Keystone Dam Safety Modification Study

Appendix H-6: Cultural Resources

Introduction

Keystone Dam is located on the tribal lands of the Muscogee (Creek) Nation, approximately 15 miles upstream from the City of Tulsa. It provides flood risk management benefits, hydropower, recreation, fish and wildlife habitat, and a source of water for municipal and industrial uses. The dam contributes to the operation of the McClellan-Kerr Arkansas River Navigation System which begins approximately 15 miles downstream of Tulsa; it reduces flood risk for thousands of people including numerous residential, commercial, and industrial buildings and public infrastructure. USACE has determined Keystone Dam requires structural improvements in order to safely meet authorized purposes and to reduce risk to the public and property from dam safety issues posed by floods and seepage.

Purpose

The primary purpose of this study is to determine potential risks associated with embankment overtopping during extreme flood events at Keystone Dam and with water moving through the rock beneath the dam; and to select a solution that abates these risks in a manner that is as cost effective with the lowest environmental and societal impact as possible.

Project Authority

Keystone Dam was originally authorized by Congress in the Flood Control Act of May 17, 1950 (Project Document SD 107, 81st Congress, 1st Session). The authorized purposes of Keystone Dam are flood control, water supply, hydroelectric power, navigation, and fish and wildlife enhancement. Following authorization, construction of Keystone Dam began in January 1957 and the project was placed in operation in September 1964 for flood control. The two generating units for hydroelectric power became operational in May 1968. The authorized project purposes, including flood risk management, continue to be fulfilled by the operation of Keystone Dam.

Recommended Plan

Alternative 5a is the Tentative Selective Plan (TSP) and includes modifying the existing service spillway by demolishing the existing spillway bridge, constructing a concrete baffle, and constructing a new bridge and parapet wall. The dam and embankments will be raised by a total of 10.5 feet and the existing spillway stilling basin and right training wall will be reinforced and stabilized. Work in the stilling basin will require construction of a coffer dam, divider walls, a dewatering system, and instrumentation.

Area of Potential Effect

Federal regulation 36 CFR 800.16(d) defines the area of potential effect (APE) as the geographic area(s) within which an undertaking may directly or indirectly cause alterations in the character or use of historic properties. The APE for the Keystone Dam Safety Modification includes the footprint of the existing dam, stilling basin, and abutments, an approximately 215-acre area just below the dam on the right and left banks that will be used for staging, and the adjoining portions of Old Highway 51 (Figure 1).

Figure 1. Keystone Dam Safety Modification Area of Potential Effect

Cultural Resources Compliance

Federal laws including the National Environmental Policy Act (NEPA) and Section 106 of the National Historic Preservation Act (NHPA), require that federal agencies "take into account the effects of their undertakings on historic properties" [(36 CFR 800.1(a)]. USACE has conducted background research and consulted with the Muscogee (Creek) Nation, Oklahoma State Historic Preservation Officer (SHPO), Oklahoma Archaeological Survey (OAS), and requested input from eight other federally recognized tribes. One of these, The Osage Nation, has agreed to participate in the consultation. Because impacts to historic properties cannot be fully determined in the feasibility phase, the USACE has developed a programmatic agreement to identify and evaluate potential effects on historic properties in accordance with 36 CFR § 800. A copy of this agreement is included herein. USACE began its public involvement process with a public scoping comment period to provide an avenue for public and agency stakeholders to ask questions and provide comments. A public meeting was held on February 12, 2020, at the Case Community Center, 1050 W Wekiwa Road, Sand Springs, Oklahoma 74063. No comments regarding cultural resources were received.

Physiography and Culture Chronology

Tulsa, Oklahoma is located on the Osage Plain, within the Central Lowlands of North America. Underlying geological formations consist of shale, limestone, sandstone, and thin coal beds. Loess, or windblown glacial sand, blankets the region and is bisected by the interfingering alluvial deposits of the Arkansas River (Holliday and Mandel, 2006; USGS, 2015). Previously dominated by tallgrass prairie, the project area and much of the surrounding region have been transformed in recent history by urban development and agricultural production (USDA, 1993; McPhail and Marston 2022).

Archaeological evidence from across Oklahoma indicate humans migrated to the area at least 11,000 years ago. Bison bone beds like those discovered at the Cooper and Jake Bluff sites, demonstrate coordinated hunting methods used by Paleoindians and are deeply buried in the alluvium that has accumulated in the arroyos and gullies of the late Pleistocene and early Holocene (Holiday and Mandel, 2006). Several earthworks and mound complexes associated with later pre-contact cultures have also been identified in eastern Oklahoma. These have provided important evidence regarding ceremonial and burial practices, landscape use, and vast trade networks that extended from the Great Lakes to central Mexico (Vogel, 2005).

Following the initial Spanish envoys of Coronado and Onate during the proto-historic period, French explorers entered the region and made contact with the Tawakoni peoples living along the Arkansas River. The Lasely Vore site, which sits on a bluff on the south side of the river, may be the location of a village described by Jean-Baptise Benard, Sieur de La Harp in 1719, as he made his way through the region in hopes of establishing trade with the Caddo. Lasely Vore is one of the most intensely studied sites in the region and has yielded a wealth of information about labor organization, intercommunity trade, tool maintenance, woodworking technologies, and other lifeways practiced during the time of early European contact (Odell, 1999).

Starting in 1806 American expeditions and travelers became more frequent in the area. Multiple expeditions were conducted within the project area in the early 1830s to prepare for resettlement of southeastern Tribes forced west across the Trail of Tears. Part of these preparations included founding Old Fort Arbuckle approximately 1.5 miles east of Keystone Dam (May 2022). Within the project area, the Muscogee (Creek) were removed from Georgia and Alabama to south of the Arkansas River, and the Cherokee Outlet (primarily used for grazing) occupied the area north of the Arkansas River (Moore 1980). Although approximately one quarter of their population perished during removal, the Muscogee experienced a period of renewal before the onset of the U.S. Civil War. Despite the Tribe's official alignment with the confederacy, some Muscogee factions were not in favor of confederacy, and a large group attempted to head north to Kansas in an effort to join the Union. They encountered confederate troops and a small battle took place. Known as the battle of Round Mountain, historians have debated on the battle's exact location (Williams 2022). One likely location has been inundated by Keystone Lake (see site description for 34TU2). The Cherokee sold part of the Outlet within the project area to the Osage who were forced to remove from Kansas in 1872. This area became the last Osage reservation and consists of present-day Osage County.

By the 1870s, the area consisted of dispersed small farms and ranches, mostly occupied by a mix of Muscogee settlers, newly arrived Anglo-American pioneers, or people of mixed race. The Tulsa area grew slowly until the first discoveries of oil occurred at Red Fork in 1901 and Glenn Pool in 1905. The oil boom led to a population boom and Tulsa quickly became a place of prosperity. (Nardone, 1967). In 1909, the Sand Springs industrial community was incorporated approximately 4 miles downstream of the future Keystone Dam location. Glass manufacturing, canning, rock mining, textile production, zinc smelting, and other industrial facilities soon populated the shores of the Arkansas River. Upstream in the project area, the economy has remained focused on agriculture and petroleum. When Keystone Lake was formed in the late 1960s, tourism and recreation became important components to the local economy as well.

Previous Cultural Resource Surveys

A review of OAS records indicated five previous terrestrial cultural resource surveys took place within (or partially within) one mile of the APE. Two surveys conducted in 1952 and from 1978-1980 encompassed the most acreage in order to document sites present before the lake was inundated and along the shoreline recorded the most sites, however both surveys relied heavily on local informants or pedestrian survey with little subsurface excavation. Many sites were not even visited in the field, and simply recorded through interviews with informants. Two additional surveys were conducted in 1992 and in 2012 by Cimmaron Telephone Company and by the Oklahoma Department of Transportation, respectively. Previous investigations involving survey are summarized in Table 1 below.

Table 1. Cultural resource surveys intersecting the project area.

Title	Date	Author
The Archaeological Survey of Keystone Reservoir: A Preliminary Report	1952	Harold Brighton
Unknown	1978	Jack Hofman
A Cultural Assessment of the Archaeological Resources in the Keystone Lake Project Area, North-Central Oklahoma	1980	Bruce Moore
Survey for Cimmaron Telephone Company	1992	Unknown
ODOT JP27015(04) US 64 Bridges over SH151	2012	Kristina Wykoff

Previously Recorded Cultural Resources

To date, twelve archaeological sites have been identified within one mile of the APE. All 12 identified archaeological sites are considered unevaluated for the National Register of Historic Places (NRHP) and therefore must be treated as eligible. Structures and other elements of the built environment aged 50 years or older within 1 mile of the dam and spillway construction area include the NRHP eligible Keystone Dam and the built environment of Keystone State Park. In accordance with the programmatic agreement, the USACE will perform intensive cultural resource investigations within the APE to identify any other historic properties and evaluate potential impacts associated with the undertaking. Previously recorded resources are briefly described below.

34TU1

Site 34TU1 is a prehistoric lithic scatter and historic artifact scatter recorded in 1952 that is located near Bakers Branch, a tributary of the Cimarron River. Artifacts recovered at the site include historic domestic refuse and prehistoric lithics. The site has not been evaluated for the NRHP.

34TU29

Site 34TU29 is a historic quarry with piles of unshaped rocks. Local informants at the time the site was recorded in 1979 suggested they were associated with Mr. Rupp, a local stone mason who lived in the vicinity of the current location of Keystone State Park. The site has not been evaluated for the NRHP.

34TU30

Site 34TU30 is a 1920s-1970s historic farmstead that was first recorded in 1979. The site was first recorded as a surface scatter with native rock foundations approximately 30m squared in woody, stony uplands. The site has not been evaluated for the NRHP.

34TU31

Site 34TU31 is a historic habitation consisting of a rectangular depression in a shallow slope. In 1979 when the site was recorded, the depression was 4.5m long by 3.8m wide and .5m deep. One artifact, a glass bottle fragment with a molded label reading “California Syrup Co.” was found approximately 15m from the depression. The site has not been evaluated for the NRHP.

34TU32

Site 34TU32 is a 200 meter portion of Old Keystone Highway. The site was found via surface survey in 1979 in wooded stony uplands. No artifacts were recorded with the roadbed. The site has not been evaluated for the NRHP.

34TU33

Site 34TU33 is a prehistoric rock shelter. Recorded in 1979, the shelter is 8m squared. No artifacts or features were found associated with the site. The site

has not been evaluated for the NRHP.

34TU34
Site 34TU34 is a historic quarry with piles of unshaped rocks. Local informants at the time the site was recorded in 1979 suggested they were associated with Mr. Rupp, a local stone mason who lived in the vicinity of the current location of Keystone State Park. The site has not been evaluated for the NRHP.

34TU35
Site 34TU35 is a historic habitation recorded in 1979. Similar to site 34TU36, one ovoid flat- bottom depression approximately 7m x 5m was present at the site. The site is roughly 100m squared located in wooded stony uplands. The site has not been evaluated for the NRHP.

34TU36
Site 34TU36 is a historic habitation. Three circular depressions approximately 5m in diameter and one ovoid flat-bottom depression approximately 7m x 5m present at the site were interpreted as possible collapsed dugouts of early homesteaders when the site was recorded in 1979. Artifacts observed included corrugated metal roofing, a metal gas can, and a brick. The site was recommended for further testing. The site has not been evaluated for the NRHP.

34TU37
Site 34TU37 is a historic farmstead located downstream of Keystone Dam. The site was recorded in 1979 and consists of three dry-laid walls set on a concrete foundation. The side walls consist of roughly shaped sandstone blocks approximately 2.5m long, 1.4m wide, and 1m high. The back wall consists of fired bricks. A well casing with a 20cm exterior diameter rested against the back wall. The building was interpreted to be a spring house or the foundation of an oil derrick, though it was noted the walls were not stained with oil. The site has not been evaluated for the NRHP.

34TU38
Site 34TU38 is a historic cemetery. In 1979 when it was recorded, it was described as an Indian cemetery with at least five graves within a fenced area. Four graves were marked with sandstone blocks and the fifth had a temporary metal marker. None of the markers possessed names or biographical information. The site is downstream of Keystone Dam. The site has not been evaluated for the NRHP.

34TU39
Site 34TU39 is a historic farmstead located on a floodplain downstream of

Keystone Dam. The site is roughly 6,600 square meters and has a slab foundation that was interpreted to be a potential trailer pad in 1979 when it was recorded. The site dates from the 1920s-1970s. The site has not been evaluated for the NRHP.

Keystone Dam

Keystone Dam was authorized in 1950, constructed between 1956-1964, and began producing electricity in 1968. The design includes a nuclear fallout shelter and an electricity generating power plant that was completed in 1968. In 2011 the dam was determined eligible for listing in the NRHP under Criterion A for its association with the economic development of Tulsa and eastern Oklahoma, as well as Criterion C for its unique, Cold War Era design. The physical characteristics which were determined to retain integrity and convey the dam's historical significance under Criterion C include the main shelter area, as well as the associated airlock, decontamination chamber, restrooms, and storage areas.

Keystone State Park

Keystone State Park is leased by the Oklahoma Tourism and Recreation Department for use as a public park from USACE and is within the western portion of the project area. The lease was initiated in 1966, and currently consists of 431 acres of contiguous property featuring modern and primitive campgrounds, a marina, day use recreational areas, a community center, and 22 cabins. The built environment of Keystone State Park has not been evaluated for the NRHP.

Recommendations

Although previous surveys have been conducted in the project area, it is important to note that many of the previous surveys' methodologies do not meet modern day standards. As the full project area has not been subjected to a modern cultural resources survey and the areas of potential ground disturbance have not been finalized, USACE cannot fully determine the effects of the undertaking on historic properties at this time. Per 36 CFR 800.14, USACE has developed a programmatic agreement among the USACE, the Advisory Council on Historic Preservation, the Muscogee (Creek) Nation, Oklahoma SHPO, OAS, and The Osage Nation to resolve adverse effects to historic properties. Per the enclosed Draft PA, the APE for cultural resources will be finalized in consultation with the signatories of the PA and systematic cultural resource survey will be conducted prior to construction. Impacts to historic properties will be resolved per the stipulations of the final, executed PA and 36 CFR 800.6.

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PROGRAMMATIC AGREEMENT
AMONG
THE U.S. ARMY CORPS OF ENGINEERS, TULSA DISTRICT,
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
THE MUSCOGEE (CREEK) NATION,
THE OKLAHOMA STATE HISTORIC PRESERVATION OFFICER,
THE OKLAHOMA ARCHEOLOGICAL SURVEY, AND
THE OSAGE NATION
REGARDING COMPLIANCE WITH SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT FOR
THE KEYSTONE DAM SAFETY MODIFICATION STUDY
IN
TULSA COUNTY, OKLAHOMA

WHEREAS the U.S. Army Corps of Engineers (USACE) has determined that Keystone Dam which is located on the Muscogee (Creek) Nation Reservation in Tulsa County, Oklahoma at Longitude: -96° 15' 6", Latitude: 36° 9' 6", Sec. 4 & 9. T. 19 N., R. 10 E. Keystone Dam, Oklahoma Quadrangle USGS 1958 requires structural improvements in order to safely meet authorized purposes and to reduce risk to the public and property from dam safety issues posed by floods and seepage; and

WHEREAS the USACE is conducting the Keystone Dam Safety Modification Study to develop and analyze alternatives to reduce flood risk in accordance with the National Environmental Policy Act (NEPA), ER 1105-2-100, and ER 1110-2-1156; and

WHEREAS the USACE has determined that the Keystone Dam Modification Study (hereinafter, "undertaking") constitutes an undertaking subject to Section 106 of the National Historic Preservation Act (NHPA), (54 USC 306108), and its implementing regulations (36 CFR 800); and

WHEREAS the undertaking is federally funded and the USACE is responsible for construction and maintenance of this undertaking, and is providing the necessary lands, easements, relocations and rights-of-way; and

WHEREAS the Area of Potential Effects (APE) for this undertaking includes the entire existing footprint of Keystone Dam and the adjoining abutments including all ground disturbing actions such as access roads, new roads, staging areas, and borrow areas, is located wholly on tribal lands, and is depicted in Attachment A; and

WHEREAS the Keystone Dam was determined eligible for listing in the National Register of Historic Places (NRHP) by the USACE, Tulsa District in consultation with the Oklahoma State Historic Preservation Officer who concurred with the determination on October 11, 2011; and

WHEREAS the USACE, has determined that the undertaking may have an effect on historic properties, and has consulted with the Muscogee (Creek) Nation Tribal Historic

Preservation Officer (THPO) and the Oklahoma State Historic Preservation Officer (SHPO); and

WHEREAS the July 9th, 2020, U.S. Supreme Court decision in McGirt v. Oklahoma, 591 U.S. (2020) found that the Muscogee (Creek) Nation Reservation, where Keystone Dam is located, was never disestablished, and Muscogee (Creek) Nation and SHPO are currently working to refine historic preservation compliance roles that may have shifted from this ruling. Accordingly, the USACE has invited Muscogee (Creek) Nation and they have agreed to be a Signatory to the PA; and

WHEREAS the USACE, the Muscogee (Creek) Nation, and the SHPO have agreed that because effects on the Keystone Dam or other historic properties cannot be fully determined or resolved prior to the approval of the undertaking, it is advisable to develop this PA for the purpose of identifying and evaluating potential effects on historic properties related to the undertaking in accordance with 36 CFR § 800.6, 36 CFR § 800.14(b)(1)(ii), and 36 CFR § 800.14(b)(3); and

WHEREAS the SHPO and Oklahoma Archeological Survey (OAS) have entered into a cooperative agreement under which the State Archaeologist at the OAS provides special services to the SHPO in the Section 106 review process. OAS maintains the inventory of Oklahoma's archaeological resources and provides professional services to the SHPO in pre-contact archaeology. The State Archaeologist at the OAS reviews federal undertakings for possible impacts on pre-contact archaeological resources and accordingly, USACE has invited the OAS to sign this Programmatic Agreement (PA) and they have elected to participate as an Invited Signatory; and

WHEREAS the USACE invited the following federally recognized Indian tribes (Tribes) to consult on this undertaking: the Cherokee Nation, The Osage Nation, the United Keetowah Band of Cherokee, the Alabama-Quassarte Tribal Town, the Apache Tribe of Oklahoma, the Cheyenne and Arapaho Tribes, the Delaware Nation, the Wichita Nation, and the United Keetoowah Band of Cherokee; and

WHEREAS the Cherokee Nation stated that it does not foresee this undertaking imparting impacts to Cherokee cultural resources, and will not be a concurring party on this PA, but wishes to be contacted for consultation in the event items of cultural significance are discovered during the course of the project; and

WHEREAS the USACE has invited The Osage Nation to participate in the PA as an Invited Signatory, in accordance with 36 CFR § 800.6(c)(2), and The Osage Nation has elected to sign the PA as an Invited Signatory; and

WHEREAS the Delaware Nation stated that they do not wish to participate in the PA and defer to the comments and concerns of the Muscogee (Creek) Nation, on whose reservation lands the project is located; and

WHEREAS the USACE did not receive requests to consult from the Alabama-Quassarte Tribal Town, the Apache Tribe of Oklahoma, the Cheyenne and Arapaho Tribes, the Wichita Nation, or the United Keetoowah Band of Cherokee; and

WHEREAS the USACE held a public meeting on February 12, 2019, in Sand Springs, Oklahoma and no comments regarding cultural resources were received from the public; and

WHEREAS in accordance with 36 CFR § 800.6(a)(1), USACE has notified the Advisory Council on Historic Preservation (ACHP) of its adverse effect determination with specified documentation and the request by the Muscogee (Creek) Nation for the ACHP's participation and the ACHP has chosen to participate; and

NOW, THEREFORE, the USACE, Muscogee (Creek) Nation, SHPO, ACHP, and The Osage Nation agree that the undertaking shall be implemented in accordance with the following stipulations in order to account for the effects of the undertaking on historic properties.

Stipulations

The USACE shall ensure that the following measures are carried out:

I. Scope, Standards, and Definitions

A. Scope of Undertaking. This PA shall be applicable to all excavation, modification of existing flood risk management infrastructure, construction of temporary access routes and construction staging areas and any other ground disturbing activities proposed by the Keystone Dam Safety Modification Study. When the project design is approximately thirty-five (35) percent complete, the APE shall be finalized by the USACE in consultation with the Signatories, Invited Signatories, and consulting parties who have expressed an interest in this project, and shall include all areas to be directly and indirectly affected by the undertaking.

B. Qualifications and Standards. The USACE shall ensure that all work conducted in conjunction with this PA is performed in a manner consistent with the Secretary of Interior's "Standards and Guidelines for Archeology and Historic Preservation" (48 FR 44716-44740;), or the Secretary of the Interior's "Standards for the Treatment of Historic Properties" (36 CFR 68), as appropriate. Except where otherwise stipulated in this PA or determined appropriate by the Signatories and Invited Signatories of this PA in future consultation, the USACE shall ensure that all survey and reporting conducted in association with this PA shall adhere to the Archaeological Standards for the Muscogee (Creek) Nation, The Osage Nation, as well as the SHPO publication "Architectural/Historic Survey: A Field Guide", which are included herein as Attachment B.

C. . Definitions. The definitions set forth in 36 CFR § 800.16 are incorporated

herein by reference and apply throughout this PA.

II. Identification, Evaluation, Effect Determination, and Resolution

A. Identification of Historic Properties. The Keystone Dam was determined eligible for listing in the NRHP on October 11, 2011. Prior to the initiation of construction and when the project design has reached approximately thirty-five (35) percent completion, the USACE shall identify any other historic properties located within the APE. These steps may include, but are not limited to, background research, consultation, oral history interviews, sample field investigations, and field survey. The level of effort for these activities shall be determined in consultation with the Muscogee (Creek) Nation on whose tribal lands the undertaking will occur, as well as other Signatories and Invited Signatories of this PA. All draft scopes of work and reports of survey or site testing investigations shall be submitted to the Signatories and Invited Signatories for review, comment, and concurrence. If previously recorded cultural resources are revisited during cultural resource investigations, USACE will provide updated site forms or Historic Preservation Resource Identification Forms to SHPO and OAS for those resources. If comments are not received by the USACE within thirty (30) business days of receipt, the draft scopes of work, reports, and their recommendations shall be considered adequate, and may be finalized unless a fifteen (15) business day extension is approved by the USACE. If comments from The Osage Nation or the Muscogee (Creek) Nation are not received by the USACE within twenty-five (25) business days, the USACE will contact the Tribe(s) by phone to seek their intent and comment. Comments received by the USACE from the Muscogee (Creek) Nation, SHPO, OAS, and The Osage Nation shall be addressed in the final reports, which shall be provided to all parties of the PA. If no historic properties are identified in the APE, the USACE shall document this finding pursuant to 36 CFR § 800.11(d) and provide this documentation to the Muscogee (Creek) Nation, SHPO, and The Osage Nation.

B. Evaluation of National Register Eligibility. If additional cultural resources are identified within the APE, the USACE shall determine their eligibility for the NRHP in accordance with the process described in 36 CFR § 800.4(c) and criteria established in 36 CFR 60. All draft reports of NRHP site testing or other NRHP investigations shall be submitted to the Muscogee (Creek) Nation, SHPO, OAS, and The Osage Nation for review, comment, and concurrence. If comments are not received by the USACE within thirty (30) business days of receipt, the reports or investigations and their recommendations shall be considered adequate and the reports may be finalized, unless a fifteen (15) business day extension is approved by the USACE. If comments from The Osage Nation or the Muscogee (Creek) Nation are not received by the USACE within twenty-five (25) business days, the USACE will contact the Tribe(s) by phone to seek their intent and comment. All comments received by the USACE from the Muscogee Nation, SHPO, OAS, and The Osage Nation shall be tracked for response and addressed in the final report, which shall be provided to all parties of the PA. If there is disagreement among the Signatories or Invited

Signatories of the PA regarding the appropriate resolution of comments, the USACE shall continue consultation to seek concurrence among all parties. If, after additional consultation, the USACE is unable to resolve or concur with comments provided by a Signatory or Invited Signatory of the PA that do not pertain to site eligibility, the USACE may document any non-concurrence and finalize the report. The determinations of eligibility shall be conducted in consultation with the Muscogee (Creek) Nation, SHPO, OAS, and The Osage Nation. Should the USACE, Muscogee (Creek) Nation, SHPO, The Osage Nation, and OAS agree that a property is or is not eligible, then such consensus shall be deemed conclusive for the purpose of this PA. Should the USACE, Muscogee (Creek) Nation, SHPO, The Osage Nation, and OAS not agree regarding the eligibility of a property, the USACE shall continue consultation and review its finding, taking into consideration the views of the aforementioned parties. If after additional consultation and review, the USACE cannot reach agreement with the Muscogee (Creek) Nation, SHPO, The Osage Nation, and OAS, the USACE shall obtain a determination of eligibility from the Secretary of the Interior, pursuant to 36 CFR § 800.4(c)(2). For historic properties found not eligible for the NRHP, no further protection or consideration of the site under this PA will be afforded.

C. No Historic Properties Affected. The USACE shall evaluate the effect of the undertaking on each historic property identified in the APE. The USACE may conclude that no historic properties are affected by this undertaking if the undertaking will not alter the characteristics of the Keystone Dam that qualify it for inclusion in the NRHP and if the undertaking will have no effect as defined in 36 CFR § 800.16(i) on any other historic property. This finding shall be documented in compliance with 36 CFR § 800.11(d) and the documentation shall be provided to the Muscogee (Creek) Nation, SHPO, The Osage Nation, and OAS for review, comment, and concurrence. If comments from the OAS and SHPO are not received by the USACE within thirty (30) business days, the reports may be finalized. If comments from The Osage Nation or the Muscogee (Creek) Nation have not been received within twenty-five (25) business days, the USACE will contact the Tribe(s) by phone to seek their intent and comment. The USACE shall retain documentation of the findings for at least seven (7) years. The USACE shall provide information on the finding to the public upon request, consistent with the confidentiality requirements or 36 CFR § 800.11(c) and Section 304 of the NHPA.

D. Assessment of Adverse Effects.

1. Finding of No Adverse Effect. The USACE, in consultation with the Muscogee (Creek) Nation, SHPO, OAS, and The Osage Nation shall apply the criteria of adverse effect to historic properties within the APE in accordance with 36 CFR § 800.5. The USACE may propose a finding of no adverse effect if the undertaking's effects do not meet the criteria of 36 CFR § 800.5(a)(1) or the undertaking is modified or conditioned to avoid adverse effects in accordance with 36 CFR 68 (SOI standards). The USACE shall provide to the

Muscogee (Creek) Nation, SHPO, The Osage Nation, and OAS documentation of this finding meeting the requirements of 36 CFR § 800.11(e). The Muscogee (Creek) Nation, SHPO, OAS, and The Osage Nation shall have thirty (30) business days in which to review the findings and provide a written response to the USACE. If comments from The Osage Nation or the Muscogee (Creek) Nation have not been received within twenty-five (25) business days, the USACE will contact the Tribe(s) by phone to seek their intent and comment The USACE shall maintain a record of the finding for at least seven (7) years and provide information on the finding to the public upon request, consistent with the confidentiality requirements of 36 CFR § 800.11(c) and Section 304 of the NHPA.

2. Resolution of Adverse Effect. If the USACE determines that the undertaking will have an adverse effect on historic properties as measured by criteria in 36 CFR § 800.5(a)(1), the USACE shall consult with the Muscogee (Creek) Nation, SHPO, OAS, and The Osage Nation to resolve adverse effects in accordance with 36 CFR § 800.6.

    a) For historic properties that will be adversely affected, the USACE shall:

        (1) Consult with the Muscogee (Creek) Nation, The Osage Nation, and SHPO to identify other individuals or organizations to be invited to become consulting parties. If additional consulting parties are identified, the USACE shall provide them copies of documentation specified in 36 CFR § 800.11(e) subject to confidentiality provisions of 36 CFR § 800.11(c).

        (2) Afford the public an opportunity to express their views on resolving adverse effects in a manner appropriate to the magnitude of the project and its likely effects on historic properties.

        (3) Consult with the Muscogee (Creek) Nation, SHPO, OAS, The Osage Nation, and any additional consulting parties to develop and evaluate alternatives or modifications to the undertaking that could avoid, minimize, or mitigate adverse effects.

    b) If the USACE, the Muscogee (Creek) Nation, the SHPO, the OAS, and The Osage Nation agree that mitigation of adverse effects to a historic property is required, the USACE shall prepare an appropriate mitigation plan in consultation with the Signatories and Invited Signatories of the PA, which describes mitigation measures proposed by the USACE. Signatories and Invited Signatories shall have thirty (30) business days to provide written response to the proposed mitigation plan. The USACE shall maintain a record of any comments provided and shall consult with Signatories and Invited Signatories to resolve comments and to revise the

mitigation plan. Upon fulfillment of the mitigation plan, the USACE shall notify the Signatories and Invited Signatories in writing.

c) If, after consulting to resolve adverse effects, the ACHP, the USACE, the Muscogee (Creek) Nation, OAS, The Osage Nation, or the SHPO determines that further consultation will not be productive, then any party may terminate consultation in accordance with the notification requirements and processes prescribed in Section V below.

III. Post Review Changes and Discoveries

A. Changes in the Undertaking. If construction on the undertaking has not commenced and the USACE determines that it will not conduct the undertaking as originally coordinated, the USACE shall reopen consultation pursuant to Stipulation I. A-F.

B. Unanticipated Discoveries or Effects. Pursuant to 36 CFR § 800.13(b)(3), if historic properties are discovered or unanticipated effects on historic properties are found after construction on an undertaking has commenced, the USACE shall ensure the following steps are taken:

1. The Contractor will immediately notify the Lead Environmental Inspector ("EI") of an unanticipated discovery or effect.

2. In the event unanticipated archaeological deposits are encountered, the Lead EI will immediately direct a *Stop Work* order within a ninety (90) meter radius of the discovery to the Contractor's Site Foreman to flag or fence off the archaeological discovery location and direct the Contractor to take measures to ensure site security. Any discovery made on a weekend or overnight hours will be protected until all appropriate parties are notified of the discovery. The Contractor will not restart work in the ninety (90) meter radius area of the find until USACE, in consultation and concurrence with the Signatories and Invited Signatories of this PA, has granted clearance.

3. If unanticipated effects to the built environment are identified, the Lead EI will direct a *Stop Work* order within the APE of the resource to prevent additional impacts.

4. The Lead EI will indicate the location and date of the discovery on the project plans and will provide the information to the USACE archaeologist and historical architect.

5. Within twenty-four (24) hours of receipt of notification of the discovery, the USACE archaeologist and/or historical architect shall:

a) Inspect the work site and determine the extent of the affected cultural resource and ensure that construction activities have halted; and

b) Ensure the area of the discovery is properly marked to protect the area from looting and vandalism and to prevent any additional effects to above ground resources of concern.

6. Within twenty-four (24) hours of notification of the discovery, the USACE archaeologist and/or historic architect shall notify by phone the Signatories, Invited Signatories, and consulting parties of the PA.

7. The USACE archaeologist and/or historical architect will conduct a preliminary assessment of the find to determine if the find is of historic or less than fifty (50) years of age, and in the case of archaeological deposits, whether the cultural material represents an archaeological site of unknown or potential significance.

   a) If the find is determined to not be a potentially significant archaeological site, TCP, or an above ground resource that is not eligible for listing in the NRHP and receives concurrence by the Signatories, Invited Signatories, and consulting parties of the PA, the Lead EI will notify the Contractor's Work Foreman to resume work.

   b) If the USACE determines the find represents an archaeological site of unknown or potential significance, the USACE will notify all parties to the PA within twenty-four hours (24) hours. Work will not resume at this location until USACE has provided authorization.

8. The USACE archaeologist and/or historical architect will begin a more detailed assessment of the find's significance and the potential project effects in a manner consistent with National Register Bulletin 15 "How to Apply the National Register Criteria for Evaluation" (NPS 1990). The USACE archaeologist will dispatch an archaeological team to the site to determine the nature and extent of the archaeological deposits; USACE will ensure that the team has full access to the required site area and be accommodated by the Contractor to complete this investigation within fourteen (14) calendar days. The Signatories and/or Invited Signatories of the PA may extend this fourteen (14) day calendar period one time, with the party requesting extension providing written notice to the other parties prior to the expiration date of the said fourteen (14) day calendar period. All parties must approve the requested extension and its duration in writing.

9. The USACE archaeologist will notify all parties of the PA of the archaeological team's findings and recommendations.

10. If the archaeological deposits or elements of the built environment are determined to be eligible for listing in the NRHP and are threatened by further project development the USACE shall develop and execute a

mitigation plan in accordance with Stipulation I. F(3)(b) of this PA.

11. Teleconferences may be held with parties of the PA to discuss options and recommendations.

12. Upon request, parties of the PA and their representatives shall be allowed to visit the site with the USACE archaeologist and/or historical architect.

13. A meeting, site visit, or teleconference may be held with parties of the PA to assess mitigation activities.

14. Duration of any work stoppages will be contingent upon the significance, size, and depth of the identified archaeological resource(s) and/or the nature and extent of anticipated impacts to above ground resources. The USACE archaeologist and/or historical architect, in consultation and concurrence with the consulting parties to the PA, will determine the appropriate measures to avoid, minimize, or mitigate any adverse effects to historic properties.

15. If the Signatories and Invited Signatories of the PA cannot reach agreement regarding the NRHP eligibility of a resource or the resolution of adverse effects, the USACE shall seek and take into account the recommendations of the ACHP in accordance with Stipulations I.E. and I.F(3) (c-e) of this PA.

C. Unanticipated Discoveries of Human Remains and/or Funerary Objects. The USACE will treat any human remains and/or funerary objects encountered during the undertaking in accordance with the Native American Graves Protection and Repatriation Act (NAGPRA) Pub.L. 101-601; 25 U.S.C. 3001-3013;104 Stat. 3048-3058, 43 CFR § 10, and in a manner guided by the ACHP's *Policy Statement Regarding Treatment of Burial Sites, Human Remains, and Funerary Objects* (2007). In the event that human remains and/or funerary objects are discovered during historic properties investigations or during construction, the USACE will implement the following steps:

1. The Contractor will immediately notify the Lead EI of an unanticipated discovery of potential human remains and/or funerary objects.

