

**Before conducting an archaeological study\*\*\* in the District please:**

- 1) Request a Resources Identification from the DC SHPO - there is no other way to obtain previous survey and site files data for the District.
- 2) Submit a work plan to the DC SHPO Archaeologist for review and approval before starting any survey.
- 3) GIS cut-and-fill analysis and geoarchaeology consultation may be required for a Phase I/IA archaeological investigation. Geoarch is a minimally-destructive, efficient, and cost-effective way to quickly identify whether buried deposits with archaeological potential are present; GIS is non-destructive. A successful work plan should include both techniques if appropriate.
- 4) The "Fast-track" process is mentioned on p. 12, and explained in "Phase I Archaeological Survey Outline" in an appendix at the back of this document.
- 5) Office of the Chief Medical Examiner's procedures & forms concerning the discovery of human remains are also provided in an appendix.
- 6) Projects that will be curated by the DC SHPO may require completion of a Workplan & Collections Agreement form (example is provided in a appendix at the end of this document).

**\*\*\*In no case should any work proceed without consultation and submission of a work plan for review and approval by the DC SHPO\*\*\***

# GUIDELINES FOR ARCHAEOLOGICAL INVESTIGATIONS IN THE DISTRICT OF COLUMBIA

**The following are REQUIRED for final report submissions to be accepted:**

- 1) Prior to submitting reports and collections please ensure all required elements are included by reviewing the "D.C. HPO Archaeological Compliance Survey Report Checklist" and "DC HPO Archaeological Collections Submission Checklist". Both checklists are provided in this document's appendices.
- 2) Include a completed site form when appropriate, available as a Word doc and PDF - contact the SHPO archaeologist for a copy.
- 3) Submit an electronic (PDF) copy of the complete report, including site form(s), NADB form SHPO concurrence letter, and a public project summary suitable for posting on a web site.
- 4) Signed Collections Transmittal Form, and the Collections Agreement Form (when required).
- 5) Current collections processing guidance and database requirements will be provided during the consultation process.
- 6) It is typical for curation facilities to assess fees; please budget accordingly. The DC SHPO does not currently charge a curation fee.

**Issued by**

District of Columbia Office of Planning  
Historic Preservation Office  
and  
District of Columbia  
Historic Preservation Review Board  
1998 – with revisions 2007 and 2018

**Prepared by**

District of Columbia Preservation League  
In association with:  
Greenhorne & O'Mara, Inc.  
Parsons Engineering Science, Inc.  
Woodward-Clyde Federal Services, Inc.

**DC Office of Planning GIS standards:**

ESRI Shapefile (\*.shp) format with a spatial reference for Washington, D.C. using the North American Datum (NAD) 1983 State Plane for Maryland FIPS 1900 in 1 meter units with a central meridian of -77, and latitude of origin at 37.6666

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These "Guidelines for Conducting Archaeological Work in the District of Columbia" have been funded with the assistance of a matching grant from the U.S. Department of the Interior, National Park Service, through the D.C. Department of Consumer and Regulatory Affairs, Historic Preservation Program, under provisions of the National Historic Preservation Act of 1966, as amended. This program receives Federal financial assistance for identification and protection of historic properties. Under Title VI of the Civil Rights Act of 1964, as amended; and Section 504, National Rehabilitation Act of 1973, as amended, the U.S. Dept. of Interior (and the District of Columbia), prohibit discrimination on the basis of race, color, age, national origin, or handicap in its federally assisted programs. If you believe you have been discriminated against in any program activity, or if you desire further information, please write to: Office of Equal Opportunity, U.S. Dept. of Interior, Washington, D.C. 20240

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## ACKNOWLEDGMENTS

The *Guidelines for Archaeological Investigations in the District of Columbia* were developed as cooperative effort among the District's archaeological and historic preservation communities. Draft guidelines were the product of a grant from the Historic Preservation Fund Survey and Planning Grant Assistance Program, which was part of the Department of Consumer and Regulatory Affairs FY1995 (Round II) Grant-In-Aid program. The helpful assistance of Don McCleary and Stanley Onye in managing the grant application and implementation process is acknowledged and appreciated. Overall guidance for the development of the guidelines was provided by Mr. Stephen J. Raiche, Chief, Historic Preservation Division and the District of Columbia Historic Preservation Review Board.

The District of Columbia Preservation League (DCPL) administered this grant under the guidance of Julie Mueller, Sam Friedman, and Sally Berk. The program's steering committee was comprised of: Nancy Kassner, Staff Archaeologist, DC Historic Preservation Division; Robert Sonderman, Archaeologist on the District of Columbia's Historic Preservation Review Board; Elizabeth Crowell, Senior Archaeologist, Parsons Engineering Science, Inc.; Bernard K. Means, Research Archaeologist, Greenhorne & O'Mara, Inc.; and John H. Sprinkle, Jr., Principal Historian, Woodward-Clyde Federal Services.

A workshop for the development of these guidelines was held on June 5, 1995, in which the preservation community in Washington, D.C., along with archaeologists located in the Mid-Atlantic Region, were invited. Participants included: Donna Seifert and Charles Cheek, John Milner Associates; Michael Petraglia, Petar Glumac, Carter Shields, Parsons Engineering Science; Richard A. Geidel, KCI Technologies; Pam Cressey, Steve Shephard, Fran Bromberg, Barbara Magid, Alexandria Archaeology; Gary Shaffer, Beth Cole, Maryland Historical Trust; Janet Friedman, Dames and Moore; Ann Palkovich, George Mason University; Paul Inashima, Steve Strach, Marian Creveling, Linda McPeck, National Park Service; Charlie LeeDecker, Louis Berger, Inc.; Janice Artemel, Windwalker Corp; and Louise Akerson, Baltimore Center for Urban Archaeology. Laura Henley Dean, Meredith Wilson and Tom McCullough, representing the Advisory Council on Historic Preservation, also participated in the workshops. The hard work and commitment of these participants in drafting the guidelines is gratefully acknowledged.

These guidelines draw heavily on the foundation laid by the Maryland Historical Trust's *Guidelines for Archaeological Investigations in Maryland* (Shaffer and Cole 1994). The varied assistance and cooperation of the staff at the Maryland Historical Trust is gratefully acknowledged.



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## **I. INTRODUCTION**

### **A. PURPOSE OF THE GUIDELINES**

Until now there has been no standardization of requirements for archaeological studies conducted in the District of Columbia. With the guidelines that follow, there now can be greater consistency in the work that is performed and a uniform set of standards for the quality of archaeological work that is conducted in the District. Consequently, there can be consistency in reviewing the archaeological reports resulting from this work. These guidelines are to be used by professional archaeologists, both those who previously have worked in D.C. and those who have not; compliance officers and other decision-makers in Federal Agencies; academicians; researchers and the general public. These guidelines detail the reasons why archaeology should be undertaken and the level of effort required at each phase of work; or during a project. The goal of the guidelines is to standardize the level of effort required and to assure the quality of archaeological investigations for all archaeologists who conduct work in the District of Columbia.

### **B. DEVELOPMENT OF THE GUIDELINES**

For the past fifteen years, archaeological work in the District of Columbia has increased from a few projects a year to at least 25 - 30 projects a year. In the earlier years it often was assumed that the District's archaeological resources either were disturbed or destroyed because of the built environment. Over time, as the number of compliance projects increased, however, it became quite evident that important archaeological resources still do remain in this built environment. Because the intact sites that are available for study are relatively scarce, however, their excavation must be conducted with a thoughtful and careful approach. These guidelines have been developed to direct archaeological study in the District and meet this goal. This project has been in the planning stage a long time; each archaeologist who has worked in this office has realized the necessity for the guidelines. With only one archaeologist in the Historic Preservation Office, however, it was important that these guidelines be developed with input from other professionals in the Preservation field. This effort was accomplished through a grant from the National Park Service. Three professional consultant groups responded to a Request for Proposal (RFP) issued regarding the development of these guidelines. Since each proposal differed in its approach, it was decided that the ideas from each of the groups would be incorporated into one grant, and that all three consultants would be participants in this grant, along with the staff archaeologist in the D. C. State Historic Preservation Office, and, the archaeologist on the D. C. Historic Preservation Review Board. The grant then was to have oversight by the D. C. Preservation League, a non-profit historic preservation group in the District. A mailing list of invitees to a workshop on developing D. C. Archaeological Guidelines was created which included the archaeological community, architectural historians, historians, architects, the greater preservation community, developers, and members of the public. As expected, the bulk of the respondents were from the archaeological community, not only from the Washington, D. C. area, but from other Mid-Atlantic states, as well.

The workshop, held on June 5, 1996, was a major success. Using the Standards and Guidelines for Archaeological Work in Maryland as a template, each workshop leader modified a chapter of the guidelines (i.e., identification, evaluation) as it pertained to the District and with the input of the workshop attendees, developed this draft of Archaeological Guidelines to be used in the District of Columbia. The next step in this process, before the finalization of the guidelines, will be the presentation of these Guidelines to the members of the Historic Preservation Review Board for their input and any suggestions, additions, corrections, or changes. A large scale mailing of this document also will go out to the historic preservation community and the public for its review, and comments, if any. After all comments are reviewed and incorporated, final guidelines will be produced.

### **C. HISTORIC PRESERVATION REVIEW PROCESS IN THE DISTRICT OF COLUMBIA.** \* See Note below.

The District of Columbia has a strong historic preservation law, the Historic Landmark and Historic District Protection Act of 1978, D. C. Law 2-144. This Historic Protection Act provides for the official landmark designation of Landmarks and Historic Districts. It also requires that certain types of work affecting designated properties be reviewed to ensure that historic characteristics are preserved. It does provide for the protection of archaeological resources, if they are designated as landmarks.

Under D. C. Law, projects are reviewed initially by Historic Preservation Division (HPD) staff who make recommendations to the Historic Preservation Review Board (HPRB). The HPRB is an eleven-member body appointed by the Mayor, comprised of preservation professionals and private citizens. The Review Board, which meets every month, discusses those projects brought before them by the staff. These projects usually consist of alterations/demolitions/new construction/ to historic properties. The HPRB then votes on how the project should proceed, based on the staff report, presentation made by the applicant, and comments (if any) by opposing and consenting parties. There have been several projects in the downtown historic district in which developers have proposed to demolish buildings which contribute to the historic district. As part of the mitigation for the loss of the building (if it is decided that it can be demolished) archaeological investigations have been required. Under these circumstances the developers have had to use their own funds to finance the excavation. In this case it is not realistic to have the developer go through all three phases of work, so a tight research design is necessary in order to direct the excavation, and to maximize the retrieval of scientific knowledge.

Under Section 106 of the National Historic Preservation Act of 1966, as amended, there has been a considerable amount of archaeological work conducted in the District. Some of the larger Section 106 cases are brought to the Review Board primarily as a courtesy to the Board (for example, the MCI Arena was reviewed by the Board). The Board may make a recommendation to the State Historic Preservation Officer, but the Board does not have the legal authority to make a decision regarding a 106 case. It is the SHPO that has the final authority in Section 106 decisions.

## D. QUALIFICATIONS OF INVESTIGATORS

Archaeological investigations are routinely complex endeavors that involve a wide range of professional specialists. Job titles include: Project Manager, Principal Investigator, Field Director, Crew Chief, Field Crew, Laboratory Director, and Laboratory Staff, in addition to photographers, draftspersons, computers specialists, editors, and document production staff.

The DC HPD recognizes the qualifications for investigators promulgated by the National Park Service (36 CFR Part 61: Appendix A). Although currently under review by the NPS, these guidelines specify the education, experience, and skills required by the person who directs archaeological investigations as well as other studies in historic preservation.

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

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

*In addition to these minimum qualifications, a professional in prehistoric archaeology shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the prehistoric period. A professional in historic archaeology shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the historic period (36 CFR Part 61: Appendix A).*

Following the theme of these professional qualifications, the DC HPD requires that for investigations in the District an archaeologist have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources found in urban contexts. The principal archaeologist who meets the qualifications listed above must be designated within any research designs, work plans, reports, or other documentation associated with an individual undertaking. The HPD retains the right to approve or reject the use of the proposed Principal Investigator or Field Supervisor if those individuals' qualifications are inadequate or not appropriate for the project. In addition, the personnel that have been designated as the Principal Investigator, and Field Supervisor, cannot be substituted without prior discussion with the Historic Preservation Division.

## **E. PERIODIC REVIEW OF GUIDELINES**

One of the important recommendations that developed out of the guidelines conference was the recognition that guidance for archaeological studies should be subject to periodic review for completeness and to address any changes made in procedures considered standard practice among historic preservation professionals. To address this concern, the DCSHPO will provide a periodic review of these guidelines on a two year cycle. The first review will occur two years from the day the final guidelines are published, if necessary. Individuals or organizations wishing to present suggested changes to the HPD should present written comments to: District of Columbia, Department of Consumer and Regulatory Affairs, Historic Preservation Division, 614 H Street, NW, Room 305, Washington, DC 20001, to the attention of Nancy Kassner, Staff Archaeologist.

## II. IDENTIFICATION OF ARCHAEOLOGICAL RESOURCES (PHASE I ARCHAEOLOGICAL SURVEY)

This chapter describes the goals, scope of work, archival and background studies, field investigations, analyses, and reporting required for completing Phase I archaeological surveys in the District of Columbia.

### A. GOALS

The purpose of the Phase I archaeological survey within the District is to identify the presence, or likelihood, of a project area to contain archaeological resources considered potentially eligible for the National Register of Historic Places. Phase I survey should comprise a reasonable and good faith effort to identify important archaeological resources.

This phase of archaeological investigation assumes that the project sponsor has:

1. Determined whether the proposed project is an undertaking that is subject to consideration under the National Historic Preservation Act or other applicable laws and/or regulations;
2. Explicitly defined the *project area or area of potential effect (APE) of the proposed undertaking*; and,
3. Conducted an *assessment of information needs* to confirm that further consideration of archaeological resources is warranted.

The project area is defined as *the geographic area or areas within which an undertaking may cause changes in the character or use of historic properties, if any such properties exist*. For undertakings requiring review under the National Historic Preservation Act, the project area is equivalent to the Area of Potential Effects (36 CFR Part 800.2(c)).

An assessment of information needs includes:

1. Identification of previously recorded archaeological sites, historic structures, or other cultural resources within the project area;
2. Identification of previous archaeological, architectural, or historical studies within the project area;
3. Consultation with the DCSHPO regarding the nature of potential impacts to archaeological resources within the project area; and,
4. Recommendation by the DCSHPO regarding the need for and scope of further archaeological studies.

The product of the identification phase of archaeological research should include:

1. A brief sketch of DC history and how the specific history of the project area fits within that general historical context;

2. A summary of the specific land use history for the project area that focuses on the physical integrity of potential archaeological resources and the impact of previous disturbance to the archaeological record (this includes a discussion of any utilities that have been placed in the area);
3. A summary of cartographic and other documentary information on the project area; and,
4. An assessment of archaeological sensitivity for the project area.

## **B. SCOPE OF WORK**

Phase I studies should explicitly include consideration of the objectives, methods, and expected results.

### **1. Objectives of the Study**

The objective of Phase I archaeological survey is to identify the presence, or likelihood of, archaeological resources within a given project area. Phase I surveys may be divided into two stages: *reconnaissance* and *intensive* surveys. Focusing primarily on documentary research, reconnaissance level surveys identify the likelihood of a project area to contain archaeological resources. Intensive level surveys, which include both background research and archaeological fieldwork, identify the presence of archaeological resources within a project area. In actual practice the boundary between reconnaissance and intensive archaeological survey is often blurred, given the necessity for flexibility in the design and implementation of archaeological studies in urban environments. In other words, in the urban environment, there are times when subsurface testing is conducted during the Phase I and there are times when excavation is not conducted during the Phase I. This depends on the particular project, and, the time constraints involved. Often when a Phase I is conducted, the Phase II is conducted immediately thereafter or there is a combined Phase I and II. This occurs because so much earthmoving is required that it becomes costly and time consuming to backfill, and then re-open the same areas for a Phase II. There also have been projects in which the Phase I research consisted only of documentary assessment completed at a Phase II level.

### **2. Methods and Techniques**

As with any scientific and professional endeavor, archaeological survey requires consideration of methods and techniques prior to the beginning of fieldwork. This description of methodology should present the libraries, archives, and other repositories where background research was conducted as well as the specific sources consulted. If fieldwork is conducted as part of the Phase I survey, a complete description of the methods and techniques must be presented so that the quality and integrity of the findings may be evaluated after fieldwork is completed. For both documentary and field studies it is vital that both negative and positive results be recorded as part of the standard methodology.

### **3. Expected Results**

Every archaeological study builds upon the foundations exposed by previous investigations of a region, area, or city. Part of the scope of work for Phase I survey must include a statement of expectations regarding the potential results of the study.

### **C. ARCHIVAL AND BACKGROUND RESEARCH**

Both reconnaissance and intensive Phase I surveys must include archival and background research. The purpose of this work is to identify, gather, and analyze information that is readily available regarding the history, development, land use, and archaeological sensitivity of a project area. Archival and background research comprise three principal components: documentary research; informant interviews, and analysis of archaeological collections.

#### **1. Documentary Research**

Documentary research is a vital component to all archaeological endeavors. Typical sources included written documents, such as: wills, deeds, and newspapers; maps and other cartographic sources; and, photographs and other illustrations. The purpose of documentary research is to identify and characterize the range of potential archaeological resources that may exist within a given project area. In addition, documentary research generally yields information on the history of land use within a parcel and how that history may have impacted the site's archaeological record.

Generally the following types of records are useful in completing documentary research:

- District of Columbia Archaeological Site Inventory;
- Archaeological Reports from sites excavated near the project area;
- Contractor's or developer's maps and planning documents;
- Historic maps and atlases, including U.S. Coastal Survey maps from the late 19<sup>th</sup> century;
- National Archaeological Database (NADB);
- National Register of Historic Places Information System (NRIS);
- Insurance records and maps, e.g. Sanborn/Baist Company maps;
- Publications on local prehistory and history;
- Environmental data sources, e.g. Natural Resources Conservation Service (formerly Soil Conservation Service) maps;
- Environmental Impact Statements and Environmental Assessments;
- Masterplans or other facility operation documents;
- Building and/or demolition permits;
- Taxation maps;



Reports to the Commissioners records;  
Street directories; and,  
Public utility records.

Additional records that are found will, of course, be acceptable.

## **2. Informant Interviews**

Many individuals retain important knowledge regarding the history of Washington, especially on recent developments within individual lots and parcels. Local neighborhood and preservation organizations should be contacted for information on individuals knowledgeable about sections of the District. In addition, personnel from various city agencies, government organizations, or long-time city businesses may have information about the history of individual parcels. Informant interviews may be combined with preliminary field inspections of a project area.

## **3. Archaeological Collections**

Although the District has yielded significant archaeological collections through excavations conducted during the late 19th century and throughout the 20th century, there is no one single repository for archaeological materials and their associated site records. At present the DC SHPO does not maintain a curation facility for artifact assemblages. Artifacts and field records may be found at the Smithsonian Institution, and at various colleges and institutions. In addition, several consulting archaeological firms retain collections resulting from excavations within the city.

Where appropriate, these wide ranging collections should be reviewed in order to provide a context for potential archaeological sites. Often analysis of previously-excavated collections is warranted prior to the continuation of archaeological work within one property or project area. For example, before completing Phase III excavation in 1995 at a site associated with development of Metro's Green Line, the artifacts and field notes from an early 1980s excavation were analyzed (Louis Berger & Associates, Inc. 1993). This work allowed the archaeologists to refine the research questions applied to the individual site during subsequent data recovery excavations (Louis Berger & Associates, Inc. 1994).

## **4. Sources of Information**

Until the establishment of the Federal city at the end of the eighteenth century, much of the District was part of Maryland, thus some background research may be required at the Maryland State Archives in Annapolis. For most projects, there are five principal repositories for documentary and archival information on the District:

As of April 2018 both the MLK and HSW/ Carnegie Libraries are closed for renovation and the staff and collections are in temporary quarters. Please contact them directly for current locations and hours of operation.

Martin Luther King Memorial Library  
9th & G Streets, NW  
Washingtoniana Room, 3rd Floor  
(202) 727-1111  
M-F: 9:00-9:00  
Sat: 9:00-5:30

National Archives  
Pennsylvania Avenue At 8th Street, NW  
Microfilms, Room 400  
(202) 501-5400  
M-F: 9:00-9:45  
Sat: 9:00-5:00

Library of Congress, Madison Building  
First & East Capitol Streets, SE  
Prints & Photographs, Room 337  
(202) 707-6394  
M-F: 8:30-5:00  
Geography & Map Division, Room BO1  
(202) 707-5522  
M-F: 8:30-5:00  
Sat: 8:30-12:00

Historical Society of Washington, D.C.  
1307 New Hampshire Avenue, NW  
(202) 785-2068  
Wed., Fri, & Sat: 10:00-4:00  
Thurs: 12:00-4:00 (members only)

Note - HSW has moved to the Carnegie Library at Mt. Vernon Square:  
801 K St., NW  
202-383-1800; [www.historydc.org](http://www.historydc.org)  
Tues - Sat. 10am-5pm

D.C. Archives, Office of Public Records  
Naylor Court, between 9th, 10th, N & O Streets, NW  
(202) 727-2052  
M-F: 7:30-4:00 (call for appointment)

In addition, due to the large federal land ownership in the District, it is important to contact the applicable federal (e.g., General Services Administration, Department of the Interior, Department of Defense, or Department of Housing and Urban Development); or other agency (Washington Metropolitan Area Transit Authority) for information derived from previously sponsored historic preservation projects. Often these agencies have conducted preliminary studies in association with the National Historic Preservation Act (NHPA) or the National Environmental Policy Act (NEPA) such as Environmental Assessments (EA) or Environmental Impact Statements (EIS) which may contain important information on historic development or landuse. EAs and EISs are not necessarily housed with the Historic Preservation Division.

