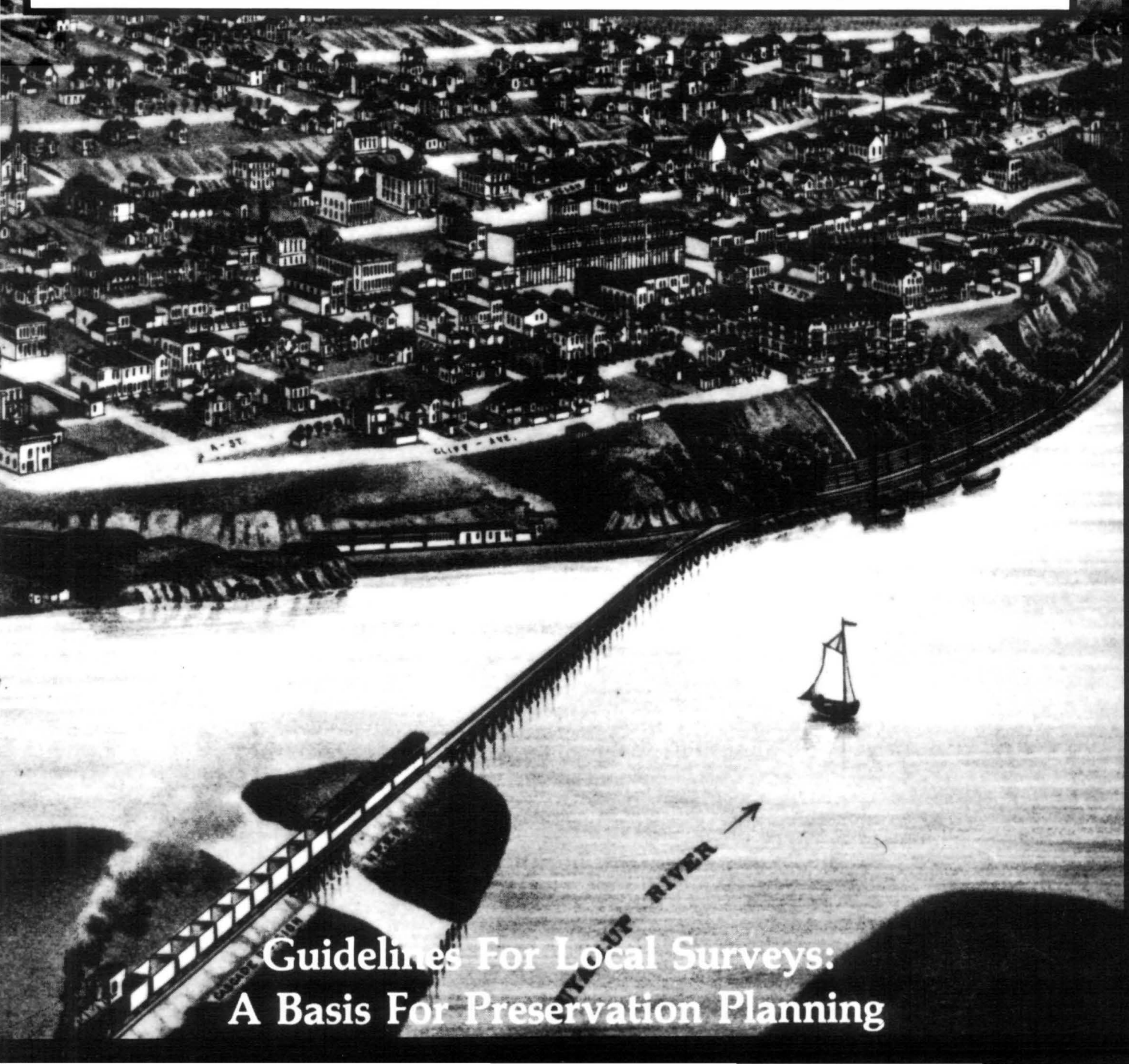
24

·NATIONAL REGISTER· BULLETIN

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

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



Guidelines For Local Surveys: A Basis For Preservation Planning

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Commercial block in South Royalton Historic District, Royalton, Vermont (Courtney Fisher)

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Survey data refers to the raw data produced by the survey; that is, all the information gathered on each property and area investigated.

An *inventory* is one of the basic products of a survey. An inventory is an organized compilation of information on those properties that are **evaluated** as significant.

Evaluation is the process of determining whether identified properties meet defined criteria of historical, architectural, archeological, or cultural significance. In other words, evaluation involves winnowing the survey data to produce an inventory.

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any prehistoric or historic district, site, building, structure, or object included in, or eligible for inclusion in the National Register (of Historic Places); such term includes artifacts, records, and remains which are related to such a district, site, building, structure, or object.

The National Register, in turn, defines a *historic property* as a district, site, building, structure, or object significant in American history, architecture, engineering, archeology, and culture. A historic property may be a row of stores having cast-iron fronts or Mount Vernon, a water tower or a city park, a railroad station, an ethnic neighborhood, or the archeological remains of a prehistoric Indian village. It may be of value to the Nation as a whole or important only to the community in which it is located.

Guidelines For Local Surveys: A Basis For Preservation Planning

National Register Bulletin 24

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H. Ward Jandl
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REVISED, 1985, by Patricia L. Parker

National Register of Historic Places
Interagency Resources Division
National Park Service
U.S. Department of the Interior
Washington, DC

Acknowledgments

Many professionals in the National Park Service made valuable contributions to the preparation of the original, 1977 issue of this publication. William G. Reeves, the late Carolyn Hamm, and Steven R. Ruttenbaum of the National Register and Thomas F. King of Interagency Archeological Services prepared drafts for certain sections of this publication, while Katherine H. Cole, Charles Herrington, and the late Wilford Cole provided helpful comments on the entire manuscript. Editorial assistance was provided by Sarah A. Fackelman. The National Trust for Historic Preservation, the U.S. Department of Housing and Urban Development, and many private consultants with considerable survey experience made a number of useful suggestions during the early stages of this project.

The 1977 issue was thoroughly revised and updated in 1985 by Patricia L. Parker. The National Alliance of Preservation Commissions, the National Conference of State Historic Preservation Officers, and staff of the Interagency Resources Division of the National Park Service provided helpful comments on the revised manuscript. Linda McClelland of the National Register provided editorial assistance in preparing the revised manuscript for publication.

We are grateful for the assistance of these people in the preparation of *Guidelines for Local Surveys.*

Anne Derry H. Ward Jandl Carol D. Shull
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Foreword

Over the last 80 years, Congress and the President have given the Department of the Interior major responsibilities in identifying, registering, and protecting the Nation's historic resources. With the National Historic Preservation Act of 1966, the Secretary of the Interior was called upon to expand and maintain a national register of historic places and to give maximum encouragement to State governments to develop statewide historic preservation programs of their own. The Act recognized that one of the prerequisites for an effective national preservation program was the identification of historic resources across the country through comprehensive statewide surveys. Through a grants-in-aid program established by the Act, limited funding was made available for survey work at both the State and local levels.

During the 1970s, stimulated by implementation of the National Historic Preservation Act and growing interest in their own historic resources, local governments across the Nation developed and expanded their historic preservation programs. When the National Historic Preservation Act was amended in 1980, Congress recognized this growing interest by mandating increased assistance to local governments whose preservation programs are certified by the State Historic Preservation Officer and the Secretary of the Interior as meeting high professional standards.

Historic resource surveys and their resulting inventories form an important basis for planning decisions that affect the quality of our community life. In order to plan for the preservation and enhancement of the historic environment, it is necessary to determine what properties make up that environment. It is thus no surprise that the effectiveness of the National Register of Historic Places as a planning tool depends upon the quality and comprehensiveness of survey activity.

Basic standards and guidelines for historic preservation surveys have been published by the Department of the Interior as part of the *Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation*. To provide further assistance to communities and local governments in the conduct of high quality surveys, the National Register has prepared *Guidelines for Local Surveys: A Basis for Preservation Planning*. This bulletin is intended to provide a wide range of information on identifying, registering, and protecting historic resources.

The original version of *Guidelines for Local Surveys* was published in 1977, and quickly became one of the National Park Service's most popular historic preservation publications. By 1984 the original version was out of print, and badly outdated as the result of changes in laws (notably the 1980 National Historic Preservation Act amendments), policies, regulations, the organization of the national historic preservation program, and the sophistication of many State and local preservation programs. Accordingly, the National Park Service undertook a comprehensive rewrite of the publication in 1985, to produce the present volume.

Contents

Introduction

How to use this publication

Guidelines for Local Surveys provides guidance to communities, organizations, Federal and State agencies, and individuals interested in undertaking surveys of historic resources. Although it contains information and recommendations with broad applicability, it is designed primarily for use by local government officials and those who undertake surveys of cities and other communities. Because these guidelines will be read by people of varied interests—local government administrators, community-based preservation organizations, civic groups, preservation professionals, planners, members of preservation commissions, developers, Federal and State agency officials, and other interested persons—information is included that is familiar to some and foreign to others. Some communities may be interested in doing a survey of only one neighborhood using volunteer labor, while other communities may be interested in planning and conducting a comprehensive survey of every building within their city limits using professional consultants.

This publication is divided into five chapters: planning the survey, conducting the survey, review and organization of survey data, use of survey data in planning, and publications. Because many of the activities within these areas are interrelated, some duplication of information is necessary. Many complex procedures, programs, and laws are referred to throughout the text; brief explanations of these are provided in the appendices. The index should aid those readers with specific ideas and questions in mind.

This edition of *Guidelines for Local Surveys* has been thoroughly updated and rewritten based on the original edition, published in 1977. It will be further updated periodically; therefore, comments and suggestions for future editions are welcome. They should be addressed to: Associate Director, Cultural Resources, and Keeper of the National Register of Historic Places, U.S. Department of the Interior, National Park Service, P.O. Box 37127, Washington, DC 20013-7127.

NATIONAL REGISTER RESOURCE CLASSIFICATIONS: DEFINITIONS

District: A district possesses a significant concentration, linkage, or continuity of sites, buildings, structures, or objects united historically or aesthetically by plan or physical development.

Site: A site is the location of a significant event, a prehistoric or historic occupation or activity, or a building or structure, whether standing, ruined, or vanished, where the location itself possesses historical, cultural, or archeological value regardless of the value of any existing structure.

Building: A building, such as a house, barn, church, hotel, or similar construction is created to shelter any form of human activity. *Building* may also be used to refer to a historically and functionally related unit, such as a courthouse and jail or a house and barn.

Structure: The term *structure* is used to distinguish from buildings those functional constructions made usually for purposes other than creating shelter.

Object: The term *object* is used to distinguish from buildings and structures those constructions that are primarily artistic in nature or are 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, such as statuary in a designed landscape.

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Why undertake a historic resource survey?

The underlying reason for undertaking a survey to identify a community's historic resources is the growing recognition, by citizens and governments at all levels, that such resources have value and should be retained as functional parts of modern life. The historic resources of a community or neighborhood give it its special character and cultural depth. Some historic resources contain information whose study can provide unique insights into a community's past, and help answer broad questions about history and prehistory. In more utilitarian terms, each historic building and structure represents an investment that should not be discarded lightly; maintaining and rehabilitating older buildings and neighborhoods can mean savings in energy, time, money, and raw materials.

To make effective use of historic resources, to respect their value and extend their lives, it is necessary to integrate historic preservation into community planning. This is the immediate reason for undertaking a local historic resources survey: **to gather the information needed to plan for the wise use of a community's resources.**

A historic resources survey can define the historic character of a community or a particular area and can provide the basis for making sound judgements in community planning. Survey data can be used to construct a *preservation plan* that helps the community identify the historic, cultural, aesthetic, and visual relationships that unify and define its component areas, and to establish policies, procedures, and strategies for maintaining and enhancing them. It can lead to an increased understanding and awareness of the human environment by officials and citizens within the community and an increased commitment to preserving it.

An official preservation plan, prepared and adopted by the community and its planning agency, should provide a basis for integrating survey information with other planning data; it should be an important part of comprehensive community planning. It can establish priorities for dealing with historic resources within the framework of existing local planning programs and present specific recommendations for meeting these priorities.

A preservation plan may present specific ways to maintain and enhance the positive character of an area, identify legal and financial tools—easements, tax incentives, historic preservation commissions, preservation ordinances, zoning and land use controls, and revolving funds—that aid in the conservation of historic resources, and present design standards for new construction and for the enhancement of environmental amenities. A preservation plan can also illustrate the effect of revitalizing historic resources and can discuss the application of standards for restoration and rehabilitation.

Older commercial buildings in downtown areas are particularly vulnerable to decay and demolition yet could be successfully rehabilitated. This downtown block, in Kansas City, Missouri, is listed in the National Register of Historic Places as part of the West Ninth Street/Baltimore Avenue Historic District. (Paul S. Kivett)

The conduct of historic resources surveys and the development of preservation plans can also facilitate cooperation among local, State, and Federal government agencies in both preservation and community development activities. Establishment of a preservation planning program can help a local government qualify to participate in Federal historic preservation grants-in-aid programs, upon certification by the State Historic Preservation Officer and the Secretary of the Interior. It can also serve as a basis for the Secretary of the Interior's certification of local statutes and historic districts, which can facilitate the use of Federal Investment Tax Credits to stimulate rehabilitation of historic buildings. It can help a local government carry out the historic preservation review responsibilities delegated to it by the U.S. Department of Housing and Urban Development in the administration of Community Development Block Grants and certain other grant programs, and it can simplify environmental review of Federal agency projects and assistance programs in the community. Finally, it can provide the basis for designing preservation projects that can receive funding assistance from the State Historic Preservation Officer, the Federal government, and other sources. Further information on relevant funding programs can be found in Appendix III.

SECRETARY OF THE INTERIOR'S STANDARDS FOR PRESERVATION PLANNING, IDENTIFICATION, EVALUATION, AND REGISTRATION

Standards for Preservation Planning:

- Standard I. Preservation planning establishes historic contexts.
- Standard II. Preservation planning uses historic contexts to develop goals and priorities for the identification, evaluation, registration, and treatment of historic properties.
- Standard III. The results of preservation planning are made available for integration into broader planning processes.

Standards for Identification:

- Standard I. Identification of historic properties is undertaken to the degree required to make decisions.
- Standard II. Results of identification activities are integrated into the preservation planning process.
- Standard III. Identification activities include explicit procedures for record-keeping and information distribution.

Standards for Evaluation:

- Standard I. Evaluation of the significance of historic properties uses established criteria.
- Standard II. Evaluation of significance applies the criteria within historic contexts.
- Standard III. Evaluation results in a list or inventory of significant properties that is consulted in assigning registration and treatment priorities.
- Standard IV. Evaluation results are made available to the public.

Standards for Registration:

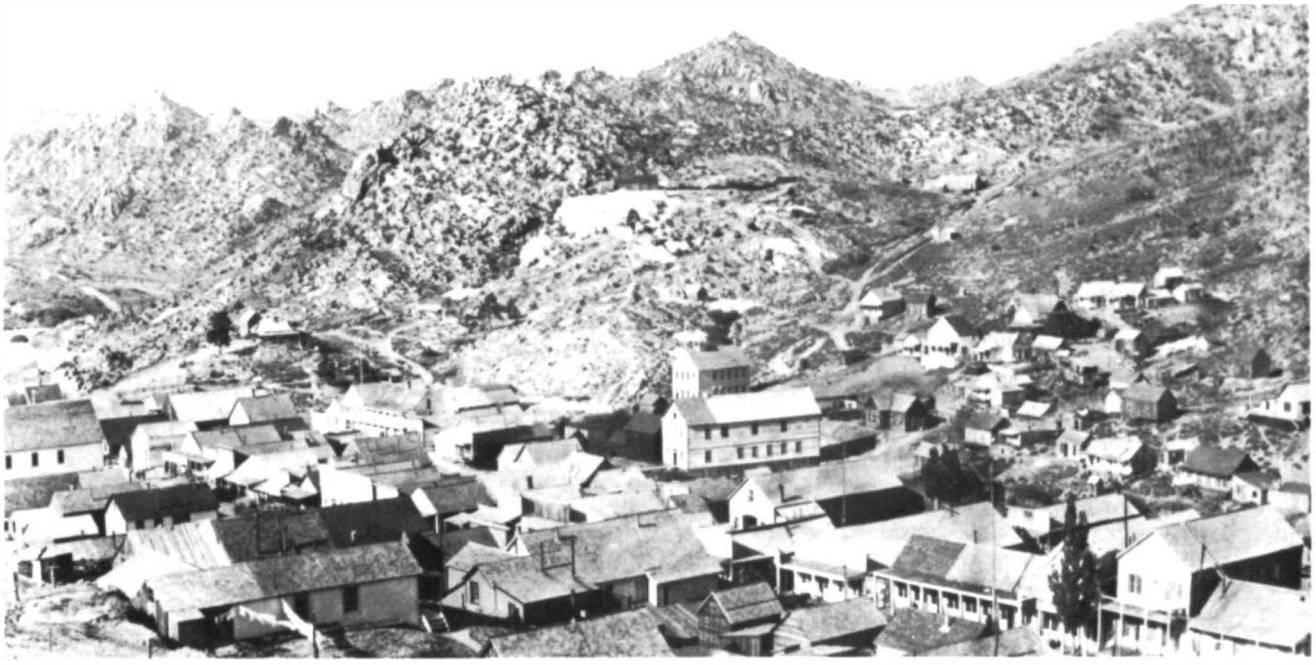
- Standard I. Registration is conducted according to stated procedures.
- Standard II. Registration information locates, describes, and justifies the significance and physical integrity of a historic property.
- Standard III. Registration information is accessible to the public.

What should you know about the National Register before undertaking a survey?

The National Register, authorized under the 1935 Historic Sites Act and expanded under the National Historic Preservation Act of 1966, was designed to be an authoritative guide to be used by Federal, State, and local governments, private groups, and citizens in identifying the Nation's historic resources of local, State, and national significance and to indicate what properties are worthy of preservation and consideration in the planning process. The National Register is maintained by the National Park Service, U.S. Department of the Interior, located in Washington, DC.

The primary way that properties are listed in the National Register is through nominations by the State Historic Preservation Officers. Potential entries to the National Register are reviewed against established criteria for evaluation which are worded in a flexible manner to provide for the diversity of resources across the country. These criteria are listed below.

The National Register has become an important component of many State and local historic preservation programs. Criteria for designating local landmarks and local historic districts, which by local ordinance may qualify properties for special tax rates or trigger special review when changes to the property are proposed, are often modelled after the National Register criteria. National Register listing often follows and reinforces State and local designations, extending the concern for preservation and protection to the Federal level. The Register is also central to a number of Federal programs that encourage protection and improvement of the manmade environment, which are discussed in Appendices II and III.



Historic districts take many forms. This rural district, encompassing Silver City, Idaho, and its environs, was surveyed by the Bureau of Land Management and is listed in the National Register of Historic Places. (Idaho Historical Society)

Federal agencies, and communities using Community Development Block Grants and other forms of Federal assistance, are required to consider the effects of their projects, and projects they license or assist, on properties included in or eligible for the National Register. They must also give the Advisory Council on Historic Preservation a reasonable opportunity to comment on such projects. For further information see Appendix II and the Advisory Council on Historic Preservation's publication, *Working with 106.*

Inclusion of a property in the National Register makes it eligible to be considered for grants-in-aid from the Historic Preservation Fund. When available, these grants may be used to acquire a property or to develop it in a way that preserves its historic and architectural character. The State Historic Preservation Officer can provide advice on the availability of Historic Preservation Fund grants.

Federal tax law provides incentives for the preservation of properties listed in the National Register or included within registered historic districts. Investment Tax Credits are provided for the rehabilitation of National Register properties qualifying as *certified historic structures* when rehabilitation work is certified by the National Park Service as meeting the *Secretary of the Interior's Standards for Rehabilitation.* Tax deductions are permitted for the charitable contribution of easements on historic properties to qualified organizations. Tax incentives are discussed further in Chapter V, and current information on Federal tax incentives can be obtained from the State Historic Preservation Officer or the regional office of the National Park Service.

When a property listed in or eligible for inclusion in the National Register must be destroyed or damaged by an undertaking involving a Federal agency, funds authorized by the Archeological and Historic Preservation Act of 1974 (Public Law 93-291) may be used to recover any important historical or archeological data the property contains.