2. The Lead EI will immediately direct a *Stop Work* order within a ninety (90) meter radius of the discovery to the Contractor's Site Foreman to flag or fence off the discovery location and direct the Contractor to take measures to ensure site security. Any discovery made on a weekend or overnight hours will be protected until all appropriate parties are notified of the discovery. The Contractor will not restart work within the ninety (90) meter radius area of the find until USACE, in consultation and concurrence with the Signatories and Invited Signatories of the PA, has granted clearance.

3. The Lead EI will indicate the location and date of the discovery on the Project plans by a notation of "sensitive avoidance area" and notify the USACE

archaeologist.

4. The USACE archaeologist will immediately notify local law enforcement, including the Muscogee (Creek) Nation Lighthorse Police and the office of the Chief Medical Examiner of the human remains and/or funerary objects. They shall be allowed access to the location of the discovery to conduct their investigation.

5. If it is declared a criminal matter, the USACE archaeologist will have no further involvement and the decision to declare it a *Cleared Site* for construction will be made by the appropriate legal authorities.

6. Within twenty-four (24) hours of receipt of notification of the discovery, the USACE archaeologist shall:

    a) Notify all parties to the PA of the discovery by telephone and email (Attachment C);

    b) Inspect the work site and determine the extent of the affected human remains and/or funerary objects and ensure that construction activities have halted;

    c) Ensure the area of the discovery is marked by means of flagging or fencing within the ninety (90) meter radius to protect the area from looting and vandalism; and

    d) Implement additional protective measures as necessary, such as on-site 24-hour security, and cover the remains using canvas tarps.

7. At all times human remains and/or funerary objects must be treated with the utmost dignity and respect. Human remains and/or associated artifacts will be left in place and not disturbed. No skeletal remains or materials associated with the remains will be collected or removed until appropriate consultation has taken place and a plan of action has been developed. Photography of human remains shall not be allowed except as necessary for purposes of: 1) law enforcement investigations; and 2) archaeological investigations as part of an approved scope of work for survey, testing, or mitigation, which has been reviewed and received concurrence from consulting Signatories and Invited Signatories to the PA, following Stipulations I.D-F of this PA.

8. In order to ensure compliance with NAGPRA and until there is evidence to the contrary, all human remains will be treated as potentially Native American and shall be secured and protected pursuant to the requirements of

NAGPRA and its regulation with notification and consultation with the Muscogee (Creek) Nation, The Osage Nation, and other consulting federally-recognized Tribes.

9. If it is determined that the human remains and/or funerary objects are not Native American, USACE will consult with the Oklahoma State Archaeologist, the SHPO, and descendants or other interested parties regarding appropriate treatment measures. The State Archaeologist and the SHPO, with the Director of the Oklahoma Museum of Natural History may designate a repository for curation of skeletal remains and burial furniture in accordance with Oklahoma State Statutes § 21-1168.2 and § 21-1168.5.

10. If the find is more likely Native American, the USACE archaeologist, in consultation with Signatories and Invited Signatories of the PA, will comprehensively evaluate the potential to avoid and/or minimize the undertaking's effects to the human remains and/or funerary objects. If no feasible avoidance plan can be developed to allow the human remains and/or funerary objects to stay in place, in consultation with the Muscogee (Creek) Nation, The Osage Nation, and other consulting federally-recognized Tribes, USACE will engage in the development of a site-specific disinterment/re-interment plan.

11. Human remains and/or funerary objects will be left in place and protected from further disturbance until a site-specific work plan for their avoidance or removal can be generated. Avoidance measures will be sought as the preferred choice of the Muscogee (Creek) Nation and The Osage Nation.

12. Upon request, consulting Signatories, Invited Signatories, federally-recognized Tribes, or descendants shall be able to visit the site with the USACE archaeologist.

IV. Curation and Disposition of Recovered Materials, Records, and Reports

A. Curation. The USACE shall ensure that all archaeological materials and associated records which result from identification, evaluation, and treatment efforts conducted under this PA, are accessioned into a curation facility in accordance with the standards of 36 CFR 79, except as specified in Stipulation IV for human remains.

B. Reports. Draft survey reports will be coordinated with Signatories and Invited Signatories of the PA in accordance with Stipulation I.D. Within thirty (30) days of receiving the approved final, the USACE shall provide copies of final technical reports of investigations and mitigation to all Signatories and Invited Signatories of the PA, as well as additional copies, with locations of archaeological sites redacted, for public distribution as appropriate. All consulting parties shall withhold site location information or other data that may be of a confidential or sensitive nature.

V. PA Amendments, Disputes and Termination

A. Amendments. Any Signatory or Invited Signatory to the PA may propose to the other parties that it be amended, whereupon the parties will consult in accordance with 36 CFR § 800.6(c)(7) to consider such an amendment. This PA will be amended when such an amendment is agreed to in writing by all Signatories and Invited Signatories. The amendment will be effective on the date a copy signed by all of the Signatories and Invited Signatories is filed with the ACHP.

B. Dispute Resolution. Should any Signatory or Invited Signatory to this PA object at any time to any actions proposed or the manner in which the terms of this PA are implemented, the USACE shall consult with such party to resolve the objection. If the USACE determines that such objection cannot be resolved, the USACE will:

1. Forward all documentation relevant to the dispute, including the USACE's proposed resolution, to the ACHP. The ACHP shall provide the USACE with its advice on the resolution of the objection within thirty (30) days of receiving adequate documentation. Prior to reaching a final decision on the dispute, the USACE shall prepare a written response that takes into account any timely advice or comments regarding the dispute from the ACHP, Signatories, and Invited Signatories and provide them with a copy of this written response. The USACE will then proceed according to its final decision.
2. If the ACHP does not provide its advice regarding the dispute within the thirty (30) day time period, the USACE may make a final decision on the dispute and proceed accordingly. Prior to reaching such a final decision, the USACE shall prepare a written response that takes into account any timely comments regarding the dispute from the Signatories and Invited Signatories to the PA and provide them and the ACHP with a copy of such written response.
3. The USACE's responsibilities to carry out all other actions subject to the terms of this PA that are not the subject of the dispute remain unchanged.

C. Termination of PA. If any Signatory or Invited Signatory to this PA determines that its terms will not or cannot be carried out, that party shall immediately consult with the other Signatories and Invited Signatories to attempt to develop an amendment per Stipulation V.A. above. If within sixty (60) days an amendment cannot be reached, any Signatory or Invited Signatory may terminate the PA upon written notification to the other Signatories and Invited Signatories. Once the PA is terminated, and prior to work continuing on the undertaking, the USACE must either (a) execute PA pursuant to 36 CFR § 800.14(b)(3) and 36 CFR § 800.6 or (b) request, take into account, and respond to the comments of the ACHP under 36 CFR § 800.7. The USACE shall notify the Signatories and Invited Signatories as to the course of action it will pursue.

VI. Term of this PA

A. This PA remains in force for a period of ten (10) years from the date of its execution by all Signatories and Invited Signatories, unless terminated pursuant to Stipulation IV.C. Sixty (60) calendar days prior to the conclusion of the ten (10) year period, the USACE shall consult with all parties in writing of the end of the ten-year period to determine whether it is appropriate to extend the term of the PA in accordance with the amendment procedures described in section V.A. above.

B. The USACE shall notify by email and/or make arrangements for a teleconference with all Signatories and Invited Signatories of this PA each year for the purposes of updating all parties on the current status of the PA. This shall include an update of the overall project status and projected schedule, an accounting of any reports submitted, site eligibility determinations, and other stipulations that have been fulfilled, as well as the status of tasks to be accomplished, and a summary of ongoing consultation.

Execution of this PA and implementation of its terms evidences that the USACE has afforded the ACHP an opportunity to comment on the undertaking and its effects on historic properties,

Signature Page for the U.S. Army Corps of Engineers

PROGRAMMATIC AGREEMENT
AMONG
THE U.S. ARMY CORPS OF ENGINEERS, TULSA DISTRICT,
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
THE MUSCOGEE (CREEK) NATION,
THE OKLAHOMA STATE HISTORIC PRESERVATION OFFICER,
THE OKLAHOMA ARCHEOLOGICAL SURVEY, AND
THE OSAGE NATION
REGARDING COMPLIANCE WITH SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT FOR
THE KEYSTONE DAM SAFETY MODIFICATION STUDY
IN
TULSA COUNTY, OKLAHOMA

Signatory:

U.S. ARMY CORPS OF ENGINEERS, TULSA DISTRICT

_____

Colonel Timothy P. Hudson **Date**
Commander and District Engineer, USACE Tulsa District

Signature Page for the Advisory Council on Historic Preservation

PROGRAMMATIC AGREEMENT
AMONG
THE U.S. ARMY CORPS OF ENGINEERS, TULSA DISTRICT,
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
THE MUSCOGEE (CREEK) NATION,
THE OKLAHOMA STATE HISTORIC PRESERVATION OFFICER,
THE OKLAHOMA ARCHEOLOGICAL SURVEY, AND
THE OSAGE NATION
REGARDING COMPLIANCE WITH SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT FOR
THE KEYSTONE DAM SAFETY MODIFICATION STUDY
IN
TULSA COUNTY, OKLAHOMA

Signatory:

ADVISORY COUNCIL ON HISTORIC PRESERVATION

_____

Reid Nelson **Date**
Executive Director, Advisory Council on Historic Preservation

Signature Page for the Muscogee (Creek) Nation

PROGRAMMATIC AGREEMENT
AMONG
THE U.S. ARMY CORPS OF ENGINEERS, TULSA DISTRICT,
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
THE MUSCOGEE (CREEK) NATION,
THE OKLAHOMA STATE HISTORIC PRESERVATION OFFICER,
THE OKLAHOMA ARCHEOLOGICAL SURVEY, AND
THE OSAGE NATION
REGARDING COMPLIANCE WITH SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT FOR
THE KEYSTONE DAM SAFETY MODIFICATION STUDY
IN
TULSA COUNTY, OKLAHOMA

Signatory:

MUSCOGEE (CREEK) NATION

_____

Chief David W. Hill **Date**
Principal Chief, Muscogee (Creek) Nation

Signature Page for State Historic Preservation Officer

PROGRAMMATIC AGREEMENT
AMONG
THE U.S. ARMY CORPS OF ENGINEERS, TULSA DISTRICT,
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
THE MUSCOGEE (CREEK) NATION,
THE OKLAHOMA STATE HISTORIC PRESERVATION OFFICER,
THE OKLAHOMA ARCHEOLOGICAL SURVEY, AND
THE OSAGE NATION
REGARDING COMPLIANCE WITH SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT FOR
THE KEYSTONE DAM SAFETY MODIFICATION STUDY
IN
TULSA COUNTY, OKLAHOMA

Signatory:

OKLAHOMA STATE HISTORIC PRESERVATION OFFICER

_____

Trait Thompson **Date**
State Historic Preservation Officer

Signature Page for Oklahoma Archeological Survey

PROGRAMMATIC AGREEMENT
AMONG
THE U.S. ARMY CORPS OF ENGINEERS, TULSA DISTRICT,
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
THE MUSCOGEE (CREEK) NATION,
THE OKLAHOMA STATE HISTORIC PRESERVATION OFFICER,
THE OKLAHOMA ARCHEOLOGICAL SURVEY, AND
THE OSAGE NATION
REGARDING COMPLIANCE WITH SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT FOR
THE KEYSTONE DAM SAFETY MODIFICATION STUDY
IN
TULSA COUNTY, OKLAHOMA

Invited Signatory:

OKLAHOMA ARCHEOLOGICAL SURVEY

_____

Dr. Kary L. Stackelbeck **Date**
State Archaeologist, Oklahoma Archeological Survey

Signature Page for the Osage Nation

PROGRAMMATIC AGREEMENT
AMONG
THE U.S. ARMY CORPS OF ENGINEERS, TULSA DISTRICT,
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
THE MUSCOGEE (CREEK) NATION,
THE OKLAHOMA STATE HISTORIC PRESERVATION OFFICER,
THE OKLAHOMA ARCHEOLOGICAL SURVEY, AND
THE OSAGE NATION
REGARDING COMPLIANCE WITH SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT FOR
THE KEYSTONE DAM SAFETY MODIFICATION STUDY
IN
TULSA COUNTY, OKLAHOMA

Invited Signatory:

THE OSAGE NATION

_____

Chief Geoffrey M. Standing Bear **Date**
Principal Chief, Osage Nation

ATTACHMENT A
TO THE
PROGRAMMATIC AGREEMENT
AMONG
THE U.S. ARMY CORPS OF ENGINEERS, TULSA DISTRICT,
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
THE MUSCOGEE NATION,
THE OKLAHOMA STATE HISTORIC PRESERVATION OFFICER,
THE OKLAHOMA ARCHEOLOGICAL SURVEY,
AND
THE OSAGE NATION
REGARDING COMPLIANCE WITH SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT FOR
THE KEYSTONE DAM SAFETY MODIFICATION STUDY
IN
TULSA COUNTY, OKLAHOMA


Keystone Dam Safety Modification
Area of Potential Effect
412
151
W Wekiwa Rd
W Wekiwa Rd
151
S 222nd W Ave
151
Frontier Country
AVOIDANCE AREA
Old State Hwy 51
Old State Hwy 51
151
Old State Hwy 51
N
Google Earth
3000 ft

ATTACHMENT B
TO THE
PROGRAMMATIC AGREEMENT
AMONG
THE U.S. ARMY CORPS OF ENGINEERS, TULSA DISTRICT,
THE ADVISORY COUNCIL ON HISTORIC PRESERVATION,
THE MUSCOGEE NATION,
THE OKLAHOMA STATE HISTORIC PRESERVATION OFFICER,
THE OKLAHOMA ARCHEOLOGICAL SURVEY,
AND
THE OSAGE NATION
REGARDING COMPLIANCE WITH SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT FOR
THE KEYSTONE DAM SAFETY MODIFICATION STUDY
IN
TULSA COUNTY, OKLAHOMA

ARCHAEOLOGICAL STANDARDS
FOR THE MUSCOGEE (CREEK) NATION

The following archaeological survey standards have been developed to assist archaeologists in conducting an archaeological intensive survey (Phase I) on tribal lands for the Muscogee (Creek) Nation (MCN) which includes their current twelve counties area of interest in Oklahoma and their ancestral territory in the southeast (contact the Muscogee (Creek) Nation Historic and Cultural Preservation Department (HCPD) for further guidance). All archaeological fieldwork is required to follow Section 106 of the National Historic Preservation Act of 1966, as amended (NHPA) (see 36 CFR Part 800) which details the significance and value of historic properties. All cultural resources are to be recorded, investigated, and evaluated during the project. Archaeologists must identify, record, and evaluate precontact and postcontact archaeological sites, any historic and architectural properties, and cemeteries. These include all sites that are 50 years and older.

Any data on fieldwork conducted and information on specific site locations (either in text or on maps) must not be a part of any report that is made available to the public. This information will also not be used in any report or presentation that is published for public or professional audiences after the project is completed. Consultation with the Muscogee (Creek) Nation is required if an individual wants to use any information from survey work.

The guidelines listed below demonstrate the minimum amount of work that will be acceptable for Phase I survey work. Additionally, these standards do not limit additional work (e.g. supplemental shovel testing, auger testing in areas with deep deposits, unit excavations, trenching, etc.) that may be deemed necessary by the MCN HCPD during the field work to evaluate archaeological sites or assess the potential for significant cultural resources.

Professional Qualifications

All archaeological investigations must be conducted by an archaeologist that meets the U.S. Secretary of the Interior's Professional Qualification Standards for Archeology (36 CFR Part 61; 48 FR 44716). Throughout the entirety of the archaeological investigation, either the Principal Investigator or the Field Director must be present in the field. They will oversee any and all workings and personnel during the fieldwork. The Principal Investigator or the Field Director will also be the individual who interprets the results from the field investigations, defines the cultural resource recommendation, and produces a cultural survey report.

1. The **Principal Investigator** must: A) have a graduate degree in anthropology or archaeology; B) also have at least one year of full-time professional experience in archaeological research and management; C) also have at least a year of supervised field and analytic experience in archaeology.

   In addition to these minimum qualifications, the Principal Investigator should have at least a year of experience at a supervisory level in the study of archaeological resources of the precontact and postcontact periods.

2. The **Field Director** should retain a graduate degree or bachelor's degree in anthropology or archaeology and have at least a year of experience in the field and the ability to function in a supervisory position. This person should also have formal training and experience in archaeological methodology, interpretation, analysis, the ability to recognize and evaluate precontact and postcontact cultural features, and report preparation.

3. The **Field Crew Member/s** should possess a bachelor's degree in anthropology or archaeology to assist in any fieldwork. Fieldwork and laboratory experience are preferred.

Background Research

A literature examination of the area being surveyed should be conducted before the archaeologist goes out into the field. At the minimum, this should include visiting the Oklahoma Archeological Survey (OAS) and the Oklahoma Historical Society (OHS) to obtain information regarding any previously recorded archaeological sites or historic properties located in or within a 1-miile radius of the survey area. Searches should also include the Muscogee (Creek) Nations Allotment Maps, any historic county road maps, county histories, topographic maps and aerial photographs (Oklahoma Geological Survey Archives), and the U.S. Department of the Interior-Bureau Land Managements GLO's records (http://www.glorecords.blm.gov). Each of these maps and photos should be incorporated into the report with the project area outlined on them.

Fieldwork

The following section outlines Phase I techniques and guidelines that will be used by archaeologists conducting work for the Muscogee (Creek) Nation. Fieldwork should be approached as if each archaeological project will contribute to a better understanding of the past.

Phase I Terrestrial Cultural Resources Survey

An archaeological survey involves the collection of information and the identification on the pattern of past human activity within the area of interest.

The survey process involves identification of the presence or absence of past human activities. The goal of a Phase I cultural resources survey is to locate and evaluate archaeological resources

within a project's area of potential effects. Documentary research, surface reconnaissance, and subsurface testing will aid in sites being identified and recorded.

If sites are found during this phase of research, sufficient information should be recovered to determine whether additional investigations are necessary to assess National Register eligibility. Objectives of the Phase I cultural resources survey includes:

1. A review of the archaeological and historical records pertaining to the project area the archaeologist is working in.

2. A complete field survey where testing will be conducted and will aid in determining the presence, nature, and degree of integrity, if possible, of any archaeological remains within the project area.

3. An evaluation of the potential impact of the project on the identified archaeological resources.

Fieldwork Guidelines

The project area that will be surveyed and the methodologies to be used during the survey should be decided on an individual project basis. Each and every project is different and should be treated as such.

Recordation

Records of all field investigations and methodology used during them must be kept. This includes:

1. Field notes that must be maintained during the fieldwork. Forms (e.g. shovel test, feature, unit summaries, photo logs, etc.) must be filled out.

2. Photos should also be taken of the area being worked in. Pictures should include general photos of the area, any prominent features, sites, or disturbances. All photos should be in color or black and white. Any photos that are taken will be notated on a photo log.

3. Maps of the project area should be maintained to record all areas investigated and sites located. Site maps must also be drawn when a site is located.

Previously Recorded Sites

If there is a previously recorded site within the area being surveyed, the entire site must be revisited and archaeologically tested. Investigating only a portion of the site will not be allowed.

Shovel Tests
Shovel testing is required to fully investigate a survey area or site.

1. Shovel tests should be conducted along transects that are situated at 30-meter intervals with each test being placed 30-meters apart from one another along a transect line.

2. Each shovel test should measure at least 30 centimeters in diameter and will be excavated down until sterile subsoil or impenetrable rock is encountered.

3. Soils dug will be screened through 1/4-inch hardware cloth for the purpose of recovering any cultural material that may be found at that location. When cultural material is encountered, the material will be collected and placed into bags that are labeled with the provenience information.

4. All shovel tests will be recorded by a gps unit and a picture will be taken of the test for use in the report (not every test has to be shown in the report, but if the Muscogee Creek (Nation) requests to see the photos, they will be sent to them).

5. Shovel tests that fall on slopes that are greater than 15 percent, do not have to be excavated.

6. A shovel test form will be used to document each shovel test that is conducted during the survey.

Delineations (Determining the Site Boundary)
If an artifact or artifacts are recovered during the archaeological survey, a delineation off of the positive shovel test must be completed so as to determine the site boundaries. The positive test will serve as the datum while additional tests will be dug off of the positive test. Tests will be placed in a cruciform (+) pattern at 10 meter intervals off of the positive test (Figure 1). The cruciform pattern will follow cardinal directions or will follow the landform, depending on what is more suitable for the project area. Two negative shovel tests off of each positive must be dug before delineations of a site are complete and a site boundary can be established (a minimum of eight shovel tests are required to define the site boundaries).

Buried Cultural Deposits
Archaeologists must assess the potential for deeply buried cultural deposits within their survey area prior to going out into the field to conduct the survey. A review of geologic maps and the USDA Web Soil Survey (http://websoilsurvey.sc.egov.usda.gov) should at the minimum be conducted. If there is the potential of having deeply buried deposits in the survey area, deeper testing will take place.

Buried cultural deposits can be found around water sources where sediment has been deposited from the water source onto the surrounding areas and/or banks. An auger or corer can go deeper

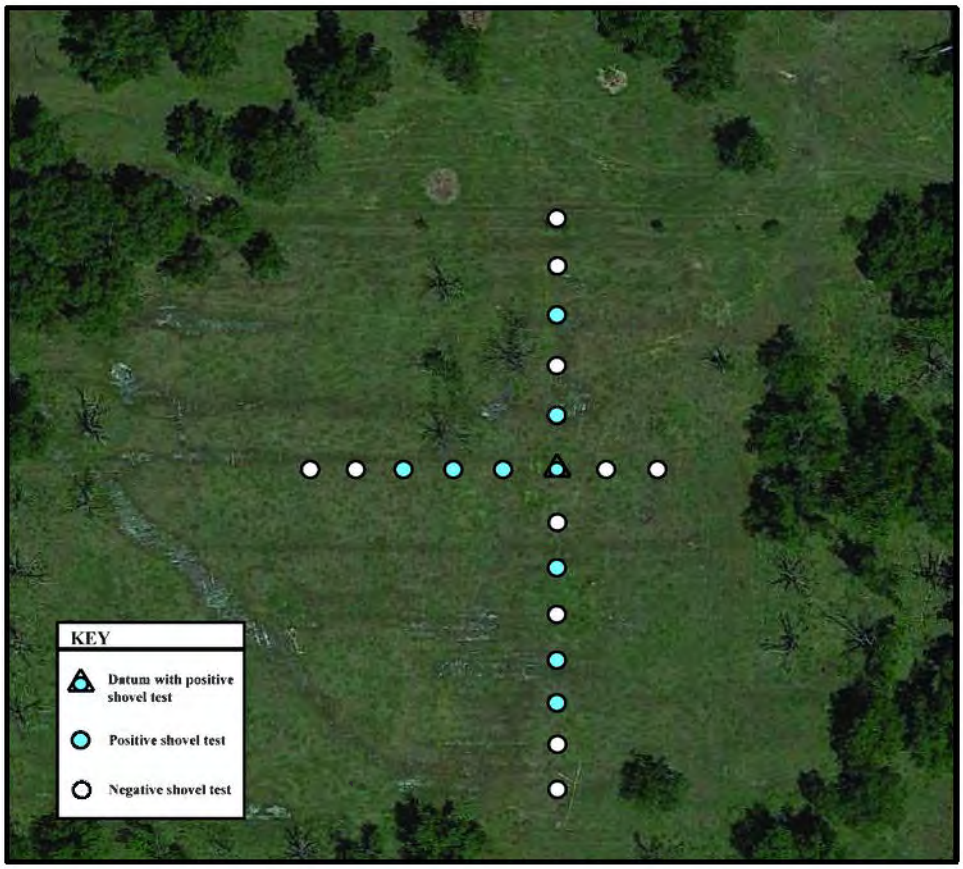


Figure 1: *Example of how a positive shovel test should be delineated.*

than a shovel and should be employed if deeply buried cultural deposits are suspected or if shovel testing cannot get to the bottom of the cultural material.

Surface Collection

Archaeologists will also examine the ground surfaces. If artifacts are noted on the surface during the survey, each piece will be noted and collected. If the surface artifacts are numerous in number and cover a large area, a representative sample of diagnostic artifacts may be taken from the surface rather than collecting each individual artifact.

Standing Structures

If standing structures are found during an archaeological investigation, additional work must be conducted. The same survey and testing methods used during an archaeological survey should be employed for the structures. These structures should be referenced in the cultural resources report and photos taken. An architectural historian should review the structure itself or the photos to give an evaluation of the structure. The Oklahoma Historical Society standards for standing structures should also be reviewed.

Additional Methods

Archaeologists might also integrate remote sensing techniques into their fieldwork. Techniques such as ground penetrating radar (GPR), magnetometer, gradiometer, resistivity, metal detecting, or conductivity can be useful during archaeological investigations.

Site Determination/Establishing Significance

For the Muscogee (Creek) Nation, a site is any area where three or more artifacts are collected. Archaeologists will complete an OAS Site Survey Form for all archaeological sites that are discovered or reassessed during the field survey. This form will be submitted to the OAS so the site can be recorded and given a site number. If there is an Isolated Find during the survey, the area will be documented and an OAS Isolated Find Record will be completed. Site maps for each must be drawn of the area and include the datum, additional shovel tests, features, and site boundary.

The significance of the site should also be determined. It is important to keep in mind that where National Register eligibility is concerned, properties can be found eligible, ineligible, or of undetermined eligibility. Terms such as "potentially eligible" is commonly used but has no real meaning in the Section 106 process and should be avoided. The National Register criteria must be used in establishing the significance and eligibility of any property for nomination to the National Register (see National Register Bulletin #15, "Guidelines for Applying the National Register Criteria for Evaluation"). To aid in establishing whether an archaeological site may contribute information about prehistory or history to the record, four attributes should be considered: structure, content, integrity, and quality (or resolution). These attributes can provide a basis for evaluating significance of an archaeological site. It must also be remembered that during a field investigation an archaeological site should ALWAYS be considered significant until proven otherwise.

Laboratory Guidelines

Artifacts collected in the field during all phases of field investigations will be bagged and brought to the lab where lab personnel will wash and analyze the artifacts.

1. Laboratory personnel should have an undergraduate degree in anthropology or archaeology and have experience in dealing with regional typologies. Individuals should be able to recognize and evaluate both precontact and postcontact artifacts.

2. All information on the artifact bags needs to be copied down prior to washing the artifacts.

3. Artifacts are to be cleaned with water and a toothbrush. No soap should be used.

4. Metal should not be washed and no wire brushes should be used on them.

5. Artifacts will be cleaned, labeled, catalogued, and prepared for curation. ***Materials will be bagged according to curation facility standards***. Bags should be 4-mil and should have labels composed with provenience information, accession numbers, and any other information needed.

6. If any materials are fragile or unstable, these should be packaged accordingly and with extra care.

7. All information, including the analysis, should be entered into an excel file or word document and placed as an appendices into the report.

Curation Guidelines

Following stabilization, classification, cataloguing, and quantification of material by laboratory personnel, cultural materials and documentary records accumulated during a project should be prepared for final curation. All cultural materials recovered during the field investigation should be curated with a curation facility that meets 36CFR79 standards (Curation of Federally-Owned and Administered Archeological Collections). All field notes, photographs, maps, and cultural material will be curated and placed into archival-quality boxes.

Treatment of Human Remains

If human skeletal remains are discovered during the course of fieldwork, it is the responsibility of the archaeologist to comply with all state and federal legislation (e.g. Native American Graves Protection and Repatriation Act (NAGPRA)) concerning archaeological sites and the treatment of Native American human remains encountered during archaeological investigations. Archaeological testing should cease immediately and the police in the area should instantly be contacted as should the Muscogee (Creek) Nation Historic and Cultural Preservation Department. If it is found that the remains are Native American, all tribes with a historic area of interest will be consulted and plans will be negotiated to determine whether the remains are removed, left in-situ, and/or reburied. Any project should develop a plan for the treatment of human remains prior to the commencement of fieldwork. Please contact the Muscogee (Creek) Nation HCPD for their inadvertent discovery plan.

Survey Report

A report with the results of the field investigation from the Phase I, Phase II, and/or Phase III must be submitted by the archaeologist to the Muscogee (Creek) Nation after the fieldwork and lab work are completed. This report should follow the Secretary of the Interior's *Standards for Archeological Documentation*. All three phases of reports should give:

1) A description of the field work conducted and the results of it. This includes the field methods and the results that address positive and negative findings.

2) An assessment of the presence and nature of the encountered archaeological deposits.

3) Discussion of artifacts found and a description of each type.

4) An evaluation of the National Register of Historic Places eligibility of each site in conjunction with recommendations for future work.

5) The commencement and termination dates of the project, as well as the actual number of days in the field.

6) Personnel that participated in the field work and lab analysis must be listed. The curriculum vitaes for all of the project archaeologists should be included in an appendix in the back of the report.

Report Breakdown

An outline of what an archaeological report for the Muscogee (Creek) Nation should entail is listed below.

1. *Front cover*

2. *Title page*
   A) Indicate project and location, author of text, principal investigator, and date of report.

3. *Abstract*

4. *Table of Contents*

5. *Introduction*
   A) Description of the project area and the setting.
   B) Summarize the archaeological fieldwork that was performed.
   C) Time in the field.
   D) Environmental section.

6. *Previous Archaeological Research in the Project Area*
   A) Discuss known sites in the area and any known fieldwork and any information on the history or prehistory.

7. *Summary of the Project Areas Culture History*
   A) Describe the past human occupation of the area as known through literature.

8. *Environmental Setting*
   A) Describe the past environment and how it may differ from the present.
   B) Describe the present environment of the project area (soils, geomorphology, etc.).

9. *Present Archaeological Project*
   A) Describe the goals of the fieldwork and the analysis and talk about the research problems or testable hypotheses.
   B) Describe the methods used in the field and lab work (survey methods, testing methods, collection methods, lab methods, analytical methods).
   C) Include a map of the project area.

10. *Results of the Fieldwork and the Analysis*
   A) If sites are found, discuss these and provide a site map of each. Also include information regarding the number of tests conducted, quantity of artifacts, location, features, and disturbances.

11. *Statements Regarding the Significance of a Site*
   A) Statement of determining National Register eligibility. Also, methods of arriving at the conclusions for that potential must be provided in detail to judge how the conclusions were reached.

12. *Recommendations/Conclusions*
   A) Explain any recommendation for no further work in the project area or for further work in the area.

13. *References Cited*
   A) To format your references, use the Style Guide for American Antiquity.

14. *Appendices*
   A) Curriculum vitaes of individuals involved in field and lab work.
   B) A detailed artifact log of all artifacts found during the field investigation will be presented in the back with the relevant provenience information.

The Muscogee (Creek) Nation will complete a review of the report and the SHPO review letters (OAS and the OHS) within 30 days of receiving it.

OSAGE NATION

HISTORIC PRESERVATION OFFICE

ARCHAEOLOGICAL SURVEY STANDARDS

The following archaeological survey standards are the minimum amount of work acceptable for archaeological surveys conducted on the Osage Nation Reservation/Osage County and throughout Osage Nation ancestral territory as determined by the Osage Nation Historic Preservation Office (ONHPO). Additional archaeological work (i.e. more shovel tests or transects) or methods (backhoe trenches) can always be incorporated into the research design to help locate and identify archaeological sites depending on the area or potential for encountering significant cultural resources. Alternative, project-specific, standards may be developed in conjunction with the ONHPO for projects with unique or unusual circumstances as appropriate.

Professional Qualifications:
Archaeological investigations must be conducted by an archaeologist who meets the U.S. Secretary of the Interior's *Professional Qualification Standards for Archeology* (36 CFR Part 61; 48 FR 44716). At a minimum, all field surveyors must possess a BA or BS in anthropology with an emphasis in archaeology. At a minimum, the supervisor who is in the field and supervises the field survey, interprets the results of the field survey, determines the cultural resource recommendation, and produces the cultural survey report must possess an MA or MS in anthropology with an emphasis in archaeology. Supervisors must accompany and oversee all field surveyors during the fieldwork. With the first cultural resource survey report, include curriculum vitae for all project archaeologists and identify work performed.

Background Research:
Archaeologists must conduct a background literature search prior to field investigations. At a minimum this shall include searches of the SHPO's databases for previously recorded archaeological sites and historic properties, and previous archaeological work in the vicinity. For projects in Osage County, OK, the archaeologists would also include searches of the Osage Allotment Maps, Oklahoma Geological Survey Archives (Norman, Oklahoma) for early USGS 7.5 and 15-minute topographic maps and aerial photographs, plus the GLO map archive available online (www.glorecords.blm.gov).

Deeply Buried Cultural Deposits:
Archaeologists must assess the potential for deeply buried cultural deposits within the block area prior to starting field investigations. At a minimum, this shall include a review of the USDA soil surveys and geologic maps. If there is a potential for deeply buried cultural deposits within the

block survey area, deeper subsurface investigations (to be determined in consultation with the ONHPO) will be required.

Survey Report:
Archaeologists must submit the results of their investigation in a report to the ONHPO that follows the Secretary of the Interior's *Standards for Archeological Documentation*. The ONHPO will complete its review within 30 days of receipt of the archaeology survey report and the SHPO review letters. For Oklahoma this would include review letters by the Oklahoma Archaeological Survey and the Oklahoma Historical Society.

Fieldwork:
Unless otherwise determined in conjunction with the ONHPO, all areas of a project's Area of Potential Effects (APE) should be subjected to subsurface investigations via systematic shovel testing. No area of the project's APE should be omitted from shovel testing due to surface visibility. The omission of areas from subsurface testing in an archaeological survey due to ground visibility is neither effective nor ethical. While the presence of artifacts on the surface of the ground can be an indication for the presence of a site, the absence of artifacts on the surface of the ground, even in conditions of 100 percent surface visibility, is not a confirmation for the absence of an archaeological site which may be buried beneath the ground's surface. Additionally, it should not be assumed that previously disturbed areas contain no significant archaeological sites or buried human remains. Those areas known to be, or thought to be, previously disturbed should also be subjected to survey in order to identify archaeological sites and to evaluate the level of disturbance which may or may not have impacted buried archaeological sites.

