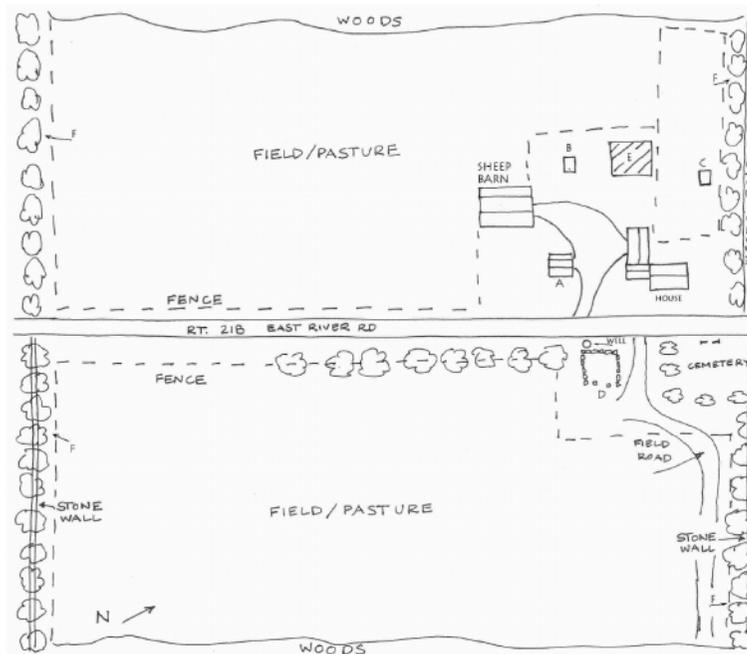


Above Ground Cultural Resource Survey Manual

Guidelines for Identification: Architecture and Cultural Landscapes

Maine Department of Transportation Specific



Maine Historic Preservation Commission
Augusta, Maine
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Above Ground Cultural Resource Survey Manual

Guidelines for Identification: Architecture and Cultural Landscapes

Project Submission Requirements for FHWA/FTA/MDOT sponsored Surveys Pursuant to Maine's Statewide Programmatic Agreement

INTRODUCTION

This document provides guidance for independent contractors and staff working for the Maine Department of Transportation (MDOT) undertaking architectural surveys of Maine's buildings, structures, and landscapes. The purpose of the guidelines is to enable contractors to understand and meet the minimum requirements for documenting their findings and reporting such findings to the Maine Historic Preservation Commission (MHPC) pursuant to the statewide Programmatic Agreement with Federal Highway Administration (FHWA), Federal Transportation Administration (FTA) and MDOT. The guidelines and requirements developed by MHPC are built on the Secretary of the Interior's Standards and Guidelines for Identification ("Standards")(see Appendix II for full text of these Standards) and reflect the Commission's commitment to the survey of the state's historic resources.

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 to the Commission's mandate. 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 45 years old or older. The following pages outline the minimum requirements for surveys submitted to the Maine Historic Preservation Commission. Consultants must check with MDOT for additional or project specific requirements.

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

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CHAPTER I. PROJECT SUBMISSION REQUIREMENTS

Submitting a project assigned by MDOT to MHPC is a two-step process as outlined by the MHPC/MDOT Standard Operating Procedure in Appendix IV. The following are the minimum required products that must be submitted to MDOT/MHPC.

Step I: Electronic submission, for preliminary review by MDOT and MHPC.

The following will be submitted to MDOT:

- all survey forms for project entered into the Cultural Architectural Resource Management Archive (CARMA) and completed;
- topographic map, labeled with APE, survey boundaries, and keyed to survey forms. The map will be scanned as a .pdf or .jpg and submitted electronically;
- survey report (.doc), submitted electronically;
- matrix (.doc), submitted electronically.

Step II: Final, hard-copy submission, for consultation with MHPC.

The following will be submitted to MDOT and forwarded to MHPC:

- hard-copy survey forms with attached photographs;
- photographs (attached to forms);
- topographic maps; supplementary maps as needed;
- negatives;
- negative and CD index;
- CD with digital images;
- survey report;
- matrix;
- finding of effect report (if applicable).

All projects will be reviewed for completeness, accuracy, and adherence to the guidelines herewith outlined. Any survey that does not meet these guidelines will be returned to the contractor for corrections or additions.

CHAPTER II. SURVEY FORMS AND GENERAL PROCEDURES

A. Overview.

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 accurately, 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. All resources over 45 years of age within the survey boundary need to be recorded, including garages, bridges, piers and wharfs, dams, and other outbuildings or structures.

Step I. Electronic submission.

All surveys will be recorded into CARMA. The following forms can be entered directly into CARMA: Historic Building/ Structure , Historic Barn /Agricultural Outbuilding, Farmstead Cover Sheet, and Continuation forms.

The following resource types will be recorded on MHPC forms, scanned as .jpps or .pdfs and uploaded onto Continuation sheets in CARMA: Linear Feature Form; MDOT Bridge Survey Forms, Post World War II Residential Features; and landscape forms. Any changes to these forms must be approved by MHPC prior to resource recordation.

Step II. Hardcopy submission

1. Photocopies of the forms will not be accepted.
2. Survey forms must be printed onto index or cover stock (100 or 110 lb) for submission.
3. Survey forms must be printed double-sided. Single sided surveys will not be accepted.
4. Nothing should be stapled to the survey forms. All information should be recorded on the appropriate survey form or continuation sheet.
5. Do not bind the survey forms.
6. Do not three-hole punch the survey forms, or otherwise damage the forms.
7. Handwritten forms will not be accepted.

B. Types of Forms, Overview

There are eight types of survey forms used by the Maine Historic Preservation Commission. The same form can be used for both reconnaissance level surveys and intensive level surveys.

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

1. Historic Building/Structure Survey Form [Structure].

This form is used to record any buildings or structures on a property, whether they are commercial, residential, governmental, or religious. This form can also be used to record cemeteries, gravestones, markers, or statuary. This form is not used to record barns or agricultural outbuildings.

Reconnaissance surveys: questions 1-7, 10-25, 27, 36-44 are required

Intensive level surveys: complete the entire form.

2. Barn Form

This form is for individual historic agricultural properties (which may or may not be 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 agriculturally related 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. The barn form is not used to collect information on buildings erected as workshops, schools or garages.

Reconnaissance surveys: Fill out the front side of the 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 is also used. Almost all of the fields on the form can be evaluated based on exterior viewing of the structures. On a large farm some of the outbuildings may not be visible or close enough to describe. If it is not possible to adequately record these properties on a barn form, record their presence on the Farmstead form only. Fill in #75 only if the date of construction is documented by reliable sources. Affix photograph to the back of the form.

Intensive surveys: 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. Affix photograph to continuation sheet.

! All barns must be recorded individually, even when connected to another building !

3. Farmstead Cover Form

This form is used to record an existing or historic farmstead. It provides the context for understanding the relationships between the individually recorded historic agricultural properties, the landscape, and any other structures, features, or buildings present. 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 sketch map needs to be scanned at 200 – 300 ppi (or larger if necessary) and saved as a .jpg for uploading into CARMA. The map records the spatial distribution of all architectural, cultural and landscape features on a farm, and also serves to document the presence of structures and sites not individually recorded.

Reconnaissance level: Fill in items # 1 – 49, 52, 52, 58, and 60-65, and draw a sketch of the property, as seen from the road. 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 a more detailed and accurate property sketch.

4. Continuation Form

The Continuation Form functions as an ‘extra page’ and can be used in combination with any other form, but it cannot be used alone. Types of information that can or should go on a continuation form:

- additional photographs of a resource or landscape;
- sketch maps (except farms);
- photographs of barns;
- narrative text necessary to adequately describe a property;
- bridge forms, linear feature forms, Post World War II residential feature forms; landscape forms
- copies of historic photographs.

If applicable, transfer the “Data Field #” number onto the continuation sheet to

indicate which field on the parent form is being supplemented. A property may have multiple continuation sheets.

5. Bridge Form

Designed by MDOT, this form is used to record historic bridges.

