

New York State Historic Preservation Office (SHPO) Phase I Archaeological Report Format Requirements* (8-05)



1. **Management Summary.** Please see Appendix A for required format.

2. **Phase IA Literature Search and Sensitivity Assessment Guidelines**

The goals of the Phase IA investigation are to inform subsequent testing strategies and to provide the contextual framework within which to interpret identified historic properties.

The SHPO requests that separate Phase IA Reports are submitted only when the Phase IA confirms disturbance in a large portion of the project area or when the project is in an urban setting and concurrence regarding the proposed testing strategy is sought. Otherwise, a combined Phase IA/IB Report is recommended.

A. **Project Description**

Concise discussion of the undertaking, including all associated impacts. This discussion is especially important when the Area of Potential Effect (APE) is different than the project boundaries.¹

B. **Maps and Figures**

All maps and figures must be clearly legible to the reader and include:

1. Project area/APE accurately delineated with a clean solid line. Circled or generalized boundaries are not acceptable nor is the use of highlighter or marker. Please note that both the APE and the project boundary must be delineated, if different.
2. North arrow.
3. Map title.
4. Map author.
5. Publication date.
6. Bar scale and other scales as appropriate.
7. Key.

C. **Project Map**

The project map must be of sufficient scale to be easily legible to the reader and must include:

¹ As defined in 36 CFR Section 800.16(d) the "Area of Potential Effect means the geographic area or areas within which an undertaking may directly or indirectly cause alterations in the character or use of historic properties, if any such properties exist". Therefore an APE definition needs to consider any areas of direct construction impact as well as access roads, staging areas, utility lines or any other areas that the construction contractor may have access to in association with a project. It is also important to consider the indirect effects which may occur including increased access, increased erosion, increased run-off, deposition, etc. to adjacent areas. While it may not be possible to test areas not under the ownership of the applicant, the potential impact to such areas needs to be considered if the potential for archaeological sites is present.

* Please note this format guideline does not apply to New York State or Federal Agencies that have adopted report standards/formats specific to their programs, such as the NYS Department of Transportation and the Army Corps of Engineers. Please contact these agencies directly for more information about their reporting requirements.

1. Project area/APE limits clearly delineated.
2. North arrow.
3. Shovel test locations - The map key must distinguish between shovel tests that include prehistoric artifacts only, historic artifacts only and both prehistoric and historic artifacts. Please do not identify or number shovel tests in areas not subjected to testing.
4. Photo angles keyed to associated images.
5. Boundaries of prior disturbance, slope greater than 12-15 percent, and areas of permanent standing water.
6. Archaeological site boundaries.
7. Road names (both local and county/state/federal designations).
8. 911 or street addresses for structures within or immediately adjacent to the project area.
9. Map scale no smaller than 1" = 200' - 1:2,400.
10. All maps and figures must be produced in patterns and colors that are clearly legible when photocopied.
11. Bar scale and other scales as appropriate.
12. Key.

D. Project Photographs

1. Photographs must be referred to as photographs and not as figures or plates.
2. Photographs must be 3.5" x 5" in size or larger.
3. Digital photographs must be printed on photo paper.
4. Photographs must be produced at a printer setting of a minimum of 600 dpi.

E. Background Research

1. Research must be focused on the project area.
2. Do not include GENERAL historic and prehistoric contexts.
3. The following items are required:
 - a. Past and present land uses and current conditions illustrated with project photographs.
 - b. Soils description - see Appendix B for required format.
 - c. USDA Soils Map.
 - d. Discussion regarding expectations for depth of cultural deposits. This discussion should thoroughly assess the potential for colluvial, alluvial or other deeply buried soils.
 - e. Sites within a one mile radius - see Appendix C for required format.
 - f. Historic maps - Please provide a concise overview of settlement pattern trends. A detailed written overview of each historic map is not necessary.
 - g. Other relevant background information as necessary.

F. Sensitivity Assessment

1. Prehistoric - this discussion must focus on the site types likely to be identified given the landform(s), environmental setting and the types of sites within one mile.
2. Historic - this discussion must be based on historic map research, regional histories and other relevant historical documents.

NOTE: Please do not include prior ground disturbance in your discussion of sensitivity.

G. Disturbance

1. Discussion of the type(s), depth and extent of disturbance. Common forms of disturbance include previous mining, grading, road cuts, etc. where the original topsoil has been removed. Filling and plowing are not considered disturbance.
2. Documentation of disturbance such as photographs, aerial photographs, soil boring logs, as built drawings, elevation records, etc. must be presented. If such evidence cannot be provided, shovel testing will be necessary to document the disturbance.
3. If soil boring logs are discussed in the body of the report they must be provided as an appendix.
4. Boundaries of areas not tested must be clearly delineated on the project area map and labeled with type of disturbance.

H. Testing Recommendations

1. Discussion regarding the testing strategy warranted for the Phase IB investigation.
2. For project areas characterized by multiple building and demolition episodes, please provide a composite Map Documented Structure (MDS) and standing structures map with the location of planned excavation units noted and a table summarizing potential archaeological resources organized by building lot.

