

Archaeology Guidelines

Section: Report Formats



State Historic Preservation Office

Ohio History Connection
Columbus, Ohio
2022

Report Formats

TABLE OF CONTENTS

Archaeology Report Formats

SUBMISSION OF REPORT TO THE SHPO	5
GENERAL REPORT OUTLINES FOR PHASE I IDENTIFICATION	6
A. Title Page	6
B. Abstract	6
C. Table of Contents	6
D. Acknowledgement Page.....	6
E. Lists of figures, plates, maps, and tables with corresponding page numbers.....	6
F. Graphics	6
G. Introduction.....	7
H. Sampling Strategy	7
I. Field Methods and Techniques.....	8
J. Survey Results.....	9
K. National Register of Historic Places Eligibility.....	9
L. Curation.....	9
M. Conclusions	9
N. References cited:	10
O. Appendices	10
GENERAL REPORT OUTLINES FOR DISTURBANCE ASSESSMENT AND PHASE I IDENTIFICATION SHORT REPORTS	11
A. Title Page.....	11
B. Introduction.....	11
C. Project specific background information.....	11
D. Field Methods and Results	11
E. Conclusions.....	12
F. References cited	12
GENERAL REPORT OUTLINES FOR PHASE II EVALUATION	12
A. Title page.....	12
B. Abstract.....	12
C. Table of Contents	12
D. Lists of Figures, Plates, Tables, Maps.....	12
E. Introduction.....	12
F. Sampling Strategy	12
G. Field Results.....	13
H. Artifact Analysis	14

<i>I. Curation</i>	14
<i>J. National Register of Historic Places Eligibility</i>	14
<i>K. Assessment of Effect</i>	14
<i>L. Conclusions</i>	15
<i>M. References cited</i>	15
<i>N. Appendices</i>	15
PHASE III	16

These guidelines were made possible, in part, by a grant from the U.S. Department of the Interior’s Historic Preservation Fund administered by the Ohio History Connection, Historic Preservation Office. Partial funding for the 2022 Archaeology Guidelines was provided by the Ohio Department of Transportation-Office of Environmental Services.

Archaeology Report Formats

The following report formats are required for all archaeology undertakings reviewed by the State Historic Preservation Office (SHPO) pursuant to 36 CFR Part 800, regulations implementing Section 106 of the National Historic Preservation Act; and Ohio Revised Code (ORC) section 149.53, Archaeological and Historic Survey and Salvage Work.

The primary role of the Phase I identification report is to document that the area of potential effects (APE) was appropriately and sufficiently examined to identify archaeological resources. The Phase I identification report format is not designed to exclude categories of information not listed, nor to offer a rigid format. The report format may be modified to accommodate the special circumstances of a particular undertaking or to keep it succinct and free of irrelevant and redundant information. Additional report formats are provided for undertakings that clearly demonstrate the APE to be disturbed to such an extent that precludes the possibility of intact archaeological deposits (Disturbance Assessment) and for Phase I identification surveys that do not identify archaeological resources within the APE (Short Report).

When a Phase I identification involves archaeology and history/architecture resource surveys, SHPO prefers they are integrated into one report. If this is not possible due to the timing of the surveys or the number of resources identified, the reports should present complementary information on shared resources (i.e., archaeological resources associated with a standing structure, archaeological resources on the site of a former building or structure or standing building or structure intruding into earlier non-associated archaeological resources).

The Phase II evaluation report involves intensive study of archaeological resources to assess their National Register of Historic Places (NRHP) eligibility. Though the focus and content of the report changes from the Phase I identification report, the format differs little.

The Archaeology Guidelines do not include a specific format for Phase III reports. The focus and formatting of the Phase III report is developed by the agency in consultation with SHPO and other consulting parties and outlined in an agreement document and/or data recovery plan.

Addendum reports are typically the result of changes to the APE after the completion of a Phase I or II report. If the changes only extend the original research design to new areas, the addendum report needs only to include an introduction, description of the change to the APE, results, and conclusions. Addendum reports must be titled with the original report's title starting with the phrase "Addendum to..."

Archaeological monitoring plans and Human Remains Treatment Plans may be necessary as the undertaking progresses through the consultation process. These plans do not have a standard format but as described in the **Archaeology Fieldwork and Cemeteries, Burial Mounds, and Other Burial Places** chapters of the *Archaeology Guidelines*, there is specific information that should be included within the document.