For each bridge, complete a Structure form, items # 1-7 and supplement the remaining information with a bridge form. The completed Bridge Form must then be scanned as a .jpg (with a resolution of 200-300 ppi, or larger if necessary) and uploaded as a “sketch” onto an associated continuation sheet in CARMA.

! Check with MDOT or MHPC to see if a bridge has already been surveyed !

6. Linear Feature Form

The Linear Feature Form is designed to be used when surveying properties such as canals, railroads or trails. The form can be used to describe either the entire feature (rail track) or a portion of it (rail crossing). For each feature complete items # 1-7 on a Structure form and supplement the remaining information with the Linear Feature Form. Each completed linear feature form must then be scanned as a .jpg (with a resolution of 200-300 ppi, or larger if necessary) and uploaded as a “sketch” onto an associated continuation sheet in CARMA.

7. Post World-War II Residential Structure Supplemental Form.

This form was developed to record stylistic and character defining features found commonly on residential properties constructed after World War II. Use this form with the Structure Form for any property built after c. 1945. This supplemental form must be scanned as a .jpg (with a resolution of 200-300 ppi, or larger if necessary) and uploaded as a “sketch” onto an associated continuation sheet in CARMA.

8. Landscape Recordation Forms.

Contact the Survey Coordinator at MHPC to discuss recording designed or public landscapes. Any landscape forms will be uploaded to continuation sheets in CARMA as a sketch.

C. Which form do I use?

In general, most 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) than the Farmstead cover sheet must be filled out, along with a Barn form for each major agricultural structure and the Structure form for any buildings or structures.

D. What is the threshold for recording a farm?

Many properties, especially in rural areas, may 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. Yet many properties that retain some of these characteristics may not function as farms currently.

The intention of the farmstead form is to capture any remaining characteristics associated with historic agricultural function. It is impossible to develop a litmus test for establishing when to use a Farmstead Form, but if there are associated fields, or barns, or orchards, or pastures, then the Farmstead Form would usually seem warranted. Be aware that associated features may lie across a road, or behind a property and may not be readily visible from the street. It may be helpful to consult current and historic topographic maps and aerial photographs.

E. Special Instructions for Structure Forms

1. Survey Map Number:

- a. Fill in the sequential number that corresponds to the number used to identify the property on the topographic map and/or other maps.

- b. Assign one number for every property recorded on a survey form, even if the property has been previously surveyed. For example, if the property was a farm that contained a house and two barns you would assign survey numbers as follows:
Farm: 1
House: 2
Barn: 3
Barn: 4

- c. Use consecutive integers. Do not use the format 12.1, 12.2, 12.3 or 12a, 12b, 12c. See section II K for additional guidance.

2. Field #2:

a. If a property has been previously surveyed and a MHPC # assigned in the “MHPC USE ONLY” box, enter this number into field #2 “Other Name”. If a property has been previously surveyed and a MHPC # has not been assigned enter into field #2 the identifying information from the survey map number and survey map name fields of the old survey. For example “Super Mountain Cell Project, #27”.

3. Field # 3.

a. Answer all three sections of field #3: E911 street address, Route #, and if appropriate, any road name found on the associated topographic map.

b. All surveys must include a street number: surveys without street numbers will be rejected. Street numbers can be obtained at town offices, and every effort should be made to identify the correct 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).

c. All surveys must include a street name, 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. However, because some of E911 names are very recent, also indicate any name that is present on the topographic map. Be aware of when a street or route crosses into another town.

4. Field #6

The “date recorded” required is the date the property was visited in the field. This should be the same date the property is photographed.

5. Fields #, 12,13

a. If a property is essentially vernacular with a few minor stylistic details please check “vernacular” for the primary stylistic category (#12) then choose an appropriate descriptor for the other stylistic category (#13).

b. Please evaluate stylistic features carefully. Do not confuse style with form. “Cape” or “New England Farmhouse” are not styles and will not be accepted.

6. Field #15.

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

7. Fields #'s 16,17, 20, 22, 23, 24.

Check as many boxes as necessary for each question to accurately describe the property.

8. Field # 27. The estimated date field is not optional. Please base this estimate on stylistic attributes, settlement patterns, examination of maps, etc. Assessor's records are seldom accurate for properties built in the 18th, 19th or 20th century prior to c. 1960, and should not be used.

F. Special Instructions for Barn Forms

1. Survey Map

- a. Each barn receives its own survey number. Use consecutive integers. Do not use the format 12.1, 12.2, 12.3 or 12a, 12b, 12c.

- b. See section II K for additional guidance.

2. Field # 66. Look closely at the barn or outbuilding 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.

3. Field # 67. Many 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.

4. Field # 69. A minimum of two boxes should be checked for this question. Check one box for the style or form and one box to indicate whether it is connected or detached. Both English and New England style barns can also be bank barns, depending on siting and foundation. To indicate this, check off three boxes.

5. Field #'s 70, 71, 73, 74.

Check as many boxes as needed to fully describe the resource.

6. Field # 76 The estimated date field is not optional. Please base this estimate on stylistic attributes, settlement patterns, examination of maps, etc. Assessor's records are seldom accurate for properties built in the 18th, 19th or 20th century prior to c. 1960, and should not be used.

7. Notes on Barn Photographs:

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

- b. The photograph must focus on the barn or outbuilding 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. Remember, the purpose of this survey is to record information adequate for making a determination of eligibility and potential effect. In order to do this we need detailed information on each resource.

G. Special Instructions for Farmstead Forms

! IMPORTANT PROCEDURAL NOTE !

ENTER FARMSTEAD FORMS INTO CARMA BEFORE ENTERING ASSOCIATED STRUCTURE, BARN OR CONTINUATION FORMS.

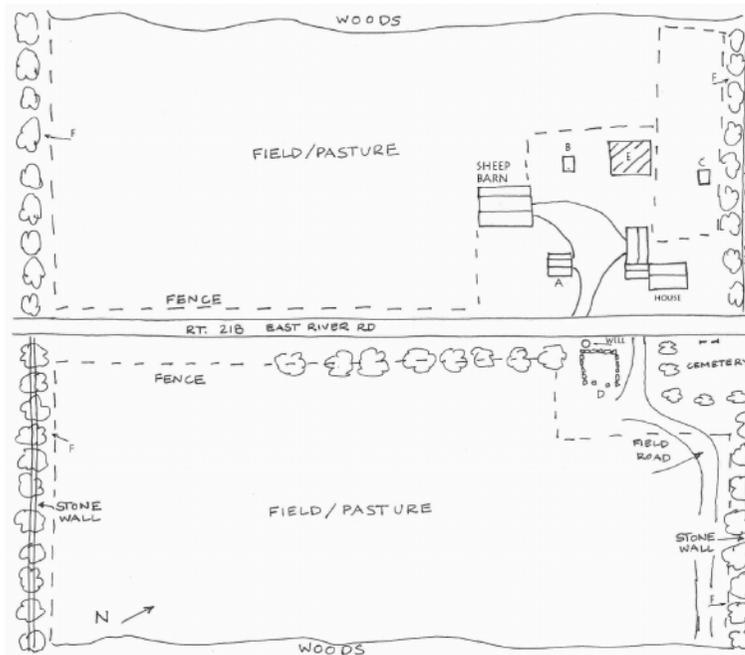
1. Farm forms need to be filled out for those properties that are either currently farms, or were farms historically. This includes family farms in rural areas if any aspect of the farm (other than a barn) exists. Barn forms or Structure forms need to be filled out for each building or structure on a farm unless it is a minor shed or new building. Garages do not go on barn forms unless they clearly were barns historically.
2. The Farmstead form should strive to capture information about any fields, orchards, pastures, farm roads, stone walls, windrows or other cultural or landscape features that characterize the farm. This information is necessary in order to evaluate the integrity of the farm, including its setting and location. Additional photographs that depict the landscape or other features should be submitted on continuation sheets.
3. Survey Map #
 - a. Assign a unique number to each Farmstead Cover form. When additional forms are associated with a Farm form number the Farm form first and then the structure and then any barns or outbuildings. Use consecutive integers. Do not use the format 12.1, 12.2, 12.3 or 12a, 12b, 12c.
 - b. See section II K for additional guidance.
4. Field # 46. Review either town records or aerial images and provide the number of acres on a farm in field # 46. (An estimate is fine.)
5. Field # 49: Enter here those structures, buildings, sites and objects located on the property that do no 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 #49. For each structure or building listed, please give an indication of why a survey form was not filled.

