (6), (b) (7)(C) stated to the best of (b) (6), (b) (7)(C) knowledge (b) (6), (b) (7)(C) filled out the forms, made a determination, and put them in
10 a file.

11
12 (b) (6), (b) (7)(C) was asked to describe why (b) (6), (b) (7)(C) did not understand the compliance process. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) began
13 working for the NPS as a seasonal interpreter in 1987 when (b) (6), (b) (7)(C) was a junior in college. (b) (6), (b) (7)(C) worked at Valley
14 Forge National Military Park in Pennsylvania. (b) (6), (b) (7)(C) was hired permanently in May of 1989 and was promoted to
15 a museum technician in October of 1990. In July of 1993 (b) (6), (b) (7)(C) was promoted to a curator position at Martin Van
16 Buren National Historic Site in Kinderhook New York. In February of 1994 (b) (6), (b) (7)(C) became the acting
17 superintendent of that park and one year later became the superintendent. In 1997 (b) (6), (b) (7)(C) became the
18 Superintendent of Perry's Victory and International Peace Memorial in Put-in-Bay Ohio. While there (b) (6), (b) (7)(C) told
19 NPS Deputy Regional Director (b) (6), (b) (7)(C) if the superintendent position became available at EFMO, (b) (6), (b) (7)(C)
20 would appreciate (b) (6), (b) (7)(C) consideration since (b) (6), (b) (7)(C) had an ailing mother that lived nearby. In 1999 (b) (6), (b) (7)(C) was
21 transferred to EFMO.

22
23 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was put on a fast track to a NPS superintendent position but (b) (6), (b) (7)(C) really just wanted to be a
24 curator. The NPS was interested in (b) (6), (b) (7)(C) as a superintendent due to (b) (6), (b) (7)(C) "life skills." Because of the nature and
25 speed of (b) (6), (b) (7)(C) NPS career advancement (b) (6), (b) (7)(C) did not have a traditional opportunity to understand or learn all of the
26 responsibilities of the position. (b) (6), (b) (7)(C) stated "I really didn't know all of these rules."

27
28 (b) (6), (b) (7)(C) stated both of (b) (6), (b) (7)(C) previous superintendent assignments prior to EFMO did not have similar compliance
29 concerns. (b) (6), (b) (7)(C) stated the biggest concerns at (b) (6), (b) (7)(C) previous assignments were keeping the grass mowed.
30 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was aware the historian at Valley Forge National Military Park managed their compliance
31 issues.

32
33 (b) (6), (b) (7)(C) was asked if (b) (6), (b) (7)(C) was aware of any EFMO projects that may have provided clues or warnings that
34 EFMO was not properly performing compliance. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was not. (b) (6), (b) (7)(C) was asked what (b) (6), (b) (7)(C)
35 remembered about a boardwalk reconstruction in the Three Mounds area near the Visitor Center in 2001.
36 (b) (6), (b) (7)(C) stated there was a potential erosion issue related to the previous boardwalk that (b) (6), (b) (7)(C) wanted to
37 mitigate. (b) (6), (b) (7)(C) stated, "(b) (6), (b) (7)(C) is trying to protect the mounds," and added, "(b) (6), (b) (7)(C) mind was in the right place."
38 (b) (6), (b) (7)(C) stated compliance concerns were raised by other EFMO staff at a meeting but (b) (6), (b) (7)(C) was confident
39 (b) (6), (b) (7)(C) completed the process. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) assumed (b) (6), (b) (7)(C) had enough knowledge to properly
40 complete the compliance process. (b) (6), (b) (7)(C) added "I just never questioned (b) (6), (b) (7)(C) ability." In relation to
41 (b) (6), (b) (7)(C) knowledge of the compliance process (b) (6), (b) (7)(C) stated, "Things you didn't know was the easiest to let
42 go."

43
44 (b) (6), (b) (7)(C) was asked what (b) (6), (b) (7)(C) remembered about landscaping trees planted near the Visitor Center in 2003.
45 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) EFMO's Law Enforcement Ranger, brought the situation (unsupervised auguring
46 by a landscaping contractor to plant the trees) to (b) (6), (b) (7)(C) attention. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) concern with the incident was

FOR OFFICIAL USE ONLY

1 not related to compliance but to the possibility of disturbing artifacts. (b) (6), (b) (7)(C) stated that was unlikely due to
 2 the construction disturbances associated with the Visitor Center facility. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) later had NPS
 3 Archeologist (b) (6), (b) (7)(C) perform a test pit at the site to assure (b) (6), (b) (7)(C) and EFMO staff there was nothing
 4 disturbed. In relation to Palmer's compliance concerns (b) (6), (b) (7)(C) stated "If you don't know the rules of
 5 compliance I would not have thought that way." (b) (6), (b) (7)(C) stated there was no intent to do anything wrong.
 6 (b) (6), (b) (7)(C) added (b) (6), (b) (7)(C) was unsure how (b) (6), (b) (7)(C) would know if compliance was completed or not.

7
 8 (b) (6), (b) (7)(C) was asked what (b) (6), (b) (7)(C) remembers about a 2001 e-mail from (b) (6), (b) (7)(C) to NPS Archeologist (b) (6), (b) (7)(C)
 9 asking for and receiving guidance and advice on how to properly complete project compliance. (b) (6), (b) (7)(C) stated
 10 (b) (6), (b) (7)(C) does not remember writing the e-mail or remember what prompted the e-mail.

11
 12 (b) (6), (b) (7)(C) was asked about a boardwalk to a group of mounds on the Nazekaw Terrace. (b) (6), (b) (7)(C) stated the
 13 boardwalk was designed to provide disabled visitor access to a group of mounds. Only one group of mounds in
 14 EFMO had disability access and that was Three Mounds adjacent to the Visitor Center. The boardwalks that
 15 provided disability access were important to (b) (6), (b) (7)(C) because (b) (6), (b) (7)(C) mother had polio as a child and was not able to
 16 enjoy the outdoors due to the lack of accessibility infrastructure during most of (b) (6), (b) (7)(C) life. The route of the
 17 Nazekaw Terrace boardwalk was chosen prior to (b) (6), (b) (7)(C) tenure and had been cleared by archeologists in 1999.
 18 (b) (6), (b) (7)(C) EFMO Natural Resources Specialist, recommended to (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) the boardwalk be
 19 rerouted to the opposite side of a ravine due to potential erosion issues. (b) (6), (b) (7)(C) stated this deviation from the
 20 original route moved the boardwalk "a few feet." (b) (6), (b) (7)(C) stated the end of the boardwalk was extended by
 21 (b) (6), (b) (7)(C) "a few feet" as well. (b) (6), (b) (7)(C) understood (b) (6), (b) (7)(C) concerns and approved of the reroute.

22
 23 (b) (6), (b) (7)(C) reiterated (b) (6), (b) (7)(C) was unaware of compliance issues associated with the boardwalk reroute until the 2009
 24 evaluation which occurred while the boardwalk was under construction. (b) (6), (b) (7)(C) stated the NPS reaction to the
 25 boardwalk during the evaluation demonstrated to (b) (6), (b) (7)(C) the rules had suddenly changed. (b) (6), (b) (7)(C) stated NPS
 26 officials started using the term "viewscape" to describe the impact of the boardwalk on the landscape. (b) (6), (b) (7)(C)
 27 stated this term was a sign to (b) (6), (b) (7)(C) the NPS mission had changed and added the game got changed in the middle.

28
 29 (b) (6), (b) (7)(C) stated after (b) (6), (b) (7)(C) learned about the lack of compliance for the boardwalk reroute (b) (6), (b) (7)(C) became concerned
 30 because (b) (6), (b) (7)(C) knew the side of the ravine where the boardwalk ended up was un-cleared territory. (b) (6), (b) (7)(C) expressed
 31 (b) (6), (b) (7)(C) concern for the ravine when NPS archeologists arrived to evaluate potential archeological damage to EFMO
 32 locales that had projects completed without compliance. (b) (6), (b) (7)(C) stated one of the archeologists (b) (6), (b) (7)(C)
 33 stated (b) (6), (b) (7)(C) was not concerned due to the steep slope of the ravine which reduced the likelihood of archeological
 34 impacts. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was relieved and added, "Obviously I don't know anything about archeology."

35
 36 (b) (6), (b) (7)(C) was asked if (b) (6), (b) (7)(C) ever read the NPS reference manual related to the American with Disabilities Act.
 37 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) had never read it.

38
 39 (b) (6), (b) (7)(C) was asked to discuss (b) (6), (b) (7)(C) knowledge of an Archeological Resources Protection Act (ARPA) violation
 40 by a railroad company [Chicago and Eastern Railroad] in 2007. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) advised (b) (6), (b) (7)(C) of the
 41 violation. (b) (6), (b) (7)(C) stated the railroad company dumped debris on both state and federal land over an
 42 archeological site [without a permit]. (b) (6), (b) (7)(C) reaction when (b) (6), (b) (7)(C) heard the news was, "You got to be kidding me,"
 43 and (b) (6), (b) (7)(C) was puzzled why the company would do that. (b) (6), (b) (7)(C) also stated (b) (6), (b) (7)(C) felt the pressure to (b) (6), (b) (7)(C) already
 44 high workload and stated, "What is on my plate now?" (b) (6), (b) (7)(C) was pleased the railroad company cooperated fully
 45 with the investigation and mitigation of the violation.

46
FOR OFFICIAL USE ONLY

1 (b) (6), (b) (7)(C) was asked to discuss the construction of a maintenance equipment storage shed at EFMO in 2007.
2 (b) (6), (b) (7)(C) stated the shed was Sinclair's idea and the construction was funded with excess funds within EFMO's
3 budget which (b) (6), (b) (7)(C) described as year-end money. EFMO had numerous pieces of expensive equipment, like
4 a \$100,000 tractor, that were unsheltered and exposed to the elements. EFMO also had a locale that was used to
5 park the equipment. This locale was accessible by using a steep and curvy state highway full of speeding
6 traffic. The highway threatened the safety of EFMO's employees who had to use it with slow moving vehicles,
7 the visiting public may not appreciate expensive government equipment that was not properly cared for, and the
8 area for the shed was previously disturbed and had been used by the NPS to store equipment for decades. The
9 area where the equipment was stored was also ugly and visible from a nearby hiking trail and mound group.
10 Because of these reasons (b) (6), (b) (7)(C) said the shed, "seemed like a good idea." During this discussion the equipment
11 storage area was referred to as a "bone yard." (b) (6), (b) (7)(C) asked (b) (6), (b) (7)(C) employees, "Please don't call it a bone yard.
12 We work in an archeology park."
13

14 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) approved the building of the shed (occurred in the fall of 2007) and emphasized the shed
15 was temporary, moveable, and removable. It was essentially a canvas Quonset hut and was much more
16 appealing from the nearby hiking trail than the exposed equipment. The permanent nature of any hole augured
17 into the ground of a cultural landscape was being discussed when (b) (6), (b) (7)(C) asked "Where they cemented in?"
18 referring to the support posts for the rock fill foundation built to support the shed.
19

20 (b) (6), (b) (7)(C) was asked if (b) (6), (b) (7)(C) ever read the 1995 Programmatic Agreement (a NPS directive describing the role of
21 NPS park unit managers in relation to compliance with the NHPA). (b) (6), (b) (7)(C) stated, "No." (b) (6), (b) (7)(C) added the
22 agreement was on the pile of documentation that (b) (6), (b) (7)(C) never had time to get to due to the workload at EFMO.
23

24 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) learned from Hebert Hoover National Historic Site's (West Branch Iowa) Superintendent,
25 (b) (6), (b) (7)(C) they were having collaborative on-site meetings with the Iowa State Historic Preservation
26 Office in order to proactively discuss the compliance issues of upcoming projects. (b) (6), (b) (7)(C) stated, "Talk about
27 ignorance" and stated similar compliance discussions could have occurred at EFMO but (b) (6), (b) (7)(C) had not thought
28 about it.
29

30 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) had a good working relationship with the SHPO and spoke with them fairly often. Most of
31 the phone conversations (b) (6), (b) (7)(C) had with them were not related to compliance.
32

33 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) never saw compliance training offered by the NPS. (b) (6), (b) (7)(C) added (b) (6), (b) (7)(C) did attend
34 compliance training after the 2009 EFMO evaluation [Section 106 Midwest Region Workshop, April 27-28,
35 2010, Omaha Nebraska].
36

37 (b) (6), (b) (7)(C) discussed the passion EFMO employees had for the park. (b) (6), (b) (7)(C) was asked why that passion did not
38 translate into following the law or NPS procedures. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) did not know if the responsibility for
39 following the NHPA was the responsibility of the NPS or hers. (b) (6), (b) (7)(C) stated "It is not my place to lay
40 blame."
41

42 In reference to the passion of EFMO employees protecting the cultural resource (b) (6), (b) (7)(C) related a story of one
43 day being approached in (b) (6), (b) (7)(C) office by an employee who told (b) (6), (b) (7)(C) a seasonal employee was walking up the hill
44 with a shovel. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) walked after the employee and found him preparing to move or pry out a
45 rock. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) told the employee we don't do that here.
46

FOR OFFICIAL USE ONLY

1 (b) (6), (b) (7)(C) described walking EFMO trails with numerous affiliated tribal members such as (b) (6), (b) (7)(C) (Ioway
2 Tribe of Kansas and Nebraska) and (b) (6), (b) (7)(C) (Ho-Chunk Nation of Wisconsin). Tribal members never
3 had anything but compliments about the park and would have approved of the Nazekaw Terrace boardwalk.
4

5 (b) (6), (b) (7)(C) was asked who had the responsibility to ensure project compliance was performed properly. (b) (6), (b) (7)(C)
6 replied “Regions?” and added, “I don’t know.” (b) (6), (b) (7)(C) stated, “The park service will be better because I failed
7 here,” and added (b) (6), (b) (7)(C) has heard changes have been made at the regional level to ensure parks complete the
8 compliance process prior to project funding. (b) (6), (b) (7)(C) stated there is obviously something wrong with the NPS
9 or these incidents would not have happened at EFMO. (b) (6), (b) (7)(C) stated the system failed EFMO.
10

11 (b) (6), (b) (7)(C) asked who (b) (6), (b) (7)(C) should have delegated compliance responsibility to if not (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) stated
12 every EFMO employee’s plate was already so full.
13

14 (b) (6), (b) (7)(C) was asked if (b) (6), (b) (7)(C) is protecting any of EFMO’s employees. (b) (6), (b) (7)(C) replied, “Not that I would lie for
15 them.”
16

17 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) has accepted responsibility for what occurred at EFMO in the way (b) (6), (b) (7)(C) did to protect the
18 NPS. (b) (6), (b) (7)(C) questioned whether blame could be placed on one person for what happened at EFMO.
19

20 (b) (6), (b) (7)(C) added, “I thought about it a long time but I just don’t know.”
21

22 (b) (6), (b) (7)(C) pointed out (b) (6), (b) (7)(C) received awards for (b) (6), (b) (7)(C) performance every year.
23

24 **ATTACHMENTS:** None.

FOR OFFICIAL USE ONLY



**United States Department of the Interior
National Park Service
Investigative Services Branch**



Investigative Activity Report

Case Title: Effigy Mounds National Monument (EFMO)		ISB Case Number: OI-HQ-10-0628	
Location: Northeast Iowa	Case Status: Open	Report Date: 04/18/2012	Report Number: 020
Report Subject: Interview of (b) (6), (b) (7)(C) – Superintendent of Herbert Hoover National Historic Site – 2006 – 2010			

SUMMARY: From 1999-2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with former Herbert Hoover National Historic Site (HEHO) Superintendent Cheryl (b) (6), (b) (7)(C) discussed the training (b) (6), (b) (7)(C) received through the Superintendent Development Program. (b) (6), (b) (7)(C) discussed the effective compliance strategy of HEHO and the collaborative relationship developed with the Iowa State Historic Preservation Office. (b) (6), (b) (7)(C) discussed how (b) (6), (b) (7)(C) learned (b) (6), (b) (7)(C) counterpart at Effigy Mounds National Monument was not performing similar consultations.

Date/Time: 04/18/2012 – 11:30 a.m. - 12:00 p.m.
Location: Telephone
Person Interviewed: (b) (6), (b) (7)(C)
Present for Interview: SA David Barland-Liles

DETAILS: On Thursday, April 18, 2012, at approximately 1130 hours, I interviewed (b) (6), (b) (7)(C) by telephone. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) understood I was a Special Agent with the National Park Service, understood the purpose of the interview, understood (b) (6), (b) (7)(C) rights and agreed to voluntarily participate. The interview was recorded using handwritten notes.

(b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) is currently the Superintendent of Mount Rushmore National Memorial and was the Superintendent of Herbert Hoover National Historic Site (HEHO) in West Branch Iowa from 2006 to 2010. Prior to HEHO (b) (6), (b) (7)(C) was the Superintendent at Knife River National Historic Site in North Dakota for 2 ½ years. The Knife River assignment was part of the Midwest Region Superintendent Development Program where (b) (6), (b) (7)(C) was mentored and supervised by the Superintendent of Theodore Roosevelt National Park in North Dakota.

(b) (6), (b) (7)(C) stated the superintendent development program is a comprehensive, on-the-job training experience focused on the competencies needed by NPS Superintendents. (b) (6), (b) (7)(C) described the superintendent development program as, "...a perfect program," and "A great way to get experience." (b) (6), (b) (7)(C) stated the

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 04/18/2012
Approving Official/Title Les Seago / ASAC	Signature	Date

Distribution: Original – Case File Other: Other:

1 requirements of park managers stipulated in the National Historic Preservation Act and the National
2 Environmental Policy Act were both specifically addressed in the development program.

3
4 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) met the Superintendent of Effigy Mounds National Monument (EFMO), (b) (6), (b) (7)(C)
5 shortly after arriving in Iowa. During (b) (6), (b) (7)(C) tenure at HEHO, (b) (6), (b) (7)(C) would contact (b) (6), (b) (7)(C) monthly as they
6 collaborated on training and travel issues. They also had a joint partnership with the Silos and Smokestacks
7 National Heritage Area.

8
9 (b) (6), (b) (7)(C) stated prior to becoming the superintendent of HEHO the Regional Director ordered an evaluation of
10 the parks operation. The evaluation revealed projects compliance consultations required by the National
11 Historic Preservation Act needed improvement. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) training and experience gained during (b) (6), (b) (7)(C)
12 superintendent development program and previous work as a management specialist at Bryce Canyon National
13 Park prepared (b) (6), (b) (7)(C) to perform consultations properly. (b) (6), (b) (7)(C) was able to quickly coordinate an in-park
14 interdisciplinary team that worked closely with HEHO's historian, who was assigned as the compliance
15 coordinator. The team would prepare a packet for each project and present it to the regional review committee.
16 After regional review HEHO forwarded the packet to the Iowa State Historic Preservation Office (SHPO) and
17 the equivalent offices of HEHO's affiliated Native American Tribes. (b) (6), (b) (7)(C) stated HEHO had 58 historical
18 structures and numerous archeological sites; therefore the need for project compliance was constant. (b) (6), (b) (7)(C)
19 stated (b) (6), (b) (7)(C) mantra as a superintendent was and remains "compliance early and often."

20
21 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) took the consultation process one step further and sponsored annual meetings at HEHO
22 where staff would discuss proposed projects on-site with the SHPO, archeologists from the National Park
23 Service (NPS) Midwest Archeological Center (MWAC) and the NPS regional office. This allowed concerns to
24 be proactively addressed prior to consultations. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) also ensured (b) (6), (b) (7)(C) was the signatory on all
25 project documents as a way to demonstrate (b) (6), (b) (7)(C) responsibility for the work of HEHO. (b) (6), (b) (7)(C) said, "The buck
26 stopped here."

27
28 (b) (6), (b) (7)(C) stated projects in need of compliance at HEHO were often small. (b) (6), (b) (7)(C) described a sidewalk that
29 was proposed to be converted from asphalt to concrete and slightly rerouted. While meeting with the SHPO at
30 HEHO they discussed this project and learned the SHPO would prefer to have an archeologist on hand to
31 monitor any ground disturbance during the reroute due to the presence of a nearby archeological site. The
32 MWAC employees were able to understand the SHPO's concerns and prepare to monitor the project. (b) (6), (b) (7)(C)
33 commented, "This was something that was working." One additional positive result of these collaborations was
34 a streamlined process with the SHPO on repetitive projects at HEHO.

35
36 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) once brought up this collaboration with (b) (6), (b) (7)(C) and was surprised by (b) (6), (b) (7)(C) reaction. (b) (6), (b) (7)(C)
37 seemed surprised (b) (6), (b) (7)(C) met with the SHPO and had such a collaborative relationship. (b) (6), (b) (7)(C) stated, "I was
38 surprised (b) (6), (b) (7)(C) was surprised." (b) (6), (b) (7)(C) added (b) (6), (b) (7)(C) did not seem to have a working relationship with the
39 SHPO despite being in Iowa since 1999 and having a larger park with more project volume and more cultural
40 significance. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) believed (b) (6), (b) (7)(C) also completed the Midwest Regional Superintendent
41 Development Program at Perry's Victory International Peace Park which added to (b) (6), (b) (7)(C) surprise of
42 (b) (6), (b) (7)(C) reaction. (b) (6), (b) (7)(C) reaction helped (b) (6), (b) (7)(C) begin to understand some tension (b) (6), (b) (7)(C) sensed from the
43 SHPO staff when EFMO came up in conversations.

44
FOR OFFICIAL USE ONLY

1 (b) (6), (b) (7)(C) was asked to discuss any budgetary issues at HEHO. (b) (6), (b) (7)(C) stated every small park has budgetary
2 constraints. This required HEHO staff to “wear many hats” and rely on the expertise and assistance of regional
3 NPS employees and other NPS units to ensure all “priority duties” were attended to.
4

5 (b) (6), (b) (7)(C) was asked if (b) (6), (b) (7)(C) ever confided in (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) occasionally discussed one issue of
6 note related to EFMO. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was obviously uncomfortable with the role of law enforcement at
7 EFMO and would not acknowledge the chronic enforcement issues such as poaching and looting. (b) (6), (b) (7)(C)
8 stated (b) (6), (b) (7)(C) believed (b) (6), (b) (7)(C) underfunded and under-supported EFMO’s law enforcement ranger and made no
9 effort to properly outfit the ranger with the equipment needed to perform the job safely and effectively.

10 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) knew (b) (6), (b) (7)(C) was from Northeast Iowa and determined through the discussions (b) (6), (b) (7)(C) was
11 uncomfortable with the possibility of an EFMO enforcement authority contacting potential violators that may be
12 (b) (6), (b) (7)(C) friends, neighbors or other EFMO employees. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) disagreed with (b) (6), (b) (7)(C) approach to law
13 enforcement and stated it was a sign of (b) (6), (b) (7)(C) lack of accountability and responsibility as a superintendent.
14

15 **ATTACHMENTS:** None.
16

FOR OFFICIAL USE ONLY



**United States Department of the Interior
National Park Service
Investigative Services Branch**



Investigative Activity Report

Case Title: Effigy Mounds National Monument (EFMO)		ISB Case Number: OI-HQ-10-0628	
Location: Northeast Iowa	Case Status: Open	Report Date: 04/20/2012	Report Number: 021
Report Subject: Interview of (b) (6), (b) (7)(C) – Former Regional Associate Director – National Park Service – Midwest			

SUMMARY: From 1999-2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with former Associate Regional Director of the Midwest Region (retired), David (b) (6), (b) (7)(C) described the Superintendent Development Program for the Midwest Region and (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) participation in the program.

Date/Time: 04/20/2012 – 10:40 a.m. - 11:40 p.m.
Location: Telephone
Person Interviewed: (b) (6), (b) (7)(C)
Present for Interview: SA David Barland-Liles

DETAILS: On Thursday, April 20, 2012, at approximately 1040 hours, I interviewed (b) (6), (b) (7)(C) by telephone. (b) (6), (b) (7)(C) stated (b) (6) understood I was a Special Agent with the National Park Service, understood the purpose of the interview, understood (b) (6), (b) (7)(C) rights and agreed to voluntarily participate. The interview was recorded using handwritten notes.

(b) (6), (b) (7)(C) stated during (b) (6), (b) (7)(C) tenure as the Associate Regional Director of the Midwest Region (b) (6) helped create a developmental program for incoming superintendents. During the mid-1990's numerous superintendents of the smaller Midwest National Park Service (NPS) units were approaching the regional office requesting audits of their positions to determine if they qualified for grade increases. An evaluator determined a grade increase was required for superintendents at NPS units where secondary supervisors were needed.

This evaluation revealed there were several NPS units within the region that did not have the need for secondary supervisors. (b) (6), (b) (7)(C) determined these units would be valuable as superintendent intake parks. The region designed training programs where intake superintendents would manage these units under the direct supervision of superintendent from nearby, more complex units. Intake superintendents would remain in the development programs for approximately two years depending on the development of the individual. Extra funding (approx. \$3,000) was provided to the individual to assist them with achieving identified needs. The curriculum for the

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 04/21/2012
Approving Official/Title Les Seago / ASAC	Signature	Date

Distribution: Original – Case File Other: Other:

1 program also depended on the needs of the individual. After completion of the Superintendent Development
2 Program graduates could be promoted non-competitively to more complex NPS units. (b) (6), (b) (7)(C) stated at any
3 given time three to five NPS units were participating in the development program.
4

5 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) competed for the Superintendent Development Program and was selected for an
6 assignment at Perry's Victory International Peace Park. (b) (6), (b) (7)(C) was supervised by the Superintendent of
7 Cuyahoga Valley National Park, (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) deputy, (b) (6), (b) (7)(C) Performance appraisals and
8 superintendent development were reviewed by (b) (6), (b) (7)(C) and semi-annual, face-to-face progress discussions were
9 conducted with supervisory superintendents. Through these discussions and appraisals a determination could be
10 made concerning the successful completion of the development program.
11

12 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) successfully completed the program and accepted a non-competitive transfer to Effigy
13 Mounds National Monument (EFMO).
14

15 (b) (6), (b) (7)(C) stated (b) (6) views the regional offices inability to see the violations of the National Historic Preservation
16 Act occurring at EFMO as a personal failure. (b) (6), (b) (7)(C) stated the more rigorous accounting required by the
17 presidential stimulus package helped the violations come to light.
18

19 (b) (6), (b) (7)(C) stated (b) (6) believed (b) (6), (b) (7)(C) trusted in (b) (6), (b) (7)(C) Chief of Maintenance and compliance coordinator, Thomas
20 (b) (6), (b) (7)(C) who liked to get things done.
21

22 (b) (6), (b) (7)(C) stated (b) (6) believed (b) (6), (b) (7)(C) thought it was more important to provide disability access to every resource at
23 EFMO rather than protect the intrinsic values of the park.
24

25 **ATTACHMENTS:** None.
26

FOR OFFICIAL USE ONLY



**United States Department of the Interior
National Park Service
Investigative Services Branch**



Investigative Activity Report

Case Title: Effigy Mounds National Monument (EFMO)		ISB Case Number: OI-HQ-10-0628	
Location: Northeast Iowa	Case Status: Open	Report Date: 04/28/2012	Report Number: 022
Report Subject: Interview of (b) (6), (b) (7)(C) – Superintendent – Jefferson National Expansion Memorial			

SUMMARY: From 1999-2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with the former Deputy Superintendent of Cuyahoga Valley National Park, Tom (b) (6), (b) (7)(C) stated (b) (6) provided direct supervision and mentoring of (b) (6), (b) (7)(C) while (b) (6), (b) (7)(C) participated in the Midwest Superintendent Development Program.

Date/Time: 04/28/2012 – 08:55 a.m. - 10:05 a.m.
Location: Jefferson National Expansion Memorial – St. Louis Missouri
Person Interviewed: (b) (6), (b) (7)(C)
Present for Interview: SA David Barland-Liles

DETAILS: On Thursday, April 28, 2012, at approximately 0855 hours, I interviewed (b) (6), (b) (7)(C) at (b) (6), (b) (7)(C) office. (b) (6), (b) (7)(C) stated (b) (6) understood I was a Special Agent with the National Park Service, understood the purpose of the interview, understood (b) (6), (b) (7)(C) rights and agreed to voluntarily participate. The interview was recorded using handwritten notes.

(b) (6), (b) (7)(C) stated (b) (6) supervised and mentored (b) (6), (b) (7)(C) while (b) (6), (b) (7)(C) was participating in the Midwest Superintendent Development Program in 1997-1999. At the time (b) (6), (b) (7)(C) was the Deputy Superintendent at Cuyahoga Valley National Park (CUYA) and (b) (6), (b) (7)(C) was participating in the program while at Perry’s Victory & International Peace Memorial (PEVI). (b) (6), (b) (7)(C) stated (b) (6) was assigned to supervise (b) (6), (b) (7)(C) by CUYA’s Superintendent, (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) were “like oil and water” and (b) (6) was not surprised when (b) (6), (b) (7)(C) assigned him to perform the supervision. (b) (6), (b) (7)(C) clarified (b) (6), (b) (7)(C) believed (b) (6), (b) (7)(C) had low critical thinking skills which was the source of the personality conflict between them.

(b) (6), (b) (7)(C) stated the development program was new with a relatively informal structure that became more structured over time. PEVI was chosen for this program due to the units’ lack of operational complexity. The development program focused on the needs of (b) (6), (b) (7)(C) and PEVI. Developmental needs that could not be achieved at PEVI were augmented by (b) (6), (b) (7)(C) involvement in the more complex operation of CUYA. (b) (6), (b) (7)(C)

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 04/29/2012
Approving Official/Title Les Seago / ASAC	Signature	Date

Distribution: Original – Case File Other: Other:

1 stated (b)(6), (b)(7)(C) took (b)(6), (b)(7)(C) responsibility related to the program seriously and understood the importance of the proper
2 development of new superintendent's.
3

4 (b)(6), (b)(7)(C) stated during (b)(6), (b)(7)(C) development program (b)(6), (b)(7)(C) visited CUYA three times and (b)(6), (b)(7)(C) came to CUYA
5 approximately six times. They also spoke on the phone when necessary. Through these contacts (b)(6), (b)(7)(C)
6 learned (b)(6), (b)(7)(C) was able to quickly integrate into the small community and the governing authorities that
7 surround PEVI and seemed to have a positive influence.
8

9 (b)(6), (b)(7)(C) stated PEVI had several ongoing projects during (b)(6), (b)(7)(C) development program. The projects included
10 the development of a new visitor center, the improvement of the units' curatorial and museum storage, and the
11 restoration and repurposing of a historic home. (b)(6), (b)(7)(C) stated (b)(6), (b)(7)(C) is unable to remember how (b)(6), (b)(7)(C) tenure at
12 PEVI specifically corresponded with the stages of these projects. (b)(6), (b)(7)(C) stated (b)(6), (b)(7)(C) was most likely present
13 for only a portion of these projects.
14

15 (b)(6), (b)(7)(C) stated too much time has gone by for him to remember any specific concerns related to (b)(6), (b)(7)(C)
16 performance. (b)(6), (b)(7)(C) did attempt to recall a possible issue associated with (b)(6), (b)(7)(C) performance on a
17 procedural process that (b)(6), (b)(7)(C) was concerned about but (b)(6), (b)(7)(C) was unable to remember the circumstances.
18

19 (b)(6), (b)(7)(C) stated the development program did have some flaws. One was related to the communities associated
20 with the intake parks perceiving their units as training grounds for the National Park Service (NPS). This often
21 creates a negative impact on the relationship between communities and the NPS. The second was the need for
22 the program to include an additional step of intake superintendents working as deputy superintendents within
23 complex NPS units. (b)(6), (b)(7)(C) feared superintendents who are immediately transferred to independent NPS operations
24 after completing the program are more likely to have their personal eccentricities go unchecked which could
25 result in management issues.
26

27 **ATTACHMENTS:** None.

FOR OFFICIAL USE ONLY



**United States Department of the Interior
National Park Service
Investigative Services Branch**



Investigative Activity Report

Case Title: Effigy Mounds National Monument (EFMO)		ISB Case Number: OI-HQ-10-0628	
Location: Northeast Iowa	Case Status: Open	Report Date: 05/04/2012	Report Number: 023
Report Subject: Interview of (b) (6), (b) (7)(C) – Northeast Region Chief of Interpretation			

SUMMARY: From 1999-2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with (b) (6), (b) (7)(C) who supervised (b) (6), (b) (7)(C) during part of (b) (6), (b) (7)(C) tenure at Valley Forge National Historical Park. (b) (6), (b) (7)(C) was also the project manager for a new visitor facility at Perry's Victory & International Peace Memorial while (b) (6), (b) (7)(C) was participating in a superintendent development program. (b) (6), (b) (7)(C) participated in the compliance and development of that project.

Date/Time: 05/04/2012 – 08:30 a.m. – 09:50 a.m.

Location: Telephone

Person Interviewed: (b) (6), (b) (7)(C)

Present for Interview: SA David Barland-Liles

DETAILS: On Thursday, May 4, 2012, at approximately 0830 hours, I interviewed (b) (6), (b) (7)(C) by telephone. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) understood I was a Special Agent with the National Park Service, understood the purpose of the interview, understood (b) (6), (b) (7)(C) rights and agreed to voluntarily participate. The interview was recorded using handwritten notes.

(b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) has known (b) (6), (b) (7)(C) since (b) (6), (b) (7)(C) began (b) (6), (b) (7)(C) career with the National Park Service (NPS) in the late 1980's at Valley Forge National Historical Park in Pennsylvania. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was a college student and volunteering at Valley Forge on the weekends. After graduating, (b) (6), (b) (7)(C) became a seasonal interpretation ranger and (b) (6), (b) (7)(C) was (b) (6), (b) (7)(C) direct supervisor. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) implemented annual two week training programs for the interpretation staff which provided an overview of the NPS mission and the laws, guidelines and policies the staff needed to follow to effectively achieve the mission. (b) (6), (b) (7)(C) attended these training sessions.

While at Valley Forge (b) (6), (b) (7)(C) was hired permanently as a museum technician and was supervised by the curator of the museum collection, (b) (6), (b) (7)(C). (b) (6), (b) (7)(C) left Valley Forge and (b) (6), (b) (7)(C) was promoted to

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 05/04/2012
Approving Official/Title Les Seago / ASAC	Signature	Date

Distribution: Original – Case File Other: Other:

1 the curator position. (b) (6), (b) (7)(C) stated there was a large, multi-year archeological investigation occurring at
2 Valley Forge during this period and the museum and curatorial staff was heavily involved.

3
4 In 1992 (b) (6), (b) (7)(C) moved to Cuyahoga Valley National Park in Ohio where (b) (6), (b) worked as the Assistant Chief of
5 Interpretation. In 1994 (b) (6), (b) was promoted to a management assistant position and worked directly for the
6 Superintendent, (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) learned (b) (6), (b) (7)(C) had transferred to Martin Van Buren National Historic
7 Site (MAVA) as a curator and was eventually promoted to the superintendent position after a stint as the acting
8 superintendent. (b) (6), (b) (7)(C) stated MAVA is a cultural resource site and added the first ten years of (b) (6), (b) (7)(C) NPS
9 career was all about museum collections.

10
11 In 1997 (b) (6), (b) (7)(C) was approached by (b) (6), (b) (7)(C) who stated a new Midwest Regional Superintendent Development
12 Program was being developed. Cuyahoga Valley National Park (CUYA) was selected to supervise a
13 probationary superintendent who would be stationed at Perry's Victory & International Peace Memorial (PEVI)
14 in Put-in-Bay Ohio. (b) (6), (b) (7)(C) asked (b) (6), (b) (7)(C) if (b) (6), (b) knew any potential applicants for the position. (b) (6), (b) (7)(C) stated
15 Put-in-Bay is a small, isolated community that shuts down in the winter making it less attractive to many
16 potential applicants. (b) (6), (b) (7)(C) stated (b) (6), (b) thought of (b) (6), (b) (7)(C) because (b) (6), (b) (7)(C) had mentioned (b) (6), (b) interest in
17 moving closer (b) (6), (b) disabled mother in Iowa. (b) (6), (b) (7)(C) was selected for the position.

18
19 (b) (6), (b) (7)(C) stated PEVI had a staff of approximately ten NPS employees and relied heavily on CUYA for
20 administrative and specialized support. CUYA was experiencing an enormous amount of development and
21 project work at the time. The park developed the Technical & Professional Assistance Group (TAPS) to help
22 manage the workload. The group consisted of a historian (former employee of the Ohio State Historic
23 Preservation Office), two landscape architects and a historical architect, who pooled their expertise to ensure the
24 successful completion of all stages of the projects. This group was heavily supplemented by archeologists from
25 the Midwest Archeological Center.

26
27 (b) (6), (b) (7)(C) stated PEVI was in desperate need of a new visitor facility to replace an inadequate and embarrassing
28 Quonset hut. (b) (6), (b) (7)(C) was assigned by (b) (6), (b) (7)(C) to oversee the project and (b) (6), (b) (7)(C) participated with the projects
29 development. (b) (6), (b) (7)(C) stated all projects relied heavily on TAPS to ensure the requirements of the National
30 Historic Preservation Act and the National Environmental Policy Act were met. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C)
31 participated and received mentoring related to the successful completion of these processes. (b) (6), (b) (7)(C) stated (b) (6), (b)
32 visited with (b) (6), (b) (7)(C) four to six times at PEVI to discuss and work on the compliance and design of the visitor
33 facility. (b) (6), (b) (7)(C) added (b) (6), (b) (7)(C) visited CUYA several times where (b) (6), (b) met with TAPS members and discussed
34 the project. It was made clear to (b) (6), (b) (7)(C) TAPS was a relatively unusual phenomena in the NPS and existed due
35 to the current situation at CUYA, therefore smaller NPS units need to identify and pool together regional
36 experts and consultants to fulfill their compliance requirements.

37
38 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) completed the development program and was transferred to Effigy Mounds National
39 Monument (EFMO). (b) (6), (b) (7)(C) was promoted to the Northeast Regional Office and lost contact with (b) (6), (b) (7)(C)
40 (b) (6), (b) (7)(C) stated in 2009 when (b) (6), (b) learned about the compliance issues associated with (b) (6), (b) (7)(C) tenure at EFMO
41 (b) (6), (b) was shocked due to (b) (6), (b) knowledge of (b) (6), (b) (7)(C) participation in so many compliance related projects
42 throughout (b) (6), (b) career and the training and mentoring (b) (6), (b) received from CUYA. (b) (6), (b) (7)(C) stated, "I never
43 imagined (b) (6), (b) was capable of screwing things up this way." (b) (6), (b) (7)(C) added (b) (6), (b) (7)(C) violated the very essence of
44 what the NPS is supposed to be doing. (b) (6), (b) (7)(C) stated, "(b) (6), (b) has to be held accountable."

45
46 **ATTACHMENTS:** None.

FOR OFFICIAL USE ONLY



**United States Department of the Interior
National Park Service
Investigative Services Branch**



Investigative Activity Report

Case Title: Effigy Mounds National Monument (EFMO)		ISB Case Number: OI-HQ-10-0628	
Location: Northeast Iowa	Case Status: Open	Report Date: 05/15/2012	Report Number: 024
Report Subject: Interview of (b) (6), (b) (7)(C) – EFMO Chief of Maintenance			

SUMMARY: From 1999-2010 numerous maintenance and building projects were allegedly funded and completed without proper compliance required by the National Historic Preservation Act (NHPA).

The following is an interview with (b) (6), (b) (7)(C) the Chief of Maintenance of Effigy Mounds National Monument (EFMO). (b) (6), (b) (7)(C) stated (b) (6) was not officially designated as the compliance coordinator of EFMO by Superintendent (b) (6), (b) (7)(C). (b) (6), (b) (7)(C) stated EFMO projects were approved by (b) (6), (b) (7)(C) and completed by (b) (6), (b) (7)(C) without any permitting or compliance. (b) (6), (b) (7)(C) stated the lack of project compliance was not intentional. (b) (6), (b) (7)(C) remained unaware of laws, policies and procedures despite two training sessions related to compliance.

Date/Time: 05/15/2012 – 07:30 a.m. – 09:10 a.m.
Location: Effigy Mounds National Monument – Chief of Maintenance office
Person Interviewed: (b) (6), (b) (7)(C)
Present for Interview: SA David Barland-Liles

DETAILS: On Thursday, May 15, 2012, at approximately 0730 hours, I interviewed (b) (6), (b) (7)(C) at (b) (6), (b) (7)(C) office in Effigy Mounds National Monument. (b) (6), (b) (7)(C) stated (b) (6) understood I was a Special Agent with the National Park Service, understood the purpose of the interview, understood (b) (6), (b) (7)(C) rights and agreed to voluntarily participate. The interview was recorded using an audio recorder. This is the second interview with (b) (6), (b) (7)(C) on this matter (See Report Number 015).

(b) (6), (b) (7)(C) stated prior to the arrival of (b) (6), (b) (7)(C) as the Superintendent of Effigy Mounds National Monument (EFMO) in 1999, the designated compliance coordinator was Jacquelyn (b) (6), (b) (7)(C) EFMO’s Cultural Resources Specialist. (b) (6), (b) (7)(C) was assigned the responsibility by Superintendent Kathleen Miller. After (b) (6), (b) (7)(C) left EFMO (2001), (b) (6), (b) (7)(C) claims (b) (6), (b) (7)(C) did not officially transfer the responsibility of coordinating project compliance to him and a replacement cultural resources specialist was not hired. (b) (6), (b) (7)(C) admitted (b) (6) was often told by other NPS staff (b) (6) was EFMO’s compliance coordinator; however, (b) (6) said, “I don’t really recall having an official designation.” (b) (6), (b) (7)(C) was asked if (b) (6), (b) (7)(C) ever officially designated him as the compliance coordinator. (b) (6), (b) (7)(C) replied, “Not that I’m aware of.”

Reporting Official/Title David Barland-Liles / Special Agent	Signature	Date 05/15/2012
Approving Official/Title Les Seago / ASAC	Signature	Date

Distribution: Original – Case File Other: Other:

1 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) as well as other EFMO staff, always felt EFMO needed a Cultural Resources Specialist
2 but it was never funded and always ranked low on the regional funding increases list. (b) (6), (b) (7)(C)
3 acknowledged funding was redistributed within EFMO from all divisions to pay (b) (6), (b) (7)(C) but that type of
4 reallocation did not occur during (b) (6), (b) (7)(C) tenure.

5
6 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) received compliance coordinator training twice during (b) (6), (b) (7)(C) career, during the 1990's at
7 Lincoln Home National Historic Site and in 2003 at EFMO. (b) (6), (b) (7)(C) stated the 2003 session was provided
8 by NPS Archeologist (b) (6), (b) (7)(C) and was in response to the discovery of an EFMO trail re-route
9 project that occurred near Fire Point (North Unit) without compliance.

10
11 (b) (6), (b) (7)(C) admitted, despite the training (b) (6), (b) (7)(C) received, (b) (6), (b) (7)(C) never fully understood the compliance process.
12 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) thought the compliance coordinator merely filled out the "Triple X" form and where it
13 went from there (b) (6), (b) (7)(C) had no clue. (b) (6), (b) (7)(C) stated in all (b) (6), (b) (7)(C) years (b) (6), (b) (7)(C) never heard project proposals needed to be
14 reviewed by state archeologists and was not aware compliance needed to be completed prior to the request for
15 project funding. (b) (6), (b) (7)(C) stated to this day (b) (6), (b) (7)(C) still does not fully understand the process.

16
17 (b) (6), (b) (7)(C) was asked if the lack of compliance at EFMO was intentional. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) didn't think so
18 but it definitely was not a priority as far as bringing it up. (b) (6), (b) (7)(C) stated the staff was so inundated with
19 responsibilities that they could not keep up. (b) (6), (b) (7)(C) stated if a superintendent is well versed in the
20 compliance process then it can become a part of the operational culture.

21
22 (b) (6), (b) (7)(C) stated budget allocation at EFMO during (b) (6), (b) (7)(C) tenure was not achieved with the full
23 participation of the management team. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) does not recall having any budget meetings until
24 (b) (6), (b) (7)(C) was replaced in 2010. (b) (6), (b) (7)(C) stated current budget allocation practices are more team oriented.
25 (b) (6), (b) (7)(C) acknowledged EFMO received base funding increases every year during (b) (6), (b) (7)(C) tenure and the
26 maintenance division was the recipient of a substantial portion of those increases.

27
28 (b) (6), (b) (7)(C) was asked about the construction of a maintenance storage shed in the fall of 2007. (b) (6), (b) (7)(C)
29 stated (b) (6), (b) (7)(C) realized, by studying the maintenance division budget, enough money would be available prior to the
30 end of the fiscal year to allow for the shed's construction. (b) (6), (b) (7)(C) told (b) (6), (b) (7)(C) about the available funds
31 and (b) (6), (b) (7)(C) approved the project. The approval of the project was informal and there was no official permitting
32 process associated with it. (b) (6), (b) (7)(C) stated there was no compliance performed.

33
34 (b) (6), (b) (7)(C) was asked about the 2009 rerouting of a previously proposed boardwalk on the Nazekaw Terrace.
35 (b) (6), (b) (7)(C) acknowledged in 1999 (b) (6), (b) (7)(C) assisted two NPS archeologists with shovel testing and a ground
36 penetrating radar study of the original boardwalk route. (b) (6), (b) (7)(C) thought the original route of the boardwalk had
37 already received proper compliance as a package deal with the Yellow River footbridge and an associated
38 boardwalk.

39
40 Sometime during 2007 (b) (6), (b) (7)(C) EFMO's Natural Resources Specialist, proposed rerouting the
41 boardwalk along the bottom of a "draw" since the original traversed a hillside mid-slope. (b) (6), (b) (7)(C) was
42 concerned about the potential for erosion and the gradient of the boardwalk which was supposed to be
43 wheelchair accessible. The reroute moved the boardwalks' connection to the Yellow River bridge boardwalk
44 25-30', which altered the overall course and placed it outside of the area inspected by the archeologists in 1999.
45 The terminus of the boardwalk was also extended 25-30' from the original proposal so the entire mound group
46 could be viewed. (b) (6), (b) (7)(C) stated this reroute and addition were done without any compliance. (b) (6), (b) (7)(C)

FOR OFFICIAL USE ONLY

1 stated (b) (6), (b) (7)(C) does not believe any archeologists inspected the reroute section of the boardwalk beyond a possible
2 “cursory look” by (b) (6), (b) (7)(C) from the Midwest Archeological Center.

3
4 (b) (6), (b) (7)(C) stated there should have been a regional mechanism to ensure projects had completed compliance
5 prior to providing funding. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was aware a mechanism now exists due to incidents at EFMO.
6 (b) (6), (b) (7)(C) agreed the project policy funding changes were implemented because EFMO is the National Park
7 Service’s (NPS) lowest common denominator. (b) (6), (b) (7)(C) was asked how (b) (6), (b) (7)(C) feels about being the lowest
8 common denominator, (b) (6), (b) (7)(C) stated, “It tears at my guts every single day.” (b) (6), (b) (7)(C) added, “I feel that
9 I let myself down. I feel that I let the park and the Park Service as a whole down.”

10
11 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) had too much piled on top of him and could not give the attention (b) (6), (b) (7)(C) needed to give. (b) (6), (b) (7)(C)
12 got too far behind and did not understand the process. (b) (6), (b) (7)(C) stated if (b) (6), (b) (7)(C) could wave a magic wand (b) (6), (b) (7)(C) one wish is
13 for every park to have a cultural resource specialist instead of the compliance responsibility being a collateral
14 duty.

15
16 (b) (6), (b) (7)(C) stated the best available EFMO employee during (b) (6), (b) (7)(C) tenure to perform compliance was
17 (b) (6), (b) (7)(C) but there was a perception that (b) (6), (b) (7)(C) did not get things done. (b) (6), (b) (7)(C) acknowledged EFMO senior
18 law enforcement officer, (b) (6), (b) (7)(C) could also have been a candidate since (b) (6), (b) (7)(C) had a master’s degree in
19 archeology and could have (b) (6), (b) (7)(C) subject-to-furlough position extended with available funds, similar to (b) (6), (b) (7)(C)
20 (b) (6), (b) (7)(C) stated there was a perception (b) (6), (b) (7)(C) also did not complete projects in a timely manner and there
21 were some personality conflicts. (b) (6), (b) (7)(C) acknowledged a good manager would be able to ensure any
22 potential deficiencies were overcome.

23
24 (b) (6), (b) (7)(C) referred to a map hanging above (b) (6), (b) (7)(C) desk that included known and potential burial mounds in and
25 around (b) (6), (b) (7)(C) office and the visitor center. (b) (6), (b) (7)(C) stated if the technology was available earlier to help him
26 understand the large number of suspected mounds that are no longer visible at the surface (b) (6), (b) (7)(C) would have had a
27 great deal more sensitivity.

28
29 Prior to study that led to the map (b) (6), (b) (7)(C) was told by NPS archeologists that (b) (6), (b) (7)(C) was pretty much good to go with all
30 projects in that area due to previous disturbances. (b) (6), (b) (7)(C) was asked if that in any way means (b) (6), (b) (7)(C) can skip
31 the compliance process. (b) (6), (b) (7)(C) stated, “No.”

32
33 (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) intends to continue to cooperate with the investigation and any pending legal processes.
34 (b) (6), (b) (7)(C) stated, “Have mercy,” when asked about any advice (b) (6), (b) (7)(C) would give to the U.S. Attorney’s Office.

35
36 (b) (6), (b) (7)(C) added, “How can I make amends and improve the culture here?” and emphasized (b) (6), (b) (7)(C) desire to help
37 improve the NPS.

38
39 **ATTACHMENTS:** None.

FOR OFFICIAL USE ONLY

Supporting
Records:

Investigative
Memos



United States Department of the Interior
NATIONAL PARK SERVICE
LAW ENFORCEMENT, SECURITY, and EMERGENCY SERVICES
INVESTIGATIVE SERVICES BRANCH

IN REPLY REFER TO:

Memorandum

Date: 03/09/2011

From: SA David Barland-Liles

Subject: OI-HQ-10-0628-R – (b) (6), (b) (7)(C) – Sac and Fox Tribe of the Mississippi in Iowa.

I was told by the Sac and Fox Nation of Missouri in Kansas and Nebraska and the Sac and Fox Nation of Oklahoma, both affiliated tribes of Effigy Mounds National Monument (EFMO), to speak with (b) (6), (b) (7)(C) of the Sac and Fox Nation of the Mississippi in Iowa. (b) (6), (b) (7)(C) routinely represents the entire Sac and Fox Nation on EFMO issues due to (b) (6), (b) (7)(C) relatively close proximity.

(b) (6), (b) (7)(C) stated the Sac and Fox Nation are affiliated with EFMO due to a treaty boundary which includes EFMO. (b) (6), (b) (7)(C) explained the Sac and Fox tribes are Algonquin while the mounds were created by ancestral Sioux tribes who now reside in Wisconsin and Minnesota. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) did not feel the need to provide consultation feedback on EFMO mound issues since the mounds were Sioux. He represented the Sac and Fox Tribes only on unaffiliated remains that were being repatriated at EFMO because those may have been (b) (6), (b) (7)(C) ancestors. He also represented the Sac and Fox Nations with ensuring their territory, including EFMO, were not encroached upon by Sioux tribes ignoring the Sac and Fox aboriginal claim to the area.

(Signature) _____

David Barland-Liles
NPS, Special Agent

Date



United States Department of the Interior
NATIONAL PARK SERVICE
LAW ENFORCEMENT, SECURITY, and EMERGENCY SERVICES
INVESTIGATIVE SERVICES BRANCH

IN REPLY REFER TO:

Memorandum

Date: 05/23/2011

From: David Barland-Liles
Special Agent

Subject: (b) (2), (b) (6), (b) (7)(C) – Midwest Regional Office – Program funding.

(b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) office provides maintenance project funding and technical support for the National Park Service units of the Midwest. (b) (6), (b) (7)(C) stated it is the responsibility of the Superintendents of each park to complete project planning, design, compliance and program management prior to requesting the obligation of an account number from (b) (6), (b) (7)(C) office. (b) (6), (b) (7)(C) office has funded projects under the assumption that these obligations have been met and previously did not have a mechanism, or see a need to have a mechanism to ensure Superintendents had completed project development/compliance obligations.

Since there was no perceived need to ensure compliance completion by the Regional Maintenance Office, (b) (6), (b) (7)(C) was unaware of and did not detect any fraud or deception related to EFMO projects.

(b) (6), (b) (7)(C) stated the entire Project Management Information System has been modified to include compliance verification region-wide since the violations were discovered at Effigy Mounds NM.

(b) (6), (b) (7)(C) discussed the fiscal funding issues of Federal projects and stated adapting to these funding time restraints is in the “DNA” of maintenance projects and should not be used as an excuse to avoid proper compliance.

David Barland-Liles
NPS, Special Agent

05/23/2011

Date



United States Department of the Interior
NATIONAL PARK SERVICE
LAW ENFORCEMENT, SECURITY, and EMERGENCY SERVICES
INVESTIGATIVE SERVICES BRANCH

IN REPLY REFER TO:

Memorandum

Date: 03/10/2011

From: SA David Barland-Liles

Subject: OI-HQ-10-0628-R – (b) (6), (b) (7)(C) – Ho-Chunk Nation of Wisconsin.

(b) (6), (b) (7)(C) stated (b) (6) had a close relationship with Effigy Mounds National Monument (EFMO) staff including former Superintendent (b) (6), (b) (7)(C). He presided over two repatriations (Sny Magill Bird Effigy and South Unit) at EFMO and felt (b) (6) had a good working relationship with the staff.

(b) (6), (b) (7)(C) could not remember receiving consultations on many projects but remembers a great deal of consultation on Native American Graves Protection and Repatriation projects.

(b) (6), (b) (7)(C) stated (b) (6) fears the National Park Service (NPS) is scapegoating (b) (6), (b) (7)(C) for a failure of the entire agency to get proper compliance for EFMO projects required by the National Historic Preservation Act. He stated “heads should roll at Region” referring to the lack of compliance oversight provided by NPS managers at the Regional Office in Omaha. He emphasized EFMO is a Ho-Chunk cemetery and the entire NPS failed to protect it.

(Signature) _____

David Barland-Liles
NPS, Special Agent

Date



United States Department of the Interior
NATIONAL PARK SERVICE
LAW ENFORCEMENT, SECURITY, and EMERGENCY SERVICES
INVESTIGATIVE SERVICES BRANCH

IN REPLY REFER TO:

Memorandum

Date: 03/14/2011

From: SA David Barland-Liles

Subject: OI-HQ-10-0628-R – (b) (6), (b) (7)(C) – Sac and Fox Nation of Oklahoma – Historic Preservation Officer.

(b) (6), (b) (7)(C) was the Historic Preservation Officer for the Sac and Fox Nation of Oklahoma during the tenure of former Effigy Mounds National Monument (EFMO) Superintendent (b) (6), (b) (7)(C). (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) thought very highly of (b) (6), (b) (7)(C) and enjoyed a good relationship with (b) (6), (b) (7)(C) especially in regards to Native American Graves Protection and Repatriation (NAGPRA) issues. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) was disappointed when (b) (6), (b) (7)(C) learned of the lack of proper consultations conducted by EFMO in relation to construction projects such as boardwalks, platforms, buildings and bridges. (b) (6), (b) (7)(C) explained (b) (6), (b) (7)(C) was most disappointed with the not yet completed boardwalk (b) (6), (b) (7)(C) saw extending into the Nazekaw Terrace area. She described the boardwalk as “just wrong” and did not understand why the National Park Service would even consider building it in a previously undisturbed area without consultation. (b) (6), (b) (7)(C) added “Why would they think we would want that there” especially when “They worked with us and known us so well up to that point.” Massey explained (b) (6), (b) (7)(C) has difficulty understanding why (b) (6), (b) (7)(C) did such a good job on NAGPRA issues yet failed to perform tribal consultations on projects.

(Signature) _____

David Barland-Liles
NPS, Special Agent

Date



United States Department of the Interior
NATIONAL PARK SERVICE
LAW ENFORCEMENT, SECURITY, and EMERGENCY SERVICES
INVESTIGATIVE SERVICES BRANCH

IN REPLY REFER TO:

Memorandum

Date: 01/25/2012

To: OIG-HQ-10-0628-R

Subject: (b) (6), (b) (7)(C) – Senator Harkin visit

On 01/25/2012 I spoke with (b) (6), (b) (7)(C) on the telephone from 2:33 p.m. – 2:48 p.m. I asked (b) (6), (b) (7)(C) about a visit by Senator Harkin to EFMO in 2005. (b) (6), (b) (7)(C) stated (b) (6) remembered the visit. He was with the Senator and EFMO's Maintenance Chief, (b) (6), (b) (7)(C), at the end of the pedestrian bridge over the Yellow River. (b) (6), (b) (7)(C) was explaining to Harkin about a proposed ADA accessible boardwalk that would traverse a steep slope. Harkin was pointing out and commenting on an old roadbed/trail that was already available and had a less steep gradient. Harkin wondered out loud to (b) (6), (b) (7)(C) why the NPS was not using the available route. (b) (6), (b) (7)(C) provided a map and a photo taken shortly after the conversation (attached).

NPS, Special Agent

Date



United States Department of the Interior
NATIONAL PARK SERVICE
LAW ENFORCEMENT, SECURITY, and EMERGENCY SERVICES
INVESTIGATIVE SERVICES BRANCH

IN REPLY REFER TO:

Memorandum

Date: 02/14/2011

From: SA David Barland-Liles

Subject: OI-HQ-10-0628-R – (b) (6), (b) (7)(C) – Midwest Regional Chief of Planning and Environmental Compliance.

(b) (6), (b) (7)(C) stated prior to the 2009 Operations Evaluation (OE) (b) (6), (b) (7)(C) was unaware of Effigy Mounds National Monument (EFMO) compliance violations required by the National Historic Preservation Act. In retrospect (b) (6), (b) (7)(C) remembered a few incidents that raised red flags. One involved the construction of a pedestrian bridge over the Yellow River. During construction there was a large flood that washed away construction materials into the Mississippi River. This surprised (b) (6), (b) (7)(C) because it would have been unusual to get the approval to store construction materials in a flood plain. Additional research helped (b) (6), (b) (7)(C) realize the park had not generated a required Corps of Engineers “404 Form” and (b) (6), (b) (7)(C) realized (b) (6), (b) (7)(C) never saw any Section 106 Compliance paperwork related to the bridge. She also realized the boardwalk built down to the bridge had similar non-compliance issues.

(b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) heavily participated in EFMO’s General Management Plan (GMP) process. The process started in 2005 with scoping sessions and progressed through 2008 as they approached finalization. In May-June 2008 Washington realized EFMO’s Superintendent, (b) (6), (b) (7)(C), had not distributed the draft GMP for additional public review and comments, especially to many affiliated Native American Tribes, the Iowa Office of the State Archaeologist and the Iowa State Historical Preservation Office. This derailed the GMP process and forced it to backtrack through several years of work.

The revised GMP is now reaching the finalization stage and (b) (6), (b) (7)(C) became aware of language within the revised draft that eluded to additional boardwalks and viewing platforms. (b) (6), (b) (7)(C) stated the language was removed from the document.

(b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) full realization of EFMO non-compliance issues developed after the OE. She became aware that (b) (6), (b) (7)(C), EFMO’s Facility Manager and compliance coordinator, had a grossly inaccurate understanding of the compliance process despite formal training. (b) (6), (b) (7)(C) stated (b) (6), (b) (7)(C) felt (b) (6), (b) (7)(C) intention was to not fully understand the process due to the increased work-load as a form of plausible deniability. (b) (6), (b) (7)(C) added “I do not think there is room for growth and change with (b) (6), (b) (7)(C)

After the OE was complete (b) (6), (b) (7)(C) believed (b) (6), (b) (7)(C) ignored specific directions from the Regional Director to remove structures and other adverse projects from EFMO. (b) (6), (b) (7)(C) stated “I never met a better actress than Phyllis... She is not without guile.”

(Signature)

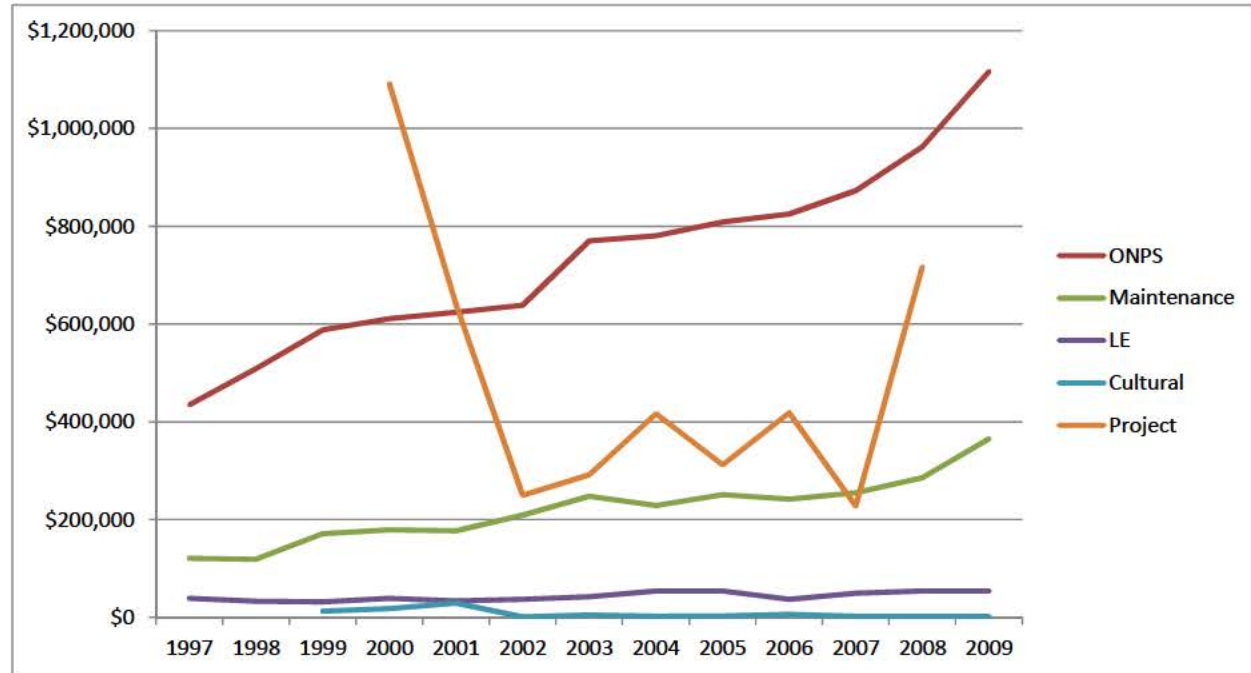
David Barland-Liles
NPS, Special Agent

Date

Supporting
Records:

Budget
Allocation

Year	ONPS	Maintenance	LE	Cultural	Project
1997	\$435,000	\$121,000	\$39,000		
1998	\$509,000	\$119,000	\$33,000		
1999	\$588,000	\$171,000	\$32,000	\$13,000	
2000	\$611,000	\$179,000	\$39,000	\$18,000	\$1,091,000
2001	\$624,000	\$177,000	\$34,000	\$29,000	\$640,000
2002	\$639,000	\$209,000	\$37,000	\$1,000	\$250,000
2003	\$770,000	\$248,000	\$42,000	\$5,000	\$292,000
2004	\$781,000	\$229,000	\$54,000	\$2,000	\$417,000
2005	\$809,000	\$251,000	\$54,000	\$3,000	\$312,000
2006	\$825,000	\$242,000	\$37,000	\$6,000	\$419,000
2007	\$873,000	\$255,000	\$49,200	\$2,000	\$228,000
2008	\$963,000	\$286,000	\$54,000	\$2,000	\$717,000
2009	\$1,117,000	\$366,000	\$54,000	\$2,000	



FISCAL YEAR 2007											
RECAP - UTILIZATION OF FUNDS											
ONPS BASE FUNDS											
ACCOUNT NUMBER	ACCOUNT TITLE	AUTHORIZED AMOUNT	PERSONAL SVCS/BENEFITS	TRAVEL	EQUIPMENT	GSA VEHICLES	TRANSPORT OF THINGS	UTILITIES	OTHER SVCS/ TRAINING	MISC SUPPLIES & MATERIALS	TOTAL EXPENDITURES
6290-CZY	Cultural Res - General	\$2,000.00							138.92	197.41	1,663.67
6290-HZS	Health & Safety Parkwide	\$7,425.00					21.55		796.42	5,225.50	1,381.53
6290-IZI	Interpretation - General	\$73,500.00	69,675.64	802.28					(2,833.58)	3,472.40	2,383.26
6290-LZL	Law Enforcement - General	\$46,558.00	49,191.27	271.30			7.06		147.60	53.48	(3,112.71)
6290-MWB	Maint - Buildings	\$27,963.00	22,236.11						3,897.94	6,728.73	(4,899.78)
6290-MWG	Maint - Grounds	\$500.00							106.35	208.00	185.65
6290-MWL	Maint - Cultural Resources	\$18,099.00	16,090.68						241.09	207.12	1,560.11
6290-MWM	Maint of Vehicles & Equipment	\$12,000.00				4,935.06			3,724.73	1,588.83	1,751.38
6290-MWR	Maint - Roads	\$3,801.00	2,919.44							497.79	383.77
6290-MWT	Maint - Trails	\$36,885.00	36,484.57							742.09	(341.66)
6290-MWU	Maint of Utilities	\$1,400.00							48.75	998.19	353.06
6290-MWY	Maint - General	\$83,941.00	81,467.43							15.98	2,457.59
6290-MZB	Operations - Buildings	\$18,730.00	15,275.81					2,843.39	26.42	3,340.25	(2,755.87)
6290-MZG	Operations - Grounds	\$7,029.00	5,079.24							41.97	1,907.79
6290-MZL	Operations - Cultural Resources	\$10,234.00	7,192.25								3,041.75
6290-MZM	Operations - Vehicles & Equipment	\$5,050.00				137.33				6,165.58	(1,252.91)
6290-MZR	Operations - Roads	\$10,780.00	9,675.53					374.00	71.99	366.38	292.10
6290-MZT	Operations - Trails	\$18,388.00	17,991.45							6.45	390.10
6290-MZU	Operations - Utilities	\$30,000.00						12,414.89	6,733.08	6,565.06	4,286.97
6290-MZY	Operations - Program & Support	\$6,500.00		\$1,770.01					\$341.70	\$6,033.06	(\$1,644.77)
6290-NZP	Res Mgt - Invasive Plants	\$500.00	\$148.52							\$2,023.64	(\$1,672.16)
6290-NZY	Res Mgt - Program Support	\$81,907.00	\$79,315.46	\$2,175.12					\$358.76	\$1,930.00	(\$1,872.34)
6290-SZD	Parkwide Administration	\$140,133.00	\$127,026.74	\$1,522.35			\$279.36		\$73.80	\$10,213.15	\$1,017.60
6290-SZM	Parkwide Management	\$129,052.47	\$127,448.52	\$993.56				\$61.42	\$472.77	\$4,346.49	(\$4,270.29)
6290-SZT	Parkwide Training	\$4,100.00							\$3,669.14		\$430.86
6290-VZY	Interp & Visitor Services - Program Support	\$80,750.00	\$79,566.85	\$570.55			\$5.51		\$258.72	\$369.99	(\$21.62)
Total ONPS Park Base Funds		\$857,225.47	\$746,785.51	\$8,105.17	\$0.00	\$5,072.39	\$313.48	\$15,693.70	\$18,274.60	\$61,337.54	\$1,643.08

ACCOUNT NUMBER	ACCOUNT TITLE	PERSONAL SVCS/BENEFITS	TRAVEL	EQUIPMENT	GSA VEHICLES	TRANSPORTATION OF THINGS	UTILITIES	OTHER SVCS/TRAINING	MISC SUPPLIES & MATERIALS	TOTAL EXPENDITURES
6290-MZY	Operations - Program & Support	\$133,312.99	\$4,558.20					\$315.00	\$5,384.76	\$143,570.95
6290-NZP	Res Mgt - Invasive Plants	\$78,845.88		\$1,067.70				\$902.14	\$2,782.47	\$83,598.19
6290-CN10-NZP	Centennial Seas - Natural Resources	\$24,673.38								\$24,673.38
6290-NZY	Res Mgt - Program Support	\$95,754.83	\$1,374.75	\$5,860.86				\$5,405.12	\$6,553.60	\$114,949.16
6290-SZD	Parkwide Administration	\$154,446.38	\$1,757.35	\$12,309.55		\$215.40	\$12.12	\$7,249.41	\$36,085.36	\$212,075.57
6290-SZM	Parkwide Management	\$89,926.36	\$19,319.17	\$4,934.92				\$5,747.85	\$9,553.63	\$129,481.93
6290-SZT	Parkwide Training		\$8,028.10					\$2,948.01		\$10,976.11
6290-VZY	Interp & Visitor Services - Program Support	\$44,274.40	\$847.86				\$375.00	\$37.45	\$15.29	\$45,550.00
Total ONPS Park Base Funds		\$951,267.33	\$39,667.37	\$24,350.98	\$11,797.94	\$610.09	\$23,657.59	\$38,645.14	\$101,058.17	\$1,191,054.61
Available Funds										\$1,210,125.00
Balance returned due to lapsed positions										\$19,070.39
FY2010 DONATIONS	AUTHORIZED AMOUNT	EXPENDITURES	INCOME	BALANCE CARRIED FORWARD TO FY2011						
6290-2010-600	\$5,292.37	\$1,608.44	\$2,560.07	\$6,244.00						
PROJECTS										
ACCOUNT #	ACCOUNT TITLE	AUTHORIZED AMOUNT	PERSONNEL SERVICES	SUPPLIES & MATERIALS	BALANCE					
6290-1001-604	Cons of Historic Paintings	\$2,693.00	\$255.08	\$724.00	\$1,713.92					
6290- -665	WASO LE NAGPRA	\$30,000.00	\$29,699.92	\$0.00	\$300.08					
6290-2247-C8H	Conduct Oral History Project	\$27,426.83	\$27,272.51	\$0.00	\$154.32					
6290-2T01-MCY	Project Support - FY2010 FMSS	\$4,250.00	\$979.10	\$3,267.77	\$3.13					
6290-843B-MTT	YCC Trail & Cultural Landscape	\$23,900.00	\$20,686.86	\$3,213.14	(\$0.00)					
6290-RT22-NNP	Control & Survey New Garlic Mustard	\$7,125.00	\$7,104.90		\$20.10					
6290-LESE-PAA	WASO LESES Funds	\$19,800.00	\$19,804.53		(\$4.53)					
6290-YPPT-SSC	YPP Program - Teacher-Ranger-Teacher	\$9,300.00		\$9,300.00	\$0.00	\$6192.29 Teacher Reimbursement				
6290-I010-SVC	FY10 Volunteer Funds	\$1,302.00		\$1,302.00	\$0.00					
6290-1001-V8F	Cost of Collection FY2010	\$11,904.00	\$10,569.83	\$1,313.29	\$20.88					

FTE Usage	
Perm FTE	9.17
ONPS Temp FTE	6.71
LE Project FTE - Perm	0.46
Project Temp FTE	1.04
EMPT Perm FTE	0.26
EMPT Temp FTE	1.66
Total Park FTE for FY2010	19.30

FISCAL YEAR 2010										
RECAP - UTILIZATION OF FUNDS										
ONPS BASE FUNDS										
ACCOUNT NUMBER	ACCOUNT TITLE	PERSONAL SVCS/BENEFITS	TRAVEL	EQUIPMENT	GSA VEHICLES	TRANSPORTATION OF THINGS	UTILITIES	OTHER SVCS/TRAINING	MISC SUPPLIES & MATERIALS	TOTAL EXPENDITURES
6290-CZA	MWAC Geophysical Survey	\$7,286.84	\$1,397.80						\$3,111.36	\$11,796.00
6290-CZL	Cultural Maintenance	\$18,333.28								\$18,333.28
6290-CZY	Cultural Res - General	\$29,733.52	\$543.68						\$308.17	\$30,585.37
6290-HZS	Health & Safety Parkwide							\$531.66	\$2,628.92	\$3,160.58
6290-IZI	Interpretation - General	\$61,663.02				\$380.59	\$750.00	\$521.78	\$1,087.57	\$64,402.96
6290-CI10-IZI	Centennial Seas - Interp	\$34,565.83								\$34,565.83
6290-IZY	Interpretation - Prog Support	\$29,915.70		\$177.95			\$375.00		\$3,238.50	\$33,707.15
6290-LZL	Law Enforcement - General	\$8,886.18	\$1,840.46		\$226.34				\$4,463.85	\$15,416.83
6290-CL10-LZL	Centennial Seas - Law Enforcement	\$7,590.77								\$7,590.77
6290-MWB	Maint - Buildings							\$5,332.98	\$530.74	\$5,863.72
6290-MWG	Maint - Grounds								\$300.00	\$300.00
6290-MWL	Maint - Cultural Resources								\$300.00	\$300.00
6290-MWM	Maint of Vehicles & Equipment				\$11,571.60			\$4,152.13	\$1,817.88	\$17,541.61
6290-MWR	Maint - Roads								\$279.00	\$279.00
6290-MWT	Maint - Trails								\$500.30	\$500.30
6290-MWU	Maint of Utilities								\$300.00	\$300.00
6290-MZB	Operations - Buildings	\$50,732.79					\$2,928.06	\$5,500.77	\$6,867.22	\$66,028.84
6290-MZG	Operations - Grounds								\$500.00	\$500.00
6290-MZL	Operations - Cultural Resources	\$3,129.96							\$101.40	\$3,231.36
6290-MZM	Operations - Vehicles & Equipment								\$4,950.70	\$4,950.70
6290-MZN	Operations - Nat Resources	\$7,973.20							\$626.80	\$8,600.00
6290-MZR	Operations - Roads								\$500.00	\$500.00
6290-MZT	Operations - Trails	\$53,893.27							\$431.57	\$54,324.84
6290-CM10-MZT	Centennial Seas - Maintenance	\$16,328.75								\$16,328.75
6290-MZU	Operations - Utilities					\$14.10	\$19,217.41	\$0.84	\$7,839.08	\$27,071.43

Account title	Account Number	Authorized Amount/ Initial Setup	Projected Payroll	Expenditures not cleared (see attached)	Actual Expenditures to Date	Balance Available
Centennial Seasonals						
Interpretation & CRM	6290-CS01-IZI	37,750.00	0.00	0.00	31,460.02	6,289.98
Law Enforcement	6290-CS02-LZL	8,000.00	0.00	0.00	13,116.36	(5,116.36)
Maintenance	6290-CS03-MWT	20,800.00	0.00	0.00	21,945.96	(1,145.96)
Natural Resources	6290-CS04-NZP	23,450.00	0.00	0.00	22,675.95	774.05
Total Centennial		90,000.00	0.00		89,198.29	801.71
Total ONPS Funding Authorization from Region		962,880.51				(534.96)
						.000556% of base

Account title	Account Number	Authorized Amount/ Initial Setup	Projected Payroll	Expenditures not cleared (see attached)	Actual Expenditures to Date	Balance Available
Maint Ops - Cultural Res	6290- -MZL	27,700.00	0.00	0.00	27,568.29	131.71
Maint Ops - Operation of Vehicles/Equip (Gas)	6290- -MZM	9,000.00	0.00	0.00	7,244.71	1,755.29
Maint Ops - Roads	6290- -MZR	17,000.00	0.00	0.00	16,461.98	538.02
Maint Ops - Trails	6290- -MZT	500.00	0.00	0.00	102.86	397.14
Maint Ops - Operation of Utilities	6290- -MZU	22,000.00	0.00	98.90	22,283.29	(382.19)
Maint Ops - Program Support	6290- -MZY	69,500.00	0.00	0.00	74,861.80	(5,361.80)
Res Mgt - Invasive Plants	6290- -NZP	2,000.00	0.00	0.00	2,142.90	(142.90)
Res Mgt - Program Support	6290- -NZY	86,500.00	0.00	0.00	85,337.62	1,162.38
Park-wide Admin Support	6290- -SZD	147,080.51	0.00	0.00	157,274.50	(10,193.99)
Park Management	6290- -SZM	134,300.00	0.00	0.00	138,351.29	(4,051.29)
Park-wide Training Support	6290- -SZT	3,000.00	0.00	0.00	3,227.98	(227.98)
Interp & Visitor Svcs - Prog Support	6290- -VZY	84,500.00	0.00	0.00	85,678.34	(1,178.34)
INITIAL PARK ACCT SETUP FOR FY 2008		872,880.51				(1,336.67)
Region's assessment for IT and Uniforms (my initial est for assessment \$14,459.92) Final \$14,249.49	-14259.49					
Authorization for FY2008 AS OF 6/30/2008		872,880.51	0.00	98.90	874,118.28	(1,336.67)

Effigy Mounds National Monument						
FY 2008 Account Status						
as of September 28, 2008						
ONPS						
Account title	Account Number	Authorized Amount/ Initial Setup	Projected Payroll	Expenditures not cleared	Actual Expenditures to Date	Balance Available
Cultural Res - General	6290- -CZY	2,000.00	0.00	0.00	1,742.82	257.18
Health & Safety	6290- -HYS	6,000.00	0.00	0.00	6,250.58	(250.58)
Interpretation- General	6290- -IZI	68,000.00	0.00	0.00	63,843.45	4,156.55
Law Enforcement- General	6290- -LZL	54,000.00	0.00	0.00	47,711.20	6,288.80
Maint - Buildings	6290- -MWB	6,000.00	0.00	0.00	6,293.13	(293.13)
Maint - Grounds	6290- -MWG	500.00	0.00	0.00	121.10	378.90
Maint - Cultural Resources	6290- -MWL	1,000.00	0.00	0.00	8.26	991.74
Maint - Maint of Vehicles & Equip	6290- -MWM	26,000.00	0.00	0.00	25,418.79	581.21
Maint - Roads	6290- -MWR	500.00	0.00	0.00	313.30	186.70
Maint - Trails	6290- -MWT	34,000.00	0.00	0.00	33,493.85	506.15
Maint - Maint of Utilities	6290- -MWU	700.00	0.00	0.00	390.44	309.56
Maint - Program Support	6290- -MWY	26,900.00	0.00	0.00	21,115.66	5,784.34
Maint Ops - Buildings	6290- -MZB	34,700.00	0.00	0.00	37,406.86	(2,706.86)
Maint Ops - Grounds	6290- -MZG	9,500.00	0.00	0.00	9,473.28	26.72

Prepared By	Initials	Date
Approved By		

Project Accounts	1 Authorization	2 Personal Svcs/Benefits	3 Travel	4 Equipment	5 Other Services
FIRE					
B601-H12 2006-02 RX Burn	21000.00	15286.07	4693.50		309.84
Interp					
I606-IOF Amer Indian Archeology (Travelling Trunks)	7425.00				
PS02-Izy Park Stewardship Grant	1230.00				1223.17
I610-SVC VIP	1887.00				762.38
2006-V8F Cost of Collections	9753.87	8483.06			226.00
Fee Projects					
4715-HBS Safety Code Evac	3413.65				
7897-M2E Rep/Update 7 Ancient Inksides	54950.00				54037.38
Maintenance					
2601-MCG Remove Dam/Haz Trees <i>Sgt Magitt</i>	78540.00	65893.27			11249.19
2601-MCR Rep/Rehab Unpaved Roads	18850.00	407.18			13186.50
2601-MCT Inst/Rep Safety Railings	4770.00	4573.11			194.00
2601-MCY FY2006 Project Support	8000.00	7979.27			
4064-MIT YOC Trail + Cult Landscape	17500.00	12562.25			
Natural Resources					
R618-NYY Central Monitor Garlic Mustard	9000.00	8246.96			
Cultural Resources					
C601-MOC Collection Backlog	41710.00	40933.52			
6068-CW01-UEE Ethno Oral History	4000.00	4509.29			
WUI					
M601-WZZ EFM0 2006-03 WUI	129250.00	114846.94			5588.19
Equipment Replacement					
6062-W17 Replace Park Vehicle	32000.00			32000.00	
Donation-Income Acct					
L290-2006-600	FY 2006 Aick 1157662	+ Income Received 665905	=	Total Available 1817567	

Misc Supplies + Materials	7 Total Expenditures	8 Balance Remaining	9 FTE Usage		10 Perm	11 Other	12 FEE/PASSPORT DEPOSITS
35273	20641.94	35806	.01	.14			
741436	741436	1041				624 NRP 4900.00	
	122317	683				704 Park/Res 490.00	
111851	188089	611				707 G. Eagle 225.00	
104481	9753.87	00		.27		709 Entrance 22704.00	
						713 G. Age 2730.00	
						851 Overages 300	
341365	341365	00					
	54037.38	91262					
1317311	78515.57	2443		1.35			
525632	18850.00	00					
289	4770.00	00		.14			
2072	7999.99	01		.05			
493775	17500.00	00					
75304	9000.00	00		.24			
77642	41710.00	00		.80			
	4509.29	<- 509.29		.02			
881152	129246.65	335		3.11			
				.01	6.12		
-	Expenses	=					
	568290						
						Balance from Party/over to FY2007 1289277	

Fiscal Year 2006

RECAP - UTILIZATION OF FUNDS

Prepared By _____
Approved By _____

ONPS	Authorization	Personal		Travel	Equipment	Transportation of Things
		SVCS/Benefits				
Admin						
HZS Health + Safety	742500					632161
MWM Maint of Vehicles & Equip	1200000					
MWU Utilities-Maintenance	780000					
MZM Vehicle Operations	354600					
MZU Utilities- Operations	3000000					
SZD Park Administration	13546200	13026609		166241	290743	15163
SZE Park Relocation Move	436500					
SZT Park-Wide Training Support	250000					
Mgt						
LZL Law Enforcement	3705800	892196				
SZM Park Management	11850800	11110865		355249		958
Interp and Visitor Services						
IZ Interpretation-General	7903300	8257461		70961		
YZY Program Support	7817500	8003545		82781		
Cultural Resources						
CZY Cult Res-General	569100			3473		
Natural Resources						
NZP Res Mgt-Invasive Plants	50000					
NZY Res Mgt-Program Support	7808600	7929643		71192	231281	
Maintenance						
MWB Maint-Buildings	25764300	2239469				
MVIG Maint-Grounds	50000					
MWL Maint-Cultural Resources	3209900	1265993				
MWR Maint-Roads	380100	365503				
MWT Maint-Trails	3248500	2955566			3666682	
MWY Maint-Program Support	6731900	6421270		56735		
MZB M.Operations-Buildings	1923400	1364493				
MZG M.Operations-Grounds	1152900	866493				
MZL M.Operations-Cult Res	1473400	394822				
MZR M.Operations-Roads	1428000	1116084				
MZT M.Operations-Trails	1938800	1772848				
MZY M.Operations-Program Support	54200	388035		70258		
	82500500	68371096		876920	4238706	648282
		83%		1%	5%	1%

Utilities	Other Svcs /Training	Misc Supplies & Materials	Total Expenditures	Balance Remaining	FTE Usage	
					Perm	Other
	33280	682612	715892	26608		
	319036	195304	1141501	58499		
	7493	16496	23989	54011		
		468289	468289	<-113689>		
1387127	269984	176159	1833270	166730		
	479248	957021	14925089	<-1338825>	2.00	
		00	00	436500		
	56484		56484	193516		
		17845	910041	2795759		12
	629	248776	11716477	134923		11.00
	school fund <342000>	577135	129324	8173533	<-270233>	
		688367	8774693	<-9571193>	1.00	2.47
	2135	474087	479695	89405		
	11764	116745	128509	<-78509>		
	61129	12260	8355505	<-546905>	1.00	
	318323	282936	2840928	<-244628>	.39	
	39109		39109	10891		.46
	51847	4328	1322168	1887733		.03
			365503	14597		.05
		14123	6636371	<-3387871>	.34	.30
		11346	6489371	242527	1.00	
344180	223400	240398	2172471	<-2488711>	.25	
7000		44688	918181	234719		.28
			294823	1078577		.16
			1116084	311916		.16
		41874	1814722	124078		.19
	49700	123635	631658	<-577458>		
	-342000					
1738307	1976346	4946695	82454353	44048	7.48	3.86
2%	2%	4%		left 010562		

Project Accounts	Authorization	Personnel Svcs + Benefits	Travel	Equipment	Other Services	Misc Supplies + Materials	Total Expenditures	Balance Remaining					
FIRE													
B501-H12 2005-01 Plng + Preparation	276300	188462			52867	35004	276333	< 33 >					
B502-H12 RX Burn	428800	205888	36000		120530	66339	428757	43					
FETV-H14 Fire Effects Monitoring	1000000	577715	41225		47950	318564	985454	14546					
Interp													
12Y MWR Park Steward Grant Prog	100000				457158	54242	100000	00					
IS10-SVC VIPs	140100				59171	80721	139892	208					
TPIA-SVC Take Pride in Amer	150000				30129	119871	150000	00					
2005-VF Cost of Fee Collection	902200	787855			86228	2743	876826	25374					
FEE Projects													
4715-H85 Safety Code Excavation	700000						00	700000					
5108-M8G Construct New Trails	1315893					1315893	1315893	00					
4931-M8T ADA Boardwalk	709200					709200	709200	00					
Equipment Replacement													
6062-417 Tractor Mower	2400000			2400000			2400000	00					
6290-417 Computer Equipment	316300					316300	316300	00					
6290-423 Computer Equipment	570000			570000			570000	00					
Maine													
2501-MCT Trail Safety Railing	1300000	1287753				13837	1301590	< 1590 >					
2501-MRY FY05 Project Support	800000	746921	50899				797820	2180					
4047-MTT YCC Trail Rehab	2400000	1926506			174853	296894	2398253	1747					
Natural Res													
R522-NNP Control Mon Garlic Mus.	2000000	1808270		551	34129	136990	1979940	20060					
NZY Natural Res Conf Travel	50800	50800		(Added to ONPS Base funds)			50800						
R519-RYZ Begin Research Paleo Fire	1500000	957538		60999	440000	33032	1491569	8431					
Cultural Res													
C501-U02 Cat + Photograph Collection	4610900	2908552	303157		118743	1289384	4619836	< 8936 >					
2151-UGZ NAGPRA / From Denver	680000												
WUI													
M501-W22 WUI-01 FY05	12000000	10140031		1010788	99280	727155	11977254	22746					
Donations - Income Acct													
2005-600 FY05 Donations	FY05 Authorization 1035702	+	Income Rec'd 206349	=	Total Available 1242051	-	Expenses 163989	=	Balance Available for Carryover 1078062				

FEE / PASSPORT DEPOSITS		
NPP	624	3800.00
Park P	704	4800.00
G. Eagle	707	1650.00
Entrance	709	22395.00
G. Age	713	23100.00
Overages	851	11.00
Fees collected not including overages \$29,150.00		

FISCAL YEAR 2005
 RECAP - UTILIZATION OF FUNDS

1	2	3	4	5	6	7	8	9	10	11	12	13
DNPS	Authorization	Personnel Sves Benefits	Travel	Equipment	Transportation of Things	Utilities	Other Sves / Training	Misc Supplies & Materials	Total Expenditures	Balance Remaining	FTE by Account	
Admin											FTE Usage	
HZS Health and Safety	742500						209034	512180	72124	21286	DNPS	
MWM Maint Support Misc - Vehicle Maint	1200000				461683	209890	515977	30151	1217701	< 17701 >	Perm Full-Time :	6.00
MWU Utilities Maintenance	50000		135414			234	531411	1070918	1740057	< 1690057 >	Perm STF :	1.74
MZM Support Misc - Vehicle Operations	400000							338813	338813	61187	Perm PT :	.73
MZU Utilities - Operations	2000000	16481				1264014	524303	729645	2534443	< 534443 >	Interp Seas :	1.96
SZD Park Administration	12785900	11531701	126180			24014	47545	1382723	13112163	< 326263 >	Maint Seas :	1.38
SZT Parkwide Support - Training	750000	24008	28192				483619		535849	214181		
											Projects	
Mgt											Not Res	.86
LZL Law Enforcement - General	5365300	3745531	80605				15000	10911	3852047	1513253	Cult Res	.68
SZM Park Management	10900000	10741556	162810			6471		137878	11048715	< 148715 >	Fire	.27
											Maint	.51
											WUI	2.71
											Cost of Call	.26
Interp & Visitor Services												
Izi Interpretation General	6350900	6341691			31641		< 378950 >	81177	6075559	275341		
VZY IVS Prog Admin & Support	7309400	7322204			1452		5629	9500	7338785	< 29385 >		17.10
Not Resources												
NZP NR - Invasive Plants	50000		42731				1144	4266	48111	1889		
NZY NR - Admin & Support	7622600	7345760	127550				67628	54664	7595602	26998		
Cult Resources												
CZY CR - General	300000	92406					99614	83922	275942	24058		
Maint												
MWB Buildings - Maint	2500000	2262125					26689	188872	2477686	22314		
MWG Grounds - Maint	50000							51386	51386	< 1386 >		
MWL Cult Res - Maint	4100000	4017322							4017322	82678		
MWR Roads - Maint	350000	279743						21720	301463	48537		
MWT Trails - Maint	3330000	3238795						34730	3273525	56475		
MWY Prog Admin & Support - Maint	6625300	6211018	222844				49029	44034	6526925	98375		
MZB Buildings - Operations	2100000	1463309				146612	455450	177054	2242425	< 142425 >		
MZG Grounds - Operations	830000	827113						7800	834913	< 4913 >		
MZL Cult Res - Operations	2100000	1947671							1947671	152329		
MZR Roads - Operations	900000	756637						36648	793285	106715		
MZT Trails - Operations	2150000	2041731						18135	2059866	90134		
MZY Prog Admin & Support - Operations	50000						214		214	47886		
	80911900	70206802	926326	00	494776	1653315	2655206	5027127	80963552	-51652		
		86.77%	1.14%		.61%	2.04%	3.28%	6.21%	100.05	-0.002		

		Authorization	Personnel Svcs + Benefits	Travel	Equipment	Other Services	Misc Supplies + Materials	Total Expenditures	Balance Remaining				
Projects													
6063- EFMO- 413	Rehab and Upgrade Radios	100000					8606534	8606534	1393466				
EAI	Contract Training	300		300			300	300	00				
1604-JCF	Prog Promoting Preservation	2000				18917	180138	199050	950				
1ZY	Hotwatch + VIP Travel (2000) (500)	2500		36214		50228	164050	250492	<- 492>				
2301- MANU	Replace Waterlines (Region pulled 36,000)	89000				8946942		8946942	-46962				
2401- MCE	Repaint Int of VC	11000	107000			866780	97310	1071090	28910				
2401- Mcy	FY04 Cyclic FMSS Implement	10000	1000008					1000008	< - 08>				
2402- Mcy	Perform CCA Inspections	7000	700798					700798	< - 798>				
0941- MIT	YCC Rehab Trails	15045	1279966			5450	219084	1504500	00				
R417- NYJ	Natural Resource Profiles	13916	1202676				186859	1389535	2065				
R418- SCH	Paleo-fire Regime	8280				828000		828000	00				
GRNT- SVC	National Public Lands Day	500					49997	49997	03				
J410- SVC	Volunteers - In-parks	1202				93546	26738	120284	< - 84>				
6593- V8F	Cost of Fee Collection	8695	726643			128344	4862	859849	9651				
Fire Accounts													
B402- H12	Prescribed Fire Unit N-1 (started w/ 15,000)	10003	738758	227608		39187	43488	1049043	<- 4874>				
M401- H22	Mechanical Thinning Unit 1	2500	160669				89331	250000	00				
M401- W22	Wildland Urban Interface	117500	9994117	33650		504706	1217527	11750000	00				
Fee Projects													
4715- H8S	Safety Code Education	700000											
5108- M8G	Construct New Trail Signs	1327922					12090	12090	1315892				
4431- M8T	ADA Boardwalk	709200											
Income Accounts													
		Fy04 Auth.	+	Income Recd	=	Total Available	-	Expenses	=	Balance Available For Carryover			
2004- 600	Donations	1284560		580781		1865341		756039		1109302			
2004- 692	Qtrs - Permanent	465565		00		465565		465565		00			
2004- 693	Qtrs - Seasonal	321928		00		321928		321928		00			

FEE / PASSPORT DEPOSITS

NPP 624	4200
Park P 704	580
GE 707	165
Entr. 709	23345
GA 713	2420
Demags 851	6

Cost of Collection for
FY2005 (80% of 50% / month)
\$9,338
FY05 Project approved
at \$9022

FISCAL YEAR 2004
 RECAP - UTILIZATION OF FUNDS

ONPS	Authorization	Personnel Svs Benefits	Travel	Equipment	Transportation of Things	Utilities	Other Svs Training	Misc Supplies & Materials	Total Expenditures	Balance Remaining			
Admin											End		
H2S Health and Safety	6500		13298				65297	594427	673022	<-23022>			
MWU Maint - Utilities	25900			38207		1331272	772969	458871	2601319	<-11319>			
MZY Maint - Vehicles	11900				451034		181994	521679	1154707	35292			
SZD Park Administration	134014	11651332	40684	943045	24563		79095	802368	13541057	<-139687>	24%	FTE Usage	
SZT Parkwide Training	5939	593900					203800		797700	<-203800>		Supt P	1.00
	184253	12245232	53982	981252	475597	1331272	1303155	2377345	18767835	<-342535>		LE P	.66
												Admin P	2.00
Mat													
SZM Park Management	102340	9906581	199901				3728	100222	10210432	23568	20%		
LZL Low Enf-General	53940	4824353	116729		763		35000	32400	5009245	384755		Interp P	1.00
	156280	14730934	316630		763		38728	132622	15219677	408323		T	2.40
													3.4
IVS&P													
I2I Interp-General	62990	6734051				1402	<-363000>	231234	6603687	<-304687>	17%	Maint P	3.13
VZY I&VS-Prog Support	70500	6949581			1949		8142	4686	6964358	856042		T	1.48
	133490	13683632			1949	1402	<-354853>	235920	13568045	<-219045>		NatRes P	1.00
												T	.01
													1.01
NatRes													
NZP RM-Invasive Plants	100		2439				2114	4173	8726	1274	10%	Projects	
NZY RM-General	75680	7156840	183073				60434	90681	7491028	76972		NatRes	.40
	75780	7156840	185512				62548	94854	7499754	78246		WUI	2.47
												Fire	.06
BulRes													
CZY CR-General	2480	93783					68800	7347	169930	78076	0%		15.61
							68800	7347					
Maint													
MWB Maint-Buildings	43970	3677158						739293	4416457	<-19451>			
MWL Maint-Cultural Res	67400	6553740	2439				17516	150863	6724558	15442			
MWT Maint-Trails	54750	5233619					19533	210261	5463413	11587	21%		
MWY Maint-Prog Support	62900	6042894	67194				25679	152513	6288240	1760			
	229020	21507411	69593				62728	1252930	22892662	9338			
Total ONPS Base Funds	781303	69417832	625717	981252	478309	1332674	1181101	4101018	78117903	12397			
		88.85%	80%	1.26%	.6%	1.71%	1.51%	5.25%		.01%			

FISCAL YEAR 2003

	PROJECTS	Authorization	Personnel Svcs + Benefits	Travel	Equipment	Other Services	Misc Supplies + Materials	Total Expenditures	Balance Remaining	FTE
5645-COC	Storage Cabinets	3900					387291	387291	2709	
5108-MSG	Construct New Trail Signs	20000	672018					672018	1327982	.26
4931-MST	ADA Boardwalk									
2301-MCY	Restore Burial Mounds	34000	301777			2294	175693	3195724	204276	.75
2302-MCY	Replace Damaged Sidewalks	7000				646300		646300	53700	
2303-MCY	Repaint Exterior of Buildings	7000				566900		566900	133100	
2304-MCY	Replace Haz Landscape Trees	25000					1858961	1858961	641039	
2305-MCY	FY03 Cyclic Maintenance	5000	444116					444116	55884	
6916-MIT	YCC FY03 Rehab Trails	26000	2195251			7864	365539	2568654	31346	.19
4176-NNZ	Design Sedimentation Protocol	20000				1999448		1999448	552	
2512-SVC	Volunteer-in-Parks	1900				143905	41595	185500	4500	
2003-V8F	FY03 Cost of Collection-Oper	8135	769266				41490	810756	2744	.28
FEE DE										
NPP Park GE Daily G. Age										
Cost c FY201 \$10, Projec										
FIRE ACCOUNTS										
B301-W12	Prescribed Burn	17978	1300921	414691		57389	29847	1802818	< - 5018 >	
M301-W12	Wildland Urban Interface	117600	9867061	5874	1400000	94225	388270	11755430	4570	2.97
M302-W12	Adj Lands Fuel Reduction Proj	16900				1690000		1690000	00	
										FTE Usage
										4.45
INCOME ACCOUNTS										
		FY03 Authorized + Income Rec'd = Total Avail. - Expenses = Balance (available for carryover)								
2003-600	Donations	798209	567836	1366045	81485	1284560				
2003-692	Quarters - Perm	610565	00	610565	145000	465565				
2003-693	Quarters - Temporary	466928	00	466928	145000	321928				

FISCAL YEAR 2003
 RECAP - UTILIZATION OF FUNDS

	ONPS	Authorization	Personnel Svcs + Benefits	Travel	Equipment	Transportation of Things	Utilities	Other Services / Training	Misc Supplies + Materials	Total Expenditures	Balance Remaining	FTE
<u>Admin</u>												
HZZ	Health and Safety	9300						216139	713316	929455	545	
MZM	Vehicles	11600				482226		40969	593688	1116883	43117	
MZU	Utilities + Support	21550					1725864	240478	181258	2147600	7400	
SZA	Admin + Parkwide Support	131707	10354170	259394	239395	6166	2081	295488	2656393	13813087	<-642387>	2.0
		174157	10354170	259394	239395	488392	1727945	793074	4144656	18007025	<-591325>	2.0
<u>Mgt</u>												
SZM	Management	110100	10001466	72462				454184	145945	10674057	335943	1.0
<u>IVS+P</u>												
IZZ	Interpretive Services	54000	5446713	15050		28148		<-307500>	220169	5402580	<-2580>	1.81
LZZ	Law Enforcement Services	41500	3854036	140872				33114	121556	4149578	422	.61
VZZ	Visitor Svcs Prog Support	69000	6570007	121183		836		4842	201601	6898469	1531	1.0
		164500	15870756	277105		28984		<-269544>	543326	16450627	<-627>	3.42
<u>Nat'l Res</u>												
NZZ	Natural Resources	67510	6488533	196906				15614	13509	6714562	36438	1.07
<u>Cult Res</u>												
CZY	Cultural Resources	5480	363997	49070				124514	17810	555391	<-7391>	
<u>Maint</u>												
MZB	Maint + Oper Buildings	43000	3563066					24764	705694	4293524	6476	.75
MZL	Maint + Oper Cultural Resources	70300	6904873					30866	93076	7028815	1185	1.70
MZT	Maint + Oper Grounds	60600	4986291			1420	16267	29213	976173	6009364	50636	.96
MZY	Maint Program Support	74200	6280047	143732	453800		70150	83697	142988	7174414	245586	1.0
		248100	21734277	143732	453800	1420	86417	168546	1917931	24506117	303883	4.41
	Total ONPS Base Funds	769847	64813199	998669	693195	518796	1814362	1286382	6783176	76907779	76921	11.90
	Percent of usage		84.19%								.001% balance remaining	

1
3
7

FISCAL YEAR 2002

		Authorization	Personnel Svc & Benefits	Travel	Equipment	Other Services	Misc Supplies & Materials	Total Expenditures	Balance Remaining			
<u>Projects</u>												
SVC	VIP Funds	1900				1517	376	1893	7			
2002-18E	LCD Projector	3200			3200			3200	0			
NNZ	Red-Shoulder Hawk Research	5000				5000		5000	0			
MCB	Replace Roofs	20000				20000		20000	0			
MTT	Youth Cons. Corp (YCC)	26200	23410			269	2325	26004	196			
726	Lands	1500		815			41		644			
6066-MAY	Repair Tunnel	1000										
2002-V8F	Cost of Collection	7410	7272	27		7	99	7405	5			FEE DEF
<u>FIRE ACCOUNTS</u>												
CAOH-PII	Fire Cache	800					747	747	53			NPP Park GE Daily G. Age
B201-H12	Control Line	4500	3520	1195			38	4753	-253			
B202-H12	Prescribed Fire	6300	2820	1825			677	5322	978			
M203-W12	WUI Day Labor	112335	91502		13856	1002	5958	112318	17			Cost of @%
M203-W12	WUI Contract	73065				73065		73065	0			
<u>INCOME ACCOUNTS</u>												
		Fy02 Authorized	+	Income Rec'd	=	Total Available	-	Expenses	=	Balance Available for Carryover		Proj
2002-600	Donations	653668		174269		827937		29728		798209		
2002-612	Quarters - Perm	725789		00		725789		115024		610565		
2002-613	Quarters - Temporary	593828		00		593828		126900		466928		

FISCAL YEAR 2002
 RECAP - UTILIZATION OF FUNDS

	ONPS	Authorization	Personnel Svcs + Benefits	Travel	Equipment	Transportation & Things	Utilities	Other Svcs / Training	Misc Supplies & Materials	Total Expenditures	Balance Remaining	
Admin												
HZZ	Health and safety	2600						1305	553	1858	742	
MZM	Maint/Vehicles	9459						4775	3581	8356	1103	
MZU	Maint/Utilities	20000					14265	5014	1494	20773	<-773>	
SZA	Park Administration	109617	102241	1747		112	113	359	3935	108507	1110	
		141676	102241	1747		112	14378	11453	9563	139494	2182	
Mgt												
SZM	Park Management	89292	86443	2727				307	882	90359	<-1067>	
IVSIP												
IZZ	Interp + Educ General	32902	38218	141		5		<-4980>	1235	34619	<-1717>	FI
LZZ	Law Enforcement	36517	35135	850				401	367	36753	<-236>	Supt
VZZ	Visitor Mgt - General	64897	64015	722				11		64748	149	Admin
		134316	137368	1713		5		<-4568>	1602	136120	<-1804>	Inter,
Nat Res Mgt												Maint
NZZ	Nat Res Mgt - General	63855	59638	1789				497	544	62468	1387	
Cult Res												Nat & Cul Re
CZY	Cult Res Mgt - General	1000						2500		2500	<-1500>	
Maint												Proje
MZG	Maint Opers - Bldgs	0	<-121>							<-121>	121	YOC
MZB	Maint - Cultural Res	38000	33682	349				30	4758	38819	<-819>	Spec.
MZL	Maint - Cultural Res Landscape	60237	55956					86	1901	57943	2294	WU.
MZT	Maint - Trails	53375	51667					34	3667	55368	<-1993>	
MZY	Maint - Prog Support	57524	55187	631				140	411	56369	1155	Total
		209136	196371	980				290	10737	208378	758	
	Total ONPS Base Funds	639275	582061	8956		117	14378	10479	23328	639319	<-44>	
	Percent of Usage		91%	1%		-	2%	2%	4%			

FISCAL YEAR 2001
RECAP - UTILIZATION OF FUNDS

		Authorization	Personnel Svcs & Benefits	Travel	Equipment	Transportation of Things	Utilities	Other Svcs / Training	Misc Supplies & Materials	Total Expenditures	Balance Remaining	
Admin	ONPS											
HZZ	Health and Safety	2800						1122	610	1732	1068	
MZM	Gen. Maint - Vehicles	10000				3935		129	3121	7185	2815	
MZU	Utilities - Parkwide	24900				707	13852	5849	1109	21517	3383	
SZA	Park Administration	107500	101374	1812		176		952	6256	110570	<- 3070 >	
		145200	101374	1812		4818	13852	8052	11096	141004	4196	
Mgt												Fi
SZM	Park Management	87800	89251	2905		59		144	1537	93896	<- 6096 >	Adm.
IVSIF												Supr
IZZ	Interp. & Educ. General	29400	40083					(School Fees) <- 4532 >	2711	38262	<- 8862 >	Inter.
LZZ	Law/Enf Prot - General	33500	30162	1132					80	31374	2126	Main
VZZ	Visitor Mgt - General	61200	60081	873				125	13	61092	108	
		124100	130326	2005				<- 4407 >	2804	130728	<- 6628 >	Nat'l Cul R
Nat Res Mgt												
NZZ	Nat Res Mgt - General	60000	57242	876		29			351	58498	1502	Proje
Cult Res												Exo
CZY	Cult Res Mgt - General	29400	26317	1398				568	292	28575	825	Wl
												Total
Maint												
MZB	Maint Opers - Bldgs	36000	31828					1702	4502	38032	<- 2032 >	
MZI	Cultural Res Maint	41100	22599					1070	6170	29839	11261	
MZT	Maint Opers - Trails	46000	47109						1974	49083	<- 3083 >	
MZY	Maint Opers - Prog Support	54300	52832	1597		50		366	454	55299	<- 999 >	
		177400	154368	1597		50		3138	13100	172253	5147	
	Total ONPS Base Funds	623900	558878	10593		4956	13852	7495	29180	624954	<- 1054 >	
	Percentage of use		89%	2%		1%	2%	1%	5%			

FISCAL YEAR 2000

		Authorization	Pers Services	Travel	Equipment	Other Services	Misc Supplies & Materials	Total Expenditures	Balance Remaining			
<u>DNPS - Projects</u>												
SVC	VIP Funds	1700				1357.32	346.51	1703.83	< - 383 >			
COC	Protect Museum Collections	7500	7500.00					7500.00	0			
UOC	Catalog Museum Backlog	2100	2041.79				38.20	2080.69	1931			
NNZ	Exotic Plant Control	7000	6375.99				624.01	7000.00	< - 23 >			
MCG	Repl Hazardous Lands	25000	5478.82			2622.86	17007.26	25108.94	< - 108.94 >			
0001-MHM	Hazard Waste	500						497.43	257			
MRB	Rehab Unsafe Electrical	89400				89438.03		89438.03	< - 38.03 >			
MKG	Replace Hazardous Access	347700				259.22	88475.00	349209.19	< - 1509.19 >		260,734.19	
E002-577	Upgrade South Unit Acc. Road	65900				65829.86		65829.86	7014			
N001-577	" " " " "	18000					17935.80	17935.80	6420			
F001-MAB	Entrance Doors	20000						0	20000		Carried over to FY0001	
<u>Fee/Cost of Collection</u>												
FPD	Cost of Fee Collection	1000	1011.47					983.11	16.89			Fee Def
V5F	Cost of Fee Collection	4350	4197.10					4231.06	118.94			
<u>No Year Fee/Carryover</u>												
CXZ	Cult. Res Mgt - General	31772										NPP
IXZ	Interp/Educ - General	169945										* Age
MXN	Maint - General	263334										Grudge
NXZ	Nat Res Mgt - General	36472										Daily
												Bank
<u>Fire Accts</u>												
245	Cache	1075					1117.14	1117.14	< - 42.14 >			
2001-252	RXBN Fall	4000	2117.58	501.26			147.81	2766.65	1233.35			
2002-252	Control Line	3500		372.00			1388.33	1760.33	1739.67			
<u>Income Accounts</u>		FY00 Authorized	+ Income Rec'd	=	Total Available	-	Total Expenses	=	Balance Available for Carryover			
600	Donations	129802	2311.00		360902		16.00		359302			
692		773365	2770.39		1050404		5978.40		452564			
693		00	3830.24		3830.24		00		3830.24			

FISCAL YEAR 2000
UTILIZATION OF FUNDS RECAP

		Authorization	Personnel Svcs & Benefits	Travel	Equipment	Transportation of Things	Utilities	Other Svcs /Training	Misc Supplies and Materials	Total Expenditures	Balance Remaining	
Admin	ONPS											
HZZ	Health + Safety	2800				(ESA veh) 4604		1643	1086	2729	71	
MZM	Gen Maint. - Vehicles	7700		19					3229	7852	<-152>	
MZU	Utilities - Parkwide	18200					11908	4153	3124	19185	<-985>	
SZA	Park Administration	105000	93317	1724		377		891	7039	103348	1652	
		133700	93317	1743		4981	11908	6687	14478	133114	586	
Mat												FI
SZM	Park Management	84950	72230	2078		6779		771	1368	83226	1724	Adm
IVS/P								(School fees)				Sup
IZZ	Interp + Educ General	55950	56027	37		7		<3240>	2667	55498	452	Inter
LZZ	Law Enf Prot - General	38550	36025	1710				66	703	38504	46	
VZZ	Visitor Mgt - General	47800	33216	1112		13714		585	373	49000	<-1200>	Maint
		142300	125268	2859		13721		<-2589>	3743	143002	<-702>	NatK Cult
Nat Res Mgt												
NZZ	Nat. Res Mgt - General	52950	50427	1116				640	152	52335	615	
Cul Res Mgt												Proje Exo Pl
CZY	Cult Res Mgt - General	17700	13477	2911				1411	61	17860	<-160>	Total
Maint												
MZB	Maint Opers - Bldgs	32350	27209					342	6247	33798	<-1448>	
MZL	Cultural Res Maint.	46950	46879						979	47858	<-908>	
MZT	Maint Opers - Trails	48050	43813	347				1079	1910	47149	901	
MZY	Maint Opers - Prog Support	52050	50045	695					1323	52063	<-13>	
		179400	167946	1042				1421	10459	180868	<-1468>	
	Total DNPS Base Funds	611000	522665	11749		25481	11908	8341	30261	610405	595	
	% usage		85.5%	1.9%		4.2%	2.0%	1.4%	5.0%		.10% remaining unexpended	

		Authorization	Pers. Services	Travel	Equipment	Other Services	Misc Supplies & Materials	Total Expenditures	Balance Remaining					
	<u>ONPS - No Year Fee</u>													
CXE	Cultural Res- Ethno	20	4300		1626	2669		4295	5					
IXZ	Interp/Educ General	13	2769	1884	521		-700	1705	1064					
MXL	Maint-Cultural	52	11200			10000	1200	11200	0					
MXN	Maint-General	12	2493	1741			25	1766	727					
NXZ	Nat'l Res Mgt General	3	640		430		163	593	47					
			21402	3625	2147	430	12669	688	19559	1843				
	<u>OTHER PROJECT ACCTS</u>													
SVC	VIP Funds		1900		3	1465	234	1702	198					
MCG			20000		9800	8294	1837	19931	69					
MCM			5000				5000	5000	0					
245			1000				992	992	8					
252				70		283	94	-447	-447					
9902	-252 Inholding haz. Fuels			354	1618		1318	-3290	-3290					> Firepro reimburses after end of fiscal year
	<u>Fee Collection</u>													
FPO	Fee Collection		20000	19772			147	19919	81					Fees collected this fiscal year \$28,180
	<u>Income Accounts</u>													
			FY99 Authorized	+ Income Received	=	Total Available	Pers Services	All Other	Total Expenditures					Balance Available for carryover
692	Quarters		5,163.48	6,314.99		11,478.47	147.60	3,597.22	3,744.82					7,733.65
600	Donations		8,787.50	2,593.81		11,381.31		10,123.94	10,123.94					1,257.37

FISCAL YEAR 1999
UTILIZATION OF FUNDING

		Authorization	Personnel Services Sal. & Bene.	Travel	Equipment	Transportation of Things	Utilities	Printing	Other Services/ Training	Misc. Supplies & Materials	Total Expenditures	Balance Remaining		
<u>Admin</u>	<u>ONPS</u>													
H2Z	Health & Safety	4200							1581	2560	4141	59		
MZM	Gen Maint. - Vehicles	8300				5381			831	2071	8283	17		
MZU	Utilities - Parkwide	22800		171			10252		8366	3988	22777	23		
SZA	Park Administration	99600	87047	3187		155	149	118	3423	5024	99103	497	Overall	82 % Pers Services
		23 134900	87047	3358		5536	10401	118	14201	13643	134304	596		
<u>Mgt</u>														
SZM	Park Management	90200	83235	6428			165		690	1496	92014	-1814	% Unexpended	
<u>I, V, S & P</u>														
CZY	Cultural Res Mgt	12500	5494		972				5660	359	12485	15		
IZZ	Interp & Education	34800	33447	74		374			-1824	2676	34747	53		
LZZ	LAW Enfr. Prot.	31800	18159	464			90		11174	1868	31755	45	FTE Used	
VZZ	Visitor Mgt	60900	58909	324			10		675	954	60872	28		
		140000	116009	862	972	374	100		15685	5857	139859	141	Perm Temp	
<u>Res Mgt</u>														
NZZ	Nat. Res. Mgt.	51050	48730	1636					179	503	51048	2		
<u>Maint</u>														
MZB	Maint Oper - Buildings	21800	10677				3232		2073	5777	21759	41		
MZG	Maint Oper - Grounds	42300	40318	97						1880	42295	5		
MZT	Maint Oper - Trails	49100	43843	206			70		45	4853	49017	83		
MZY	Maint Oper - Prgrm Support	58194	50512	1389			205	5	3915	2159	58185	9		
		171304	145350	1692			3507	5	6033	14669	171256	138		
	<u>Total ONPS Base Funds</u>	587544	480371	13976	972	5910	14173	123	36788	36168	588481	-937		

	Authorization	Pers. Servs.	Travel	Other Services	Misc. Supplies + Materials	Total Expend.	Balance Remaining	
<u>ONPS- No Year Fee</u>								
CXE	Cultural Res - Ethno	3400.00				00	3400.00	
IXZ	Interp/Educ General	2574.00	53176		25462	78638	178762	
NXZ	Natl Mgt General	9500.00	952125 (-580.00)			894125	55875	
MXN	Maint General	1829193	548095		19902	567997	1271196	
		3386593	1553396 (-580.00)		45364	1540760	1845833	- 11,200 for damaged mounds - Sny Magill project

<u>Other Projects</u>								
SVC	VIP Funds	1650.00		33614	76728	54658	1650.00	00
CCC	Conserve Museum Object	5500.00			5500.00	5500.00	00	
ICF	Lesson Plans	4000.00			4000.00	4000.00	00	
MCE	Rehab Museum Exhibit	15000.00			15000.00	15000.00	00	
CCS	Repair Damaged Mounds	30200.00	11200.00		19000.00	30200.00	00	- The 11,200 Pers Serv carried over in MXN
MCU	Repl Artifact Storage HVAC/ Lights	19900.00	102311		1817287	69547	1989145	855
3018-MHM	Recycling System	1500.00			1389.00	1389.00	111.00	
245	Firepro - Equipment	2120.00			2120.00	2120.00	00	
252	Firepro - Prairie burns	5300.00	169469		29134	115770	314373	215627

<u>Fee Collection</u>								
FPO		20000.00	1992906		7070	1999976	24	- Fees collected \$28,184.00

<u>Income Accounts</u>	FY98 Authorized	+ Inc. Received	= Total Available	Pers. Serv	EXPENSES ALLOTTED	TOTAL EXP.	BALANCE AVAILABLE FOR CARRYOVER	
692	Quarters	6400.08	526636	1166644	650296	650296	516348	
600	Donations	268449	708647	977096	73216	25130	98346	878750

FISCAL YEAR 1997
UTILIZATION OF FUNDING

12/9/97

PROJECT FUNDS	Program Authorization	Pers Services and Benefits 1100	Travel (T) 2100/2500 Contracts (C)	Other 2300, 2400 9100, 3100	Supplies & Materials 2600	Total Expenditures	Balance					
UGZ Administration NAGPRA	8400		(c) 6000	2400		8400	0	1)				1) Carried over \$2400 to CXE for NAGPRA Travel
UOC Interp. VS & Protection Backlog Catalog	7500		7500	6		7506	<-6>					
COC Museum Storage	4500				4474	4474	26					
MCE Rehab Museum Exhibits	10000	79351	(c) 38650 (c) 855700			973701	26299	2)				2) HFC had set aside money for Kim's airfare on her first trip. They did not utilize.
SVC VIP	1900		vip's 172399		1182	184220	5780					
FPO Fee Collection	19000	18630			226	18856	144					
<u>Natural Resources Mgt</u>												
NYG GIS Computer	4500				3837	663	4500	0				
245 Firepro Support - Pumper	10350				9897	453	10350	0				
247 Firepro RX Burns	5845	4731	151		959	5841	4					
<u>Maintenance</u>												
MCM Radio Upgrade	2500		(b) 2500			2500	0					
MCR Rehab North Unit	11692	1247	2400		7497	11144	548	3)				3) AOC reverses purchase card accounts - this will be expended when Tom receives charges on his purchase card bill.
MCT Rehab South Unit	21265	14844	218		5551	20613	652	3)				
MCZ YCC Assistance	3274	2991			283	3274	0					
0003-MCM Replace Waste Containers	12000				350	11619	11969	31				
<u>OTHER</u>												
SPE Relocation Account	31596	21687	191	8000		29878	1718	4)				4) This account controlled by Mike - Don Sondag
<u>FTE Used</u>												
	Perm	Temp						<u>FEES COLLECTED</u>				
Admin	1.99	.32	Perm Hours 16,291 1/2 Temp Hours 4,881 1/2 21,173 hours = 10.18	704 Park Pass		150						
Mgt	.61			707 G. Eagle		2,325						
Interp	1.75	1.66		709 Daily		27,686						
Maint	2.48	.36		713 G. Age		1,560						
Nat Res	1.00											
Total	7.83	2.34	= 10.17 (MWR Report 10.18)		31,721							

FISCAL YEAR 1997
UTILIZATION OF FUNDING

		Authorization	Pers Service Salaries & Benefits	Travel 2100	Equipment 3100	Transportation of Things 2200	Utilities 2300	Printing 2400	Other Services/ Trng 2500	Misc Supplies & Materials 2600	Total Expenditures	Balance Remaining		
<u>Admin</u>	<u>ONPS</u>													
SZA	Park Support - Administration	90591	73660	2536	2265	118	3019	281	4596	3404	89879	712		
HZZ	Health & Safety	3216							1453	1769	3222	<-6>	ONPS	
		93807	73660	2536	2265	118	3019	281	6049	5173	93101	706	% Per Serv 80%	
<u>Mgt</u>														
SZM	Park Support - Management	63577	47588	10491		1261	425		2456	1182	63403	174	% unexpended .004%	
<u>Interp</u>	<u>LS & Protection</u>													
IZZ	Interp & Education - General	14923	13841			269			101	515	14726	197		
LZZ	Law Enf. Prot. - General	38783	33388	525		57			3774	651	38395	388		
VZZ	Visitor Mgt - General	61601	57159	1331	368	40			820	1644	61362	239		
		115307	104388	1856	368	366			4695	2810	114483	824		
<u>Res. Mgt</u>														
NZZ	Nat. Res. Mgt - General	41116	37622	2176		4			620	939	41361	<-245>		
<u>Maint</u>														
MZB	Maint Operations - Buildings	55458	30833		3981		6279		1635	12675	55403	55		
MZG	Maint. Operations - Grounds	6500	2023						294	3927	6244	256		
MZT	Maint. Operations - Trails	12429	8810						2555	1291	12656	<-227>		
MZY	Maint. Operations - Prog. Support	46906	44336	951					500	931	46718	188		
		121293	86002	951	3981	-	6279		4984	18824	121021	272		
	Total ONPS Operating Funds	435100	349260	18010	6614	1749	9723	281	18804	28928	433369	1731		
<u>MXN</u>	<u>ONPS - No Year Fee</u>													
CXE	Mounds Protection	5625657	3964557	61303	249931				989573	57357	5322701	302956	} Available for FY98 use	
	Cultural Res. - Ethno	340000									-	340000		
	<u>QUARTERS</u>	FY97 AUTHORIZED	+	INCOME RECEIVED	=	TOTAL AVAILABLE	EXPENSES PERS SERVICES	UTILITIES	ALL OTHER	TOTAL EXPENSES	BALANCE AVAILABLE FOR CARRYOVER			
692	Income/Expenses	901116		634157		1535273	329557	27606	538105	895265	640008			
	<u>DONATIONS</u>													
600	Income/Expenses	453875		708584		1162459	374799		519186	893985	268474			

This would have been less than thousand except for Region's ET. Infill the end of the class.

**Soft Monies Received
Fiscal Years 2000 -2008**

FY2008

Project Title	Account No.	Funds Received
Centennial Seasonals - Interpretation & CRM	6290-CS01-IZI	\$31,460
Centennial Seasonals - Law Enforcement	6290-CS02-LZL	\$13,117
Centennial Seasonals - Maintenance	6290-CS03-MWT	\$21,947
Centennial Seasonals - Natural Resources	6290-CS04-NZP	\$22,676
Conduct Oral History Project	6290-2247-C8H	\$5,550
Develop & Implement Museum Collection Deficiencies	6290-C801-COC	\$53,300
Junior Ranger Supplies	6290-I804-IYE	\$7,018
Complete ADA Accessible Boardwalk to T.H. Lewis	6290-4115-M2T	\$189,950
Replace Main Flagpole	6290-3786-M8B	\$10,000
Repair/Replace Trail Benches	6290-1394-M8G	\$20,000
Correct Sprinkler & Security	6290-2801-MAB	\$13,200
Repair 3 Stone Walls	6290-2801-MAT	\$39,410
Install Gas Meters on 3 Bldgs	6290-2801-MAU	\$3,000
Realign, Replace, Resurface South Unit	6290-28C1-MCT	\$124,675
YCC Trail & Cultural Landscape	6290-YCC8-MCT	\$29,000
Project Support FY2007 - FMSS	6290-2801-MCY	\$8,000
YCC Trail & Cultural Landscape	6290-3407-MTT	\$2,292
Exotic Plant Project	6290-R832-NNP	\$8,200
NAGPRA Law Enforcement Funds - WASO	6290-PAA	\$19,800
VIP Funds	6290-I810-SVC	\$1,354
FY2008 Park Steward Project	6290-I864-SVC	\$1,500
FY2008 Special Volunteer In the Park	6290-I883-SVC	\$1,516
Cost of Collections	6290-0801-V8F	\$9,603
Wildland Urban Interface	6290-M801-W22	\$80,000
Total Funds Received		\$716,568
Project FTE FY2008: 9.08		

**Soft Monies Received
Fiscal Years 2000 -2008**

FY2006

Project Title	Account No.	Funds Received
American Indian Archeology	6290-1606-ICF	\$7,425
Park Stewardship Grant	6290-PS02-IZY	\$1,230
VIP Funds	6290-1610-SVC	\$1,887
Cost of Fee Collections	6290-2006-V8F	\$9,753
Replace/Updage 7 Ancient Waysides	6290-7897-M2E	\$54,950
Remove Damaged/Hazardous Trees at Sny Magill	6290-26C1-MCG	\$78,540
Replace/Rehab Unpaved Roads	6290-26C1-MCR	\$18,850
Install/Replace Safety Railings	6290-2601-MCT	\$4,770
FY2006 Project Support	6290-2601-MCY	\$8,000
YCC Trail and Cultural Landscape	6290-4064-MTT	\$17,500
Control & Monitor Garlic Mustard	6290-R648-NYY	\$9,000
Collection Backlog	6290-C601-UOC	\$41,710
Enthno Oral History	6068-C601-UEE	\$4,000
Park Park Vehicle - Equipment Replacement	6062-417	\$32,000
Wildland Urban Interface	6290-M601-W22	\$129,250
Total Funds Received		\$418,865

Project FTE FY2006: 6.12

FY2007

Project Title	Account No.	Funds Received
Control/Monitor Garlic Mustard	6290-R764-NYY	\$15,000
Teaching with Historic Places	6290-1702-ICF	\$6,633
VIP Funds	6290-1710-SVC	\$1,164
Cost of Fee Collections	6290-0701-V8F	\$9,342
Restablish Natural Ground Cover	6290-2701-CML	\$26,205
Remove Trailside Encroachments	6290-27C1-MCT	\$8,800
FY2007 Program Support	6290-2701-MCY	\$8,000
YCC Trail & Cultural Landscape	6290-3390-MTT	\$18,000
Install Visual Fire Alarm	6290-2701-MAB	\$5,340
Replace Obsolete Phone System	6290-3492-M8B	\$30,000
NAGPRA Law Enforcement Funds - WASO	6290-PAA	\$19,800
Wildland Urban Interface	6290-M701-W22	\$80,000
Total Funds Received		\$228,284

Project FTE FY2007: 3.49

**Soft Monies Received
Fiscal Years 2000 -2008**

FY2004

Project Title	Account No.	Funds Received
Rehab and Upgrade Radios	6063-EFMO-413	\$100,000
Program Promoting Preservation	6290-I404-ICF	\$2,000
HawkWatch & VIP Travel	6290-IZY	\$2,500
Replace Waterlines	6290-2301-MAU	\$89,000
Repaint Interior of Visitor Center	6290-2401-MCB	\$11,000
FY04 Cyclic FMSS Implement	6290-2401-MCY	\$10,000
Perform CCA Inspections	6290-2402-MCY	\$7,000
YCC Rehab Trails	6290-6941-MTT	\$15,045
Natural Resource Profiles	6290-R417-NYY	\$13,916
Paleo-Fire Regime	6290-R469-SCH	\$8,280
National Public Lands Day	6290-GRNT-SVC	\$500
VIP Funds	6290-I410-SVC	\$1,202
Cost of Fee Collections	6290-6593-V8F	\$8,695
Mechanical Thinning Unit 1	6290-M401-H22	\$2,500
Wildland Urban Interface	6290-M401-W22	\$117,500
Safety Code Excavation	6290-4715-H8S	\$7,000
Construct New Trail Signs	6290-5108-M8G	\$13,279
ADA Boardwalk	6290-4931-M8T	\$7,092
Total Funds Received		\$416,509

Project FTE FY2004: 2.93

FY2005

Project Title	Account No.	Funds Received
MWR Park Steward Grant Program	6290-IZY	\$1,000
VIP Funds	6290-I510-SVC	\$1,401
Take Pride In America	6290-TPIA-SVC	\$1,500
Cost of Fee Collections	6290-2005-V8F	\$9,022
Construct New Trails	6290-5108-M8G	\$13,158
Equipment Replacement - Tractor Mower	6062-417	\$24,000
Equipment Replacement - Computer Equipment	6290-417/423	\$8,863
Trail Safety Railing	6290-2501-MCT	\$13,000
FY2005 Project Support	6290-2501-MRY	\$8,000
YCC Trail Rehab	6290-4047-MTT	\$24,000
Control & Monitor Garlic Mustard	6290-R522-NNP	\$20,000
Begin Research Paleo Fire	6290-R519-RYZ	\$15,000
Catalog & Photograph Collection	6290-C501-UOC	\$46,109
NAGPRA - from Denver	2151-UGZ	\$6,800
Wildland Urban Interface	6290-M501-W22	\$120,000
Total Funds Received		\$311,853

Project FTE FY2005: 5.29

**Soft Monies Received
Fiscal Years 2000 -2008**

FY2002

Project Title	Account No.	Funds Received
VIP Funds	6290-SVC	\$1,900
LCD Projector	6290-2002-I8E	\$3,200
Red-Shoulder Hawk Research	6290-NNZ	\$5,000
Replace Roofs	6290-MCB	\$20,000
YCC	6290-MTT	\$26,200
Repair Tunnel	6290-6066-MAY	\$1,000
Cost of Collections	6290-2002-V8F	\$7,410
WUI Day Labor	6290-M203-W12	\$112,335
WUI Contract	629-M203-W12	\$73,065
Total Funds Received		\$250,110

Project FTE FY2002: 3.08

FY2003

Project Title	Account No.	Funds Received
Storage Cabinets	6290-5645-COC	\$3,900
Construct New Trail Signs	6290-5108-M5G	\$20,000
Restore Burial Mounds	6290-2301-MCY	\$34,000
Replace Damaged Sidewalks	6290-2302-MCY	\$7,000
Repaint Exterior of Buildings	6290-2303-MCY	\$7,000
Replace Hazardous Landscape Trees	6290-2304-MCY	\$25,000
FY2003 Cyclic Maintenance	6290-2305-MCY	\$5,000
YCC FY03 Rehab Trails	6290-6916-MTT	\$26,000
Design Sedimentation Protocol	6290-4176-NNZ	\$20,000
VIP Funds	6290-2512-SVC	\$1,900
Cost of Collections	6290-2003-V8F	\$8,135
Wildland Urban Interface	6290-M301-W12	\$117,600
Adjacent Lands Fuel Reduction Project	6290-M302-W12	\$16,900
Total Funds Received		\$292,435

Project FTE FY2003: 4.45

**Soft Monies Received
Fiscal Years 2000 -2008**

(includes FTE used in a fiscal year - does not include prescribed fire accounts)

FY2000

Project Title	Account No.	Funds Received
VIP Funds	6290-SVC	\$1,700
Protect Musuem Collection	6290-COC	\$7,500
Catalog Musuem Backlog	6290-UOC	\$2,100
Exotic Plant Control	629-NNZ	\$7,000
Repl Hazardous Lands	6290-MCG	\$25,000
Hazard Waste Containers	6290-0001-MHM	\$500
Replace Unsafe Electroical	6290-MRB	\$89,400
Replace Hazardous Access	6290-MRG	\$347,700
Upgrade South Unit Access Road	6290-E002-577	\$65,900
Upgrade South Unit Access Road	6290-N001-577	\$18,000
Entrance Doors	6290-F001-M2B	\$20,000
Cost of Fee Collections	6290-V5F	\$4,350
Cultural Resources Manage - No Year Fee	6290-CXZ	\$31,772
Interpretation/Education General No Year Fee	6290-IXZ	\$169,945
Maintenance No Year Fee	6290-MXN	\$263,334
Natural Resources Mgt No Year Fee	6290-NXZ	\$36,472
Total Funds Received		\$1,090,673

Project FTE FY2000: 0.24

FY2001

Project Title	Account No.	Funds Received
VIP Funds	6290-SVC	\$1,700
Preserve Important Documents	6290-COC	\$8,700
Replace Carpet	6290-MCB	\$32,000
Flammable Storage Cabinet	6290-B001-MHM	\$1,000
Upgrade Security Bldgs & Park	6290-MRB	\$25,000
Correct Trail Hazards - North Unit	6290-MRG	\$420,500
Flood	6290-MZG	\$30,000
NAGPRA	6290-UGZ	\$3,000
Address Museum Backlog	6290-UOC	\$3,000
Cost of Collections 6290-2001-V5F	6290-2001-V5F	\$4,067
Cultural Resources Manage - No Year Fee	6290-CXZ	\$1,317
Interpretation/Education General No Year Fee	6290-IXZ	\$1,700
Maintenance No Year Fee	6290-MXN	\$2,633
Natural Resources Mgt No Year Fee	6290-NXZ	\$365
Wildland Urban Compliance	6290-0101-242	\$5,000
Wildland Urban Interface	6290-0101-243	\$93,456
Rural Fire Assistance	6290-RFAS-244	\$7,000
Total Funds Received		\$640,438

Project FTE FY2001: 1.69

Supporting
Records:

Core
Operations

Effigy Mounds National Monument

National Park Service
U.S. Department of the Interior



Core Operations Report

Submitted to the Midwest Regional Office, November 1, 2008



Effigy Mounds National Monument
Core Operations Report

Table of Contents

INTRODUCTION	3
PURPOSE OF REPORT.....	4
CORE OPERATIONS PROCESS.....	4
CORE OPERATIONS REPORT – PART I.....	6
Park Purpose	6
Core Park Objectives	6
Core Operational Functions	7
Core Functions Common to All Work Units	7
Core Functions of the Superintendent’s Office	8
Core Functions of the Facility Operations and Maintenance Division.....	9
Core Functions of the Law Enforcement Division	10
Core Functions of the Interpretation and Visitor Services Division.....	11
Core Functions of the Natural Resource Division	12
Core Functions of the Cultural Resource Division.....	13
Core Functions of the Administrative Services Division	13
CORE OPERATIONS REPORT - PART II	19
Budget and Staffing History	19
Cost Saving Measures Already Taken.....	22
Budget Cost Projection	23
Budget Cost Projection Driven Organization	36
Conclusions.....	39
Most Immediate Financial Needs	40
OFS Requests.....	41

INTRODUCTION

Effigy Mounds National Monument was established by Presidential Proclamation 2860 on October 25, 1949, to protect significant pre-contact earth mounds found in northeast Iowa. Subsequent legislation specified the wildlife, scenic and other natural values of the area. Many of the mounds are known to be Indian burial mounds. They are in a variety of forms including effigy (animal-shaped), linear, conical and compound (a combination of conical and linear elements). The monument contains over 200 mound sites, of which 31 are in the form of bear and bird effigies.

The monument's authorized boundary was expanded in 1961 and again in 2000 until it now encompasses a total of 2,526 acres in the North, South, and Sny Magill units, as well as, the Heritage Addition. Situated in the Mississippi River Valley, the monument's North, South, and Sny Magill units are listed on the National Register of Historic Places as having national significance.

Earthen mounds in northeastern Iowa, southern Wisconsin, southeastern Minnesota, and northern Illinois were built beginning approximately 500 B.C. and continued through 1200 A.D.

American Indians built mounds at various times and places throughout the Americas; in the upper Midwest there was a unique "effigy mound" culture that built thousands of mounds in the shapes of animals. The building of effigy, or animal-shaped, mounds began around 650 A.D. These effigy mounds and the other mounds are a physical expression of the moundbuilding



culture and continue to have significance to many modern peoples. Indian oral tradition holds that the mounds are sacred space, capable of bridging man, nature, and the spirit world. This sacredness of time and place is important to many people today.

Effigy Mounds NM is viewed as a critical component of the local and regional tourism economy. The recently published (May, 2006) report entitled "Impacts of Visitor Spending on the Local Economy: Effigy Mounds National

Monument, 2004", estimates the economic value of the existence of Effigy Mounds NM to the local economy is \$1.97 million annually, and reports that the presence of the park supports a total of 67 jobs in the local area. The local region was defined as a six-county area in northeastern Iowa and southwestern Wisconsin.

Visitation remained relatively consistent at an average of 91,500 visitors per year from FY2004 through FY2006. Visitation decreases in FY2007 and FY2008 have been noted; due in part to severe flooding during the spring of 2008 and public misconception that all driving access to the region and park was closed for over a month. In addition, the last two fiscal year visitation trends are clearly tied to the dramatic rise in gasoline prices and the weakening economy.

Future visitation trends are impossible to predict at the time of this report (November 2008), given the likelihood the economy and gasoline prices will remain unstable. The park is situated in a sparsely populated rural area, easily accessible by state and U.S. highways, but far removed from major interstate highways with heavy traffic.

Regardless, the scenic beauty and recreational opportunities that have always made Effigy Mounds NM a strong destination attraction will continue and, in fact, become stronger within the context of current economic situations and gasoline prices. Local economic development and historic preservation are combining with the well known natural, cultural and recreational resources of the region to facilitate continued strong tourism visitation. The park is located within the heart of the Upper Mississippi Wildlife & Fish Refuge, close to large Iowa and Wisconsin state parks, and less than eight miles from five National Historic Landmarks. A Mississippi River highway bridge crossing for U.S. Highway 18 is located four miles south of the park; this is the only major highway crossing of the Mississippi river for 65 miles north or south of U.S. Highway 18.

PURPOSE OF REPORT

Individual units of the National Park System have been advised to anticipate that their Congressional-appropriated base budgets will be essentially flat for the next three to five years, and to prepare for the operational impacts of that budget scenario. Consequently, this report has two major purposes and is presented in two sections.

Part I. Clearly re-state the park's purpose, essential operational functions, and the most efficient organization and necessary staffing levels to operate the park at a safe and adequate level (Core Operations Target Organization).

Part II. Identify steps/options for addressing anticipated funding shortfalls over the next five years as indicated by the Budget Cost Projection Model (BCP Driven Organization/Five Year Implementation Plan).

CORE OPERATIONS PROCESS

In June 2008, the staff at Effigy Mounds NM National Monument participated in a one-day facilitated workshop to initiate the Core Operations planning process. During that workshop the park staff:

- Reviewed the park's Budget Cost Projection Model;
- Guided by the park's enabling legislation, re-articulated the park's purpose and operational priorities;
- Listed and evaluated all activities with which the park staff is currently involved or to which human or financial resources are being devoted;

- Per the defined process, attempted to identify major activities that were “above and beyond” what is “Core” or “Essential” to achieving the park’s purpose and consequently could be stopped and eliminated and directed to higher-priority activities;
- Brainstormed and briefly discussed a broad range of ideas on how the park could make cut-backs to meet anticipated budget shortfalls totaling over \$200,000 within five years;
- Identified shortfalls in current operations and what was needed to fill the gaps in order to get to core operations.

The results of that initial workshop are presented in the Core Operations Analysis Workshop Report delivered to the park in September 2008.

Since that time, the park management team has continued with the Core Operations planning process by doing the following:

- Consolidating the long list of “Activities” reviewed during the workshop into a more succinct summary of “Core” or “Essential” functions which the park staff believes must be performed to comply with the NPS Organic Act, other federal and state laws that govern the operation of the park, the park’s purpose, and to operate the park at a safe, adequate level. “Safe, adequate level” is not intended to imply or suggest an optimum or unrealistic level of staffing, but rather that level of organization and staffing which professional park managers believe is necessary to: 1) adequately protect park resources, 2) provide essential visitor services, and 3) perform required legal and administrative functions;
- Coming to consensus on what was needed to reach core and the organizational structure and staffing levels necessary to achieve that level of operation (Core Operations Target Organization); and
- Re-visiting the full range of options discussed during the initial workshop, and coming to consensus on steps/options for addressing anticipated funding shortfalls over the next five years as indicated by the Budget Cost Projection Model (BCP Driven Organization/Five-Year Implementation Plan).

It is hoped that through well-justified increases in park base funds, the full range of cut-backs identified in Part II of this report can be avoided.

CORE OPERATIONS REPORT – PART I

Park Purpose

During the Core Operations Workshop, the park staff was asked to carefully review the park’s enabling legislation and come to consensus on the “park purpose”. After review and discussion, the park staff believed that previous planning efforts, primarily the General Management Plan (GMP), were thorough reviews of the enabling legislation and legislative history and had produced an adequate park purpose. The significance statement from the GMP was amended slightly to change the word prehistoric to pre-contact and the word interpretation was added. It states:

Effigy Mounds National Monument preserves outstanding representative examples of significant phases of pre-contact Indian moundbuilding cultures in the American Midwest including the cultural landscape; protects wildlife and natural values within the monument; and provides for scientific study, interpretation, and appreciation of its features for the benefit of this and future generations.

Core Park Objectives

During the Core Operations Workshop, the park staff was asked to identify priorities that were essential to achieve the park purpose. After considerable discussion, the staff preferred to refer to these priorities as “**Core Park Objectives**” - long-term, critical goals that must be achieved to comply with the various federal laws and policies that regulate the operation of units of the National Park Service, and to achieve this park’s specific purpose, as stated above. They are:

- Restore the cultural landscape of the moundbuilding era while preserving significant cultural features;
- Encourage scientific study of the mounds, cultural sites, and associated research;
- Involve members of associated tribes in sharing their history to improve the interpretation and preservation of the monument;
- Interpret, educate, and provide visitor access to facilitate the local, regional, and national advocacy of the preservation of a significant phase of the moundbuilding culture;
- Provide essential visitor services in a safe, clean and enjoyable environment by actively monitoring and maintaining all park safety plans and programs. Maintain facilities, archeological sites and grounds to NPS standards.

- Ensure the human resources including the staff and public, vital to fulfilling the monument’s purpose, are valued and supported.

Core Operational Functions

As part of the Core Operations planning process, the Effigy Mounds NM staff carefully evaluated every significant aspect of the park operation to determine if it is “Core” or “Essential” to operating the site and achieving the park’s purpose.

As part of that process, the Park Management Team has worked to clearly articulate the “Core” or “Essential” functions so the reader can see that the park staff’s efforts are focused on what most reasonable people would agree are basic park operations that must be performed to achieve the park’s purpose and core park objectives, and which can not be stopped without critically impacting the necessary and appropriate functions to accomplish the purpose for which the park was established. These functions are summarized below:

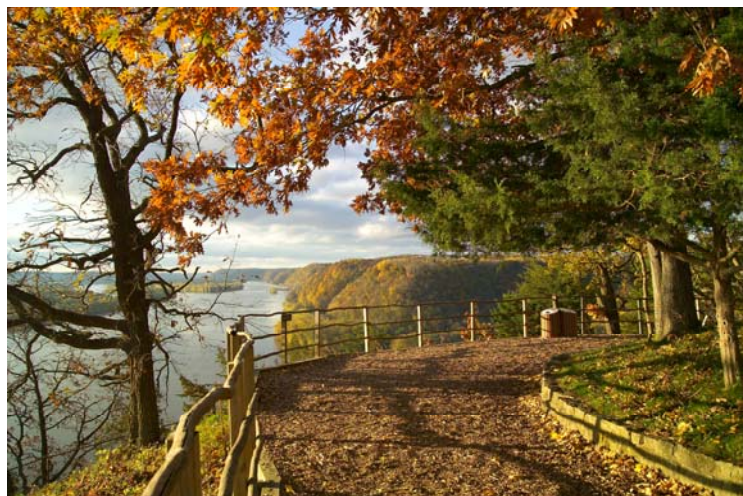
Note: For the benefit of the reader, under the heading for each Division is a summary of the permanent and seasonal FTE available to this particular work unit to accomplish the core functions with park base funding in FY2007. “FTE” represents a “Full-Time Equivalent” – one person working year round.

Core Functions Common to All Work Units

Leadership, Program Management, and Supervision: Leadership, management and supervision of work unit employees, partners and volunteers.

Safety and Risk Management: Working to actively manage risk and ensure the safety of all park employees, partners, volunteers and visitors, by being aware of hazards and taking the necessary steps to remove the hazard.

Park-wide Planning and Environmental Compliance: Participating in park-wide planning initiatives (GMP, LCS, etc.), special projects, and completion of legally required cultural and environmental compliance. This includes annual budgeting and goal setting, as well as long-term project and staffing requests using PMIS and OFS respectively. Conduct facility and resource condition assessments.



Internal and External Communications, Meetings, Correspondence: All organizations depend upon on-going, active and effective communications and coordination with employees and other stakeholders. It is vital that the national parks engage the public regarding its activities and plans. Communication with all park staff is also imperative to successful park operations.

Stewardship: Promote the protection of cultural and natural resources to facilitate the local, regional, and national advocacy of the preservation of a significant phase of the moundbuilding culture.

Mandatory Training, Administrative Functions: All work units have a significant workload associated with meeting mandatory training, reporting and communication requirements imposed by NPS Regional and Washington offices and Department of the Interior offices. All divisions are required to complete a substantial amount of mandatory training, reporting, and communication tasks.

Core Functions of the Superintendent's Office

(1.0 permanent FTE)

Leadership, Management and Supervision: Provide park-wide leadership, management and supervision for all park divisions and operations through counseling, mentoring, preparation of standards and park goals, addressing personnel issues and facilitating solutions. Directly supervises 4.00 FTE out of a total 11.92 FTE.

Congressional and Community Relations: Develop and maintain critical relationships with the park's Congressional delegation, other elected officials, key stakeholders, and community organizations and governments through off-site meetings, outreach activities and events, and serving on various committees.

Partnership Development: Develop and manage partnerships and relationships with local communities, educational institutions, and other entities essential to park operations.

Consultation: Consult with agencies, tribes, and interested parties on proposed actions that may affect cultural and natural resources according to legal mandates and formal agreements.

Visioning: Identify and implement short- and long-term goals that ensure park success. Communicate vision to park staff, partners, and community organizations and governments. Develop strategies to accomplish park goals.

Core Functions of the Facility Operations and Maintenance Division

(3.23 permanent FTE, 1.27 seasonal FTE)

Maintained Archeological Sites/Historic Structures: Repair, maintain and protect the American Indian earthen structures in a manner that preserves the cultural and historic integrity of the mounds and all associated archeological sites from loss or destruction by natural and human-caused activities.

Visitor-Use Buildings and Facilities: Repair, maintain and manage all visitor-use buildings, facilities, and associated equipment in a manner that extends the useful life of the structures and features by providing optimal protection from loss caused by fire, floods, the deterioration processes from constant use, and in-house visitor-use activities while providing safe and healthful public use and enjoyment.

Trails: Repair, maintain and manage all frontcountry and backcountry trails, boardwalks and sidewalks, in a manner that protects the integrity of the trail surface while providing safe access, use and enjoyment for people of all abilities.

Grounds: Repair, maintain and manage all cultural and maintained landscapes in a manner that protects them from deterioration processes or activities while providing safe public access, use, and enjoyment.

Roads: Repair, maintain and manage all paved and unpaved roads and parking lots in a manner that protects the integrity of the road surface while providing for safe public and administrative access, use, and enjoyment.

Administrative-Use Facilities: Repair, maintain and manage all administrative-use buildings and facilities in a manner that extends the useful life of the structures and features by providing optimal protection from loss caused by fire, floods, and the deterioration processes from constant use while providing for safe and healthy occupation and use.

Utilities: Repair, maintain and manage all park utility systems to include electrical distribution, HVAC, alarms, plumbing, water and waste water, computer network and communication systems in a manner that protects them from deterioration processes or activities while providing safe and healthy public and employee use.

Vehicle Fleet and Equipment: Repair, maintain, and manage the park's vehicle and equipment fleet in a manner that provides a safe and reliable means of transportation and promotes efficient use.

Sustainable Practices: Minimize environmental footprint of maintenance activities. Demonstrate sound, environmentally conscientious, minimum impact and sustainable practices in daily activities and long-term actions.

Environmental Protection: Promote and lead with the proper use and selection of chemicals that are environmentally friendly in park operations. Fully use and develop recycling of green park operations and visitor contacts. Maintain all park assets representing the investment the National Park Service has made in the management of the site. This includes but is not limited to materials, equipment, and real property.



Safety: With inspections and routine maintenance, ensure safety for all employees and visitors. Promote positive preventative actions. Maintain OSHA's Voluntary Protection Program (VPP) Star rating.

Core Functions of the Law Enforcement Division

(0.69 permanent FTE)

Law Enforcement: Enforce federal law and park regulations in all areas of the park. Conduct criminal and civil investigations as needed. Maintain partnership relations with local law enforcement agencies.

Physical Security: Provide for the physical security of all park facilities during non-furlough periods.

Natural Resource Management Support: Support the natural resource management program and be involved with planning and compliance work. Protect the natural resources in a manner that preserves the integrity of the resources from loss or destruction by human-caused activities.

Cultural Resource Management Support: Monitor the status of cultural resources and provide cultural resource site condition assessments and recording of new sites. Protect the American Indian earthen structures in a manner that preserves the cultural and historic integrity of the mounds and all associated archeological sites from loss or destruction by human-caused activities.

Public Education: Provide outreach programs to support public safety and resources protection.

Special Use Permits: Supervise special events and other non-commercial activities requiring permits in the park.

Emergency Medical and Search and Rescue Services: Provide emergency medical and search and rescue services within the park and through partnership agreements. Maintain partnership relations with local emergency service agencies.

Core Functions of the Interpretation and Visitor Services Division

(1.0 permanent FTE, 1.73 seasonal FTE)

Orientation and Information Visitor Services: Staff and support visitor center operations by providing verbal, written and audiovisual visitor orientation and information including public program opportunity listings, and communicate park rules and regulations to assure visitor safety and natural resource protection. Operate and monitor park radio base station communications to support emergency operations and ensure visitor and staff safety. Maintain visitor information bulletin boards; respond to visitor inquiries, comments and complaints in person or via telephone, internet, e-mail and regular mail. Ensure accessibility by the public to all park information, media and appropriate facilitated programs.

Media Development and Maintenance: Design, develop and maintain non-personal information and interpretive resources for visitors including park publications, brochures, site bulletins, informal and temporary visitor center interpretive exhibits, wayside exhibits, trailside natural history signage, website and audiovisual computer file and cell phone-based products. Maintain park photographic image record file. Maintain audiovisual equipment and orientation films.

Formal and Informal Interpretation: Research, develop and provide on and off-site ranger guided tours, talks, hikes, programs and activities. Maintain accuracy and effectiveness of information through staff training and utilization of the park library, archives and museum collection resources.

Curriculum-Based Education: Plan, develop and present curriculum, formal educational lesson plans, programs and resources for students based on local, state and national standards; adapt programming to meet the needs of college and graduate-level groups. Conduct teacher workshops to facilitate the use of curriculum-based programs and lesson plans on-site or in the classroom and to provide opportunities for continuing education credit. Educational resources include travelling trunks and pre- and post-visit teachers' reference materials.

Special Events: Plan, develop and present special public interpretive programs, some of which have become annual traditions and "expected" local tourism activities drawing thousands of visitors (such as moonlight hikes, American Indian cultural presentations and HawkWatch Weekend).

Interpretive and Educational Partnerships: Facilitate, plan, and cooperatively present (with a variety of local county, state and federal agencies) special annual programs, informational services, cultural and other demonstrations, and assist with staffing at an inter-state and county tourism center. Continue close relationships with the Anthropology Department of Luther College (Decorah, Iowa), Mississippi Valley Archeological Center (MVAC) and the State Archeologist offices of Iowa and Wisconsin.

VIP Program Management: Recruit, train and supervise Volunteers-In-Park (VIP) and volunteer student intern employees.

Public Affairs: Manage the park's active public affairs program (in concert with the Superintendent's office) including development and issuance of news releases, handling media inquiries, and actively communicating park news, mission-related information and public programming to local and regional media. Maintain and distribute park information packets and photographic images upon request.



Cooperating Association Partnership: Serve as Cooperating Association coordinator with Eastern National to provide educational materials to the public related to appropriate natural and cultural themes in the park and regional area. Ensure sales items are compatible with the mission of the National Park Service (NPS) and Effigy Mounds NM, accountability for cash sales deposits, and expenditures from the park's Association donation account.

Recreation Fee Collection Operations: Manage and perform fee collection operations (in concert with the Administrative Officer) including accountability and security of U.S. Treasury funds, perform cash deposit remittances, and maintain and advertise availability of Federal Lands Recreation Enhancement Act (FLREA) pass stock.

Special Park Uses: Manage the park's Special Park Uses program including the review of permitted use applications, issuance or denial of use permits and (in concert with the Administrative Officer) the collection of required permit fees and cost recovery funds.

Core Functions of the Natural Resource Division

(1.0 permanent FTE)

Resources Management: Research, plan, and manage activities needed to restore, protect and preserve the cultural resources and the associated landscape of the moundbuilding era.

Inventory and Monitoring: Identification of "Vital Signs" and support for the long-term ecological monitoring program conducted by the Heartland Network.

Wildlife Management: Research, plan, and manage the restoration of the ecological processes to sustain the environmental conditions supporting native wildlife species.

Vegetation Management: Control and eradicate exotic plants. Research, plan, and manage the restoration of the ecological processes to sustain the environmental conditions supporting native plant communities.

Aquatic Resource Management: Research, plan, and manage the restoration of the ecological

processes to sustain the environmental conditions supporting native aquatic species.

Research Coordination: Coordinate and oversee research activities of external investigators.

Information Synthesis: Interpolate scientific data collected from research and technical reports to develop strategies and objectives for management planning and to convey that information to the public, other divisions and agencies.

Ecological Modeling: Formulate ecological models based on the synthesis of data collected from all scientific studies conducted locally and within the monument. These models will be used as targets for the development of management plans and to measure the current resource conditions against desired conditions.

Wildland Fire Management: Manage park wildland fire program including preparation of plans, developing agreements for suppression activities, and coordinating prescribed burn operations. Maintain the park radio system.

Core Functions of the Cultural Resource Division

(0.15 permanent FTE)

Cultural Resources Management: Preserve and protect the park's museum collections including documenting, accessioning, and cataloging artifacts and implementing collections planning documents. Coordinate and assist in the development of cultural resource planning documents. Conduct historical research on a variety of monument themes. Develop and maintain list of archeology and ethnographic sites within park. Prepare documentation to officially list and monitor sites. Initiate and maintain the List of Classified Structures condition assessments. Conduct Native American program management including NAGPRA activities, tribal consultations, documents and agreements. Initiate and maintain oral history collection with documentation. Maintain museum storage facility according to established guidelines.

Cultural Resource Compliance: Ensure compliance with laws and regulations such as the National Historic Preservation Act (NHPA), Native American Graves Protection and Rehabilitation Act (NAGPRA) and National Environmental Policy Act (NEPA), complete and route environmental screening forms and categorical exclusions, administer PEPC system, prepare and track categorical exclusions, and write and coordinate review of environmental assessments. Evaluate projects and schedule required archeological surveys, complete paraprofessional archeological compliance surveys, and participate in surveys with archeologists.

Core Functions of the Administrative Services Division

(1.85 permanent FTE)

Human Resources Management: Provide park-wide position management, recruitment, and staffing support services, background security checks, personnel actions, and employee orientation. Track, log, and file training documents and advise staff of training opportunities.

Serve as TelNet coordinator, payroll coordinator, and timekeeper.

Management of Park-wide Budget Process: Formulate, execute, and track the park's annual appropriation of approximately \$873,000, as well as money the park receives for recurring and non-recurring projects. Input data and update information in GPRA, PMIS, and OFS budget planning systems.

Procurement Function: Process non-labor expenditures, whether using annual appropriations or project funding.

Property Management: Manage system of accountability for all government-owned property. Track all accountable property utilized by the park, submit equipment replacement requests, and conduct Board of Survey actions to dispose of property.

Information Technology: Manage, maintain, troubleshoot, and provide user support of the park-wide computer system, Nextel phones, and TelNet communication system.

Oversight of Administrative Processes: Ensure park's day-to-day processes (fee collection, use of government charge cards, payment of invoices, third party drafts, travel vouchers, change-of-station voucher processing, etc.) are conducted in full compliance with laws and regulations.

Maintain Official Park Files and Mail Distribution: Maintain incoming and outgoing correspondence and reports in a central file system. Respond to Freedom of Information Act (FOIA) requests according to regulations.

Clerical Support: Provide clerical support to the Administrative Officer, the Superintendent, and all other division chiefs.

Payroll Administration: Coordinate the park's employee payroll entries and corrections.

Provide receptionist duties to visitors.

Prepare travel and training requests and vouchers.

Coordinate park uniform program.

Coordinate Special Emphasis and Federal Women's programs.

Most Efficient Organization and Staffing Levels Necessary to Achieve Park Purpose, Core Park Objectives, and Perform Core Functions

After careful evaluation of the Core or Essential functions necessary to operate the park at a safe and adequate level and fulfill the park's purpose, the Park Management Team has worked to identify the park's "Core Operations Target Organization".

It should be noted that after lengthy discussion and careful consideration, the park believes

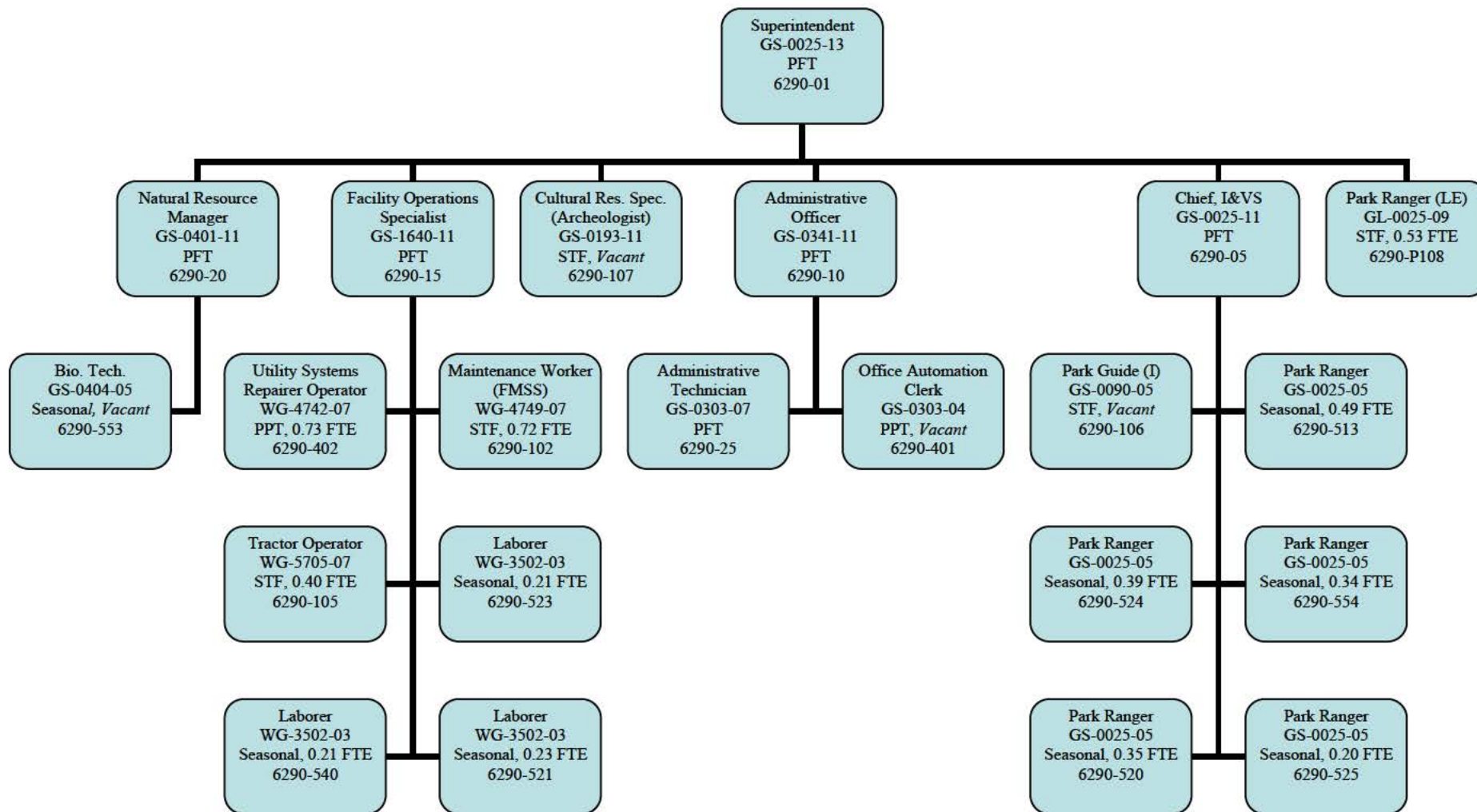
strongly about the necessity of maintaining the current divisional structure in order to effectively perform the park’s core functions. While Effigy Mounds NM is not a large park and no division has an unreasonable span-of-control issue, both the scope and diversity of the park operation requires **fully competent, experienced, discipline-specific leadership** at the helm of each major function. It is very evident that the park’s complexity is placing unreasonable workloads on too many people and preventing the park from achieving its core functions.

Please see the next pages for the park’s current (85%) organization chart and the Core Operations Target Organization Chart, followed by a comparison of the current and the Core Operations organization charts by division. This Core Operations organization represents a total of 26.70 FTE, which is 15.90 FTE above Effigy Mounds NM’s approved “85% target organization” of 11.92 FTE. There are currently four unfunded positions totaling 3.19 FTE not included in the 11.92 FTE figure. However, the park only operated with 10.80 FTE using ONPS base funds in FY2008 due to the decision to cut back on seasonals and extend furloughs to stay under the 85% fixed costs goal. This meant that numerous core functions were not being completed. Based on FY2008 employee salary rates, the employee cost differences between the three organizations are noted below:

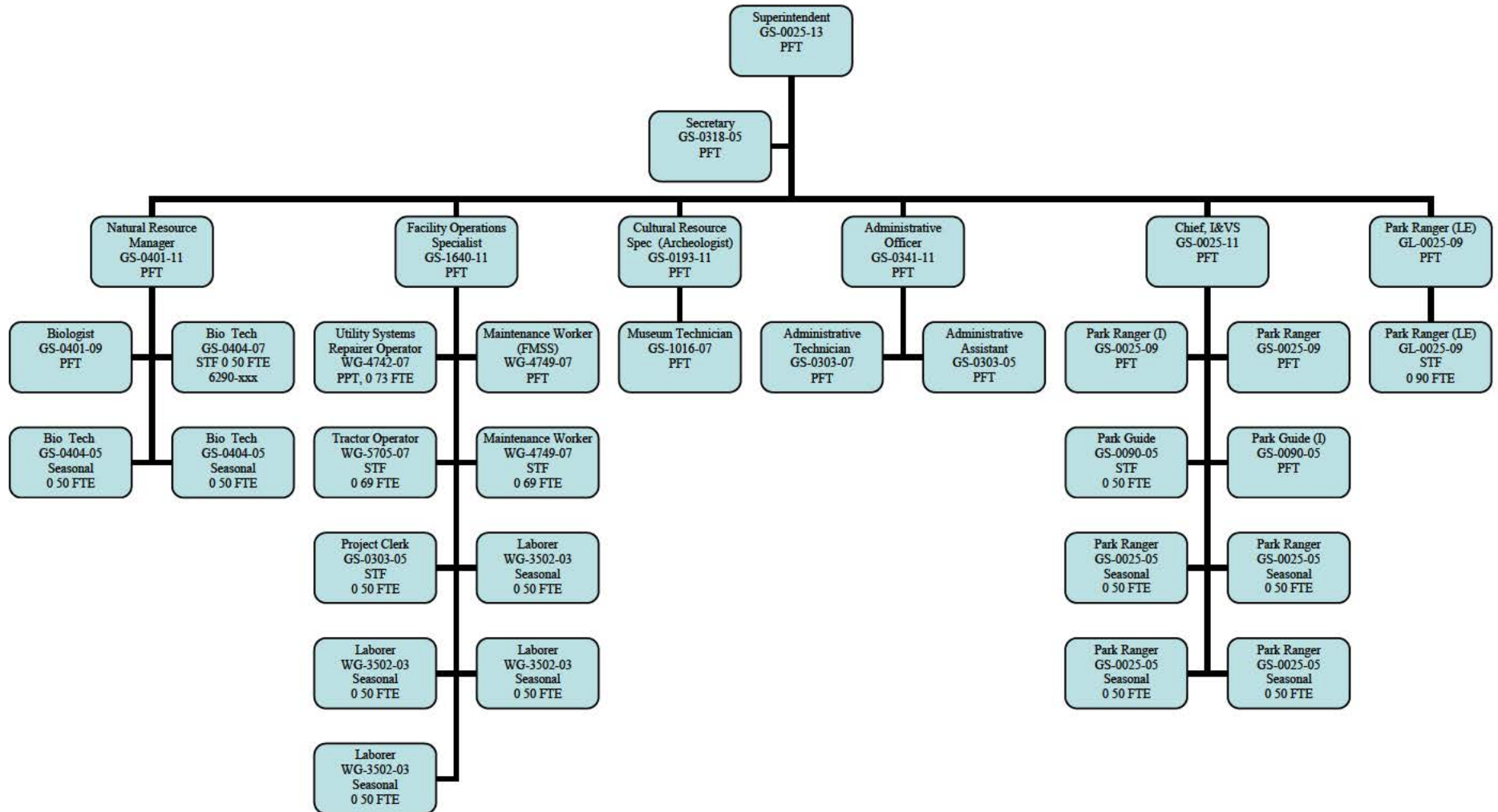
	Current 85% FY08 Organization	FTE	Approved 85% Organization	FTE	Core Operations Organization	FTE
Permanent Full-Time	\$ 491,073	6.00	\$ 491,097	6.00	\$1,073,649	16.00
Permanent Subject-to- Furlough	\$ 116,292	1.65	\$ 156,436	2.19	\$ 237,937	3.47
Permanent Part-Time	\$ 44,037	.73	\$ 44,550	.73	\$ 66,446	1.23
Seasonals	\$ 80,586	2.42	\$ 105,289	3.00	\$ 202,025	6.00
TOTALS	\$731,988	10.80	\$ 797,372	11.92	\$1,580,057	26.70

EFFIGY MOUNDS NATIONAL MONUMENT CURRENT ORGANIZATION

JUNE 2008



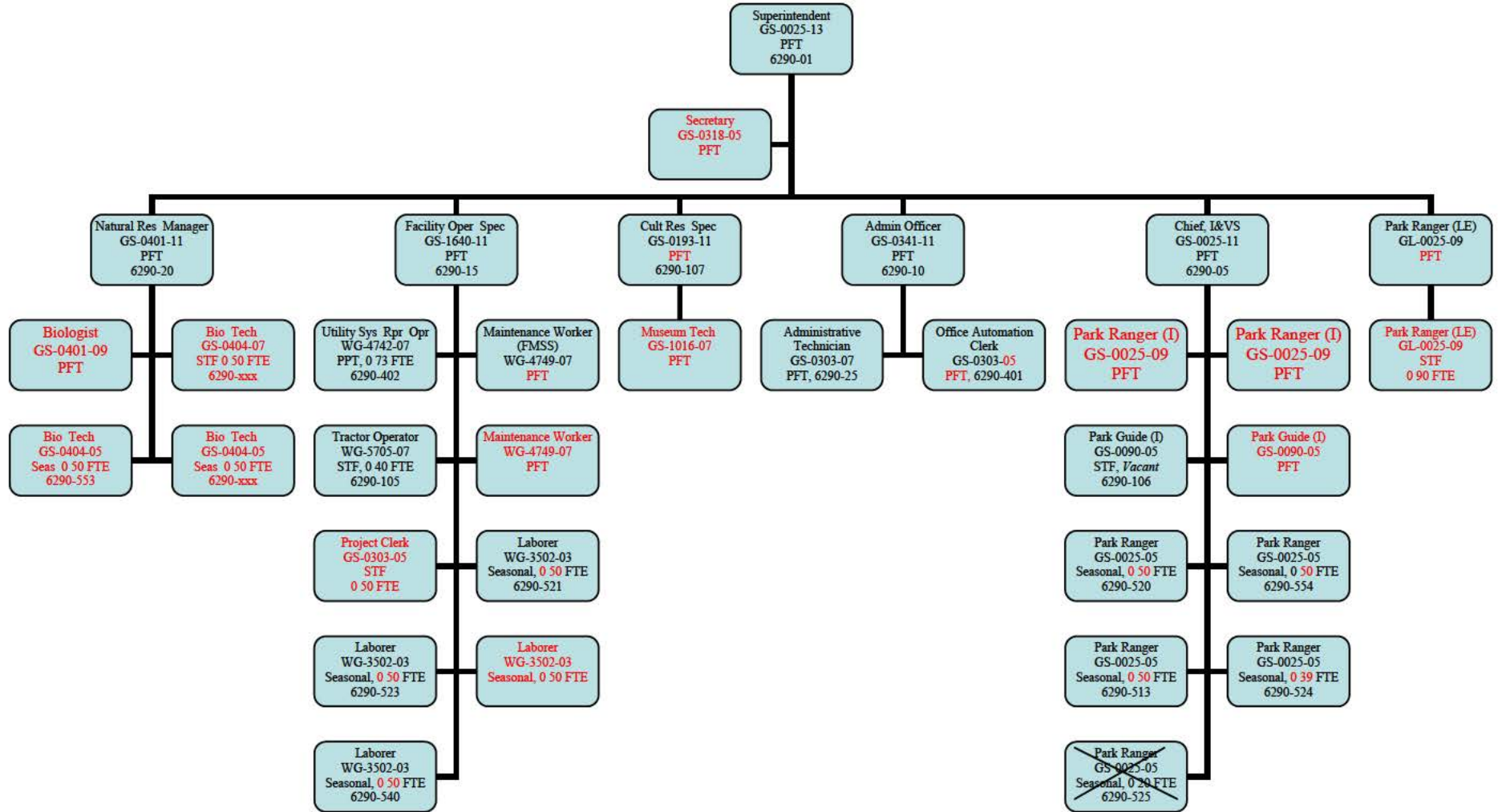
EFFIGY MOUNDS NATIONAL MONUMENT CORE OPERATIONS TARGET ORGANIZATION



EFFIGY MOUNDS NATIONAL MONUMENT

DIFFERENCE BETWEEN CORE ORGANIZATION AND CURRENT

(red reflects changes made to the current org. chart to arrive at the core org. chart)



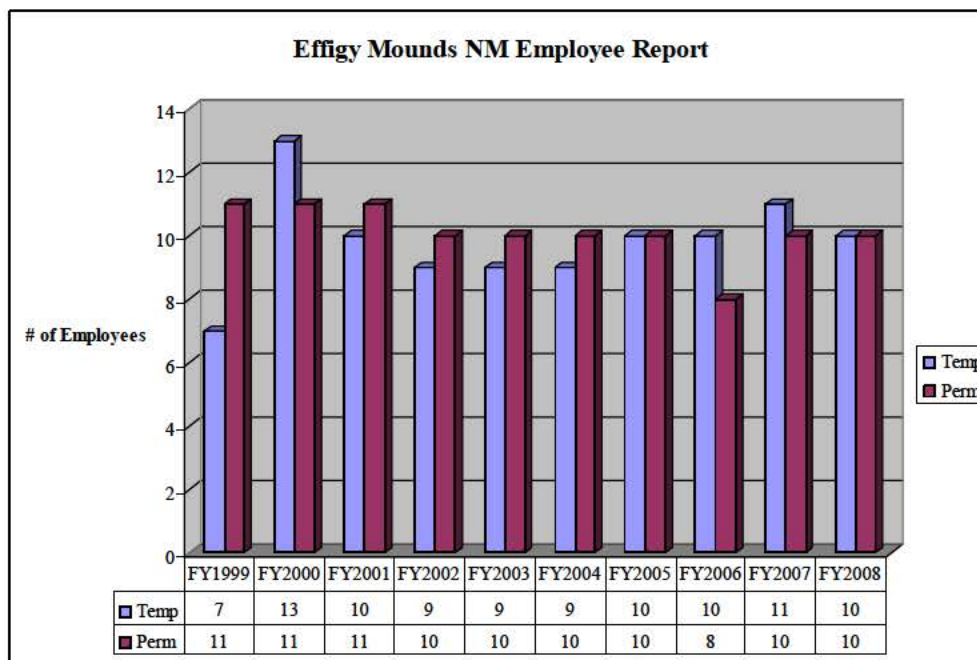
CORE OPERATIONS REPORT - PART II

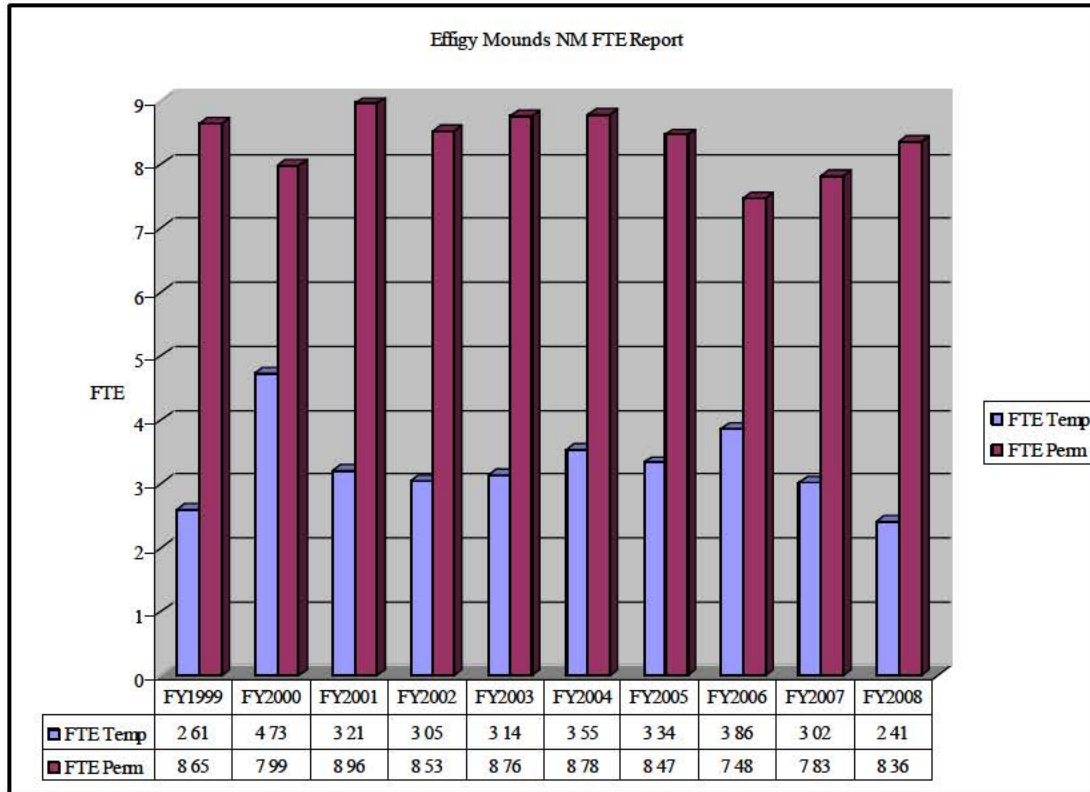
As stated in the Purpose of Report section, individual units of the National Park Service have been advised to anticipate that their Congressional-appropriated base budgets will be essentially flat for the next three to five years, and to prepare for the operational impacts of that budget scenario. Part II of this report summarizes the park’s budget and staffing history, actions taken to date to reduce operational costs, presents the park’s Budget Cost Projection (BCP), and a Five-Year Implementation Plan of additional actions that may be necessary to address anticipated budget shortfalls.

Budget and Staffing History

As part of Effigy Mounds NM Core Operations Analysis, a thorough analysis has been done of the park’s budget and staffing history. By being fiscally responsible, the park has been operating at 81% of fixed costs. This is below the “85% fixed cost” goal set by the regional office. Effigy Mounds NM management has ensured that every aspect of the park’s operation was functioning at the maximum efficiency; however, the lack of base increases, and base reductions, combined with increases in operational costs and a 70% increase in land base, have severely impacted the park’s ability to reduce or prevent the rise in fixed costs. It is becoming increasingly more difficult to meet the “85% fixed cost” goal while meeting the park’s legislative purpose.

Attached are two bar graphs noting number of employees from FY1999 through FY2008 and corresponding FTE for the same years.





