1.0 Introduction

The New Jersey Historic Preservation Office is pleased to introduce the Guidelines for Architectural Survey. With the implementation of these guidelines, New Jersey becomes one of many states to set forth professional standards and guidelines for historic architectural survey (Ohio, Massachusetts, and Delaware, have used similar guidelines for several years), and the HPO continues its mission of helping the citizens of New Jersey identify, preserve, protect and sustain our collective architectural and archaeological heritage.

Architectural survey is defined as the process of identifying and gathering information about historic architectural resources, and these Guidelines have been developed by the HPO to aid and inform anyone undertaking that process. Although referred to as “architectural,” a survey of historic properties should look beyond buildings to include all visible aspects of the built environment that combine to form our historic fabric, such as bridges and dams, wharves and ships, canals, windmills, silos, cemeteries, parks and gardens, etc.

Four basic steps apply to the process of architectural survey: establishing the purpose for the survey, conducting research, undertak-}

ing fieldwork, and preparing a written report. To establish the purpose of the survey, one must answer: Why is the survey being undertaken? What information and analysis must result? How and from where will the necessary information be generated or retrieved to address this purpose? Background research is then geared to the survey purpose. Research can relate to a broad overview of many properties (as in a published county history) or to a single property (as in deed research). Field work entails the physical and visual identification, documentation, and recordation of historic resources in the survey area. Finally, the research and fieldwork are synthesized into a written report that presents survey findings with illustrations and text, and summarizes the methodology of the first three steps.

The Guidelines address these and other aspects of architectural survey, and complement the HPO’s archaeological survey and reporting guidelines:

- Guidelines for Phase I Archaeological Investigations: Identification of Archaeological Resources
- Guidelines for the Preparation of Cultural Resources Management Archaeological Reports Submitted to the Historic Preservation Office.

1.1 Objective of This Document

As noted above, State Historic Preservation Offices (SHPO’s) are working to make survey standards clear, concise, and predictable. These Guidelines are designed to aid individuals, communities, organizations, and government agencies undertaking historic architectural surveys for planning purposes or undertaking surveys to meet regulatory requirements. The Guidelines outline the standards used by the HPO in contracting and reviewing surveys, and provide guidance on the content and format of survey products to help ensure that survey products meet generally accepted professional standards. The Guidelines present the basic underlying concepts of architectural survey, and introduce the HPO’s new system of survey forms, which are designed to ensure uniformity and consistency in data collection.

The HPO encourages other agencies and organizations to adopt these Guidelines and incorporate them into their standards of practice. Local governments may use the guidelines to aid in the administration of local ordinances adopted pursuant to the New Jersey Municipal Land Use Law,1 and regulated agencies may rely on these Guidelines to ensure that all submissions provide sufficient information for regulatory consultation and decision.

1New Jersey, Municipal Land Use Law Chapter 291, Laws of N.J. 1975 (40:55D-1et.seq.).
making. These Guidelines are meant to be used in concert with the National Park Service’s National Register Bulletin #24: Guidelines for Local Surveys: A Basis for Preservation Planning, which remains the best available how-to guide for both professionals and laypersons.

Please note that these Guidelines pertain to architectural surveys that cover a specific geographic area. Not addressed in this document are architectural surveys that are conducted based on themes or property types. Generally referred to as “thematic surveys,” these may be considered “closed” or “open.” Closed thematic surveys are those in which the list of properties to be surveyed is known at the outset; such as the survey Operating Railroad Stations of New Jersey, where the list of stations was developed prior to the survey. Open thematic surveys are those in which the list of properties to be surveyed is developed during the research phase of the survey itself, such as the survey Black Historic Sites in New Jersey, where the list of properties to be included could not be developed without supporting research. The complex nature of thematic surveys often involves highly specific research sources and/or unique survey procedures and are therefore beyond the scope of these Guidelines.

Other types of planning documents not within the scope of these Guidelines include historic structure reports and preservation plans. The HPO’s 1998 publication Historic Structure Reports and Preservation Plans: A Preparation Guide provides guidance specific to these types of documents. Please contact the HPO for copies or for additional information related to developing thematic surveys.

1.2 Why Surveys are Conducted

The process of architectural survey derives from both planning and regulatory information needs. From the planning perspective, the desire to protect and preserve significant aspects of our past for future generations necessitates an inventory of historic properties (referred to throughout this document as “planning surveys”) to enable informed planning decisions. Regulatory requirements for architectural survey (referred to throughout this document as “regulatory surveys”) stem from the recognition that consideration of historic properties is in the public interest and worthy of government intervention.

Historic properties can define community character, and create a unique sense of place. Preservation planning relies on the information generated from planning surveys to designate historic landmarks and districts, and establish guidelines and ordinances for their protection. This information may also be used to increase public awareness and appreciation of a community’s history through public education, increased tourism, and community revitalization. Local, county and state government agencies and organizations can rely on the Guidelines for Architectural Survey to help accomplish the preservation related goals of the New

3New Jersey Historical Commission. Black Historic Sites in New Jersey. October 12, 1984
The regulatory framework for historic architectural survey stems from a variety of laws and regulations that require government agencies to consider historic properties prior to the implementation of publicly sponsored, licensed, or funded projects. The regulatory survey accomplishes the identification component of these requirements, and should occur as early as possible in project planning and development.

1.3 Explaining the Different Levels of Survey

The National Park Service (NPS), the federal agency responsible for national preservation policy, has defined two levels of survey activity: reconnaissance and intensive. Both require fieldwork and research to record a community’s history, architecture, and archaeology, but they differ in the level of effort expended on these activities.

A reconnaissance-level survey is preliminary in nature and light in coverage, whereas an intensive-level survey is an in-depth look at the survey area. Depending on the needs of the survey sponsor, an intensive-level survey may follow and build upon a reconnaissance-level survey, or the two levels can be compressed into a single survey effort.

Reconnaissance-level surveys involve a general review of literature about a community and its history. A reconnaissance report presents the product of reconnaissance-level research and documentation and includes a historic overview section that communicates important background information about the survey area and its historic resources.

Intensive-level surveys require in-depth historical research and documentation to support an assessment of a property’s eligibility for the New Jersey and National Registers of Historic Places. Intensive-level survey activity more fully documents the physical characteristics and significance of a historic property. The distinction between the levels of reporting necessary for reconnaissance- and intensive-level surveys is discussed in greater detail in Section 1.4.
1.4 Choosing the Level of Survey Appropriate to Your Needs

Reconnaissance- and intensive-level surveys are both used for planning purposes. Whereas, intensive-level survey is required for regulatory purposes. Two primary documents result from each level: survey forms and survey reports. One or both documents may be produced, depending on the purpose of the survey.

1.4.1 Knowing the Appropriate Level for Planning Surveys

Depending on the scope of the survey and the project’s schedule, both reconnaissance- and intensive-level surveys are completed when conducting an architectural survey for planning purposes. The HPO funds planning surveys through Historic Preservation Fund (HPF) Program grants. Currently all funds are granted to municipalities participating in the Certified Local Government Program. All inquiries regarding this program should be directed to George Chidley of the HPO at (609) 984-6017.

For HPF surveys, reconnaissance-level forms and a report are required before survey efforts can move to the intensive-level. A reconnaissance-level report should accompany the forms, providing a historic overview of the survey area, survey methodology, and recommendations for further study. Guidelines for the reconnaissance report follow in Section 2.5.

At the intensive-level of survey, properties identified in the reconnaissance-level report as warranting further investigation will be documented using the appropriate intensive-level attachments. All forms should be completed according to their attached instructions and submitted with the final intensive-level survey report. Guidelines for submitting a complete intensive-level report, and format requirements, are listed in Section 3.5.

1.4.2 Knowing the Appropriate Level for Regulatory Surveys

When surveying to satisfy an agency’s regulatory responsibilities, an intensive-level survey is required. Sufficient information to make decisions about a property’s eligibility and the possible effects of the project must be provided. A description of the intensive-level forms and their uses are discussed in Section 1.5.

Forms should be accompanied by a report appropriate to the scope of the project and to the type of identification effort. The magnitude of the project, the nature and extent of its potential effects on historic properties, and the likely nature and location of historic properties within the Area of Potential Effect (APE) will determine whether a complete or abbreviated report is needed. Any report should provide the necessary information needed to determine the National Register eligibility of the resource(s) in the project area or the possible effects of an undertaking on the resource(s). Guidelines for submitting a complete intensive-level survey report to the HPO are listed in Section 3.5. Questions regarding the appropriate type of report for a project should be directed to the HPO.
Listed below are some representative examples of regulated projects that require a complete report:

**Intensive-level Survey Forms and Complete Report:**

- Large scale development project affecting several properties in an unsurveyed area
- Roadway improvements, incl: realignment, reconfiguration, signalization
- Rail transportation, incl: service restoration, station rehabilitation, infrastructure improvements
- Military base closure
- Superfund cleanups especially when demolition is included in scope

In situations where the project scope is limited, an abbreviated report, or “letter report,” can be submitted. Surveyors should include a brief cover letter outlining the details of the project and assessing the project’s effects on resources within the Area of Potential Effects (APE). Some representative examples where an abbreviated report is acceptable are:

**Intensive-level Survey Forms and Abbreviated Report:**

- Federally granted repairs to a single residential building
- Improvements pursuant to the Americans with Disabilities Act (ADA)

### 1.5 HPO Survey Forms

The HPO survey forms are designed to collect and organize the information needed to assess the eligibility of historic properties for listing in the New Jersey and National Registers of Historic Places. Different forms are available for documenting New Jersey’s buildings, structures, districts and objects. Each type of survey form has a set of instructions for its completion, organized by its data fields (see Appendix C). The system of forms consists of a Base Form, Attachments, the Historic District Overlay, and an Eligibility Worksheet.

Attachments prompt the surveyor to provide information tailored to the evaluation of a particular property type. These forms make recorded information easily accessible and enable resources to be grouped into subtypes, thereby allowing the development of specific contexts for future evaluation. The following list provides a brief description of each form and how it should be used:

**Base Form:**

This two page form is used in all surveys to record basic background and geographical data for all types of properties. For reconnaissance-level surveys, this form is the only form used. It will indicate properties that are worthy of further research at the intensive-level.
**Historic District Overlay:**

This form is used only at the intensive-level. It groups the base forms for the properties that make up the historic district by recording basic background and descriptive information about a historic district. It documents the district as a whole. Properties within the historic district are represented by Base Forms and Attachments, as appropriate.

Attachments are used only at the intensive-level to record specific information based upon the property type. Attachments will always refer to the historic property recorded on the Base Form. A property may have a variety of elements that contribute to its significance, therefore, any number of Attachments may be completed for a particular property.

For planning surveys: Attachments will be completed for properties that were recommended for further research in the reconnaissance-level report, or properties that would be considered key-contributing properties in historic districts. For regulatory surveys Attachments will be completed for properties that are over fifty years of age and are subject to impacts of an undertaking.

**Building Element Attachment:**

This attachment is used only at the intensive-level to document the major buildings, that make up a property. This attachment should always be used in conjunction with a Base Form, and other Attachments as appropriate.

**Bridge Attachment:**

This attachment is used only at the intensive-level to document bridges and culverts. This attachment should always be used in conjunction with a Base Form, and other Attachments as appropriate.
Landscape Attachment:
This attachment is used only at the intensive-level to document designed landscapes (versus cultural or traditional landscapes). Designed landscapes may be an element of a larger property (a kitchen garden on an estate), or may be the “major element” of the property (a large urban park), in which case the form documents the landscape as a whole.

Additional elements within the landscape (bridges, sculptures, buildings, etc.) should be documented on their own Attachments. This attachment should always be used in conjunction with a Base Form, and other Attachments as appropriate. (Cultural or traditional landscapes should be recorded using the Historic District Overlay.)

