



SHPO Guidance for Use and Submittal of the Survey Report Summary Form (SRSF)



SHPO Guidance Point No. 10

Revised
January 2016

INTRODUCTION

The Arizona State Historic Preservation Office (SHPO) annually reviews thousands of documents for compliance under A.R.S. §41-861 et seq., the State Historic Preservation Act (SHPA), and 36 CFR Part 800 (the regulations implementing Section 106 of the National Historic Preservation Act [NHPA]). In order to facilitate SHPA and NHPA compliance documentation and review processes, the SHPO has created a Survey Report Summary Form (SRSF) that can be used to report Class I inventory surveys, or Class II and Class III surveys resulting in negative findings. Refer to *Standards for Inventory Documents Submitted for SHPO Review in Compliance with Historic Preservation Laws (Revised, January 2016)*, also known as the *SHPO Survey Report Standards*, for additional guidance and points of clarification, definitions, and terminology.

Arizona State Museum (ASM) will accept SRSFs in lieu of negative survey technical reports for work conducted under Arizona Antiquities Act Blanket Permits.

See Appendix A, this document, for instructions for completing the SRSF.

CONDITIONS FOR USE OF THE SRSF

1. A list of agencies that have approved use of the SRSF for negative surveys is in Appendix B, this document. It is the consultant's responsibility to obtain approval, in writing, from any agency not listed, and provide the approval to SHPO.
2. The SRSF must be completed in its entirety to demonstrate that SHPO, ASM, or other agency reporting standards are met. The required attachments must be included for the submittal to be considered complete.
3. The SRSF may be used for non-collection surveys of less than 640 acres or less than 10 linear miles resulting in negative findings, and for which a recommendation of "No Historic Properties Affected" is appropriate.
 - a. A survey results in a "negative finding" if no sites, structures, buildings, objects, or districts are present in the area of potential effects.

- b. A negative survey may include isolated occurrences (IOs) of artifacts or features, provided the IOs are sufficiently documented to demonstrate lack of significance and research potential.
 - c. For additional policy information regarding eligibility evaluations of IOs, refer to Appendix B in the *SHPO Survey Report Standards* cited above.
 - d. Any Register-eligible IO requires preparation of a technical inventory report. If in doubt about the recommended eligibility status of an IO, contact SHPO or the appropriate land managing or reviewing agency.
 - e. Regardless of findings, a technical report, including a research design, must be submitted for surveys involving more than 640 acres or 10 linear miles.
4. The SRSF may be used to report the results of Class I inventories not requiring detailed cultural histories.

SUMMARY

Pursuant to 36 CFR § 800.11(a), the SHPO is resolved to improve the quality of those reports that are below or barely meeting expectations for professional adequacy. Thus, we strongly encourage use of the SRSF and *SHPO Survey Report Standards*, which have been recently updated (2015) with information pertaining to background research, ARHP/NRHP eligibility requirements, and important definitions of key terms. We believe that use of these resources should reduce SHPO requests for additional information (often resulting in the need for report revisions), and thus potentially reduce the time needed for consultation (the mandated 30-day SHPO review period starts over with each new submittal). As such, these tools are intended to help balance the business of archaeology with the requirements for historic preservation compliance.

Prepared by SHPO archaeological compliance staff/mew
Approved by James W. Garrison, State Historic Preservation Office

**APPENDIX A
INSTRUCTIONS FOR COMPLETING THE
SHPO SURVEY REPORT FORM (SRSF)**

The SRSF is a stand-alone document to be submitted for Class I surveys, or Class II or Class III surveys resulting in negative findings. Refer to SHPO Guidance Point No. 10 (Revised 2016) for the definition of a negative survey and other applicable conditions.

Regardless of findings, a technical report, including a research design, must be submitted for all surveys that are more than 640 acres or 10 linear miles.

When filling out the SRSF, expand fields as necessary.

1. REPORT TITLE

1a. Report Title: Include full title.

1b. Report Author(s): First and last names.

1c. Date: Report date. Identify as "Revised", with date, if appropriate.

1d. Report Number: Internal report number.

2. PROJECT REGISTRATION/PERMITS

2a. ASM Accession Number: Obtained from the Arizona State Museum (ASM).

2b. AAA Permit Number: Obtained from the ASM.

2c. ASLD Lease Application Number(s): Obtained from the Arizona State Land Department.

2d. Other Permit Number(s): List all agency permit numbers.

3. ORGANIZATION/CONSULTING FIRM

3a. Name: Name of organization or consulting firm conducting the survey.

3b. Internal Project Number: Organization/consulting firm project-specific project number(s).