To keep up with inflation and the increased cost of employee salaries and benefits, the park has lapsed several vacant positions, thus spreading additional work among the existing staff. It should also be noted that while visitation has decreased slightly, the expected responsibilities and workload for staff has increased in other ways, with no additional funding. These include:

- Compliance with Facility Management Software System (FMSS) requirements, resulting in the dedication of 0.81 FTE;
- Mandatory requirement for security background checks on all seasonal employees (including volunteers) prior to hiring;
- The recent change to the NPS contracting configuration has added an additional layer in complexity and time to any purchase transactions over the small purchase threshold;
- Mandatory reporting (approximately 46 annual requirements, i.e. Servicewide Comprehensive Call, Confidential Disclosure Report, Annual Law Enforcement Report, Special Employment Programs, Pesticide Use Reports, Advance Acquisition Plans, GPRA, Semi-annual Labor Compliance Report, Undelivered Orders Report, Museum Collections Standards report, National Catalog Submission, Museum Property Inventory, Environmental Purchasing, Waste Management and Recycling report, Physical Inventory of Firearms, National Parks Pass Inventory and Reconciliation, Asset Management Inventory and Federal Real Property Report, annual charge card audits, Annual Personal Property Inventory, Volunteers-in-Parks Activity and Expense report, Servicewide

Interpretive Report, Annual Environmental Management System Report, Annual Energy report, Motor Vehicle report, Employee Performance and Appraisal Plans, Annual Federal Plan on Actions to Assist Historically Black Colleges and Universities, five-year space plan, quarterly Environmental Cleanup Liability, Hispanic Employment report, Seasonal Employment Program Report, Annual Narrative Report of Superintendents, and Status of Funds;

- Required annual training – Discrimination & Whistleblowing in the Workplace, Privacy Act, Records Management, Information Technology, Responsibilities for Computer Use, charge card training, supervisory training, Equal Opportunity training, Law Enforcement refreshers and certifications, Contracting Officer’s Technical Representative training and refreshers, etc.;
- Information Technology Certification and Accreditation;

- As leaders in safety and participants in OSHA’s Voluntary Protection Program (VPP), we are required to complete a comprehensive analysis of the park’s approved Safety and Health Program annually and submit an extensive annual report to the Department of Labor Regional VPP Manager. As part of this evaluation, the park is required to critically analyze every aspect of the program, set goals for the coming year and provide reviews of goals set/met the previous year. If the park has a contractor on site, a



review of their safety program and applicable OSHA 300 forms/rates are also required to be reviewed and commented upon as well. Total number of hours required for completion of this review and report are estimated at between 160 and 240 hours at a minimum each year, all with no additional funding support;

- As the NPS moves to distribute more funds through projects, the workload on a small park staff has become more complex. More and more projects are completed through contracts, requiring additional COTR certifications and refreshers. Day labor projects require additional supervision and significantly impacts the administrative workload by increasing activities related to hiring, procurement, contract and payroll processing, and budget programming and tracking. Once approved, implementation requirements must be completed within a very short timeframe in order to obligate funds. Additionally, most of the projects can only be performed during the summer months, which requires extensive coordination and effort to complete within this very short timeframe and must be accomplished in addition to the staff’s regular duties.

Cost Saving Measures Already Taken

Over the past decade, increased personnel costs and overhead costs have substantially eroded the operating program for all divisions. This budget erosion has severely impacted the park.

Over the course of the past several years, the park has already been faced with taking action to address budget shortfalls on a year-by-year basis. Effigy Mounds NM has taken a number of actions to reduce costs and manage workload. These actions include:

- Continuing to lapse one subject-to-furlough GS-11 Cultural Resource Specialist position;
- Continuing to lapse one subject-to-furlough GS-05 Interpretive Guide position;
- Continuing to lapse one part-time, permanent GS-4 Office Automation Clerk position;
- Continuing to lapse one seasonal GS-5 Biological Science Technician position;
- Reduced the number of seasonal hires funded through ONPS;
- The permanent staff consists of ten filled positions. It is important to note that these filled positions include only six permanent, full-time positions. The other four positions include one part-time, permanent maintenance employee that works from 24-32 hours a week and three permanent, subject-to-furlough (STF) employees, two in maintenance and one in law enforcement. When the STF positions were established, they were filled approximately 10 months of the year with a two month furlough. Those furloughs have now been increased to 4-5 months;
- Restructuring and redefining the Administrative Technician position description to include curatorial and NAGPRA duties;
- Reassigned duties from the vacant cultural resource position to the Resource Manager in the areas of monitoring cultural resources and archeological sites;
- Maintenance staff is assisting with environmental monitoring in the collection area;
- Reduced park hours from 8 a.m. to 7 p.m. to 8 a.m. to 6 p.m. (June-Aug) and 8 a.m. to 5:00 p.m. to 8:00 a.m. to 4:30 p.m. the rest of the year;
- Diverted permanent maintenance staff to provide lead responsibilities for seasonal employees hired to work on funded PMIS projects, meaning less time devoted to routine preventative maintenance during this time;
- Lapsed the full-time Maintenance Worker position for 1 year before hiring to save funds needed for other priorities;
- Reduced mowing frequency on maintained archeological sites to save on fuel and equipment costs and staff time;
- Increased the length of furlough for the Tractor Operator and reduced the hours of the permanent, part-time Utilities Systems Repairer-Operator;
- Reduced seasonal (1039 hrs) employee hours;
- Obtained military surplus vehicles rather than purchase or lease new vehicles;
- Switched to compact fluorescent lighting instead of incandescent;
- Assigned or combined more collateral duties to fewer employees rather than hire new staff;
- Administration staff assists with visitor inquiries, press releases and staffing the visitor center;

- Used ONPS funds for mandatory training only; employees sought funding from other sources for optional training and workshops, if outside funding was not available, employees did not attend;
- Eliminated spending, or relied on Eastern National to re-supply and improve interpretive programming;
- Rely almost entirely on third party grant sources to fund seasonal Indian cultural events and annual teachers' workshops, and to provide capital equipment needs;
- Reduced custodial services in maintenance areas;
- Delayed replacing burned out light bulbs;
- Postponed needed repairs on vehicles and equipment;
- Eliminated or reduced major, educational programs in the absence of grant money to support them;
- Conducted restoration, monitoring, planning, fire management, exotic species control and collections management through project funding.

Budget Cost Projection

Compounding the current problem, the park's Budget Cost Projection (BCP) predicts an additional base budget shortfall of over \$23,389 beginning in FY2008 (which began on October 1, 2007), growing to a total deficit of \$100,199 by FY2012.

	<u>FY 2008</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	<u>FY 2012</u>
Revised Allocation Projection using 4 Yr Avg	\$873,631.00	\$894,054.54	\$914,955.54	\$936,345.16	\$958,234.83
Total Requirement Costs (Page 2)	\$897,020.42	\$931,228.91	\$973,967.49	\$1,013,768.68	\$1,058,434.20
Surplus/Deficit	(\$23,389.42)	(\$37,174.37)	(\$59,011.95)	(\$77,423.52)	(\$100,199.38)
% Surplus/Deficit	(2.68%)	(4.16%)	(6.45%)	(8.27%)	(10.46%)
FTE Equivalent	(0.35)	(0.54)	(0.81)	(1.02)	(1.27)
% FTE Equivalent	(2.96%)	(4.50%)	(6.83%)	(8.60%)	(10.64%)

This projection is based on several key assumptions:

It uses the park's currently approved 85% Organization Chart.

Effigy Mounds NM base park budget will continue to rise at a very modest rate, commensurate with the average base increase of 2.34% received over the course of the past four fiscal years.

The cost of sustaining the current park operation will rise at a higher rate, driven largely by regular cost-of-living pay increases for park employees, which are determined by the U.S. Congress and average approximately 3% per year, increased employee benefit costs due to an increased number of FERS vs. CSRS employees on the rolls, and rising utility and fuel costs.

The model assumes no growth in the park staff or operations.

The model assumes that all filled positions are maintained.

Analysis of Use of Current Park Resources

Like any organization, there are places where the park can become more efficient. These include more efficient management of the vehicle fleet, attempting to reduce utility costs, research more efficient ways to reduce costs such as travel for training, meetings, etc., more efficient communications, better managed meetings, seeking more competition in purchasing supplies and materials in an effort to lower costs, etc. However, these represent small savings. Even with increased efficiency in all of these areas, the park cannot save enough money to make a significant difference in addressing the budget shortfalls as predicted by the BCP.

Beyond that, in reviewing how current park resources (human and financial) are currently being utilized, the park did not identify any areas in which park staff members are currently working on non-core functions.

On the contrary, on a programmatic level, **the following Core Functions are NOT being performed at an acceptable level due to lack of staff in certain areas.**

Applicable to All Offices

General Administrative Core Functions

- Meeting scheduled in-park project deadlines.
- Writing adequate PMIS and OFS request justification statements.
- Programming the annual park budget in a timely manner.
- Holding monthly safety committee and Environmental Management System (EMS) meetings on a monthly basis.
- Keeping park policies, guidelines, and standard operating procedures current.
- Maintaining park files and records and keeping them current.
- Proofreading official correspondence and attaching correct file codes.
- Developing project scopes of work and specifications in a thorough manner before they go out for bid.
- Submitting quarterly GPRA reporting requirements on time.
- Incidents and violations are entered into CIRS software in a timely manner.
- Draft Director's Orders are reviewed and commented on upon request.

Supervisory Core Functions

- Orientating, training, mentoring and auditing new employees in a thorough and timely manner.
- Career counseling of employees annually and Employee Development Plans are developed.
- Utilizing Employee Development Plans when funding training opportunities.
- Offering employee training beyond required training.
- Reviewing employee position descriptions every 5 years ensuring their accuracy.
- Communicating information to employees in a clear, inclusive, and timely manner.
- Completing meeting minutes in a timely manner.

Office of the Superintendent

- Developing formal, local community partnerships.
- Establishing a friends group to support project fundraising.
- Defending the park from nearby incompatible development.

Division of Facility Operations and Maintenance

- Ensuring front-line supervision of the day-to-day operation.
- Protecting government interests through adequate contract oversight.
- Meeting servicewide, regional, and in-park project/reporting deadlines.
- Adequately documenting the 106 process prior to projects starting.
- Extending the life of park property through preventative maintenance on buildings and equipment.
- Adequately cleaning the office buildings (windows, floor coverings, window treatments, walls, etc.).
- Adequately cleaning the collections storage area to minimal requirements.
- Adequately researching and replacing conventional energy systems with new systems that use renewable energy sources or are Energy Star certified.
- Ensuring that all employees have the correct skills for the job and safety training is complete.
- Completely implementing the Environmental Management System Plan.
- Completely implementing the Structural Fire Management Plan.
- Adequately implementing the Safety/VPP Program for the monument.
- Keeping Job Safety Hazard Analyses current.
- Developing a 10-year cyclic maintenance program with the appropriate FMSS work orders entered into the system.
- Meeting FMSS data entry requirements and keeping them current.
- Routine trails, bridges, and tunnel maintenance; what is currently done is emergency repairs and reactionary.
- Maintaining archeological sites. Preventive maintenance and repair of old damage is not done on a routine basis.
- Routine fencing of boundaries and the posting of regulatory signage; what occurs is purely emergency repairs and reactionary.
- Routinely maintaining paved and unpaved roads, resulting in more extensive and costly repairs.
- Routine equipment maintenance; what occurs is reactionary.
- Core operational work to adequately maintain the cultural and natural resources.
- Continued reliance on soft dollars to perform core operational work to adequately maintain the cultural and natural resources which does not provide a consistent assessment of the condition of historic structures and preparation of short- and long-term plans for preservation and use.

Division of Law Enforcement

- Investigations of allegations of looting of archaeological resources.
- Investigations, prosecution and mitigation of illegal poaching activities.

- Responding to facility intrusion alarms.
- Performing routine security patrols.
- Posting boundary and other regulatory signs.
- Managing the radio program.
- Maintaining appropriate property logs.
- Protecting park resources during and after operating hours and during furlough periods of LE staff.
- Establishing and then updating physical security assessments of all facilities a minimum of every five years.
- Establishing memorandums of understanding with local and county police dispatch to serve as backup to the park law enforcement ranger, and as first responders for medical and fire emergencies.
- Enforcement of CFR throughout the entire year.
- Implementing requirements of regional law enforcement review.
- Providing for the physical security of all park facilities.
- Supervising special events and other noncommercial activities requiring permits in the park.
- Providing emergency medical and search and rescue services within the park and maintaining first aid supplies.

Division of Interpretation and Visitor Services

- Providing interpretive programming for environmental and cultural education groups and the local community.
- Enhancing visitor understanding through interpretive public programs during the primary visitor season in all geographic units.
- Conducting research into historic records to improve the accuracy of interpretive programs.
- Updating and improving the park's web site in a timely manner.
- Ensuring a timely response to visitor inquiries.
- Reviewing Eastern National publications in an adequate manner to ensure their appropriateness as sales items.
- Engaging the local community to foster interest in the park story and resources.
- Creating temporary interpretive exhibits for the visitor center.
- Preparing thorough annual reports; submitting other grant and project funding requests/proposals.
- Managing and contributing to special projects and plans such as GMP and Long Range Interpretive Plan (LRIP).
- Evaluating all components of the interpretation, education, and visitor services programs, including training a minimum of once every five years.
- Having all interpretive staff participate in the interpretive competencies and modules.
- Managing an active Volunteers-In-Park program.
- Having an active public affairs program.
- Creating interpretive programs for use with modern technology such as pod casts.

Division of Natural Resources

- Synthesis of research data in forms useful for making long-term management decisions.
- Prairie restoration activities, including gathering of baseline data, ongoing monitoring activities and invasive and exotic plant control.
- Ecological modeling for long-term management decisions.
- Manage the park's natural resources as a part of the cultural landscape, to include inventory, monitoring, and protection of the woodlands, streams and natural springs, prairie, wildlife, species of management concern, and control of invasive vegetation.
- Develop and implement resource management plans for vegetation management, integrated pest management, exotic plant management, mound condition management, threatened and endangered species management, wildlife management and cultural landscape management.
- Meeting minimal requirements for conducting fire management operations.
- Tracking research permits, chemical use permits, scientific studies, and maintaining required resource qualifications.
- Conducting resource field activities and managing data in the areas of exotic plant control, species monitoring, and evaluation of operations impacts.
- Conducting adequate GPS/GIS mapping, mound assessments, landscape restoration activities, fire management and monitoring, cultural landscape development modeling, and annual plant surveys.
- Managing and interpreting resource metadata.

Division of Cultural Resources

- Meeting curatorial cataloging goals; cataloging backlog.
- Meeting standards for cultural resource management; care and management of archival museum collection items.
- De-accessioning museum items from the park's museum collection that fall outside the Scope of Collection.
- Monitoring condition of cultural landscapes and archeological sites and preparing management plans for preservation and visitor use.
- Museum collection and storage facility management: accessioning and cataloging new items, updating catalog records, cleaning and maintaining storage facility and monitoring storage environment.
- Conducting historical research and responding to research requests.
- Developing nomination for the Heritage Addition and other new lands to the National Register of Historic Places.
- Creating a park-wide comprehensive exhibit plan.

Division of Administrative Services

- Completing personnel actions in a timely manner.
- Maintaining IT systems with on-going user support.
- Procurement functions to accomplish workload.

- Conducting position management reviews and business process analysis a minimum of every five years.
- Conducting internal control fee collection and imprest fund audits as per the guidelines.
- Completing basic benefit and retirement counseling with employees before they contact Midwest Region Human Resources.
- Presenting special emphasis programs to the staff throughout the year.
- Processing adjustments to uniform authorizations in a timely manner.
- Updating the employee directory in a timely manner.
- Processing worker's compensation claims in a timely manner.
- Maintaining an up-to-date budget.

Position Management

Effigy Mounds NM can not make up the projected operational budget shortfalls by simply “improving efficiency” in one or more programmatic area. The only way the monument can reduce its costs sufficiently to operate within its currently projected base budget allocation is to lapse or eliminate existing positions, either permanent or seasonal positions, or use other revenue sources or some combination of each.

The park will be largely dependent on attrition opportunities (through transfers or retirements) to reduce the park staff as required by the Budget Cost Projection model. Consequently, the “Five-Year Implementation Plan” and “Summary of Savings” presented below are based on the park staff's best assumptions about the timing of anticipated changes in personnel and related opportunities to downsize the organization. Implementation of any or all of these actions will have to be flexible as budget realities become better known, as individuals transfer or retire, and as the park progresses in implementing other efficiencies or generating new sources of revenue to sustain the park operations.

Employees Eligible for Retirement

Effigy Mounds NM has a number of employees who either already are or will soon be eligible for retirement. However, being eligible for retirement does not equate to actually retiring, so in developing a specific action plan to address projected budget shortfalls the park has tried to be realistic about the attrition opportunities it expects in the next five years. In addition, **many of the employees who may decide to retire within this time frame are performing absolutely critical functions that must continue in order to operate the park, and it is not always realistic to assume that those duties can be effectively absorbed into another position.** As stated above, this Implementation Plan is based on the park's best information and assumptions about the timing of anticipated retirements and the associated attrition opportunities.

Budget Cost Projection Driven Organization
Five Year Implementation Plan

The actions noted below are in addition to the actions already taken over the past 5+ years. Those previous actions have already been considered in the 5-year Budget Cost Projection model. Note: Since Effigy Mounds NM already operates below Core Operations, anticipates only one retirement in the next five years, has a permanent workforce that is mostly local and not likely to transfer, opportunities to save large amounts of money are not realistic.

Possible FY-2008 Actions
To Cover Projected \$23,389 Shortfall

Action: Reduce maintenance seasonals from 1.27 FTE to 0.90 FTE (0.37 FTE)
Cost Reduction = \$14,881

Consequence: Maintenance activities in all units will be impacted. Roads, trails, buildings, grounds, and the maintained archeological sites (mounds), will see reduced maintenance increasing the deferred maintenance backlog in all park assets. Essential front-line duties routinely performed by the maintenance seasonal will be shifted to remaining permanent personnel, greatly diminishing their ability to work on more complex deferred maintenance projects. Present conditions of all cultural and natural resources will begin to show signs of neglect as remaining maintenance staff is spread even thinner.

Action: Reduce interpretive seasonals from 1.73 FTE to 1.46 FTE (0.27 FTE)
Cost Reduction = \$9,380

Consequence: Reducing seasonal FTE would have an impact on visitor services performed by the interpretive division. Remaining staff would spend more time on non-personal services such as opening and closing procedures. Core functions would be re-distributed amongst remaining staff. Seven day a week, year around coverage would become difficult to maintain without assistance from other divisions. Ranger staffing of the visitor center would be limited to seven hours a day with seven days/week from April 1 to October 31 and five days/week from Nov 1 to March 31. Second ranger coverage in the visitor center would only be available seven days/week, July 1 to mid August ONLY and for one week during the Labor Day weekend time period and two weeks in early October. A third ranger would be in the visitor center on Fri/Sat/Sun, mid July 1 to mid August ONLY. Set programs offered on a limited basis with reduction in school programming. Advertised public tours would only be available on weekends during core summer hours.

Possible FY2009 Actions
To Cover Projected \$37,174 Shortfall

Action: Reduce maintenance seasonal from 0.90 FTE to 0.79 FTE (0.11 FTE)
Cost Reduction = \$4,603

Consequence: Maintenance activities in all units will be greatly impacted as remaining maintenance staff is spread even thinner. Roads, trails, buildings, grounds, and the maintained archeological sites (mounds), will experience greater reductions in routine and preventive maintenance increasing the deferred maintenance backlog in all park assets to even higher levels. Front-line visitor services and recreational opportunities at all units of the park will be impacted at a higher level as assets are prioritized for maintenance. The North and South units will barely be maintained to minimum acceptable levels. Portions of these units will be required to close to public access periodically. Recovery from natural events, (storms, wind, etc.), will not take place quickly resulting in unsafe facilities for visitors. A safe working environment will not be maintained for employees. Remaining staff will not be adequately (minimally) trained in core competencies for their positions. Cleared areas will be overgrown as sites return to brushy undergrowth and exotic vegetation severely impacting the necessary access to the mounds and the condition of the archeological resource. The condition of all cultural and natural resources in all units of the park will show greater signs of neglect.

Action: Reduce interpretive seasonal from 1.46 FTE to 1.25 FTE (0.21 FTE)
Cost Reduction = \$7,509

Consequence: In addition to FY2008 effects, core functions would be further re-distributed amongst remaining staff. Seven day a week, year around coverage would become difficult to maintain without assistance from other divisions. Ranger staffing of the visitor center would be limited to seven hours a day with seven days/week from April 1 to October 31 and five days/week from Nov 1 to March 31. Set programs offered on a limited basis with reduction in school programming. Advertised public tours would only be available on weekends during the months of July and August.

Action: Reduce GSA vehicle rentals
Cost Reduction = \$2,500

Consequence: Employees may be forced to take personal vehicles for travel and training. Non-essential travel would be eliminated.

Possible FY-2010 Actions
To Cover Projected \$59,011 Shortfall

Action: Reduce maintenance seasonal from 0.79 FTE to 0.48 FTE (0.31 FTE)
Cost Reduction = \$13,371

Consequence: Essential maintenance activities in all units will be severely impacted with all

assets and visitor services being minimally maintained or provided. All maintenance activities for the roads, trails, buildings, grounds, and maintained archeological sites at Sny Magill, the South Unit, the Heritage Addition and portions of the North Unit will be reduced to extreme reactionary (emergency), maintenance only. Cleared areas will be overgrown as trails and archeological sites return to brushy undergrowth; greatly impacting the necessary access to the mounds. Recovery from natural events, (storms, floods, wind, etc.), will not take place quickly resulting in closed and unsafe facilities for visitors. A safe working environment will not be maintained for employees. Buildings, utilities systems, fleet, and equipment will deteriorate at a greater rate than previously. The park's ability to work on FMSS and effectively compete for funds required to maintain facilities in good condition would be severely hampered as permanent personnel are re-assigned to perform more and other duties done previously by lapsed and reduced positions. It may affect the park's ability to satisfy federal asset management requirements outlined in Executive Order #13327 and NPS Directors Order #80.

Action: Reduce subject-to-furlough Tractor Operator from 0.69 FTE to 0.64 FTE (0.05 FTE)

Cost Reduction = \$ \$3,922

Consequence: By extending maintenance employee furloughs, the park would no longer be able to keep up with maintenance needs and meet visitor satisfaction GPRA goals. Buildings would go un-repaired and the grounds could develop safety hazards. This action would also have serious financial and morale impacts on the affected employee. The park would have to rely on cyclic and repair/rehab dollars to maintain its facilities and in a tight budget year these funds would be hotly competed for, which reduces the certainty of obtaining them. Accelerated deterioration of the primary resource of the monument (the mounds), will take place with irreparable damage being done. Park relationships with associated tribal governments will be strained because of lack of core functions being carried out on the archeological sites they consider sacred. All activities in the North and South Units of the monument will be maintained barely above acceptable minimal standards/requirements. All activities listed above as not being adequately met at previous fiscal years staffing levels will grow exponentially. Infrastructure will likely continue to show signs of neglect.

Action: Reduce subject-to-furlough Law Enforcement Ranger from 0.69 FTE to 0.64 FTE (0.05 FTE)

Cost Reduction = \$4,656

Consequence: The park would depend on the local police as the primary or only law enforcement entity to respond to after-hours alarms or incidents occurring during operating hours when no Law Enforcement Ranger is on duty. Since the park would rely on the availability of the local police department to respond, there could be higher local and county priorities and/or limited resources, the park may not receive any coverage. When county officers do respond, they would only conduct a perimeter check of a buildings and roads for obvious signs of an intrusion. Increases in damage to park structures, the museum collection, cultural landscapes, and government property may occur. In the absence of LE staff to cover all operating hours, the park would rely on "911" and be "in-line" for assistance.

Possible FY-2011 Actions
To Cover Projected \$77,423 Shortfall

Action: Reduce subject-to-furlough Tractor Operator from 0.64 FTE to 0.60 FTE (0.04 FTE)

Cost Reduction = \$3,146

Consequence: By extending maintenance employee furloughs, the park would no longer be able to keep up with maintenance needs and meet visitor satisfaction GPRAs goals. Buildings would go un-repaired and the grounds could develop safety hazards. This action would also have serious financial and morale impacts on the affected employee. The park would have to rely on cyclic and repair/rehab dollars to maintain its facilities and in a tight budget year these funds would be hotly competed for, which reduces the certainty of obtaining them. All maintenance and preservation activities in the Sny Magill and Heritage Addition units of the park will cease and will be closed to the public. All government owned assets at these locations will not be even minimally maintained. Accelerated deterioration of the primary resource of the monument (the mounds), will take place with irreparable damage being done. Park relationships with associated tribal governments will be strained because of lack of core functions being carried out on the archeological sites they consider sacred. Public boat ramp maintained by the Iowa Department of Natural Resources located at Sny Magill will be closed to the public for security and safety reasons. This would not endear the National Park Service to the local communities. All activities in the North and South Units of the monument will be maintained barely above acceptable minimal standards/requirements. All activities listed above as not being adequately met at previous fiscal years staffing levels will grow exponentially. Infrastructure will likely continue to show signs of neglect.

Action: Reduce subject-to-furlough Law Enforcement Ranger from 0.64 FTE to 0.60 FTE (0.04 FTE)

Cost Reduction = \$3,745

Consequence: The consequences of this action are the same as stated above in FY2009.

Action: Remove one GSA vehicle from service

Cost Reduction = \$5,000

Consequence: The GSA leased snow removal truck would be unavailable for snow removal, putting further pressure and deterioration of park owned vehicles that are seldom up for replacement.

Action: Reduce interpretive seasonal from 1.25 FTE to 1.14 FTE (0.11 FTE)

Cost Reduction = \$4,159

Consequence: The consequences of this action are the same as stated above in FY2009.

Possible FY-2012 Actions
Cover Projected \$100,199 Shortfall

Action: Reduce maintenance seasonals from 0.48 FTE to 0.37 FTE (0.11 FTE)
Cost Reduction = \$5,033

Consequence: All maintenance and preservation activities in all units of the park except the North Unit will cease and be closed to the public. All government owned assets at these locations will not be even minimally maintained. Accelerated deterioration of the primary resource of the monument, (the mounds), will take place with irreparable damage being done. All other assets and real property located in these units will also be severely damaged from lack of proper routine and preventive maintenance activities. All maintenance and visitor services activities in the North Unit of the monument will be sporadic and barely maintained to minimal standards/requirements. Buildings, utilities systems, fleet, and equipment will deteriorate at a greatly accelerated rate than previously experienced. Reliance on the usage of volunteers, when/if available, to supplement core operational work activities will be critical to all divisional operations, however, this requires a significant investment in staff time to continually train and oversee the volunteers resulting in increased backlog of core operations by staff. All activities listed above as not being adequately met at previous fiscal years staffing levels will grow exponentially. Infrastructure will show obvious signs of neglect and deterioration.

Action: Reduce interpretive seasonals from 1.14 FTE to 0.89 FTE (0.25 FTE)
Cost Reduction = \$9,766

Consequence: The seasonal work force in the interpretive section is the mainstay of Effigy Mounds NM's interpretation and visitor services daily program. An impact of this reduction would be the elimination of tours during the peak visitor seasons. The visitor center would be closed completely six months of the year (Nov. 1-April 15). These measures would need to be considered, especially if visitation trends increase in the future as they are expected to do. This action would require the permanent park ranger staff to take on the bulk of front line interpretation and staffing the visitor center. One seasonal would be available seven days a week from April 15 to October 31 only. The interpretive staff would work below the identified core mission work and their time for outreach, and education programs would be severely limited or non-existent.

Action: Reduce travel, materials and supplies
Cost Reduction = \$3,000

Consequence: Copiers and printers outside of the visitor center will need to be eliminated to reduce cost of supplies and maintenance services. The maintenance and resources staff, despite being in different buildings, would have to share office automation equipment. Color printers, with the exception of one in the administrative offices, would be eliminated for a savings in maintenance services and cartridge supplies. This would increase wait time for print jobs to cycle through the network. Additional service contracts may need to be eliminated (i.e. security alarm, fire and/or equipment).

Summary of Potential Cost Reductions – Five-Year Implementation Plan

Please see the “Summary of Potential Cost/FTE Reductions – BCP Driven Organization” chart below which identifies proposed actions to reduce costs over the next five years, if needed.

Summary of Potential Cost Reductions – Five Year Implementation Plan

Please see attached “Summary of Potential Cost/FTE Reductions – BCP Driven Organization” chart below which identifies proposed actions to reduce costs over the next five years, if needed.

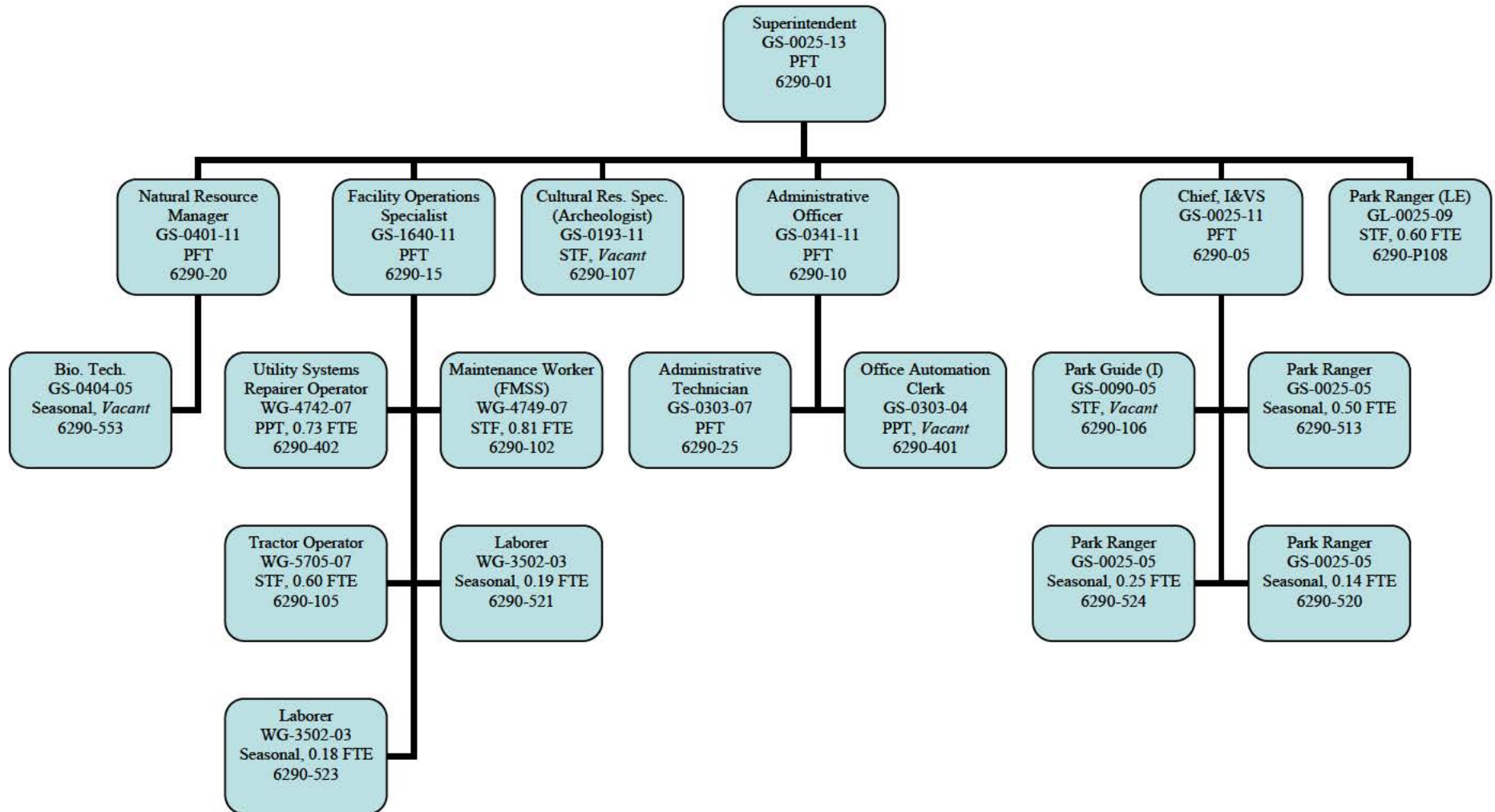
Summary of Potential Cost/FTE Reduction – BCP Driven Organization					
	FY08	FY09	FY10	FY11	FY12
Proposed FY08 Actions					
Reduce maintenance seasonals from 1.27 to 0.90 FTE	\$14,881	\$15,291	\$15,755	\$16,226	\$16,705
Reduce interpretive seasonals from 1.73 to 1.46 FTE	\$ 9,380	\$ 9,644	\$ 9,935	\$10,233	\$10,536
Proposed FY09 Actions					
Reduce interpretive seasonals from 1.46 to 1.25 FTE		\$ 7,509	\$ 7,736	\$ 7,967	\$ 8,269
Reduce maintenance seasonals from 0.90 to 0.79 FTE		\$ 4,603	\$ 4,743	\$ 4,885	\$ 5,029
Reduce GSA vehicle rentals		\$ 2,500	\$ 2,575	\$ 2,652	\$ 2,732
Proposed FY10 Actions					
Reduce maintenance seasonals from 0.90 to 0.48 FTE			\$13,371	\$13,771	\$14,177
Reduce subject-to-furlough Tractor Operator from 0.69 FTE to 0.64 FTE			\$ 3,922	\$ 4,089	\$ 4,234
Reduce subject-to-furlough Law Enforcement Ranger from 0.69 FTE to 0.64 FTE			\$ 4,656	\$ 4,868	\$ 5,078
Proposed FY11 Actions					
Reduce subject-to-furlough Tractor Operator from 0.64 FTE to 0.60 FTE				\$ 3,146	\$ 3,257
Reduce subject-to-furlough Law Enforcement Ranger from 0.64 FTE to 0.60 FTE				\$ 3,745	\$ 3,890
Remove one GSA vehicle from service				\$ 5,000	\$ 5,150
Reduce interpretive seasonals from 1.25 to 1.14 FTE				\$ 4,159	\$ 4,282
Proposed FY12 Actions					
Reduce maintenance seasonals from 0.48 to 0.37 FTE					\$ 5,033
Reduce interpretive seasonals from 1.25 to 0.89 FTE					\$ 9,766
Reduce travel, materials and supplies					\$ 3,000
Total Cost Reductions	\$24,261	\$39,547	\$62,693	\$80,741	\$101,138
BCP Projected Shortfall	\$23,389	\$37,174	\$59,012	\$77,424	\$100,200
FTE Reduction	0.63	0.95	1.36	1.79	2.24
BCP Required FTE Reduction	0.56	0.91	1.32	1.74	2.08

Budget Cost Projection Driven Organization

The BCP Driven Organization Chart on the next page illustrates the organizational structure and staffing levels, using the Current Approved 85% Organization Chart that would exist following full implementation of this Five-Year Plan:

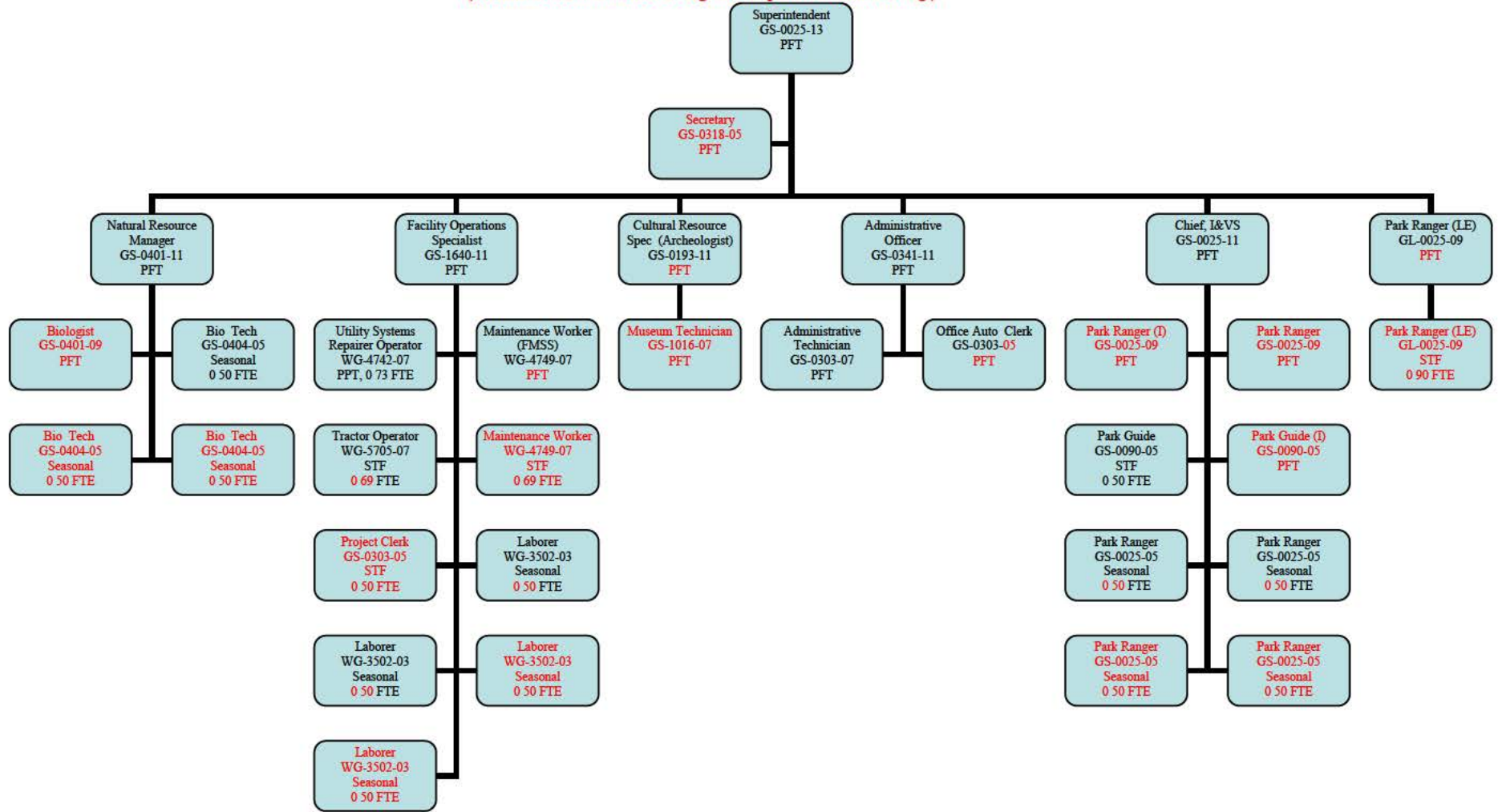
EFFIGY MOUNDS NM BCP DRIVEN ORGANIZATION

(Illustrates the organizational structure and staffing levels that would exist following full implementation of this Five-Year Plan)



EFFIGY MOUNDS NM DIFFERENCE BETWEEN CORE OPERATIONS TARGET ORGANIZATION AND BCP DRIVEN ORGANIZATION

(red indicates additions to BCP org chart required to reach core org.)



Conclusions

In FY2008, Effigy Mounds NM has 10.8 FTE filled and a 79.3% fixed cost ratio in the ONPS budget.

Leading up to FY2008, the park has already lapsed several key positions and increased non-pay furloughs to stay at or below the 85% fixed cost goal and stay within the ONPS base budget. Many core park functions have been dropped, are currently not being performed at an acceptable level, or have been absorbed as collateral duty by remaining staff.

The recommended Target Core Operations staffing level for Effigy Mounds NM would be 26.70 FTE with an anticipated 82% fixed cost ratio for the ONPS budget. Today the park is operating with 15.90 FTE **less than** Core Operations level.

The projected BCP for FY2012 would have the park operating with about 11.92 FTE.

In the absence of financial relief, several additional positions will have to be lapsed and furlough time periods will be increased, with a resulting significant decline in organizational capacity and effectiveness, decline in building maintenance, public services reduced, employee and visitor safety jeopardized, and employee morale at an all time low.

Strategies for Addressing Anticipated Budget Shortfalls

As a result of the Core Operations process and the public's input on the park's General Management Plan process, Effigy Mounds NM will be actively pursuing a multi-faceted approach to sustaining and enhancing its ability to perform the essential functions that are necessary to achieve the park's mission and purpose. These include:

1. Ensure the greatest possible efficiency of current park operations.

During the Core Operations Analysis, we were unable to identify any major area where park staff is engaged in non-core activities. However, over the course of the coming year, we will continue to analyze different aspects of the operation to ensure efficiencies. We will be working to achieve:

- More effective fleet management.
- Actively managing utility costs.

2. Actively pursue new sources of revenue.

- Actively seeking grant opportunities to assist with special events and programs.
- Explore establishment of Friend's Group.
- Explore sources for annual donations.

3. Actively develop new and expanded partnerships.

- Foster local and community relationships geared toward establishing a Friend's Group to raise funds.
- Pursue new partnerships to possibly cost-share, or otherwise enhance the park's outreach education program.

- Continuing to build greater community support through programs such as the Community Partner Program, the Adopt-a-Trail and the Experience Your Park Program.

4. Working with the Regional Office and Park Stakeholders to justify a significant increase to park base funds.

Most Immediate Financial Needs

Fund and Complete Boundary Survey – A boundary survey is essential for maintenance, protection of the resources, positive relations with park neighbors, future planning and to avoid possibility of financial unfairness to the government. At several locations in the park, the difference from what park neighbors perceive as the official boundary to what park staff believes is the boundary varies up to 100 feet. Currently, within this 100 foot zone, an adjoining landowner is farming the land within 15 feet of one of the park's prime cultural resources. In several other locations, land is cultivated, grazed and logged within the disputed zone. Government funds, particularly in the Conservation Reserve Program (CRP) could be improperly being disbursed based on disputed land that could be part of the park's Heritage Addition.

Provide Essential Visitor Services in New Lands – The monument received a 70% (1045 acres) increase in park land in 2000 without any resulting increase in ONPS funding. Effigy Mounds NM assumed responsibility for maintaining and operating this land which contains Indian mounds, habitation sites, rockshelters, historic features, a high quality trout stream, wetlands, prairies and a portion of the Yellow River eligible for a Wild and Scenic River designation. Basic maintenance and visitor services are non-existent. The resource is deteriorating and unavailable to the public who provided funds for the land purchase through tax dollars and donations to the Iowa Natural Heritage Foundation.

Restore and Maintain a Cultural Resource Management Program – Effigy Mounds NM is a cultural resource park without a cultural resource management program. Current oversight is divided amongst current staff (administration, maintenance, interpretation and natural resources) as collateral duty for which there is little guidance or oversight. There are many sites including some eligible for the National Register that require research and documentation. A comprehensive rehabilitation, documentation and stabilization program is needed with improved archeological site management.

Protect the Cultural Landscape from Exotic Infestations – The cultural landscape of Effigy Mounds NM is under pressure from a variety of exotic species, each with its own biological devastation. Staff is needed to halt the rate of increase, and ultimately, reduce fast spreading exotics. Future infestations would be discovered at an earlier stage when successful control and eradication measures can be implemented.

OFS Requests

The park currently has seven Operations Formulation System (OFS) requests that are closely aligned with the needs identified in this report to meet core functions at Effigy Mounds NM National Monument. There are plans for revision of several of them for the FY2011 Servicewide Comprehensive Call to address the restoration of core functions:

OFS #9293A – Protect the Park Cultural Landscape from Exotic Infestations

OFS #8733B – Provide Initial Operations for New Land Acquired in 2000

OFS #6867A – Restore and Maintain a Cultural Resource Management Program

OFS #9311A – Provide Park-Based Law Enforcement Investigation and Program Management

Two additional OFS requests are MWR requests for placing an exotic plant management team at EFMO but they do not address any of the current shortfalls in ONPS funding for the park itself. Those two requests are:



OFS #26103A – Establish Exotic Plant Management for Heartland Region

OFS #26103B – Establish Exotic Plant Management for Heartland Region

One OFS request has not been prioritized and is awaiting revisions. It is:

OFS #28220A – Establish Interpretive Seasonal Staff at Sny Magill and South Units

Finally, once this plan is approved, two OFS requests will be added and will become the top two priority requests for the park. These two requests will be:

OFS #28895A - Establish Critical Core Operations

OFS #28897A - Establish Core Operations Support



Hanging Rock - The End of the Trail

Respectfully submitted,

/Signed/

— /s/Phyllis Ewing _____		January 26, 2009 _____
Phyllis Ewing, Superintendent		Date
Effigy Mounds National Monument		

Approved:

David N. Given, Acting Regional Director	Date
Midwest Region	

**ARCHEOLOGICAL DAMAGE ASSESSMENT
EFFIGY MOUNDS NATIONAL MONUMENT**

OI-HQ-10-06228-R

DRAFT

April 5, 2012

**Caven Clark, PhD
Cultural Resource Management Specialist
Buffalo National River
National Park Service
United States Department of the Interior**

DRAFT

ADMINISTRATIVE SUMMARY

In 2007 prehistoric archeological site 13AM189 was damaged in the construction of a maintenance building. In 2010 prehistoric archeological site 13AM82 was damaged during the construction of a boardwalk. Both sites are within the boundary of Effigy Mounds National Monument, Allamakee County, Iowa, where they are managed by the National Park Service.

The following damage assessment values were determined as a result of this activity.

Commercial Value	\$00
Archaeological Value	\$93,165
Restoration and Repair	\$94,963

As per the prohibited acts and criminal penalties section of ARPA (16 USC 470ee), the cost of restoration and repair can be combined with either the archeological or commercial values involved in the violation to comprise the total value of the archeological resource damage. The monetary damage amount is determined by combining (1) the commercial value and the cost of restoration and repair of these resources **\$94,963** or (2) the archeological value and the cost of restoration and repair of the resource **\$188,128**.

TABLE OF CONTENTS

Introduction

Field Damage Assessment Procedures

Archeological Resource Description

Archeological Resource Damage

 Damage Description at the Nazekaw Terrace Site, 13AM82

 Damage Description at the Maintenance Bldg Site, 13AM189

Value and Cost Determinations

 Commercial Value

 Archeological Value

 Cost of Restoration and Repair

Summary and Conclusions

Appendix A: Cultural Resource Investigations

Appendix B: Nazekaw Terrace AKA Laird Farm site, 13AM82

Appendix C: Maintenance Building Site, 13AM189

Appendix D: Geophysical Investigations

Appendix E: Archeological Value Determination

Appendix F: Cost of Restoration and Repair

LIST OF FIGURES

PENDING

Location of Effigy Mounds National Monument

Location of archeological sites on USGS topographic map

Portion of the _____ USGS 7.5" quadrangle showing the approximate boundaries of site 13AM82.

Portion of the _____ USGS 7.5" quadrangle showing the approximate boundaries of site 13AM189.

INCLUDED IN THIS DRAFT

Figure . Lidar aerial image showing relationship of boardwalk and recorded archeological features.

Figure . Detail of boardwalk construction showing posts set in concrete on surface of mound (NPS-MWAC photo).

Figure . Detail of concrete post support.

Figure . Schematic drawing of installed boardwalk.

Figure . Lidar image showing location of maintenance building relative to archeological features and archeological site boundary. Rectangular image southwest of red circle is the building platform shown in Figure ____.

Figure . Construction phase view of maintenance building.

Figure . Maintenance building platform after construction and removal of superstructure.

Figure . Portion of the _____ USGS 7.5" quadrangle showing the approximate boundaries of site 13AM82.

LIST OF TABLES

Table 1. Budget for Archeological Value.

Table 2. Cost of Restoration & Repair: Actual Costs

DRAFT

INTRODUCTION

The author was contacted by National Park Service, Special Agent Barland-Liles on December 6, 2011 who requested his assistance through Buffalo National River Superintendent. Work on this Damage Assessment was initiated on this date with the assistance of the Midwest Archeological Center, Lincoln, Nebraska.

FIELD DAMAGE ASSESSMENT PROCEDURES

Because of the nature of this case, there were no immediate follow-up actions by archeologists to document the damage to the sites. However, once the damage was identified, archeologists from the Midwest Archeological Center (MWAC), National Park Service, Lincoln, Nebraska were dispatched to document the disturbed/damaged areas. Several steps of Emergency Restoration and Repair were undertaken at this time and are detailed in Appendix D.

ARCHAEOLOGICAL RESOURCE DESCRIPTION

ARPA states that, "the term "archaeological resource" means any material remains of past human life or activities which are of archaeological interest ... at least 100 years of age" (16 USC 470bb(1)). In the ARPA Uniform Regulations, the term "material remains" is defined as, "... physical evidence of human habitation, occupation, use, or activity, including the site, location, or context in which such evidence is situated" (43 CFR 7.3(a)(2)). The ARPA Uniform Regulations state that, "Of archaeological interest" means capable of providing scientific or humanistic understandings of past human behavior, cultural adaptation, and related topics through the application of scientific or scholarly techniques such as controlled observation, contextual measurement, controlled collection, analysis, interpretation and explanation" (43 CFR 7.3(a)(1)).

The following classes of material remains (and illustrative examples) if they are at least 100 years of age, are of archaeological interest and shall be considered archaeological resources unless determined otherwise pursuant to paragraph (a)(4) or (a)(5) of this section:

- (i) Surface or subsurface structures, shelters, facilities, or features (including, but not limited to, domestic structures, storage structures, cooking structures, ceremonial structures, artificial mounds, earthworks, fortifications, canals, reservoirs, horticultural/agricultural gardens or fields, bedrock mortars or grinding surfaces, rock alignments, cairns, trails, borrow pits, cooking pits, refuse pits, burial pits or graves, hearths, kilns, post molds, wall trenches, middens);
- (ii) Surface or subsurface artifact concentrations or scatters;
- (iii) Whole or fragmentary tools, implements, containers, weapons and weapon projectiles clothing, and ornaments (including, but not limited to, pottery and other ceramics, cordage, basketry and other weaving, bottles and other glassware, bone, ivory, shell, metal, wood, hide, feathers, pigment, and flaked, ground or pecked stone);

- (iv) By-products, waste products, or debris resulting from the manufacture or use of human-made or natural materials;
- (v) Organic waste (including, but not limited to, vegetal and animal remains, coprolites);
- (vi) Human remains (including, but not limited to, bone, teeth, mummified flesh, burials, cremations);
- (vii) Rock carvings, rock paintings, intaglios and other works of artistic or symbolic representation;
- (viii) Rockshelters and caves or portions thereof containing any of the above material remains;
- (ix) All portions of shipwrecks (including, but not limited to, armaments, apparel, tackle, cargo);
- (x) Any portion or piece of any of the foregoing" 43 CFR 7 (A)(3)).

Effigy Mounds National Monument was established by a Presidential Proclamation by Harry S. Truman on October 25, 1949 under the Antiquities Act of 1906 ((Presidential Proclamation No. 2860, October 25, 1949, 64th Statutes at Large, 81st Congress 2d Session 64 Part 2:A371: EFMO 1994:1; Truman 1949). The national monument was established to protect the significant prehistoric mounds in the northeastern corner of Iowa, as well as the wildlife, scenery, and other natural resources of the region. The park encompasses 2,526 acres with more than 200 known prehistoric mounds (HRA Gray & Pape 2003:2-3). The mounds were constructed between 700 and 2,500 years ago, greatly exceeding the 100-year threshold required by ARPA. The earthen mounds in the northeastern part of Iowa were described as having "*great scientific interest because of the variety of their forms, which include animal effigy, bird effigy, conical, and linear types, illustrative of a significant phase of the mound-building culture of the prehistoric American Indians* (Truman 1949). The monument consists of the Jennings-Liebhardt or South, the Yellow River or North, Heritage Addition, and Sny Magill Units.

Another indicator of the archaeological interest of Effigy Mounds National Monument, including the sites in question, and the archaeological resources they contain is the status of this district relative to inclusion in the National Register of Historic Places (NRHP). The NRHP was created by the National Historic Preservation Act of 1966 (P.L. 89-665; 80 Stat. 915; 16 U.S.C. 470), as amended, as a register of, "... districts, sites, buildings, structures, and objects significant in American history, architecture, archeology, engineering, and culture" (16 U.S.C. 470a(a)(1)(A)). The entire monument was placed on the NRHP in 1966. A district that is eligible for inclusion in the NRHP definitely has archaeological interest as this term is defined by ARPA.

ARCHAEOLOGICAL RESOURCE DAMAGE

The subject lands are held in fee simple by the National Park Service, United States Department of the Interior. No permit was in place to authorize the types of activities that resulted in the damages to the archeological sites. Damage to archeological resources was identified in two discrete areas representing two previously recorded archeological sites: 13AM82 and 13AM189.

Damage Description at the Nazekaw Terrace Site, 13AM82

Damage to archeological resources at site 13AM82 consists of 216 round excavations dug to form poured concrete footers for wooden piers/posts that supported a wooden-decked boardwalk (Figures). Each footer measures one foot (.305 m) in diameter and is 4 feet (1.2192 m) deep. This equates to 3.14 cu feet (.088 cu m) of disturbance per post. The total volume of site disturbance is 678.24 cu feet (19 cu m).

DRAFT

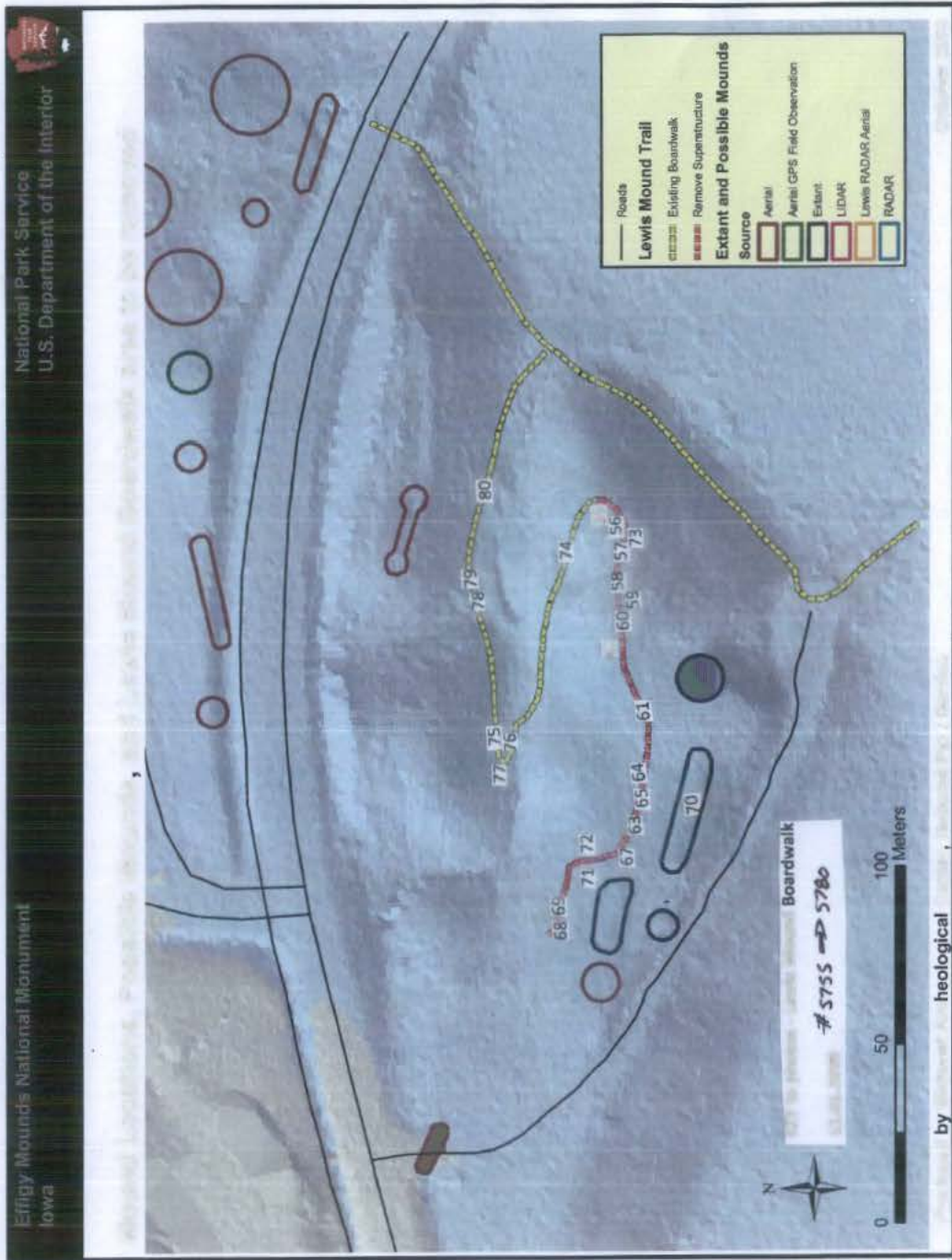


Figure _____. Lidar aerial image showing relationship of boardwalk and recorded archeological features.



Figure . Detail of boardwalk construction showing posts set in concrete on surface of mound (NPS-MWAC photo).



Figure . Detail of concrete post support.

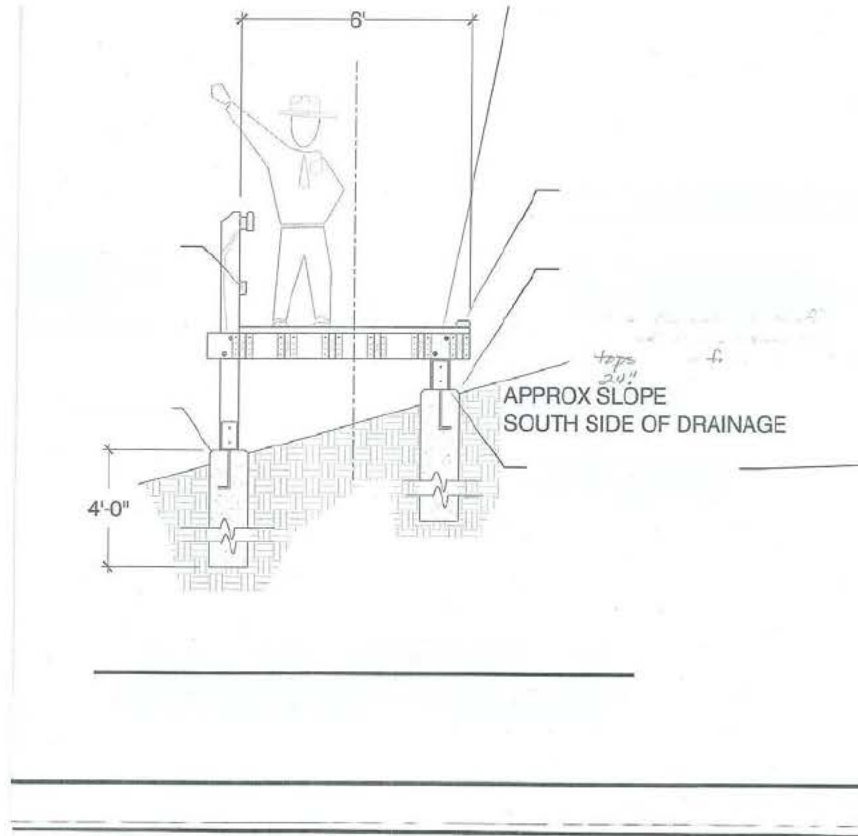


Figure . Schematic drawing of installed boardwalk.

Damage Description at the Maintenance Bldg Site, 13AM189

Damage to archeological resources to site 13AM189, consists of 22 round excavations dug to form poured concrete footers for wooden piers/posts that supported a wooden and gravel pad or platform on which a structure was built. Each footer measures one foot (.305 m) in diameter and is 4 feet (1.2192 m) deep. This equates to 3.14 cu feet (.088 cu m) of disturbance per post. The total volume of disturbance is determined to be 69.12 cu feet (1.93 cu m). (Figures).

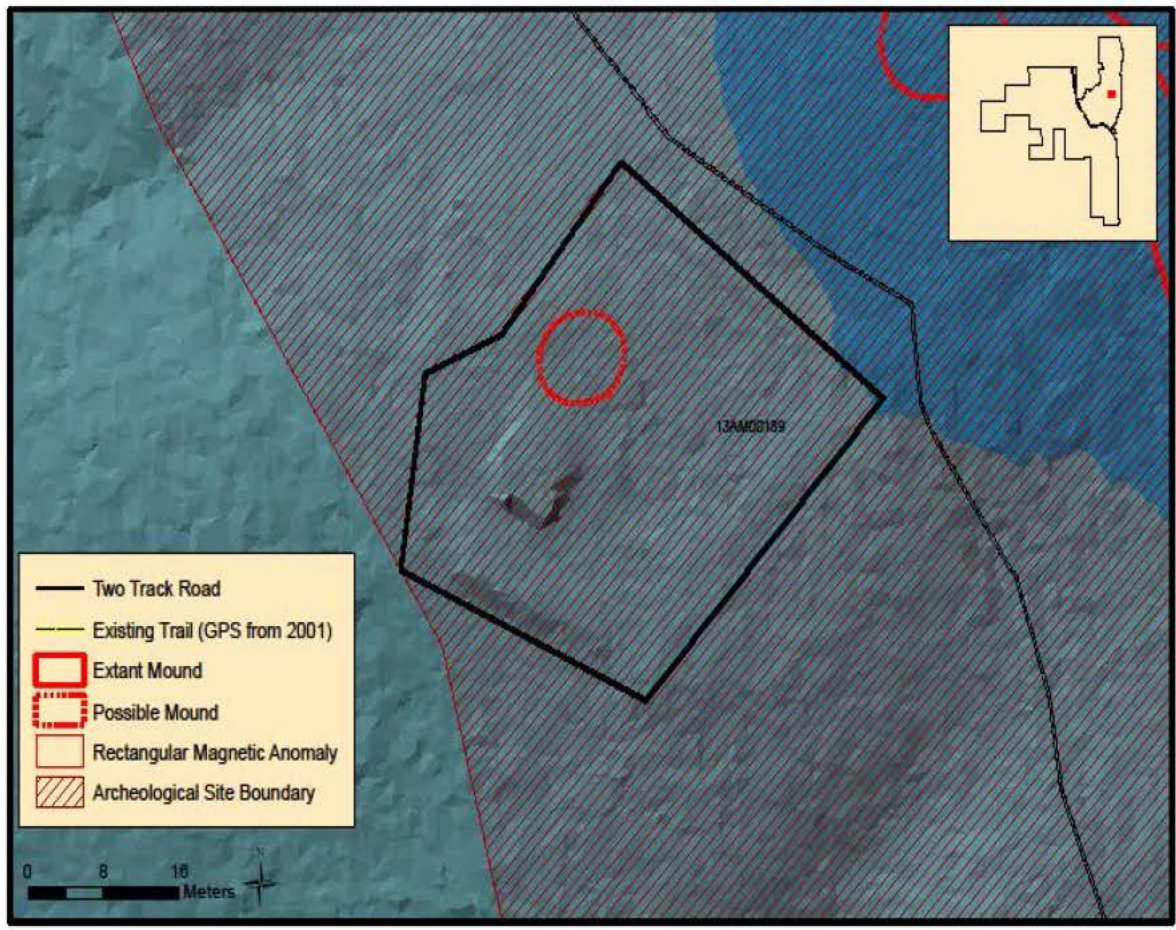


Figure . Lidar image showing location of maintenance building relative to archeological features and archeological site boundary. Rectangular image southwest of dashed-red circle is the building platform shown in Figure ____.



Figure __. Construction phase view of maintenance building.



Figure . Maintenance building platform after construction and removal of superstructure.

VALUE AND COST DETERMINATIONS

The “Prohibited Acts and Criminal Penalties” section of ARPA (16 USC 470ee) identifies three monetary values that will be considered in relation to the penalty for the offense. These are the “commercial value” or the “archaeological value” of the archaeological resources involved in the violation and the “cost of restoration and repair” of these resources (16 USC 470ee(d)). Procedures for determining these figures are established in the ARPA Uniform Regulations (43 CFR 7.14).

COMMERCIAL VALUE

The ARPA Uniform Regulations define the term “commercial value” as follows:

... the commercial value of any archaeological resource involved in a violation ... shall be its fair market value. Where the violation has resulted in damage to the archeological resource, the fair market value should be determined using the condition of the archaeological prior to the violation, to the extent that its prior condition can be ascertained (43 CFR 7.14(b)).

It is unknown if any objects were removed from the sites during the construction process, although it was noted (Jeff Richner, personal communication 2012, that there were stone artifacts present in some of the backdirt piles associated with the walkway footers that were not present later during the damage assessment process. With no physical objects upon which to base this determination of value, the commercial value in this case is \$00.

ARCHAEOLOGICAL VALUE

The ARPA Uniform Regulations define the term “archaeological value” as follows:

... the archaeological value of any resource involved in a violation ... shall be the value of the information associated with the archaeological resource. This value shall be appraised in terms of the costs of the retrieval of the scientific information which would have been obtainable prior to the violation. These costs may include, but need not be limited to, the cost of preparing a research design, conducting field work, carrying out laboratory analysis, and preparing reports as would be necessary to realize the information potential (43 CFR 7.14(a)).

The archaeological value of a scientific data retrieval strategy at the 13AM82 and 13AM189 sites was calculated to be **\$93,165** (Appendix , Table 1). This figure was determined using the Society for American Archeology’s (SAA) Professional Standards for the Determination of Archaeological Value guidelines (McAllister 2006).

The data recovery plan for retrieval of scientific information from these sites prior to damage is presented in full in Appendix . **The combined volumetric total of 747.36 cu ft for all types of disturbance at both sites** was derived from the post-incident field documentation and is exclusively used as the basis for the determination of Archeological Value.

The data recovery plan and budget (Appendix) was developed by MWAC and is consistent with professional standards of research design and execution. The types of retrieval, analysis, reporting and curation indicated in MWAC’s data recovery plan are consistent with scientific information retrieval standards for sites of this type in this part of the country. There are no costs related to methods that would not actually be anticipated or undertaken in conjunction with a project of this nature.

However, since it is understood that no human remains were encountered in the construction of either the boardwalk footers or the maintenance building, there is no budget associated with the inadvertent discovery of human remains. The inadvertent discovery of human remains would necessitate a substantial modification of projected and real costs associated with this project to cover tribal notification, consultation, and treatment, and would be introduced on a contingency basis should such a discovery occur.

COST OF RESTORATION AND REPAIR

The determination of the Cost of Restoration and Repair is fully explained in Appendix _____. In brief ... “the cost of restoration and repair of archaeological resources damaged as a result of a violation ... shall be the sum of the costs already incurred for emergency

restoration or repair work, plus those costs projected to be necessary to complete restoration and repair..”

In this case the elements of the ARPA Uniform Regulations that pertain include: research necessary to carry out reconstruction or stabilization; examination and analysis of the archaeological resource including recording remaining archaeological information, where necessitated by disturbance, in order to salvage remaining values which cannot be otherwise conserved; and preparation of reports related to any of the above activities (43 CFR 7.14(c)(1)-(8)).

The costs were derived from the actual response by MWAC in FY 2010 which conducted a geophysical investigation at a cost approximately \$113,000 (Jeffrey Richner, personal communication 2012). The scope of this project included the boardwalk area, the maintenance area, and two additional areas (the parking lot, and an area behind the visitor center) which are not considered part of this incident and must, in the interest of fairness and accuracy, be excluded from this cost estimate.

In order to ascertain the costs specifically associated with the boardwalk and maintenance areas the following strategy was followed:

- The determination of Archeological Value produced a cost estimate based on a project that would have been conducted at these locations prior to the damage that occurred.
- All of the elements expressed in the budget and accompanying budget explanation for Archeological Value are things that *did actually take place* in the context of the post-incident follow-up actions (minus the investigation of the parking lot and area behind the visitor center) and, therefore, are a legitimate, accurate, and defensible cost estimate for Emergency Restoration and Repair.
- Of the total figure of \$113,000 that was spent on post incident investigations by MWAC, the amount of \$93,165 is directly associated with this incident.

Actual costs incurred are also allowable in the Cost of Restoration & Repair. In this report, these are limited to the time spent in the research and creation of this Damage Assessment Document. Actual expenditures are itemized in Appendix ____, Table 2).

Future Restoration and Repair costs could include the removal of the concrete posts that supported the boardwalk and for archeological evaluation of the temporary maintenance shed. Insofar as the decisions about what, if any, steps to take to restore or repair this site must be made through Tribal and State Historic Preservation Officer consultation, and this decision has not been reached, there will be no added amount for future restoration and repair.

SUMMARY AND CONCLUSION

Archeological resource damage to the 13AM82 and 13AM189 sites consisted of the unauthorized excavation, removal, damage, and alteration of an archaeological site. The damage was documented and assessed, and this report of findings was prepared. The nature of the incident allowed for the determination of all three values described under 43 CFR PART 7.14: the cost of restoration and repair, the commercial value, and archaeological value.

As per the prohibited acts and criminal penalties section of ARPA (16 USC 470ee), the cost of restoration and repair can be combined with either the archaeological or commercial values involved in the violation to comprise the total value of the archaeological resource damage:

Archaeological Value	\$93,165
<u>Cost of Restoration and Repair</u>	<u>\$94,963</u>
Total	\$188,128

OR

Commercial Value	\$00
<u>Cost of Restoration and Repair</u>	<u>\$94,963</u>
Total	\$94,963

APPENDIX A
Cultural Resource Investigations
(DeVore and Vawser 2011:4-7)

The cultural resource investigations at the Effigy Mound National Monument have produced numerous archeological reports. The prehistory and history of the area have been consolidated into an archeological overview and assessment of the park (Benn and Stadler 2004), a historic resource study (HRA Gray & Pape 2003), and an administrative history (O'Bright 1989) of the Effigy Mounds National Monument, which formed the basic elements for the archeological resources management within the boundary of the park. A general overview of the park may be found in Dennis Lenzendorf's 2000 guide to the national monument. The first extensive mound investigations in the vicinity of the present park boundaries in northeastern Iowa occurred in the 1880s by Alfred J. Hill and Theodore H. Lewis (Benn and Stadler 2004:4; HRA Gray & Pape 2003:31-34; Lenzendorf 2000:52-56; O'Bright 1989:41-42). Lewis conducted the fieldwork and sent detailed notes back to Hill who compiled the notes into detailed measured drawings. The Lewis-Hill survey maps formed the basis of subsequent mound studies since many of the extent mounds from the 1880s were destroyed or obliterated by agricultural and other activities before the establishment of the national monument. Modern mound studies within the region began in the 1920s under the direction of Dr. Charles R. Keyes, Iowa's first State Archaeologist, and Ellison Orr, Keyes' assistant and supervisor of the Iowa Archeological Survey (Benn and Stadler 2004:5-6; HRA Gray & Pape 2003:42; Lenzendorf 2000:61-76; O'Bright 1989:42-46; Palmer 2009:34-37,58-59). Orr (1936,1939) resurveyed many of Lewis' original mound investigations, including the Nazekaw Terrace Mound Group (13AM82) and the Yellow River Prehistoric Indian Mounds Group (including Sites 13AM189 and 13AM191), and excavated several uninvestigated mounds during his tenure at the Iowa Archeological Survey.

The Nazekaw Terrace is a prominent terrace on the left bank of the Yellow River at its confluence with the Mississippi River in the North Unit of the park (Benn and Stadler 2004:15-17). T. H. Lewis named the terrace in 1892 after the Nazekaw townsite and grist mill at the eastern end of the bluff above the mouth of the Yellow River, which was platted but never developed (Benn and Stadler 2004:31). During his survey of the Nazekaw Terrace in 1892, Lewis identified 63 mounds including Mounds 55-61. The mounds included two bear effigies and three conical mounds, which were reported on his field map. In addition to this mound group, he also reported 39 conical mounds, six compounds, 12 embankments and one ruined tailless animal (Orr 1939:105-107). In 1926, Orr remapped the cultivated terrace (Figure 2), which resulted in the identification of only four conical mounds noted by Lewis (Orr 1939:105-107). NPS archeologist Paul Beaubien located two more linear mounds and two conical mounds in 1950 that were apparently not noticed by Orr in 1926 (Beaubien 1952). Farmstead activities, including agricultural cultivation, had destroyed the majority of mounds identified by Lewis by the time Orr reinvestigated the terrace in 1926. Benn and Stadler (2004:15-17, 20) provided a summary of the archeological investigations at the Nazekaw Terrace Mound Group in their archeological overview and assessment of the park.

The Nazekaw Terrace also extends into the park's South Unit (Benn and Stadler 2004:19-20). State Highway 76 divided the North and South Units of the park. Four mounds (Mounds 58-61) of the Nazekaw Terrace Mound Group are located on the south side of the highway (Figure 3). These mounds were first recorded by Lewis-Hill survey in 1892. Ellison Orr recorded one mound near the old roadbed of State Highway 76 (Benn and Stadler 2004:20). Beaubien (1952) recorded two linear mounds and two conical mounds on the terrace south of the highway.

In the upper meadow area, the Great Bear/Wildcat Mound Group (13AM189) consists of 19 mounds (Mounds 19-32 and 92-96) including two bear effigy mounds, four linear mounds, and seven conical mounds which are still present (Benn and Stadler 2004:12-13). The remaining six mounds in the group were plowed down between 1902 and 1931 (Benn and Stadler 2004:115-116,118; Orr 1939:83) including the wildcat effigy mound and two bear effigy mounds at the north end of Site 13AM189 (Figure 4). The mound group was originally identified as part of the Yellow River Prehistoric Indian Mounds Group by Ellison and Harry Orr (Palmer 2009:36). Today the Yellow River Prehistoric Indian Mounds Group has been divided into 10 separate sites (Benn and Stadler 2004:124-126). Site 13AM191, the Long Embankment Mound Group (Mounds 95 and 96), contained a linear and a conical mound (Figure 4) when the mounds were recorded by the Orr family in 1902 (Benn and Stadler 2004:118,124). The two mounds were plowed down between 1902 and 1931 (Benn and Stadler 2004:118). Benn and Stadler (2004:12-13) provided a summary of the archeological investigations at the Great Bear/Wildcat Mound Group in their archeological overview and assessment of the park.

Geophysical investigations of mounds at the park have been conducted since 1982 when Bruce Bevan (1982) conducted a ground penetrating radar survey of the Little Bear Mound (Mound 52) in the Yellow River Prehistoric Indian Mounds Group. The data indicated the presence of a planar feature in the head region of the Little Bear Mound. The annual National Park Service archeological prospection workshop was held at Effigy Mounds National Monument (De Vore 1999; Lynott and De Vore 1999). During the workshop, three different types of mounds were selected for the field exercises. These included the Little Bear Mound (Mound 52), a conical mound (Mound 45), and two linear mounds (Mounds 19 and 20) within the Yellow River Prehistoric Indian Mounds Group. The Little Bear Mound and the conical mound are part of the Fire Point/ Procession Mound Group, 13AM190, while the two linear mounds are part of the Great Bear/Wildcat Mound Group, 13AM189. Magnetic gradient, resistance, magnetic susceptibility, seismic, self potential and ground penetrating radar surveys, along with a resistivity sounding, were conducted at the Little Bear Mound and at the two linear mounds (Bevan 1999a,1999b; Dalan 2000; De Vore 1999; Kvamme 1999; Watters 2001). Magnetic gradient, resistance, conductivity, and magnetic susceptibility data were collected at Mound 45 (De Vore 1999). During the week, additional magnetic and resistance data were collected by workshop participants at the Great Bear Mound (Mound 31: the Great Bear Mound is also part of the Great Bear/Wildcat Mound Group, 13AM189) near the Little Bear Mound and a bird effigy mound (Mound 82) within the Pleasant Ridge Mound Group, 13CT26 (also called the Marching Bear Mound Group), in the South Unit of the park (Kvamme 1999). The results from the magnetic and resistance surveys of these mounds indicated that the mounds were constructed of more magnetic and resistive materials than the surrounding natural soils and that the effigy perimeters reflected the removal of the natural A horizon during mound construction, which was in agreement with a soils study of mound construction (Parsons 1962).

MWAC archeologists Robert Nickel and Scott Stadler (Stadler and Nickel 1999) conducted archeological and geophysical investigations in proposed construction areas near the visitors center for a handicap walkway from the visitors center to a small mound group on the south side of State Highway 76 in 1999. The geophysical investigations consisted of magnetic surveys of grid units near the visitor's center encompassing a small mound group. The geophysical data indicated the presence of a small mound feature to the west of the group of four mounds. The authors identified the feature as a possible remnant of a small linear mound, which had been disturbed by an old road. Additional geophysical investigations of the Nazekaw Terrace Mound Group were conducted in 2008 as part of archeological investigations of the FTD Site, 13AM210, and the Red House Landing Site, 13AM228 by James Lindsay for his Master's thesis project (De Vore 2009; Lindsay 2009). The geophysical survey included magnetic, resistance, conductivity, and ground penetrating radar survey techniques. The geophysical data indicated subsurface remains of a group of three conical and two bear effigy mounds were present along the edge of the terrace along with indications that other mounds may have been present before cultivation activated destroyed the upper or visual portions of the mounds. The geophysical investigations also provided additional data on a bird and conical mound across the drainage in the wooded area north of the bear and conical mound group. Ground penetrating radar surveys by the Iowa Office of the State Archaeologist have also been conducted at the Sny Magill Mound Group unit (13CT18) of the Effigy Mounds National Monument in Clayton County, Iowa (Whittaker and Storey 2004,2005a) and at Site 13AM446 in the South Unit or the park in Allamakee County (Whittaker and Storey 2005b). These ground penetrating radar surveys indicated that ground penetrating radar was an effective tool for analyzing the prehistoric mounds at Effigy Mounds National Monument.

From:

De Vore, Steven L. and Anne M. Vawser

2011 Geophysical Investigations of the Nazekaw Terrace (Site 13AM82) and the Upper Meadow (Sites 13AM189 and 13AM191) along the Hanging Rock Trail, Effigy Mounds National Monument, Allamakee County, Iowa. Midwest Archeological Center, Technical Report No. ***, United State Department of the Interior, National Park Service, Midwest ARcheological Center, Lincoln, Nebraska

APPENDIX B

Nazekaw Terrace AKA Laird Farm site, 13AM82

13AM82 is the site that occupies the area north of the Yellow River and west of the Mississippi including the NPS Visitor Center, maintenance/housing area, boardwalk, etc. The site was first mentioned by T.H. Lewis (1898) as a mound group of some 56 or so mounds. It is occasionally referred to as the Lewis Mound Group. He did not map it, except for notes and measurements on five mounds (2 bears, 3 conicals) that occurred in a tight cluster. By Orr's time, most were no longer visible due to ongoing cultivation of portions of the terrace although a few were, and still are, visible. Orr mapped what was visible/obvious at that time. The park was created in late 1949 and archeological work was initiated under NPS direction in 1950. Paul Beaubien excavated three mounds within what is known as the Three Mound Group by the Visitor Center -- part of 13AM82 as currently defined -- in 1950 and 1952. Beaubien makes some comments in a Trip Report as the VC and its parking area are being developed. According to Beaubien other than the few still-visible mounds, the site had little further research potential, although he indicated points and other materials had been collected there. Beginning with Orr and continuing through Beaubien and others, it was generally assumed that the site was severely damaged and that only a few of the mounds remained intact. Jim Lindsay's MA Thesis challenges those findings and reveals that, although damaged, the five mounds mapped by Lewis in 1898 are still visible through geophysical investigation. De Vore and Vawser's geophysics indicate that many more are probably intact below the former plow zone.

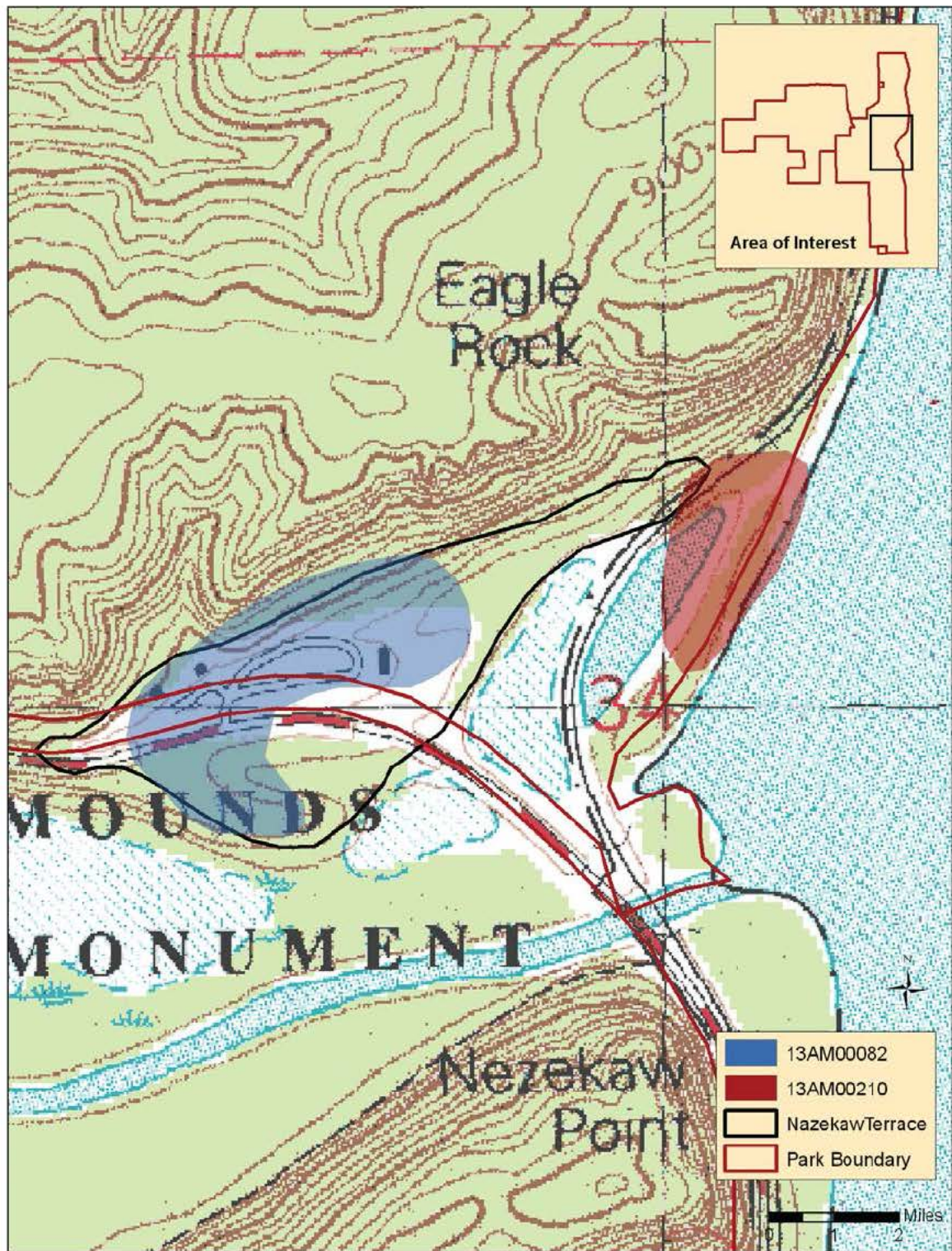


Figure . Portion of the _____ USGS 7.5' quadrangle showing the approximate boundaries of site 13AM82.

APPENDIX C
Maintenance Building Site, 13AM189

Need for parallel text and one location map for this site description.

DRAFT

APPENDIX D

Geophysical Investigations of the Nezekaw Terrace Mound Group (13AM82) and the Yellow River Prehistoric Indian Mounds (Sites 13AM189 and 13AM191) in the Upper Meadow at Effigy Mounds National Monument, Iowa Steven L. De Vore, Midwest Archeological Center

Geophysical investigations were conducted along the Nezekaw Terrace above the confluence of the Yellow and Mississippi Rivers as part of a project to remove a modern boardwalk from the visitor center yard to the mounds on the south side of the highway. Geophysical investigations were also conducted in the Upper Meadow north of the visitors center, which contains the Yellow River Prehistoric Indian Mounds Sites 13AM189 and 13AM191. The purpose of the project is to identify possible subsurface remains of non-visible mounds in the areas affected by park development.

Two archeologists and four archeological technicians from the Midwest Archeological Center (MWAC) worked 1,164 hours on the project. Six EFMO staff provided 48 hours of support during the project and two Native American monitors provided 320 hours of monitoring and support. One volunteer donated 16 hours of fieldwork.

The non-invasive and non-destructive investigations targeted the developed areas on the Nezekaw Terrace and at the Upper Meadow where numerous mounds were identified in the late 19th and early 20th centuries. The mounds are no longer visible because they have been severely compromised by historic agricultural activities. The remnants of five mounds had been identified during previous geophysical investigations of portions of the Nezekaw Terrace. The 2010 geophysical investigations using magnetic, resistance, and ground penetrating radar (GPR) survey techniques provided baseline data on the presence of remnant mounds within the two project areas at the park. The two geophysical project areas consisted of 15.96 acres.

Preliminary analysis of the data indicated the presence of numerous geophysical anomalies within both project areas. Based on the geophysical investigations associated with the boardwalk, its construction did not impact any extant or truncated mounds in this part of the Nezekaw Terrace Site. The magnetic and resistance surveys of the southern part of the Nezekaw Terrace confirmed the locations of the extant mounds, and provided evidence for the existence of truncated mounds. More recent impacts to the area are also indicated in the magnetic and resistance data. The same statement applies to the magnetic and resistance surveys of the northern part of the terrace site. The magnetic data from sites 13AM189 and 13AM191 on the Upper Meadow contain numerous anomalies associated with modern park activities and historic agricultural activities. Numerous dipole anomalies appear to represent ferrous metal objects, such as bolts, nuts, and farm equipment parts. The maintenance shed platform is indicated in the magnetic data. A linear magnetic anomaly at the southern end of the geophysical project area appears to represent a fence line extending down the slope from the southern linear mound. The existing gravel road is indicated by linear magnetic anomalies and older road beds are also visible in the data. The two linear mounds are identified by a mottled area of slightly weak and strong anomalies surrounded by a weak magnetic halo. Evidence for eleven possible conical mounds is present in the magnetic data including one at the head of the maintenance platform. Two bear effigy mounds, the wildcat/otter mound, long linear mounds, and associated conical mounds, are also evident in the data. Most of these mounds were thought to have been destroyed over 50

years ago. One rectangular magnetic anomaly of uncertain origin consists of alternating slightly weak and strong linear anomalies.

The estimated cost of the geophysical investigations for the first phase of the project was \$113,000.00. This entire amount was funded with ONPS base funds and expended completely in FY 2010.

DRAFT

APPENDIX E ARCHEOLOGICAL VALUE DETERMINATION

This value determination is based on the Society for American Archeology's (SAA) Professional Standards for the Determination of Archaeological Value guidelines (McAllister 2006). The categories below are taken from the SAA Standards and describe the rationale behind each line item:

SAA Standard 1 – Identification of the Archaeological Resources involved in the ARPA violation:

This standard is covered above in the section on "Archeological Resource Description."

SAA Standard 2 – Scale of Scientific Information Retrieval to be Used in Determining Archaeological Value:

In order to determine the Archaeological Value of the incident, it was necessary to develop a project scope and budget that would represent the scientific investigation of an area equivalent to the area disturbed. The project as conceived involves test excavation with follow-up laboratory, curation, and report preparation tasks. This cost estimate is based on the assumption that all activities would be conducted by staff from the Midwest Archeological Center (NPS-MWAC), National Park Service, Lincoln, Nebraska. The combined volumetric total of 747.36 cu ft for all types of disturbance at both sites was derived from the post-incident field documentation and is exclusively used as the basis for the determination of Archeological Value.

SAA Standard 3 – Methods of Scientific Information Retrieval

The data recovery budget was developed by MWAC and is consistent with professional standards of research design and execution. All associated costs are also commensurate with actual costs incurred for a project of this nature. There are no costs related to methods that would not actually be anticipated or undertaken in conjunction with a project of this nature.

However, since it is understood that no human remains were encountered in the construction of either the boardwalk footers or the maintenance building, there is no budget associated with the inadvertent discovery of human remains. The inadvertent discovery of human remains would necessitate a substantial modification of projected and real costs associated with this project to cover tribal notification, consultation, and treatment, and would be introduced on a contingency basis should such a discovery occur.

SAA Standard 4 – Scientific Information Retrieval Standards:

The types of retrieval, analysis, reporting and curation indicated in MWAC's data recovery plan are consistent with scientific information retrieval standards for sites of this type in this part of the country. All associated costs are also commensurate with actual costs incurred for a project of this nature.

The accompanying budget for this excavation and analysis does not include time and costs associated with future restoration and repair (e.g., backfilling and stabilizing the site after fieldwork is concluded).

The line items in the EFMO Boardwalk to the Lewis Mound Group are based upon the standard budget categories used for all National Park Service projects. The budget estimate was developed in the same manner that the Midwest Archeological Center estimates and budgets all of its projects. This budget was designed as an "in-house" project for NPS staff.

Personnel (1100)

Personnel costs were developed on the basis of known costs for a full performance Project Archeologist and three Archeological Technicians. The experience, education and training of Archeologist position must meet or exceed the Secretary of Interior's Standards for Archeologist. The budget depicts costs for one of the Center's experienced professional archeologists who has previously worked at EFMO. The cost for Archeological Technician is a standard cost based upon a government benchmark for this position.

The amount of time shown for these personnel is based upon excavation of about one 1-x-1-m test unit each day by a team of two persons, equaling about 38 units over the course of the project. Since the units are assumed to be excavated to 50 cm below surface, this would equate to 19 cu m which is the amount of damage that occurred at the site due the placement of the footers and posts for the boardwalk spur trail.

Prefield costs are for developing a research design/Work Plan and for preparing field gear for the project. Post field costs are for artifact cleaning, curation, analysis, cataloging and report writing and formatting, including all maps and other graphics.

Travel (2100)

This category is based upon standard government costs for motel and meals and incidental expenses and is an amount set for the project area.

Transportation (2200)

Vehicle costs were calculated based upon a vehicle leased by MWAC from GSA and are actual amounts for leasing the vehicle in addition to costs for fuel.

Printing and Publication (2400)

This cost is for printing of the project final report, which the Center accomplishes via a Government Printing Office contractual arrangement with a local Lincoln, NE company.

Services (2500)

These costs include funds for tribal consultation in advance of the project and for the presence of a tribal monitor during fieldwork.

Support costs (3100)

This cost is for administrative and other support costs borne by the Center for the project. It is used to pay salaries and benefits for administrative staff that process all travel authorizations and payment documentation, payroll, purchasing of supplies and equipment, and all activities related to the operation of the Center. These employees are not base funded, so the costs for their work must be borne by project funds. The funds in

this budget category are also used for maintenance of Center equipment and other related needs that are not depicted in specific line items in a project budget. This is a standard percentage that is applied to all Center projects, regardless of their scope. Private archeological contractors also use a support cost category in their budgets or include those amounts in other line items such as Personnel.

Table 1. Budget for Archeological Value.

Personnel (1100)		
Pre fieldwork (write Work Plan and prepare for fieldwork)		
Archeologist GS 12/9 .5 pp @ \$4449/pp		\$2,224.50
Archeological Technician GS 5/1 .5 pp @ \$1292/pp		\$646.00
Fieldwork		
Archeologist GS 12/9 2 pp @4449/pp		\$8,898.00
Archeological Technician GS 5/1 2 pp @ \$1292/pp		\$2,584.00
Archeological Technician GS 5/1 2 pp @ \$1292/pp		\$2,584.00
Archeological Technician GS 5/1 2 pp @ \$1292/pp		\$2,584.00
Post fieldwork (analysis, report preparation)		
Archeologist GS 12/9 X 4 pp @ \$4449/pp		\$17,796.00
Archeological Technician GS 5/1 4 pp @ \$1292/pp		\$5,168.00
Visual Information Specialist GS 11/4 1 pp @3174/pp		\$3,174.00
Post Fieldwork (cataloging estimated @ \$3/object by GS 5 x ~1900 objects + oversight)		
Archeological Technician GS 5/1 x 4.5 pp @\$1292/pp		\$5,814.00
Archeological Technician GS 7/7 x .5 pp x @2650/pp		\$1,325.00
	Subtotal	\$52,797.50
Travel (2100)		
Per diem		
26 days x 4 persons x 123/day (motel 77/day, M&IE 46/day)		\$12,792.00
	Subtotal	\$12,792.00
Transportation (2200)		
GSA Vehicle (2011 Dodge Caravan)		
7.42/day x 26 days		\$114.92
.195/mile x 824 miles round trip		\$160.68
.195/mile x 10 miles/day x 26 days		\$50.70
	Subtotal	\$326.30
Rent, Communications and Utilities (2300)		0
Printing and Publication (2400)		
Report printing		\$500.00
Services (2500)		
Tribal Consultation		\$2,500.00

Tribal on-site monitor	\$2,500.00
	Subtotal \$5,000.00
Supplies (2600)	
Miscellaneous lab and field supplies	\$200.00
Equipment (3100)	
0	
	Total \$71,835.00
Support costs (9100) (Direct costs x .3)	\$21,330.50
	Total \$93,165

DRAFT

APPENDIX F COST OF RESTORATION AND REPAIR

[Probably the most important portion of this entire document is the relationship between Arch Value and Cost of R&R, and how the numbers were obtained. Please identify any ambiguities or areas that need further explication for clarity's sake. I think that we are on firm ground, but need to be absolutely certain that our readers come to the same conclusion.]

The ARPA Uniform Regulations define the term “cost of restoration and repair” as follows:

... the cost of restoration and repair of archaeological resources damaged as a result of a violation ... shall be the sum of the costs already incurred for emergency restoration or repair work, plus those costs projected to be necessary to complete restoration and repair, which may include, but need not be limited to the costs of the following:

- (1) Reconstruction of the archaeological resource;
- (2) Stabilization of the archaeological resource;
- (3) Ground contour reconstruction and surface stabilization;
- (4) Research necessary to carry out reconstruction or stabilization;
- (5) Physical barriers or other protective devices, necessitated by the disturbance of the archaeological resource, to protect it from further disturbance;
- (6) Examination and analysis of the archaeological resource including recording remaining archaeological information, where necessitated by disturbance, in order to salvage remaining values which cannot be otherwise conserved;
- (7) Reinterment of human remains in accordance with religious custom and State, local, or tribal law, where appropriate, as determined by the Federal land manager;
- (8) Preparation of reports related to any of the above activities (43 CFR 7.14(c)(1)-(8)).

MWAC was requested to conduct a geophysical investigation of the entire Nezekaw Terrace landform to provide comprehensive archeological resources that would need to be considered in both present and future actions. This type of study is typically done early in the planning process so that mitigative alternatives can be identified, plans adjusted, further research completed.

The project was done by MWAC, cost approximately \$113,000 paid for with ONPS base funds and completed in FY2010 (Jeffrey Richner, personal communication 2012). The

scope of this project included the boardwalk area, the maintenance area, the parking lot, and an area behind the visitor center. The latter two areas are not considered part of this incident and must, in the interest of fairness and accuracy, be excluded from this cost estimate. In order to ascertain the costs specifically associated with the boardwalk and maintenance areas the following strategy was followed: The determination of Archeological Value produced a cost estimate based on a project that would have been conducted at these locations prior to the damage that occurred. All of the elements expressed in the budget and accompanying budget explanation are things that did actually take place in the context of the post-incident follow-up actions and, therefore, are a legitimate, accurate, and defensible cost estimate for Emergency Restoration and Repair. Therefore, of the total figure of \$113,000 that was spent on post incident investigations, the amount of \$93,165 is directly associated with this incident. These costs are itemized under the determination of Archeological Value (Appendix ___ above).

Actual costs incurred are also allowable in the Cost of Restoration & Repair. In this report, these are limited to the time spent in the research and creation of this Damage Assessment Document (Table 2). Loaded rates reflect the actual costs incurred by the United States Government. The total actual costs are \$1,798.

Future Restoration and Repair costs could include the removal of the concrete posts that supported the boardwalk and for archeological evaluation of the temporary maintenance shed. Insofar as the decisions about what, if any, steps to take to restore or repair this site must be made through Tribal and State Historic Preservation Officer consultation, and this decision has not been reached, there will be no added amount for future restoration and repair.

Table 2. Cost of Restoration & Repair: Actual Costs

Position & Grade	Loaded hourly rate	Total Hours	Total Cost
Cultural Resource Management Specialist GS13/2 (0101 series)	\$55.32	19.45	\$1,075
Supervisory Archeologist GS12/9 (0193 series)	\$55.62	1.5	\$83
Supervisory Archeologist GS13/5 (0193 series)	\$53.41	12	\$640
TOTAL			\$1,798

The sum of the Cost of Restoration & Repair is **\$94,963** based on the combination of actual costs and costs of emergency restoration and repair as defined above.

Supporting
Records:

Damage
Assessment

**ARCHEOLOGICAL DAMAGE ASSESSMENT
EFFIGY MOUNDS NATIONAL MONUMENT**

OI-HQ-10-06228-R

March 26, 2013

**Caven Clark, PhD
Cultural Resource Management Specialist
Buffalo National River
National Park Service
United States Department of the Interior**

ADMINISTRATIVE SUMMARY

In 2007 prehistoric archeological site 13AM189 was damaged in the construction of a maintenance building. This site is within the boundary of Effigy Mounds National Monument, Allamakee County, Iowa, where it is managed by the National Park Service.

The following damage assessment values were determined as a result of this activity:

Commercial Value	\$00
Archaeological Value	\$41,653
Restoration and Repair	\$43,451

As per the prohibited acts and criminal penalties section of ARPA (16 USC 470ee), the cost of restoration and repair can be combined with either the archeological or commercial values involved in the violation to comprise the total value of the archeological resource damage. The monetary damage amount is determined by combining (1) the commercial value and the cost of restoration and repair of these resources \$43,451 or (2) the archeological value and the cost of restoration and repair of the resource \$84,104.

TABLE OF CONTENTS

Introduction

Field Damage Assessment Procedures

Archeological Resource Description

Archeological Resource Damage

 Damage Description at the Maintenance Bldg Site, 13AM189

Value and Cost Determinations

 Commercial Value

 Archeological Value

 Cost of Restoration and Repair

Summary and Conclusions

Appendix A: Cultural Resource Investigations

Appendix B: Maintenance Building Site: Great Bear/Wildcat Mound Group 13AM189

Appendix C: Geophysical Investigations

Appendix D: Archeological Value Determination

Appendix E: Cost of Restoration and Repair

DRAFT

LIST OF FIGURES

- Figure 1 Location of Effigy Mounds National Monument.
- Figure 2 Location of EFMO archeological sites on the Prairie du Chien Wisconsin-Iowa USGS 7.5' topographic map.
- Figure 3 Lidar image showing location of maintenance building relative to archeological features and archeological site boundary. Rectangular image southwest of dashed-red circle is the building platform shown in Figures 4 and 5.
- Figure 4 Construction phase view of maintenance building.
- Figure 5 Maintenance building platform after construction and removal of superstructure.
- Figure 6 Portion of the Prairie du Chien Wisconsin-Iowa USGS 7.5' quadrangle showing the approximate boundaries of site 13AM189.
- Figure 7 Lidar-based image showing the location of the maintenance area relative to other mounds and results of site testing.
- Figure 8 Detail of lidar-based image showing the location of the maintenance area relative to other mounds and results of site testing.

LIST OF TABLES

Table 1. Budget for Archeological Value

Table 2. Cost of Restoration & Repair

DRAFT

INTRODUCTION

The author was contacted by National Park Service, Special Agent Barland-Liles on December 6, 2011 who requested his assistance through Buffalo National River Superintendent. Work on this Damage Assessment was initiated on this date with the assistance of the Midwest Archeological Center, Lincoln, Nebraska.

FIELD DAMAGE ASSESSMENT PROCEDURES

Because of the nature of this case, there were no immediate follow-up actions by archeologists to document the damage to the sites. However, once the damage was identified, archeologists from the Midwest Archeological Center (MWAC), National Park Service, Lincoln, Nebraska were dispatched to document the disturbed/damaged areas. Several steps of Emergency Restoration and Repair were undertaken at this time and are detailed in Appendix E.

ARCHAEOLOGICAL RESOURCE DESCRIPTION

ARPA states that, "the term "archaeological resource" means any material remains of past human life or activities which are of archaeological interest ... at least 100 years of age" (16 USC 470bb(1)). In the ARPA Uniform Regulations, the term "material remains" is defined as, "... physical evidence of human habitation, occupation, use, or activity, including the site, location, or context in which such evidence is situated" (43 CFR 7.3(a)(2)). The ARPA Uniform Regulations state that, "'Of archaeological interest' means capable of providing scientific or humanistic understandings of past human behavior, cultural adaptation, and related topics through the application of scientific or scholarly techniques such as controlled observation, contextual measurement, controlled collection, analysis, interpretation and explanation" (43 CFR 7.3(a)(1)).

The following classes of material remains (and illustrative examples) if they are at least 100 years of age, are of archaeological interest and shall be considered archaeological resources unless determined otherwise pursuant to paragraph (a)(4) or (a)(5) of this section:

- (i) Surface or subsurface structures, shelters, facilities, or features (including, but not limited to, domestic structures, storage structures, cooking structures, ceremonial structures, artificial mounds, earthworks, fortifications, canals, reservoirs, horticultural/agricultural gardens or fields, bedrock mortars or grinding surfaces, rock alignments, cairns, trails, borrow pits, cooking pits, refuse pits, burial pits or graves, hearths, kilns, post molds, wall trenches, middens);
- (ii) Surface or subsurface artifact concentrations or scatters;
- (iii) Whole or fragmentary tools, implements, containers, weapons and weapon projectiles clothing, and ornaments (including, but not limited to, pottery and other ceramics, cordage, basketry and other weaving, bottles and other glassware, bone, ivory, shell, metal, wood, hide, feathers, pigment, and flaked, ground or pecked stone);

- (iv) By-products, waste products, or debris resulting from the manufacture or use of human-made or natural materials;
- (v) Organic waste (including, but not limited to, vegetal and animal remains, coprolites);
- (vi) Human remains (including, but not limited to, bone, teeth, mummified flesh, burials, cremations);
- (vii) Rock carvings, rock paintings, intaglios and other works of artistic or symbolic representation;
- (viii) Rockshelters and caves or portions thereof containing any of the above material remains;
- (ix) All portions of shipwrecks (including, but not limited to, armaments, apparel, tackle, cargo);
- (x) Any portion or piece of any of the foregoing” 43 CFR 7 (A)(3)).

Effigy Mounds National Monument was established by a Presidential Proclamation by Harry S. Truman on October 25, 1949 under the Antiquities Act of 1906 (Presidential Proclamation No. 2860, October 25, 1949, 64th Statutes at Large, 81st Congress 2d Session 64 Part 2:A371: EFMO 1994:1; Truman 1949). The national monument was established to protect the significant prehistoric mounds in the northeastern corner of Iowa, as well as the wildlife, scenery, and other natural resources of the region. The park encompasses 2,526 acres with more than 200 known prehistoric mounds (HRA Gray & Pape 2003:2-3). The mounds were constructed between 700 and 2,500 years ago, greatly exceeding the 100-year threshold required by ARPA. The earthen mounds in the northeastern part of Iowa were described as having “*great scientific interest because of the variety of their forms, which include animal effigy, bird effigy, conical, and linear types, illustrative of a significant phase of the mound-building culture of the prehistoric American Indians* (Truman 1949). The monument consists of the Jennings-Liebhardt or South Unit, the Yellow River or North Unit, Heritage Addition, and Sny Magill Units.

Another indicator of the archaeological interest of Effigy Mounds National Monument, including the sites in question, and the archaeological resources they contain is the status of this district relative to inclusion in the National Register of Historic Places (NRHP). The NRHP was created by the National Historic Preservation Act of 1966 (P.L. 89-665; 80 Stat. 915; 16 U.S.C. 470), as amended, as a register of, “... districts, sites, buildings, structures, and objects significant in American history, architecture, archeology, engineering, and culture” (16 U.S.C. 470a(a)(1)(A)). The entire monument was placed on the NRHP in 1966. A district that is eligible for inclusion in the NRHP definitely has archaeological interest as this term is defined by ARPA. Appendix A presents a summary of archeological research previously undertaken at EFMO.



Figure 1. Location of Effigy Mounds National Monument

ARCHAEOLOGICAL RESOURCE DAMAGE

The subject land is held in fee simple by the National Park Service, United States Department of the Interior. No permit was in place to authorize the types of activities that resulted in the damages to the archeological site. Damage to archeological resources was identified in one area representing a previously recorded archeological site: 13AM189.

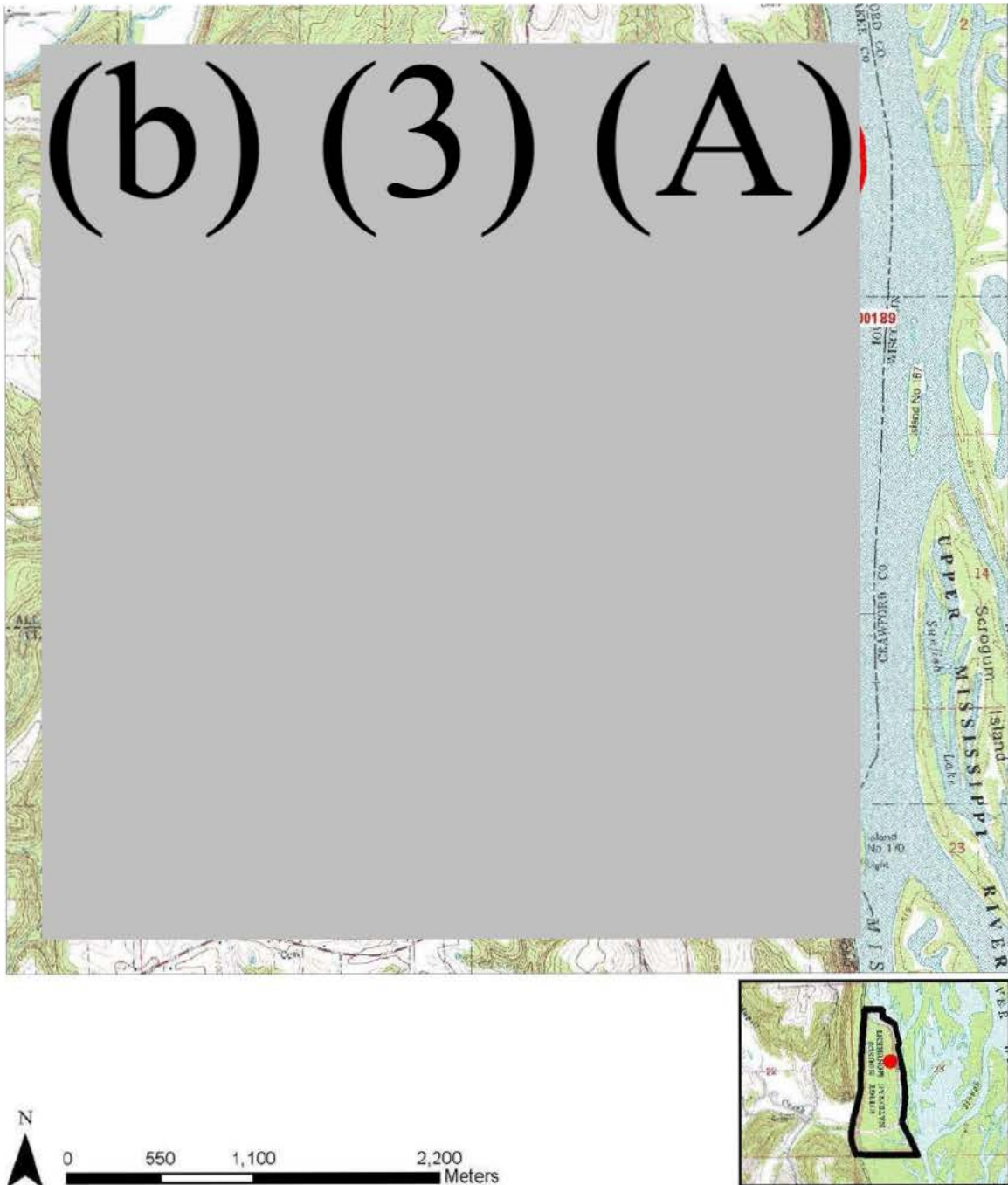


Figure 2. Location of EFMO archeological sites on the Prairie du Chien Wisconsin-Iowa USGS 7.5' topographic map.

Damage Description at the Maintenance Bldg Site, 13AM189

Archeological background to site 13AM189 is presented in Appendix B. Damage to archeological resources to site 13AM189, consists of 22 round excavations dug to form poured concrete footers for wooden piers/posts that supported a wooden and gravel pad or platform on which a structure was built. Each footer measures one ft (.305 m) in diameter and is 4 ft (1.2192 m) deep. This equates to 3.14 ft³ (.088 m³) of disturbance per post. The total volume of disturbance is determined to be 69.12 ft³ (1.93 m³). (Figures 3-5).

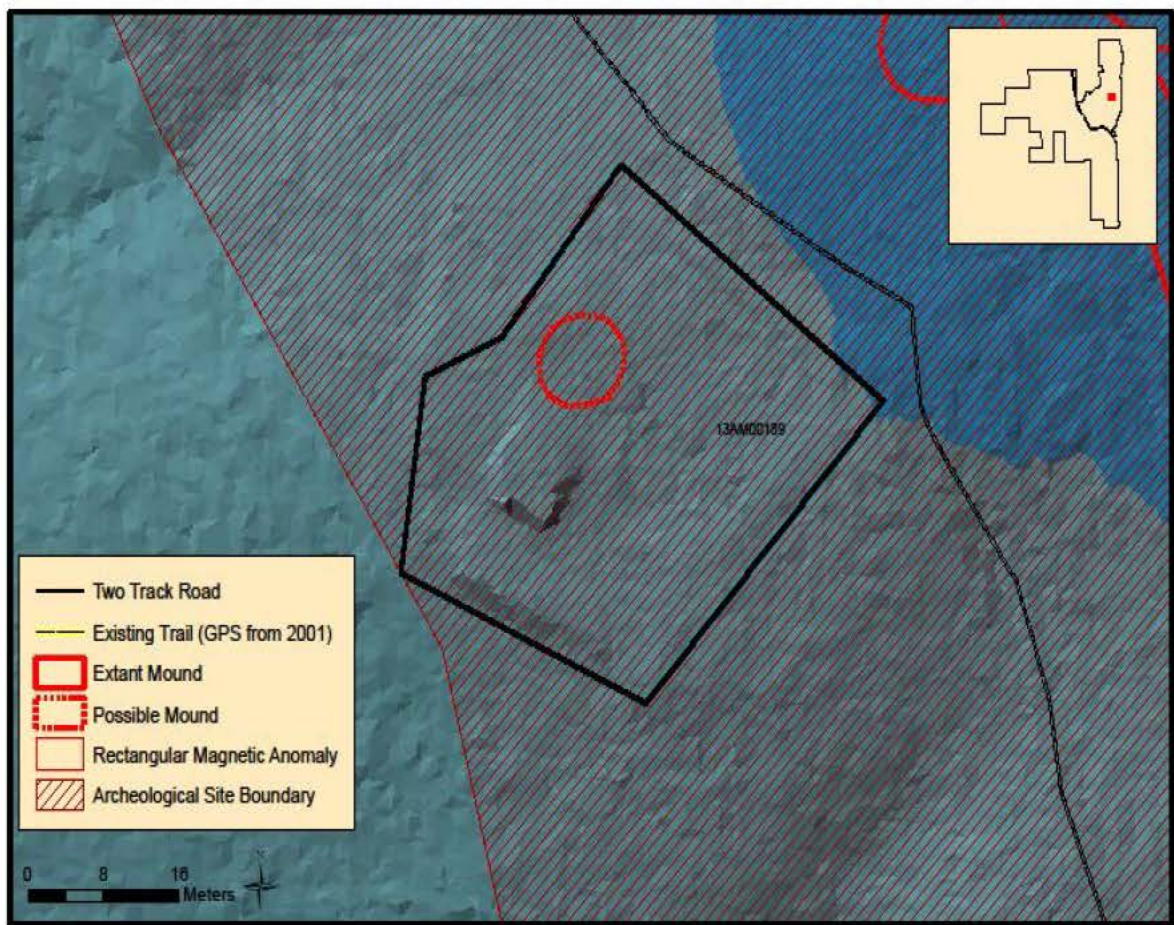


Figure 3. Lidar image showing location of maintenance building relative to archeological features and archeological site boundary. Rectangular image southwest of dashed-red circle is the building platform shown in Figures 8 and 9.



Figure 4. Construction phase view of maintenance building.



Figure 5. Maintenance building platform after construction and removal of superstructure.

VALUE AND COST DETERMINATIONS

The “Prohibited Acts and Criminal Penalties” section of ARPA (16 USC 470ee) identifies three monetary values that will be considered in relation to the penalty for the offense. These are the “commercial value” or the “archaeological value” of the archaeological resources involved in the violation and the “cost of restoration and repair” of these resources (16 USC 470ee(d)). Procedures for determining these figures are established in the ARPA Uniform Regulations (43 CFR 7.14).

COMMERCIAL VALUE

The ARPA Uniform Regulations define the term “commercial value” as follows:

... the commercial value of any archaeological resource involved in a violation ... shall be its fair market value. Where the violation has resulted in damage to the archeological resource, the fair market value should be determined using the condition of the archaeological prior to the violation, to the extent that its prior condition can be ascertained (43 CFR 7.14(b)).

It is unknown if any objects were removed from the sites during the construction process. With no physical objects upon which to base this determination of value, the commercial value in this case is \$00.

ARCHAEOLOGICAL VALUE

The ARPA Uniform Regulations define the term “archaeological value” as follows:

... the archaeological value of any resource involved in a violation ... shall be the value of the information associated with the archaeological resource. This value shall be appraised in terms of the costs of the retrieval of the scientific information which would have been obtainable prior to the violation. These costs may include, but need not be limited to, the cost of preparing a research design, conducting field work, carrying out laboratory analysis, and preparing reports as would be necessary to realize the information potential (43 CFR 7.14(a)).

The archaeological value of a scientific data retrieval strategy at the 13AM189 sites was calculated to be \$41,653 (Appendix D, Table 1). This figure was determined using the Society for American Archeology’s (SAA) Professional Standards for the Determination of Archaeological Value guidelines (McAllister 2006).

The data recovery plan for retrieval of scientific information from these sites prior to damage is presented in full in Appendix D. The volumetric total of 69.12 ft³ (1.93 m³) for all types of disturbance at this site was derived from the post-incident field documentation and is exclusively used as the basis for the determination of Archeological Value.

The data recovery plan and budget (Appendix D, Table 1) was developed by MWAC and is consistent with professional standards of research design and execution. The types of retrieval, analysis, reporting and curation indicated in MWAC’s data recovery plan are

consistent with scientific information retrieval standards for sites of this type in this part of the country. There are no costs related to methods that would not actually be anticipated or undertaken in conjunction with a project of this nature.

However, since it is understood that no human remains were encountered in the construction of the maintenance building, there is no budget associated with the inadvertent discovery of human remains. The inadvertent discovery of human remains would necessitate a substantial modification of projected and real costs associated with this project to cover tribal notification, consultation, and treatment, and would be introduced on a contingency basis should such a discovery occur.

COST OF RESTORATION AND REPAIR

The determination of the Cost of Restoration and Repair is fully explained in Appendix E. In brief ... “the cost of restoration and repair of archaeological resources damaged as a result of a violation ... shall be the sum of the costs already incurred for emergency restoration or repair work, plus those costs projected to be necessary to complete restoration and repair.”

In this case the elements of the ARPA Uniform Regulations that pertain include: research necessary to carry out reconstruction or stabilization; examination and analysis of the archaeological resource including recording remaining archaeological information, where necessitated by disturbance, in order to salvage remaining values which cannot be otherwise conserved; and preparation of reports related to any of the above activities (43 CFR 7.14(c)(1)-(8)).

The costs were derived from the **actual** response by MWAC in 2010 which conducted a geophysical investigation at a cost approximately \$113,000 (Jeffrey Richner, personal communication 2012). The scope of this project included the boardwalk area on Nazekaw Terrace, the maintenance area, and two additional areas (a parking lot, and an area behind the visitor center). Only the maintenance area is considered part of this incident and the others have been, in the interest of fairness and accuracy, excluded from this cost estimate.

In order to ascertain the costs specifically associated with the maintenance area the following strategy was followed:

- The determination of Archeological Value produced a cost estimate based on a project that would have been conducted at these locations prior to the damage that occurred.
- All of the elements expressed in the budget and accompanying budget explanation for Archeological Value are things that *did actually take place* in the context of the post-incident follow-up actions (minus the investigation of the parking lot and area behind the visitor center) and, therefore, are a legitimate, accurate, and defensible cost estimate for Emergency Restoration and Repair.
- Of the total figure of \$113,000 that was spent on post incident investigations by MWAC, the amount of \$41,653 is directly associated with this incident.

Actual costs incurred are also allowable in the Cost of Restoration & Repair. In this report, these are limited to the time spent in the research and creation of this Damage

Assessment Document. Emergency restoration and repair costs are itemized in Appendix E, Table 2; other actual expenditures are itemized in Appendix E, Table 3). The combined costs of emergency restoration and repair and time expended preparing this assessment is **\$43,451**.

DRAFT

SUMMARY AND CONCLUSION

Archeological resource damage to the 13AM189 site consisted of the unauthorized excavation, removal, damage, and alteration of an archaeological site. The damage was documented and assessed, and this report of findings was prepared. The nature of the incident allowed for the determination of all three values described under 43 CFR PART 7.14: the cost of restoration and repair, the commercial value, and archaeological value.

As per the prohibited acts and criminal penalties section of ARPA (16 USC 470ee), the cost of restoration and repair can be combined with either the archaeological or commercial values involved in the violation to comprise the total value of the archaeological resource damage:

Archaeological Value	\$41,653
<u>Cost of Restoration and Repair</u>	<u>\$43,451</u>
Total	\$84,104

OR

Commercial Value	\$00
<u>Cost of Restoration and Repair</u>	<u>\$43,451</u>
Total	\$43,451

APPENDIX A
Cultural Resource Investigations
(DeVore and Vawser 2011:4-7)

The cultural resource investigations at the Effigy Mound National Monument have produced numerous archeological reports. The prehistory and history of the area have been consolidated into an archeological overview and assessment of the park (Benn and Stadler 2004), a historic resource study (HRA Gray & Pape 2003), and an administrative history (O'Bright 1989) of the Effigy Mounds National Monument, which formed the basic elements for the archeological resources management within the boundary of the park. A general overview of the park may be found in Dennis Lenzendorf's 2000 guide to the national monument. The first extensive mound investigations in the vicinity of the present park boundaries in northeastern Iowa occurred in the 1880s by Alfred J. Hill and Theodore H. Lewis (Benn and Stadler 2004:4; HRA Gray & Pape 2003:31-34; Lenzendorf 2000:52-56; O'Bright 1989:41-42). Lewis conducted the fieldwork and sent detailed notes back to Hill who compiled the notes into detailed measured drawings. The Lewis-Hill survey maps formed the basis of subsequent mound studies since many of the extent mounds from the 1880s were destroyed or obliterated by agricultural and other activities before the establishment of the national monument. Modern mound studies within the region began in the 1920s under the direction of Dr. Charles R. Keyes, Iowa's first State Archaeologist, and Ellison Orr, Keyes' assistant and supervisor of the Iowa Archeological Survey (Benn and Stadler 2004:5-6; HRA Gray & Pape 2003:42; Lenzendorf 2000:61-76; O'Bright 1989:42-46; Palmer 2009:34-37,58-59). Orr (1936,1939) resurveyed many of Lewis' original mound investigations, including the Nazekaw Terrace Mound Group (13AM82) and the Yellow River Prehistoric Indian Mounds Group (including Sites 13AM189 and 13AM191), and excavated several uninvestigated mounds during his tenure at the Iowa Archeological Survey.

The Nazekaw Terrace is a prominent terrace on the left bank of the Yellow River at its confluence with the Mississippi River in the North Unit of the park (Benn and Stadler 2004:15-17). T. H. Lewis named the terrace in 1892 after the Nazekaw townsite and grist mill at the eastern end of the bluff above the mouth of the Yellow River, which was platted but never developed (Benn and Stadler 2004:31). During his survey of the Nazekaw Terrace in 1892, Lewis identified 63 mounds including Mounds 55-61. The mounds included two bear effigies and three conical mounds, which were reported on his field map. In addition to this mound group, he also reported 39 conical mounds, six compounds, 12 embankments and one ruined tailless animal (Orr 1939:105-107). In 1926, Orr remapped the cultivated terrace (Figure 2), which resulted in the identification of only four conical mounds noted by Lewis (Orr 1939:105-107). NPS archeologist Paul Beaubien located two more linear mounds and two conical mounds in 1950 that were apparently not noticed by Orr in 1926 (Beaubien 1952). Farmstead activities, including agricultural cultivation, had destroyed the majority of mounds identified by Lewis by the time Orr reinvestigated the terrace in 1926. Benn and Stadler (2004:15-17, 20) provided a summary of the archeological investigations at the Nazekaw Terrace Mound Group in their archeological overview and assessment of the park.

The Nazekaw Terrace also extends into the park's South Unit (Benn and Stadler 2004:19-20). State Highway 76 divided the North and South Units of the park. Four

mounds (Mounds 58-61) of the Nazekaw Terrace Mound Group are located on the south side of the highway (Figure 3). These mounds were first recorded by Lewis-Hill survey in 1892. Ellison Orr recorded one mound near the old roadbed of State Highway 76 (Benn and Stadler 2004:20). Beaubien (1952) recorded two linear mounds and two conical mounds on the terrace south of the highway.

In the upper meadow area, the Great Bear/Wildcat Mound Group (13AM189) consists of 19 mounds (Mounds 19-32 and 92-96) including two bear effigy mounds, four linear mounds, and seven conical mounds which are still present (Benn and Stadler 2004:12-13). The remaining six mounds in the group were plowed down between 1902 and 1931 (Benn and Stadler 2004:115-116,118; Orr 1939:83) including the wildcat effigy mound and two bear effigy mounds at the north end of Site 13AM189 (Figure 4). The mound group was originally identified as part of the Yellow River Prehistoric Indian Mounds Group by Ellison and Harry Orr (Palmer 2009:36). Today the Yellow River Prehistoric Indian Mounds Group has been divided into 10 separate sites (Benn and Stadler 2004:124-126). Site 13AM191, the Long Embankment Mound Group (Mounds 95 and 96), contained a linear and a conical mound (Figure 4) when the mounds were recorded by the Orr family in 1902 (Benn and Stadler 2004:118,124). The two mounds were plowed down between 1902 and 1931 (Benn and Stadler 2004:118). Benn and Stadler (2004:12-13) provided a summary of the archeological investigations at the Great Bear/Wildcat Mound Group in their archeological overview and assessment of the park.

Geophysical investigations of mounds at the park have been conducted since 1982 when Bruce Bevan (1982) conducted a ground penetrating radar survey of the Little Bear Mound (Mound 52) in the Yellow River Prehistoric Indian Mounds Group. The data indicated the presence of a planar feature in the head region of the Little Bear Mound. The annual National Park Service archeological prospection workshop was held at Effigy Mounds National Monument (De Vore 1999; Lynott and De Vore 1999). During the workshop, three different types of mounds were selected for the field exercises. These included the Little Bear Mound (Mound 52), a conical mound (Mound 45), and two linear mounds (Mounds 19 and 20) within the Yellow River Prehistoric Indian Mounds Group. The Little Bear Mound and the conical mound are part of the Fire Point/ Procession Mound Group, 13AM190, while the two linear mounds are part of the Great Bear/Wildcat Mound Group, 13AM189. Magnetic gradient, resistance, magnetic susceptibility, seismic, self potential and ground penetrating radar surveys, along with a resistivity sounding, were conducted at the Little Bear Mound and at the two linear mounds (Bevan 1999a,1999b; Dalan 2000; De Vore 1999; Kvamme 1999; Watters 2001). Magnetic gradient, resistance, conductivity, and magnetic susceptibility data were collected at Mound 45 (De Vore 1999). During the week, additional magnetic and resistance data were collected by workshop participants at the Great Bear Mound (Mound 31: the Great Bear Mound is also part of the Great Bear/Wildcat Mound Group, 13AM189) near the Little Bear Mound and a bird effigy mound (Mound 82) within the Pleasant Ridge Mound Group, 13CT26 (also called the Marching Bear Mound Group), in the South Unit of the park (Kvamme 1999). The results from the magnetic and resistance surveys of these mounds indicated that the mounds were constructed of more magnetic and resistive materials than the surrounding natural soils and that the effigy perimeters reflected the removal of the natural A horizon during mound construction, which was in agreement with a soils study of mound construction (Parsons 1962). MWAC archeologists Robert Nickel and Scott Stadler (Stadler and Nickel 1999) conducted archeological and geophysical investigations in proposed construction areas near the visitors center for a handicap walkway from the visitors center to a small mound group on the south side of

State Highway 76 in 1999. The geophysical investigations consisted of magnetic surveys of grid units near the visitor's center encompassing a small mound group. The geophysical data indicated the presence of a small mound feature to the west of the group of four mounds. The authors identified the feature as a possible remnant of a small linear mound, which had been disturbed by an old road. Additional geophysical investigations of the Nazekaw Terrace Mound Group were conducted in 2008 as part of archeological investigations of the FTD Site, 13AM210, and the Red House Landing Site, 13AM228 by James Lindsay for his Master's thesis project (De Vore 2009; Lindsay 2009). The geophysical survey included magnetic, resistance, conductivity, and ground penetrating radar survey techniques. The geophysical data indicated subsurface remains of a group of three conical and two bear effigy mounds were present along the edge of the terrace along with indications that other mounds may have been present before cultivation activated destroyed the upper or visual portions of the mounds. The geophysical investigations also provided additional data on a bird and conical mound across the drainage in the wooded area north of the bear and conical mound group. Ground penetrating radar surveys by the Iowa Office of the State Archaeologist have also been conducted at the Sny Magill Mound Group unit (13CT18) of the Effigy Mounds National Monument in Clayton County, Iowa (Whittaker and Storey 2004,2005a) and at Site 13AM446 in the South Unit or the park in Allamakee County (Whittaker and Storey 2005b). These ground penetrating radar surveys indicated that ground penetrating radar was an effective tool for analyzing the prehistoric mounds at Effigy Mounds National Monument.

From:

De Vore, Steven L. and Anne M. Vawser

2011 Geophysical Investigations of the Nazekaw Terrace (Site 13AM82) and the Upper Meadow (Sites 13AM189 and 13AM191) along the Hanging Rock Trail, Effigy Mounds National Monument, Allamakee County, Iowa. Midwest Archeological Center, Technical Report No. ***, United State Department of the Interior, National Park Service, Midwest Archeological Center, Lincoln, Nebraska

APPENDIX B
Maintenance Building Site: Great Bear/Wildcat Mound Group 13AM189

In the upper meadow area, the Great Bear/Wildcat Mound Group (13AM189) consists of 19 mounds (Mounds 19-32 and 92-96) including two bear effigy mounds, four linear mounds, and seven conical mounds which are still present (Benn and Stadler 2004:12-13). The remaining six mounds in the group were plowed down between 1902 and 1931 (Benn and Stadler 2004:115-116,118; Orr 1939:83) including the wildcat effigy mound and two bear effigy mounds at the north end of Site 13AM189 (Figure 4). The mound group was originally identified as part of the Yellow River Prehistoric Indian Mounds Group by Ellison and Harry Orr (Palmer 2009:36). Today the Yellow River Prehistoric Indian Mounds Group has been divided into 10 separate sites (Benn and Stadler 2004:124-126). Site 13AM191, the Long Embankment Mound Group (Mounds 95 and 96), contained a linear and a conical mound (Figure 4) when the mounds were recorded by the Orr family in 1902 (Benn and Stadler 2004:118,124). The two mounds were plowed down between 1902 and 1931 (Benn and Stadler 2004:118). Benn and Stadler (2004:12-13) provided a summary of the archeological investigations at the Great Bear/Wildcat Mound Group in their archeological overview and assessment of the park.

Excerpt from Benn and Stadler 2004, Effigy Mounds National Monument, Archeological Overview and Assessment, pages 12-13 (citations removed).

The Great Bear or Wildcat Mound Group contained 19 mounds of which only 13 (two bears, four linears, and seven conicals); ... are distinct today...The group was originally recorded under 13 AM82 but was later assigned a separate site number 13 AM189). The Great Bear Group takes its name from Mound 31, the largest bear effigy mound within EFMO and the only bear mound effigy within the park lying on its left side.

Harry Orr survey the mounds in this group in 1902 and produced a map a year or two after the survey...

Several of the mounds recorded by Orr are either no longer visible or barely discernable. Mounds 92-96 were assigned to two bear effigies, one wildcat (lynx?)effigy, a linear and a conical. Ellison Orr states that all of these mounds were destroyed by cultivation before 1931...Jeffrey Richner of the Midwest Archeological Center attempted to locate these mounds in 1978, but only one of the missing mounds, a bear effigy, could be discerned...At the time of Beaubien's excavation of Linear Mound 19 in 1950, the field was cultivated and part of Mound 19 had been damaged...Mound 19 is located very close to Mound 92, the wildcat effigy. Beaubien searched for the other reported mounds but could not locate them. This is likely the reason these mounds were not given monument numbers until Gordon assigned numbers around 1962.

A 1995 NPS team composed of cultural landscape architects assessing the mounds for an LCS [List of Classified Structures] update locate some of the missing mounds...The Wildcat Mound (#92) could not be relocated...

Linear Mound 19 has been almost obliterated by cultivation prior to 1949...Paul Beaubien excavated a 23.5 (77 ft) trench through this...linear mound in 1950, recovering only one charcoal sample but no features from the mound floor...He also excavated a portion of the Great Bear Mound (#31) in 1950. An "altar" of scatter cherty rocks was

found in the flank region of the bear, and charcoal recovered very close to this rock feature... was radiocarbon dated by the solid carbon method at the University of Michigan lab at A.D. 1020...in the late Late Woodland (Effigy Mounds) period. Later Husted...examined a large vandal's pit in conical Mound 28 by excavating a unit to the submound floor. No features were found, but human remains and a small celt were recovered from the vandal's backdirt.

Mounds 19, 20, and 31 were investigated by remote sensing in 1999. Great Bear Mound 31 appeared to contain several features...while soil profiles with modern nomenclature were obtained from conical mounds 19 and 20.

DRAFT

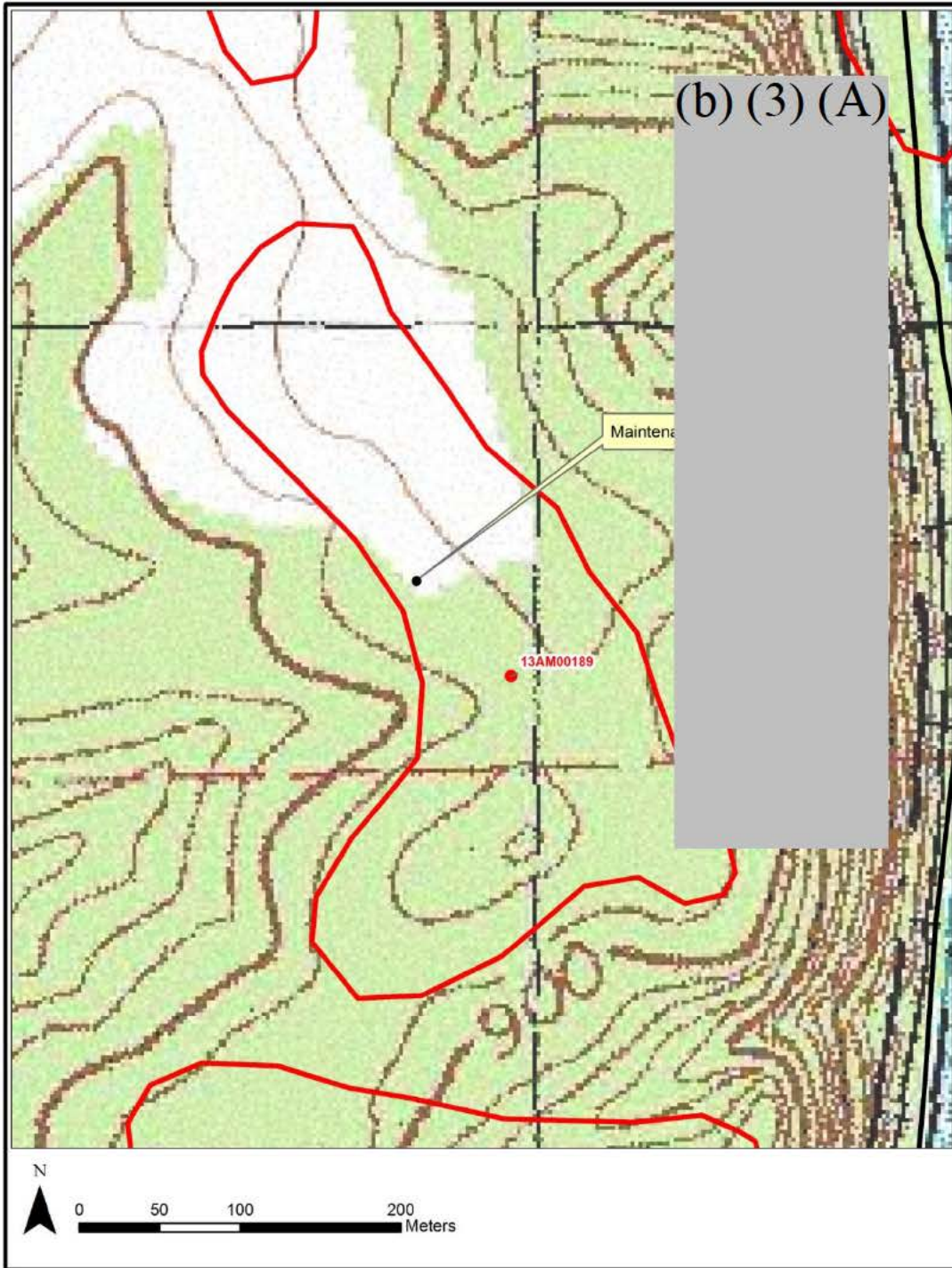


Figure 6. Portion of the Prairie du Chien Wisconsin-Iowa USGS 7.5' quadrangle showing the approximate boundaries of site 13AM189.

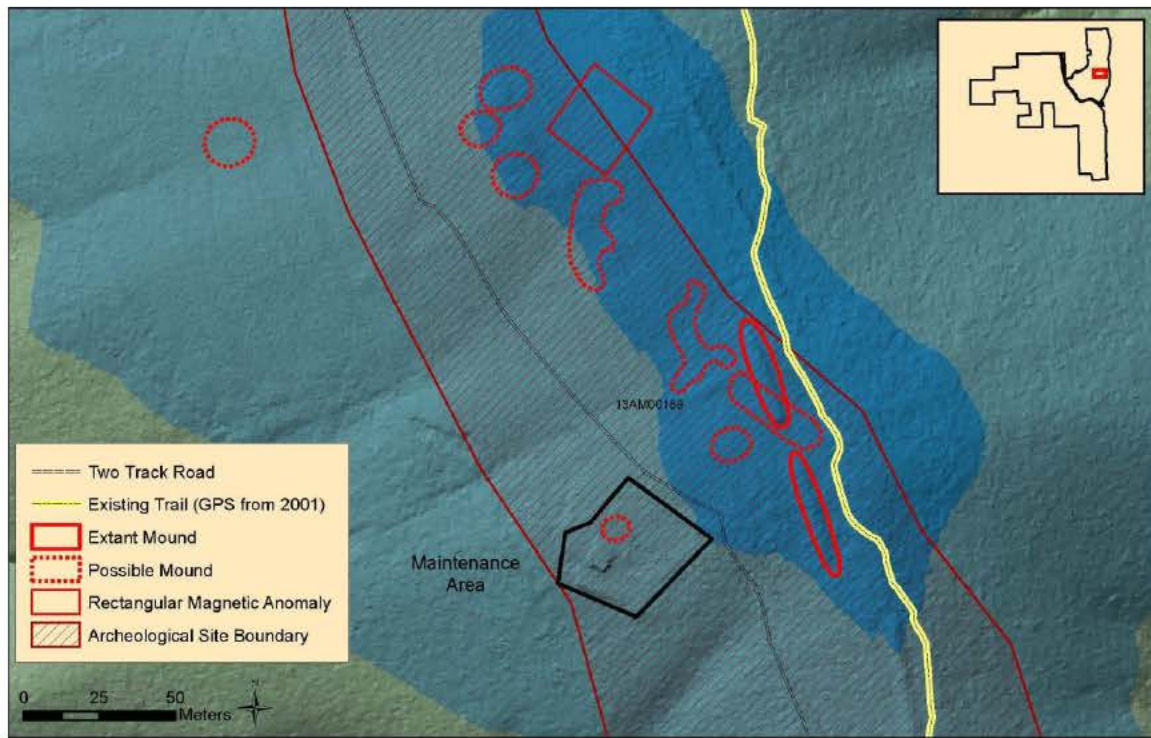


Figure 7. Lidar-based image showing the location of the maintenance area relative to other mounds and results of site testing.

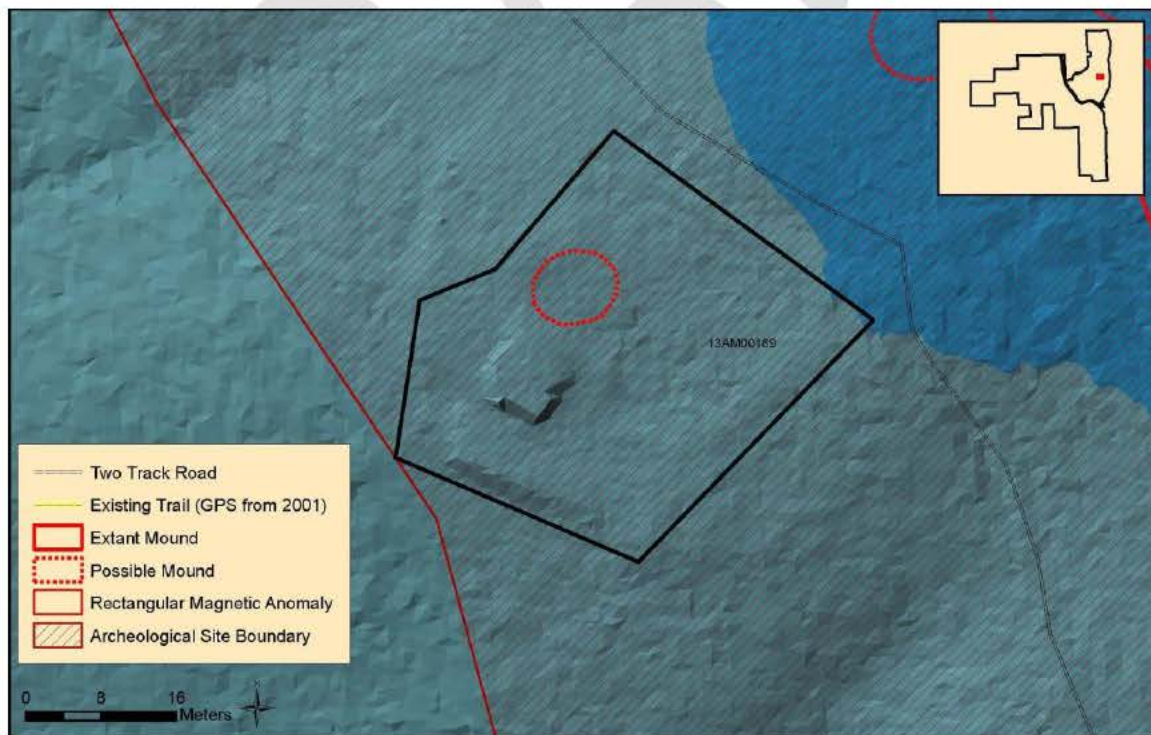


Figure 8. Detail of lidar-based image showing the location of the maintenance area relative to other mounds and results of site testing.

APPENDIX C

Geophysical Investigations of the Nezekaw Terrace Mound Group (13AM82) and the Yellow River Prehistoric Indian Mounds (Sites 13AM189 and 13AM191) in the Upper Meadow at Effigy Mounds National Monument, Iowa Steven L. De Vore, Midwest Archeological Center

Geophysical investigations were conducted along the Nezekaw Terrace above the confluence of the Yellow and Mississippi Rivers as part of a project to remove a modern boardwalk from the visitor center yard to the mounds on the south side of the highway. Geophysical investigations were also conducted in the Upper Meadow north of the visitors center, which contains the Yellow River Prehistoric Indian Mounds Sites 13AM189 and 13AM191. The purpose of the project is to identify possible subsurface remains of non-visible mounds in the areas affected by park development.

Two archeologists and four archeological technicians from the Midwest Archeological Center (MWAC) worked 1,164 hours on the project. Six EFMO staff provided 48 hours of support during the project and two Native American monitors provided 320 hours of monitoring and support. One volunteer donated 16 hours of fieldwork.

The non-invasive and non-destructive investigations targeted the developed areas on the Nezekaw Terrace and at the Upper Meadow where numerous mounds were identified in the late 19th and early 20th centuries. The mounds are no longer visible because they have been severely compromised by historic agricultural activities. The remnants of five mounds had been identified during previous geophysical investigations of portions of the Nezekaw Terrace. The 2010 geophysical investigations using magnetic, resistance, and ground penetrating radar (GPR) survey techniques provided baseline data on the presence of remnant mounds within the two project areas at the park. The two geophysical project areas consisted of 15.96 acres.

Preliminary analysis of the data indicated the presence of numerous geophysical anomalies within both project areas. Based on the geophysical investigations associated with the boardwalk, its construction did not impact any extant or truncated mounds in this part of the Nezekaw Terrace Site. The magnetic and resistance surveys of the southern part of the Nezekaw Terrace confirmed the locations of the extant mounds, and provided evidence for the existence of truncated mounds. More recent impacts to the area are also indicated in the magnetic and resistance data. The same statement applies to the magnetic and resistance surveys of the northern part of the terrace site. The magnetic data from sites 13AM189 and 13AM191 on the Upper Meadow contain numerous anomalies associated with modern park activities and historic agricultural activities. Numerous dipole anomalies appear to represent ferrous metal objects, such as bolts, nuts, and farm equipment parts. The maintenance shed platform is indicated in the magnetic data. A linear magnetic anomaly at the southern end of the geophysical project area appears to represent a fence line extending down the slope from the southern linear mound. The existing gravel road is indicated by linear magnetic anomalies and older road beds are also visible in the data. The two linear mounds are identified by a mottled area of slightly weak and strong anomalies surrounded by a weak magnetic halo. Evidence for eleven possible conical mounds is present in the magnetic data including one at the head of the maintenance platform. Two bear effigy mounds, the wildcat/otter mound, long linear mounds, and associated conical mounds, are also evident in the data. Most of these mounds were thought to have been destroyed over 50

years ago. One rectangular magnetic anomaly of uncertain origin consists of alternating slightly weak and strong linear anomalies.

The estimated cost of the geophysical investigations for the first phase of the project was \$113,000.00. This entire amount was funded with ONPS base funds and expended completely in FY 2010.

DRAFT

APPENDIX D ARCHEOLOGICAL VALUE DETERMINATION

This value determination is based on the Society for American Archeology's (SAA) Professional Standards for the Determination of Archaeological Value guidelines (McAllister 2006). The categories below are taken from the SAA Standards and describe the rationale behind each line item:

SAA Standard 1 – Identification of the Archaeological Resources involved in the ARPA violation:

This standard is covered above in the section on "Archeological Resource Description."

SAA Standard 2 – Scale of Scientific Information Retrieval to be Used in Determining Archaeological Value:

In order to determine the Archaeological Value of the incident, it was necessary to develop a project scope and budget that would represent the scientific investigation of an area equivalent to the area disturbed. The project as conceived involves test excavation with follow-up laboratory, curation, and report preparation tasks. This cost estimate is based on the assumption that all activities would be conducted by staff from the Midwest Archeological Center (NPS-MWAC), National Park Service, Lincoln, Nebraska. The combined volumetric total of 69.12 ft³ (1.93 m³) for all types of disturbance at this sites was derived from the post-incident field documentation and is exclusively used as the basis for the determination of Archeological Value.

SAA Standard 3 – Methods of Scientific Information Retrieval

The data recovery budget was developed by MWAC and is consistent with professional standards of research design and execution. All associated costs are also commensurate with actual costs incurred for a project of this nature. There are no costs related to methods that would not actually be anticipated or undertaken in conjunction with a project of this nature.

However, since it is understood that no human remains were encountered in the construction of either the boardwalk footers or the maintenance building, there is no budget associated with the inadvertent discovery of human remains. The inadvertent discovery of human remains would necessitate a substantial modification of projected and real costs associated with this project to cover tribal notification, consultation, and treatment, and would be introduced on a contingency basis should such a discovery occur.

SAA Standard 4 – Scientific Information Retrieval Standards:

The types of retrieval, analysis, reporting and curation indicated in MWAC's data recovery plan are consistent with scientific information retrieval standards for sites of this type in this part of the country. All associated costs are also commensurate with actual costs incurred for a project of this nature.

Archeological Value Budget

The information outlined below represents an *estimate* of the *actual costs* that were expended by the Midwest Archeological Center (MWAC) to conduct geophysical and mapping investigations at site 13AM189 (Table 2). Site 13AM189 is located in the Upper Meadow area of Effigy Mounds National Monument (EFMO) near the location of a temporary maintenance shed that was constructed prior to the 2010 geophysical investigations. Investigations included establishing a geophysical grid, collecting magnetic data, and mapping of the visible features of the site. Crew included two archeologists, three archeological technicians, one volunteer, and two tribal monitors. Work at the site was completed between Monday, April 19, 2010 and Thursday April 22, 2010 with an additional two days of travel to and from the park from Lincoln, Nebraska.

Every effort has been made to determine the exact costs associated with the project, however, some of the amounts below are estimates. Estimates were made in the case of lack of records of the actual costs and were based on the original estimates made during pre-project planning. MWAC was also conducting a boundary inventory at the park at the same time as this project, which explains the variance in the number of days between the various individuals. Some crew members only worked a few days on the geophysical investigations and the rest of the days on the boundary inventory. Days spent working on the boundary inventory were not included in the estimates for the geophysical investigations at site 13AM189 for either salary or per diem in an attempt to more accurately reflect the actual costs to the geophysics project.

Table 1. Budget for Archeological Value.

Pre-field Data Analysis	
Archeologist GS 12/9 2 days	\$899.28
Archeologist GS 7/1 2 days	\$396.72
Pre-field Planning	
Archeologist GS 12/9 4 days	\$1,798.55
Archeologist GS 12/9 5 days	\$2,255.57
Fieldwork	
Archeologist GS 12/9 3 days	\$1,348.91
Archeologist GS 12/9 6 days	\$2,706.68
Archeologist GS 7/1 3 days	\$595.08
Archeologist GS 5/1 (2)5 days	\$1,292.00
Tribal Monitors (2) 5 days	\$1,333.33
Post –field Analysis, reporting, archives	
Archeologist GS 15/7 2 days	\$1,239.03
Archeologist GS 12/9 10 days	\$4,496.38
Archeologist GS 12/9 10 days	\$4,511.14
Archeologist GS 7/1 5 days	\$991.81

Archeologist GS 5/1 1 day (archives packaging – no artifacts)	\$129.20
Travel	
Lodging at Three Bears Ranch (\$125/night for 5 crew for 5 nights)	\$625.00
Standard CONUS Rate (M&IE - \$26 [reduced camping per diem])	
2 travelers, 3 days	\$156.00
2 travelers, 5 days	\$260.00
1 travelers, 6 days	\$156.00
Standard CONUS Rate (M&IE - \$39, Lodg. \$70) 2 Tribal Monitors x 5 days/4 ngt.	\$950.00
Vehicle (days = 6 @ \$11.66/day, miles = 815 @ .30/mile)	\$327.96
Trip to park for Tribal Consultation Meeting	
Archeologist GS 15/7 3 days	\$1,858.55
Archeologist GS 12/9 3 days	\$1,348.91
Standard CONUS RATE (M&IE - \$39 and Lodging 2 travelers)	\$548.78
Travel for 7 Tribal Representatives to Consultation Meeting	\$1799.00
Services	
Photograph processing	\$6.00
Supplies	
Wood Stakes	\$11.00
Subtotal	\$32,040.88
Admin/Support Services	\$9,612.27
Total	\$41,653.15

APPENDIX E COST OF RESTORATION AND REPAIR

The ARPA Uniform Regulations define the term “cost of restoration and repair” as follows:

... the cost of restoration and repair of archaeological resources damaged as a result of a violation ... shall be the sum of the costs already incurred for emergency restoration or repair work, plus those costs projected to be necessary to complete restoration and repair, which may include, but need not be limited to the costs of the following:

- (1) Reconstruction of the archaeological resource;
- (2) Stabilization of the archaeological resource;
- (3) Ground contour reconstruction and surface stabilization;
- (4) Research necessary to carry out reconstruction or stabilization;
- (5) Physical barriers or other protective devices, necessitated by the disturbance of the archaeological resource, to protect it from further disturbance;
- (6) Examination and analysis of the archaeological resource including recording remaining archaeological information, where necessitated by disturbance, in order to salvage remaining values which cannot be otherwise conserved;
- (7) Reinterment of human remains in accordance with religious custom and State, local, or tribal law, where appropriate, as determined by the Federal land manager;
- (8) Preparation of reports related to any of the above activities (43 CFR 7.14(c)(1)-(8)).

MWAC was requested to conduct a geophysical investigation of the entire Nezekaw Terrace landform to provide comprehensive archeological resources that would need to be considered in both present and future actions. This type of study is typically done early in the planning process so that mitigative alternatives can be identified, plans adjusted, further research completed.

The project was done by MWAC, cost approximately \$113,000 paid for with ONPS base funds and completed in FY2010 (Jeffrey Richner, personal communication 2012). The scope of this project included the boardwalk area at Nazekaw Terrace, the maintenance area, the parking lot, and an area behind the visitor center. In order to ascertain the costs specifically associated with maintenance areas the following strategy was followed: The determination of Archeological Value produced a cost estimate based on

a project that would have been conducted at these locations prior to the damage that occurred. All of the elements expressed in the budget and accompanying budget explanation are things that did actually take place in the context of the post-incident follow-up actions and, therefore, are a legitimate, accurate, and defensible cost estimate for Emergency Restoration and Repair. Therefore, of the total figure of \$113,000 that was spent on post incident investigations, the amount of \$41,653 is directly associated with this incident. These costs are itemized under the determination of Archeological Value (Appendix D above).

Actual costs incurred are also allowable in the Cost of Restoration & Repair. In this report, these are limited to the time spent in the research and creation of this Damage Assessment Document (Table 3). Loaded rates reflect the actual costs incurred by the United States Government. The total actual costs, exclusive of emergency restoration and repair are \$1,798.

Future Restoration and Repair costs could include the removal of the concrete posts that supported the boardwalk and for archeological evaluation of the temporary maintenance shed. Insofar as the decisions about what, if any, steps to take to restore or repair this site must be made through Tribal and State Historic Preservation Officer consultation, and this decision has not been reached, there will be no added amount for future restoration and repair.

Table 2. Cost of Restoration & Repair: Actual Costs exclusive of emergency restoration and repair

Position & Grade	Loaded hourly rate	Total Hours	Total Cost
Cultural Resource Management Specialist GS13/2 (0101 series)	\$55.32	19.45	\$1,075
Supervisory Archeologist GS12/9 (0193 series)	\$55.62	1.5	\$83
Supervisory Archeologist GS13/5 (0193 series)	\$53.41	12	\$640
TOTAL			\$1,798

The sum of the Cost of Restoration & Repair is \$43,451 based on the combination of actual costs and costs of emergency restoration and repair as defined above.

**ARCHEOLOGICAL DAMAGE ASSESSMENT
EFFIGY MOUNDS NATIONAL MONUMENT**

OI-HQ-10-06228-R

May 11, 2012

**Caven Clark, PhD
Cultural Resource Management Specialist
Buffalo National River
National Park Service
United States Department of the Interior**

ADMINISTRATIVE SUMMARY

In 2007 prehistoric archeological site 13AM189 was damaged in the construction of a maintenance building. In 2010 prehistoric archeological site 13AM82 was damaged during the construction of a boardwalk. Both sites are within the boundary of Effigy Mounds National Monument, Allamakee County, Iowa, where they are managed by the National Park Service.

The following damage assessment values were determined as a result of this activity:

Commercial Value	\$00
Archaeological Value	\$93,165
Restoration and Repair	\$94,963

As per the prohibited acts and criminal penalties section of ARPA (16 USC 470ee), the cost of restoration and repair can be combined with either the archeological or commercial values involved in the violation to comprise the total value of the archeological resource damage. The monetary damage amount is determined by combining (1) the commercial value and the cost of restoration and repair of these resources **\$94,963** or (2) the archeological value and the cost of restoration and repair of the resource **\$188,128**.

TABLE OF CONTENTS

Introduction

Field Damage Assessment Procedures

Archeological Resource Description

Archeological Resource Damage

 Damage Description at the Nazekaw Terrace Site, 13AM82

 Damage Description at the Maintenance Bldg Site, 13AM189

Value and Cost Determinations

 Commercial Value

 Archeological Value

 Cost of Restoration and Repair

Summary and Conclusions

Appendix A: Cultural Resource Investigations

Appendix B: Boardwalk Site: Nazekaw Terrace AKA Laird Farm 13AM82

Appendix C: Maintenance Building Site: Great Bear/Wildcat Mound Group 13AM189

Appendix D: Geophysical Investigations

Appendix E: Archeological Value Determination

Appendix F: Cost of Restoration and Repair

LIST OF FIGURES

- Figure 1 Location of Effigy Mounds National Monument.
- Figure 2 Location of EFMO archeological sites on the Prairie du Chien Wisconsin-
Iowa USGS 7.5" topographic map.
- Figure 3 Lidar-based aerial image showing relationship of boardwalk and recorded
archeological features.
- Figure 4 Detail of boardwalk construction showing posts set in concrete on surface
of mound (NPS-MWAC photo).
- Figure 5 Detail of concrete post support.
- Figure 6. Schematic drawing of installed boardwalk.
- Figure 7. Lidar image showing location of maintenance building relative to
archeological features and archeological site boundary. Rectangular
image southwest of dashed-red circle is the building platform shown in
Figures 8 and 9.
- Figure 8 Construction phase view of maintenance building.
- Figure 9 Maintenance building platform after construction and removal of
superstructure.
- Figure 10 Portion of the Prairie du Chien Wisconsin-Iowa USGS 7.5" quadrangle
showing the approximate boundaries of site 13AM82.
- Figure 11 Aerial image showing the approximate boundaries of site 13AM82.
- Figure 12 Portion of the Prairie du Chien Wisconsin-Iowa USGS 7.5" quadrangle
showing the approximate boundaries of site 13AM189.
- Figure 13 Lidar-based image showing the location of the maintenance area relative
to other mounds and results of site testing.
- Figure 14 Detail of lidar-based image showing the location of the maintenance area
relative to other mounds and results of site testing.

LIST OF TABLES

Table 1. Budget for Archeological Value.

Table 2. Cost of Restoration & Repair: Actual Costs

INTRODUCTION

The author was contacted by National Park Service, Special Agent Barland-Liles on December 6, 2011 who requested his assistance through Buffalo National River Superintendent. Work on this Damage Assessment was initiated on this date with the assistance of the Midwest Archeological Center, Lincoln, Nebraska.

FIELD DAMAGE ASSESSMENT PROCEDURES

Because of the nature of this case, there were no immediate follow-up actions by archeologists to document the damage to the sites. However, once the damage was identified, archeologists from the Midwest Archeological Center (MWAC), National Park Service, Lincoln, Nebraska were dispatched to document the disturbed/damaged areas. Several steps of Emergency Restoration and Repair were undertaken at this time and are detailed in Appendix D.

ARCHAEOLOGICAL RESOURCE DESCRIPTION

ARPA states that, "the term "archaeological resource" means any material remains of past human life or activities which are of archaeological interest ... at least 100 years of age" (16 USC 470bb(1)). In the ARPA Uniform Regulations, the term "material remains" is defined as, "... physical evidence of human habitation, occupation, use, or activity, including the site, location, or context in which such evidence is situated" (43 CFR 7.3(a)(2)). The ARPA Uniform Regulations state that, "Of archaeological interest" means capable of providing scientific or humanistic understandings of past human behavior, cultural adaptation, and related topics through the application of scientific or scholarly techniques such as controlled observation, contextual measurement, controlled collection, analysis, interpretation and explanation" (43 CFR 7.3(a)(1)).

The following classes of material remains (and illustrative examples) if they are at least 100 years of age, are of archaeological interest and shall be considered archaeological resources unless determined otherwise pursuant to paragraph (a)(4) or (a)(5) of this section:

- (i) Surface or subsurface structures, shelters, facilities, or features (including, but not limited to, domestic structures, storage structures, cooking structures, ceremonial structures, artificial mounds, earthworks, fortifications, canals, reservoirs, horticultural/agricultural gardens or fields, bedrock mortars or grinding surfaces, rock alignments, cairns, trails, borrow pits, cooking pits, refuse pits, burial pits or graves, hearths, kilns, post molds, wall trenches, middens);
- (ii) Surface or subsurface artifact concentrations or scatters;
- (iii) Whole or fragmentary tools, implements, containers, weapons and weapon projectiles clothing, and ornaments (including, but not limited to, pottery and other ceramics, cordage, basketry and other weaving, bottles and other glassware, bone, ivory, shell, metal, wood, hide, feathers, pigment, and flaked, ground or pecked stone);

- (iv) By-products, waste products, or debris resulting from the manufacture or use of human-made or natural materials;
- (v) Organic waste (including, but not limited to, vegetal and animal remains, coprolites);
- (vi) Human remains (including, but not limited to, bone, teeth, mummified flesh, burials, cremations);
- (vii) Rock carvings, rock paintings, intaglios and other works of artistic or symbolic representation;
- (viii) Rockshelters and caves or portions thereof containing any of the above material remains;
- (ix) All portions of shipwrecks (including, but not limited to, armaments, apparel, tackle, cargo);
- (x) Any portion or piece of any of the foregoing” 43 CFR 7 (A)(3)).

Effigy Mounds National Monument was established by a Presidential Proclamation by Harry S. Truman on October 25, 1949 under the Antiquities Act of 1906 ((Presidential Proclamation No. 2860, October 25, 1949, 64th Statutes at Large, 81st Congress 2d Session 64 Part 2:A371: EFMO 1994:1; Truman 1949). The national monument was established to protect the significant prehistoric mounds in the northeastern corner of Iowa, as well as the wildlife, scenery, and other natural resources of the region. The park encompasses 2,526 acres with more than 200 known prehistoric mounds (HRA Gray & Pape 2003:2-3). The mounds were constructed between 700 and 2,500 years ago, greatly exceeding the 100-year threshold required by ARPA. The earthen mounds in the northeastern part of Iowa were described as having “*great scientific interest because of the variety of their forms, which include animal effigy, bird effigy, conical, and linear types, illustrative of a significant phase of the mound-building culture of the prehistoric American Indians* (Truman 1949). The monument consists of the Jennings-Liebhardt or South, the Yellow River or North, Heritage Addition, and Sny Magill Units.

Another indicator of the archaeological interest of Effigy Mounds National Monument, including the sites in question, and the archaeological resources they contain is the status of this district relative to inclusion in the National Register of Historic Places (NRHP). The NRHP was created by the National Historic Preservation Act of 1966 (P.L. 89-665; 80 Stat. 915; 16 U.S.C. 470), as amended, as a register of, “... districts, sites, buildings, structures, and objects significant in American history, architecture, archeology, engineering, and culture” (16 U.S.C. 470a(a)(1)(A)). The entire monument was placed on the NRHP in 1966. A district that is eligible for inclusion in the NRHP definitely has archaeological interest as this term is defined by ARPA. Appendix A presents a summary of archeological research previously undertaken at EFMO.



Figure 1. Location of Effigy Mounds National Monument

ARCHAEOLOGICAL RESOURCE DAMAGE

The subject lands are held in fee simple by the National Park Service, United States Department of the Interior. No permit was in place to authorize the types of activities that resulted in the damages to the archeological sites. Damage to archeological resources was identified in two discrete areas representing two previously recorded archeological sites: 13AM82 and 13AM189.

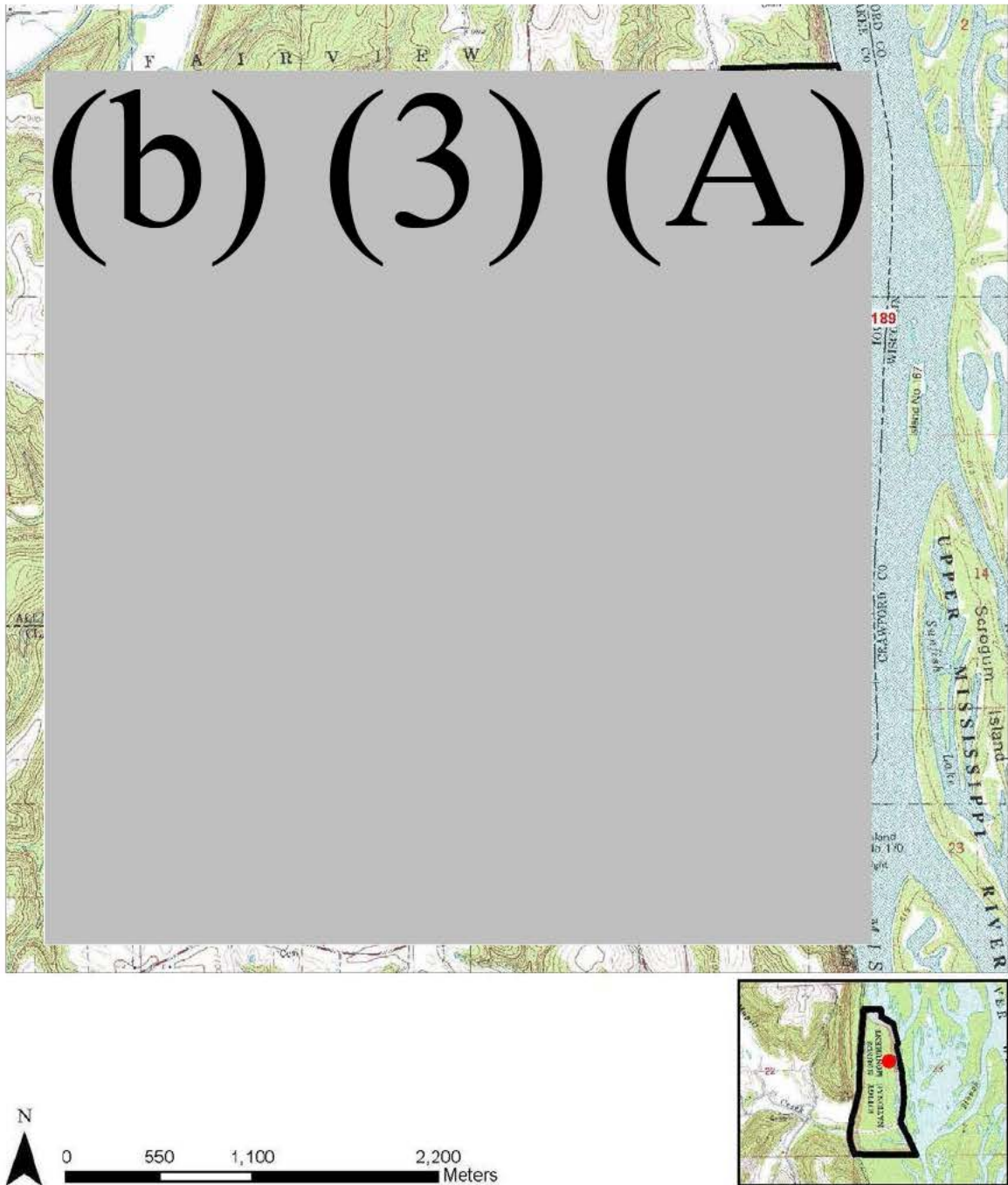


Figure 2. Location of EFMO archeological sites on the Prairie du Chien Wisconsin-Iowa USGS 7.5' topographic map.

Damage Description at the Nazekaw Terrace Site, 13AM82

Archeological background of site 13AM82 is presented in Appendix B. Damage to archeological resources at site 13AM82 consists of 216 round excavations dug to form poured concrete footers for wooden piers/posts that supported a wooden-decked boardwalk (Figures 3-6). Each footer measures one foot (.305 m) in diameter and is 4

feet (1.2192 m) deep. This equates to 3.14 cu feet (.088 cu m) of disturbance per post. The total volume of site disturbance is 678.24 cu feet (19 cu m).

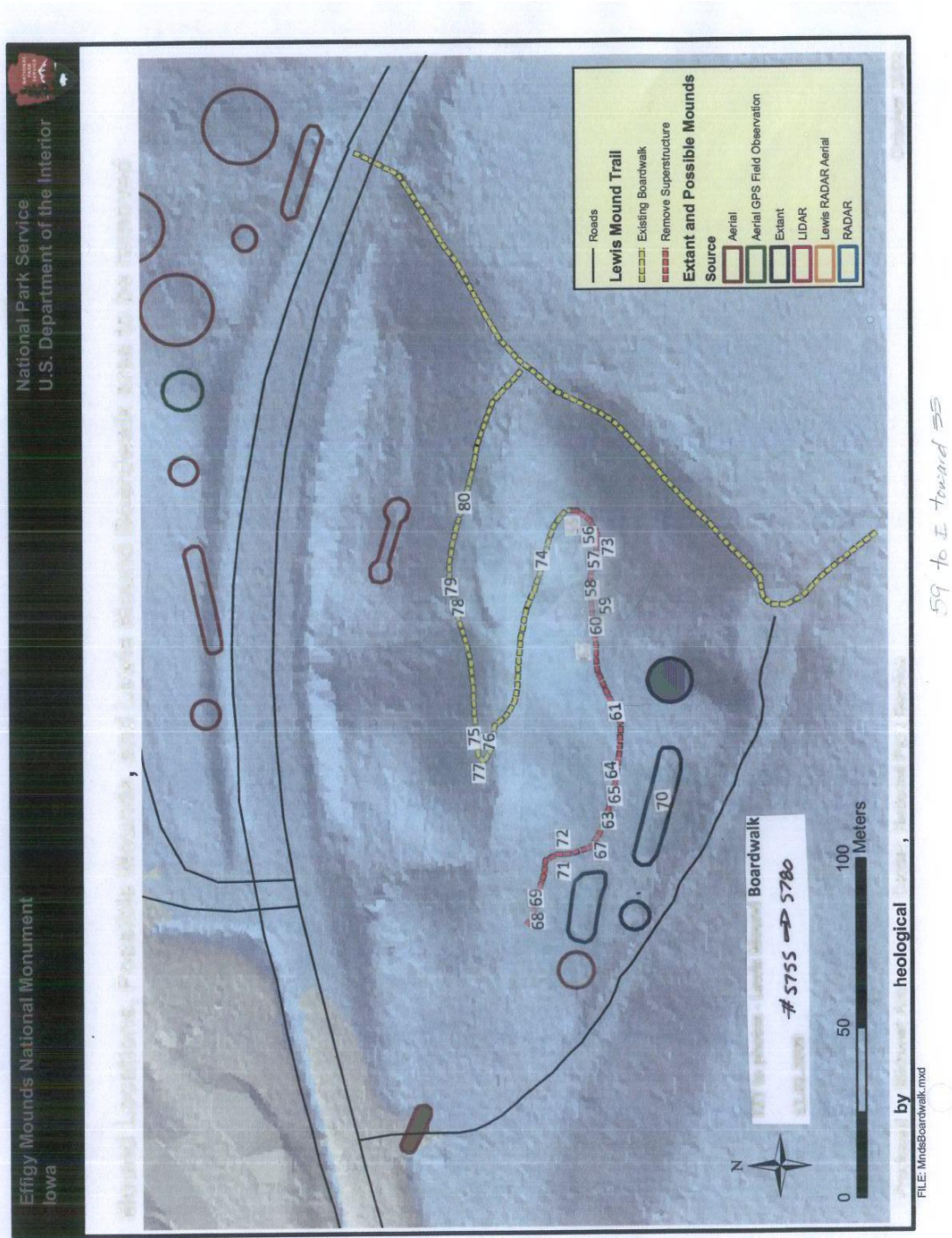


Figure 3. Lidar-based aerial image showing relationship of boardwalk and recorded archeological features.



Figure 4. Detail of boardwalk construction showing posts set in concrete on surface of mound (NPS-MWAC photo).



Figure 5. Detail of concrete post support.

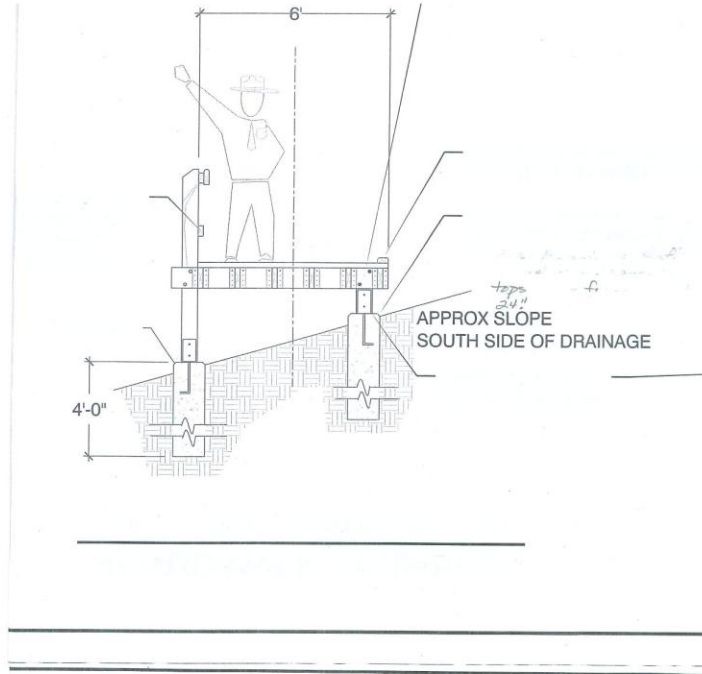


Figure 6. Schematic drawing of installed boardwalk.

Damage Description at the Maintenance Bldg Site, 13AM189

Archeological background to site 13AM189 is presented in Appendix C. Damage to archeological resources to site 13AM189, consists of 22 round excavations dug to form poured concrete footers for wooden piers/posts that supported a wooden and gravel pad or platform on which a structure was built. Each footer measures one foot (.305 m) in diameter and is 4 feet (1.2192 m) deep. This equates to 3.14 cu feet (.088 cu m) of disturbance per post. The total volume of disturbance is determined to be 69.12 cu feet (1.93 cu m). (Figures 7-9).



Figure 7. Lidar image showing location of maintenance building relative to archeological features and archeological site boundary. Rectangular image southwest of dashed-red circle is the building platform shown in Figures 8 and 9.



Figure 8. Construction phase view of maintenance building.



Figure 9. Maintenance building platform after construction and removal of superstructure.

VALUE AND COST DETERMINATIONS

The “Prohibited Acts and Criminal Penalties” section of ARPA (16 USC 470ee) identifies three monetary values that will be considered in relation to the penalty for the offense. These are the “commercial value” or the “archaeological value” of the archaeological resources involved in the violation and the “cost of restoration and repair” of these resources (16 USC 470ee(d)). Procedures for determining these figures are established in the ARPA Uniform Regulations (43 CFR 7.14).

COMMERCIAL VALUE

The ARPA Uniform Regulations define the term “commercial value” as follows:

... the commercial value of any archaeological resource involved in a violation ... shall be its fair market value. Where the violation has resulted in damage to the archeological resource, the fair market value should be determined using the condition of the archaeological prior to the violation, to the extent that its prior condition can be ascertained (43 CFR 7.14(b)).

It is unknown if any objects were removed from the sites during the construction process, although it was noted (Jeff Richner, personal communication 2012, that there were stone artifacts present in some of the backdirt piles associated with the walkway footers that were not present later during the damage assessment process. With no physical objects upon which to base this determination of value, the commercial value in this case is \$00.

ARCHAEOLOGICAL VALUE

The ARPA Uniform Regulations define the term “archaeological value” as follows:

... the archaeological value of any resource involved in a violation ... shall be the value of the information associated with the archaeological resource. This value shall be appraised in terms of the costs of the retrieval of the scientific information which would have been obtainable prior to the violation. These costs may include, but need not be limited to, the cost of preparing a research design, conducting field work, carrying out laboratory analysis, and preparing reports as would be necessary to realize the information potential (43 CFR 7.14(a)).

The archaeological value of a scientific data retrieval strategy at the 13AM82 and 13AM189 sites was calculated to be **\$93,165** (Appendix E, Table 1). This figure was determined using the Society for American Archeology’s (SAA) Professional Standards for the Determination of Archaeological Value guidelines (McAllister 2006).

The data recovery plan for retrieval of scientific information from these sites prior to damage is presented in full in Appendix E. **The combined volumetric total of 747.36 cu ft for all types of disturbance at both sites** was derived from the post-incident field documentation and is exclusively used as the basis for the determination of Archeological Value.

The data recovery plan and budget (Appendix E, Table 1) was developed by MWAC and is consistent with professional standards of research design and execution. The types of retrieval, analysis, reporting and curation indicated in MWAC's data recovery plan are consistent with scientific information retrieval standards for sites of this type in this part of the country. There are no costs related to methods that would not actually be anticipated or undertaken in conjunction with a project of this nature.

However, since it is understood that no human remains were encountered in the construction of either the boardwalk footers or the maintenance building, there is no budget associated with the inadvertent discovery of human remains. The inadvertent discovery of human remains would necessitate a substantial modification of projected and real costs associated with this project to cover tribal notification, consultation, and treatment, and would be introduced on a contingency basis should such a discovery occur.

COST OF RESTORATION AND REPAIR

The determination of the Cost of Restoration and Repair is fully explained in Appendix F. In brief ... "the cost of restoration and repair of archaeological resources damaged as a result of a violation ... shall be the sum of the costs already incurred for emergency restoration or repair work, plus those costs projected to be necessary to complete restoration and repair."

In this case the elements of the ARPA Uniform Regulations that pertain include: research necessary to carry out reconstruction or stabilization; examination and analysis of the archaeological resource including recording remaining archaeological information, where necessitated by disturbance, in order to salvage remaining values which cannot be otherwise conserved; and preparation of reports related to any of the above activities (43 CFR 7.14(c)(1)-(8)).

The costs were derived from the actual response by MWAC in FY 2010 which conducted a geophysical investigation at a cost approximately \$113,000 (Jeffrey Richner, personal communication 2012). The scope of this project included the boardwalk area, the maintenance area, and two additional areas (the parking lot, and an area behind the visitor center) which are not considered part of this incident and must, in the interest of fairness and accuracy, be excluded from this cost estimate.