6. Field # 50, 51

The estimated or documented dates for the farmstead should be a range of dates representing the earliest extant structures on the farm to the most recent structure, or the year in which the farm passed out of active agricultural projection.

7. Sketch Map:

Include each resource listed in #49 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.



H. What if the property has already been surveyed?

Different MDOT project boundaries and/or areas of potential effects may overlap; properties may also have been recorded by grant funded surveys, volunteer surveys, or other projects. It is up to the MDOT consultants to determine if any previous surveys exist within their project boundaries, and then to determine if the area needs to be re-surveyed.

! Surveyors must consult with MHPC to determine if previously surveyed properties have been entered into CARMA. See section II K for additional guidance.

The following matrix addresses some common scenarios vis-à-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 or is very old.	N/A	Fill out new survey form. Enter into CARMA.
Property previously surveyed: Not entered into CARMA.	Photocopy the old form and bring it into the field for reference.	<p>If the property has not changed, enter the information from the old survey into CARMA. Assign a new survey # to key the survey to the map. Transfer MHPC Inventory No. from upper left corner of old form and pencil the same number above the Inventory No. box on the new form (hardcopy). Enter the MHPC #, or other map name/number into field #2 in CARMA. Submit both the new form and the copy of the old form with the project. Take a digital image of the resource to upload into CARMA. (Alternately, complete a new survey form and enter into CARMA.)</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, photograph property and enter into CARMA. Enter the MHPC #, or other map name/number into field #2 in CARMA.</p>
Property previously surveyed: Already entered in CARMA.	Print a copy of the form from CARMA (or photocopy the hard copy) and bring it into the field for references.	<p>If the property has not changed submit the copy of the old form with the survey project. Use a new survey number to key the project to the topographic map and write that number on the old form.</p> <p>If the property has changed, complete a new survey form and enter into CARMA. Transfer MHPC Inventory No. from upper left corner of old form and pencil the same number above the Inventory No. box on the new form. Enter the MHPC #, or other map name/number into field #2 in CARMA. Submit both the new form and the copy of the old form. Upload a new photograph.</p>

Property previously surveyed and entered into CARMA, but additional resources present (i.e. barns, agricultural resources).	Print a copy of the form from CARMA (or photocopy the hard copy) and bring it into the field for references.	Create new forms for previously surveyed property if changes are evident. Fill out barn or farmstead forms as necessary. Enter each new form into CARMA and submit with copy of old form.
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I. Do properties in a National Register Historic District need to be surveyed?

Yes, unless they have already been recorded in CARMA. Check with MHPC to see if survey numbers have already been assigned.

Be certain to submit a copy of the National Register Historic District Sketch with the completed survey. Indicate the boundaries of an established historic district on the topographic map.

J. What if a property in the project area is listed in the National Register?

If the property is not already recorded in CARMA a survey form needs to be filled out. Check with MHPC to see if survey numbers have already been assigned.

Surveyors will want to familiarize themselves with the significance of a property and its character defining features before it is surveyed. Take a copy of the nomination form into the field. Ensure that all areas of significance and contributing features or resources are recorded. Determine if the property continues to retain integrity and look to see if alterations have made. This applies to both individually listed properties and historic districts.

In the “National Register Eligibility” section of the survey report, provide a summary of the area of significance, period of significance and character defining features for each NR listed property, and evaluate if these have changed since the property was listed in the National Register.

K. What if this is a continuing project or expanded project?

It is very important that the survey map numbering be continuous throughout the course of a project. If an APE is expanded or the project route shifts surveyors must determine what the last survey map number assigned was and continue numbering the new or expanded section from there. Survey map numbers cannot be used more than once within a PIN #.

Example: The Turner/Buckfield project was surveyed in 2002, 2005, 2009. The surveyors each started their segment with # 1. This is not possible anymore. If 25 properties were surveyed in 2002 than next section would start with # 26.

! It is surveyors responsibility to CHECK with MDOT to determine if you have been assigned a continuing or expanded project.

CHAPTER III. PHOTOGRAPHS

The following is required for MDOT surveys.

A. Black and White Film.

1. Each resource shall be photographed with black and white film. This film shall be developed and a contact print made from the negatives. The negatives and contact print shall be indexed to the survey forms and the corresponding digital images (see below) and submitted with the survey.
2. If the facilities are available, surveyors may choose to print each film image, utilizing a true black and white photographic process and printed preferably on non-resin coated fiber based paper. The finished photographs need to be thoroughly washed, printed with borders, and measure 3 ½ x 5 inches. These photographs must be mounted on the survey forms using archivally safe adhesive, such as Elmer's Glue. Photographs attached with paperclips or staples will not be accepted.
3. If the facilities are not available to print true black and white photographs surveyors may choose to print from a digital image, as described below. However, all surveys must be accompanied by black and white negatives and contact sheets.

B. Digital Images

1. An identical (or nearly identical) image shall be taken of each resource with a digital camera. The original image size must be no smaller than 1600 x 1200pixels at 300 pixels per inch. The digital images shall be saved in RGB color format. All digital images shall be burned onto a CD-R or DVD-R disk, and the disk labeled with project name, PIN # or MHPC #, surveyor name and date of images. The individual images must be labeled in a manner that allows them to be linked to the specific survey form. Use a consistent method in each project.

Preferred name: Pin #_Survey Map #.jpg

Example: 01234_1.jpg

01234_1a.jpg (for multiple shots of the same resource)

Alternative name: Pin #_address_description.jpg

Example: 01234_1Main_barn.jpg

2. Each digital image shall be uploaded into CARMA.
3. A test image, in black and white, may then be digitally printed directly onto a blank survey form (using the required cover-stock). If the printed image is clear (no bleeding), then all the survey images can be printed directly onto the forms (in black

and white), when the forms are printed from the website. (Surveyors need to send a sample image on survey cover stock to MHPC for approval.) If the test image is not clear, then all the digital images should be printed onto photographic paper as specified below and this image will then be affixed to the submitted copy of the survey using archivally safe adhesive.

4. The digital images shall be indexed to the survey forms and the black and white negatives.

5. Digital image printing. All digital images printed for architectural surveys must meet a 75 year archival standard. The standard is met through a combination of archival photographic paper and photographic ink. These combinations are subject to change.

Archival quality paper: Use manufacturer recommended paper for photograph prints.

Some examples:

- Epson Premium Glossy Paper
- Kodak Ultra Photo Premium
- HP Professional Satin Photo Paper
- Matte Epson Ultra Premium Glossy Photo Paper
- HP Premium Plus Photo Paper

Ink: Manufacturer recommended ink for photograph printing.

Some examples:

- Epson UltraChrome K3
- Kodak No. 10 Pigmented Inks
- HP Vivera Pigment Inks
- Epson Claria "Hi-Definition Inks"
- Epson DuraBrite Ultra Pigmented Inks
- HP Vivera 95 dye-based inks

These examples are based on the National Register of Historic Places Photographic Standards. Please consult the NR Photographic Standards for more information and updates on digital prints. http://www.nps.gov/nr/publications/guidance/Photo_Policy_final.doc

C. Additional Photographic Standards and Guidance

1. 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.

2. 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.

