FACT SHEET #16: GUIDELINES FOR DEVELOPING ARCHAEOLOGICAL SURVEY REPORTS IN OKLAHOMA AND REPORT COMPONENTS

The State Historic Preservation Office (SHPO), in cooperation with the Oklahoma Archeological Survey (OAS), assists federal agencies and others carrying out federal undertakings to meet their responsibilities under Section 106 of the National Historic Preservation Act (NHPA). The NHPA stipulates that federal agencies must consider the effects of their undertakings on archaeological and historic properties listed in or eligible for the National Register of Historic Places (NRHP). These actions often result in the generation of archaeological reports for proposed projects that are submitted to the SHPO and OAS for review. The SHPO and OAS provide the following Guidelines for the Preparation of Archaeological Reports (Section A. below), including the list of report components (Section B. below). When these guidelines are followed for reports detailing both Positive and Negative Findings, the data needed for an accurate and prompt review will be presented in an organized manner. Additional sources of information about the identification and evaluation of archaeological and historic resources, the Section 106 process and related issues are provided in this Fact Sheet (Section C. below).

Guidelines for Archaeological Report Preparation

In Oklahoma, archaeological studies are conducted by a diverse group of Cultural Resource Management (CRM) professionals for a wide range of projects. Therefore these guidelines for Oklahoma have been designed based on the Secretary of the Interior's Standards for Identification (www.nps.gov/history/local-law/arch_stnds_2.htm) and on the NPS "National Register Bulletin No. 24, Guidelines for Local Surveys" (www.nps.gov/nr/publications/bulletins/pdfs/nrb24.pdf).

Other sources consulted include the guidelines of Oklahoma's neighboring states for conducting archaeological studies and for preparing archaeological reports. The information has been synthesized to design Oklahoma archaeological reporting guidelines that would be comparable to the SOI standards and neighboring states guidelines. These guidelines shall be used in conjunction with the Oklahoma Archaeological Report Components for Both Positive and Negative Findings (see Page 5).

Throughout this document, reference is made to historic properties. The NHPA treats prehistory as a part of history for purposes of policy; therefore the terms "historic" and "historical," as used in this document, refer to both prehistoric (pre-contact) and historic (post-contact) archaeological properties. In accordance with NRHP terminology, an historic property can be a district, site, building, structure or object.

In Oklahoma, whether historic properties are found or not during a survey, a formal report must be written and submitted for review. At all levels of archaeological work, critical judgments about the nature and treatment of historic resources must be made. In order to ensure the best possible judgments, the SHPO and OAS are required to review the reports of archaeological work involving federal funds, licenses, permits, or federally assisted undertakings. Information in an archaeological report written for compliance must be adequate to allow the SHPO, OAS and other parties (such as the Advisory Council on Historic Preservation) to understand the purposes, methods, procedures and observations upon which final interpretations, conclusions, recommendations, and judgments have been made. If the report lacks sufficient information or detail, it may be considered inadequate for compliance purposes.

Authors of technical reports should remember that those who review their work do not have access to the raw data collected in the field, nor have they had the opportunity to visit the site(s) in person or to conduct a detailed analysis of artifact collections. **Therefore, it is incumbent on researchers to include all of the information available about each site in the technical report so that reviewers can make judgments based on data collected in the field, rather than their personal assessment of the skill and integrity of the investigator.** This is important regardless of the eligibility of a given property. In fact, it may be more important in cases involving sites thought to be ineligible, since they are frequently severely damaged or destroyed during project construction and the technical report may contain the only information available on them. It is as important to record judgments of why no resources were found as to record what resources were found. The area walked and the nature of the ground cover must be indicated so that the results of the survey can be evaluated in light of these constraints. In addition, the factors of ground cover and survey techniques can be reviewed when or if future surveys are contemplated in the same area. Surveys vary in intensity and may or may not include testing. **It is the reporting in detail on these activities, decisions, and judgments that are important.**

The assumption is that if a survey is required it is because there is likelihood that archaeological resources will be present. If no resources are found, the report should reflect both why it was thought they would be present and why no resources were found (e.g., modern environment, settlement patterns of the distant or recent past).