Farm Attachment:
This attachment is used only at the intensive-level to document agricultural complexes. An agricultural complex generally contains many elements that need to be recorded in order to fully document the property, therefore, this attachment should describe the complex as a whole. Additional elements within the agricultural complex (buildings, barns, bridges, etc.) should be documented on their own Attachments.

This Attachment should always be used in conjunction with a Base Form, and other Attachments as appropriate.

Industry Attachment:
This attachment is used only at the intensive-level to document industrial buildings. Each significant industrial building of the property should be documented on an Industry Attachment. Additional elements within the industrial complex (non-industrial buildings, bridges, structures) should be documented on their own attachments. This attachment should always be used in conjunction with a Base Form, and other Attachments as appropriate.

Eligibility Worksheet:
This form should be used only at the intensive-level to assess eligibility for historic districts or individual properties. It is never used at the reconnaissance-level. For planning surveys: The Eligibility will be completed for historic districts as recorded on the Historic District Overlay, or properties that were recommended for further research on the base form and in the findings of the reconnaissance-level report. For regulatory surveys: The Eligibility Worksheet will be completed for individual properties that are over fifty years of age or historic districts as recorded on the Historic District Overlay.
1.5.2 Using the HPO Survey Forms in a Regulatory Survey

Regulatory surveys must provide sufficient information to assess the eligibility of an individual property. The first step is to document every property with the Base Form, organizing basic background information, geographical data, and photographs of the property. The second step is to complete appropriate Attachments for each Base Form.

In some cases, more than one Attachment will be used to fully document the property being surveyed. For example: background information about a single family residence would be recorded on the Base Form, with more detailed descriptive information recorded on the Building Element Attachment. A significant outbuilding would be recorded on a separate Building Element Attachment. The Eligibility Worksheet is then completed to assess the eligibility of the individual property.

Base Forms and Attachments for properties that combine to make a distinguishable entity will be grouped with the Historic District Overlay, which is completed to record basic and descriptive information about the historic district. The Eligibility Worksheet is then completed to assess the eligibility of the district as a whole.
1.5.3 Examples of Form Use

This example works for both regulatory and planning surveys.

Example:

A 3-acre, 100 year old Olmsted designed city park in a small downtown area contains two former bathhouses, a pedestrian bridge, and a formal rose garden.

The first step in recording the park at the intensive-level would be to fill out the base form for the park in its entirety. This provides geographical information about the park, including: street address, block and lot. The second step would be to fill out the appropriate attachments. For the designed park, fill out a Landscape Attachment. This would provide information about the landscape design itself, as well as any other characteristic features such as walkways, fountains, and benches. For the two former bathhouses Building Attachments are appropriate. Each bathhouse would be recorded on its own attachment. The Bridge Attachment is needed to document the pedestrian bridge. The formal rose garden would be recorded on its own Landscape Attachment - this is in addition to the Landscape Attachment that was used to describe the park as a whole. Finally, an Eligibility Worksheet would be completed evaluating the park as a whole including all of its component parts: both former bathhouses, the pedestrian bridge, the formal rose garden, walkways, fountains, benches, and plantings.

To document historic districts at the intensive-level, Base Forms are used to document basic information about each property within the district. Next, the Historic District Overlay is completed to document the historic district as a whole. This functions as an “umbrella” to organize the information collected about the individually recorded properties within the historic district. Information on individually eligible properties, or key-contributing properties, within the historic district may be supplemented with the appropriate Attachments. The combination of the Base Forms, Historic District Overlay, and the appropriate Attachments to the Base Forms comprises the entire historic district documentation.

Example:

An early twentieth-century neighborhood has been identified as a potential historic district, and includes several single-family residences, a grocery store, a bridge, and a small textile plant.

Recording this neighborhood at the intensive-level in a planning survey: Since you are working at the intensive-level in a planning survey, it can be assumed that you have already completed a reconnaissance-level survey for the same study area and base forms for all of the properties have already been completed. Therefore, your first step at the intensive-level would be to complete a Historic District Overlay for the potentially eligible historic district.
Next the base forms for all of the properties which are within the boundaries of historic district are grouped with the Historic District Overlay and categorized as non-contributing, contributing, or key-contributing to the potential historic district. Let’s say that four of the residences and the textile plant were categorized as key-contributing. Fill out the appropriate attachment(s) for each key-contributing property. Fill out Building Attachments for each key-contributing residence and significant outbuildings, and Industry Attachments for significant buildings in the textile plant. Because the rest of the residences, the grocery store, and the bridge were categorized as either non-contributing or contributing, you do not need to fill out any attachments for them. The final step is to fill out the eligibility worksheet for the historic district as a whole.

However recording the same neighborhood at the intensive-level as part of a regulatory survey would be done slightly differently.

Regulatory survey is done at the intensive level, and must record every property over 50 years of age in the neighborhood. You usually do not have previously completed base forms from a reconnaissance-level survey, therefore the first step would be to fill out Base Forms for all of the properties. Next, complete the appropriate attachment for each Base Form. Building Attachments would be completed for each residence and significant outbuildings. A Building Attachment would be completed for the grocery store. A Bridge Attachment would be completed for the bridge. Industry Attachments would be completed for significant buildings in the small textile plant. Because regulatory survey must assess eligibility for each property, fill out an Eligibility Worksheet for each Base Form. Now the historic district can be recorded by completing a Historic District Overlay for the potential historic district. Next the base forms for all of the properties which are within the boundaries of historic district are grouped with the Historic District Overlay and categorized as non-contributing, contributing, or key-contributing to the potential historic district. Finally complete an Eligibility Worksheet for the Historic District Overlay.

### 1.6 Coordinating Archaeological and Architectural Survey Efforts

Sometimes it is appropriate to note the existence or potential existence of archaeological resources in architectural survey. It is quite common for historic architectural properties to have archaeological components. Provisions have been made to document such co-occurrences by means of a simple check-off on the Base Form indicating the presence of archaeological remains on historic properties. Archaeological resources that are noted in this manner may or may not be mentioned in the text of the architectural survey report. Either way, report authors need not be professionally-qualified archaeologists to offer comments regarding the presence, or potential presence, of archaeological remains on properties that are predominantly architectural.

**Example:**

An operational farm complex exists on a 100 acre parcel. The construction date of the farm house has been estimated to be c.1695, based on deed research and visual inspection. It is reasonable to expect that, prior to the introduction of indoor plumbing, there was a privy somewhere on that 100 acre parcel. It is also reasonable to expect that the household privy was not located over the same pit from the time of its construction c. 1695 until indoor plumbing was introduced on the site. Most likely after the privy was moved over a fresh pit the old pit was filled in with household trash creating a clearly stratified archaeological site. The survey form for the farm should note the likelihood of this type of resource.
In a more complex circumstance, a scope-of-work may call for survey of both architectural and archaeological properties. If the survey work is conducted by two consulting firms or research groups, and/or the surveys are not on parallel time schedules, it may be appropriate to report the architectural and archaeological surveys separately. If two reports are prepared, then each should be prepared by personnel professionally qualified in the appropriate discipline (archaeology or architectural history).

In cases where it is preferable to present results in a single report, please do so. This combined report should satisfy the requirements of both reporting guidelines without any unnecessary duplication (e.g. only one management summary is required). The HPO has guidelines for conducting archaeological surveys and for reporting results. For a copy of the archaeology guidelines or questions concerning their use, please contact the HPO archaeological staff at (609) 984-0140.

1.7 HPO Established Historic Contexts

A historic context is a broad pattern of historical development that may be represented by historic resources. Historic contexts are tools used in evaluating the significance of a resource, and form a framework for making decisions about the relative importance and integrity of resources. Generally, establishing historic contexts involves reviewing the known history and prehistory of the State, seeking to define important patterns in the development of the area through time that may be represented by historic properties.

The HPO has established twelve statewide historic contexts. These statewide historic contexts are best utilized to organize comprehensive historic resource surveys of an entire municipality or county. Historic contexts enable considerations of historic properties in terms of chronological time frames, cultural themes (or topics), and geographic areas. The twelve established statewide contexts are:

<table>
<thead>
<tr>
<th></th>
<th>Paleo-Indian and Early Archaic Periods</th>
<th>11,500 - 8,000 years ago</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td>Middle Archaic Period</td>
<td>8,000 - 6,000 years ago</td>
</tr>
<tr>
<td>3.</td>
<td>Late Archaic Period</td>
<td>6,000 - 3,000 years ago</td>
</tr>
<tr>
<td>4.</td>
<td>Early/Middle Woodland Period</td>
<td>3,000 - 1,200 years ago</td>
</tr>
<tr>
<td>5.</td>
<td>Late Woodland Period</td>
<td>1,200 years ago - A.D. 1500</td>
</tr>
<tr>
<td>6.</td>
<td>European Intrusion</td>
<td>A.D. 1500 - A.D. 1700</td>
</tr>
<tr>
<td>7.</td>
<td>Initial Colonial Settlement</td>
<td>A.D. 1630 - A.D. 1775</td>
</tr>
<tr>
<td>12.</td>
<td>Modern New Jersey</td>
<td>A.D. 1945 - Present</td>
</tr>
</tbody>
</table>
The HPO also maintains thematic historic context files. Thematic historic context files are generally more specific and are usually associated with recognized topics of New Jersey history or property types. The historic context files dealing with cultural themes or topics identify a variety of subjects. Examples include African-Americans in New Jersey, Maritime New Jersey, Military History, Industry, and Transportation. These and all other historic context files are open for inspection, updating, and expansion. New topics are added as identified.

In brief, the statewide historic contexts enable broad temporal categorizations and evaluation; thematic contexts aid in evaluating specific types of historic resources. Surveyors are urged to become familiar with the HPO historic context files. These files contain, or provide references to, current information upon which a great deal of HPO planning and decision-making is based. These files aid surveyors in completing the historic context section in a reconnaissance- or intensive-level planning or regulatory report.

In addition to the historic context files, the HPO also maintains a series of topical files. These files help further illuminate important trends in New Jersey history and also offer property type specific information. These files contain information that was collected and filed on an ad hoc basis, which may, or may not, serve your needs. Additional information is always welcome. Listed below are the available New Jersey topical files:

### ADA (Americans with Disabilities Act)
### African-American Sites
### Agriculture
### Anchoring
### Asbestos
### BOCA
### Battlefields
### Bird Control
### Brick
### Bridges
### Canals
### Cemeteries
### Cloverleafs
### Cold War Resources
### Concrete
### Corrections
### Corridors
### Diners
### Disaster Preparedness
### Education
### Electrical Systems
### Epoxy
### Farms and Farmsteads
### Fences

### Formliners
### Gas Stations
### Geophysical Survey
### Gilding
### Girl Scouts of USA: History
### Glass
### Ground Penetrating Radar
### Hardware
### Homasote
### House Moving
### Insulation/Insulating
### Iron
### Investigative Techniques
### Lead Paint Abatement
### Lighting
### Maintenance
### Maritime Preservation
### Masonry
### Marketing Historic Buildings
### Metals
### Mills
### Monuments
### Mortar
### Mortar Analysis
Location Plan Map, High Breeze Farm, Waywayanda State Park, Sussex County.
1.8 GIS Pilot Initiative

In New Jersey, the HPO is the central, statewide, repository for information relating to the state’s historic properties and preservation activities; as such, all types of survey documents, including both regulatory and grant-funded surveys, are available for use by the public. To improve availability, the HPO is undertaking projects to standardize and automate the collection and retrieval of cultural resource information. Foremost among these is the development of a Geographic Information System (GIS).

