TENNESSEE SHPO STANDARDS AND GUIDELINES FOR ARCHAEOLOGICAL RESOURCE MANAGEMENT STUDIES

(Revised) January 2008

INTRODUCTION

Since 1969, environmental assessment and impact studies have generated a large number of archaeological survey reports. It is incumbent on the archaeological profession to reduce the variation in content, description and documentation of work conducted, and a lack of appropriate recommendations in keeping with legal compliance by federal agencies. Consequently, there is a critical need for a clear and concise statement of what kinds of information should be presented in a cultural resource document so that reports can be used effectively for federal decision making and comparative research.

In each state, the State Historic Preservation Officer is charged with the responsibility for coordination of state and federal cultural resource surveys as well as review responsibilities for surveys and data recovery done in compliance with the National Historic Preservation Act of 1966 (as amended). It is in this view that the following standards and guidelines for qualifications and reporting will be required for archaeological reports resulting from projects involving federal aid, licenses, or permits.

Legal Considerations

In recent years, federal agencies have become more attentive to their legal compliance with the National Historic Preservation Act (PL 89-665), the Archaeological Resources Protection Act (PL 96-95), the Archaeological and Historic Preservation Act (PL 93-291), and the National Environmental Policy Act (PL 91-190).

Consequently, it has become even more important that cultural resource consultants fully understand the technical legalities of preservation law so that they can provide the best service to their clients and can help protect cultural resources using the letter of the law as well as the spirit.

Attached to these Standards and Guidelines is a current list of federal preservation laws, rules, and regulations. We strongly recommend that every consultant and agency become familiar with these documents and that they fully understand their responsibilities in the compliance process.

Role of the State Historic Preservation Officer

Under current preservation legislation, the State Historic Preservation Officer (SHPO) does not approve nor disapprove of any federal undertaking; the role is one of providing information and opinions on the significance of properties and on appropriate plans to avoid, minimize, or mitigate adverse impacts. In a sense, the SHPO is the state arm of the Presidential Advisory Council on Historic Preservation and Office of Archaeology and Historic Preservation. Specific legal responsibilities of the SHPO are given at 36 CFR 61.2 and 36 CFR 800.

LEVELS OF INVESTIGATION

Tennessee has a tremendous variety of geological, topographic, and physiographic regimes, ranging from the Gulf Coastal Plain on the west to the Appalachian Highlands on the east. This variety of conditions makes it nearly impossible to specify general requirements for survey. The following should be considered general guidelines for projects, but consultants should consult with the Federal Programs Archaeologist concerning specific projects and project areas.

Phase I Survey. A reconnaissance level survey is designed to identify archaeological sites of prehistoric and historic nature. In general, these surveys are designed only to identify sites, not to evaluate their significance or eligibility to the National Register of Historic Places. Intensity of methods will be determined by the individual project location and may range from a "walk-over" and visual inspection of a plowed field to shovel testing in open pasture to backhoe investigations in situations with the potential for deep colluvial or alluvial deposits. The position of the Tennessee SHPO is that qualified professional archaeologists are hired for these projects because of their experience and abilities in determining the level of investigation necessary. As a result, this office will not specify details of investigation such as distance between shovel tests or similar methodologies. We will provide guidance on specific projects and project areas upon request. At a minimum, a Phase I survey should provide for the identification of sites within the project's Area of Potential Effect (APE) and their approximate boundaries.

Phase II Testing. Phase II projects involve the testing of previously identified archaeological sites for their eligibility to the National Register of Historic Places (NRHP). This level of investigation may include controlled surface collections of plowed fields, strip plowing of areas with subsequent controlled collections, test units, intensive shovel testing, and other appropriate methods for the determination of the extent and nature of archaeological deposits at the site or sites. Again, due to the highly variable nature of each site, this office will not issue a set of general specifications for number of test units or other requirements. The end result of a Phase II project should include, at a minimum, recommendations concerning the eligibility of the site to the NRHP, and firm identification of site boundaries within the project APE. If the site is recommended eligible by the consultant, Phase II investigations should yield recommendations for potential modifications of the project that might avoid impact to the site. Phase II testing reports SHOULD NOT include proposed data recovery plans and research designs. In accordance with 36 CFR 800 (64 FR 27044, May 18, 1999), data recovery excavation is an ADVERSE EFFECT to cultural resources. All avenues of avoidance must be exhausted prior to consideration of Phase III data recovery excavation.