In preparing information for reports, the amount of detail should be commensurate with the size and complexity of the project. The information should always be directly relevant to the project area. If little is known of the history of the area, say so, but put the area into context relative to what was being looked for in the way of cultural resources. Since fieldwork will have been accomplished, describe the environment as seen by the people in the field, using appropriate sources for fitting that into an environmental setting. It is inappropriate for the same "boilerplate" paragraphs to be used for all project reports for Oklahoma.

Research Design

The research design establishes goals and directions for the research. Identification activities are essentially research activities for which a statement of objectives or research design should be prepared before work is performed. Within the framework of a comprehensive planning process, the research design provides a vehicle for integrating the various activities performed during the identification process and for linking those activities directly to the goals and the historic context(s) for which those goals were defined.

The research design stipulates the logical integration of historic context(s) and field and laboratory methodology. Although these tasks may be performed individually, they will not contribute to the greatest extent possible in increasing information on the historic context unless they relate to the defined goals and to each other. Additionally, the research design provides a focus for the integration of interdisciplinary information. It ensures that the linkages between specialized activities are real, logical and address the defined research questions. Identification activities should be guided by the research design and the results discussed in those terms. The research design should include the following:

1. Objectives of the identification activities: to characterize the range of historic properties in a region; to identify the number of properties associated with a context; to gather information to determine which properties in an area are significant. The statement of objectives should refer to current knowledge about the historic contexts or property types, based on background research or assessments of previous research. It should clearly define the physical extent of the area to be investigated and the amount and kinds of information to be gathered about properties in the area.

2. Methods to be used to obtain information: archival research and field survey. Research methods should be clearly and specifically related to research problems. Archival research and survey methods should be carefully explained so that others using the gathered information can understand how the information was obtained and what its possible limitations or biases are. The methods should be compatible with the past and present environmental character of the geographical area under study and the kinds of properties most likely to be present in the area.

3. The expected results and the reason for those expectations. Expectations about the kind, number, location, character and condition of historic properties are generally based on a combination of background research, proposed hypotheses, and analogy to the kinds of properties known to exist in areas of similar environment or history.

Environmental Context

Descriptions of the area's physical environments should be scaled to the size (area) of the undertaking and the potential role of the environment in understanding archaeological resources that might be present. This study should tie in directly with the research design and cultural significance. If the

pertinent information has been adequately presented in a recent publication, it is sufficient to cite that document and summarize its findings, concentrating on the points of greatest archaeological significance.

Historic Context (Cultural Setting for both prehistory and history)

An historic context is an organizational framework of information based on theme, geographical area and period of time and is recommended as the basis for organizing information pertinent to the research design and survey results. A survey may focus on a single or several historic contexts and may identify properties relating to a single, several or many property types depending on the goals of the survey. Historic contexts may be based on the physical development and character, trends and major events, or important individuals and groups that occurred at various times in the history and prehistory of a community or other geographical unit.

Pre-field Research

Investigations of archaeological resources in an area must begin with a review of information on sites, structures and studies that are already on record since it will provide guidance for the archaeological work to follow. This literature review shall be conducted at the OAS. A review of the Oklahoma Landmarks Inventory (OLI) and Oklahoma's NRHP listings, which are available online at the SHPO's website, should be conducted as well. Other sources to be consulted should include a review of historic maps such as the Bureau of Land Management General Land Office (BLM GLO) map database as well as a review of historic aerial photographs that may be available for the project area.

Fieldwork

Reconnaissance survey: a "walkover" archaeological inspection, perhaps coupled with small-scale test excavations (STPs), to get a general idea of the archaeological potential of portions of the project area. A reconnaissance level survey also includes a study of aerial photographs, historical and recent maps, soil surveys, and other sources of information to help gain a general understanding of the project area layout and environment at different times in its history. The data should allow the formulation of estimates of the necessity, type and cost of further identification work and the setting of priorities for the individual tasks involved. In most cases, areas surveyed in this way will require resurvey if more complete information is needed about specific properties.

