

ARCHAEOLOGICAL ASSESSMENT REPORT  
GUIDELINES AND COMPONENTS

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STATE OF GEORGIA  
Archaeological Services Unit  
Historic Preservation Division  
State Historic Preservation Office  
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## FOREWORD

As early as 1935, the U.S. Government declared as policy the preservation of the nation's historic resources for the public's benefit (P.L. 74-292). After World War II, the advent of massive urban redevelopment programs, large-scale highway projects, huge reservoirs, and a host of other land-altering activities was destroying prehistoric and historic resources (sites, buildings, structures) at an alarming rate. This destruction combined with growing public concerns about the degradation of our natural resources (water and air) resulted in Federal action. Congress began passing legislation in an attempt to inject a strong element of systematic planning and assessment for Federal or federally assisted proposals to alter the landscape or the environment in any drastic manner.

In 1966, Congress passed the National Historic Preservation Act providing a mechanism for conserving significant historic resources subject to federal involvement. Through a review process for identifying and evaluating historic resources, planning of a project must consider them when addressing environmental concerns. This was followed in 1969 by passage of the National Environmental Policy Act, requiring an Environmental Impact Statement for every major Federal action.

Legislative effectiveness depends on the initial step: **finding out if important historic resources exist in the area to be affected by the proposed project.** The National Historic Preservation Act states that identifying "historic properties" significant in American history, architecture, ARCHAEOLOGY, engineering, and culture is fundamental in learning what properties may be affected by a proposed project. If evaluated as significant these "historic properties" must be "taken into account" in planning.

Successful identification must occur early in the planning process. **EARLY identification provides planning flexibility.** Significant properties identified long after substantial commitments of effort, time, and money have been made to a project design may be costly. Thus, without EARLY identification, significant historic properties cannot be appropriately "taken into account" in planning. The result can be delays in the disbursement of funds or issuance of permits or licenses needed to proceed.

The following information and materials are provided to help you proceed in a timely manner through the federal planning process, **Section 106** review. You may use all or some of the contents, depending on the nature and location of your project, stage of planning, and the kind of federal involvement. The staff of the Georgia State Historic Preservation Office (Historic Preservation Division, Ga. Dept. of Natural Resources) is ready to assist you.

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## INTRODUCTION

The Ga. State Historic Preservation Office (GaSHPO) provides this information to assist those who may be advised that an assessment of archaeological properties is needed in applying for federal assistance. **Section 106** of the National Historic Preservation Act of 1966, as amended (NHPA) requires that all Federal planning "**take into account the effect of an undertaking on any district, site, building, structure, or object that is included in or eligible for inclusion in the National Register**" of Historic Places (NRHP). The purpose is to avoid unnecessary harm to archaeological properties from federally assisted "undertakings." Applicants for federal assistance, therefore, may be required to provide a Federal agency with a report documenting a professional assessment of the effect of a proposed undertaking (project) on significant archaeological properties (sites and districts).

The **Advisory Council on Historic Preservation** (ACHP), the independent Federal agency which administers **Section 106** compliance, requires the IDENTIFICATION and EVALUATION of archaeological properties which might be affected by a proposed project. For assessment documentation to comply with the ACHP's regulations, certain information about properties must be included which allows a Federal agency to meet two requirements:

- 1.) identification of all significant archaeological properties, those "**included on or eligible for inclusion in the National Register**" of Historic Places (NRHP);
- 2.) assessment of the probable effect(s) of a federally assisted project on archaeological properties included on or eligible for inclusion in the NRHP, that is, "**take into account the effect of an undertaking.**"

Therefore, a report of an archaeological assessment must include the following information in order for the applicant to meet the ACHP's documentation requirements.

- 1.) A **recommendation** of **ELIGIBILITY** or **INELIGIBILITY** for the NRHP for each identified archaeological property, using the National Register Criteria for Evaluation.
- 2.) An **assessment of probable effect** of a proposed project's activities on each archaeological property **listed on** or **recommended eligible** for the NRHP, using the Criteria of Effect and Adverse Effect.
- 3.) For **ALL** assessments of **ADVERSE effect on eligible or listed properties**, a plan for mitigating (reducing) the adverse effect(s), including a schedule.