THE CRITERIA OF THE NATIONAL REGISTER OF HISTORIC PLACES

The following criteria are designed to guide the States, Federal agencies, and the Secretary of the Interior in evaluating potential entries (other than areas of the National Park System and National Historic Landmarks) for the National Register:

The quality of significance in American history, architecture, archeology, engineering, and culture is present in districts, sites, buildings, structures, and objects that possess integrity of location, design, setting, materials, workmanship, feeling, and association, and:

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

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

C. that embody the distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or

that represent a significant and distinguishable entity whose components may lack individual distinction; or

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

Ordinarily 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 past 50 years shall not be considered eligible for the National Register. However, such properties will qualify if they are integral parts of districts that do meet the criteria or if they fall within the following categories:

A. a religious property deriving primary significance from architectural or artistic distinction or historical importance; or

B. a building or structure removed from its original location but which is significant primarily for architectural value, or which is the surviving structure most importantly associated with a historic person or event; or

C. a birthplace or grave of a historical figure of outstanding importance if there is no other appropriate site or building directly associated with his or her productive life; or

D. a cemetery that derives its primary significance from graves of persons of transcendent importance, from age, from distinctive design features, or from association with historic events; or

E. a reconstructed building when accurately executed in a suitable environment and presented in a dignified manner as part of a restoration master plan, and when no other building or structure with the same association has survived; or

F. a property primarily commemorative in intent if design, age, tradition, or symbolic value has invested it with its own historical significance; or

G. a property achieving significance within the past 50 years if it is of exceptional importance.

For further information on the National Register criteria and how to interpret them, contact the National Register office of the National Park Service.

Who is the State Historic Preservation Officer (SHPO)? What assistance can the SHPO provide?

State Historic Preservation Officers, appointed by the governors of the States, the chief executives of the territories, and the Mayor of the District of Columbia, carry out the historic preservation programs of their jurisdictions and are given the following responsibilities by the National Historic Preservation Act and other Federal authorities:

1. Carrying out a comprehensive statewide survey of historic properties and maintaining inventories of such properties.

2. Nominating properties to the National Register.

3. Preparing and implementing a statewide historic preservation planning process.

4. Administering Historic Preservation Fund grants.

5. Advising and assisting Federal and State agencies and local governments in historic preservation matters.

6. Working with the Department of the Interior, the Advisory Council on Historic Preservation, and others to ensure that historic properties are taken into account in planning.

7. Providing public information, education, and training in historic preservation.

8. Cooperating with local governments in developing preservation programs, and assisting them in becoming certified to manage Historic Preservation Fund grants and otherwise participate actively in the national program.

9. Reviewing requests for historic preservation certification and making recommendations to the National Park Service, as part of the Federal tax incentives program.

The *Comprehensive Statewide Historic Preservation Plan*, which is prepared and implemented by the State Historic Preservation Officer, is a dynamic planning process that entails organizing into a logical sequence information pertaining to the identification, evaluation, registration, and treatment of historic properties. It also sets priorities for accomplishing preservation activities within the State. Generally the plan takes the format of a series of established historic contexts that correspond to important aspects of the State's prehistory and history and characterize its significant historic resources. A *historic context* is, by definition, an *organizational framework that groups information about related historic properties based on a theme, geographical area, and period of time.* A knowledge of statewide historic contexts may help to identify themes of local as well as State importance and may strengthen the basis for evaluating the significance of properties identified during survey. In turn, survey results may help to augment, refine, and revise historic contexts and preservation priorities established at the State level.

The State Historic Preservation Officer can assist communities and Federal agencies undertaking historic resources surveys by:

1. Providing guidelines, standards, forms, and approaches to survey used in conducting historic resources surveys on a statewide basis.

2. Advising about approaches used by other communities and agencies, and providing contacts with those responsible for survey and planning activities elsewhere.

3. Providing documentation on what historic resources have already been identified by the State or others.

4. Advising in the development of high-quality local surveys.

5. Helping coordinate local surveys with Federally sponsored surveys and the State survey conducted by the SHPO.

6. Helping establish systems for survey data maintenance that will be most effective in meeting the community's needs and most compatible with regional, statewide, and national data management systems.

7. Nominating properties to the National Register.

8. Passing through funds for survey where a local government's historic preservation program has been certified to participate in the national preservation program.

9. Allocating National Park Service matching grants-in-aid for survey work.

10. Providing information on other sources of funding and assistance for preservation.

What is a *certified* local government preservation program and how can a survey contribute to certification?

The National Historic Preservation Act provides for the *certification* or approval of local historic preservation programs by the SHPO and the Secretary of the Interior. Certification of a program operated by a local government makes the program eligible for grants-in-aid from the Historic Preservation Fund administered by the Secretary, passed through the SHPO. Certification also makes it possible for a local program to exercise greater autonomy in the nomination of properties to the National Register and in other aspects of the national historic preservation program. Regulations covering the certification of local government programs can be found in 36 CFR Part 61.

To be certified, a local government program must enforce appropriate State and local preservation legislation, establish and maintain a qualified historic preservation review commission, provide for adequate public participation in its activities, perform other functions delegated to it by the SHPO under the National Historic Preservation Act, and maintain a system for the survey and inventory of historic properties, consistent with guidelines provided by the SHPO. Thus the conduct of a survey is a necessary basis for the SHPO's and the Secretary's certification of a community's preservation program for participation in activities under the National Historic Preservation Act.

The certification of local governments under the National Historic Preservation Act has made it possible for historic preservation programs operated by local governments, as in Florence, Arizona, to exercise greater autonomy in nominating properties to the National Register of Historic Places and in other preservation activities, such as survey and inventory, and comprehensive planning. (Harris Sobin)

What is the value of a historic resources survey and inventory?

To summarize, historic resources surveys and the resulting survey data and inventories can be used to:

1. Identify properties that contribute to the community's character, or that of its neighborhoods, or that illustrate its historical and architectural development, and as a result deserve consideration in planning.

2. Identify properties or areas whose study may provide information about the community's past, and contribute to scholarship, which should be preserved or subjected to scientific investigation.

3. Establish priorities for conservation, restoration and rehabilitation efforts within the community.

4. Provide the basis for using legal and financial tools to protect and enhance historic resources.

5. Provide planners with a data base from which to monitor and channel new development.

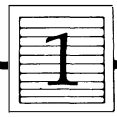
6. Increase awareness in the public and private sectors of the manmade environment and the need for preservation efforts.

7. Enable local governments and Federal agencies to meet their planning and review responsibilities under existing Federal legislation and procedures.

Who should sponsor a survey?

In order to have the greatest impact on planning decisions within a community, surveys of historic resources should have the official endorsement of the local government, although historical societies, professional groups, and interested individuals can help compile documentation, undertake research, and participate in fieldwork. It is important that, in addition to official endorsement, an ongoing process for collecting and evaluating survey data be officially incorporated into the community's planning activities to ensure the availability of current data for community development and planning agencies, local, State, and Federal agencies, public service organizations, developers, and others. Once a process for gathering data has been organized, a community will be able to respond expeditiously to requests for information about a particular building or an entire neighborhood. It is important that surveys be coordinated with the State Historic Preservation Officer from the earliest stages of planning.

A community historic preservation office and commission established as part of local government can help to protect the resources identified through survey activities and to evaluate proposed development that may adversely affect the community's special character. A historic preservation planner in an existing planning commission or office may provide further assistance in carrying out these functions. Other techniques for protecting the community's historic resources are discussed in Appendix III.



Planning the Survey

An effective survey must be carefully planned, taking into account the community's planning needs, its legal obligations, the interests of its citizens, available funding, and the nature of its historic resources.

This chapter describes some of the basic considerations involved in planning a survey. It first addresses several general questions that those responsible for planning and funding surveys often ask. It goes on to discuss approaches to planning a survey and a community's preservation program in general, and then turns to practical questions of how to mobilize community resources to support a survey, how to obtain professional expertise, and how to obtain funding.

Initial Questions

What kinds of resources should the survey seek?

As defined by the National Park Service, historic resources fall into the five broad categories—building, site, structure, object, and district—discussed on page 1. The following list, although not comprehensive, indicates the range of resources that fit into these categories and that communities may wish to survey. A number of the resources under the categories below may be considered in a district context.

Building (including groups of buildings)

- Notable examples of architectural styles and periods or methods of construction, particularly local or regional types.
- Buildings showing the history and development of such diverse areas as communications, community planning, government, conservation, economics, education, literature, music, and landscape architecture.
- Stores and businesses and other buildings that provide a physical record of the experience of particular ethnic or social groups.
- Complexes of buildings, such as factory complexes, that comprise a functionally and historically interrelated whole.
- Markets and commercial structures or blocks.
- Buildings by great architects or master builders and important works by minor ones.
- Architectural curiosities, one-of-a-kind buildings.
- Sole or rare survivors of an important architectural style or type.
- Studios of American artists, writers, or musicians during years of significant activity.
- Institutions that provide evidence of the cultural history of a community (churches, universities, art centers, theaters, and entertainment halls).
- Buildings where significant technological advances or inventories in any field occurred (agricultural experiment stations, laboratories, etc.).

Site

- Archeological sites containing information of known or potential value in answering scientific research questions.
- Archeological sites containing information that may shed light on local, State, or national history.
- Sites of cultural importance to local people or social or ethnic groups, such as locations of important events in their history, historic or prehistoric cemeteries, or shrines.

A complete survey must include archeological sites important in prehistory or history. Indian Grinding Rock, Amador County, California. (Louis A. Payen)

- Sites associated with events important in the history of the community as a whole (battlefields, trails, etc.).
- Cemeteries associated with important events or people, or whose study can provide important information about history or prehistory.
- Ruins of historically or archeologically important buildings or structures.
- Historically important shipwrecks.
- Cemeteries important for the architectural or artistic qualities of their constituent structures and monuments.
- Constructed landscapes that exemplify principles, trends, or schools of thought in landscape architecture, or that represent fine examples of the landscape architect's art.

Structure

- Industrial and engineering structures, including kilns, aquaducts, weirs, utility or pumping stations, and dams.
- Transportation structures, including railroads, turnpikes, canals, tunnels, bridges, roundhouses, lighthouses, and wharves.
- Agricultural structures such as granaries, silos, corncribs, and apiaries.
- Movable structures associated with important processes of transportation, industrial development, social history, recreation, and military history (ships, locomotives, carousels, airplanes, artillery pieces, etc.).

Object

- Objects important to historical or art historical research (petroglyph boulders, bedrock mortars, statuary, rock carvings, etc.).

Landscape features, both open spaces and those designed, that are important in defining the character of an area should be documented in the survey. St. James-Belgravia Historic District, Louisville, Kentucky. (Jefferson County Archives)

• Objects important to the cultural life of a community and related to a specific location (totem poles, fountains, outdoor sculpture, road markers, mileposts, monuments, etc.).

District

• Groups of buildings that physically and spatially comprise a specific environment: groups of related buildings that represent the standards and tastes of a community or neighborhood during one period of history, unrelated structures that represent a progression of various styles and functions, or cohesive townscapes or streetscapes that possess an identity of place.

• Groups of buildings, structures, objects, and/or sites representative of or associated with a particular social, ethnic, or economic group during a particular period.

• Farmlands and related farm structures (silos, barns, granaries, irrigation canals) that possess an identity of time and place.

• Groups of structures and buildings that show the industrial or technological developments of the community, State, or Nation.

• Groups of buildings representing historical development patterns (commercial and trade centers, county seats, mill towns).

• Groups of sites, structures, and/or buildings containing archeological data and probably representing an historic or prehistoric settlement system or pattern of related activities.

• Groups of educational buildings and their associated spaces (school and university campuses, etc.).

• Extensive constructed landscapes, such as large parks, that represent the work of a master landscape architect or the concepts and directions of a school of landscape architecture.

• Landscapes that have been shaped by historical processes of land use and retain visual and cultural characteristics indicative of such processes.

Although the spatial relationships between component elements is usually important in the definition of a district, the elements of a district do not necessarily have to be contiguous. For example, a number of archeological sites in a stream valley, representing the settlement system of a prehistoric group, may be widely scattered and separated from one another by highways, housing tracts, and other modern developments, but still constitute a unified whole that can be categorized as a district. In a similar way, a series of canals and related structures and buildings, separated from one another by the natural bodies of water they connect, may nevertheless constitute an integrated transportation system that is best viewed as a district.

Engineering structures associated with transportation lines, whether currently used or not, should be included in the survey. The Copper River and Northwestern Railway, Chitina vicinity, Alaska, was constructed to gain access to the interior copper country and thus, is closely associated with a major economic activity in this area. The National Register of Historic Places listing includes 25 miles of railroad bed, sections of track, trestles, and associated buildings. (Alaska Division of Parks)

What kinds of information should be gathered?

The precise kinds of information that should be collected by a survey will depend on its purpose and the scale at which it is conducted, as discussed below. Survey planners should also consult with the State Historic Preservation Officer in determining what kinds of information to collect, and the methods and approaches to use in collecting it. To ensure effective incorporation of the survey data into the State and Federal planning processes, survey planners should strive for consistency with the standards and guidelines provided by the State Historic Preservation Officer, and should relate their research to historic contexts established in the State historic preservation planning process where these are applicable. Many State Historic Preservation Officers can provide detailed guidance and standard forms for the conduct of surveys and the recording of different kinds of resources.

If the survey is intended to result in nominations to the National Register, appropriate National Park Service guidelines should be consulted. The publication, National Register Bulletin No. 16, *Guidelines for Completing National Register Forms*, is the standard reference on National Register documentation requirements. Others in the National Register Bulletin series provide supplementary information on such topics as how to establish property boundaries, how to evaluate relatively modern properties, and how to improve the quality of property photographs.

What different kinds of surveys are commonly used?

Both the *Secretary of the Interior's Guidelines for Identification* and common practice distinguish between two general levels of survey: *reconnaissance* and *intensive* survey. Both kinds of survey involve background documentary research into the community's history, archeology and architecture, as well as field work, but they are different in terms of the level of effort involved.

Reconnaissance may be thought of as a "once over lightly" inspection of an area, most useful for characterizing its resources in general and for developing a basis for deciding how to organize and orient more detailed survey efforts. In conjunction with a general review of pertinent literature on the community's past, a reconnaissance may involve such activities as:

- A "windshield survey" of the community—literally driving around the community and noting the general distribution of buildings, structures, and neighborhoods representing different architectural styles, periods, and modes of construction.
- a "walkover" archeological inspection, perhaps coupled with small-scale test excavations, to get a general idea of the archeological potential of portions of the community.
- a study of aerial photographs, historical and recent maps and city plans, soil surveys, and other sources of information that help gain a general understanding of the community's layout and environment at different times in its history.
- detailed inspection of sample blocks or areas, as the basis for extrapolation about the resources of the community as a whole.

An *intensive* survey, as the name implies, is a close and careful look at the area being surveyed. It is designed to identify precisely and completely all historic resources in the area. It generally involves detailed background research, and a thorough inspection and documentation of all historic properties in the field. It should produce all the information needed to evaluate historic properties and prepare an inventory.

The *Secreretary of the Interior's Standards and Guidelines for Identification* provide outlines of the information that should be documented as the result of reconnaissance and intensive surveys. Where such surveys are supported by grants-in-aid funds from the Department of the Interior, such information must be recorded as a condition of the grant, and such documentation is basic to professional practice in the conduct of any survey, regardless of its source of funding.

Reconnaissance and intensive survey are often conducted in sequence, with reconnaissance being used in planning intensive survey. They are also sometimes

Prehistoric archeological sites may be preserved beneath a modern city's streets and houses, particularly if the houses were built on slabs or shallow foundations and the soil was not greatly disturbed. Here in suburban Phoenix, Arizona, the remains of pithouses occupied by the prehistoric Hohokam Indians are being excavated in the path of a new highway right-of-way. (Arizona State University and Arizona Department of Transportation)

combined, with intensive survey directed at locations where background research indicates a likely high concentration of historic resources and reconnaissance directed at areas where fewer resources can be expected. They can also be combined with reference to different resource types: for example, in a given area it may be appropriate to conduct an intensive survey of buildings and structures but only a reconnaissance with reference to archeological sites, while in another area archeological sites may require intensive survey while buildings need only a "once over lightly" examination.

How large an area should be included in a survey?

City or county limits define the survey area for many communities. In other cases, decisions about what part of the community to survey may be based on community development project areas or on other areas with recognized development potential. The historic contexts relevant to the survey effort may also affect the size of the areas to be included. For example, if the history of ethnic minorities in the community is an important historic context addressed in the survey effort, neighborhoods known or thought to have been occupied by such minority groups in the past, or occupied by them today, should obviously be included in the survey. Public interest and support may also dictate the inclusion of particular neighborhoods in the survey. Members of the community knowledgeable about local history or archeology may be able to suggest areas of potential historic or archeological significance that should be considered for inclusion in the survey.

In planning a survey, background research should be conducted on the community to get an overview of its development. It also is advisable, as a preliminary step, to conduct at least a cursory reconnaissance of the community to identify potential significant areas or specific properties that might be the target of intensive survey efforts. Where this is done, provision should be made for adding properties and areas identified through documentary research and subsequent field survey, since historically significant places are not always obvious visually. In cases where the entire community is to be surveyed, it may be advisable to undertake these assessments in stages. Decisions about what areas to survey first may be based on time, money, or pending projects which may affect resources within a particular area.

How long should a survey take?

In planning a survey, a timetable should be worked out to establish deadlines for each stage of the project. The timetable should reflect not only community development planning needs but also the nature and scope of the survey project itself. In addition to deadlines, it should establish periodic evaluation sessions to review data gathered and overall progress to date. These sessions could provide the basis for ongoing publicity.

The length of time in which the survey project can be successfully completed depends on the size and complexity of the area(s) to be covered, the number of surveyors and researchers, and the amount of information to be gathered. Some localities have found it effective to approach the survey on an area-by-area basis, completing an inventory of one area before moving on to the next. This method has the advantage of letting the community build on past experience in each successive survey and of allowing for feedback on the usefulness of the material gathered in the planning process. It has the disadvantage of providing no data on substantial portions of the community until late in the overall survey process. A phased survey, in which background research and reconnaissance of most or all of the community is conducted first, followed by intensive survey where needed, is an

SURVEY DOCUMENTATION

The *Secretary of the Interior's Standards and Guidelines for Identification* specify the kinds of information that should be collected as a result of field survey:

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 survey area;
5. Specific properties that were identified, and the categories of information collected; and
6. Places examined that did not contain historic 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.

alternative to area-by-area survey. A combination of approaches, as noted above, may also fit a particular community's planning needs. Decisions about what kind of survey to conduct, and how it may be phased, naturally define how long the survey will take.

Communities planning to hire professional consultants to conduct the survey should include a rough timetable as part of the general work prospectus that they present to potential consultants (see section on selecting a professional consultant). A detailed timetable or work schedule can then be developed in conjunction with the consultant hired. Deadlines scheduled well before those called for by procedural or other obligations will ensure timely completion of the project. It may be appropriate to establish separate timetables for the conduct of background research, reconnaissance, and intensive surveys, for the organization of survey data, for evaluation, for publication, and for development of preservation plans.

Elements of Survey Planning

How is the purpose of the survey established?

It is fair to say that any historic resources survey of a community has as one of its main purposes, if not its sole purpose, the development of a complete, fully documented, comprehensive inventory of the community's historic properties. It is important to recognize, however, that *a survey need not be complete and comprehensive in order to be useful.*

- If background knowledge of a community's history suggests that particularly important historic properties may be concentrated in particular areas, it may be cost-effective to survey such areas first, giving lower priority to areas where historic properties are less likely to be found, or may be found in lower densities.

- Conversely, if not much is known about a community's historic resources, it may be appropriate to concentrate initially on background research and broad-scale *reconnaissance* (as defined on p. 12) to obtain an initial idea of the community's resource base before designing more intensive surveys.

- If a particular part of the community may be subject to substantial development in the near future, or is the target for use of Federal assistance, triggering the need for historic preservation review, it may be appropriate to concentrate survey in that part of the community before other areas are addressed.

- If there is a considerable potential for rehabilitation of historic commercial buildings in the community, stimulated by the availability of tax advantages at the Federal or State level, it may be appropriate to give the identification of commercial buildings priority over the identification of other types of historic properties.

