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GUIDANCE ON EFFECTIVE ARCHIVAL RESEARCH IN THE EVALUATION OF NATIONAL REGISTER ELIGIBILITY STATUS OF ARCHAEOLOGICAL SITES

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GUIDANCE ON EFFECTIVE ARCHIVAL RESEARCH IN THE EVALUATION OF NATIONAL REGISTER ELIGIBILITY STATUS OF ARCHAEOLOGICAL SITES

1. Purpose.

a. This Public Works Technical Bulletin (PWTB) presents practical guidelines on how to compile archived historical information needed to evaluate archaeological and historical sites for their eligibility for the National Register of Historic Places (NRHP). It is designed for use by cultural resource (CR) and other land managers, archaeologists, and historians who have little or no practical experience in the research of primary documents.

b. Well-conducted archival research can diminish the amount of time needed in field investigation (some of which may be destructive) by reducing field project areas or indicating more productive field investigation techniques. The PWTB's emphasis is on helping such individuals make good use of available time and funds by conducting archival searches efficiently.

c. All PWTBs are available electronically (in Adobe® Acrobat® portable document format) through the World Wide Web (WWW) at the National Institute of Building Sciences' Whole Building Design Guide web page, which is accessible through URL:

http://www.wbdg.org/ccb/browse_cat.php?o=31&c=215

2. Applicability. This PWTB applies to all continental U.S. (CONUS) Army facilities and lands managed by the Corps of Engineers, other federal and state agencies, and civilian lands.

3. References.

a. Army Regulation (AR) 200-1, “Environmental Protection and Enhancement,” 13 December 2007.

b. Appendix I lists additional references.

4. Discussion.

a. The National Historic Preservation Act of 1966 as amended (Public Law 89-665; 16 U.S.X 470 et seq.) requires federal agencies to take into account the effect of their undertakings on historic resources included in or eligible for inclusion in the National Register of Historic Places (NRHP). AR 200-1 prescribes Army policies, procedures, and responsibilities for meeting cultural resources compliance and management requirements. AR 200-1’s scope includes the National Historic Preservation Act (NHPA); American Indian Religious Freedom Act and Executive Order 13007; Native American Graves Protection and Repatriation Act; Archaeological Resources Protection Act, 36 CFR 79; and other requirements and policies affecting cultural resources management.

b. Compliance with the NHPA and AR 200-1 typically requires the agency to identify historic properties within an area that may be impacted by an undertaking and to evaluate those properties’ eligibility for nomination to the NRHP. In cases of properties dating to the historic period, this evaluation often includes investigation of all available, archived information relevant to the site. Archival records include archaeological site forms; reports of Cultural Resource Management (CRM) investigations, historic county atlases and plat maps; tax, census, and probate records; historic photographs; early aerial photographs; journals, diaries, correspondence, and other related (usually unpublished) documents. Such materials are typically scattered throughout many locations, including Department of Defense installations, Corps Districts, and State Historic Preservation Offices; state and local libraries and historical societies; county court houses; and the National Archives in Washington, DC.

c. Many CR management and research staff have some experience in the use of archival records, but many do not have the training and experience needed to make effective use of population and agricultural census, tax, and probate data. Similarly, many researchers are overwhelmed by the uneven quality of genealogical data now available on-line. Archival methodology manuals and articles focus primarily on the creation and management of archival collections and do address archival research methods. A lack of training and preparation for archival research can lead to unsatisfactory results and inadequate evaluations of a resource's NRHP eligibility status. Failure to locate and interpret archived information can also cause researchers to question the value of including such information in subsequent projects.

d. Appendix A outlines the potential benefits of archival research.

e. Appendix B outlines the need and methods for conducting a preliminary evaluation of secondary sources prior to the search for archived information.

f. Appendix C describes the types of primary documents that a researcher may encounter in archival research, types of archival repositories, and the types of documents they contain.

g. Appendix D describes the procedures used at selected archival repositories.

h. Appendix E describes methods the researcher should use in primary text and graphic (map) documents.

i. Appendix F details methods and data sources for genealogical research.

j. Appendix G contains the conclusions.

k. Appendix H lists the references used for this PWTB.

5. Points of Contact.

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APPENDIX A

ARCHIVAL RESEARCH IN CULTURAL RESOURCE MANAGEMENT

Federal law (e.g., the National Historic Preservation Act [NHPA] of 1966, as amended) and implementing regulations (e.g., Code of Federal Regulations, title 36, sec. 800) define requirements and outline a process for the treatment of historic resources that may be affected by federally funded or licensed undertakings. The process laid out in Section 106 of the NHPA typically involves not only an evaluation of the integrity of the physical remains of a resource (an archaeological site, historic building, etc.), but an assessment of its significance relative to its historic context and four well-defined criteria as outlined in The National Register Federal Program Regulations, Criteria for Evaluation (36 CFR 60.4). Such evaluations have already been made for National Monuments and other well-known resources, and are often available in secondary sources (books, articles, and other media designed for the public or research community). Most Cultural Resource Management (CRM) archaeologists and historians, however, do not regularly work on sites with such well-known historiographies. For the thousands of smaller sites around the country, information needed to evaluate their significance is distributed across a range of archived collections of primary documents.

Primary historical sources provide information that was recorded during the period under study, ideally, by individuals with first-hand knowledge. In contrast, secondary sources are compilations and syntheses of information written by others who lack direct knowledge of the events, sites, and people that are their subjects. Secondary sources are often invaluable, but they do not represent first-hand knowledge or “new” information.

Primary sources come in a variety of forms. They can include historic photographs, maps, office documents, maintenance records, supply manifests, tax rolls, probate inventories, census records, newspaper articles, and the personal letters and journals of the people who populated sites. Archaeological site forms and excavation reports, modern aerial photography and other excavation records constitute another class of primary documents that are important in understanding how a site was excavated, which leads to a better understanding of the constraints placed on archaeological interpretation by excavation procedures.

Archival research is a fundamental basis for the interpretation and evaluation of historic sites. Criteria used in National Register of Historic Places (NRHP) eligibility evaluations require documentation to connect sites to important people, artistic styles, or historical events. Primary documents can inform the archaeologist about cultural patterns that help in the archaeological process. For instance, archival research on the burial practices of a particular group may assist the archaeologist in planning and interpreting a geophysical survey aimed at identifying a historic cemetery. Finally, evidence collected in archives routinely helps archaeologists and historians to identify and locate unknown sites and site features.

A recent NRHP evaluation of the Original Cape Canaveral Lighthouse site in Brevard County, FL is a good example of the utility of archival data. It was well known in the region that the original Cape Canaveral Lighthouse (built in 1847) stood immediately adjacent to the shore line and was destroyed by dynamite in 1890 when the Cape Canaveral Lighthouse Station was moved 1 mile inland. The exact location of the original light-house was lost. Archaeologists from the Engineer Research and Development Center, Construction Engineering Research Laboratory (ERDC-CERL) conducted a primary document search over 3 weeks at the National Archives in Washington, DC, and College Park, MD; the Florida State Archive; and the Brevard County Historical Society and public library. Data obtained from cartographic, photographic, and textual sources allowed the ERDC-CERL team to predict the probable location of the lighthouse (Figure A-1). A backhoe cleared the sandy overburden from the site and the foundations of the lighthouse were located 3 meters from the predicted location. The archival research allowed the site to be relocated quickly without the need for costly, large-scale shovel testing or backhoe stripping.

Archival searches for primary documents frequently require substantial effort as resources are usually in different facilities spread across the country. Major archives often reside in large cities, where lodging and transportation costs may be significant. This research often involves examination of hundreds if not thousands of documents that are organized in ways quite different from the reference or lending libraries familiar to most people. Unfortunately, there are few guides to help researchers familiarize themselves with the archival research process. Most university or professional training courses in archival methods focus on creating and maintaining, (rather than searching) archives. There are a very few manuals on archival research methods (Hill 1993), which can be of variable utility (Horan 1995). Occasionally, an individual has the good fortune to work with experienced researchers who can guide them through the process, but this is generally not the case. Researchers typically undertake their first archival research project with little preparation and no clear understanding of what to expect or how to achieve their research goals. In such cases, the research results are often unsatisfactory and can lead to reluctance to include archival research in future projects.

This Public Works Technical Bulletin (PWTB) provides basic non-technical guidance to CRM personnel on how to plan and execute an archival study and covers the following points of information.

- The basic steps needed to prepare for archival research trips.
- The kinds of information that can be gained from various types of documents.
- The locations of repositories where primary documentation will be found.
- The methods and advice on how to maximize research time and increase the likelihood of finding information relevant to the research topic.

All examples contained within this PWTB are derived from the personal experiences and research results of ERDC-CERL personnel since 2005.

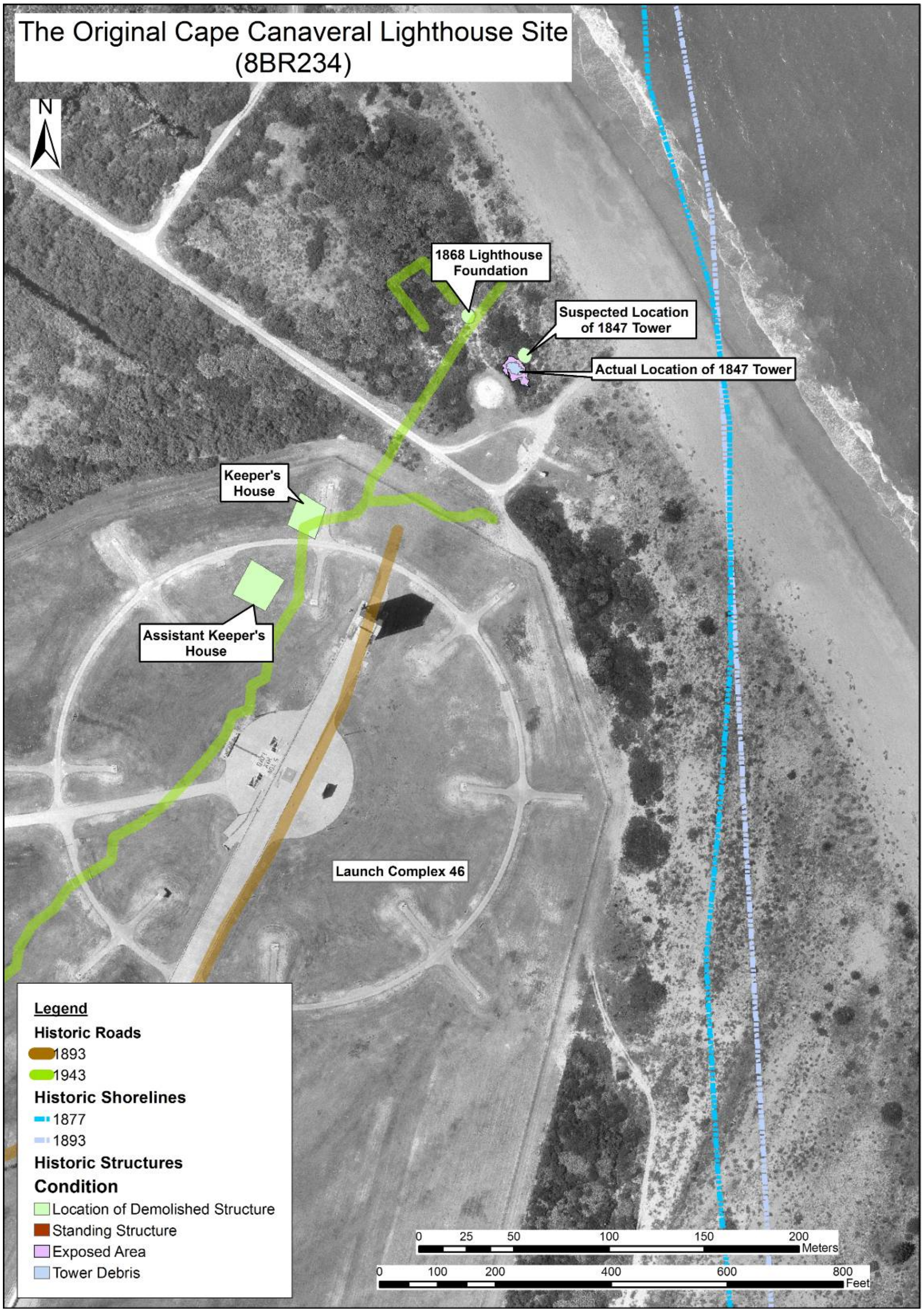


Figure A-1. Cape Canaveral site with projected and actual location of Original Cape Canaveral Lighthouse.

APPENDIX B

PRELIMINARY RESEARCH

It is essential for the researcher to develop a clear idea of the type of information needed to achieve project goals. All archives have developed procedures and policies designed to preserve the provenance, physical integrity, and order of the original document collection (Grigg 1991; Hill 1993). Whereas browsing through books and other documents in an open-stack library can sometimes be productive, that approach will not be effective in an archival search. Researchers are rarely allowed direct access to the collections but instead must work through an archivist and the facility’s search tools to identify and request specific document groups. Browsing a collection and encountering valuable documents by chance is almost invariably not an option.

Preliminary research can easily be conducted at the researcher’s regular work place. Utilize the local municipal or university library to acquire general histories of the project area. Resources not available on site may be acquired through inter-library loan or through purchase on the Internet. Internet research is also useful, although it is often difficult to determine whether a web site’s author is a knowledgeable source.

Some of the questions that the researcher should attempt to answer during the preliminary research are:

- When did construction initially occur?
- When and how was the site modified and/or abandoned?
- How was the area utilized prior to construction and since abandonment?
- What agency (federal, state, or local), company, or organization had administration over the site?
- Are any individuals important to the site or region’s development – if so what are their names and particulars?
- What (if any) important events occurred at the site?

Initial research should be relatively broad, but become increasingly focused as one becomes familiar with the topic.