The DCSHPO is the most important repository for information about the archaeological record of the District. The DCSHPO maintain records on National Historic Landmarks (NHL); National Register of Historic Places (NRHP) districts and individual properties; as well as a city-wide inventory of archaeological sites and structures. As of 1996, there are approximately 200 recorded archaeological sites within the District. Archaeological site forms for these properties are retained by the DC SHPO. Access to the information contained on these forms is restricted to professional archaeologists and other researchers with legitimate research interests in the location of archaeological sites across the city. In addition, the SHPO maintains records on approximately 21,000 standing structures, objects, and other buildings. These records presently are being entered into the National Park Service's Integrated Preservation Software (IPS) program for database management.

#### **D. FIELD INVESTIGATIONS**

The District of Columbia is composed primarily of urban land, with relatively small open areas of undeveloped parcels. Covered with buildings, structures, roadways, and parking lots, urban areas require distinctive technical approaches to archaeological studies, such that, urban archaeology is a recognized subdiscipline in the field of historical archaeology. In addition, because of the additive nature of urban construction, where large scale topographic transformation of individual parcels is possible and common, the potential for deeply buried archaeological sites and features often must be considered in cities. Traditional Phase I survey methods, such as the hand-excavation of shovel test pits or conducting surface collection of artifacts, are generally impractical in urban settings.

Urban environments present unique challenges to archaeologists, especially in the area of worker health and safety. In addition to complex stratigraphic contexts, the likelihood of deeply buried deposits means that excavation methodologies also must take into account applicable Occupational Safety and Health Agency (OSHA) regulations and guidelines for work in trenches, deep excavations, or confined spaces. Moreover, urban environments have the potential to contain parcels contaminated with hazardous materials. The presence of hazardous materials may be dealt with by employing the appropriate level of protection needed.

Given the difficulties of traditional excavation techniques within urban environments, Phase I studies within the District often comprise only reconnaissance level investigations, with background and archival work completed in conjunction with limited field investigations.

On *developed parcels* (e.g. those where machine-assisted excavation would be necessary) the Phase I field investigation should include:

1. Pedestrian reconnaissance of the entire project area;
2. Sketch of parcel, land use features, surface indications of cultural remains, etc.;
3. Mechanical excavation or test boring for geophysical and hazardous materials analysis; (this is not usually conducted by the archaeological consultant, but can be informative if it is obtained);

4. If warranted, machine-assisted excavation of trenches.

In areas that contain undeveloped parcels (e.g. where machine assisted excavation is not required) Phase I archaeological fieldwork should include the hand-excavation of shovel test pits, test units, or other excavation units designed to identify the presence or absence of below ground cultural remains. The distribution and interval of test pits may be left to the professional judgment of the project's Principal Investigator.

## **E. ANALYSES**

After background studies, archival research, and, if warranted, archaeological fieldwork is completed, the Phase I archaeological survey must analyze the data gathered. Analysis should focus on four components: a summary of archival and background research; a description of alterations over time to the urban landscape within the project area; a description of results of any field investigations conducted; and, an assessment of archaeological sensitivity. Archaeological sensitivity of a particular project area means the likelihood of the area, or portions of the area, to contain archaeological sites, features, or artifacts that may be reasonably considered important in understanding the history of the District. For archaeological projects sponsored in compliance with federal legislation, the threshold for significant archaeological sites is whether the property can be considered, after Phase I work, potentially eligible for listing on the National Register of Historic Places.

## **F. REPORTING**

Phase I archaeological surveys must follow the reporting requirements outlined in Chapter V. Generally, the requirements call for the production of a professional report that summarizes the goals, methods, and results of each Phase I investigation.

## **G. ARCHAEOLOGICAL SITE FORMS**

An archaeological site is the location of human activity in the past for which a boundary may be defined. Given the predominantly urban landscape of the District, the DC SHPO recommends defining archaeological sites as comprising the area encompassed by individual projects. Thus, a proposed project that involves an entire city block would receive one site number and a limited excavation on one lot within a city block would each be designated as an individual site. Completing the archaeological site form is required for all resources identified as a result of Phase I archaeological survey within the District.

The DC Archaeological Site Form is presented in Appendix A. In 1996, the DC SHPO adopted the Integrated Preservation Software (IPS) system for data management of its cultural resources data base. Beginning on June 30, 1997 all archaeological sites forms (either new or revised) must be entered into the DC SHPO IPS database.

The IPS system is no longer standard. Please contact the DC SHPO archaeologist for current data submission standards and collections processing guidelines.

**Additional Considerations:**

Occasionally projects in the District are on a "fast track", and must be completed within a compressed schedule. Under these circumstances, in order to maximize field time, Phase I and Phase II work is collapsed. That is, the historic work and Phase I testing is conducted as usual. However, if any intact resources are found and they are potentially eligible for the National Register, then Phase II fieldwork is conducted immediately on these resources. This eliminates the process of backfilling the trenches, writing a separate Phase I report, then returning to the field again to open the same trenches in order to conduct the Phase II work. When the Phase I study is complete the Principal Investigator for the project should meet with the DCHPD archaeologist and any appropriate Agency representatives to review Phase I findings and discuss the Phase II. At the completion of the Phase II work under these circumstances, a combined Phase I and Phase II report will be written.

### **III. EVALUATION OF ARCHAEOLOGICAL SITES (PHASE II TESTING)**

#### **A. OVERVIEW**

The purpose of the Phase II testing program is to evaluate the significance of archaeological sites threatened by project impacts. Significance is defined as the eligibility of an archaeological site for listing in the National Register of Historic Places.

The following criteria are used in evaluating properties for nomination to the National Register; this evaluation of eligibility will be conducted for all properties effected by Federal Agency undertakings.

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

- (a). that are associated with events that have made a significant contribution to the broad patterns of our history; or
- (b). that are associated with the lives of persons significant in our past; or
- (c). that embody the distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction; or
- (d). that have yielded, or may be likely to yield, information important in prehistory or history.

#### **D.C. Landmarks**

In order to evaluate significance, the Phase II investigation will involve a more intensive study of individual sites within the project impact area through techniques designed to reveal information on historic context, integrity, horizontal and vertical boundaries, and type and level of significance.

If sites meet the eligibility criteria for inclusion in the National Register of Historic Places, the Federal agency will assess whether the project will have an effect on the site, and whether that effect will be adverse (36 CFR 800.9). This assessment is made in writing to the State Historic Preservation Officer who will or will not concur with the determination of effect. If there is agreement as to the eligibility of the resource between the SHPO and the Federal agency, then a plan for the consideration of the resource will be developed. Adverse effects to archaeological sites may be mitigated through avoidance; excavation; or, occasionally, other methods.

If a resource is not considered eligible then no further field investigations would be necessary.

## **B. TASKS**

### **1. Scope of Work and Research Design**

For prehistoric, historic, or submerged sites, Phase II testing should be sufficient to evaluate site significance, including integrity, site boundaries and cultural affiliation. Specific methods and techniques will be developed on the basis of site conditions, the results of previous Phase I survey, and the background research. All Scopes of Work should be developed in consultation with the District of Columbia State Historic Preservation Office. Research questions appropriate to the endeavor will be developed in consultation with the D. C. SHPO and will be used to guide archaeological excavation. In the preparation of the scope of work, the placement of 20 percent of the trenches, units, and/or shovel tests should be left to the discretion of the Principal Investigator, dependent upon field conditions. The placement of the remaining trenches/units/shovel tests should be based upon where they will best address the research questions. Despite the anticipated variability of field methods, certain goals will be common to all Phase II investigations (see NPS 1982):

1. To define the category of the archaeological resource, usually as a site or as a district;
2. To establish horizontal and vertical site boundaries;
3. To determine if the archaeological resource has integrity. Archaeological information important in determining integrity includes internal site stratigraphy, natural and man-made post-depositional disturbances, site formation processes, the presence and nature of features, and the presence and preservation of artifactual and organic remains in their original context.
4. To establish the historic context for evaluating the archaeological resource. Archaeological information that may establish context includes:
  - a. period(s) of occupation- Phase II investigations should date the site, through (1) the recovery of a sufficient number of chronologically diagnostic artifacts to date the site or its components, (2) the recovery of datable carbon samples or other chronometric samples, or (3) the recording of geomorphological data that may provide approximate chronological limits to the occupation of the site.
  - b. functional type- Phase II investigations should identify site function by determining the presence and nature of features, the intrasite patterning of artifacts, site size (through boundary definition), and use of other analytical methods;
5. To identify the type of significance (criteria [a] through [d]), at a local, regional, or national level.

Site-specific research questions should be developed to direct the research and fieldwork at the site. The research questions should be such, that, in answering them, the National Register

eligibility of the site can be addressed. The research design should present proposed research questions and anticipated property types which may be present at the site.

Suggested Phase II research questions may include:

What is the sequence of the land use history of this property? How is that manifested in the archaeological record? What documentary sources are available to answer this question?

What has been disturbed? Is the disturbance localized?

What topographic changes have occurred on the property? (Compare them over time)

What is the occupation history of the property? What ethnic groups, socioeconomic groups, and/or occupational groups are represented by the inhabitants of the property?

What property types might be anticipated in the project area? How are they represented elsewhere in the District or region in terms of their frequency or infrequency?

Are potential buried environmental landforms present on the site?

Other research questions, directed specifically at the land use which occurred on the property should be developed, as well.

The research design also should address the applicability of the work to regional research questions, not just site specific ones. It also should be directed toward answering questions of a much broader nature, reflecting what "social events" were occurring at the time the site was occupied (and for which it is significant) (For example, in the early 19th century the Industrial Revolution changed the entire dynamics of the family; the class system; and women's roles. These are broader social issues that may be related to a site, or may provide the context for the site.)

Upon completion of the Scope of Work and Research Design, the resulting documents should be submitted to the DCSHPO for review and approval. Any DCSHPO comments should be incorporated into the final Scope of Work and Research Design which will direct the project.

If the Scope of Work or Research Design is more than 2 years old, it will need to be reevaluated by the DCSHPO, even if it already has reviewed and approved the Scope of Work and/or Research Design previously.



## **2. Background Research**

For prehistoric, historic, or submerged sites, supplementary documentary research beyond that conducted at the Phase I level is necessary to develop research questions and to develop the historic context for the evaluation of archaeological resources. This allows a more comprehensive understanding of the significance of the resources and, accordingly, of their potential eligibility for inclusion in the National Register. This phase of documentary research is necessarily more intensive and specific than that conducted at the Phase I level and should address the following considerations:

1. A more in-depth understanding of the character of the project or area of potential effects (APE) including occupation, land-use, and development;
2. A more in-depth review of the previous archaeological work conducted at the site and a synthesis of work on related site types in the region;
3. Site-specific documentary data on historic sites to be examined by archaeological field testing are particularly important in this phase. This is necessary so that the empirical data derived from the archaeological testing can be interpreted more fully within an historic context;
4. For historic sites, documentation of significant persons, events, or sites associated with or in the project area or area of potential effects (APE) shall be undertaken to determine the applicability of National Register criteria other than (d).

It should be noted that all the Phase II documentary research outlined above should be conducted prior to any field testing; however, this may not always be possible. In such cases on historic sites, sufficient documentary research shall be conducted prior to the field testing, including a title search to establish the history of property ownership, and research into other property-specific sources, such as diaries, tax maps, etc; so that basic decisions may be made as to field strategy and appropriate techniques. Additional research may be required after the completion of fieldwork, specific to features discovered as part of the study.

The minimum level of documentary research for a Phase II archaeological investigation on an historic site also includes examination of the following types of information:

1. Environmental data; topographic information available from current and historical topographic maps; and previous archaeological investigations shall be reviewed.
2. Primary sources shall be examined and assessed for the project relevant information they contain. Typical classes of documents that should be consulted include deeds, tax assessments, insurance surveys, census data, road dockets, city directories, maps, atlases, city plats, building permits, lithographs, photographs, and other public and private records, such as family papers, travel accounts, diaries, and other documents, as may be appropriate for achieving the goals of the Phase II investigation.

3. Secondary sources which pertain to the historical, cultural, or processual contexts of identified sites or properties shall be consulted in order to address more fully issues of site significance and National Register eligibility. Secondary sources to be reviewed should include architectural surveys, National Register forms, and HABS/HAER documentation, as well as secondary histories.
4. Where appropriate, oral history interviews would assist in the evaluation of the National Register significance of the site. The decision to use oral history interviews as part of a project should be decided in coordination with the DCHPD archaeologist.

The goal of background research is to collect enough information to develop an historic context which presents a complete land use history.

### **3. Fieldwork**

*Terrestrial Site Evaluation.* The Consultant shall determine the horizontal limits of the site by means of systematic shovel test excavation, or the use of systematically spaced backhoe trenches dependent on site conditions. All units of measurement on the site shall be done using feet and tenths of feet. The testing methodology utilized will be determined on the basis of site conditions.

The interval between shovel test pits (STP), when utilized, shall be determined on a project by project basis. The diameter of the STPs will measure 15" in diameter. All shovel tests shall be excavated in natural levels, into Pleistocene-aged deposits. The integrity of archaeological deposits, their vertical extent and stratigraphy, and the cultural/temporal affiliation of components shall be examined through the excavation of additional test units not less than 3 x 3 feet in size.

In areas where archaeological resources may be buried beneath urban fill, a series of backhoe trenches should be excavated across the site to remove the overburden which overlays these archaeological deposits. The number of backhoe trenches excavated should be sufficient to determine the boundaries of the archaeological resources. Upon encountering intact archaeological deposits, excavation should proceed using shovels and trowels. A number of 3 x 3 foot square test units, to be determined in consultation with the DCHPD archaeologist, should be excavated in each trench to determine site integrity.

All soil from shovel tests and test units shall be screened through 1/4" mesh (or finer) hardware cloth. Soil shall be described using Munsell soil colors and USDA designations for soil texture. Care shall be taken to preserve relevant data from *in situ* deposits, e.g. soil samples, flotation samples, carbon samples.

All trenches, units, shovel tests and features shall be fully documented. Units and features will be drawn and photographed in profile and plan view. Trenches and shovel tests will be drawn and photographed in profile. Photographs will include both black and white print film and color slides. In addition to photographs of record, context shots will be taken showing general site conditions and archaeologists at work. The location of all trenches, units, shovel tests, and features will be mapped to scale on a site map.

If suitable mapping is not available, topographic mapping of the site area shall be completed using a contour interval of 5 ft. or less. All trenches, unit locations, shovel tests, features, and all relevant cultural and natural features shall be shown on a site map.

The grid established for these investigations shall be tied into a permanent landmark, and a permanent datum shall be established in a permanently stable area, if possible.

Where appropriate, special analyses, such as radiocarbon dating, geomorphological analysis, floral and faunal analyses, cross mending or refitting, and other special studies shall be carried out to determine site chronology, function, and environment. Where complex architectural features are present, the use of an historical architect may be required to assist in the interpretation of the structure.

*Submerged Site Evaluation.* Potentially significant magnetic and/or acoustic anomalies discovered during the Phase I submerged survey shall be tested by excavation under the direct supervision of a Principal Investigator specializing in submerged sites in order to determine the cause of the anomalies. Inspection by divers, coring or other appropriate means shall be used to test the nature of the suspected prehistoric or historic sites. In the case of magnetic anomalies, sediment should, in many cases, be removed to allow identification, approximate dating and determination of importance of objects and sites found.

In conducting a Phase II evaluation of a submerged resource, the Consultant shall:

1. Perform the submerged test excavations by locating and making hands-on diving examinations of anomalies or features. The presence of all submerged and buried targets, shipwrecks, objects, and features shall be ascertained;
2. Provide a seaworthy survey vessel, crew and fuel sufficient to perform the work adequately and expeditiously. The contractor shall provide shore base transponders and on board positioning equipment, using a Motorola Mini-Ranger III or an equivalent for positioning requirements;
3. Use survey techniques, methodologies and equipment that conform with the state of the art of current professional knowledge and development.

#### **4. National Register Evaluation**

Site boundaries shall be mapped on project drawings in sufficiently small scale to indicated the details of the archaeological investigation.

The Federal Agency shall assess the significance of the site, stating the criteria of significance (under Criteria [a], [b], [c], and/or [d]), and the level of significance. A statement of significance should be prepared which evaluates the site in reference to the DC Historic Contexts and the historic context which has been developed for the site. Justification for significance shall include:

criteria for significance and level of significance; site integrity; site boundaries; and historic context. In the evaluation of the site, it is necessary to explain what makes the site significant. This would include, but not be limited to, research potential and value, the rarity of the site type, the public value, and the potential impact to archaeological resources. If a site is significant under criterion (d), the Consultant shall address how *important* information is contained therein; the specific research questions that could be addressed; and how important information derived from this site relates to information gained from similar sites excavated within the region.

The Federal Agency shall assess the impact of proposed construction on a significant site. The undertaking (project) should be assessed as having "no effect", "no adverse effect" or an "adverse effect" on intact archaeological resources. If an undertaking has an adverse effect on archaeological resources, a Memorandum of Agreement will be developed between the Agency, SHPO and other participating parties, in which a plan to mitigate adverse effects will be set out. Methods for mitigation may include data recovery through site excavation or avoidance, or some combination thereof.

If data recovery is part of a plan to mitigate adverse effects, a scope of work and schedule shall be prepared. This proposal should identify research questions that will yield important information derived from study of the site, when Criterion (d) applies. The research design and methodology in the scope of work shall guide field work and analysis to specifically answer these research questions. This scope should be reviewed by the DC HPD archaeologist prior to the initiation of Phase III fieldwork.

#### **IV. TREATMENT OF ARCHAEOLOGICAL RESOURCES (PHASE III DATA RECOVERY INVESTIGATIONS)**

##### **A. GOALS**

The purpose of treatment for compliance projects is to avoid, minimize or mitigate the adverse effect of an undertaking on an archaeological property listed in or determined eligible for inclusion on the National Register of Historic Places.

There are various treatment measures: preservation in place including avoidance/covenant/easements; recovery of important data; in-place protection (long-term planning); destruction of site without recovery (acceptance of loss); nomination of the site to the NR; development of a historic preservation plan; or implementing an archaeological resource training or interpretation program (alternatives to mitigation or in addition to mitigation).

##### **B. PROCESS**

When there is an adverse effect to an archaeological property, there is negotiation among the participating parties regarding the treatment of that property. The participating parties are usually the State Historic Preservation Officer, the Federal Agency, and the Advisory Council on Historic Preservation. During consultation, interested persons are afforded an opportunity to provide comment to and consult with the federal agency and SHPO on the potential effects of the undertaking and possible ways to avoid or mitigate effects. As a result of this consultation process, a Memorandum of Agreement (MOA) is developed regarding the treatment of the resource. The MOA specifies how the undertaking will be carried out in order to avoid or mitigate adverse effects, or documents acceptance of such effects. MOAs are legally binding documents, therefore they should be written with care (See Advisory Council's "Preparing Agreement Documents" 1989).

The Memorandum of Agreement should contain some of the following information:

- Who the lead agency is for the project;
- Project meetings/reporting dates;
- Amendments to account for changes in the project;
- An end date which is project specific;
- Some of the stipulations should have an end date; i.e. if there is going to be public interpretation it should be developed within one year (or a stated time period) of completion of project.

Treatment approaches are decided on a case by case basis. Each project has its own characteristics and needs as do the historic properties involved. Early evaluation of effects is essential for consideration of all treatment measures prior to construction. A project should be reviewed early for its effects on all historic properties, architectural and archaeological. Review of the design should be at the beginning of the project, during the project and at the end of the project to ensure that there have not been any changes regarding areas of impact. All areas that

may be potentially affected, **including staging areas**, should be noted, so that all areas to be impacted will be assessed. Often there is no understanding of what causes impact to archaeological properties; (i.e. the movement of heavy equipment over an area which has been identified as having archaeological resources); thus areas that may be adversely affected are not included as part of the area of potential effect.

