

# Above Ground Cultural Resource Survey Manual

## Guidelines for Identification: Architecture and Cultural Landscapes

### INTRODUCTION

This document provides guidance for consultants, preservation professionals and volunteer contractors undertaking architectural surveys of Maine’s buildings, structures, and landscapes. The purpose of these guidelines is to enable surveyors to understand and meet the minimum requirements for documenting their findings and reporting such findings to the Maine Historic Preservation Commission (MHPC). Adherence to these guidelines is required for Grant funded survey projects (state funding, HPF funding or other Federal funding) and suggested for all other survey activities. The guidelines and requirements developed by MHPC are built on the Secretary of the Interior’s Standards and Guidelines for Identification (“Standards”)(see Appendix III for full text of these Standards) and reflect the Commission’s commitment to the survey of the state’s historic resources.

Note: These guidelines do not cover MDOT consultant surveys. Those survey projects are covered in the document “Above Ground Cultural Resource Survey Manual, Guidelines for Identification: Architecture and Cultural Landscapes, Project Submission Requirements for MDOT sponsored Surveys Pursuant to Maine’s Statewide Programmatic Agreement”, and are available upon request from MHPC or at (Weblink)

Maine’s architectural survey program began in 1972, a year after the Maine Historic Preservation Commission was established as an independent agency of state government. Since then, the effort to catalogue and document the historic human-made environment has continued to be a central goal of the Commission's mandate with more than 21,700 properties surveyed to date. The survey component of the over all preservation planning program is a vital one. Surveys document at a variety of levels the historic man-made environment of our communities. This in turn enables us to identify those properties which merit nomination to the National Register of Historic Places and to thereby extend protection to those resources.

Each survey project submitted to the Maine Historic Preservation Commission must be prepared in accordance with the guidelines in this document and the “Standards”. Unless otherwise specified, all survey projects will identify and record information on all resources within the project area that are 50 years old or older. The following pages outline the minimum requirements for grant-funded surveys submitted to the Maine Historic Preservation Commission. Surveyors must check with MHPC for additional, or project specific, requirements.

Note: Throughout the text any terms that are bold and underlined are defined in Appendix II.

## I. PROJECT SUBMISSION REQUIREMENTS

What is required for a survey project to be accepted by MHPC?

All the following products are required in order to deem a survey submission complete. Each product must meet the specifications outlined in the following pages.

1. Survey forms with attached photographs  
.....instructions pages 3 to 11
2. Photographs (attached to forms)  
.....instructions pages 12 to 13
3. Maps  
.....instructions page 14
4. Negatives  
.....instructions page 15
5. Negative index  
.....instructions page 16
6. Survey Report  
.....instructions pages 17

**!** All grant-funded surveys submitted to MHPC will be reviewed for completeness, accuracy, and adherence to the guidelines herewith outlined.  
**■** Any survey that does not meet these guidelines may be returned to the surveyor for corrections.

For additional examples, please refer to the sample architectural survey forms that are provided in Appendix I.

## II. SURVEY FORMS

The Maine Historic Preservation Commission survey forms are designed to collect and organize the information needed to assess the eligibility of historic properties for listing in the National Register of Historic Places. It is important that the forms are filled out carefully, consistently, and fully in order to ensure that the information collected on resources in one part of the state can be compared to resources in another part of the state.

### A. Survey Forms

All surveys must be submitted on the Historic Building/ Structure, Historic Barn, Farmstead or Continuation forms designed by MHPC.

If a computer generated template is to be used, samples of the printed forms need to be approved by MHPC prior to commencing field work. No changes to the survey forms are to be made without consulting MHPC. Forms must be printed on index stock (100 or 110 lb).

Photocopies of the forms will not be accepted.

Handwritten surveys must be neat and legible.

Survey forms must be printed double-sided. Single sided surveys will not be accepted.

Nothing should be stapled to the survey forms. All information should be recorded on the appropriate survey form or continuation sheet.

## B. Overview of forms

There are four survey forms currently used by the Maine Historic Preservation Commission.