Identify which people, agencies, or organizations had and continue to have responsibility for the historic resource being investigated. This information is necessary to determine which archives to visit, and which records to access while at those archives. For example, the U.S. Coast Guard currently administers the U.S. Lighthouse Services. To conduct an NRHP evaluation of a particular lighthouse, you would need to access Coast Guard records. However, preliminary research into the general history of lighthouses would reveal that, prior to 1852, the Department of the Treasury was the organization responsible for the Nation's lighthouses (National Park Service 2001). If the lighthouse in question was constructed prior to 1852, then Department of Treasury records need also to be accessed.

While conducting preliminary research, pay close attention to the foot and end notes in secondary sources. Properly cited archival documents will describe where the primary documentation on a general topic is located. Preliminary research on Contraband Slave camps at Fort Monroe, Virginia, identified a history of African Americans in nearby Hampton, Virginia (Engs 1979), that devoted a chapter to the Contraband Slaves. This secondary source mentioned that the Contrabands at Fort Monroe were under the jurisdiction of the U.S. Army Quartermaster Department. The National Archives in Washington, DC houses the Quartermaster Department's records, which were used in the archaeological effort to find the cemetery. The American Missionary Association (AMA) ran the Contraband camps in Hampton. Engs' footnotes noted that the AMA archive was housed at Dillard University in New Orleans, Louisiana, though subsequent communication with the librarians at Dillard found that the collection had been transferred across town, to Tulane University.

Researchers should also become familiar with the geographic region of the project area. Identify the current and, in some cases, earlier names of nearby towns, counties, rivers, and mountains. Compile a list of names that may have been used in the past to refer to the property or location being investigated. Primary documents often refer to unnamed places by referencing the surrounding area. By knowing the names of surrounding landmarks, the researcher can guard against misinterpreting or ignoring historic documents relevant to their project. Modern maps are useful as well, as the researcher should be familiar with the appearance of the local landscapes and be aware of what aspects of the modern landscape may be of recent origin, and which are of greater age. Be aware that cartographic resources found in archives could have errant labels or bear no label at all. It is essential for the researcher to be able to identify their project area on a map with no titles or labels.

While conducting preliminary research, determine if any collections are available online. For example, portions of the Library of Congress cartographic and photographic collections are accessible through their web site (http://www.loc.gov). Archives often try to preserve fragile documents by producing microfilm copies, which they may be willing to lend or sell a copy of to a researcher. If a researcher knows of a specific document in an archive, some archivists will send them a copy of the document for a nominal charge, if the document is in adequate condition to be copied. Archival research trips can be long and expensive, so remotely collecting material will diminish the amount of time spent at distant archives and reduce project costs and time commitments.

Throughout the preliminary research, the researcher should generate a list of key terms, names, and dates (Hill 1993), and take that list with them to the archives. The use of relevant terms is essential for requesting useful documents at the archive (see Appendixes D and E). Archival research entails sorting through hundreds (if not thousands) of pages of documents in order to find a few pages relevant to your topic. The list of relevant search terms will reduce the number of irrelevant documents that must be examined.

As the research progresses and you learn more about the subject, the search terms on your list will change. As with any other research project, the goals and focus of the archival research will evolve throughout the project. A recent ERDC-CERL project focused on locating a cemetery opened by the U.S. Army’s 9th Corps near Petersburg, Virginia, during the Civil War. The documentary record associated with the cemetery repeatedly referenced the U.S. Military Railroad, whose track around Petersburg ran very close to the cemetery. The Union Army removed this track in 1865 and its location, like that of the cemetery, was lost to history. It was determined that the best way to narrow the search area for the cemetery was to find the location of the U.S. Military Railroad. The researcher entered the archive expecting to learn only about the cemetery but also gathered much valuable information about the railroad and its engineers.

APPENDIX C

LOCATIONS OF PRIMARY DOCUMENTS

Archival material is available from multiple sources and locations. Preliminary research as described earlier should indicate which archives and document repositories are the most useful for each project. It should never be assumed that all of the documents relating to a particular subject are located within a single repository. Most archival research efforts involve research at national, state, and local archives and repositories. A number of major archives are listed below.

The National Archives

The National Archives and Records Administration (NARA) is the repository for all documents generated by the Federal Government and its agencies. The National Archives is not a single facility but a collection of federally maintained archives, affiliated state archives, and presidential archives and libraries. The most common destination for researchers is the suite of National Archive facilities located in Washington, DC, and College Park, MD. These two facilities are in close proximity and a free shuttle is available for researchers wishing to commute between the two. The National Archives building in Washington houses textual and microfilm records relating to genealogy, American Indians, pre-World War I military and pre-World War II naval-maritime matters, the New Deal, the District of Columbia, the Federal courts, and Congress. The National Archives in College Park houses the cartographic and architectural holdings; the Nixon Presidential Materials; electronic records; motion picture, sound, and video records; the John F. Kennedy Assassination Records Collection; still pictures; the Berlin Documents Center microfilm; and textual records from most civilian agencies from World War II and military records dating from World War I.

The National Archives has the largest collections and some of the most restrictive procedures for researchers to gain access to collection materials (see Appendix D). Nonetheless, NARA staff archivists tend to be well-trained and very helpful. As a result, National Archive facilities, while initially intimidating, are good places for inexperienced researchers to learn how to conduct archival research, though the same is true for non-NARA facilities with adequate numbers of well-trained, patient staff.

Even if the research topic does not fall within the jurisdiction of the Federal Government or the military, the National Archives can provide useful information. For instance, the U.S. Army Corps of Topographical Engineers conducted much of the early cartographic surveys of the United States. The resulting maps are located at College Park, and the textual records (including field survey logbooks) are located at the Washington facility. The U.S. Coast Guard and U.S. Navy conducted extensive surveys of coastal and inland waterways. These maps, also housed at College Park, often include land features as reference points (Figure C-1). Records for U.S. Army Corps of Engineers Civil Works projects will be housed at the appropriate regional archive (see below).

The National Archives facilities and affiliated archives are listed below. NARA maintains an extensive website at www.archives.gov. This site includes an online catalog of the holdings nationwide. This catalog will not replace the finding aids available at each facility, but it does allow the researcher to determine what types of documents are available at the various facilities.

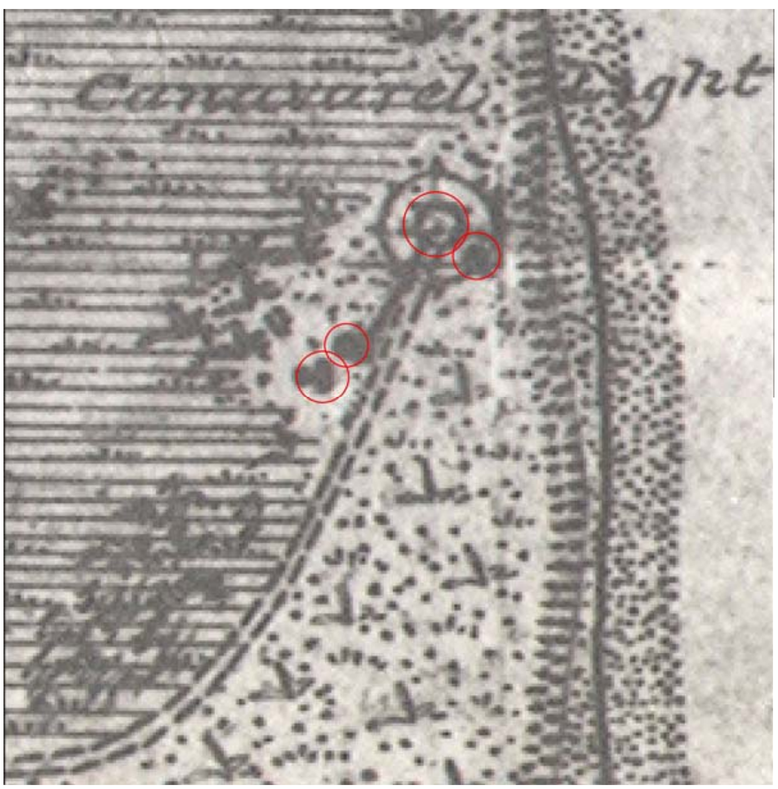


Figure C-1. 1877 U.S. Coast Survey Coastal Topographic Chart of Cape Canaveral and the Banana River. Red Circles indicate features that do not correspond to surrounding topographic markings. (Courtesy of Florida Department of Environmental Protection, Bureau of Survey and Mapping.)

Alaska

- Anchorage - NARA Pacific Alaska Region
  (Archival Research Room, Microfilm Research Room, Records Center Research Room)

Arkansas

- Little Rock - William J. Clinton Presidential Library and Museum

California

- Laguna Niguel - NARA Pacific Region
  (Archival Research Room, Microfilm Research Room, Records Center Research Room)
- Riverside - NARA Pacific Region
  (Regional Records Facility)
- San Francisco (San Bruno) - NARA Pacific Region
  (Archival Research Room, Microfilm Research Room, Records Center Research Room)
- Simi Valley - Ronald Reagan Library
- Yorba Linda - Richard M. Nixon Library

Colorado

- Denver - NARA Rocky Mountain Region
  (Archival Research Room, Microfilm Research Room, Records Center Research Room)

District of Columbia (See also Maryland)

- National Archives Building
  (Archival Research Room, Microfilm Research Room, "National Archives Experience" - The Rotunda, The Public Vaults, The William McGowan Theater, The Lawrence F. O'Brien Gallery)
- The Federal Register
  (Research Room for Federal Register documents only)
- Historic American Building Survey (HABS) and the Historic American Engineering Record (HAER) Division, National Park Service
  (NARA-Affiliated Archives with an Archival Research Room)
- Library of Congress Prints & Photographs Division
  (NARA-Affiliated Archives with an Archival Research Room)

Georgia

- Atlanta - NARA Southeast Region
  (Archival Research Room, Microfilm Research Room, Records Center Research Room)
- Atlanta - Jimmy Carter Library and Museum

- Ellenwood - NARA Southeast Region
  (Regional Records Services Center)

Illinois
- Chicago - NARA Great Lakes Region
  (Archival Research Room, Microfilm Research Room, Records Center Research Room)
- Valmeyer - National Personnel Records Center Annex

Iowa
- West Branch - Herbert Hoover Library

Kansas
- Abilene - Dwight D. Eisenhower Library
- Lenexa - NARA Central Plains Region
  (Records Center Research Room)

Maryland (See also District of Columbia)
- Annapolis - William W. Jeffries Memorial Archives, U.S. Naval Academy
  (NARA-Affiliated Archives with an Archival Research Room)
- College Park - National Archives at College Park
  (Archival Research Room, Microfilm Research Room)
- Suitland - Washington National Records Center
  (Records Center Research Room)

Massachusetts
- Boston - John Fitzgerald Kennedy Library
- Pittsfield - NARA Northeast Region
  (Microfilm Research Room, Records Center Research Room)
- Waltham - NARA Northeast Region
  (Archival Research Room, Microfilm Research Room, Records Center Research Room)

Michigan
- Ann Arbor - Gerald R. Ford Library
- Grand Rapids - Gerald R. Ford Museum

Missouri
- Independence - Harry S. Truman Library
- Kansas City - National Archives at Kansas City
  (Archival Research Room, Microfilm Research Room, Records Center Research Room)

- Kansas City - Kansas City Archives at West Pershing Road

- Lee's Summit - NARA Central Plains Region
  (Records Center Research Room)
- St. Louis - National Personnel Records Center, Military Records at Page Avenue
- St. Louis - National Personnel Records Center, Civilian Records at Winnebago Street

New Mexico
- Santa Fe - State Records Center & Archives
  (NARA-Affiliated Archives with an Archival Research Room)

New York
- Hyde Park - Franklin D. Roosevelt Library
- New York - NARA Northeast Region
  (Archival Research Room, Microfilm Research Room)
- West Point - U.S. Military Academy Archives
  (NARA-Affiliated Archives with an Archival Research Room)

Ohio
- Dayton - NARA Great Lakes Region
  (Records Center) Springboro Road
- Dayton - NARA Great Lakes Region
  (Records Center) Kingsridge Drive

Oklahoma
- Oklahoma City - Oklahoma Historical Society
  (NARA-Affiliated Archives with an Archival Research Room)

Pennsylvania
- Harrisburg - Pennsylvania State Archives, Bureau of Archives & History
  (NARA-Affiliated Archives with an Archival Research Room)
- Philadelphia - NARA Mid Atlantic Region (Center City Philadelphia)
  (Archival Research Room, Microfilm Research Room), Market Street
- Philadelphia - NARA Mid Atlantic Region (Northeast Philadelphia)
  (Records Center Research Room), Townsend Road

Texas
- Austin - Lyndon Baines Johnson Library
- College Station - George Bush Library
- Dallas - George W. Bush Presidential Materials Project
- Fort Worth - NARA Southwest Region
(Archival Research Room, Microfilm Research Room, Records Center Research Room) West Felix Street
- Fort Worth - NARA Southwest Region
(Federal Records Center) Carter Industrial Park

Washington (State)
- Seattle - NARA Pacific Alaska Region
(Archival Research Room, Microfilm Research Room, Records Center Research Room)

West Virginia
- Rocket Center - Allegheny Ballistics Lab

Wyoming
- Yellowstone National Park Archives
(NARA-Affiliated Archives with an Archival Research Room)

The Library of Congress

The Library of Congress houses the largest collection of published material in the United States. It is the repository for all Congressional documents, reports, and documents generated by legislative procedures. It is also the home of one of the largest collections of maps, photographs, and moving picture films in the country. The Library of Congress is located on the National Mall in Washington, DC, open to both researchers and tourists, and maintains business hours similar to all Federal offices.

The Library of Congress has an extensive on-line catalog and is currently converting primary sources (particularly maps and photographs) into electronic files available for download through the Internet (www.loc.gov). The digital online collection, however, is not exhaustive and any trip to Washington, DC, to conduct research at the National Archives should include at least 1 day at the Library of Congress. As with the National Archives, the Library of Congress holdings, particularly maps and photographs, are in the in the public domain and can be reproduced.

