APPENDIX D:

HISTORY/ARCHITECTURE REPORT GUIDELINES

Appropriate Documentation for Phase I and II History/Architecture Reports

The results of the secondary source review and field survey dictate the reporting format used to complete Phase I investigations. Standard reports are required at the Phase I level if Phase II work is recommended or for projects that may affect NRHP listed or eligible sites. The standard report format is to be used for projects when Phase II work is needed to determine the NRHP eligibility of impacted cultural resources. Phase II reports will always follow the standard format.

Recommended Components and Content of Standard Phase I and II History/Architecture Reports (as appropriate):

- Title Page
- Abstract
- Table of Contents
- List of Figures
- Introduction/Project Description
  - Project Mapping (based on Appendix K examples)
- Secondary Source/Records Check Review
  - History/Architecture Secondary Source Review Map
  - Historical Maps
  - National Register Map or Boundary Description
  - History Architecture Secondary Source Review Table
- Historic Context
- Research Design
- History/Architecture Field Methods
- Results of History/Architecture Survey
  - Phase I History Architecture Resource Table (if completed)
- Summary and Conclusions
- Recommendations
- References
- Appendices

Shortened Phase I History/Architecture Reports

Shortened report formats can be used:
- when cultural resources are present but not impacted by a project,
- when ineligible cultural resources are present and impacted, and
- when there are no cultural resources present.

This report format may be used when history/architecture resources are discovered in a project area, are inconsequential, and require no further work. This format may be used if NRHP listed or eligible properties are present but not impacted or affected by the project. The critical decision point for using this format is when no further work is recommended because for any of these reasons. If there is nothing to evaluate for NRHP eligibility and/or there are no NRHP listed or eligible properties that will be affected, the report can be shortened.

Certain elements of a standard Phase I report are not required due to the nature of the highway project and the results of the field survey. For example, a shortened report may be adequate for a major undertaking such as an interstate widening through a modern urban setting which was found to be universally disturbed or where no historic properties exist based on secondary source
review and contextual data. A lengthy secondary source review is not needed if there are no previously known resources in the area.

A Table of Contents page is not required if the report is ten pages or less and/or the major sections of the report, other than the field work section, are a page or less in length. Always remember to abstract data, paraphrase ideas, and cite information from previous investigations in efficient ways. Photo documentation, appropriate maps, results of the secondary source review, context, and results of field investigations should be included in the shortened report.

The investigator MUST do the appropriate level of work in the field and in the reporting to document any or all of these situations or conditions.

The proper level of documentation can only be determined once the Phase I field survey is undertaken and survey results are known. Consultants and project planners should scope for a Phase I Cultural Resources Survey and provide for the shortened report option as an “if authorized” deliverable. This approach is designed to gather all relevant cultural resources information in the most cost- and time-efficient manner possible.

**Reporting Standards that Apply to All History/Architecture Reports:**

**General**

- Use font size 12, except for tables with numerous items.
- Report covers should **always** include the project name (which is usually the County, Route, Section, & Project Identification Number (PID) of the project), and the title of the report.
- The units of measurement are to be in English.
- The project description should be generated by the District office, LPA project sponsor, or the prime consultant on the project. ODOT-OES staff and cultural resource consultants should get the project description from one of these sources, as appropriate for the project.
- Tables, photographs and figures may be integrated into the main body of the text or attached to the report as appendices.
- When the scope of a project changes during the course of an investigation, a summary of such changes should be documented in the report. This should explain to readers why something was done or changed during the course of the project study. For example, it would explain why field methods changed because of changes to a project’s footprint.
- Phase I and II History/Architecture survey reports are to include cost and time estimates for the next phase of work, if applicable.
- Further work cannot be recommended for tasks that should have been included in the Phase I as a standard component of Phase I surveys.
- Identify appropriate historic boundaries (including contributing and non-contributing elements) for resources recommended as eligible for the NRHP; include graphic illustration of proposed boundaries.
- The OHI number (if assigned) will be the identification number of the resource in the report text.
- If there is no OHI number assigned, default to the property address in the report text.
- If the property does not have an address, such as with an object or monument, use a description of the property and a location description to identify it in the report text.
- Include a Secondary Source Review Map showing the known properties in the APE/Study Area (refer to Figure 3, Appendix K).
- Historic context development (refer to Chapter 5).
- Results of identification and evaluation, including recommendations regarding eligibility or non-eligibility.
- Identify additional research required to determine NRHP eligibility for resources recommended for further work and support reasoning why additional work is necessary.
- Include revised boundary delineations as appropriate, following NRHP guidance.
Include a separate Disposition of Comments matrix for all changes made in revised reports in response to reviewer comments; cite old page number and new page number where the comment was addressed. This will streamline the review of the revised report. This matrix is not included as part of the revised reports; it is a separate document.

