

**State of Oregon**  
**Archaeological Survey and Reporting Standards**

Introduction

Under federal law, agencies are required to assess the effects of their actions on sites listed, or eligible for inclusion on, the National Register of Historic Places. The Oregon SHPO maintains the statewide inventory of historic and archaeological sites as well as sites listed, or eligible for inclusion on the register.

In order for the SHPO to maintain its inventory, the data submitted must meet certain standards. This document explains the general principles and methods in conducting archaeological surveys, including those for compliance purposes. It gives the organizational format for reports and data base structure so the new data may be effectively added to the statewide inventory and a reasoned evaluation of the data supplied by agencies may be performed by the SHPO staff.

Since the SHPO is required to comment on agency undertakings, the type, format and quality requirements that are needed to make a reasoned evaluation are explained here.

These standards are not regulatory and do not set nor interpret any agency policies, regulation, or permit requirements. This document is intended to delimit the information needs of the SHPO so review may be performed in an efficient and expeditious manner. This document provides technical advice about the SHPO's data systems and advice about archaeological activities and methods.

Questions regarding archaeological concerns on specific projects should be addressed to Dr. Dennis Griffin (986-0674). Questions regarding historic concerns should be addressed to Kirk Ranzetta (986-0678) or Sarah Jalving (986-0679) and about the National Register to Christine Curran (986-0684).

These guidelines are adapted from the State of Washington guidelines and from the Department of Interior, National Park Service, Secretary of the Interior Standards and Guidelines for Archaeology and Historic Preservation: Federal Register Vol 90 #140: 44716. Other sections are adapted from NPS-49 Chapter 6, Section E.2.

These standards are a direct outcome of program requirements placed onto the SHPO by the National Park Service as a result of Round III State Program Review.

## Part 1. Archaeological Identification and Survey Activities

Surveys are performed to reasonably locate all significant cultural resources. The scope of the survey activities will depend on a number of variables:

- 1) existing Knowledge
- 2) survey design
- 3) management needs
- 4) uncontrolled variables

### 1) EXISTING KNOWLEDGE

There are many sources of data including overviews, published and unpublished reports, ethnographies, histories, historic maps, tax records, photographs, computer files and environmental studies. You should consult knowledgeable experts in the field, concerned tribes and the interested public and higher education.

The SHPO maintains the statewide inventory of historic and archaeological sites including:

#### A) Archaeological Inventory

The data base was created in 1979. It utilizes USGS quad maps. The system uses 15 minute quads where available and 7½ minute quads otherwise. For those areas where no final maps are available, the SHPO uses BLM 30 minute maps. Site locations and surveys are placed on these maps.

The inventory report project base map must easily be transferable to the statewide inventory's USGS quad maps (i.e. this map must have township, range, section and contours and should use USGS quad maps, if possible).

All site boundaries are drawn on the USGS quad maps. Every site form site map is transferred to a USGS quad map. Since the data base is dependent upon the accuracy of the maps supplied to the SHPO, the locational data on the forms and maps is of critical importance. The location, size, and shape of the site is placed on the master maps. During the recording process your data is checked against the SHPO master data. A fifty acre sized dot for a 2 X 10 meter site is not acceptable. Use a "x" for small sites. Locate your data with accuracy. If a previously recorded/reported site location is not identified in new survey reports without an explanation of the change in location - the report will be returned for clarification.

A Smithsonian style number will be assigned by SHPO to each prehistoric and historic site with the format: 35 XXX NNNN (XXX = county, NNNN = number. All site data at SHPO is keyed to the Smithsonian number. It is essential that agencies use these numbers when requesting data from SHPO at a later date. The SHPO has adopted a standard electronic site form that must be used.

#### B) Historic Inventory

The SHPO statewide historic inventory is maintained in a book format. All recorded historic sites submitted to SHPO contain the variables on an approved historic inventory form. Original photos are required for this form.

2) SURVEY DESIGN

Standard 1 Archaeological documentation activities follow an explicit statement of objectives and methods that responds to needs identified in the planning process.