A reconnaissance survey should document:

1. The kinds of properties looked for;
2. The boundaries of the area surveyed;
3. The method of survey, including the extent of survey coverage;
4. The kinds of historic properties present in the surveyed area;
5. Specific properties that were identified, and the categories of information collected; and
6. Places examined that did not contain historic properties.

Intensive survey: designed to identify precisely and completely all historic resources in the area. It generally involves detailed background research, and a thorough inspection and documentation of all

historic properties in the field; permits classification of individual properties; and records the physical extent of specific properties. It should produce all the information needed to evaluate historic properties and prepare an inventory.

An intensive survey should document:

1. The kinds of properties looked for;
2. The boundaries of the area surveyed;
3. The method of survey, including an estimate of the extent of survey coverage;
4. A record of the precise location of all properties identified; and
5. Information on the appearance, significance, integrity and boundaries of each property sufficient to permit an evaluation of its significance.

Report

Reporting of the results of identification activities should begin with the statement of objectives prepared before undertaking the survey (for components of an archaeological report, see Page 5). The report should respond to each of the major points documenting:

1. Objectives;
2. Area researched or surveyed;
3. Research design or statement of objectives;
4. Methods used, including the intensity of coverage. If the methods differ from those outlined in the statement of objectives, the reasons should be explained.
5. Results: how the results met the objectives; result analysis, implications and recommendations; where the compiled information is located.

Oklahoma Statutes

Oklahoma Antiquities Law – Oklahoma Statute Title 53 Chapter 20 (Section 361):
(www.oscn.net/applications/oscn/deliverdocument.asp?citeid=80255&date=11/24/1986)

The state legislature passed this law in 1985 to protect archaeological sites on state-owned land. Site excavations on state land must be done by trained researchers who have been issued a permit from the State Archaeologist, Oklahoma Archeological Survey, Norman. A provision in the law can help landowners protect their archaeological sites against unauthorized relic digging.

All artifacts recovered from excavations on state lands must be deposited in an Oklahoma museum or repository. The policy of the State Archeologist, the State Historic Preservation Officer, and the Oklahoma Museum of Natural History is to make archaeological materials available to qualified researchers for study and to responsible museums for display.

Violators of the provisions of this law are guilty of a misdemeanor and, upon conviction, may be fined up to $500 and/or be imprisoned up to 30 days in the county jail.

The Burial Desecration Law – Oklahoma Statute Title 21 Chapter 47 (Section 1168.0 – 1168.6):
(www.oscn.net/applications/oscn/Index.asp?ftdb=STOKST21&level=1)

Passed in 1987, this law extends protection to human remains and associated burial goods in unmarked graves on both state and privately owned land. In essence, it is illegal to knowingly disturb, buy, sell, or barter human skeletal remains or associated items from unmarked graves. Also, these items may not be displayed for profit or in any commercial enterprise. People who encounter or discover unmarked graves and their contents should stop any further disturbance activities and report the find to an appropriate law enforcement officer in the county where the remains are found.

Violators of this law may be guilty of either a misdemeanor or a felony. For a misdemeanor conviction, violators may be fined up to $500 and/or be imprisoned up to six months in the county jail. A felony conviction could result in a $1,000 fine with up to two years imprisonment in the state penitentiary.

All efforts will be made to establish the tribal affiliation of remains from unmarked graves and to see that these remains are reburied in a timely, appropriate fashion.

Components of Archaeological Survey Reports for Both Positive and Negative Findings

Archaeological survey reports prepared for submission to the SHPO and OAS as a requirement of a Section 106 (NHPA) consultation or other purposes should include the items listed below, whether the report summarizes either positive or negative findings.

1. Title Page
    (a)   List the authors. Include name, address, and phone number of the consulting firm.

    (b)   Identify the party to whom the document was submitted (e.g., contracting or responsible party such as an agency, developer, or a lead agency).