Title Page
The title page should include the following:
- Name of agency
- Name of consultant preparing report
- Date of report and revision dates if applicable
- Volume number (if applicable)
- Project name (usually County, Route, Section, & PID of the project)
- Type of report - shortened Phase I or standard Phase I or II
- Type of history/architecture survey (i.e., Phase I or Phase II)
- Do not include the words “draft” or “preliminary” in the report title unless agreed to beforehand by ODOT-OES.
- The word “Addendum” in the title should be reserved for additional work on the same site or project at the same level of survey and the title should reflect this; e.g., “Addendum to the Phase I...”

History/Architecture Tables
- MS Excel format must be used when preparing the history/architecture tables.
- All tables must also be submitted as active tables in MS Excel format.
- Secondary source literature review information will be documented on a History/Architecture Secondary Source Review Table.
- A Phase I History/Architecture Resource Table should be completed for projects having five or more identified resources in the APE.
- For each history/architecture resource location documented on a Phase I History/Architecture Resource Table, investigators may assign their own architectural location numbers or other designation to be used for their own tracking purposes.
- If OHI numbers have been assigned to resources, those numbers should be used on tables.

The bulleted lists below are the minimum column headers that must be included for each table. All tables compiled for ODOT project reports must be in Excel format.

These spreadsheet fields will permit basic data sorting by report reviewers at ODOT and OHPO.

History/Architecture Secondary Source Review Table
- OHI Number/Bridge Structure File Number
- Structure Number
- Property Name
- Property Address
- Date(s) of Construction
- Style & Type of Building/Structure
- Current Condition of Property
- National Register Eligibility Status/NR Listing Date/NR Status Not Determined

Phase I History/Architecture Resource Table
- Photo Reference Number
- Address/Street Name
- Common Name (if known)
- Architectural location number or other designation (if used by investigator)
- OHI Number/Bridge Structure File Number
• Date Inventoried
• Date(s) of Construction/Alteration
• Style & Type of Building/Structure
• Material (exterior, foundation, etc.)
• National Register Eligible (Y/N/Unknown/Undetermined)
• Applicable NR Criteria
• Applicable Aspects of Integrity
• Recommendation (e.g., no further work, Phase II, avoidance)

Inventory Forms
- Refer to instructions for completing OHI forms (Chapter 5; OHPO 2008; Gordon 1992).
- The final OHI forms are to be submitted to OHPO via the IForm application when the final survey reports are submitted to ODOT.
- Prepare OHI forms for all properties recommended as NRHP eligible and for any properties recommended for Phase II survey.
- When available, the OHI number must be used when referencing the inventoried cultural resource in the text of the report and on any figures and photographs.

Photographs
- The standard in most cases for Phase I survey reports is that one photo of each property 50 years old or older should be included in the survey report.
  - In situations where multiple similar properties exist in an APE (e.g., 1950’s ranch houses), streetscape view should be used rather than individual property photos.
  - On some projects, it may be appropriate to provide combinations of streetscape view and individual photos of properties.
- For properties having either NRHP eligibility or non-eligibility recommendations being made, individual photos will be needed of those properties to support the recommendations.
- Photographs may be included as an appendix of the report. They may also be incorporated into the body of the report, as appropriate, but should be on the same page as the text referencing them.
- Photographs for history/architecture reports should follow the Photography Guidelines in Appendix C.
- All history/architecture resources that have been photographed and identified should be included on a Phase I History/Architecture Resource Table (if used, subject to the ‘five properties or more’ option).
- Photographs of excellent quality are a requirement. Include panoramic or streetscape shots when appropriate to characterize a project area, whether it is an urban or rural setting.
- Photographs should be keyed to project mapping (refer to Figure 7, Appendix K).
- If digital manipulation or ‘clean-up’ is done on a photograph (e.g., to clarify an architectural feature), then the photograph’s caption must say that it has been enhanced/altered.
- Photographs should provide sufficient information about resources being investigated and be labeled with OHI number, address, or other locational information so that the property can be identified in the text and on mapping.