The United States Geological Survey (USGS)

The USGS conducts extensive mapping, monitoring, and photographic recording of geologic features throughout the country. Photographic records include both aerial and land-based photographs. The USGS actively distributes its materials to researchers and educators. It maintains one of the largest earth science libraries in the world; whose catalog and many documents are available online at http:/library.usgs.gov/. The collections of the USGS, however, tend to focus on selected parts of the country, meaning other areas receive scant coverage. By way of example, a search for aerial photographs of Kansas produced only two results.

Each state has a local office of the USGS. These offices are often affiliated with the state government or public universities. Local offices often have collections of regionally specific information and may be willing to allow researchers access to their reference materials. Information about USGS regional offices can be acquired from the USGS website at http://www.usgs.gov.

The United States Department of Agriculture (USDA)

The USDA generates and maintains one of the largest databases of historic aerial photography in the country. Many portions of the nation have been repeatedly photographed since the 1930s, and examination of historical aerial photographs may reveal landscape and cultural features obscured by modern construction. USDA maps focus on parts of the country that have an agricultural base. USDA maps are available at the National Archives in College Park or directly from the USDA. The Aerial Photography Field Office is in Salt Lake City, Utah, and researchers can access the collection either in person or through the website at http://www.fsa.usda.gov/FSA/apfoapp?area=apfohome&subject=landing&topic=landing. There is a charge for aerial photographs, which varies based upon the quantity of data, measured in megabytes and gigabytes, requested by the researcher.

Each state, and in rural areas, each county, has a local USDA office. These offices are often affiliated with the local government or public universities. Local offices often have collections of regionally specific information and may be willing to allow researchers access to their reference materials. Information about USDA regional offices can be acquired from the USDA website at http://www.usda.gov.

State Archives and State Museums

Each state has a document repository and archives. State museums often administer and share facilities with the state archives. State archives contain all archived documents relating to the proceedings and business of the state government as well as territorial governments that pre-date statehood. They frequently contain large collections of published and unpublished material relevant to state history. Historic and current state and county maps, including state survey, township, and range designation, and zoning maps are also stored at state archives.

State archives also contain documents relating to notable individuals. For example, while evaluating the NRHP status of the Cape Canaveral Lighthouse, Barnard County, Florida, significant information was found at the State Archives of Florida for Capt. Miles Burnham, the original Lighthouse Keeper and a delegate to the state constitutional convention. State archives also usually contain back issues of the state’s prominent newspapers. Finally, state archives contain documents relevant to events that occurred within the state – even if those events were not official state business. The Library of Virginia in Richmond, for example, houses one of the Nation’s largest collections of documents related to the government of the Confederate States of America.

State tax records are maintained by the archives, either in paper or microfilm format. These annual appraisals of individual financial assets can include information about their assets including land, slaves, buggies, and other items deemed property. The tax records of some states (e.g., Georgia) include information about individual land holdings categorized by land quality. At the very least, the tax records provide a list of residents, which can help track the movements of individuals and families and can provide information on the composition of a community.

Tax assessments consist of personal and real property assessments. To take Illinois as an example, real property (land) assessments show the number of acres owned, the value per acre, the total values of improved and unimproved lands, a legal description of land holdings, and the total tax owed and paid. Personal property assessments refer to the value of possessions other than land, though the states vary on the kinds of property that were taxed. Illinois first gave counties the right to tax in 1827, specifying watches, carriages, livestock (horses, mules, and cattle), slaves, and distilleries as taxable property. Over the years, the state added ships, stocks, money on hand, household furniture, sheep, hogs, safes, patent rights, and manufacturing or agricultural tools (the list goes on) to its definition of taxable items. Tax records provide valuable information on these categories, but one must rely on probate records for lists of other specific items.

States once conducted their own censuses, usually more frequently than the decennial federal census. This practice died out in the late 19th century. Now kept in state archives, these documents describe the settlement and demographic history of individual states and, in some cases, territories prior to statehood. Texas began recording census data in 1835, before it achieved independence from Mexico, and continued to do so during the period when it was an independent nation (Croom 1995).

State Historic Preservation Offices

State Historic Preservation Offices (SHPOs) play a lead role in implementing the NHPA Section 106 process, maintaining records of historic properties, and many other aspects of historic preservation. SHPO offices typically maintain records (standardized forms, maps, survey, and NRHP eligibility evaluation reports, etc.) for archaeological sites and other historic resources. SHPO offices are the primary location to look for documentation related to previous archaeological research within or near a project area. SHPO offices are also a source of information on professional and amateur archaeologists, historians, conservators, and historic preservation groups within the state.

Researchers should contact the appropriate SHPO office prior to conducting archaeological field investigations to determine not only if they possess documentation relevant to the project but also to ensure that their data collection methods and reporting will be consistent with SHPO regulations and procedures. The National Park Service (NPS) maintains a database of contact information for all SHPO offices in the country at http://www.nps.gov/history/nr/shpolist.htm. SHPO offices are often understaffed and have limited facilities. Prior to any visit, contact the SHPO to determine if on-site visits are feasible. SHPO staff may be reluctant to release information on site characteristics and locations, and may require unknown individuals to demonstrate their professional affiliation and the purpose of their research.

County Offices

County government offices maintain records similar to state archives but pertaining primarily to a single county. County offices are the source for Chain of Title records used in documenting past property ownership. Additionally, property zoning and local property taxes are administered on the county level, and these records are stored locally. Accessing collections is often possible by appointment or by visiting the county courthouse.

National Park Services Offices

The NPS maintains geographic and historic information about national parks and adjoining lands. National parks that contain a substantial number of historic or prehistoric archaeological sites often employ a park archaeologist and/or park historian. These individuals are extremely knowledgeable about local history and geographic/cultural topics relevant to their parks. The NPS is orientated toward public outreach and experience has demonstrated that NPS staff members are generous with their time and knowledge. Brief overviews of all NPS locations and contact information are available at the NPS website at http://www.nps.gov. The NPS also has regional archaeological offices to support the parks that do not have their own cultural resources staffs. These offices are based on the NPS regions and include the Midwest Archeological Center in Lincoln, Nebraska, the Southeast Archaeological Center, in Tallahassee, Florida, and the Western Archaeological and Conservation Center in Tucson, Arizona.

University Libraries

The libraries of many universities maintain collections of important primary documents of local, national, or international significance. These collections are often highly focused, sometimes based on research by past or current faculty, and often reflecting the interests of major donors. For example, the special collections department at the College of William and Mary in Williamsburg, Virginia, maintains historic materials on Virginia history between the 17th and 21st centuries, giving special attention to alumni of the College (e.g., Thomas Jefferson, James Monroe, and John Marshall) and prominent Virginia families. Similarly, Grinnell College, a small school in Iowa, maintains archives focused on early Iowa settlement and the cultural and natural history of the region, including a special focus on how settlers adapted to life in the prairies.

Not all areas of focus are determined by geography. Returning to Virginia, the College of William and Mary serves as the depository for the collected papers of former Supreme Court justice Warren Burger, who served as the chancellor of the College. The library maintains the archive as a resource for researchers in legal affairs and legal history.

Finally, special collections departments may maintain rare or historic documents that have been donated through the years. These may have no specific tie to the place or people associated with the university, but are donated in the interest of preserving the material for future generations. The earliest document held by the College of William and Mary is a book by Johannes Gritsch entitled “Quadragesimale” (1479).

Aside from the special collections department, university libraries frequently have more holdings, such as memoirs, locally produced histories, and secondary sources related to the vicinity of their campus than other, more distant, institutions. These holdings can include resources that are not available elsewhere, as the provincial scope of some materials is of limited interest outside of the topical region.

Many college and university libraries maintain a geographic division that archives maps and other forms of spatial documentation. Some of these holdings are being put on the Internet, such as the Gilmer Map Collection at the University of North Carolina, which is a collection of 161 maps of the U.S. South dating between 1861 and 1865 compiled by Jeremy Gilmer, the Confederate Chief of Engineers.

Of significant interest to archaeologists, Sanborn fire insurance maps are often kept in university libraries for the areas around the campus. These maps were created by the Sanborn Fire Insurance Company between 1867 and 1970. They detailed the locations of buildings within a town, denoting aspects of their construction (floors, framings, and roofs), the layout of the buildings, and the purposes to which they were devoted at the time the map was made. The maps also include municipal utilities such as water and sewage. These maps are currently being made available online by University Microfilms Incorporated (http://sanborn.umi.com).

Public Libraries

Local public libraries often maintain collections focused on the local community and its history, and are therefore likely sources for materials unique to that region. Local libraries often contain extensive back issues of local newspapers and information bulletins. Local histories, genealogies, and papers of prominent members of the community are more likely to end up in public libraries than any other institutions. The Brevard County Public Library provided many unique sources relevant to the NRHP evaluation of the Cape Canaveral Lighthouse. The lighthouse was a prominent landscape feature, and its keepers were leading citizens for much of the 19th and early 20th centuries. The local librarian had collected a vast amount of oral history, photography, and documentation about the lighthouse. The memoirs of the original Lighthouse Keeper as well as the only photographs to depict secondary structures at the original lighthouse site and the rail tracks connecting the dock to the lighthouse were among some of the original documents that were located only at the local library.

Public libraries are also likely places to find the archives of local businesses. The Pratt Free Library in Baltimore is home to the archives and corporate library of the Baltimore Gas and Electric Company, which was a valuable resource in understanding the electrical system for the City of Baltimore as an example of a modern power grid. Such information can also be important to archaeologists when trying to interpret archaeological features associated with specific businesses or in understanding how use of a given piece of land changed over time.

Historical and Genealogical Societies

Historical and genealogical societies are another font of information that may be consulted during documentary research. Historical societies can be generally divided into avocational associations formed by historically minded individuals and semi-professional to fully professional private or government organizations that maintain their own staffs and facilities. Avocational groups sometimes curate their own holdings of documents but are much more frequently focused on writing the history of a region using documents from municipal, state, and federal archives. Though they are not professional organizations, they are often a nucleus for those within a community with the keenest interest in, and the greatest knowledge of, local history, often knowing more than any outside researcher could accrue. These societies are valuable resources for understanding the sweep of local history, the accessibility of documents that may still be in private hands, and for making social connections in a community that could yield additional historical information that would be of interest and necessity to the researcher.

More professionalized groups may be organized on a municipal or state level to safeguard documents and historical knowledge on the part of a certain organization or distinct social group. They may maintain a museum and document depository, and can serve as a public face for the community they represent. For instance, the Mosaic Templars Cultural Center was founded in 2001 as a museum and research center within the Department of Arkansas Heritage, a state institution, specifically tasked with studying and interpreting the African American past in Arkansas from the year 1870 to the present. It also educates the public about black achievement in Arkansas business, politics, and art. The Center grew out of a local movement to preserve the building that housed the Mosaic Templars of America, one of a number of black fraternal organizations born during the Reconstruction Era to defend African American communities against the violence of the period.

Other historical organizations operate as museums and maintain both primary documents and material culture associated with the periods and peoples whose memory they seek to preserve. In addition to maintaining resources vital to the research process, they employ professional archaeologists, historians, archivists, and museologists who can provide orientation, guidance, and advice.

APPENDIX D

VISITING ARCHIVES

Once it has been determined which archives are the most likely to contain material relevant to the researcher's topic, some preliminary research should be conducted on the archive itself. Each archive will have a unique set of collections and operating procedures that should be determined prior to reaching the archive. Many archives, particularly national, state, and university facilities, have informative web sites. In other cases, it will be necessary to contact the archive staff by telephone or e-mail.

Operating Hours and Admission

Many archives have operating hours that do not correspond to regular business hours. Smaller, local archives are often staffed by volunteers or part-time workers and, as a result, are open only a few days a week or a few hours a day. Some archives, such as the National Archives, have several days per week when the research rooms are open for extended hours. The researcher should check in advance to ensure that the archives will be open and that a staff member will be available to assist, if necessary.

Some archives, particularly those attached to state or private museums, will require a patron to purchase an admission ticket to gain access to the research rooms. The cost of admission is usually nominal (<$20.00 US) but may have to be paid each day that the researcher visits the site.

Private collections and the collections at small, local archives may be available only by appointment. Appointments should be arranged in writing, no less than 2 weeks in advance of any visit. At larger archives, particularly at the National Archives, some portions of the collection may have limited access and require additional documentation to view. Some collections or documents may need examination and/or declassification by a staff archivist prior to viewing. If there is reason to believe that documents related to a project might be classified, the researcher should again contact a staff archivist prior to any visit to determine if access is even possible or will require additional procedures. Ensuring access to the needed collection prior to the first visit to the archive reduces the amount of time and number of visits needed at each archive.

Accessing the Collection

Most archives do not allow patrons entry into the records stacks. The researchers must use a finding aid (document index, card catalog, online search catalog, etc.) to determine which records to request, request the material, and then wait for an archivist to bring the documents to them. The documents can then be examined in research or reading rooms. The Library of Congress, the National Archives, and most state archives require that a patron apply for a research or library card before they request records. The National Archives also requires that patrons watch a short film about proper handling of archival material when obtaining their researcher card. Other archives rely on staff to instruct the patrons on research procedures and proper document handling. On the first visit to any archive, researchers should have a photo ID, a proof of address, and be prepared to spend up to 1 hour for orientation.

Many archives limit what the researcher may bring or wear into the reading rooms. National and most state archives prohibit outer coats, briefcases or book bags, purses, books, or pens. Archives often, but not always, provide researchers with lockers to secure possessions prohibited in the reading rooms. Bring a pad of blank paper and a pencil but be prepared to leave these at the door. Many archives, including the National Archives, examine and stamp every piece of paper brought into the archive. Archives that limit the papers brought into the reading rooms provide blank paper and pencils for note taking. As our interpretation of history relies substantially upon the documents in these archives, archivists restrict materials brought in so that forged documents do not become part of their collections and thereby affect our understanding of the past (Thompson 2008). Researchers may leave the reading room only after a staff member examines every paper for a stamp, thus ensuring no archived material is removed. The author once observed a researcher who entered the National Archives with a book bag full of notes, computer printouts and photocopied documents. It took more than 1 hour for the guards to examine all of the papers before they allowed the individual to exit the building. The offending researcher was given a stern warning not to return with any research material. Researchers should try to limit the material they bring into the archival reading rooms to a few short pages of condensed notes. Some archives permit the use of laptop computers, though the researcher should check in advance to ensure that they are permitted.