A. Shovel Testing
The entire APE must be subject to systematic shovel testing. Shovel tests must be conducted in intervals no greater than 30 meters in transects no wider than 30 meters. A smaller or reduced shovel test interval may be appropriate in areas with particularly high probability or potential for significant, intact archaeological deposits. Additionally, the ONHPO may require shovel test intervals be reduced to 15 meters in areas known to have a higher probability for archaeological sites or areas of significance to the Osage Nation. Shovel tests must be a minimum of 30 cm in diameter and must be dug to 20 cm beyond sterile subsoil. If portions of the APE are believed to contain subsoil at the surface of the ground, then shovel tests are to be dug to 20 cm below the surface to confirm that it is subsoil and to determine that the subsoil is sterile of artifacts and/or features. Shovel tests should be dug in stratigraphic or 10 cm levels with sediments screened through ¼-inch mesh unless high clay or water content requires that they be troweled through.

If sterile subsoil is too deep to reach via shovel testing, then selective coring/auguring should commence to determine the need for more appropriate methods to survey for deeply buried archaeological deposits. In seasonally inundated areas where the soil is very poorly drained, shovel testing should be conducted to verify soil conditions (i.e. hygroscopic soils), but shovel test intervals may be extended to a maximum of 50 meters in those areas.

Unless previously determined in conjunction with the ONHPO, the only areas within the APE in which shovel testing may be omitted are areas of a 20 percent or greater slope. Areas known to be, or

believed to be previously disturbed, including but not limited to previously developed lands, agricultural fields, and buried utilities, are not to be omitted from subsurface testing. Systematic shovel testing in the manner stated above is required in those areas to establish the presence of archaeological sites, to determine the level of ground disturbance, and to evaluate the impact of previous ground disturbance on any archaeological sites located in the area.

Notes should be kept on each shovel test documenting the shovel test location (including GPS coordinates), soil stratigraphy referencing USDA soil descriptions and actual soils encountered, soil color description (Munsell color codes if possible), depth, and the presence or absence of artifacts. A representative sample of shovel tests should be documented with photographs and profile drawings all of which should be incorporated into the survey report. The survey report will also include a shovel test log and a shovel test map that clearly depicts each labeled shovel test location.

B. Pedestrian Survey

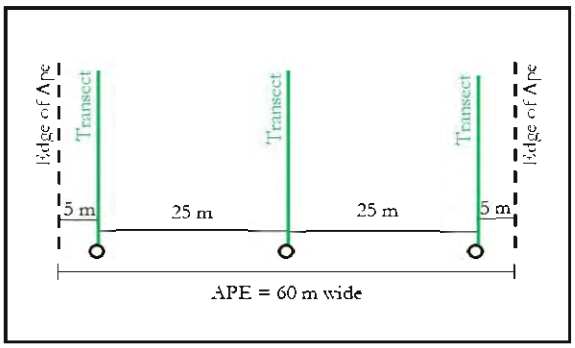
While pedestrian survey may be used in addition to systematic shovel testing, it may not be used in lieu of shovel testing in any area, except for those areas consisting of a slope 20 degrees of greater. Sloped areas exceeding 20 degrees should be investigated via pedestrian survey at intervals no wider than 10 meters.

C. Linear Projects

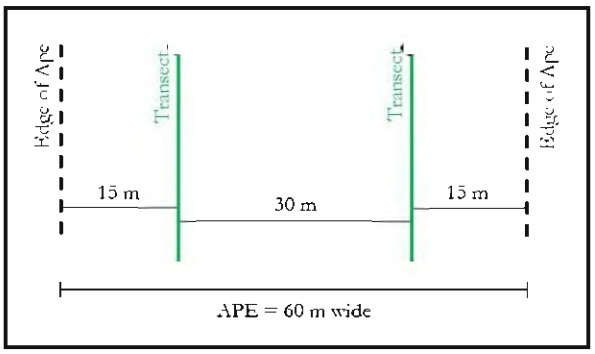
For linear projects exceeding 1 mile, such as power line corridors, shovel test intervals may be extended to a maximum of 100 meters. A linear project is defined as an undertaking with an APE width no greater than 30 m. Additional judgmental shovel tests, as appropriate, should be placed in areas with particularly high probability or potential for significant, intact archaeological deposits.

If shovel test transects parallel the edge of the APE, the transect nearest the edge of the APE should be no further than half a standard shovel test interval as defined for the project from the edge of the APE. For example, if the shovel test interval being used for a particular project is 25 m, the transects nearest the edges of the APE should be no further than 12.5 m from the edge of the APE. If the APE is 60 m wide and shovel tests are being excavated at 25 m intervals, there should be three shovel test transects, and the transects nearest the edges of the APE would be 5 m from the edge of the APE. If shovel tests were excavated on only two transects, the distance from the transects to the edge of the APE would be 17.5 m, which is greater than half of a standard shovel test interval as defined for the project, and not deemed adequate coverage for a high probability area.

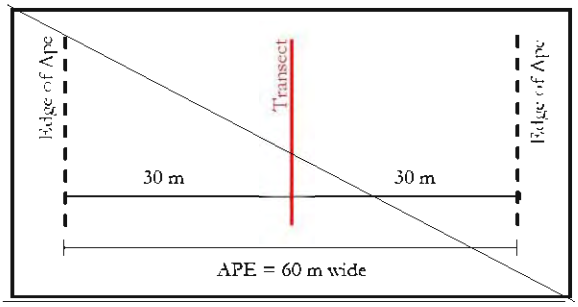
Examples of Shovel Test Transect Placements (Across 60-Meter Wide Survey Corridor)



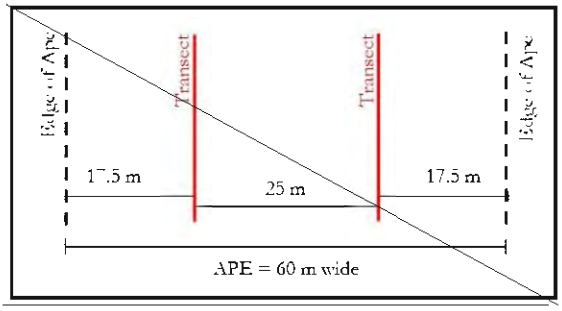
Adequate Coverage (high probability) Three Shovel Test Transects Spaced 25 m Apart on 60-m Wide Corridor, with Shovel Tests Excavated at 25-m Intervals.



Adequate Coverage (minimum) Two Shovel Test Transects Spaced 30 m Apart on 60-m Wide Corridor, with Shovel Tests Excavated at 30-m Intervals.



Insufficient Coverage One Shovel Test Transect on 60-m Wide Corridor, Regardless of Shovel Test Interval on Transect.



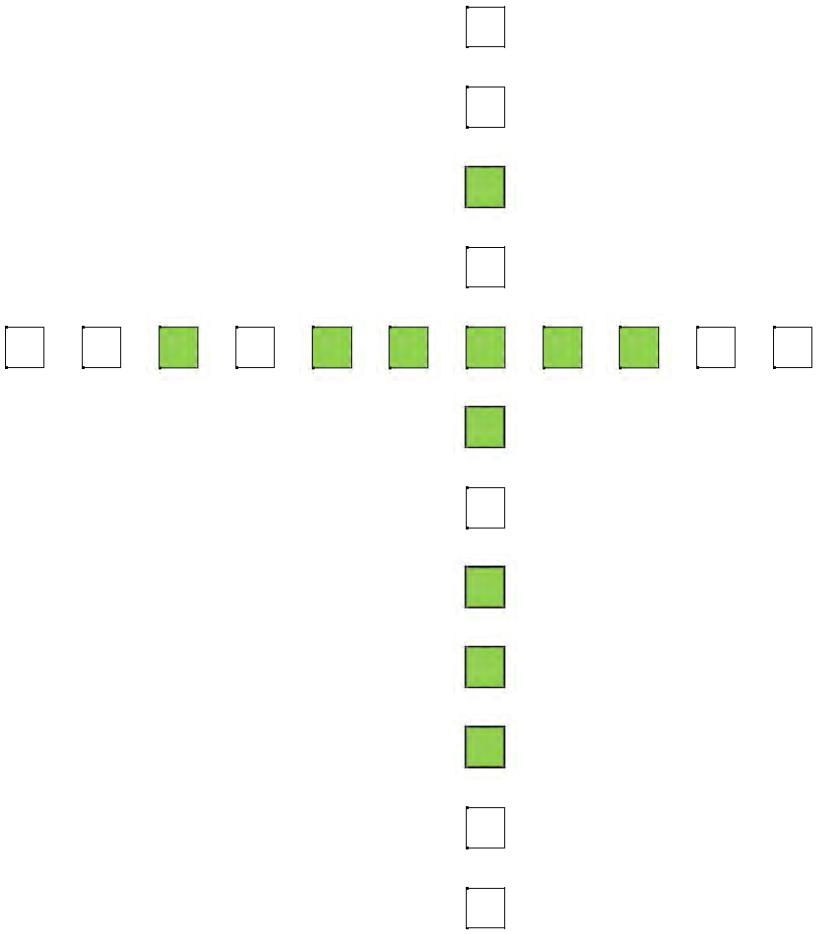
Insufficient Coverage Two Shovel Test Transects Spaced 25 m Apart on 60-m Wide Corridor, with Shovel Tests Excavated at 25-m Intervals.

Determining Site Boundary:

Shovel testing is required to determine site boundaries.

A minimum of nine (9) shovel tests must be placed in a + pattern that is perpendicular extending from the center of the artifact discovery location.

A shovel test must be placed every five (5) meters until two (2) negative shovel tests are sequentially excavated in each direction. All surface finds and positive shovel tests must be bounded by radial shovel tests in this manner.



Positive shovel test

Negative shovel test

federal register

Thursday
September 29, 1983

Part IV

Department of the Interior

National Park Service

Archeology and Historic Preservation; Secretary of the Interior's Standards and Guidelines

DEPARTMENT OF THE INTERIOR

National Park Service

Archeology and Historic Preservation; Secretary of the Interior's Standards and Guidelines

AGENCY: National Park Service, Interior.

ACTION: Notice.

SUMMARY: This notice sets forth the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation. These standards and guidelines are not regulatory and do not set or interpret agency policy. They are intended to provide technical advice about archeological and historic preservation activities and methods.

DATE: These Standards and Guidelines are effective on September 29, 1983.

FOR FURTHER INFORMATION CONTACT: Lawrence E. Aten, Chief, Interagency Resources Division, National Park Service, United States Department of the Interior, Washington, D.C. 20240 (202–343–9500). A Directory of Technical Information listing other sources of supporting information is available from the National Park Service.

SUPPLEMENTARY INFORMATION: The Standards and Guidelines are prepared under the authority of Sections 101(f), (g), and (h), and Section 110 of the National Historic Preservation Act of 1966, as amended. State Historic Preservation Officers; Federal Preservation Officers including those of the Department of Agriculture, Department of Defense, Smithsonian Institution and General Services Administration; the Advisory Council on Historic Preservation; the National Trust for Historic Preservation; and other interested parties were consulted during the development of the Standards and Guidelines; additional consultation with these agencies will occur as the Standards and Guidelines are tested during their first year of use.

Purpose

The proposed Standards and the philosophy on which they are based result from nearly twenty years of intensive preservation activities at the Federal, State, and local levels.

The purposes of the Standards are:

To organize the information gathered about preservation activities.

To describe results to be achieved by Federal agencies, States, and others when planning for the identification, evaluation, registration and treatment of historic properties.

To integrate the diverse efforts of many entities performing historic preservation into a systematic effort to preserve our nation's cultural heritage.

Uses of the Standards

The following groups or individuals are encouraged to use these Standards:

Federal agency personnel responsible for cultural resource management pursuant to Section 110 of the National Historic Preservation Act, as amended, in areas under Federal jurisdiction. A separate series of guidelines advising Federal agencies on their specific historic preservation activities under Section 110 is in preparation.

State Historic Preservation Offices responsible under the National Historic Preservation Act, as amended, for making decisions about the preservation of historic properties in their States in accordance with appropriate regulations and the Historic Preservation Fund Grants Management Manual. The State Historic Preservation Offices serve as the focal point for preservation planning and act as a central state-wide repository of collected information.

Local governments wishing to establish a comprehensive approach to the identification, evaluation, registration and treatment of historic properties within their jurisdictions.

Other individuals and organizations needing basic technical standards and guidelines for historic preservation activities.

Organization

This material is organized in three sections: Standards; Guidelines; and recommended technical sources, cited at the end of each set of guidelines. Users of this document are expected to consult the recommended technical sources to obtain guidance in specific cases.

Review of the Standards and Guidelines

The Secretary of the Interior's Standards for Rehabilitation have recently undergone extensive review and their guidelines made current after 5 years of field use. Users and other interested parties are encouraged to submit written comments on the utility of these Standards and Guidelines except for the Rehabilitation Standards mentioned above. This edition will be thoroughly reviewed by the National Park Service (including consultation with Federal and State agencies), after the end of its first full year of use and any necessary modifications will be made. Subsequent reviews are anticipated as needed. Comments should be sent to Chief, Interagency Resources Division, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

Contents

Secretary of the Interior's Standards for Preservation Planning

Preservation planning is a process that organizes preservation activities (identification, evaluation, registration and treatment of historic properties) in a logical sequence. The Standards for Planning discuss the relationship among these activities while the remaining activity standards consider how each activity should be carried out. The Professional Qualifications Standards discuss the education and experience required to carry out various activities.

The Standards for Planning outline a process that determines when an area should be examined for historic properties, whether an identified property is significant, and how a significant property should be treated.

Preservation planning is based on the following principles:

—Important historic properties cannot be replaced if they are destroyed. Preservation planning provides for conservative use of these properties, preserving them in place and avoiding harm when possible and altering or destroying properties only when necessary.

—If planning for the preservation of historic properties is to have positive effects, it must begin before the identification of all significant properties has been completed. To make responsible decisions about historic properties, existing information must be used to the maximum extent and new information must be acquired as needed.

—Preservation planning includes public participation. The planning process should provide a forum for open discussion of preservation issues. Public involvement is most meaningful when it is used to assist in defining values of properties and preservation planning issues, rather than when it is limited to review of decisions already made. Early

and continuing public participation is essential to the broad acceptance of preservation planning decisions.

Preservation planning can occur at several levels or scales: in a project area; in a community; in a State as a whole; or in the scattered or contiguous landholdings of a Federal agency. Depending on the scale, the planning process will involve different segments of the public and professional communities and the resulting plans will vary in detail. For example, a State preservation plan will likely have more general recommendations than a plan for a project area or a community. The planning process described in these Standards is flexible enough to be used at all levels while providing a common structure which promotes coordination and minimizes duplication of effort. The Guidelines for Preservation Planning contain additional information about how to integrate various levels of planning.

Standard I. Preservation Planning Establishes Historic Contexts

Decisions about the identification, evaluation, registration and treatment of historic properties are most reliably made when the relationship of individual properties to other similar properties is understood. Information about historic properties representing aspects of history, architecture, archeology, engineering and culture must be collected and organized to define these relationships. This organizational framework is called a "historic context." The historic context organizes information based on a cultural theme and its geographical and chronological limits. Contexts describe the significant broad patterns of development in an area that may be represented by historic properties. The development of historic contexts is the foundation for decisions about identification, evaluation, registration and treatment of historic properties.

Standard II. Preservation Planning Uses Historic Contexts To Develop Goals and Priorities for the Identification, Evaluation, Registration and Treatment of Historic Properties

A series of preservation goals is systematically developed for each historic context to ensure that the range of properties representing the important aspects of each historic context is identified, evaluated and treated. Then priorities are set for all goals identified for each historic context. The goals with assigned priorities established for each historic context are integrated to produce a comprehensive and consistent set of goals and priorities for all historic contexts in the geographical area of a planning effort.

The goals for each historic context may change as new information becomes available. The overall set of goals and priorities are then altered in response to the changes in the goals and priorities for the individual historic contexts.

Activities undertaken to meet the goals must be designed to deliver a usable product within a reasonable period of time. The scope of the activity must be defined so the work can be completed with available budgeted program resources.

Standard III. The Results of Preservation Planning Are Made Available for Integration Into Broader Planning Processes

Preservation of historic properties is one element of larger planning processes. Planning results, including goals and priorities, information about historic properties, and any planning documents, must be transmitted in a usable form to those responsible for other planning activities. Federally mandated historic preservation planning is most successfully integrated into project management planning at an early stage. Elsewhere, this integration is achieved by making the results of preservation planning available to other governmental planning bodies and to private interests whose activities affect historic properties.

Secretary of the Interior's Guidelines for Preservation Planning

Introduction

These Guidelines link the Standards for Preservation Planning with more specific guidance and technical information. They describe one approach to meeting the Standards for Preservation Planning. Agencies, organizations or individuals proposing to approach planning differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

Managing the Planning Process
Developing Historic Contexts
Developing Goals for a Historic Context
Integrating Individual Historic Contexts—Creating the Preservation Plan
Coordinating with Management Frameworks
Recommended Sources of Technical Information

Managing the Planning Process

The preservation planning process must include an explicit approach to implementation, a provision for review and revision of all elements, and a mechanism for resolving conflicts within the overall set of preservation goals and between this set of goals and other land use planning goals. It is recommended that the process and its products be described in public documents.

Implementing the Process

The planning process is a continuous cycle. To establish and maintain such a process, however, the process must be divided into manageable segments that can be performed within a defined period, such as a fiscal year or budget cycle. One means of achieving this is to define a period of time during which all the preliminary steps in the planning process will be completed. These preliminary steps would include setting a schedule for subsequent activities.

Review and Revision

Planning is a dynamic process. It is expected that the content of the historic contexts described in Standard I and the goals and priorities described in Standard II will be altered based on new information obtained as planning proceeds. The incorporation of this information is essential to improve the content of the plan and to keep it up-to-date and useful. New information must be reviewed regularly and systematically, and the plan revised accordingly.

Public Participation

The success of the preservation planning process depends on how well it solicits and integrates the views of various groups. The planning process is directed first toward resolving conflicts in goals for historic preservation, and second toward resolving conflicts between historic preservation goals and other land-use planning goals. Public participation is intergral to this approach and includes at least the following actions:

1. Involving historians, architectural historians, archeologists, historical architects, folklorists and persons from related discipline to define, review and revise the historic contexts, goals and priorities;

2. Involving interested individuals, organizations and communities in the planning area in identifying the kinds of historic properties that may exist and suitable protective measures;

3. Involving prospective users of the preservation plan in defining issues, goals and priorities;

4. Providing for coordination with other planning efforts at local, state, regional and national levels, as appropriate; and

5. Creating mechanisms for identifying and resolving conflicts about historic preservation issues.

The development of historic contexts, for example, should be based on the professional input of all disciplines involved in preservation and not be limited to a single discipline. For prehistoric archeology, for example, data from fields such as geology, geomorphology and geography may also be needed. The individuals and organizations to be involved will depend, in part, on those present or interested in the planning area.

Documents Resulting from the Planning Process

In most cases, the planning process produces documents that explain how the process works and that discuss the historic contexts and related goals and priorities. While the process can operate in the absence of these documents, planning documents are important because they are the most effective means of communicating the process and its recommendations to others. Planning documents also record decisions about historic properties.

As various parts of the planning process are reviewed and revised to reflect current information, related documents must also be updated. Planning documents should be created in a form that can be easily revised. It is also recommended that the format, language and organization of any documents or other materials (visual aids, etc.) containing preservation planning information meet the needs of prospective users.

Developing Historic Contexts

General Approach

Available information about historic properties must be divided into manageable units before it can be useful for planning purposes. Major decisions about identifying, evaluating, registering and treating historic properties are most reliably made in the context of other related properties. A historic context is an organizational format that groups information about related historic properties, based on a theme, geographic limits and chronological period. A single historic context describes one or more aspects of the historic development of an area, considering history, architecture, archeology, engineering and culture; and identifies the significant patterns that individual historic properties represent, for example, Coal Mining in Northeastern Pennsylvania between 1860 and 1930. A set of historic contexts is a comprehensive summary of all aspects of the history of the area.

The historic context is the cornerstone of the planning process. The goal of preservation planning is to identify, evaluate, register and treat the full range of properties representing each historic context, rather than only one or two types of properties. Identification activities are organized to ensure that research and survey activities include properties representing all aspects of the historic context. Evaluation uses the historic context as the framework within which to apply the criteria for evalution to specific properties or property types. Decisions about treatment of properties are made with the goal of treating the range of properties in the context. The use of historic contexts in organizing major preservation activities ensures that those activities result in the preservation of the wide variety of properties that represent our history, rather than only a small, biased sample of properties.

Historic contexts, as theoretical constructs, are linked to actual historic properties through the concept of property type. Property types permit the development of plans for identification, evaluation and treatment even in the absence of complete knowledge of individual properties. Like the historic context, property types are artifical constructs which may be revised as necessary.

Historic contexts can be developed at a variety of scales appropriate for local, State and regional planning. Given the probability of historic contexts overlapping in an area, it is important to coordinate the development and use of contexts at all levels. Generally, the State Historic Preservation Office possesses the most complete body of information about historic properties and, in practice, is in the best position to perform this function.

The development of historic contexts generally results in documents that describe the prehistoric processes or patterns that define the context. Each of the contexts selected should be developed to the point of identifying important property types to be useful in later preservation decision-making. The amount of detail included in these summaries will vary depending on the level (local, state, regional, or national) at which the contexts are developed and on their intended uses. For most planning purposes, a synopsis of the written description of the historic context is sufficient.

Creating a Historic Context

Generally, historic contexts should not be constructed so broadly as to include all property types under a single historic context or so narrowly as to contain only one property type per historic context. The following procedures should be followed in creating a historic context.

1. Identify the concept, time period and geographical limits for the historic context

Existing information, concepts, theories, models and descriptions should be used as the basis for defining historic contexts. Biases in primary and secondary sources should be identified and accounted for when existing information is used in defining historic contexts.

The identification and description of historic contexts should incorporate contributions from all disciplines involved in historic preservation. The chronological period and geographical area of each historic context should be defined after the conceptual basis is established. However, there may be exceptions, especially in defining prehistoric contexts where drainage systems or physiographic regions often are outlined first. The geographical boundaries for historic contexts should not be based upon contemporary political, project or other contemporary boundaries if those boundaries do not coincide with historical boundaries. For example, boundaries for prehistoric contexts will have little relationship to contemporary city, county or state boundaries.

2. Assemble the existing information about the historic context

a. *Collecting information:* Several kinds of information are needed to construct a preservation plan. Information about the history of the area encompassed by the historic context must be collected, including any information about historic properties that have already been identified. Existing survey or inventory entries are an important source of information about historic properties. Other sources may include literature on prehistory, history, architecture and the environment; social and environmental impact assessments; county and State land use plans; architectural and folklife studies and oral histories; ethnographic research; State historic inventories and registers; technical reports prepared for Section 106 or other assessments of historic properties; and and direct consultation with individuals and organized groups.

In addition, organizations and groups that may have important roles in defining historic contexts and values

should be identified. In most cases a range of knowlegeable professionals drawn from the preservation, planning and academic communities will be available to assist in defining contexts and in identifying sources of information. In other cases, however, development of historic contexts may occur in areas whose history or prehistory has not been extensively studied. In these situations, broad general historic contexts should be initially identified using available literature and expertise, with the expectation that the contexts will be revised and subdivided in the future as primary source research and field survey are conducted. It is also important to identify such sources of information as existing planning data, which is needed to establish goals for identification, evaluation, and treatment, and to identify factors that will affect attainment of those goals.

The same approach for obtaining information is not necessarily desirable for all historic contexts. Information should not be gathered without first considering its relative importance to the historic context, the cost and time involved, and the expertise required to obtain it. In many cases, for example, published sources may be used in writing initial definitions of historic contexts; archival research or field work may be needed for subsequent activities.

b. *Assessing information:* All information should be reviewed to identify bias in historic perspective, methodological approach, or area of coverage. For example, field surveys for archeological sites may have ignored historic archelolgical sites, or county land use plans may have emphasized only development goals.

3. Synthesize information

The information collection and analysis results in a written narrative of the historic context. This narrative provides a detailed synthesis of the data that have been collected and analyzed. The narrative covers the history of the area from the chosen perspective and identifies important patterns, events, persons or cultural values. In the process of identifying the important patterns, one should consider:

a. Trends in area settlement and development, if relevant;

b. Aesthetic and artistic values embodied in architecture, construction technology or craftsmanship;

c. Research values or problems relevant to the historic context; social and physical sciences and humanities; and cultural interests of local communities; and

d. Intangible cultural values of ethnic groups and native American peoples.

4. Define property types

A property type is a grouping of individual properties based on shared physical or associative characteristics. Property types link the ideas incorporated in the theoretical historic context with actual historic properties that illustrate those ideas. Property types defined for each historic context should be directly related to the conceptual basis of the historic context. Property types defined for the historic context "Coal Mining in Northeastern Pennsylvania, 1860–1930" might include coal extraction and processing complexes; railroad and canal transportation systems; commercial districts; mine workers' housing; churches, social clubs and other community facilities reflecting the ethnic origins of workers; and residences and other properties associated with mine owners and other industrialists.

a. *Identify property types:* The narrative should discuss the kinds of properties expected within the geographical limits of the context and group them into those property types most useful in representing important historic trends.

Generally, property types should be defined after the historic context has been defined. Property types in common usage ("Queen Anne houses," "mill buildings," or "stratified sites") should not be adopted without first verifying their relevance to the historic contexts being used.

b. *Characterize the locational patterns of property types:* Generalizations about where particular types of properties are likely to be found can serve as a guide for identification and treatment. Generalizations about the distribution of archeological properties are frequently used. The distribution of other historic properties often can be estimated based on recognizable historical, environmental or cultural factors that determined their location. Locational patterns of property types should be based upon models that have an explicit theoretical or historical basis and can be tested in the field. The model may be the product of historical research and analysis ("Prior to widespread use of steam power, mills were located on rivers and streams able to produce water power" or "plantation houses in the Mississippi Black Belt were located on sandy clay knolls"), or it may result from sampling techniques. Often the results of statistically valid sample surveys can be used to describe the locational patterns of a representative portion of properties belonging to a particular property type. Other surveys can also provide a basis for suggesting locational patterns if a diversity of historic properties was recorded and a variety of environmental zones was inspected. It is likely that the identification of locational patterns will come from a combination of these sources. Expected or predicted locational patterns of property types should be developed with a provision made for their verification.

c. *Characterize the current condition of property types:* The expected condition of property types should be evaluated to assist in the development of identification, evaluation and treatment strategies, and to help define physical integrity thresholds for various property types. The following should be assessed for each property type:

(1) Inherent characteristics of a property type that either contribute to or detract from its physical preservation. For example, a property type commonly constructed of fragile materials is more likely to be deteriorated than a property type constructed of durable materials; structures whose historic function or design limits the potential for alternative uses (water towers) are less likely to be reused than structures whose design allows a wider variety of other uses (commercial buildings or warehouses).

(2) Aspects of the social and natural environment that may affect the preservation or visibility of the property type. For example, community values placed on certain types of properties (churches, historic cemeteries) may result in their maintenance while the need to reuse valuable materials may stimulate the disappearance of properties like abandoned houses and barns.

It may be most efficient to estimate of the condition of property types based on professional knowledge of existing properties and field test these estimates using a small sample of properties representative of each type.

5. Identify information needs

Filling gaps in information is an important element of the preservation plan designed for each historic context. Statements of the information needed should be as specific as possible, focusing on the information needed, the historic context and property types it applies to, and why the information is needed to perform identification, evaluation, or treatment activities.

Developing Goals for a Historic Context

Developing Goals

A goal is a statement of preferred preservation activities, which is

generally stated in terms of property types.

The purpose of establishing preservation goals is to set forth a "best case" version of how properties in the historic context should be identified, evaluated, registered and treated. Preservation goals should be oriented toward the greatest possible protection of properties in the historic context and should be based on the principle that properties should be preserved in place if possible, through affirmative treatments like rehabilitation, stabilization or restoration. Generally, goals will be specific to the historic context and will often be phrased in terms of property types. Some of these goals will be related to information needs previously identified for the historic context. Collectively, the goals for a historic context should be a coherent statement of program direction covering all aspects of the context.

For each goal, a statement should be prepared identifying:

1. The goal, including the context and property types to which the goal applies and the geographical area in which they are located;
2. The activities required to achieve the goal;
3. The most appropriate methods or strategies for carrying out the activities;
4. A schedule within which the activities should be completed; and
5. The amount of effort required to accomplish the goal, as well as a way to evaluate progress toward its accomplishment.

Setting priorities for goals

Once goals have been developed they need to be ranked in importance. Ranking involves examining each goal in light of a number of factors.

1. General social, economic, political and environmental conditions and trends affecting (positively and negatively) the identification, evaluation, registration and treatment of property types in the historic context.

Some property types in the historic context may be more directly threatened by deterioration, land development patterns, contemporary use patterns, or public perceptions of their value, and such property types should be given priority consideration.

2. Major cost or technical considerations affecting the identification, evaluation and treatment of property types in the historic context.

The identification or treatment of some property types may be technically possible but the cost prohibitive; or techniques may not currently perfected (for example, the identification of submerged sites or objects, or the evaluation of sites containing material for which dating techniques are still being developed).

3. Identification, evaluation, registration and treatment activities previously carried out for property types in the historic context.

If a number of properties representing one aspect of a historic context have been recorded or preserved, treatment of additional members of that property type may receive lower priority than treatment of a property type for which no examples have yet been recorded or preserved. This approach ensures that the focus of recording or preserving all elements of ths historic context is retained, rather than limiting activities to preserving properties representing only some aspects of the context.

The result of considering the goals in light of these concerns will be a list of refined goals ranked in order of priority.

Integrating Individual Contexts—Creating the Preservation Plan

When historic contexts overlap geographically, competing goals and priorities must be integrated for effective preservation planning. The ranking of goals for each historic context must be reconciled to ensure that recommendations for one context do not contradict those for another. This important step results in an overall set of priorities for several historic contexts and a list of the activities to be performed to achieve the ranked goals. When applied to a specific geographical area, this is the preservation plan for that area.

It is expected that in many instances historic contexts will overlap geographically. Overlapping contexts are likely to occur in two combinations—those that were defined at the same scale (i.e., textile development in Smithtown 1850–1910 and Civil War in Smithtown 1855–1870) and those defined at different scales (i.e., Civil War in Smithtown and Civil War in the Shenandoah Valley). The contexts may share the same property types, although the shared property types will probably have different levels of importance, or they may group the same properties into different property types, reflecting either a different scale of analysis or a different historical perspective.

As previously noted, many of the goals that the formulated for a historic context will focus on the property types defined for that context. Thus it is critical that the integration of goals include the explicit consideration of the potential for shared property type membership by individual properties. For example, when the same property types are used by two contexts, reconciling the goals will require weighing the level of importance assigned to each property type. The degree to which integration of historic contexts must involve reconciling property types may be limited by the coordinated development of historic contexts used at various levels.

Integration with Management Frameworks

Preservation goals and priorities are adapted to land units through integration with other planning concerns. This integration must involve the resolution of conflicts that arise when competing resources occupy the same land base. Successful resolution of these conflicts can often be achieved through judicious combination of inventory, evaluation and treatment activities. Since historic properties are irreplaceable, these activities should be heavily weighted to discourage the destruction of significant properties and to be compatible with the primary land use.

Recommended Sources of Technical Information

Resource Protection Planning Process. State and Plans Grants Division, 1980. Washington, D.C. Available from Survey and Planning Branch, Interagency Resources Division, National Park Service, Department of the Interior, Washington, D.C. 20240. Outlines a step-by-step approach to implementing the resource protection planning process.

Resource Protection Planning Process Case Studies. Available from Survey and Planning Branch, Interagency Resources Division, National Park Service, Department of the Interior, Washington, D.C. 20240. Reports prepared by State Historic Preservation Offices and other using the planning process.

Planning Theory. Andreas Faludi, 1980. Oxford: Pergamon Press. Constructs a model of planning using concepts borrowed from general systems theory.

SECRETARY OF THE INTERIOR'S STANDARDS FOR IDENTIFICATION

Identification activities are undertaken to gather information about historic properties in an area. The scope of these activities will depend on: existing knowledge about properties; goals for survey activities developed in the planning process; and current management needs.

Standard I. Identification of Historic Properties Is Undertaken to the Degree Required To Make Decisions

Archival research and survey activities should be designed to gather the information necessary to achieve defined preservation goals. The

objectives, chosen methods and techniques, and expected results of the identification activities are specified in a research design. These activities may include archival research and other techniques to develop historic contexts, sampling an area to gain a broad understanding of the kinds of properties it contains, or examining every property in an area as a basis for property specific decisions. Where possible, use of quantitative methods is important because it can produce an estimate, whose reliability may be assessed, of the kinds of historic properties that may be present in the studied area. Identification activities should use a search procedure consistent with the management needs for information and the character of the area to be investigated. Careful selection of methods, techniques and level of detail is necessary so that the gathered information will provide a sound basis for making decisions.

Standard II. Results of Identification Activities are Integrated Into the Preservation Planning Process

Results of identification activities are reviewed for their effects on previous planning data. Archival research or field survey may refine the understanding of one or more historic contexts and may alter the need for additional survey or study of particular property types. Incorporation of the results of these activities into the planning process is necessary to ensure that the planning process is always based on the best available information.

Standard III. Identification Activities Include Explicit Procedures for Record-Keeping and Information Distribution

Information gathered in identification activities is useful in other preservation planning activities only when it is systematically gathered and recorded, and made available to those responsible for preservation planning. The results of identification activities should be reported in a format that summarizes the design and methods of the survey, provides a basis for others to review the results, and states where information on identified properties is maintained. However, sensitive information, like the location of fragile resources, must be safeguarded from general public distribution.

Secretary of the Interior's Guidelines for Identification

Introduction

These Guidelines link the Standards for Identification with more specific guidance and technical information. The Guidelines outline one approach to meet the Standards for Identification. Agencies, organizations and individuals proposing to approach identification differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

Role of Identification in the Planning Process
Performing Identification
Integrating Identification Results
Reporting Identification Results
Recommended Sources of Technical Information

Role of Identification in the Planning Process

Identification is undertaken for the purpose of locating historic properties and is composed of a number of activities which include, but are not limited to archival research, informant interviews, field survey and analysis. Combinations of these activities may be selected and appropriate levels of effort assigned to produce a flexible series of options. Generally identification activities will have multiple objectives, reflecting complex management needs. Within a comprehensive planning process, identification is normally undertaken to acquire property-specific information needed to refine a particular historic context or to develop any new historic contexts. (See the Guidelines for Preservation Planning for discussion of information gathering to establish plans and to develop historic contexts.) The results of identification activities are then integrated into the planning process so that subsequent activities are based on the most up-to-date information. Identification activities are also undertaken in the absence of a comprehensive planning process, most frequently as part of a specific land-use or development project. Even lacking a formally developed preservation planning process, the benefits of efficent, goal-directed research may be obtained by the development of localized historic contexts, suitable in scale for the project area, as part of the background research which customarily occurs before field survey efforts.