    (c)   Present the report title. Indicate the type of investigation conducted, undertaking name, location including county and city or equivalent designation.

    (d)   Date the report by month and year.

    (e)   Identify the entity submitting the report, such as the consulting firm, agency, or group that prepared and submitted the document. The submitter and the author may be identical.

    (f)   Cite the 7.5-minute USGS topographic map quadrangles that depict the study area. Include the year the map was published and the year the map was Photo Revised (PR) and the Township, Range and Section of the study area.

    (g)   List the acreage included in the study.

2. Table of Contents
    (a)   List major report sections, subheadings, and appendices, with page numbers.

    (b)   Provide a list of maps with page numbers.

(c)   List figures with page numbers.

(d)   List tables with page numbers.

3. Abstract

(a)   Summary of the location of the study area.

(b)   The general nature of the investigations performed (survey, testing, etc.).

(c)   The basic character of the data recovered.

(d)   The interpretative conclusions of the study.

(e)   The recommendations for cultural resource management and/or future archaeological, architectural, or other appropriate research.

4. Introduction

(a)   Describe the nature of the proposed project for which the archaeological study was conducted.

(b)   Include a summary of the sponsor of the project: the identity of the contracting party(ies) and the purpose of the sponsor in initiating the investigation.

(c)   Provide a summary of any difficulties encountered during the course of the project that adversely affected its results; the repository of the records and artifacts derived from the project and a summary of the organization and content of the succeeding sections of the report.

(d)   Identify the personnel directly responsible for the data collection, analysis, and report preparation and the dates between which each phase of the project occurred.

(e)   Identify the project APE. Define the Area of Potential Effect (APE) by describing the location and the boundaries of the study area. Include a 7.5-minute USGS topographic map, 1:24,000-scale, with the study area clearly demarcated. In the caption for the map, include the name of the topographic map, the year of its publication and the year that it was Photo Revised (PR), the Township, Range and Section of the study area and a North Arrow that indicates the direction of the study area.

5. Research Design

Provide a research design that establishes the goals and directions for the research.

6. Environmental Setting

Descriptions of the area's physical environment should be scaled to the size (area) of the undertaking and the potential role of the environment in understanding archaeological resources that might be present. This study should tie in directly with the research design and cultural significance. If the pertinent information has been adequately presented in a recent publication, it is sufficient to cite that document and summarize its findings, concentrating on the points of greatest archaeological significance. Within the text of this section, provide the appropriate citations of authors whose research was used to develop the environmental setting

section. For guidance on in-text citation format please refer to the Society for American Archaeology Style Guide Text, Section 3.4.1-3.4.17 on In-Text Reference Citations (www.saa.org/AbouttheSociety/Publications/StyleGuide/tabid/984/Default.aspx).

The environmental setting section should include:

(a) Describe the current natural environment of the general area including landforms, hydrology, geology, soils, climate, vegetation, and animal life, as appropriate. The location of culturally important resources such as rock outcrops, reservoirs, town sites, etc., should also be discussed, as appropriate.

(b) Describe how the present environment of the project area affects both the archaeologist's ability to perform the archaeological work and how it may affect the location, integrity, and visibility of the archaeological sites.

(c) Describe the natural environment as it is believed to have existed during the temporal periods of occupations under investigation.

7. Cultural Setting

Provide both a Prehistoric Context and a Historic Context that is relevant to the study area. Discuss only the periods of prehistory and history that are relevant to the current project based on the background research and identify significant sites in the region. Within the text of this section, provide the appropriate citations of authors whose research was used to develop the cultural setting section.

8. Pre-field Research

(a) Provide a summary of previous archaeological work obtained from a literature review. The literature review search radius should be stated within the summary (i.e. ½-mile, 1-mile radius) and the summary should include all work and previously recorded sites within the maximum extent of the project APE.