In order to ascertain the costs specifically associated with the boardwalk and maintenance areas the following strategy was followed:

- The determination of Archeological Value produced a cost estimate based on a project that would have been conducted at these locations prior to the damage that occurred.
- All of the elements expressed in the budget and accompanying budget explanation for Archeological Value are things that *did actually take place* in the context of the post-incident follow-up actions (minus the investigation of the parking lot and area behind the visitor center) and, therefore, are a legitimate, accurate, and defensible cost estimate for Emergency Restoration and Repair.
- Of the total figure of \$113,000 that was spent on post incident investigations by MWAC, the amount of \$93,165 is directly associated with this incident.

Actual costs incurred are also allowable in the Cost of Restoration & Repair. In this report, these are limited to the time spent in the research and creation of this Damage Assessment Document. Actual expenditures are itemized in Appendix F, Table 2).

Future Restoration and Repair costs could include the removal of the concrete posts that supported the boardwalk and for archeological evaluation of the temporary maintenance shed. Insofar as the decisions about what, if any, steps to take to restore or repair this site must be made through Tribal and State Historic Preservation Officer consultation, and this decision has not been reached, there will be no added amount for future restoration and repair.

SUMMARY AND CONCLUSION

Archeological resource damage to the 13AM82 and 13AM189 sites consisted of the unauthorized excavation, removal, damage, and alteration of an archaeological site. The damage was documented and assessed, and this report of findings was prepared. The nature of the incident allowed for the determination of all three values described under 43 CFR PART 7.14: the cost of restoration and repair, the commercial value, and archaeological value.

As per the prohibited acts and criminal penalties section of ARPA (16 USC 470ee), the cost of restoration and repair can be combined with either the archaeological or commercial values involved in the violation to comprise the total value of the archaeological resource damage:

Archaeological Value	\$93,165
Cost of Restoration and Repair	<u>\$94,963</u>
Total	\$188,128

OR

Commercial Value	\$00
Cost of Restoration and Repair	<u>\$94,963</u>
Total	\$94,963

APPENDIX A
Cultural Resource Investigations
(DeVore and Vawser 2011:4-7)

The cultural resource investigations at the Effigy Mound National Monument have produced numerous archeological reports. The prehistory and history of the area have been consolidated into an archeological overview and assessment of the park (Benn and Stadler 2004), a historic resource study (HRA Gray & Pape 2003), and an administrative history (O'Bright 1989) of the Effigy Mounds National Monument, which formed the basic elements for the archeological resources management within the boundary of the park. A general overview of the park may be found in Dennis Lenzendorf's 2000 guide to the national monument. The first extensive mound investigations in the vicinity of the present park boundaries in northeastern Iowa occurred in the 1880s by Alfred J. Hill and Theodore H. Lewis (Benn and Stadler 2004:4; HRA Gray & Pape 2003:31-34; Lenzendorf 2000:52-56; O'Bright 1989:41-42). Lewis conducted the fieldwork and sent detailed notes back to Hill who compiled the notes into detailed measured drawings. The Lewis-Hill survey maps formed the basis of subsequent mound studies since many of the extent mounds from the 1880s were destroyed or obliterated by agricultural and other activities before the establishment of the national monument. Modern mound studies within the region began in the 1920s under the direction of Dr. Charles R. Keyes, Iowa's first State Archaeologist, and Ellison Orr, Keyes' assistant and supervisor of the Iowa Archeological Survey (Benn and Stadler 2004:5-6; HRA Gray & Pape 2003:42; Lenzendorf 2000:61-76; O'Bright 1989:42-46; Palmer 2009:34-37,58-59). Orr (1936,1939) resurveyed many of Lewis' original mound investigations, including the Nazekaw Terrace Mound Group (13AM82) and the Yellow River Prehistoric Indian Mounds Group (including Sites 13AM189 and 13AM191), and excavated several uninvestigated mounds during his tenure at the Iowa Archeological Survey.

The Nazekaw Terrace is a prominent terrace on the left bank of the Yellow River at its confluence with the Mississippi River in the North Unit of the park (Benn and Stadler 2004:15-17). T. H. Lewis named the terrace in 1892 after the Nazekaw townsite and grist mill at the eastern end of the bluff above the mouth of the Yellow River, which was platted but never developed (Benn and Stadler 2004:31). During his survey of the Nazekaw Terrace in 1892, Lewis identified 63 mounds including Mounds 55-61. The mounds included two bear effigies and three conical mounds, which were reported on his field map. In addition to this mound group, he also reported 39 conical mounds, six compounds, 12 embankments and one ruined tailless animal (Orr 1939:105-107). In 1926, Orr remapped the cultivated terrace (Figure 2), which resulted in the identification of only four conical mounds noted by Lewis (Orr 1939:105-107). NPS archeologist Paul Beaubien located two more linear mounds and two conical mounds in 1950 that were apparently not noticed by Orr in 1926 (Beaubien 1952). Farmstead activities, including agricultural cultivation, had destroyed the majority of mounds identified by Lewis by the time Orr reinvestigated the terrace in 1926. Benn and Stadler (2004:15-17, 20) provided a summary of the archeological investigations at the Nazekaw Terrace Mound Group in their archeological overview and assessment of the park.

The Nazekaw Terrace also extends into the park's South Unit (Benn and Stadler 2004:19-20). State Highway 76 divided the North and South Units of the park. Four

mounds (Mounds 58-61) of the Nazekaw Terrace Mound Group are located on the south side of the highway (Figure 3). These mounds were first recorded by Lewis-Hill survey in 1892. Ellison Orr recorded one mound near the old roadbed of State Highway 76 (Benn and Stadler 2004:20). Beaubien (1952) recorded two linear mounds and two conical mounds on the terrace south of the highway.

In the upper meadow area, the Great Bear/Wildcat Mound Group (13AM189) consists of 19 mounds (Mounds 19-32 and 92-96) including two bear effigy mounds, four linear mounds, and seven conical mounds which are still present (Benn and Stadler 2004:12-13). The remaining six mounds in the group were plowed down between 1902 and 1931 (Benn and Stadler 2004:115-116,118; Orr 1939:83) including the wildcat effigy mound and two bear effigy mounds at the north end of Site 13AM189 (Figure 4). The mound group was originally identified as part of the Yellow River Prehistoric Indian Mounds Group by Ellison and Harry Orr (Palmer 2009:36). Today the Yellow River Prehistoric Indian Mounds Group has been divided into 10 separate sites (Benn and Stadler 2004:124-126). Site 13AM191, the Long Embankment Mound Group (Mounds 95 and 96), contained a linear and a conical mound (Figure 4) when the mounds were recorded by the Orr family in 1902 (Benn and Stadler 2004:118,124). The two mounds were plowed down between 1902 and 1931 (Benn and Stadler 2004:118). Benn and Stadler (2004:12-13) provided a summary of the archeological investigations at the Great Bear/Wildcat Mound Group in their archeological overview and assessment of the park.

Geophysical investigations of mounds at the park have been conducted since 1982 when Bruce Bevan (1982) conducted a ground penetrating radar survey of the Little Bear Mound (Mound 52) in the Yellow River Prehistoric Indian Mounds Group. The data indicated the presence of a planar feature in the head region of the Little Bear Mound. The annual National Park Service archeological prospection workshop was held at Effigy Mounds National Monument (De Vore 1999; Lynott and De Vore 1999). During the workshop, three different types of mounds were selected for the field exercises. These included the Little Bear Mound (Mound 52), a conical mound (Mound 45), and two linear mounds (Mounds 19 and 20) within the Yellow River Prehistoric Indian Mounds Group. The Little Bear Mound and the conical mound are part of the Fire Point/ Procession Mound Group, 13AM190, while the two linear mounds are part of the Great Bear/Wildcat Mound Group, 13AM189. Magnetic gradient, resistance, magnetic susceptibility, seismic, self potential and ground penetrating radar surveys, along with a resistivity sounding, were conducted at the Little Bear Mound and at the two linear mounds (Bevan 1999a,1999b; Dalan 2000; De Vore 1999; Kvamme 1999; Watters 2001). Magnetic gradient, resistance, conductivity, and magnetic susceptibility data were collected at Mound 45 (De Vore 1999). During the week, additional magnetic and resistance data were collected by workshop participants at the Great Bear Mound (Mound 31: the Great Bear Mound is also part of the Great Bear/Wildcat Mound Group, 13AM189) near the Little Bear Mound and a bird effigy mound (Mound 82) within the Pleasant Ridge Mound Group, 13CT26 (also called the Marching Bear Mound Group), in the South Unit of the park (Kvamme 1999). The results from the magnetic and resistance surveys of these mounds indicated that the mounds were constructed of more magnetic and resistive materials than the surrounding natural soils and that the effigy perimeters reflected the removal of the natural A horizon during mound construction, which was in agreement with a soils study of mound construction (Parsons 1962). MWAC archeologists Robert Nickel and Scott Stadler (Stadler and Nickel 1999) conducted archeological and geophysical investigations in proposed construction areas near the visitors center for a handicap walkway from the visitors center to a small mound group on the south side of

State Highway 76 in 1999. The geophysical investigations consisted of magnetic surveys of grid units near the visitor's center encompassing a small mound group. The geophysical data indicated the presence of a small mound feature to the west of the group of four mounds. The authors identified the feature as a possible remnant of a small linear mound, which had been disturbed by an old road. Additional geophysical investigations of the Nazekaw Terrace Mound Group were conducted in 2008 as part of archeological investigations of the FTD Site, 13AM210, and the Red House Landing Site, 13AM228 by James Lindsay for his Master's thesis project (De Vore 2009; Lindsay 2009). The geophysical survey included magnetic, resistance, conductivity, and ground penetrating radar survey techniques. The geophysical data indicated subsurface remains of a group of three conical and two bear effigy mounds were present along the edge of the terrace along with indications that other mounds may have been present before cultivation activated destroyed the upper or visual portions of the mounds. The geophysical investigations also provided additional data on a bird and conical mound across the drainage in the wooded area north of the bear and conical mound group. Ground penetrating radar surveys by the Iowa Office of the State Archaeologist have also been conducted at the Sny Magill Mound Group unit (13CT18) of the Effigy Mounds National Monument in Clayton County, Iowa (Whittaker and Storey 2004,2005a) and at Site 13AM446 in the South Unit or the park in Allamakee County (Whittaker and Storey 2005b). These ground penetrating radar surveys indicated that ground penetrating radar was an effective tool for analyzing the prehistoric mounds at Effigy Mounds National Monument.

From:

De Vore, Steven L. and Anne M. Vawser

2011 Geophysical Investigations of the Nazekaw Terrace (Site 13AM82) and the Upper Meadow (Sites 13AM189 and 13AM191) along the Hanging Rock Trail, Effigy Mounds National Monument, Allamakee County, Iowa. Midwest Archeological Center, Technical Report No. ***, United State Department of the Interior, National Park Service, Midwest Archeological Center, Lincoln, Nebraska

APPENDIX B
Boardwalk Site: Nazekaw Terrace AKA Laird Farm 13AM82

13AM82 is a prehistoric site that occupies the area north of the Yellow River and west of the Mississippi including the NPS Visitor Center, maintenance/housing area, boardwalk, etc. The site was first mentioned by T.H. Lewis (1898) as a mound group of some 56 or so mounds. It is occasionally referred to as the Lewis Mound Group. He did not map it, except for notes and measurements on five mounds (2 bears, 3 conicals) that occurred in a tight cluster. By Orr's time, most were no longer visible due to ongoing cultivation of portions of the terrace although a few were, and still are, visible. Orr mapped what was visible/obvious at that time. The park was created in late 1949 and archeological work was initiated under NPS direction in 1950. Paul Beaubien excavated three mounds within what is known as the Three Mound Group by the Visitor Center -- part of 13AM82 as currently defined -- in 1950 and 1952. Beaubien makes some comments in a Trip Report as the VC and its parking area are being developed. According to Beaubien other than the few still-visible mounds, the site had little further research potential, although he indicated points and other materials had been collected there. Beginning with Orr and continuing through Beaubien and others, it was generally assumed that the site was severely damaged and that only a few of the mounds remained intact. Jim Lindsay's MA Thesis challenges those findings and reveals that, although damaged, the five mounds mapped by Lewis in 1898 are still visible through geophysical investigation. De Vore and Vawser's geophysics indicate that many more are probably intact below the former plow zone.

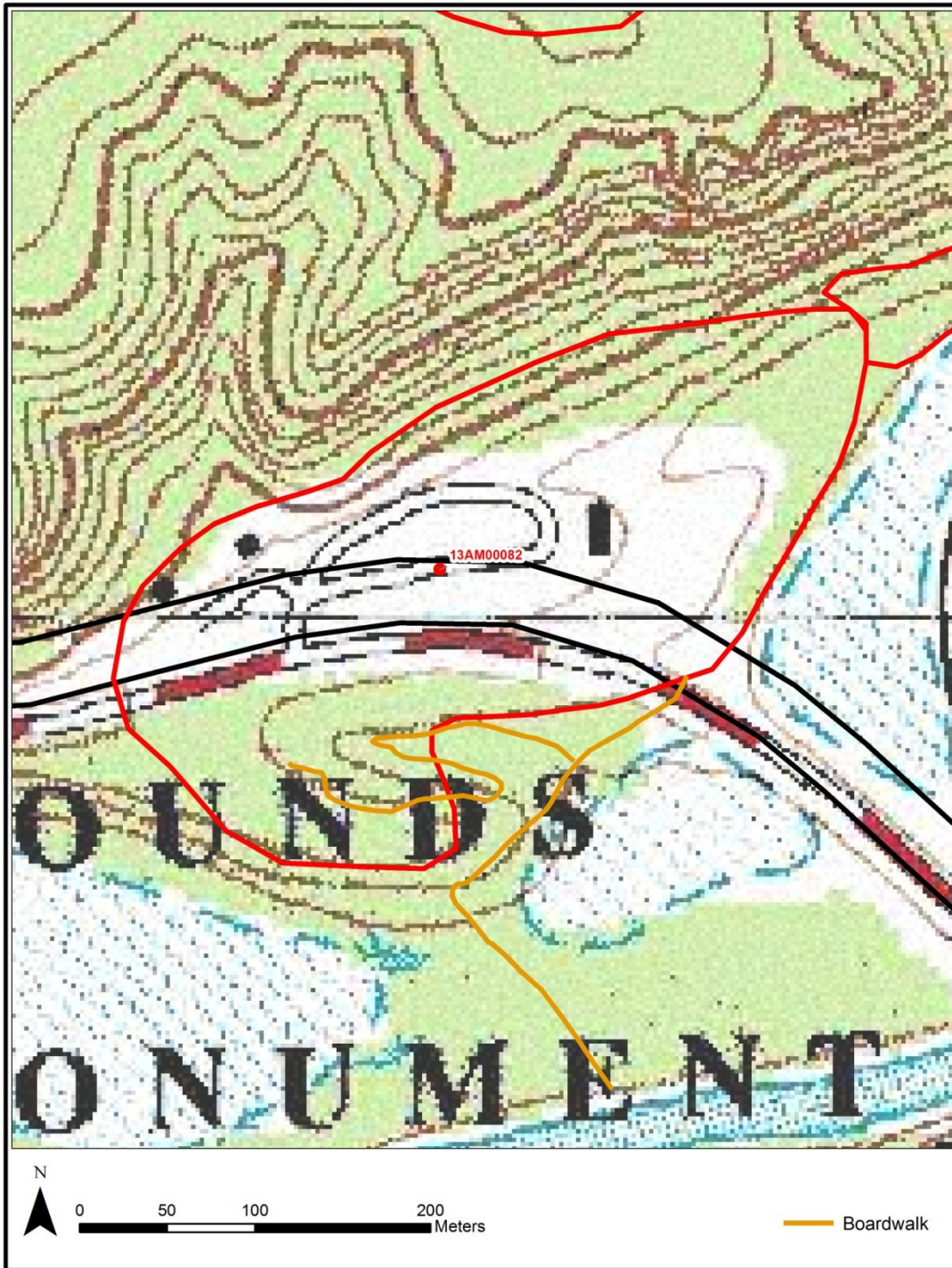


Figure 10. Portion of the Prairie du Chien Wisconsin-Iowa USGS 7.5' quadrangle showing the approximate boundaries of site 13AM82.

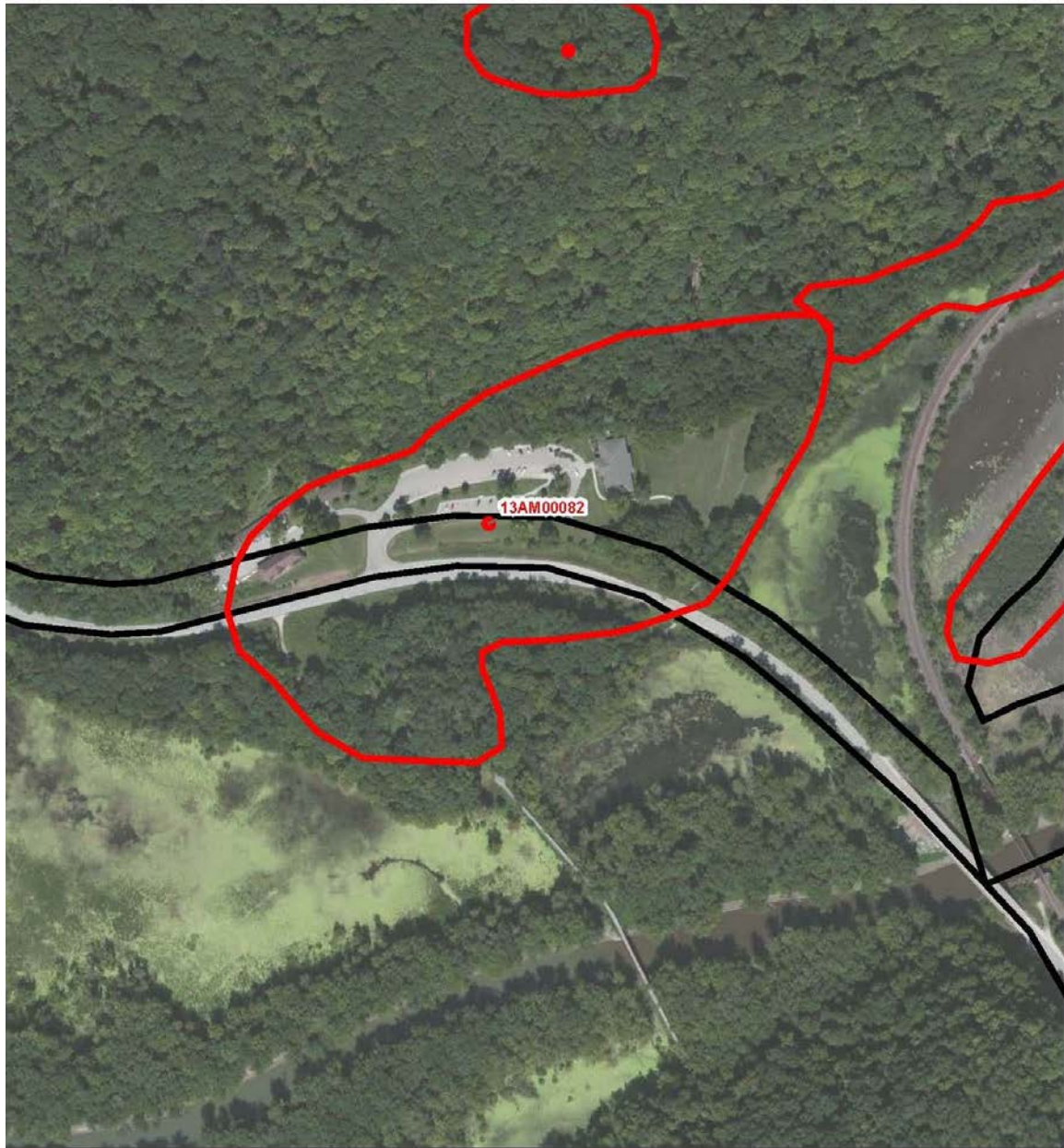


Figure 11. Aerial image showing the approximate boundaries of site 13AM82.

APPENDIX C

Maintenance Building Site: Great Bear/Wildcat Mound Group 13AM189

In the upper meadow area, the Great Bear/Wildcat Mound Group (13AM189) consists of 19 mounds (Mounds 19-32 and 92-96) including two bear effigy mounds, four linear mounds, and seven conical mounds which are still present (Benn and Stadler 2004:12-13). The remaining six mounds in the group were plowed down between 1902 and 1931 (Benn and Stadler 2004:115-116,118; Orr 1939:83) including the wildcat effigy mound and two bear effigy mounds at the north end of Site 13AM189 (Figure 4). The mound group was originally identified as part of the Yellow River Prehistoric Indian Mounds Group by Ellison and Harry Orr (Palmer 2009:36). Today the Yellow River Prehistoric Indian Mounds Group has been divided into 10 separate sites (Benn and Stadler 2004:124-126). Site 13AM191, the Long Embankment Mound Group (Mounds 95 and 96), contained a linear and a conical mound (Figure 4) when the mounds were recorded by the Orr family in 1902 (Benn and Stadler 2004:118,124). The two mounds were plowed down between 1902 and 1931 (Benn and Stadler 2004:118). Benn and Stadler (2004:12-13) provided a summary of the archeological investigations at the Great Bear/Wildcat Mound Group in their archeological overview and assessment of the park.

Excerpt from Benn and Stadler 2004, Effigy Mounds National Monument, Archeological Overview and Assessment, pages 12-13 (citations removed).

The Great Bear or Wildcat Mound Group contained 19 mounds of which only 13 (two bears, four linears, and seven conicals); ... are distinct today...The group was originally recorded under 13 AM82 but was later assigned a separate site number 13 AM189). The Great Bear Group takes its name from Mound 31, the largest bear effigy mound within EFMO and the only bear mound effigy within the park lying on its left side.

Harry Orr survey the mounds in this group in 1902 and produced a map a year or two after the survey...

Several of the mounds recorded by Orr are either no longer visible or barely discernable. Mounds 92-96 were assigned to two bear effigies, one wildcat (lynx?)effigy, a linear and a conical. Ellison Orr states that all of these mounds were destroyed by cultivation before 1931...Jeffrey Richner of the Midwest Archeological Center attempted to locate these mounds in 1978, but only one of the missing mounds, a bear effigy, could be discerned...At the time of Beaubien's excavation of Linear Mound 19 in 1950, the field was cultivated and part of Mound 19 had been damaged...Mound 19 is located very close to Mound 92, the wildcat effigy. Beaubien searched for the other reported mounds but could not locate them. This is likely the reason these mounds were not given monument numbers until Gordon assigned numbers around 1962.

A 1995 NPS team composed of cultural landscape architects assessing the mounds for an LCS [List of Classified Structures] update locate some of the missing mounds...The Wildcat Mound (#92) could not be relocated...

Linear Mound 19 has been almost obliterated by cultivation prior to 1949...Paul Beaubien excavated a 23.5 (77 ft) trench through this...linear mound in 1950, recovering only one charcoal sample but no features from the mound floor...He also excavated a portion of the Great Bear Mound (#31) in 1950. An "altar" of scatter cherty rocks was

found in the flank region of the bear, and charcoal recovered very close to this rock feature... was radiocarbon dated by the solid carbon method at the University of Michigan lab at A.D. 1020...in the late Late Woodland (Effigy Mounds) period. Later Husted...examined a large vandal's pit in conical Mound 28 by excavating a unit to the submound floor. No features were found, but human remains and a small celt were recovered from the vandal's backdirt.

Mounds 19, 20, and 31 were investigated by remote sensing in 1999. Great Bear Mound 31 appeared to contain several features...while soil profiles with modern nomenclature were obtained from conical mounds 19 and 20.

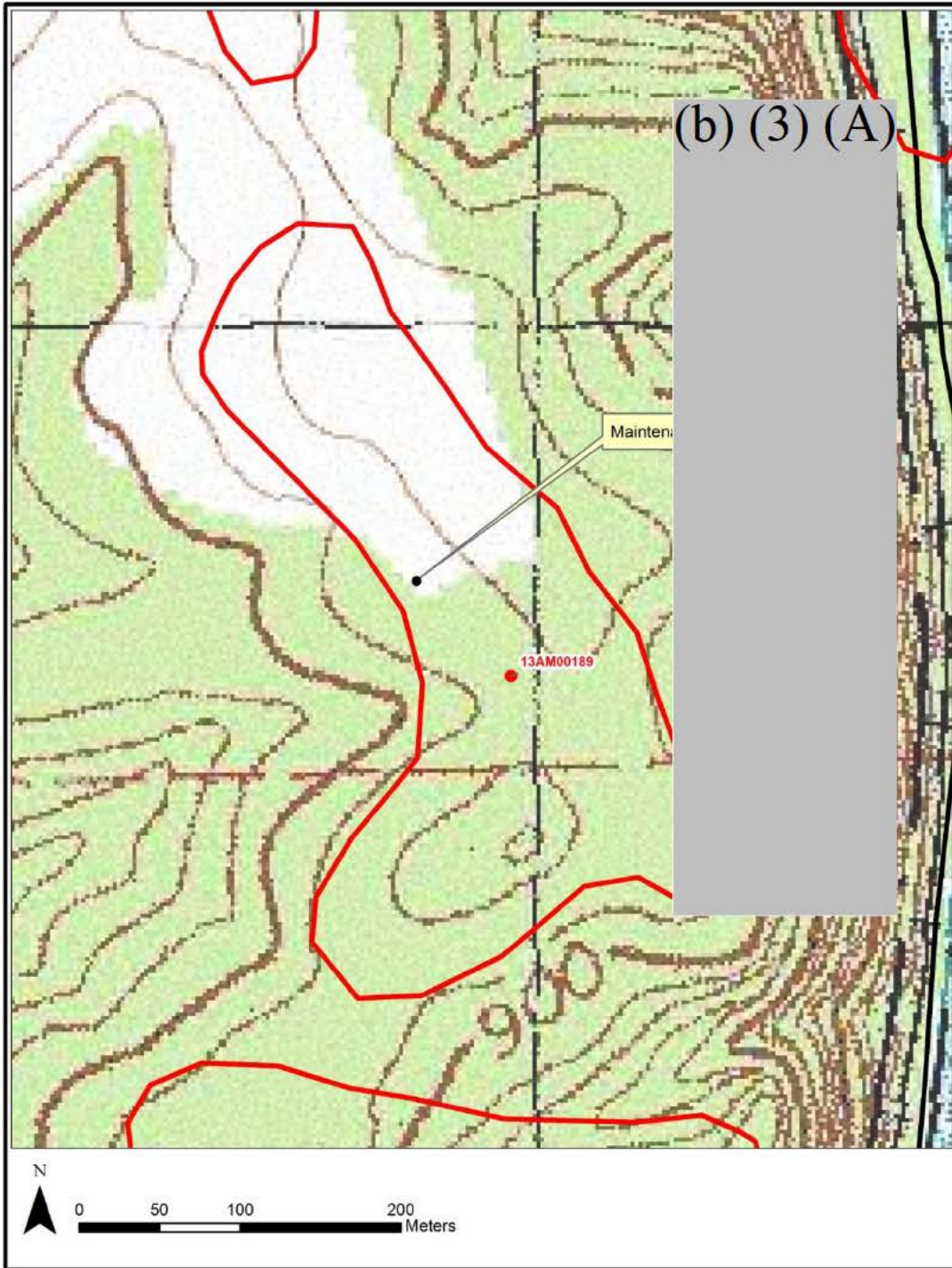


Figure 12. Portion of the Prairie du Chien Wisconsin-Iowa USGS 7.5' quadrangle showing the approximate boundaries of site 13AM189.

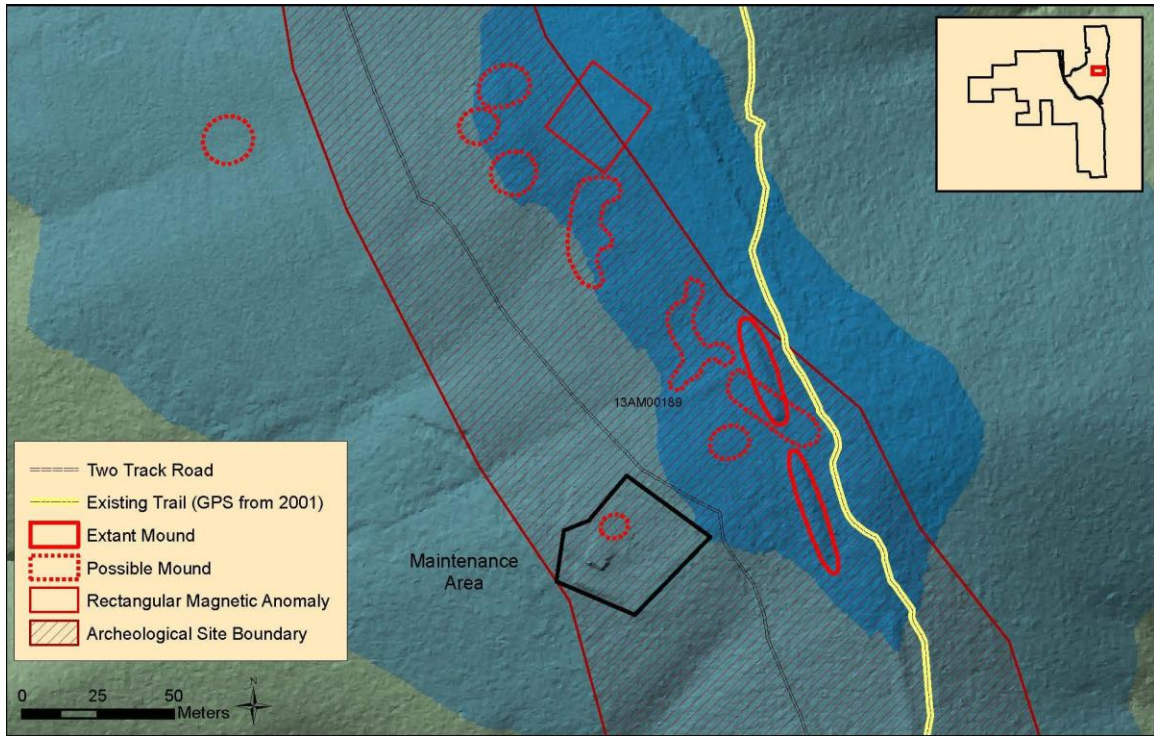


Figure 13. Lidar-based image showing the location of the maintenance area relative to other mounds and results of site testing.

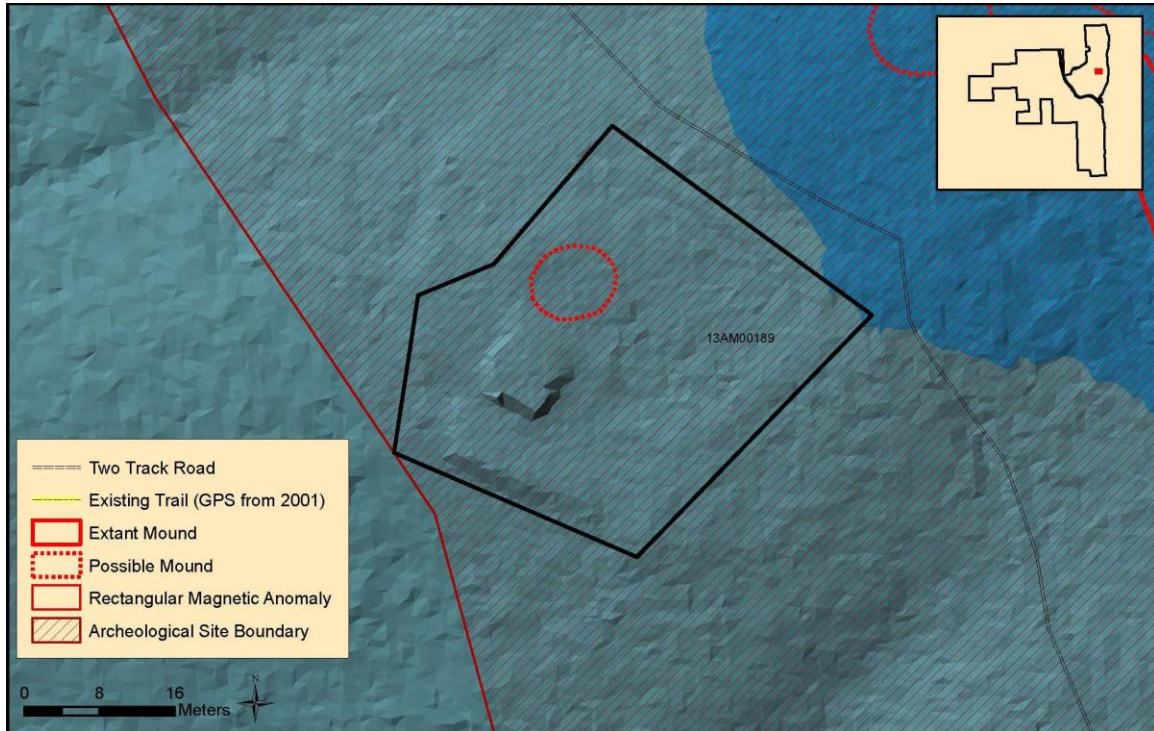


Figure 14 . Detail of lidar-based image showing the location of the maintenance area relative to other mounds and results of site testing.

APPENDIX D

Geophysical Investigations of the Nezekaw Terrace Mound Group (13AM82) and the Yellow River Prehistoric Indian Mounds (Sites 13AM189 and 13AM191) in the Upper Meadow at Effigy Mounds National Monument, Iowa Steven L. De Vore, Midwest Archeological Center

Geophysical investigations were conducted along the Nezekaw Terrace above the confluence of the Yellow and Mississippi Rivers as part of a project to remove a modern boardwalk from the visitor center yard to the mounds on the south side of the highway. Geophysical investigations were also conducted in the Upper Meadow north of the visitors center, which contains the Yellow River Prehistoric Indian Mounds Sites 13AM189 and 13AM191. The purpose of the project is to identify possible subsurface remains of non-visible mounds in the areas affected by park development.

Two archeologists and four archeological technicians from the Midwest Archeological Center (MWAC) worked 1,164 hours on the project. Six EFMO staff provided 48 hours of support during the project and two Native American monitors provided 320 hours of monitoring and support. One volunteer donated 16 hours of fieldwork.

The non-invasive and non-destructive investigations targeted the developed areas on the Nezekaw Terrace and at the Upper Meadow where numerous mounds were identified in the late 19th and early 20th centuries. The mounds are no longer visible because they have been severely compromised by historic agricultural activities. The remnants of five mounds had been identified during previous geophysical investigations of portions of the Nezekaw Terrace. The 2010 geophysical investigations using magnetic, resistance, and ground penetrating radar (GPR) survey techniques provided baseline data on the presence of remnant mounds within the two project areas at the park. The two geophysical project areas consisted of 15.96 acres.

Preliminary analysis of the data indicated the presence of numerous geophysical anomalies within both project areas. Based on the geophysical investigations associated with the boardwalk, its construction did not impact any extant or truncated mounds in this part of the Nezekaw Terrace Site. The magnetic and resistance surveys of the southern part of the Nezekaw Terrace confirmed the locations of the extant mounds, and provided evidence for the existence of truncated mounds. More recent impacts to the area are also indicated in the magnetic and resistance data. The same statement applies to the magnetic and resistance surveys of the northern part of the terrace site. The magnetic data from sites 13AM189 and 13AM191 on the Upper Meadow contain numerous anomalies associated with modern park activities and historic agricultural activities. Numerous dipole anomalies appear to represent ferrous metal objects, such as bolts, nuts, and farm equipment parts. The maintenance shed platform is indicated in the magnetic data. A linear magnetic anomaly at the southern end of the geophysical project area appears to represent a fence line extending down the slope from the southern linear mound. The existing gravel road is indicated by linear magnetic anomalies and older road beds are also visible in the data. The two linear mounds are identified by a mottled area of slightly weak and strong anomalies surrounded by a weak magnetic halo. Evidence for eleven possible conical mounds is present in the magnetic data including one at the head of the maintenance platform. Two bear effigy mounds, the wildcat/otter mound, long linear mounds, and associated conical mounds, are also evident in the data. Most of these mounds were thought to have been destroyed over 50

years ago. One rectangular magnetic anomaly of uncertain origin consists of alternating slightly weak and strong linear anomalies.

The estimated cost of the geophysical investigations for the first phase of the project was \$113,000.00. This entire amount was funded with ONPS base funds and expended completely in FY 2010.

APPENDIX E ARCHEOLOGICAL VALUE DETERMINATION

This value determination is based on the Society for American Archeology's (SAA) Professional Standards for the Determination of Archaeological Value guidelines (McAllister 2006). The categories below are taken from the SAA Standards and describe the rationale behind each line item:

SAA Standard 1 – Identification of the Archaeological Resources involved in the ARPA violation:

This standard is covered above in the section on “Archeological Resource Description.”

SAA Standard 2 – Scale of Scientific Information Retrieval to be Used in Determining Archaeological Value:

In order to determine the Archaeological Value of the incident, it was necessary to develop a project scope and budget that would represent the scientific investigation of an area equivalent to the area disturbed. The project as conceived involves test excavation with follow-up laboratory, curation, and report preparation tasks. This cost estimate is based on the assumption that all activities would be conducted by staff from the Midwest Archeological Center (NPS-MWAC), National Park Service, Lincoln, Nebraska. The combined volumetric total of 747.36 cu ft for all types of disturbance at both sites was derived from the post-incident field documentation and is exclusively used as the basis for the determination of Archeological Value.

SAA Standard 3 – Methods of Scientific Information Retrieval

The data recovery budget was developed by MWAC and is consistent with professional standards of research design and execution. All associated costs are also commensurate with actual costs incurred for a project of this nature. There are no costs related to methods that would not actually be anticipated or undertaken in conjunction with a project of this nature.

However, since it is understood that no human remains were encountered in the construction of either the boardwalk footers or the maintenance building, there is no budget associated with the inadvertent discovery of human remains. The inadvertent discovery of human remains would necessitate a substantial modification of projected and real costs associated with this project to cover tribal notification, consultation, and treatment, and would be introduced on a contingency basis should such a discovery occur.

SAA Standard 4 – Scientific Information Retrieval Standards:

The types of retrieval, analysis, reporting and curation indicated in MWAC's data recovery plan are consistent with scientific information retrieval standards for sites of this type in this part of the country. All associated costs are also commensurate with actual costs incurred for a project of this nature.

The accompanying budget for this excavation and analysis does not include time and costs associated with future restoration and repair (e.g., backfilling and stabilizing the site after fieldwork is concluded).

The line items in the EFMO Boardwalk to the Lewis Mound Group are based upon the standard budget categories used for all National Park Service projects. The budget estimate was developed in the same manner that the Midwest Archeological Center estimates and budgets all of its projects. This budget was designed as an “in-house” project for NPS staff.

Personnel (1100)

Personnel costs were developed on the basis of known costs for a full performance Project Archeologist and three Archeological Technicians. The experience, education and training of Archeologist position must meet or exceed the Secretary of Interior’s Standards for Archeologist. The budget depicts costs for one of the Center’s experienced professional archeologists who has previously worked at EFMO. The cost for Archeological Technician is a standard cost based upon a government benchmark for this position.

The amount of time shown for these personnel is based upon excavation of about one 1-x-1-m test unit each day by a team of two persons, equaling about 38 units over the course of the project. Since the units are assumed to be excavated to 50 cm below surface, this would equate to 19 cu m which is the amount of damage that occurred at the site due the placement of the footers and posts for the boardwalk spur trail.

Prefield costs are for developing a research design/Work Plan and for preparing field gear for the project. Post field costs are for artifact cleaning, curation, analysis, cataloging and report writing and formatting, including all maps and other graphics.

Travel (2100)

This category is based upon standard government costs for motel and meals and incidental expenses and is an amount set for the project area.

Transportation (2200)

Vehicle costs were calculated based upon a vehicle leased by MWAC from GSA and are actual amounts for leasing the vehicle in addition to costs for fuel.

Printing and Publication (2400)

This cost is for printing of the project final report, which the Center accomplishes via a Government Printing Office contractual arrangement with a local Lincoln, NE company.

Services (2500)

These costs include funds for tribal consultation in advance of the project and for the presence of a tribal monitor during fieldwork.

Support costs (3100)

This cost is for administrative and other support costs borne by the Center for the project. It is used to pay salaries and benefits for administrative staff that process all travel authorizations and payment documentation, payroll, purchasing of supplies and equipment, and all activities related to the operation of the Center. These employees are not base funded, so the costs for their work must be borne by project funds. The funds in

this budget category are also used for maintenance of Center equipment and other related needs that are not depicted in specific line items in a project budget. This is a standard percentage that is applied to all Center projects, regardless of their scope. Private archeological contractors also use a support cost category in their budgets or include those amounts in other line items such as Personnel.

Table 1. Budget for Archeological Value.

Personnel (1100)		
Pre fieldwork (write Work Plan and prepare for fieldwork)		
Archeologist GS 12/9 .5 pp @ \$4449/pp		\$2,224.50
Archeological Technician GS 5/1 .5 pp @ \$1292/pp		\$646.00
Fieldwork		
Archeologist GS 12/9 2 pp @4449/pp		\$8,898.00
Archeological Technician GS 5/1 2 pp @ \$1292/pp		\$2,584.00
Archeological Technician GS 5/1 2 pp @ \$1292/pp		\$2,584.00
Archeological Technician GS 5/1 2 pp @ \$1292/pp		\$2,584.00
Post fieldwork (analysis, report preparation)		
Archeologist GS 12/9 X 4 pp @ \$4449/pp		\$17,796.00
Archeological Technician GS 5/1 4 pp @ \$1292/pp		\$5,168.00
Visual Information Specialist GS 11/4 1 pp @3174/pp		\$3,174.00
Post Fieldwork (cataloging estimated @ \$3/object by GS 5 x ~1900 objects + oversight)		
Archeological Technician GS 5/1 x 4.5 pp @\$1292/pp		\$5,814.00
Archeological Technician GS 7/7 x .5 pp x @2650/pp		\$1,325.00
	Subtotal	\$52,797.50
Travel (2100)		
Per diem		
26 days x 4 persons x 123/day (motel 77/day, M&IE 46/day)		\$12,792.00
	Subtotal	\$12,792.00
Transportation (2200)		
GSA Vehicle (2011 Dodge Caravan)		
7.42/day x 26 days		\$114.92
.195/mile x 824 miles round trip		\$160.68
.195/mile x 10 miles/day x 26 days		\$50.70
	Subtotal	\$326.30
Rent, Communications and Utilities (2300)		0
Printing and Publication (2400)		
Report printing		\$500.00
Services (2500)		
Tribal Consultation		\$2,500.00
Tribal on-site monitor		\$2,500.00
	Subtotal	\$5,000.00
Supplies (2600)		
Miscellaneous lab and field supplies		\$200.00
Equipment (3100)		0
	Total	\$71,835.00
Support costs (9100) (Direct costs x .3)		\$21,330.50
	Total	\$93,165

APPENDIX F COST OF RESTORATION AND REPAIR

The ARPA Uniform Regulations define the term “cost of restoration and repair” as follows:

... the cost of restoration and repair of archaeological resources damaged as a result of a violation ... shall be the sum of the costs already incurred for emergency restoration or repair work, plus those costs projected to be necessary to complete restoration and repair, which may include, but need not be limited to the costs of the following:

- (1) Reconstruction of the archaeological resource;
- (2) Stabilization of the archaeological resource;
- (3) Ground contour reconstruction and surface stabilization;
- (4) Research necessary to carry out reconstruction or stabilization;
- (5) Physical barriers or other protective devices, necessitated by the disturbance of the archaeological resource, to protect it from further disturbance;
- (6) Examination and analysis of the archaeological resource including recording remaining archaeological information, where necessitated by disturbance, in order to salvage remaining values which cannot be otherwise conserved;
- (7) Reinterment of human remains in accordance with religious custom and State, local, or tribal law, where appropriate, as determined by the Federal land manager;
- (8) Preparation of reports related to any of the above activities (43 CFR 7.14(c)(1)-(8)).

MWAC was requested to conduct a geophysical investigation of the entire Nezekaw Terrace landform to provide comprehensive archeological resources that would need to be considered in both present and future actions. This type of study is typically done early in the planning process so that mitigative alternatives can be identified, plans adjusted, further research completed.

The project was done by MWAC, cost approximately \$113,000 paid for with ONPS base funds and completed in FY2010 (Jeffrey Richner, personal communication 2012). The scope of this project included the boardwalk area, the maintenance area, the parking lot, and an area behind the visitor center. The latter two areas are not considered part of this incident and must, in the interest of fairness and accuracy, be excluded from this cost estimate. In order to ascertain the costs specifically associated with the boardwalk and maintenance areas the following strategy was followed: The determination of

Archeological Value produced a cost estimate based on a project that would have been conducted at these locations prior to the damage that occurred. All of the elements expressed in the budget and accompanying budget explanation are things that did actually take place in the context of the post-incident follow-up actions and, therefore, are a legitimate, accurate, and defensible cost estimate for Emergency Restoration and Repair. Therefore, of the total figure of \$113,000 that was spent on post incident investigations, the amount of \$93,165 is directly associated with this incident. These costs are itemized under the determination of Archeological Value (Appendix E above).

Actual costs incurred are also allowable in the Cost of Restoration & Repair. In this report, these are limited to the time spent in the research and creation of this Damage Assessment Document (Table 2). Loaded rates reflect the actual costs incurred by the United States Government. The total actual costs are \$1,798.

Future Restoration and Repair costs could include the removal of the concrete posts that supported the boardwalk and for archeological evaluation of the temporary maintenance shed. Insofar as the decisions about what, if any, steps to take to restore or repair this site must be made through Tribal and State Historic Preservation Officer consultation, and this decision has not been reached, there will be no added amount for future restoration and repair.

Table 2. Cost of Restoration & Repair: Actual Costs

Position & Grade	Loaded hourly rate	Total Hours	Total Cost
Cultural Resource Management Specialist GS13/2 (0101 series)	\$55.32	19.45	\$1,075
Supervisory Archeologist GS12/9 (0193 series)	\$55.62	1.5	\$83
Supervisory Archeologist GS13/5 (0193 series)	\$53.41	12	\$640
TOTAL			\$1,798

The sum of the Cost of Restoration & Repair is **\$94,963** based on the combination of actual costs and costs of emergency restoration and repair as defined above.

Supporting Records:

E-mails &
Memos



IN REPLY REFER TO:

United States Department of the Interior

NATIONAL PARK SERVICE

Martin Van Buren National Historic Site

P. O. Box 545

Kinderhook, New York 12106

H3015 (MAVA) #42

May 5, 1994

Memorandum

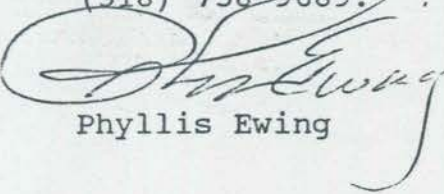
To: Regional Historian, Cultural Resources Division, NAR

From: Acting Superintendent, MAVA

Subject: XXX UV Film for Lindenwald

Enclosed please find the XXX for the removal of the existing UV film and the installation of new film. This contract is to satisfy a Task Directive 80-1 deficiency.

Thank You in advance and if you have any question please call me
(518) 758-9689.


Phyllis Ewing

ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES

A. ORIGINATING OFFICE

1. Park: MARTIN VAN BUREN NHS Park district (optional)

2. Work/Project Description:

a. Project name Removal/Replace UV Filters park project #(s)

b. Describe project and area of potential effects (as defined in 36 CFR Part 800.2(c)); explain why work/project is needed. Describe project and area of potential effects. The project is the removal of existing UV film on the window panes and the installation of replacement film. The purpose of this project is to replace the UV film as, it is identified in Special Directive 80-1 call as a museum deficiency.

3. Has the area of potential effects been surveyed to identify cultural resources?

No
[X] Yes Source or Reference MAVA Historic Structure Report 1986 (See Below)
Check here if no known cultural resources will be affected. (If area has been disturbed in the past, please explain or attach additional sheets to describe nature, extent, and intensity of disturbance.)

The window glass was not addressed in this report. Much of the glass has been replaced since 1976 and most of it since the 1930's.

4. Affected Resource(s):
Name and number(s): MAVA Historic Structure #1 location: Basement 1 & 2 floor NR status: Full
Name and number(s): location: NR status:
(REPEAT FOR EACH AFFECTED RESOURCE)

5. The proposed action will: (Check as many as apply.)

- Destroy, remove, or alter features/elements from a historic structure
Replace historic features/elements in kind
[X] Add nonhistoric features/elements to a historic structure
Alter or remove features/elements of a historic setting or environment (inc. terrain)
Add nonhistoric features/elements (inc. visual, audible, or atmospheric) to a historic setting or cultural landscape
Disturb, destroy, or make archeological resources inaccessible, or alter terrain
[X] Potentially affect presently unidentified cultural resources
Begin or contribute to deterioration of historic fabric, terrain, setting, landscape elements, or archeological or ethnographic resources
Involve a real property transaction (exchange, sale, or lease of land or structures)
(OPTIONAL) Meet criteria for Programmatic Exclusion C.1 in the 1990 Servicewide Programmatic Agreement for Section 106 compliance.
Other (please specify)

6. Measures to prevent or minimize loss or impairment of historic/prehistoric fabric, setting, integrity, or data:
This action will help protect the historic fabric of the mansion. In the contract controls are stated for the protection of the historic fabric covering the actual time of film removal and installation. The collection in the mansion while also be

7. Supporting Study Data: (attach if feasible; if action is in a plan, give name and project or page number): protected
MAVA 80-1 Report

8. Attachments: [] Maps [] Archeological Clearance, if applicable [] Drawings [] Specifications
[] Photographs [] Scope of Work [] Site plan [] List of Materials [] Samples
[] Other

9. Prepared by Phyllis Ewing Date May 5, 1994

Title Curator Telephone 518 758-9689

10. I certify that the proposed work conforms to NPS Management Policies and NPS-28.
Acting

Signature of Superintendent  (Phyllis Ewing)

Date May 5, 1994

B. REGIONAL ASSESSMENT

RECOMMENDED ASSESSMENT OF EFFECT (completed by Regional compliance coordinator):

 No Effect No Adverse Effect Adverse Effect

COMPLIANCE REQUIREMENTS--PLEASE INDICATE WHICH OF THE FOLLOWING APPLIES.

- 1. STANDARD 36 CFR PART 800 CONSULTATION
Consultation under 36 CFR Part 800 has been carried out subsequent to preparation of this XXX form.
- 2. PROGRAMMATIC EXCLUSION
The above action meets all conditions for a programmatic exclusion under Stipulation C.1 or C.2 of the 1990 Servicewide PA.
APPLICABLE EXCLUSION(s): C.1 [specify a-m] or C.2 addition.
- 3. PLAN-RELATED UNDERTAKING
Consultation about the proposed undertaking was completed in the context of a plan review process, in accordance with the 1990 Servicewide PA, Stipulation E or F, and 36 CFR Part 800. (If Stipulation F of the 1990 PA applied to this case, please so note.)
- 4. MOA-RELATED UNDERTAKING
Consultation about the proposed action was conducted in development of a Memorandum of Agreement or Programmatic Agreement approved by NPS, the SHPO and the Advisory Council.

Contingent upon stipulations developed in the consultation process or listed above, requirements for Section 106 compliance have been met.

STIPULATIONS/CONDITIONS:



Signed _____ Date _____

Regional Compliance Coordinator

Approved _____ Date _____

Regional Director



IN REPLY REFER TO:

United States Department of the Interior

NATIONAL PARK SERVICE

Martin Van Buren National Historic Site

P. O. Box 545

Kinderhook, New York 12106

January 31, 1996

H-42

Memorandum

To: Associate Field Director for Research, Planning and Resource Stewardship,
Northeast Field Area

From: Superintendent, Martin Van Buren National Historic Site

Subject: Updated Information Related to Implementation of 1995 Servicewide
Programmatic Agreement for Section 106 Compliance

The attached forms should document MAVA's compliance with the 1995 Servicewide Programmatic Agreement for Section 106 Compliance.

Martin Van Buren NHS has selected Phyllis A. Ewing, Museum Curator, to be the parkwide 106 Coordinator as per the Servicewide Agreement. The Upstate Subcluster has selected a team of Section 106 Advisors to advise the entire subcluster on discipline specific 106 issues. This will, we hope, help the SHPO identify NPS contact people more readily. My performance standards as Superintendent are presently being changed to reflect my accountability and responsibility for Section 106 compliance at Martin Van Buren National Historic Site.

If you have any further questions, please call me at (518) 758-9689.

Michael D. Henderson

**NEFA SECTION 106 UPDATE
JANUARY 1996**

Park Name: Martin Van Buren N.H.S.

TRAINING

1. Please indicate which types of training park staff have received.

TYPE OF TRAINING	Supt.	Section 106 Coordinator	Advisors on Park Staff
Advisory Council Training			
Formal Service or Region-wide Training	X	X	
SHPO and other Agency Training			
Sessions on Section 106 as Part of CRM or other Compliance Training		X	
Section 106 Reorientation Workshop			
Work Experience and/or Other Training (Specify)			

2. Is further training by those with direct involvement in Section 106 compliance necessary? Yes X No . If yes, please answer questions 3.
3. How many persons need to receive this training? 0. Of the categories listed in the table above, which type(s) of training would you like to see?
4. Do you have any specific comments or suggestions respecting training that you would like us to forward to WASO? No.

REVISION OF SUPERINTENDENT'S PERFORMANCE STANDARDS

- (a) My standards have been revised to reflect the delegation of Section 106 responsibilities and relevant pages are attached.
- (b) My standards are being revised. The final is expected (date): 3/96.
- (c) My PD has not been revised.

SHPO MEETING

Have you held your initial meeting with your State Historic Preservation Officer in accord with Stipulation IX.A. (page 7) of the 1995 Programmatic Agreement?

- (a) Yes, the meeting has been held.
- (b) No, the meeting has been scheduled.
- (c) No, the meeting has yet to be arranged.

SECTION 106 COORDINATOR and ADVISORS

COORDINATOR Name: Phyllis Ewing **PARK:** MAVA

Current Title: Museum Curator **Phone:** (518) 758-9689

Coordinator's 106 responsibilities are described in: PD Perf. Standards

Coordinator has previous Section 106 Experience? yes no

Coordinator has had Section 106 Training? yes no

Course(s)/Dates: 02/28/1995 03/02/1995

ADVISORY TEAM	Name/Title/Location	Term
ARCHEOLOGIST	<i>David Starbuck, Archeologist Saratoga National Historical Park 648 Route 32 Stillwater, NY 12170</i>	
CURATOR	<i>Anne Jordan, Supervisory Curator Roosevelt-Vanderbilt Sites 519 Albany Post Road Hyde Park, NY 12538</i>	
ETHNOGRAPHER	<i>Rebecca Joseph, Ethnographer New England System Support Office 15 State Street Boston, MA 02109</i>	

HISTORICAL ARCHITECT	<i>Richard Crisson, Historical Architect Northeast Cultural Resources Center Boott Cotton Mills Museum Building Fourth Floor 400 Foot of John Street Lowell, MA 01852</i>	
HISTORICAL LANDSCAPE ARCHITECT	<i>Lauren Meier, Historical Landscape Architect Olmsted Center for Landscape Preservation 99 Warren Street Brookline, MA 02146</i>	
HISTORIAN	<i>Larry Lowenthal, Historian Springfield Armory National Historic Site One Armory Square Springfield, MA 01105</i>	

Superintendent: _____



Date: _____

01/22/95



United States Department of the Interior

NATIONAL PARK SERVICE

North Atlantic Region
15 State Street
Boston, Massachusetts 02109-3572

IN REPLY REFER TO:

July 5, 1994

H42 (NAR-RCR)

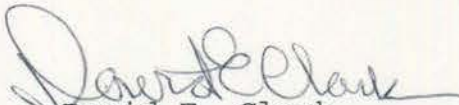
Memorandum

To: Superintendent, Martin Van Buren National Historic Site

From: Acting Associate Regional Director, Resources Management
and Research, North Atlantic Region

Subject: Section 106 Compliance
Re: Removal/Replace UV Filters (Reg. Acc. No. 5-19-94a)

Attached is an approved copy of your Section 106 submittal for the subject project for which you have received cc: mail notification. The Section 106 review is now complete.


David E. Clark

Attachment

ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES
ORIGINATING OFFICE

- A.
1. Park: MARTIN VAN BUREN NHS Park district (optional) _____
2. **Work/Project Description:**
a. Project name Removal/Replace UV Filters park project #(s) _____
b. Describe project and area of potential effects (as defined in 36 CFR Part 800.2(c)); explain why work/project is needed. Describe project and area of potential effects. The project is the removal of existing UV film on the window panes and the installation of replacement film. The purpose of this project is to replace the UV film as, it is identified in Special Directive 80-1 call as a museum deficiency.
3. Has the area of potential effects been surveyed to identify cultural resources?
 No
 Yes Source or Reference MAVA Historic Structure Report 1986 (See Below)
_____ Check here if no known cultural resources will be affected. (If area has been disturbed in the past, please explain or attach additional sheets to describe nature, extent, and intensity of disturbance.)
The window glass was not addressed in this report. Much of the glass has been replaced since 1976 and most of it since the 1930's.
4. Affected Resource(s):
Name and number(s): MAVA Historic Structure #1 location: Basement 1 & 2nd floor NR status: Full
Name and number(s): _____ location: _____ NR status: _____
(REPEAT FOR EACH AFFECTED RESOURCE)
5. The proposed action will: (Check as many as apply.)
 Destroy, remove, or alter features/elements from a historic structure
 Replace historic features/elements in kind
 Add nonhistoric features/elements to a historic structure
 Alter or remove features/elements of a historic setting or environment (inc. terrain)
 Add nonhistoric features/elements (inc. visual, audible, or atmospheric) to a historic setting or cultural landscape
 Disturb, destroy, or make archeological resources inaccessible, or alter terrain
 Potentially affect presently unidentified cultural resources
 Begin or contribute to deterioration of historic fabric, terrain, setting, landscape elements, or archeological or ethnographic resources
 Involve a real property transaction (exchange, sale, or lease of land or structures)
 (OPTIONAL) Meet criteria for Programmatic Exclusion C.1 ___ in the 1990 Servicewide Programmatic Agreement for Section 106 compliance.
 Other (please specify)
6. Measures to prevent or minimize loss or impairment of historic/prehistoric fabric, setting, integrity, or data:
This action will help protect the historic fabric of the mansion. In the contract controls are stated for the protection of the historic fabric covering the actual time of film removal and installation. The collection in the mansion while also be
7. Supporting Study Data: (attach if feasible; if action is in a plan, give name and project or page number): protected
MAVA 80-1 Report
8. Attachments: [] Maps [] Archeological Clearance, if applicable [] Drawings [] Specifications
[] Photographs [] Scope of Work [] Site plan [] List of Materials [] Samples
[] Other _____

9. Prepared by Phyllis Ewing Date May 5, 1994

Title Curator Telephone 518 758-9689

10. I certify that the proposed work conforms to NPS Management Policies and NPS-28.
Acting

Signature of Superintendent  (Phyllis Ewing)
Date May 5, 1994

B. REGIONAL ASSESSMENT

RECOMMENDED ASSESSMENT OF EFFECT (completed by Regional compliance coordinator):

 No Effect X No Adverse Effect Adverse Effect

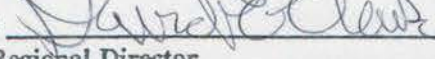
COMPLIANCE REQUIREMENTS--PLEASE INDICATE WHICH OF THE FOLLOWING APPLIES.

1. STANDARD 36 CFR PART 800 CONSULTATION
Consultation under 36 CFR Part 800 has been carried out subsequent to preparation of this XXX form.
2. PROGRAMMATIC EXCLUSION
The above action meets all conditions for a programmatic exclusion under Stipulation C.1 or C.2 of the 1990 Servicewide PA.
APPLICABLE EXCLUSION(S): C.1 a [specify a-m] or C.2 addition.
3. PLAN-RELATED UNDERTAKING
Consultation about the proposed undertaking was completed in the context of a plan review process, in accordance with the 1990 Servicewide PA, Stipulation E or F, and 36 CFR Part 800. (If Stipulation F of the 1990 PA applied to this case, please so note.)
4. MOA-RELATED UNDERTAKING
Consultation about the proposed action was conducted in development of a Memorandum of Agreement or Programmatic Agreement approved by NPS, the SHPO and the Advisory Council.

Contingent upon stipulations developed in the consultation process or listed above, requirements for Section 106 compliance have been met.

STIPULATIONS/CONDITIONS:

Signed  Date 6/10/94
Regional Compliance Coordinator

Approved  Date 6/6/94
Regional Director

REGIONAL CULTURAL RESOURCES SPECIALISTS REVIEW

REGIONAL CONTROL# _____ IDLCS# _____ IDCLI# _____ CSI/ARI# _____

I have reviewed this proposal for conformity with requirements for the Section 106 process with the 1990 Servicewide Programmatic Agreement (if applicable), and applicable parts of the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation, NPS Management Policies, and NPS-28. I have stated any additional stipulations that should apply, and I concur in the recommended assessment of effect above.

SIGNED:

Dick Pung Hsu _____ Date 6/2/94
REGIONAL ARCHEOLOGIST

Comments: _____
Nora J Mitchell _____ Date 5/31/94
REGIONAL HISTORICAL LANDSCAPE ARCHITECT*
SPECIALIST

Comments: _____
[Signature] _____ Date 5/31/94
REGIONAL CURATOR

Comments: _____
Rebecca Joseph _____ Date 6/20/94
REGIONAL ETHNOGRAPHER*

Comments: _____
[Signature] _____ Date 6/10/94
REGIONAL HISTORIAN

Comments: _____
[Signature] _____ Date 5/31/94
REGIONAL HISTORICAL ARCHITECT

Comments: _____

OTHER _____ Date _____

Comments: _____

* Regions without a Regional historical landscape architect or ethnographer leave these lines blank.

NOTIFICATION OF PERSONNEL ACTION

1. Name (Last, First, Middle) EWING, PHYLLIS A		2. Social Security Number (b) (6), (b) (7)(C)		3. Date of Birth ██████████		4. Effective Date 07-06-97																	
FIRST ACTION				SECOND ACTION																			
5-A. Code 721		5-B. Nature of Action REASSIGNMENT		6-A. Code		6-B. Nature of Action																	
5-C. Code N311		5-D. Legal Authority REG 335.102 COMP		6-C. Code		6-D. Legal Authority																	
5-E. Code		5-F. Legal Authority		6-E. Code		6-F. Legal Authority																	
7. FROM: Position Title and Number MUSEUM CURATOR 1950 -00072				15. TO: Position Title and Number PARK MANAGER 6516 -00001																			
8. Pay Plan GS		9. Occ. Code 1015		10. Grade/Level 12		11. Step/Rate 01		12. Total Salary \$44953		13. Pay Basis PA		16. Pay Plan GS		17. Occ. Code 0025		18. Grade/Level 12		19. Step/Rate 01		20. Total Salary/Award \$44953		21. Pay Basis PA	
12A. Basic Pay \$42890		12B. Locality Adj. \$2063		12C. Adj. Basic Pay \$44953		12D. Other Pay \$0.		20A. Basic Pay \$42890		20B. Locality Adj. \$2063		20C. Adj. Basic Pay \$44953		20D. Other Pay \$0.									
14. Name and Location of Position's Organization NORTHEAST FIELD AREA MARTIN VAN BUREN NATL HIST SIT KINDERHOOK, NEW YORK												22. Name and Location of Position's Organization MIDWEST FIELD AREA PERRY'S VICTORY&INTNL PEACE ME PUT IN BAY, OHIO											

EMPLOYEE DATA														
23. Veterans Preference <input checked="" type="checkbox"/> 1 - None <input type="checkbox"/> 2 - 5-Point <input type="checkbox"/> 3 - 10-Point/Disability <input type="checkbox"/> 4 - 10-Point/Compensable <input type="checkbox"/> 5 - 10-Point/Other <input type="checkbox"/> 6 - 10-Point/Compensable/30%						24. Tenure <input checked="" type="checkbox"/> 1 - None <input type="checkbox"/> 0 - None <input type="checkbox"/> 1 - Permanent <input type="checkbox"/> 2 - Conditional <input type="checkbox"/> 3 - Indefinite			25. Agency Use <input checked="" type="checkbox"/> F <input type="checkbox"/> SEX		26. Veterans Preference for RIF <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO			
27. FEGLI <input checked="" type="checkbox"/> COVERED BY BASIC FEGLI						28. Annuitant Indicator <input checked="" type="checkbox"/> NOT APPLICABLE			29. Pay Rate Determinant <input type="checkbox"/>					
30. Retirement Plan (b) (6), (b) (7)(C)						31. Service Comp. Date (Leave) 04-03-88			32. Work Schedule <input checked="" type="checkbox"/> FULL - TIME			33. Part-Time Hours Per Biweekly Pay Period <input type="checkbox"/>		

POSITION DATA														
34. Position Occupied <input checked="" type="checkbox"/> 1 - Competitive Service <input type="checkbox"/> 3 - SES General <input type="checkbox"/> 2 - Excepted Service <input type="checkbox"/> 4 - SES Career Reserved						35. FLSA Category <input checked="" type="checkbox"/> E - Exempt <input type="checkbox"/> E - Exempt <input type="checkbox"/> N - Nonexempt			36. Appropriation Code			37. Bargaining Unit Status 8888		
38. Duty Station Code 39-6780-123						39. Duty Station (City - County - State or Overseas Location) PUT IN BAY, OTTAWA, OHIO								
40. AGENCY DATA CLS 00		41. NET STAT N		42. EDUC LVL 09		43. SUPV. IND. 2		44. POSITION SENSITIVITY NON SENSITIVE						

45. Remarks
 PAYMENT OF TRAVEL AND TRANSPORTATION EXPENSES OF EMPLOYEE, IMMEDIATE FAMILY, AND HOUSEHOLD GOODS AUTHORIZED IN ACCORDANCE WITH ADMINISTRATIVE EXPENSES ACT OF 1946, AS AMENDED, AND REGULATIONS ISSUED THEREUNDER. CODE(b) IN BLOCK 30 INDICATES COVERAGE BY (b) (6), (b) (7)(C) SELECTED FROM MWRO 96-38 DATED 05/12/97. OFF MAINTAINED BY INT-NPS-OMAHA

SELECTED FROM THE ANNOUNCEMENT UNDER THE PARK MANAGER DEVELOPMENT PROGRAM. FOLLOWING SUCCESSFUL COMPLETION OF THE PROGRAM, THE EMPLOYEE MAY BE PLACED WITHOUT FURTHER COMPETITION IN A PARK MANAGER OR COMPARABLE MGMT. POSITION IN THE MIDWEST REGION AT GRADES UP TO AND INCLUDING GS-13. SUCH NONCOMPETITIVE PLACEMENT IS SUBJECT TO SUCCESSFUL PROGRAM COMPLETION AND AVAILABILITY OF APPROPRIATE MIDWEST REGION VACANCIES. MINIMUM PROGRAM LENGTH IS 2 YEARS. SELECTION IS CONDITIONED ON SIGNING A MOBILITY/CONTINUED SERVICE AGREEMENT.
 SUBJECT TO COMPLETION OF ONE YEAR MANAGERIAL PROBATIONARY PERIOD BEGINNING 07/26/97

46. Employing Department or Agency INT-NAT'L PARK SVS			49. Approval Date 07-14-97			50. Signature/Authentication and Title of Approving Official CAROL SOLNOSKY PERSONNEL MANAGEMENT SPECIALIST		
47. Agency Code IN10		48. Personnel Office ID 1615		AUTHORIZING OFFICIAL				

- Use one-part form for work-sheet. Privacy Act Information on reverse of copy 3.
- Please read instructions on the reverse side of the last copy before completing this form.
- Please type font and do not remove carbons and copies 1-4 from
- Typewriter tab stops indicated by ▽ below.

REQUEST, AUTHORIZATION, AGREEMENT AND CERTIFICATION OF TRAINING				A. Agency code agency subelement and submitting office number <small>(Example—XX-XX-XXXX)</small> IN-10-1615		B. OFFICE USE ONLY 01																						
				C. Request status (Mark (X) one) <input checked="" type="checkbox"/> Initial or Resubmission		02 <input type="checkbox"/> Correction or Cancellation																						
Section A—TRAINEE INFORMATION																												
1. Applicant's name (Last-First-Middle Initial) Ewing, Phyllis A			2. Social Security Number (b) (6), (b) (7)		3. Date of birth (Year and month) (b)																							
4. Home address (Number, street, city, State, ZIP code)			5. Home telephone Area code: Number		6. Position level (Mark (X) one only) <input checked="" type="checkbox"/> a. Non-supervisory <input type="checkbox"/> b. Supervisory <input type="checkbox"/> c. Manager <input type="checkbox"/> d. Executive																							
7. Organization mailing address (Branch Division / Office / Bureau / Agency) National Park Service, PEVI PO Box 549, Put-in-Bay, OH 43456			8. Office telephone Area code: Number: Extension 419: 285: 2184		9. Continuous civilian service Years: Months 9: 9		10. Number of prior non-government training days																					
11a. Position title / function Park Manager		11b. Applicant handicapped or disabled (See instructions)		12. Pay plan / series / grade / step GS-0025-12/1		13. Type of appointment permanent	14. Education Level																					
Section B—TRAINING COURSE DATA																												
15a. Name and mailing address of training vendor (No., street, city, State, ZIP code) National Park Service, MW Region 1709 Jackson St., Omaha, NE 68102					15b. Location of training site (If same, mark box)																							
16. Course title and training objectives (Benefits to be derived by the Government) LAW ENFORCEMENT FOR MANAGERS Recommended for Managers supervising Law Enforcement employees.																												
17. Catalog / Course No LE Mangers 801		18. Training period (6 digits) Year: Month: Day a. Start: 98 03 23 b. Complete: 98 03 27		19. No. of course hours (4 digits) a. During duty: 0040 b. Non-duty: 0000 c. TOTAL: 0040		20. Training codes (See instructions) a. Purpose: 3 b. Type: 8		10 c. Source: 1 11 d. Special interest: 0																				
AGENCY USE ONLY																												
Section C—ESTIMATED COSTS AND BILLING INFORMATION				Section D—APPROVALS																								
21. Direct costs and appropriation / fund chargeable				26a. Immediate supervisor—Name and title John P. Debo, Jr. Superintendent																								
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th rowspan="2">Item</th> <th colspan="2">Amount</th> <th rowspan="2">Appropriation / fund</th> </tr> <tr> <th>Dollars</th> <th>Cents</th> </tr> <tr> <td>a. Tuition</td> <td>\$</td> <td></td> <td></td> </tr> <tr> <td>b. Books or materials</td> <td></td> <td></td> <td></td> </tr> <tr> <td>c. Other (Specify)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>d. (Enter 4 digits in dollar column) TOTAL</td> <td>\$</td> <td></td> <td></td> </tr> </table>		Item	Amount		Appropriation / fund	Dollars	Cents	a. Tuition	\$			b. Books or materials				c. Other (Specify)				d. (Enter 4 digits in dollar column) TOTAL	\$			Area code / Tel. No. / Extension 440-546-5099 5903		b. Signature <i>Tom Brady</i>		Date 1/22/98
Item	Amount		Appropriation / fund																									
	Dollars	Cents																										
a. Tuition	\$																											
b. Books or materials																												
c. Other (Specify)																												
d. (Enter 4 digits in dollar column) TOTAL	\$																											
22. Indirect costs and appropriation / fund chargeable				27a. Second line supervisor—Name and title																								
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th rowspan="2">Item</th> <th colspan="2">Amount</th> <th rowspan="2">Appropriation / fund</th> </tr> <tr> <th>Dollars</th> <th>Cents</th> </tr> <tr> <td>a. Travel</td> <td>\$</td> <td></td> <td></td> </tr> <tr> <td>b. Per diem</td> <td></td> <td></td> <td></td> </tr> <tr> <td>c. Other (Specify)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>d. (Enter 4 digits in dollar column) TOTAL</td> <td>\$</td> <td></td> <td></td> </tr> </table>		Item	Amount		Appropriation / fund	Dollars	Cents	a. Travel	\$			b. Per diem				c. Other (Specify)				d. (Enter 4 digits in dollar column) TOTAL	\$			Area code / Tel. No. / Extension		b. Signature		Date
Item	Amount		Appropriation / fund																									
	Dollars	Cents																										
a. Travel	\$																											
b. Per diem																												
c. Other (Specify)																												
d. (Enter 4 digits in dollar column) TOTAL	\$																											
23. Document / Purchase Order / Requisition No				Section E—APPROVAL / CONCURRENCE																								
24. 8 Digit station symbol (Example—12-34 5678)		14-10-0099		29a. Authorizing official—Name and title																								
25. BILLING INSTRUCTIONS (Furnish invoice to)				b. Signature		Approved / Disapproved / Date																						
Section F—CERTIFICATION OF TRAINING COMPLETION																												
30a. Certifying official—Name and title				Area code / Tel. No. / Extension																								
b. Signature				Date																								

TRAINING FACILITY ▶ Bills should be sent to office indicated in item 25 • Please refer to number given in item 23 to assure prompt payment.

LAW ENFORCEMENT FOR MANAGERS--NOMINATION FORM

Name: Phyllis Ewing SSN: (b) (6), (b) (7) M: F: XX

Park or Regional Area (Four Letter Acronym): PEVI City/State: Put-in-Bay, Ohio

Phone: 518-758-9689 Fax: 518-758-2516 cc: mail address Ewing, Phyllis

Official Title: Superintendent Course Dates: March 23-27, 1998

Pay plan/series/grade: 025 GS-12/2 NPS Service Years: 9 years

1. Is nominee in a management position with responsibility for National Park Service law enforcement operations? Yes X No

2. Has nominee had any recent experience as a National Park Service "Level I" law enforcement officer? Yes No X

Attendance Justification Statement:

While the PEVI staff is small, there are usually three law enforcement rangers in the summer season. Their role is very important because of the Site location, a resort island with many bars etc. There can be several incidents a day.

While I've worked in parks with law enforcement personnel ~~XXX~~ I've never supervised any law enforcement staff.

Phyllis Ewing
Nominee's Name (print)



Nominee's Signature

Jan. 14, 1998
Date

TOM BRADLEY
Supervisor's Name (print)

Tom Bradley
Supervisor's Signature

1/20/98
Date

Author: Sherie Maddox at NP-MWRO
Date: 12/30/97 11:47 AM
Subject: Fire Mgt Leadership and LE for Managers courses

DEC 30

----- Message Contents -----

Official Electronic Mail to be sent via cc:Mail

=====

NATIONAL PARK SERVICE
Midwest Region
1709 Jackson Street
Omaha, Nebraska 68102

Memorandum

December 30, 1997

To: Superintendents, Midwest Region
From: Regional Director, Midwest Region
Subject: Fire Management Leadership and Law Enforcement
for Managers courses

There is consensus among the Associate Regional Directors for Operations that all park managers with law enforcement and/or fire management programs need to attend the Fire Management Leadership course and the Law Enforcement for Managers course. Law enforcement and fire management represent two of the activities where lack of knowledge and experience can be critical. These courses are particularly important for park managers without a law enforcement or fire management background.

The Fire Management Leadership course that will be held in 1998 is already full, but for information on the course that will be held in 1999 (nominations will be due November 1, 1998), please contact Fire Management Specialist Merrie Johnson at the Fire Management Program Center in Boise at 208-387-5224. A training announcement for this course will be issued in the Fall of 1998.

The next Law Enforcement for Managers course will be held at FLETC from March 23-27, 1998. Nominations are due to the Midwest Employee Development Office by February 10, so please apply if you have not already attended this course. For your convenience, we have attached the course announcement and nomination form (originally sent to all parks and offices on December 4). For details about this course, please contact Law Enforcement Training Manager Tom Cherry at 912-267-2795.

We appreciate the effort that you make to attend these critical courses.

/s/

William W. Schenk

COURSE ANNOUNCEMENT

Number: LE Mangers-801

Course: Law Enforcement for Managers

Course Description: This program is targeted at the upper management level. It is intended to familiarize participants with recent changes in Federal law including NPS Authority and Jurisdiction. In addition, participants will be provided with current information on law enforcement training, civil liability, NPS guidelines and USDI policies.

Participants: Field and Regional managers, with the total responsibility for law enforcement operations in their area, who have little formal training in law enforcement.

Method of Delivery: Lecture, Class Exercise, and Case Studies

Dates and Location: March 23 - 27, 1998
FLETC/Glynco, Georgia

Tuition, Room & Board: Paid by NPSLETC

Travel & Per Diem in route: Benefitting Account

To Apply: Please send the attached nomination form to Sherie Maddox, Midwest Employee Development Office, by February 10, 1998.
FAX: 402-221-3369 PH: 402-221-3356

Contact: Law Enforcement Development Center
cc: Mail\WASO FLETC-NPS (912) 267-2246
or
Tom Cherry @NP-WASO
(912) 267-2795

***** One page nomination form (in WP5.1 and Word) is attached *****

Jeff Richner
03/17/2010 11:16 AM
CDT

To: Ron Cockrell/Omaha/NPS@NPS
cc: Anne Vawser/MWAC/NPS@NPS
Subject: Fw: old EFMO email


This should clearly show that we were providing advice early on in terms of the Section 106 process. More importantly, it was at their request (see email from Supt. at the bottom of my 2001 message).

I'm glad I archived this....

regards,

JR

----- Forwarded by Jeff Richner/MWAC/NPS on 03/17/2010 11:12 AM -----

 Jeff Richner
03/19/2001 08:24 AM

To: EFMO Superintendent
cc:
Subject: Re:

There are four steps to Section 106 review, some of which have no specific time limits/deadlines:

- Step 1 - Initiate process
- Step 2 - Identify historic properties
- Step 3 - Assess adverse impacts
- Step 4 - Resolve adverse effects

The process is supposed to be initiated early "prior to the approval of the expenditure of any Federal funds on the undertaking." This does not include funds spent to identify properties within the project area. At this stage the agency establishes that there is an undertaking, and plans to involve the public and identify consulting parties.

As consultation with the SHPO begins, the SHPO (or Tribal Historic Preservation Office, where appropriate) must respond within 30 days when an agency submits a finding (there are several kinds of findings that can be submitted) for review. If the SHPO does not respond within this 30 day period, the agency may proceed with the process. In this case, the SHPO does not forfeit all further opportunity to participate in later stages of the process, but it does mean that the finding in question need not be revisited by the agency if requested to do so at a later date.

After an agency determines that it has an undertaking that requires further review and initiates the Section 106 process, it moves to step 2 by identifying historic properties (buildings, structures, sites, etc.). The SHPO is involved in this by assisting with the definition of the area of potential effects and the scope of needed identification efforts. If properties are identified, their eligibility to the Register must be evaluated. Two results are possible -- "no historic properties affected," and "historic properties affected." If the agency finding is "no historic properties affected" this finding is submitted and the SHPO/THPO has 30 days to object to the finding. If there is no objection, the Section 106 process is complete. If the SHPO objects, then a finding of "historic

01/12/11 Provided by
Jeff Richner RB-c

properties affected" is triggered.

When the result of Step 2 is a finding of "historic properties effected," then the agency moves to Step 3 to determine if the affects would be adverse. If finding of "no adverse effect" provided to SHPO, SHPO has 30 days to respond. If no response, then there is considered to be agreement on the finding. If SHPO disagrees with no adverse effect, can consult further until resolution, or send to Advisory Copuncil for review. The Council in this case has 15 days to comment -- no comment within that period equals agreement with agency.

If there is agreement on adverse effect, then the agency moves to Step 4, which often involves some kind of mitigation of impacts. For archeology, mitigation plans must be formal and must be agreed to by the SHPO and filed with the Advisory council. This part can be rather complex, and I will not try to summarize it in this brief note.

So basically, the answer to your question is that the SHPO has 30 days after the agency submits its findings to comment on the finding. However, there is an assumption that the SHPO has been involved from a much earlier stage in the process and would already know what was planned before receiving the finding from the agency.

I hope this is of some use.

Jeff

_____ Reply Separator _____

Subject:

Author: EFMO Superintendent at np-efmo

Date: 3/16/01 4:08 PM

Mike/Jeff:

Whichever of you can respond!

Could you provide timelines required for the following processes:

NEPA/EA Public Review

Sec. 106

Any questions please call Friday Wiles on Monday. Thank you!



United States Department of the Interior

NATIONAL PARK SERVICE
Effigy Mounds National Monument
151 Hwy. 76
Harpers Ferry, Iowa 52146-7519

IN REPLY REFER TO:

September 12, 2001

Memorandum

To: Superintendent, Effigy Mounds N.M.

From: Chief of Maintenance, Effigy Mounds N.M.

Subject: Compliance for Construction of ADA Boardwalk to 3 Mounds

Per our discussion at the September 11, 2001 staff meeting concerning the relocation/widening of the existing trail to the 3 Mounds area I feel that the project falls within the 1995 Programmatic Agreement, Section IV B 6, and is not subject to additional review.

The relocation of the trail will stop destruction to the resource caused by the present location of the existing trail and will be located on an old logging road and in previously disturbed area, (Farmed and previous excavations documented in park files). Ground disturbance will be restricted to post holes approximately 12" in diameter and up to 4' deep. Maintenance staff involved in this have participated in Archeological Site Survey training and are cognizant of what they should be looking for and to stop work immediately if any culturally significant materials are uncovered.

Thomas L. Sinclair
Chief of Maintenance/Park 106 Coordinator

Phyllis Ewing

04/09/2003 05:33 PM
CDT

To: Friday Wiles/EFMO/NPS@NPS
cc:
Subject: Conversation with Michele Evermore of Senator Harkins Office

Monday March 31, 2003
Conversation with Michele Evermore of Senator Harkins Office

Spoke to Director Quintana to tell him what I was going to say to the Senator's Office.

Mentioned we were to get \$160,000.00 from NPS this year.

Mentioned mandatory needs of the Park Service in general.

Mentioned that the staff worked very hard to get project mandatory work completed 106, NEPA, FMSS, etc.

But it was the mandate of the Organic Act - the everyday protecting resources and providing education and enjoyment for the visitors that suffer from our lack of base money. No cultural resource person, only one natural resource person for the 2500 acres, 6 month LE, and only one full time person in interpretation maintenance.

We are open 12 months a year and for our locals provide special program during the winter months - 2000 - 300 visitors a month. .

We don't meet the needs of our schools - more school want to come but we do not have the money to provide tours.

Our priorities are the same as before - our PMIS base increase list.

As requested, called Director Quintana back and told him about the conversation.

Phyllis Ewing
Superintendent
Effigy Mounds National Monument
151 HWY 76
Harpers Ferry, IA 52146
Voice: 563-873-3491 FAX: 563-873-3743
phyllis_ewing@nps.gov



United States Department of the Interior

NATIONAL PARK SERVICE

Effigy Mounds National Monument
151 Hwy. 76
Harpers Ferry, Iowa 52146-7519

IN REPLY REFER TO:

October 29, 2003

To: Phyllis Ewing, Superintendent

From: Robert Palmer, Park Ranger

RE: Report on unsupervised excavation of tree planting holes

Dear Phyllis,

The purpose of this memo is to document the unsupervised excavation of seven holes by a tree planting contractor, to report on the subsequent findings of the 'rescue' archaeology work carried out by Park Ranger Robert Palmer at Effigy Mounds National Monument on October 22, 2003, and to offer some constructive suggestions regarding the nature of this incident.

Upon arriving to work on October 22, 2003, Ranger Palmer observed a tree planting contractor digging the first of a series of tree planting holes in the 'island' adjacent to the visitor center parking lot, and near the residences located west of the parking lot. Ranger Palmer inspected the hole closest to the visitor center and in the dirt removed from the hole, found a chert flake that had surface characteristics that strongly suggested that the material had been modified by humans.

Ranger Palmer reported this find to Park Superintendent Ewing and told her that where the holes were being dug was the location of a former American Indian burial mound group, and that it was very likely that additional cultural materials were being disturbed by the activity. Palmer recommended that at the very least the dirt from these holes should be screened for other cultural materials, to which Superintendent Ewing agreed.

The backfill dirt from the seven (7) holes was screened as quickly as possible to avoid interfering with the contractor. Materials recovered were: 45 modified chert flakes, two pieces of charcoal, two pieces of historic period glass or stoneware and one possible piece of bone, possibly human. Additionally, several larger rectangular shaped stones (about 25 cm in length) were removed from hole #7 and replaced back into the hole. The bone has been sent to Shirley Shermer at the Office of the State Archaeologist for identification.

No photographs of these items or the holes or the soil profile were able to be taken, as the trees were literally being put into the holes as the screening was completed.

The materials recovered from each hole are as follows:

- Hole #1: 10 Chert flakes, 1 piece of bone, 1 piece of charcoal
- Hole #2: 16 Chert flakes
- Hole #3: 15 Chert flakes, 1 piece of historic ceramic, 1 piece of charcoal
- Hole #4: 3 Chert flakes, 1 piece of historic glass
- Hole #5: No items of distinguishable nature
- Hole #6: No items of distinguishable nature
- Hole #7: Large rectangular shaped stones (placed back in hole)

As per your request.
[Signature]

Provided by Anne Vawter

01/25/11

D6-1

Description of Soil Profiles

The profile of hole #1 consisted of a top lens of approximately 25 centimeters of 'overfill', then a lens of approximately 10 cm of former topsoil followed by what appeared to be undisturbed subsoil.

Hole #2 consisted of a top lens of approximately 5 cm of overfill, then a lens of approximately 10 cm of former topsoil followed by what appeared to be undisturbed subsoil.

Hole #3 consisted of what appeared to be a very thin lens (2 cm) of overfill, followed by a lens of topsoil. This in turn was followed by what appeared to be undisturbed subsoil.

Hole #4 had a thin lens of topsoil and did not appear to have the overfill that was present in holes 1-3.

Holes 5 & 6 These holes appeared to consist almost entirely of subsoil, and no distinguishable profile was able to be noted.

Hole #7 Not surprisingly considering the location of this hole (in the yard adjacent to the former Chief Rangers house), no soil profile was distinguishable. There were however several large stones unearthed that were possibly parts or remnants of an earlier building foundation.

Discussion

As the nature of this 'project' was rescue, there was little time to collect any data beyond the artifacts themselves and what could be cursorily observed during the screening. In addition to the recovered artifacts, the most interesting item of note was the soil profile in the various holes described above. The amount and location of cultural materials recovered, combined with the depths of soil types in the various holes, suggest the following:

- 1) When the parking lot was constructed, the ground surface was graded from west to east, leaving the western end of the parking lot devoid of topsoil, and in turn depositing the original layers of topsoil over the eastern end of the parking lot.
- 2) As the original TH Lewis Mound Group stretched across this terrace, cultural materials from mounds located on what is now the upper (western) end of the parking lot island, have been graded (and subsequently scattered) in varying depths over the entirety of the eastern end of the parking lot island. This presumption is in part supported by the presence of heat treated chert along with and the possible piece of bone that may be human that appeared to come from the overfill soil horizon.

As noted above, the grading of a burial mound group 40 to 45 years ago to construct a parking lot has in all likelihood moved a significant amount of cultural materials (which no doubt would include the presence of human remains) from one end of the site to the other. While this will have destroyed the context of these items, there is little doubt that cultural burial materials are still there and are now scattered in a thin layer just below the surface.

- 4) While in the past the visitor center, housing and maintenance area have been looked upon as 'heavily disturbed' and containing no notable cultural materials, the results of the finds associated with this rescue project would suggest that this viewpoint should be urgently reviewed.

Bob's memo was longer, but I felt the balance was interposed related. Also, I don't know if the "Discussion" section is all factual.
Stephen E. ...

10/29/03

TO: Phyllis Ewing, Superintendent

FROM: Robert Palmer, Park Ranger

RE: Unsupervised excavation of holes by contractor

Dear Phyllis,

The purpose of this memo is to document the unsupervised excavation of seven holes by a tree planting contractor, to report on the subsequent findings of the 'rescue' archaeology work carried out by Park Ranger Robert Palmer at Effigy Mounds National Monument on October 22, 2003, and to offer some constructive suggestions regarding the nature of this incident.

Upon arriving to work on October 22, 2003, Ranger Palmer observed a tree planting contractor digging the first of a series of tree planting holes in the 'island' adjacent to the visitor center parking lot, and near the residences located west of the parking lot. Ranger Palmer inspected the hole closest to the visitor center and in the dirt removed from the hole, found a chert flake that had surface characteristics that strongly suggested that the material had been modified by humans.

Ranger Palmer reported this find to Park Superintendent Ewing and told her that where the holes were being dug was the location of a former American Indian burial mound group, and that it was very likely that additional cultural materials were being disturbed by the activity. Palmer recommended that at the very least the dirt from these holes should be screened for other cultural materials, to which Superintendent Ewing agreed.

The backfill dirt from the seven (7) holes was screened as quickly as possible to avoid interfering with the contractor. Materials recovered were: 45 modified chert flakes, two pieces of charcoal, two pieces of historic period glass or stoneware and one possible piece of bone, possibly human. Additionally, several larger rectangular shaped stones (about 25 cm in length) were removed from hole #7 and replaced back into the hole. The bone has been sent to Shirley Shermer at the Office of the State Archaeologist for identification.

No photographs of these items or the holes or the soil profile were able to be taken, as the trees were literally being put into the holes as the screening was completed.

The materials recovered from each hole are as follows:

Hole #1: 10 Chert flakes, 1 piece of bone, 1 piece of charcoal

Hole #2: 16 Chert flakes

Hole #3: 15 Chert flakes, 1 piece of historic ceramic, 1 piece of charcoal

Hole #4: 3 Chert flakes, 1 piece of historic glass
Hole #5: No items of distinguishable nature
Hole #6: No items of distinguishable nature
Hole #7: Large rectangular shaped stones (placed back in hole)

Description of Soil Profiles

The profile of hole #1 consisted of a top lens of approximately 25 centimeters of 'overfill', then a lens of approximately 10 cm of former topsoil followed by what appeared to be undisturbed subsoil.

Hole #2 consisted of a top lens of approximately 5 cm of overfill, then a lens of approximately 10 cm of former topsoil followed by what appeared to be undisturbed subsoil.

Hole #3 consisted of what appeared to be a very thin lens (2 cm) of overfill, followed by a lens of topsoil. This in turn was followed by what appeared to be undisturbed subsoil.

Hole #4 had a thin lens of topsoil and did not appear to have the overfill that was present in holes 1-3.

Holes 5 & 6 These holes appeared to consist almost entirely of subsoil, and no distinguishable profile was able to be noted.

Hole #7 Not surprisingly considering the location of this hole (in the yard adjacent to the former Chief Rangers house), no soil profile was distinguishable. There were however several large stones unearthed that were possibly parts or remnants of an earlier building foundation.

Discussion

As the nature of this 'project' was rescue, there was little time to collect any data beyond the artifacts themselves and what could be cursorily observed during the screening. In addition to the recovered artifacts, the most interesting item of note was the soil profile in the various holes described above. The amount and location of cultural materials recovered, combined with the depths of soil types in the various holes, suggest the following:

- 1) When the parking lot was constructed, the ground surface was graded from west to east, leaving the western end of the parking lot devoid of topsoil, and in turn depositing the original layers of topsoil over the eastern end of the parking lot.
- 2) As the original TH Lewis Mound Group stretched across this terrace, cultural materials from mounds located on what is now the upper (western) end of the parking lot island, have been graded (and subsequently scattered) in varying depths over the entirety of the eastern end of the parking lot island. This

presumption is in part supported by the presence of heat treated chert along with and the possible piece of bone that may be human that appeared to come from the overfill soil horizon.

- 3) As noted above, the grading of a burial mound group 40 to 45 years ago to construct a parking lot has in all likelihood moved a significant amount of cultural materials (which no doubt would include the presence of human remains) from one end of the site to the other. While this will have destroyed the context of these items, there is little doubt that cultural burial materials are still there and are now scattered in a thin layer just below the surface.
- 4) While in the past the visitor center, housing and maintenance area have been looked upon as 'heavily disturbed' and containing no notable cultural materials, the results of the finds associated with this rescue project would suggest that this viewpoint should be urgently reviewed.

Conclusion and points to consider

It is likely that had more time been spent, more items would have been recovered. To this end, had the procedures outlined by MWAC archaeologist Jeff Richner during his visit in July been followed, this work could have been carried out in a more thorough, and systematic manner without impacting any specific work program schedule.

As I have suggested to you in the past, and as I would once again like to point out, having the role of 106 compliance supervision rest with the Chief of Maintenance is a conflict of interest. Having the person who is responsible for programming, overseeing and carrying out projects that involve physical ground disturbance also responsible for compliance does not, at the very least, provide a perception to the general public of transparency and program integrity.

To the best of my knowledge, we may be the only park in the NPS where the compliance responsibility rests with the Chief of Maintenance. In a park with the scope and nature of archaeological resources that we have, we are alone in the NPS. Myself and my training and background aside, it is not as if the Chief of Maintenance is the only appropriately trained individual. We have at least one person outside of Maintenance (the Chief of Interpretation) who has been through the NPS paraprofessional training to supervise compliance work.

Lastly, I hope you fully realize that I am in no way attempting to question the integrity of the Chief of Maintenance. I believe that he, like the rest of us, has from his perspective the best interests of the park in mind. In saying that, I also hope that you can appreciate that my concern over this situation is enough to compel me to put these concerns to you in writing. We are an archaeological park which has now in the past 6 months had two cases (that I am aware of) where ground disturbing work was carried out without an appropriate level of pre-project compliance work, or at the very least on-site supervision. While only one possible bone fragment was found in this most recent episode, it could

just as easily been something more significant. Doing the necessary background compliance work before a project is undertaken would make uncovering something a much easier situation to deal with. Professionally speaking, I once again ask you in the clearest possible way for you to reconsider this arrangement.

Sincerely,

Robert Palmer

CC: Kathy DeHart, Lincoln Home NHS



Thomas L. Sinclair

11/05/2003 03:54 PM CST

To: Phyllis Ewing/EFMO/NPS@NPS
cc:
Subject: Trees 106

Phyllis,

Here is the belated 106 for the tree planting fiasco. I dated it 9/2/2003 but can change that if you feel that it is necessary. Also it documents all the information that I could glean from the documentation available to me downstairs. There may be more in the cage, specifically photographs and the mentioned Archeological study from 1959. Sharon was going to look when she had time.

Let me know if you want me to do anything else.

Again I apologize for somewhat unknowingly getting you into hot water.



trees106.doc

Thomas L. Sinclair
Chief of Maintenance
Effigy Mounds National Monument
Harpers Ferry, IA 52146
563-873-3491 cell 563-880-2372

November 3, 2003

MEMORANDUM OF TELEPHONE CALL

To: Phyllis Ewing, EFMO

From: Anne Vawser, Jeff Richner, and Tom Thiessen, MWAC

Subject: Tree plantings in island in EFMO parking lot

At Mark's direction, Anne and Jeff called Phyllis Ewing to discuss recent tree plantings in the island in the EFMO parking lot. EFMO Ranger Bob Palmer observed the work, suspected that artifacts were being unearthed, and screened the fill removed for the plantings. From this, Bob suggested that fill may have been dumped on the existing grade at the end of the island nearest the visitor center, and that intact archeological deposits may occur there. In the belief that the area was previously disturbed, no Section 106 compliance was undertaken for the tree plantings.

One piece of bone was found that was suspected to be human; it was provided to Shirley Schirmer of the OSA for identification. Anne and Jeff explained that if the bone is confirmed to be human, an inadvertant discovery situation (in NAGPRA terms) exists. In that case, we recommended that Phyllis consult Mike Evans for advice on consulting with culturally affiliated tribes.

Anne and Jeff said that MWAC would like to visit EFMO next spring and do limited test excavations in the island to better assess whether intact archeological deposits exist there.

Anne and Jeff suggested that whenever any undertaking is planned that will result in earth disturbance, a XXX form be drafted and circulated for review.

Phyllis was agreeable to all the suggestions. In addition, she explained that the South Unit Access Trail south of the Yellow River was now envisioned as an elevated walkway similar to the one installed north of the river. Because of this, a new routing is being planned, which will require considerable cutting into the slope that ascends to the Marching Bear Mound Group. The Regional Director visited EFMO recently, and indicated his preference that the trail follow an existing county and other roadway for less impact. However, Phyllis favors the elevated walkway concept because of lower long-term maintenance costs. I told her that Scott Stadler had inventoried the original route planned, and any deviation from it would require further inventory. We agreed that it may be possible to do this when the island testing is done in the spring.

TST

Anne Vawser

11/18/2004 02:45 PM

To: Phyllis Ewing/EFMO/NPS@NPS
cc: Jeff Richner/MWAC/NPS@NPS
Subject: Re: APRA Permit

Phyllis,

I've looked into the mounds you mentioned a little bit, and I believe what we need to do is Section 106 for the reburial. Primarily, this is because of the potential of encountering human remains in the process or reburying them. In the case of Mound 57, this is less likely, as the majority of the mound was excavated by Beaubien in the 50s. If this is the mound I'm thinking of with the big hole in the top, the remains can probably be placed in the current hole then covered with other soil without needing to dig into what is currently there (which could still be original mound material). The work will need to be documented regardless as material is being added to the mound. In the case of Mound 66, I did not find in my brief search about the mound, any information that extensive excavation of this mound has taken place. The materials being put back in may have come from a limited 'clean up' of a looters pit in the mound during repair by Andreson in 1960 (you probably know more about this than I do at this point). In this case, digging back into the mound to rebury remains has a greater likelihood of running into more remains, and we don't want that to happen!

So, what I suggest is that you do up a XXX to initiate the Sec. 106 process. That way its all documented in case we run into anything, and we can work closely with you to make sure we don't. So, it's not a big deal but we do need to do the 106 documentation. Give me a buzz if you have any more questions about this.

Anne Vawser
Archeological Information Management Team Leader
Midwest Archeological Center
National Park Service

"The liberty of a democracy is not safe if the people tolerate the growth of private power to a point where it becomes stronger than their democratic state itself. That , in its essence, is fascism - ownership of government by an individual, by a group or by any controlling power." Franklin D. Roosevelt

Phyllis Ewing

Phyllis Ewing

11/18/2004 11:59 AM CST

To: Anne Vawser/MWAC/NPS@NPS
cc:
Subject: APRA Permit

Anne -

As we spoke about a couple of days ago, do we need an ARPA Permit to return human remains back to the mounds from where they came? In this situation it would be mound 57 and mound 66. If so, can you do the permit or do I need to talk to someone else.

FYI - Jeff Richner just gave us an APRA Permit through the Iowa State Office of Archaeology for the grave we will be opening for some human remains that the monument has in our collection but were from outside our boundary. This location is away from any mounds, not in a mound.

As always, thank you!

P

Phyllis Ewing
Superintendent
Effigy Mounds National Monument
151 HWY 76

Harpers Ferry, IA 52146

Voice: 563-873-3491 FAX: 563-873-3743

phyllis_ewing@nps.gov

Effigy Mounds National Monument ONPS Base Funding Requests

\$175,000 to Establish Professional Cultural Resource Management Program.

A professional cultural resource management program is needed. For 25 years the 200+ prehistoric Indian mounds and 2100 museum artifacts, NAGPRA and Section 106 compliance issues and baseline data had been ignored at Effigy Mounds due to the lack of staff. Collateral duty assignments and intermittent staffing has resulted in a lower standard of care than is desired. Necessary monitoring of cultural resources has not been completed. Funding would support the following outcomes: conduct inventories and monitor resources; maintain collections, archives, and library; correct curatorial deficiencies; perform routine and preventive maintenance; develop relationships with affiliated tribes and guide the development of a sound interpretive and educational program for the 80,000 visitors. The partnerships with the 12 affiliated tribes would provide for in-depth cultural knowledge essential to the development of interpretive materials. These goals are noted in the park's Strategic Plan. Ultimately this would mean better protection and preservation of the park's cultural resources.

\$100,000 to Control and Mitigate Exotic Plant Infestations.

Funding is requested to reduce exotic plant infestations that threaten the prehistoric Native-American burial mounds and native prairies. The area of infestation by aggressive exotic plants continues to increase annually causing impacts to the native plant community. This funding will be used to control and reduce the current infestations and restore cultural and natural resources altered by past plant infestations. This program will result in a natural environment that will contain and or eliminate these exotic species (Buckthorn, honeysuckle, barberry, multi-flora rose and garlic mustard), restore the ground cover on the prehistoric Native-American burial mounds, and provide the means to give higher levels of public appreciation to the park's resources. The park's land mass increased in December 2000 from 1500 acres to 2526 acres.

\$230,000 to Expand Protection, Maintenance and Interpretation of New Lands.

On December 15, 2000, Effigy Mounds' land base increased by 1,045 acres (a 70% increase) requiring additional preservation, maintenance and visitor education. This land includes 4 known Native American burial mounds, approximately 18 habitation sites associated with 12 American Indian tribes, an archeological site of an 1830's US Army sawmill built by Jefferson Davis and other historic sites, habitat for federal and state endangered species and natural features of a river valley ecosystem. Funding will be used to expand inventorying, surveying, and stabilization of critical resources; maintain safe access points and trails for 80,000 visitors; expand interpretive hikes; and resource protection foot patrols. Critical partnerships will be developed with local tourism groups and bordering land management agencies to preserve resources and educate a public who has historically used this property for hunting and collecting of marketable plants.

\$200,000 to Provide Law Enforcement On New Lands.

A recent Law Enforcement Program Review listed Effigy Mounds as being "The most seriously threatened park in the Midwest Region as far as immediate threat to significant resources". Currently the park has one subject to furlough law enforcement ranger to ensure visitor safety and resource protection. Effigy Mounds acquired an area traditionally popular for animal hunting and collecting marketable plants, some of which are federally threatened or endangered. The park is increasingly vulnerable to property and resource damage, poaching, illegal and inappropriate backcountry use, and the proliferation of urban crime into rural areas. This funding would provide for basic officer safety and resource protection, improve equipment quality and availability, and increased coverage including back-up for high-risk contacts.

Grand Total: \$705,000



United States Department of the Interior

NATIONAL PARK SERVICE
Effigy Mounds National Monument
151 HWY 76
Harpers Ferry, Iowa 52146

IN REPLY REFER TO:

H4217 (EFMO)

November 7, 2007

**COPY FOR YOUR
INFORMATION**

*Original filed
in library 12/10*

Memorandum

To: Superintendent, Effigy Mounds National Monument

From: Facility Manager, Effigy Mounds National Monument

Subject: North Unit Building Site Investigation

On October 1, 2007, Facility Manager Tom Sinclair and Seasonal Laborer Rick Trudo (both of whom are para-professional archeology trained) and other maintenance personnel conducted a surface investigation of the area located in the North Unit of Effigy Mounds National Monument where the maintenance staging/storage area is located and a new storage structure was to be erected. The area was reportedly disturbed by crop and livestock farming (pre NPS ownership) and through past NPS activities in the area. 100% of the area involved was covered with an 8" to 10" layer of gravel that had been added to the ground surface to stabilize the area for use in 2001 so there was no bare ground surface exposed. Accordingly there were no findings of any cultural material from the surface investigation but because of the immediate location and the possibility of unknown materials beneath the surface extra precautions were taken and the investigation continued along with the project.

During the remainder of the weeks of October 1 and 8, 2007 the site was laid out and locations of support posts were marked. A total of 22 support posts (6" x 6" treated lumber), were marked and holes were augered out by tractor and pto fence post auger. The rear (West) of the wood foundation/support system has 7 main supports and 3 secondary support posts that were placed approximately 4' below the surface. The North wall has 9 main support posts and the East wall has 3 support posts. The diameter of the holes excavated for all the posts was 10". The distance between each post was approximately 3'. Of the 22 holes excavated 11 (50%) were carefully checked for the presence of any cultural materials. (See attached diagram for location of post holes monitored.) All of the holes were excavated 1' at a time and the dirt checked by hand and sifting before digging the next section. In all 11 holes tested no culturally

*Provided by Anne Hansen
01/25/11*

identifiable items were found that related to the mound building era or to any historic American Indian occupation of the site. The remainder of the site was not checked beyond the initial surface inspection because of the nature of the activity that was going to be accomplished to make the new structure usable. Only rock fill was to be added to the interior portion of the site to bring the floor area up to level. Prior to placing the fill over the existing 8" to 10" layer of rock placed there in 2001, several coins were scattered to distinguish between new and old layers. Initial layers of 3" to 4" limestone rock (Milke's Quarry, Mendon Township) were placed, leveled, and compacted to build up the floor space with a final layer of ¾" limestone road rock with fines was placed, leveled, and compacted to bring it up to finish grade.



Thomas L. Sinclair
Facility Manager/Chief of Maintenance

/s/ Rick Trudo
Seasonal Laborer

Attachments

Hole # 7

1': Gravel (limestone rock) and dirt. No cultural materials.

2': Dirt (black loam), Organic matter (Leaves), small twigs.

3': Dirt (black loam, some clay), Organic matter (Leaves & grasses), natural limestone rocks < 6". No cultural materials.

4': Clay/brownish dirt, natural limestone rocks irregular shapes < 6". No cultural materials.

Hole # 8

1': Gravel (limestone rock) and dirt. No cultural materials.

2': Dirt (black loam), Organic matter (Leaves), small twigs, rusty food/beverage can pieces.

3': Dirt (black loam, some clay), Organic matter (grasses or other plant matter), plastic garbage bag or tarp material, natural limestone rocks < 6". No cultural materials.

4': Clay/brownish dirt, natural limestone rocks irregular shapes < 6". No cultural materials.

Hole # 9

1': Gravel (limestone rock) and dirt. No cultural materials.

2': Dirt (black loam), Organic matter (Leaves), small sticks/roots or twigs.

3': Dirt (black loam, some clay), Organic matter (Leaves, sticks/twigs), natural limestone rocks < 6". No cultural materials.

4': Clay/brownish dirt, natural limestone rocks irregular shapes < 6". No cultural materials.

Hole # 10

1': Gravel (limestone rock) and dirt. No cultural materials.

2': Dirt (black loam), Organic matter (Leaves), small twigs, plastic debris, wood chips, food wrapper. No cultural materials.

3': Dirt (black loam, some clay), Organic matter (Leaves, tree roots), plastic debris. No cultural materials.

Hole # 11

1': Gravel (limestone rock) and dirt. No cultural materials.

2': Dirt (black loam), Organic matter (Leaves), small twigs, roots, wood chips and plastic debris. No cultural materials.

3': Dirt (black loam, some clay), Organic matter (Leaves/grass tree roots) No cultural materials.

Hole # 1

- 1': Gravel (limestone rock) and dirt. No cultural materials.
- 2': Dirt (black loam), Organic matter (Leaves), small twigs. No cultural materials.
- 3': Dirt (black loam, some clay), Organic matter (Leaves), natural limestone rocks irregular shapes < 6". No cultural materials.
- 4': Clay/brownish dirt, natural limestone rocks irregular shapes < 6". No cultural materials.

Hole # 2

- 1': Gravel (limestone rock) and dirt. No cultural materials.
- 2': Dirt (black loam), Organic matter (Leaves), small twigs.
- 3': Dirt (black loam, some clay), Organic matter (Leaves). Rusty lag screw, natural limestone rocks, no evidence of being worked, No cultural materials.
- 4': Clay/brownish dirt, natural limestone rocks irregular shapes < 6". No cultural materials.

Hole # 3

- 1': Gravel (limestone rock) and dirt. No cultural materials.
- 2': Dirt (black loam), Organic matter (Leaves), small twigs.
- 3': Dirt (black loam, some clay), Organic matter (Leaves, few small twigs), natural limestone rocks < 6". No cultural materials.
- 4': Clay/brownish dirt, natural limestone rocks irregular shapes < 6". No cultural materials.

Hole # 4

- 1': Gravel (limestone rock) and dirt. No cultural materials.
- 2': Dirt (black loam), Organic matter (Leaves), small twigs.
- 3': Dirt (black loam, some clay), Organic matter (Leaves), natural limestone rocks < 6". No cultural materials.
- 4': Clay/brownish dirt, natural limestone rocks irregular shapes < 6". No cultural materials.

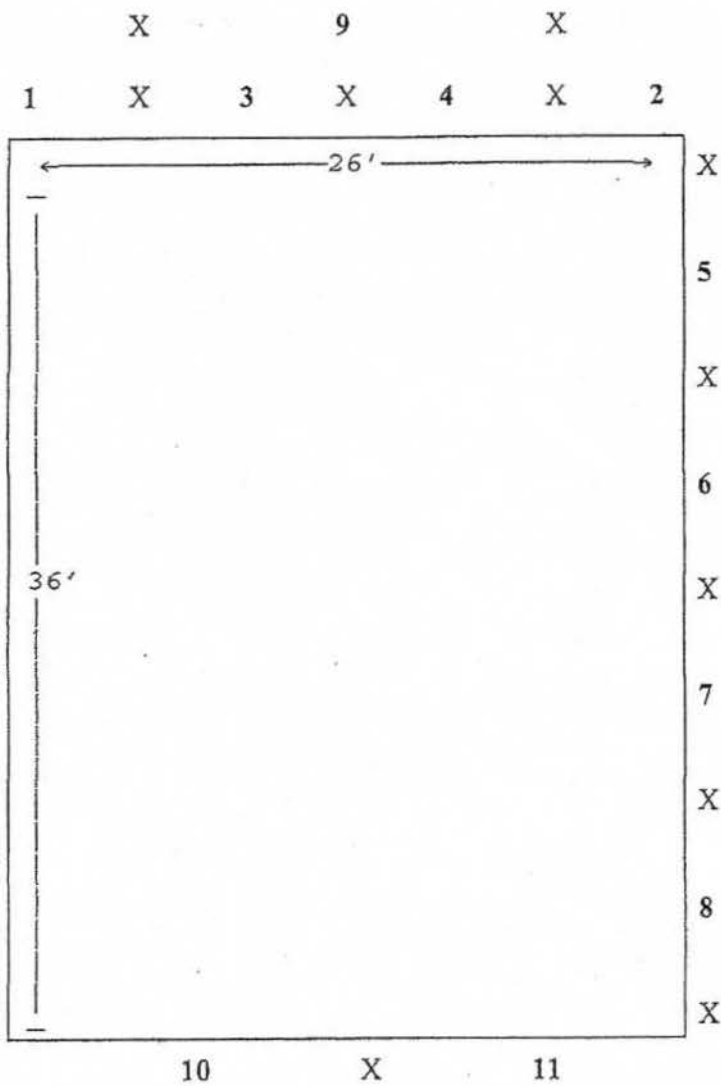
Hole # 5

- 1': Gravel (limestone rock) and dirt. No cultural materials.
- 2': Dirt (black loam), Organic matter (Leaves), small twigs.
- 3': Dirt (black loam, some clay), Organic matter (Leaves), fence staple, natural limestone rocks < 6". No cultural materials.
- 4': Clay/brownish dirt, natural limestone rocks irregular shapes < 6". No cultural materials.

Hole # 6

- 1': Gravel (limestone rock) and dirt. No cultural materials.
- 2': Dirt (black loam), Organic matter (Leaves), small twigs.
- 3': Dirt (black loam, some clay), Organic matter (Leaves), natural limestone rocks < 6". No cultural materials.
- 4': Clay/brownish dirt, natural limestone rocks irregular shapes < 6". No cultural materials.

Footprint/Diagram of Temporary Equipment Storage Structure
 Located in the North Unit Maintenance Bone yard
 Showing Location of Post Holes Surveyed During Excavation





Kenneth Block/EFMO/NPS
11/30/2007 08:37 AM

To Bob Palmer/EFMO/NPS@NPS
cc
bcc Neil Korsmo/HEHO/NPS@NPS
Subject ARPA - Section 106 Compliance

Bob:

You questioned me a month or so ago about 106 clearance for to new storage building in the North Unit bone yard. I was unaware or out of the loop on anything.

This morning I was talking to Phyllis, and I noticed some photos (printed within blank WORD pages of the new building on her desktop. I asked if I could look at them, and she happily said - "sure". As I flipped the pages, I when past the last photograph and saw the next page had a note from Phyllis that Ann Vauser had not ever gotten - and *needed paperwork on the building.*

Ann seems to me to be a very responsible person. However, I wonder how many times this goes on procedurally with EFMO - discovering a lack of 106 compliance, and allowing compliance to be determined and approved after the fact of a major earth moving project? I also wonder who and when such an omission should be reported, and if Ann or any other MWAC personnel have the authority to waive compliance standards under the law?

As I think you had suspected, the building was simply put up with no thought to get ARPA approval BEFORE construction. The photos seemed to me in that context - the material being sent to Ann amongst other things. I am not sure. I also know Rodney was upset with the visual intrusion of the structure. The photos were taken with all the leaves off the tree and represent the structure as having hardly any visible intrusion on the prairie or trails - at this sparse time of year. My photographers eye recognized that these images were taken at acute angles (close to ground level angled up to maximize the effect of the plant life and minimize the elevation profile of the building...

Ken

Kenneth A. Block
Chief Ranger

Effigy Mounds National Monument
151 HWY 76
Harpers Ferry, Iowa 52146

Voice: 563.873.3491
Fax: 563.873.3743

EXPERIENCE YOUR AMERICA

The National Park Service cares for special places saved by the American people so that all may experience our heritage.



Thomas L Sinclair

05/27/2008 10:09 AM
CDT

To: Bob Kammel/Omaha/NPS@NPS
cc: Phyllis Ewing/EFMO/NPS@NPS
Subject: Trail Preferred Alternatives

Bob,

Attached are all the comments made by staff here and what I feel is the overall consensus of opinions as to what the majority of the staff would like for you to come up with. I look forward to you thoughts on our thoughts!



NezekawBrdwlccomments.doc

Thomas L. Sinclair
Facility Manager/Chief of Maintenance
Effigy Mounds National Monument
Harpers Ferry, IA 52146
563-873-3491 cell 563-880-2372

Grandchildren are God's reward for not killing your kids.

1.94.5

Maintenance:

Generally prefer a hybrid alternative of all three. General consensus is that all boardwalk is preferred over a boardwalk/aggregate combination except where it ends and the visitors can go down the graveled road if desired. Aggregate surface, believe it or not, is more involved maintenance than boardwalk. The viewing platforms at each mound are felt to be a positive requirement, where the hybridization comes in is they would like to see the 2 additional viewing/interpretation platforms for the wetlands and the drainage added to the preferred alternative. The concept of grade level or what I term low visual impact boardwalk is also preferred once the boardwalk gets to the mound area but with the viewing platforms added. It is generally felt that the top level boardwalk needs to be farther away from the bluff top edge to keep the existing boardwalk and the new one "hidden" from each other as much as possible. Another request is to make all the corners as wide as possible to allow for equipment to make the turn. The problem that we have with the existing boardwalk is that we cannot do any snow removal because the corners are too tight and the broom/blower cannot navigate them. This is something that we want to do, (keep them clear/open in the winter to provide increased opportunities for visitors in the winter when we are unable to keep the other trails open.

Natural Resources:

I think the one with the little pull outs at the mounds is the best. After thinking about it I feel that we should not have over looks on the upper trail due to the boardwalk just below so we should try to keep the trail back from the edge to minimize visual disturbance to the people walking on the board walk below. I think this is the best compromise. I agree with less sharp turns in trail. We should try to keep the trail back from the edge of the ridgetop so that the people below do not see much boardwalk structure from below. This will give a lessened sense of development to the people walking below with minimized noise and visual distraction also.

I have a couple additional thoughts. One is that the boardwalk be at ground level when it gets on top of the ridge and that it ends at the last mound and transitions to chips. The walk may have to make its turn up the drainage farther to keep its gradient the same and the turn to the mounds maybe closer to where the chip trail makes its bend so that it is not so obvious from below.

Rodney Rovang

Interpretation:

Be sure to link trail with current boardwalk to make a loop trail. *(Bob, I believe that this is already "done" by having them: a. turn around and go back or b. continue on down the service road to the boardwalk, they just did not know how to look at the drawings. TLS)*

Trail needs to be as far away visually as well as hearing distance from the present boardwalk as possible.

Have trail on ground as much as possible. *(I think they mean the low level/profile boardwalk. TLS)*

A combination on alternatives 2 & 3 would be best.

How about extending the trail from Mark 3+00 to the west and come in from Mark 10+00 to the mounds?

Administration:

Prefer to have viewing platforms at all mound locations.

Likes the drainage interpretive stop in alternative 2

Likes the low profile, grade level boardwalk in alternative 3. Can this be incorporated with the viewing platforms in alternative 1?

Law Enforcement:

Prefers no boardwalk at all. Feels that it is too intrusive and disruptive to the wildlife. Believes that we should develop a parking area across from my office and let them walk into the mounds from there. (*Evidently he was not here when that concept was discussed years ago and rejected for safety concerns with highway traffic speeds and volume. Additionally ADA would not be addressed by this alternative.*)

Overall Majority Concensus:

The majority of those polled agree that there should be a boardwalk system that spurs off of the existing walkway and when complete provides a universally accessible route from there through the draw and up to the Nezekaw Terrace Mounds, (formerly referred to as the T.H. Lewis Mounds but changed, and rightly so, at the request of one of our affiliated tribe members as Mr. Lewis is not buried there and the mounds are not made in a likeness of him). Again the majority likes the addition of the dry run interpretive spot and it is about 50/50 on the wetland overlook on top of the bluff. Extremely close to 100% want the viewing areas at each mound and request that the boardwalk become low profile just as soon as legally possible and gets moved further back from the edge of the bluff top to prevent as much visual, (and noise), contact with the boardwalk below as possible. The majority also expressed the wish to have the boardwalk transition to a wood chip trail at the west end where visitors can walk down the service road and re-connect with the Yellow River Bridge Trail making this a "Loop". I understand that this portion would not be ADA compliant but those with these needs can re-trace their path back down the new boardwalk to continue on. The only other request is again to design the turns/corners as wide as possible to allow for winter operations/use.

There was one additional request from Phyllis but I had to over rule it. She evidently wanted periodic reference made along the trail as to her ROYAL status here at the park but I said this might cause tensions with the Director. I hope she understands.

Let me know if you have any questions or concerns.

Tom

InsideNPS

Information Gateway for NPS Employees

National Park Service
U.S. Department of the Interior

HOME COMMUNITY PARKS REGIONS WASO INTRP/ED PROTECTION TECH/TOOLS BUSINESS SUPERINTENDENTS

Headlines

Search Google It!

Go

[site map](#) | [help](#) | [blogs](#) | [forums](#) | [email](#) | [quick links](#) | [phonebook](#) | [systems](#)[InsideNPS](#) > [Parks](#) > [Effigy Mounds National Monument](#)

Railroad Completes Mitigation, Pays Penalty In ARPA Case

By Bob Palmer, Senior Law Enforcement Officer

February 17, 2009

While undertaking flood mitigation repair work on a railway line adjacent to the park in late 2007, employees of the Iowa, Chicago and Eastern (IC&E) Railroad, a wholly-owned subsidiary of Canadian Pacific Railway Limited, deposited rock and soil inside the external boundary of the park. An area of approximately 912 square feet was affected, all of which was part of a known prehistoric and historic archaeological site. As a result of an investigation by NPS staff into the factors contributing to the incident, it was determined that the strict liability civil penalty provisions of the Archaeological Resource Protection Act (ARPA) offered the most effective legal and resource damage mitigation remedy. Anne Vawser, archaeologist with the Midwest Archaeological Center in Lincoln, Nebraska, was assigned to complete the damage assessment, and determined that the archeological value of the area affected to be \$41,966.60 and the cost of restoration and repair to be \$19,809.50, thus equaling a total damage assessment of \$61,776.10. As permitted by ARPA regulations, informal discussions were held between the NPS land manager and staff from the IC&E Railroad. These discussions produced an agreement in which the IC&E agreed to remove the deposited materials from NPS lands under NPS supervision, and in exchange, the NPS agreed to reduce the civil penalty to \$19,809.50, which was equal to the government's restoration and repair costs. The agreed-upon mitigation work was completed last November 11th and the civil penalty payment was received by the park on February 6th. As noted in 16 USC 470ff(a)(2)(B), in the case of a second or subsequent violation of ARPA by any person, the amount of such civil penalty may be double the amount which would have been assessed if such violation were the first violation by such person. Consequently, any federal land manager who may in the future have an ARPA incident involving the railroad now has an additional penalty option at his or her disposal.

[Print This Article](#) [E-Mail This Article](#)

Related Stories

- [Texas Man Drowns In Upper Neches River](#)
- [Convicted Relic Hunter Sentenced To Jail Term](#)
- [Two Suffer Hallucinogenic Mushroom Overdoses](#)
- [Injured Skier Rescued From Granite Canyon](#)
- [Man Jumps To His Death From New River Gorge Bridge](#)

NPS.GOV | DOI

NOTICE OF VIOLATION

Under the Archaeological Resources Protection Act of 1979
(16 U.S.C. 470ee(a))

CERTIFIED MAIL-RETURN RECEIPT REQUESTED

Notice To: Iowa, Chicago and Eastern Railroad
Attention: Chad Livingston
2435 East Kimberley Road STE 45
Bettendorf, Iowa 52722

Federal Land Management Agency: United States Department of the Interior
National Park Service
Effigy Mounds National Monument
151 HWY 76
Harpers Ferry, Iowa 52146

Federal Land Manager: Phyllis Ewing, Park Superintendent

Violation: Damage, alteration or disturbance of archaeological resources located on National Park Service (NPS) lands in violation of the Archaeological Resources Protection Act 16 U.S.C 470ee and 43 C.F.R. 7.4(a).

Please take note that sometime during the summer of 2007, an employee, or agent of the Iowa, Chicago and Eastern Railroad (IC&E) operated earthmoving equipment to remove debris from under a trestle bridge located on the line adjacent to Effigy Mounds National Monument between Marquette, Iowa and Harpers Ferry, Iowa. At this location, an employee or agent deposited these spoils from beneath this trestle bridge on top of an archaeological site within the boundaries of Effigy Mounds National Monument. You are hereby notified that the above described actions damaged, disturbed, or otherwise altered archaeological resources on Federal lands administered by the United States Department of the Interior, National Park Service. The excavator work damaged or altered a prehistoric / historic archaeological site known as the Red House Landing Site (13AM228). In statements made to U.S. National Park Service Law Enforcement Officers, you admitted that your employee or contractor used earthmoving equipment to remove debris from beneath the above mentioned location. The National Park Service investigation has determined that this action on NPS lands was not authorized by the National Park Service.

Damage to an archaeological site, as described above is a violation of the Archaeological Resources Protection Act, 16 U.S.C. 470ee, and et seq. The site has been disturbed in an area of approximately 912 square feet. The National Park Service archaeologist's assessment of damages is detailed in the attached report, entitled "Archaeological Damage Assessment Unauthorized Excavations at the Red House Landing Site (13AM228) Effigy Mounds National Monument, Iowa".

A Penalty is proposed against you for violation of 16 U.S.C. 470ee (a) and 43 C.F.R. 7.4(a) in accordance with the civil penalty procedures set forth in 16 U.S.C. 470 ff and 43 C.F.R. 7.15. The proposed penalty is Sixty One Thousand Seven Hundred Seventy Six Dollars and Ten Cents (\$61,776.10) which represents the archaeological value plus the cost of restoration and repair determined pursuant

to 43 C.F.R. 7.14. Please also be advised that under 16 U.S.C. 470gg(b), any and all equipment used in the commission of this violation may be subject to forfeiture upon the assessment of a civil penalty.

If you have insurance, we encourage you to contact your insurer with regard to this notice.

You have the following rights:

- You may seek informal discussion with the Federal Land Manager named in this notice to discuss mitigation of the proposed penalty.
- You may file a petition for relief with the Federal Land Manager under the ARPA Uniform Regulations, 43 C.F.R. 7.15(d) within 45 days of receipt of this notice.
- You may take no action and await a Notice of Assessment.
- Upon receipt of the Notice of Assessment you will have 45 days to request a hearing in accordance with 43 C.F.R. 7.15(g).
- You may accept the proposed penalty in writing or by making payment. Acceptance of the proposed penalty shall be deemed a waiver of the notice of assessment and of the right to request a hearing under 43 C.F.R. 7.15(g).
- You may also seek judicial review of any final administrative decision assessing a civil penalty, 16 U.S.C. 470 ff (b) (1), 43 C.F.R. 7.15(h).

INFORMAL DISCUSSIONS

During informal discussions between you and the Federal Land Manager, it was agreed to mitigate the proposed penalty from Sixty One Thousand Seven Hundred Seventy Six Dollars and Ten Cents (\$61,776.10) to Nineteen Thousand Six Hundred-Thirty Dollars and Forty-Two Cents (\$19,630.42). The mitigated sum is contingent upon the successful completion of the terms described within the enclosed Settlement Agreement, and equals the Site Restoration and Repair costs that the United States is required to expend resulting from the deposit of materials on Federal Lands by the IC&E Railroad at the Red House Landing archaeological site (13AM228) during the summer months of 2007.

Failure to meet the deadlines set forth in the ARPA Uniform regulations (43 C.F.R. 7 et. seq.) may constitute a waiver of rights. We encourage you to continue discussions with the Federal Land Manager to ensure the resolution of this matter. All communication directed to the Federal Land Manager should be submitted to:

Phyllis Ewing
Superintendent, Effigy Mounds National Monument
151 HWY 76
Harpers Ferry, IA 52146

Superintendent
Effigy Mounds National Monument

Date

SETTLEMENT AGREEMENT

PARTIES

This Settlement Agreement ("Agreement") is made between the United States of America ("United States") and the Iowa, Chicago and Eastern Railroad ("IC&E Railroad"), 2435 East Kimberley Road STE 45 Bettendorf, Iowa 52722.

PREAMBLE

WHEREAS, based upon an investigation by the National Park Service, the United States believes that IC&E Railroad damaged archaeological resources on Federal Lands on Effigy Mounds National Monument during trestle debris removal performed during the summer months of 2007;

WHEREAS, a result of informal discussions between the two parties the parties mutually desire to resolve this matter without resort to administrative proceedings under the Archaeological Resources Protection Act, 16 U.S.C. 470ee, or to litigation;

WHEREAS, the parties mutually desire to resolve this matter without resort to proceedings under The Park System Resource Protection Act, 16 U.S.C. § 19jj;

NOW, THEREFORE, in consideration of the mutually negotiated promises, covenants and obligations in this Agreement, the parties agree as follows:

TERMS OF AGREEMENT

For good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, the parties agree that IC&E Railroad will:

- Under the supervision and direction of a National Park Service archaeologist, remove to the archaeologist's satisfaction, the materials that were deposited on National Park Service owned lands on the Red House Landing archaeological site (13AM228) during the summer months of 2007;
- Pay the National Park Service the sum of Nineteen Thousand Six Hundred-Thirty Dollars and Forty-Two Cents (\$19,630.42). This sum equals the Site Restoration and Repair costs that the United States is required to expend resulting from the deposit of materials on Federal Lands by the IC&E Railroad at the Red House Landing archaeological site (13AM228) during the summer months of 2007. Such payment shall be made by check to the National Park Service.

In consideration for the satisfactory removal of the material and the payment of the sum listed above, the United States releases IC&E Railroad, as well as its guardians, heirs, executors, administrators, assigns, parent, subsidiary, and related entities from civil or administrative claim with the United States has or may have for or stemming from the above referenced alleged archaeological damage.

The United States agrees to waive any and all further action that may be or could have been taken as a result of the incidents that gave rise to this settlement.

This Agreement shall bind all heirs, executors, administrators, assigns or successors-in-interest of the United States and IC&E Railroad.

Each person who signs this Agreement in a representative capacity warrants that he or she is duly authorized to do so.

UNITED STATES OF AMERICA
Department of the Interior
National Park Service
Effigy Mounds National Monument

Dated: _____


Phyllis Ewing
Park Superintendent

Iowa, Chicago and Eastern Railroad

Dated: _____

Chad Livingston
Iowa, Chicago and Eastern Railroad

Phyllis Ewing/EFMO/NPS
05/11/2009 03:04 PM

To Ron Cockrell/Omaha/NPS@NPS
cc
bcc
Subject Re: Fw: EFMO South Unit Access Trail 

Mr. Cockrell -

Thank you for your additional input and taking your Sunday time to do it. I had not received your reply because Friday is in the regional office this week (our message was sent from her computer because she had the ability to send you the maps). I called Ms. Franklin-Weekley this morning to ask a question and she graciously forwarded your message to me.

P

Phyllis Ewing
Superintendent
Effigy Mounds National Monument
151 HWY 76
Harpers Ferry, IA 52146
Voice: 563-873-3491 FAX: 563-873-3743
phyllis_ewing@nps.gov
Rachel Franklin-Weekley/Omaha/NPS



**Rachel
Franklin-Weekley/Omaha/NPS**
05/11/2009 10:51 AM

To Phyllis Ewing/EFMO/NPS@NPS
cc
Subject Fw: EFMO South Unit Access Trail

----- Forwarded by Rachel Franklin-Weekley/Omaha/NPS on 05/11/2009 10:48 AM -----



Ron Cockrell/Omaha/NPS
05/10/2009 02:35 PM

To Bill Harlow, Marla McEnaney, Rachel Franklin-Weekley, Carolyn Wallingford, Michael Evans, Roberta Young
cc
Subject Fw: Re: EFMO South Unit Access Trail

FYI

Ron Cockrell/Omaha/NPS
05/10/2009 01:31 PM

To Friday Wiles/EFMO/NPS
cc Steve Adams, James Loach, Mark Lynott, Anne Vawser, Don Stevens
bcc
Subject Re: EFMO South Unit Access Trail

Superintendent Ewing—

The April 7, 2009, trip report by Anne Vawser detailing “Site Investigations, Site Condition Assessments, and Assess SouthUnit Access Trail from her June 2008 EFMO site visit, represents the first step in the data collection process for Section 106 review.

The next step is to undergo the internal agency review process by filling out a detailed Section 106 Form (more commonly known as the XXX). EFMO has more to its National Register-listed cultural resources than archeology. That is why it is important to detail the full scope of the project so that EFMO’s full cadre of cultural resources specialists can review and comment: In addition to archeology, there is historical landscape architecture, history(including prehistory), ethnography, historical architecture (mounds are on the LCS), and museum curation (what to do if cultural artifacts are found). The internal agency review is designed to determine what effect (no adverse or adverse) the project might have and what should be done (redesign?) to mitigate potential adverse effects. The internal agency review is also intended to determine whether or not the project meets any of the exclusions of the Nationwide Programmatic Agreement.

In no circumstance is a park ever empowered to be the arbiter (judge, jury, and executioner) of this process without undergoing the XXX process. This has not yet happened at EFMO, even though you have had Archeologist Vawser conduct siteinvestigations and assessments. Ms.Vawser would of course be involved during the circulation of the XXX to determine whether the 2009 project actually conformed to her 2008 site visit and work. She would certify this by signing the XXX form and offering any additional recommendation(s) at that time.

What concerns me are two things. First, none of the other CRM professionals included on EFMO’s list of CRM advisers were given the opportunity to review and comment. They were not consulted on whether or not the project is a

programmatic exclusion – it is not. They were not consulted on the area of potential effect or on the determination of effect. The historical landscape architect and historian would want to ensure that no significant or potentially significant cultural landscapes are present. The ethnographer and historian would want to ensure whether the project involves significant traditional properties, resources, or sacred sites (the mounds) were adversely affected. Probably so since modern intrusions—the wooden boardwalks—were being introduced on a large scale across the landscape. The second thing that concerns me, since this isn't a programmatic exclusion (an existing trail being re-routed is no longer an existing trail—it's a new trail), the project requires full Section 106 compliance review with the Iowa State Historic Preservation Office (SHPO). Had this undergone the internal agency review through the XXX process, the park would have been advised of this requirement. By proceeding with the undertaking based upon an incorrect judgment that it's a PA exclusion and having Ms. Vawser look at the area last year, you have precluded the "opportunity to comment" provided by law. The SHPO was not given the opportunity to review Ms. Vawser's work for its completeness or lack thereof. Their own CRM reviewers (beyond the archeologist) were not given the opportunity to assess whether or not constructing modern wooden boardwalks in close proximity to prehistoric earthworks might have an adverse effect on those qualities for which EFMO is listed on the National Register.

There is also the issue of whether the EFMO-affiliated tribes were ever consulted on the construction of boardwalks and other modern intrusions through and adjacent to their ancestor's legacy. In reading through your tribal consultation correspondence, I did read identical letters sent to the tribes concerning placement of the modern bridge across the Yellow River. The letter focused exclusively on the bridge but did not mention that a system of wooden boardwalks were envisioned for the existing trail system on either side of that bridge. Under the Nationwide Programmatic Agreement, the tribes are to be consulted on park undertakings such as this. That would most likely have been pointed out during the XXX process and certainly would be something the SHPO would want to be assured of before the SHPO completed its own Section 106 review.

Because neither the internal agency review nor the SHPO/tribal review took place, this project and others over the past decade remain in violation of NPS policy, the Nationwide PA, and Federal regulation (National Historic Preservation Act).

Thank you for the opportunity to further clarify my findings during the recent

"Towards Excellence" Operations Evaluation. Because I know this matter is high priority, I'm responding immediately (Sunday afternoon) as tomorrow I am on the road to Little Rock Central High School NHS participating in another "Towards Excellence" exercise. I'll be back in the office May 18.

RON COCKRELL

Senior Historian, Midwest Region

Friday Wiles/EFMO/NPS
05/08/2009 04:03 PM CDT

To Ron Cockrell/Omaha/NPS@NPS
cc
bcc
Subject EFMO South Unit Access Trail

Mr. Cockrell

This trip report was received last week just before your arrival to the park and it not yet been filed. Hopefully the information found in the last paragraph on page two and Map #3 will address your concern. Since you do not see the color map the "proposed trail reroute" is the straight line coming off to the left of the "original proposed trail" with the V shape in it. I look forward to hearing from you regarding this matter.

Phyllis Ewing

sent by:
Friday Wiles
Administrative Officer

Phyllis Ewing/EFMO/NPS

05/22/2009 11:15 AM

To Anne Vawser/MWAC/NPS,

cc

bcc

Subject Trip Report - June 16-23, 2008

Anne -

In the June 16-23, 2008 trip report you addressed on page 2, a paragraph starting with "On the afternoon of June 18th", the investigation of a possible alternate route for the south unit trail. If possible, would you please give us some additional information as to where the investigation was done. For now, our biggest concern is whether or not there was any testing done at the T.H. Lewis site and what it produced, but as the project progresses it would be helpful to have additional location and findings information of all that you did. As always, Anne thank you for your assistance with our projects.

P

Phyllis Ewing
Superintendent
Effigy Mounds National Monument
151 HWY 76
Harpers Ferry, IA 52146
Voice: 563-873-3491 FAX: 563-873-3743
phyllis_ewing@nps.gov

CALL ANNE ASAP

402-431-5392
X109

5/26/09 Talked to Anne regarding June 16-23, 2008 trip report.
This was not done at TH Lewis mounds, it was done
on the south side of the river going up the Big Hill!

Ⓢ

Phyllis Ewing/EFMO/NPS
06/12/2009 04:25 PM

To *Rn Cockrell*
cc
bcc

Subject Fw: Thank you

Phyllis Ewing
Superintendent
Effigy Mounds National Monument
151 HWY 76
Harpers Ferry, IA 52146
Voice: 563-873-3491 FAX: 563-873-3743
phyllis_ewing@nps.gov

----- Forwarded by Phyllis Ewing/EFMO/NPS on 06/12/2009 04:25 PM -----

Phyllis Ewing/EFMO/NPS wrote on 06/12/2009 04:24:38 PM:

> Mr. Cockrell:

>

> First and foremost, thank you for your concern for EFMO and your
> willingness to assist us to get through this learning curve with
> compliance, both factors were greatly appreciated by everyone. We
> know it will be a challenge but this staff is hard working and as
> I'm sure you could tell never meant to harm the park in any way.
> Everyone was in shock to learn, let alone understand all the
> compliance protocols. Your time and that of Sandra, Nick and Chris
> were so helpful, we got a better handle on it in a day and half than
> we would have gotten in months doing it on our own.

>

> P

>

> Phyllis Ewing
> Superintendent
> Effigy Mounds National Monument
> 151 HWY 76
> Harpers Ferry, IA 52146
> Voice: 563-873-3491 FAX: 563-873-3743
> phyllis_ewing@nps.gov



United States Department of the Interior

National Park Service

Midwest Region
601 Riverfront Drive
Omaha, Nebraska 68102-4226



H3015 (MWRO-CR)

October 19, 2009

Memorandum

To: Superintendent, Effigy Mounds
From: Regional Director, Midwest Region
Subject: Park Section 106 Compliance
Replies due: See below Responses required

*For the files!
D.
where is response required?*

This memorandum is a follow up concerning the various compliance issues discussed with you this year by Acting Regional Director (RD) David Given and professional staff in the regional office. It addresses the National Historic Preservation Act (NHPA). National Environmental Policy Act (NEPA) issues will be addressed separately.

Jim Loach, the Associate Regional Director (ARD) for Operations & Education, and his team conducted an operations evaluation (OE) at Effigy Mounds from April 27 to May 1, 2009. The OE determined that there were several major violations of the NHPA from 2001 through 2007. Specifically, the OE found the park did not follow the compliance procedures of NEPA or Section 106 of the NHPA in building new trails, replacing trail bridges, building a maintenance structure, and constructing an interpretive exhibit. These violations were exacerbated by the fact that they had major, adverse impacts to cultural landscapes and a strong likelihood of having adverse impacts to aboriginal American Indian structures that the park was established to protect.

Copy to these files

Following the OE, on June 8-10, 2009, a team composed of Sandra Washington, Nick Chevance, Chris Holbeck, and Ron Cockrell provided you and your staff training on: NEPA; the Planning, Environment, and Public Comment (PEPC) system; and the NHPA, including the 2008 National Programmatic Agreement and the section 106 processes.

Subsequently, you received written instruction from Acting RD Given to remove the boardwalk trails and the new maintenance structure. Since then, the Iowa State Historic Preservation Office (SHPO), the Iowa State Archeologist, and Dr. Mark Lynott, the Manager of the Midwest Archeological Center expressed concern about further damage to resources through removal of subsurface components of the boardwalks and maintenance structure. There was consensus that the decision on how to mitigate the subsurface components would be postponed until the Midwest Archeological Center could study the problem and recommend a solution. The Midwest Archeological Center mitigation plan includes archeological studies which could take a year or more, therefore, the subsurface component treatment recommendations will not be known until after those studies are complete.

A visit to Effigy Mounds by Midwest Region ARD for Cultural Resources Steve Adams and ARD Loach in September 2009 observed that new activity, such as layout of another foot trail, had been initiated without compliance. Following that visit, ARD Adams reported his findings to the Acting RD, including recommendations for mitigating the damage. Acting RD Given shared those findings with you.

The violations of the NHPA are serious and require constructive action. Since it is clear you are still not following compliance procedures, the NHPA Section 106 authorities delegated to Superintendents through the 2008 National Programmatic Agreement are hereby withdrawn for Effigy Mounds until further notice.

The cultural resources staff in the Midwest Regional Office will assist you by determining which park activities can be reviewed under the streamlined process and which will require standard consultation with the SHPO and American Indian Tribes. They will work closely with you and your Section 106 Coordinator to ensure that adequate and accurate information is used in the process.

You are hereby directed:

1. To immediately and unequivocally cease all new construction;
2. To not proceed with routine activities subject to section 106 review unless written clearance is provided by the ARD for Cultural Resources;
3. To submit Assessment of Effects forms for all planned activities which have or could have the potential to affect cultural resources to the Regional Section 106 Coordinator in the Midwest Regional Office for review. This includes, but is not limited to, establishment of any new trails in any unit of the park, removal of trees, and maintenance treatment of existing trails (consult with Midwest Regional Office and Midwest Archeological Center cultural resources staff in completing Assessment of Effects forms);
4. To consult with Regional Ethnographer Dr. Mike Evans (phone number 612-345-0019), Iowa SHPO Compliance Program Manager Doug Jones (515-281-4358), and Iowa State Archeologist Dr. John Doershuk (319-384-0751) to develop and implement a plan for tribal consultation concerning the new boardwalk and maintenance shed;
5. By October 30, 2009, to nominate a park staff member to serve as the Park Section 106 Coordinator and provide the person's name and qualifications to the Regional Section 106 Coordinator for Midwest Regional Office review. The park's Chief of Maintenance may not serve in that capacity;
6. By October 30, 2009, to submit for review and possible remedial action an Assessment of Effects form for the fence constructed around the visitor trail loop at the Great Bear Mound Group.

The Midwest Archeological Center will determine over the next few days which segments of boardwalk trail must be removed to accommodate the archeological investigations to be conducted over the next 18-24 months. You will receive further instructions concerning removal or mitigation of constructed physical assets after the Midwest Archeological Center and the Midwest Regional Office have conferred regarding that issue.

As the park manager you are accountable and responsible for adherence to law and policy. The Midwest Regional Office and the Midwest Archeological Center will assist you in improving your compliance program. Together we will begin the process of correcting deficiencies and rebuilding the public trust.

General questions should be directed to Deputy RD Given. For technical questions and to restart compliance activities, contact Regional Section 106 Coordinator Ron Cockrell at 402-661-1922 or ron_cockrell@nps.gov.



Phyllis Ewing/EFMO/NPS

11/09/2009 01:48 PM

To Mark Lynott/MWAC/NPS@NPS

cc Anne Vawser/MWAC/NPS@NPS, Jeff Richner/MWAC/NPS@NPS, Michael Evans/Omaha/NPS@NPS, Steve Adams/Omaha/NPS@NPS

bcc

Subject Re: agenda 2nd attempt

Mark -

"Explain what we will see on tour of boardwalk and maintenance area and compliance." I would like to do that - I think it goes hand-in-hand with the background as the background is what they are going to be seeing. I expect to do a lot of explaining while they are walking around the sites too - I made the mess, I need to explain it unless there are technical compliance questions.

Who will be doing the rest of the presentations?

P

Phyllis Ewing

Superintendent

Effigy Mounds National Monument

151 HWY 76

Harpers Ferry, IA 52146

Voice: 563-873-3491 FAX: 563-873-3743

phyllis_ewing@nps.gov

Mark Lynott/MWAC/NPS

Mark Lynott/MWAC/NPS

11/09/2009 11:45 AM

To Phyllis Ewing/EFMO/NPS@NPS, Michael Evans/Omaha/NPS@NPS

cc Steve Adams/Omaha/NPS@NPS, Jeff Richner/MWAC/NPS@NPS, Anne Vawser/MWAC/NPS@NPS

Subject agenda 2nd attempt

Agenda

Welcome and Introductions – Superintendent Phyllis Ewing

Purpose of Meeting – Superintendent Ewing

Background on boardwalks, maintenance area, and compliance

Section 106 and CRM responsibilities

NPS and State of Iowa – Section 106 responsibilities

Explain what we will see on tour of boardwalks and maintenance area

Tour of Boardwalks and Maintenance Storage area

NPS archeological study needs

James Lindsay – Steven De Vore study

Need for study of Nazekaw Terrace

Potential methods of study

Discussion

Closing

This is just the beginning of consultation regarding important management and development issues relating to Effigy Mounds NM



IN REPLY REFER TO:

United States Department of the Interior

National Park Service

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

December 1, 2009

H2623(MWAC)

LIBRARY COPY
NATIONAL PARK SERVICE
MIDWEST ARCHEOLOGICAL CENTER

Memorandum

To: Regional Director, Midwest Region

From: Manager, Midwest Archeological Center

Subject: Trip Report, Effigy Mounds NM, November 16-18, 2009

Archeologist Anne Vawser, Regional Historian Ron Cockrell and I travelled to Effigy Mounds to participate in a consultation meeting with representatives from Tribal governments affiliated with Effigy Mounds. The meeting was scheduled to begin at 10 am on November 17, but was delayed due to the late arrival of some participants.

After introductions and an invocation, Superintendent Ewing began the meeting by noting that the meeting was requested to conduct consultation on two projects: a boardwalk built to the Lewis Mound Group, and the north unit maintenance area. The brief introduction made no mention about the Service's concern that these projects were implemented without Section 106 compliance or adequate archeological study.

Ron Cockrell then presented background on the Operations Evaluation and findings that the boardwalk and maintenance storage building construction had been implemented without adequate agency review, Section 106 compliance, and tribal consultation. Ron reported that the Operations Evaluation found that the cultural resource management program at Effigy Mounds is broken and has not operated within the 2008 Programmatic Agreement with the Advisory Council on Historic Preservation.

Prior to leading the group on a tour of the boardwalk, Superintendent Ewing provided background on the project and the maintenance storage building. Her comments about the boardwalks emphasized that they were for safety, accessibility and visitor convenience (with reference to the "graying of America"). Members of the SHPO group asked Superintendent Ewing how the concrete footings were built, and she noted that holes were bored 4 ft. deep and then concrete poured for the footings. The Superintendent also answered a question about what artifacts might have been found, noting that Tom Sinclair had monitored the work and had found nothing (Mr. Sinclair did not attend the meeting, and we do not have a report about monitoring the installation of concrete footings). Several tribal representatives questioned why a boardwalk to these mounds was needed and asked whether other routes were considered. Superintendent Ewing pointed out the excellent view of the valley and plans to add viewing platforms to

the boardwalk. One of the tribal representatives said they did not need viewing platforms for their ancient cemeteries.

After lunch, I told the group that NPS policy requires that projects like the boardwalk and the maintenance area must be evaluated to consider their impact on archeological resources, and that the State Historic Preservation Officer and tribal representatives must have an opportunity to comment on these types of plans. I noted that this has not happened at Effigy Mounds, and that the current meeting was an effort by the Service to begin a process of productive consultation. I then presented an outline of our plan to conduct an archeological assessment of the Nazekaw terrace area of the park. Tribal representative did not object to the plan for geophysical surveys, but several expressed concern about soil coring and archeological testing.

Iowa SHPO Jerome Thompson said he felt archeology needed to be a central component of long-range planning for the park and not simply a response to individual developments. SHPO Archeologist Doug Jones observed that by failing to consult on these projects, NPS is responsible for foreclosure of comments and should inform the Advisory Council on Historic Preservation of the situation. SHPO Archeologist Dan Higginbottom said that regardless of the impacts of the boardwalks to archeological resources, the boardwalks are an intrusion on the cultural landscape and represent an adverse affect.

During the tour of the Lewis Mound Group, SHPO staff members informed Ron Cockrell that until Effigy Mounds can demonstrate adherence to the National Historic Preservation Act, it cannot enjoy streamlined review as provided by the 2008 Programmatic Agreement. This means that the Park must consult with the SHPO and affiliated tribes on every undertaking performed within Park boundaries until further notice.

Tribal representatives were fairly angry about the boardwalks and one even asked why ancient cemeteries should be treated as places to walk your dog. A tribal representative who participated in some GMP sessions said they did not like the boardwalks but they had been told that NPS considered them necessary. Several tribal representatives felt that damage has been done and their views would not be considered.

I said that not everyone in the Service feels the boardwalks are necessary or appropriate. I told them that the purpose of the consultation was to get their opinions and I assured them that Regional Director Quintana would take their advice into consideration. I told the group that if they don't want boardwalks, they need to say that, because the Park is considering construction of boardwalks at several other mound groups.

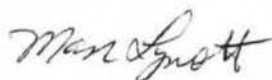
A tribal representative asked the Superintendent how long she had been in her position and she replied nine years. He then expressed anger that in that time the Park had been planning facilities and trails around the mounds and had never bothered to consult with them. The Superintendent then took responsibility for the failure to consult and told the group that she had let them down. She said it was never her intention to be disrespectful to the ancestors buried in the mounds.

A number of tribal representative said they had to leave about this time and an effort was made to establish a time for another consultation meeting. I suggested we meet in late May and we could share some of the results of our geophysical studies. Several tribal representatives asked that we provide them with a more detailed briefing before the next meeting to permit them to better prepare for discussion. The people remaining at the

meeting then took vehicles to the North Unit maintenance area, where the temporary storage super-structure, vehicles, equipment and building materials have all been removed as directed by the Regional Director. As directed, the more permanent base of the storage structure remains.

I recommend that we contact the tribal representative prior to beginning our geophysical survey. We should invite them to observe and even participate in the geophysical study if they choose. I also recommend that if possible the Regional Director should attend the next consultation meeting. Tribal representatives need to be assured that their opinions and ideas will be considered.

"This trip report is intended to provide information to assist with the development of XXX and/or Section 106 compliance documents, and is not a substitute for required Park compliance documents. Please contact Supervisory Archeologist Jeffrey Richner or Center Manager Mark Lynott if you questions about the relationship of this report to Section 106 compliance submissions."



Mark Lynott
Manager

Cc: Superintendent, EFMO
ARD Cultural Resources, MWRO



United States Department of the Interior

NATIONAL PARK SERVICE
Effigy Mounds National Monument
151 Hwy. 76
Harpers Ferry, Iowa 52146-7519

FILE

IN REPLY REFER TO:

A54(EFMO)

xH42

December 2, 2009

To: Midwest Regional Office, Director
From: Effigy Mounds National Monument, Superintendent
Subject: Compliance Letter to EFMO Superintendent

In reply to "You are hereby directed:"

1. **To immediately and unequivocally cease all new construction;**
All construction activities ceased upon learning of compliance concerns – action complete.
1. **To not proceed with routine activities subject to section 106 review unless written clearance is provided by the ARD of cultural resources;**

Routine activities are not proceeding without written clearance from the ARD of cultural resources. Assessment of Effect forms were submitted regarding events already planned for summer, 2009: Moonlight hike, HawkWatch, boundary survey, Indian Festival, etc.

2. **To submit Assessment of Effects forms for all planned activities which have or could have the potential to affect cultural resources to the Regional Section 106 Coordinator in the MWRO for review. This includes, but not limited to, establishment of any new trails in any unit of the park, removal of trees, and maintenance treatment of existing trails (consult with MWRO and the MWAC cultural resources staff in completing Assessment of Effects forms);**

All activities brought to our attention in the Operations Evaluation have ceased. The boardwalk project was stopped within minutes. Compliance training for staff was scheduled as soon as it could be arranged and has since been completed. Compliance documents for summer activities have been completed including those documents for those activities using tent stakes for special event tents. For decades, park staff have been told that the visitor center and parking lot area was disturbed ground and that tent stakes and other activities were allowed in this area. In addition, compliance documents for the boundary survey, the

LIFE

Replacement of a small tree in the visitor center parking lot, etc, have been implemented.

If this directive is in reply to paragraph number five of your letter, the ARD's statement of "...in September 2009 observed that new activities, such as layout of another foot trail, had been initiated without compliance."; this statement is incorrect.

When it was brought to my attention, the suspected new activity, I immediately spoke with three staff and sent a staff member to the site to assess the activity. **The cones and tape at that location had been there during the Operations Evaluation in April/May 2009 and, in reality, had been there since the summer of 2008. It was not new activity or layout of a trail.** When a MWR architect and engineering company had been here in 2008, they had walked that hillside to find the best possible location of the trail to the Marching Bear Group. The cones and tape were located where they felt the best location for the trail would be and were never removed.

3. **Consult with Regional Ethnographer Dr. Mike Evans, Iowa SHPO Compliance Program Manager Doug Jones, and Iowa State Archeologist Dr. John Doershuk to develop and implement a plan for tribal consultation concerning the new boardwalk and maintenance shed;**

Dr. Evans was consulted, and along with Dr. Lynott, Mr. Adams and myself, a plan was developed for tribal consultation concerning the new boardwalk and maintenance shed. This consultation was held November 17, 2009. In attendance were Doug Jones, Jerome Thompson, Barbara Mitchell and Dan Higginbottom, Iowa SHPO; Dr. John Doershuk and Shirley Schermer, Iowa Office of the State Archeologist, THPO representatives from five of our affiliated tribes, members of the Ho-Chunk traditional court, Dr. Mark Lynott and Anne Vawser from MWAC and Ron Cockrell from the MWRO along with members of EFMO's Interdisciplinary team. All information about the boardwalk and maintenance storage area, including our role in the neglected compliance, was brought to their attention by Mr. Cockrell and myself. Attendees were then escorted to the sites and their concerns addressed. Dr. Lynott and Anne Vawser then introduced the plan for the geophysical archeological survey.

Prior to the consultation, I contacted the Iowa SHPO office and the Office of the State Archeologist as well as MWAC and arranged for each group to visit the park and review the situation and compliance concerns.

4. **October 30, 2009, to nominate a park staff member as the Park Section 106 Coordinator and provide the person's name and qualifications to the Regional Section 106 Coordinator for the MWRO review. The park's Chief of Maintenance may not serve in that capacity,**

On October 29, 2009, Dr. Given sent an email to me approving the appointment of David Rambow, our term Museum Technician to the role of 106 compliance coordinator. He will be attending the Assessment of Effects approved by Ron Cockrell in Virginia February 9 and 19, 2010. He will also be participating in an advanced course in early spring facilitated by the same company.

6. By October 30, 2009, to submit for review and possible remedial action an Assessment of Effects form for the fence constructed around the visitor trail loop at the Great Bear Mound Group.

The Assessment of Effects regarding the fence at Great Bear Mound Group was submitted through PEPC on October 23, 2009 and an email was sent to Nick Chevance on October 31, 2009, to bring it to his attention in case he had not had an opportunity to look at it.

We acknowledge that the fence can be walked around. In order to have fences that can't be circumvented we would have to basically fence the entire monument. The fence was installed for safety reasons and designed solely to get people's attention. With National Park Service Director Jarvis's stressing "the safety and welfare of employees" I am sure he means the safety and welfare of the visitors as well. In addition, our Star rating through OSHA has been a top priority for Effigy Mounds National Monument for many years.

Regarding its appearance, we feel it is more appropriate than a wire fence but we are open to suggestions. Many members of our affiliated tribes have walked this trail and have never expressed concerns about the safety fences. In addition, our trails have 100% visitor satisfaction.



United States Department of the Interior

National Park Service

Midwest Region
601 Riverfront Drive
Omaha, Nebraska 68102-4226



January 5, 2010

H42(MWR-CR/HNRP)

Memorandum

To: Director, National Park Service (WASO, 001)
Attention: Associate Director, Cultural Resources (WASO, 2201)

From: Regional Director, Midwest Region

Subject: Effigy Mounds National Monument, Iowa, and the National Historic Preservation Act of 1966, as Amended

We are currently dealing with a serious situation at Effigy Mounds National Monument (EFMO), Iowa, involving noncompliance with Section 106 of the National Historic Preservation Act (NHPA) on a number of development projects. Should you receive any inquiries regarding this matter, the following information provides details on what has occurred and what we are doing to resolve the issues.

In late April, a team of Midwest Region professionals conducted a "Towards Excellence" Operations Evaluation (OE) at EFMO. The OE discovered major violations of the NHPA during a number of years. Specifically, the OE found EFMO did not follow compliance procedures of Section 106 of the NHPA in building new trails, replacing trail bridges, building a maintenance structure, and constructing an interpretive exhibit. These violations were exacerbated by the fact that they had major, adverse impacts to cultural landscapes and to aboriginal American Indian structures that EFMO was established to protect.

In the OE analysis of EFMO's cultural resources management (CRM) program, it became apparent that the Superintendent neglected her obligation for section 106 compliance by sometimes eliminating the internal agency review process and subsequent section 106 consultation with the Iowa State Historic Preservation Office (SHPO) and 12 affiliated American Indian Tribes. Effigy Mounds failed to properly document undertakings and to provide "Assessment of Actions Having an Effect on Cultural Resources" to its established list of cultural resources advisors for review.

Of particular concern is a project first proposed in 1999 to construct an accessible boardwalk trail and highway underpass in EFMO's South Unit, connecting to the visitor center, and passing underneath a State highway in the direction of the Yellow River (including a bridge crossing the river). Tribes were informed of the project, but the consultation letter focused primarily on the bridge crossing, not a system of elevated boardwalks that were to be connected to it or its relationship to the prehistoric earthworks. The SHPO responded with a two-page letter dated

TAKE PRIDE
IN AMERICA 

August 13, 1999, saying it required more information on location of architectural and archeological resources before it could make a determination of effect. The SHPO concluded by stating, "When you have determined what types of historical properties are located within the project property and the significance of the properties in consideration of the National Register of Historic Places criteria, our office will be able to provide further comments on the proposed project."

It was the finding of the OE report that the SHPO's letter was relegated to EFMO files without a response. In 1999, there was an archeological survey in the immediate boardwalk path (Scott Stadler and Bob Nichol, Midwest Archeological Center, 2000). Shovel tests were performed at 10 meter intervals. The tests produced evidence for three concentrations of artifacts within the proposed boardwalk alignment. A trip report by Scott Stadler, dated October 29, 1999, recommends that construction be monitored by an Archeologist. The trip report was distributed to the Superintendent. The construction project, however, proceeded to completion without section 106 clearance. Further, in the fall of 2008 and early spring of 2009, EFMO began constructing a new boardwalk link from the existing boardwalk to the nearby culturally sensitive Lewis Mound area. Again, this was done without preparation of an Assessment of Effects form, consultation with EFMO's CRM Team, or any subsequent standard consultation with either the SHPO or Tribes. In addition, the boardwalk construction in 2008-2009 deviated from the route surveyed by Stadler and Nichol in 2000. While construction literally took place at the time of the OE team's visit, once the determination was made that no NHPA review had taken place, the park Superintendent was advised by the OE team leader to issue a stop-work order halting all contract-related construction activity of the new boardwalk segment.

Among other section 106-related deficiencies discovered by the OE team was a "Temporary Maintenance Structure" measuring 26 by 36 feet in EFMO's North Unit. Survey results by EFMO paraprofessional archeologists were prepared only after construction took place. The area of impact was adjacent to and highly visible from mounds in an area that had experienced prior disturbance by crop and livestock farming and where EFMO had added 8 to 10 inches of gravel to accommodate a maintenance yard. Twenty-two posts were installed at a 4-foot depth and a rounded corrugated metal building was erected, tied to a concrete foundation sill. Again, this undertaking took place without benefit of NHPA review, including consultation with its CRM Team. It resulted in construction of a modern building within a National Register-eligible landscape with no evaluation of its impact to that cultural landscape.

Notwithstanding violations of section 106 compliance review, EFMO has been seriously at odds with the intent of the National Environmental Policy Act (NEPA) and National Park Service policies pertaining to conservation planning and decisionmaking (DO-12). Actions have proceeded without appropriate analysis of environmental impacts or the consideration of an interdisciplinary team review of the projects prior to proceeding. In order to correct both NHPA and NEPA deficiencies, a team of planning, cultural and natural resources professionals conducted training June 8 through 10 at EFMO for the entire park management team.

In the ensuing months, the following has occurred:

1. Delegation of authority for section 106 to the Superintendent has been rescinded, and regional CRM specialists are overseeing all NHPA-related activities.

2. Effigy Mounds was directed to reassign collateral-duty Park Section 106 Coordinator responsibilities from the Chief of Maintenance to another staff member to avoid the inherent conflict of interest (EFMO selected the term-appointment Curator).
3. Effigy Mounds established an interdisciplinary team which meets regularly to review projects and ensure all NHPA and NEPA requirements are met.
4. Reinstated the in-house Agency review for section 106 by utilizing the "Assessment of Actions Having an Effect on Cultural Resources" and circulating it for CRM Team review and comment. A form will be prepared for every undertaking performed in EFMO in sufficient time prior to project implementation and circulated for review. All undertakings will be forwarded to the SHPO and affiliated Tribes for standard section 106 review.
5. All actions requiring documented NEPA categorical exclusions or higher need to be reviewed by the Regional Environmental Coordinator before proceeding, to confirm the documentation is complete and the decision is in line with policy. This directive will remain in effect until such time as EFMO can consistently demonstrate an understanding and adherence to DO-12.
6. A General Management Plan planning process is being reconstituted to ensure alternatives reassess the level of desired development at EFMO and fully disclose potential impacts of the alternatives.
7. Removal of the above-grade "Temporary Maintenance Structure" and associated equipment in the North Unit.

In a July 20 meeting in Omaha, regional managers informed the Iowa SHPO of the OE findings; and in subsequent weeks, site visits were made to EFMO to observe onsite conditions. On November 17, regional CRM specialists held an onsite consultation meeting with both the Tribes and the SHPO, explained the above chain of events, and toured the areas of concern. Manager Mark Lynott, Midwest Archeological Center (MWAC) proposed a 2-year archeological assessment of the area and invited comment. The goal of this research is to identify areas where intact archeological resources may still be present, and areas that either lack archeological resources or areas which have been sufficiently disturbed that they no longer have archeological significance. This assessment will help determine impacts of existing facilities to the prehistoric landscape, including from boardwalk construction at Lewis Mounds. Tribal representatives did not object to the plan for geophysical surveys, but several expressed concern about soil coring and testing. Iowa SHPO Jerome Thompson said he felt archeology needed to be a central component of long-range planning for EFMO and not simply a response to individual developments. The SHPO Archeologist Dan Higginbottom said that regardless of the impacts of the boardwalks to archeological resources, the boardwalks are an intrusion on the cultural landscape and represent an adverse affect. Further, the SHPO stated that until EFMO can demonstrate NHPA adherence, they want to review all section 106 actions, and we agreed to

perform standard section 106 review for actions that otherwise would be eligible for the streamlined process as provided by the 2008 Programmatic Agreement.

The archeological assessment will commence next spring. Tribal representatives have been invited to observe and participate, and a late May 2010 meeting is proposed to share some results of the geophysical studies with the Tribes and the SHPO. We are preparing section 106 compliance review on the proposed 2-year archeological survey. The SHPO, State Archeologist, and Mark Lynott have expressed concern about further damage to resources through removal of subsurface components of the boardwalks and maintenance structure. There is consensus that a decision on how to mitigate subsurface components would be postponed until MWAC can study the problem and recommend a solution. We are also preparing an Assessment of Effects (AOE) form for removal of the above-ground portions of the new boardwalk alongside the Lewis Mound Group. This is necessary to provide clear space for the use of remote sensing equipment by the archeological survey crew. The AOE form will be sent to affiliated Tribes for consultation. The MWR Associate Regional Director for Cultural Resources will consult directly with the Iowa SHPO on this AOE.

I can assure you that the problems at EFMO are now being addressed, and that I, along with my regional cultural resources professionals, will be actively involved in decisionmaking to solve these serious deficiencies and return the park to compliance with policy and law.



cc:
WASO—Deputy Director, National Park Service



United States Department of the Interior



National Park Service

Midwest Region
601 Riverfront Drive
Omaha, Nebraska 68102-4226

H42 (MWR-CR/HNRP)

January 29, 2010

Memorandum

To: Superintendent, Effigy Mounds
From: Regional Director, Midwest Region
Subject: Compliance Roles and Responsibilities

The purpose of this memorandum is to clarify the roles and responsibilities of Effigy Mounds (Park) and the Midwest Regional Office (regional office) concerning compliance with the National Environmental Policy Act (NEPA) and the National Historic Preservation Act (NHPA), including consultation with the Advisory Council for Historic Preservation (ACHP or Council), State Historic Preservation Officer (SHPO), Tribal Historic Preservation Officers (THPO), American Indian Tribes, the general public, and other consulting parties such as the State Archeologist.

Until we are comfortable that a culture of adherence to the NEPA and the NHPA compliance has been established at the Park, all actions and activities proposed to be undertaken by the Park must be reviewed by the regional office.

For questions concerning the NHPA cultural resources compliance policy and processes, the Park Section 106 Coordinator should contact the regional office NHPA Coordinator Ron Cockrell at 402-661-1922. For questions about section 110 policies, contact Midwest Archeological Center (Center) Archeologist Anne Vawser at 402-437-5392, extension 109. For questions about Traditional Cultural Properties or Tribal consultations, contact Regional Ethnographer Mike Evans at 612-345-0019. You are advised to maintain a complete file of telephone and electronic messages on all section 106 discussions as part of your official administrative record.

For questions concerning NEPA processes or policy, the Park NEPA Coordinator should contact the regional office NEPA Coordinator Nick Chevance at 402-661-1844 or the regional office Chief of Planning Sandra Washington at 402-661-1840.

**TAKE PRIDE[®]
IN AMERICA** 

For any proposed action or activity, compliance begins at the Park by completion of the Environmental Screening Form by the NEPA Coordinator in consultation with the NHPA Section 106 Coordinator. This form is to be filled out in the Planning, Environment, and Public Comment (PEPC) system. All projects entered in the PEPC must have Archeologist Anne Vawser identified as a team member.

Roles and Responsibilities

The regional office retains NEPA signatory authority for all projects initiated at the Park. Once compliance actions have been completed and the Park/regional office has completed all reviews, the Park may contact the Planning and Compliance staff named above and indicate that the action/activity is ready for approval. The Planning and Compliance staff will review, and if all compliance activities have been completed, the compliance action will be concluded. For a Categorical Exclusion (CE), the CE form will be printed and submitted for signature in the regional office. Once signed, the signature date will be entered into the PEPC and the signed form returned to the Park for filing with the administrative record. Once signed, the Park may implement the action or activity.

The Park has responsibilities to communicate with interested publics concerning actions and activities that may affect the Park's resources. The PEPC system allows the Park to make certain types of information available for public inspection. This can be as simple as a brief description of certain activities the Park is considering, and some of the issues that the Park anticipates may come up as the compliance process moves forward. This information is only what the Park would want to make public; it does not allow the public to see the internal workings of the PEPC. The regional office NEPA Coordinator can assist the Park in setting up this type of information dissemination. Keep in mind this does not relieve the Park from any specific requirements for public notices published in newspapers of record, but it can be used to supplement those types of information releases.

Once the compliance process has been completed, and all resource issues have been resolved, it is recommended that the Park make all decision documents available on the public side of the PEPC. This would include all signed CEs, Findings of No Significant Impact for any Environmental Assessments, and Records of Decision for Environmental Impact Statements. The regional office NEPA Coordinator can assist the Park in making these available for public review.

The regional office Cultural Resources Directorate retains consultation authority for all previous compliance issues within the Park. The Superintendent will be included on related correspondence and meetings. The Superintendent shall keep the Park staff informed and involved as necessary and appropriate, especially the NEPA and the NHPA Coordinators.

For all other proposed actions and activities, the authority to consult with various parties as required by the 2008 Programmatic Agreement for Section 106 is hereby redelegated to the Superintendent. You should be aware, however, that consultations with the Council, the SHPO, and others on the Nazekaw Terrace boardwalk and North Unit maintenance shed could result in a

programmatic memorandum of agreement which would establish specific procedures and requirements for consultation on other proposed Park actions for the foreseeable future.

In the interim, the Park Section 106 Coordinator must generate an Assessment of Effects (AOE) form in the PEPC system for each new proposed action or activity. The form will be reviewed and commented on through the PEPC by the Park's Cultural Resources Management Team (CRM Team). The AOE form must describe how the Park intends to consult with the Iowa SHPO, Iowa State Archeologist, affiliated THPOs and Tribes, and the general public. After release of the form to the Park by the Regional Director, the Park will use the form, including the comments of the CRM Team, to initiate consultations. The Park must send copies of all related communications and documentation, including responses from consultees, to the regional office NHPA Coordinator for review. The regional office will make a final determination on the proposed activity and will notify the Park on how to proceed.

Nazekaw Terrace Boardwalk and North Unit Maintenance Shed

On January 27, 2010, the Associate Regional Director for Cultural Resources provided an oral briefing concerning Park compliance issues to the NPS liaison for the ACHP. Based on that conversation, the regional office will now formally consult with the ACHP. Because the actions concerning construction of the Nazekaw Terrace boardwalk and North Unit maintenance shed were undertaken without compliance, based on the regulations in 36 CFR Part 800 the ACHP will likely determine that the Park foreclosed the Council's ability to comment. This precludes the use of the AOE form for further consultations regarding those actions.

The regional office will send the ACHP a formal invitation to participate as a signatory on a Memorandum of Agreement (MOA) between the NPS, the Iowa SHPO, affiliated THPOs, affiliated Tribes, and other parties as recommended by the Council and the SHPO concerning mitigation of adverse effects caused by construction of the Nazekaw Mounds boardwalk and the maintenance shed in the North Unit. The invitation will state that the regional office proposes to mitigate these actions by removing the elements above ground for the entire boardwalk and completely removing the remains of the maintenance shed under the supervision of a professional archeologist from the Center. If the parties reach consensus on resolving the adverse effects, the MOA may then be developed and executed.

For the MOA, we must provide the following information in accordance with 36 CFR 800.11: (1) A description of the undertaking, specifying the Federal involvement, and its area of potential effects, including photographs, maps, and drawings, as necessary; (2) A description of the steps taken to identify historic properties; (3) A description of the affected historic properties, including information on the characteristics that qualify them for the National Register; (4) A description of the undertaking's effects on historic properties; (5) An explanation of why the criteria of adverse effect were found applicable or inapplicable, including any conditions or future actions to avoid, minimize or mitigate adverse effects; and (6) Copies or summaries of any views provided by consulting parties and the public.

The invitation will also state that we will propose that the piers for the boardwalk be left in place until the Center has completed the Nazekaw Terrace survey and provides recommendations for mitigation of the piers. These recommendations would be forwarded to the consulting parties for review and comment. This could result in a separate MOA among the consulting parties.

We must also address the other actions undertaken over the years by the park without compliance. Each such action dating from and including calendar year 1999 forward now must be cataloged. For each action, we must provide the information required in 36 CFR 800.11 and present the information to the consulting parties for resolution of the adverse effects. This may result in one or more additional MOAs. The regional office will determine the method to be used to collect the information. You and the Park staff are expected to cooperate fully and openly in that exercise.

Other Boardwalks Within the Park

Consulting party concerns about previously completed boardwalks and/or proposals for additional boardwalks will be handled through the revised General Management Plan process.

Nazekaw Terrace Archeological Survey

The Regional Chief of Ethnography and the Park will coordinate consultation with the Tribes on the Center project to resolve Tribal concerns about aspects of the project involving coring and test excavations. Consultations will occur prior to initiation of these aspects of the NPS study, and the Center will assist in consultations as needed. Plans to discuss these aspects of the proposed study with the SHPO, affiliated THPOs and Tribes, and the general public are scheduled for May 2010.



cc:

MWRO-Steve Adams, Don Stevens, Mike Evans, Ron Cockrell

MWAC-Mark Lynott

WASO-AD, Cultural Resources

List of paraprofessional training course participants, 1995

Tom Sinclair	EFMO	maintenance
Joni Jones	INDU	law enforcement
Bob Daum	INDU	resource management
Elizabeth Amberg	ISRO	historian/cultural resources
Paul Roelandt*	VOYA	maintenance
Bill Johnson	VOYA	maintenance
Bruce Barrett	VOYA	maintenance
Bill Carlson	VOYA	maintenance
Ron Cockrell	MWRO	Regional Historian
Don Stevens	MWRO	Historian
Dean Alexander	MWRO	Chief, Planning and Environmental Quality
Mike Ward	ULSG	maintenance

* Paul will be arriving early and will be with us on both Monday and Friday. He is involved in a broader training program and will also be participating in my CUVA project this summer. While at MWAC, he will be learning more about the archeological program and the various activities that we undertake.

1:45-2:30 Common Historic artifacts -- bottles and cans
(Vergil Noble, Al Smith)
2:45-3:30 Site characteristics -- the range of
archeological resources (Anne Vauser)
3:45-4:30 Prefield research and communication (Bruce
Jones)

Thursday, April 27

8:30-9:20 Field reconnaissance methods part 1 (Forest
Frost)
9:30-10:15 Field reconnaissance methods part 2 (Forest
Frost)
10:30-2:30 Field trip
2:45-3:15 Reporting the findings (Jeff Richner)
3:30-4:00 The role of paraprofessionals (Jeff Richner)
4:15- Closeout

Friday, April 28

Open day for potential viewing of collections, discussions
with MWAC staff, expansion of topics discussed in the
course, or other activities.

1995

Paraprofessional Training Schedule and Outline

Monday, April 24

Travel day -- no planned activities. Center staff will be available to answer questions or interact with the participants who will arrive early. Arrangements can be made to provide assistance for participants to examine collections, use the MWAC library, or check MWAC's archeological files.

Tuesday, April 25

8:30-8:40	Welcome and Introductions (Doug Scott)
8:40-9:00	Overview of history, function and organization of MWAC (Jeff Richner)
9:00-9:10	Purpose of the program (Mark Lynott)
9:20-9:50	The nature of archeological resources (Jeff Richner)
10:00-10:50	Historic preservation: history and legal basis (Doug Scott)
11:00-11:30	Historic preservation: enforcement and site protection (Jeff Richner)
11:30-12:45	Lunch (Tape/film)
12:45-1:30	Integration of historic preservation (Don Stevens)
1:45-2:15	NPS policy (Jeff Richner)
2:30-3:20	Overview of prehistory (Mark Lynott)
3:30-3:50	Archeological project summary (prehistory example -- slide presentation) (Jeff Richner)
4:00-4:20	Archeological project summary (prehistory example -- lab analysis/treatment) (Ken Cannon)

Wednesday, April 26

8:30-9:20	Overview of Historical Archeology (Vergil Noble)
9:30-9:50	Archeological project summary (historic example) (Vergil Noble)
10:00-10:45	Prehistoric technology -- lithic artifacts (Jeff Richner, Forest Frost)
11:00-11:30	Prehistoric technology -- ceramic artifacts (Jeff Richner, Forest Frost)
11:30-12:45	Lunch
12:45-1:30	Common historic artifacts -- ceramics (Vergil Noble, Al Smith)

established before any authorized investigation begins. This will help ensure that the investigations are both responsive and adequate.

2. It is necessary for the PA to maintain communication with the professional advisor throughout performance of the investigation. Without that functional relationship, use of a PA to conduct any independent field investigation is a violation of policy and law.

Accountability

1. The methods and results of PA investigations must be thoroughly documented for management to be in full compliance with section 106 obligations. Even when nothing is found in a project area, records must be able to show that a diligent search of the project area was made without result. It is essential that the responsible PA be given adequate time to prepare and submit a complete report describing any assigned investigation.

2. Unless other arrangements are made, all original field records (e.g., notes, drawings, photographs) and any artifacts collected during an investigation should be sent with the PA report to MWAC for curation. Upon review of the report, recommendations will be made for project relocation, additional study, or authorization to proceed, as deemed appropriate. As noted above, additional review by the concerned SHPO may delay any final determination and notice to proceed.

The Paraprofessional Archeologist Program developed for the Midwest Field Area enables us to meet our cultural resources management responsibility without undue costs in time and money. The program is a convenient means to meet our legal obligations, but it is not a "quick fix" solution to section 106 compliance. Rather, to work within the law, the program requires early planning at the park level, close coordination of authorized investigations, and proper documentation from start to finish. The program is dependent upon working within the established framework.