- If the residents of a particular neighborhood, or property owners in a particular commercial area of the community, have expressed interest in maintaining and enhancing their historic properties, it may be a prudent investment to give survey in such area priority over survey in areas where there is less immediate potential for use of the resulting survey data.

In short, a survey can be done at many different scales, with many different emphases, and using many different techniques at different levels of refinement. The kind of survey undertaken depends on the needs of the community.

What are *historic contexts?*

Together with the community's planning and development priorities, and its available personnel and financial resources, historic contexts are the most influential factors in defining the structure of a survey effort. A ***historic context*** is a broad pattern of historical development in a community or its region, that may be represented by historic resources.

For example, if a community began as a port village in the early 18th century, its functions as such may be reflected in its street plan, in the character of some neighborhoods, in some particular buildings or groups of buildings, or in archeological remains buried beneath more recent development. The operation of the early 18th century port is thus one historic context that influences the nature and distribution of the community's resources, and should influence survey efforts designed to find and document such resources. If the community underwent a commercial boom in the 1890s, was burned during the Civil War, received immigrant ethnic groups in the early 20th century, received the attention of a particular school of architecture, or was the probable location of a prehistoric American Indian village, each of these historic contexts should be considered in planning the survey.

The importance of taking historic contexts into account cannot be overemphasized. Failure to do so can

lead to the application of survey methods that are not cost-effective, that fail to identify significant resources, or that contain uncontrolled biases.

The establishment of historic contexts is vital to targeting survey work effectively, and to the effective use of personnel. For example, if representatives of an important school of architecture designed a number of buildings in the community's central business district, knowledge of this historic context will lead survey planners to focus the attention of qualified architectural historians on this section of the community, while if prehistoric Indians in the area typically established their villages at the confluence of streams, knowledge of this historic context may lead surveyors to use information on old stream patterns within the community to identify locations for archeological survey and testing.

Historic contexts are developed on the basis of background data on the community's history and prehistory, or on such data from the surrounding area. To mobilize such data, survey planners should conduct initial research into the community's history and the history and prehistory of the region in which it lies, and should consult knowledgeable authorities. Local historical organizations and academic history departments, professional and avocational archeologists and archeological organizations, professional architects and landscape architects, and local chapters of the American Institute of Architects are all likely sources of useful advice. The State Historic Preservation Officer can often suggest knowledgeable local sources, as well as provide information on what surveys have already been done in the area and suggest possible topics of inquiry. Generally, establishing historic contexts involves reviewing the known history and prehistory of the State and region in which the community lies, seeking to define important patterns in the development of the area through time that may be represented by historic properties.

Historic contexts may be unique to a community, but often are reflected in, or related to, the surrounding region or to other communities. For this reason, it is important to coordinate the development of a community's historic contexts with the State Historic Preservation Officer's statewide planning efforts. Most statewide preservation plans developed by State Historic Preservation Officers establish at least broad, general historic contexts which may be directly or indirectly applicable at the local level. Furthermore, the State Historic Preservation Officer is likely to be aware of historic contexts developed through the planning efforts of other communities and Federal and State agencies.

Historic contexts are almost always refined, modified, added to, and elaborated on as the survey itself proceeds. At the point of planning the survey, it may be feasible to define them only in broad, general terms; sufficient flexibility should always be maintained to allow changes to take place as the survey progresses. An initial statement of historic contexts should be developed during the earliest stages of planning to guide development of the actual survey design.

Comprehensive community surveys should not be limited to architecturally significant buildings; but should include all tangible links with the past. These stockyards played an important role in the history and the development of Fort Worth, Texas, and are included in a National Register historic district. (Steve Smith, Texas Historical Commission)

How are survey goals and priorities established?

Ideally, survey goals should be based on historic contexts. For example, suppose that a community (a) was the probable location of a prehistoric Indian village near the confluence of two streams; (b) was a port during the 18th century; (c) experienced substantial commercial development in the late 19th century, during which many buildings designed by practicioners of an important school of architecture were constructed in the central business district; and (d) experienced growth in the early 20th century as Italian, German, Hispanic, and rural Black immigrants established row house neighborhoods ringing the center city. Goals for a first-stage, reconnaissance-level survey effort might be (a) to determine whether soil strata that might contain the archeological remains of the Indian village still exist under the modern streets and houses that overlie the old stream confluence; (b) to determine the boundaries of the 18th century port, identify major buildings still standing from the period, identify buildings requiring further study to determine whether they represent repeatedly modernized 18th century buildings, and determine locations of likely archeological interest; (c) to identify major surviving concentrations of 19th century commercial buildings; and (d) to identify ethnic neighborhoods that retain their architectural and cultural integrity.

The means to achieving these goals can then be assigned priorities based on such factors as work already conducted, available funding, planning and development constraints, and survey opportunities.

If some data are available on a given historic context as the result of prior work, it may be appropriate to assign relatively low priority to investigating that context, emphasizing instead those that are less well known; alternatively, the existence of information on a particular historic context may be taken as an opportunity to be built upon, thus giving investigation of that context higher priority.

Historical research and archeological testing to identify the boundaries of the 18th century port might be more expensive than a program of interviews and windshield survey to locate ethnic neighborhoods, for example, so the former might be assigned a lower priority than the latter, or divided into phases that could be implemented over time to reduce expense.

Planning needs are often the major bases for setting priorities. For example, if our hypothetical community's business people are interested in taking advantage of tax incentives to rehabilitate commercial buildings, it may be appropriate to facilitate this effort by giving high priority to the goal of documenting the community's downtown commercial districts in sufficient details to prepare complete National Register nominations. If the Army Corps of Engineers is planning a project to channelize streams flowing through the community, this may create both the need to give high priority to identifying the remains of the Indian village and the opportunity to use Federal assistance from the Corps of Engineers to do so. If a city government intends to target a particular area for rehabilitation of older buildings using Community Development Block Grant funds, this may justify giving priority to survey of the target area to identify historic properties that should be protected from inappropriate construction activities.

Finally, opportunities provide a basis for setting priorities. If a local university is interested in establishing a field school in historic archeology, the opportunity may exist to use the university's efforts to study the 18th century port area. If a neighborhood group is interested in documenting its social history in the community, this may present an opportunity to mobilize neighborhood support for the survey effort and suggest that the interested neighborhood should be assigned high priority.

It should be recognized that, as the survey progresses, it will almost certainly be necessary to adjust goals and priorities. The survey will probably identify new historic contexts and refine others. New opportunities and constraints will arise. Work will be completed sufficiently with respect to some goals to allow attention to shift to others. Finally, it may be necessary to correct distortions created by the pursuit of previous priorities. After a few years of response to the needs generated by tax incentives for commercial rehabilitation, for example, a community may have exhaustive documentation on its commercial districts but very little data on its residential neighborhoods, public buildings, or archeological resources. It may then be appropriate to adjust the survey to give higher priority to areas and resources earlier given short shrift.

How should the storage and use of survey data be considered during survey planning?

Chapter III discusses the review and organization of survey data, and should be considered during survey planning. It is important to consider how survey data will be stored, organized, and used before the survey itself begins, because many decisions about how to record information will depend on how the data are to be used and in what form they will be maintained. For example, if an important reason for the survey is to provide information to the city planning office, which maintains its data base on computer, it is im-

portant that the survey data be collected in a form that is compatible with that computer's operating system. Similarly, if there is a historic preservation ordinance calling for the review of proposed changes to historic properties, survey data should be stored in a form and location that are accessible and useful to the local historic preservation commission. At the same time, particulary if the survey is being supported by the State Historic Preservation Officer as part of the statewide comprehensive survey, it is important that the data be collected in a form that can be easily put into the SHPO's data base, and if nominations to the National Register are being considered, the community will want to design its forms and records to ensure that collected data are compatible with National Register categories and documentation requirements. As another example, if the community feels that developing an extensive, high-quality photo archive of its significant architecture is an important goal, this will influence decisions about the kinds of cameras to provide to each survey team, the kind of training to provide, and the amount and kinds of film to budget for.

This aspect of planning will involve consulting with those who are likely to be important users of the survey data to determine the form of information that will be most useful and accessible. Recording forms, systems for translating raw survey data into computer-compatible formats, and archiving systems should then be designed with these considerations in mind, and surveyors should be trained in their use.

How can a community involve the public in planning a survey?

The success of planning a community survey, as well as conducting it and using the results, will depend on a broad base of local interest and involvement. Vital support for the survey, and for historic preservation in general, can be generated if a carefully planned campaign is mounted to involve the public and obtain their participation. Such a campaign can also identify valuable local sources of information and special expertise. Public involvement should begin at the earliest stages of survey planning.

Means of stimulating interest might include neighborhood meetings; displays at libraries, public schools, and museums; walking tours; lectures and discussions by preservation specialists; and newspaper articles about the survey, about preservation activities in other communities or about the history, archeology, or architecture of the community. Local newspapers may also be used to solicit historical data, reminiscences, old photographs, and other information. Community newspapers could, for example, carry a tear-out survey form to encourage readers to submit information on properties and on sources of unpublished documentary material with which they are familiar.

Special efforts should be made to involve those in the community with particular interests in historic properties or community development. Local historical organizations, neighborhood groups, and archeological societies should be contacted. Historians, architects, landscape architects, archeologists, folklorists, sociologists, and anthropologists should be sought out. Interviews with such organizations and individuals should seek to identify ways the survey can serve their interests, and how their expertise can contribute to the survey effort.

Potential users of survey information, including community planners, historic preservation commissions, business leaders, tourism offices, libraries, schools, and the Chamber of Commerce should be informed of the survey effort and asked how the survey can be designed to be of greatest value to them.

Where the survey will take place in neighborhoods whose residents do not speak English as their first language, or where social customs are not those of mainstream Anglo-American society, efforts to involve the public should be carried out in the language of the neighborhood's residents as much as possible, and should be sensitive to their cultural values and systems of communication. In some societies, for example, it is very disrespectful for young people to talk about history in the presence of their elders; in such a context, an open public meeting to seek information on the community's history may not only be ineffective, but may endanger the support that prominent older members of the community would otherwise have for the survey. Neighborhood leaders should be consulted to design public involvement efforts that are consistent with local values and expectations. If professionals knowledgeable about the neighborhoods in which surveys will take place—for example, sociologists, anthropologists, and social workers—are available, they also should be consulted during early survey planning.

Community enthusiasm for the survey project can generate volunteer support and assistance for various aspects of the survey, such as historical research and field survey work. Survey planning should be coordinated with local historical commissions and societies, civic groups, archeological societies, and other professional organizations. These organizations are usually knowledgeable about their community's historic resources and often can provide useful

documentation as well as volunteer assistance in conducting the survey. The following community groups are also potential sources of volunteers for the survey: Chamber of Commerce, Jaycees, Junior League, fraternal organizations (Rotarians, Elks, Kiwanis, etc.), youth organizations (YMCA, YWCA, high school clubs, service organizations, etc.), men's and women's clubs, universities and colleges, and religious groups.

Before initiating fieldwork, it is important that the public be given adequate notice of the appearance of surveyors in their neighborhoods and be informed of the kind of documentation they will be gathering. Newspaper articles providing such information, as well as posters in supermarkets, schools, churches, etc., can allay unnecessary suspicions, and help assure a positive reception for the surveyors. It may also be useful for surveyors to carry a letter of introduction explaining the survey project, its goals, and its methods.

What form should a survey design take?

Based on initial background research, minor reconnaissance, consultation with the State Historic Preservation Officer and others, and public participation, it should be possible to draft a general scope of work for the survey. The scope of work should outline the purpose of the survey, survey goals at least for the first phase of work, and priorities as appropriate. It should specify the objectives of each phase of work, and identify the methods to be used (for example, background research, field study, supervision of volunteer survey teams). It should establish approximate time frames for the conduct of the work, or for the conduct of particular phases of work, and it should include or be supported by a brief description of the historic contexts to be investigated. To the extent possible, it should describe the expected results of the investigation of each context—that is, what kinds of historic resources may be expected, what their general nature and numbers may be, and what condition they may be in. Finally, it should specify the purposes to which it is expected that the survey data will be put, and how these purposes will structure the collection and recording of data.

Survey planners should consult the State Historic Preservation Officer when preparing a survey design. State Historic Preservation Officers have considerable experience in designing and implementing surveys, and can provide valuable advice and models, as well as help ensure that the design is consistent with statewide survey standards.

Mobilizing Resources for the Survey

What qualifications should those supervising a survey have?

The usefulness of the survey as a planning tool will depend in large part on its overall accuracy and professional quality. It is important, therefore, for communities to obtain the advice and involvement of qualified professional personnel in all phases of the survey project. Typically, a historic resources survey should make use of professional historians, architectural historians, archeologists, and other specialists, in the supervision of both historical research and field inspection. Minimum qualifications for these professional personnel, as defined by the National Park Service, are given in the box on page 22. Other professionals, such as historical architects, planners, social and cultural anthropologists, and landscape architects, may be helpful in gathering survey data. Familiarity with the National Register program and the application of its criteria for evaluation is extremely helpful.

Professionals should be responsible for all major decisions affecting the survey effort, including providing guidance to inexperienced surveyors, defining districts and properties of potential significance within the overall survey areas, evaluating and interpreting data gathered in the survey, and producing or overseeing the production of photographic and other graphic documentation.

Some professionals within the community may be willing to volunteer their time to undertake survey work. In most cases, however, communities will find it necessary to hire professionals. Where volunteer labor is relied upon, it is advisable to appoint or hire at least one professional who can administer or oversee survey activities, coordinate the work being done, and make program decisions. Ideally, such a person—referred to in this publication as a survey coordinator—should have the ability to organize survey teams, budget time and money wisely, and assembly and interpret raw data.

Where can qualified professionals be located?

The **State Historic Preservation Officer** (see Appendix V for addresses) should always be consulted for advice when seeking professionals for participation in a survey. Responsible for the statewide comprehensive survey, the State Historic Preservation Officer is usually familiar with the State's historic preservation professionals. **National Park Service Regional Offices** (see Appendix V for addresses) can also often provide knowledgeable advice about potential professional assistance. In addition to the State Historic Preservation Officer, and the National Park Service, the following individuals and organizations can often be helpful in finding professional assistance.

State Archeologist, whose office in some States is separate from that of the State Historic Preservation Officer (addresses available from the National Park Service).

National Conference of State Historic Preservation Officers (444 North Capitol Street, Suite 332, Washington, DC 20001). The NCSHPO is the organization that represents the State Historic Preservation Officers in Washington. It can assist in making contact with State Historic Preservation Officers about sources of professional assistance.

National Alliance of Preservation Commissions (444 North Capitol Street, Suite 332, Washington, DC 20001). The NAPC is a membership organization that seeks to coordinate local preservation programs and provide them with national representation. It can put local officials and survey planners in touch with other communities and statewide alliances that have undertaken similar projects and can provide first-hand advice about consultants and other matters.

National Trust for Historic Preservation (1785 Massachusetts Avenue, NW, Washington, DC 20036). The Trust also has regional offices which can provide advice about qualified professionals, institutions, and firms. It also includes a placement service in *Preservation News,* its monthly newspaper.

State and regional archeological councils and societies (addresses available from the State Historic Preservation Officer).

Local colleges and universities, especially history, architecture, and anthropology departments.

American Anthropological Association (1703 New Hampshire Avenue, NW, Washington, DC 20009). The AAA may be able to advise about locating archeologists and cultural anthropologists.

American Institute of Architects (1735 New York Avenue, NW, Washington, DC 20006). Each State has an AIA Preservation Coordinator to oversee and advise on preservation activities. The AIA has a Committee on Historic Resources, and publishes a directory of its members.

American Association for State and Local History (172 Second Avenue North, Suite 102, Nashville, TN 37201). AASLH publishes a *Directory of Historical Societies and Agencies in the United States and Canada,* and provides a variety of other services to communities seeking consultants and planning surveys.

American Folklore Society (1703 New Hampshire Avenue, NW, Washington, DC 20009) can advise on folklorists and anthropologists qualified to participate in oral historical and ethnographic survey work.

American Planning Association (1313 East 60th Street, Chicago, IL 60637) and its Historic Preservation Division (1776 Massachusetts Avenue, NW, Washington, DC 20036), can put communities in touch with preservation planners and community planners with experience in preservation.

American Society of Landscape Architects, Historic Preservation Committee (1733 Connecticut Avenue, NW, Washington, DC 20009) can offer advice about landscape architects with experience in preservation. The Society publishes a *National Directory of Landscape Architecture Firms.*

Association for Preservation Technology (Box 2487, Station D, Ottawa, Ontario, Canada K1P5W6). This is a joint Canadian-U.S. organization that can put communities into contact with architects and architectural conservationists experienced in preservation and restoration work.

National Coordinating Committee for the Promotion of History (400 A Street, SE, Washington, DC 20003). This committee publishes a *Directory of Historical Consultants.*

National Council for Public History (Department of History, West Virginia University, Morgantown, WV 26506). This organization seeks to coordinate the activities of professional historians in non-academic work.

Organization of American Historians (112 North Bryan Street, Bloomington, IN 47401). The OAH provides a professional placement service for its members.

Society of Professional Archeologists. SOPA does not maintain a permament business office, but is represented by its Secretary-Treasurer, an elected official. SOPA's current address should be available from the State Historic Preservation Officer. SOPA

publishes an annual *Directory of Professional Archeologists*, which lists archeologists who have agreed to comply with a Code of Ethics and other professional standards, and who have been certified by SOPA to meet specified professional qualifications.

Society for American Archaeology (1511 K Street, NW, Suite 714, Washington, DC 20005). A membership organization of professional and avocational archeologists, the SAA runs a placement service at its annual national meeting.

Society for Applied Anthropology (1001 Connecticut Avenue, NW, Suite 800, Washington, DC 20036). The SfAA can advise about cultural anthropologists who can provide assistance in oral historical and ethnographic work, and about archeologists.

Society of Architectural Historians (1700 Walnut Street, Room 716, Philadelphia, PA 19103). SAH runs a placement service at its Philadelphia headquarters.

Society for Historical Archeology (1703 New Hampshire Avenue, NW, Washington, DC 20009) may be able to provide information on archeologists who specialize in the study of archeological remains representing periods since the arrival of Europeans in America.

Society for Industrial Archeology (c/o National Museum of American History, Smithsonian Institution, Room 5020, Washington, DC 20560) can provide information on archeologists who specialize in the study of industrial sites and structures.

How is a professional consultant selected?

The following steps are suggested as a guide for selecting a professional consultant:

1. Define the nature of the work carefully, in order to have a clear idea of how many and what kind of consultants to look for. This is an important reason for developing a thorough scope of work.

2. Send the scope of work to a number of firms, institutions, organizations, or qualified individuals with the requests that they submit written proposals.

3. Consider the general qualifications of those who submit proposals. References should be required and investigated carefully.

4. Evaluate the written proposals provided. Ascertain how well each consultant appears to understand the reasons for and nature of the work, and evaluate the methods and approach that each intends to use in undertaking the project. (Look for a consultant who seems to understand what he or she is doing and has a good idea of how to do it.)

5. Choose for interviews one or more consultants that appear to be the best qualified. Interviews with more than three consultants may not be productive.

6. Interview selected consultants separately, explaining the work that has to be done and the selection procedures you are using. Enough time should be scheduled for each interview to allow for a careful examination of qualifications and thorough discussion of the survey project. In addition to the professional qualifications listed on page 22 the following are particularly important criteria to consider:

(a) Experience and reputation. Consult the State Historic Preservation Officer and relevant organizations listed in the preceding section to determine where qualified professionals may be located and how to evaluate survey experience.

(b) Workload. Try to determine whether the consultant will be able to accomplish the project within the time frame that you have established. The consultant's reputation for meeting deadlines will be a good indication of this.

(c) Access to all fields of expertise needed to meet the requirements of the project. Whether the consultant has such expertise personally, on his or her staff, or through cooperative arrangements with others, it is important to ensure that he or she understands what expertise is needed to pursue the survey goals and can mobilize that expertise when it is needed. Although the kinds of expertise needed will vary, historic resources surveys are typically interdisciplinary, requiring the expertise of historians, architectural historians, archeologists, and other specialists.

(d) Ability to work with the public. The survey will be a very public activity in the community, so at a minimum the selected consultant should have the ability to interact well with people. The social values of the neighborhoods in which the survey will take place should be considered; it is vital that those responsible for the survey be able to work well with the people of the community. If the survey will involve the substantial use of volunteers, the consultant should have the clear ability to inspire, organize, and supervise them.