The climate controls in reading rooms are usually maintained at ideal conditions for the documents, not the researchers. The rooms are often cold and underlit. Simultaneously, archives often prohibit researchers from wearing outer garments such as coats, suit jackets or cardigans. Additionally, archival documents are often in poor condition and covered in dust, and decaying bookbinding leather will crumble into powder when moved. Dress as warmly as is permitted and be prepared to get a little dirty.

Finding Aids

Archival collections are catalogued differently than other research material. Instead of organization based on topic, archival practice relies on the doctrines of provenance and original order (Grigg 1991; Hill 1993). Repositories maintain the collections in the groups and order (usually chronological) in which they were received from the original source. In order to enable the researcher to access the collections, repositories create detailed inventories, registers, indexes, and guides to describe the collection. These are referred to as finding aids. Many archives post their finding aides online. Accessing an online finding aid allows the researcher to determine, in advance, how large the collection is, if the documents have restricted access, and in which order to make requests.

If an online finding aid is unavailable, the researcher should contact the repository and consult with a staff archivist. Often a hard copy of the finding aid can be provided by mail or the archivist can provide information on the quantity and type of material available within their collection. Knowing in advance what kind of material is located at a repository allows the researcher to schedule the length and order of visits and maximize research time.

An example in the benefits of accessing finding aids in advance occurred on a recent research project concerning the Civil War U.S. Military Railroad constructed by the Union Army around Petersburg, Virginia, from 1864-1865. The researcher knew from experience and secondary sources that the State Archive and Library of Virginia in Richmond houses one of the Nation’s largest Civil War collections. During initial project planning, the research team budgeted 1 week for research at the archive. After examining the on-line catalog and consulting with the staff archivist, the researcher determined that the collection in Richmond consisted almost entirely of Confederate records and the likelihood of finding material related to a branch of the

Union Army was very small. The author canceled the planned trip to Richmond and redirected the project resources towards more productive avenues of research.

Below is an example from the finding aid at the National Archives in Washington, DC. It describes Record Group 77, Records of the Office of the Chief of Engineers, U.S. Army (http://www.archives.gov/research/guide-fed-records/groups/077.html). This entry describes more than 1,000 cubic feet of documents. Each entry, separated by periods or semi-colons, requires a separate record request.

> **77.2.1 Letters sent and received, 1789-1889**
>
> **Textual Records:** Letters sent, 1812-89, with indexes. Letters received, 1789-1886, with registers and indexes. Summaries of letters received and forwarded to other government organizations ("Papers Referred"), 1839-70, with a register, 1867-70, and indexes, 1856-64, 1867-70. Letters sent and received relating to fortifications, 1866-87, with registers and indexes. Letters sent and received relating to explorations and surveys, mapping, and rivers and harbors, 1865-70, with registers and indexes. Letters sent and received relating to rivers and harbors, 1871-86, with indexes. Letters sent and received relating to accounts and returns, 1866-89, with registers and indexes. Letters sent and received relating to claims, 1865-70, with registers and indexes. Letters received relating to administration, 1886-87, with registers and indexes; rivers and harbors, and public works, 1886-89, with registers and indexes; explorations and surveys, and claims, 1886-87, with registers and indexes; and fortifications, administration, and explorations and surveys, 1888-89, with registers and indexes.

Working with Staff Archivists

Most archives do not allow researchers direct access to the collections (Hill 1993; Harris 2001; Duff et al. 2004). The researcher must rely on the staff archivist to facilitate the work. Staff archivists are often experienced archival researchers and are the most knowledgeable source about the contents and organization of the repository. A recent survey of professional and academic historians found that 85% of the respondents rated archivists as an important or very important aid in their research (Duff et al. 2004). In the same survey, 4% of respondents claimed that unhelpful or obstructive archivists had significantly affected the success of their research. As the archivist can deny access to a collection, it is essential that a researcher establish a good working relationship with archive staff.

A researcher should consult early and often with the staff archivist about the research being conducted. Explain not only your short-term goals within that archive or with a particular record request, but also the overall project goals. Be ready to give a concise but focused summary of your information needs, including what sources you are going to request. Solicit advice from the staff. The archivist may be familiar with sources of information that may not have occurred to the researcher. Be willing to demonstrate the results of the preliminary research as well as enthusiasm for the topic; repository staff will be more likely to assist someone who is well prepared and serious about their research.

The researcher should also demonstrate a professional attitude in regard to the collection itself. Comply with all rules, regulations, and requests concerning conduct and document care. If in doubt about procedures, consult the staff; never assume that because one archive permits a behavior it will be allowed at a different archive. Treat all primary sources as irreplaceable and handle them carefully. Keep documents in their original order and report any misfiled or damaged documents to the staff. Archivists often develop a proprietary or protective attitude to the collections in their care and may be unwilling to allow a careless and disrespectful researcher access to part or all of the collection.

An example of a productive collaboration between a researcher and archival staff occurred on a recent archival research trip to the National Archives at College Park, Maryland. The goal of the research was to locate the World War I-era Zone of Camp Activities and Amusements (a civilian built and run, army-sanctioned commercial and entertainment complex that was a precursor to the modern day Army and Air Force Exchange Services) at Fort Riley, KS. The research design included examination of the records of the Engineers and Quartermaster to find any information on the construction or maintenance of the facility. Examination of those documents produced no results. The researcher solicited the advice of the archivists that resulted in a 30-minute brainstorming session about how the research should proceed. Within hours, four different staff archivists had become interested in the project and were conducting their own record pulls and document searches to assist the researcher. The staff even escorted the researcher into the stacks to demonstrate the nature of the collection in an effort to help refine document requests. The only references to the Zone were found in the records of the Provost Marshal and Surgeon General — two record groups that were recommended by the archival staff.

Time Management

The most important skill in successfully conducting research at the archives is time management. There will always be more documents to examine than there is time to examine them. Many larger archives limit the number and timing of record requests (called pulls) that a researcher can have each day. This information is vital in scheduling trips to archives and should be determined in advance. For example, the National Archives only allows researchers to request documents at specific pull times (1000, 1100, 1330, and 1430 hours Monday – Friday) (http://www.archives.gov/dc-metro/washington/researcher-info.html). Despite the fact that the reading rooms at the National Archives are open until 1700 hours, the researcher must be in the building by 1400 hours in order to request and examine documents. If the researcher cannot arrive at the archives prior to the final pull time, then they should not plan to do any archival work that day. The National Archives does have extended hours and additional pull times on some days of the week during parts of the year. If the time that one can spend at the archives is very limited, it is advisable to plan the trip around the days with extended hours. The days and length of extended hours vary based on available staff, so the researcher should determine in advance the hours of operations.

Archives also generally limit the number of pending pull requests and the size and complexity of each request. At the National Archives, each pull is limited to records contained in a single record group and that can fit on a single library cart. The National Archives allows each researcher only one active pull and one pending pull at a time. In other words the researcher is allowed the results of one pull in the reading room and the results of a second pull may be kept in waiting; the researcher will not be allowed to submit a new request until one of the current pulls are turned in for re-shelving. It can take up to an hour after the request is submitted before the documents are available to the researcher.

The researcher must always be mindful of approaching pull times to prevent a significant loss of research time. For example, let us say that a researcher is working at the National Archives. It is 1045 hrs and the researcher estimates that it will take only one more hour to view the documents left in their current pull. The researcher should stop what they are doing and submit a new document request for the 1100 pull time. They can then return to the examination of the documents in their first pull; the documents from the second pull will be ready at about the same time that they are finished with the documents from the first. If the 1100 pull time is missed, then the researcher will finish with the current pull at 1145, have to wait until 1330 to request a second pull, and then wait until 1430 before he/she can view the documents. The researcher has then lost nearly half a day of research time.

Reproducing Records

The researcher should secure a copy of all original source material that is relevant to his/her topic. Surveys demonstrate that 85% of archival researchers often or always thought it important to get a copy of the original documents (Duff et al. 2004). This is necessary for several reasons. As research projects progress, sources considered unimportant upon original examination may gain new significance. Project constraints (time and budget) may prevent the researcher from revisiting distant repositories to re-examine documents. By obtaining copies of all documents related to the study subject, the researcher can periodically reevaluate the source’s relevance. Time constraints are nearly always a factor in archival research trips. The most efficient use of time is to quickly inspect documents and reproduce relevant documents for later detailed examination. Archival research trips typically involve only a portion of a project team. Reproducing original sources allows other team members to examine and assess the original source material.

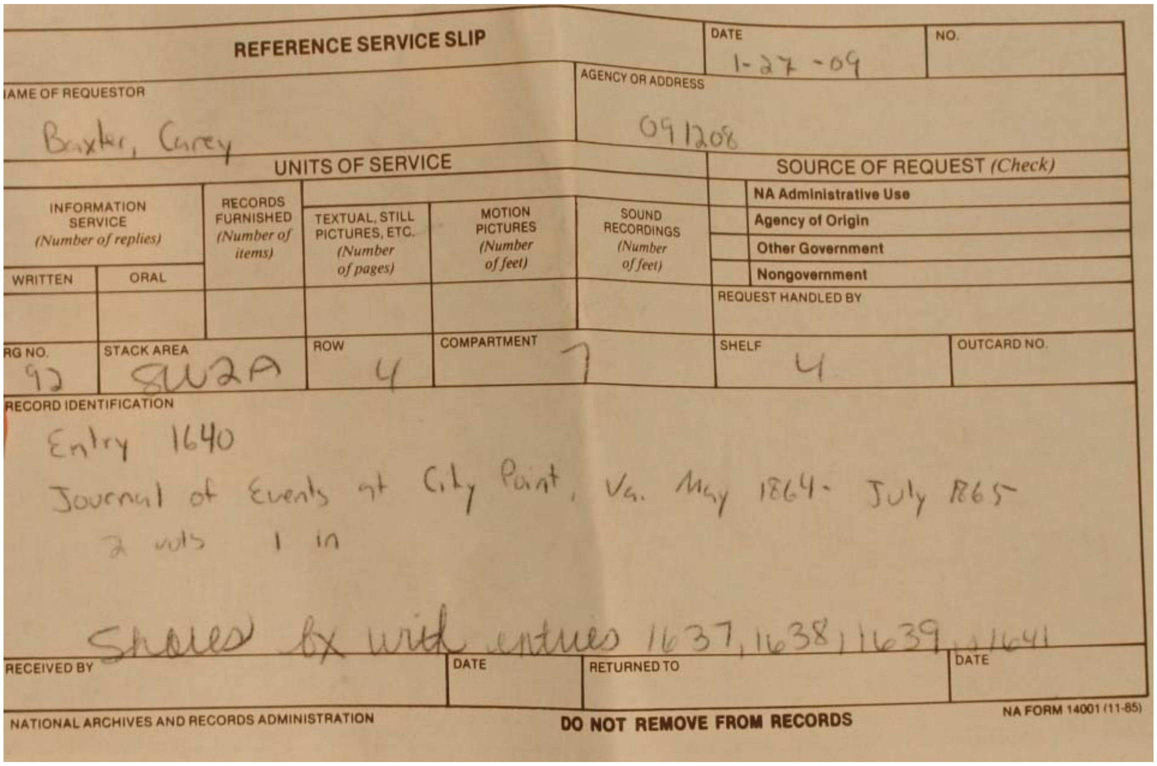
Consult archival staff prior to reproducing any document. Some archives maintain proprietary or copyright privileges over the material in their collection. Some archives combine primary and rare secondary sources but will allow reproduction of only the primary sources. Government documents declassified for visual examination may need additional declassification procedures to be reproduced. Finally, the permitted methods of reproduction may depend on the format of the original material. The National Archives, for example, requires use of different types of photocopying machines to copy bound versus loose documents.

Archives that allow photocopying of documents often have photocopy machines on site. Researchers, however, should never rely on the archives to provide reproduction capabilities. Access to photocopiers may be limited due to malfunctioning equipment or high user demand. Additionally, using on-site photocopying machines may be cost prohibitive. The author once generated a $600 photocopy charge during a 2-week visit to the National Archives.

Many researchers use personal flatbed scanners to obtain copies of documents. The advantages to this method are that the documents are immediately available to the researcher. The researcher may examine the scan and determine if the resolution or color contrast is adequate. If the researcher determines the scan quality insufficient, then corrections can be made and the document rescanned. The quality of a flatbed scan is also not dependent on the ambient lighting conditions. There are, however, significant problems with flat bed scanners. Scanning documents at an adequate resolution may be very time consuming. Scanners require the use of a computer, which in turn requires more desk space (which may be limited), and access to a power source (which may be unavailable). Archives often prohibit scanners with automatic document feeds, and the scanning of bound documents or documents that exceed the size of the flatbed scanner.

Digital cameras are becoming the preferred method of document reproduction. Cameras are quiet, portable, and quick. Digital cameras with interchangeable storage cards can collect hundreds of photographs a day. Rules prohibiting the scanning or photocopying of bound or oversized documents typically do not apply to photographic duplication. Archival reading rooms, however, are often poorly lit and most archives will not allow the use of flash photography. Some archives provide camera stands where a researcher can photograph documents, maps, or photographs under more favorable conditions. Never assume, however, that an archive provides such facilities or that the facilities are available at the needed time. A researcher using photography to reproduce documents should have a small tabletop tripod or camera stand and a remote shutter release mechanism for their camera. These devices allow the researcher to use long exposure time without a blurred image.

In addition to reproducing original documents, the researcher should also reproduce record request documentation (Figure D-1). Primary source documents often look alike and after examining hundreds of documents the researcher may forget where a particular document came from. Document request forms contain all of the information needed for proper document citation. Staff archivists often add notations to request forms providing more detailed information about where a document is located, and this information can save time and effort if documents that were not copied need to be re-examined. Finally, reproducing record request slips creates a record of where information was not found, allowing one to avoid repeating unproductive searches.