## **C. SOURCES OF TECHNICAL INFORMATION**

There are a number of technical bulletins published by the Advisory Council on Historic Preservation, the National Park Service and other Federal Agencies which are helpful in explaining the Section 106 process and various treatment options:

Treatment of Archeological Properties (ACHP 1980);  
Preparing Agreement Documents (ACHP 1989);  
Consulting About Archeology Under Section 106 (ACHP 1990);  
The Section 110 Guidelines (ACHP and NPS 1989);  
Secretary of Interior's Standards and Guidelines for Architectural and Engineering Documentation (Dickenson 1983; 44730-34);  
Secretary of Interior's Standards and Guidelines for Archeological Documentation (Dickenson 1983; 44734-37);  
Secretary of Interior's Standards for Historic Preservation Projects (Dickenson 1983; 44747-42);  
The Archeological Sites Protection and Preservation Notebook (U.S. Army Corps of Engineers 1992, Vicksburg District); and,  
36CFR79 Curation Standards.

## **D. PRESERVATION IN PLACE**

Ideally, the best treatment option for archaeological resources is preservation in place. However, in the District of Columbia, where open space is limited, and development is important for economic reasons, preservation in place may be considered but is rarely practiced. Preservation can be achieved in several ways: by avoidance, protection, and acquisition of protective easements.

### **1. Avoidance**

This is the most preferable treatment option. It may be possible to reroute a road corridor to avoid a site; or to redesign the placement of a building in order to avoid archaeological resources. In the urban environment, however, it often is impossible to redesign a building to avoid a site since space is scarce and valuable. Thus, other treatment options must be considered in these circumstances.

Avoidance is not considered protection of a site. If there will be future construction on the property that has been avoided, a long-range plan should be developed to protect or determine how to deal with the site in the future.

## **2. Burying of site**

In some cases an archaeological site may be saved from adverse effect by burying it under filter cloth and clean fill. This only is practiced when there will be no deep impacts to a site. Consultation with the DCHPD should take place to determine the acceptable methods for burying the site.

## **3. Protection**

This consists of the shielding of the resource from damage inflicted through natural and human forces. During project construction measures to protect a site can include: fencing (must be very obvious) around the site; routing of construction activities and staging areas to prevent inadvertent disturbance; explicit resource protection measures in contractor specifications; vegetative planting to screen soil exposure, signage, site stabilization; law enforcement patrols to deter vandalism, and, in some circumstances site visits to see that a site is being avoided by construction crews. The Agency's Historic Preservation Plan should incorporate demolition by neglect (adverse effect) language.

## **4. Acquisition of Protective Easements/Covenants**

Easements and/or Covenants are legal tools to ensure the property's preservation in perpetuity. An easement is a legal instrument designed to protect and preserve a historic property in perpetuity without conveying or transferring ownership of the property. Easements offer the strongest protection for archaeological sites and should be reviewed again after a certain time period.

## **E. ACCEPTANCE OF LOSS**

In some instances preservation in place or recovery may not constitute viable treatment options for a given undertaking or archaeological property.

Life threatening or serious health and safety issues can supersede a project's preservation values. When hazardous waste is an issue, assessment should be made of the cost for excavation of the site, the amount of contamination on the site and the significance of the site. Then, the public benefits versus value of archaeological resource should be weighed. It should be emphasized that the presence of hazardous waste on a site does not automatically preclude archaeological excavation. If there is a question in this regard, the advice of outside experts should be sought.

If testing demonstrates that a significant archaeological property does not have additional data which may be used to address valuable research questions, then recovery is not an appropriate treatment option or justifiable expense.

If acceptance of loss is the selected option, the parties should consider implementing alternative treatment measures to mitigate the destruction of the resource. These can take the form of a detailed archival and documentary study of the property.

If a site is considered to contain hazardous waste and archaeological excavation is not feasible, an example of a mitigation measure for this site could be the writing of a book, and/or the development of a video of a quality that could be aired on PBS, based on the findings of the research.

## **F. DATA RECOVERY**

As a result of adverse effects to archaeological properties usually the mitigation treatment is to recover the property's valuable information. The purpose of data recovery is to retrieve and analyze information from an archaeological property necessary to address important research questions which have been developed as part of the research design for the site. Recovery is accomplished through detailed archaeological excavation, recordation, background research, analyses, and reporting, performed in accordance with a well defined and justified data recovery plan.

Data recovery involves a substantial commitment of time and funds, and should be based firmly on sound background data, planning and a valid research design. Data recovery must be preceded by appropriate background research, identification and evaluation (the initial stages of this should have been done during Phase I and Phase II investigations), in order to understand the property's significant characteristics and data expectations. Efficient and cost effective measures should be employed to maximize retrieval of the data necessary to achieve the desired goals, yet minimize costs. The consulting parties determine the extent of recovery efforts on a case-by-case basis. Data recovery must be conducted in accordance with a comprehensive research design/data recovery plan, reviewed by the Historic Preservation Division, Advisory Council, and other involved parties, as appropriate. Completion of an approved data recovery plan generally fulfills an agency's compliance responsibilities for an undertaking, unless unexpected discoveries occur during construction.

### **1. Research Design/Data Recovery Plan (Critical)**

All data recovery efforts must be guided by an explicit and thorough research design /data recovery plan.

Careful development of the Phase III research design is critical for the retrieval of significant information--the main goal of this phase of research. The HPD and Advisory Council (for Section 106 projects) review substantive contents of the plan to ensure that the proposed research



questions are viable and answerable based on the site's data expectations, the methodology is appropriate, and the amount and areas proposed for investigation are reasonable for the given archaeological property and undertaking.

The objectives of Phase III archaeological investigations must include:

1. Description of the archaeological property under study and the characteristics which make it eligible for the National Register;
2. Maximum retrieval of important data relevant to the defined research questions from the archaeological property;
3. Determining the property's characteristics and variability, including inter- and intra-site patterning; and
4. Public education/interpretation of the data recovery results.

The Methods and Techniques section of the plan should justify the research strategies planned to retrieve the maximum amount of data necessary to meet the study objectives. Discussion should address methods to be used in background research, fieldwork, analyses, data management and dissemination of results. Method and Techniques should include a schedule and a justification of the proposed treatment and disposition of the recovered materials and records. **(It should be noted here that the District at this time (1997) does not have a qualified repository for the storage of artifacts. Under these circumstances, contractors should be prepared to house the collections until a repository is established, or the Agency should investigate the possibility of storing the artifacts).** Finally, it should discuss the proposed methods for informing the interested public about the project, making the results of the research available to the public, and involving the interested public in the data recovery, if feasible.

Expected Results should rely heavily upon previous research reports (Phase I and II investigations) and other readily available documents, in order to discuss the quantity, age, condition, and other general characteristics of the archaeological materials and features anticipated in the study. The anticipated results must be applicable to the proposed research questions and hypotheses.

In addition to the above elements, the plan also should discuss provisions for regular status reports, meetings and site visits.

## **2. Archival and Background Research**

For Phase III investigations, the main purpose of archival and background research is to augment information on a previously identified archaeological property in order to address the desired research questions/hypotheses. Research should focus on summarizing previous work on the resource, analyzing existing collections from the property, refining the research questions and clarifying the methodologies necessary to address those research issues.

### **3. Field Studies**

In order to achieve the goal of maximum data retrieval, Phase III fieldwork strategies generally employ excavation of a portion or a sample of the archaeological property. Total excavation of the property is not recommended or required, except under extraordinary circumstances. The amount of work to be done will be determined on a case-by-case basis, based upon the nature of the archaeological property, the research questions, and the undertaking itself.

Fieldwork strategies may involve the use of mechanical equipment (grapple or backhoe) to remove fill and to reach the natural soils. The depth at which these soils are encountered should have been established during the Phase I and Phase II excavations. In parts of the District, the use of mechanical equipment is required to remove the overburden which overlies intact archaeological surfaces or features, often under many feet of fill. Thus, it is important that archaeologists have experience using heavy equipment in urban environments in order to conduct the work without disturbing archaeological resources.

If during the project archaeological properties are encountered which contain substantial structural or architectural remains (i.e. foundations, earthworks, ruins, industrial complexes), the consulting parties will agree on the level and method of recordation documentation necessary for the project. Historic American Building Survey (HABS) or Historic American Engineering Records (HAER) standards and recording techniques may be applied to archaeological resources such as foundations, wharves, shipways, marine railways, and vessels. Documentation may include recording significant historical information, architectural plans and features, engineering details, landscape elements, and acquiring significant oral historical information related to the historic property.

### **4. Analysis**

Analysis is an integral component of Phase III investigations and is essential for interpreting the fieldwork results and fulfilling data recovery goals. Phase III analytical studies should be directed towards the retrieval of information from excavated materials to address defined research questions. This work must entail: 1) interpretation of site activities, functions, time span, and historic contexts; and 2) the study of the research questions/hypotheses addressing the resource's local, regional, or national significance. Initial analytical activities should involve the identification and classification of all artifacts and features according to explicit procedures and using the best current standards or professional knowledge. Phase III analyses also should integrate the newly acquired data with the results of previous Phase I and Phase II investigations, in order to reliably interpret the site as a whole.

5. Public Education/Interpretation Phase III investigations must include measures to inform the general public and interested parties about the results of data recovery efforts. Since Phase III investigations essentially mitigate adverse effects to a significant archaeological property and are often undertaken at considerable public expense, the public should receive tangible evidence of the research results.

Public education/interpretation may encompass many varied mechanisms and media. The measures appropriate for a given project will depend upon the nature of: the project itself, the archaeological property under study, the resource's location, and the priorities and interests of the involved agency, project sponsor and interested public. Public interpretation programs should be developed in consultation with the D.C. State Historic Preservation Office. Upon request the DCSHPO may provide guidance on measures best suited to a particular project and resource. Public interpretation may be implemented during fieldwork or upon completion of analysis and reporting. Consulting parties must consider what methods will be most effective and efficient for a given project without impeding project schedule and implementation. Public education should be aimed at increasing public awareness and sensitivity to archaeological resource protection and include means to safeguard the archaeological property from any potential vandalism which increased public attention could inadvertently cause. Finally, agencies and project sponsors should take advantage of the positive public relations benefits which will be generated by a successful public education program.

The following is a list of possible public education/interpretation efforts:

1. Public open house to view fieldwork results;
2. Videotape;
3. Development of WEB page;
4. Newspaper articles/press day;
5. Signage on site;
6. Pamphlets discussing excavations;
7. Tours for school groups
8. Slide talks to schools, public interest groups;
9. Exhibits or displays.

## **6. Reporting**

Following the analysis of archaeological resources, researchers must prepare complete draft and final reports on all of the Phase III activities. Chapter VII below contains standards and guidelines for these reports, copies of which must be submitted to the Historic Preservation Division, by the participating agency.

## **G. OTHER TREATMENT METHODS**

Some examples:

1. Develop an Historic Preservation Plan/Cultural Resource Management Plan;
2. Development, testing and refinement of a predictive model for site locations of a particular time, period, type, or geographic region;
3. Initiate cultural resource sensitivity, educational, or interpretive programs for agency staff or the general public;
4. Acquire a perpetual historic preservation easement on a significant archaeological property to compensate for acceptance of loss of a similar site type;

5. Prepare and submitting a National Register nomination on an individual historic property, district, or a multiple resource nomination;
6. Synthesize existing archaeological data pertaining to a particular geographic region, time period, or resource type.

## **H. PLAN FOR UNEXPECTED DISCOVERIES**

Although completion of a data recovery program or other treatment measure performed pursuant to an MOA fulfills an agency's historic preservation responsibilities, it is advisable to develop a plan for addressing unexpected discoveries that may arise during construction. Construction may expose significant features that were not included in the data recovery program or were inaccessible for recovery. The discovery plan may be included as a stipulation of the MOA or a component of a data recovery program. Having an approved plan in place enables the agency to proceed with the undertaking in a discovery situation following the plan actions and avoids the need for additional consultation and potential delays. The Advisory Council's regulations (36 CFR 800.11) includes provisions for considering properties discovered during project implementation.

Discovery plans generally include provisions for promptly considering and recovering, if warranted, significant archaeological properties discovered during construction. The plan may incorporate professional archaeological monitoring during project ground disturbing activities with associated reporting, recording and recovery of major features or artifacts uncovered where practical. However, monitoring does not substitute for proper identification, evaluation and treatment of archaeological properties during project planning, unless there are exceptional circumstances.

In the absence of an approved discovery plan, an agency must provide the Advisory Council (for federal projects) with an opportunity to comment when a previously unidentified property that may be eligible for inclusion in the National Register is discovered during project implementation.

Federal historic preservation laws do not require the agency to stop all work on the undertaking during discovery situations. However, the agency should make a good faith effort to avoid or minimize harm to the historic property until it has completed consultation or implementation of the discovery plan provisions.

If human remains are discovered during construction, those resources warrant exceptional care and consideration. Any excavation of burials should be preceded by careful consideration, thorough planning and extensive consultation. If a proposed project area contains or is likely to contain human remains (e.g. based on the proximity of known burials, historical records, oral accounts, or the results of previous investigations), the project sponsor or archaeologist should consult with HPD to determine an appropriate course of action.

The Federal Native American Graves Protection and Repatriation Act (NAGPRA) (25 U.S.C. 3001 - 3013) establishes protection and procedures for the treatment of Native American human burials located on federally-owned property or Indian lands. NAGPRA gives certain rights regarding the treatment and disposition of human remains, funerary objects, sacred objects and objects of cultural patrimony to lineal descendants and to federally recognized Indian tribes when these groups demonstrate cultural affiliation. The law encourages the avoidance and preservation of archaeological sites which contain Native American burials on federal lands. NAGPRA requires federal agencies to consult with qualified culturally affiliated Indian Tribes or lineal descendants prior to undertaking any archaeological investigations which may encounter human remains or upon the unanticipated discovery of human remains on federal land. The consulting parties decide the appropriate treatment and disposition of human remains and other cultural items recovered. This consultation may be a lengthy process and should occur early in the project planning.

The Historic Preservation Division does not encourage the excavation of human remains, unless those remains are imminently threatened by natural or human forces, or unless those resources have outstanding research potential. However, cemeteries and burials should be located, recorded and evaluated as archaeological properties when discovered through archaeological investigations. Under D. C. Law it is mandated as to the process to follow when a burial is discovered.

## V. PROCESSING AND CURATION OF COLLECTIONS (ARTIFACTS AND RECORDS)

At this time, there is no repository for records and resources retrieved from excavations within the District of Columbia. These standards are presented in anticipation of an official repository for the District.

These standards were written by Dr. Gary Shaffer and Ms. Beth Cole of the Maryland Historical Trust, as part of the revised Standards and Guidelines for Archaeological Investigations in Maryland, 1994. These standards have been effective in ordering and protecting the archaeological collections from Maryland, and therefore are adapted here, with minor editorial changes, for the collections from the District of Columbia.

Archaeological investigations generally result in the retrieval of material remains (artifacts, specimens) and the production of associated records (notes, maps, photographs). Materials and records are an integral component of an archaeological investigation. These irreplaceable items, frequently obtained with considerable public and private effort and expense, require professional processing and curation to ensure their stability, long term preservation, and accessibility for future research and public interpretation. Archeological collections should be deposited in a qualified repository which will safeguard and permanently curate the collection in accordance with current professional standards.

In 1990, the Department of the Interior/National Park Service issued federal curation regulations, entitled "Curation of Federally-Owned and Administered Archeological Collections" (36 CFR § 79). The federal regulations establish definitions, standards, guidelines, and procedures which federal agencies are required to follow, in order to preserve archaeological collections. The regulations presented in 36 CFR § 79 must be followed for federal compliance projects, as appropriate. Although the regulations are legally applicable only to federal agencies and programs, they offer pertinent guidance that may be applied to the treatment of all archaeological collections.

The federal curation regulations provide a useful definition of the term *collection*, which will be followed in this document:

***Collection* means material remains** that are excavated or removed during a survey, excavation or other study of a prehistoric or historic resource, **and associated records** that are prepared or assembled in connection with the survey, excavation or other study. [36 CFR § 79.4(a); emphasis added].

The standards presented in this chapter must be followed for all collections that eventually will be curated by the District. These standards should be followed when collections are being curated on an interim basis by an Agency or contractor. The DCSHPO strongly recommends adherence to these requirements for all other archaeological collections generated in D.C., in order to standardize curation practices; ensure professionally acceptable

treatment of archaeological materials; and facilitate the availability of collections and documentation for future research. The District reserves the right to waive all or portions of these standards for extraordinary circumstances (for example, exceptional collections generated by non-professionals or from emergency salvage excavations).

This chapter presents the minimum standards and related discussion on the following items: the goal of the standards, disposition and curation of collections, the processing material remains and associated records, collection submittal requirements, and sources of technical information.

## **A. GOAL**

*The goal of the following minimum standards is to ensure that all archaeological collections generated by professional or avocational archaeologists in the District receive appropriate processing, packaging, documentation, and curation.* Treatment of collections in accordance with these minimum standards will help provide for the long term preservation of these materials and records.

These standards outline overall procedures for the cleaning, labeling, cataloging, packaging, documentation, and curation of collections (including material remains and records). However, these standards are not intended to substitute for more detailed laboratory methods and procedures, which professionals are expected to have already learned through other sources. It is assumed that archaeologists will employ the best applicable current standards of professional knowledge in their treatment of artifacts and records. The procedures presented herein are **minimum** standards. Professionals are encouraged to utilize additional professionally recommended procedures for the treatment and curation of archeological materials and records, whenever appropriate.

The disposition of a project's artifact and records collection should be decided prior to initiation of fieldwork and in consultation with the HPD. **Prior to processing** any collection, the archeologist should contact the selected repository for its procedures on appropriate labeling, cataloging, and packaging techniques.

## **B. DISPOSITION AND CURATION OF COLLECTIONS**

To ensure the long-term preservation of archeological materials and associated records, collections should be deposited with an appropriate curation repository. The federal curation standards provide a definition of the term *repository*:

***Repository*** means a facility such as a museum, archeological center, laboratory or storage facility managed by a university, college, museum, other educational or scientific institution, a Federal, State or local Government agency or Indian tribe that can provide professional, systematic and accountable curatorial services on a long-term basis. [36 CFR § 79.4(j)]

The regulations also present detailed standards to determine whether a repository has the capability to provide adequate long-term curatorial services. Required factors include appropriate physical facilities, temperature and humidity controls, security, controlled access, fire protection and suppression, records maintenance and storage, routine inspection, and qualified staff (36 CFR § 79.9). Collections generated by federal agencies and programs must be curated by an appropriate repository.

In addition to considering a repository's professional qualifications, the federal standards offer further guidance on how to select a suitable repository for a collection. In general, it is advisable to curate a collection in a repository which is located in the same state or jurisdiction where the collection originated, and which maintains other collections from the same site, project area, or broader geographic region. Collections should not be subdivided and stored in multiple locations, unless such storage is warranted due to conservation, research, exhibit, or other legitimate purposes. Finally, material remains and their associated records should be curated at the same repository in order to sustain the collection's integrity and research value (36 CFR § 79.6[b]).

Unfortunately in the District, there is no current repository for archaeological material. Several federal agencies have storage facilities, and some of the artifacts are being stored in them. The General Services Administration (GSA) has conducted a number of archaeological excavations within the District, and have provided a facility at the Washington Navy Yard for storage of these artifacts. It is not an approved facility, that is, it does not conform to the standards as specified by 36CFR79, Curation of Federally-Owned and Administered Archaeological Collections, 1991. Currently, the National Park Service is storing some of the D. C. artifacts, however, at this time they are not willing to acquire any new material. Occasionally a project has occurred in the District in which both National Park Service and local land is excavated. The material excavated from the Park Service land is stored by the National Park Service in their facility, however, the material excavated from the local (District) property is to be stored by the District.

Because there is no facility, a number of consultants and Universities are storing the material that they have excavated during projects conducted in the District. In one case, a developer is storing the artifacts from a project on his property, in the building that he built on the land. He will donate these artifacts to the District when we have a curation facility.

Situations may arise where a property owner requests to keep the material remains recovered from the owner's private property. Under these circumstances, the archeologist should encourage the owner to donate the collection to a suitable repository by explaining the ethical reasons for appropriate curation and by providing information on incentives for such a donation (tax benefits, recognition, ensuring accessibility for future generations). A repository may be willing to accept the entire collection and then loan selected items back to the property owner for display or study purposes. If a property owner insists on retaining possession of the artifacts recovered from their property, the items must be returned to the owner.

Prior to transfer of material remains to requesting private property owners, the objects should be cataloged, processed, and packaged in accordance with minimum professional standards. In



addition, the objects should be thoroughly recorded, including photographs and drawings of diagnostic artifacts and other objects critical to the interpretation of the archaeological resources. The resulting documentation should be incorporated into any associated collection records, all of which should be deposited in a suitable repository along with a clear identification of the location of the transferred material remains in the owner's possession. Finally, the archeologist should provide the owner with written curatorial recommendations on how to store and handle the collection to avoid or minimize damage and deterioration of the items. The owner also should be supplied with information on incentives for the future donation of the collection to an appropriate repository, and sources for additional technical assistance and advice.