### Historic Building/Structure Survey Form (Structure)

This form is titled "MAINE HISTORIC PRESERVATION COMMISSION Historic Building/Structure Survey Form". It includes fields for "PROPERTY NAME ADDRESS", "COUNTY", and "TOWN". The form is divided into several sections:
 

- 1. PROPERTY NAME ADDRESS:** Includes fields for address, city, county, and town.
- 2. PROPERTY ADDRESS:** Includes fields for street name and number.
- 3. TYPE OF STRUCTURE:** Includes fields for type, style, and date.
- 4. DATE:** Includes fields for year and month.
- 5. OWNER NAME:** Includes fields for name and address.
- 6. OWNER ADDRESS:** Includes fields for street name and number.
- 7. SURVEYOR:** Includes fields for name and address.
- 8. PHOTOGRAPHER:** Includes fields for name and address.
- 9. HISTORICAL DATA:** Includes fields for date of construction, date of photograph, and other historical information.
- 10. PHOTOGRAPHER:** Includes fields for name and address.

### Historic Barn/Agricultural Structure Survey Form (Barn)

This form is titled "MAINE HISTORIC PRESERVATION COMMISSION Historic Barn/Agricultural Structure Survey Form". It includes fields for "PROPERTY NAME ADDRESS", "COUNTY", and "TOWN". The form is divided into several sections:
 

- 1. PROPERTY NAME ADDRESS:** Includes fields for address, city, county, and town.
- 2. PROPERTY ADDRESS:** Includes fields for street name and number.
- 3. TYPE OF STRUCTURE:** Includes fields for type, style, and date.
- 4. DATE:** Includes fields for year and month.
- 5. OWNER NAME:** Includes fields for name and address.
- 6. OWNER ADDRESS:** Includes fields for street name and number.
- 7. SURVEYOR:** Includes fields for name and address.
- 8. PHOTOGRAPHER:** Includes fields for name and address.
- 9. HISTORICAL DATA:** Includes fields for date of construction, date of photograph, and other historical information.
- 10. PHOTOGRAPHER:** Includes fields for name and address.

### Historic Farmstead Survey Cover Form (Farmstead)

This form is titled "MAINE HISTORIC PRESERVATION COMMISSION Historic Farmstead Survey Cover Form". It includes fields for "PROPERTY NAME ADDRESS", "COUNTY", and "TOWN". The form is divided into several sections:
 

- 1. PROPERTY NAME ADDRESS:** Includes fields for address, city, county, and town.
- 2. PROPERTY ADDRESS:** Includes fields for street name and number.
- 3. TYPE OF STRUCTURE:** Includes fields for type, style, and date.
- 4. DATE:** Includes fields for year and month.
- 5. OWNER NAME:** Includes fields for name and address.
- 6. OWNER ADDRESS:** Includes fields for street name and number.
- 7. SURVEYOR:** Includes fields for name and address.
- 8. PHOTOGRAPHER:** Includes fields for name and address.
- 9. HISTORICAL DATA:** Includes fields for date of construction, date of photograph, and other historical information.
- 10. PHOTOGRAPHER:** Includes fields for name and address.

### Continuation Sheet

This form is titled "MAINE HISTORIC PRESERVATION COMMISSION Historic Building/Structure Survey Form Continuation Sheet". It includes fields for "PROPERTY NAME ADDRESS", "COUNTY", and "TOWN". The form is divided into several sections:
 

- 1. PROPERTY NAME ADDRESS:** Includes fields for address, city, county, and town.
- 2. PROPERTY ADDRESS:** Includes fields for street name and number.
- 3. TYPE OF STRUCTURE:** Includes fields for type, style, and date.
- 4. DATE:** Includes fields for year and month.
- 5. OWNER NAME:** Includes fields for name and address.
- 6. OWNER ADDRESS:** Includes fields for street name and number.
- 7. SURVEYOR:** Includes fields for name and address.
- 8. PHOTOGRAPHER:** Includes fields for name and address.
- 9. HISTORICAL DATA:** Includes fields for date of construction, date of photograph, and other historical information.
- 10. PHOTOGRAPHER:** Includes fields for name and address.

The Continuation form can be appended as an extra page to any of the other three forms.