The HPO has been awarded a grant to develop a GIS system for historic properties. GIS combines the graphics capabilities of modern computers with electronic database information systems. Data that could be searched, sorted, and manipulated both manually and digitally, can now be displayed geographically on a variety of map sources, providing new insight into spatial relationships and patterns. Historic properties can be represented on maps by resource type, age, style, proximity, or any other classification that can be built into a database. Consultants, government agencies, researchers, and the wider public will benefit from readily accessible information about any geographic area in the state.

The current pilot project will develop the GIS system with test data from Gloucester and Salem counties. The compatibility between the GIS system and information collected is the key to future success. These guidelines are a first step in assuring that compatibility. A second phase of the pilot project will be the development of an electronic version of this survey system that will be incorporated into a set of revised guidelines upon its completion.

Cooper’s Bakery, Ridgefield Park Borough, Bergen County.
Section 2

Reconnaissance - level Surveys
2.0 Reconnaissance-level Surveys

Reconnaissance-level surveys are the first level of identification and documentation for planning surveys. The information contained in Sections 2.0 through 2.5.5 does not relate to all projects and situations; individuals conducting regulatory surveys should move ahead to Section 3 (Regulatory surveys should be reported at the intensive-level in order to evaluate eligibility and include information sufficient to meet regulatory requirements).

Reconnaissance-level surveys require only background information on properties, and cannot be used to determine eligibility. The steps in reconnaissance survey include: designing the survey; conducting research, and conducting fieldwork and recordation.

Gable Detail, The Hermitage, Ho Ho Kus Borough, Bergen County.

2.1 Designing a Reconnaissance Level Survey

Survey design is an essential first step in conducting effective reconnaissance-level surveys, and should take into account the needs of the survey sponsor, available funding, and the nature of historic properties in the survey area. The survey design will include developing research design, defining the survey area, and establishing the property types that will be surveyed.

2.1.1 Research Design

By establishing a research design, surveyors explain:

1) project approach, goals and methodology; and

2) how the final product will integrate background research, fieldwork, and context evaluations for a well-rounded picture of the surveyed properties.

The research design helps to focus the goals of the project for a more complete and thorough report. Archeology and Historic Preservation; Secretary of the Interior’s Standards and Guidelines states: “the purpose of the research design is to define the proposed scope of the documentation work and to define a set of expectations based on the information available prior to the research. Generally, the research design also ensures that research methods are commensurate with the type, quality, and source of expected information.”

The research design should include, at minimum, the following items:

1. **Objectives of the identification activities.**

   *For example:* to characterize the range of historic properties in a region; to identify the number of properties associated with a context; to gather information to determine which properties in an area are significant.

   The statement of objectives should refer to current knowledge about the historic contexts or property types, based on background research or assessments of previous research. It should clearly define the physical extent of the area to be investigated and the amount and kinds of information to be gathered about properties in the area.

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2. **Methods to be used to obtain the information.**

*For example:* archival research or field survey. Research methods should be clearly and specifically related to search problems.

Archival research or survey methods should be carefully explained so that others using the gathered information can understand how the information was obtained and what its possible limitations or biases are.

The methods should be compatible with the past and present environmental character of the geographical area under study and the kinds of properties most likely to be present in the area.

3. **Expected results and the reasons for those expectations.**

Expectations about the kind, number, location, character and condition of historic properties are generally based on a combination of background research, proposed hypotheses, and analogy to the kinds of properties known to exist in areas of similar environment or history.\(^6\)

### 2.1.2 Determining the Survey Area

The area studied in a reconnaissance-level survey is usually defined by the jurisdiction of the sponsor(s). Often, political boundaries serve as survey boundaries. Surveyed properties may include all residential, commercial, and industrial neighborhoods or communities within these limits. In some cases, survey areas may be limited to particular neighborhoods or development patterns within a municipality or county, based on population growth or economic influences. The researcher should include a rationale for the survey area boundaries in the survey report.

It is important to carefully define the survey limits with the assistance of a qualified professional to ensure that all potentially significant resources are included in the survey scope. In large areas, or when restricted by time and funding, the survey area may be approached in phases. The size of the survey area and how it is approached may be determined on a case-by-case basis. HPO staff is available for consultation during the initial stages of survey planning.

### 2.1.3 Types of Properties to Include in the Survey Scope

The types of properties included in the survey scope should reflect the character and development of the survey area. As a general rule, the survey scope should include all districts, buildings, sites, structures, and objects over 50 years of age, or which may have exceptional significance if less than 50 years old. Care must be taken to include even properties and elements which are not visible from a public road (e.g. a house back in the woods, or a family cemetery in a rear corner of a farm). Surveyors should make reference to aerial photographs and historic maps as needed to help identify these “hidden” properties.

Every effort should be made to identify those properties that convey significance on the local, state, or national level. The following list is reprinted from *National Register Bulletin 24: Guidelines for Local Surveys: A Basis for Preservation Planning;* it offers a brief outline (not comprehensive) of the types of properties that should be included in a reconnaissance-level survey:

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### Building (including groups of buildings)

- Notable examples of architectural styles and periods or methods of construction, particularly local or regional types
- Buildings showing the history and development of such diverse areas as communications, community planning, government, conservation, economics, education, literature, music, and landscape architecture
- Stores and businesses and other buildings that provide a physical record of the experience of particular ethnic or social groups
- Complexes of buildings, such as factory complexes, that comprise a functionally and historically interrelated whole
- Markets and commercial structures or blocks
- Buildings by great architects or master builders and important works by minor ones
- Architectural curiosities, one-of-a-kind buildings
- Sole or rare survivors of an important architectural style or type
- Studios of American artists, writers, or musicians during years of significant activity
- Institutions that provide evidence of the cultural history of a community (churches, universities, art centers, theaters, and entertainment halls)
- Buildings where significant technological advances or inventories in any field occurred (agricultural experiment stations, laboratories, etc)

### Site

- Archeological sites containing information of known or potential value in answering scientific research questions
- Archeological sites containing information that may shed light on local, state, or national history
- Sites of cultural importance to local people or social or ethnic groups, such as locations of important events in their history, historic or prehistoric cemeteries, or shrines
- Sites associated with events important in the history of the community as a whole (battlefields, trails, etc.)
- Cemeteries associated with important events or people, or whose study can provide important information about history or prehistory
- Ruins of historically or archeologically important buildings or structures
- Historically important shipwrecks
- Cemeteries important for the architectural or artistic qualities of their constituent structures and monuments
- Constructed landscapes that exemplify principles, trends, or schools of thought in landscape architecture, or that represent fine examples of the landscape architect’s art

### Structure

- Industrial and engineering structures, including kilns, aqueducts, weirs, utility or pumping stations, and dams
- Transportation structures, including railroads, turnpikes, canals, tunnels, bridges, roundhouses, lighthouses, and wharves
- Agricultural structures such as granaries, silos, corncribs, and apiaries
- Movable structures associated with important processes of transportation, industrial development, social history, recreation, and military history (ships, locomotives, carousel, airplanes, artillery pieces, etc.)

### Object

- Objects important to historical or art historical research (petroglyph boulders, bedrock mortars, statuary, rock carvings, etc.)
- Objects important to the cultural life of a community and related to a specific location (totem poles, fountains, outdoor sculpture, road markers, mileposts, monuments, etc.)

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2.2 Research at the Reconnaissance-level

Research will occur during most of the survey process, therefore, the research strategies established during survey design ensure that all phases of the survey are effectively integrated. At the reconnaissance-level, research is needed to develop the historic overview for the survey (see Section 2.2.3). The historic overview provides a general understanding of the economic development and physical evolution of the survey area.

2.2.1 Appropriate Level of Research for Reconnaissance-level Survey

Research at the reconnaissance-level “should be oriented toward the identification and description of general trends, groups and events in the community’s history and their known or likely effects on the community’s development.”

Extensive background and individual property research is not necessary, given the nature of reconnaissance-level survey activity. Historical information on individual properties is not needed to complete the reconnaissance-level survey forms. However, background information on individual properties or historic districts will be needed at the intensive-level.

2.2.2 Information Sources

The HPO recommends consulting at least the preliminary research sources (listed below) to help define the study area and provide general background information. Primary and secondary sources should be consulted when researching the survey area. Primary sources are original and unpublished materials that are usually found in personal, archival or library collections. Secondary sources are published information such as magazines, books, encyclopedias. The advanced research sources (also listed below) are usually consulted at the intensive-level because their value is often property specific, however, in some cases they may reveal generally applicable information. Sources to consult for research include, but may not be limited to, the following:

Preliminary Research Sources:
- all historic maps and plats
- commercial histories
- photographs and postcards
- all local histories
- HPO Context files

Advanced Research Sources:
- deeds and wills
- estate records
- newspaper and clippings files
- cemetery records
- insurance records
- census returns
- building permits
- road survey information
- city/rural directories and gazetteers
- blueprints
- HABS/HAER documentation
- family/personal papers

8 Derry, National Register Bulletin 24, 29.
When choosing and applying research sources, local history should be fully explored. An understanding of local history is crucial for assessing the potential significance of a property. Without an understanding of the local history, properties that are potentially significant on the local rather than state and national levels can be overlooked. To insure that the full range of potentially eligible properties are included, it is important to understand how the properties “fit” into the local picture.

### 2.2.3 Developing the Historic Overview

Developing the historic overview is a critical component of an architectural survey. The historic overview is a narrative section in the reconnaissance-level report that provides an understanding of the different forces that shaped community development.

The discussion should include, but may not be limited to: development of modes of transportation and their systems, development and roles of various community and economic institutions, ethnic customs and neighborhoods, and prominent local personalities. The discussion should draw on themes established by the statewide contexts (see Section 1.7) as they apply to the study area.

Surveyors may find significant deviations between local history and statewide contexts, which may indicate significant local or regional patterns.

When developing the historic overview, it is important to include local examples of historic property types that illustrate local trends and patterns. Examples should be derived from the survey findings. This helps to combine the different disciplines of local history and architectural history through identification of architectural styles and methods of construction consistent with the local history. Comparisons with properties that are no longer extant can also be useful in strengthening the historic overview and in laying an appropriate basis for evaluation.

### 2.3 Field Work and Recordation

A key aspect of identifying and evaluating properties is their recordation. A visual picture and verbal record of a property provide valuable information about that building, site, structure, object, or district. Without a full description of a property’s appearance, it is difficult to accurately judge its physical condition and integrity. The physical description should include information not always visible in the survey photograph such as rear wings, additions, outbuildings, presence of small details, etc. This information may be used in the future, even if the property is gone.

#### 2.3.1 Using the HPO BASE FORM

For field work, surveyors should use the Base Form which has been included in Appendix C. As mentioned earlier, the Base Form is used by itself to document all property types. The purpose of the Base Form at the reconnaissance-level is to determine and indicate if a property warrants further research at the intensive-level. Potential historic districts should also be noted, as described in the Base Form instructions which will aid in survey design at the intensive-level.

If necessary, additional information, such as photographs, text, or other illustrations, can be included on Continuation Sheets. Instructions for filling out the HPO survey forms are included in Appendix C; surveyors with questions should contact the HPO.
2.3.2 Existing Survey Information

In some cases, previously completed survey forms may exist for the property(s) being studied. If these earlier forms were completed within the last ten years, the form can be reproduced with a current photograph appended. However, new forms should be completed if the previous survey is greater than ten years old, or if substantial new information is revealed or significant physical changes have occurred that would change the property’s significance and integrity, and therefore its National Register eligibility.

2.3.3 Photography at the Reconnaissance-level

Photographs contribute to the record of the resource, and provide important visual information needed to make crucial decisions regarding a resource’s integrity and architectural significance. All photographs should be from a 35 mm camera on black-and-white or color film. The 3.5" x 5" print size is recommended for the image; that size space is allotted on the HPO’s survey forms. Surveyors are encouraged to submit additional photographs attached to continuation sheets if they feel the photographs contribute to a better understanding of the resource’s potential significance.