### **C. PROCESSING MATERIAL REMAINS**

Archaeological investigations often produce material remains from the area under study. The federal regulations provide the following definition of *material remains*:

***Material remains*** means artifacts, objects, specimens and other physical evidence that are excavated or removed in connection with efforts to locate, evaluate, document, study, preserve or recover a prehistoric or historic resource. [36 CFR § 79.4(a)(1)]

Material remains may comprise a wide variety of items including: architectural elements, artifacts of human manufacture, natural objects used by humans, waste or debris resulting from the manufacture or use of human-made or natural materials, organic materials, human remains, elements of shipwrecks, components of petroglyphs or art works, environmental or chronometric specimens, and paleontological specimens recovered in direct physical association with a prehistoric or historic resource (36 CFR § 79.4 [a][1][i-x]). The nature and composition of the material remains will prescribe its specific handling and treatment. However, the following general procedures must be followed in the processing of material remains.

#### **1. Cleaning**

**All artifacts must be cleaned.** (Exceptions: Artifacts designated for special studies, such as blood residue analysis, can be curated in an unwashed state. These artifacts must be packaged separately from the rest of the collection. Containers with these special artifacts must be clearly marked, and any specific instructions must accompany the artifacts. The artifact inventory must note the artifacts' unwashed condition.)

#### **2. Labeling**

- a. **All artifacts must be permanently labeled with provenience information including, at a minimum, the official site number (or X number for isolated finds) and official lot number.** The artifact label or catalog number is an essential designation which relates the individual object to its provenience of recovery. The horizontal location of an artifact in a site and its vertical position

within the soil are critical factors for developing accurate site interpretation. Without an appropriate label, this provenience information may become lost and is very difficult, if not impossible, to reconstruct. If an artifact becomes separated from its bag or is removed for study or exhibit purposes, the label ensures that the object may be returned to its appropriate place.

Archaeologists may add additional designations following the official site and lot numbers, if desired, to suit individual cataloging and analyses needs. However, the catalog must include a key translating the full provenience system utilized. The HPD recognizes that under certain circumstances, alternative procedures to the lot number system may be warranted. For example, federal agencies may require consultants to use an agency's own labeling practices. If an alternative system is proposed for collections to be curated by the HPD, **prior written concurrence of the D.C. State Historic Preservation Office's Archaeologist must be obtained before this option can be employed.**

- b. **Artifacts must be marked directly on their surface using permanent waterproof ink and a clear overcoat, such as Acryloid B-72.** Porous artifacts can receive a clear undercoat as a marking base. Dark artifacts can be prepared for marking with an undercoat (such as titanium dioxide in Acryloid B-72), or marked directly with contrasting waterproof ink. The District discourages the use of gesso since it is not long lasting and may peel. Archaeologists must employ the best current standards of professional knowledge in labeling artifacts with ink, sealant, and white backing - when needed. Contact the HPD's Archaeologist for a list of acceptable marking materials and procedures.
- c. **Artifacts too small to be marked, or impractical to mark for other reasons (such as fragility or unwashed condition), must be placed in perforated polyethylene zip-lock bags (minimum thickness = 2 mil) or other acceptable packaging material (see item 3.a below).** Provenience information must be written in permanent black marker on the bag's exterior, and must be duplicated with permanent ink on an archivally stable tag (such as acid-free paper, mylar, or tyvek) enclosed in the bag.
- d. **For small and large collections (i.e.,  $\geq 200$  objects), certain classes of artifacts (e.g. shell, fire-cracked rock, flakes, window glass, nails, brick, slag, mortar, coal) need not be individually labeled.** These items may be grouped together by material type, within each provenience, and must be marked and bagged as specified in item D.2.c above. However, all diagnostic artifacts (for example, projectile points and ceramics) must be individually labeled, as feasible. **All non-human bone must be labeled, as feasible.** Non-human bones too small to be individually labeled should be processed following the procedures outlined in item D.2.c above. (See section D.4.c below for a discussion of processing human remains.)

- e. **All other classes of archeological material (for example processed floral and soil samples) must be assigned a lot number and appropriately labeled with provenience information.**
- f. **All collections must be accompanied by a catalog (see section F) which includes a key clearly translating the labeling system employed to record the provenience information.**

### **3. Packaging**

- a. **Artifacts must be stored in perforated, permanently marked, polyethylene reclosable bags similar to (zip-lock) plastic bags (minimum thickness = 2 mil), as feasible.** Tiny or delicate objects must be stored in archivally stable, acid-free materials with appropriate padding and protection (see item D.3.e below). Perforation of plastic bags or other airtight packaging is necessary to allow air exchange and avoid cargo sweat.
- b. **All plastic bags must be permanently labeled on the exterior and on an interior tag with appropriate provenience information.** Provenience information must be written in permanent black marker on the bag's exterior, and must be duplicated with permanent ink on an archivally stable tag (such as acid-free paper, mylar, or tyvek) enclosed in the bag.
- c. **Artifacts must be grouped and bagged by provenience, and separated by material type within the provenience.** (Exceptions may be warranted for small lot sizes and for legitimate research, conservation, and exhibit purposes. However, the documentation accompanying the collection must provide an explanation and justification for the organization system employed.)
- d. **All other classes of material remains (such as floral and faunal samples) must be placed in acceptable, sealed, perforated containers and permanently labeled with the provenience information (including site and lot numbers).**
- e. **Archivally stable, acid-free packing materials must be used for packaging all objects.** Fragile and delicate objects must be specially packaged to ensure proper protection during shipping and storage. The HPD recommends the use of small acid free boxes padded with acid free foam core or ethafoam blocks. For oversize items (such as mill stones, ship's timbers, or architectural elements), contact the DCSHPO's Archaeologist for appropriate packaging recommendations.
- f. **All artifacts must be placed in acid-free boxes (e.g., "Hollinger") for shipping and final storage.** (Use only the box type specified by the designated curatorial repository.) Artifacts should conform to a consistent system and packaged by catalog number, whenever possible. The DCSHPO accepts two standard box sizes:

- i. Standard records box (12.5" wide x 15" long x 10" high), and
- ii. A half-size box (12.5" wide x 15" long x 5" high).
- g. **Specialized storage containers or packaging materials may be utilized, if warranted.** However, use of alternative materials requires the prior written approval of the DCSHPO Archaeologist.
- h. **All artifact containers must be permanently labeled to identify the containers' contents, provenience, and lot numbers.**

#### 4. Special Considerations

- a. **Wet Material Remains:** Material remains recovered from submerged sites or water logged contexts (such as a marshy area or soil levels beneath the water table) require special handling and treatment to ensure the stability and long term preservation of the objects. Wet conditions often promote excellent preservation of certain materials, particularly organic remains (such as wood, leather, cloth, and botanical remains). However, once these materials are excavated and removed from their wet environment, rapid deterioration will occur unless the items are appropriately and promptly treated. Projects involving or anticipating the recovery of wet material remains must include provisions and funding for the appropriate treatment and conservation of those materials by a trained professional conservator.

**The DCSHPO may refuse to accept collections with unconserved material remains.** For additional guidance on the treatment of wet material remains, contact the DCSHPO's Archaeologist at (202) 727-7360.

- b. **Conservation:** Like wet material remains, certain other types of materials also require professional handling and treatment to ensure their long term preservation. Such items may include metal objects (buttons, buckles, hardware) or organic materials (bone implements, leather) which will deteriorate without proper stabilization and treatment. The HPD strongly recommends professional conservation of unstable material remains prior to curation of the collection, whenever possible. Items which particularly warrant conservation include those objects recovered from a site that are critical to the site's interpretation, as well as exhibit-quality objects. Projects which anticipate the recovery of unstable material remains (such as well and privy excavations or intensive historic site investigations) must include provisions and funding for the appropriate treatment of those materials by a trained professional conservator.

**The DCSHPO may refuse to accept collections with unconserved material remains.** For additional guidance on the treatment of unstable material remains, contact the DCSHPO's Archaeologist at (202) 727-7360.

- c. **Human Remains:** The HPD does not encourage the excavation and long term curation of human remains, unless those remains are imminently threatened by natural or human forces, or unless the remains have outstanding research potential. Procedures for the treatment of human remains and associated grave goods may vary depending on the anticipated final disposition of the remains and the wishes of descendants or culturally affiliated groups. Treatment procedures must be established **prior** to initiating any excavation of human remains or undertaking a project which anticipates their recovery. Any treatment decisions must conform with applicable federal and state legislation, regulations, and policies in addition to these standards and guidelines. Chapter VIII.C presents a more detailed discussion of special provisions related to human remains and cemeteries.

Contact the DCSHPO Archaeologist for guidance and information on the appropriate handling and treatment of human remains and associated grave goods, at (202) 727-7360.

- d. **Selective Discarding of Material Remains:** Certain types of material **may** have questionable long term research value and thus may not warrant permanent curation with the collection. These materials **may** include: brick, mortar, slag, coal, shell, and recent 20th century debris (i.e., less than 50 years old). It may be more prudent to discard these items following analyses, rather than to permanently curate the materials with the collection. A project's principal investigator, in consultation with the DCSHPO, should employ the best professional knowledge and judgement to decide the most appropriate disposition of these materials. Factors to consider in reaching the decision to selectively discard materials include: the archeological context of recovery, the items' research potential, the amount and manageability of the materials. The principal investigator should carefully consider the potential *future* research value of the items. Depending upon the situation, the selective discard may encompass all, none, or a portion of the materials. It may be prudent to retain a sample of the materials slated for discard for future study and analyses. Items slated for selective discard must be analyzed and cataloged. The collection's catalog must specify the types and quantities of discarded materials, along with a justification for the selected disposition, and note that the items were discarded.

For further guidance or questions regarding the selective discard of material remains, contact the DCSHPO Archaeologist at (202) 727-7360.

- e. **Other Types of Material Remains:** Other types of material remains (specimens, flotation and soil samples, etc.) must be appropriately processed before curation.

Projects proposing or anticipating the recovery of these types of material remains should include adequate provisions in the budget for appropriate processing and specialized analyses. If sufficient funding is not available for analyses, the materials should be appropriately processed and packaged to ensure their long term preservation for future analyses. Only thoroughly dried soil samples retained for back-up analyses will be curated without prior processing.

Contact the DCSHPO Archaeologist for further guidance and assistance regarding the processing, storage and analyses of other types of material remains, at (202) 727-7360.

## **E. PROCESSING ASSOCIATED RECORDS**

Archeological investigations also generate important associated records, in addition to the materials recovered. Federal regulations define these *associated records*:

*Associated records* means original records (or copies thereof) that are prepared, assembled and document efforts to locate, evaluate, record, study, preserve or recover a prehistoric or historic resource. [36 CFR § 79.4(2)]

These records may encompass a broad variety of materials including: field notes, maps, drawings, photographs, slides, negatives, films, video and audio tapes, oral histories, artifact inventories, computer disks and diskettes, manuscripts, reports, remote sensing data, public records, archival records, and administrative records relating to the archeological investigations. The materials contain essential documentation of the archeological research and warrant appropriate treatment to ensure their long term preservation for future researchers.

The scope of a given archeological investigation will determine what kinds of associated records are produced for the project. The nature and composition of the resulting records will prescribe their specific handling and treatment. However, the following general procedures must be followed in the processing of associated records.

### **1. Required Records**

- a. **HPD must receive the original and one legible acid free copy of all records and submitted for curation with the collection.** The original on acid-free paper and one copy on acid-free paper by a heat fusion process (e.g. Xerox dry process) is acceptable, or two copies on acid-free paper. Copies should be submitted unbound, unpunched, double-sided (if feasible), and on 8½" by 11" paper.
- b. All associated photographic documentation (including transparency slides, negatives, and contact sheets) must be submitted for curation with the collection. Photographic documentation must be prepared on an archivally stable medium

using the best known archival processing. The American National Standards Institute (ANSI) periodically publishes standards related to photography. One complete copy of the photographic documentation is acceptable.

- c. **An inventory of all associated records and a catalog of photographic materials, along with an explanation of labels must accompany all collections (see section F below).**

## **2. Labeling**

- a. **All project records must contain permanent labels.** Labels must identify, at a minimum, the project name, site number, and date of preparation. Labels should be clearly written, typed or stamped directly on the records or sleeves, as appropriate, and not on adhesive materials that may be subject to separation.
- b. **All photographic documentation must be clearly labeled.** Labels must contain, at a minimum, the site number, date the photograph was taken, the provenience within the site of the photograph (feature/square, layer/level), and the direction of view, as appropriate.

## **3. Packaging**

- a. **All records must be packaged using archivally stable, acid-free materials.** Containers must be permanently labeled.
- b. **All photographic documentation must be stored in archivally stable, acid-free containers.** Contact the repository prior to packaging for a list of approved materials. Containers must be permanently labeled.

## **F. CATALOGING MATERIAL REMAINS AND RECORDS**

All collections, including the material remains and associated records must be inventoried. An itemized descriptive catalog(s) must accompany all collections. All catalog records and reports must be on an electronic medium. The catalog must provide a detailed description of the items, identifying and classifying the archeological materials and records according to best current professional standards. The catalog maintains an essential record of the objects represented; therefore, it should present as much information about the items as possible. Should an item ever become lost, stolen, or deteriorate beyond recognition, the catalog may be the only surviving record of that item. Catalogs are a means of obtaining information about a collection or specific items within the collection without handling the actual objects themselves. A detailed catalog will help minimize the need for subsequent handling of the objects. In addition to item-specific descriptions, the catalog should specify the collector or donor's name, project name, official District site and lot numbers, and date of collection.

Catalogs are frequently prepared and maintained in a computer database. The Trust strongly encourages submittal of a copy of the computer database on standard computer storage media, with appropriate labeling and identification of utilized software, with the collection for permanent curation. However, two archivally stable paper copies of the inventory also must always accompany the collection.

To submit a collection to the DCSHPO for permanent curation, the following procedures must be followed.

1. **Transfer of Ownership** Prior to acceptance of a collection, the HPD requires a signed Deed of Gift transferring ownership of the materials to the HPD. The consulting archeologist is responsible for informing the project sponsor or property owner about the necessity for executing the Deed of Gift prior to transmitting the collection. The District may make exceptions to the signed Deed of Gift requirement, in unusual circumstances. However, prior written consent of the HPD staff archeologist is required before acceptance of a collection without a Deed of Gift. In the case of federally owned collections, a signed Memorandum of Understanding for Curatorial Services must accompany the collection. For collections owned by District agencies other than the DC State Historic Preservation Office, a signed interagency Letter of Agreement and Transfer Deed is required. The HPD recognizes that federal and state collections agreements may take considerable time to execute; and it will agree to take temporary custody of a government-owned collection, without a signed agreement, only upon written confirmation from the agency that the agreement is forthcoming.
2. **Collection Documentation** Certain documentation must accompany each collection submitted to DCSHPO for curation. The State Historic Preservation Office Archaeologist [(202) 727-7360] may provide the sample forms mentioned below. Comparable forms may be used, **provided** that those forms contain the same information in a similar format. All documentation must be submitted on acid-free paper. The following items constitute the required documentation which must be submitted with each collection.
  - a. A completed document which transfers ownership of the collection to HPD or authorizes the DCSHPO to provide curatorial services:
    - i. **DEED OF GIFT** (for collections from non-District or non-federal ownership)
    - ii. **MEMORANDUM OF UNDERSTANDING FOR CURATORIAL SERVICES** (for federally-owned collections)
    - iii. **LETTER OF AGREEMENT and TRANSFER DEED** (for District-owned collections).



- b. **Two copies of a typed and complete HPD ARCHEOLOGICAL SPECIMEN CATALOG, or an DCSHPO-approved equivalent. These must be submitted on acid-free paper as an original and one copy.**
- c. **A list of all associated records (see item E.1.c above).**
- d. **A list of conserved objects, along with the conservator's report of conservation treatment(s) and photographic documentation.**
- e. **A list of those objects needing conservation treatment, with a justification of why the material was not conserved by the current project.**

### **3. Inspection**

Acceptance of any collection is subject to inspection and approval by the HPD's staff archeologist or collections manager. Through inspection, the DCSHPO strives to ensure adequacy of artifact and record processing, packaging, and documentation. Collections not meeting the minimum requirements stipulated herein will be returned to the donor at the donor's expense. For this reason, close coordination with the HPD's Staff Archeologist is required. For large collections (more than 10 boxes), pre-shipment inspection by the staff archeologist or the collections manager the donor's facility is recommended.

### **4. Shipping/Transmittal**

- a. **Shipment/transmittal of collections is the responsibility of the donor. Collections should be packaged using inert material and sufficiently secured to avoid any in-shipment damage. Collections will not be accepted unless the HPD staff archeologist receives notification at least 48 hours prior to delivery and issues written or verbal approval for the transmittal.**

## **H. SOURCES OF TECHNICAL INFORMATION**

Additional guidance and technical information on the appropriate processing and curation of collections may be found in the following sources:

Preserving Field Records (Kenworthy et al. 1985);  
A Conservation Manual for the Field Archeologist (Sease 1987);  
Curation of Federally-Owned and Administered Collections; Final Rule (36 CFR § 79);  
National Park Service Museum Handbook Part I: Museum Collections (NPS 1990B); and,  
National Park Service Museum Handbook Part II: Museum Records (NPS 1987).

The American National Standards Institute (ANSI) periodically issues various technical publications, including standards relevant to the processing and storage of associated records (paper and photographic documentation). Public libraries generally maintain the current catalog of ANSI publications. For further information on ANSI, contact the American National Standards Institute, 11 West 42nd Street, New York, New York 10036, (212) 642-4900.

## **VI. REPORTING STANDARDS FOR ARCHAEOLOGICAL STUDIES**

The following sections provide guidance for producing professional reports that comply with the DCSHPOs recommendations for archaeological projects in the District. Separate report standards are presented for Phase I Archaeological Survey; Phase II Archaeological Testing; and Phase III Archaeological Data Recovery studies. Each report standard follows the same overall organization, with differences where appropriate to the level of the investigation.

In a general sense, the District's archaeological resources belong to the citizens of the city and of the nation. Thus, the DCSHPO requires that professional archaeological reports be distributed to certain specified repositories. One copy of each final report submitted to and accepted by the DCSHPO (with high quality photographic reproduction of graphics and photographs) shall be submitted to the following institutions:

District of Columbia Archives;  
Washington Historical Society; and,  
Martin Luther King, Jr. Library.

The DC HPD shall be responsible for submitting final copies of archaeological studies to these institutions.