3. 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.
4. All photographs are to be printed in black and white only: no color images will be accepted.
5. All film prints must be generated utilizing a true photographic process and thoroughly washed.
6. All film photographs shall be printed preferably on non-resin coated fiber based paper.
7. All digital images must be printed using a combination of archival ink and paper as referenced above. Prints with streaks, lines, large pixels or poor ink quality will be returned.
8. All photographs shall be printed in black and white, 3 ½ by 5 inches.
9. Photographs shall 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.
10. Do not mount photographs in a manner that obscures printed material on the form. If the photograph is too big to fit in the space provided mount it on a continuation sheet. Barn photographs may be mounted on the back of the Barn form.
11. For properties listed in or determined to be eligible for listing in the National Register additional photographs must be submitted that depict the property in relation to the proposed project area (i.e. road, bridge, culvert).
12. For properties within eligible historic districts include photographs of the overall landscape showing the relationship of resources to each other (i.e. street views).
13. For properties within eligible historic districts or farmsteads, additional views should be used to supplement the curbside image, to provide overall landscape images, or capture specific features, including stone walls, terraces, tree lines, etc. Additional photographs should be attached to continuation sheets.
14. Attach as appendix to the survey report digital images of all non-contributing resources within an eligible historic district. Reference these photographs in the

survey report under “NR Eligibility”, discuss the impact the resources have on the eligible district, and key the photographs to the district map (see section VI. H).

15. 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.

CHAPTER IV. NEGATIVES

A. All negatives and contact sheets are to be keyed to the survey forms on a separate index sheet.

1. The index must include:
 - a. the photographer's name
 - b. date of photographs
 - c. town
 - d. PIN # or MHPC #
2. Negatives and contact sheets shall be submitted in archival 3 ring binder archival sleeves. (Print File 35-7B, 35 mm negative preservers are recommended.)
3. Each archival sleeve must be labeled with the photographer's name, project number and date. Use an archival photo pen to write on the sleeve's label.
4. Do not write in the field "File Number". Leave this field blank.

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

C. Surveys submitted without negatives or contact sheets, or without the negatives keyed to the survey forms will not be accepted by the Commission.

CHAPTER V. CD's

A. All surveys must be accompanied by CD or DVD of digital images.

1. All digital images must be labeled and keyed to the survey forms and negatives.
2. All digital images must be either .tiff, .jpeg or RAW formats.
3. The original image size must be no smaller than 1600 x 1200pixels at 300 pixels per inch. The digital images shall be saved in RGB color format.

B. Product Specifications

1. Best: CD-R Archival Gold or DVD-R Archival Gold disk
2. Acceptable: CD-R, DVD-R, or any disk obtained from a commercial photo processor.
3. Not acceptable: CD-RW or DVD-RW (if packaging says "rewriteable" do not use).

C. Labeling

1. Label the disk either with labels printed directly on the disk by laser printer (non-adhesive), or with hand-written labels using CD/DVD safe markers or other markers (Sharpies). Do not use ammonia/solvent-based markers or adhesive stickers.
2. The disk must be labeled with the photographer's name, project number and date.
3. Submit the disk in either a paper jacket or slim jewel case.

CHAPTER VI. MAPS

A. Every survey must be carefully keyed to a 7 ½ minute USGS topographic map which includes buildings and structures. (Copies may be submitted). Black and white copies may be submitted provided that project boundaries and all resources are clearly depicted.

B. Additional maps, including tax maps, may be used in dense urban areas. If, due to the density of the resources additional maps are used, the topographic map needs to be graphically annotated to indicate that the surveys are keyed to a separate map.



C. Place project identification number (PIN) on each map.

D. Make sure that each map is given a title.

E. Survey Map Information Requirements:

The following three items need to be submitted on the same topographic map. For large projects the topographic map may be split into segments if necessary.

1. Label each individually surveyed resource using a logically assigned, sequential, survey map number. Use whole numbers only. The sequentially numbered properties should be geographically related to each other. The survey map number will also be used to key the survey forms to the negatives.
2. Draw the boundaries of the APE in red on the topographic map.
3. Draw the survey boundaries in blue or black on the topographic map.

F. Aerial photographs can be submitted in addition to topographic maps, but not in lieu of topographic maps.

G. If the project is large and submitted on multiple topographic maps provide an additional, topographic map on which is drawn the full extents of the APE and Survey boundaries.

H. Historic districts

1. Clearly depict and label the boundaries of any National Register listed or eligible historic districts on either the master map, or a secondary topographic map. Label both contributing and non-contributing resources.

! 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.

CHAPTER VII. NEGATIVE and DIGITAL IMAGE INDEX

The negative index provides the link the between the negatives, the digital images, the surveys and the maps.

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

- 1.Survey Map #
- 2.Survey Map Name
- 3.Property Address/Description
- 4.Roll #
- 5.Frame #s
- 6.Digital Image #s

SURVEY MAP #	SURVEY MAP NAME	PROPERTY ADDRESS/ DESCRIPTION	ROLL #	FRAME #S	Digital Image #'s
1	N. Whitefield: PIN 1234	571 East River Road, Whitefield	1	1,2,3,4,5	1234_1.jpg
2	N. Whitefield: PIN 1234	599 East River Road, Whitefield	1	6,7,8,9,10	1234_2.jpg, 1234_2a.jpg
3	N. Whitefield: PIN 1234	586 East River Road, Whitefield	1	11,12	1234_3.jpg
4	N. Whitefield: PIN 1234	Landscape and road view	1	13	1234_4.jpg
5	N. Whitefield: PIN 1234	Across from 599 East River Road [Ware Cemetery]	1	14,15	1234_5.jpg 1234_5a.jpg
6	N. Whitefield: PIN 1234	661 East River Road, Whitefield	1	16,17,18,19, 20	1234_6.jpg through 1234_6c.jpg

CHAPTER VIII. SURVEY REPORT

! Surveyors are advised to carefully proof their reports. If using standard terms or phrases be certain to delete any inappropriate references to prior projects or reports.

Each survey must be accompanied by a brief report. This report must be prepared on the MHPC Architectural Survey Report Form (Appendix V) in accordance and meet the Secretary of the Interiors Standards for Identification and the Secretary of the Interior's Guidelines for Identification (Appendix II).

Title/Header	Provide the title of the report, location of project, and the MDOT PIN number.
Author	Provide the name, address, phone number and e-mail for the author of the report.
Agency	Provide the name, address, phone number and e-mail for the sponsoring agency (MDOT)
Date:	Provide the dates from when the project was started up through when the report was written and/or revised and submitted.
Level	Reconnaissance or Intensive
Name of surveyors author.	Provide contact information for each surveyor, if different from author.
Continuing project? to	Please indicate if this is a continuing project, and if so, how it relates to previous efforts. List any related PIN #'s.

I. EXECUTIVE SUMMARY

Provide a brief overview of the project, the scope of work, the types of properties identified, whether any are National Register listed or eligible. If a finding of effect report is submitted, reference these findings as well.

II. RESEARCH DESIGN AND BACKGROUND RESEARCH

A. Basis: Describe the purpose of this survey. Identify the Federal or State regulations mandating this survey, or any Programmatic Agreements associated with this project.

B. Project Description/

Scope of Work Describe the underlying project, specifically citing the type of project and duration of project. Summarize planned or anticipated alterations to landscapes, buildings, structures, districts, objects or sites.

The description of the project should be based on the information provided by MDOT. Surveyors are responsible for obtaining as much information as possible about the scope of the project before starting the survey in order to determine the APE.

C. Area of Potential Effect

Review discussion of defining the area of potential effects in Chapter VIII; especially “Points to Remember” and VIII.B.2 “Examples”.

1. On the topographic map draw the outermost boundary of the area of potential effect in red. Label this line “Project APE”. If necessary, additional topographic maps or overlays may be submitted showing the limits of each specific APE if more than one potential effect is present within the project area.

2. List all the potential effects associated with the above cited scope of work. Distinguish between direct and indirect effects when applicable. If the project is not well defined discuss the various alternatives and define a reasonable APE that takes into account the largest scope of work.

3. Provide a narrative of how the geographical limit of each potential effect within the project area was established.

D. Survey Boundaries:

1. Draw the boundaries of the survey on the topographic map in blue or black and label this line “Survey Boundaries.” The boundaries of a survey map include portions of a property that lie outside the APE.

2. Provide a narrative describing the limits of the surveyed area. The survey boundary may be larger than the APE – if so, explain the difference. Make reference to geographic landmarks, addresses or political boundaries. Utilize reasonable demarcations – tree lines, back lots.

For example: a project may have an APE for takings in which the direct effects only extend 30 feet to either side of a road. If one of the resources in the survey area is a motor court with cabin complexes that extend for 400 feet off the road, the surveyor would need to record the entire complex in order to determine if it was eligible for listing in the NR. In this case, the boundary of the survey would extend outside of the APE and be marked either by visual or political (ownership) boundaries.

