APPENDIX E:

ARCHAEOLOGY REPORT GUIDELINES

Appropriate Documentation for Phase I and II Archaeological Reports

The terminology “standard report” is the same document type referred to as a Phase I or Phase II report as outlined in the Archaeology Guidelines (OHPO 1994: 26-36). 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 report format.

Recommended Components and Content of Standard Phase I and II Archaeological Reports (as appropriate); based on Archaeology Guidelines (OHPO 1994):

- Title Page
- Abstract
- Table of Contents
- List of Figures
- Introduction/Project Description
  - Project Mapping (based on Appendix K examples)
- Secondary Source/Records Check Review
  - Archaeology Secondary Source Review Map
  - National Register Map or Boundary Description
  - Archaeology Secondary Source Review Table
- Historic/Cultural Context
  - Predictive Model (if applicable)
- Research Design
- Archaeology Field Methods
- Results of Archaeology Survey
  - Phase I Archaeology Resource Table (if completed)
- Artifact Analysis
  - Collection Curation Location
- Summary and Conclusions
- Recommendations
- References
- Appendices
  - Archaeology Survey Methods Table (if completed)
  - Cultural Materials Provenience Table (if completed)
  - Historical Maps Building Locations Table (if completed)

Shortened Phase I Archaeological 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,
- when there are no cultural resources present, and
- when resources are not present due to disturbance.

This report format may be used when archaeological 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 for any of these reasons. If there is nothing to evaluate for NRHP eligibility and/or there are no NRHP listed or eligible sites 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 archaeological resources in the area.

A short reference to modeling is helpful to predict the likelihood of archaeological resources and document the adequacy of the field methodology. However, a lengthy cultural context is not needed if no archaeological resources are found. 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 literature review, context, and results of field investigations should be included in a shortened report. It does not matter how many test pits or soil cores are done in order to document disturbance and/or absence of archaeological resources in an area; the investigator must unquestionably prove the disturbance and absence of resources to use this format. Photos should also be used to document disturbance in an area. For areas not showing disturbance, those areas should be subjected to testing/coring. Detailed photos of the results of that testing/coring may then be included in the Phase I survey report. If there is nothing to evaluate for NRHP eligibility and/or there are no NRHP listed or eligible properties that can be affected, the report can be shortened.

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. Refer to the Archaeology Guidelines (OHPO 1994).

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 Archaeological 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.

Archaeological Disturbance Assessments

A version of the shortened Phase I report is applicable to report and document project areas that have been totally disturbed and when there is a no potential for encountering archaeological resources in their original physical context within or immediately adjacent to the project area. Disturbance assessment may only be used when the field review and preliminary archaeological investigations reveals 100% negative finding due to the presence of disturbed soils and totally destructive property development. No artifacts should be collected from disturbed contexts and no OAI forms should be generated.

Disturbance assessment reports may be appropriate regardless of the PDP Path. Underground utilities commonly occur alongside most existing roadway in modern urban areas. Even on a PDP Path 5 project, an archaeological disturbance assessment would be appropriate as long as disturbance in the APE is universal. In that situation, this type of shortened report would be considered the most appropriate level of documentation. Conversely, a small bridge project may only require a disturbance assessment report when the work is confined to the existing roadway and work beyond the right-of-way is confined to geologically modern floodplain surfaces where only stream bank protection is being installed.
Disturbance assessments should be designed to focus on basic literature search information, document land use, and narrate development in conjunction with a photograph log. A title page, project description, a shortened literature review, conclusions, and reference section are required for a disturbance assessment. A photograph log (in an appendix) and a fieldwork section should be concise and designed to record the various types of ground disturbances found along the project area. However, predictive modeling, a cultural context, and lengthy methodological approach are not required if the APE is universally disturbed by modern development.

**Reporting Standards that Apply to All Archaeological 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 in reports are to be in English with metric in parentheses. Artifact tables should be in metric only.
- 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.
- Size of area surveyed (in acres), and size of the APE should be included in the Abstract and Introduction.
- 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 archaeology 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.
- Include a Secondary Source Review Map showing the known properties in the APE/Study Area (refer to Figure 3, Appendix K).
- Cultural context/predictive model development (Refer to Chapter 7.)
- Include revised boundary delineations as appropriate, following NRHP guidance.
- 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 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 or standard Phase I or II
- Type of archaeological 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.
• 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...”

Archaeology Tables
• MS Excel format must be used when preparing the archaeology tables.
• All tables must also be submitted as active tables in MS Excel format.
• Secondary source literature review information will be documented on an Archaeology Secondary Source Review Table.
• A Phase I Archaeology Resource Table should be completed for projects having five or more identified resources in the APE/study area.
• A Phase I Archaeology Survey Methods Table, a Cultural Resources Provenience Table, and a Historic Buildings Citation Table should be completed as necessary on projects where that information is collected.