3c. Internal Project Name: Organization/consulting firm project name.

3d. Contact Name: Name of the party responsible for ensuring the completeness and accuracy of the report, generally Principal Investigator or Cultural Resources Director/Manager.

3e. Contact Address: Local office/street address associated with submittal.

3f. Contact Phone: refers to 3d.

3g. Contact Email: refers to 3d.

4. SPONSOR/LEAD AGENCY

4a. Sponsor: The project proponent.

4b. Lead Agency: Agency responsible for consultation under the State or National Historic Preservation Acts (SHPA, NHPA).

4c. Agency Project Number(s): Provided by sponsor or lead agency. For ADOT, include both the federal project number and the TRACS number.

4d. Agency Project Name: As provided by sponsor or lead agency.

4e. Funding Source(s): Federal, state or private. Include all funding sources (e.g., FWS-WSFR, ASP-RTP, AGFD-Heritage Grant) if known.

4f. Other Agencies Involved: List all other agencies/reviewing entities involved in the project. Include ASM if appropriate. Do not include SHPO.

APPENDIX A
INSTRUCTIONS FOR COMPLETING THE
SHPO SURVEY REPORT FORM (SRSF)

4g. Applicable Regulations: List all regulations that pertain to the current project (e.g., SHPA, NHPA, Arizona Antiquities Act (AAA), Section 404 of the Clean Water Act, etc)

5. DESCRIPTION OF PROJECT OR UNDERTAKING

Briefly describe the purpose of the project or undertaking (e.g., road widening, housing development, land transfer). Describe the nature and extent/limits of ground disturbing activities, including the depth of the disturbance, as well as the types of equipment that may be utilized. Include ancillary facilities such as utility easements, access roads, staging areas, etc.

6. PROJECT AREA/AREA OF POTENTIAL EFFECTS (APE)

What is the extent of the project area (for state projects) or APE (for federal undertakings)? Provide description and dimensions. Include a project location map with all elements of the project depicted (i.e., right-of-way limits, area surveyed if different from the APE, etc.). Attach location maps.

7. PROJECT LOCATION

7a. Address: Provide street address if cell tower survey or building inventory.

7b. Route: For ADOT projects.

7c. Milepost Limits: For ADOT projects.

7d. Nearest City/Town: Indicate the distance and direction to nearest city or town.

7e. County: Identify.

7f. Project Locator UTM: Provide the UTM coordinates (E, N) for project as a whole. This does not need to be identified on the map. This information is critical for SHPO and ASM to cross-reference projects.

7g. NAD: NAD 83 (convert all others to NAD 83)

7h. Zone: 11 or 12

7i. Baseline & Meridian: Gila & Salt River Baseline and Meridian (G&SRB&M), San Bernadino B&M, or Navajo B&M.

7j. USGS Quadrangle(s): Include all represented.

7k. Legal Description. Township, Range, and Quarter Section: Include all.

8. SURVEY AREA

Include information for areas surveyed and not surveyed separately. For Class I surveys, indicate acres by land jurisdiction only.

8a. Total Acres: Identify the number of total acres, surveyed and unsurveyed combined, regardless of land jurisdiction.

8b.1. Land Jurisdiction: Identify the underlying land owner/land manager. Also, indicate whether right-of-way (owned) or easement.

8b.2. Total Acres Surveyed: By land jurisdiction.

8c.3. Total Acres Not Surveyed: Total by land jurisdiction. Not used for Class I survey.

8c.4. Justification for Areas Not Surveyed: Briefly explain why the area was not surveyed (e.g., steep slope, dense vegetation, etc.); include Township (T), Range (R), and Section (S) only for areas excluded from survey. Not used for Class I survey.

**APPENDIX A
INSTRUCTIONS FOR COMPLETING THE
SHPO SURVEY REPORT FORM (SRSF)**

9. ENVIRONMENTAL CONTEXTS

9a. Landform: Identify the landform the survey area encompasses (e.g., hill top or slope, floodplain, alluvial fan; ridge, etc.).

9b. Elevation: Elevation, or elevation range, in the survey area.

9c. Surrounding Topographic Features: Identify the surrounding mountains and other natural features.

9d. Nearest Drainage: Direction to and name of nearest drainage.

9e. Local Geology: Either describe the formation or list the parent rock types that would be considered local to the survey area. Include the appropriate citation in the References section.

9f. Vegetation: Identify the biotic community and describe observed vegetation. Include the appropriate citation in the References section.

9g. Soils/Deposition: Describe the soils in the project area using NRCS soil descriptions (see <http://www.nrcs.usda.gov/wps/portal/nrcs/surveylist/soils/survey/state/?stateId=AZ>) or common descriptive terms. Note if desert pavement is characteristic. Estimate if erosion or aggradation is significant factor, particularly around sites.