Photographs should be sharp enough to convey the character and significance of the subject. In reconnaissance-level surveys, there should be one picture of the entire primary elevation for every property within the survey scope. Streetscape photographs need to adequately convey the character and significance of the street’s properties, which includes trees, landscaping, and street furniture. The HPO recommends three buildings per photograph dependent upon the character of the block. The surveyor may include additional resources where the situation permits. If more than one photograph is needed to visually document the streetscape, then additional photographs may be sequentially attached to continuation sheet.

2.4 Selecting Properties for Intensive-level Survey

When the field work and recordation are complete, the surveyor identifies properties to be included in an intensive-level survey by indicating more research is needed on the Base Form. A resource only needs to be potentially eligible at the local, state, or national level under the National Register criteria and criteria considerations to be included in an intensive-level survey. The surveyor will also identify whether there are any potential historic districts within the survey area. The surveyor should review the indication of potential historic districts from the Base Form description field.

2.5 Reporting

After the field survey is complete a reconnaissance-level report is prepared. The reporting component of reconnaissance survey organizes information collected on the forms, as well as the forms themselves, and presents this information along with the surveyor’s conclusions and recommendations. Part of this report will address which properties have been selected for inclusion in the scope of the intensive-level survey.
Components to include in a reconnaissance survey report are:

1. Research Design:
   the research design introduces and discusses the survey objectives, expected research materials, methodology, and expected results of the survey.

2. Justification of Survey Boundaries and Scope:
   the report should clearly illustrate, in narrative form, the boundaries for the survey area, and the reasons why they were chosen, as well as any constraints.

3. Historical Overview:
   this section should set the appropriate framework(s) in which the historic properties will be discussed.

4. Data Summary:
   this section presents the information gathered during fieldwork and presents it with recommendations for further research. Properties selected for the intensive-level survey are noted here.

5. Survey Forms:
   this section includes the completed Base Forms for the surveyed properties.

2.5.1 Sample Outline for a Reconnaissance-level Report

The HPO suggests the following outline for reconnaissance-level architectural survey reports. This format is required for any survey projects that are funded with state or federal money through the HPO.

➢ Title Page
   Title and location of survey, including incorporated municipality and county.

   Author(s), including contributors.

   Agency and/or client to which the report is submitted.

   Contract number or HPO project number, when appropriate.

   Date of report submission or completion.

➢ Acknowledgments (optional)

➢ Management Summary

➢ Table of Contents (paginated)

➢ List of Figures, Plates, and Tables (paginated)
   This list must include a reference to the base map for the survey.

➢ Introduction
   Project purpose and goals, such as a summary of the scope of work, including local designation, zoning and permits as known.

   Project administration and contracting agency.

   General description, including location, approximate number of field hours, and project conditions and constraints.
Research Design

Objectives

Expected Research Materials

Methodology

- Description of field methods, including rationale and problems or obstacles encountered
- Discussion of criteria (and criteria exceptions) used for determining significance.
  Estimated percentage of total project area investigated at the reconnaissance level, how
  this area was determined, and how sites and properties were selected or rejected.
- Discuss how the methodology evolved during the survey process, be sure to include any
  voids, inconsistencies, or omissions.

Expected results

Explanation and Justification of Survey Area Boundaries

Setting

Describe the surrounding natural and built environments, including listed or eligible
New Jersey and National Register and locally designated buildings, sites, structures,
objects, and/or districts in the area. This discussion should also address the urban/rural
character of the environment.

Include a brief architectural analysis of the area, it’s general integrity, and overall physical
conditions and layout.

Historical Overview

Background research and history should be developed for the area and include
comparisons to New Jersey historic contexts.

History of survey area, including the results of primary, secondary, and archival research.

The background research should be detailed enough to identify associations with signifi-
cant people and events, past and present land uses, etc.

Data Summary

Generally, this section should address each building, structure, object, site, and/or district
in the survey scope and discuss its features, level of significance, and its potential eligi-
bility for the New Jersey and National Registers of Historic Places.

Discuss each site’s potential eligibility for both the New Jersey and National Registers
according to the criteria set forth in methodology, including integrity.

Historic and current photographs, maps, and other illustrations are strongly recom-
ended to illustrate relevant points.

Charts, tables, or other forms of visual analysis can be helpful in analyzing and summa-
ring the findings for large survey areas.

Master List of Survey Forms

The master list should be organized by street name and/or block/lot number.
Survey Forms
A complete base form for every property.
All printed forms should have maps and photos attached.
All fields must be completed.

Bibliography
Except for materials that are known to be widely available, all entries should include the source’s repository or location. This information helps future researchers using the report.
Include: maps, archival documentation, personal communications from informants (including oral histories), and any pertinent project correspondence.

Appendices (When Appropriate)
Maps.
Request for Proposal (RFP) or Scope of Work (SOW).
Supporting documentation (for any and all sections).
Vitae for all involved authors and surveyors, which illustrate the appropriate qualifications. Corporate resumes need not be included.

2.5.2 Reconnaissance-level Report Format
- The entire document, including illustrations and appendices, should be produced on archival-quality bond paper. All text must be letter quality (minimum 600 dpi).
- Avoid attaching images with products like cellophane tape or rubber cement. The HPO recommends 3M Spray Mount or equivalent. For HPF funded grant projects, the HPO will require receipt of one original with original graphics, a second original or a photocopy can be produced for the grantee.
- Submitting a digital copy of the report text saved in Microsoft Word format is recommended. Survey form data entered in a digital database may also be submitted.
- All citations should follow the format established in the Chicago Manual of Style. For reports, footnotes should be used; endnotes and internal citations are not recommended.
- Consistency is critical. All dates, property names, and labeling should be the same throughout the entire document. Pagination should be continuous, and attachments cross referenced.

2.5.3 Graphics
Graphics are vital aids to understanding the information presented in architectural surveys. They also form an invaluable visual record. The following guidance will help ensure that graphics are used effectively in the report:
- Illustrations should be integrated into the text and not appended. All illustrations should be correctly keyed to the text and the base map.
- Diagrams of engineered structures (i.e. bridges) should include clearly labeled components.
- Cross section, floor plan, site plan, and profile drawings should include scale, elevation, orientation, location, title (property/historic name, if available), construction date, and illustrator.
- Include a site plan of the complex a Include a site plan of the building and/or district that illustrates how buildings are arranged on the landscape and their relationship to one another. This information is especially important for agricultural landscapes and industrial complexes.

2.5.3.1 Photographs

- Photographs should be integrated into the report text and not appended.
- All photographs should be correctly keyed to the text and the base map.
- The report should contain original black and white or color photographs. Color photocopies and Polaroids are not acceptable because they do not offer the graphic clarity necessary for visual evaluation. High quality digital or scanned images are acceptable provided they are at or near the visual clarity of traditionally printed 35mm photographs. Please note that such images will not be accepted if they are not sufficiently detailed. As technology changes, we will revisit these requirements as appropriate.)
- Photographs should be labeled on the back of the print and on the page to which they are attached. Labels should include the following items:
  - Property Name (include historic name if available)
  - Location (county, municipality, street)
  - Name of photographer
  - Date of photograph
  - Camera Orientation
- Contextual photographs illustrating the relationship of the resource(s) to the character/nature of the area should be included.

2.5.3.2 Maps

- There should be one map which serves as the overall key for the survey. This map is the base map.
- Maps should be integrated into the report text and not appended. All maps should be correctly keyed to the text with photographed properties noted.
- All maps should include a scale (i.e. 1:24000). If you need to reduce a map, please reduce it with its bar scale.
- Reports should include the survey or project area accurately delineated on a digital ortho-photo quarter quad. U.S.G.S. topographic maps are also acceptable. Surveyed properties should be plotted on the base map. Photocopies are acceptable.
- Ortho-photo quarter quads may be obtained from NJDEP Map sales at (609) 777-1039, or a variety of World Wide Web sites.
- All maps, including reproductions of historic maps, should include a north arrow, delineation of the project area, legend, map title, bar scale and year of publication.
- Maps should be reproduced on paper which is no larger than 11 x 17".
Section 3

Intensive-level Surveys
3.0 INTENSIVE-LEVEL SURVEYS

In New Jersey, intensive-level surveys are conducted for two reasons:

1. to complete a higher level of identification and documentation for planning surveys, and
2. to comply with state and federal regulations.

More research, recordation, and evaluation is needed for intensive-level surveys than for reconnaissance-level surveys. Different forms and reports are generated in response to these higher thresholds.

The information contained in the following sections should be consulted for guidance on completing the intensive-level phase of a planning survey and for satisfying the information needs for regulatory surveys. Individuals conducting reconnaissance-level planning surveys should refer to Section 2.0 for guidelines that are directed toward planning-oriented survey activities.

3.1 DESIGNING AN INTENSIVE-LEVEL SURVEY

Survey design is an essential first step in conducting effective intensive-level surveys, and should take into account the needs of the survey sponsor, available funding, and the nature of historic properties in the survey area. The survey design will include developing research strategies, defining the survey area, and establishing the property types that will be surveyed.

3.1.1 DEVELOPING A RESEARCH DESIGN

**BY ESTABLISHING A RESEARCH DESIGN, SURVEYORS EXPLAIN:**

1) project approach, goals and methodology and
2) how the final product will integrate background research, fieldwork, and context evaluations for a well-rounded picture of the surveyed properties.

If the intensive-level survey is based on a previously conducted reconnaissance-level survey, such as in a planning survey, the methodology for the reconnaissance-level survey should be incorporated, in an abbreviated form, into the intensive-level methodology. This helps subsequent readers to fully understand the project from its beginning.

The research design helps to focus the goals of the project for a more complete and thorough report. *The Secretary of the Interior’s Guidelines for Identification*, requires that the research design should include, at minimum, the following items:
1. **Objectives of the Identification Activities.**

   *For example*: to characterize the range of historic properties in a region; to identify the number of properties associated with a context; to gather information to determine which properties in an area are significant.

   The statement of objectives should refer to current knowledge about the historic contexts or property types, based on background research or assessments of previous research. It should clearly define the physical extent of the area to be investigated and the amount and kinds of information to be gathered about properties in the area.

2. **Methods to be Used to Obtain the Information.**

   *For example*: archival research or field survey. Research methods should be clearly and specifically related to research problems.

   Archival research or survey methods should be carefully explained so that others using the gathered information can understand how the information was obtained and what its possible limitations or biases are.

   The methods should be compatible with the past and present environmental character of the geographical area under study and the kinds of properties most likely to be present in the area.

3. **Expected Results and the Reasons for Those Expectations.**

   Expectations about the kind, number, location, character and condition of historic properties are generally based on a combination of background research, proposed hypotheses, and analogy to the kinds or properties known to exist in areas of similar environment or history.⁹

### 3.1.2 Determining the Survey Area

Determining the survey area is an important step in the process. The survey area should correspond to the goals established in the survey scope.

#### 3.1.2.1 For Planning Surveys

For planning surveys, the intensive-level survey area is the same as that defined at the reconnaissance-level. The properties selected for further study in the recommendations and findings section of the reconnaissance-level report will be the focus of the intensive-level survey. Although fewer properties will be studied during the intensive-level survey, each will be studied in greater depth. If the reconnaissance survey report identified potential historic districts, these districts may be studied as part or all of the intensive survey area.

3.1.2.2 For Regulatory Surveys

Surveys undertaken for regulatory compliance are driven by an environmental review process for a specific project. Therefore, the survey area would encompass the area in which the project has the potential to effect historic properties.