(b) Include a summary of the findings from the previously conducted studies within the search radius and how these studies may relate to the current project.

(c) Include a table of all previously recorded sites within the search radius with a brief description of the site and its eligibility status.

(d) Describe information obtained from other sources such as historic maps, aerial photographs and any other pertinent lines of research used for the project.

9. Field Work

(a) Describe the survey methodology. Testing methods used (shovel tests-number, spacing, depth; screen size used for sifting soil, etc.);

(b) Provide a description of the survey area(s), indicating the size of the area(s) measured in acres and indicate them on a map. If Shovel Test Pits (STPs) were excavated as part of the survey, include a map that depicts where the STPs were dug as well as a table of the STPs that provides the UTM location information, the depth, soil type and number of artifacts encountered (if any).

(c)   Provide a statement of survey and field conditions. Indicate areas of differing ground cover and present-day land use. Identify any limiting conditions that affected the survey.

(d)   Describe the soil types found within the survey area(s).

10. Summary of Findings

A thorough description of collected data is essential for the construction of meaningful and well -supported interpretations. When interpretations of data are mixed with or substituted for basic data presentations, the reader is left with no basis for independently assessing conclusions and inferences. It is therefore critical to explicitly separate data presentation from interpretation of those results whenever possible.

(a)   Description of collected data; and

(b)   Interpretation of collected data.

11. Archaeological Resources

If no archaeological resources were located, their absence should be explicitly noted. If resources were previously   reported or anticipated but were not located, discuss the possible environmental and cultural factors that may have hidden or destroyed the resources. Due to issues of confidentiality regarding the locations of sites, it may be necessary to use a confidential appendix that includes a map depicting the location of site(s) that will not be distributed to the general public.

(a)   Archaeological resources identified: provide information regarding the archaeological resources that were observed and recorded, including prehistoric archaeological sites, historic archaeological sites, isolated artifacts as well as any standing structures and the built environment.

(b)   Describe the nature of each site in short narrative form (size, both vertical and horizontal if known; quantify artifacts, features; topographic location, site integrity). Include a discussion of location of shovel tests, cores, cleared areas, test pits as appropriate. A map indicating where these are placed should accompany the site records and be included in the report. Provide as much detail as possible. Discuss not only what is known about the site, but HOW it is known as well.

     With regard to historic archaeological sites that may include extant or non-extant homestead structures and other related features such as trash dumps and features related to agricultural and ranching activities, research should include a history of property ownership which entails a review of chain of title, a review of Oklahoma's notable individuals on a local level as well as a review of historic maps and aerials that may depict occupation of the site throughout time. For guidance

on how to record historic period archaeological sites, refer to SHPO Fact Sheet #12 that may be accessed at www.okhistory.org/shpo/factsheets/fs12arch.pdf.

Chain of title research includes: the succession of title ownership to real property from the present owner back to the original owner at some distant time. Chains of title include notations of deeds, judgments of distribution from estates, certificates of death of a joint tenant, foreclosures, judgments of quiet title (lawsuit to prove one's right to property title), and other recorded transfers (conveyances) of title to real property.

(c) Enumerate and describe artifacts. Artifacts, especially diagnostics and items with time-sensitive attributes, should be described sufficiently to reveal their significance. Illustrations may be used to help with these descriptions. A summary table or tables of artifact totals by class and provenience should be included. For example, if 10 of 25 shovel tests used to define the boundaries of a site produced artifacts, information showing which tests produced the artifacts and how many were in each test should be provided. Summary tables of artifacts collected from general contexts, such as plowed field surfaces, should also be included.

(d) Describe all features including those above ground and document with photographs. In the case of standing structures, photographs are particularly important. Include illustrations or photographs of diagnostic artifacts.

(e) Complete a site form revision for every previously recorded site within or adjacent to the project area and include them in a report appendix. Provide information regarding the current status of each site. Indicate how each site has changed since the last record was completed.

12. Provide the interpretative conclusion of the study.

13. Provide recommendations for cultural resource management and/or future archaeological, architectural, or other appropriate research.