REFERENCE SERVICE SLIP

DATE: 1-27-09

NO.

NAME OF REQUESTOR: Baxter, Carey

AGENCY OR ADDRESS: 091208

UNITS OF SERVICE

INFORMATION SERVICE (Number of replies)		RECORDS FURNISHED (Number of items)	TEXTUAL, STILL PICTURES, ETC. (Number of pages)	MOTION PICTURES (Number of feet)	SOUND RECORDINGS (Number of feet)
WRITTEN	ORAL				

SOURCE OF REQUEST (Check)

- NA Administrative Use
- Agency of Origin
- Other Government
- Nongovernment

REQUEST HANDLED BY

RG NO.	STACK AREA	ROW	COMPARTMENT	SHELF	OUTCARD NO.
92	8W2A	4	7	4	

RECORD IDENTIFICATION

Entry 1640

Journal of Events at City Point, Va. May 1864 - July 1865

2 vols 1 in

Shares bx with entries 1637, 1638, 1639, 1641

RECEIVED BY | DATE | RETURNED TO | DATE

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

DO NOT REMOVE FROM RECORDS

NA FORM 14001 (11-85)

Figure D-1. Document request slip from National Archives, Washington, DC.

APPENDIX E

EXAMINING DOCUMENTS

Examining Textual Records

One key strategy to finding archival information is to pull together information from as many relevant documents at a repository as possible. To do this, the researcher will need to request as many documents as they can, requesting documents right up to the end of their available time. There is always the chance that the next pull request will yield critically important information. The goal is, therefore, to request and cursorily examine as many documents as possible.

Many record groups, particularly at national and state archives, consist of thousands of cubic feet of documents. The records generated by businesses and government agencies were originally filed into an organizational system at the time of generation. Knowing the key terms related to the project allows the researcher to utilize the organization in the original filing system to his or her advantage. For example, a recent project involved the Confederate Water Battery on Mulberry Island Point, Virginia. Preliminary research demonstrated that the battery was occupied from 1861-1862 and was constructed and commanded by Col. J. Noland (CSA). At the National Archives, correspondence records of the Confederate Inspector General and Office of the Engineers for the State of Virginia were organized by the first letter of the last name of the sender/recipient and then chronologically. The researcher was able to limit document requests to only those documents filed under “N” for the years 1861-1862. The researcher thereby limited the number of documents requested and increased the chance of finding relevant information.

Historically, originators or recipients of official documents or correspondence often indexed them as an administrative aid. Archives usually allow researchers to request the indexes as a separate record pull from the documents. The indexes are always much easier to examine then the documents they reference. The researcher can quickly examine the indexes and determine which part of the document record group to request. If the index is included within the document pull, the researcher should examine those sections of the record pull first to eliminate the need for examining every document in the record group.

Even if the documents are unorganized, the use of a key term list will aid the researcher during examination of the records. The researcher should not waste time in carefully reading every page of every document they request. Instead, he/she should visually scan each source for the key terms related to the subject (Hill 1993). When examining correspondence or reports, first determine the document’s author or sender, recipient, and date. If the names or dates correspond to any on the key term list, then scan the body of the document text for any additional key terms. Only if key terms are located within the body of the text should the researcher read the entire document carefully. It is possible that, by scanning the information in this way, the researcher will overlook an important document. The overall chances of finding valuable information, however, vastly improve by using the scanning method. Researchers will find that their ability to examine documents quickly and effectively will increase over the course of their research.

Most historical documents are hand written. Depending on the penmanship of the author, the document may be difficult or impossible to read (Figure E-1). In many cases, documents are faded, written on both sides of a page, or the ink has bled through the paper. It is common to find within record groups large groups of documents written or copied by the same author. After looking at an individual’s handwriting for a few hours, it will often become easier to read. If, however, after a reasonable period, the researcher is still unable to decipher the documents, he/she should return the documents and pursue lines of investigation that are more productive.

Documents that have been determined (during a quick scan) to be relevant should be reproduced and then read completely and carefully. Remain aware that archival documents, with the exception of memoirs, were not created to inform posterity. They were created during the course of day-to-day interaction among contemporaries. Authors often refer to but do not explain topics that were familiar to both parties. For example, the internal records of the Baltimore Gas and Electric Company identify historic substations by the street name, not the address. Everyone in the company knew exactly where the substations were and did not need the full address. Long correspondences are often incomplete; only one or a few letters in a long series may survive. The National Archives divides correspondence records from a single government organization into separate entries for letters sent and letters received that must be requested separately (see example of National Archives and Records Administration finding aids in Appendix C subsection “Finding Aids” above). It is therefore impossible to read the correspondence records in the order that they were created.

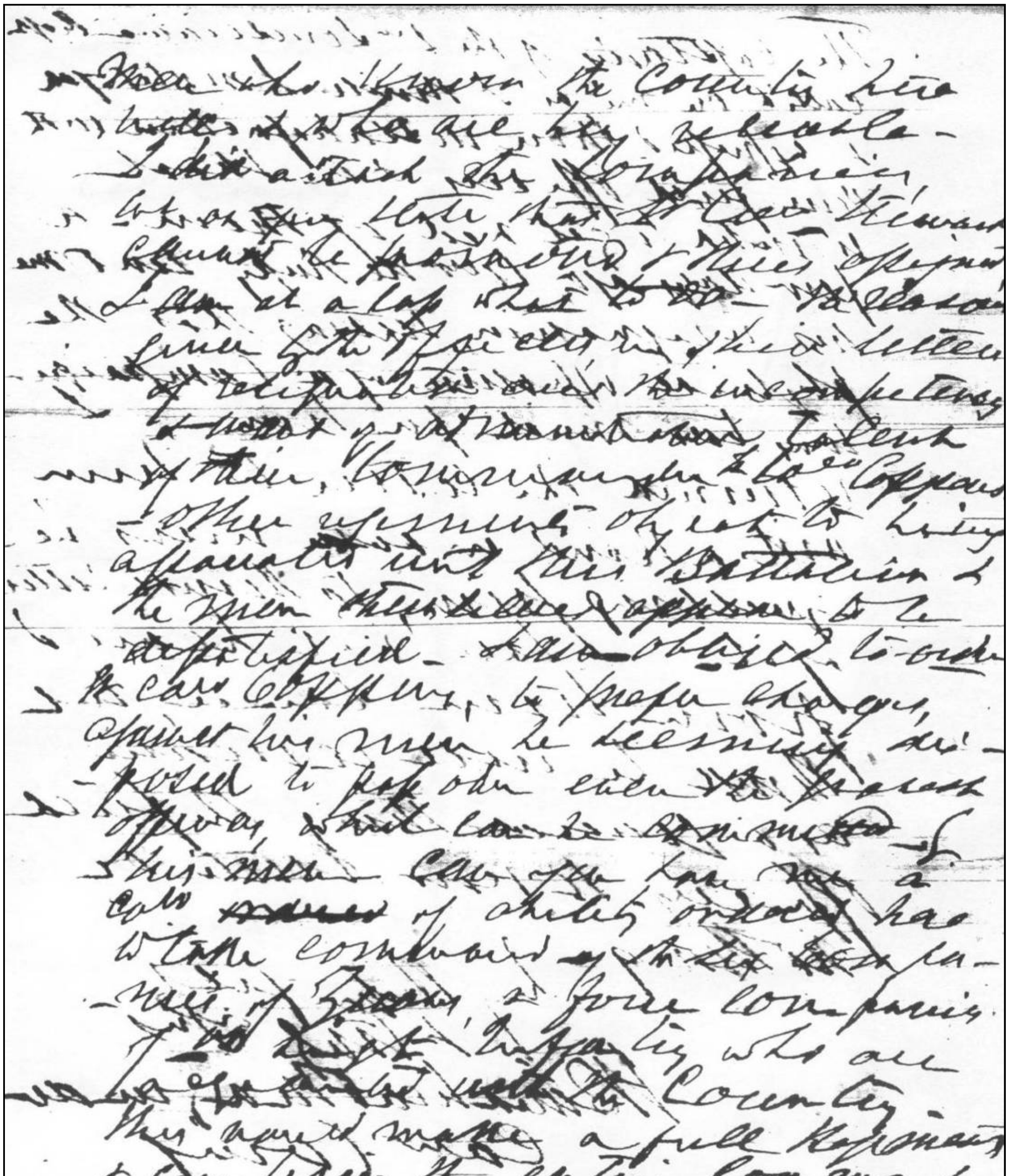


Figure E-1. Portion of a letter dated 22 June 1861 from Gen. J.B. Magruder (CSA) to Gen. Robert E. Lee (CSA). (National Archives and Records Administration, Record Group 109, Entry 128.)

Passing comments within the texts of documents often provide information relevant to research topics. A recent project involved locating the U.S. Army 9th Corps Cemetery on the Petersburg Battlefield, near Petersburg, Virginia. This cemetery, absent from all known period maps, was believed to be near the U.S. Military Railroad Depot known as Meade Station. One reference in a textual document described the station as “behind Fort Steadman, near Meade Station.” This single comment, while not providing an exact location of the cemetery, indicated that the cemetery was on the Fort Steadman side of the military railroad line, reducing the search area for the cemetery by 50%.

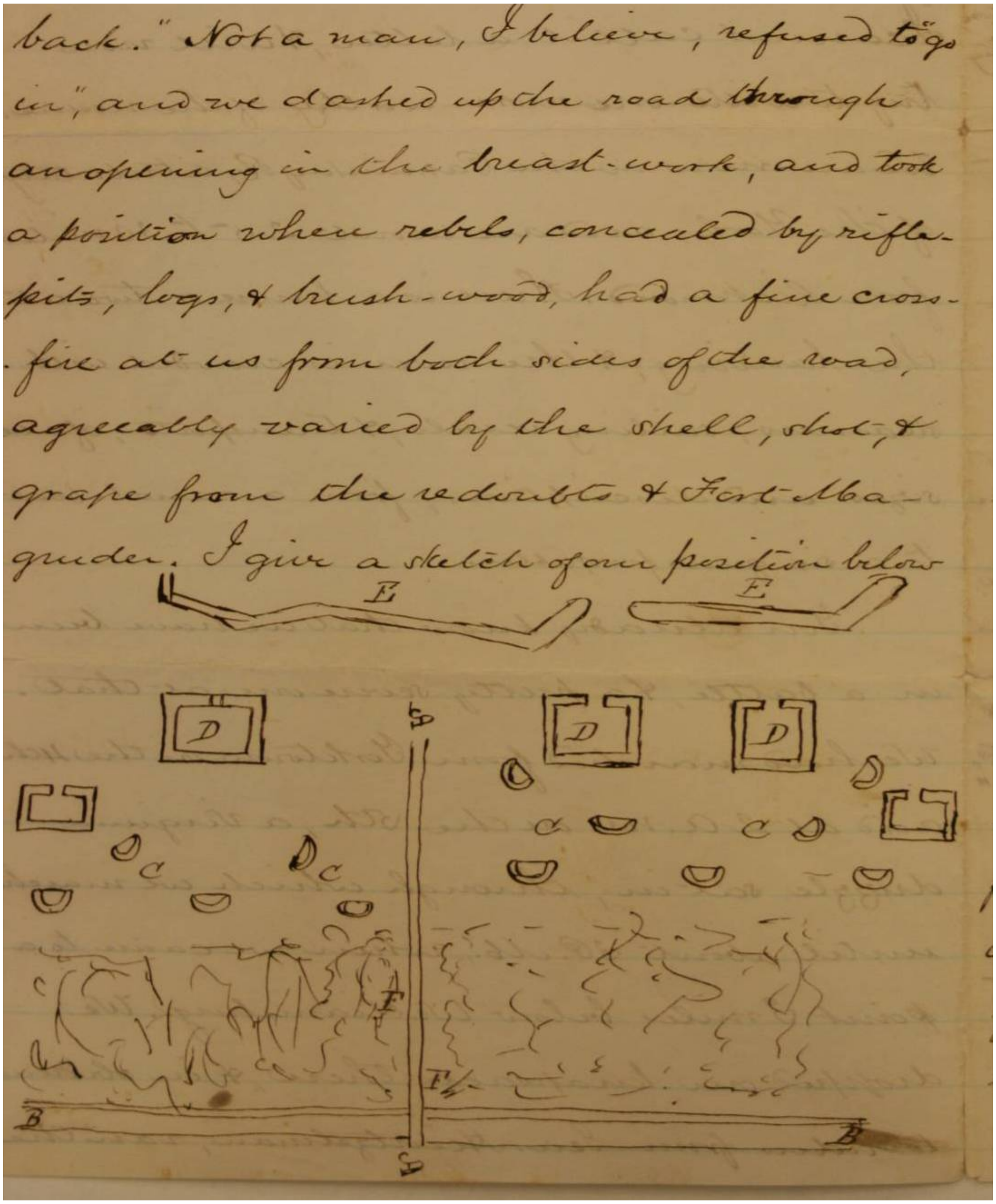
Researchers should be creative in the types of documents they examine. If the research subject concerns the location of a military fortification, the logical first place to look for documents should be the records created by the Army Engineers who built the fort. There are, however, other places to look for information. The records of the Quartermaster Department will describe how the fort was supplied and give some indication of what kind of activity occurred there. The records of the Inspector General will describe the fort’s condition and maintenance. Personnel records and unit histories indicate the size of the garrison. Surgeon General reports describe the health of the garrison, and death certificates will list where soldiers were buried. Personal letters written by the soldiers manning the fort will describe, sometimes including sketch maps, the fort or the events that occurred there (Figure E-2).

Examining Graphic Records

Cartographic, lithographic, and photographic sources can provide important information about the location and configuration of historic archaeological sites and features. These sources can, however, be problematic in a number of ways.

Historic standards of cartographic precision were very different and much lower than current expectations (Bagrow 1966). Surveying and map making was much more labor intensive than now, and historic maps were sometimes based on survey notes rather than metric data. Maps were typically created for a specific purpose, and geographic features that were secondary to that purpose often include significant errors. For example, the inland roads drawn on a Coastal Waterway map created by the U.S. Navy may not have been surveyed or measured by the cartographer.