### C. Which form do I use.....

In general, all surveys will use the Structure form to record the primary building(s). If a barn or other agricultural building is present on the property the Barn form will be filled out in addition to the Structure form, even if the barn is connected to the primary dwelling. The only exception to this is if the associated primary building is less than 50 years old: in this case only the barn form should be filled out and the age of the primary building noted on a continuation sheet. If the surveyed property is a farm (current or historic) then the Farmstead cover sheet must be filled out, along with a Barn form for each major agricultural structure and the Structure form for the primary dwelling or structure.

#### Structure Form.

This form is used to record the primary structures on a property, be they commercial, residential, governmental, or religious. This form can also be used to record cemeteries, gravestones, markers, or statuary that are not located on a farmstead.

One property may contain multiple historic buildings or structures and thus require multiple forms.

Do not use the Structure form to record barns or other agricultural properties, except as requested in item number 24.

Reconnaissance surveys must answer questions 3-7, 9-24, 36-38, and 41.

Intensive level surveys must complete the entire form.

#### ***Continuation*** Form

If the property cannot be adequately described by filling out one of the forms use a continuation sheet to describe the property.

If applicable, transfer the question number onto the continuation sheet to indicate what field is being supplemented.

MHPC USE ONLY  
INVENTORY NO. \_\_\_\_\_  
MAINE HISTORIC PRESERVATION COMMISSION  
Historic Building/Structure Survey Form  
Continuation Sheet  
PROPERTY NAME: Sidewinder Cottages  
TOWN: Presque Harbor COUNTY: Hancock  
SUPERVISOR: C. Mitchell DATE: 6 Feb 2006  
DATA FIELD # (From Survey Form): \_\_\_\_\_  
Burned shell of office  
cottages 1, 2, 3  
pool  
Route 139  
cottages 4, 5, 6  
N ↑  
ENR06A10-0011 RM-JHSF-C17H

## Barn and Farm forms

Many properties, especially in rural areas, contain multiple outbuildings of historic significance. These include, but are not limited to barns, silos, stables, hop houses, milk houses, cider houses, sugar shacks, poultry barns, chicken coops, blacksmith shops, and animal shelters. In addition, other historic features or sites may be present: foundation holes, hedgerows, stonewalls, orchards, wells, roads. While the Structure form records the presence of agricultural outbuildings, this form does not provide the space to adequately describe them. In order to fully understand the historic fabric of Maine's historic properties, it is necessary to gather information on the entire cultural resource, including barns, outbuildings, and features.

These forms can be used at either the reconnaissance or intensive survey level. Some of the information about the composition of farmsteads and agricultural buildings cannot be determined based on a street-side site visit (reconnaissance survey), but will necessitate homeowner assistance or access to property (intensive survey).

### Barn Form

This form is for individual historic agricultural properties associated with a farm or other structure, and may be used with or without the Structure or Farmstead forms. The focus of the Barn Form is to collect architectural data on barns and other outbuildings. Information is collected on the style and structure of the building, its historic use, and construction details. Photographs and cross sections of the building may also be recorded.

*Reconnaissance Level:* Fill out the front side of one form for each agricultural structure visible, including connected barns. Item numbers 1-7 should correspond to numbers 1-7 on the Structure form if the latter form is also used. Almost all of the items #73 to 82, and 54, can be evaluated based on exterior viewing of the structures. On a multi-component farm some of the outbuildings may not be visible or close enough to describe. If it is not possible to access these properties record their presence on the Farmstead form only.

*Intensive Level:* All items should be answered as fully as possible. Utilizing these forms at the intensive level will require permission from the property owner to record the framing system of outbuildings. Please complete the transverse and lateral sections on the back side of the form.



All barns must be recorded individually, even when connected to a dwelling.

**#73.** Look closely in order to accurately choose the primary use. Dairy barns often have rows of small windows along the side walls of the main floor. Poultry barns will have larger and more numerous windows, usually on all floors. Small milk houses attached to a barn indicate a dairy operation of some scale. Remote barns set in fields may be hay barns.

**#74.** Most barns are vernacular buildings, although some have applied features that can be stylistically identified: window hoods, cornice returns, shingle patterns. If any of these features are evident check the appropriate stylistic category.

**#76.** A minimum of two boxes should be checked for this question. Every barn is going to be either connected or detached: choose one. Both English and New England style barns can also be bank barns, depending on the siting and foundation.