7. Make a list of consultants interviewed in order of desirability, based on apparent ability to accomplish the project.

8. Contact the first choice and agree on a precise outline of responsibilities and a fee.

9. If you cannot agree on responsibilities, fee, or contract details, notify the consultant in writing that negotiations are being discontinued. Then begin negotiations with the next consultant.

Consultation with the State Historic Preservation Officer and, in some cases, with the National Park Service Regional Office, is recommended during selection of consultants. Establishment of a review panel including appropriate professionals and representatives of the community may be appropriate.

Selection of a consultant simply on the basis of a bid is **not** recommended. A historic resources survey is a complicated professional activity that requires the exercise of careful subjective judgement. Simply obtaining the cheapest services, without full consideration of the quality of work offered, will almost certainly result in poor work and wasted time, money, and public enthusiasm. For consultants who can provide the necessary services within the established budget range, competition should be on the basis of professional competence, experience, and quality of proposal.

Additional considerations:

1. Limit the number of consultants interviewed. Careful preinterview selection will enable you to interview a few consultants in depth and should provide sufficient information for a sound choice. This preinterview process will provide consultants an opportunity to submit information explaining their qualifications and the nature and extent of their experience.

2. Establish financial parameters and explain budgetary restrictions, if any, at the outset, but avoid competitive bidding for the reasons given above.

3. Avoid nonwritten agreements. For the protection of both client and consultant, the client should always execute a written contract with the consultant.

If the survey is funded using a grants-in-aid from the Historic Preservation Fund administered by the National Park Service, the contract should specify that the survey (whether at a reconnaissance or intensive level) will collect and document the information required by the *Secretary of the Interior's Standards and Guidelines for Identification*. Similarly, if the purpose of the survey is to obtain documentation for National Register nominations or determinations of eligibility, the contract should specify that the consultant is responsible for compiling sufficient documentation, consistent with the *Secretary of the Interior's Standards and Guidelines for Evaluation and Registration* and other relevant National Park Service guidelines, to permit the necessary professional review. Although special demands of the consultant may arise during the course of the survey project, the consultant cannot be expected to do work outside of the contract, unless the contract and fee are amended accordingly.

Guidance in drawing up contracts for survey work may be obtained from the State Historic Preservation Officer and from the Regional Offices of the National Park Service.

4. Avoid possible conflict of interest situations. Consultants may offer to provide services at low rates in anticipation of securing future contracts for other types of professional services (restoration work, excavation of archeological sites, etc.). The prime task of the consultant should be the completion of the survey and inventory project. If a long-term cooperative relationship between the consultant and the client is in the best interests of both, it should be explicitly negotiated as such.

What fees do historic resources consultants charge?

Fees charged by professional consultants are generally based on the scope and complexity of the work as measured by the time or professional personnel required to complete it; experience, education, training, and reputation of the personnel involved; and the quality of service the consultant is prepared to provide. There are five basic kinds of financial arrangements used for consultant services:

1. ***Lump Sum Fee for all Contracted Services.*** This arrangement may be advantageous to the client due to its relative ease of budgeting. It can, however, be a problem for both the client and the consultant because it is difficult to anticipate unknown factors that could be involved. In fairness to both parties, there should be a definite statement of time limits and a provision for the adjustment of the fee. Of course, it is important that the program and responsibilities of the consultants be carefully specified in enough detail to preclude mutual misunderstanding.

2. ***Fixed Fee for Professional Services-Plus Actual Amount of Other Expenses.*** Beyond a fixed fee, the firm or individual is paid the cost incurred in connection with the work based upon the actual costs incurred. Such costs would include, in addition to payroll and general office overhead, materials, printing, and other out-of-pocket costs directly chargeable to the job. It is usual to set a limit of reimbursable costs in the contract providing for this type of financial arrangements, or to provide that such costs shall not be incurred without prior approval of the client.

3. ***Fee as Fixed Percentage of Expenses.*** Compensation is based upon the consultant's technical payroll, multiplied by an agreed-upon factor, to arrive at the total compensation. This method may be combined with a fixed fee or per diem compensation for the personal services of the consultant's staff if considerable time of such staff is required. It is difficult for the client to budget unless a maximum compensation is

included. This arrangement has the advantage of removing the greater part of uncertainty from the consultant's calculations in a large undertaking while offering the client a simply method of determining and auditing fees as well as maximum feasibility in establishing the scope of services that he or she needs.

4. ***Per Diem Fees.*** This method may apply to any of the consultant's personnel, including its principals. It always requires explicit understanding as to what constitutes a "day" and how travel time and expenses are to be allocated. This arrangement is especially advantageous for irregular or indefinite assignments, such as providing testimony concerning a survey's results to a preservation review board.

5. ***Contingency Fee.*** This method involves work by the consultant on the basis of compensation to be determined later and measured by the benefits accruing from the service. This is a difficult method for use in planning studies. It requires contractual agreements that will clearly disclose the basis upon which the contingency fees will ultimately be computed. This method would be unethical in all cases where the consultant offers expert testimony or where he or she is required to appear as an impartial expert rather than as an advocate.

PROFESSIONAL QUALIFICATIONS

The following definitions have been developed by the National Park Service to help States, communities, Federal agencies, and others identify qualified professionals in the disciplines of history, archeology, architectural history, and historic architecture. In some cases, additional areas or levels of expertise may be needed, depending on the complexity of the tasks involved and the nature of the historic properties. It should be noted that 1 year of full-time professional experience when stipulated below need not consist of a continuous year of full-time work, but may be made up of discontinuous periods of full-time or part-time work that add up to the equivalent of a year of full-time experiences.

A. History

The minimum professional qualifications are a graduate degree in history or a closely related field; or a bachelor's degree in history or a closely related field plus one of the following: (1) at least 2 years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity 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 history.

B. Archeology

The minimum professional qualifications are a graduate degree in archeology, anthropology, or closely related field plus (1) at least 1 year of full-time professional experience or equivalent specialized training in archeological research, administration, or management; (2) at least 4 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 1 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 1 year of full-time professional experience at a supervisory level in the study of archeological resources of the historic period.

C. Architectural history

The minimum professional qualifications are a graduate degree in architectural history, art history, historic preservation, or a closely related field, with course work in American architectural history; or a bachelor's degree in architectural history with concentration in American architecture; or a bachelor's degree in architectural history, art history, historic preservation, or a closely related field plus one of the following: (1) at least 2 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.

D. Architecture

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

E. Historical architecture

The minimum professional qualifications are a professional degree in architecture or a State license to practice architecture, plus one of the following: (1) at least 1 year of graduate study in architectural preservation, American architectural history, preservation planning, or a closely related field and at least 1 year of full-time professional experience on preservation and restoration projects; or (2) at least 2 years of full-time professional experience on preservation and restoration projects. Experience on preservation and restoration projects shall include detailed investigation of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

No official standards have been established by the Secretary of the Interior for such preservation-related professions as landscape architecture and cultural anthropology. In reviewing the qualifications of such professionals, approximate equivalences to the qualifications listed above should be looked for, and professional organizations in the specialties involved should be consulted.

How do non-professionals fit into a survey?

Although a survey should be supervised by professionals, there is no reason that volunteers and others without professional training in the preservation disciplines cannot carry out much of the survey work. The use of volunteers from the community is important because it can bring to the survey people with specific knowledge of the community's history and resources, help ensure public support for the project, and reduce costs.

Ways in which community volunteers can participate fruitfully in survey include the following:

Historical Research

People with avocational interests in local history may have already gathered much of the primary data needed to interpret the community's history and establish historic contexts. People with training or skill in library work will be highly efficient historical reseachers. People with background or interests in environmental studies or soil science can be helpful in reconstructing the community's past environments, which is often of vital concern in identifying likely archeological site locations. If recording oral histories will be part of the project, personable people who are able to carry on a good conversation, listen well, and record what they hear will be welcome members of the survey team, whatever their background.

Field Survey

Field survey work can be carried out by people from any kind of background, provided they are appropriately supervised and trained. The only major prerequisites are the abilities to understand and follow instructions, to be reasonably observant, and to be able to fill out recording forms and take other notes clearly, accurately, and completely. Naturally, the more observant, thoughtful, and interested in historic resources a field surveyor is, the better the product is likely to be. Specific skills that can be tapped among volunteers that are of great use in field survey include cartography, drafting, photography, operation of such excavation equipment as power augers and backhoes for archeological testing, and first-hand knowledge of local architectural styles. Simply knowing the community and its people, of course, and being known by them, can be of great value to the survey effort, simplifying communication about the survey and its purposes, making possible access to properties where study is needed, and opening up sources of historical information.

Handling Survey Data

Evaluations of properties to determine their historic value should be done by professionals, or under direct professional supervision, but non-professionals can participate in the evaluation process in many ways. Evaluation is a subjective activity, and should be responsive to community values, particularly where the value of resources may lie in the contribution they make to the cultural integrity of the community or its neighborhoods. Community leaders and residents can and should work with professionals to define the resources that they perceive to be important to the history and character of the community, and the same sort of consultation with the people of individual neighborhoods can make vital contributions to the definition of particular historic districts.

Volunteers and other non-specialists in the preservation disciplines can also help work with the survey data in other, less subjective but equally important ways: carrying out the clerical work of organizing the data, coding data for computer storage and manipulation, and preparing publications. Specific useful skills include typing, word processor operation, general clerical skills, knowledge of computer science, use of darkroom equipment, editing, and design and layout.

If a community's efforts at public involvement in survey planning are successful, volunteer participants in the survey may be recruited from a diversity of sources. Civic and fraternal organizations and organizations representing particular interested professional groups (e.g. building contractors) may make the survey an activity to which their members donate their time. College and secondary school history, anthropology, and social science students may be encouraged to participate. Members of neighborhood organizations and organizations representing particular social or ethnic groups in the community may donate their time. Local historical and archeological societies may provide the backbone of the survey work force.

Organization and supervision of volunteers may be one of the major jobs of the survey leaders and should be carefully considered in preparing scopes of work and negotiating contracts. It may be appropriate to organize volunteer coordinating committees in various neighborhoods or other survey areas, or committees of people interested in different aspects of the survey process. To the extent such groups can be organized during survey planning, coordination of actual volunteer work on the survey will be facilitated.

Professional-Volunteer Relations

Volunteers' work should be reviewed at regular intervals during the survey process and periodic meetings should be held to discuss and evaluate progress. In this regard, it is vital that there be a clear understand-

ing of the relationship between volunteers and professionals from the outset. To avoid wasted effort and ill feelings, it is necessary for each participant in the survey, whether volunteer or professional, to understand and respect the work of the other participants.

The more thoroughly volunteers are trained, the greater their contribution to the survey will be. The precise nature of the training program undertaken will depend on the particular situation, but every program should emphasize the need for thoroughness, consistency, and accuracy. Because the usefulness of the survey will depend in large part on the reliability of information gathered, the need for careful training and close supervision of volunteers cannot be overemphasized.

For guidelines and assistance in locating and organizing volunteers, a community may find it useful to contact **Volunteer: The National Center for Citizen Involvement,** 1111 North 19th Street, Suite 500, Arlington, VA 22209, or Post Office Box 4179, Boulder, CO. A good general reference work on the use of volunteers is Adams' *Investing in Volunteers* (see Bibliography).

What kind of training will ensure a consistent and high-quality survey?

The amount and type of training necessary will depend on the previous experience of those who are to conduct the survey, and on the aspect of the survey in which those being trained will participate. Although training will be needed primarily by volunteers and other non-professionals in the preservation disciplines, professionals too may need at least a brief orientation to the specific problems of the survey and the community.

Training should emphasize the need for thoroughness, consistency, and accuracy in all aspects of the survey, including historical research, field survey, and organization of survey data.

Training should be designed to:

- Convey the goals and objectives of the survey.
- Convey the interrelatedness of historical research and field survey work and a sense of how each contributes to the quality and usefulness of the survey.
- Acquaint researchers and field surveyors with the historical development of the survey area and its present physical character.
- Give a clear idea of the specific historical and cultural information relevant to the survey.
- Indicate the location of source material.
- Teach the skills of visual analysis, an awareness of environmental and architectural elements.
- Teach recording and mapping techniques.

Training sessions should familiarize both historical researchers and field surveyors with the broad physical and historical development of the area. Everyone involved in the survey effort should, in addition, have an opportunity to visit and become familiar with the survey area. Training sessions and on-site orientation sessions may be supervised by the survey coordinator or a trained professional familiar with the survey area.

On-site orientation as part of training can make clear which properties or areas researchers and surveyors will be responsible for and how these will be covered during the intensive survey. This overview of the character of the area and distribution of kinds of resources in it will help surveyors identify areas and isolated buildings that will require considerable attention, plan their method of approach, and budget their time. During the actual field survey, of course, the surveyor will be able to return for a careful examination of buildings, structures, sites, and districts.

Training for Archival Researchers

Archival research involves the development and refinement of historic contexts and the acquisition of information that can aid in the identification and evaluation of resources. Training should enable historical researchers to recognize the kind of historical data relevant to the survey project. The researchers should also understand how research information fits into the project as a whole, how it is to be recorded, and how it will be organized later. Careful coordination between research and field survey can be effected only if researchers understand both the nature of the research required and the way research and field survey efforts will be coordinated.

When conducting archival research, it is very easy to become overwhelmed by the sheer volume of information available, and to become so involved in tracing minutiae that one loses track of the main points of the research. Supervision is important to keep reseachers on track: researchers should begin with a clear understanding of the questions the research is designed to answer, the patterns or trends it is seeking to identify, and the results it is the expected to produce.

Depending on the size of the group and experience of the researchers, training might ideally consist of several lectures and field or lab sessions designed to familiarize trainees with the sources of information available and specific assignments to provide practice

in actual research. Lectures could provide research trainees with an understanding of the kinds of information they will be gathering.

Researchers should be given a thorough understanding of the historic contexts that have already been established during survey planning, and oriented toward seeking information about how each historic context might be expressed in the actual distribution and nature of historic resources. This will involve understanding and studying such topics as:

1. the time range and geographic limits of the historic context;

2. the social, cultural, economic, environmental, and other characteristics of the historic context;

3. the physical resources that might represent the context, for example, the kinds of structures that were built during a particular period of the community's growth, and the parts of the community in which they were concentrated; and

4. the changes that have occurred in the community and its environment that might reveal or obscure the physical record of the historic context, for example, periods of modernization when older buildings were covered with new siding, episodes of natural or artificial landfilling that might have buried prehistoric sites, and areas in which erosion or human excavation may have revealed such buried sites.

Researchers should also be instructed in the development of new historic contexts, organizing their research around such topics as:

1. trends in the settlement and development of the community and its region;

2. major events, significant groups, and leading individuals in the community's history;

3. aesthetic and artistic values that may be represented in the architecture, landscape architecture, construction technology, or craftsmanship of the community;

4. cultural values and characteristics of the community's social and ethnic groups; and

5. research questions of concern to scholars in the humanities or social sciences who have studied the community, its region, similar areas, or relevant problems in history, prehistory, geography, sociology, and other disciplines.

Field or lab sessions should be scheduled to familiarize researchers with the physical layout of the survey area and to give them an understanding of how to correlate their activities with those of the field surveyors. There should be specific discussion and practice in how to use field survey or special research forms.

Researchers should be made familiar with the types of historical information already known to be available in local and regional libraries, archives, and other sources, and through State and Federal agencies and organizations. Sessions might be scheduled at the local library to learn about types of general information and special collections such as manuscript, rare book, and photographic collections, and at the city or county courthouse where research on tax lists, building permits, plot maps, wills and deeds, etc. could be explained. A visit to the local historical society may familiarize trainees with another important source of information. Attendance at local preservation commission meetings and familiarity with the local review process, criteria, and design guidelines may supplement the trainees' understanding of the local needs and uses for survey data.

Individual assignments may be made to provide the group of researchers with more specific information and enable them to practice their research skills. They might be assigned specific practice tasks pursuing a small scale research topic already well enough known to the trainer to permit evaluation of the researcher's techniques and results.

Training for Field Surveyors: Architecture

Specific training sessions should be designed to acquaint field surveyors with (1) appropriate architectural terminology, (2) construction techniques and practices peculiar to the area, (3) local architectural features or styles, (4) survey techniques that will be used, (5) photographic coverage and equipment, and (6) actual maps and survey forms that will be used. Slide talks or films, with particular attention to local architecture, reading assignments, and the completion of practice forms, are all appropriate training methods. Familiarity with building styles should enable the surveyors to identify approximate ages of buildings in the survey areas and to describe them accurately. Inevitably, there will be regional variations in styles and buildings that cannot be described using standard terms, but as much as possible, standard architectural historical terms rather than more interpretive or *creative* terminology should be used. Particularly in rural areas or small towns, efforts should be made to make surveyors familiar with vernacular (as opposed to *highstyle*) building forms. They should be familiar with local styles and with plan and building types found in the area.

Many State Historic Preservation Officers have prepared identification guides to historic building types that are common in their States, and will be able to assist in using or adapting these in the training of field surveyors.

Some familiarity with building materials and methods is also important. Surveyors should be able to identify various building materials and know something about construction techniques.

Surveyors should also be acquainted with the terminology for detailed parts of buildings. Harley McKee's *Amateur's Guide to Terms Commonly Used in Describing Historic Buildings* and similar guides (see Bibliography) should assist surveyors in developing a vocabulary of architectural terms.

Identification and description of historic districts require special skills and may better be left to surveyors with specific experience and training. Training sessions, however, should attempt to make laymen aware of the qualities (visual, architectural, physical, spatial, social, etc.) that may make an area recognizable as an historic district. Surveyors should be taught to see how buildings, open spaces, natural features, roads, and other aspects of the environment interact to create particular urban or rural configurations, and how to conduct a precise visual analysis of those elements and their interrelationships. An effort should be made to convey an appreciation for the ways in which the cultural characteristics of a social group or period in a community's history may be reflected in its buildings and the organization of its spaces. Readings drawn from the literature of urban design, urban geography, anthropology, and environmental design, in addition to practice sessions in the field, should provide surveyors with a general approach and models of analysis (see Bibliography).

Surveyors should be taught to be alert to the *archeological* value of buildings and their contents—that is, their potential for producing information useful in important historical, anthropological, or sociological research. Particularly if the survey will involve the inspection of building interiors, surveyors should be taught to be on the lookout for such building contents as furniture, collections of papers, wallpaper, grafitti, industrial equipment, tools, and the organization of objects in buildings and structures that may reveal aspects of the lives of those who built, lived in, or used the space in the past.

Where landscape architecture is a concern of the survey, surveyors will need training in the kinds of landscape features to be recorded. If the primary focus of this aspect of the survey is on designed and constructed landscapes (e.g., parks, parkways, and landscaped housing tracts), background information on the design characteristics and concepts used by the landscape architects responsible for them should be provided to surveyors, so they can recognize and interpret such features when they see them. The American Society of Landscape Architects' Historic Preservation Committee (see address on p. 19) has developed forms that may be used in recording designed landscapes. Where non-designed cultural landscapes are the focus of attention—e.g., well-preserved agricultural areas—fewer guidelines are available, but training should be provided in the natural geography of the study area and in the historical land uses that have shaped it. An excellent example of a study of such an area, which might usefully be studied during training, is Allen D. Stovall's preservation study of the Sautee and Nacoochee Valleys in Georgia (see Bibliography).

Training for Field Surveyors: Oral history

Where the collection of oral historical information is important to the project, researchers should be given specific training in interview techniques, use of questionnaires (if used), use of recording equipment, and—very importantly—ways to avoid giving offence to those interviewed. Where the collection of oral data will take place in an ethnic neighborhood, researchers should be made aware of and sensitive to the social and cultural values of the neighborhood's residents.

Training for Field Surveyors: Archeology

Where the identification of prehistoric archeological sites is a focus of the survey, since such sites are almost always substantially underground, surveyors should be trained to look for surface indications of their presense and for conditions under which buried material may be exposed. Depending on local conditions, prehistoric sites may be marked on the surface by soil discolorations, fire-fractured rocks, scatters of pottery, flaked stone, and other debris, and concentrations of marine or freshwater shell. Stream cuts, drainage ditches, utility trenches, road cuts, and basement excavations may reveal buried sites. Surveyors should be trained to recognize typical local archeological phenomena (housepits, burials, middens, hearths, etc.) in such buried contexts, and should be taught basic concepts of stratigraphy and soil formation. They should be taught to recognize common prehistoric artifacts of the area, and to understand, in general, their functional, temporal, and cultural contexts.