Similarly, in many locations the setting of a property must be taken into consideration when evaluating the eligibility of a property (Setting is one of the seven aspects of integrity.) The setting may extend beyond the APE, and be bound by visual landmarks – tree lines, ridge lines, valleys, etc. The boundary of the survey needs to include all of a properties character-defining features, and as such, may be more extensive than the APE.

If a portion of a potentially eligible historic district is within an APE it might be necessary to survey, or otherwise evaluate, the eligibility of the portion of the district beyond the APE. Again, this could result in a difference between the survey boundaries and the APE boundaries.

E. Survey Methodology:

1. Describe background research method, including archival and historical research, institutions consulted, location of data, etc.
2. Describe field research method.
3. Indicate whether a file search was undertaken at MHPC for National Register listed or previously recorded properties.

III. SURVEY FINDINGS

- A. Acres Provide the total number of acres within the survey boundaries.
- B. Setting Provide a general overview of the setting(s) in the project area. Include a summary of the topography, level of development, land use and landscape features.
- C. Number of Resources Recorded

Count each individually recorded building, structure, object, or site. Do not include continuation sheets in this count. Differentiate between newly recorded resources and previously surveyed resources.

D. Previously Recorded Properties

Address whether any of the resources had been previously surveyed. If so, how many, and how were these properties represented and evaluated within the current project?

E. Types of Properties

1. Summarize general trends within the project area: commercial, residential, urban, rural, etc.
2. Summarize the age, style, and condition of the resources within the project area, including surveyed and un-surveyed properties. The matrix is designed to summarize this information, not to replace the narrative description.
3. Describe in greater detail any eligible individual properties or historic districts.

F. NATIONAL REGISTER ELIGIBILITY

This section should contain recommendations as to which surveyed resources are eligible for inclusion in the National Register, accompanied by a statement as to why it does or does not meet the National Register criteria for listing. Be certain to cite relevant criteria, (A, B, C, or D), and discuss the context in which the property is significant. Recommendations should look both at individual properties and the potential for historic districts.

1. List all new or previously determined eligible, or previously listed National Register properties. For each property address the resource's integrity, the applicable National Register criteria(on), the area of significance and the period of significance. Define the property's character defining features.
2. For an eligible historic district provide a topographic map showing the limits of the proposed district. Supply additional photographs illustrating street or landscape views, as well as all non-historic or non-contributing resources.

IV. BIBLIOGRAPHY

Provide standard citations for resources consulted.

V. FINDING OF EFFECTS

This report should address the issues raised in Chapter IX.

CHAPTER IX. FINDINGS OF EFFECT REPORT

Section 106 stipulates that agencies will take into account the effects of their undertakings on historic properties. To do so an agency needs to be able to determine:

1. What constitutes an effect on a historic property, and
2. How to reach a formal determination of effect.

The Advisory Council defines “effect” in two parts:

The criteria of effect : which determines whether there will be an effect; and

The criteria of adverse effect: which determines whether an effect is harmful

An agency first determines whether an undertaking will result in an effect to a historic property, and if so, it determines whether the effect is adverse. The two determinations are usually made at the same time, but to understand them clearly, we need to consider them in sequence.

Points to Remember. When applying the criteria of effect, remember that:

1. An effect does not have to be negative to be an effect. If the undertaking will change the relevant characteristics of the property at all, it will have an effect. Therefore, even a beneficial effect is nevertheless an effect.
2. However, to have an effect, the undertaking must have the potential to “alter characteristics of the property that may qualify [it] for inclusion in the National Register.” If the undertaking will alter the property in some other way, there may not be an effect for the purposes of Section 106. Therefore it is critical to understand why the property is significant and what elements of the property contribute to its significance.
3. The potential alteration does not have to be a certainty; as long as the undertaking may alter the relevant characteristics, it must be found to have an effect.
4. All possible effects of an undertaking on historic properties are to be considered under Section 106; including visual/audible effects, effects on land use, and other effects to setting, feeling and association.
5. The agency should consider not only the changes that may occur at the time of the undertaking, but also those reasonably foreseeable effects that may occur later in time.

6. Effects do not need to be direct and physical. For example, altering the way an eligible place of traditional cultural importance to a community, tribe, or other group is used has an effect.

A. Criteria of Effect

1. To have an effect, the undertaking must have the potential to alter the characteristics of a property that qualify it for the National Register; such characteristics may include a property's location, setting, or use.
2. Findings of "no historic properties affected" are appropriate only when:
 - a. the agency has determined that there are no historic properties in the area of potential effects (APE), or
 - b. the agency has determined that there are historic properties in the APE but the undertaking will not have any effect on them. [36 CFR 800.4(d)1(1)]

B. Criteria of Adverse Effect

1. If an agency determines that an undertaking will have an effect on a historic property, it must then assess whether or not the effect will be adverse by applying the criteria of adverse effect. [36 CFR 800.5]
2. Examples of adverse effects. Adverse effects on historic properties include, but are not limited to:
 - a. Physical destruction of or damage to all or part of the property;
 - b. Alteration of a property, including restoration, rehabilitation, repair, maintenance, stabilization, hazardous material remediation and provision of handicapped access, that is not consistent with the Secretary's Standards for the Treatment of Historic Properties (36 CFR part 68) and applicable guidelines;
 - c. Removal of the property from its historic location;
 - d. Change of the character of the property's use or of physical features within the property's setting that contribute to its historic significance;
 - e. Introduction of visual, atmospheric or audible elements that diminish the integrity of the property's significant historic features;

f. Neglect of a property which causes its deterioration, except where such neglect and deterioration are recognized qualities of a property of religious and cultural significance to an Indian tribe or Native Hawaiian organization; and

g. Transfer, lease, or sale of property out of Federal ownership or control without adequate and legally enforceable restrictions or conditions to ensure long-term preservation of the property's historic significance.

C. Making a Finding of Effect

A finding of effect must be made for each undertaking in accordance with the Advisory Council's regulations in 36 CFR Part 800.4 and 800.5. The level of documentation that must be provided to support a finding is based in part on whether or not historic properties have been identified in the APE, and secondly what the nature of the effect is when historic properties are present.

1. If there are no historic properties present in the project area, or there are historic properties present but the undertaking will have no effect upon them, then a finding of "no historic properties affected by the proposed undertaking" may be made. Supporting documentation for this finding includes:

- a. A description of the undertaking, specifying the Federal involvement, and its area of potential effects, including photographs, maps, drawings, as necessary;
- b. A description of the steps taken to identify historic properties, including, as appropriate, efforts to seek information pursuant to §800.4(b); and
- c. The basis for determining that no historic properties are present or affected.

2. If there are historic properties in the project area which may be affected by the undertaking, then the criteria of adverse effect shall be applied to make a finding that either "the proposed undertaking will have no adverse effect upon historic properties" or that "the proposed undertaking will have an adverse effect upon historic properties." The supporting documentation necessary for making either of these findings includes:

- a. A description of the undertaking, specifying the Federal involvement, and

its area of potential effects, including photographs, maps, drawings, as necessary;

b. A description of the steps taken to identify historic properties;

c. A description of the affected historic properties, including information on the characteristics that qualify them for the National Register;

d. A description of the undertaking's effects on historic properties;

e. An explanation of why the criteria of adverse effect were found applicable or inapplicable, including any conditions or future actions to avoid, minimize or mitigate adverse effects; and

f. Copies or summaries of any views provided by consulting parties and the public.