Performing Identification

Research Design

Identification activities are essentially research activities for which a statement of objectives or research design should be prepared before work is performed. Within the framework of a comprehensive planning process, the research design provides a vehicle for integrating the various activities performed during the identification process and for linking those activities directly to the goals and the historic context(s) for which those goals were defined. The research design stipulates the logical integration of historic context(s) and field and laboratory methodology. Although these tasks may be performed individually, they will not contribute to the greatest extent possible in increasing information on the historic context unless they relate to the defined goals and to each other. Additionally, the research design provides a focus for the integration of interdisciplinary information. It ensures that the linkages between specialized activities are real, logical and address the defined research questions. Identification activities should be guided by the research design and the results discussed in those terms. (See Reporting Identification Results)

The research design should include the following:

1. *Objectives* of the identification activities. For example: to characterize the range of historic properties in a region; to identify the number of properties associated with a context; to gather information to determine which properties in an area are significant.

The statement of objectives should refer to current knowledge about the historic contexts or property types, based on background research or assessments of previous research. It should clearly define the physical extent of the area to be investigated and the amount and kinds of information to be gathered about properties in the area.

2. *Methods* to be used to obtain the information. For example: archival research or field survey. Research methods should be clearly and specifically related to research problems.

Archival research or survey methods should be carefully explained so that others using the gathered information can understand how the information was obtained and what its possible limitations or biases are.

The methods should be compatible with the past and present environmental character of the geographical area under study and the kinds of properties most likely to be present in the area.

3. *The expected results* and the reasons for those expections.

Expectations about the kind, number, location, character and condition of historic properties are generally based on a combination of background research, proposed hypotheses, and analogy to the kinds of properties known to exist in areas of similar environment or history.

Archival Research

Archival or background research is generally undertaken prior to any field survey. Where identification is undertaken as part of a comprehensive planning process, background research may have taken place as part of the development of the historic contexts (see the Guidelines for Preservation Planning). In the absence of previously developed historic contexts, archival research should address specific issues and topics. It should not duplicate previous work. Sources should include, but not be limited to, historical maps, atlases, tax records, photographs, ethnographies, folklife documentation, oral histories and other studies, as well as standard historical reference works, as appropriate for the research problem. (See the Guidelines for Historical Documentation for additional discussion.)

Field Survey

The variety of field survey techniques available, in combination with the varying levels of effort that may be assigned, give great flexibility to implementing field surveys. It is important that the selection of field survey techniques and level of effort be responsive to the management needs and preservation goals that direct the survey effort.

Survey techniques may be loosely grouped into two categories, according to their results. First are the techniques that result in the characterization of a region's historic properties. Such techniques might include "windshield" or walk-over surveys, with perhaps a limited use of sub-surface survey. For purposes of these Guidelines, this kind of survey is termed a "reconnaissance." The second category of survey techniques is those that permit the identification and description of specific historic properties in an area; this kind of survey effort is termed "intensive." the terms "reconnaissance" and "intensive" are sometimes defined to mean particular survey techniques, generally with regard to prehistoric sites. The use of the terms here is general and is not intended to redefine the terms as they are used elsewhere.

Reconnaissance survey might be most profitably employed when gathering data to refine a developed historic context—such as checking on the presence or absence of expected property types, to define specific property types or to estimate the distribution of historic properties in an area. The results of regional characterization activities provide a general understanding of the historic properties in a particular area and permit management decisions that consider the sensitivity of the area in terms of historic preservation concerns and the resulting implications for future land use planning. The data should allow the formulation of estimates of the necessity, type and cost of further identification work and the setting of priorities for the individual tasks involved. In most cases, areas surveyed in this way will require resurvey if more complete information is needed about specific properties.

A reconnaissance survey should document:

1. The kinds of properties looked for;
2. The boundaries of the area surveyed;
3. The method of survey, including the extent of survey coverage;
4. The kinds of historic properties present in the surveyed area;
5. Specific properties that were identified, and the categories of information collected; and
6. Places examined that did not contain historic properties.

Intensive survey is most useful when it is necessary to know precisely what historic properties exist in a given area or when information sufficient for later evaluation and treatment decisions is needed on individual historic properties. Intensive survey describes the distribution of properties in an area; determines the number, location, and condition of properties; determines the types of properties actually present within the area; permits classification of individual properties; and records the physical extent of specific properties.

An intensive survey should document:

1. The kinds of properties looked for;
2. The boundaries of the area surveyed;
3. The method of survey, including an estimate of the extent of survey coverage;
4. A record of the precise location of all properties identified; and
5. Information on the appearance, significance, integrity and boundaries of each property sufficient to permit an evaluation of its significance.

Sampling

Reconnaissance or intensive survey methods may be employed according to a sampling procedure to examine less-than-the-total project or planning area.

Sampling can be effective when several locations are being considered for an undertaking or when it is desirable to estimate the cultural resources of an area. In many cases, especially where large land areas are involved, sampling can be done in stages. In this approach, the results of the initial large area survey are used to structure successively smaller, more detailed surveys. This "nesting" approach is an efficient technique since it enables characterization of both large and small areas with reduced effort. As with all investigative techniques, such procedures should be designed to permit an independent assessment of results.

Various types of sample surveys can be conducted, including, but not limited to: random, stratified and systematic. Selection of sample type should be guided by the problem the survey is expected to solve, the nature of the expected properties and the nature of the area to be surveyed.

Sample surveys may provide data to estimate frequencies of properties and types of properties within a specified area at various confidence levels. Selection of confidence levels should be based upon the nature of the problem the sample survey is designed to address.

Predictive modeling is an application of basic sampling techniques that projects or extrapolates the number, classes and frequencies of properties in unsurveyed areas based on those found in surveyed areas. Predictive modeling can be an effective tool during the early stages of planning an undertaking, for targeting field survey and for other management purposes. However, the accuracy of the model must be verified; predictions should be confirmed through field testing and the model redesigned and retested if necessary.

Special survey techniques

Special survey techniques may be needed in certain situations.

Remote sensing techniques may be the most effective way to gather background environmental data, plan more detailed field investigations, discover certain classes of properties, map sites, locate and confirm the presence of predicted sites, and define features within properties. Remote sensing techniques include aerial, subsurface and underwater techniques. Ordinarily the results of remote sensing should be verified through independent field inspection before making any evaluation or statement regarding frequencies or types of properties.

Integrating Identification Results

The results of identification efforts must be integrated into the planning process so that planning decisions are based on the best available information. The new informantion is first assessed against the objectives of the identification effort to determine whether the gathered information meets

the defined identification goals for the historic context(s); then the goals are adjusted accordingly. In addition, the historic context narrative, the definition of property types and the planning goals for evaluation and treatment are all adjusted as necessary to accommodate the new data.

Reporting Identification Results

Reporting of the results of identification activities should begin with the statement of objectives prepared before undertaking the survey. The report should respond to each of the major points documenting:

1. Objectives;
2. Area researched or surveyed;
3. Research design or statement of objectives;
4. Methods used, including the intensity of coverage. If the methods differ from those outlined in the statement of objectives, the reasons should be explained.
5. Results: how the results met the objectives; result analysis, implications and recommedations; where the compiled information is located.

A summary of the survey results should be available for examination and distribution. Identified properties should then be evaluated for possible inclusion in appropriate inventories.

Protection of information about archeological sites or other properties that may be threatened by dissemination of that information is necessary. These may include fragile archeological properties or properties such as religious sites, structures, or objects, whose cultural value would be compromised by public knowledge of the property's location.

Recommended Sources of Technical Information

The Archeological Survey: Methods and Uses. Thomas F. King. Interagency Archeological Services, U.S. Department of the Interior, 1978. Washington, D.C. Available through the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. GPO stock number 024-016-00091. Written primarily for the non-archeologist, this publication presents methods and objectives for archeological surveys.

Cultural Resources Evaluation of the Northern Gulf of Mexico Continental Shelf. National Park Service, U.S. Department of the Interior, 1977.

Guidelines for Local Surveys: A Basis for Preservation Planning. Anne Derry, H. Ward Jandl, Carol Shull and Jan Thorman. National Register Division, U.S. Department of the Interior, 1978. Washington, D.C. Available through the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. GPO stock number 024-016-0089-7. General guidance about designing and carrying out community surveys.

The Process of Field Research: Final Report on the Blue Ridge Parkway Folklife Project. American Folklife Center, 1981.

Regional Sampling in Archeology. David Hurst Thomas. University of California, Archeological Survey Annual Report, 1968-9, 11:87-100.

Remote Sensing: A Handbook for Archeologists and Cultural Resource Managers. Thomas R. Lyons and Thomas Eugene Avery. Cultural Resource Management Division, National Park Service, U.S. Department of the Interior, 1977.

Remote Sensing and Non-Destructive Archeology. Thomas R. Lyons and James L. Ebert, editors. Remote Sensing Division, Southwest Cultural Resources Center, National Park Service, U.S. Department of the Interior and University of New Mexico, 1978.

Remote Sensing Experiments in Cultural Resource Studies: Non-Destructive Methods of Archeological Exploration, Survey and Analysis. Thomas R. Lyons, assembler. reports of the Chaco Center, Number One. National Park Service, U.S. Department of the Interior and University of New Mexico, 1976.

Sampling in Archeology. James W. Mueller, editor. University of Arizona Press, 1975. Tucson, Arizona.

Scholars as Contractors. William J. Mayer-Oakes and Alice W. Portnoy, editors. Cultural Resource Management Studies. U.S. Department of the Interior, 1979.

Sedimentary Studies of Prehistoric Archeological Sites. Sherwood Gagliano, Charles Pearson, Richard Weinstein, Diana Wiseman, and Christopher McClendon. Division of State Plans and Grants, National Park Service, U.S. Department of the Interior, 1982. Washington, D.C. Available from Coastal Environments Inc., 1260 Main Street, Baton Rouge, Louisiana 70802. Establishes and evaluates a method for employing sedimentological analysis in distinguishing site areas from non-site areas when identifying submerged archeological sites on the continental shelf.

State Survey Forms. Available from Interagency Resource Management Division, National Park Service, Department of the Interior, Washington, D.C. 20240. Characterizes cultural resource survey documentation methods in State Historic Preservation Offices.

Truss Bridge Types: A Guide to Dating and Identifying. Donald C. Jackson and T. Allan Comp. American Association for State and Local History, 1977. Nashville, Tennessee. Technical leaflet #95. Available from AASLH, 708 Berry Road, Nashville, Tennessee 37204. Information about performing surveys of historic bridges and identifying the types of properties encountered.

Secretary of the Interior's Standards for Evaluation

Evaluation is the process of determining whether identified properties meet defined criteria of significance and therefore should be included in an inventory of historic properties determined to meet the criteria. The criteria employed vary depending on the inventory's use in resource management.

Standard I. Evaluation of the Significance of Historic Properties Uses Established Criteria

The evaluation of historic properties employs criteria to determine which properties are significant. Criteria should therefore focus on historical, architectural, archeological, engineering and cultural values, rather than on treatments. A statement of the minimum information necessary to evaluate properties against the criteria should be provided to direct information gathering activities.

Because the National Register of Historic Places is a major focus of preservation activities on the Federal, State and local levels, the National Register criteria have been widely adopted not only as required for Federal purposes, but for State and local inventories as well. The National Historic Landmark criteria and other criteria used for inclusion of properties in State historic site files are other examples of criteria with different management purposes.

Standard II. Evaluation of Significance Applies the Criteria Within Historic Contexts

Properties are evaluated using a historic context that identifies the significant patterns that properties represent and defines expected property types against which individual properties may be compared. Within this comparative framework, the criteria for evaluation take on particular meaning with regard to individual properties.

Standard III. Evaluation Results in A List or Inventory of Significant Properties That Is Consulted In Assigning Registration and Treatment Priorities

The evaluation process and the subsequent development of an inventory of significant properties is an on-going activity. Evaluation of the significance of a property should be completed before registration is considered and before preservation treatments are selected. The inventory entries should contain sufficient information for subsequent activities such as registration or treatment of properties, including an evaluation statement that makes clear the significance of the property within one or more historic contexts.

Standard IV. Evaluation Results Are Made Available to the Public

Evaluation is the basis of registration and treatment decisions. Information about evaluation decisions should be organized and available for use by the general public and by those who take part in decisions about registration and treatment. Use of appropriate computer-assisted data bases should be a part of the information dissemination effort. Sensitive information, however, must be safeguarded from general public distribution.

Secretary of the Interior's Guidelines for Evaluation

Introduction

These Guidelines link the Standards for Evaluation with more specific guidance and technical information. These Guidelines describe one approach to meeting the Standards for Evaluation. Agencies, organizations, or individuals proposing to approach evaluation differently may wish to review their approach with the National Park Service.

The Guidelines are organized as follows:

The Evalauation Process
Criteria
Application of Criteria within a Historic Context
Inventory
Recommended Sources of Technical Information

The Evaluation Process

These Guidelines describe principles for evaluating the significance of one or more historic properties with regard to a given set of criteria.

Groups of related properties should be evaluated at the same time whenever possible; for example, following completion of a theme study or community survey.

Evaluation should not be undertaken using documentation that may be out of date. Prior to proceeding with evaluation the current condition of the property should be determined and previous analyses evaluated in light of any new information.

Evaluation must be performed by persons qualified by education, training and experience in the application of the criteria. Where feasible, evaluation should be performed in consultation with other individuals experienced in applying the relevant criteria in the geographical area under consideration; for example, the State Historic Preservation Officer or local landmarks commission.

Evaluation is completed with a written determination that a property is or is not significant based on provided information. This statement should be part of the record.

Criteria: The purposes of evaluation criteria should be made clear. For example, the criteria may be used "to evaluate properties for inclusion in the county landmarks list," or "to implement the National Register of Historic Places program."

For Federal cultural resource management purposes, criteria used to develop an inventory should be coordinated with the National Register criteria for evaluation as implemented in the approved State comprehensive historic preservation plan.

Content of Criteria: Criteria should be appropriate in scale to the purpose of the evaluation. For example, criteria designed to describe national significance should not be used as the basis for creating a county or State inventory. Criteria should be categorical and not attempt to describe in detail every property likely to qualify. Criteria should outline the disciplines or broad areas of concern (history, archeology, architectural history, engineering and culture, for example) included within the scope of the inventory; explain what kinds of properties, if any, are excluded and the reasons for exclusion; and define how levels of significance are measured, if such levels are incorporated into the criteria. If the criteria are to be used in situations where the National Register criteria are also widely used, it is valuable to include a statement explaining the relationship of the criteria used to the National Register criteria, including how the scope of the inventory differs from that defined by the National Register criteria and how the inventory could be use to identify properties that meet the National Register criteria.

Information Needed to Evaluate Properties: The criteria should be accompanied by a statement defining the minimum information necessary to evaluate properties to insure that this information is collected during identification activities intended to locate specific historic properties. Generally, at least the following will be needed:

1. Adequately developed historic contexts, including identified property types. (See the Guidelines for Preservation Planning for discussion of development of historic contexts.)

2. Sufficient information about the appearance, condition and associative values of the property to be evaluated to:

a. Classify it as to property type;

b. Compare its features or characteristics with those expected for its property type; and

c. Define the physical extent of the property and accurately locate the property.

To facilitate distinguishing between facts and analysis, the information should be divided into categories, including identification and description of pertinent historical contexts; description of the property and its significance in the historical context; and analysis of the integrity of the property relative to that needed to represent the context.

Usually documentation need not include such items as a complete title history or biography of every owner of a property, except where that information is important in evaluating its significance. Information on proposed or potential treatments or threats, such as destruction of a property through uncontrollable natural processes, is also not needed for evaluation, unless those effects are likely to occur prior to or during the evaluation, thereby altering the significant characteristic of the property. If archeological testing or structural analysis is needed for evaluation, it should not proceeded beyond the point of providing the information necessary for evaluation and should not unnecessarily affect significant features or values of the property.

When more information is needed: Evaluation cannot be conducted unless all necessary information is available. (See Information Needed to Evaluate Properties.) Any missing information or analysis should be identified (e.g. development of context or information on the property) as well as the specific activities required to obtain the information (archival research, field survey and testing, or laboratory testing). When adequate information is not available, it is important to record that fact so that evaluation will not be undertaken until the information can be obtained. In some cases needed information is not obtainable, for example, where historical records have been destroyed or analytical techniques have not been developed to date materials in archeological sites. If an evaluation must be completed in these cases, it is important to acknowledge what information was not obtainable and how that missing information may affect the reliability of the evaluation.

Application of the Criteria within a Historic Context

The first step in evaluation is considering how the criteria apply to the

particular historic context. This is done by reviewing the previously developed narrative for the historic context and determining how the criteria would apply to properties in that context, based on the important patterns, events, persons and cultural values identified. (See the discussion of the historic context narrative in the Guidelines for Preservation Planning.) This step includes identification of which criteria each property type might meet and how integrity is to be evaluated for each property type under each criterion. Specific guidelines for evaluating the eligibility of individual properties should be established. These guidelines should outline and justify the specific physical characteristics or data requirements that an individual property must possess to retain integrity for the particular property type; and define the process by which revisions or additions can be made to the evaluation framework.

Consideration of property type and intergrity: After considering how the criteria apply to the particular historic context, the evaluation process for a property generally includes the following steps:

1. A property is classified as to the appropriate historic context(s) and property type(s). If no existing property type is appropriate, a new property type is defined, its values identified, and the specific characteristics or data requirements are outlined and justified as an addition to the historic context. If necessary, a new historic context is defined for which values and property types and their integrity requirements are identified and justified.

2. A comparison is made between the existing information about the property and the integrity characteristics or data required for the property type.

a. If the comparison shows that the property possesses these characteristics, then it is evaluated as significant for that historic context. The evaluation includes a determination that the property retains integrity for its type.

b. If the comparison shows that the property does not meet the minimum requirements, one of several conclusions is reached:

(1) The property is determined not significant because it does not retain the integrity defined for the property type.

(2) The property has characteristics that may make it significant but these differ from those expected for that property type in that context. In this case, the historic context or property types should be reexamined and revised if necessary, based on subsequent research and survey.

The evaluation should state how the particular property meets the integrity requirements for its type. When a property is disqualified for loss of integrity, the evaluation statement should focus on the kinds of integrity expected for the property type, those that are absent for the disqualified property, and the impact of that absence on the property's ability to exemplify architectural, historical or research values within a particular historic context.

The integrity of the property in its current condition, rather than its likely condition after a proposed treatment, should be evaluated. Factors such as structural problems, deterioration, or abandonment should be considered in the evaluation only if they have affected the integrity of the significant features or characteristics of the property.

Inventory

An inventory is a repository of information on specific properties evaluated as significant.

Content: The inventory should include:

1. Summaries of the important historic contexts. These may be in the form of an approved plan or analyses of historic contexts important in the history of the geographical area covered by the inventory.

2. Descriptions of significant property types of these contexts, whether or not any specific properties have been identified.

3. Results of reconnaissance surveys or other identification activities, even if the level of information on specific properties identified as part of those activities is not sufficient to evaluate individual properties.

4. Information on individual properties that was used in evaluation.

Historic contexts are identified by name, with reference to documents describing those contexts, or with a narrative statement about the context(s) where such documents do not exist.

A description of the property. Part of this description may be a photographic record.

A statement that justifies the significance of the property in relation to its context(s). This statement should include an analysis of the integrity of the property.

Boundaries of the property.

A record of when a property was evaluated and included in the inventory, and by whom.

Records on demolished or altered properties and properties evaluated as not significant should be retained, along with full description of areas surveyed, for the planning information these records provide about impacts to properties and about the location and character of non-significant properties to prevent redundant identification work at a later time.

Maintenance: Inventory entries should be maintained so that they accurately represent what is known about historic properties in the area covered by the inventory. This will include new information gained from research and survey about the historic contexts, property types, and previously evaluated properties, as well as information about newly evaluated properties. For individual properties, addition of kinds of significance, change in the boundaries, or loss of significance through demolition or alteration should be recorded.

Uses and Availability: An inventory should be managed so that the information is accessible. Its usefulness depends on the organization of information and on its abilty to incorporate new information. An inventory should be structured so that entries can be retrieved by locality or by historic context.

The availability of the inventory information should be announced or a summary should be distributed. This may be in the form of a list of properties evaluated as significant or a summary of the historic contexts and the kinds of properties in the inventory. Inventories should be avilable to managers, planners, and the general public at local, State, regional, and Federal agency levels.

It is necessary to protect information about archeological sites or other properties whose integrity may be damaged by widespread knowledge of their location. It may also be necessary to protect information on the location of properties such as religious sites, structures, or objects whose cultural value would be compromised by public knowledge of the property's location.

Recommended Sources of Technical Information

How to Apply the National Register Critera. Available through the National Register Branch, Interagency Resources Division, National Park Service, U.S. Department of the Interior, Washington, D.C. 20240. Provides detalied technical information about interpretation of the significance and integrity criteria used by the National Register of Historic Places program.

How To Series. Available through the National Register Branch, Interagency Resources Division, National Park Service, U.S. Department of the Interior, Washington, D.C. 20240. Discusses application of the National Register criteria for evaluation. Titles include:

How To Establish Boundaries for National Register Properties.
How To Evaluate and Nominate Potential National Register Properties That Have Achieved Significance Within the Last 50 Years.
How To Improve Quality of Photos for National Register Nominations.
How To Apply for Certification of Significance Under Section 2124 of the Tax Reform Act of 1976.
How To Apply for Certification of State and Local Statutes and Historic Districts.
How To Quality Historic Properties Under the New Federal Law Affective Easements.

Importance of Small, Surface, and Disturged Sites as Sources of Significant Archeological Data. Valerie Talmage and Olga Chesler. Interagency Archeological Service 1977. Washington, D.C. Available from the National Technical Information Service. NTIS Publication Number PB 270939/AS. Discusses the role of small, surface, and disturbed sites as sources of significant information about a variety of prehistoric activities. These types of sites are frequently ignored in the development of regional archeological research designs.

Secretary of the Interior's Standards For Registration

Registration is the formal recognition of properties evaluated as significant. Preservation benefits provided by various registration programs range from honorific recognition to prohibition of demolition or alteration of included properties. Some registration programs provide recognition and other broad benefits while other programs authorize more specific forms of protection.

Standard I. Registration Is Conducted According To Stated Procedures

Registration of historic properties in the National Register of Historic Places must be done in accordance with the National Register regulations published in the Code of Federal Regulations, 36 CFR 60. Registration for other lists or purposes follow an established process that is understood by the public, particularly by those interests that may be affected by registration.

Standard II. Registration Information Locates, Describes and Justifies the Significance and Physical Integrity of a Historic Property

Registers are used for planning, research and treatment. They must contain adequate information for users to locate a property and understand its significance. Additional information may be appropriate depending on the intended use of the register.

Standard III. Registration Information is Accessible to the Public

Information should be readily available to the public and to government agencies responsible for the preservation of historic properties and for other planning needs.

Secretary of the Interior's Guidelines for Registration

Introduction

These Guidelines link the Standards for Registration with more specific guidance and technical information. They describe one approach to meeting the Standards for Registration. Agencies, organizations, or individuals proposing to approach registration differently may wish to review their approach with the National Park Service.

The Guidelines are organized as follows:

Purpose of Registration Programs
Registration Procedures
Documentation on Registered Properties
Public Availability
Recommended Sources of Technical Information

Purpose of Registration Programs

Registration of historic properties is the formal recognition of properties that have been evaluated as significant according to written criteria. Registration results in an official inventory or list that serves an administrative function. A variety of benefits or forms of protection accure to a registered property, ranging from honorific recognition to prohibition of demolition or alteration.

Some registration programs provide recognition and other broad benefits or entitlements, while other registrations of properties may, in addition, authorize more specific forms of protection. The application of the registration process should be a logical outgrowth of the same planning goals and priorities that guided the identification and evaluation activities. All registration programs should establish priorities for recognition of their authorized range of properties; provide for confidentiality of sensitive information; and establish a means of appealing the registration or non-registration of a property.

Registration Procedures

Explicit procedures are essential because they are the means by which the public can understand and participate in the registration process. Procedures for registration programs should be developed by professionals in the field of historic preservation, in consultation with those who will use or be affected by the program. Prior to taking effect, procedures should be published or circulated for comment at the governmental level at which they will be used. (Procedures for registration of properties in the National Register of Historic Places and the National Historic Landmarks list, for example, are published in the **Federal Register**.)

Any registration program should include:

1. A professional staff to prepare or assess the documentation;
2. A professional review, independent of the nominating source, to provide an impartial evaluation of the documented significance;
3. Adequate notice to property owners, elected officials and the public about proposed registrations and the effects of listing, if any; and
4. A means of public participation.

Professional Review: The registration process should include an independent evaluation of the significance of the property and of the quality and thoroughness of the documentation supporting that significance. Such evaluation ensures that significance is adequately justified and that registration documentation meets the technical requirements of the registration process.

State and local preservation programs, concerned with both public and private properties, generally use a review board, panel or commission. This level of professional review has proven to be effective in assessing the significance of properties considered for registration.

Review boards and other forms of independent review should include professionals in the fields or diciplines included in the criteria; representatives of other fields or disciplines may be desirable to reflect other values or aspects of the register. Key personnel must be qualified by education, training or experience to accomplish their designated duties. (See the Professional Qualifications Standards.)

The scope of the independent review should be clearly stated in the registration procedures and should not include issues outside the scope of the applicable criteria for evaluation and other areas specified in the procedures. Generally, independent reviewers should not be involved in any primary research or analysis related to properties under consideration; this information should be gathered and organized prior to review meetings. Documentation presented to the reviewers should be made available to

the public prior to review meetings or public hearings. Registration of properties should not take place until review of documentation has been completed.

Public Notice: Adequate notice allows property owners, officials and other interested parties to comment on proposed registrations prior to action by the independent reviewers. The degree of protection and control provided by a registration program may be a factor in determining what constitutes adequate notice. For example, adequate notice of proposed inclusion in honorific registers may be less complex than that for registration that results in local controls on alteration or demolition of registered properties.

Notice to elected officials and the public is necessary to distribute information about potential registrations of concern to planning and development interests.

Adequate notice to property owners may be accomplished through means ranging from individual notification by mail to publication of a public notice, depending on the nature of the registration program and the number and character of the properties involved.

Public notices and owner notification about proposed registrations should include the dates and times of public meetings and review meetings, the kinds of comments that are appropriate, and how comments will be considered in the evaluation process. The notice should also state where information can be obtained about the registration program, the criteria used to evaluate properties for inclusion, and the significance of specific properties under consideration.

The procedures should include a means of public participation in the form of submission of written comments or a review meeting open to the public or a public hearing.

The procedures should state time periods within which reviews, notices, comments, public hearings, review meetings and appeals will occur. The time periods should be short enough to allow for efficient recognition of historic properties but also allow adequate time for public comment and participation by those affected. Time periods may vary depending on whether activities are carried out at the local, State, or national level. These time schedules should be widely circulated so that the process is widely understood.

Appeal Process: A means of appeal should be included in the registration process to allow for reconsideration of a property's inclusion. Reasons for appeal may range from existence of additional information about the property supporting or refuting its significance to administrative or procedural error. An appeal process should specify to whom an appeal may be made and how the information that is provided will be evaluated. The appeal procedures should also state the time limit, if any, on appealing a decision and on consideration of information and issuance of a decision by the appeal authority.

Documentation on Registered Properties

Documentation requirements should be carefully weighed to provide the information *actually* needed to reach a registration decision and should be made public. It should be made certain that identification and evaluation activities obtain and record the information necessary for registration. Documentation should be prepared in a standardized format and on materials that are archivally stable and easy to store and retrieve.

Location: The precise location of a historic property must be clearly identified.

Street address, town or vicinity, and county should be provided. Properties should also be located on maps; these may be USGS maps, county planning maps, or city base maps or real estate maps. A uniform system of noting location, such as UTM grid points or longitude and latitude, should supplement mapping. It is recommended that each registration process standardize the preferred choice of maps appropriate to the scope of the process.

Description: An accurate description of a property includes a description of both the current and historical physical appearance and condition of the property and notes the relevant property type(s) for the applicable historic context(s). Discussion should include alterations, deterioration, relocation and other changes to the property since its period of significance.

Significance: A statement of significance should explain why a property meets the criteria for inclusion in the register to which it has been nominated.

This statement should contain at least 3 elements:

1. Reference to the relevant historic context(s);

2. Identification of relevant property types within the context and their characteristics; and

3. Justification that the property under consideration has the characteristics required to qualify it.

Relevant historic contexts can be identified through reference to the preservation plan or other documents where the contexts have been previously described or can be provided by a narrative discussion of the context. (The development of contexts and their use in evaluating properties are discussed in the Guidelines for Preservation Planning and the Guidelines for Evaluation.) A significant property type and its characteristics are identified either through reference to the historic context(s) or by a narrative in the documentation that describes historic contexts. Justification of a specific property is made by systematic comparison of its characteristics to those required for the property type.

Boundaries: The delineation and justification of boundaries for a registered property are important for future treatment activities. It is expecially critical when legal restraints or restrictions may result from the registration of properties. Thus, boundaries should correspond as closely as possible to the actual extent and configuration of the property and should be carefully selected to encompass, but not exceed, the extent of the significant resource(s). The selection of boundaries should reflect the significant aspects of the property.

Arbitrary boundaries should not be chosen for ease of description since this can result in the inclusion of unrelated land or in exclusion of a portion of the historic property. Present property lines should not be chosen as property boundaries without careful analysis of whether they are appropriate to the historic property. A single uniform boundary description and acreage should not be applied to a group or class of properties (antebellum plantations, for example) without examination of the actual extent of each property. The selected boundaries should be justified as appropriate to the historic property.

Boundaries should be clearly and precisely described, using a verbal boundary description, legal description, accurate sketch map, or lines drawn on base maps, or a combination of these where needed to specify the limits of the property being registered. When used, maps should show the location of buildings, structures, sites or objects within the boundary.

Updating Information on Registered Properties: A change in the condition of the significant features of a property may require a change in the official registration record. Alteration of a significant architectural feature, for example, could mean that a property is no longer significant for its architectural design.

Additional significance of registered properties may be identified through development of new historic contexts.

Research may reveal that a property is significant in other historic contexts or is significant at a higher level. For example, a property previously recognized as of local significance could be found to be of national significance.

A change in location or condition of a registered property may mean that the property is no longer significant for the reasons for which it was registered and the property should be deleted from the registered list.

Public Availability

Lists of registered properties should be readily available for public use, and information on registered properties should be distributed on a regular basis. Lists of properties registered nationally are distributed through publication in the **Federal Register** and to Congressional Offices and State Historic Preservation Offices. Comprehensive information should be stored and maintained for public use at designated national, State and local authorities open to the public on a regular basis.

Information should be retrievable by the property name, and location, historic context or property type. The specific location of properties that may be threatened by dissemination of that information must be withheld. These may include fragile archeological properties or properties such as religious sites, structures, or objects whose cultural value would be compromised by public knowledge of the property location.

Recommended Sources of Technical Information

How to Complete National Register Forms. National Register Division, National Park Service, U.S. Deparment of the Interior, 1977. Washington, D.C. Available through the Superintendent of Documents, US Government Printing Office, Washington, D.C. 20402. GPO Stock Number 024–005–00666–4. This publication is the standard reference on the documentation requirements of the National Register of Historic Places program.

How To Series. Available through the National Register Branch, Interagency Resources Division, National Park Service, Department of the Interior 20240. These information sheets contain supplementary information about interpreting the National Register criteria for evaluation and documentation requirements of the National Register registration program. Title include:

How To Establish Boundaries for National Register Properties.

How To Evaluate and Nominate Potential National Register Properties That Have Achieved Significance Within the Last 50 Years.

How To Improve the Quality of Photographs for National Register Nominations.

How To Apply for Certification of Significance Under Section 2124 of the Tax Reform Act of 1976.

How To Apply for Certification of State and Local Statutes and Historic Districts.

How To Qualify Historic Properties Under the New Federal Law Affecting Easements.

Note on Documentation and Treatment of Historic Properties

Documentation and treatment of historic properties includes a variety of techniques to preserve or protect properties, or to document their historic values and information. While documentation activities may be applied to any potentially historic property, generally only those properties that first have been evaluated as significant against specified criteria (such as those of the National Register) are treated. Some commonly applied treatments are preservation in place, rehabilitation, restoration and stabilization; there are other types of treatments also. Documentation and treatment may be applied to the same property; for example, archeological, historical, and architectural documentation may be prepared before a structure is stabilized or before foundations or chimneys or other lost features are reconstructed.

Alternatives for treatment will usually be available, and care should be applied in choosing among them. Preservation in place is generally preferable to moving a property. Over time, the preferred treatment for a property may change; for example, an archeological site intended for preservation in place may begin to erode so that a combination of archeological documentation and stabilization may be required. If a decision is made that a particular property will not be preserved in place, the need for documentation must then be considered.

The three sets of documentation standards (i.e., the Standards for Historical Documentation, Standards for Architectural and Engineering Documentation, and Standards for Archeological Documentation) as well as the Standards for Historic Preservation Projects (Acquisition, Preservation, Stabilization, Protection, Rehabilitation, Restoration, and Reconstruction) describe the techniques of several disciplines to treat historic properties, and to document or preserve information about their historical values. The integration of planning for documentation and treatment with their execution is accomplished in a statement of objectives, or research design. Because both the goals and appropriate methodologies are likely to be interdisciplinary in nature, the relationship among these various activities should be specified in the research design to ensure that the resulting documentation produces a comprehensive record of historic properties in an efficient manner.

Secretary of the Interior's Standards for Historical Documentation

Historical documentation provides important information related to the significance of a property for use by historians, researchers, preservationists, architects, and historical archeologists. Research is used early in planning to gather information needed to identify and evaluate properties. (These activities are discussed in the Standards and Guidelines for Preservation Planning and the Standards and Guidelines for Identification.) Historical documentation is also a treatment that can be applied in several ways to properties previously evaluated as significant; it may be used in conjunction with other treatment activities (as the basis for rehabilitation plans or interpretive programs, for example) or as a final treatment to preserve information in cases of threatened property destruction. These Standards concern the use of research and documentation as a treatment.