Where the identification of archeological sites of more recent periods is involved, surveyors should be given training similar to that appropriate for prehistoric archeology, but with special attention given to the recognition of artifacts, construction techniques, building styles, and other features specific to the periods under study. They should be taught to be alert to such features as filled-in basements, wells, and privies, which are often important sources of archeological data.

An excellent handbook on the identification of prehistoric and historic archeological sites, oriented to the lay reader, is *Archeological Resources and Land Development* by Paul Brace (see Bibliography).

Where the *archeological* value of standing structures is important to the survey, surveyors should be trained in the recognition of architectural features, contents of structures, and spatial relationships within structures

that may reveal aspects of their use, their history, and the social organization, economy, values, perceptions, and activities of their builders, residents, or users.

Close interaction between archeological surveyors and historical researchers should be stressed, because historical study of the community and its environment is vital in allowing archeologists to focus their efforts in areas most likely to produce results, and because archeological discoveries in the field may suggest fruitful lines of historical inquiry.

How much should a survey cost?

Communities should draw up a detailed budget of survey expenses before undertaking any phase of the project. Some of the factors affecting the size of the budget—time, available funding, size of survey area, type and depth of information to be gathered—have already been discussed. Other factors, including salaries for personnel, administrative expenses, and publications, will be discussed in later chapters.

Survey costs can be reduced by using large numbers of volunteers, by reducing the level of professional supervision, by eliminating publication of survey results, or by simply cutting the size of the survey area. Such cuts, however, can affect the quality of the data gathered and undermine the usefulness of the results. Professional advice and assistance from the State Historic Preservation Officer in the initial stages of the survey project can help a community draw up a budget that is both accurate and reasonable.

Where can funding for surveys be obtained?

Because of the usefulness of survey data to community planning, and because of the economic stimulus that the rehabilitation of historic buildings can provide a community, financing a survey may be a good investment for local government. A variety of Federal, State, and non-governmental programs provide funding assistance to survey projects, however.

Many local governments allocate Community Development Block Grant funds to the conduct of surveys. Historic preservation grants-in-aid passed through by State Historic Preservation Officers to certified local government preservation programs or allocated directly to survey projects are also frequently used sources of assistance. Other Federal agencies from time to time make funding available to support surveys, often in the context of specific development projects. Some State governments provide financial assistance to survey efforts, either through the State Historic Preservation Officer or in connection with economic development and planning assistance programs.

Funding for specific projects can often be obtained from such Federal granting agencies as the National Endowment for the Arts and the National Endowment for the Humanities. Support for particular projects and programs may also be obtainable from such non-Federal sources as the National Trust for Historic Preservation, the American Association for State and Local History, and private foundations that support research in the arts, humanities, and social sciences.

The State Historic Preservation Officer will be able to provide current information on potential sources of financial assistance. Other good sources of information include economic development officials in local and State governments, National Park Service Regional Offices, and grants and contracts offices in local colleges and universities.

The following publications, which are updated regularly, may be helpful in locating sources of funds:

Annual Register of Grant Support. Edited by Alvin Renetzsky and others. Orange, NJ: Academic Media.

The Brown Book: A Directory of Preservation Information. Prepared by the National Trust for Historic Preservation. Washington, DC: The Preservation Press.

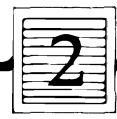
Catalog of Federal Domestic Assistance. Washington, DC: Government Printing Office.

Federal Funding Guide. Arlington, VA: Government Information Service.

Foundation Directory. Prepared by the Foundation Center. New York: Columbia University Press.

A Guide to Federal Programs. Prepared by the National Trust for Historic Preservation. Washington, DC: The Preservation Press.

National Directory of Arts Support by Private Foundations. Washington, DC: Washington International Arts Letter.



Conducting the Survey

Conducting a survey involves three sets of activities: archival research, field survey, and recording of information. Although archival research begins before fieldwork, and much information is recorded as the result of fieldwork, all three activities will normally be going on at once; those conducting them should interact and provide each other with advice and suggestions. Archival research will indicate what to look for and what to record, and fieldwork and recordation will identify information needs to be pursued in archival research. Survey leaders will be responsible for ensuring that all facets of the survey are effectively integrated.

This chapter will discuss each of the major aspects of survey in turn, and will also present recommendations about such practical matters as how to equip a survey team.

Archival Research

Archival research—the study and organization of information on the history, prehistory, and historic resources of the community—is a vital part of the survey. It is on the basis of archival research that historic contexts are established and refined, providing basic direction to the field survey. Archival research makes it possible to predict where different kinds of historic resources will occur and what their characteristics may be. Archival research provides the information needed to place historic resources in their historical and cultural contexts, as a basis for evaluation. Archival research probably will have been carried on during survey planning, but in most cases it will be necessary to continue it during the survey operation itself, to follow up on issues identified during planning, to flesh out historic contexts, to explore new contexts, and to provide input to the field survey process as questions develop about specific areas and properties.

How should archival research be organized?

The mass of archival data relevant to the history of a community is likely to be voluminous, and can easily be overwhelming. It is vital to keep the archival research effort clearly focused on data relevant to the survey goals.

The concept of *historic context*—that is an organizational framework of information based on theme, geographical area, and period of time—is recommended as the basis for organizing information pertinent to the research design and survey results. A survey may focus on a single or several historic contexts and may identify properties relating to a single, several, or many property types depending on the goals of the survey. Historic contexts may be based on the physical development and character, trends and major events, or important individuals and groups that occurred at various times in the history or prehistory of a community or other geographical unit.

It is wise to develop a written research design at the outset, that establishes goals and directions for the research. In preparing the research design, survey leaders should consult the *Secretary of the Interior's Standards and Guidelines* concerning development of historic contexts, archival research, and historical documentation. Several major principles should be kept in mind:

- Historical research and survey work already done should be incorporated into the new project and complemented, not duplicated unless there is a need to check its accuracy, refine it, or revise it.

- The level of detail of archival research should be matched to the scale of the survey. (For example, if the survey is an initial reconnaissance of an entire community, archival research should be oriented toward the identification and description of general trends, groups, and events in the community's history, and their known or likely effects on the community's development. If the survey is an intensive study of a smaller area, archival study may be a much more detailed effort to reconstruct the specific history of particular properties, areas, and groups of people.)

- The archival research effort should be focused, at least initially, on developing and refining the historic contexts established during survey planning.

- The type of study should be matched to the goals of the survey. (For example, if the survey is concerned exclusively with standing structures, there may be little need for archival research in prehistoric archeology.)

- While encouraging focussed research, survey leaders should be sure that the archival research project maintains sufficient flexibility to recognize and pursue new historic contexts that may be identified in the course of the work.

The research design should specify:

- the geographic area(s) of concern;

- the historic context(s) of concern;

- research questions or issues to be addressed with respect to each historic context;

- previous research known to have been done on such issues;

- the amount and kind of information expected to be needed to address the historic context;

- the types of sources to be used;

- the types of methods to be used;

- the types of personnel likely to be needed; and

- where possible, expectations about what will be learned, or hypothetical answers to major research questions.

With the research design in hand, it should be possible to make realistic decisions about assignment of staff, allocation of time and budget, and other practical organizational matters.

As a rule, archival research should be organized into the following steps with reference to each historic context under investigation:

1. Assemble existing information, including both information about previous surveys and historic resources already identified, and more general primary and secondary data, as discussed below. It is not necessary to ferret out every conceivable piece of available information before taking further steps, but beginning to assemble information into an organized whole, identifying sources and finding the relevant bodies of data in each, is the first general step in the archival research process.

2. Assess the reliability of the information as it is assembled, identifying possible biases and major gaps in data.

3. Synthesize the information in usable form, with reference to the issues important to the historic context. Generally such issues will include the reconstruction of trends in the settlement and development of the area, the definition of cultural values that may give significance to historic properties, the definition of architectural, aesthetic, and artistic values that may be embodied in such properties, and the pursuit of research questions in the social and physical sciences and the humanities.

An understanding of the physical development of the community will provide researchers with a broad historical, architectural, archeological, and cultural context for research undertaken on particular properties. Evidence of the evolving plan and character of a community can be seen in the pattern of streets as laid out and modified, and in the location of transportation systems (canals, trolley lines, railroads, etc.), industries, institutions, commercial and residential areas, and reserved public spaces and parks. The kinds, size, and scale of buildings and structures, methods and materials of construction, and architectural forms and styles should be considered in defining the character of a community.

The location of natural resources, soil types, availability of power and fuel, and accessibility to transportation systems were factors that frequently contributed to the siting and development of towns and cities. The development of agriculture, mining, or other activities that shaped the form of rural communities or small towns should be considered.

Events significant in the community's history may be represented by the existence or location of particular buildings. Sites of events, such as commemorative occasions, famous battles, historical debates, theatrical performances, or political speeches, should be identified. Research should be done not only on properties associated with familiar figures—leading politicians, educators, and business persons—but also on groups or individuals important for their contribution to the arts, literature, philanthropy, agriculture, engineering, and other areas. Properties associated with the social, economic, and ethnic groups that have contributed to the community's history and cultural diversity should also be identified. It is of great importance to try to understand the general trends and patterns of social, economic, and cultural development that have

characterized each period of the community's past and its resident groups. Properties associated with activities important to a community's development and perhaps distinctive character, such as ethnic settlement, agriculture, transportation, mining, local government, education, county or local government, or maritime trade should be identified.

Trends reflected in existing cultural properties may include emigration, population shifts, changing economic and labor systems, reform movements, status of minority groups, development of industrial and technical processes, and important religious developments. Research on individual properties includes such items as architect, engineer, and date and cost of construction. Depending on the intensity of the survey effort, researchers may attempt to consider reasons for the use or introduction of particular styles, materials, or methods of construction in specific properties.

4. Identify the types of historic property that may be associated with the historic context. For example, a given period may be characterized by the construction of particular kinds of buildings expressing particular architectural styles; a particular social or ethnic group important in the community's history may have organized its buildings and neighborhoods in particular ways; a particular cultural group in prehistory may have had certain kinds of villages, agricultural stations, and campsites that now are represented by different kinds of archeological sites.

5. Determine how each type of property is likely to be distributed within the community. Sometimes this is a simple matter: for example, historic port facilities will likely be close to the water, or it may be well documented that urban growth followed the development of streetcar lines or streets. In other cases determining lilkely distributions may be more complicated; for example, predicting the distribution of prehistoric sites requires knowledge of the prehistoric natural environment, which may be hard to reconstruct, and at least general theoretical notions about how prehistoric peoples would have carried out their activities in that environment. Historic maps, atlases, and plats may assist in determining the likely distribution of historic properties, particularly where subsequent growth has altered the terrain, plan, or layout of a community or area. Areas in which particular kinds of historic resources are expected should be clearly identified and mapped, so that the expectations can be tested in the field. Often it will be useful to develop maps or map overlays showing locations where different kinds of historic properties are likely to occur, so that these can be easily checked on the ground.

6. Establish the likely current condition of the property types. Were the buildings of one period or style built of stone and brick, while those of another were built of wood? Is this likely to have resulted in the preservation of buildings of the first period and the loss of those of the second? Did the downtown burn at some point in the past, destroying all its commercial buildings constructed before the date of the fire? Is it likely that archeological remains of these buildings are still in place? Were many older buildings in town covered with annodized aluminum during modernizations in the 1950s? What is the likelihood that their original architectural elements have survived under their new skins? Have some neighborhoods been well kept since their establishment? Have others suffered major deterioration, arson, or spot demolition? Have some areas, likely to contain prehistoric or more recent archeological sites, been covered with fill and low-density housing built on slabs, possibly preserving the archeological sites beneath? Have other such areas been the scenes of deep basement excavation, probably destroying all archeological remains? Here, too, it is often useful to present such information on maps or map overlays.

7. Identify information needs to be satisfied by fieldwork. What should be known about the historic context and its resources that can be found through the field survey? These needs should be used to guide the fieldwork.

PREDICTIVE MAPS OF ARCHEOLOGICAL SITES

Predictions of the general location of archeological sites may be among the most useful products of archival research, since such resources are often invisible from the surface of the ground in urbanized areas. Such predictions are often most conveniently presented in map form. For example, for a hypothetical example, general environmental data and information on prehistoric and early historic settlement patterns suggest that levees along the banks of streams are good places for prehistoric settlements to have existed, and early explorers' accounts indicate that a village did exist in such a location within what is now the community being studied. Later, according to the town's records, a hotel was built on the same general location, which became important in the town's early political development. The hotel survived into the early 20th century, when it burned along with other buildings in its vicinity; old news accounts indicate that its superstructure was demolished and pushed into its cellar. The site was levelled, and was unoccupied until the 1950s, when an office building, still in use, was constructed with a deep basement. A few years later, during channelization of the adjacent creek, newspaper accounts and a local amateur archeologist's notes report that Indian artifacts were found, tending to confirm both the early explorers' accounts and the predictions from environmental data about where Indian sites were likely to be. All this information can be combined to produce a map showing where it is most likely that the remains of the Indian village, possible other prehistoric sites, and the remnants of the hotel may be found underground.

What sources of information should be consulted?

Researchers should use both primary and secondary sources in compiling historical data for the survey. If a comprehensive survey is being planned, primary sources will be consulted frequently; surveys limited by time and money, however, will rely heavily on secondary sources. In either case, it is essential that the sources consulted be reliable and accurate.

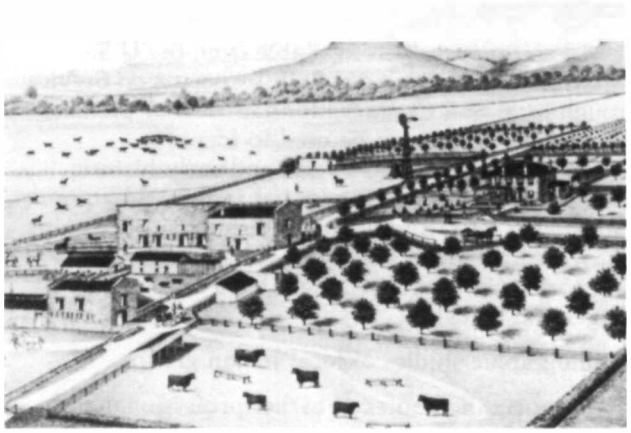
Primary, or original, sources include actual material that has been preserved from the period of interest: written or published documents and graphic material, as well as the artifacts themselves. For an in-depth survey, original sources will usually provide a more complete and accurate picture of the community's history than will secondary sources.

Records of the community's physical development may be found in:

- back issues of local newspapers and periodicals
- family papers and records
- accounts of travelers
- early ethnographic accounts
- church histories
- industry and business records
- records on publicly financed construction
- school records
- city and county commercial directories
- census reports
- telephone books
- tax rolls
- deeds and wills
- interviews
- keepsakes, letters, and personal diaries
- ledgers, cancelled checks, and receipts

Researchers should also be on the lookout for graphic material (plat maps and other historical maps, old photographs, bird's-eye views, and historical prints) which can provide information that corroborates or clarifies the results of field survey work. Old maps and insurance atlases, such as those published by the Sanborn Map Company, Inc., New York City, identify buildings existing at a certain time and document changes through subsequent printings. These can provide the field team with an initial list of sites and structures to be investigated.

Old photographs may provide evidence of changes and additions and allow the field team to cross-check their own observations, questions, and deductions



Historic drawings can be a good source of information about the appearance of properties and areas at a particular point in time. Magnolia Ranch, Cowley County, Kansas. (drawing from **Everts Atlas of Kansas, 1887,** Kansas State Historical Society)

about particular properties. Aerial photographs can also be used in carrying out survey work, in establishing boundaries of an historic district, in pinpointing location and property lines of individual properties, and in analyzing the street patterns, open-space development, and growth of the area.

The Agricultural Stabilizing and Conservation Service (ASCS) of the U.S. Department of Agriculture has been taking aerial photos of approximately 80% of the country regularly since 1940; areas are rephotographed every 6-8 years. Photos are usually available for viewing at local ASCS offices, which can also provide ordering information. The National Archives in Washington, DC, has converted much early aerial photographic coverage of the Nation to modern chemically stable film and archived it for viewing. The National Aeronautics and Space Administration and National Oceanic and Atmospheric Administration maintain files of more recent aerial photographs and satellite imagery. The latter, usually available in forms suitable for computer enhancement and manipulation, can be particularly useful in identifying soil contexts and environmental indicators that may suggest the presense of archeological sites. For information on the use and availability of such remote sensing data, consult the State Historic Preservation Officer or the Regional Office of the National Park Service.

Where subsurface archeological resources are involved, a different kind of primary data may be important as a supplement to the sources discussed above. Primary archival information relevant to subsurface archeological sites may not actually have been produced during the period of interest (for prehistoric periods, by definition it could not have been). Instead such information has usually been produced during

more recent periods, but can be used to reconstruct important characteristics of the period under study and its resources. Often useful information sources include:

- Local soil maps, often available from the U.S. Department of Agriculture, Soil Conservation Service, through local Soil Conservation Districts or planning departments, which can be used to identify characteristics of the prehistoric and early historic natural environment (e.g. marshes indicated by poorly drained clay soils) and likely prehistoric site locations (e.g. well-drained soils near old watercourses where prehistoric agriculturalists might have had their villages and fields).
- Ethnographic studies of local Indian groups.
- Reports and fieldnotes of earlier professional and amateur archeologists.
- Aerial and satellite imagery that may reveal otherwise invisible aspects of the prehistoric or historic natural environment and such early human modifications of the land as roads, trails, fields, and irrigation systems.
- Old newspaper accounts of artifact finds during construction, basement excavation, and land levelling.
- Construction records of land filling and basement excavation, which can identify areas where subsurface resources are likely either to have been preserved (by being filled over) or destroyed (by being excavated).

Secondary sources are those written by individuals who have studied and interpreted the available original sources. They generally provide a broad overview of the community's history but represent a later interpretation rather than a contemporary record of events or reflection of the spirit of the times.

Valuable sources include the following:

The *ongoing statewide survey* of historic resources significant in American history, architecture, engineering, archeology, and culture at the national, State, and local levels. This and additional State survey data are available from the appropriate State Historic Preservation Officer.

The *historic preservation plan* developed and maintained by the State Historic Preservation Officer, which often includes established historic contexts (sometimes called study units) with extensive organized and synthesized background data.

Inventories that may be maintained by the local or State offices of the Bureau of Land Management or the Forest Service, or by regional planning bodies or such State agencies as the State coastal zone manage-

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SPECIALIZED RESEARCH ASSISTANCE

The organizations listed on page 19 as possible sources of information on professional consultants can often also provide information on sources of information concerning their areas of interest. In addition, the following societies and associations may be able to provide assistance in researching particular aspects of the survey area:

American Folklore Society, 1703 New Hampshire Avenue, NW, Washington, DC 20009 (oral history sources and methods, vernacular architecture, etc.).

American Society of Civil Engineers (ASCE), 345 East 47th Street, New York, NY 10017 (civil engineering works).

American Society of Mechanical Engineers, 345 East 47th Street, New York, NY 10017 (industrial features).

Center for Historic Houses, National Trust for Historic Preservation, 1785 Massachusetts Avenue, NW, Washington, DC 20036 (residential buildings).

Council of American Maritime Museums, c/o The Mariners' Museum, Museum Drive, Newport News, VA 23606 (ships, harbor facilities).

Council on America's Military Past (CAMP), P.O. Box 1151, Fort Myer, VA 22211 (military posts, battlefields, etc.)

Friends of Cast-Iron Architecture, 235 East 87th Street, Room 6C, New York, NY 10028 (cast-iron architecture).

Friends of Terra Cotta, P.O. Box 42193, Main Post Office, San Francisco, CA 94142 (terra cotta architecture).

League of Historic American Theaters, 1600 H Street, NW, Washington, DC 20036 (theaters).

National Association for Olmsted Parks, 175 Fifth Avenue, New York, NY 10011 (landscape architecture by Frederick Law Olmsted and his associates).

National Society for the Preservation of Covered Bridges, 63 Fairview Avenue, South Peabody, MA 01960 (covered bridges).

Oral History Association, North Texas State University, P.O. Box 13734, NT Station, Denton, TX 76203 (oral history sources and methods).

