GUIDELINES FOR CONDUCTING HISTORIC RESOURCES SURVEY IN VIRGINIA

October 2011

Virginia Department of Historic Resources
2801 Kensington Avenue
Richmond, Virginia 23221
(804) 367-2323

TABLE OF CONTENTS

ACKNOWLEDGMENTS

Guidelines for Conducting Historic Resources Survey in Virginia is the product of the combined efforts of the Department of Historic Resources (DHR) staff, with contributions from many in the state's historic resources community, and to these individuals DHR owes a debt of gratitude for helping to bring this document to completion. The first version of DHR's *Guidelines for Conducting Historic Resources Survey in Virginia,* referred to as *DHR Guidelines* in this document, was prepared by DHR's former Survey and Register Programs Manager Margaret Peters in 1999 and updated in 2000. From that point initial expansion and updating of *DHR Guidelines* was undertaken by DHR staff members Ariel Lambert Billmeier, Quatro Hubbard, Trent Park, and Paige Weiss Pollard. Completion of *DHR Guidelines* was carried out by DHR's Survey Guidelines Committee, formed in October 2007, with members Camille Bowman, Ethel Eaton, David Edwards, Keith Egloff, Marc Holma, Quatro Hubbard, Roger Kirchen, Sara Leonard, and Susan Smead, assisted by Alison Snow and Randall Jones. As DHR's Survey and Cost Share Program Manager, Susan Smead deserves much credit for organizing and revising much of the material in the document through 2009. She also wrote chapters 8 and 9 on cultural landscape survey. This latest edition (2011) of the *DHR Guidelines* was revised and edited by David Edwards, Manager of DHR's Regional Offices, with much assistance from DHR staff members Ann Andrus, Bob Carter, Joanie Evans, Quatro Hubbard, Kristin Kirchen, Mike Pulice, Pam Schenian, Jeff Smith, and Marc Wagner. Finally, many thanks go to DHR Director Kathleen Kilpatrick who proposed and supported the latest edition of the *DHR Guidelines*.

INTRODUCTION

The Virginia Department of Historic Resources (DHR) was formed in 1966 as the Virginia Historic Landmarks Commission (VHLC), Virginia's State Historic Preservation Office (SHPO). In 1985, the Landmarks Commission became part of the newly formed Virginia Department of Conservation and Historic Resources, as the Division of Historic Landmarks; the Division was reorganized into the Department of Historic Resources, a new state agency, in 1989. One of DHR's missions, critical throughout its history, is to promote comprehensive, statewide survey of historic resources. In addition to directly supporting survey statewide, DHR requires historic resources documentation in many programs it administers.

All historic resources documentation efforts with which DHR is involved are to be conducted in accordance with the information provided in *Guidelines for Conducting Historic Resources Survey in Virginia*, hereafter referred to in this document as *DHR Guidelines*. All materials submitted to DHR are to conform to the guidance set forth herein if they are to meet DHR's requirements, unless alternative directions are provided by DHR for specific cases or an alternative plan is approved by all involved DHR staff at the commencement of the project. In instances where methodology, procedures, or resulting materials do not comply with standards and requirements in *DHR Guidelines*, products submitted to DHR may be rejected and delays may thereby result. Questions about applying information in *DHR Guidelines* may be addressed to the appropriate DHR program area staff or to the DHR survey manager.[1]

The Secretary of the Interior (SOI) and the National Park Service have developed broad national performance standards and guidelines to assist agencies and individuals with the implementation of historic preservation activities. These federal standards and guidelines are titled "Archeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines."[2] DHR prepared *DHR Guidelines* around these federal standards, augmenting the guidance that they provide with information specifically about the expectations for conducting historic resources survey in Virginia. The information contained in *DHR Guidelines* is intended for use by a wide range of individuals with varying degrees of training and experience in conducting survey work in Virginia, from the novice to the professional. Therefore, the guidance provided herein not only covers basic material, but also includes advanced historic resources documentation concepts and approaches.

DHR Guidelines is also designed to provide direction on researching and documenting various types of properties, including archaeological, architectural, and cultural landscape resources, thereby including resources above and below ground. In many cases, projects will require consideration of two or all three types of resources. DHR intends *DHR Guidelines* to promote thorough consideration of all aspects of geographic areas under study, so that all types of resources present will receive sufficient consideration.

---

[1] See DHR's website at http://www.dhr.virginia.gov/index.htm for information about programs and for the DHR staff directory. DHR's Richmond Office staff can be contacted at 804-367-2323.

[2] "Archaeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines," *Federal Register*, Volume 48, No. 190, September 29, 1983, 44716-44742, and at http://www.nps.gov/history/local-law/arch_stnds_2.htm. In *DHR Guidelines*, this document will be referred to as *SOI Standards*. Copies of this document are available upon request from DHR.

Using *DHR Guidelines*

DHR Guidelines is set up to follow the order in which a historic resources investigation project is typically developed and conducted, and it includes sections on carrying out survey activities on specific resource types and for specific program areas. These include DHR's Survey and Planning Cost Share program, the Certified Local Government (CLG) program, and for compliance with Section 106 and Section 110 of the National Historic Preservation Act (NHPA) of 1966, as amended. *DHR Guidelines* can also be employed for survey conducted for the purpose of documenting historic resources apart from these program areas, undertaken by local governments, historical societies, volunteers, and others wishing to conduct research about and record data on Virginia's prehistoric and historic resources. Therefore, *DHR Guidelines* is intended for use by individuals ranging from the layperson or historic preservation novice to the experienced professional.

All users of *DHR Guidelines* are strongly urged to become familiar with the entire document. While some chapters in *DHR Guidelines* cover only specific resource documentation material, other chapters may repeat information discussed elsewhere in *DHR Guidelines,* making it a more useful cross-referenced document.

What is a historic resources survey?

A historic resources survey locates and identifies properties within a specific geographic area and documents them to an established standard. Historic resources survey involves collecting and organizing data from field investigations and gathering data from historical research, interviews, and planning studies.[3]

According to the *SOI Standards*, historic resource identification, or survey, is undertaken to the extent necessary to make well-informed decisions. The function of a survey project is to gather and organize accurate, complete data on historic resource(s), sufficient to adequately understand the resource(s) for the purposes of meeting the project objectives. Information obtained from survey investigations is often used to assess the eligibility of resources for listing in the National Register of Historic Places (NRHP), and in Virginia, for listing in the Virginia Landmarks Register (VLR); however, instead of, or in addition to eligibility evaluation, actions informed by survey findings may include preservation planning or treatment activities involving the surveyed resource(s). The appropriate level of survey must be used to meet the goals of the survey project. At a minimum, the information gathered must provide a clear understanding of the significance of the historic resource.

Why conduct historic resources survey?

The primary reason for conducting survey is to identify important historic resources in Virginia's communities and countryside. Properties with prehistoric and historic significance give localities special, unique character and cultural depth. The information obtained by conducting a survey provides valuable insights into an area's past and forms the basis for making sound judgments regarding planning and land use. Survey data can be used to create a preservation plan as part

---

[3] *DHR Guidelines* employs the term "historic resources" to refer to the full range of resources, prehistoric to historic, whether archaeological, architectural, or defined as cultural landscapes. The regulations governing Section 106 of the NHPA refer to "historic properties," not "historic resources," and in this context the term "historic properties" has a specific meaning (see Appendix E for definitions). Chapter 11 of *DHR Guidelines* deals specifically with Section 106 and survey investigations conducted in compliance with regulations pertaining to the protection of historic properties.

of a broad-based planning program that includes information on historic resources, and in which significant historic resources are taken into account and may be recommended for preservation. Inclusion of information about historic resources in the planning process can allow local governments and regional planning agencies to be proactive in considering historic resources as economic and educational assets and to prevent last-minute decision-making. Acquiring survey data on historic resources also supports local, state, and federal agencies in meeting their responsibilities under various preservation laws, such as the National Historic Preservation Act (NHPA) and the National Environmental Policy Act (NEPA). Survey products also provide the ingredients for a community to realize a "sense of place" and to promote "pride of place" by fostering increased awareness and understanding of a locality's historic landmarks, the opportunity to learn from them, and a greater commitment to preserving them as integral components of a complete and unique community.

Historic resources often serve as the focal point for economic revitalization and the promotion of heritage tourism. As every locality is unique, with its own special history, its character-defining qualities are made tangible through its buildings, streetscapes, landscapes, and archaeological sites. Promoting this unique character through heritage tourism is a proven means of enhancing local economies. In addition, valuable economic incentives, including the federal and state historic rehabilitation tax credits (and in some communities tax abatements or other incentives), allow historic properties to attract economic vitality to areas as varied as commercial downtowns, historic residential neighborhoods, and the rural countryside.[4]

Who conducts historic resources survey?

Maintaining an ongoing statewide survey of historic resources is one of the primary responsibilities of DHR. Working with local governments, consultants, preservation professionals, federal and state agencies, planning commissions, private organizations including non-profits, and private property owners, DHR assembles and organizes survey data and incorporates it into the agency's archives. Localities can undertake surveys in cooperation with DHR through the Certified Local Government program or through the Survey and Planning Cost Share program. Governments, preservation professionals, organizations, universities, and colleges often take on survey projects with guidance and support from DHR staff and with qualified consultants who meet the professional qualification standards included in the *SOI Standards*.[5] All survey conducted pursuant to Section 106 or Section 110 of the National Historic Preservation Act must be completed by a qualified professional who meets these standards.

Once a survey has been conducted, it is important for the resulting survey data to be evaluated and incorporated into the locality's planning activities. The information generated by any survey project should be made available to community development and planning agencies; to local, state, and federal agencies; and to developers, libraries, and schools. DHR is a recipient of survey data for projects funded in whole or in part by the agency and these materials are housed in DHR's Archives in Richmond. Also, DHR is a repository for survey data produced from projects in which the agency does not play a direct role and welcomes contributions of historic resources documentation materials.[6]

---

4 For information on the historic rehabilitation tax credit programs see the DHR website at www.dhr.virginia.gov, or contact a DHR tax credit specialist.

5 *SOI Standards.*

6 Contact the DHR Archivist at 804-482-6102 for more information.

What historic resources survey has been done in Virginia?

Survey and documentation of the Commonwealth's historic buildings, structures, objects, districts, sites, and landscapes has been an ongoing process since the Virginia Historic Landmarks Commission (VHLC) was established by act of the General Assembly in 1966. Architectural properties, archaeological sites, and cultural landscapes have been recorded by a variety of individuals and groups, including DHR staff, professional consultants, local government staff, the staff of other state and federal agencies, private sector preservation groups, volunteers, and students. In the late 1960s and 1970s, much of Virginia's architectural survey efforts focused on the documentation of high-style examples of architecture, the oldest extant resources, and properties associated with important Virginians, with noteworthy national figures, and with significant events. In these earlier years, numerous large and significant archaeological sites throughout Virginia, representing Native American and early colonial settlements, were investigated and recorded. Before the Virginia Historic Landmarks Commission was established by act of the Virginia General Assembly in 1966, historic resources documentation efforts carried out in Virginia included projects supported through the federal Works Progress Administration program, and by the Historic American Buildings Survey and Historic American Engineering Record initiatives.

Since the late 1960s, the National Historic Preservation Act has required federal agencies to consider the effects of their projects on historic properties, and much of the survey that has taken place in Virginia since then has been conducted to satisfy this requirement. Beginning in the 1980s, historic resources surveys broadened to include representative examples of all resource types from all historic periods and associations. Industrial plants, workers' housing, military architecture, barns, schools, battlefields, historic roads, bridges, and designed and vernacular landscapes, as well as prehistoric and historic archaeological sites, military earthworks, and cemeteries, have taken their place alongside Virginia's premier colonial and antebellum properties to build a more complete understanding of the Commonwealth's history and heritage. Surveys of proposed historic districts have also been emphasized, as communities increasingly seek to identify and record the collections of historic resources that represent their cultural and historical identity and to propose measures to protect them.

According to DHR's database of documented resources, to date about 145,000 architectural resources and nearly 40,000 archaeological sites across Virginia have been recorded at various levels of documentation. All counties and cities have at least some architectural resources recorded in the form of DHR survey data. However, the number of surveyed resources currently varies from just over sixty in Craig County to over 10,000 in Arlington County, and from fewer than five in some towns, to 1,000 to 2,000 and more in larger cities like Alexandria, Fredericksburg, Hampton, Norfolk, Portsmouth, Richmond, and Roanoke. Most counties are represented by 100 to 200 surveyed architectural resources, while in well-surveyed counties, 500 or more resources have been documented. In addition, archaeological sites have been recorded in every county in Virginia. Landscape documentation has typically been conducted when landscape resources appear as secondary resources on properties surveyed primarily for their architectural and/or archaeological significance. Exceptions are properties that primarily have landscape significance, such as parks, battlefields, and rural historic districts. Current information indicates that approximately sixty-seven properties have been recorded at DHR as landscapes (including those recorded as battlefields and as parks), and twenty-one rural historic districts have been documented across the Commonwealth.

How is historic resources documentation material stored and accessed?

Historic resources documentation materials held by DHR are stored in the DHR Archives in the agency's Richmond office, where they are arranged by county and city. The information contained in these files is used by DHR staff, government agencies, local governments, regional planning district commissions, consultants, researchers, and the general public. DHR's survey data constitutes an invaluable source of information for a broad variety of disciplines and applications, including historic resources management, public education, scholarly research, preservation planning, and environmental planning. In most cases, survey data on file at DHR provides a solid baseline level of information; however, due to the passage of time, some of the survey documentation should be confirmed for accuracy by site visits and further research. DHR generally relies on the accuracy of survey data on specific resources for no more than five years, due to possible changes to resources that may occur over the passage of time, advancements in scholarship, and rapid development that affects many parts of the state.[7]

Since 1991, DHR has developed and administered Survey and Planning Cost Share agreements with local governments and planning district commissions to fund county, city, town, community, and neighborhood surveys and related planning projects. Also in 1991, DHR began automating its extensive inventory of survey data. In conjunction with the National Park Service (NPS), DHR developed a survey database known as Integrated Preservation Software (IPS). Through a cooperative agreement with the Virginia Department of Transportation (VDOT), the Data Sharing System (DSS) replaced IPS in 2001. DSS integrates survey and geographic data in an access-restricted, online environment and serves as a valuable tool for organizing and searching data. It is used by local governments, personnel at state and federal agencies, consultants, and by interested members of the general public through controlled access at DHR's Archives. Since 2002, DSS has been the standard for survey data submissions to DHR.[8]

Virginia's Survey Priorities

For Survey and Planning Cost Share projects, DHR places priority on surveys that:

- **Are tied to the further development of historic thematic contexts.**[9]

  High Priority Survey Projects:

  - Cover geographic and/or thematic areas for which existing information is limited or greatly in need of improvement;
  - Develop statewide, regional, or local historic contexts;
  - Search for and identify all property types related to an already developed historic context within the survey area;
  - Conduct other identification activities pursuant to written goals and priorities for

---

[7] In some cases, in particular with agreements made according to Section 106 of the NHPA, this time frame may vary; DHR recognizes that the time span for which survey data is considered accurate may need to be determined on a case-by-case basis, depending on the property in question or specific program needs. If a programmatic understanding on this point is not already in place with DHR for compliance purposes, agencies are advised to address this question with DHR early on in project planning.

[8] For further information about DSS, including guidance on obtaining access to DSS, please contact the DHR architectural inventory manager or DHR archivist.

[9] See Appendix C for a description of historic themes used by DHR.

established historic contexts.

- **Are consistent with DHR's Register Program priorities.**

  Survey projects that relate to National Register of Historic Places and Virginia Landmarks Register DHR priorities and/or anticipate registration of eligible resources following survey are considered high priority, particularly those anticipating multiple-property nominations such as historic districts and Multiple Property Documentation (MPD) submissions.

- **Address areas with insufficient, outdated, or poor quality survey.**

  Survey projects for areas of the Commonwealth that currently have insufficient or poor quality survey are considered high priority.[10] DHR regularly updates the level of archaeological and architectural survey for each county and independent city and provides this updated information with the Survey and Planning Cost Share Program Request for Applications (RFA), typically issued annually in the spring, to invite applications for proposed survey and planning projects from local governments and planning district commissions.[11]

- **Address areas where historic resources are threatened.**

  Survey projects for areas or resources threatened by development, neglect, or other factors are considered high priority, especially when the survey data gathered will be used in decision making about the treatment of the threatened resources.

- **Surveys that lead to informed preservation planning.**

  The identification of historic resources is the first step toward understanding their value and accomplishing sound, well-informed preservation planning. Survey projects that include updating or expanding the preservation component of a locality's comprehensive plan, the implementation of a local preservation ordinance, or other preservation planning measures are considered high priority.

  Each year in which Cost Share funding is available, additional survey priorities are assessed and other priorities (including those in keeping with current state government initiatives) may be included. The survey priorities are presented in the Survey and Planning Cost Share Program RFA. These survey priorities also offer a guide for directing the efforts of other survey activities, including those carried out by Certified Local Government (CLG) communities.

Beginning a Survey Project

Before undertaking a survey project according to DHR's requirements, individuals planning to conduct fieldwork, research, and other aspects of a project are expected to familiarize themselves with all pertinent sections of *DHR Guidelines*, and to refer to it as needed

[10] In this context, "insufficient" means that the survey data is not sufficient to fully understand or develop contexts for evaluating documented properties; "poor quality" means that the existing survey materials are largely incomplete or otherwise do not provide a level and accuracy of information to support best practices in decision making.

[11] The information can also be obtained by contacting the DHR architectural inventory manager or the DHR archivist.

throughout the duration of the project. Any additional questions about planning and conducting survey and preparing survey materials are to be addressed to DHR's staff in the appropriate program area.[12]

Advisory Guidance

All users of *DHR Guidelines* are to bear the following in mind:

- Information presented herein is the most current available as of the updating of *DHR Guidelines* in October 2011. It is the responsibility of those sponsoring and conducting a survey project to verify that the most up-to-date versions of guidance materials referenced in *DHR Guidelines* are followed. For example, agencies such as the Advisory Council on Historic Preservation and the National Park Service regularly update their guidance materials. Since these and other sources are updated on a different schedule than *DHR Guidelines*, surveyors are responsible for making sure the materials they use from all sources are current. For further information see the DHR website at www.dhr.virginia.gov, and contact the appropriate DHR program staff for your project.

- Guidance on DHR's DSS is available at http://www.dhr.virginia.gov/archives/data_sharing_sys.htm, and by contacting DHR's DSS inventory managers or DHR archivist. Surveyors planning to use DSS MUST be familiar with the most current DSS guidance. DSS updates may happen more frequently than updates to *DHR Guidelines*. See the referenced link, and contact DHR staff for guidance. To arrange for obtaining up-to-date training in DSS, contact DHR's DSS inventory managers or DHR archivist.

- All survey projects intended to yield materials prepared according to *DHR Guidelines*, especially when resulting deliverables are to be provided to DHR, must be coordinated with DHR early on in the project schedule and before any fieldwork has begun, unless those undertaking work, such as a federal agency, have an agreement in place with DHR governing the production of survey materials. Coordination with DHR must involve contact directly with DHR staff administering the program for which the project is being prepared (such as Certified Local Government (CLG), Cost Share, Review and Compliance); or, if it is a survey project without program affiliation, DHR's survey manager must be contacted. In addition, DHR's archives staff, including the DSS inventory managers, must be consulted. **Any deviation sought from the requirements spelled out in *DHR Guidelines* must be approved in advance, by appropriate program staff, DHR's survey manager, and DHR's DSS inventory managers.** Unless a prior agreement has been put in place, survey materials provided to DHR that do not meet DHR's standard requirements may be returned to the survey sponsors and surveyors for correction at their expense.

- Survey conducted according to *DHR Guidelines* and survey materials that do not comply with DHR's requirements may not be adequate for further decision making, such as recommendations regarding NRHP and VLR listing eligibility, determining appropriate treatment options, processing applications to incentive programs such as the historic rehabilitation tax credit programs, and preservation planning. Also, such materials may

[12] See the DHR website at www.dhr.virginia.gov for a staff listing; contact DHR's Richmond office at 804-367-2323.

not meet requirements for compliance with preservation laws and regulations.

For additional information about DHR program areas, see the agency's website at www.dhr.virginia.gov. Contact the appropriate DHR program area for program and project specific questions; for questions regarding survey and use of *DHR Guidelines*, contact DHR's survey manager.

CHAPTER 1

DEVELOPING A RESEARCH DESIGN

According to the discussion of identification guidelines in the *SOI Standards*, "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."[13] In other words, the research design describes how the survey will be accomplished, how survey activities will be integrated with survey goals, and what, in relation to the project's identified historic contexts, the survey investigation is expected to reveal. The research design will link all identified historic contexts with the goals of the survey and will include the methods for achieving those goals. Survey methodology encompasses actions taken in the field, steps for conducting research, and the process for ordering and synthesizing data. It is important to obtain complete, accurate survey data and to fully organize and analyze the data and its relationship to all applicable historic contexts relevant to the documented resource(s) to arrive at accurate and complete findings.

Elements in Developing a Research Design

The following components are to be addressed in developing a research design for historic resources survey:

- Objectives
  - Purpose
  - Goals
  - Priorities
  - Coverage (land area(s) to be included in the study)
- Methods
  - Background Research
  - Fieldwork
  - Processing information
  - Public Participation
  - Schedule
- Expected Results
  - Kind or type of resources
  - Number of resources
  - Location of resources
  - Character of resources
  - Condition of resources

[13] *SOI Standards.*

Objectives

The first step in creating a research design is to establish the purpose of the survey. In most cases a survey is carried out for the purpose of making decisions about the significance of resources and their treatment. This information is often sought to inform local planning decisions or for meeting obligations under Section 106 and/or Section 110 of the National Historic Preservation Act (NHPA). Other reasons may include raising public awareness about historic resources in a community. In Virginia, a state that has a very strong tourism industry, a locality may wish to undertake survey for the purpose of fostering economic enhancement through the promotion of its historic past by showcasing its historic resources through heritage tourism. Also, the objective of applying for state and/or federal historic rehabilitation tax credits for the rehabilitation of historic properties, and the ensuing economic enhancement this can bring to a community, is a strong motivating factor for conducting historic resources survey.

After determining the survey's purpose, the goals of the survey are established. Goals can be general or specific depending on the identified needs of the community and the organization(s) conducting the survey. A locality may have broad objectives to integrate into the local planning process the data produced by a local survey of historic resources; or the locality may wish to create an inventory of historic resources for all areas of the community that are targeted for increased development. Survey goals can also be more specific. Examples of specific types of projects include a comprehensive inventory of resources within an established historic district, which may include updating existing data from previous surveys; or an inventory of historic resources that may be affected by a proposed development or transportation project. If the survey is being conducted pursuant to the NHPA, the purpose and goals must be developed in consultation with the Department of Historic Resources (DHR) and the responsible federal agency funding, licensing, permitting, or otherwise supporting the project. In many instances, agencies conducting survey for compliance purposes establish agreements with DHR that address the purposes, goals, and methods for resource documentation, alleviating the need for project-by-project consultation (see Chapter 11 for further information).

Survey goals are developed based upon identifiable historic contexts. For example, consider a rural county in Southside Virginia that experienced an early-nineteenth-century boom in tobacco cultivation. This event may have resulted in the establishment of an agriculturally-based economy characterized by large plantations. However, during the late nineteenth century, as tobacco production in the area declined, the railroad became the catalyst for the emergence of several small communities along the rail line, dependent on industry and commerce as well as agriculture. The historic contexts for this scenario will focus on Domestic and Subsistence/Agriculture themes from the Antebellum Period and Commerce/Trade and Industry themes from the Reconstruction and Growth Period in the Southern Piedmont region.[14] Therefore, the survey goals for this project, if the project is to focus specifically on these themes, contexts, and time periods, would logically involve countywide survey of all early-nineteenth-century domestic and agricultural resources associated with tobacco production, and all concentrations of late-nineteenth-century resources in small communities.

Determining survey goals can lead to the establishment of survey priorities, which, if applicable, will be included in a research design. Planning needs, interest in using historic preservation as a tool for economic revitalization, threats to historic resources, the amount of funding available

---

[14] See Appendices A, B, and C for information on Virginia regions, time periods, and thematic contexts.

for the survey, and political objectives may contribute to the establishment of priorities. If, for example, the Southside Virginia county noted above decides to attract more tourists to the area, and each town wants to capitalize on its historic resources, the first priority may be to survey the historic resources in these small communities since they are more likely to draw tourists. Resources related to tobacco cultivation, more rural and not concentrated in location, may become a second priority. A determination of survey priorities often provides the overall objective statement for a survey project.

Finally, the geographic area to be covered by a survey must be established. It is important to define the survey area in terms of comprehensiveness and geographic boundaries. Large city or county surveys are often selective, while project specific surveys or historic district surveys are typically comprehensive. Comprehensive survey involves the identification of every resource within the geographic bounds of the survey area, whether historic (50 years of age or older) or non-historic (less than 50 years of age). Selective survey is based on predetermined criteria and may involve recording only the oldest, most significant, and/or the best-preserved examples of a resource type; or, specific resources associated with a predetermined period of significance. Selective survey can also be used for thematic studies; for example, a survey of all Rosenwald School buildings in a specific area. If the survey is being conducted pursuant to Section 106 of the NHPA, the survey area will be defined by the undertaking's Area of Potential Effect (APE), which must be determined in consultation with DHR and the responsible federal agency (see Chapter 11 for further information).

For city and county surveys, the geographic bounds will usually coincide with the current political boundaries of the locality being surveyed. However, research and adequate consideration of relevant resources, time periods, and themes may require a broader area of investigation. For a project-specific survey, the survey boundaries will include the project area, or the APE, but bear in mind that the project area and the APE may not always exactly correspond. Thematic surveys may cover several counties, a region, or potentially the entire state.

Methods

The next step in developing a research design involves determining the methodologies and techniques that are to be used during the survey to locate and evaluate resources. Most important for starting a survey project is background research. First, the types of research materials that will be consulted and their location are determined; then a procedure for obtaining and consulting existing information and a procedure for integrating it into the survey project are established.

The appropriate methodology for fieldwork will depend on the survey's level of documentation, whether reconnaissance (identification) or intensive (evaluation). The type of survey, whether comprehensive or selective, will also help determine what field methodology is appropriate. Selective survey typically requires the development of a strategy for selecting properties for recordation. If the survey is being conducted pursuant to the NHPA, the methodology and level of documentation must be developed in consultation with DHR and the responsible federal agency.

The methodology for fieldwork also involves determining the type of equipment needed for field survey, the steps to be undertaken at each property to be surveyed, and the method for recording each resource on a map. Finally, methodology will also include establishing a procedure for processing all of the survey data, including information gathered in the field, photographs, site plan sketches, floor plan sketches (if necessary), maps, and other relevant information; setting up a procedure for public participation in the project; and establishing a schedule of tasks with anticipated dates for their completion.

Expected Results

The *SOI Standards* states that, “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."[15] Prior to beginning the survey project, consider the following questions when developing the research design:

- Based on established goals, priorities, needs and methodology employed, what types of resources will the survey likely reveal?
- How many resources may be located within the survey area and what is their likely state of preservation?
- Where are the likely concentrations of resources?
- What distinctive resources and project area characteristics may be identified?

Successful planning before beginning work will establish a framework for finding the answers to these questions. The expected results are to be clearly stated in the research design. The research design must be described in a survey report, if a report is being prepared as part of the project. Considerations such as historic contexts, time periods, thematic contexts, associated property types, and regional characteristics are to be integrated into development of the expected results and the research design. The following chapters and appendices in *DHR Guidelines* include discussion about background research, methodology, the organization of survey materials, and reporting results, setting forth practices and procedures to be followed for conducting a successful survey.

[15] *SOI Standards.*

CHAPTER 2

RESEARCH METHODOLOGY

Research is one of the most important activities required when conducting a survey project. The type of survey project and the amount of existing documentation and historic context development already available will determine the level of research needed for any given survey project.

Research is to be conducted early in the project as well as in conjunction with field survey and report preparation. Typically, most of the research is conducted at the beginning of the project and is later supplemented as field survey reveals other avenues for inquiry. Good background research will allow the surveyor to avoid duplication of effort, not by repeating previous survey efforts, but instead referencing them and building upon them.

Research is conducted to build upon and often verify the known body of information, by studying contemporary and historic documents associated with the survey area. This research will form the basis for the historic contexts and will allow development of survey objectives and strategies, establishment of survey priorities, and formation of opinions about expected results. Research and historic context development is not intended to be an exhaustive discourse on the entire history of the project area. Rather, it is to focus on the range of historic resources found on properties under investigation and provide background for understanding and interpreting them, according to the framework provided by considering Virginia's geographic regions, historic time periods, and appropriate themes and contexts.[16]

All previous work is to be studied by the surveyor with a critical eye. It is not necessary to accept everything at face value, and it is perfectly appropriate to correct or reinterpret previous efforts if archival research or field survey demonstrates that it is logical or imperative to do so. Survey and research techniques have evolved and changed considerably over time, and earlier investigations may have been conducted without the benefit of adequate research or with a different research objective. It is important to understand and bear in mind the frame of reference for previous research work and the methodology employed to accurately interpret findings. However, earlier work should not be undervalued based solely on its age, as findings from previous studies can provide valuable insights and may provide information about resources from an earlier time period, against which they can be compared and interpreted for the subject project.

When conducting reconnaissance-level survey, in-depth research on every historic resource is unnecessary. Research is to focus on the development of general trends and themes that allow the resource(s) to be placed in a broad historic context. When conducting intensive-level survey, it is necessary to research the history of the specific resource(s) being surveyed. Properties are to be placed in their appropriate historic contexts and their associative and historic values established within those contexts.[17]

---

[16] See Appendices A, B, and C for further information on regions, time periods, themes, and contexts.
[17] For a list of sources to consider in planning research, see *How to Research Your Historic Virginia Property* at Appendix D.

Research Steps

Typically for architectural, archaeological, and cultural landscape surveys, background research will consist of the following steps:

- **Consult the DHR historic resources inventory.**

  The Department of Historic Resources (DHR) is the Commonwealth's central repository for survey information on Virginia's historic buildings, structures, sites, objects, and historic districts. The DHR inventory includes survey information gathered statewide by the agency since 1967 and information from other surveys provided to DHR in which DHR may not have played a role. Inventory files include copies of Works Progress Administration (WPA) survey forms from the 1930s and Historic American Buildings Survey (HABS) forms from the 1950s and 1960s. Inventory files also contain information supplied by private property owners, local governments, professional consultants, and volunteers, among others. Inventory files exist for every locality in Virginia with variations in data quality and coverage.

  DHR's inventory is not comprehensive. Furthermore, older survey material may not provide an accurate picture of a resource's current condition, location, or even its existence to date. Therefore, remember that consulting the DHR inventory does not necessarily provide a complete picture regarding the presence or absence of historic resources in any Virginia locality. Instead, it will illustrate what resources were previously recorded for a particular area. It is necessary to take into account the data's source, quality, and the age of the survey data before determining what level of field survey is warranted for the planned survey project. Resources for which existing survey data is five years of age or older may need to be resurveyed.[18]

- **Consult the DHR Library.**

  In addition to its extensive inventory, DHR's Archives holds the largest collection of unpublished survey reports in Virginia. Many of the survey reports were written for specific federal or state projects and cover site-specific areas; other locality-based survey reports cover large areas and are more general in scope. Copies of the reports prepared for federal or state agencies reside with the sponsoring agency as well as with DHR. Copies of county, town, city, or community reports reside with the respective locality and with DHR. Each survey report contains a historic overview or context and a bibliography of sources consulted or references cited. Review of already existing survey reports relevant to the proposed project is a critical part of conducting research. These survey reports will assist in providing an introduction to the resources in the survey area in question and provide reference to archival documents.

[18] As noted previously in *DHR Guidelines*, in some cases, and in particular with agreements made according to Section 106 of the NHPA, this time frame may vary. DHR recognizes that the time span for which survey data is considered reliable may need to be determined on a case-by-case basis, depending on the property in question or program or project requirements. If a programmatic understanding on this point is not already in place with DHR for compliance purposes, agencies are advised to address this question with DHR early on in project planning.

- **Consult local government agencies, historical societies, and preservation groups, as well as local colleges or universities.**

  Persons or organizations representing the locality in which work is being conducted will be among the most knowledgeable about previous survey efforts and existing archival resources. Also, collections at local colleges or universities should be consulted to determine what research has been conducted by these institutions in the project area and whether their holdings include information useful in gathering background information for the subject project. Some of these collections may be available online.

- **Consult collections of materials held in repositories such as the Library of Virginia and the Virginia Historical Society and at the libraries of public and private colleges and universities.**

  The Library of Virginia contains many valuable resources for conducting a survey project. These include published histories, unpublished materials such as state agency records and manuscripts, maps, Mutual Assurance Society of Virginia records, and an extensive photo collection. In addition, the Virginia Historical Society houses published works, maps, manuscripts, and other archival materials. Public and private universities located in the vicinity of the project, and in some instances beyond, often hold collections of papers, maps, and other unpublished works relevant to understanding historic themes and contexts. Some of these resources are probably available online.

- **Review existing planning documents at the local and state levels.**

  Review of local and state planning documents will assist in developing survey strategies and will indicate if any locally designated historic landmarks or districts exist in the project area, while identifying potential threats to historic resources. Threats include development, road or utility expansion, neglect, and planned demolition. Local and regional planning offices and local departments of public works are the best sources for such information. Helpful documents include, but are not limited to, the local comprehensive plan, the Virginia Department of Transportation (VDOT) Six-Year Plan, other appropriate VDOT documents, and Dominion Power's public utility plan.

Refer to guidance in Appendix D of *DHR Guidelines*, entitled “How to Research Your Historic Virginia Property,” for further information.

CHAPTER 3

HOW TO USE HISTORIC CONTEXTS IN VIRGINIA: A GUIDE FOR SURVEY, REGISTRATION, PROTECTION, AND TREATMENT PROJECTS

Introduction

When conducting fieldwork and preparing site forms, reports, or publications, all research projects in Virginia are to be planned, conducted, and summarized according to the statewide historic contexts defined by the Department of Historic Resources (DHR) in accordance with federal guidance offered in the *Secretary of the Interior's Standards*. These historic contexts were developed to adequately evaluate significant historic resources by essentially linking them with other similar examples and with broad patterns definable in the state's history from prehistoric times to the present. Historic resources are studied because buildings, structures, archaeological sites, cultural landscapes, and historic districts, represent aspects of a society over time in many fields, including areas of study encompassing topics as diverse as the history of agriculture in Virginia, the Commonwealth's political history, and the development of transportation systems across the state. The survey process is the opportune time to fully and accurately develop historic contexts for documented properties, which is essential for decision-making and preservation actions such as nominating a property to the National Register of Historic Places (NRHP) and the Virginia Landmarks Register (VLR).

Historic contexts can be defined on many levels and for many purposes. Whether providing information for an inventoried site, a NRHP/VLR nomination, a National Historic Preservation Act (NHPA) compliance survey of a project area, a county or regional survey, or a thematic study, the approach is the same--to place historic resources within the context of the broad patterns of history and to place any one example within a larger group of similar resources. For example, in order to understand and evaluate one historic railroad station in a Virginia community, it is essential to compare the station to other examples of its type and period within the community, county, region, and perhaps across the state. The stations as a group are to be considered within the context of the history of rail transportation both locally and in terms of the development of the state's railroad system.

By using the system of standardized historic contexts developed by DHR, any resource can be placed within its appropriate context by region, theme, and historic period. Research publications resulting from survey projects typically will also use these categories as standard headings to organize information by region, time period, theme, and resource type. By using this standardized approach to collect and analyze information about Virginia's historic resources, it is possible to understand the data already available, strive to fill in the data gaps, and improve the body of knowledge used for preservation decision-making.

A Step-by-Step Approach for Resource-Based Decision-Making

The following steps are used to develop historic contexts for a full understanding of surveyed historic resources. The information collected helps to analyze historic resources in relation to their appropriate contexts and to develop action plans (whether planning proposals, treatment plans, or other activities involving the resources) informed by insights provided through the study of historic contexts. In applying the following steps to the survey research methodology, bear in mind that for a single resource more than one context may apply, and there may be more than one date or time period during which the property may have achieved significance. Furthermore, for a group of resources that share common characteristics and historic origins, such as for a historic district or for a thematic investigation, common contexts and time periods may apply to all or most of the resources under investigation; however, it must not be overlooked that resources in such collections may also have individual traits not held in common with the group.

- **Step 1: Identify the region(s) in which the historic resource(s) and project area, if applicable, are located.**

  The cultural/geographic region is the most basic level used by DHR in making preservation planning decisions. Eight such regions have been defined in Virginia, all of which closely align with major physiographic regions of the state and generally represent major prehistoric and historic trends across the Commonwealth. The eight regions are: Northern Virginia, Upper Coastal Plain, Lower Coastal Plain, Eastern Shore, Upper Piedmont, Lower Piedmont, Valley, and Southwest Virginia.[19]

  By design, all regional boundaries follow existing county lines to allow for the integration of specific county and city preservation plans with regional plans. The regional boundaries also correspond generally to the statewide planning framework represented by Virginia's twenty-one regional planning commissions. While the buildings, townscapes, and landscapes of all regions have many common features, the distinctive qualities of each contribute significantly to the cultural vitality of the Commonwealth. Defining historic contexts on a regional basis in Virginia's comprehensive planning efforts recognizes and affirms the diversity of Virginia's cultural heritage.

- **Step 2: Identify the time period(s) when the historic resource(s) gained significance.**

  The sequence of time periods outlined in Appendix B of *DHR Guidelines* provides a basis for understanding prehistoric and historic cultural developments. If a report is to be produced as part of the project, typically these periods are used as major organizational headings for discussing the history of the region, project area, and specific resources.

- **Step 3: Identify the relevant theme(s) for the type(s) of historic resource(s) in question. Organize the history of the resource(s) and project area(s) by addressing any relevant themes under the broader time divisions.**

  The eighteen cultural themes outlined in Appendix C can be applied to Virginia's material cultural history from prehistoric times to the present. This thematic framework is common to all eight regional historic contexts; however, it can be applied to any geographic area—a small or large urban area, county, subregion, or region. These themes, together with their associated resource types, offer not only a comprehensive set of research fields for scholars but also a useful framework for the basic task of historic resource management by establishing goals and priorities for identifying, evaluating, registering, and protecting historic resources and achieving those goals through the broader planning process.

- **Step 4: Determine the historic context(s) for the particular resource(s) as defined by theme, region, and time period.**

[19] For an overview of the eight regions, see Appendix A.

As an example, the primary historic context for a gristmill built in 1810 and located in Fairfax County is the industrial history of the Northern Virginia region in the period 1789-1830. Since mills were integral to the agrarian economy of Northern Virginia, agricultural, commercial, and transportation developments in the same period are related historic contexts that may be important in understanding the resource. The industrial theme is primary, however, because mills are identified as an industrial property type both by function and use. Use this kind of context analysis to place the resource in its context and to organize research results, bearing in mind that there may be more than one theme and time period under which a resource may have gained importance.

- **Step 5: Create the historical background for studying the historic resource(s) or project area(s) by describing trends in settlement, cultural change, economic life, technology, etc., that are appropriate and relevant to the identification of historic resources and organized by the applicable period(s) of significance.**

  Consult DHR's Archives for existing prehistoric and historic context documentation that may be appropriate. Particularly useful are DHR's survey reports and unpublished historic resource management reports, as well as NRHP documentation for similar resource types or for other resources in the region.

- **Step 6: Consider how the type(s) of resource(s) under consideration relates to the context once the historical background has been described.**

  Taking the example presented above of the Fairfax County gristmill, consider what role gristmills played in the agricultural life of Fairfax County in the period in question.

- **Step 7: Evaluate the current level of knowledge concerning the resource type(s) and appropriate theme(s), and determine if data gaps exist.**

  Describe past research and survey work that has been conducted concerning the resource type. Consult DHR's Archives for information in assessing the completeness of data about the resource type and theme and to determine how a study of this resource and/or the research project will contribute to filling data gaps.

- **Step 8: Describe the resource type(s) in terms of geographic distribution and estimated numbers of examples in the project area, region, county, or other jurisdiction, as required for the study.**

  Use sources such as historic census data, directories, historic maps and atlases, local histories, or prehistoric contexts. Where are the resources located, and why are they located there? Discuss the relevant environmental features, settlement patterns, transportation systems, and other factors that may have influenced the location of this resource type in the area under study. If possible, estimate the number and locations of these resources in existence during the time period, then estimate the number and locations of surviving examples today by referring to documentation on other examples, if available. Discuss reasons for the loss of these resources over time. When applicable, compare documentary sources and maps by using historic and present-day census data, and consider any test sampling or predictive models that could be applied.

- **Step 9: Discuss the character-defining features of the resource type(s) and requirements for integrity.**

  Determine how the resource compares in terms of expected characteristics and levels of integrity. Also note whether there are any exceptional features, since there may be variety within a resource type. Consult the DHR Archives, including NRHP documentation for similar resource types, for information in assessing the integrity thresholds for various resource types.

- **Step 10: Compare the resource(s) to other examples of the type(s) in the region and time period.**

  Determine the similarities and differences between the resource under consideration and others of its type in the same region and of the same time period.

- **Step 11: What threats are faced by the type(s) of resource(s) in the region and what is the level of urgency?**

  Refer to DHR's regional and local preservation planning documents for a description of stresses threatening historic resources in Virginia generally, in the region, and in the locality (available at DHR's Archives). Also, consult with local officials, such as those in local and regional planning departments, concerning this question. Be aware that there may be immediate threats or long-term threats. For example, a historic building may not be directly threatened, but its setting, landscape, and viewshed may be compromised to the extent that the value of the resource is severely diminished. An archaeological site or cultural landscape may be directly threatened by construction activities or indirectly threatened by such factors as increased traffic, visibility, or accessibility.

- **Step 12: What preservation goals should be sought for the resource type(s)?**

  Determine appropriate protection and treatment recommendations for the resource type. How does further study and protection of the particular example under consideration help meet these goals? The level of detail for goals and recommendations will vary, depending upon the project. Recommended goals may include:

  - Identification – research and survey activities.
  - Evaluation – analysis of historical significance and other social and economic factors, assessment of integrity, and evaluation of eligibility for listing in the NRHP.
  - Protection and treatment – to include, but not necessarily limited to, preservation in place, avoidance, rehabilitation, adaptive reuse, data recovery and recordation, and public interpretation.

Consult preservation planning documents for information on protection programs and recommendations, some of which may be applicable at the local and regional levels. Many of these materials are available at DHR's Archives.

CHAPTER 4

CONDUCTING ARCHITECTURAL SURVEY

Before beginning architectural field survey, the surveyor must become familiar with terminology used by the Department of Historic Resources (DHR) to describe architectural resources. This involves becoming acquainted with DHR's Data Sharing System (DSS) and the selections available for various fields when entering data on a property into the system. Listed below are a few standard references for architectural styles and architectural terminology that many architectural historians have found useful:[20]

> *A Field Guide to American Houses*, by Virginia and Lee McAlester.
>
> *Amateur's Guide to Terms Commonly Used in Describing Historic Buildings*, compiled by the Landmark Society of Western New York.
>
> *American Architecture: An Illustrated Encyclopedia, Dictionary of Architecture and Construction*, *Historic Architecture Sourcebook*, and *Illustrated Dictionary of Historic Architecture*, all by Cyril M. Harris.
>
> *An Illustrated Glossary of Early Southern Architecture and Landscape*, by Carl Lounsbury and Vanessa Elizabeth Patrick.
>
> *Old House Dictionary: An Illustrated Guide to American Domestic Architecture 1600-1940*, by Stephen J. Phillips
>
> *The Illustrated Old House Glossary*, by James C. Massey and Shirley Maxwell.

Types of Survey

Although the techniques used in identifying historic resources may vary, architectural surveys are defined by type, whether comprehensive or selective; and level of documentation, whether reconnaissance or intensive.

- **Comprehensive Survey**

  Comprehensive survey involves recording all historic and non-historic resources in a geographical area. This type of survey is primarily used for local planning purposes, and allows systematic documentation of properties throughout part or all of the locality. This approach is also used to document properties in areas expected to be nominated as historic districts to the Virginia Landmarks Register (VLR) and the National Register of Historic Places (NRHP). In Virginia, a historic district nomination requires an inventory

[20] Note that this is not meant to be a comprehensive list; there are many additional useful guides, and those that address certain types of resources, such as agricultural buildings, should be consulted as needed. Copies of the *Amateur's Guide* and the *Old House Glossary* are available from DHR upon request. Information on terms used to complete DSS fields is available from DHR's DSS architectural inventory manager. Since sources of information on architectural history do not always agree, please rely on the DSS picklist terms to complete DSS forms, and check with DHR regarding questions that are not resolvable after researching them in standard guides and with reference to current scholarship. Contact DHR's survey manager for assistance.

of all historic and non-historic resources contained within the boundaries of the district. Therefore, all resources in the historic district will be surveyed, with survey done according to DHR requirements and with complete survey files to include DSS data entry prepared for all contributing and noncontributing properties. A minimal documentation standard for noncontributing resources in some proposed historic districts that often contain a large number of noncontributing resources, such as battlefields, may be determined appropriate by DHR's survey manager; however, this determination must be made before the survey project begins. Survey files must be submitted to DHR prior to or accompanying the submission of a National Register historic district nomination. Any exceptions to this approach must be approved by DHR in the early project planning stage before fieldwork commences. Failure to provide all of the necessary survey documentation materials needed to support a historic district nomination can result in delays in the process of nominating the district to the registers.

- **Selective Survey**

  Selective survey involves choosing historic resources to be recorded based on the objectives of the survey project, such as the project's purpose, goals, priorities, and geographical area. Other factors and constraints, such as the cost and extent of the survey, may determine the number of resources to be surveyed, thereby restricting the surveyor's selection methodology. In most surveys (typically excepting historic district surveys), the surveyor selects a historic resource based on one or more of the following criteria: its rarity, quality of architectural design, physical integrity, building type, date or period of construction, threat(s), or state of preservation.