Standard I. Historical Documentation Follows a Research Design That Responds to Needs Identified in the Planning Process

Historical documentation is undertaken to make a detailed record of the significance of a property for research and interpretive purposes and for conservation of information in cases of threatened property destruction. Documentation must have defined objectives so that proposed work may be assessed to determine whether the resulting documentation will meet needs identified in the planning process. The research design or statement of objectives is a formal statement of how the needs identified in the plan are to be addressed in a specific documentation project. This is the framework that guides the selection of methods and evaluation of results, and specifies the relationship of the historical documentation efforts to other proposed treatment activities.

Standards II. Historical Documentation Employs an Appropriate Methodology to Obtain the Information Required by The Research Design

Methods and techniques of historical research should be chosen to obtain needed information in the most efficient way. Techniques should be carefully selected and the sources should be

recorded so that other researchers can verify or locate information discovered during the research.

Standard III. The Results of Historical Documentation Are Assessed Against the Research Design and Integrated Into the Planning Process

Documentation is one product of research; information gatherd about the usefulness of the research design itself is another. The research results are assessed against the research design to determine how well they meet the objectives of the research. The results are integrated into the body of current knowledge and reviewed for their implications for the planning process. The research design is reviewed to determine how future research designs might be modified based on the activity conducted.

Standard IV. The Results of Historical Documentation Are Reported and Made Available to the Public

Research results must be accessible to prospective users. Results should be communicated to the professional community and the public in reports summarizing the documentation activity and identifying the repository of additional detailed information. The goal of disseminating information must be balanced, however, with the need to protect sensitive information whose disclosure might result in damage to properties.

Secretary of the Interior's Guidelines for Historical Documentation

Introduction

These Guidelines link the Standards for Historical Documentation with more specific guidance and technical information. They describe one approach to meeting the Standards for Historical Documentation. Agencies, organizations or individuals proposing to approach historical documentation differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

Historical Documentation Objectives
Research Design
Methods
Integrating Results
Reporting Results
Recommended Sources of Technical Information

Documentation Objectives

Documentation is a detailed record, in the form of a report or other written document, of the historical context(s) and significance of a property. Historical research to create documentation uses archival materials, oral history techniques, ethnohistories, prior research contained in secondary sources and other sources to make a detailed record of previously identified values or to investigate particular questions about the established significance of a property or properties. It is an investigative technique that may be employed to document associative, architectural, cultural or informational values of properties. It may be used as a component of structural recording or archeological investigation, to enable interpretation or to mitigate the anticipated loss of a property through conservation of information about its historical, architectural or archeological significance. Documentation generally results in both greater factual knowledge about the specific property and its values, and in better understanding of the property in its historical context. In addition to increasing factual knowledge about a property and its significance in one historical context, documentation may also serve to link the property to or define its importance in other known or yet-to-be defined historic contexts.

Documentation should incorporate, rather than duplicate, the findings of previous research. Research may be undertaken to identify how a particular property fits into the work of an architect or builder; to analyze the historical relationship among several properties; or to document in greater detail the historical contexts of properties. The kinds of questions investigated will generally depend on what is already known or understood and what information is needed. For example, documentation of a bridge whose technological significance is well understood, but whose role in local transportation history is not, would summarize the information on the former topic and focus research on the associative values of the property. The questions that research seeks to answer through deed, map or archival search, oral history and other techniques may also relate to issues addressed in structural documentation or archeological investigation; for example, the reasons for and history of modification of a building to be the subject of architectural or engineering documentation.

Research Design

Historical documentation is guided by a statement of objectives, research design or task directive prepared before research is performed. The research design is a useful statement of how proposed work will enhance existing archival data and permits comparison of the proposed work with the results. The purpose of the research design is to define the proposed scope of the documentation work and to define a set of expectations based on the information available prior to the research. Generally, the research design also ensures that research methods are commensurate with the type, quality and source of expected information.

The research design for a property should identify:

1. Evaluated significance of the property(ies) to be investigated;
2. Historical, architectural, archeological or cultural issues relevant to the evaluated significance of the property;
3. Previous research on those issues and how the proposed work is related to existing knowledge;
4. The amount and kinds of information required to produce reliable historical analyses;
5. Methods to be used to obtain the information;
6. Types of sources to be investigated; types of personnel required;
7. Expected results or findings based on available knowledge about the property and its context; and
8. Relationship of the proposed historical documentation to other proposed treatment activities; for example, recommendations on the use of documentation in interpretive programs or other aspects of treatment such as anticipated architectural, engineering or archeological documentation).

Research Methods

Research methods should be chosen based on the information needs, be capable of replication and be recorded so that another researcher could follow the same research procedure. Sources should be recorded so that other researchers can locate or verify the information discovered during the search.

Use of Sources: The variety of available written and graphic materials and the number of individuals that can serve as sources, including but not limited to personal records, deed and title books, newspapers, plats, maps, atlases, photographs, vital records, censuses, historical narratives, interviews of individuals and secondary source materials, should be considered in developing the research design. Part of the development of the research design is deciding what kinds of source materials are most likely to contain needed information and at what point in the research process that information will be most valuable. For example,

often secondary sources are most valuable for gathering background information, while primary sources are more useful to gather or confirm specific facts. The documentation goals may not *require* exhaustive investigation of sources, such as deed records or building permits. Research may be kept cost-effective by making careful decisions about when to use particular sources, thereby limiting the use of time-consuming techniques to when absolutely necessary. Decisions about when to gather information may also affect the quality of information that can be gathered. When dealing with large project areas where loss of many properties is anticipated, it is important to gather information from local archival sources and oral histories before project activities destroy or disperse family or community records and residents.

Analysis of the accuracy and biases of source materials is critical in analyzing the information gathered from these sources. Maps, historical atlases and insurance maps should be assessed like written records for errors, biases and omissions; for example, some map sources may omit structures of a temporary nature or may not fully depict ethnic or minority areas. Likewise, building plans and architectural renderings may not reflect a structure as it was actually built.

Analysis: Analysis should not only focus on the issues defined in the research design, but should also explore major new issues identified during the course of research or analysis. The documentation gathered may raise important issues not previously considered, and further investigation may be important, particularly when contradictory information has been gathered. It is important to examine the implications of these new issues to ensure that they are investigated in a balanced way.

Questions that should be considered in analyzing the information include:

1. Has enough information been gathered to anwser the questions that were posed?

2. Do the answers contradict one another? If so, it may be necessary to search for more evidence. If no additional evidence is available, judgements must be based on the available sources, weighing their biases. Conflicts of source materials should be noted.

In general, the more the researcher knows about the general historical period and setting, and limitations of the source materials under investigation, the better the individual is prepared to evaluate the information found in the documentary sources investigated. Peer review or consultation with other knowledgeable individuals about the information and the tentative conclusions can be an important part of the analysis.

Integrating Results

The results of documentation must be integrated into the planning process so that planning decisions are based on the best available informaiton. The new information is first assessed against the research design to determine whether the gathered information meets the defined objectives of the research. Then the relevant historic contexts, property types, and treatment goals for those contexts are all adjusted, as necessary, based on the historical documentation results.

Reporting Results

Reports should contain:

1. Summaries of the purpose of the documentation, the research design and methods and techniques of investigation.

2. Sources of facts or analyses so that other researchers can locate the information in its original context. Notation of any conflicts in source materials and how the individual performing the documentation interpreted these conflicts.

3. Sources consulted, including those expected to contain useful information and those that contained no information about the property(s).

4. Assessment of the accuracy, biases and historical perspective of all sources. This information and that identified in No. 3 may be provided in an annotated bibliography.

5. Discussion of major analyses and results, including conclusions regarding all major research issues identified in the research design, as well as important issues raised in the course of research. The analysis should be summarized in terms of its impact on interpretating the property's significance and expanding or altering the knowledge about the property and its context.

6. Researchers' interpretation of historical events or trends. These interpretations should be clearly identified.

Primary results should be preserved and made accessible in some manner, although they need not necessarily be contained in the report. At a minimum, the report should reference the location of notes and analyses.

Results of historical documentation should be made available for use in preservation planning and by the general public. Report formats may vary, depending on the audience and the anticipated uses of the documentation, but professionally accepted rules of report writing should be followed. If reports are of a technical nature, the format of the major scientific journal of the pertinent discipline may be the most appropriate format. Peer review of draft reports is one means of ensuring that state-of-the-art technical reports are produced.

Recommended Sources of Technical Informotion

Folklife and Fieldwork: A Layman's Introduction to Field Techniques. Peter Bartis. American Folklife Center, Washington, D.C., 1979.

Ordinary People and Everyday Life: Perspectives on the New Social History. James B. Gardnee and George Rollie Adams, editors, American Association for State and Local History, Nashville, Tennessee, 1983.

The Process of Field Research. Carl Fleischhauer and Charles K. Wolfe. American Folklife Center, Washington, D.C., 1981.

Researching Heritage Buildings. Margaret Carter. Ministry of the Environment, Ottawa, Canada, 1983.

Secretary of the Interior's Standards for Architectural and Engineering Documentation

These standards concern the development of documentation for historic buildings, sites, structures and objects. This documentation, which usually consists of measured drawings, photographs and written data, provides important information on a property's significance for use by scholars, researchers, preservationists, architects, engineers and others interested in preserving and understanding historic properties. Documentation permits accurate repair or reconstruction of parts of a property, records existing conditions for easements, or may preserve information about a property that is to be demolished.

These Standards are intended for use in developing documentation to be included in the Historic American Building Survey (HABS) and the Historic American Engineering Record (HAER) Collections in the Library of Congress. HABS/HAER, in the National Park Service, have defined specific requirements for meeting these Standards for their collections. The HABS/HAER requirements include information important to development of documentation for other purposes such as State or local archives

Standard I. Documentation Shall Adequately Explicate and Illustrate What is Significant or Valuable About the Historic Building, Site, Structure or Object Being Documented.

The historic significance of the building, site, structure or object identified in the evaluation process should be conveyed by the drawings, photographs and other materials that comprise documentation. The historical, architectural, engineering or cultural values of the property together with the purpose of the documentation activity determine the level and methods of documentation. Documentation prepared for submission to the Library of Congress must meet the HABS/HAER Guidelines.

Standard II. Documentation Shall be Prepared Accurately From Reliable Sources With Limitations Clearly Stated to Permit Independent Verification of the Information.

The purpose of documentation is to preserve an accurate record of historic properties that can be used in research and other preservation activities. To serve these purposes, the documentation must include information that permits assessment of its reliability.

Standard III. Documentation Shall be Prepared on Materials That are Readily Reproductible, Durable and in Standard Sizes.

The size and quality of documentation materials are important factors in the preservation of information for future use. Selection of materials should be based on the length of time expected for storage, the anticipated frequency of use and a size convenient for storage.

Standard IV. Documentation Shall be Clearly and Concisely Produced.

In order for documentation to be useful for future research, written materials must be legible and understandable, and graphic materials must contain scale information and location references.

Secretary of the Interior's Guidelines for Architectural and Engineering Documentation

Introduction

These Guidelines link the Standards for Architectural and Engineering Documentation with more specific guidance and technical information. They describe one approach to meeting the Standards for Architectural Engineering Documentation. Agencies, organizations or individuals proposing to approach documentation differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

Definitions

These definitions are used in conjunction with these Guidelines:

Architectural Data Form—a one page HABS form intended to provide identifying information for accompanying HABS documentation.

Documentation—measured drawings, photographs, histories, inventory cards or other media that depict historic buildings, sites, structures or objects.

Field Photography—photography, other than large-format photography, intended for the purpose of producing documentation, usually 35mm.

Field Records—notes of measurements taken, field photographs and other recorded information intended for the purpose of producing documentation.

Inventory Card—a one page form which includes written data, a sketched site plan and a 35mm contact print dry-mounted on the form. The negative, with a separate contact sheet and index should be included with the inventory card.

Large Format Photographs—photographs taken of historic buildings, sites, structures or objects where the negative is a 4 X 5", 5 X 7" or 8 X 10" size and where the photograph is taken with appropriate means to correct perspective distortion.

Measured Drawings—drawings produced on HABS or HAER formats depicting existing conditions or other relevant features of historic buildings, sites, structures or objects. Measured drawings are usually produced in ink on archivally stable material, such as mylar.

Photocopy—A photograph, with large-format negative, of a photograph or drawing.

Select Existing Drawings—drawings of historic buildings, sites, structures or objects, whether original construction or later alteration drawings that portray or depict the historic value or significance.

Sketch Plan—a floor plan, generally not to exact scale although often drawn from measurements, where the features are shown in proper relation and proportion to one another.

Goal of Documentation

The Historic American Buildings Survey (HABS) and Historic American Engineering Record (HAER) are the national historical architectural and engineering documentation programs of the National Park Service that promote documentation incorporated into the HABS/HAER collections in the Library of Congress. The goal of the collections is to provide architects, engineers, scholars, and interested members of the public with comprehensive documentation of buildings, sites, structures and objects significant in American history and the growth and development of the built environment.

The HABS/HAER Collections: HABS/HAER documentation usually consists of measured drawings, photographs and written data that provide a detailed record which reflects a property's significance. Measured drawings and properly executed photographs act as a form of insurance against fires and natural disasters by permitting the repair and, if necessary, reconstruction of historic structures damaged by such disasters. Documentation is used to provide the basis for enforcing preservation easement. In addition, documentation is often the last means of preservation of a property; when a property is to be demolished, its documentation provides future researchers access to valuable information that otherwise would be lost.

HABE/HAER documentation is developed in a number of ways. First and most usually, the National Park Service employs summer teams of student architects, engineers, historians and architectural historians to develop HABS/HAER documentation under the supervision of National Park Service professionals. Second, the National Park Service produces HABS/HAER documentation, in conjunction with restoration or other preservation treatment, of historic buildings managed by the National Park Service. Third, Federal agencies, pursuant to Section 110(b) of the National Historic Preservation Act, as amended, record those historic properties to be demolished or substantially altered as a result of agency action or assisted action (referred to as mitigation projects). Fourth, individuals and organizations prepare documentation to HABS/HAER standards and donate that documentation to the HABS/HAER collections. For each of these programs,

different Documentation Levels will be set.

The Standards describe the fundamental principles of HABS/HAER documentation. They are supplemented by other material describing more specific guidelines, such as line weights for drawings, preferred techniques for architectural photography, and formats for written data. This technical information is found in the HABS/HAER Procedures Manual.

These Guidelines include important information about developing documentation for State or local archives. The State Historic Preservation Officer or the State library should be consulted regarding archival requirements if the documentation will become part of their collections. In establishing archives, the important questions of durability and reproducibility should be considered in relation to the purposes of the collection.

Documentation prepared for the purpose of inclusion in the HABS/HAER collections must meet the requirements below. The HABS/HAER office of the National Park Service retains the right to refuse to accept documentation for inclusion in the HABS/HAER collections when that documentation does not meet HABS/HAER requirements, as specified below.

Standard I: Content

1. *Requirement:* Documentation shall adequately explicate and illustrate what is significant or valuable about the historic building, site, structure or object being documented.

2. *Criteria:* Documentation shall meet one of the following documentation levels to be considered adequate for inclusion in the HABS/HAER collections.

a. Documentation Level I;

(1) Drawings: a full set of measured drawings depicting existing or historic conditions.

(2) Photographs: photographs with large-format negatives of exterior and interior views; photocopies with large format negatives of select existing drawings or historic views where available.

(3) Written data: history and description.

b. Documentation Level II;

(1) Drawings: select existing drawings, where available, should be photographed with large-format negatives or photographically reproduced on mylar.

(2) Photographs: photographs with large-format negatives of exterior and interior views, or historic views, where available.

(3) Written data: history and description.

c. Documentation Level III;

(1) Drawings: sketch plan.

(2) Photographs: photographs with large-format negatives of exterior and interior views.

(3) Written data: architectural data form.

d. Documentation Level IV: HABS/HAER inventory card.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

4. *Commentary:* The HABS/HAER office retains the right to refuse to accept any documentation on buildings, site, structures or objects lacking historical significance. Generally, buildings, sites, structures or objects must be listed in, or eligible for listing in the National Register of Historic Places to be considered for inclusion in the HABS/HAER collections.

The kind and amount of documentation should be appropriate to the nature and significance of the buildings, site, structure or object being documented. For example, Documentation Level I would be inappropriate for a building that is a minor element of a historic district, notable only for streetscape context and scale. A full set of measured drawings for such a minor building would be expensive and would add little, if any, information to the HABS/HAER collections. Large format photography (Documentation Level III) would usually be adequate to record the significance of this type of building.

Similarly, the aspect of the property that is being documented should reflect the nature and significance of the building, site, structure or object being documented. For example, measured drawings of Dankmar Adler and Louis Sullivan's Auditorium Building in Chicago should indicate not only facades, floor plans and sections, but also the innovative structural and mechanical systems that were incorporated in that building. Large format photography of Gunston Hall in Fairfax County, Virginia, to take another example, should clearly show William Buckland's hand-carved moldings in the Palladian Room, as well as other views.

HABS/HAER documentation is usually in the form of measured drawings, photographs, and written data. While the criteria in this section have addressed only these media, documentation need not be limited to them. Other media, such as films of industrial processes, can and have been used to document historic buildings, sites, structures or objects. If other media are to be used, the HABS/HAER office should be contacted before recording.

The actual selection of the appropriate documentation level will vary, as discussed above. For mitigation documentation projects, this level will be selected by the National Park Service Regional Office and communicated to the agency responsible for completing the documentation. Generally, Level I documentation is required for nationally significant buildings and structures, defined as National Historic Landmarks and the primary historic units of the National Park Service.

On occasion, factors other than significance will dictate the selection of another level of documentation. For example, if a rehabilitation of a property is planned, the owner may wish to have a full set of as-built drawings, even though the significance may indicate Level II documentation.

HABS Level I measured drawings usually depict existing conditions through the use of a site plan, floor plans, elevations, sections and construction details. HAER Level I measured drawings will frequently depict original conditions where adequate historical material exists, so as to illustrate manufacturing or engineering processes.

Level II documentation differs from Level I by substituting copies of existing drawings, either original or alteration drawings, for recently executed measured drawings. If this is done, the drawings must meet HABS/HAER requirements outlined below. While existing drawings are rarely as suitable as as-built drawings, they are adquate in many cases for documentation purposes. Only when the desirability of having as-built drawings is clear are Level I measured drawings required in addition to existing drawings. If existing drawings are housed in an accessible collection and cared for archivally, their reproduction for HABS/HAER may not be necessary. In other cases, Level I measured drawings are required in the absence of existing drawings.

Level III documentation requires a sketch plan if it helps to explain the structure. The architectural data form should supplement the photographs by explaining what is not readily visible.

Level IV documentation consists of completed HABS/HAER inventory cards. This level of documentation, unlike the other three levels, is rarely considered adequate documentation for the HABS/HAER collections but is undertaken to identify historic resources in a given area prior to additional, more comprehensive documentation.

Standard II: Quality

1. *Requirement:* HABS and HAER documentation shall be prepared accurately from reliable sources with limitations clearly stated to permit independent verification of information.

2. *Criteria:* For all levels of documentation, the following quality standards shall be met:

a. Measured drawings: Measured drawings shall be produced from recorded, accurate measurements. Portions of the building that were not accessible for measurement should not be drawn on the measured drawings, but clearly labeled as not accessible or drawn from available construction drawings and other sources and so identified. No part of the measured drawings shall be produced from hypothesis or non-measurement related activities. Documentation Level I measured drawings shall be accompanied by a set of field notebooks in which the measurements were first recorded. Other drawings, prepared for Documentation Levels II and III, shall include a statement describing where the original drawings are located.

b. Large format photographs: Large format photographs shall clearly depict the appearance of the property and areas of significance of the recorded building, site, structure or object. Each view shall be perspective-corrected and fully captioned.

c. Written history: Written history and description for Documentation Levels I and II shall be based on primary sources to the greatest extent possible. For Levels III and IV, secondary sources may provide adequate information; if not, primary research will be necessary. A frank assessment of the reliability and limitations of sources shall be included. Within the written history, statements shall be footnoted as to their sources, where appropriate. The written data shall include a methodology section specifying name of researcher, date of research, sources searched, and limitations of the project.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

4. *Commentary:* The reliability of the HABS/HAER collections depends on documentation of high quality. Quality is not something that can be easily prescribed or quantified, but it derives from a process in which thoroughness and accuracy play a large part. The principle of independent verification HABS/HAER documentation is critical to the HABS/HAER collections.

Standard III: Materials

1. *Requirement:* HABS and HAER documentation shall be prepared on materials that are readily reproducible for ease of access; durable for long storage; and in standard sizes for ease of handling.

2. *Criteria:* For all levels of documentation, the following material standards shall be met:

a. Measured Drawings:

Readily Reproducible: Ink on translucent material.

Durable: Ink on archivally stable materials.

Standard Sizes: Two sizes: 19 × 24" or 24 × 36".

b. Large Format Photographs:

Readily Reproducible: Prints shall accompany all negatives.

Durable: Photography must be archivally processed and stored. Negatives are required on safety film only. Resin-coated paper is not accepted. Color photography is not acceptable.

Standard Sizes: Three sizes: 4 × 5", 5 × 7", 8 × 10".

c. Written History and Description:

Readily Reproducible: Clean copy for xeroxing.

Durable: Archival bond required.

Standard Sizes: 8½ × 11".

d. Field Records:

Readily Reproducible: Field notebooks may be xeroxed. Photo identification sheet will accompany 35 mm negatives and contact sheets.

Durable: No requirement.

Standard Sizes: Only requirement is that they can be made to fit into a 9½ × 12" archival folding file.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

4. *Commentary:* All HABS/HAER records are intended for reproduction; some 20,000 HABS/HAER records are reproduced each year by the Library of Congress. Although field records are not intended for quality reproduction, it is intended that they be used to supplement the formal documentation. The basic durability performance standard for HABS/HAER records is 500 years. Ink on mylar is believed to meet this standard, while color photography, for example, does not. Field records do not meet this archival standard, but are maintained in the HABS/HAER collections as a courtesty to the collection user.

Standard IV: Presentation

1. *Requirement:* HABS and HAER documentation shall be clearly and concisely produced.

2. *Criteria:* For levels of documentation as indicated below, the following standards for presentation will be used:

a. Measured Drawings: Level I measured drawings will be lettered mechanically (i.e., Leroy or similar) or in a handprinted equivalent style. Adequate dimensions shall be included on all sheets. Level III sketch plans should be neat and orderly.

b. Large format photographs: Level I photographs shall include duplicate photographs that include a scale. Level II and III photographs shall include, at a minimum, at least one photograph with a scale, usually of the principal facade.

c. Written history and description: Data shall be typewritten on bond, following accepted rules of grammar.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

Architectural and Engineering Documentation Prepared for Other Purposes

Where a preservation planning process is in use, architectural and engineering documentation, like other treatment activities, are undertaken to achieve the goals identified by the preservation planning process. Documentation is deliberately selected as a treatment for properties evaluated as significant, and the development of the documentation program for a property follows from the planning objectives. Documentation efforts focus on the significant characteristics of the property, as defined in the previously completed evaluation. The selection of a level of documentation and the documentation techniques (measured drawings, photography, etc.) is based on the significance of the property and the management needs for which the documentation is being performed. For example, the kind and level of documentation required to record a historic property for easement purposes may be less detailed than that required as mitigation prior to destruction of the property. In the former case, essential documentation might be limited to the portions of the property controlled by the easement, for example, exterior facades; while in the latter case, significant interior architectural features and non-visible structural details would also be documented.

The principles and content of the HABS/HAER criteria may be used for guidance in creating documentation requirements for other archives. Levels of documentation and the durability and sizes of documentation may vary depending on the intended use and the repository. Accuracy of documentation should be controlled by assessing the reliability of all sources and making that assessment available in the archival record; by describing the limitations of the information available from research and physical examination of the

property; and by retaining the primary data (field measurements and notebooks) from which the archival record was produced. Usefulness of the documentation products depends on preparing the documentation on durable materials that are able to withstand handling and reproduction, and in sizes that can be stored and reproduced without damage.

Recommended Sources of Technical Information

Recording Historic Buildings. Harley J. McKee. Government Printing Office, 1970. Washington, D.C. Available through the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. GPO number 024-005-0235-9.

HABS/HAER Procedures Manual. Historic American Buildings Survey/Historic American Engineering Record, National Park Service, 1980. Washington, D.C.

Photogrammetric Recording of Cultural Resources. Perry E. Borchers. Technical Preservation Services, U.S. Department of the Interior, 1977. Washinton, D.C.

Rectified Photography and Photo Drawings for Historic Preservation. J. Henry Chambers. Technical Preservation Services, U.S. Department of the Interior, 1975. Washington, D.C.

Secretary of the Interior's Standards for Archeological Documentation

Archeological documentation is a series of actions applied to properties of archeological interest. Documentation of such properties may occur at any or all levels of planning, identification, evaluation or treatment. The nature and level of documentation is dictated by each specific set of circumstances. Archeological documentation consists of activities such as archival research, observation and recording of above-ground remains, and observation (directly, through excavation, or indirectly, through remote sensing) of below-ground remains. Archeological documentation is employed for the purpose of gathering information on individual historic properties or groups of properties. It is guided by a framework of objectives and methods derived from the planning process, and makes use of previous planning decisions, such as those on evaluation of significance. Archeological documentation may be undertaken as an aid to various treatment activities, including research, interpretation, reconstruction, stabilization and data recovery when mitigating archeological losses resulting from construction. Care should be taken to assure that documentation efforts do not duplicate previous efforts.

Standard I. Archeological Documentation Activities Follow an Explicit Statement of Objectives and Methods That Responds to Needs Identified in the Planning Process

Archeological research and documentation may be undertaken to fulfill a number of needs, such as overviews and background studies for planning, interpretation or data recovery to mitigate adverse effects. The planning needs are articulated in a statement of objectives to be accomplished by the archeological documentation activities. The statement of objectives guides the selection of methods and techniques of study and provides a comparative framework for evaluating and deciding the relative efficiency of alternatives. Satisfactory documentation involves the use of archeological and historical sources, as well as those of other disciplines. The statement of objectives usually takes the form of a formal and explicit research design which has evolved from the interrelation of planning needs, current knowledge, resource value and logistics.

Standard II. The Methods and Techniques of Archeological Documentation are Selected To Obtain the Information Required by the Statement of Objectives

The methods and techniques chosen for archeological documentation should be the most effective, least destructive, most efficient and economical means of obtaining the needed information. Methods and techniques should be selected so that the results may be verified if necessary. Non-destructive techniques should be used whenever appropriate. The focus on stated objectives should be maintained throughout the process of study and documentation.

Standard III. The Results of Archeological Documentation are Assessed Against the Statement of Objectives and Integrated Into the Planning Process

One product of archeological documentation is the recovered data; another is the information gathered about the usefulness of the statement of objectives itself. The recovered data are assessed against the objectives to determine how they meet the specified planning needs. Information related to archeological site types, distribution and density should be integrated in planning at the level of identification and evaluation. Information and data concerning intra-site structure may be needed for developing mitigation strategies and are appropriately integrated at this level of planning. The results of the data analyses are integrated into the body of current knowledge. The utility of the method of approach and the particular techniques which were used in the investigation (i.e. the research design) should be assessed so that the objectives of future documentation efforts may be modified accordingly.

Standard IV. The Results of Archeological Documentation are Reported and Made Available to the Public

Results must be accessible to a broad range of users including appropriate agencies, the professional community and the general public. Results should be communicated in reports that summarize the objectives, methods, techniques and results of the documentation activity, and identify the repository of the materials and information so that additional detailed information can be obtained, if necessary. The public may also benefit from the knowledge obtained from archeological documentation through pamphlets, brochures, leaflets, displays and exhibits, or by slide, film or multi-media productions. The goal of disseminating information must be balanced, however, with the need to protect sensitive information whose disclosure might result in damage to properties. Curation arrangements sufficient to preserve artifacts, specimens and records generated by the investigation must be provided for to assure the availability of these materials for future use.

Secretary of the Interior's Guidelines for Archeological Documentation

Introduction

These Guidelines link the Standards for Archeological Documentation with more specific guidance and technical information. They describe one approach to meeting the Standards for Documentation. Agencies, organizations or individuals proposing to approach archeological documentation differently may wish to review their approach with the National Park Service.

The Guidelines are organized as follows:

Archeological Documentation Objectives
Documentation Plan
Methods
Reporting Results
Curation
Recommended Sources of Technical Information

1. Collection of base-line data;

2. Problem-oriented research directed toward particular data gaps recognized in the historic context(s);

3. Preservation or illustration of significance which has been identified for treatment by the planning process; or

4. Testing of new investigative or conservation techniques, such as the effect of different actions such as forms of site burial (aqueous or non-aqueous).

Many properties having archeological components have associative values as well as research values. Examples include Native American sacred areas and historic sites such as battlefields. Archeological documentation may preserve information or data that are linked to the identified values that a particular property possesses. Depending on the property type and the range of values represented by the property, it may be necessary to recover information that relates to an aspect of the property's significance other than the specified research questions. It is possible that conflicts may arise between the optimal realizations of research goals and other issues such as the recognition/protection of other types of associative values. The research design for the archeological documentation should provide for methods and procedures to resolve such conflicts, and for the close coordination of the archeological research with the appropriate ethnographic, social or technological research.

Archeological Documentation Objectives

The term "archeological documentation" is used here to refer specifically to any operation that is performed using archeological techniques as a means to obtain and record evidence about past human activity that is of importance to documenting history and prehistory in the United States. Historic and prehistoric properties may be important for the data they contain, or because of their association with important persons, events, or processes, or because they represent architectural or artistic values, or for other reasons. Archeological documentation may be an appropriate option for application not only to archeological properties, but to above-ground structures as well, and may be used in collaboration with a wide range of other treatment activities.

If a property contains artifacts, features, and other materials that can be studied using archeological techniques, then archeological documentation may be selected to achieve particular goals of the planning process—such as to address a specified information need, or to illustrate significant associative values. Within the overall goals and priorities established by the planning process, particular methods of investigation are chosen that best suit the types of study to be performed.

Relationship of archeological documentation to other types of documentation or other treatments: Archeological documentation is appropriate for achieving any of various goals, including:

Documentation Plan

Research Design: Archeological documentation can be carried out only after defining explicit goals and a methodology for reaching them. The goals of the documentation effort directly reflect the goals of the preservation plan and the specific needs identified for the relevant historic contexts. In the case of problem oriented archeological research, the plan usually takes the form of a formal research design, and includes, in addition to the items below, explicit statements of the problem to be addressed and the methods or tests to be applied. The purpose of the statement of objectives is to explain the rationale behind the documentation effort; to define the scope of the investigation; to identify the methods, techniques, and procedures to be used; to provide a schedule for the activities; and to permit comparison of the proposed research with the results. The research design for an archeological documentation effort follows the same guidelines as those for identification (see the Guidelines for Identification) but has a more property-specific orientation.

The research design should draw upon the preservation plan to identify:

1. Evaluated significance of the property(ies) to be studied;

2. Research problems or other issues relevant to the significance of the property;

3. Prior research on the topic and property type; and how the proposed documentation objectives are related to previous research and existing knowledge;

4. The amount and kinds of information (data) required to address the documentation objectives and to make reliable statements, including at what point information is redundant and documentation efforts have reached a point of diminishing returns;

5. Methods to be used to find the information; and

6. Relationship of the proposed archeological investigation to anticipated historical or structural documentation, or other treatments.

The primary focus of archeological documentation is on the data classes that are required to address the specified documentation objectives. This may mean that other data classes are deliberately neglected. If so, the reasons for such a decision should be carefully justified in terms of the preservation plan.

Archeological investigations seldom are able to collect and record all possible data. It is essental to determine the point at which further data recovery and documentation fail to improve the usefulness of the archeological information being recovered. One purpose of the research design is to estimate those limits in advance and to suggest at what point information becomes duplicative. Investigation strategies should be selected based on these general principles, considering the following factors:

1. Specific data needs;

2. Time and funds available to secure the data; and

3. Relative cost efficiency of various strategies.

Responsiveness to the concerns of local groups (e.g., Native American groups with ties to specific properties) that was built into survey and evaluation phases of the preservation plan, should be maintained in archeological investigation, since such activity usually involves site disturbance. The research design, in addition to providing for appropriate ethnographic research and consultation, should consider concerns voiced in previous phases. In the absence of previous efforts to coordinate with local or other interested groups, the research design should anticipate the need to initiate appropriate contracts and provide a mechanism for responding to sensitive issues, such as the possible uncovering of human remains or discovery of sacred areas.

The research design facilitates an orderly, goal directed and economical project. However, the research design must be flexible enough to allow for examination of unanticipated but important research opportunities that arise during the investigation.

Documentation Methods

Background Review: Archeological documentation usually is preceded by, or integrated with historical research (i.e. that intensive background information gathering including identification of previous archeological work and inspection of museum collections; gathering relevant data on geology, botany, urban geography and other related disciplines; archival research; informant interviews, or recording of oral tradition, etc.).

Depending on the goals of the archeological documentation, the background historical and archeological research may exceed the level of research accomplished for development of the relevant historic contexts or for identification and evaluation, and focuses on the unique aspects of the property to be treated. This assists in directing the investigation and locates a broader base of information than that contained in the property itself for response to the documentation goals. This activity is particularly important for historic archeological properties where information sources other than the property itself may be critical to preserving the significant aspects of the property. (See the Secretary of the Interior's Standards and Guidelines for Historical Documentation for discussion of associated research activities.)

Field Studies: The implementation of the research design in the field must be flexible enough to accommodate the discovery of new or unexpected data classes or properties, or changing field conditions. A phased approach may be appropriated when dealing with large complex properties or groups of properties, allowing for changes in emphasis or field strategy, or termination of the program, based on analysis of recovered data at the end of each phase. Such an approach permits the confirmation of assumptions concerning property extent, content or organization which had been made based on data gathered from identification and evaluation efforts, or the adjustment of those expectations and resulting changes in procedure. In some cases a phased approach may be necessary to gather sufficient data to calculate the necessary sample size for a statistically valid sample. A phased documentation program may often be most cost-effective, in allowing for early termination of work if the desired objectives cannot be achieved.