Pioneer America Society, Inc., c/o Department of Geography, University of Akron, Akron, OH 44325 (early American architecture).

Public Works Historical Society, 1313 East 60th Street, Chicago, IL 60637 (public works projects).

Railroad Station Historical Society, 430 Ivy Avenue, Crete, NE 68333 (railroad stations and related facilities).

Society for Applied Anthropology, 1001 Connecticut Avenue, NW, Suite 800, Washington, DC 20036 (oral history and ethnographic sources and methods).

Victorian Society in America, 219 East Sixth Street, Philadelphia, PA 19106 (Victorian architecture).

ment agency or environmental protection agency. These bodies of data can often be accessed by computer, and sometimes have been used by the agencies that maintain them to produce "predictive models"—that is, predictions about the likely distributions of archeological sites and other historic properties.

Local, regional, or State histories: monographs, pamphlets, or other material prepared by local or State historical societies or other groups concerned with particular aspects of State or local history (geneological societies, e.g., although researchers should be aware that the concerns of geneologists may not be directly related to the issue of establishing the significance of resources).

The records of the *National Register of Historic Places, Historic American Buildings Survey (HABS)*, and *Historic American Engineering Record (HAER)*, are available for review through the National Park Service or the Library of Congress.

The *American Guide Series (WPA)*, compiled and written by the Federal Writers' Project of the Works Progress Administration, is one of the basic sources of information on communities, regions, and States. Originally published some 45 years ago, these guides contain detailed histories of their respective States, descriptions of their resources and industries, and selected points of interest for each community. A number of these guides have been reprinted within recent years and may provide useful background material for those beginning survey work within a community. Often, State, county, or city libraries have retained the survey forms and research files which formed the basis for these guides.

The *Human Relations Area Files (HRAF)* provide abstracted and excerpted information on aboriginal societies, including American Indian groups, together with extensive bibliographic material. Many universities maintain copies of those portions of the HRAF that are pertinent to their research and teaching in anthropology and sociology. Inquiries at the anthropology department of local universities should reveal whether the HRAF or other ethnographic documents are available.

Anthropological and sociological works that provide theoretical models of prehistoric and historic social systems, economic systems, and settlement systems, on a regional, national, or worldwide context, that may be relevant to the historical contexts of the community.

Dissertations, theses, and other research papers on the history and prehistory of the area, available in college and university departments of history, anthropology, and archeology.

Reports of *oral history projects* carried out by local universities, colleges, secondary schools, and community organizations.

General works on the geology, geomorphology, ecology, environment, and land-use history of the region, which may help researchers understand natural constraints on, and results of, trends in the use of land and other resources in and around the community.

Where may primary and secondary information be found?

Libraries offer a rich source of information on local places and events and should be the starting point in undertaking historical research in a community. Libraries in larger towns and cities often house special collections relating to the history and development of the community, and local newspapers and journals provide valuable insights into personalities and events shaping the community's physical environment. In addition, old newspapers and directories provide information about building materials, architects, and contractors; they may also list building permits or contain articles relevant to particular buildings.

Archives or public records at the local county courthouse or town hall usually provide census reports; abstracts and title deeds; surveyors' notes; probate records, which include items such as bills of sale, debtors' notes, wills, and household inventories; and tax records showing property improvements such as major additions or the actual construction of the house on taxed property. Land records, such as plat maps, are also available from most county courthouses.

Universities and colleges are also good places to undertake research. University libraries often contain special collections or archival material not available in local libraries; faculty members in history, anthropology, and architecture departments may be able to direct researchers to other available sources, such as unpublished research papers and reports. Some State universities have collections that deal specifically with State history. Others have special research units that archive information on local historic or prehistoric archeology.

Museums usually have libraries and archives, and employ staff familiar with undertaking research. Local museums often collect regional artifacts—furniture, housewares, hardware—that can provide insights into their manufacture and owners, in short, the social history of the community. Some museums maintain significant collections of documented artifacts and

records concerning the archeology of the community or the region.

State and local historical societies are often important sources of information. Often such organizations are not particularly oriented toward historic preservation as such, but specialize in the collection and study of documents about local or regional history, and sometimes undertake oral history projects and other special studies. Some have distinguished publication programs; others maintain archives. Whatever their size, scope, and particular interest, they are likely to have gathered information that will be useful to the survey effort.

Local historic preservation or landmark commissions have increased greatly in number in the last decade. While such commissions are largely a phenomenon of the post-World War II years, a few date back to the nineteenth century. These organizations range from those supporting individual buildings to those operating and maintaining several—or an entire group—of historic structures, to those officially responsible on behalf of local government for historic preservation in the entire community. A number of commissions have undertaken their own surveys, and many maintain ongoing records of a community's growth.

State, regional, and local archeological societies often maintain files, notes, and libraries of information on archeological sites, excavations, and analyses. These are useful not only for determining the locations of potentially important properties, but also for gaining insights into locally important research questions and the nature of prior study in the area. The State Historic Preservation Officer should be able to provide the names and addresses of such organizations. These groups often limit access to their data in order to prevent it from falling into the hands of vandals and collectors; this concern should obviously be respected.

State and National Parks in the vicinity of the community may have archives of historical information, particularly if the interpretation of historic resources is among their purposes. Even if park personnel have not intentionally set out to collect such information, it is often donated to the park, and may deal with historical events and resources far beyond the park's boundaries.

The National Archives in Washington, DC, and in several regional respositories contain vast bodies of information developed or collected by Federal agencies over the years. The Archives may be particularly important to a local survey if the survey deals with Federal land or land formerly controlled by a Federal agency, or land in which the Federal government has been indirectly involved (for example, through soil conservation or housing programs).

The Library of Congress houses the records collected by the Historic American Buildings Survey and Historic American Engineering Record (HABS/HAER). These are maintained by a program called **Cooperative Preservation of Architectural Records (COPAR)**, at the Library of Congress in Washington, DC, and in regional repositories at Cambridge, MA, New York, NY, and San Francisco, CA. The Library of Congress also houses a tremendous collection of published and manuscript historical documents, and is the home of the **American Folklife Center**, which collects, studies, and archives documents, tapes, photos, videotapes, films, and other material on oral history, folk arts, folk crafts, vernacular architecture and industrial activities, and ethnography.

The National Cartographic Information Center (U.S. Geological Survey, Department of the Interior, Reston, VA 22091) is a good source of information on maps and other bodies of cartographic data.

Federal agencies may have useful information; for example, the **U.S. Army Corps of Engineers** may have information on local coastal environments and civil works projects that have been conducted along the coast or rivers in the past. Local **military bases** often have archives that contain information on the communities near which they lie. Local and State offices of the **Forest Service** and the **Bureau of Land Management** may have inventories of archeological sites and other historic properties in the area, and may have prepared predictive maps of their distribution that can be helpful to communities in the vicinity. The **Soil Conservation Service** and local **Soil Conservation District offices** are good sources of maps and reports on local soils and other aspects of the environment that may be useful in archeological survey.

Planning and development offices of local government or regional intergovernmental organizations can provide useful maps and reports on local demography, economics, and environmental matters.

Noninstitutional sources. Local industries and businesses may have records or histories of their operations, and local newspapers may have clippings or photograph files; these may be helpful to historians in tracing a community's commercial development. Neighborhood organizations may maintain archival data on the history of the neighborhood and its residents. Local residents themselves, especially those whose families have lived in the area for several generations, may keep family records and early photographs that could be useful in research.

Conducting Field Survey

As discussed in Chapter 1, field survey is usually divided into two types: reconnaissance and intensive survey. Sometimes both types are conducted as related parts of the same survey project; in other cases, reconnaissance is used to plan and focus later intensive survey. For some planning purposes, reconnaissance may be all that is needed. In this section we will first discuss how to conduct a reconnaissance, then how to conduct an intensive survey.

How is a reconnaissance of above-ground resources carried out?

Assuming that the pattern of streets and roads in the community has remained fairly stable through time—pehaps expanding, but with relatively few rights-of-way being abandoned—it can reasonably be expected that most older buildings will be visible from modern streets and roads. As a result, the *windshield survey* is a common method of reconnaissance when historic buildings and structures are the subjects of interest. A windshield survey can also be efficient in the identification and initial description of historic districts made up of buildings, structures, and landscapes, and in the identification of major landscape features such as parks, roadways, and areas where distinctive land-use patterns have shaped the surface of the land.

In a windshield survey, surveyors literally drive the streets and roads of the community and make notes on the buildings, structures, and landscape characteristics they see, and on the general character of the areas through which they drive. Closer inspections are made on foot as needed, but the basic purpose of the reconnaissance is not to gain detailed information on particular structures or sites, but to get a general picture of the distribution of different types and styles, and of the character of different neighborhoods. Records taken on individual structures are usually abbreviated, but more detailed information may be collected on the general organization of the area being surveyed—its streetscapes, the general character of its housing stock or commercial buildings, representative buildings and structures, the layout of its spaces in general, the social, economic, and ethnic makeup of its residents. A good photographic record should be kept of the reconnaissance, with the subject of each roll and frame clearly identified. Audio and video recorders may be used to obtain rapidly general records of the area and its resources; where such media are used, it is important to keep careful records indicating which segments of which tapes apply to which areas.

Windshield survey is most effectively carried out by teams of two to three persons, one of whom concentrates on driving and covering the entire survey area efficiently. At least one other team member should be thoroughly familiar with local architectural styles; where nonprofessionals are used, training in local architectural styles may be supplemented by use of a reference guide showing different styles and their characteristic elements. It will also be helpful to the reconnaissance if at least one member of the team is a resident of the area being inspected, or is otherwise personally familiar with its layout and social characteristics.

Windshield survey creates an unavoidable bias toward observing those buildings and structures visible through the windshield—that is, those facing the street. This bias should be kept in mind at all times, and the team should be alert to opportunities to note outbuildings and other structures that may ordinarily be masked from the street. Evidence of changes in the historic street and road pattern should also be looked for, both in archival research and in the field, since such changes may result in the isolation and masking of buildings that once were visible from rights-of-way.

Where the survey area is large, it may be appropriate to conduct a sample windshield reconnaissance. In this kind of reconnaissance, sample blocks, streets, or other units are selected that are thought likely to be representative of entire subareas of the survey area—residential neighborhoods or particular commercial areas, for example. These samples are then inspected using standard windshield survey methods, and used as the basis for generalizing about the resources of the various subareas. Care should be taken in selecting samples, to ensure that they are objectively chosen and likely to be truly representative. It may be helpful to consult with sociologists or others who have conducted surveys of other kinds in the area, and to apply their techniques or to use the survey units that they have selected. It may also be helpful to consult the extensive literature on sampling in such fields as human geography and archeology, examples of which are included in the bibliography.

One of the important functions of a reconnaissance is to identify the boundaries of areas that may become the objects of intensive survey—perhaps potential historic districts, perhaps portions of the community having distinctive architectural, planning, or cultural characteristics. Such boundaries should be clearly mapped by the reconnaissance teams, and *the basis for recognizing each boundary should be specified.*

For each area subjected to windshield reconnaissance, the notes resulting from the reconnaissance should document:

- the kinds of properties looked for;
- the boundaries of the area inspected;
- the methods used in inspecting the area, including notes as to any areas given special attention and any areas given less attention or not inspected at all;
- the general street plan of the area, and general observations on the area's visual, cultural, economic, and social characteristics;
- the general character of the area's architectural environment, with illustrations of representative buildings and structures, streetscapes, landscapes, and other relevant features;
- the kinds of historic buildings and structures observed, and data on any particular buildings and structures recorded in detail;
- the tentative boundaries of historic districts, and the known or likely locations of specific historic buildings, structures, sites, and objects; and
- the locations of any areas that appear not to contain any historic buildings or structures.

How is a reconnaissance for archeological sites carried out?

Where land is relatively built up, as is the case in most communities undertaking historic resources surveys, both prehistoric and early historic archeological sites are likely to be more or less invisible, buried under modern, created land surfaces and structures. As a result, archival research is especially important to the conduct of an archeological reconnaissance; quite often, the reconnaissance consists of nothing more than field-checking predictions made on the basis of archival research.

The first step in an archeological reconnaissance, then, is to develop *predictions* about where archeological sites are likely to be found. Such predictions are developed based on the following kinds of information, developed through archival research:

1. Information on prehistoric and early historic environments. By reconstructing the pre-modern natural environment, archeologists can develop a basis for predicting where earlier people could and could not have lived and worked. For instance, if much of a city is built on reclaimed land that once was a lake, the likelihood of prehistoric archeological sites in the reclaimed areas will be very low, but the probability of such sites on peninsulas protruding into the lake or along the ancient shoreline may be quite high. Information on early environments may be obtained from the accounts of early explorers or settlers, from previous archeological studies of the area, and through the analysis of soil maps that often are available from the Soil Conservation Service. For coastal communities, the U.S. Army Corps of Engineers often has detailed maps showing previous shoreline environments.

2. Data on prehistoric settlement patterns. If data are available on the ways in which earlier populations were distributed over the land, projections can be made about how the archeological sites they created will be distributed. Data may be found in ethnographic accounts, early historical documents, and previous archeological studies. Care must be taken in making predictions on the basis of such data, however, because they are often incomplete, biased, or reflective of only one time period or social group among many. It is particularly dangerous to make predictions based on extant archeological information. Most archeological surveys conducted before about 1965, and many conducted thereafter, were designed not to record all archeological sites in the area being studied, but only to find convenient sites to excavate. Predicting from such data alone typically makes it appear that archeological sites are most often found along roads and close to parking areas.

3. Data on local history and land use. The history of the community should indicate what groups of people arrived at different times, where they lived, what sorts of activities they engaged in, and so on. Old maps will often make it possible to pinpoint particular vanished buildings, structures, and areas of population concentration. Compilations of local historical data may be biased, quite often emphasizing the history of leading citizens, the rich, and the powerful. Data on the less prominent social groups that contributed to the mosaic of the community's history may be harder to find. Detailed study of historic accounts, particularly old newspapers, journals, and other primary sources, and direct interviews with descendants of the groups in question may be necessary. Close coordination between archeologists and those carrying out any oral history component of the survey may be appropriate.

4. The history of land development and construction in the area. Where a particular area has been identified as the likely location of prehistoric or early historic activities or structures, information on the kinds of land development and construction that have taken place there will help archeologists determine the likelihood that evidence of them has survived in the form of archeological sites. Areas that have been covered only with relatively low-density housing,

especially without basements, are likely to contain the archeological remains of previous activities that occurred there, buried beneath fill and foundation slabs. Conversely, areas that have seen extensive basement excavation or other forms of major land disruption are less likely to retain intact archeological remains.

5. Information on previous archeological discoveries. In some communities, professional or avocational archeologists were on the scene before development took place, and recorded archeological sites that may now have disappeared under fill and structures. Discoveries of archeological material during construction, pipeline laying, and other development activities may be reported in newspapers. While the particular artifacts or other material discovered will have been removed from the ground, the fact that it was there may indicate that other material still exists nearby.

Areas predicted to contain archeological sites based on such information should be identified on maps and inspected. The ground surface should be closely examined to the maximum extent possible, and any locations where subsurface conditions may be exposed (road cuts, ditches, etc.) should be inspected. It may be appropriate to interview local residents or workers to find out if they have discovered artifacts. In most cases, some kind of subsurface testing will be necessary. In a reconnaissance, this will usually involve the use of powered or hand-driven augers or other probes, or the excavation of backhoe trenches. In some cases, test-pits excavated using hand tools will be feasible, though this is often not cost-effective where the surface has been compacted or filled with construction rubble. Sometimes ground-penetrating radar, magnetometers, and other remote sensing devices can be used to good effect.

Under non-urban or suburban conditions, reconnaissance fieldwork can be more general and inclusive. The same kind of background data should be collected as under urban conditions, and the same kinds of predictions attempted; these predictions will give the field teams a clear idea of what to look for. In the field, reconnaissance generally involves one of two approaches, depending on the size of the area being inspected. For relatively small areas, a reconnaissance may involve a simple inspection of the ground surface and any locations where subsurface conditions may be exposed (cut banks, etc.), to identify easily visible archeological remains and locations where more work may be necessary to determine what exists at depth (e.g., areas where the ground surface is heavily obscured or buried). Where larger areas are involved, a sampling approach is often used. Sample blocks (often called *quadrats*) or transects are selected using a strategy designed to ensure that they are representative of the area as a whole. These are then subjected to intensive survey as discussed below. From the results of the intensive survey and archival research, generalizations are made about the likely distribution of archeological sites in the survey area as a whole. There is extensive literature on the use of sampling in archeological survey; for a summary designed for use by non-archeologists, see the National Park Service publication, *The Archeological Survey: Methods and Uses.*

At the reconnaissance level of survey, the data obtained may be sufficient only to determine, within reason, whether archeological sites in fact do exist within the area studied, and to determine their approximate locations, boundaries, and depth. More intensive study will often be needed to determine to what extent they retain integrity and to define their internal organization; in most cases, this kind of information will be vital to determining their significance.

The reconnaissance data, including a full description of the background research, its results, and the methods employed in fieldwork, should be fully documented as a part of the survey. At least the following items should be covered in the reconnaissance documentation:

- the kinds of properties looked for, with the archival or other basis for their definition and recognition;
- the boundaries of the area(s) inspected;
- the methods used, including identification of any areas inspected more or less thoroughly than others, and of any areas where special techniques to identify subsurface features were employed;
- the general character of the area's archeological resources, if any, as indicated by the results of the reconnaissance;
- specific information on any sites recorded in detail; and
- identification of any areas where, based on the archival research and field reconnaissance, it is concluded that no archeological sites will be found, with a discussion of the reasons for reaching this conclusion in each case.

How is an intensive survey for above-ground resources carried out?

In an intensive survey, the goal is to document all historic buildings, structures, sites, objects, and potential districts in sufficient detail to permit their evaluation and registration in the National Register of Historic Places or a State or local equivalent. As a result, intensive survey involves the inspection of every such property in the area being studied. Only properties that can be clearly identified, on the basis

Historic significance is not usually apparent from visual inspection, as architectural significance often is. Historic research revealed that this small ranch in Horse Creek, Wyoming, is an exceptional representative example of small ranches that developed in response to the burgeoning agriculture of the county. Additionally, it is directly associated with the cattle ranching frontier. (Rick Allessandro)

of established criteria, as nonhistoric are not subjected to study. Where a historic district is being considered, it is important to note even nonhistoric properties as non-contributing elements.

As with reconnaissance, it is vital that intensive suvey fieldwork be preceded and accompanied by archival research. As the survey progresses, archival researchers and field surveyors should continue to interact closely.

It is usually necessary to divide the survey area into manageable units, such as groups of city blocks or defined neighborhoods, and either to survey these one by one or to assign a team to each. The survey team should consist of appropriately trained and supervised workers, with the equipment necessary to prepare complete records (see section on equipment, below). The survey should be carried out essentially on foot; all major buildings and structures, and all outbuildings and other ancillary structures and objects should be inspected. Interiors should be inspected whenever possible to identify significant features. Where cultural landscapes are involved, these should be carefully described and mapped.

Normally, the survey will focus on the architectural or landscaped qualities of the properties involved, and will involve the description of each building or structure, each element of the cultural landscape, and, where applicable, each district or object, with reference to standard architectural and landscape architectural terminology. Even though the significance of a building or structure may lie in its association with historical events or people, it is important that it be described accurately in terms of the building style it represents, its mode of construction, and its architectural features. Naturally, however, where archival research suggests that 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. Similarly, where a property may have special cultural value to a social or ethnic group (e.g., a traditional ethnic neighborhood), its description should emphasize any aspects of the property that reflect its value to the group.

Surveyors should be alert to the *archeological* value of buildings and structures—that is, the information they contain. To an archeologist, a building or structure is a complex artifact, created and used by people for activities that reflect their social, cultural, and economic needs and interests. The construction and organization of the building or structure, its modification through time, and the evidence of activities that occurred in it may all be important. For example, the way a house is constructed may reveal things about the builder's perceptions of how space should be organized. Modifications of the floor plan during the life of the house may reveal how occupants at different times wished to organize their life-space in response to changes in social conditions, population size, economic status, technology (e.g., the introduction of electricity), and so on. The things left in and around the house by its past occupants—furniture, papers, wallpaper, graffiti—may reveal facets of their daily lives, interests, preferences, and beliefs. Not only may the things themselves contain such information but also their organization within the house may indicate things about the occupants' view of themselves and their world. The ways in which we organize and fill our living spaces can reveal a great deal about how we view ourselves and wish to be viewed by others. John Collier (see Bibliography) discusses methods used by anthropologists to record and analyze the ways in which living people organize their life-space and work-space. The same general methods can be applied to abandoned spaces, but the

photographic methods used by anthropologists can be supplemented with measured drawings, maps, and plans. The importance of this information must then be evaluated within the broader context of our understanding of such cultural patterns and the existence of written documentary evidence.