3. In preparing the supporting documentation described above, the following additional information should be provided:

1. The description of the undertaking's effects must identify the individual characteristics of those properties (such as trees, lawns, stone walls, setting, etc.) that would be affected;

2. Additional photographs (color digital acceptable) besides those of surveyed properties which illustrate the characteristics of the setting within the APE that may be affected. These photos need to convey the existing conditions of the APE and, depending on the nature of the undertaking, may need to illustrate shoulder materials and widths, utility pole placement and height, vegetation patterns, slopes, ditches, property setbacks, etc.;

3. Plans. If plans have been developed for a project, they must be used to assess the nature and extent of any effects on historic properties. Consider impacts that result from changes in the vertical and horizontal characteristics of roads and bridges, cut and fill lines, changes to drainage systems (such as the installation of a closed drain system in place of an open one, typically involving the addition of curbing), utility placement, clearing of vegetation to improve sight lines, and right-of-way acquisitions. Plans that show both the existing and proposed characteristics of the road must be included in the submission to the MHPC;

4. Materials proposed for use, including those for sidewalks, curbs, guardrails, and erosion protection;

5. A description of any modifications to the project that have been made for the purpose of avoiding, minimizing or mitigating adverse effects on historic properties, and

6. Visual simulations, sketches or diagrams on photos illustrating proposed alterations to existing conditions and/or ROW boundaries that supplement written descriptions.

CHAPTER X. SURVEY MATRIX

A. The MDOT requires surveyors to summarize the following information in matrix form (see example below).

1. Survey map #;
2. Property address;
3. Town;
4. National Register Eligibility (including listed, individually eligible, historic district eligible, historic district not eligible, not eligible)
5. Applicable National Register Criteria
6. Evaluation of Integrity

B. The matrix must be labeled with the following information:

1. Pin number;
2. Name of survey;
3. Surveyor's name and contact information.
4. Date

SURVEY MAP #	ADDRESS	TOWN	NR ? IND.	NR? DIST.	CRITERIA	INTEGRITY	NOTES
1	571 E. River Road, Route 218	Whitefield	N	Y	A: Settlement, Agriculture C: Com. Planning	Farmstead retains integrity of setting, location, design, association, and feeling.	Farm
2	571 E. River Road, Route 218	Whitefield	N	Y	A: Settlement, Agriculture C: Com. Planning	Retains integrity of workmanship, location, setting, association and feeling. Application of vinyl siding, replacement windows and modern garage impacts integrity of design and materials	House
3	571 E. River Road, Route 218	Whitefield	N	Y	A: Settlement, Agriculture C: Com. Planning	Retains all aspects of integrity except design, which is impacted by modern garage.	Connected barn.

4	586 E. River Road, Route 218	Whitefield	N	Y	A: Settlement, Agriculture C: Com. Planning	Retains most aspects of integrity. New house and garage at SW corner of property impacts setting, but are sympathetic stylistically.	Extensive fields, tree lines, pond. Formerly associated w #'s 1-3.
5	586 E. River Road, Rt. 218	Whitefield	N	Y	A: Settlement, Agriculture C: Com. Planning	Retains integrity of design, setting, location, association, feeling.	Barn formerly associated with #'s 1, 2 & 3
6	Ware Cemetery, East side of E. River Road, Route 218, across from 599 E. River Road	Whitefield	N	Y	A: Settlement, Agriculture C: Com. Planning	Retains all aspects of integrity. Remnants of fence.	
7	599 E. River Road, Route 218	Whitefield	Y	Y	A: Settlement, Agriculture, C: Com. Planning, Architecture	Retains all aspects of integrity.	Original long lot lines, fields on two sides of road.
8	599 E. River Road, Route 218	Whitefield	Y	Y	A: Settlement, Agriculture, C: Com. Planning, Architecture	Retains all aspects of integrity. Well preserved c. 1830 Greek Revival cape.	House
9	599 E. River Road, Route 218	Whitefield	Y	Y	A: Settlement, Agriculture, C: Com. Planning, Architecture	Retains all aspects of integrity.	Livestock outbuilding.
10	599 E. River Road, Route 218	Whitefield	Y	Y	A: Settlement, Agriculture, C: Com. Planning, Architecture	Retains all aspects of integrity.	Agricultural outbuilding.
11	661 E. River Road, Route 218	Whitefield	Y	Y	A: Settlement, Agriculture, C: Com. Planning, Architecture	Retains all aspects of integrity.	Farm, original long lot lines on west side of road.
12	661 E. River Road, Route 218	Whitefield	Y	Y	A: Settlement, Agriculture, C: Com. Planning, Architecture	Retains all aspects of integrity as a early 19 th c. Federal/GR house.	House, south facing
13	661 E. River Road, Route 218	Whitefield	Y	Y	A: Settlement, Agriculture, C: Com. Planning, Architecture	Retains all aspects of integrity as a c. 1835 NE barn	Connected Barn.
14.	661 E. River Road, Route 218	Whitefield	Y	Y	A: Settlement, Agriculture, C: Com. Planning, Architecture	Retains all aspects of integrity as an agricultural outbuilding.	Livestock and wagon shed.

APPENDIX I. DEFINITIONS/GLOSSARY

Area of potential effects means the geographic area or areas within which an undertaking may directly or indirectly cause alterations in the character or use of historic properties, if any such properties exist. The area of potential effects is influenced by the scale and nature of an undertaking and may be different for different kinds of effects caused by the undertaking.

Cultural Architectural Resource Management Archive (CARMA) is the web-based database into which all surveys are entered. CARMA is a joint project of the Maine Department of Transportation and the Maine Historic Preservation Commission. CARMA is accessed at <https://mainedot-roadspray.maine.gov/me-historic/> . Surveyors must contact the CARMA administrator at MHPC for a ID and password in order to access the system. The system is also sometimes referred to as the Maine Historic Properties Workbench.

Consultation means the process of seeking, discussing, and considering the views of other participants, and, where feasible, seeking agreement with them regarding matters arising in the section 106 process. The Secretary's "Standards and Guidelines for Federal Agency Preservation Programs pursuant to the National Historic Preservation Act" provide further guidance on consultation.

Criteria of effect. An undertaking has an effect on a historic property when the undertaking may alter characteristics of the property that may qualify the property for inclusion in the National Register. For the purpose of determining effect, alteration to features of the property's location, setting, or use may be relevant depending on a property's significant characteristics and should be considered.

Criteria of adverse effect. An adverse effect is found when an undertaking may alter, directly or indirectly, any of the characteristics of a historic property that qualify the property for inclusion in the National Register in a manner that would diminish the integrity of the property's location, design, setting, materials, workmanship, feeling, or association. Consideration shall be given to all qualifying characteristics of a historic property, including those that may have been identified subsequent to the original evaluation of the property's eligibility for the National Register. Adverse effects may include reasonably foreseeable effects caused by the undertaking that may occur later in time, be farther removed in distance or be cumulative.

Historic District. A historic district possesses a significant concentration, linkage, or continuity of sites, buildings, structures, or objects united historically or aesthetically by plan or physical development. A historic district may include a number of resources that are relatively equal in importance, such as a neighborhood, or large acreage with a variety of resources, such as a large farm, estate, or parkway. A district may also contain individual resources that although linked by association or function were separated geographically during the period of significance, such as discontinuous archaeological sites or a canal

system with manmade segments interconnected by natural bodies of water. A district may contain discontinuous elements only where the historic interrelationship of a group of resources does not depend on visual continuity and physical proximity.

Historic property means any prehistoric or historic district, site, building, structure, or object included in, or eligible for inclusion in, the National Register of Historic Places maintained by the Secretary of the Interior. This term includes artifacts, records, and remains that are related to and located within such properties. The term includes properties of traditional religious and cultural importance to an Indian tribe or Native Hawaiian organization and that meet the National Register criteria.

Eligible for inclusion in the National Register includes both properties formally determined as such in accordance with regulations of the Secretary of the Interior and all other properties that meet the National Register criteria.

National Register means the National Register of Historic Places maintained by the Secretary of the Interior.

National Register criteria means the criteria established by the Secretary of the Interior for use in evaluating the eligibility of properties for the National Register (36 CFR part 60).

Programmatic agreement means a document that records the terms and conditions agreed upon to resolve the potential adverse effects of a Federal agency program, complex undertaking or other situations in accordance with §800.14(b).

Undertaking means a project, activity, or program funded in whole or in part under the direct or indirect jurisdiction of a Federal agency, including those carried out by or on behalf of a Federal agency; those carried out with Federal financial assistance; and those requiring a Federal permit, license or approval.

Workbench. See CARMA.