If you need any further clarification of these issues or if you wish to request scheduling a future Paraprofessional Archeologist training session, please direct your inquiries to MWAC Manager Mark Lynott at 402-437-5392, ext. 107.

William A. Schul

Enclosure

2. Documents are reviewed by qualified area experts who meet the Secretary of the Interior's standards to determine the potential effect of undertakings.

3. If archeological investigation is recommended, the area expert may further determine that use of a PA is appropriate and feasible. Upon that recommendation, the unit manager should consult with the Midwest Archeological Center (MWAC) Manager and initiate communications needed for PA investigation of the project area. The MWAC Manager will assign a staff archeologist to work with the PA and establish the protocols to be followed.

Qualifications

1. Participants in the PA program must first successfully complete the training course offered by MWAC. Persons with appropriate academic degrees or substantial experience in field archeology may also participate upon the MWAC Manager's review of their qualifications.

2. Periodic refreshers are not currently required, but managers are encouraged to release their staff PAs occasionally to assist in the performance of MWAC projects conducted locally.

3. Parks lacking a trained PA may be able to request temporary details of such staff from other parks. A list of staff in the Midwest Field Area who meet or exceed PA program requirements is enclosed to assist such cooperative efforts.

Conditions

1. Use of PAs depends on such factors as project location, manner of ground disturbance, proximity of known cultural resources, and the overall complexity of an investigation. Size of a project area is particularly critical and generally must be less than one-half acre to authorize the use of a paraprofessional.

2. The PA is not to carry out independent investigations on or near known archeological sites, as policy limits their scope of responsibility to the inventory of small areas where no sites have been previously recorded. In some cases a PA may be authorized to monitor small-scale, relatively confined ground disturbances, such as utility trenching. If agreeable to park managers, PAs may also assist qualified archeologists in the course of any field study, thereby reducing the total cost of those professional services and providing additional experience for the PA.

Coordination

1. The PA assigned to a project coordinates with an archeologist identified by the MWAC Manager. Methods to be used in the field investigation, as well as reporting needs, are thereby clearly



United States Department of the Interior

NATIONAL PARK SERVICE

Midwest Field Area
1709 Jackson Street
Omaha, Nebraska 68102-2571

IN REPLY REFER TO:

H24 (MFA FDO-DFD)

MAY 07 1996

Memorandum

To: All Superintendents, Midwest Field Area

From: Field Director, Midwest Field Area

Subject: Paraprofessional Archeologist Program

This memorandum reaffirms our support for the Midwest Field Area Paraprofessional Archeologist Program and seeks to clarify the standard procedures for use of a Paraprofessional Archeologist (PA) to investigate certain minor park development undertakings where ground disturbance is anticipated. The program is designed to enhance the efficiency of certain archeological investigations required under section 106 of the National Historic Preservation Act of 1966, as amended, by employing trained park staff who act with professional guidance in behalf of qualified archeologists. With proper coordination the program can continue to help us achieve reductions in cost, as well as time, required to implement small park developments.

In order to ensure that parks are in full compliance with statute and policy, guidelines have been set forth to govern the Midwest Field Area PA program. It is essential that we respect our own guidelines, bearing in mind that historic preservation officials and the public at large examine our cultural resource management efforts closely. In addition, if we expose ourselves to legitimate criticism through inattention to our own approved procedures, we could endure costly delays through additional State Historic Preservation Office (SHPO) review, compromise our credibility, and lose substantial support among the historic preservation community. It is appropriate, therefore, to review the critical features of our PA program.

Project Initiation

1. Field units prepare detailed section 106 documents (Form XXX) for all undertakings that will likely involve ground disturbance and thereby potentially affect known or unknown cultural resources. Because cultural resources compliance review takes time, it is essential that documentation be submitted well in advance of all scheduled development projects. Though it is prudent to perform preliminary inspections of all project areas in preparing initial documentation, no archeological field work of any kind should be performed at this stage.

MEMORY TRANSMISSION REPORT

TIME : APR-07-2010 02:31PM
TEL NUMBER : +402 437 5098
NAME : NATIONAL PARK SERVICE

FILE NUMBER : 984
DATE : APR-07 02:27PM
TO : 84026611737
DOCUMENT PAGES : 002
START TIME : APR-07 02:27PM
END TIME : APR-07 02:31PM
SENT PAGES : 002
STATUS : OK

FILE NUMBER : 984

*** SUCCESSFUL TX NOTICE ***

MWAC-31



Midwest Archeological Center

Midwest Archeological Center
Telephone 402-437-5392
Fax 402-437-5098

National Park Service



Date: Apr. 17, 2010

To: Dave Given
Ramona Turner

Fax Number: 402-661-1737

From: Mark Lynott
Federal Building, 100 Centennial Mall North, Room 474, Lincoln, NE 68508-3873

Number of pages to follow: 1

Subject: Para professional program at EFMD

Remarks: Draft for review

Time Sent/Initials _____



United States Department of the Interior

National Park Service

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

IN REPLY REFER TO:

A7824 (MSR-RD)

Memorandum

To: Superintendent, Effigy Mounds National Monument

From: Manager, Midwest Archeological Center

Subject: Suspension of paraprofessional archeological activities at Effigy Mounds National Monument

By this memorandum I am suspending the Midwest Archeological Center's paraprofessional archeological program at Effigy Mounds National Monument. Current permanent staff members Tom Sinclair, Sharon Greener, and Rodney Rovang were previously certified as park paraprofessional archeologists. It is my understanding that three other EFMO staff (Robert Huck, Rick Trudo, and Mathew Ericson), all temporary/seasonal maintenance workers and laborers who completed the paraprofessional training course at MWAC in 2005, are no longer employed at EFMO. If I am incorrect in that assumption, their ability to serve as park paraprofessional archeologists is also rescinded along with the certifications of the three permanent staff.

The Center manages the Paraprofessional Archeological Program under clear and carefully developed standards and limitations, which in my opinion have not been consistently followed at EFMO. Therefore, I have concluded that, especially given the intense scrutiny of cultural resources compliance actions at EFMO, it is in the best interests of the Midwest Region and the park to suspend the paraprofessional archeological program at EFMO. This suspension will continue until all of the current cultural resource compliance and tribal consultation issues are resolved with the State of Iowa, the Advisory Council for Historic Preservation, and the park's tribal partners.

The permanent staff member's certifications as park paraprofessional archeologists can be reinstated after the compliance issues are resolved and the staff members complete a paraprofessional archeological training refresher course when it is next offered by the Center.

Mark J. Lynott

cc:

Regional Director, MWR
Deputy Director, MWR
Associate Director for Cultural Resources, MWR
Senior Historian, MWR

United States Department of the Interior
NATIONAL PARK SERVICE
Midwest Regional Office
601 Riverfront Drive
Omaha NE 68102

OFFICIAL CORRESPONDENCE VIA ELECTRONIC MAIL
No Hard Copy to Follow

H4217
May 12, 2010

Memorandum

To: Regional Director and Deputy Regional Director, Midwest Region

From: Associate Regional Director, Cultural Resources */s/ Stephen E. Adams*

Subject: Trip report, Effigy Mounds National Monument, March 24-26, 2010

On Wednesday, March 24, Ron Cockrell, Roberta Young, and I departed via rental vehicle for Effigy Mounds. The purpose of the trip was to search park files for information related to activities subject to NHPA Section 106 compliance, and to conduct field evaluations of various activities dating from calendar year 1999. This information was needed to supplement the MWR-CR files so that we could begin the 1999-present section 106 review as described in the February 19, 2010, letter to the Advisory Council concerning consultation on Effigy Mounds compliance issues. To facilitate collection and organization of project and compliance information, we developed an Excel matrix (attached). Projects and activities for the matrix were drawn from PMIS, PEPC, and other regional sources. Sandra Washington and Nick Chevance reviewed the matrix and provided input considering NEPA requirements.

We arrived on-site Wednesday afternoon and met briefly with Superintendent Phyllis Ewing and AO Friday Wiles. The park had gathered many of the files, and we took them to the hotel, where Ron began researching them that evening. At the hotel, we reviewed the information gathered thus far for the matrix, and made plans for the following day at the park.

On Thursday, as Ron continued the file research at the park and met with 106 Coordinator David Rambow, Roberta and I walked most of the trails in the North Unit, accompanied by Chief of Resources Rodney Rovang. We also drove into the South Unit, visiting locations of various activities such as trail maintenance and construction, and exotic/invasive vegetation removal. That evening, Ron completed most of the file research.

Friday morning, we returned to the park. While Ron finished his file review, Roberta and I discussed various compliance issues with Rodney Rovang, including generation of GIS-based maps showing locations of various work in the park over the time period under review. Ron, Roberta, and I had a close-out briefing with Superintendent Ewing, including a discussion of what the park could do to help in obtaining public input on boardwalk and structure removal. This included posting the PEPC press release on the EFMO website and creating an exhibit for the park visitor center. We then departed for Omaha, arriving late Friday afternoon.

PRELIMINARY REVIEW FINDINGS

Number of projects/activities reviewed from 1999 to present:	81 (+1 from 1998 to serve as a baseline)
Number of same which required NHPA review:	81 (100%)
Number which received some level of NHPA review:	20 (25%)
Number for which NHPA compliance was completed:	13 (16%) [10 under MWR-CR direction]
Number for which NHPA compliance was completed by the park:	3 (4%)
Number for which NEPA review was required:	80
Number which received proper NEPA review:	3 (4%)

Observations

Park information on many of the projects was limited or non-existent, so analysis of effects will be difficult without lengthy interviews with park staff. In general, park project and activity accomplishment reports need to be consistently completed

and need to be more comprehensive and thorough. The park should maintain documents in a manner that will satisfy the requirements for administrative records, which do not appear to exist at present.

When the park does initiate NHPA compliance, it often does not follow through with recommendations of section 106 reviewers and requirements for consultation with the SHPO and Tribes. The park is even less compliant with NEPA.

There are many projects for which no consultation was initiated with the park CRM team, the SHPO, or the Tribes. Clearly, decisions are being made to proceed without the required comprehensive planning and consultation. In fact, despite staff training and numerous reminders to initiate NEPA and 106 on specific actions, the park failed to do so.

Of particular concern are multi-year projects, such as trail development and removal of "undesirable" or "hazardous" trees, which have not undergone NEPA or NHPA review and consultation. These projects are resulting in major changes to the landscape, without benefit of recommended treatment in an approved Cultural Landscape Report and no approved comprehensive trail development and management plan. The cumulative effects of these projects are striking; the character of the landscape and the park in total has been significantly altered in ways not supported by the 1991 GMP or the current GMP process. For example, the 1991 GMP references a study which concluded that sugar maples and basswood were the predominant forest species, yet the park has been removing sugar maples in order to encourage oak growth. A subsequent study in 2007 concluded that oak restoration might be reasonable for the park's uplands, but there was still no NEPA or NHPA review of this major vegetation management protocol. Substantial changes in vegetation treatment protocols should not be implemented based on the latest research unless that research has been reviewed, evaluated, confirmed, and incorporated as part of a Cultural Landscape Report. Any such protocol, especially one with long-term ramifications, also needs to integrate climate change science into the calculus. Ad hoc programs are particularly prone to failure; it would be tragically ironic if the current treatment, coupled with climate change, resulted in the total loss of upland woods at the park.

The fact that treatment and development decisions affecting historic properties are being made without the inclusion of persons with cultural resources management expertise and experience is highly problematic. A CRM position for the park is critical and should be the immediate, number one priority for filling vacancies.

Some of the trail work, though improperly initiated, has had beneficial results. For example, some trail sections have been moved away from on or near mounds. This type of work, however, should be done within the parameters of a general trail plan so that the work over the years is consistent, appropriate, designed to minimize adverse effects, and does not perpetuate the proliferation of abandoned trail sections.

In addition to violations of Section 106 of NHPA, which deals with effects to known historic properties, there were violations of Section 110 of the Act, which requires inventory of properties in proposed project areas not previously investigated by professional archeologists.

Conclusion

We conclude, based on this preliminary review, that park activities over the past 11 years have had significant and adverse effects on the historic properties at Effigy Mounds National Monument. The review demonstrates that the park has not been, for the majority of projects and activities, complying with fundamental laws and policies for the protection and preservation of cultural resources. There is no legal or procedural basis for this non-compliance.

Although the number of Assessments of Effects forms submitted by the park has increased since the operations evaluation last year, the park is not consistently following either NEPA or NHPA procedures. This is probably best illustrated by park plans to proceed this year with prescribed fire activities without the required NEPA and NHPA compliance. A Fire Management Plan that does not fully consider environmental impacts nor integrate Cultural Landscape Report treatment recommendations is not scientifically supportable and is outside policy.

The matrix demonstrates that the park cannot or will not complete compliance without the intervention and direction of MWR staff. Since routine violations of NEPA and NHPA continue despite focused staff training and various recommendations and directives from MWRO and MWAC, it seems clear that the park cannot be brought into compliance without an epiphanic change in the practices of the park leadership.

The near absence of compliance at the park since 1999 has resulted in de facto foreclosure of the ACHP opportunity to comment because most of the adverse effects cannot be eliminated or mitigated. In order to reestablish productive relationships with the Advisory Council, SHPO, and Tribes, to regain the public trust, and to protect the resources, proactive, timely, visible, and verifiable change must occur.



United States Department of the Interior

National Park Service
Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

IN REPLY REFER TO:

June 6, 2012

H2623(MWAC)

Memorandum

To: Special Agent, National Park Service

From: Park Archeology Program Manager, Midwest Archeological Center

Subject: Summary of information provided to Effigy Mounds National Monument staff regarding compliance with Section 106 of the National Historic Preservation Act

The following information summarizes the kinds and scope of advice and information the Midwest Archeological Center (MWAC) provided to managers at Effigy Mounds National Monument (EFMO) regarding the process of documenting undertakings under Section 106 of the National Historic Preservation Act (as amended). The summary begins in 1995, since that date marks a shift in the responsibility for conducting the Section 106 process from the Regional Director to each park superintendent. Also included are a few examples of training and other information available to all park superintendents from the Midwest Regional Office (MWR) and Advisory Council on Historic Preservation (ACHP).

- Prior to 1995, when there was a significant reorganization of the National Park Service, all Section 106 compliance actions for the Midwest Region were undertaken by cultural resource staff in the Midwest Regional Office and approved/signed by the Regional Director. The Midwest Archeological Center participated in that system by reviewing assessments of effect, commonly known as XXX forms since no formal NPS number was assigned to the form. The process was undertaken in a consistent manner for all the Region's parks.
- As the reorganization of the National Park Service (NPS) took place in 1995, authority for complying with Section 106 was delegated to the parks, with each park superintendent responsible for complying with the law in their individual park. Several park superintendents had requested that shift in responsibility. From that time until the present, each park superintendent was responsible for ensuring that the Section 106 process was applied appropriately for all undertakings within his/her park. Through the remainder of the 1990s, EFMO Superintendent Gustin, followed by Superintendent Miller were responsible for assuring that the Section 106 was applied correctly to all EFMO undertakings. The same applied to Superintendent Ewing

when she replaced Superintendent Miller. This responsibility has not changed since the 1995 reorganization and is still in place in 2012.

- In 1995, a programmatic agreement was signed between the NPS and a national organization of State Historic Preservation Officers that detailed how the Section 106 process would be undertaken, including the need for each park to identify a set of cultural resource subject matter advisors and a Section 106 coordinator to develop and review the projects considered under the law.
- Under the 1995 PA and the MWR's Section 106 process, each park identified a set of advisors, one for each of the cultural resource subject matter areas, and a staff member to serve as the park's Section 106 coordinator. Since there were, and still are, few archeologists within the MWR parks, MWAC staff archeologists have served as archeological advisors for many parks, including Effigy Mounds National Monument (EFMO). Jan Dial- Jones and Anne Vawser have been the archeological advisors for EFMO from 1995 to the present. In addition, other senior MWAC staff members, including Mark Lynott, Tom Thiessen and Jeff Richner have advised EFMO on archeological and compliance issues since 1995. The park's MWAC-based Section 106 Advisor for Archeology not only commented upon each Assessment of Effect form developed by the park, but regularly advised EFMO on the process to follow, which was to include the formal participation of Federally recognized tribal partners and the Iowa SHPO. Tom Sinclair was Section 106 coordinator for EFMO for most of the time period after 1995 until 2010. Each advisor and coordinator was required to complete the MWR Section 106 workshop and the ACHP's more intensive training course.
- In 1995, the MWR developed a model for conducting the Section 106 process which has remained available since that date, with various revisions made as needed. Substantive revisions were made in 2002 and again in 2009, the latter via a MWR work group. Today, the model is available on line at the MWR website and is readily available to all park staff.
- In 1995, The Midwest Archeological center offered a training course in archeology, commonly known as the Paraprofessional Archeology Course, which covered a wide variety of topics, including the Section 106 process, which was a specific course module. In addition, instruction was provided on the appropriate role of paraprofessional archeologists that made it clear that park staff members trained in this course were not permitted to initiate any archeological activities without a direct assignment from an MWAC archeologist. Park staff members trained under this program assist MWAC archeologists in small projects within their parks as well as becoming advocates for archeological issues and adherence to the planning process under Section 106. Tom Sinclair of EFMO was one of the trainees who attended and completed the 40-hour, 1995 course.
- The role of paraprofessional archeologists had been previously documented through a 1987 memorandum, H 24(MWR-PC), April 24, 1987, from the MWR Director and via previous training courses offered by MWAC in 1981, 1984, 1987, and 1990. The memorandum on the role of paraprofessional archeologists has been reissued multiple times in similar form including 1989, 1996 and in other, more recent, years.
- Specific training was available to MWR park superintendents and all other park staff for understanding and conducting the Section 106 process through a Midwest Region Workshop and through courses frequently offered by the Advisory Council on Historic Preservation.
- The Midwest Region offered 106 training via a multi-day workshop on an irregular schedule beginning in 1996. In September of 1996, a three-day workshop was presented at Cuyahoga Valley National Recreation Area, now designated as Cuyahoga Valley National Park. Course

instructors included numerous Midwest Region staff, staff from the Midwest Archeological Center, several park 106 coordinators, Ohio State Historic Preservation Office staff, and staff from the Eastern Office of the Advisory Council on Historic Preservation. All aspects of the Section 106 process were covered in this and subsequent Midwest Region workshops.

- In 1997, MWAC offered the Paraprofessional Archeology Course and Chris Harmon of EFMO was one of the trainees. As in previous courses the Section 106 process was fully covered as was the role of paraprofessional archeologists.
- The Advisory Council for Historic Preservation has offered a week-long training course on Section 106 of the NHPA for many years. Typically, the course is offered multiple times each year at various locations around the United States. For example, in 2000, MWAC Archeologists Bruce Jones and Jeff Richner were enrolled in the course in Kansas City, Missouri. The course has been available for park superintendents or any other staff involved in the Section 106 process multiple times each year before and after the 2000 course.
- In 2001, EFMO Superintendent Ewing requested advice on NEPA and Section 106 via an email:
Subject: [none]
Author: EFMO Superintendent at np-efmo
Date: 3/16/01 4:08 PM
[Addressed to Mike Evans and Jeff Richner]

Mike/Jeff:

Whichever of you can respond!

Could you provide timelines required for the following processes:

NEPA/EA Public Review

Sec. 106

Any questions please call Friday Wiles on Monday. Thank you!

- Richner responded to Superintendent Ewing's request via email on March 19, 2001. The content of the email is provided below:

"There are four steps to Section 106 review, some of which have no specific time limits/deadlines:

Step 1 - Initiate process

Step 2 - Identify historic properties

Step 3 - Assess adverse impacts

Step 4 - Resolve adverse effects

The process is supposed to be initiated early "prior to the approval of the expenditure of any Federal funds on the undertaking." This does not include funds spent to identify properties within the project area. At this stage the agency establishes that there is an undertaking, and plans to involve the public and identify consulting parties.

As consultation with the SHPO begins, the SHPO (or Tribal Historic Preservation Office, where appropriate) must respond within 30 days when an agency submits a finding (there are several kinds of findings that can be submitted) for review. If the SHPO does not respond within this 30

day period, the agency may proceed with the process. In this case, the SHPO does not forfeit all further opportunity to participate in later stages of the process, but it does mean that the finding in question need not be revisited by the agency if requested to do so at a later date.

After an agency determines that it has an undertaking that requires further review and initiates the Section 106 process, it moves to step 2 by identifying historic properties (buildings, structures, sites, etc.). The SHPO is involved in this by assisting with the definition of the area of potential effects and the scope of needed identification efforts. If properties are identified, their eligibility to the Register must be evaluated. Two results are possible -- "no historic properties affected," and "historic properties affected." If the agency finding is "no historic properties affected" this finding is submitted and the SHPO/THPO has 30 days to object to the finding. If there is no objection, the Section 106 process is complete. If the SHPO objects, then a finding of "historic properties affected" is triggered.

When the result of Step 2 is a finding of "historic properties effected," then the agency moves to Step 3 to determine if the affects would be adverse. If finding of "no adverse effect" provided to SHPO, SHPO has 30 days to respond. If no response, then there is considered to be agreement on the finding. If SHPO disagrees with no adverse effect, can consult further until resolution, or send to Advisory Council for review. The Council in this case has 15 days to comment -- no comment within that period equals agreement with agency.

If there is agreement on adverse effect, then the agency moves to Step 4, which often involves some kind of mitigation of impacts. For archeology, mitigation plans must be formal and must be agreed to by the SHPO and filed with the Advisory council. This part can be rather complex, and I will not try to summarize it in this brief note.

So basically, the answer to your question is that the SHPO has 30 days after the agency submits its findings to comment on the finding. However, there is an assumption that the SHPO has been involved from a much earlier stage in the process and would already know what was planned before receiving the finding from the agency.

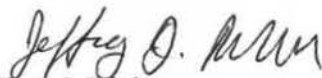
I hope this is of some use.

Jeff

- In 2002, MWAC again offered the Paraprofessional Course with similar content as in previous offerings. Chief Ranger Ken Block of EFMO was one of the trainees.
- In 2003, as a typical example of advice provided to EFMO Superintendent Ewing by their archeological advisor for Section 106, Anne Vawser recommended that EFMO develop a Section 106 form for the planned stabilization of an eroding stream bank at the Sny Magill unit. She also recommended that the park initiate tribal consultation for the project. This advice is documented in two emails archived at MWAC.
- Also in 2003, Archeologist Richner traveled to EFMO at the request of Superintendent Ewing to assist with the park's planning relative to trail work near the mound group commonly known as the "String of Pearls" or Fire Point. While at the park, Richner was asked by Park Superintendent Ewing to address the staff regarding the Section 106 process. He made two presentations, one to the permanent staff and one to the seasonal staff, many of whom were working on tree removal

and trail-related projects. In those presentations, Richner summarized the Section 106 process as well as discussing how archeological resources are managed in the NPS and their unique and non-renewable character. In his Trip Report memorandum that summarizes his visit to EFMO, Richner stated: "7. A Section 106 form should be developed for any proposed trail improvement work as called for in Stipulation IV.A of the 1995 Servicewide Programmatic Agreement. Multiple Trail segments could be documented on a single form.

- a. Some of the work would appear to fall within Nationwide Programmatic Exclusion B6 or possibly B9. Even if proposed trail work is a Programmatic Exclusion, a Section 106 form should be developed for the project."
- In 2005, MWAC again offered the Paraprofessional Training Course and many EFMO staff participated. These were: Sharon Greener, Administrative Assistant, Rod Rovang, Resource Manager, Robert Huck, Maintenance Worker, Matt Erickson Laborer, and Rich Trudo, laborer. Content was similar to previous offerings, with emphasis placed on the Section 106 process and the role and duties of paraprofessional archeologists.
 - In 2008, a new Programmatic Agreement was executed between the NPS and State Historic Preservation Officers. It updated and clarified aspects of the 1995 PA and made some changes to the process and to certain definitions relative to a park's findings of effect.
 - In 2009, a memorandum was sent to all MWR superintendents regarding the 2008 PA. The process was not changed substantially from that under the 1995 PA, as park superintendents remained responsible for assuring that Section 106 was completed appropriately for their park and the role of the park Section 106 Coordinator's important role in the process was reaffirmed.



Jeffrey J. Richner
Park Archeology Program Manager
Midwest Archeological Center

Ewing application for Superintendent

Phyllis Ewing

CURATOR

MARTIN VAN BUREN NATIONAL HISTORIC SITE

POST OFFICE BOX 545

KINDERHOOK, NEW YORK 12106

518-758-9689

(b) (6), (b) (7)(C)

April 7, 1997

National Park Service
Office of Human Resources
1790 Jackson Street
Omaha, NE 69102

hsm

Dear Sir/Madam:

Enclosed is a copy of my SF-171 and the related KSA's for vacancy announcement MWRO-96-38, Park Manager, Perry's Victory.

While not being able to apply for the permanent Superintendent position at MAVA due to lack of time-in-grade I had full management responsibility for the Site as Acting Superintendent for 11 months during the time immediately following the death of two Site employees - the Site's only Superintendent, and the Chief of Interpretation; a long time Site employee, as well as the unexpected severe illness of the Administration Officer which all occurred within three months.

My experience includes working in Interpretation and with Protection as it relates to collection security. During my three plus years as the Cultural and Natural Resources Manager at MAVA besides caring for the collection as Curator I have directed the Maintenance Division regarding all issues connected with the Site's historic structures and the cultural landscape. For about one year I have also been the Curator at Saratoga National Historical Park. Last year I completed the WEL Executive Leadership Program and attended the three week "Seminar for Historical Administration" suggested and funded by WASO Chief Historian, Dwight Pitcaithley.

I would enjoy the experience of Perry's Victory and learning from the Superintendent at Cuyahoga Valley National Recreation Area.

Yours truly,



Application for Federal Employment—SF 171

Read the instructions before you complete this application. Type or print clearly in dark

Form Approved
OMB No. 3265-0012

RECEIVED

APR 11 1997

HUMAN RES.

GENERAL INFORMATION

1 What kind of job are you applying for? Give title and announcement no. (if any)
 Park Manager
 MWRO-96-38

2 Soc. Sec. Security Number
 (b) (6), (b) (7)(C)

3 Sex
 Male Female

4 Birth date (Month, Day, Year)
 (b) (6), (b) (7)(C)

5 Birthplace (City and State or Country)
 (b) (6), (b) (7)(C)

6 Name (Last, First, Middle)
 Ewing, Phyllis A.
 Mailing address (include apartment number, if any)
 (b) (6), (b) (7)(C)
 City: Kinderhook State: NY ZIP Code: 12106

7 Other names ever used (e.g., maiden name, nickname, etc.)

8 Home Phone: (b) (6), (b) (7)(C)
 9 Work Phone: 518 758-9689

10 Were you ever employed as a civilian by the Federal Government? If "NO", go to Item 11. If "YES", mark each type of job you held with an "X"
 Temporary Career-Conditional Career Excepted
 What is your highest grade, classification series and job title?
 GS-12 1015 Curator
 Acting Superintendent 025 GS-12 for App. 12 months
 Dates at highest grade FROM Nov. 96 to Present

FOR USE OF EXAMINING OFFICE ONLY

Date entered register: _____ Form reviewed: _____
 Form approved: _____

Option	Grade	Earned Rating	Veteran Preference	Augmented Rating
GS025	12	Q	<input type="checkbox"/> No Preference Claimed <input type="checkbox"/> 5 Percent Preference <input type="checkbox"/> 10 Percent Preference <input type="checkbox"/> 15 Percent Preference <input type="checkbox"/> 20 Percent Preference <input type="checkbox"/> Other (Specify)	<input type="checkbox"/> Disabled <input type="checkbox"/> Being Investigated

Initials and Date: *CE 4/13/97*

FOR USE OF APPOINTING OFFICE ONLY

Preference has been verified through proof that the separation was under honorable conditions, and other proof as required

5 Point 10 Point (30% or More Compensable Disability) 15 Point (Less Than 30% Compensable Disability) Other

Signature and Title: _____ Date: _____

AVAILABILITY

11 When can you start work? (Month and Year)
 May 1997

12 What is the lowest pay you will accept? (You will not be considered for jobs which pay less than you indicate)
 Pay \$ _____ per _____ OR Grade GS-12

13 In what geographic area(s) are you willing to work?

14 Are you willing to work:

	YES	NO
A. 40 hours per week (full-time)?	X	
B. 25-32 hours per week (part-time)?		X
C. 17-24 hours per week (part-time)?		X
D. 16 or fewer hours per week (part-time)?		X
E. An intermittent job (on-call/seasonal)?		X
F. Weekends, shifts, or rotating shifts?	X	

15 Are you willing to take a temporary job lasting:

	YES	NO
A. 5 to 12 months (sometimes longer)?		X
B. 1 to 4 months?		X
C. Less than 1 month?		X

16 Are you willing to travel away from home for:

	YES	NO
A. 1 to 5 nights each month?	X	
B. 6 to 10 nights each month?	X	
C. 11 or more nights each month?	X	

MILITARY SERVICE AND VETERAN PREFERENCE

17 Have you served in the United States Military Service? If your only active duty was training in the Reserves or National Guard, answer "NO" If "NO" go to item 22

	YES	NO
		X

18 Did you or will you retire at or above the rank of major or lieutenant commander?

	YES	NO
		X

MILITARY SERVICE AND VETERAN PREFERENCE (Cont.)

19 Were you discharged from the military service under honorable conditions? (If your discharge was changed to "honorable" or "general" by a Discharge Review Board, answer "YES". If you received a clemency discharge, answer "NO". If "NO", provide below the date and type of discharge you received.

Discharge Date (Month, Day, Year)	Type of Discharge	YES	NO

20 List the dates (Month, Day, Year), and branch for all active duty military service

From	To	Branch of Service

21 If all your active military duty was after October 14, 1976, list the full names and dates of all campaign badges or expeditionary medals you received or were entitled to receive.

22 Read the instructions that came with this form before completing this item. When you have determined your eligibility for veteran preference from the instructions, place an "X" in the box next to your veteran preference claim.

NO PREFERENCE

5-POINT PREFERENCE -- You must show proof when you are hired.

10-POINT PREFERENCE -- If you claim 10-point preference, place an "X" in the box below next to the basis for your claim. To receive 10-point preference you must also complete a Standard Form 15, Application for 10-Point Veteran Preference, which is available from any Federal Job Information Center. ATTACH THE COMPLETED SF 15 AND REQUESTED PROOF TO THIS APPLICATION.

<input type="checkbox"/>	Non compensably disabled or Purple Heart recipient
<input type="checkbox"/>	Compensably disabled, less than 30 percent
<input type="checkbox"/>	Spouse, widow(er), or mother of a deceased or disabled veteran
<input type="checkbox"/>	Compensably disabled, 30 percent or more

NOTIFICATION OF PERSONNEL ACTION

1. Name (Last, First, Middle) EWING, PHYLLIS A	2. Social Security Number (b) (6), (b) (7)(C)	3. Date of Birth (b) (6), (b) (7)(C)	4. Effective Date 11-24-96
--	---	--	--------------------------------------

5-A. Code 702	5-B. Nature of Action PROMOTION	6-A. Code 702	6-B. Nature of Action PROMOTION
5-C. Code N7M	5-D. Legal Authority REG 335 102 RECLASS	6-C. Code N7M	6-D. Legal Authority REG 335 102 RECLASS
5-E. Code	5-F. Legal Authority	6-E. Code	6-F. Legal Authority

7. FROM: Position Title and Number MUSEUM CURATOR 1950 -00059	15. TO: Position Title and Number MUSEUM CURATOR 1950 -00072
8. Pay Plan GS 1015	16. Pay Plan GS 1015
9. Occ. Code 1015	17. Occ. Code 1015
10. Grade/Level 11	18. Grade/Level 12
11. Step/Rate 03	19. Step/Rate 01
12. Total Salary \$38854	20. Total Salary/Award \$43658
13. Pay Basis PA	21. Pay Basis PA
12A. Basic Pay \$37313	20A. Basic Pay \$41926
12B. Locality Adj. \$1541	20B. Locality Adj. \$1732
12C. Adj. Basic Pay \$38854	20C. Adj. Basic Pay \$43658
12D. Other Pay \$0	20D. Other Pay \$0

4. Name and Location of Position's Organization NORTHEAST FIELD AREA MARTIN VAN BUREN NATL HIST SIT KINDERHOOK, NEW YORK	22. Name and Location of Position's Organization NORTHEAST FIELD AREA MARTIN VAN BUREN NATL HIST SIT KINDERHOOK, NEW YORK
--	---

EMPLOYEE DATA		24. Tenure		25. Agency Use		26. Veterans Preference for RIF	
3. Veterans Preference 1 1 - None 2 - 5-Point		0 - None 1 - Permanent		F 2 - Conditional 3 - Indefinite		<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
3 - 10-Point/Disability 4 - 10-Point/Compensable		5 - 10-Point/Other 6 - 10-Point/Compensable/30%		SEX		29. Pay Rate Determinant	
7. FEGLI C (b) (6), (b) (7)(C)		9 NOT APPLICABLE		F FULL - TIME		0	
8. Retirement Plan (b) (6), (b) (7)(C)		31. Service Comp. Date (Leave) 04-03-88		F FULL - TIME		33. Part-Time Hours Per Biweekly Pay Period	
1 1 - Competitive Service 2 - Excepted Service		E 35. FLSA Category E - Exempt N - Nonexempt		36. Appropriation Code		1945 37. Bargaining Unit Status	
1 3 - SES General 4 - SES Career Reserved		39. Duty Station (City - County - State or Overseas Location) 36-3030-021 KINDERHOOK COLUMBIA NEW YORK		AGENCY P.A.U.C. / VET-STAT. / EDUC. LVL. / SUPV. IND. / POSITION-SENSITIVITY CLS. 00 / N / 09 / 8 / NON SENSITIVE		Remarks RESULT OF ADDITIONAL DUTIES AND RESPONSIBILITIES. CODE (b) (6) IN BLOCK 30 INDICATES COVERAGE BY (b) (6), (b) (7)(C) OFF MAINTAINED BY INT-NPS-BOSTON	

CK-DIG: A

Employing Department or Agency INT-NAT'L PARK SVS			50. Signature/Authentication and Title of Approving Official A254243NA9EWIQ PERSONNEL OFFICER		
Agency Code IN10	48. Personnel Office ID 4243	49. Approval Date 11-24-96			



U.S. DEPARTMENT OF THE INTERIOR
EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

Form DI-2002
September 1995

Employee's Name: Ewing, Phyllis A. Rating Period: 01/01/96 - 09/30/96
Title/Series/Grade: Museum Curator, GS-1015-11 Bureau/Office: DOI / NPS
Duty Location: Martin Van Buren National Historic Social Security No.: _____

PART I. PERFORMANCE PLAN

CRITICAL RESULTS (*List no more than five*)

RESULTS (Enter:
Achieved or Not Achieved)

A. Management of Resources Management Division Annual Operating Program.

(b) (6), (b) (7)(C)

B. Serves as Park Section 106 Compliance Coordinator as per 1995 Programmatic Agreement.

C. Natural and Cultural Resource Management and Preservation, with special emphasis on Museum Collections Management.

D. Conducts research and assists in preparation of park planning documents, resource studies, exhibits, programs and publications.

E. Completion of Federal Women's Executive Leadership Program

PERFORMANCE INDICATORS: *Circle or underline the applicable critical result letter(s).*

QUALITY

Apply to Critical Result(s):

Knowledge of Field or Profession: Maintains and demonstrates technical competence and/or expertise in areas of assigned responsibility.

(b) (6), (b) (7)(C)

Accuracy and Thoroughness of Work: Plans, organizes, executes work logically. Anticipates and analyzes problems clearly and determines appropriate solutions. Work is correct and complete.

Soundness of Judgment and Decisions: Assesses tasks objectively and researches and documents assignments carefully. Weighs alternative courses of action, considering long- and short-term implications. Makes and executes timely decisions.

Effectiveness of Written Documents: Written work is clear, relevant, concise, well organized, grammatically correct, and appropriate to audience.

Effectiveness of Communications: Presentation meets objectives, is persuasive, tactful, and appropriate to audience. Demonstrates attention, courtesy, and respect for other points of view.

Timeliness in Meeting Deadlines: Completes work in accordance with established deadlines.

Effectiveness of Supervision: Directs and coordinates activities of unit, assuring deadlines are met. Coaches, counsels, develops, and utilizes staff effectively, demonstrating a commitment to the workforce.

Other (specify):

Other (specify):

HOST-SUPERVISOR'S REVIEW OF
FY95 WOMEN'S EXECUTIVE LEADERSHIP PROGRAM PARTICIPANT

PARTICIPANT'S NAME: Ewing, Phyllis

AGENCY: National Park Service CLASS #: 2E

HOST SUPERVISOR'S NAME: Kate Stevenson TELEPHONE #: 202-208-7625
WASO Associate Director - Resources

AGENCY WHERE DEVELOPMENTAL ASSIGNMENT WAS DONE: National Park
Service

Please check one: 30-Day Assignment 60-Day Assignment

Discuss the nature of the developmental assignment.

- To observe and learn management skills from WASO Executives & Managers
- To work with different divisions of the NPS and learn their operations
- To meet WASO staff and learn about their positions in the NPS

What specific duties did the Women's Executive Leadership Program participant accomplish?

- Along with assignments from each division attend meetings with WASO NPS Executives, including the Director, to observe management styles
- Assist staff of different divisions in projects
- Learn aspects of the different divisions with the NPS
- Reviewed and evaluated training programs

Was the Women's Executive Leadership Program participant given any special projects? If so, please discuss.

- Prepared legislative briefing books, observed briefing session and testimony before committee
- Edited articles for CRM and made decisions on articles and placement
- Was briefed on many aspects of the NPS programs and on NPS programs that are outside the parks
- Assisted in preparations for NPS Week.
- Prepared reference book for C & O Canal HABS/HAER material

HOST-SUPERVISOR'S REVIEW OF FY 95

WOMEN'S EXECUTIVE LEADERSHIP PROGRAM PARTICIPANT (continued)

Were the objectives of the development assignment achieved?

YES

- I worked with 10 departments/divisions and in each one observed different management skills/styles as management handled many different situations.
- The division chiefs and their staff gave me extensive briefings on their role in the agency and gave me special projects which would enhance that knowledge.
- I was introduced to the Director, Associate Director, and the heads of many departments.

Did you notice any professional growth in the Women's Executive Leadership Program participant upon completion of the developmental assignment? Please explain.

(b) (6), (b) (7)(C)



Based on your observations, does the Women's Executive Leadership Program participant have the potential for movement into a supervisory/managerial position? Please explain.

(b) (6), (b) (7)(C)



Host-Supervisor's Signature:

Clatherine Newm

Date:

6/17/96

HOST-SUPERVISOR'S REVIEW OF
FY95 WOMEN'S EXECUTIVE LEADERSHIP PROGRAM PARTICIPANT

PARTICIPANT'S NAME: Ewing, Phyllis

AGENCY: National Park Service CLASS #: 2E

HOST SUPERVISOR'S NAME: Robert Dodson TELEPHONE #: 601-446-7673
Superintendent Natchez National Historical Park
AGENCY WHERE DEVELOPMENTAL ASSIGNMENT WAS DONE: National Park
Service

Please check one: 30-Day Assignment 60-Day Assignment

Discuss the nature of the developmental assignment.

I was made aware of Ms. Ewing's participation in the training program and offered the opportunity for her to work a 30 day assignment as acting superintendent of Natchez National Historical Park, while I worked on a special project. This allowed Ms. Ewing full responsibilities to manage the park in my absence. Since this is a developing park with a strong community involvement it is considered by many to be the future trend for managing National Park Service sites. Therefore this opportunity was to afford Ms. Ewing the opportunity to see how the new National Park Service is evolving.

What specific duties did the Women's Executive Leadership Program participant accomplish?

An in depth review of existing community involvement programs in order to examine the way the programs are formalized and what administrative hurdles have to be overcome in order to accomplish mutually beneficial goals.

Reappropriation of funds after several major contracts were awarded.

Suggestions for personnel changes resulting in the potential promotion of an employee.

Was the Women's Executive Leadership Program participant given any special projects? If so, please discuss.


One item came up during her tenure. A resident has a historic document they have been wanting to sell to the NPS. Ms. Ewing identified that this situation required more than a bureaucratic response and in fact the owner was in need of being walked through

the process. Ms. Ewing was given the challenge to procure the document. It appears that it will be purchased provided the amount of purchase does not exceed remaining year end funds.

HOST-SUPERVISOR'S REVIEW OF FY 95
WOMEN'S EXECUTIVE LEADERSHIP PROGRAM PARTICIPANT (continued)


Were the objectives of the development assignment achieved?

(b) (6), (b) (7)(C)




Did you notice any professional growth in the Women's Executive Leadership Program participant upon completion of the developmental assignment? Please explain.

(b) (6), (b) (7)(C)



Based on your observations, does the Women's Executive Leadership Program participant have the potential for movement into a supervisory/managerial position? Please explain.

(b) (6), (b) (7)(C)



Host-Supervisor's Signature:



Date:

7/15/96

(b) (6), (b) (7)(C)

Phyllis Ewing

1991

Ms. Ewing was hired as a temporary GS-5 Museum Technician reporting to the park Curator for assignments in historic house cleaning, climate control of collections in storage and assistance in research and preparation of temporary exhibits. By mid-summer Phyllis was promoted to a permanent GS-7 Museum Technician and by August she was made Acting Curator when the park Curator transferred to a new position. (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

It is for these reasons that Phyllis received a level (b) evaluation and (b) (6), (b) (7)(C) (6),



United States Department of the Interior

NATIONAL PARK SERVICE
P.O. Box 37127
Washington, D.C. 20013-7127

Superintendent	MDH
Ch of Main	
Historian	JAC
Curator	
Adm Off	
Clerk-Typ	
Files	

IN REPLY REFER TO

Ms. Phyllis Ewing
Curator
Martin Van Buren National Historic Site
Post Office Box 545
Kinderhook, New York 12106

Dear Phyllis:

National Park Week is over for another year. It was a long, exhausting, and ultimately rewarding haul -- and much of it could not have happened without your help.

For two weeks you did whatever it took to get the job done. At times the tasks seemed on the verge of overwhelming us both, but with old-fashioned hard work, a fair amount of good humor, and a clear understanding we had no other choice, we got everything done. You were a great partner at a critical time. To support National Park Week activities in the parks, deadlines had to be met. To meet scheduling demands, events had to be planned. Through it all you persevered with professionalism, offering long hours, sage advice, and the occasional admonition to not put tape on the walls of buildings.

Thank you for all of your help.

Sincerely,

Sue Waldron
Chief, Partnership Office
aka National Park Week Queen

cc: Marie Rust, Northeast Field Director
✓ Michael D. Henderson, Superintendent, Martin Van Bur

Called SUE WALDRON
5/16

PEVI 1. Ability to plan and lead other to accomplishments. Ewing

Acting GS-12 Superintendent as a GS-9/11 from Feb. 1994 until Jan. 1995, guided Park and staff of up to 17 through the difficult time immediately following the death of the Superintendent and Chief of Interpretation and severe illness of Admin Tech all within 3 months while maintaining Curatorial Division. Managed 1994 ONPS budget \$739,000+ and add-on funds and planned 1995 budget. With complete decision-making responsibilities arranged promotions, partnered with Elks Club and Historical Society, prioritized work assignments, gave awards, determined historic repairs, contractor selection, etc.

In June given additional responsibility for directing Saratoga NHP Curatorial Division to secure better collections care, and increase Museum Tech, Automation Clerk & Historian productivity.

Used and organized volunteers and staff to conduct major MAVA event, used weekly volunteers at VAFO to allow for continued quality operations and to facilitate the completion of projects.

Prepared reports, calls, contracts etc. to obtain special funding - for example to improve collection conditions, for Hydrology treatment, flora inventory, HABS drawings, HAZMET storage, managing and executing the Historic Furnishing Plan, Cultural Landscape Report, storm damage, plant propagation.

Set tone of Park while Acting Superintendent with communication, leadership, hard work, and high expectations, to stimulate team work and harmony which in turn produced 20% visitation increase over previous year while other area sites visitation decreased.

Have working knowledge of NPS Regulations, directives, legislation procedures, etc. and have a professional understanding of NAGPA. Learned during two month detail how WASO can assist Parks with projects e.g. HABS drawings for MAVA.

Developed relationships which resulted in \$5000.00 individual cash donation and annual small donations from partnered groups. Working with all MAVA/SARA Divisions manage, including budgets, cultural collections. At MAVA manage Cultural Landscape & natural resources plus a 70 acre area we have been given responsibility for by our Friends group. Also, directing library reorganization including selection of organizational system and software.

Received April 1996 NEFA Curator of the Year award. Continuing as Division Chief managed division while completing the 1 year government "WEL Program" (Executive Leadership Program) with a 30 & 60 day detail, & 3 wk "Seminar for Historical Administration".
✓ Using knowledge of Environmental Impact Statement requirements when speaking at zoning and planning board meetings stopped new strip mall on land immediately adjacent to Site.

PEVI 2. Interact and communicate at all levels.

Ewing

Acting GS-12 Superintendent as a GS-9/11 from Feb '94 to Jan '95, the time immediately following the death of the Superintendent and Chief of Interpretation and severe illness of Admin Tech all within 3 months. Had total responsibility for and completed all the internal and external oral and written communication and documentation required of the Superintendent and Curator.

As VAFO EO councilor listened to complainants and the remarks of the accused. Discuss resolutions with both. In one reoccurring situation suggested Superintendent intercede, he did and the problem was resolved. None of my EO complaints went formal. Continue open door policy, listen, & guide if possible.

Stopped strip mall on adjacent property by speaking at planning and zoning board meetings. Listened/learned in WASO about NPS programs and legislation. With COTR experience assure quality results. Established relationship with Smithsonian to acquire Van Buren Desk after 10 years and 2 curators were unsuccessful. Communicate regularly with donors/lenders which has just resulted in a \$5000. donation. Follow all donations with appropriate appreciation. Assist "Friends" by writing newsletter articles, and informing them of Site matters at board and annual meetings.

Escorted U.S. Senator Daniel Patrick Moynihan about the Site to enlighten him of our existence and assisted by Congressman Faso had Hospital Charity Ball on grounds giving Site needed local visibility. Assisting researchers has given Park and me many book acknowledgements. Assist staff with 171's.

To assist Site's smooth operation communicate daily with staff of all divisions/grade levels and volunteers. Assign work tasks and give instructions to both MAVAs and SARA museum staff.

Using the computer and/or hard copy prepare 10-238, RMP, CR-MAP, NR-MAP, etc. which have resulted in special funding. Wrote SOP's, SOC's, press releases, exhibit text and other operational tools. Complete management documents - inventories, reports, contracts, surveys, PD's, etc. for NPS regulation compliance & operations. Many suggestions written and discussed as a member of the COLO Collection Management Team were acted on immediately as well as recommendations made after reviewing the draft Museum Handbook.

As Chair of Upper New York Cultural Sub-Cluster focus meetings on exchange of knowledge/procedures and large project assistance.

Speak at all types of gatherings - conduct meetings, give formal and informal presentations and gift acceptance remarks for donors lenders and partners, interpret for VIP's Elderhostals, children, public, taught simple Archeology Cataloging to a curatorial class

PEVI 3 Creativity to management and partnerships.

Ewing

Brought together and organized "Friends" group volunteers and Boy Scouts to assist staff with a major MAVVA event I proposed. Used weekly VAFO volunteers to facilitate regular needed collections care. Had 6 year old VAFO archeology project completed by locating and teaching a volunteer the process.

Developed/continuously reinforce relationship with philanthropist who owns the Van Buren table and gave Site \$5000. cash donation. Reinforce relationships with all partners continuously with appropriate acknowledgements -special events, letters, words of gratitude, etc. Receiving Associated Press coverage, initiated, designed and executed "The Valley Forge Washington Letter" exhibit which honored the valued \$600,000 collection donor.

Recruited A & E cable channel to do Van Buren's home on their "America's Castles" program and C-SPAN to do Van Buren Site program. Worked with Victoria Magazine and a horticulturist on an article about MAVVA which resulted in a Victorian Home article. Began participation in NY Tourist Bureau - given large Site photo in local "I Love NY" brochure. Now involved in local event days.

Used partnership I established with local Elks Lodge to develop an annual Flag Day event. Now they also participate in the President's birthday celebration and give Site needed items.

While Upper NY Sub-cluster Curatorial Chair, knowing staffing problems initiated and organized partnering project to have parks assist each other to complete their collection inventories.

Leaving enough creativity room to allow our local garden club partner to become a prize winning NY State Garden Club, developed historically accurate guidelines for decorating our mansion. The relationship has advanced to an annual cash donation from them.

Solved the cost problem of an important historic object we wanted to display by negotiating to share its conservation cost with a museum wishing to borrow it on a short term loan.

Partnered with local historical society to share time/salary of needed employee. Arrange for loans of objects we cannot afford.

Taking advantage of unused Superintendent and Chief of Interp. salary arranged for reproduction of Van Buren table, the most important known piece of Van Buren furniture, as a memorial.

Encourage staff to give presentations to local groups which is expanding needed awareness of our Site in the community.

Proposed and executed Phila Flower Show entry promoting the "Valley Forge Centennial" event to almost 1 million people.

PEVI 4. Ability to work with others/EO programs. Ewing

Acting GS-12 Superintendent while a GS-9/11 from 2/94-1/95 guided 17 staff members through the difficult time immediately following the deaths of the Superintendent and Chief of Interpretation and severe illness of Administration Officer all within 3 months.

✓ As VAFO EO Councilor for 3 years successfully resolved all complaints, none went formal including one from another Park.

Upon learning of very active VAFO volunteers considering resigning because of conflict with new personnel member found other areas that they enjoyed for them to work in.

Encourage, teach and allow staff to expand their skills and learn to make decisions through education, opportunity, and training. Reward quality work with appropriate awards and promotions and encourage staff members who need to be more productive.

Noting undergrade staff members, had personnelist visit Site to evaluate grades/PD's - result 4 staff members out of 12 promoted. Promote respect between the divisions by appreciating the skills of all staff members and working with all staff members.

Care for staff health/safety - arranged for first time lead blood tests, installed maintenance shop fans, acquired proper equipment

Open door policy established when Acting Superintendent has continued allowing suggestions/problems to be heard more easily. Relieved staff NPS restructuring concerns with park get-togethers after Superintendent meetings, preventing fear of the unknown.

Worked with and conduct business with people of many cultures and handicaps. Acknowledge and respect the differences of all.

Established Elks Lodge relationship and continue Garden Club's resulting in assistance to the Site with time, gifts, and cash. Acknowledge and strengthen donor relationships in individual and appropriate ways: prepared and executed a special afternoon with refreshments, talk and tour of historic building the local VAFO group paid to furnish and for out-of-town donors gave a special area day tour. Reward "Friends" by assisting with their annual trips, writing newsletter articles & giving special events; the historical society with special docents programs, and tours to the State Garden Club committee for our club.

Promote Site by hosting visit of U.S. Senator Daniel Patrick Moynihan. With the assistance of State Congressman Faso brought hospital charity event and many first time visitors to the Site. Established relationship with Smithsonian staff allowing loan of Van Buren desk which 2 previous curators in 10 years couldn't.

PEVI 5. Knowledge NPS principles, mission and operations. Ewing

Initiated/carried to completion low-cost, high visitation, in-house special exhibits, e.g. "The Valley Forge Washington Letter" with AP coverage and events e.g. 1000 candle Illuminarea.

Promoted MAVA with no cost, recruited C-SPAN for program, A & E for "America's Castles", Victoria Magazine and Victorian Home for articles. Started in Tourism Bureau, Site photo in brochure.

Work under resource priorities: protect, repair, restore before rehabilitate and reconstruct.

Working in the lines of clustering, perform Curatorial duties at Saratoga NHP while continuing MAVA Resources Management: Curatorial, Cultural Landscape and natural resources on 70 acre natural area.

Chairing Upper NY Subcluster Curatorial; organized cluster curatorial staffs to assist each park with collection inventory.

Worked in WASO Partnership Office, and in formal MAVA partnership. Witnessed NPS Partner with SEFA staff and state SHPO, experienced unique formal partnership at NATC while Acting Superintendent. Used informal partnerships to complete VAFO Furnishing Plan, assist special events etc.

Used funding request for services of Ft. Collins to remedy bad water situation at the Site. Use the conservation centers at Harpers Ferry and Boston to restore important historic objects. Working with Harpers Ferry Center developed Collections Management for COLO.

Learned to use NPS outreach resources programs, HABS/HAER; e.g. MAVA's drawings now to be completed, Historic Architects, History Rivers/Trails, National Register etc. during WASO detail.

Evaluating staff under new 1996 Employee Performance Plan. Reviewed proposed NPS 106 course for WASO History Office, Orientation I, II, & Fundamental of NPS for Albright, and Museum Handbook sections for WASO.

As a GS-9/11 acted as GS-12 Superintendent for app. 1 year with complete decision-making responsibilities. Prepared requests, received, used, tracked 1994 ONPS, Cyclic, Storm, Fee, CRPP, MCPP 10-238, RMP, Olmsted Center, planned 1995 budget. 106 Rep., COTR Attended working 1 yr. funding meeting and demo "Intermountain Prioritization Software"

To manage Site used, for example, 106, GMP, SFM, RMP, NPS 28 Resource Management, NPS 6 Interpretation, NPS 19 Records, NPS 9, NPS Guidelines, Special Directives, Special Use Permits, Uniform Regs, Furnishing Plan/Cultural Landscape Report. Prepared a Congressional response and learned legislative's impact on Parks.

Standard Form 171-A— Continuation Sheet for SF 71 (Back)

• Attach all SF 171-A's to your application at the top of page 3.

1. Name (Last, First, Middle Initial) Ewing, Phyllis A.		2. Social Security Number (b) (6), (b) (7)(C)
3. Job Title or Announcement Number You Are Applying For MWRO-96-38		4. Date Completed April 10, 1997

ADDITIONAL WORK EXPERIENCE BLOCKS

A	Name and address of employer's organization (include ZIP Code, if known)	Dates employed (give month, day and year)	Average number of hours per week	Number of employees you supervised
	Martin Van Buren National Historic Site P. O. Box 545 Kinderhook, NY 12106 Saratoga National Historical Park	From: Nov. 96 To: Present	40	3
	Your immediate supervisor Name Michael Henderson	Exact title of your job Curator	Salary or earnings Starting \$44,900 per year Ending \$ per	Your reason for leaving Desired Promotion
	Area Code Telephone No. 518-758-9689	If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion 1016 GS-12 Nov. 96		

Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.

Instrumental in received \$5000.00 cash donation from the owner of the Van Buren table.

Curator at Saratoga National Historic Site while continuing position of Curator and Cultural Landscape Management at MAVA.

Continue to work with county historical society on projects year.

✓ Handle Friends Meeting when Superintendent away.

Maintain and work within curatorial budget including major projects and hiring new staff members. Reviewed bids and let contract for reproduction historical carpet.

Determine and prioritize preservation projects for MAVA maintenance staff. Give procedure guidance on preservation projects.

✓ Working with the interpretation division and within the theme of the local community promotional idea, planning a special exhibit for Saratoga's celebration of the 70th anniversary of it being a park and 220th anniversary of the battle. Planning exhibit for MAVA to celebrate the 200th year of the construction of the Site mansion.

Sub-cluster 106 Coordinator, also prepare 106's for MAVA.

Completed the CR-MAP Report.

Appointed GRPA Coordinator for the Site and will attend training the first week in February, 1997.

Standard Form 171-A—Continuation Sheet for SF 171 (Back)

• Attach all SF 171-A's to your application at the top of page 3.

1. Name (Last, First, Middle Initial) Ewing, Phyllis A.	2. Social Security Number (b) (6), (b) (7) (C)
3. Job Title or Announcement Number You Are Applying For MWRO-96-38	4. Date Completed April 10, 1997

ADDITIONAL WORK EXPERIENCE BLOCKS

B	Name and address of employer's organization (include ZIP Code, if known) Martin Van Buren National Historic Site P. O. Box 545 Kinderhook, NY 12106	Dates employed (give month, day and year) From: Jan. 1995 To: Nov. 96	Average number of hours per week 40	Number of employees you supervised 2
		Salary or earnings Starting \$ per Ending \$38,853 per year	Your reason for leaving Superintendent appointed	
Your immediate supervisor Name Michael Henderson Area Code Telephone No. 518-758-9689		Exact title of your job Curator		If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion 1016 GS-11 Aug. 94

Description of work. Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.

Make Curator at Saratoga National Historical Park also.

Completed three week course "Seminar for Historical Administration" in Williamsburg after Attending the NEFA Superintendent's Conference.

Completed the one year WEL Program (Executive Leadership Program) including a 60 day detail in WASO including the Legislative, Partnership, and several offices of the Cultural Resources Division; and a 30 day detail as Acting Superintendent. Attended five weeks of classroom management training, read management books, and as a team of 8 developed and presentation a three hour program.

Convinced Arts and Entertainment Channel and Cinetel Productions that "Lindenwald", Martin Van Buren National Historic Site, should be a part of their America's Castles series. Worked with them during shooting to ensure visitor services still continued and the collection was protected. Show to air probably in January, 1997.

Acting Superintendent at Natchez National Historical Park for 30 days. Worked with owners of William Johnson papers regarding the possibility of Park acquiring them, assisted Denny Galvin in getting Intermodal documents from architects for legislative hearing. During this time informed the Superintendent how to get a resources staff person the promotion he had wanted her to have and, as asked by Superintendent, reviewed some other personnel issues. Continued business as normal.

Evaluated employees using new Employee Performance Plan.

Began the process of enacting the Cultural Landscape Report by having Historic Landscape Preservation Maintenance Plan prepared, historic trees propagation started, the Preliminary Environmental Impact Evaluation completed, and the Turf Management Study funded.

Addressing Cultural Landscape issues with environmentally safe practices - eliminating the use of weed whackers, weed control by mowing in varied directions and more often at problematic seasons, treating infested trees with IPM program ideas, having flora inventoried for endangered species and monitoring historic pond water quality.

Completed a 60 day detail in the Washington Office under the Associate Director of Cultural Resources and Partnerships. Spent three weeks working in the Partnership Office, one week in Legislation and the balance of the time in the different Cultural Resource Offices, Landscape, Architecture, HABS/HAER, Rivers and Trails etc.

✓ Convinced Smithsonian Institution to loan us the Martin Van Buren desk after two curators during 10 years had been unsuccessful.

Offered by the NPS Historian and accepted a full grant to the Seminar in Historic Administration in Williamsburg, VA during November, 1996.

Continually followed up all Site Curatorial/Maintenance projects due to large amount of time off-site as the result of the WEL Program.

Wrote two contracts: Sole Source wallpaper installation, and design, production/installation of historic reproduction carpet.

Attended the "One Year Funding Committee" meetings.

Interviewed NEFA Director, Superintendents and SSO staff GS-14 and above for Women's Executive Leadership Program.

Worked with Olmsted Center regarding the proper procedure for saving a historic tree of which a large section went down in a storm. Also, worked with them regarding an interpretive text to install at the site of a historic specimen tree propagation.

With no expenditure of funds furnishing the Irish cook's bedroom so it can be opened to the public.

Working with NEFA Curator, developing and enacting a special project to maintain important collection items more professionally and acquiring needed objects to better interpret "Lindenwald".

Researched and then had furnishings rearranged in mansion to allow the opening for the first time to visitors the only bedroom in the 1850's section of "Lindenwald".

Worked closely with maintenance on the restoration of the historic structure at the Site. Assuring documentation were completed, coordinated the outside contractors and staff, selected items to be installed, and completed by the deadline date.

Began the process to have new draperies made based on new information for an important room in the house and having the old ones reworked for another room.

Working with Harpers Ferry Center researching floor cloth samples found in structure with the idea of their being reproduced and installed in the mansion at a later date.

Standard Form 171-A—Continuation Sheet for SF 71 (Back)

• Attach all SF 171-A's to your application at the top of page 3.

1. Name (Last, First, Middle Initial) Ewing, Phyllis A.		2. Social Security Number (b) (6), (b) (7)(C)
3. Job Title or Announcement Number You Are Applying For MWRO-96-38		4. Date Completed April 10, 1997

ADDITIONAL WORK EXPERIENCE BLOCKS

<input checked="" type="checkbox"/> Name and address of employer's organization (include ZIP Code, if known) Martin Van Buren National Historic Site P.O. Box 545 Kinderhook, NY 12106	Dates employed (give month, day and year) From: Feb. 94 To: Jan 95	Average number of hours per week 40	Number of employees you supervised 17
	Salary or earnings Starting \$ _____ per _____ Ending \$ 34,664 per year	Your reason for leaving Appointed Acting Superintendent	
Your immediate supervisor Name: Marie Rust Area Code: _____ Telephone No: _____	Exact title of your job Acting Superintendent		If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion 1016 GS-9/11 Aug, 1994

Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised more than one type of work (for example, carpentry and painting, or personnel and budget). Write the approximate percentage of time you spent doing each. If you describe

Management

Acting Superintendent from March 1994 to January 1995 for a staff of 17 with a budget of \$739,000+. Handled daily operations, budget, prepared NARO and WASO information and funding requests, wrote job announcement for Chief of Interpretation, put mandatory lead paint regulations into practice arranged for personnel upgrades, encouraged and received an adjustment in attitude from the betterment of the division to the betterment of the Site, encouraged staff to improve work skills, developed goals, etc.

In anticipation of Streamlining resulting in more work at the park level began preparing staff mentally and with improved equipment

- Replaced aging computers that were in constant use positions and those requiring speed for reasons of efficiency and future problem prevention.
- Moved older computers to positions which would benefit from them.
- Encouraging Administration Technician to delegate tasks to other staff members and encouraging appropriate staff members to accept the challenge.
- Upgraded security of personnel files and reviewed personnel files to verify they meet NPS guidelines and standards.

Promoted the idea of teamwork for betterment of Site with initial positive results.

✓ Completed 8 hour NPS Orientation to Personnel Management for New Supervisors Course.

✓ Completed 40 hour NPS Planning Beyond Park Boundaries Course.

Actively participated in numerous Planning and Zoning Board meetings regarding the construction of a retail building on adjacent property. Wrote letter, had Associate Director of

Planning and the Regional Solicitor review it and then presented it to appropriate boards. Successfully stop it.

Communicated with the National Park Trust organization regarding the purchasing of adjacent land/easements.

Used knowledgeable Friends of Lindenwald to assist with the stoppage of adjacent land commercialization.

Wrote Resource Management Plan therefore having documentation of Site needs prepared in advance.

Arranged for David Upshold, Cultural Landscape Report researcher, to speak at the Friends of Lindenwald giving them the information to understand and support changes that will occur at the Site.

Maintain quality relationships with people who assist the Site in any way; Friends, donors, lenders, local organizations, journalists, 1850 period experts, etc.

Had necessary locks changed to secure more collection areas from staff who did not need entry into these locations.

Upon seeing excellent mounted photographs taken by a visitor at a 1993 MAVVA special event, inquired if we could use them in our 1994 County Fair exhibit. This cut event cost and staff time as well as made another good friend for the Site.

Knowing the Robert Rubin's, owners of the Van Buren table which is the most important piece of Van Buren belongings are philanthropic, had the table reproduced. Excellent interpretation tool now and with an eye to the future it could help us to acquire the original because we have one to replace it.

Operations

Site attendance up 20% while other historic sites in the area are down from last year. All special events were well received.

Worked to attract more visitors to the Site.

- Suggested, organized and implemented a 1000 candle illuminaria along the front and drive of Lindenwald to celebrate the President's birthday. This developed into the Site's largest visitation day ever.
- Arranged for article in VICTORIA Magazine, Spring 1994.
- Arranged for C-SPAN Bus to tape at Site - Segment shown 9/16/94.
- Wrote letters to editors and authors who published and wrote articles about the area and do not mention MAVVA.
- Contact was made with more than 1500 visitors at MAVVA's exhibit at the Columbia County Fair.
- Involved myself in the local tourism bureau.
- Had Site participate for the first time in Columbia County Days which encouraged local people to visit Lindenwald.
- In partnership with local Elks Site had 7000 pieces of literature distributed in surrounding area promoting Lindenwald and a D.A.R.E. benefitting event. Even with rain our house visitation

tripled a regular summer Sunday and all proceeds, more than \$2500 was given to Program.

To accommodate visitor requests for more items, expanded book sales area in the Visitors Center and sales increased 16%.

Implemented for the first time the safety rules and regulations for lead-base paint removal. Purchased proper equipment and required a baseline blood test for appropriate staff.

1994 NPS North Atlantic Region Passport Stamp was Lindenwald.

✓ Attended Zoning Board meetings in connection with Wengler property/garage near Site. Worked with NAR director, Associate Director of Planning and Regional Solicitor regarding matter.

Requested handicap accessibility for house to meet federal law.

Developed much good will with the very large and active Kinderhook Elks Lodge. In 1994 the relationship allowed each fourth grader who attended the President's Birthday ceremony a U.S. flag. In 1995 the Site will benefit from this relationship with the donation to us of a 6' x 9' 26 star flag, the flag during Van Buren's Presidency.

Worked with Mr. Sturm from the Buildings Preservation Branch before front porch restoration began. This resulted in work starting in early spring, continuing until completion and low visitor impact.

Planned the Sites first special exhibit. Worked with the maintenance division to design and build the exhibit case, arranged the Angelica Singleton Van Buren's jewelry for display.

Arranged for NY State Safe Driving Course to be given to all staff members September 28, 1994.

Encouraged living history interpretation at the Site, and arranged for staff to have "proper" period clothing. This added a new dimension for the regular visitors and the staff. It was well received by all.

RESOURCE MANAGEMENT

Completed 40 hour NPS Cultural Landscape Preservation: Policies and Issues Course.

Implemented landscape preservation techniques:

- General Landscape - leaving grass at three inches in length instead of one inch, having grass cross cut, mowing when needed rather than on a schedule, and using care to protect trees and plants when using equipment around them.
- Cultural Landscape - when historic tree blew down began the propagation process so replacement trees can come from the historic tree.

Wrote Resource Management Plan.

Reviewed draft of Site Cultural Landscape Report.

Using special funding prepared contract for removal of old UV filters and the installation of new filters throughout the house. Insured 106 Compliance was being followed.

Lessen future possibility of winter '94 mansion interior damage due to ice backup, installed electrical tape in gutters and downspouts.

Reviewed with Regional Invertebrate Specialist at Site any possible Site problems to either the Cultural Resource and Landscape.

Arranged for proper disposal of known classified Hazardous Materials from the Site.

Informed Regional Director regarding the visit of Senator Moynihan and worked with Mr. Savage during the Senator's visit.

Selected only objects in stable condition to go out on loan. Worked with Presidential Library to share cost of conservation they wanted to borrow.

Communication

- ✓ Maintain regular communications and positive relationship for Site with local Elks, Garden Club, Historical Society, donors, lenders, journalist, historic experts, possible donors, etc. i.e. Maintain communications with Mr. and Mrs. Robert M. Rubin, the owners of the Van Buren dining room table. Have been invited to their New York City home to have dinner with them at the MVB table.

Kept positive workable relationships between staff members during period of great turmoil due to conflict of interest between a staff member and adjacent property concerns.

Because visibility is so important to this Site arranged for all object loan requests from Presidential Libraries to be completed. as it is important that this Site be represented and visible as much as possible.

Requested C-SPAN School Bus to visit the Site and tape a documentary about Lindenwald and the President. The segment was shown September 16, 1994.

Arranged for Victoria Magazine to come to the Site and do an article on Lindenwald. Article appeared April, 1995. Working with author for article in Victorian Home.

Wrote letters to the editors of House Beautiful and United Airlines Hemisphere inviting them to our Site in reaction to articles about

homes in the Hudson Valley that did not include Lindenwald.

Worked with the Kinderhook Garden Club so decorations placed in the mansion to celebrate the President's birthday would reflect mid-nineteenth century not the Victorian Era. Strengthen relationship by letting them know of the Site appreciation on behalf of all visitors for their expedite and efforts in decorating the President's grave. After the 1994 annual decorating of the house in celebration of the President's birthday, The Kinderhook Garden Club made a donation to our "Friends" group for the first time ever.

✓ Friends of Lindenwald relationship

- worked closely with three Board members who had previously been on Planning and Zoning Boards resulting in the stoppage of the farm/gift shop development on the adjacent property.
- brainstormed with the Board possible ideas to raise additional funds for use of the Site.
- assisted them in planning trips which may encourage new membership.
- kept Board members informed of matters effecting the Site.
- wrote articles for the Newsletter of historic and Site interest.

Involved with many NARO divisions: Planning, Personnel, Resource Management, Museum Services CRC, BPB etc. during Site operations.

At the request to the NARO Communication Office, spoke at Historic Track NHL and presented a trophy. Spoke at the Harass Racing Hall of Fame Awards Ceremony that evening.

Attended Thomas Cole House, Greenway, and Tourism meetings.

Human Resource

Became aware of employees that were doing work way beyond their position descriptions. Arranged for reclassification of positions which resulted in the upgrading of four positions and laid the groundwork for staff members to learn new skills needed at the Site as well as allowing them to further advance.

Encouraging the continuation of a capable young maintenance worker to work with our excellent maintenance mechanic in historic restoration and to stay in the National Park Service.

Encouraged all employees to apply for training that will enhance the quality of there work and therefore their careers.

Worked directly with one staff member during a period of diagnosed depression.

Began process to improve an employee's efficiency and effectiveness. Continue to encouraging great strides to continue.

Established principle that federally mandated lead paint safety requirements be met. The maintenance staff, who work with lead base residue daily had their first blood test September 14, 1994.

Acquired the mandatory safety equipment for staff working with lead base paint at the Site.

When unsatisfactory seasonal employee was released and then went to unemployment disputed him getting any compensation and won case.

Continue to speak about, encourage the participation in and show by example the benefits of teamwork among supervisors, staff and divisions. With decreasing FTE's this is very important. Curatorial has assisted interpretation at the VC desk during lunch time if someone is out sick, interpretation helps maintenance set up/take down tents and chairs for special events, and immediately after a storm and before a special event all staff members helped pick-up debris.

Budget

Developed budget for Site, worked with division heads to assure that it was spent for the betterment of the Site thereby being able to purchased major items that would not have been possible if funds were all kept separate.

With the use of Special Funding had the old UV filters removed from the mansion and new filters installed.

Requested and received additional funding resulting from storm damage.

Arranged to have half of the cost of an object to be conserved with a borrowing institution. The conservator and work was determined by us.

When historic tree blew down had tree truck cut into lumber. This was cheaper then purchasing an equal amount of plank.

Held No-Year Funds from 1994 budget therefore allowing for the mansion to be painted in 1995.

Acquired objects through clearinghouse and arranged for gifts thereby adding to the furnishing of the structure without expending funds needed for operations.

Standard Form 171-A—Continuation Sheet for SF 71 (Back)

• Attach all SF 171-A's to your application at the top of page 3.

1. Name (Last, First, Middle Initial) Ewing, Phyllis A.	2. Social Security Number (b) (6), (b) (7)(C)
3. Job Title or Announcement Number You Are Applying For MWRO-96-38	4. Date Completed April 10, 1997

ADDITIONAL WORK EXPERIENCE BLOCKS

D Name and address of employer's organization (include ZIP Code, if known) Martin Van Buren National Historic Site P. O. Box 545 Kinderhook, NY 12106	Dates employed (give month, day and year) From June 93 to Feb. 94		Average number of hours per week 40	Number of employees you supervised 2
	Salary or earnings Starting \$ per Ending \$ 28,648 per year		Your reason for leaving Desire Promotion	
	Your immediate supervisor Name Bruce Stewart Area Code Telephone No DECEASED		Exact title of your job Curator	

Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.

Supervised and directed Museum Technician and Museum Aid.

Wrote Resource Management Plan.

Prepared and had classified Museum Technician position description.

Acquired objects for collection through purchase, gifts and NPS Clearinghouse procedure. Work with donors and estate donor executor.

Handled Curatorial Division budget, and developed department goals and managed them to completion.

Split object restoration cost with presidential Library so they could put the desired object on exhibit. We then were able to exhibit it as well.

Updating ANCS to make it a more effective tool and meet NPS guidelines.

Manage Site library which includes books, microfilm, vertical files and a special (rare) Book Collection. Select and purchase books and schedule researchers and research requests.

Oversee archives including maps, newspapers, letters, engravings, drawings, public notices, political cartoons, photographs and other original manuscripts. Arrange for proper housing of framed and loose paper items.

Wrote Curatorial Cyclic Maintenance Project request for UV filters. Received special funding, wrote contract and received quality contractor for removal of existing and installation of new UV filters - assured 106 compliance.

Worked with Regional staff to upgrade and add to Site LCS.

Directed reclamation of wet books after storm damage to library.

Evaluated all types of items and materials to determine conservation needs. Arranged for object conservation treatments.

Practice structure preservation by monitoring the interior and exterior of structure and grounds around it, as well as IPM and Environment control in the interior.

Preserve wood, metal, paper, leather, textile objects and paintings with proper housing and regular monitoring of the objects themselves, Integrated Pest Management, environment and light control.

Attended two day symposium on Care and Storage of Photographs and a two day Historic Housekeeping program. Participated in two day course in Rehousing Museum Objects. Attended one week course Historic Landscape.

Arranged for extension of loan of original Van Buren dining tables through the President's Birthday, the Site's most important event. Contracted for the reproduction of two Van Buren dining room tables.

Engaged and worked with Building Preservation Branch to assure the restoration of the front porch of Lindenwald was done to impact visitors as little as possible.

Work with Interpretation Division regarding special events held in the mansion. Work with maintenance division regarding special exhibits and mansion preservation problems.

Standard Form 171-A- Continuation Sheet for SF 171 (Back)

• Attach all SF 171-A's to your application at the top of page 3.

1. Name (Last, First, Middle Initial) Ewing, Phyllis A.		2. Social Security Number (b) (6), (b) (7)(C)
3. Job Title or Announcement Number You Are Applying For MWRO-96-38		4. Date Completed April 10, 1997

ADDITIONAL WORK EXPERIENCE BLOCKS

E Name and address of employer's organization (include ZIP Code, if known) Valley Forge National Historic Park P. O. Box Valley Forge, PA 19481	Dates employed (give month, day and year) From: May, 92 To: June, 93	Average number of hours per week 40	Number of employees you supervised 2 volunteers
	Salary or earnings Starting \$ per Ending \$28,648 per year	Your reason for leaving Curator position filled	
Your immediate supervisor Name Dona McDermott	Area Code Telephone No 610-783-1034	Exact title of your job Museum Technician	
		If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion 1016 GS-7 Oct. 91	

Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.

Completed Winterthur Winter Institute course on American Decorative Arts.

Prepared 15 page American Association of Museum "Standard Facility Report" used by major institutions when borrowing objects for temporary exhibits.

Determining the need for and worked with Exhibit Specialist to determine repair/replacement of door locks on historic structures. Researched where to get the repairs/replacements and followed through to see that the project was completed and done correctly.

Initiated the removal of lead base paint, repair to wall surfaces and painting the public area of Washington's Headquarters. Followed up on the completion of the XXX's, taught the maintenance personnel the curatorial concerns of his actions and his role in lessening the effects and over saw the work to completion. Wrote the completed work report for the work Historic Structure Maintenance Record File including the mapping of serious cracks in walls.

Participated in Curatorial Division park's Operations Evaluation.

Completed the national Archives and Records Administration Modern Archives Institute course. Using volunteers to assist

begun the process of sorting and arranging the parks blueprints, historic drawings, maps, and photographs.

arranged for copies of the most used historical documents to be put in park library, therefore making them more accessible to researchers.

Accessioning and Cataloging the 5000 pages of documentation associated with the just completed two archaeology projects.

Brainstorm at different times with Park Centennial Coordinator ideas for or solution to problems concerning the event. Completed obligation and satisfied concerns of Valley Forge Friends who come each year to double-check the inventory and condition of the

Neumann Collection. Checked the presence and condition of objects on loan from Valley Forge National Historical Park collection on loan to other parks.

Prepared and submitted annual Collection Management Report.

Prepared paper work, conducted Controlled property and Random Sample Inventory for this year with the use of employees and volunteers for witnesses.

Completed the section of the law Enforcement Firearms Report which related to the collection.

Assist material cultural and archival researchers.

Member of Arrangements Committee for the National Council on Public History Conference at Valley Forge, April 1993 and assisted in registration and session AV management.

Asked by author and agreed to select illustrations for scholarly book Valley Forge: Pinnacle of Courage.

Assisted editor by researching files, recommending and selecting photographs for the Valley Forge Centennial Picture Album.

After giving a well-known local artist a VIP tour of the collection, he informed the park he was going to do a historical painting of the encampment and donate one hundred signed artist proofs to the park to sell with all profits to belong to the park.

Continue as park EO Counselor.

Standard Form 171-A- Continuation Sheet for SF 171 (Back)

• Attach all SF 171-A's to your application at the top of page 3.

1. Name (Last, First, Middle Initial) Ewing, Phyllis A.	2. Social Security Number (b) (6), (b) (7)(C)
3. Job Title or Announcement Number You Are Applying For MWRO-96-38	4. Date Completed April 10, 1997

ADDITIONAL WORK EXPERIENCE BLOCKS

F Name and address of employer's organization (include ZIP Code, if known) Valeey Forge National Historic Park P. O. Box Valley Forge, PA 19481	Dates employed (give month, day and year) From: Aug. 91 To: May, 92	Average number of hours per week 40	Number of employees you supervised 2 volunteers
	Salary or earnings Starting \$ per Ending \$21,023 per year	Your reason for leaving Acting Curator position Available	
Your immediate supervisor Name Robert Dodson Area Code Telephone No. Superintendent NATC 601-442-7047	Exact title of your job Acting Curator	If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion 1015 GS-7 Oct., 91	

Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.

Prepared and presented "Back Cataloging - Working with Regional Archaeologists" to the NPS Cultural Resources Management Course.

Worked with Harpers Ferry Center in the process to complete the Historic Furnishing Plans for Washington's Headquarters and Varnum's Quarters.

Arranged for most knowledgeable personnel to read the history portion of the furnishing plan in their field of expertise.

Researched where to purchase some of the items needed to complete the furnishing plan.

Researched chair already in Washington's Headquarters so that it could remain in the house even though it was not listed as part of the new furnishing plan based on the idea that it had been in the house basically since the house has been open to the public and which tradition says was in the house when Washington was here.

Accessioned, cataloged and installed new items as they were received.

Suggested, planned and gave a reception for the volunteer group that paid for the furnishings to complete the Varnum's Quarters Furnishing Plan. Prepared and presented talk on General Varnum and the house to group.

Researched, planned, and executed two special exhibits for the Visitors Center. "The Valley Forge Washington Letter" and "Sword from the Neuman Collection."

Because of the importance and delicateness of the Washington Letter, researched display case design and construction with Harpers Ferry Center, private contracts, as well as available written material.

Worked with park's Wood Crafter to build the case in-house that would meet all the necessary requirements for

the letter to be protected and yet enjoyable to the visitors i.e. wood types, wood out gassing control, natural fabric, angle of display shelf, light levels when Letter was available to be viewed and when Visitor Center was closed and angle of case top to avoid glare.

Solved problem as to when to do with wall behind the Letter Exhibit so it would not only NOT detach from the letter but would enhance the exhibit with the use of a group of banners. Worked with park personnel to purchase fabric, sew banners, have Washington's signature painted on it and have it installed.

Arranged to have made a night time cover made for the exhibit case to protect the letter from light when the letter was not on view and to give extra protection from dust when the building was being cleaned.

Give interview to Associated Press reporter regarding the importance of the letter and how special it was to have it on exhibit. As a result articles regarding the exhibit and letter were in papers across the country i.e. California, Iowa, Oklahoma and Pennsylvania.

Contracted professional archival photographer to photograph the letter. Mounted and included in the exhibit so every page could be seen by the visitor. Also this allows for future researcher to basically see and use the original letter without having to handle the letter.

Selected important remarks from letter. Employed professional typesetters to print them and make title board.

Suggested having and participated in the presentation/introduction ceremony for the Washington Letter exhibit.

Valley Forge has a collection of approximately 350 swords of the American Revolution period of which basically none has been on display. Using the extra case in the park and working with park staff to repair two broken cases and making adjustments to two unusual shaped cases 40 swords have been put on display. Cases were painted and new fabric put in them as well. I designed logo for exhibit title, selected swords and prepared them for exhibit, using the Kroy machine and computer generated labels, and put exhibit in place.

Observed beginning of an active rust problem on an important 18th century military object, located conservator, and arranged to have treatment completed.

Completed Controlled Property and Random Sample Inventory, Collection Management Report, Intern Standards and Museum Property Survey, Museum Equipment Needs for Preservation, Protection and Documentation of Museum Property, and Request for Special Fire and Security Funding.

Completed Managing NPS Museum Collections Using ANCS and dBase III.

Completed research to answer a Congressional Request, visitor and researchers regarding the encampment and material culture. Researcher for solutions to problems which occur as the result of curatorial projects.

Prepared RFP, RFQ, rated criteria, reviewed and selected contractors for fire and security surveys for two historic structures and the visitor center.

Initiated and, with the assistance of interpreters, developed and presented special programs using the collection.

EO Counseling as Collateral duty.

Standard Form 171-A- Continuation Sheet for SF 171 (Back)

• Attach all SF 171-A's to your application at the top of page 3.

1. Name (Last, First, Middle Initial) Ewing, Phyllis A.		2. Social Security Number (b) (6), (b) (7)(C)	
3. Job Title or Announcement Number You Are Applying For MWRO-96-38		4. Date Completed April 10, 1997	

ADDITIONAL WORK EXPERIENCE BLOCKS

G	Name and address of employer's organization (include ZIP Code, if known) Valley Forge National Historical Park P. O. Box Valley Forge, PA 19481	Dates employed (give month, day and year) From Sept., 90 To: Aug., 91		Average number of hours per week 50	Number of employees you supervised 2 volunteers
		Salary or earnings Starting \$ per Ending \$ 8.31 per hour		Your reason for leaving Permanent Position	
Your immediate supervisor Name Betty Browning Area Code Telephone No. Albright TC 602-638-2691		Exact title of your job Park Ranger detailed to Museum Technician		If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion 1016 GS-5 May, 89	

Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.

EO Counselor for the Park.

Trained the park's new historic housekeeper in the proper procedures. Continued to supervise and monitor his work and instruct him concerning new tasks as they arise.

Recruited short term volunteers for specific projects. Supervised them until project completed.

Work with historic architect to develop a system to report any changes in the fabric of the historic structures.

Photographed objects and structures to document deterioration changes.

As an on going project began Photocopying often used original archival documents onto acid-free paper to allow for their continued use.

Made alternative devices allowing unusual items to be stored safely and displayed safely while allowing them to be observed to their greatest potential by the visitors.

Assisted contractor during survey for wood and metals conservation.

Assisted in the writing of the Scope of Work for Glass Breakage RFP, determine Panel Rating Criteria for RFQ, acted as COTR for the contract.

Researched and presented a special "18th Century Artillery" program regarding the characteristics, equipment and operation of all forms of period artillery while the park cannon crew fired volleys.

Fired musket after being taught proper safe use of firing black powder during a special summer program "The Musket and Bayonet" which I researched and presented.

Prepared and presented special park bus tour for VIP military officers and Elderhostal groups.

Use the "Interpretative Prospectus" when adding special exhibits and/or changing the permanent display.

Worked with photographs from other parks to present a special NPS 75th Anniversary exhibit.

Rewrote "Scope of Collections Statement".

Developed and used ANCS line specific catalog description format and the new nomenclature when adding or updating the collection records thereby making the collection more accessibility.

Began cataloging photograph collection using description block consistent line format.

Presented collection consideration to the Resource Management Committee based on my evaluation of object deterioration, preservation survey and the cost of suggested resolutions based on my research.

Implemented, after approval of the historic architect, special IPM plan to monitor Washington's Headquarters when there was a possibility of a serious insect problem.

Created chart system to record UV light and natural light readings. Monitored on a quarterly bases at each site.

Analyzed the photograph collection and instituted a plan to improve its condition. Proceeded to clean cabinets, separated the negatives from the prints and placed negatives in proper sleeves, and replaced photograph sleeves and labeled. Instituted a regular monitoring system and adjusted the humidity as needed with Silica Gel.

Standard Form 171-A- Continuation Sheet for SF 171 (Back)

• Attach all SF 171-A's to your application at the top of page 3.

1. Name (Last, First, Middle Initial) Ewing, Phyllis A.	2. Social Security Number (b) (6), (b) (7)(C)
3. Job Title or Announcement Number You Are Applying For MWRO-96-38	4. Date Completed April 10, 1997

ADDITIONAL WORK EXPERIENCE BLOCKS

Name and address of employer's organization (include ZIP Code, if known) Valley Forge National Historical Park P. O. Box Valley Forge, PA 19481	Dates employed (give month, day and year) From: May, 89 To: Oct., 90	Average number of hours per week 40	Number of employees you supervised 2 volunteers
	Salary or earnings Starting \$ per Ending \$7.91 per hour	Your reason for leaving Term Position	
Your immediate supervisor Name Betty Browning Albright	Area Code Telephone No. 602-638-2691	Exact title of your job 1 year term Museum Technician	
Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.		If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion 1015 GS-5 May, 89	

DOCUMENTATION

Oriented to ANCS: accessioned and deaccessioned collection objects. Cataloged new accessioned objects, modified existing catalog records due to location change, deaccession condition reevaluation and expanded description.

Prepared Accession and Deaccession file forms. Made arrangements and returned borrowed object.

Prepared incoming and returning Loan File Forms including the detailed Condition Description.

Completed the Collection Management Report.

Work with computer generated lists and inventory cards regularly when inventorying, observing conditions changes, adding and removing objects from exhibition, preparing special exhibitions and assisting researchers.

Reviewed work of independent contractors and NPS data entry personal verifying nomenclature, description block line usage and numerical count of 35,000 catalog archeology items.

Organized and conducted the entire Controlled property and Random Inventory of the collection including the preparation of the worksheets, and arrangement of the required non-responsible second person.

Prepared correspondence -

Inquiring about museum products, availability of products, cost estimates including quantity and government discounts and/or acceptance of government purchase orders.

Formulated written information concerning problems with contractors and solutions.

Compiled letter giving exact and final information, copy, and "go ahead" for special exhibits to vendors.

Answered researchers and visitors requests.

Letter of recognition of a job well-done.

Operated Word Perfect 5.0 word processing system, PFS Write System and dBase as required for my duties.

Completed the NPS 10-30 National Visual Inventory Card assemblage for the collection.

Kept volunteer records.

Labeled, sorted and prepared forms for first class and bulk rate mailing which announced a special event in the park.

STORED COLLECTIONS

Stored collections include glass, leather, fabric, furniture and other woods items, metals, firearms, paintings, maps, photographs, manuscripts, and archives.

Used proper shelving, cabinets, containers to make for easy accessible of stored objects.

Worked with proper materials including acid-free paper, boxes and foam as wrappings, covers and supports to protect stored collection items.

Employed proper labeling therefore allowing for minimum handling of objects while in storage.

Isolate new acquisitions in safe storage before committing to general storage, Insuring that the item is not infested anything harmful to the rest of the collection.

Plan ahead to determine proper permanent storage space and materials needed to secure its safety.

PACKING

Attended course on packing museum objects

Packed items to be shipped to other museums including Out-Going Condition Report.

Unpacked items from other museums including In-Coming Condition Report.

Organized and pack items to transport from one collection area to another within the park.

Packed items for long term storage and short term storage.

In the process of arranging packing and shipping of large (eight feet by three feet) painting that has been on long term loan.

At the request of two institutions, retrieved and returned their on-loan objects for a special exhibit.

PRESERVATION

Restructuring the archive photography collection to improve it after many years of improper storage location and dampness. Separating negatives from prints, putting negatives in the proper buffered or unbuffered folders and with the use of Selica Gel stabilizing the humidity in the photo files to an acceptable level.

Acted on the provisions of the Housekeeping Plan for the historic houses, vault, archives, storage and museum area including the corresponding maintenance duties when the historic housekeeper position was vacant.

SUPERVISORY EXPERIENCE

Organized projects for long term volunteers, using knowledge of their likes and dislikes, skills, the amount of times they wish to donate and the need to have the project completed when determining their assignments. Teach them the procedure for doing the task and, as per park policy, be in the area with them while they work.

Supervised the video taping of the historic house furnishing for security records.

MONITORING

Devised, wrote and instituted the first Integrated pest Management program for the Valley Forge N.H.P. collection. Installed IPM record keeping charts on computer, accorded books and researched species found to see if they were harmful to the collection.

Created and implemented a chart system to condense and analyze the hygrothermograph records. Including daily weather recording and visitation to verify if the interior changes are directly related to exterior conditions or if the problem is mechanical oriented.

Carried out the routine scheduled inspections of the temperature/humidity control system and upon observing potential problem areas moved our monitoring equipment to determine if a

problem existed. Adjusted temperature/humidity control equipment as the need arose.

Observed mold in historic house, researched how to and removed it safely from wood and plaster. Rearranged furnishing and Standard Operating Procedures to allow better circulation to that area of the room.

ASSIST RESEARCHERS

Answer the initial researchers correspondence or telephone questions, determine if we are the viable source and if not, find and direct them to a more useful repository. Assist researchers upon arrival with the Guideline Form for their signature, gloves, pencils, etc. and if necessary instruct them in the handling of the artifact. Control for accountability the items at their disposal at any one time and photocopying any approved needed item.

To assist researchers, photographed and assisted in photographing two dimensional items, maps and other photographs, and three dimensional museum objects.

BUDGET

Initiated, developed and executed an accounting system for the Curatorial Department's budget. Track purchases periodically against the Commitment Control Register. Compare with the allocated Annual Budget.

Post curatorial department budget journals, track purchases against Commitment Control Register and adjust budget if changes in funding demands it.

Obtain information for purchase orders, prepared DI-1's for imprest and procurement and enter information in the computer file.

MUSEUM INTERPRETATION

Learned visual and written interpretive exhibit skills by assisting in exhibit preparation.

Applied interpretive skills in the planning of a special photography exhibit and associated three dimensional exhibit. This included determining and negotiating with the vendor the enlarging and cropping of the photographs to be used and the style of the title and subject boards. Placing the order.

Assisted in the copy writing and final installation of the exhibit. Made visual aids for the park visitors with the use of the Kroy machine and the dry mounting equipment.

Determined the need and devised a lighting plan to illuminate Washington's Headquarters for better interpretation.

Researched items, procured, and implemented a simple solution.

Prepare and present for private groups special collection tours and programs to meet their specific interests.

Gained general knowledge and appreciation of the 18th century by working with the artifacts, thus, improving the interpretation of their meaning, use, and importance to the 20th century visitor.

Standard Form 171-A- Continuation Sheet for SF 171 (Back)

• Attach all SF 171-A's to your application at the top of page 3.

1. Name (Last, First, Middle Initial) Ewing, Phyllis A.		2. Social Security Number (b) (6), (b) (7)(C)
3. Job Title or Announcement Number You Are Applying For MWRO-96-38		4. Date Completed April 10, 1997

ADDITIONAL WORK EXPERIENCE BLOCKS

I	Name and address of employer's organization (include ZIP Code, if known) Valley Forge National Historical Park P. O. Box Valley Forge, PA 19481	Dates employed (give month, day and year) From: May, 87 to: May, 89	Average number of hours per week 40	Number of employees you supervised 0
		Salary or earnings Starting \$ per Ending \$ 6.74 per hour	Your reason for leaving Sought Museum Position	
Your immediate supervisor Name: Barbara Pollerine Address: Cuyahoga Valley Area Code: 216-526-5256 Telephone No: 216-526-5256	Exact title of your job Seasonal Park Ranger Interpretation		If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion 025 GS-4	

Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.

VISITOR CENTER/HISTORICAL SITE INTERPRETATION

Communicated to the visitor the basic park/site information in a concise and knowledgeable manner. Answered questions with interest and insight gained from formal education, k extensive reading and through research.

WALKS/TALKS

Researched, prepared, and conducted talks on various Revolutionary War and Eighteenth Century topics. Utilized the museum collection in museum presentations to develop the visitor's interest in the artifacts for a better understanding of the site.

SPECIAL PROGRAMS

"A Day for Children" program--collected, researched and demonstrated eighteenth century toys and games for twentieth century children.

Wrote promotion, researched subject, collected slides and presented a slide show "The Revolutionary War Through Art" using fine and primitive eighteenth century works. Acquired slides from other museums and historical sites to enlarge park collection.

LIVING HISTORY

Cooked using 18th century recipes in the 18th century manner of the Revolutionary War soldier.

Demonstrated and explained the Steuben musket drill.

Instructed the visitors in the making of 18th century tape and cord while producing it. Followed 18th century patterns, sewed by hand in the 18th century style, a shirt and skirt to wear while participating in the living history program at Washington's Headquarters.

SUPERVISORY AND TRAINING EXPERIENCE

Participated as area coordinator at each of the park sites. Oversaw that all walks, talks, lunches, breaks, were finished on time and in a manner as to keep a pleasant working relationship among the staff involved.

Prepared and delivered for the 1988 seasonal training program a sample walk to demonstrate the object of the talks and assisted the new seasonals in finding answers to questions they had concerning their programs.

FEE COLLECTION

Collected fees from visitors and prepared at the end of each day the balance and accountability sheet.

Standard Form 171-A- Continuation Sheet for SF 171 (Back)

• Attach all SF 171-A's to your application at the top of page 3.

1. Name (Last, First, Middle Initial) Ewing, Phyllis A.	2. Social Security Number (b) (6), (b) (7)(C)
3. Job Title or Announcement Number You Are Applying For MWRO-96-38	4. Date Completed April 10, 1997

ADDITIONAL WORK EXPERIENCE BLOCKS

J Name and address of employer's organization (include ZIP Code, if known) D & P Service Co., Inc. Malvern, PA 19355	Dates employed (give month, day and year)		Average number of hours per week	Number of employees you supervised
	From: Aug., 72 To: Aug., 84		50	100 plus
Salary or earnings		Your reason for leaving		
Starting \$ per Ending \$75,000+per year		Sold Business		
Your immediate supervisor Name I was Sole Owner	Area Code Telephone No.	Exact title of your job President and Operator		If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion

Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.

President and Owner

This was a retail and portion control meat business that was started by my husband and myself. For eight years we ran the business together, he traveling to the physical locations and doing the on-site duties while in the beginning I completed and maintained, and later oversaw, the documentation records of all operations and locations at the one central location; legal, accounting, inventorying, payroll, tax records. When he died I continued the business for twelve more years after I reorganized the company. Reorganizing consisted of hiring and training quality personnel for the office location and for the travelling on-site position allowing me the time and flexibility to oversee all aspects of the business.

ADMINISTRATION AND MANAGEMENT

Personnel

Operated 10 retail locations spread over five states and a distance of 500 miles, a separate bookkeeping office and 3 farms located in Iowa. Each of these locations, farms and main office were incorporated separately, had separate management and staff.

Employed 100 to 250 employees at different times during each year in management, secretarial, sales and labor positions.

Determined duties of personnel to be hired, trained, evaluated performance determined if raise and/or promotion was in order. Maintained communication with employees to solve potential problems before they developed into major problems.

Hired employees qualified to handle primary duties of the position. Assigned unexpected tasks to people best qualified to bring them to the best possible completion with the least amount of difficulty.

Trained top personnel in each position and gave general training procedures for other employees.

Directed public relations between management and employees, personnel and consumers, company and manufacturer representatives.

Organized personnel and supply movement between locations as demands changed at each location. Adjusted general operation plan to meet individual state and city regulations.

Prepared and conducted sales meetings. Wrote and delivered speeches regarding women in professional fields to the faculty of Tredyffrin/Eastown School District and LaSalle College.

Determined and planned safety policy for customers and employees.

BUDGET AND ACCOUNTING

Organized and maintained separate and accurate legal, accounting, payroll, correspondence and all other general records for each operation and location as required by various Federal and State Corporation laws and regulations and Internal Revenue Service Laws.

Verified the accuracy of the daily disbursements and receipts submitted in daily by each operation.

Posted and balanced ledger and journal receipts and expenditure entries.

Reconciled bank statements.

Wrote payroll, prepared and filed payroll records and issued W-1's.

Developed and evaluated operating statements; gross profits, inventory costs, overhead and net profits.

Determined budgets that average between \$100,000 and \$200,000 a month for each location as well and smaller ones of the booking office and farms.

Negotiated all contracts for leasing, purchasing and sales of product.

Researched and implemented investments.

DISPLAY ART FOR ADVERTISING

Coordinated promotion, print and electronic media with procurement of product. Created, organized, and prepared newspaper ad layouts that were easily understood.

Researched and bought newspaper, television and radio time and space for ad placement.

EDUCATION

25 Did you graduate from high school? If you have a GED high school equivalency or will graduate within the next nine months, answer "YES".

YES If "YES" give month and year graduated (b) (6), (b) (7) or received GED equivalency: (C)
 NO If "NO", give the highest grade you completed.

26 Write the name and location (city and state) of the last high school you attended or where you obtained your GED high school equivalency.

Waukon High School, Waukon, Iowa 52172

27 Have you ever attended college or graduate school? YES If "YES", continue with 28. NO If "NO", go to 31.

28 NAME AND LOCATION (city, state and ZIP Code) OF COLLEGE OR UNIVERSITY. If you expect to graduate within nine months, give the month and year you expect to receive your degree

	Name	City	State	ZIP Code	MONTH AND YEAR ATTENDED		NUMBER OF CREDIT HOURS COMPLETED	TYPE OF DEGREE (e.g. B.A., M.A.)	MONTH AND YEAR OF DEGREE
					From	To			
1)	Rosemont College	Rosemont	PA		9/84	5/89		Double BA's	1989
	Graduated Magna Cum Laude								
2)									
3)									

29 CHIEF UNDERGRADUATE SUBJECTS Show major on the first line

- 1) Double Majors
- 2) American Studies
- 3) Art History (Concentration in American)

30 CHIEF GRADUATE SUBJECTS Show major on the first line

- 1)
- 2)
- 3)

31 If you have completed any other courses or training related to the kind of jobs you are applying for (trade, vocational, Armed Forces, business) give information below

NAME AND LOCATION (city, state and ZIP Code) OF SCHOOL	MONTH AND YEAR ATTENDED		CLASS-ROOM HOURS	SUBJECT(S)	TRAINING COMPLETED	
	From	To			YES	NO
School Name 1) SEE APPENDIX K						
City State ZIP Code						
School Name 2)						
City State ZIP Code						

SPECIAL SKILLS, ACCOMPLISHMENTS AND AWARDS

32 Give the title and year of any honors, awards or fellowships you have received. List your special qualifications, skills or accomplishments that may help you get a job. Some examples are, skills with computers or other machines; most important publications (do not submit copies); public speaking and writing experience; membership in professional or scientific societies; patents or inventions; etc.

SEE APPENDIX L

33 How many words per minute can you: TYPE? TAKE DICTATION?

34 List job-related licenses or certificates that you have, such as: registered nurse; lawyer; radio operator; driver's; pilot's; etc.

	LICENSE OR CERTIFICATE	DATE OF LATEST LICENSE OR CERTIFICATE	STATE OR OTHER LICENSING AGENCY
Agencies may test your skills before hiring you.	1) NY Safety Driving Course	September, 1994	NY State
	2)		

35 Do you speak or read a language other than English (include sign language)? Applicants for jobs that require a language other than English may be given an interview conducted solely in that language.

YES NO If "YES", list each language and place an "X" in each column that applies to you. If "NO" go to 36.

LANGUAGE(S)	CAN PREPARE AND GIVE LECTURES		CAN SPEAK AND UNDERSTAND		CAN TRANSLATE ARTICLES		CAN READ ARTICLES FOR OWN USE	
	Fluently	With Difficulty	Fluently	Passably	Into English	From English	Easily	With Difficulty
1)								
2)								

REFERENCES

36 List three people who are not related to you and are not supervisors you listed under 24 who know your qualifications and fitness for the kind of job for which you are applying. At least one should know you well on a personal basis.

	FULL NAME OF REFERENCE	TELEPHONE NUMBER(S) (Include Area Code)	PRESENT BUSINESS OR HOME ADDRESS (Number, street and city)	STATE	ZIP CODE
1)	Kate Stevenson Associate Dir.	202-208-7625	WASO DOI NPS PO Box 37127 Washington	DC	2 0 0 1 3
2)	Scott Kalbach	610-783-1046	Valley Forge NHP PO Box Valley Forge	PA	1 9 4 8 1
3)	Judy Harris	518-758-9689	Martin Van Buren NHS P.O. Box 545 Kinderhook	NY	1 2 1 0 6

APPENDIX K

TRAINING

Phyllis Ewing

<u>Seminar in Historical Administration</u>			
Colonial Williamsburg, VA	Nov. 3- Nov. 22, 1996		
Three Weeks			Completed
<u>Ethics in Contracting</u>			
National Park Service	June 26, 1996	8 Hours	Completed
<u>Women's Executive Leadership Program (WEL Program)</u>			
U.S. Department of Agriculture	July 95- August 1996		
One Year			Completed
<u>Equal Opportunity for Supervisors and Managers</u>			
National Park Service	March 14-16, 1995	24 hours	Completed
<u>Introduction to Federal Projects and Historic Preservation Law</u>			
GSA Interagency Training Center	Feb 28-Mar. 2, 1995		
24 hours			Completed
<u>Orientation to Personnel Management for New Supervisors</u>			
National Park Service	November 30, 1994	8 hours	Completed
<u>Cultural Landscape Preservation: Policies and Issues</u>			
National Park Service	June 20-24, 1994	40 hours	Completed
<u>Planning Beyond Park Boundaries</u>			
National Park Service	June 13-17, 1994	40 hours	Completed
<u>Historic Housing</u>			
Preservation Trust	September 13-14, 1993	16 hours	Completed
<u>Rehousing Collection Objects</u>			
NAR Curatorial Division	July 15-16, 1993	16 hours	Completed
<u>Orientation Training of Civil Rights Act of 1991</u>			
National Park Service	March 25, 1993	8 hours	Completed
<u>Winterthur Institute - American Decorative Arts pre-1860</u>			
Winterthur Museum, Delaware	Jan - Feb, 1993	120 hours	Completed
<u>Modern Archives Institute</u>			
National Archives and Records Administration	June 7-19, 1992		
80 hours			Completed
<u>Managing NPS Museum Collections Using ANCS and DBase III+</u>			
National Park Service	April 13-17, 1992	40 hours	Completed
<u>Cultural Resources Management</u>			
National Park Service	March 17-19, 1992	40 hours	Completed
<u>Curatorial Methods</u>			
National Park Service	February 4-15, 1991	80 hours	Completed

Museum Assistance and Local History Grant Program

Pa Historic & Museum Commission February, 1991 4 hours Completed

EO Councilor Training

National Park Service November, 1990 24 hours Completed

Orientation to the Management of NPS Resources

National Park Service July 25-26, 1990 16 hours Completed

Disaster Planning and Recovery

PA Historical & Museum Commission April 30-May 1, 1990
16 hours Completed

Handling, Packing, and Transporting Museum Objects

University of Pennsylvania Museum Feb 28, 1990 8 hours Completed

Microfilming

Northeast Document Conservation Center Jan 23-25, 1990
24 hours Completed

Exhibition of Books and Manuscripts: Registration, Conservation

Metropolitan Museum of Art, New York November 2-3, 1989
16 hours Completed

APPENDIX L

Phyllis Ewing

Special Accomplishments and Award

NPS Quality Performance Award 1996
NEFA Curator of the Year Award 1996
NPS Special Act Award 1994
NAR/NPS Recognition of Curatorial Excellence 1993
NPS Superior Performance Award 1991
NPS Special Achievement Award 1990
NPS Quality Performance Award 1989
NPS Quality Performance Award 1989
Graduated Magna Cum Laude 1989
Alpha Sigma Lambda National Honor Society 1988, 1989
Dean's List and Kistnier Honor Society 1987, 88, 89

BACKGROUND INFORMATION - You must answer each question in this section before you process your application.

37 Are you a citizen of the United States? (In most cases you must be a U.S. citizen to be hired. You will be required to submit proof of identity and citizenship at the time you are hired.) If "NO", give the country or countries you are a citizen of: _____

YES	NO
	XX

NOTE: It is important that you give complete and truthful answers to questions 38 through 44. If you answer "YES" to any of them, provide your explanation(s) in **Item 45**. Include convictions resulting from a plea of nolo contendere (no contest). Omit: 1) traffic fines of \$100.00 or less; 2) any violation of law committed before your 16th birthday; 3) any violation of law committed before your 18th birthday, if finally decided in juvenile court or under a Youth Offender law; 4) any conviction set aside under the Federal Youth Corrections Act or similar State law; 5) any conviction whose record was expunged under Federal or State law. We will consider the date, facts, and circumstances of each event you list. In most cases you can still be considered for Federal jobs. However, if you fail to tell the truth or fail to list all relevant events or circumstances, this may be grounds for not hiring you, for firing you after you begin work, or for criminal prosecution (18 USC 1001).

38 During the last 10 years, were you fired from any job for any reason, did you quit after being told that you would be fired, or did you leave by mutual agreement because of specific problems?	YES	NO
		XX
39 Have you ever been convicted of, or forfeited collateral for any felony violation? (Generally, a felony is defined as any violation of law punishable by imprisonment of longer than one year, except for violations called misdemeanors under State law which are punishable by imprisonment of two years or less.)		XX
40 Have you ever been convicted of, or forfeited collateral for any firearms or explosives violation?		XX
41 Are you now under charges for any violation of law?		XX
42 During the last 10 years have you forfeited collateral, been convicted, been imprisoned, been on probation, or been on parole? Do not include violations reported in 39, 40, or 41, above.		XX
43 Have you ever been convicted by a military court-martial? If no military service, answer "NO".		XX
44 Are you delinquent on any Federal debt? (Include delinquencies arising from Federal taxes, loans, overpayment of benefits, and other debts to the U.S. Government plus defaults on Federally guaranteed or insured loans such as student and home mortgage loans.)		XX

45 If "YES" in: **38** - Explain for each job the problem(s) and your reason(s) for leaving. Give the employer's name and address. **39 through 43** - Explain each violation. Give place of occurrence and name/address of police or court involved. **44** - Explain the type, length and amount of the delinquency or default, and steps you are taking to correct errors or repay the debt. Give any identification number associated with the debt and the address of the Federal agency involved.

NOTE: If you need more space, use a sheet of paper, and include the item number.

Item No.	Date (Mo./Yr.)	Explanation	Mailing Address
			Name of Employer, Police, Court, or Federal Agency
			City State ZIP Code
			Name of Employer, Police, Court, or Federal Agency
			City State ZIP Code

46 Do you receive, or have you ever applied for retirement pay, pension, or other pay based on military, Federal civilian, or District of Columbia Government service? YES NO
XX

47 Do any of your relatives work for the United States Government or the United States Armed Forces? Include: father; mother; husband; wife; son; daughter; brother; sister; uncle; aunt; first cousin; nephew; niece; father-in-law; mother-in-law; son-in-law; daughter-in-law; brother-in-law; sister-in-law; stepfather; stepmother; stepson; stepdaughter; stepbrother; stepsister; half brother; and half sister. XX

If "YES", provide details below. If you need more space, use a sheet of paper.

Name	Relationship	Department, Agency or Branch of Armed Forces
Donald Dickinson	(b) (6), (b) (7)(C)	US Air Force

SIGNATURE, CERTIFICATION, AND RELEASE OF INFORMATION

YOU MUST SIGN THIS APPLICATION. Read the following carefully before you sign.

- A false statement on any part of your application may be grounds for not hiring you, or for firing you after you begin work. Also, you may be punished by fine or imprisonment (U.S. Code, title 18, section 1001).
- If you are a male born after December 31, 1959 you must be registered with the Selective Service System or have a valid exemption in order to be eligible for Federal employment. You will be required to certify as to your status at the time of appointment.
- I understand that any information I give may be investigated as allowed by law or Presidential order.
- I consent to the release of information about my ability and fitness for Federal employment by employers, schools, law enforcement agencies and other individuals and organizations, to investigators, personnel staffing specialists, and other authorized employees of the Federal Government.
- I certify that, to the best of my knowledge and belief, all of my statements are true, correct, complete, and made in good faith.

48 SIGNATURE (Sign each application in dark ink) **49** DATE SIGNED (Month, day, year)

[Handwritten Signature] April 8, 1997

Supporting Records:

Iowa SHPO

Rcno	Title	Reply Sent	Date Rec	Date Letter	Finding
900803011	GENERAL MANAGEMENT PLAN/ENVIRONMENTAL ASSESSMENT FOR EFFIGY MOUNDS NATIONAL MONUMENT	8/9/1990	8/1/1990	7/31/1990	No Comment
900803011	GENERAL MANAGEMENT PLAN FOR EFFIGY MOUNDS NATIONAL MONUMENT	3/8/1991	12/5/1990	11/27/1990	No Comment
900803011	ARCHEOLOGICAL EVALUATION OF DAMAGE TO MOUND 43, SNY MAGILL UNIT EFFIGY MOUNDS NATIONAL MONUMENT	6/15/1992	5/18/1992	5/15/1992	Technical Assistance
930403054	PRAIRIE RESTORATION PROGRAM - EFFIGY MOUNDS NATIONAL MONUMENT	5/14/1993	4/12/1993	4/7/1993	More Information Requested
930403138	EFFIGY MOUNDS NATIONAL MONUMENT - CENCR-269370 - CONSTRUCTION OF A WILLOW BUNDLE AND LOG CRIBBING BANK STABILIZAITON STRUCTURE	5/27/1993	4/27/1993	4/23/1993	More Information Requested
930403138	EFFIGY MOUNDS NATIONAL MONUMENT - CENCR-269370 - CONSTRUCTION OF A WILLOW BUNDLE AND LOG CRIBBING BANK STABILIZAITON STRUCTURE - CORRESPONDENCE REGARDING THE REQUESTED EA	7/13/1993	6/10/1993	6/7/1993	Technical Assistance
900803011	RESOURCES MANAGEMENT PLAN DRAFT EFFIGY MOUNDS NATIONAL MONUMENT - NOT A 30-DAY REVIEW	2/20/1995	6/10/1993	6/7/1993	No Comment
930403054	PRAIRIE RESTORATION PROGRAM - EFFIGY MOUNDS NATIONAL MONUMENT	7/19/1993	7/12/1993	7/6/1993	No Comment
900803011	EFFIGY MOUNDS NATIONAL MONUMENT - MISSING PAGES FROM THE "RIVERBANK STABILIZATION PLAN, SNY MAGILL UNIT	7/30/1993	7/22/1993	7/16/1993	No Comment
930403054	PRAIRIE RESTORATION PROGRAM - EFFIGY MOUNDS NATIONAL MONUMENT	8/30/1993	8/27/1993	8/27/1993	No Adverse Effect
930403054	PRAIRIE RESTORATION PROGRAM - EFFIGY MOUNDS NATIONAL MONUMENT - COPY OF CORRESPONDENCE FROM ACHP	10/8/1993	9/30/1993	9/20/1993	No Comment
940503125	EFFIGY MOUNDS NATIONAL MONUMENT - VISUAL IMPACTS FROM EXPANSION OF THE BARGE TERMINAL FACILITIES IN THE EAST CHANNEL OF THE UPPER MISSISSIPPI RIVER AT PRAIRIE DU CHIEN, WI	2/28/1995	5/20/1994	5/11/1994	No Comment
940503125	VISUAL IMPACT ASSESMENT - EFFIGY MOUNDS NATIONAL MONUMENT FOR THE PRAIRIE DU CHIEN, WISCONSIN	2/28/1995	1/30/1995	1/24/1995	No Adverse Effect
940503125	VISUAL IMPACT ASSESMENT - EFFIGY MOUNDS NATIONAL MONUMENT FOR THE PRAIRIE DU CHIEN, WISCONSIN - ACHP COMMENTS	4/12/1995	4/3/1995	3/10/1995	No Comment
940503125	EFFIGY MOUNDS NATIONAL MONUMENT FOR THE PRAIRIE DU CHIEN, WISCONSIN - DRAFT MOA	8/4/1995	8/2/1995	8/2/1995	No Comment
940503125	FINAL ENVIRONMENTAL IMPACT STATEMENT - LONG TERM CHANNEL MAINTENANCE PLAN FOR FEDERAL COMMERCIAL HARBOR AND A PERMIT APPLICATION TO CONTRUST AND EXPAND BARGE TERMINAL FACILITIES IN THE EAST CHANNEL OF UPPER MISSISSIPPI RIVER AT PRAIRIE DU C	1/19/1996	1/19/1996	1/16/1996	No Comment
900803011	UPDATING - LIST OF CLASSIFIED STRUCTURES (LCS) DATABASE		3/14/1996	3/11/1996	
940503125	ENVIRONMENTAL IMPACT STATEMENT LONG-TERM CHANNEL MAINTENANCE PLAN FOR THE FEDERAL COMMERCIAL HARBOR AND A PERMIT APPL. TO CONSTRUCT AND EXPAND BARGE TERMINAL FACILITIES IN THE EAST CHANNEL OF THE UPPER MI RIVER AT PRAIRIE DU CHIEN, WI	4/12/1996	4/11/1996	4/8/1996	No Comment
900803011	EFFIGY MOUNDS NATIONAL MONUMENT - LIST OF CLASSIFIED STRUCTURES SINGLE ENTRY REPORTS FOR SNY MAGILL, NORTH, AND SOUTH UNITS	11/14/1996	10/8/1996	10/7/1996	Technical Assistance
900803011	EFFIGY MOUNDS NATIONAL MONUMENT - STRATEGIC PLAN 1998 - 2002	5/2/1998	3/3/1998	2/27/1998	Technical Assistance

900803011	AMMENDMENT TO GENERAL MANAGEMENT PLAN FOR EFFIGY MOUNDS NATIONAL MONUMENT - ENVIRONMENTAL ASSESSMENT FOR EFFIGY MOUNDS NATIONAL MONUMENT	9/21/1998	7/28/1998	7/27/1998	Technical Assistance
981200010	EFFIGY MOUNDS NATIONAL MONUMENT - ACCESSION HISTORY AND STATUS OF ACCESSIONED MATERIALS AND 1986 & 1990 DEACCESSIONED ITEMS AND OBJECTS - ISM TECHNICAL REPORT 97-1165-33	12/15/1998	11/4/1998	11/4/1998	No Comment
981100031	EFFIGY MOUNDS NATIONAL MONUMENT - SCOPE OF WORK FOR THE PROPOSED CULTURAL AFFILIATION STUDY AT THE MONUMENT	12/8/1998	11/12/1998	11/9/1998	No Comment
981200011	EFFIGY MOUNDS NATIONAL MONUMENT - RECOMMENDATIONS TO NAGPRA SUMMARY AND NAGPRA INVENTORY, EFFIGY MOUNDS NATIONAL MONUMENT - ISM, TECHNICAL REPORT 97-1165-32	12/13/1998	12/4/1998	12/4/1998	No Comment
981200039	EFFIGY MOUNDS NATIONAL MONUMENT - HISTORIC STRUCTURES STABILIZATION PROJECT AT THE SNY MAGILL UNIT - REMOVAL OF TREES AND VEGETATION FROM PREHISTORIC MOUNDS IN THE SNY MAGILL MOUND GROUP	1/4/1999	12/16/1998	12/9/1998	Technical Assistance
900803011	AMMENDMENT TO GENERAL MANAGEMENT PLAN FOR EFFIGY MOUNDS NATIONAL MONUMENT - ENVIRONMENTAL ASSESSMENT FOR EFFIGY MOUNDS NATIONAL MONUMENT- 1999 DRAFT	5/7/1999	4/5/1999	4/2/1999	Technical Assistance
990703043	EFFIGY MOUNDS NATIONAL MONUMENT - HEADQUARTERS/SOUTH UNIT - PROPOSED DEVELOPMENT AND CONSTRUCTION OF THE SOUTH UNIT ACCESSIBLE TRAIL/UNDERPASS - NPS DETERMINATION	8/13/1999	7/15/1999	7/6/1999	Recon Survey Recommended
900803011	AMMENDMENT TO GENERAL MANAGEMENT PLAN FOR EFFIGY MOUNDS NATIONAL MONUMENT - ENVIRONMENTAL ASSESSMENT FOR EFFIGY MOUNDS NATIONAL MONUMENT- 1999 DRAFT	7/27/1999	7/19/1999	7/15/1999	Technical Assistance
900803011	AMMENDMENT TO GENERAL MANAGEMENT PLAN FOR EFFIGY MOUNDS NATIONAL MONUMENT - ENVIRONMENTAL ASSESSMENT FOR EFFIGY MOUNDS NATIONAL MONUMENT- 1999 DRAFT - ADDT. CORRESPONDENCE	8/19/1999	8/17/1999	8/11/1999	No Comment
940503125	EFFIGY MOUNDS NATIONAL MONUMENT - ARCHEOLOGICAL INVESTIGATIONS UNDERTAKEN IN PROPOSED CONSTRUCTION AREAS NEAR THE VISITORS CENTER	2/19/2002	11/4/1999	10/28/1999	No Comment
981100031	EFFIGY MOUNDS NATIONAL MONUMENT - SCOPE OF WORK FOR THE PROPOSED HISTORIC RESOURCE STUDY AT THE MONUMENT - ADDT. INFORMATION	10/3/2000	8/23/2000	8/23/2000	No Comment
990703043	EFFIGY MOUNDS NATIONAL MONUMENT - HEADQUARTERS/SOUTH UNIT - PROPOSED DEVELOPMENT AND CONSTRUCTION OF THE SOUTH UNIT ACCESSIBLE TRAIL/UNDERPASS - NPS DETERMINATION - DRAFT PHASE I REPORT	3/1/2001	9/18/2000	9/14/2000	Technical Assistance
010700131	EFFIGY MOUNDS NATIONAL MONUMENT - REPATRIATION & REINTERMENT OF HUMAN REMAINS IN 3 MOUND AREAS OF THE NORTH UNIT, SNY MAGILL & MARCHING BEAR UNITS		7/27/2001	7/27/2001	
010700131	EFFIGY MOUNDS NATIONAL MONUMENT - REPATRIATION & REINTERMENT OF HUMAN REMAINS IN 3 MOUND AREAS OF THE NORTH UNIT, SNY MAGILL & MARCHING BEAR UNITS - ADDT. CORRESPONDENCE	8/31/2001	8/21/2001	8/17/2001	No Comment
020100031	EFFIGY MOUNDS NATIONAL MOUNMENT CULTURAL AFFILIATION REPORT - REVIEW DRAFT -	1/17/2002	1/14/2002	1/11/2002	No Comment
020100031	EFFIGY MOUNDS NATIONAL MONUMENT HISTORIC RESOURCE STUDY - FIGURES ON THE LANDSCAPE	11/17/2003	11/13/2003	11/12/2003	No Comment
040100066	EFFIGY MOUNDS NATIONAL MONUMENT FIRE MANAGEMENT PLAN (FMP)	4/1/2004	1/21/2004	1/14/2004	No Adverse Effect

040200045	EFFIGY MOUNDS - BCA #1087 - EFFIGY MOUNDS NATIONAL MONUMENT ARCHAEOLOGICAL OVERVIEW AND ASSESSMENT	2/26/2004	2/20/2004	2/18/2004	Technical Assistance
040200045	EFFIGY MOUNDS - EFFIGY MOUNDS NATIONAL MONUMNET CULTURAL AFFILIATION REPORT - OSA	4/7/2004	4/2/2004	3/31/2004	No Comment
041022005	EFFIGY MOUNDS NATIONAL MONUMENT - OSA #1155 - PRELIMINARY RESULTS OF GROUND-PENETRATING RADAR STUDIES OF EFFIGY MOUNDS NATIONAL MONUMENT SNY MAGILL MOUND GROUP (13CT18) - FINAL REPORT	10/13/2004	10/4/2004	10/1/2004	Technical Assistance
010700131	EFFIGY MOUNDS NATIONAL MONUMENT - REPATRIATION & REINTERMENT OF HUMAN REMAINS IN 3 MOUND AREAS OF THE NORTH UNIT, SNY MAGILL & MARCHING BEAR UNITS - ADDT. CORRESPONDENCE - REPATRIATION AND REINTERMENT OF HUMAN REMAINS	5/18/2005	4/22/2005	2/16/2005	Technical Assistance
050600147	EFFIGY MOUNDS NATIONAL MONUMENT GENERAL MANAGEMENT PLAN AND ENVIRONMENTAL IMPACT STATEMENT	7/7/2005	6/21/2005	6/17/2005	Technical Assistance
041022005	EFFIGY MOUNDS NATIONAL MONUMENT - OSA #1155 - PRELIMINARY RESULTS OF GROUND-PENETRATING RADAR STUDIES OF EFFIGY MOUNDS NATIONAL MONUMENT SNY MAGILL MOUND GROUP (13CT18) - FINAL REPORT - 2ND COPY OF RPT.	7/12/2005	7/6/2005	7/5/2005	No Comment
050703016	EFFIGY MOUNDS NATIONAL MONUMENT - OSA #1234 - GROUND-PENETRATING RADAR SURVEY OF THE POSSIBLE 13AM446 MOUND	7/12/2005	7/6/2005	7/5/2005	No Comment
050900031	EFFIGY MOUNDS NATIONAL MONUMENT - FINAL REPORT - SEDIMENTATION STUDY AT SNY MAGILL UNIT - 13CT18	9/16/2005	9/9/2005	9/6/2005	No Comment
900803011	AMMENDMENT TO GENERAL MANAGEMENT PLAN FOR EFFIGY MOUNDS NATIONAL MONUMENT - ENVIRONMENTAL ASSESSMENT FOR EFFIGY MOUNDS NATIONAL MONUMENT- 1999 DRAFT - ADDT. CORRESPONDENCE - NEWSLETTER #2	5/5/2006	5/2/2006	5/1/2006	No Comment
900803011	AMMENDMENT TO GENERAL MANAGEMENT PLAN FOR EFFIGY MOUNDS NATIONAL MONUMENT - ENVIRONMENTAL ASSESSMENT FOR EFFIGY MOUNDS NATIONAL MONUMENT- 1999 DRAFT - ADDT. CORRESP.- NEWSLTR #2 - NEWSLETTER #3	3/13/2007	12/14/2006	12/1/2006	No Comment
070800070	EFFIGY MOUNDS NATIONAL MONUMENT - PROPOSED CULTURAL LANDSCAPE INVENTORY OF YELLOW RIVER AND SNY MAGILL CREEK CULTURAL LANDSCAPES - CONSENSUS DETERMINATION FOR HERITAGE ADDITION MOUNDS # 101-104	8/24/2007	6/14/2007	6/11/2007	Technical Assistance
071000001	NATIONAL PARK SERVICE (NPS) - PROPOSED NEW NATIONWIDE PROGRAMMATIC AGREEMENT (PA) TO ADDRESS COMPLIANCE WITH SECTION 106 AND IMPLEMENTING REGULATIONS (36 CFR 800) - FIRST DRAFT PA	12/15/2008	10/1/2007	9/24/2007	No Comment
071000001	NATIONAL PARK SERVICE (NPS) - PROPOSED NEW NATIONWIDE PROGRAMMATIC AGREEMENT (PA) TO ADDRESS COMPLIANCE WITH SECTION 106 AND IMPLEMENTING REGULATIONS (36 CFR 800) - FIRST DRAFT PA - PA SECOND DRAFT	6/11/2008	4/21/2008	4/1/2008	No Comment
080603088	EFFIGY MOUNDS - EVALUATION OF THE TWO HABITATION SITES AT THE PARK, RED HOUSE LANDING AND THE FTD SITE IS CONTINUING	10/30/2008	6/20/2008	6/17/2008	No Comment
080903136	EFFIGY MOUNDS - TRIP WITH REGARD TO RAILROAD MAINENACE DAMAGE AT THE RED HOUSE LANDING SITE (13AM228), SEPT. 3-5, 08	10/31/2008	10/28/2008	9/11/2008	
071000001	NATIONAL PARK SERVICE (NPS) - NEW EXECUTED NATIONWIDE PROGRAMMATIC AGREEMENT (PA)	12/13/2008	12/8/2008	12/1/2008	No Comment

090503040	EFFIGY MOUNDS NATIONAL MONUMENT - DRAFT GENERAL MANAGEMENT PLAN (GMP) - PROPOSED FRAMEWORK FOR MANAGING THE PARK FOR THE NEXT 15-20 YEARS	5/7/2010	5/4/2009	4/24/2009	No Comment
090703141	EFFIGY MOUNDS THESIS - PH I ARCHAEOLOGICAL ASSESSMENT OF PORTIONS OF FTD SITE (13AM210) AND RED HOUSE LANDING (13AM228), TWO SITES AT EFFIGY MOUNDS NATIONAL MONUMENT, ALLAMAKEE CO. IA, JAMES W. LINDSAY II, UNIVERSITY OF NEBRASKA, 2009		7/24/2009	7/22/2009	
090903039	EFFIGY MOUNDS NATIONAL MONUMENT - PEPC ID # 26707 - PROPOSED BOUNDARY SURVEY OF THE MONUMENT - SCOPE OF WORK-ASSESSMENT OF ACTIONS HAVING AND ETECT ON CULTURAL RESOURCES	10/12/2009	9/8/2009	9/3/2009	Technical Assistance
090903127	EFFIGY MOUNDS NATIONAL MONUMENT - GEOPHYSICAL INVESTIGATIONS AT THE NAZEKAW TERRACE MOUND GROUP ((SITE 13AM82), EFFIGY MOUNDS NATIONAL MONUMENT, ALLAMAKEE COUNTY, IOWA, MWAC TECHNICAL REPORT #118 BY STEVEN L. DE VORE	11/10/2009	9/25/2009	9/15/2009	No Comment
990703043	EFFIGY MOUNDS NATIONAL MONUMENT - HEADQUARTERS/SOUTH UNIT - REVISED RESEARCH PLAN FOR SITE 13AM82ON THE NAZEKAW TERRACE, EFFIGY MOUNDS NATIONAL MONUMENT, IOWA, LYNOTT, VAWSER, RICHNER		12/4/2009	12/4/2009	
071000001	NATIONAL PARK SERVICE (NPS) - NATIONWIDE PROGRAMMATIC AGREEMENT (PA) - EFFIGY MOUNDS NATIONAL MONUMENT ANNUAL REPORT-SUMMARY OF NHPA SECTION 106 ACTIONS	2/20/2010	2/1/2010	1/29/2010	No Comment
090503040	EFFIGY MOUNDS NATIONAL MONUMENT - H3017 (MWR/CRSP-CR) - H30 (EFMO) - DRAFT GENERAL MANAGEMENT PLAN (GMP) - PROPOSED EVALUATION OF THE MISSION 66 RESOURCES PROJECT	2/19/2010	2/8/2010	2/4/2010	No Properties in Impact Area
990703043	EFFIGY MOUNDS NATIONAL MONUMENT - REVISED RESEARCH PLAN FOR SITE 13AM82ON THE NAZEKAW TERRACE, AND NORTH UNIT MAINT. AREA, EFFIGY MOUNDS NATIONAL MONUMENT, IOWA, LYNOTT, VAWSER, RICHNER 1/29/10 - CORRESPONDENCE	3/2/2010	2/24/2010	2/19/2010	No Comment
990703043	EFFIGY MOUNDS NATIONAL MONUMENT - H4217 (MWR-CR) - PROPOSED CONSTRUCTION OF BOARDWALK AND MAINTENANCE STRUCTURE PROJECT - ACHP CORRESPONDENCE REGARDING NPS ADVERSE EFFECT FINDING	3/16/2010	3/12/2010	3/12/2010	No Comment
990703043	EFFIGY MOUNDS NATIONAL MONUMENT - FIGURES ON THE LANDSCAPE: EFFIGY MOUNDS NATIONAL MONUMENT HISTORIC RESOURCE STUDY, HRA GRAY & PAPE, LLC. 1/AUG/2003	3/16/2010	3/15/2010	3/15/2010	No Comment
990703043	EFFIGY MOUNDS NATIONAL MONUMENT - REVISED RESEARCH PLAN FOR SITE 13AM82ON THE NAZEKAW TERRACE, AND NORTH UNIT MAINT. AREA, EFFIGY MOUNDS NATIONAL MONUMENT, IOWA, LYNOTT, VAWSER, RICHNER 1/29/10 - ADDITIONAL INFORMATION	3/29/2010	3/22/2010	3/18/2010	No Comment
090903039	EFFIGY MOUNDS NATIONAL MONUMENT - PEPC ID # 26707 - PROPOSED BOUNDARY SURVEY OF THE MONUMENT - SCOPE OF WORK-ASSESSMENT OF ACTIONS HAVING AND ETECT ON CULTURAL RESOURCES - ADDITIONAL INFORMATION	4/22/2010	3/25/2010	3/24/2010	No Comment
100303167	EFFIGY MOUNDS NATIONAL MONUMENT - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - PROPOSED ONGOING LIVING HISTORY "MOONLIGHT" HIKES PROJECT - AGENCY DETERMINATION	4/21/2010	3/25/2010	3/24/2010	No Adverse Effect

100303167	EFFIGY MOUNDS NATIONAL MONUMENT - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - PROPOSED EXOTIC PLANT CONTROL PROJECT - AGENCY DETERMINATION	4/21/2010	3/25/2010	3/24/2010	No Adverse Effect
100303164	EFFIGY MOUNDS NATIONAL MONUMENT - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - PROPOSED SPECIAL PARK USES- WEDDINGS, PHOTOGRAPHY AND FILMING PROJECT - AGENCY DETERMINATION	4/21/2010	3/25/2010	3/24/2010	No Adverse Effect
100303163	EFFIGY MOUNDS NATIONAL MONUMENT - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - PROPOSED INTERPRETIVE TALKS, WALKS, HIKES AND OTHER PROGRAM PROJECTS - AGENCY DETERMINATION	4/21/2010	3/25/2010	3/24/2010	No Adverse Effect
100303162	EFFIGY MOUNDS NATIONAL MONUMENT - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - PROPOSED SNY MAGILL ICE FISHING TOURNAMENT-SPECIAL PARK USES PROJECTS - AGENCY DETERMINATION	4/21/2010	3/25/2010	3/24/2010	No Adverse Effect
990703043	EFFIGY MOUNDS NATIONAL MONUMENT - REVISED RESEARCH PLAN FOR SITE 13AM82ON THE NAZEKAW TERRACE, AND NORTH UNIT MAINT. AREA, EFFIGY MOUNDS NATIONAL MONUMENT, IOWA, LYNOTT, VAWSER, RICHTER 1/29/10 - PRESS RELEASE COPY	4/6/2010	4/1/2010	3/31/2010	No Comment
100403122	EFFIGY MOUNDS NATIONAL MONUMENT - H4217 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO-27380: PROPOSES TO REMOVE RECONSTRUCTED VILLAGE (WICKIUP) DEMONSTRATION AREA PROJECT	5/19/2010	4/23/2010	4/22/2010	No Adverse Effect
100403124	EFFIGY MOUNDS NATIONAL MONUMENT - H4217 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO-29933: PROPOSED 2010 INVASIVE EXOTIC PLAN MANAGEMENT PROJECT	5/19/2010	4/23/2010	4/22/2010	No Adverse Effect
100403123	EFFIGY MOUNDS NATIONAL MONUMENT - H4217 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO-27390: PROPOSED NATURAL RESOURCES MONITORING PROJECT	5/19/2010	4/23/2010	4/22/2010	No Adverse Effect
100403125	EFFIGY MOUNDS NATIONAL MONUMENT - H4217 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO-26883: PROPOSED SPECIAL EVENTS PROJECT	5/19/2010	4/23/2010	4/22/2010	No Adverse Effect
100503114	EFFIGY MOUNDS NATIONAL MONUMENT - PROPOSED CONSULTATION FOR SECTION 106 COMPLIANCE MEETING, MAY 25, 2010 , EFFIGY MOUNDS NATIONAL MONUMENT HEADQUARTERS - AGENDA		5/17/2010	5/12/2010	
090903039	EFFIGY MOUNDS NATIONAL MONUMENT - PEPC ID # 26707 - PROPOSED BOUNDARY SURVEY OF THE MONUMENT - TRIP REPORT: ARCHAEOLOGICAL INVENTORY OF THE BOUNDARY CORRIDOR, EFFIGY MOUNDS NATIONAL MONUMENT, APRIL 5-23, 2010- MIDWEST ARCHAEO. CTR.	9/28/2010	6/17/2010	6/15/2010	No Comment
100603117	EFFIGY MOUNDS NATIONAL MONUMENT - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO - PROPOSED 2010 YOUTH CONSERVATION CORP (YCC) AND VOLUNTEERS IN PARK (VIP) PROJECT - AGENCY DETERMINATION	6/24/2010	6/18/2010	6/17/2010	No Properties in Impact Area
100503114	EFFIGY MOUNDS NATIONAL MONUMENT - H42 (EFMO) - PROPOSED CONSULTATION FOR SECTION 106 COMPLIANCE MEETING, MAY 25, 2010 , EFFIGY MOUNDS NATIONAL MONUMENT HEADQUARTERS - MEETING NOTES	7/6/2010	7/2/2010	7/1/2010	No Comment

100703049	EFFIGY MOUNDS NATIONAL MONUMENT - PEPC ID # 31671 - PROPOSED REMOVAL OF BENCH FROM HANGING ROCK OVERLOOK PROJECT - AGENCY DETERMINATION	7/13/2010	7/8/2010	7/7/2010	No Adverse Effect
100703088	EFFIGY MOUNDS NATIONAL MONUMENT - PEPCID #27369 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO: PROPOSES TO REPLACE/UPDATE SEVEN (7) OUTDATED WAYSIDE EXHIBITS PROJECT - AGENCY DETERMINATION	8/3/2010	7/15/2010	7/14/2010	No Adverse Effect
100703090	EFFIGY MOUNDS NATIONAL MONUMENT - PEPCID #29531- ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO: PROPOSED MOWING OF THE MOUNDS PROJECT - AGENCY DETERMINATION	8/3/2010	7/16/2010	7/15/2010	No Adverse Effect
100703091	EFFIGY MOUNDS NATIONAL MONUMENT - PEPCID #31882 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO: PROPOSES TO REMOVE NEZEKAW BOARDWALK PROJECT - AGENCY DETERMINATION	7/20/2010	7/16/2010	7/15/2010	More Information Requested
100703091	EFFIGY MOUNDS NATIONAL MONUMENT - PEPCID #31882 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO: PROPOSES TO REMOVE NEZEKAW BOARDWALK PROJECT - ADDITIONAL INFORMATION	8/3/2010	7/23/2010	7/21/2010	No Adverse Effect
100703090	EFFIGY MOUNDS NATIONAL MONUMENT - PEPCID #29531- ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO: PROPOSED MOWING OF THE MOUNDS PROJECT - OSA CORRESPONDENCE	7/28/2010	7/27/2010	7/23/2010	No Comment
100703034	EFFIGY MOUNDS NATIONAL MONUMENT - PEPCID #32271 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO: PROPOSED HAZARD TREE MANAGEMENT AND ACTION PLAN PROJECT - AGENCY DETERMINATION	8/10/2010	8/5/2010	8/3/2010	No Adverse Effect
100703091	EFFIGY MOUNDS NATIONAL MONUMENT - PEPCID #31882 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO: PROPOSES TO REMOVE NEZEKAW BOARDWALK PROJECT - CORRESPONDENCE COPY		8/9/2010	8/6/2010	
100703034	EFFIGY MOUNDS NATIONAL MONUMENT - PEPCID #32271 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO: PROPOSED HAZARD TREE MANAGEMENT AND ACTION PLAN PROJECT - COPY OSA CORRESPONDENCE		8/18/2010	8/16/2010	No Comment
990703043	EFFIGY MOUNDS NATIONAL MONUMENT - HEADQUARTERS/SOUTH UNIT - ARCHEOLOGICAL INVEST. SOUTH UNIT ACCESS PROJECT AND LITTLE BEAR ACCESS TRAIL, EFFICY MOUNDS NATIONAL MONUMENT, ALLAMAKKE CO, IA-1999 & 201 [NPS MIDWEST ARCHEO CTR, 2010]	9/10/2010	8/23/2010	8/19/2010	No Comment
100703034	EFFIGY MOUNDS NATIONAL MONUMENT - PEPCID #32271 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - EFMO: PROPOSED HAZARD TREE MANAGEMENT AND ACTION PLAN PROJECT - CORRESPONDENCE		8/25/2010	8/16/2010	No Comment
100922021	DETERMINING THE LOCATION OF ORR'S MOUND GROUP NO. 6 (13CT52), EFFIGY MOUNDS NATIONAL MONUMENT, CLAYTON COUNTY, IOWA [OSA CCR#1811]	9/7/2010	9/3/2010	9/2/2010	No Comment
100903197	EFFIGY MOUNDS NATIONAL MONUMENT - PEPC #32631 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - PROPOSED INSTALLATION OF NEW WINDOWS IN SUPERINTENDENT'S OFFICE BUILDING (161) PROJECT - AGENCY DETERMINATION		9/29/2010	9/28/2010	

100903196	EFFIGY MOUNDS NATIONAL MONUMENT - PEPC #32585 - ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES - PROPOSED NEW ELECTRICAL SERVICE INSTALLATION IN SUPERINTENDENT'S OFFICE BUILDING PROJECT - AGENCY DETERMINATION		9/29/2010	9/28/2010	
101200100	NATIONAL PARK SERVICE - PROPOSED DEVELOPMENT OF EXCOTIC PLANT MANAGEMENT PLAN AND ENVIRONMENTAL ASSESSMENT FOR 15 PARKS IN THE MIDWEST - EFFIGY MOUNDS NATIONAL MONUMENT, HARPERS FERRY AND HERBERT HOOVER NATION HISTORIC SITE, WEST BRANCH		12/20/2010	12/15/2010	
900803011	GENERAL MANAGEMENT PLAN/ENVIRONMENTAL ASSESSMENT FOR EFFIGY MOUNDS NATIONAL MONUMENT				



IN REPLY REFER TO:

United States Department of the Interior

NATIONAL PARK SERVICE

Martin Van Buren National Historic Site

P. O. Box 545

Kinderhook, New York 12106

H3015 (MAVA) #42

May 5, 1994

Memorandum

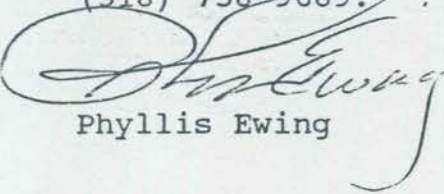
To: Regional Historian, Cultural Resources Division, NAR

From: Acting Superintendent, MAVA

Subject: XXX UV Film for Lindenwald

Enclosed please find the XXX for the removal of the existing UV film and the installation of new film. This contract is to satisfy a Task Directive 80-1 deficiency.

Thank You in advance and if you have any question please call me
(518) 758-9689.


Phyllis Ewing

ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES

A. ORIGINATING OFFICE

1. Park: MARTIN VAN BUREN NHS Park district (optional)

2. Work/Project Description:

a. Project name Removal/Replace UV Filters park project #(s)

b. Describe project and area of potential effects (as defined in 36 CFR Part 800.2(c)); explain why work/project is needed. Describe project and area of potential effects. The project is the removal of existing UV film on the window panes and the installation of replacement film. The purpose of this project is to replace the UV film as, it is identified in Special Directive 80-1 call as a museum deficiency.

3. Has the area of potential effects been surveyed to identify cultural resources?

No
[X] Yes Source or Reference MAVA Historic Structure Report 1986 (See Below)
Check here if no known cultural resources will be affected. (If area has been disturbed in the past, please explain or attach additional sheets to describe nature, extent, and intensity of disturbance.)

The window glass was not addressed in this report. Much of the glass has been replaced since 1976 and most of it since the 1930's.

4. Affected Resource(s): Name and number(s): MAVA Historic Structure #1 location: Basement 1 & 2 floor NR status: Full
Name and number(s): location: NR status:
(REPEAT FOR EACH AFFECTED RESOURCE)

5. The proposed action will: (Check as many as apply.)

- Destroy, remove, or alter features/elements from a historic structure
Replace historic features/elements in kind
[X] Add nonhistoric features/elements to a historic structure
Alter or remove features/elements of a historic setting or environment (inc. terrain)
Add nonhistoric features/elements (inc. visual, audible, or atmospheric) to a historic setting or cultural landscape
Disturb, destroy, or make archeological resources inaccessible, or alter terrain
[X] Potentially affect presently unidentified cultural resources
Begin or contribute to deterioration of historic fabric, terrain, setting, landscape elements, or archeological or ethnographic resources
Involve a real property transaction (exchange, sale, or lease of land or structures)
(OPTIONAL) Meet criteria for Programmatic Exclusion C.1 in the 1990 Servicewide Programmatic Agreement for Section 106 compliance.
Other (please specify)

6. Measures to prevent or minimize loss or impairment of historic/prehistoric fabric, setting, integrity, or data: This action will help protect the historic fabric of the mansion. In the contract controls are stated for the protection of the historic fabric covering the actual time of film removal and installation. The collection in the mansion while also be

7. Supporting Study Data: (attach if feasible; if action is in a plan, give name and project or page number): protected
MAVA 80-1 Report

8. Attachments: [] Maps [] Archeological Clearance, if applicable [] Drawings [] Specifications
[] Photographs [] Scope of Work [] Site plan [] List of Materials [] Samples
[] Other

9. Prepared by Phyllis Ewing Date May 5, 1994

Title Curator Telephone 518 758-9689

10. I certify that the proposed work conforms to NPS Management Policies and NPS-28.
Acting

Signature of Superintendent  (Phyllis Ewing)

Date May 5, 1994

B. REGIONAL ASSESSMENT

RECOMMENDED ASSESSMENT OF EFFECT (completed by Regional compliance coordinator):

 No Effect No Adverse Effect Adverse Effect

COMPLIANCE REQUIREMENTS--PLEASE INDICATE WHICH OF THE FOLLOWING APPLIES.

- 1. STANDARD 36 CFR PART 800 CONSULTATION
Consultation under 36 CFR Part 800 has been carried out subsequent to preparation of this XXX form.
- 2. PROGRAMMATIC EXCLUSION
The above action meets all conditions for a programmatic exclusion under Stipulation C.1 or C.2 of the 1990 Servicewide PA.
APPLICABLE EXCLUSION(s): C.1 [specify a-m] or C.2 addition.
- 3. PLAN-RELATED UNDERTAKING
Consultation about the proposed undertaking was completed in the context of a plan review process, in accordance with the 1990 Servicewide PA, Stipulation E or F, and 36 CFR Part 800. (If Stipulation F of the 1990 PA applied to this case, please so note.)
- 4. MOA-RELATED UNDERTAKING
Consultation about the proposed action was conducted in development of a Memorandum of Agreement or Programmatic Agreement approved by NPS, the SHPO and the Advisory Council.

Contingent upon stipulations developed in the consultation process or listed above, requirements for Section 106 compliance have been met.

STIPULATIONS/CONDITIONS:



Signed _____ Date _____

Regional Compliance Coordinator

Approved _____ Date _____

Regional Director

Supporting
Records:

Compliance
Coordinator



IN REPLY REFER TO:

United States Department of the Interior

NATIONAL PARK SERVICE

Martin Van Buren National Historic Site

P. O. Box 545

Kinderhook, New York 12106

January 31, 1996

H-42

Memorandum

To: Associate Field Director for Research, Planning and Resource Stewardship,
Northeast Field Area

From: Superintendent, Martin Van Buren National Historic Site

Subject: Updated Information Related to Implementation of 1995 Servicewide
Programmatic Agreement for Section 106 Compliance

The attached forms should document MAVAs compliance with the 1995 Servicewide Programmatic Agreement for Section 106 Compliance.

Martin Van Buren NHS has selected Phyllis A. Ewing, Museum Curator, to be the parkwide 106 Coordinator as per the Servicewide Agreement. The Upstate Subcluster has selected a team of Section 106 Advisors to advise the entire subcluster on discipline specific 106 issues. This will, we hope, help the SHPO identify NPS contact people more readily. My performance standards as Superintendent are presently being changed to reflect my accountability and responsibility for Section 106 compliance at Martin Van Buren National Historic Site.

If you have any further questions, please call me at (518) 758-9689.

Michael D. Henderson

**NEFA SECTION 106 UPDATE
JANUARY 1996**

Park Name: Martin Van Buren N.H.S.

TRAINING

1. Please indicate which types of training park staff have received.

TYPE OF TRAINING	Supt.	Section 106 Coordinator	Advisors on Park Staff
Advisory Council Training			
Formal Service or Region-wide Training	X	X	
SHPO and other Agency Training			
Sessions on Section 106 as Part of CRM or other Compliance Training		X	
Section 106 Reorientation Workshop			
Work Experience and/or Other Training (Specify)			

2. Is further training by those with direct involvement in Section 106 compliance necessary? Yes X No . If yes, please answer questions 3.
3. How many persons need to receive this training? 0. Of the categories listed in the table above, which type(s) of training would you like to see?
4. Do you have any specific comments or suggestions respecting training that you would like us to forward to WASO? No.

REVISION OF SUPERINTENDENT'S PERFORMANCE STANDARDS

- (a) My standards have been revised to reflect the delegation of Section 106 responsibilities and relevant pages are attached.
- (b) My standards are being revised. The final is expected (date): 3/96.
- (c) My PD has not been revised.

SHPO MEETING

Have you held your initial meeting with your State Historic Preservation Officer in accord with Stipulation IX.A. (page 7) of the 1995 Programmatic Agreement?

- (a) Yes, the meeting has been held.
- (b) No, the meeting has been scheduled.
- (c) No, the meeting has yet to be arranged.

SECTION 106 COORDINATOR and ADVISORS

COORDINATOR Name: Phyllis Ewing **PARK:** MAVA

Current Title: Museum Curator **Phone:** (518) 758-9689

Coordinator's 106 responsibilities are described in: PD Perf. Standards

Coordinator has previous Section 106 Experience? yes no

Coordinator has had Section 106 Training? yes no

Course(s)/Dates: 02/28/1995 03/02/1995

ADVISORY TEAM	Name/Title/Location	Term
ARCHEOLOGIST	<i>David Starbuck, Archeologist Saratoga National Historical Park 648 Route 32 Stillwater, NY 12170</i>	
CURATOR	<i>Anne Jordan, Supervisory Curator Roosevelt-Vanderbilt Sites 519 Albany Post Road Hyde Park, NY 12538</i>	
ETHNOGRAPHER	<i>Rebecca Joseph, Ethnographer New England System Support Office 15 State Street Boston, MA 02109</i>	

HISTORICAL ARCHITECT	<i>Richard Crisson, Historical Architect Northeast Cultural Resources Center Boott Cotton Mills Museum Building Fourth Floor 400 Foot of John Street Lowell, MA 01852</i>	
HISTORICAL LANDSCAPE ARCHITECT	<i>Lauren Meier, Historical Landscape Architect Olmsted Center for Landscape Preservation 99 Warren Street Brookline, MA 02146</i>	
HISTORIAN	<i>Larry Lowenthal, Historian Springfield Armory National Historic Site One Armory Square Springfield, MA 01105</i>	

Superintendent: _____



Date: _____

01/22/95



United States Department of the Interior

NATIONAL PARK SERVICE

North Atlantic Region
15 State Street
Boston, Massachusetts 02109-3572

IN REPLY REFER TO:

July 5, 1994

H42 (NAR-RCR)

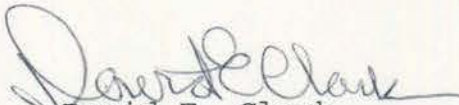
Memorandum

To: Superintendent, Martin Van Buren National Historic Site

From: Acting Associate Regional Director, Resources Management
and Research, North Atlantic Region

Subject: Section 106 Compliance
Re: Removal/Replace UV Filters (Reg. Acc. No. 5-19-94a)

Attached is an approved copy of your Section 106 submittal for the subject project for which you have received cc: mail notification. The Section 106 review is now complete.

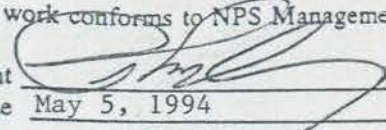

David E. Clark

Attachment

ASSESSMENT OF ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES
ORIGINATING OFFICE

- A.
1. Park: MARTIN VAN BUREN NHS Park district (optional) _____
2. **Work/Project Description:**
a. Project name Removal/Replace UV Filters park project #(s) _____
b. Describe project and area of potential effects (as defined in 36 CFR Part 800.2(c)); explain why work/project is needed. Describe project and area of potential effects. The project is the removal of existing UV film on the window panes and the installation of replacement film. The purpose of this project is to replace the UV film as, it is identified in Special Directive 80-1 call as a museum deficiency.
3. Has the area of potential effects been surveyed to identify cultural resources?
 No
 Yes Source or Reference MAVA Historic Structure Report 1986 (See Below)
_____ Check here if no known cultural resources will be affected. (If area has been disturbed in the past, please explain or attach additional sheets to describe nature, extent, and intensity of disturbance.)
The window glass was not addressed in this report. Much of the glass has been replaced since 1976 and most of it since the 1930's.
4. Affected Resource(s):
Name and number(s): MAVA Historic Structure #1 location: Basement 1 & 2nd floor NR status: Full
Name and number(s): _____ location: _____ NR status: _____
(REPEAT FOR EACH AFFECTED RESOURCE)
5. The proposed action will: (Check as many as apply.)
 Destroy, remove, or alter features/elements from a historic structure
 Replace historic features/elements in kind
 Add nonhistoric features/elements to a historic structure
 Alter or remove features/elements of a historic setting or environment (inc. terrain)
 Add nonhistoric features/elements (inc. visual, audible, or atmospheric) to a historic setting or cultural landscape
 Disturb, destroy, or make archeological resources inaccessible, or alter terrain
 Potentially affect presently unidentified cultural resources
 Begin or contribute to deterioration of historic fabric, terrain, setting, landscape elements, or archeological or ethnographic resources
 Involve a real property transaction (exchange, sale, or lease of land or structures)
 (OPTIONAL) Meet criteria for Programmatic Exclusion C.1 ___ in the 1990 Servicewide Programmatic Agreement for Section 106 compliance.
 Other (please specify)
6. Measures to prevent or minimize loss or impairment of historic/prehistoric fabric, setting, integrity, or data:
This action will help protect the historic fabric of the mansion. In the contract controls are stated for the protection of the historic fabric covering the actual time of film removal and installation. The collection in the mansion while also be
7. Supporting Study Data: (attach if feasible; if action is in a plan, give name and project or page number): protected
MAVA 80-1 Report
8. Attachments: [] Maps [] Archeological Clearance, if applicable [] Drawings [] Specifications
[] Photographs [] Scope of Work [] Site plan [] List of Materials [] Samples
[] Other _____

9. Prepared by Phyllis Ewing Date May 5, 1994
Title Curator Telephone 518 758-9689

10. I certify that the proposed work conforms to NPS Management Policies and NPS-28.
Acting
Signature of Superintendent  (Phyllis Ewing)
Date May 5, 1994

B. REGIONAL ASSESSMENT

RECOMMENDED ASSESSMENT OF EFFECT (completed by Regional compliance coordinator):

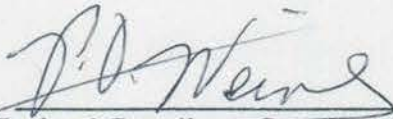
 No Effect X No Adverse Effect Adverse Effect

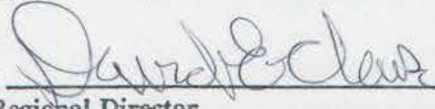
COMPLIANCE REQUIREMENTS--PLEASE INDICATE WHICH OF THE FOLLOWING APPLIES.

- 1. STANDARD 36 CFR PART 800 CONSULTATION
Consultation under 36 CFR Part 800 has been carried out subsequent to preparation of this XXX form.
- 2. PROGRAMMATIC EXCLUSION
The above action meets all conditions for a programmatic exclusion under Stipulation C.1 or C.2 of the 1990 Servicewide PA.
APPLICABLE EXCLUSION(S): C.1 a [specify a-m] or C.2 addition.
- 3. PLAN-RELATED UNDERTAKING
Consultation about the proposed undertaking was completed in the context of a plan review process, in accordance with the 1990 Servicewide PA, Stipulation E or F, and 36 CFR Part 800. (If Stipulation F of the 1990 PA applied to this case, please so note.)
- 4. MOA-RELATED UNDERTAKING
Consultation about the proposed action was conducted in development of a Memorandum of Agreement or Programmatic Agreement approved by NPS, the SHPO and the Advisory Council.

Contingent upon stipulations developed in the consultation process or listed above, requirements for Section 106 compliance have been met.

STIPULATIONS/CONDITIONS:

Signed  Date 6/10/94
Regional Compliance Coordinator

Approved  Date 6/6/94
Regional Director

REGIONAL CULTURAL RESOURCES SPECIALISTS REVIEW

REGIONAL CONTROL# _____ IDLCS# _____ IDCLI# _____ CSI/ARI# _____

I have reviewed this proposal for conformity with requirements for the Section 106 process with the 1990 Servicewide Programmatic Agreement (if applicable), and applicable parts of the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation, NPS Management Policies, and NPS-28. I have stated any additional stipulations that should apply, and I concur in the recommended assessment of effect above.

SIGNED:

Dick Pung Hsu _____ Date 6/2/94
REGIONAL ARCHEOLOGIST

Comments: _____
Nora J Mitchell _____ Date 5/31/94
REGIONAL HISTORICAL LANDSCAPE ARCHITECT*
SPECIALIST

Comments: _____
[Signature] _____ Date 5/31/94
REGIONAL CURATOR

Comments: _____
Rebecca Joseph _____ Date 6/20/94
REGIONAL ETHNOGRAPHER*

Comments: _____
[Signature] _____ Date 6/10/94
REGIONAL HISTORIAN

Comments: _____
[Signature] _____ Date 5/31/94
REGIONAL HISTORICAL ARCHITECT

Comments: _____

OTHER _____ Date _____

Comments: _____

* Regions without a Regional historical landscape architect or ethnographer leave these lines blank.

Supporting Records:

Media Interest

Advertisement

You will be redirected to the page you want to view in seconds.



- Other editions:
- [Mobile](#) |
- [Mobile text alerts](#) |
- [RSS Feeds](#) |
- [E-Newsletters](#)
- Find it:
- [Jobs](#) |
- [Cars](#) |
- [Real Estate](#) |
- [Apartments](#) |
- [Home Services](#) |
- [Deals](#) |
- [Place an ad](#)

 Search

SPONSORED BY:

[HOME](#)[NEWS](#)[POLITICS](#)[SPORTS](#)[ENTERTAINMENT](#)[LIFE](#)[COMMUNITIES](#)[OPINION](#)[OBITUARIES](#)[WEATHER](#)[CLASSIFIEDS](#)
CUSTOMER SERVICE

[Business Today's headlines](#)[Crime & Courts](#)[Politics & Government](#)[Education](#)[Health](#)[Nation & World](#)[Obituaries](#)[Lottery](#)[Archive](#)



Outrage lingers among those who love Effigy Mounds

BY REID FORGRAVE RFORGRAVE@DMREG.COM NOVEMBER 22, 2010

[Comments \(44\)](#)

[Recommend \(8\)](#)

[Print this page](#)

[E-mail this article](#)

[Share](#)

[Del icio.us](#)

[Facebook](#)

[Digg](#)

[Reddit](#)

[Newsvine](#)

[Twitter](#)

[FarkIt](#)

Type Size [A](#) [A](#) [A](#)

Harpers Ferry, Ia. - On 2,500 acres of towering bluffs near the Mississippi River in northeast Iowa, something sacred has been disturbed.



JUSTIN HAYWORTH/REGISTER PHOTO

Mike Evans, interim superintendent at Effigy Mounds National Monument in Harpers Ferry, points to the area where a boardwalk had to be removed because proper procedure was not followed. Evans has been on the job since the former superintendent was reassigned because of the incident involving the sacred Indian mounds.



It was more than 60 years ago when this land - filled with 206 sacred Indian mounds, some of them 2,000 or more years old, some containing burial remains - became Effigy Mounds National Monument. The goal of putting the land under federal stewardship was twofold: Make the land accessible for tourists of today and ensure the land is preserved for visitors of tomorrow.

Somewhere along the line, officials admit they lost their way. Without following required review processes, the U.S. National Park Service built three boardwalks and a maintenance shed that may have interrupted the historical integrity of the park.

The park service has offered a *mea culpa*, emphasizing its belief that no structures were built on top of the mounds and saying that adhering to its own protocol will ensure something like this will never happen again. Yet outrage lingers among those attached to this piece of land.

What happened here has angered naturalists who want one of the most picturesque parts of Iowa sheltered from development, upset historic preservationists who thought land under federal protection would be safe from disruption, and dismayed Indian tribes who believe these actions dishonored sacred ground.

"The buck stopped at my desk - it was my responsibility," former park superintendent Phyllis Ewing says now.

She lost her post after the park service found she and her staff had not consistently followed review processes for at least a decade. "My era's past, and it's into a new era ... But there was absolutely, positively no intent by anybody on that staff to hurt a blade of grass."

The park service has moved to remedy the mistakes. But some critics say apologies aren't enough, that supervisors' actions violated federal law.

"In a national monument, I see no reason, no possible excuse, for that to have happened," said Mark Edwards, a retired trails coordinator for the Iowa Department of Natural Resources. "Effigy Mounds was set aside as a nondeveloped area. How could people in those positions, working at the most incredible spot in the whole state, dedicated to those purposes of historic preservation, go and do what they did?"

The Park Service discovered the problems itself, through a standard internal review process called an operations evaluation, begun last year. During the review, park service officials saw a pattern: Ewing wasn't consistently following Section 106 compliance checks.

Section 106 of the National Historic Preservation Act requires federal agencies to consider the impact any federal undertaking has on "significant historic properties." The requirement applies to all of the nearly 400 national parks. The regulation is similar to checking for gas lines before digging a hole in your yard, a standard preventative measure.

At Effigy Mounds, staffers often completed the archaeology portion of the process, but



Tim Mason, a former worker at Effigy Mounds National Monument, has been very outspoken about the lack of oversight at the park and poor environmental practices there. He questions whether the former superintendent still has a job with the National Park Service.



Three Mounds at Effigy Mounds National Monument in Harpers Ferry. Mounds in the shape of bears and birds dot the Mississippi River in northeast Iowa and southwest Wisconsin, while mounds in the shape of turtles and panthers are found closer to Lake Michigan. Some mounds are linear. Mounds used in burial are conical.



Paul and Sue Schramm of Dyersville make the way along one of the trails at Effigy Mounds National Monument in Harpers Ferry on an afternoon in early November. The retired teachers say they enjoy the 7-mile hiking trail at Effigy Mounds.

About Effigy Mounds

SIGNIFICANCE: The 206 earthen mounds at Effigy Mounds National Monument show the prominent lasting imprint of the regional mound-building culture.

HISTORY: The mounds date to the Woodland Period, when Indian civilizations here were making pottery, weaving baskets and experimenting with gardening. In other words, they were Iowa's first

they rarely consulted the State Historic Preservation Office or all of the 12 present-day tribes affiliated with the site. Federal officials looked over dozens of recent projects at the site to figure out where the process went wrong. They put all current projects on hold, including the third boardwalk, which was in the midst of being built.

The projected cost of the third boardwalk was about \$275,000, according to records released earlier this month in response to a Freedom of Information Act request from a local naturalist.

After the park service flagged the errors, the third boardwalk was torn down - by hand, to ensure no further disruption of the land - in one week in September. The offending maintenance shed, which is more like a hoop house, will also be taken down, with the goal of minimal further impact to the land.

The first two boardwalks remain; they cost nearly \$800,000.

Ewing was transferred to the park service's regional office in Omaha.

Hearing Ewing speak of her mistakes sounds like someone speaking of a death in the family.

"The last thing you'd ever want to do is make a mistake that hurts something that's your dream job of your whole lifetime, from the time I was child," said Ewing, who grew up near Effigy Mounds. "But ... it's not about me. It's about the landscape. It's about people who that land belongs to."

Ewing is thankful her mistakes did not damage any mounds. But the fact remains that the agency under her watch failed to follow requirements for years.

"It wasn't just a one-time thing: 'Oh, we forgot,' " said Mike Evans, Effigy Mounds' interim superintendent until January. That's when a replacement, now at Apostle Islands National Lakeshore in Wisconsin, takes over. "We want to make sure what we see today is what people 50 years from now also see, and that we don't change anything that hurts efforts to preserve and protect this park."

On a recent November afternoon, Evans walked down a boardwalk near the confluence of the meandering Yellow River and the mighty Mississippi. The fall colors were nearly all gone, leaving a sea of bare branches blanketing the hills. A bald eagle flew overhead. Ignore the trucks on the nearby National Scenic Byway, and the place epitomizes serenity.

Evans' black cowboy boots stopped near a lighter shade of wood on the boardwalk. Evans pointed up the hill, which leads to some mounds. This was where the third boardwalk was built, and then, in September, meticulously taken down.

What happened here doesn't look like much to the untrained eye. The boardwalks seem innocuous, offering access to parts of the park that are otherwise difficult to reach. But at a federally protected area - one of two National Park Service sites in Iowa, along with Herbert Hoover National Historic Site - a small disturbance to the land takes on greater importance.

farmers. Mounds in the shape of bears and b
dot the Mississippi River in northeast Iowa and
southwest Wisconsin, while mounds in the shape
of turtles and panthers are found closer to La
Michigan. Some mounds are linear. Mounds used
in burials are conical.

PURPOSE: Modern archaeologists can only
guess the purposes of these mounds. Were they
for ceremonies? Did they mark celestial even
Were they territorial markers? They are sure
one thing: The tribes affiliated with the area placed
much value on the mounds. Moving such huge
amounts of earth by hand was a long, arduous
process for these small communities.

ABOUT THE PARK: Effigy Mounds National
Monument is situated in one of the most dramatic
and diverse landscapes in Iowa, with upland
forest, prairie, wetlands and riverbank.

It is the largest Indian mound group under federal
stewardship - yet it marks only a fraction of the
mounds that once inhabited this land. Farming
development and highways have destroyed nearly
of the thousands of mounds once here.

More News headlines

- More detail on the players in fed. lawsuit over choosing Iowa judges
 - Feds yank Ohio, Wis. rail funds, send more
 - Iowa GOP head seeks term #2
 - Iowans' incomes edge higher, Census Bureau report shows (19)
 - UPDATE: Lane will become Pittsburgh school superintendent (5)
-

The Park Service continuously struggles to balance public accessibility and preservation, Evans said.

"That's the inner conflict we deal with all the time," he said. "Where the balancing point is is different in every park. Technically, you could call this a visual intrusion."

In this case, by swaying too far toward accessibility, the agency neglected its central mission of preserving the historical integrity of Effigy Mounds, critics say.

Managers "got half the equation right," said Iowa state archaeologist John Doershuk.

Evans calls the mistakes a breach of protocol, nothing more. But some preservationists say that spending federal money on projects that weren't properly reviewed isn't mere incompetence; it breaks the law.

"I'm not a lawyer," Evans shrugged.

The mistakes have been acknowledged, the disturbances mitigated, Evans said. And with a new superintendent starting in January, it's time to move forward.

"Helping to restore trust in the National Park Service is really, really important to me," said new superintendent Jim Nepstad, who is now stationed 300 miles to the north at the national park on Lake Superior. "To a large degree, it'll involve lots of face-to-face time with people, folks who feel like they may have been let down by what happened." Nearly everyone involved in this controversy told the Register they believed the mistakes were not intentional, but they remain bewildered. Some want to put the past in the past. Others insist the agency hasn't been held fully accountable.

"They're supposed to be a leader in this," said Doershuk, the state archaeologist. "It's a matter of respect. We in modern society set aside areas for cemeteries, where we bury ancestors. We expect people to respect that. People are outraged when vandals tip over headstones, or spray them with graffiti. Burial mounds are the same sort of monument, just much, much older."

Patt Murphy, a member of the Ioway tribe who lives in Kansas, monitored the boardwalk removal. Like Evans and Doershuk, Murphy doesn't think there was intent to disrespect the land.

"The blame can be spread over a whole bunch of people," Murphy said.

Still, "I wouldn't say it's been corrected," he said. "The boardwalk was basically eliminated, but the concrete piers below the ground, nothing was done to that."

Another Ioway Indian, Lance Foster, who wrote a book, "The Indians of Iowa," and is a professor in Montana, is far angrier.

"They just fell down in every way," Foster said. "It damaged a sacred place. If you put a shovel full of dirt back into it, you can't fix it. There's a spiritual part of it that you damaged."

"There's a lot of wagon circling that goes on in a bureaucracy when they do wrong

Most Viewed Stories

- Today
- Yesterday
- Last 7 Days
- Last 30 Days

Baseball Hall of Famer Bob Feller in hospice
Lawsuit challenges Iowa's judge-selection sys
Feds yank Ohio, Wisconsin passenger rail mo
send a little more to Iowa
Car is hit by bullets, crashes into tree
Sister Stella Neill remembered for legacy of w
house the poor
Roberts picked as regulator of care centers
Iowans' incomes edge higher, Census Bureau
report shows
State criminal intelligence office misspent \$66
audit says
UPDATE: Lane will become Pittsburgh school
superintendent
Wrestling: Ex-Cyclone Long transfers to Penn

The Des Moines Register on Facebook

Latest Blog Posts



Retail Report

Toy shoppers laser focused on a ; Hey!
That's cu...

4 minutes ago



Across the Spectrum

The Don't Ask Games

16 minutes ago

Screw Santa! I Want All The Credit!



By: billblank

12/9/2010 8:33 AM CST

More blogs | Create your blog

NEWS ON YOUR CELLPHONE



Sign up for breaking news text alerts

things," Foster continued. "They don't want to face up to their responsibilities. They need to do that if any trust is to be built back again."

A few miles south on the Mississippi, in a rented farmhouse near Pikes Peak State Park, lives a man who has been the biggest thorn in the side of Effigy Mounds officials since this controversy sprang up.

Look around Tim Mason's home, and you'll see why he cares. Native American art dots his home, as well as various naturalist credentials: a Sierra Club award, an award from the Iowa Department of Natural Resources for his research on raptors, a certificate honoring his 19 years of work at Effigy Mounds. A bumper sticker is pasted to his refrigerator: "Bad Guys Abuse Public Land. Good Guys Save It."

Mason isn't an Indian. He's Irish. Yet he's repeatedly sent Freedom of Information Act requests to the park service to figure out what happened here, how much money was spent on building and then tearing down the boardwalk, how a system went so awry. He has contacted senators and congressmen to investigate, as well as the Department of the Interior.

"I love that place," he said. "That place is sacred, not only to past Indian cultures but to the present day. It represents just a molecule of what natural Iowa was."

Mason was born and raised here, and his father before him. Mason camped on river islands, hunted squirrel in the woods, caught frogs at night.

"I'm not going to lay down, give up and roll over on this one," Mason said. "We entrusted it to them. This is not incompetence. This is arrogance. It destroyed and damaged this holy land, and no one is being held accountable."

Back at Effigy Mounds, Paul and Sue Schramm, both retired teachers from Dyersville, hiked up the hill toward the Great Bear Mound Group.

They frequently come here for a 7-mile hike. They're not happy with what happened.

"The mounds are amazing," Paul Schramm said. "When you see them, you see the shapes, you think of hundreds or thousands of years ago, that you feel that sacredness to this place. You want to see the history preserved. I don't think it was done with intent. But you wish things like this were thought through before they do it."

[CLASSIFIED LISTINGS: Des Moines jobs](#) | [Cars for sale](#) | [Des Moines homes](#)

Newest first ▼

Enter your phone number:

<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="button" value="Continue"/>

[Cancel Alerts](#) | [Modify Alerts](#) | [Privacy Policy](#)

Msg&data rates may apply. To Opt-out text to 4INFO (44636). For more information text to 4INFO (44636). Contact your carrier for more details.

powered by 

[More text alerts](#) | [Email newsletter](#)

Contextual linking provided by Topix



characters left

inside desmoinesregister.com



Top 100 restaurants

Results of the most complete survey ever of the favorite restaurants in the D.M. area.



Ames flood aerials

View more than 80 photos of the worst flooding in Ames history: August, 2010.



Garage sales map

Get e-mail alerts about sales near your house; Save your favorites and plan your route



Find a new home

Search hundreds of homes for sale in Des Moines and surrounding communities.



Mug shots

View booking mug shots and related info from Polk County and Dallas County jail Web sites.

Site index

News

Communities

Sports

Lifestyle

Entertainment

Extras

Full index

Business

Ankeny

Preps

Travel

Metromix

Obituaries

Classifieds

Opinion

Clive

Bulldogs

Health

Restaurant guide

Photos

Jobs

Columnists

D.M. East, North

Cyclones

Home & Garden

Events calendar

Today's headlines

Cars

Politics

D.M. South

Hawkeyes

2 cents worth

Dining

Forums

Real Estate

Crime

D.M. West

Panthers

MomsLikeMe.com

Music

Blogs

Apartments

Education

Johnston

I-Cubs

Vacation Iowa

Arts & culture

Newsletters

Place an ad

Nation & World

Urbandale

Sports stats

dmJuice.com

Movie Listings

RSS feeds

Garage sales

Obituaries

Waukee

Auto racing

Engagements

TV Listings

Mobile Site

Databases

Golf

Weddings

Datebook

Text alerts

West Des Moines

[Photos](#)

[Outdoors](#)

[Anniversaries](#)

[Celebrity news](#)

[Sudoku](#)

[Video](#)

[Recipes](#)

[Horoscopes](#)

[Comics](#)

- **Partners:**

- **Jobs:** [CareerBuilder.com](#)
 - **Cars:** [Cars.com](#)
- **Apartments:** [Apartments.com](#)
- **Shopping:** [ShopLocal.com](#)
- **Homes:** [Homefinder.com](#)

- [Home](#) |
- [News](#) |
- [Politics](#) |
- [Sports](#) |
- [Entertainment](#) |
- [Life](#) |
- [Communities](#) |
- [Opinion](#) |
- [Obituaries](#) |
- [Weather](#) |
- [Classifieds](#) |
- [Customer Service](#) |
- [Site Map](#)

-
- [Contact Us](#) |
 - [About Us](#) |
 - [Work for Us](#) |
 - [Subscribe](#) |
 - [Place an Ad](#)

Copyright ©2010 The Des Moines Register. All rights reserved.

Use of this site signifies your agreement to the [Terms of Service](#) and [Privacy Policy](#) , updated September 2010.



United States Department of the Interior

National Park Service

Midwest Region
601 Riverfront Drive
Omaha, Nebraska 68102-4226



H42 (MWR-CR/HNRP)

January 29, 2010

Memorandum

To: Superintendent, Effigy Mounds

From: Regional Director, Midwest Region

Subject: Compliance Roles and Responsibilities

The purpose of this memorandum is to clarify the roles and responsibilities of Effigy Mounds (Park) and the Midwest Regional Office (regional office) concerning compliance with the National Environmental Policy Act (NEPA) and the National Historic Preservation Act (NHPA), including consultation with the Advisory Council for Historic Preservation (ACHP or Council), State Historic Preservation Officer (SHPO), Tribal Historic Preservation Officers (THPO), American Indian Tribes, the general public, and other consulting parties such as the State Archeologist.

Until we are comfortable that a culture of adherence to the NEPA and the NHPA compliance has been established at the Park, all actions and activities proposed to be undertaken by the Park must be reviewed by the regional office.

For questions concerning the NHPA cultural resources compliance policy and processes, the Park Section 106 Coordinator should contact the regional office NHPA Coordinator Ron Cockrell at 402-661-1922. For questions about section 110 policies, contact Midwest Archeological Center (Center) Archeologist Anne Vawser at 402-437-5392, extension 109. For questions about Traditional Cultural Properties or Tribal consultations, contact Regional Ethnographer Mike Evans at 612-345-0019. You are advised to maintain a complete file of telephone and electronic messages on all section 106 discussions as part of your official administrative record.

For questions concerning NEPA processes or policy, the Park NEPA Coordinator should contact the regional office NEPA Coordinator Nick Chevance at 402-661-1844 or the regional office Chief of Planning Sandra Washington at 402-661-1840.

For any proposed action or activity, compliance begins at the Park by completion of the Environmental Screening Form by the NEPA Coordinator in consultation with the NHPA Section 106 Coordinator. This form is to be filled out in the Planning, Environment, and Public Comment (PEPC) system. All projects entered in the PEPC must have Archeologist Anne Vawser identified as a team member.

Roles and Responsibilities

The regional office retains NEPA signatory authority for all projects initiated at the Park. Once compliance actions have been completed and the Park/regional office has completed all reviews, the Park may contact the Planning and Compliance staff named above and indicate that the action/activity is ready for approval. The Planning and Compliance staff will review, and if all compliance activities have been completed, the compliance action will be concluded. For a Categorical Exclusion (CE), the CE form will be printed and submitted for signature in the regional office. Once signed, the signature date will be entered into the PEPC and the signed form returned to the Park for filing with the administrative record. Once signed, the Park may implement the action or activity.

The Park has responsibilities to communicate with interested publics concerning actions and activities that may affect the Park's resources. The PEPC system allows the Park to make certain types of information available for public inspection. This can be as simple as a brief description of certain activities the Park is considering, and some of the issues that the Park anticipates may come up as the compliance process moves forward. This information is only what the Park would want to make public; it does not allow the public to see the internal workings of the PEPC. The regional office NEPA Coordinator can assist the Park in setting up this type of information dissemination. Keep in mind this does not relieve the Park from any specific requirements for public notices published in newspapers of record, but it can be used to supplement those types of information releases.

Once the compliance process has been completed, and all resource issues have been resolved, it is recommended that the Park make all decision documents available on the public side of the PEPC. This would include all signed CEs, Findings of No Significant Impact for any Environmental Assessments, and Records of Decision for Environmental Impact Statements. The regional office NEPA Coordinator can assist the Park in making these available for public review.

The regional office Cultural Resources Directorate retains consultation authority for all previous compliance issues within the Park. The Superintendent will be included on related correspondence and meetings. The Superintendent shall keep the Park staff informed and involved as necessary and appropriate, especially the NEPA and the NHPA Coordinators.