The intensive survey should result in a detailed report form on each property, accompanied by appropriate photographs, drawings, and other documentation (see section on records, below).

Together with the results of archival research, these become the basis for evaluation and development of an inventory. The survey data produced by an intensive survey should also include basic categories of information similar to those collected during reconnaissance—specifying the kinds of properties sought, the boundaries of the area(s) surveyed, the methods employed, the locations and boundaries of identified properties, and the locations and boundaries of areas found to be devoid of historic properties.

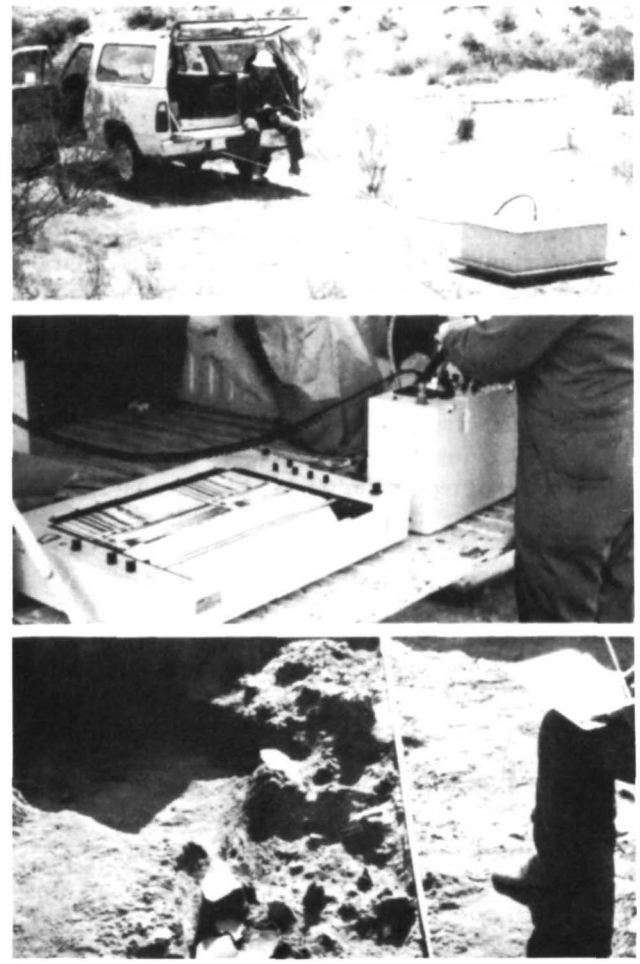
How is an intensive survey for archeological sites carried out?

An intensive archeological survey is preceded by the same kind of archival research discussed above with reference to reconnaissance, but the research may be more detailed and involve a greater variety of sources.

In the field, in a built-up urban situation, the intensive survey like the reconnaissance is focused on locations where archival research suggests the possibility that archeological sites will be preserved, but the effort to find and characterize them is more detailed. The extent to which excavations can be conducted will, of course, be determined by the distribution of buildings, streets, utilities, and other modern features overyling the area of interest, but the general intent of the fieldwork is not only to determine whether archeological sites do in fact exist but to learn enough about their internal characteristics and integrity to permit their evaluation.

Care should be taken not to let excavation get *so* extensive that it seriously disrupts the archeological site being studied. *The purpose of excavation during a survey is to obtain enough information to allow the site's significance to be evaluated, not to recover all the data it contains.* In some cases it is legitimate to fully recover the data a site contains as soon as it is discovered, but such cases are not the norm.

In a nonurban or suburban situation, intensive survey generally involves detailed inspection of the entire survey area. Unless there is a very good reason for believing that nothing of archeological importance could exist in a given area (e.g., records have been found demonstrating that the area has been completely bulldozed, or has been underwater until recently), all exposed land surfaces are carefully and systematically inspected under professional archeological supervision. Team members, trained to identify things that might indicate the presence of an archeological site in the area, are deployed in such a way as to insure inspection of all land surfaces. Typically, team members lined up 5 to 15 meters apart (the distance depending on visibility) walk over the land scanning the surface. If the surface is obscured by vegetation, special techniques must be



Archeological remains can sometimes be discovered without excavation. Ground-penetrating radar is one example of a method to identify buried features. The radar unit is towed along the ground surface (photo 1), sending radar waves into the ground where they bounce back from features such as walls, fire pits, and concentrations of pottery. The received signals are translated by the unit into a series of graphs (photo 2), which can be used to guide excavation (photo 3). Ground-penetrating radar is highly sensitive to ground moisture conditions and other factors, and thus is not always reliable. But, under proper conditions, it can be a good and cost-effective way to explore possible archeological resources without digging. (Michael Roberts and Institute for Conservation Archaeology, Harvard University, for the Arizona State Museum and the Bureau of Reclamation)

used. The most common technique is *shovel-testing*, in which small holes are dug by each team member at regular intervals, and the contents inspected for artifacts, flakes of stone, bone, or other material that might indicate the presence of an archeological site. Power augers, backhoes, and other mechanized equipment are used in some instances. If the surface is obscured by leaves or other light cover, this may be effectively removed over large areas by raking or scraping. If the surface has been previously plowed, but is now fallow and covered with vegetation, replowing may improve visibility while doing minimal damage to any sites that may occur there. Plowing or other substantially disturbing techniques should not be used on previously undisturbed surfaces. When seeking sites that are likely to contain metal, metal detectors may be helpful, and more sensitive magnetometers can detect nonmetallic subsurface anomalies. Aerial survey, using fixed-wing aircraft, helicopters, satellite imagery, or air photos, may be helpful for detecting features that are difficult to spot on the ground.

Records should be kept of the areas surveyed, the methods employed in survey, and any factors that may have affected the resulting observations. All sites or other historic properties observed should be recorded on standard forms. (See section on forms below.) A final report should be prepared to document the kinds of properties sought, with the archival or other basis for defining and recognizing them, the methods used in archival research and fieldwork, the boundaries of the area(s) surveyed, the nature of the survey coverage, any factors that might influence the validity of the results, all properties recorded, their locations, descriptions, and probable archeological significance, and the locations and boundaries of any areas determined to be devoid of archeological sites, specifying the basis for each such determination.

The exact methods to be employed in any particular archeological survey, the exact techniques appropriate in the field, and the kinds of reports required, will vary with local circumstances and needs. The State Historic Preservation Officer should be consulted for advice and assistance, and the results of the survey should be made available for incorporation into the State historic preservation plan. For further information on archeological surveys, with special emphasis on nonurban situations, see *The Archeological Survey: Methods and Uses* (see Bibliography).

How can oral history or ethnography contribute to the survey?

Much of a community's or neighborhood's history may not be on record anywhere, but may be richly represented in the memories of its people, and its cultural and aesthetic values may be best represented in their thoughts, expressions, and ways of life. For this reason, it is often important to include an oral historical or ethnographic component in the survey. Both fields of study are based substantially on interviews with knowledgeable citizens: oral history focusses on straightforward recordation of their recollections, while ethnography is more concerned with contemporary cultural values, perceptions, and ways of life.

Oral historical and ethnographic research must be planned and carried out with the full knowledge and cooperation of community and neighborhood leaders and with sensitivity to their cultural backgrounds, values, and modes of expression.

Local college oral history, anthropology, and sociology programs may be of assistance in this aspect of the survey project. The American Folklore Society, the Oral History Association, and the Society for Applied Anthropology (See p. 19) are good sources of general information on oral history and ethnographic techniques.

An oral history project or an ethnographic study may be as complex and time consuming as the rest of the historic resources survey itself, and specialists in oral history or ethnography may have interests that, while worthwhile in themselves, are not directly pertinent to the survey. It is important to structure this component of the survey to ensure that the information gathered

OVERVIEWS

Governments responsible for relatively large land areas (large cities, counties, regions) may wish to consider preparing overviews before committing themselves to more detailed, focussed surveys. An overview is a document based on archival research alone, sometimes accompanied by very small-scale reconnaissance, that summarizes the history and prehistory of the area, analyzes the results of previous survey work and reaches conclusions about its quality, and seeks to make general predictions about which portions of the total study area are likely to contain different types of historic resources. These predictions can be used in general land-use planning, and can be tested and refined through further survey. Overviews can be extremely useful in the development of regional plans, in the early planning of land-use projects, in developing zoning and open-space plans, in planning for the long-range acquisition of parklands, and in making decisions on where to direct intensive survey efforts.

is as relevant as possible to the survey's goals, and to make sure that the gathering of oral data does not overwhelm the rest of the survey effort.

Typically, oral historical or ethnographic researchers meet at regular intervals with members of the community, individually or in groups, to discuss the history and other cultural aspects of those parts of the survey area currently being studied or soon to be studied in the field. It is also often useful to drive or walk through the survey area with knowledgeable residents of the community to obtain their comments on specific properties and areas. Unless informants object, sessions should usually be tape-recorded so that written descriptions can be transcribed and correlated with other survey information. In order to ensure accuracy of the transcripts, and to respect the confidentiality of informants, those interviewed should be given the opportunity to edit tapes or transcripts. To ensure maximum accuracy, verification of informants' accounts should be sought through interviews with multiple individuals and members of different groups, and through comparison with documentary and field survey data.

What kinds of data will be needed to evaluate historic resources?

Where a decision has been made to conduct an intensive survey, the Department of the Interior recommends that every effort be made to compile the kinds of information described in National Register Bulletin No. 16, *Guidelines for Completing National Register Forms*. Ideally, such information should be organized and recorded in a manner that is compatible with the National Register Information System (NRIS) and the data processing system used by the State Historic Preservation Officer. The State Historic Preservation Officer should be consulted about what kinds of information to record. If nomination to the National Register is one of the survey goals, it is advisable to review the documentation requirements for nominations or requests for determinations of eligibility at the beginning of the survey, to make certain that all necessary information is collected in a form that can readily be transferred to National Register forms at a later date. An outline of the information required by the National Register is provided on page 46, and lists of the data categories used in the National Register Information System are provided in Appendix VI.

The following kinds of information recorded on each property identified should provide an adequate data base for making accurate decisions about the property's significance.

1. Resource Name

This is the primary name by which the resource is known. The historic name is most often used in indexing and filing as it will continue to be meaningful regardless of changes in occupancy or use. The historic name may refer to the original owner or builder; significant persons or events associated with the property; original or later significant uses of the property; innovative or unusual characteristics of the property; or accepted professional, scientific, technical, or traditional names.

Archeological sites, if their historic names (for example, the name of an Indian village recorded in the ethnographic literature) are not known, are generally named for the nearby geographic feature, an aspect of cultural significance, their locations, or their owners.

2. Other Name/Site Number

This may be a common name or other secondary name used to refer to the property, or a number or number-letter code assigned to the property. The common name is the name by which the property is currently known. Most States have a site numbering system whose use will facilitate integration with State survey data.

3. Address/Location

Where a property has a street address, this should be recorded.

If a road has a route number rather than a name, indicate whether it is a State, county, or Federal road.

If the property does not have a street address, identify the location by recording the names of the nearest roads or, if there are no nearby roads, by referring to the Universal Transverse Mercator Grid System. (See item 11, Geographical Data.) Township, range and section, or description of the property's relationship to nearby roads or natural features may also be used to indicate location.

Where a property is large, for example in the case of an archeological site or historic district, the rough boundaries of the property should be described or an inclusive list of street addresses given.

If locational information should be *restricted*—that is, if access to it should be permitted only to specified users—this should be noted. Restricting access is ap-propriate (and permitted by Federal law) where revealing the location of a property to the public could result in vandalism or despoilation. Access to information on the locations of archeological sites is often restricted because of the danger that vandals and artifact collectors could destroy or damage the site searching for artifacts.

5. Owner

It is advisable to record both the category of ownership (i.e., Federal government, State government, local government, private) and the name(s) and address(es) of the actual owner(s).

6. Resource Type

The resource should be classified as to whether it is a site, building, structure, object, historic district, or part of a historic district; National Register definitions of resource categories may be found in the Introduction. If a property consisting of more than one resource is documented on a survey form, such as a farmhouse and outbuildings, the number of elements of each resource type should be noted (e.g., 2 buildings and 3 structures).

7. Location of Legal Description

The location of the legal description of the property, which is usually filed with the land records in the county courthouse or local planning and zoning commission or surveyor's office, may be used to trace chain of title, and is sometimes useful in legal actions involving the property.

8. Representation in Existing Surveys

It is useful to note whether the property is included in the State Historic Preservation Officer's statewide survey of historic properties; in inventories compiled by Federal agencies of properties under their jurisdiction or control, or in the environmental impact area of their projects; in the Historic American Buildings Survey; the Historic American Engineering Records; the National Historic Landmarks program; or in any other local, State, or private survey. Locating existing surveys can save duplication of time and effort in gathering survey data and in correlating data produced by the current survey with other documentation on the property. It may also be useful to indicate whether the property is a locally designated landmark or is part of a locally designated district.

9. Description of Property

Sufficient data should be gathered to give a professional description of the physical appearance and condition of properties. ***For individual buildings, structures, or objects,*** this information may include:

a. Type of structure (dwelling, church, factory, etc.)
b. Building placement (detached, row, etc.)
c. General characteristics:
   Overall shape of plan (rectangle, ell, etc.)
   Number of stories
   Structural system
   Number of vertical divisions or bays
   Construction materials (brick, stone, etc.) and wall finish (kind of bond, coursing, shingle, etc.)
   Roof shape
d. Specific features including location, number, and appearance of:
   porches (verandas, stoops, attached sheds, etc.)
   windows
   doors
   chimneys
   dormers
   other important or visually prominent exterior features
e. Materials of roof, foundation, walls, and other important features.
f. Important decorative elements
g. Interior features contributing to the character of the building.
h. Number, type, and location of outbuildings, as well as dates of their construction.
i. Important features of the immediate environment such as roadways, landscaping, etc.

If a property has been moved, the following information is helpful in assessing historical integrity:

a. Date of move

b. Descriptions or original and present locations

c. Distance the property has been moved

d. Methods employed in moving the property (if known)

e. Explanation of the effect of the move on the historical integrity of the property and upon its new location, with particular reference to the relationships between its original and current orientations, locations, and settings.

f. Reason for the move.

Known alterations should be noted with appropriate dates, if available. Preparation of a floor plan sketch with original portions and later additions clearly marked may be useful for properties that have been altered many times.

Where possible, buildings and structures should be classified with reference to the architectural styles they represent. The architectural classification system used by the National Register Information System is provided in Appendix VI. If the style does not fall into any particular category, major stylistic elements may be noted. Regional or vernacular forms should be identified by the most commonly used or generally accepted terminology. Terms not commonly known should be defined.

Where a known person was responsible for designing or building the property, his or her name should be recorded.

Where a building or structure contains artifacts, equipment, furnishings, papers, interior modifications, or other characteristics that could provide useful information about its construction or use, or about the

activities of its occupants or users, the nature and locations of such material should be recorded. If such materials have been removed from the property, for example to a local archive or museum, this should be noted.

For ***archeological sites***, appropriate information may include:

a. Site type (e.g., midden, rockshelter, flake scatter, historic factory, etc.).

b. Vertical and horizontal extent of the site and methods by which these boundaries have been defined.

c. The immediate surrounding environment, both as it probably was when the site was in use and as it is today.

d. Any disrupting influence (urban development, roads, agriculture) at work on or immediately around the site.

e. Descriptions (or summaries) of known data on internal characteristics: stratigraphy, artifact classes and their distribution, structural remains, faunal and floral remains, materials useful for assigning the site to a chronological period, etc.

f. Extent and nature of any excavation, testing, surface collecting, etc.

g. Descriptions of any standing or ruined structures or buildings that might be of architectural or historic importance.

h. References to any known ethnographic or historical descriptions of the site when it was occupied or in use.

i. A list of pertinent previous investigations at the site, if any, indicating dates, sponsoring institutions or organizations, and bibliographic references.

j. Quality and intensity of survey that resulted in recording the site and limitations this may impose on the data available for purposes of evaluation.

Historic site descriptions should include the preceding information where relevant, and should also identify:

a. The present condition of the site and its environment.

b. Any natural features, such as bodies of water, trees, cliffs, promontories, etc., that contributed to the selection of the site for the event or activity that gives it significance.

c. Other natural features that characterized the site at the time the event or activity took place.

d. Any evidence that remains on the site from the event or activity that gives the site its significance.

e. The extent and kind of alterations that have affected the site, and their effect on its integrity.

f. How the current physical environment and remains of the site reflect the period and associations for which the site is significant.

Sites of cultural value to American Indians or other social groups should be described with reference to the above items where they are pertinent, but special attention should be given to the qualities of the property that contribute to its importance in the eyes of those who ascribe value to it. For example, if the traditional origins of an American Indian tribe are associated with a particular configuration of rocks on a site, special attention should be given to describing them.

If an ***architectural or historic district*** is identified, it is useful to compile the following information:

a. General description of the natural and manmade elements of the district: structures, buildings, sites, objects, prominent geographical features, density of development.

b. Numbers of buildings, structures, and objects that do and do not contribute to the district.

c. General description of types, styles, or periods of architecture represented in the district: scale, proportions, materials, color, decoration, workmanship, design quality.

d. General physical relationships of buildings to each other and to the environment: facade lines, street plans, parks, squares, open spaces, structural density, plantings, and important natural features (some of this information may be recorded on sketch maps).

e. General description of the district during the period(s) when it achieved significance.

f. Present and original uses of buildings (commercial, residential, etc.) and any adaptive uses.

g. General condition of buildings: restoration or rehabilitation activities, alterations.

h. Noncontributing elements: the number of noncontributing buildings, structures, and objects should be given, and each such property identified.

i. Qualities that make the district distinct from its surroundings. Where the social or cultural characteristics of the area's residents contribute to the district's character, these should be included.

j. A list of all buildings, structures, and objects (or inclusive street addresses) that do and do not contribute to the character of the district.

k. Any archeological sites identified within the district's boundaries, including both those that contribute to the significance of the district and those

whose significance is derived from qualities unrelated to the district.

l. Concise boundary description: streets, property lines, geographical features, etc., that separate the district from its surroundings, with an explanation of the basis for establishing the boundary.

If a ***commercial or industrial district*** is identified, the above information should be compiled to the extent it is available and relevant; in addition, it is useful to record the following:

a. General description of the industrial activities and processes taking place within the district, important natural and geographical features, and power sources

b. General description of original machinery still in place

c. General description of linear systems within the district (canals, railroads, roads) and their terminal points, with approximate length and width of area to be encompassed in the district.

If a ***rural district*** containing buildings or structures of historic or architectural significance is identified, in addition to recording the above data as relevant, it is useful to compile the following information:

a. General description of geographical and topographical features (valleys, bodies of water, soil conditions, climate, changes in elevation, vistas, etc.) that convey a sense of cohesiveness.

b. General description of buildings and structures, including outbuildings, within the district boundaries, usually with special attention to characteristics indicative of vernacular or folk-types of design and construction, to the activities housed in each such building or structure, and to the equipment and other material remaining in each.

c. General description of manmade features of the environment and their relationship to the qualities that give the district its significance.

If an ***archeological district*** is identified, besides gathering the above data where pertinent, the following information should be recorded:

a. General description of the natural and manmade elements of the district: structures, buildings, sites, objects, prominent geographical features, density of development.

b. Number of contributing sites, with a description of each.

c. Number of noncontributing sites, with a description of each.

d. General description of the cultural, historic, or other relationships among the sites in the district that make the district a cohesive unit for investigation.

e. General description of the data categories and research values represented in the district.

Rural surveys should attempt to identify properties that were important in the development of the area or are representative of typical activities in the past. All of the structures and significant land areas associated with a property should be documented in the survey. Burke's Garden Rural Historic District, Tazewell County, Virginia. (Virginia Division of Historic Landmarks)

f. Identification of any non-archeological characteristics of the district that may contribute to its significance (e.g., cultural value to American Indian groups).

g. General condition of sites and extent to which archeological intersite contexts remain intact.

h. Assessment of the extent to which the area within the district boundaries has been adequately surveyed.

i. Summary of the nature and level of damage the sites within the district have received or are receiving.

