Department of Environment & Conservation

TENNESSEE SHPO STANDARDS AND GUIDELINES

FOR ARCHAEOLOGICAL RESOURCE MANAGEMENT STUDIES

OCTOBER, 2018

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OVERVIEW

Section 106 of the National Historic Preservation Act of 1966 (NHPA) (Section 106) requires federal agencies to take into account the effects of their undertakings on historic properties. The historic preservation review process mandated by Section 106 is outlined in regulations issued by ACHP. Revised regulations, "Protection of Historic Properties" (36 CFR Part 800), became effective August 5, 2004, and are summarized below (Advisory Council on Historic Preservation www.achp.gov).

The federal agency must consult with the appropriate State Historic Preservation Officer (SHPO) on all undertakings that have the potential to affect historic properties. Historic properties include both architectural and archaeological resources that meet at least one criterion of eligibility for inclusion in the National Register of Historic Places (NRHP). It is the SHPO's role to advise and assist federal agencies in meeting their Section 106 responsibilities.

Tennessee's broad range of environmental and geographic conditions and varied cultural history make it nearly impossible to specify a comprehensive set of standard requirements for archaeological investigations. The following are general guidelines for archaeological studies. For project-specific guidance, consulting archaeologists (consultants) should contact the lead federal agency's archaeological staff and/or the Tennessee SHPO (TNSHPO) Federal Programs Archaeologist.

The project area for Section 106 investigations is known as the Area of Potential Effects (APE). The APE is determined through consultation between the federal agency and the SHPO. 36 CFR 800.16(d) defines the APE as, "…the geographic area or areas within which an undertaking may directly or indirectly cause alterations in the character or use of historic properties, if any such properties exist. The area of potential effects is influenced by the scale and nature of an undertaking and may be different for different kinds of effects caused by the undertaking."

LEVELS OF ARCHAEOLOGICAL INVESTIGATION

In order to take into consideration whether an undertaking may affect NRHP eligible archaeological resources, the federal agency must:

1. Identify any archaeological resources that may be present within the APE;
2. Evaluate the NRHP eligibility of archaeological resources within the APE; and
3. Avoid, Minimize, or Mitigate an undertaking's effect on eligible archaeological resources

These three steps generally correspond to Survey, Testing, and Data Recovery levels of archaeological investigation. The terms Phase I, Phase II, and Phase III are also often used by consultants and agencies to refer to the three general levels of investigation. Survey (Identification) and Testing (Evaluation) levels of investigation may be combined during fieldwork if the federal agency and/or the TNSHPO Federal Programs Archaeologist agree that such an approach is appropriate.

SURVEY - Identification of both historic and prehistoric archaeological sites within the APE.

In general, archaeological surveys are designed to identify sites, not to evaluate their NRHP eligibility. The specific survey methodology is determined by the individual project location. Survey methods may include a "walk-over" and visual inspection of a plowed field or exposed bank profile, shovel testing, remote sensing, and/or deep testing. Areas with the potential for deep colluvial or alluvial deposits may require mechanical trenching with the aid of a backhoe or similar equipment. It is not uncommon for a survey to include a combination of methodologies.

The position of the TNSHPO is that qualified professional archaeologists should have the experience and expertise necessary to determine the appropriate survey methodology. We will provide guidance on specific projects and project areas upon request. At a minimum, a survey should identify the sites within an undertaking's APE and define their approximate boundaries. In some cases, a site's NRHP eligibility can also be evaluated at the survey level of investigation. For example, if the survey results demonstrate that the site is highly disturbed and lacks integrity the archaeologist may recommend no additional evaluation.

TESTING / EVALUATION – Archaeological evaluation projects involve the additional investigation of identified archaeological sites in order to gather enough data to evaluate the site's NRHP eligibility. This level of investigation may include controlled surface collections, intensive shovel testing, test excavation units, strip blocks, and other appropriate methods for the determination of the extent, nature, and integrity of archaeological resources within a site. Due to the highly variable nature of each site, this office will not issue a standard set of specifications, number of test units, or other requirements.

The results of a Testing / Evaluation investigation should include, at a minimum, a NRHP eligibility recommendation for each site evaluated, and a clear delineation of site boundaries within the undertaking's APE. Eligibility of the site as a whole must be evaluated. Individual features within a site are not evaluated independently. In addition, it should be noted that consultant eligibility recommendations are not formal determinations of eligibility, but are taken into consideration by the federal agency, TNSHPO, and other consulting parties during the Section 106 review and compliance process. Testing / Evaluation reports should not include proposed data recovery plans and/or research designs.