For all other proposed actions and activities, the authority to consult with various parties as required by the 2008 Programmatic Agreement for Section 106 is hereby redelegated to the Superintendent. You should be aware, however, that consultations with the Council, the SHPO, and others on the Nazekaw Terrace boardwalk and North Unit maintenance shed could result in a

programmatic memorandum of agreement which would establish specific procedures and requirements for consultation on other proposed Park actions for the foreseeable future.

In the interim, the Park Section 106 Coordinator must generate an Assessment of Effects (AOE) form in the PEPC system for each new proposed action or activity. The form will be reviewed and commented on through the PEPC by the Park's Cultural Resources Management Team (CRM Team). The AOE form must describe how the Park intends to consult with the Iowa SHPO, Iowa State Archeologist, affiliated THPOs and Tribes, and the general public. After release of the form to the Park by the Regional Director, the Park will use the form, including the comments of the CRM Team, to initiate consultations. The Park must send copies of all related communications and documentation, including responses from consultees, to the regional office NHPA Coordinator for review. The regional office will make a final determination on the proposed activity and will notify the Park on how to proceed.

Nazekaw Terrace Boardwalk and North Unit Maintenance Shed

On January 27, 2010, the Associate Regional Director for Cultural Resources provided an oral briefing concerning Park compliance issues to the NPS liaison for the ACHP. Based on that conversation, the regional office will now formally consult with the ACHP. Because the actions concerning construction of the Nazekaw Terrace boardwalk and North Unit maintenance shed were undertaken without compliance, based on the regulations in 36 CFR Part 800 the ACHP will likely determine that the Park foreclosed the Council's ability to comment. This precludes the use of the AOE form for further consultations regarding those actions.

The regional office will send the ACHP a formal invitation to participate as a signatory on a Memorandum of Agreement (MOA) between the NPS, the Iowa SHPO, affiliated THPOs, affiliated Tribes, and other parties as recommended by the Council and the SHPO concerning mitigation of adverse effects caused by construction of the Nazekaw Mounds boardwalk and the maintenance shed in the North Unit. The invitation will state that the regional office proposes to mitigate these actions by removing the elements above ground for the entire boardwalk and completely removing the remains of the maintenance shed under the supervision of a professional archeologist from the Center. If the parties reach consensus on resolving the adverse effects, the MOA may then be developed and executed.

For the MOA, we must provide the following information in accordance with 36 CFR 800.11: (1) A description of the undertaking, specifying the Federal involvement, and its area of potential effects, including photographs, maps, and drawings, as necessary; (2) A description of the steps taken to identify historic properties; (3) A description of the affected historic properties, including information on the characteristics that qualify them for the National Register; (4) A description of the undertaking's effects on historic properties; (5) An explanation of why the criteria of adverse effect were found applicable or inapplicable, including any conditions or future actions to avoid, minimize or mitigate adverse effects; and (6) Copies or summaries of any views provided by consulting parties and the public.

The invitation will also state that we will propose that the piers for the boardwalk be left in place until the Center has completed the Nazekaw Terrace survey and provides recommendations for mitigation of the piers. These recommendations would be forwarded to the consulting parties for review and comment. This could result in a separate MOA among the consulting parties.

We must also address the other actions undertaken over the years by the park without compliance. Each such action dating from and including calendar year 1999 forward now must be cataloged. For each action, we must provide the information required in 36 CFR 800.11 and present the information to the consulting parties for resolution of the adverse effects. This may result in one or more additional MOAs. The regional office will determine the method to be used to collect the information. You and the Park staff are expected to cooperate fully and openly in that exercise.

Other Boardwalks Within the Park

Consulting party concerns about previously completed boardwalks and/or proposals for additional boardwalks will be handled through the revised General Management Plan process.

Nazekaw Terrace Archeological Survey

The Regional Chief of Ethnography and the Park will coordinate consultation with the Tribes on the Center project to resolve Tribal concerns about aspects of the project involving coring and test excavations. Consultations will occur prior to initiation of these aspects of the NPS study, and the Center will assist in consultations as needed. Plans to discuss these aspects of the proposed study with the SHPO, affiliated THPOs and Tribes, and the general public are scheduled for May 2010.



cc:

MWRO-Steve Adams, Don Stevens, Mike Evans, Ron Cockrell

MWAC-Mark Lynott

WASO-AD, Cultural Resources



United States Department of the Interior

National Park Service

Midwest Region
601 Riverfront Drive
Omaha, Nebraska 68102-4226



January 5, 2010

H42(MWR-CR/HNRP)

Memorandum

To: Director, National Park Service (WASO, 001)
Attention: Associate Director, Cultural Resources (WASO, 2201)

From: Regional Director, Midwest Region

Subject: Effigy Mounds National Monument, Iowa, and the National Historic Preservation Act of 1966, as Amended

We are currently dealing with a serious situation at Effigy Mounds National Monument (EFMO), Iowa, involving noncompliance with Section 106 of the National Historic Preservation Act (NHPA) on a number of development projects. Should you receive any inquiries regarding this matter, the following information provides details on what has occurred and what we are doing to resolve the issues.

In late April, a team of Midwest Region professionals conducted a "Towards Excellence" Operations Evaluation (OE) at EFMO. The OE discovered major violations of the NHPA during a number of years. Specifically, the OE found EFMO did not follow compliance procedures of Section 106 of the NHPA in building new trails, replacing trail bridges, building a maintenance structure, and constructing an interpretive exhibit. These violations were exacerbated by the fact that they had major, adverse impacts to cultural landscapes and to aboriginal American Indian structures that EFMO was established to protect.

In the OE analysis of EFMO's cultural resources management (CRM) program, it became apparent that the Superintendent neglected her obligation for section 106 compliance by sometimes eliminating the internal agency review process and subsequent section 106 consultation with the Iowa State Historic Preservation Office (SHPO) and 12 affiliated American Indian Tribes. Effigy Mounds failed to properly document undertakings and to provide "Assessment of Actions Having an Effect on Cultural Resources" to its established list of cultural resources advisors for review.

Of particular concern is a project first proposed in 1999 to construct an accessible boardwalk trail and highway underpass in EFMO's South Unit, connecting to the visitor center, and passing underneath a State highway in the direction of the Yellow River (including a bridge crossing the river). Tribes were informed of the project, but the consultation letter focused primarily on the bridge crossing, not a system of elevated boardwalks that were to be connected to it or its relationship to the prehistoric earthworks. The SHPO responded with a two-page letter dated

August 13, 1999, saying it required more information on location of architectural and archeological resources before it could make a determination of effect. The SHPO concluded by stating, "When you have determined what types of historical properties are located within the project property and the significance of the properties in consideration of the National Register of Historic Places criteria, our office will be able to provide further comments on the proposed project."

It was the finding of the OE report that the SHPO's letter was relegated to EFMO files without a response. In 1999, there was an archeological survey in the immediate boardwalk path (Scott Stadler and Bob Nichol, Midwest Archeological Center, 2000). Shovel tests were performed at 10 meter intervals. The tests produced evidence for three concentrations of artifacts within the proposed boardwalk alignment. A trip report by Scott Stadler, dated October 29, 1999, recommends that construction be monitored by an Archeologist. The trip report was distributed to the Superintendent. The construction project, however, proceeded to completion without section 106 clearance. Further, in the fall of 2008 and early spring of 2009, EFMO began constructing a new boardwalk link from the existing boardwalk to the nearby culturally sensitive Lewis Mound area. Again, this was done without preparation of an Assessment of Effects form, consultation with EFMO's CRM Team, or any subsequent standard consultation with either the SHPO or Tribes. In addition, the boardwalk construction in 2008-2009 deviated from the route surveyed by Stadler and Nichol in 2000. While construction literally took place at the time of the OE team's visit, once the determination was made that no NHPA review had taken place, the park Superintendent was advised by the OE team leader to issue a stop-work order halting all contract-related construction activity of the new boardwalk segment.

Among other section 106-related deficiencies discovered by the OE team was a "Temporary Maintenance Structure" measuring 26 by 36 feet in EFMO's North Unit. Survey results by EFMO paraprofessional archeologists were prepared only after construction took place. The area of impact was adjacent to and highly visible from mounds in an area that had experienced prior disturbance by crop and livestock farming and where EFMO had added 8 to 10 inches of gravel to accommodate a maintenance yard. Twenty-two posts were installed at a 4-foot depth and a rounded corrugated metal building was erected, tied to a concrete foundation sill. Again, this undertaking took place without benefit of NHPA review, including consultation with its CRM Team. It resulted in construction of a modern building within a National Register-eligible landscape with no evaluation of its impact to that cultural landscape.

Notwithstanding violations of section 106 compliance review, EFMO has been seriously at odds with the intent of the National Environmental Policy Act (NEPA) and National Park Service policies pertaining to conservation planning and decisionmaking (DO-12). Actions have proceeded without appropriate analysis of environmental impacts or the consideration of an interdisciplinary team review of the projects prior to proceeding. In order to correct both NHPA and NEPA deficiencies, a team of planning, cultural and natural resources professionals conducted training June 8 through 10 at EFMO for the entire park management team.

In the ensuing months, the following has occurred:

1. Delegation of authority for section 106 to the Superintendent has been rescinded, and regional CRM specialists are overseeing all NHPA-related activities.

2. Effigy Mounds was directed to reassign collateral-duty Park Section 106 Coordinator responsibilities from the Chief of Maintenance to another staff member to avoid the inherent conflict of interest (EFMO selected the term-appointment Curator).
3. Effigy Mounds established an interdisciplinary team which meets regularly to review projects and ensure all NHPA and NEPA requirements are met.
4. Reinstated the in-house Agency review for section 106 by utilizing the "Assessment of Actions Having an Effect on Cultural Resources" and circulating it for CRM Team review and comment. A form will be prepared for every undertaking performed in EFMO in sufficient time prior to project implementation and circulated for review. All undertakings will be forwarded to the SHPO and affiliated Tribes for standard section 106 review.
5. All actions requiring documented NEPA categorical exclusions or higher need to be reviewed by the Regional Environmental Coordinator before proceeding, to confirm the documentation is complete and the decision is in line with policy. This directive will remain in effect until such time as EFMO can consistently demonstrate an understanding and adherence to DO-12.
6. A General Management Plan planning process is being reconstituted to ensure alternatives reassess the level of desired development at EFMO and fully disclose potential impacts of the alternatives.
7. Removal of the above-grade "Temporary Maintenance Structure" and associated equipment in the North Unit.

In a July 20 meeting in Omaha, regional managers informed the Iowa SHPO of the OE findings; and in subsequent weeks, site visits were made to EFMO to observe onsite conditions. On November 17, regional CRM specialists held an onsite consultation meeting with both the Tribes and the SHPO, explained the above chain of events, and toured the areas of concern. Manager Mark Lynott, Midwest Archeological Center (MWAC) proposed a 2-year archeological assessment of the area and invited comment. The goal of this research is to identify areas where intact archeological resources may still be present, and areas that either lack archeological resources or areas which have been sufficiently disturbed that they no longer have archeological significance. This assessment will help determine impacts of existing facilities to the prehistoric landscape, including from boardwalk construction at Lewis Mounds. Tribal representatives did not object to the plan for geophysical surveys, but several expressed concern about soil coring and testing. Iowa SHPO Jerome Thompson said he felt archeology needed to be a central component of long-range planning for EFMO and not simply a response to individual developments. The SHPO Archeologist Dan Higginbottom said that regardless of the impacts of the boardwalks to archeological resources, the boardwalks are an intrusion on the cultural landscape and represent an adverse affect. Further, the SHPO stated that until EFMO can demonstrate NHPA adherence, they want to review all section 106 actions, and we agreed to

perform standard section 106 review for actions that otherwise would be eligible for the streamlined process as provided by the 2008 Programmatic Agreement.

The archeological assessment will commence next spring. Tribal representatives have been invited to observe and participate, and a late May 2010 meeting is proposed to share some results of the geophysical studies with the Tribes and the SHPO. We are preparing section 106 compliance review on the proposed 2-year archeological survey. The SHPO, State Archeologist, and Mark Lynott have expressed concern about further damage to resources through removal of subsurface components of the boardwalks and maintenance structure. There is consensus that a decision on how to mitigate subsurface components would be postponed until MWAC can study the problem and recommend a solution. We are also preparing an Assessment of Effects (AOE) form for removal of the above-ground portions of the new boardwalk alongside the Lewis Mound Group. This is necessary to provide clear space for the use of remote sensing equipment by the archeological survey crew. The AOE form will be sent to affiliated Tribes for consultation. The MWR Associate Regional Director for Cultural Resources will consult directly with the Iowa SHPO on this AOE.

I can assure you that the problems at EFMO are now being addressed, and that I, along with my regional cultural resources professionals, will be actively involved in decisionmaking to solve these serious deficiencies and return the park to compliance with policy and law.



cc:

WASO—Deputy Director, National Park Service

**Effigy Mounds National Monument
Operations Evaluation
April 27-May 1, 2009**

Team Leader: Jim Loach
Park Superintendent: Phyllis Ewing

Team

Team Leader/Management	Jim Loach, MWRO
Administration:	Nancy Sanchez, SACN
Information Technology	Jeff Weber, MWRO
Interp/Edu/VIP/Coop. Assn.:	Tom Richter, MWRO
Cultural Resource Mgmt:	Ron Cockrell, MWRO
Natural Resource Mgmt:	Chris Holbeck, VOYA
Maintenance/FMSS:	Wolf Schwarz, BADL
Editor:	Ramona Turner, MWRO
Editor/Coordinator/Mgmt:	Mary Chandler, MWRO
Ranger Activities/Security:	Hugh Dougher, MWRO
Environment/Hazmat:	Mary Rozmajzl, MWRO
Wildland Fire Mgmt:	Paul Mancuso, MWRO
Wildland Fire Mgmt:	Cody Wienk, MWRO
Compliance:	Hector Santiago, MWRO
Safety: (offsite)	Dickie Brown, MWRO
Lands: (offsite)	Dewayne Prince, MWRO

Logistics:

Team members traveled to Prairie du Chein, Wisconsin, on Monday, April 27, 2009, arriving late afternoon and early evening. Upon arrival, team had their evening meal; then met in the hotel lobby to ensure everyone arrived. On Tuesday, the team held an introductory meeting with park staff and Superintendent Ewing. Team members and some park staff departed for a tour of the park. After lunch, some team members continued the park tour while others met with park personnel who were only available for interviews at that time. Tuesday afternoon and evening, team members reviewed the employee surveys. Wednesday morning, review of the employee surveys continued and team members met with their respective division chiefs and staff members. Interviews were wrapped up Thursday morning, and the report was finalized. Friday morning the Superintendent and park staff was briefed on the team's evaluation findings. Later that day, the team members returned to their duty stations.

Legislation:

Presidential Proclamation 2860 was signed by President Harry S Truman and established Effigy Mounds National Monument because of "...earth mounds in the northeastern part of the State of Iowa known as Effigy Mounds are of great scientific interest because of a variety of their forms, which include animal effigy, bird effigy, conical, and linear types, illustrative of a significant phase of the mound-building culture of the prehistoric American Indians..."

The proclamation also included this statement: "Warning is hereby expressly given to all unauthorized persons not to appropriate, injury, destroy, or remove any feature of this monument and not to locate or settle upon any of the lands thereof."

- Public Law 87-44 added 272 acres of land to the monument, "...for the purposes of preserving certain prehistoric Indian mounds and protecting existing wildlife and other natural values..."
- Public Law 106-323 allowed for additional lands (Ferguson/Kistler Tract and the Riverfront Tract) to be purchased from willing sellers and adjusted the monument boundary to include these lands. The Ferguson/Kistler Tract is now called the Heritage Addition.

Park Background Information:

Effigy Mounds National Monument was established on October 25, 1949. Subsequent legislation expanded the purpose and significance by specifying the wildlife, scenic, and other natural values of the area. The monument is located on the bluffs and floodplain of the Mississippi River. Elevation of the monument varies from about 615 feet above sea level at Sny Magill, to just over 1,000 feet in the western part of the Heritage Addition. Surface topography around Effigy Mounds is composed of abruptly rising bluffs, deep valleys, and relatively flat ridge tops.

Effigy Mounds park lands is nestled between two States (Iowa and Wisconsin) with the Mississippi River bordering the park on the eastern boundary and the Yellow River flowing with the park boundaries. The monument is associated with 12 American Indian Tribes and has alliances with U.S. Forest Service, U.S. Fish and Wildlife Service (USFWS) and Iowa Department of Natural Resources (DNR). The monument is also in the boundary of Silos and Smokestacks—a National Heritage Area. Land surrounding the monument belongs to the USFWS and private landowners. Land uses in the area include agriculture (farming and livestock grazing), rural development, resources management, recreation, and transportation.

Many of the mounds in the monument are known to be American Indian burial mounds. They are in a variety of forms, including effigy (animal-shaped), linear, conical, and compound (a combination of conical and linear elements). The monument contains 209 mound sites, of which 31 are in the form of bear and bird effigies. The mounds represent three known Woodland mound building cultures: Red Ochre, Hopewell, and Effigy Mounds Builders.

The monument's authorized boundary was expanded in 1961 and again in 2000; it now encompasses a total of 2,526 acres in the North, South, and Sny Magill units, and the Heritage Addition. Each unit is unique in its own measure. The North and South Units overlook the Mississippi River from adjacent bluffs beside the monument. The North Unit contains the monument's headquarters, maintenance facility, and visitor center. The South Unit contains the renowned Marching Bear Group of mounds. The Sny Magill Unit, lying in the Mississippi River floodplain, 11 miles south of the headquarters, is a 141-acre unit that contains 50 percent of the mound sites with over 100 mounds identified, the nation's largest extant concentration of Prehistoric Native American Indian mounds in public ownership. The Heritage Addition is a 1,045-acre unit that was added in 2000, increasing the monument's land base by 70 percent. This addition contains forested uplands and bottomlands with savannas and goat prairies on southern exposures.

Mission:

Effigy Mounds was established to preserve outstanding examples of significant phases of prehistoric American Indian mound building cultures; to protect wildlife, scenic, and other natural values of the area; and to provide for scientific study of its features—for the benefit of this and future generations.

The mounds within the monument represent three known mound-building cultures. Four distinct mound types are present, including outstanding examples of effigy, or animal shaped, mounds and one of the largest concentrations of extant mounds in North America. The mounds are a legacy of the belief systems and practices of prehistoric, indigenous peoples.

The landscape of the monument reveals evidence of a continuum of cultures and their relationships to the environment over a span of at least 2,500 years. The monument's varied land forms and habitats, characteristic of the unglaciated "driftless zone," provide exceptional diversity of plant and animal species. These natural resources are important both for understanding past lifeways which depended on them and monitoring the health of present ecosystems.

The monument preserves a collection of 14,000 artifacts which provide physical evidence of mounds no longer extant and a significant body of material culture related to the region's mound builders and the sites preserved within this unit of the National Park System. The archival collections of the monument document the beginnings of scientific interest in the mounds and the important contributions of Ellison Orr and others to modern understanding of the mounds and the cultures that produced them.

Operations Evaluation Effigy Mounds National Monument Midwest Region Key Indicators and Core Standards

FACTOR 1: PARK LEADERSHIP & MANAGEMENT

Standard 1.1: The Unit has a current 5-year Strategic Plan that is consistent with the Servicewide Plan, clearly reflects the unit's mission, and is developed through an inclusive, participatory process.

Key Indicators:

- A. *Performance management documents and plans are consistent with one another, comprehensive, and are actually used to make decisions.*
- B. *Superintendent leads employees, park users, partners, stakeholders and elected officials in the development and revision of a unit's Strategic Plan. The participants believe their contributions were considered.*
- C. *Superintendent and management team annually reviews the unit's Strategic Plan.*
- D. *The Unit has an Annual Work Plan that identifies those tasks necessary to achieve each Annual Performance Goal. Each unit supervisor routinely uses the Annual Work Plan and can explain the relationship between Annual Work Plan tasks and the Unit's Annual Performance Goals.*

Findings:

- **The park Strategic Plan dated October 1, 2008 – September 30, 2012, was prepared by the park management team which includes the Administrative Officer, Chief of Maintenance, Chief of Interpretation and Visitor Services, Natural Resource Manager, and the Superintendent.**
- **The park Strategic Plan feeds into the GPRA Goals. The park Division Chiefs have individual input in the development of the GPRA Goals and plan.**
- **The park works within their 85 percent plan.**
- **The park went through the Core Operations process.**
- **The Administrative Officer prepares the Annual Performance Plan with input from the Management Team and ensures that the 5-year plan is updated as required.**
- **No annual work plan; this part is not needed per regional instructions.**

Recommendations:

- **Management staff should work as a team to develop park plans.**
- **The planning documents should follow regulatory processes.**
- **Management Team should take an active part in writing Annual Performance Plans and use these as management tools to accomplish the park's mission.**

Standard 1.2: Unit leaders ensure budget and resource requests, allocation decisions and expenditures support identified unit wide goals.

Key Indicators:

- A. *The Unit management team cooperatively determines unit goals and priorities, and requests and allocates funding to accomplish them.*
- B. *The Annual Performance Plan accurately reflects unit priorities and is linked to the budget. A process is in place to track expenditures against the goals.*

Finding:

- **The AFS3 GPRA Crosswalk links into PMDS and is used to track expenditures and FTE to goals.**

Recommendations:

- **Ensure all divisions involved in projects are informed in a timely manner of dates and needs for assistance in order to plan for timely work scheduled.**

- **Ensure that employees understand the budget process and priorities of the park as a whole, not limited by division.**
- **Although it appears that the Annual Performance Plan is linked to the park's priorities, the budget allocations do not reflect it. For example, cultural resources funding in the CZY account code is only \$2,000. The \$2,000 is a very small amount for museum standards and cultural landscapes. However, there is \$30,700 in the Maintenance budget MWL and MZL accounts for cultural resources.**

Standard 1.3: The Superintendent and management staff actively involves partners and stakeholders on issues of mutual concern.

Key Indicators:

- Proper agreements are in place where required.*
- Unit partners, stakeholders, and Congressional delegations are informed on issues of importance and are invited to participate in decision making, where appropriate.*
- Unit participates in local community programs and activities, including local land use and preservation planning.*
- Relationships with park foundations and "Friends" groups are managed in accordance with relevant Director's Orders.*

Findings:

- **The Superintendent and staff participate in various community activities and meetings such as:**
 - **Midwest Region Heartland Network BOD member for 3 years and now Chairman Mississippi River Trail program.**
 - **Silos and Smokestacks National Heritage Area Chair of the Partnership Panel (the first 6 formative years of the Silos program.)**
 - **Silos and Smokestacks National Heritage area currently NPS Liaison to BOD.**
 - **Speaking Circuit – churches, clubs, and Memorial Day ceremonies.**
 - **Church Elder and Human Resource Committee Chair.**
 - **Chamber of Commerce Prairie du Chien, Wisconsin, committee member 6 years and chair 1 year.**
 - **Chamber of Commerce Waukon, Iowa, Chair and organizer of annual downtown event “Christmas Windows.”**
 - **Rotary International – Paul Harris Fellow twice.**
 - **Title-Community involvement.**
 - **Advisory Council for “Office of the State Archeology.”**
- **The Administrative Officer participates in/serves on:**
 - **Administrative Payment Team.**
 - **Assists regional office when requested for Budget and Fee Reviews.**
 - **Timekeeper and Finance Section Chief for All-Risk Teams.**
- **The park does not have a “Friends” group.**

Recommendations:

- **Continue to foster good working relations with partners and stakeholders.**
- **Continue to educate the community, partners, and stakeholder toward understanding the NPS mission and goals.**

Standard 1.4: The work environment is free of harassment and discrimination.

Key Indicators:

- Discrimination and harassment situations are immediately addressed with the intent to resolve them quickly and fairly at the lowest possible level, through a variety of appropriate methods.*
- Follow-up/remedial actions are identified and implemented to eliminate future causes of complaints.*

Findings:

- **Equal Employment Opportunity (EEO) posters which identify EEO Counselors and phone numbers are posted at Headquarters in the break room. No known issues were reported.**
- **The park staff receives mandatory online “Discrimination and Whistleblowing in the Workplace” training through DOI Learn.**
- **There have been no formal cases of discrimination and/or harassment reported.**

Standard 1.5: The Superintendent seeks diversity in all aspects of unit management and operations.

Key Indicators:

- A. The Superintendent aggressively seeks and supports a wide variety of experiences, perspectives and backgrounds to support creative problem solving and management.*
- B. Management ensures that high quality, on-going education about improving diversity and maintaining a discrimination free workplace is provided for all employees, supervisors and managers.*
- C. A current action plan is in use by all selecting officials to achieve parity with the civilian labor force among both permanent and temporary workforce.*
- D. Supervisory and management employees make full use of recruiting efforts, share recruiting resources, and participate personally in recruiting activities.*
- E. Unit programs, communications and visitor opportunities recognize and accommodate diverse audiences.*

Findings:

- **The park has had minimal vacancies for permanent positions over the past few years, but has targeted contacts for the purpose of diversity recruiting which includes mailing vacancy announcements to various diverse contact areas such as:**
 - **Women Working, Detroit, Michigan**
 - **Tools for Tomorrow, Madison, Wisconsin**
 - **Women in the Trades, St. Paul, Minnesota**
 - **Women Venture, St. Paul, Minnesota**
 - **Job Corps.**
 - **Heart of America Indian Center, Kansas City, Missouri**
 - **Museum of the Plains Indians, Browning, Montana**
 - **Colleges and Universities such as: Western Wisconsin Technical College, Northeast Iowa Community College, Luther College, Upper Iowa University.**
 - **Other agencies such as: U.S. Fish and Wildlife Service, Bureau of Indian Affairs, Bureau of Land Management, Bureau of Reclamation, U.S. Army Corps of Engineers.**
- **The Student Temporary Employment Program (STEP) hiring program is being utilized which allows the park to reach diverse populations and young people.**
- **The park has utilized the Student Career Experience Program (SCEP) hiring program for two positions.**
- **The park supports a Youth Conservation Corps (YCC) program utilizing the local students for projects which also creates awareness of the National Park Service and Effigy Mounds to the local area families.**
- **Discrimination training is required for all employees each year and the Administrative Officer ensures all employees complete such training.**
- **A current diversity action plan has been completed and has been sent to the regional office for review and approval.**
- **Employees attend job fairs and use all other recruiting tools to entice diverse candidates to apply for positions within the park**
- **Since Native American Graves Protection and Repatriation Act (NAGPRA) was implemented, the Tribes have come to the park more often and the American Indian Festivals at the park focus on one of the 12 Tribes each year.**

FACTOR 2: FACILITY & LANDSCAPE PLANNING, REHABILITATION AND DEVELOPMENT

Standard 2.1: All projects conform, where required, to Servicewide guidelines pertaining to sustainability, value engineering and other priorities.

Key Indicators:

- A. *Projects are developed through a process that reflects prioritized needs as identified in current planning documents.*
- B. *Developmental Advisory Board (DAB) "Record of Decision" is on file and projects largely conform to the "Decision."*
- C. *Projects incorporate appropriate accessibility requirements.*
- D. *Energy conservation, recycling and other sustainability practices are considered in all projects.*
- E. *Park submits effective funding requests for line item construction, Federal Lands Highway Projects (FLHP), and other development and construction programs.*
- F. *All development projects and planned maintenance activities are very carefully weighed to minimize impact on park resources; new facilities are sited to reduce impacts and increase sustainability; and redundant facilities are removed whenever possible, unless they have gained historic significance in their own right.*

Findings:

- **Maintenance staff is pleased with their jobs and grades. Employees are very qualified to perform the tasks required of them. They are very committed to the park and take initiative to complete work. Despite high levels of dedication, the seasonal/temporary nature of the entire maintenance staff is preventing consistent facility maintenance where all programs receive attention as expected by NPS standards. Staff is required to perform multiple collateral duties which dilute their effectiveness in any one-skilled trade.**
- **The park is starting to utilize many "green" chemicals and materials.**
- **There are no recent projects that required Development Advisory Board (DAB) review.**
- **Staff is unfamiliar with Job Hazard Analysis (JHA) creation and the location of completed ones.**
- **Projects are designed with accessibility in mind but may not meet the latest regulations.**
- **The park is attempting to retrofit many facilities with "green" and energy-conserving devices such as on-demand water heaters, motion-detection light switches, solar gate opener, utilizing biodiesel, and replacing incandescent bulbs with compact fluorescent bulbs. No newer construction plans are currently at a stage to highlight energy conservation.**
- **Project design is based on individual experience of the Facility Manager and staff for scope they feel is within their skill base.**
- **The Facility Manager reviews projects and signs the National Environmental Policy Act (NEPA) categorical exclusion forms independently. The Facility Manager initiates 106 Compliance when he deems necessary.**
- **Physical security on the water well was absent with the storage tank also being only "dummy" locked.**
- **The Facility Manager performs multiple collateral duties: Safety Officer, Accessibility Coordinator, Hazard Tree Coordinator, Contracting Officer's Technical Representative (COTR), Licensed Water System Operator, 106 Compliance Coordinator, Fleet Manager.**
- **The propane tank adjacent to the maintenance shop is inadequately protected from vehicle impact. Bollard spacing allows conventional vehicles to come into contact with the tank. The ends of the tank are completely exposed. High pressure piping from the tank shutoff is rigid. The meter attached to the maintenance shop piping is supported with a loose 4"x4" timber and is not guarded from vehicle traffic.**
- **Floor drain in mechanic shop lacks an oil water separator and drains into the septic system.**
- **All maintenance shops have personnel protection equipment (PPE) lockers immediately behind all stationary power equipment.**
- **Safety is mentioned by all staff as a high priority in all work.**
- **A brief survey of maintenance facilities found several safety issues that the staff assured the team would be corrected immediately.**

- A good protection practice for cultural resources is demonstrated by all staff who mows the mounds. They watch for ground conditions that are too soft to support equipment and limit mowing cycles to control herbaceous growth only.
- A ¾-ton pickup truck was loaded with a slip-in, fire-suppression pump unit grossly overloading the vehicle. Additionally the unit grounding was inappropriate, it was not secured to the vehicle and the tailgate was forced to remain open by the unit's size.
- Aging Department of the Interior-owned fleet vehicles are actively being utilized.
- Storage is at a premium in the park. Decommissioned housing is being utilized for this purpose as well.
- A Hazard Tree Plan exists; but due to staffing shortages, the trees are dealt with in an inconsistent manner.

Recommendations:

- Install additional bollards around the tank and add a braided, stainless flexible connector between POL and rigid piping. Add an Occupational Safety and Health Act (OSHA)-compliant step in front of the fill port to prevent the use of bricks and rocks to gain access, preventing someone from slipping and accidentally stepping on the long, rigid pipe run which could result in pipe joint failure.
- Install protective bollards around the propane meter at the maintenance shop and add a bracket to support the meter.
- More time should be allocated to addressing hazard trees along primary visitor areas.
- Enter an OFS request for a dedicated position or assign responsibility to individual staff member other than maintenance to performing compliance. This position would provide an unbiased review and checks and balances in the compliance process and remove personal liability from the Maintenance Division. This person would assure that compliance was completed prior to the start of projects; the appropriate subject-matter experts would review all projects.
- Secure the water system to prevent system contamination from outside sources, unauthorized persons acquiring access to confined spaces, system operational valves and switches, preventing inadvertent exposure to the chlorination chemicals within the building and preventing accidental freezing of pipes if the door remains open. This is required by NPS policy.
- With the number of collateral responsibilities the Facility Manager performs, none can receive adequate attention. The position should be reviewed and rewritten to limit the accretion of duties.
- Move the responsibilities for physical security and Collateral Duty Safety Officer to the Protection Division.
- Train more staff as COTRs to assure more thorough oversight of projects.
- Secure/block the floor drain in the mechanic shop to prevent injection of oil into the ground until an environmentally compliant solution can be constructed.
- Water conservation may be improved with the installation of waterless urinals and low-flow toilets.
- Immediately cease utilization of the pickup truck with the slip fire-suppression unit. Potential alternatives would be to partner with parks that have a type-6 engine.
- Consider converting entire light-duty fleet to General Services Administration (GSA) leases. The conversion will prevent operating old, difficult-to-maintain vehicles, replacing them with more fuel-efficient, safer and reliable ones on a maximum 6-year lifecycle. True cost of ownership would be borne upfront so those costs need to be defrayed through an Operational Formulation System (OFS) increase to base. The region currently recognizes the need for all parks to make this conversion and is very supportive of these types of base-increase requests.
- All items currently in storage should be evaluated for usefulness. The material in storage that will not be needed within a reasonable period of time or is unused should be disposed of in accordance with property regulations. Stock of cleaning, as well as other supplies, needs to be limited to reduce the space requirements. For example, supplies at the Visitor Center should not exceed a week supply and replenished from a central location. This will free space and assure stock rotation.
- Adequate staffing levels need to be retained to support current and planned facilities. The construction plans for all facilities need to be accompanied with an operation and maintenance plan that does not add

additional duties to existing staff. If that cannot be accomplished, the levels of service being provided should be evaluated and reduced to core levels where adequate levels can be maintained.

- The JHAs should be written by subject-matter experts; i.e., the persons performing the work. They are the closest to the process and can be the most thorough in writing these documents. Final approval would then occur through the Facility Manager to provide checks on the work. This procedure will result in familiarity with the JHA by the staff, encourage participation, and promote overall safety when these documents are available to employees new to an operation or procedure.

FACTOR 3: COMMERCIAL SERVICES MANAGEMENT

Standard 3.1: All concession contracts (category I, II, III) Commercial Use Authorizations and leases are current, incorporate standard contract language, and are consistent with park planning documents. Concession development is limited to that necessary and appropriate for public use and enjoyment of the area, consistent with resource preservation and conservation.

Key Indicators:

- A. Planning, related compliance, and development of all commercial authorization requirements are initiated no later than 18 months prior to expiration of an existing contract.*
- B. Park determines the appropriate level and authorization requirements of commercial services and activities based upon current planning documents.*
- C. Contracting personnel certified in the level of contracting appropriate for the authorization develops contracts.*
- D. Insurance coverage and land, buildings, personal property, and other property assignments comply with the terms and conditions of the Concessions Contract.*
- E. Park uses Commercial Use Authorization (CUA) process effectively. Staff and visitor feedback indicates no unrelated commercial activity or unacceptable resource impacts.*

Finding:

- **The park does not have concessions contracts.**

Standard 3.2: Concession operations are safe and meet NPS customer service quality and Public Health standards. Annual safety, health, fire, and environmental inspections are conducted by a qualified inspector, and all identified deficiencies are corrected within the required timeframes.

Key Indicators:

- A. Visitor survey data shows that visitor satisfaction with commercial services is at least 70% with no negative impact on park resources.*
- B. There are no reported cases of food or water-borne illness or other public health hazards.*
- C. Documented processes exist for monitoring and inspection for concessionaire.*
- D. Compliance with standards. Inspection reports are complete, current, accurate and readily available for review and follow-up.*
- E. Inspection reports indicate timely resolution of identified deficiencies.*
- F. Inspectors training records are current. Inspectors' training meets NPS and Public Health Service (PHS) training requirements.*

Finding:

- **The park does not have concessions contracts.**

Standard 3.3: All concession fees are collected on time and funds are allocated and accounted for in accordance with NPS financial standards. Concessionaire rate requests are evaluated and approved in accordance with Director's Order #48: Concession Management and Commercial Use Authorizations.

Key Indicators:

- A. Projects funded from franchise fee money are monitored regularly, and are in compliance with concession management program guidelines.*

- B. *No Leasehold Surrender Interest is granted for projects funded from franchise fee funds or Maintenance Reserve Accounts.*
- C. *Contract Operating Plan clearly identifies current and updated rates, and timeframes for approval of rate requests. Only properly trained and certified personnel approve rates.*
- D. *Park records indicate that rates are approved within the timeframe identified by the current contract Operating Plan Park records document annual review of insurance coverage and land assignments.*
- E. *The Building Asset Management Program is documented, current, and in compliance with the contract.*
- F. *Park records document and account for commercial use fees commensurate with identified management and administrative costs.*

Finding:

- **The park does not have concessionaires.**

Standard 3.4: All activities authorized under Commercial Use Authorizations have minimal impact on park resources and values, and are consistent with NPS mission and the fundamental purpose for which the unit was established.

Key Indicator:

- A. *Park uses Commercial Use Authorization (CUA) process effectively. Staff and visitor feedback indicates that permittees are not engaging in unrelated commercial activity nor are permittees' activities producing unacceptable resource impacts. All commercial activity within the park is conducted under a current, complete, approved CUA.*

Finding:

- **The park does not have any Commercial Use Authorizations.**

FACTOR 4: FACILITY MANAGEMENT

Standard 4.1: Public facilities are well maintained, clean, and serviceable.

Key Indicator:

- A. *The unit achieves the level of visitor satisfaction with facilities and services identified in the Strategic Plan.*

Findings:

- **The Visitor Center was clean and well maintained.**
- **Visitor survey results for the past year indicated a 100 percent satisfaction rating!**

Recommendation:

- **Continue with what you are doing that creates this high level of satisfaction.**

Standard 4.2: A maintenance management program and condition inventory is maintained for all park assets (structures and landscapes).

Key Indicators:

- A. *A procedure exists to conduct periodic inspections of all park assets (structures, infrastructure, equipment, vehicles, landscapes etc.) and identify maintenance needs.*
- B. *The current annual work plan reflects the needs identified in a comprehensive and up to date condition inventory and other planning documents.*
- C. *The condition inventory is used as a guide for requesting funding from all potential sources for future year planning.*

Findings:

- **The park created a STF position to begin addressing FMSS system requirements as one of their duties.**
- **Data entry was limited to the Facility Manager and a collateral duty for one subject-to-furlough employee.**

- The park assets are inspected annually utilizing the Contracting Advisory Council (CAC) and Capital Asset Accounting (CAA) process from the maintenance management system. The results generate work orders and the work is scheduled.
- Because of the complexity and system errors resulting from the conversion to the latest version of the maintenance management software and the rollout of the project bridge, no new projects were requested in PMIS during this past budget call.
- The park has 46 assets in FMSS. Some assets have a facility condition index (FCI) greater than 1.
- The system contains deferred maintenance (DM) work orders for construction projects.

Recommendations:

- Review work orders associated with assets that are creating an incorrect FCI score.
- Develop a plan to deal with assets designated for removal.
- Construction projects are not deferred work types and should be re-described.
- Pursue hiring a fulltime FMSS Coordinator that can focus on data input all year and perform quality assurance checks on the program.
- Develop a business plan for maintenance management that defines how and when work orders are created, how assets are described, as well as how all work in FMSS is accomplished.
- Send employees, including seasonal ones, to FMSS training to give them enough training that will allow them to enter their own labor reports. This level of understanding would also help staff better understand modern facility management principles such as why preventive maintenance (PM) and CR maintenance will reduce backlog maintenance leading to better facility conditions.

Standard 4.3: The management of the park housing program conforms to housing policies.

Key Indicators:

- Park housing is adequate to meet the needs of the park.*
- The park maintains and follows an approved housing management plan.*
- Housing accounts are established and records of income and expenditures are maintained for each housing unit.*

Finding:

- The park has park housing (2 units) but neither are used as quarters. The Superintendent stated that local housing was below the Government housing rates and it was more economical for the seasonal employees to rent locally. Some of the park staff felt there is a need for seasonal housing at the park. The park is considering alternative uses for the park housing units.

Recommendation:

- Use or non-use of park housing may need further review with assistance from the regional office.

Standard 4.4: Dams under NPS ownership are inventoried, regularly inspected and maintained.

Key Indicator:

- Individual folders for each dam are current, accurate and contain records of inspection and maintenance.*

Finding:

- The park does not have dams.

Standard 4.5: Park facilities and programs are accessible to visitors.

Key Indicator:

- Park has a current accessibility plan and any identified deficiencies are addressed by a mitigation strategy.*

Findings:

- The park does not have a current accessibility plan.

- The Accessibility Coordinator was trained over 10 years ago with no refresher or update training since then.

Recommendations:

- Create an accessibility plan for the park that identifies a strategy to mitigate the deficiencies identified in the contracted accessibility review.
- Send the Coordinator to refresher/update training.
- Conduct a study to establish standard for trail surfacing that will permit accessibility. Trails currently vary from woodchip surfaced to boardwalks or compacted rock. The result should reflect the best environmentally friendly and durable design.

FACTOR 5: RESOURCE AND VISITOR PROTECTION

Standard 5.1: Agreements with local law enforcement agencies are reviewed annually to determine need and viability.

Key Indicators:

- Mutual aid agreements with local agencies are current and on file.*
- Training records show joint training exercises with cooperating agencies.*
- In areas of concurrent jurisdiction, jurisdiction agreements between the park and the state are current.*

Finding:

- **In compliance.**

Standard 5.2: Park law enforcement operations meet NPS and Department of Interior policies and procedures.

Key Indicators:

- All commissioned personnel and newly hired protection personnel have current Office of Personnel Management (OPM) background checks and medical evaluations against approved standards.*

Finding:

- **In compliance.**

- All commissioned law enforcement personnel have met established firearms proficiency certification*

Finding:

- **In compliance.**

- A current law enforcement needs assessment program is maintained onsite.*

Finding:

- **Deficient. No current Law Enforcement Needs Assessment (LENA).**

- Staffing is adequate to ensure protection of resources, the public, employees and property. Deficiencies are in current OFS request.*

Finding:

- **Unknown. No current LENA or Visitor Resource Assessment Program (VRAP) to reference.**

- Defensive equipment conforms with established guidelines.*

Finding:

- **In compliance.**

F. Dispatch, radio and telecommunication services are adequate to ensure protection of personnel and availability of back up. Criminal offenses and incidents are reported within specified time frames and follow up investigations are conducted, completed, and cases cleared.

Findings:

- **Deficient. Park has made progress since the 2008 Law Enforcement audit in that an agreement with the sheriff has been implemented by which the Protection Ranger is authorized to use the county's mutual aid channel. The park intends to obtain approval to use the county law enforcement channel once a law enforcement vehicle is acquired.**
- **The park does not provide general staff radio communications support outside business hours.**

G. Criminal offenses and incidents are reported within specified time frames and follow up investigations are conducted, completed, and cases cleared.

Finding:

- **In compliance.**

H. Required training is provided and documented.

Finding:

- **Deficient.**
- **Staff does not seem to understand the role or function of a protection program, in that: several employees provided written comments that law enforcement was not needed. However, the park has recurring law enforcement incidents, and the park has significant cultural resources sensitive to damage from criminal acts.**
- **Noncommissioned, untrained Maintenance personnel are routinely assigned vehicle "security patrols". Recently a Maintenance employee on one of these "patrols" conducted a law enforcement action in violation of law and policy.**
- **Non law enforcement employees respond to intrusion alarms in an unsafe manner.**
- **As the result of a professional investigation, the park recently received one 19jj civil compensation for restoration of a site damaged by dumping.**
- **Components of a functional protection program, such as physical and employee security, are deficient.**

I. The Superintendent and other key management staff have completed Law Enforcement for Managers.

Finding:

- **In compliance.**

J. Fleets (vehicles, vessels and aircraft) are available in adequate numbers, maintained and operated only within industry standards of safe working life; where appropriate, replacement requests have been submitted.

Finding:

- **Deficient.**
- **The Protection Ranger does not have a vehicle, and is limited to borrowing Maintenance or other vehicles if and when available. The Ranger is unable to perform duties due to this deficiency. The use of a borrowed vehicle without radio, law enforcement equipment, or markings is a significant safety concern.**
- **This deficiency was identified in the 2008 Law Enforcement audit. The park and MWRO Division of Law Enforcement & Public Safety have each located a NPS law enforcement vehicle which parks are willing to**

surplus to the park. The park has been told by the MWRO Fleet Manager it cannot accept either vehicle unless it agrees to transfer the vehicle to GSA and pay GSA lease costs. The park states it does not have the budgetary resources to pay these costs, especially as the vehicle will not be used year round (the ranger position is furloughed 5 months annually).

K. *The jurisdictional compendium is in place in accordance with DO 9.*

Finding:

- **In compliance. The park has an excellent jurisdictional compendium.**

L. *Protection Standard Operations Procedures are current, in place and available to the staff.*

Finding:

- **Deficient. The park has recently begun developing Protection standard operating procedures (SOP). An Alarm Response SOP must be developed as soon as possible to address a critical safety concern.**

M. *Protection staff is familiar with their park's primary resources, resource laws, resource violations and the current techniques and technology related to resource protection enforcement techniques.*

Finding:

- **In compliance. The Ranger is very knowledgeable with a Masters Degrees in both archeology and criminal justice, and is enrolled in a cultural resource management Ph.D. program.**

N. *Evidence is managed in accordance with accepted procedures as provided in RM-9*

Finding:

- **In compliance.**

Recommendations:

- **Update LENA and VRAP for use as guidance to determine appropriate Protection staffing.**
- **Continue efforts to obtain a properly equipped law enforcement vehicle and, once acquired, finalize agreement for county law enforcement channel access.**
- **Explore potential of establishing 24/7 dispatch support for all employees via Cuyahoga Valley or Indiana Dunes using radio-over-IP (RoIP) technology.**
- **Establish dialogue with all staff to develop a consensus as to what constitutes an effective and appropriate Protection program, and implement.**
- **Ensure all staff understand their individual and important roles in a Protection program, especially appropriate techniques to contact and educate potential violators, and how to document and report such occurrences.**
- **Regularly involve the Protection Ranger in management meetings and planning processes to ensure Protection concerns and perspectives are identified and considered.**
- **Cease Maintenance "security patrols"; and at management discretion, replace with facility condition inspections.**
- **Promptly establish and implement written procedures for intrusion alarm response.**
- **Identify and develop essential Protection SOPs.**

Standard 5.3: Physical security resources are maintained to ensure protection of government property and facilities and visitor and employee safety.

Key Indicators:

- A physical security plan developed by a trained physical security coordinator is current and in place.*
- Intrusion systems in all vulnerable facilities (including concessionaires) are in place and functioning properly.*

C. *Personnel are trained about personal safety practices and violence in the workplace.*

Finding:

- **Deficient. No physical security plan. Non-law enforcement personnel continue to respond to intrusion alarms without safety precautions, despite January 2008 Law Enforcement Audit identifying problem and directing park to develop SOP. A key cultural artifact, the New Albin Tablet, may be inadequately protected. The park's computer server is accessible to public through an unlocked and unmonitored door. There have been recent incidents when the Headquarters/Visitor Center front door was discovered unlocked in the mornings. Several staff expressed their concerns regarding personal safety when opening/closing the facility.**

Recommendation:

- **Initiate process to develop an effective physical security plan by conducting a Physical Security Assessment using the Midwest Region's template available on the Ranger Activities page of the LE & Public Safety, MidwestNet Web site. Involve park staff in crafting and implementing solutions to deficiencies discovered by the assessment. Formalize and implement a physical security plan incorporating these solutions.**

Standard 5.4: Special park use program is managed to prevent impairment of park resources and in conformance with park purpose and mission.

Sources:

Key Indicators:

- A. *Park establishes impairment to the resources as the initial filter for denying or allowing requests for special uses.*
- B. *Park maintains an administrative record showing the decision matrix used to grant or deny requests for special use permits, pertinent documentation and observations associated with the use, and costs and/or reimbursements.*

Finding:

- **In compliance.**

Recommendation:

- **Continue current practices.**

FACTOR 6: INTERPRETATION AND EDUCATION

Standard 6.1: Interpretation and education programs supports parks mission and goals.

Sources:

Finding:

- **The park's Interpretation and Education Program has a Servicewide reputation for excellence and innovation. It accomplishes a remarkable amount of services and programs that support the park's mission and goals with a minimum amount of staff and resources. This success takes place primarily through the participation of partner groups and outside experts, the support of grants and donations, and the heroic efforts and leadership of the division chief and his seasonal staff.**

Key Indicators:

- A. *The interpretation and education program addresses core park themes and is relevant to a variety of audiences and effectively addresses the park's most critical management issues and objectives.*

Finding:

- As part of the recent *General Management Plan* (GMP) process, the park created new interpretive themes that show great promise for enhancing the personal impact of interpretive experiences at the park. Interpretive programs and services relate to a variety of audiences with different levels of interest and different ages. Training stresses the need to incorporate critical resource issues into interpretive programs. Issues include invasive species, removal of timber from park land, restoring the cultural landscape, prescribed burns, and public access to park resources. 2 ½ days of joint seasonal training between the divisions helps to emphasize the critical resource issues. Training trips to other archeological sites and partner sites emphasizes the wider scope of park themes beyond park boundaries. Interpretation of the interaction of natural and cultural resources offers the public with a holistic view of the meanings, significance, and relevance of park resources. The park excels in its programs and services for children including a Junior Ranger Program, children's corner in the Visitor Center, a touch table, and special events programs for families. The park has an outstanding array of special events that highlight park resources and connect local residents to the park.

Recommendation:

- Interpretation should continue to interact with resource management specialists and the park Superintendent to define and discuss the integration of critical management issues into interpretation.
- B. *Park develops education programs in partnership with external partners and educators.*

Finding:

- The park has an exceptional curriculum-based Education Program with excellent onsite programs (both conducted and self-guided programs), traveling trunks (managed and maintained by an outside agency), a printed and online teacher guide, teacher workshops with in-service and college credit available, and offsite programs in the schools. The park cooperates in large annual educational program days in partnership with other Federal, State, and local agencies. The park Education Plan seems outdated. Staffing limitations prevent the presentation of many offsite programs.

Recommendation:

- The park should update its Education Plan to include the present array of programs and services. The plan should project future improvements and enhancements to the park's Education Program. The plan should define the appropriate number of off-site educational programs keeping in mind the limitations of existing staffing levels.

Finding:

- The park charges a fee for schools to participate in the park's Education Program. Last year's fees totaled \$2,700.

Recommendation:

- The park should consider eliminating the fee for schools. With the numerous Title 1 schools in the region, this fee might prevent a school from participating in the park's Education Program. This situation seems unfortunate in a time when the NPS strives to connect to under-engaged audiences, especially young people. The park should consider other revenue sources to make up the \$2,700 in education fees. It might consider using the park's donation box revenue for this purpose. The park receives more money in donations each year than the \$2,700 received in education fees.

Finding:

- The success of the park's Education Program relies on the professional expertise and experience of a seasonal employee. He develops programs, trains and coaches staff, oversees program schedules, and

organizes and presents teacher workshops. These duties seem to exceed the limits of his position description.

Recommendation:

- **The park should consider revising the position description of the seasonal employee to reflect his duties with the Education Program**

C. All permanent interpretive staff is certified in interpretive competencies or actively working to attain them.

Findings:

- **Other than the Chief of Interpretation, the park does not have any permanent interpretive staff.**
- **While the Chief of Interpretation has not achieved certification in the interpretive competencies, he recently became a registered park coach in the Interpretive Development Program. This will enable him to train and coach seasonal employees in the interpretive competencies through their earning advanced achievement credentials in the online training courses.**

Recommendation:

- **The Chief of Interpretation should use his skills as a registered park coach to enhance the skills and abilities of his seasonal staff to employ the principles of interpretation into their programs.**

Standard 6.2: All volunteer and youth programs are managed in a fashion consistent with park purpose and needs in accordance with NPS Policy.

Key Indicators:

A. Volunteers are assigned to park projects significant in accomplishing park goals and objectives.

Findings:

- **In FY 2008, the park had 101 volunteers who donated 1,745 hours. The vast majority of the hours supported interpretation especially special events. Volunteers also supported administration, cultural resources, natural resources, and maintenance. Most volunteers served for a short duration of time. Maintenance has not emphasized the Volunteer Program because of the inherent hazards in most maintenance work. Long-term volunteers seem to prefer information desk duties. Because the Chief of Interpretation does not have any permanent staff, he serves as the park's Volunteer Program Manager. In view of all the other demands on his time, the park Volunteer Program seems to operate at an acceptable level. The park has had outstanding success in securing special volunteer funds. A Servicewide volunteer grant will support volunteer interns who will work at the park and at a nearby community visitor center facility. A Midwest Region volunteer grant will support volunteers to organize and update the park Library.**

Recommendations:

- **The park Volunteer Program Manager should continue to work with the park's management team to define new or expanded opportunities for volunteers to serve the park. In particular, the park should recruit for additional long-term volunteers to provide service beyond information desk duties. The park also should consider recruiting additional volunteers to help with park cleanup events or invasive plant mitigation activities. The park might consider contacting archeological support organizations to determine the interest of their members in participating in park special events or the ongoing park interpretation and education program. The park might consider using online tools to recruit long-term volunteers.**

B. Volunteers and youth program staff have a written agreement in place and are provided position descriptions, and performance standards.

Finding:

- Volunteers have written agreements that include a very brief description of duties. The agreements do not have a job hazard analysis or a position description.

Recommendation:

- The written agreements should contain more details about the duties including a description of working conditions and the level of supervision for those duties. If the duties involve the potential for hazards, the agreement should include a job hazard analysis. For positions commonly served by volunteers, the park should develop position descriptions that define duties, desired results, and the kind of supervision.

Finding:

- The park has established a “basic reimbursement schedule” for volunteers that include the current GSA POV mileage rate. The schedule also includes lodging at the GSA CONUS lodging rate and flat rates for lunch and daily incidental expenses.

Recommendation:

- The park is not obligated to provide reimbursements for volunteers at the GSA POV mileage rate or the GSA CONUS lodging rate. As much as possible, the park should reimburse volunteers for actual out-of-pocket expenses. Some volunteers decline reimbursement, preferring to deduct their volunteer expenses from their income taxes. The park should revise its “basic reimbursement schedule” to encourage the reimbursement of volunteers for true out-of-pocket expenses.

C. *Volunteers and youth program staff is provided appropriate training and adequate supervision”.*

Finding:

- Because most volunteers serve for a short duration of time, they receive task-oriented training on-the-spot. Long-term volunteers receive informal mentoring from park staff. Volunteers serving the public receive a package of publications and other information about the park. Volunteers receive adequate supervision.

D. *All foreign (citizens of countries other than the US) VIPs have the required Department of Immigration & Naturalization Service JIVISA and adequate insurance coverage.*

Finding:

- The park does not have any international volunteers.

Standard 6.3: Park interpretive and education programs, facilities and services meet established policies.

Sources:

Director’s Order #6: Interpretation; and RM-6.

Key Indicators:

A. *Park has an Interpretive Plan, which defines and guides the long-range vision and strategic development of park interpretive and education programs.*

Findings:

- B. **The park’s interpretive programs, publications, and website seem accurate and free from bias. They incorporate multiple perspectives including American Indian perspectives about the park’s resources. The chief of interpretation has had particular success in gaining American Indian involvement in the park’s interpretation and education program. The park’s interpretive film seems dated and fails to convey current research. It seems to interpret the park’s archeological resources from a Euro-American perspective. It fails to adequately interpret the park’s natural resources. The park’s museum exhibits seem dated and out of touch with current interpretive standards. The exhibits convey facts, but fail to encourage visitors to connect to the deeper meanings, significance, and relevance behind those facts. Temporary exhibits somewhat alleviate the dated permanent exhibits. The overall interpretive program**

seems to connect with a wider perspective on archeology and natural resources beyond the park boundary to offer visitors a holistic view of park resources.

- C. *Park personal services programs and media are accurate, free from bias, convey park significance, and connect with broader themes and issues beyond the park boundary*

Findings:

- The park's Chief of Interpretation has an outstanding reputation for embracing emerging technologies to reach out to diverse audiences. For example, he developed a cell phone tour along some of the park's principle interpretive trails. The park has an exceptional website that serves the public far away from the park. The park's earthcache activity reaches out to new audiences by encouraging them to visit the park and learn about its resources. User comments to the earthcache continue to express universal praise for the activity. The outdated museum exhibits do not use emerging technologies or interactive techniques.

Recommendations:

- The park should use its *Long-Range Interpretive Plan* process to develop ways to instill deeper meanings and significance within both the park's personal services programs and interpretive media. It should incorporate such conservation principles as sustainability, reuse, recycling, and other "green" practices, connecting those principles to the people who have lived in the area. The park should consider making a new interpretive film and new museum exhibits as a priority in its future development plans. Interpreters should establish a formal process for interacting with the park's resource management specialists to ensure that park interpretation conveys current archeological, historical, ethnographic, and scientific research. They should continue to seek opportunities to consult with American Indians to ensure that they convey American Indian perspectives of park resources to the public. The training and coaching of interpreters should stress the need to connect the public to the meanings, significance, and relevance of park resources while conveying multiple perspectives.

- D. *Interpretive and education programs use appropriate emerging technologies in developing all interpretive media including exhibits, curriculum-based programs, World Wide Web pages, and the like.*

Findings:

- The park's Chief of Interpretation has an outstanding reputation for embracing emerging technologies to reach out to diverse audiences. For example, he developed a cell phone tour along some of the park's principle interpretive trails. The park has an exceptional website that serves the public far away from the park. The outdated museum exhibits do not use emerging technologies or interactive techniques.

Recommendations:

- The park should embrace emerging technologies in the recommendations section of the *Long-Range Interpretive Plan* presently under development. The park should continue to use its Web site and emerging technologies to connect under-engaged young audiences to the meanings and significance of the park.

- E. *A data collection system is in place to assess the park's visitation and visitor use trends.*

Finding:

- The park has an exceptional data collection system that enables park management to assess and respond to visitor use trends.

Standard 6.4: Cooperating association provides significant assistance in reaching the park's stated goals in accordance with the association's corporate, tax-exempt purpose.

Sources: Director's Order #21: Donations and Fundraising; Director's Order #32: Cooperating Associations; RM-21, RM-32, and OMB circulars.

Key Indicators:

- A. *Sales items are approved by the park and effectively support park themes and objectives.*

Finding:

- **The park has a system of approval of new sales items that meets standards. The Scope of Sales seems outdated. The park approved the document in 1995 during a period when the sales area existed in a temporary trailer during renovation of the Visitor Center. The sales items support park themes and objectives with a wide variety of books and theme-related items attractive to a wide variety of ages and levels of interest in the park themes. The cooperating association has an outstanding sales area with engaging displays arranged by theme. Temporary sales displays support park special events. The Eastern National employee frequently changes the sales displays to keep the sales area fresh and attractive. In some cases, an individual sales display contains an interpretive message about the topic of the sales items. Eastern National sales at the park ranked 8th of the 25 Eastern National Parks in the Midwest Region.**

Recommendation:

- B. **The park should prepare an updated Scope of Sales that reflects the new interpretive themes developed for the park's GMP. The document should reflect the trend in sales towards theme-related items and children's items that have occurred since 1995. The document should confirm the present variety of sales items and the range of prices for items. When possible and appropriate, Eastern National should consider incorporating additional small interpretive exhibits into the sales area to enhance the interpretive impact of the sales area.**
- C. *Aid to NPS is used appropriately to support the educational mission of the park and the NPS.*

Finding:

- **The park uses most of its aid to support its extensive special events program, a worthwhile and appropriate use of the aid. The park has a balance of \$20,000 in aid that has accumulated over the past few years.**

Recommendation:

- **The park should inform Eastern National of the planned purpose of the aid that has accumulated. This will help the home office to explain to the Internal Revenue Service the reason for such accumulated aid. The park expects to use the accumulated aid to support additional special events.**
- D. *Cooperating association provides NPS with documentation indicating that it has complied with all applicable tax laws, OMB regulations and NPS policies.*

Finding:

- **Meets standard.**
- E. *Cooperating association meets all NPS requirements for reporting, accounting and record keeping and is able to demonstrate its compliance with applicable local, state and federal laws, NPS policies, and OMB regulations.*

Finding:

- **The cooperating association has written cash register procedures that meet standards. At the end of the day, one employee verifies the receipts with the cash register tape, seals the receipts in an envelope, and deposits the envelope in a secure location. The Eastern National employee later verifies that the receipts match the written total. The Eastern National employee makes bank deposits every week or when the receipts exceed \$500. This meets standards.**

Recommendation:

- Ideally, two people should manage the daily receipts at the end of the day. If that does not prove practical, an additional person should assist the Eastern National employee in verifying the receipts in the envelopes.

F. *Park has a current signed agreement with cooperating association.*

Finding:

- Meets standard.

FACTOR 7: RISK MANAGEMENT AND SAFETY

Standard 7.1: Park maintains a visitor and employee safety program, policy, and documented safety plan, which includes appropriate training.

Key Indicators:

A. *Visitor and employee accident rates remain stable or decline.*

Finding:

- For the period of October 1, 2005 – September 30, 2008, the park had one employee incident that resulted in days away from work, restricted duties, or temporary reassignment (DART).
- B. *A process is in place that assures all accidents are investigated and reviewed, and that appropriate remedial actions are taken.*

Finding:

- The park's only documented employee injury that resulted in days away from work, restricted duties, or temporary reassignment (DART) occurred on July 19, 2006, during a tree-removal activity. The park convened a Technical Board of Investigation (TBI) to identify the accident's casual factors, then developed corrective actions, and implemented preventive measures.
- C. *Annual/monthly inspections with written documentation and hazard correction exist and are active.*

Finding:

- The park has an established worksite inspection program. These documented inspections are being conducted on annual or periodic basis based on the risk of the operation. The park's worksite assessment is in compliance with Reference Manual 50B, Section 1.5 – Inspection and Abatement, and stipulates that "Every National Park Service facility, operation and/or workplace will be formally inspected at least annually." In addition, safety walk-arounds should be periodically performed to identify unsafe working conditions, activities, or practices. The higher risk of the operation, the more frequent the safety walk-around should be performed.
- D. *The unit has a process that promotes a positive safety behavior for all park employees and which involves a range of park representatives in hazard identification and mitigation strategies.*

Finding:

- The Midwest Regional Safety Manager is going to conduct an onsite safety assessment during the summer of 2009.

Standard 7.2: The unit maintains and uses a Workers' Compensation case management program to reduce costs and embraces an aggressive back-to-work program.

Key Indicator:

A. *The rate of lost production days and their associated costs is declining or maintained at or near zero.*

Finding:

- For the period of October 1, 2005, through September 30, 2008, the park had one employee incident that resulted in days away from work, restricted duties, or temporary reassignment (DART).
- Fiscal Year 2007 chargeback costs were \$1105.74 for 2 Office of Worker's Compensation Programs (OWCP) cases.
- Fiscal Year 2006 Baseline Recordable Accident Rate is 12.56. The park's FY 2007 rate is 6.72 for 1 case.
- The park has no long-term OWCP cases.
- The park did not have any Continuation of Pay (COP) cost for FY 2007 or FY 2008.

FACTOR 8: EMERGENCY SERVICES, STRUCTURAL FIRE, EMS AND SAR

Standard 8.1: Emergency operations (Structural Fire, Emergency Medical Services, and Search and Rescue) programs provide training to obtain and maintain required certifications and identified equipment and supplies necessary to meet anticipated needs.

Key Indicators:

- A. Emergency operations plans are current and communicated to all employees.*
- B. Documented training for emergency operations personnel is appropriate for the level of response, role and responsibilities.*
- C. Documented critique of incidents with an analysis to provide increased knowledge for future responses.*
- D. Needs assessments for EMS, SAR, and Structural Fire have been completed and are part of the park's overall operating procedures.*
- E. All mutual aid agreements are in place and annually reviewed with local agencies to determine the level of performance and effectiveness.*
- F. Vital records are current and filed at an off-site location that is accessible to incident managers in the event of an emergency situation.*
- G. All aviation activities relating to emergency responses meet Departmental policy*

Standard 8.2: Structural Fire program complies with National Fire Protection Association guidelines.

Key Indicator:

- A. Facilities and buildings are inspected no less than annually or more often as required.*

Finding:

- **In compliance. The park has a good current Emergency Operations Plan which staff review and initial annually. Through a written agreement, a local fire department annually maintains hydrants and conducts an inspection. Fire extinguishers and defibrillator are inspected monthly. Staff receives annual training in defibrillator use.**

Recommendation:

- Continue current practices.

FACTOR 9: WILDLAND FIRE

Standard 9.1: Wildland Fire Management Plan is maintained which complies with Director's Order #18: Wildland Fire Management; and other policy documents relating to Wildland and prescribed fire.

Key Indicators:

- A. The Fire Management Plan is current.*

Finding:

- The park is currently operating under the 2004 Fire Management Plan (FMP). A revised version of the FMP is in draft and is nearly ready for regional review. The FMPs should be reviewed annually and revised every 5 years. The park is on schedule to have the new FMP finished by the end of the year.

Recommendation:

- Finish the draft FMP and send it in for regional review.
- B. *Unit Fire Preparedness Review is current for the season? (Annual)*

Findings:

- Staff at the park completes an informal annual preparedness review. The review includes checking fire equipment for readiness and reviewing staff roles and responsibilities during periods of high fire danger.
- The park is utilizing an old Chevy pickup as a fire apparatus. It does not meet wildland fire engine standards and, as configured, it appears that the gross vehicle weight is exceeded. This should be investigated to ensure that safety standards are met.
- The park has completed a significant amount of beneficial work with the wildland-urban interface (WUI) funding over the past 7 years. Much of this work has been toward landscape-level prescribed fires (500+ acres) in the future.

Recommendation:

- Follow a basic preparedness review checklist to ensure that critical points are covered and document each review. This documentation should be kept with the FMP and other annual review documentation.
- C. *A review of DI-1202 for the current or last season (spot check of prescribed and suppression) incidents.*

Finding:

- Fire staff from the regional office collects fire information from personnel at the park and completes fire reports for prescribed fires. There are rarely suppression incidents in the park.

Recommendation:

- Park personnel should continue to coordinate and provide fire information to regional office fire staff. In the event of a suppression incident, relevant fire information should also be sent to regional office fire staff.
- D. *The fire program works as a part of an Area Park Group.*

Finding:

- Yes, the park is a member of the Midwest Regional Office Area Park Group. Since the park does not employ funded fire management personnel, the MWR Fire Management Office provides support to ensure that fire-related projects, wildfires, fire funding, and collateral-duty fire support employees are properly requested, managed, and/or supported as per RM-18 guidelines.
- E. *Consults regularly with resource managers, partners, agencies and stakeholders on the Wildland and prescribed fire program and its effectiveness and documents formal reviews. Who are the park's interagency partners?*

Findings:

- The U.S. Fish & Wildlife Service (FWS) is the primary interagency partner involved with wildland fire. The involvement has been limited to FWS resources assisting with prescribed fire activities in the park and NPS personnel assisting FWS prescribed fires. Individuals from the park have also attended fire

training provided by the Bureau of Indian Affairs. No memorandum of understanding (MOU) for fire support currently exists between the park and local volunteer fire departments (VFD).

- The park has utilized a cooperative agreement with a neighboring landowner to complete preventative fire lines along the north boundary of the park. These types of activities improve neighbor relationships and should benefit the park's prescribed fire program.

Recommendation:

- Establish an MOU with the FWS or local VFDs to provide initial attack response in the event of unplanned ignitions in the park.

F. *The Superintendent has completed Fire Management Leadership. All personnel involved in Wildland and prescribed fire actions have training and certification levels appropriate for their assigned responsibilities.*

Findings:

- Yes, the Superintendent completed Fire Management Leadership during her first year at the park.
- There is only one red-carded individual on staff at the park.

Recommendation:

- If the park continues to expand its prescribed fire and fuels program as planned, additional personnel should receive wildland fire training and certification to assist with these activities. This will require support from the Superintendent and Division Chiefs within the park, as well as support from the regional office fire office.

FACTOR 10: LAND PROTECTION

Standard 10.1: An approved Land Protection Plan is in place for each unit that contains non-Federal land interests within its authorized boundary. All public, private, and federal land ownerships within the authorized boundary of each unit are mapped, and land status and acreage statistics are current and available.

Standard 10.2: Land acquisition is conducted in conformance with an approved Land Protection Plan. Land acquisition is conducted in accordance with the Uniform Relocation and Real Properties Acquisition Policies Act of 1970, as amended, and Department and NPS policies and procedures.

Standard 10.3: Park resources are compatible with or protected from adjacent land uses.

Key Indicators:

- A. *Managers are aware of activities occurring on adjacent lands that may threaten park lands, and natural or cultural resources, including comprehensive plans, zoning, and major changes in existing uses. Staff works cooperatively with the public and local, State, tribal, and Federal officials to articulate park protection needs and promote actions to eliminate, reduce or mitigate threats to park resources.*
- B. *Land Protection Plan is consistent with the General Management Plan.*
- C. *The field unit and the Servicing Lands Office regularly consult on Land Acquisition issues, and involved early by the field unit in all acquisition processes.*
- D. *Management clearly articulates current acquisition priorities that are current, accurate, realistic and consistent with the LPP.*
- E. *All Federal lands are surveyed and monumented.*
- F. *All retained rights of use and occupancy are properly administered.*
- G. *The Master Deed Listing and all land acquisition maps for areas in which changes have occurred in land status or acreage are updated and revised at least semi-annually.*
- H. *Copies of current insurance certificates, which are purchased at the occupants' expense, are available for all NPS property occupied and used under life or fixed-term estates.*

Findings:

- The Land Protection Plan (LPP) is not required as all the authorized acreage within the park's boundary has been acquired. The park is proposing to acquire an adjacent outside-the-park-boundary parcel owned by Allamakee County designated as Tract 01-111. Tract 01-111 will have to be a donation from the county; however, the county is not ready to provide this tract to the NPS.
- The Park Manager is aware of activities occurring on adjacent lands and has taken action in order to resolve suspected boundary encroachments by requesting that the park's boundary be surveyed by the Bureau of Land Management (BLM). The BLM land survey is scheduled to be a 3-year process beginning in early May 2009. The BLM land survey will not include the entire park boundary, but will cover those areas determined to have suspected encroachments occurring.
- The Park Manager consistently consults with the Midwest Region, Land Resources Division, on land acquisition and possible encroachment issues, such as adjacent ownership activities that may impact park lands and resources.
- All land acquisitions within the park's boundary have been completed in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act, as amended, and codified in 49 CFR, 24D, subtitle A, part 24.
- The Master Deed Listing has been updated to reflect that latest land acquisition and no activity has occurred since this acquisition. The park's Land Status Map is in the process of being digitized and will be updated as the BLM boundary survey is completed.

Recommendation:

- The park should monitor the BLM boundary survey and work with the region's Land Resources Division to resolve identified encroachments.

FACTOR 11: ACQUISITION MANAGEMENT

Standard 11.1: Property, supplies and services are acquired in accordance with FAR, DOI and NPS policies and procedures and contribute to achieving unit goals.

Key Indicators:

- A. All employees are fully informed about the acquisition process, their authorities & responsibilities, and the appropriate acquisition tools.*
- B. Acquisition activities utilize proper sources and conveyances.*
- C. Acquisition documents are appropriately maintained & available.*
- D. Construction projects and service work are completed on schedule and within budget.*
- E. Required training is obtained and documented for all employees directly involved in the acquisition process.*

Findings:

- A training session was provided recently on "green" acquisition in order to be in line with Federal Acquisition Regulations.
- Purchases are spread among a variety of vendors as much as possible, in line with Federal Acquisition Regulations.
- PMIS projects that receive funding are completed on schedule and within budget. Completion reports are prepared at the close of the project.
- All purchase card holders receive training each year.

FACTOR 12: AGREEMENTS

Standard 12.1: All agreements are based upon proper legal authority, and serve a specific and appropriate public purpose.

Key Indicator:

- A. *All agreements use the appropriate agreement vehicle (cooperative agreement, interagency agreement, and general agreement), and cite proper statutory authority for that agreement.*

Findings:

- **A Standard Agreement with Eastern National Cooperative Association through WASO is in place.**
- **The park has a current Communication Radio/Antenna Site Agreement in place with Clayton County, Iowa, and Upper Mississippi River National Wildlife Refuge dated March 4, 2002.**
- **The park has a current Schedule of Services Agreement with the Harpers Ferry Iowa Volunteer Fire Department for fire and resource protection dated April 2009.**
- **The park has a current agreement in place with the Clayton County Sheriff's Office for radio system frequency use for joint operations or mutual aid.**
- **The park has a current agreement in place with the Allamakee County Sheriff's Office for radio system frequency use for joint operations or mutual aid.**
- **The park has a current General Agreement with Michael and Randi Kluesner dated February 20, 2009, for a cooperative, mowed fire buffer zone which includes a zone at least 12 feet in width and mowed twice each year, once by the park and once by the land owner.**
- **The park has a MOU dated December 20, 2006, with the FWS regarding Natural Resource Damage Restoration activities at the Yellow River Site, city of Postville, Iowa. Although this activity has been completed, documentation was not in the file.**
- **The park had a MOU dated March 2005, with the Iowa Department of Natural Resources for the State to transfer the care and maintenance to the park for the State-public owned property in Allamakee County, Iowa, known as the public picnic area. This agreement has expired. The park still maintains the picnic area and has a verbal agreement to care and maintain this picnic area for the State in exchange for the care and maintenance of a parcel of park property at the Sny Magill boat loading area.**
- **The park has a MOU between the United States Department of Agriculture Forest Service and the Department of the Interior; Bureau of Land Management, Bureau of Indian Affairs, NPS, FWS, and Bureau of Reclamation to authorize the cross-designation of law enforcement authority between signatory Agencies.**
- **The park has an annual General Agreement in place with the Gundersen Clinic, Ltd., for the park to obtain occupational health and preventative health services for employees.**
- **The park has a MOU Interpark Agreement for Fire Management activities with 12 parks and the Midwest Regional Office Fire and Aviation Management.**

Recommendations:

- **The park should consider a General Agreement with the Iowa Department of Natural Resources to exchanges maintenance services for the State-owned picnic area and the park-owned Sny Magill area near the boat loading area.**
- **Complete the documentation to demonstrate the completion of the Memorandum of Understanding dated December 20, 2006, with the FWS regarding Natural Resource Damage Restoration activities at the Yellow River Site, city of Postville, Iowa.**

Standard 12.2: All Cooperative Agreements are reviewed by the Solicitor and signed by a Level IIB, or higher, Contracting Officer. The NPS has substantial involvement in the activity with the cooperator.

Key Indicators:

- A. *An agreement is in place for each applicable activity.*
- B. *A process is in place to review agreements to ensure proper authority exists, and the agreement is not being used to circumvent the acquisition process. Solicitor review is documented for each cooperative agreement.*

Finding:

- **The park does not have any Cooperative Agreements.**

Standard 12.3: All fundraising campaign agreements are approved by the Director if 1) they have a goal of \$1million or more; 2) funds will be solicited nationally; 3) they involve national advertising or promotional elements; or 4) there is a potential for a significant controversy. All fundraising campaign agreements are approved by the Regional Director if they have a goal of less than \$1 million.

Key Indicator:

- A. *Approved fundraising agreement is on file in the appropriate office.*

Finding:

- **There is no fundraising campaign agreement currently approved and in place.**

Standard 12.4: All monetary gifts received directly by the NPS are accounted for, and disbursed under the same accountability standards, and the same internal processes and protections as monies appropriated by Congress. An annual report detailing the amount and type of donations received is on file.

Key Indicators:

- A. *Previous year annual donations report is on file in the appropriate office.*
- B. *Records of deposit for all donated funds are on file, and match the amount that has been deposited in the account.*
- C. *All expenditures of donated funds are accounted for, used as specified by the donator, and balances with income and expenditures.*
- D. *Fundraising management and other overhead costs, together, do not exceed 20% of the total funds raised over the life of the campaign.*

Findings:

- **The park has a donation box located in the Visitor Center. The donation box only has one lock and two employees have keys.**
- **The prior-year donation report is on file and matches the deposit account.**
- **All expenditures are accounted for and reports are in balance.**

Recommendations:

- **By law, public moneys are considered assets of the Federal Government and must be protected.**
- **Another lock should be added to the donation box and the key should be maintained by an employee separate from the one that currently has the key. This is for the protection of both employees in the event any funds are unaccounted for.**
- **According to Reference Manual 22, Chapter 13, section 6: “Two people are required to collect and count donation from a donation box. Funds received from NPS donation boxes on jointly administered property (e.g., joint visitor centers, heritage areas, leased facilities outside of parks) must be accounted for in the same manner as those located on NPS-controlled property.”**

FACTOR 13: PROPERTY MANAGEMENT

Standard 13.1: Personal, capitalized and real property are accounted for, maintained and disposed of in accordance with the Federal Property Management Regulations (FPMR) and Director’s Order #44: Personal Property Management

Key Indicators:

- A. *The Fixed Asset Subsystem, as well as an informal inventory system, is utilized and is up-to-date.*
- B. *Board of Survey has been designated and is operational.*
- C. *Property management responsibilities have been properly delegated in writing.*
- D. *Real property inventories are being updated annually as prescribed by the Department of the Interior.*
- E. *Department of the Interior motor vehicle fleet management requirements are adhered to (e.g., vehicle needs are assessed periodically; vehicles are used for official purposes only).*
- F. *Capitalized and sensitive property is acquired, inventoried, and marked in accordance with Department of the Interior policy.*

Findings:

- The Fixed Asset Sub-system (FAS) is used to report, accept, excess and/or transfer formal property.
- A Board of Survey has been redesignated. The last Board of Survey was designated in 2001.
- Delegation letters for Custodial Officers have been completed for three of the four Division Chiefs.
- Capitalized and sensitive property is acquired in accordance with DOI policy.

Recommendations:

- Capitalized and sensitive property require a property number. These items need to be accepted in the park by the receiving officer; property number assigned and attached, and FAS updated before being delivered to recipient. One suggestion is a park policy memorandum with clear instructions on how to deal with property (acquisition and excess).
- Need to do delegation letter assigning Ken Block as Custodial Officer.

FACTOR 14: RECORDS MANAGEMENT

Standard 14.1: Records are maintained in accordance with the standards in Director's Order #19: Records Management.
Key Indicators:

- A. Records can be located when needed by the unit.*
- B. Vital records are current and filed at a secondary location that is accessible to incident managers in the event of an emergency situation.*
- C. Park has procedures in place to assist park staff and outside researchers with park archives and records searches.*
- D. Electronic records are managed to the same standards and with the same level of care as paper records.*

Findings:

- Records can be located when needed.
- There is a collections access policy for park staff and outside researchers for park archives and records searches.
- Electronic records are managed through a complete backup of each computer to the server.

Recommendations:

- A number of policy memorandums need to be updated; for example: Cell Phone Use and Smoking Policy, as these are outdated.
- A policy memorandum for leave administration should be written, to include reviews of leave (see number 16 below).

Standard 14.2: Mission critical records (as defined by Director's Order #19: Records Management) receive archival care to ensure that they are available to present and future managers of park resources.

Finding:

- Mission critical records receive proper care.

Standard 14.3: All records, required by law, to be accessible to the public are available.

Key Indicator:

- A. Unit has a general description of the types of records found in the unit (other than standard administrative records) on their Web site.*

Finding:

- The Washington Office maintains this information for park Web sites.

FACTOR 15: INFORMATION TECHNOLOGY

GIS - Standard 15.1: Geospatial data and activities meet Executive Order 12906 (4/11/94), Coordinating Geographic Data Acquisition and Access: the National Spatial Data Infrastructure

Key Indicator:

- A. All geospatial data for the park have associated metadata files (FGDC compliant and in the NPS Profile) and are catalogued and loaded into the NPS Data Store.
- B. The Midwest Region GIS Technical Support Center (RTSC) is consulted periodically throughout the life of a project with a geospatial component (a project which involves the collection, creation, management, analysis or reporting of geospatial data). Further, the RTSC reviews project documentation (including planning) concerning geospatial activity and data. Additionally, all geospatial data for the park are in a common data format (such as the geodatabase format), have associated metadata files and are catalogued and loaded into the NPS Data Store.
- C. Each proposal, scope of work, report or other document detailing geospatial activity includes reference to the NPS GIS Specifications standards found at <http://science.nature.nps.gov/nrgis/standards.aspx>. An appendix of the document includes a full copy of the standards OR a completed checklist to ensure geospatial elements are properly addressed in the document.

Findings:

- All geographic information systems (GIS data stored on Dell Precision 690. An external hard drive is used as backup. The workstation is adequate for GIS tasks.
- Geospatial data have the associated metadata files but are not loaded into the NPS Data Store.
- The MWR GIS Technical Support Center is consulted for support with projects.
- The DNR Garmin and ArcGIS software needs updating on the GIS workstation.

Recommendations:

- Reese Hirth with the regional technical support center (RTSC) will be asked to help with loading data into NPS Data Store on next visit to park.
- Park requests global positioning system (GPS) training for approximately eight people. Park also requests help with standardization of attribute tables for things such as exotic species between databases at parks.
- Update software that needs updating on the GIS workstation.

IT – Standard 15.2: Superintendents are responsible and accountable for the management of IT assets and systems within their respective areas. Each superintendent is also responsible for overseeing the development of IT assets and systems, ensuring compliance with all Federal IT requirements and for participating in the Service-wide IT governance structure.

Key Indicators:

- A. All park network computers/servers are accounted for in the NPS IT system inventory (BelManage, SMS, or other).
- B. All employees have access to email and the Internet. Time and funding are programmed for employee training in using new software applications.
- C. Park/site has direct access to technical support specialist either onsite or through a local contract.

Findings:

- Twenty-two computers and one server appear in the system management service (SMS) inventory of computers and this coincides with the number of computers and servers appearing in DRA and also appears to coincide with the number of active computers present at the park.
- All full-time employees have access to Lotus Notes, e-mail, and the internet. Other employees needing access are given access to network, e-mail, and Internet as needed. Little or no funding provided for software applications.

- **Good technical support for the site is provided by the AO and assistant AO but IT duties are taking an increasing amount of their time. Additional IT support provided through region and local company by the name of Computer Support Plus. Employees appear to be satisfied with connectivity and support.**
- **Backups onto external hard drive. Once a week full backups are periodically failing.**

Recommendations:

- **The computer support provided by the AO and the Administrative Assistant has been very good. Both have attended IT training at the regional office as time and budget permit. Please note that IT requirements continue to grow and the time and training required to keep up with the technology will likely take an increasing amount of time away from their primary duties.**
- **A good backup of the network and user files is essential. The periodic problem encountered with the full backups should be resolved or a new way to back up the files should be found.**

Radio - Standard 15.3: Superintendents, park managers and designated park radio coordinators are responsible for ensuring that wireless telecommunications systems and components (radio) are available and service park mission objectives to the fullest extent possible.

Key Indicators:

- There is a formal and up-to-date park "radio plan" in place to guide and define park-specific radio communications.*
- Approved and appropriate radio technology is in place and operating efficiently to service and support park operations and NPS mission objectives.*
- Park coordinates with the Regional Radio Coordinator for all radio telecommunications issues.*
- Wherever possible, park uses alternative telecommunications technologies, such as pagers and cellular telephones, to augment land-mobile-radio systems, especially for non-critical operations. (Use of cellular telephones for routine health-life-safety communications support is unnecessary.)*
- Park shares radio communications resources with other agencies to include Federal, DOI, local, State, and county agencies, etc.*
- Fixed-site radio system components (repeaters, base-stations, towers, etc.) owned and operated by the park are assets which are tracked via a "life-cycle" maintenance management program, such as FMMS.*

Findings:

- **The park converted to Narrowband in approximately 2007 and the radio plan is up-to-date.**
- **The radio technologies in place are serving the site with coverage to all areas of the park. The park uses a FWS repeater to provide coverage to the Sny Magill Unit. Alternative telecommunications technologies are not used as radio is sufficient.**
- **The park shares radio frequency with other agencies that may need to communicate.**
- **The park has coordinated well with the MWR Radio Telecommunications Specialist on issues related to radio.**

Security – Standard 15.4: Superintendents that host NPS computer systems need to take measures to properly secure those systems in accordance with National Institute of Standards and Technology (NIST) standards.

Key Indicators:

- Park uses physical access devices (e.g., keys, locks, card readers) to control entry to locations (server room) that house local area network (LAN) servers, routers, switches, and telephone systems.*
- Park develops and keeps current a list of personnel with authorized access to the server room.*
- Server room equipment is protected from power surge by uninterruptible power supply (UPS) and to facilitate an orderly shutdown of the network in the event of primary-power loss.*
- All computer users have signed the NPS Standards of Behavior and the form is maintained on-file*
- All computer users receive online IT Security training on an annual basis.*
- All employees having remote network access using virtual private network (VPN) client software have requested remote access in writing and the form is maintained on-file.*

Findings:

- Inpefmombrs2 (Dell PowerEdge 2900) and other network equipment located at the headquarters building within room off of museum. The room also serves as a passageway for an emergency exit. Therefore, the room cannot be locked and the equipment is accessible to both the public and employees. The rack that the network and telephone equipment is housed within is a type that is lockable, but the rack is not wide enough to accommodate the equipment and still be able to lock the doors to the rack.
- The server room is also used to store supplies. As several persons periodically enter the room, a log of persons entering the room is not kept.
- A fire sprinkler head is located in the ceiling within 3 feet of the network equipment.
- A maintenance building and two park housing units also contain network equipment. Housing is not used as such and will likely be used as admin office in the future.
- All equipment at Headquarters and outbuildings protected by uninterruptable power supply (UPS).
- All computer users have signed the NPS Standards of Behavior and have taken the annual IT Security training. Forms maintained onsite.
- Remote access forms maintained on-file.

Recommendations:

- A possible solution to the rack and access problems would be to modify the locking door to the rack so as to accommodate the protruding phone cabling at the top of the rack. Otherwise, a new locking rack may have to be purchased, a cage built around the equipment, or a new location for the equipment will need to be found. Keep a log of users with access to the server.
- As the fire sprinkler head is located close to equipment, the rack should at least be repositioned between the two fire sprinkler heads located in the room. The available network cabling should allow for this.

Web – Standard 15.5: All park sites will have a domain name that tier off <http://www.nps.gov>. Webcams in parks will be permitted only for non-commercial resource protection and visitor uses, including educational and scientific research purposes.

Key Indicators:

- A. Each park has identified a Web Coordinator for the publishing and maintenance of the park web site. Park Web Coordinator coordinates with the Regional Web Coordinator to ensure park Web-hosted data complies with Federal guidelines.*
- B. All park Web content is hosted on a “gov” domain; the only exceptions are when content is hosted by an educational and/or scientific organization which the NPS/park has a written “partnership” agreement.*

Findings:

- **The Administrative Assistant is the identified Web Coordinator but most of the Web-related work is done by a Park Ranger. Web Coordinator coordinates with Regional Web Coordinator.**
- **The park’s Web site does appear as www.nps.gov/efmo and the park works with the content management system (CMS) to create and modify their pages. Links off of the Web site appear to be appropriate.**
- **No Web cams used at the park**

FACTOR 16: HUMAN RESOURCES

Standard 16.1: Personnel management is conducted in accordance with the merit system principles and in compliance with delegated authorities. No official with authority to take, direct, recommend or approve any personnel action engages in any prohibited personnel practice.

Key Indicators:

- A. Information concerning the nine merit system principles and the twelve Prohibited Personnel Practices is made available to employees.*

- B. *Periodic reviews are conducted to ensure compliance with regulations concerning leave administration, recruitment, and retention, classification and position management, employee development, grievances and complaints, performance management, veteran's rights and awards. Corrective action is initiated to correct any deficiencies.*

Findings:

- **Merit system principles and Prohibited Personnel practices information will be provided to all employees at the All Employees Meeting in June 2009.**
- **No reviews are conducted on leave administration.**
- **Recruitment files are at the servicing human resource office (SHRO) (MWRO).**
- **Position descriptions are reviewed and updated when possible.**
- **Position management; park has stayed within the 85 percent of ONPS base budget.**
- **Administrative Officer ensures that each employee receives an Employee Performance Appraisal Plan (EPAP), mid-year progress review, and final performance appraisal at yearend.**
- **The park has three disabled veterans on staff; veteran's rights are in compliance.**
- **Awards are provided to most employees at yearend if funds are available.**
- **Confidentiality of documents and privacy are concerns within the park.**
- **There were reports of employees working unrecorded compensatory time.**

Recommendations:

- **Reviews need to be conducted on leave administration.**
- **Ensure the proper type of work is being accomplished by the right employees. This can be done through a review of position descriptions and actual work being accomplished to ensure that employees are doing work that is within their position descriptions and/or rewriting position descriptions. (For example, compliance work should be done by someone in Resource Management; Cultural Resources should be done by another division rather than within Administration) This would meet the requirements of position management.**
- **Ensure that awards are provided based on performance.**
- **A desk audit should be conducted on Park Ranger (Interpretation); position number 513; or the employee should work within his position description. This is an outstanding individual who is working above his grade level.**
- **Move cultural duties to another position so the Administrative Assistant can complete administrative duties. This would decrease the AO's workload and the Administration Division would become more efficient.**
- **At least some of the confidentiality and privacy issues can be corrected by placing the AO in an office, not in a cubicle. The type of work that is handled on a daily basis requires privacy and confidentiality. That cannot be maintained in the current setting. Also, almost every conversation can be heard clearly within the Visitor Center.**
- **All time worked has to be recorded on timesheets and within QuickTime. There should be no unrecorded compensatory time worked. Ensure that all employees, both Exempt and Non-Exempt are being properly reimbursed for their time.**

Standard 16.2: Labor relations are managed in compliance with NPS policies and public law.

Key Indicators:

- A. *Rules & laws are upheld and obligations to bargain in good faith are done in accordance with appropriate labor agreements with few unresolved complaints at the local level.*
- B. *Management complies with the terms of the negotiated agreement and remains neutral toward employee participation in a union.*

Finding:

- **The park does not have a union and has no labor agreements.**

Standard 16.3: Requests for reasonable accommodations from employees and applicants are considered and acted upon in accordance with applicable regulations.

Key Indicators:

- A. *A record of response exists for all requests for reasonable accommodation and decisions to make or deny accommodations are made appropriately.*

Finding:

- **One request was made for reasonable accommodation and the request was granted. Software was purchased and installed on the employee's computer.**

Standard 16.4: Employee training, including mandatory, is competency based and provides employees the skills necessary to perform the essential functions of current and future jobs.

Key Indicators:

- A. *Each type of mandatory training is documented with the appropriate citation (e.g. law enforcement, contracting, and so forth) and is current.*
- B. *Adequate funds are allocated for training & development, and complete records are maintained.*
- C. *Training needs assessments are conducted periodically and individual development needs are addressed.*

Findings:

- **Mandatory training is documented and current.**
- **\$3,000 is set aside each year for mandatory training requirements. The AO maintains records of completed training.**
- **No training needs assessment has been completed and no employees have individual development plans (IDP) on record.**

Recommendations:

- **Complete a needs assessment of training for all employees.**
- **Implement IDPs for all employees; this can be done in conjunction with establishing EPAPs.**

Standard 16.5: Each employee is evaluated annually against a set of written critical results that are linked to accomplishing the organization's Annual Performance Goals.

Sources:

The Civil Service Reform Act of 1978; Government Performance and Results Act; and 370 DM Chapter 430.

Key Indicators:

- A. *Each employee has a copy of their current employee performance plan and results report.*
- B. *Each employee receives a timely verbal and written performance appraisal, to include progress reviews, which documents results achieved for the most recent rating year.*
- C. *Unit employees at all levels agree that the unit's awards program is fair and effective in recognizing and rewarding exceptional contributions.*
- D. *A performance improvement plan is implemented and administered for all employees who do not achieve critical results.*

Findings:

- **All employees have EPAPs; receive progress reviews mid-year and a final performance appraisal at year end.**
- **Employees do not feel that the awards program is fair or effective.**
- **No performance improvement plans have been needed.**

Recommendation:

- **Institute a written awards policy based on performance and share with all employees.**

Standard 16.6: Employees demonstrate conduct that is appropriate in the workplace and in compliance with ethics requirements and guidelines.

Key Indicators:

- A. *Employees are aware of the laws & regulations pertaining to ethical conduct, and annual refresher training is available to all employees.*
- B. *Employees consult ethics counselors prior to engaging in activities that are ethically questionable.*
- C. *Timely and appropriate action is taken to correct employee misconduct and unethical behavior.*

Findings:

- **All employees take the annual ethics refresher training. Although employees take ethics training each year, the surveys suggested unethical behavior may be occurring in the park.**
- **There is no ethics liaison or counselor onsite.**

Recommendation:

- **Bring in an Ethics Counselor to provide onsite training to all employees.**

FACTOR 17: FINANCIAL PLANNING AND MANAGEMENT

Standard 17.1: Formulation, planning, and execution of budget is administered in accordance with approved appropriation provisions and other federal regulations.

Key Indicators:

- A. *Division Chiefs and program managers are involved in all aspects of budget formulation and execution.*
- B. *Processes are in place to ensure funds usage is consistent with law & policy, and financial obligations meet all requirements.*
- C. *Unit budget supports Annual Performance Plan and a process is used to track goals against expenditures.*
- D. *Monthly Status of Funds reports are distributed and reconciled.*
- E. *Funding requests reflect unit priorities and meet the purposes of appropriation language.*
- F. *Financial control processes include routine audits that reveal no discrepancies in the application of funds (e.g. fee demo program, repair/rehab, line-item construction, concession franchise fees).*
- G. *Plans are developed to address non-recurring funding needs (e.g. cyclic, CRPP, NRPP).*
- H. *All unit financial needs are addressed in PMIS and OFS, and are consistent with the information entered into PMDS*

Findings:

- **The AO initiates the budget each year, based on what was spent in the prior fiscal year. The Management Team then meets to discuss budget needs and final allocations are provided soon after that discussion.**
- **OFS budget increases are divided proportionately among each division.**
- **The park has been very successful in writing PMIS projects and grant proposals to receive funding for a variety of projects.**
- **It appears that the majority of the park's ONPS base is given to Maintenance and the other divisions do not receive a "fair share."**
- **Communication is an issue. Employees feel that no information is provided by Administration about the budget; no "hard numbers."**

Recommendations:

- **The entire Management Team needs to be involved in the budget process.**
- **Budget allocations should be based on the needs of the park as a whole. The Management Team needs to work as a Team in discussions about budget allocations.**
- **E-mail is not very personal; however, it can be a good tool to get information out to the park regarding budget. For example, give a budget update "While under a Continuing Resolution, we are only**

authorized to spend 43 percent of last year’s allocation.” This gives each Division Chief the ability to know how much they can spend at the beginning of the year – when no “hard numbers” are available.

Standard 17.2: There is no financial waste, fraud and/or abuse.

Key Indicators:

- A. *Internal controls, including periodic audits and inspections, are in place to detect and correct any deficiencies in financial matters.*
- B. *An effective system is maintained to ensure timely review and processing of requests for payment from vendors.*
- C. *Private and employee debts are billed, collected and recorded in accordance with guidelines.*

Findings:

- **Internal controls are in place. Audits are completed as possible and audit reports with findings are completed. New internal control audit procedures have been received, reviewed, and are being followed.**
- **Vendor payments are handled by the major acquisition buying office (MABO).**

Standard 17.3: All revenues are collected, deposited and used in compliance with Treasury, Interior and NPS policies and regulations.

Key Indicators:

- A. *All receipts including fees are deposited & used as required.*
- B. *Effective financial controls ensure that employee housing rent & utility payments are collected automatically, deposited in correct accounts and utilized for proper purposes.*

Findings:

- **Fee collection management procedures in full compliance with policy requirements.**
- **Deposit slips are accurate and funds are balanced.**
- **All expenditures are accounted for and reports are balanced.**

Standard 17.4: Donations from the private sector are recognized and accepted in accordance with applicable laws and policies.

Key Indicators:

- A. *Use of donations is consistent with desires of donor, donor recognition guidelines and mission of park, program or NPS.*
- B. *All required approvals are received prior to action.*
- C. *Donations are not accepted from prohibited sources.*
- D. *Funds are accounted for accurately and reports are filed in a timely manner.*

Finding:

- **Standard met.**

FACTOR 18: PARTNERSHIP PROGRAMS

Standard 18.1: “Friends Groups” have existing current agreements in approved format with 5 year term for renewal.

Key Indicators:

- A. *Agreements have been reviewed by the Solicitor for legal sufficiency and authorized in writing for execution by the Regional Director.*
- B. *Agreements are signed by the Superintendent and key park partner staff.*
- C. *The Superintendent and staff are familiar with the contents of the agreement(s). Agreements are filed to be easily retrievable for reference.*

Finding:

- **The park does not have a “Friends Group.”**

Standard 18.2: The park has a written Fund-raising Agreement with partners that conduct fund-raising on behalf of the park or a specific park project. The agreement may be a part of a general agreement, or a separate agreement under the umbrella of a general agreement.

Key Indicators:

- A. *Agreements have been reviewed by the Solicitor for legal sufficiency and authorized for execution by the Regional Director.*
- B. *Existing formal partnerships are consistently evaluated for effectiveness and positive communications. If deficiencies are perceived, appropriate corrective action is implemented. Appropriate succession planning is accomplished and documented.*
- C. *Agreements have 5-year renewal-periods, which provide a structured opportunity for review and evaluation. In many cases, formal partnerships will continue in a positive fashion for an indefinite period of time, however, if a formal partnership has come to a logical end point by design (i.e. end of a specific project) or for other reasons, an appropriate "exit strategy" is planned and implemented.*
- D. *A formal agreement in parks that do not currently have a formal "Friends Group" are encouraged to conduct internal scoping and planning to determine the feasibility and value of establishing such a partnership. This scoping and planning is documented in writing. We recognize that the establishment of a formal "Friends Group" may not be feasible or appropriate for all park areas.)*

Finding:

- **The park has an agreement created on September 15, 1998, with National Park Foundation that established a restricted fund account (REFMA) specifically setup as the Effigy Mounds Fund. The National Park Foundation accepts contributions for the park and distributes funds from the FEFMA for projects such as the Indian Heritage Festival and the Teachers Workshop. One example is a grant received from Humanities Iowa for a Teachers' Workshop. The account has \$34,194.74 at this time. The account is invested through Vanguard where it receives shares and interest.**

Standard 18.3: The park has a comprehensive "Donor Recognition Plan", addressing minimally 6 key elements outlined in DO-21, section 10.3. if they receive or anticipate receiving \$50,000 or more annually in donations have a comprehensive "Donor Recognition Plan", addressing minimally 6 key elements outlined in DO-21, section 10.3.

Key Indicators:

- A. *Agreements have been signed by the Superintendent and with the written concurrence of the Regional Director.*
- B. *Donations in amounts less than \$50,000 annually have a "Donor Recognition Plan" that can be the comprehensive plan described above, or can be simple memorandum to the files signed by the Superintendent stating that the park will acknowledge donations of \$100 or more with a "thank you letter".*
- C. *The park has reference copies of DO-20 (Agreements) and DO-21 (Donations and Fund-raising) readily available. The Superintendent or designated staff has basic familiarity with DO-20 and DO-21.*

Finding:

- **The park has a Donation Policy dated September 23, 2008.**

Standard 18.4: The park meets or exceeds their GPRA Goal for Partnerships. Goal # IVb1A.

Key Indicators:

- A. *The park meets or exceeds their GPRA Goal for Partnerships. The park will maintain "X Number" of community partnerships.*

Finding:

- **The park goal is by September 30, 2012, the park will have three community partnerships. The park performance target was three by September 30, 2008. The park exceeded their goal showing actual results of four community partnerships achieved by September 30, 2008.**

FACTOR 19: GENERAL MANAGEMENT AND PARK STRATEGIC PLAN

Standard 19.1: The General Management Plan (GMP) and park Strategic Plan are current and consistent and they are used as the basis for park management decisions.

Key Indicators:

- A. If the GMP is not current, a proposal for updating it is on file.*
- B. Employees, park users, stakeholders, partners and elected officials are involved in the development and implementation of the plans.*
- C. The purpose and significance statements of the GMP, if current, guide the development of the strategic plan and other park planning documents.*

Findings:

- **The first General Management Plan for the park was created May 1991. The General Management Plan Amendment and Environmental Assessment was created August 10, 1999. A new General Management Plan/Environmental Impact Statement is being developed and is in the draft form at the time of this evaluation.**
- **Public meetings were held during the development process of the new GMP.**

Findings:

Yellow River Wild and Scenic River Assessment (Appendix D of the Draft GMP)

Environmental Compliance: National Wild and Scenic Rivers Act (Act) (16 USC 1271-1287)

Environmental Compliance: NPS Management Policies 2006 (Section 4.3.4)

The Yellow River (River) segment from the confluence with the Mississippi River to Highway W60 in Allamakee County, Iowa, and encompassing the entire 3.5-mile segment that flows through the park is listed on the Nationwide Rivers Inventory (NRI) pursuant Section 5(d)(1) of the Wild and Scenic Rivers Act (Act, 16 U.S.C. 1271-1287). The NRI is a register of rivers that may be eligible for inclusion in the National Wild and Scenic River (WSR) System. The intent of the NRI is to provide information to assist Agencies including NPS in making balanced decisions regarding the use of the Nation's river resources and to prevent potential impacts to the values for which a river has been placed on the list. A Presidential Directive and subsequent instructions issued by the Council on Environmental Quality (CEQ) require that each Federal Agency, as part of its normal planning and environmental review processes, takes care to avoid or mitigate adverse effects on rivers identified in the NRI. Furthermore, in compliance with Section 4.3.4 of NPS Management Policies 2006, "Parks containing... river segments listed in the NPS National [Nationwide] Rivers Inventory...will... assess whether those rivers or segments are suitable for inclusion in the system. The assessments and any resulting management requirements may be incorporated into a park's General Management Plan (GMP). A current Draft General Management Plan/Environmental Impact Statement that includes a Wild and Scenic River Assessment is currently being reviewed. The affected segment of the River is listed on the NRI because of the degree to which it is free-flowing (without straightening, diversion, riprapping, or other modifications of the channel), and for its outstandingly remarkable values that have been determined to be its scenery, geology, recreation, wildlife, history, and cultural resources.

If the segment flowing through the park is designated a component of the National Wild and Scenic River System (System) the park will be required to administer Section 7(a) of the Act which states:

No Department or Agency of the United States shall assist by loan, grant, license or otherwise in the construction of any water resources project that would have a direct and adverse effect on the values for which such river was established, as determined by the Secretary charged with its administration.

A section 7(a) determination of effect would be necessary for water resources projects within the bed and bank of the River under the "direct and adverse" standard as well as for water resources projects within

the tributaries, and river segments upstream from the park and at the confluence with the Mississippi under the “invade or unreasonably diminish standard.

Equally important is Section 10(a) of the Act (16 U.S.C. 1281(a)). Considered as the non-degradation and enhancement policy for wild and scenic rivers, Section 10(a) of the Act states the following:

Each component of the National Wild and Scenic Rivers System shall be administered in such manner as to protect and enhance the values which caused it to be included in said system without, insofar as is consistent therewith, limiting other uses that do not substantially interfere with public use and enjoyment of these values.

As such and in accordance with the Act, any development activity within the corridor of the river would need to be consistent with this fundamental charge. Any activity that would not serve to protect and enhance the values of the river would be prohibited or require significant justification and mitigation.

Findings:

- A Wild and Scenic River Assessment has been completed and conforms with National Wild and Scenic Rivers System; Final Revised Guidelines for Eligibility, Classification and Management of River Areas,” (Federal Register Vol. 47, No. 173, September 7, 1982)
- The assessment has been made part of the Draft GMP (Appendix D) and is sufficiently complete to determine river eligibility (Objective Resource Inventory)
- River suitability (Subjective Analysis and Decision) for WSR designation has been made; the river has been determined to be suitable for designation by the park.
- Significant development is currently occurring or projected to occur within the river corridor; primarily extensive and visible boardwalk development.
- River segment is proposed to be classified as “scenic”; segment generally meets the classification as described below:
 - (1) Wild river areas -- those rivers or sections of rivers that are free of impoundments and generally inaccessible except by trail, with watersheds or shorelines essentially primitive and waters unpolluted. These represent vestiges of primitive America.
 - (2) Scenic river areas -- those rivers or sections of rivers that are free of impoundments, with shorelines or watersheds still largely primitive and shorelines largely undeveloped, but accessible in places by roads.
 - (3) Recreational river areas -- Those rivers or sections of rivers that are readily accessible by road or railroad, that may have some development along their shorelines, and that may have undergone some impoundment or diversion in the past.
- 3.5 miles is a short segment and existing bridges (1 railroad, 1 road, and 1 pedestrian) as well as road proximity and proposed boardwalk developments may have adverse effects to the scenic values of the river.
- Generally a positive response from park staff about the WSR designation
- Current boardwalk alternatives may not have all been vetted through the environmental compliance process; park may be favoring a more “developed” environment with pre-decisional or post-project compliance.
Further WSR Compliance training is needed.
- Iowa declined to participate in upstream reaches for reasons including a desire to conduct water resources projects (habitat restoration, stream-bank stabilization) and a perception of incompatible WSR restrictions; future cooperation with the State of Iowa may be possible with successful designation and a demonstrated compatibility with current land uses.

Recommendations:

- Conduct a WSR Act primer or further training to increase understanding and prepare compliance staff for the increased compliance responsibilities associated with Scenic River designation; include upstream

(Iowa) resource managers in order to train State partners and disclose any new regulatory protocols for the river that may affect upstream activities (Section 7a of the Act). A person should be appointed as a Wild and Scenic River Specialist to ensure consistency.

- Develop a cooperative agreement and comprehensive River Management Plan with Iowa to proactively address expected or proposed water resources projects that would require section 7a compliance under the act. River management projects should be consistent with the act and serve to protect and enhance the river values.
- Reconsider boardwalk development projects within the river corridor and pursue those that are absolutely necessary and those without viable environmentally preferred alternatives.
- Further assess park environmental compliance procedures to ensure all compliance procedures are followed in accordance with NEPA, WSR, and Management Policies 2006 in order to facilitate WSR compliance.

General Observations:

- Staff encountered seemed genuinely interested in the review process, passionate about the park, open to discussion, and with the good of the park in mind.
- Boardwalk sprawl – significant boardwalk development existing or proposed throughout the park; no region of the park was encountered without the mention of a proposed boardwalk. Desired walks included Sny Magill, to the Heritage Addition from the visitor center boardwalk, fire-point board walk in the North Unit, and two proposed walks within the Yellow River Corridor.
- Streambank stabilization at Sny Magill – ‘cribwall’ technique incorporates natural (log structure) materials and native grass plantings consistent with a bioengineering approach; not known to what extent the practice was planned, engineered, or whether all relevant regulatory permits (Clean Water Act (CWA) Section 404 permits).
- Heavily used visitor center by school groups.
- Apparent schism between Resource Management and Interpretation and Maintenance and Management (not necessarily a personal issue, but apparent in conversations, comments, and on the ground.)
- Questionable placement of maintenance storage structure in the North Unit, compliance procedures may not have been followed (anecdotal).
- Apparent concern for accessibility; creative approach in the North Unit to fire point – automatic gate with remote check-out – case-by-case transport to sites otherwise inaccessible.
- Lots of potential at this park! A very positive experience with some resource management and compliance concerns.

Standard 19.2: Each Long-term Goal in the Strategic Plan is supported by annual work plans.

Key Indicators:

- A. The Annual Performance Report documents the achievements for the year, and any variance is explained.*
- B. The park management team prepares the Annual Performance Plan and Annual Performance Report and ensures that park data is accurate and verifiable and is entered into the PMDS database and posted on the Park Web site. All established reporting deadlines are met.*
- C. Each park supervisor has an Annual Work Plan, which is readily available and routinely used.*
- D. Each park supervisor can explain the relationship between the Annual Work Plan tasks and the Park’s Annual Performance Goal*

Finding:

- **The Annual Performance Report is created through the Strategic Plan 5-year plan. The Division Chiefs do not have individual work plans, but operate on their own schedule toward park goals. The Annual PMDS is used to report performance results due in October each year. The park goals are entered in the PMDS and posted on the Web site.**

FACTOR 20: RESOURCE MANAGEMENT

Cultural Resource Management

Standard 20.1: An approved natural and cultural resource management plan is current, consistent with the GMP and park Strategic Plan, and provides a basis for management decisions.

Key Indicators:

- A. *High priority research, inventory and preservation needs identified in the Resource Management Plan are submitted for funding through park, regional and Servicewide programs.*
- B. *Funding levels for research, inventory and preservation programs, including grants and non-ONPS funds, are commensurate with similar parks.*
- C. *The research program is comprehensive in nature, addressing the entire suite of resource and management issues.*

Findings:

- **The Resource Management Plan (RMP) was last updated in 2000. Cultural resource projects have been entered in PMIS and reflect pressing needs for cultural resource studies, in particular a Cultural Landscape Report.**
- **The park meets curatorial standards, but two principal studies are outdated: Scope of Collections Statement (1993) and Museum Collection Management Plan (1997). A PMIS project statement is in the system to correct this deficiency.**
- **There are very few research requests received each year (less than six) related to park curatorial collections. Interestingly, the draft GMP envisions construction of a regional research center.**
- **There is a Park Administrative History (1989) and Historic Resource Study (2003). In anticipation of a future update of the Administrative History, the term Museum Tech has conducted 16 oral history interviews with former NPS employees and park associates. The interviews are tape and video recorded and all interviews will be transcribed.**
- **National Register of Historic Places documentation for the park is outdated. As a cultural unit of the National Park System, the park was automatically listed on the National Register in 1966 upon passage of the National Historic Preservation Act. In 1976, MWRO professionals prepared the park's one and only nomination. Since that time, additional land has been added and more insight has been gained about park resources. As part of the 2003 Historic Resource Study (HRS), the contract Historian prepared an updated Statement of Significance (National Register of Historic Places (NRHP) nomination, Section 8) which is appended to the HRS. Completion of the Cultural Landscape Inventory has resulted in identification of several NRHP-eligible cultural landscapes within park boundaries. All of this new data should be synthesized and presented in a new, updated NRHP nomination.**

Recommendations:

- **Prepare a PMIS project statement to update the park's 1976 National Register documentation. It is recommended that this project takes place after the Cultural Landscape Report has been completed.**

Standard 20.2: The park identifies, evaluates, monitors and protects natural and cultural resources.

Key Indicators:

- A. *Decisions affecting natural or cultural resources are made on the basis of scientific or scholarly information.*
- B. *Long-term goals of the Strategic Plan relating to natural and cultural resources are met.*
- C. *Professional resource organizational needs are documented in the park's OFS requests.*

Findings:

- **Cultural Resource Management (CRM) at the park is anemic and is performed in a caretaker fashion. The only full-time position devoted to a cultural resource function is the Museum Tech GS-07 (term). The Administrative Technician (Museum) PFT GS-7 has responsibility for the park's curatorial and NAGPRA program. The Facility Operations Specialist PFT GS-11 serves as Park Section 106**

Coordinator, but to have the person responsible for development projects to be also in charge of determining CRM compliance may cause conflicting priorities on that person. The Park Ranger (LE) STF GS-09 has little to no input in the park's CRM program, yet he holds advanced degrees in anthropology/archeology and works during furlough periods for the Department of the Interior's NAGPRA program as a field investigator. Surprisingly, this in-park Cultural Resource Specialist is dissuaded and /or admonished for speaking out for CRM concerns. The museum curation facility meets standards.

- There is a fundamental need for a Cultural Resource Specialist at the park. This position has been vacant since 2000 and, as a result, there is no real management voice for CRM concerns. There is a "Priority 7" OFS request to "Restore and Maintain a Cultural Resource Management Program (2.7 FTE, \$210,000)." The request explains that in 2000, the park's CRM trainee transferred and "Management chose not to fill the vacancy; dividing the responsibilities amongst current staff as collateral duty for which there is little professional guidance or oversight." That 2000 decision coincided with the park's current practice of inadequate compliance with historic preservation law and policies.

Recommendations:

- Update the pending OFS "Priority 7" request to give it a higher park priority ranking.
- The park should remove Section 106 Coordinator responsibilities from the Facility Operations Specialist and avoid the inherent conflict of interest that designation presents. It is recommended that until a Cultural Resource Specialist is hired, Section 106 Coordinator duties should be performed jointly by the Natural Resource Manager PFT GS-11 and the Park Ranger (LE) STF GS-09.

Standard 20.3: Planning decisions to undertake actions affecting natural and cultural resources follow a prescribed process and have the appropriate professional and public consultation and review.

Key Indicators:

- A. All park development is very carefully weighed to minimize impact on park resources; new facilities are sited to reduce impacts and increase sustainability; and redundant facilities are removed whenever possible, unless they have gained historic significance in their own right.
- B. An internal process exists, which involves the appropriate professional disciplines, to determine whether a planned action affects a natural or cultural resource, involving the appropriate professional disciplines.
- C. Documentation exists regarding consultation and the NEPA/NHPA process sufficient to construct an Administrative Record.
- D. The park has designated NEPA/NHPA coordinator(s) who have received appropriate training to carry out their responsibilities.

Findings:

- Since the 1995 reorganization when delegation of authority for complying with Section 106 of the National Historic Preservation Act was passed Servicewide from Regional Directors to Superintendents, the park began to abuse the delegation of authority between 1999-2000 by sometimes eliminating the internal agency review process and subsequent Section 106 review by the Iowa State Historic Preservation Office (SHPO). The park has frequently failed to properly document proposed undertakings and has not provided "Assessment of Actions Having an Effect on Cultural Resources" (more commonly known as XXX forms) to its established list of cultural resources advisors for review. This is a violation of the 1995 and 2008 Programmatic Agreements for Section 106 compliance. The in-house review by MWAC and MWRO CRM specialists is mandatory—not optional—and must take place prior to initiating consultation with the SHPO.
- A review of park files indicates no undertaking that required full Section 106 compliance review with the Iowa State Historic Preservation Office (SHPO) took place. It is not possible based upon documentation available during the Operations Evaluation review to construct any administrative record to demonstrate competent Section 106 compliance by park personnel. Should the NPS face a lawsuit on any project performed since 2000, it will have to do so without a clear administrative record. If the park faces an audit by the SHPO or Advisory Council on Historic Preservation, this lack of administrative record will

result in the park being excluded from the streamlined review provisions of the 2008 Programmatic Agreement. That will result in every project undergoing full Section 106 compliance review for an undetermined period of time until the park can prove itself competent to perform its CRM responsibilities.

What follows is a representative sampling of past park Section 106 activities:

September 12, 2001: Park Section 106 Coordinator informed Superintendent via memorandum that construction of ADA boardwalk to 3 mounds falls within the 1995 PA (stipulation 6—widening trail) “and is not subject to additional review.” A XXX was not prepared. No CRM specialist reviewed the undertaking. No evaluation of the visual impact of the modern boardwalk on the cultural landscape was presented. Park precluded any review by the SHPO. The park’s action was in error. This was not a programmatic exclusion and the visual impact constituted an adverse effect.

January 24, 2004: Acting Regional Director returned XXX review to park to “Construct Indian Living Shelter/Garden Plot.” Park Section 106 Coordinator indicated there was no PA exclusion which applied and checked the box “Standard 36 CFR Part 800 Consultation” indicating further consultation was required. Regional Historian wrote the following comment: “Full 106 consultation with Iowa SHPO is required—concur with park’s assessment.” The XXX form was relegated to park files and no Section 106 consultation with SHPO was undertaken.

May 24, 2005: Regional Director returned XXX review to park to “Remove and Replace Two Unsafe Bridges on the Hanging Rock Trail.” Park Section 106 Coordinator indicated there was no PA exclusion which applied and checked the box “Standard 36 CFR Part 800 Consultation” indicating further consultation was required. MWAC Archeologist stated, “The project will impact an area greater than the current bridges, footing, and trails. Given that the area has not been systematically inventoried for archeological resources, a finding of no effect would be premature. The areas to be impacted outside of the existing bridge, footings, and trail should be examined for any archeological materials through shovel testing prior to initiation of the project.” Regional Historian wrote “Requires 106 review by SHPO” and certified that no PA exclusion applied. The XXX was relegated to park files and no Section 106 consultation with SHPO was undertaken.

November 26, 2007: Park Section 106 Coordinator notified MWAC Archeologist via email about a site survey to construct a “Temporary Maintenance Structure” measuring 26’ x 36’ in the North Unit. The survey results were prepared after construction took place. The area of impact was adjacent to and highly visible from mounds in an area that had experienced prior disturbance by crop and livestock farming and where NPS had added 8 to 10 inches of gravel to accommodate a maintenance bone yard. 22 posts were installed at a 4-foot depth. 11 of the holes were evaluated by two para-professional archeology trained employees with a report of no cultural material found. This undertaking saw the construction of a modern building within a NRHP-listed landscape with no evaluation of its impact to that cultural landscape. There was no XXX form prepared and Regional CRM specialists were not consulted for an undertaking that was not covered under the PA. Introduction of a modern building to a cultural landscape necessitates full Section 106 compliance review by the SHPO. This was not done.

Recommendations:

- It is recommended that the “Temporary Maintenance Structure” and bone yard in the North Unit be removed because it was implemented without benefit of Section 106 review.
- It is recommended that all undertakings that introduce modern elements to the NRHP-listed landscape be circulated to all affiliated tribes for Section 106 compliance consultation review.
- **Immediately** reinstitute the in-house agency review for Section 106 compliance by utilizing the “Assessment of Actions Having an Effect on Cultural Resources” (XXX form) and circulating it to MWAC and MWRO CRM advisors for review and comment. A XXX form will be prepared for every

project performed in the park in sufficient time prior to implementation and circulated for review. Those undertakings that do not conform to the Programmatic Agreement will all be forwarded to the Iowa SHPO for Section 106 review.

- It is recommended that, in order to ensure full compliance with law and policy, all park Section 106 compliance review with the Iowa SHPO be carbon-copied to the Regional Director, Attention: Chief, History and National Register Programs. All correspondence received from the SHPO will also be forwarded to the same office.

FACTOR 20: RESOURCE MANAGEMENT

Natural Resource Management

Standard 20.1: Planning and compliance addresses natural resource goals, or desired future conditions identified in the Park's General Management Plan.

Key indicators:

- A. RSS. An approved Resource Stewardship Strategy or specific management plans identify important resource management objectives and addresses issues important to the decision making managers of the park, and are consistent with desired future conditions set forth in the GMP.*
- B. NEPA & Sec.106. Planning decisions to undertake actions affecting natural and cultural resources follow a prescribed process and have the appropriate professional and public consultation and review. All park development is very carefully weighed to minimize impact on park resources; new facilities are sited to reduce impacts and increase sustainability; and redundant facilities are removed whenever possible. Project proponents participate in consultation and the NEPA/NHPA process is sufficient to construct an Administrative Record. The park has designated NEPA/NHPA coordinator(s) who have received appropriate training to carry out their responsibilities. Projects are entered into PEPC and the public is involved.*
- C. GPRA/PMDS. Strategic Plan. A five year strategic plan provides a basis for management decisions, is integrated into operations, annual work plans and accomplishments reports are completed on time.*

Findings:

- **The Resource Management Specialist (RMS) possesses an extensive knowledge of natural and cultural resources, and has contributed to the management and development of the park through many significant planning documents spanning decades.**
- **A Resource Management Plan (RMP, 2000) exists provides a general overview and direction for resource management activities.**
- **A Resource Stewardship Strategy is in draft that will provide direction for resource management, and will direct actions toward desired future conditions found in the draft GMP.**
- **A GMP (GMP, 1990, 1999) exists.**
- **A new GMP is in development that includes Desired Future Conditions (DFC).**
- **The RMS has been successful bringing soft funding to important projects identified in park planning documents like the RMP and draft RSS.**
- **A 5-year update of the Fire Management Plan is in draft that fits DFC.**
- **Development activities in the park appear to be occurring out of timing with the GMP planning process.**
- **Facilities development and resource protection appear to be out of balance.**
- **A recently constructed temporary maintenance facility appears to have been constructed without proper compliance.**
- **Planning and compliance for a trail system between the Visitor Center and the Marching Bear site appears to have been evaluated in three different Environmental Assessments, in contradiction to NPS standards, where the cumulative effect is not addressed.**

- The trail development, because of a proliferation of built environment in the river corridor may/will threaten the Yellow River Wild and Scenic Rivers designation. The third EA (draft) of the trail development contradicts the findings of the second EA. The preferred alternative of the third EA will likely not be the Environmentally Preferred Alternative, contradicting NPS standards.
- The park's Administrative Records regarding compliance do not appear to be in order or consistent with NPS directives.
- No formal process exists to evaluate projects having the capacity to impact park resources.
- There does not appear to be a designated compliance officer, acting as a subject matter expert, or coordinator of the compliance process.
- Planning, Environment, and Public Comment System (PEPC) training has been completed by key park staff, but PEPC is not integrated.
- An Interdisciplinary Team has not been established, and does not meet regularly to review projects.
- The RMS has received training in DO-12 and PEPC.
- A GPRA 5-year plan exists.

Recommendations:

- Park Managers should receive training in NEPA, DO-12 and planning, and the construction and keeping of an administrative record.
- Complete the Resource Stewardship Strategy and integrate into the GMP DFCs.
- Align park development with resource protection through evaluation in the GMP.
- Construct an adequate administrative record of compliance on the temporary maintenance structure.
- Reconcile planning and compliance (three EAs) for the trail system to the Marching Bear site and consider cumulative effect, the Wild and Scenic Rivers designation, ADA, and the Environmentally Preferred Alternative.
- The park's Administrative Records regarding compliance for existing and underway projects should be constructed using existing documentation, and an audit of the record should be conducted.
- Establish a formal process to evaluate projects having the capacity to impact park resources.
- Designate a compliance officer, to act as a subject matter expert on the compliance process.
- Launch PEPC.
- Appoint an Interdisciplinary Team including all divisions and multiple disciplines and schedule regular meeting to evaluate projects.

Standard 20.2: Ecological restoration and fire is conducted according to established practices and techniques, and is consistent with Directors Orders and Management Policies.

Key indicators:

- IPM. Integrated Pest Management program includes (if required in the state) certified applicator, proper record keeping and storage of chemicals and application equipment. Copies of pesticide use logs are consistent with approved pesticides. Equipment and pesticides are acquired following approval and stored separate from flammable materials.*
- Exotic plant management. Exotic plant control is conducted in an effective and safe manner incorporating Best Management Practices. A written exotic plant management strategy exists. Personal Protective Equipment and appropriate training is provided to each applicator. MSDS sheets are readily available, and herbicide/pesticide is stored appropriately. Specific areas and targeted plants are identified for treatment based on risk assessment. The park's program is coordinated with local EPMT.*
- Restoration of disturbed lands: The park has identified disturbed areas, and restoration needs are articulated. Site evaluations have been conducted to determine what sites could be ecologically restored using fire, exotic plant removal, reintroduction of extirpated species, etc. Management policies are followed and compliance complete. The best suited restoration methods were chosen.*
- Tech Ass. Program deficiencies are enhanced or supplemented by technical assistance requests of region, WASO, or NRPC staff through the SCC.*

Findings:

- The park is doing an outstanding job of keeping herbicide application records.
- Two departments, Maintenance and Natural Resources, have staff that are certified to apply pesticides. Herbicide application records from both divisions were complete and included the amount, type, date, weather conditions, locations, and person applying the herbicide.
- PPE is available and being used.
- The area around the parking lot and Visitor Center (a public area) is not being posted with signs after herbicide application.
- The park was not maintaining records of the amount, type, date, or location of pesticides placed throughout the park.
- An Exotic Plant Management Team (EPMT) is funded for the park in 2010.
- Two seasonal Bio Techs are base funded for exotic plant control.
- A base increase in 2009 will fund two additional bio techs, a crew leader, and a biologist.
- The concepts of integrated pest management (IPM) (a holistic approach to invasive plant management) are ingrained in the staff and program. The program is focused on exotic plant control throughout the year. Pesticide and herbicide use logs are consistent with standards and, in some cases, exceed standards to include specific location, area treated, species treated, and effectiveness. Pesticide use is authorized and reported appropriately through the Pesticide Use Proposal System (PUPS) system. Material is stored separately from flammable material, and record keeping is good. Areas treated are GPS'ed and monitored.
- All herbicides, and most pesticides are registered in PUPS; some were entered and not approved but still being used in the park. "Just One Bite" mouse bait was requested through PUPS, denied, and is still being used at the park. "Raid Wasp and Hornet Killer" was not included in this year's PUPS request; the product was requested and approved for the park in 2008.
- The park has a museum IPM plan.
- There is no park-wide IPM plan.
- Exotic garlic mustard is invading the park.
- Fire is used as an effective restoration tool for resource management.
- The invasion of exotic plants, displacement of native plant communities and the subsequent alteration of the plant community is perhaps one of the most acute resource management threats the park faces in the near future.
- Spraying equipment and most pesticides were stored in a locked and vented pesticide cabinet with keys provided only to licensed pesticide applicators.
- "Off Insect Repellent" and "Raid" were stored in cabinets instead of in a pesticide locker at three sites: building #161, a wooden cabinet in the maintenance building, and in a wooden cabinet in the administrative office area.

Recommendations:

- Continue to keep up the good work in maintaining herbicide application logs.
- Develop a parkwide Integrated Pest Management (IPM) plan to include maintaining a log of the date, type, amount, location, and person applying the pesticide.
- Signs indicating "This area chemically treated. Keep off" (or similar text) should be placed on treated areas near the parking lot and Visitor's Center according the Iowa Pesticide Rules, 45.5.
- Continue to devote effort to exotic (garlic mustard) control.
- Continue using fire as a restoration tool for resource management, and develop capacity for future fire management in other staff.
- The ideal storage for "Off" would be in a pesticide locker; "Raid" should be stored in a flammable 7(metal) pesticide cabinet.

- **All pesticides used in the park need to be requested through PUPS and approved before using them in the park. Purchasing pesticides and then requesting approval should not take place. Pesticides that were requested and not approved should be removed immediately and disposed of appropriately.**

Standard 20.3: The park conducts research, inventories and monitors natural resources. Resource Management provides scientific information to managers for decision making.

Key indicators:

- I&M. An I&M plan exists and is being implemented.*
- Research. The research program is comprehensive in nature, addressing an entire suite of natural resource and management issues.*
- Resource Protection. Visitor Education reflects resource preservation themes. LE understand the location and significance of resources at risk of theft of impact due to visitor interactions.*
- Information Transfer. RM info influences management decisions. External threats to park resources are well supported by resource information. Decisions affecting natural resources are made on the basis of scientific or scholarly information.*
- PMIS. High priority research, inventory and preservation needs identified in a Resource Management Plan, Resource Stewardship Strategy or equivalent, are submitted for funding through the SCC. Staff and program deficiencies are identified in an OFS request.*

Findings:

- **Natural resource inventory and monitoring activities are well designed.**
- **Water resource monitoring conducted in cooperation with the State, involving river stage and water quality data is an important partnership.**
- **Park employees provide assistance to I&M studies and water quality activities.**
- **Scientific information affects management decisions through collaboration with outside agencies using collected and analyzed data.**
- **Collection of resource information is facilitated through collaboration with universities and State Agencies, like the deposition core data collected in founder's pond.**
- **One federally listed species exists in the park, the Higgins's eye, pearly mussel.**
- **Sixty State listed species occur in the park.**
- **One State listed species, the red shouldered hawk nests in three locations of the park.**
- **The park NRS works with universities and others to provide research products and services.**
- **High priority projects are found in PMIS.**

Recommendations:

- **Resource managers and visiting scientists should present their results to the management team periodically in order to promote better scientific information transfer.**
- **A research opportunities brochure should be developed by RM staff, research topics should be placed on the Heartland Network and/or CESU Web site.**
- **Periodic meetings with the Interpretive Division would facilitate interdivisional understanding, cooperation, and harmony. Resource management should develop briefing statements on important resource projects or issues.**
- **NPS Research Permit and Reporting System (RPRS) is used and annual reports are made.**
- **Additional monitoring and research related to the federally listed mussel is needed.**
- **Continued monitoring and protection of the State-listed red shouldered hawk should continue.**

*Standard 20.4: Resource management related **partnerships** address important issues addressed in a RSS, GPRA strategic plan, annual work plan or equivalent, and foster collaboration with other park research, habitat preservation, restoration or education programs.*

Key indicators:

- A. *RPRS. External partners conducting research in the park obtain a research permit through the electronic RPRS program. An annual accomplishment report is submitted by each researcher. Research needs and deficiencies are identified and made available to potential researchers through the RPRS program.*
- B. *University Partner. Institutions working in the park operate under a signed agreement that stipulates what each partner will provide, work to be completed, a reporting and feedback schedule, and a pathway for permitting. Research needs are reflected in RSS or equivalent document and are shared with the University partner.*
- C. *Park advocate or environmental interest groups are engaged, and understand the mission and importance of the park. Groups are involved in meaningful advocacy work and or participate in work that benefits the park.*
- D. *State, or Local governments having jurisdiction or otherwise working in the park are included in a signed agreement. Work is consistent with law, regulation and management policies.*
- E. *CESU. Research needs are identified, in a written document communicated to the CESU director annually in a formal meeting.*

Findings:

- **The park's research program is comprehensive and benefits from the participation of state and university partners.**
- **I&M network and State participation in Dawsman Creek involving water and fish monitoring is an example of a productive partnership.**

Recommendations:

- **A research opportunities brochure should be developed by RM staff with research topics placed on the Heartland Network and/or CESU Web site.**
- **Continue fish work on Dawsman Creek.**
- **Find a partner to conduct land snail surveys.**

FACTOR 21: DROPPED

FACTOR 22: NPS IDENTITY

Standard 22.1: A positive and professional image of the NPS is conveyed through the use of the uniform, signage, informational, and interpretive media.

Key Indicators:

- A. *The park has developed and follows a policy regarding the appropriate wearing of the NPS uniform.*

Finding:

- **The park does not appear to have an active uniform committee. Neither the Park Uniform Coordinator, nor the Park Uniform Program Administrator wears the NPS uniform. A 1997 memorandum from the Superintendent directed a park uniform committee to develop park uniform standards, but it does not appear that the committee completed its work. Supervisors review the uniform orders of their employees to ensure that they order correct uniform items. Some uniformed employees wear a United States flag pin above their nameplate.**

Recommendation:

- **The park should reactivate its uniform committee including members that wear the NPS uniform. The uniform committee should develop a uniform policy for the park. Uniformed employees should not wear the United States flag pins.**

Finding:

- EFMO-97-05 memorandum permits employees to purchase custom-designed business cards with their own money.

Recommendation:

- The park should rescind the EFMO-97-05 memorandum since the NPS now has a standardized business card available with government funds.
- B. Publications, exhibits and signage convey a clear understanding that the site is a unit of the National Park System.*

Finding:

- Publications and exhibits convey a clear awareness of the site as part of the National Park System. Publications follow the NPS Graphic Identity Program. While signs and displays in the Visitor Center employ standards of the NPS Graphic Identity Program, the number of signs and displays on the walls present a rather busy appearance. Highway directional signs do not convey a National Park System image. In some cases, major highways do not have directional signs to the park. The park removed its entrance sign for the Sny Magill Unit because of consistent vandalism and theft of the NPS Arrowhead on the sign. The Maintenance Division has begun work on corrective action to the sign. The park seems to have an abundance of signs on its trails with a variety of formats and materials. While each sign undoubtedly has a purpose, the cumulative effect of all the signs seems to impact visitor experience of the park's resources. The park seems to have an excessive number of bulletin boards at the beginning of trails and out on the trails. In some cases, the items posted in the bulletin boards do not convey a professional appearance.

Recommendation:

- The park should consider the preparation of a parkwide sign plan prepared by one of the IDIQ contractors under the management of the Harpers Ferry Center. In the preparation of the sign plan, it seems very important that all divisions have involvement in decisions on the type of signs, their location, and their number and frequency. The sign program should not remain the exclusive domain of the Maintenance Division. The park should take great caution in deciding to place signs in the proximity of park resources especially its archeological resources. It should make an assessment of the cumulative impact of signs and make any necessary reductions in the number of signs. The park should take care to project a professional image in the design of its bulletin board items. It should reconsider the placement of bulletin boards on trails beyond trail heads. The park should expedite the reinstallation of the Sny Magill Unit entrance sign.

Finding:

- The NPS Arrowhead on the Visitor Center information desk is the outdated design. The arrowhead's location is not apparent to visitors when they enter the facility.

Recommendation:

- The park should replace the NPS Arrowhead on the Visitor Center information desk with the current design. The park should consider relocating the arrowhead to a position where visitors would notice it when they first enter the facility. This would introduce to visitors that they have entered a unit of the National Park System.

FACTOR 23: ENVIRONMENTAL STEWARDSHIP

Standard 23.1: Sustainable practices and concepts including compliance with Federal, State, and Local regulations and NPS policies are integrated into all park operations.

Key Indicators:

A. *Audit Findings are corrected in a timely fashion, documented, and those new practices continue to this day.*

Finding:

- The park's last audit took place in 2008; the final audit is not yet completed. Prior to that, the park had an audit in 2003. The WASO Audit Web Site shows that all 14 findings from the 2003 audit were corrected.

Recommendation:

- **Keep up the good work!**
- B. *The park has a designated hazardous waste coordinator and a controlled containment site for storage of hazardous waste. Park generated waste is remove in 90 days or less. All hazardous waste is transported by EPA manifested waste disposal. Reference: NPS EnviroFact Sheet, "Managing Hazardous Waste: Generator Requirements"*

Finding:

- The park's designated Hazardous Waste coordinator is the Facility Manager. The park has a Hazardous Waste Management Plan that was last signed in 2008 by the Facility Manager; the Plan has not been signed by the Superintendent. The Plan designates a controlled containment site for the storage of hazardous waste. The park believes that they are a Small Quantity Waste Generator; however, the park is not keeping a monthly waste log. There is lead based paint onsite. Staff indicated that it would be used, rather than dispose of it. The park also uses solvents. Staff indicated that spent solvents would be allowed to evaporate.

Recommendation:

- The park should maintain a monthly hazardous waste log and indicate '0' for any month that they do not generate hazardous waste. Spent paint thinners and mineral spirits should be collected and disposed of as hazardous waste; they should not be allowed to evaporate. Products such as paint thinner, mineral spirits, and old/excess lead based paints that are hazardous wastes should be collected and stored appropriately at the designated controlled containment site for no more than 90 days. When the hazardous waste is transported offsite, the park should use a licensed transporter and keep a manifest of the waste disposal. Some companies that other parks have contracted with to dispose of their hazardous waste are Safety Kleen (<http://www.safety-kleen.com/Pages/Default.aspx>) and Clean Harbors (<http://www.cleanharbors.com/>). The park might also check with local auto repair shops to see where they get rid of their solvents and paints. NPS EnviroFact Sheet, "Managing Hazardous Waste: Determining Generator Status;" NPS EnviroFact Sheet, "Managing Hazardous Materials;" EnviroFact Sheets are located at <http://inside.nps.gov/waso/custommenu.cfm?lv=4&prg=1092&id=6788>.
- C. *The park conducts annual and monthly inspections of oil products, hazardous wastes, and storage and accumulation sites. Deficiencies are recorded and corrected in a timely manner. Inspection records are maintained for 3 years.*

Finding:

- The park has one 30-gallon barrel for used oil that gets recycled about once a year; a monthly inspection log is maintained. The propane tank and 100-gallon diesel tank are not being inspected. Currently, there are no hazardous wastes being stored at the designated collection site.

Recommendation:

- The park should develop a monthly inspection process for the propane and diesel tanks and maintain a record of those inspections. Inspection should include looking for leaks, broken gauges or hoses, and

ensuring tanks are secured (locked). Once the park begins storing hazardous wastes, they should maintain a monthly inspection log of these wastes.

D. *The park collects, stores, and recycles or disposes of universal waste in accordance with environmental regulations and NPS policies. Record keeping includes monthly and annual recycling summaries of the quantity, type, and recipient for batteries, used oil, used antifreeze, and fluorescent light bulbs. Reference: NPS EnviroFact Sheet, "Managing Universal Waste"*

Finding:

- The park generates a small quantity of used oil that is appropriately stored with containment, is signed "Used Oil Only." The park takes this oil to the local John Deere dealer (in Iowa) and receives a receipt for the amount recycled; the oil is burned. The park also takes their used coolant to John Deere; no log of coolant amounts is maintained. The park is properly storing used fluorescent tubes in Lamp Tracker boxes; there was not a monthly inspection log for these boxes. The park maintains a 100-gallon diesel tank. Currently, there are no hazardous wastes being stored in the designated collection area.

Recommendation:

- The park should confirm that the John Deere dealer has an EPA identification number to show that they are a used oil burner. The park may also want to pursue other options for disposing of their used oil and coolant. The Iowa DNR site at <http://www.iowadnr.gov/waste/iwe/index.html> has information regarding used oil and other waste products; Iowa transporters and processors of used oil at <http://www.iowadnr.gov/waste/hhm/files/transporters.pdf>.

Finding:

- Nearly all chemical lockers had signs indicating "Store Nothing Below this Shelf" to keep the bottom containment area available for spills. One fuel can storage locker had cans stored on the bottom shelf, reducing available spill containment area.

Recommendations:

- Ensure that items are not stored in the bottom containment area of chemical storage lockers.

E. *The park has an up-to-date Hazard Communication Plan including a current chemical inventory. The park follows the plan and documents training. Reference: 29 CFR 1910.1200*

Finding:

- The park has a Hazard Communication Plan, provides training once a year at their all employee meeting, and has recently created an inventory of hazardous chemicals. Although training is provided, staff did not indicate that they were aware of the Plan or the process to incorporate new chemicals into the list. Two large material safety data sheets (MSDS) binders were located in the Maintenance building and the Visitor Center; the park did not have a Master MSDS binder; binders did not contain an index. All staff interviewed knew where the MSDS binders were located.

Recommendation:

- Provide staff with additional hazard communication training. Create a Master MSDS binder; include an index in the front of binders.

F. *The park has an up-to-date SPCC Plan (Spill Prevention, Control and Countermeasures) and follows it. The park maintains records of current spill response (HAZWOPER) employee training. Inspections are conducted in accordance with the plan and inspection records are maintained for three years. (Threshold for an SPCC Plan is 1,320 gallons; otherwise it is recommended that the park should have a SPCC SOP) Reference: NPS EnviroFact Sheet, "Spill Prevention, Control and Counter Measures Plans."*

Finding:

- The park does not meet the 1,320-gallon storage criteria that would require them to have a Spill Prevention, Control and Countermeasure (SPCC) Plan. Staff indicated that both diesel fuel and propane tanks are filled during off hours when staff are not on-site. There was no measurement of fuel in tanks either before or after fueling. It was noted that when staff removed fuel from the 100-gallon diesel tank, they indicated that they put down a catch pan and were ready with sorbent in the event of a small spill. Staff were trained on what to do if there was a small (3 gallon) spill and knew where the spill kits were located. The park does not have a JSA or SOP for having staff present during tank filling or for fuel removal from the diesel tank.

Recommendation:

- There should be staff present for fueling of both the propane and diesel tanks; they should be ready with sorbent and a catch pan for diesel fueling. Fuel levels should be recorded both before and after fueling to verify receipt of the amount of fuel indicated on the receipt.

G. *The park has an up-to-date EMS Plan (Environmental Management Systems) and the EMS Team meets at least once per year. Progress is made towards established plan goals and EMS awareness training is provided to all employees. EMS Team meetings and employee training is documented. Reference: EO 13432*

Finding:

- The park has a current EMS Plan; the team meets monthly. The park is doing a good job at working towards the goals that they have outlined; the goals did not appear to be quantifiable. EMS team meeting minutes were kept. Although EMS training was provided and documented, staff interviews showed that staff was aware of recycling in the park, but were not knowledgeable about the park's EMS Plan.

Recommendations:

- Provide additional information to staff regarding the park's EMS Plan including letting them know when it is posted in the Shared folder. The park is posting EMS team minutes on their shared drive. Goals should be quantified and a timeframe proposed for completion. NPS EMS components were provided to the park's EMS Team Leader to help facilitate this recommendation.

H. *The park has a Solid Waste Management Plan and are meeting their waste reduction goals.*

Finding:

- The park does not have a Solid Waste Management Plan. The park reached a 98 percent diversion rate on their 2008 Sustainability Report.

I. *The park has a laboratory chemical hygiene plan and follows it.*

Finding:

- The park does not have a laboratory.

J. *Sound environmental practices are present in all applicable park functions and activities.*

Findings:

- The park has a Draft "Green Purchase Plan." The park has used (where appropriate) recycled plastic decking to rebuild some decks. There is a solar powered 'Lazy Gate' at the entrance to the North Unit. The park recycles spent fluorescent tubes, compact fluorescent bulbs, office paper, plastic, aluminum, and construction debris. They are purchasing paper with 50 percent recycled content, beyond the 30% recycled content required by NPS.

Recommendation:

- Keep up the good work!

Finding:

- The park is collecting used household batteries for recycling and doing an excellent job of taping over connectors to prevent accidental connections; the collection bucket did not have an accumulation start date indicated nor a sign indicating ‘used batteries.’

Recommendation:

- Sign the battery collection bucket with the collection start date and the words “Used Batteries.”

Finding:

- The park was aware of the need to incorporate an environmental message into their educational efforts. In the past, they had offered a Climate Change brochure in their brochure rack.

Recommendation:

- The park might consider displaying the Climate Change brochure again, providing a segway to discuss environmental practices with visitors. They might also share their park’s efforts to recycle and reach other environmental EMS goals as a way to showcase their park.

Finding:

- The park is using recycled paper products, some environmentally friendly cleaning products, and making an effort to look for new environmentally friendly products to replace cleaning products and vehicle fluids.

Recommendation:

- Continue to incorporate more recycled and environmentally friendly products into those used by the park. The park may consider developing an Approved Purchase List that is provided to all credit card holders. An Approved Purchase List will accomplish several things for the park: 1) it will give employees (especially those that would need to use their credit cards to purchase a product locally) the approved choices for products to purchase; 2) it will allow the park to maintain fewer MSDS sheets if purchases are kept within the list parameters; 3) it will provide a product list for products that the park, the MWRO, or NPS has researched and recommended; and 4) it will allow the park to choose products that are more green and/or less hazardous than ones that may be chosen by employees making purchases.

END OF REPORT

Supporting
Records:

Operational
Evaluation

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1		Sny Magill Tree Removal	1998		AOE -- remove 75 medium to large trees from 10 acre mound site; also remove 100+ small trees and saplings			Y-EA+	Y
2									
3	41795A	Survey, Delineate and Construct Boundary Fence	1999	6290-MCG: CC	This project was funded and accomplished in Nov. and Dec. 1999 which included the purchase of GIS equipment for the monument. Surveys revealed that some boundaries were inaccurately placed.	\$20,000.00		Y-CE+	
4		AOE -- Nazekaw Point Eagle Scout Trail Project	1999		Enhance existing maintenance access trail adjacent to 3 mounds at Nazekaw Point. Remove trees/brush to open area 20 to 30 feet surrounding mounds; clear area around maintenance trail; open viewshed for two overlooks.			Y-EA	Y
5		AOE -- Herpetological Survey	1999		Herpetological and small mammal survey of EFMO by Drake U. Install drift fences in non-sensitive or cultural areas. Fence erected by peeling back sod, 150' fence held in place by replaced sod. 5 pit fall traps size of 5-gal buckets (1' x 1') per fence. Est. 50 pits (10 fences).			Y-CE	Y
6		AOE -- South Unit Accessible Trail/Underpass	1999		Related to 16122A. Description: Construct accessible trail/walkway system and pedestrian underpass under State Highway 76 to mounds 58, 59, 60, and 61. Concrete 6 foot wide walkway from VC. From wooded area, boardwalk on crete piers to underpass/other side to mounds. Project not started at that time?			Y-EA+	Y
7	41787A	Replace Hazardous Landscape Area Trees, Visitor Center Terrace, Phase 1	2000	6290-MCG: RC	Project completed FY00. Landscape area drainage problems were corrected and fill brought in to level areas around the Visitor Center for anticipated planting of landscape area trees and removal of hazardous trees in FY 2001.	\$25,000.00		Y-EA	
8	16122A	Replace Hazardous Access To South Unit; Meet Ada (Ph I)	2000	6290-MRG: RR	Actual Project Cost: \$ 389,100 Phase 1 saw the construction of 975 feet of elevated boardwalk, 450' of concrete walk and tunnel/underpass under HWY 76 to allow safe passage of visitors to the South Unit.	\$300,000 00		Y-EA	
9		Explanation of Section 106 Process	2001		Email from EFMO Superintendent to MWAC Jeff Richner (3/19/01, 2 pages): "Could you provide timelines required for the following processes: NEPA/EA Public Review & Sec. 106"				

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1									
10		Draft AOE -- Wildland/Urban Interface Initiative (prepared 5/24/01)	2001		Implement "new Fire Management Plan". Introduce prescribed fire on large scale throughout EFMO. Fire restore environment and cultural landscape associated with mound building cultures. Second project is reduction of hazardous fuels by mechanical means (hand cutting and dispersal of small and downed trees/debris. Reduce potential for property damage in event of wildland fires and improve control of prescribed fires.			Y-EA	
11		AOE -- Yellow River Bridge/Marching Bear Trail	2001		Install 160' x 10' pre-manuf steel bridge on cast-in-place concrete piers; construct 700 linear feet elevated boardwalk; 800 linear feet crushed aggregate to provide safe visitor access to South Unit/Marching Bear Mound Group. Related to 16122A.			Y-EA	Y
12		Construct ADA Boardwalk to 3 Mounds	2001		9/11/01 staff meeting: relocation/widening of existing trail to 3 Mounds area. "I feel that the project falls within the 1995 PA Section IV B 6, and is not subject to additional review." (Chief of Mntnc) Statement is incorrect.			Y-EA+	
13		AOE -- Repatriation and Reinterment of Human Remains	2001		Repatriation occurred in Three Mound Area of the North Unit, Sny Magill and Marching Bear Units. Notice published in Fed Register 3/9/01.				Y
14	25815	Correct Trail Hazards In North Unit, Provide ADA Access	2001	6290-MRB: RR	Accomplished \$420,500.00. Redesign/replace unsafe guard rails and overlook barriers. New barriers where needed and replace/repair loose or missing edge material. Wheelchair access to Little Bear Mound site provided by improving .8-mile maintenance access road. 4-car parking area graded and graveled to accommodate vehicles; 100-foot accessible trail built to link parking to mound site.	\$293,000.00		Y-EA+	
15	71985	Survey Boundary Heritage Addition (Fee Demo 53974)	2002	NON-NPS FUNDS	Survey boundaries for property lines, easements, right-of-ways. Set monuments.	\$25,000.00		Y-CE+	
16	65108	Construct 100 New Trail Signs	2002	6290-5108-M5G: Technical Corrections Act 80%	All unit trail info and directional signs replaced with wood routed signs. Replace 75 existing signs and add approx 25 new signs. <u>All areas where work is to be done and ground disturbance will occur have been surveyed and cleared through the 106 compliance process.</u> (Emphasized statement is incorrect).	\$33,279.82		Y-CE+	

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1									
17	41789	Rehab 3 miles of Trails To Correct Hazards Annually, (YCC - FY2002), Multi-year	2002	6290--MTT: YCC	Length of program: 8 weeks - 6 youth; Other funds used: 6290-MZY \$225.00 and 6290-MZL \$2,903.00 Maintain safe walking surface; repair erosion damage, construct water control devices, place gravel/wood chips on surfaces, repair stone edging/ safety railings/bridges/boardwalk repairs+G35	\$26,200.00		Y-EA	
18	41761	Design Sedimentation Monitoring Protocol for Sny Magill	2003	6290-4176--NNZ: NRPP Regional Small Park Block Allocations	Project required use of archeologist, geomorphologist, soil scientist. The investigator submitted a report outlining the sedimentation rates on the terrace of Sny Magill that contains about one hundred burial mounds. The report concluded that sedimentation rates were at a level that would cover the mounds in 400-800 years if the current rates of deposition were maintained.	\$20,000.00		N/A	
19	41788	Replace Hazardous Landscaped Area Trees Visitor Center Terrace, Phase 2	2003	6290-2304-MCY: RC	Project completed and trees planted in FY03/04. Total of 10 trees with 3"-4" caliper were purchased and planted by nursery personnel. Native species with good fall color were selected to prevent invasive exotic species from being introduced along. Species selected were Red Maple, Sugar Maple, Red Oak and Swamp White Oak. 6290-2304-MCY - \$18,590.00	\$32,400.00		Y-EA	
20	62901	Replace Damaged - Uneven Sidewalks	2003	6290-2302-MCY: RC	Work accomplished by contractor: 150 sq yards of uneven sidewalk surfaces removed and replaced with new walk at headquarters area. 6290-2302-MCY - \$6,463.00	\$13,000.00		Y-CE+	
21	66793	Restore American Indian Burial Mounds At Sny Magill	2003	6290-2301-MCY: RC	Trees up to 6" in diameter were removed from areas on and adjacent to the 100 mounds located at this asset. Brush was cleared and stumps removed to allow for increased maintenance in the area. Fill in pot hunting/snimal burrow holes with driect. Project was completed in FY 2003.	\$24,640.00		Y-EA+	
22	84173	Re-Paint Exterior of Buildings	2003	6290-2303-MCY: RC	Project completed. 3 structures painted by contractor. Total square footage of siding painted: Visitor Center: 5645 square feet; Maintenance Office: 1570 square feet; Old Maintnenace: 1575 square feet. 6290-2303-MCY - \$5,669.00	\$48,500.00		Y-CE	
23	77508	Replace Asbestos Cement and Galvanized Steel Waterlines	2003	6290-2301-MAU: RR	Dedicated fill line installed to reservoir, isolation valves installed, new float and alarm system installed, tank cleaned and disinfected, site restored.	\$124,697 00		Y-CE	
24	86916	Rehab 3 Miles of Trails To Correct Hazards, (YCC - FY2003), Multi-Year	2003	6290-6916-MTT: YCC	Enrollee costs: \$15,332.99 Supervision costs: \$6,619.52 Supplies and Materials: \$3,734.03 Appraised value of projects: Completed a major trail relocation and restoration of old trail on heavily utilized Fire Point Trail for a total of three miles of rehabilitated trail. Length of Program: 8 weeks Number of enrollees: 8 YCC Crew consisted of: 1 Adult Leader, 2 Youth Leaders, 6 Work Crew. Maintain safe walking surface; repair erosion damage, construct water control devices, place gravel/wood chips on surfaces, repair stone edging/ safety railings/bridges/boardwalk repairs.	\$28,400.00		Y-EA	
25	101416	Determine Paleo-Fire Regime As A Basis For Native Plant Community Restoration	2004	6290-R469-SCH: Cooperative Conservation Initiative - Natural Resource Projects	UW-Madison conducted--sediment cores in wetlands along Yellow River. Info on plant communities dynamics and influence of fire; develop native plant restoration model of mound building era environment.	\$8,280.00		Y-CE	

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
1	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
26	83169	Develop Issue Based Natural Resource Profiles and Resource Management Education Materials	2004	6290-R417-NYY: NRPP - Regional Small Park Block Allocations	Accomplishments of GS-05 Seasonal Biology Technician; multi-disciplinary: PMIS 83169 Goal: Placing boundary markers, and restoration and management of native vegetation communities. Results: > Conducted management/control program (mapping and hand pulling) for garlic mustard. Utilized YCC for a day to assist with hand pulling. Also mapped Photographed and took GPS points at 26 bridge crossings of the Yellow River and its north and south forks. Photographed and took GPS points. > Assisted with prescribed fire operations (materials organization, burn and mop-up activities) for restoration, resource management and exotic species management objectives. > Assisted UW Madison masters degree students with research activities (paleofire sediment coring and plant survey sampling) on several occasions. > Documented and assessed the condition of 100+ mound structures in the monument ? including proximity to trails and water features, animal burrowing activity, tree and shrub damage, canopy and ground cover characterization. >	\$24,927.20		Y-CE/EA	
27	65108	Construct 100 New Trail Signs	2004	6290-5108-M8G: Recreational Fee Demonstration, 80%	Signs and installation materials purchased. All areas where work is to be done and ground disturbance will occur have been surveyed and cleared through the 106 compliance process. (Emphasized statement is incorrect.)	\$33,279.82		Y-CE	
28	91719	Remove and Replace Two Unsafe Bridges on the Hanging Rock Trail (AOE by same name)	2004	6290-2401-MAT: RR	2 bridges installed and approaches complete. AOE -- Remove 1989-built pedestrian bridges damaged by flash flood; install footings and new bridges 4/29/05	\$79,642.00	Y -- 3/30/05	Y-CE+	Y
29	64931	Construct ADA Accessible Trail From Boardwalk to Mound Group	2004	6290-4931-M5T: Technical Corrections Act, 80%	Materials purchased for future construction of 6' wide, 750' long trail. Walking surface would maintain a 5% grade and follow natural contours. Additional bench/rest areas would be constructed at required intervals as well as safety/hand railings to match existing trail fixtures. Branch off existing boardwalk to top small ridge to access group 4 mounds.	\$8,002.00		Y-EA+	
30		AOE -- Construct Indian Living Shelter and Garden Plot	2004	Private Sector Grants	Clear area near VC/river vista area for native garden plot and living shelter to demonstrate summer living conditions for mound builders.		Y	Y-CE+	Y
31		Fire Management Plan	2004		Park Supt asks MWR CRM if FMP has undergone 106 review. No AOE was submitted. Regional review? "If you received no specific Section 106-related comments as a result of Regional review, you may assume that we found no specific 106-related issues with it."			Y-EA+FONSI	

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1									
32	86941	Rehab 3 Miles of Trails To Correct Hazards, (YCC - FY2004), Multi-Year	2004	6290-6941-MTT: YCC	Scenic view Trail relocated away from critical cultural resources and old trail rehabilitated. Severe erosion near visitor center building was filled and controlled. Trailside safety railings were repaired and added where needed.	\$29,700.00		Y-EA+	
33	86941A	Control and Monitor Garlic Mustard Multi-year	2005	6290-R522-NNP: NRPP - Regional Small Park Block Allocations	Garlic Mustard control: 1) Sprayed overwintering basal rosettes with Roundup during Nov-Dec and 2) followed up in spring by hand pulling and bagging second year plants (flowering) that escaped treatment and 3) fire-treated emerging seedlings using a backpack torch. All areas treated were mapped (using GPS/GIS) and denoted as such. Once follow up treatments were completed in the herbicide-treated areas, we began canvassing the rest of the park, mapping any infestations (using GPS/GIS) encountered and hand pulling and bagging all second year plants. Once plant seed formation began approaching maturity, we utilized the backpack torches to burn any maturing second year plants. Treated 6.7 acres and spring follow up Canvassed 700 acres mapping all infestations using GPS/GIS and removing second year plants by hand pulling and bagging 5 acres canvassed mapping all infestations using GPS/GIS and treating maturing second year plants with a backpack torch 10 acres in Sny Magill unit mowed to reduce seed production At this time, roughly 15% of the park (375 acres) is impacted by garlic mustard.	\$30,000.00		Y-CE+	
34		AOE -- Install New Water Line to Reservoir	2004		Bore trench for 2" water line from well bldg to reservoir (600 linear ft) following 1959 trench.		Y --sgd Supt 4/22/04	Y-CE+	Y
35		AOE -- Repatriation and Reinterment of Human Remains	2005		Reinterment of prehistoric human remains and one associated funerary object as per NAGPRA. Test unit to culturally sterile depth 30 centimeters dug by State Archeologist William Whittaker 12/7/04		Y -- sgd Supt 4/20/05		Y
36	113435	Install/Repair Trail Safety Railings	2005	6290-2501-MCT: RC	Large inventory of Ironwood railings were cut,peeled, and stored for project use. Posts were installed on treated 4x4 posts and safety railings were put in place at two hazardous areas on North Unit Trails system. Project in its entirety is not complete.	\$15,766.00		Y-CE	
37	94047	YCC Trail & Cultural Landscape Rehabilitation, FY2005, Multi-Year	2005	6290-4047-MTT: YCC	Youth Conservation Corps FY05 Year-End Form Cut and Paste this form into the project's PMIS Completion Report A. Enrollee Payroll Costs (include cyclic set-aside and other NPS fund sources) \$19,265.06 B. Administrative Costs (include cyclic set-aside and other NPS fund sources) Staff and Supervision \$7,685.55 Supplies and Materials \$4,717.47 Transportation Other ? list: C. Other Sources of Funding (non NPS sources) (i.e. donations, DOD, USFS, grants) List: D. Total (add A & B & C) \$31,668.08 E. Appraised Value of Work \$65,000.00. Length of Program: (check one) 8 weeks X 10 weeks (9 weeks actually) H. Number of Enrollees (include youth leaders): 10 Summary of Work Projects (list): 1. Trail relocation away from sensitive cultural resources and repair/rehabilitation of old trail. 2. Exotic plant species removal. 3. Erosion control/mitigation along ADA boardwalk trail. 4. Construct new trail approach, install 2 culverts, construct new trail.	\$34,000.00		Y-EA+	

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1									
38	41768	Control and Monitor Garlic Mustard Multi-year	2006	6290-R648-NYY: NRPP - Regional Small Park Block Allocations	Approximately 20% of the garlic mustard within the monument was treated with this project which was the target for this funding level. The treatments were highly effective allowing for the expansion of target area in future projects. This has resulted in the control of garlic mustard in key areas of the monument and substantially contributes to the potential future control of the species.	\$30,000.00		Y-CE+	
39	41768B	Replace/Update Seven (7) Ancient Wayside Exhibits along North Unit Trail	2006	6290-7897-M2E: Recreation Fee 20%	Wayside frames and bases delivered (March 2010) and panels by end of May. Wayside installation to occur later in 2010.	\$54,950.00		Y-CE+	
40	25841	Remove Damaging and Hazardous Trees which Threaten Prehistoric Burial Mounds	2006	6290-26C1-MCG: RC	Hazardous trees and trees that threatened the integrity of 200 prehistoric Indian burial mounds at the Sny Magill Unit were removed improving the overall condition of the assets.	\$78,540.00		Y-EA	
41	112719	Repair and Rehabilitate Unpaved Roads	2006	6290-26C1-MCR: RC	.60 miles of unpaved roads at Effigy Mounds N.M. were re-graded and a 6" layer of gravel was placed, spread, and compacted over the existing roadway. Repair and stabilize water control ditches and culverts.	\$20,848.00		Y-CE	
42	113435	Install/Repair Trail Safety Railings	2006	6290-2601-MCT: RC	North Unit Railing System had weak and broken rails replaced and additional railing systems were added where safety needs required them.	\$15,766.00		Y-CE	
43	85808	Volunteer-In-Parks - EFMO Multi Year	2006	6290-I610-SVC: VIP	Total Volunteers: 89 / Total Hours Donated: 1,975.00 Regular base VIP account funding was \$1,230.00, and additional \$657.00 was added to the account by MWR - for a total base VIP funding of 1,887.00. In addition to annual VIP funding of \$1887.00: >>>A MWR Park Steward grant of \$ 1,230.00 funded the incidental costs of several volunteer / interns - one as a bio-tech working with Natural Resource Management to remove invasive plant species from the park; another to planning and preparation for children's activities presented during a variety of interpretive special events held throughout the year. Volunteers (again) turned out for Take Pride in America projects during National Park Week (collecting garlic mustard) and National Public Lands Day (collecting and distributing prairie seed).	\$34,450.00		Y-CE+	
44	94064	YCC Trail & Cultural Landscape Rehabilitation, FY2006, Multi-Year	2006	6290-4064-MTT: YCC	Youth Conservation Corps Year-End Form A. Enrollee Payroll Costs (include cyclic set-aside and other NPS fund sources) 12,652.25 B. Administrative Costs (include cyclic set-aside and other NPS fund sources) Staff and Supervision 6,838.09 Supplies and Materials 4,937.75 Transportation Other ? list: C. Other Sources of Funding (non NPS sources) (i.e. donations, DOD, USFS, grants) List: D. Total (add A & B & C) 24,428.09 Length of Program: 8 weeks 10 weeks H. Number of Enrollees (include youth leaders): 7 Summary of Projects (list): Trail Relocation Away From Visual & Noise Intrusions Trail Repair/Rehab from Storm Damages, Stump Removal	\$34,500.00		Y-EA	

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1									
45	41759	Evaluate, Stabilize and Rehabilitate Sny Magill Burial Mounds and Terrace, Phase 1	2007	6115-7226-CCA: CRPP - Cultural Resources Preservation Program Base	The project will assess and stabilize approximately 100 prehistoric mounds in Sny Magill Unit. Work will proceed in two phases, beginning in 2007 with completion in FY 2008. The first phase recorded damage from vandalism, animal burrowing, and other impacts. Assessment of the vegetation on the mound group determined most advantageous cover and identified potentially harmful trees. Damage from erosion along previously-stabilized riverbank was recorded, and a plan will be developed to stabilize mounds that experience continuing erosion, and to repair and enhance prior stabilization work. The second phase will implement the plans developed in Phase 1. Mounds were found to be quite stable since last assessment, with only some ongoing shoreline erosion and rodent activity. Final recommendations for site stabilization will be made to park, who will accomplish much of the work. \$65,000 was received from CRPP Base fund in FY07. All funds were obligated, including \$8587 for contracted services. An additional \$13,400 was expended from MWAC base funds for part of LIDAR map contract.	\$130,000.00		Y-EA	Y
46	113794	Re-Establish Natural Groundcover Around Cultural Resources	2007	6290-2701-CML: CC	Removed tree and brush canopy from mound group to allow sunlight to enter and re-establish native groundcover. Eroded areas were repaired and a temporary trail to the site was constructed with recycled materials from the project to allow visitors to temporarily access the site until a permanent ADA trail is constructed.	\$26,205.00		Y-EA	
47	123410	Control and Survey New Garlic Mustard Populations	2007	6290-R764-NYY: NRPP - Regional Program Block Allocations	This project allowed for a complete follow-up on the North Unit, South Unit and the Heritage Addition with a backpack torch to incinerate seed bearing plants and first growth of garlic mustard that were previously treated by other means. This application was conducted in areas that have had substantial investments of time and effort with spraying, hand pulling by volunteers, prescribed fire and backpack burning earlier in the season. Due to the timing of the funding authorization the garlic mustard was already into seed when the project started. This limited the treatment process to that of using a backpack burner to incinerate the seed heads and first year plants. This application of fire allowed for a control effectiveness to approach nearly 100% in the prevention of seed release. Previous control measures had removed 80% to 95% of the population in the areas treated. Project allowed for nearly 100% control effectiveness in 20 acres of canopy area in about 100 acres existing with the monument. Project also utilized YCC personnel for hand removal of garlic mustard where there was no danger of seed dispersal.	\$14,950.00		Y-CE	
48	113512	Remove Trailside Encroachments and Clear Scenic Vistas	2007	6290-27C1-MCT: RC	Brush and trees obstructing scenic views at were removed by seasonal day labor.	\$33,500.00		Y-EA	
49		Construct Temporary Maintenance Structure	2007		Erect temporary maintenance storage structure (26 x 36) in North Unit. Oct 1-8, site laid out. 22 support posts 6x6 treated lumber marked and augered. Rear wood foundation has 7 main supports and 3 secondary support posts 6x6 placed 4 feet into ground. North wall has 9 posts and East has 3. Diameter of post holes is 10". 22 holes excavated; 11 checked by paraprofessional archeologist for cultural materials (negative results). Rock fill added to level interior floor with finish layer of limestone road rock.			Y-EA+	

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1									
50	85808	Volunteer-In-Parks - EFMO Multi Year	2007	6290-I710-SVC: VIP	Total Volunteers: 122 / Total Hours Donated: 1,938.00 VIPs continue to work tirelessly to raise funds, organize and present exceptional adult and children's raptor educational resources, programs and activities to an average of 1500 - 2,000 visitors during HawkWatch Weekend. EFMO has developed a returning group of individual VIPs, families and service groups who eagerly assist with annual conservation projects during National Park Week (collecting garlic mustard) and National Public Lands Day (collecting and distributing prairie seed). VIPs are also critical to a variety of staffing and other operational support needs during busy visitation days in the spring and fall at the visitor center, during three teacher's workshops and two evening living history "Moonlight" hikes.	\$34,450.00		Y-EA	
51	103390	YCC Trail & Cultural Landscape Rehabilitation, FY2007, Multi-Year	2007	6290-3390-MTT: YCC	Youth Conservation Corps Year-End Form A. Enrollee Payroll Costs (include cyclic set-aside and other NPS fund sources) 15,704.00 B. Administrative Costs (include cyclic set-aside and other NPS fund sources) Staff and Supervision 5,913.00 Supplies and Materials 2,272 00 Total (add A & B & C) 23,889 00 Length of Program: 9 weeks 10 weeks H. Number of Enrollees (include youth leaders): 7 Summary of Work Projects (list): Removal of Trailside Encroachments and clearing of scenic vistas; Restoration of natural groundcover on American Indian Burial Mounds.	\$20,000.00		Y-EA	
52	41763	Stabilize and Rehabilitate Sny Magill Burial Mounds and Terrace, Phase 2	2008	6115-8226-CCA: CRPP Base	Project resulted in assessment of over 100 prehistoric mounds. Forty-one mounds received stabilization treatment, primarily filling of depressions caused by tree removal, rodents, past excavation, or looting. Stabilization of riverbank at edge of mound group was also undertaken. In Phase 2, LIDAR data was captured and elevation map was completed. Finally, stabilization work was accomplished with assistance of park staff. Five previously unknown mounds were recorded. Phase 2 of project was completed by MWAC staff, EFMO personnel, and a contract for LIDAR mapping. Vawser prepared stabilization plan and worked with the park in planning fieldwork, worked with 9 YCC crew members to complete mound stabilizations, and with Chief of Maintenance and 6 park maintenance crew (total 240 hrs) to plan and begin bank stabilization, completed later by park crew. Depressions to be filled were measured and photographed and landscape fabric was placed in depressions. No attempt was made to "reconstruct" the mounds, only to stabilize them. Post stabilization photographs taken.	\$130,000.00		Y-EA	Y
53	143487	Control and Survey New Garlic Mustard Populations	2008	6290-R832-NNP: NRPP - Regional Program Block Allocations	Continue on-going program to control invasive garlic mustard.	\$15,000.00		Y-CE	
54	94115	Complete ADA Accessible Boardwalk to T.H. Lewis Mounds	2008	6290-4115-M2T: RF 20%	Complete ADA accessible Yellow River Bridge Trail boardwalk to T.H. Lewis Mound Group. 8' wide boardwalk 1000 lineal feet on previously approved location to provide safe access. Footings, superstructure, decking, and railing to match existing. <u>NEPA and 106 compliance have been completed on this project in 2000</u> . (Emphasized statement incorrect.)	\$275,723 00		Y-EA+	
55	101394	Repair/Replace Trail Benches, Trash & Recycle Containers	2008	6290-1394-M8G: Recreation Fee Park Revenue	Install 20 park benches measuring 6' long and constructed of sustainable materials, and compatible 12 trash/recycle containers. Installed atop concrete pads.	\$45,559.00		Y-EA	

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1									
56	113786	Replace Main Park Flag Pole	2008	6290-3786-M8B: Recreation Fee Park Revenue	Original dates to 1959 and leans/deteriorated. 35' and 10" diameter. Install concrete sidewalk access to flagpole.	\$10,000.00		Y-CE+	
57	103407	YCC Trail & Cultural Landscape Rehabilitation, FY2008, Multi-Year	2008	6290-YCC8-MCT: RC	Youth Conservation Corps Year-End Form A. Enrollee Payroll Costs (include cyclic set-aside and other NPS fund sources) \$23,442.00 B. Administrative Costs (include cyclic set-aside and other NPS fund sources) Staff and Supervision \$1,479.00 Supplies and Materials \$7,845.00 Total \$32,766.00 Length of Program: 9 weeks Number of Enrollees (include youth leaders): 8 Summary of Work Projects (list): Cleared brush and trees from existing trails in the South Unit of the monument. Resurfaced South Unit trails. Flagged and cleared location for new trail in South Unit. Assisted with the reconstruction of mortared and dry set stone walls on North Unit trails. Assisted in the repair/restoration of American Indian burial mounds at Sny Magill. Assisted with the stream bank stabilization to protect endangered mounds at Sny Magill.	\$31,292.00		Y-EA	
58	113789	Realign, Repair, Resurface South Unit Trails	2008	6290-28C1-MCT: RC	Hiking surfaces on the south unit Entrance Trail, Nezekaw/BSA Trail, Compound Mound Trail, Military Road Trail and the Marching Bear Trail were completely re-surfaced using wood chips or 1/2" limestone chips bringing all assets into an improved condition.	\$124,674.24		Y-EA+	
59	91728	Repair Three (3) Stone Walls on the Fire Points Switchbacks and the Hanging Rock Trail	2008	6290-2801-MAT: RR	Three limestone walls repaired on the Fire Loop Point trails and safety issues resolve by stabilizing the trail. Fire Point, 506 sq ft of wall removed/replaced; Twin Views (84 sq ft); and Hanging Rock (65 sq ft). Walls 40= years old.	\$39,410.00		Y-EA+	
60	85808	Volunteer-In-Parks - EFMO Multi Year	2008	6290-I810-SVC: VIP	Continue on-going VIP projects.	\$34,450.00		Y-CE+	
61	103407	YCC Trail & Cultural Landscape Rehabilitation, FY2008, Multi-Year	2008	6290-3407-MTT: YCC	Youth Conservation Corps Year-End Form A. Enrollee Payroll Costs (include cyclic set-aside and other NPS fund sources) \$23,442.00 B. Administrative Costs (include cyclic set-aside and other NPS fund sources) Staff and Supervision \$1,479.00 Supplies and Materials \$7,845.00. Total (add A & B & C) \$32,766.00 E. Length of Program: 9 weeks Number of Enrollees (include youth leaders): 8 Summary of Work Projects (list): Cleared brush and trees from existing trails in the South Unit of the monument. Resurfaced South Unit trails. Flagged and cleared location for new trail in South Unit. Assisted with the reconstruction of mortared and dry set stone walls on North Unit trails. Assisted in the repair/restoration of American Indian burial mounds at Sny Magill. Assisted with the stream bank stabilization to protect endangered mounds at Sny Magill.	\$31,292.00		Y-EA	
62	62903	Construct Trail to Marching Bear Mound Group to Avoid Unsafe Hwy Crossing and Increase Accessibility	2009	6290-2901-TST: 2009 Economic Recovery - Trails	Complete final phase of safe access to Marching Bear Mound Group by constructing 6 to 8 foot wide accessibly compliant boardwalk trail. 1/4 mile in length and approx 1 mile of rehab surface trail and installation of 4 foot bridges. The final phase is currently under environmental review and is subject to modification to mitigate cultural and environmental impacts.	\$484,530.02		Y-EA (min): Earlier EA for trail dismissed due to change in project scope.	