10. Significance

In most cases, the significance of any one resource cannot be fully evaluated until the historic contexts for the survey area have been developed and some reasonably comparable level of documentation on other resources in the survey project area has been gathered. During the survey, however, the surveyor should record the qualities of each property that relate it to the historic contexts of the survey area and may make it significant keeping in mind the criteria for determining significance. In addition, the surveyor may recognize qualities in a property that appear to be unique or significant, and these observations may be recorded for future reference and evaluation.

A statement of significance, whether designed to show that a property **is** or **is not** significant, should be developed as a reasoned argument, first identifying the historic context or contexts to which the property could relate, next discussing the property types within the context and their relevant characteristics, and then showing how the property in question does or does not have the characteristics required to qualify it as part of the context.

The areas in which a property may be significant should be recorded on the survey form and supported in the statement of significance. Area of significance is derived from the relevant historic contexts and the criteria for which the property may be important, for example, commerce or architecture. The areas of significance used by the National Register program can be found in Appendix VI.

The exact information needed to evaluate significance will depend on the historic context. In most cases information falling into the following categories will be needed and should be recorded:

a. Historically significant events and/or patterns of activity associated with the property.

b. Periods of time during which the property was in use.

c. Specific dates or period of time when the resource achieved its importance (e.g., date of construction, date of a specific event, period of association with an important person, period of an important activity).

d. Historically significant persons associated with the property (e.g., its tenants, visitors, owner).

e. Representation of a style, period, or method of construction.

f. Persons responsible for the design or construction of the property.

g. Quality of style, design, or workmanship.

h. Historically or culturally significant group associated with the property, and the nature of its association.

i. Information which the property has yielded or may be likely to yield (especially for archeological sites and districts).

j. Cultural affiliation (for archeological sites and districts).

NATIONAL REGISTER DEFINITIONS OF *CONTRIBUTING* AND *NONCONTRIBUTING* RESOURCES

The following definitions are used by the National Register to classify the resources making up a property as *contributing* or *noncontributing*.

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

- A **contributing** building, site, structure, or object adds to the historic architectural qualities, historic associations, or archeological values for which a property is significant because a) it was present during the period of significance, and possesses historic integrity reflecting its character at that time or is capable of yielding important information about the period, or b) it independently meets the National Register criteria.
- A **noncontributing** building, site, structure, or object does not add to the historic architectural qualities, historic associations, or archeological values for which a property is significant because a) it was not present during the period of significance, b) due to alterations, disturbances, additions, or other changes, it no longer possesses historic integrity reflecting its character at that time or is incapable of yielding important information about the period, or c) it does not independently meet the National Register criteria.

11. Geographical Data

The acreage of the property should be determined and recorded as accurately as possible.

The location of the property should be determined according to the Universal Transverse Mercator (UTM) Grid System. The UTM system is recommended because of its accuracy, its universality, and its compatibility with automated data systems. The property should be located on a U.S. Geological Survey (USGS) map (7.5 or 15 minute series), and the UTM coordinates for the location recorded. One reference point centered on the property is sufficient for properties less than ten acres in size; for larger properties, at least three reference points corresponding to the major points delineating the property's boundaries should be recorded. For an explanation of the UTM system, see the National Park Service publication, *Using the UTM Grid System to Record Historic Sites* (see Bibliography).

Geographical data should include a verbal boundary description precisely defining the boundaries of the property surveyed. It may be in the form of a tax parcel number, a city lot number, a sequence of metes and bounds, a legal property description, or the dimensions of the parcel of land fixed upon a given point such as the intersection of two streets. Where it is difficult to establish fixed reference points such as roads or property lines, as in rural areas, descriptions may be based on a series of UTM reference points or on the section grid appearing on the USGS map. An explanation, or justification, of why a particular boundary was chosen should be recorded.

12. Other Documentation

If additional documentation on the resources is available beyond that recorded on the basic survey recording form (e.g., survey files, records with the State Historic Preservation Officer, publications, HABS/HAER records), each known source of such documentation should be recorded.

Records of historic properties should contain bibliographies referencing the sources used in preparing the records. Author, full title, date, and location of publication should be recorded. For an article, list the magazine or journal from which it was taken, volume number, and date. For unpublished manuscripts, indicate where copies are available. Interviews should be listed with the name of the person interviewed and date of the interview.

13. Researcher

Names and qualifications of persons directly involved in compiling information on the property should be recorded.

14. Photographs

At least one photograph of each property should be included in the survey data. Photographs can be used to document the property's condition and physical appearance, and to illustrate important features of the property. They can be used to check field observations and to provide visual evidence of historical, architectural, or aesthetic significance. The number of photographs needed to provide adequate coverage will vary according to the nature and significance of the property. For buildings and structures, at least one photograph showing the principal facades and environment in which the property is located should be included. Interior views are generally not needed, unless significance is primarily based on interior features.

INFORMATION REQUIRED FOR REGISTERING PROPERTIES IN THE NATIONAL REGISTER OF HISTORIC PLACES

Certain kinds of information are required for documenting properties nominated to the National Register of Historic Places or considered for determinations of eligibility for listing. The following list itemizes the required information as it is requested on the National Register of Historic Places Registration Form. If one of the survey goals is to register significant properties, effort and care should be made to ensure that information collected during survey meets the National Register documentation requirements and can easily be transferred to the National Register form. Because the National Register form is compatible with the National Register Information System, standardized data categories have been formulated for entering information pertaining to certain items. These items are identified below by an asterisk and include function and use, architectural classification, materials, and areas of significance. Appendix VI provides lists of the categories used by the National Register to complete these items. For further information on completing National Register forms, consult National Register Bulletin No. 16, *Guidelines for Completing National Register of Historic Places Forms.*

1. Name of Property

   Historic name

   Other names/site number

2. Location

   Address (including street & number, city or town, state and code, county and code, and zipcode)

   Not for publication (to be indicated when access to information on location should be restricted)

   Vicinity (to be used when property is not located in a town or city)

3. Classification

   Ownership of property (private, public-local, public-State, and/or public-Federal)

   Category of property (building(s), district, site, structure, or object)

   Number of contributing resources within property (by resource type)

   Number of noncontributing resources within property (by resource type)

   Number of contributing resources previously listed in the National Register

   Name of related multiple property listing, if any

4. State/Federal Agency Certification (to be completed by State and/or Federal officials during registration process)

5. National Park Service Certification (to be completed by the National Park Service)

6. Function or Use*

   Historic functions*

   Current functions*

7. Description

   Architectural classification*

   Materials (foundation, walls, roof, other)*

   Narrative describing the property's present and historic physical appearance

8. Statement of Significance

   Level at which evaluation has taken place (nationally, statewide, locally)

   Applicable National Register criteria (A,B,C, and/or D)

   Criteria considerations, if any apply

   Area(s) of significance*

   Period(s) of significance

   Significant dates

   Cultural affiliation (for archeology)

   Architect/builder

   Significant person

   Narrative stating the significance of the property and justifying the applicable criteria, criteria considerations, and areas and periods of significance.

9. Major Bibliographical References

   References (including books, articles, interviews, surveys, etc.)

   Previous documentation on file at the National Park Service (including listings or determinations of eligibility for listing in the National Register, designations of National Historic Landmarks, and recordings by HABS/HAER).

   Primary location of additional data (such as State Historic Preservation Office, other State agency, Federal agency, local government, university, or other) and specific name of repository.

10. Geographical Data

    Acreage of property

    UTM references (one is required for properties smaller than 10 acres; at least 3 for larger properties)

    Verbal boundary description

    Boundary justification

11. Identification of person who prepared the form (including name, title, organization, address, and telephone number) and date.

* See Appendix VI for the standardized data categories used to complete these items.

What additional planning information may be gathered in the survey process?

Information on the historic, architectural, or cultural significance of resources is most useful in guiding future community development if it is integrated with other kinds of planning information. This information, which is listed below, may already have been gathered through other planning studies or it may be gathered as part of the historic resources survey. Because the expertise necessary to gather much of this information is different from that necessary for the historic resources survey, it may be more effective to gather the information in a project separate from the historic resources survey. If this option is chosen, the two projects should be carefully coordinated.

Structural Information on Individual Buildings

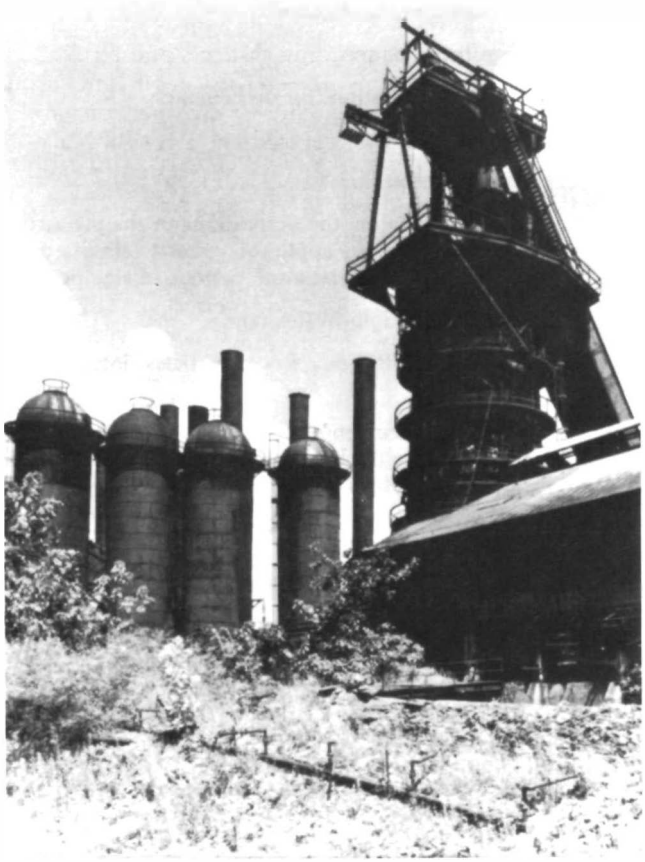
A determination of the structural condition of individual buildings should be based on an examination of:

a. Exterior condition of walls, roof, chimneys, window and door openings, gutters and downspouts, stairs, porches.

b. Interior condition of foundations and basements, beams, joists and piers, flooring, walls and ceilings, window frames and doors.

c. Conditon of mechanical systems for plumbing, electricity, and heating. Condition of original construction and any subsequent alterations, adequacy of fire prevention and control measures, condition and adequacy of elevator facilities (if available).

d. Estimated cost of bringing building to code.



Important industrial and engineering structures should be included in the survey. In addition to their intrinsic value in the history of American industry and engineering, such structures are often associated with the economic development of a community and with its prominent citizens. The Sloss Blast Furnace Site, Birmingham, Alabama, contributed to the development of that city as the iron and steel center of the South. The site has recently been developed into a local historical park. (Jack E. Boucher for Historic American Buildings Survey/Historic American Engineering Record)

Physical/Development Factors Affecting Buildings or Neighborhoods:

a. Threats to area/building (vandalism, demolition, neglect).
b. Public and private development plans.
c. Rehabilitation work (being considered, under way, completed, now planned).
d. Land use/zoning.
e. Density.
f. Transportation routes and facilities.
g. Municipal services (utilities, sewer, police, etc.).
h. Parking.
i. Setbacks.
j. Floor area.
k. Occupancy limitations.
l. Designation of critical environmental areas or protected features.
m. Areas that are *red-lined* or receive less favorable treatment from lending institutions.
n. Existing easements or legal encumbrances.
o. Current assessed evaluation (land, improvements, total).

Socioeconomic Character of Area:

a. Income level of residents or tenants.
b. Tax rates and base.
c. Amount of ownership versus rental.
d. Community institutions (civic, religious, educational).
e. Real estate trends.

Planning Information for Archeological Sites:

a. Accessibility of site
b. Potential for interpretation to the public.
c. Local attitudes toward protection, use, or excavation of site.
d. Likely development pressures on the site.
e. Potential for natural deterioration (through erosion, soil chemistry changes, etc.).

Forms, maps, photographs: How should survey data be recorded?

Before beginning training sessions and the survey itself, methods of recording survey data need to be established. Generally, most data gathered during the survey are recorded on standardized forms and maps, with photographs, supplemented by sketches and additional records.

Survey Forms

Most State historic preservation programs have developed standard survey forms for their statewide surveys. The use of these forms at the local level is most desirable, as it facilitates integration of the information into statewide survey and nomination of properties to the National Register.

The kinds of forms used depend on the intensity of the survey, the kinds of properties to be recorded, the degree of expertise of those conducting the survey, and other factors unique to each survey. As a result, communities may wish to adapt State survey forms to their particular needs. If this is done, care should be exercised to ensure that consistency is maintained in the description of key elements used by the State in data storage and retrieval.

Most survey forms fall into three main categories:

1. A multiple choice checklist with or without illustrations, often in the form of a card coded for automated data processing.
2. One or more sheets presenting a series of questions or categories of information requiring brief written responses.
3. One or (usually) more sheets presenting a series of

general questions or categories requiring more lengthy responses.

The multiple choice checklist may be useful if:
- the survey is a reconnaissance,
- volunteers without extensive training are conducting the survey,
- a limited range of resources are thought to be present (e.g., buildings representing only a few architectural styles), or
- a limited range of resources is being sought (as in some theme-focussed surveys).

For an intensive survey, however, this type of form is seldom appropriate, because it is virtually impossible to incorporate the complex variability represented by a whole range of historic properties into a simple checklist. Although checklist forms are useful especially for architectural information, many buildings and their architectural and decorative features defy classification under the categories generally provided. Checklists may be useful for describing individual buildings within districts, but they are seldom useful for describing districts as wholes, because they do not provide a mechanism for recording a district's overall environment, its social charactistics, and its other unique features. For archeological sites, checklists are often useful for noting the presence or absence of particular predictable features and artifacts, but usually must be supplemented by substantial verbal description to record stratigraphy, size, and other unique characteristics. Cultural landscapes, too, whether designed or created by recurrent land-use practices, are usually too complicated, and contain too many unique features, to be accurately captured in a checklist. Transcribing data from the checklist into a narrative description, like those required by the National Register and most State registers, can be difficult because much of the information needed for narrative description either cannot be derived at all from the checklist format or can be derived only through extrapolation and interpretation, increasing the potential for error.

Forms that have a series of questions or categories generally require a certain amount of expertise. Since the forms do not spell out elements to be identified, the surveyors themselves must be able to prepare complete and accurate property descriptions; they must be particularly careful to include all major elements of the property in the description. These forms do allow for the description of unique elements of particular properties or areas that would normally not be specified on a checklist form.

Longer and more complicated response forms, such as those used by the National Register, require a higher degree of expertise in completing the documentation. Information for these forms may be derived from shorter checklist forms or from other rough survey data.

As a result of these differences, it is often desirable to use a variety of forms in a given survey, for example, using flexible response forms like those of the National Register for recording districts and structures or buildings that may be individually significant, using tailored combinations of categorical questions and checklist items for archeological sites and other properties having some predictable and some less predictable characteristics, and using checklists for the description of individual buildings and structures making up a particular district.

Forms are seldom sufficient in themselves for recording survey data. They should be supplemented by more general, flexible notes to record general environmental and contextual data, information on survey conditions, and supplementary data. Each surveyor should keep a log or diary to record general observations and supplementary information about the progress of the survey and about the property or area being studied, such as its general architectural and social characteristics, anticipated effects of proposed or possible development, ideas for the adaptive use of particular buildings, names of local contacts with particular information, names of interested local citizens and miscellaneous historical or archeological information. Unless they are recorded on the scene, such observations are usually lost to those who might benefit from them or find them useful at a later date.

Field Maps

Surveyors will need maps to use as guides during the onsite orientation and to use as worksheets during the field survey. A master map can be prepared for these purposes by annotating an existing small-scale map of the community or county. In cases where areas or properties to be surveyed have already been determined, these should be delineated on the map. Sites discovered through historical research, that should be investigated during the field survey, may be pinpointed on the map.

The base maps used in most historic resources surveys are U.S. Geological Survey (USGS) 7.5 minute and 15 minute quadrangle maps. *USGS quads* are used by most State Historic Preservation Officers and Federal agencies to locate and record historic resources in their inventories. These maps show topography, natural features, roads, buildings, and structures in rural areas, latitude and longitude lines, and township, range, and section lines. Importantly, most have Universal Transverse Mercator (UTM) grid tics, which allow historic properties to be accurately plotted and their locations recorded for future retrieval and analysis, especially using automated data processing. USGS maps can often be obtained locally; if not, an index to available maps may be obtained by writing the U.S. Geological Survey, Sunrise Valley Drive, Reston, VA 20021.

For urban areas, however, it will be necessary to supplement USGS quads with more detailed local maps. USGS quads show built-up areas merely as pink blotches, with only major streets marked. As a result, although USGS quads should be used to help relate the local survey to such larger-scale efforts as the statewide comprehensive survey, surveyors in urban areas will find other, usually locally produced maps more useful for field use and as base maps. Detailed maps of most large cities can be obtained from city planning agencies. Other sources of useful maps include State highway departments, local preservation commissions, regional planning agencies, local highway commissions, and realtors.

Photographs

Photographs are an essential part of survey data. Whether photographs are taken by field surveyors or professional photographers, the 35 mm camera probably provides the most flexible format for survey purposes. Some 35 mm cameras can be equipped with a perspective-correction lens, which, when properly used, helps eliminate perspective-induced distortion in photographs of structures. (This lens is best used by an experienced photographer.) The use of slightly wide-angle (35 mm) or normal (50 mm) lenses allows photographers to take shots of entire buildings or whole facades. Fast lenses allow for the best use of available light and good recording of details.

While black and white prints are appropriate for survey documentation, other photographic forms may be useful supplements to the basic records of individual properties.

- Color slides may be useful as supplemental documentation for evaluating properties. Although not a substitute for black and white prints, slides can be used in public presentations to generate local interest in the survey project and in historic resources.

- For quick identification, a contact print or Polaroid photograph identified by name and number may be affixed to the field survey form.

- Videotapes may be useful in quickly capturing the social and architectural characteristics of historic districts or landscapes.

It is essential that a practical system be established for numbering, processing, and filing photographs in such a way that they can be easily identified, correlated with forms, systematically filed, and retrieved. The most common approach is to assign a unique number to each roll of film, and to maintain a log indicating the subject of each frame on each roll, by roll and frame number. Film should be kept in a central place and assigned a number as it is signed out to avoid the possibility of assigning the same number to two rolls. Each photographer then logs in his or her photos, recording for each shot the roll number, the frame number, and such information as the property name and location, the direction of the view (e.g., *northwest corner of building; view across site from southeast*), detail included (e.g., *front porch; rock feature*), and other details concerning the property or the exposure. Photo roll and exposure numbers should also be entered on property recording forms for cross-reference purposes. General views of streets or open space areas should be recorded with appropriate locational information and names or numbers of individual properties included in the picture.

It is a helpful check on paper records to place a marker in the view being photographed when the photograph is taken. This should indicate the subject and other relevant data (view, detail, date). Cards or pieces of cardboard with such information written in magic marker can be used for this purpose, though a more professional product is obtained using a *menu board* with plastic letters and numbers. It is also often helpful to include a scale marker (for example, a *meter stick*—a piece of lath one meter long, marked in 10-cm increments) and a north indicator (in archeological convention, a wooden or plastic arrow or a trowel) in the photo.

Photos and especially negatives should be carefully filed under conditions that will minimize their deterioration, and according to a system that will make it easy to retrieve them. It is often most convenient to retain the roll and exposure number as a basic index number for the print and negative frame, sometimes with an additional accession number to identify the area or the survey that produced the photo. Photo logs should be retained permanently as part of the survey data, on computer or in the form of logbooks or card files. It is wise to consult the State Historic Preservation Officer for advice about photo recording, filing, and retrieval systems.

What equipment will be needed for survey work?

Equipment for each survey team may include some or all of the following:

- clipboards, spiral notebooks (for logs and general notes).
- supply of pens, pencils, and magic markers
- field survey forms
- USGS quadrangle(s) and UTM counter
- other relevant map(s)
- tape measures (each surveyor is usually equipped with a 3-meter or 10-foot tape, and each team with a