Phase III Data Recovery. If project plans cannot avoid impact to an NRHP eligible archaeological site, it may be determined that the Adverse Affect can be mitigated through data recovery excavation. Data recovery is intended to remove and record the archaeological information at a site or sites. Because of the unique or nearly unique nature of each archaeological site, requirements for mitigation will be determined through a process of consultation between the appropriate federal agency and the SHPO.

CONSULTANT QUALIFICATIONS

The general rationale of specifying minimum qualifications is that the recognition and evaluation of the significance of archaeological properties requires professional training and experience. The following standards surpass the published requirements of the Department of the Interior (36 CFR 66[42FR 5371-5383, Jan. 28, 1977]), and represent the minimum qualifications acceptable for principal investigators and field directors on Section 106 compliance projects conducted in Tennessee. The qualifications also meet the requirements specified by the Tennessee Division of Archaeology (TDOA) archaeological permit application for investigations conducted on state property. In cooperation with the State Historic Preservation Officer, TDOA maintains a List of Consulting Archaeologists who have demonstrated, at a minimum, that their personnel meet the standards and guidelines presented below. Individuals may petition to the State Archaeologist for exemption from the qualification requirements. The decision of the State Archaeologist may be appealed by the individual to the TN Archaeological Advisory Council.

PHASE I SURVEY

PRINCIPAL INVESTIGATOR

Graduate degree in archaeology, anthropology or closely related field

24 weeks of field experience under the supervision of a qualified archaeologist, of which no more than 12 weeks was survey

20 additional weeks of field archaeological experience in a supervisory capacity (i.e. field director, crew chief, or similar position)

8 weeks of laboratory experience under the direct supervision of a qualified archaeologist

Documentation of the successful completion of archaeological research in Tennessee or the Southeastern United States

FIELD DIRECTOR

52 weeks of field experience under the supervision of a qualified archaeologist.

PHASE II TESTING AND PHASE III DATA RECOVERY -- HISTORIC SITES

PRINCIPAL INVESTIGATOR

Graduate degree in archaeology, anthropology or closely related field

24 weeks of field experience under the supervision of a qualified historical archaeologist on sites and artifacts of an historical period

20 additional weeks of field archaeological experience in a supervisory capacity on sites and artifacts of an historical period (i.e. field director, crew chief, or similar position)

8 weeks of laboratory experience under the direct supervision of a qualified historical archaeologist on sites and artifacts of an historical period

Documentation of the successful completion of archaeological research on historic period sites in the Eastern United States

FIELD DIRECTOR

Graduate degree in archaeology, anthropology or closely related field

52 weeks of field experience under the supervision of a qualified historical archaeologist.

PHASE II TESTING AND PHASE III DATA RECOVERY -- PREHISTORIC SITES

PRINCIPAL INVESTIGATOR

Graduate degree in archaeology, anthropology or closely related field

24 weeks of field experience under the supervision of a qualified prehistoric archaeologist on sites and artifacts of a prehistoric nature

20 additional weeks of field archaeological experience in a supervisory capacity on sites and artifacts of a prehistoric nature (i.e. field director, crew chief, or similar position)

8 weeks of laboratory experience under the direct supervision of a qualified prehistoric archaeologist on sites and artifacts of a prehistoric nature

Documentation of the successful completion of archaeological research in Tennessee or the Southeastern United States

FIELD DIRECTOR

Graduate degree in archaeology, anthropology or closely related field

52 weeks of field experience under the supervision of a qualified prehistoric archaeologist.

REPORTING STANDARDS AND GUIDELINES

The following shall not be interpreted to restrict the inclusion of any data deemed important. These standards and guidelines are minimum requirements to insure research comparability and to comply with the Secretary of the Interior's Standards and Guidelines. The following sections have been adapted from "Standards and Guidelines for Quality Control in Archaeological Resource Management in the Southeastern United States" by J. A. Bense, H. A. Davis, L. Heartfield, and K. Deagan, *Southeastern Archaeology* 5(1):52-62. A checklist of report components is also included to assist authors.

1. **Title Page.** This page shall include:
   a. Title of the report, including the name and location of the project (e.g. "Archaeological Survey of the Proposed Jones Wastewater Treatment Facility Tract, Nashville, Davidson County");
   b. Names of author(s), field director(s), and principal investigator(s); institutional affiliation, address, and phone number;
   c. Point of contact including institutional affiliation, address, and phone number of the client for whom the report was prepared;
   d. Lead federal agency requiring compliance. If you don't know, ask your client;
   e. State and/or federal archaeological permit numbers, where applicable; and
   f. Month and year of report.