For a Section 106 review, pursuant to the National Historic Preservation Act, the study area is referred to as the Area of Potential Effects (APE). This 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.” The National Historic Preservation Act, as amended, establishes clear and explicit guidelines for determining the APE. These guidelines may be generally applied to regulatory survey projects.

The following guidelines offer some suggestions for delineating the APE. They have been reproduced here from the Advisory Council on Historic Preservation’s (ACHP) *Introduction to Federal Projects and Historic Preservation Law: Participant’s Course Book*. Although this language is specific for Section 106 of the National Historic Preservation Act, as amended, the methodology used to define the APE is applicable to other types of regulatory projects.

**When defining an area of potential effects (APE), remember that:**

1. The APE is defined before identification actually begins, so it may not be known whether any historic properties actually exist within it. It is not necessary to know that historic properties exist in an area in order to define an APE.

2. An APE is not defined on the basis of land ownership.

3. All areas where the undertaking may cause changes to land or structures, or their uses — whether the changes would be direct or indirect, beneficial or adverse — are parts of the APE.

4. The APE should include:
   - All alternative locations for elements of the undertaking;
   - All locations where the undertaking may result in disturbance of the ground;
   - All locations from which elements of the undertaking (e.g. structures or land disturbance) may be visible; and
   - All locations where the activity may result in changes in traffic patterns, land use, public access, etc.

5. The APE may or may not be the same as the area of effect defined under NEPA.

6. An APE need not be a single area.
An APE does not always have hard and fast boundaries.

Definition of the APE does not dictate what an agency must do to identify, avoid, or mitigate effects within it.

The fact that a potential effect cannot be mitigated does not limit APE definition.

The APE should be defined based on the potential for effect alone, and not in terms of any actual properties that may be present:

It is important to remember that the area of potential effects is identified before the identification effort itself begins, so it may not be known whether any historic properties actually exist there. This is why the regulations call for defining the area of potential effects with reference to changes that may occur in the character or use of historic properties “if any such properties exist.” In other words, if an undertaking could result in changes that would affect historic properties that may be subsequently found to exist, then the land within which such changes will occur should be included in the undertaking’s area of potential effect. [Identification of Historic Properties: A Decision-making Guide for Managers, Advisory Council on Historic Preservation/National Park Service, 1988.]

Altering the APE after identification of historic properties — for example, through the use of “flag and aviod” strategies — is a questionable strategy at best. ¹¹

### 3.1.3 Types of Properties to Include in the Survey Scope

As a general rule, all districts, buildings, sites, structures, and objects over 50 years of age should be included within the survey. This is true for both planning and regulatory surveys. Surveys may be tailored to the needs of the survey sponsor(s), i.e. thematic surveys. Choices about which properties are initially included in a survey will vary depending on the project sponsor’s needs.

The types of resources included in the survey should reflect the character and development of that area. Every effort should be made to identify those properties that convey significance on the local, state, or national level. The following list is reprinted from National Register Bulletin 24: Guidelines for Local Surveys: A Basis for Preservation Planning; it offers a brief outline (not comprehensive) of the types of properties which should be included in an intensive-level survey.

#### BUILDING

[including groups of buildings]

- Notable examples of architectural styles and periods or methods of construction, particularly local or regional types
- Buildings showing the history and development of such diverse areas as communications, community planning, government, conservation, economics, education, literature, music, and landscape architecture

### Building (continued)

- Stores and businesses and other buildings that provide a physical record of the experience of particular ethnic or social groups
- Complexes of buildings, such as factory complexes, that comprise a functionally and historically interrelated whole
- Markets and commercial structures or blocks
- Buildings by great architects or master builders and important works by minor ones
- Architectural curiosities, one-of-a-kind buildings
- Sole or rare survivors of an important architectural style or type
- Studios of American artists, writers, or musicians during years of significant activity
- Institutions that provide evidence of the cultural history of a community (churches, universities, art centers, theaters, and entertainment halls)
- Buildings where significant technological advances or inventories in any field occurred (agricultural experiment stations, laboratories, etc)

### Site

- Archaeological sites containing information of known or potential value in answering scientific research questions
- Archaeological sites containing information that may shed light on local, state, or national history.
- Sites of cultural importance to local people or social or ethnic groups, such as locations of important events in their history, historic or prehistoric cemeteries, or shrines
- Sites associated with events important in the history of the community as a whole (battlefields, trails, etc.)
- Cemeteries associated with important events or people, or whose study can provide important information about history or prehistory
- Ruins of historically or archeologically important buildings or structures
- Historically important shipwrecks
- Cemeteries important for the architectural or artistic qualities of their constituent structures and monuments
- Constructed landscapes that exemplify principles, trends, or schools of thought in landscape architecture, or that represent fine examples of the landscape architect’s art

### Structure

- Industrial and engineering structures, including kilns, aqueducts, weirs, utility or pumping stations, and dams
- Transportation structures, including railroads, turnpikes, canals, tunnels, bridges, roundhouses, lighthouses, and wharves
- Agricultural structures such as granaries, silos, corncribs, and apiaries
- Movable structures associated with important processes of transportation, industrial development, social history, recreation, and military history (ships, locomotives, carousel, airplanes, artillery pieces, etc.)
### Object

- Objects important to historical or art-historical research (petroglyph boulders, bedrock mortars, statuary, rock carvings, etc.)
- Objects important to the cultural life of a community and related to a specific location (totem poles, fountains, outdoor sculpture, road markers, mileposts, monuments, etc.)

### District

- Groups of buildings that physically and spatially comprise a specific environment: groups of related buildings that represent the standards and tastes of a community or neighborhood during one period of history, unrelated structures that represent a progression of various styles and functions, or cohesive townscapes or streetscapes that possess an identity of place
- Groups of buildings, structures, objects, and/or sites representative of or associated with a particular social, ethnic, or economic group during a particular period
- Farmlands and related farm structures (silos, barns, granaries, irrigation canals) that possess an identity of time and place
- Groups of structures and buildings that show the industrial or technological developments of the community, state, or nation
- Groups of buildings representing historical development patterns (commercial and trade centers, county seats, mill towns)
- Groups of sites, structures, and/or buildings containing archeological data and probably representing an historic or prehistoric settlement system or pattern of related activities
- Groups of educational buildings and their associated spaces (school and university campuses, etc.)
- Extensive constructed landscapes, such as large parks, that represent the work of a master landscape architect or the concepts and directions of a school of landscape architecture
- Landscapes that have been shaped by historical processes of land use and retain visual and cultural characteristics indicative of such processes

Although 50 years is the standard cut-off mark for considering a resource “historic,” there may be properties less than 50 years old that are exceptionally significant. Exceptions to the 50-year standard are provided for through National Register criteria consideration “G”. Such properties should not be excluded from the survey because of their age. Background research and recent histories of the area should indicate if a particular resource is exceptionally significant and merits investigation.

For regulatory surveys, it is important to think about the project and the regulatory obligation addressed by the survey when deciding which resources to include, especially when applying the 50 year cut off. This is particularly true when the project is large and complicated in nature, such as a massive infrastructure project, which may take many years to plan and implement. Under these circumstances it is best to account for the time which may elapse between survey initiation and project construction by identifying and evaluating all properties more than 40 years old.

12 Derry, National Register Bulletin 24, 9-11.
3.2 Research at the Intensive-level

Research will occur during most of the survey process, therefore, the research strategies established during survey design ensure that all phases of the survey are effectively integrated. Research about specific properties augments background research to develop the historic overview for an intensive-level survey.

3.2.1 Appropriate Levels of Research for Intensive-level Survey

As the name suggests, the nature of intensive-level survey activities calls for more in-depth research than is required for reconnaissance-level surveys. At this level, extensive background history and individual property research is usually warranted since the purpose of the survey is to determine eligibility through intensive-level forms and reports.

As at the reconnaissance-level, historical research is needed at the intensive-level to develop a historic overview for the survey (see Section 3.2.3). The historic overview provides a general understanding of the economic development and physical evolution of the survey area. A historic overview also incorporates information about the broad social, economic, and political patterns of the area’s history. These patterns help reveal important information about the different regional, ethnic and minority populations. For planning surveys, the research undertaken at the reconnaissance-level will need to be augmented to bring the product up to the minimum sufficiency for intensive-level work. For regulatory surveys, all research will occur at the intensive-level.

Generally, surveyors completing intensive-level survey forms and reports for planning and regulatory surveys should follow the guidelines for identifying historic properties established in the “Secretary of the Interior’s Standards for Identification.” Most importantly, Standard I states that “Identification of historic properties is undertaken to the degree required to make decisions.” Regarding that “degree” Standard I continues, “Identification activities are undertaken to gather information about historic properties in an area. The scope of these activities will depend on: existing knowledge about properties; goals for survey activities developed in the planning process; and current management needs...”

3.2.2 Information Sources

Sources to consult for research for both planning and regulatory surveys include, but may not be limited to, the following:

- all historic maps and plates
- census returns
- oral histories
- building permits
- blueprints
- all local histories
- title abstracts
- city or county minutes, ordinances, etc.
- building materials
- city/rural directories and gazetteers
- family/personal papers
- insurance records
- newspaper and Sunday supplements
- university libraries and records
- deeds and wills
- property tax records
- road survey information
- building contracts
- HABS/HAER documentation
- ethnographies
- cemetery records
- commercial histories
- court documents
- estate records
- military records
- photographs and postcards
- incorporation records

14 Ibid.
When choosing and applying research sources, local history should be fully explored. An understanding of local history is crucial for assessing the potential significance of a property. Without an understanding of the local history, properties that are potentially significant on the local, rather than state and national levels, may be overlooked. To insure that all potentially eligible properties are included, it is important to understand how the property “fits” into the local picture.

### 3.2.3 Developing the Historic Overview

Developing the historic overview is a critical component of an architectural survey. The historic overview is a narrative section in the intensive-level report that provides an understanding of the different forces that shaped community development.

The discussion should include, but may not be limited to: development of modes of transportation and their systems, development and roles of various community and economic institutions, ethnic customs and neighborhoods, and prominent local personalities. The discussion should draw on themes established by the statewide contexts (see Section 1.7) as they apply to the study area.Surveyors may find significant deviations between local history and statewide contexts which may indicate significant local or regional patterns.

When developing the historic overview, it is important to include local examples of historic properties that illustrate broader patterns. Examples should be derived from the survey findings. This helps to combine the different disciplines of local history and architectural history, through identification of architectural styles and methods of construction consistent with the local history. Comparisons with properties that are no longer extant may also be useful in strengthening the historic overview and in laying an appropriate basis for evaluation.

### 3.2.4 Researching Different Property Types

Each property type has its own research needs. To understand and document the history of a bridge you would consult different sources than you would if you were researching and documenting a residence. For the bridge you would consult engineering histories and road return records. Whereas for the residence you would consult architectural histories and deed records. As another example, the kind of information needed to evaluate rural properties may be very different than for urban resources. With rural properties, especially agricultural complexes, the technology and machinery used on the farm are often a key part of the farm’s significance. For urban resources, the resource’s connection to a neighborhood or ethnic group may be a key part of its significance.

Similarly, evaluating the significance of a property in accordance with each of the National Register criteria may require consultation with a broad variety of sources. For criterion A, associations with significant events or broad patterns of history, you may consult broad contextual histories.

For criterion B, associations with significant persons, you may consult biographies or biographical articles. For criterion C, artistic, architectural or engineering significance, you may consult histories specific to those fields. While for criterion D, archaeological associations, you may consult anthropological and/or archaeological sources. An appreciation of these differences will enhance the preparer’s ability to accurately identify and evaluate a resource.