3. Phase IB Field Investigation Guidelines

- A.** Date of testing, conditions (including season, ground visibility, weather) and description of crew (e.g. project director, crew chief, field tech, etc).
- B.** A complete description of the field methodology that includes a discussion of project impacts.
- C. Subsurface Shovel Testing**
1. Please follow the New York Archaeological Council Standards (1994), Section 2.3.2 with the exception of isolated find spots.
 2. When artifacts are discovered in an isolated shovel test context, a minimum of eight (8) additional shovel tests at 1 m (3.3 ft) and 3 m (10 ft) intervals must be excavated. Eight radial tests should not be excavated when artifacts are found in two or more adjacent or nearby shovel tests since this technique is appropriate only for isolated finds and not for archaeological sites.
 3. When the project area contains many widely dispersed positive shovel tests, please contact the SHPO to discuss additional testing techniques.
- D.** All measurements must be presented in both metric and English.
- E.** Please use the terms, shovel test, test unit and trench to describe the various types of excavation units.
- F.** If the project area includes a standing historic structure or an MDS within its boundaries, the shovel testing interval must be 7.5 m (25 ft) or less in the suspected yard area. When the location of the foundation is known, the first transect of shovel tests must be placed 1 m (3.3 ft) or less from the foundation.

G. Surface Survey

1. When plowed and disked strips are employed, the plowed areas must be a minimum of 3.3 m (10 ft) in width and each plowed strip must include a minimum of two walked transects.
2. Transect centerlines must be spaced 15 m (50 ft) or less apart.
3. Surface visibility must be 70% or greater.
4. It is not acceptable to surface survey corn fields when the corn is 15 cm (6 in) or greater in height.
5. A limited subsurface shovel testing program is required to assess potential variability in depth of plowzone and other soil characteristics of the various landforms present within the APE.
6. When a project area contains many widely dispersed isolated artifacts, please contact the SHPO to discuss additional testing techniques.

H. Archaeological Site Description

1. Concise context statement describing the environmental and cultural setting.
2. Estimated site size (horizontal and vertical) based on artifact distribution, topography, etc. Site boundaries must illustrate maximum possible boundaries until closer interval testing is conducted. Please note that the site boundaries for each site identified must be included on the project map so that the relationship of the site to the APE is clear.
3. Site characteristics including period of significance, site type, etc.
4. Summary of artifact types and quantity in table format. Please refer to Appendix D for examples of artifact tables. Open and closed historic artifact dates should be provided when appropriate.
5. Artifact distribution and density maps. Please refer to Appendix E for examples of artifact maps.
6. Integrity. Please refer to National Park Service Bulletin, *Guidelines for Evaluating and Registering Archeological Properties* for a definition of integrity. National Park Service Bulletins may be found online at: <http://www.cr.nps.gov/nr/publications/bulletins.htm>.
7. Direct and indirect impacts of the proposed project on identified sites.
8. Photographs or drawings of representative and diagnostic artifacts with a scale.
9. Repository of the artifact collection and project records.
10. Recommendations.

4. Appendices

A. Complete Shovel Test Records. Shovel test records must be submitted in table form. See Appendix F for suggested format.

B. SHPO Site Forms.

1. SHPO site forms must be included in the report.
2. A second, unbound copy of the site forms must be submitted with the Phase I Report.
3. When noting the USGS Map, please reference only the quadrangle on which the site is located.

C. Artifact Catalog. At minimum please include:

1. Phase of Survey
2. Shovel Test/Unit/Feature
3. Level
4. Depth (cm)
5. Description
6. Comments
7. Count
8. Weight (g)
9. Date Range

D. Please note that it is no longer necessary to include a Vita.

5. Report Format

- A.** 10 point font.
- B.** Single line spacing with a line between paragraphs.
- C.** One inch margins.
- D.** Comb binding is preferred. At least one half of the binding should be free of writing so that report number and county name can be placed on the binding by SHPO staff.
- E.** Double sided pages are preferred.
- F.** Appendices must be double-sided.

Additional Notes: Phase II and Phase III Investigations

1. Census and deed record information must be included and discussed in all Phase II historic site reports. Please summarize this information in tables. Please see Appendix G for suggested format.
2. Phase II Reports must contain a concise discussion of the sites(s) eligibility or non-eligibility for listing on the National Register that includes the rationale for the determination.
3. Mechanical stripping at the Phase II level of investigation should not be undertaken except in unusual circumstances and after consultation with the SHPO is completed.
4. A representative sample of test units, features and trenches must be illustrated with both photographs and profile and plan view drawings. Original field drawings are not acceptable since they are dark and difficult to read when presented as a photocopied or scanned image. Please provide the line drawing and accompanying photograph on the same page.
5. Please provide copies of all radiocarbon dating analysis reports as an appendix. In the text of the report, please provide radiocarbon dates as a range of time, the laboratory sample identification number, and the type of material dated (wood, charcoal, com, etc.). When presenting the radiocarbon dates please give both 1-sigma (68.3% confidence level) and 2-sigma (95.4% confidence level) ranges because all the dates within a range are equally valid. Example: -2σ (-1 σ [intercept] +1 σ) +2 σ . These time ranges can be obtained for free at: <http://depts.washington.edu/qil/calib/>. If several radiocarbon dates are presented, the SHPO recommends that they be displayed in table form.
6. The copy of the Phase III Report for the SHPO Library must be on acid free paper and must contain original photographs. Additionally, the Report must be provided on a CD in .pdf format.
7. Phase II and Phase III Reports must follow the Phase I Report formatting requirements outlined above in Section 5.
8. Updated SHPO site forms must be included in Phase II and Phase III Reports. A second, unbound copy of the site form(s) must also be submitted.
9. Please refer to National Park Service Bulletins, *Guidelines for Evaluating and Registering Archeological Properties* (2000) and *How to Apply the National Register Criteria for Evaluation* (1995) for guidance relating to National Register eligibility.
10. The SHPO requests that the following Human Remains Discovery Protocol be included in all relevant documents.