  Architectural surveys conducted pursuant to Section 106 of the National Historic Preservation Act (NHPA) record all resources within the undertaking's Area of Potential Effect (APE) that are 50 years of age or older, as these resources may be considered potentially eligible for listing in the NRHP.[21] Resources of exceptional merit, regardless of age, are also to be recorded as part of compliance surveys.

Levels of Documentation

DHR employs two levels of survey for documentation and research investigations for architectural resources--the reconnaissance level and intensive level.[22]

- **Reconnaissance Survey (Identification)**

  A reconnaissance survey, also known as Identification or Phase I survey, is a broad visual inspection or cursory examination of historic resources in a specific geographical area. Only exterior documentation of the resource is required in reconnaissance-level survey. This level of survey is particularly useful in determining or predicting the distribution of historic architectural resources in a certain geographical area. Although reconnaissance-level survey data is not usually sufficient to evaluate individual resources for potential listing in the VLR and NRHP, it does record resources at a

---

[21] See Chapter 11 for further guidance on NHPA compliance survey.

[22] Note that federal and DHR regulations differ regarding the terminology for these levels of survey: what DHR refers to as reconnaissance survey is not the same as reconnaissance survey as defined in federal regulations. See Chapter 11 for additional guidance on surveys conducted pursuant to the NHPA.

minimum level and provides a base upon which to obtain more detailed survey data at a later date.

- **Intensive Survey (Evaluation)**

  An intensive survey, also known as Evaluation or Phase II survey, involves a more in-depth look at specific historic resources in a geographical area, and typically identifies the most significant historic resources in that area. Some properties call out for intensive survey in spite of alterations or poor condition, either because they are unusual or important or because the surveyor has been given a rare opportunity to enter an important building that contains information, otherwise undocumented, about a region's craftsmanship or design. More often intensive survey is used to determine the resource's potential eligibility for listing in the VLR and the NRHP. Intensive-level survey of buildings involves documentation of the exterior as well as interior spaces and features. Interior photographs, adequately depicting interior spaces and important features, are required to determine potential eligibility for an individual property's listing in the registers.

Fieldwork

Before undertaking fieldwork, the surveyor must first determine: the type of survey to be undertaken (comprehensive or selective); the level of documentation to be prepared (reconnaissance/identification or intensive/evaluation) as defined by the survey objectives; the type(s) of historic resource(s) to be identified; and the survey area. Some surveys are limited to a small geographical area such as a historic district in a small town, while others are countywide, multi-jurisdictional, or regional and cover thousands of acres.

For surveys conducted pursuant to the NHPA, the type of survey, level of documentation, and definition of the survey area must be developed in consultation with DHR and the responsible federal agency. Certain federal agencies have developed specific procedures for conducting architectural surveys. It is the responsibility of the individuals conducting the survey and those directing survey projects according to NHPA compliance to familiarize themselves with any applicable alternative procedures developed for specific agencies or projects before initiating fieldwork.

The use of maps, especially United States Geological Survey (USGS) topographic quadrangle maps, is essential for defining the survey area. For survey, 1:24,000 scale maps, unless otherwise noted, are the type of USGS map referred to in *DHR Guidelines*. The entire United States is divided into a grid system of USGS topographic quadrangle maps. Derived from aerial photography and often photo-revised at a later date, quadrangles are usually named for a particular town, village, city, or natural feature located on that particular map. Each quadrangle covers an area of about 55 square miles. Most counties in Virginia cover several quadrangle maps, while most cities and towns are located entirely on one map or extend onto two maps. USGS topographic quadrangle maps are ideal for locating and indicating historic resources and are required for all survey projects. USGS maps may be purchased through the United States Geological Survey Headquarters in Reston, Virginia, and the Virginia Department of Mines, Minerals, and Energy (DMME).

For rural and small town surveys, USGS topographic quadrangle maps are sufficient in scale to indicate major roads, secondary roads, forested and open areas, natural features, natural and man-made bodies of water, farm roads and prominent driveways leading to farmsteads, houses or other primary resources, farm buildings, old public road traces, and cemeteries. Some large towns and most cities have such heavy concentrations of buildings that these maps do not indicate each individual building. Therefore, typically town and city base maps are needed for urban surveys. Base maps may be used in addition to USGS topographic quadrangle maps, and in some cases are required, but cannot be used in place of USGS quad maps. Most town and city planning offices can provide the surveyor with base or tax maps of sufficient scale to clearly identify buildings or at least the lots on which they are located.

Once the survey area is defined and the appropriate maps are obtained, the surveyor should become familiar with the survey area by driving and/or walking the area to examine the topography of the land, and to identify buildings, other man-made features, natural elements, circulation networks, transportation routes, and spatial relationships between buildings, structures, objects, and sites in their rural or urban settings.

Selective survey conducted in rural areas, such as a typical countywide survey, requires the surveyor to drive all primary and secondary roads in the county to locate buildings that may meet the objectives of the survey. All lengthy private property roads and driveways are to be driven to determine if a historic or non-historic building is located at the end; however, private property rights must be respected at all times. If the surveyor must enter private property to record a building or group of buildings, the owner or resident must be informed of the surveyor's intentions and permission must be granted before recordation begins. Most owners and residents will grant permission once the nature and importance of the survey is explained. Also, property owners are often very helpful in providing information about a property's history. Many property owners are proud of their historic buildings and knowledgeable about the location of potential archaeological resources, and are enthusiastic about having their properties documented if they understand the purpose of the survey.

Local government officials and members of local historical organizations may be able to help provide access to private properties. Before beginning fieldwork, it is advisable to contact the local police department or sheriff's office to explain the project and provide identification information about the individuals who will be conducting fieldwork along with descriptions of their vehicles.

Once a property is selected for recordation and permission is obtained from the owner, the surveyor must determine the primary resource located on the property. For architectural survey the primary resource is the most significant, but not necessarily the largest, building, structure, or object on a property. In most cases, a dwelling, church, school, commercial building, or industrial building will be the primary resource and a garage, outbuilding, barn, shed, cemetery, or other associated building(s), structure(s), object(s) or site(s) will be considered a secondary resource. Typically all secondary resources on a property must be described and photographed, including those that are less than fifty years of age and those that may be considered either contributing or non-contributing, but the primary resource will receive the most attention. If secondary resources include archaeological sites and/or cultural landscapes, these must be included in the survey, if it is to be comprehensive and fully represent the property.[23]

Occasionally, the primary resource on a property is not the resource that would typically be considered the most important. For example, a farmstead with a collection of buildings may

[23] See Chapter 6 for information on conducting archaeological investigations, and see Chapter 8 for information on conducting cultural landscape survey.

contain a residence, a barn, and several other outbuildings such as a corncrib, a poultry house, and a machine shed. If the residence is not historic, but the other buildings are, the primary resource may be the barn, if it is the most important historic outbuilding in the complex. In this case, the non-historic house would be a non-contributing resource. Also, in some cases research and oral interviews can help to answer questions about the relative importance of resources. The surveyor is expected to make judgments based on information in *DHR Guidelines* to determine the hierarchy of the resources being documented, and in all cases, the relationships between resources on a property and their overall relationship to the site.

Surveying Individual Properties

- **Photograph the Resource(s)**

  Using appropriate photographic equipment to produce photographic documentation meeting *DHR Guidelines* requirements for reconnaissance-level (identification) surveys take:[24]
    - a minimum of two to three exterior photos of the primary resource, showing building front, rear, and sides, using oblique (45-degree-angle) views to capture two elevations in one view where site lines allow; close-up views, including architectural and/or construction details; and property setting--i.e., the resource's physical context such as a residential yard, capturing landscape elements including plant materials, fences, walls, etc.; and
    - one to two exterior photos of each secondary resource and significant landscape features.

  If recording buildings for a historic district inventory, at a minimum take:
    - one to two exterior photos of each primary resource in the historic district, clearly showing the building façade and a side elevation in an oblique (45-degree-angle) view where sight lines allow, and depicting the property's setting; and
    - one exterior photo of each secondary resource.

  For exterior photography for intensive-level (evaluation) surveys (note that interior photography is also required for intensive-level survey--see below) take:
    - five to ten exterior photos of the primary resource (including front, rear, sides, architectural and/or construction details, close-up views, and setting); and
    - one to two exterior photos of any secondary resources and significant landscape features.

  One photo clearly showing no more than three small secondary resources, such as a garage and two sheds, is acceptable. However, a photo of several buildings seen in the distance is not acceptable, unless photos showing the resources at closer range accompany this view.

  For all photos, resources--especially primary resources--should be photographed in clear view, unobstructed to the greatest extent possible by trees and other vegetation, by parked cars, or by other visual barriers. It may be necessary to time the photography in terms of lighting, foliage season, and minimal street traffic to obtain the best possible photograph of the resource.

[24] See Chapter 5 for additional guidelines regarding photographic documentation.

When documenting historic districts, typically overview photographs are required. Photo-documentation of individual buildings within a historic district is to be augmented by photographs of streetscapes showing the relationship between buildings and other significant features, such as street furniture and lighting fixtures, walls and fences, sidewalk and street paving, and other hardscapes, plant materials, and other landscape components. For rural historic districts, typically views of roadscapes and significant viewsheds are required.

Interior photos are required for intensive-level (evaluation) documentation. If a specific project requires intensive-level survey of a certain number of buildings and the interior of a particular building cannot be accessed, the surveyor may be expected to choose another resource to record at the intensive level. For intensive-level documentation conducted pursuant to the NHPA, to provide sufficient information for an evaluation of potential eligibility for listing in the NRHP, if interior photographs cannot be obtained, additional consultation with DHR and the responsible federal agency will be necessary.

For interior documentation, photograph the principal rooms to show as much of the volume of space in the rooms as possible. Close-up photos of architectural elements, such as mantels, built-in cabinets, windows, doors, trim, and stairs, are also needed, and are to complement photos showing the volume of each principal room. To avoid overexposing or underexposing the subject of the photo, use the correct level of flash. Raking light is often ideal for illuminating architectural features. Since the complexity and size of resources vary, the number of photos needed for complete documentation will also vary from a typical minimal requirement of five interior photos for the primary resource to a large number of images.

- **Describe the resource**

  To create or update a record in DHR's Data Sharing System (DSS) data entry shall be performed according to the *Data Sharing System (DSS) Data Entry Manual for Architectural Resources*. Those individuals conducting data entry are expected to have received training from DHR in the use of DSS and to have current knowledge of the program (contact DHR's DSS architectural inventory manager for assistance). Each DSS survey record must include:

  - A DHR identification number.[25]
  - Name(s) of property (historic, current, and/or function/location); address; location; site description; acreage (optional); classification of resource type(s); exterior description of the primary resource; date or period of construction; alterations and dates or periods of alterations; physical condition, possible threats to the resource; exterior description of any secondary resources (to include date or period of construction, physical condition, and possible threats); component box data on the primary resource; historic contexts; potential for meeting the criteria for listing in the VLR and NRHP; graphic documentation; and survey level and date.
  - Intensive-level surveys will include in addition to the above: an interior description of the primary resource; interior plan type; historical and architectural significance of the property; events and individuals associated with the property; and property

[25] See Chapter 5 for further discussion on DHR identification numbers.

owner contact information.

- A summary statement of significance, placing the property in the appropriate historic and architectural context. At the reconnaissance level, the statement should recommend whether the property should be given further inspection at the intensive level; and at both the reconnaissance and intensive levels, the statement of significance should make a recommendation (or not) concerning potential register eligibility, specifically addressing register criteria and criteria considerations, if applicable, under which the property may be eligible.
- Site plan showing: the primary resource with accurate footprint, roof lines, porches, and chimneys indicated; its spatial relationship to any secondary resources and adjacent resources; the street, road or other transportation corridor that provides access to the property, and driveways, farm roads, and other circulation components; important natural or man-made features such as lakes, ponds, rivers, or creeks; and significant landscape features such as gardens, specimen trees, or parks. Sketched site plans are preferred, and must be clearly drawn. A parcel map may be used as a base, provided it is at a large enough scale (typically one site plan will fill an 8½- by 11-inch sheet), shows all resources on the parcel accurately located, and indicates access routes and important landscape features. All site plans must include the date of the survey and the DHR identification number, and a clearly drawn and accurately placed north arrow. If drawn to scale, or if a base map with known scale is used and the scale is not altered, the scale shall be provided; otherwise, site plans shall be marked as "not to scale", or "NTS." Also, aerials from the Virginia Base Map Program (VBMP 2002) imagery may be used,[26] but as with maps, the images obtained must be enhanced with the addition of any features required for a complete site plan that do not clearly appear in the VBMP image, with features labeled as needed. VBMP images and other alternative site plan formats will not be accepted if they are not sufficiently legible or cannot be legibly photocopied. See pages 40-43 for a detailed discussion on site plans.
- For intensive-level survey, neatly sketched or printed floor plans of the primary resource are required. If copies of floor plans exist, they can be reduced to an appropriate scale. All floor plans shall include a north arrow, the date of the survey, and the DHR identification number and shall include features such as door and window openings, stairs, porches, decks, loading docks, etc. If drawn to scale, the scale shall be provided; otherwise, they shall be marked as "not to scale", or "NTS."

- **Locate the Resource**

  Circle the property, or draw the approximate boundaries of the property on a photocopied section of the USGS topographic quadrangle map on which the property is located. Use more than one map if the property extends onto more than one quadrangle (if copying from hard copy USGS maps). Indicate the name of the property, the resource's DHR identification number, the date of the survey, and the name of the quadrangle in the margin of the map.

- **Interview the property owner, if possible**

[26] Access to the Virginia Base Map Program is provided to consultant-level users of DHR's Data Sharing System (DSS).

A good deal of information about the current function and history of the property can often be obtained by interviewing the property owner or resident. The owner may also provide the surveyor with names of other persons to interview and other useful sources of information.

Surveying Historic Districts

Many survey projects are conducted to support the identification and designation of historic districts, often resulting in listing in the VLR and NRHP, as well as local designation. Whether or not a National Register Registration Form for a district will be prepared as part of the survey project, the survey is to be conducted with the goal of generating information that will clearly demonstrate why the historic district is significant and, if a nomination is warranted, why the district is eligible for listing in the VLR and the NRHP. For historic district survey, the survey data generated must meet the reconnaissance-level survey requirements set forth in *DHR Guidelines*. All properties in the historic district, contributing as well as noncontributing, are to be documented unless project-specific arrangements made with DHR indicate otherwise.

Survey of a historic district will involve consideration of appropriate and defensible boundaries and an appropriate Period of Significance. Refer to the National Park Service's National Register Bulletins for guidance; in particular, consult the following: National Register Bulletin 16A, *How to Complete the National Register Registration Form*, and National Register Bulletin 21, *Defining Boundaries for National Register Properties*. Consider the nature of the historic district when determining boundaries--whether the district is located in an urban, town, community, or rural setting--and remember to consider all types of historic resources that may be present including cultural landscapes and archaeological sites as well as architectural resources. Also, for projects that include preparation of a VLR and NRHP nomination, the DHR Register Program's Register Nomination Check List must be used to ensure that all items required for the nomination are provided. For instance, mailing labels of owners of properties both within and adjacent to the historic district are needed by DHR to fulfill the state legal requirement for property owner notification about pending nominations. These materials must also be provided to DHR with sufficient time for review and comment, while staying on schedule for quarterly meetings of the State Review Board and Historic Resources Board. Note that failure to provide all needed materials by the due dates established for the Boards' quarterly meetings can result in postponement of consideration of nominations by the Boards, and significant delays in listing nominations in the VLR and NRHP. The National Register Nomination Check List can be obtained by contacting DHR's Register Program staff or by contacting the appropriate DHR Regional Office.

Historic districts that were defined and designated in the past typically require updating. To update a historic district survey, the following properties are to be included in documentation efforts: properties in the historic district that were not previously surveyed, including secondary as well as primary resources (in some cases for older historic districts, comprehensive survey of the district was not conducted), and new buildings or structures constructed in the district since the previous survey occurred; properties that have changed since existing survey data was recorded, whether by remodeling, demolition or possible replacement with new construction, or by other means; and properties for which the existing contributing or noncontributing status may change due to updating of the district's Period of Significance. Also, all properties located in areas proposed as expansions of a listed historic district must be surveyed according to reconnaissance-level survey requirements set forth in *DHR Guidelines*. It may also be necessary to survey other properties adjacent to or near the existing historic district to justify proposed changes to the boundaries as part of the historic district updating process.

Following is a step-by-step approach to survey for historic districts, and survey for updating existing historic districts:

- **Research**

  Gather information about the area in which the proposed or existing historic district is located according to guidance for conducting survey research in *DHR Guidelines*, bearing in mind that survey for historic districts seeks to support the potential eligibility of the collective group of properties as a historic district, or to update information on an existing district. If prior survey in the project area has been done, determine which properties were documented, and the date, completeness, and accuracy of this information, noting any gaps that will need to be addressed. Review existing survey data and the historic district nomination or Preliminary Information Form (PIF) if previously prepared; and note areas of study for which additional research and interpretation of information relating to contexts, themes, and time periods will be required. Consider how this information will relate to the NRHP Criteria for Evaluation and a likely Period of Significance for the historic district or changes to the Period of Significance for an existing district.

  As is typical for survey projects, note that research will continue as survey progresses, bringing information to light that should support the historic significance of the collective group of resources. As part of initial research, study historic and current maps to determine potential boundary locations, or possible boundary adjustments to existing historic districts, noting locations of properties previously documented both inside and outside the proposed or existing historic district. Pinpoint areas that will require particular attention when field-checking boundaries.

- **Field survey**

  Drive and/or walk the entire area within the proposed or existing historic district and any proposed expansion areas with reference to maps showing existing boundaries for previously designated historic districts and showing properties previously surveyed. Note that maps must be checked for accuracy while in the field and any corrections and adjustments made. Use map information and research data in combination with a thorough and complete field check to draft defensible historic district boundaries, bearing in mind that these boundaries may change as survey and research progress. As field checking is conducted and properties in the historic district are viewed, make any adjustments to the proposed Period of Significance as needed.

  Following the initial drive and/or walk through the historic district and surrounding areas, proceed with property-by-property documentation, surveying properties according to reconnaissance-level survey requirements in *DHR Guidelines* and as directed for the specific project. For historic district update projects, survey all properties that may experience a change in status from noncontributing to contributing due to modifications to the Period of Significance; in most cases, this will involve resurvey and updating existing data in DHR's DSS database. Likewise, survey all properties previously considered contributing, but due to loss of integrity, may no longer be contributing. Also, note the loss of any previously documented properties, and survey any new buildings or structures added to the district since the last survey.

- **Preparation of materials**
  Survey materials for historic districts shall be prepared and packaged as described in *DHR Guidelines* for all survey projects. Where DHR identification numbers have not yet been assigned to properties in the historic district, they shall be provided as three-part numbers, reflecting the location of surveyed properties in a historic district--see Chapter 5 for information on DHR identification numbers. For the preparation of a historic district VLR and NRHP nomination, follow guidance provided in the National Park Service's National Register Bulletin 16A, *How to Complete the National Register Registration Form*. To update an existing historic district nomination form, refer to Bulletin 16A for information on amending a nomination, and coordinate closely with DHR's Register Program staff and the DHR Regional Office in which the project area is located. Note that typically, as part of every historic district VLR and NRHP nomination, an inventory of all properties in the historic district must be included in the nomination; this inventory will indicate the contributing and noncontributing status of the properties and will, therefore, depend upon accurate field survey and correct interpretation of research findings.

See Chapter 5 for additional guidance regarding the organization of architectural survey materials, and refer to DHR's *Data Sharing System (DSS) Data Entry Manual for Architectural Resources* for information on recording documentation data in DHR's DSS, available on DHR's website at http://www.dhr.virginia.gov/archives/data_sharing_sys.htm, and by contacting DHR's DSS architectural inventory manager. Surveyors planning to use DSS must be familiar with the most current DSS guidance. DSS updates may happen more frequently than updates to *DHR Guidelines.* To arrange for obtaining up-to-date training in DSS, contact DHR's DSS architectural inventory manager or the DHR archivist.

CHAPTER 5

ORGANIZING ARCHITECTURAL SURVEY MATERIALS

Department of Historic Resources (DHR) Identification Numbers

Before a file on a surveyed resource is placed in the Department of Historic Resources (DHR) Archives, it must receive a DHR identification number. This unique number is used in the identification, filing, and entering of information into the Data Sharing System (DSS) for every surveyed property. The DHR Archives arranges property files by city, county, and incorporated town, and then sequentially by identification number within each locality.

Each surveyed property (except for properties within historic districts) is assigned a two-part number that is unique to that property. Separated by hyphens, the first set of digits refers to the city, county, or incorporated town in which the property is located, while the second set of digits refers to the number assigned to that particular property. For example, three surveyed rural properties in Loudoun County might be assigned the identification numbers of 053-0001, 053-0002, and 053-0003 in which the first number (053) represents Loudoun County and the second numbers (0001, 0002, and 0003) represent the first, second, and third properties surveyed in the county.

Three-part (tertiary) identification numbers are assigned to properties located within potential or register-listed historic districts. Again separated by hyphens, the first set of digits refers to the city, county, or incorporated town in which the historic district is located, the second set of digits is the number that is assigned to the historic district, and the third set of digits refers to a specific property within the historic district. For example, three properties located in the Alexandria Historic District might be assigned the identification numbers of 100-0121-0001, 100-0121-0023, and 100-0121-0500 whereas the two-part number 100-0121 represents the Alexandria Historic District, (100 represents the City of Alexandria and 0121 represents the Alexandria Historic District), while the last four digits are assigned to a specific property within the district.

If an individual file exists for a previously surveyed architectural resource, the resource retains its original DHR number if it is later included within a historic district; however, the resource also receives a tertiary number within the district. In the Data Sharing System (DSS) it is important that the primary resource number continues to be its original individual recordation number, and that any additional file numbers, such as a tertiary number within a historic district, be added to the DSS record in the “Other DHR File Number” field. If those records are then being submitted to DHR as part of a historic district survey, they should be included in the physical files under the historic district tertiary number. Any other survey materials that are submitted on a property recorded under more than one file number would be added to the individual resource file in the Archives.

DHR identification numbers for architectural resources are assigned by the DHR Archivist. Before issuing numbers, the Archivist must first receive United States Geological Survey (USGS) topographic quadrangle mapping (on 1:24,000-scale maps), identifying newly surveyed resources. Preparing an Excel spreadsheet file with property names and/or addresses is helpful when making file number requests for a large number of resources. This can be provided to the DHR Archivist by e-mail. Contact the DHR Archivist for assistance at (804) 482-6102.

DHR Archives Survey Files

Before an individual survey file can be accepted by DHR for accessioning into the Archives, the survey file must consist of the following materials which must be prepared according to DHR requirements:

- A DSS-generated survey form;
- Black-and-white photographs depicting the primary and secondary resources located on a property. The photographs must be properly labeled according to DHR standards and placed in one or more *Print File* brand transparent photo protector sheets (see "Photography Guidelines" below);
- A photocopied section of a USGS topographic quadrangle map (1:24,000 scale) or more than one map if the property extends onto more than one quadrangle. The surveyed property must be circled, or a more precise property boundary delineated (especially for larger properties), on the map. The survey date, the name of the property, DHR identification number, and name of the quadrangle map are to be clearly indicated on the margin of the map;
- A site plan, preferably neatly hand drawn, which may be based on a detailed map provided by the locality, and including all features required by DHR for a complete site plan (see pages 40-43);
- For properties documented at the intensive level, a floor plan (showing all inhabited floors above ground and the basement level if it displays significant spatial arrangements) either neatly hand drawn to approximate dimensions, a measured drawing, or a CAD-generated drawing meeting DHR requirements for a floor plan sketch (see page 31);
- A base or tax map for surveyed properties located in towns or cities, showing locations of surveyed properties marked with addresses and DHR identification numbers; and
- Any supplementary information associated with the surveyed property, such as field notes, field forms, copies of original architectural drawings, building specifications, published or unpublished materials on the resource, and bibliographic materials. All materials must be on archival paper.

DHR Archives Survey File Envelopes

All survey materials pertaining to an individual property are to be submitted in standard DHR survey file envelopes obtained from the DHR Archivist. The file envelopes must be neatly hand-lettered in **pencil only** (use of pens or adhesive labels is not acceptable) with the following information:

- Historic name of property, or function/address if property name is not known;
- County, independent city, or county-incorporated town (for example, Montgomery-Blacksburg); and
- DHR identification number

As many as five reconnaissance-level survey forms may be grouped within one envelope, provided they are in sequential numeric order by DHR identification number (see above). Only reconnaissance-level survey forms may be grouped in one envelope. Each intensive-level

survey form and materials must be placed in an individual survey file envelope.
For historic districts, typically DHR identification numbers should be assigned by the surveyor to individual properties in a logical sequence such as properties along a street or block within a historic district. Like other reconnaissance-level records, those within districts should be grouped by file number, five records per envelope. For example, if there are materials for five surveyed properties with consecutive DHR identification numbers in the Farmville Historic District, place each of the five DSS forms, site plans, maps, and corresponding transparent *Print File* brand photo sheets in a single DHR survey file envelope. The survey file envelope shall be labeled with the name of the historic district followed by the names of the individual properties (or addresses) in the space for "Name" (for example, "Farmville Historic District, House, 101 Main Street," followed by the other four individual resource names), the name of the locale in the space for "County/Town" (for example, Prince Edward-Farmville), and the range of DHR identification numbers in the space labeled "File No." (for example, "144-0027-0001/0005"). The slash between the property numbers indicates that all properties with identification numbers within that range are in that physical file. Photocopied sections of base or tax maps showing the location of each of the five properties (circled or otherwise clearly indicated in a manner that will photocopy) must be provided, along with the USGS topographic quadrangle map with the district's boundaries clearly drawn.

For DHR-funded projects, such as Survey and Planning Cost Share projects, survey file envelopes, *Plastiklips*, transparent negative sheets, and transparent photo sheets are provided by the DHR Archives upon request. The provided materials are for use in preparing DHR file copies only. Copies of materials submitted to the sponsoring locality should NOT be submitted in DHR survey file envelopes. The DHR Archivist can provide information on obtaining archival products for survey projects.

Data Sharing System (DSS) Forms

The surveyor must produce at least one final paper copy of each record, or property file, on archivally stable paper. This form must be an export from the DSS, DHR's survey database. The final form must include all required survey data for the property, incorporating any edits resulting from comments made following DHR staff review of a draft form. Typically the electronic DSS record will be reviewed in final draft form by the DHR DSS architectural inventory manager, and by at least one other DHR staff member, usually a regional office architectural historian. The paper copy of the final form is filed at DHR with original photographs, site plan, floor plan(s) for intensive-level survey, map(s), and other supporting materials. The DSS form is printed single-sided on standard archival paper and clipped with plastic paper clips (such as *Plastiklips*). DSS forms must not be stapled.

DSS may also be used as a reporting tool. There are a number of specialized reports that can be produced from the DSS. There are two standard reports; one consists of the complete DSS survey forms, and the second consists of lists of properties for which data has been entered into DSS. The second type of report, the properties list, is useful for producing inventory lists for survey reports and for register nominations. Surveyors are strongly urged to run reports of individual DSS properties as a survey project proceeds to check for completeness and accuracy of the individual records. By doing this, problems that may appear in DSS survey forms generated for project reports can be identified early rather than at the project's final phase. Quality control reports on the first few records entered into the DSS are invaluable in preventing the replication of mistakes throughout a full series of records. Assistance with running custom reports may be obtained from DHR. Please submit a report request form to the DSS architectural inventory manager to obtain a custom report, and allow up to five business days for processing. The form is available from the regional office staff serving the area being surveyed.

Photographic Documentation

There are two standard formats for submitting photographs for DHR architectural surveys: traditional 35 mm black-and-white photos and digital images. **Note that specific requirements for photographic documentation may vary depending on program and project requirements**; if in doubt, contact the appropriate DHR program area or the DHR survey manager. For standard survey procedures, black-and-white glossy images, produced either from 35 mm film or from digital files, are required; For Survey and Planning Cost Share projects, consult the scope of work in the grant agreement to determine the number and type of photos needed. If you are conducting survey of a historic district for which a National Register nomination is to be prepared, note that there is a difference between survey photos (those submitted with the individual survey files for each resource) and register photos (the select 10-12 images that will accompany the National Register Registration Form). The requirements for the two types of photos do vary, so consult the appropriate DHR regional office for advice.

Most likely, digital images will be used to produce prints in place of 35 mm negatives; if this option is used, the black-and-white prints produced must be archivally stable. When processing 35 mm negatives, it is possible to also obtain a disc with JPG files of the images on the negative frames from the processing company. Submitting the resultant disc along with the black-and-white prints and the negatives for storage at DHR is required.

If digital images were used to produce the survey prints, then submitting electronic image files saved in 8-bit (or larger) color format as uncompressed TIF files on DVD or CD-R media is required. See Digital Images section (page 40).

Following are requirements for all photographs submitted to DHR. Below these general guidelines are the technical requirements for each type of image.

For 35 mm or digital black-and-white photos, glossy photographs must be either 3½ by 5 inches or 4 by 6 inches, unmounted, and printed on archival-quality photo paper. Individual prints are preferred and encouraged; however, prints on a single 8 by 10 photo paper page will be accepted if all of the images are of the same resource. For digital files please note that while the prints must be in black and white, the files themselves should remain in their original color format. Photographs are to be labeled on the reverse side using a soft-lead pencil such as a Pentalic No. 9B or Graphitone No. 8B pencil available at most art supply stores. Ink pens, felt-tip markers, and adhesive labels are not acceptable for labeling photos. If these are used to label photos, the prints may need to be reprinted and relabeled at the surveyor's expense. It is also acceptable to label the photographs within the white margin on the front of the image. This label information may be generated by computer and printed directly in the white margin, or an archival photo labeling pen can be used.

In the lower left corner on the back or in the white margin on the front of each photograph, provide the following information:

- Negative number (for 35 mm photographs only)
- DHR identification number for the property
- Date the photograph was taken

- A brief descriptive caption, including cardinal directional information (for example, "Main House, south elevation" or "Main House, second-floor, southeast bedroom")
- (Optional)--Name of photographer and/or agency/consulting firm carrying out the survey project

Example of an accurately labeled photograph (labeled on the reverse side):

65123
127-9999
March 2, 2006
Bob Smith
Barn, East Elevation

Photographs must be submitted in transparent, *Print File* brand photo protector sheets (style 35-10P, 46-6P, or 810-2P). Each photo sheet holds up to ten 3½- by 5-inch or six 4- by 6-inch photos or two 8- by 10-inch photo pages, arranged back-to-back. Label the photo protector sheets with the range of DHR identification numbers and the date(s) the photos were taken. Adding the photographer's name is optional.

- **Black-and-White (35mm) Film**

  Each roll of 35 mm film receives a unique five-digit negative number that is assigned by the DHR Archivist (contact DHR's Archives at 804 482-6102 to obtain negative numbers). Negative numbers are ONLY needed if the negatives are to be submitted for storage at DHR. Negatives are submitted in *Print File* brand, style 35-7BXW transparent negative protector sheets, the best choice as they contain enough sleeves for negative strips of four to six frames each for an entire roll of film of up to 42 frames to be included in one sheet. Each negative strip must have the five-digit DHR negative number written between sprocket holes at the top right corner, using an ultra fine point marker such as a Sharpie pen. The top of each negative protector sheet must be labeled using an ultra fine point marker with the negative number, date, photographer's name (optional), agency/consulting firm carrying out the project (when applicable), and the DHR identification number(s).

  A photo log, printed on standard letter-size paper, should accompany each set of negatives submitted to DHR. The top of each photo log sheet must be labeled with the following information if common to all the frames: the negative number and the date the photographs were taken; the property name and location (city, county, or town); DHR identification number; and the photographer's name and the name of the agency/consulting firm (optional). The photo log should then consist of a detailed list of each frame, with the property name, location, and DHR identification number (if not noted in the common information section at the top of the page); and a brief image description.

For historic district surveys, the name of the historic district and the district's DHR identification number must be included in the common information section at the top of the photo log sheet. The detailed list must include for each frame the subject's address and name (if one exists), the three-part DHR identification number for that property, along with a description of the view.

- **Digital Images**

Electronic image files must be saved as uncompressed TIF (Tagged Image File format) files on CD-R or DVD media. The size of each image must be 1600 by 1200 pixels at 300 ppi (pixels per inch) or larger. The following steps must be taken for proper processing of digital images: when converting from jpeg to TIF, download the image from the camera to the computer, immediately convert the file to a TIF, then rename it. DO NOT download the image to the computer, first rename, then convert to TIF, as this causes loss of information. Also, the image should not be manipulated, other than sizing, rotating, or cropping. Digital images should be saved in eight-bit (or larger) color format, which provides maximum detail even when printed in black-and-white. Digital images are to be printed according to the general photography guidelines above. DHR has adopted the National Register of Historic Places (NRHP) and National Historic Landmarks (NHL) Survey Photo Policy with regard to acceptable ink and paper combinations for digital images.[27]

Electronic files should be named using the following DHR convention: DHR identification number, resource name, year that photograph was taken, and view. There should be no spaces, commas, or periods in the file name. The file name should be no longer than 100 characters in length (abbreviate resource name and/or view description if possible).

For example:
134-0011_FerryFarm_2005_exterior_east_elevation
111-0009-0085_House1600CharlesSt_2007_interior_dining_rm_mantel
002-0130_Pantops_2011_springhouse_SW_view.

All electronic image files for a single property should be collected within a folder prior to being saved on the DVD or CD-R. The folder should be named using ONLY the DHR identification number (no other information may be included in the folder name). For resources documented in a historic district survey with a previous individual identification number, the folder and the image file names should use the original two-part identification number for the property and NOT the newly issued historic district tertiary number. For example, the folder for the first image file above would be labeled 134-0011. No other information may be included in the folder label, and only images of the resource 134-0011 may be included in that folder. CD-Rs or DVDs shall be labeled with a project name, agency/company, month and year of photographs, project and/or contract number (if applicable), and the range of DHR identification numbers saved on the CD-R or DVD.

---

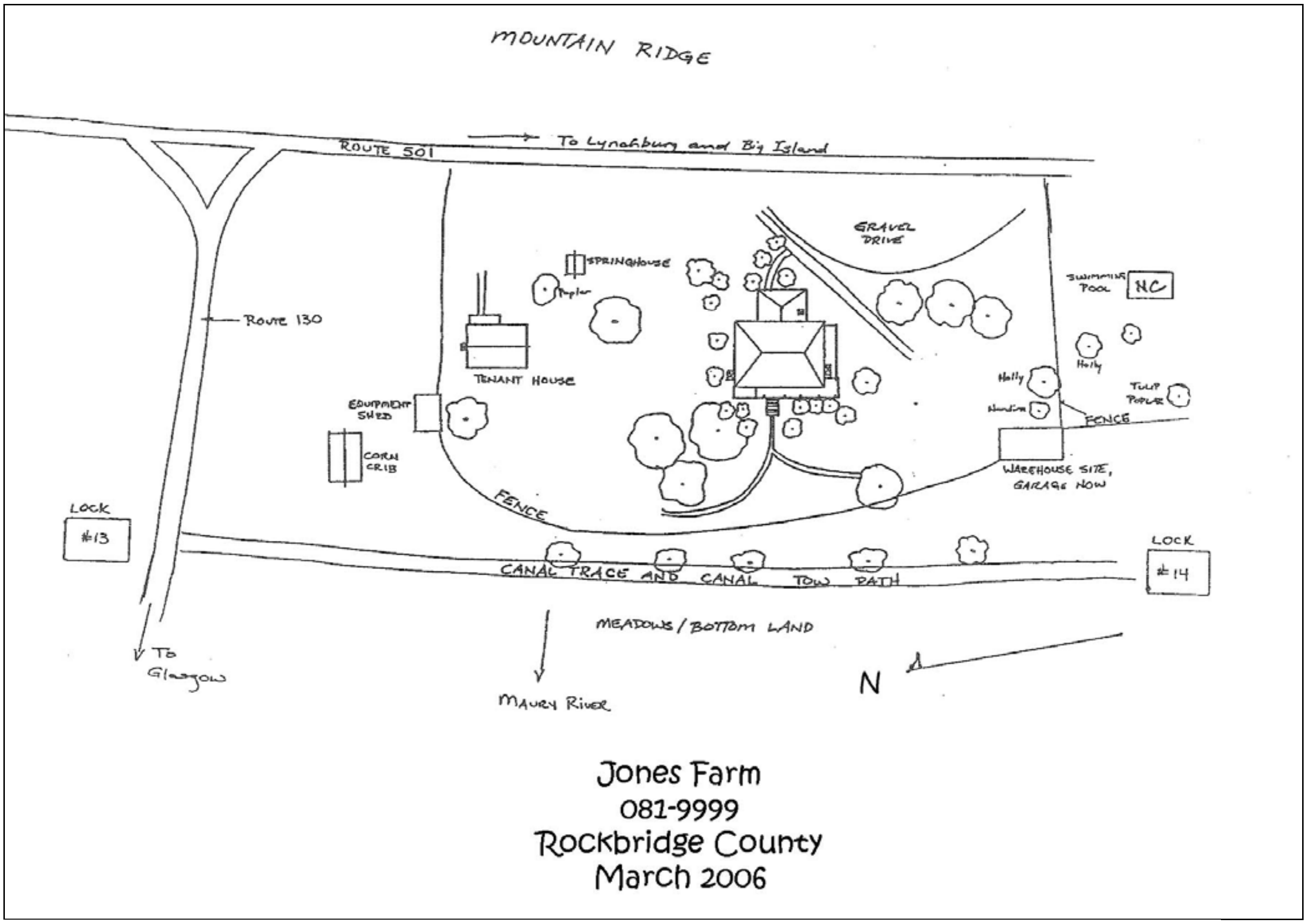
[27] National Park Service, *National Register of Historic Places and National Historic Landmarks Survey Photo Policy Expansion, March 2005* (available on the Internet at: http://www.nps.gov/history/nr/policyexpansion.htm#digital).

Site Plans

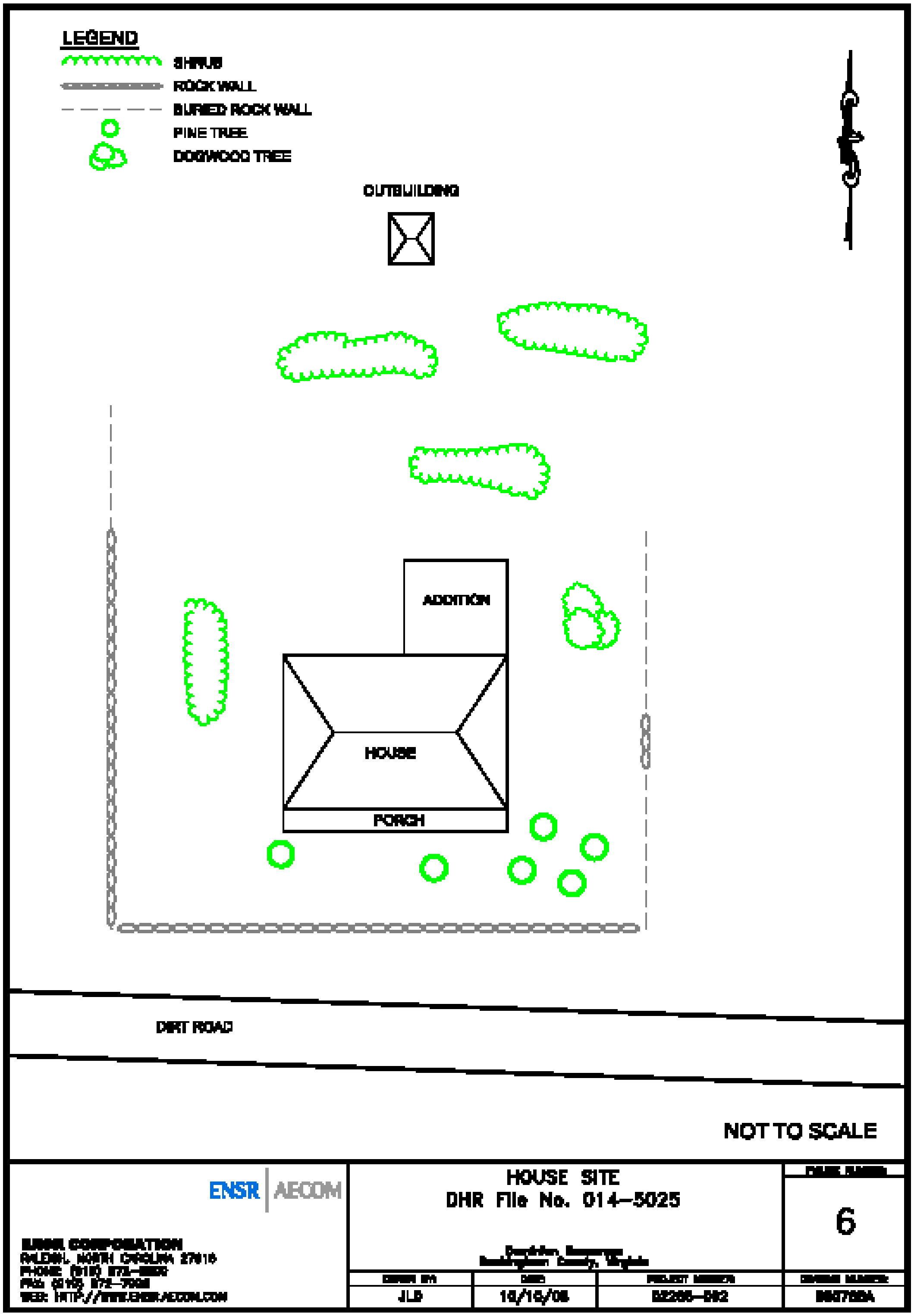
Site plans must fully and accurately represent the location of buildings, structures, sites, objects, and significant landscape features. Site plans must also indicate the relationship of the property and resources to the street or road that provides access to the property and to adjacent properties, if any are close by. They must be fully labeled with the resource name, DHR identification number, and date of survey and include a north arrow. If they are to scale, an accurate scale must be included and if not to scale, the notation, “Not to Scale” or “NTS” must be provided. Building and structure footprints are expected to accurately represent resources and include rooflines and features such as porches, decks, and chimneys. Neatly hand-drawn site plan sketches are preferred, as they offer more flexibility than computer-aided drafting programs for providing the level of detail and accuracy required. Site plans may be based upon local government maps or other maps that clearly show property lines, building footprints, streets, etc., such as Sanborn maps, but these maps will not in themselves serve as site plans. If maps are used for base information for site plans, images from maps may be enlarged or reduced to the appropriate size, if required (which will typically provide one property site plan per 8½- by 11-inch sheet of paper), and then must be enhanced with the inclusion of all features required for a complete site plan as described above and in Chapter 4, with features labeled as appropriate. Also, aerials from the Virginia Base Map Program (VBMP 2002) imagery may be used,[28] but as with maps, the images obtained must be enhanced with the addition of any features required for a complete site plan that do not clearly appear in the VBMP image, with features labeled as needed. VBMP images and other alternative site plan formats will not be accepted if they are not sufficiently legible or cannot be legibly photocopied.

[28] Access to the Virginia Base Map Program is provided to consultant-level users of DHR’s Data Sharing System (DSS).

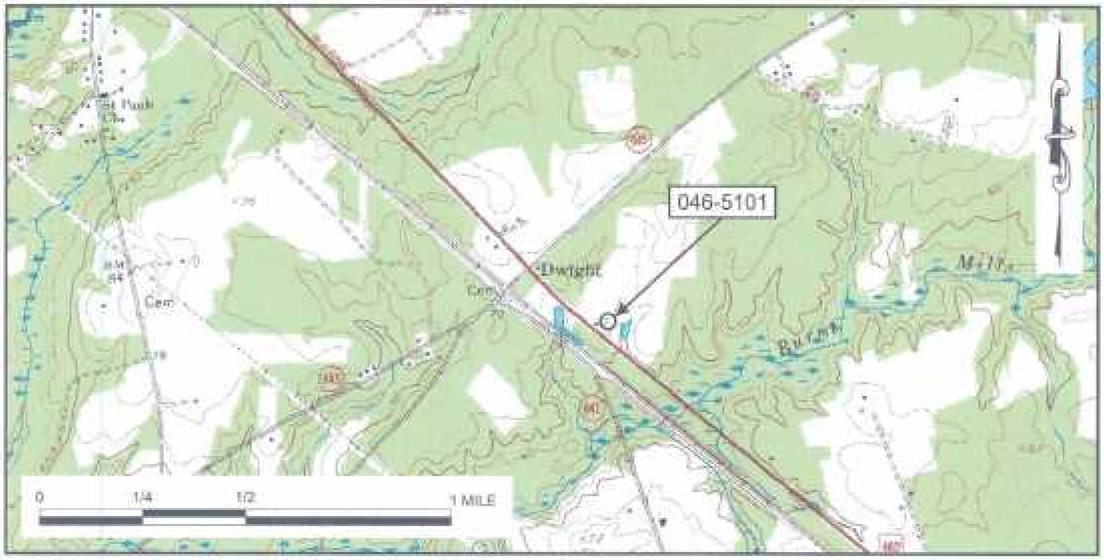
Example of an accurately drawn and labeled site plan for a rural property:



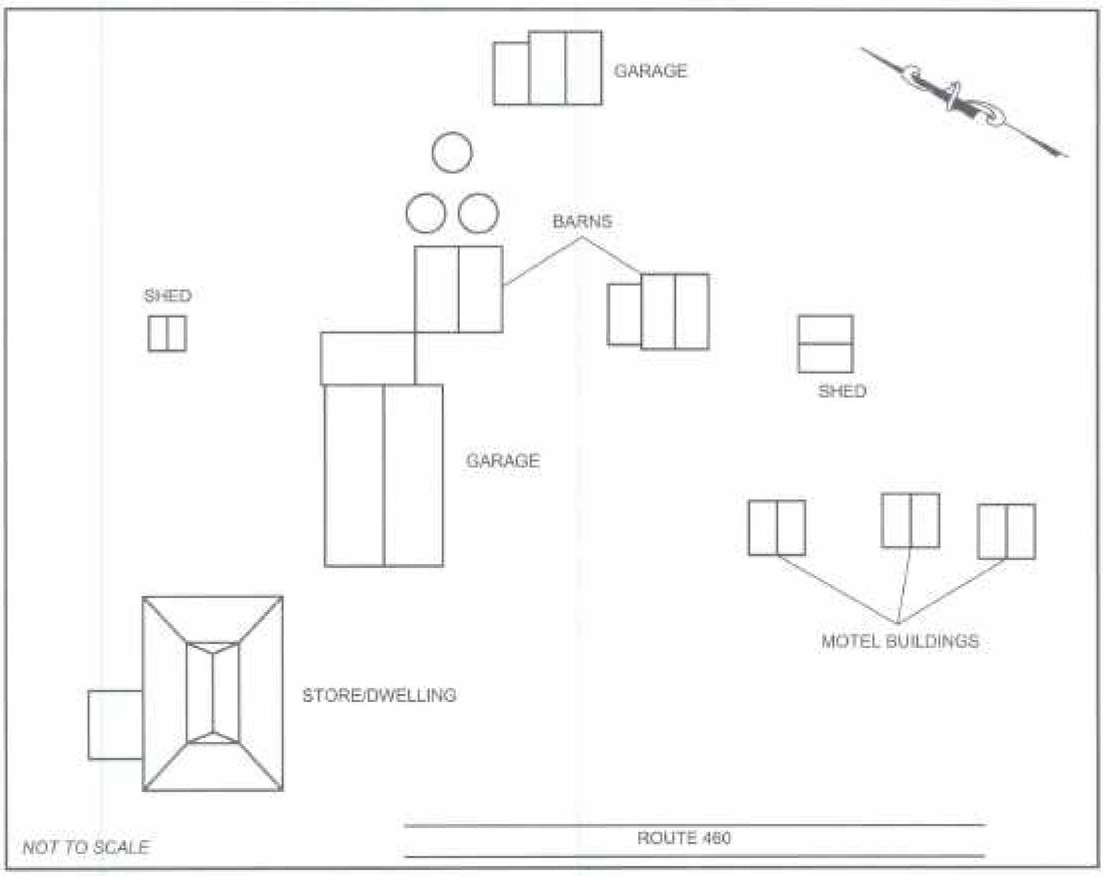
Example of an accurately drawn and labeled site plan for an urban property:



Examples of a location map (USGS) and a site plan for a commercial/agricultural property:



046-5101, Location Map (USGS 7.5-Minute Quadrangle, Zuni, VA)



046-5101, Sketch Map

Hall Place, Isle of Wight County
August, 2004   The Louis Berger Group, Inc.