DATA RECOVERY – Data recovery excavations are intended to remove, record, and interpret the archaeological information within a site prior to the site being adversely affected (damaged or destroyed) by an undertaking. All avenues of avoidance and minimization must be exhausted prior to consideration of data recovery excavation as a means to resolve adverse effects to NRHP eligible sites. Data recovery is a treatment option that can only be chosen through consultation between the TNSHPO, federal agency, and other consulting parties. Every site is unique; therefore, the specific requirements for data recovery will be determined through the Section 106 consultation process. The significance and integrity of the archaeological site as a whole must be considered when drafting a data recovery proposal; even if portions of the site will not be destroyed by the proposed project.

CONSULTANT QUALIFICATIONS

The minimum qualifications for consultants completing Section 106 and Section 110 compliance archaeological investigations in Tennessee exceed The Secretary of Interior's Qualification Standards (48 FR 44738-44739). These qualifications also meet the requirements specified by the Tennessee Division of Archaeology (TDOA) archaeological permit application for investigations conducted on State property.

SURVEY (Phase I)

PRINCIPAL INVESTIGATOR (Archaeologist in General Charge)

- Graduate degree in archaeology, anthropology, or closely related field
- 24 weeks of field experience under the supervision of a qualified archaeologist, of which no more than 12 weeks was survey
- 20 additional weeks of field archaeological experience in a supervisory capacity (i.e. field director, crew chief, or similar position)
- 8 weeks of laboratory experience under the direct supervision of a qualified archaeologist
- Documentation of the successful completion of archaeological research in Tennessee or the Southeastern United States

FIELD DIRECTOR (Archaeologist in Direct Charge)

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

TESTING / EVALUATION AND DATA RECOVERY (Phase II and III) -- HISTORIC SITES

PRINCIPAL INVESTIGATOR (Archaeologist in General Charge)

- Graduate degree in archaeology, anthropology or closely related field
- 24 weeks of field experience under the supervision of a qualified historical archaeologist on sites and artifacts of an historical period
- 20 additional weeks of field archaeological experience in a supervisory capacity on sites and artifacts of an historical period (i.e. field director, crew chief, or similar position)
- 8 weeks of laboratory experience under the direct supervision of a qualified historical archaeologist on sites and artifacts of an historical period
- Documentation of the successful completion of archaeological research on historic period sites in the Eastern United States

FIELD DIRECTOR (Archaeologist in Direct Charge)

- Graduate degree in archaeology, anthropology or closely related field
- 52 weeks of field experience under the supervision of a qualified historical archaeologist

TESTING / EVALUATION AND DATA RECOVERY (Phase II and III) -- PREHISTORIC SITES

PRINCIPAL INVESTIGATOR (Archaeologist in General Charge)

- Graduate degree in archaeology, anthropology or closely related field
- 24 weeks of field experience under the supervision of a qualified prehistoric archaeologist on sites and artifacts of a prehistoric nature
- 20 additional weeks of field archaeological experience in a supervisory capacity on sites and artifacts of a prehistoric nature (i.e. field director, crew chief, or similar position)
- 8 weeks of laboratory experience under the direct supervision of a qualified prehistoric archaeologist on sites and artifacts of a prehistoric nature
- Documentation of the successful completion of archaeological research in Tennessee or the Southeastern United States

FIELD DIRECTOR (Archaeologist in Direct Charge)

4. Graduate degree in archaeology, anthropology or closely related field
5. 52 weeks of field experience under the supervision of a qualified prehistoric archaeologist

REPORTING STANDARDS AND GUIDELINES

These reporting standards and guidelines are the minimum requirements to ensure research comparability and to comply with the Secretary of the Interior's Standards and Guidelines Secretary of the Interior's Standards for Archeological Documentation (48 FR 44716). The archaeologist may include any additional data in the report that they deem important for understanding and interpreting the archaeological resources in the project area.

The list below includes the required sections for each archaeological report of investigation and what it should include.

1. ***Title Page***
   a. Title of the report, including the name of the project.
   b. Location of the project, including County and City (if applicable).
   c. Names of the report author(s), field director(s), and principal investigator(s) and their institutional/company affiliation, address, and phone number. Specify the role of each individual.
   d. Project point of contact including institutional affiliation, address, and phone number of the client for whom the report was prepared.
   e. Lead federal agency requiring compliance.
   f. TDOA and/or federal archaeological permit numbers (if applicable).
   g. Month and year of report. List whether it is a Draft, Revised, or Final report. Update the date for each new draft.