9h. Buried Deposits: Identify the potential for buried deposits as “Likely Possible” or “Not Likely”.

9i. Justification: Briefly describe why there may or may not be buried deposits (e.g., cultural fill evident from animal burrows, etc.).

10. BUILT ENVIRONMENT

Identify all structures, features, or objects (buildings, fences, power lines, utility poles, etc.) within and immediately adjacent to the project area or APE. State whether they are modern or historic and describe any potential impacts, as applicable.

11. INVENTORY CLASS COMPLETED

11a. Class I Inventory: Check the box only if a pedestrian survey was not performed.

11b. Researcher(s): Identify the researcher(s) if Box 11a is checked.

11c. Class II Survey: Check the box if a Class II (sample) survey was conducted.

11d. Sampling Strategy: If 11c is checked, describe the sampling strategy, which should have been agreed upon in consultation with sponsor/lead agency and SHPO. If there is not a previous agreement, explain why.

11e. Class III Inventory: Check the box if background research (Class I Inventory) and a systematic/intensive pedestrian survey was completed. Survey must meet AAA or land-managing agency standards, as appropriate.

12. BACKGROUND RESEARCH SOURCES

Check all sources utilized.

12a. AZSITE: Check the box if the consultant reviewed records on AZSITE (see <http://azsite3.asurite.ad.asu.edu/azsite/>). Note that the ASM records office may have additional information.

12b. ASM Archaeological Records Office: Check this box if the consultant conducted a records check at ASM, or if ASM conducted a records check for the consultant. ASM may have records not yet available in AZSITE.

APPENDIX A INSTRUCTIONS FOR COMPLETING THE SHPO SURVEY REPORT FORM (SRSF)

- 12c. SHPO Inventories/SHPO Library:** Check the box if the consultant conducted research at the SHPO.
- 12d. NRHP Database:** Required. We recommend using both the database and downloading spatial data for Google Earth. See: <http://focus.nps.gov/nrhp/Download/>.
- 12e. ADOT Portal:** Required by ADOT for all ADOT projects.
- 12f. GLO Maps:** Required. See <http://www.gloreports.blm.gov/search/default.aspx>.
- 12g. Land Managing Agency Files (e.g., USFS, BLM):** Records review required for any part of the study area involving federal (e.g., USFS, BLM) or other agency (e.g., SRP, APS) land.
- 12h. Tribal Cultural Resources Files:** Records review required for any part of the study area involving Tribal land. Permission must be obtained from respective Tribes, not ASM or SHPO.
- 12i. Local Government Websites:** Review recommended to identify historic properties and areas of archaeological/historical sensitivity. Note that Certified Local Governments (CLGs) generally have specific ordinances for identifying cultural resources. See <http://azstateparks.com/SHPO/local.html> for a list of CLGs.
- 12j. Other:** List all other sources utilized (e.g., Sanborn Fire Insurance Maps, historic topographic maps, historic road maps, etc.).

13. BACKGROUND RESEARCH RESULTS

As appropriate, complete all Tables in their entirety.

13a. Previous Projects within Study Area. A 1-mile radius surround the project location is the standard search parameter. For linear projects, reduce the search radius to a ½-mile radius. Other reasons for reducing the search radius must be justified.

13a.1. Project Reference Number: ASM or Agency reference number, e.g., 1997-3.ASM

13a.2. Project Name: As indicated in AZSITE or on ASM Project Registration Forms, or other agency forms.

13.a.3. Author(s): Last name(s) of report author(s); note if editor(s).

13.a.4. Year: Year report written.

13b. Previously Recorded Cultural Resources within Study Area: Identify all archaeological sites (including linear structures) within the study area. See 13.b.1 through 13.b.5.

13.b.1. Site Number/Name: Formal site designation.

13.b.2. Cultural/Temporal Affiliation: Be as specific as possible, e.g., Hohokam, Sedentary period; Euro-American, 1917-1968.

13.b.3. Site Type: Following ASM or land-managing agency guidelines.

13.b.4. Eligibility Status: Criterion (criteria) of significance and whether “Recommended” or previously “Determined” eligible/not eligible, or Unevaluated.

13.b.5. Reference(s): Author(s) last name(s) and year.

13.c. Historic Buildings/Districts/Neighborhoods. Identify all within the study area. See 13.c.1 through 13.c.4.

13.c.1. Property Name or Address: Official record of entry preferred.

13.c.3. Year: Construction date of the property.

13.c.4. Eligibility Status: Same as 13.b.4.