The National Park Service offers guidance on researching different property types and the different areas of significance in its National Register Bulletins:

![Gladstone Train Station, Peapack-Gladstone Borough, Morris County.](image-url)
To request a copy of a specific National Register Bulletin, contact the HPO.

### 3.3 Field Work and Recordation

A key aspect of identifying and evaluating properties is their recordation. A visual picture and verbal record of a property provide valuable information about that building, site, structure, object, or district. Without a full description of a property’s appearance, it is difficult to accurately judge its physical condition and integrity. The physical description should include information not always visible in the survey photograph such as rear wings, additions, outbuildings, presence of small details, etc. This information may be used in the future, even if the property is gone.

#### 3.3.1 Using the HPO Survey Forms at the Intensive-level

The use of survey forms at the intensive-level depends on the type of survey being conducted. Planning surveys must evaluate eligibility for individual properties and for historic districts (and for key-contributing properties within historic districts). Regulatory surveys must evaluate individual eligibility for all properties, including each property within each historic district.

**For Planning Surveys:**

When appropriate at the intensive-level, previously completed Base Forms for properties that combine to make a distinguishable entity will be grouped with the Historic District Overlay, which is completed to record basic and descriptive information about the historic district. The name of the historic district and the status of the property (key-contributing, contributing, or non-contributing) are noted on the Base Forms for properties within the boundaries of the historic district.

Attachments are then completed for those properties that are considered key-contributing (i.e., individually eligible). The number and type of Attachments should be noted on the Base Form for each key-contributing property. The Eligibility Worksheet is then completed to assess the eligibility of the district as a whole.

Base Forms for other individual properties are then augmented with appropriate Attachments. In some cases, more than one attachment should be used to fully document the property being surveyed. The number and type of Attachments should be noted on the Base Form for each individual property. The Eligibility Worksheet is then completed to assess the eligibility of the individual property.
For Regulatory Surveys:

Every property in the survey scope is first documented with the Base Form, which organizes basic background information, geographical data, and photographs of the property. Attachments are then completed for each Base Form. In some cases, more than one Attachment should be used to fully document the property being surveyed. The number and type of Attachments should be noted on the Base Form for each property. The Eligibility Worksheet is then completed to assess the eligibility of the property. Base Forms, and Attachments for properties that combine to make a distinguishable entity will be grouped with the Historic District Overlay, which is completed to record basic and descriptive information about the historic district. The name of the historic district and the status of the property (key-contributing, contributing, or non-contributing) are noted on the Base Forms for properties within the boundaries of the historic district. The Eligibility Worksheet is then completed to assess the eligibility of the district as a whole.

There are a variety of intensive level survey attachments that prompt the surveyor to provide information tailored to the evaluation of a particular property type. As outlined in Section 1.5, the available attachments are:

- Building/Element Attachment
- Bridge Attachment
- Landscape Attachment
- Farm Attachment
- Industrial Attachment

The Eligibility Worksheet guides the surveyor through the evaluation process for determining the eligibility for a property or district. The more specific research discussed in Section 3.2 is summarized here to provide a thorough analysis of the history and significance of the property or district. The Continuation Sheet allows the surveyor to expand or supplement any of the survey forms or attachments.

Brief descriptions of the different intensive level survey forms are provided in Section 1.5, and instructions for filling out the forms are located in Appendix C. Any and all questions about completing the forms should be directed to the HPO.

3.3.2 Existing Survey Information

In some cases, previously completed survey forms may exist for the property(s) being studied. If these earlier forms were completed within the last ten years, the form can be reproduced with a current photograph appended. However, new forms should be completed if the previous survey is greater than ten years old, or if substantial new information is revealed or significant physical changes have occurred that would change the property’s significance and integrity, and therefore its potential National Register eligibility.
3.3.3 Recordation Requirements for Different Property Types

The physical description of properties at the intensive-level provides both a permanent record about the property and an aid for evaluation efforts.

The following selected passages, reprinted from *National Register Bulletin 24*, offer basic guidelines for accurately describing many different types of properties. Sections of *National Register Bulletin 16A: How to Complete the National Register Form*, may also provide further guidance.

**For individual buildings, structures, or objects, this information may include:**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>Type of structure (dwelling, church, factory, etc.)</td>
</tr>
<tr>
<td>B.</td>
<td>Building placement (detached, row, etc.)</td>
</tr>
<tr>
<td>C.</td>
<td>General Characteristics: overall shape of plan (rectangle, ell, etc.); number of stories, structural system, number of vertical divisions or bays; construction materials (brick, frame, stone, etc.) and wall finish (kind of bond, coursing, shingle, etc.); roof shape</td>
</tr>
<tr>
<td>D.</td>
<td>Specific features including location, number, and appearance of: porches (verandas, stoops, attached shed, etc.); windows; doors; chimneys; dormers; other important or visually prominent exterior features</td>
</tr>
<tr>
<td>E.</td>
<td>Materials of roof, foundation, walls and other important features</td>
</tr>
<tr>
<td>F.</td>
<td>Important decorative elements</td>
</tr>
<tr>
<td>G.</td>
<td>Interior features contributing to the character of the building</td>
</tr>
<tr>
<td>H.</td>
<td>Number, type, and location of outbuildings, as well as dates of their construction</td>
</tr>
<tr>
<td>I.</td>
<td>Important features of the immediate environment such as roadways, landscaping, etc</td>
</tr>
</tbody>
</table>

If a property has been moved, the following information is helpful in assessing historical integrity:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>Date of move</td>
</tr>
<tr>
<td>B.</td>
<td>Description of original and present locations</td>
</tr>
<tr>
<td>C.</td>
<td>Distance the property has been moved</td>
</tr>
<tr>
<td>D.</td>
<td>Methods employed in moving the property</td>
</tr>
<tr>
<td>E.</td>
<td>Explanation of the effect of the move on the historical integrity of the property and upon its new location, with particular reference to the relationships between its original and current orientations, locations, and settings</td>
</tr>
<tr>
<td>F.</td>
<td>Reason for the move</td>
</tr>
</tbody>
</table>

If an architectural or historic district is identified, it is useful to compile the following information:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>General description of the natural and man-made elements of the district: structures, buildings, sites, objects, prominent geographical features, density of development</td>
</tr>
<tr>
<td>B.</td>
<td>Numbers of buildings, structures, and objects that do and do not contribute to the district</td>
</tr>
</tbody>
</table>
General description of types, styles, or periods of architecture represented in the district: scale, proportions, materials, color, decoration, workmanship, design quality

General physical relationships of buildings to each other and to the environment: facade lines, street plans, parks, squares, open spaces, structural density, plantings, and important natural features (some of this information may be recorded on sketch maps)

General description of the district during the period(s) when it achieved significance

Present and original uses of buildings (commercial, residential, etc.) and any successful adaptive reuses

General condition of buildings: restoration or rehabilitation activities, alterations

Intrusions: identifying all non-conforming elements that detract from the integrity of the district is especially important if the area is to be nominated to the National Register or if historic buildings within the area are to be considered for tax benefits

Qualities that make the district distinct from its surroundings. Where the social or cultural characteristics of the area’s residents contribute to the district’s character, these should be included

A list of all buildings, structures, and objects (or inclusive street addresses) that do and do not contribute to the character of the district

Approximate number of buildings in the district or a good indication of the size of the district

Concise boundary description: streets, property lines, geographical features, etc., which separate the district from its surroundings

If a commercial or industrial district is identified, it is useful to compile the following information:

A. General description of the industrial activities and processes taking place within the district, important natural and geographical features, power sources.

B. General description of machinery still in place

C. General description of linear systems within the district (canals, railroads, roads) and their terminal points, with approximate length and width of the area to be encompassed in district

If a rural district is identified, it is useful to compile the following information:

A. General description of geographical and topographical features (valleys, bodies of water, soil conditions, climate, changes in elevation, vistas, etc.) that convey a sense of cohesiveness

B. General description of buildings, including outbuildings, within district boundaries, usually with special attention to characteristic indicative of vernacular or folk-types of design and construction, to the activities housed in each such building or structure, and to the equipment and other material remaining in each

C. General description of manmade features of the environment and their relationship to the qualities that give the district its significance

Derry, National Register Bulletin 24, 42-44
3.3.4 Photography at the Intensive-Level

Photographs contribute to the record of the resource, and provide important visual information needed to make crucial decisions regarding a resource’s integrity and architectural significance. For intensive-level planning surveys which were preceded by a reconnaissance-level survey, photos will have been attached to the Base Form previously. However, these photos may be augmented as needed through the use of Continuation Sheets.

All photographs should be from a 35 mm camera on black-and-white or color film. The 3.5”x 5” print size is recommended for the image; that size space is allotted on the HPO’s survey forms. Surveyors are encouraged to submit additional photographs attached to continuation sheets if they feel the photographs contribute to a better understanding of the property’s significance.

Photographs should be sharp enough to convey the character and significance of the subject. For individual properties, there should be one picture of the entire primary elevation for every significant element located within the property boundaries. This includes outbuildings, which may or may not be listed on a separate form. For districts, landscapes, and rural complexes, more than one photograph will probably be needed to visually document the property and its constituent elements. Additional photographs should be sequentially attached to continuation sheet(s).

3.3.5 Interiors

The HPO realizes that documentation of interiors may be hindered by lack of access, therefore this is not a requirement for all intensive surveys. However, for some properties, such as public or institutional buildings, interiors may be key to the building’s character. When appropriate and feasible, recordation of publicly-accessible interior spaces is strongly encouraged. Interiors should be recorded through text and graphics.

A reasonable effort should be made to identify and record significant interior spaces and floor plans in the following cases:

- **WPA-era Public Spaces**
- **Public or Private Spaces with Unique or Exceptional Materials, Finishes, Hardware, or Treatments**
- **Buildings with Unique or Exceptional Floor Plans**
- **Buildings Where a Floor Plan or Other Interior Features May Reveal Information Needed to Determine Age, Significance, or Integrity**
- **Buildings Where the Primary or Only Significance Lies With Its Interior Materials, Finishes, Hardware, or Treatments**
- **Buildings Built Before 1840**
- **Large Urban Post Office Lounges**
- **Train Stations**
- **Banks**

*Interior Staircase. The Claridge Hotel, Atlantic City, Atlantic County.*
3.4 IDENTIFICATION AND EVALUATION

Intensive-level surveys require an evaluation of each property’s eligibility for inclusion in the National Register of Historic Places. Evaluation of a property’s significance, integrity, and National Register eligibility completes the survey forms and should be included in the survey reports. This evaluation is usually made by applying the National Register criteria and criteria considerations to each property in the survey scope, and should be completed on an Eligibility Worksheet as outlined in Section 1.5.

Regulatory-survey reports should also include a section assessing the effects of the proposed project on eligible properties in the APE. (See Section 3.1.2.2 for guidance on delineating an APE, and Section 3.4.6 for guidance on assessing impacts).

3.4.1 IDENTIFICATION PRINCIPLES

The following identification guidance, reprinted from Introduction to Federal Projects and Historic Preservation Law, was developed for identifying properties in Section 106 surveys, however, most of the principles may be broadly applied to planning surveys and other regulatory work.

Agencies should observe the following basic principles when determining what kind of identification effort is appropriate for a specific undertaking:

1. Identification efforts should be consistent with national historic preservation policy.
2. Identification efforts should be reasonable with reference to the nature of the undertaking and its likely effects.
3. An agency’s program for identification should provide for consulting authorities and for resolving disputes over methods and approaches.
4. An identification effort should make use of and build on existing information and on methods agreed upon or used during previous such efforts.
5. An identification effort should be multi-disciplinary. 16

3.4.2 INFORMATION NECESSARY TO EVALUATE SIGNIFICANCE

For both planning and regulatory surveys, surveyors should research and document a property carefully. Any missing or suspect information should be so identified to avoid confusion and misinterpretation. In some cases, when a property is being evaluated for associations with events that have made a significant contribution to the broad patterns of our past, or for associations with the lives of persons significant in our past, additional levels of information may be necessary, such as tax records and/or biographies of a property’s owners or occupants. This information would document a person’s or event’s connection to the property.