### **A. REPORT GUIDELINES FOR PHASE I (IDENTIFICATION) STUDIES**

#### **1. Cover**

List of document repositories (e.g. libraries, SHPOs office) on inside of cover

#### **2. Title page**

- a. Title of report, which includes name, project type (Phase I, Identification), and location of the project; cover of report must contain same title
- b. Author(s) of report (including specialists) and organizational affiliations
- c. Principal investigator(s) of project
- d. Agency and/or client for which report prepared with contract number(s)
- e. Date of current version of report
- f. Indication whether draft or final report
- g. Name of archaeological site(s) and development
- h. Report number assigned by D.C. archaeology office

#### **3. Abstract or Management Summary**

A summary, generally no more than a page long, providing information on:

- a. Purpose of the undertaking
- b. Sponsor of the undertaking
- c. Physiographic zone of project location and section of D.C.
- d. Definition of Area of Potential Effect
- e. Research strategy

- f. Findings: brief summary of cultural remains encountered, if any, approximate date(s) of cultural remains, and significance or potential significance of the cultural remains
  - g. Integrity of Deposits
  - h. Project impact on cultural remains
  - i. Recommendations
  - j. Repository of collections and project records
4. **Public report summary**  
Will be included in body of report, but must be able to function as a stand-alone document. This public report summary will be two to five pages in length and oriented toward a non-specialist audience. Summary is intended to tell the "story" of the site. The recommendations for more, or no further, excavation should be part of this document.
5. **Table of Contents**  
Must include entries for all report chapters, headings and subheadings, lists of figures, tables, etc., including page numbers for all entries, including:
- a. Chapters
  - b. List of Figures (includes any graphic illustration in a single numerical sequence; e.g. no separate numbering schemes for maps, photographs, soil profiles, etc.)
  - c. List of Tables
  - d. References cited
  - e. Appendices
  - f. Acknowledgements
6. **Introduction**
- a. Purpose of project, including both management and research reasons for conducting the project
  - b. Description of project and brief statement of results
  - c. Project administration and organization, including identifying the sponsor(s)
  - d. Specific reason(s) or law(s) calling for current historic preservation work
  - e. Brief description and location of project area, including lot and square numbers, and including size of project area in acres and hectares
  - f. Brief description of methods
  - g. Dates of project undertaking, including background research and field investigations
  - h. Refer to related historic preservation studies for the project
  - i. Summary of results of this research
7. **Project Location and General Description**
- a. Current street address and maps clearly showing the project's location within the District of Columbia and its relation to surrounding streets and other aspects of the urban landscape (one map will be appropriate USGS 7.5' quadrangle and one or more maps will be at a larger scale)

- b. Present land use
- c. Description of current conditions, including ground cover, surface features, disturbance, etc. (must include photograph(s) and map(s) illustrating current conditions)
- d. Physiographic zone

#### **8. Research Design**

- a. Provide a detailed statement of objectives, including applicability of work to regional research questions
- b. Provide an explicit statement giving the basis on which cultural remains will be interpreted and evaluated, discussing (but not limited to)
  - i. identifying past and current land-use patterns in the project area and surrounding area, as appropriate
  - ii. identifying social groups and any key individuals associated with activities in the project area
  - iii. identifying residential patterns and community organization as they change through time
  - iv. identifying past construction activities that may have destroyed or impacted cultural remains in the study area
  - v. development of research questions to assess the potential eligibility of the resources
- c. Develop a locational model for prehistoric and historic cultural remains
- d. Describe the objectives and rationale of locational model for prehistoric and historic cultural remains

#### **9. Results of Archival and Background Research**

- a. Methods and techniques of archival research, including list of institutions where archival or background research was conducted and types of resources consulted at the aforementioned institutions
- b. Past and present natural environments, as appropriate
- c. Concise synopsis of prehistoric cultural record of the physiographic area and of the local area, to an appropriate level of detail
- d. Concise synopsis of historic cultural record of the District of Columbia, including any significant events occurring in the project area
- e. Critical review of previous prehistoric and historic investigations within or near the project area
- f. Narrative overview of historic land use of project area, including:
  - i. historic maps with project area clearly indicated on each
  - ii. information from other sources, including newspapers, fire insurance maps, and historic photographs
  - iii. informant interviews with current or former resident(s), if any, of the project area and adjacent properties within the project neighborhood

- g. A list of identified cultural resources in the project area keyed to a map of the project area
- 10. Methods and techniques of field investigations**  
For Identification projects that include a component of testing
- a. Limits of project area versus area investigated, if different
  - b. Sampling design and rationale
  - c. Testing methods and rationale
  - d. Map(s) of the project area clearly delineating areas tested and the different testing methods employed
- 11. Field Results**  
For Identification projects that include a component of testing
- a. A review of site stratigraphy, including relevant profiles and soils descriptions
  - b. Summary of cultural features, including plans, profiles, and photographs
  - c. Map(s) of identified cultural remains
  - d. Discussion of site chronology
- 12. Methods and techniques of artifact analyses**  
For Identification projects that include a component of testing
- a. A glossary defining and describing artifact categories and/or material types used, known dates for artifact categories, and references used to create definitions of artifact categories
  - b. A descriptive summary by provenience and artifact category (can be included as an appendix and in digital format)
  - c. Table(s) summarizing major artifact categories by provenience
  - d. Distribution/density map(s) of major artifact categories
  - e. Photographs and/or drawings of diagnostic artifacts
  - f. Discussion of artifact analyses with reference to published comparable studies
  - g. Discussion of relevance to addressing research questions
- 13. Interpretation**  
This should include primarily a discussion of the information derived from the field research and analysis as applied to the cultural context, locational model for cultural remains, and relevance of results to addressing research questions.
- a. Discuss aspects of background, fieldwork, and artifact analyses used for basis of interpretations
  - b. Discuss function(s) and distribution(s) of cultural remains
  - c. Assess the applicability of the locational model for historic and prehistoric cultural remains
  - d. Assess the reliability of the data
  - e. Assess the results of the interpretations against the goals of the study
  - f. Discuss the future research potential of the project area and the cultural remains recovered during the undertaking

- g. Discuss what is now known that was not known prior to the project
- h. Discuss how the project contributes to an understanding of D.C.'s past

**14. Summary and Recommendations**

- a. Summary of results and evaluation of methods and techniques employed
- b. Assessment of impact of proposed construction on identified cultural properties
- c. Assess need for additional investigations or mitigation alternatives
- d. List all public benefits derived from project

**15. References Cited**

Follow latest published guidelines from *American Antiquity*, using *Historical Archaeology* for historic documents. The Chicago Manual of style will be consulted for items not included in the aforementioned published guidelines.

**16. Appendices**

- a. Qualifications of investigators
- b. Scope of work
- c. Full copies of special studies (faunal, soil analyses, etc.)
- d. Artifact Inventory
- e. Relevant historic documents referred to in text (e.g. deeds, probate inventories, etc.)
- f. Relevant project correspondence
- g. National Archaeological Database - Reports Recording Form

**B. REPORT GUIDELINES FOR PHASE II (EVALUATION) STUDIES**

**1. Cover**

List of document repositories (e.g. libraries, SHPOs office) on inside of cover

**2. Title page**

- a. Title of report, which includes name, project type (Phase II, Evaluation), and location of the project; cover of report must contain same title
- b. Author(s) of report, including specialists, and their organizational affiliations
- c. Principal investigator(s) of project
- d. Agency and/or client for which report prepared with contract number(s)
- e. Date of current version of report
- f. Indication whether draft or final report
- g. Name of archaeological site(s) and development
- h. Report number assigned by D.C. archaeology office

**3. Abstract or Management Summary**

A summary, generally no more than a page long, providing information on:

- a. Purpose of the undertaking

- b. Sponsor of the undertaking
  - c. Physiographic zone of project location and section of D.C.
  - d. Size of project and percent previously disturbed
  - e. Research strategy implemented during the undertaking
  - f. Findings: brief summary of cultural remains encountered, if any, approximate date(s) of cultural remains, and significance or potential significance of the cultural remains
  - g. Integrity of Deposits
  - h. Project impact on cultural remains
  - i. Recommendations
4. **Public report summary**  
Will be included in body of report, but must be able to function as a stand-alone document. This public report summary will be five to ten pages in length and oriented toward a non-specialist audience. Summary is intended to tell the "story" of the site and why it is (or is not) eligible for listing on the National Register
5. **Table of Contents**  
Must include entries for all report chapters, headings and subheadings, lists of figures, tables, etc., including page numbers for all entries, including
- a. Chapters
  - b. List of Figures (includes any graphic illustration in a single numerical sequence; e.g. no separate numbering schemes for maps, photographs, soil profiles, etc.)
  - c. List of Tables
  - d. References cited
  - e. Appendices
  - f. Acknowledgements
6. **Introduction**
- a. Purpose of project, including both management and research reasons for conducting the project
  - b. Description of project and brief statement of results
  - c. Project administration and organization, including identifying the sponsor(s)
  - d. Specific reason(s) or law(s) calling for current historic preservation work
  - e. Brief description and location of project area, including size of project area in acres and hectares
  - f. Brief description of methods
  - g. Dates of project undertaking, including background research and field investigations
  - h. Refer to related historic preservation studies for the project, including the Identification report
  - i. Summary of results of this research



**7. Project Location and General Description**

- a. Current street address and maps clearly showing the project's location within the District of Columbia and its relation to surrounding streets and other aspects of the urban landscape (one map will be appropriate USGS 7.5' quadrangle and one or more maps will be at a larger scale)
- b. Present land use
- c. Description of current conditions, including ground cover, surface features, disturbance, etc. (must include photograph(s) and map(s) illustrating current conditions)
- d. Physiographic zone

**8. Research Design**

For Evaluation projects, the research design will be developed in coordination with the SHPOs office.

- a. Provide a detailed statement of objectives, including applicability of work to regional research questions
- b. Provide an explicit statement giving the basis on which cultural remains will be interpreted and evaluated. Specifically include only additional research not included in the Identification phase. Should include discussing (but not limited to)
  - i. identifying past and current land-use patterns for the specific site location
  - ii. identifying social groups and any key individuals associated with activities in the project area
  - iii. identifying residential patterns and community organization as they change through time
  - iv. identifying past construction activities that may have destroyed or impacted cultural remains in the study area
  - v. development of research questions that will evaluate the significance of cultural remains in the project area

**9. Results of Archival and Background Research**

- a. Methods and techniques of archival research, including list of institutions where archival or background research was conducted and types of resources consulted at the aforementioned institutions
- b. Past and present natural environments, from earliest prehistoric habitation of the area
- c. Concise synopsis of prehistoric cultural record of the physiographic area and of the local area
- d. Concise synopsis of historic cultural record of the District of Columbia, including any significant events occurring in the project area
- e. Critical review of previous prehistoric and historic investigations within or near the project area

- f. Narrative overview of historic land use of project area, including:
    - i. chain of title
    - ii. tax and census information on owners and tenants
    - iii. land surveys and plat information
    - iv. information from other sources, including newspapers, fire insurance maps, and historic photographs
    - v. informant interviews with current or former resident(s), if any, of the project area and adjacent properties within the project neighborhood
    - vi. historic maps with project area clearly indicated
    - vii. city directories
    - viii. building permits
  - h. A list of identified cultural resources in the project area keyed to a map of the project area
- 10. Methods and techniques of field investigations**  
 Include within the body of the report an overview of this section. Detailed descriptions should be included as a separate appendix referred to from the body of the report.
- a. Limits of project area versus area investigated, if different
  - b. Sampling design and rationale
  - c. Testing methods and rationale
  - d. Map(s) of the project area clearly delineating areas tested and the different testing methods employed
- 11. Field Results**  
 Include within the body of the report an overview of this section. Detailed descriptions should be included as a separate appendix referred to from the body of the report.
- a. A review of site stratigraphy, including relevant profiles and soils descriptions
  - b. Summary of cultural features, including plans, profiles, and photographs
  - c. Map(s) of identified cultural remains
  - d. Discussion of site chronology
- 12. Methods and techniques of artifact analyses**  
 Include within the body of the report an overview of this section. Detailed descriptions should be included as a separate appendix referred to from the body of the report.
- a. A glossary defining and describing artifact categories and/or material types used, known dates for artifact categories, and references used to create definitions of artifact categories
  - b. A descriptive summary by provenience and artifact category (can be included as an appendix and in digital format)
  - c. Table(s) summarizing major artifact categories by provenience
  - d. Distribution/density map(s) of major artifact categories

- e. Photographs and/or drawings of diagnostic artifacts
- f. Discussion of artifact analyses with reference to published comparable studies
- g. Discussion of relevance to addressing research questions

**13. Interpretation**

This should include primarily a discussion of the information derived from the field research and analysis as applied to the cultural context, locational model for cultural remains, and relevance of results to addressing research questions.

- a. Discuss aspects of background, fieldwork, and artifact analyses used for basis of interpretations
- b. Discuss function(s) and distribution(s) of cultural remains
- c. Assess the applicability of the locational model for historic and prehistoric cultural remains
- d. Assess the reliability of the data
- e. Assess the results of the interpretations against the goals of the study
- f. Discuss the future research potential of the project area and the cultural remains recovered during the undertaking

**14. Summary and Recommendations**

- a. Summary of results and evaluation of methods and techniques employed
- b. Assessment of impact of proposed construction on identified cultural properties
- c. Assess need for additional investigations or mitigation alternatives
- d. Assessment of National Register eligibility (Phase IIs only)
- e. List all public benefits derived from project

**15. References Cited**

Follow latest published guidelines from *American Antiquity*, using *Historical Archaeology* for historic documents. The Chicago Manual of style will be consulted for items not included in the aforementioned published guidelines.

**16. Appendices**

- a. Qualifications of investigators
- b. Scope of work
- c. Full copies of special studies (faunal, soil analyses, etc.)
- d. Artifact Inventory
- e. Relevant historic documents referred to in text (e.g. deeds, probate inventories, etc.)
- f. Relevant project correspondence
- g. National Archaeological Database - Reports Recording Form

## **C. REPORT GUIDELINES FOR PHASE III (TREATMENT) STUDIES**

### **1. Cover**

List of document repositories (e.g. libraries, SHPOs office) on inside of cover

### **2. Title page**

- a. Title of report, which includes name, project type (Phase III, Treatment), and location of the project; cover of report must contain same title
- b. Author(s) of report, including specialists, and their organizational affiliations
- c. Principal investigator(s) of project
- d. Organizational affiliations of author(s), including specialist(s), and principal investigator(s)
- e. Agency and/or client for which report prepared with contract number(s)
- f. Date of current version of report
- g. Indication whether draft or final report
- h. Name of archaeological site(s) and development
- i. Report number assigned by D.C. archaeology office

### **3. Abstract or Management Summary**

A summary, generally no more than a page long, providing information on:

- a. Purpose of the undertaking
- b. Sponsor of the undertaking
- c. Physiographic zone of project location and section of D.C.
- d. Size of project and percent previously disturbed
- e. Research strategy implemented during the undertaking
- f. Findings: brief summary of cultural remains encountered, if any, approximate date(s) of cultural remains, and significance or potential significance of the cultural remains
- g. Integrity of Deposits
- h. Project impact on cultural remains
- i. Recommendations
- j. Repository of collections and project records

### **4. Public report summary and public involvement**

Will be included in body of report, but must be able to function as a stand-alone document. This public report summary will be 15 to 30 pages in length and oriented toward a non-specialist audience. Summary is intended to tell the "story" of the site. The public report summary is considered the minimal effort toward public involvement for the Treatment phase. Additional public involvement will include one or more of the following: on-site tours, on-site interpretive displays, public lectures, audiovisual media, and brochures (a standardized example will be provided in the guidelines).

**5. Table of Contents**

Must include entries for all report chapters, headings and subheadings, lists of figures, tables, etc., including page numbers for all entries, including

- a. Chapters
- b. List of Figures (includes any graphic illustration in a single numerical sequence; e.g. no separate numbering schemes for maps, photographs, soil profiles, etc.)
- c. List of Tables
- d. References cited
- e. Appendices
- f. Acknowledgements

**6. Introduction**

- a. Purpose of project, including both management and research reasons for conducting the project
- b. Description of project and brief statement of results
- c. Project administration and organization, including identifying the sponsor(s)
- d. Specific reason(s) or law(s) calling for current historic preservation work
- e. Brief description and location of project area, including size of project area in acres and hectares
- f. Brief description of methods
- g. Dates of project undertaking, including background research and field investigations
- h. Refer to related historic preservation studies for the project, including Identification and Evaluation phases
- i. Brief summary of results

**7. Project Location and General Description**

- a. Current street address and maps clearly showing the project's location within the District of Columbia and its relation to surrounding streets and other aspects of the urban landscape (one map will be appropriate USGS 7.5' quadrangle and one or more maps will be at a larger scale)
- b. Present land use
- c. Description of current conditions, including ground cover, surface features, disturbance, etc. (must include photograph(s) and map(s) illustrating current conditions)
- d. Physiographic zone

**8. Description of Previous Investigations**

Describe what is known about the project area based on results of Identification and Evaluation phases.

**9. Research Design**

For Evaluation projects, the research design will be developed in coordination with the SHPOs office.

- a. Provide a detailed statement of objectives, including applicability of work to regional research questions
- b. Provide an explicit statement giving the basis on which cultural remains will be interpreted and evaluated, discussing (but not limited to)
  - i. identifying social groups and any key individuals associated with activities in the project area
  - ii. identifying residential patterns and community organization as they change through time
  - iii. development of research questions that will evaluate the significance of cultural remains in the project area

**10. Results of Archival and Background Research**

- a. Methods and techniques of archival research, including list of institutions where archival or background research was conducted and types of resources consulted at the aforementioned institutions
- b. Past and present natural environments, from earliest prehistoric habitation of the area, when appropriate
- c. Concise synopsis of prehistoric cultural record of the physiographic area and of the local area, if appropriate
- d. Concise synopsis of historic cultural record of the District of Columbia, including any significant events occurring in the project area, if appropriate
- e. Critical review of previous prehistoric and historic investigations within or near the project area
- f. Narrative overview of historic land use of project area, including:
  - i. chain of title
  - ii. tax and census information on owners and tenants
  - iii. land surveys and plat information
  - iv. information from other sources, including newspapers, fire insurance maps, and historic photographs
  - v. informant interviews with current or former resident(s), if any, of the project area and adjacent properties within the project neighborhood
- g. A list of identified cultural resources in the project area keyed to a map of the project area

**11. Methods and techniques of field investigations**

Include within the body of the report an overview of this section. Detailed descriptions should be included as a separate appendix referred to from the body of the report.

- a. Limits of project area versus area investigated, if different
- b. Sampling design and rationale
- c. Testing methods and rationale

- d. Map(s) of the project area clearly delineating areas tested and the different testing methods employed

**12. Field Results**

Include within the body of the report an overview of this section. Detailed descriptions should be included as a separate appendix referred to from the body of the report.

- a. A review of site stratigraphy, including relevant profiles and soils descriptions
- b. Summary of cultural features, including plans, profiles, and photographs
- c. Map(s) of identified cultural remains
- d. Discussion of site chronology

**13. Methods and techniques of artifact analyses**

Include within the body of the report an overview of this section. Detailed descriptions should be included as a separate appendix referred to from the body of the report.

- a. A glossary defining and describing artifact categories and/or material types used, known dates for artifact categories, and references used to create definitions of artifact categories
- b. A descriptive summary by provenience and artifact category (can be included as an appendix and in digital format)
- c. Table(s) summarizing major artifact categories by provenience
- d. Distribution/density map(s) of major artifact categories
- e. Photographs and/or drawings of diagnostic artifacts
- f. Discussion of artifact analyses with reference to published comparable studies
- g. Discussion of relevance to addressing research questions
- h. Provide location of where artifacts and documentation are curated

**14. Interpretation**

This should include primarily a discussion of the information derived from the field research and analysis as applied to the cultural context, locational model for cultural remains, and relevance of results to addressing research questions.

- a. Discuss aspects of background, fieldwork, and artifact analyses used for basis of interpretations
- b. Discuss function(s) and distribution(s) of cultural remains
- c. Assess the applicability of the locational model for historic and prehistoric cultural remains
- d. Assess the reliability of the data
- e. Assess the results of the interpretations against the goals of the study
- f. Discuss the future research potential of the project area and the cultural remains recovered during the undertaking

**15. Summary and Recommendations**

- a. Summary of results and evaluation of methods and techniques employed
- b. Assessment of impact of proposed construction on identified cultural properties
- c. Assess need for additional investigations or mitigation alternatives
- d. Assessment of National Register eligibility (Phase IIs only)
- e. List all public benefits derived from project

**16. References Cited**

Follow latest published guidelines from *American Antiquity*, using *Historical Archaeology* for historic documents. The Chicago Manual of style will be consulted for items not included in the aforementioned published guidelines.

**17. Appendices**

- a. Qualifications of investigators
- b. Scope of work
- c. Full copies of special studies (faunal, soil analyses, etc.)
- d. Artifact Inventory
- e. Relevant historic documents referred to in text (e.g. deeds, probate inventories, etc.)
- f. Relevant project correspondence
- g. National Archaeological Database - Reports Recording Form

**D. STANDARDS FOR ILLUSTRATIONS, INCLUDING MAPS, DRAWINGS, AND PHOTOGRAPHS**

- a. All illustrations must be cited in the text body of the report and must be placed on a page immediately following the citation or in the appropriate order, if multiple illustrations are cited in the text body
- b. Informative title, including location and orientation of camera for all photographs, with necessary captions
- c. Scale or indication that source lacks a scale
- d. North arrow for maps
- e. Clarity
- f. Utility of illustrations is stressed; they must provide useful information which cannot readily be transmitted in written form
- g. Color coding of maps can be done where appropriate, though red and green should be avoided as color choices
- h. Digital photographic images can be used in place of actual photographs if the digital image resolution is at least 600 dots per inch (horizontal and vertical) and the image is produced on a printer with a resolution of at least 600 dots per inch (horizontal and vertical).



## REFERENCES CITED

Louis Berger & Associates, Inc. (LBA)

- 1993 Archaeological Mitigation Plan, Jenkins Farm Archaeological Site (51SE4) District of Columbia, Outer Branch Avenue Segment, Green Line (F) Route Washington Area Regional Metrorail System. Prepared for the Washington Metropolitan Area Transit/ Authority, Washington, DC.
- 1994 Archaeological and Historical Investigations of the Jenkins Farm Site (51SE4) District of Columbia, Outer Branch Avenue Segment, Green Line (F) Route Washington Area Regional Metrorail System. 2 Volumes. Prepared for the Washington Metropolitan Area Transit Authority, Washington, DC.