Submission of Report to the SHPO

Unless specified by the SHPO, the agency, or in an agreement document (e.g., Memorandum of Agreement, Memorandum of Understanding, or Programmatic Agreement), paper copies of reports are no longer required. All reports should be submitted to SHPO as a digital copy (pdf format), including the shapefiles for the area surveyed and if identified, boundaries of archaeological resources recorded on the Ohio Archaeological Inventory (OAI) form. In addition, all OAI and Ohio Historic Inventory (OHI) forms must be completed and submitted electronically prior to or concurrently with the report.

Things to keep in mind while writing an archaeological report for submission to SHPO:

- Reports are public documents and must be easy to read and understand, even to someone with little knowledge of how compliance with federal and state laws regarding archaeological investigations is conducted.
- Use active voice whenever possible and avoid vague and vacillating statements.
- Use tables and figures to summarize large amounts of similar data.
- Clearly describe the APE in the text and depicted on a map.
- The research design must be adequately designed and justified to fulfill the goal of the investigation.
- Describe and evaluate all archaeological resources in detail and their relationship to the landscape and other identified archaeological resources.
- Provide a map of all archaeological resources in relationship to the APE.
- All archaeological resources must be recorded on the appropriate OAI form.

General Report Outlines for Phase I Identification

A. Title Page

1. Title of the report, including undertaking name, township/municipality, and county.
2. Author(s) and principal investigator (if not one of the authors).
3. Agency/Applicant for whom report is prepared; include address, telephone number, and email address.
4. Lead agency (e.g., Ohio Department of Transportation, Federal Communications Commission, and U.S. Department of Housing and Urban Development).
5. Date of report.
6. Reports documenting the discovery of American Indian ancestral remains must be marked "Contains Sensitive Material" on the cover of the report.

B. Abstract

1. Summary describing the undertaking's location, scope of work, methods, findings, and recommendations.
2. Statement of the size of area surveyed and size of APE.
3. A list of archaeological resources identified and discussed in the report, and their National Register eligibility.

C. Table of Contents - Topical headings with corresponding page numbers.

D. Acknowledgement Page

1. List of all personnel (authors, field, and laboratory personnel) and their positions/duties.
2. Professional qualifications for all key personnel, including field supervisors, must be included in an appendix, or are on file with the SHPO and referenced in the report.

E. Lists of figures, plates, maps, and tables with corresponding page numbers.

F. Graphics

1. High quality maps and illustrations are required. Scale and cardinal direction must be included on maps and photos or in captions.

2. Temporally/culturally diagnostic artifacts recovered or observed must be illustrated/photographed with a scale.
3. Processed geophysical imagery should conform to the software designer's current conventions as applied to archaeology. Magnetic susceptibility and gradiometer results displayed in black/white-grayscale. Ground penetrating radar displayed in black/white- grayscale with blue and red on extreme ends of pole; however, Industrial Blue is also acceptable. Electromagnetic resistivity data is represented in black/white & green scale. Electromagnetic conductivity data is best plotted in rainbow (red to blue) format.
4. All geophysical plots must include a scale bar, scale indicating the range and magnitude of the data on display, a north arrow and grid coordinates when applicable.
5. All American Indian ancestral remains and associated funerary objects must not be publicly displayed or photographed without written consent from the consulting tribes.

G. Introduction

1. Discuss the purpose and circumstances of the archaeological locations including descriptions of the proposed undertaking, location and setting, the amount of acreage surveyed, and the undertaking's administration, organization, and constraints.

H. Sampling Strategy

1. Provide a clear statement describing and justifying the sampling strategy for identifying archaeological resources in the APE.
2. Present referenced information on the past and present environmental setting of the APE, including any landscape transformation that could impact the identification of archaeological resources.
3. Provide a review of relevant local culture histories, previous research including chronology, settlement and subsistence patterns, resource types, and any predictive models that were used in determining what types of archaeological resources are likely to be present and where, how these may be recognized, which survey methods will be efficacious in finding them, identifying their temporal affiliation(s), and evaluating them against the National Register criteria.
4. Identify known archaeological resources in or near the APE utilizing the OAI, OHI, NRHP, prior surveys, manuscripts, maps, aerial and terrestrial

photographs, historical documents, LiDAR imagery, and other relevant sources.

5. Include referenced copies of historical maps, atlases, aerials, photographs, or other primary documents as applicable.
6. Describe and justify the appropriateness of the data collecting techniques, sampling strategies, artifact retrieval procedures, and/or geophysical survey methods. If geographic information system modeling probability zones are established, describe how these zones were determined and how the sampling strategies differ between them. Illustrate the sampling strategies and/or probability zones on an APE map included and referred to in the report and discuss how the results were evaluated.