2. **Management Summary.** The management summary shall contain the following:
   a. Statement of whether the project is a reconnaissance survey, testing for National Register eligibility or data recovery for mitigation;
   b. General project location;
   c. If this is a Phase I survey, Area (in square miles) covered by the survey;
   d. Statement of findings (i.e., negative finding, or sites identified, examined, or excavated during the course of the project)
   e. A paragraph summary on each site reported, giving the state site survey number and a description of findings and recommendations.

3. **Table of Contents.**

4. **Introduction.**
   a. Client and, if different, federal agency requiring compliance;
   b. Brief description of project for which compliance is being undertaken;
   b. Geographic limits of study area;
   c. Scope of work;
   d. Dates of investigation and names and positions of project personnel;
   e. Place of temporary and final curation of artifacts and other project related materials.
   f. USGS quad map showing the <u>geographic limits of the survey area</u>, and <u>locations of sites</u> mentioned in the text (if any). This may be attached as an appendix.

5. **Environment.** Describe the present environment of the area and how the prehistoric/historic environment may have differed.

6. **Literature Review/Culture/Historical Background.** Summarize the archaeological and historical information from literature searches, **including the most recent documented data available,** to provide a framework for prehistoric culture periods and the course of historical development in the area. Include a short discussion of known sites and indicate the types of sites expected in the area of investigation. Repositories consulted and dates of consultation shall be listed with addresses (personal library, firm/agency library, SHPO compliance library, Division of Archaeology library, etc.).

7. **Field Methods.** This section should contain:
   a. Detailed summation and evaluation of field techniques used, including sampling and recording techniques (If the complete range of artifact types was not collected, a rationale should be given for differential recovery methods.);
   b. Note all constraints on investigation (limitation of access, poor visibility, adverse weather conditions, etc.);
   c. Maps showing the location of survey transects and locations of subsurface tests.

8. **Laboratory and Analytical Methods.** Include the following:
   a. Classificatory/typological schemes used for analysis;
   b. Means of determining chronological affiliation;
   c. Location where artifacts and records are to be curated, include accession numbers assigned to materials obtained from each site. If materials are to be curated by the Tennessee Division of Archaeology, this section must include appropriate TDOA accession numbers.

9. **Results of Investigations.** This section should include the following:

   Negative Finding Reports
   a. Section numbers 5 and 6 above may be reduced, but shall address the known and expected types of sites given the environmental setting and culture history of the area.
   b. Discuss possible reasons why resources were not located given the known or expected types of sites in the area (previous disturbance, poor visibility, possibility for buried sites, unlikely location for sites, etc.).

   Positive Finding Reports
   a. Describe each site in short narrative form using state site survey numbers.
   b. Enumerate and describe artifacts in tables, including illustrations of a representative sample of diagnostic artifacts used to determine cultural affiliation and/or site type. Artifact tables should summarize data by parameters such as artifact type and provenience. Artifact inventories should **not** consist of lengthy lists for each individual test, excavation, or collection unit.
   c. Surveys using any form of subsurface investigation (i.e. shovel test, auger test, hand or mechanically assisted excavated units or trenches) must include, at a minimum, scaled profile drawings characteristic of the site stratigraphy.
   d. Clear photographs depicting significant project data (i.e. site conditions, features, profiles, plan views, diagnostic artifacts). Digitally scanned or xeroxed photographs must be "crisp and clear".

10. **Recommendations.** While the eligibility of specific sites in terms of the NRHP is determined through consultation between the federal agency and the SHPO, consultants are required to make recommendations based on their field investigations in reports. This section should include the following:
    a. For no sites recorded or reported, a recommendation for no further investigation of the project area because no sites were identified and none are expected.
    b. For each site recorded or reported,
       (1) A recommendation for eligibility to the NRHP (i.e. ineligible; potentially eligible; eligible; or previously listed);
       (2) Reasoning for each recommendation in 10.b.1; If a site is recommended as NRHP eligible, the consultant should identify the appropriate NRHP criteria used for the eligibility recommendation;
       (3) Known or potential effects of the proposed project in as much detail as is available;
       (4) Proposed reasonable modifications to the project design which might avoid effects to sites identified within the project impact area.