Recent archival research to locate an 1864-1865 U.S. Military Railroad in use at Petersburg, Virginia, located relevant maps



back." Not a man, I believe, refused to "go
in," and we dashed up the road through
an opening in the breast-work, and took
a position where rebels, concealed by rifle-
pits, logs, & brush-wood, had a fine cross-
-fire at us from both sides of the road,
agreeably varied by the shell, shot, &
grape from the redoubts & Fort Ma-
gruder. I give a sketch of our position below

Figure E-2. Portion of letter from J.H.B Jenkins to Mary Benjamin, 17 May 1862, with descriptions of the Battle of Williamsburg including sketches of the Federal battle positions. (Earl Gregg Swem Library at the College of William and Mary, Special Collections Research Center, Henry C. Hoar Memorial Collection, Accession number 1986-9, Folder 9)

at several archives. Created to illustrate military positions during the siege of Petersburg, the map's legends indicated that they were based on survey data dating to the 1850s. Showing the precise location of the railroad tracks was not the map's primary purpose, and the tracks had been simply sketched in.

Geo-referencing and overlaying the maps revealed substantial discrepancies in the track alignment, location and configuration of bends, etc. (Baxter et al. 2010).

Historic maps can, however, provide accurate, reliable information about features related to the map’s primary purpose. Another recent project involved locating subsurface remains in the Cavalry Parade Ground of the earliest barracks at Fort Riley, Kansas. The researcher found and geo-referenced three historic maps (1857, 1889, 1910) of Fort Riley and used a Global Positioning System (GPS) to navigate to the barrack’s location as indicated on the historic map. A geophysical (magnetic field gradient and electrical resistance) survey verified the archaeological remains of the buildings at that location. Examination of historic photographs demonstrated that the maps were accurate to the minute detail including accurate locations of gates in the picket fences around the officers’ houses and unpaved footpaths (Hargrave et al. 2009).

These examples demonstrate that one cannot simply assume that the locations of all features shown on a historic map are equally accurate. By the same token, one cannot assume that a sketch map will invariably inaccurately portray scale and proportion. Many professionally trained people can quickly and accurately judge distance and scale. An example is Robert Knox Sneden, a trained landscape painter and private in the 40th New York Volunteer Infantry Regiment of the Army of the Potomac (Sneden 2000). Sneden created the largest known collection of American Civil War soldier art. His work includes hundreds of sketch maps that have been demonstrated to be accurate in both content and scale (Figure E-3).

When examining historic maps, pay close attention to slight variations in the use of symbols, as they may be meaningful. Figure C-1 (p C-2) displays a portion of a U.S. Coastal Topographic Chart for Cape Canaveral, FL. The cartographer covered the entire chart with stippling intended to indicate the type of foliage. The area shown in Figure C-1 is less than 2 sq. in. in size on the original map. The researcher was interested in the location of secondary structures around the Cape Canaveral Lighthouse. Initially it was believed that the topographic map did not depict any secondary structures. Closer examination revealed that several of the stipples (circled in red in Figure C-1) near the lighthouse appeared larger and more regular in shape then the surrounding symbols. Fieldwork later verified that these locations corresponded to the locations of the secondary lighthouse structures.

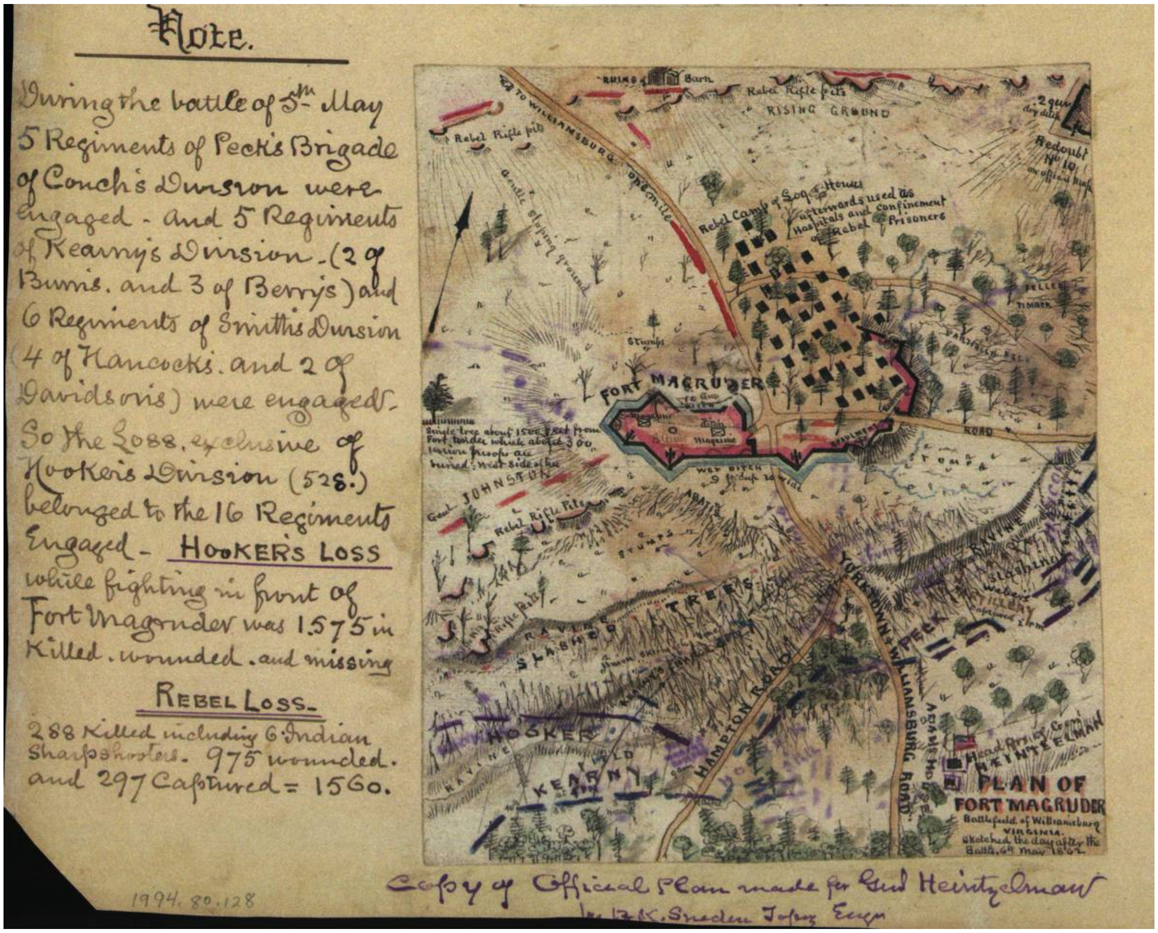


Figure E-3. Sketch map of Fort Magruder by Robert Knox Sneden. (Library of Congress Mss5:7 Sn237: 1 p. 128)

When conducting a cartographic search, do not limit yourself to maps only from the period of interest. Examine maps of the area from all periods to place the project area in a temporal context. Identify the locations where the construction of buildings, roads, and other features may have disturbed the site’s deposits. Knowing the nature and time of construction events will allow the research team to better evaluate site integrity and possibly to explain seemingly anomalous features or artifacts.

Aerial photographs are extremely useful in identifying past impacts at or near project areas. The U.S. Geological Survey (USGS) and U.S. Department of Agriculture (USDA) have conducted periodic aerial surveys over large portions of the country since the 1940s (USDA 2010). A comparison of photographs from different years allows one to quickly determine the location of recent historic structures and land use. Additionally, subtle surface and subsurface features may be indicated by variations in vegetation only visible from a distance. Archaeologists and ethnohistorians have been utilizing aerial photographic surveys since 1908 to identify features as diverse as prehistoric earthworks, Roman roads, medieval lot boundaries, and General Nathanael Greene's Revolutionary War Camp in the Ninety Six National Historical Site in the South Carolina Piedmont (Kruckman 1987; Parcak 2009).

Whenever possible, use as many data sources as possible (historic maps, aerial photographs, other historic photographs) to better characterize a historic site. By modern standards, historic photography involved the use of relatively long exposure time with small camera lens apertures (Wooters and Mulligen 2005). While this initially prevented effective photography of moving subjects, it led to sharp focus and high levels of details throughout the entire picture. Small details can often be enlarged and examined carefully. A photograph of a family and their house may be used to locate outbuildings and features observable in the background. The shape and number of roof lines in the background of a photograph may indicate where the camera was located and the direction of the shot. If obtaining digital copies of a photograph (either through a scan or downloading from the Internet), use the highest resolution possible to ensure that the photographic details are not lost.

The captions associated with historic photographs can be problematic. Photographs were often taken and captioned by different individuals at different times. Historical photographer's opinions about factual accuracy were very different from modern ones. Photographers, even prominent ones, would often pose or manipulate images in order to illustrate an idea or feeling instead of historical accuracy (Wooters and Mulligen 2005). One of the best known examples of this practice was the work of Alexander Gardner at the Gettysburg Battlefield July 1863. The photographer repeatedly moved and posed the corpse of a Confederate soldier in order to create the perfect scene to communicate the desired message (http://memory.loc.gov/ammem/cwphtml/cwpcam/cwcam1.html). As photographic prints are reproduced, captions and identifiers are copied (and sometimes miscopied) from one print to another. On one recent research effort at the National Archives, the author determined that about half of the Civil War-era photographs identified in the captions as depicting the wharfs at City Point, Virginia, depicted other subjects. It is also possible to see copies of the same photograph bearing different captions at the National Archives and the Library of Congress.

APPENDIX F

GENEALOGICAL RESEARCH

Genealogical research is vital to completing historical and archaeological research. Through a full and detailed search of genealogical records, researchers gain an understanding of the lives of the people who inhabited the sites they excavate and how they shaped their environment. They can also develop a better sense of what kinds of material and behavioral phenomena may be present in the archaeological record. Repositories of genealogical information exist in regional, state, and federal archives, museums, and libraries. Other organizations, such as churches or fraternal societies, retain useful information. In fact, some of the best genealogical resources in the country are to be found at the Family History Library in Salt Lake City, Utah, a facility run by the Church of Jesus Christ of Latter-day Saints (Mormons, hereafter referred to as LDS), which retains information on more than 725 million names (LDS 2008).

Genealogical work contains several pitfalls, which will become apparent in the following paragraphs. One of the biggest problems is the fragmentary nature of the documentary record for many states and the Nation as a whole. For instance, a fire in the Commerce Building in Washington, D.C. in 1921 destroyed a substantial portion of the 1890 census. Though efforts have been made to reconstruct the damaged portion from other sources, there are still large sections of the population in that census for whom we lack information. Additionally, wars can result in the destruction of government documents, either by accident or intent. During the Civil War, many counties in Virginia sent their public records to Richmond for safe-keeping. Sheltered from the Union Army through much of the war, many of these records were lost to a massive fire set by the Confederates when they burned the city in the closing days of the war (Library of Virginia 2010). Knowing the curatorial history of a source of information, including the extent of its completeness and possible losses or distortions, provides an important basis for evaluating any interpretation that may be done based on that research.

This section deals with a number of different kinds of information, offering tips and techniques for doing research on land, personal history, and “family tree” (genealogical) research. As a guide, it is not exhaustive, offering instead a basic introduction to the different topics. Further research may be done using the works cited in the relevant sections.

Land Records: Conducting Chain of Title Research

A chain of title is an enumeration of the legal owners of a parcel of land beginning with the current owner or owners and running back to the first claim laid on it. It is an essential element of archaeological research in that the deeds written to convey the land from one owner to the next often specify what buildings were present at the time of transfer as well as give some idea to how the land was being used. Knowing how the land was altered and used indicates both what archaeological resources may exist there as well as suggesting what resources may have been disturbed or destroyed by subsequent development of the site.

Property Records

County courthouses maintain records for all land transfers that take place under their jurisdiction. This is important to remember in that counties come into and go out of existence, and their borders can fluctuate over time. The same parcel of land could be part of several different counties through the decades, which makes constructing a chain of title difficult. For instance, all of Arkansas south of the Ouachita River used to be designated Hempstead County. Over the years, different pieces of that land have been carved off to create other counties (Columbia, Lafayette, Sevier, Little River, etc.). The general rule regarding the location of land records is that a county courthouse will have records for all land transactions (sales, inheritance, etc.) that took place under its jurisdiction. By way of example, land in Little River County will have records in three different places. Little River County was formed out of Sevier County in 1867, and Sevier from Hempstead County in 1827. For land exchanges before 1827, pertinent records will be in the Hempstead County Courthouse in Hope. For transfers enacted between 1827 and 1867, the Sevier County Courthouse in De Queen will maintain records, and all post-1867 records will be in the Little River County Courthouse in Ashdown.

This last example is only a general rule. Some counties may transfer records when they transfer land. Others may make copies for the other county. Contact the county assessor’s office (or whatever county office maintains property information) if presented with such a dilemma, as they should be able to advise on the location of the relevant documents. Regardless, be prepared to visit several different courthouses to collect all relevant data. It should come as no surprise if the clerks in the assessor’s Office are unable to answer questions immediately, as the vast majority of their customers are realtors and lawyers interested in recent transactions. Historical inquiries are by comparison extremely rare, and it may take some time to answer questions regarding the location or content of records they have on hand.

Constructing a Chain of Title

A chain of title can be constructed in two ways. The first starts with the current owner, the second with the initial owner. Beginning with the current ownership is the desired approach, as identifying the current owner and working backwards through time is easier and, in some cases, finding the “original” owner of a parcel of land may be difficult or impossible. Land transaction records are stored in a county courthouse or allied facility, frequently in the county assessor’s office, and consist of two forms of information. The full legal document of transaction (deed, mortgage, etc.) will be kept in a deed book, containing the information in full. An index book offers a brief listing of the transactions entered into the deed book, displaying information on who bought the land, who sold it, and the legal description of the land involved (using either township-range-section or metes and bounds[1]). The index may be organized as a direct index, listing names alphabetically by grantor (seller), or an indirect index, organizing records by the names by grantee (buyer). Direct and indirect indexes can either exist as separate books, or be on facing pages in the same book. Both are arranged chronologically within sections based on the first letter or first few letters of the last name.