United States Geological Survey (USGS) Topographic Quadrangle Maps

For all survey projects, including those recording properties in historic districts, a set of USGS topographic quadrangle maps of the entire survey area must be provided (at 1:24,000 scale). Each surveyed property must be circled, or a more precise property boundary delineated (especially for larger properties), on the map. The survey date, the name of the property, a DHR identification number, and the name of the quadrangle map are to be clearly indicated. If the scale of the quadrangle map is not sufficient to clearly provide locations of surveyed properties, such as in a densely populated urban area, city base maps or tax parcel maps shall be used in addition to the quadrangle map; or, if no other larger-scale maps are available, the quadrangle map may be sufficiently enlarged to depict the properties.

If buildings in a historic district are being recorded, the boundaries of the historic district are to be indicated on the appropriate quadrangle map. The locations of surveyed resources in the historic district are to be labeled on a city base map or tax parcel map or an enlarged quadrangle map if no other larger-scale map is available. The map must also indicate each resource’s contributing or noncontributing status usually obtained by using dark shading (no colors) or crosshatching and so noted in the map key.

CHAPTER 6

CONDUCTING ARCHAEOLOGICAL INVESTIGATIONS

Introduction

The Secretary of the Interior has developed broad national performance standards and guidelines to assist federal agencies in carrying out their historic preservation activities, entitled *Archaeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines*, herein called the *SOI Standards*. The guidance on archaeological investigations presented herein is intended to supplement the *SOI Standards.* Professionals working in Virginia have long recognized the need to standardize archaeological field investigations conducted in the Commonwealth. *DHR Guidelines* was established to meet this need, and to fill the gap between the broad-based federal guidelines and the various previously published field manuals. The following guidelines are intended to provide standards and offer general guidance without hindering the development and use of new and innovative approaches.

The intent of the following guidance is to clarify expectations for archaeologists, their clients and the public, and others involved in archaeological investigations. The guidelines describe widely accepted archaeological practices used in the mid-Atlantic region. The guidelines also encourage the selection of methods and techniques generally found to be the most efficient and cost-effective.

It is expected that these guidelines will enable project sponsors to better understand and assess proposals for archaeological survey. Users of the guidelines are to contact the Department of Historic Resources (DHR) with questions about particular projects. It is anticipated that the guidelines will be updated at regular intervals to incorporate unanticipated considerations and new approaches.

Definition of an Archaeological Site

In general terms, an archaeological site is defined as the physical remains of any area of human activity greater than fifty years of age for which a boundary can be established. Examples of such resources include the following: domestic/habitation sites, industrial sites, earthworks, mounds, quarries, canals, roads, shipwrecks, etc. Under the general definition, a broad range of site types would qualify as archaeological sites without the identification of any artifacts. To establish a boundary for archaeological sites manifested exclusively by artifacts, the recovery of a minimum of three items is needed, related either temporally or functionally and located within a spatially restricted area (a 300–square-foot area is suggested). This definition does not apply to cultural material that has been recently redeposited or reflects casual discard. However, single artifacts that represent one episode of behavior may receive a site designation if the researcher can justify the discard event to be culturally meaningful and/or associated with specific landscape features. Other items to consider in deciding whether or not an area warrants a site designation include survey conditions, survey methods, and site types. Additional guidance on underwater site definition may be found in *An Assessment of Virginia's Underwater Cultural Resources*, available from DHR. Any occurrence that does not qualify for a site designation shall be termed a location.

Estimates of site boundaries may be based on the spatial distribution of artifacts and/or cultural features and their relationship to other features of the natural environment (landform, drainage) and cultural environment (historic landscape features). In addition, historic background information is to be taken into consideration when defining the boundaries of a historic site. The boundaries for resources located in urban or underwater environments may be difficult to estimate at the Phase I level. For all archaeological sites identified, a DHR Archaeological Site Inventory Form must be completed and submitted to DHR for review and approval via the Data Sharing System (DSS). It is also required that DSS site forms for previously recorded sites be updated with newly acquired information.[29]

Levels of Investigation

There are three levels of documentation for historic resources. The first two levels constitute components of what is defined in the federal standards as an "intensive" survey. It is important to note that this is different from a "reconnaissance" survey. Although defined in the federal standards, a reconnaissance-level survey is not appropriate for projects submitted for review pursuant to Section 106 unless otherwise agreed upon by DHR and the project sponsor.

For practical purposes DHR has divided an intensive archaeological survey into two levels: identification (Phase I) and evaluation (Phase II). The third level (Phase III) constitutes treatment for significant resources. DHR normally does not recognize additional division into sub-phases (for example, Phase Ia and Phase Ib). All levels of investigation are to be conducted in accordance with Occupational Health and Safety Administration (OSHA) safety guidelines.[30]

Each phase is defined briefly below:

- **Identification (Phase I)**

  Identification involves compiling all relevant background information, along with comprehensive recordation of all sites, buildings, structures, objects, and potential districts within the survey area. This information is used in planning and making decisions about historic resource management needs. The goals of a Phase I archaeological investigation are:

  - To locate and identify all archaeological sites in the survey area;
  - To estimate site size and boundaries and to provide an explanation as to how the estimate was made; and
  - To assess the need for further (Phase II) investigation.

- **Evaluation (Phase II)**

  Evaluation of a resource's significance entails assessing the characteristics of a property against a defined historic context and the criteria of the Virginia Landmarks Register (VLR) and National Register of Historic Places (NRHP). The evaluation shall result in a definition of those resources which are eligible or ineligible for VLR and NRHP listing. The purpose of a site evaluation is:

  - To accurately define site boundaries and assess the horizontal and vertical integrity;
  - To determine whether the site is eligible for the NRHP and under what criterion; and

[29] For a DSS registration form, please contact the DHR DSS Accounts Manager at 804-367-2323.
[30] Please see the OSHA web site at http://www.osha.gov/index.html for further information.

- To provide recommendations for future treatment of the site.

These goals can best be met when research strategies focus on determining site chronology, site function, intrasite structure, and integrity. The level of effort and the methods employed will vary depending upon site size, site type, and the environmental setting.

It is important to note that resource evaluations must apply to the resource as a whole, not just to the portion of the resource within the project area. Sites evaluated as part of a federal or state agency undertaking shall be evaluated in their entirety, not just within the immediate project boundaries. However, testing strategies for Phase II evaluation studies may focus primarily on that portion of the resource that will be directly affected by the proposed project.

- **Treatment (Phase III)**

  Once the significance of a historic property has been established through consultation with DHR, the appropriate treatment for the resource must be developed. Only after evaluations are completed are treatment plans or documents developed. Treatment can include a variety of measures such as avoidance, recordation, data recovery, development of a historic preservation plan, rehabilitation, or restoration. Documentation requirements for treatment are determined on a case-by-case basis.

Research Design

Regardless of level, all archaeological investigations shall be guided by prepared research designs that refer to regional preservation plans and embody a wide range of theoretical and methodological approaches. Research designs shall not predetermine what one will find in the field but must be flexible in response to changing project needs and discoveries in the field. Consultation with DHR on appropriate research designs is to be carried out before beginning any project.

Identification (Phase I)

- **Phase I Background Research**

  Background research provides information regarding historic contexts and anticipated locations, frequency, and types of sites in the survey area. Background research will identify:

  - Previous archaeological research in the area;
  - The degree of existing disturbance;
  - High and low probability areas; and
  - The location of historic map-projected sites.

The purpose of background research is not to produce a general prehistoric chronology, an exhaustive general history of the county, or an exhaustive synthesis of deed records or cartographic resources. A general historic context is to be developed to the level needed to aid in site-specific recommendations. Typically, background research will be conducted before field investigations are initiated. The level of background research must be appropriate to the scale of the project.

Sources of potentially valuable information are numerous and varied, including published and written texts, oral accounts, official documents, family records, artifact collections, and observations about folkways. In addition to more traditional sources of information, such as state and university repositories, specialists and locally knowledgeable persons are to be consulted along with local governments, historical societies, museums, libraries, and other repositories. Previous historic resources studies, existing archaeological collections, and other such data are particularly valuable sources of information and are to be checked and references made to these sources.

- **Conventional Survey**

  At a minimum, the following sources shall be considered:

  - DHR Archaeological Site Inventory - This contains information about site type, temporal affiliation, location and settlement pattern data, and other site characteristics of previously recorded sites in the survey area and vicinity.
  - DHR library of historic resource reports - These reports contain information similar to the archaeological site files but with additional data on historic contexts, regional chronologies, and settlement and subsistence patterns.
  - Residents or informants with knowledge of local resources - Such people may have information on previously unrecorded sites in the area or can offer an oral history for historic sites.
  - DHR Architectural Inventory - This contains information on types of historic sites and structures, temporal affiliation, and location and settlement pattern data for structures that may no longer be extant.
  - Archival map research - Holdings at the Library of Virginia are indexed according to county. Other sources include the Gilmer maps and United States Geological Survey (USGS) quadrangles over 50 years old. The *Official Military Atlas of the Civil War* as well as the maps prepared between 1991 and 1994 by the Civil War Sites Advisory Commission shall also be considered.
  - Local and county historical societies and published local and county histories. These often contain site specific information. The Library of Virginia maintains an electronic directory of local historical societies: http://www.lva.lib.va.us/whoweare/directories/vhs/index.htm.
  - United States Department of Agriculture (USDA) Soil Survey reports for the county, or counties, within which the project area lies.

- **Special Environment Surveys**

  Surveys can be conducted in environments where conventional site discovery methods cannot be employed. The three most common examples are urban environments, where modern construction and materials obscure the ground surface; military sites, where artifacts can occur in very low density and frequently consist of metal items and may include potentially dangerous ordnance; and underwater environments, where resources may be submerged. More intensive background research is necessary for these types of environments, and different sources of background information are available.

  Urban Sites – Urban areas often contain buried historic remains but they may also contain prehistoric sites or sites that were previously underwater or in rural settings. Documentary research is to be performed as early as possible in the project planning stage well in advance of any pending construction. At a minimum, the research will consider the following:

- Archival records, such as city directories, city ordinances, Sanborn insurance maps, census data, etc.;
- Relevant information on previous disturbance. Construction that may have disturbed earlier deposits may be assessed by a visual inspection of the survey area and an examination of any records that relate to ground disturbance activities (for example, presence of basements on Sanborn insurance maps, construction of utility lines, etc.);
- Historic maps that contain locational data on structures; and
- Historic photographs and illustrations (for example, *Harper's Weekly*, etc.)

Military Sites – Military sites are difficult to identify because they typically have low artifact densities dispersed over a large area. Campsites were often policed to keep them clean and in order and are characterized by features separated by expanses of open, essentially artifact-free ground.[31] At a minimum, research will consider the following:

- Historic background research of military maps and published records (for example, *The Official Military Atlas of the Civil War*, Hotchkiss maps and National Park Service (NPS) battlefield maps). Battlefields, earthworks, and troop movements are typically depicted on military maps. Encampments are seldom depicted but may be associated with battlefields and earthworks;
- Individuals and organizations knowledgeable about military sites in the area (for example, local archaeologists, local historians, and NPS personnel) are to be consulted.

Underwater Sites – Underwater sites may consist of sites that were once terrestrial (either prehistoric or historic), shipwrecks, docks, piers, launch ways, etc. Professionals working in underwater environments shall consider the following:

- DHR Archaeological Site Inventory and library of historic resource reports, and other Virginia shipwreck data;
- The degree of previous disturbance (dredging, etc.);
- Documents such as navigation charts, naval records, bathymetric charts, geological charts, etc.;
- Interviews with local divers and watermen; and
- Piers and other associated terrestrial remains that may suggest the presence of submerged resources.

- **Phase I Methods**

Field methods are to be appropriate to existing field conditions, based on a research design,

[31] Christopher T. Espenshade, Robert L. Jolley, and James B. Legg, “Value and Treatment of Civil War Military Sites,” *North American Archaeologist*, 23:39-67.

and reflect the current state of professional knowledge.

- **Conventional Survey**

  When field conditions warrant, systematic visual inspection of plowed fields and surface collection of artifacts has proven to be a highly effective and efficient method of site survey. Systematic surface collection is encouraged after replowing and disking of previously plowed fields to a depth no greater than the previous disturbance prior to inspection. However, even in previously plowed areas, the clearing of trees and large brush to facilitate surface collection has the strong potential to disturb sub-plowzone soils and, therefore, is not regarded as an acceptable methodology. All exposed surfaces are to be inspected. However, at least 50% exposure is needed to warrant visual inspection without complementary subsurface investigation.

  When an archaeological site is identified by visual inspection, excavation of at least two shovel test pits (STPs) is recommended to assess site depth and the presence or absence of intact cultural strata and/or features. However, low probability areas (for example, poorly drained soils and steep slopes, generally with a grade greater than 15%) and extensively disturbed non-floodplain areas need only be subject to visual inspection. If the visual survey locates natural benches, quarries, or other cultural features, the visual testing is to be augmented with additional, selectively placed, STPs. Rockshelters identified during visual survey shall be noted on field maps, but no excavation is to be conducted without receiving the proper permit from the Virginia Department of Conservation and Recreation (DCR) and DHR. For large survey areas that utilize predictive models at the Phase I level to identify archaeological sites, verification of the model is to include testing of at least 10% of the areas identified as low probability.

  Excavation of cylindrical STPs (not smaller than 15 inches in diameter) remains one of the most reliable means of site identification in areas of low surface visibility. Whenever possible, STPs are to be tied to a known datum or fixed reference point, with their location clearly marked on appropriate maps.

  As a general rule STPs are to be excavated at intervals no greater than 50 feet and will continue to sterile subsoil, if possible. Different site types, as well as soils and topography, may justify a larger STP interval. Justification for an STP interval greater than 50 feet shall be clearly presented in the report. Similarly, a tighter interval is to be considered if small, low-density sites are anticipated. The standard 50-foot interval for STPs may also be augmented by judgmental testing in:

  - High probability areas;
  - Map-projected site areas; and
  - Areas containing vegetation or cultural landscape features associated with historic sites.

  Additional STPs at tighter intervals shall be excavated to determine whether individual artifacts recovered from one STP with no adjacent positive STPs are isolated finds or small low-density sites. An attempt is to be made to estimate the site boundaries at this stage of the investigation. The boundaries for sites in areas of poor surface visibility may be defined by the excavation of STPs in a cruciform pattern or at radial transects.[32]

All soils from STPs must be screened through ¼-inch hardware cloth. All artifacts fifty years of age and over are to be retained with the exception of materials such as brick, shell, charcoal, etc., which may be quantified in the field, a sample retained, and the remainder discarded.

Notes on all STPs and trenches will be recorded and are to include information on survey/site/transect identification and location, either a profile drawing or detailed description of strata, soil types, Munsell descriptions, depth measurement, and a list of artifacts (both those kept and discarded). Note the environmental conditions under which any testing strategy was employed (for example, adverse weather, condition of ground surface, etc.).

A detailed map is to be prepared showing areas surveyed, areas eliminated from survey due to disturbance, slope, wetness, etc., and the location of the positive and negative STPs.

- **Remote Sensing**

Remote sensing may be used to augment more traditional survey methods by identifying high potential areas for subsurface testing. Remote sensing (using metal detectors,[33] proton magnetometers, ground penetrating radar, etc.) may be appropriate for certain types of sites associated with the Contact Period or Civil War, and is particularly useful for identifying burials. In underwater survey, remote sensing is often effective in identifying targets for later diver verification. A specific case is to be made in the research design for the use of remote sensing and its relationship to other survey methods made explicit.

Four geophysical techniques are principally employed in archaeology: magnetometry, electrical resistivity, electromagnetic conductivity (EM), and ground-penetrating radar (GPR). For a discussion of each approach, their suitability in various environments, and the latest advances in the field of

[32] Joseph L. Chartkoff, "Transect Interval Sampling in Forests," *American Antiquity*, 43:46-53.

[33] Metal detecting has proven to be the most efficient way to identify and properly evaluate Civil War sites. Often the nature of military camps, in particular, makes them difficult to identify and evaluate using commonly accepted cultural resources management methodologies. In addition these sites are often missed due to their location in areas that are overlooked due to terrain slope or proximity to natural resources (see Clarence R. Geir, David G. Orr, and Mathew Reeves, *Huts and History: The Historical Archaeology of Military Encampment during the American Civil War* (Gainesville, Florida: University Press of Florida, 2006), and Susan E. Winter, "Civil War Fortifications and Campgrounds on Maryland Heights, the Citadel of Harpers Ferry", *Look to the Earth: Historical Archaeology and the American Civil War*, edited by C. R. Geier and S. E. Winter (Knoxville, Tennessee, 1994) p. 128–129). Metal detecting should be performed on all portions of a project area that are not disturbed or inundated; an appropriate methodology involves using a 25-foot transect grid established across the project area, then conducting metal detecting in a zig-zag pattern within each transect with approximately 6-foot wide sweeps to ensure maximum coverage. Positive contacts are to be identified with pin flags and the area around each positive contact intensely swept to determine if additional cultural materials are located in the region. The locations of the pin flags should be excavated to determine if the contact is positive for historic ferrous and/or non-ferrous metal artifacts, and all contacts positive for artifacts mapped, so that artifact distribution maps that show and discriminate between locations of military and non-military, possible dual use, and overtly military artifacts can be produced.

geophysical methods, refer to ‘Geophysical Surveys as Landscape Archaeology’ by Kenneth L. Kvamme.[34,]

- **Special Environment Surveys**

Deep Sediments – If colluvial, alluvial, or aeolian deposits are known to be present in the survey area from background research or by field inspection, testing will be needed to identify buried sites or the potential for such sites. Testing may include a combination of geophysical methods such as coring, hand excavation of deep shovel tests or three-foot square units, or mechanical slit trenching. The choice of technique will depend upon the depth of the deposits. DHR strongly recommends that deep testing be performed on all parcels of alluvial or colluvial soil within the project area. If full-scale systematic testing of the project area is not feasible, a geomorphologist is to be employed to develop a sampling program that identifies soils suitable for the preservation or formation of cultural deposits.

When deep testing is accomplished by the use of mechanical equipment, care must be taken to avoid excessive damage to fragile archaeological sites. Slit trenching with heavy equipment such as a backhoe (preferably toothless) is to be used in situations where deep sediments cannot be reached through hand excavation. Trenches are to be placed in a manner suitable to reconstruct the past and present landforms. For large continuous sections of terrain, the testing is to be adequate to reconstruct the alluvial history of the floodplain. The excavations are to continue until a depositional environment not favorable for formation or preservation of cultural horizons is found. In special circumstances where the terrain limits the access of heavy equipment and hand excavation is not feasible, coring or augering may be implemented. The soils from the cores are to be extracted in a controlled manner and sifted when appropriate.

After excavation, the trench profile will be troweled to inspect for stratigraphy and cultural features. A detailed profile drawing and description shall be completed. If a geomorphologist is used, he or she is to assist in the placement of trenches, evaluation, and interpretation of the excavation profiles. The evaluation may include tests for soil type and texture, standardized color descriptions, and grain size distributions. The geomorphologist will submit a detailed interpretive analysis on the deep testing that will be included as an appendix to the full technical report of investigations. This analysis will address the issues of site depositional processes, their effects on archaeological preservation, visibility of archaeological sites, and landform evolution over time. A summary and discussion of the results should be presented in the body of the technical report.

In most cases it will not be possible to determine if buried cultural artifacts are present simply by visual inspection of the profile alone. Therefore, hand excavation will be required. Preferably, a three-foot-square test unit will be excavated at the margin of each backhoe trench where favorable soil horizons have been identified. The test unit will be excavated in a series of arbitrary and/or natural stratigraphic levels until soil horizons not favorable to the formation or preservation of cultural

[34] *American Antiquity*, 68: 435-457.

horizons have been identified. All soil will be sifted through ¼-inch mesh hardware cloth and the artifacts retained according to level. As conditions dictate, alternate sampling strategies may be implemented to evaluate the integrity, age, and cultural period of the soil profile. For example, in consultation with the geomorphologist, recent fill layers or very recent alluvium may be removed without sifting. However, the researcher must justify that the sampling strategy is satisfactory to identify historic resources that may be present. In addition, if cultural material is encountered during deep testing and a geomorphologist is not already employed, arrangements are to be made to use a geomorphologist in an evaluation of all the trenches.

Urban Sites – Archaeological testing in urban settings often involves unusual circumstances. We recommend that research designs for urban Phase I surveys be discussed in advance with DHR staff. Prior documentary research is critical because the spatial limits of urban archaeological deposits often cannot be defined in the same manner as the boundaries of non-urban sites. Such research may aid in determining the historical boundaries of streets, blocks, house lots, etc. In general, identification efforts in an urban area are to include:

- Test units (in most cases larger than STPs) based upon available documentary evidence and current site conditions;
- Identification of the presence, distribution, and preservation of architectural evidence, site stratigraphy, features, and assessment of site significance based upon all available documentary evidence. Previous work at urban sites indicates it is useful to target midlot and backlot areas for cellars, privies, wells and cisterns;
- Recordation and assessment of features containing large numbers of artifacts;
- The use of mechanized equipment, such as backhoes, excavators, front end loaders, etc. Mechanized equipment is efficient for exposing buried deposits, particularly when the overburden of fill is deep. It should be recognized, however, that the fill may be seen as part of the history of the site itself and not simply as a modern intrusion. Mechanized equipment must be used with care to complement more traditional archaeological strategies;
- Sampling strategies for artifact recovery. Sampling strategies are to be addressed on an individual basis and the method chosen justified in the research design; and
- Recordation of excavation procedures including drawings and photographs.

Military Sites – Conventional survey employing shovel testing at military sites has consistently proven to be unsuccessful in identifying these types of sites. Military sites such as encampments and battlefields are to be considered sensitive resources as many contain unmarked burials. Surveys in areas having potential for military sites need to be sensitive to the following:

- A thorough visual observation of the ground surface needs to be conducted to identify surface features (huts, chimney falls, latrines, etc), broad scatters and/or clusters of building materials, and evidence of relic hunting. This is especially needed for transect surveys where it is likely that only a portion of the site is contained in the project area;
- Areas of steep slopes (>15%), sometimes excluded from survey, need to be examined as slopes are often favored locations for military encampments;

- Landscape features are key components to military sites and can be recorded as archaeological resources; and
- Metal detector surveys are recommended because the majority of diagnostic items deposited at military sites are metallic. When implemented, the metal detector survey shall consider relevant factors such as the experience of the metal detector operator(s), the type of metal detector(s), ground cover, intensity of survey coverage, extent of previous relic hunting, and environmental factors.[35]

A system of interpreting battlefield landscapes known as the KOCOA system (explained below) has been adopted by the NPS and endorsed by the American Battlefield Protection Program for the evaluation of historic battlefield environments. It encompasses key landscape features that may have affected or directed the military action in a given location and keeps the evaluator from focusing solely upon archaeological remains or built environment such as earthworks:

K: Key terrain (terrain that must be taken or held to obtain victory);
O: Observation and fields of fire (terrain that permits observation of enemy movements and avenues of approach);
C: Cover/concealment (terrain that provides troops with cover or protection from enemy fire);
O: Obstacles (features that stand in the way of seizing key terrain – these can be natural, such as heavy woods or deep swamp, or man-made such as fencelines, ditches or earthworks); and
A: Avenues of approach (terrain by which the enemy may be approached – this can be anything from an established roadway to an open field)

Underwater Sites – Archaeological testing in underwater settings often involves unusual circumstances. Research designs for underwater Phase I surveys are to be discussed in advance with DHR staff. In general, identification efforts in an underwater setting are to include:

- Placement of test units based on remote sensing results and knowledge of the sunken vessel or submerged cultural remains;
- Use of mechanized equipment where extensive modern overburden is present;
- Careful examination of air-lifted and water-dredged soil samples. The soil samples must always be screened through mesh or net bagging;
- Recordation of the excavation procedure to include drawings and photographs if visibility permits; and
- Compliance with safety standards of nationally recognized diving organizations (PADI, Instructors NAUI, SSI, etc.).

- **Phase I Field Documentation**

The choice of methods for recording Phase I survey field data are to be based on a research design and enable independent interpretation. At a minimum, the following information shall be recorded:

[35] Conner and Scott 1998; Espenshade et al. 2000

STP documentation is to include the following:

- o Provenience;
- o Name of excavator;
- o Date;
- o Description of cultural material;
- o Soils; and
- o Profile.

Project maps are to include the following:

- o Orientation and scale; and
- o Location of all STPs and all above ground cultural features, including cultural landscape features and any previously disturbed areas.

Photographs are to be taken of:

- o All site locations;
- o All cultural features evident on the surface (for example, mounds, cellar depressions, etc.); and
- o All cultural evidence beneath the surface (for example, features, significant stratigraphy, etc.).

Evaluation (Phase II)

The goals of Phase II evaluation survey are:

- To determine whether the site is eligible for the NRHP; and
- To provide recommendations for future treatment of the site.

Phase II evaluation will accurately assess the horizontal and vertical integrity of the site as well as define the site boundaries. The level of effort and the methods employed will vary depending upon the environmental setting and site type. The site shall be evaluated in its entirety, not just within the immediate project boundaries. However, testing strategies for Phase II evaluation studies may focus primarily on that portion of the resource to be directly affected by the proposed project.

Phase II analysis is to be oriented toward evaluation of the site and its ability to answer important research questions. This may be accomplished by:

- Examination of intra-site structure;
- Discussion of the relationship between surface and subsurface remains;
- Tabulation of data on provenience;
- Radiocarbon dating; and
- Identification of feature flotation samples.

The evaluation will take into account the percentage of the site area excavated and consider how well the excavated portion represents the site as a whole.

- **Phase II Background Research**

  Background research shall be conducted prior to the initiation of any fieldwork. Background research is to be sufficient to form research questions and to develop relevant historic contexts to aid in determining the site's eligibility for the VLR and the NRHP.

  Phase II background research will expand upon and refine the research conducted during the Phase I identification by addressing the following:

  - Placing the study in a regional research context;
  - A more intensive examination of reports and records consulted during the Phase I survey;
  - More in-depth interviews with informants; and
  - Examination of more detailed records, (for example, deed records, tax records, census records, probate records, circuit court records, etc.).

  Background research for prehistoric period sites is to focus on gathering more detailed information concerning site chronology, function, and regional settlement and subsistence patterns. For historic sites, background research will focus on site-specific data such as site chronology, function, and the ethnicity and socioeconomic status of site occupants.

- **Phase II Methods**

  The choice of field methods is to be based upon a research design and shall always reflect the current state of professional knowledge.

  Accurately defining site boundaries is a goal that can often be accomplished by conducting a controlled surface collection for those sites having good ground surface visibility. Previously plowed sites with poor surface visibility may require re-plowing, within the depth limits of the existing plow zone, and exposure to rainfall to enhance artifact visibility. In forested settings a more intensive systematic subsurface testing program to establish boundaries may be necessary.

  Testing strategies will take into account the following:

  - Results of the Phase I testing;
  - Results of background research;
  - Cultural or natural features located on the surface (for example, mounds, cellar depressions, fence lines, avoidance of previously disturbed areas, large trees, etc.);
  - Systematic or probability-based sampling schemes; and
  - Remote sensing results.

  Plow-disturbed sites constitute one of the most frequent classes of resources within the Commonwealth. In investigating these sites at the Phase II level, the initial goals are to evaluate the depth of plow disturbance, the quantity and taxonomic variety of artifacts present, and the extent and cultural integrity of spatial distributions. Strategies useful in attaining these goals may include high-density STP excavation (10-foot interval), high resolution surface collection (10-foot grid), and the hand excavation of larger test units.

These efforts should result in the recovery of a representative sample of artifacts and an initial assessment of activity areas within the site boundaries prior to any mechanical removal of the plowzone. It is to be understood that any mechanical removal is a sampling strategy. Complete removal of the plowzone may preclude other treatment options, such as avoidance, and in the context of the 106 process may, therefore, be considered an adverse effect.

Phase II investigations are to also determine if subsurface cultural features are present beneath the plow horizon. Appropriate methods may include hand excavation and sifting of the plow layer, and/or the use of mechanical equipment to expose the underlying horizon. Once the surface layer has been removed the base of the excavation is to be troweled or shovel shaved to expose any soil anomalies. Each soil discoloration shall be investigated to determine if it is a cultural feature. It is recommended that 2-10% sample of the surface area within the site boundaries be exposed and that mechanical means be used only after artifact concentrations have been thoroughly recorded through hand excavation and screening. The investigator shall also be aware that silt fencing may be required to stabilize the landscape if more than 100 contiguous square feet of soil is disturbed through testing.

On a case-by-case basis sampling of features may be needed to verify their cultural association and to determine their age, function and research potential. During this process, each feature is to be scale-drawn in plan and profile and photographed. Feature fill is to be water screened through 1/16th-inch mesh screen and volumetrically large matrix samples are to be processed by water flotation. All of the materials recovered by screening, and the flotation fractions, shall be sorted, identified, and bagged by provenience. Also, organic samples are to be retained for dating. When previously recovered data addresses the issues of feature integrity and age, additional feature excavation should not be undertaken. Again, it is to be understood that sampling of features at the Phase II level will focus on limited and well-defined goals. While it is impossible to define a point applicable in all instances at which Phase II testing (evaluation) ends and data recovery (Phase III or treatment) begins, a rule of thumb is that Phase II testing is completed when sufficient information has been gathered to make a determination of eligibility or a management decision. "Testing" that destroys large portions of a site prevents the consideration of other site treatment alternatives and shall be avoided at the Phase II level. In the context of the 106 process, excessive testing at the Phase II level may result in a finding of Adverse Effect and sanctions to the responsible agency. When in doubt, consult with DHR staff about the percentage of features or levels proposed for sampling.

A permanent, fixed datum is to be established on all sites recommended for Phase III data recovery.

- Special Environments

  Testing strategies in deeply buried floodplain sites, urban settings, and underwater sites are to be based on the results of intensive archival research and of Phase I testing. Safety factors shall be considered in determining the need for further work to be conducted in special environments. This includes properties with documented hazardous material, as well as deeply buried sites. Appropriate safety standards must be adhered to in all cases.

- **Phase II Field Documentation**

  As with Phase I identification, the choice of methods for recording Phase II evaluation field data will be based on a research design and enable independent interpretation. At a minimum, the following information is to be recorded:

  Test unit documentation will include the following:

  - Provenience;
  - Name of excavator;
  - Date;
  - Description of cultural material;
  - Soils;
  - Profile; and
  - Planview.

  The site map will include the following:

  - Orientation and scale;
  - Location of all STPs, larger size test units, and all above ground cultural features, including cultural landscape features and any previously disturbed areas;
  - Site datum; and
  - Site boundaries.

  Photo documentation is to be provided for:

  - All cultural features evident on the surface (for example, mounds, cellar depressions, etc.); and
  - All cultural evidence beneath the surface (for example, features, significant stratigraphy, etc.).

  Provenience documentation is to be provided for the horizontal and vertical provenience of each artifact or collection of artifacts.

Evaluation of Human Remains and Cemeteries

Human burials represent a unique resource and require special consideration during archaeological recovery and evaluation for inclusion on the NRHP. In Virginia, the archaeological removal of human remains and/or associated grave goods requires a permit issued by DHR in accordance with *Code of Virginia* 10.1-2305. The exception would be the removal of Native American remains and funerary objects on federal (or tribal) land. Such removal must proceed in accordance with the Native American Graves Protection and Repatriation Act (NAGPRA). The research design is to be coordinated with development of the Plan of Action under NAGPRA in accordance with 43 CFR 10.[36]

For specific guidance on criteria for listing cemeteries, refer to the NPS's National Register Bulletin

---

[36] Refer to the NAGPRA web site for additional information, at http://www.cr.nps.gov/nagpra/TRAINING/Intentional_Excavations.pdf.

41, *Guidelines for Evaluating and Registering Cemeteries and Burial Places*. When evaluating burials for listing on the NRHP, DHR and the National Park Service consider the following:

- Historic documentation, if applicable;
- Association with a person or event of significance;
- Funerary monuments/buildings/landscapes with significant artistic or stylistic merit;
- Clearly delineated features (grave shafts), presence of associated artifacts, and/or good bone preservation;
- Potential to address specific research questions; and
- Applicability of NRHP Criteria Considerations.

In the event that a cemetery is recommended eligible under NRHP criteria A, B, or C, it must also meet (at minimum) Criteria Considerations C and D. Cemeteries and archaeological sites recommended eligible under Criterion D are not required to meet the Criteria Considerations. In general, burials must have good bone preservation in order to be eligible under Criterion D. However, it may be possible to demonstrate significance without good bone preservation if documentation, along with artifacts, can establish a secure date for the remains and demonstrate the ability of the resource to provide significant new information on topics such as mortuary practices.

Phase III Data Recovery

All due consideration is to be given to practical methods of preserving significant archaeological sites in place. However, when appropriate consultation has taken place and it is agreed that preservation in place is not practical, data recovery may be appropriate. Data recovery will address defined and defensible research questions. It is to be conducted in the most efficient manner possible. In the context of the 106 process, data recovery is defined as an adverse effect, and as such, requires consultation with DHR and other consulting parties toward the development of a Memorandum of Agreement (MOA). The nature, scope, and boundaries of the data recovery will be determined by the parties consulting on the project. On prehistoric sites, the Virginia Council on Indians (VCI) and the affected tribe(s) are participants in the consultation.

In terms of the substantive content, it is recommended that the research design be guided by certain basic principles presented in the Advisory Council on Historic Preservation's *Recommended Approach for Consultation on Recovery of Significant Information from Archeological Sites*.[37] In particular, the research design shall take the public benefit into account and provide for a plan to make the information available to the interested public as well as the archaeological community. The preparer of a data recovery plan is to ensure that:

- The amount and areas of the site to be excavated are reasonable given the anticipated project impacts to the site, and the questions posed in the data recovery plan are answerable given the excavation strategy;
- The research questions appear logical, current, and answerable in terms of the potential information the site(s) can be expected to yield given the amount and nature of excavation proposed;
- The proposed field and laboratory methods for retrieving the information are consonant with the questions asked of the data; and

[37] This document is available online at http://www.achp.gov/archguide.html.

- The laboratory methods shall, when appropriate, incorporate state-of-the-art analytical procedures such as radiocarbon dating, neutron activation, mass spectrometry, infrared spectroscopy, and other suitable analytical methodologies to evaluate relevant research questions.

All data recovery plans are to include the following elements:

- Information on the archaeological property or properties where data recovery is to be carried out, and the context in which such properties are eligible for listing in the NRHP;
- Discussion of the research questions to be addressed through the data recovery, with an explanation/justification of their relevance and importance;
- Description of the recovery methods to be used, with an explanation of their pertinence to the research questions;
- Information on arrangements for any regular progress reports or meetings to keep agency managers, DHR, and other consulting parties up-to-date on the course of the work;
- Description of the proposed disposition of recovered materials and records, along with evidence of agreement regarding curatorial responsibilities;
- Proposed methods for disseminating results of the work to the interested public (for example, presentation during Virginia Archaeology Month, etc.); and
- Proposed methods by which any relevant Indian tribes, local governments, and other specific groups will be kept informed of the work, and if human remains or grave goods are expected to be encountered, information on consultation with the VCI and any other relevant Indian tribe regarding final disposition of the materials. On federal land this will be included in the Plan of Action required under NAGPRA.

Curation of Artifacts and Documentation

Archaeological investigations usually result in the retrieval of archaeological materials (for example, cultural artifacts, soil, zooarchaeological items), and production of original data (notes, records, photographs) for a project. Artifacts and data are an integral part of the documentary record of an archaeological site and are to be curated to ensure their stability and availability for future research.

Artifacts that are removed from private lands in connection with a federal action are generally the property of the land owner. Notes, records, and photographs generated as a result of a federal action are the property of the federal government, regardless of the location of the archaeological site. Provision for the costs of curation may be made a condition of the issuance of a federal license or permit. When the owner cannot provide proper curatorial care, the federal curation standards recommend but do not require that the federal agency seek title to the collection.

The place where a project's artifacts and original data will be curated is to be determined before beginning fieldwork. DHR encourages placement of collections with the State Collection Management Facility, managed by DHR, which is the principal repository for archaeological materials recovered from sites in Virginia. Prior to acceptance of a collection, DHR requires documentation of ownership or a Memorandum of Understanding (MOU) with the involved state or federal agency, clearly establishing curation responsibilities. The current fee is $350.00 per Hollinger box.

The NPS has established federal curation standards, entitled *Curation of Federally Owned and Administered Archeological Collections* (36 CFR 79), which apply to surveys, excavation or other studies conducted in connection with a federal action, assistance, license, or permit. In 1993 (revised 2007), DHR, in consultation with the Council of Virginia Archaeologists (COVA), established minimum standards for the processing and curation of archaeological collections.[38] These standards are to be followed for all collections to be curated by DHR. DHR recommends adherence to these requirements for all archaeological collections generated in Virginia, in order to standardize curation practices, ensure professionalism in the treatment of archaeological materials, and to assure the availability of collections and documentation for future research.

Any repository that is providing curatorial services for a collection subject to the federal regulations must possess the capability to provide adequate long-term curatorial services, as set forth in 36 CFR 79, to safeguard and preserve the associated records and any material remains deposited in the repository. There is no grandfather clause in the federal regulations. This applies equally to repositories that agree to preserve collections after the effective date (October 12, 1990), as well as repositories that agreed prior to that date. If a repository's officials find that they are no longer able to provide long-term curation, they have the responsibility to consult with the federal agency responsible for the project regarding an acceptable repository for the existing collections.

Personnel

The Principal Investigator has the responsibility to conduct field investigations in a manner that will add to the understanding of past cultures and will develop better theories, methods, and techniques for interpreting the archaeological record while causing minimal attrition of the archaeological resource base. All archaeological investigations are to be conducted by or under the direct supervision of individuals meeting appropriate professional qualifications for archaeology. The *Secretary of the Interior's Professional Qualification Standards*, part of the *SOI Standards*, establish the following minimum professional qualifications in archaeology:

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

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

An individual meeting the *Professional Qualification Standards*, whether the Principal Investigator or Field Supervisor, should be present on site at least 75% of the time and has the ultimate responsibility for the overall quality of the project and for achieving the objectives of the research design. In addition, the Principal Author of all reports (if he or she is not the same individual as the Principal Investigator) must meet the *Professional Qualification Standards*. Also, any geomorphologist conducting work associated with an archaeological investigation is to have professionally peer-reviewed publications within the field of geoarchaeology and two years of experience in supervising deep testing programs.

Analysis of human skeletal and/or nonskeletal remains must be performed by, or under the direct and constant supervision of, an individual meeting the following requirements:

[38] See Appendix F.

- Graduation from an accredited anthropology program with an advanced degree in physical anthropology, human osteology, or biological anthropology;
- Demonstrated experience in the handling, reconstruction, and analysis of human remains recovered from an archaeological context; and
- Demonstrated ability to bring research to completion.

The skills of all other investigative personnel must be appropriate to the requested task, the nature of the project, and to the goals and specifications delineated in the research design.

Permits

The following permits may be necessary to conduct archaeological work in the state. The Principal Investigator is responsible for ensuring that any applicable permits are acquired.

- **Human remains** (administered by DHR, *Code of Virginia* 10.1-2305): General cemetery protection laws deem it a felony to remove human remains from a grave without a court order or appropriate permit. The archaeological removal of human remains and associated funerary artifacts requires a permit from DHR. The exception applies to the removal of Native American remains on federal land covered by NAGPRA in that situation. The regulations governing the state permit process require a detailed research plan and both a qualified archaeologist and a qualified physical anthropologist (unless waived by the Director of DHR in deference to the wishes of the descendents) to perform the recovery and skeletal analysis. The application for the archaeological removal of human remains is available on DHR's website, at http://www.dhr.virginia.gov/pdf_files/Permit-RemovalOfHumanBurials.PDF.

- **State-owned and/or state-controlled lands** (administered by DHR, *Code of Virginia* 10-1-2302): DHR is charged with coordinating all archaeological field investigations and survey conducted on state-controlled lands (10.1-2301;1,2). DHR is given exclusive right and privilege to conduct field investigations on state lands but may grant those privileges to others through a permit process (10.1-2302 and 2303). DHR also has final authority to identify and evaluate the significance of sites and objects of antiquity found on state lands (10.1-2301;3). Applications for archaeological investigations on state-controlled land are available on the DHR website at http://www.dhr.virginia.gov/pdf_files/StateLandsApp.PDF.

- **Cave permits** (administered by DCR, *Code of Virginia* 10.1-1000-1008; Cave Protection Act): The Cave Protection Act protects from vandalism all geological, biological, and historic features in caves regardless of ownership. A permit is required from DCR, Natural Heritage Division, for research within caves and rock shelters. The concurrence of DHR is required before the issuance of a permit.

- **Underwater permits** (administered by the Virginia Marine Resources Commission (VMRC), *Code of Virginia* 10.1-2214 and 28.2-1203, and the United States Army Corps of Engineers (COE), Section 10 of the Rivers and Harbors Act of 1899 (33 U.S.C. § 403), and Section 404 of the Clean Water Act [42 U.S.C. § 7506(c)]): Exploratory permits are issued without DHR concurrence and allow limited recovery of artifacts, generally no more than seven. The VMRC recommends an exploratory permit for all scientific studies, including remote sensing. Once a historic site is identified, a recovery permit granting exclusive rights is to be requested. At that stage, a permit from the COE will also be needed regardless of the amount of dredging involved.

- **Federal lands permit** (Archeological Resources Protection Act of 1979 (ARPA) 16 U.S.C. §§ 469-469c): ARPA permits are issued by the federal agency owning the land when the archaeological investigations are not conducted by, or contracted on behalf of, the responsible federal agency.

- **Local permits as required**: The appropriate local officials must be contacted to inquire about and obtain any necessary permits and to find out about any local regulations that apply to archaeological investigations.

CHAPTER 7

ORGANIZING ARCHAEOLOGICAL SURVEY MATERIALS

Department of Historic Resources Identification Numbers

Before a file on a surveyed resource is placed in the Department of Historic Resources (DHR) Archives, it must receive a DHR identification number. This unique number is used in the identification, filing, and entering of information into the Data Sharing System (DSS). The DHR Archives arranges archaeological site files by county or city, and then sequentially by identification number within each locality.

For all archaeological sites, DHR archaeological site numbers are assigned by the DHR Archaeology Inventory Manager. Before issuing numbers, the Archivist must receive a completed DSS form and United States Geological Survey (USGS) topographic quadrangle mapping identifying newly surveyed sites. Please see below for details on mapping requirements

Sites are assigned a three-part identifier that is unique to that site. The first part refers to the state identifier for Virginia, which is 44. The next part is a two-letter county or city abbreviation. Finally, the third part consists of a four-digit number assigned to an individual site in that particular county or city. The three parts of the identifier are combined to create one state archaeology site number. For example, three sites located during a survey in Albemarle County would be given the following sequential state site numbers: 44AB0001, 44AB0002 and 44AB0003. Please note that zeros are used as placeholders for unused digits.

In some cases, a four-digit tertiary number may be assigned in addition to the site number. The tertiary number is used to define a specific context that falls within a larger archaeological complex. For example, a historic house within the Buckland Archaeological District would be issued the number 44PW1659-0001. These numbers are to be assigned sequentially, unless the consultant chooses to use a historic land lot number as well. Each tertiary number must have an accompanying DSS site form specific to this site and be mentioned generally in the parent site form.

In instances where a submerged site in open water does not fall within a county boundary, it will be recorded as though within the nearest county.