**#78,80, and 81.** Check as many boxes as needed to fully describe the resource.

Notes on Barn Photographs:

Attach a photograph of each barn or agricultural structure. The photograph may be attached to the back of the barn form.

The photograph must focus on the structure that is being recorded. Do not submit an overall shot of the property just because the barn is in the picture. Take another picture specifically of each barn or outbuilding that is being recorded.

### Farmstead Form

This form is for the entire farm and provides the context for individually recorded historic agricultural properties. The cover form includes questions pertaining to the size and historical use of the farm, a listing of all the structures and sites present, and historical information on the property and its owners. The back of the form includes space for a sketch map of the property. This map records the spatial distribution of all the landscape features, and serves to document the presence of structures and sites not individually recorded.

*Reconnaissance* level: Fill in items # 1 - 7, 48-50 (estimate 49 if possible), 52, 54, 58, and 62-67, based on structures and features visible from the street. Item numbers 1-7 should correspond to numbers 1-7 on the Structure or Barn forms if they are also used.

*Intensive Level:* All items should be answered as fully as possible. Permission from the property owner may be required in order to prepare the property sketch.

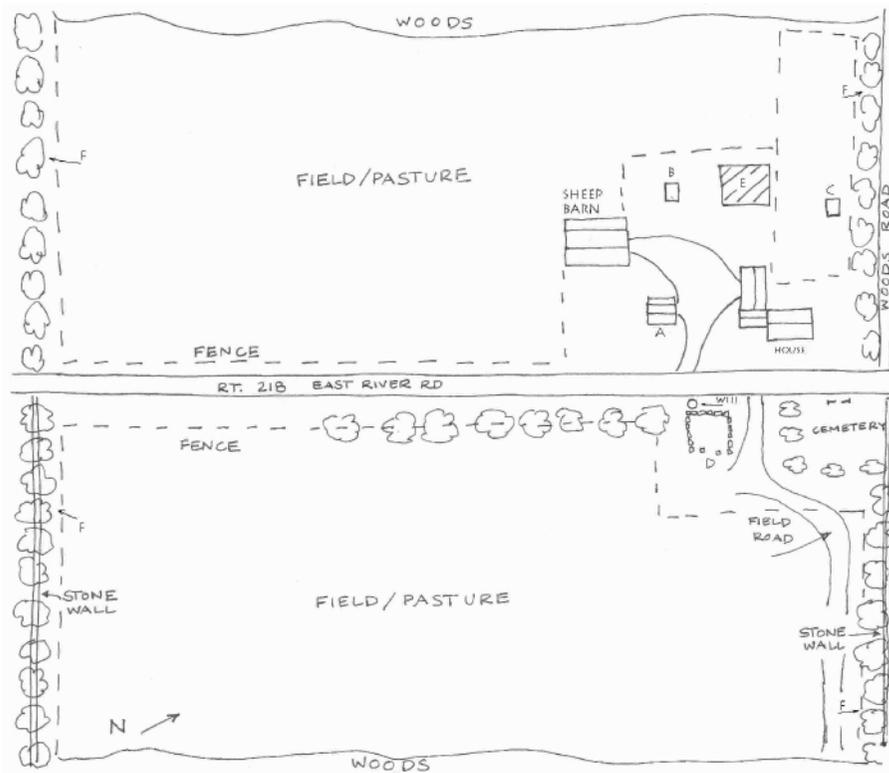
Instructions for the Farmstead Sketch and item #52.

Item number 52 provides an opportunity to list those structures, buildings, sites and objects located on the property that do not merit an individual survey form, either because they are incidental, temporary, deteriorated, or too recent. Cultural and landscape features, (such as stone walls, gravel pits, tree lines, and logging roads) should also be listed in question #52. For each structure or building listed, please give an indication of why a survey form was not filled out for the item.

52. LIST ANY STRUCTURE OR SITE NOT INDIVIDUALLY RECORDED ON A SURVEY FORM. PLEASE ASSIGN EACH STRUCTURE OR SITE A LETTER, AND LABEL ON SKETCH MAP ON BACK AND PHOTOGRAPH. INCLUDE ALL EXISTING STRUCTURES - SUCH AS COOPS, PIT SILOS, BEE HIVES, GARAGES, STONE WALLS, PRIVIES AND COTTAGES - AND NOTE ANY THAT HAVE BEEN REMOVED OVER THE YEARS (FOUNDATION HOLES).