I. Field Methods and Techniques

1. Report all dates of fieldwork and describe environmental (weather and surface) conditions during the survey and any effects these conditions had on the survey.
2. State current ground conditions, percentage of ground visibility, interval spacing of transects and test units, as well as test unit dimensions for each field/survey area. Provide a table when more than three fields/survey areas occur.
3. Indicate methods utilized to determine artifact/anomaly density, extent (horizontal and vertical), integrity, and the means by which all-geophysical anomalies were evaluated as to their potential to be of archaeological interest.
4. Provide summary descriptions for survey areas of similar conditions and settings when more than three survey areas are in the APE.
5. Provide mapping showing the location and size of all geophysical survey areas with anomalies of archaeological interest keyed to a datum point.
6. Provide photographs (include a north arrow and scale) and soil descriptions from representative shovel test units. Schematic drawings of soil profiles are required when soil stratigraphy is complex and not easily discerned by a photograph.
7. Describe natural and/or cultural stratigraphic levels, soil types, features, and/or material remains encountered within each test unit.

J. Survey Results

1. Special attention should be given to describing archaeological resources, including their taphonomy, integrity, boundary determination and relationships to natural and/or cultural resources in the vicinity.
2. Include artifact description and analyses:
 - a) Specify counts of archaeological materials identified (by number or weight as appropriate) and their provenience. Descriptions of materials should include type of material; metric and stylistic attributes appropriate to the functional class; and alterations from production, use or post deposition processes, and any other characteristic(s) used to assign a cultural/temporal affiliation.
 - b) Specify and tabulate diagnostic archaeological materials by cultural/temporal type names and material type when possible.
 - c) Tabulate faunal or floral material by taxon and number, if possible.

K. National Register of Historic Places Eligibility

1. Archaeological resource within the APE must be evaluated according to its historic context and ability to meet at least one of the four National Register criteria (A through D), particularly criterion D.
2. Discuss the level of integrity of archaeological resource within the APE.
3. Provide eligibility determinations or recommendations for additional fieldwork and/or avoidance measures.

L. Curation

1. For all collections, a statement concerning the location of the physical items (i.e., artifacts, floral and faunal remains, processed and unprocessed samples), and associated documentation (i.e., field and lab notes, journals, logbooks and/or forms, maps, drawings, photographs, and undertaking correspondence) when possible, must be provided in the Phase I identification report.
2. SHPO encourages the curation of all physical items and associated documentation for all archaeological resources requiring Phase II evaluation.

M. Conclusions

1. The concluding section should present a summary including a brief discussion of the following:
 - a) Scope of undertaking
 - b) Location of undertaking
 - c) Field methods and analysis employed
 - d) Findings
 - (1) Provide a list of all archaeological resources identified within the APE. If none are present, state the reasons why you believe none exist or could not be identified (i.e., area is disturbed, poorly drained soils present, etc.).
 - e) Evaluation of findings:
 - (1) An assessment of archaeological resource eligibility with appropriate references to the criteria for the NRHP (36 CFR Part 60) as applicable. The significance of each archaeological resource must be discussed in terms of its scientific (archaeological), historical and/or cultural value (If the examination did not offer an opportunity to gain data sufficient to arrive at a satisfactory conclusion, offer recommendations for further research, i.e., Phase II evaluation).
 - (2) Primary impact
 - (3) Secondary impact (if known)

N. References cited:

Follow American Antiquity style guidelines.

O. Appendices

1. Specialized reports
2. Unprocessed geophysical sensor data and associated field notes
3. Large quantities of data associated with literature review section; shovel test unit inventory, piece-plot inventory, etc.
4. Relevant undertaking communications with SHPO, Agency/Applicant, and other consulting parties.

5. Vitae of all key project personnel who are not on file at the SHPO.

General Report Outlines for Disturbance Assessment and Phase I Identification Short Reports

A. Title Page (see General Report Outlines for Phase I identification)

B. Introduction

1. Summary of location, scope of work, methods, and findings.
2. Statement of the size of area surveyed/ tested and size of APE.
3. Briefly discuss the results of the investigations, i.e., no archaeological resources identified within the APE and/or the APE displays extensive land modification such that no intact archaeological resource is present.

C. Project specific background information

1. Discuss the specific environmental setting of the APE, emphasizing the transformation of the landscape to current conditions.
2. Identify all known cultural resources in the APE.
3. Include historic maps, atlases, photographs, and any primary documents as applicable.
4. Discuss expected soil types in the APE.