Maps
- All mapping produced for Phase I and II survey reports should follow the examples in Appendix K.
- If a NRHP listed or eligible property is located in the APE, the boundary of the historic property must be indicated on project mapping (such as with the example at Figure 6, Appendix K). If the property’s NRHP boundary map is not available, show the written
boundary description from the NRHP nomination form on the map. If a boundary determination has been made as part of Section 106 consultation with the OHPO concurrence, then that written description must be illustrated on the map.

Citations
- Date
- Page number(s)
- Personal communication citations belong only in the text and not in the References cited.
- When quoting, presenting quantifiable data (such as facts or statistics), or paraphrasing original or unique ideas, cite the original or primary document where the idea was first expressed, not someone else’s secondary citation of that idea.
- Citations and references for history/architecture reports should be cited according to the most recent *Chicago Manual of Style* (University of Chicago, 2010a).
- In the event that a combined Phase I Cultural Resources Survey report is to be produced, including both history/architecture and archaeology survey, the style guidance shall be as follows: Use the *Chicago Manual of Style* (2010a) for the history/architecture portion of the report and use the *Editorial Policy, Information for Authors, and Style Guide for American Antiquity and Latin American Antiquity* (n.d.) for the archaeological portion of the report.
  - The professional standards for each discipline will be followed appropriately and the references for both will be included as separate reference sections in the report.

 Appendices
- Project documentation (e.g., photographs, preliminary plans, specific analyses, tables, etc.) should be included as appropriate.

 Submitting Reports
- Prior to submitting reports to ODOT, consultants will review and edit reports to ensure that the appropriate level of cultural resource investigation has been completed, that the appropriate report format has been used to document the cultural resource investigation, and that an accurate project description is included.
- The ODOT District staff should review reports to the extent necessary to confirm these same points.
- Upload **initial electronic reports** for review and comment into the OES Online Categorical Exclusion Form System.
  - The report upload formats for this submission to OES should be as follows:
    - Report text in Word
    - Tables in Excel (active)
    - Each grouping of graphics in separate .pdf format (i.e., figures in one group, photographs in one group, etc.)
    - Appendices – upload each as a separate file
  - Also provide one hard copy of the report to the ODOT District for OHPO review. The District will forward this to ODOT-OES, who will provide it to the OHPO.
  - Large data files (photographs, mapping, GIS, etc.) submitted as part of the hard copy review package for OHPO should be submitted on cd/dvd along with the OHPO review hard copy of the report in order to streamline the report review process. Photos (and other data as appropriate) must also be labeled and keyed to project mapping.
  - Submit all digital data to OES (e.g., GPS, GIS, mapping, etc.) in appropriate digital formats. This data should be uploaded into the Online Categorical Exclusion Form System along with the initial review report submission.
• Once the above version is reviewed and finalized, with all comments from OES and OHPO addressed, upload the final electronic reports into the OES Online Categorical Exclusion Form System.
  o The report upload formats for this submission to OES should be as follows:
    ▪ Report should be a cover-to-cover .pdf scan
    ▪ Tables in Excel (active)
    ▪ GIS shapefiles (separate upload file)
  o Also provide one hard copy of the report and one electronic copy of the report on cd/dvd to the ODOT District for OHPO. The District will forward these to ODOT-OES, who will provide them to OHPO. The preparation of all electronic reports for OHPO should follow the Ohio Historic Preservation Office Electronic Report Guidelines (in OHPO Guidelines box on linked page).
  o Submit all digital data to OES (e.g., GPS, GIS, mapping, etc.) in appropriate digital formats. This data should be uploaded into the Online Categorical Exclusion Form System along with the final electronic report submission.
  o Large data files (photographs, mapping, GIS, etc.) submitted as part of the hard copy package for OHPO should be submitted on cd/dvd along with the OHPO hard copy of the report. Photos (and other data as appropriate) must also be labeled and keyed to project mapping.

• All hard copy reports submitted to ODOT for OHPO review must be in removable binding called presentation binding (plastic binding combs). Heat binding of reports is not acceptable.

Editorial
• The report should be edited before being submitted to ODOT to ensure that it is free of grammatical, spelling and typographical errors.
• Substantive information should be reviewed for compatibility with tables and figures.
• Statements of fact should be supported by data gathered from primary and secondary sources.
• Survey reports must explain why a property is eligible for the NRHP and references to “potential eligibility” in any report will not be accepted.
• Omit all references to effect (i.e., direct, indirect, visual, noise, adverse, no adverse, etc.).
• Uninformed, inadequate or unsupported statements concerning any aspect of the cultural resource investigation are unacceptable.
• When multiple errors and/or missing information impede understanding or interpretation of the information contained in the report, the report will be returned without further review for revision and resubmission of the report.