Background research, ethnographic research and environmental research should be designed to gather the data necessary to develop a reasoned project specific research design. Use only those variables that are relevant to the project. The objectives, methods, and techniques of each survey must be specified in the research design.

Identification activities should use a search procedure consistent with a combination of factors: the natural land forms, history of land use, ethnographic history, archaeological models and known site distributions. The statement of objectives usually takes the form of a formal and explicit research design which has evolved from the interrelation of planning needs, current knowledge, resource values and logistics.

Standard 2 The methods and techniques of archaeological documentation are selected to obtain the information required by the statement of objectives.

Results of the identification process should be reviewed in the report for their contribution to existing SHPO contexts. Actual results should be compared against expected results to refine contexts. The data should be evaluated within these contexts. This will insure that the planning process is always based upon the best available information.

Use of the standard SHPO cover sheet will insure that SHPO database variables are addressed and will hook the report to statewide study units and themes.

"The methods and techniques chosen for archaeological documentation should be the most effective, least destructive, most efficient and economical measure of obtaining the needed information. Methods and techniques should be selected so that the results may be verified if necessary. Non-destructive techniques should be used whenever appropriate. The focus on stated objective should be maintained throughout the process of study and documentation." (Federal Register, Vol. 48, No. 190, P 44734).

Standard 3 The results of archaeological documentation are assessed against the statement of objectives and integrated into the planning process.

This standard will be implemented at a broad level between agencies and the SHPO. A number of agencies or districts have inventory plans that include periodic assessment.

Standard 4 The results of archaeological documentation are reported and made available to the public.

Public distribution requirements do not apply to each report, but will apply in a programmatic way. The public may benefit from the knowledge obtained from archaeological documentation through pamphlets, brochures, leaflets, displays, exhibits, slides, film or other media production.

3) MANAGEMENT NEEDS

The type of survey and its intensity is determined by management needs, types of sites, ecology, settlement patterns, and other factors. We recognize that 100% surveys are not needed in all cases. Sampling is a recognized method to accomplish survey.

In general, the SHPO will agree that a survey is adequate under the following conditions:

- A) The area is stratified according to an approved agency-SHPO plan or the absence of such a plan, a project specific survey design.
- B) 100% of all high probability zones are surveyed. Thirty meter transects are the SHPO standard but *twenty meters is recommended*. Alternate intensity levels must be approved in an existing required inventory an explicit rationale provided in the survey report. To assure SHPO concurrence, pre-project coordination is recommended.
- C) Medium and low probability zones are sampled; Medium at least 20% and low at least 5%.
- D) As a check on low zones, a survey of 20% of overall project area is recommended. If you do significantly less than 20%, explain why.
- E) The expected results identified prior to the inventory is evaluated against the actual findings in the report. If sites are found, minimally their relationship to the strata should be illustrated or counted as a way to evaluate how well site density fits the stratified design.
- F) The overall required research design is evaluated and updated on a regular schedule.

4) UNCONTROLLED VARIABLES

There are always unforeseen variables, limits on visibility, differential training and experience, and seasonal factors in all surveys. *Since there are so many uncontrolled variables, the existence of a previous survey is not necessarily justification for not re-surveying a project area. Previously surveyed areas should be critically evaluated against current survey methods, equipment, new information about site locations, etc.* The need to resurvey an area should be coordinated with the SHPO:

- 1) Who did the survey, their training?
- 2) What were the methods used?
- 3) When was the survey done (year, season)?
- 4) Where was it done, survey strata?
- 5) How was the survey done, survey design/methods?
- 6) Why was it done/similar kind of project?

Do each of these six questions meet current standards?

All reports must strive for REPLICABILITY. They should contain enough description so that the CRM activities could be replicated by a reasonable reviewer. In other words, survey/identification activities must be explicitly stated. Methods should be described; the size of the survey team, appropriate spacing, survey methods and orientation must be included. If a project area is sampled or stratified, the samples and/or strata must be identified on maps and by narrative descriptions. Any variation in survey methods or techniques between strata should be clearly

identified. Any variation within strata should be identified. If inconsistent survey methods are used, then some form of explicit reporting of transects must accompany the report to the best of your ability, map your transects in a graphic way that illustrates your survey.