D. Field Methods and Results

1. Record all dates of fieldwork, list of personnel, and weather conditions.
2. Provide written or tabular summary descriptions of the methods used to identify archaeological resources or to document disturbance to a depth sufficient to preclude the possibility of encountering intact archaeological deposits.
3. State percent of ground visibility and provide photos documenting ground surface visibility for each area surface collected, if applicable.
4. Discuss types of soils encountered and compare to soil types expected.

5. Provide photographs and soil descriptions from representative shovel test units and/or soil cores.

E. Conclusions

1. Present a summary including a brief discussion of the following:

- a) Scope of undertaking
- b) Location of undertaking
- c) Methods employed
- d) Results

(1) Provide the following concluding statement, "Based on the literature review and field investigation no archaeology resources were identified in the APE and no further archaeological investigation is recommended."

F. References cited

Follow American Antiquity style guidelines.

General Report Outlines for Phase II Evaluation

A. Title page (see General Report Outlines for Phase I identification)

B. Abstract (see General Report Outlines for Phase I identification)

C. Table of Contents (see General Report Outlines for Phase I identification)

D. Lists of Figures, Plates, Tables, Maps (see General Report Outlines for Phase I identification)

E. Introduction (see General Report Outlines for Phase I identification)

F. Sampling Strategy

1. Background Research- Summarize previous investigations and tabulations of Phase I artifact and feature information to include:

- a) A description of regional/local settlement pattern(s)

- b) A summary of types of data expected from investigation
- c) For post-contact/urban, in addition to the above, a history of ownership, occupation, land use, and development.

2. Field Methods and Techniques:

- a) Describe and justify the methods used to determine the archaeological resource's potential to yield information important in prehistory or history.

- b) Testing

Address each of these goals:

- (1) Horizontal and vertical boundary definition of each archaeological resource
- (2) Identification of features (representative drawing and photographs should accompany report)
- (3) Artifact distribution
- (4) Dating
- (5) Identification of stratified deposits
- (6) Botanical/ faunal information potential

G. Field Results

1. Summarize the results of the fieldwork.
2. Provide figure(s) that illustrate the location(s) and method(s) of all survey methods and techniques including areas identified as disturbed. Key symbols and/or shading to a legend
3. Provide soil descriptions and profiles, including geomorphological interpretations.
4. Soil profiles illustrated must be labeled with excavation levels, soil horizons, and artifact counts by level/horizon when applicable.
5. Provide maps, photographs, and drawings with labels, when applicable, that identify artifact provenience, type, and diagnostic or cultural affiliation

6. Describe cultural features; include plans and profiles.

H. Artifact Analysis

1. Tabulate all artifacts by type, provenience, level and feature, along with quantitative descriptions of artifacts as specified for Phase I identification.
2. Categorize artifacts for comparison.
3. Provide a regional interpretation of the assemblage.
4. Provide the results of cross-mending and distributional plotting, when appropriate, to assess site structure.
5. When present, provide results of flotation.
6. Include results of radiocarbon dating samples, when available.

I. Curation

1. For all collections, a statement concerning the location of the physical items (i.e., artifacts, floral and faunal remains, processed and unprocessed samples), and associated documentation (i.e. field and lab notes, journals, logbooks and/or forms, maps, drawings, photographs, and undertaking correspondence) must be provided in the Phase II evaluation report.
2. SHPO encourages the curation of all physical items and associated documentation for all archaeological resources determined eligible for listing on the NRHP.

J. National Register of Historic Places Eligibility

1. Archaeological resource must be evaluated according to its historic context and ability to meet at least one of the four National Register criteria (A through D), particularly criterion D.
2. Discuss the level of integrity of archaeological resource within the APE.
3. Provide eligibility determinations and/or recommendations for additional fieldwork.

K. Assessment of Effect

1. Discuss the horizontal and vertical boundaries of NRHP eligible archaeological resources in relationship to the APE using graphics when appropriate.

L. Conclusions

1. The concluding section should present a summary of the archaeological investigations including a brief discussion of the following:
 - a) Location of undertaking
 - b) Field methods and analysis employed
 - c) The nature of each archaeological resource subjected to Phase II evaluation.
 - d) Results of the evaluation of archaeological resource eligibility with appropriate references to the criteria for the NRHP (36 CFR Part 60) as applicable.
 - e) Suggest avoidance, minimization, and/or mitigation measures for all NRHP eligible archaeological resources.

M. References cited

Follow American Antiquity style guidelines.

N. Appendices (see General Report Outlines for Phase I identification)

Phase III

All applicable sections of the report format for Phase I identification and Phase II evaluation reports, should be included in a final report. In addition, while the content and focus of Phase III reports may vary, they must address the research questions identified in the data recovery plan.