A. GARAGE/WOODSHEED (WOODERN) B. HEN HOUSE (INDETERMINATE AGE)  
C. RAM HOUSE (APPEARS TEMPORARY) D. BARN FOUNDATION E. GARDEN F. TREELINE

Include each resource listed in #52 and each property for which an inventory form was filled out on the sketch map on the back of the Farmstead form. Be sure to label each resource, and include a north arrow and the name of any adjacent roads or landscape features.



D. Additional instructions for filling out forms

Fill in the ‘Survey Map Name’ with the name of the topographic map.

SURVEY MAP NO. _____
SURVEY MAP NAME _____

Fill in the ‘Survey Map No.’ with the sequential number that corresponds to the number used to identify the property on the topographic map and/or other maps.

Assign one number for every property recorded on a survey form. For example, the survey forms for a property containing a house and a barn would be labeled with two consecutive numbers, and each of these numbers must be placed on the topographic map.

#3:

3. STREET ADDRESS: _____
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All surveys must include a street number in question 3. Surveys without street numbers will be rejected. Street numbers can be obtained at town offices, and every effort should be made to include the appropriate street number. If no street number has been formally assigned to a property, then the distance from a fixed and identified point should be given (i.e. “East side of road 2 miles south of intersection of Rt 1 and Rt 77.”)

All surveys must include a street name in question 3, not just a route designation. The names of streets in a survey area should be obtained from the town office or county sheriff’s office. For MHPC surveys use the street name that appears in the local E911 system. However, because some of these names are very recent, be sure to also indicate any name that is present on the topographic map of the survey area. Also list the route designation if applicable. Because any given route designation might follow numerous named roads, surveys must include specific street names. Be aware of when a street or route crosses into another town.

Example:

3. STREET ADDRESS: <b>195 East Sumner Road, Route 219 [Pitted Way]</b>
------------------------------------------------------------------------

In this example East Sumner Road is the E911 name for the street; Route 219 is the State route designation; [Pitted Way] is the name that appears on the topographic map.

#8. This line for 'address' refers to the address of the property owner not the address of the surveyor.

#14. Record the number of bays on the present facade. This includes counting the number of bays on an enclosed porch.

#'s 15,16, 21, 22, 23, 24. Check as many boxes as necessary for each question to accurately describe the property.

! Surveys lacking all the required information may be returned to the contractor for completion.



E. What if the property has already been surveyed?

Upon occasion there may be existing survey forms for properties within a project area. Before starting the project contact MHPC staff to obtain copies of any existing surveys, and to review whether the properties need to be surveyed again.

The following matrix addresses some common scenarios vis-a-vis previously surveyed properties.

SURVEY SITUATION	OLD INVENTORY FORM	NEW INVENTORY FORM
No survey form for property, or survey form exists in a different format.	N/A	Fill out new survey form.
Property previously surveyed.	Photocopy the old form and bring it into the field for reference.	<p>If the property has not changed since the old form was filled out, submit the copy of the old survey with the report, and note in the report that the property has not changed. Update old survey card with street number and street name if needed.</p> <p>If the property has changed since the old form was filled out copy the MHPC Inventory No. from upper left corner of old form and pencil the same number above the Inventory No. box on the new form. Fill out new form and photograph property.</p>
Property previously surveyed, but photograph missing.	Photocopy the old form and bring it into the field for references.	Fill out new survey form.
Property previously surveyed, but poor quality photo or visual obstructions on previous card	Photocopy the old form and bring it into the field for references.	<p>If the property has not changed and a better image can be taken, copy the MHPC Inventory No. from upper left corner of old form and pencil the same number above the Inventory No. box on a continuation sheet form. Fill out the continuation sheet, and affix new photo to continuation sheet and submit the continuation sheet and the old form.</p> <p>If the property has changed fill out a new survey form.</p>
Property previously surveyed, but additional resources present (i.e. barns, agricultural resources).	Photocopy the old form and bring it into the field for references.	Create new form for previously surveyed property if changes are evident. Fill out barn or farmstead form as necessary and submit with copy of old form.