For regulatory surveys, additional information may be necessary when its appears that potentially eligible or eligible properties may exist adjacent to, or outside of, the study area and might be affected by the proposed project. In which case, the study area may have to be redrawn.

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3.4.3 National Register Criteria and Criteria Considerations

The National Register criteria and the criteria considerations are the standards used to determine a property’s National Register eligibility. However, other standards for eligibility or significance may exist, for example, a local municipality may adopt its own standards. Usually, these local standards are based on the National Register criteria. The National Register criteria and criteria considerations judge “the quality of [a property’s] significance in American history, architecture, archaeology, culture, and engineering [as it] is present in districts, sites, buildings, structures, and objects that possess integrity of location, design, setting, materials, workmanship, feeling, and association...”

Because assessing a property’s eligibility is a large part of the evaluation effort, the HPO recommends that surveyors use the established standards provided by the National Register criteria and criteria considerations. However, for purposes of local designation, local ordinances may establish alternative criteria for evaluation. The methods used for measuring eligibility, regardless of their source, should be explained in the survey report, preferably in the research design.

For Section 106 regulatory surveys, the law requires that the National Register criteria be used: “...the Agency Official shall apply the National Register criteria to properties that may be affected by the undertaking...”

The National Register criteria and criteria considerations are available from the HPO upon request.

3.4.4 Integrity

Integrity is the ability of a building, site, structure, district, or object to convey its historic significance. A property has integrity if the key character-defining physical features and unique characteristics have survived. Generally, integrity is considered to be the retention of those essential characteristics and features that enable a property to effectively convey its significance.

Integrity is different than a property’s physical condition. For example, a house may have all of its original features and style-defining elements, but be in the poorest possible state of repair. This building would have integrity, despite its physical condition. At the other extreme, a house in excellent physical condition that has been extensively and insensitively remodeled (which may involve the removal of its significant architectural features) may be in excellent physical condition, but have lost its integrity.

In short, a property has integrity if the physical components of the property can or still convey its significance. The property can convey its significance through several, and usually most, of the seven aspects of integrity that the National Register criteria identify: location, design, setting, materials, workmanship, feeling, and association. Determining which aspects of integrity are most important to a particular property requires a thorough understanding of all facets of the property’s history. National Register Bulletin 15 best describes how they are applied in determining integrity for districts and individual properties.

While the seven aspects of integrity serve as good guidelines for the different considerations that go into evaluating integrity, the issue may be simply put:

- what were the key character-defining characteristics of this property during its period of significance,
- what are the unique and distinguishing features that make this property special,
- which of these features or characteristics survive?

Foot Scaper, Bernards Township, Liberty Corners Historic District, Somerset County.
Responses to these questions will vary depending on the type of property being assessed. These three integrity questions should be used as the guidelines for any discussion or evaluation of integrity. Use them to identify the character-defining features that must be visible and present to sufficiently represent the property’s historical significance. Then, determine whether the essential physical features are present to a degree sufficient to convey that historic significance. Finally, determine the aspects of integrity that are vital to the property. These issues of integrity are applied to resources that are individually evaluated, as well as to those located in historic districts.

When discussing the integrity of a property, the evaluation should state how the particular property meets the integrity requirements for its type. When a property is determined not to meet National Register eligibility criteria due to a loss of integrity, the evaluation statement should focus on:

1. the kinds of integrity expected for the property type,
2. the features or aspects that are absent from the property, and
3. the impact of these absences on the property’s ability to exemplify architectural, historical, or research significance, within its appropriate historic context.

### 3.4.5 Eligibility

A property’s eligibility is communicated through a statement of significance. When assessing a property’s eligibility and writing a statement of significance, definitive positive or negative opinions should be issued, as outlined in the “Secretary of the Interior’s Standards for Evaluation.” Intensive-level evaluations should avoid declarations of “potential” eligibility whenever possible. In general, an intensive-level survey will reach a decision on eligibility unless funding constrains primary research, thereby rendering a judgment difficult.

### 3.4.5.1 Writing a Statement of Significance

The statement of significance should be a concise, well-argued discussion about a property’s eligibility for the National and/or New Jersey Registers and the property’s integrity. The statement of significance should contain three parts:

- A summary paragraph about the property’s significance. Highlight specific associations and characteristics through which the property has acquired significance; specific ways the property meets a certain criteria; and the role(s) of important people or cultural affiliations
- Supporting paragraphs that discuss the history of the property, focusing on those historical associations that make the property eligible for the National Register. This should present and discuss, when necessary, the chronological and historical developments of the property.
- Supporting paragraphs which discuss the historic contexts and trends related to the property.

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Statements of significance on survey forms are much briefer than those on National Register forms, but they should address the same issues. In cases where surveyors have assessed a property as not eligible because of a lack of integrity or significance, a rationale or justification for this conclusion should be provided.

### 3.4.5.2 Historic Districts

For both planning and regulatory surveys, part of the process of evaluating eligibility may include delineating boundaries of eligible historic districts. According to the National Register definition, “a district possesses a significant concentration, linkage, or continuity of sites, buildings, structures, or objects united historically or aesthetically by plan or physical development.”

These districts may be commercial, residential, agricultural, industrial, archaeological, or institutional, or a combination of these. More than one type of district can exist in one survey or project area.

**It is also important to note that:**

A district may also contain individual properties that although linked by association or function were separated geographically during the period of significance, such as discontiguous archeological sites or a canal system with manmade segments interconnected by natural bodies of water. A district may contain discontiguous elements only where the historic interrelationship of a group of properties does not depend on visual continuity and physical proximity.

Delineating historic districts also includes the identification of contributing and noncontributing properties. According to the National Register:

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A **Contributing** building, site, structure, or object adds to the historic architectural qualities, historic association, or archeological values for which a property is significant because a) it was present during the period of significance, and possesses historic integrity reflecting its character at that time or is capable of yielding important information about the period, or b) it independently meets the National Register criteria.

A **Noncontributing** building, site, structure, or object does not add to the historic architectural qualities, historic associations, or archeological values for which a property is significant because a) it was not present during the period of significance, or b) due to alterations, disturbances, additions, or other changes, it no longer possesses historic integrity reflecting its character at that time and is incapable of yielding important information about the period, or c) it does not independently meet the National Register criteria.

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23 Ibid., 16.
3.4.6 Assessment of Impacts

This component is only necessary for regulatory surveys. This section should not be included as part of an intensive-level planning survey.

Some type of impacts assessment is frequently required by law when considering a project’s or undertaking’s influences on eligible properties. An assessment of impact should include a discussion of the positive and negative impacts of a project on a property. The impact assessment may be submitted separately for projects that involve a large number of resources and for which identification is complex, or where project planning has not advanced to a point where impacts can be reasonably foreseen. An impact assessment is only needed when eligible properties have been identified.

3.4.6.1 The Section 106 Model

Section 106 of the National Historic Preservation Act of 1966, as amended, clearly sets out a process for assessing the impacts of a project on historic properties. Although many other laws and regulations have the same focus and intent, they do not use the same language. When interpreted broadly, the guidelines established for Section 106 surveys regarding impacts can be applied to other regulatory situations. The following section offers guidance on determining effect and considering project alternatives, and is excerpted from Introduction to Federal Projects and Historic Preservation Law: Participant’s Course Book. 24

For more information on assessing impacts and alternatives, contact the Advisory Council on Historic Preservation:

Advisory Council on Historic Preservation
1100 Pennsylvania Ave., NW
Suite 809
Washington, D.C. 20004
(202) 606-8505

3.4.6.1.1 Determining Effect in Section 106

Making determinations of effect and no effect

Section 106 says that agencies will take into account the effects of their undertakings on historic properties. To do so an agency needs to be able to determine

- What constitutes an effect on a historic property, and
- How to reach a formal determination of effect

Council regulations define “effect” in two parts:

- The criteria of effect [36 CFR § 800.9 (a)], which determine whether there will be an effect; and
- The criteria of adverse effect [36 CFR § 800.9 (b)], which determine whether an effect is harmful.

In theory, an agency first determines whether there is any effect and then, if there is, it determines whether the effect is adverse. In reality, the two determinations are usually made at the same time, but to understand them clearly, we need to consider them in sequence.

**Criteria of Effect**

Effect occurs when an action

- Alters the characteristics of a property that may qualify it for the National Register; or
- Alters features of a property’s location, setting, or use that contribute to its significance.

The regulations state the criteria of effect as follows:

> An undertaking has an effect on a historic property when the undertaking may alter characteristics of the property that may qualify the property for inclusion in the National Register. For the purpose of determining effect, alteration to features of the property’s location, setting, or use may be relevant depending on a property’s significant characteristics and should be considered. [36 CFR 800.9 (a)]

**Points to remember.** When applying the criteria of effect, remember that:

1. An effect does not have to negative to be an effect. If the undertaking will change the relevant characteristics of the property at all, it will have an effect. Therefore, even a beneficial effect is nevertheless an effect.

2. On the other hand, to have an effect, the undertaking must have the potential to “alter characteristics of the property that may qualify [it] for inclusion in the National Register.” If the undertaking will alter the property in some other way, there may not be an effect for the purposes of Section 106. Therefore, it is critical to understand why the property is significant and what elements of the property contribute to that significance.

3. The potential alteration does not have to be a certainty; as long as the undertaking may alter the relevant characteristics, it must be found to have an effect.

4. All possible effects of an undertaking on historic properties are to be considered under Section 106, including visual effects and effects on land use.

5. The agency should consider not only the changes that may occur at the time of the undertaking, but also those that may occur later in time.

6. Effects do not need to be direct and physical. For example, altering the way an eligible place of traditional cultural importance to a community, tribe, or other group is used has an effect.

**Criteria of adverse effect**

Once an agency has determined that an undertaking will have an effect on historic property, it determines whether or not the effect will be adverse by applying the criteria of adverse effect:

- Destruction or alteration,
- Isolation from or alteration of environment,
- Intrusive elements (visual, audible, or atmospheric),
- Neglect, and
- Transfer, lease, or sale of property...
Examples of adverse effects

The Section 110 Guidelines set forth the following examples of adverse effects:

- Impacts that cause degradation and/or loss of those characteristics that make a property eligible for the National Register, including the introduction of physical, visual, audible, or atmospheric elements that are out of character with the property and its setting;
- Adverse effects resulting from natural forces or vandalism;
- The effects of disclosure of information to the public relating to the location or character of properties that may be historic, particularly archeological sites...; and
- Secondary or indirect impacts resulting from associated activities induced or promoted by the proposed action on the property. [The Section 110 Guidelines, subsection-by-subsection guidance for Section 110(a)(2)]

Some factors to consider in determining adverse effects

The Section 110 Guidelines recommend considering the following factors when determining adverse effects:

- Duration of effects;
- The relationship between local short-term uses of the property and the long-term preservation and enhancement of the property, indicating to what extent long-term consideration of preservation and enhancement are foreclosed by any proposed action; and
- The likelihood of unexpected discoveries of significant resources. Special consideration should be given to the likelihood that such discoveries will be made after an agency’s undertaking begins, particularly if environmental conditions are such that it is impossible to identify all historic properties before the action begins (for example, where sediment accumulation may have buried archeological sites). [The Section 110 Guidelines, subsection-by-subsection guidance for Section 110(a)(2)]

3.5 Reporting

The reporting component of an intensive-level survey is as important as the field work and background research. The report organizes information collected on the forms, as well as the forms themselves, and presents this information, along with the surveyor’s evaluations of the properties and, if applicable, an assessment of a project’s effects (for regulatory surveys only). The following sections are reporting guidelines for intensive-level reports including suggestions about report content, illustrations and format. Completed surveyor’s reports will be accessioned in the HPO report library.

