

# HISTORIC PRESERVATION SERIES



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## Cultural Resources Investigations and Report Outline

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), the National Environmental Policy Act (NEPA), and the Alaska Historic Preservation Act (AHPA). The OHA recognizes three phases of cultural resource investigation to identify, evaluate and treat historic properties.

### Phase I: Identification

Phase I Identification projects locate historic properties within an undertaking's area of potential effect that might be eligible for the National Register of Historic Places. Literature reviews, reconnaissance, architecture/history surveys, archaeological surveys, and remote sensing are common Phase I Identification efforts. These studies include archival and background research, developing and implementing research designs, conducting appropriate fieldwork, artifact and data analysis, and report writing. Phase I Identification efforts must constitute a "reasonable and good faith effort" to identify cultural resources. Complete reports and AHRIS Site Forms for any identified cultural resources within the area of potential effect are required and should reflect in detail the level of effort and results of the Phase I Identification efforts.

### Phase II: Evaluation

Phase II Evaluation efforts are generally resource-specific and involve additional investigative work on sites identified during the Phase I work. Generally, the goal of Phase II Evaluation fieldwork is the collection of additional information in order to refine site characteristics. Typical fieldwork tasks for architecture include more literature review research to collect more information on occupants or the importance of the building/structure in the community. For archaeology sites, it includes more subsurface testing, remote sensing, possibly more detailed topographic mapping. The overall goal is to collect enough supplemental information, in conjunction with what is already known about the resource, to confidently make a determination of eligibility for the National Register of Historic Places.

### **Phase III: Treatment**

Phase III Treatment builds upon the recommendations of the Phase I Identification and Phase II Evaluation of a cultural resource. The goal of Phase III Treatment projects is to avoid, minimize, or mitigate an undertaking's adverse effects on a historic property listed in or determined eligible for inclusion in the National Register of Historic Places. Agencies should evaluate a project's effects on historic properties early in project planning when the widest range of project alternatives is open. Recovery can be accomplished through detailed archaeological excavation, recordation, background research, analyses, and reporting, performed in accordance with a well defined and justified recovery plan. The specific Phase III: Treatment actions are developed through consultation and agreement between interested parties. These actions are relative to the types of resource affected and how the project will affect these resources. Results and products produced will be also part of the consultation process.

## **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 permit; copies of ancillary studies [e.g., faunal or soil analyses, geomorphology]; artifact inventory; conservation report; completed AHRS site forms; 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)