2. ***Management Summary***
   a. The level of the investigation (identification, evaluation, or data recovery).
   b. General project location, including County Name and Name and Number of the corresponding USGS Topographic 7.5-minute, 1:24000-scale quadrangle map.
   c. If this is a survey, the area (in square miles) investigated during the survey.
   d. Summary of results (e.g., negative finding, or sites identified, examined, or excavated during the course of the project).
   e. A brief summary for each site investigated. Include the official Tennessee state site number and the results and recommendations for that site.
   f. Dates that the archaeological investigations were undertaken.

3. ***Table of Contents***

4. ***List of Figures***
   a. A comprehensive list of all photographs, drawings, maps, and other figures from the text, listed numerically.
   b. The page number for the location in the text of each enumerated figure.

5. ***List of Tables***
   a. A comprehensive list of all tables from the text, listed numerically.
   b. The page number for the location in the text of each enumerated table.

6. ***Introduction***
   a. Client and, if different, federal agency requiring compliance.
   b. Brief description of project for which compliance is being undertaken.

c. Geographic limits of area investigated.
d. Scope of work, including level of investigation and general methodologies.
e. Dates of investigation and names and positions of project personnel.
f. USGS Topographic 7.5-minute, 1:24000-scale quadrangle series map showing the geographic limits of the area investigated, and locations of sites mentioned in the text (if any). The map must be labeled with the USGS quad map name and number.

7. *Environment*

a. Describe the present environment of the area and how the prehistoric/historic environment may have differed.
b. Discuss how the environment may have influenced human occupation of the area.

8. *Literature Review, Cultural History, and Historical Background*

a. Summarize and discuss the prehistoric and historic cultural history of both the general and specific project area referencing recent professional and academic archaeological reports and literature.
b. A brief discussion of previously identified sites and archaeological investigations in the geographic area and/or located on similar landforms. Using that information, discuss the types of sites expected in the area of investigation.
c. A map of previously identified sites in the general project area. Site locations may be represented as points in order to protect sensitive information. The location of sites known to contain human remains may be left off of maps at the discretion of the investigator, but the sites should still be discussed in the report text.
d. Background research must be completed prior to beginning fieldwork. List the specific date of any background research conducted at the TDOA.
e. There is no standard area radius for archaeological background research. Consultants are highly encouraged not to limit their research to a predetermined perimeter of their project location.

9. *Field Methods*

a. Detailed description of the field techniques used. Include pedestrian transect spacing, excavation unit types and sizes, remote sensing equipment and techniques, and collection and sampling techniques.
b. The methods and means by which the data was recorded.
c. Note all constraints on the investigation (e.g. limitation of access, poor visibility, adverse weather conditions, etc.).
d. Explain any deviations from the standard project field methodologies. (e.g. no-dig locations, exposed bedrock or paving, inundation, extreme slope, etc.)
e. Maps showing the location of survey transects and subsurface tests.

10. *Laboratory and Analytical Methods*

a. Classificatory/typological schemes used for artifact and/or soil analysis.
b. Means of determining chronological affiliation.
c. Location where artifacts and records are to be curated. If materials are to be curated by the Tennessee Division of Archaeology, this section must include the assigned TDOA accession number(s).

11. *Results of Investigations*

a. Clear photographs of the project area at the time of investigation. Google Maps or similar online aerials and views are not sufficient. Include the direction that the photo was taken from and a descriptive caption.

b. If no archaeological resources were identified during an identification level survey, discuss the possible reasons for the negative results, (e.g. disturbance, poor visibility, possibility for buried sites, low probability location, etc.).
c. Archaeological Site Records should be filled out and submitted to the TDOA for each newly identified potential site and for each revisited previously recorded site. If a resource was identified, but not assigned a site number, do not refer to it as a "site", but as an isolated find or other equivalent term. Refer to all sites discussed in the report by the official state site number assigned by the TDOA. Reports that only include field numbers/names will not be accepted.
d. Inclusion of TDOA Site Records in a report is not required. If the author chooses to include them as an appendix, the included records must be the finalized version received from the TDOA.
e. New Sites Identified and Recorded documentation.
    1. Description of each site in a short narrative.
    2. Map of the recorded site boundary depicted on a USGS topo map with an explanation as to the reasoning for that boundary.
    3. Map of the location of all test units within the site.
f. Previously Recorded Sites revisited or evaluated documentation.
    1. Map of the current or revised recorded site boundary depicted on a USGS topo map with an explanation as to the reasoning for that boundary.
    2. Reports must not include revised site boundaries that have not been finalized by the TDOA.
    3. Map of all the excavation units and/or shovel tests within the site.
    4. Discuss any previously recorded sites that were not relocated during the current investigation and provide a possible explanation.
g. Artifact Documentation
    1. Enumerate and describe recovered artifacts in tables that summarize data by parameters such as artifact type and provenience.
    2. Photographs of a representative sample of diagnostic artifacts used to determine cultural affiliation and/or site type. Photographs must include a descriptive caption and scale.
    3. Artifact inventories should not simply be lengthy lists for each individual test, excavation, or collection unit. Detailed unit catalogs may be included as report appendices.
h. Subsurface investigation (e.g. shovel test, auger test, excavation units, trenches) documentation.
    1. Scaled profile drawings illustrating the site stratigraphy.
    2. Drawings and photographs of representative features identified in excavation units that include scales and descriptive captions.