## APPENDICES

APPENDIX A

ARCHAEOLOGICAL SITE FORM

District of Columbia  
Historic Preservation Division  
614 H Street NW  
Washington, DC 20001

FOR OFFICE U  
ONLY

UTM      /  /  /        /  /  /  /  /  /  /  /  /  /  /  /        /  /  /  /  /  /  /  /  /  /  /  /    
           ZONE                      EASTING                      NORTHING

QUAD \_\_\_\_\_  
SQUARE \_\_\_\_\_ LOT \_\_\_\_\_

IDENTIFICATION	1. SITE NAME (S)  SQUARE 530	Other number(s):
	2. DCHPD SITE NUMBER 51NW106	Assigned by: L. HENLEY DEAN
	3. STREET & NUMBER (Parcel/Reservation #; detailed description of how to reach site if appropriate) SQUARE 530 BOUNDED BY G STREET, THIRD STREET, F STREET, AND FOURTH STREET, N.W.	
	4. OWNER(S) AND ADDRESS(ES)  ALONZO O. BLISS PROPERTIES	
	<input type="checkbox"/> Public <input checked="" type="checkbox"/> Private	
	5. SITE LOCATED BY <input checked="" type="checkbox"/> CRM Survey <input type="checkbox"/> Avocational Collector <input type="checkbox"/> Other (specify) JOHN MILNER ASSOCIATES	
DESCRIPTION	6. PERIOD(S) (Check all applicable boxes)	
	<input type="checkbox"/> Paleo	<input type="checkbox"/> Early Woodland
	<input type="checkbox"/> Early Archaic	<input type="checkbox"/> Middle Woodland
	<input type="checkbox"/> Middle Archaic	<input type="checkbox"/> Late Woodland
	<input type="checkbox"/> Late Archaic	<input type="checkbox"/> Contact
	<input type="checkbox"/> Unknown Prehistoric	<input type="checkbox"/> Other (specify)
	<input type="checkbox"/> 17th Century	<input type="checkbox"/> 18th Century
	<input checked="" type="checkbox"/> 19th Century	<input checked="" type="checkbox"/> 20th Century
	Estimated Occupation Range: CA. 1829-1960	
	7. DATING METHODS <input type="checkbox"/> C14 <input type="checkbox"/> Relative dating methods (specify)	
<input checked="" type="checkbox"/> Documentary search (specify types of sources and list)(maps, deeds, etc.) HISTORIC MAPS SHOWING IMPROVEMENTS		
<input checked="" type="checkbox"/> Diagnostic materials (specify) HISTORIC CERAMICS, GLASS		
8. SITE TYPE	Describe site type & function	
Prehistoric: <input type="checkbox"/> Camp <input type="checkbox"/> Village <input type="checkbox"/> Quarry <input type="checkbox"/> Fishing Camp <input type="checkbox"/> Workshop Historic: <input type="checkbox"/> Farm <input checked="" type="checkbox"/> Domestic <input type="checkbox"/> Military <input type="checkbox"/> Industrial <input checked="" type="checkbox"/> Commercial <input type="checkbox"/> Unknown <input type="checkbox"/> Other (specify)		DOMESTIC NEIGHBORHOOD CA. 1829-1960s COMMERCIAL PARKING LOT 1960s-1993
9. DESCRIBE SITE DIMENSIONS AND BOUNDARIES SQUARE BOUNDED BY G STREET, THIRD STREET, F STREET, AND FOURTH STREET, N.W. DIMENSIONS ARE 190' EAST-WEST BY 245' NORTH-SOUTH		10. GENERALIZED SITE PROFILE Type of Soil(s) Cultural Materials
		SEE ATTACHED
11. STRATIGRAPHY		Indicate Depth of Levels
<input checked="" type="checkbox"/> Stratified <input type="checkbox"/> Not stratified <input type="checkbox"/> Stratigraphy not determined		SURFACE INDICATORS <input checked="" type="checkbox"/> No visible evidence <input type="checkbox"/> Surface finds <input type="checkbox"/> Other (specify) <input type="checkbox"/> Standing ruins
12. SOIL USDA Soil Series SITE CONSISTS OF URBAN FILL	Contour Elevation 40' A.M.S.L.	
Acidity <input type="checkbox"/> <4.5 <input type="checkbox"/> 4.5-5.5 <input type="checkbox"/> 5.6-6.5 <input type="checkbox"/> 6.6-7.3 <input type="checkbox"/> 7.4-8.4		
% Slope of Ground <input checked="" type="checkbox"/> 0-5 <input type="checkbox"/> 5-15 <input type="checkbox"/> 15-		

ENVIRONMENT	13. TOPOGRAPHY	<input checked="" type="checkbox"/> Flood plain	<input type="checkbox"/> Terrace	<input type="checkbox"/> Valley slope	<input type="checkbox"/> Uplands	
		<input type="checkbox"/> Stream cut	<input checked="" type="checkbox"/> Other (specify)	FILLED IN HISTORIC PERIOD		
	14. WATER	Nearest source			Distance from site	
		POTOMAC RIVER			10,000 FT	
	15. CURRENT GROUND COVER	ASPHALT				
CONDITION	16. CURRENT LAND USE	<input type="checkbox"/> Vacant <input type="checkbox"/> Parkland <input type="checkbox"/> Commercial <input checked="" type="checkbox"/> Parking lot			<input type="checkbox"/> Residential <input type="checkbox"/> Institutional <input type="checkbox"/> Industrial <input type="checkbox"/> Other (specify)	
					PAST LAND USE (Describe)	
					RESIDENTIAL AND COMMERCIAL BUILDINGS AND YARDS	
	17. SURROUNDING ENVIRONMENT	<input type="checkbox"/> Open land <input type="checkbox"/> Industrial <input type="checkbox"/> Woodland <input type="checkbox"/> Residential			<input type="checkbox"/> Waterfront <input checked="" type="checkbox"/> Commercial <input checked="" type="checkbox"/> Other (specify)	
					MUSEUM, OFFICES	
RESEARCH STATUS	18. SITE INTEGRITY	Degree of Disturbance				
		<input type="checkbox"/> Undisturbed <input type="checkbox"/> Slightly disturbed <input type="checkbox"/> Extensively disturbed				
		<input checked="" type="checkbox"/> Moderately disturbed <input type="checkbox"/> Unknown				
		Type of Disturbance <input type="checkbox"/> Natural causes <input checked="" type="checkbox"/> Non-scientific excavation <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Periodic inundation <input checked="" type="checkbox"/> Buried site/urban fill				
		<input type="checkbox"/> Scientific excavation <input type="checkbox"/> Extensive surface collection <input type="checkbox"/> Utility trenches <input type="checkbox"/> Road/Highway <input type="checkbox"/> Long term inundation <input type="checkbox"/> Unknown <input type="checkbox"/> Other (specify)				
RESEARCH STATUS	19. THREATS TO SITE	<input type="checkbox"/> Renewal <input type="checkbox"/> Highways <input type="checkbox"/> Private <input type="checkbox"/> Vandalism <input type="checkbox"/> Deterioration <input type="checkbox"/> Developers <input type="checkbox"/> Zoning <input checked="" type="checkbox"/> Other (specify)				
		DEVELOPMENT BY GSA				
	20. ACCESSIBILITY TO PUBLIC	<input type="checkbox"/> Free access <input checked="" type="checkbox"/> Need owner's permission <input type="checkbox"/> Restricted <input type="checkbox"/> No access				
	21. PREVIOUS INVESTIGATIONS	By Whom/Affiliation				
		Date				
RESEARCH STATUS	Scientific Investigations	<input type="checkbox"/> Surface collected <input type="checkbox"/> Tested <input type="checkbox"/> Excavated				
	Non-scientific Investigations	<input type="checkbox"/> Surface collected <input type="checkbox"/> Excavated				
	22. PRESENT LOCATION OF MATERIALS	JOHN MILNER ASSOCIATES, 5250 CHEROKEE AVENUE, FOURTH FLOOR, ALEXANDRIA, VA, 22312				
	23. PUBLISHED REFERENCES TO SITE	PHASE IA ARCHAEOLOGICAL INVESTIGATIONS FOR THE FBI WASHINGTON FIELD OFFICE, PAPPAS ET AL. 1992. ENGINEERING-SCIENCE				
	24. RECOVERED DATA (Identify in detail, including features, burials, related outbuildings, landscape features, etc.)	Documentary HISTORICAL MAPS INCLUDE USGS 1983, ELLICOTT 1800, KING 1803, TANNER 1836, KELLY 1850, BOSCHKE 1861, FAEHTZ AND PRATT 1874, GREENE 1880, HOPKINS 1892, BAIST 1903, SANBORN 1888, 1904, 1928, 1956, AND 1984.				
	Archaeological BURIED MID-19TH C YARD DEPOSITS LATE 19TH C. STRUCTURE FOUNDATIONS TURN OF CENTURY YARD DEPOSITS					

25. ATTACH TO THIS FORM THE PORTION OF USGS QUAD WITH SITE AREA MARKED

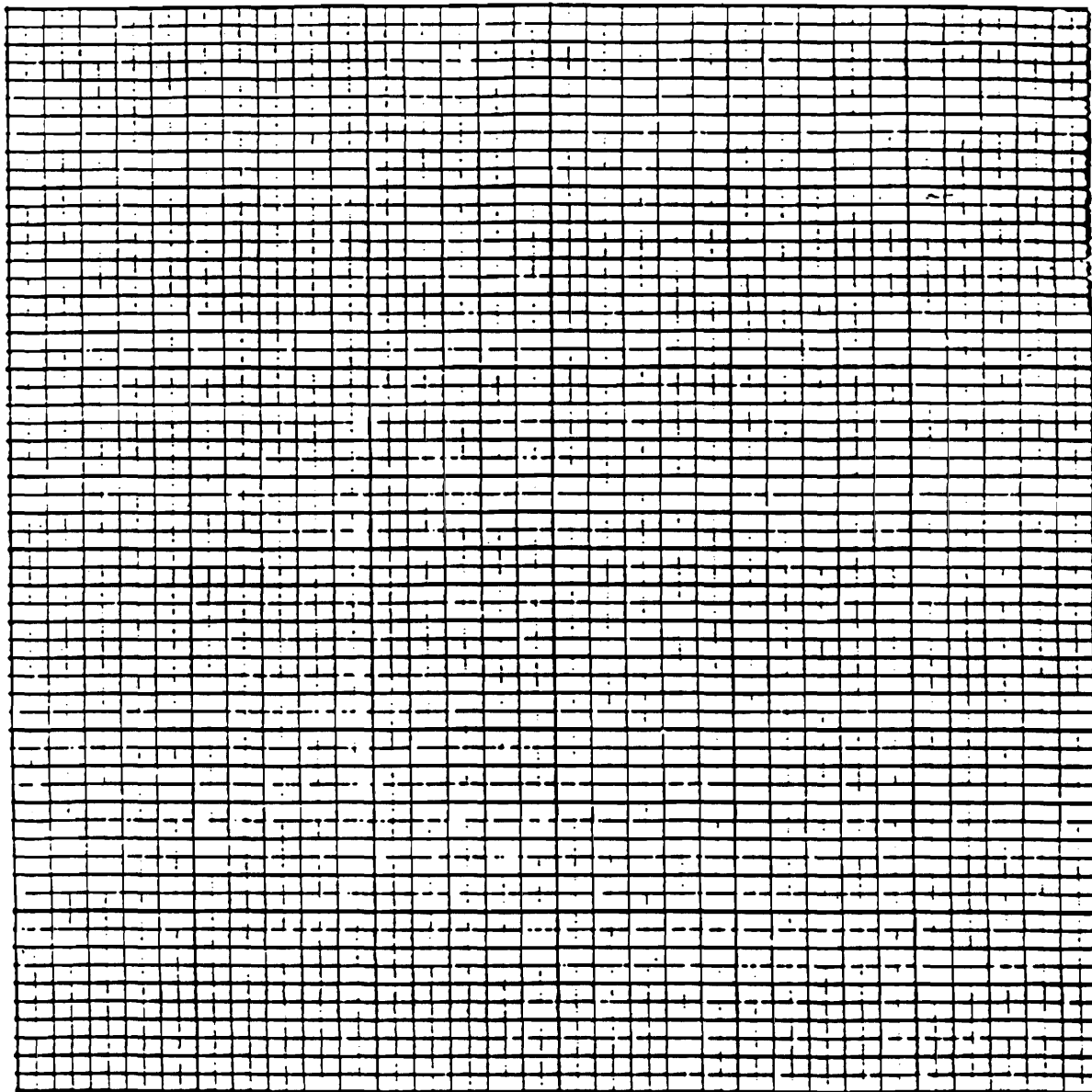
26. SKETCH PLAN OF SITE

Scale:

N

SEE ATTACHED

SITE PLAN



27. PHOTOGRAPHS (Attach if available. Label each with: date of photo, photograph view shown, name of site, site number, where negative is filed.)

28. LANDMARK STATUS ☐ / ☐ Listed in National Register ☐ / ☐ Not eligible  
☒ / ☐ Eligible to NR under criteria ☐ / ☐ A, ☐ / ☐ B, ☐ / ☐ C, ☒ / ☐ D.  
☐ / ☐ Listed as D.C. Landmark ☐ / ☐ Not eligible to Landmarks list  
☐ / ☐ Eligible for Landmark list under criteria ☐ / ☐ 1 ☐ / ☐ 2 ☐ / ☐ 3 ☐ / ☐ 4 ☐ / ☐ 5 ☐ / ☐ 6

SIGNIFICANCE

29. ARCHAEOLOGICAL AND/OR HISTORICAL SIGNIFICANCE (Describe. Give also thematic categories as appropriate)

ARCHAEOLOGICAL RESOURCES RECOMMENDED

ELIGIBLE FOR NATIONAL REGISTER UNDER CRITERION D.

## 30. ADDITIONAL INFORMATION

TECHNICAL REPORT OF PHASE II INVESTIGATIONS BEING PREPARED FOR GENERAL SERVICES ADMINISTRATION BY JOHN MILNER ASSOCIATES, INC. (AUGUST 1993)

## 31. REPORTED BY

Name DONNA J. SEIFERT

Organization JOHN MILNER ASSOCIATES, INC.

Address 5250 CHEROKEE AVE., 4TH FLOOR, ALEXANDRIA, VA 22312

Date AUG 11 1993

## FOR OFFICE USE ONLY

FIELD EVALUATION

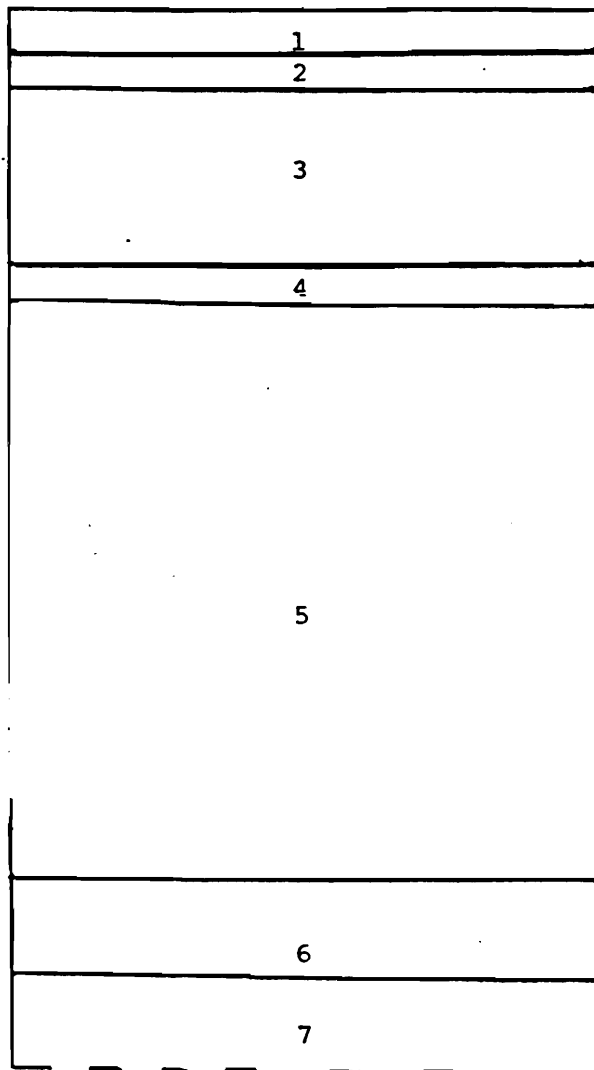
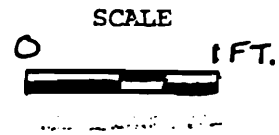
/ / Site inspected/verified

Date:

By Whom:

COMMENTS

# 10. GENERALIZED SITE PROFILE



- 1) Asphalt
- 2) Modern silty sand fill with inclusions of demolition debris.
- 3) Lot destruction layer of sand with clay containing fragments of brick, coal, and pebbles.
- 4) Late 19th - early 20th Century occupation layer of silty sand.
- 5) 1871-1875 Urban improvement fill layer of silty sand and sandy clay. Sterile.
- 6) Mid-19th century yard surface.
- 7) Subsoil.