TENNESSEE STATE HISTORIC PRESERVATION OFFICE
CHECKLIST FOR CULTURAL RESOURCE MANAGEMENT REPORTS

ADEQUATE	INADEQUATE	REPORTING STANDARD	COMMENTS
		TITLE PAGE	
		Report title	
		PI and author's names	
		Institutional affiliation and client	
		Lead federal agency	
		Contract/Permit #s	
		Date	
		MANAGEMENT SUMMARY	
		Level of investigation	
		Statement of findings	
		Site summary	
		Survey area in square miles	
		Recommendations	
		TABLE OF CONTENTS	
		INTRODUCTION	
		Client/Agency	
		Study area (text & map)	
		Scope of work	
		Project description/Impacts	
		Dates/Staff composition	
		Disposition (temporary & final)	
		ENVIRONMENT	
		Present/Historic/Prehistoric	
		LITERATURE REVIEW OF REGION	
		Prehist. Framework/Hist. Devel.	
		Known/Expected sites	
		Repositories/Consultation dates	
		FIELD METHODS	
		Sampling/Recording techniques	
		Collection/Recovery	
		Investigation limitations	
		Map of transects/Subsurface tests	
		LAB AND ANALYTICAL METHODS	
		Classifications/Typology	
		Chronological determinations	
		Final curation/Accession #s	
		RESULTS	
		If negative, why?	
		Site descriptions/TDOA site #s	
		Completed site forms to TDOA	
		Artifact tables/Illustrations	
		Soil profiles	
		Photographs	
		RECOMMENDATIONS	
		No sites /No Further Investigation	
		NR eligibility (Y/N)/Justification	
		Site significance/Research ?s	
		Potential effects/Avoidance	

PROCEDURAL REQUIREMENTS

Consultation of Site Survey Files. Consultation of official repositories to identify previously recorded sites. The only official repository for this information is the Tennessee Division of Archaeology, Central Office, Nashville, Tennessee. For very small scale projects, consultants may contact the Site File Curator to determine if information can be provided verbally. For larger scale projects, consultants should include travel to this office in their budget proposals. Staffing and office limitations **REQUIRE** that consultants set up an appointment prior to site file consultation.

Notification of Fieldwork. The Federal Programs Archaeologist shall be informed, by phone or mail, of the date fieldwork (survey, testing, and data recovery) will begin.

Completion of Tennessee Site Survey Record. Compliance projects identifying sites **MUST** file **COMPLETE** Tennessee Site Survey Records with the Division of Archaeology. Forms can be obtained from the Site File Curator, and shall be submitted for assignment of numbers prior to submittal of draft reports. Updated Site Forms must also be submitted for all previously identified sites investigated during the current study.

Reports containing field numbers will not be accepted. State site survey numbers may be assigned on limited field information, but final report approval will be conditional upon submittal to the Site File Curator of revised, complete site records following completion of analysis.

Application for State Archaeological Permit. All archaeological work on state-owned lands, or lands proposed for state acquisition shall be conducted under a State Archaeological Permit. Approval requires submittal of a State Archaeological Permit Application, and issuance of the permit by the State Archaeologist.

Draft Report Submittal. All reports (Phase I, II and III) shall be submitted in draft format for review and comment by the SHPO. Two copies of the draft shall be submitted to Mr. E. Patrick McIntyre, Jr., SHPO, Tennessee Historical Commission, Cloverbottom Mansion, 2941 Lebanon Road, Nashville, TN 37242-0442. Upon receipt of comments by the SHPO, the submitter shall complete the requirements given below.

Final Report Submittal. The following numbers of reports shall be submitted:

1. **Phase I Survey and Phase II Testing Reports.** A minimum of seven copies of final Phase I and Phase II reports shall be submitted to the SHPO for distribution to: Tennessee Historical Commission (1); Tennessee Division of Archaeology (2); McClung Museum Library (1); Jeffrey L. Brown Institute of Archaeology Library (1); Middle Tennessee State University Anthropology Library (1); and Chucalissa Museum Library (1). **NOTE:** For projects on state property, this requirement is not in addition to the number of reports specified in the conditions of a State Archaeological Permit.

2. **Phase III Mitigation Reports.** Required number of copies for Phase III mitigation reports will be determined through consultation between the applicable federal agency, the SHPO, and in some instances the Presidential Advisory Council on Historic Preservation.