Explicit descriptive statements of and justification for field study techniques are important to provide a means of evaluating results. In some cases, especially those employing a sampling strategy in earlier phases (such as identification or evaluation), it is possible to estimate parameters of certain classes of data in a fairly rigorous statistical manner. It is thus desirable to maintain some consistency in choice of sampling designs throughout multiple phases of work at the same property. Consistency with previously employed areal sampling frameworks also improves potential replication in terms of later locating sampled and unsampled areas. It often is desirable to estimate the nature and frequency of data parameters based on existing information or analogy to other similar cases. These estimates may then be tested in field studies.

An important consideration in choosing methods to be used in the field studies should be assuring full, clear, and accurate descriptions of all field operations and observations, including excavation and recording techniques and stratigraphic or inter-site relationships.

To the extent feasible, chosen methodologies and techniques should take into account the possibility that future researchers will need to use the recovered data to address problems not recognized at the time the data were recovered. The field operation may recover data that may not be fully analyzed; this data, as well as the data analyzed, should be recorded and preserved in a way to facilitate future research.

A variety of methodologies may be used. Choices must be explained, including a measure of cost-effectiveness relative to other potential choices. Actual results can then be measured against expectations, and the information applied later in similar cases.

Destructive methods should not be applied to portions or elements of the property if nondestructive methods are practical. If portions or elements of the property being documented are to be preserved in place, the archeological investigation should employ methods that will leave the property as undisturbed as possible. However, in cases where the property will be destroyed by, for example, construction following the investigation, it may be most practical to gather the needed data in the most direct manner, even though that may involve use of destructive techniques.

Logistics in the field, including the deployment of personnel and materials and the execution of sampling strategies, should consider site significant, anticipated location of most important data, cost effectiveness, potential time limitations and possible adverse environmental conditions.

The choice of methods for recording data gathered in the field should be based on the research design. Based on that statement, it is known in advance of field work what kinds of information are needed for analysis; record-keeping techniques should focus on these data. Field records should be maintained in a manner that permits independent interpretation in so far as possible. Record-keeping should be standardized in format and level of detail.

Archeological documentation should be conducted under the supervision of qualified professionals in the disciplines appropriate to the data that are to be recovered. When the general public is directly involved in archeological documentation activities, provision should be made for training and supervision by qualified professionals. (See the Professional Qualifications Standards.)

Analysis: Archeological documentation is not completed with field work; analysis of the collected information is an integral part of the documentation activity, and should be planned for in the research design. Analytical techniques should be selected that are relevant to the objectives of the investigation. Forms of analysis that may be appropriate, depending on the type of data recovered and the objectives of the investigation, include but are not limited to: studying artifact types and distribution; radiometric and other means of age determination; studies of soil stratigraphy; studies of organic matter such as human remains, pollen, animal bones, shells and seeds; study of the composition of soils and study of the natural environment in which the property appears.

Reporting Results

Report Contents: Archeological documentation concludes with written report(s) including minimally the following topics:

1. Description of the study area;
2. Relevant historical documentation/background research;
3. The research design;
4. The field studies as actually implemented, including any deviation from the research design and the reason for the changes;
5. All field observations;
6. Analyses and results, illustrated as appropriate with tables, charts, and graphs;
7. Evaluation of the investigation in terms of the goals and objectives of the investigation, including discussion of how well the needs dictated by the planning process were served;
8. Recommendations for updating the relevant historic contexts and planning goals and priorities, and generation of new or revised information needs;
9. Reference to related on-going or proposed treatment activities, such as structural documentation, stabilization, etc.; and

10. Information on the location of original data in the form of field notes, photographs, and other materials.

Some individual property information, such as specific locational data, may be highly sensitive to disclosure, because of the threat of vandalism. If the objectives of the documentation effort are such that a report containing confidential information such as specific site locations or information on religious practices is necessary, it may be appropriate to prepare a separate report for public distribution. The additional report should summarize that information that is not under restricted access in a format most useful to the expected groups of potential users. Peer review of draft reports is recommended to ensure that state-of-the-art technical reports are produced.

Availability: Results must be made available to the full range of potential users. This can be accomplished through a variety of means including publication of results in monographs and professionals journals and distribution of the report to libraries or technical clearinghouses such as the National Technical Information Service in Springfield, Virginia.

Curation

Archeological specimens and records are part of the documentary record of an archeological site. They must be curated for future use in research, interpretation, preservation, and resource management activities. Curation of important archeological specimens and records should be provided for in the development of any archeological program or project.

Archeological specimens and records that should be curated are those that embody the information important to history and prehistory. They include artifacts and their associated documents, photographs, maps, and field notes; materials of an environmental nature such as bones, shells, soil and sediment samples, wood, seeds, pollen, and their associated records; and the products and associated records of laboratory procedures such as thin sections, and sediment fractions that result from the analysis of archeological data.

Satisfactory curation occurs when:

1. Curation facilities have adequate space, facilities, and professional personnel;

2. Archeological specimens are maintained so that their information values are not lost through deterioration, and records are maintained to a professional archival standard;

3. Curated collections are accessible to qualified researchers within a reasonable time of having been requested; and

4. Collections are available for interpretive purposes, subject to reasonable security precautions.

Recommended Sources of Technical Information

Archeomagnetism: A Handbook for the Archeologist. Jeffrey L. Eighmy, U.S. Department of the Interior, Washington, D.C., 1980.

The Curation and Management of Archeological Collections: A Pilot Study. Cultural Resource Management Series, U.S. Department of the Interior, September 1980.

Human Bones and Archeology. Douglas H. Ubelaker. Interagency Archeological Services, Heritage Conservation and Recreation Service, U.S. Department of the Interior, Washington, D.C., 1980. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402

Manual for Museums. Ralph H. Lewis, National Park Service, U.S. Department of the Interior, 1976.

Treatment of Archeological Properties: A Handbook. Advisory Council on Historic Preservation. Washington D.C., 1980.

Secretary of the Interior's Standards for Historic Preservation Projects

General Standards for Historic Preservation Projects

The following general standards apply to all treatments undertaken on historic properties listed in the National Register.

1. Every reasonable effort shall be made to provide a compatible use for a property that requires minimal alteration of the building, structure, or site and its environment, or to use a property for its originally intended purpose.

2. The distinguishing original qualities or character of a building, structure, or site and its environment shall not be destroyed. The removal or alteration of any historic material or distinctive architectural features should be avoided when possible.

3. All buildings, structures, and sites shall be recognized as products of their own time. Alterations which have no historical basis and which seek to create an earlier appearance shall be discouraged.

4. Changes which have taken place in the course of time are evidence of the history and development of a building, structure, or site and its environment. These changes may have acquired significance in their own right, and this significance shall be recognized and respected.

5. Distinctive architectural features or examples of skilled craftsmanship which characterize a building, structure, or site shall be treated with sensitivity.

6. Deteriorated architectural features shall be repaired rather than replaced, wherever possible. In the event replacement is necessary, the new material should match the material being replaced in composition, design, color, texture, and other visual qualities. Repair or replacement of missing architectural features should be based on accurate duplications of features, substantiated by historic, physical, or pictorial evidence rather than on conjectural designs or the availability of different architectural elements from other buildings or structures.

7. The surface cleaning of structures shall be undertaken with the gentlest means possible. Sandblasting and other cleaning methods that will damage the historic building materials shall not be undertaken.

8. Every reasonable effort shall be made to protect and preserve archeological resources affected by, or adjacent to, any acquisition, stabilization, preservation, rehabilitation, restoration, or reconstruction project.

Specific Standards for Historic Preservation Projects

The following specific standards for each treatment are to be used in conjunction with the eight general standards and, in each case, begin with number 9. For example, in evaluating acquisition projects, include the eight general standards plus the four specific standards listed under standards for Acquisition. The specific standards differ from those published for use in Historic Preservation Fund grant-in-aid projects (36 CFR Part 68) in that they discuss more fully the treatment of archeological properties.

Standards for Acquisition

9. Careful consideration shall be given to the type and extent of property rights which are required to assure the preservation of the historic resource. The preservation objectives shall determine the exact property rights to be acquired.

10. Properties shall be acquired in fee simple when absolute ownership is required to insure their preservation.

11. The purchase of less-than-fee-simple interests, such as open space or facade easements, shall undertaken when a limited interest achieves the preservation objective.

12. Every reasonable effort shall be made to acquire sufficient property with the historic resource to protect its historical, archeological, architectural or cultural significance.

Standard for Protection

9. Before applying protective measures which are generally of a temporary nature and imply future historic preservation work, an analysis of the actual or anticipated threats to the property shall be made.

10. Protection shall safeguard the physical condition or environment of a property or archeological site from further deterioration or damage caused by weather or other natural, animal, or human intrusions.

11. If any historic material or architectural features are removed, they shall be properly recorded and, if possible, stored for future study or reuse.

Standards for Stabilization

9. Stabilization shall reestablish the structural stability of a property through the reinforcement of loadbearing members or by arresting deterioration leading to structural failure. Stabilization shall also reestablish weather resistant conditions for a property.

10. Stabilization shall be accomplished in such a manner that it detracts as little as possible from the property's appearance and significance. When reinforcement is required to reestablish structural stability, such work shall be concealed wherever possible so as not to intrude upon or detract from the aesthetic and historical or archeological quality of the property, except where concealment would result in the alteration or destruction of historically or archeologically significant material or spaces. Accurate documentation of stabilization procedures shall be kept and made available for future needs.

11. Stabilization work that will result in ground disturbance shall be preceded by sufficient archeological investigation to determine whether significant subsurface features or artifacts will be affected. Recovery, curation and documentation of archeological features and specimens shall be undertaken in accordance with appropriate professional methods and techniques.

Standards for Preservation

9. Preservation shall maintain the existing form, integrity, and materials of a building, structure, or site. Archeological sites shall be preserved undisturbed whenever feasible and practical. Substantial reconstruction or restoration of lost features generally are not included in a preservation undertaking.

10. Preservation shall include techniques of arresting or retarding the deterioration of a property through a program of ongoing maintenance.

11. Use of destructive techniques, such as archeological excavation, shall be limited to providing sufficient information for research, interpretation and management needs.

Standards for Rehabilitation

9. Contemporary design for alterations and additions to existing properties shall not be discouraged when such alterations and additions do not destroy significant historic, architectural, or cultural material and such design is compatible with the size, scale, color, material, and character of the property, neighborhood, or environment.

10. Wherever possible, new additions or alterations to structures shall be done in such a manner that if such additions or alterations were to be removed in the future, the essential form and integrity of the structure would be unimpaired.

Standards for Restoration

9. Every reasonable effort shall be made to use a property for is originally intended purpose or to provide a compatible use that will require minimum alteration to the property and its environment.

10. Reinforcement required for structural stability or the installation of protective or code required mechanical systems shall be concealed wherever possible so as not to intrude or detract from the property's aesthetic and historical qualities, except where concealment would result in the alteration or destruction of historically significant materials or spaces.

11. Restoration work such as the demolition of non-contributing additions that will result in ground or structural disturbance shall be preceded by sufficient archeological investigation to determine whether significant subsurface or structural features or artifacts will be affected. Recovery, curation and documentation of archeological features and specimens shall be undertaken in accordance with appropriate professional methods and techniques.

Standards for Reconstruction

9. Reconstruction of a part or all of a property shall be undertaken only when such work is essential to reproduce a significant missing feature in a historic district or scene, and when a contemporary design solution is not acceptable. Reconstruction of archeological sites generally is not appropriate.

10. Reconstruction of all or a part of a historic property shall be appropriate when the reconstruction is essential for understanding and interpreting the value of a historic district, or when no other building, structure, object, or landscape feature with the same associative value has survived and sufficient historical or archeological documentation exists to insure an accurate reproduction of the original.

11. The reproduction of missing elements accomplished with new materials shall duplicate the composition, design, color, texture, and other visual qualities of the missing element. Reconstruction of missing architectural or archeological features shall be based upon accurate duplication of original features substantiated by physical or documentary evidence rather than upon conjectural designs or the availability of different architectural features from other buildings.

12. Reconstruction of a building or structure on an original site shall be preceded by a thorough archeological investigation to locate and identify all subsurface features and artifacts. Recovery, curation and documentation of archeological features and specimens shall be undertaken in accordance with professional methods and techniques.

13. Reconstruction shall include measures to preserve any remaining original fabric, including foundations, subsurface, and ancillary elements. The reconstruction of missing elements. The reconstruction of missing elements and features shall be done in such a manner that the essential form and integrity of the original surviving features are unimpaired.

Secretary of the Interior Guidelines for Historic Preservation Projects

The guidelines for the Secretary of the Interior's Standards for Historic Preservation Projects, not included here because of their length, may be obtained separately from the National Park Serivce.

Professional Qualifications Standards

The following requirements are those used by the National Park Service, and have been previously published in the Code of Federal Regulations, 36 CFR Part 61. The qualifications define minimum education and experience required to perform identification, evaluation, registration, and treatment activities. In some cases, additional areas or levels of expertise may be needed, depending on the complexity of the task and the nature of the historic properties involved. In the following definitions, a year of full-time professional experience need not consist of a continuous year of fulltime work but

may be made up of discontinuous periods of full-time or part-time work adding up to the equivalent of a year of full-time experience.

History

The minimum professional qualifications in history are a graduate degree in history or closely related field; or a bachelor's degree in history or closely related field plus one of the following:

1. At least two years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historic organization or agency, museum, or other professional institution; or
2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of history.

Archeology

The minimum professional qualifications in archeology are a graduate degree in archeology, anthropology, or closely related field plus:

1. At least one year of full-time professional experience or equivalent specialized training in archeological research, administration or management;
2. At least four months of supervised field and analytic experience in general North American archeology; and
3. Demonstrated ability to carry research to completion.

In addition to these minimum qualifications, a professional in prehistoric archeology shall have at least one year of full-time professional experience at a supervisory level in the study of archeological resources of the prehistoric period. A professional in historic archeology shall have at least one year of full-time professional experience at a supervisory level in the study of archeological resources of the historic period.

Architectural History

The minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation, or closely related field, with coursework in American architectural history; or a bachelor's degree in architectural history, art history, historic preservation or closely related field plus one of the following:

1. At least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historical organization or agency, museum, or other professional institution; or
2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of American architectural history.

Architecture.

The minimum professional qualifications in architecture are a professional degree in architecture plus at least two years of full-time experience in architecture; or a State license to practice architecture.

Historic Architecture

The minimum professional qualifications historic in architecture are a professional degree in architecture or a State license to practice architecture, plus one of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or closely related field; or
2. At least one year of full-time professional experience on historic preservation projects.

Such graduate study or experience shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

Preservation Terminology

Acquisition—the act or process of acquiring fee title or interest other than fee title of real property (including acquisition of development rights or remainder interest).

Comprehensive Historic Preservation Planning—the organization into a logical sequence of preservation information pertaining to identification, evaluation, registration and treatment of historic properties, and setting priorities for accomplishing preservation activities.

Historic Context—a unit created for planning purposes that groups information about historic properties based on a shared theme, specific time period and geographical area.

Historic Property—a district, site, building, structure or object significant in American history, architecture, engineering, archeology or culture at the national, State, or local level.

Integrity—the authenticity of a property's historic identity, evidenced by the survival of physical characteristics that existed during the property's historic or prehistoric period.

Intensive Survey—a systematic, detailed examination of an area designed to gather information about historic properties sufficient to evaluate them against predetermined criteria of significance within specific historic contexts.

Inventory—a list of historic properties determined to meet specified criteria of significance.

National Register Criteria—the established criteria for evaluating the eligibility of properties for inclusion in the National Register of Historic Places.

Preservation (treatment)—the act or process of applying measures to sustain the existing form, integrity and material of a building or structure, and the existing form and vegetative cover of a site. It may include initial stabilization work, where necessary, as well as ongoing maintenance of the historic building materials.

Property Type—a grouping of individual properties based on a set of shared physical or associative characteristics.

Protection (treatment)—the act or process of applying measures designed to affect the physical condition of a property by defending or guarding it from deterioration, loss or attack, or to cover or shield the property from danger or injury. In the case of buildings and structures, such treatment is generally of a temporary nature and anticipates future historic preservation treatment; in the case of archeological sites, the protective measure may be temporary or permanent.

Reconnaissance Survey—an examination of all or part of an area accomplished in sufficient detail to make generalizations about the types and distributions of historic properties that may be present.

Reconstruction (treatment)—the act or process of reproducing by new construction the exact form and detail of a vanished building, structure, or object, or any part thereof, as it appeared at a specific period of time.

Rehabilitation (treatment)—the act or process of returning a property to a state of utility through repair or alteration which makes possible an efficient contemporary use while preserving those portions or features of the property which are significant to its historical, architectural and cultural values.

Research design—a statement of proposed identification, documentation, investigation, or other treatment of a historic property that identifies the project's goals, methods and techniques, expected results, and the relationship of the expected results to other proposed activities or treatments.

Restoration—the act or process of accurately recovering the form and details of a property and its setting as it appeared at a particular period of time

by means of the removal of later work or by the replacement of missing earlier work.

Sample Survey—survey of a representative sample of lands within a given area in order to generate or test predictions about the types and distributions of historic properties in the entire area.

Stabilization (treatment)—the act or process of applying measures designed to reestablish a weather resistant enclosure and the structural stability of an unsafe or deteriorated property while maintaining the essential form as it exists at present.

Statement of objectives—see Research design.

Dated: September 26, 1983.

Russell E. Dickenson,

Director, National Park Service.

[FR Doc. 83-26607 Filed 9-28-83; 8:45 am]

BILLING CODE 4310-70-M

(c) Fees are nonrefundable.

[76 FR 30541, May 26, 2011]

PART 68—THE SECRETARY OF THE INTERIOR'S STANDARDS FOR THE TREATMENT OF HISTORIC PROPERTIES

Sec.
68.1 Intent.
68.2 Definitions.
68.3 Standards.

AUTHORITY: The National Historic Preservation Act of 1966, as amended (16 U.S.C. 470 *et seq.*); sec. 2124 of the Tax Reform Act of 1976, 90 Stat. 1918; E.O. 11593, 3 CFR part 75 (1971); sec. 2 of Reorganization Plan No. 3 of 1950 (64 Stat. 1262).

SOURCE: 60 FR 35843, July 12, 1995, unless otherwise noted.

§ 68.1 Intent.

The intent of this part is to set forth standards for the treatment of historic properties containing standards for preservation, rehabilitation, restoration and reconstruction. These standards apply to all proposed grant-in-aid development projects assisted through the National Historic Preservation Fund. 36 CFR part 67 focuses on ''certified historic structures'' as defined by the IRS Code of 1986. Those regulations are used in the Preservation Tax Incentives Program. 36 CFR part 67 should continue to be used when property owners are seeking certification for Federal tax benefits.

§ 68.2 Definitions.

The standards for the treatment of historic properties will be used by the National Park Service and State historic preservation officers and their staff members in planning, undertaking and supervising grant-assisted projects for preservation, rehabilitation, restoration and reconstruction. For the purposes of this part:

(a) *Preservation* means the act or process of applying measures necessary to sustain the existing form, integrity and materials of an historic property. Work, including preliminary measures to protect and stabilize the property, generally focuses upon the ongoing maintenance and repair of historic materials and features rather than extensive replacement and new construction. New exterior additions are not within the scope of this treatment; however, the limited and sensitive upgrading of mechanical, electrical and plumbing systems and other code-required work to make properties functional is appropriate within a preservation project.

(b) *Rehabilitation* means the act or process of making possible an efficient compatible use for a property through repair, alterations and additions while preserving those portions or features that convey its historical, cultural or architectural values.

(c) *Restoration* means the act or process of accurately depicting the form, features and character of a property as it appeared at a particular period of time by means of the removal of features from other periods in its history and reconstruction of missing features from the restoration period. The limited and sensitive upgrading of mechanical, electrical and plumbing systems and other code-required work to make properties functional is appropriate within a restoration project.

(d) *Reconstruction* means the act or process of depicting, by means of new construction, the form, features and detailing of a non-surviving site, landscape, building, structure or object for the purpose of replicating its appearance at a specific period of time and in its historic location.

§ 68.3 Standards.

One set of standards—preservation, rehabilitation, restoration or reconstruction—will apply to a property undergoing treatment, depending upon the property's significance, existing physical condition, the extent of documentation available and interpretive goals, when applicable. The standards will be applied taking into consideration the economic and technical feasibility of each project.

(a) *Preservation.* (1) A property will be used as it was historically, or be given a new use that maximizes the retention of distinctive materials, features, spaces and spatial relationships. Where a treatment and use have not been identified, a property will be protected and, if necessary, stabilized until additional work may be undertaken.

(2) The historic character of a property will be retained and preserved. The replacement of intact or repairable historic materials or alteration of features, spaces and spatial relationships that characterize a property will be avoided.

(3) Each property will be recognized as a physical record of its time, place and use. Work needed to stabilize, consolidate and conserve existing historic materials and features will be physically and visually compatible, identifiable upon close inspection and properly documented for future research.

(4) Changes to a property that have acquired historic significance in their own right will be retained and preserved.

(5) Distinctive materials, features, finishes and construction techniques or examples of craftsmanship that characterize a property will be preserved.

(6) The existing condition of historic features will be evaluated to determine the appropriate level of intervention needed. Where the severity of deterioration requires repair or limited replacement of a distinctive feature, the new material will match the old in composition, design, color and texture.

(7) Chemical or physical treatments, if appropriate, will be undertaken using the gentlest means possible. Treatments that cause damage to historic materials will not be used.

(8) Archeological resources will be protected and preserved in place. If such resources must be disturbed, mitigation measures will be undertaken.

(b) *Rehabilitation.* (1) A property will be used as it was historically or be given a new use that requires minimal change to its distinctive materials, features, spaces and spatial relationships.

(2) The historic character of a property will be retained and preserved. The removal of distinctive materials or alteration of features, spaces and spatial relationships that characterize a property will be avoided.

(3) Each property will be recognized as a physical record of its time, place and use. Changes that create a false sense of historical development, such as adding conjectural features or elements from other historic properties, will not be undertaken.

(4) Changes to a property that have acquired historic significance in their own right will be retained and preserved.

(5) Distinctive materials, features, finishes and construction techniques or examples of craftsmanship that characterize a property will be preserved.

(6) Deteriorated historic features will be repaired rather than replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature will match the old in design, color, texture and, where possible, materials. Replacement of missing features will be substantiated by documentary and physical evidence.

(7) Chemical or physical treatments, if appropriate, will be undertaken using the gentlest means possible. Treatments that cause damage to historic materials will not be used.

(8) Archeological resources will be protected and preserved in place. If such resources must be disturbed, mitigation measures will be undertaken.

(9) New additions, exterior alterations or related new construction will not destroy historic materials, features and spatial relationships that characterize the property. The new work will be differentiated from the old and will be compatible with the historic materials, features, size, scale and proportion, and massing to protect the integrity of the property and its environment.

(10) New additions and adjacent or related new construction will be undertaken in such a manner that, if removed in the future, the essential form and integrity of the historic property and its environment would be unimpaired.

(c) *Restoration.* (1) A property will be used as it was historically or be given a new use that interprets the property and its restoration period.

(2) Materials and features from the restoration period will be retained and preserved. The removal of materials or alteration of features, spaces and spatial relationships that characterize the period will not be undertaken.

(3) Each property will be recognized as a physical record of its time, place and use. Work needed to stabilize, consolidate and conserve materials and features from the restoration period

will be physically and visually compatible, identifiable upon close inspection and properly documented for future research.

(4) Materials, features, spaces and finishes that characterize other historical periods will be documented prior to their alteration or removal.

(5) Distinctive materials, features, finishes and construction techniques or examples of craftsmanship that characterize the restoration period will be preserved.

(6) Deteriorated features from the restoration period will be repaired rather than replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature will match the old in design, color, texture and, where possible, materials.

(7) Replacement of missing features from the restoration period will be substantiated by documentary and physical evidence. A false sense of history will not be created by adding conjectural features, features from other properties, or by combining features that never existed together historically.

(8) Chemical or physical treatments, if appropriate, will be undertaken using the gentlest means possible. Treatments that cause damage to historic materials will not be used.

(9) Archeological resources affected by a project will be protected and preserved in place. If such resources must be disturbed, mitigation measures will be undertaken.

(10) Designs that were never executed historically will not be constructed.

(d) *Reconstruction.* (1) Reconstruction will be used to depict vanished or nonsurviving portions of a property when documentary and physical evidence is available to permit accurate reconstruction with minimal conjecture and such reconstruction is essential to the public understanding of the property.

(2) Reconstruction of a landscape, building, structure or object in its historic location will be preceded by a thorough archeological investigation to identify and evaluate those features and artifacts that are essential to an accurate reconstruction. If such resources must be disturbed, mitigation measures will be undertaken.

(3) Reconstruction will include measures to preserve any remaining historic materials, features, and spatial relationships.

(4) Reconstruction will be based on the accurate duplication of historic features and elements substantiated by documentary or physical evidence rather than on conjectural designs or the availability of different features from other historic properties. A reconstructed property will re-create the appearance of the non-surviving historic property in materials, design, color and texture.

(5) A reconstruction will be clearly identified as a contemporary re-creation.

(6) Designs that were never executed historically will not be constructed.

PART 71—RECREATION FEES

Sec.

AUTHORITY: Sec. 4, Land and Water Conservation Fund Act of 1965 (16 U.S.C.A. 4601–6a (Supp., 1974)), as amended by Pub. L. 93–303; and sec. 3, Act of July 11, 1972, 86 Stat. 461; sec. 2 of Reorganization Plan No. 3 of 1950 (64 Stat. 1262).

SOURCE: 39 FR 33217, Sept. 16, 1974, unless otherwise noted. Redesignated at 44 FR 7143, Feb. 6, 1979, and 46 FR 34329, July 1, 1981; correctly redesignated at 46 FR 43045, Aug. 26, 1981.

§ 71.1 Application.

This part is promulgated pursuant to section 4, Land and Water Conservation Fund Act of 1965, 16 U.S.C.A. 4601–6a (Supp., 1974), and section 3, Act of July 11, 1972, 86 Stat. 461. Any Federal recreation fee charged by any bureau of

ARCHITECTURAL/ HISTORIC RESOURCE SURVEY
A FIELD GUIDE

Oklahoma Historical Society
Oklahoma State Historic Preservation Office
800 Nazih Zuhdi Drive
Oklahoma City, OK 73105

Updated 2013

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FORWARD

Since its inception, the Oklahoma State Historic Preservation Office (SHPO) has emphasized the identification of historic, architectural, and archeological resources through comprehensive statewide surveys. Surveys fulfill a number of functions. They provide a context for evaluating properties nominated to the National Register of Historic Places, identify historic districts and individual properties that are eligible for listing in the National Register, assist in long-range planning for the protection of significant resources, record endangered properties, and fill in gaps in the Oklahoma Landmarks Inventory (OLI), the state's database of historic resources. In short, surveys contribute importantly to decisions that affect the quality of life in Oklahoma.

Architectural/historic resource surveys are integrated with the other programs administered by the SHPO. Along with Historic Contexts, they form the foundation of the Comprehensive Plan. The data is incorporated into the OLI, which is in turn consulted for contextual information for the Review and Compliance, Investment Tax Credit, and Certified Local Governments programs.

This field guide has been written to provide an easily usable manual for conducting surveys of historic and architectural resources. Methodologies for archeological surveys are not included.

THE NATIONAL REGISTER OF HISTORIC PLACES

What you need to know about the National Register before undertaking a survey.

The National Register of Historic Places is the nation's catalog of buildings, districts, structures, sites, and objects significant in America's history, architecture, archeology, culture, and engineering. Properties may be significant at the national, state, or local level. Most properties listed in Oklahoma are significant at the local level.

Listing in the National Register conveys recognition to those properties that are worthy of preservation and makes them eligible for federal tax credits for rehabilitation certified by the National Park Service. Federal law also requires that all federal agencies and communities using Community Development Block Grants and other forms of federal assistance consider the effects of their projects on properties listed in or eligible for the National Register.

What are the Criteria for Listing in the National Register?

The National Register lists properties that meet one of four major criteria:

A. Those that are associated with events that have made a significant contribution to the broad patterns of our history

B. Those that are associated with the lives of persons significant in our past

C. Those that embody the distinctive characteristics of a type, period, or method of construction or that represent a significant and distinguishable entity whose components may lack individual distinction, or

D. Those that have yielded, or may be likely to yield, information important in prehistory or history.

Properties listed in the National Register must also possess integrity of location, design, setting, materials, workmanship, feeling, and association. Furthermore, they must be at least 50 years of age, although exceptions may be made for especially significant resources.

Typically cemeteries, birthplaces, or graves of historical figures, properties owned by religious institutions or used for religious purposes, structures that have been moved from their original locations, reconstructed historic buildings, properties primarily commemorative in nature, and properties that have achieved significance within the last 50 years are not considered for the National Register. However, such properties may qualify if they are integral parts of districts that meet the criteria or if they fall within specific categories established by the National Register. For additional information, refer to *Bulletin 15: How to Apply the National Register Criteria for Evaluation,* available from the SHPO or online at http://www.nps.gov/nr/publications/bulletins/nrb15/.

How Does the National Register Define a Contributing Resource in a Historic District?

The physical characteristics and historic significance of the district provide the basis for evaluating the contribution of component resources. Specific information about each resource, such as date, function, associations, information potential, and physical characteristics, can then be related to the overall district to determine whether or not the resource contributes. Resources that do not relate in a significant way to the district may contribute if they independently meet the National Register criteria.

Contributing Resource - a building, structure, site, or object that adds to the historic significance of a property.

Noncontributing Resource - a building, structure, sites, or object that does not add to the historic significance of a property.

For additional information about determining the contribution of resources to historic districts, consult *Bulletin 15: How to Apply the National Register Criteria for Evaluation* or online at http://www.nps.gov/nr/publications/bulletins/nrb15/.

How Do Surveys Relate to National Register Nominations?

Surveys provide the basis for National Register nominations. However, the goal of survey is to provide a database that can enable cultural resource managers to determine what is truly important and what level of preservation is appropriate. If nomination is desirable, additional research will be required, since nominations require more complete descriptions and historical documentation than that provided by survey documentation.

For additional information about the National Register, consult the *Oklahoma National Register Nomination and Request for Formal Determination of Eligibility Manual,* available from the Oklahoma SHPO.

HISTORIC PRESERVATION RESOURCE IDENTIFICATION

What Is Historic Preservation Resource Identification?

Historic Preservation Resource Identification is the process of recording historic buildings, structures, objects, districts, and sites.

Why Is It Important to Conduct Historic Preservation Resources Identification?

The purpose of the Oklahoma State Historic Preservation Office (SHPO) is to aid in the preservation of the state's historic properties, which provide a better understanding of our past. The information collected is added to the Oklahoma Landmarks Inventory (OLI), the state's database of historic resources.

The completed resource identification form and accompanying documentation are used to make preliminary opinions regarding the eligibility of an individual property or district for listing in the National Register of Historic Places. Resource identification data also helps us to understand the range and scope of specific types of resources, such as railroad depots, coal mining sites, or stone arch bridges remaining in the state. This information is used, in turn, to provide a context for evaluating other resources of that type.

The documentation provided on the Historic Preservation Resource Identification Form may, in itself, be the only true preservation possible for a particular resource. Contrary to popular belief, preservation does not necessarily mean that a resource will be physically retained in place or built. Sometimes preservation consists simply of the documentation of the resource through description, photographs, drawing, and narrative histories.

Who Can Conduct Historic Preservation Resources Identification?

The Oklahoma SHPO accepts completed Historic Preservation Resources Identification Forms from many sources, including local preservation groups and individual citizens. To be included in the OLI, the information on the form must be complete and accurate; it must be accompanied by at least two photographs. Submission of additional supporting documentation is also encouraged.

How Is the Oklahoma Landmarks Inventory Used?

Materials in the OLI become a permanent part of the SHPO's research database. The documentation is kept on file and is entered into a computer database. All materials submitted to or obtained by the SHPO, including photographs, negatives, slides, maps, drawings, and field notes, become the property of the agency. The SHPO reserves the right to use all materials for any of its programs including, but not limited to, publications, public programs, and research. Credit will be given to photographers, delineators, and authors when known and pertinent. The OLI is available to the public for research purposes. Reproduction of any materials in the OLI shall be done only with the permission of the SHPO in accordance with the policies and procedures of the Oklahoma Historical Society.

Where Are the Historic Preservation Resource Identification Records Kept?

All information is retained in the Oklahoma State Historic Preservation Office, a division of the Oklahoma Historical Society. The office is located at 800 Nazih Zudhi Drive, Oklahoma City, OK 73105. Public access to these records is available during regular office hours, Monday through Friday. An appointment is recommended. Access to certain types of records, such as those for archeological sites, is limited.

For more information about Historic Resource Identification, contact:

Oklahoma State Historic Preservation Office
Oklahoma History Center
800 Nazih Zuhdi Drive
Oklahoma City, OK 73105-7914
405-521-6249

ARCHITECTURAL, HISTORIC, AND ARCHEOLOGICAL SURVEY FACTS

What Is Architectural, Historic, and Archeological Survey?

Survey is the systematic process of identifying and recording historic buildings, structures, objects, districts, and sites (both historic and prehistoric). Surveys may be organized to look at all of the resources within a fairly small geographical area, such as a residential neighborhood, the incorporated limits of a city, or a section of land. Surveys may also identify resources relating to a specific theme within a county, region, or state.

Why Undertake a Survey?

The principal purpose of a survey is to gather information needed to plan for the wise use of a community's resources. The historic resources in a community or neighborhood give it special character and cultural depth. To use those resources effectively and to respect their value and extend their lives, it is necessary to integrate historic preservation into community planning. Survey information can be used to prepare a preservation plan that helps the community establish policies, procedures, and strategies for maintaining and enhancing those resources that make the community special. The data can also facilitate the review of federally funded or permitted projects that are subject to compliance with Section 106 of the National Historic Preservation Act.

How Is Survey Information Used?

Survey information is used for a variety of purposes:

- To identify districts, individual properties, or archeological sites that require additional study or intensive-level survey.
- To identify individual properties and districts eligible for listing in the National Register of Historic Places.
- To identify areas that are not eligible for the National Register and require no additional study.
- To document potential historic districts.
- To document the existence and distribution of specific property types.
- To provide a context for evaluating properties nominated to the National Register.
- To assist in long-range planning for the protection of significant resources.