Archival Management

An individual DHR Archives archaeological survey file consists of the following materials:

- A DSS-generated survey form printed single-sided on standard archival paper and clipped with plastic clips (such as *Plastiklips)*; and
- A digital section or high-quality photocopy of a USGS topographic quadrangle map (typically 1:24,000 scale) on which the identified site's boundaries are clearly marked. The DHR identification number and name of the quadrangle map must be clearly indicated.

The DHR survey file will be prepared by DHR Archives staff upon assignment of a DHR identification number and receipt of relevant mapping in hard-copy or electronic form.

Data Sharing System (DSS) Forms

An archaeology site inventory record is to be submitted through the DSS with a temporary site number in the place of the DHR identification number on the first screen. Once the site information has been entered into the DSS, it is submitted to DHR for review. The Archaeology Inventory Manager will review the electronic record. A permanent DHR identification number will be assigned to replace the temporary identification number originally submitted. The paper copy DSS record is filed at DHR with the original map and other supporting material once the record is complete and has been accepted by DHR. For more information about DSS data entry for archaeological survey, consult the DSS User Guide and DSS Data Entry Manuals available at www.dhr.virginia.gov, or contact the Archaeology Inventory Manager at (804) 367-2323.

To update a DSS form for a previously recorded site, please contact the DHR Archaeology Inventory Manager. The form will be placed in the appropriate edit box to receive updates. There is a maximum of three months for individuals to update the site form. Once additions are finished, the updated site form shall be submitted for review to the DHR Archaeology Inventory Manager. If a site boundary needs to be altered, an updated map with the new boundary will also be required by DHR.

USGS Topographic Quadrangle Maps

For all archaeology surveys, a section in digital format of the appropriate USGS topographic quadrangle map(s), or clear paper copy map, clearly showing the boundaries of the identified site(s) and temporary DHR identification number are required. DHR prefers that the map is in color and that the shape of the site boundary is created from data collected by a Global Positioning System (GPS). However, other maps may be submitted upon approval from the Archaeology Inventory Manager. DHR will not accept black-and-white photocopies or faxes of quadrangle maps if contour lines, roads, and other features are not visible due to low resolution. Mapping may be accomplished using DSS or the in-house geodatabase and ESRI ArcGIS Mapper in DHR's Archives (contact the DHR Archivist for further information).

The map submitted must also include the following[39]:

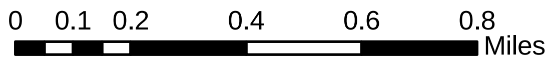
- **Name of USGS Quadrangle**: The name of the USGS quadrangle must be present on the map;

- **Date of Production**: The interpretation and accuracy of a map is time-sensitive. DHR requires the map to be labeled with the month and year of the map's production. The production date is to be separate from the dates located in the data sources;

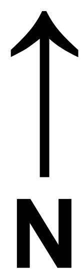
- **Cartographer:** The name of the preparer and his or her affiliation are to be included on the map;

[39] When creating a map in DSS, the name of the USGS quadrangle and cartographer information need to be added. This may be accomplished using the "Print" function and typing the information into the "Map Description."

- **Scale and Scale Bar**: A scale bar with digits rounded appropriately must be present, along with the scale. The unit of measurement is to be in miles or feet. The map must be in a scale between 1:10,000 and 1:24,000, depending on the size of the site. If the scale of a quadrangle map is not sufficient to clearly provide locations of surveyed properties, a new one will be requested. Styles of scale bars may vary; an example is provided below:



- **North Arrow**: An arrow or compass pointing to true north is required. DHR will also accept a north arrow pointing to magnetic north when present in conjunction with true north. Styles of arrows and compasses may vary; an example is provided below:



- **Sources of Information:** Consultants must identify the sources of their data so readers may track information and interpretation. Most importantly, the map is to indicate the firm that has compiled the data as well as its age for every data set. For data obtained by the consultant, it is also required to indicate how the data was processed or created.

For information regarding the curation of photos, slides, field notes, and other archaeological materials, refer to the Collection Management Guidelines in Appendix F.

GIS Spatial Data

DHR requests that GIS spatial data for archaeological surveys be provided when available. Contact the DHR Technology Administrator/DSS Archaeological Inventory Manager at (804) 367-2323 for additional information.

Archaeological Site Confidentiality and Security

According to the National Park Service (NPS), information about sensitive archaeological sites shall be restricted if its publication is likely to endanger the resource, worsen existing damage, endanger the resource’s setting, or cause desecration of a site used in traditional cultural practice.[40] Legal authority for restricting site information is provided by the National Historic

---

[40] John Knoerl, Diane Miller, and Rebecca H. Shrimpton, National Register Bulletin 29: *Guidelines for Restricting Information About Historic and Prehistoric Resources* (U.S. Department of the Interior, National Park Service [n.d.]).

Preservation Act (NHPA)[41], Archaeological Resources Protection Act (ARPA)[42], and the Code of Virginia.[43.] No information about the character or location of any archaeological site, regardless of restrictions, will be given to any persons outside of the archaeological community.

All DHR staff members and accredited archaeologists may obtain information on a restricted site, upon agreeing to the condition that their intentions will not cause harm in any of the manners listed above and spelled out in the state and federal guidance materials referenced above. A written agreement may be required before access to restricted information is allowed. To inquire about obtaining access to information on a restricted site, contact the DHR Archaeological Inventory Manager or DHR Archivist at 804-482-6102.

---

[41] Section 304 of the NHPA states, "The head of any Federal agency, after consultation with the Secretary [of the Interior], shall withhold from disclosure to the public, information relating to the location or character of historic resources whenever the head of the agency or the Secretary determines that the disclosure of such information may create a substantial risk of harm, theft, or destruction to such resources or to the area of place where such resources are located."

[42] Section 9(a) of the ARPA states, "Information concerning the nature and location of any archaeological resource for which the excavation or removal requires a permit or other permission under this Act or under any other provision of Federal law may not be made available to the public under any other provision of law unless the Federal land manager concerned determines that such disclosure would further the purposes of this Act of the Act of June 27, 1960 (16 U.S.C. 469-469c) and not create a risk of harm to such resources or to the site at which such resources are located."

[43] Section 2.2-3705.7(10) of the Code of Virginia includes in limitations on release of information, "Records containing information on the site specific location of rare, threatened, endangered or otherwise imperiled plant and animal species, natural communities, caves, and significant historic and archaeological sites if, in the opinion of the public body that has the responsibility for such information, disclosure of the information would jeopardize the continued existence or the integrity of the resource."

CHAPTER 8

FIELD TECHNIQUES FOR CONDUCTING CULTURAL LANDSCAPE SURVEY

As with the techniques used in identifying architectural resources described in Chapter 4 of *DHR Guidelines*, for projects involving DHR as project sponsor, reviewer, or recipient of documentation materials, cultural landscape surveys are typically carried out as either comprehensive or selective studies with documentation at either the reconnaissance or intensive level. Also, unless the study of the landscape is the particular focus of a project, typically cultural landscape studies consider architectural and/or archaeological resources located in the project area. Architectural and/or archaeological resources, when present in or associated with a cultural landscape, may prove to be secondary in importance to the cultural landscape(s) identified in the study; nonetheless, their documentation is typically included in the scope of work and may be required.

Procedures for carrying out cultural landscape identification, documentation, and research are presented in the following guidance materials prepared by the National Park Service (NPS)[44]:

> National Register Bulletin 30: *Guidelines for Evaluating and Documenting Rural Historic Landscapes*, by Linda Flint McClelland, J. Timothy Keller, ASLA, Genevieve P. Keller, and Robert Z. Melnick, ASLA (U.S. Department of the Interior, National Park Service [n.d.]);
>
> National Register Bulletin 40: *Guidelines for Identifying, Evaluating, and Registering America's Historic Battlefields*, by Patrick W. Andrus (U.S. Department of the Interior, National Park Service, 1992);
>
> National Register Bulletin 18: *How to Evaluate and Nominate Designed Historic Landscapes*, by J. Timothy Keller, ASLA, and Genevieve P. Keller (U.S. Department of the Interior, National Park Service, 1994);
>
> Preservation Brief 36: *Protecting Cultural Landscapes: Planning, Treatment, and Management of Historic Landscapes*, by Charles A. Birnbaum, ASLA (U.S. Department of the Interior, National Park Service, 1994).

The information on cultural landscape survey presented herein is meant to comply with and supplement these guides and the federal standards and guidelines set forth in the *SOI Standards*. It is also designed to be applicable to all types of cultural landscapes as defined by the NPS: Historic Designed Landscapes, Historic Vernacular Landscapes, Historic Sites, and Ethnographic Landscapes.[45] Cultural landscapes are defined as either sites, such as individual gardens, or as historic districts, such as rural historic districts and battlefields.

Guidance for cultural landscape identification and documentation provided at the federal level includes an approach called the Cultural Landscape Inventory (CLI). This approach is not to be

---

[44] NPS Bulletins are available on the Internet at http://www.nps.gov/history/nr/publications/bulletins.htm.

[45] Charles A. Birnbaum, ASLA, Preservation Brief 36: *Protecting Cultural Landscapes: Planning, Treatment, and Management of Historic Landscapes* (U.S. Department of the Interior, National Park Service, 1994).

confused with the reconnaissance and intensive levels of investigation described herein, although there are some parallels. The CLI is particularly suited for park properties and is defined as follows:

> The CLI is an evaluated inventory that provides baseline documentation for cultural landscapes. It documents general descriptive information, existing documentation, and management information. The CLI looks at the physical development and historical significance of the landscape, including eligibility for the National Register of Historic Places. Existing and historic characteristics that contribute to the significance are described and evaluated. They include characteristics such as natural systems, spatial organization, land use, vegetation, circulation, structures, and views. The CLI also assesses the integrity and condition of the landscape. Information is gathered primarily from secondary sources and through field surveys of the landscape.[46]

The CLI approach allows a large landscape to be divided into component landscapes so that each may be documented in more detail and provides for documentation of elements such as buildings, structures, and objects that add to the property's historic character. DHR's guidance for cultural landscape investigations is consistent with this approach, as consideration of components of a larger landscape and associated resources located in the landscape under investigation are to be included in landscape surveys conducted according to *DHR Guidelines*.

Other aspects of DHR's guidance for cultural landscape studies correspond to the CLI approach. The CLI uses a four-level process, levels 0, I, II, and III, each expanding on the previous level; the DHR reconnaissance-level investigation generally corresponds to levels 0 and I, while the DHR intensive level of documentation relates to levels II and III, and as with architectural survey conducted according to *DHR Guidelines*, intensive-level investigations build upon reconnaissance-level data.[47] DHR reconnaissance-level cultural landscape investigation includes: conducting a site visit and preparing field documentation to identify the scope of the subject landscape and any component landscapes; identifying and gathering reconnaissance-level documentation on any other associated resources such as buildings, structures, objects, and preliminary information on any associated archaeological sites; compiling documentation and research findings sufficient to provide an understanding of the significance and character of the resource; and demonstrating whether further investigation is recommended. Intensive-level cultural landscape investigation typically provides adequate information to evaluate the NRHP

---

[46] Nancy Brown, et al, "More than a Database: the National Park Service's Cultural Landscapes Inventory Improves Resource Stewardship," *Crossing Boundaries in Park Management: Proceedings of the 11th Conference on Research and Resource Management in Parks and on Public Lands*, edited by David Harmon (Hancock, MI: The George Wright Society, 2001). The NPS maintains the Cultural Landscape Automated Inventory Management System (CLAIMS) database, created in 1996.

[47] The CLI four-level process is described as follows: "Level 0: The ***park reconnaissance survey*** identifies the scope of landscapes and component landscapes in a particular park, existing and needed information about the resources, and immediate threats to the resources, and establishes priorities for Level I inventory. Level I: The ***landscape reconnaissance survey*** identifies existing and needed information for a specific landscape or component landscape in a park and establishes priorities for Level II inventory. A site visit is conducted and an initial evaluation is done of the significance and character of the landscape or component landscape. Level II: The ***landscape analysis and evaluation*** defines the landscape characteristics and their associated features of a specific landscape or component landscape. Both existing and historic conditions are analyzed to determine contributing character-defining features. National Register eligibility is evaluated and integrity and condition assessed. Landscapes at this level are on, or eligible for, the National Register, or are otherwise treated as cultural resources. Level III: The ***feature inventory and assessment*** provides an inventory and evaluation of a physical feature indentified in Level II as contributing to the significance of a landscape or component landscape." Brown, et al.

and VLR eligibility of the resource. Intensive-level documentation involves analyzing existing and historic conditions, fully documenting character-defining features, including those considered for the CLI--natural systems, spatial organization, land use, vegetation, circulation, structures, and views--and fully assessing the resource's integrity.

Before beginning a cultural landscape field survey, the surveyor should be familiar with terminology used to describe landscape styles, features, and types, and be acquainted with at least basic plant material identification. This involves becoming familiar with the Department of Historic Resources (DHR) Data Sharing System (DSS) and the selections available for various fields when entering data. It also involves becoming familiar with the source materials used as standard references for describing landscape resources. Standard references include the following:[48]

A Dictionary of Architecture and Landscape Architecture, by James Stevens Curl.

American Gardens in the Eighteenth Century: "For Use or Delight", by Ann Leighton.

American Gardens of the Nineteenth Century: "For Comfort and Affluence", by Ann Leighton.

An Illustrated Glossary of Early Southern Architecture and Landscape, edited by Carl R. Lounsbury and Vanessa E. Patrick.

Colonial Gardens, by Rudy J. Favretti

Design with Culture: Claiming America's Landscape Heritage, edited by Charles A. Birnbaum and Mary V. Hughes.

Dictionary of Landscape Architecture and Construction, by Alan Jay Christensen.

Early American Gardens: "For Meate or Medicine", by Ann Leighton.

Gardens and Historic Plants of the Antebellum South, by James R. Cothran.

Gardens and Landscapes of Virginia, by Richard Cheek, Rudy J. Favretti, and the Garden Club of Virginia.

Gardens of Colonial Williamsburg, by Gordon Chappell and Kent Brinkley.

Landscapes and Gardens for Historic Buildings: A Handbook for Reproducing and Creating Authentic Landscape Settings, by Rudy Favretti and Joy P. Favretti.

[48] Note that this is not intended to be a comprehensive list. A more extensive bibliography of source materials on historic landscape study and restoration may be obtained from DHR on request--contact the DHR survey manager.

Types of Survey

- **Comprehensive Survey**

  Comprehensive survey involves recording all historic and non-historic resources in a geographical area. This type of survey is primarily used for local planning purposes and to document historic districts expected to be nominated to the Virginia Landmarks Register (VLR) and the National Register of Historic Places (NRHP). In Virginia, a historic district nomination, such as for a rural historic district or a battlefield, requires an inventory of all historic and non-historic resources contained within the boundaries of the district. Therefore, all resources in the historic district will be surveyed, with survey done according to DHR requirements and with complete survey files to include DSS data entry prepared for all properties (contributing and noncontributing). A minimal documentation standard for noncontributing resources in some proposed historic districts that often contain a large number of noncontributing resources, such as battlefields, may be determined appropriate by DHR's survey manager; however, this determination must be made before the survey project begins. Survey files must be submitted to DHR prior to or accompanying the submission of the National Register historic district nomination. Any exceptions to this approach must be approved by DHR in the early project planning stage before fieldwork commences. Failure to provide all of the necessary survey documentation materials needed to support a historic district nomination can result in delays in the process of nominating the district to the registers.

- **Selective Survey**

  Selective survey involves choosing historic resources to be recorded based on the objectives of the survey, such as the survey's purpose, goals, priorities, and the geographical area under consideration. Other factors and constraints, such as the cost and extent of the survey, may determine the number of resources to be surveyed, thereby limiting the surveyor's selection methodology. In most surveys (except historic district surveys), the surveyor selects a historic resource based on one or more of the following criteria: its rarity, quality of design if it is a designed resource, physical integrity, type or style, date or period of design/construction, threat(s), or state of preservation.

  Cultural landscape surveys conducted pursuant to Section 106 of the National Historic Preservation Act (NHPA) are to record all resources within the undertaking's Area of Potential Effect (APE) that are 50 years of age or older, as these resources may be considered potentially eligible for listing in the NRHP.[49] Resources of exceptional merit less than fifty years of age are also to be recorded as part of compliance surveys.

Levels of Documentation

DHR employs two levels of survey for documentation and research investigations for cultural landscape resources as for architectural resources--the reconnaissance level and intensive level.[50]

---

[49] See Chapter 11 for further guidance on NHPA compliance survey.
[50] Note that federal and DHR regulations differ regarding the terminology for these levels of survey: what DHR refers

- **Reconnaissance Survey (Identification)**

  A reconnaissance survey, also known as Identification or Phase I survey, is a broad visual inspection or cursory examination of historic resources in a specific geographical area and is particularly useful in determining or predicting the distribution of landscape resources in a certain geographical area. Although reconnaissance-level survey data is not usually sufficient to evaluate individual resources for potential listing in the VLR and NRHP, it does record resources at a minimum level and provides a base level of information for obtaining more detailed survey data at a later date.

- **Intensive Survey (Evaluation)**

  An intensive survey, also known as Evaluation or Phase II survey, involves a more in-depth look at specific historic resources in a geographical area and typically identifies the most significant historic resources in that area. Some properties call out for intensive survey in spite of alterations or poor condition, either because they are unusual or important or because the surveyor has been given a rare opportunity to enter an important building that contains information, otherwise undocumented, about a region's craftsmanship or design. More often intensive survey is used to determine the resource's potential eligibility for listing in the VLR and the NRHP. Complete intensive survey data can be used to determine the resource's potential eligibility for listing in the VLR and the NRHP.

Fieldwork

Before going out into the field, the surveyor must first determine the type of survey to be undertaken (comprehensive or selective); the level of documentation to be conducted (reconnaissance/identification or intensive/evaluation) as defined by the survey objectives; the types of historic resources to be identified; and the survey project area. Some surveys are limited to a small geographical area; typically cultural landscape studies on a larger scale can cover thousands of acres.

For surveys conducted pursuant to the NHPA, the type of survey, level of documentation, and survey area must be developed in consultation with DHR and the responsible federal agency. Certain federal agencies have developed specific procedures for conducting surveys. It is the responsibility of those conducting and directing the survey project following NHPA requirements to familiarize themselves with alternative procedures developed for specific agencies or projects before initiating fieldwork.

The use of maps, especially United States Geological Survey (USGS) topographic quadrangle maps, is essential for defining the survey area. For survey, 1:24,000 scale maps are typically used and, unless otherwise noted, are the type of USGS quadrangle map referred to in *DHR Guidelines*. The entire United States is divided into a grid system of USGS topographic quadrangle maps. Derived from aerial photography and often photo-revised at a later date, quadrangles are usually named for a particular town, village, city, or natural feature located on

---

to as reconnaissance survey is not the same as reconnaissance survey as defined in the federal regulations. See Chapter 11 for additional guidance on surveys conducted pursuant to the NHPA.

that particular map. Each quadrangle covers about fifty-five square miles of territory. Most counties in Virginia are made up of several quadrangle maps, while most cities and towns are located entirely on one map or extend onto two maps. USGS topographic quadrangle maps are ideal for locating and indicating historic resources and are required for all survey projects. USGS maps may be purchased through the United States Geological Survey Headquarters in Reston, Virginia, and the Virginia Department of Mines, Minerals, and Energy (DMME).

For rural and small town surveys, USGS topographic quadrangle maps are sufficient in scale to indicate major roads, secondary roads, forested and open areas, natural features, driveways leading to farmsteads, houses or other architectural resources, farm buildings, old roads, and cemeteries. Some large towns and most cities have such a heavy concentration of buildings that these maps do not indicate each individual property. Therefore, town and city base maps are typically needed for urban surveys. Base maps may be used in addition to USGS topographic quadrangle maps, and in some case are required, but cannot be used in place of USGS quad maps. Most town and city planning offices can provide the surveyor with base or tax maps of sufficient scale to clearly identify buildings or at least the lots on which they are located.

Once the survey area is defined and the appropriate maps are obtained, the surveyor should become familiar with the survey area by driving or walking the area to examine the topography of the land and identify man-made and natural features, circulation networks, transportation routes, and spatial relationships between resources in their rural or urban settings.

Selective survey conducted in rural areas, such as a typical countywide survey, requires the surveyor to drive all primary and secondary roads in the county to identify landscapes that may meet the objectives of the survey, taking care to respect private property rights at all times. If the surveyor must enter private property to record a cultural landscape, the owner or resident must be informed of the surveyor's intentions and permission must be granted before recordation begins. Most owners and residents tend to grant permission once the surveyor explains the nature and importance of the survey. The owner can be very helpful in providing information about the history of the property. Many property owners are proud of the historic importance of their properties and will be enthusiastic about having them recorded if they fully understand the purpose of the survey.

Local government officials and members of local historical organizations may be able to help provide access to private properties. Before beginning fieldwork, it is advisable to contact the local police department or sheriff's office to explain the project and provide identification information about the individuals who will be conducting fieldwork along with descriptions of their vehicles.

Once a landscape resource is selected for recordation and permission is obtained from the owner(s), the surveyor must take the appropriate steps to identify and document the property's features and additional resources that may be located on the property. It is usually not difficult to determine the primary resource. If it is not the landscape--for example, if the landscape resource is secondary to other resources on the property--the primary resource must be identified. Typically all secondary resources on a property must be described and photographed, but the primary resource will receive the most attention. If the survey project is to include architectural and/or archaeological resources also, refer to the chapters in *DHR Guidelines* about conducting architectural and archaeological survey.

Occasionally, the primary resource on a property is not the resource considered the most important. For example, a farmstead with a collection of buildings may contain a residence, a designed garden, a barn, and several other outbuildings such as a corncrib, a poultry house, and a machine shed. If the residence is not historic, but the other resources are, the primary resource may be the barn if it is the most important outbuilding in the complex or it may be a cultural landscape that encompasses the farmstead and surrounding acreage associated with it. Also, in some cases research and oral interviews can help to answer questions about the relative importance of resources. The surveyor is expected to make judgments in the field concerning application of the survey guidelines to determine the hierarchy of the resources being documented.

When conducting cultural landscape studies, especially in rural areas, the surveyor must look for, document, and conduct research on the following features: land uses and activities that have formed and marked the land or centers of human activity marked by groups of buildings and structures; patterns of spatial organization; responses to the natural environment; cultural traditions; circulation networks; boundary demarcations; vegetation related to land use; buildings, structures, objects, archaeological sites, and small-scale elements.[51] In larger areas, clusters (village centers, farmsteads, crossroads, ranching and mining complexes, etc.) are to be documented as well.

To document designed landscapes, the landscape must be classified according to its appropriate type or according to the most general type that applies to the resource if more than one type is present. Types include, but are not limited to, the following: small residential grounds; estate or plantation grounds; arboretums, botanical and display gardens; zoological gardens and parks; churchyards and cemeteries; monuments and memorial grounds; plaza, square, green, mall, or other public spaces; campuses and institutional grounds; resources related to city planning or civic designs; subdivisions and planned communities or resorts; commercial and industrial grounds and parks; local, state, and national parks and campgrounds; battlefield parks and other commemorative parks; grounds designed or developed for outdoor recreation and/or sports activities such as country clubs, golf courses, tennis courts, bowling greens, bridle trails, stadiums, ball parks, and race tracks, not part of another type of designed landscape resource; fair and exhibition grounds; parkways, drives, and trails; and bodies of water and fountains, when considered an independent component and not part of a larger designed landscape resource.[52]

Surveying Individual Properties and Cultural Landscapes

- **Photograph the Resource(s)**

  For reconnaissance-level (identification) survey, using approved photographic equipment,[53] take a minimum of three photos showing different views of the resource (typically depicting broad or wide views), allowing a full understanding of the resource's primary characteristics and significant features, taking additional photos as needed.

---

[51] Linda Flint McClelland, J. Timothy Keller, ASLA, Genevieve P. Keller, and Robert Z. Melnick, ASLA, National Register Bulletin 30: *Guidelines for Evaluating and Documenting Rural Historic Landscapes* (U.S. Department of the Interior, National Park Service [n.d.]).
[52] J. Timothy Keller, ASLA, and Genevieve P. Keller, National Register Bulletin 18: *How to Evaluate and Nominate Designed Historic Landscapes* (U.S. Department of the Interior, National Park Service, 1994).
[53] For photographic requirements, also see Chapter 9.

Include aerial photo(s), if available, of the entire resource. Also, take a minimum of one to two exterior photos of each secondary resource, and of significant landscape features. Photographs that sufficiently illustrate the characteristics and significant features of the resource(s) shall be provided, taken at close range as needed in order to show details of design, construction, or materials (to include plant materials, hardscapes, objects, structural features, natural elements, and other components located in the landscape). If recording resources for a historic district inventory, take a minimum of one to two photos of each primary resource in the historic district and a minimum of one photo of each secondary resource.

For intensive-level (evaluation) surveys, take a minimum of five to ten photos of the primary resource showing different views (typically depicting broad or wide views), allowing a full understanding of the resource's primary characteristics and significant features, including aerial photo(s) if available. Also take a minimum of one to two photos of each secondary resource and any significant landscape features. Again, photographs are to be taken that sufficiently illustrate the characteristics and significant features of the resource(s) taken at close range, and sufficient to show details of design, construction, or materials (to include plant materials, hardscapes, objects, structural features, natural elements, and other components located in the landscape). At least five (5) photos shall be taken at close range, sufficient to show details of design, construction, and materials.
When surveying architectural resources in combination with cultural landscape investigations, follow the guidance provided in Chapter 4 in *DHR Guidelines* to document architectural properties. When a cultural landscape is being surveyed, note that only following guidance for architectural photographic documentation is not acceptable.

When documenting landscapes, overview photographs are required. For historic landscapes, especially rural landscapes, roadscape or streetscape photos may be appropriate, showing the relationship of buildings, structures, objects, sites, and the circulation network within the overall landscape. For battlefields, overall views of the existing landscape along with close-up views of each contributing resource (buildings, objects and structures, sites, and landscape features) within the battlefield are to be provided.

- **Describe the resource**

  To create or update a record in DHR's Data Sharing System (DSS) data entry shall be performed according to the *Data Sharing System (DSS) Data Entry Manual for Architectural Resources*. Those individuals conducting data entry are expected to have received training from DHR in the use of DSS, and to have current knowledge of the program (contact DHR's DSS architectural inventory manager for assistance). Each DSS survey record must include:

  - A DHR identification number.[54]
  - Name(s) of property (historic, current, and/or function/location); address; location; site description; acreage (optional); classification of resource type(s); exterior description of the primary resource; date or period of construction; alterations

[54] See Chapter 5 for further discussion on DHR identification numbers.

and dates or periods of alterations; physical condition, possible threats to the resource; exterior description of any secondary resources (to include date or period of construction, physical condition, and possible threats); component box data on the primary resource; historic contexts; potential for meeting the criteria for listing in the VLR and NRHP; graphic documentation; and survey level and date.

- Intensive-level surveys will include in addition to the above: a discussion of the historical and landscape significance of the property; events and individuals associated with the property; and property owner contact information.
- A summary statement of significance, placing the property in the appropriate historic and architectural context. At the reconnaissance level, the statement should recommend whether the property should be given further inspection at the intensive level; and at the reconnaissance and intensive levels, the statement of significance should make a recommendation (or not) concerning potential register eligibility, specifically addressing register criteria and criteria considerations, if applicable, under which the property may be eligible.
- Site plan showing all resources labeled: the primary resource with accurate footprint, roof lines, porches, and chimneys indicated; its spatial relationship to any secondary resources and adjacent resources; the street, road or other transportation corridor that provides access to the property, and driveways, farm roads, and other circulation components; important natural or man-made features such as lakes, ponds, rivers, or creeks; structures such as fences, arbors, trellises, pergolas, and gazebos; and landscape features such as gardens, garden elements, specimen trees, and plant metarial. Sketched site plans are preferred, and must be clearly drawn. A parcel map may be used as a base, provided it is at a large enough scale (typically one site plan will fill an 8½ by 11-inch sheet), shows all resources on the parcel accurately located, and indicates access routes and important landscape features. All site plans must include the date of the survey and the DHR identification number, and a clearly drawn and accurately placed north arrow. If drawn to scale, or if a base map with known scale is used and the scale is not altered, the scale shall be provided; otherwise, site plans shall be marked as “not to scale”, or “NTS.” Also, aerials from the Virginia Base Map Program (VBMP 2002) imagery may be used,[55] but as with maps, the images obtained must be enhanced with the addition of any features required for a complete site plan that do not clearly appear in the VBMP image, with features labeled as needed. VBMP images and other alternative site plan formats will not be accepted if they are not sufficiently legible or cannot be legibly photocopied. See pages 40-43 for a detailed discussion on site plans.

If architectural survey is to be conducted as part of a landscape survey, which is to be done when architectural resources are present in conjunction with landscape resources, follow the guidance for documenting architectural properties presented in chapters 4 and 5 of *DHR Guidelines*. For guidance in documenting archaeological resources, see chapters 6 and 7 of *DHR Guidelines*.

---

[55] Access to the Virginia Base Map Program is provided to consultant-level users of DHR’s Data Sharing System (DSS).

- **Locate the Resource**

  Circle the resource or group of resources on a photocopied section of the USGS topographic quadrangle map on which the property is located, using more than one map if the property extends onto more than one quadrangle (if copying from hard copy USGS maps). Indicate the approximate boundaries of the property on the map(s), especially for large rural properties or historic districts and landscapes. It is important to indicate the name of the property, the resource's DHR identification number, and the name of the quadrangle(s) in the margin of the USGS map.

- **Interview the property owner, if possible**

  A good deal of information about the current function and history of a property can often be obtained by interviewing the property owner or resident. The owner may also provide the surveyor with names of other persons to interview and other useful sources of information.

Surveying Historic Districts

A cultural landscape survey project may be conducted to document a rural historic district, often resulting in listing in the VLR and NRHP, as well as local designation. Whether or not a National Register Registration Form for a rural historic district will be prepared as part of the survey project, the survey is to be conducted with the goal of generating information that will clearly demonstrate why the historic district is significant, and if nomination is warranted, why the district is eligible for listing in the VLR and the NRHP. For historic district survey, the survey data generated must meet the reconnaissance-level survey requirements set forth in *DHR Guidelines.* All properties in the historic district, contributing as well as noncontributing, are to be documented unless project-specific arrangements made with DHR indicate otherwise. All survey materials are to be prepared according to the information provided in *DHR Guidelines*.

Survey of a historic district will involve consideration of appropriate and defensible historic district boundaries and an appropriate Period of Significance. Refer to the National Park Service's National Register Bulletins for guidance; in particular, consult the following: National Register Bulletin 16A, *How to Complete the National Register Registration For*, and National Register Bulletin 21, *Defining Boundaries for National Register Properties*. Consider the nature of the historic district when determining boundaries--whether the district is located in an urban, town, community, or rural setting--and remember to consider all types of historic resources that may be present, including cultural landscapes and archaeological sites as well as architectural resources. Also, for projects that include preparation of a VLR and NRHP nomination, the DHR Register Program's Register Nomination Check List must be used to ensure that all items required for the nomination are provided. For instance, mailing labels for owners of properties both within and adjacent to the historic district are needed by DHR to fulfill the state legal requirement for property owner notification about pending nominations. These materials must also be provided to DHR with sufficient time for review and comment, while staying on schedule for quarterly meetings of the State Review Board and Historic Resources Board. Note that failure to provide all needed materials by the due dates established for the Boards' quarterly meetings can result in postponement of consideration of nominations by the boards and significant delays in listing nominations in the VLR and NRHP. The National Register Nomination Check List can be obtained by contacting DHR's Register Program staff or by contacting the appropriate DHR Regional Office.

Historic districts that were defined and designated in the past typically require updating. To update a historic district survey, the following properties are to be documented: properties in the historic district that were not previously surveyed, including secondary and primary resources (in some cases for older historic districts, comprehensive survey of the district was not conducted); new buildings or structures constructed in the district since the previous survey occurred; properties that have changed since existing survey data was recorded, whether by remodeling, demolition, or possible replacement with new construction; and properties for which the existing contributing or noncontributing status may change due to updating of the district's Period of Significance. Also, all properties located in areas proposed as expansions of a listed historic district must be surveyed according to reconnaissance-level survey requirements set forth in *DHR Guidelines*. It may also be necessary to survey other properties adjacent to or near the existing historic district to justify proposed changes to the boundaries as part of the historic district updating process.

Following is a step-by-step approach to survey for historic districts, and survey for updating existing historic districts:

- **Research**

  Gather information about the area in which the proposed or existing historic district is located according to guidance for conducting survey research in *DHR Guidelines*, bearing in mind that survey for historic districts seeks to support the potential eligibility of the collective group of properties as a historic district, or to update of information on an existing district. If prior survey in the project area has been done, determine which properties were documented, and the date, completeness, and accuracy of this information, noting any gaps that will need to be addressed. Review existing survey data and the historic district nomination or Preliminary Information Form if previously prepared; and note areas of study for which additional research and interpretation of information relating to contexts, themes, and time periods will be required. Consider how this information will relate to the NRHP Criteria for Evaluation and a likely Period of Significance for the historic district or changes to the Period of Significance for an existing district.

  As is typical for survey projects, note that research will continue as survey progresses, bringing information to light that should support the historic significance of the collective group of resources. As part of initial research, study historic and current maps to determine potential boundary locations or possible boundary adjustments to existing historic districts, noting locations of properties previously documented both inside and outside the proposed or existing historic district. Pinpoint areas that will require particular attention when field-checking boundaries.

- **Field survey**

  Drive and/or walk the entire area within the proposed or existing historic district, as well as the areas surrounding it, with reference to maps showing existing boundaries for previously designated historic districts, and showing properties previously surveyed. Note that maps must be checked for accuracy while in the field and any corrections and adjustments made. Use map information and research data in combination with a thorough and complete field check to draft defensible historic district boundaries, bearing in mind that these boundaries may change as survey and research progress. As field checking is conducted and properties in the historic district are viewed, make any adjustments to the proposed Period of Significance as needed.

Following the initial drive and/or walk throughout the historic district and surrounding areas, proceed with property-by-property documentation, surveying properties according to reconnaissance-level survey requirements in *DHR Guidelines* and as directed for the specific project. For historic district update projects, make certain to survey all properties that may experience a change in status from non-contributing to contributing due to modifications to the Period of Significance dates; in most cases, this will involve resurvey and updating existing data in DHR's DSS database. Likewise, be sure to survey all properties previously considered contributing, but due to loss of integrity, may no longer be contributing. Also, note the loss of any previously documented properties and survey any new buildings or structures added to the district since the last survey.

- **Preparation of materials**

  Survey materials for historic district survey shall be prepared and packaged as described in *DHR Guidelines* for all survey projects. Where DHR identification numbers have not yet been assigned to properties in the historic district, they shall be provided as three-part numbers, reflecting the location of surveyed properties in a historic district--see Chapter 5 for information on DHR identification numbers. For the preparation of a historic district VLR and NRHP nomination, follow guidance provided in the National Park Service's National Register Bulletins; in particular, consult National Register Bulletin 16A, *How to Complete the National Register Registration Form*. To update an existing historic district nomination form, refer to Bulletin 16A for information on amending a nomination, and coordinate closely with DHR's Register Program staff and the DHR Regional Office in which the project area is located. Note that typically, as part of every historic district VLR and NRHP nomination, an inventory of all properties in the historic district is included in the nomination; this inventory will indicate the contributing and non-contributing status of the properties and will, therefore, depend upon accurate field survey and correct interpretation of research findings.

See Chapter 9 for additional guidance regarding the organization of survey materials, and refer to DHR's *Data Sharing System (DSS) Data Entry Manual for Architectural Resources* for information on recording documentation data in DHR's DSS, available on DHR's website at http://www.dhr.virginia.gov/archives/data_sharing_sys.htm, and by contacting DHR's DSS architectural inventory manager or DHR archivist. Surveyors planning to use DSS must be familiar with the most current DSS guidance. DSS updates may happen more frequently than updates to *DHR Guidelines*. See the referenced link, and contact DHR for guidance. To arrange for obtaining up-to-date training in DSS, contact DHR's architectural inventory manager or DHR archivist.

CHAPTER 9

ORGANIZING CULTURAL LANDSCAPE SURVEY MATERIALS

Department of Historic Resources (DHR) Identification Numbers

Before a file on a surveyed resource is placed in the DHR Archives, it must receive a DHR identification number. This unique number is used in the identification, filing, and entering of information into the Data Sharing System (DSS) for every surveyed property. The DHR Archives arranges property files by city, county, and town, and then sequentially by identification number within each locality.

Each surveyed property (except for properties within historic districts) is assigned a two-part number that is unique to that property. Separated by hyphens, the first set of digits refers to the city, county, or incorporated town in which the property is located, while the second set of digits refers to the number assigned to that particular property. For example, three surveyed rural properties in Loudoun County might be assigned the identification numbers of 053-0001, 053-0002, and 053-0003 in which the first number (053) represents Loudoun County and the second numbers (0001, 0002, and 0003) represent the first, second, and third properties surveyed in the county.

Three-part (tertiary) identification numbers are assigned to properties located within potential or register-listed historic districts. Again separated by hyphens, the first set of digits refers to the city, county, or incorporated town in which the historic district is located, the second set of digits is the number that is assigned to the historic district, and the third set of digits refers to a specific property within the historic district. For example, three properties located in the Alexandria Historic District might be assigned the identification numbers of 100-0121-0001, 100-0121-0023, and 100-0121-0500 whereas the two-part number 100-0121 represents the Alexandria Historic District, (100 represents the City of Alexandria and 0121 represents the Alexandria Historic District), while the last four digits are assigned to a specific property within the district.

If an individual file exists for a previously surveyed architectural resource, the resource retains its original DHR number if it is later included within a historic district; however, the resource also receives a tertiary number within the district. In the Data Sharing System (DSS) it is important that the primary resource number continues to be its original individual recordation number, and that any additional file numbers, such as a tertiary number within a historic district, be added to the DSS record in the "Other DHR File Number" field. If those records are then being submitted to DHR as part of a historic district survey, they should be included in the physical files under the historic district tertiary number. Any other survey materials that are submitted on a property recorded under more than one file number would be added to the individual resource file in the Archives.

DHR identification numbers are assigned by the DHR Archivist. Before issuing numbers, the Archivist must first receive United States Geological Survey (USGS) topographic quadrangle mapping identifying newly surveyed resources (on 1:24,000 scale maps). Preparing an Excel spreadsheet file with property names and/or addresses is helpful when making file number requests for a large number of resources. This can be provided to the DHR Archivist by e-mail. Contact the DHR Archives for assistance, at 804-482-6102.

DHR Archives Survey Files

Before a cultural landscape survey file can be accepted by DHR for accessioning into the Archives, the survey file must consist of the following materials which must be prepared according to DHR requirements:

- A DSS-generated survey form.
- Black-and-white photographs depicting the primary and secondary resources located on a property, including aerial photographs depicting the landscape resource, if available. The photographs must be properly labeled according to DHR standards and placed in one or more *Print File* brand transparent photo protector sheets (see "Photography Guidelines" below).
- A photocopied section of a USGS topographic quadrangle map (1:24,000 scale) or more than one map if the property extends onto more than one quadrangle. The surveyed property must be circled or a more precise property boundary delineated (especially for larger properties) on the map. The survey date, the name of the property, DHR identification number, and the name of the quadrangle map are to be clearly indicated on the margin of the map.
- A site plan, preferably neatly hand drawn which may be based on a detailed map provided by the locality, and including all features required by DHR for a complete site plan (see pages 40-43).
- For properties documented at the intensive level, a floor plan (showing all inhabited floors above ground and the basement level if it displays significant spatial arrangements) either neatly hand drawn to approximate dimensions, a measured drawing, or a CAD-generated drawing meeting DHR requirements for a floor plan sketch (see page 31);
- A base or tax map for surveyed properties located in towns or cities, showing locations of surveyed properties marked with address and DHR identification number.
- Any supplementary information associated with the surveyed property, such as field notes, field forms, floor plans of buildings within or associated with the cultural landscape, copies of original landscape design drawings, specifications, published or unpublished materials on the resource, and bibliographic materials. All materials must be on archival paper.

DHR Archives Survey File Envelopes

All survey materials pertaining to an individual property are to be submitted in standard DHR survey file envelopes obtained from the DHR Archivist. The file envelopes must be neatly hand-lettered in **pencil only** (use of pens or adhesive labels is not acceptable) with the following information:

- Historic name of property, or function/address if property name is unknown;
- County, independent city, or county-incorporated town (for example, Montgomery-Blacksburg); and
- DHR identification number

As many as five reconnaissance-level survey forms may be grouped within one envelope, provided they are in sequential numeric order by DHR identification number (see above). Only reconnaissance-level survey forms may be grouped in one envelope. Each intensive-level survey form and materials must be placed in an individual survey file envelope.

For historic districts, typically DHR identification numbers should be assigned by the surveyor to individual properties in a logical sequence such as properties along a street or block within a historic district. Like other reconnaissance-level records, those within districts should be grouped by file number, five records per envelope. For example, if there are materials for five surveyed properties with consecutive numbers in the Farmville Historic District, place each of the five DSS forms, site plans, maps, and corresponding transparent *Print File* brand photo sheets in a single DHR survey file envelope. The survey file envelope shall be labeled with the name of the historic district followed by the names of the individual properties (or addresses) in the space for "Name" (for example, "Farmville Historic District, House, 101 Main Street," followed by the other four individual resource names), the name of the locale in the space for "County/Town" (for example, Prince Edward-Farmville), and the range of DHR identification numbers in the space labeled "File No." (for example, "144-0027-0001/0005"). The slash between the property numbers indicates that all properties with identification numbers within that range are in that physical file. Photocopied sections of base or tax maps showing the location of each of the five properties (circled or otherwise clearly indicated in a manner that will photocopy) must be provided, along with the USGS topographic quadrangle map with the district's boundaries clearly drawn.

For DHR-funded projects, such as Survey and Planning Cost Share projects, survey file envelopes, *Plastiklips*, transparent negative sheets, and transparent photo sheets are provided by the DHR Archives upon request. The provided materials are for use in preparing DHR file copies only. Copies of materials submitted to the sponsoring locality should NOT be submitted in survey file envelopes using DHR supplied materials. The DHR Archivist can provide information on obtaining archival products for survey projects.

Data Sharing System (DSS) Forms

The surveyor must produce at least one final paper copy of each record, or property file, on archivally stable paper. This form must be an export from the DSS, DHR's survey database. The final form must include all required survey data for the property, incorporating any edits resulting from comments made following DHR staff review of a draft form. Typically the electronic DSS record will be reviewed in final draft form by the DHR DSS architectural inventory manager, and by at least one other DHR staff member, usually a regional office architectural historian. The paper copy of the final form is filed at DHR with original photographs, site plan, floor plan(s) for intensive-level survey,map(s), and other supporting materials. The DSS form is printed single-sided on standard archival paper, and clipped with plastic paper clips (such as *Plastiklips*). DSS forms must not be stapled.

DSS may also be used as a reporting tool. There are a number of specialized reports that can be produced from the DSS. There are two standard reports: one consists of the complete DSS survey forms, and the second consists of lists of properties for which data have been entered into DSS. The second type of report, the properties list, is useful for producing inventory lists for survey reports and for register nominations. Surveyors are strongly urged to run reports of individual DSS properties as a survey project proceeds to check for completeness and accuracy of the individual records. By doing this, problems that may appear in DSS survey forms generated for project reports can be identified early rather than at the project's final phase. Quality control reports on the first few records entered into the DSS are invaluable in preventing the replication of mistakes throughout a full series of records. Assistance with running custom reports may be obtained from DHR. Please submit a report request form to the DSS architectural inventory manager to obtain a custom report, and allow up to five business days for processing. The form can be obtained from the regional office staff serving the area being surveyed.

Photographic Documentation

There are two standard formats for submitting photographs for DHR architectural surveys: traditional 35mm black-and-white photos and digital images. **Note that specific requirements for photographic documentation may vary depending on program and project requirements**; if in doubt, contact the appropriate DHR program area or the DHR Survey Manager. For standard survey procedures, black-and-white glossy images produced either from 35mm film or from digital files are required. For Survey and Planning Cost Share projects, consult the scope of work in the grant agreement to determine the number and type of photos needed. If you are conducting survey for a historic district, for which a National Register nomination is to be prepared, note that there is a difference between survey photos (those submitted with the individual survey files for each resource) and register photos (the select 10-12 images that will accompany the National Register Registration Form). The requirements for the two types of photos do vary, so consult the appropriate DHR regional office for advice.

Most likely, digital images will be used to produce prints, in place of 35mm negatives. If this option is used, the black-and-white prints produced must be archivally stable. When processing 35mm negatives, it is possible to also obtain a disc with JPG files of the images on the negative frames from the processor. Submitting the resultant disc along with the black-and-white prints and the negatives for storage at DHR is required.

If digital images were used to produce the survey prints, then submitting electronic image files saved in 8-bit (or larger) color format as uncompressed TIF files on DVD or CD-R media is required. See Digital Images section (page 40).

Following are requirements for all photographs submitted to DHR. Below these general guidelines are the technical requirements for each type of image.

For 35 mm or digital black-and-white photos, glossy photographs must be either 3½ by 5 inches or 4 by 6 inches, unmounted, and printed on archival-quality photo paper. Individual prints are preferred and encouraged; however, prints on a single 8 by 10 photo paper page will be accepted, if all of the images are of the same resource. For digital files please note that while the prints must be in black and white, the files themselves should remain in their original color format. Photographs are to be labeled on the reverse side, using a soft-lead pencil such as a Pentalic No. 9B or Graphitone No. 8B pencil available at most art supply stores. Ink pens, felt-tip markers, and adhesive labels are not acceptable for labeling photos. If these are used to label photos, the prints may need to be reprinted and relabeled at the surveyor's expense. It is also acceptable to label the photographs within the white margin on the front of the image. This label information may be generated by computer and printed directly in the white margin, or an archival photo labeling pen can be used.