APPENDIX II. SECRETARY OF THE INTERIOR'S STANDARDS AND GUIDELINES

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, folk life 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.

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"Red Flag Models: The Use of Modelling in Management Contexts." Jeffery H. Altschul. In Interpreting Space: GIS and Archaeology. Kathleen M. S. Allen, Stanton W. Green, and Ezra B. W. Zubrow, editors. Pp. 226-238. Taylor and Francis, New York, 1990.

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APPENDIX III. CRITERIA FOR LISTING IN THE NATIONAL REGISTER OF HISTORIC PLACES

NATIONAL REGISTER CRITERIA

The quality of significance in American history, architecture, archaeology, and culture is present in districts, sites, buildings, structures, and objects that possess integrity of location, design, setting, material, 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 reflect in an outstanding manner 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 last 50 years shall not be considered for the National Register. Such properties will qualify if they are integral parts of districts that 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 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 guidance on applying these criteria please consult the National Register Bulletin: How to Apply the National Register Criteria for Evaluation.

This document is available online at

<http://www.cr.nps.gov/nr/publications/bulletins/nrb15>

APPENDIX IV. MHPC/MDOT STANDARD OPERATING PROCEEDURE

Maine Historic Preservation Commission and MaineDOT Standard Operating Procedure Maine Historic Property Workbench (CARMA) for MaineDOT Surveys

1.0 APPLICABILITY.

This standard operating procedure (SOP) applies to all staff at the Maine Historic Preservation Commission (MHPC) and the Maine Department of Transportation's (MaineDOT's) Environmental Office (ENV) charged with conducting and approving historic surveys.

2.0 PURPOSE.

This SOP is to ensure efficient and effective use of CARMA (or Workbench) for both the MHPC and MaineDOT. The objective is to establish procedures to identify historic properties in a format that records properties in accordance with MHPC guideline standards and preserves records in an electronic, easily managed and retrievable system. The purpose is also to allow MaineDOT to process surveys in an electronic format to expedite survey recording time and review time. The Workbench, Archive Database and Website is intended to not only benefit MHPC and Maine DOT, but also the public.

3.0 MAINTENANCE

The MaineDOT Cultural Resources Manager and the MHPC CARMA Administrator will ensure that this SOP reflects current needs and standards on an annual basis. Attachments will be updated as needed and the updated information provided to all parties.

4.0 HISTORIC PROPERTY WORKBENCH PROCESS

4.1 Structure

CARMA is administered by the MHPC with technical oversight by the MaineDOT. CARMA is a secure web-based application developed on Microsoft's .net technology and served from an IIS web server housed at MaineDOT.

There are three role types within CARMA: 1) Administrator (full authority); 2) Approver (able to fill out surveys and approve and reject surveys); 3) Surveyor (able to fill out surveys).

4.2 Authorizations

MHPC, also referred to as the Administrator, is responsible for overseeing and authorizing the use of CARMA. This is accomplished through establishing user profiles and passwords. The administrator is also responsible for archiving completed surveys into the archive database.

The Administrator will grant permissions to the MaineDOT Cultural Resource staff in the status of Approver. All historic consultants working for MaineDOT will be granted permission under the status type of Surveyor.

4.3 Accessing the Application

Open an Internet Explorer browser window and navigate to the following URL: <http://mainedot-roadspray.maine.gov/me-historic/> for inside State WAN.
<https://mainedot-roadspray.maine.gov/me-historic/> for outside State WAN

4.4 MaineDOT Initiating and Completing a Survey

The MaineDOT will initiate a survey by entering a new project (town and PIN) into CARMA. This will be accomplished by a MaineDOT approved staff member or a MaineDOT approved historic consultant. The survey will be conducted in accordance with the MHPC Guidelines for Identification: Architecture and Cultural Landscapes- MaineDOT Specific (http://www.maine.gov/mhpc/architectural_survey/docs/MDOT%20Guidelines%20for%20Web.pdf). The survey data and mapping will be filled in accordance with the Historic Property Workbench User Guide-Surveyor Role (located in the “Help” section of CARMA at http://mainedot-roadspray.maine.gov/me-historic/pdf/HPWB_UserGuide_Surveyor.pdf).

Once the survey data has been input into CARMA and the survey is complete it will be submitted to the MaineDOT for review and approval. The survey will also be accompanied by a survey report (word doc), matrix and maps prepared accordance with MHPC Guidelines for Identification: Architecture and Cultural Landscapes – MaineDOT Specific.

4.5 MaineDOT Approving a Survey

The MaineDOT will review and approve or reject completed surveys within CARMA. This will be accomplished by a MaineDOT approved staff member with the status type Approver. The review will be conducted to make sure the survey has been completed in accordance with the MHPC Guidelines for Identification: Architecture and Cultural Landscapes – MaineDOT Specific. The survey data and mapping input will be reviewed for correctness in accordance with the Historic Property Workbench User Guide – Surveyor Role. The MaineDOT Approver will also review the survey report.

A. If the survey, maps, survey report and matrix are complete, then the MaineDOT Approver will submit the survey via CARMA to the MHPC Administrator. The MaineDOT Approver will also submit the maps, survey report, and matrix via email to the MHPC Administrator, thereby indicating the survey is ready for MHPC to review for completeness.

B. If the survey, maps, survey report and matrix are not sufficient, then the MaineDOT Approver will reject the survey (with attached comments) and request the MaineDOT Surveyor make the recommended corrections/additions. The Surveyor will correct the survey, maps, survey report and matrix and resubmit to the MaineDOT Approver for review. Once the MaineDOT Approver accepts the survey and report as complete, it will be submitted to the MHPC Administrator as described in the above paragraph.

4.6 MHPC Administrator Receives/Reviews/Accepts/Rejects a Survey/Report. The MHPC Administrator upon receipt of the survey, report, and maps will review and either accept or reject to survey.

A. If the survey, maps, survey report and matrix are sufficient, the MHPC Administrator will approve it as complete. At this time the MaineDOT Approver may then submit the hard copy survey with survey report, maps, matrix, negatives, CD (if required) and negative index, along with the MaineDOT cover memo to MHPC for consultation.