### III. PHOTOGRAPHS

All photographs are to be in black and white only: no color or digital images will be accepted.

All photographs must be developed utilizing a true photographic process and thoroughly washed.

A separate photograph should be taken of every major structure or landscape feature as seen from the road. The focus of this image should be the structure that is being described on that form.

Photographs should be taken at a face on or oblique angle, and be free from obscuring elements (trees, parked cars, overpasses, review mirrors) whenever possible.

All photographs should be printed 3 ½" x 5," preferably on non-resin coated fiber based paper.

Photographs must be affixed to the inventory form using archivally safe adhesive, such as Elmer's Glue. Photographs attached with paperclips or staples will not be accepted.

Do not attach the photographs to the forms in a manner that obscures any of the printed text. If the photograph is too large to fit into the space provided mount it on a continuation sheet.

Photographs must be of sufficient quality, with regard to composition, exposure, and subject to enable adequate evaluation of the resource. Seek out the best shot.

Additional views should be used to supplement the curbside image, to provide overall landscape images, or capture specific features, including including stone walls, terraces, tree lines, etc. . Additional photographs should be attached to continuation sheets, unless they depict a barn, which would then be affixed to an Historic Agricultural Outbuilding Inventory form (use the back of the Barn Form if necessary).

**!** Photographs of barns need to depict the barn in question. Do not simply duplicate an overall property shot that includes a barn for the barn photograph. Use a telephoto lens if necessary to isolate the appropriate image.

## Digital Images.....or not?

Although we acknowledge the efficiency, widespread use, and high quality imaging that is possible with digital photography, this technology has not been proven to have the equivalent long term archival characteristics of traditional film based photography. Therefore, we will continue to accept only those surveys that produce 35 mm black and white negatives. It is important that these negatives be accompanied by an index to the survey forms.

With regard to digital prints, although we prefer the submission of black and white prints that are generated in the traditional manner, we will accept prints that are produced by a digital process under the following conditions:

prints shall be made from 35 mm negatives only, not from an equivalent image made with a digital camera

prints shall be affixed to the forms, not printed directly on them

prints shall be produced on materials that meet the standards established by the National Register of Historic Places; and

each survey report shall provide the product name and manufacturer of the paper and ink used, as well as an assurance statement that these products comply with the National Register standards.



If in doubt, please check with MHPC before submitting the surveys!

The National Register Photographic Standards are available at:

<http://www.cr.nps.gov/nr/policyexpansion.htm#basic>

## IV. MAPS

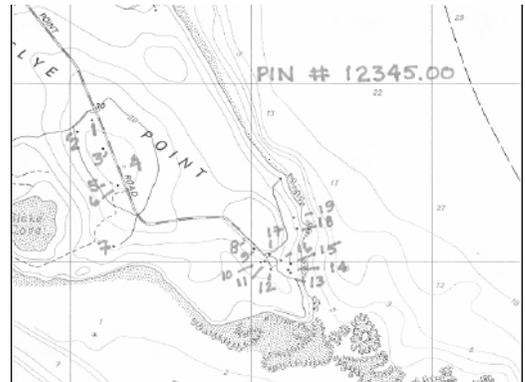
Every survey must be carefully keyed to a 7 ½ minute USGS topographic map.

Additional maps, including tax maps, may be used in dense urban areas.

Place write the project name on each map.

Label individually surveyed resources using a logically assigned sequential number.

(For example, sequentially numbered properties should be geographically related to each other.)



This sequential identification number can also be used to key the survey forms to the negatives.

SURVEY MAP NO. _____
SURVEY MAP NAME : .. _____

The name of the topographic map should be entered on the Survey form, in the upper right corner in the box “Survey Map Name”, and the sequential number used to identify the property on the map entered in the box “Survey Map No.”



Be aware that the structures printed on the USGS topographic maps were accurate only on the date the map was published. Check the area covered by each map and add or delete new structures as needed.



Surveys submitted without maps, or upon which the surveyed properties are not legibly labeled, will not be accepted by the Commission.