In the lower left corner on the back of each photograph, provide the following information:

- Negative number (for 35 mm photographs only);
- DHR identification number for the property;
- Date the photograph was taken;
- A brief descriptive caption, including cardinal directional information (for example, "sculpture garden, view facing south" or "tulip poplar, view facing west"); and
- (Optional)--Name of photographer and/or agency/consulting firm carrying out the survey project

Example of an accurately labeled photograph (labeled on the reverse side):

65123
127-9999
March 2, 2006
Bob Smith
Barn, East Elevation

Photographs must be submitted in transparent, *Print File* brand photo protector sheets (style 35-10P, 46-6P, or 810-2P). Each photo sheet holds up to ten 3½- by 5-inch or six 4- by 6-inch photos or two 8- by 10-inch photo pages, arranged back-to-back. Label the photo protector sheets with the range of DHR identification numbers and the date(s) the photos were taken. Adding the photographer's name is optional.

- **Black-and-White (35 mm) Film**
  Each roll of 35 mm film receives a unique five-digit negative number that is assigned by the DHR Archivist (contact DHR's Archivist at (804) 482-6102 to obtain negative numbers). Negative numbers are ONLY needed if the negatives are to be submitted for storage at DHR. Negatives are submitted in *Print File* brand, style 35-7BXW transparent negative protector sheets, the best choice as they contain enough sleeves for negative strips of four to six frames each for an entire roll of film of up to 42 frames to be included in one sheet. Each negative strip must have the five-digit DHR negative number written between sprocket holes at the top right corner, using an ultra fine point marker such as a Sharpie pen. The top of each negative protector sheet must be labeled using an ultra fine point marker with the negative number, date, photographer's name (optional), agency/consulting firm carrying out the project (when applicable), and the DHR identification number(s).

  A photo log, printed on standard letter-size paper, should accompany each set of negatives submitted to DHR. The top of each photo log sheet must be labeled with the following information if common to all the frames: the negative number and the date the photographs were taken; the property name and location (city, county, town); DHR identification number; and the photographer's name and the name of the agency/consulting firm (optional). The photo log should then consist of a detailed list of each frame, with the property name, location, and DHR identification number (if not noted in the common information section at the top of the page); and a brief description of the image noted.

For historic district surveys, the name of the historic district and the district's DHR identification number must be included in the common information section at the top of the photo log sheet. The detailed list must include for each frame the subject's address and name (if one exists), the three-part DHR identification number for that property, along with a description of the view.

- **Digital Images**

Electronic image files must be saved as uncompressed TIF (Tagged Image File format) files on CD-R or DVD media. The size of each image must be 1600 by 1200 pixels at 300 ppi (pixels per inch) or larger. The following steps must be taken for proper processing of digital images: when converting from jpeg to TIF, download the image from the camera to the computer, immediately convert the file to a TIF, then rename it. DO NOT download the image to the computer, first rename, then convert to TIF, as this causes loss of information. Also, the image should not be manipulated, other than sizing, rotating, or cropping. Digital images should be saved in eight-bit (or larger) color format, which provides maximum detail even when printed in black-and-white. Digital images are to be printed according to the general photography guidelines above. DHR has adopted the National Register of Historic Places (NRHP) and National Historic Landmarks (NHL) Survey Photo Policy with regard to acceptable ink and paper combinations for digital images.[56]

Electronic files should be named using the following DHR convention: DHR identification number, resource name, year that photograph was taken, and view. There should be no spaces, commas or periods in the file name. The file name should be no longer than 100 characters in length (abbreviate resource name and/or view description if possible).

For example:
134-0011_FerryFarm_2005_exterior_east_elevation
111-0009-0085_House1600CharlesSt_2007_interior_dining_rm_mantel
002-0130_Pantops_2011_springhouse_SW_view.

All electronic image files for a single property should be collected within a folder prior to being saved on the DVD or CD-R. The folder should be named using ONLY the DHR identification number (no other information may be included in the folder name). For resources documented in a historic district survey with a previous individual identification number, the folder and the image file names should use the original two-part identification number for the property and NOT the newly issued historic district tertiary number. For example, the folder for the first image file above would be labeled 134-0011. No other information may be included in the folder label, and only images of the resource 134-0011 may be included in that folder.

[56] National Park Service, *National Register of Historic Places and National Historic Landmarks Survey Photo Policy Expansion, March 2005* (available on the Internet at: http://www.nps.gov/history/nr/policyexpansion.htm#digital).

CD-Rs or DVDs shall be labeled with a project name, agency/company, month and year of photographs, project and/or contract number (if applicable), and the range of DHR identification numbers saved on the CD-R or DVD.

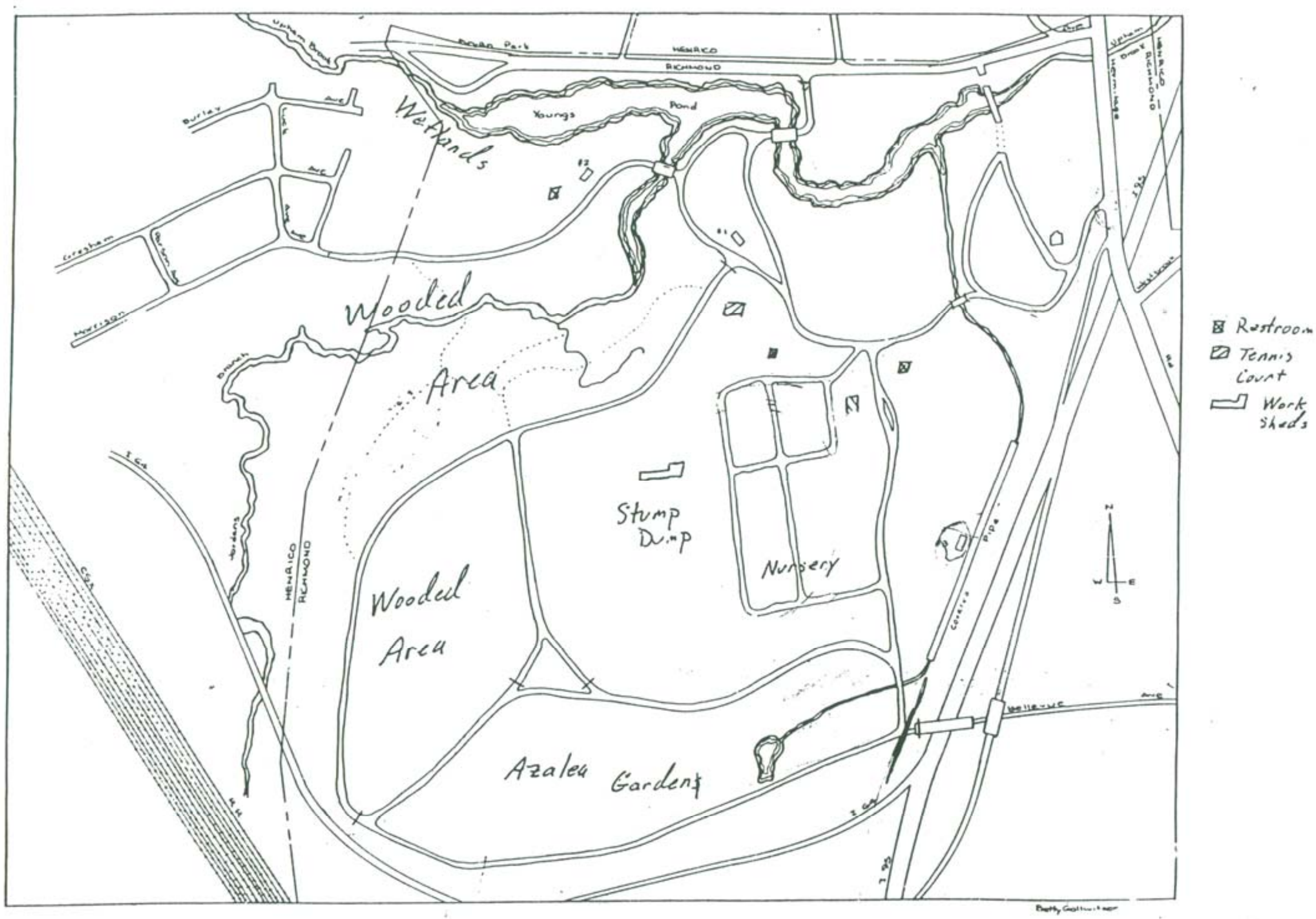
Site Plans

Site plans must fully and accurately represent the location of buildings, structures, sites, objects, districts, and significant landscape features. Site plans must also indicate the relationship of the property and resources to the street or road that provides access to the property and to adjacent properties, if any are close by. They must be fully labeled with the resource name, DHR identification number, and date of survey and include a north arrow; if they are to scale, an accurate scale must be included, and if not to scale, the notation, “Not to Scale” or “NTS” must be provided. Building and structure footprints are expected to accurately represent resources, and to include rooflines and features such as porches, decks, and chimneys. Neatly hand-drawn site plan sketches are preferred, as they offer more flexibility than computer-aided drafting programs for providing the level of detail and accuracy required.

Site plans may be based upon local government maps or other maps that clearly show property lines, building footprints, streets, etc., such as Sanborn maps, but these maps will not in themselves serve as site plans. If maps are used for base information for site plans, images from maps may be enlarged or reduced to the appropriate size, if required (which will typically provide one property site plan per 8½- by 11-inch sheet of paper), and then must be enhanced with the inclusion of all features required for a complete site plan as described above and in Chapter 4, with features labeled as appropriate. Also, aerials from the Virginia Base Map Program (VBMP 2002) imagery may be used,[57] but as with maps, the images obtained must be enhanced with the addition of any features required for a complete site plan that do not clearly appear in the VBMP image, with features labeled as needed. VBMP images and other alternative site plan formats will not be accepted if they are not sufficiently legible or cannot be legibly photocopied.

[57] Access to the Virginia Base Map Program is provided to consultant-level users of DHR’s Data Sharing System (DSS).

Example of an accurately drawn and labeled cultural landscape site plan:



Joseph Bryan Park
127-5677
City of Richmond
June 2002
NTS

United Stated Geological Survey (USGS) Topographic Quadrangle Maps

For all survey projects, including those recording properties in historic districts, a set of USGS topographic quadrangle maps of the entire survey area must be provided (at 1:24,000 scale). Each surveyed property must be circled, or a more precise property boundary delineated (especially for larger properties) on the map, The survey date, the name of the property, DHR identification number, and the name of the quadrangle map are to be clearly indicated. If the scale of the quadrangle map is not sufficient to clearly provide locations of surveyed properties, such as in a densely populated urban area, city base maps or tax parcel maps shall be used in addition to the quadrangle map; or if no other larger-scale maps are available, the quadrangle map may be sufficiently enlarged to depict the properties.

If buildings in a historic district are being recorded, the boundaries of the historic district are to be indicated on the appropriate quadrangle map. The locations of surveyed resources in the historic district are to be labeled on a city base map or tax parcel map or an enlarged quadrangle map if no other larger-scale map is available. The map must also indicate each resource's contributing or noncontributing status usually obtained by using dark shading (no colors) or crosshatching and so noted in the map key.

.

CHAPTER 10

PREPARING COST SHARE AND CERTIFIED LOCAL GOVERNMENT SURVEY REPORTS

Introduction

The following guidelines are to be met for preparation of survey reports for projects funded by the Department of Historic Resources (DHR) through the Survey and Planning Cost Share program, as well as the Certified Local Government (CLG) program. For guidance on preparing reports in compliance with Section 106 and Section 110 of the National Historic Preservation Act (NHPA), see Chapter 11 of *DHR Guidelines*. For other than NHPA compliance reports, the information in this chapter can also be used to inform preparation of reports for projects other than those carried out for the Cost Share and CLG programs, at the discretion of DHR and other project sponsors.

The federal standards, *Archaeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines*, herein called *SOI Standards*, are used by State Historic Preservation Offices (SHPOs) for all historic preservation activities, including survey and planning. Individuals undertaking a survey project are expected to familiarize themselves with these standards and guidelines. DHR's guidance contained in this chapter is to serve as a comprehensive outline for the preparation of survey reports, and as with other sections of *DHR Guidelines*, the information is based upon the *SOI Standards,* and is meant to supplement them.

Before final project reports are submitted, Data Sharing System (DSS) records for resources documented as part of the project shall be entered into DSS and accepted by DHR, unless specific project requirements state otherwise, or another arrangement has been made with DHR. In addition, DHR eligibility findings are to be incorporated into the final document.

For survey reports covering areas where previous resource documentation efforts have been conducted, the findings of the previous studies shall be incorporated into the project report, by consideration of documented properties in the discussion of historic contexts and presentation of recommendations in particular. It is also expected that previously documented properties will be represented on mapping produced for the report, showing the project area and newly surveyed properties. Documentation from prior surveys, if produced for a DHR-sponsored project or if resulting data was otherwise provided to DHR, can be accessed using DHR's DSS and by research in DHR's Archives. For survey project report preparation it is fully expected that complete research will be conducted in DHR's Archives, with reference to documentation materials on file (many of which are not available in digital format), and cultural resource management reports and other documents held by DHR's Archives. It is expected that survey data not held by DHR will be consulted and fully considered (such data may be maintained by local governments, other state or federal agencies, historical societies, and historic sites). Complete reference information on sources for property documentation data not held by DHR must be included in the report.

General Format Requirements

- Survey reports are to be formatted using MS Word and submitted to DHR on a compact disc, along with the required number of paper copies (see below).

- For all illustrations, include a figure number, a caption, and the source of each illustration; for site plans, maps, and other graphic material, also include a scale or indication that it is not to scale, and a compass orientation (north arrow). Including copies of relevant historic documents and/or maps in the report is encouraged. Illustrations are to be inserted throughout the report rather than grouped together in one section.

- Scanned or digital photographs are to be included within and throughout the text, rather than grouped together in one section. Include a caption describing the subject of the photo, including the property or properties depicted; if the photo depicts a documented resource, include the DHR identification number and indicate the view orientation (the name of the photographer may also be included). The number of photos to be included in the report will vary depending on the project. It is typically expected that photos of the most significant properties described in the report will be included, and used to illustrate important trends such as the development of architectural or landscape design styles, and represent relevant themes and contexts.

- All reports must be submitted bound along with one unbound copy, and must be submitted on pH-neutral (archivally stable) paper (state law requires the use of pH-neutral paper for all documents that are considered permanent records of the history of the Commonwealth). The number of required copies will be determined based on the needs of the project. The use of plastic comb bindings (GBC bindings) is required. Other types of bindings such as velo, glued, and pressboard do not withstand repeated use in the DHR Archives.

Required Components

- **Cover** – Provide an illustrated card-stock cover, preferably not a dark color for clear photocopying. The cover will typically include at a minimum the title and date of the report.

- **Title Page** – Include the following project identification information:

    - Title of report including name and location of survey;
    - Author(s), principal investigator(s), organizational affiliation, address, phone number, fax number, website address for firm if one is maintained, and contact email address;
    - Name, address, and telephone number of client for whom report was prepared;
    - Date of report

- **Table of Contents**

    - Abstract
    - Acknowledgments

- List of maps, illustrations, tables
- Introduction/description of survey (this **must** include estimated acreage covered)
- Historic contexts
- Research design: objective; methods; and expected results
- Survey findings & archaeological assessment (if applicable)
- Evaluation, including Multiple Property Documentation form (MPD) (if applicable)
- Recommendations
- Bibliography
- Appendices, including DSS-generated reports and Preliminary Information Form(s) (PIF), if applicable

- **Abstract**

An abstract containing a brief summary of the survey project, the purpose of the survey, the findings, and resulting recommendations is to be included. This summary includes the total acreage covered by the survey, the total number of resources surveyed, and the level (reconnaissance or intensive) at which they were surveyed. Abstracts are to be no longer than one page.

- **Acknowledgments**

This section will briefly credit funding sources, and those who provided support to the project such as volunteers, members of local governments or advisory committees, state and federal agency staff, local historical society staff members, members of the public, and other contributors to the project. If the survey project is funded by a CLG grant, contact the DHR CLG Program Coordinator in the DHR Tidewater Regional Office, to obtain the exact wording to acknowledge federal government funding as required by the U.S. Department of the Interior.

- **List of Maps, Illustrations, and Tables**

This list will include figure number, subject and/or title of graphic item, and page number for each image. Regarding mapping for reports, all reports must contain a clear map or maps of the surveyed area, clear enough to produce satisfactory photocopies, and rendered at a legible scale, denoting locations of all properties surveyed, and including labeled locations of all previously surveyed properties. Typically properties will be indicated by DHR identification number. When the results of additional or alternative survey projects are mapped for which DHR identification numbers were not assigned, these may be indicated by property address, and name if applicable. It may be necessary to use a key such as a numbered list of properties with numbers indicated on the map(s) to show resource location. Also, it is essential to follow DHR requirements for indicating locations of archaeological sites – contact the DHR Archivist at 804-482-6102 for further information.

- **Introduction and Description of Project**

This section shall include:

- Sponsors of the survey project and other appropriate information;
- Description of the survey project including geographical limits; an accurate statement of the actual acreage surveyed **must** be included;

- o Purpose of report and discussion of the project scope of work;
- o Dates of investigation and staff composition conducting the project;
- o USGS quadrangle maps (1:24,000 scale) indicating the location and boundaries of the survey; and
- o Supplementary mapping, as needed (see above for map requirements)

- **Historic Contexts**

The development of the historic context(s) for the survey area is one of the key components of a survey report. According to federal standards, a historic context “organizes information based on a cultural theme and its geographic and chronological limits.”[58] Bear in mind that a description of the physical setting combined with a narrative history of the locality or region comprising the project area does not constitute a historic context.

DHR has developed guidance for the preparation of historic contexts. Refer to Chapter 3 of *DHR Guidelines*, “How to use Historic Contexts in Virginia: A Guide for Survey, Registration, Protection and Treatment Projects.” Note that the level of effort in context development can vary according to the needs of the survey project.

The in-depth discussion of specific historic themes is to be preceded by a historic overview that synthesizes the historic context(s) in the form of a chronological narrative, typically organized by time periods in Virginia history and prehistory (see Appendix B). Within the overview, important patterns, events, persons, or cultural values are to be introduced and property types associated with important historic themes identified. The overview is to characterize the general location and distributional patterns of the historic resources under investigation.

Historic contexts incorporate the following:

- o A description of the natural characteristics and cultural patterns that have influenced the use of the landscape through time as well as the survival of the cultural record. Emphasis is to be placed on the relationship of the environmental setting to the development of the built environment and impacts on the land and the evolution of architectural, landscape, and community patterns;

- o An assessment of existing resource documentation for resources in the survey area. This assessment includes consideration of resources for which identification and/or evaluation materials exist in the DHR Archives, as well as other previous survey and historic context development efforts. Properties previously listed in the Virginia Landmarks Register (VLR) and National Register of Historic Places (NRHP) must be discussed and their boundaries delineated on project maps contained within the report. Because “[t]he passage of time or changing perceptions of significance may justify reevaluation of properties that were previously determined to be eligible or ineligible,”[59] the report must address whether the original boundaries are accurate. The report, if appropriate, will explore the possibility that larger areas may now be considered eligible; or that the previously-defined eligible area should now be

[58] *SOI Standards*.
[59] NHPA, 36 CFR 800.4(c).

smaller. For example, the project may reveal that a rural property originally evaluated within an architectural context has significance within a historic agricultural or cultural landscape context as well. Alternatively, in some cases the survey may indicate that the listed property no longer qualifies for listing in the VLR and NRHP, or changes to part of the property justify a recommendation for a boundary reduction;

  - A discussion of cultural themes organized by time periods, as they are represented by surveyed resources constructed during those time periods, and by relevant properties previously surveyed;

  - A comparative discussion of the character-defining features of the surveyed resources, also organized by time periods and cultural themes, and including relevant previously surveyed properties; and

  - A summary of the cultural significance of surveyed resources and previously surveyed properties, specifically stating whether any newly surveyed properties qualify for listing in the VLR and the NRHP, based on consideration of geography, time periods, cultural themes, and their interrelationships.

- **Research Design: Objectives, Methods, and Expected Results**

  - Objectives: State the objectives of the project survey identification efforts.

  - Methods: This section explains the methodologies and techniques used during the survey project to locate and evaluate resources within the survey area (for example, what was done and why it was done).

  - Expected Results: State the expected results and reasons for those expectations. As noted in the federal standards, "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."[60]

- **Survey Findings & Archaeological Assessment (if applicable)**

  - Archaeological surveys must include the following information for each identified resource:

    - Official DHR inventory number (a temporary number is not acceptable in reports);
    - Site size and estimated boundaries (including the manner of determination);
    - Relevant environmental data relating to site location and setting;
    - Approximate date(s) of occupation, if known;
    - Archaeological characteristics of the site including recorded soil stratigraphy, potential for stratigraphic depth, observed distribution of recovered artifacts (horizontal and vertical), and estimated integrity;
    - Discussion of recovered material culture;
    - Site function(s) in a regional settlement system, if determined; and

[60] *SOI Standards*.

        - Recommendation of potential significance in relation to defined historic context(s).

    - All archaeological assessments must include clear mapping and explicit statements about the archaeological potential of all parcels within the study area. If parcels are omitted from the study, explain why these areas were excluded. Any modeling used in generating the conclusions of the study must be fully discussed.

- **Evaluation, including Multiple Property Documentation form (MPD) (if applicable)**

  Surveyed properties are to be evaluated to form the basis for the report's recommendations section. For architectural and cultural landscape properties surveyed at the intensive level, the potential eligibility for listing in the National Register of Historic Places (NHRP) and the Virginia Landmarks Register (VLR) shall be considered. For MPDs and Preliminary Information Forms (PIF) prepared for the project, these documents are expected to be included in the report, with recommendations concerning potential eligibility for listing on the Virginia Landmarks Register and National Register of Historic Places. Typically properties documented at the intensive level, MPDs, and PIFs will be considered by DHR staff while the survey project and report preparation are in progress; DHR's recommendations resulting from this consideration must be included in the report.

- **Recommendations**

  Recommendations resulting from project research and field investigations are to be itemized and detailed. Those conducting survey projects and preparing reports are expected to address recommendations based on the needs of the communities and property owners whose properties are included in the survey, recognizing the individuality and unique characteristics of the community under study, and are strongly urged to consider recommendations beyond standard approaches. Recommendations will typically include, but are not limited to, the following:

    - Further study and field survey, including additional survey work and in-depth research such as investigation at the intensive level for specific properties;
    - Preparation of a PIF for specific properties, with consideration of eligibility for listing in the NRHP and VLR;
    - Consideration of potential historic districts, through further survey, preparation of a PIF, and/or a NRHP/VLR nomination;
    - Preparation of an MPD;
    - Preservation planning initiatives, such as local historic designation, application of preservation-related zoning overlays, and development of design guidelines;
    - Possibilities for addressing threatened resources, identifying specific properties and areas, and levels of threat;
    - Tools for the promotion of preservation and responsible historic resource stewardship at the local level, by local governments, community groups, preservation non-profits, individual property owners, and others with a key role in the area under consideration by the survey project;
    - Programs offering preservation incentives, such as the Virginia and Federal historic rehabilitation tax credit programs, and any local programs such as those offering tax abatements;
    - Techniques for applying information from the survey to develop educational

materials and tools for heritage tourism promotion;
- Funding sources, such as grants programs like transportation enhancement programs, Save America's Treasures, and Preserve America initiatives, and CLG and Main Street programs, with addresses for websites or other sources for obtaining further information;
- Information about incorporating sound preservation principles into sustainability initiatives; and
- Sources for information on maintaining and rehabilitating historic properties, including studies showing cost benefits vs. neglect, demolition, and new construction

- **Bibliography**

  List all references and personal communications cited in the report. Adhere to the citation style guidelines of commonly used professional journals such as *American Antiquity* or the *Chicago Manual of Style*, and maintain consistency with the selected style guide.

- **Appendices**

  DSS allows users to manipulate data to produce basic inventory lists and other customized reports that assist the surveyor in evaluating large numbers of historic resources. Surveyors are urged to run DSS reports periodically through the duration of a project for quality assurance and quality control, to check individual records for completeness and accuracy. Specific DSS reports can assist in survey report preparation and are frequently placed as appendices at the end of the survey report.

  The DSS reports can include not only the properties surveyed for the project for which the report is produced, but may also include previously surveyed properties; if both types of properties are included on the same list(s) in the report, there must be clear differentiation between them such as using bold-faced font for properties surveyed for the current project. For previously-surveyed properties for which a DHR number has not been assigned (if they were not documented for a DHR-supported project and data has not been provided to DHR), a separate listing should be provided, organized by current property address and including property name and USGS quadrangle map name. Wherever possible, project scopes of work should seek to encompass documentation of properties to be included in the project report and used in developing information provided in the report, but not previously added to DHR's DSS, to allow accessibility to current data about these resources.

  For archaeological assessments and surveys, appendices may include artifact inventories and archaeological site forms. At a minimum, all architectural and cultural landscape survey reports must contain the following two appendices:

  - **Basic Inventory List** in which properties are arranged by DHR identification number. The report will also include the name of the resource, address, and the USGS quadrangle map name; and

  - **Resource Address List** in which properties are arranged by current address in alphabetical and numerical order. This report will also contain the DHR identification number, resource name, and USGS quadrangle map name.

Other reports generated from DSS may prove useful in a survey report. For example, reports can organize data by primary resource date of construction, historic context, architectural style, type of resource, or USGS quadrangle map name. DSS users may sort this data from Excel spreadsheets obtained from DSS; or, by using spreadsheets set up to track survey projects as a companion tool to DSS. In all cases, for final reports, the DSS records used to obtain the reports must have accurate data that has been edited as needed with reference to comments provided through DHR staff review as the project has progressed. Typically DSS reports used for survey reports are obtained once all DSS property files for that project have been completed, edited, and are in final form. Especially for larger projects with DSS forms numbering in the hundreds, the time required for DHR review and approval of DSS records, and time needed for any DSS records editing by the surveyor, must be considered when planning for preparation of a final project report.

Assistance with running custom reports may be obtained from DHR. Please submit a report request form to the DSS Manager to obtain a custom report, and allow up to five business days for processing. The form is available from the DSS Manager or appropriate regional office staff.

For projects other than those conducted for the CLG and Cost Share programs, depending upon the expectations of the project, additional components may need to be included in the resulting report. It is important to coordinate with DHR and project sponsors to address other requirements.

CHAPTER 11

PREPARING IDENTIFICATION AND EVALUATION REPORTS PURSUANT TO LOCAL, STATE, OR FEDERAL LAWS AND REGULATIONS

Introduction

The Department of Historic Resources (DHR) functions as the Virginia State Historic Preservation Office (SHPO). Each year DHR receives approximately 2000 requests for review and comment regarding the effects on historic properties resulting from local, state, and federal government actions. The majority of these requests are submitted to DHR pursuant to Section 106 of the National Historic Preservation Act (NHPA) of 1966, as amended. Projects subject to other local, state, and federal laws, including the National Environmental Policy Act (NEPA), state Environmental Review Process (SERP), state Environmental Impact Report Act, and local zoning and land use ordinances, may require consultation with DHR.

Section 106 and its governing regulation, 36 CFR 800, require federal agencies and recipients of federal funds, licenses, and permits to identify, evaluate, and assess effects to historic properties listed in or eligible for the National Register of Historic Places (NRHP), in consultation with DHR. This must be done prior to implementing a project or action requiring Section 106 compliance, which is known as an "undertaking." For additional information on the Section 106 process and the responsibilities of federal agencies or their designees, see the Advisory Council on Historic Preservation's website.[61] Contact the director of the Division of Resource Services and Review at 804-482-6087.

It is the responsibility of those overseeing and conducting survey and preparing reports for NHPA compliance to become fully familiar with federal and state requirements, and to meet these requirements in all aspects of survey and reporting. Failure to do so may result in delayed review and comment.

Under Section 106, it is the responsibility of the federal agency or its designee to "make a reasonable and good faith effort to carry out appropriate identification efforts" of all buildings, structures, objects, districts, and archaeological sites, including cultural landscapes, located within the Area of Potential Effect (APE) that are or may be eligible for listing in the NRHP.[62] This is accomplished through architectural, archaeological, and cultural landscape surveys prepared by historic resource professionals and in consultation with DHR. The Secretary of the Interior's national standards and guidelines for SHPOs and federal agencies to use for all historic preservation activities, titled *Archeology and Historic Preservation*: *Secretary of the Interior's Standards and Guidelines*, referred to herein as *SOI Standards*, inform the guidance provided in this chapter. Of particular importance is the concept that "identification of historic properties is undertaken to the degree required to make decisions." [63] Information presented in survey documentation is intended to support management decisions regarding historic properties in relation to federal and state undertakings. Therefore, this information must be both accurate and

---

[61] The website of the Advisory Council on Historic Preservation is at http://www.achp.gov/.
[62] The National Historic Preservation Act of 1966, as Amended (36 CFR 800.4(b)(1)) (NHPA).
[63] *SOI Standards*

complete.

DHR has prepared the guidance presented in this chapter for use by project sponsors and consultants obligated to provide specific levels of documentation pursuant to Section 106 and applicable local and state mandates. These guidelines are derived from the *SOI Standards* and are to serve as an outline for preparation of identification and evaluation reports. Survey reports prepared for both federal and state activities must adhere to federal standards.

There are three levels of documentation for historic resources: Phase I / Identification; Phase II/Evaluation; and Phase III/Treatment. DHR has long referred to Phase I architectural survey as “reconnaissance” and Phase II architectural survey as “intensive” survey. It is important to recognize that this terminology does not correlate with the definitions included in the federal standards. The first two levels constitute components of what is defined in the federal standards as an "intensive" survey. Not all projects will warrant investigations at all three levels; the amount of work required is determined on a project-specific basis and in consultation with DHR. DHR normally does not recognize additional division into sub-phases (for example, Phase Ia and Phase Ib) and will not accept Phase Ia reports for review unless the applicant has consulted with and obtained prior authorization from DHR.

Each phase of survey is defined briefly below. Following the discussion of the three phases is a discussion of the various components of a survey report and a checklist of required items. DHR uses this checklist for all survey reports submitted for compliance review. Survey reports submitted to DHR that do not contain all of the required items may be returned for modification, resulting in delayed reviews. The 30-day project review period will not begin until all survey documentation, including digital records and original survey materials, have been submitted to and approved by DHR’s Archives staff. Evidence of this approval must be submitted to DHR along with the report.

Levels of Documentation

- **Identification (Phase I)**
  For archaeological resources, Identification (Phase I) survey is intended to provide information regarding all archaeological sites for direct effects within a project’s APE. It includes an estimate of site size and boundaries and an assessment of the need for further evaluation to determine NRHP eligibility. For above-ground resources (architectural and cultural landscape resources), Identification (Phase I) survey, also known as reconnaissance survey, is intended to provide a comprehensive accounting of all properties located within the APE that are fifty years old or older, or appear to meet NRHP Criteria Consideration G. It includes: a brief description of the main resource and any extant outbuildings, associated structures, or landscape features; basic information on the history of the property such as date of construction, known owners, and dates of any additions or alterations; and recommendations for additional survey work. For cultural landscape resources, Identification (Phase I) survey follows the approach of an architectural survey, documenting all landscape resources fifty years of age and over or potentially meeting Criteria Consideration G, and providing basic information on property history. All types of resources in the APE, whether archaeological, architectural, or landscape, will typically be considered.

- **Evaluation (Phase II)**
  Evaluation (Phase II) studies provide a more detailed level of information about the physical characteristics, history, and condition of specific properties than is normally required in a

Phase I survey. Phase II information must be sufficient for the purpose of evaluating resources according to the NRHP and Virginia Landmarks Register (VLR) Criteria. An Evaluation (Phase II) study, also known as an intensive-level study when applied to documentation of above-ground resources, includes a recommendation regarding the NRHP/VLR eligibility of a property with an explicit statement of the criteria and provides sufficient documentation to support that recommendation.

- **Treatment (Phase III)**
  Once the significance of a historic property has been established, the appropriate treatment is determined on consultation with DHR and other consulting parties as appropriate. Only after evaluations are completed are treatment plans or documents developed. Treatment can include a variety of measures such as resource avoidance, recordation, data recovery, development of a historic preservation plan, rehabilitation, or restoration. Documentation requirements for treatment are determined on a case-by-case basis. For the purposes of Section 106, any action that diminishes or destroys the characteristics of the property that render it eligible for inclusion in the NRHP is considered an Adverse Effect, and this effect must be resolved through development of a Memorandum of Agreement (MOA).

Components of a Survey Report

The following outline of required items applies only to Identification (Phase I) and Evaluation (Phase II) studies.

- **Title Page** – to include the following project identification information:

  - Title of report, including name and location of undertaking
  - Author(s)/principal investigator(s), organizational affiliation, address, and telephone number
  - Name, address, and telephone number of client for whom report was prepared
  - Lead federal/state agency project and/or permit number, and the DHR project review file number
  - Date of report

- **Abstract**

  The abstract is to include a description of the project's APE for both direct and indirect effects, a brief summary of the undertaking, the purpose of the survey, the findings, and the recommendations of the principal investigator. This summary shall identify the sponsoring agency and must include the total acreage covered by the survey. Summary of findings will include the number of archaeological sites and/or architectural properties and/or cultural landscape resources recorded according to resource type (historic or prehistoric, in the case of archaeological sites; buildings, structures, objects, or districts in the case of architectural properties; sites or districts in the case of cultural landscapes). For Phase I survey reports the abstract shall include recommendations for additional survey work. For larger projects, recommendations may be presented in tabular format. For Phase II survey reports, the abstract is to include recommendations for eligibility for listing in the NRHP and VLR either individually or as contributing resources within a larger historic district, with specific reference made to the relevant criteria. Abstracts for evaluation studies will typically also include an assessment of effect. Abstracts are to be no longer than one page.

- **Table of Contents** – to include at a minimum:

    - Abstract
    - List of Maps, Illustrations, Tables
    - Introduction/Description of Undertaking
    - Historic Context
    - Research Design: Objectives, Methods, Expected Results
    - Survey Findings
    - Recommendations
    - Bibliography
    - Appendices
    - Approved DSS forms
    - Vita(e) of Principal Investigator(s) and Principal Author (if different from Principal Investigator)

- **Introduction/Description of Undertaking** – to include at a minimum:

    - Project proponent/sponsor, federal agency or agencies if different from the project proponent, contract/permit number(s), and other appropriate agency-specific information
    - Description of undertaking including geographical limits, definition of area of potential effect, and explicit statement of actual acreage surveyed
    - Purpose of report and discussion of scope of work
    - Dates of investigation and staff composition
    - Maps – On United States Geological Survey (USGS) topographic quadrangle maps (1:24,000 scale) the following must be shown precisely, and in an easily readable scale: the location and boundaries of the undertaking; and the location and boundaries of the APE, if different from the undertaking, with a discussion of how this area was determined by the responsible agency. In the case of linear undertakings, these maps must depict the corridor(s) in relation to a broader geographical context.

- **Historic Context**

    According to *SOI Standards*, a historic context "organizes information based on a cultural theme and its geographical and chronological limits." [64] A description of the physical setting combined with a narrative history of the county or region does not constitute a historic context. DHR has developed guidance for the preparation of historic contexts. Please reference Chapter 3 of *DHR Guidelines*. The historic context must apply, but not be limited to, all applicable contexts defined by DHR. For Identification (Phase I) investigations, the historic context(s) for the APE needs to be sufficiently well defined to constitute the basis for recommendations for formal evaluation of identified resources. For Evaluation (Phase II) studies, such contexts are to be project-specific and defined in a greater level of detail in order to support definitive recommendations of resource eligibility or ineligibility for listing in the NRHP and VLR. Note that the level of effort in context development can vary according to the needs of the survey.

    For Identification (Phase I) and Evaluation (Phase II) studies, follow the framework

[64] *SOI Standards*

described below:

- o Identification (Phase I)

  For identification studies, the context development focuses on the APE. It includes, but is not limited to, the following items:

  - A description of those natural characteristics and cultural patterns that have influenced the use of the landscape through time as well as the survival of the cultural record. For archaeological research, relevant information might include changes in post-Pleistocene climate and biota and the manner by which cultural systems adapted to those conditions. This information is to be supplemented by a discussion of the manner by which archaeological research can help explain such past cultural behavior. For architectural research, emphasis is to be placed on the relationship of the environmental setting to the development of the built environment and the evolution of architectural and community patterns.

  - An assessment of existing resource documentation for the APE and its relevant environs. This assessment includes resources identified and/or evaluated in the DHR Archives as well as an assessment of previous survey and historic context development efforts. Properties previously listed in the NRHP and VLR must be discussed and their boundaries delineated on project maps contained within the report. Because "the passage of time or changing perceptions of significance may justify reevaluation of properties that were previously determined to be eligible or ineligible," [65] the report must address whether the original NRHP boundaries are suitable. When appropriate, the report will explore the possibility that larger areas may now be considered eligible for the NRHP and VLR. For example, a rural property originally evaluated within an architectural context may have significance within an agricultural context as well. In some cases, however, the survey may determine that the listed property no longer qualifies for listing in the NRHP and VLR or that alterations to part of the property justify a recommendation for a boundary reduction.

- o Evaluation (Phase II)

  For evaluative studies (Phase II), historic contexts are to focus on the resource and how the resource does or does not characterize applicable historic context(s). The historic context establishes a resource's period of significance, identifies the property type, and identifies the applicable NRHP/VLR area(s) of significance and theme(s). Use of historic maps, deeds, tax records, and insurance maps is recommended. For further guidance on this process, see National Register Bulletin 15: *How to Apply the National Register Criteria for Evaluation*.[66]

[65] NHPA, 36 CFR 800.4(c).
[66] This and other NPS National Register bulletins are on the Internet, at http://www.nps.gov/history/nr/publications/bulletins/nrb15/.

- **Research Design**

    - Objectives: State the objectives of the identification efforts.

    - Methods: This section explains the methodologies and techniques used during the survey to locate and evaluate resources within the APE (for example, what was done and why it was done). If a predictive model has been developed for the project, a full discussion of its basis and implementation shall be discussed. Individual statements are to be provided for archival research, fieldwork, laboratory analysis, and curation/ final disposition of recovered specimens, notes, photographs, and other materials. State explicitly, for example, the shovel-test interval employed during an archaeological survey and whether or not excavated soil was dry or wet screened. Please recognize that the methods employed in a survey must be defendable against the specific objectives (for example, identification and/or evaluation). It is not acceptable to claim that the survey was completed to DHR standards.

    - Expected Results: State the expected results and reasons for those expectations. As noted in the *SOI Standards*, "[e]xpectations 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." [67]

- **Survey Findings**

    - **Identification (Phase I)**

      Report the results of identification surveys as an inventory of resources identified within the APE. The following information is needed for each identified resource:

        - **Archaeological resources**

            - Official DHR inventory number (a temporary number will not be accepted in reports).
            - Site size and estimated boundaries (including the manner of determination).
            - Relevant environmental data relating to site location and setting.
            - Approximate date(s) of occupation, if possible.
            - Archaeological characteristics of the site including recorded soil stratigraphy, potential for stratigraphic depth, observed distribution of recovered artifacts (horizontal and vertical), and estimated integrity.
            - Discussion of recovered material culture.
            - Site function(s) in a regional settlement system, if possible.
            - Recommendation of potential significance in relation to defined historic context(s).
            - Recommendations for further study, if any.
            - Potential effect (see the NHPA, 36 CFR 800.9, Criteria of Effect and Adverse Effect).

---

[67] *SOI Standards.*

- Illustrations or other figures at an appropriate scale depicting the site in relation to its setting and the undertaking, representative plan and profile drawings, artifact illustrations, and site photographs (see format requirements below).
- Project maps with greater detail than USGS 7.5 minute quadrangle maps depicting the location of all positive and negative shovel test pits or other units, site boundaries, landscape features, and other pertinent resource characteristics.

▪ **Architectural resources**
  - Official DHR inventory number (a temporary number will not be accepted in reports).
  - Property name (if known) and address.
  - Property type and brief description of property including outbuildings and other associated resources.
  - Date(s) of construction, if known (approximate if not known).
  - Photographs of all surveyed resources.
  - Site plan showing the relationship of the primary resource surveyed and *all* associated buildings, structures, objects, and important landscape features even if modern. The site plan for the Phase I survey does not need to be to scale, but each resource must be clearly marked.
  - Location of resource accurately mapped on a USGS quadrangle map (1:24,000 scale).
  - Potential effect (see the NHPA, 36 CFR 800.9, Criteria of Effect and Adverse Effect).
  - Recommendation of potential significance in relation to defined historic context(s).
  - Recommendations for further study, if any.

▪ **Cultural landscape resources**
  - Official DHR inventory number (a temporary number will not be accepted in reports).
  - Property name (if known) and address.
  - Property type and brief description of property including any associated resources.
  - Date(s) of construction, if known (approximate if not known), if a designed landscape (partial or entire).
  - Photographs of all surveyed resources.
  - Site plan showing the relationship of the primary resource surveyed and all associated buildings, structures, objects, sites, and landscape features, even if modern. The site plan for the Phase I survey does not need to be to scale, but each resource must be clearly marked.
  - Location of resource accurately mapped on a USGS quadrangle map (1:24,000 scale).
  - Potential effect (see the NHPA, 36 CFR 800.9, Criteria of Effect and Adverse Effect).
  - Recommendation of potential significance in relation to defined historic context(s).
  - Recommendations for further study, if any.

- **Evaluation (Phase II)**

  Evaluations must apply to the whole resource, not just the portion within the area of potential effect. In addition to an enhanced level of descriptive information, evaluations for archaeological, architectural, and cultural landscape resources must include the following items:

  - Narrative description and justification for the boundaries for the entire resource. If boundaries cannot be determined due to denial of access by a private property owner, document the circumstances in the report. The recommended boundaries shall also be shown on a USGS topographic quadrangle map.
  - A statement of significance which includes evaluation in relation to a defined historic context, reference to specific NRHP criteria, and periods and areas of significance.
  - A detailed discussion of resource integrity and how it relates to significance.
  - For architectural resources, interior photographs.
  - For archaeological resources, photographs of representative test unit/trench excavations, profile drawings, and artifact illustrations.
  - For cultural landscapes, photos of all surveyed resources and significant features.

- **Recommendations**

  - Identification (Phase I)

    Provide a summary discussion of survey findings, including a concise statement of potential NRHP and VLR eligibility, supplemented by a table listing:

    - State inventory number
    - Resource name, as appropriate
    - Property type
    - Potential significance
    - Potential effect
    - Management recommendation

Inv. #	Name	Type	Potential Signif.	Potential Effect	Recommend.
44PG0032	Lee Site	Village	Yes (D)	Direct	Evaluation
081-0102	The Oaks	Dom./Dwell	No	Visual	No Evaluation

  - Evaluation (Phase II)

    Provide a summary discussion of evaluative findings for each resource. Provide an explicit recommendation of NRHP and VLR eligibility or ineligibility supported by a brief justification of that recommendation.

    For each resource recommended as eligible, provide an assessment of effect (i.e. no effect, no adverse effect, or adverse effect). As appropriate, this assessment must specify those activities that will result in an effect on historic properties.

- **Bibliography**

  List all references and personal communications cited in the report. Adhere to the citation style guidelines of commonly used professional journals such as *American Antiquity* or the *Chicago Manual of Style*, and maintain consistency in following the selected style guide.

- **Appendices**

  - Inventory Forms – All resources identified during a survey must be recorded in DHR's Historic Resource Data Sharing System (DSS). The review of a survey report by DHR will be delayed until 1) all necessary forms and archival materials are submitted to and approved by DHR, and 2) the assigned inventory numbers are incorporated into the report. Questions regarding completion of survey forms are to be directed to the DHR DSS Manager at 804-482-6102.

  - Artifact Inventory – Provide an inventory of all recovered artifacts arranged by provenience and identified by standard nomenclature in the report. List large inventories in an appendix (a second volume if necessary), not imbedded in the text of the report where a summary description and analysis is more appropriate. Small inventories may be imbedded in a report provided that the flow of text is not interrupted and that all artifacts are listed by provenience.

  - Include the current vitae for the principal investigator and the principal author of the report, which can be prepared as a summary, but must have sufficient detail to allow independent verification of meeting the Secretary of the Interior's *Professional Qualifications Standards*.[68]

  - Include Virginia Antiquities Act permit application, permit, and relevant correspondence if the survey occurred on state-owned land, or Archeological Resources Protection Act (ARPA) permit information if the investigation occurred on federal property.

  - Include Burial Permit application, permit, and relevant correspondence if applicable.

- **General Format Requirements**

  - Each resource identified or evaluated must be depicted on a USGS 7.5 minute topographic quadrangle map (1:24,000 scale) in relation to the APE.

  - For all illustrations include a caption, a legend, a scale or indication that it is not to scale, a compass orientation (north arrow), and a source.

[68] NHPA 36 CFR 61.5.

- For photographs include a caption describing or indicating the view orientation.

- All illustrations must be legible. Field sketches typically are not appropriate illustrations unless they constitute part of the historic documentation of a resource.

- Reproducing historic documents and/or maps as illustrations is encouraged; however, they must be relevant to the APE and/or the resources being considered. The area of potential direct and indirect effects is to be depicted on the map(s) when possible.

- Photographic documentation must be contained within the text of the report or within the appendix. For photographic documentation of architectural resources at the identification level, include at least one elevation of each building identified and views of its associated resources (i.e. outbuildings, landscape features). Photographic documentation for individual architectural evaluations must include exterior views of accessible facades and interior views. If a private property owner denies access to the interior of a building, document this circumstance in the report. Photographs must also accompany architectural survey forms. Please see Chapter 5 of *DHR Guidelines* for guidance on architectural photography, and Chapter 8 for information about photographic documentation of cultural landscapes.

- Reports that are longer than twenty pages should be printed double-sided. Please number all pages, including illustrations and appendices. Do not use separate page numbering for individual sections.

- Two copies of all reports must be submitted to DHR. All reports must be printed on acid-free archival paper and bound using plastic comb bindings. Other types of binding such as velo, glued, and pressboard do not withstand repeated use in the DHR library. In addition, state law requires the use of pH-neutral paper in all documents that are considered permanent records of the history of the Commonwealth (*Code of Virginia* § 42.1-77). Submission of unbound reports may cause delays in review. Please contact DHR's Archives for additional information on appropriate materials

- A digital copy of all reports must be submitted along with the paper copy. Digital reports are to be submitted as a single file with all figures and appendices included. This document is to be in *Adobe* Portable Document Format (PDF).