12. *Recommendations and Evaluations*

a. The consultant should provide their recommendation as to whether additional archaeological investigation of the project area is warranted, and if so, why.
b. Provide a NRHP eligibility recommendation for each site recorded or revisited and explain the basis for the recommendation.
    1. Ineligible – There is enough data to determine that the site is not eligible.

2. Potentially Eligible – There is not enough data to make an eligibility recommendation and further evaluation is necessary.
3. Eligible – The site contains resources eligible for the NRHP. List each criterion for which the site is recommended as eligible and if the site has been previously listed on the NRHP.
4. Note any sites with boundaries projected to extend beyond the area investigated. Such sites can only be considered as an incomplete record and may warrant additional evaluation.

a. Describe how the proposed project may affect archaeological resources and provide suggestions as to how those effects might be avoided or minimized.

PROCEDURAL REQUIREMENTS

Consultation of the Archaeological Site File - The Tennessee Division of Archaeology in Nashville is the official repository for information regarding previously recorded archaeological sites in Tennessee. Individual site records and copies of previous archaeological reports of investigation are on file at the TDOA and are available to archaeologists for research. The TDOA does not have a remote access (online) system for site file research. Consultants should include travel to the TDOA office in Nashville in their budget proposals. Due to staffing and office limitations, consultants are **REQUIRED** to set up an appointment with the Site File Curators prior to site file consultation.

Tennessee Archaeological Site Survey Records – Consultants **MUST** file a complete Archaeological Site Survey Record with the TDOA for each new site identified and for each previously recorded site revisited during an archaeological investigation. Forms can be obtained from the Site File Curators, and shall be submitted for review and assignment of state site numbers prior to submittal of draft reports to the TNSHPO.

Reports that only include site field numbers or names will not be accepted

Application for State Archaeological Permit - All archaeological work on state-owned or controlled lands, or lands proposed for state acquisition, must be conducted under a State Archaeological Permit. Approval requires submittal of a State Archaeological Permit Application, and issuance of the permit by the State Archaeologist. The permit application is available at the TDOA website. Questions may be addressed to the State Programs Archaeologist.

Reporting

- **Draft Report Submittal** - All reports must be submitted in draft format for review and comment by the TNSHPO. Reports will not be accepted by email transmission. Whenever possible, reports should be submitted through the lead federal agency for the project. Two (2) hard copies and two (2) PDF formatted copies on CD of each draft report must be submitted to the TNSHPO. If available, shapefiles of surveyed areas should be included on the CDs as well.

- **Final Report Submittal** - A minimum of two (2) hard copies and two (2) PDF formatted copies on CD of each final report must be submitted to the SHPO. For federal compliance projects on state property, these report copies also satisfy the corresponding requirement in the conditions for a State Archaeological Permit.

- **Draft and Final reports should be submitted to:**
  E. Patrick McIntyre, Jr.
  SHPO Tennessee Historical Commission
  2941 Lebanon Road
  Nashville, TN 37214.

SHPO CONTACTS FOR ARCHAEOLOGICAL MATTERS

In the State of Tennessee, review and compliance responsibilities concerning archaeological matters are carried out by the Tennessee State Historic Preservation Office. The TNSHPO maintains a contract for professional services with the TDOA for the Federal Programs Archaeologist position. General Section 106 compliance inquiries, specific project review questions, and technical assistance on Requests for Proposals or Scopes of Work, should be directed to the attention of the Federal Programs Archaeologist.

Jennifer Barnett - (615) 687-4780, Jennifer.Barnett@tn.gov

Requests for site recording assistance and appointments for review of the Tennessee Division of Archaeology Site File should be directed to the attention of the TDOA Site File Curators at TDOA.SiteFile@tn.gov.