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1									
63	26883	AOE -- Special Events	2009		AOE -- issuance special use permits for public events (tents, tables, chairs, parking on lawn areas, etc. in visitor center/parking lot area			Y-CE+	Y
64	113792	Repair Boardwalks and Railings (AOE by same name)	2009	6290-2901-MCT: RC	AOE -- repairs to superstructure (replace worn, warped, broken boards; damaged handrails; replace deteriorated support members.	\$42,803.95		Y-CE	Y
65	27376	AOE -- Living History Moonlight Hikes	2009		AOE -- annual interpretive event hikes to Fire Point or Yellow River boardwalk with living history characters and equipment. Tents used but no ground disturbance			Y-CE	
66	28061	AOE -- Replacing Native Tree in Grassy Island of Parking Lot	2009		AOE -- replace dead tree with same variety			Y-CE	
67	26707	AOE -- Boundary Survey	2009		AOE -- Installation of permanent boundary markers after locating property lines, easements, and rights-of-ways. Ground disturbance monitored by MWAC.			Y-CE+	Y
68	123843	YCC Trail & Cultural Landscape Rehabilitation, FY2009 - FY2011, Multi-Year	2009	6290-YCC9-MCT: RC	Length of Program: 9 weeks Number of Enrollees (include youth leaders): 8 Summary of Work Projects (list): Sand, power wash & seal Yellow River Boardwalk decking and rails with soy based sealer; Trim shrubs and add aggregate mulch to shrub bed around Maintenance Office building; Scrape and paint storage barn/shed and well house; Trails clean up after summer storm damage; Sny Magill maintained archeological sites debris and stump removal; Special event set up and tear down.	\$72,300.00		Y-CE or EA	
69	85808	Volunteer-In-Parks - EFMO Multi Year	2009	6290-I910-SVC: VIP	Continue existing program	\$34,450.00		Y-CE+	
70	112719	Build ADA turnout at S Trud... [truncated]	2009	RR		\$1,613.00		Y-EA	
71		Remove trailside vegetation	2009	Cyclic		\$43,978.00		Y-EA	
72		Remove Trail Hazards	2009	Cyclic		\$23,706.00		Y-EA	

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1									
73		Eagle Scout trail project	2009		Effigy Mounds National Monument was the site of an Eagle Scout Project. For his project, the scout proposed a new route for an existing hiking trail that would move the hiker further away from local visual and noise issues and provide a quieter, natural setting for hikers. Additionally, the trail route relocation would correct some significant erosion control problems that existed on the old trail route. The scout met with National Park Service staff, planned and marked out the proposed route and with the help of family, fellow scouts, and other volunteers cleared the pathway, installed two culverts and log crib walls and placed wood chips on the surface. A total of 487 hours were needed to complete the scout's project.				
74		Fire Management Plan	2010		Updated FMP placed on MWRO review in fall 2009 (incorporates newly added Heritage Addition)			Y-EA	
75	77508	Repair Water Supply	2010	Re/Re	According to MWR-FM&D, this was completed in 2003-2004. Completion report 3.23.05.	\$44,283 [est]			
76		North Maintenance Trail Repairs	2010	Cyclic	MWR-FM&D: No funding FY 2010.	\$9,442 [est]		Y-EA	
77		SnyMagill Trail Repairs	2010	Cyclic	MWR-FM&D: No funding FY 2010.	\$2,511 [est]		Y-EA	
78		Remove Trees and Brush at HQ	2010	Cyclic	MWR-FM&D: No funding FY 2010.	\$9,806 [est]		Y-CE	
79		Rehab trails system	2010	Cyclic	MWR-FM&D: No funding FY 2010.	\$31,298 [est]		Y-EA	
80	28644	AOE -- Chipped Wood Trail Surfaces	2010		Continue use of wood chips to cover trails and some roadways at EFMO. Chips are degradable and a better alternative than gravel.		Draft ESF dated 10/30/09, not signed.	Y-EA	Y
81	101408	Remove trees, stumps and [truncated]	2010	Cyclic	MWR-FM&D: No funding FY 2010.	\$190,599 [est]		Y-EA	
82	143487	Control and Survey New Garlic Mustard Populations	2010	6290-RT22-NNP: NRPP - Regional Program Block Allocations	Continue current program.	\$15,000.00		Y-CE	

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I	
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work	
1										
83	27376	Living History Moonlight Hikes	2010		Events occur only in developed areas. Props and small tents may be used but ground disturbance not permitted. Locations monitored to ensure no negative, cumulative impacts.			Y-CE	Y	
84	27383	Special Park Uses -- Weddings, Photography, and Filming	2010		Props normally associated with events such as weddings (rice, bird seed, balloons, etc.) are prohibited. Events are in developed areas only; walking off trails is prohibited.		Draft ESF dated 1/26/10, not signed.	Y-CE	Y	
85	27384	EFMO Exotic Plant Control	2010		Maintain landscape appearance associated with mound building era. Goal of 1990 GMP (pg 5). No digging of plants; hand pulling only to shallow rooted plants. The 1991 and subsequent GMPs are no longer in effect; new GMP currently in progress.		Form initiated 8/3/09; revised 1/20/10. Not finalized.	Y-CE+	Y	
86	27389	Interpretive Walks, Hikes, and other Programs	2010		All outdoor guided walks and programs conducted on currently developed trails and roads; no props or signs are placed on or around mounds or other known archeological sites.			Y-CE	Y	
87	27373	Sny Magill Ice Fishing Tournament, Special Park Uses	2010		Activities on park land limited to Sny Magill parking lot and boat launch area. USFWS monitors activities to ensure no inappropriate use or access to mounds.			Y-CE	Y	
88	PEPC # 31634	YCC & VIP projects	2010	see projects 152803 and 12343, below (?)	Description: YCC - roadside litter pickup; storm debris cleanup; custodial services; hazard tree cleanup; sand wooden hand rails; install safety curb on Yellow River boardwalk; maintain chipped trail surfaces; assist in collecting FMSS data; assist assemblage of shelving; educational field trip. VIP - litter pickup; invasive species control; staff information desk; assist operation of bookstore; interpretive talks; special talks; special events.					
89	152803	Volunteer-In-Parks - EFMO FY 2010 - 2014	2010	6290-I010-SVC: YCC	Continue VIP projects.	\$34,750.00		Y-CE		
90	123843	YCC Trail & Cultural Landscape Rehabilitation, FY2009 - FY2011, Multi-Year	2010	6290-843B-MTT: YCC		\$72,300.00		Y-EA		
Midwest Region						Total (?) funded	\$3,368,704			4/21/2014

	A	B	C	D	Effigy Mounds National Monument	F	G	H	I
	PMIS ID	Project Title	Funded FY	Funded Account Numbers and Fund Source	Completion Report Narrative	Total Project Cost	Insert "Y" if Environmental Screening Form Completed Prior to Work	Insert "Y" if NEPA required; show minimum level needed	Insert "Y" if Assessment of Effects Form Submitted to CRM Team Prior to Work
1									
92					Total (?) funded in non-compliant projects	\$3,065,900			

	J	K	L	M	N	Effigy Mounds National Monument
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
2	Y	No adverse effect; No PA exclusions apply. Standard 106 required. 11/4/98		Y		AOE submitted. MWAC requested removal route be flagged to avoid mound features. SHPO letter 1/4/99: "we concur with the recommendations."
3						No AOE submitted. No archeology in advance of project implementation.
4		No adverse effect; PA Exclusion IV.B.6. 4/19/99	Y			AOE submitted. Paraprofessional archeologist monitored installation safety railings. Should not have been a categorical exclusion. Treatment applied without CLR or comprehensive trail plan.
5		No adverse effect; no PA exclusions apply. Standard 106 required. 7/26/99				AOE submitted. Paraprofessional archeologist monitored pit fall traps. No standard 106 consultation occurred.
6	Y	No adverse effect; no PA exclusions apply. 7/23/99				AOE submitted. MWAC conducted shovel tests/coring survey of proposed trails and boardwalk. Work accomplished by Nickel and Stadler in October. EA dated 6/23/99 indicates "no effect" to cultural resources. Park to SHPO (7/12/99) no adverse effect--project monitored by para archeologist. Letter from SHPO (8/13/99) asks for additional information before making determination of effect. Park does not respond and 106 is not completed. No Tribal consultation. Treatment applied without CLR or comprehensive trail plan. NOTE: MWAC archeology was based on wood chip trails, not boardwalks (J. Richner, 4.19.10).
7						No AOE submitted. No archeology in advance of project implementation. Treatment applied without CLR & Vegetation Management Plan (VMP).
8						SHPO asked to comment on South Unit Access Project. Letter (3/1/01) "we will need a determination of effect for this site(s) before we could provide final comments on the NR eligibility of the property(ies) and with the affects of the federal undertaking. Also, I strongly urge the NPS to consult with the appropriate tribes for their comments." No section 106 review with SHPO or Tribes. Treatment applied without CLR.
9						Richner responds with detailed summary (6 paragraphs) of Section 106 process. "There are four steps to Section 106 review, some of which have no specific time limits/deadlines...."

	J	K	L	M	N	Effigy Mounds National Monument
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
10						Draft AOE was not circulated for CRM Team review. Draft AOE has no written comments or signatures - either by CRM Team or park staff. Appears to have been inserted in Fire Management Plan, pages 104 - 114. AOE section C indicates "no adverse effect" and standard 106 review required. Public meeting held 12/11/03. No CLR: need comprehensive CLR/VMP.
11	Y	No adverse effect; No PA exclusion apply. Memo from RD "pay special attention to the comments provided by Supv. Archeologist Thiessen." 5/3/01				AOE submitted. Thiessen wrote: "Before the decision to proceed with this undertaking, consultation should be made with the SHPO." Cockrell wrote: "Please address MWAC comments to improve documentation for 'no adverse effect' to archeological resources prior to SHPO consultation." MWAC survey conducted week of 5/21/01. Tribes were informed by letter (4/3/01) about new bridge, but no mention of boardwalk system attached to it. Regional review comments on EA (5/7/01): 106 compliance with SHPO should be placed inside EA and <u>"106 process should be completed before a decision document is signed."</u> This was not done. No SHPO consultation occurred. Public meeting on EA held 6/28/01. No CLR.
12						No AOE submitted. No archeology in advance of project implementation. Park 106 Coordinator Sinclair stated park paraprofessional archeologists will monitor 12" diameter/4' deep post holes for culturally significant materials. No CRM Team review. No standard 106 review with SHPO/Tribes. Treatment applied without CLR or comprehensive trail plan.
13	??? MWAC involved only at Marching Bear.					AOE submitted. Email from MWAC Mark Lynott 7/25/01 states "Phyllis will prepare the necessary Section 106 documentation and send it to MWRO and the SHPO as soon as possible. She is hoping this will not delay the Aug. 27, 2001 ceremony the Tribes have identified." AOE was faxed to MWRO, MWAC, and SHPO simultaneously per memo from Friday Wiles 7/27/01. "We will send to tribes next week once we get Region's comments." NOTE -- No correspondence found in EFMO files to indicate formal section 106 consultation with SHPO or Tribes. Administrative record incomplete.
14	Y					No AOE submitted. No artifacts or features found, no additional archeological work required as long as project stays within area examined for the project. (Stadler, MWAC, 2001). No CLR.
15						No AOE submitted. No archeology in advance of project implementation.
16						No AOE submitted. For new sign installation, no archeology in advance of project implementation. Treatment applied without CLR or comprehensive trail plan.

	J	K	L	M	N	Effigy Mounds National Monument
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
17						No AOE submitted. No archeology in advance of project implementation. Treatment applied without CLR or comprehensive trail plan.
18						MWAC determines 106 review not required; issues ARPA permit. [email 10/6/03] AOE should have been submitted. Could have been covered under NEPA CE, with no documentation.O24
19						No AOE submitted. No archeology in advance of or during project implementation. Unclear if trees were placed exactly where dead trees were removed. Treatment applied without CLR or comprehensive trail plan.
20						No AOE submitted. MWAC Vawser determines (2010) archeology wasn't required for replacement in kind.
21						No AOE submitted. Richner trip report (7/16/03) advises section 106 review for treating mound depressions to superintendent and chief of maintenance. Also advised that vegetation removal requires 106 review. No CLR.
22						No AOE submitted. Possible (but reversible) impact to cultural landscape.
23						No AOE submitted. MWAC Vawser determines (2010) archeology wasn't required if project was replacement in kind.
24						No AOE submitted. EFMO Supt calls MWAC 7/2/03 ask for assistance with trail relocation near Mound 33 at Fire Point. Existing trail traversed south part of mound; park wants to relocate trail off mound to north side. Supt stopped excavation work on existing trail; request MWAC evaluation. Richner dispatched following week. [email] Richner trip report (7/16/03): "Trail Modification & Improvement: A Section 106 form should be developed for any proposed trail improvement work as called for in Stipulation IV.A. of the 1995 PA. Even if the proposed trailwork is a Programmatic Exclusion, a Section 106 form should be developed for the project." His recommendations were delivered during a meeting with the park's permanent staff. Advice not followed. No CLR or trail plan.
25						No AOE submitted. MWAC Vawser determines (2010) archeology not required.

	J	K	L	M	N	Effigy Mounds National Monument
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
26						No AOE submitted. No CLR. Disconnect between title and actions reported (a frequent theme for many of the projects).
27						No AOE submitted. No information on where 100 new signs were installed.
28	Y	No adverse effect; No PA exclusion. Standard 106 required. 5/24/2005)				AOE submitted -- indicated Standard 36 CFR 800 Consultation was required. Reviewer Cockrell wrote "Requires 106 review by SHPO." MWAC Vawser recommends area be shovel tested; accomplished in 2005. No evidence of section 106 consultation with Tribes or SHPO. Field observation 3/25/10: bridges are massive and rated for 5 tons. Treatment applied without CLR or comprehensive trail plan.
29						No AOE submitted. Materials obtained for pending boardwalk construction project. Treatment applied without CLR or comprehensive trail plan.
30	Y	No adverse effect; No PA exclusion. Standard 106 required. 6/24/04				AOE submitted -- indicated Standard 36 CFR 800 Consultation was required. Reviewer Cockrell wrote "Full 106 consultation with Iowa SHPO required--concur with park's assessment." No evidence of further section 106 consultations with Tribes or SHPO. No CLR.
31						No AOE submitted. [Same email, Cockrell to Ewing, 4/30/04] "Nonetheless, in order to complete the full Section 106 review process, the FMP needs to be sent to the Iowa SHPO for review and comment and/or concurrence with a determination of 'no adverse effect.'" SHPO letter (4/1/04) concurs with no adverse effect ; indicates no previous involvement in FMP development. In future, "if changes to the plan are being proposed, the SHPO would like to participate." Substantially revises CR Protection Matrix. (IA SHPO R&C # 040100066). EFMO does not respond to or answer numerous SHPO questions. Letter to 11 Tribes (11/24/03) only describes FMP goals and includes CR Protection Matrix (FMP not sent to Tribes). Does not mention section 106 review. Supt follows up with calls to 11 Tribes. RD signed FONSI 4/25/04. No CLR.

	J	K	L	M	N	Effigy Mounds National Monument
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
32						No AOE submitted. No archeology in advance of project implementation. Treatment applied without CLR or comprehensive trail plan.
33						No AOE submitted. No CLR.
34		No adverse effect, PA exclusion IV.B 8 6/24/04	Y			AOE submitted. Paraprofessional archeologist monitors project. Vawser informed by Sinclair that replacement on same line as old line prior to project commencement. No archeology required.
35	Y	No adverse effect; No PA exclusion. Standard 106 required. 5/24/05	Note attached to incoming AOE from Sharon EFMO: "Copies have gone to MWAC, SHPO, and tribes."			AOE submitted. Comment from reviewer Cockrell: None of the PA exclusions appear to apply here. Consultation with SHPO is advised." Federal Register Notice published 12/20/04. NOTE -- No correspondence found in EFMO files to indicate formal section 106 consultation with SHPO or Tribes. MWAC not notified of state archeologist's excavation? Administrative record incomplete?
36						No AOE submitted. No archeology in advance of project implementation. CLR would have been helpful.
37						No AOE submitted. No archeology in advance of project implementation. Treatment applied without CLR or comprehensive trail plan.

	J	K	L	M	N	O
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Effigy Mounds National Monument Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
38						No AOE submitted. NO CLR.
39						No AOE submitted. No archeology in advance of project implementation if this is not a replacement in kind. No CLR.
40						No AOE submitted. No archeology in advance of project implementation. No CLR. Need to explain how trees are designated hazardous, especially ones that are completely away from visitor trails.
41						No AOE submitted. No archeology in advance of project implementation.
42						No AOE submitted. No archeology in advance of project implementation. No CLR.
43						No AOE submitted. No CLR to guide distribution of prairie seed. As with work performed by employees, that performed by volunteers and YCC crews is subject to NEPA and NHPA requirements.
44						No AOE submitted. No archeology in advance of project implementation. No CLR or trail plan.

	J	K	L	M	N	O
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Effigy Mounds National Monument Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
45	Y	AOE 4/22/93 Sny Magill Riverbank Stabilization -- no adverse effect; C.1.(a) preservation maintenance 1990 PA. EA prepared and FONSI issued 6/30/93.	Y			AOE submitted. Vawser reports 2007 and 2008 in draft. CLR could have improved project.
46						No AOE submitted. No archeology in advance of project implementation. No CLR/VMP.
47						No AOE submitted. No CLR.
48						No AOE submitted. No CLR or trail plan.
49						No AOE submitted. No 106 consultation occurred with CRM Team, SHPO, or Tribes. Built within proximity to mound group; no evaluation of archeological or cultural landscape values. Paraprofessional archeology report prepared after project completion (11/7/07). No CLR.

	J	K	L	M	N	O
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Effigy Mounds National Monument Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
50						No AOE submitted. No CLR to guide dispersal of prairie seed. Sowing of seeds requires EA; typically, collecting NPS prairie seeds for distribution outside the park is prohibited by policy. Completion report not clear enough where seeds were distributed.
51						No AOE submitted. No archeology in advance of project implementation. No CLR or trail plan.
52	Y	AOE 4/22/93 Sny Magill Riverbank Stabilization -- no adverse effect; C.1.(a) preservation maintenance 1990 PA. EA prepared and FONSI issued 6/30/93.	Y			AOE submitted. MWAC Vawser reports 2007 and 2008 in draft. CLR could have helped.
53						No AOE submitted. No CLR.
54	Y (and No -- see comment)					No AOE submitted. No section 106 review with Tribes or SHPO. As-built boardwalk alignment deviates from MWAC-surveyed path. NOTE: boardwalk construction materials still stacked in the open near the trail terminus, still intruding on landscape. No CLR or comprehensive trail plan. NOTE: MWAC archeology was based on wood chip trails, not boardwalks (J. Richner, 4.19.10).
55						No AOE submitted. No archeology in advance of project implementation. No CLR.

	J	K	L	M	N	O
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Effigy Mounds National Monument Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
56						No AOE submitted. No archeology in advance of project implementation.
57	Y					No AOE submitted. MWAC Vawser had YCC crew assist with documentation and stabilization of mounds at Sny Magill as part of 2008 work. No CLR or comprehensive trail plan.
58						No AOE submitted. No CLR or comprehensive trail plan.
59						No AOE submitted. No archeology in advance of project implementation. No CLR or trail plan.
60						No AOE submitted.
61	Y					No AOE submitted. MWAC Vawser had YCC crew assist with documentation and stabilization of mounds at Sny Magill as a part of 2008 work.
62	Y					No AOE submitted. Project halted in aftermath of MWR Operations Evaluation which determined project lacked section 106 review, both in-house and with Tribes/SHPO. Removed from ARRA funding consideration. Initial archeology done by Stadler (2001), Vawser walked reroute with staff in 2008 and consulted with Sinclair as to the need for archeology for trail section relocated due to inability to use county road. Archeology was being planned when project halted. No CLR/trail plan.

	J	K	L	M	N	Effigy Mounds National Monument
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
63	Y	No adverse effect; streamlined review (PA C.1 and 5) 7/23/09	Y			AOE submitted. Permits should only allow tents that do not have to be staked into ground. Vawser advised park on areas to avoid for tents/activities.
64	Y	No adverse effect; streamlined review 7/23/09	Y			AOE submitted.
65	Y -- MWAC not asked to review	No historic properties affected. 9/2/09	Y			AOE submitted. Event took place during CRM Team review. Standard 106 review not performed. Agreement document required for recurring events.
66	Y	CRM Team recommends no ground disturbance until geophysical survey is complete (12/3/09)				AOE submitted. Work not performed. Should have CLR to guide treatment in developed zone.
67	Y	No adverse effect; standard 106 review required. 6/26/09	Y	Y	Y	AOE submitted. No adverse effect to SHPO (9/3/09). SHPO requires more info before determining effect (specific locations of posts in regard to archeological sites and mounds). SHPO letter 10/12/2009 R&C#: 090903039. No adverse effect; sent to Tribes and SHPO 3/24/10. CLR could help.
68						No AOE submitted. Landscape rehab requires CLR.
69						No AOE submitted.
70						No AOE submitted. No archeology in advance of project implementation. (Info from MWR Facility Mgt Program)
71						No AOE submitted. (Info from MWR Facility Mgt Program). No CLR.
72						No AOE submitted. (Info from MWR Facility Mgt Program)

	J	K	L	M	N	Q
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Effigy Mounds National Monument Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
73						No AOE submitted ? Need location information, etc.
74						MWRO review comments 10/27/2009: MWAC requires burn units be intensively inventoried prior to any new burns; observes draft 2001 AOE never finalized. SHPO review in 2004 requested participation in any revision. No indication of SHPO or Tribal review/comment despite statement to that effect on page 119. CR Protection Matrix revised by SHPO in 2004 is not used. Nonetheless, FMP signed/approved by Supt 2/12/10. NOTE: it is inappropriate to use the FMP as a vehicle to accomplish cultural landscape vegetation management without an approved Cultural Landscape Report.
75						No AOE submitted. Archeology required. (Info from MWR Facility Mgt Program)
76						No AOE submitted. Archeology required. (Info from MWR Facility Mgt Program). Comprehensive Trail Management Plan needed.
77						No AOE submitted. Archeology required. (Info from MWR Facility Mgt Program). Comprehensive Trail Management Plan needed.
78						No AOE submitted. Archeology required. (Info from MWR Facility Mgt Program). Comprehensive Trail Management Plan needed.
79						No AOE submitted. Archeology required. (Info from MWR Facility Mgt Program). Comprehensive Trail Management Plan needed.
80		2/23/10 -- AOE returned without CRM Team review pending consultation with Council, Tribes, SHPO, and interested public				AOE submitted but not reviewed. "Until further notice, there must be no new trail construction, trail rehab, or routine application of wood chips... Limited use is permissible to address immediate visitor safety concerns" to prevent tripping hazards."
81						No AOE submitted; archeology may be required. (Info from MWR Facility Mgt Program). Need CLR/VMP.
82						No AOE submitted. No CLR. Same as number 27384 "EFMO Exotic Plant Control"?

	J	K	L	M	N	Effigy Mounds National Monument
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
83		No historic properties affected; PA not available	Y	()	Y	AOE submitted. No adverse effect; sent to Tribes and SHPO 3/24/10 IA SHPO R&C # 100303167
84		No adverse effect; PA not available -- standard 106 review required. 4/10/10	Y	()	Y	AOE submitted. No adverse effect; sent to Tribes and SHPO 3/24/10 IA SHPO R&C # 100303164
85		No adverse effect; PA not available -- standard 106 review required. 4/10/10	Y	()	Y	AOE submitted. Historical Landscape Architect Young: "these plants do not date to any historic period and by removing them manually and chemically, the landscape is being stabilized in its current state until a defined cultural landscape treatment is approved." No adverse effect; sent to Tribes and SHPO 3/24/10 IA SHPO R&C # 100303166. The 1990 GMP is no longer in effect for spot treatment; need VMP.
86		No adverse effect; PA not available -- standard 106 review required. 3/9/10	Y	()	Y	AOE submitted. No adverse effect; sent to Tribes and SHPO 3/24/10 IA SHPO R&C # 100303163. For future AOE's, more explicit wording is needed for stipulations; e.g., "...no props or signs on or around mounds or known archeological sites. No ground penetrating activities."
87		No adverse effect; PA not available -- standard 106 review required. 3/9/10	Y	()	Y	AOE submitted. No adverse effect; sent to Tribes and SHPO 3/24/10 IA SHPO R&C # 100303162
88						AOE submitted in PEPC 5.12.10.
89						AOE submitted in PEPC 5.12.10. Does this include project #123843, below?
90						New AOE submitted? Archeological consultation required in advance of project implementation. Park asked 4/2/10 to resubmit AOE. Need to address CLR issue.
Midwest Region						

	J	K	L	M	N	O
	Insert "Y" if Professional Archeology Completed Prior to Work	CRM Team and MWRO Response	"Y" if CRM Team and MWRO Response Followed; If Not, Detail in Remarks Section	"Y" if SHPO Consultation Process and Results Followed; If Not, Detail in Remarks Section	"Y" if Tribal Consultation Process Followed; If Not, Detail in Remarks Section	Effigy Mounds National Monument Remarks & Color Indications: blue = MWRO contributed to non-compliance; light green = tending toward compliance; green = compliant; light yellow = not compliant, low impact; yellow = not compliant, some impact; orange = not compliant, adverse impacts probable; red = not compliant, major impacts or cumulative impacts; gray patterned = not considered in count.
1						
92						



United States Department of the Interior



National Park Service

Midwest Region
601 Riverfront Drive
Omaha, Nebraska 68102-4226

H4217 (MWR-CR)

Ms. Louise Brodnitz
National Park Service Contact
Office of Federal Agency Programs
Advisory Council on Historic Preservation
Old Post Office Building, NW., Suite 809
1100 Pennsylvania Avenue
Washington, D.C. 20004

19 FEB 2010

Dear Ms. Brodnitz:

This letter is a formal invitation for the Advisory Council on Historic Preservation (Council), the State Historic Preservation Officer (SHPO) for Iowa, the Iowa State Archeologist (OSA), and the American Indian Tribes and Tribal Historic Preservation Officers affiliated with Effigy Mounds National Monument (Effigy Mounds) to participate as signatories on a Memorandum of Agreement (MOA) between the National Park Service (NPS) and the above consulting parties regarding proposed mitigation of actions undertaken by Effigy Mounds without benefit of compliance with the National Historic Preservation Act (NHPA). These actions constitute section 106 undertakings, and consultations between the NPS, the Iowa SHPO, the OSA, and affiliated Tribes have resulted in concurrence of Adverse Effects determination on the projects.

In April 2009, the NPS Midwest Region Operations Evaluation (OE) Team conducted an operations evaluation at Effigy Mounds. They discovered violations of the NHPA and National Environmental Policy Act (NEPA) during a number of years. The immediate concerns were a boardwalk trail being constructed from the Yellow River area to the Nazekaw Terrace Mound Group and a maintenance structure which had been constructed in the North Unit of Effigy Mounds near the mounds in that location. Compliance had not been initiated for either project. The boardwalk project was stopped at the urging of the OE Team. Unfortunately, the maintenance structure had already been completed.

Following the OE, the Midwest Regional Office took several actions to address the situation:

- A team of planning, cultural, and natural resources professionals conducted NEPA and NHPA training June 8-10, 2009, at Effigy Mounds for the entire park management team.
- Delegation of authority for section 106 to the Superintendent was rescinded for several months, and regional Cultural Resource Management (CRM) specialists oversaw all NHPA-related activities. Except for the boardwalk and maintenance structure projects, the authority has been re-delegated, but with close oversight by this office.
- Effigy Mounds was directed to reassign collateral-duty Park Section 106 Coordinator responsibilities from the Chief of Maintenance to another staff member to avoid the inherent conflict of interest (Effigy Mounds selected the term-appointment Curator).

- Effigy Mounds was directed to establish an interdisciplinary team to meet regularly to review projects and ensure all NHPA and NEPA requirements are met.
- Effigy Mounds may not use the streamlined review process outlined in the 2008 Programmatic Agreement; all park actions must be proposed for section 106 review by utilizing the “Assessment of Actions Having an Effect on Cultural Resources” and circulating it for CRM Team review and comment. A form will be prepared for every undertaking performed at Effigy Mounds in sufficient time prior to project implementation and circulated for review. All undertakings will be forwarded to the SHPO and affiliated Tribes for standard section 106 review.
- All actions requiring documented NEPA categorical exclusions or higher must be reviewed by the Regional Environmental Coordinator before proceeding to confirm that the documentation is complete and that the decision is in line with policy. This directive will remain in effect until such time as Effigy Mounds can consistently demonstrate an understanding and adherence to Directors Order 12.
- A General Management Plan planning process is being reconstituted to ensure alternatives reassess the level of desired development at Effigy Mounds and fully disclose potential impacts of the alternatives.
- Removal of the above-grade “Temporary Maintenance Structure” and associated equipment in the North Unit. This was deemed an immediate necessity since the maintenance structure was highly intrusive on the cultural landscape and directly visible from the visitor trail.

On July 20, 2009, NPS regional managers met with the SHPO to provide a briefing on the situation. On November 17, 2009, regional cultural resources specialists held an onsite consultation meeting with the tribes and SHPO. At that meeting, the Midwest Archeological Center proposed to conduct a 2-year archeological assessment (see enclosures) of the Nazekaw Terrace and upper prairie areas to identify areas where intact archeological resources may still be present, and areas that either lack archeological resources or areas which have been sufficiently disturbed that they no longer have archeological significance. Consultation for the assessment is being conducted separately. The assessment will help determine impacts of existing facilities to the prehistoric landscape, including those impacts from boardwalk construction at the Nazekaw Terrace Mound Group. That archeological assessment proposal will undergo further consultation before the methodology is finalized and any type of test excavations or soil coring begins.

On January 15, 2010, Midwest Region cultural resource managers met with SHPO staff in Des Moines to clarify issues and discuss how to proceed in the near future. Emphasis was placed on the need to conduct more direct, detailed consultation with the Tribes. The SHPO and OSA recommended that the NPS formally invite the Council to participate in consultations over these matters.

In accordance with 36 CFR 800.11, we provide the following information for the boardwalk and maintenance structure projects:

(1) A description of the undertaking, specifying the Federal involvement, and its area of potential effects, including photographs, maps, and drawings, as necessary.

- Boardwalk: This structure was built under contract from Effigy Mounds from the Fall of 2008 through April 2009, when construction was stopped. It begins near the Yellow River, intersecting with a boardwalk constructed in 2000 and 2001. The boardwalk was built as a switch-back up a small hollow and adjacent to the Nazekaw Terrace Mound Group (see enclosed map, photograph numbers 80 and 59, contract specification cross-section and plan view drawings, and the 1999 archeological survey trip report).
- Maintenance structure: This structure was constructed in October and November 2007. It is located in the North Unit of Effigy Mounds, north of the Great Bear Mound Group (see enclosed map and photographs). The structure measured 26' by 36', with 22 posts installed 4' deep over imported gravel fill of 10".

(2) A description of the steps taken to identify historic properties.

- Boardwalk: Midwest Archeological Center conducted an archeological survey by shovel testing an alignment for the proposed boardwalk in 1999, but construction 10 years later deviated from the route recommended by the Midwest Archeological Center (Stadler and Nickel 1999). Construction was not monitored by a professional archeologist. Effigy Mounds made no other efforts to identify historic properties.
- Maintenance structure: Effigy Mounds made no effort before construction to identify historic properties.

(3) A description of the affected historic properties, including information on the characteristics that qualify them for the National Register.

The cultural landscapes and properties affected by the Nazekaw Terrace Mound Group boardwalk and North Unit maintenance structure are located within the "Yellow River Cultural Landscape" more fully described in the enclosed Cultural Landscapes Inventory (CLI). The primary period of significance is associated with the prehistoric Indian burial mounds from 200 B.C. to 1200 A.D.

In 2007, the SHPO concurred (see CLI) that individual mounds are eligible for listing on the National Register of Historic Places under Criterion C (embody distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction). The SHPO also concluded that the mounds and mound groups should also be considered under Criterion D (have yielded, or may be likely to yield, information important in prehistory or history), and that they might be eligible under Criteria A (associated with events that have made a significant contribution to the broad patterns of our history) and B (associated with the lives of persons significant in our past).

(4) A description of the undertaking's effects on historic properties.

- Boardwalk: The boardwalk is a major and direct visual intrusion on the cultural landscape of the mound group and its general environs. The piers for the boardwalk are a physical intrusion on the mound group and might have disturbed or destroyed subsurface archeological remains. A survey by the Midwest Archeological Center in 1999 identified

three concentrations of artifacts within the alignment of the proposed boardwalk. The trip report recommended that ground disturbance be monitored by an archeologist (Stadler and Nickel 1999).

- Maintenance structure: This structure was an intrusion on the cultural landscape of the North Unit mound groups, directly and highly visible from the visitor trail in that area. Post augering took place directly adjacent to a known archeological site and might have disturbed or destroyed subsurface archeological remains.

(5) An explanation of why the criteria of adverse effect were found applicable or inapplicable, including any conditions or future actions to avoid, minimize, or mitigate adverse effects.

- Boardwalk: Adverse Effects were found due to the visual intrusion to a National Register eligible landscape and due to indiscriminate augering for pier placement. The NPS proposes to remove the superstructure of the boardwalk along its entire length, with the exception of leaving piers in-situ until the Midwest Archeological Center archeological survey and assessment is complete and consultations have been conducted regarding the disposition of the piers.
- Maintenance structure: Adverse Effects were found due to the visual intrusion to a National Register listed landscape and due to indiscriminate augering for pier placement. The Midwest Regional Office directed Effigy Mounds to remove the maintenance structure superstructure because it was so highly visible to visitors. The NPS proposes to remove the Midwest Archeological Center imported gravel fill and the posts under the supervision of a professional archeologist from the following further archeological study of the area.

(6) Copies or summaries of any views provided by consulting parties and the public.

- Boardwalk summary: The SHPO, OSA, and some Tribes see the boardwalk as an intrusion on the cultural landscape and thus an adverse impact. Though the impact on archeological resources is not yet known, there is concern that pier augering might have damaged them. Some tribes objected to the presence of the boardwalk and piers as intrusions on sacred and/or sensitive resources while others did not appear to be very concerned. The public has not yet been consulted on the construction or its impacts. The NPS intends to seek public comment through the "Planning, Environment, and Public Comment" (PEPC) system, Effigy Mound's website, notification in local and major regional newspapers, and an open house at Effigy Mounds.
- Maintenance structure: The consulting parties were concerned about construction of the maintenance structure without compliance but are also concerned about the removal of the superstructure without consultation. As with the boardwalk, the public has not yet been consulted on the construction or its impacts, and the NPS intends to seek public comment through the "Planning, Environment, and Public Comment" (PEPC) system, Effigy Mound's website, notification in local and major regional newspapers, and an open house at Effigy Mounds.

If the consulting parties reach consensus on the mitigation proposed by the NPS above, we will draft a MOA to implement the measures.

It will take additional time for the Midwest Regional Office to determine the scope and effect of other actions undertaken by Effigy Mounds without NHPA or NEPA compliance. Each such action dating from and including calendar year 1999 forward will be cataloged and assessed. For each action, we will provide the information required in 36 CFR 800.11 and present the information to the consulting parties for resolution of the adverse effects. This may result in one or more additional MOAs.

The National Park Service regrets that developments took place without NHPA review. Had compliance procedures been followed by Effigy Mounds, the Nazekaw Terrace Mound Group boardwalk and North Unit maintenance structure would not have been approved by the Midwest Regional Office. I assure you that the problems at Effigy Mounds are now being addressed, and that I, along with my regional cultural resources and planning professionals, will be actively involved in resolving these serious deficiencies and returning Effigy Mounds to compliance with policy and law.

We look forward to your response. In the interim, if you have any questions, please call Steve Adams, Associate Regional Director for Cultural Resources, at 402-661-1902.

Sincerely,



Ernest Quintana
Regional Director

Enclosures

cc:

Mr. George Thurman, Principal Chief, Sac and Fox Nation of Oklahoma, Route 2, Box 246,
Stroud, Oklahoma 74079

Mr. Adrian Pushetonequa, Chairman, Sac and Fox Tribe of the Mississippi in Iowa, 349
Meskwaki Road, Tama, Iowa 52339

Mr. Stanley Crooks, Chairman, Shakopee Mdewakanton Sioux Community of Minnesota
(Prior Lake), 2330 Sioux Trail NW., Prior Lake, Minnesota 55372

Mr. Kevin Jensvold, Chairman, Upper Sioux Indian Community of Minnesota, P.O. Box 147,
Granite Falls, Minnesota 56241

Mr. Wilfrid Cleveland, President, Ho-Chunk Nation, W9814 Airport Road, Black River Falls,
Wisconsin 54615

Ms. Victoria Winfrey, President, Prairie Island Indian Community, 5636 Sturgeon Lake Road,
Welch, Minnesota 55089

Ms. Twen Barton, Chairperson, Sac and Fox Nation of Missouri, 305 North Main Street,
Reserve, Kansas 66434

Mr. Leon Campbell, Chairman, Iowa Tribe of Kansas and Nebraska, 3345 Thrasher Road, White
Cloud, Kansas 66094

Mr. John Blackhawk, Chairman, Winnebago Tribe of Nebraska, P.O. Box 687, Winnebago, Nebraska 68071

Ms. Janice Kuruk, Chairperson, Iowa Tribe of Oklahoma, Rural Route 1, Box 721, Perkins, Oklahoma 74059

Mr. John Shotton, Chairman, Otoe-Missouria Tribe of Indians, Oklahoma, 8151 Highway 177, Red Rock, Oklahoma 74651

Mr. Cabe Prescott, Chairman, Lower Sioux Indian Community of Minnesota Mdewakanton Sioux Indians of the Lower Sioux Reservation in Minnesota, P.O. Box 308, Morton, Minnesota 56270

Ms. Sandra Kaye Massey, Sac and Fox Nation of Oklahoma, Route 2, Box 246, Stroud, Oklahoma 74079

Mr. Johnathan Buffalo, Sac and Fox Nation of the Mississippi in Iowa, 349 Meskwaki Road, Tama, Iowa 52339

Mr. Leonard Wabasha, Shakopee Mdewakanton Sioux Community of Minnesota (Prior Lake), 2330 Sioux Trail NW., Prior Lake, Minnesota 55372

Ms. Emily Smith DeLeon, Winnebago Tribe of Nebraska, P.O. Box 687, Winnebago, Nebraska 68071

Cultural Preservation Office, Iowa Tribe of Oklahoma, Rural Route 1 Box 721, Perkins, Oklahoma 74059

Mr. Johnny Wright, Otoe-Missouria Tribe of Indians, Oklahoma, 8151 Highway 177, Red Rock, Oklahoma 74651

Tribal Section 106 Representative, Lower Sioux Indian Community of Minnesota Mdewakanton Sioux Indians of the Lower Sioux Reservation in Minnesota, P.O. Box 308, Morton, Minnesota 56270

Mr. Edmore Green, Sac and Fox Nation of Missouri, 305 North Main Street, Reserve, Kansas 66434

Mr. Alan Kelly, Iowa Tribe of Kansas and Nebraska, 3345 Thrasher Road, White Cloud, Kansas 66094

Mr. David Smith, Winnebago Tribe of Nebraska, P.O. Box 687, Winnebago, Nebraska 68071

Mr. Scott Larsen, Upper Sioux Indian Community of Minnesota, P.O. Box 147, Granite Falls, Minnesota 56241

Mr. William Quackenbush, Ho-Chunk Nation, W9814 Airport Road, Black River Falls, Wisconsin 54615

Mr. Edward Buck, Prairie Island Indian Community, 5636 Sturgeon Lake Road, Welch, Minnesota 55089

Mr. Patt Murphy, Iowa Tribe of Kansas and Nebraska, 206 South Buckeye, Abilene, Kansas 67410

Mr. Jerome Thompson, State Historic Preservation Officer, 600 East Locust Street, Des Moines, Iowa 50319

Dr. John F. Doershuk, Ph.D., Iowa State Archaeologist, 700 South Clinton Street, Iowa City, Iowa 52240-4214

bcc:

WASO-2200, Acting Associate Director, Cultural Resources

EFMO- Phyllis Ewing

EFMO -David Rambow

EFMO- Rodney Rovang

MWR-Steve Adams

MWR-Don Stevens

MWR-Ron Cockrell

MWR-Mike Evans

MWAC-Mark Lynott

MWAC-Anne Vawser

Supporting
Records:

Paraprofessional
Archeologist

List of paraprofessional training course participants, 1995

Tom Sinclair	EFMO	maintenance
Joni Jones	INDU	law enforcement
Bob Daum	INDU	resource management
Elizabeth Amberg	ISRO	historian/cultural resources
Paul Roelandt*	VOYA	maintenance
Bill Johnson	VOYA	maintenance
Bruce Barrett	VOYA	maintenance
Bill Carlson	VOYA	maintenance
Ron Cockrell	MWRO	Regional Historian
Don Stevens	MWRO	Historian
Dean Alexander	MWRO	Chief, Planning and Environmental Quality
Mike Ward	ULSG	maintenance

* Paul will be arriving early and will be with us on both Monday and Friday. He is involved in a broader training program and will also be participating in my CUVA project this summer. While at MWAC, he will be learning more about the archeological program and the various activities that we undertake.

1:45-2:30 Common Historic artifacts -- bottles and cans
(Vergil Noble, Al Smith)
2:45-3:30 Site characteristics -- the range of
archeological resources (Anne Vauser)
3:45-4:30 Prefield research and communication (Bruce
Jones)

Thursday, April 27

8:30-9:20 Field reconnaissance methods part 1 (Forest
Frost)
9:30-10:15 Field reconnaissance methods part 2 (Forest
Frost)
10:30-2:30 Field trip
2:45-3:15 Reporting the findings (Jeff Richner)
3:30-4:00 The role of paraprofessionals (Jeff Richner)
4:15- Closeout

Friday, April 28

Open day for potential viewing of collections, discussions
with MWAC staff, expansion of topics discussed in the
course, or other activities.

1995

Paraprofessional Training Schedule and Outline

Monday, April 24

Travel day -- no planned activities. Center staff will be available to answer questions or interact with the participants who will arrive early. Arrangements can be made to provide assistance for participants to examine collections, use the MWAC library, or check MWAC's archeological files.

Tuesday, April 25

8:30-8:40	Welcome and Introductions (Doug Scott)
8:40-9:00	Overview of history, function and organization of MWAC (Jeff Richner)
9:00-9:10	Purpose of the program (Mark Lynott)
9:20-9:50	The nature of archeological resources (Jeff Richner)
10:00-10:50	Historic preservation: history and legal basis (Doug Scott)
11:00-11:30	Historic preservation: enforcement and site protection (Jeff Richner)
11:30-12:45	Lunch (Tape/film)
12:45-1:30	Integration of historic preservation (Don Stevens)
1:45-2:15	NPS policy (Jeff Richner)
2:30-3:20	Overview of prehistory (Mark Lynott)
3:30-3:50	Archeological project summary (prehistory example -- slide presentation) (Jeff Richner)
4:00-4:20	Archeological project summary (prehistory example -- lab analysis/treatment) (Ken Cannon)

Wednesday, April 26

8:30-9:20	Overview of Historical Archeology (Vergil Noble)
9:30-9:50	Archeological project summary (historic example) (Vergil Noble)
10:00-10:45	Prehistoric technology -- lithic artifacts (Jeff Richner, Forest Frost)
11:00-11:30	Prehistoric technology -- ceramic artifacts (Jeff Richner, Forest Frost)
11:30-12:45	Lunch
12:45-1:30	Common historic artifacts -- ceramics (Vergil Noble, Al Smith)

established before any authorized investigation begins. This will help ensure that the investigations are both responsive and adequate.

2. It is necessary for the PA to maintain communication with the professional advisor throughout performance of the investigation. Without that functional relationship, use of a PA to conduct any independent field investigation is a violation of policy and law.

Accountability

1. The methods and results of PA investigations must be thoroughly documented for management to be in full compliance with section 106 obligations. Even when nothing is found in a project area, records must be able to show that a diligent search of the project area was made without result. It is essential that the responsible PA be given adequate time to prepare and submit a complete report describing any assigned investigation.

2. Unless other arrangements are made, all original field records (e.g., notes, drawings, photographs) and any artifacts collected during an investigation should be sent with the PA report to MWAC for curation. Upon review of the report, recommendations will be made for project relocation, additional study, or authorization to proceed, as deemed appropriate. As noted above, additional review by the concerned SHPO may delay any final determination and notice to proceed.

The Paraprofessional Archeologist Program developed for the Midwest Field Area enables us to meet our cultural resources management responsibility without undue costs in time and money. The program is a convenient means to meet our legal obligations, but it is not a "quick fix" solution to section 106 compliance. Rather, to work within the law, the program requires early planning at the park level, close coordination of authorized investigations, and proper documentation from start to finish. The program is dependent upon working within the established framework.

If you need any further clarification of these issues or if you wish to request scheduling a future Paraprofessional Archeologist training session, please direct your inquiries to MWAC Manager Mark Lynott at 402-437-5392, ext. 107.

William A. Schul

Enclosure

2. Documents are reviewed by qualified area experts who meet the Secretary of the Interior's standards to determine the potential effect of undertakings.

3. If archeological investigation is recommended, the area expert may further determine that use of a PA is appropriate and feasible. Upon that recommendation, the unit manager should consult with the Midwest Archeological Center (MWAC) Manager and initiate communications needed for PA investigation of the project area. The MWAC Manager will assign a staff archeologist to work with the PA and establish the protocols to be followed.

Qualifications

1. Participants in the PA program must first successfully complete the training course offered by MWAC. Persons with appropriate academic degrees or substantial experience in field archeology may also participate upon the MWAC Manager's review of their qualifications.

2. Periodic refreshers are not currently required, but managers are encouraged to release their staff PAs occasionally to assist in the performance of MWAC projects conducted locally.

3. Parks lacking a trained PA may be able to request temporary details of such staff from other parks. A list of staff in the Midwest Field Area who meet or exceed PA program requirements is enclosed to assist such cooperative efforts.

Conditions

1. Use of PAs depends on such factors as project location, manner of ground disturbance, proximity of known cultural resources, and the overall complexity of an investigation. Size of a project area is particularly critical and generally must be less than one-half acre to authorize the use of a paraprofessional.

2. The PA is not to carry out independent investigations on or near known archeological sites, as policy limits their scope of responsibility to the inventory of small areas where no sites have been previously recorded. In some cases a PA may be authorized to monitor small-scale, relatively confined ground disturbances, such as utility trenching. If agreeable to park managers, PAs may also assist qualified archeologists in the course of any field study, thereby reducing the total cost of those professional services and providing additional experience for the PA.

Coordination

1. The PA assigned to a project coordinates with an archeologist identified by the MWAC Manager. Methods to be used in the field investigation, as well as reporting needs, are thereby clearly



United States Department of the Interior

NATIONAL PARK SERVICE

Midwest Field Area
1709 Jackson Street
Omaha, Nebraska 68102-2571

IN REPLY REFER TO:

H24 (MFA FDO-DFD)

MAY 07 1996

Memorandum

To: All Superintendents, Midwest Field Area

From: Field Director, Midwest Field Area

Subject: Paraprofessional Archeologist Program

This memorandum reaffirms our support for the Midwest Field Area Paraprofessional Archeologist Program and seeks to clarify the standard procedures for use of a Paraprofessional Archeologist (PA) to investigate certain minor park development undertakings where ground disturbance is anticipated. The program is designed to enhance the efficiency of certain archeological investigations required under section 106 of the National Historic Preservation Act of 1966, as amended, by employing trained park staff who act with professional guidance in behalf of qualified archeologists. With proper coordination the program can continue to help us achieve reductions in cost, as well as time, required to implement small park developments.

In order to ensure that parks are in full compliance with statute and policy, guidelines have been set forth to govern the Midwest Field Area PA program. It is essential that we respect our own guidelines, bearing in mind that historic preservation officials and the public at large examine our cultural resource management efforts closely. In addition, if we expose ourselves to legitimate criticism through inattention to our own approved procedures, we could endure costly delays through additional State Historic Preservation Office (SHPO) review, compromise our credibility, and lose substantial support among the historic preservation community. It is appropriate, therefore, to review the critical features of our PA program.

Project Initiation

1. Field units prepare detailed section 106 documents (Form XXX) for all undertakings that will likely involve ground disturbance and thereby potentially affect known or unknown cultural resources. Because cultural resources compliance review takes time, it is essential that documentation be submitted well in advance of all scheduled development projects. Though it is prudent to perform preliminary inspections of all project areas in preparing initial documentation, no archeological field work of any kind should be performed at this stage.

MEMORY TRANSMISSION REPORT

TIME : APR-07-2010 02:31PM
TEL NUMBER : +402 437 5098
NAME : NATIONAL PARK SERVICE

FILE NUMBER : 984
DATE : APR-07 02:27PM
TO : 84026611737
DOCUMENT PAGES : 002
START TIME : APR-07 02:27PM
END TIME : APR-07 02:31PM
SENT PAGES : 002
STATUS : OK

FILE NUMBER : 984

*** SUCCESSFUL TX NOTICE ***

MWAC-31



Midwest Archeological Center

Midwest Archeological Center
Telephone 402-437-5392
Fax 402-437-5098

National Park Service



Date: Apr. 17, 2010

To: Dave Given
Ramona Turner

Fax Number: 402-661-1737

From: Mark Lynott
Federal Building, 100 Centennial Mall North, Room 474, Lincoln, NE 68508-3873

Number of pages to follow: 1

Subject: Para professional program at EFMD

Remarks: Draft for review

Time Sent/Initials _____



United States Department of the Interior

National Park Service

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

IN REPLY REFER TO:

A7824 (MSR-RD)

Memorandum

To: Superintendent, Effigy Mounds National Monument

From: Manager, Midwest Archeological Center

Subject: Suspension of paraprofessional archeological activities at Effigy Mounds National Monument

By this memorandum I am suspending the Midwest Archeological Center's paraprofessional archeological program at Effigy Mounds National Monument. Current permanent staff members Tom Sinclair, Sharon Greener, and Rodney Rovang were previously certified as park paraprofessional archeologists. It is my understanding that three other EFMO staff (Robert Huck, Rick Trudo, and Mathew Ericson), all temporary/seasonal maintenance workers and laborers who completed the paraprofessional training course at MWAC in 2005, are no longer employed at EFMO. If I am incorrect in that assumption, their ability to serve as park paraprofessional archeologists is also rescinded along with the certifications of the three permanent staff.

The Center manages the Paraprofessional Archeological Program under clear and carefully developed standards and limitations, which in my opinion have not been consistently followed at EFMO. Therefore, I have concluded that, especially given the intense scrutiny of cultural resources compliance actions at EFMO, it is in the best interests of the Midwest Region and the park to suspend the paraprofessional archeological program at EFMO. This suspension will continue until all of the current cultural resource compliance and tribal consultation issues are resolved with the State of Iowa, the Advisory Council for Historic Preservation, and the park's tribal partners.

The permanent staff member's certifications as park paraprofessional archeologists can be reinstated after the compliance issues are resolved and the staff members complete a paraprofessional archeological training refresher course when it is next offered by the Center.

Mark J. Lynott

cc:

Regional Director, MWR
Deputy Director, MWR
Associate Director for Cultural Resources, MWR
Senior Historian, MWR

Supporting
Records:

Photographs


The National Park Service

Effigy Mounds National Monument Environmental Commitment Statement


As the steward of the Nation's most valued public lands, the National Park Service has a special obligation to be a **leader** in protecting the environment and complying with our nation's environmental laws. Effigy Mounds National Monument is committed to implementing a sound environmental management program and demonstrating environmental leadership in the preservation and conservation of the park's cultural and natural features. Effigy Mounds National Monument will provide leadership by example and carry out the mission by complying with the following objectives:

- Comply with all applicable Federal, State, and local environmental laws, regulations, Executive Orders, and Department of the Interior environmental policies;
- Work toward integrating and implementing environmentally sensitive best management practices including pollution prevention and waste reduction into all park operations;
- Provide training to staff on how to comply with environmental laws and be environmentally responsible on and off the job;
- Assign clear responsibility to staff for environmental activities and hold them accountable for their environmental performance, recognizing superior effort when demonstrated;
- Seek opportunities to promote environmental compliance and stewardship to visitors, park partners, suppliers, and contractors;
- Monitor environmental compliance performance regularly at both operational and organizational levels;
- Research and implement new opportunities for environmental improvement in day-to-day activities.

Effigy Mounds National Monument expects every employee to take ownership and responsibility in our Environmental Management System.



Thomas L. Sinclair
Facility Manager/Environmental Manager



Phyllis Ewing
Superintendent

Deconstruction of Boardwalk and Shed



Labor Utilization by Labor Code

Park(s): EFMO
 Labor Code(s): ALL
 WO#: 1374342
 OP#: ALL
 Date: from 10/01/2007 to 12/31/2007

<u>Labor Code</u>		<u>Trans Date</u>	<u>Task Description</u>	<u>Reg. Hrs</u>	<u>O/T Hrs</u>	<u>Total Cost</u>
<u>WO#</u>	<u>Task Description</u>					
1232	Sinclair, Thomas			14:00	0:00	\$474.60
10/01/2007	Start Date			6:30	0:00	\$220.35
1374342	Construct New Equipment Storage Shelter			6:30	0:00	\$220.35
10/29/2007	Start Date			7:30	0:00	\$254.25
1374342	Construct New Equipment Storage Shelter			7:30	0:00	\$254.25
1277	Schultz, Steven			39:30	0:00	\$1,264.87
10/01/2007	Start Date			11:00	0:00	\$343.75
1374342	Construct New Equipment Storage Shelter			11:00	0:00	\$343.75
10/15/2007	Start Date			5:30	0:00	\$177.76
1374342	Construct New Equipment Storage Shelter			5:30	0:00	\$177.76
10/29/2007	Start Date			23:00	0:00	\$743.36
1374342	Construct New Equipment Storage Shelter			23:00	0:00	\$743.36
1279	Plein, Ralph			23:30	0:00	\$432.21
10/01/2007	Start Date			3:00	0:00	\$53.37
1374342	Construct New Equipment Storage Shelter			3:00	0:00	\$53.37
10/15/2007	Start Date			20:30	0:00	\$378.84
1374342	Construct New Equipment Storage Shelter			20:30	0:00	\$378.84
1583	Trudo, Rick			57:30	0:00	\$1,007.63
10/01/2007	Start Date			30:00	0:00	\$518.40
1374342	Construct New Equipment Storage Shelter			30:00	0:00	\$518.40
10/15/2007	Start Date			27:30	0:00	\$489.23
1374342	Construct New Equipment Storage Shelter			27:30	0:00	\$489.23
18924	Parker, Jeremy			93:30	0:00	\$2,528.82
10/01/2007	Start Date			41:00	0:00	\$1,075.84
1374342	Construct New Equipment Storage Shelter			41:00	0:00	\$1,075.84
10/15/2007	Start Date			22:30	0:00	\$608.18
1374342	Construct New Equipment Storage Shelter			22:30	0:00	\$608.18
10/29/2007	Start Date			30:00	0:00	\$844.80
1374342	Construct New Equipment Storage Shelter			30:00	0:00	\$844.80
3915	Leas, David			63:00	0:00	\$1,061.22
10/01/2007	Start Date			34:00	0:00	\$564.74
1374342	Construct New Equipment Storage Shelter			34:00	0:00	\$564.74
10/15/2007	Start Date			29:00	0:00	\$496.48
1374342	Construct New Equipment Storage Shelter			29:00	0:00	\$496.48
TOTAL:				291:00	0:00	\$6,769.35



Labor Utilization by Labor Code

Park(s): EFMO
 Labor Code(s): ALL
 WO#: 6101022
 OP#: ALL
 Date: from 06/01/2010 to 09/30/2010

Labor Code		Reg. Hrs	O/T Hrs	Total Cost
Trans Date	Task Description			
WO#				
1232	Sinclair, Thomas	37:30	0:00	\$1,423.50
07/18/2010	Start Date	1:30	0:00	\$56.94
6101022	NezecawTerrace Boardwalk Removal	1:30	0:00	\$56.94
08/15/2010	Start Date	1:00	0:00	\$37.96
6101022	NezecawTerrace Boardwalk Removal	1:00	0:00	\$37.96
08/29/2010	Start Date	20:00	0:00	\$759.20
6101022	NezecawTerrace Boardwalk Removal	20:00	0:00	\$759.20
09/12/2010	Start Date	15:00	0:00	\$569.40
6101022	NezecawTerrace Boardwalk Removal	15:00	0:00	\$569.40
1233	Greener, Bruce	4:00	0:00	\$119.28
09/12/2010	Start Date	4:00	0:00	\$119.28
6101022	NezecawTerrace Boardwalk Removal	4:00	0:00	\$119.28
1277	Schultz, Steven	29:00	0:00	\$903.06
08/29/2010	Start Date	14:00	0:00	\$435.96
6101022	NezecawTerrace Boardwalk Removal	14:00	0:00	\$435.96
09/12/2010	Start Date	15:00	0:00	\$467.10
6101022	NezecawTerrace Boardwalk Removal	15:00	0:00	\$467.10
1279	Plein, Ralph	29:00	0:00	\$555.06
08/29/2010	Start Date	14:00	0:00	\$267.96
6101022	NezecawTerrace Boardwalk Removal	14:00	0:00	\$267.96
09/12/2010	Start Date	15:00	0:00	\$287.10
6101022	NezecawTerrace Boardwalk Removal	15:00	0:00	\$287.10
1583	Trudo, Rick	34:00	0:00	\$626.62
08/29/2010	Start Date	14:00	0:00	\$258.02
6101022	NezecawTerrace Boardwalk Removal	14:00	0:00	\$258.02
09/12/2010	Start Date	20:00	0:00	\$368.60
6101022	NezecawTerrace Boardwalk Removal	20:00	0:00	\$368.60
17837	Campbell, Ralph	63:00	0:00	\$1,161.09
06/06/2010	Start Date	31:00	0:00	\$571.33
6101022	NezecawTerrace Boardwalk Removal	31:00	0:00	\$571.33
08/29/2010	Start Date	16:00	0:00	\$294.88
6101022	NezecawTerrace Boardwalk Removal	16:00	0:00	\$294.88
09/12/2010	Start Date	16:00	0:00	\$294.88
6101022	NezecawTerrace Boardwalk Removal	16:00	0:00	\$294.88
18924	Parker, Jeremy	29:30	0:00	\$935.74
08/15/2010	Start Date	0:30	0:00	\$15.86
6101022	NezecawTerrace Boardwalk Removal	0:30	0:00	\$15.86
08/29/2010	Start Date	13:30	0:00	\$428.22
6101022	NezecawTerrace Boardwalk Removal	13:30	0:00	\$428.22
09/12/2010	Start Date	15:30	0:00	\$491.66

Labor Code		Reg. Hrs	O/T Hrs	Total Cost
Trans Date	Task Description			
WO#	Task Description			
6101022	NezecawTerrace Boardwalk Removal	15:30	0:00	\$491.66
21684	Farnsworth, James	24:00	0:00	\$433.20
08/29/2010	Start Date	8:00	0:00	\$144.40
6101022	NezecawTerrace Boardwalk Removal	8:00	0:00	\$144.40
09/12/2010	Start Date	16:00	0:00	\$288.80
6101022	NezecawTerrace Boardwalk Removal	16:00	0:00	\$288.80
21685	Techau, Kendall	53:00	0:00	\$917.96
06/06/2010	Start Date	21:00	0:00	\$363.72
6101022	NezecawTerrace Boardwalk Removal	21:00	0:00	\$363.72
08/29/2010	Start Date	16:00	0:00	\$277.12
6101022	NezecawTerrace Boardwalk Removal	16:00	0:00	\$277.12
09/12/2010	Start Date	16:00	0:00	\$277.12
6101022	NezecawTerrace Boardwalk Removal	16:00	0:00	\$277.12
3914	Wilker, Kenneth	39:00	0:00	\$718.77
06/06/2010	Start Date	31:00	0:00	\$571.33
6101022	NezecawTerrace Boardwalk Removal	31:00	0:00	\$571.33
08/29/2010	Start Date	8:00	0:00	\$147.44
6101022	NezecawTerrace Boardwalk Removal	8:00	0:00	\$147.44
3915	Leas, David	36:00	0:00	\$663.48
08/29/2010	Start Date	20:00	0:00	\$368.60
6101022	NezecawTerrace Boardwalk Removal	20:00	0:00	\$368.60
09/12/2010	Start Date	16:00	0:00	\$294.88
6101022	NezecawTerrace Boardwalk Removal	16:00	0:00	\$294.88
6803	Hogan, Ryan	16:00	0:00	\$283.52
06/06/2010	Start Date	16:00	0:00	\$283.52
6101022	NezecawTerrace Boardwalk Removal	16:00	0:00	\$283.52
6805	Fischer, Roger	59:00	0:00	\$1,087.37
06/06/2010	Start Date	27:00	0:00	\$497.61
6101022	NezecawTerrace Boardwalk Removal	27:00	0:00	\$497.61
08/29/2010	Start Date	16:00	0:00	\$294.88
6101022	NezecawTerrace Boardwalk Removal	16:00	0:00	\$294.88
09/12/2010	Start Date	16:00	0:00	\$294.88
6101022	NezecawTerrace Boardwalk Removal	16:00	0:00	\$294.88
6806	Christianson, James	36:00	0:00	\$663.48
08/29/2010	Start Date	20:00	0:00	\$368.60
6101022	NezecawTerrace Boardwalk Removal	20:00	0:00	\$368.60
09/12/2010	Start Date	16:00	0:00	\$294.88
6101022	NezecawTerrace Boardwalk Removal	16:00	0:00	\$294.88
TOTAL:		489:00	0:00	\$10,492.13



Labor Utilization by Labor Code

Park(s): EFMO
 Labor Code(s): ALL
 WO#: 5764743
 OP#: ALL
 Date: from 03/01/2010 to 09/30/2010

Labor Code		Req. Hrs	O/T Hrs	Total Cost
Trans Date	Task Description			
WO#				
1232	Sinclair, Thomas	2:00	0:00	\$75.92
03/28/2010	Start Date	2:00	0:00	\$75.92
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	2:00	0:00	\$75.92
1277	Schultz, Steven	34:00	0:00	\$1,058.76
04/11/2010	Start Date	4:00	0:00	\$124.56
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	4:00	0:00	\$124.56
08/29/2010	Start Date	30:00	0:00	\$934.20
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	30:00	0:00	\$934.20
1279	Plein, Ralph	30:00	0:00	\$574.20
08/29/2010	Start Date	30:00	0:00	\$574.20
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	30:00	0:00	\$574.20
18924	Parker, Jeremy	7:00	0:00	\$222.04
04/11/2010	Start Date	7:00	0:00	\$222.04
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	7:00	0:00	\$222.04
21684	Farnsworth, James	37:00	0:00	\$667.85
03/28/2010	Start Date	21:00	0:00	\$379.05
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	21:00	0:00	\$379.05
04/11/2010	Start Date	16:00	0:00	\$288.80
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	16:00	0:00	\$288.80
21685	Techau, Kendall	37:00	0:00	\$640.84
03/28/2010	Start Date	21:00	0:00	\$363.72
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	21:00	0:00	\$363.72
04/11/2010	Start Date	16:00	0:00	\$277.12
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	16:00	0:00	\$277.12
3914	Wilker, Kenneth	32:00	0:00	\$589.76
03/28/2010	Start Date	32:00	0:00	\$589.76
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	32:00	0:00	\$589.76
6805	Fischer, Roger	24:00	0:00	\$442.32
03/28/2010	Start Date	24:00	0:00	\$442.32
5764743	Assist Archeologists on Nezecaw Terrace (Spring 2010)	24:00	0:00	\$442.32
TOTAL:		203:00	0:00	\$4,271.69



Labor Utilization by Labor Code

Park(s): EFMO
 Labor Code(s): ALL
 WO#: 3299467
 OP#: ALL
 Date: from 06/01/2009 to "no upper bound"

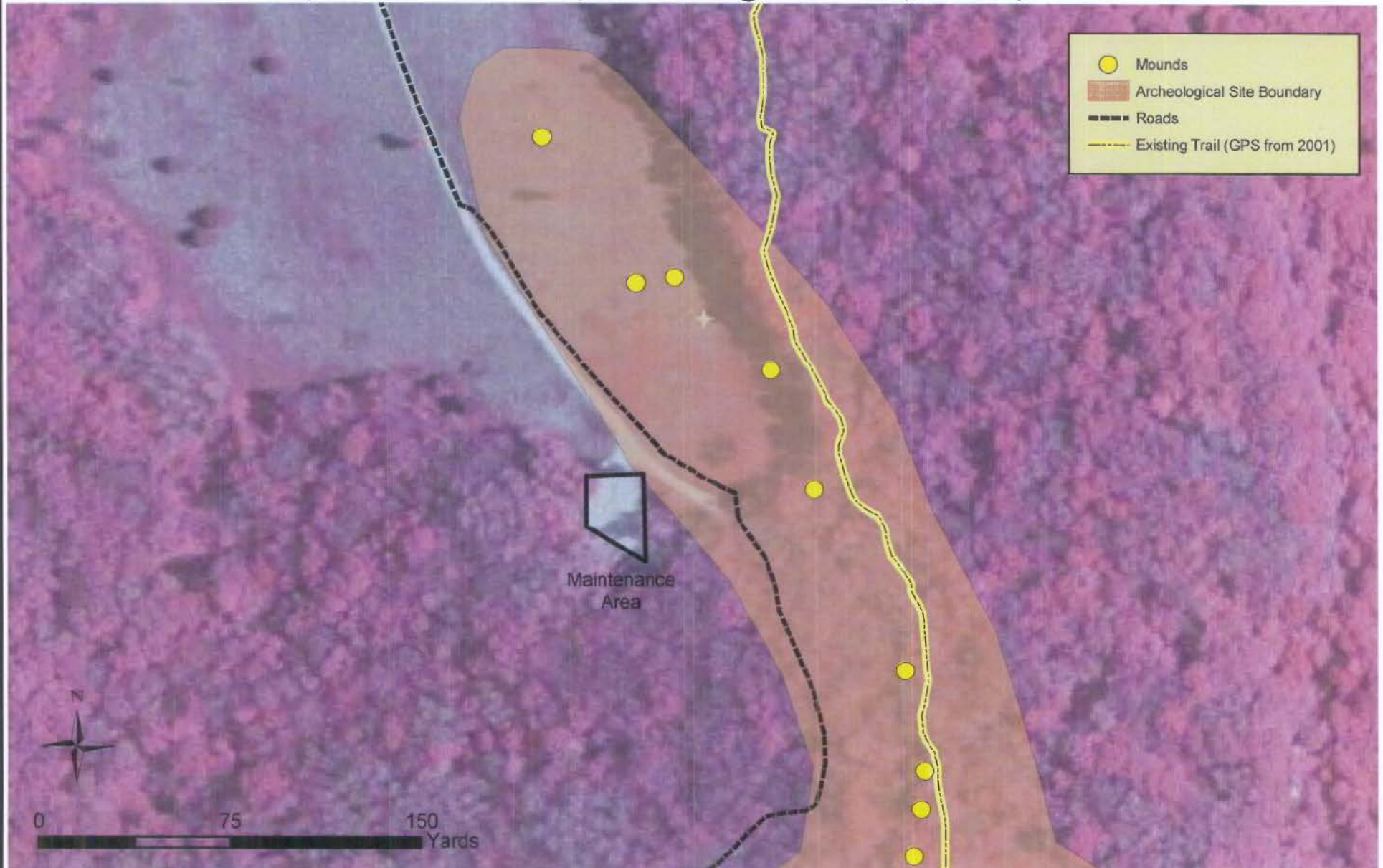
Labor Code		Reg. Hrs	O/T Hrs	Total Cost
Trans Date	Task Description			
WO#				
1277	Schultz, Steven	2:00	0:00	\$62.28
10/01/2009	Start Date	2:00	0:00	\$62.28
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	2:00	0:00	\$62.28
1583	Trudo, Rick	71:30	0:00	\$1,317.75
08/30/2009	Start Date	29:00	0:00	\$534.47
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	29:00	0:00	\$534.47
09/13/2009	Start Date	42:30	0:00	\$783.28
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	42:30	0:00	\$783.28
17837	Campbell, Ralph	4:00	0:00	\$73.72
10/01/2009	Start Date	4:00	0:00	\$73.72
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	4:00	0:00	\$73.72
18924	Parker, Jeremy	32:30	0:00	\$1,014.78
08/30/2009	Start Date	19:30	0:00	\$608.40
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	19:30	0:00	\$608.40
09/13/2009	Start Date	11:30	0:00	\$358.80
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	11:30	0:00	\$358.80
11/08/2009	Start Date	1:30	0:00	\$47.58
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	1:30	0:00	\$47.58
22579	Wright, Mikah	73:00	0:00	\$1,242.46
08/30/2009	Start Date	29:00	0:00	\$493.58
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	29:00	0:00	\$493.58
09/13/2009	Start Date	44:00	0:00	\$748.88
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	44:00	0:00	\$748.88
3914	Wilker, Kenneth	4:00	0:00	\$73.72
10/01/2009	Start Date	4:00	0:00	\$73.72
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	4:00	0:00	\$73.72
3915	Leas, David	4:00	0:00	\$73.72
10/01/2009	Start Date	4:00	0:00	\$73.72
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	4:00	0:00	\$73.72
6805	Fischer, Roger	4:00	0:00	\$73.72
10/01/2009	Start Date	4:00	0:00	\$73.72
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	4:00	0:00	\$73.72
6806	Christianson, James	4:00	0:00	\$73.72
10/01/2009	Start Date	4:00	0:00	\$73.72
3299467	Remove N.U. Maintenance Storage Building Foundation & Restore Landscape	4:00	0:00	\$73.72
TOTAL:		199:00	0:00	\$4,005.87

Maintenance storage shed





Maintenance area, known mounds, archeological sites, roads, and trails





Effigy Mounds National Monument
maintenance structure as of 3/25/10



Effigy Mounds National Monument
looking N to maintenance structure



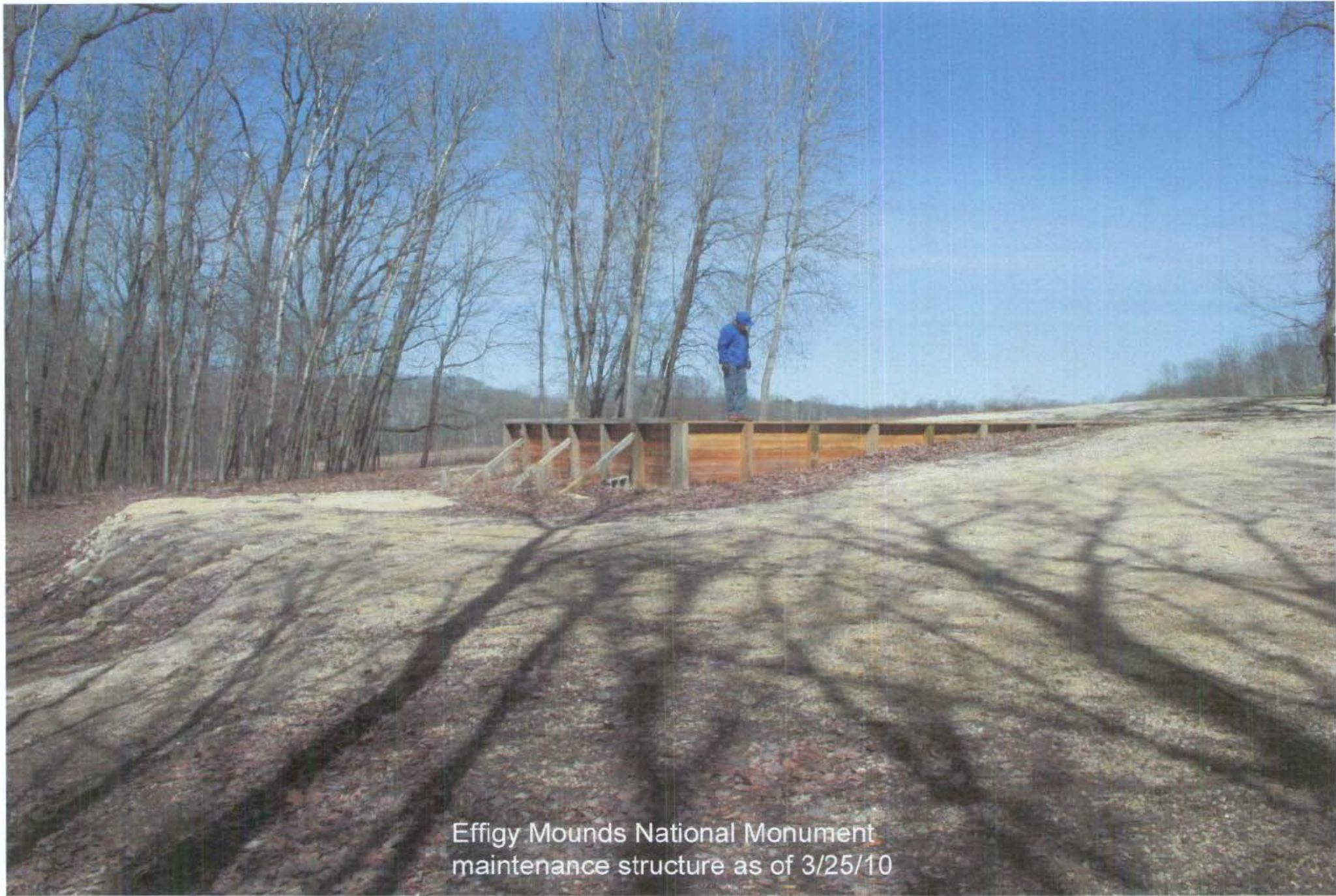
Effigy Mounds National Monument
looking SW from visitor trail to maintenance structure



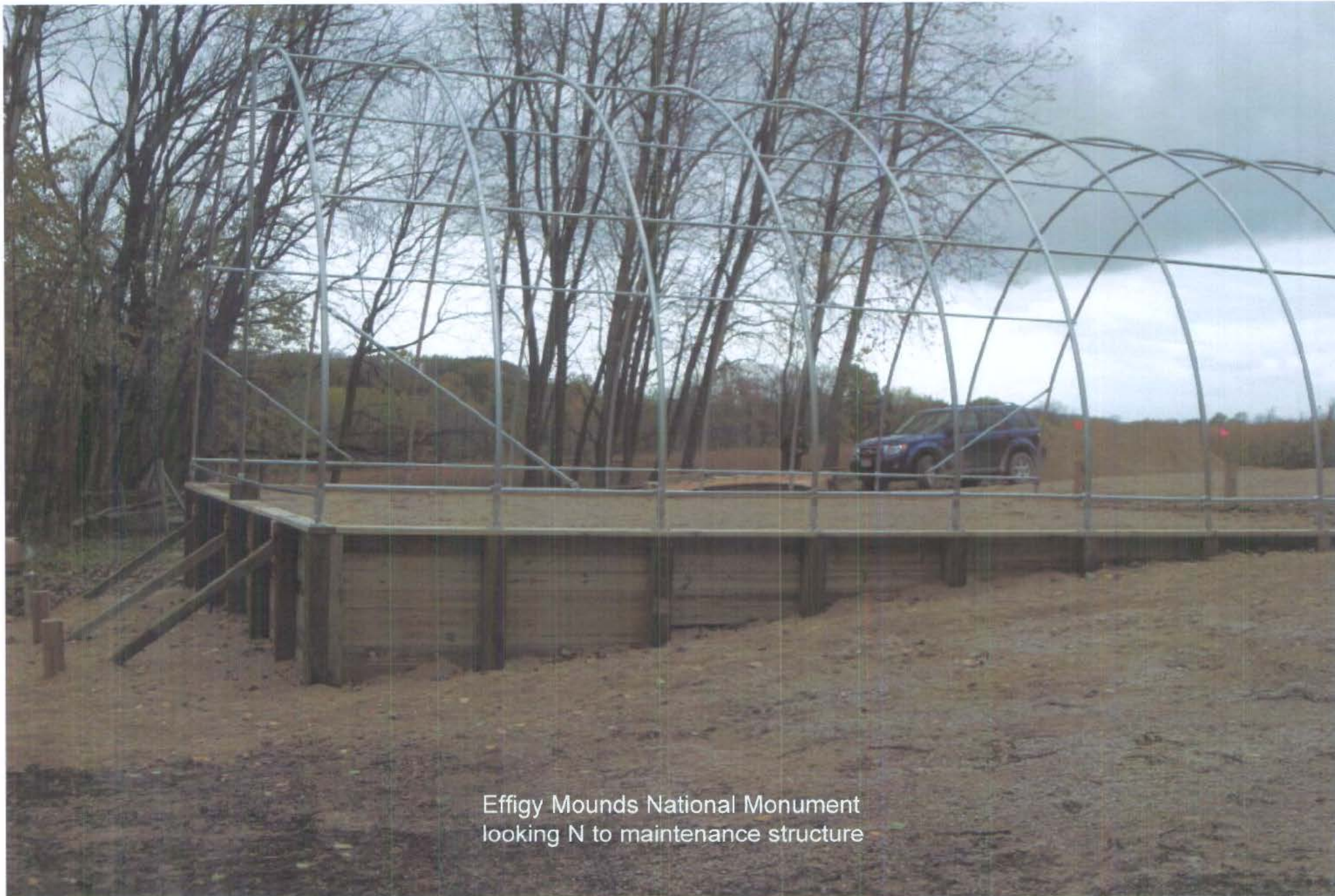
Effigy Mounds National Monument
looking W to North Unit maintenance structure



Effigy Mounds National Monument
Looking S toward North Unit maintenance structure



Effigy Mounds National Monument
maintenance structure as of 3/25/10



Effigy Mounds National Monument
looking N to maintenance structure



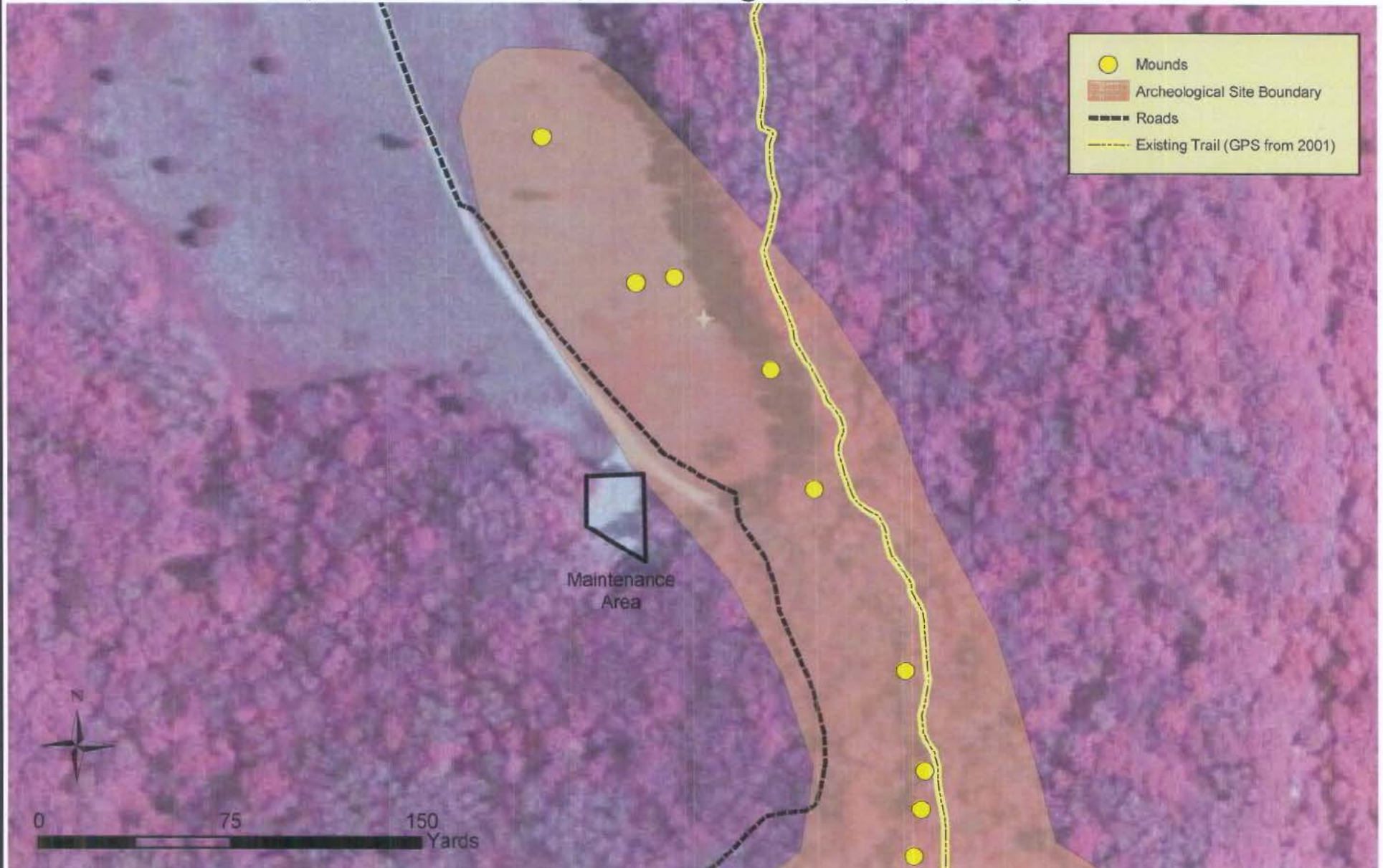
Effigy Mounds National Monument
Looking S toward North Unit maintenance structure



Effigy Mounds National Monument
looking W to North Unit maintenance structure



Maintenance area, known mounds, archeological sites, roads, and trails





Effigy Mounds National Monument
looking SW from visitor trail to maintenance structure



National Park Service

NPS-28: CULTURAL RESOURCE MANAGEMENT GUIDELINE

APPENDIX P: 1995 Servicewide Programmatic Agreement

PROGRAMMATIC AGREEMENT AMONG THE
NATIONAL PARK SERVICE
(U.S. DEPARTMENT OF THE INTERIOR),
THE ADVISORY COUNCIL
ON HISTORIC PRESERVATION,
AND
THE NATIONAL CONFERENCE OF STATE HISTORIC
PRESERVATION OFFICERS

WHEREAS, the National Park Service (NPS) plans for, operates, manages, and administers the National Park System, and is responsible for preserving, maintaining, and interpreting the cultural resources of the System unimpaired for the enjoyment of future generations; and

WHEREAS, the operation, management, and administration of the System entail undertakings that may affect historic properties (as defined in 36 CFR Part 800), which are therefore subject to review under Sections 106, 110(f) and 111(a) of the National Historic Preservation Act as amended (NHPA; 16 USC 470 *et seq.*) and the regulations of the Advisory Council on Historic Preservation (Council) (36 CFR Part 800); and

WHEREAS, the NPS has established management policies, guidelines, standards, and technical information designed for the treatment of cultural resources consistent with the spirit and intent of the NHPA; and

WHEREAS, the NPS has a qualified staff of cultural resources specialists in parks, System Support Offices, and archeological and preservation centers to carry out programs for cultural resources; and

WHEREAS, the NPS has consulted with the National Conference of State Historic Preservation Officers (Conference) and the Council regarding ways to ensure that NPS operation, management, and administration of the System provide for management of the System's cultural resources in accordance with the intent of NPS policies and with Sections 106, 110, and 111 of the NHPA; and

WHEREAS, the National Park Service, the Conference, and the Council executed a Nationwide Programmatic Agreement in 1990 that is superseded with the execution of this Programmatic Agreement; and

WHEREAS, the NPS has re-structured in order to place more resources and delegations of authorities with park managers;

NOW, THEREFORE, the NPS, Conference, and Council mutually agree that the NPS will carry out its Section 106 responsibilities with respect to management of the System in accordance with the following stipulations:

STIPULATIONS

I. POLICY

The NPS will continue to preserve and foster appreciation of the cultural resources in its custody through appropriate programs of protection, research, treatment, and interpretation. These efforts are and will remain in keeping with the NHPA, the National Environmental Policy Act (NEPA), the American Indian Religious Freedom Act, the Archaeological Resources Protection Act, the Archeological and Historic Preservation Act of 1974, the Native American Graves Protection and Repatriation Act, the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation, NPS Management Policies, and the Guidelines for Federal Agency Responsibilities Under Section 110 of the National Historic Preservation Act. It remains the NPS goal to implement these programs in consultation with other Federal agencies, State Historic Preservation Officers (SHPOs), Indian tribes, local governments, and the public.

Other guidelines, standards, and regulations relevant to this Agreement and its purposes include:

- NPS-28, Cultural Resource Management Guideline
- NPS-2, Planning Process Guideline
- NPS-6, Interpretation and Visitor Services Guideline
- NPS-12, NEPA Compliance Guideline
- NPS-38, Historic Property Leasing Guideline
- 36 CFR Part 18, Leases and Exchanges of Historic Property

II. IDENTIFYING CULTURAL RESOURCES

The NPS will coordinate with SHPOs activities for research related to resource management needs and identification, evaluation, and registration of park historic properties. NPS fulfills these responsibilities under Section 110 of the NHPA and 36 CFR Part 800.4, with regard to properties potentially significant at national, State, or local levels and mindful of State preservation planning and inventory programs.

III. DELEGATION OF AUTHORITY

A. Park superintendents are the responsible agency officials as defined in 36 CFR Part 800.1(c)(1)(i) for purposes of Section 106 compliance. They will assume this responsibility in accordance with Stipulation VIII below.

B. Superintendents will be held accountable for their performance in Section 106 compliance through NPS procedures for performance and program evaluation.

C. To meet this responsibility, each park will have the following:

1. a commitment to training park staff, including an invitation to the appropriate SHPO and the Council to participate in that training, so that park staff are generally familiar with Section 106 processes; and
2. at least one staff person qualified to act as the park's 106 coordinator, whose 106 responsibilities are specified in his or her position description and performance standards; and
3. a formally designated set of CRM advisers whose qualifications are consistent with OPM standards, the intent of 36 CFR Part 61, Appendix A, and the intent of Section 112(a)(1)(B) of the National Historic Preservation Act. In-park staff, System Support Offices, other parks, NPS cultural preservation and archeological centers, Denver Service Center, other government agencies, and specialists and scholars outside NPS are all possible sources for needed expertise. Specialists who are not federal employees must meet the standards in 36 CFR Part 61, Appendix A.

D. SHPOs and the Advisory Council may at any time raise with the appropriate Field [Regional] Director any programmatic or project matters where they wish the Field Director to review a park superintendent's decision.

IV. PROJECT REVIEW–NATIONWIDE PROGRAMMATIC EXCLUSIONS

A. Undertakings listed in IV.B will be reviewed for Section 106 purposes within the NPS, without further review by the Council or SHPOs, provided:

1. that these undertakings are based upon information adequate to identify and evaluate affected cultural resources [except for IV.B.(5)];
2. that the NPS finds that their effects on cultural resources in or eligible for the National Register will not be adverse based on criteria in 36 CFR Part 800.9; and
3. that decisions regarding these undertakings are made and carried out in conformity with applicable policies, guidelines, and standards as identified in Stipulation I, and are documented by NPS using the form for "Assessment of Actions Having an Effect on Cultural Resources" or another appropriate format. (See Stipulation VII below.)

B. The following undertakings may be reviewed under the terms of IV.A:

1. preservation maintenance (housekeeping, routine and cyclic maintenance, and stabilization) as defined in NPS-28;
2. routine grounds maintenance, such as grass cutting and tree trimming;
3. installation of environmental monitoring units, such as those for water and air quality;
4. archeological monitoring and testing and investigations of historic structures and cultural landscapes involving ground disturbing activities or intrusion into historic fabric for research or inventory purposes (see also Stipulations II and IX.C);
5. acquisition of lands for park purposes, including additions to existing parks;
6. rehabilitation and widening of existing trails, walks, paths, and sidewalks within previously disturbed areas;*
7. repaving of existing roads or existing parking areas within previously disturbed areas;*
8. placement, maintenance, or replacement of utility lines, transmission lines, and fences within previously disturbed areas;*
9. rehabilitation work limited to actions for retaining and preserving, protecting and maintaining, and repairing and replacing in kind materials and features, consistent with the Secretary of the Interior's Standards for Rehabilitation and the accompanying guidelines;
10. health and safety activities such as radon mitigation, and removal of asbestos, lead paint, and buried oil tanks;
11. installation of fire detection and suppression systems, and security alarm systems, and upgrading of HVAC systems;
12. erection of signs, wayside exhibits, and memorial plaques;
13. leasing of historic properties consistent with NPS-38, if proposed treatments are limited to those consistent with IV.B(1) and (9) and other activities excluded under IV.A and B.

C. Park superintendents and SHPOs may develop additions to Stipulation IV.B that identify other types of undertakings that they mutually agree will be excluded from further review. Proposals for such additions will be provided for review to the Executive Director of the Council, the NPS Director, and the Executive Director of the Conference. Upon their acceptance, the Council, the Conference,

and NPS will maintain records on those additions as amendments to this Agreement, and provide for dissemination to other appropriate SHPOs and NPS offices.

D. In the event that a SHPO questions whether a project should be considered a programmatic exclusion under Stipulation IV.A and B, the superintendent and SHPO will make every effort to resolve the issue informally. If those efforts fail, the question will be referred to the Field [Regional] Director. If the matter is still not resolved, it will be referred to the Advisory Council in accordance with Stipulation XI.A.

V. PROJECT AND PROGRAM REVIEW-OTHER UNDERTAKINGS

A. All undertakings (as defined in 36 CFR Part 800), with the exception of those that meet provisions in Stipulation IV, will be reviewed in accord with 36 CFR Part 800.

B. Superintendents are encouraged to evaluate their park's programs and discuss with SHPOs ways to develop programmatic agreements for park undertakings that would otherwise require numerous individual requests for comments.

C. Memoranda of Agreement and Programmatic Agreements specific to a project, plan, or park may be negotiated between park superintendents and SHPOs, pursuant to 36 CFR Part 800.5(e) or 800.13, and may be independent of or supplement this Agreement.

VI. RELATIONSHIP OF PROJECT REVIEW TO PLANS

A. To the extent that the requirements of Section 106 and NEPA overlap for a given plan or project, superintendents are encouraged to coordinate these two processes, including the preparation of documentation and public involvement processes, in accordance with the guidance in 36 CFR Part 800 or otherwise provided by the Advisory Council.

B. In conformity with 36 CFR Part 800.3(c), park superintendents will ensure that the Section 106 process is initiated early in the planning stages of any given undertaking, when the widest feasible range of alternatives is open for consideration.

C. General Management Plans (GMPs) establish a conceptual framework for subsequent undertakings, and can thus play an important role in this process. GMPs may constitute the basis for consultation under 36 CFR Part 800.4-6 on individual undertakings, if sufficient information exists for resource identification, determination of National Register eligibility, and assessment of the effect of a proposed undertaking on the property in question. In the absence of such information, Section 106 consultation will normally be initiated or completed at subsequent stages in the planning process [such as Development Concept Plans (DCPs) or other subsequent implementing plans, as defined in NPS-2].

D. The park superintendent will notify the appropriate SHPO and the Council when a GMP or DCP is scheduled for preparation, amendment, revision, or updating. The superintendent will request comments regarding preservation concerns relevant to the plan, such as management objectives, identification and evaluation of historic properties, and the potential effects of individual undertakings and alternatives on historic properties.

E. During the planning process, the park superintendent, in consultation with the SHPO, will make a determination about which undertakings are programmatic exclusions under IV.A and B, and for all other undertakings, whether there is sufficient information about resources and potential effects on those resources to seek review and comment under 36 CFR Part 800.4-6 during the plan review process. In cases where consultation is completed on specific undertakings, documentation of this consultation will be included in the GMP or DCP.

F. The approved plan will list all undertakings in the plan that are subject to further consultation, and the stage of planning at which consultation is most likely to be completed.

G. NPS GMPs will include a statement about the status of the park's cultural resources inventory and will indicate needs for additional cultural resource information, plans, or studies required before

undertakings can be carried out.

VII. NPS PROCESS FOR DOCUMENTING ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES

All System-related undertakings that may have an effect on cultural resources will be appropriately documented and carried out in accordance with applicable policies, guidelines, and standards, as identified in Stipulation I. Formats for documentation include those outlined in published Advisory Council guidance (see "Preparing Agreement Documents," for example), the NPS "Assessment of Actions Having an Effect on Cultural Resources" form, programmatic agreements and, where appropriate, NEPA documentation that addresses cultural resources issues with information consistent with requirements of 36 CFR Part 800.

Cultural resources specialists will review all such actions prior to their implementation, and parks will maintain documentation of this review. Documentation of NPS reviews not already provided to SHPOs and the Council will be available for review by the Council and the appropriate SHPO upon request. Individual SHPOs who wish to review this documentation are responsible for specifying scheduling, frequency, and types of undertakings of concern to them.

VIII. PUTTING THIS AGREEMENT INTO EFFECT

The delegation of Section 106 responsibility to park superintendents will take place as of October 1, 1995. As a condition of this delegation, each park will identify

A. the specialists, on or off park staff, who will provide the park with advice and technical services for cultural resource issues related to Section 106 compliance. These specialists must be qualified in their areas of expertise and have a specified term of commitment to advise the park; and

B. a contact person to coordinate the park's Section 106 compliance processes.

Parks supplement on-staff expertise through advice and technical services from CRM specialists in SSOs, the Denver Service Center, preservation centers, and other specified CRM specialists inside and outside the NPS, for advice and technical services involved in 106 documentation and consultation. The superintendent will be the responsible agency official for 106 purposes, who ensures the implementation of this agreement and 36 CFR Part 800 procedures, and who signs correspondence to SHPOs and the Advisory Council and documentation of programmatic exclusions.

IX. COOPERATION AND COMMUNICATIONS

A. Within six months of the date of the signature of this PA by all parties, and every two years thereafter, each park superintendent will invite the appropriate SHPO(s) to meet to discuss the compliance process and any actions necessary to improve communications between the park and SHPO.

B. SHPOs, the Conference, and the Council will be informed and consulted about revisions to NPS standards and guidelines listed in Stipulation I.

C. SHPOs, parks and NPS System Support Offices will share information about inventories of historic properties, preservation planning processes, and historic contexts developed by each, as well as other reports and research results related to cultural resources.

D. SHPOs will treat the appropriate park superintendent as an interested party for purposes of State environmental and preservation laws as they may relate to park undertakings and cultural resources.

E. The Council and SHPOs will treat the appropriate park superintendent as an interested party under 36 CFR Part 800 for purposes of undertakings by other Federal agencies and Indian tribes that may affect NPS areas, including undertakings in areas in and around parks.

F. As required in NPS-2, NPS-12, the Section 110 Guidelines, and 36 CFR Part 800, NPS will

provide opportunities for Indian tribes and other interested persons to participate in the processes outlined in this Agreement.

X. RELATIONSHIP TO OTHER EXISTING AGREEMENTS

A. This Programmatic Agreement will become effective on October 1, 1995, and shall supersede the following existing Programmatic Agreements:

1. the Memorandum of Understanding executed in June 1976, regarding NPS planning documents;
2. the Programmatic Memorandum of Agreement executed on December 19, 1979, and its amendments dated September 1981 and December 1985 regarding planning documents, energy management, and preservation maintenance; and
3. the Programmatic Memorandum of Agreement executed on December 19, 1982, regarding leasing of historic properties.
4. the nationwide Programmatic Agreement of 1990.

B. Signature and implementation of this Agreement does not invalidate park-, Region- or project-specific Memoranda of Agreement or programmatic agreements negotiated for Section 106 purposes prior to the effective date of this Agreement.

XI. DISPUTE RESOLUTION

A. Should a SHPO or the Council object to a park superintendent's decisions or actions pursuant to any portion of this Agreement, the superintendent will consult the objecting party to resolve the objection. If the park superintendent or the objecting party determines that the objection cannot be resolved, the superintendent will forward all documentation relevant to the dispute to the Field [Regional] Director for further consultation. If the objection still cannot be resolved, the Field Director will forward to the Council relevant documentation not previously furnished to the Council. Within 30 days after receipt of all pertinent documentation, the Council will either:

1. provide the Field Director with recommendations, which the Field Director will take into account in reaching a final decision regarding the dispute; or
2. notify the Field Director that it will comment pursuant to 36 CFR Part 800.6(b), and proceed to comment. Any Council comment provided in response to such a request will be taken into account by the Field Director with reference to the subject of the dispute.**

Any recommendation or comment provided by the Council will be understood to pertain only to the subject of the dispute. The NPS responsibility to carry out all actions under this Agreement that are not the subjects of the dispute will remain unchanged.

B. When requested by any person, the Council will consider NPS findings under this Agreement pursuant to the provisions of 36 CFR Part 800.6(e) on public requests to the Council.

XII. MONITORING, TERMINATION, AND EXPIRATION

A. The National Park Service will convene a meeting of the parties to this Agreement on or about November 15, 1996, to review implementation of the terms of this Agreement and determine whether revisions or amendments are needed. If revisions or amendments are needed, the parties will consult in accordance with 36 CFR Part 800.13.

B. Any party to this Agreement may terminate it by providing ninety (90) days notice to the other parties, provided that the parties will consult during the period prior to termination to seek agreement on amendments or other actions that would avoid termination. In the event of termination, the NPS will comply with 36 CFR Part 800 with regard to individual undertakings otherwise covered by this Agreement.

ADVISORY COUNCIL ON HISTORIC PRESERVATION

By: s/Cathryn B. Slater DATE: July 17, 1995
Chairman

NATIONAL PARK SERVICE

By: s/Roger G. Kennedy DATE: July 17, 1995
Director

NATIONAL CONFERENCE OF STATE HISTORIC PRESERVATION OFFICERS

By: s/W. Ray Luce DATE: July 17, 1995
President

Below are two explanatory notes that are not part of the PA text:

* IV.B(6),(7),(8)–The historic qualities of walks, trails, paths, and their surroundings should be carefully evaluated in assessing the potential for adverse effects. Not only potential archeological resources, but also the other kinds of values that might be affected must be considered. Is a particular path's surface finish, for example, a character-defining element in a cultural landscape? Will enlarging a parking lot have a visual impact on a National Register- eligible structure, site, or landscape? Would the new fence alter visual or design qualities of a historic landscape? Will the project affect ethnographic resources?

** XI.A(1) and (2)–This language about the role of the Field (Regional) Director does not alter the ultimate responsibility assigned to heads of agencies under Section 110(l) of the National Historic Preservation Act in cases where there is an adverse effect that is not covered by an agreement with the Council.

IMPLEMENTING SECTION 106 AND THE 1995 SERVICEWIDE PROGRAMMATIC AGREEMENT WITHIN THE NATIONAL PARK SYSTEM

Purpose

The purpose of this document is to outline the legal and regulatory responsibilities of park superintendents under Section 106 of the National Historic Preservation Act of 1966, and to provide guidance on successful approaches to achieving compliance and avoiding conflict.

Background

Every project that has the potential to affect cultural resources requires compliance with Section 106 and its implementing regulations, 36 CFR Part 800. To facilitate the compliance process by accelerated review of certain specified common activities (programmatic exclusions), the National Park Service negotiated a Programmatic Agreement (PA) with the National Conference of State Historic Preservation Officers (NCSHPO) and the Advisory Council on Historic Preservation (ACHP).

Under the terms of this 1995 PA, the National Park Service:

- continues to preserve and foster appreciation of park cultural resources in accordance with law, regulations, policies, and the Secretary's Standards; and
- carries out the process in 36 CFR Part 800 and documents programmatic exclusions under

stipulation IV, ensuring review by cultural resource specialists of all actions subject to Section 106; and

- makes park superintendents the responsible agency officials for 106 purposes, reflecting the new NPS organizational structure and emphasis on de-centralization and teamwork.

The National Conference and the Advisory Council:

- consult with the NPS in the 36 CFR Part 800 process; and
- consider invitations to participate in training for park staffs; and
- respond as they see fit to requests for early participation in park planning; and
- treat park superintendents as interested parties for actions that may affect parks as noted in stipulation IX.

I. Role and Function of Park Managers and Staff

A. As the responsible agency official for actions in the park, the park superintendent ensures that legal and regulatory requirements of Section 106 and 36 CFR Part 800 are met, including:

- identification of actions that have the potential to affect cultural resources;
- identification and evaluation of cultural resources that exist in a project area;
- evaluation of the potential effects proposed activities may have on resources that meet National Register criteria;
- consideration of ways to reduce or avoid harm by federal undertakings to potentially affected resources eligible for the Register; and
- involvement of and consultation with the public, state historic preservation officers, and the Advisory Council in this process.¹

B. Under the 1995 PA, the park superintendent:

- is the signatory for correspondence and documentation provided to the SHPO and Advisory Council under 36 CFR Part 800, and for documentation of programmatic exclusions in the 1995 PA;
- designates a park Section 106 coordinator qualified to act as the park's staff contact for the 106 process;
- identifies and uses a set of cultural resource management (CRM) specialists to advise the park in 106 matters.² Those specialists' qualifications are consistent with (a) OPM standards, (b) the intent of 36 CFR Part 61, Appendix A, and (c) the intent of Section 112(a)(1)(B) of the National Historic Preservation Act;
- should inform the appropriate SHPO(s) and regional director about the specialists who will be among the park's advisers;
- invites the SHPO to meet to discuss the park's compliance efforts every two years;
- may develop procedures and programmatic approaches to Section 106 that more closely reflect the specific resources and needs of their parks and their working relationships with SHPOs and the Advisory Council;

- should seek to coordinate Section 106 compliance procedures with existing park project review processes; and
- has a commitment to make park staff generally familiar with the 106 process.

¹ 36 CFR Part 800 contains the definitive description of the process, and "Section 106, Step by Step" and other Advisory Council publications provide further guidance in implementing and interpreting the regulations.

² In many cases a support office will be able to provide expertise not currently available on the park staff. An adjacent park or parks may also have individuals with the necessary qualifications, and expertise outside NPS may be sought. Typically, a park's core group of advisers would include a historical architect, archeologist, historical landscape architect, historian, ethnographer, and curator. Superintendents may also sometimes need to reach beyond the core group for additional specialized expertise. Advisers not on the park staff should have a specified term of commitment to advise the park.

C. The park Section 106 coordinator coordinates and facilitates 106 procedures and works with project initiators, planners, and the park's CRM advisers to:

- initiate or coordinate (and review if he/she is a cultural resource management specialist) 106 documentation; and
- seek advice and technical expertise of appropriate CRM advisers/specialists needed in formulating proposals, evaluating properties for National Register eligibility, assessing effects under 36 CFR Part 800, and consulting on adverse effects and mitigation measures.

He or she, optimally, should be a cultural resource management specialist.

II. Section 106 Procedures

As noted in the 1995 PA, the basic process outlined in 36 CFR Part 800 applies to park undertakings, with the exception of those covered as programmatic exclusions by the PA's stipulation IV or otherwise covered by other programmatic 106 documents. Please see "Section 106, Step by Step" and other Advisory Council published guidance for a comprehensive discussion of how to implement the regulatory process. Following are considerations in that process:

A. *Project Identification.* The park Section 106 coordinator should be consulted by others on the park staff to determine the potential of proposed projects to affect cultural resources.

B. *Determination of Undertaking.* The park Section 106 coordinator should determine, in consultation with the park's identified CRM advisers and the SHPO as needed, whether a project is to be considered an undertaking as defined in 36 CFR 800.2(o).

C. *106 Documentation.* The Section 106 coordinator should ensure that appropriate documentation is prepared in a timely manner, reviewed by relevant CRM specialists, signed by the superintendent, and submitted to the SHPO and Advisory Council on Historic Preservation as required in 36 CFR Part 800. (The National Park Service has traditionally used the Assessment of Effect Form to document the consideration of Section 106 in its activities. A model Assessment of Effect Form is in Appendix O. It can be amended to reflect regional protocols or park or area-specific programmatic agreements with an SHPO and the ACHP.)

D. *Consultation.* The Section 106 coordinator should facilitate, monitor, and document the progress of consultation with the public, state historic preservation officers, and the Advisory Council, as appropriate.

E. *Monitoring.* Park staff should provide the Section 106 coordinator with information needed to

monitor and ensure the implementation of any conditions or stipulations developed in agreement documents through the Section 106 process. This includes notifying the 106 coordinator if cultural resources are discovered, or if the scope of work is changed, in the course of an undertaking's implementation.

F. *Archiving of Documentation.* The park Section 106 coordinator should maintain in the park files (file code H4217) all "Assessment of Effect" forms and other 106 documentation, including correspondence, plans, photographs, etc.

III. Communications and Accountability

A. Superintendents' current performance contracts include a section on the park's resources management. Superintendents are responsible within this performance evaluation system for the park's Section 106 compliance activities.

B. Revised NPS procedures for program evaluation will also provide ways to assess the Service's observance of Section 106 compliance procedures.

C. Annual summaries of park compliance activity should be provided to the regional director (and to the Service's federal preservation officer) and may be incorporated into the superintendents' annual reports. (These aggregated summaries allow the regional director and the federal preservation officer to observe broad trends in Section 106 activities and knowledgeably represent the Service at meetings of NPS, NCSHPO, and Advisory Council staff.)

D. Each SHPO will be invited to comment to the superintendent and to the regional director on each park's performance in meeting the responsibility for Section 106 compliance.

[<<< Previous](#)

[<<< Contents >>>](#)

[Next >>>](#)

Supporting
Records:

Programmatic
Agreements

**PROGRAMMATIC AGREEMENT AMONG THE
NATIONAL PARK SERVICE
(U.S. DEPARTMENT OF THE INTERIOR),
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
AND THE NATIONAL CONFERENCE OF STATE HISTORIC
PRESERVATION OFFICERS FOR COMPLIANCE WITH SECTION 106
OF THE NATIONAL HISTORIC PRESERVATION ACT**

I.	RESPONSIBILITIES, QUALIFICATIONS AND TRAINING	2
II.	CONSULTATION	6
III.	STREAMLINED REVIEW PROCESS	9
IV.	STANDARD REVIEW PROCESS	20
V.	NATIONAL HISTORIC LANDMARKS	21
VI.	INADVERTENT DISCOVERIES	21
VII.	EMERGENCY ACTIONS	22
VIII.	REVIEW AND MONITORING OF PA IMPLEMENTATION	22
IX.	SUBSEQUENT AGREEMENTS	24
X.	DISPUTE RESOLUTION	24
XI.	MONITORING AND TERMINATION	25
XII.	SEVERABILITY	25
XIII.	ANTI-DEFICIENCY ACT STATEMENT	26

This Page Intentionally Blank

**PROGRAMMATIC AGREEMENT AMONG THE
NATIONAL PARK SERVICE
(U.S. DEPARTMENT OF THE INTERIOR),
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
AND THE NATIONAL CONFERENCE OF STATE HISTORIC
PRESERVATION OFFICERS FOR COMPLIANCE WITH SECTION 106
OF THE NATIONAL HISTORIC PRESERVATION ACT**

WHEREAS, the National Park Service (NPS) plans for, operates, manages, and administers the National Park System (System) and is responsible for identifying, preserving, maintaining, and interpreting the historic properties of the System unimpaired for the enjoyment of future generations in accordance with the 1916 National Park Service Organic Act, the NPS Management Policies (2006), and applicable NPS Directors Orders; and

WHEREAS, the operation, management, and administration of the System entail undertakings that may affect historic properties (as defined in 36 CFR Part 800), which are therefore subject to review under Sections 106, 110(f) and 111(a) of the National Historic Preservation Act as amended (NHPA) (16 USC 470 *et seq.*) and the regulations of the Advisory Council on Historic Preservation (ACHP) (36 CFR Part 800); and

WHEREAS, the NPS has established management policies, director's orders, standards, and technical information designed for the identification, evaluation, documentation, and treatment of historic properties consistent with the spirit and intent of the NHPA; and

WHEREAS, the NPS has a qualified staff of cultural resource specialists to carry out programs for historic properties; and

WHEREAS, the purpose of this Programmatic Agreement (PA) is to establish a program for compliance with Section 106 of the NHPA and set forth a streamlined process when agreed upon criteria are met and procedures are followed; and

WHEREAS, signature and implementation of this PA does not invalidate park-, Region-, or project-specific memoranda of agreement (MOA) or programmatic agreements negotiated for Section 106 purposes prior to the effective date of this PA; and

WHEREAS, Federally recognized Indian Tribes are recognized by the U.S. government as sovereign nations in treaties and as unique political entities in a government-to-government relationship with the United States; and

WHEREAS, the NPS has conducted a series of "listening" meetings with Indian Tribes, has requested the input of a number of Native Advisors in the process of preparing this PA, and has held consultation meetings with Federally recognized Indian Tribes, Native Hawaiian organizations, and other parties on the content of the PA; and

WHEREAS, 36 CFR 800.2 (c)(2)(i)(A) and (B) provide for consultation with Indian Tribes on the same basis as the State Historic Preservation Officer (SHPO) when an undertaking will occur on or affect historic properties on tribal lands; and

WHEREAS, in accordance with 36 CFR 800.14(b)(2)(iii), a PA shall take effect on tribal lands only when the designated representative of the tribe is a signatory to the agreement; and

WHEREAS, for those parks located partly or wholly within tribal lands, the NPS has invited the applicable Tribal Historic Preservation Officer (THPO) or Indian Tribe to sign this PA as an Invited Signatory; and

WHEREAS, the NPS has consulted with the NCSHPO and the ACHP regarding ways to ensure that NPS operation, management, and administration of the Parks provide for management of the Parks' historic properties in accordance with the intent of NPS policies, director's orders and Sections 106, 110, 111, and 112 of the NHPA.

NOW, THEREFORE, the NPS, the NCSHPO, the ACHP, and the signatory tribes mutually agree that the NPS will carry out its Section 106 responsibilities with respect to operation, management, and administration of the Parks in accordance with the following stipulations.

PURPOSE AND NEED

NPS park operations, management, and administration require a large number of low-impact or repetitive activities on a daily basis that have the potential to affect properties listed in or determined eligible for the National Register of Historic Places and require consultation under Section 106. This PA provides an efficient process for compliance with Section 106 for daily NPS park operations, management, and administration activities. It establishes two processes for Section 106 review: a "streamlined" review process for designated undertakings that meet established criteria and a "standard" review process for all other undertakings. This PA also provides programmatic procedures and guidance for other activities related to the Section 106 compliance process, including identification of resources, consultation, and planning.

The NPS shall ensure the following measures are implemented.

I. RESPONSIBILITIES, QUALIFICATIONS, AND TRAINING

The following sections list the responsibilities and required qualifications for those individuals responsible for implementing this PA.

A. Responsibilities

1. Director, National Park Service

The Director has policy oversight responsibility for the agency's historic preservation program. The Director, through the Deputy Director for Operations, executes this PA for the NPS and provides policy level oversight within the NPS to ensure that stipulations of the PA are met.

2. Associate Director for Cultural Resources

The Associate Director for Cultural Resources (ADCR) provides national leadership for policy implementation through establishing standards and guidance for managing cultural resources within the Parks. The ADCR works with the NPS regions and parks to ensure and support compliance with the stipulations of this PA and provides accountability to the signatories of this PA with regard to its implementation. The ADCR is responsible for working with Regions and Parks to develop and fund training needs related to Section 106 and the implementation of the PA. The ADCR in cooperation with the regions and parks, is responsible for issuing a guidance document for this agreement within 12 months of its execution. At the time of execution of this PA, the ADCR also holds the title of Federal Preservation Officer (FPO).

3. Regional Directors

The Regional Director is the line manager for all Superintendents within his/her region. The Regional Director is responsible for policy oversight, strategic planning, and direction for parks and programs within the region and reports to the Director through the NPS Deputy Director for Operations. Review and support of Park and Superintendent implementation of this PA and training to achieve Section 106 compliance is the responsibility of the Regional Director.

4. Regional Section 106 Coordinators

The Regional Section 106 Coordinators work with parks and other NPS offices to provide support for Section 106 compliance and implementation of this PA. The Regional Section 106 Coordinators provide guidance materials and technical assistance for implementing the PA and assist the parks to meet the training, reporting, and consultation requirements of the PA.

5. Superintendents

Superintendents are the responsible agency officials as defined in 36 CFR 800.2(a) for purposes of Section 106 compliance and the implementation of this PA.

Each Superintendent shall do the following within his/her park:

- a. Designate a Park Section 106 Coordinator and a Cultural Resource Management (CRM) Team meeting the necessary qualifications;
- b. Develop and maintain relationships with Federally recognized Indian Tribal governments and Native Hawaiian organizations (if applicable);
- c. Develop and maintain relationships with SHPOs/THPOs;
- d. Ensure early coordination among the Section 106 Coordinator, the CRM Team, and other park and regional staff, concessioners, park partners, neighboring communities, groups affiliated with park resources, and others in the planning of projects and activities that may affect historic properties;
- e. Ensure that Section 106 consultation with the SHPO/THPO and other consulting parties is initiated early in the planning stages of any given undertaking, when the widest feasible range of alternatives is available for consideration;
- f. Ensure that the Park Section 106 Coordinator, CRM Team Members and the park cultural resources staff receives the NHPA training needed to carry out their responsibilities. Provide opportunities for other involved staff to receive NHPA training as funding and opportunities permit.

6. Park Section 106 Coordinator

The Park Section 106 coordinator provides day-to-day staff support for Section 106 activities and serves as liaison among park personnel, the NPS Regional Office, NPS Centers, and others involved in undertakings. The coordinator makes recommendations to the Superintendent regarding the appropriate course of action under this PA, including whether a project constitutes a Section 106 undertaking.

7. Cultural Resource Management (CRM) Team

The CRM Team shall provide expertise and technical advice to the Superintendent and the Park Section 106 Coordinator for purposes of Section 106 compliance and implementation of this PA.

B. Qualifications

1. Park Section 106 Coordinator

The Superintendent shall designate at least one (1) person to act as the park's Section 106 Coordinator, whose Section 106 responsibilities are specified, as appropriate. The designee may be chosen from the park staff, other NPS parks, NPS archeological and preservation centers, and the NPS Regional Office. The Park Section 106 Coordinator shall have an appropriate combination of professional training and/or experience to effectively carry out the responsibilities of the position.

2. Cultural Resource Management (CRM) Team

The Superintendent shall designate a CRM Team with expertise to fulfill and implement the requirements of this PA, whose Section 106 responsibilities are specified, as appropriate.

- a. Subject matter experts chosen must be appropriate to the resource types found in the park. Therefore, the number of individuals who comprise the CRM Team is not static and will be appropriate to include all necessary disciplines. Multi-disciplinary reviews of proposed undertakings are recommended.
- b. CRM Team members may be on the park staff or in other parks, or from NPS Regional Offices, NPS Centers, Federally recognized Indian Tribes, Native Hawaiian organizations, or elsewhere in the public or private sector.
- c. CRM Team members who are federal employees shall meet the qualifications for the applicable discipline as defined in Appendix E to NPS-28: Cultural Resource Management Guideline. CRM Team members who are representing Federally recognized Indian Tribes may be traditional cultural authorities, elders, and others experienced in the preservation of tribal culture. All other CRM team members, who are not federal employees or representing a Federally recognized Indian Tribe, must meet the Professional Qualification Standards in the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation.

C. Training

Periodic training on Section 106 compliance issues and the provisions of this PA is needed to maintain an understanding of the requirements of each. Such training may be accessed through the NPS, the ACHP, SHPOs/THPOs, Indian Tribes, Native Hawaiian organizations, other Federal or state agencies or private industry. Training may be in a classroom setting, electronic media, meetings, or other formats that allow for the conveyance of information. The NPS Washington Office, in consultation with the NPS parks, regions, and training centers, will work with the ACHP and NCSHPO to establish options for training in accordance with this PA, within 12 months from the time of execution of this PA.

1. All Superintendents and Section 106 coordinators will be notified of the opportunity to receive training on the provisions of this programmatic agreement once it has been made available by the NPS Washington Office. The NPS ADCR will work with the Regional 106 coordinators to accomplish this training throughout the Regions and parks within 12 months of its availability.
2. Superintendents will report on Section 106 training received by Superintendents and park staff as part of the biennial report (Section VIII.B of this agreement).

II. CONSULTATION

A. Consultation with Federally Recognized Indian Tribes and, THPOs, and Native Hawaiian Organizations

Government-to-government consultation with Federally recognized Indian Tribes and consultation with Native Hawaiian organizations shall occur at the Superintendent level and be initiated during planning and prior to undertaking an activity, program or project that may affect historic properties of significance to Federally recognized Indian tribes or Native Hawaiian organizations. Maintaining an on-going consultative relationship with THPOs and/or staff of Federally recognized Indian Tribes and Native Hawaiian organizations is essential.

1. Consultation on Undertakings off Tribal Lands

Superintendents shall identify, compile a list of, and consult with Federally recognized Indian Tribes, THPOs and Native Hawaiians that are known to have aboriginal lands within the park boundaries, assert an interest in historic properties within the park boundaries, or have lands or interest in lands adjacent to the park.

- a. Such consultation will be in accordance with 36 CFR 800.2(c)(2)(ii), NPS Director's Order 75A: Public Engagement and Public Involvement, and with Sections III and IV of this PA.
- b. Each Superintendent, with the assistance of park and Regional Office ethnographers, will be responsible for identifying aboriginal lands within the park boundary, working cooperatively with the appropriate Federally recognized Indian Tribes and Native Hawaiian organizations.
- c. Superintendents, in consultation with the Park Section 106 Coordinator and the CRM Team, shall establish a process and develop consultation agreements, where appropriate, that provide for early coordination between the park and Federally recognized Indian tribes, THPOs, and/or Native Hawaiian organizations in identification and evaluation of historic properties and the planning of projects and activities that may affect historic properties.
- d. Identification and evaluation of historic properties on aboriginal lands must be based upon consultation with the appropriate traditionally associated communities.

2. Consultation on Undertakings on Tribal Lands

For those undertakings that either occur on tribal lands or will otherwise have the potential to affect historic properties on tribal lands, including cumulative impacts from collectively significant actions taking place over a period of time, the Superintendent shall consult with that tribe on the same basis as he or she consults with the SHPO.

- a. Where the Tribe has assumed the SHPO's responsibility for Section 106 pursuant to Section 101(d)(2) of the NHPA, the Superintendent shall consult with the THPO in lieu of the SHPO, except as provided for in Section 101(d)(2)(D)(iii).
- b. Where the Tribe has not assumed the SHPO's responsibility for Section 106, the Superintendent shall consult with the Tribe's designated representatives in addition to and on the same basis as the SHPO. The Tribe shall have the same rights of consultation and concurrence as the SHPO.

3. **Applicability of this PA on Tribal Lands**

When a park is located partly or wholly within the boundaries of tribal lands, and the tribe has not signed this PA as an Invited Signatory, any undertaking that may occur on those tribal lands shall require consultation with the Tribe and/or THPO in accordance with 36 CFR Part 800, and the provisions of this PA are not applicable.

A tribe may sign this PA by written notification to the Director of such intent, signed by the THPO, Indian tribe, or a designated representative of the tribe. Once such a written and signed notification is received by the Director, the provisions of this PA will be applicable to undertakings occurring on those lands where a park is located partly or wholly within the boundaries of that particular tribe's tribal lands.

4. **Development of Agreements to Facilitate Government-to-Government Consultation with Federally recognized Indian Tribes and Consultation with Native Hawaiian Organizations**

Development of consultation protocols, memoranda of agreement and programmatic agreements is encouraged. Such agreements may be negotiated between Superintendents and Federally recognized Indian Tribes, THPOs, or Native Hawaiian organizations and may be independent of or supplement this PA. For example, such agreements may be specific to a project, plan, or park activity, or may set forth specific consultation protocols between the park and a specific tribe or group of Native peoples. Superintendents will provide an informational copy of all agreements to the Regional Section 106 Coordinator and to the ACHP and appropriate SHPO/THPO in accordance with 36 CFR 800.2(c)(2)(ii)(E).

B. Consultation with SHPOs

Consultation with SHPOs on projects reviewed in accordance with the Standard Review Process will occur in accordance with the procedures set forth in Section IV of this PA. Consultation with SHPOs on implementation of this PA will occur biennially in accordance with Section VIII of this PA.

C. Consultation with Local Governments and Applicants for Federal Assistance, Licenses, Permits, and Other Approvals

Where appropriate, the Superintendent shall actively seek the views and comments of local governments and certified local governments. Those seeking Federal assistance, licenses, permits, or other approvals are entitled to participate as a consulting party as defined in 36 CFR 800.2(c)(4) and will be consulted, as applicable.

D. Consultation with the Public

Superintendents will consult with interested members of the public.

E. General Consultation Provisions

1. Section 110 Inventory of Historic Properties

The parks implement a program to identify, evaluate, and, when appropriate, nominate historic properties to the National Register of Historic Places in accordance with Section 110(a)(2)(d) of the NHPA. Research and testing of all types of historic properties for purposes of identification and evaluation must be limited to the minimum necessary to obtain the required inventory and evaluative information. Early coordination on the identification and evaluation of historic properties should be undertaken with Federally recognized Indian Tribes or Native Hawaiian organizations, as appropriate, utilizing tribal knowledge and expertise wherever applicable. Knowledge and data from appropriate sources of expertise should be utilized, including SHPOs, local governments, Indian Tribes, Pacific Islanders, and national and local professional and scientific organizations. Inventory records should be periodically reviewed and updated, as necessary, to ensure data on historic properties, including condition information, is current, and any previous evaluations of significance remain accurate.

2. Information Sharing: Historic Property Inventories

Parks, NPS Regional Offices, NPS Centers, and SHPOs will share information with each other regarding inventories of historic properties and historic contexts developed, as well as other reports and research results related to historic properties in the parks, whenever such studies become available. In addition, parks, NPS Regional Offices, and NPS Centers will make such information available to interested Federally recognized Indian Tribes, THPOs, and Native Hawaiian organizations. Federally recognized Indian Tribes who are signatories to this PA will, likewise, make such information available to NPS parks and Regional Offices, as appropriate. Information will be shared with the understanding that sensitive information will be withheld by the recipient of the information from public disclosure pursuant to Section 304 of NHPA and other applicable laws. Procedures for information sharing and format for information (i.e. electronic, hard copy, etc.) should be agreed upon between the parties.

3. Notification of Park Section 106 Coordinator

The National Park Service will provide contact information on Section 106 coordinators to Indian Tribes, SHPOs/THPOs, and Native Hawaiian organizations for each park through the Regional Office from the Regional 106 Coordinator within six months of this PA and updated biennially.

4. Review and comment on guidance and training documents

The ADCR will consult with the ACHP and NCSHPO in the development of training materials and guidance for this PA.

F. Development of Agreements to Facilitate Consultation

Development of consultation protocols, memoranda of agreement, and programmatic agreements is encouraged. Such agreements may be negotiated between Superintendents and organizations or governments and may be independent of or supplement this PA. For example, such agreements may be specific to a project, plan, or park activity, or may set forth specific consultation protocols between the park and a specific group, state, or local government. Superintendents will provide an informational copy of all agreements to the Regional Section 106 Coordinator and to the ACHP and appropriate SHPO/THPO in accordance with 36 CFR 800.2(c)(2)(ii)(E).

III. STREAMLINED REVIEW PROCESS

Where the Park Section 106 Coordinator determines the following criteria are met for a proposed undertaking, no further consultation is required unless otherwise specifically requested by the SHPO/THPO, Federally recognized Indian Tribe(s) or Native Hawaiian organization(s), or the ACHP.

A. Criteria for Using the Streamlined Review Process

All of the following criteria must be met in order to use the Streamlined Review Process:

1. The proposed undertaking must be an activity eligible for streamlined review, listed in Section III.C of this PA. These undertakings shall be known as "streamlined activities" for purposes of reference and replace the term "nationwide programmatic exclusions" set forth in the 1995 Programmatic Agreement between the NPS, the ACHP, and the NCSHPO; and
2. Identification and evaluation of all types of historic properties within the project area of potential effect (APE) must have been previously undertaken, sufficient to assess effects on those resources (with the exception of V.C (16)). Identification and evaluation of historic properties of religious and cultural significance to Indian tribes and Native Hawaiian organizations must be based upon consultation

with those entities. All properties within the APE must have previously been evaluated for eligibility to the National Register of Historic Places and the SHPO/THPO must have concurred with the eligibility determination. Inventory records should be periodically reviewed and updated, as necessary, to ensure data on historic properties, including condition information, is current, and any previous evaluations of significance remain accurate; and

3. The Section 106 Coordinator, in consultation with appropriate members of the CRM Team must have reviewed the project and certified that the effects of the proposed undertaking on historic properties on or eligible for the National Register will *not be adverse* based on criteria in 36 CFR 800.5, including consideration of direct, indirect, and cumulative effects. The Effect Finding must be "No Historic Properties Affected" or "No Adverse Effect".

B. Streamlined Review Process

1. *Evaluate Whether the Proposed Undertaking is Eligible for Streamlined Review:* The Park Section 106 Coordinator, in consultation with appropriate members of the CRM Team, determines whether the proposed undertaking is an activity listed as an undertaking eligible for streamlined review in Section III.C of this PA. If not, compliance for the undertaking must be accomplished through the Standard Review Process, outlined in Section IV of this PA.
2. *Identify the Undertaking's Area of Potential Effect (APE):* The Park Section 106 Coordinator, in consultation with members of the CRM Team with expertise in the appropriate discipline(s), determines the project's APE, taking into account direct, indirect, and cumulative effects.
3. *Identify Historic Properties within APE:* The Park Section 106 Coordinator, in consultation with members of the CRM Team with expertise in the appropriate discipline(s), identifies the location, number, and significance of historic properties within the APE. If properties are located within the APE that have not yet been documented or evaluated for eligibility for the National Register of Historic Places, or if the SHPO/THPO has not yet concurred with the eligibility determination, compliance for the undertaking must be accomplished through the Standard Review Process, outlined in Section IV of this PA.
4. *Evaluate Effect of Undertaking on Historic Properties in APE:* The Park Section 106 Coordinator, in consultation with members of the CRM Team with expertise in the appropriate discipline(s), evaluates the effect of the proposed undertaking and cumulative effects on historic properties, applying the Criteria of Adverse Effect set forth in 36 CFR 800.5(a)(1)
5. *Document Streamlined Review Process:* If, after following steps one through four (1-4) listed above, the Park Section 106 Coordinator determines no historic properties are within the APE, or the proposed undertaking would result in a

determination of “no historic properties affected” or “no adverse effect”, no further consultation is required. The Park Section 106 Coordinator shall document the determination as follows:

- a. The Streamlined Review process will be documented using the NPS “Assessment of Actions Having an Effect on Cultural Resources” form, or another appropriate format. Parks are encouraged to use Servicewide automated project planning and tracking systems, such as the NPS Planning, Environment and Public Comment (PEPC) system, to track and document Section 106 compliance activities.
- b. Documentation will include the comments of each member of the CRM Team involved in the review process and the signature of the Superintendent. Electronic signatures are acceptable.
- c. Documentation will be permanently retained by the Park Section 106 Coordinator for review by consulting parties and to facilitate the preparation of the Annual Report.
- d. Annual Report: An annual report of all undertakings reviewed using the Streamlined Review process will be prepared by the Park Section 106 Coordinator, using existing and readily available data sources and reporting systems such as the NPS Planning, Environment and Public Comment (PEPC) system, for transmittal to the SHPO/THPO.

C. Undertakings Eligible for Streamlined Review

1. **Preservation Maintenance and Repair of Historic Properties:** The Streamlined Review Process is intended to be used for:

- Mitigation of wear and deterioration of a historic property to protect its condition without altering its historic character;
- Repairing when its condition warrants with the least degree of intervention including limited replacement in-kind;
- Replacing an entire feature in-kind when the level of deterioration or damage of materials precludes repair; and
- Stabilization to protect damaged materials or features from additional damage.

Use of the Streamlined Review Process is limited to actions for retaining and preserving, protecting and maintaining, and repairing and replacing in-kind, as necessary, materials and features, consistent with the Secretary of the Interior's Standards for the Treatment of Historic Properties (Standards) and the accompanying guidelines.

Emergency stabilization, including limited replacement of irreparably damaged features or materials and temporary measures that prevent further loss of historic

material or that correct unsafe conditions until permanent repairs can be accomplished, may use the Streamlined Review Process. For archeological sites and cultural landscapes, the Streamlined Review Process may also be used for work to moderate, prevent, or arrest erosion.

If the project activities include ground disturbance, archeological monitoring may be appropriate throughout the ground disturbing activities, in accordance with any recommendation of the CRM Team. When monitoring is recommended, members of any appropriate Federally recognized Indian Tribes or Native Hawaiian organizations may be invited to participate in monitoring.

The Streamlined Review Process may be used for routine repairs necessary to continue use of a historic property, but it is not intended to apply to situations where there is a change in use or where a series of individual projects cumulatively results in the complete rehabilitation or restoration of a historic property. If an approved treatment plan exists for a given historic property (such as a historic structure report, cultural landscape report, or preservation maintenance plan), the proposed undertaking needs to be in accordance with that plan. This streamlined activity includes the following undertakings, as well as others that are comparable in scope, scale, and impact:

- a. Removal of non-historic debris from an abandoned building.
- b. Cleaning and stabilizing of historic structures, features, fences, stone walls, plaques, and cannons using treatment methods that do not alter or cause damage to historic materials.
- c. Repainting in the same color as existing, or in similar colors or historic colors based upon an approved historic structure report, cultural landscape report, or a historic paint color analysis.
- d. Removal of non-historic, exotic species according to Integrated Pest Management principles when the species threatens cultural landscapes, archeological sites, or historic or prehistoric structures.
- e. Energy improvements limited to insulation in the attic or basement, and installation of weather stripping and caulking.
- f. In-kind repair and replacement of deteriorated pavement, including, but not limited to, asphalt, concrete, masonry unit pavers, brick, and stone on historic roads, paths, trails, parking areas, pullouts, etc.
- g. Repair or limited in-kind replacement of rotting floorboards, roof material, or siding. Limited in-kind replacement refers to the replacement of only those elements of the feature that are too deteriorated to enable repair, consistent with the Standards.
- h. In-kind replacement of existing gutters, broken or missing glass panes, retaining walls, and fences.

2. Rehabilitation and/or Minor Relocation of Existing Trails, Walks, Paths, and Sidewalks: The Streamlined Review Process may be used for undertakings proposed on existing non-historic trails, walks, paths, and/or sidewalks that are

located within previously disturbed areas and do not exceed the depth of the previous disturbance. The Streamlined Review Process may also be used for undertakings proposed on existing historic trails, walks, paths, and/or sidewalks, provided that the proposed undertaking is conducted in accordance with an approved treatment plan (such as a historic structure report, cultural landscape report, or preservation maintenance plan).

If the project activities include ground disturbance, archeological monitoring may be appropriate throughout the ground disturbing activities, in accordance with any recommendation of the CRM Team. When monitoring is recommended, members of any appropriate Federally recognized Indian Tribes or Native Hawaiian organizations may be invited to participate in monitoring.

This streamlined activity includes the following undertakings, as well as others that are comparable in scope, scale, and impact:

- a. In-kind regrading, graveling, repaving, or other maintenance treatments of all existing trails, walks and paths within existing disturbed alignments.
- b. Minor realignment of trails, walks, and paths where the ground is previously disturbed as determined by a qualified archeologist.
- c. Changing the material or color of existing surfaces using materials that are recommended in an approved treatment plan or in keeping with the cultural landscape.
- d. Construction of water bars following the recommendations of an approved treatment plan or in keeping with the cultural landscape.

3. Repair/Resurfacing/Removal of Existing, Roads, Trails, and Parking Areas:

The Streamlined Review Process may be used as follows:

- a. Existing roads, trails, parking areas, and associated features that have been determined not eligible for the National Register in consultation with the SHPO/THPO, may be repaired or resurfaced in-kind or in similar materials as long as the extent of the project, including staging areas, is contained within the existing surfaced areas. The repair or resurfacing cannot exceed the area of the existing road surface and cannot exceed the depth of existing disturbance.
- b. Existing roads, trails, parking areas, and associated features, that have been determined eligible for the National Register in consultation with the SHPO/THPO, may be repaired or resurfaced in-kind. The project, including staging areas, cannot exceed the area of the existing surface and cannot exceed the depth of existing disturbance.
- c. Existing surfaced areas may be expanded or new surfaces constructed if the extent of new surfacing can be demonstrated to occur on land that has been disturbed by prior excavation or construction and has been shown not to contain buried historic properties. New or expanded surface may not be

an addition to, or continuation of, existing surfaces that are listed in or eligible for the National Register and all project activities, including staging areas, must be located in non-historic areas to be eligible for streamlined review.

- d. Existing surfaced areas may be removed if the surfaced area is not a historic property, it is not located within a historic property and all project activities, including staging areas, will occur on land that has been disturbed by prior excavation or construction and has been shown not to contain buried historic properties.

4. Health and Safety Activities: The Streamlined Review Process may be used for health and safety activities that do not require the removal of original historic elements or alteration of the visual character of the property or area.

If the project activities include ground disturbance, archeological monitoring may be appropriate throughout the ground disturbing activities, in accordance with any recommendation of the CRM Team. When monitoring is recommended, members of any appropriate Federally recognized Indian Tribes or Native Hawaiian organizations may be invited to participate in monitoring.

This streamlined activity includes the following undertakings, as well as others that are comparable in scope, scale, and impact:

- a. Sampling/testing historic fabric to determine hazardous content, e.g. lead paint, asbestos, radon.
- b. Limited activities to mitigate health and safety problems that can be handled without removal of historic fabric, surface treatments, or features that are character-defining elements, or features within previously disturbed areas or areas inventoried and found not to contain historic properties.
- c. Testing of soil and removal of soil adjacent to buried tanks, provided the project does not exceed the area of existing disturbance and does not exceed the depth of existing disturbance, as determined by a qualified archeologist.
- d. Removal of oil or septic tanks within previously disturbed areas or areas inventoried and found not to contain historic properties.
- e. Removal of HAZMAT materials within previously disturbed areas or areas inventoried and found not to contain historic properties.
- f. Safety activities related to black powder regulations.
- g. Replacement of septic tanks and systems in previously disturbed areas, or areas inventoried and found not to contain historic properties.
- h. Common pesticide treatments.
- i. Removal of both natural and anthropogenic surface debris following volcanic activity, tropical storms, hurricanes, tornados, or similar major weather events, provided removal methods do not include ground disturbance or otherwise cause damage to historic properties.

5. Routine Grounds Maintenance: The Streamlined Review Process may be used for routine grounds maintenance activities. If an approved treatment plan exists for a given historic property (such as a historic structure report, cultural landscape report, or preservation maintenance plan), the proposed undertaking needs to be in accordance with that plan.

If the project activities include ground disturbance, archeological monitoring may be appropriate throughout the ground disturbing activities, in accordance with any recommendation of the CRM Team. When monitoring is recommended, members of any appropriate Federally recognized Indian Tribes or Native Hawaiian organizations may be invited to participate in monitoring.

This streamlined activity includes the following undertakings, as well as others that are comparable in scope, scale, and impact:

- a. Grass replanting in same locations with approved species.
- b. Woodland and woodlot management (including tree trimming, hazard tree removal, thinning, routine removal of exotic species that are not a significant component of a cultural landscape, stump grinding).
- c. Maintaining existing vegetation on earthworks, trimming trees adjacent to roadways and other historic roads and trails.
- d. Routine maintenance of gardens and vegetation within cultural landscapes with no changes in layout or design.
- e. Routine grass maintenance of cemeteries and tombstones with no tools that will damage the surfaces of stones (i.e. weed whips).
- f. Trimming of major specimen trees needed for tree health or to address critical health/safety conditions.
- g. Routine roadside and trail maintenance and cleanup with no ground disturbance.
- h. Planting of non-invasive plant species in non-historic areas.
- i. Removal of dead and downed vegetation using equipment and methods that do not introduce ground disturbance.
- j. Replacement of dead, downed, overgrown, or hazard trees, shrubs, or other vegetation with specimens of the same species.
- k. Replacement of invasive or exotic landscape plantings with similar non-invasive plants.
- l. Routine lawn mowing, leaf removal, watering, and fertilizing.
- m. Routine orchard maintenance and pruning.

6. Battlefield Preservation and Management: The Streamlined Review Process *may be used only if* the park has approved planning documents (General Management Plan, cultural landscape report, treatment plan) that specify preservation and management protocols for the subject battlefield.

If the project activities include ground disturbance, archeological monitoring may be appropriate throughout the ground disturbing activities, in accordance with any recommendation of the CRM Team. When monitoring is recommended, members of any appropriate Federally recognized Indian Tribes or Native Hawaiian organizations may be invited to participate in monitoring.

Consistent with that plan(s), activities include:

- a. Maintenance and preservation work limited to retaining, protecting, repairing, and replacing in-kind materials and features that contribute to the National Register significance of the battlefield landscape.
- b. Earthworks maintenance to prevent erosion and ensure preservation of existing profile, based on current and accepted practices identified in "Sustainable Military Earthworks Management" found on the NPS Cultural Landscape Currents website.
- c. Removal of hazard trees with no ground disturbance and with use of stump grinding provided the grinding is limited to the diameter of the stump and a depth of no greater than 6 inches.
- d. Repairing eroded or damaged sections of earthworks in-kind following archeological documentation and recordation in appropriate NPS inventory and management databases resulting in complete, accurate, and reliable records for those properties.
- e. Maintaining a healthy and sustainable vegetative cover.

7. Hazardous Fuel and Fire Management: The Streamlined Review Process *may be used only if* the park has an approved fire management plan or forest management plan.

If the project activities include ground disturbance, archeological monitoring may be appropriate throughout the ground disturbing activities, in accordance with any recommendation of the CRM Team. When monitoring is recommended, members of any appropriate Federally recognized Indian Tribes or Native Hawaiian organizations may be invited to participate in monitoring.

Following completion of activities under this section, post-burn inspection and monitoring should be conducted by a qualified archeologist to ensure no archeological sites were impacted or previously unknown sites revealed.

Consistent with the approved fire management plan or forest management plan, this streamlined activity includes the following undertakings, as well as others that are comparable in scope, scale, and impact:

- a. Removal of dead and downed vegetation, outside of historic districts, cultural landscapes, and archeological sites, using equipment and methods that do not introduce ground disturbance beyond documented natural or historic disturbance.

- b. Removal of dead and downed vegetation, as well as trees and brush located within historic properties, if the vegetation does not contribute to the significance of the historic property and equipment and methods are used that do not introduce ground disturbance beyond documented natural or historic disturbance.
 - c. Forest management practices, including thinning of tree stands, outside of historic districts, cultural landscapes, and archeological sites, using equipment and methods that do not introduce ground disturbance beyond documented natural or historic disturbance.
 - d. Restoration of existing fire line disturbances, such as hand lines, bulldozer lines, safety areas, helispots, and other operational areas.
 - e. Slope stabilization, to include reseeded with native seeds, replanting with native plants and/or grasses, placement of straw bales, wattles, and felling of dead trees when the root ball is left intact and in situ.
8. Installation of Environmental Monitoring Units: The Streamlined Review Process may be used for the placement of small-scale, temporary or permanent monitoring units, such as weather stations, termite bait stations, water quality, air quality, or wildlife stations, in previously disturbed areas, as determined by a qualified archeologist, or areas inventoried and found not to contain historic properties. Borings must be limited to pipes less than 2 inches in diameter and surface samples to less than 12 inches in size and minimal in number.
9. Maintenance or Replacement of Non-Historic Utility Lines, Transmission Lines, and Fences: If the project activities include ground disturbance, archeological monitoring may be appropriate throughout the ground disturbing activities, in accordance with any recommendation of the CRM Team. When monitoring is recommended, members of any appropriate Federally recognized Indian Tribes or Native Hawaiian organizations may be invited to participate in monitoring.

This streamlined activity includes the following undertakings, as well as others that are comparable in scope, scale, and impact:

- a. Maintenance or replacement of buried linear infrastructure in previously disturbed areas. The area of previous disturbance must be documented by a qualified archeologist and must coincide with the route of the infrastructure in its entirety.
- b. Replacement of non-historic materials, provided the undertaking will not impact adjacent or nearby historic properties and is not located in a historic property, or visible from an above-ground historic property.
- c. Maintenance or replacement of infrastructure, such as old water distribution systems, that has been determined to be not eligible for the National Register, in consultation with the SHPO/THPO.
- d. Maintenance of above-ground infrastructure.

- e. Replacement of above-ground infrastructure provided the undertaking is not located in a historic property or visible from an above-ground historic property.
 - f. Enhancement of a wireless telecommunications facility, including the updating of mechanical equipment, provided the activities do not involve excavation nor any increase to the size of the existing facility.
10. Erection of Signs, Wayside Exhibits, and Memorial Plaques: If an approved treatment plan exists for a given historic property (such as a historic structure report, cultural landscape report, or preservation maintenance plan), the proposed undertaking needs to be in accordance with that plan. If the project activities include ground disturbance, archeological monitoring may be appropriate throughout the ground disturbing activities, in accordance with any recommendation of the CRM Team. When monitoring is recommended, members of any appropriate Federally recognized Indian Tribes or Native Hawaiian organizations may be invited to participate in monitoring.

This streamlined activity includes the following undertakings, as well as others that are comparable in scope, scale, and impact:

- a. Replacement of existing signage in the same location with similar style, scale and materials.
 - b. New signs that meet NPS standards, e.g. at entrance to the park or related to the park's interpretive mission, provided the sign is not physically attached to a historic building, structure, or object (including trees) and the sign is to be located in previously disturbed areas or areas inventoried and found not to contain historic properties.
 - c. Replacement of interpretive messages on existing signs, wayside exhibits, or memorial plaques.
 - d. Small developments such as paved pads, benches, and other features for universal access to signs, wayside exhibits, and memorial plaques in previously disturbed areas or areas inventoried and found not to contain historic properties.
 - e. Temporary signage for closures, repairs, detours, safety, hazards, etc. in previously disturbed areas or areas inventoried and found not to contain historic properties.
 - f. Memorial plaques placed within established zones that allow for such placement.
11. Culvert Replacement: The Streamlined Review Process may be used when culvert replacement will occur within existing cut and fill profiles, and:
- a. The existing culvert and/or associated road, rail bed, or cultural landscape has been determined not eligible for the National Register, either individually or as a contributing element to a historic district or cultural landscape, in consultation with the SHPO/THPO; or

b. The existing culvert is less than 50 years old.

12. Reburial of Human Remains and Other Cultural Items Subject to the Native American Graves Protection and Repatriation Act (NAGPRA): The Streamlined Review Process may be used for the reburial of human remains and other cultural items subject to NAGPRA. The Streamlined Review Process may only be used when:

- a. The reburial is in previously disturbed areas and does not introduce ground disturbance beyond documented disturbance; or
- b. The reburial is in previously inventoried areas found to not contain historic properties.

Any reburial in NPS-administered areas must be in conformance with NPS policies on cemeteries and burials including cultural resource policies.

13. Meeting Accessibility Standards in Historic Structures and Cultural Landscapes: The Streamlined Review Process may only be used for the following undertakings intended to meet accessibility standards:

- a. Reconstruction or repair of existing wheel chair ramps and sloped walkways provided the undertaking does not exceed the width or depth of the area of previous disturbance.
- b. Upgrading restroom interiors in historic structures within existing room floor area to achieve accessibility, unless the historic features and/or fabric of the restroom contribute to the historic significance of the structure.

14. Mechanical, Electrical and Plumbing Systems: The Streamlined Review Process may be used as follows for activities related to mechanical, electrical, and plumbing systems. Such systems may include HVAC systems, fire detection and suppression systems, surveillance systems, and other required system upgrades to keep park lands and properties functional and protected.

- a. Park areas, landscapes, buildings, and structures that have been determined not eligible for the National Register in consultation with the SHPO/THPO, may undergo installation of new systems or repair/upgrading of existing systems in accordance with the Streamlined Review Process.
- b. Properties that have been determined eligible for the National Register in consultation with the SHPO/THPO may undergo limited upgrading of mechanical, electrical, and plumbing systems. However, the Streamlined Review Process may not be used for the installation of new systems or complete replacement of these systems. If proposed activities include the removal of original historic elements or alter the visual character or the property's character-defining materials, features, and spaces, then the Streamlined Review Process may not be used.

- c. If the project activities include ground disturbance, archeological monitoring may be appropriate throughout the ground disturbing activities, in accordance with any recommendation of the CRM Team. When monitoring is recommended, members of any appropriate Federally recognized Indian Tribes or Native Hawaiian organizations may be invited to participate in monitoring.
15. Acquisition of Lands for Park Purposes: The Streamlined Review Process may be used for the acquisition of land for park purposes, including additions to existing parks. The second criterion for use of the Streamlined Review Process (identification and evaluation of all types of historic properties within the project APE; see Section III.A.2) does not apply to this activity, provided the acquisition does not include any further treatment or alteration of properties, since access to land for inventory and evaluation prior to NPS acquisition may be limited. Any known or potential historic properties on the land acquired should be protected from demolition by neglect. Pursuant to 36 CFR 800.5(a)(2)(vi), demolition by neglect constitutes an adverse effect. If any undertakings are proposed in conjunction with the acquisition that have the potential to affect historic properties, the Streamlined Review Process may not be used.
 16. Leasing of Historic Properties: The Streamlined Review Process may be used provided all treatment of historic properties proposed in relation to the leasing action is consistent with undertakings eligible for Streamlined Review, set forth in Section III.C of this PA. The Streamlined Review Process may not be used where there is a change of use or where a series of individual projects cumulatively results in the complete rehabilitation or restoration of a historic property.

D. Adding to List of Undertakings Eligible for Streamlined Review

Any proposed additions or revisions to the list of undertakings eligible for streamlined review must be developed through a region-, state- or park-specific Programmatic Agreement and pursuant to 36 CFR 800.14(b). The Regional Director or Superintendent, as appropriate, will develop such agreements with SHPOs/THPOs, in consultation with Federally recognized Indian Tribes and the ACHP or others, as appropriate. If such an agreement is developed by the Superintendent, s/he will notify the Regional Director. Regional Directors will report the development of supplemental, region-, state-, or park-specific programmatic agreements to the Director on an annual basis. The NPS FPO will maintain records on supplemental agreements and provide annual notification of any such agreements to all signatories to this agreement.

IV. STANDARD REVIEW PROCESS

All undertakings that do not qualify for streamlined review as described in Section III above, will be reviewed in accordance with 36 CFR Part 800. Superintendents are responsible for compliance with these regulations. Compliance may also be accomplished through park- and/or project-specific programmatic agreements. Specific activities required will be undertaken by the

Park Section 106 Coordinator, in consultation with appropriate members of the CRM Team. Parks are encouraged to use Servicewide automated project planning and tracking systems, such as the NPS Planning, Environment and Public Comment (PEPC) system, to track and document Section 106 compliance activities and to make such automated systems accessible to compliance partners, including SHPOs/THPOs, Federally recognized Indian Tribes, Native Hawaiian organizations, and/or the ACHP. If a park executes a MOA or PA with consulting parties to resolve adverse effects, the Superintendent will provide an informational copy of the agreement to the Regional Section 106 Coordinator.

V. NATIONAL HISTORIC LANDMARKS

The NHPA provides heightened protection for designated National Historic Landmarks (NHLs) through Section 110(f) and the NHPA's implementing regulations (36 CFR 800.10). Specifically, the NHPA requires that Federal agencies shall, to the maximum extent possible, undertake planning and actions necessary to minimize harm to any NHL that may be directly and adversely affected by an undertaking.

Where the other criteria as listed in Section III.A are met, proposed undertakings that may affect a designated NHL may follow the Streamlined Review Process. Where preliminary planning activities indicate that a proposed undertaking has the potential to have an adverse effect on an NHL, prior to initiating a formal consultation process, the Superintendent will initiate an internal review process in accordance with NPS Management Policies to determine alternatives to avoid or minimize the adverse effects and to assess the possibility of impairment.

VI. INADVERTENT DISCOVERIES

In the event that historic properties are inadvertently encountered during an undertaking for which review has been previously conducted and completed under Section III or Section IV of this PA, or through other events such as erosion or animal activity, the Superintendent will notify the SHPO/THPO, Federally Recognized Indian Tribe(s), and or Native Hawaiian organization, as appropriate, within 48 hours, or as soon as reasonably possible. The Superintendent in consultation with the Section 106 Coordinator and the appropriate members of the CRM Team, will make reasonable efforts to avoid, minimize, or mitigate adverse effects on those historic properties in consultation with the SHPO/THPO, Federally recognized Indian Tribe (s), and/or Native Hawaiian organization (s), as appropriate. If human remains or other cultural material that may fall under the provisions of NAGPRA are present, the Superintendent will comply with NAGPRA and ARPA. The Superintendent will ensure that any human remains are left in situ, are not exposed, and remain protected while compliance with NAGPRA, ARPA, or other applicable federal, state, and/or local laws and procedures is undertaken.

VII. EMERGENCY ACTIONS

Emergencies are those actions deemed necessary by the Superintendent as an essential and immediate response to a disaster or emergency declared by the President, a tribal government, or the Governor of a State, or another immediate threat to life or property. Emergency actions are only those actions required to resolve the emergency at that time and they are limited to undertakings that will be started within thirty (30) days after the emergency has been declared. Such emergency actions will be consistent with the NPS Environmental Safeguards Plan for All-Hazards Emergencies and any other approved servicewide emergency response plans. The Superintendent will notify the SHPO/THPO within 24 hours of the declared emergency or as soon as conditions permit.

VIII. REVIEW AND MONITORING OF PA IMPLEMENTATION

The purpose of the PA review and monitoring process is to ensure NPS protection of historic properties in its stewardship. This is accomplished through the review of undertakings that were completed during the reporting period, review of programmed undertakings, review of implementation of the PA, and review of completion of training requirements.

A. Superintendents Biennial Review and Monitoring Meeting

In order to foster cooperative relations, each Superintendent will, at a minimum, invite consulting parties to a review meeting every two years (biennial), with the first meeting initiated within six months of the signing of this PA by all parties. If all parties agree that such a meeting is not necessary at that time, the meeting may be waived. However, Superintendents shall remain responsible for initiating biennial meetings in subsequent years. More frequent meetings may be appropriate based on specific park circumstances and therefore an alternative meeting schedule may be established, if mutually agreed upon by the parties.

1. Meetings may be conducted in any mutually agreeable location and/or format, including in- person, video conferencing or teleconferencing.
2. The primary invitees to each park's biennial review and monitoring meeting will include the applicable SHPO/THPO, Federally recognized Indian Tribes, and Native Hawaiian organizations with an interest in that park's properties. Superintendents may also consider inviting other interested parties, including Pacific Islanders, concessioners, lessees, friends groups, historic societies, or gateway communities, as appropriate.
3. Superintendents may instead choose to meet individually with some parties, particularly those that have strong interest in specific historic properties.
4. Attendance and meeting minutes will be recorded and distributed to all invited parties after the conclusion of the meeting.

5. Specific discussion items may include the following:
 - a. Any documentation pursuant to this PA.
 - b. Any inventories of historic properties developed in the previous two years, or opportunities for future inventory and research, as well as other reports and research results related to historic properties.
 - c. Programmed undertakings that are scheduled, or are likely to be scheduled, for the next two fiscal years.
 - d. Provisions of this PA as well as any project- or program-specific Memoranda of Agreement or Programmatic Agreements.
 - e. Training received by park staff during the reporting period and opportunities for cooperative training arrangements.
 - f. Names of and contact information for the Park Section 106 Coordinator and the CRM Team Members.

B. Superintendents Reporting to NPS Regional Directors

In order to inform park program review and potential ACHP evaluation of PA implementation, Superintendents will report biennially to Regional Directors on implementation of the PA. The Biennial Report shall include the streamlined review data prescribed in Section III B of this PA, training completed and basic data demonstrating compliance with the provisions of this PA as outlined in the guidance document for this agreement (Section I.A.2). ACHP, SHPOs, or THPOs may request hard copies of biennial reports.

C. Park Section 106 Program Review by NPS Regional Directors, SHPOs, THPOs, and the ACHP

1. The Regional Director may, at his/her discretion, initiate a review of a park's implementation of this PA. The ACHP, either at its own discretion, or upon request of a Federally recognized Indian Tribe, SHPO/THPO, or Native Hawaiian organization, may at any time raise with the appropriate Regional Director any programmatic or project matters where they wish the Regional Director to review a Park Superintendent's Section 106 decisions. The Regional Director will consult with the ACHP, and the Regional Director shall provide a written response to the ACHP, and where applicable, the SHPO or THPO, that documents the outcome of the consultation and the resolution. The Regional Director has the option to suspend a park's use of this PA, and subsequently reinstate it as appropriate.
2. Documentation of NPS Section 106 reviews not already provided to SHPOs, THPOs, and the ACHP will be available for review by the ACHP and the appropriate SHPO/THPO upon request. Individual SHPOs/THPOs who wish to review this documentation are responsible for specifying scheduling, frequency, and types of undertakings of concern to them.

D. NPS Regional Directors Reporting to the Director of the NPS

Regional Directors will report biennially to the Director on implementation of this PA within his/her region. Each Regional Biennial Report will be submitted within six (6) months following receipt of Park Biennial Reports by the Regional Director as required in Section VIII.B of this PA. A hardcopy of the biennial reports will be sent to the ACHP and upon request from a SHPO or THPO.

IX. SUBSEQUENT AGREEMENTS

A. Upon execution of this PA, Superintendents are encouraged to evaluate their park's programs and discuss with SHPOs/THPOs, Federally recognized Indian Tribes, Native Hawaiian organizations, and/or the ACHP ways to develop supplemental programmatic agreements for park undertakings that would otherwise require numerous individual requests for comments.

B. Development of programmatic agreements specific to a project, plan, or park may be negotiated between Superintendents and SHPOs/THPOs, Federally recognized Indian Tribes, Native Hawaiian organizations, the ACHP, and/or other consulting parties where appropriate, pursuant to 36 CFR 800.14(b), and may be independent of or supplement this PA. Superintendents will provide an informational copy of all agreements to the Regional Section 106 Coordinator.

C. Memoranda of agreement developed to resolve adverse effects for specific projects shall be negotiated between Superintendents and SHPOs/THPOs, Federally recognized Indian Tribes, Native Hawaiian organizations, and/or the ACHP, pursuant to 36 CFR 800.6(c), and shall be independent of this PA. Superintendents will provide an informational copy of all agreements to the Regional Section 106 Coordinator.

X. DISPUTE RESOLUTION

A. Should disputes arise, the Superintendent, SHPO/THPO, and/or the ACHP will consult with the objecting parties to resolve the objection. All work that is the subject of the dispute will stop until the dispute is resolved in accordance with the procedures in this section. If the dispute cannot be resolved, all documentation relevant to the dispute will be forwarded to the parties named above. If the SHPO/THPO objects to a Park Superintendent's decision, the information will be forwarded to the Regional Director. If the National Park Service objects to the SHPO/THPO's opinion, the information will be forwarded to the ACHP. If the Regional Director cannot resolve a SHPO/THPO objection, the Regional Director will forward to the ACHP relevant documentation not previously furnished to the ACHP and notify the Director of the dispute. Within thirty (30) days after receipt of all pertinent documentation, the ACHP will either:

1. Provide the Regional Director with a recommendation, with an information copy provided to the Director, which the Regional Director will take into account in reaching a final decision regarding the dispute; or
2. Notify the Regional Director that it will comment to the Director pursuant to the provisions of 36 CFR 800.7 and proceed to comment. Any ACHP comment provided in response to such a request will be taken into account by the NPS with reference to the subject of the dispute.

B. In the event the ACHP does not respond within thirty (30) days of receipt of all pertinent documentation, the Regional Director may proceed with his or her recommended resolution.

C. At the request of any individual, agency, or organization, the ACHP may provide the NPS with an advisory opinion regarding the substance of any finding, determination, or decision made in accordance with this PA or regarding the adequacy of the NPS' compliance with Section 106 and this PA.

XI. MONITORING AND TERMINATION

A. The NPS will convene a meeting of the signatories to this PA within two (2) years of execution of the PA and as needed thereafter, to review implementation of the terms of this PA and determine whether revisions or amendments are needed. Meetings may be conducted in any mutually agreeable location and/or format, including in-person, video conferencing, or teleconferencing. If revisions or amendments are needed, the parties will consult in accordance with 36 CFR 800.14.

B. This PA may be amended when such an amendment is agreed to in writing by all signatories. When major revisions are proposed to NPS policies that will affect the manner in which the NPS carries out its Section 106 responsibilities, the signatories shall consult to determine whether an amendment to this PA is needed. Any amendments will be effective on the date a copy signed by all of the signatories is filed with the ACHP.

C. Any party to this PA may terminate it by providing ninety (90) days notice to the other parties, provided that the parties will consult during the period prior to termination to seek agreement on amendments or other actions that would avoid termination. Termination by any Federally recognized Indian Tribe signatory will be limited to termination of this PA on the tribal lands of the subject tribe. In the event of termination, the NPS will comply with 36 CFR Part 800 with regard to individual undertakings otherwise covered by this PA.

XII. SEVERABILITY

A. If any section, subsection, paragraph, sentence, clause, or phrase in this PA is, for any reason, held to be unconstitutional or invalid or ineffective, such decision shall not affect the validity or effectiveness of the remaining portions of this PA.

B. If any section, subsection, paragraph, sentence, clause, or phrase in this PA is, for any reason, held to be unconstitutional or invalid or ineffective, the signatories shall consult to determine whether an amendment to this PA is needed.

XIII. ANTI-DEFICIENCY ACT STATEMENT

The stipulations of this Agreement are subject to the provisions of the Anti-Deficiency Act (31 U.S.C. 1341 (1998)). If compliance with the Anti-Deficiency Act alters or impairs NPS ability to implement the stipulations of this Agreement, NPS will consult in accordance with the dispute resolution, amendment or termination stipulations as specified in Sections X and XI of this PA.

ADVISORY COUNCIL ON HISTORIC PRESERVATION

BY: 
CHAIRMAN

DATE: 11/14/08

NATIONAL PARK SERVICE

BY: 
DIRECTOR

DATE: 11/14/08

NATIONAL CONFERENCE OF STATE HISTORIC PRESERVATION OFFICERS

BY: 
PRESIDENT

DATE: 11-14-2008

**PROGRAMMATIC AGREEMENT AMONG THE
NATIONAL PARK SERVICE
(U.S. DEPARTMENT OF THE INTERIOR),
THE ADVISORY COUNCIL
ON HISTORIC PRESERVATION,
AND
THE NATIONAL CONFERENCE OF STATE HISTORIC
PRESERVATION OFFICERS**

WHEREAS, the National Park Service (NPS) plans for, operates, manages, and administers the National Park System, and is responsible for preserving, maintaining, and interpreting the cultural resources of the System unimpaired for the enjoyment of future generations; and

WHEREAS, the operation, management, and administration of the System entail undertakings that may affect historic properties (as defined in 36 CFR Part 800), which are therefore subject to review under Sections 106, 110(f) and 111(a) of the National Historic Preservation Act as amended (NHPA; 16 U.S.C.470 et seq.) and the regulations of the Advisory Council on Historic Preservation (Council) (36 CFR Part 800); and

WHEREAS, the NPS has established management policies, guidelines, standards, and technical information designed for the treatment of cultural resources consistent with the spirit and intent of the NHPA; and

WHEREAS, the NPS has a qualified staff of cultural resources specialists in parks, System Support Offices, and archeological and preservation centers to carry out programs for cultural resources; and

WHEREAS, the NPS has consulted with the National Conference of State Historic Preservation Officers (Conference) and the Council regarding ways to ensure that NPS operation, management, and administration of the System provide for management of the System's cultural resources in accordance with the intent of NPS policies and with Sections 106, 110, and 111 of the NHPA; and

WHEREAS, the National Park Service, the Conference, and the Council executed a Nationwide Programmatic Agreement in 1990 that is superseded with the execution of this Programmatic Agreement; and

WHEREAS, the NPS has re-structured in order to place more resources and delegations of authorities with park managers;

NOW, THEREFORE, the NPS, Conference, and Council mutually agree that the NPS will carry out its Section 106 responsibilities with respect to management of the System in accordance with the following stipulations:

STIPULATIONS

I. POLICY

The NPS will continue to preserve and foster appreciation of the cultural resources in its custody through appropriate programs of protection, research, treatment, and interpretation. These efforts are and will remain in keeping with the NHPA, the National Environmental Policy Act (NEPA), the American Indian Religious Freedom Act, the Archaeological Resources Protection Act, the Archeological and Historic Preservation Act of 1974, the Native American Graves Protection and Repatriation Act, the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation, NPS Management Policies, and the Guidelines for Federal Agency Responsibilities Under Section 110 of the National Historic Preservation Act. It remains the NPS goal to implement these programs in consultation with other Federal agencies, State Historic Preservation Officers (SHPOs), Indian tribes, local governments, and the public.

Other guidelines, standards, and regulations relevant to this Agreement and its purposes include:

- NPS-28, Cultural Resource Management Guideline
- NPS-2, Planning Process Guideline
- NPS-6, Interpretation and Visitor Services Guideline
- NPS-12, NEPA Compliance Guideline
- NPS-38, Historic Property Leasing Guideline
- 36 CFR Part 18, Leases and Exchanges of Historic Property

II. IDENTIFYING CULTURAL RESOURCES

The NPS will coordinate with SHPOs activities for research related to resource management needs and identification, evaluation, and registration of park historic properties. NPS fulfills these responsibilities under Section 110 of the NHPA and 36 CFR Part 800.4, with regard to properties potentially significant at national, State, or local levels and mindful of State preservation planning and inventory programs.

III. DELEGATION OF AUTHORITY

A. Park superintendents are the responsible agency officials as defined in 36 CFR Part 800.1(c)(1)(i) for purposes of Section 106 compliance. They will assume this responsibility in accordance with Stipulation VIII below.

B. Superintendents will be held accountable for their performance in Section 106 compliance through NPS procedures for performance and program evaluation.

C. To meet this responsibility, each park will have the following:

1. a commitment to training park staff, including an invitation to the appropriate SHPO and the Council to participate in that training, so that park staff are generally familiar with Section 106 processes; and
2. at least one staff person qualified to act as the park's 106 coordinator, whose 106 responsibilities are specified in his or her position description and performance standards; and
3. a formally designated set of CRM advisers whose qualifications are consistent with OPM standards, the intent of 36 CFR Part 61, Appendix A, and the intent of Section 112(a)(1)(B) of the National Historic Preservation Act. In-park staff, System Support Offices, other parks, NPS cultural preservation and archeological centers, Denver Service Center, other government agencies, and specialists and scholars outside NPS are all possible sources for needed expertise. Specialists who are not federal employees must meet the standards in 36 CFR Part 61, Appendix A.

D. SHPOs and the Advisory Council may at any time raise with the appropriate Field Director any programmatic or project matters where they wish the Field Director to review a park superintendent's decision.

IV. PROJECT REVIEW-- NATIONWIDE PROGRAMMATIC EXCLUSIONS

A. Undertakings listed in IV.B will be reviewed for Section 106 purposes within the NPS, without further review by the Council or SHPOs, provided:

1. that these undertakings are based upon information adequate to identify and evaluate affected cultural resources [except for IV.B.(5)];
2. that the NPS finds that their effects on cultural resources in or eligible for the National Register will not be adverse based on criteria in 36 CFR Part 800.9; and
3. that decisions regarding these undertakings are made and carried out in conformity with applicable policies, guidelines, and standards as identified in Stipulation I, and are documented by NPS using the form for "Assessment of Actions Having an Effect on Cultural Resources" or another appropriate format. (See Stipulation VII below).

B. The following undertakings may be reviewed under the terms of IV.A:

1. preservation maintenance (housekeeping, routine and cyclic maintenance, and stabilization) as defined in NPS-28;
2. routine grounds maintenance, such as grass cutting and tree trimming;

3. installation of environmental monitoring units, such as those for water and air quality;
4. archeological monitoring and testing and investigations of historic structures and cultural landscapes involving ground disturbing activities or intrusion into historic fabric for research or inventory purposes (see also Stipulations II and IX.C);
5. acquisition of lands for park purposes, including additions to existing parks;
6. rehabilitation and widening of existing trails, walks, paths, and sidewalks within previously disturbed areas;
7. repaving of existing roads or existing parking areas within previously disturbed areas;
8. placement, maintenance, or replacement of utility lines, transmission lines, and fences within previously disturbed areas;
9. rehabilitation work limited to actions for retaining and preserving, protecting and maintaining, and repairing and replacing in kind materials and features, consistent with the Secretary of the Interior's Standards for Rehabilitation and the accompanying guidelines;
10. health and safety activities such as radon mitigation, and removal of asbestos, lead paint, and buried oil tanks;
11. installation of fire detection and suppression systems, and security alarm systems, and upgrading of HVAC systems;
12. erection of signs, wayside exhibits, and memorial plaques;
13. leasing of historic properties consistent with NPS-38, if proposed treatments are limited to those consistent with IV.B(1) and (9) and other activities excluded under IV.A and B.

C. Park superintendents and SHPOs may develop additions to Stipulation IV.B that identify other types of undertakings that they mutually agree will be excluded from further review. Proposals for such additions will be provided for review to the Executive Director of the Council, the NPS Director, and the Executive Director of the Conference. Upon their acceptance, the Council, the Conference, and NPS will maintain records on those additions as amendments to this Agreement, and provide for dissemination to other appropriate SHPOs and NPS offices.

D. In the event that a SHPO questions whether a project should be considered a programmatic exclusion under Stipulation IV.A and B, the superintendent and SHPO will make every effort to resolve the issue informally. If those efforts fail, the question will be

referred to the Field Director. If the matter is still not resolved, it will be referred to the Advisory Council in accordance with Stipulation XI.A.

V. PROJECT AND PROGRAM REVIEW--OTHER UNDERTAKINGS

A. All undertakings (as defined in 36 CFR Part 800), with the exception of those that meet provisions in Stipulation IV, will be reviewed in accord with 36 CFR Part 800.

B. Superintendents are encouraged to evaluate their park's programs and discuss with SHPOs ways to develop programmatic agreements for park undertakings that would otherwise require numerous individual requests for comments.

C. Memoranda of Agreement and Programmatic Agreements specific to a project, plan, or park may be negotiated between park superintendents and SHPOs, pursuant to 36 CFR Part 800.5(e) or 800.13, and may be independent of or supplement this Agreement.

VI. RELATIONSHIP OF PROJECT REVIEW TO PLANS

A. To the extent that the requirements of Section 106 and NEPA overlap for a given plan or project, superintendents are encouraged to coordinate these two processes, including the preparation of documentation and public involvement processes, in accordance with the guidance in 36 CFR Part 800 or otherwise provided by the Advisory Council.

B. In conformity with 36 CFR Part 800.3(c), park superintendents will ensure that the Section 106 process is initiated early in the planning stages of any given undertaking, when the widest feasible range of alternatives is open for consideration.

C. General Management Plans (GMPs) establish a conceptual framework for subsequent undertakings, and can thus play an important role in this process. GMPs may constitute the basis for consultation under 36 CFR Part 800.4-6 on individual undertakings, if sufficient information exists for resource identification, determination of National Register eligibility, and assessment of the effect of a proposed undertaking on the property in question. In the absence of such information, Section 106 consultation will normally be initiated or completed at subsequent stages in the planning process [such as Development Concept Plans (DCPs) or other subsequent implementing plans, as defined in NPS-2].

D. The park superintendent will notify the appropriate SHPO and the Council when a GMP or DCP is scheduled for preparation, amendment, revision, or updating. The superintendent will request comments regarding preservation concerns relevant to the plan, such as management objectives, identification and evaluation of historic properties, and the potential effects of individual undertakings and alternatives on historic properties.

E. During the planning process, the park superintendent, in consultation with the SHPO, will make a determination about which undertakings are programmatic exclusions under IV.A and B, and for

all other undertakings, whether there is sufficient information about resources and potential effects on those resources to seek review and comment under 36 CFR Part 800.4-6 during the plan review process. In cases where consultation is completed on specific undertakings, documentation of this consultation will be included in the GMP or DCP.

F. The approved plan will list all undertakings in the plan that are subject to further consultation, and the stage of planning at which consultation is most likely to be completed.

G. NPS GMPs will include a statement about the status of the park's cultural resources inventory and will indicate needs for additional cultural resource information, plans, or studies required before undertakings can be carried out.

VII. NPS PROCESS FOR DOCUMENTING ACTIONS HAVING AN EFFECT ON CULTURAL RESOURCES

All System-related undertakings that may have an effect on cultural resources will be appropriately documented and carried out in accordance with applicable policies, guidelines, and standards, as identified in Stipulation I. Formats for documentation include those outlined in published Advisory Council guidance (see "Preparing Agreement Documents," for example), the NPS "Assessment of Actions Having an Effect on Cultural Resources" form, programmatic agreements and, where appropriate, NEPA documentation that addresses cultural resources issues with information consistent with requirements of 36 CFR Part 800.

Cultural resources specialists will review all such actions prior to their implementation, and parks will maintain documentation of this review. Documentation of NPS reviews not already provided to SHPOs and the Council will be available for review by the Council and the appropriate SHPO upon request. Individual SHPOs who wish to review this documentation are responsible for specifying scheduling, frequency, and types of undertakings of concern to them.

VIII. PUTTING THIS AGREEMENT INTO EFFECT

The delegation of Section 106 responsibility to park superintendents will take place as of October 1, 1995. As a condition of this delegation, each park will identify

A. the specialists, on or off park staff, who will provide the park with advice and technical services for cultural resource issues related to Section 106 compliance. These specialists must be qualified in their areas of expertise and have a specified term of commitment to advise the park; and

B. a contact person to coordinate the park's Section 106 compliance processes.

Parks supplement on-staff expertise through advice and technical services from CRM specialists in SSOs, the Denver Service Center,

preservation centers, and other specified CRM specialists inside and outside the NPS, for advice and technical services involved in 106 documentation and consultation. The superintendent will be the responsible agency official for 106 purposes, who ensures the implementation of this agreement and 36 CFR Part 800 procedures, and who signs correspondence to SHPOs and the Advisory Council and documentation of programmatic exclusions.

IX. COOPERATION AND COMMUNICATIONS

A. Within six months of the date of the signature of this PA by all parties, and every two years thereafter, each park superintendent will invite the appropriate SHPO(s) to meet to discuss the compliance process and any actions necessary to improve communications between the park and SHPO.

B. SHPOs, the Conference, and the Council will be informed and consulted about revisions to NPS standards and guidelines listed in Stipulation I.

C. SHPOs, parks and NPS System Support Offices will share information about inventories of historic properties, preservation planning processes, and historic contexts developed by each, as well as other reports and research results related to cultural resources.

D. SHPOs will treat the appropriate park superintendent as an interested party for purposes of State environmental and preservation laws as they may relate to park undertakings and cultural resources.

E. The Council and SHPOs will treat the appropriate park superintendent as an interested party under 36 CFR Part 800 for purposes of undertakings by other Federal agencies and Indian tribes that may affect NPS areas, including undertakings in areas in and around parks.

F. As required in NPS-2, NPS-12, the Section 110 Guidelines, and 36 CFR Part 800, NPS will provide opportunities for Indian tribes and other interested persons to participate in the processes outlined in this Agreement.

X. RELATIONSHIP TO OTHER EXISTING AGREEMENTS

A. This Programmatic Agreement will become effective on October 1, 1995 and shall supersede the following existing Programmatic Agreements:

1. the Memorandum of Understanding executed in June 1976, regarding NPS planning documents;
2. the Programmatic Memorandum of Agreement executed on December 19, 1979, and its amendments dated September 1981 and December 1985 regarding planning documents, energy management, and preservation maintenance; and

3. the Programmatic Memorandum of Agreement executed on December 19, 1982, regarding leasing of historic properties.

4. the nationwide Programmatic Agreement of 1990.

B. Signature and implementation of this Agreement does not invalidate park-, Region- or project-specific Memoranda of Agreement or programmatic agreements negotiated for Section 106 purposes prior to the effective date of this Agreement.

XI. DISPUTE RESOLUTION

A. Should a SHPO or the Council object to a park superintendent's decisions or actions pursuant to any portion of this Agreement, the superintendent will consult the objecting party to resolve the objection. If the park superintendent or the objecting party determines that the objection cannot be resolved, the superintendent will forward all documentation relevant to the dispute to the Field Director for further consultation. If the objection still cannot be resolved, the Field Director will forward to the Council relevant documentation not previously furnished to the Council. Within 30 days after receipt of all pertinent documentation, the Council will either:

1. provide the Field Director with recommendations, which the Field Director will take into account in reaching a final decision regarding the dispute; or

2. notify the Field Director that it will comment pursuant to 36 CFR Part 800.6(b), and proceed to comment.

Any Council comment provided in response to such a request will be taken into account by the Field Director with reference to the subject of the dispute.

Any recommendation or comment provided by the Council will be understood to pertain only to the subject of the dispute. The NPS responsibility to carry out all actions under this Agreement that are not the subjects of the dispute will remain unchanged.

B. When requested by any person, the Council will consider NPS findings under this Agreement pursuant to the provisions of 36 CFR Part 800.6(e) on public requests to the Council.

XII. MONITORING, TERMINATION, AND EXPIRATION

A. The National Park Service will convene a meeting of the parties to this Agreement on or about November 15, 1996, to review implementation of the terms of this Agreement and determine whether revisions or amendments are needed. If revisions or amendments are needed, the parties will consult in accordance with 36 CFR Part 800.13.

B. Any party to this Agreement may terminate it by providing ninety (90) days notice to the other parties, provided that the parties will consult during the period prior to termination to seek agreement on amendments or other actions that would avoid termination. In the event of termination, the NPS will comply with

36 CFR Part 800 with regard to individual undertakings otherwise covered by this Agreement.

ADVISORY COUNCIL ON HISTORIC PRESERVATION

By: _____ DATE:
Chairman

NATIONAL PARK SERVICE

By: _____ DATE:
Director

**NATIONAL CONFERENCE OF STATE HISTORIC PRESERVATION
OFFICERS**

By: _____ DATE:
President

Supporting Records:

EFMO Training
Summary

Memorandum

To: Special Agent, National Park Service

From: Park Archeology Program Manager, Midwest Archeological Center

Subject: Summary of information provided to Effigy Mounds National Monument staff regarding compliance with Section 106 of the National Historic Preservation Act

The following information summarizes the kinds and scope of advice and information the Midwest Archeological Center (MWAC) provided to managers at Effigy Mounds National Monument (EFMO) regarding the process of documenting undertakings under Section 106 of the National Historic Preservation Act (as amended). The summary begins in 1995, since that date marks a shift in the responsibility for conducting the Section 106 process from the Regional Director to each park superintendent. Also included are a few examples of training and other information available to all park superintendents from the Midwest Regional Office (MWR) and Advisory Council on Historic Preservation (ACHP).

- Prior to 1995, when there was a significant reorganization of the National Park Service, all Section 106 compliance actions for the Midwest Region were undertaken by cultural resource staff in the Midwest Regional Office and approved/signed by the Regional Director. The Midwest Archeological Center participated in that system by reviewing assessments of effect, commonly known as XXX forms since no formal NPS number was assigned to the form. The process was undertaken in a consistent manner for all the Region's parks.
- As the reorganization of the National Park Service (NPS) took place in 1995, authority for complying with Section 106 was delegated to the parks, with each park superintendent responsible for complying with the law in their individual park. Several park superintendents had requested that shift in responsibility. From that time until the present, each park superintendent was responsible for ensuring that the Section 106 process was applied appropriately for all undertakings within his/her park. Through the remainder of the 1990s, EFMO Superintendent Gustin, followed by Superintendent Miller were responsible for assuring that the Section 106 was applied correctly to all EFMO undertakings. The same applied to Superintendent Ewing when she replaced Superintendent Miller. This responsibility has not changed since the 1995 reorganization and is still in place in 2012.
- In 1995, a programmatic agreement was signed between the NPS and a national organization of State Historic Preservation Officers that detailed how the Section 106 process would be undertaken, including the need for each park to identify a set of cultural resource subject matter advisors and a Section 106 coordinator to develop and review the projects considered under the law.
- Under the 1995 PA and the MWR's Section 106 process, each park identified a set of advisors, one for each of the cultural resource subject matter areas, and a staff member to serve as the park's Section 106 coordinator. Since there were, and still are, few archeologists within the MWR parks, MWAC staff archeologists have served as archeological advisors for many parks, including Effigy Mounds National Monument (EFMO). Jan Dial- Jones and Anne Vawser have been the archeological advisors for EFMO from 1995 to the present. In addition,

other senior MWAC staff members, including Mark Lynott, Tom Thiessen and Jeff Richner have advised EFMO on archeological and compliance issues since 1995. The park's MWAC-based Section 106 Advisor for Archeology not only commented upon each Assessment of Effect form developed by the park, but regularly advised EFMO on the process to follow, which was to include the formal participation of Federally recognized tribal partners and the Iowa SHPO. Tom Sinclair was Section 106 coordinator for EFMO for most of the time period after 1995 until 2010. Each advisor and coordinator was required to complete the MWR Section 106 workshop and the ACHP's more intensive training course.

- In 1995, the MWR developed a model for conducting the Section 106 process which has remained available since that date, with various revisions made as needed. Substantive revisions were made in 2002 and again in 2009, the latter via a MWR work group. Today, the model is available on line at the MWR website and is readily available to all park staff.
- In 1995, The Midwest Archeological center offered a training course in archeology, commonly known as the Paraprofessional Archeology Course, which covered a wide variety of topics, including the Section 106 process, which was a specific course module. In addition, instruction was provided on the appropriate role of paraprofessional archeologists that made it clear that park staff members trained in this course were not permitted to initiate any archeological activities without a direct assignment from an MWAC archeologist. Park staff members trained under this program assist MWAC archeologists in small projects within their parks as well as becoming advocates for archeological issues and adherence to the planning process under Section 106. Tom Sinclair of EFMO was one of the trainees who attended and completed the 40-hour, 1995 course.
- The role of paraprofessional archeologists had been previously documented through a 1987 memorandum, H 24(MWR-PC), April 24, 1987, from the MWR Director and via previous training courses offered by MWAC in 1981, 1984, 1987, and 1990. The memorandum on the role of paraprofessional archeologists has been reissued multiple times in similar form including 1989, 1996 and in other, more recent, years.
- Specific training was available to MWR park superintendents and all other park staff for understanding and conducting the Section 106 process through a Midwest Region Workshop and through courses frequently offered by the Advisory Council on Historic Preservation.
- The Midwest Region offered 106 training via a multi-day workshop on an irregular schedule beginning in 1996. In September of 1996, a three-day workshop was presented at Cuyahoga Valley National Recreation Area, now designated as Cuyahoga Valley National Park. Course instructors included numerous Midwest Region staff, staff from the Midwest Archeological Center, several park 106 coordinators, Ohio State Historic Preservation Office staff, and staff from the Eastern Office of the Advisory Council on Historic Preservation. All aspects of the Section 106 process were covered in this and subsequent Midwest Region workshops.
- In 1997, MWAC offered the Paraprofessional Archeology Course and Chris Harmon of EFMO was one of the trainees. As in previous courses the Section 106 process was fully covered as was the role of paraprofessional archeologists.
- The Advisory Council for Historic Preservation has offered a week-long training course on Section 106 of the NHPA for many years. Typically, the course is offered multiple times each year at various locations

around the United States. For example, in 2000, MWAC Archeologists Bruce Jones and Jeff Richner were enrolled in the course in Kansas City, Missouri. The course has been available for park superintendents or any other staff involved in the Section 106 process multiple times each year before and after the 2000 course.