## Part 2 Identification Activities

Identification is undertaken to locate cultural resources and consists of a number of activities. A combination of these activities may be selected at appropriate levels of effort designed to produce the needed product.

### Performing Identification

#### Research Design:

To maximize the efficiency of survey and provide the proper background and context for the work to be performed, a research design should be prepared or used for each project. The research design provides a framework for integrating the background research and contextual planning needs to the identification process, methods and techniques and links the project into a comprehensive whole.

The research design is the logical integration of archaeological contexts and field/laboratory methods. It provides the focus for inter-disciplinary studies and establishes the contextual statements to evaluate resources that may be discovered.

The research design should include the following:

- 1) Objectives of the identification activities: this includes background research on existing data, ethnographic patterns or archaeological models, and ecological/geomorphic data in the project area that might aid in survey design. It should clearly identify the physical extent of the project area and the quantity and quality of data to be gathered.
- 2) Methods used to obtain the data: background research, environmental parameters and survey methods/techniques should be carefully explained so that a reasonable reviewer could replicate the project. Particular attention should be devoted to establishing the linkage between the statement of objectives, the methods used to realize them within the specific project area and its particular environmental and other conditions.

Keep in mind that agency regional survey plans serve as guidelines. You should apply approved survey plans to specific projects, but you should consider redesign of the survey to fit project specific data and conditions.

- 3) The expected results and the reasons for those expectations becomes "context." Expectation about the kind, quantity, quality, locations and character of cultural properties should be derived from: 1) background research; 2) ethnographic and/or archaeological models (settlement patterns, land use patterns, economic patterns, etc.); 3) ecological and geomorphic relationships of valued plants, animals and non-biotic resources such as water and minerals; and 4) analogy to property types and patterns known to exist in areas of similar environment and social history.

#### Archival Research

This should be done on every project prior to any field inspection at a level commensurate with the scope of the project. Archival research should address issues and topics relevant to this project. It need not duplicate previous original work. Sources can include historic maps, tax records, photographs, previous historic and archaeological work, ethnographies, databases, the

environment, and consultation with knowledgeable experts in the area, concerned tribes and interested public as appropriate.

#### Field Survey

The number of field methods, techniques, projects and their environmental conditions creates an infinite variety of field surveys. It is critical that the selection of project specific field survey methods and techniques and the level of effort be responsive to the identification goals, research design, contexts and CRM needs that direct the survey. This should be explicit in the body of the report.

Given the constraints on time, labor and funding, field surveys should reasonably determine the number, location and types of properties actually present within the project; classify the properties into types; and record the location and physical extent of the individual properties so that they can be added to the statewide inventory of historic resources.

The report should document:

- 1) The kinds of properties looked for and why these were looked for;
- 2) The boundaries of the areas surveyed, and if stratified, the different strata;
- 3) The method(s) of survey, number of surveyors on teams, transect intervals, transect direction, subsurface examination procedures, and a calculation in acres of the area inspected;
- 4) A record of the precise location and extent of all properties identified;
- 5) Information on the appearance, significance, integrity and boundaries of each property.
- 6) Management recommendations for each property

While this may appear redundant, the Secretary's Standards indicate the following ten topics must be included in any report ( added for your information):

- 1) Description of the study area;
- 2) Relevant historical and environmental background research;
- 3) The research design;
- 4) The field studies as actually implemented, including any deviation from the research design and the reason for the changes;
- 5) All field observations or findings;
- 6) Analysis and results illustrated as appropriate with tables, charts, graphs and maps;
- 7) Evaluation of the investigations in terms of the goals and objectives of the investigations, including discussion of how well the need dictated by the planning process was served (i.e., compare your findings against what you expected to find where relevant);

- 8) Recommendations for updating the relevant historic contexts and planning goals and priorities, and generation of new or revised information needs (i.e., where relevant, try to show how this project has contributed to our ability to write historic contexts);
- 9) Reference to related on-going or proposed treatment activities such as structural documentation, stabilization, etc. (where relevant);
- 10) Information on the location of original data in the form of field notes, photographs, and other materials.