Who Can Conduct Surveys?

Historic and architectural surveys may be conducted by local civic groups using volunteer labor or by municipal agencies. However, to make the survey an effective preservation and planning tool, the SHPO recommends surveys be conducted or closely supervised by a professional consultant who meets the Secretary of the Interior's Qualifications.

Most surveys in Oklahoma are sponsored by the SHPO through subgrants. Recipients of subgrants may perform the work themselves or may subcontract the work to a professional consultant. All such work, however, must be conducted or closely supervised by professionals who meet the Secretary of the Interior's Qualifications and are ultimately responsible for the quality of the work. Furthermore, surveys conducted under subgrants must meet the Secretary of the Interior's Standards for Identification and Evaluation. These standards also apply to surveys conducted to meet documentation requirements under the Review and Compliance program.

What Are the Secretary of the Interior's Qualifications?

Architectural and historic resources surveys conducted under SHPO subgrants must be conducted or closely supervised by a historian, an architectural historian, or a historical architect, depending on the type of resources surveyed. Surveys of areas containing resources of both architectural and historic value must employ an architectural historian or a historical architect and a historian on the project. The minimum qualifications for these professional positions are as follows:

> Historian – (1) A graduate degree in history or a closely related field, or (2) a bachelor's degree in history or a closely related field and at least two years of full-time experience in research, writing, teaching, or interpreting history at an academic institution, historical organization or agency, museum, or other professional institution, or substantial contribution to the body of scholarly knowledge in history through research and publication.
>
> Architectural Historian – (1) A graduate degree in architectural history, art history, historic preservation or a closely related field, with coursework in American architectural history, or (2) a bachelor's degree in one of those field and at least two years full-time experience in research, writing, or teaching American architectural history or restoration architecture at an academic institution, historical organization or agency, museum, or other professional institution, or substantial contribution to the body of scholarly knowledge in architectural history through research and publication.
>
> Historical Architect – A professional degree in architecture or a state license to practice architecture, plus at least one year of graduate study in architectural preservation, American architectural history, preservation planning, or a closely related field, or at least one year of full-time professional experience on historic preservation projects.

Archeological surveys must be conducted or closely supervised by a professional archeologist. The minimum qualifications are:

> Archeologist – A graduate degree in archeology, anthropology, or a closely related field, plus at least one year of full-time, professional experience or equivalent specialized training in archeological research, administration or management, at least four months of supervised field and analytic experience in general North American archeology, and demonstrated ability to carry research to completion. In addition, a professional in prehistoric archeology must have at least one year of full-time professional experience at a supervisory level in the study of historic archeology.

Where can I find a qualified consultant?

The SHPO can provide you with a list of consultants who have expressed an interest in participating in historic preservation projects. You may also contact the schools of architecture and the history, geography, and anthropology departments of the major research universities and the regional or local colleges or universities for assistance. Select a consultant who has experience in conducting the type of survey you are undertaking and be sure to check references. If the project will involve volunteers or other nonprofessionals to carry out some tasks, choose a consultant with experience in training and supervising nonprofessionals.

For projects funded by SHPO subgrants, consultants must be selected through an open bidding process. However, do not select a consultant solely on the basis of the lowest bid.

For additional information on selecting consultants, refer to the "Employing a Professional National Register Preparer" available from the OK/SHPO at http://www.okhistory.org/shpo/clg/selectconsultant.pdf

How Can We Obtain a Survey Subgrant?

Subgrant projects are advertised each year and depend upon the federal funding cycle. Legal notices are placed in newspapers and previous subgrantees are notified. To ensure that you are notified, contact the SHPO and ask to be added to the mailing list. Portions of the subgrants are targeted for the survey of specific geographical areas or resource types. If sufficient funding is available, a portion may also be granted for surveys designed by community groups. All subgrants are awarded on a competitive basis.

For more information about architectural, historic, and archeological resource surveys, contact:

Oklahoma State Historic Preservation Office
Oklahoma History Center
800 Nazih Zuhdi Drive
Oklahoma City, OK 73105
(405)521-6249

HISTORIC CONTEXT

A historic context provides a history and analysis, created for planning purposes, that groups information about historic properties based on a shared theme, specific time period, and geographical area. Such contexts can be developed for areas ranging from the very large to the very small. When contexts are well defined, properties can be identified and evaluated against established criteria to determine their significance in the broad patterns of our history, archaeology, architecture, and engineering heritage.

To be useful in the preservation planning process, a historic context must possess certain characteristics. First, it must be defined by geographical boundaries. Second, its chronological limits must be defined, and third, an adequate historical theme must be expressed. The context must also incorporate the National Register Criteria for Evaluation. The general physical and associative characteristics of all property types within the historic context must be described. Furthermore, through examination of the context, it must be possible to determine whether each property type is eligible for listing in the National Register of Historic Places. Finally, the historic context should identify data gaps that may have been discovered in development of the context.

The depth and scope of a historic context varies depending on the problem under study. A context created for an urban survey should detail the many forces which influenced the development of the community and, thereby, its historic resources, based on scholarly research. An urban context will provide an overview of the historical evolution of the area, including a geographical description of the community, a general history of the economic, commercial and transportation development of the community, a description of the development of the physical layout of the city and the forces that influenced that development, a discussion of social, economic, and ethnic groups that have been important in the community's past, and a description of the architectural development of the area. A thematic context should provide an in-depth, scholarly history of the development of the theme within a defined geographical area. Both must include an analysis of property types within the context and a discussion of each known property with that type.

To facilitate the development of thematic contexts, the Oklahoma SHPO has divided the state into seven management regions, using county boundaries as primary dividing lines. Additionally, a list of broad themes has been developed to illustrate the major aspects of Oklahoma's past. These themes are as follows:

1. Exploration
2. Native American
3. Settlement
4. Transportation
5. Agriculture
6. Ranching
7. Ethnic
8. Industry (Other than Energy Related)
9. Energy
10. Commerce
11. Urban
12. Depression and Recovery

HOW TO ORGANIZE AND CONDUCT A HISTORICAL/ ARCHITECTURAL SURVEY

TRAINING

The amount and type of training necessary for the project will depend on the experience of those participating and the tasks they will be expected to carry out.

Training should emphasize the need for thorough, consistent, and accurate work in all tasks. An initial orientation session should spell out the goals and objectives of the survey and the relationship of each task to the final results. It should also include a general overview of the historical development of the survey area and its present physical character.

Archival Training

Before beginning archival training, the supervising historian must carefully plan the research project. Effective use of the volunteers and others without formal training in historical research methods depends on the quality of preparation by the supervising historian. He or she must have a basic understanding of the historic context of the study area and must have a clear idea of the time period under study, the questions the research should answer, the patterns or trends it is seeking to identify, and the results it is expected to produce. Moreover, he or she must determine the format for recording each piece of information and have the necessary forms or note cards ready to distribute. A volunteer manual should be prepared, detailing the methodology to be used with each type of archival source and providing basic information such as the time range and geographic limits of survey area, the names of known prominent people, and the types of historical information to be sought.

Training of amateur historic researchers should enable the volunteer to recognize the kind of historical data relevant to the survey project and record it in a usable format. The researcher should understand how the research information fits into the project as a whole and how it will be used.

Ideally, training should be conducted in at least two stages. In a lecture format, the supervisor should provide a general orientation to the project and the administrative procedures to be used. With the help of handouts and presentations he or she should discuss the methods to be used with each type of archival source and the type of information sought.

After the volunteers have signed up for the various archival tasks, a second training should be conducted at the research facilities that the volunteers will use. The volunteers should be shown how to handle the actual materials to be used, such as newspaper microfilm and city directories. Procedures for identifying and recording data should be discussed in detail. It is important that the volunteers feel comfortable using the materials and they leave the training session with a clear understanding of the research methodology.

Ongoing supervision is important to keep researchers on track and ensure a high quality of data collection.

Field Work Training

Training for field surveyors should be designed to acquaint them with:

- Architectural styles found locally
- Architectural terminology
- Construction techniques and materials used locally
- Techniques for filling out the forms
- Photographic techniques and equipment
- Obtaining Lat/Long coordinates

As in archival training, fieldwork training should be conducted in two phases. In a lecture format, the supervisor should provide a general orientation to the project and the administrative procedures to be used. Presentations should be used to teach vernacular architectural styles, materials, and terminology. Volunteers should also be given an illustrated identification guide, including styles, terminology for various building parts and details, materials and construction techniques. The guide may be a published book or a manual prepared especially for the project, depending on the types of resources to be surveyed.

Additional training should be provided in the field, to provide hands-on experience in the identification of resources and vernacular styles, description, and completion of forms. Emphasis should be placed on keen observation and attention to architectural detail. Photographic techniques for taking elevations and streetscapes and completing photo logs should also be taught in the field.

Surveyors should be taught to be alert for the archeological value of vacant land. Moreover, they should be trained to identify resources other than buildings, such as signage, monuments, light standards, street furniture, sidewalks, culverts, bridges and other engineering features, and landscape features.

Careful supervision of fieldwork is essential to the success of a survey project. The supervisor should check each surveyor's work at the beginning of the project and provide any necessary follow-up training or reassignments. Throughout the course of the project, the supervisor should provide periodic spot-checks of each surveyor's work to ensure the quality of the data collection effort.

ARCHIVAL RESEARCH

Archival research begins before fieldwork but will normally be continued simultaneously with the field survey. Both types of work are closely related. Archival research establishes the important patterns of history that will be apparent in the built environment, helps to predict what resources may be found in the survey, and indicates where to look and what to look for. It provides the historic and cultural context, which serves as a basis for evaluation. Field survey, on the other hand, helps to focus the archival investigation on extant resources and to identify questions about specific areas and properties.

Archival research can be very complex, and the specific approach depends on the resources being studied and the scope of the survey. It is extremely important to keep the archival research focused on the data necessary for the survey's goals. Below are some of the basic research steps preliminary to any level of survey, be it reconnaissance, intensive, or thematic.

Early on, the project director should establish the system to be used to compile the archival data. It may consist of a file folder system, with files for general information on each survey sub-unit, such as residential additions, and property files on each individual property surveyed, or the archival data may be kept in a card file and later integrated into file folders. These decisions depend on the types of data to be examined and the method to be used for analyzing the data.

Preliminary Archival Research

Preliminary archival research should be conducted prior to undertaking any reconnaissance-level, intensive-level, or thematic field survey.

Maps
The first step in a survey project is to gather maps of the study area. Maps provide basic information on the development of an area, and they indicate the dates and geographical range of development.

- **Plat maps** may be found at County Courthouses in the Recorder's office. For surveys of cities and towns, researchers should collect copies of all of the plat maps for the study area. Some areas may be platted more than once, so make sure that you collect all the replats, as well. These maps show the lot lines and provide the date of the plat and the name of the developer. By putting all of these together, one can construct the basic developmental history of an area.

- **Plat maps** for those areas allotted by the Dawes Commission are available at the Oklahoma Historical Society, Archives and Manuscripts Division.

- **Sanborn Fire Insurance Maps** are crucial for the survey of towns and cities. Most of these maps are available via an online database accessible at public libraries throughout Oklahoma. The original maps are available at the Western History Collections, University of Oklahoma. The Sanborn Fire Insurance Company mapped most of the incorporated areas of Oklahoma's towns and cities periodically between 1890 and the 1970s. Within the mapped area, a plan view of each building was drawn. At irregular intervals, the company redrew the maps, including newly incorporated or developed areas. By collecting the entire series of maps for the survey area, one can construct a detailed developmental history. The Sanborns are also the basic tool for dating construction (see example in the section on Determining Dates of Construction). They also indicate the addition of new wings, the enclosure of porches, and other construction changes. In addition, Sanborn Maps are available for purchase from EDR (www.edrnet.com); they bought the Sanborn Company and hold the copyrights for all maps not available in the public domain.

- **Maps of various types** can provide valuable data for understanding historic context and the developmental history of a community. The Western History Collections, University of Oklahoma, has a wide variety of historical maps on locales throughout the state. An index to the maps provides easy access. A comprehensive search of these maps should be preliminary to any survey.

- **Birds-eye views** were popular at the turn of the century. A birds-eye view is a drawing from an aerial perspective. For additional information on birds-eye views, see Donald A. Wise, "Bird's Eye Views of Oklahoma Towns," *The Chronicles of Oklahoma* 67 (Fall 1989): 228-247.

Local History Materials

Many local and county historical societies and local libraries maintain archives of historical materials, including pamphlets, ledgers, memoirs, and other records of the past. In addition, municipal offices, school districts, and county courthouses generally maintain records of meetings and transactions, ledgers, yearbooks, and other types of records useful in documenting local history and specific resources.

Secondary Sources

- **Local and County** histories, generally written by amateur historians and published by city and county historical societies, provide a quick overview of the area's development, including early settlement, economic growth, commercial development, the development of the area's infrastructure of streets, utilities, and transportation services, major fires, and important historical events. Frequently these books included biographical information on historically important people in the community and profiles of major businesses and institutions. Before undertaking fieldwork, survey researchers should consult local histories to familiarize themselves with the history of the area. Specific information such as dates, however, should be verified independently through scholarly research in primary sources written by eyewitnesses. Local and county histories are generally found at local and county historical societies and public libraries. Many are also available at the Oklahoma Historical Society library and at the Western History Collections, University of Oklahoma.

- **Historic Contexts** prepared as part of the Oklahoma Comprehensive Preservation Planning Process should also be consulted before fieldwork commences. These contexts are organized by sub-state preservation planning regions and by theme. In addition, several historic contexts have been prepared on urban areas of the state. Historic Contexts provide a general overview of a given theme within a planning region and an analysis of property types. (See Section on Historic Contexts.) The contexts are also available on request from the Oklahoma SHPO.

- ***The Chronicles of Oklahoma,*** the journal of the Oklahoma Historical Society, contains articles about Oklahoma's history, including information about specific communities, historical resources, and people. *The Chronicles of Oklahoma* can be invaluable in the preparation of historic contexts for surveys. Volumes 1-80 (1923-2002) are available online through the Oklahoma Historical Society in conjunction with Oklahoma State University's Electronic Publishing Center. Issues dating from 1992-present are also available online through the Oklahoma Historical Society www.okhistory.org/publications/index.html.

Key Informants

Before undertaking a survey, contact key members of the community, including municipal and county planners, local preservation officers, and directors of local historical societies, local historians, and neighborhood leaders. Frequently they can identify historic resources, provide an overview of the area, and inform you of local preservation concerns.

Indian-Pioneer Papers

The Indian-Pioneer Papers is a collection of oral histories recorded during the 1930s. Although bordering on folklore more than history, these interviews can be very useful in the preliminary states of research. The collection is available at the Western History Collections, University of Oklahoma; the Edmond Low Library, Oklahoma State University; and the Oklahoma Historical Society archives. The collection at the Oklahoma Historical Society is the most useful because it is well indexed.

Photographs

- **Historical Photographs** of downtowns, residential areas, and individual properties provide information about the historical appearance of resources and, thus, are helpful in evaluating historical integrity. They can also be useful in dating construction and additions. Sources of photographs include local historical societies and local libraries; local colleges and universities; private citizens in the local area; the Oklahoma Historical Society, Archives and Manuscripts Division; and the Western History Collections, University of Oklahoma. Photographs of Oklahoma during the late 1930s are available on microfilm in the Farm Security Administration collection, University of Oklahoma Library, Microforms Division. A comprehensive search for photographs can provide crucial information for a survey.

- **Aerial Photographs** can provide important information about the history of a community's development and about rural resources. Since 1940, the

Agricultural Stabilizing and Conservation Service (ASCS) of the U.S. Department of Agriculture has been taking aerial photos of Oklahoma at regular intervals. The Oklahoma Department of Transportation has been conducting aerial surveys of the entire state since 1969. City planning departments and private aerial photography companies may also be sources of aerial photographs.

Intensive Archival Research

Intensive archival research should be conducted simultaneously with intensive-level and thematic field surveys. The actual research sources and strategy will depend on the nature of the survey and the problem to be solved. In some instances, it may be appropriate to delay systematic research in newspapers and city directories until the preparation of National Register nominations, because of the time it takes to do the research.

City Directories

City directories are one of the best tools for determining dates of construction, if a fairly continuous series is extant for the survey area (see section on Determining Dates of Construction). They also provide good information on the occupants of buildings, often including the occupant's occupation, marital status, and race. Indications of race and occupation can be used to understand racial segregation patterns and socioeconomic patterns in the community. The directories document changes in businesses in commercial buildings and often provide informative advertising copy. Most include introductory sections that provide general descriptions of the community and its infrastructure. Those with "criss-cross directories" which list properties in order of their addresses are easiest to use. For directories without such reference points, the best approach is to scan the directory for addresses in the study area and record them into a computer database, which can sort by property. City directories are often available at local historical societies and public libraries. Directories for a limited number of cities are available at the Oklahoma Historical Society library.

Newspapers

Newspapers provide the most accurate information on dates of construction, the development of infrastructure and transportation systems, the development of subdivisions, the names of architects and builders, major fires, economic growth, and major historical events in a community. Because early newspapers printed much local gossip, they provide a wealth of information useful in developing historic contexts and specific information about historical resources. The Oklahoma Historical Society's Research Center has the largest collection of Oklahoma newspaper titles on microfilm (http://www.okhistory.org/research/newspapers). Other sources of newspapers include local libraries, the local newspaper, local colleges and universities, and the Western History Collections and the Journalism Library at the University of Oklahoma. The Oklahoman Archives are also available online at http://newsok.com/home/archives. The archives are also available through library electronic databases; check with your local library for more information.

Oral Histories
Interviews with older residents of a community and those who owned or occupied historical resources during the period of significance can often provide valuable information. Remember, however, that frequently memories can be inaccurate, particularly in regard to dates. It is useful to bring historical photographs and other documents that may help the interview subject recall events and details. Oral histories are also available at the Oklahoma Historical Society archives and at local historical societies.

Biographical Indexes
"Who's who" compilations of biographical sketches can provide useful information on the people associated with historic resources. In some instances, they provide information on the construction of the resources themselves. These indexes are available at local libraries, local historical societies, and the Oklahoma Historical Society library.

Tax Records
Records of the annual tax rolls can be useful in determining dates of construction (see section on Determining Dates of Construction) and changes in ownership. Do not rely on the tax cards, as the information on the older buildings is often erroneous. Tax rolls are available at the county tax assessor's office.

TYPES OF FIELD SURVEYS

Field surveys are usually divided into two basic types: reconnaissance and intensive survey. Both types may be done as part of the same survey project. In some cases, reconnaissance survey may be all that is necessary. Generally, however, reconnaissance survey is used to identify areas or properties that would benefit from an intensive-level survey.

The following discussion focuses on the methods for conducting a systematic survey in which all of the historical and architectural resources in a specified geographical area are considered. This section concludes with thematic surveys, which consider only specific property types.

All field surveys should conform to the Secretary of the Interior's Standards and Guidelines for Identification and Evaluation (http://www.cr.nps.gov/local-law/arch_stnds_0.htm. The evaluation of properties should also be guided by the *National Register of Historic Places Criteria for Evaluation.*

Reconnaissance Survey

Reconnaissance surveys are used to refine historic contexts, to estimate the distribution of historic properties in an area, to identify general areas that warrant consideration in community plans, and to identify individual properties and areas that would benefit from an intensive-level survey. Reconnaissance survey is basic to the systematic identification of properties and districts that appear eligible for listing in the National Register. It is also useful for drawing comparisons between a given property and others of its type or style (for example, reconnaissance survey may be used if one is attempting to justify that a particular property is the best or only example of its type or style in a local area.)

Reconnaissance surveys generally fall into two categories: windshield survey and sample survey. In many cases, a windshield survey may be sufficient. In other cases, a combination of windshield survey and sample survey is necessary. All reconnaissance surveys conducted under subgrant to the Oklahoma SHPO must use a combination of the windshield and sample techniques. For that reason, this section describes the methodology for reconnaissance survey as a linear process.

Preliminary Preparation

The first step in a reconnaissance survey is to define the geographical area to be studied. This may be a sub-state management region, a county, a city, or a portion of a city. A reconnaissance survey area should be fairly large and inclusive, yet should be manageable within the scope of the project's budget and schedule. Reconnaissance survey boundaries should be drawn broadly and should not necessarily be limited to the historic area of a community.

Compile maps of the survey area, including road maps, city or county planning maps, U.S. Geological Survey maps, and a complete series of plat maps and Sanborn Fire

Insurance Company maps. A complete series of aerial photographs is also useful. The plat maps and Sanborn maps, in particular, can provide relative dates for the construction of most of the buildings in an area. With these maps, create a general base map of the entire study area. A good base map may be available from the local planning department, or it may be necessary to construct a base map from a number of maps.

Using the plat maps and the Sanborn maps (or for rural areas, the aerial photographs and USGS maps), divide the survey area into manageable study units. The maps will help you to define those units according to historic development patterns. In those instances where historic districts have already been listed (either by the National Register or by local governments) or identified as potentially eligible, use those districts as study units. Otherwise, in urban areas it is best initially to divide study units along the boundaries of historic subdivisions, as the properties within a subdivision generally will be related both historically and visually. You may wish to divide those units further into smaller units, using natural boundaries such as creeks, manmade boundaries such as highways or major thoroughfares, or visual boundaries such as major changes in the scale of buildings. Rural areas could be divided along section lines.

Before sending crews out into the field, you should provide each surveyor with identification. Frequently, property owners will want to know why a surveyor is filling out a form or taking photographs of their properties. Surveyors should be instructed to courteously explain the study, provide the name of the sponsoring organization, and show identification. It is also advisable to inform the local police department, the local government, and other appropriate organizations, such as neighborhood associations, about the survey.

Windshield Survey

In most urban areas, and in many rural areas, most of the buildings are visible from streets and roads. As a result, a windshield survey can be an efficient method for the initial identification of historic buildings, structures, landscapes, and land use patterns and for historic districts made up of buildings, structures, and landscapes.

In a windshield survey, researchers drive the streets and roads of a defined geographical area (the study unit). The basic purpose of the windshield survey is to get a general picture of the distribution of different types and styles of properties, and of the character of different neighborhoods. The survey team should keep in mind that not all resources are visible from the street and be alert to opportunities to note outbuildings, sites, structures, and objects.

Windshield survey is most effectively carried out by teams of two or three, one of whom drives while the others observe and record information. The observers/recorders should be thoroughly familiar with local land use patterns, architectural styles, and architectural terminology.

With Sanborn map in hand, the survey team should first drive the study unit and compare the area as it is today with the record on the map, noting changes in land use, demolition, infill construction, and obvious losses of integrity, such as wholesale siding with asbestos tiles or, in commercial areas, aluminum facades. Visual elements that provide continuity should also be noted; for example, setbacks, the rhythm of roof

silhouettes and porches, street planning, and landscaping. Subjectively, one should get a sense of whether the streetscape retains the "feel" of the historic period.

At this point, the survey team should be able to make a general assessment regarding the historic character of the study unit. A particular unit may obviously possess a great deal of historical character and integrity; it may obviously be too new to be eligible for the National Register (at least until the passage of time makes it old enough for reevaluation); it may be old but victim to such a loss of integrity that it is ineligible for the National Register; or it may be that it requires a second, somewhat closer look, before judgment is passed. These assessments should be recorded on the base map.

At least two photographs should be taken of each resource. Representative streetscape photographs that characterize the area should be taken. (See section on "Standards for Photography.") The number of streetscapes taken will depend on the size of the study unit and the amount of visual variation within the area. A log of the photographs should be carefully maintained.

The survey team should make a second drive through each study unit. Based on the second windshield survey, the team can identify: (1) individual properties and districts that appear to meet the National Register criteria for listing, (2) individual properties and districts that require an intensive-level survey to determine whether they meet the National Register criteria, and (3) areas that require no further study due to loss of integrity. The second windshield survey should also be used to fill in any gaps in the information collected previously.

Be aware that it is not the purpose of the reconnaissance survey to delineate the actual boundaries of historic districts that are eligible for the National Register. Those boundaries can be determined only through intensive survey.

The result of the windshield surveys should be a narrative thumbnail sketch of each study unit, with information on the streetscapes, including the land use pattern, the general age of the area, the character of the building stock (such as type, style, building material, integrity, and condition), the landscaping, and particularly notable and representative properties. The thumbnail sketch should also assess whether the area appears eligible for the National Register and would benefit from an intensive-level survey or no additional survey is required. The assessment must be justified and the boundary of each area should be specified and justified. These assessments should also be coded onto the base map.

Final Report

The final report for a reconnaissance survey should provide an overview of the study, including the following:

- The boundaries of the area studied
- The methods used for surveying the area
- The kinds of properties looked for
- The kinds of properties observed
- A list of individually eligible properties

- The tentative boundaries of historic districts
- The locations of areas that appear to not contain any historic properties
- A clearly labeled map

The report should also include a Historic Context for the study area. (See section on Historic Context.)

In addition, the report should include information on the visual character of the area, including the land use pattern, the general age of the area, the character of the building stock, the landscaping, and particularly notable and representative properties. The information should be organized in one of three groups: (1) potential historic districts, (2) areas that would benefit from an intensive-level survey, and (3) areas containing no historic properties or districts.

A file for each documented property should be submitted to the SHPO with the final report. Each file should include a completed Historic Preservation Resource Identification Form, two labeled photographs, Lat/Long coordinates, and any research or field notes.

Additionally, SHPO-funded survey projects must carefully conform to the specifications provided in the project contract regarding identification forms and packaging requirements, photographs, maps, project reports, and historic contexts.

Intensive Survey

An intensive survey is most useful when it is necessary to know precisely what historic properties exist in a given area or when knowledge of the actual boundaries of potential historic districts is desirable.

In an intensive survey, the goal is to document all historic buildings, structures, sites, objects, and potential districts in sufficient detail to enable an evaluation of the property's eligibility for listing in the National Register. As a result, intensive survey involves the inspection of every property in the area being studied (the special characteristics of thematic survey are discussed below). In intensive surveys of potential historic districts, non-historic properties must also be documented as noncontributing resources.

As with reconnaissance survey, it is important that intensive survey fieldwork be preceded and accompanied by archival research (see section on Intensive Archival Research). As the survey progresses, archival researchers and field surveyors should interact closely. It is important that the project director integrate the two research efforts.

Preliminary Preparation

The first step is to define the boundaries of the study area. Next, assemble maps of the intensive survey area, including road maps, city or county planning maps, U.S. Geological Survey maps, and a complete series of plat maps and Sanborn Fire Insurance maps. A complete series of aerial photographs is also useful. The plat maps and Sanborn maps, in particular, can provide relative dates for the construction of most

of the buildings in an area. Next, create a base map. For urban areas, the most recent Sanborn maps are best. If Sanborn maps are not available, a plat map may be substituted. Check with the city's planning department for more map options.

It is generally necessary to divide the survey area into manageable units, such as groups of city blocks or defined neighborhoods. You can organize the project to either survey each study unit one by one or assign a team to each.

The survey team should be trained, supervised, and properly equipped. Each field surveyor should be familiar with local architectural styles, architectural terminology, photographic techniques, and the procedures for properly completing the Historic Preservation Resource Identification Form.

Field Work

An intensive survey should be carried out essentially on foot. All major buildings, structures, objects, and sites, and when possible all outbuildings and other ancillary structures and objects, should be recorded. In many cases, it is desirable to walk along alleys to identify secondary resources (discretion should be exercised regarding the safety of this procedure, of course). In surveying commercial and public buildings, interiors should be inspected to identify significant features, when possible. Cultural landscapes should be carefully described and mapped, as well.

A photographic record of each property must also be made. A minimum of two photographs must be taken of each property. Create and maintain a photo log to include each photograph, the address of the property, and the direction in which the camera is facing.

Latitude and Longitude can be collected in the field if you have a GPS receiver that collects geographic locations. These devices can be expensive. Accurate coordinates can be collected by using Google Earth or other online sources.

Normally, a field survey will focus on the architectural or landscaped qualities of the properties involved, and will require the description of each building, structure, object, or cultural landscape, with reference to standard architectural and landscape architectural terminology. When archival research suggests properties may be important for their association with historical events, trends, groups, or individuals, special attention should be given to aspects of each property that may reflect this association. When a property has special cultural value to a social or ethnic group, its description should emphasize any aspects of the property that reflect its value to the group.

Other types of information about the property, such as the date of construction, the historic name of the property, and the architect or builder should be recorded, if available from a cornerstone, date/name block, or other marker. Additionally, the presence and construction dates of additions or alterations should be noted.

It is important for surveyors to be aware of and record the designed landscapes associated with historic resources, such as formal gardens, urban parks, boulevards, and tree-lined streets.

Similarly, surveyors should be alert to the archeological value of buildings, structures and vacant land. The construction and organization of the building or structure, its modifications over time, and the evidence of activities that occurred in it may all be important.

Archival research may also indicate the presence of historical or archeological sites. The location and physical description of each site should be recorded, and (for archeological sites) their potential for yielding data assessed. This assessment will require consultation with a professional archeologist.

Integrating Field and Archival Data

The physical data gathered in the field must be integrated with the archival information obtained for each property, and each survey form must be checked for accuracy and completeness. Generally speaking, the field surveyors will not be able to supply the date of construction of each recorded property, unless a cornerstone or date block is present. The construction date (or an estimate) must be obtained from archival resources.

In addition, other types of information gleaned from archival research, such as events, persons, groups historically associated with the property, architects and builders, and resource names should be recorded on the Historic Preservation Resource Identification Form. Once the photographs have been printed and labeled, the Project Director should check each form to ensure accurate architectural style and terminology.

Finally, an assessment of each property's eligibility for listing in the National Register should be recorded under "Description of Significance." Within historic districts, each property should be assessed as to whether it is a contributing or noncontributing resource in the proposed district.

To determine the tentative boundaries of historic districts, it is useful to take the base map and mark the contributing or noncontributing status of each building on the appropriate location. The map may show that portions of the study area do not meet the National Register criteria for eligibility, and the boundaries of the proposed district may be adjusted to exclude those portions. The map may also reveal that the entire study area is ineligible for listing as a district. It is important to remember, however, that the presence of noncontributing properties scattered within an area does not necessarily render it ineligible for National Register listing as a district. It all depends on the total visual impact of those properties on the area's historical integrity.

Once the district boundaries are defined, it may be necessary to correct the "Description of Significance" on the forms for resources falling outside the district boundaries. Forms for properties retaining integrity that fall outside district boundaries should be corrected to state "noncontributing outside boundary" or "Not eligible." If the property is individually eligible for National Register listing, that information should be stated under "Description of Significance."

Final Report

The final report for an intensive survey should provide an overview of the study area, including the following:

- The boundaries of the area studied
- The methods used for surveying the area
- The kinds of properties looked for
- The kinds of properties observed
- A list of individually eligible properties, if applicable
- The tentative boundaries of each historic district, if applicable, along with a general characterization of each (including a brief historic context, the age, predominant styles, land use patterns, and landscaping), a justification for its eligibility, and a coded map showing the contributing/noncontributing status of each property and the tentative boundaries
- The locations of areas that appear not to contain any historic properties or are ineligible for listing in the National Register as districts
- A copy of a coded base map showing eligible and ineligible areas within the intensive survey boundaries

In addition, a file for each documented property should be submitted to the SHPO. Each file should include a completed Historic Preservation Resource Identification Form, two properly labeled photographs, lat/long coordinates, and any research or field notes.

Additionally, SHPO-funded survey projects must carefully conform to the specifications provided in the project contract regarding identification forms and packaging requirements, photographs, maps, project reports, and historic contexts.

Thematic Surveys

Thematic surveys are conducted at the intensive level. They are distinguished from other intensive surveys by their focus on a particular property type, such as coal mines, industrial properties, barns, art deco skyscrapers, resources built by the Works Progress Administration, buildings designed by Bruce Goff, or resources associated with Route 66.

They also differ in that the National Register eligibility of each property must be evaluated individually. Thematic districts are nominated as “multiple properties,” and each property included within the nomination must be individually eligible for National Register listing.

Thematic surveys should follow the preparation of a well-developed Historic Context. The Context should provide a comprehensive, scholarly history of the subject and should identify the property types associated with a particular theme, describe the characteristics of each property type, and define integrity for each type.

The methodology for thematic survey differs from other types of surveys primarily in the increased importance of planning and preparation before the initiation of the fieldwork.

Particularly when a thematic survey covers a large area of land, such as a county or a sub-state management region, it is crucial that the field strategy be devised carefully to avoid overlooking properties or unnecessarily having to retrace the same ground. Thematic surveys also require more in-depth preliminary archival research than other types of surveys so that the probable location of properties within the survey area can be determined or predicted. It is important to make every effort to document every property of the particular type within the study area.

In general, the methodology for conducting a thematic survey draws from windshield and intensive approaches. The actual methodology used depends on the nature of the area being surveyed, the type of property being studied, the complexity of location of the property type, and the completeness of the archival record regarding the property type. For suggested approaches to thematic survey, consult *Thematic Survey of Grain Elevators in Western Oklahoma, 1889-1950,* by W. David Baird, Pepperdine University, and *Historic Context and Predictive Model Documents, Architectural/Historic Intensive Level Survey of Coal Mining Related Resources of Pittsburgh County,* by William Bryans of the Oklahoma Historic Preservation Survey, Oklahoma State University (both are available on request from the Oklahoma SHPO).

Final Report

The final report for a thematic survey should provide an overview of the study, including the following:

- Project objectives
- The boundaries of the area studied
- The research design and methods used for surveying the area
- The kinds of properties looked for
- The kinds of properties observed
- A list of individually eligible properties
- A list of recorded properties that do not meet the National Register criteria
- A list of properties identified in archival research that no longer exist and a list of those that could not be located, if applicable
- A map showing the distribution of the property type within the study area
- A map showing the distribution of those resources that appear eligible for listing in the National Register

In addition, a comprehensive Historic Context should be included, unless one is already on file with the Oklahoma SHPO.

A file for each documented property also should be submitted to the SHPO. Each file should include a completed Historic Preservation Resource Identification Form, two properly labeled photographs, lat/long coordinates, and any research or field notes.

Additionally, SHPO-funded survey projects must carefully conform to the specifications provided in the contract for file type and size, packaging requirements, photographs, maps, project reports, and historic contexts.