25.  
Location of the Project  
Area, Square 530  
(USGS 1983)

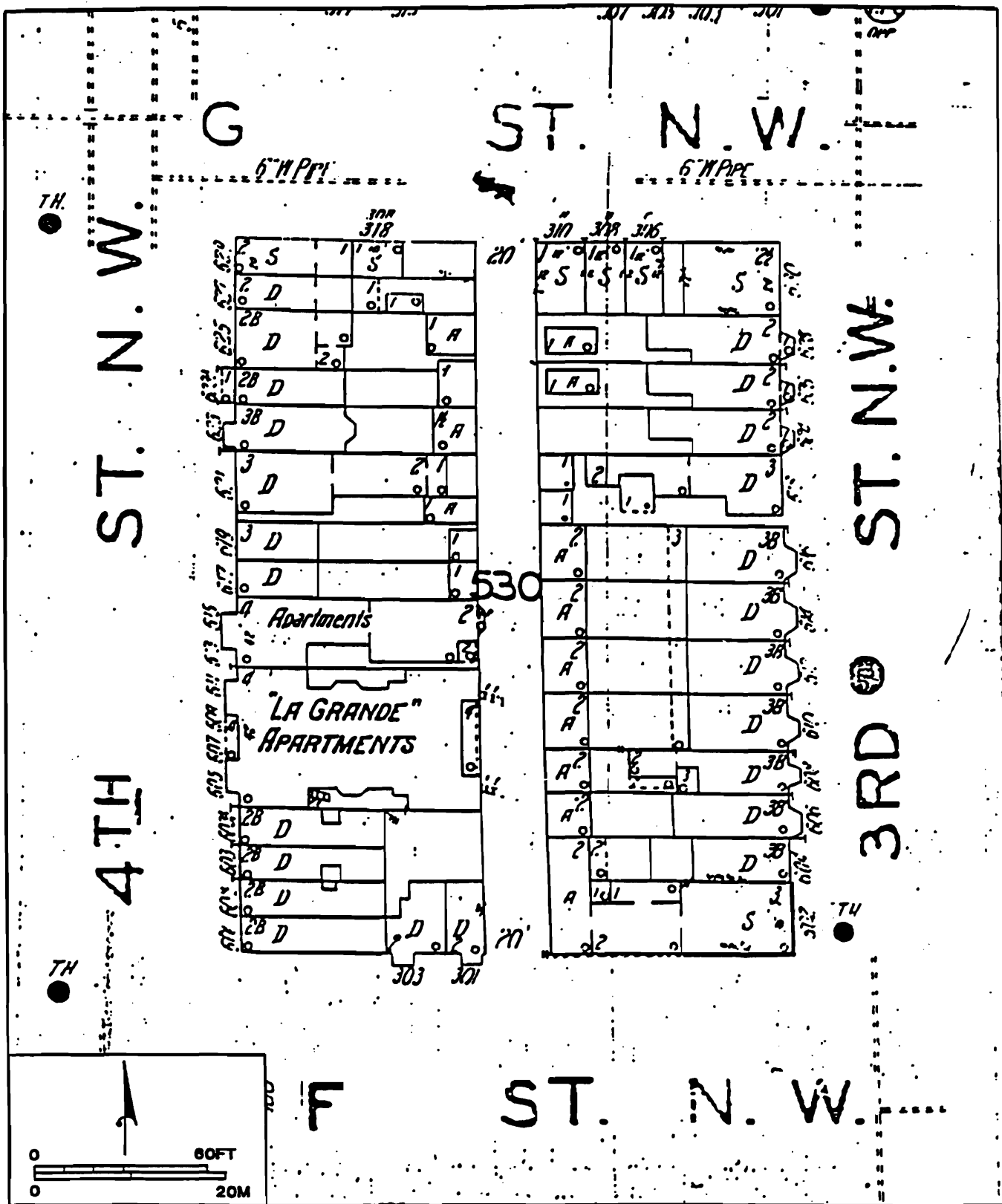


Figure 1

**APPENDIX B**

**SAMPLE MAPS/PROFILES**

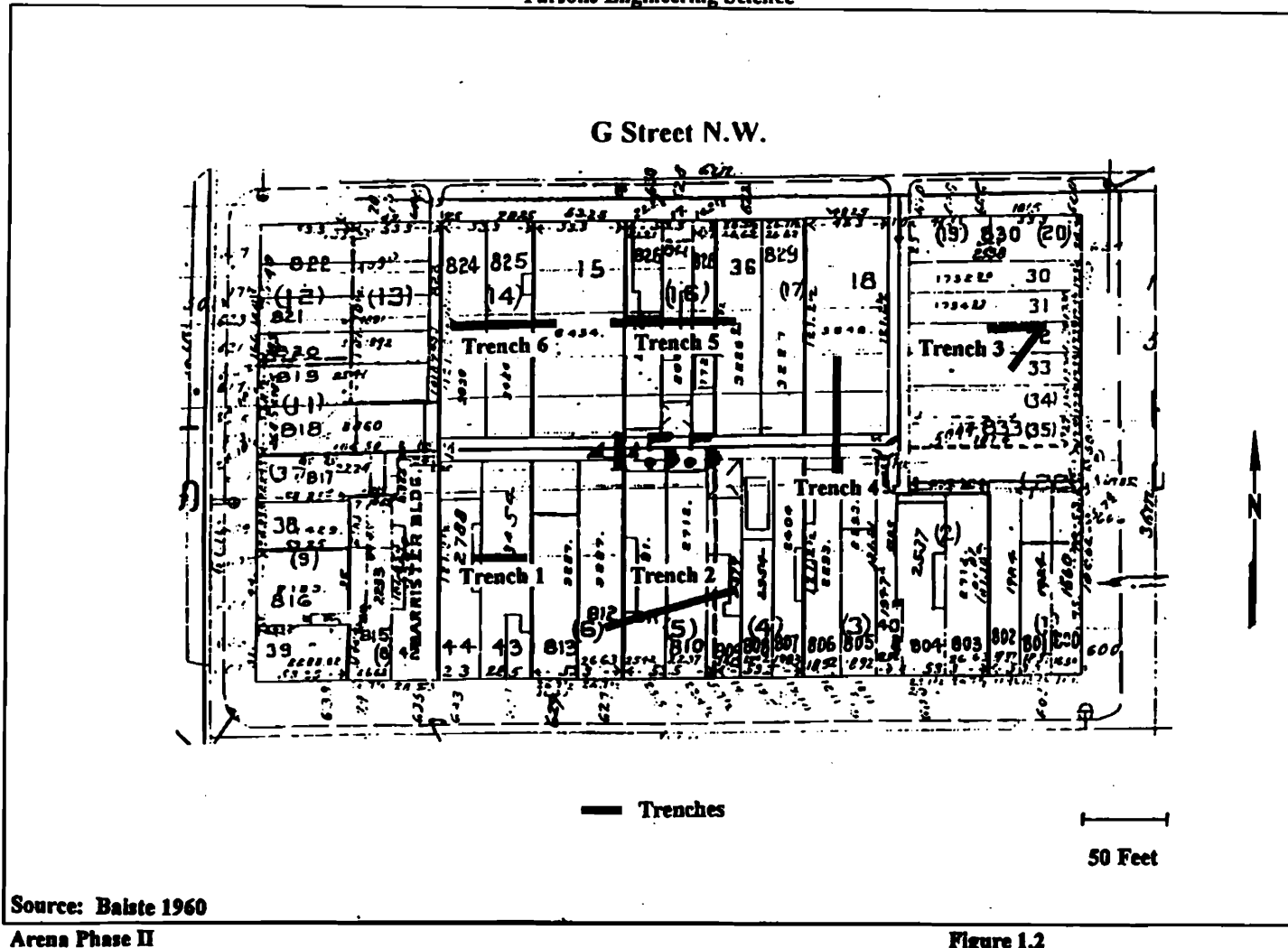
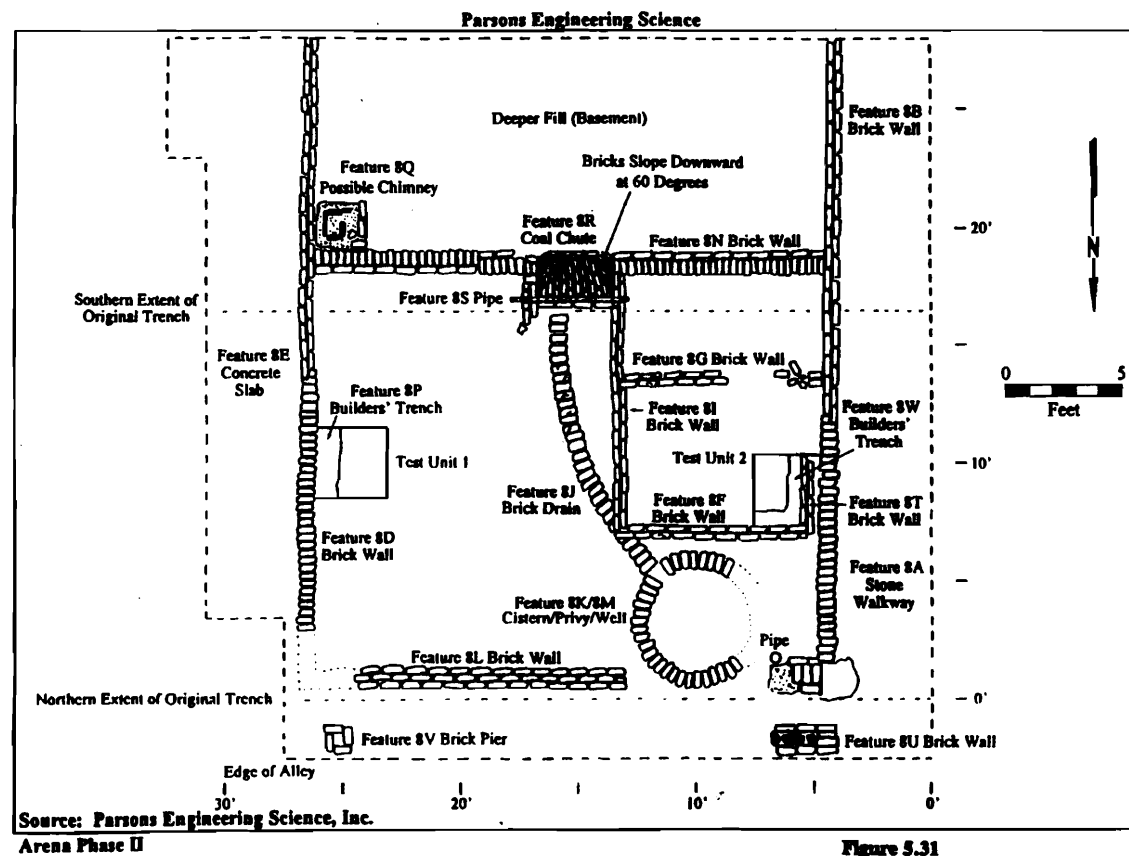


Figure 1: Site Plan (Glumac, et al. 1995).



**Figure 5.31**  
**Phase II**  
**Planview Trench 8**

**Figure 2:** Planview (Glumac, et al. 1995).

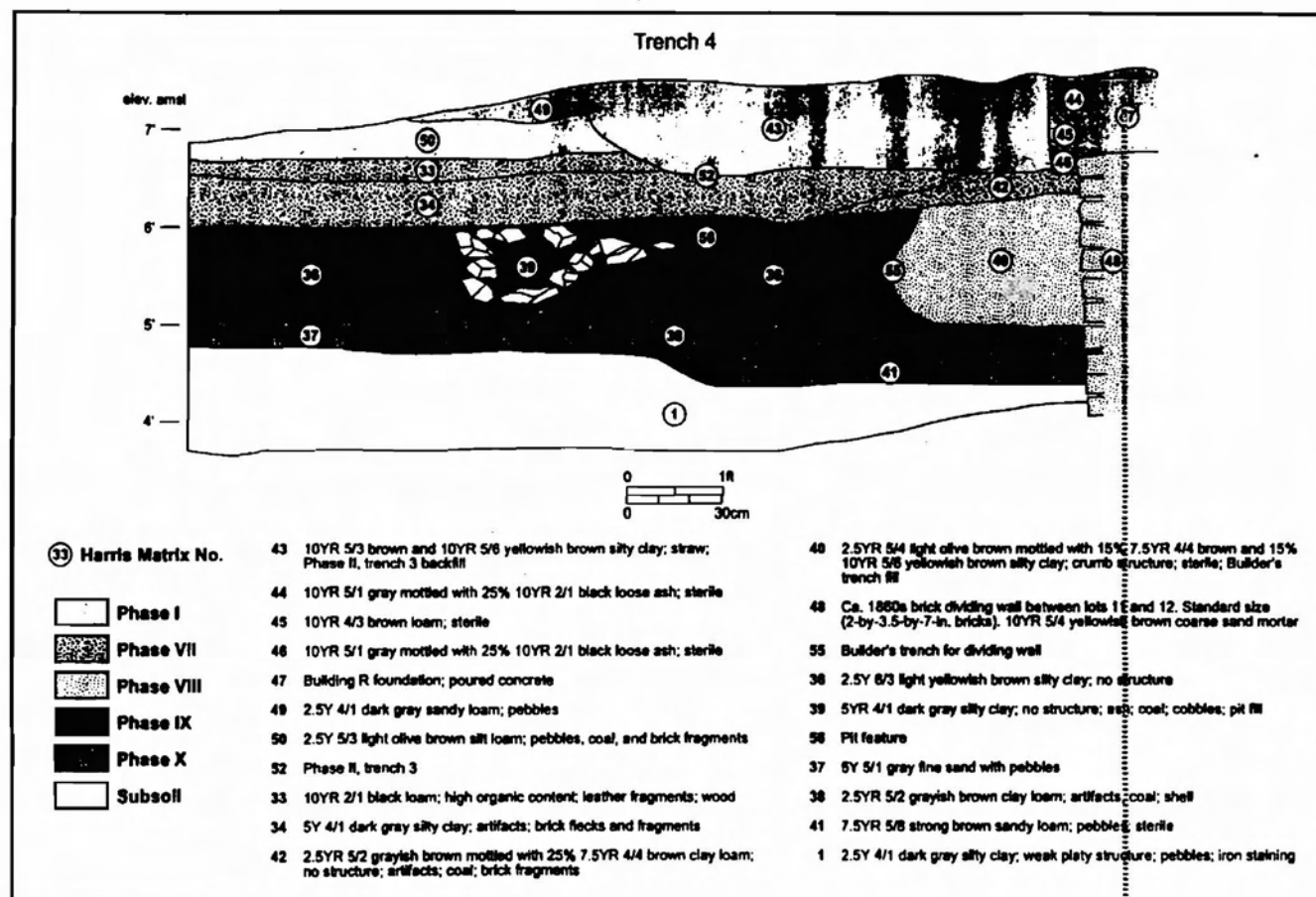


Figure 27. Trench 4, south profile.

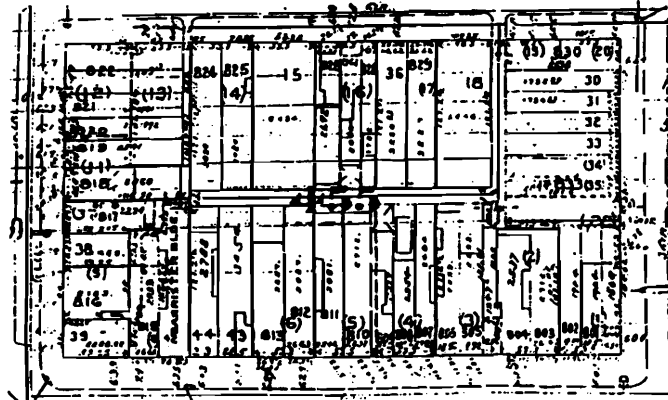
Figure 3: Trench Profile (Seifert, et al. 1995).

Parsons Engineering Science

Square 455

12	13	14	15	16	17	18	19	20
11								21
10								22
9	8	7	6	5	4	3	2	1

Source: Tax Assessment, after Faehz & Pratt, 1873

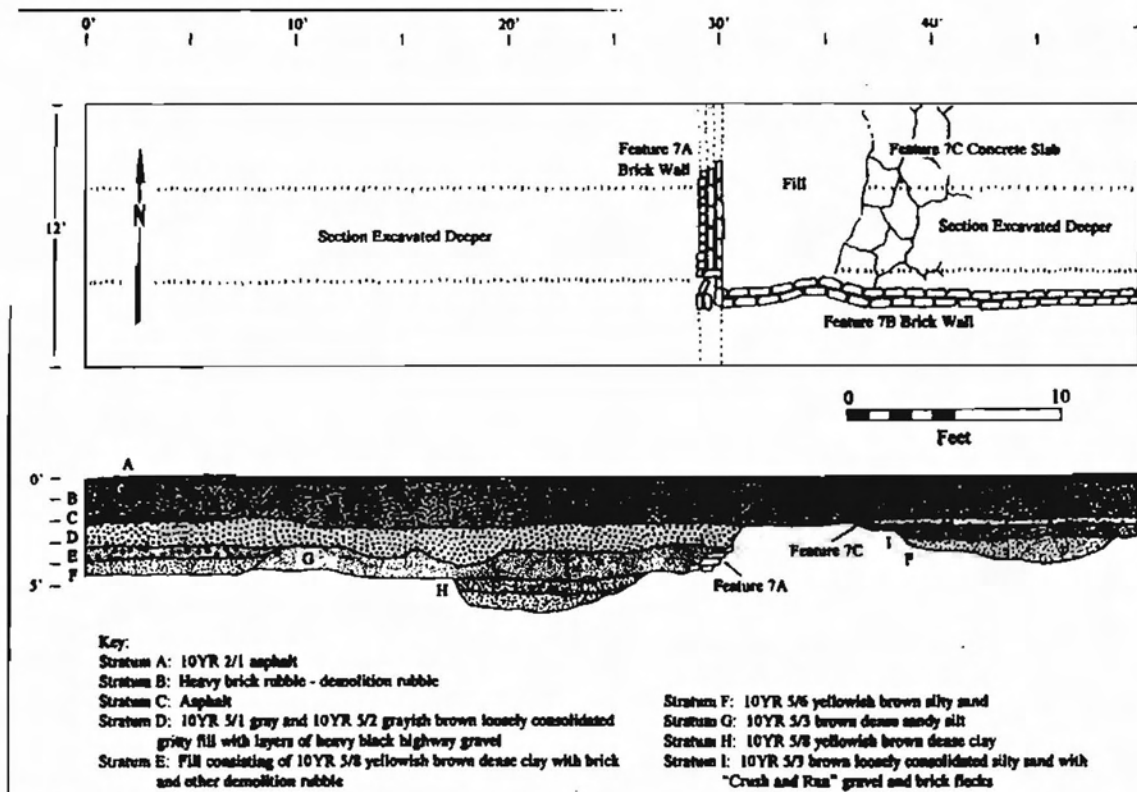


Source: Baiste, 1960

Arena Phase II

Figure S.1  
Lot Numbers in Square 455

Figure 4: Comparison of 1873 and 1960 Lot Assessments (Glumac, et al. 1995).



Arena Phase I/II

Figure 5.28  
Planview and North  
Profile of Trench 7

Figure 5: Planview and Profile (Glumac, et al. 1995).



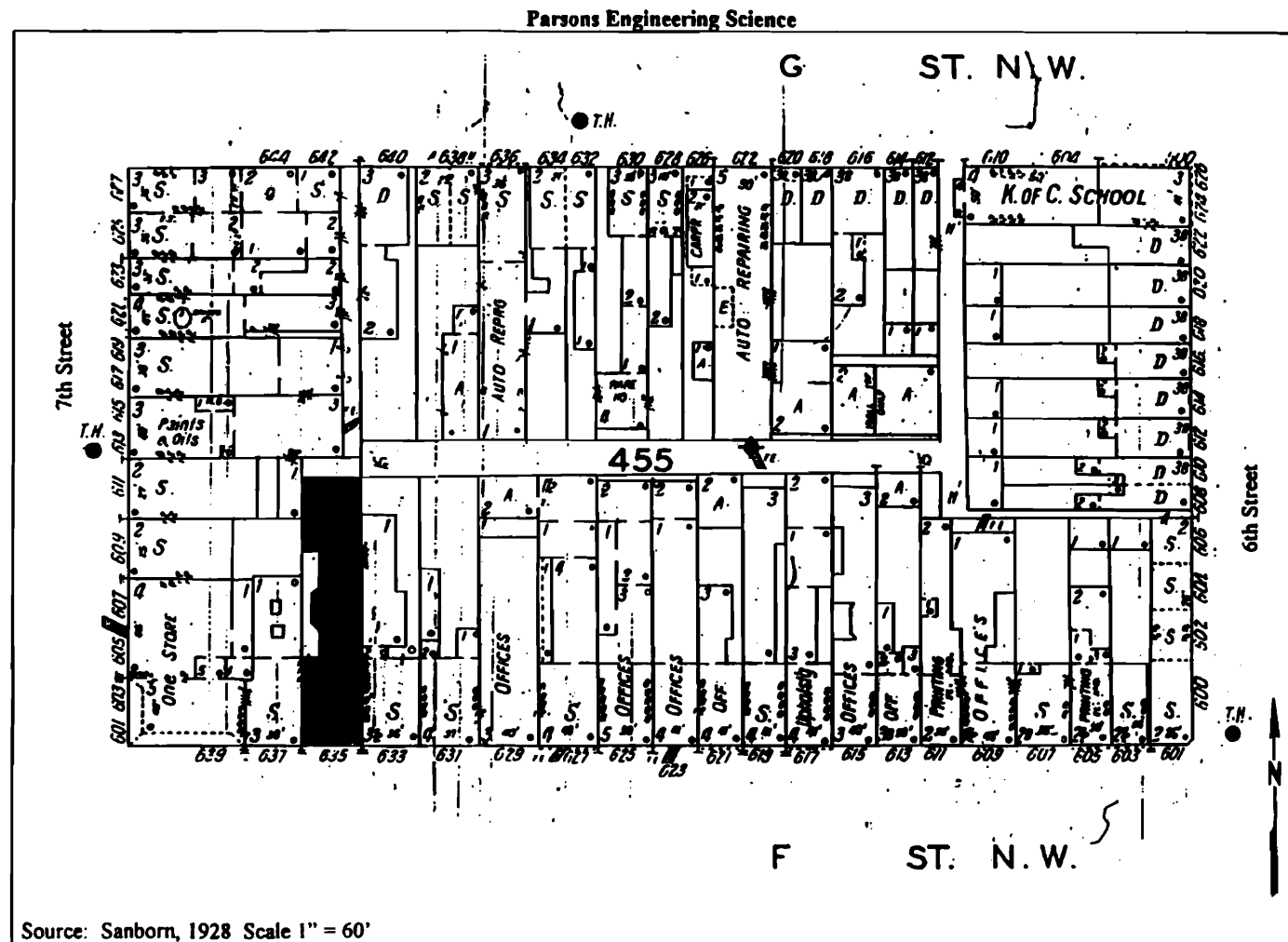


Figure 3.7  
Square 455 in 1928  
based on Sanborn

Figure 6: 1928 Sanborn Map (Glumac, et al. 1995).

### References for Sample Figures

Glumac, P., E. Crowell, B. Crane, C. Shields, J. Rutherford, and V. Robertson

1995 *Phase I and II Archaeological Investigation for the Washington, DC Arena.*

Report prepared for EDAW, Inc., Alexandria by Parsons Engineering Science.

Seifert, D., J. Balicki, E. O'Brien, D. Heck, G. McGowan, and A. Smith

1998 *Archaeological Data Recovery: Smithsonian Institution National Museum of the American Indian Mall Site.* Office of Physical Plant Project No. 902003.

Prepared for the Smithsonian Institution and Venturi, Scott Brown and Associates, Inc. by John Milner Associates, Inc., Alexandria, Virginia.

## APPENDIX C

### NATIONAL ARCHAEOLOGICAL DATA BASE FORM

NADB - REPORTS RECORDING FORM

Complete items 5 through 14. Refer to the "Instructions for Completing NADB - Reports Recording Forms."

1. DOCUMENT NO. \_\_\_\_\_

2. SOURCE \_\_\_\_\_ AND SHPO - ID \_\_\_\_\_

3. FILED AT \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. UTM COORDINATES

Zone _____	Easting _____	Northing _____
Zone _____	Easting _____	Northing _____
Zone _____	Easting _____	Northing _____
Zone _____	Easting _____	Northing _____
Zone _____	Easting _____	Northing _____
Zone _____	Easting _____	Northing _____

Continuation, see 14.

5. AUTHORS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. YEAR \_\_\_\_\_

Year published.

7. TITLE \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. PUBLICATION TYPE (circle one)

- 1 Monograph or Book
- 2 Chapter in a Book or Report Series
- 3 Journal Article
- 4 Report Series
- 5 Dissertation or Thesis
- 6 Paper presented at a Meeting
- 7 Unpublished or Limited Distribution Report
- 8 Other

9. INFORMATION ABOUT PUBLISHER/PUBLICATION

Follow the American Antiquity style guide published in 1983, Vol. 48, pp. 438-441, for the type of publication circled.

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10. STATE/COUNTY (Referenced by report. Enter as many states, counties, or towns, as necessary. Enter all, if appropriate. Only enter Town if the resources considered are within the town boundaries.)

STATE 1 \_\_\_\_ COUNTY \_\_\_\_\_ TOWN \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

STATE 2 \_\_\_\_ COUNTY \_\_\_\_\_ TOWN \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

STATE 3 \_\_\_\_ COUNTY \_\_\_\_\_ TOWN \_\_\_\_\_  
\_\_\_\_\_

Continuation, see 14.

11. WORKTYPE (circle all that are appropriate)

- 01 Cultural Resource Management Plan
  - 31 Archeological Overview and Assessment
  - 32 Archeological Identification Study (Phase I)
  - 33 Archeological Evaluation Study (Phase II)
  - 34 Archeological Data Recovery (Phase III)
  - 35 Archeological Collections and Non-Field Studies
  - 999 Other Non-Archeological Studies
- Furnish a keyword in keyword category 1 to identify nature of this non-archeological study.