3.5.1 Report Sections

The major components of an intensive-level survey report are:

<p>| Introduction: | in addition to the types of information normally included in an introduction, this section should also include a discussion of existing data on the survey or project area and individual properties within those areas. |
| Research Design: | the research design introduces and discusses the objectives, expected properties, methodology, and expected results of the survey. Instructions for writing the research design are included in Section 3.1.1. |</p>
<table>
<thead>
<tr>
<th><strong>Justification of Survey Boundaries and Scope:</strong></th>
<th>the report should clearly illustrate, in narrative form, the boundaries for the survey area, and the reasons why they were chosen, as well as any constraints.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Historical Context:</strong></td>
<td>this section should set the appropriate context(s) for discussion of the properties. For an intensive-level report, this section features a historical narrative that addresses contexts that are significant to the survey area or APE. It also includes an environmental description such as the topography of the survey or project area and surrounding areas. Finally, this section should summarize the types of properties found and describe pertinent distribution patterns, if any.</td>
</tr>
<tr>
<td><strong>Data Summary:</strong></td>
<td>in this section, the surveyor presents the information gathered during field work, evaluates the National Register eligibility of the properties within the survey or project area, and provides a rationale for that evaluation. Also included here should be a discussion of historic district boundaries and contributing and noncontributing structures.</td>
</tr>
<tr>
<td><strong>Effects and Alternatives:</strong></td>
<td><em>this section is only necessary for regulatory surveys.</em> Here, surveyors should outline the impacts of a proposed project on any historic property(s) that may exist in the project area. Alternative ways to accomplish the purpose of the project may be included.</td>
</tr>
<tr>
<td><strong>Survey Forms:</strong></td>
<td>this section includes the completed forms for the surveyed properties.</td>
</tr>
</tbody>
</table>

### 3.5.2 Sample Outline for an Intensive-level Survey Report

The following outline should be followed for any architectural survey report completed for intensive-level survey activities. These reporting guidelines are recommended for regulatory-driven reports and required for any survey projects funded by the HPO.

**Title Page**

Title and location, including municipality(s) and county(s).

Author(s), including contributors.

Agency and/or client to which the report is submitted.

Contract number or HPO grant number, when appropriate.

Date of report submission or completion.

**Acknowledgments (optional)**

**Management Summary**

This summary should be limited to one or two pages and may be presented in outline or bullet form.

Location, size, and boundaries of survey areas description. Project area description should include U.S.G.S. Quad names, municipality and county names, survey boundaries, and approximate square miles.

Review Authority, if applicable.

Summary. Results should include the major facts of the report. For example, the number of properties surveyed and the number found eligible. For planning surveys, this number should be the number surveyed at the reconnaissance-level and intensive-level.

For Regulatory Surveys Only: evaluations and impacts. This section should include a brief assessment of the overall effects of the proposed project on eligible resources.

Location(s) where copies of this report are maintained on file, such as HPO, local library, et. al.

Table of Contents

List of Figures, Plates, and Tables

Be sure to include a reference to the base map for the survey area.

Introduction

Project purpose and goals, such as a summary of the scope of work, including local designation, zoning and permits as known.

Project administration and contracting agency.

General description, including project location, approximate number of field hours, and environmental conditions and constraints.

Research Design

Objectives.

Expected research materials.

Methodology.

- Description of field and evaluation methods, including rationale and problems or obstacles encountered.
- A discussion of the criteria (and criteria considerations) used for determining significance and effects.
- An estimated percentage of total project area investigated, how this area was determined, the depth of investigation, and how sites and properties were selected or rejected.
- If the intensive-level survey is based on a previously conducted reconnaissance-level survey the methodology for the reconnaissance-level survey should be incorporated, in an abbreviated form, into the intensive-level methodology. This helps the reader to fully understand the project from its beginning.
- Discuss any deviations from original methodology, including any voids, inconsistencies, or omissions in survey coverage.
- Specific problems and biases encountered during research.

Expected results.

Setting

Describe the surrounding natural and built environments, including listed or eligible New Jersey and National Register and locally designated buildings, sites, structures, objects, and/or districts in the area. This discussion should also address the urban/rural character of the environment.

Include a brief architectural analysis of the area, its general integrity, and overall physical condition and layout.
Historical Overview

Background research and history should be developed for the area and incorporate the New Jersey historic contexts.

History of survey area, including the results of primary, secondary, and archival research. Include a statement about any previous studies that have been conducted of the study area.

The background research should be detailed enough to identify associations with significant people and events, past and present land uses, etc.

For Planning Surveys: Discuss the architectural history of the survey area. Include discussion of vernacular building forms or technologies, regional or national styles, presence of unusual materials, etc.

For Regulatory Survey: If the survey reveals that there are no eligible properties in the survey area, then the background discussion may be limited to overview of the nature and development in the area and why these properties no longer exist. Also, if some properties have been moved outside the APE, discuss the moves.

Data Summary

Generally, this section should address each building, structure, object, site, and/or district in the survey area fifty years old or older, including exceptionally significant properties less than fifty years old, and discuss their features, level(s) of significance, and eligibility for the New Jersey and National Registers. For large surveys, charts, tables, or other forms of visual analysis can be helpful in analyzing and summarizing the findings.

For Regulatory Surveys Only: If the survey finds that no eligible properties exist, present and discuss the results of the survey including a strong and well-argued rationale for the report findings.

Field Results/Survey Forms

Effects and Alternatives (For Regulatory Surveys Only).

List and discuss the potential direct and indirect effects of the project for each individual eligible site. For this analysis it is important to reiterate the statement of significance for the eligible properties.

Recommended finding of effect (no effect, no adverse effect, adverse effect). If the recommended finding is an adverse effect, then suggested mitigation measures should be included. List and fully discuss all feasible alternatives to the project (if available).

All alternatives must include explicit information regarding cost. If applicable, include supporting cost estimates in the appendix which are referenced to the text.

Provide a clear and well-supported rationale for all alternatives.

Bibliography

All entries should include the source’s repository or location.

Include: maps, archival documentation, interviews (including oral histories), and any pertinent project correspondence.

Appendices

Request for Proposal (RFP) or Scope of work statement.

Supporting documentation (for any and all sections). For Regulatory Survey this should include relevant project correspondence.

Vitae for all authors that indicate appropriate qualifications. Corporate resumes need not be included.

Information on local designation ordinances and authority.
3.5.3 Graphics

Graphics are vital aids to understanding the information presented in architectural surveys. They also form an invaluable visual record. The following guidance will help ensure that graphics are used effectively in the report:

- Illustrations should be integrated into the text and not appended. All illustrations should be correctly keyed to the text and the base map.

- Diagrams of engineered structures (i.e. bridges) should include clearly labeled components.

- Cross section, floor plan, site plan, and profile drawings should include scale, elevation, orientation, location, title (property/historic name, if available), construction date, and illustrator.

- Include a site plan of the complex and/or district that illustrates how buildings are arranged in the landscape and their relationship to one another. Site plans are particularly relevant for agricultural landscapes and industrial complexes.

3.5.3.1 Photographs

- Photographs should be integrated into the text and not appended.

- All photographs should be correctly keyed to the text and the base map.

- The report should contain original black-and-white or color photographs. Color photocopies and Polaroids are not acceptable because they do not offer the graphic clarity necessary for visual evaluation. High quality digital or scanned images are acceptable provided they are at or near the visual clarity of traditionally printed 35mm photographs. Please note that such images will not be accepted if they are not sufficiently detailed. As technology changes, we will revisit these requirements as appropriate.

- Photographs should be a minimum of 3.5" x 5" in size; photographs 5" x 7" or larger may be necessary in some instances for clarity. For example, when presenting an argument about the structural integrity of a building, it may be necessary to incorporate more detailed photographs to illustrate the degree to which a structural element has decayed.

- Photographs should be labeled on the back of the print and on the page to which they are attached. Labels should include the following items:

  Property Name  
  (include historic name if available)  
  Location  
  (county, municipality, street)  
  Name of photographer  
  Date of photograph  
  Camera orientation

Parlor fireplace, Washington’s Headquarters, Rocky Hill, Somerset County.
Contextual photographs illustrating the relationship of the resource(s) to the character/nature of the area should be included. If the report is being completed for regulatory purposes, the visual relationship between the resource and areas of project activity should also be illustrated through photograph(s). Contextual photographs facilitate an accurate assessment of the nature of the proposed changes and their effects.

3.5.3.2 Maps

- A base map, which serves as the overall key for the survey, must be provided.
- Maps should be integrated into the report text and not appended. All maps should be correctly keyed to the text with photographed properties noted.
- All maps should include the scale (i.e. 1:24000). If the map must be reduced, please reduce it with its bar scale.
- Reports should include the survey or project area accurately delineated on a digital ortho-photo quarter quad. U.S.G.S. topographic maps are also acceptable. Surveyed properties should be plotted on the base map. Photographs are acceptable.
- Ortho-photo quarter quads may be obtained from NJDEP Map sales at (609)777-1039 or a variety of World Wide Web sites.
- All maps, including reproductions of historic maps, should include a north arrow, delineation of the project area, legend, map title, bar scale, and year of publication.
- For Planning surveys: properties included in the reconnaissance level survey but not the intensive level survey should also be included on the base map.
- Properties not included in the survey scope and/or determined to have no potential for eligibility should also be included and identified on the base map. This includes vacant areas where properties are absent and/or areas now completely developed or disturbed by modern construction. For example, the five strip malls located along the area of the project undertaking, while rejected in the survey scope or are not eligible because of their age, still need to be located on the map. This negative information is particularly vital when evaluating historic district boundaries.
- Maps should not be reproduced on paper which is larger than 11 x 17".

3.5.4 Intensive-level Report Format

- The entire document, including illustrations and appendices, should be produced on archival-quality bond paper. All text must be letter quality (minimum 600 dpi).
- Avoid attaching images with products like cellophane tape or rubber cement. The HPO recommends 3M Spray Mount, or equivalent.
For regulatory surveys, the HPO recommends that 2 original copies of the report be prepared.

For HPF funded grant projects, the HPO will require one original. A photocopy can be produced for the grantee.

Submitting a digital copy of the report text saved in Microsoft Word format is recommended. Survey form data entered in a digital database may also be submitted.

All citations should follow the format established in the *Chicago Manual of Style*. For reports, footnotes should be used; endnotes and internal citations are not recommended.

Consistency is critical. All dates, property names, and labeling should be the same throughout the entire document. Pagination should be continuous, and attachments cross referenced.

If the report is for regulatory purposes and it is determined through preliminary survey activity by a Federal agency *in consultation with the HPO* that there are no potentially eligible properties in the survey area that require Section 106 or other regulatory review, an abbreviated report may be appropriate (see section 1.4.2).
Section 4

Suggested Reading
Surveyors may find the following sources helpful when completing the architectural survey forms and reports. Most of these sources can be found in the HPO library.


Bertland, Dennis. *Early Architecture of Warren County*.


______. *Railroading in New Jersey*. Associated Railroads of New Jersey, n.d.


*NJER* and National Registers of Historic Places. Available at the Historic Preservation Office, 501 E. State Street, Trenton NJ.


Section 5

Bibliography
5.0 Bibliography


“Procedures Concerning the New Jersey Register of Historic Places” (N.J. 7:4-1.3) *New Jersey Register* (24 N.J.R. 2926).


Section 6

Appendices