- **Additional Guidance**

  - Advisory Council on Historic Preservation

    The National Historic Preservation Act of 1966, as Amended (36 CFR 800) (http://www.achp.gov/regs-rev04.pdf)

    Section 106 Regulations Users Guide (http://www.achp.gov/usersguide.html)

Section 106 Archaeology Guidance (http://www.achp.gov/archguide/)

- Department of the Interior - National Park Service

  Archeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines (48 FR 44716) (http://www.nps.gov/history/local-law/arch_stnds_0.htm)

  National Register of Historic Places (36 CFR Part 60) (http://www.nps.gov/history/nr/regulations.htm)

  National Register Bulletin 15: How *to Apply the National Register Criteria for Evaluation* (http://www.nps.gov/history/nr/publications/bulletins/nrb15/)

  National Register Bulletin 24: *Guidelines for Local Surveys: A Basis for Preservation Planning* (http://www.nps.gov/history/nr/publications/bulletins/nrb24/)

  National Register Bulletin 36: *Guidelines for Evaluating and Registering Archeological Properties* (http://www.nps.gov/history/nr/publications/bulletins/arch/)

  National Register Bulletin 40: *Guidelines for Identifying, Evaluating, and Registering America's Historic Battlefields*, by Patrick W. Andrus (U.S. Department of the Interior, National Park Service, 1992) (http://www.nps.gov/history/nr/publications/bulletins/nrb40/)

- Other

  Society for American Archaeology - Editorial Policy, Information for Authors, and Style Guide for *American Antiquity* and *Latin American Antiquity* (2003) (http://www.saa.org/Publications/StyleGuide/styleGuide.pdf)

  The Chicago Manual of Style (15th edition) (http://www.chicagomanualofstyle.org)

REFERENCES

Advisory Council on Historic Preservation
1990 *Consulting About Archeology Under Section 106*. U.S. Government Printing Office, Washington, D.C.

Advisory Council on Historic Preservation
1999 *Recommended Approach for Consultation on Recovery of Significant Information from Archeological Sites*. Available on the Internet at: http://www.achp.gov/archguide.html.

The Archeological Resources Protection Act of 1979 (ARPA)
1979 Available on the Internet at: http://www.nps.gov/archive/vick/laws/arpa.htm.

Andrus, Patrick W.
1992 National Register Bulletin 40: *Guidelines for Identifying, Evaluating, and Registering America's Historic Battlefields*. U.S. Department of the Interior, National Park Service, 1992. Available on the Internet at: http://www.nps.gov/history/nr/publications/bulletins.htm.

Birnbaum, Charles A., ASLA
1993 Preservation Brief 36: *Protecting Cultural Landscapes: Planning, Treatment, and Management of Historic Landscapes.* U.S. Department of the Interior, National Park Service, 1994. Available on the Internet at: http://www.nps.gov/history/nr/publications/bulletins.htm.

Blanton, Dennis B. and Donald W. Linebaugh
1994 *An Assessment of Virginia's Underwater Cultural Resources*. Virginia Department of Historic Resources Survey and Planning Report Series No. 3

Brown, Nancy, et al.
2001 "More than a Database: the National Park Service's Cultural Landscapes Inventory Improves Resource Stewardship." *Crossing Boundaries in Park Management: Proceedings of the 11th Conference on Research and Resource Management in Parks and on Public Lands*, edited by David Harmon. Hancock, MI: The George Wright Society.

Chartkoff, Joseph L.
1978 Transect Interval Sampling in Forests. *American Antiquity* 43:46-53.

Christensen, Alan Jay
2005 *Dictionary of Landscape Architecture and Construction*. McGraw-Hill.

Cheek, Richard, Rudy J. Favretti, and the Garden Club of Virginia
1993 *Gardens and Landscapes of Virginia*. Garden Club of Virginia.

Code of Virginia
Var. 10.1-1000-1008, 10.1-2214, 10-1-2302, 10.1-2305, 2.2-3705.7(10), and 28.2-1203. Available on the Internet at: http://leg1.state.va.us/000/src.htm.

Conner, Melissa and Douglas D. Scott
1978 Metal Detector Use in Archaeology: An Introduction. *Historical Archaeology* 32:76-85

Curl, James Stevens
2005 *A Dictionary of Architecture and Landscape Architecture*. Oxford University Press.

Espenshade, Christopher T., Robert L. Jolley, and James B. Legg
2002 Value and Treatment of Civil War Military Sites. *North American Archaeologist* 23:39-67.

Favretti, Rudy J.
1972 *Colonial Gardens.* Barre Publishers.

1991 *Landscapes and Gardens for Historic Buildings: A Handbook for Reproducing and Creating Authentic Landscape Settings.* AltaMira Press.

Geir, Clarence R., David G. Orr and Mathew Reeves
2006 *Huts and History: The Historical Archaeology of Military Encampment during the American Civil War*. University Press of Florida, Gainesville, Florida

Harris, Cyril M.
2002 *American Architecture: An Illustrated Encyclopedia.* W. W. Norton & Company.

2005 *Dictionary of Architecture and Construction.* McGraw-Hill.

1977 *Historic Architecture Sourcebook.* McGraw-Hill.

1983 *Illustrated Dictionary of Historic Architecture.* Dover Publications.

Heinemann, Ronald L, et al.
2007 *Old Dominion, New Commonwealth: A History of Virginia 1607-2007*. University of Virginia Press.

Keller, J. Timothy, ASLA, and Genevieve P. Keller
1995 National Register Bulletin 18: *How to Evaluate and Nominate Designed Historic Landscapes*. U.S. Department of the Interior, National Park Service. Available on the Internet at: http://www.nps.gov/history/nr/publications/bulletins.htm.

Knoerl, John, Diane Miller, and Rebecca H. Shrimpton
n.d. National Register Bulletin 29: *Guidelines for Restricting Information About Historic and Prehistoric Resources.* U.S. Department of the Interior, National Park Service. Available on the Internet at: http://www.nps.gov/history/nr/publications/bulletins.htm.

Leighton, Ann

1986 *American Gardens in the Eighteenth Century: "For Use or Delight"*. University of Massachusetts Press.

1987 *American Gardens of the Nineteenth Century: For Comfort and Affluence.* University of Massachusetts Press.

1986 *Early American Gardens: "For Meate or Medicine"*. University of Massachusetts Press.

Lounsbury, Carl, and Vanessa Elizabeth Patrick
1999 *An Illustrated Glossary of Early Southern Architecture and Landscape.* University Press of Virginia.

McAlester, Virginia and Lee
1998 *A Field Guide to American Houses.* Alfred A. Knopf, Inc.

McClelland, Linda Flint, J. Timothy Keller, ASLA, Genevieve P. Keller, and Robert Z. Melnick, ASLA
n.d. National Register Bulletin 30: *Guidelines for Evaluating and Documenting Rural Historic Landscapes*. U.S. Department of the Interior, National Park Service. Available on the Internet at: http://www.nps.gov/history/nr/publications/bulletins.htm.

Massey, James C., and Shirley Maxwell
1983 *The Illustrated Old House Glossary.* Historic House Association of America.

National Park Service
2006 *National Register of Historic Places and National Historic Landmarks Survey Photo Policy Expansion.* Available on the Internet at: http://www.nps.gov/history/nr/policyexpansion.htm#digital.

Phillips, Steven J.
1992 *Old House Dictionary: An Illustrated Guide to American Domestic Architecture 1600 to 1940.* The Preservation Press

Potter, Elizabeth Walton, and Beth M. Boland
1992 National Register Bulletin No. 41: *Guidelines for Evaluating and Registering Cemeteries and Burial Places*. U.S. Government Printing Office. Available on the Internet at: http://www.nps.gov/history/nr/publications/bulletins.htm.

Salmon, Emily J. and Edward D. C. Campbell, Jr.
1994 *The Hornbook of Virginia History: A Ready Reference Guide to the Old Dominion's People, Places, and Past*. The Library of Virginia.

U.S. Army Corps of Engineers
1899 Section 10 of the Rivers and Harbors Act of 1899 (33 U.S.C. § 403). Available on the Internet at http://www.usace.army.mil/cw/cecwo/reg/rhsec10.htm.

U.S. Department of the Interior, National Park Service
1983 Archeology and Historic Preservation: Secretary of the Interior's Standards and

Guidelines. *Federal Register* 48(190):44716-44742.

U.S. Environmental Protection Agency
1972 Section 404 of the Clean Water Act. Available on the Internet at: http://www.epa.gov/lawsregs/laws/cwa.html.

Virginia Department of Historic Resources
2007 *State Collections Management Standards*. On file at the Virginia Department of Historic Resources.

Winter, Susan E.
1994 "Civil War Fortifications and Campgrounds on Maryland Heights, the Citadel of Harpers Ferry." In *Look to the Earth: Historical Archaeology and the American Civil War*, edited by C. R. Geier and S. E. Winter, pp. 128–129. Knoxville, Tennessee.

1990 Curation of Federally Owned and Administered Archeological Collections; Final Rule. *Federal Register* 55 (177): 37616-37639.

1990 National Register Bulletin No. 29: *Guidelines for Restricting Information About Historic and Prehistoric Resources*. U.S. Government Printing Office.

1970 *Amateur's Guide to Terms Commonly Used in Describing Historic Buildings.* Compiled by the Landmark Society of Western New York. On file, Virginia Department of Historic Resources.

1966 *National Historic Preservation Act of 1966*, as amended. Available on the Internet at: http://www.achp.gov/nhpa.html.

APPENDICES

APPENDIX A

REGIONAL DIFFERENCES: GEOGRAPHY AND CULTURE

The major geographic regions of Virginia are often identified as the Tidewater, Piedmont, and Mountain and Valley regions. For the purposes of cultural resources studies and in particular, survey reports prepared according to DHR's requirements, these areas are further divided based on settlement patterns, historical development, and cultural distinctions in addition to geographic characteristics to define the regions of Northern Virginia, the Northern Coastal Plain, Southern Coastal Plain, Eastern Shore, Northern Piedmont, Southern Piedmont, Valley, and Southwest (see map, following page).   Following is a brief descriptive profile for each region. This information is provided as a basic introduction to each area, and a starting point for research to be conducted to develop regional contexts for cultural resources investigated for survey projects, to the level required by each specific project.

Northern Virginia

Northern Virginia is less a geographical region than a cultural one. It is roughly bounded on the east and north by the Potomac River, on the south by the upper Rappahannock River, and on the west by the Blue Ridge Mountains. Geographically, it is part of the Northern Coastal Plain. Its cultural orientation, however, is across the Potomac River toward Washington, D.C.

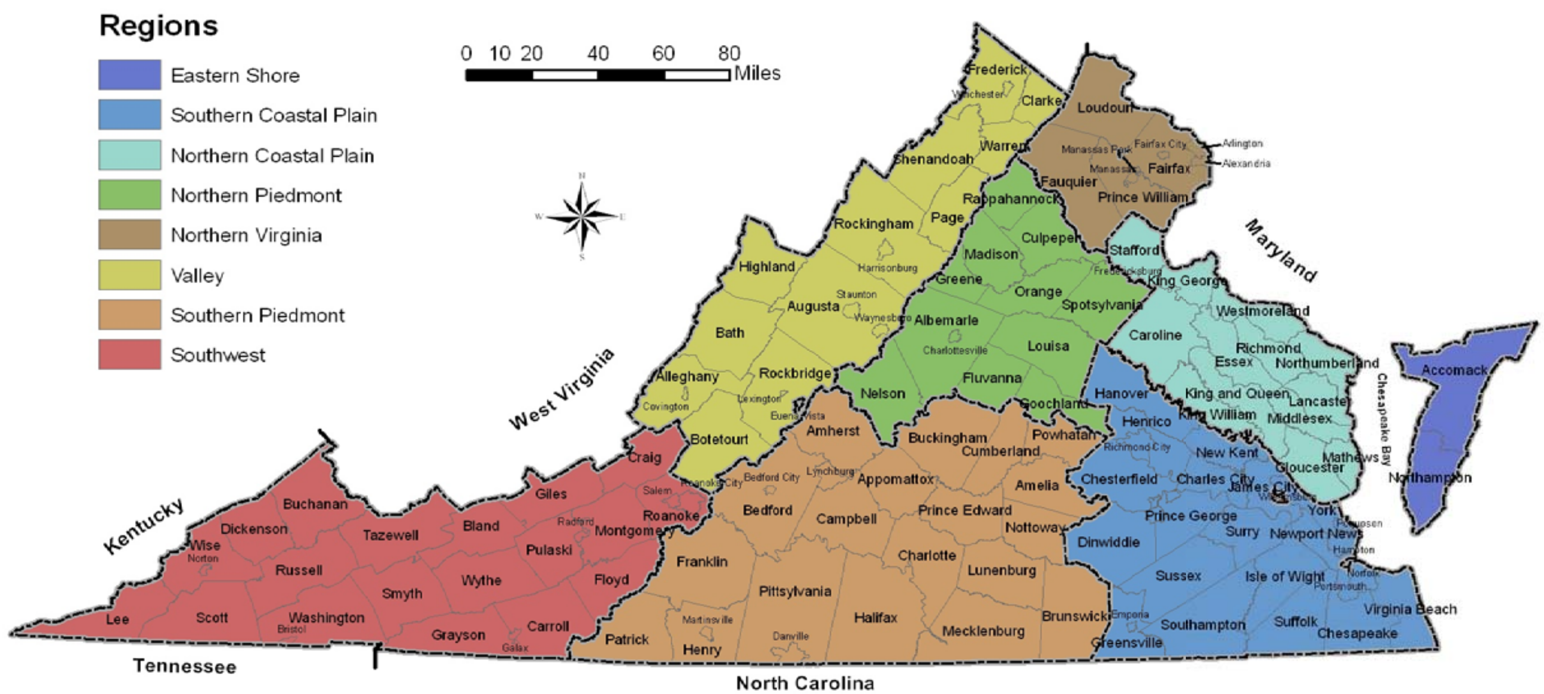
Historically, this region was part of the Northern Neck Proprietary, which King Charles II granted to seven of his supporters in 1649, and which Thomas Fairfax, sixth baron Fairfax of Cameron, owned after 1690. The 5.3 million-acre tract included that part of the Upper Tidewater region that lies between the Rappahannock and Potomac rivers. The settlement of the Proprietary generally progressed from the Tidewater to the Piedmont and eventually beyond the Blue Ridge Mountains.

The European settlers of the region followed the Tidewater example and established semi-autonomous plantations with a few courthouse villages among them rather than towns. An exception was the port town of Alexandria, which grew up around a tobacco warehouse and was established as a town in 1749. It remained a thriving port into the nineteenth century.

Culturally this region was historically an interesting blend of near-Tidewater on the east and near-Shenandoah Valley on the west. It is a transitional zone that has derived its cultural orientation from the Valley, from Maryland, and since the establishment of the nation's capital in 1791, from Washington, D.C. Indeed, the planners of the new capital annexed present-day Arlington County and part of the City of Alexandria in 1791; the federal government ceded these areas back to Virginia in 1846.

During the Civil War, military strategists considered Northern Virginia of primary importance because of its proximity to the national capital. Union forces occupied the region to safeguard the capital and Confederates marched through it to threaten the seat of government. The two sides fought several crucial battles in Northern Virginia, especially in Prince William County at

Virginia Department of Historic Resources Regional Boundaries and Differences: Geography and Culture



Data Sources: ESRI 2001, VDHR March 2009

Manassas. The several railroad lines and turnpikes that led from Washington to the Valley and other parts of Virginia underscored the region's strategic importance.

The region resumed its quiet rural ways after the war. By the second quarter of the twentieth century the enormous growth of government in Washington, which accelerated rapidly during the Great Depression and World War II and has continued ever since, prompted a corresponding development of the region. At first that development was confined to the localities adjacent to the District, and as a result the rural environments of Arlington, Fairfax, and much of Prince William counties disappeared. More highways and a passenger rail system allowed commuters to work in Northern Virginia or Washington, D.C., and reside in towns such as Leesburg and Warrenton. Routes 29 and 7 serve as development corridors that threaten not only the historic resources of the region, but the historic use of the land, as farmland is overtaken by housing developments. In the northern reaches of the region, western Loudoun County and much of Fauquier County have remained greenbelts dotted with country estates and horse farms. Now, however, the rural character and historic resources of these counties are threatened by the press of development accompanying the ever-increasing growth of the region’s transportation network anchored by major routes such as Interstates 66 and 95.

Northern and Southern Coastal Plains

The Tidewater region, consisting of the Northern and Southern Coastal Plains, makes up the greater part of the sandy coastal plain between the Atlantic Ocean and the fall line, the point at which the rivers of eastern Virginia cease to be navigable. This area also lies south of the Potomac River and extends southward to the North Carolina-Virginia line. It does not include the Eastern Shore which, while often regarded as part of Tidewater, is considered a separate region for the purposes of DHR’s guidance in defining survey regional areas.

The first European settlers in Virginia established their colony at Jamestown in 1607 then spread along the region’s many navigable rivers. From there the colonists moved westward throughout the seventeenth century. It was in this region that the colonists combined the culture of tobacco with slavery to create the Chesapeake society that dominated Virginia well into the eighteenth century. It was also here that the first institution of higher education in Virginia, the College of William and Mary, was established in 1693.

Geography influenced the development of the Chesapeake society. The colonists took advantage of the many slow-flowing, navigable rivers and streams in the region to establish individual farms and plantations that could be reached by ocean-going vessels. Because each plantation became in effect a nearly self-sufficient village, real towns were virtually nonexistent until the mid-eighteenth century. What few villages there were grew up around courthouses and crossroads stores. Even Williamsburg, the colony's capital after 1699, was a half-deserted town when the House of Burgesses was not in session.

As the eighteenth century progressed, however, several towns developed in this area as centers for trade with Europe and with the Indians. The seaport town of Norfolk, for example, grew in size and influence, as did Petersburg on the Appomattox River, Fredericksburg on the Rappahannock River, and slowly, Richmond on the James River. The rivers served as highways to the frontier for settlement and trade, while roads remained notoriously poor and rough. The region's geography and culture made it perhaps the most sophisticated part of the colony in the eighteenth century.

Here were born Washington, Madison, and Monroe who lived as youths in the midst of great plantations and commercial villages such as Fredericksburg, Urbanna, Port Royal, and Tappahannock along the rivers. Their early exposure to wealth and commerce may have broadened their world views relative to their counterparts in the more distant reaches of the colony.

During the American Revolution and the Civil War this region of Virginia became a center of military activity. Effectively the end of the Revolutionary War came at Yorktown in 1781, while battles had occurred up and down the Peninsula between the York River and the James River, from Hampton to Richmond. During the Civil War the Peninsula Campaign of 1862 brought the armies of North and South from Fort Monroe to the eastern defenses of Richmond. During the American Revolution, the capital of Virginia moved from Williamsburg to Richmond, which also served as the capital of the Confederacy during the Civil War.

The Southern Coastal Plain has remained the most heavily settled part of the state, although since World War II the Northern Virginia region has grown significantly in size and influence. The Newport News-Hampton-Norfolk-Portsmouth area continues to be the primary seaport zone of Virginia, with much of its economic prosperity dependent upon the presence of the United States Navy and the Newport News Shipbuilding and Dry Dock Company. Even with all the adjacent development, however, the interior of the region remains agriculture-based, with peanuts and hogs the dominant farm products.

The general cultural orientation of inhabitants of the Northern Neck and Middle peninsulas of the Northern Coastal Plain has been toward the Chesapeake Bay. They too developed a tobacco-based plantation society along the rivers and streams that feed into the bay. With so many water routes available, from an early period the settlers of the region traded with Maryland and eastern Pennsylvania. This cultural orientation has contributed to the northern portion of the area's relative isolation from the rest of the state, as has its small population, few towns, few heavily traveled roads, and few railroads. Although the northern rivers of the Northern Coastal Plain still flow to the bay, the day of their use as a means of transportation and commerce, which contributed materially to the growth of Fredericksburg and a few other towns along the Rappahannock River, is past. During the Civil War the northern area of the Northern Coastal Plain, except for the Fredericksburg vicinity, remained relatively unscathed by the conflict. After the war the eastern section of the region bordering the bay experienced renewed prosperity as the nation’s demand for seafood increased.

The seafood industry of the Northern Coastal Plain survives to the present day and is centered on crabs, oysters, and scallops. The sea life in the bay is today gravely threatened, however, by the pollution resulting from development as well as chemicals used in farming. The western part of the region, on the other hand, is increasingly pressured by development along the Interstate 95 corridor.

Much of the Southern Coastal Plain below the Appomattox River is defined geographically by its river systems, which drain into the North Carolina sounds rather than into the Chesapeake Bay. Geographically as well as culturally it is similar to the Northern Coastal Plain, except that its society has had a greater degree of social and economic interaction with the inhabitants of North Carolina than did the people of the Northern Coastal Plain.

Agriculture has long held an important place in this region, and the plantation system, along with smaller farms, were employed in the production of crops. By the late eighteenth century, farms had been developed in many areas of the region by wealthy Tidewater planters, setting up far-flung plantations to take advantage of rich farming opportunities. Farming was early on dominated by tobacco growing. In the nineteenth century, cultivation of peanuts came into prominence in the southern portion of the region, which has sandier soil than the northern part of the area. After the Civil War, as in other parts of Virginia, most large farms were broken into smaller tracts and the sharecropping system was heavily utilized. Mixed livestock and crop production from historic times well into the twentieth century included raising hogs and growing corn and wheat. In more recent times, cotton has become a more prominent crop.

Timbering, which in the colonial period included extraction of cedar from the Dismal Swamp, gained in importance in the early to mid-twentieth century, and continues to be a significant part of the area's economy. The growth of the timbering industry depended in large part on the construction of rail lines in the region. Since early settlement times the southern portion of the Southern Coastal Plain region has had close interaction with the farms, communities, and people of North Carolina, which is also reflected in architectural building traditions. In the twentieth century, the region has experienced extensive population growth around the capital city, in the eastern portion edging Hampton Roads, and in Suffolk, which along with Virginia Beach, in the 1960s annexed land from counties they once bordered (Suffolk annexed Nansemond County and Virginia Beach annexed Princess Anne County).

Eastern Shore

The Eastern Shore is part of the Delmarva Peninsula of the Atlantic Coastal Plain. It is bounded by the Chesapeake Bay to the west and the Atlantic Ocean to the east. The lowland region's deep, sandy soils have favored the cultivation of crops such as corn, tobacco, soybeans, and berries. Its natural situation between the bay and the ocean has supported the growth of the area's important seafood industry. Small towns dot the Eastern Shore, which is also defined by farms with predominately level terrain, and marked by examples of a distinctive house type with a telescoping form that had emerged by the nineteenth century.

Historically the Eastern Shore has often stood apart from the inner Virginia mainland. In the Revolutionary War era, many Eastern Shore residents along with those living across the Chesapeake Bay in Norfolk and Portsmouth remained steadfast loyalists, in many cases following financial interests as merchants and even as smugglers; enemy privateers also roamed the waters around the Eastern Shore. Politically, in the early nineteenth century, the region tended to side with the Northern Neck, the Northern Piedmont, the Valley, and northwestern Virginia against the republican centrists of Tidewater and Southside, as the former areas were made up of more diverse groups where slavery and the plantation culture was somewhat less entrenched. The Eastern Shore stayed under Union control during much of the Civil War, when late in the war the "restored" legislature under Governor Francis Pierpont abolished slavery on the Eastern Shore and Norfolk, and areas around Washington, D.C. under Union control.[69]

The economic and political evolution of the region closely followed the pattern of development in the Northern Coastal Plain. However, in cultural terms, the Eastern Shore is in many ways associated more closely with coastal Maryland than with the rest of Virginia. Land transportation linkages allowed the conveyance of goods and agricultural produce from the Eastern Shore's communities to Maryland and points further north, and included the important role of truck farming in the area's twentieth-century economy. During the prohibition era, this

[69] Ronald L. Heinemann, et al., *Old Dominion, New Commonwealth: A History of Virginia 1607-2007* (Charlottesville and London: University of Virginia Press, 2007), p. 129, 163, 225.

route was also used as part of a smuggling network for transporting bootleg liquor into the state.[70] The construction of the Chesapeake Bay Bridge-Tunnel in 1964, connecting the mainland and the Eastern Shore, marked the symbolic end of the region's separation from the urbanizing influences of the Norfolk-Virginia Beach metropolitan area, and increasingly the Eastern Shore is a tourist and recreational destination.

Northern Piedmont

Piedmont Virginia encompasses the area of rolling hills between the fall line and the Blue Ridge Mountains. The Northern Piedmont generally lies north of the James River and south of the Rappahannock River.

European settlement of the Piedmont, especially the Northern Piedmont, began in earnest in the late seventeenth century. By the end of the first half of the eighteenth century several new counties had been formed in the region. As in Tidewater Virginia, from which most of the settlers emigrated, tobacco soon dominated the regional plantation society. By and large the new settlers endeavored to replicate the society they had known; their success is evident in the material culture, such as the dwellings, they left behind.

In the early nineteenth century the Piedmont replaced the Tidewater as the state's tobacco belt. Although the country is well watered, few of the rivers are navigable without improvements such as dredging or canal construction. The region became a major focus of the state's internal infrastructure improvement programs, and prospered as canals, turnpikes, and railroads were built.

Several of the small courthouse villages in the Northern Piedmont grew into towns during the antebellum period because of transportation improvements, and entire villages grew up at rail junctions. The relative decline of the Tidewater region and the rise of the Piedmont region on an economic and agricultural level was mirrored in the establishment and growth of the University of Virginia at Charlottesville.

During the Civil War the Northern Piedmont was fought over by both the North and South as they struggled to control lines of supply and communication. For several winters the armies camped in the area, particularly in Orange and Culpeper counties. Many of the major engagements of the war, such as the Battles of Chancellorsville and the Wilderness, were fought in this region.

Southern Piedmont

The Southern Piedmont region is comprised primarily of the area south of the James River and north of the Virginia-North Carolina line. It lies between the fall line and the Blue Ridge Mountains.

The Southern Piedmont remained a frontier longer than the Northern Piedmont. By the early eighteenth century Europeans were trickling into the area, but the colonial government restricted settlement because the region was close to Native American villages that periodically waged attacks to the north and south. As the threat of warfare diminished, the government allowed access to the region. Settlement occurred in two great waves--in the 1740s and early 1750s, then again in the mid-1760s--interrupted by the French and Indian War, when the

---

[70] Heinemann, et.al, p. 304.

pioneers abandoned much of the area.

Relatively few settlers came from Virginia's Tidewater region to this area. Most instead emigrated from the Northern Piedmont region. Significant numbers of Germans and Scots-Irish settled in the western part of the region, as these ethnic groups emigrated southward from Pennsylvania towards the Carolinas and many opted to stay in this region.

As a result of these early settlement patterns, the region contains an interesting mix of cultural as well as geographical diversity. The eastern part of the region resembles the Tidewater more closely than it does the Piedmont, while the western portion has much in common with the Valley and Southwest Virginia. Both the eastern and central sections are tobacco-growing areas, while the western part possesses more general diversified farms and dairy farms.

The largest and most important town in the region is Danville, which dates its prosperity to the expansion of the tobacco and textile industries. Today, because of shifting economic conditions, including transportation improvements and the long-distance movement of goods, the rise of imported textiles, and decline of tobacco production, the economic roles of these industries have diminished.

The region has never relied totally on agriculture and does not do so today. Significant industries have included, at one time or another, iron manufacturing (in Franklin County); furniture manufacturing (in Henry County); and mineral mining (in Pittsylvania County).

In recent years the area has been the subject of two important changes. Industrial development has occurred at an increasing rate around courthouse towns such as Rocky Mount and Martinsville, as well as older cities like Danville. Recently the region has experienced significant growth around Smith Mountain Lake (in Bedford and Franklin counties) as that area becomes the major recreation and retirement center of the region. As development occurs and the population increases, the region is likely to experience the same pressures for additional services and better transportation routes as other regions, resulting in detrimental impacts upon historic resources and the rural landscape.

Valley

The Valley region of Virginia lies between the Blue Ridge Mountains to the east and the West Virginia-Virginia line to the west and north and extends to Botetourt and Alleghany counties to the south. The western counties of Alleghany, Bath, and Highland, generally known as the Virginia Highlands, are also included in this region. The Valley is actually a series of river valleys separated by ridges of various heights. The lower, or northern, half of the Valley is called the Shenandoah Valley, defined by the Shenandoah River which flows from south to north through the Valley.

During the Paleozoic Period the Valley region was a seabed. The same tectonic activities that formed the Blue Ridge caused the uplifting, faulting, and folding of the bed into the series of valleys and steep ridges that are present today. The general direction of the Valley is from northeast to southwest; gaps in the Blue Ridge Mountains allowed passes that provided access to the Valley from the Piedmont.

The cultural history of the Valley, perhaps more than any other region of Virginia, has been influenced by its geography. Native Americans used it as a major trade route between present-day Georgia and New York. With the Blue Ridge Mountains and the range's gaps serving both as a barrier and filter to migration from eastern Virginia, and with the topography of the Valley trending into the heart of Pennsylvania, most of the early European settlers came into the region from the colony to the north. These pioneers tended to be German and Scots-Irish rather than of English stock because those nationalities emigrated from the Old World to the New about 1700 or later, after the English colonists had occupied much of the best farmland in the Pennsylvania low country. Moving westward, the mountain barriers of Pennsylvania funneled them into the Valley. By the mid-eighteenth century, the Valley and its Great Wagon Road formed the primary migration and transportation route between Pennsylvania and the backcountry of the Carolinas.

Many German and Scots-Irish immigrants settled in the Valley because of the rich farmlands they found there. They used native limestone to construct their houses and farm buildings; the built environment they created is as distinctive a visual component of the Valley as is its geography. By the early nineteenth century, the Valley had become the principal grain-producing region of Virginia. Such internal improvement projects as the Valley Turnpike, which was constructed along the route of the earlier Wagon Road, provided improved transportation between farm and market town, thereby increasing the prosperity of the region.

The richness of its soil and its geography conspired to make the Valley a place of great strategic importance during the Civil War. After the Confederate army commanded by Major General Thomas J. ("Stonewall") Jackson cleared the Valley of Union forces during his Shenandoah Valley Campaign of 1862, the Confederates had a clear passage to Washington and the North behind the concealing wall of the Blue Ridge. In 1864, however, the Union army under Major General Philip H. Sheridan recaptured the Valley, defeating a greatly outnumbered Confederate army led by Major General Jubal A. Early at the Battle of Cedar Creek. Sheridan's scorched earth policy devastated the "Breadbasket of the Confederacy," and gave the Union army access to the rear of Lee's army through the gaps in the Blue Ridge.

The Valley experienced a rapid recovery after the Civil War, due in part to the richness of its soil and in part to the renewed exploitation of its mineral wealth. During the antebellum period the region had a thriving charcoal iron industry, and afterward ironmasters constructed new furnaces. The industry eventually declined because even the new works could not compete with the muscular northern industry that the war had created.

By the early twentieth century the Valley had settled back into a predominantly rural existence. In recent years, however, the growth of Northern Virginia and the Washington, D.C., area and the construction of Interstates 81 and 66, have spurred development in the lower Valley. The metamorphosis of that part of the region into a bedroom suburb of Northern Virginia and the nation's capital constitutes the single greatest threat to its historic resources.

Southwest Virginia

Southwest Virginia extends from Roanoke and Craig counties to Cumberland Gap and contains mountains, valleys, ridges, and plateaus. It is bounded on the east by the Blue Ridge Mountains and on the south by the Virginia-North Carolina line. Although there was some European settlement in the area during the colonial period, it was more commonly used as a migratory route: the Wilderness Road led from the upper Valley to Cumberland Gap and Kentucky through the region.

Culturally, Southwest Virginia has much in common with eastern Tennessee and Kentucky, and some aspects of the region's economy and culture are more akin to these areas than to the Tidewater and Piedmont regions of Virginia. This is particularly true of the area's southwesternmost part, where the scarcity of farmland and the economic dominance of the timber and coal industries have produced a cultural environment unique in the state. Company towns inhabited by coal miners are sprinkled through a country where tiny farmsteads are tucked away in mountain hollows.

Historically, Southwest Virginia at times took a radical political position in periods of unrest. During the Revolutionary War, William Campbell, for whom Campbell County is named, led fellow Southwest Virginia colonists from Abingdon on a long march to victory against the British at King's Mountain in 1780. The sentiments leading to this conflict were largely an expression of the Scots-Irish background of many of the Southwest's settlers. During the Civil War, the Southwest strongly supported secession, siding with Piedmont and Tidewater planters, setting themselves apart from many residents in the Valley and northwest Virginia who didn't share these sentiments.

The limited economic resources of the region have contributed to the dramatic alteration of the landscape since the nineteenth century. Farming on steep slopes, the occasional clear-cutting of timber, and intensive strip mining have all resulted in impacts on the landscape including erosion and clogging waterways. The other industries of the region, such as the textile and garment mills of Galax and Hillsville, have had less serious effects on the environment.

The Southwest region is anchored at each end by two large cities: Roanoke to the north and Bristol to the south. Roanoke is the rail center of the area and serves as the gateway to the Valley and the rest of the state, while Bristol is on the threshold of eastern Tennessee and western North Carolina, abutting the city of Bristol, Tennessee. Roanoke, formerly called Big Lick, owed its rapid growth in the late nineteenth century to the Norfolk and Western and Shenandoah Valley railroads' selection of the community for new machine shops to build freight cars and locomotives. With the coming of rail travel to the region, some communities in the Southwest, such as Wytheville, promoted themselves as vacation destinations, but the area's strength continued to be based in industry and coal mining.

Except for the relatively slow growth of cities including Bristol, Roanoke, Wytheville, and Marion in the last decades of the twentieth century, there are relatively few development threats to the region's historic resources. Instead, loss through neglect due to the low level of economic prosperity is more likely. [71]

[71] Heinemann, et.al, p. 221, 262, 264, 357.

APPENDIX B

TIME PERIODS IN VIRGINIA HISTORY AND PREHISTORY

Because the study of Virginia's diverse cultural regions reveals patterns of historical development that are unique to each region, chronological frameworks for historic contexts can vary considerably from region to region and even from county to county. Based on survey and planning work completed in Virginia, the following sequence of time periods has been broadly defined as a basis for understanding prehistoric and historic cultural developments.

Prehistoric Native American Settlement

Archaeologists have divided prehistoric Native American settlement in Virginia into three general periods. They include the Paleo-Indian period from ca. 9500-10,000 B.C. to 8000 B.C., the Archaic period from ca. 8000 B.C. to 1000 B.C., and the Woodland period from ca. 1000 B.C. to 1600 A.D. The Archaic and Woodland eras can be further sub-divided into early, middle, and late periods.

Representing the initial occupation of Virginia by Native Americans, Paleo-Indian lifeways were characterized by nomadic bands displaying a heavy emphasis on hunting supplemented by general foraging. Climatic conditions substantially cooler than those associated with subsequent periods greatly influenced Paleo-Indian adaptations. While Paleo-Indians are known to have lived in all regions of Virginia, well preserved archaeological sites dating to this time period are extremely rare. This is a result of both the great age of such sites (being more than ten thousand years old) and very low population density likely characteristic of Virginia during this initial period of settlement. In spite of such rarity, two complexes of Paleo-Indian sites, Flint Run and neighboring sites in Warren County and Williamson and neighboring sites in Dinwiddie County, have proven to be nationally significant for archaeological studies on early man in the New World. Recent archaeological discoveries at the Cactus Hill site in Sussex County indicate that Native Americans may have been in Virginia as early as 15,000 -16,000 years ago. While such early settlement has not yet been identified at other Paleo-Indian sites, this possibility is to be considered for any discussion of the Paleo-Indian period.

During the seven thousand years encompassing the Archaic period, Native American populations greatly increased, adapting to the many differing and changing environmental zones found in Virginia. While still dependent on wild plants and animals to meet subsistence needs, there also is evidence of increasing sedentism as estuarine and floodplain locales are more intensively utilized. Archaeological sites are substantially more common than for the earlier Paleo-Indian period, representing a complex mosaic of settlement types across Virginia over this long period of time. While such changes are not unique to Virginia, the effects of environmental diversity on hunting and gathering adaptations as well as the causes of the rise of sedentism are, nevertheless, areas of national significance in archaeological research.

Early Archaic Period (8000 B.C. – 6500 B.C.)

Middle Archaic Period (6500 B.C. - 3000 B.C.)

Late Archaic Period (3000 B.C. - 1200 B.C.)

During the Woodland period, substantial changes occur in the lifeways of Native Americans in

Virginia. Populations continue to rise, being associated with increased sedentism. By ca. 1000 A.D., agriculture is supplementing subsistence needs formerly met solely by wild plants and animals. Settlements become larger with semi-sedentary villages encompassing as many as a hundred or more people now appearing throughout Virginia. As populations increase, new means of organizing societies are required. Thus, tribes appeared in portions of Virginia replacing bands. While similar to bands found in earlier periods in that leadership was typically based on ability, nevertheless, tribes involved a larger number of kinship groups with new means developed to better unite these groups. This was followed in restricted areas by chiefdoms where economic, socio-political, and religious offices were coordinated through a central authority based on formal rules of inheritance. Such a centralization of inherited authority appears to be closely related to continued population increases. Most noted is the Powhatan chiefdom, which by the beginning of the seventeenth century A.D. had a population of probably over 13,000 persons and encompassed most of the Coastal Plain. Other chiefdoms likely occurred in southwest Virginia and possibly other areas of the Commonwealth. Archaeological research on chiefdoms has proven to be of national significance for studies on cultural evolution.

Early Woodland (1200 B.C. - 300 A.D.)

Middle Woodland (300-1000 A.D.)

Late Woodland (1000 -1606 A.D.)

Settlement to Society (1607-1750)

- **Contact Period**

By the early seventeenth century A.D., following the establishment at Jamestown of the first permanent English settlement in America in 1607, the character of the Virginia landscape began to change dramatically as the result of European habitation. Over the next four centuries, this change is associated with events often of national significance across Virginia, clearly manifested in surviving archaeological, historical, and architectural resources in the Commonwealth.

Virginia's role as England's first permanent settlement in the New World is well known. Enduring hardships and hostile elements beyond the imagination of modern Virginians, a small group of settlers laid the foundations of a new civilization in Virginia's Tidewater. Closely intertwined with the growth and expansion of the English in Virginia were interactions with indigenous Native Americans, contacts that were to eventually destroy traditional life ways that had slowly evolved over some ten thousand years of Native American settlement here; the rest are now a scattering of archaeological sites as is the case for contemporaneous Native American communities so adversely affected by contact with English society.

During the contact period a small band of European adventurers laid the foundations of a new civilization in Virginia's Tidewater. As in any frontier society, most settlers lived simply, and little visible evidence of their first century of occupation remains. Their original rough wooden houses, often constructed on posts driven directly into the ground, have not survived. Only a few exceptionally well-built structures from this period such as Bacon's Castle in Surry County and St. Luke's Church in Isle of Wight County stand today.

- **Rise of the plantation system and the institution of slavery**

Both the plantation system and the institution of slavery that sustained it evolved from rudimentary beginnings in the early seventeenth century. The first blacks who came to Virginia by 1619 most likely were not slaves but indentured servants. The concept of slavery took hold gradually in English America during the course of the century. Tobacco cultivation and processing required great amounts of labor, which at first was available as economic conditions in England prompted emigration to the New World. As the century wore on, however, conditions in the mother country improved somewhat and this factor, coupled with the availability of cheap land in Virginia, meant that Englishmen were less available or inclined to work for another. As the flow of indentured servants slowed, the number of blacks stolen or purchased from their captors in Africa increased. Indians were also used as slaves early on, but this practice proved unsuccessful. Economic forces, cultural differences, and racism combined to encourage the replacement of temporary servitude with permanent slavery. By the end of the century the institution was well established.

Although the cultivation of tobacco was a complex process, using it to achieve economic success relied on a simple formula: a large tract of land planted in tobacco and cultivated with a large labor force resulted in more money for the planter than a small amount of land and a small labor force. The byproduct of this formula was the plantation system, which evolved in Tidewater Virginia in the seventeenth and eighteenth centuries. Large plantations, with docks for ocean-going vessels, dotted the shores of the many navigable rivers and creeks that fed into the Chesapeake Bay. A few towns emerged to serve courthouse complexes and tobacco warehouses, but by and large each plantation was a nearly autonomous entity.

The resulting economic ascendancy of Virginia in the early and mid-eighteenth century is illustrated most conspicuously by its great colonial plantations and by the far larger number of more modest houses as well as surviving examples of colonial churches and courthouses. Most people, of course, lived far more plainly and in more perishable dwellings than the wealthy large landholders. The surviving large mansions and their associated dependencies, outbuildings, and gardens, situated along the great tidal rivers, represent some of the nation's finest achievements in colonial design and craftsmanship. Being in the forefront of the development of the American southern plantation system, Virginia's surviving resources of this period possess outstanding archaeological, historical, and architectural value.

Simultaneously with the evolution of the plantation system during the seventeenth century, the colonists developed other institutions that supported the society they had created. These included the ecclesiastical structure of the established church and a system of self-government that included the House of Burgesses and local courts that exercised executive as well as judicial powers.

- **Pioneer Era of Western Virginia**

Beginning in the seventeenth century and continuing through the eighteenth century, Virginia played a leading role in early English efforts to extend the frontier westward into the interior of North America. This process involved the emigration of settlers from the Tidewater into the Piedmont and beyond, trickling into the Valley regions. Though smaller in scale than Virginia's large coastal plantations, the frontier farms and their associated historic resources document a significant and crucial phase of Virginia’s history.

Just as the first settlers at Jamestown brought with them the culture and institutions of England, the pioneers of the Piedmont expansion sought to transplant the basic units of government, society, and economy that had evolved in Tidewater. Those institutions included representative government in the House of Burgesses, a county court system that possessed executive as well as judicial powers, an established religion with an ecclesiastical structure epitomized by churches and glebe houses, and small commercial enterprises represented by stores, workshops, tobacco warehouses, and the shops of tradesmen.

As the English settlers and their institutions moved progressively westward from the Tidewater through the Piedmont and into the Valley, they encountered substantial numbers of German and Scots-Irish pioneers. These settlers had moved into the Valley and backcountry of the Piedmont mostly from Pennsylvania, and had brought with them non-English services of worship and non-Tidewater forms of domestic and farm architecture and agricultural practices.

Most of Virginia's German settlers had established farms and villages in the Shenandoah Valley by the mid-eighteenth century. Unlike the English and Scots-Irish settlers, who preferred brick and wood frame for their buildings, the Germans made extensive use of stone and log construction and continued to use room arrangements employed by their Continental forebears. Evidence of German influence survives especially in the central Shenandoah Valley in Augusta, Page, Rockingham, and Shenandoah counties, and in Wythe County in Southwest Virginia.

Colony to Nation (1751-1789)

This period saw the emergence of Virginia's planter-statesmen as founders of the Commonwealth and of the United States, as the American colonies struggled through the Revolutionary War years and created a new nation. The diversity of cultures in the Virginia colony, as well as the colonists' experience with self-government, eventually resulted in a parting of the ways with the mother country. The American Revolution, as John Adams later wrote, occurred in the hearts and minds of the people long before the first shot was fired.

Virginians played essential roles in both the political and military phases of the Revolutionary War, including the struggle for nationhood that followed the conflict. Many of the nation's founding fathers called Virginia home: George Washington, Thomas Jefferson, Patrick Henry, the Lee brothers—Richard Henry and Francis Lightfoot, James Madison, George Mason, Carter Braxton, George Wythe, and Benjamin Harrison. Fortunately, the homes of nearly all of Virginia's leading Revolutionary figures remain standing. Many of these houses are impressive works of architecture in their own right, and have additional significance as the personal habitations of the men who forged a new nation. Perhaps the most momentous of Virginia's Revolutionary War-era settings is the Yorktown Battlefield, where American victory over British rule was achieved. Offshore from the battlefield lies the scuttled fleet of British ships, a unique concentration of maritime archaeological sites.

Early National Period (1790-1829)

The end of the eighteenth century saw Virginia changing from a colonial society almost exclusively agrarian, containing counties with only very small villages or none at all, to a new state gradually beginning to accommodate urban centers. Once direct British restraints on trade were removed, not fully realized until the War of 1812, river ports located along the fall line (Alexandria, Fredericksburg, and Petersburg, for example) became thriving commercial centers with impressive concentrations of domestic and commercial structures. This period also saw the development of numerous towns and villages in the Piedmont and in western Virginia, particularly along the migration route extending south and west through the Valley. The Piedmont centers of Charlottesville, Warrenton, and Leesburg, and western communities such as Winchester, Staunton, Lexington, and Abingdon, all began as county seats that prospered in this period. This era also saw the emergence of the large, Classical Revival-style county courthouse as the central architectural feature of the Piedmont region's rural county seats.

For most of Virginia's rural areas, the period that succeeded the Revolution is sometimes called the "Great Rebuilding." Many one- or two-room colonial dwellings on small farms, once commonplace, were either replaced or expanded as living standards improved. The I-house became a prevailing domestic type in the Piedmont and the Valley during this period. At the same time, the post-Revolutionary War migration of members of wealthy Tidewater families to lands they owned farther west resulted in the transplantation of the Tidewater-style plantation house to parts of the north and west. Meanwhile, the disestablishment of the Anglican church coincided with the rise of other religious denominations and the construction of new churches in cities, towns, and the countryside.

Thomas Jefferson's influence on Virginia's architecture during this period, manifested especially with the designing and building of the Virginia State Capitol, Monticello, and the University of Virginia, synthesized a diversity of Classical Revival architectural design traditions and concepts to create a building style suitable for a young, essentially agrarian republic. Jefferson's architectural legacy is of national significance and he is often noted as one of the founders of American architecture.