### Part 3 Reporting Format

The outline below contains the recommended organizational format for a professional survey report that contains the kind of data and information SHPO needs to make a reasoned evaluation as an independent reviewer. All reports, regardless of the project size, should contain this basic information. Section 106 reports sent to SHPO must have the appropriate form (usually form "C") clipped to the front so it can be stamped by clerical mail when it is received (this starts the Section 106 review clock).

#### I. Front Matter

##### A. Title page

- 1) county
- 2) township
- 3) range
- 4) USGS quad maps (7½' and 15')
- 5) project acreage
- 6) survey acreage
- 7) type of project
- 8) title
- 9) district
- 10) agency
- 11) consultant (if used)
- 12) author name (typed)
- 13) author signature
- 14) date
- 15) location of field notes

##### B. Executive summary or abstract (large projects)

##### C. Table of contents (large or complex reports)

##### D. List of figures (if present in large reports)

##### E. List of tables (if present in large reports)

#### II. Introduction

##### A. Describe the Proposed Project that Precipitated the Survey

1. Location (county, cadastral), acreage of impact area, nature of expected impacts, location and purpose of survey as appropriate.
2. Include a project area map (USGS quad indicating section, township, range and quad name) showing general area and specific project area.
3. Identify the proponent, landowner, or lead agency (include district or resource area, and permit or compliance action the survey is addressing as appropriate).

#### III. Research Design

##### A. Objectives

Standard 1 on pages 5, 6 and research design on pages 11-13 for content and structure.

##### B. Methods

1. Describe the methods proposed to be employed to identify archaeological property types in the area to be surveyed. Relate specific on-site methods to the expectations generated under III.A.

#### IV. Field Inspection

- A. Background Research  
See Standard 1 + see page 8 (archival).
- B. On-Site Inspection  
See Standard 1 + (page 8).

#### V. Results

- A. Findings of Fact  
See page 8; 1-6.
- B. Conclusions  
See #7 page 9.
- C. Recommendations  
See #8 and #9 page 9.
- D. Evaluation of Expected vs. Real  
See page 5, E.
- E. Location of data and archives

#### VI. References

- A. Published and Limited Distribution Reports.
- B. Archival Sources and Maps--Title and Location of Source and Maps

#### VII Consultations

- A. Evidence of Consultation with Concerned Indian Tribes or THPO (where appropriate).
- B. Evidence of Consultation with SHPO (where appropriate).
- C. Evidence of Consultation with Local Preservation Officer (where appropriate).
- D. Evidence of Consultation with Federal and State Agencies with Responsibility or Expertise (where appropriate).
- E. Approval of Report by Federal Agency if on Federal Land or Under control of Federal Agency (Note: Some federal agencies require their own approval and review sheet in the body of the survey report.)

#### VIII. Appendix

- A. If when sites are found, Site Inventory Forms with a location map showing site boundaries attached to each form.
- B. A list of informants, as appropriate.
- C. List of participants in field survey, relevant training, designate the field supervisor.

- D. The report should contain a signature line for the reviewer and evidence (can be on file) that person meets or exceeds professional qualifications to oversee and review project. (See Secretary's Standards for qualifications.)

Do not bundle reports together with rubber bands or clips. Insure that each report is a unit with the "form" required for consultation "paper-clipped" to the front so it can be stamped. In other words, if you send more than one report in a box or envelop; make certain each report is a separate entity with its form "C" attached that can be easily separated and stamped. Otherwise the clerical mail person may think all of the material is a single report and not stamp the other copies.

Please do NOT staple site forms together (use paper clips): we have to take them apart and quite often tear them up pulling staples out.

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