WHAT TO LOOK FOR IN A SURVEY

Most surveys, except for those organized according to specific themes, should seek to identify all of the historic resources within the study boundaries. These may include resource types that most people do not recognize as significant, such as lighting, WPA-built culverts, and potential archeological sites. Within historic districts, buildings that are not notable may still contribute importantly to the historic character of the district if they retain their historical integrity. In districts, design elements such as boulevard or curvilinear street layouts and historic landscaping should also be recorded.

The National Register classifies historic resources into five broad categories: buildings, sites, structures, objects and districts, all of which may be present within the study boundaries. All resources require an individual form. The only exception is a resource that has a main building and one outbuilding; these can be entered on one form. However, if multiple resources are present, use separate forms for each building, structure and object. See examples of the types of resources that may be found listed below.

Buildings

- Notable examples of architectural styles or periods or methods of construction, including local or regional types. Example: a cobblestone cottage, a Sullivanesque commercial building, an airplane Bungalow, a round barn.
- Buildings showing the history and development of the community or region. Example: a railroad depot, an early commercial building, a roadside diner along Route 66.
- Buildings associated with particular ethnic or social groups. Example: the Creek Council House, a Czech *Sokol*, a Mennonite Church, a commercial bank in the all-black town of Boley.
- Complexes of building that are functionally and historically related. Example: a farmhouse and barn, a railroad depot and Harvey House.
- Commercial structures or blocks. Example: a bank, a warehouse, a department store building, a 1920s service station.
- Buildings by significant architects or builders. Example: the Price Tower, designed by Frank Lloyd Wright; a house designed by Bruce Goff; the Sooner Theater in Norman, designed by local architect Harold Gimeno.
- Architectural curiosities. Example: the Townley's milk bottle building in Oklahoma City.
- Rare examples of architectural styles or types. Example: a shotgun house, a Folk Victorian cottage.
- Studios of significant artists, writers, or musicians. Example: The Oscar Jacobson House.
- Institutions important to the community, such as churches, schools, and theaters.
- Buildings where significant technological advances took place.

Sites

- Archeological sites with known or potential research value, either prehistoric or historic. Example: Rose Hill Plantation in Choctaw County.

- Sites associated with important historical events, such as battlefields or trails. Example: the Honey Springs Battlefield, the Chisholm Trail.
- Cemeteries associated with important events and those important for architectural or artistic qualities. Example: Mass Grave of the Mexican Miners, Mount Calvary Cemetery, McAlester.
- Landscape architecture. Example: Platt National Park.

Structures

- Industrial and engineering structures, such as aqueducts, utility stations, oil wells, or dams. Example: Oklahoma City Discovery Well.
- Transportation structures, such as railroads, roads, tunnels, bridges and roundhouses. Example: the original Route 66 roadbed near Miami.
- Agricultural structures, such as granaries and grain elevators, silos, corncribs, and apiaries. Example: the Davison Silo.
- Movable structures associated with a particular location, such as locomotives, carousels, airplanes, and artillery.

Objects

- Historical or art objects, such as statues, outdoor sculptures, monuments, road markers, light standards, or outdoor clocks. Example: Pioneer Woman Statue, Ponca City.

Districts

- Groups of related buildings in neighborhoods or commercial areas, including associated objects, sites, structures, and landscapes. Example: the Anadarko Downtown Historic District, the Mesta Park Historic District in Oklahoma City.
- Groups of buildings, structures, objects, or sites related to ethnic or social groups. Example: Boley National Historic Landmark.
- Farmlands and their related buildings and structures.
- Groups of structures or buildings related to industrial or technological developments.
- School or university campuses.

Districts may include noncontributing properties (properties that lack historical integrity or were built after the period of significance), but they must generally possess visual continuity. City planning elements such as street layout and building setbacks, landscaping, and the height, massing, designs, and color of noncontributing buildings may help to lend a sense of visual continuity. Districts do not have to be contiguous. They can be related by theme.

INSTRUCTIONS FOR COMPLETING
HISTORIC PRESERVATION RESOURCE IDENTIFICATION
PROPERTY FORM
Using OK/SHPO Access Database

THESE INSTRUCTIONS ARE TO BE USED WITH THE LIST
OF TERMS AS A GUIDE TO COMPLETE THE
HISTORIC PRESERVATION RESOURCE IDENTIFICATION FORM.

1. **PROPERTY NAME:** This field should include the name of the Survey being conducted.
2. **RESOURCE NAME:** This is the name of an individual building, structure, object or site within a multiple resource property such as a district or complex.
3. **RESOURCE ADDRESS:** The street address of the resource or if an address is not available directional information should be included here.
4. **CITY:** Nearest city or town
5. **VICINITY:** If the resource is located within the city limits, leave blank; if resource is not located within the city limits, type a V in the field.
6. **COUNTY:** List county name.
7. **LOT:** The lot(s) on which the resource is located.
8. **BLOCK:** The block in which the lot(s) are located.
9. **PLAT NAME:** This is the legally recorded name of the subdivision that is in the official plat book.
10. **SECTION:** Section number and nearest quarter division.
11. **TOWNSHIP:** Township number.
12. **RANGE:** Range number.
13. **LATITUDE (NORTH):** Enter the Latitude of the property. Lat/Long coordinates in decimal degree to 6 decimal places are preferred but UTM is also acceptable.
14. **LONGITUDE (WEST):** Enter the Longitude for the property in decimal degrees to 6 decimal places.
15. **UTM ZONE:** Select the UTM Zone (13, 14 or 15). If you have entered the Lat/Long you may leave the UTM fields blank.
16. **NORTHINGS:** Enter UTM northings for the property.
17. **EASTINGS:** Enter the UTM eastings for the property.
18. **RESOURCE TYPE:** Select from district, building, site, object, or structure.
19. **HISTORIC FUNCTION:** Select the use of the resource during its period of significance.
20. **CURRENT FUNCTION:** Select the current use of the resource from the dropdown menu.
21. **AREA OF SIGNIFICANCE, PRIMARY:** This is the most important area of significance.
22. **AREA OF SIGNIFICANCE, SECONDARY:** This is the next most important area of significance if one exists; if not, leave blank.
23. **DESCRIPTION OF SIGNIFICANCE:** Enter the statement of significance and eligibility assessment of the resource. If the property is within an identified historic district, state whether it is contributing or noncontributing to the district and the name of the district.
24. **DOCUMENT RESOURCE:** List the sources of information used for documenting this resource and its significance. If using an oral interview, provide the name and date of the person interviewed.

25. **NAME OF PREPARER:** Who did research and completed the form?
59. **SURVEY PROJECT:** Is this a survey project? Select YES/NO
26. **PROJECT NAME:** Enter the survey name here. If this is not a survey project leave this field blank.
27. **DATE OF PREPARATION:** Month and year the form was completed.
28. **PHOTOGRAPHS:** Are photographs included with form. Select YES/NO. **NOTE**: Form is incomplete without photographs.
29. **YEAR:** Enter the year the photographs were taken.
30. **ARCHITECT/ BUILDER:** This is the name of the designer and/or craftsman responsible for resource's design and/or execution. If you do not know, enter unknown.
31. **YEAR BUILT:** What is the year of construction of resource? This date should be obtained from tax records, plat registration documents, or Sanborn Fire Insurance Company maps. **NOTE:** Form is incomplete without date.
32. **ORIGINAL SITE:** Is the resource located where originally built or where historic significance occurred? Select YES/NO.
33. **DATE MOVED:** If NO was selected for #32, enter the date the move occurred.
34. **FROM WHERE:** If NO was selected for #32, enter where the resource was previously located.
35. **ACCESSIBLE:** Is resource viewable from a public thoroughfare?
36. **ARCHITECTURAL STYLE:** See the list of terms for guidance. Use only the designations from the dropdown menu. If the resource is a style that is not listed in the dropdown menu, use OTHER.
37. **OTHER ARCHITECTURAL STYLE:** Use this field to enter alternative styles if the style was not available in the dropdown menu for #36.
38. **FOUNDATION MATERIAL:** Select the primary foundation material from the dropdown menu. Include any additional materials in the DESCRIPTION OF RESOURCE #51. If the foundation is not visible, enter: UNCOLLECTED
39. **ROOF TYPE:** Enter the roof type.
40. **ROOFING MATERIAL:** Select the present roofing material. If the material is not visible on a flat roof, enter: UNCOLLECTED.
41. **WALL MATERIAL, PRIMARY:** Select the primary wall material.
42. **WALL MATERIAL, SECONDARY:** Select an additional wall material if is present on the resource.
43. **WINDOW TYPE:** Style and configuration. See reference sheets for types of windows. If the window is boarded and cannot be seen, enter: UNCOLLECTED.
44. **WINDOW MATERIAL:** Select the material of the window sash, not the applied storm windows. If the window is boarded and cannot be seen, enter: UNCOLLECTED.
45. **DOOR TYPES:** Style and configuration. Most doors may be described as "paneled" "glazed paneled," "slab," or "glazed slab." If the door is boarded and cannot be seen, enter: UNCOLLECTED.
46. **DOOR MATERIAL:** Select the material of the door. If the door is boarded and cannot be seen, enter: UNCOLLECTED.
47. **EXTERIOR FEATURES:** Indicate large defining features of the resource. Example: Large wrap-around porch, balconies, end chimneys, and window dormers.
48. **INTERIOR FEATURES:** Describe character defining features of the interior of the resource. Example: Wooden mantels over fireplaces; staircase; decorative woodwork; vaulted ceilings. If you have not seen the interior, leave this blank.

49. **DECORATIVE DETAILS:** Describe any special or unique decorations and trims that were historically on the resource and that are still present. If there are none, leave this blank.
50. **CONDITION OF RESOURCE:** Select from the following: 01 Excellent is perfectly maintained; 02 Good is very well maintained; 03 Fair is somewhat in need of maintenance; 04 Poor is badly in need of maintenance, 05 Ruins means most or all of the resource is destroyed or missing.
51. **DESCRIPTION OF RESOURCE:** Overall description of resource's historic appearance and alterations that have occurred since original construction. Include dates of alterations, if known.
52. **COMMENTS:** Include any general comments about the resource.
53. **PLACEMENT ON MAP:** Sketch map should be drawn legibly and large enough to be clear. It need not be to scale, but reference points must be present on generally available sources such as city or county maps. Clearly label (A) Nearby major and adjacent reference roads and streets, (B) property location in relation to reference points. If resource is located on city block, indicate location in reference to corner or other landmarks. Form is **incomplete** without a map. However, if survey maps indicating the address of each property will be submitted, you may enter: See survey map.
55. **CONTINUATION:** Continuations of any numbered item or information that may not be covered by numbered items.
54. **LIST ON NATIONAL REGISTER:** Select from YES, NO, or ELIGIBLE.
56. **NATIONAL REGISTER ENTRY:** If the resource has been previously listed on the National Register of Historic Places include the NR ID number which can be found here http://www.ocgi.okstate.edu/shpo/allsites.htm .

HISTORIC PRESERVATION RESOURCE
IDENTIFICATION LIST OF TERMS

RESOURCE TYPES

- DISTRICT
- BUILDING
- SITE
- OBJECT
- STRUCTURE

FUNCTION TYPES

DOMESTIC

- SINGLE DWELLING
- MULTIPLE DWELLING
- SECONDARY STRUCTURE
- HOTEL
- INSTITUTIONAL HOUSING
- CAMP
- VILLAGE SITE

COMMERCE/TRADE

- BUSINESS
- PROFESSIONAL
- ORGANIZATIONAL
- FINANCIAL INSTITUTION
- SPECIALTY STORE
- DEPARTMENT STORE
- RESTAURANT
- WAREHOUSE
- TRADE (ARCHEOLOGY)

SOCIAL

- MEETING HALL
- CLUBHOUSE
- CIVIC

GOVERNMENT

- CAPITOL
- CITY HALL
- CORRECTIONAL FACILITY
- FIRE STATION
- GOVERNMENT OFFICE
- DIPLOMATIC BUILDING
- CUSTOM HOUSE
- POST OFFICE
- PUBLIC WORKS
- COURTHOUSE

FUNCTION TYPE (cont.)

EDUCATION
- SCHOOL
- COLLEGE
- LIBRARY
- RESEARCH FACILITY
- EDUCATIONAL RELATED HOUSING

RELIGION
- RELIGIOUS STRUCTURE
- CEREMONIAL SITE
- CHURCH SCHOOL
- CHURCH RELATED RESIDENCE

FUNERARY
- CEMETERY
- GRAVES/BURIALS
- MORTUARY

RECREATION
- THEATER
- AUDITORIUM
- MUSEUM
- MUSIC FACILITY
- SPORT FACILITY
- OUTDOOR RECREATION
- FAIR
- MONUMENT/MARKER
- WORK OF ART (SCULPTURE, CARVING, ROCK ART)

AGRICULTURE/ SUBSISTENCE
- PROCESSING
- STORAGE
- AGRICULTURAL FIELD
- ANIMAL FACILITY
- FISHING FACILITY OR SITE
- AGRICULTURAL OUTBUILDINGS
- HORTICULTURE FACILITY
- IRRIGATION FACILITY

INDUSTRY/PROCESSING EXTRACTION
- MANUFACTURING FACILITY
- EXTRACTIVE FACILITY
- WATER WORKS
- ENERGY FACILITY
- COMMUNICATION FACILITY
- PROCESSING SITE

FUNCTION TYPE (cont.)

HEALTH CARE
- HOSPITAL
- CLINIC
- SANATORIUM
- MEDICAL BUSINESS/OFFICE
- RESORT

DEFENSE
- ARMS STORAGE
- FORTIFICATION
- MILITARY FACILITY
- BATTLE SITE
- COAST GUARD FACILITY
- NAVAL FACILITY
- AIR FACILITY

LANDSCAPE
- PARKING LOT
- PARK
- PLAZA
- GARDEN
- FOREST
- UNOCCUPIED LAND
- UNDERWATER
- NATURAL FEATURE
- STREET FURNITURE/OBJECT
- CONSERVATION AREA
- STREET FURNITURE/STRUCTURE
- CONSERVATION

TRANSPORTATION
- RAIL-RELATED
- AIR-RELATED
- WATER-RELATED
- ROAD-RELATED
- PEDESTRIAN-RELATED

WORK IN PROGRESS
UNKNOWN
VACANT/NOT IN USE
OTHER

AREA OF SIGNIFICANCE

AGRICULTURE
ARCHEOLOGY
- PREHISTORIC ARCHEOLOGY
- HISTORIC-ABORIGINAL
- HISTORIC-NON-ABORIGINAL

ARCHITECTURE
ART
COMMERCE
COMMUNICATIONS
COMMUNITY PLANNING AND DEVELOPMENT
CONSERVATION
ECONOMIC
EDUCATION
ENGINEERING
ENTERTAINMENT/RECREATION
ETHNIC HERITAGE
- ASIAN
- BLACK
- EUROPEAN
- HISPANIC
- NATIVE AMERICAN
- OTHER

EXPLORATION/SETTLEMENT
HEALTH/MEDICINE
INDUSTRY
INVENTION
LANDSCAPE ARCHITECTURE
LAW
LITERATURE
MARITIME HISTORY
MILITARY
PERFORMING ARTS
PHILOSOPHY
POLITICS/GOVERNMENT
RELIGION
SCIENCE
SOCIAL HISTORY
TRANSPORTATION
OTHER

ARCHITECTURAL STYLES

NO DISTINCTIVE STYLE
COLONIAL
EARLY REPUBLIC
FEDERAL

MID 19TH CENTURY
GREEK REVIVAL
GOTHIC REVIVAL
ITALIAN REVIVAL
EXOTIC REVIVAL
OCTAGON MODE

LATE VICTORIAN
GOTHIC
ITALIANATE
SECOND EMPIRE
STICK/EASTLAKE
QUEEN ANNE
SHINGLE STYLE
ROMANESQUE
RENAISSANCE

LATE 19TH AND EARLY 20TH CENTURY REVIVALS
COLONIAL REVIVAL
CLASSICAL REVIVAL
TUDOR REVIVAL
LATE GOTHIC REVIVAL
MISSION/SPANISH COLONIAL REVIVAL
BEAUX ARTS
PUEBLO

LATE 19TH AND EARLY 20TH CENTURY AMERICAN MOVEMENTS
PRAIRIE SCHOOL
COMMERCIAL STYLE
CHICAGO
SKYSCRAPER
BUNGALOW/CRAFTSMAN

MODERN MOVEMENT
MODERNE
INTERNATIONAL STYLE
ART DECO

OTHER
NATIONAL FOLK
SHOTGUN
FOLK VICTORIAN
MIXED (More than two styles from different periods)

MATERIAL TYPES

NONE LISTED
EARTH

WOOD
WEATHERBOARD
SHINGLE
LOG
PLYWOOD/PARTICLE BOARD
SHAKE

BRICK

STONE
GRANITE
SANDSTONE
LIMESTONE
MARBLE
SLATE

METAL
IRON
COPPER
BRONZE
TIN
ALUMINUM
STEEL
LEAD
NICKEL
CAST IRON

STUCCO
TERRA COTTA
ASPHALT
ASBESTOS
CONCRETE
ADOBE
CERAMIC TILE
GLASS
CLOTH/CANVAS

SYNTHETICS
FIBERGLASS
VINYL
RUBBER
PLASTIC

OTHER
INAPPLICABLE
UNCOLLECTED

CONDITION

01 EXCELLENT perfectly maintained
02 GOOD very well maintained
03 FAIR somewhat in need of maintenance
04 POOR badly in need of maintenance
05 RUINS most or all resource is destroyed or missing

DETERMINING DATES OF CONSTRUCTION

Because resources are normally eligible for the National Register only if they are at least 50 years old, it is extremely important to provide an accurate date of construction on the Historic Preservation Resource Identification Form. This date should be accurate within 5 years of the actual date of construction.

There are a number of fairly quick methods to estimate the date:

Sanborn Fire Insurance Maps

The Sanborn Fire Insurance Company mapped most incorporated towns in Oklahoma periodically between 1890 and the 1970s. Within the mapped area (which may not include the entire town), a plan view of each building was drawn. It is possible to estimate the date of construction by interpolating between the map on which the building first appears and the previous map (if that map showed a vacant lot or different building). The Sanborn maps are available at the Western History Collections, University of Oklahoma. Photocopies of the entire map series for a given community may be purchased from the Western History Collections. Many libraries throughout the state offer access to a database of electronic Sanborn Maps. In addition, Sanborn Maps are available for purchase from EDR (www.edrnet.com); this company bought the Sanborn Company and holds the copyrights for all maps not available in the public domain.

City Directories

Beginning about 1920, and in some cases earlier, the city directories for many of the larger communities in Oklahoma include a “criss-cross directory” which listed owners in the order of the street address. One can generally interpolate the date of construction between the year of the directory in which a building is first listed and the previous directory. If an unbroken series exists, you can assume that a resource was built in the year prior to that in which it first appears in the city directory. City directories are often available at local libraries or historical societies. The Oklahoma Historical Society library has city directories for a limited number of communities.

Plat maps

If all the buildings within a platted addition appear to be approximately the same age, one can often assume that the buildings were constructed within five years of the date of the plat. Plat maps are available at county courthouses. Make sure that the addition was not re-platted at a later date. Your property may be older than the addition if the property appears to be a different style or setback. This is often true of farmsteads that were later subdivided for redevelopment. Be suspicious if the style is older than surrounding houses or if the setback is different.

Tax assessor annual rolls

Look for significant jumps in the assessed value of a property. These jumps generally signify improvements to the property. Tax assessor rolls are available at the County Assessor’s Office. Do not depend on the date of construction provided on the tax assessor card, since the tax assessor cards for older properties are often inaccurate.

Photographs

Photographs may provide relative dates of construction. Look for photographs of buildings, parades, automobiles, street scenes, and people. Beware of the date provided on photographs. Better estimates come from cars, surrounding buildings, streets and lights, and known events.

Newspapers

Newspapers typically reported the construction of commercial and public buildings and the development of subdivisions. In small towns, they often reported almost all building construction and additions to buildings. Newspapers are fairly time-consuming to research, but they provide the most accurate dates of construction. Before checking the newspapers, try to narrow the date of construction down to a few years. Look at the "local news" column or, in larger towns, the real estate section. Newspapers may be available at your local library or newspaper office. The Oklahoma Historical Society has the most complete newspaper collection in the state.

STANDARDS FOR PHOTOGRAPHY

Photographs must be submitted for each property for which a survey form is completed. A sufficient number of streetscape photographs to characterize each study unit, when applicable, must also be submitted. The documentation must conform to the following standards:

For Digital photographs:

1. .JPEG file format.

2. Have a pixel array (also referred to as pixel depth or pixel dimension) of at least 1200 by 1600.

3. Have a resolution of 300 ppi.

4. Be RGB color mode.

5. File names should correspond to property address.

6. Record all photographs on CD-R gold or DVD-R gold disc.

7. Label discs with survey information: county, city, survey project name. If the label is handwritten, discs and cases should be labeled with archival quality markers **not** with permanent markers. If it is not handwritten, it should be a direct print.

8. All prints will be three by five inch or four by six inch (3" x 5" or 4" x 6"). Archival quality printing is not required.

9. All prints should be labeled. The preferred method is hand labeled with pencil or archival quality marker. It is acceptable to use adhesive labels.

10. All prints will be placed in new appropriately labeled envelopes between the dimensions of six by nine or eight and a half by eleven (6”x9” or 8.5”x11”) placed within the folder of the property it documents.

For traditional Black and White photographs:

1. All processing of negatives will be to industry standards as specified in the manufacturer’s product literature.

2. All prints will be three by five inch or four by six inch (3” x 5” or 4” x 6”), matte. Archival quality printing is not required.

3. All prints should be labeled. The preferred method is hand labeled with pencil or archival quality marker. It is acceptable to use adhesive labels.

4. Photographic prints will be processed in accordance with industry standards as recommended in the manufacturer’s product literature.

5. All prints will be placed in new appropriately labeled envelopes between the dimensions of six by nine or eight and a half by eleven (6”x9” or 8.5”x11”) placed within the folder of the property it documents.

6. A contact sheet for each roll of film shall be maintained in a PhotoGuard (or equivalent) polypropylene pocket designed for binder storage.

7. All photographic negatives will be maintained in Print File Archival Preserver (or equivalent) negative holders designed for binder storage. Negatives will be inserted to correspond with the contact sheet, arranged so that strips do not extend beyond the edge of the sheet.

8. An index will be compiled and maintained with the negatives. The index will include a listing of each property in order of the file folders, with a cross reference to the roll sheet and negative frame number.

9. Negatives and accompanying materials will be maintained in a ring binder, arranged in the following order: (1) index, and (2) contact sheet followed by the corresponding negative holder, organized numerically by roll number.

MAP STANDARDS

Each survey must provide, at a minimum, a map of the survey area, coded to indicate the results of the survey, and a map of each area that appears eligible for listing in the National Register. Maps for thematic surveys should show the distribution of the property type and the distribution of those that appear eligible for the National Register.

The maps used by local planning departments often provide the basis of a good base map. For intensive surveys, Sanborn maps are useful for delineating historic districts and identifying the contribution of component resources.

Base maps may be submitted in a large format. However, all maps must also be reproducible in an 8 ½" x 11" format and inserted in the project report. The map must be of professional quality, drawn by a draftsperson or cartographer or generated by computer, and they must be highly legible. Maps must provide the following information:

1. They must be clear and readable.

2. The name of the survey should appear on the map, and the map should be labeled with a descriptive title.

3. All streets must be clearly labeled on each map.

4. The map must include a legend and a north arrow.

5. The month and year that the map was prepared for the survey should appear on the map.

6. The boundaries of the survey area.

7. The boundaries of any eligible historic districts and the contributing /noncontributing status of properties.

COMPUTER DATA STANDARDS

For surveys conducted under contract to the Oklahoma SHPO, the survey data must be submitted in a computer format using the OK/SHPO's database, as well as in hard-copy form in folders. Subgrantees should request a copy of the OK/SHPO database, which provides the database structure. The survey data must be submitted on CD-ROM, according to the following format:

1. All data will be placed on a new CD-ROM.

2. All data CDs will be labeled as to content and capacity occupied.

3. All data will be produced in the OK/SHPO's database. The template and instructions for the database are available from the OK/SHPO upon request.

4. All data will be entered in ALL CAPITALS.

GPS STANDARDS

For all surveys conducted the project must include geographical coordinates for each resource identified in the survey. The coordinate information will be included on the Resource Identification Form. The coordinates can be either Latitude/Longitude or UTM. Lat/Long format is preferred and must be entered in the decimal degree to 6 decimal places.

GLOSSARY

Americans with Disabilities Act (ADA)- Public Law 101-336 which prohibits discrimination on the basis of disability by private entities in places of public accommodation, requires that all new places of public accommodation and commercial facilities be designed and constructed so as to be readily accessible and usable by persons with disabilities. Public agencies and private entities must comply.

Archeological Resources- Sites that can provide information about prehistoric human occupation (activities). Generally, we consider that the information will be found below the surface of the ground, but this is certainly not always the case. Archeological resources range from sites which contain numerous artifacts and features beneath the ground's surface to those which contain only a few small artifacts scattered on the ground.

Building- A structure created to shelter any form of human activity, such as a house, barn, church, hotel, or similar structure. "Building" may refer to a historically related complex such as a courthouse and jail or house and barn.

Certified Local Government (CLG)- A local government whose local historic preservation program has been certified pursuant to Section 101 (c) of the National Historic Preservation Act. Basically, a CLG enforces a local historic preservation ordinance and meets other requirements specified in the Certified Local Governments Program for Oklahoma.

Contributing Resource- A building, structure, site, or object that adds to the historic significance of a property.

Covenant- A deed restriction limiting the owner's use of his/her property.

Cultural Resource- A building, structure, district, or object evaluated as having significance in prehistory or history.

Design Guidelines- The document that sets forth the standards by which a historic preservation commission judges applications for certificates of appropriateness.

Determination of Eligibility (DOE)- An action through which eligibility of a property for National Register listing is decided but the property is not actually listed, and nominating authorities and federal agency officials commonly request determinations of eligibility for planning purposes and in cases where a majority of private property owners has objected to National Register listing.

District- A significant concentration, linkage, or continuity of buildings, structures, sites, or objects united historically or aesthetically by plan or physical development.

Documentation- Information that describes, locates, and explains the significance of a historic property.

Evaluation- The process by which the significance and integrity of a historic property are judged and eligibility for National Register listing is determined.

Eligible Property- An eligible property is any district, building, site, structure, or object that meets at least one of the National Register criteria and possesses historical integrity. In most instances, properties that have achieved significance within the past 50 years are not eligible for the National Register. Eligible properties receive the same measure of protection under federal law, as do those listed in the National Register.

Historic American Buildings Survey (HABS)- The program the National Park Service established in 1933 to document the history of the building arts in the United States with architectural measured drawings, photographs, and written reports. The Survey aids urban neighborhoods and rural communities, state and local governments, and federal agencies in surveying and recording their historic architectural resources.

Historic American Engineering Record (HAER)- The program the National Park Service established in 1969 to survey and document America's historic industrial, engineering, and transportation resources and to record the working and living conditions of the people associated with them.

Historic American Landscapes Survey (HALS)- The program the National Park Service established in 2000 to survey and document landscapes. HALS builds on the HABS/HAER documentation traditions, while expanding the range of stories that can be told about human relationships with the land. HALS documents the dynamics of landscapes, as HABS and HAER document unique buildings and engineering structures and systems.

Historic Context- A unit created for planning purposes that groups information about historic properties based on a theme, specific time period, and geographical area.

Historic Resources- The buildings, structures, objects, and sites (including historic archeological sites) that represents human activity.

Identification- The process by which information is gathered about historic properties.

Integrity A property possesses integrity if the authenticity of a property's historic identity is evidenced by the survival of physical characteristics that existed during the property's historic or prehistoric period.

Intensive-Level Survey- means (1) systematic, detailed field (and archival) inspection of an area designed to identify fully the architectural, archeological, and historic properties and calculated to produce a level of documentation sufficient, without any further data, to evaluate National Register eligibility (and nominate if appropriate); or (2) systematic, detailed examination of an area designed to gather information about historic properties sufficient to evaluate them against predetermined criteria of significance within specific historic contexts.

Inventory- A list of historic resources determined to meet specified criteria of significance.

Minimum-Level Documentation- Information on the location, type, condition, and significance, or identification of research needed to determine the importance of a property, but which must be supplemented with information before the property could be submitted as a nomination to the National Register. Completion of the Oklahoma

SHPO's "Historic Preservation Resource Identification Form" (including required photographs) constitutes minimum level documentation.

National Historic Landmark (NHL)- A historic property evaluated and found to have significance at the national level and designated as such by the Secretary of the Interior.

National Historic Preservation Act, as amended- The 1966 legislation establishing the National Register of Historic Places and extending the national historic preservation programs to properties of state and local significance.

National Park Service (NPS)- The bureau of the Department of the Interior to which the Secretary of the Interior has delegated the authority and responsibility to administer the National Historic Preservation Program.

National Register of Historic Places (NR)- The national list of sites, districts, buildings, structures, and objects significant in American history, architecture, archeology, engineering or culture, maintained by the Secretary of the Interior under authority of the National Historic Preservation Act.

National Register of Historic Places Multiple Property Documentation Form- The form required for nominating properties to the National Register which includes all or a defined portion of the cultural resources identified in a specified geographical area.

National Register Level of Documentation- means information on a property that is sufficient, without further data, to submit the property as a nomination to the National Register of Historic Places.

Noncontributing Resource- means a building, structure, site, or object that does not add to the historic significance of a property.

Object- Those constructions that are primarily artistic in nature or relatively small in scale and simply constructed. Although it may be by nature or design movable, an object is associated with a specific setting or environment.

Oklahoma Historical Society (OHS)- The state agency whose mission it is to identify, collect, interpret, and preserve Oklahoma's rich heritage.

Oklahoma Landmarks Inventory (OLI)- The State Historic Preservation Office's database on the state's historic resources.

Preservation (Historic Preservation)- includes identification, evaluation, recordation, documentation, curation, acquisition, protection, management, rehabilitation, restoration, stabilization, maintenance, research, interpretation, conservation, and education and training regarding the foregoing activities or any combination of the foregoing activities.

Preservation Partner- Any agency, organization, or individual who participates in the development and implementation of Oklahoma's state preservation plan.

Preservation Planning- The process by which goals, priorities, and strategies for preservation activities are set forth and carried out.

Property- An area of land containing a single historic resource, or a group of resources, and constituting a single entry in the National Register of Historic Places.

Reconnaissance-Level Survey- means (1) small-scale archival or field research, designed to provide a general impression of an area's architectural, archeological, and historic properties and their values, but not calculated to provide a level of documentation sufficient to determine a property's eligibility or to nominate a property to the National Register; or (2) an examination of all or part of an area accomplished in sufficient detail to make generalizations about the types and distributions of historic properties that may be present.

Reconstruction- The act or process of reproducing by new construction the exact form and detail of a vanished building, structure, or object, or a part thereof, as it appeared at a specific period of time.

Recordation- The documentation of a historic resource.

Registration- The process which results in historic or archeological properties being listed in or determined eligible for listing in the National Register.

Rehabilitation- The act or process of returning a property to a state of utility through repair or alteration which makes possible an efficient contemporary use while preserving those portions or features of the property which are significant to its historical, architectural, and cultural values.

Research Design- A statement of proposed identification, documentation, investigation, or other treatment of a historic property that identifies the project's goals, methods and techniques, expected results, and the relationship of the expected results to other proposed activities or treatments.

Restoration- The act or process of accurately recreating the form and details of a property and its setting as it appeared at a particular period of time by means of the removal of later work or by replacement of missing earlier work.

Secretary of the Interior's Professional Qualification Standards- The professional qualifications included in the *Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation* which detail the minimum education and experience a person must possess in order to successfully perform tasks associated with the preservation of archeological and historic resources.

Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation-The standards and guidelines which provide technical information about archeological and historic preservation activities and methods. These include guidance for preservation planning, identification, evaluation, registration, historic research and documentation, architectural and engineering documentation, archeological investigation, historic preservation projects, professional qualifications, and preservation terminology.

Significance- Is the quality of a resource, either by association or example, that gives the resource historic weight and value. This is determined by the recognition or potential of a resource to yield valuable data, serve as a representative model or aid in the understanding of historic events, period or people. The evaluation of significance is

considered within a historic context that may be local, state, or national. Significance must be directly related to the specific site, building, structure, object, or district.

Site- The location of an event, prehistoric or historic occupation or activity, or a building or structure, whether standing, ruined, or vanished, where the location itself possesses historic, architectural, or archeological value regardless of the value of any existing structure.

State Historic Preservation Officer (SHPO)- The person designated by the Governor or Chief Executive Officer to act for the state in matters pertaining to the national historic preservation program. Oklahoma statutes provide that the Executive Director of the Oklahoma Historic Society shall be designated the State Historic Preservation Officer.

Structure- Those functional constructions made usually for purposes other than creating human shelter, such as a bridge.

Survey- A carefully designed and systematic process of identifying and gathering data on the historic resources of a given area. It includes field survey, the physical search for and recording of historic resources on the ground, but it also includes planning and background research before field survey begins.

Traditional Cultural Property (TCP)- Is generally a property that is eligible for inclusion in the National Register of Historic Places because of its association with cultural practices or beliefs of a living community that (a) are rooted in that community's history, and (b) are important in maintaining the continuing cultural identity of the community. "Traditional" in this context refers to those beliefs, customs, and practices of a living community of people that have been passed down through the generations, usually orally or through practice. The traditional cultural significance of a historic property, then, is significance derived from the role the property plays in a community's historically rooted beliefs, customs, and practices. There are many definitions of the word "culture"; but in the National Register programs the word is understood to mean the traditions, beliefs, practices, lifeways, arts, crafts, and social institutions of any community, be it an Indian tribe, a local ethnic group, or the people of the nation as a whole.

Thematic Area- The Oklahoma SHPO has identified twelve major themes that describe broad patterns of historical activity significant in the development of the state.

Thematic Survey- Survey projects that are carried out to identify specific resources related to one of the thematic areas designated by the OK/SHPO are thematic surveys.

UTM (Universal Transverse Mercator)- A set of coordinates - zone, northing, easting - which indicates a unique location that appears on maps of the United States Geological Survey.