Antebellum Period (1830-1860)

During this period the state's internal improvement system, which first received public funding in 1816, hit full stride. The Virginia Board of Public Works cooperated with private joint stock companies to construct a transportation network of canals, turnpikes, and railroads, while improving navigable rivers to provide farmers and merchants better access to markets. Despite such setbacks as the Panic of 1837, the construction campaign succeeded in opening the West and Southwest to settlement and in creating a new prosperity in areas where the improved transportation links were located. During this period for the first time roads and railroads began to challenge the dominance of waterways as the principal means of transportation.

Several of Virginia's towns emerged as urban and commercial centers in this era, including Richmond, Norfolk, Alexandria, and Petersburg. Manufacturing activities, diffused in pockets throughout the countryside during the colonial period, became concentrated in towns and cities. Richmond, for example, became a center of ironmaking and milling.

Slavery as an institution reached its peak during this period. It was, in fact, the growing controversy over slavery that dominated the minds and emotions of Virginians and characterized the era. In 1831, Nat Turner's Rebellion in Southampton County realized slave owners' worst fears and resulted in the passage of harsh laws by the General Assembly regarding slaves and free blacks, in the suppression of public debate over the abolition of slavery, and in a general hardening of southern public opinion in favor of retaining the institution. The Civil War that concluded this period was the violent climax of emotions aroused by the slavery question and states' rights.

Civil War (1861-1865)

Much of the Civil War was fought on Virginia soil and throughout the Commonwealth survive battlefields, fortifications, earthworks, military headquarters, shipwreck sites, and other places that figured in the events of the bloody conflict. Richmond, as the former capital of the Confederate States, contains the official residence of President Jefferson Davis as well as a variety of other surviving buildings and sites identified with the Confederate government. Among Virginia's main Civil War battlefields, Manassas, Fredericksburg, Spotsylvania Court House, the Wilderness, Petersburg, Richmond, and Appomattox, along with associated cultural landscapes, buildings, structures, and archaeological sites, are preserved by the National Park Service as outstanding, if poignant, historic resources and reminders of the national struggle. While many examples remain preserved through private and local governmental efforts, many other Civil War-era resources have no protection at all and are routinely lost, with acreage consumed almost daily as Virginia continues to experience increasing development. Conversely, these resources continue to hold an unparalleled fascination with which Virginians, and indeed most Americans, regard the Civil War era.

Reconstruction and Growth (1866-1916)

Following the economic deprivation of the war years, the defeat of the South at the end of the Civil War led to further financial hardship, and in Virginia, the southern state most devastated by the war, a long period of rebuilding lay ahead. During Reconstruction, major changes occurred in Virginia, the effects of which greatly influenced the state well into the twentieth century. During this period, the foundations were laid for modern America to move away from a heavily agrarian-based economy to emerge as an industrialized and urban nation.
.
The expansion of Virginia's cities as commercial and industrial centers continued after the war as the state struggled to emerge from the ruins of the Confederacy. The late nineteenth century in particular became a time of enormous growth as Virginians found new wealth in the mining of coal and mineral resources, the exploitation of forest products, tobacco manufacturing, and the expansion of railroad and shipping lines.

Most of this prosperity was realized by white Virginians, not by most of the state’s black residents. Although freedmen benefited from the brief period of military Reconstruction at the end of the war, when education, suffrage, and land ownership became available to blacks at last, their new-found freedom was quickly circumscribed by a new phenomenon—institutionalized racism. The white-dominated political and economic power structure ensured that black laborers were paid less than whites, that black schools received less funding than white schools, that black access to public facilities remained inferior to that of whites, and that blacks (with the adoption of the 1902 Constitution) lost the franchise.

Blacks responded to racial segregation by creating their own institutions. During this period African Americans established independent black churches, corporations, and educational institutions, as well as fraternal and social self-help organizations. Despite this, however, lack of equal access to public institutions and programs, which had become cemented in Virginia’s social and political structure, resulted in a lower degree of economic and political advancement for most blacks.

World War I to World War II (1917-1945)

During this period, country residents migrated to cities in large numbers, as America became a truly urban nation and the number of viable operating farms began to decline. Many independent small farmers and sharecroppers from the rural South moved to the North’s industrialized cities for better job opportunities and, for blacks, the hope of greater social equality as well. The decline in agricultural employment was accelerated by changes in farming, including the increasing use of more effective fertilizers and mechanization, resulting in a reduction in labor required for crop production.

Blacks who followed jobs to the cities were often confronted with housing restrictions in particular sections of the cities. In Richmond, for example, this led in part to the strengthening of the Jackson Ward neighborhood as the cultural and economic center of urban African-American society in the capital city. Throughout this period, black leaders in Virginia pushed for equality in various fields, occasionally hearing the call for equality echoed by whites such as Virginius Dabney, editor of the Richmond Times-Dispatch. At the end of this era, with social change wrought by World War II including the return of black veterans from a segregated military, the push for equality gained greater strength and urgency. The early twentieth century also saw the struggle for female suffrage, sometimes (and not always positively) intermixed with the fight for racial equality. While women gained the right to vote at the federal level in 1920, and internationally in 1948 when voting rights for women were introduced into international law with the adoption of the Universal Declaration of Human Rights by the United Nations, Virginia didn't ratify the nineteenth amendment until 1952.

As the country urbanized and its population experienced dramatic growth, two events occurred that transformed the roles and power of the national and state governments: the Great Depression and World War II. The existing political and financial structure was inadequate to deal with the negative economic consequences of the Great Depression, so the size and scope of government programs expanded to treat them. Likewise, the logistical and organizational problems presented by the war resulted in an increase in the number and size of government agencies to overcome them. The Virginia scene changed dramatically with the rapid growth of a federal presence during this period, to meet the country's military mission in particular, and housing developments sprang up especially in Northern Virginia and Tidewater to house military personnel, war effort workers, and federal employees. State government grew similarly during this time.

These changes had several effects upon the landscape of Virginia and upon its historic resources. During the Depression, the federal government sponsored public works programs that improved highways and constructed public buildings, bridges, and parks throughout the state. These programs also served to halt the decline of the state's population. Synthetic textile industries were established in many areas of the state. The war brought thousands of servicemen and servicewomen to the Virginia suburbs of Washington, D.C. and to the Norfolk area, many of whom remained in Virginia after the war.

Traditionally a largely rural state with a generally poor network of roads, Virginia joined the national movement in standardizing auto-related transportation networks during this period. While streetcars contributed to the growth of suburbs, better roads and faster travel increased Virginia's role as a national tourist destination, with Colonial Williamsburg, founded in the 1920s and developed in the 1930s with reconstruction and restoration of buildings in the colonial town, becoming a major attraction.

The New Dominion (1946 to the present)

Since World War II, the growth of government and related businesses in Washington, D.C., and in Richmond, has affected the adjacent counties as farmland has been lost in favor of housing and service facilities. A related phenomenon--the transportation route as development corridor--has occurred in the last half of the twentieth century. Although in previous periods some towns and villages were created or grew along the routes of internal improvements, such development remained fairly localized. More recently, however, not only have large communities sprung into being near highways such as Interstate 95, but a correspondingly elaborate system of support facilities has been established with them, including schools, shopping centers, office parks, airports, and additional roads. These transportation and support facilities presently exert the most dramatic pressures on historic resources and the natural environment in Virginia.

Such changes have been more a consequence than a cause of Virginia's exploding population growth since 1945. By 1955, Virginia had more urban residents than rural dwellers, and since that time the state has ranked fourteenth in population among the states. By 1990, most Virginians, like most Americans, lived in suburbs defining the space between urban centers and rural regions.
.
Major themes define the Commonwealth's recent history, including the end of segregation and the victory of the Civil Rights movement; the demise of the Byrd political machine, and the rise of a state two-party political system; the increasing complexity of federal, state, and local government relations in social programs such as health, education, housing, community development, and welfare, and recognition of the challenge presented by promoting both economic development and environmental protection. These developments indicate that Virginia has entered a pivotal period of transformation, while continuing to build upon the Commonwealth's rich history, manifested by Virginia's many significant historic resources.

APPENDIX C

THEMATIC CONTEXTS AND ASSOCIATED PROPERTY TYPES

Domestic Theme

This theme relates broadly to the human need for shelter, a home place, and community dwellings. Domestic property types include single dwellings such as a rowhouse, mansion, residence, rockshelter, farmstead, or cave; multiple dwellings, such as a duplex or apartment building; secondary domestic structures such as a dairy, smokehouse, storage pit, storage shed, kitchen, garage, or other dependency; hotels such as an inn, hotel, motel, or way station; institutional housing such as a military quarter, staff housing, poorhouse, or orphanage; camps such as a hunting campsite, fishing camp, forestry camp, seasonal residence, or temporary habitation site; and village sites.

Subsistence/Agriculture Theme

This theme most broadly seeks explanations of the different strategies that cultures develop to procure, process, and store food. Beyond the basic studies of site function based on the analysis of a site location, the tool types from the site, and the food remains recovered, this theme also explores the reconstruction of past habitats from the perspective of their potential for human exploitation, energy flow studies on the procurement and processing of food, and the evolution of particular subsistence strategies over time within and between neighboring regions. Agriculture specifically refers to the process and technology of cultivating soil, producing crops, and raising livestock and plants. Property types for the subsistence/agriculture theme include resources related to food production such as prehistoric villages, small family farmsteads, large plantations with representative or important collections of farm and outbuildings, and other agricultural complexes such as agri-businesses; sites or properties associated with processing such as a meat or fruit packing plant, cannery, smokehouse, brewery, winery, or food processing site; storage facilities such as a granary, silo, wine cellar, storage site, or tobacco warehouse; agricultural fields such as a pasture, vineyard, orchard, wheatfield, complex of crop marks or stone alignments, terrace, or hedgerow; animal facilities such as a hunting and kill site, stockyard, barn, chicken coop, hunting corral, hunting run, or apiary; fishing facilities or sites such as a fish hatchery or fishing ground; horticultural facilities such as a greenhouse, plant observatory, or garden; agricultural outbuildings such as a barn, chicken house, corncrib, smokehouse, or tool shed; and irrigation facilities such as an irrigation system, canal, stone alignment, headgate, or check dam.

Government/Law/Political Theme

This theme focuses on activities related to politics and government and to the enactment and administration of laws by which a nation, state, or other political jurisdiction is governed. It embraces governmental systems, political activities, legal systems, important political/governmental events in history, and political leaders. This theme also explores the inter-relationships of contemporaneous cultures and group interactions within cultures from their political aspect. Anthropological research questions, most often concerning Native American life, tend to focus on the nature of the different levels of socio-political organization, kinship systems that contribute to social integration, and mechanisms of cultural interactions between societies. Property types representing this theme include public administrative and service buildings such as the State Capitol and the Executive Mansion as well as a town/city hall, federal, state, or county courthouse, prison, jail, fire/police department or station, post office, or customhouse; public works projects and other types of government buildings; and sites of important governmental events or places associated with governmental leaders. Examples of prehistoric sites frequently related to this theme include both camps and villages.

Health Care/Medicine Theme

This theme refers to the care of the sick, elderly, and the disabled, and the promotion of health and hygiene. Property types associated with this theme include hospitals such as a veterans medical center, mental hospital, asylum, private or public hospital, or medical research facility; clinics such as a dispensary or doctor's office; sanitariums such as a nursing home, rest home, or other sanitarium; medical businesses/offices such as a pharmacy, medical supply store, or doctor or dentist office; and resorts such as a bath, spa, or other resort facility.

Education Theme

This theme relates to the process of conveying or acquiring knowledge or skills through systematic instruction, training, or study, whether through public or private efforts. Property types include schools such as a field school, academy, one-room, two-room, or consolidated school, secondary school, grammar school, or trade or technical school; colleges such as a university, college, community college, or junior college; libraries; research facilities such as a laboratory, observatory, or planetarium; and other education-related resources such as a college dormitory or housing at a boarding school.

Military/Defense Theme

This theme relates to the system of defending the territory and sovereignty of a people and encompasses all military activities, battles, strategic locations, and events important in military history. It includes property types related to arms production and storage such as a magazine, gun manufactory, or armory; fortifications such as a fortified military or naval post, palisaded village, fortified knoll or mountain top, battery, or bunker; military facilities such as a military post, supply depot, garrison fort, barrack, or military camp; battle sites such as a battlefield; coast guard facilities such as a lighthouse, coast guard station, pier, dock, or life-saving station; naval facilities such as a submarine, aircraft carrier, battleship, or naval base; and air facilities such as an aircraft, air base, or missile launching site.

Religion Theme

This theme concerns the organized system of beliefs, practices, and traditions regarding the spiritual life of various cultures and the material manifestation of spiritual beliefs. For studies of Native American life, research questions also focus on the identification and evaluation of forms of religious leadership and how they vary over time and between societies. This theme also encompasses the study and understanding of places of worship, religious training, and education, and administration of religious facilities. Property types include various places of worship such as a church, temple, synagogue, cathedral, meetinghouse, or mound; ceremonial sites such as a petroglyph or pictograph site, cave, shrine, or pilgrimage route; church schools such as a religious academy, school, or seminary; and church-related residences such as a parsonage, manse, monastery, hermitage, nunnery, convent, or rectory.

Social Theme

This theme relates to social activities and institutions, the activities of charitable, fraternal, or other community organizations and places associated with broad social movements. Property types include meeting halls such as a grange, union, Masonic, or temperance hall, and the halls of other fraternal, patriotic, or political organizations; community centers; clubhouses such as the facilities of a literary, social, or garden club; and civic facilities such as a civic or community center.

Recreation/Arts Theme

This theme relates to the arts and cultural activities and institutions associated with leisure time and recreation. It encompasses the activities related to the popular and the academic arts including the fine arts and the performing arts (painting, sculpture, dance, drama, music), literature, recreational gatherings, entertainment and leisure activity, and broad cultural movements. Property types include cinemas, movie palaces, theaters, playhouses; auditoriums such as a hall, lyceum, or other auditorium; museums such as an art museum, art gallery, or exhibition hall; music facilities such as a concert hall, opera house, bandstand, or dancehall; sports facilities such as a gymnasium, swimming pool, tennis court, playing field, or stadium; outdoor recreation facilities such as a park, campground, picnic area, biking trail, fair, amusement park, or county or state fairground; monuments/markers such as a commemorative marker or monument; various works of art such as a sculpture, carving, statue, mural, or rock art; and places associated with writers, artists, and performers. Landscaped gardens, parks, and cemeteries are listed under the Architecture/Landscape Architecture/Community Planning Theme.

Transportation/Communication Theme

This theme relates to the process and technology of conveying passengers, materials, and information. Studies focus on transportation and communication networks involving roads, water, canals, railroads, and air as well as on the various structures, vehicles, equipment, and technology associated with each mode. Property types may be generally classified as either rail-related, air-related, water-related, road-related, or pedestrian-related. Examples include railroads, stations, depots, engine houses, and trains; airports, airplanes, landing fields, and space vehicles; and research facilities associated with transportation systems; boats and other watercraft, piers, and wharves, ferries, lighthouses; canals and associated structures, locks, boats; roads and turnpikes, tollhouses, automobiles and other vehicles such as streetcars; and boardwalks, walkways, and trails.

Commerce/Trade Theme

This theme relates to the process of trading goods, services, and commodities. Property types include businesses, professional, organizational, and financial institutions, and specialty stores; and department stores, restaurants, warehouses, and trade sites. Specific properties related to the theme include office buildings, trading posts, stores, warehouses, market buildings, arcades, shopping centers, offices, office blocks, and banks.

Industry/Processing/Extraction Theme

This theme explores the technology and process of managing materials, labor, and equipment to produce goods and services. Included in this theme are activities related to the extraction, production, and processing of materials such as quarrying, mining, manufacturing, lumbering, technology, electronics, pottery, textiles, food processing, distilling, fuel, building materials, tools, transportation, seafood, and many other industries. Property types include quarries, mills (grist, carding, textile, planing, and woodworking), factories, distilleries, shipyards, mines, forges and furnaces, kilns, laboratories, power plants, dams, tanneries, village shops, and other small crafts and industrial sites.

Landscape Theme

This theme explores the historic, cultural, scenic, visual, and design qualities of cultural landscapes, emphasizing the reciprocal relationships affecting the natural and the human-built environment. Investigations include studies into spatial organizational patterns, land use, response to natural features, circulation networks, boundaries, vegetation, cluster arrangement of buildings, fences, and paths, structures, and small-scale landscape elements. Associated property types include not only deliberately designed or maintained landscapes such as parking lots, parks, plazas, gardens, street furniture, and objects, conservation areas, and rural historic districts but also unoccupied land, underwater sites, and natural features such as a mountain, valley, promontory, tree, river, island, pond, or lake.

Funerary Theme

This theme concerns the investigation of grave sites for demographic data to study population composition, health, and mortality within prehistoric and historic societies. Property types include cemeteries such as a burying ground, burial site, or ossuary; graves and burials such as a burial cache, burial mound, or grave; and mortuaries such as a mortuary site, funeral home, cremation area, or crematorium.

Ethnicity/Immigration Theme

This theme explores the material manifestations of ethnic diversity and the movement and interaction of people of different ethnic heritages through time and space in Virginia. While all property types may be associated with this theme, properties that exemplify the ethos of immigrant or ethnic groups, the distinctive cultural traditions of peoples that have been transplanted to Virginia, or the dominant aspirations of an ethnic group are of particular interest. Also related to this theme are properties associated with persons of distinctive ethnic heritage who made a significant contribution to our history and culture in any field of human endeavor.

Settlement Patterns Theme

Studies related to this theme involve the analysis of different strategies available for the utilization of an area in response to subsistence, demographic, socio-political, and religious aspects of a cultural system. Evaluations can take place on two different levels: (1) utilization of space within a settlement and (2) local/regional distribution of settlements as a result of environmental adaptations. This theme is also concerned with the investigation of unknown or little known regions as well as the establishment and earliest development of new settlements or communities. While these studies primarily explore the subsistence-induced aspects of settlement patterns, studies of house types, village and town plans, and regional distributions are also combined with an analysis of the social, political, and economic aspects of settlement. Property types reflect the entire range of buildings, structures, districts, objects, sites, and landscapes.

Architecture/Landscape Architecture/Community Planning Theme

This theme explores the design values and practical arts of planning, designing, arranging, constructing, and developing buildings, structures, landscapes, towns, and cities for human use and enjoyment. Property types include impermanent structures, rural vernacular buildings and structures, urban vernacular buildings and structures, great architectural landmarks, buildings exemplary of national styles, parks, gardens, and landscaped cemeteries, town and village plans, urban design and planned communities, and company towns.

Technology/Engineering Theme

While the technological aspects of a culture form the primary basis of interpretation of all themes, this theme relates primarily to the utilization of and evolutionary changes in material culture as a society adapts to its physical, biological, and cultural environments. Research questions here range from artifact studies on the identification of changing tool types, their various functions, and how they were manufactured to more general issues related to the organization of labor and presence/absence of craft or occupational specialization. All site types may contribute to the understanding of this theme. This theme also involves the practical application of scientific principles to design, construct, and operate equipment, machinery, and structures to serve human needs. Property types include wood, metal, and concrete bridges, highways, dams, canals, railroads, air-transport, and other transportation-related works, and various industrial structures, engines, and machinery.

APPENDIX D

HOW TO RESEARCH YOUR HISTORIC VIRGINIA PROPERTY

John S. Salmon
Staff Historian

Updated in 2004 by
Jean O. McRae, Register Specialist

Department of Historic Resources
2801 Kensington Avenue
Richmond, VA 23221
804-367-2323

INTRODUCTION

Owners of old Virginia houses and commercial buildings, and historians of churches and schools, often want to learn more about the history of the property but are not sure how to go about it. Some are content to satisfy their curiosity, while others hope to get the property listed in the Virginia Landmarks Register (VLR) and the National Register of Historic Places (NRHP). The National Park Service publication titled *National Register Bulletin 39: Researching a Historic Property* is an excellent general guide to some basic sources and techniques of research. The purpose of *How to Research Your Historic Virginia Property* is to introduce you to some of the useful sources available for learning about the history of a Virginia property, whether or not you intend to nominate it for the registers.

Since its inception in 1966, the Department of Historic Resources (DHR) has been compiling information about the old and historic buildings of Virginia. If you own a house or commercial building that was constructed fifty or more years ago, DHR may have records concerning it. For more information, contact the Department of Historic Resources at (804) 367-2323.

If you would like to learn more about the register programs, please ask for DHR's free booklet, *Virginia's Historical Registers: A Guide for Property Owners*. This publication explains how the programs got started, the criteria for eligibility, and the procedures for listing qualifying properties.

THINKING ABOUT THE PAST

The questions one can ask about the history of a house, commercial structure, church, or school building seem endless. This publication will help you find the answers by directing you to the most likely sources. It may be helpful to organize your thoughts about the past before looking for the answers. Here are some typical questions asked about these buildings, their owners, and their histories.

About the building: When was it constructed and for whom? Was it built in stages, or all at the same time? What was on the site before it was built? What is its architectural style, and what period of construction might the style suggest? Who was the architect or contractor? What changes have occurred to the building since it was first constructed? What other buildings have stood there?

About its owners: Who has owned it since it was built? What was interesting or significant about his or her life and career? If the building was owned by a congregation or organization, who were the members?

About its history: What happened here? What led up to each event? What were its consequences? How does the history of this property relate to larger events or historical trends?

You may not be able to answer all these questions, but books and records exist to help you answer many of them. This guidebook will describe the general sources that provide the answers. Along the way, you will encounter historians, archivists, and librarians who will help you. If your search becomes more specialized—if you want to learn about a particular Civil War battle that happened nearby, for instance—they can guide you to the specific sources that have the answers.

As you begin your research, think broadly, not narrowly. Your property has been part of a neighborhood or community for a long time. Some things about its surroundings have changed (neighbors, nearby buildings) while others have remained constant (rivers and creeks, land forms, area landmarks). You will learn much more about your building and its many owners and occupants if you keep the bigger picture in mind and gather information about the surrounding area as well.

Generate a list of names and subjects as you proceed to use for key word searches on computer databases, the Internet, and in book indexes. Add to and subtract from this list as you continue with your research areas.

HELP AT THE LIBRARY

Before plunging into archival records and manuscripts, look first at books. Many historical societies have published books on old buildings in particular counties and cities. Local histories may mention the owners of your property or historical events that took place there. Books on architectural styles can help you estimate your building's date of construction and many books have been published on historic decoration and furnishings. DHR has many such books in its reference library, and they may be studied there during business hours (8:30 AM - 4:45 PM, Tuesday-Friday). The Library of Virginia (800 East Broad Street, Richmond, VA; 9:00 AM - 5 PM, Monday-Saturday) and local libraries may have copies available for loan.

ANSWERING THE QUESTIONS

This section repeats the basic research questions asked earlier. Each question is followed by a list of sources in which you might find the answers. The sources most likely to provide the answers are listed first. In the next section, entitled "The Sources," each type of record is listed in alphabetical order and discussed in detail. Remember that you usually do not need to look at every source in order to find the answer to a question. You may come up with additional questions in the course of your research, however, that will prompt you to consult some of the other sources on the list. One of the first things to do is place your property in the context of its surroundings. Look at a detailed map of your area. Is there a watercourse or named natural feature, such as a hill, near your property? Is there a well-known landmark, such as an old church or plantation, nearby? Is your property located on an old road or street? The more you know about your neighboring landmarks—both natural and manmade—the easier it will be for you to keep track of your property through time.

Also, inquire early at DHR to learn whether a survey file exists for your house or commercial building. The file may not answer every question, but it can help you get started down the right research track.

When trying to establish a building's date of construction or original owner, work from the known to the unknown, from the present to the past. Use local histories and the land tax books to trace the property back to the first owner. Use the deeds and other records noted below to verify and supplement what the land tax books tell you. Sometimes, even after copious research, the date of construction cannot be determined from documents. This is especially true of colonial building and in localities where the records are incomplete. In such instances you may need to consult an architectural historian, who may supply an approximate date based on a knowledge of construction techniques, nails, saw marks, and so forth.

THE HOUSE OR COMMERCIAL BUILDING:
When was it built, and for whom?

- Architectural Survey Files
- Land Tax Books
- Tax Assessor's Office (for urban properties)
- Building Permits and Blueprints (for urban properties)
- Mutual Assurance Society of Virginia Insurance Policies
- Personal Papers
- Student Papers
- Family Histories
- Business Records
- Church Records
- Maps; Plats; Atlases; Aerial Photographs
- City Directories
- Deeds
- Wills, Inventories, and Estate Divisions
- Patents and Grants
- Newspapers
- Works Progress Administration Virginia Historical Inventory Project
- Cultural Resource Management (CRM) Reports

What was on the site before the building was constructed?

- Architectural Survey Files
- Local and State Histories
- Land Tax Books
- Mutual Assurance Society of Virginia Insurance Policies
- Personal Papers
- Business Records
- Maps; Plats; Atlases; Aerial Photographs
- City Directories
- Historical Photographs and Illustrations
- Census Records
- Newspapers
- CRM Reports

What is the architectural style of the building; what period of construction does it suggest?

- Architectural Survey Files
- Architectural Style Books
- Student Papers
- Theme Files
- CRM Reports

Who was the architect or contractor?

- Architectural Survey Files

- Biographical Dictionaries
- Business Records
- *The Manufacturers Record*

What changes have occurred to the building since it was first constructed, and what other buildings have stood there?

- Architectural Survey Files
- Land Taxes
- Mutual Assurance Society of Virginia Insurance Policies
- Historical Photographs and Illustrations
- Personal Papers
- Student Papers
- Business Records
- Maps; Plats; Atlases; Aerial Photographs
- City Directories
- Deeds
- Newspapers
- Wills, Inventories, and Estate Divisions
- Personal Property Tax Books
- CRM Reports

THE OWNERS:
Who has owned or occupied the building since it was constructed?

- Architectural Survey Files
- Land Taxes
- Deeds
- Wills, Inventories, and Estate Divisions
- Mutual Assurance Society of Virginia Insurance Policies
- Maps; Plates; Atlases
- Census Records
- City Directories
- Family Histories
- Biographical Dictionaries
- Business Records
- Church Records
- Personal Papers
- Vital Statistics Records
- Personal Property Tax Books

What is interesting or significant about the owner's life and career?

- Architectural Survey Files
- Biographical Dictionaries
- Student Papers
- Professional Directories
- Local and State Histories
- Family Histories
- S. Bassett French Collection

- Theme Files
- Newspapers

THE HISTORY:
What happened here?
- Architectural Survey Files
- Local and State Histories
- Newspapers
- Personal Papers
- Student Papers
- CRM Reports

THE SOURCES

The records listed under each question in the foregoing section are arranged here in alphabetical order and discussed in some detail. Some records may be available in more than one location or repository; in such cases suggestions are made as to the best place to look.

The name of the repository (each located in the city of Richmond) is abbreviated: DHR (Department of Historic Resources); LVA (Library of Virginia; formerly the Virginia State Library and Archives); VHS (Virginia Historical Society); VM (Valentine Museum: Richmond History Center); VDOT (Virginia Department of Transportation. The next section, titled "The Repositories," presents information about each repository (address, telephone number, hours of operation, and so forth).

AERIAL PHOTOGRAPHS
Locations: DHR, VDOT offices, USDA web site.

Aerial photographs can provide documented history information as to the progression of a site on which a resource is located. They can show how the area developed over the years in photography. DHR has a small collection of aerial photographs, but also has the ability to use the GIS system to look at current aerial photography in house. The Virginia Department of Transportation has a collection of aerial photographs they have taken over the years at their downtown Richmond location. Also current aerial photographs may be ordered at www.apfo.usda.gov/. The Farm Service Agency is another source of aerial photographs. Each county should have its own office. County office divisions such as environmental planning or county mapping may also be good locations to check for aerial photographs.

ARCHITECTURAL STYLE BOOKS
Locations: DHR; LVA; VHS; other libraries; bookstores.

Several guides to American architectural styles have been published. Some are designed for the mass market, while others are aimed at scholars and architectural historians, who often debate stylistic classifications and technical terminology. A good compromise for the homeowner/researcher is Virginia and Lee McAlester, *A Field Guide to American Houses* (New York: Alfred A. Knopf, 1984). The book has a bibliography in the back that lists other sources in the field, including some regional and local guides. For a guide to commercial

and other buildings as well as dwellings, *see* John C. Poppeliers, S. Allen Chambers, Jr., and Nancy B. Schwartz, *What Style is It?* (Washington, D.C.: Preservation Press, 1983). VHS has a notable and rare collection of pattern books. These are the guides to architectural styles and design details used by architects and builders ranging from Thomas Jefferson to local contractors.
DHR has a small research library containing many of the most popular pattern books.

ARCHITECTURAL SURVEY FILES
Locations: DHR, local historical societies, local governments.

Since its creation in 1966, DHR has conducted a statewide survey of historic buildings, urban and rural districts, and archaeological sites. Often working with local governments and private organizations, DHR assembles historical, architectural, landscape, and archaeological information, photographs, drawings, and maps for each property surveyed, and the resulting data are added to the DHR archives. If your building has been surveyed, information about it will be in a file at DHR. Also, if your property already is listed in the National Register of Historic Places, a copy of the nomination will be in the files. An individual property may also be located within a surveyed district in which case there would be basic information on the individual property as well as detailed information on the area around it.

BIOGRAPHICAL DICTIONARIES
Locations: LVA; other libraries.

For men and women of national significance, the standard reference source for many years has been Allan Johnson and Dumas Malone, eds., *Dictionary of American Biography* (New York: Charles Scribner's Sons, 1928-1937). Supplements have brought the biographical sketches up to 1980.

Several other biographical dictionaries have been issued, of varying degrees of completeness and accuracy. Perhaps the best-known reliable source is the *Who's Who in America* series, now divided into national regions and, like the *DAB*, available in most libraries. Many libraries also have volumes of *Who was Who* and regional and ethnic biographical directories.

The Publications and Public Affairs Division of the Library of Virginia is preparing a monumental biographical project, the *Dictionary of Virginia Biography*. It will be "a multivolume reference work containing biographies of all Virginians, regardless of place of birth or death, who were significant in the history or culture of their locality, state, and nation, including Kentucky prior to 1792 and West Virginia prior to 1863." The *Dictionary* subjects will go well beyond the obvious categories of politicians and soldiers to include "all Virginians who were notable in local, state, national, or international history—be they farmers, entertainers, artists, scientists, physicians, lawyers, journalists, diplomats, athletes, aviators, musicians, craftsmen, clergy, pioneers, criminals, or poets." The three volumes published so far (2006) contain biographies ranging from Aaroe to Daniels.

The state archives at the Library of Virginia holds a collection of biographical data that is available on microfilm to researchers. It was compiled by S. Bassett French (1820-1898), a Virginia government official whose avocation was assembling biographical sketches of notable citizens of the nineteenth century. Many of the subjects of this collection are now forgotten figures and biographical data concerning them is hard to come by elsewhere.

It is more difficult to obtain information about architects. The vast majority of Virginia buildings were not individually architect-designed. Most were constructed by local builders and contractors whose names are lost to history. Even when a building is so elaborate or unusual or reminiscent of an architect's known work that a historian would believe that it *must* be architect-designed, often the architect cannot be identified. Many architectural records have come and gone along with the architects.

Most buildings in America have been constructed from stock plans. Until the late nineteenth century, these plans either came from pattern books published by architects or from the minds of the builders who based them on other structures they had seen or built. Houses individually designed by architects for specific clients were largely the province of the wealthy, not the middle class.

Because architect-designed buildings are relatively rare, architectural historians have been careful to record them. The architectural survey files at the Department of Historic Resources are a rich source of information. Architect-designed buildings are often noted, or at least attributed, in local histories, guides to old houses, and other publications. Information about the architects themselves, their lives and works, is often difficult to come by. One resource is the American Institute of Architects Library and Archives, 1735 New York Ave., NW, Washington, DC 20006-5292; telephone 202-626-7492. The AIA charges for research services, so call or write first.

Fortunately, enterprising architectural historians have combed through newspapers, building permit files, and other records to compile and publish lists of architects and some of their identifiable works. For many years the standard authority on the subject was Henry F. Withey and Elsie B. Withey, *Biographical Dictionary of American Architects (Deceased)* (Los Angeles: Hennessey and Ingalls, 1970). However, a book by John E. Wells and Robert E. Dalton, *The Virginia Architects, 1820-1955: A Biographical Dictionary* (Richmond: The New South Architectural Press, 1997) presents more data than did the Witheys concerning Virginia architects.

BUSINESS RECORDS

Locations: LVA; VM; VHS. Usually in manuscript form, sometimes microfilmed. May contain letters, letter books, ledgers, etc.

One expects to find businesses functioning in the commercial centers of towns and cities, but in rural areas many businesses were conducted in or near one's home. Farmers sometimes owned blacksmith shops or general stores, and the records of these businesses often can tell you something about the people who operated them. Likewise, they can reveal what people were buying, how they furnished and decorated their houses, and how they lived in general.

The Library of Virginia has a large collection of business records, and one series is of particular interest to researchers of houses. It is the papers and photographs of George B. Lorraine, a real estate agent in Richmond and Northumberland County, ca. 1930-1970. He specialized in eastern Virginia houses, especially farms and large estates. For descriptions of this and other business records, *see* Conley L. Edwards III, Gwendolyn D. Clark, and Jennifer D. McDaid, comps., *A Guide to Business Records in the Virginia State Library and Archives* (Richmond: Virginia State Library and Archives, 1994).

If your structure was built between 1882 and 1932—particularly if it is stylistically noteworthy and you suspect it was designed by an architect but you do not know his name—consult the *Manufacturers Record*, which is available at the Library of Virginia. This weekly business magazine listed construction projects all over the South, including private dwellings, industrial structures, and small businesses as well as public buildings such as courthouses, and gave the names of the architects and contractors.

Other business publications worth consulting, if they exist for your area, are the promotional brochures produced in the late nineteenth and early twentieth centuries by chambers of commerce and railroad companies. They often contain illustrations and descriptions of the homes of prominent citizens, locally important businesses, and tourist attractions.

CENSUS RECORDS
Location: LVA.

The United States has taken a census of its inhabitants every ten years beginning in 1790. Unfortunately, the censuses of 1790, 1800, and 1890 were destroyed by fire; part of the 1810 census also was lost. A microfilm copy of each surviving Virginia census from 1810 to 1920 is at the LVA. In addition, certain special schedules also are available. They include Agriculture, 1850, 1860, 1870, and 1880; Industry, 1820, 1850, 1860, 1870, and 1880; Slaves, 1850 and 1860; and Social Statistics, 1850, 1860, and 1870.

The census of inhabitants did not include the name and age of every person in a family until 1850. Earlier censuses only give the name of the head of the household and the numbers of other household members grouped by age and sex. Beginning with the 1850 census, occupations and literacy are also noted.

The Agriculture schedules tell which crops and livestock were raised; the value of the farm and its equipment; and the number of improved and unimproved acres. A comparison of the various years available yields a fascinating picture of changes in farming.

The Industry schedules list the different kinds of industries active in each locality, including mills, quarries, factories, mines, ironworks, etc. Data includes raw materials consumed, quantities of products manufactured, and the numbers of employees and their wages.

The Slave schedules, unfortunately, do not give the names of the slaves, only their sex and age. They are grouped in each locality under the name of the slave owner.

The Social Statistics schedules list, for each locality, the numbers of schools (with race and numbers of students for each), numbers of churches (with their seating capacities), and denominations by name.

CHURCH RECORDS
Locations: LVA; VHS; individual churches; institutional church repositories.

Church records may contain lists of births, baptisms, marriages, and deaths. They may consist of vestry or session minutes. They may mention the construction or repair of a church building. In other words, their contents may be personal or institutional. They may be kept at individual churches, or in the collections of a church historical society. One of the largest collections of church records (many on microfilm or in other copy formats) is found at the Library of Virginia. *See* Jewell T. Clark and Elizabeth Terry Long, comps., *A Guide to Church Records in the Archives Branch, Virginia State Library and Archives* (Richmond: Virginia State Library and Archives, 1988). The Virginia Historical Society also has original and microfilmed church records.

CITY AND BUSINESS DIRECTORIES

Locations: LVA; VHS; VM; other libraries.

In the mid-nineteenth century, urban centers began to publish directories of inhabitants and businesses. Later in the century, regional directories appeared that generally included a city and surrounding counties at a minimum. The directories are arranged like telephone books, except that they give names, occupations, and street addresses. After 1880, they include a section arranged by street address, so you do not have to know the name of the occupant to locate a property. Most directories also have separate lists of businesses, craftsmen, and tradesmen. They are excellent guides to the occupations and businesses of Virginians during the last century or more and include extensive local advertising.

Examples of directories include: *Elliott & Nye's Virginia Directory, and Business Register for 1852*; *Randall's Business Directory of Winchester, Berryville, and Front Royal, Virginia* (1892/93); *Virginia Business Directory and Gazetteer* (1878-1917); *Virginia State Business Directory* (1871/72); and many others.

DEEDS

Best location: LVA to approximately 1865, local courthouses thereafter. For urban properties, start at the Tax Assessor's Office for the most current information and work backwards from there, such as parcel number and deed numbers.
Second best locations: local courthouses and clerks' offices.

Deeds are the records of the transfer of lands and buildings, or personal property, from a seller to a buyer. A deed contains the names of the parties involved, their places of residence, the purchase price, a description of the property (with metes and bounds in the case of land), and legal language ensuring the "quiet and peaceable" possession of the property by the new owner.

Rarely do deeds specifically mention buildings, except in boilerplate legal terms calculated to convey all types of property that is an integral part of the land. Such phraseology may include "all houses, barns, trees, fields, orchards, watercourses," etc., whether or not they actually existed. On the other hand, buildings used for special purposes, such as churches and schools, may be mentioned in deeds. In such cases the property is usually conveyed to or by a group of trustees, a school board or superintendent, and so forth.

It is often difficult to use deeds to trace a particular piece of property containing a house or business, because the deed probably will not mention whether a building stands on the tract, and the boundary description seldom includes enough known landmarks to make the location obvious. If a tract contained more than a few acres, the chances are that pieces were sold off over the years. It is often not possible to tell from the deed alone whether the portion sold contained the building, or whether that part remained with the seller. Confusion can be avoided by using the LAND TAX BOOKS (see below) to trace the property instead, or by examining county plat books if they exist.

For most localities, indexed deed books (in which the deeds were recorded) exist as well as the original documents. The state archives at the Library of Virginia holds many original records. In addition, it has microfilm of the books, through about 1865, available for use in-house and on interlibrary loan.

If you reach a dead-end while going backwards through the deeds, keep in mind there are indexes by date ranges listed under both buyers' and sellers' last names.

For lists of the Library's holdings, *see* Suzanne Smith Ray, Lyndon H. Hart III, and J. Christian Kolbe, *A Preliminary Guide to Pre-1904 County Records in the Archives Branch, Virginia State Library and Archives* (Richmond: Virginia State Library and Archives, [1994]) and Lyndon H. Hart III and J. Christian Kolbe, *A Preliminary Guide to Pre-1904 Municipal Records in the Archives Branch, Virginia State Library and Archives* (Richmond: Virginia State Library and Archives, [1987]).

FAMILY HISTORIES
Locations: LVA; VHS; other libraries.

Two principal centers for genealogical research in Virginia, the Library of Virginia and the Virginia Historical Society, hold large numbers of published genealogies and family histories. In addition, their archives maintain family papers, Bible records, and other documents. For the archival resources in the Library of Virginia, *see* Lyndon H. Hart III, *A Guide to Bible Records in the Archives Branch, Virginia State Library* (Richmond: Virginia State Library, 1985) and *A Guide to Genealogical Notes and Charts in the Archives Branch, Virginia State Library* (Richmond: Virginia State Library, 1983).

HISTORICAL PHOTOGRAPHS AND ILLUSTRATIONS
Locations: DHR; LVA; VHS; VM.

Most buildings have undergone a surprising number of changes since they were built. Owners have replaced roofs, torn down porches, added ells and wings, and redecorated with new woodwork to follow changing fashions, just to name a few common alterations. Sometimes the "ghost" outlines of porches or mantels remain behind to help in restoration, but old photographs can be much more useful.

To find such photographs, look first at published local or regional histories, especially those with an "old homes" approach. Ask at local public and college libraries, too, as many have newspaper and manuscript files on their communities that may include old photographs.

If there is an architectural survey file at the Department of Historic Resources, or if your building is listed in the Virginia Landmarks Register or the National Register of Historic Places, the relevant DHR files may contain historic photographs. Likewise, such photos may be found in the picture and postcard collections at the Library of Virginia, the Virginia Historical Society, and the Valentine Museum, which has the notes and photographs of

Mary Wingfield Scott, Richmond's foremost early- to mid-twentieth-century architectural historian and preservationist. The Library of Virginia holds two collections that contain photographs dating to the 1930s: the George B. Lorraine real estate company (*see* BUSINESS RECORDS above) and the WORKS PROGRESS ADMINISTRATION HISTORICAL INVENTORY PROJECT (below).

Besides photographs, look for other kinds of illustrative material, such as old engravings and paintings of towns and cities. In the nineteenth century, "bird's-eye views" of towns and cities were painted and engraved, often in amazing detail. Also, thousands of photographs and field drawings made during the Civil War were reproduced in magazines and newspapers as engravings, particularly in *Harper's Weekly* and *Frank Leslie's Illustrated Newspaper*. These engravings have been widely reproduced in illustrated histories of the war.

LAND TAX BOOKS

Best location: LVA. Almost complete original records, 1782-present. Land taxes 1782-1850 have been microfilmed; film may be borrowed on interlibrary loan. Second best locations: county and city courthouses. Records tend to be spotty and incomplete.

Virginia's land tax records begin in 1782 and still are being compiled. They are arranged alphabetically by county and independent city, then chronologically. A given locality may have more than one tax book per year; as the population increased the locality was divided into districts or wards, each with its own volume. Within each volume the taxpayers are listed alphabetically (until the twentieth century by the initial letter of the last name). Beginning in the 1880s they were grouped by race.

From 1782 to 1819 the records give the following information: name of taxpayer; number of acres in tract; value per acre; total value of tract; amount of tax; remarks. From 1820 to the present the records show the following: name of taxpayer; county or city of residence; number of acres in tract; value per acre; value added to property because of buildings; total value of tract; amount of tax on land and buildings; remarks. In addition, after 1819—and sometimes before—there are columns for the location of the property ("Staunton River"; "Coles Hill"; "Woodlands"; "adj. [adjacent to] Charles Carter") and its approximate distance and direction from the courthouse ("12SE"="twelve miles southeast").

Of particular importance to researching a historic property are the columns for the value added because of buildings and for remarks. If a building is constructed on the tract it usually is noted in both columns. For instance, an increase in the first column from $500 to $2,000 should be noted as well as a comment on the order of "$1,500 added for new construction" under remarks. If the property is sold or subdivided, the remarks column usually notes that fact ("30 acres to Joseph Smith"). If the 30-acre tract is what you are interested in, you will find it listed under "Smith, Joseph."

A warning: sometimes a change in the column for value added because of buildings indicates a tax reassessment rather than new construction. Statewide reassessments were made in 1817, 1819-1820, 1839-1840, 1850, 1856, 1870, 1872, 1875, and every five years thereafter. Do not assume that an increase in the value added column during or just after one of those years means new construction; check the remarks column for a clear statement to that effect. Look at other properties in the tax list; if their values also changed, then you are in a reassessment year. Remember that a decrease in the value added column does not necessarily mean that buildings were destroyed or demolished. It probably indicates a reduction in the value of an older building during a reassessment year.

What can you conclude from the values assigned to buildings? As a very rough rule of thumb, in the first half of the nineteenth century, a value of $500 or so might indicate a small story-and-a-half frame dwelling. A value of $1,500 or $2,000 could suggest an elaborate frame house or a relatively modest two-story brick dwelling, one-room deep. Values of more than $3,000 generally hint at mansion-sized houses, often of brick, two stories high, and two rooms deep on each story. The value declined as a house aged and deteriorated.

Churches and schools, which are owned by religious bodies and local governments, are not subject to taxation. The land tax books can still be of some use, however; if the land was conveyed by a private citizen to a congregation or school board, that transfer may be noted under the citizen's name in the year it took place. This notation may substitute for the missing deeds of a county that has lost its records through some disaster.

For more information about land taxes, *see* Library of Virginia, Archives Research Notes Number 1, *Using Land Tax Records*, available from the Library of Virginia.

LOCAL AND STATE HISTORIES

Locations: DHR; LVA; VHS; local libraries.

The best one-volume guide to the history of Virginia is Emily J. Salmon and Edward D. C. Campbell, Jr., eds., *The Hornbook of Virginia History*, 4th ed. (Richmond: Library of Virginia, 1994). Besides presenting a brief narrative history of the state, the *Hornbook* serves as "a ready-reference guide to the Old Dominion's people, places, and past." It contains lists of the state's executive officers, "Virginians in the Nation's Service," counties, cities, colonial parishes, rivers, selected historic places of worship and houses, as well as a host of other data.

Histories have been published about most of the cities, counties, and regions of Virginia. They vary widely in accuracy, scholarship, and reliance on local tradition or documentary sources. Your property or its owners may be mentioned, but exercise caution in assessing what is written, especially concerning the dates ascribed to early buildings.

Consult your local public or college libraries for unpublished collections of notes and clippings as well as for printed histories. Many a local historian has spent years compiling data but never gotten around to writing or publishing the results.

MAPS; PLATS; ATLASES

Locations: DHR; LVA; VHS; VM.

The Library of Virginia and the Virginia Historical Society have large collections of maps, ranging from general maps of the state to specialized maps showing the surveyed routes of turnpikes and railroads. Maps can be very useful in getting you started on the way to tracing the ownership of your property, especially if you are uncertain of the names of the owners in the nineteenth century and earlier. For example, if you own a house that was constructed in a style popular in the mid-nineteenth century, such as the Greek Revival, it likely was built before the Civil War. It probably will appear on Civil War-era maps with the name of the owner or occupant noted. You can now go from the map to the LAND TAX BOOKS (*see* above) and begin tracing the line of ownership.