## V. NEGATIVES

All negatives are to be keyed to the survey forms on a separate index sheet.

The index must include:

- the photographer's name
- date of photographs
- town
- project name

Negatives should be submitted in 3 ring binder archival sleeves. (Print File 35-7B, 35 mm negative preservers are recommended)

Each sleeve must be labeled with the photographer's name, project name and date.

If more than one roll of film accompanies a project, label the negative sleeve and index with the roll number as well.

**!** Surveys submitted without negatives, or without the negatives keyed to the survey forms will not be accepted by the Commission.

## VI. NEGATIVE INDEX

The negative index helps to link the negative sheets back to the surveys and the maps.

The easiest way to relate all the necessary information is to use a table with the following information

Survey Map #

Survey map Name

Property Address

Roll #

Frame #s

MHPC # (this last field should always be left blank for MHPC to fill in).

SURVEY MAP #	SURVEY MAP NAME	PROPERTY ADDRESS	ROLL #	FRAME #'S	MHPC #'s
1	North Whitefield	571 East River Road, Whitefield	1	1,2,3,4,5	
2	North Whitefield	599 East River Road, Whitefield	1	6,7,8,9,10	
3	North Whitefield	586 East River Road, Whitefield	1	11,12	
2/3	North Whitefield	Landscape and road view	1	13	
4	North Whitefield	Across from 599 East River Road [Ware Cemetery]	1	14,15	
5	North Whitefield	661 East River Road, Whitefield	1	16,17,18,19, 20	

## VII. SURVEY REPORT

Each survey must be accompanied by a brief report. This report must be prepared in accordance with the Secretary of the Interiors Standards for Identification and the Secretary of the Interior's Guidelines for Identification (Appendix II).

The following items must be included in the report:

Name of survey.

Beginning and end date of survey.

Sponsoring agency or group.

Name and address of surveyors, or consultant if applicable.

Objectives. Include a description of the proposed survey area and a project map (topographic map) showing the boundaries of the proposed survey area; an overview of the survey or research goals; an approximation of the number of properties to be identified or evaluated, and whether the project is occurring at the reconnaissance or intensive level.

Area researched or surveyed. Include a summary of the background research, (including primary source research if applicable), and develop a brief historical context for the project area.

Research design and methodology. Based on the objectives, the historic context, and the project area, describe the methods actually used to collect and analyze this information. If those methods differ from those outlined in the statement of objectives, the reasons should be explained.

Be sure to describe the extent of the survey coverage (for example "85% of the properties were surveyed: the remainder were inaccessible due to private roads)

Results. Describe how the results met the objectives, and analyze the results specifically addressing the type and number of properties in the survey area, the number of acres surveyed, threats to the property, recommendations for future work, and note where the compiled information is located. This section can also include recommendations for potential National Register listings (individual or district).

Be sure to include both surveyed and un-surveyed properties in the description of the types of properties in the survey area.

Bibliography. Provide a list of sources consulted.

## APPENDIX I. SAMPLES

Forms

Maps

Negative index

### Secretary of the Interior's Standards for Identification

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

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

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

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

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

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

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

## Secretary of the Interior's Guidelines for Identification

### Introduction

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

The Guidelines are organized as follows:

Role of Identification in the Planning Process

Performing Identification

Integrating Identification Results

Reporting Identification Results

Recommended Sources of Technical Information

### Role of Identification in the Planning Process

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

### Performing Identification

#### Research Design

Identification activities are essentially research activities for which a statement of objectives or research design should be prepared before work is performed. Within the framework of a comprehensive planning process, the research design provides a vehicle for integrating the various activities performed during the identification process and for linking those activities directly to the goals and the historic context(s) for which those goals were defined. The research design stipulates the logical integration of historic context(s) and field and laboratory methodology. Although these tasks may be performed individually, they will not contribute to the greatest extent

possible in increasing information on the historic context unless they relate to the defined goals and to each other. Additionally, the research design provides a focus for the integration of interdisciplinary information. It ensures that the linkages between specialized activities are real, logical and address the defined research questions. Identification activities should be guided by the research design and the results discussed in those terms. (See Reporting Identification Results.)