Requests for State Archaeological Permits, curation of artifacts from State-owned property, and archaeological review of State projects should be submitted to the attention of the State Programs Archaeologist Daniel Brock - (615) 687-4778, Daniel.Brock@tn.gov

BASIC LEGISLATION AND CODIFIED RULES AND REGULATIONS

- National Historic Preservation Act, Public Law 89-665, as amended by Public Law No. 96-515 (54 U.S.C. 300101 et seq.): https://www.achp.gov/sites/default/files/2018-06/nhpa.pdf

- Advisory Council Procedures for the Protection of Historic and Cultural Properties. 36 CFR 800 (65 FR 77725, Dec. 12, 2000, as amended at 69 FR 40555, July 6, 2004): https://www.achp.gov/sites/default/files/regulations/2017-02/regs-rev04.pdf

- National Environmental Policy Act of 1969, as amended Public Law 91-190 (42 U.S.C. 4321 et seq.): http://uscode.house.gov/view.xhtml?path=/prelim@title42/chapter55&edition=prelim

- NEPA Regulation 40 CFR 1500-1508 (43 FR 55978-56007; November 29, 1978): https://www.energy.gov/sites/prod/files/NEPA-40CFR1500_1508.pdf

- Native American Graves Protection and Repatriation Act, Public Law 101-601 (104 Stat. 3048; 25 U.S.C. 3001-13; November 16, 1990): https://uscode.house.gov/view.xhtml?req=granuleid%3AUSC-prelim-title25-chapter32&saved=%7CKHRpdGxlOjI1IHNlY3Rpb246MzAwMSBlZGl0aW9uOnByZWxpbSkgT1lgKGdyYW51bGVpZDpVU0MtcHJlbGltLXRpdGxlMjUtc2VjdGlvbjMwMDEp%7CdHJlZXNvcnQ%3D%7C%7C0%7Cfalse%7Cprelim&edition=prelim

- National Register of Historic Places. 36 CFR 60 (46 FR 56187, Nov. 16, 1981): https://www.nps.gov/subjects/nationalregister/index.htm
- Determinations of Eligibility for Inclusion in the National Register of Historic Places. 36 CFR 63 (46 FR 34329, March 9, 1999): https://www.ecfr.gov/cgi-bin/text-idx?SID=56910fe9a7a080fa2ba5ae72fc409b58&node=36:1.0.1.1.29&rgn=div5
- Archaeological Resources Protection Act of 1979, Public Law 96-95 (16 U.S.C. 470aaa-mmm): http://uscode.house.gov/view.xhtml?path=/prelim@title16/chapter1B&edition=prelim

ADDITIONAL GUIDANCE DOCUMENTS

- How to Apply the National Register Criteria for Evaluation (National Park Service, National Register Bulletin No. 15, 2002 as Revised): https://www.nps.gov/subjects/nationalregister/upload/NRB-15_web508.pdf
- The Secretary of the Interior's Professional Qualifications Standards (48 FR 44738- 44739): https://www.nps.gov/articles/sec-standards-prof-quals.htm
- The Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation (48 FR 44716): https://www.nps.gov/articles/series.htm?id=62144687-B082-538A-A0174FFF26496394
- Archaeology Laws, a Guide for Professionals (National Park Service): https://www.nps.gov/Archeology/tools/laws/index.htm

TNSHPO ARCHAEOLOGICAL REPORT QUICK REFERENCE GUIDE

Full Guidelines are detailed above

INTRODUCTION

☐ Client / Agency
☐ Project description
☐ Geographic area investigated and map
☐ Scope of work
☐ Dates of investigation and staff names

ENVIRONMENT

☐ Present, Historic & Prehistoric

BACKGROUND RESEARCH

☐ Prehistoric and Historic cultural history
☐ Previously identified sites and investigations
☐ Map of previously identified sites
☐ Date(s) of research at TDOA

FIELD METHODS

☐ Field and recordation techniques Investigation limitations
☐ Map of transects and/or subsurface tests

ANALYTICAL METHODS

☐ Artifact and Soil Classification/Typology
☐ Chronological determinations
☐ Final curation location and accession numbers

RESULTS

☐ Photographs of the project area If negative results, why?
☐ Site descriptions with TDOA site numbers
☐ Map of each site boundary
☐ Artifact tables and photographs
☐ Soil profiles (drawings and/or photos)
☐ Drawings and photos of excavations / features

RECOMMENDATIONS & EVALUATIONS

☐ Additional investigation recommended?
☐ NRHP Eligibility and explanation
☐ Potential project effects to resources