Using the indexes, locate the record for the transfer of the land or plot to the current owner. The deed associated with the index entry may indicate when the grantor purchased the land and from whom. Failing that, the grantor on the latest transaction will be the grantee in the preceding transaction. Use the indirect index to find when the later grantor purchased the land.

[1] Metes and bounds were used in the Thirteen Colonies and lands allocated before 1785, including West Virginia, Kentucky, Maine, and Tennessee.

Fleshing out the chain of title entails repeating this process until the documentary record is exhausted. Research in states with colonial pasts may require consulting resources in outside of the usual state or federal systems. States maintain much of this information as part of their state library system, and some records are available in published format. For instance, the Texas General Land Office has original Spanish and Mexican land titles for lands in Texas beginning in 1720 and running through 1836, the year of Texas independence. English records for Virginia between 1607 and 1776 have been published in both book and electronic format and are readily available for purchase (e.g., Virginia General Assembly 1973).

Counties throughout the United States are working to put their deed records online, but there is not a standardized system, and not all counties have made similar progress. A researcher is aided by being aware of what county records are available, giving him/her an idea of how the records are structured and allowing for more research to be done in the office, minimizing time required on site. Searching county or state government web pages for online resources offers the best means of assessing what is available.

Sometimes, due to fragmentary or unclear records, the chain of title search can come to an impasse. In these instances, it may be possible to try the second approach, starting with the original documented owner and moving forward in time. Focusing on the initial owner is easiest in what are known as “public land states.” These are 30 states[2] that were created out of the public domain, meaning that the United States was the initial legal landowner, and who then patented the land out to individuals through the auspices of the General Land Office (GLO). Copies of the patent records for each, excepting Oklahoma, have been transferred to the respective states. Currently, the Bureau of Land Management (BLM) has made available online digital copies of more than 3,000,000 of the patents issued between 1820 and 1908 (http://www.glorecords.blm.gov/PatentSearch/). More are projected to be added in future. Public land states offer the convenience of a starting point, should a researcher want to

[2] Alabama, Alaska, Arizona, Arkansas, California, Colorado, Florida, Idaho, Illinois, Indiana, Iowa, Kansas, Louisiana, Michigan, Minnesota, Mississippi, Missouri, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Ohio, Oregon, South Dakota, Utah, Washington, Wisconsin, and Wyoming.

work forward through the deed records while constructing a chain of title (BLM 2010).

With the name of the first landowner (technically the second after the United States), the researcher may work through the deed books and indexes in similar fashion as described above, just working forwards in time rather than backwards. When records are fragmented, it may be necessary to use both methods in tandem, working towards a common point.

Another class of records is available for doing property research in the United States. Between 1775 and 1855, the U.S. Government provided free land to those who served in the military during wartime. This period encompasses the Revolutionary War, War of 1812, and the Mexican War. In addition to being a grant of land, these documents record the military service of the grantee. The BLM is now the custodian of these records, along with the GLO patents, and is working to make these available online through the same portal as the patents. The records for each state are being added to the system as they are completed.

Home Records: Researching Individuals and Families

There are myriad sources of information relating to the people who created, inhabited, and abandoned the sites we excavate. These exist in a number of different forms that are maintained and disseminated by different means. Knowing where these records exist and how best to get access (if possible) may require a degree of finesse and effort on the part of the researcher. What follows is a basic guide and crude categorization of document types to be aware of when conducting historical research.

Oral Histories

The best place to start researching an individual or family history is to start with the living members of that family. Conducting interviews focused on recording the names, ages, significant dates of, and movements of the various family members of interest provides a strong basis for any research project. At the very least, detailed notes must be taken of the conversation, either when it happens or immediately after if the context of the interview is such that note-taking is inconvenient. Video or audio recordings are best, as they retain details that the interviewer’s ear may miss. In many cases, collecting oral histories constitutes human subjects research, and must be cleared with an institutional review board before the project can go forward. As archaeologists and anthropologists, we have an ethical obligation to both inform the interviewee of the foreseeable implications of their cooperation and to ensure they understand to what ends their information will be put. The ethics codes of the American Anthropological Association and Society for American Archaeology both stress the significance of informing respondents of the implications of our research before collecting information from them.

Oral histories can provide circumstantial information that must be fleshed out with further research. For instance, someone may remember that a relative was one of eight children, but not actually remember who the other seven children were. Further research in the documentary record may be required to supply the other names. Letters, diaries, census materials, and family Bibles (see below) can provide information that can both directly fill in the gaps or possibly stimulate memories that had not previously come to mind.

Some caveats must be mentioned with reference to oral histories. First, not all people remembered with kin terms may have been actual blood relations. Someone remembered as a cousin, aunt, or uncle could have been a close friend to the family, but not an actual blood or affinal (by marriage) relation, which could lead to misinterpretation. Also, there are some things that a family might not be willing to divulge in an interview or even to allow to be committed to paper. The paternity of a child could be perceived as shameful and thus not repeated, family members who fall out of favor may be stricken from the family history, or particularly painful memories may not be faceable to interviewees. Reported information should always be verified, where possible. This is particularly true for dates, as memories may be vague on when something happened.

The Family Bible

Families sometimes keep records of prominent dates in family history in the family Bible, usually a large-print voluminous copy that would be prominently displayed in a parlor or sitting room, and which the family would read as a group. Names and dates for births, deaths, and marriages are the most frequently recorded, though only rarely are the places where such events occurred to be reported (county records of the marriage can usually supplement this information). Within the Bible, records are usually recorded either inside the front cover, or on the pages between the Old and New Testaments. These books may be retained by a member of the family, or may be in the possession of a library or archive.

The researcher should be aware of two contextual clues as they could indicate whether or not the dates were written from memory, which would make them more prone to error, either through mis-remembering or faulty transcription. The first is the publication date of the Bible itself. If it was published after some of the reported dates, those earlier entries must have been either recalled from memory or transcribed from another source. Additionally, if the ink and handwriting for the dates is all alike, it is possible that they were all written at the same time and not added as they occurred. If they look like they were all written at once, they may well have been. This could also be evidence of them being recalled from memory or a secondary recording.

If conducting research on the genealogy of a single family, do not omit a search for Bibles from members of that focal group’s extended family, as it is possible that aunts, uncles, or cousins may record information about the people the researcher is interested in (Croom 1995; Jaussi and Chaston 1977).

Other Family Documents

Some family members make and retain scrapbooks of newspaper clippings, photographs, funeral cards, wedding invitations, and other ephemera associated with the history of a particular family. Not only are these handy sources of basic genealogical data, they often provide pictures, descriptions, and bits of information about family members that can impart a sense of a family member’s personality. This adds a more personal, engaging aspect to family history research.

High school and college yearbooks provide information about where a person was at a given point of time, but can also suggest birth year (most people are between 17 and 18 when graduating high school), some basic interests of that person, and what sort of activities that person was active at that point of time in their lives. Knowing where one family member went to school also serves as a possible avenue for finding out information about a sibling, as multiple children may have attended the same school, and a search of yearbooks from that same institution may yield information on other family members. Yearbooks are not necessarily authoritative, however. Some schools only require seniors to submit a picture of themselves, leaving underclassmen free to be included or not as they see fit. If someone leaves school before senior year, they may never appear in the yearbook.

Many families host semi-regular reunions, pulling together members from across a wide area. These can sometimes entail the construction of a family tree that can be put on display to make clear how the large number of people there all relate to one another. Photographic records of the event can be useful documents in identifying family members, and can serve as mnemonic devices when conducting oral history interviews. Some families document these reunions with video or textual narratives.

The U.S. Federal Census

Every 10 years, beginning in 1790, the U.S. Government has conducted a census. This is done primarily to apportion Congressional districts. During each census year, a single day is declared to be Census Day, and all data for that year should be considered accurate to that day. This means that persons deceased after census day but before the census taker visited their neighborhood were recorded as if still alive, and children born after Census Day were not to be recorded.

From 1790 until 1840, the only names that would appear on the census form would be that of the head of the household. Others living in that house would be recorded as tabulations in columns corresponding to gender, age, and ethnicity. The 1850 Census was the first to record the names of all free persons, regardless of ethnicity. Organized by household, names, ages, race, occupations, wealth in real and personal property, literacy, school attendance, and whether or not they were deaf, dumb, or blind. As the organization was based on households, families of servants were not enumerated separate from the family they lived with, if they were co-resident. Only the 1900 Census recorded the birth month and year for each person. The 1900 and 1910 Censuses asked each woman how many children she had given birth to and how many were still alive. They were also the only censuses to ask how long each couple had been married (Croom 1995).

In 1921, a fire in the basement of the Commerce Building resulted in the destruction of a substantial portion of the 1890 census. Some fragments exist for it, largely focused on the states of Alabama, Georgia, Illinois, Minnesota, New Jersey, New York, North Carolina, Ohio, South Dakota, Texas, and Washington, DC (Croom 1995).

Currently, all censuses up through the 1930 Census are available, either at the National Archives or through various online research aids. The 1940 Census will be made available on 2 April 2012. Unlike previous censuses, it contains information regarding whether or not the respondent is a veteran, if and how they have made use of Social Security, first language, annual income, and citizenship (for foreign-born respondents).

A number of censuses conducted by the U.S. Government have been outside of the usual decennial census. In 1879, Congress authorized funds for any state that wanted to record an inter-decennial census. The only states or territories to accept the offer were Colorado, Florida, Nebraska, New Mexico Territory, and the Dakota Territory (now North and South Dakota). These censuses are, like the decennial census, available through the National Archives (Croom 1995).

Finally, the government conducted a special census of Union Civil War veterans and their families in 1890. This census, unlike the Federal Census of that year, remains unburned, though it is incomplete. The most thorough records in the census cover states alphabetically between Louisiana and Wyoming (Croom 1995).

Census materials are available through a number of different sources. The National Archives retains copies of all extant information, and most state libraries have duplicates. Local libraries may have copies on microfilm or in book form if a local genealogist has undertaken to transpose the records, as often happens. Again, the Family History Library in Salt Lake City maintains substantial holdings, as do its satellite Family History Centers. Online resources such as Ancestry.com also have census data available, viewable for the cost of a membership fee.

Slave Schedules and Other Records

The 1850 and 1860 censuses, in addition to the usual listings of heads of households, contain lists of slaves separate from the standard population register. Like the census materials themselves, the slave schedules are arranged by township, county, and state. They do not record the names of individual slaves, who were not legally recognized as people at the time. They do record the name of the legal owner, the age of the enslaved individual, their gender, and whether the person was black or mulatto (biracial). It is important to note that the slave schedules list all slaves based in that township, not all the slaves that a given slaveholder in that township owned. If a slave owner had multiple plantations, he or she may appear in different places in the slave schedule depending upon where those slaves lived. If the plantation was separate from the residence, slaves[3] and owner may appear in different places in the census.

For example, in 1860, planter Charles Monroe Hervey lived in Spring Hill, a small but prominent town in Hempstead County, Arkansas. He and his family appear in the census for Spring Hill Township as a family of five plus a governess, Mollie White. Hervey’s personal estate is listed at the relatively astronomical figure of $90,000 (U.S. Bureau of the Census 1860a). Yet, Hervey does not appear to own slaves in Hempstead County in 1860, which would be very unusual for a man of such wealth in an economy dominated by cotton production. This apparent discrepancy is due to a trick of topography. The town of Spring Hill stands atop one of the patches of high ground near the Red River, with an alluvial plain boasting excellent cotton growing land. However, being a river bottom, the Red River Valley was a notorious breeder of mosquitoes, which bore diseases (significantly malaria) to those unfortunate enough to live there. Hervey and his family were among the wealthy few who could choose to live in Spring Hill, where better breezes and drier conditions kept disease-carrying pests in check. The money to support this lifestyle did come from a cotton-producing plantation, but one situated on the south bank of the Red River in neighboring Lafayette County. As a result, Hervey’s family appears in the 1860 census for Spring Hill Township in Hempstead County, but Hervey himself appears as the owner of 45 enslaved African Americans in Red River Township in Lafayette County (U.S. Bureau of the Census 1860b). Limiting research to examining only, for instance, Hempstead County’s records would return no evidence of Hervey being a slave owner. Conversely, a perusal of the records for Lafayette County would show Hervey’s substantial slaveholdings, but would give no indication of him being a resident of the county. Both incompletely characterize Hervey’s holdings in people and land.

[3] There is currently some debate over the use of “slave” versus “enslaved African American,” one that is not at present resolved. Some historians and archaeologists use “slave” because it is the period-correct term, while others object to it as defining people solely in terms of their enslavement. Using “enslaved African American” places greater emphasis on ethnicity than on condition.

In some instances, census takers made record of the number of cabins or houses that the enslaved African Americans they were enumerating lived in, though not all were so diligent (U.S. Bureau of the Census 1860b). Such notations give evidence for the number of features that an archaeologist may encounter on a site. Based on the construction of the houses and the dispersal of people within them, such counts may offer some glimmer of evidence for the number and composition of families present at each place.

State Censuses

The decennial federal census is not the only extant census for the United States. Many states have censuses that were conducted by federal or state authority outside of the usual census structure. For instance, researchers working in Texas have access to the 1819-1826 censuses of Austin’s Colony, also censuses for the years 1829-1836 when Texas was a Mexican state, and the 1840 national census of the Republic of Texas. Minnesotans have access to state censuses conducted in 1849, 1850, 1853, 1855, 1857, 1865, 1875, 1885, 1895, and 1905 though the Minnesota Historical Society (Croom 1995).

These kinds of records vary state to state, but locating them is not difficult. Croom (1995) provides a list of resources, and state genealogical or historical societies can instruct researchers as to what holdings exist and how best to access them. Note, however, that not all states (e.g., Arkansas, New Hampshire, etc.) have state censuses. Others have years that are incomplete, as are the 1855, 1865, and 1875 state censuses for New Jersey.