The research design should include the following:

Objectives of the identification activities. For example: to characterize the range of historic properties in a region; to identify the number of properties associated with a context; to gather information to determine which properties in an area are significant. The statement of objectives should refer to current knowledge about the historic contexts or property types, based on background research or assessments of previous research. It should clearly define the physical extent of the area to be investigated and the amount and kinds of information to be gathered about properties in the area.

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

Archival research or survey methods should be carefully explained so that others using the gathered information can understand how the information was obtained and what its possible limitations or biases are. The methods should be compatible with the past and present environmental character of the geographical area under study and the kinds of properties most likely to be present in the area.

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

#### Archival Research

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

#### Field Survey

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

preservation goals that direct the survey effort.

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

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

A reconnaissance survey should document:

- The kinds of properties looked for;

- The boundaries of the area surveyed;

- The method of survey, including the extent of survey coverage;

- The kinds of historic properties present in the surveyed area;

- Specific properties that were identified, and the categories of information collected; and

- Places examined that did not contain historic properties.

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

The kinds of properties looked for;

The boundaries of the area surveyed;

The method of survey, including an estimate of the extent of survey coverage;

A record of the precise location of all properties identified; and

Information on the appearance, significance, integrity and boundaries of each property sufficient to permit an evaluation of its significance.

### Sampling

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

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

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

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

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

### Special survey techniques

Special survey techniques may be needed in certain situations.

Remote sensing techniques may be the most effective way to gather background environmental data, plan more detailed field investigations, discover certain classes of properties, map sites, locate and confirm the presence of predicted sites, and define features within properties. Remote

sensing techniques include aerial, subsurface and underwater techniques. Ordinarily the results of remote sensing should be verified through independent field inspection before making any evaluation or statement regarding frequencies or types of properties.

### Integrating Identification Results

The results of identification efforts must be integrated into the planning process so that planning decisions are based on the best available information. The new information is first assessed against the objectives of the identification efforts to determine whether the gathered information meets the defined identification goals for the historic context(s); then the goals are adjusted accordingly. In addition, the historic context narrative, the definition of property types and the planning goals for evaluation and treatment are all adjusted as necessary to accommodate the new data.

### Reporting Identification Results

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

- Objectives;

- Area researched or surveyed;

- Research design or statement of objectives;

- Methods used, including the intensity of coverage. If the methods differ from those outlined in the statement of objectives, the reasons should be explained.

- Results: how the results met the objectives; result analysis, implications and recommendations; where the compiled information is located.

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

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

### Recommended Sources of Technical Information

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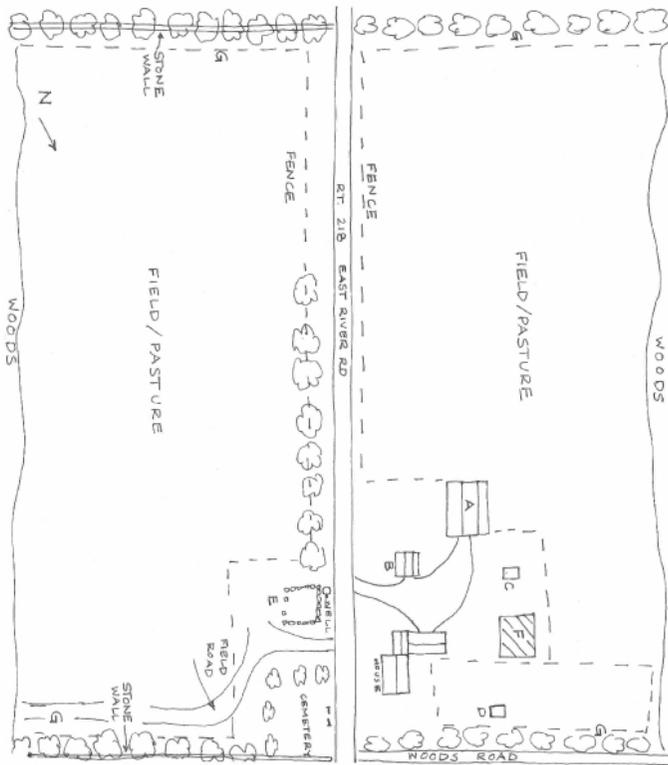
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