For many years beginning in the 1870s, the Sanborn-Perris Map Company produced maps of towns and cities for use by insurance companies. These maps showed the configuration or "footprint" of each building on its lot, noted the materials of which it was constructed, and indicated its function. They are an invaluable source of information for all kinds of structures in urban settings. A complete set of original maps is in the Library of Congress; the Library of Virginia has a microfilm copy, as well as many originals. The Valentine Museum has a card index to properties noted on the maps for the city of Richmond.

Sometimes plats of specific tracts of land (*see* PATENTS AND GRANTS below) are filed in map collections. They typically note the metes and bounds of the tracts, as well as any roads or watercourses that border or cross the boundaries. You may occasionally find a plat on which a stylized dwelling or other building is drawn.

City and county courthouses often contain record groups that include plats and other useful information concerning buildings and their owners. You may find plat books that date to the colonial period in some localities. In the late nineteenth and early twentieth centuries, many farmers went bankrupt, resulting in hundreds of lawsuits. Often the court papers contain plats and accounts of land divisions. Finally, beginning in the late nineteenth century, many localities (especially cities) began issuing building permits. Frequently, plats and drawings are found in the permit files.

Atlases can also be useful sources of information about standing structures. One of the best is *The Official Atlas of the Civil War* (New York: T. Yoseloff, 1958), which was compiled from the official records of the war. If your building was constructed before the war began, and if there was military activity in or near your county, there is a good chance that the property and the name of its owner or occupant will appear in this atlas.

For more information about maps, *see* Library of Virginia, Archives Research Notes Number 4, *Using the Map Collection in the Archives*, available from the Library of Virginia.

MUTUAL ASSURANCE SOCIETY OF VIRGINIA

Locations: DHR; LVA. Assurance declarations are indexed under the city or county in which the property is located by the name of the person taking out the policy, and by the name or type of property.

The "Mutual Assurance Society, against Fire on Buildings, of the State of Virginia," was incorporated by the General Assembly on 22 December 1794, and still is in operation. It is not so much an insurance company as a mutual aid society whose members have pooled their resources for the protection of each property. Initially, the Society assured against losses on brick and frame buildings in Virginia, present-day West Virginia, and the District of Columbia. In 1820 it stopped assuring frame structures, and in 1822 it abolished its country branch (quit assuring buildings not in towns or cities). Its insurance policies, or "declarations," are fascinating historical documents that contain descriptions of many Virginia houses and commercial buildings, and a smaller number of churches, schools, and public buildings. Usually each declaration includes the value of each building insured; a drawing showing the relationship and distance from one building to another (and sometimes a front elevation of the principal building); and a description of each building ("A dwelling house 32 feet by 20 one storey high with a shed of 10 feet by 10 on one side with a porch at the side of the shed 8 feet by 10, [walls] built of wood and covered with wood [shingles]"). Since properties were frequently revaluated, succeeding declarations often show additions to the original building, new outbuildings, and new uses for old buildings.

Exercise caution when using these records, however. Just because a policy was taken out in 1806, for example, does not necessarily mean that the structure was newly built. It could have been an older building insured for the first time. Near the bottom of the policy is a paragraph that will state both the insured amount (the "present value") and the replacement cost: if they are identical, the building was new; if the present value is less than the replacement cost, then the building was not new and a deduction was made for deterioration. Also, owners were not obliged to insure every building; often, for instance, only the main house and kitchen were insured but not other outbuildings. In other words, the declarations may not list every structure on the site.

NEWSPAPERS

Locations: LVA; VHS; VM; other libraries.

Although newspaper publishing in Virginia dates to the eighteenth century, and many papers have opened and folded over the years, there may be few extant copies of early small-town newspapers. For a list of known copies of Virginia newspapers (as of 1936), *see* Lester J. Cappon, *Virginia Newspapers, 1821-1935: A Bibliography* (New York: D. Appleton-Century Co., Inc., 1936). Virginia's colonial newspaper, the *Virginia Gazette*, has been indexed. *See* Lester J. Cappon and Stella F. Duff, *Virginia Gazette Index, 1736–1780* (Williamsburg: Institute of Early American History and Culture, 1950).

The Library of Virginia holds thousands of original newspapers, as well as copies on microfilm. They also have a subject file for news articles called "the Freeman File" which can be obtained from the reference desk. To find out if a particular newspaper exists, write the Library.

Many libraries hold newspaper clippings under various subjects, or indexes to birth, marriage, and death records published in the papers and abstracted by local historians and genealogists. Also, nineteenth- and twentieth-century newspapers sometimes carried articles about ground-breaking or opening ceremonies for important commercial and public buildings, as well as photographs, drawings, and illustrated advertisements that may show you how an old mercantile structure looked when it was new. The articles and illustrations also may give the name of the architect or builder.

PATENTS AND GRANTS

Location: LVA.

The state archives at the Library of Virginia holds the records of the Land Office, including patents and grants. The royal governors of Virginia issued patents in the name of the king between 1623 and 1774. After an interlude because of the Revolutionary War, the state's elected governors began issuing land grants in 1779. In the Northern Neck Proprietary (that part of Virginia north of the Rappahannock River), the Fairfax family issued its own grants between 1690 and 1808.

Colonial patents were in effect purchases of land directly from the royal government rather than from another subject. Anyone could pay the fees and obtain a patent; although the document was issued in the name of the king, it did not mean that the king and the recipient knew each other (the statement is sometimes made that someone "received a patent from the king").

Some patents were issued for the importation of "headrights." To encourage immigration to the colony, fifty acres of land could be claimed by anyone paying for an immigrant's transportation. Often the names of the immigrants were included in the patent document. This fact is sometimes construed to mean that the immigrant arrived from England in the year the patent was issued, but that was not necessarily the case. The patent was issued after proof that the transportation fees were paid, and the process could have taken some years. Also, the immigrants could have been from countries other than England, or even from other colonies. Finally, just because the patent was issued for land in a particular county, that does not mean that the immigrant lived there, only that the county was where the vacant land was found.

Because patents—and grants—were issued to encourage actual settlement and not land speculation (although the latter occurred anyway), the recipients were given three years to "seat and save" the patent, which otherwise would revert to the colony. In other words, the patentee was supposed to erect a building on the land and improve part of it within three years. Sometimes present-day owners assume, erroneously, that a dwelling obviously dating from the colonial period was built the year the patent was issued. It is far more likely that the patentee erected some temporary structure, now long-vanished, and that the dwelling currently standing was built a generation or more later. This is certainly true of seventeenth-century patents and generally true of those issued in the eighteenth century.

Besides the patents and grants which, like deeds, give the metes and bounds of the property, the researcher will find the extant plats useful. Unfortunately, the Land Office burned the plats annually before 1774 once the patent had been issued, so few colonial plats survive. An exception is the Northern Neck Proprietary, which kept its plats. Plats are generally available after 1779 statewide, and some of them show—besides the boundaries of the property—watercourses, woodlots, and dwellings.

For a detailed list of all the records of the Land Office, *see* Daphne S. Gentry, comp., and John S. Salmon, ed., *Virginia Land Office Inventory*, 3d ed., rev. and enl. (Richmond: Virginia State Library and Archives, 1988). *See also* Nell Marion Nugent, *Cavaliers and Pioneers*, 3 vols., in various editions, for abstracts of patents, 1623–1732. Two additional volumes, published by the Virginia Genealogical Society, have brought the series up to 1749. These are also now searchable online under the digital library/land records.

PERSONAL PAPERS

Locations: LVA; VHS; VM.

Letters, diaries, unpublished memoirs, and other items comprise personal papers collections at several repositories. Perhaps the two largest collections in Virginia are found at the Virginia Historical Society and the Library of Virginia. These papers may tell you about the private and public lives of owners, the construction and maintenance of their houses and commercial buildings, and the operation of their farms and businesses. All of the repositories holding personal papers have guides or indexes to them for use in-house.

A frequent shortcoming of letters and diaries is that their authors often omit any mention of the familiar: a diarist may live in a house for years and yet never describe it directly. On the other hand, a traveler who keeps a diary or writes letters about his journey may comment at length on what to him appears unusual, often in highly opinionated and judgmental language. Look, then, for travelers' diaries and letters that pertain to your area; some may have been published in local historical society magazines.

PERSONAL PROPERTY TAX BOOKS

Best location: LVA. Almost complete original records, 1782-present. The library began microfilming the tax books, 1782-1850, in alphabetical order by locality, but has not completed the project. The existing film is available on interlibrary loan. Second best locations: County and city courthouses. Records tend to be spotty and incomplete.

The personal property tax books can help you assess the relative prosperity of your building's owners, based on personal property owned and taxes paid. The books give the following information: name of taxpayer; number of horses; number of cattle (during a few early years); number of slaves above age twelve (through 1863); other categories of taxes levied; and amount of taxes paid. Beginning in the late nineteenth century, taxes were levied almost exclusively on machinery, vehicles, and intangible personal property such as bonds. Usually the tax books also list by name the persons who received licenses to operate taverns, ordinaries, businesses, and other occupations.

The categories of taxes levied on personal property in 1815 were increased significantly to pay for the War of 1812. Carriages, paintings, gold watches, billiard tables, and a wide variety of other items were taxed, making the tax books for this year a rich source of information concerning personal belongings. Also taxed were dwellings located in the country that were worth more than $500 (the number of dwellings and their value, or sometimes only the difference between $500 and their value, is given). This is the only year in which buildings were mentioned in the personal property tax books.

No tax books exist for the years 1808 or 1864. In 1808, the General Assembly ordered the commissioners of the revenue not to collect taxes that year. On 3 March 1864 the legislature suspended the revenue act because the treasury already held adequate funds.

For more information about personal property taxes, *see* Library of Virginia, Archives Research Notes Number 3, *Using Personal Property Tax Records in the Archives*, available from the Library of Virginia.

PROFESSIONAL DIRECTORIES

Locations: LVA; other libraries.

If you know the profession or trade of an owner of your house or commercial structure, he may be listed in a published directory of professions or trades. Many such directories have been printed, and each is a sort of *Who's Who* for a particular occupation. Besides outlining professional careers, the directories may give personal data as well.

STUDENT PAPERS
Locations: DHR; University Libraries

Student Papers often provide a solid beginning for research on topics including buildings, architects, owners, architectural materials, etc. For example, Virginia Commonwealth University has courses whose professors require well researched papers on buildings and style information around the city of Richmond. These papers also typically include solid bibliographies that will lead a researcher back to original referenced material.

TAX ASSESSOR'S OFFICE
Locations: City Hall Buildings

The Tax Assessor will have the most current information on properties within its city, including current owner, most recent deed purchase, and tax parcel number. This will provide a starting point for deed research and provide some current property information such as lot size, building materials, construction date, addition dates, etc..

THEME FILES
Locations: DHR, LVA, VM, other libraries

Many facilities have files on subjects that include things such as unpublished papers or news clippings. For example, DHR has files under subject headings such as; bridges, barns, ironwork, and colonial buildings, while the Richmond Public Library has files under headings such as; street names, company names, and individuals' last names. Ask the archivist or someone at the reference desk for assistance.

VITAL STATISTICS RECORDS
Location: LVA.

The state did not begin keeping vital records (births, marriages, deaths) until 1853. Before then, birth and death records were maintained (if at all) by churches (*see* CHURCH RECORDS). Marriage bonds and, in many cases, records of marriages, were kept by county and city governments before 1853.

The Library of Virginia has microfilm copies of the state's records of births (1853-1896), marriages (1853-1935), and deaths (1853-1896). It also has indexes to the birth and marriage records, in the latter case by both groom and bride. No index to death records has been compiled.

Birth and death records were not kept by the state between 1897 and 1911. Beginning in 1912 for those records, and 1936 for marriage records, you must apply in person at the Department of Health in Richmond and pay a fee. Birth and death records are released only to relatives or lawyers; you can obtain copies if you submit a letter of permission from the family. For further information, write the Department of Health, Division of Vital Records, Madison Building, Richmond, VA 23219; or telephone 804-786-6228.

For more information about vital statistics records, *see* Library of Virginia, Archives Research Notes Number 2, *Using Vital Statistics Records in the Archives*, available from the Library of Virginia.

WILLS, INVENTORIES, AND ESTATE DIVISIONS

Best location: LVA. Second best locations: local courthouses and clerks' offices.

Wills present the deceased's wishes as to the distribution of his or her estate. Inventories list personal property, excluding land, and sometimes indicate the tract on which the property was kept, or the room in the house or commercial structure in which it was found. Divisions of estates, often made when there was no will or when a will was disputed by the heirs, often include land as well as other property. Sometimes plats are recorded along with the divisions.

For most localities, indexed will books (in which all the foregoing documents were recorded) exist as well as the original papers. The state archives at the Library of Virginia holds many original books and papers. In addition, it has microfilm of the books, through about 1865, available for use in-house and on interlibrary loan.

For lists of the Library's holdings, *see* Suzanne Smith Ray, Lyndon H. Hart III, and J. Christian Kolbe, *A Preliminary Guide to Pre-1904 County Records in the Archives Branch, Virginia State Library and Archives* (Richmond: Virginia State Library and Archives, [1994]) and Lyndon H. Hart III and J. Christian Kolbe, *A Preliminary Guide to Pre-1904 Municipal Records in the Archives Branch, Virginia State Library and Archives* (Richmond: Virginia State Library and Archives, [1987]).

WORKS PROGRESS ADMINISTRATION HISTORICAL INVENTORY PROJECT

Best location: On line, through the LVA web site.

The WPA Historical Inventory Project, one of President Franklin D. Roosevelt's New Deal programs, began in November 1935 and ended by 1939. It employed clerks, writers, and editors to survey and record the historic cultural and architectural resources of the state. The field workers wrote descriptions and took photographs of thousands of buildings, objects, and structures. The quality of these reports varies widely, and they often contain a mixture of documented facts and local legends. The photographs are always useful, however, as records of a building's appearance in the late 1930s.

The Library of Virginia holds the original files and photographs. These records are now available on line. Searching may be done by keyword, by category, as well as through scanned copies of the 1930s-era highway maps used to record the locations of the historical resources that were recorded during this project. Microfilm copies of the project files in alphabetical order by locality (Film 509; 30 reels) are available for use at the Library of Virginia as well, and for interlibrary loan within the state. Every county and city in Virginia is represented in the files except for the counties of Amelia, Bland, Brunswick, Charles City, Charlotte, Clarke, Essex, King and Queen, Mathews, Richmond, and Smyth. The photographs of houses, churches, schools, businesses, and other buildings that accompanied the files were separated from them before microfilming and were then transferred to the library's Picture Collection. You will need to examine the microfilm and visit the Picture Collection in order to see the complete record in person. The online records include the images with TIFF files of each individual page of the record for the property or object.

THE PRINCIPAL REPOSITORIES

VIRGINIA DEPARTMENT OF HISTORIC RESOURCES
2801 Kensington Avenue
Richmond, VA 23221
(804) 482-6102 (archives)
www.dhr.virginia.gov

Hours: 8:30 A.M-4:30 P.M., Tuesday-Friday. Closed on Mondays, Saturdays and state holidays.

Telephone inquiries?: Yes, but much better to come in person and review the files yourself. Custodian of the official state survey of Virginia's historic resources and archaeological sites. More than 130,000 files.

LIBRARY OF VIRGINIA
800 East Broad Street
Richmond, VA 23219
(804) 692-3500
www.lva.lib.va.us

Hours: 9:00 A.M.-5:00 P.M., Monday-Saturday. Closed on state holidays.

Telephone inquiries?: No, except for general questions about the availability of records; for specific research queries, you must come in person or request interlibrary loan microfilm if available.

The research library at the seat of government and custodian of the official records of the Commonwealth.

VALENTINE MUSEUM: RICHMOND HISTORY CENTER
1015 East Clay Street
Richmond, VA 23219
(804) 649-0711
www.valentinemuseum.com

Hours (for library use): 10:00 A.M.-Noon, 1:00-5:00 P.M., Tuesdays and Thursdays, by appointment only. Nominal fee.

Telephone inquiries?: Yes, but much better to visit in person.

The museum of the city of Richmond, it includes artifacts, a library, a photo archive, and a manuscript collection.

VIRGINIA HISTORICAL SOCIETY
428 North Boulevard
Richmond, VA 23221
(804) 358-4901
www.vahistorical.org

Hours: 10:00 A.M.-5:00 P.M., Monday-Saturday; galleries only, 1:00-5:00 P.M., Sunday. Closed most holidays. Nominal fee.

Telephone inquiries?: Yes, but much better to come in person or to request films and books through interlibrary loan.

Called "The Center for Virginia History," the Virginia Historical Society includes a historical museum, a library, and a large manuscript collection. Many of the manuscripts are cross-referenced in card catalogs.

LOCAL REPOSITORIES

In addition to the repositories listed above, you may need to visit others locally to see specific public records. Building permits typically are found at city or town halls. Court records, deeds, wills, and the like that are not in the state archives at the Library of Virginia (on film or in the original) are maintained at the clerk's offices in Virginia's county seats. Some local government offices will answer telephone inquiries, but many are so busy that you are better advised to write or—first choice—visit the office yourself. Many local libraries (public, university, or collegiate) have area history rooms or collections, as well as student papers on surrounding architectural themes. Similarly, county or city historical societies or museums may hold photographs, newspaper files, and other information about area businesses, houses, churches, schools, and other buildings.

Researching Your Historic Virginia Property was financed in part with funds from the U.S. Dept. of the Interior, through the Department of Historic Resources. Under Title VI of the Civil Rights Act of 1964 and Section 504 of the Rehabilitation Act of 1973, the U.S. Dept. of the Interior prohibits discrimination on the basis of race, color, national origin, or handicap in its federally assisted programs. If you believe that you have been discriminated against in any program or activity described herein, or if you desire further information, please write to: Office of Equal Opportunity, U.S. Dept. of the Interior, Washington, D.C. 20240. The contents and opinions of this report do not necessarily reflect the views or policies of the Dept. of the Interior, nor does any mention of trade names or commercial products constitute endorsement or recommendation by the Dept. of the Interior. The Department of Historic Resources, in accordance with the Americans with Disabilities Act, will make this publication available in Braille, large print, or audiotape upon request. Please allow 4–6 weeks for delivery.

Virginia Department of Historic Resources
2801 Kensington Avenue, Richmond, VA 23221
(804) 367-2323   TDD (804) 367-2386

APPENDIX E

GLOSSARY OF TERMS

ARCHIVAL (BACKGROUND) RESEARCH	The process of reviewing existing documents, survey material, and other resources to build upon the information that already exists for the properties within a given area by studying contemporary and historical documents associated with the area.
BASIC INVENTORY LIST	A list of buildings and structures within a survey area to be architecturally or archaeologically surveyed and each property has been assigned a file number by DHR.
BUILDING	A resource created principally to shelter any form of human activity, such as a house.
CERTIFIED LOCAL GOVERNMENT (CLG)	A local government certified by the state legislature to carry out some of the purposes of the National Historic Preservation Act, as amended.
CLG	See Certified Local Government
COMPREHENSIVE SURVEY	Inventory list identifying every resource, whether historic or non-historic, within the geographic bounds of a survey area.
COST SHARE SURVEY	A program designed to develop a cultural resource database for Virginia's local governments, including surveys, local preservation plans, and National Register nominations, in which the costs are shared by the locality and the Department of Historic Resources.
CULTURAL LANDSCAPE	A geographic area, including both cultural and natural resources associated with a historic event, activity, or person or exhibiting other cultural or aesthetic values.
CULTURAL RESOURCE	An aspect of a cultural system that is valued by or significantly representative of a culture or that contains significant information about a culture. A cultural resource may be a tangible entity or a cultural practice. Tangible cultural resources are categorized as districts, sites, buildings, structures, and objects for the National Register of Historic Places and as archaeological resources, cultural landscapes, structures, museum objects, and ethnographic resources for NPS management purposes.

DATA SHARING SYSTEM (DSS)	Password-accessible, web-based electronic database of the Department of Historic Resources's architectural and archaeological inventory, integrated with a geographic information system (GIS), resource images, links to additional DHR internal databases and available through the Internet to qualified professionals and institutions.
DHR IDENTIFICATION NUMBER	A unique number assigned by DHR to a historic resource and used in the identification, filing, and DSS entry for every surveyed property in Virginia.
DSS	See Data Sharing System
ETHNOGRAPHIC LANDSCAPE	Areas containing a variety of natural and cultural resources that associated people define as heritage resources, including plant and animal communities, geographic features, and structures, each with their own special local names.
FLOOR PLAN	A diagrammatic drawing showing the enclosing walls of a building, its doors, and windows, and the arrangement of its interior spaces as viewed from directly above.
HISTORIC CONTEXT	A compilation of information about historic properties that share a common theme, geographic area, and time period. The development of this information serves as a foundation for decisions about the identification, evaluation, registration, and treatment of historic properties, as well as for planning purposes.
HISTORIC DESIGNED LANDSCAPE	A landscape significant as a design or work of art; was consciously designed and laid out either by a master gardener, landscape architect, architect, or horticulturist to a design principle, or by an owner or other amateur according to a recognized style or tradition; has a historical association with a significant person, trend or movement in landscape gardening or architecture, or a significant relationship to the theory or practice of landscape architecture.
HISTORIC DISTRICT	A significant concentration, linkage, or continuity of sites, buildings, structures, or objects, united historically or aesthetically by plan or physical development.
HISTORIC LANDSCAPE	The natural and built surrounding associated with a historic resource.
HISTORIC PROPERTY	For Section 106 purposes, "…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" (36 CFR Part 800).

HISTORIC RESOURCE	Any prehistoric or historic district, building, site, structure, or object regardless of its eligibility for, or actual listing in, the National Register of Historic Places.
HISTORIC RESOURCE SURVEY	Inventory of historic places recorded architecturally and archaeologically so that property owners, land use planners, and a variety of researchers can have information needed for economic and land use decisions and planning.
HISTORIC VERNACULAR LANDSCAPE	A landscape whose use, construction, or physical layout reflects endemic traditions, customs, beliefs, or values; in which the expression of cultural values, social behavior, and individual actions over time is manifested in physical features and materials and their interrelationships, including patterns of spatial organization, land use, circulation, vegetation, structures, and objects; in which the physical, biological, and cultural features reflect the customs and everyday lives of people.
INTEGRITY	The authenticity of a property's historic identity evidenced by the survival of physical characteristics that existed during the property's historic or prehistoric period.
INTENSIVE SURVEY	Inventory taken of the architectural exterior and interior elements of a building or an archaeological site, which includes archival research, background research, mapping, and photographs.
METHODOLOGY	A body of methods, rules, and postulates employed by a discipline**:** a particular procedure or set of procedures; the analysis of the principles or procedures of inquiry in a particular field.
MULTIPLE PROPERTY DOCUMENTATION	Format through which historic properties related by theme, general geographic area, and period of time may be documented as a group and listed in the National Register of Historic Places.
NATIONAL REGISTER OF HISTORIC PLACES	Official federal honorific list of buildings, districts, structures, objects, and sites of significance in American history, architecture, archaeology, engineering, and culture maintained by the National Park Service.
OBJECT	A construction primarily artistic in nature or relatively small in scale and simply constructed, such as a statue or milepost.
PHOTO LOG	A list of each set of negatives to include: name of property, identification number, location, date, photographer, negative number, frame number, and description of photograph.
PRESERVATION	The act or process of applying measures necessary to sustain the existing form, integrity, and materials of a historic property.

PRIMARY RESOURCE	The most significant building on a property such as a dwelling, church, or school.
PROJECT SPECIFIC SURVEY	Inventory of cultural resources to include the project area and the area of potential effect.
PROPERTY NAME LIST	A list of the names of properties within an area using the historic name of the property if possible many times associated with a family who owned the property at one time. The names of well-known persons are sometimes used as they were listed in the *Dictionary of American Biography*.
RECONNAISSANCE SURVEY	A broad visual inspection or cursory examination of cultural resources in a specific geographical area recorded at a minimal level of documentation.
REGION	One of eight Virginia cultural or geographic areas defined by DHR, which share major prehistoric and historic trends across the Commonwealth.
RESEARCH DESIGN	Elements written into the comprehensive planning process describing how the survey is going to be accomplished and what it is expected to reveal.
SECRETARY OF THE INTERIOR'S STANDARDS	Guidelines set down by the Secretary of the Interior that are broad national performance standards and qualifications for cultural resource management professionals.
SECONDARY RESOURCE	Associated outbuilding(s), structure(s), object(s), or site(s) of a historic or non-historic property.
SECTION 106 REVIEW	The federal review process established by Congress as part of the National Historic Preservation Act of 1966 to ensure that before any federal or federally funded or licensed project goes forward, the effect of the project on any historic properties listed in or eligible for the National Register of Historic Places will be assessed. This review takes place in the course of all federal undertakings regardless of whether or not the property is listed in the register. Registration does not "trigger" the review process; the federal undertaking triggers it. The review does not terminate projects, but requires consideration of alternatives to the destruction of historic properties. Complete regulations for the review process appear in the Code of Federal Regulations, 36 CFR Part 800.
SELECTIVE SURVEY	The choosing of cultural resources to be recorded based on the objectives of the survey such as the purpose, goals, priorities, and geographic area.
SITE	The location of a significant event, a prehistoric or historic occupation or activity, or a building or structure, whether

standing, ruined, or vanished, where the location itself possesses significance independent of the value of any existing structure at that location.

SITE PLAN A layout of the buildings on a property, including primary and secondary resources, as well as landscape features.

STATE SURVEY FUND A fund appropriated by the federal government to aid localities in planning preservation efforts.

STRUCTURE A functional resource constructed for purposes other than to provide shelter for human activities, such as a bridge, windmill, or silo.

THEMATIC SURVEY Inventory of cultural resources having a cultural theme with major conceptual element applied to Virginia's cultural history from prehistoric times to the present.

USGS QUADRANGLE MAP United States Geological Survey (USGS) topographic quadrangle maps are essential for defining a survey area. For survey, 1:24,000 scale maps, unless otherwise noted, are the type of USGS quadrangle map referred to in *DHR Guidelines*. The entire United States is divided into a grid system of USGS topographic quadrangle maps. Derived from aerial photography and often photo-revised at a later date, quadrangles are usually named for a particular town, village, city, or natural feature located on that particular map. Each quadrangle covers an area of about 55 square miles.

APPENDIX F

COLLECTION MANAGEMENT GUIDELINES

DEPARTMENT OF HISTORIC RESOURCES

STATE COLLECTIONS MANAGEMENT STANDARDS

Department of Historic Resources
2801 Kensington Avenue
Richmond, Virginia 23221
(804) 367-2323
Fax: (804) 367-2391

Revised

March 22, 2007

TABLE OF CONTENTS

DISPOSITION

APPENDIX A	**Collections Donation Agreement**
APPENDIX B	**Agreement for Incoming Loans**
APPENDIX C	**Agreement for Outgoing Transfers**

INTRODUCTION

The Department of Historic Resources maintains the State Collection Management Facility for archaeological collections at 2801 Kensington Avenue, Richmond, Virginia. Archaeological collections are unique in that once a site has been excavated it has been destroyed and the collections remain the only tangible resource left for examination. The department's mission is to make the irreplaceable archaeological collections available for research and study, exhibit them for the education of the public, and house all collections in archival materials within a safe environment. Also managed by the department are the documentary materials (field notes, photographs, maps) from the archaeological sites. To provide strong research, education, and exhibit outreach, collections representative of all geographical areas and occupation periods in the state are accepted from archaeologists and private collectors. Collections should not be subdivided and stored in multiple locations, and associated documentation should be stored in the same repository as the artifacts.

TRANSFERRING COLLECTIONS

All archaeologists working on projects in Virginia may submit their collections to the department for management. Collections shall be accepted through either donations or long-term loan agreements (see Appendices A & B). In order for a collection to be accepted, it must have been collected, excavated, or acquired in a professional and ethical manner. Collections will not be accepted if the objects were taken in violation of local, state, or national laws. All collections that are accepted must be from Virginia or relate directly to the history of Virginia. Although priority is given to scientifically recovered collections of good provenience, material of unusual quality lacking contextual information may be accepted.

Normally collections will not be accepted if the owner has placed restrictions that would prevent, restrict, or guide the research, exhibit, or management of the collection.

Transportation of the collection to the Department is the responsibility of the donor. To avoid loss or damage, hand delivery of collections is preferred. The Department should be notified at least 48 hours prior to delivery. The donor is not released from responsibility of the collection until an inspection of the collection has been performed and the collection management fee is paid in full.

Management Fee

The management fee is $350 per box (as Hollinger's Standard Record Storage Box of acid free corrugated cardboard 15" x 12.5" x 10") or $200 for half-sized box (15" x 6" x 10") for artifacts and documentation. This is a one-time charge due when the collection is accepted. Fee exemptions may include collections donated by avocationalists, collections generated as a result of emergency investigations or research projects not related to mandated compliance projects, and DHR-sponsored projects.

COLLECTION PROCESSING

The following procedures for processing collections for long-term management should be followed in preparing artifact collections and documentation for submission to the Department. These standards are consistent with the Secretary of the Interior's Standards and Guidelines for Curation, 36 CFR 79. These standards should be used to guide the preparation of Virginia collections that are stored elsewhere. Associated documentation should accompany the collections. The disposition of a project's artifacts and records should be decided prior to initiation of fieldwork and in consultation with the Chief Curator.

Cleaning

All artifacts should be cleaned. The only exceptions would be those, which might provide more information through specialized analysis in their unwashed state, for example, blood residue analysis. Containers with either special artifacts or artifacts that require special care must be clearly marked, and any specific instructions must accompany the artifacts.

Conservation

Artifacts should be preserved. Depending upon the context, degree and type of deterioration, research, and exhibit value of the artifact, selected artifacts may need special conservation treatment. A professional conservator should perform artifact condition evaluations and, when appropriate, conduct the recommended conservation treatment. Archaeological artifacts that require consultation with a conservator include: wet material recovered from submerged or waterlogged sites, dry organics recovered from rockshelters, metals, extraordinarily fragile objects, and those composed of two or more materials. The department has a staff conservator who can provide technical assistance.

Cataloging

DHR does not assign excavation unit numbers, lot numbers, or accession numbers to incoming collections. Artifacts should be sorted by provenience, material, and analytic category. Artifacts or batches of similar artifacts should be labeled with individual artifact numbers within their provenience. This number should be included in the artifact description for the catalogue submitted with the collection. The use of individual artifact numbers facilitates retaining sorts and locating specific objects for study or exhibit. Any artifact's occurrence that does not qualify for a site designation should be termed a 'location' (see *Guidelines for Archaeological Investigations in Virginia*) and the artifact(s) may be given a 'location' number within that specific project. DHR does not assign location numbers.

Labeling

Label all artifacts with the recommended ink (Indian ink or rapidograph), sealant (B-72), and, where contrast is necessary for legibility, white backing (acrylic paint or white B-72). The procedure should consist of a layer of sealant (B-72) followed by the white pigment when necessary, then the label numbers covered by another coat of sealant. (B-67 is the preferred topcoat as it decreases the chance of smearing).

Label artifacts in the most inconspicuous spot with the state site number, a number representing provenience, and an artifact number. Label all piece-plotted objects individually. For small collections (less than 200 objects) label selected artifacts. Polymers such as Bakelite, rubber, and plastics should not be labeled; secure them in labeled containers that also contain a label on archival material.

For larger collections, label all diagnostics. The following artifact types are examples of those that need not be individually labeled: artifacts too small to be labeled, slag, cinders, shellfish, non-human bone, fire cracked rock, flakes, window glass, nails, brick, mortar, and coal. These items can be grouped by material type within a provenience. These grouped or batched artifacts receive one artifact number. With other batched artifacts, label one artifact from the group with the site number, provenience and artifact number and place it in a plastic bag with the rest. The bag should be labeled on the exterior and also contain a Mylar, Tyvek, or acid free paper or card stock label with the same information.

Samples

Large quantities of brick rubble, window glass, shell, etc. will not be accepted for curation. In general terms a statistically valid sample (ca. 100) of any particular shell species is needed from each component of a site. Selective sampling of other materials is recommended.

It is preferred that soil samples be processed before being submitted. Unprocessed (raw) soil samples may be submitted for curation only in consultation with Collections Section staff; such samples retained for back-up analyses may require fumigation or freeze-drying.

All large and medium fractions of water-screened material should be sorted prior to submission. If the large quantity of fine fraction material makes complete sorting difficult, impractical, or impossible, a statistical sample from various units of excavation should be sorted. Flotation samples should be placed in appropriate sealed containers according to fraction size and accurately labeled, for example, 'flotation sample, light fraction, *context details'* or 'water screened sample, heavy fraction, *context details'*.

Radiocarbon samples and soil samples for chemical, phytolith, and pollen analysis should be processed whenever possible before submitting collection for curation. Small special samples of charred material and soil that are submitted for long-term management and possible future analysis or testing should be clearly marked and packaged in appropriate sealed containers.

Selective Discard

Certain types of bulk artifacts and artifacts with <u>limited context or no context</u> have questionable long-term research and exhibit value and thus may not warrant permanent management with the collection. These materials may include: fire-cracked rock, flakes, brick fragments, mortar, slag, coal, shell, artifacts designated as 'locations,' and 20th/21st century debris, especially artifacts less than 50 years old. In certain types of field recovery approaches, like controlled surface collecting, many of these items may be noted, counted, weighed, and left in the field. Recovered items that are slated for selective discard must be cataloged and analyzed. The collection's catalog must clearly identify and quantify the discarded materials. A project's principal investigator, in consultation with the Chief Curator, should employ the best professional judgment to decide what to discard. Factors to consider in reaching the decision to selectively discard materials include: archaeological context, the redundancy of the materials, and the item's research, education, or exhibit potential.

Packaging

Place all artifacts in polyethylene, zip-lock plastic bags at least 2 ml thick. Bags 10" x 10" or larger must be at least 4 ml thick. Artifacts must be grouped and bagged by provenience, and separated by material type within the provenience. Sharpie pens should be used to label plastic bags. Oversized artifacts must be securely tagged with appropriate information.

Use archivally stable and acid-free materials for those items requiring special packaging.

If the artifact collection is large, key artifact classes (example: projectile points, personal items, glass ware, minimum vessels counts, etc.), including illustrated artifacts, may be pulled from the provenience material and bagged/boxed separately. If small collections of artifacts from different sites/projects are packed together in a box, these should be grouped by county; if they are from multiple counties, arrange them alphabetically by county.

Boxes

Place all artifact bags in acid free boxes (either standard 15" x 12 .5” x 10" or half-sized 15” x 12.5” x 5” Hollinger corrugated cardboard) organized by catalog number for submission to the Department. Interior acid-free cardboard boxes may be used as containers and dividers for separate site collections or provenience. Material must be organized by provenience and/or appropriately grouped by material and packed with respect to weight and fragility. No box should weigh more than forty pounds. Label all artifact boxes with site number, provenience, project name, project start date, and research institution, contractor, or individual.

DOCUMENTATION

Ownership

Ownership of the collection to be deposited with DHR must be clear. Artifacts that are removed from private lands in connection with a federal or non-federal action are generally the property of the landowner. Field records and photographs generated as a result of a federal action are the property of the federal government, regardless of the location of the archaeological site. For donated or for long-term management, a copy of the ownership agreement or transfer letter must accompany the collection.

Field Record

Prepare one stable copy of all original field archaeology documentation on acid free paper. Originals on acid free paper are acceptable. These should be organized and clearly labeled and submitted with the collection for management. For long-term storage, large-sized maps, drawings, and charts will be placed by the department in flat acid-free files. Do not include material that is not directly pertinent to the field project, such as personnel and budget records, general research and report preparation notes and xeroxes, and rough drafts. Submit one copy of the final report.

Artifact Catalog

Submit a paper copy catalogue of all artifacts that includes the name of the organization, project name, start date, site number, provenience, and artifact number.

Treatment Statements

A statement indicating which objects received conservation treatment and a copy of the treatment record must accompany the collection. If conservation has not been completed, provide a list of those objects needing treatment. In order to maintain a stable, long-term storage repository, unstable materials that have not been conserved may be refused.

Photographs

Submit all slides (Kodachrome is preferred) and/or black and white negatives, and contact sheets in archival material. Label the archival set of slides and prints with at least the state site number and provenience or subject. Prepare a catalogue of all photographic documentation with an explanation of the labeling information. Digital images, if submitted, should be in the form of uncompressed .TIF files. Film images are preferred, but, if digital images are submitted <u>instead</u> of film images, a paper copy of the digital images at least 5" x 7" and resolution 300 dpi or better on archival paper must accompany the digital files.

Digital Records

Submission of the artifact catalog, final report, scanned field records, and digital images on computer disks and CDs in addition to paper copy on acid-free paper and photographic archives is requested but not required.

Labeling

As indicated throughout this document, accurate, informative labels are required for individual specimens, containers, inventory forms, photographs, etc. The labels should include, where appropriate: site number, provenience, project name, project start date, and research organization, contractor, or individual.

HUMAN REMAINS

In general, the Department of Historic Resources does not encourage the excavation of human remains, unless natural or human forces imminently threaten those remains. Procedures for the treatment of human remains and associated grave goods may vary depending on their state of preservation and the anticipated final disposition of the remains and the wishes of descendants or culturally affiliated groups. Treatment procedures, management, or reburial must be established prior to initiating any excavation of human remains (see Permits Governing the Archaeological Removal of Human Remains). All burials deserve respectful treatment transcending even the care afforded to any other class of archaeological materials. Due to the deep cultural and emotional significance of human remains, the Department does not encourage the long-term management of human remains. Should temporary care be necessary prior to repatriation or reburial, the Department will provide protective storage. The Department may accept human skeletal remains, or samples thereof, for secure and long-term management only after consultation with lineal descendants or culturally affiliated groups. Decisions will be made on a case-by-case basis.

USE OF COLLECTIONS

The Department of Historic Resources encourages the use of its collections for both research and interpretation by museums, universities, and other qualified individuals and institutions. Collections may be used either at the department or through a transfer agreement depending on the needs of the individual or institution and the condition of the collection.

The Chief Curator shall be contacted to make an appointment to view materials from any collection. For the study of larger collections, arrangements can be made for limited use of departmental lab space. The integrity of the data represented by these collections must be respected. No alteration of labeling information on or with the artifacts will be permitted. No resorting or redistribution of artifacts, or the physical alteration of the artifacts within these collections, will be allowed unless authorized by the Chief Curator.

The borrower must secure permission from the department to photograph the artifacts for educational, publicity purposes, or for reproduction in any exhibit catalog or professional report. Special permission must be granted for reproduction of such artifacts in any media for purposes of sale. All displayed or reproduced artifacts must be credited to the Virginia Department of Historic Resources. A copy of any publications resulting from use of the collections should be deposited with DHR's Archives.

The department reserves the right to deny requests for use based on bona fide reasons deemed to be in the best interest of the collections and/or the Commonwealth of Virginia.

LOANS

The Department of Historic Resources shall accept and examine all requests for loan of the collection(s). Qualified institutions and individuals shall submit their requests to the Chief Curator. The request shall specify the purpose, duration, location, and security precautions available for the loan. The Chief Curator may visit the site and review the security elements (see Agreement for Outgoing Transfers, Appendix C).

The department reserves the right to review any plans for exhibition and interpretation of loaned artifacts and to refuse approval of those plans which in the estimation of the Department would result in improper or inaccurate exhibition or interpretation of these artifacts.

DISPOSITION

Selective removal of material from the state's archaeological collection may be appropriate. As stated earlier, certain types of redundant material with limited context have questionable long-term research and exhibit value and may be removed from the permanent collection. These materials may be removed from the state's archaeological collection under the supervision of the Chief Curator in consultation with the collections review committee and, whenever possible, with the principal investigator. Careful documentation of all dispositions should be maintained along with the original records pertaining to the objects being removed from the collection.

The options for disposal of archaeological objects* include, in order of preference:

- transfer through donation or exchange to another repository for research or educational use.
- repatriation.
- physical destruction.
- return to rightful owner, for example, in cases where donor was not the legal owner.
- public auction (seldom appropriate for archaeological objects recovered in CRM or research context).

**adapted from Sullivan and Childs 2003. Curating Archaeological Collections. AltaMira Press.*

If you have any questions or need assistance, please contact the Collections staff of the
Department of Historic Resources
2801 Kensington Ave.
Richmond, VA 23221
FAX (804) 367-2972

Dee DeRoche, Chief Curator, 804-482-6441

Appendix A

COLLECTIONS DONATION AGREEMENT

Name of Donor ____

Address ____

______________________________ Phone No. ________________

Name of Collection ____________________ Site No. ________________

Description ____

____

I hereby donate the collection named above to the Department of Historic Resources to become its permanent property. The collection will be administered in accordance with the DHR's established policies. The DHR has title free and clear to process and preserve the collection and to use the donation for research and education on an unrestricted basis.

I certify that this collection was ethically or legally obtained, and I hereby indemnify and hold the DHR harmless from any liability concerning the procurement of this collection from its original location.

____________________ ____________________
Donor Signature Date

____
Title/Affiliation

____________________ ____________________
Chief Curator, DHR Date

Appendix B

AGREEMENT FOR INCOMING LOANS

Lender's Name ____

Address ____
____
____

Phone No.____

Purpose of Loan ____

Period of Loan: from ______________________to____________

Site No. ____

Materials Loaned______________________________See attached list.

Permission to process the materials for analysis
Processing may involve washing, numbering, mending, and/or conserving and will follow DHR Laboratory Procedures. Granted (yes or no):__________

Conditions Governing Loan

1. The Department of Historic Resources (DHR) will not alter or change the condition of the artifacts in any way, except with permission from the legal owner as granted above.
2. The DHR may utilize, photograph, reproduce, or loan the artifacts for any educational, cultural, or research projects. The DHR maintains the right to publish the findings of these projects.

3. The artifacts are loaned for the time specified on this form and will not be returned until said period is completed or upon 30 days notice.

4. The DHR shall, during the time the artifacts are in its possession or control, take all reasonable precautions to protect the artifacts from destruction by fire, or other casualty and disappearance by theft. The DHR shall have no financial responsibility nor shall the DHR have any obligation to insure the artifacts against damage, destruction or disappearance.

I certify that this collection was ethically or legally obtained, and I hereby indemnify and hold the DHR harmless from any liability concerning the procurement of this collection from its original location.

Person Authorizing Loan ______________________Date____________

Title/Affiliation ____

State Archaeologist, DHR ____

Chief Curator, DHR ____

Appendix C

AGREEMENT FOR OUTGOING TRANSFERS

The following artifacts from the Department of Historic Resources collections are transferred to:

Name:____

Address:______________________________________

____

Phone:____

Contact:_______________________________________

For the purpose of:________________________________

From the date of:________________until:____________________

Site Number:____________________________________

Number of objects:________________________ See attached listing for description.

Conditions Governing Transfer

1. Materials in the Department of Historic Resources (DHR) collections belong to the Commonwealth of Virginia or are maintained by the DHR through long term loan agreements with the owner and are available to qualified institutions for the purpose of exhibit or study. It is understood that these materials will be used in the best interest of the commonwealth; therefore, the DHR reserves the right to determine when a transfer of artifacts is warranted. Arrangements can also be made to study the collections at the DHR office in Richmond, Virginia.

2. The DHR reserves the right to review any plans for exhibition and interpretation of transferred artifacts and to refuse approval of those plans which in the estimation of the DHR would result in improper or inaccurate exhibition or interpretation of these artifacts.

3. The length of the transfer period will be determined by the Chief Curator after consideration of the recipient's interest and purpose. Transfers made by the DHR for period of three months or more are subject to recall by the DHR for its own purposes on notice of thirty days to the recipient.

4. The DHR will bill the recipient for all charges in connection with shipping or special packing incurred as a result of making this transfer. The transferred material shall be insured by the borrower at the value given against all risks for the full period of the transfer, including time in transit. The recipient must provide an indemnity agreement or insurance for insurable

materials prior to the transfer. Damages, whether in transit or on the recipient's premises, shall be reported to the DHR immediately, regardless of who may be responsible. Should damage occur during transit, notify the carrier at once. Save all packing materials until the carrier or his agent has had the opportunity to inspect them. No action is to be undertaken to correct the damage without the DHR being notified and approving such actions.

5. It is understood that artifacts covered by this agreement shall remain in the condition in which they are received. They shall not be cleaned, repaired, retouched, or altered in any way whatever except with written permission by the DHR. Technical examination, particularly that which alters or destroys the artifact, must be specially approved by the DHR.

6. The recipient must secure permission from the DHR to photograph the artifacts covered by this receipt for record, educational, and publicity purposes, or for reproduction in an exhibit catalog or professional report. Special permission must be granted for reproduction of such artifacts in any media for purposes of sale. All displayed or reproduced artifacts must be credited to the DHR including any special wording as directed.

7. The DHR requires that certain conditions be met when collections are transferred for study and analysis:

    a. If artifacts must be altered (for example, mended or labeled) in order for analysis of the material to proceed, the recipient must use methods approved by the DHR. It is of utmost importance that such alterations be reversible. The DHR must approve the use of any catalog system applied to the collections.

    b. When analysis of the transferred material is complete, the DHR must receive for its files, records documenting the research (including a description of methodology employed, data produced, and interpretations). If illustrations (photographs or drawings of transferred artifacts) are made to accompany a report, the DHR require that the illustrated artifacts be indicated as such and maintained separately in the collection by figure or plate number so that these artifacts may be integrated into the DHR Study Collection.

    c. The transfer of materials does not include permission to publish findings, analyses, or any written study that may result from examinations of the said material. Separate written application to publish must be made to the State Archaeologist specifying the nature of the intended publication. In any subsequent written report the source of the research material must be acknowledged.

8. Upon completion of the transfer period, the borrower shall return the materials packed in the same manner as received (with the same cases, packages, pads, wrappings, and other furnishings which ensure the organization and protection of the materials). Any changes must be specifically authorized in advance. The material shall be returned via DHR approved transportation. All costs for transportation connected with the transfer will be paid by the borrower unless other arrangements are made.

Receipt of the materials summarized above and described in the attached listing, all in good condition, is hereby acknowledged, and the conditions governing the transfer are hereby accepted.

______________________________ ______________________
Recipient's Signature Date

____
Title/Affiliation

______________________________ ______________________
Chief Curator, DHR Date