Military Records

Records attesting to the enlistment and service of millions of Americans exist in state and federal repositories. As with other types of materials, completeness and accuracy of the information varies. Some, such as the records for the Civil War, are available online, while others exist primarily in repositories such as the National Archives.

Official records exist for service members from the Revolutionary War up through the War of 1812, the Mexican War, the Civil War, the Indian Wars, and the Spanish-Cuban-American War. World War I records are just now becoming available, as service records are kept private for 75 years following the termination of service. Coast Guard enlistments exist from the period 1790-1919. For the Civil War, the National Archives maintains service records for Union soldiers only, though records for Confederate pardons issued during and after the war give some record of service. Records for World War II, Korea, Vietnam, and the Persian Gulf Wars are available only to the service member; next of kin of deceased service members may obtain service records only with documentation proving a direct familial relation and a death certificate (Croom 1995).

The General Services Administration maintains records of more recent military service, the availability of which varied depending on the branch of service and whether a person was an officer or an enlisted man. Draft cards for both World War I and II are becoming available online through services such as Ancestry.com. These draft cards list home address, telephone number, age, birth place, next of kin, employer, and a basic physical description. For World War II, men between 18 and 65 years of age were required to register for the draft, though only those between 18 and 45 were eligible for immediate induction, meaning that many men past their military prime are still documented in the records of the Selective Service System.

Enlistment records record basic demographic and physical descriptions of enlistees. During the Civil War, the U.S. Army recorded such basic information as name, home town, profession, and age of each man to enlist. It also recorded the height, hair color, and complexion of each man. Enlistment records would also record how that person exited service. This could either be by death on the battlefield or in camp, mustering out at the expiration of their term of service, or graduation out of the ranks into the officer corps. This last presents a slight difficulty in that, when a man transitioned to a commissioned rank, he would no longer be recorded in the enlistment rolls, and finding documentation of commissions is more difficult. Regardless of how the enlistment terminated (death, mustering out, advancement), the enlistment rolls usually denote the rank of the person at the time.

Unofficial unit histories exist for many units. These were frequently written by a member of that unit years or decades after the war that unit served in came to a close. These are usually reliable sources, as they were written by people who either actually served in the unit or at least had access to the veterans who did, and frequently employ a balance of official records and oral histories as a fact base. These histories frequently include a muster roll and a roll of honor, denoting those who died in service. Soldiers who ended service on other than honorable circumstances (e.g., imprisonment) may not be recorded if their behavior was considered shameful to the author. The Library of Congress has a finding aid that lists, by state, each regimental history (http://www.loc.gov/rr/main/uscivilwar/) that is of particular use to the researcher. As with all forms of historical documents, however, there is the possibility of embellishment or mis-remembrance, which can be misleading.

Information relating to military service, like other forms of documentation, exists in federal, state, and local archives. The National Archives has holdings on service records, and muster rolls for regular army units are available on microfilm roles. Military pension records at the National Archives include information about former service members including location of residence, occupation, health status, marital status, the number and status of children, and the date of death of the service member and their spouse. The National Park Service has under-taken the compilation of names and basic information on 6.3 million people who served in both sides of the Civil War, turning the results into an online, searchable, database (http://www.itd.nps.gov/cwss/) known as the Civil War Soldiers and Sailors System. Public monuments may also be another source, as they frequently record names of people who served. Headstones may be another source of information, as veterans have the option of having a military marker placed over their grave. These exist for the Civil War and more recent conflicts, and frequently record the unit in which the deceased served.

Religious Records

Churches, synagogues, temples, and mosques all maintain records on church activities and notable points in the lives of their members. Notations of all sorts of rites of passage, marriages, deaths, etc. may all appear in church records. In each instance, the context surrounding the action may be noted, such as why a person was expelled from membership or the circumstances surrounding a death. Parents and other family members of the involved persons may also be recorded.

Frequency of reporting may vary across a congregation. People active in the governance or running of a church appear frequently in the minutes of the everyday aspects of church functioning. Be this in formal business notes or in stories of social gatherings (revivals, annual festivities, etc.), such notes may give very thorough coverage of a person’s activities and involvements. Those who attended only casually may never or rarely appear in the records.

Actually locating the records may be difficult, particularly if the congregation is no longer in existence. Some churches transfer their records to other churches or diocesan archives. Others may just discard them (Croom 1995). Some active churches simply do not retain records past a certain date, or discard/destroy them once they are perceived to be irrelevant. Actually locating a collection of church records may require a significant amount of effort on the part of the researcher. Some congregations may not be eager to provide information to a government researcher. Conversely, some congregations have a historian specifically tasked with curating records, which may be preserved in a special archive in the church or even in a bank vault. Church-affiliated schools or universities may maintain repositories of church records that are indexed and searchable.

Some religious groups habitually keep remarkably full records. Croom (1995) singles out the Religious Society of Friends (Quakers) for special note on this front. From its inception in the 17th century, Friends meetings were encouraged to carefully record the minutes of business meetings, which by convention make note of births, deaths, marriages, banishments, and transferrals of membership between meetings. The Friends organize into yearly, quarterly, and monthly meetings (used here synonymously for congregations). Monthly meetings keep the closest records of their membership, as quarterly and yearly meetings were concerned with larger issues.

The tenets of a particular religious community will also shape what records one is likely to find, and at what point in a person’s life history that record will appear. Baptismal records will vary depending on the sect that a person is born into. Catholics, Lutherans, Orthodox Christians, Methodists, Anglicans, and Church of Christ members baptize at birth, whereas Baptists, Pentecostals, Mennonites, and Mormons baptize later in life.

For most denominations, cemeteries are another useful source of information. Headstones marking burials, when they survive, record at least names or initials, and some other information pertinent to the person interred at that spot. Birth and death dates, relationships to others in the community, religious affiliation, and other details may all be marked on the stone. The shape and decoration of the headstone may also be indicative of affiliations that person maintained. Lambs on the headstone usually denote death at a young age. Fraternal and sororal organizations (e.g., Woodsmen of the World, Mosaic Templars, Oddfellows, Masons) all have distinctive headstones or motifs that could be placed on a more common stone, as do U.S. Military headstones since the Civil War. More recent headstones can be etched with symbols relevant to the occupation of the individual, or even an image of the person.

Finally, LDS keeps vast amounts of information on family history. This practice stems from a belief that, for LDS members to meet family members in heaven, those family members have to be converted posthumously to the faith. Therefore, constructing detailed family histories carries great existential importance and is why some of the best genealogical resources in the country are housed in Salt Lake City.

Immigration and Naturalization Records

Immigration records for the United States are among the most fragmentary of federal sources due to the cavalier manner in which they were kept up until relatively recently. This is not because no records were made, rather their filing and preservation has been haphazard, though researchers are working to impart some order and utility on existing resources.

Immigrants to the United States largely arrived by ship, and all ships' captains were required to maintain a manifest of the people on board that ship. Prior to 1820, there was no common practice for entering those lists into any kind of permanent record. Between 1820 and the 1880s, passenger lists were to be filed with the customs house in the port of entry. There are fragmentary holdings of these records for many ports on the Atlantic and Gulf coasts at the National Archives.

Beginning in 1882, the Immigration and Naturalization Service (INS) began tracking arrivals. The INS has microfilmed arrival records and associated correspondence and indexed them based on the port of entry. Arrival records for the period between 1882 and 1957 are on file at the National Archives. Parallel records exist for the INS district offices and state and federal offices that performed similar duties, though again these records are not exhaustive. Immigration and Naturalization records are also housed at the National Archives. Private researchers have assembled collections of the ships' lists that have been found in libraries and archives to date. Croom (1995) lists a number of these sources, though Filby (1981; 1988) and Tepper (1982) are among the most immediately useful.

Naturalization records are a separate class of records. Prior to the Revolution, most immigrants to the United States were

British citizens and did not, therefore, need to be naturalized, as they were transferring from one British territory to another. For the United States, citizenship was conferred through the successive filing of “first” and “final” papers. First papers announced an individual’s presence in the United States. After a mandatory period of residence, the “final” papers, consisting of an oath of allegiance and a petition for citizenship, could be filed.

Before 1906, these papers could be filed at any local, state, or federal court. After this time, however, naturalization became the sole province of the federal courts. Since 1906, therefore, all records of naturalization are included within the documentary holdings of the federal court that oversaw the person’s transition into American citizenship.

Ancestrally Specific Sources

Throughout the history of the United States, immigrants from different places, either through choice or through enslavement, have been recorded in different ways. Cultural differences, avoidance of census-takers and other producers of government documents (born in no small part of mutual mistrust), and legal or political subjugation have contributed to the need for alternative sources of information to be explored.

For most Americans of African descent, tracing relatives back before the 1870 census means confronting slavery. Before the Civil War, enslaved African Americans were not considered people, but were rather enumerated as property, and their names do not appear in the census (though see the discussion of Slave Schedules of 1850 and 1860, above).

Locating enslaved ancestors can be difficult given the lack of names in official census records. Rose and Eichholz (2003:35-37) offer a stepwise process for tracing people back into slavery. Significantly, they advocate locating the people of interest in the 1870 census (the first in which the names of former slaves appear), then comparing that with the 1860 and 1850 slave schedules, comparing both the structure of the family (are there the right number of people at the right age?) and commonalities in surnames, as many formerly enslaved people adopted the surname of their former enslavers. Once a probable slave owner has been identified, you may search probate court records, tax records, wills, and other personal documents that may list the enslaved as property.

Additionally, shipping records, which include slave arrivals, exist for a number of ports of entry in the United States, and are available at the National Archives, Columbia University, and the Family History Center in Salt Lake City. These documents can include names, ages, heights, owners' names, and complexion for each person being brought through that port for sale.

General overviews of African American genealogy include Burroughs (2000), Parmer (1999), and Rose and Eichholz (2003). Ball's (1999) *Slaves in the Family* is not strictly a genealogical book, but is an instructive example of how tightly related groups in a segregated South were and are. Ball, scion to a prominent, white, and formerly slave-owning family, through genealogical research identified and connected with a large African American family that was descended from his ancestors and the people they enslaved.

Some family Bibles kept by slave owners recorded information on slaves to which the family laid claim. Where such a Bible exists and could be of use, the researcher may need to see the book in person, not a published version of it as it might appear in a genealogical magazine. Such publications frequently omit information related to enslaved individuals who may have been mentioned. Some Internet-based databases are working to include this information but are far from comprehensive at this point (Rose and Eichholz 2003).

Records for Latin American communities vary little from the above-delineated classes of information for free persons in the United States throughout its history. Ryskamp (1997) offers an overview of compiling Latin American genealogy, which differs primarily in a greater emphasis on Catholic Church records, and the need to understand and interpret Spanish legal and military documents, which have their own systems different from the American ones covered here. Ryskamp offers a particularly close overview of documents relating to the Mexican-American border.

In 1903, the United States kept records of persons crossing the U.S.-Mexican border. These records consists of cards or manifests that note name, age, gender, race, occupation, a physical description, place of birth, date and point of entry, and previous and current/planned addresses. In recent years, these cards were microfilmed and, beginning in 1994, indexed by the National Archives (Ryskamp 1997). They are not currently available online, but the microfilms are housed in the National Archives and available for viewing there. Current holdings cover

24 points of crossing in Arizona, California, New Mexico, and Texas.

Chinese communities, particularly on the west coast, were not well-documented by censuses until the 1940s or 1950s. White census takers had trouble understanding and accurately recording names, many were in the country without requisite documents, and general fear of governments that actively marginalized Chinese immigrant communities kept many people from making themselves available for recordation, and those that were recorded may not be identifiable in census documents to the modern researcher.

Thomas Chinn (1972) reports that Chinese American communities on the West Coast of the United States conducted three censuses in the early part of the 20th century, geared towards getting a count of the number of people in the area. These counts were used as political leverage in a long-running effort to secure equal treatment before the law for Chinese immigrants. As these were focused on providing numbers of immigrants without supplying too much information about the members of the community (which could be used against them should they be seized), these censuses only record a person’s name, age, and home town (Chinn 1972). Though they are reported to exist, they are virtually unknown to researchers, and may not be made available to outsiders.

The United States is home to thousands if not millions of people interested in genealogy and history. This creates a market for genealogical guide books, many of which are oriented towards ethnically specific genealogical research. Online bookstores such as genealogical.com offer a range of these, in both print and digital media. They are available for a moderate fee, or could possibly be acquired temporarily through an interlibrary loan. Most of these works focus on European American ancestry, particularly Irish, German, and English, records, though other areas are growing.

Online Resources

This document mentions repeatedly the presence and utility of such online sources as Ancestry.com, which are providing large volumes of genealogical information over the Internet for a fee. The National Archives and many state libraries and historical societies offer other sources of genealogical information, particularly census data at the state level, for free. Other online communities, historical societies, and private researchers make their content available. As is always the case with any source, material posted on the Internet, particularly that provided by sources that lack peer review or clear quality control, should be used guardedly in case of error or fabrication. Verifying information from independent sources is and will remain a vital aspect of doing this kind of historical research.

It is important to note that any facility operated by the National Archives and Records Administration offers free, unlimited access to Ancestry.com, Footnote.com, and HeritageQuest.com, three of the larger online resources. These require a trip to that facility (no remote access), but offer full access. Some local libraries have access to these online databases, and may have remote login options that allow for data collection from one’s office or home computer.

APPENDIX G

CONCLUSIONS

Archival research is analogous to putting together a jigsaw puzzle without knowing what the final picture will look like. If the archival research is conducted in a well-organized manner, it may result in the discovery of vast amounts of previously unknown information. Well-conducted archival research can diminish the amount of time needed in field investigation (some of which may be destructive) by reducing field project areas or indicating more productive field investigation techniques. Details about a site history gleaned from primary sources may also help explain anomalous findings in the field. Poorly planned and conducted archival research can waste time and project resources without producing meaningful results. This may not only damage the outcome of the current project but can also cause project members to shy away from future archival projects.

Unfortunately, current literature is sadly lacking in information about how to conduct primary document investigations. It is hoped that this document provides the basic information that will encourage the reader to explore the Nation’s various archives on their own.

APPENDIX H

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