



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

SHPO Guidance Point No. 10

January 2015



## INTRODUCTION

The Arizona State Historic Preservation Office (SHPO) annually reviews thousands of documents for compliance under A.R.S. §41-861 et seq., the State Historic Preservation Act (SHPA), and 36 CFR Part 800 (the regulations implementing Section 106 of the National Historic Preservation Act [NHPA]). In order to facilitate historic preservation compliance reviews, the SHPO has created a Survey Report Summary Form (SRSF). The SRSF replaces the previous SHPO Abstract and can also be used as the sole documentation for surveys resulting in negative findings (conditionally). Associated guidance is provided below.

The SRSF is provided as an additional way to streamline the SHPA and NHPA compliance documentation and review processes, and still ensure that the SHPO receives all of the information that is needed to conduct our reviews. Refer to SHPO *Standards for Inventory Documents Submitted for SHPO Review in Compliance with Historic Preservation Laws (Revised, January 2015)*, also known as the *SHPO Survey Report Standards*, for additional guidance and points of clarification, definitions, and terminology.

The SRSF is mostly self-explanatory; however, contact SHPO archaeological compliance staff if you have any questions (602.542.4009). The SRSF is provided in Word format so that fields can be expanded as necessary, or exported into other programs. To enter information, double-click on the gray field box.

## **I. TECHNICAL REPORT SUBMITTALS: THE SRSF IS THE NEW SHPO ABSTRACT!!**

A technical inventory report is required for surveys resulting in the documentation of cultural resources (excluding IOs, as discussed above) and must include an Abstract. The technical report should follow the guidelines outlined in the *SHPO Survey Report Standards (Revised, January 2015)*.

- A. The SRSF is the new SHPO Abstract – there is no conflict with Arizona State Museum (ASM) policy or reporting requirements; as such, include the SRSF as the Abstract in all reports.
- B. Complete and submit Sections I through X of the SRSF for use as the new SHPO Abstract. Also include the signature of the responsible party.

- C. Insert the SRSF at the front of the report. Maps and tables containing sensitive locational data may be included with the SRSF or within an Appendix to facilitate redaction of sensitive locational information.
- D. We recommend agencies and consultants use the SRSF like a checklist to ensure all pertinent information is in the report. It is hoped that this effort, if followed appropriately, will streamline the report preparation and review times.

**Note:**

Continue to use a modified SHPO Abstract (2012 version) for non-survey reports, e.g., Class I overviews, monitoring, testing / data recovery projects.

## **II. SUBMITTAL OF SRSF AS STAND-ALONE DOCUMENT: NEGATIVE FINDINGS**

- A. The SRSF (and its attachments) is the only required documentation for surveys resulting in negative findings and a recommendation of “No Historic Properties Affected,” with one exception (*see* II.B, below). An inventory results in a “negative finding” if no sites, structures, buildings, objects, or districts are present in the area of potential effects (APE), and the project would result in a finding of “No Historic Properties Affected.”
  - a. Note that isolated occurrences (IOs) are not a property type and therefore are not generally eligible for the Arizona / National Register of Historic Places (ARHP / NRHP).
  - b. Some IOs may be eligible (and likely more appropriately classed as an object), and any IO that is considered an historic property (*i.e.*, ARHP / NRHP eligible) requires preparation of a technical inventory report.
  - c. For additional policy information regarding eligibility evaluations of IOs, please refer to **Appendix B** in the *SHPO Survey Report Standards* (Revised, January 2015).
  - d. IOs must be depicted on a scaled 7.5' topographic map (1:24,000 / 1 inch = 2,000 ft) and summarized in a table.
- B. At this time, the SRSF cannot be used in place of any Arizona Antiquities Act (AAA) reporting requirement or ASM policy due to ASM permitting and compliance responsibilities. **Do not use the SRSF for documenting negative surveys (stand-alone document) if your project involves an AAA permit.**
- C. Submittal of the SRSF for surveys resulting in negative findings otherwise applies to non-collection surveys of any size (*i.e.*, no acreage restrictions), and has been approved for use by many agencies (*see* Appendix A).
- D. Project location (project vicinity) and land jurisdiction maps are required; refer to the *SHPO Survey Report Standards* (Revised, January 2015).

- E. Complete the SRSF in its entirety (as appropriate); do include a report title (Section I of the SRSF).
- F. Background research results must be presented in the tables provided, and illustrated on 7.5' topographic maps (1 inch = 2,000 ft). (See 2014 *SHPO Survey Report Standards* (Section 3.c.) regarding federal land jurisdiction outside of the APE.)
  - a. Previous survey, tabular data. Full citations are required only for those projects within the APE (direct and visual APE for FCC projects).
  - b. AZSITE screen shots may be used when submitting the SRSF for surveys with negative findings, as indicated below. Note however, that AZSITE data entry and spatial information is not necessarily up-to-date; additional information that may be available to you will only be provided with formal record search requests to the Arizona State Museum. Such additional information should be described on the SRSF and note that it is not yet available on AZSITE's GIS layer.
    - i. Depict and label the APE and show the buffered study area.
    - ii. Submit separate maps, in color, for projects and surveys. All surveys and cultural resources must be labeled (AZSITE labels are acceptable).
    - iii. Add appropriate caption and scale (1 inch = 2,000 ft). Do not reduce the maps.
  - c. Copies of General Land Office (GLO) or other historic maps should be included if cultural features depicted on the maps within the APE are identified during the survey; alternatively, the features may be added to the topographic map showing research results.
  - d. If background/archival research indicates that previously recorded sites are situated within the APE, but these resources could not be re-located during the current survey, specific methods used in the attempted re-location must be documented on the SRSF.
  - e. Use of aerial photographs depicting project and site locations can be provided in addition to topographic maps, as appropriate, but not as a substitute for them.
- G. No overview photographs necessary.

## SUMMARY

Pursuant to 36 CFR § 800.11(a), the SHPO is resolved to improve the quality of those reports that are below or barely meeting expectations for professional adequacy. Thus, we strongly encourage use of the SRSF and SHPO Report Standards, which have been recently updated (2014) with information pertaining to background research, ARHP/NRHP eligibility requirements, and important definitions of key terms. We believe that use of these resources should reduce SHPO requests for additional information (often resulting in the need for report revisions), and thus potentially the time needed for consultation (the mandated 30-day SHPO review period starts over with each new submittal). The SRSF replaces the old SHPO Abstract and can be used as the “report” document for negative findings if an AAA permit is not involved. As such, these tools are intended to help you balance the business of archaeology with the requirements for historic preservation compliance.

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Approved by James W. Garrison, State Historic Preservation Office

## APPENDIX A

### **List of Agencies Approving Use of the SRSF for Negative Surveys (DO NOT USE IF AAA PERMIT IS REQUIRED) (Check periodically for updates)**

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