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.

Archaeology Secondary Source Review Table
  o Site Identifier (OAI Number or other identifier)
  o Temporal Period
  o Site Type
  o Common Name (if known)
  o Landform
  o Site Dimensions: Feet
  o Site Dimensions: Meters
  o Current Land Use (i.e., farm field, pasture, housing development, etc.)
  o National Register Eligibility Status/NR Listing Date/NR Status Not Determined

Phase I Archaeology Survey Methods Table
  o Photo Reference Number
  o Survey Area Designation
  o Landform
  o Land Use
  o Surface Visibility Percentage
  o Survey Method
  o Interval
  o Number of Shovel Test Pits
  o Resources Identified (Site Designation)

Phase I Archaeology Resource Table
  o Photo Reference Number
  o Site Designation (OAI Number, Field Site Number)
  o Date Inventoried
  o UTM
  o Cultural Period/Century (e.g., Late Archaic, 19th Century)
  o Diagnostic Artifacts: Present/Not Present
  o Artifacts Confined to Plow Zone (Y/N)
Resource Type
Landform
Soil Phase
Investigation Type
Surface Visibility
Site Dimensions: Feet
Site Dimensions: Meters
National Register Eligible? (Y/N/Unknown/Undetermined)
Applicable NR Criteria
Applicable Aspects of Integrity
Recommendation (e.g., no further work, Phase II, avoidance)

Historic Buildings Citation Table

Common Name (if known)
Location Designation
OHI Number (if known)
OAI Number (if known)
Address (if known)
Township
Range
Section
Historic Atlas Citation
Sanborn Fire Insurance Map Citation
15’ Quadrangle Map
Old 7.5’ Quadrangle Map
Modern 7.5’ Quadrangle Map
Current Land Use
Archaeological Recommendation (e.g., no further work, Phase II, avoidance)

Cultural Materials Provenience Table

Site Number
Field Site Number
Northing and Easting
Area Number
Cultural Materials Observed/Collected
Total (total observed or collected by provenience)

Artifact Analysis
All artifacts from archaeological investigations must be analyzed according to the Archaeology Guidelines (OHPO 1994).

Inventory Forms
Refer to instructions for completing OAI forms (Chapter 7; OHPO 2007, 2007).
Prepare OAI forms for all identified archaeological sites and isolated finds.
The final OAI forms are to be submitted to OHPO via the IForm application when the final survey reports are submitted to ODOT.
When available, the OAI number must be used when referencing the inventoried cultural resource in the text of the report and on any figures and photographs.

Photographs
Photographs for archaeology reports should follow the Archaeology Guidelines (OHPO 1994). For a shortened report, selected representative photographs should be included
for archaeology (e.g., test pits, groundcover, etc.). See Appendix C: Photography Guidelines for additional information.

- Photographs of excellent quality are a requirement. Include panoramic or ‘streetscape’ type views when appropriate to characterize a project area, whether it is an urban or rural setting.
- Photographs should be keyed to project maps (refer to Figure 7, Appendix K).
- 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.
- All archaeological sites that have been photographed and identified should be included on a Phase I Archaeological Resource Table (if used, subject to the ‘five properties or more’ option).
- Photographs of artifacts should include a scale and an accurate label.
- Formal prehistoric tools must be shown as photographs, illustrations, or other graphic representation. Plan views, longitudinal and transverse cross sections may be useful for interpretation purposes.
- Diagnostic historic artifacts must be illustrated as photographs or in plan view and longitudinal and transverse cross sections.
- Photographs documenting survey conditions, areas of disturbance, test unit profiles, formal tools, and diagnostic artifacts observed and not collected or in private collections must be included.
- Photographs of features, test units, profiles, etc., on a site should include a letter board/chalkboard indicating date, site number, provenience, north arrow, and a scale in English and metric.
- If digital manipulation or ‘clean-up’ is done on a photograph (e.g., to clarify soil stratigraphy in a test pit), 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 OAI number, site name, etc., 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 study area/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, illustrate 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
- Use published sources for analytical analyses (e.g., methods for lithic analysis section).
- 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 archaeology reports should be cited according to Editorial Policy, Information for Authors, and Style Guide for American Antiquity and Latin American Antiquity (Society for American Archaeology, n.d.). Consult the most recent Chicago Manual of Style (University of Chicago, 2010a) for topics not covered by the American Antiquity style guide.
• 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.
  o 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, mapping, specific analyses, 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.
  o 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
  o 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.
  o 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.
  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 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.
• 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.

• 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.

• Omit all references to effect (i.e., direct, indirect, visual, noise, adverse, no adverse, etc.)

• Survey reports must explain why a property is eligible for the NRHP. References to “potential eligibility” in any report will not be accepted.

• 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.