- In 2001, EFMO Superintendent Ewing requested advice on NEPA and Section 106 via an email:

Subject: [none]
Author: EFMO Superintendent at np-efmo
Date: 3/16/01 4:08 PM
[Addressed to Mike Evans and Jeff Richner]

Mike/Jeff:

Whichever of you can respond!
Could you provide timelines required for the following processes:
NEPA/EA Public Review
Sec. 106

Any questions please call Friday Wiles on Monday. Thank you!

- Richner responded to Superintendent Ewing's request via email on March 19, 2001. The content of the email is provided below:

"There are four steps to Section 106 review, some of which have no specific time limits/deadlines:

- Step 1 - Initiate process
- Step 2 - Identify historic properties
- Step 3 - Assess adverse impacts
- Step 4 - Resolve adverse effects

The process is supposed to be initiated early "prior to the approval of the expenditure of any Federal funds on the undertaking." This does not include funds spent to identify properties within the project area. At this stage the agency establishes that there is an undertaking, and plans to involve the public and identify consulting parties.

As consultation with the SHPO begins, the SHPO (or Tribal Historic Preservation Office, where appropriate) must respond within 30 days when an agency submits a finding (there are several kinds of findings that can be submitted) for review. If the SHPO does not respond within this 30 day period, the agency may proceed with the process. In this case, the SHPO does not forfeit all further opportunity to participate in later stages of the process, but it does mean that the finding in question need not be revisited by the agency if requested to do so at a later date.

After an agency determines that it has an undertaking that requires further review and initiates the Section 106 process, it moves to step 2 by identifying historic properties (buildings, structures, sites, etc.). The SHPO is involved in this by assisting with the definition of the area of potential effects and the scope of needed identification efforts. If properties are identified, their eligibility to the Register must be evaluated. Two results are possible -- "no historic properties affected," and "historic

properties affected." If the agency finding is "no historic properties affected" this finding is submitted and the SHPO/THPO has 30 days to object to the finding. If there is no objection, the Section 106 process is complete. If the SHPO objects, then a finding of "historic properties affected" is triggered.

When the result of Step 2 is a finding of "historic properties effected," then the agency moves to Step 3 to determine if the affects would be adverse. If finding of "no adverse effect" provided to SHPO, SHPO has 30 days to respond. If no response, then there is considered to be agreement on the finding. If SHPO disagrees with no adverse effect, can consult further until resolution, or send to Advisory Council for review. The Council in this case has 15 days to comment -- no comment within that period equals agreement with agency.

If there is agreement on adverse effect, then the agency moves to Step 4, which often involves some kind of mitigation of impacts. For archeology, mitigation plans must be formal and must be agreed to by the SHPO and filed with the Advisory council. This part can be rather complex, and I will not try to summarize it in this brief note.

So basically, the answer to your question is that the SHPO has 30 days after the agency submits its findings to comment on the finding. However, there is an assumption that the SHPO has been involved from a much earlier stage in the process and would already know what was planned before receiving the finding from the agency.

I hope this is of some use.

Jeff"

- In 2002, MWAC again offered the Paraprofessional Course with similar content as in previous offerings. Chief Ranger Ken Block of EFMO was one of the trainees.
- In 2003, as a typical example of advice provided to EFMO Superintendent Ewing by their archeological advisor for Section 106, Anne Vawser recommended that EFMO develop a Section 106 form for the planned stabilization of an eroding stream bank at the Sny Magill unit. She also recommended that the park initiate tribal consultation for the project. This advice is documented in two emails archived at MWAC.
- Also in 2003, Archeologist Richner traveled to EFMO at the request of Superintendent Ewing to assist with the park's planning relative to trail work near the mound group commonly known as the "String of Pearls" or Fire Point. While at the park, Richner was asked by Park Superintendent Ewing to address the staff regarding the Section 106 process. He made two presentations, one to the permanent staff and one to the seasonal staff, many of whom were working on tree removal and trail-related projects. In those presentations, Richner summarized the Section 106 process as well as discussing how archeological resources are managed in the NPS and their unique and non-renewable character. In his Trip Report memorandum that summarizes his visit to EFMO, Richner stated: "7. A Section 106 form should be developed for any proposed trail improvement work as called for in Stipulation IV.A of the 1995 Servicewide Programmatic Agreement. Multiple Trail segments could be documented on a single form.
 - a. Some of the work would appear to fall within Nationwide Programmatic Exclusion B6 or possibly B9. Even if proposed trail work is a

Programmatic Exclusion, a Section 106 form should be developed for the project."

- In 2005, MWAC again offered the Paraprofessional Training Course and many EFMO staff participated. These were: Sharon Greener, Administrative Assistant, Rod Rovang, Resource Manager, Robert Huck, Maintenance Worker, Matt Erickson Laborer, and Rich Trudo, laborer. Content was similar to previous offerings, with emphasis placed on the Section 106 process and the role and duties of paraprofessional archeologists.
- In 2008, a new Programmatic Agreement was executed between the NPS and State Historic Preservation Officers. It updated and clarified aspects of the 1995 PA and made some changes to the process and to certain definitions relative to a park's findings of effect.
- In 2009, a memorandum was sent to all MWR superintendents regarding the 2008 PA. The process was not changed substantially from that under the 1995 PA, as park superintendents remained responsible for assuring that Section 106 was completed appropriately for their park and the role of the park Section 106 Coordinator's important role in the process was reaffirmed.

Jeffrey J. Richner
Park Archeology Program Manager
Midwest Archeological Center

Supporting
Records:

Trip Reports



United States Department of the Interior

NATIONAL PARK SERVICE
Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

IN REPLY REFER TO:

October 29, 1999

H2215 (MWAC)

Scott Stadler

Memorandum

To: Manager, Midwest Archeological Center
Through: Park Archeology Program Manager, Midwest Archeological Center
From: Archeologists, Midwest Archeological Center
Subject: South Unit Access Project, Effigy Mounds National Monument

From October 4 to October 9, 1999, archeological investigations were undertaken in proposed construction areas near the visitor center of Effigy Mounds National Monument (EFMO). The field crew consisted of Bob Nickel, Scott Stadler, Tom Thiessen, and volunteer Gary Akers.

The proposed construction project consists of an Americans with Disabilities Act (ADA) walkway leading from the visitor center to a small group of mounds south of Highway 76. This trail will also eventually provide visitor access across the Yellow River to the park's south unit. Planning is underway for the first phase of this project, which entails all segments of the walkway located north of the Yellow River. The second phase of the project--access south of the Yellow River--remains to be planned.

Approximately the first 90 feet of the walkway would be a concrete sidewalk originating from the existing concrete approach to the visitor center entrance. This would be placed on existing fill on the west and south sides of the visitor center. Most of the walkway route would consist of an elevated boardwalk. The boardwalk would begin south of the visitor center and would meander south where it would pass through a tunnel to be placed in the existing roadfill under Highway 76. The boardwalk would continue south where it would fork, with one section leading west to terminate at a small group of four mounds (mounds 58-61) and the other continuing south to join the old highway roadbed. The path would then follow the existing former roadbed southeast to the Yellow River. A bridge to be constructed over the Yellow River during the second phase of the project would provide improved visitor access to the South Unit.

Notes made in 1892 by T.H. Lewis state that 50-60 mounds once existed on the terrace north of the mouth of the Yellow River (Beaubien 1953a). By the mid-1920s, most of these mounds were reported to be no longer visible due to cultivation of much of the area (Beaubien 1953b). Eight of these mounds are known to exist in original or restored form, four south of the existing Highway 76, three north of the visitor center, and one approximately 100 yards east of the latter group. Site number 13AM82 was assigned to all of the mounds on this terrace. In the 1950s, Regional Archeologist Paul Beaubien investigated the area although it is difficult to judge the extent of investigations conducted in the area of immediate concern (Beaubien 1952).

Since the proposed construction prism crosses site 13AM82, it was determined that the path of the proposed boardwalk should be examined for archeological evidence of cultural material prior to construction. The area was examined using geophysical survey and shovel testing.

A fluxgate magnetometer was used to examine the portion of the walkway extending from near the visitor center to the highway right-of-way as well as to investigate the area of the mound group south of the highway (mounds 58-61). This method was successfully used to map non-visible mound remnants at the Turkey River Mound Group (Mathys 1997), and it was hoped that similar results might be obtained at site 13AM82. However, the magnetic survey south and east of the visitor center failed to produce evidence of mound remnants.

The main magnetometer survey area along the route of the paved trail and boardwalk consisted of two 30-meter square units. These units formed a grid (Grid A) which was 30m north/south by 60m east/west. It extended from a few meters east of the visitor center to the eastern limit of the mowed lawn where the boardwalk route turns south into the woods toward the highway. The Geoscan FM36 fluxgate magnetometer was carried from south to north along each traverse and the traverses were recorded from west to east at half-meter intervals. The magnetometer was set to record eight samples per meter along the traverses and was configured to record values with a sensitivity of a tenth of a nanotesla. The same instrument was used in an identical manner for all the grids surveyed during the week. The western 30m square contained three strong and expansive anomalies associated with non-archeological features. The origin of one is presently not known while a second one associates with the air conditioning units and radio tower and the third is a product of iron in the tanks and manhole covers for the Monument's septic system. A linear anomaly of moderately high values marks the route of the buried power line into the visitor center.

In the eastern 30m square the effects of the septic tanks are seen along the western edge and a pattern of weak low values traces portions of the leach field. A group of moderate amplitude anomalies that exhibit typical induced dipole signatures were recorded just to the east and south of the limits of the effect of the septic tanks. Several of these were probed with a 2.5cm diameter coring probe. No archeological source for the anomalies could be observed in the soil cores. An extensive layer of limestone "gravel" was encountered in each of the probe holes. One of the anomalies was examined by a shovel test and it was consistent with the results of the coring probes. It is probable that the magnetic anomalies and the crushed limestone are associated with the construction of the septic system and neither is of archeological origin.

Two 20 x 10 meter grids were placed along the boardwalk corridor in the wooded area north of the highway. The two units formed a grid 10 meters east/west by 40 meters north/south that extended from the north foot of the highway embankment to the south edge of the mowed lawn area around the visitor center. The data from the 10m by 40m grid (Grid B) did not show any patterns that could be interpreted as indicating mounds or mound remnants. Near the north end of the unit weak bands of high and low values extend across the 10m width of the unit. These anomalies are on the highest portion of the grid and are more consistent with a geologic source than a cultural one. No anomalies with amplitude and spatial extent expected from isolated archeological features, such as pits or hearths, were identified in the 10m by 40m grid (Grid B).

Several shovel tests in the wooded area south of the mowed lawn produced artifacts (see below). Consequently, one 10m by 10m grid was placed near an evident concentration of positive shovel tests in an attempt to gather additional information to supplement the shovel testing. Shovel Test 1 was located a few meters north of the northern extent of magnetometer Grid B. Because of the positive results of this and adjacent shovel tests and because of the anomalous banding of the magnetic data in the northern end of Grid B, an additional 10m by 10m magnetometer grid was established. This unit (Grid C) was adjacent to the southeast corner of Grid A and partially overlapped the north end of Grid B. Grid C contained three moderate amplitude anomalies that might have been caused by small (ca. 1m diameter) archeological features. One of these was located at the spot where Shovel Test 1 had already been excavated and which had not revealed any distinct cultural strata. Another of the anomalies was examined by a shovel test and it too produced no evidence of cultural strata or a localized feature.

A magnetometer grid (Grid D) was established over the eastern portion of linear Mound 59 and all of conical Mound 61. The two 20m square units created a grid that was 20m north/south and 40m east/west. It was placed so that the planned boardwalk route would enter the grid near the center of the north side. It was intended to provide information on the terminus of the boardwalk and any area that might be used by visitors. The magnetic survey indicated that Mound 59 was in good condition while Mound 61 extended to the very southern limit of the remaining portion of the terrace. A small amount of modern iron trash was present in Mound 59 and along its northern base. Mound 61 has been partially removed or eroded when a large "borrow" pit was excavated at the base of the terrace, probably for the construction of the old road and bridge approach. Mound 61 shows much greater damage (erosion and perhaps looting) and iron trash is concentrated in three locations within the limits of the mound. One strong anomaly near the end of the boardwalk was explored by a shovel test and can probably be attributed to a small amount of wire that had been folded and discarded on the surface. At least one other strong anomaly near the northeast end of Mound 59 probably results from iron debris. A number of more moderate dipole anomalies that exist north of Mound 59 and Mound 61 should be considered possible archeological features until they are fully investigated. One of these anomalies lies in the magnetically low region that may well have been created when Mound 61 was constructed. If the boardwalk/trail construction is not extended from that shown on the plan provided to the Midwest Archeological Center, then it would end in an area with the least magnetic variation and the least likelihood of encountering prehistoric features.

A magnetometer grid (Grid E) was established on a small raised area 65 meters west of Grid D. This unit covered an area 10m square. The surface feature suggested a possible conical mound that may have been partially destroyed (on the south) by the excavation of the old road. The magnetic data present a view that is more suggestive of a portion of a linear mound. There are some extreme data values adjacent to the mound, which is the result of modern iron trash. The area was examined and some cans and wire were removed as the magnetic survey was accomplished. However, the block contains a linear group of more moderate values, which extends from west to east along the southern limits of the grid. The magnetic data suggest that the feature is less extensive in the north/south direction. It should be presumed to be a cultural feature until the area can be swept with a metal detector and resurveyed with a magnetometer.

The second method of investigation was shovel testing. Beginning with the point at which the boardwalk route entered the tree line south and west of the visitor center,

shovel tests were placed at 5-meter intervals following the centerline of the path previously staked out by park personnel. Shovel tests were generally 30 cm in diameter and ranged from 30 to 81 cm deep. All soil was screened through 1/4-inch mesh hardware cloth and observed cultural material was retained. If a shovel test produced artifacts, additional shovel tests were placed 2.5 meters north, south, east, and west of the positive test.

On slopes of approximately 15-30 percent, the shovel test interval was increased to 10 meters. These areas were judged unlikely locations for cultural material due to the steep slope. If the slope approached 30 percent, no shovel tests were excavated. Steep slopes such as these were deemed as having little potential for undisturbed cultural material. The steep slopes were examined by visual inspection only.

A total of 73 shovel tests were excavated. Twenty shovel tests were found to contain prehistoric cultural material. Recovered material included ceramics, chert debitage, and two possible bone fragments.

The positive shovel tests were concentrated in three areas of the survey corridor. The first area is centered on Shovel Test 1, located at the tree line near the mowed lawn around the visitor center (Figure 1). After Shovel Test 1 produced artifacts, more tests were excavated as described previously. Eight of a total of nine shovel tests in this immediate vicinity contained small numbers of prehistoric ceramic sherds and debitage, but no evidence of features (hearths, pits, etc.) or cultural strata were encountered.

The second area of positive shovel tests is near the boardwalk terminus north of Mounds 58-61 (Figure 1). At a location approximately ten meters before the planned termination of the boardwalk, six shovel tests were found to contain small amounts of prehistoric debitage.

The third concentration of positive shovel tests is located approximately 40 meters south of the highway along the corridor of proposed construction (Figure 1). Three shovel tests revealed small amounts of prehistoric ceramics and two possible bone fragments. This location was on a slope near the bottom of a ridge-like extension of the terrace, and the artifacts may have been deposited there through erosion from above.

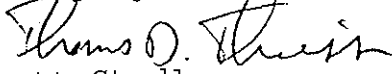
In addition two shovel tests placed 10 meters apart on a slope along the ravine to the north of Mounds 58-61 produced small quantities of artifacts. Four additional shovel tests were excavated around each of these positive tests, but no further cultural material was encountered.

Each grouping of positive shovel tests revealed small quantities of prehistoric material throughout the area, ranging from one to 4 artifacts per positive test. Given the small amount of material recovered from individual shovel tests and the absence of any evidence of features or cultural strata, it is difficult to assess the importance of these areas. However, the shovel testing produced evidence of a sparse scatter of prehistoric cultural material, principally lithic knapping debris and ceramics, along portions of the planned boardwalk route. In light of this, we offer four recommendations:

1. An archeologist should be present to monitor the excavation of the holes for the concrete pillars that will be used to support the boardwalk, as well as any additional ground-disturbing activities. These pillars will extend only two feet into the ground and will be generally spaced at 8-foot intervals, so relatively little ground disturbance will be entailed by the construction work.
2. Vehicular traffic in the area of Mounds 58-61 should be restricted to the existing old roadbed and the bottom of the former borrow area which is adjacent to Mound 61. Stockpiled material should be restricted to these areas as much as possible.
3. The truncated high ground which we suspected to be the remnant of a fifth and unrecorded mound south of the current highway--although not confirmed as such--should be avoided by vehicular traffic on the former highway roadbed.
4. Movement of equipment and materials along the boardwalk route should be accomplished in ways that result in as little ground disturbance as possible. For example, rubber tired vehicles should be preferred to tracked vehicles, and vehicular movement should not be attempted when the ground is muddy.

A separate report further detailing the investigation will be produced.

We appreciate the work of Tom Sinclair and his maintenance staff in clearing brush and small trees from the boardwalk route and the vicinity of Mounds 58-61. Their efforts made our work substantially easier. We are also grateful to Gary Akers for traveling so far and so freely donating his time for this project.


Scott Stadler

FAZ


Robert K. Nickel

Enclosure

cc:

Superintendent, Effigy Mounds National Monument
F.A. Calabrese, Midwest Regional Office
Craig Kenkel, Midwest Regional Office
Mike Fees, Midwest Regional Office
Pat Pauley, Midwest Regional Office
Douglas Scott, Midwest Archeological Center
Tom Thiessen, Midwest Archeological Center

References

Beaubien, Paul L.

1952 Preliminary Report of the Archeological Investigations at Effigy Mounds National Monument, 1950. Manuscript on file, Midwest Archeological Center, Lincoln, Nebraska.

1953a Some Hopwellian Mounds at the Effigy Mounds National Monument. *The Wisconsin Archeologist* 34(2):125-138.

1953b Cultural Variation Within Two Woodland Mound Groups of Northeastern Iowa. *American Antiquity* 19(1):56-66.

Mathys, Antone

1997 A Geophysical Survey at the Turkey River Mound group Site, Clayton County, Iowa, for the Iowa State Archaeology Office State Burials Program, Iowa City, Iowa. Institute for Minnesota Archaeology, Reports of Investigation 422. Minneapolis.

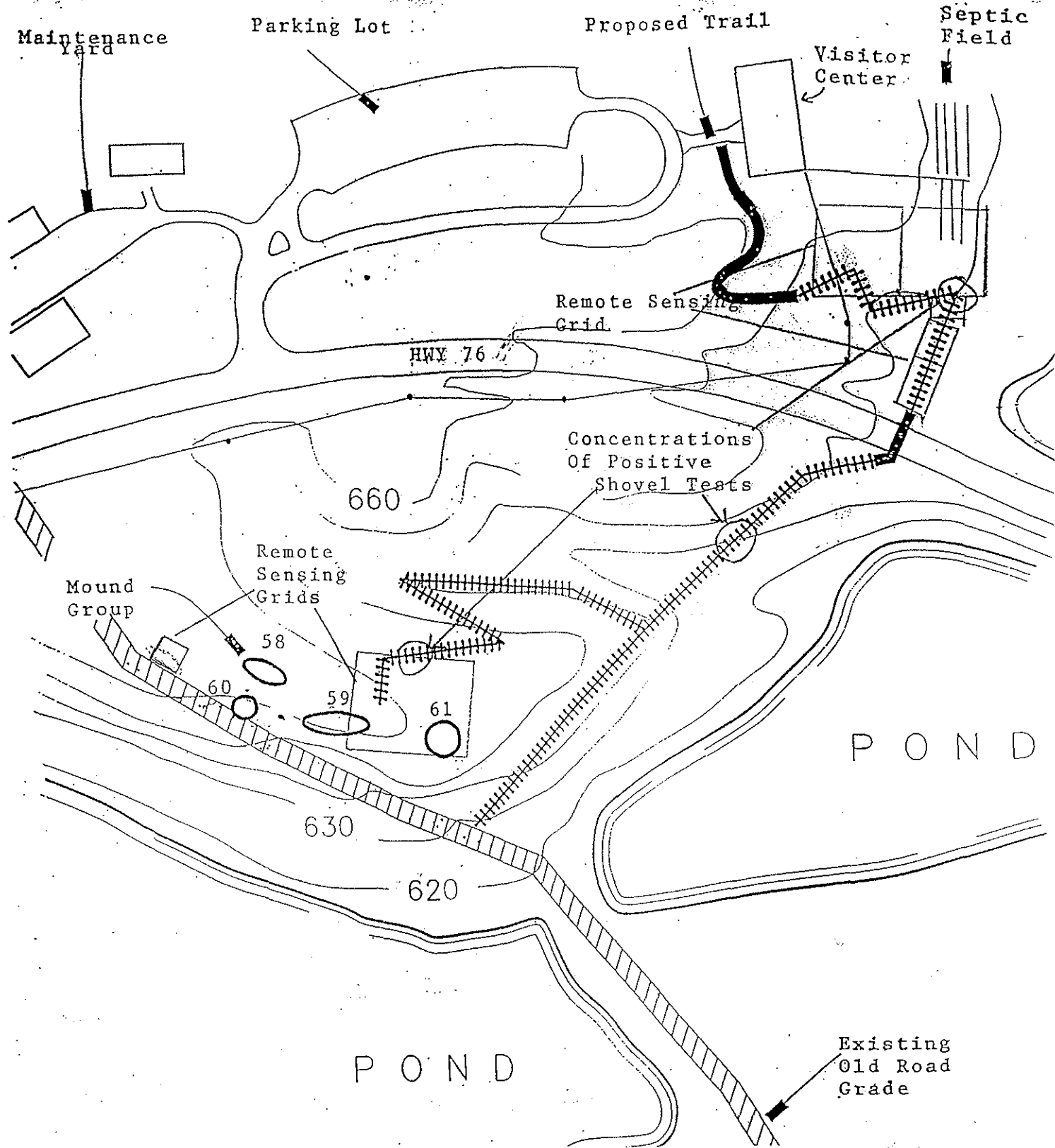


Figure 1. Approximate Locations of Magnetometer Grids and Concentrations of Positive Shovel Tests. (adapted from Proposed construction drawings)



United States Department of the Interior

NATIONAL PARK SERVICE

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

IN REPLY REFER TO:

October 29, 1999

H2215 (MWAC)

Memorandum

To: Manager, Midwest Archeological Center
Through: Park Archeology Program Manager, Midwest Archeological Center

From: Archeologists, Midwest Archeological Center

Subject: South Unit Access Project, Effigy Mounds National Monument

From October 4 to October 9, 1999, archeological investigations were undertaken in proposed construction areas near the visitor center of Effigy Mounds National Monument (EFMO). The field crew consisted of Bob Nickel, Scott Stadler, Tom Thiessen, and volunteer Gary Akers.

The proposed construction project consists of an Americans with Disabilities Act (ADA) walkway leading from the visitor center to a small group of mounds south of Highway 76. This trail will also eventually provide visitor access across the Yellow River to the park's south unit. Planning is underway for the first phase of this project, which entails all segments of the walkway located north of the Yellow River. The second phase of the project--access south of the Yellow River--remains to be planned.

Approximately the first 90 feet of the walkway would be a concrete sidewalk originating from the existing concrete approach to the visitor center entrance. This would be placed on existing fill on the west and south sides of the visitor center. Most of the walkway route would consist of an elevated boardwalk. The boardwalk would begin south of the visitor center and would meander south where it would pass through a tunnel to be placed in the existing roadfill under Highway 76. The boardwalk would continue south where it would fork, with one section leading west to terminate at a small group of four mounds (mounds 58-61) and the other continuing south to join the old highway roadbed. The path would then follow the existing former roadbed southeast to the Yellow River. A bridge to be constructed over the Yellow River during the second phase of the project would provide improved visitor access to the South Unit.

Notes made in 1892 by T.H. Lewis state that 50-60 mounds once existed on the terrace north of the mouth of the Yellow River (Beaubien 1953a). By the mid-1920s, most of these mounds were reported to be no longer visible due to cultivation of much of the area (Beaubien 1953b). Eight of these mounds are known to exist in original or restored form, four south of the existing Highway 76, three north of the visitor center, and one approximately 100 yards east of the latter group. Site number 13AM82 was assigned to all of the mounds on this terrace. In the 1950s, Regional Archeologist Paul Beaubien investigated the area although it is difficult to judge the extent of investigations conducted in the area of immediate concern (Beaubien 1952).

Since the proposed construction prism crosses site 13AM82, it was determined that the path of the proposed boardwalk should be examined for archeological evidence of cultural material prior to construction. The area was examined using geophysical survey and shovel testing.

A fluxgate magnetometer was used to examine the portion of the walkway extending from near the visitor center to the highway right-of-way as well as to investigate the area of the mound group south of the highway (mounds 58-61). This method was successfully used to map non-visible mound remnants at the Turkey River Mound Group (Mathys 1997), and it was hoped that similar results might be obtained at site 13AM82. However, the magnetic survey south and east of the visitor center failed to produce evidence of mound remnants.

The main magnetometer survey area along the route of the paved trail and boardwalk consisted of two 30-meter square units. These units formed a grid (Grid A) which was 30m north/south by 60m east/west. It extended from a few meters east of the visitor center to the eastern limit of the mowed lawn where the boardwalk route turns south into the woods toward the highway. The Geoscan FM36 fluxgate magnetometer was carried from south to north along each traverse and the traverses were recorded from west to east at half-meter intervals. The magnetometer was set to record eight samples per meter along the traverses and was configured to record values with a sensitivity of a tenth of a nanotesla. The same instrument was used in an identical manner for all the grids surveyed during the week. The western 30m square contained three strong and expansive anomalies associated with non-archeological features. The origin of one is presently not known while a second one associates with the air conditioning units and radio tower and the third is a product of iron in the tanks and manhole covers for the Monument's septic system. A linear anomaly of moderately high values marks the route of the buried power line into the visitor center.

In the eastern 30m square the effects of the septic tanks are seen along the western edge and a pattern of weak low values traces portions of the leach field. A group of moderate amplitude anomalies that exhibit typical induced dipole signatures were recorded just to the east and south of the limits of the effect of the septic tanks. Several of these were probed with a 2.5cm diameter coring probe. No archeological source for the anomalies could be observed in the soil cores. An extensive layer of limestone "gravel" was encountered in each of the probe holes. One of the anomalies was examined by a shovel test and it was consistent with the results of the coring probes. It is probable that the magnetic anomalies and the crushed limestone are associated with the construction of the septic system and neither is of archeological origin.

Two 20 x 10 meter grids were placed along the boardwalk corridor in the wooded area north of the highway. The two units formed a grid 10 meters east/west by 40 meters north/south that extended from the north foot of the highway embankment to the south edge of the mowed lawn area around the visitor center. The data from the 10m by 40m grid (Grid B) did not show any patterns that could be interpreted as indicating mounds or mound remnants. Near the north end of the unit weak bands of high and low values extend across the 10m width of the unit. These anomalies are on the highest portion of the grid and are more consistent with a geologic source than a cultural one. No anomalies with amplitude and spatial extent expected from isolated archeological features, such as pits or hearths, were identified in the 10m by 40m grid (Grid B).

Several shovel tests in the wooded area south of the mowed lawn produced artifacts (see below). Consequently, one 10m by 10m grid was placed near an evident concentration of positive shovel tests in an attempt to gather additional information to supplement the shovel testing. Shovel Test 1 was located a few meters north of the northern extent of magnetometer Grid B. Because of the positive results of this and adjacent shovel tests and because of the anomalous banding of the magnetic data in the northern end of Grid B, an additional 10m by 10m magnetometer grid was established. This unit (Grid C) was adjacent to the southeast corner of Grid A and partially overlapped the north end of Grid B. Grid C contained three moderate amplitude anomalies that might have been caused by small (ca. 1m diameter) archeological features. One of these was located at the spot where Shovel Test 1 had already been excavated and which had not revealed any distinct cultural strata. Another of the anomalies was examined by a shovel test and it too produced no evidence of cultural strata or a localized feature.

A magnetometer grid (Grid D) was established over the eastern portion of linear Mound 59 and all of conical Mound 61. The two 20m square units created a grid that was 20m north/south and 40m east/west. It was placed so that the planned boardwalk route would enter the grid near the center of the north side. It was intended to provide information on the terminus of the boardwalk and any area that might be used by visitors. The magnetic survey indicated that Mound 59 was in good condition while Mound 61 extended to the very southern limit of the remaining portion of the terrace. A small amount of modern iron trash was present in Mound 59 and along its northern base. Mound 61 has been partially removed or eroded when a large "borrow" pit was excavated at the base of the terrace, probably for the construction of the old road and bridge approach. Mound 61 shows much greater damage (erosion and perhaps looting) and iron trash is concentrated in three locations within the limits of the mound. One strong anomaly near the end of the boardwalk was explored by a shovel test and can probably be attributed to a small amount of wire that had been folded and discarded on the surface. At least one other strong anomaly near the northeast end of Mound 59 probably results from iron debris. A number of more moderate dipole anomalies that exist north of Mound 59 and Mound 61 should be considered possible archeological features until they are fully investigated. One of these anomalies lies in the magnetically low region that may well have been created when Mound 61 was constructed. If the boardwalk/trail construction is not extended from that shown on the plan provided to the Midwest Archeological Center, then it would end in an area with the least magnetic variation and the least likelihood of encountering prehistoric features.

A magnetometer grid (Grid E) was established on a small raised area 65 meters west of Grid D. This unit covered an area 10m square. The surface feature suggested a possible conical mound that may have been partially destroyed (on the south) by the excavation of the old road. The magnetic data present a view that is more suggestive of a portion of a linear mound. There are some extreme data values adjacent to the mound, which is the result of modern iron trash. The area was examined and some cans and wire were removed as the magnetic survey was accomplished. However, the block contains a linear group of more moderate values, which extends from west to east along the southern limits of the grid. The magnetic data suggest that the feature is less extensive in the north/south direction. It should be presumed to be a cultural feature until the area can be swept with a metal detector and resurveyed with a magnetometer.

The second method of investigation was shovel testing. Beginning with the point at which the boardwalk route entered the tree line south and west of the visitor center,

shovel tests were placed at 5-meter intervals following the centerline of the path previously staked out by park personnel. Shovel tests were generally 30 cm in diameter and ranged from 30 to 81 cm deep. All soil was screened through 1/4-inch mesh hardware cloth and observed cultural material was retained. If a shovel test produced artifacts, additional shovel tests were placed 2.5 meters north, south, east, and west of the positive test.

On slopes of approximately 15-30 percent, the shovel test interval was increased to 10 meters. These areas were judged unlikely locations for cultural material due to the steep slope. If the slope approached 30 percent, no shovel tests were excavated. Steep slopes such as these were deemed as having little potential for undisturbed cultural material. The steep slopes were examined by visual inspection only.

A total of 73 shovel tests were excavated. Twenty shovel tests were found to contain prehistoric cultural material. Recovered material included ceramics, chert debitage, and two possible bone fragments.

The positive shovel tests were concentrated in three areas of the survey corridor. The first area is centered on Shovel Test 1, located at the tree line near the mowed lawn around the visitor center (Figure 1). After Shovel Test 1 produced artifacts, more tests were excavated as described previously. Eight of a total of nine shovel tests in this immediate vicinity contained small numbers of prehistoric ceramic sherds and debitage, but no evidence of features (hearths, pits, etc.) or cultural strata were encountered.

The second area of positive shovel tests is near the boardwalk terminus north of Mounds 58-61 (Figure 1). At a location approximately ten meters before the planned termination of the boardwalk, six shovel tests were found to contain small amounts of prehistoric debitage.

The third concentration of positive shovel tests is located approximately 40 meters south of the highway along the corridor of proposed construction (Figure 1). Three shovel tests revealed small amounts of prehistoric ceramics and two possible bone fragments. This location was on a slope near the bottom of a ridge-like extension of the terrace, and the artifacts may have been deposited there through erosion from above.


In addition two shovel tests placed 10 meters apart on a slope along the ravine to the north of Mounds 58-61 produced small quantities of artifacts. Four additional shovel tests were excavated around each of these positive tests, but no further cultural material was encountered.

Each grouping of positive shovel tests revealed small quantities of prehistoric material throughout the area, ranging from one to 4 artifacts per positive test. Given the small amount of material recovered from individual shovel tests and the absence of any evidence of features or cultural strata, it is difficult to assess the importance of these areas. However, the shovel testing produced evidence of a sparse scatter of prehistoric cultural material, principally lithic knapping debris and ceramics, along portions of the planned boardwalk route. In light of this, we offer four recommendations:

1. An archeologist should be present to monitor the excavation of the holes for the concrete pillars that will be used to support the boardwalk, as well as any additional ground-disturbing activities. These pillars will extend only two feet into the ground and will be generally spaced at 8-foot intervals, so relatively little ground disturbance will be entailed by the construction work.
2. Vehicular traffic in the area of Mounds 58-61 should be restricted to the existing old roadbed and the bottom of the former borrow area which is adjacent to Mound 61. Stockpiled material should be restricted to these areas as much as possible.
3. The truncated high ground which we suspected to be the remnant of a fifth and unrecorded mound south of the current highway--although not confirmed as such--should be avoided by vehicular traffic on the former highway roadbed.
4. Movement of equipment and materials along the boardwalk route should be accomplished in ways that result in as little ground disturbance as possible. For example, rubber tired vehicles should be preferred to tracked vehicles, and vehicular movement should not be attempted when the ground is muddy.

A separate report further detailing the investigation will be produced.

We appreciate the work of Tom Sinclair and his maintenance staff in clearing brush and small trees from the boardwalk route and the vicinity of Mounds 58-61. Their efforts made our work substantially easier. We are also grateful to Gary Akers for traveling so far and so freely donating his time for this project.


Thomas D. Sinclair

For Scott Stadler


Robert K. Nickel

Enclosure

cc:

Superintendent, Effigy Mounds National Monument
F.A. Calabrese, Midwest Regional Office
Craig Kenkel, Midwest Regional Office
Mike Fees, Midwest Regional Office
Pat Pauley, Midwest Regional Office
Douglas Scott, Midwest Archeological Center
Tom Thiessen, Midwest Archeological Center

References

Beaubien, Paul L.

1952 Preliminary Report of the Archeological Investigations at Effigy Mounds National Monument, 1950. Manuscript on file, Midwest Archeological Center, Lincoln, Nebraska.

1953a Some Hopwellian Mounds at the Effigy Mounds National Monument. *The Wisconsin Archeologist* 34(2):125-138.

1953b Cultural Variation Within Two Woodland Mound Groups of Northeastern Iowa. *American Antiquity* 19(1):56-66.

Mathys, Antone

1997 A Geophysical Survey at the Turkey River Mound group Site, Clayton County, Iowa, for the Iowa State Archaeology Office State Burials Program, Iowa City, Iowa. Institute for Minnesota Archaeology, Reports of Investigation 422. Minneapolis.

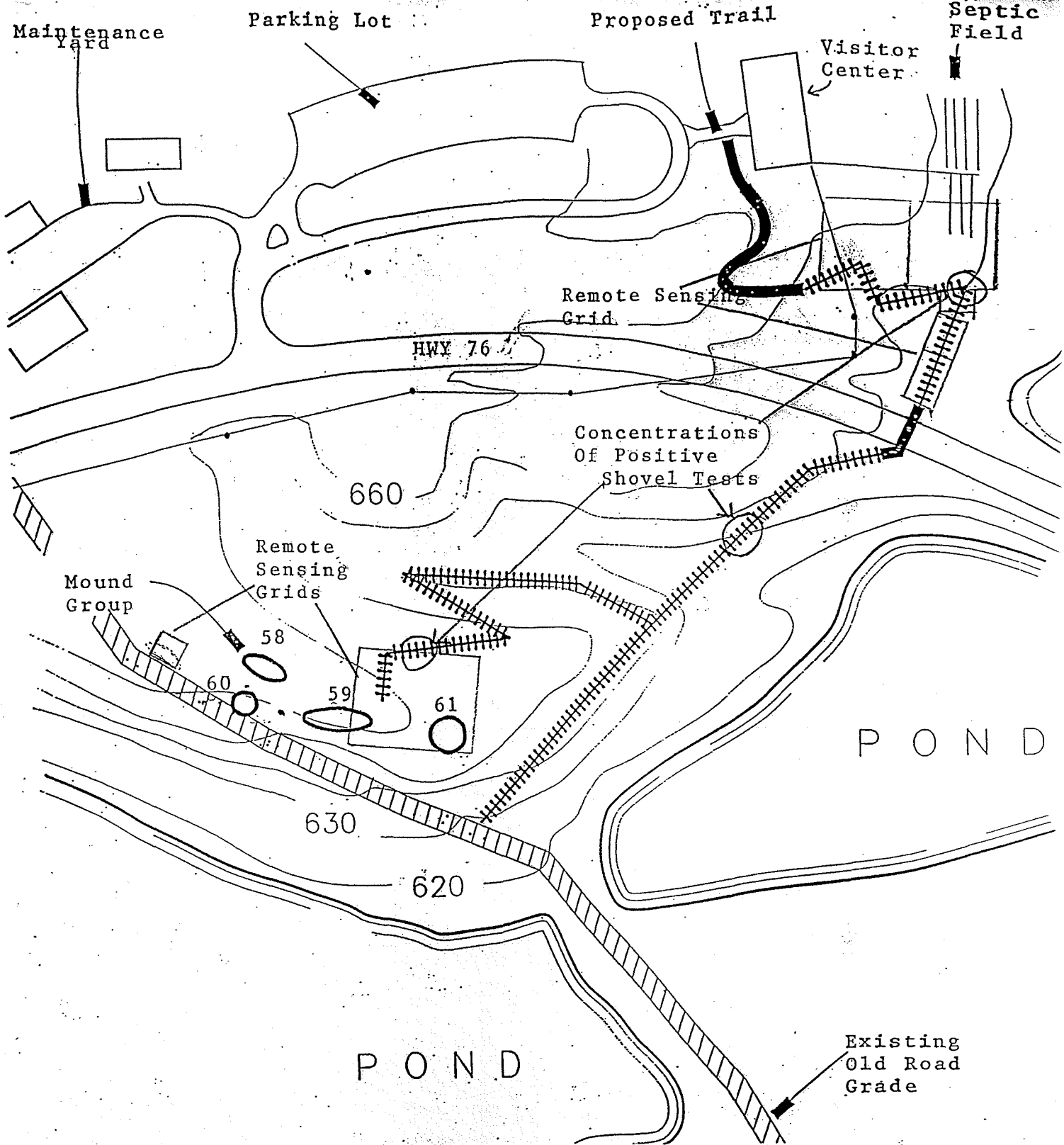


Figure 1. Approximate Locations of Magnetometer Grids and Concentrations of Positive Shovel Tests.
 (adapted from Proposed construction drawings)



United States Department of the Interior

NATIONAL PARK SERVICE

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

IN REPLY REFER TO:

October 29, 1999

H2215 (MWAC)

Memorandum

To: Manager, Midwest Archeological Center
Through: Park Archeology Program Manager, Midwest Archeological Center

From: Archeologists, Midwest Archeological Center

Subject: South Unit Access Project, Effigy Mounds National Monument

From October 4 to October 9, 1999, archeological investigations were undertaken in proposed construction areas near the visitor center of Effigy Mounds National Monument (EFMO). The field crew consisted of Bob Nickel, Scott Stadler, Tom Thiessen, and volunteer Gary Akers.

The proposed construction project consists of an Americans with Disabilities Act (ADA) walkway leading from the visitor center to a small group of mounds south of Highway 76. This trail will also eventually provide visitor access across the Yellow River to the park's south unit. Planning is underway for the first phase of this project, which entails all segments of the walkway located north of the Yellow River. The second phase of the project--access south of the Yellow River--remains to be planned.

Approximately the first 90 feet of the walkway would be a concrete sidewalk originating from the existing concrete approach to the visitor center entrance. This would be placed on existing fill on the west and south sides of the visitor center. Most of the walkway route would consist of an elevated boardwalk. The boardwalk would begin south of the visitor center and would meander south where it would pass through a tunnel to be placed in the existing roadfill under Highway 76. The boardwalk would continue south where it would fork, with one section leading west to terminate at a small group of four mounds (mounds 58-61) and the other continuing south to join the old highway roadbed. The path would then follow the existing former roadbed southeast to the Yellow River. A bridge to be constructed over the Yellow River during the second phase of the project would provide improved visitor access to the South Unit.

Notes made in 1892 by T.H. Lewis state that 50-60 mounds once existed on the terrace north of the mouth of the Yellow River (Beaubien 1953a). By the mid-1920s, most of these mounds were reported to be no longer visible due to cultivation of much of the area (Beaubien 1953b). Eight of these mounds are known to exist in original or restored form, four south of the existing Highway 76, three north of the visitor center, and one approximately 100 yards east of the latter group. Site number 13AM82 was assigned to all of the mounds on this terrace. In the 1950s, Regional Archeologist Paul Beaubien investigated the area although it is difficult to judge the extent of investigations conducted in the area of immediate concern (Beaubien 1952).

Since the proposed construction prism crosses site 13AM82, it was determined that the path of the proposed boardwalk should be examined for archeological evidence of cultural material prior to construction. The area was examined using geophysical survey and shovel testing.

A fluxgate magnetometer was used to examine the portion of the walkway extending from near the visitor center to the highway right-of-way as well as to investigate the area of the mound group south of the highway (mounds 58-61). This method was successfully used to map non-visible mound remnants at the Turkey River Mound Group (Mathys 1997), and it was hoped that similar results might be obtained at site 13AM82. However, the magnetic survey south and east of the visitor center failed to produce evidence of mound remnants.

The main magnetometer survey area along the route of the paved trail and boardwalk consisted of two 30-meter square units. These units formed a grid (Grid A) which was 30m north/south by 60m east/west. It extended from a few meters east of the visitor center to the eastern limit of the mowed lawn where the boardwalk route turns south into the woods toward the highway. The Geoscan FM36 fluxgate magnetometer was carried from south to north along each traverse and the traverses were recorded from west to east at half-meter intervals. The magnetometer was set to record eight samples per meter along the traverses and was configured to record values with a sensitivity of a tenth of a nanotesla. The same instrument was used in an identical manner for all the grids surveyed during the week. The western 30m square contained three strong and expansive anomalies associated with non-archeological features. The origin of one is presently not known while a second one associates with the air conditioning units and radio tower and the third is a product of iron in the tanks and manhole covers for the Monument's septic system. A linear anomaly of moderately high values marks the route of the buried power line into the visitor center.

In the eastern 30m square the effects of the septic tanks are seen along the western edge and a pattern of weak low values traces portions of the leach field. A group of moderate amplitude anomalies that exhibit typical induced dipole signatures were recorded just to the east and south of the limits of the effect of the septic tanks. Several of these were probed with a 2.5cm diameter coring probe. No archeological source for the anomalies could be observed in the soil cores. An extensive layer of limestone "gravel" was encountered in each of the probe holes. One of the anomalies was examined by a shovel test and it was consistent with the results of the coring probes. It is probable that the magnetic anomalies and the crushed limestone are associated with the construction of the septic system and neither is of archeological origin.

Two 20 x 10 meter grids were placed along the boardwalk corridor in the wooded area north of the highway. The two units formed a grid 10 meters east/west by 40 meters north/south that extended from the north foot of the highway embankment to the south edge of the mowed lawn area around the visitor center. The data from the 10m by 40m grid (Grid B) did not show any patterns that could be interpreted as indicating mounds or mound remnants. Near the north end of the unit weak bands of high and low values extend across the 10m width of the unit. These anomalies are on the highest portion of the grid and are more consistent with a geologic source than a cultural one. No anomalies with amplitude and spatial extent expected from isolated archeological features, such as pits or hearths, were identified in the 10m by 40m grid (Grid B).

Several shovel tests in the wooded area south of the mowed lawn produced artifacts (see below). Consequently, one 10m by 10m grid was placed near an evident concentration of positive shovel tests in an attempt to gather additional information to supplement the shovel testing. Shovel Test 1 was located a few meters north of the northern extent of magnetometer Grid B. Because of the positive results of this and adjacent shovel tests and because of the anomalous banding of the magnetic data in the northern end of Grid B, an additional 10m by 10m magnetometer grid was established. This unit (Grid C) was adjacent to the southeast corner of Grid A and partially overlapped the north end of Grid B. Grid C contained three moderate amplitude anomalies that might have been caused by small (ca. 1m diameter) archeological features. One of these was located at the spot where Shovel Test 1 had already been excavated and which had not revealed any distinct cultural strata. Another of the anomalies was examined by a shovel test and it too produced no evidence of cultural strata or a localized feature.

A magnetometer grid (Grid D) was established over the eastern portion of linear Mound 59 and all of conical Mound 61. The two 20m square units created a grid that was 20m north/south and 40m east/west. It was placed so that the planned boardwalk route would enter the grid near the center of the north side. It was intended to provide information on the terminus of the boardwalk and any area that might be used by visitors. The magnetic survey indicated that Mound 59 was in good condition while Mound 61 extended to the very southern limit of the remaining portion of the terrace. A small amount of modern iron trash was present in Mound 59 and along its northern base. Mound 61 has been partially removed or eroded when a large "borrow" pit was excavated at the base of the terrace, probably for the construction of the old road and bridge approach. Mound 61 shows much greater damage (erosion and perhaps looting) and iron trash is concentrated in three locations within the limits of the mound. One strong anomaly near the end of the boardwalk was explored by a shovel test and can probably be attributed to a small amount of wire that had been folded and discarded on the surface. At least one other strong anomaly near the northeast end of Mound 59 probably results from iron debris. A number of more moderate dipole anomalies that exist north of Mound 59 and Mound 61 should be considered possible archeological features until they are fully investigated. One of these anomalies lies in the magnetically low region that may well have been created when Mound 61 was constructed. If the boardwalk/trail construction is not extended from that shown on the plan provided to the Midwest Archeological Center, then it would end in an area with the least magnetic variation and the least likelihood of encountering prehistoric features.

A magnetometer grid (Grid E) was established on a small raised area 65 meters west of Grid D. This unit covered an area 10m square. The surface feature suggested a possible conical mound that may have been partially destroyed (on the south) by the excavation of the old road. The magnetic data present a view that is more suggestive of a portion of a linear mound. There are some extreme data values adjacent to the mound, which is the result of modern iron trash. The area was examined and some cans and wire were removed as the magnetic survey was accomplished. However, the block contains a linear group of more moderate values, which extends from west to east along the southern limits of the grid. The magnetic data suggest that the feature is less extensive in the north/south direction. It should be presumed to be a cultural feature until the area can be swept with a metal detector and resurveyed with a magnetometer.

The second method of investigation was shovel testing. Beginning with the point at which the boardwalk route entered the tree line south and west of the visitor center,

shovel tests were placed at 5-meter intervals following the centerline of the path previously staked out by park personnel. Shovel tests were generally 30 cm in diameter and ranged from 30 to 81 cm deep. All soil was screened through 1/4-inch mesh hardware cloth and observed cultural material was retained. If a shovel test produced artifacts, additional shovel tests were placed 2.5 meters north, south, east, and west of the positive test.

On slopes of approximately 15-30 percent, the shovel test interval was increased to 10 meters. These areas were judged unlikely locations for cultural material due to the steep slope. If the slope approached 30 percent, no shovel tests were excavated. Steep slopes such as these were deemed as having little potential for undisturbed cultural material. The steep slopes were examined by visual inspection only.

A total of 73 shovel tests were excavated. Twenty shovel tests were found to contain prehistoric cultural material. Recovered material included ceramics, chert debitage, and two possible bone fragments.

The positive shovel tests were concentrated in three areas of the survey corridor. The first area is centered on Shovel Test 1, located at the tree line near the mowed lawn around the visitor center (Figure 1). After Shovel Test 1 produced artifacts, more tests were excavated as described previously. Eight of a total of nine shovel tests in this immediate vicinity contained small numbers of prehistoric ceramic sherds and debitage, but no evidence of features (hearths, pits, etc.) or cultural strata were encountered.

The second area of positive shovel tests is near the boardwalk terminus north of Mounds 58-61 (Figure 1). At a location approximately ten meters before the planned termination of the boardwalk, six shovel tests were found to contain small amounts of prehistoric debitage.

The third concentration of positive shovel tests is located approximately 40 meters south of the highway along the corridor of proposed construction (Figure 1). Three shovel tests revealed small amounts of prehistoric ceramics and two possible bone fragments. This location was on a slope near the bottom of a ridge-like extension of the terrace, and the artifacts may have been deposited there through erosion from above.


In addition two shovel tests placed 10 meters apart on a slope along the ravine to the north of Mounds 58-61 produced small quantities of artifacts. Four additional shovel tests were excavated around each of these positive tests, but no further cultural material was encountered.

Each grouping of positive shovel tests revealed small quantities of prehistoric material throughout the area, ranging from one to 4 artifacts per positive test. Given the small amount of material recovered from individual shovel tests and the absence of any evidence of features or cultural strata, it is difficult to assess the importance of these areas. However, the shovel testing produced evidence of a sparse scatter of prehistoric cultural material, principally lithic knapping debris and ceramics, along portions of the planned boardwalk route. In light of this, we offer four recommendations:

1. An archeologist should be present to monitor the excavation of the holes for the concrete pillars that will be used to support the boardwalk, as well as any additional ground-disturbing activities. These pillars will extend only two feet into the ground and will be generally spaced at 8-foot intervals, so relatively little ground disturbance will be entailed by the construction work.
2. Vehicular traffic in the area of Mounds 58-61 should be restricted to the existing old roadbed and the bottom of the former borrow area which is adjacent to Mound 61. Stockpiled material should be restricted to these areas as much as possible.
3. The truncated high ground which we suspected to be the remnant of a fifth and unrecorded mound south of the current highway--although not confirmed as such--should be avoided by vehicular traffic on the former highway roadbed.
4. Movement of equipment and materials along the boardwalk route should be accomplished in ways that result in as little ground disturbance as possible. For example, rubber tired vehicles should be preferred to tracked vehicles, and vehicular movement should not be attempted when the ground is muddy.

A separate report further detailing the investigation will be produced.

We appreciate the work of Tom Sinclair and his maintenance staff in clearing brush and small trees from the boardwalk route and the vicinity of Mounds 58-61. Their efforts made our work substantially easier. We are also grateful to Gary Akers for traveling so far and so freely donating his time for this project.


Thomas D. Sinclair

For Scott Stadler


Robert K. Nickel

Enclosure

cc:

Superintendent, Effigy Mounds National Monument
F.A. Calabrese, Midwest Regional Office
Craig Kenkel, Midwest Regional Office
Mike Fees, Midwest Regional Office
Pat Pauley, Midwest Regional Office
Douglas Scott, Midwest Archeological Center
Tom Thiessen, Midwest Archeological Center

References

Beaubien, Paul L.

1952 Preliminary Report of the Archeological Investigations at Effigy Mounds National Monument, 1950. Manuscript on file, Midwest Archeological Center, Lincoln, Nebraska.

1953a Some Hopwellian Mounds at the Effigy Mounds National Monument. *The Wisconsin Archeologist* 34(2):125-138.

1953b Cultural Variation Within Two Woodland Mound Groups of Northeastern Iowa. *American Antiquity* 19(1):56-66.

Mathys, Antone

1997 A Geophysical Survey at the Turkey River Mound group Site, Clayton County, Iowa, for the Iowa State Archaeology Office State Burials Program, Iowa City, Iowa. Institute for Minnesota Archaeology, Reports of Investigation 422. Minneapolis.

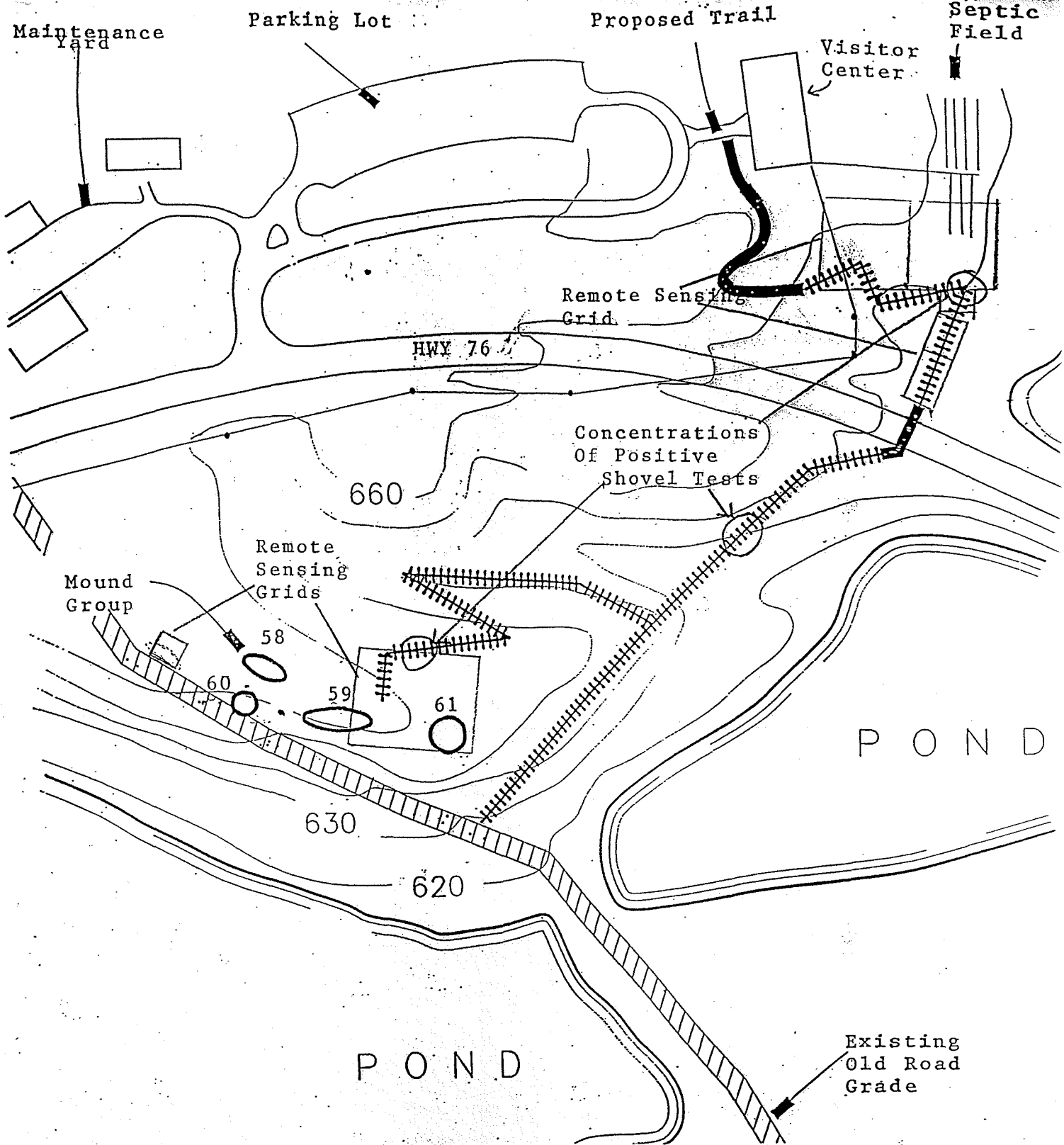


Figure 1. Approximate Locations of Magnetometer Grids and Concentrations of Positive Shovel Tests.
 (adapted from Proposed construction drawings)



United States Department of the Interior



NATIONAL PARK SERVICE

MIDWEST ARCHEOLOGICAL CENTER

FEDERAL BUILDING, ROOM 474

100 CENTENNIAL MALL NORTH

LINCOLN, NEBRASKA 68508-3873

IN REPLY REFER TO:

March 30, 2000

A2624 (MWAC)

Memorandum

To: Manager, Midwest Archeological Center (MWAC)
Through: Park Archeology Program Manager, Midwest Archeological Center
From: Archeologist, Midwest Archeological Center
Subject: Trip Report to Effigy Mounds National Monument, March 20-23, 2000.

On March 20, 2000, I traveled to Effigy Mounds National Monument (EFMO) with two objectives. The first was to examine park records and documents as part of the Archeological Overview and Assessment. The park staff, in particular Jacquelin St.Clair, was extremely helpful in aiding my search. Several volumes of field notes and reports from the Ellison Orr collection provided numerous maps and information relating to past archeological projects within EFMO boundaries. I was able to view reports, field notes, and documents from former park archeologists that provided supplementary information for the Overview and Assessment. Several relevant reports and documents were photocopied for addition to the MWAC library.

Half a day was spent in accomplishing the second objective of the trip, to conduct a reconnaissance of the proposed route of the South Unit access trail south of the Yellow River. The South Unit access trail project is designed to give visitors the ability to walk from the visitor center to the mound groups in the south unit. Currently, visitors desiring to visit the south unit mounds must park near the railroad tracks between the highway and the river. They must then cross the busy highway and hike up a steep incline to reach the bluff top. The South Unit Access project will provide a safer path to the bluff top. The portion of the trail north of the Yellow River was examined in October 1999 by Tom Thiessen, Bob Nickel, and myself (Stadler and Nickel 1999).

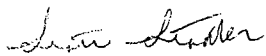
Chief of Maintenance Tom Sinclair, Cultural Resource Specialist Jacquelin St.Clair, and I walked the proposed route from the old bridge abutment on the south side of the Yellow River to where the trail starts climbing up the steep bluff (Figure 1). Most of the section of proposed trail below the bluff tops will follow old roadbeds. From the bridge abutment on the south side of the Yellow River, the trail will head south, following the old highway roadbed until it nears the base of the bluff. The old roadbed and the proposed trail route then turn east. Just before it meets the existing highway, it joins an unmaintained county road. The county road has been cut into the bluff at a slightly higher elevation than the old highway roadbed. The proposed trail would follow the county

road west and then southwest for approximately 650 meters. At this point, the trail would then leave the county road and head south. It will start to wind back and forth up the side of the steep bluff until it reaches the top. Once at the top of the bluff, the trail would extend to the Marching Bear mound group. The exact route of this portion of the trail has yet to be determined.

In order to obtain a bridge permit, the route will have to be above the 50-year high-water mark (Tom Sinclair personal communication). To accomplish this, several feet of fill may have to be brought in to cover the portion of the trail from the bridge abutment to the base of the bluff. It is not yet known what disturbance will occur around the bridge abutment in order to put in the bridge.

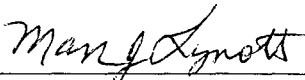
The only portion of the trail that would not follow a former roadbed would be the section where the trail departs the county road, heads south and begins its climb up the bluff slope. At this point, the trail would cross a bench at the base of the bluff. The bench overlooks the floodplain at the junction of the Yellow River and an unnamed drainage. This is a likely location for prehistoric materials and should be inventoried for cultural material prior to any ground disturbing activities.

The trail route once it reaches the top of the bluff was not examined during this trip. The route of the trail here has not yet been determined. The bluff top could potentially contain important cultural material. Once a proposed route is known, a qualified Archeologist should examine the route to determine what, if any, action should be taken. It is likely that archeological inventory would be recommended in this area and on the bench at the base of the bluff prior to trail construction.



Scott Stadler

Cleared for Distribution:



Manager, Midwest Archeological Center

3-28-00

Date

cc:

Superintendent, Effigy Mounds National Monument
Park Archeology Program Manager, Midwest Archeological Center

References:

Stadler, Scott and Robert K. Nickel

1999 Memorandum to Manager, Midwest Archeological Center, From Archeologists, Midwest Archeological Center. Subject: South Unit Access Project, Effigy Mounds National Monument. Dated October 29, 1999. On file, National Park Service, Midwest Archeological Center, Lincoln, Nebraska.

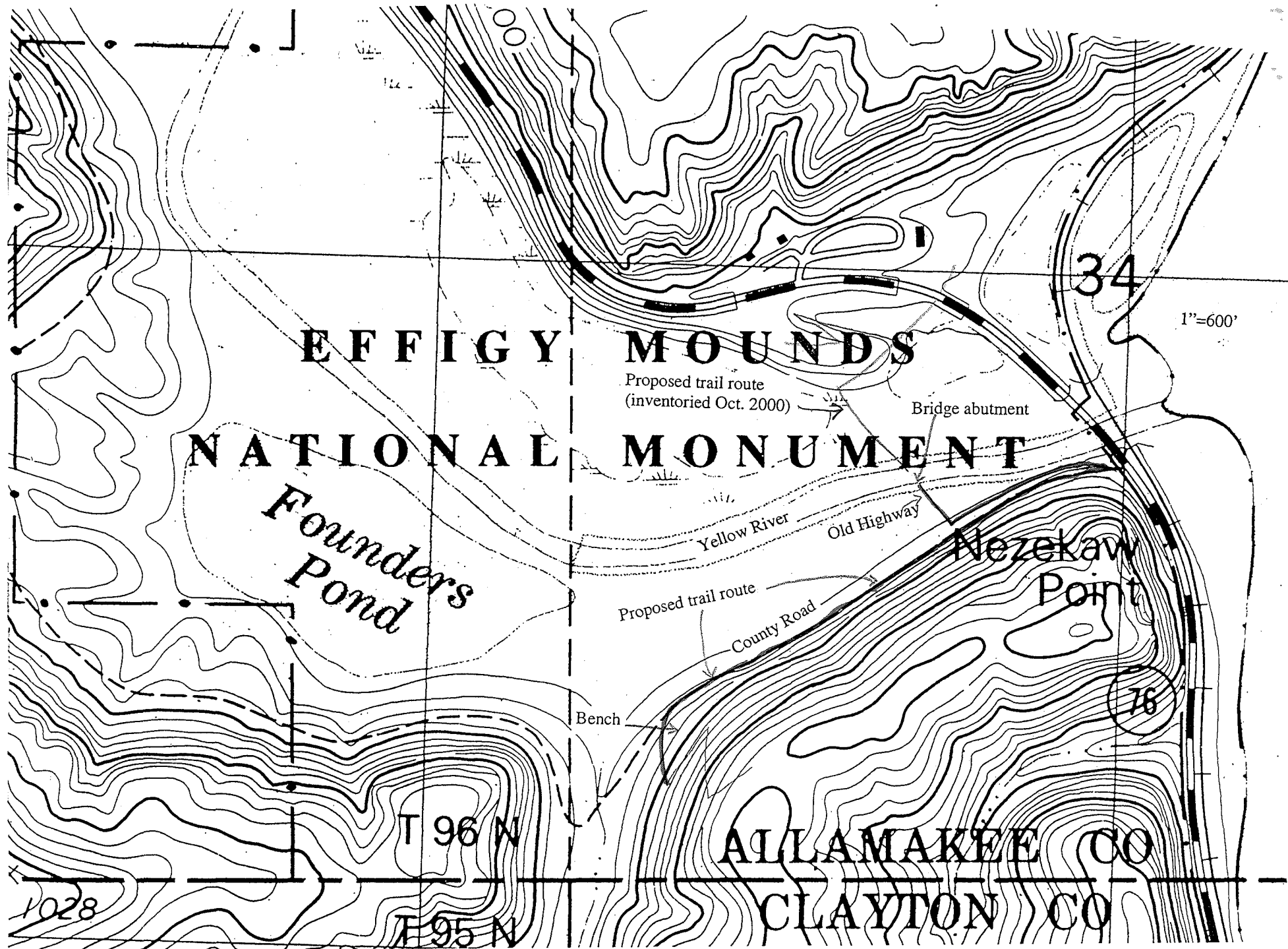
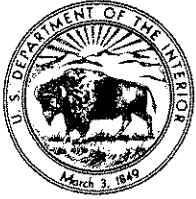


Figure 1. Proposed South Unit Access trail route.



IN REPLY REFER TO:

United States Department of the Interior

NATIONAL PARK SERVICE
Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

H2215(MWAC)

August 3, 2001

To: Manager, Midwest Archeological Center
Through: Park Archeology Program Manager, Midwest Archeological Center JSR
From: Archeologist, Midwest Archeological Center
Subject: Inventory of South Unit access trail, Little Bear handicap parking, and excavations near mound 73, EFMO.

From July 16 - 26, a crew from the Midwest Archeological Center (MWAC) visited Effigy Mounds National Monument (EFMO) to conduct an inventory of a proposed visitor access trail leading from the Yellow River to the Marching Bear Mound group (Figure 1). The northern portion of the trail, from the Visitor Center to the Yellow River, was inventoried during a previous visit (Stadler 1999, Stadler and Nickel n.d.) and construction of that part of the project was nearly completed at the time of the current inventory.

Two other small projects were completed during our visit to EFMO. The current parking area and access road near the Little Bear mound (mound 52) in the North Unit is used to allow disabled visitors access to the North Unit mounds and trails. The parking area is to be graveled and a short section of handicap accessible trail is to be constructed down a slight slope to allow improved handicap accessibility to the trails in the North Unit. Park staff asked us to inventory the proposed trail route, parking area, and access road.

Finally, two areas near mound 73, a bear effigy mound in the Marching Bear group, were excavated in preparation for the possible interment of prehistoric human remains. The field crew for these projects consisted of Seth Lambert, Tamie Sawadge, Pete Taber, John Gapp, and myself. We were assisted by park archeologist Jacquelin St. Clair, and Steve Schultz, Rick Trudeau, Ralph Lein, and Matt Erickson from the maintenance division.

Original plans called for the Yellow River to Marching Bear trail to climb the steep slope near the junction of the Yellow River and an unnamed drainage and then follow the bluff top as much as possible. This bluff top is where all of the mounds in the South Unit are located and the potential for locating archeological sites along this original proposed route is very high. Plans were subsequently altered by park staff to reduce the potential for disturbing these sites. The new route follows the slope near the western base of the bluff until it reaches an east-west drainage located south of mound 68. Here the trail climbs along the north edge of the drainage and emerges at the top of the bluff slightly southeast of mound 68. This point is approximately 15 meters west of the

current hiking trail/maintenance road that leads from Highway 76 to the Marching Bear group and the other mounds in the South Unit. Current plans call for the proposed access trail to follow the hiking trail/maintenance road until it reaches the Marching Bear group to the south.

The existing hiking trail/maintenance road is partially graveled, mainly in low areas. The entire road is to be graveled but no ground disturbance is planned. Consequently, the portion of the South Unit access trail that follows the current maintenance road was examined by pedestrian survey only. No subsurface investigations were conducted on this segment of the trail. The remaining portion of the trail, which begins slightly southeast of mound 68 and terminates at the Yellow River, was examined by shovel testing as outlined in the work plan and briefly reviewed below.

Shovel testing began near mound 68, at the top of the bluff and proceeded west and north (Figure 1). A single line of shovel tests followed the center of the proposed trail route that was staked by park personnel. The shovel test interval in most locations was five meters. On slopes of 15 – 30 percent, the shovel test interval was increased to 10 meters. Slopes of approximately 30 percent or greater were not shovel tested. These steep slopes were deemed as having little potential for undisturbed cultural material and were examined by pedestrian survey only. This occurred in two sections of the trail route. The portion where the trail drops off of the bluff top and the portion where the trail leaves the low floodplain of the Yellow River and climbs to a county road to the south. A 10-meter shovel test interval was used in one location, where the trail crossed a small east west drainage. The remainder of the trail was shovel tested using a 5-meter interval.

One hundred eighty shovel tests were excavated along the route of the proposed trail. Ten of the shovel tests contained twelve pieces of probable prehistoric lithic debitage. The artifacts were recovered from scattered shovel tests along the trail route. No concentrations of artifacts or positive shovel tests were noted. All of the recovered artifacts are white chert. Low quality white chert can be found outcropping on the slopes above the trail route. Supplementary shovel testing around the positive tests revealed no additional artifacts. Given the setting (sloping hillside with chert outcrops above) it is unlikely that the artifacts represent any sort of settlement or campsite. The recovered artifacts are likely the result of testing chert cobbles from the hillside for suitability in tool making. As a result, no additional investigations along the proposed trail route are recommended.

The second project, improving disabled visitor access to the North Unit, involved shovel testing a small wooded area west of the Little Bear mound (mound 52). A short section of trail will lead from the parking area to the existing visitor trail near the Little Bear mound (Figure 2). The trail will provide disabled visitors easier access to the mounds and trails in the North Unit. Shovel testing in this area followed the same techniques used in the South Unit trail. Four shovel test transects were placed at 5 meter intervals. Shovel tests within each transect were placed at 5-meter intervals. Twenty-nine shovel tests were excavated with no artifacts or features located. The maximum depth of shovel tests in this area was 59 centimeters below surface. Soil consisted of a thin layer of dark clay loam with dry compact tan clay beneath. Upon completion of the shovel testing, the area investigated was marked with flagging tape. The new trail should remain within the bounds of the flagging tape.

The access road leading from a gravel county road to the parking area is approximately ½ mile long (Figure 2). This access road is earthen with gravel along portions of the road. The access road and the parking area at the end of the road are to be entirely graveled. The access road and an area approximately 10 meters on each side were inspected by pedestrian survey. The parking area was included in this pedestrian survey. No artifacts or features were located. In addition, the

current metal gate at the entrance to the access road is to be widened and a new gate installed. Three shovel tests were excavated around the existing gate but no artifacts were noted. No additional investigations around the gate, the access road, parking area, or the proposed trail are recommended provided ground disturbance remain within the area examined during this project.

The final project involved excavating 1m x 1m test units west of mound 73, a bear effigy in the Marching Bear mound group. The purpose of the investigations was to clear an area that could be used for reburial of prehistoric human remains. The first excavation unit is located in the mown grass ten meters west of mound 73. This unit was designated test unit 1. It was excavated to 40 centimeters below surface. Two reddish chert flakes were recovered in the first 10 centimeters of soil. No additional artifacts or features were located.

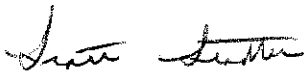
The northeast corner of Test Unit 2, a 1m x 1m unit, was located 1.72 meters south of the southeast corner of Unit 1. Unit 2 was excavated to 30 centimeters below surface. No artifacts were recovered. However, a burned feature was located in the northeast corner of the unit. The feature consisted of darker soil containing bits of charcoal. The feature began at eight centimeters below surface and ended at 25 centimeters. Since only about ¼ of the feature was exposed in Unit 2, a third unit, Test Unit 3, was excavated northeast of Unit 2. Unit 3 measured 1m x 1m but the southwest quarter of the unit overlapped the northeast quarter of Unit 2. This allowed the feature to be fully exposed. Unit 3 was excavated to 20 centimeters below surface and no artifacts were recovered. When fully exposed, the feature measured 25 centimeters in diameter at the top and was roughly bowl shaped in cross section. Most of the charcoal was located near the bottom of the feature. All feature fill was collected and returned to MWAC where it will be processed and examined.

Soil at all of the test units consisted of eight centimeters of dark clay loam. Below this is yellowish tan clay that is dry and compact. The two pieces of debitage from Unit 1 were recovered from the dark topsoil.

The human remains to be buried at these locations are expected to be placed much deeper than the excavations. It is believed that the soil below the excavations is culturally sterile and contains no artifacts or features. Ground disturbance during the interment of the remains should be restricted to the limits of the test units although the burials can be excavated as deep as deemed necessary.

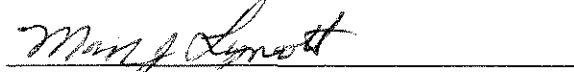
Stadler and Nickel (n.d.) will be expanded to include the final results of the projects completed during this trip to EFMO.

This project could not have been accomplished so quickly without the efforts of the park staff. Their willingness to work in the adverse conditions is highly commendable and enabled the project to be completed well ahead of schedule.

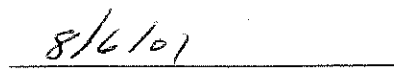


Scott Stadler

Cleared for Distribution:



Manager, Midwest Archeological Center



Date

Enclosures (2)

cc

Superintendent, Effigy Mounds National Monument
Cultural Resource Manager, Effigy Mounds National Monument
Tom Thiessen, Midwest Archeological Center
Doug Scott, Midwest Archeological Center
Scott Stadler, Midwest Archeological Center
Library, Midwest Archeological Center

References

Stadler, Scott

1999 Memorandum to Manager, Midwest Archeological Center, From Archeologists, Midwest Archeological Center. Subject, South Unit Access Project, Effigy Mounds National Monument. Dated October 29, 1999.

Stadler, Scott and Robert K. Nickel

n.d. Archeological Investigations for the South Unit Access Project, Effigy Mounds National Monument, Allamakee County, Iowa – 1999

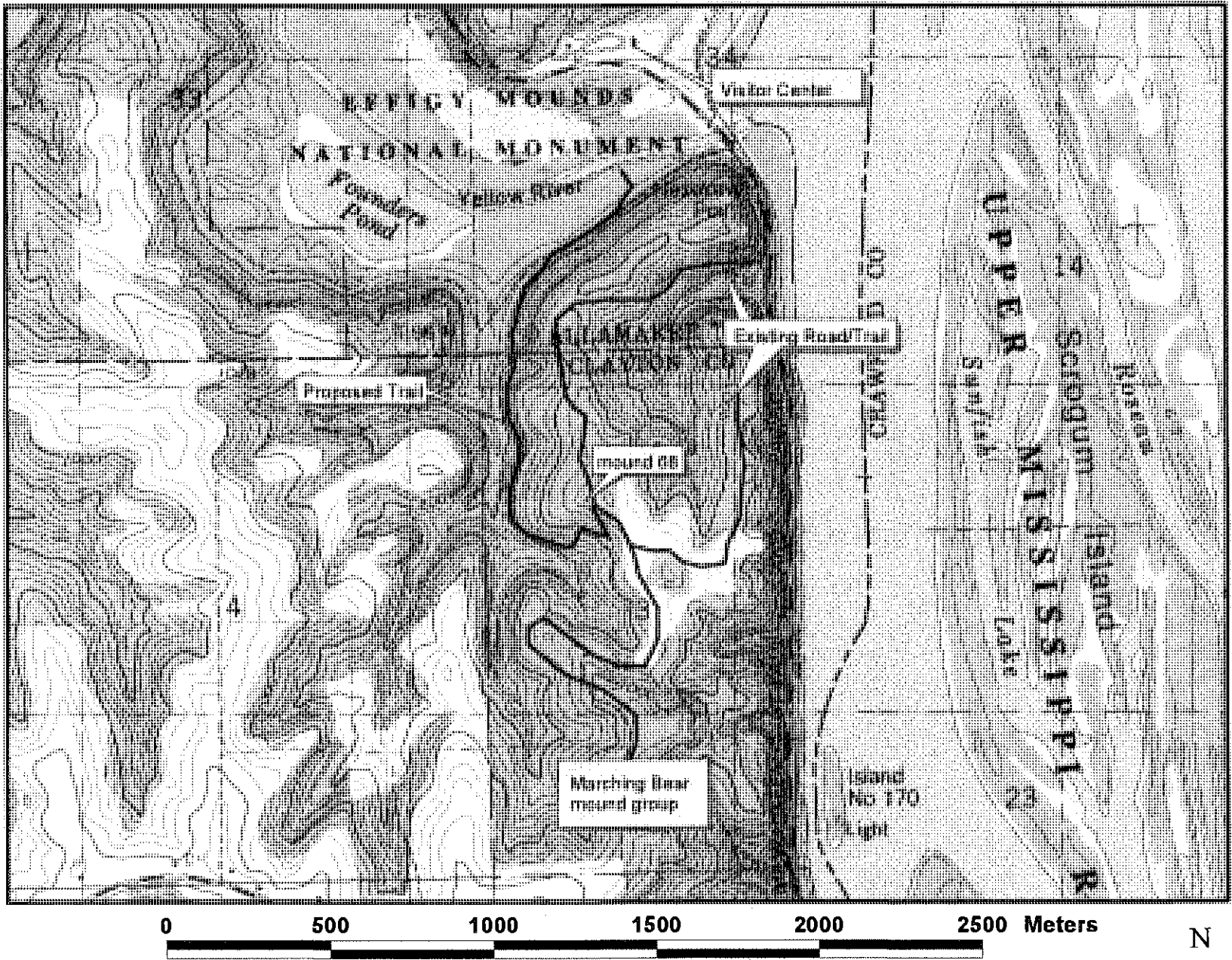


Figure 1. Proposed route of South Unit access trail from Yellow River to Marching Bear mound group.

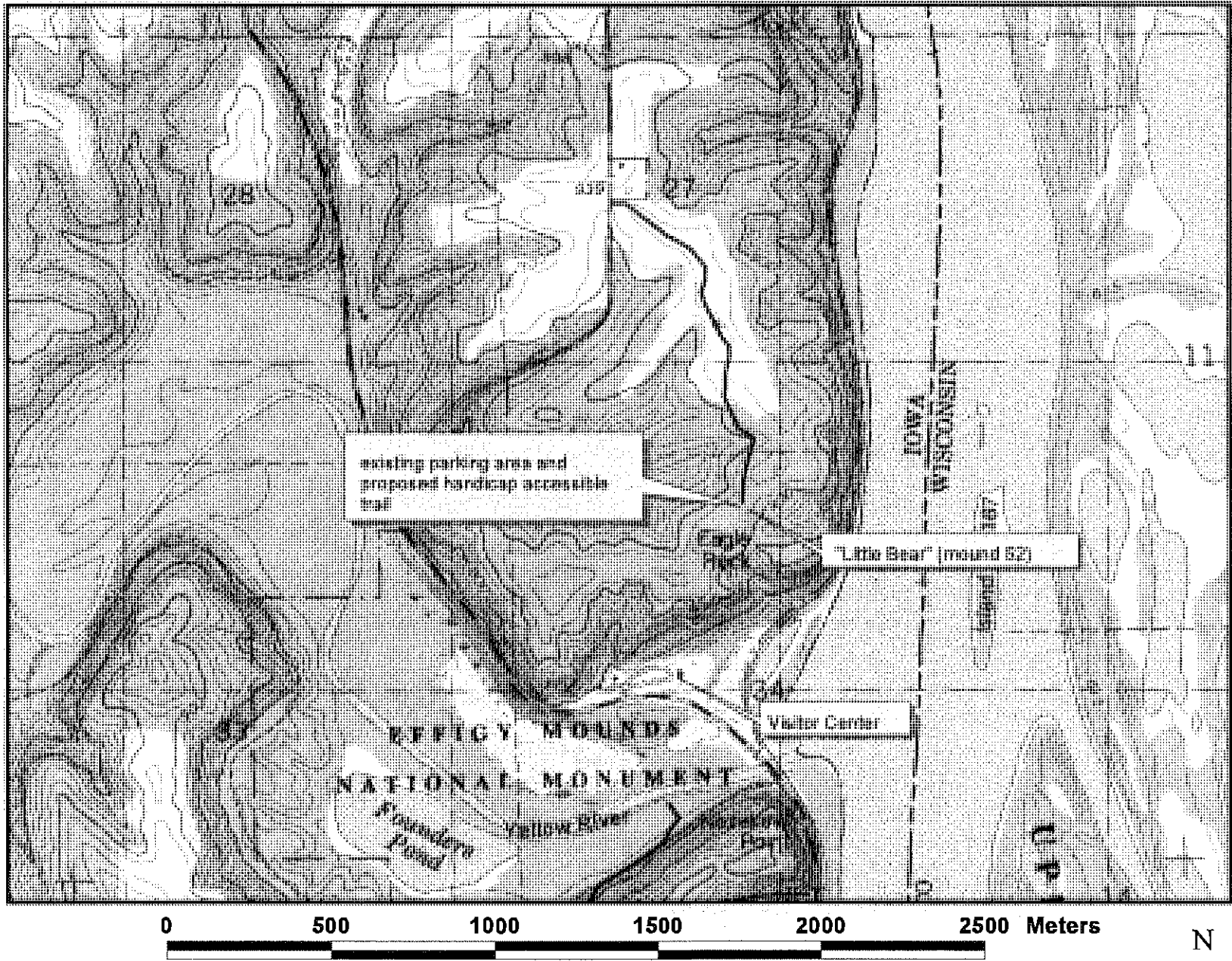


Figure 2. Existing road and parking area near Little Bear mound. Proposed handicap accessible trail from parking area to Little Bear is about 35 meters in length.





IN REPLY REFER TO:

United States Department of the Interior

NATIONAL PARK SERVICE
Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

July 16, 2003

Memorandum

To: Manager, Midwest Archeological Center

From: Archeologist, Midwest Archeological Center

Subject: Trip to Effigy Mounds National Monument, July 8-11, 2003

The purpose of my visit to Effigy Mounds National Monument (EFMO) was to provide input for the park's ongoing trail and vegetation management programs. My participation was requested by Superintendent Ewing via a telephone request to Thomas Thiessen on July 3, 2003. While she was particularly interested in my views regarding minor trail realignment at the "String-Of-Pearls" mound group at Fire Point in the North Unit, she also asked that I consider broader issues of trail realignment and development across the park as well as ongoing vegetation management at several mound groups. She also asked that I visit a location in the South Unit where park staff believed they had located two previously undocumented mounds. I accomplished all of these goals during my stay at EFMO. Bob Huck and Bob Palmer provided excellent assistance by accompanying me to numerous locations across the park. I appreciate their help very much. During my brief stay, I was able to visit most of the mound groups in the North Unit, all of the groups in the South Unit, including the newly discovered mounds, the Sny Magill Unit, and the area near the Jefferson Davis Sawmill on the Yellow River. I also enjoyed the opportunity to meet in the field with the NPS, YCC, and contract-based teams that are conducting the vegetation management work at multiple locales in the park. I spoke at some length with the YCC team and provided them with a basic overview of park-area culture history and the character and significance of the mounds and other archeological resources at the park.

It was extremely helpful for me to visit the numerous mound groups and other sites in the park. The broader perspective of the park that I gained from these visits shaped the recommendations I was able to provide at the conclusion of my visit. On July 10, I provided a summary of my findings and recommendations at an all-staff meeting and at a subsequent smaller meeting of the park's permanent staff members.

The following recommendations/observations parallel those provided at the two exit meetings.

Trail Modification and Improvement

1. The use of wood chips for trail base for trail alignments as opposed to the fine gravel used for many years appears to be a good choice for several reasons.
 - a. Some of the gravel trails are forming depressions due to compaction of materials. Wood chips do not appear to cause this kind of compaction.
 - b. Wood chips will deteriorate naturally, causing no impact to the terrain and any archeological sites within the trail routes, while the gravel is gradually becoming incorporated into the soil profile.
 - c. Wood chip trails can be easily rerouted, as needed, while gravel trails offer less flexibility.
 - d. There is no direct cost for the chips, since they result from ongoing vegetation management practices.
 - e. The chip trails do not seem to erode as readily as the gravel trails, do not seem to require erosion bars, and are not wet and muddy, even during heavy rains as occurred during my visit.
2. One possible negative aspect to the chip trails is that they may require frequent upkeep, primarily through addition of fresh materials as the older materials decompose.
3. Trail rerouting at the Fire Point "String-of-Pearls" mound group adjacent to Mound 33 has not adversely impacted any archeological resources.
 - a. The limestone curbing blocks that have been moved at this location were originally set "on

- grade" so their removal did not disturb any intact deposits.
- b. However, the realignment of the trail at Mound 33 was not required to protect the mound, since there was already a buffer between the mound and the trail on the north and south sides of the mound.
 - c. The existing trail is immediately adjacent to the mound on the east side. Under no circumstances should the large limestone blocks in that location, or the smaller "retaining wall" blocks on the north side of the next mound to the west, be moved without prior archeological study.
 - d. No "grubbing" of surface vegetation or any other form of ground disturbance should accompany minor trail rerouting here or at any other location unless such actions are preceded by professional archeological inventory and/or evaluation efforts.
4. If existing trail gravel is to be removed at Fire Point or other locations, such work should be accomplished very carefully.
- a. Only loose surface gravel should be removed. No attempt should be made to remove gravel that has become incorporated into the humus zone of the existing soil profile under the trails.
 - b. No ground disturbance should occur during subsequent re-vegetation efforts, since archeological deposits may occur in the soil profile under the old trails.
5. If fills are needed to restore the old trail alignments once the gravel is removed, strong consideration should be given to placing a geotechnical fabric over original grade prior to addition of the fills.
- a. Placement of this fabric would leave a permanent record for future researchers for any grade changes and would also make it easy to reverse the process and remove the fills without disturbing original grade.
6. Existing and new trail routes located in close proximity to mounds should be mapped relative to the mound groups that they serve.
- a. All existing gravel trail routes, including any proposed for realignment, and all new routes should be accurately plotted on existing

archeological base maps for each mound group. The Center can provide recommendations for appropriate maps to use, if needed.

- b. While I understand that the trails have been, or could be, mapped via GPS points, even a high resolution of \pm 1 meter accuracy may not be sufficient to specifically plot the trails relative to mounds and mound groups. Maps would need to depict the actual width, as well as the basic route, of the trails.
7. A Section 106 form should be developed for any proposed trail improvement work as called for in Stipulation IV.A of the 1995 Servicewide Programmatic Agreement. Multiple trail segments could be documented on a single form.
 - a. Some of this work would appear to fall within Nationwide Programmatic Exclusion B6 or possibly B9. Even if the proposed trail work is a Programmatic Exclusion, a Section 106 form should be developed for the project.

Vegetation Management

1. The ongoing vegetation management program will have positive impacts upon mound preservation and the visitor experience at EFMO.
 - a. Removal of undergrowth and select trees adjacent to the mound groups is creating a more natural-appearing setting. Previously, the mound groups appeared as narrow patches or areas of maintained turf grass immediately flanked by a closed, dense forest. The mound groups appeared as open "tunnels" in the forest. This setting probably bore little resemblance to pre-settlement conditions or to the conditions present when the mounds were built and/or used. While data are insufficient to determine the exact vegetative setting that occurred when the mounds were built, the more open woodland conditions that are being created allow the mounds to be viewed in better context.
 - b. Removal of select trees from the mounds will help protect the mounds and the archeological features from disturbance through root penetration and from potential major disturbance through tree blow-downs.

2. Tree removal from mounds at all the mound groups should be specifically documented. At Sny Magill, Mound Condition Forms and other data have been developed for each mound, with individual trees growing on the mounds measured and described (Dial 1996a:Tables 1 and 2, Figures 1-12 and Dial 1996b). These forms can serve as a baseline for documenting removal of trees from mounds in that group. Less detailed base maps should be available for use at the other mound groups.
 - a. Trees should be cut flush with the ground. No ground disturbance should accompany any part of vegetation management on or near the mounds. If the base of the tree is to be removed via "stump grinding," any such work should be accomplished with a small machine and with great care. Absolutely no disturbance of soil surrounding the stump should be permitted. Alternately, the stumps could be left to rot naturally.
 - b. Since tree removal from mounds may eventually lead to consideration of adding soil to fill voids left from the decomposed base of the tree, careful documentation of the location and size of the void to be filled would constitute another important documentation factor. This kind of documentation is in keeping with long-standing recording practices at EFMO used during mound repair episodes in the 1950s and 1960s.
 - c. Wherever feasible, voids should be lined with geotechnical fabric prior to addition of soil fill.
 - d. Some of the mounds at Sny Magill exhibit depressions that are the result of historic activities other than looting. These are documented in Dial's 1996a and 1996b reports. I recommend against filling such depressions or making other repairs. However, if such work is contemplated, it should be coordinated with MWAC and subject to Section 106 review.
3. The current practice of mowing mounds about twice a year should be continued. If such maintenance were ended, many of the mounds would be quickly re-vegetated with undesirable plants that would eventually threaten mound integrity.

4. I recommend that the park consider coordinating with archeologist Jennifer Pederson at Hopewell Culture National Historical Park (HOCU) regarding potential future impacts of changing the vegetative cover at the mounds, particularly at Sny Magill, from forest species to grasses and other low plants. I suspect that this change might result in use of the mounds by a different set of fauna than has been present while the mounds have been tree covered.

Newly discovered mounds

1. The two features located on a Late Pleistocene or Early Holocene valley-edge landform along the South Unit entrance road appear to be undisturbed and previously unrecorded mounds. One is linear and one is conical.
 - a. This small mound group should be recorded via development of a State of Iowa site form.
 - b. MWAC will coordinate with Bob Palmer at EFMO to develop the site form and acquire a formal trinomial site number.

Sny Magill

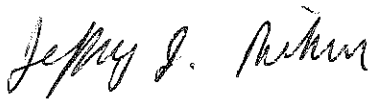
1. The current vegetation management access and former contract logging access road to Sny Magill should be closed or masked to deter visitor use of the Mound Group after the vegetation project is completed. It should remain closed until such time as the park is able to have an on-site presence there.
2. The park should develop a monitoring program for Sny Magill at the earliest possible time.
 - a. With the application of vegetation management practices at Sny Magill, the mounds will be easily visible for the first time in many years. While we do not see that as a negative factor in their preservation, it must be acknowledged that the site will also be readily visible to various potential visitors, including some who might wish to loot or otherwise damage this highly significant site.
3. Any historical material exposed at Sny Magill during the vegetation management process should be left in place. Information on these historic resources can be found in Dial 1996a and 1996b.

4. See other points above under Vegetation Management relative to Sny Magill.

Miscellaneous observations

1. The park contains many archeological sites and features in addition to the mounds. I was very impressed with the potential for interpretation/study of some of those sites, including the Military Road and the Jefferson Davis Sawmill.
 - a. I am aware that preservation of the mounds is not only the legislative basis for the park, but is rightfully the park's main focus and objective. However, if funding and personnel would permit it in the future, greater integration of other kinds of sites into the park's programs is recommended.
2. There are a few brief narratives in the Visitor Center exhibits that could be improved, including the information on the 1999 geophysical study of certain mounds. I can provide specific examples if requested.

I appreciated the opportunity to visit EFMO and meet with the dedicated staff members who are working hard to protect the incredible resources that it contains. I appreciate the assistance and input that I received from numerous persons during my brief stay at the park and hope that my observations and recommendations will be of some value to their ongoing work.



Jeffrey J. Richner

Cleared for distribution:



Chief, Midwest Archeological Center

Date 7/16/03

References cited:

Dial, J.

1996a Base Line Issues at the Sny Magill Mound Group: Mound Disturbance and Historical Cartography. Midwest Archeological Center Technical Report No. 41, US Department of Interior, National Park Service, Lincoln, Nebraska.

1996b Mound Condition Forms Sny Magill Group, Effigy Mounds National Monument, Harper's Ferry, Iowa. Midwest Archeological Center Technical Reprt No. 41 (Supplement), US Department of Interior, National Park Service, Lincoln, Nebraska.

cc:

Superintendent, Effigy Mounds National Monument
Chief of Maintenance, Effigy Mounds National Monument



United States Department of the Interior

NATIONAL PARK SERVICE

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

IN REPLY REFER TO:

MWAC A2624

October 21, 2003

Memorandum

To: Manager, Midwest Archeological Center

From: Archeologist, Midwest Archeological Center

Subject: Trip to Effigy Mounds National Monument, October 6 – 9, 2003

The purpose of my visit to Effigy Mounds National Monument (EFMO) was to investigate possible new mounds exposed by vegetation clearing in the Sny Magill unit and to monitor work for a soil sedimentation study at Sny Magill by the University of North Carolina. The visit was requested by the park Superintendent during conversations in August and September regarding the vegetation clearing, and was scheduled for this time to coincide with the sedimentation study. I was also able to visit several other locations in the park to observe mound groups, sites, and ongoing trail realignment activities thanks to the assistance of Law Enforcement Ranger Bob Palmer.

After traveling to the park area on October 6th, I met briefly with Superintendent Phyllis Ewing on the morning of October 7th to discuss the reasons for my visit. I then traveled to the Sny Magill unit of the park with LE Ranger Bob Palmer and Maintenance Worker Steve Schultz to look at the features that did not appear to be on the current map of Sny Magill Mounds. Palmer and I then examined each possible new mound feature and tried to determine whether the



features were natural or cultural. Several of the mound like features were determined to be natural as root patterns or remnant tree stumps from tree falls could be readily seen. Several other features were subtle and difficult to discern (above). Most of these were concentrated in the northern end of the site (see attached map). For most it could not be determined if they were natural or cultural, so they were assigned a double letter designation and recorded as possible cultural features. The double letter designation was used to distinguish designations from mounds originally recorded by Lewis, Orr and others (number designations from 1 through 94) and letter designations assigned to possible mound features discovered by Dial in 1987 and 1988 (letters A through N) (Dial 1996).

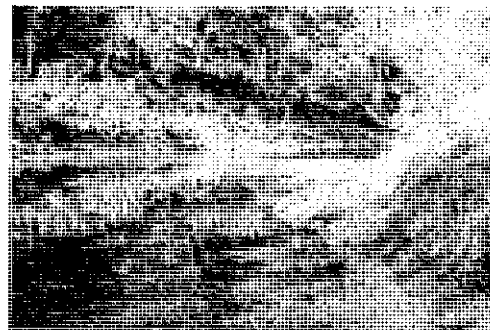
On October 7th and 8th, these new possible mound features were designated AA through AI. A GPS location was recorded for each feature and a photograph was taken of each one. This information will all be incorporated onto a new map that will include all known mound features within the Sny Magill mound site (see attached map). We were also able to relocate several of the permanent datums established by Dial in 1987 and 1988 and record GPS locations for them. In addition I used GPS to record the current wood chip road along the west edge of the mound group, the current cut bank exposure along the east side of the mound group, and several of the effigy mound outlines (to test the plausibility of this recording method for other mounds in the park). I also recorded several current tree blow locations so that they could be distinguished from mound features in the future (above).



Later on October 7th, Dr. Michael Benedetti of the University of North Carolina at Wilmington and Dr. J. Michael Daniels of the University of Wyoming arrived to begin a soil sedimentation study at the Sny Magill Mound Group (Benedetti 2003a and 2003b). Their plan called for a series of soil probes or auger holes to determine the depth of the current soil to contact with the underlying river gravel. They established a grid across the site for these tests that was 50 meters by 50 meters. They used an auger to collect surface samples and determine the depth to Pleistocene gravel at each grid point (right). When discussing this plan with their team, I asked that they examine the soil removed in the auger for any artifacts and that they skip any grid points that were directly on a mound. I was able to take GPS readings on the eastern extent of their grid transects and will later use this information to map a grid of the transects across the site.



On October 8th I had the opportunity to visit several other locations in the park with the assistance of LE Ranger Palmer. We visited the location of the Jefferson Davis Sawmill in the Heritage Addition that had been the subject of a Senior Thesis by a student from the University of Wisconsin La Crosse (Whaley 2003). Due to the recent drought in the area, the water was very low in the Yellow River exposing several logs on either side of the river that were originally part of the mill dam (right).



I also visited the Little Bear Mound at the west end of Fire Point in the North Unit and discussed plans to move an existing gravel trail away from the bear mound. The plan would recover the existing trail by sweeping out the gravel and reseeding in grass while creating a new trail farther to the east of the mound made of wood chips. Neither activity will require ground disturbance and should reduce any impact to the bear mound.

LE Ranger Palmer showed me an area for a planned interpretive exhibit near and just north of the visitor's center. He has marked a proposed trail through some brush that would take visitors past several mounds to a clearing near Bluegill Pond. The plan is to clear enough vegetation to make a trail and clean up the mound areas, and then build a Woodland Period habitation structure to be used for interpretation of subsistence practices of the mound builders. I agreed that this would be a good addition to the interpretation of the archeology of the park and that the trail construction would require no ground disturbance if created by vegetation cutting and wood chips like the other recent trail construction. I suggested that the one mound that the trail would pass that has a large depression in it be investigated to determine the origin of the pit (e.g., early excavation, vandalism, historic construction) and be used as a part of the interpretation in discussions about mound preservation. I also suggested that when the final plans for construction of the structure were made, compliance might be required if ground disturbance would result from anchoring the structure in the ground.

I later had the opportunity to visit the Marching Bear and Compound Mound Groups in the South Unit. During this visit, we stopped at the mounds that were recently discovered by LE Ranger Palmer and visited earlier in the year by Jeff Richner (Richner 2003). These are a linear and conical mound on a remnant terrace. I recorded a GPS location for the mound group and will provide the coordinates to Palmer who has said he will complete a state site form for the site.

On October 9th I returned to the Sny Magill Mound Group to finish recording GPS locations of the auger transects completed the previous day by Dr. Benedetti and Dr. Daniels. At this time I was also able to visit with Resource Specialist Rodney Rovang who had coordinated the vegetation clearing work at the mound group and the soil sedimentation study. We were able to establish a location for Drs. Benedetti and Daniels to dig two reference pits for Cs-137 dating. These pits were located well away from any mounds and the soil was screened during excavation for the soil profile. Each pit measured approximately 50 cm wide by 60 cm deep. One projectile point base was found in Reference Pit #1 and two flakes were recovered from Reference Pit #2. After the pits were excavated and profiles photographed, soil was collected for the Cs-137 dating. During the soil collection, one additional flake was found in Reference Pit #1.



Before departing the park on October 9th, I met with Superintendent Ewing and several staff for a closeout session regarding my visit. Other staff present included Administrative Officer Friday Wiles, Administrative Assistant Sharon Greener, Resource Specialist Rodney Rovang, and Chief of Maintenance Tom Sinclair. I explained what had been accomplished at Sny Magill and that I would create a map for the park that could be used by maintenance staff that included all of the currently recorded mounds and possible mounds. I also expressed concern about the soil exposure at the site following the vegetation clearing. The Chief of Maintenance Sinclair indicated that the plan is to see how the vegetation comes back on its own in the spring and follow up with seeding if necessary. Sinclair also asked if they should cut down the rest of the trees at the mound group. I had discussed this with Palmer and Schultz during the first visit to the Sny Magill unit and Palmer and I had agreed that there was an increased danger of trees being

blown over with the removal of so many of the trees. I suggested to Sinclair that I felt any remaining trees directly on the mounds should be removed eventually as they could cause great damage to the mounds if they were blown over by high winds. Also, any leaning trees that were in greater danger of falling on mounds should be removed.

I also discussed the several trail move and creation plans with Ewing and agreed that no compliance was required on these because there was no planned ground disturbance. I did suggest review of the plans for construction of the interpretive display near the visitor center when plans are finalized. I also explained that I felt the soil sedimentation study would provide a great deal of information about the mound group, and expressed support for a planned GPR study of the Sny Magill mounds by the Office of the State Archeologist of Iowa. This study would be at no cost to the park and may be able to help determine the nature of the 'new mound features' recorded as a part of this trip. I suggested that additional geophysical techniques might also be of interest at the mound group and that it might be possible to have the annual Geophysical training conducted by MWAC return to the park to facilitate more studies. As for ongoing soil sample collection at Sny Magill, I recommended to Superintendent Ewing that LE Ranger Palmer, who also holds an advanced degree in archeology, should be made available to continue to monitor soil collection work at the mound group. I also suggested that Palmer could monitor any future work at the site as a part of the sedimentation study. Future planned work includes exposure and study of the cut bank at the site.

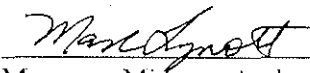
Friday Wiles asked about whether the 'new mounds' would be recorded in the ASMIS or LCS databases. I indicated that the ASMIS record for the Sny Magill Site (13CT18) would be updated to include information about the new possible features. I was not able to address whether or not the LCS records would be updated to include these new possible mounds but I said I would coordinate this with Geoff Burt in the Midwest Regional Office. I also told Administrative Assistant Sharon Greener, who is also in charge of park collections, that I would work with our collections team at the center to accession and catalog the artifacts and return them to the park as soon as possible.

I was pleased to finally get an opportunity to visit the park and the staff. I enjoyed working with Superintendent Ewing and LE Ranger Palmer as well as the other staff and hope to continue working closely with the park in the preservation of the wonderful resources there.



Anne M. Wolley Vawser

Cleared for distribution:



Manager, Midwest Archeological Center

Date 10/27/03

References Cited

Benedetti, Michael M.

2003a Summary of Field Visit to Effigy Mounds National Monument. Memorandum to Superintendent, Effigy Mounds National Monument, dated October 16, 2003. On file, Midwest Archeological Center, National Park Service, Lincoln.

2003b Sampling Plan for Site Visit to Effigy Mounds National Monument. On file, Midwest Archeological Center, National Park Service, Lincoln.

Dial, Janis L.

1996 Base Line Issues at the Sny Magill Mound Group: Mound Disturbance and Historical Cartography. Midwest Archeological Center Technical Report No. 41. National Park Service, Midwest Archeological Center, Lincoln.

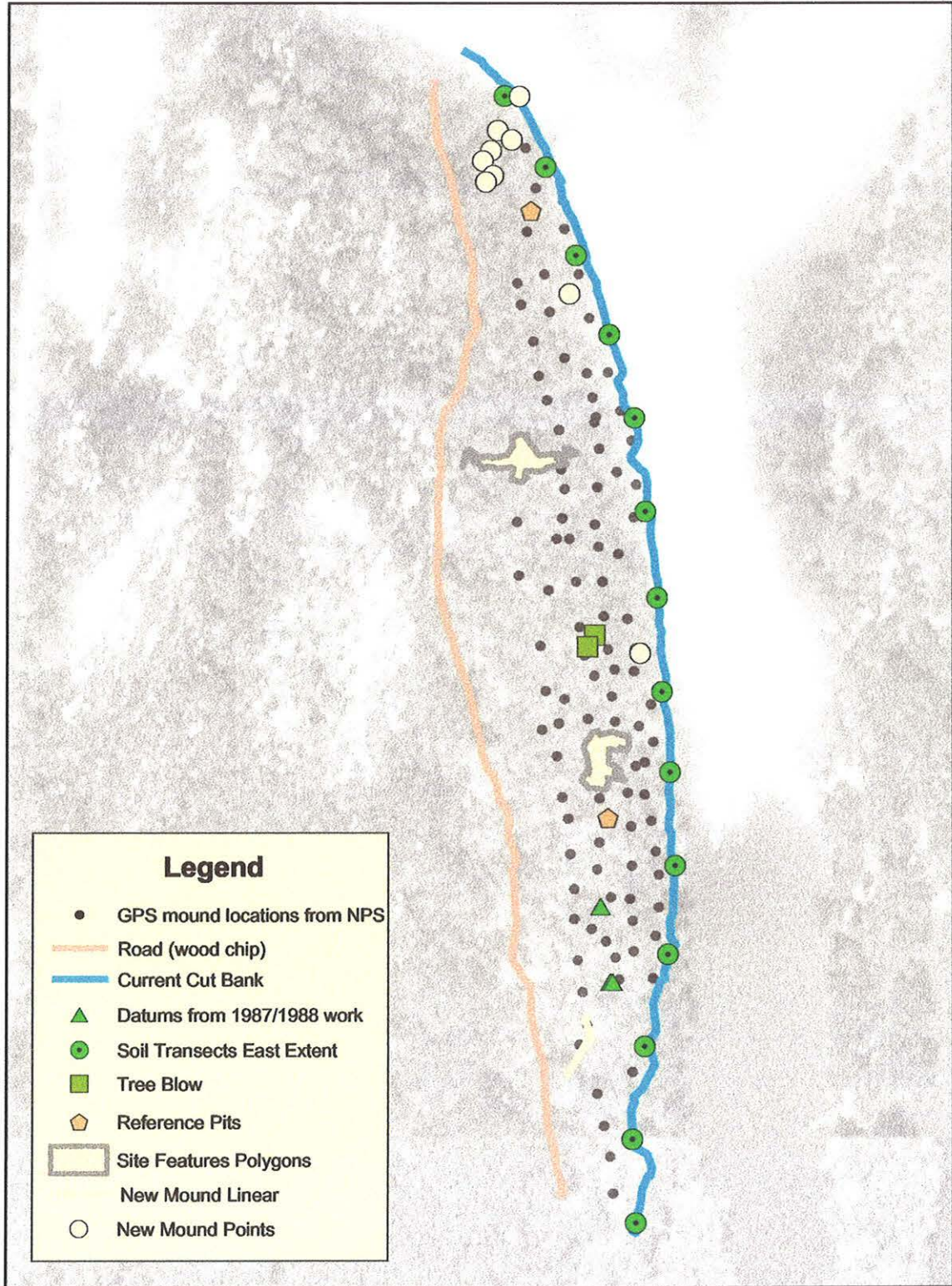
Richner, Jeffrey J.

2003 Trip to Effigy Mounds National Monument, July 8-11, 2003. Memorandum to Manager, Midwest Archeological Center, dated July 16, 2003. On file, Midwest Archeological Center, National Park Service, Lincoln.

Whaley, Dawn

2003 Jefferson Davis Sawmill, 13AM294 Allamakee County, Iowa. A Thesis submitted to fulfill the requirements for a Bachelors degree in Archaeological Studies at the University of Wisconsin La Crosse, May 2003. On file, Midwest Archeological Center, National Park Service, Lincoln.

cc: Superintendent, Effigy Mounds National Monument
Chief of Maintenance, Effigy Mounds National Monument



Map of features at Sny Magill Mound Group (13CT18). All features except the GPS mound locations from NPS (black dots) were recorded during the October 6-9 visit using a Trimble GeoExplorer III GPS unit.



IN REPLY REFER TO:

United States Department of the Interior

NATIONAL PARK SERVICE

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

MWAC A2624

December 21, 2005

Memorandum

To: Manager, Midwest Archeological Center
Through: Program Manager, Park Archeology, Midwest Archeological Center
From: Archeologist, Midwest Archeological Center
Subject: Trip to Effigy Mounds NM – Bridge Replacement, May 16–19, 2005

The purpose of my visit to Effigy Mounds National Monument (EFMO) was to conduct testing in the area of two bridge replacement projects along the Hanging Rock Trail. In addition to this project, testing was conducted at two other locations near the Visitor's Center to verify the lack of cultural deposits as a result of visitor center and parking lot construction during the early 1960s. Condition assessments were also recorded for two mound sites as a part of ongoing efforts to obtain current conditions for all archeological sites in the Midwest Region.

After traveling to the park on May 16th, I met briefly with Superintendent Phyllis Ewing, Chief of Maintenance Tomas Sinclair, and Resource Specialist Rodney Rovang on the morning of May 17th to discuss the reasons for my visit. Since Sinclair would not be available for the day, Rovang and I began testing in the Visitor's Center (VC) area and delayed the bridge testing for the next day.

Testing in the area of the VC was primarily conducted to confirm that site 13AM82, which had once occupied the terrace, had been destroyed in the immediate area of the VC and parking lot, through historic farming efforts as well as later construction of the park facilities. Historic documents and photographs in the park's archives indicated that the parking area had been heavily contoured with earth moving machinery during construction in the 1960s leading the park to believe any archeology present had been destroyed. Records at the Midwest Archeological Center (MWAC) indicate that Paul Beaubien monitored removal of top soil in the area of the VC construction in May of 1959 (Beaubien 1959). According to his report, the topsoil was removed and stockpiled, presumably to be replaced following re-contouring of the terrace for the VC and parking area. Beaubien found some artifacts but no intact features or deposits during his monitoring of the work. He concluded that the cultivation of the area and related soil erosion had largely destroyed the archeology of the VC area. What brought this into question was discovery of what appeared to be lithic debitage from holes dug in the parking lot island during the planting of several new trees in the fall of 2003. I looked at this material on the first day of my trip here and found most of it to be natural chert shatter from the area, although there were a few flakes as well as a few historic artifacts (Table 1).

The park has plans to build a new bridge on the north side of the Visitor's Center to provide visitor access to the main interpretive trail. This will include a new concrete sidewalk on the west side of the Visitor's Center and will tie into the existing boardwalk on the north side of the drainage that the bridge will cross. We took this opportunity to excavate a shovel test in the area of the proposed sidewalk to evaluate the area for any intact cultural deposits. Also, in order to get a larger view of the soil deposits in the area of the parking lot, a 1 x 1 meter test unit was excavated in the center of the parking lot island. The location of these tests is shown in Figure 1.

In both the shovel test and test unit, several distinct layers of soil were observed. However, none of these layers were determined to be intact cultural deposits. While a few prehistoric and historic artifacts were recovered from both units (Table 2), none came from intact deposits. It also appeared that much of the soil present may have been brought in from another location with a very high clay content. Park staff have reported that there are records in park files indicating the current area of the maintenance shop was leveled for construction of the buildings there, with the removed material re-deposited in the parking area and significantly re-contoured. As a result of these findings, we have determined that any cultural deposits of site 13AM82 in the immediate area of the VC and parking lot have been significantly impacted to the point where the site can be considered destroyed in this area. On the basis of Beaubien's observations, the 2005 testing, and park construction documents, the map in Figure 2 shows that portion of site 13AM82 where cultural deposits are believed to have been destroyed through past land use practices (i.e., farming) and previous construction activities (Figure 3 - VC, parking lot, road, maintenance facility). Other areas known to have been previously occupied by site 13AM82 may still be intact, including the areas immediately surrounding mounds 55-57 immediately north of the VC, and around mounds 58-61 south of the highway. These areas would need to be investigated for any intact archeological deposits prior to any ground disturbance activities.

On May 18th I worked with Sinclair and Maintenance Worker Robert Huck to investigate the areas where the bridges will be replaced in two locations on the Hanging Rock Trail. We also conducted one more shovel test on the far northern point of the proposed new VC bridge on the north side of the drainage where it will connect with the existing boardwalk. From a maintenance area in the north unit we traveled in the park's ATV Mule cart to the first of the bridge replacement locations. The bridge sites cross intermittent drainages and are therefore not in the most likely locations for archeological sites; however, their proximity to the first terrace, which often does contain sites, suggested that testing was warranted before the new bridges were installed. The other reason for testing was that the new bridges would be considerably wider and longer than the previous units, and the trails will need to be widened slightly where they approach the new, wider bridges. One shovel test was excavated on either side of the drainage of each of the proposed bridges for a total of 4 shovel tests (Figure 4). Given the location and recent rainfall, all tests were very wet and consistently even throughout in soil content. No intact cultural deposits were observed. Shovel Tests #2 and #3 contained no cultural material. Shovel Tests #4 and #5 on either side of the Bridge #2 location each contained 2 flakes of the local chert. This bridge is located 150 meters downslope from site 13AM163, the probable source of the flakes. Results of the testing indicate replacement of the two bridges should not have any negative effects on archeological resources in the park.

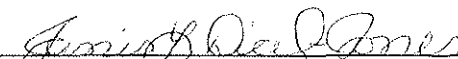
The final shovel test excavated near mound 57 at site 13AM82 was also very wet and negative. The area was probably previously impacted by construction of the boardwalk as well as by an historic road that ran along the base of the bluff at the northern edge of site 13AM82 (see Figures 1 and 2). Construction of a new pedestrian bridge and sidewalk in this location will not have any negative effects on archeological resources.

I enjoyed working with Superintendent Ewing and all the EFMO staff to complete these projects and appreciate their assistance during my visit.



Anne M. Wolley Vawser

Cleared for distribution:

Assistant Director


Assistant
Manager, Midwest Archeological Center

Date 12/21/05

cc: Superintendent, Effigy Mounds National Monument
Chief of Maintenance, Effigy Mounds National Monument
Collections Management Program, Midwest Archeological Center
Library, Midwest Archeological Center

Table 1. Cultural materials recovered from the VC Parking Area during the 2003 excavation of holes for tree planting.

Unit	Count	Material	Description
Hole #1	3	Chert	Primary decortication flake
Hole #1	1	Chert	Secondary flake
Hole #1	1	Coal	Chunk
Hole #2	4	Chert	Primary flake
Hole #3	3	Chert	Primary flake
Hole #3	1	Chert	Secondary flake
Hole #3	1	Whiteware	Sherd
Hole #3	1	Coal	Chunk
Hole #4	1	Milkglass	Sherd

Table 2. Cultural Materials Recovered from Test Units and Shovel Tests

Unit	Provenience	Count	Material	Description
TU1	0-10 cm bs	4	Chert	Primary decortication flake/shatter
TU1	0-10 cm bs	4	Chert	Secondary flake
TU1	0-10 cm bs	1	Glass	Flat glass shard
TU1	0-10 cm bs	1	Glass	Curved glass shard
TU1	0-10 cm bs	1	Ferrous Metal	Fence staple
TU1	10-17 cm bs	1	Chert	Tested nodule
TU1	10-17 cm bs	1	Chert	Primary decortication flake
TU1	10-17 cm bs	1	Chert	Secondary flake
ST1	0-20 cm bs	1	Chert	Secondary flake
ST1	0-20 cm bs	1	Ferrous Metal	Nail or tack
ST1	0-20 cm bs	1	Asphalt	Clump
ST4	0-15 cm bs	2	Chert	Secondary flake
ST5	0-15 cm bs	1	Chert	Primary decortication flake
ST5	0-15 cm bs	1	Chert	Secondary flake

Note: bs = below surface

Reference Cited

Beaubien, Paul

1959 Report of Trip to Effigy Mounds National Monument, May 17-26, 1959. Memorandum on file, Midwest Archeological Center, Lincoln.

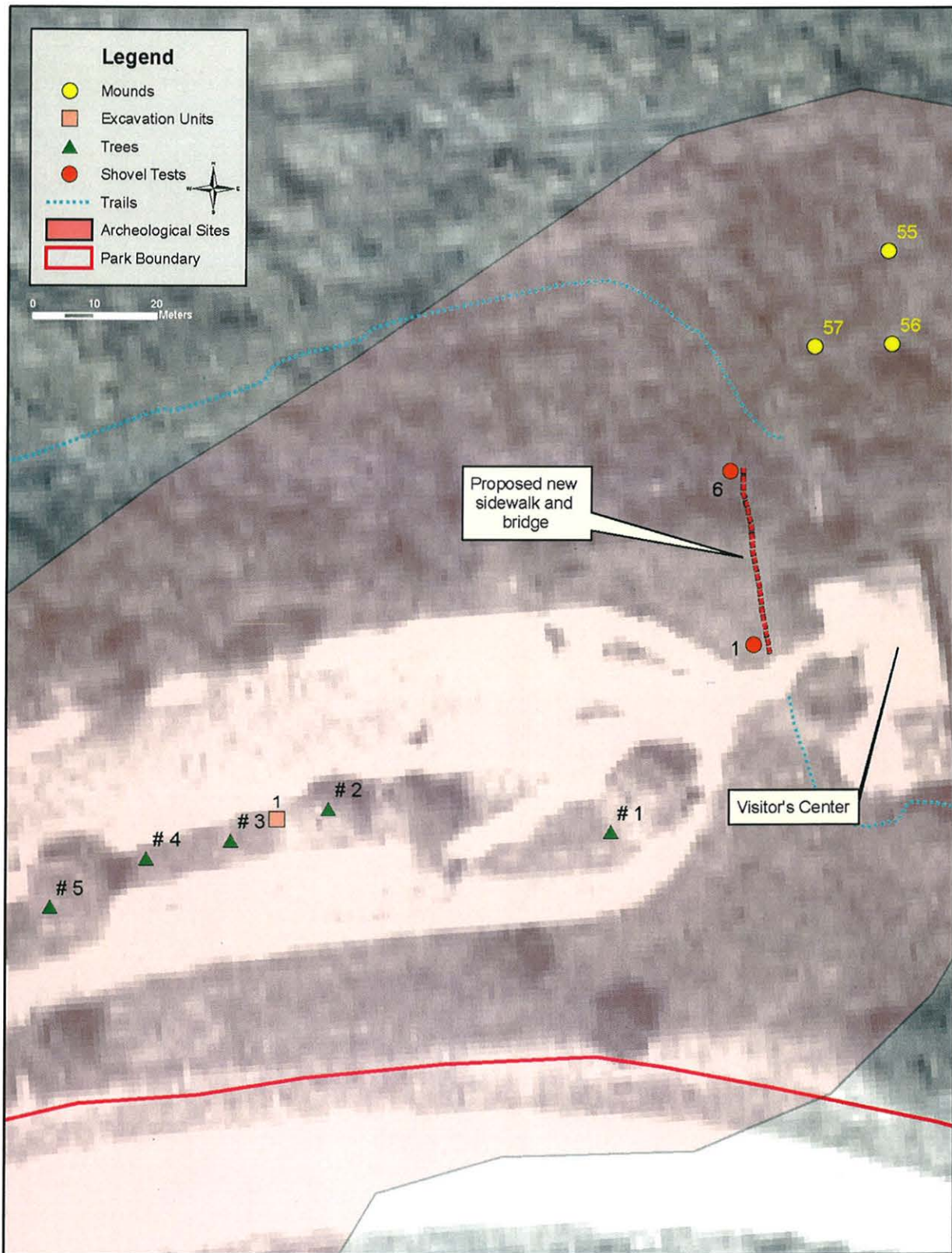


Figure 1. Shovel test and test unit locations in the area of the Visitor's Center and parking area. Location of trees correlates with the location of the Hole # in Table 1. The location of Hole #1 is approximate.

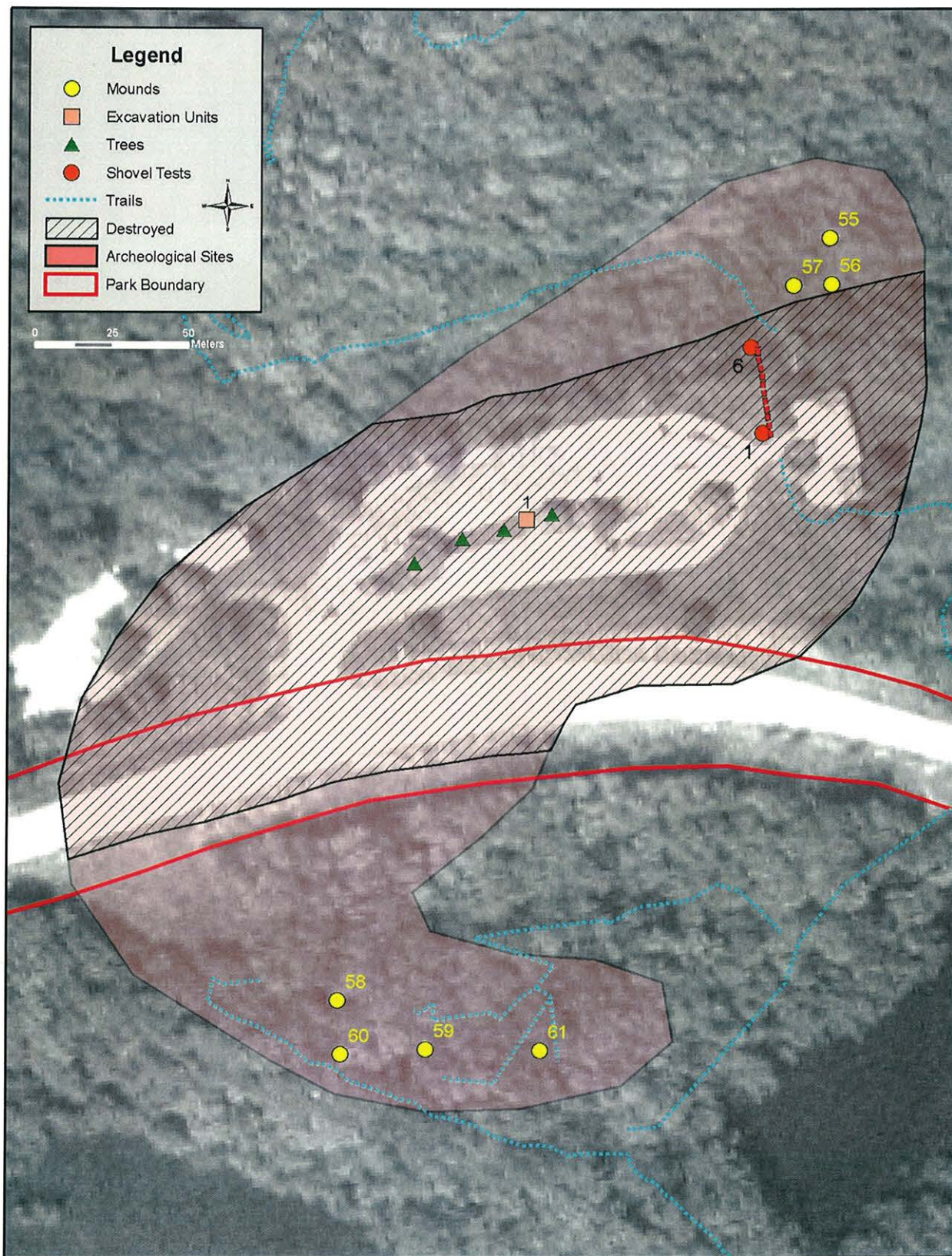


Figure 2. Area of site 13AM82 determined to have been destroyed by early farming and by the park's construction of the Visitor's Center and parking lot in the early 1960s.

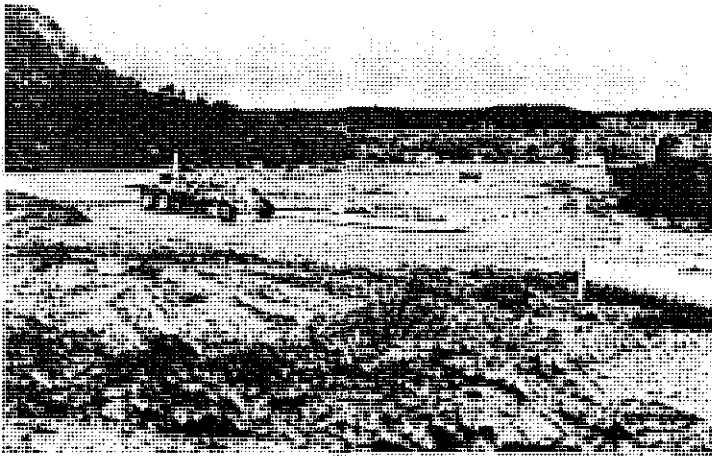
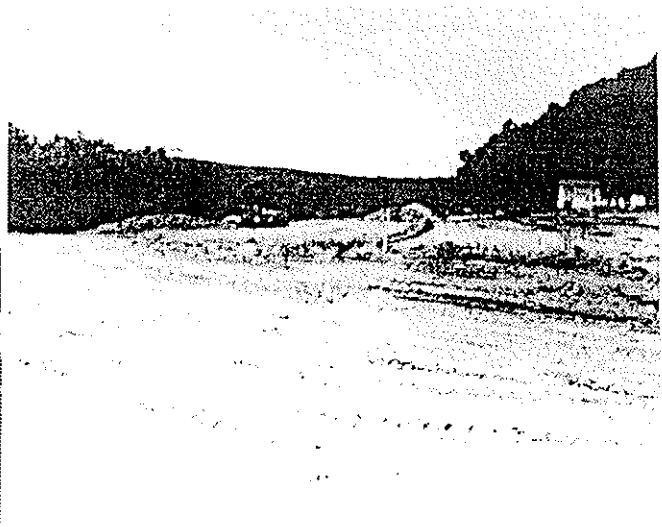
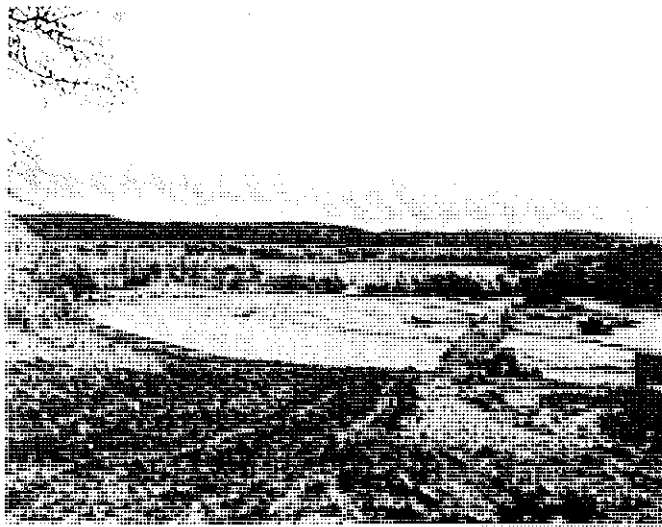


Figure 3. Photographs of parking lot construction from the park files. Top left, probably looking west from the current maintenance area. Top right, probably looking northwest from south of the current VC (note historic structure in background). Bottom left, probably looking northeast from entrance to VC parking area. Bottom right, probably looking northwest near east end of parking area loop.

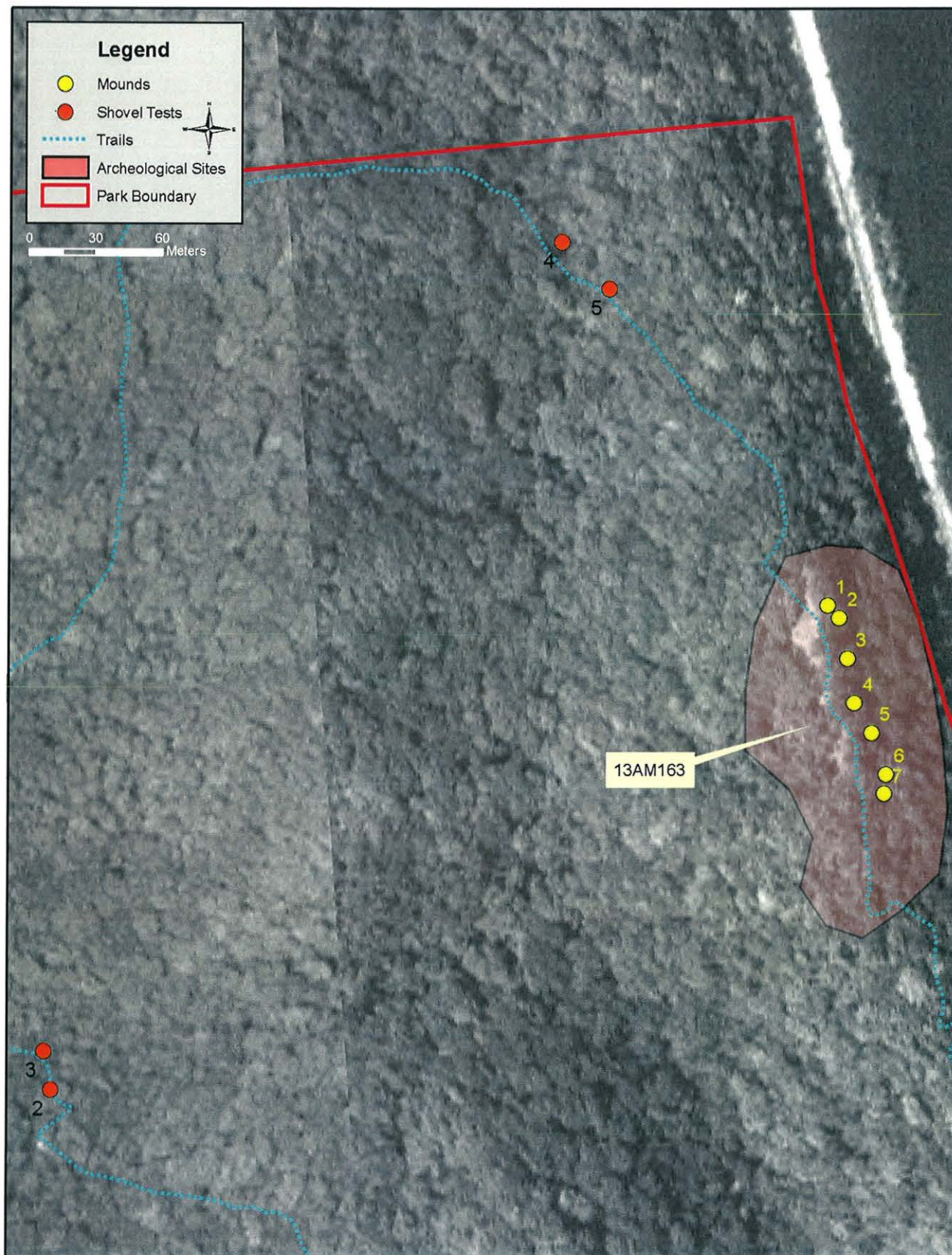


Figure 4. The location of shovel tests 2 through 5 for bridge replacements along the hanging rock trail.



United States Department of the Interior

NATIONAL PARK SERVICE

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

IN REPLY REFER TO:

September 11, 2008

A2624(MWAC)

Memorandum

To: Manager, Midwest Archeological Center

Through: Park Archeology Program Manager, Midwest Archeological Center JTR

From: Archeologist, Midwest Archeological Center

Subject: Trip to Effigy Mounds National Monument with regard to railroad maintenance damage at the Red House Landing site (13AM228), September 3-5, 2008

On September 3rd I traveled to the park to meet with staff, state personnel, and railroad representatives regarding damage to the Red House Landing archeological site (13AM228). On September 4th I met with the following park personnel: Superintendent Phyllis Ewing, Resource Specialist Rodney Rovang, and Resource Protection Ranger Bob Palmer. While the entire portion of the Red House Landing Site is within the legislated boundary of Effigy Mounds National Monument (EFMO), a portion of the site lies on land owned and managed by the Iowa Department of Natural Resources ((IDNR). Therefore, I also met with state representatives including State Archeologist John Doershuk and archeologist Doug Jones of the State Historic Preservation Office. On the 4th we traveled by boat to the site to view the damage caused by the railroad and evaluate possible clean up and future plans to avoid further damage.

The damage to the site was first noted on a visit to the site in October of 2007. At that time it was noted that large piles of dirt and rocks had been removed from underneath the railroad trestle that crosses the drainage, and had been piled along the railroad right of way as well as on both National Park Service (NPS) and IDNR land. Rovang explained at that time that a large rain event during the summer of 2007 had deposited rock and mud slides in several places along the Iowa, Chicago and Eastern Railroad (IC&E) track that follows the eastern boundary of the park along the Mississippi River. At the Red House Landing site, the rubble that had washed down the drainage had filled the area under the railroad trestle, blocking the path of water and threatening the structure. IC&E hired a contractor who removed the rubble in 2007, placing the rubble both within and beyond the 50 foot right of way (see attached map).

During another visit to the site in June of 2008, I noticed that some of the area under the trestle had filled in again with rubble, and in late August of 2008, a contractor hired to remove the

rubble stopped in at the park office to inform the park of the impending work. At this point, the park worked with the contractor and railroad officials to halt any additional work at the site until the situation could be evaluated.

Park staff and state archeologists visiting the site on September 4th agreed that three courses of action needed to occur. First, no further piling of debris on the site would be allowed. Second, the rubble that has been piled on the site will need to be removed, and this must be done under the supervision of an archeologist. The railroad will bear the cost of the removal. And finally, with an understanding that nothing can be done to stop discharge of mud and rock from the drainage during high volume rain events, the NPS, the IDNR, and the IC&E should develop an agreed upon plan of action for future removal of debris and complete a signed memorandum of understanding. Included in that agreement should be a determination of the actual railroad right of way and marking of the right of way at the site. Also, due to limited space and the fact that debris piled near the trestle will only eventually wash back in, any future removal of debris will only be from within the railroad right of way and will be transported off site immediately.

Following the site visit, park staff and the state archeologists were able to meet briefly with Chad Livingston, Environmental Manager for IC&E. At this meeting he was informed that due to the piling of debris at the site, the railroad had violated the Archeological Resources Protection Act (ARPA) and that the park would issue a citation to the railroad. Ranger Bob Palmer explained that as a part of a civil ARPA violation, the NPS has the option of not imposing a penalty if the railroad agrees to make restitution for the damage. Livingston felt that IC&E would be happy to work with the park to resolve the matter and asked to visit the site the next day with IC&E CARH Engineering Department Director of Maintenance Mark Milewsky.

On the morning of September 5th we again traveled to the site, this time via a high rail vehicle provided by IC&E. Present were Superintendent Ewing, Rovang, myself, Livingston and Milewsky. We viewed the damage and I explained the situation to Livingston and Milewsky who agreed that they would work with us to devise a plan for removal of the debris, and also work with us on developing an agreement for future situations.

The park is currently following up with development of the ARPA citation, and I will follow up with a damage assessment for the citation. I have also agreed to coordinate with Livingston on a plan and timeline for removal of the current debris piles.



Anne Vawser

Cleared for distribution:



Manager, Midwest Archeological Center

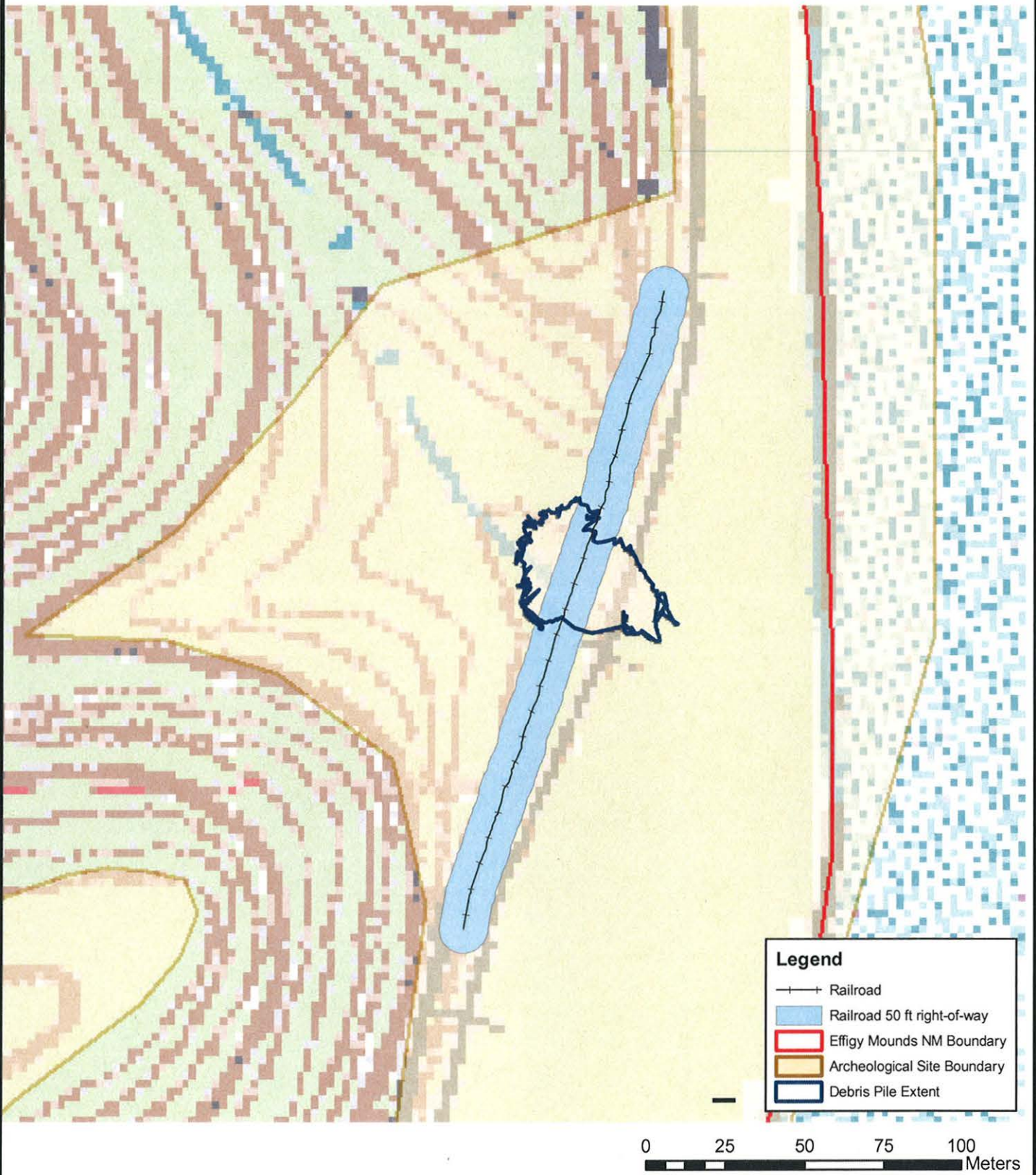
Sept. 11, 2008
Date

cc:

Superintendent, Effigy Mounds National Monument, Phyllis Ewing
Collections Management Program, Midwest Archeological Center
Library, Midwest Archeological Center



Red House Landing Site, Railroad Right-of-way, and Debris Piles





IN REPLY REFER TO:

United States Department of the Interior

National Park Service

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

November 3, 2008

H2623(MWAC)

Memorandum

To: Superintendent, Effigy Mounds National Monument

From: Manager, Midwest Archeological Center

Subject: Archeological Damage Assessment and Work Plan for the Red House Landing Site (13AM228) in Effigy Mounds National Monument

At your request we have prepared an Archeological Damage Assessment for the Archeological Resources Protection Act (ARPA) violation that occurred at the Red House Landing Site (13AM228) in the park. We have also prepared an Archeological Work Plan for restoration and repair work to be carried out at the site during debris removal by the Cedar American Rail Holdings, Inc. If you have any questions about either of these documents please contact Anne Vawser at (402) 437-5392 ext. 109.

Mark Lynott

Enclosures (2)



IN REPLY REFER TO:

United States Department of the Interior

National Park Service

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

April 7, 2009

A2623(MWAC)

Memorandum

To: Manager, Midwest Archeological Center

Through: Park Archeology Program Manager, Midwest Archeological Center

From: Archeologist, Midwest Archeological Center

Subject: Trip to Effigy Mounds National Monument: Site Investigations, Site Condition Assessments, Assess South Unit Access Trail, June 16-23, 2008.

On June 16th, 2008, I traveled to Effigy Mounds National Monument (EFMO) to work on several projects. I worked with graduate student Jim Lindsay on testing at the FTD (13AM210) and Red House Landing (13AM228) sites as a part of his Master's Thesis. I also visited the Sny Magill unit to assess flooding that was delaying the bank stabilization project scheduled for June of 2008. Later, I assisted park staff during realignment of a portion of the south unit access trail. Finally, I worked with park LE Ranger Bob Palmer to conduct site condition assessments at 21 sites in the park.

The second phase of the bank stabilization project at the Sny Magill Mound unit (13CT18) was scheduled to begin in June of 2008. However, significant rain events in late May and early June had resulted in major flooding in eastern Iowa. While most of the flooding was south of the monument, the Corps of Engineers was holding as much water as possible in the upper pools on the Mississippi River to help alleviate flooding downstream. This resulted in water levels that backed the Mississippi River up into the creek on the south side of the Sny Magill mound group and blocked access to the site. I was able to visit the site by boat on June 18th and documented water levels up to the edge of the mounds on the extreme southern end of the site. This was a valuable visit as I had never been to the site during a major flood event and I was able to observe which site areas are most susceptible to flooding. I was also able to observe the impact of the high water levels on the bank areas that were scheduled for stabilization.

On June 17th I met Jim Lindsay and volunteer Dave Wolf at the FTD site (13AM210) to continue shovel testing along the terrace between the railroad and the Visitor's Center. The goal of this project was to assess the presence of cultural deposits along this terrace

and their relation to the FTD site, which was previously believed to occupy only the area east of the railroad track. It is believed the site extends along this terrace remnant to the edge of the mound group which occupies the upper terrace where site 13AM82 is recorded. Before my arrival, Lindsay had begun shovel testing in an approximate 15 meter grid along the terrace and had completed 29 shovel tests. Work on the project began June 9 with geophysical investigations conducted by Steve DeVore (2008). DeVore completed investigations in two areas with grids placed over suspected mounds along the terrace in the wooded area and on the mowed area between the Visitor's Center (VC) and the pond just to the west of the railroad track. These investigations revealed two mounds in the wooded terrace, one conical and one a possible bird effigy. Both mounds have been impacted by trenches dug into the mounds. Both impacts appear to have happened some time ago. DeVore's investigations also revealed the location of two possible structural foundations and several possible mounds on the VC lawn (DeVore 2008). Due to the possible presence of human remains in terrace mound remnants, Lindsay elected not to perform shovel testing on the previously cultivated lawn area.

On June 17th we were joined by the park's Youth Conservation Corps (YCC) crew. They assisted with shovel testing and screening of the deposits. With their assistance we were able to complete additional shovel testing for a total of 38 shovel tests (Figure 1). Both historic and prehistoric artifacts were recovered from most of the shovel tests. Results of the testing and geophysical work will be reported in Lindsay's Master's Thesis.

On June 18th we met with park Resource Manager Rodney Rovang, boat operator Seth Kettler, and several YCC crew members to travel to the Red House Landing site. Although water levels were very high at the site, we were able to access the shore and conduct shovel testing along the base of the bluff on the north side of the drainage and east side of the railroad tracks. Lindsay was able to relocate two test units from excavations that were conducted at the site by John Staeck (1997) as well as several structural foundations. He recorded the features and shovel tests with GPS. A total of 8 shovel tests were completed at this site (Figure 2). Most were very shallow due to the nature of the deposits close to the bluff. A few historic artifacts were recovered. As with the FTD site, the result of these investigations will be reported later by Lindsay.

On the afternoon of June 18th I met with Rovang, Maintenance Worker Steve Schultz, and YCC crew leader Ryan Hogan to investigate a possible alternative route for the south unit access trail. The original proposed trail had been shovel tested by Stadler (2009) in 1999 and 2001. No cultural materials were found along the sloped area where the trail was slated to be created between the old county road and the bluff top. Park staff believed this access route to be too steep and proposed a trail that would continue further to the west before ascending to the bluff top. A small portion of the proposed realignment will traverse a fairly steep slope, and the remainder will follow an old logging road and emerge near the trail to the Marching Bear group (13CT26) (Figure 3). Given the nature of the topography and the previous negative results in similar terrain, I believe it is unlikely that any cultural materials will be impacted by the revised section of trail and that further testing of the new route is unnecessary. During the previous shovel testing in 2001, only 12 lithic artifacts of the native chert were recovered from the 180 shovel tests excavated, and these artifacts are believed to be either out of context or the result of testing of the native chert for lithic material for tool making. Further, no ground disturbance is anticipated with this proposed trail section. During our walk of the route, park staff examined the terrain and stated that the trail could be constructed through vegetation clearing and laying down fabric and wood chip mulch, and that no areas along the trail would need to be cut into the slope.

On June 19th we traveled to the Sny Magill Mound unit to assess flooding at the site, then returned to the Red House Landing site to GPS other exposed features. Later that afternoon I traveled to the south unit to conduct condition assessments on 4 sites.

Between June 20th and June 22nd I worked with Palmer to visit and conduct site condition assessments on an additional 17 sites in the park. We also visited and recorded two new sites, a collapsed historic bridge over Dousman creek and a lead mine near the Jefferson Davis Sawmill, both in the Heritage Addition. In all, a total of 21 sites were assessed and two new sites recorded.

I returned to MWAC on June 23rd and continue to work to complete all the documentation related to the condition assessments. I appreciate all of the assistance from park staff during our work at the park, especially the YCC crew, Rodney Rovang, and Ranger Palmer who is very familiar with all of the sites in the park and made the site assessments much easier to complete.

Anne M. Wolley Vawser
Archeologist

Cleared for distribution:

Manager, Midwest Archeological Center

Date

Cc: Superintendent, Effigy Mounds National Monument
Curator, Effigy Mounds National Monument
Archeological Information Management Team, Midwest Archeological Center
Collections Team, Midwest Archeological Center
Library, Midwest Archeological Center

References Cited

DeVore, Steve

2008 Trip Report – Geophysical Investigations at Effigy Mounds National Monument, Allamakee County, Iowa (June 8-14, 2008). On file, Midwest Archeological Center, National Park Service, Lincoln, Nebraska.

Stadler, Scott and Robert K. Nickel

2009 Archeological Investigations for the South Unit Access Project and the Little Bear Access trail, Effigy Mounds National Monument, Allamakee County, Iowa. Draft Manuscript on file, Midwest Archeological Center, National Park Service, Lincoln, Nebraska.

Staeck, John

1997 Archaeological Investigations at Red House Landing (13AM228), Allamakee County, Iowa. Draft manuscript on file, Midwest Archeological Center, Lincoln, Nebraska.

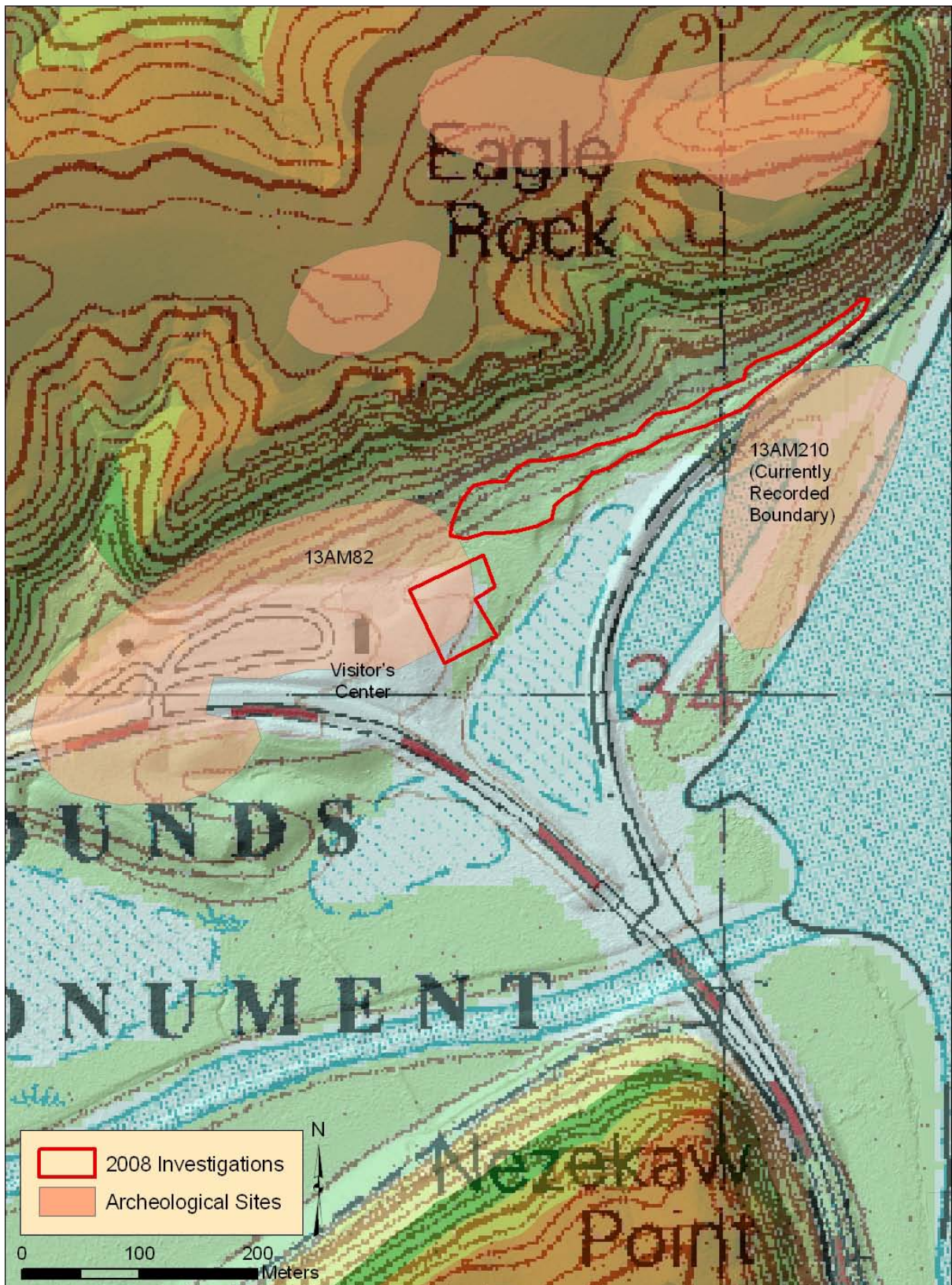


Figure 1. Areas of shovel testing and geophysical investigations conducted at the FTD site (13AM210) and site 13AM82.

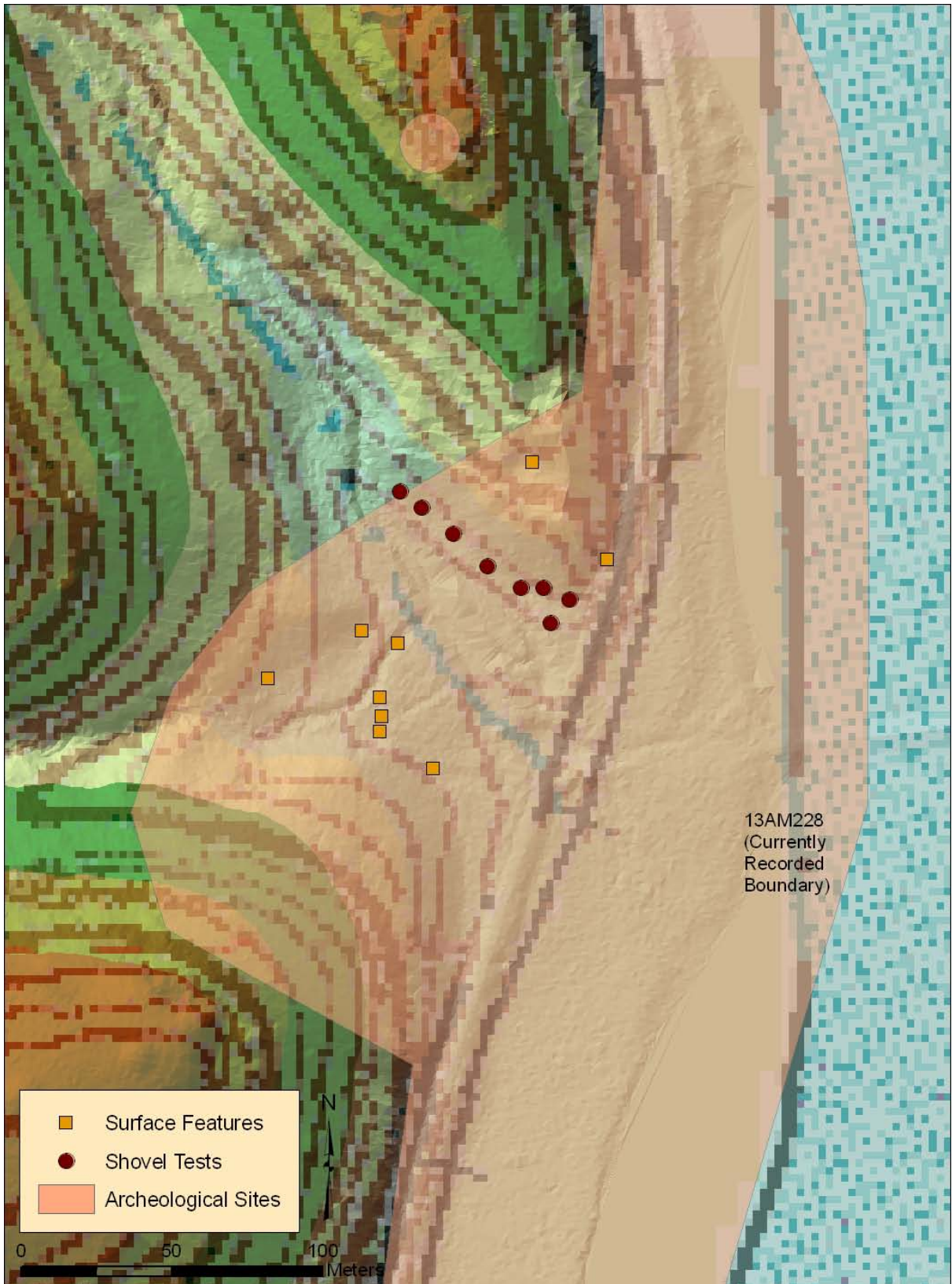


Figure 2. Shovel tests and recorded surface features at the Red House Landing (13AM228).

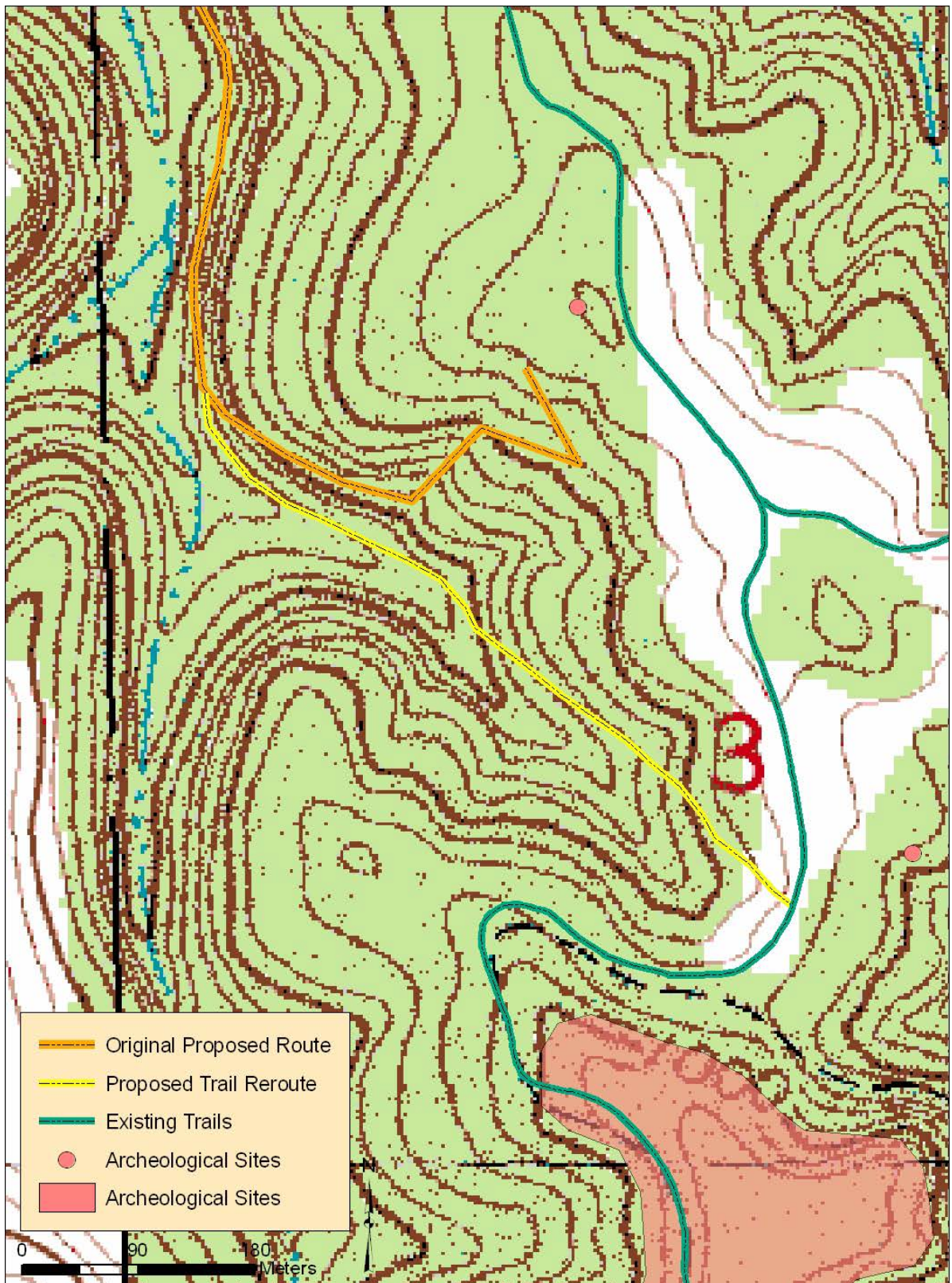


Figure 3. Proposed south unit access trail realignment investigated in 2008 and original proposed trail investigated by Stadler (2009).



IN REPLY REFER TO:

United States Department of the Interior

National Park Service

Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873

December 1, 2009

H2623(MWAC)

Memorandum

To: Regional Director, Midwest Region

From: Manager, Midwest Archeological Center

Subject: Trip Report, Effigy Mounds NM, November 16-18, 2009

Archeologist Anne Vawser, Regional Historian Ron Cockrell and I travelled to Effigy Mounds to participate in a consultation meeting with representatives from Tribal governments affiliated with Effigy Mounds. The meeting was scheduled to begin at 10 am on November 17, but was delayed due to the late arrival of some participants.

After introductions and an invocation, Superintendent Ewing began the meeting by noting that the meeting was requested to conduct consultation on two projects: a boardwalk built to the Lewis Mound Group, and the north unit maintenance area. The brief introduction made no mention about the Service's concern that these projects were implemented without Section 106 compliance or adequate archeological study.

Ron Cockrell then presented background on the Operations Evaluation and findings that the boardwalk and maintenance storage building construction had been implemented without adequate agency review, Section 106 compliance, and tribal consultation. Ron reported that the Operations Evaluation found that the cultural resource management program at Effigy Mounds is broken and has not operated within the 2008 Programmatic Agreement with the Advisory Council on Historic Preservation.

Prior to leading the group on a tour of the boardwalk, Superintendent Ewing provided background on the project and the maintenance storage building. Her comments about the boardwalks emphasized that they were for safety, accessibility and visitor convenience (with reference to the "graying of America"). Members of the SHPO group asked Superintendent Ewing how the concrete footings were built, and she noted that holes were bored 4 ft. deep and then concrete poured for the footings. The Superintendent also answered a question about what artifacts might have been found, noting that Tom Sinclair had monitored the work and had found nothing (Mr. Sinclair did not attend the meeting, and we do not have a report about monitoring the installation of concrete footings). Several tribal representatives questioned why a boardwalk to these mounds was needed and asked whether other routes were considered. Superintendent Ewing pointed out the excellent view of the valley and plans to add viewing platforms to

the boardwalk. One of the tribal representatives said they did not need viewing platforms for their ancient cemeteries.

After lunch, I told the group that NPS policy requires that projects like the boardwalk and the maintenance area must be evaluated to consider their impact on archeological resources, and that the State Historic Preservation Officer and tribal representatives must have an opportunity to comment on these types of plans. I noted that this has not happened at Effigy Mounds, and that the current meeting was an effort by the Service to begin a process of productive consultation. I then presented an outline of our plan to conduct an archeological assessment of the Nazekaw terrace area of the park. Tribal representative did not object to the plan for geophysical surveys, but several expressed concern about soil coring and archeological testing.

Iowa SHPO Jerome Thompson said he felt archeology needed to be a central component of long-range planning for the park and not simply a response to individual developments. SHPO Archeologist Doug Jones observed that by failing to consult on these projects, NPS is responsible for foreclosure of comments and should inform the Advisory Council on Historic Preservation of the situation. SHPO Archeologist Dan Higginbottom said that regardless of the impacts of the boardwalks to archeological resources, the boardwalks are an intrusion on the cultural landscape and represent an adverse affect.

During the tour of the Lewis Mound Group, SHPO staff members informed Ron Cockrell that until Effigy Mounds can demonstrate adherence to the National Historic Preservation Act, it cannot enjoy streamlined review as provided by the 2008 Programmatic Agreement. This means that the Park must consult with the SHPO and affiliated tribes on every undertaking performed within Park boundaries until further notice.

Tribal representatives were fairly angry about the boardwalks and one even asked why ancient cemeteries should be treated as places to walk your dog. A tribal representative who participated in some GMP sessions said they did not like the boardwalks but they had been told that NPS considered them necessary. Several tribal representatives felt that damage has been done and their views would not be considered.

I said that not everyone in the Service feels the boardwalks are necessary or appropriate. I told them that the purpose of the consultation was to get their opinions and I assured them that Regional Director Quintana would take their advice into consideration. I told the group that if they don't want boardwalks, they need to say that, because the Park is considering construction of boardwalks at several other mound groups.

A tribal representative asked the Superintendent how long she had been in her position and she replied nine years. He then expressed anger that in that time the Park had been planning facilities and trails around the mounds and had never bothered to consult with them. The Superintendent then took responsibility for the failure to consult and told the group that she had let them down. She said it was never her intention to be disrespectful to the ancestors buried in the mounds.

A number of tribal representative said they had to leave about this time and an effort was made to establish a time for another consultation meeting. I suggested we meet in late May and we could share some of the results of our geophysical studies. Several tribal representatives asked that we provide them with a more detailed briefing before the next meeting to permit them to better prepare for discussion. The people remaining at the

meeting then took vehicles to the North Unit maintenance area, where the temporary storage super-structure, vehicles, equipment and building materials have all been removed as directed by the Regional Director. As directed, the more permanent base of the storage structure remains.

I recommend that we contact the tribal representative prior to beginning our geophysical survey. We should invite them to observe and even participate in the geophysical study if they choose. I also recommend that if possible the Regional Director should attend the next consultation meeting. Tribal representatives need to be assured that their opinions and ideas will be considered.

"This trip report is intended to provide information to assist with the development of XXX and/or Section 106 compliance documents, and is not a substitute for required Park compliance documents. Please contact Supervisory Archeologist Jeffrey Richner or Center Manager Mark Lynott if you questions about the relationship of this report to Section 106 compliance submissions."

Mark Lynott
Manager

Cc: Superintendent, EFMO
ARD Cultural Resources, MWRO



United States Department of the Interior

NATIONAL PARK SERVICE

MIDWEST REGION

Midwest Archeological Center

Federal Building, Room 474

100 Centennial Mall North

Lincoln, Nebraska 68508-3873



IN REPLY REFER TO: H26 (EFMO)

May 4, 2010

Memorandum

To: Manager, Midwest Archeological Center (MWAC), National Park Service (NPS)

From: Archeologist, Archeological Assistance and Partnership Program

Subject: Trip Report – Geophysical Survey of the Nazekaw Terrace (Site 13AM82) and Site 13AM189 along the Hanging Rock Trail, Allamakee County, Iowa (April 5-23, 2010)

LIBRARY COPY
NATIONAL PARK SERVICE
MIDWEST ARCHEOLOGICAL CENTER

Andrew “Drew” LaBounty, Laura McClatchey, Melissa “Missy” Baier, and I left Lincoln on Monday morning, April, 5, 2010, for Effigy Mounds National Monument in northeastern Iowa to conduct a geophysical survey of Site 13AM82 on the Nazekaw Terrace and Site 13AM189 in the meadow area north of the Visitors Center along the Hanging Rock Trail (Figure 1). I had the Chevy Suburban; Drew and Laura were in the Chevy Uplander minivan; and Missy brought her own vehicle. We drove over to Anne Vawser’s house to pick her up. We left Anne’s residence midmorning and drove to Marquette, Iowa, arriving in Marquette in the late afternoon. We met Randi Kluesner, the owner of the cabin that Anne had rented for the project, at the gas station in town. We then drove to the rental house on the northwest side of the park. We unloaded the equipment at the rental house and placed the magnetometers, gps units, cameras, and computers on the chargers overnight. We also met Randi’s husband, Mike, at the cabin.

On Tuesday, April 6, we met with the park superintendent, Phyllis Ewing, and her staff. Thomas Sinclair, the facility manager had a park crew ready to help clear the brush, saplings, and deadfall from the project area on the Nazekaw Terrace south of the highway. We also met Patt Murphy, a tribal monitor from the Iowa Tribe of Kansas and Nebraska, and Richard Ross, a tribal monitor from the Upper Sioux Indian Community of Minnesota, at the start of the day. We went across State Highway 76 with Tom and his park crew to provide them with the types of vegetation and deadfall we needed to have cleared from the project areas. The park crew worked on clearing the area during the remainder of the day. The rest of us began establishing the geophysical grid on the north side of the highway around the Visitors Center and parking lot, park housing, and maintenance facility. We started the grid by setting up a mapping station at the inside corner (east side) of the entrance road to the Visitors Center next to the park sign (Figure2). After selecting the initial corner point for the geophysical grid, we established an east-west base line along the edge of the road ditch. The geophysical grid is oriented 5 degrees west of magnetic north. We placed wooden hub stakes at twenty meter intervals along the base line. After laying

out a hundred meter line with the surveying compass and 100-m tape, we turned 90 degrees and established a north-south base line. It measured 60 meters to the north of the initial mapping station near to the upland drainage at the base of the steep ridge slope. From there, we extended the east-west base line an additional 60 meters to the west of the mapping station. We then filled in the geophysical grid corners across the Nazekaw Terrace on the north side of State Highway 76. We added an additional 160 meters for a total length of 320 meters. We also added an additional twenty meters to the northeast corner of the geophysical project on the north side of the highway. Near the boardwalk from the Visitors Center across the highway, we also extended a portion of the grid approximately 40 meters to the south to catch a portion of the terrace along the north side of the highway. It showered during much of the day, especially in the afternoon. At the end of the day, we shot a point to the south side of the highway. The point was in line with the west side of the geophysical grid around the Visitors Center. The distance from the southwest corner stake on the north side of the highway to the stake on the south side of the highway measured 46.7 meters. While we were setting out the grid unit corners, Missy collected gps readings on the grid unit corner stakes. The geophysical project area on the north side of the highway consisted of 54 complete and partial grid units, which measured approximately 19,600 m² or 4.84 acres.

On Wednesday, April 7, we began the day by readjusting the grid point on the south side of the highway back 6.7 meters to the north to put the geophysical grid on the south side of the highway into the same coordinate system used on the north side of the highway by the Visitors Center and maintenance area. We then began laying out the grid units on the south side of the highway. By the middle of the afternoon, we had established 23 grid units on the south part of the geophysical grid on the Nazekaw Terrace. The geophysical project area on the south side of the highway measured approximately 8,800 m² or 2.77 acres. During the afternoon, Jamie Grey, a reporter from KWWL Channel 7 TV, was out to interview the crew and tape video for the evening news broadcast on Thursday. We started the magnetic survey with the single fluxgate gradiometer in the northwest corner of the southern part of the geophysical project area. I used N80/E60 as the magnetic reference point to balance the instrument and to align the sensors. While I balance the instrument, the rest of the crew placed the survey ropes on the grid units on the west side of the graveled entrance road off of the highway. They also started the sketch map of the surface cultural and natural features within the geophysical grid units. The magnetic survey was designed to collect eight samples per meter along one meter traverses in a zigzag mode of collection. By the end of the day, we have collected the magnetic data on three grid units. I transferred the magnetic data from the gradiometer to the field laptop computer back at the house. I then processed the data by applying the zero mean traverse, interpolation and low pass filter routines to the data set. I also printed out copies of the data for tomorrow to show Patt and Richard, as well as to have a copy that we could check the magnetic anomaly locations in the field.

We finished laying out the geophysical grid units on the south side of the highway during the Thursday morning, April 8, where the park maintenance crew had cleared the brush off a couple of areas of the remnant terrace along the south side of the highway across the drainage from the main part of the southern geophysical project area. We also added to the northern portion of the geophysical grid next to the boardwalk the crosses under the highway to the Yellow River area

on the south side of the highway. The maintenance crew worked on clearing the additional portions of the north and south grid units that we added. Missy collected the gps readings on the grid stakes that we laid out today. We then continued the magnetic survey on the south side of the highway where we stopped yesterday afternoon. By the end of the day, we had completed the magnetic survey on an additional nine grid units. The gps and magnetic data were downloaded onto a field laptop computer back at the cabin. The magnetic data were processed and printouts were generated to field check.

On Friday, April 9, we continued the magnetic survey on the south side of the highway. During the day, Anne and Missy worked on the archeological survey of the park boundary. Patt was in a meeting during the morning but did come out in the afternoon to help move survey ropes. Richard left mid-morning to return home to Minnesota. Patt also left for the weekend. We completed the magnetic survey on 16 grid units by the end of the day bringing the total to 28 complete and partial grid units surveyed with the fluxgate gradiometer on the south side of the highway (Figure 3). After we finished the magnetic survey on the south side of the highway, we collected the survey ropes and moved over to the project area on the north side of the highway next to the Visitors Center. We laid out the survey ropes on five grid units on the east side of the Visitors Center on the north side of the geophysical project area for Monday morning. Trudy Balcom, a reporter with the *Prairie du Chien Courier Press* and the *McGregor North Iowa Times* stopped by this morning to see what we are doing. She also brought a couple copies of the *North Iowa Times* newspaper from April 7 which had the full article on the trail project at the park. She had to leave but came back in the afternoon. She interviewed the crew and took photographs for an article on the archeological/geophysical project.

We had Saturday (April 10) and Sunday (April 11) off.

Patt and Richard were back Monday morning, April 12, to continue their monitoring of the geophysical project. Anne and Missy started the day working on their boundary survey efforts. Drew and Laura took several photographs of the general project areas at 13AM82 while I got the fluxgate gradiometer ready to start the magnetic survey. I found that I had forgotten the compass to setup the magnetic reference point to balance the gradiometer and to align the sensors. I managed to borrow one from the park staff. I used the grid point at N140/E160 as the magnetic reference point to balance and align the fluxgate gradiometer. Drew, Laura, and I continued the magnetic survey on the north side of the highway next to the Visitors Center with Patt and Richard's assistance. Missy and Anne were back from their boundary survey late in the morning. Anne then left for the SAA conference in St. Louis, Missouri. She also brought a compass from the cabin as she was leaving. It rained most of the day making the working conditions difficult; however, we completed 27 grid units by the end of the day. I downloaded and processed the magnetic data at the cabin.

On Tuesday, April 13, we continued the magnetic survey on the north side of the highway next to the Visitors Center (Figure 4). We also laid out a partial grid next to the maintenance facility in order to catch more of the apparent mound feature I noted in the adjacent grid unit during yesterday's magnetic survey. In addition to using the FM256 fluxgate gradiometer, we also used the FM36 fluxgate gradiometer in order for Drew to become familiar with it for his survey at

APIS latter in the summer. I showed Drew how to attach the sample trigger and how it works with the gradiometer. We also went through the steps on how to balance and align it. He used the instrument to collect magnetic data in ten grid units. In his first two grids, he started the data collection in the lower right hand corner of grids 56g and 57g. The data in these two grids are reversed along the traverse direction but correct along the sampling direction. We also went through the downloading steps on the field laptop computer at the park. In addition to the magnetic data collected on ten grids with the FM36, we also collected magnetic data on 17 grid units with the FM256 for a total of 27 grids during the day. This brought the total number of grids surveyed during the magnetic survey to 82 grid units for the Nazekaw Terrace Site. During the evening at the cabin, Drew downloaded the data from the FM256 and the remaining magnetic data in the FM36. After downloading the data from the instruments and checking to make sure the data was corrected downloaded, I showed Drew how to correct the direction errors in grid units 56g and 57g. We then processed the entire magnetic data set from the site. I took Drew through the magnetic data processing steps in Geoplot and Surfer. After he completed the processing and graphic enhancements, he printed a copy of the data for use tomorrow in the field.

We started the resistance survey with the resistance meter and twin probe array on the south side of the highway on Wednesday, April 14. We first surveyed the area on the terrace remnant on the east side of the southern geophysical project road next to the highway. After testing the area, the resistance meter's gain was set to 10x and the current was set to 1 mA. The resistance data were collected at two samples per meter along one-meter traverses. The remote probes were set 15 meters south of the nearest point on the three grid units. The mobile probes were set 0.5 meters apart giving a depth penetration of 0.5 meters. After finishing the first three grid units, we moved to the second terrace remnant along the highway. We placed the remote probes 15 meter east of the northeast corner of the two grid units. As we were collecting the data on the second grid area, the resistance meter stopped making the warble sound indicating that the meter had stored the data. We changed to a second resistance meter and redid the entire second geophysical grid area. The meter will need to be sent to Geoscan Research for repairs once we return to MWAC. During the later morning, Orlen Love, a reporter with the *Cedar Rapids Gazette* was out to interview us for the paper. We then moved to the southeast side of the southern geophysical project area next to the boardwalk construction area. The remotes were placed 15 meters south of the nearest grid unit. After completing the first two grid units in the southeast corner of the southern geophysical project area, we were required to move the remote probes. I had Drew conduct the move and recalibrate the remote probe ohm values at the new station. The reference ohm reading was 20.0 ohms. We completed 7 grid units by the end of the day. I had Drew download and process the resistance data in the evening at the cabin.

We continued the resistance survey on Thursday, April 15, on the southern geophysical project area where we stopped yesterday afternoon. Jim Farnsworth and Kendall Techau from the park's maintenance staff were present this morning to learn how the resistance survey works since they will be assisting me when the rest of the MWAC crew leaves today for the SAA meeting in St. Louis, Missouri. After collecting the resistance data in the first two grid units in the morning, we moved the remote probes for the second time; however, I swapped the 50-meter cable that we were using for the 100-meter cable that I generally use. The resistance reading at the calibration station with the 50-meter cable was 20.1. When we swapped the cables, the remote calibration

value was 71.9 ohms. We tried to get the calibration number down to the correct reading but we were unable to do so even after using the long leads and moving the probes to both sides of the project area. We reset the probes near the park access road 15 meters to the west of the nearest grid point in the southwest corner of the southern project area. The calibration number was 68.4 ohms. In order to edge match the two sets of grid areas with the two different readings, I decided to subtract the second calibration reading from the first one leveling the resistance values throughout the project area. We then continued the resistance survey. Drew, Missy, and Laura left for the SAA meeting at noon. Patt, Richard, Jim, Kendall, and I continued the resistance survey after the MWAC crew left. By the end of the day, we completed a total of 11 grid units. I downloaded the resistance data, made the necessary corrections to the data, and processed it at the cabin in the evening.

On Friday, April 16, I arrived at the project area a little early to set up the resistance meter and to see if the long leads could be used in place of the short leads connecting the remote probes to the 100-meter cable. Both sets of leads gave the same ohm reading at the reference point. I used the long leads so we would not have to reset the remote probes during the remaining resistance survey session. We collected the remaining ten grid units on the south side of the highway during the day bringing the total of resistance grid units surveyed to 28 (Figure 5). We collected the survey ropes and tent pegs from the project area at the end of the day. Trudy Balcom, the reporter from the *North Iowa Times*, was out again this morning to continue her articles on the archeological fieldwork. I downloaded the resistance data, made the necessary corrections to the data, and processed it at the cabin in the evening.

We had Saturday (April 17) and Sunday (April 18) off. Missy, Laura, and Drew got back from St. Louis after midnight on April 18, and Anne arrived back from the conference early Sunday evening.