14. Include any appropriate appendices such as site forms or confidential maps.

15. Include a bibliography of publications used, published maps used and cite any personal communications that were used during the course of the study regarding archaeological resources and the study area. For guidance on bibliographic format, please refer to the Society for American Archaeology Style Guide Text, section 3.9.1-3.9.21, on References Cited (www.saa.org/AbouttheSociety/Publications/StyleGuide/tabid/984/Default.aspx).

Sources of Information Online

Following are the links to websites for the ACHP, NPS, OAS, and SHPO where further guidance and materials cited in this SHPO Fact Sheet can be found. Selected items from some of these sites are also listed for the reader's convenience. Hard copies of most items are available from the SHPO upon request.

1. Advisory Council on Historic Preservation (www.achp.gov/)

2. National Park Service (www.nps.gov)

Archeology and Historic Preservation, Secretary of the Interior's Standards for Identification (www.nps.gov/history/local-law/arch_stnds_2.htm)

"National Register Bulletin No. 24, Guidelines for Local Surveys: A Basis for Preservation Planning" (www.nps.gov/nr/publications/bulletins/pdfs/nrb24.pdf)

"National Register Bulletin No. 36, Guidelines for Evaluating and Registering Archeological Properties" (www.nps.gov/nr/publications/bulletins/pdfs/nrb36.pdf)

3. Oklahoma Archaeological Survey (www.ou.edu/archsurvey/)

Oklahoma Atlas of Archaeological Sites and Management Activities (www.ou.edu/content/dam/archsurvey/docs/archsur-ok-atlas-of-sites.pdf)

Oklahoma Archaeological site form and isolate form (www.ou.edu/content/archsurvey/cultural-resource-management/forms.html)

4. State Historic Preservation Office (www.okhistory.org/shpo/shpom.htm)

a.   General Guidance for Section 106: Review and Compliance Manual (Section 106) (www.okhistory.org/shpo/106/rcmanual2015.pdf)

"SHPO Fact Sheet #2: Review and Compliance" (www.okhistory.org/shpo/factsheets/fs2rc.pdf)

"SHPO Fact Sheet No. 9: Cemeteries" (www.okhistory.org/shpo/factsheets/fs9cem.pdf)

"SHPO Fact Sheet #10: Frequently Asked Questions about Section 106" (www.okhistory.org/shpo/factsheets/fs10sec106.pdf)

"SHPO Fact Sheet No. 12: Evaluating Historic Period Archeological Sites for the National Register" (www.okhistory.org/shpo/factsheets/fs12arch.pdf)

Architectural/Historic Resource Survey: A Field Guide
(www.okhistory.org/shpo/architsurveys/fieldguide.pdf)

b. **Oklahoma's Historic Properties - Oklahoma Landmarks Inventory (OLI) and National Register of Historic Places (NRHP) Listings** (ok_shpo.okstate.edu/)

Tomorrow's Legacy: Oklahoma's Statewide Preservation Plan
(www.okhistory.org/shpo/stateplan.htm)

Historic Archaeology in Oklahoma
(www.okhistory.org/shpo/contexts/histarch.pdf)

Oklahoma Historic Contexts
(www.okhistory.org/shpo/histcons.htm)

Oklahoma Prehistoric Contexts
(www.okhistory.org/shpo/prehistcons.htm)

c. **Forms for Recording Historic Properties**

Historic Preservation Resource Identification Form
(www.okhistory.org/shpo/forms/idform.pdf)

Bridge Form - Truss Bridge
(www.okhistory.org/shpo/forms/trussbridgeform.pdf)

Bridge Form - Non-Truss Bridge
(www.okhistory.org/shpo/forms/nontrussbridgeform.pdf)

Instructions for Completing the Non-Truss Bridge Form
(www.okhistory.org/shpo/forms/nontrussbridgeinstructions.pdf)

Cemetery Form
(www.okhistory.org/shpo/forms/cemeteryidform.pdf)