

HISTORIC PRESERVATION SERIES



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STANDARDS AND GUIDELINES FOR INVESTIGATING AND REPORTING ARCHAEOLOGICAL AND HISTORIC PROPERTIES IN ALASKA

The Alaska Office of History and Archaeology (OHA) and the State Historic Preservation Officer (SHPO) have prepared these reporting standards and guidelines for cultural resource survey reports to facilitate review responsibilities for surveys done in conjunction with National Historic Preservation Act (NHPA) and National Environmental Policy Act (NEPA) compliance. The OHA recognizes several phases, levels, and types of investigations to identify, evaluate and treat archaeological and historic properties. These include reconnaissance and intensive surveys as well as excavation for site evaluations and data recovery.

IDENTIFICATION PHASE

The goal of *identification for compliance projects* is to locate archaeological and historic properties that might be eligible for the National Register of Historic Places in an undertaking's area of potential effect. Reconnaissance level surveys are useful early in the planning stages of a project. They are used to determine if an intensive survey or testing is warranted, but alone cannot normally be used to satisfy complete compliance. These studies entail development of research designs, archival and background research, field survey, analysis, and reporting. All surveys should include pedestrian (walkover) examinations of the ground surface and might include subsurface testing. Investigators (*e.g.*, contractors or consultants) should make clear to agencies and applicants (as clients) the phased nature of this type of research to avoid misunderstandings about the scope of services.

EVALUATION PHASE

The goal of *evaluation for compliance projects* is to determine if archaeological or historic properties identified in the area of potential effect are eligible for inclusion in the National Register of Historic Places. These reports are used by agencies to support either consensus or formal determinations of eligibility. These are reports of intensive surveys. They require the evaluation of historic buildings and structures and/or investigation of adequate portions of archaeological sites to evaluate the significance of the property. These studies entail development of research designs, archival and background research, field studies, analysis, and reporting. When there are three or more buildings or structures, it should be determined if the resources constitute a historic district. Archaeological evaluation projects must include excavation as a major component for field sampling. Systematic walkovers of sites and surface collecting and mapping can be useful techniques for the establishment of site boundaries and help determine where to place test excavation units.

TREATMENT PHASE

The goal of *treatment for compliance projects* is to avoid, minimize, or mitigate an undertaking's adverse effects on an archaeological or historic property listed in or determined eligible for inclusion in the National Register of Historic Places. Agencies should evaluate a project's effects on archaeological and historic properties early in project planning when the widest range of project alternatives is open. The purpose of data recovery is to retrieve and analyze the maximum amount of information from an archaeological property necessary to address important research topics. Recovery is accomplished through detailed archaeological excavation, recordation, background research, analyses, and reporting, performed in accordance with a well defined and justified recovery plan. Following recovery, researchers must analyze the data and prepare complete draft and final reports on all aspects of the work.

Reports and documentation

Written reports are required for the various levels and types of investigations. These documents need to contain specific kinds of information to allow OHA staff, the agency sponsoring an undertaking, and the Advisory Council on Historic Preservation to make informed decisions regarding the identification and treatment of significant sites. For compliance projects, it is necessary to submit complete reports for review, not management summaries. Submission of reports which lack key information can cause project delays.

Reports need to be scientific and technical. They must be clearly written and free of jargon. The report should identify the name and credentials of the principal investigator and the individual leading the field work to ensure that they meet the Secretary of the Interior's standards. Reports submitted for Section 106 review should consist of bound, 8 ½" by 11 typed pages. Figures may be larger in size for clarity, if they can be folded to fit in the bound report as pages or inserts in a pocket.

SUGGESTED OUTLINE

Although content of individual reports will vary, the specific report format should reflect an awareness of *The Secretary of the Interior's Standards and Guidelines* for reports. The following guidelines are suggested to insure adequate documentation and comparability of research.

1. Title page.

Report title; project's official name, nature of investigation, and geographic location; author(s) and mailing address; name and mailing address of lead agency; and, if appropriate, the government agency (engineering firm, developer, project sponsor); and date of report.

2. Abstract (not to exceed one page) or **Management Summary** (not to exceed two pages).

A summary of the purpose of the work, nature of the undertaking, and a concise statement of findings, recommendations and conclusions.

3. Table of contents and figures (prefer a single list of figures for all illustrations).

4. Introduction.

Brief statement on the purpose of the work; identification of the lead government agency (or project sponsor), description of proposed undertaking; specific laws and authorities; project locator maps showing the area of potential effect; dates of research and field work; area examined; number and titles of personnel; description of the organization of the report.

5. Research design.

Clear, detailed statement of objectives, goals, research questions, and priorities. If a formal scope of work or proposal was prepared, it can be referenced to avoid lengthy repetition.

6. Results of archival and background research.

Discuss past and present natural environments in light of factors relevant for consideration of archaeological and historic property potential, integrity, and significance.

7. Results of field and laboratory investigations.

Present interpretations that refer to historic contexts, research questions, and integrity and significance issues concerning eligibility. Opinions concerning the National Register eligibility of *all* identified properties should be clearly stated.

8. Summary and recommendations.

Summary of results and evaluation of methods and techniques employed; assessment of impact of undertaking on identified archaeological and historic properties; need for additional investigations or site treatment.

9. References.

List all references using the latest *American Antiquity* format for archaeology reports and the *Chicago Manual of Style* for historic reports.

10. Appendices.

Examples include relevant project correspondence; scope of work or proposal; antiquities permits; copies of ancillary studies (*e.g.*, faunal or soil analyses); artifact inventory; conservation report; AHRS data; qualifications of principal investigator(s).

11. Illustrations.

Maps, drawings, photographs, *etc.*, called figures and numbered in a single running series should have:

- a. informative title (including location and orientation of camera)
- b. scale, or indication that it lacks a scale
- c. north arrow
- d. key
- e. clarity
- f. utility (useful information)