We began Monday, April 19, in the northern meadow geophysical project area at Site 13AM189 along the Hanging Rock Trail near the north end of the park. We met Richard and Patt in the parking lot at the Visitors Center before going up north to the project area. Blair Benson from the University of Kansas was also present this morning. She volunteered this week to assist in the project. She will also be conducting the geomorphological portion of the archeological investigations. The project area is located around the park's maintenance shed platform near the two linear mounds along the trail to Hanging Rock. We placed the initial mapping station on the northeast side of the northern linear mound and then laid out the north-south baseline on the east side of the linear mounds (Figure 6). The baseline extended 100 meters to the south. The grid is oriented 17 degrees west of magnetic north. After we established the north-south baseline, we placed the east-west line perpendicular to the north-south baseline to the west. We initially laid out twenty-five grid units encompassing the maintenance shed platform area and the linear mounds within the boundary of Site 13AM189. We then expanded the geophysical grid to the north to include all of Site 13AM189. As we set out the geophysical grid units, Blair took the GPS reading of the grid unit corner stakes. By the end of the day, we had established 51 grid units. The geophysical project area on the north side of the highway measured approximately 20,900 m² or 5.09 acres. We also placed the survey ropes on the first five grid units for Tuesday's magnetic survey efforts.

We conducted the magnetic survey at Site 13AM189 with the two single fluxgate gradiometers on Tuesday, April 20. Drew and I balanced and aligned the instruments at N100/E160 on magnetic north. We conducted the magnetic survey at eight samples per meter along one-meter traverses in a zigzag collection mode. Laura, Blair, Richard, and Patt helped move the survey ropes while Laura also worked on the sketchmap for the geophysical project area at Site 13AM189. The park maintenance staff came up to mow the blackberry brambles and the poplar saplings. Drew completed the magnetic survey on 12 grid units while I completed the magnetic survey on 17 grid units for a total of 29 grid units for the day.

On Wednesday, April 21, we continued the magnetic survey at Site 13AM189. Blair left this morning. Drew instructed Laura in the balancing and aligning of the FM36 fluxgate gradiometer. He also balanced and aligned the FM256 fluxgate gradiometer before helping Laura conduct the magnetic survey on the four grid units west of the access gravel road (units 30g through 33g). I continued with the FM256 and completed the magnetic survey of 12 grid units. Drew completed an additional six grid units. Our total number of grid units for the day was 22 grid units bringing the entire number of grid units to 51 grid units for the magnetic survey of Site 13AM189 (Figure 8). I also placed orange plastic datum stakes at N100/E160 and N0/E160 on the east side of the two linear mounds. I drove the wooden stakes in the mowed lawn areas flush with the ground surface. We also pulled the stakes that were in the gravel access road. After we collected the survey ropes and downloaded the magnetic data to the field laptop computer, we went to the Visitors Center and placed the orange plastic stakes on the north and south side of the highway. On the south side of the highway, the orange datum stakes were placed at N100/E60 and N60/E60. Two datum stakes were placed on the north side of the highway at N140/E60 and N140/E160. We drove the wooden stakes in the lawn area flush with the ground surface. We also pulled the stakes in the gravel access road on the south side of the highway. Anne and Missy continued their boundary survey. They also took the Suburban in order to access the boundary areas.

On Thursday, April 22, I stayed at the cabin to work on the sketchmaps and to process and interpret the magnetic data. Richard and Patt stopped by to see what I had found. We discussed the results. Anne, Missy, Drew, and Laura went to conduct additional survey work along the park boundaries.

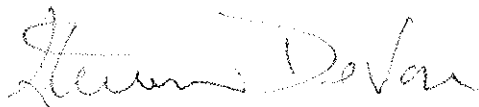
On Friday, April 23, we packed the vehicles and went to the Visitors Center to have a close out meeting with the superintendent but found she was in Iowa City for a board meeting with the Office of the State Archaeologist staff. Apparently yesterday during the boundary survey, the crew lost the black molded spoiler off the front of the Suburban. I noticed it was gone while I was packing this morning before we left the cabin. They did not notice it come off but they had driven over some branches during their boundary survey. We also went down to the Sny Magill mound group. After visiting the mound group, we left the park for the return trip to Lincoln. I dropped Anne off at her house and then continued on to Lincoln. I arrived in Lincoln in the late afternoon.

Preliminary analysis of the magnetic data while in the field indicated the presence of numerous magnetic anomalies within the geophysical project areas at the Nazekaw Terrace Site (13AM82)

and the meadow containing Site 13AM189 along the Hanging Rock Trail. These anomalies appear to be associated with metal artifacts and buried archeological features, as well as modern intrusions. The Nazekaw Terrace Site is divided between the southern portion on the south of State Highway 76 associated with the boardwalk project and the northern portion on the north side of the highway around the Visitors Center. The cement pads containing bolts and the metal brackets for the boardwalk posts are clearly visible as strong magnetic anomalies within the path in the southern part of the project area on the south side of State Highway 76 at Site 13AM82 (Figure 9). Two linear and two conical mounds are present in the survey area. A third conical mound has been cut by the construction of the gravel access road to Buffalo Pond and Yellow River. The magnetic data also suggest the locations of a number of truncated conical and linear mounds, including two possible linear mounds and six conical shaped mounds. None of the possible mound remnants appear to be within the park path and boardwalk construction area. The barbed wire fence with steel fence posts is identified as a linear magnetic anomaly. Two sections of old road beds are also identified by weak magnetic anomalies in the northeast and northwest sections of the southern geophysical project area. The northern part of the Nazekaw Terrace Site contains numerous magnetic anomalies associated with the park construction of the Visitors Center, parking lot, sidewalks, paved access roads, and other related structures (Figure 10). In addition, there are buried utility lines including gas, water, telephone, and electrical lines. In addition to these buried utility lines, there are three locations of the septic lines including two abandoned lines and one extant line. Two areas are east of the Visitors Center and one is east of the maintenance facility. These modern features have a severe impact on the more subtle prehistoric features. Two extant mounds appear to be present near the Visitors Center. Sixteen circular or oval shaped magnetic anomalies appear to represent the locations of truncated conical, linear, and effigy mounds. A resistance survey was also conducted on the southern side of State Highway 76 (Figure 11). The extant mounds are present in the resistance data as higher resistance anomalies including the conical and linear mounds. The path/boardwalk trail is identified by a weak linear resistance anomaly. The two old road beds are also present in the resistance data set. Four resistance anomalies appear to represent conical mounds and two areas appear to represent linear mounds.

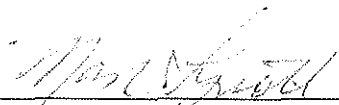
The magnetic data from Site 13AM189 also contains numerous anomalies associated with modern park activities and historic agricultural activities (Figure 12). Numerous dipole anomalies appear to represent ferrous metal objects such as bolts, nuts, and farm equipment parts. The maintenance shed platform is indicated in the magnetic data. A linear magnetic anomaly at the southern end of the geophysical project area appears to represent a fence line extending down the slope from the southern linear mound. The existing gravel road is indicated by weak linear magnetic anomalies. In addition older road beds are also visible in the data. The two linear mounds are identified by a mottled area of slightly weak and strong anomalies surrounded by a weak magnetic halo. Eleven possible conical mounds are present in the magnetic data including one at the head of the maintenance platform. A bear effigy mound is also present near the middle of the geophysical project area. One rectangular magnetic anomaly consists of alternating slightly weak and strong linear anomalies. It is uncertain what is the cause of this magnetic anomaly. Further ground truthing activities would help identify the nature of this anomaly.

Based on the geophysical investigations associated with the boardwalk construction, the construction did not impact any extant or truncated mounds in this part of the Nazekaw Terrace Site. The magnetic and resistance surveys of the southern part of the Nazekaw Terrace was successful in identifying the locations of the extant mounds, as well as providing evidence for the existence of truncated mounds within the geophysical project area. More recent impacts to the area are also indicated in the magnetic and resistance data sets. A similar statement can be made about the magnetic survey of the northern part of the terrace site. Although ground truthing of anomaly clusters will provide additional information of the cause and composition of the anomalies and to their association with park, farming, and prehistoric mound construction activities, it is not feasible to conduct formal archeological excavations to identify the nature of these possible mound anomalies. It is also recommended that the park continue the use of geophysical survey techniques to inventory other portions of the park. A resistance survey and possibly a ground penetrating radar survey should be completed for the north side of the Nazekaw Terrace next to the Visitors Center. It appears that the construction of the maintenance shed platform barely missed a low or truncated mound, which is presently located beneath the gravel access road and parking area. Future undertakings at the park should include geophysical surveys prior to any construction activities in order to establish a baseline data set of buried archeological features and materials. In the near future, the existing septic field for the Visitors Center will need replacing. Given the presence of a number of truncated mounds in the vicinity, it will be necessary for the park staff and the NPS archeologists to develop an archeological mitigation plan in consultation with the Native American tribes.



Steven L. De Vore

Cleared for distribution:



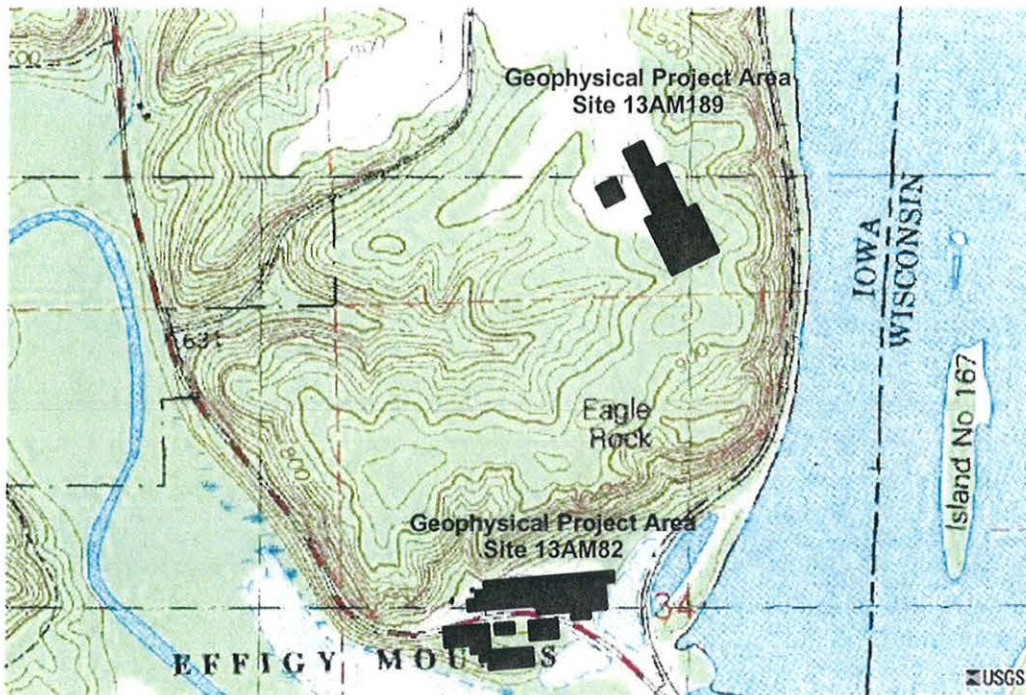
Date 5-7-10

Manager, Midwest Archeological Center

Attachments

cc: Superintendent, EFMO
MWAC Archeologist
MWAC Library
MWAC Collections Management Program

Attachments



a) 7 km NE of Prairie du Chein, Wisconsin (USGS topographic map, dated 01 July 1983)



b) 7 km NE of Prairie du Chein, Wisconsin (USGS aerial photograph, dated 17 May 1994)

Figure 1. Location of geophysical project areas at Effigy Mounds National Monument, Allamakee County.

Site 13AM82

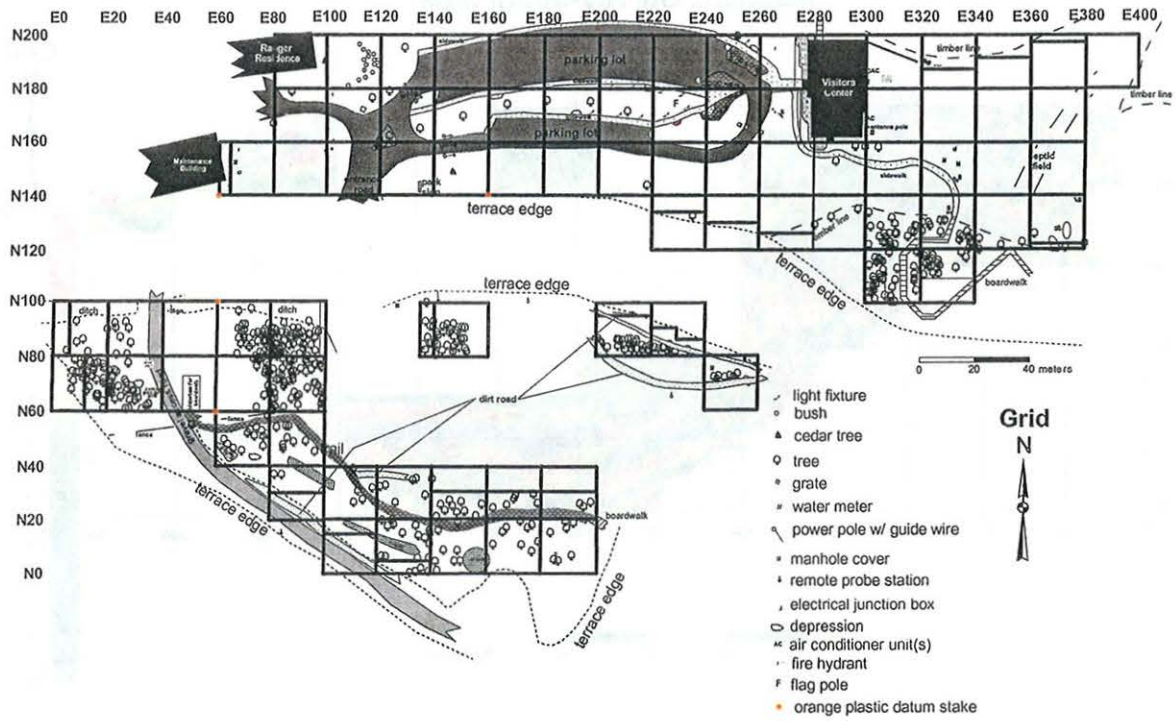


Figure 2. Sketch map of the Nazekaw Terrace (Site 13AM82) geophysical project area.

13AM82 Magnetic Survey

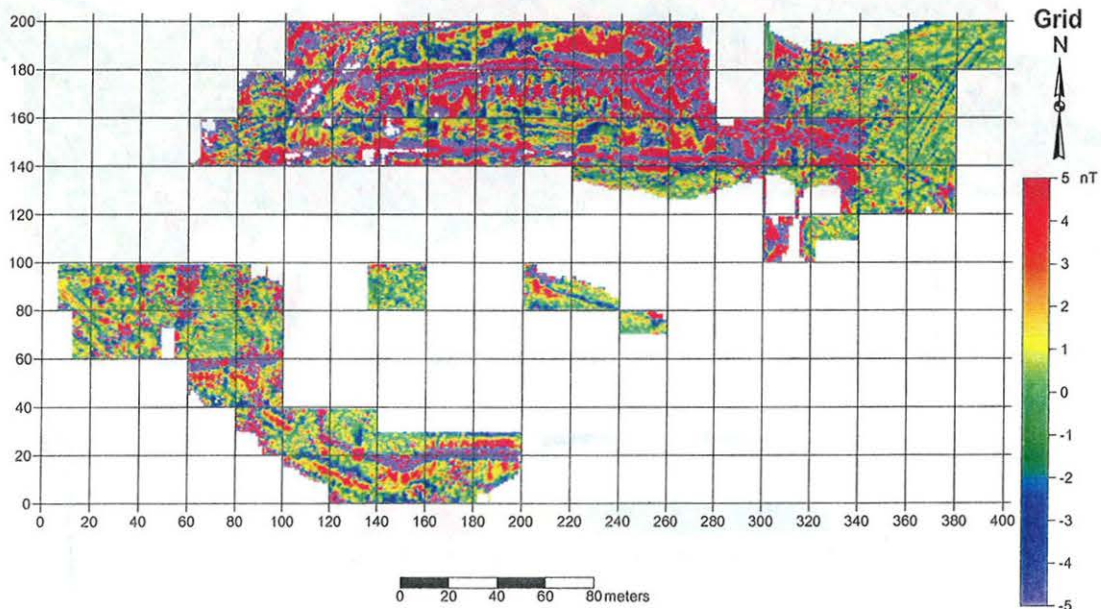


Figure 3. Magnetic data from the fluxgate gradiometer survey of the Nazekaw Terrace geophysical project area.

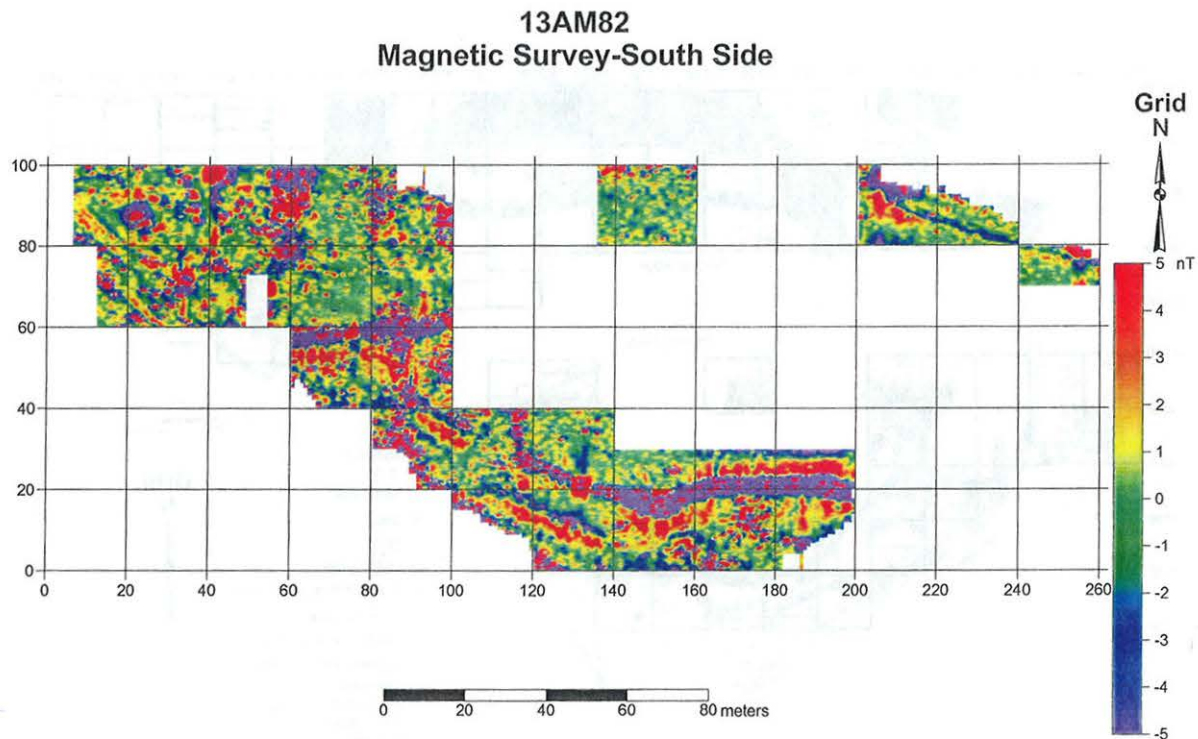


Figure 4. Magnetic data from the southern portion of the Nazekaw Terrace.

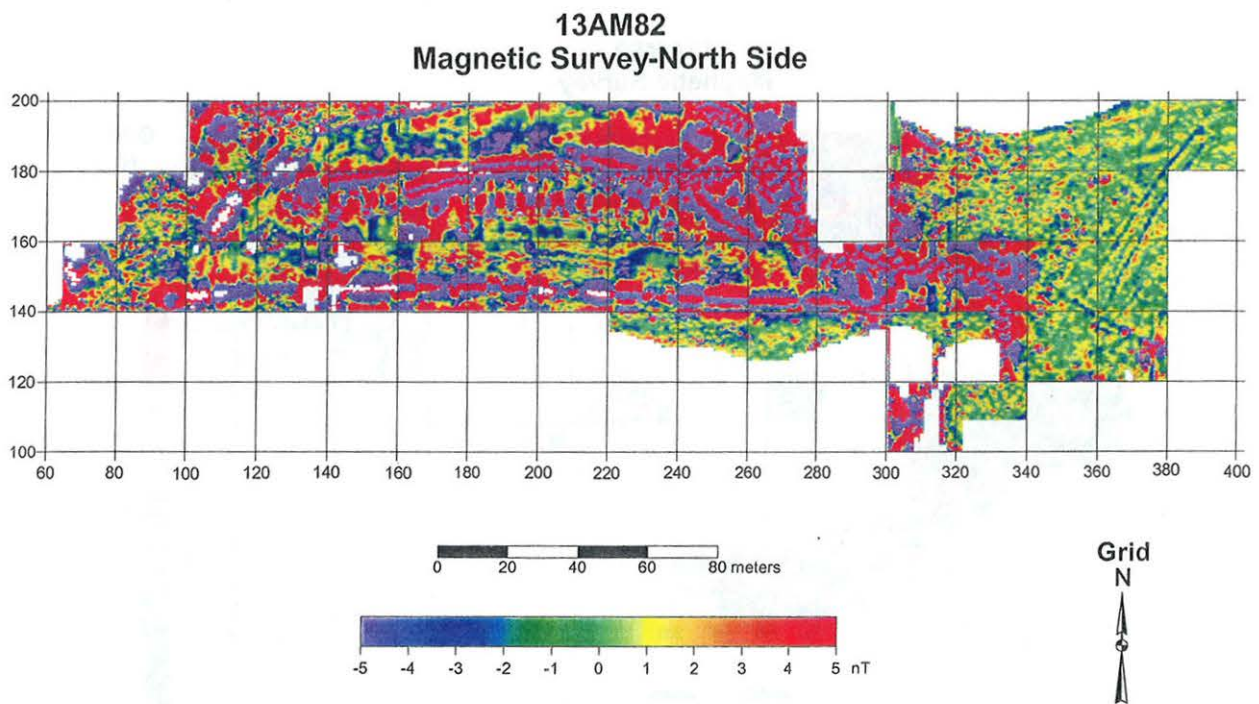


Figure 5. Magnetic data from the northern portion of the Nazekaw Terrace.

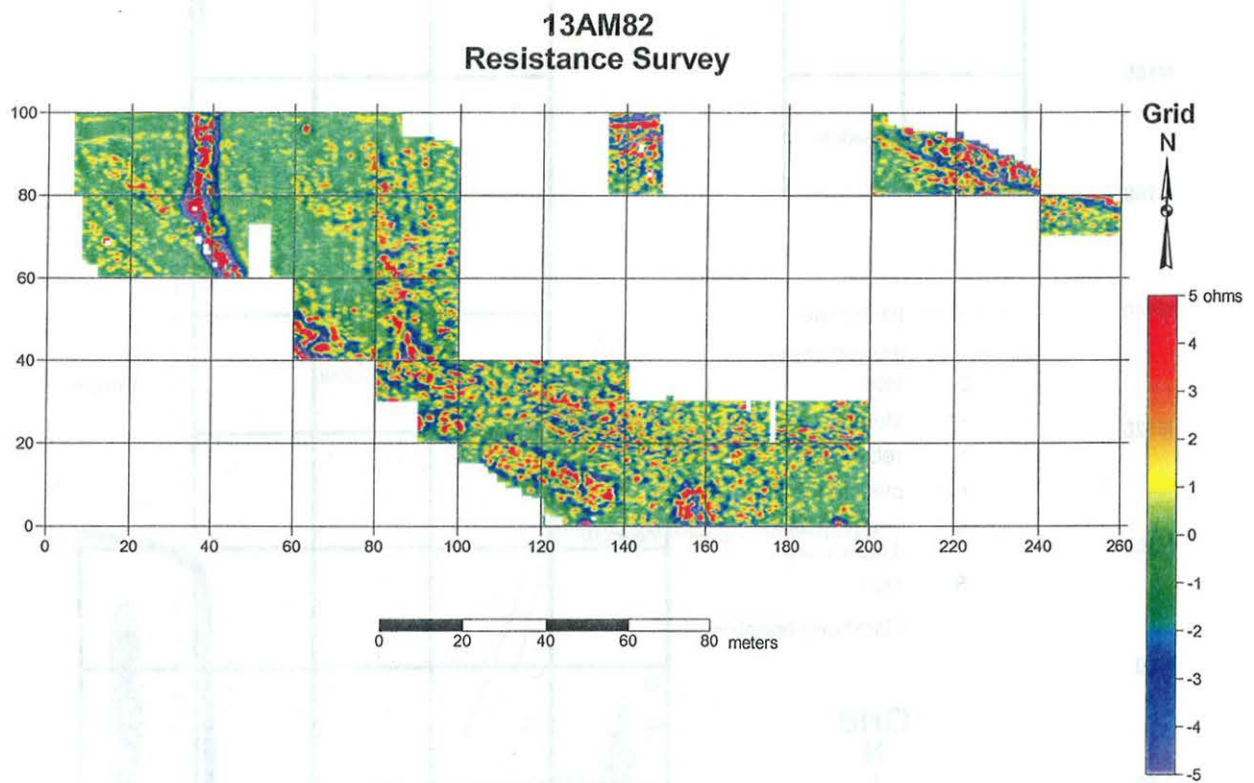


Figure 6. Resistance data from the twin probe resistance survey of the project area.

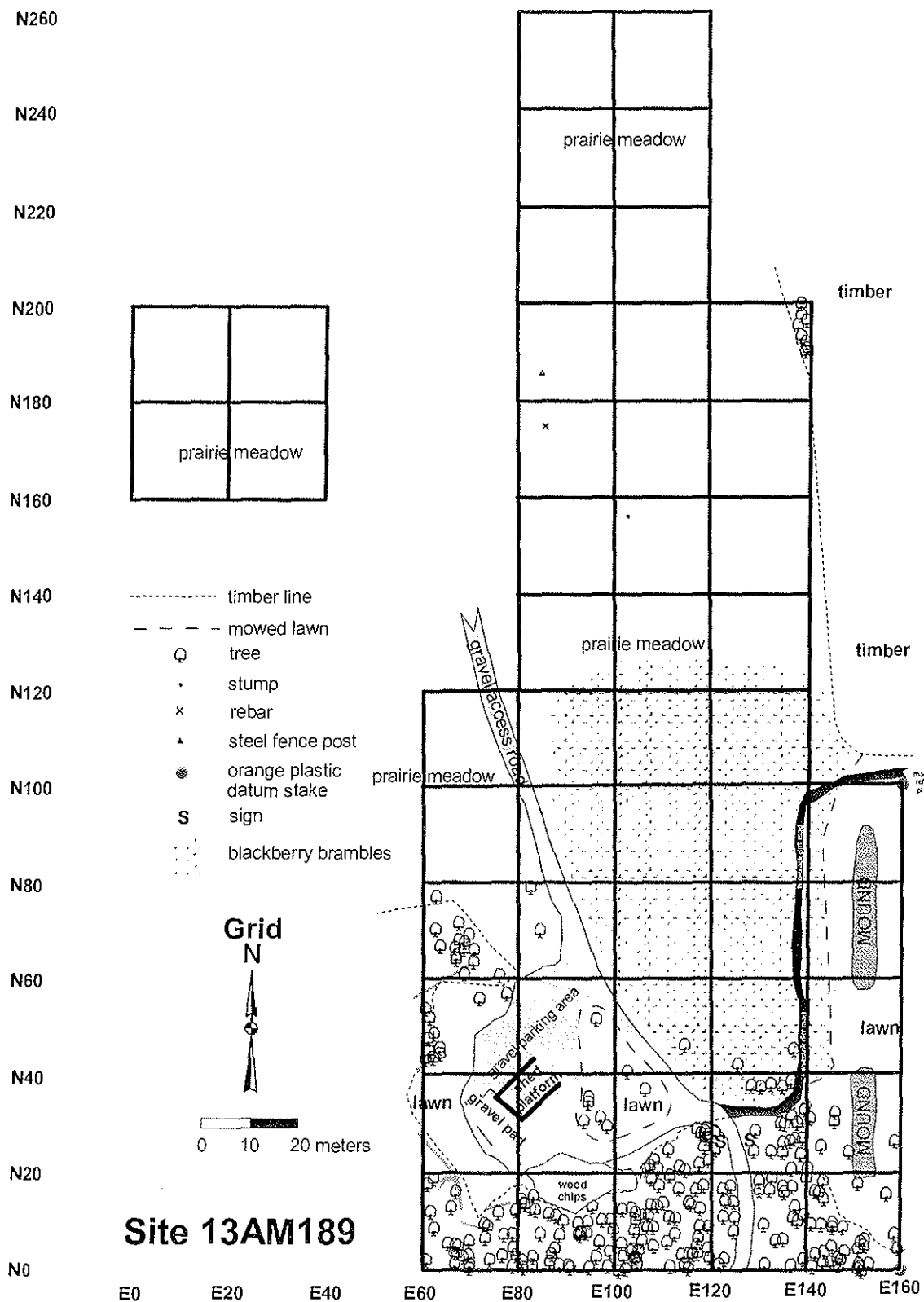


Figure 7. Magnetic data from the fluxgate gradiometer survey of the meadow (Site 13AM189) geophysical project area.

13AM189 Magnetic Survey

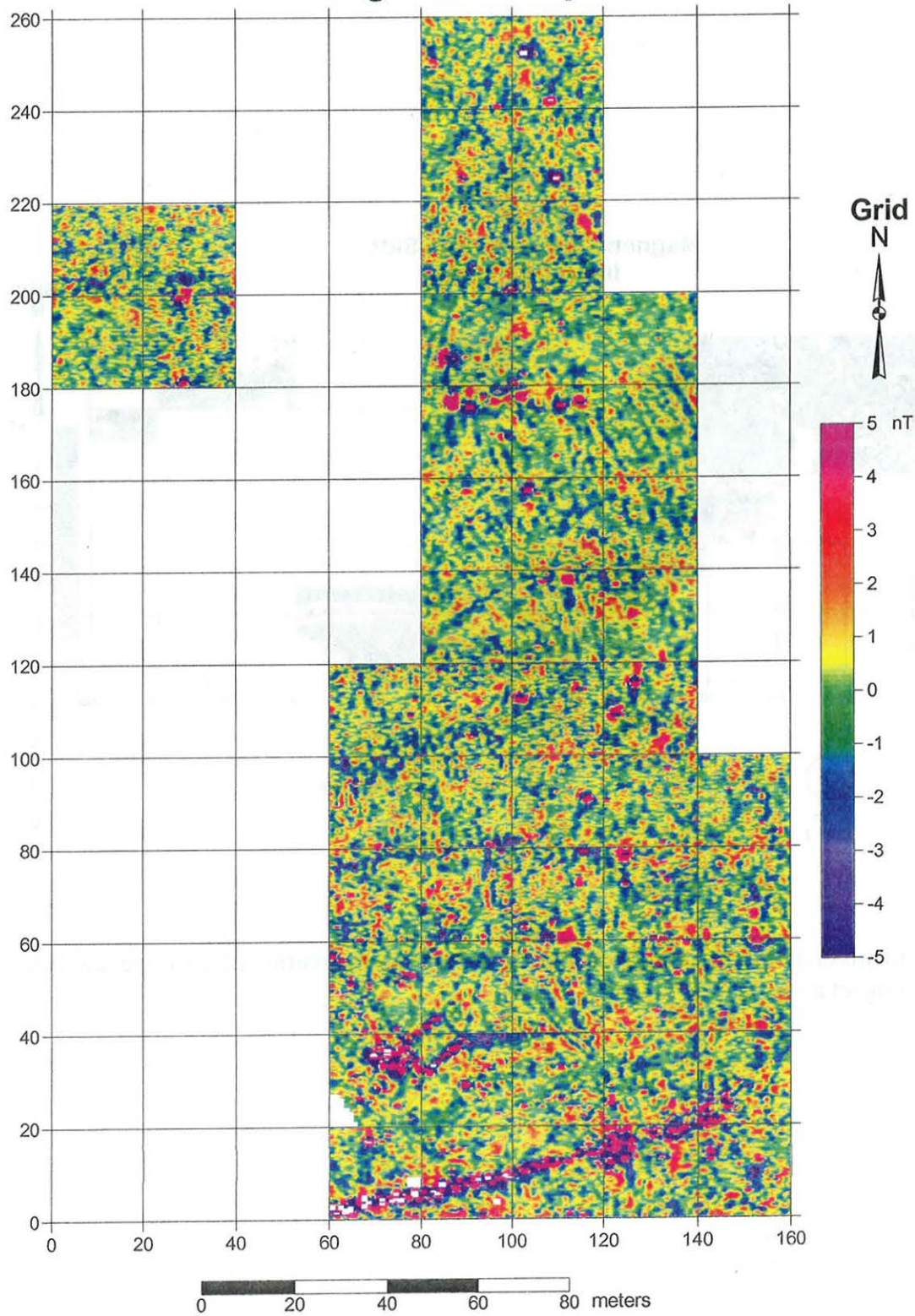


Figure 8. Magnetic data from the meadow project area.

13AM82
Magnetic Survey-South Side
Interpretations

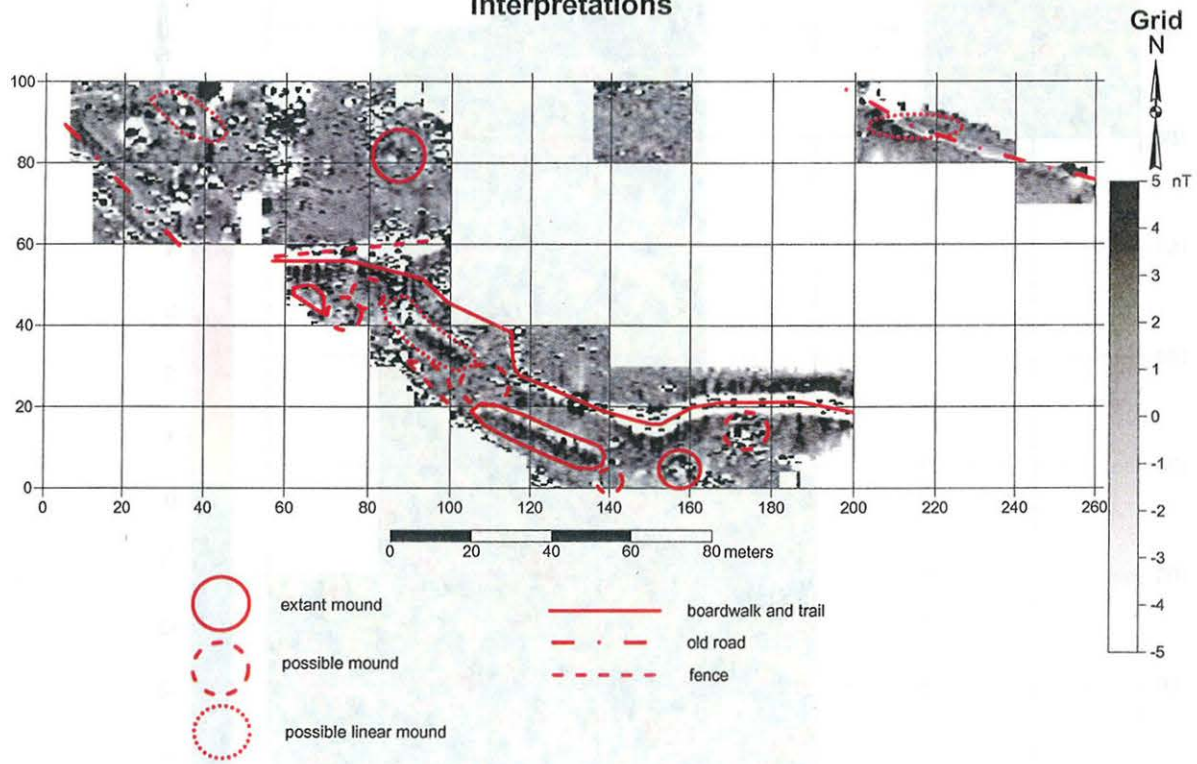


Figure 9. Interpretation of the magnetic data from the southern portion of the Nazekaw Terrace project area.

13AM82
Magnetic Survey-North Side
Interpretations

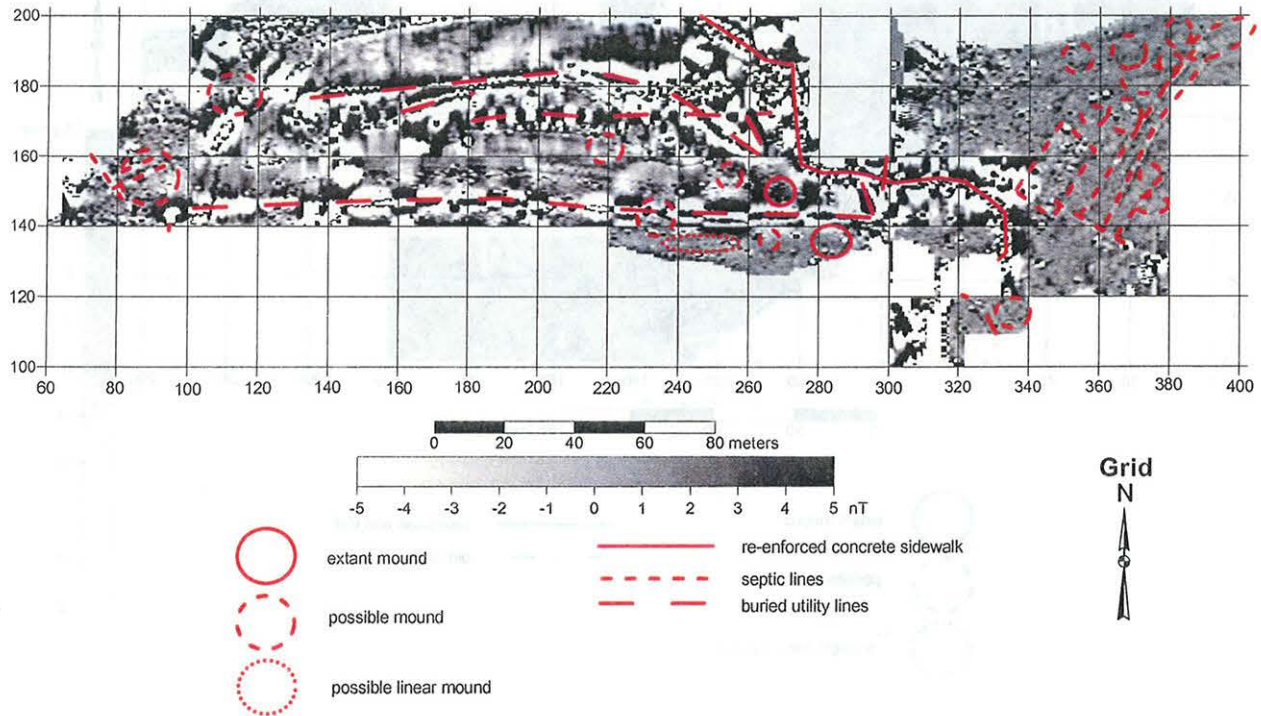


Figure 10. Interpretation of the magnetic data from the northern portion of the Nazekaw Terrace project area.

13AM82
Resistance Survey Interpretations

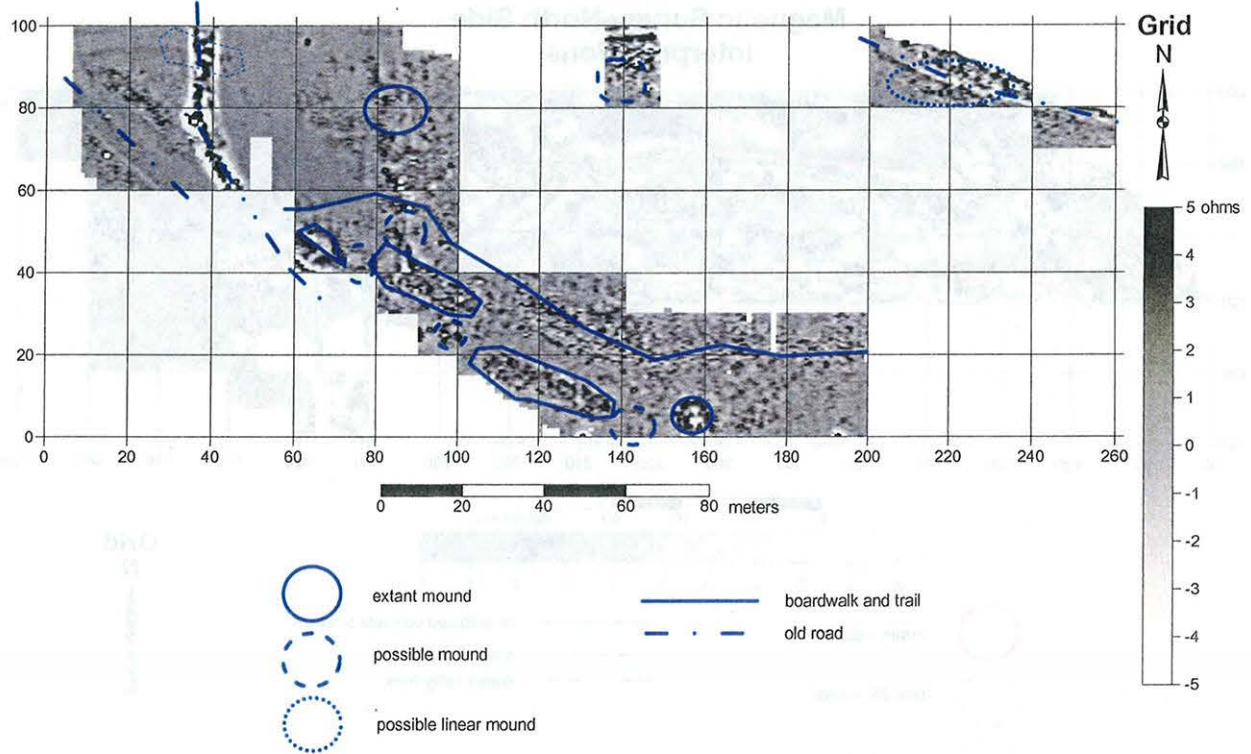


Figure 11. Interpretation of the resistance data from the southern portion of the Nazekaw Terrace project area.

13AM189 Magnetic Survey Interpretations

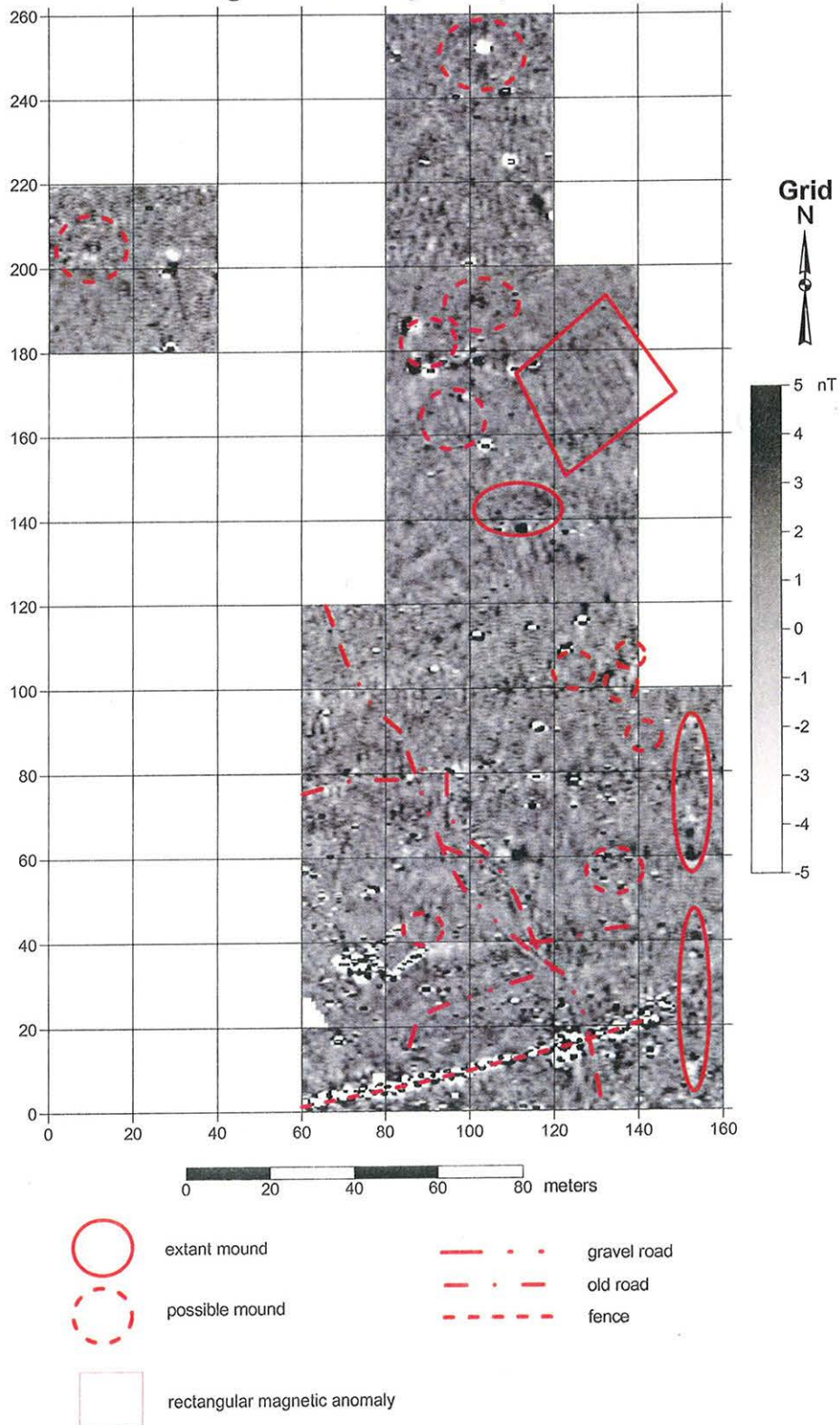


Figure 12. Interpretation of the magnetic data from the meadow project area.



United States Department of the Interior

NATIONAL PARK SERVICE

MIDWEST REGION
Midwest Archeological Center
Federal Building, Room 474
100 Centennial Mall North
Lincoln, Nebraska 68508-3873



IN REPLY REFER TO: H26 (EFMO)

LIBRARY COPY
NATIONAL PARK SERVICE
MIDWEST ARCHEOLOGICAL CENTER

May 21, 2010

Memorandum

To: Manager, Midwest Archeological Center

From: Archeologist, Midwest Archeological Center

Subject: Trip Report: Archeological Inventory of the Boundary Corridor, Effigy Mounds National Monument, April 5-23, 2010

On April 5th I traveled to Effigy Mounds National Monument (EFMO) with Archeologist Steve De Vore, Archeological Technicians Missy Baier and Andrew LaBounty, and intern Laura McClatchy. The purpose of our trip was to conduct two projects: a geophysical inventory of the Nazekaw Terrace and upper meadow, and an archeological inventory of portions of the park boundary. De Vore has already produced a trip report with preliminary results of the geophysical inventory (De Vore 2010). This trip report will describe the boundary inventory project and preliminary results. A full report of the project will be produced at a later date.

In 2009 the superintendent of EFMO indicated that the Bureau of Land Management (BLM) would be conducting a survey of the boundary of the park due to questions about the accuracy of placement of the boundary markers during previous work by a contractor in 2004. The BLM project plans called for relocating the original boundary markers and placing new carbon fiber markers every 100 yards along the boundary as necessary. Corner markers that might need to be moved would be set in concrete in a newly dug hole. Due to the possible impact to historic resources from the boundary marker and corner posts, the Iowa State Historic Preservation Office (SHPO) recommended that the NPS conduct an archeological inventory of the boundary prior to the BLM work. The park provided the Midwest Archeological Center (MWAC) with a map of the areas along the boundary where the BLM would be working, and we provided them with a proposal for a pedestrian inventory to be followed by shovel testing for any corner stakes that would be set. The location of these corner stakes will not be known until the BLM conducts the initial survey work.

The SHPO agreed that the placing of the carbon fiber stakes every 100 yards was not likely to have an adverse impact on buried archeological deposits but concurred with MWAC's assessment that the markers should not be placed on sensitive archeological features such as mounds. Therefore, a pedestrian inventory was undertaken of a corridor of approximately 30 to 60 meters wide to look for mounds, rockshelters, quarries, or rockart that should be avoided by the survey crew should the current boundary markers need to be moved. No shovel testing was undertaken for this part of the project.

Archeologist Anne Vawser and Archeological Technician Missy Baier conducted the majority of the inventory by following the current boundary markers and in some cases fence lines. One individual walked near the boundary and the other individual walked in a parallel transect approximately 15 meters away. Once the end of a section was reached the crew turned around and walked the other side of the boundary back to the starting point. This method was applied at all areas except those where the park's neighboring land owners had declined to have the archeologists inventory on their property. In addition, areas where the boundary intersected or paralleled steep bluffs were not walked but were observed from above or below to look for chert outcrops or rockshelters. Conducting the inventory in April when the vegetation was still down significantly helped in the visibility of the inventory areas. Even where we were not able to conduct the inventory on private property we were able to see the area for 15 to 30 meters on the other side of the boundary. Using this method we recorded several features on private property without actually entering the property. The inventoried areas are marked on the map in Figure 1.

The steep bluff face that forms the eastern boundary of the park along Highway 76 was inventoried by observing the bluff face from across the road and railroad track that parallel the bluff. Safety issues related to the sheer face of the bluff as well as traffic along the highway and the railroad precluded the ability to conduct pedestrian inventory of this area (Figure 2). There are, however, small shelters known to exist along this bluff. The bluff face was observed looking for any possible shelters or other features. One new shelter was discovered and examined, however, only modern graffiti was observed in the small shelter. There are very few boundary markers currently along this stretch of the boundary as there are simply no means of placing markers in the bluff face, so the threat of damage to any resources is considered to be unlikely in this area.

Eleven previously unrecorded archeological sites were documented along the boundary. These included a segment of the military road, two lithic scatters, two historic dumps, two historic structures, and four chert quarries. Two possible mounds were also recorded along the boundary. If these features are mounds they are very deflated and difficult to differentiate from the surrounding terrain. The locations of these features were recorded using the GPS and will be checked against the LiDAR data that is being gathered as a part of this project to determine if they appear to be mounds or simply naturally occurring features such as alluvial deposits. Until the probable origin of these features can be determined, they should be avoided by the boundary survey crew.

Four previously recorded archeological sites along the boundary were also revisited and assessed. Two other historic structures that are not along the boundary were also recorded, and a previously recorded rockshelter that is not on the boundary was revisited and assessed during our visit to the park. All of the site locations are shown in Figure 1.

All newly recorded sites will be documented with an Iowa State Site form and the information submitted to the state for assignment of site numbers. Site revisit forms for previously recorded sites will also be submitted. No artifacts were collected as a part of this project. All documents related to the project will be permanently archived at MWAC.

All of the sites visited are briefly described below. More details will be included in the final report. We recommend that the BLM crew conducting the boundary survey avoid these sites and not place any markers within 20 meters of the location of these sites. The location information will be provided to the BLM survey crew prior to their 2010 work in the park.

Sites on the Park Boundary – Newly Recorded Sites

(b) (3) (A)

(b) (3) (A)

Sites on the Park Boundary – Previously Recorded Sites

(b) (3) (A)

Other Sites

(b) (3) (A)

(b) (3) (A)

Given the presence of a number of previously unrecorded archeological sites within the inventoried boundary corridor, any future boundary work should include a similar inventory. For the current project, the BLM survey crew should avoid placing any rebar, posts, markers, plaques, or other temporary or permanent markers within 20 meters of the site locations described above. Similarly, no ground disturbance of any kind, such as digging to set new posts or relocate old markers, should be conducted within 20 meters of these sites.



Anne M. Wolley Vawser

Cleared for distribution:

Acting Jeffrey J. Richner Date 5/21/2010
Manager, Midwest Archeological Center

NOTE: This trip report is intended to provide information to assist with the development of XXX and/or Section 106 compliance documents, and is not a substitute for required Park compliance documents. Please contact Supervisory Archeologist Jeffrey Richner or Center Manager Mark Lynott if you have questions about the relationship of this report to Section 106 compliance submissions.

Attachments

cc: Superintendent, EFMO
Associate Regional Director, Cultural Resources, Midwest Region
Chief, Land Resources, Midwest Region
MWAC Archeologist
MWAC Library
MWAC Collections Management Program

References Cited

De Vore, Steven L.

2010 Trip Report – Geophysical Survey of the Nazekaw Terrace (Site 13AM82) and Site 13AM189 along the Hanging Rock Trail, Allamakee County, Iowa (April 5-23, 2010). On file, Midwest Archeological Center, National Park Service.

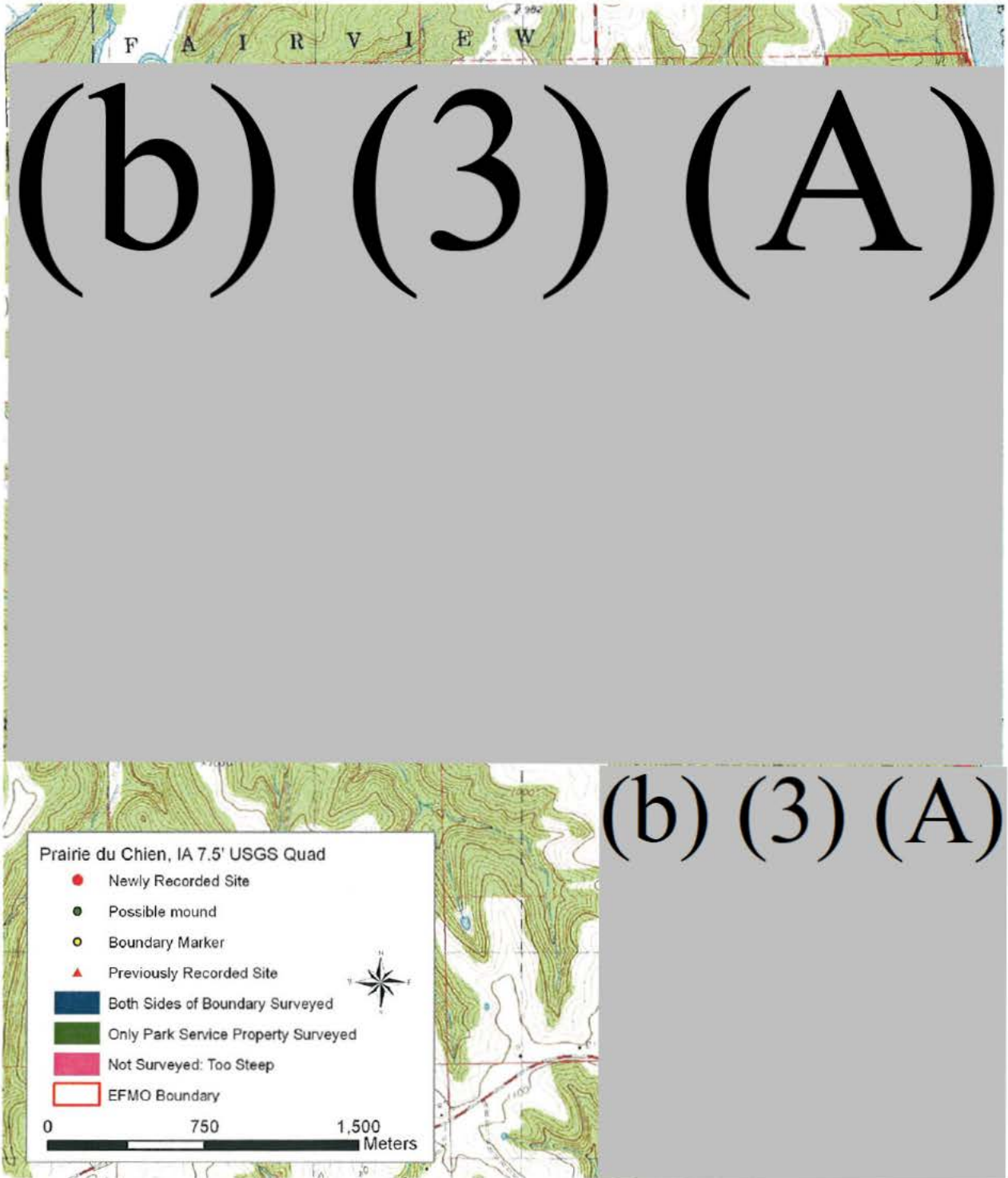


Figure 1. Boundary inventory areas and site locations at Effigy Mounds National Monument.



Figure 2. Example of area along the eastern boundary that was not inventoried due to safety hazards.

Geophysical Survey of the Nazekaw Terrace (Site 13AM82) and the Upper Meadow (Site 13AM189), Effigy Mounds National Monument, Allamakee County, Iowa: A Preliminary Summary of Results

Steven L. De Vore and Anne M. Wolley Vawser
Midwest Archeological Center
National Park Service

May 7, 2010

Introduction

At the request of the National Park Service Midwest Region Director Ernie Quintana, the Midwest Archeological Center (MWAC) has begun an inventory of the archeological resources of portions of Effigy Mounds National Monument. These investigations are focused in two areas of the park: the Nazekaw Terrace near the Lewis Mounds Boardwalk, park Visitor's Center, and main Maintenance shop; and the upper meadow where a satellite maintenance structure had been placed (Figure 1). The purpose of this investigation is to arrive at a more complete understanding of the presence and preservation of prehistoric mounds and other archeological representations of prehistoric habitation and use of these areas. Previous archeological investigations have been limited to small areas of Nazekaw Terrace and limited areas of the upper meadow. These prior limited investigations did not provide sufficient information about the preservation of archeological features for the park to adequately manage their facilities while also protecting the park's Indian heritage. Also, recent investigations on the terrace revealed that portions of some mounds may have survived the years of impact to the terrace from early agriculture through 60 years of park development. It is the goal of this project to determine what areas of both the Nazekaw Terrace and the upper meadow have been disturbed to the extent that no archeological features are likely to remain, and what areas may have mounds or other intact archeological features that can be protected and preserved.

Following a consultation with the tribes concerning this project on November 17th, 2009 where a few limited concerns regarding non-invasive geophysical investigations were expressed, MWAC began plans to conduct that portion of the project in the spring of 2010. In March of 2010 a letter was sent to all of the park's tribal contacts inviting participation in the project with tribal monitors, visitors, or crew members. During three weeks in April of 2010, a crew from the Midwest Archeological Center, along with two tribal monitors, conducted geophysical investigations on the Nazekaw Terrace and the upper meadow. The tribal monitors include Mr. Patt Murphy of the Iowa Tribe of Kansas and Nebraska and Mr. Richard Ross of the Upper Sioux Indian Community of Minnesota. The MWAC crew appreciates both Mr. Murphy's and Mr. Ross' participation and that they were able to be with us for all but a few days of the project.

Methods

Geophysical grids (20 m grids laid out with corner stakes and ropes) were developed for the area around the visitor's center, parking area, maintenance shops, and housing on the north side of Highway 76 in the north unit of the park (Figure 2). A grid was also established on the south side of the highway in the area of the entrance road, two terrace remnants along the highway, and along the terrace ridge that contains the visible Lewis Mound Group and the partially constructed boardwalk. Due to terrain and the limited likelihood of finding remains in the drainage on the south side of the highway no geophysical investigations were conducted in that area. Magnetic survey was conducted in both of these areas (Figure 3), and a resistance survey was conducted on the area on the south side of the highway (Figure 4).

Following completion of the work on the Nazekaw Terrace, a similar grid system was established in the upper meadow area (Figure 5). A magnetic survey was conducted in this area (Figure 6). We would like to express

our great appreciation for the assistance of the park staff in helping clear vegetation in both of the study areas and also for participating in the survey project by helping move ropes for the grids for several days of the project. The surveys could not have been successfully completed without this assistance.

Preliminary Results

Preliminary analysis of the magnetic data in the field indicated the presence of numerous magnetic anomalies within the geophysical project areas on the Nazekaw Terrace and in the upper meadow. These anomalies appear to be associated with metal artifacts and buried archeological features as well as modern intrusions.

Lewis Mound Group and Boardwalk Area on Nazekaw Terrace

There are four mounds already visible and recorded in this area including two linear and two conical mounds. Once vegetation was cleared, two other earthen features believed to be mounds, became visible, including one that was truncated by the old county road, and one between the highway and the Lewis Mound Group.

The magnetic data in this area also suggest the location of several additional truncated conical and linear mounds, including two possible linear mounds and six conical-shaped mounds. None of these possible mound remnants appear to be within the park path and boardwalk construction area, however, one of the possible mounds is very close to the boardwalk area (Figure 7).

Magnetic anomalies in the form of modern intrusions visible in the data for this area include the boardwalk area (the cement footings for the boardwalk contain bolts and metal brackets), a barbed wire fence and metal fence posts, and portions of the old county road that leads down to the river.

A resistance survey was also conducted in this area. The extant mounds are present in the resistance data as higher resistance anomalies including the conical and linear mounds (Figure 8). Four resistance anomalies appear to represent conical mounds and two areas appear to represent linear mounds. The path/boardwalk trail and the old road beds are also identified in this data by weak linear resistance anomalies.

Visitor's Center, Parking Area, and Maintenance Area on Nazekaw Terrace

The terrace in this area has been heavily impacted by past agriculture and park development; however, there are several known mounds in this area including the three mounds near the visitor's center and a possible bird mound and conical mound between the visitor's center and the railroad track at the base of the bluff. These known mound areas were not included in the geophysical survey conducted in April of this year. There are, however, two areas just south of the visitor's center that appear to be mounds, though they have never been recorded as such (Figure 9). Also in this area, sixteen circular or oval shaped magnetic anomalies appear to represent the locations of truncated conical, linear, and effigy mounds, including the two newly identified mounds that are visible on the ground surface.

Magnetic anomalies in the form of modern intrusions in this area include the Visitor's Center, parking lot, sidewalks, paved access roads, and the Maintenance and Housing structures. In addition, there are buried utility lines including gas, water, telephone, and electrical lines as well as two septic fields. These multiple buried modern features have a severe impact on the integrity of the more subtle prehistoric features.

Upper Meadow and Satellite Maintenance Facility

There are several known mounds in the upper meadow area; however, only two in the study area are clearly visible (linear mounds 19 and 20). One of those linear mounds is known to be reconstructed. In an attempt to understand the many anomalies identified in the field, Orr's original 1902 map was scanned (Figure 10) and georeferenced using the location of the visible mounds on the ridge (Figure

11). Combining this with the geophysical data, it appears that we are now able to identify the location of the "wildcat" and bear mounds depicted on Orr's 1902 map (Figure 12) as well as the original alignment and formation of the linear mound (Figure 13). In addition to these results, seven other possible mounds are visible in the magnetic data, including one near the opening of the maintenance platform (Figure 14). One rectangular magnetic anomaly consists of alternating slightly weak and strong linear anomalies. The origin of the magnetic anomaly is uncertain although it may be related to pre-park-era agricultural activities or gardening. Further investigation of this area would help identify the nature of this anomaly.

Magnetic anomalies in the form of modern intrusions in the upper meadow area include historic agricultural and modern park activities. Numerous dipole anomalies appear to represent ferrous metal objects such as bolts, nuts, and farm equipment parts. The maintenance shed platform is indicated in the magnetic data. A linear magnetic anomaly at the southern end of the geophysical project area appears to represent a fence line extending down the slope from the southern linear mound. The existing gravel road is indicated by weak linear magnetic anomalies. In addition, older road beds are also visible in the data.

Conclusions

The preliminary results of this geophysical inventory indicate that the technology can be successfully used to identify anomalies that are likely prehistoric archeological features in areas that were previously believe to have been destroyed by agriculture and past park development. Results of this study have identified a significant number of possible mound features, including 22 on the Nazekaw Terrace and 9 in the meadow area. It also indicates that there are areas on the Nazekaw Terrace and in the upper meadow that have and could be negatively impacted by park development. These results; however, should be further investigated to evaluate areas of the park that must be avoided in any future development. Recommendations for further analysis include additional geophysical investigations of the Nazekaw Terrace with additional types of geophysical equipment (e.g. resistance meter, ground penetrating radar, conductivity) continued work with historic maps, and verification of intact deposits through limited coring.

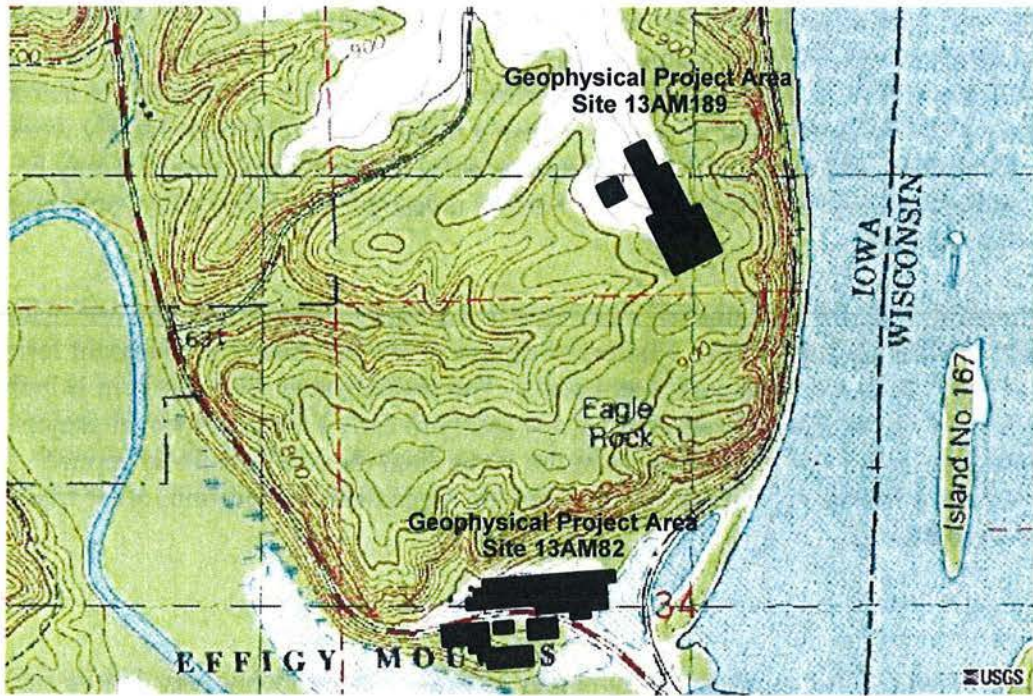


Figure 1. Project Location in Effigy Mounds National Monument

Site 13AM82

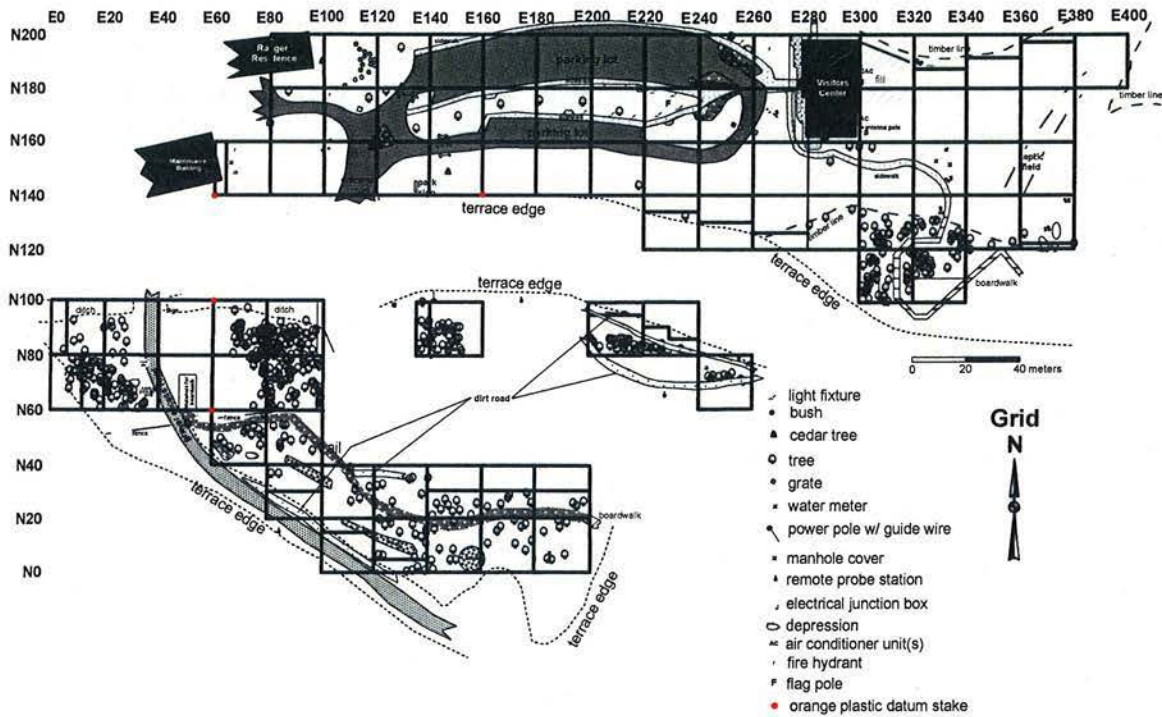


Figure 2. Geophysical grids on the Nazekaw Terrace.

13AM82 Magnetic Survey

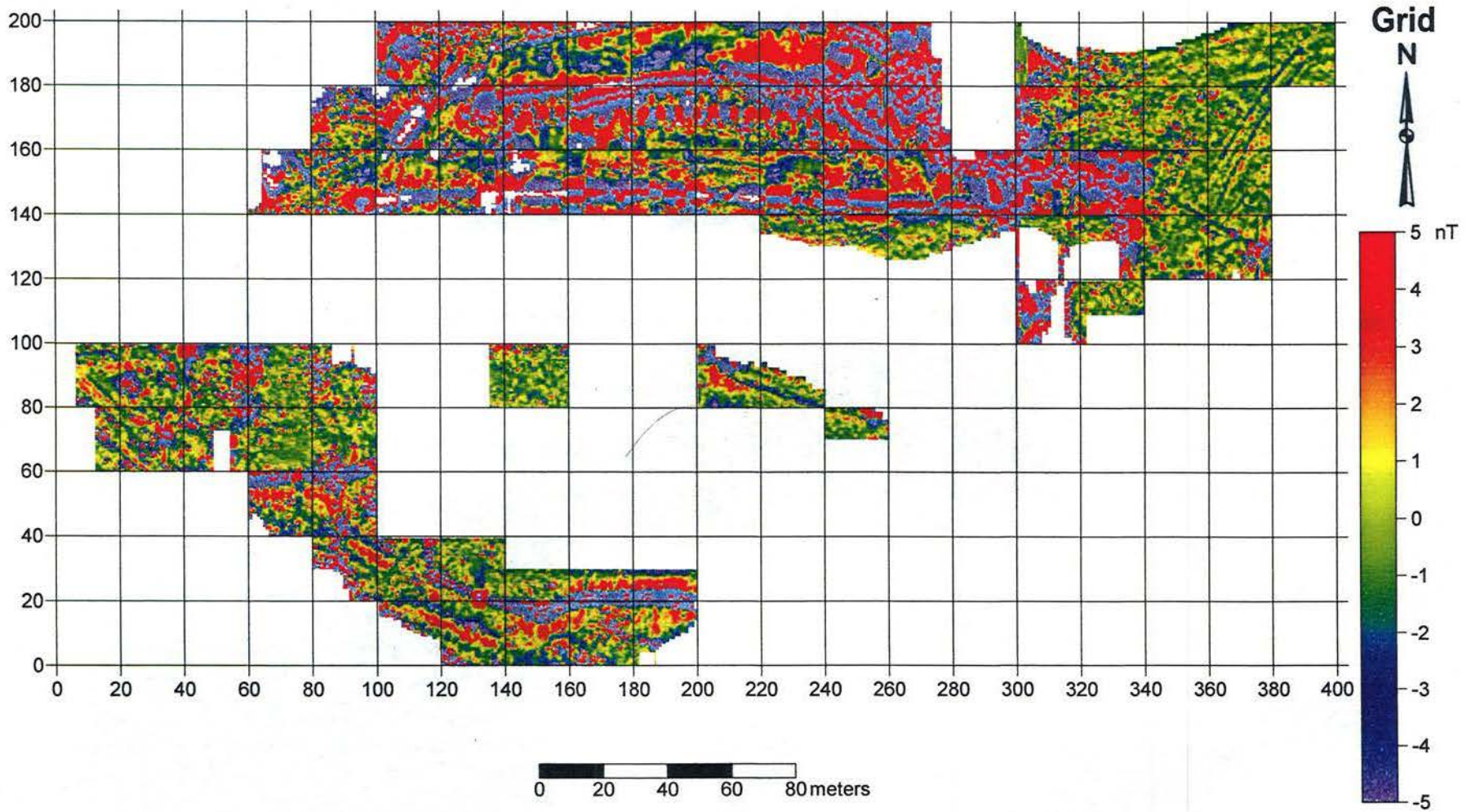


Figure 3. Magnetic data from the fluxgate gradiometer survey of the Nazekaw Terrace geophysical project area.

13AM82 Resistance Survey

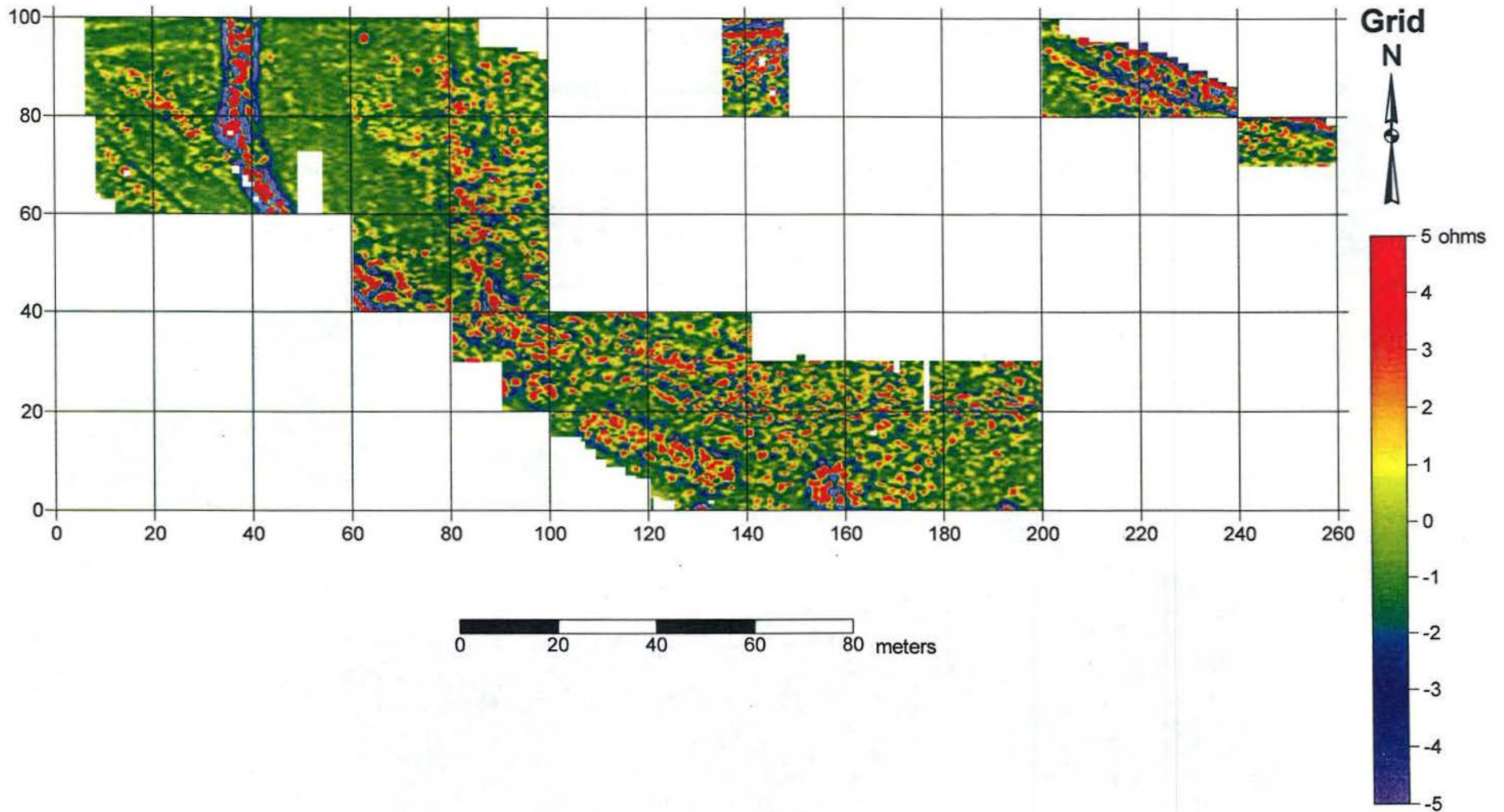


Figure 4. Resistance data from the twin probe resistance survey of the project area.

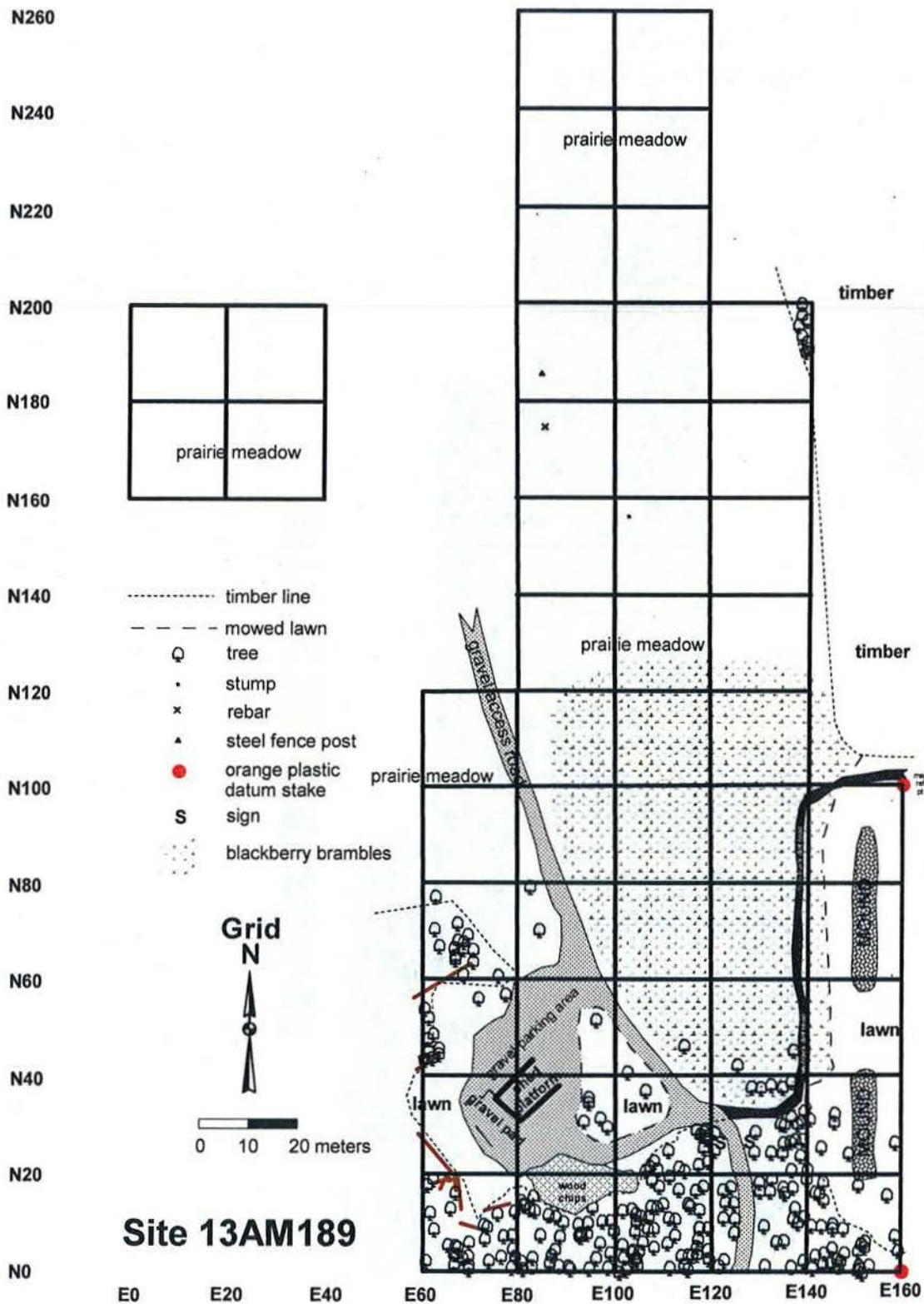


Figure 5. Geophysical grid in the upper meadow area.

13AM189 Magnetic Survey

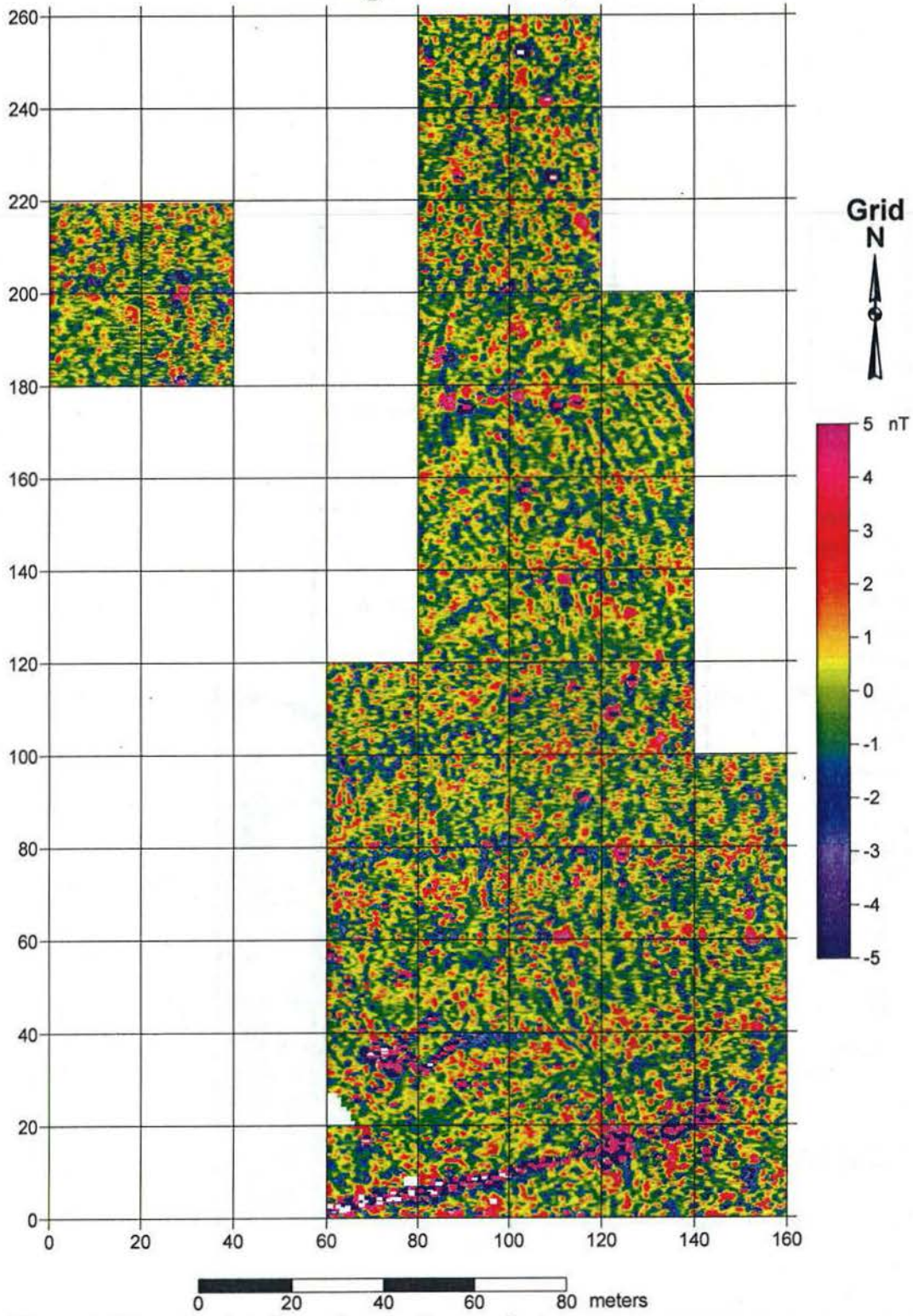


Figure 6. Magnetic data from the meadow project area.

13AM82 Magnetic Survey-South Side Interpretations

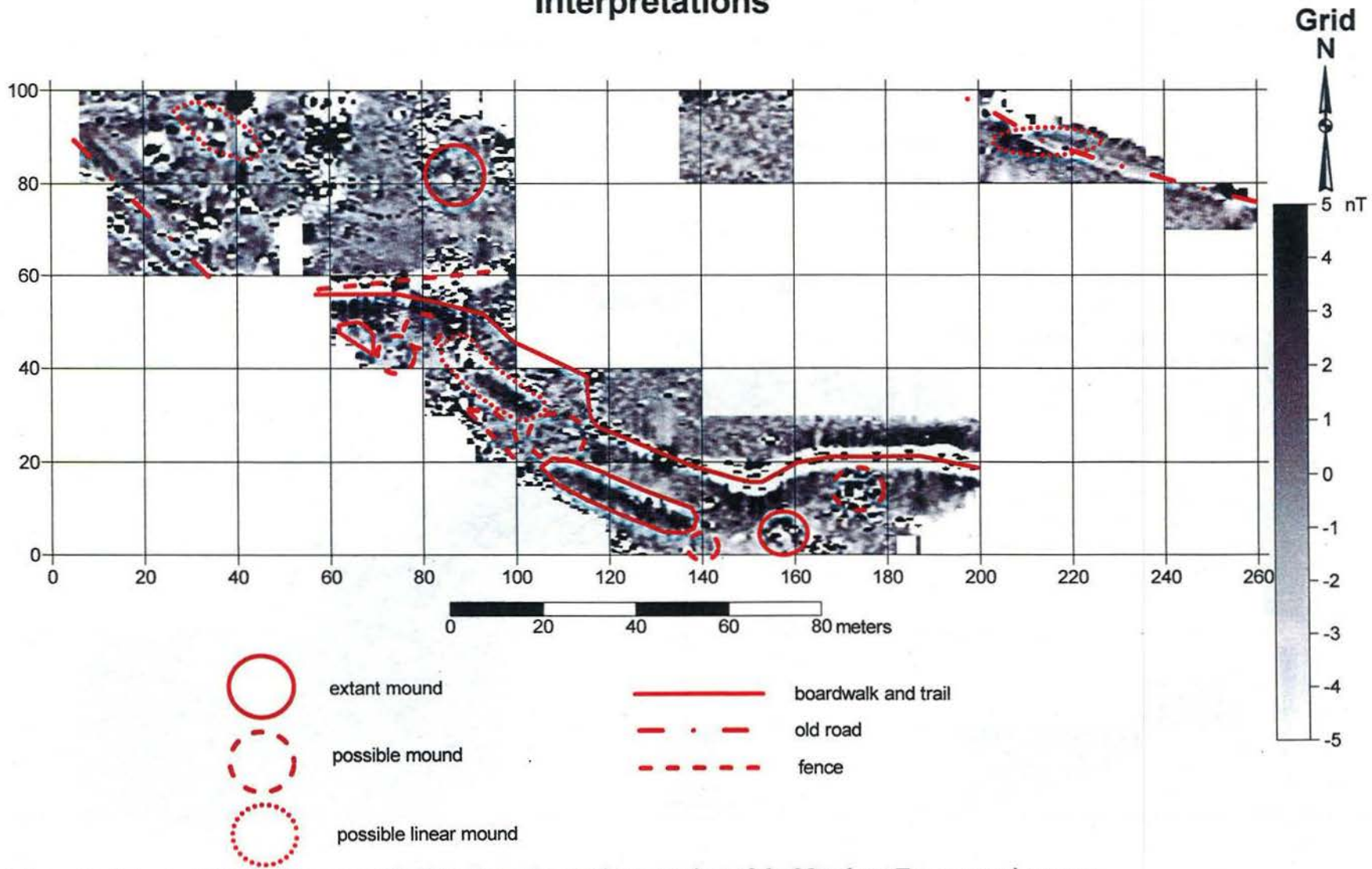


Figure 7. Interpretation of the magnetic data from the southern portion of the Nazekaw Terrace project area.

13AM82 Resistance Survey Interpretations

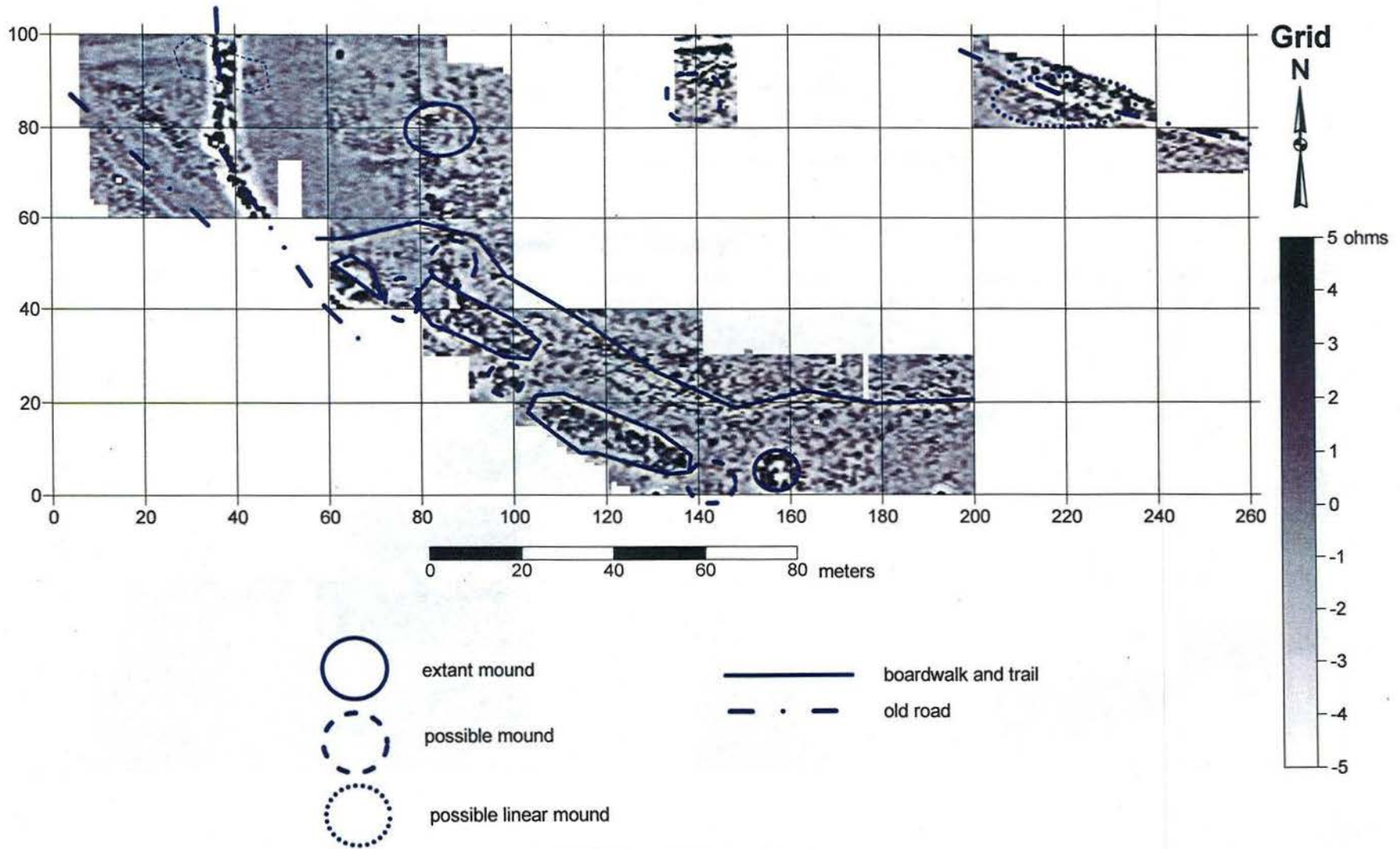


Figure 8. Interpretation of the resistance data from the southern portion of the Nazekaw Terrace project area.

13AM82 Magnetic Survey-North Side Interpretations

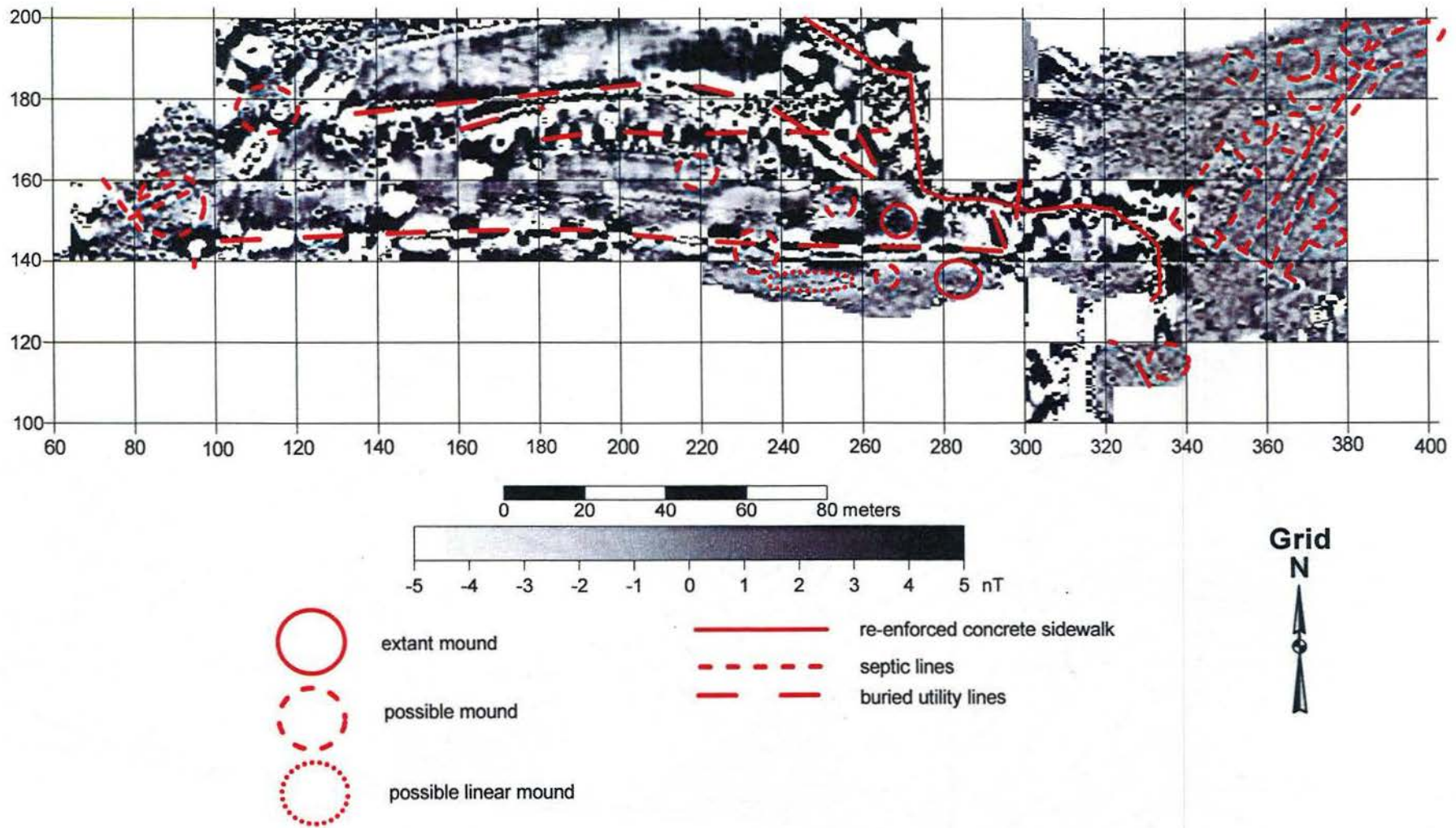


Figure 9. Interpretation of the magnetic data from the northern portion of the Nazekaw Terrace project area.

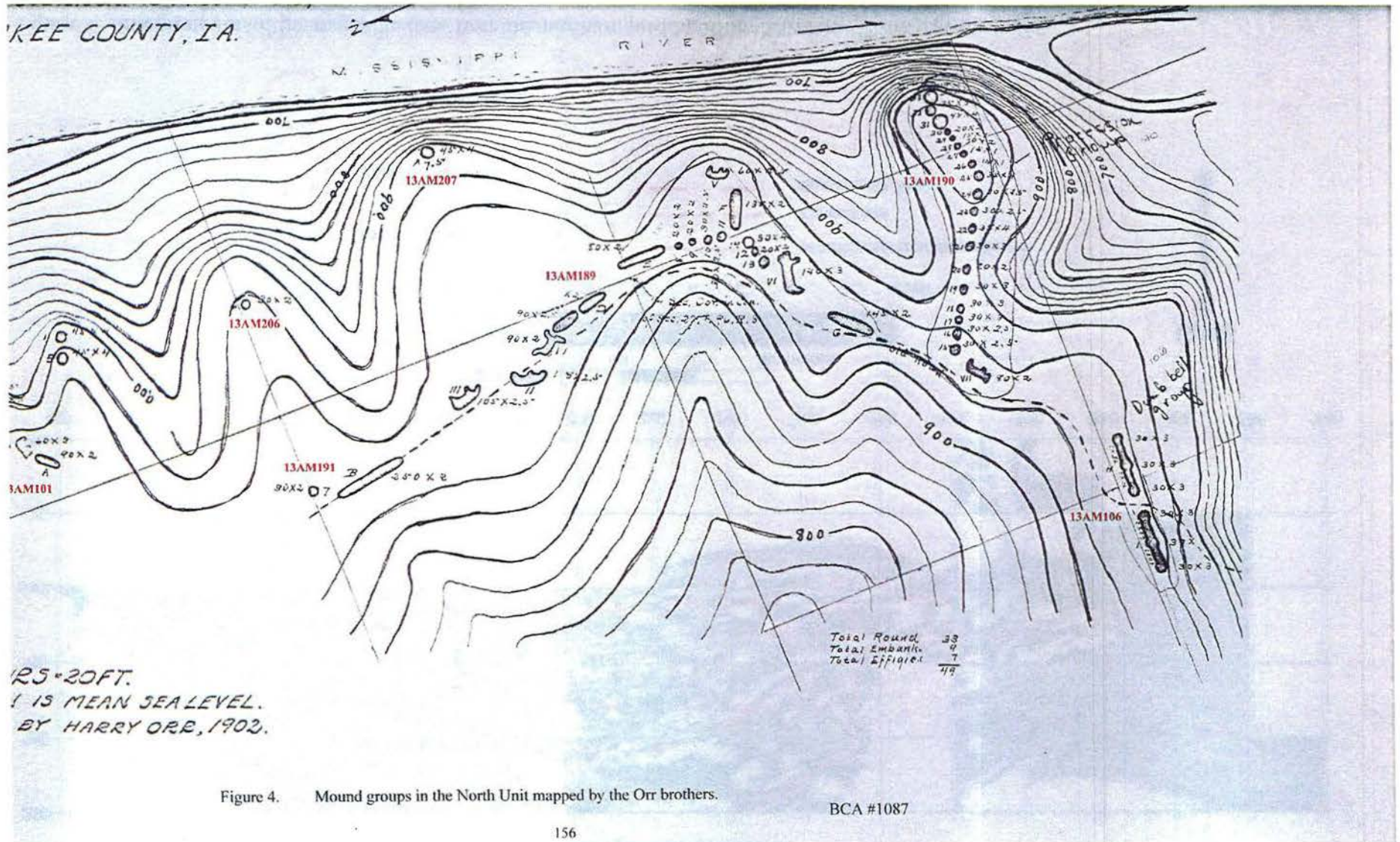


Figure 4. Mound groups in the North Unit mapped by the Orr brothers.

BCA #1087

Figure 10. Scan of Orr's map of the area of 13AM189 in the upper meadow.

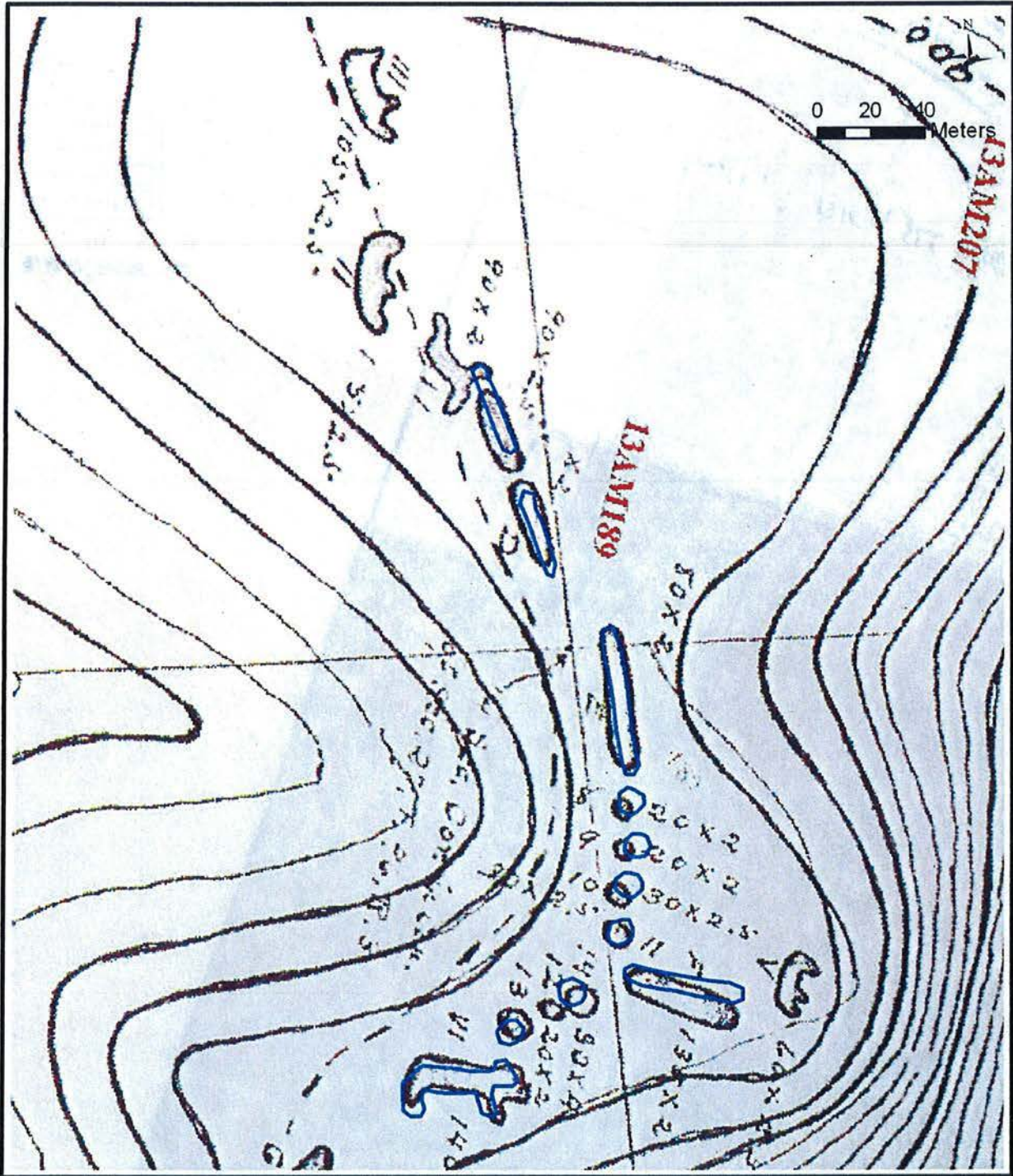


Figure 11. Orr's 1902 map georeferenced using visible mounds on the ridge.

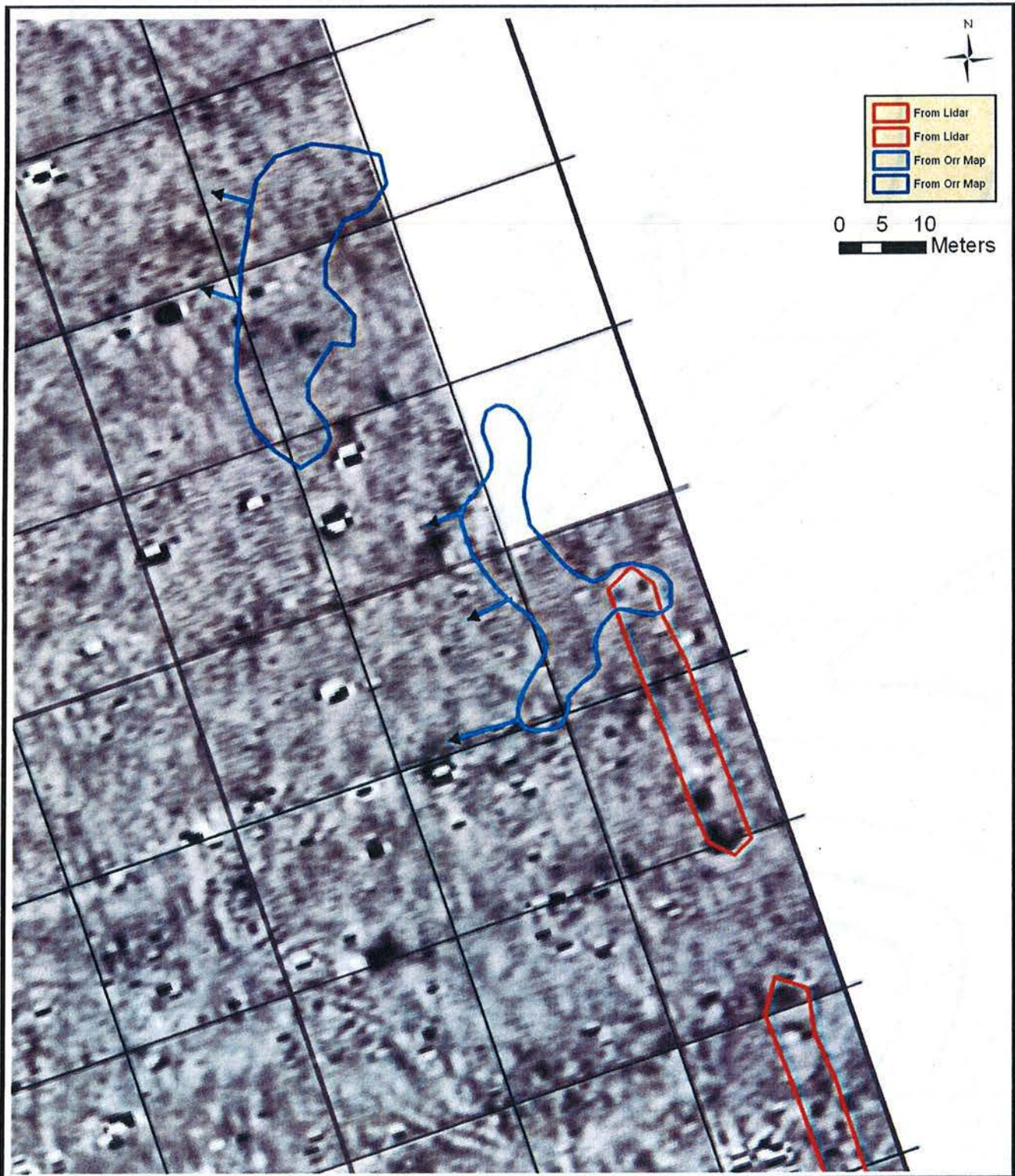


Figure 12. Geophysical data with showing known mounds and shapes of bear and wildcat mounds.

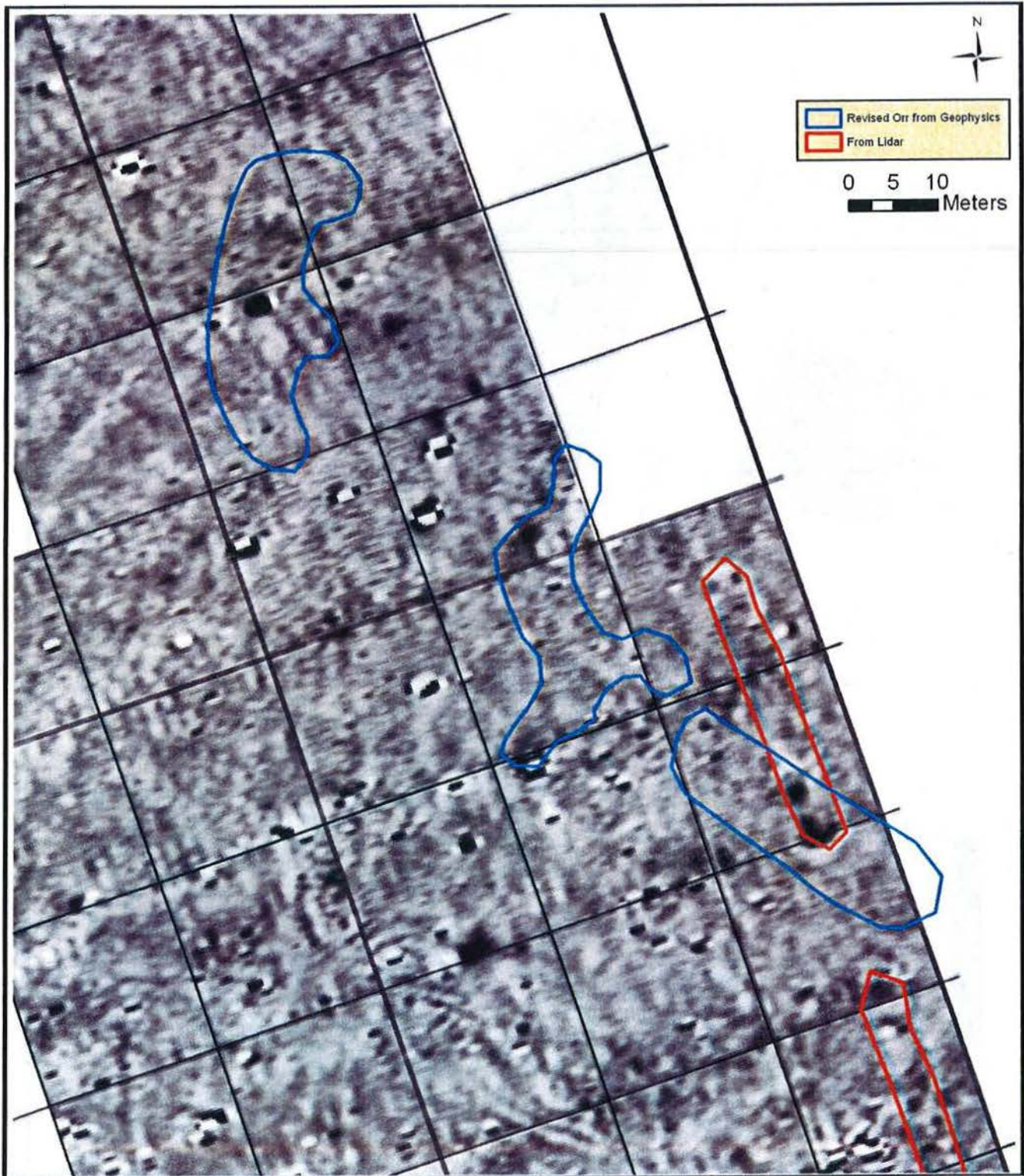


Figure 13. Alignment of bear and wildcat mounds to geophysical data and original alignment of linear mound.

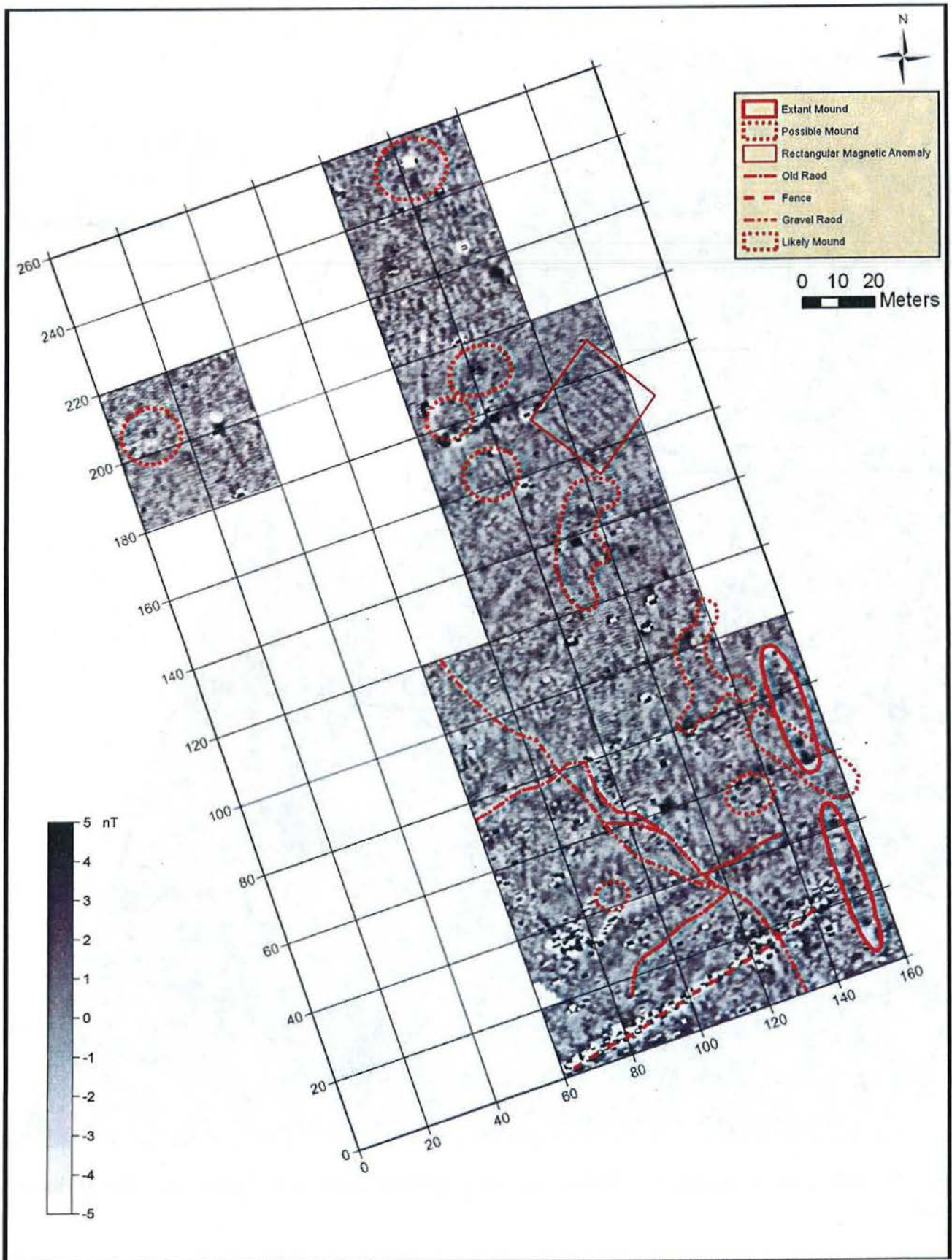


Figure 14. Interpretation of the magnetic data form the meadow project area.



United States Department of the Interior

NATIONAL PARK SERVICE

MIDWEST REGION

Midwest Archeological Center

Federal Building, Room 474

100 Centennial Mall North

Lincoln, Nebraska 68508-3873



IN REPLY REFER TO: H26 (EFMO)

LIBRARY COPY
NATIONAL PARK SERVICE
MIDWEST ARCHEOLOGICAL CENTER

November 12, 2010

Memorandum

To: Manager, Midwest Archeological Center (MWAC), National Park Service (NPS)

Through: Supervisory Archeologist, Park Archeology Program *JJP*

From: Archeologist, Archeological Assistance and Partnership Program

Subject: Trip Report – Geophysical Survey of the Upper Meadow (Sites 13AM189 and 13AM191) along the Hanging Rock Trail and the Nezekaw Terrace (Site 13AM82) along with the Monitoring of the Boardwalk Removal, Allamakee County, Iowa (September 8-29, 2010)

Albert LeBeau and I left Lincoln on Wednesday morning, September 8, 2010, for Effigy Mounds National Monument in northeastern Iowa to finish the geophysical survey of the Sites 13AM189 and 13AM191 on the upper meadow area north of the Visitors Center along the Hanging Rock Trail (Figure 1). I drove the Chevy Suburban, while Albert brought his own vehicle. After I checked in at the motel in Prairie du Chien, Wisconsin, I went over to the park. Michael Evans, the acting superintendent, was in a meeting with staff from the Iowa State Historic Preservation Office (Jerome Thompson, Barbara Mitchell, Doug Jones, and Brennan Dolan) and the Office of the State Archaeologist (John Doershuk and Shirley Schermer). Albert arrived at the visitors center shortly after I got there. We went with the superintendent and the SHPO and OSA staff as Mike showed them the remodeling that was occurring at the two park residence buildings. The buildings were being converted to office space for the park administration and law enforcement in one building and the natural and cultural resource staff in the other building. We also went over to the boardwalk and discussed the removal project.

On Thursday, September 9, we met with Michael Evans before going over to the maintenance facility where Thomas Sinclair, the facility manager, was holding a safety meeting with his staff concerning the boardwalk removal. Patt Murphy, the Native American monitor from the Iowa Tribe of Kansas and Nebraska, also arrived this morning. The maintenance crew started dismantling the boardwalk beginning at the top of the Nazekaw Terrace (Site 13AM82). All of the superstructure will be removed and the bolts set in the concrete bases will be ground off at the ground level. Patt spent the day monitoring the dismantling efforts. Albert and I then went to the upper meadow to check on the present geophysical project area at the north end of the project area where we left off last spring. The park maintenance staff had mowed the area prior of our

arrival. Over the summer, the prairie grass had grown to approximately six feet in height. We also looked for the northern row of geophysical survey grid stakes left in place from last spring. We were unable to find the wooden stakes given the condition of the flattened grasses. I decided to use the gps unit tomorrow with grid point locations placed in the unit as waypoints. Although the area had been mown to approximately six inches above the ground level, the mowing was patchy with most of the grass merely flattened or windrowed. While it was difficult to conduct the magnetic survey, it was accomplished. We returned to the park visitors center and checked on the boardwalk dismantling project. Afterwards, we received information on the park's plans from David Rambow, the park curator, to replace seven of the park interpretative signs. We decided that we should document the existing signs with photographs before their removal and took digital photographs of the interpretative signs. According to the installation plans for the replacement signs, the legs of the new signs will be on the outside edges of the signs. The existing sign legs (three) are placed under the middle of the signs. This will require new holes for the placement of the legs. Albert and I felt it would be best for an archeologist to monitor the installation of the new interpretative signs; however, we found that Anne Vawser had recommended that shovel tests be dug at the location of the new legs prior to the placement of the signs. We explained our assessment of the planned interpretative sign replacement project to the superintendent. According to Mike, the maintenance crew planned to replace the signs in October or November. We checked on the boardwalk removal efforts at the end of the day. The park staff had removed the planking and support sections from the upper curve of the walk and was starting down the terrace slope. I installed the grid stake locations as waypoints in the gps unit during the evening at the motel.

On Friday, September 10, Albert and I used the gps unit with the grid point waypoints to relocate the stakes at the north end of last spring's survey grid. After searching, we found all three stakes along the N260 line from E80 to E120. The grid orientation was 17 degrees west of magnetic north. We then started laying out the geophysical grid for the rest of the upper meadow area. We placed the surveying compass on the N260/E100 grid stake with the backsight at N260/E80. We then laid out the wooden hub stakes at 20 meter intervals with the surveying compass and 100-meter tape along the north-south baseline. The line extended 300 meters north of the initial mapping point at N260/E100. We moved the surveying compass to the final stake at the end of the 100-meter tape before continuing the north-south baseline to its end at N560/E100. We then continued to fill in the remainder of the geophysical grid by placing the wooden hub stakes at 20-meter intervals. When we stopped for lunch, I checked on the progress of the maintenance crew. They were about half way down the terrace slope above the switchback. One of the maintenance staff members was cutting the exposed parts of the concreted bolts and grinding them flush with the concrete support pads. We then went back to the upper meadow and finished setting out the survey grid. We laid out 34 grid units by the end of the day. I also checked on the progress of the boardwalk removal project. They were within a half-dozen panels of making the switchback turn on the side slope of the terrace.

We began Monday morning, September 13, laying out the geophysical survey ropes on the southern two grid units. We placed the survey ropes at one meter intervals across the grid units. I started the magnetic survey with the FM36 fluxgate gradiometer. I balanced the instrument and aligned the sensors at N260/E100 on magnetic north. We collected the magnetic data at eight

samples per meter along one meter traverses in a zigzag fashion. During the survey efforts with the FM36, I found that I had problems hearing the beeps on the return traverse in the zigzag. It is possible that the cause of this is the perforation of the diaphragm covering the beeper speaker. This can happen in the FM36 when one is balancing the instrument since both holes for the speaker and the balance screw are located very close to each other. Another possibility is that the noise created while walking on the dead grass was enough to mask the sound of the beeps from the fluxgate gradiometer. After collecting four grid units of magnetic data, I downloaded the data to the field laptop computer in the Suburban. After lunch, I switched to the FM256 fluxgate gradiometer. At lunch time, Albert and I checked on the progress of the boardwalk removal project. The maintenance and park natural resource staff had removed the boardwalk from the lower switchback on the slope up to the top of the terrace. I balanced it and aligned the sensors at the same magnetic reference point used to balance the FM36. By the end of the day I had collected an additional four grid units of magnetic data bring the total survey efforts to eight grid units. I also downloaded the magnetic data from the FM256 to the field laptop computer back at the motel room.

We started Tuesday morning, September 14, where we left off yesterday with the magnetic survey. I balanced and aligned the fluxgate gradiometer at N340/E80. I also continued to work on the site sketch map (Figure 2). We have moved from Site 13AM189 to Site 13AM191. At lunchtime, we checked on the boardwalk removal project. The park crew was finishing the removal of the last segments of the boardwalk. By the end of the day, we completed the magnetic survey of 14 grid units. I downloaded the magnetic data to the field laptop computer at the motel room in the evening.

We continued Wednesday, September 15, on the magnetic survey on the upper meadow. I balanced the fluxgate gradiometer at N460/E80 on magnetic north. Patt Murphy helped move the survey ropes this morning. We completed 12 grid units by the end of the survey bringing the total number of surveyed units to 34 grid units (Figure 3). We also checked out the area to the southwest of the present survey grid where Anne Vawser had identified soil discolorations from aerial photographs. The area was located on the side slope where there was little potential for mounds. The discoloration may have been caused from the erosion of the top soil exposing the lighter colored B horizon. We collected all of survey ropes and tent pegs from the upper meadow geophysical project area. We then moved to the Visitors Center yard to look for the orange datum stakes that we placed at the end of the geophysical survey last spring. We failed to find the plastic stakes. I downloaded the magnetic data to the field laptop computer in the motel room during the evening and processed the data. I also loaded the UTM coordinates as waypoints to the gps unit.

We began Thursday, September 16, searching for the two orange datum stakes with the waypoint in the gps unit. Patt Murphy assisted in the search for the geophysical grid points from last spring. We were unsuccessful in our search with the gps waypoints. Albert and I decided to go up to the upper meadow and collect the gps readings on the present geophysical project grid. After mapping in the locations of the wooden hub stakes, we returned to the Visitors Center yard and continued the search for the spring grid stake locations. Albert finally found one of the survey stakes from last spring. Using the stake and the grid orientation of 5 degrees west of

magnetic north, we replaced the stake at the originally mapping station next to the entrance road. Using the surveying compass and 100-meter tape, we were able to relocate the wooden hub stakes and the two orange plastic datum stakes in the front portion of the Visitors Center yard. We placed tent pegs at the location of the stakes and repainted the spots on the paved parking lot and sidewalks in the front portion of the yard. I downloaded the gps data from the upper meadow grid to the laptop computers and processed it at the motel room during the evening (Figure 4).

We continued searching for the grid stakes on Friday, September 17. We were able to relocate the geophysical grid stakes used in the spring survey by the end of the day. We also flagged the locations with plastic pin flags so the stakes and tent pegs would be easier to find and so the maintenance staff would miss the tent pegs if they mowed the grass over the weekend. The screen for the shovel testing of the interpretative wayside exhibits arrived by FedEx late in the afternoon. We relocated 49 grid units but did not search for the grid units on the south side of the grid in the unmowed portion of the yard (Figure 5).

We laid out the survey ropes on the geophysical grid on the Nezekaw Terrace (Site 13AM82) in the visitors center yard on Monday, September 20. We started in the southwest corner of the geophysical grid behind the maintenance facility. The remote probes were placed 15 meters west of the southwest corner of the grid unit at N140/E45. The mobile probes were placed at a separation of 0.5 meters giving a depth penetration of 0.5 meters. We collected the resistance data at two samples per meter along one-meter traverses in a zigzag fashion. Throughout the morning, Albert was suffering from chest congestion causing shortness of breath. Patt Murphy was also back today to assist in the resistance survey. Albert went to the emergency room at the hospital in Prairie du Chien to have his chest congestion checked. He found that he had some bronchial infection affected by his asthma and allergies. After treatment, he was feeling much better in the evening. We had to move the remote probes during the afternoon to N160/E85 with a calibration value of 14.0 ohms. By the end of the day, we completed the resistance survey of six grid units. I downloaded the data to the field laptop computer at the motel room during the evening.

We continued with the resistance survey on the Nezekaw Terrace (site 13AM82) on Tuesday, September 21. During the day, we moved the remote probes to N150/E105 with a value of 15.5 ohms. Due to the thunderstorms and rain, we managed to complete four grid units during the day. I downloaded the data to the field laptop computer at the motel room during the evening.

We continued with the resistance survey on the Nezekaw Terrace (site 13AM82) on Wednesday, September 22. During the day, we moved the remote probes to N145/E185 with a value of 22.4 ohms. We completed the resistance survey of 11 grid units today. I downloaded the data to the field laptop computer at the motel room during the evening.

We continued with the resistance survey on the Nezekaw Terrace (site 13AM82) on Thursday, September 23. During the day, we moved the remote probes twice, first to N145/E185 with a value of 14.9 ohms and second, to N140/E265 with a calibration value of 29.6. We completed

the resistance survey of 12 grid units today. I downloaded the data to the field laptop computer at the motel room during the evening.

We continued with the resistance survey on the Nezekaw Terrace (site 13AM82) on Friday, September 24. During the day, we moved the remote probes to N1165/E345 with a calibration value of 23.7. We completed the resistance survey of 10 grid units today. I downloaded the data to the field laptop computer at the motel room during the evening.

On Monday, September 27, we continued the resistance survey of the area around the visitors center. We finished the survey of the remaining three grid units. I downloaded the resistance data to the field laptop computer at the Suburban and processed it in the field (Figure 6). During the morning Jeff Richner contacted us and indicated that we would not conduct the shovel testing of the interpretative signs until the matter concerning the presence of Native American monitors was resolved. Michael Evans also informed us of the same later in the morning. After we collected the survey ropes and tent pegs, we selected two areas for the ground penetrating radar survey: 1) the first area was on the east side of the maintenance building from N140/E63 to N160/E100 (20 m n-s by 37 m e-w), and 2) the second area was in the parking lot area in front of the visitors center between N140/E140 and N160E280 (20 m n-s by 140 m e-w). We started the gpr survey in the lawn next to the maintenance building. The time window was opened to 60 nanoseconds two-way travel time with 512 samples per scan and 50 scans per meter. We covered 1,517 linear meters with the gpr survey. The velocity of the gpr signal was calculated to 0.084 m/ns with a depth to 2.13 meters. I downloaded the gpr data from the maintenance facility area to the field laptop computer in the motel room and processed the data during the evening (Figure 7). I selected the time slice 4 from 8 to 12 ns for the analysis of the gpr survey next to the maintenance building (Figure 8).

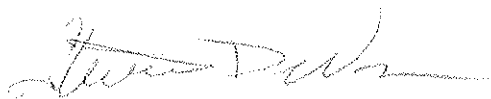
On Tuesday, September 28, using the same gpr survey collection parameters, we covered 5,737 linear meters with the gpr survey in the visitors center lawn next to the parking lot. I downloaded the gpr data from the visitors center area to the field laptop computer at the Suburban and processed the gpr data at the motel room during the evening (Figure 9). I selected the time slice 5 from 11 to 15 ns for the analysis of the gpr survey next to the parking lot in the visitors center lawn building (Figure 10). While at the park, we conducted a closeout meeting with Michael Evans during the afternoon. We repacked the Suburban for the return trip to Lincoln during the afternoon at the motel.

Albert and I left Prairie du Chien, Wisconsin, Wednesday morning, September 29, 2010. We arrived in Lincoln in the middle of the afternoon. We unloaded the computers and instruments at the Center.

Preliminary analysis of the magnetic data from the northern part of the Upper Meadow geophysical project area while in the field indicated the presence of numerous magnetic anomalies within Sites 13AM189 and 13AM191 of the Yellow River Prehistoric Indian Mounds along the bluffs overlooking the Mississippi River in Allamakee County, Iowa. These anomalies appear to be associated with metal artifacts and buried archeological features, as well as modern intrusions. During the investigations last spring, the bear and wildcat (otter) effigy

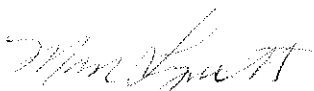
mounds were noted in the magnetic data set. A second bear effigy mound (13AM189) along with a large linear mound and associated conic mound (13AM191) were noted in magnetic data collected during this portion of the project (Figure 11) along with other possible conical mound remnants. The northern part of the Nezekaw Terrace Site contains numerous resistance anomalies associated with the park construction of the Visitors Center, parking lot, sidewalks, paved access roads, and other related structures (Figure 12). In addition, there are buried utility lines including gas, water, telephone, and electrical lines. In addition to these buried utility lines, there are three locations of the septic lines including abandoned lines and extant lines. Two areas are east of the Visitors Center and one area is east of the maintenance facility. These modern features have had a severe impact on the more subtle prehistoric features. A conical mound noted in the magnetic data near the maintenance facility is not as clear in the resistance data due to the presence of the leech field and the buried utility lines next to the maintenance building. Two mound remnants in the visitors center yard south of the parking lot include a possible linear mound and a conical mound. The ground penetrating radar data from the maintenance building lawn indicate the presence of a possible conical mound remnant (Figure 13). The ground penetrating radar data from the visitors center lawn indicate the presence of the possible linear mound along the road bank and a conical mound near the entrance sign to the park (Figure 14).

Based on the geophysical investigations associated with the boardwalk removal, the magnetic, resistance, and ground penetrating surveys of the Nezekaw Terrace (13AM82) were successful in identifying the locations of the extant mounds, as well as providing evidence for the existence of truncated mounds within the geophysical project area. More recent impacts to the area are also indicated in the magnetic, resistance, and ground penetrating radar data sets. A similar statement can be made about the magnetic survey of the northern part of the upper meadow area containing Sites 13AM189 and 13AM191. Although ground truthing of anomaly clusters would provide additional information of the cause and composition of the anomalies and to their association with park, farming, and prehistoric mound construction activities, it is not feasible to conduct formal archeological excavations to identify the nature of these possible mound anomalies. It is also recommended that the park continue the use of geophysical survey techniques to inventory other portions of the park.



Steven L. De Vore

Cleared for distribution:



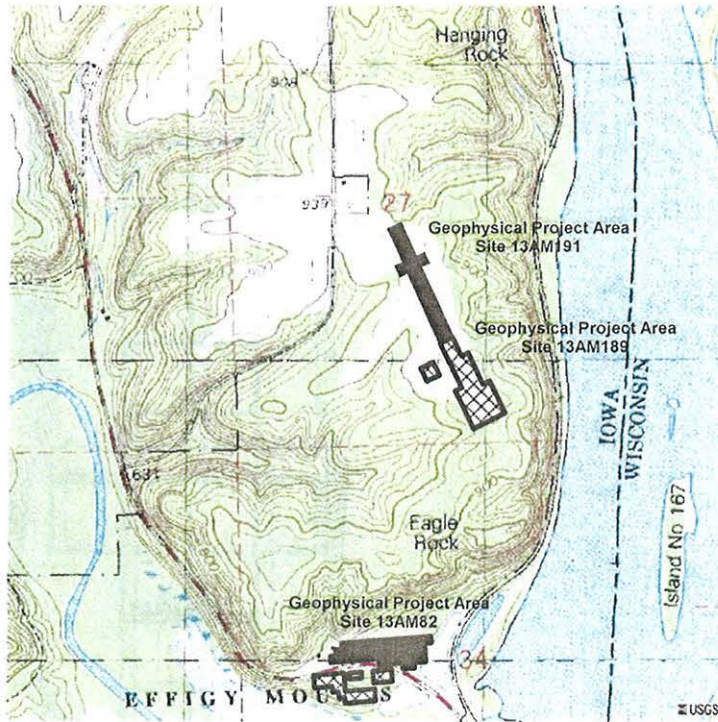
Manager, Midwest Archeological Center

Date 11/15/2010

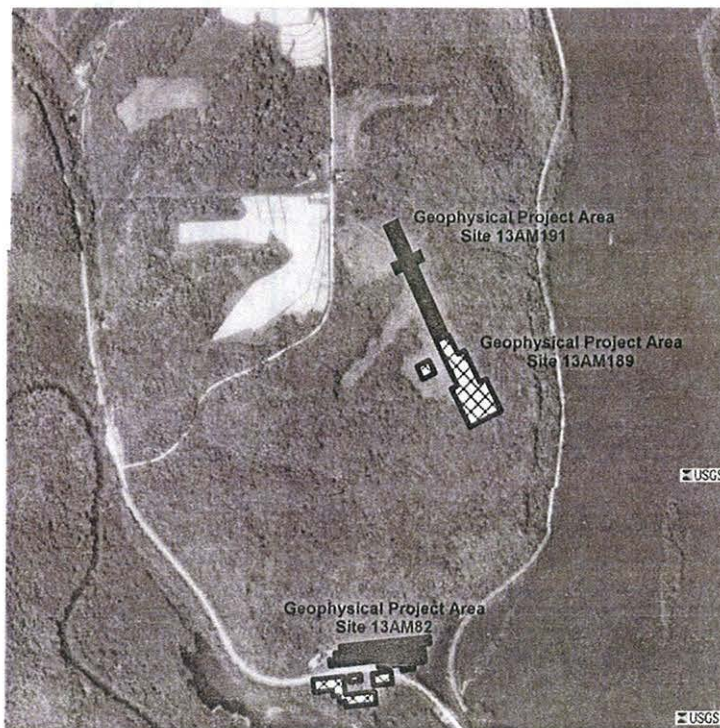
Attachments

cc: Superintendent, EFMO
MWAC Archeologist
MWAC Library
MWAC Collections Management Program

Attachments



a) 7 km NE of Prairie du Chem, Wisconsin (USGS topographic map, dated 01 July 1963)



b) 7 km NE of Prairie du Chem, Wisconsin (USGS aerial photograph, dated 17 May 1994)

Figure 1. Location of geophysical project areas at Effigy Mounds National Monument, Allamakee County.

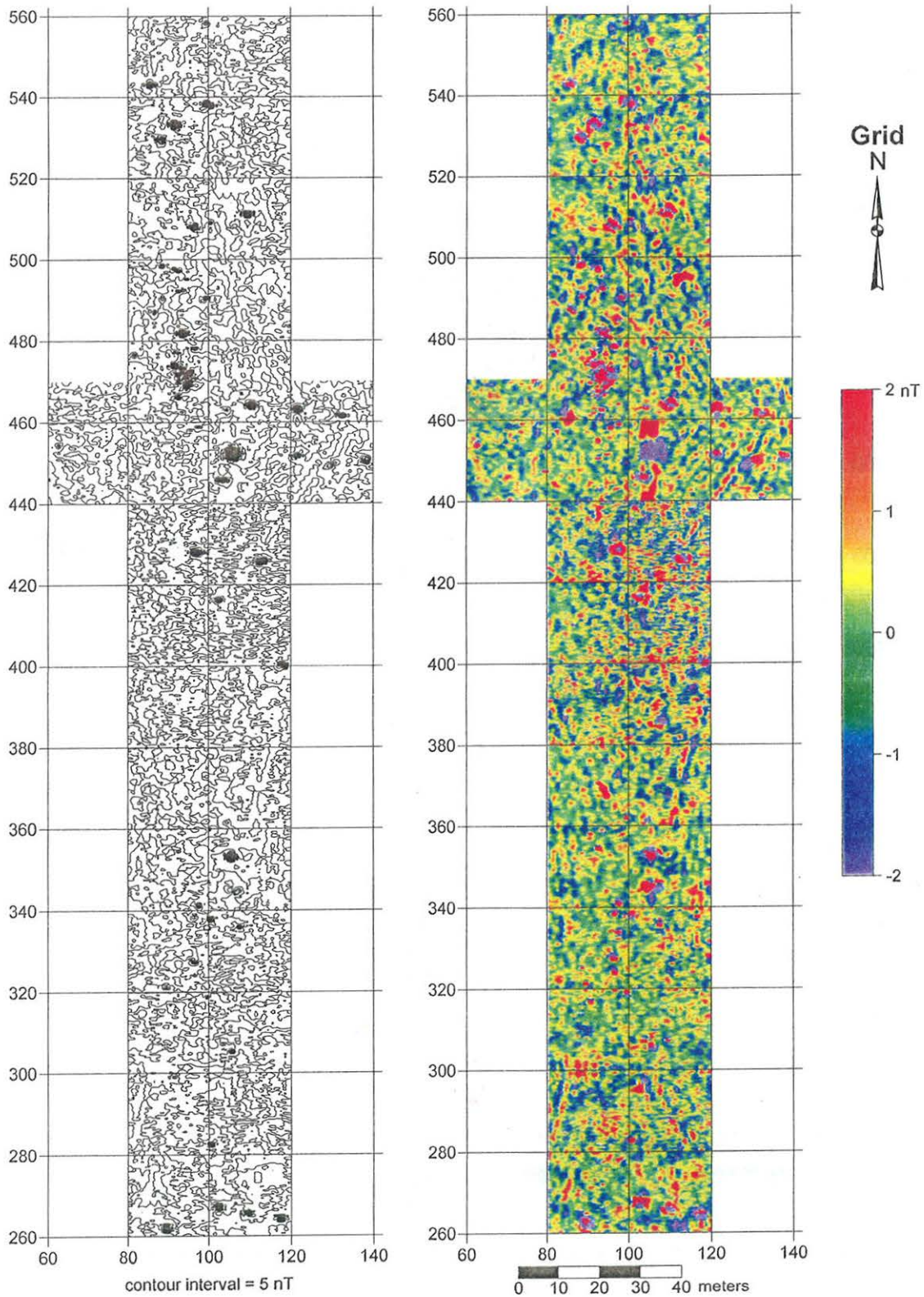


Figure 3. Magnetic data from the fluxgate gradiometer survey of the Upper Meadow geophysical project area.

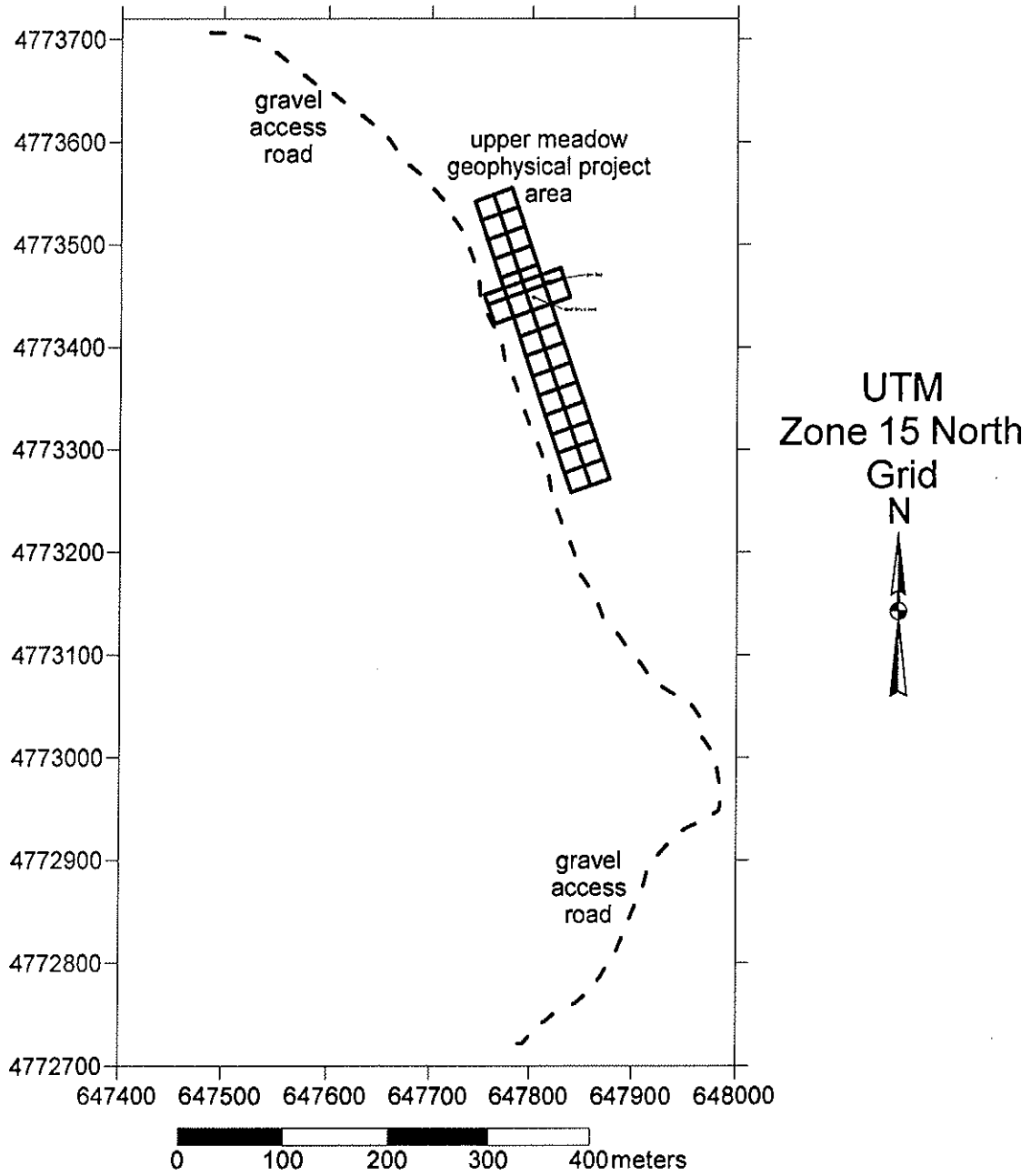


Figure 4. UTM Zone 15 North map of geophysical project area in Upper Meadow.

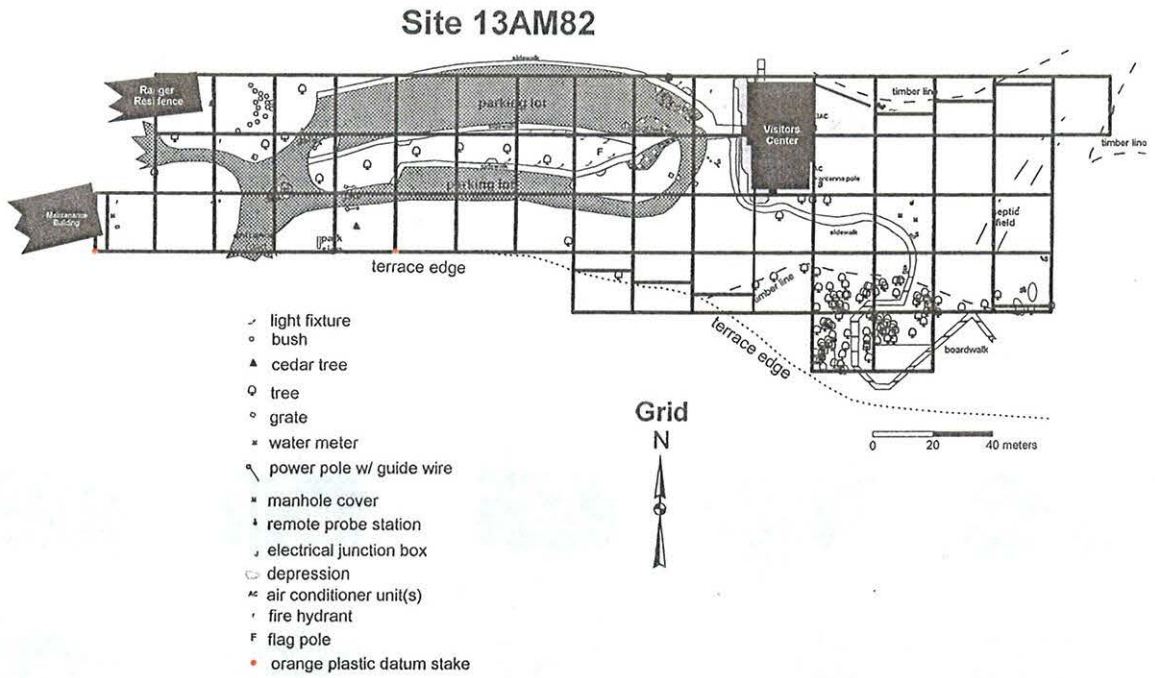


Figure 5. Sketch map of the Nezekaw Terrace geophysical project area (Site 13AM82).

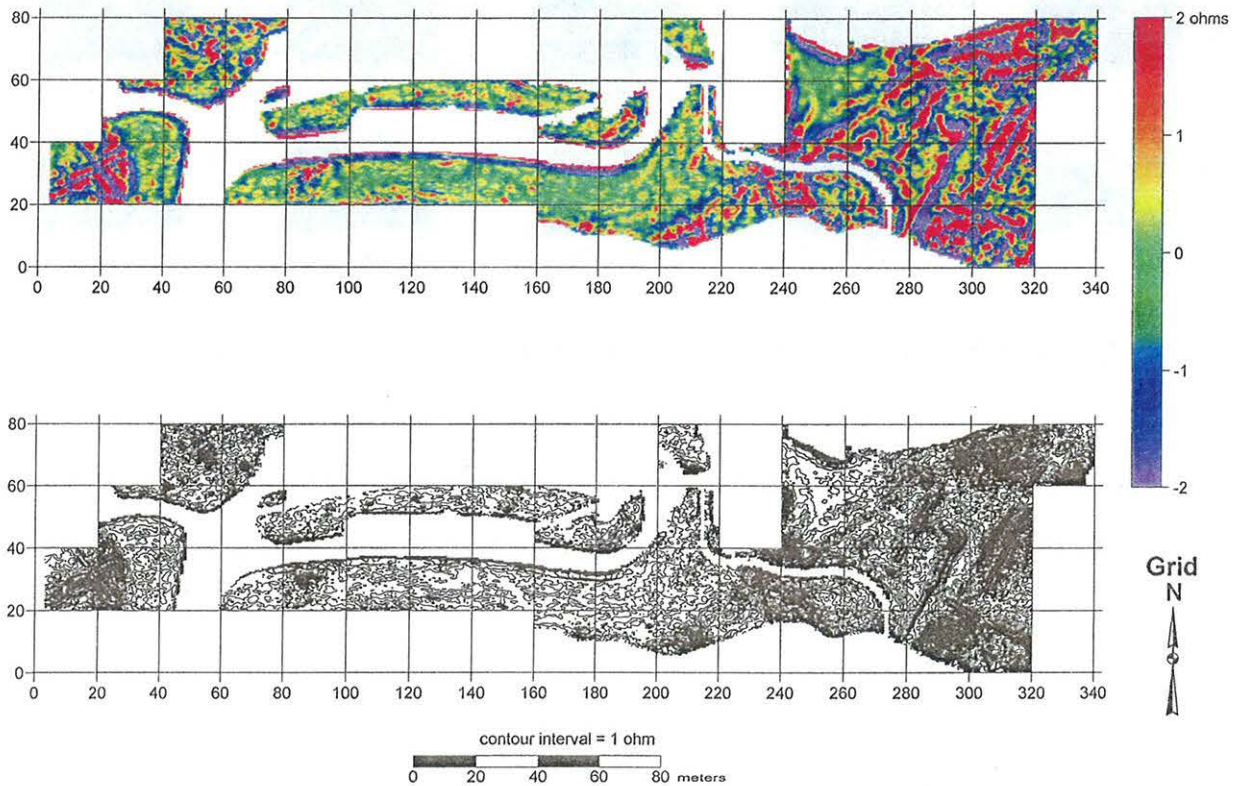


Figure 6. Resistance data from the twin probe resistance survey of the Nezekaw Terrace geophysical project area.

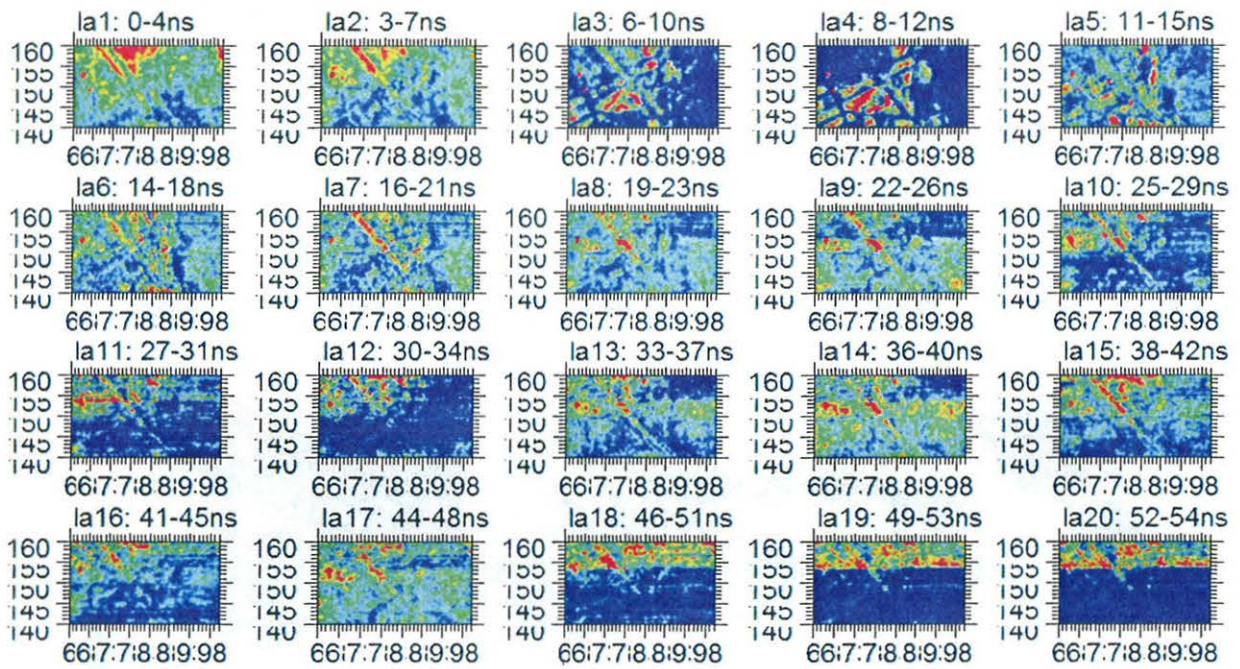


Figure 7. Ground penetrating radar time slices from the maintenance facility lawn.

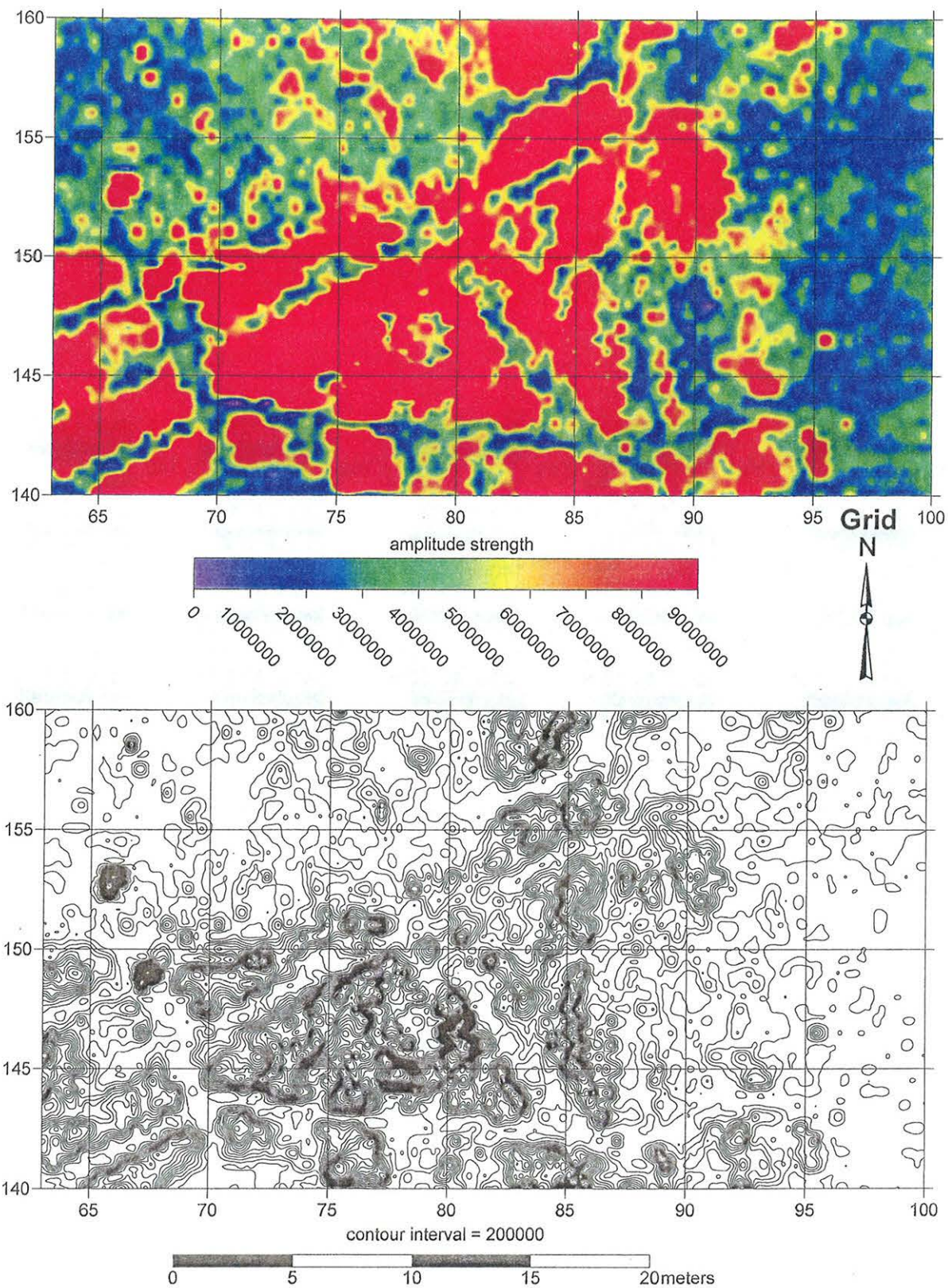


Figure 8. Ground penetrating radar data from time slice 4 from 8 to 12 ns in the maintenance facility lawn.

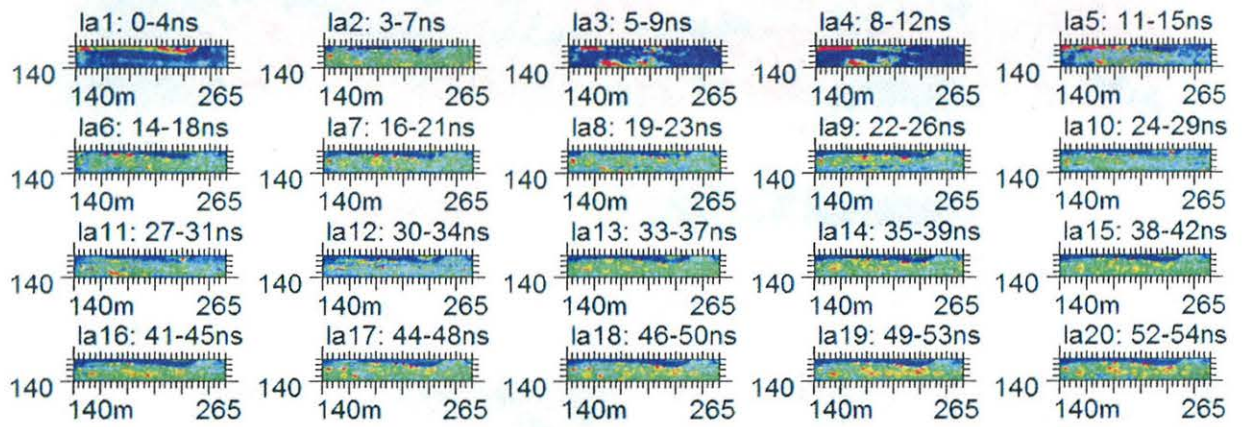


Figure 9. Ground penetrating radar time slices from the visitors center lawn.

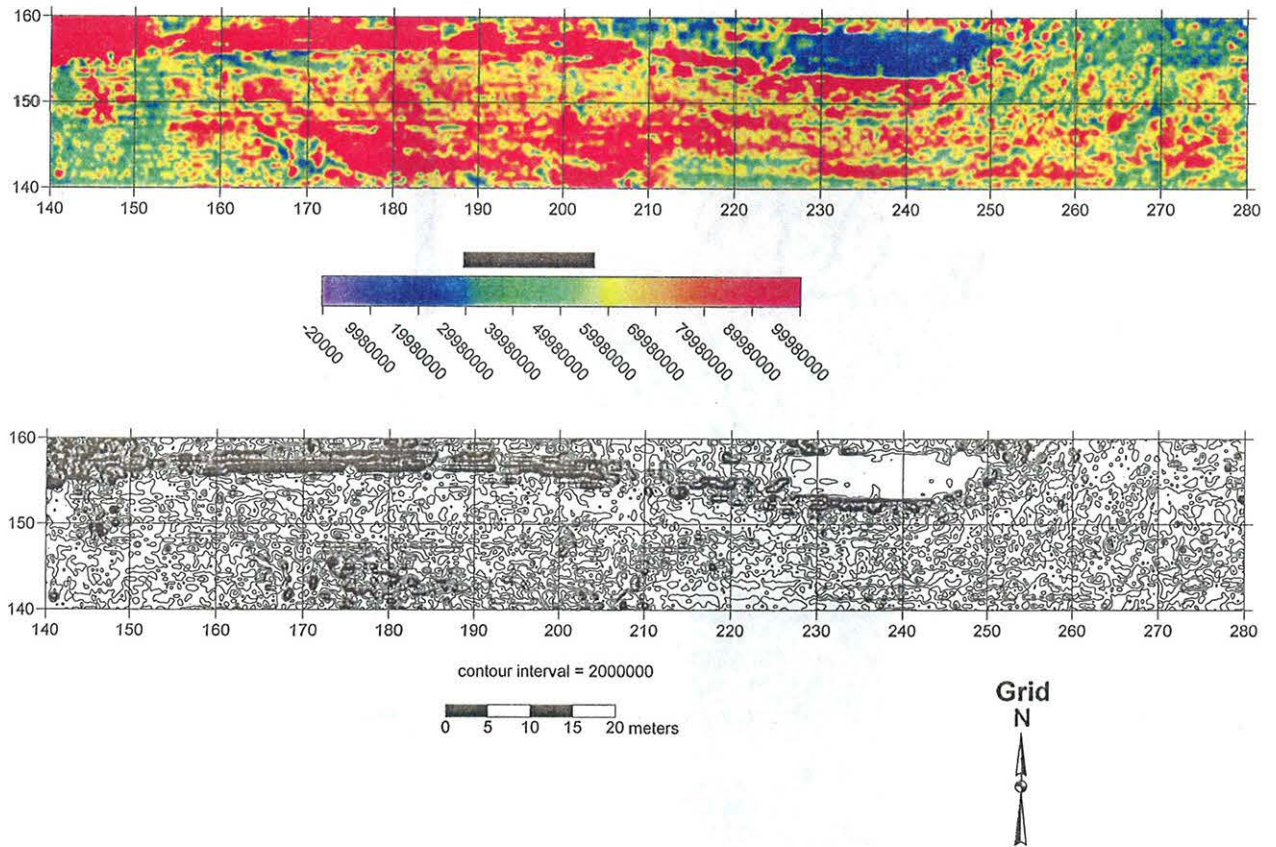


Figure 10. Ground penetrating radar data from time slice 5 from 11 to 15 ns in the visitors center lawn.

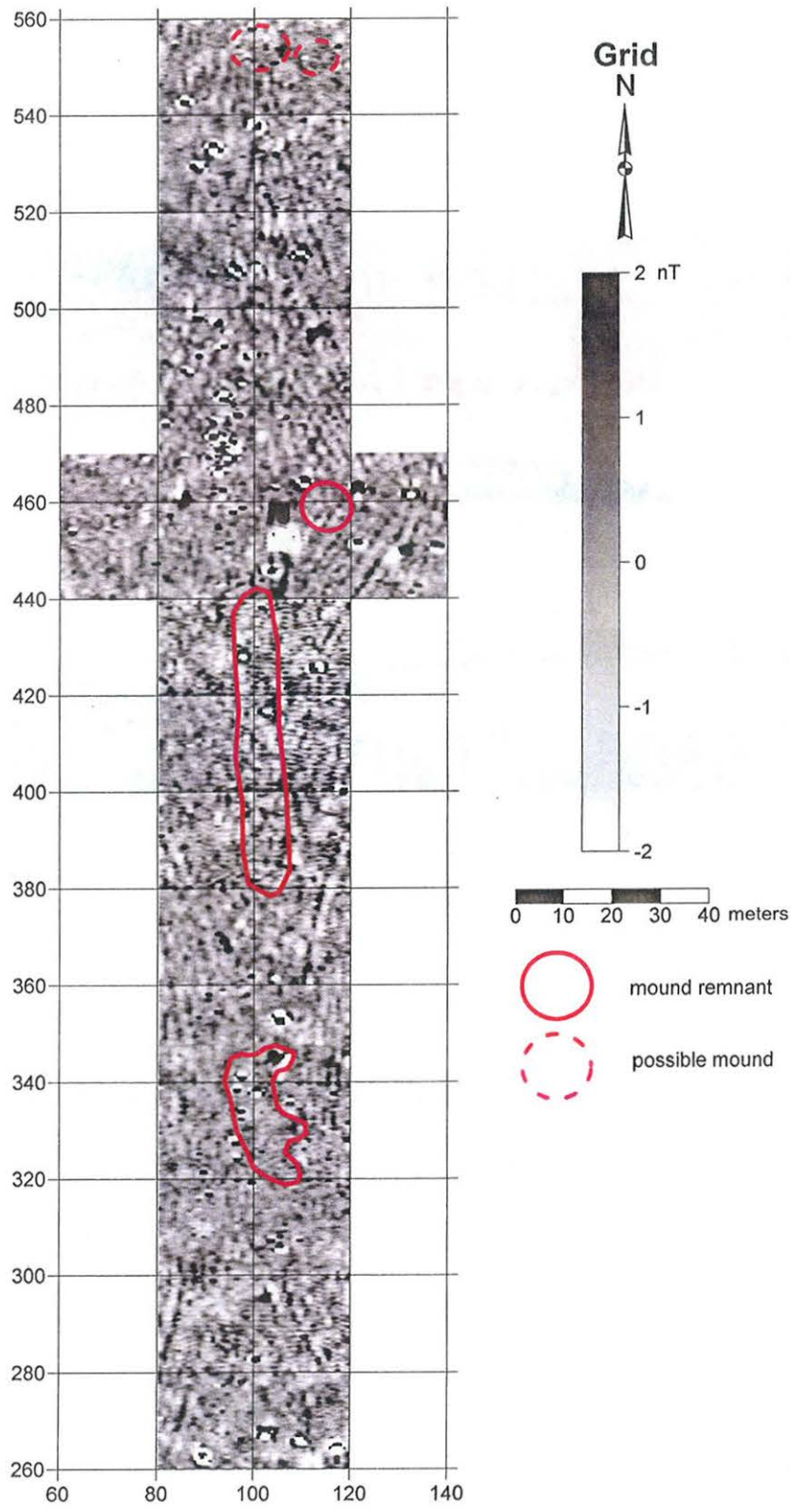


Figure 11. Interpretation of the magnetic data from the northern part of the Upper Meadow geophysical project area.

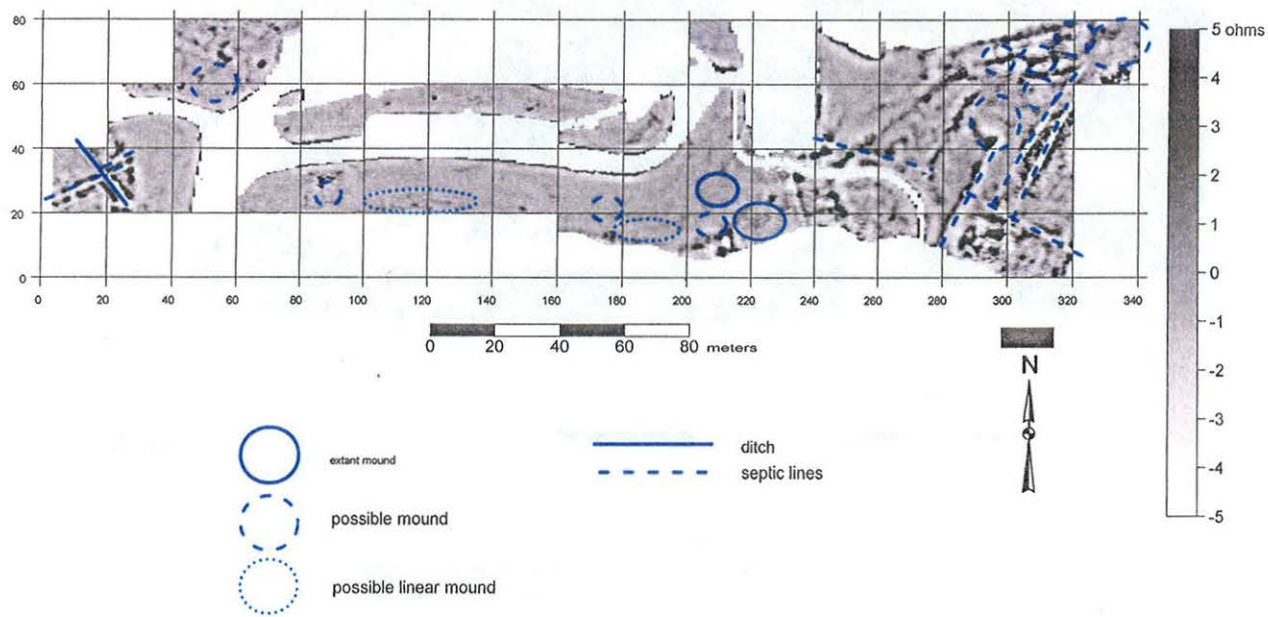


Figure 12. Interpretation of the resistance data from the northern portion of the Nezekaw Terrace geophysical project area.

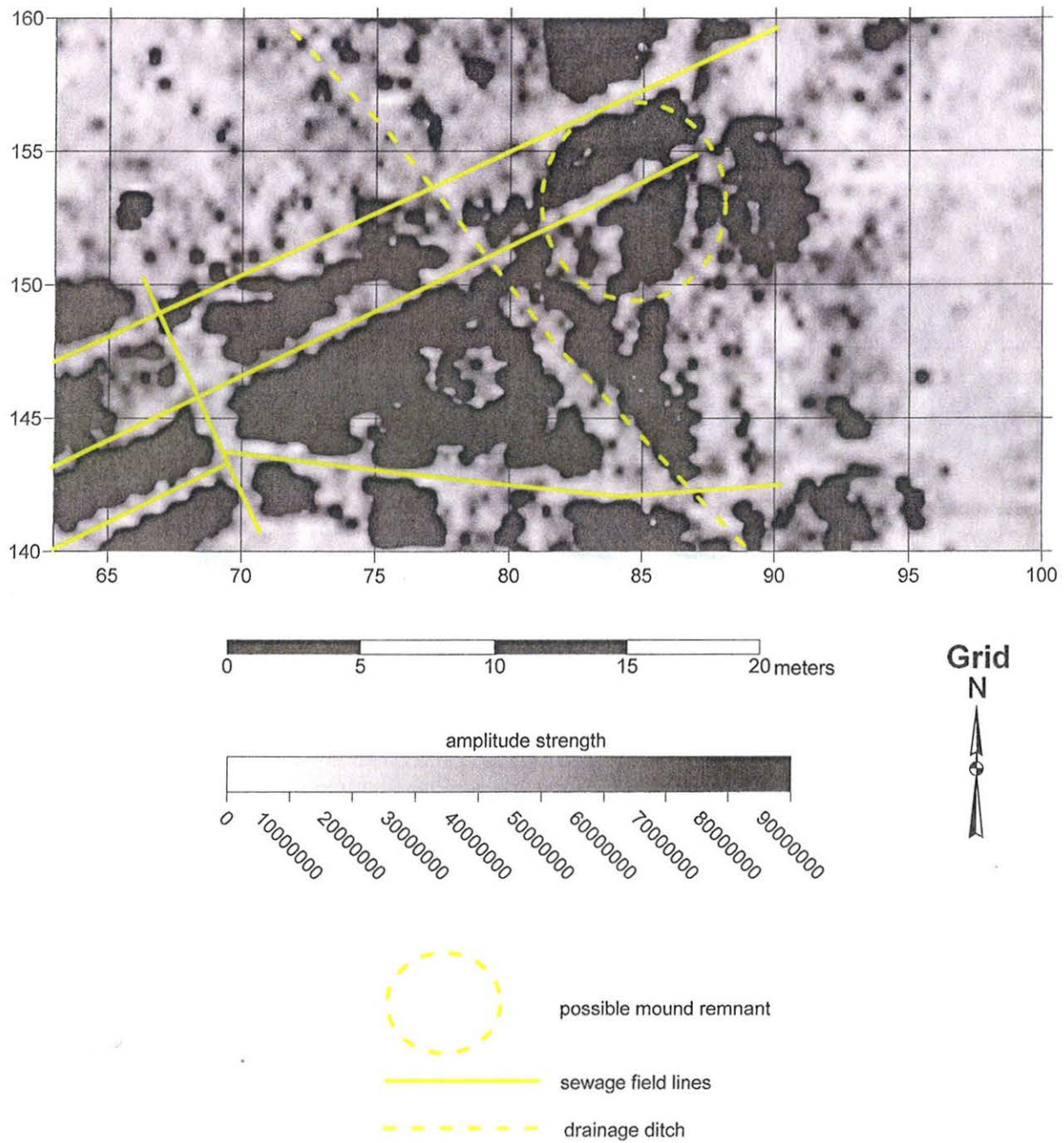


Figure 13. Interpretation of the ground penetrating radar data from time slice near the maintenance building on the northern part of the Nezekaw Terrace geophysical project area.

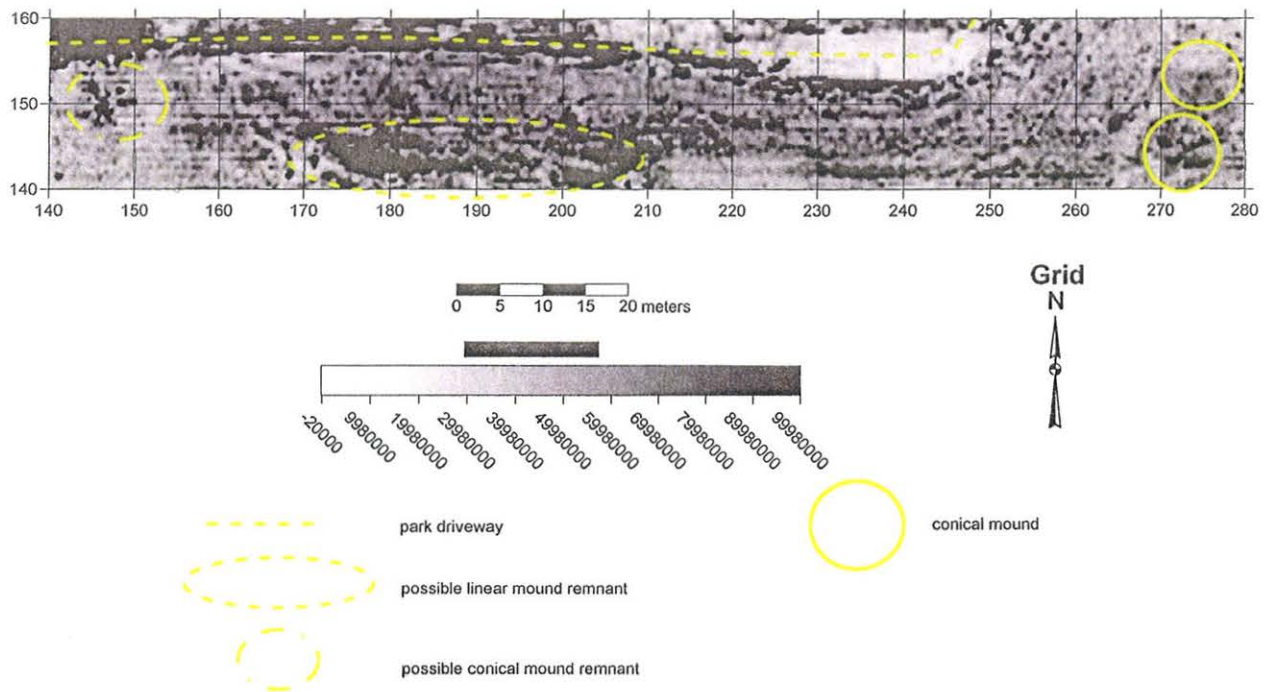


Figure 14. Interpretation of the ground penetrating radar data from time slice near the parking lot and visitors center on the northern part of the Nezekaw Terrace geophysical project area.