**APPENDIX A
INSTRUCTIONS FOR COMPLETING THE
SHPO SURVEY REPORT FORM (SRSF)**

14. CULTURAL CONTEXTS

14a. Prehistoric Culture: List all prehistoric groups affiliated with survey area and its vicinity.

14b. Protohistoric Culture: List all protohistoric groups affiliated with survey area and its vicinity.

14c. Indigenous Historic Culture: Identify all historic Native Tribes affiliated with survey area and its vicinity.

14d. Euro-American Culture: Provide date range.

15. FIELD SURVEY PERSONNEL

15a. Principal Investigator: If a permit is required, identify the permitted archaeologist supervising the project.

15b. Field Supervisor: Whether a permit is required or not, identify the lead archaeologist in the field.

15c. Crew: List all crew involved in the fieldwork.

15d. Fieldwork Date(s): Specific date(s) or date range.

16. SURVEY METHODS

16a. Transect Intervals: Distance (m) between transect intervals; state if single transect.

16b. Survey Coverage: 100% (surveys spaced no more than 20m apart), or identify other coverage.

16c. Site Recording Criteria: Site-recording criteria used (e.g., ASM, Navajo Nation). This is necessary for negative surveys with IOs recorded.

16d. Ground Surface Visibility: Identify the estimated percent of surface visibility at the time of survey.

16e. Observed Disturbances: List all natural and physical hindrances to survey (e.g., fields in cultivation, dense vegetation, construction debris, etc.).

17. FIELD SURVEY RESULTS

17a. No Cultural Resources Identified: Check the box if survey resulted in no cultural resources, including isolated occurrences.

17b. Isolated Occurrences (IOs) Only: Check the box if survey resulted only in the recording of IOs considered ineligible for inclusion in the Arizona/National Register of Historic Places.

17c. Number of IOs Recorded: Total number of IOs, including isolated features.

17d. Table of IOs. See 17.d.1 through 17.d.4.

17.d.1. IO Number: List in consecutive order.

17.d.2. Description: Number, class, type of artifacts or feature; if multiple artifacts are present, the area must be specified to demonstrate that the IO does not meet the definition of a site. The description of the IO must be sufficient to justify that there is no further data potential (Criterion D); be as specific as possible for temporal and cultural affiliation.

17.d.3. Date Range: Provide the accepted date range; if the date range is based on diagnostic artifacts, include the appropriate reference.

17.d.4. UTM's (Easting, Northing): Identifying the UTM center point for non-linear IOs. If the IO is linear, include the start and end points within the area surveyed.

18. COMMENTS

Note whether background research indicates a site was previously recorded in the area surveyed, but it was not identified during the field survey; provide site number and explain methods used to re-locate the site. Include other comments.

**APPENDIX A
INSTRUCTIONS FOR COMPLETING THE
SHPO SURVEY REPORT FORM (SRSF)**

SECTION 19. ATTACHMENTS

19a. Project Location Map: USGS 1:24,000 Topographic Map; scale 1 inch = 2,000 ft. Aerial or street maps may be used in addition to the USGS topographic map

19b. Land Jurisdiction Map: May be combined with 19a; include appropriate key.

19c. Background Research Map: Show locations of previous surveys and previously recorded cultural resources. AZSITE screenshot is acceptable provided it shows the project location and is labeled and legible.

19d. GLO Map: Include a copy of the relevant map or depict features on background research map.

19e. References: Use American Antiquity format. References are required for all background research results, as well as source information (e.g., biotic communities, geologic formations, soil composition, etc.).

20. CONSULTANT CERTIFICATION

Signature and Title of the Responsible Party (Cultural Resources Director, Principal Investigator, or Project Director).

21. DISCOVERY CLAUSE

APPENDIX B

List of Agencies Approving Use of the SRSF for Negative Surveys (Check periodically for updates)

Arizona Department of Environmental Quality
Arizona Department of Transportation
Arizona Game and Fish Department
Arizona State Land Department
Arizona State Museum
Arizona State Parks
Bureau of Reclamation
Bureau of Land Management
City of Phoenix
City of Scottsdale
Coconino National Forest
Customs and Border Patrol
Environmental Protection Agency
Federal Communications Commission
Federal Highways Administration
Kaibab National Forest
Maricopa County Department of Transportation
National Park Service
Natural Resources Conservation Service
Pima County
Prescott National Forest
Rural Development/Rural Utilities Service
Salt River Project
Tonto National Forest
U.S. Army Corps of Engineers
U.S. Fish & Wildlife Service
U.S. Forest Service Region 3
Yuma Area Proving Ground