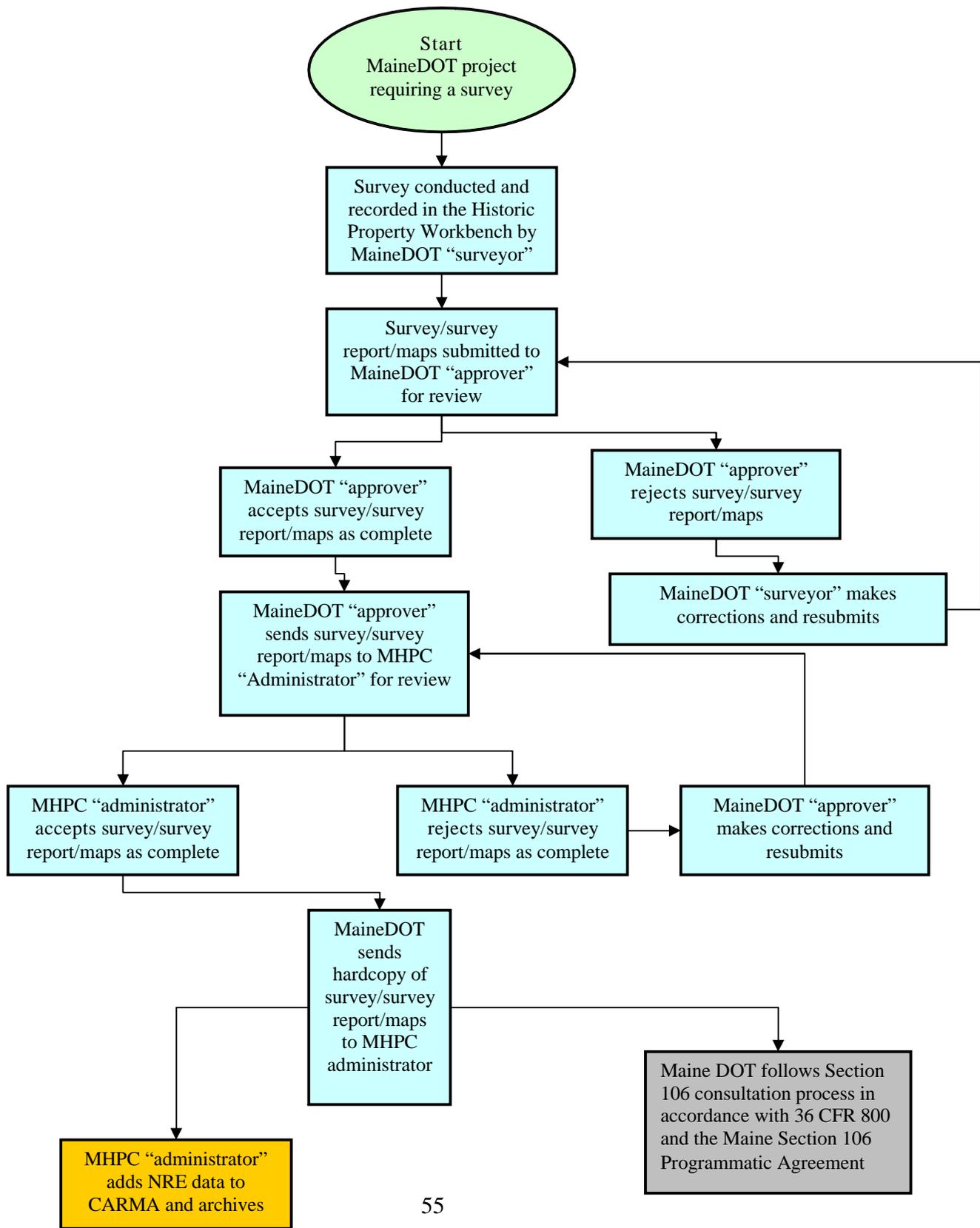
B. If the survey, report, and maps are not sufficient, the MHPC Administrator will reject the survey (with attached comments) and request the MaineDOT Approver make the recommended corrections/additions. The MaineDOT Approver will correct the survey and/or report and resubmit to the MHPC Administrator for review. Once the MHPC Administrator accepts the survey, maps, survey report and matrix as complete, the hard copy survey, with maps, report, matrix, negatives, CD (if required) and negative index, along with the MaineDOT cover memo will be submitted to MHPC for review, as described in paragraph 4.6.A (above).

4.7 MHPC Administrator Archives a Survey

Once the MHPC Administrator accepts a survey as complete, the survey will need administrative information added to the forms within CARMA (such as eligibility). When the MHPC Administrator has entered in this data, the survey can then be archived and removed from CARMA.

5.0 SECTION 106 PROCESS AND CONSULTATION

Once the MHPC Administrator accepts a CARMA survey as complete, the MaineDOT will then follow the process for consultation in accordance with 36 CFR 800 and the Maine Section 106 Programmatic Agreement.



APPENDIX V: SURVEY REPORT FORM

Architectural Survey Report

Title of Report:
Location of project:
PIN# or MHPC#

Author of Report, Title
Author's affiliation
Author's address
Author's email
Author's phone

Prepared for: Sponsoring agency or entity

Dates: Provide the dates from when the project was started up through when the report was written and/or revised and submitted.

Level: Reconnaissance or Intensive

Name of surveyors: (If different from author, provide contact information for each surveyor.)

Continuing project? If so, please summarize previous efforts.

I. EXECUTIVE SUMMARY

II. RESEARCH DESIGN AND BACKGROUND RESEARCH

A. Basis: Describe the purpose of this survey. Identify the Federal or State regulations mandating this survey, or any Programmatic Agreements associated with this project.

B. Project Description/
Scope of Work: Describe the underlying project, specifically citing the type of project and duration of project. Summarize planned or anticipated alterations to landscapes, buildings, structures, districts, objects or sites.

C. Area of Potential
Effect:

1. On a USGS topographic map draw the outermost boundary of the area of potential effect in red. Label this line "Project APE". If necessary, additional topographic maps or overlays may be submitted showing the limits of each specific APE if more than one potential effect is present within the project area.
2. List all the potential effects associated with the above cited scope of work. Distinguish between direct and indirect effects when applicable.
3. Provide a narrative of how the geographical limit of each potential effect within the project area was established.

D. Survey Boundaries:

1. Draw the boundaries of the survey on the topographic map in blue or black and label this line "Survey Boundaries." The boundaries of a survey map include portions of a property that lie outside the APE.
2. Describe the limits of the surveyed area. The survey boundary may be larger than the APE. Make reference to geographic landmarks, addresses or political boundaries. Utilize reasonable demarcations – tree lines, back lots.

E. Survey Methodology:

1. Describe background research method.
2. Describe field research method.
3. Did you undertake a file search at MHPC for NR or previously recorded properties?

III. SURVEY FINDINGS

A. Acres:

Provide the total number of acres within the survey boundaries.

B. Setting:

Provide a general overview of the setting, including topography, development, and landscape.

C. Number of Resources Recorded:

Count each individually recorded building, structure, object, or site. Do not include continuation sheets in this count.

D. Previously Inventoried Properties:

Address whether any of the resources had been previously surveyed. If so, how many, and how were these properties represented and evaluated within the current project?

E. Types of Properties:

1. Summarize general trends within the project area: commercial, residential, urban, rural, etc.
2. Summarize the age, style, and condition of the resources within the project area.
3. Describe in detail any eligible individual properties or historic districts.

F. NR Eligibility:

1. Address resource integrity, NR criteria, area of significance and period of significance.
2. For a historic district provide a topographic map showing the limits of the proposed district illustrating street or landscape views and all non-historic or non-contributing resources.

IV. BIBLIOGRAPHY

APPENDIX VI. SURVEY FILE RESEARCH PROCEDURE

All consultants are required to determine if any of the properties within the Area of Potential Effects (APE) of their project have been previously surveyed – and if this survey resulted in a determination of eligibility for the property.

Procedure

1. Contact the Maine Historic Preservation Commission's (MHPC) Review and Compliance Coordinator to define the level of survey for the project, and to discuss the APE if necessary.
2. Contact the MHPC Survey Coordinator to schedule an appointment to conduct research at the Commission's office in Augusta, Maine.

The following information needs to be sent to the MHPC Survey Coordinator when scheduling the research appointment:

- a. topographic map depicting the boundaries of the APE;
 - b. a list of towns within the APE; and
 - c. a list of bridges names and numbers within the APE.
3. Prior to the appointment, the Survey coordinator will consult the following information sources at the Commission and retrieve any surveys for the subject towns:
 - a. unprocessed and un-filed, completed surveys;
 - b. CARMA database; and
 - c. MDOT bridge surveys.
 4. At MHPC the Consultant will be given access to the survey file room, any surveys identified in section 3 (a), (b), and (c) above and a photocopier. National Register files will be made available for any properties within the APE.

It is the Consultant's responsibility to determine which, if any, of the previously surveyed properties fall within their APE.

Prior to undertaking research at MHPC Consultants should review the Previously Surveyed Property Matrix (attached, from the Survey Manual) to determine how to treat previously surveyed properties.

Survey Room Organization

Drawers are grouped by County; towns are the alphabetized within the County drawers.

Usually a town will have a general folder labeled with the town name. Behind this folder may be other survey projects that do not fit in the folder.

Some towns are broken down into either streets or map/lot folders. These usually are indexed to the map that accompanied the survey report, and it should be in a marked folder under the town name.

Survey Cover Sheet.

At times a project may cover more than one town. For filing purposes the project is broken down into component towns, but the maps and reports are not copied multiple times. The survey cover sheet will indicate where the maps and report are filed if separated from the forms.

Eligibility Assessment

There are two methods for designating National Register eligibility on the survey forms.

1. Yellow post-it notes on survey form (sometimes other colors), or
2. Completed “MHPC Use Only” section on the forms. The abbreviations in this section are :

L = listed; HD = historic district; E= eligible;
NE = not eligible; ND = not determined.

In lieu of either a post-it note or completed “MHPC Use Only” section, the property’s eligibility assessment should be considered to be “not determined.”