TENNESSEE DIVISION OF ARCHAEOLOGY

ARCHAEOLOGICAL CURATION REQUIREMENTS

The Tennessee Division of Archaeology (TDOA) is the authorized curator of archaeological collections retrieved from state-owned land. The State Archaeologist reviews requests to curate collections from private or federal land on a case-by-case basis with written curation permission from the land owner or agency representative. Curation requests and questions regarding packaging requirements should be directed to the TDOA Site File Curator. Collection materials include but are not limited to artifacts, field notes, maps, negatives, slides, and other project documentation.

ARTIFACTS

Secure artifacts in sealed plastic bags, at least 2 MIL thick. Label with permanent marker on the bag and on archival paper inserted in the bag, including the following information:

a. state site number;
b. state accession number (available from the Site File Curator);
c. appropriate provenience information (i.e. unit, shovel test, etc.).

Package artifacts in storage boxes with removable lids approximating L15.5 in. x W12.5 in. x H10 in. Label boxes on one end with the following information:

a. state site number(s);
b. state accession number(s);
c. site name and project name (optional). For example:

SR 73, Phase I 40JG25 Doe Site 95 - 2

or

40WL127	92-225
40WL128	92-226
40WL129	92-227

NOTE: For artifacts such as fire cracked rock, unmodified chert cobbles, limestone fragments, or brick, retain a sample, then weigh, record and discard the remainder. Tabulate, describe and discard late 20th century materials, such as aluminum cans or bottle glass, that have no bearing on site interpretation. Do not include unprocessed soil samples. Questions regarding curation of processed soil samples should be directed to the Division staff on a case-by-case basis.

FIELD NOTES AND MAPS

Package field notes in a secure, consolidated format. Label each document package (i.e. notebook, folder, etc.) and map with state site and accession numbers.

NEGATIVES AND SLIDES

Submit photographic negatives and slides in archival quality negative sleeves for a three-ring or four-ring binder. Label each photo sleeve with site number and provide a photographic record sheet with basic information, by negative number, for each negative. Label each slide with the state site number and provenience description.

TRANSFER OF MATERIAL TO TDOA

To make arrangements for transfer of material contact Suzanne Hoyal, TDOA-Nashville, (615) 741-1588, ext. 104. A transfer memo should accompany delivered material.

SHPO CONTACTS FOR ARCHAEOLOGICAL MATTERS

In the State of Tennessee, review and compliance responsibilities concerning archaeological matters are carried out by the Tennessee State Historic Preservation Office.

General compliance issues, specific project review, technical assistance on Request for Proposals or Scope of Services, and notification when fieldwork begins should be directed to the attention of the Federal Programs Archaeologist.
Jennifer M. Barnett (615) 741-1588, ext. 105

Requests for site recording information, information on previously recorded sites within a project area, appointments for review of Site Survey files, and similar requests should be directed to the attention of the Site File Curator.
Suzanne D. Hoyal (615) 741-1588, ext. 104

Requests for State Archaeological Permits should be submitted to the attention of the State Programs Archaeologist.
Mark Norton (615) 741-1588, ext. 113

Tennessee Division of Archaeology
1216 Foster Avenue, Cole Bldg #3
Nashville, TN 37243

Telephone: (615) 741-1588 FAX: (615) 741-7329

BASIC LEGISLATION AND CODIFIED RULES AND REGULATIONS

National Historic Preservation Act as amended Public Law 89-664 (16 U.S.C. 470)

National Environmental Policy Act as amended Public Law 91-190 (42 U.S.C. et seq.)

NEPA Regulation 40 CFR 1500-1508 (43 FR 55978-56007; November 29, 1978).

Native American Graves Protection and Repatriation Act, Public Law 101-601 (104 Stat. 3048; 25 U.S.C. 3001-13; November 16, 1990).

Advisory Council Procedures for the Protection of Historic and Cultural Properties. 36 CFR 800 (revised 64 FR 27044, May 18, 1999).

National Register of Historic Places. 36 CFR 60.

Criteria for Comprehensive Statewide Historic Surveys and Plans. 36 CFR 61 (42 FR 47658-47661).

Determinations of Eligibility for Inclusion in the National Register of Historic Places. 36 CFR 63 (42 FR 47661-47669).

Executive Order 11593, May 13, 1971, "Protection and Enhancement of the Cultural Environment."

Archaeological Resources Protection Act of 1979, Public Law 96-95 (16 U.S.C. 470).

Archaeological and Historic Preservation Act, Public Law 93-291 [16 U.S.C. 469(a)].

Recovery of Scientific, Prehistoric, Historic, and Archaeological Data: Methods, Standards, and Reporting Requirements. 36 CFR 66 (42 FR 5371-5383; January 28, 1977).