12. KEYWORDS and KEYWORD CATEGORIES

- 0 Types of Resources (or "no resources")
- 1 Generic Terms/Research Questions/Specialized Studies
- 2 Archeological Taxonomic Names
- 3 Defined Artifact Types/Material Classes
- 4 Geographic Names or Locations
- 5 Time
- 6 Project Name/Project Area
- 7 Other keywords

Enter as many keywords (with the appropriate keyword category number) as you think will help a person (1) who is trying to understand what the report contains or (2) who is searching the database for specific information.

Whenever appropriate, record the number of acres studied in a document.

_____ acres	[ 4 ]	_____	[ ]	_____	[ ]
_____	[ ]	_____	[ ]	_____	[ ]
_____	[ ]	_____	[ ]	_____	[ ]
_____	[ ]	_____	[ ]	_____	[ ]
_____	[ ]	_____	[ ]	_____	[ ]
_____	[ ]	_____	[ ]	_____	[ ]
_____	[ ]	_____	[ ]	_____	[ ]
_____	[ ]	_____	[ ]	_____	[ ]

Continuation, see 14.

13. FEDERAL AGENCY CODE \_\_\_\_\_

14. CONTINUATION/COMMENTS (include item no.) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

FORM COMPLETED BY

Name \_\_\_\_\_ Date \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_

Zip \_\_\_\_\_

Telephone Number \_\_\_\_\_



## **Phase I Archaeological Identification Survey – Testing and Archival Research, Land Use History, and GIS Map Analysis**

By law, a Phase I archaeological survey is conducted by personnel meeting the minimum standards for archaeologists and/or cultural resources personnel as defined by the Secretary of the Interior (see link below). All work follows the District's guidelines for conducting archaeology, the 1998 *Guidelines for Archaeological Investigations in the District of Columbia*, (see link below) with work plans for each project submitted to the DC City Archaeologist in the Historic Preservation Office (HPO)/ DC SHPO for review and approval. Close coordination and consultation with the City Archaeologist are needed throughout all projects. ***In no case should any work proceed without consultation and submission of a work plan for review and approval by the DC HPO/SHPO.***

Archaeological investigations should commence as far ahead of construction as possible to allow the work to proceed safely, to provide time for review, and to permit a study's conclusions to inform project plans. It speeds things up if the project team requests utility marking and permits (if needed) rather than leaving those steps to the archaeologist. Locations where a former cemetery was present or suspected of being present may still contain burials whose discovery would require notification of the Metropolitan Police Dept. and the Medical Examiner. The HPO will work with these agencies to avoid undue project delays. For certain schedule-critical projects, a fast-track process is available that compresses the phases – contact the City Archaeologist to determine if this option is appropriate.

***Additional phases of investigation may be warranted if potentially significant archaeological sites are identified during Phase I investigations.*** Phase II National Register of Historic Places (NRHP) eligibility testing focuses on intensive investigations designed to determine whether a site retains sufficient integrity and historical/prehistoric significance to meet NRHP eligibility requirements, and establish the physical boundaries of the eligible area. If a site is found to be significant or eligible for the NRHP and will be affected or impacted by the proposed project, then some sort of mitigation for the loss of the site is required. A Phase III data recovery excavation is one type of mitigation, but others are available. These decisions are made in consultation with the HPO. We encourage leaving significant resources in place by avoidance when possible. Phase II and III investigations are conducted much less frequently than Phase I studies.

### **A Phase I archaeological study involves several steps, including:**

1) Prepare a historic context and land use analysis of the project area using GIS technology if appropriate. This step is sometimes referred to as Phase IA study, a detailed analysis of whether resources are likely present in the project area. Geoarchaeological evaluation may be an appropriate technique for Phase IA on some projects. Geoarchaeologists are soil scientists or soil morphologists that specialize in the soils found in archaeological contexts and they help establish whether soils of archaeological interest are present within an area that

merit full-scale testing. If there is evidence of filling and/or grading, we recommend using GIS to prepare and cut-and-fill analysis, comparing historic topographic data to current.

2) Conduct archaeological testing to determine if potentially eligible archaeological resources are present. This step is sometimes referred to as Phase IB site identification survey and may entail manual excavation of shovel tests or mechanical excavation of trenches using equipment such as a backhoe or Gradall.

3) Conducting data analysis including artifact analysis, interpretation, and curation preparation of all artifacts, associated records, and digital data. Depending on the number and types of artifacts recovered, this could take hours, days, or weeks of analysis followed by report writing; and

4) Reporting project results by completing a draft and final technical report following the District's *Guidelines*. The draft report is submitted to the DC HPO (and other agencies if necessary) for review and comment, and a revised, final report is completed and submitted along with the collections to the HPO (or other agency as appropriate) for permanent curation. A project is not finished until a final report and the collections and associated records are accepted for curation. The HPO will furnish checklists for submitting reports and collections during consultation.

**Links:**

The 1998 *Guidelines* and other relevant documents are available on the HPO web site:

<http://planning.dc.gov/page/archaeology-district-columbia>

When is archaeology needed?:

[https://planning.dc.gov/sites/default/files/dc/sites/op/publication/attachments/Where\\_When\\_Archaeology.pdf](https://planning.dc.gov/sites/default/files/dc/sites/op/publication/attachments/Where_When_Archaeology.pdf)

Link to web tour "Washington Underground" :

<http://www.heritage.umd.edu/CHRSWeb/DC%20Archaeology/DC%20Archaeology%20Tour/Archaeology%20Tour.htm>

Secretary of Interior's (SOI) Professional Qualification Standards:

[http://www.nps.gov/history/local-law/arch\\_stnds\\_9.htm](http://www.nps.gov/history/local-law/arch_stnds_9.htm)

Lists of Consultants meeting the SOI Standards:

District of Columbia: <http://www.dcpreservation.org/contractors/>

Maryland: <http://mahdc.org/contractor-directory/>

Virginia: [http://www.dhr.virginia.gov/pdf\\_files/VDHR\\_HistoricTradesDir.pdf](http://www.dhr.virginia.gov/pdf_files/VDHR_HistoricTradesDir.pdf)

**DC Office of Planning GIS standards:**

ESRI Shapefile (\*.shp) format with a spatial reference for Washington, D.C. using the North American Datum (NAD) 1983 State Plane for Maryland FIPS 1900 in 1 meter units with a central meridian of -77, and latitude of origin at 37.6666

**For more information please contact:** Dr. Ruth Trocolli, DC SHPO Archaeologist  
202-442-8836 or [ruth.trocolli@dc.gov](mailto:ruth.trocolli@dc.gov)



## EXAMPLE - Work Plan and Collections Agreement Form



I, [consultant/other] with [firm/agency]  
 am under contract to complete the tasks outlined in the DC HPO-approved Work Plan for the proposed archaeological investigations at [location, SSL], DC HPO project number xx-xxxx. I further understand that completion of this project, in accordance with the approved Work Plan, requires adherence to the *Guidelines for Archaeological Investigations in the District of Columbia* (available at the link below), applicable state and federal standards, as well as District standard operating procedures for submission of all documentation, reports, images, field notes and records, electronic data, archaeological collections, and related records.

A collections database template, codebook, collection submission checklist, and report checklist have been provided for your use. Please allow sufficient time when scheduling a collections transmittal meeting for reviewing condition and completeness of the submitted materials. Inadequately prepared collections and documentation submissions will not be accepted until they meet the established criteria. In addition, reports that are incomplete, inadequately researched, and/or have conclusions or recommendations that do not reflect the level of effort may be returned for revisions before formal review will start, and before concurrence will be issued.

Please sign below and return to Ruth Trocolli, District Archaeologist upon receipt of DC HPO approval for the Work Plan. Additionally, please contact the DC HPO with any questions.

DC HPO Report #     DC HPO Accession #    

Is this collection being curated by the DC HPO? ☒ Yes ☐ No ☐ other (describe)                       
**DC HPO offers to curate the collection at no cost to the developer/owner but other arrangements are possible including it being loaned to the HPO – Please visit this issue with your clients and update form as necessary.**

### Signatures:

\_\_\_\_\_  
 Consultant or Other Responsible Party      Printed Name      Date

**Are you a current member of RPA?** Check box that applies: ☐ Yes ☐ No ☐ RPA-qualified

DC HPO \_\_\_\_\_ Date \_\_\_\_\_

Ruth Trocolli, Ph.D., District Archaeologist  
 Historic Preservation Office  
 Office of Planning  
 202-442-8836 [ruth.trocolli@dc.gov](mailto:ruth.trocolli@dc.gov)

<http://planning.dc.gov/publication/dc-archaeology-guidelines>



### D.C. HPO Archaeological Compliance Survey Report Checklist

Please use to ensure your report is complete and acceptable for review; submit with draft report.

#### Date    Subject

##### **SHPO/ HPO Coordination**

- \_\_\_\_\_ Has the proposed project and survey work plan/ methodology been discussed with the City Archaeologist? Submission of a work plan for HPO review and approval is **required** before starting any field work.
- \_\_\_\_\_ Has an archaeological resources identification (aka project data request) of sites and surveys in and near the project area been requested from the City Archaeologist prior to preparing a work plan? Please allow sufficient time for DC HPO response.
- \_\_\_\_\_ Does the field survey meet the compliance needs for the proposed project? Are the methods adequate to identify resources given the depositional context and project LOD? Is the testing strategy adequate to reach deeply buried resources?
- \_\_\_\_\_ Have provisions been made for consultation should potentially eligible resources been identified?
- \_\_\_\_\_ Is any type of GIS work needed, such as a cut-and-fill analysis, historic map overlay, or elevation comparison? Has an acceptable base map been selected and the appropriate correction factors used?
- \_\_\_\_\_ Have a Report Number and Accession Number been requested from the DC HPO? This is required before final submission.

##### **Technical Documentation**

- \_\_\_\_\_ Has a site number been assigned and draft site form(s) submitted for review, if appropriate?
- \_\_\_\_\_ Is the lead federal agency or other responsible agency clearly identified, as well as the appropriate legal mandate, e.g., Section 106, NEPA, DC Historic Preservation Act, etc.?
- \_\_\_\_\_ Are NRHP-eligibility criteria discussed and clearly applied to all identified and/or affected sites? Do the recommendations follow from the eligibility discussion?
- \_\_\_\_\_ Are soils, depositional context, presence/absence of fill and/or grading, and topographic changes adequately discussed?
- \_\_\_\_\_ If geoarchaeology has been conducted is report included as an appendix?
- \_\_\_\_\_ Are the GIS data processing methodologies and correction factors documented?
- \_\_\_\_\_ Are the figures clear with legend, north arrow, scale, in focus, and labeled, as appropriate?
- \_\_\_\_\_ Report elements required per the DC Guidelines (1998):
  - Abstract or Management Summary
  - Public Summary
  - APE Map & map showing tested locations, e.g., test units, STPs, trenches, augurs, etc.
  - NADB Form (National Archaeological Database)

Previous Investigations  
 Historic Context & Land Use History  
 Methodology  
 Results & artifact analysis and interpretation  
 Eligibility discussion & Recommendations  
 References Cited  
 Artifact Catalog  
 Site form (if appropriate)  
 Short Qualifications of Preparers (No more than one page per person.)  
 Geoarchaeological Results (if appropriate.)

**Collections/ Artifacts – See DC HPO guidance documents for specific instructions**

- \_\_\_\_\_ Indicate the location/ facility where the project documents including field records, images, research files, databases, GIS spatial data, and artifact collection will be curated in the abstract and body of the report. For District-owned property this will usually be with the DC HPO.
- \_\_\_\_\_ For all projects the DC HPO requires submission of a copy of all data generated, preferably in electronic format. This includes field records, images, research files, databases, GIS spatial data, and artifact collection database.
- \_\_\_\_\_ For collections coming to the DC HPO for curation, close coordination is required to meet guidelines regarding assigning object ID numbers, electronic database requirements, artifact marking/labeling, bagging, artifact bag tags, archival packaging, selective discards, and collection transmittal.

**General QA/QC**

- \_\_\_\_\_ Does the format follow the District's 1998 guidelines for reports, e.g., SAA format, etc.?  
 Free of grammatical and factual errors?  
 Are all the in-text citations included in the References Cited section?  
 Are all cited/illustrated maps included in the References Cited section?  
 Are needed figures and tables included in the body of the text?  
 Are table sums correct, e.g., artifact counts, STP counts, etc.? Do table sums match the in-text sums?  
 Is the report written with a focus on D.C.- area archaeology and history?
- \_\_\_\_\_ Submit draft reports in PDF format electronically to via your **DC HPO Box.com FTP\*** and mail a hard copy. Short management summary documents can also be submitted electronically. Consider using the line number feature for draft reports to facilitate the review process.  
 \* Please contact DC HPO Archaeology if a Box.com FTP has not been created for you. Or, please send documents to DC HPO via your own FTP.
- \_\_\_\_\_ Submit final, revised reports in both electronic and hard copy formats.
- \_\_\_\_\_ Hard copies should also be sent by the agency or CRM consultant to the additional repositories indicated in the Guidelines.

**Other Considerations:**

1. Urban Archaeology requires techniques and discovery methods that may be rarely used in other settings. Please consult the City Archaeologist to identify the potential for deeply buried sites in your project area, the need for geoarchaeological consultation, and whether the use of mechanical testing is appropriate.
2. Monitoring is not a method for site discovery.
3. The District does not have a "Letter Report" format. If you believe a technical memorandum or abbreviated report is adequate to document a project, please discuss with the City Archaeologist prior to submission.
4. The HPO may return reports that are incomplete, poorly written, lack actionable recommendations, and/or those submitted with lack of quality control for completion before they will be reviewed.



## Archaeological Collections Submission Checklist

**Please read below and complete the requested items to ensure the collection is in condition for transfer to the DC HPO. Upon arrival, we will conduct a spot check to ensure requirements have been met, so please plan ahead. Incomplete preparation will delay the transfer. Unscheduled drop-off submissions are unacceptable. Please ask if you have questions.**

### Documentation Checklist:

**NOTE:** If appropriate, associated documents can be separated into one box. This box may contain any **Documentary Research, Paper Field Records, Maps, Drawings, the Final Report, the Artifact Catalog** (hard copy) and all images including **Photographs, Negatives, Slides, Digital Images, Contact Sheets, Prints**, etc. When submitting Electronic Collections Data, please refer to the *Suggested requirements for consultants*, following this checklist.

Completed?	# Copies	Item	Notes
	2	Transfer of Ownership Forms	<b>Hard copies.</b> One copy for DC HPO and one for you, to be <b>JOINTLY SIGNED</b> upon arrival.
	1	Box Inventory Sheet(s)	<b>Hard Copy</b>
	2	Revised Final Report	<b>Hard copies</b>
	(varies)	Box Inventory Sheet(s)	<b>Hard copy.</b> Each box should include a <b>Box Inventory Sheet</b> detailing the box contents (e.g. Project Information, Material Types, Proveniences, Associated Bag Numbers, etc.).
	2	Artifact Catalog (spreadsheet or database)	<b>Electronic copies:</b> <b>Original Catalog</b> (PDF or complete word processing file*).  <b>Past Perfect Conversion Table*</b> *Must be from a program that exports to a Past Perfect compatible file (e.g. Access, Excel, dbase, etc.) and uses compatible fields.  <b>NOTE:</b> May be submitted to DC HPO via your <b>Box.com</b> FTP. Please contact DC HPO Archaeology if a Box.com FTP has not been created for you. Or, please send documents to DC HPO via your own FTP.
	1	Revised Final Report	<b>Electronic copy</b> (PDF or complete word processing file).  <b>NOTE:</b> May be submitted to DC HPO via your <b>Box.com</b> FTP. Please contact DC HPO Archaeology if a Box.com FTP has not been created for you. Or, please send documents to DC HPO via your own FTP.
	1	Field Records: Maps, Drawings, and Images (if possible)	Provide a readable, good-quality <b>scan to PDF</b> . We will be archiving these data as part of the Digital Antiquity Initiative.  <b>NOTE:</b> Folder of images may be submitted to DC HPO via your <b>Box.com</b> FTP. Please contact DC HPO Archaeology if a Box.com FTP has not been created for you. Or, please send documents to DC HPO via your own FTP.
		GIS Spatial Data (if appropriate)	Specify projection and include metadata.

### Collections Checklist:

**NOTE:** Have you requested an **Accession** number from the DC HPO? Have you evaluated the **Artifact Assemblage** and discussed with City Archaeologist for any potential for selective discard of specific artifacts? We suggest doing so before artifact processing is complete.

Completed?	Item	Notes
	Have you requested an <b>Accession</b> number for the collection?	
	<b>ALL</b> packaging <b>Archival</b> ?	(Folders, Boxes, Bags, Tags, etc.)
	<b>ALL</b> (appropriate) artifacts labeled with catalog numbers?	
	<b>ALL</b> artifact bags have acid-free/archival tags inserted?	
	<b>ALL</b> artifact bags labeled?	

## EXAMPLE - Collections and Records Transmittal Form



**Deed of Transfer/Gift:  
[Archaeological Collection]**

This contract transfers possession of the archaeological collection described below from the current location or owner, be it an individual or an institution, to the DC Historic Preservation Office (HPO), an agency of the government of the District of Columbia, without stipulations or conditions placed on the transfer/gift. This is legally binding and is a complete deed of transfer/gift made from [name, title, firm/affiliation] to the HPO on [date]. The recipient guarantees continued care and curation of the said objects. An inventory is attached that summarizes the collection and is the transfer/gift under discussion.

**Project Information:**                      **DC HPO Project** [#]                      **DC HPO Report** [#]                      **DC HPO Accession** [#]

Project Name \_\_\_\_\_

Federal or District Agency \_\_\_\_\_

Type of Project/ Archaeological Survey Phase(s): \_\_\_\_\_

Site Name(s) \_\_\_\_\_ Site Number(s): \_\_\_\_\_

**List of Transferred Items:**

# of Standard Archival Boxes: \_\_\_\_ # of Other Boxes or Containers [describe]: \_\_\_\_\_

Hard copy Report: \_\_\_\_ Electronic copy Report: [format]: \_\_\_\_\_

Hard copy Artifact Catalog: \_\_\_\_ Electronic Artifact Catalog/ Inventory: [format] \_\_\_\_\_

*Is a box inventory sheet included in each box that details contents?* \_\_\_\_

**Check the following that apply:** Artifacts: \_\_\_\_ Photographs \_\_\_\_ Digital Image files [format] \_\_\_\_

Slides \_\_\_\_ Field Notes \_\_\_\_ Field Drawings & Maps \_\_\_\_ Site Forms \_\_\_\_

GIS/ Spatial data files: [format] \_\_\_\_ Geoarchaeological data: [format] \_\_\_\_

Other: [describe] \_\_\_\_\_

*Please attach summary box inventory to this form.* \_\_\_\_\_

**Signatures:**

Agent/

Donor \_\_\_\_\_ Printed Name \_\_\_\_\_ Date \_\_\_\_\_

[Specify]

Other \_\_\_\_\_ Printed Name \_\_\_\_\_ Date \_\_\_\_\_

Recipient \_\_\_\_\_ Printed Name \_\_\_\_\_ Date \_\_\_\_\_

Ruth Trocolli, Ph.D., City Archaeologist      202-442-8836 ruth.trocolli@dc.gov



**OFFICE OF THE CHIEF MEDICAL EXAMINER**  
**Government of the District of Columbia**  
**401 E Street, SW**  
**Washington, D.C. 20024**

**Recovery of Human Bone  
at an Excavation Site**

The following steps should be taken when bone that cannot be immediately recognized as non-human (animal) is discovered.

- I. Immediately stop digging at the discovery site.
- II. Contact Metro Police Department (MPD) Command Information Center at 202-727-9009.
- III. Document the preliminary recovery information.
  - a. Who or what company discovered the bone.
  - b. The contact information of the individual who discovered the bone or the appropriate supervisor.
  - c. The date and time the bone was discovered.
  - d. How the bone was discovered.
  - e. The location site of the bone including the approximate depth.
  - f. Any additional items found in the immediate vicinity
- IV. MPD will respond to the scene and notify the Office of Chief Medical Examiner (OCME)
- V. OCME staff will respond to the scene, and will:
  - a. photograph the discovery site;
  - b. recover the bone if it appears to be out of context;
  - c. not recover the bone if it appears to be within the context of a historical grave.
- VI. When the bone appears to be within the context of a historical grave, the remains will be left *in situ* and City Archaeologist (202-442-8836) will be notified.



**OFFICE OF THE CHIEF MEDICAL EXAMINER**  
**Government of the District of Columbia**  
**401 E Street, SW**  
**Washington, D.C. 20024**

**Recovery of Human Bone  
at an Excavation Site**

This form can be used to assist in the collection of information surrounding the discovery of a potentially human bone.

Discovery was made by \_\_\_\_\_

Phone Number \_\_\_\_\_

Discovery Date and Time \_\_\_\_\_

Discovery Location \_\_\_\_\_ Depth \_\_\_\_\_

Description of how the bone was discovered \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Descriptions of items found with or near the bone \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**CALL MPD Command Information Center, 202-727-9009, to  
report the bone discovery.**