Only when a report of an assessment provides the above documentation (No.s 1-3) can the GaSHPO assist a Federal agency in meeting its **Section 106** responsibilities of consulting with the ACHP. To do this in a timely manner, a Federal agency and the GaSHPO need sufficient documentation to determine: (1) the adequacy of any archaeology performed; (2) the presence or absence of NRHP eligible or listed properties, and; (3) if appropriate, the adequacy of the assessment of effect(s) and of any proposed plan of mitigation. All documentation should rigorously and explicitly support all findings, conclusions, and recommendations of an assessment. Otherwise, revisions may result in costly delays. Sufficient documentation ensures that archaeological properties listed on or eligible for the NRHP are TAKEN INTO ACCOUNT in federal planning.

In consultation with the Office of the State Archaeologist, the Ga. Archaeological Research Design (GARD) Task Force, and the Ga. Council of Professional Archaeologists, the GaSHPO has developed this information. The purpose is to help those applying for federal funds, licenses, or permits as well as those documenting assessments to proceed in an efficient and timely manner through the **Section 106** compliance process.

All applicants should contact the appropriate Federal agency and the GaSHPO before contracting for an archaeological assessment to meet **Section 106** compliance requirements.

#### **Steps of the Section 106 Compliance Process**

A graph of the compliance process follows (Fig. 1). It outlines the 5 steps in the ACHP's regulations for complying with the requirements of **Section 106** of the NHPA.

# PART I. ARCHAEOLOGICAL ASSESSMENT REPORT GUIDELINES

## Chapter 1.

### "Taking into Account"

#### **Will an applicant's proposed activity affect significant archaeological properties?**

Federal-State Consultation - As a part of planning, a Federal agency must consult with the GaSHPO in determining what is needed to assess the effects of a proposed project on significant archaeological properties. The state's review and comments are an integral part of a federal agency's compliance with the regulations of **Section 106** (36 CFR Part 800.4).

State Review - The GaSHPO reviews an application considering a proposed activity's nature and location in the context of archaeological information on file. By finding out what is or is not known about the archaeology of a proposed project area, information needs are identified. Reviewers address the following questions.

1. Given the prehistory-history of this region of Georgia, the concerns of its residents, the State Preservation Plan, *From the Ground Up: A Preservation Plan for Georgia 2001-2006* (2001), the Regional Development Center's "Resources of Regional Importance," or local plans, what are pertinent preservation-research needs and priorities and what kinds of archaeological properties might meet them?
2. Does the State Preservation Plan's archaeological element, A Strategy for Cultural Resource Planning, provide archaeological contexts for addressing preservation-research needs and priorities of this region?
3. For published archaeological contexts pertaining to this region, what potential for addressing identified needs and priorities is suggested by available information?
4. In the absence of published archaeological contexts, what contexts are indicated by available information?
5. Are there any known archaeological properties in or near the area of a proposed project?
6. What and where are the sources of this information?
7. Are these sources adequate for the purposes of identifying and evaluating archaeological properties in the area to be affected by a proposed project?
8. Can any reliable predictions be made about the kinds, numbers, distributions, and significance of archaeological properties or contexts using this available information?

9. If available information is inadequate for identifying and evaluating archaeological properties, then what predictions can be made from available sources about nearby areas, from the general prehistory-history of a region, and/or from past and current environmental factors?

10. If available information is inadequate then what additional information is needed to adequately identify and evaluate archaeological properties, assess effects, and how is it to be obtained?

### **What will the state say to a federal agency?**

Results of GaSHPO review - After addressing these questions to an application, the GaSHPO will respond to a federal agency with one of the following comments.

COMMENT 1. A request for **ADDITIONAL INFORMATION** about a PROPOSED PROJECT to more fully assess what its effect(s) might be.

This response generally means that effects cannot be assessed because critical information about a PROPOSED PROJECT is illegible, missing, or confusing. To avoid delaying review, all applications should include certain information describing the proposed project and its location.

COMMENT 2. An opinion of **NO CONCERN** for a project's effect(s) on archaeological properties based on the State Preservation Plan, on information on file, on the nature of the project (type/scale/location), or on some combination of these.

This means the GaSHPO has found no basis for concern. A proposed project will not affect archaeological properties or no NRHP eligible (significant) archaeological properties were found.

COMMENT 3. An opinion of **CONCERN** for an project's effect(s) on archaeological properties based on the State Preservation Plan, on information on file, on the nature of the project (type/scale/location), or some combination of these.

Generally, this response means that the GaSHPO needs more archaeological information in order to figure out if significant archaeological properties will be affected by a proposed project.

### **How do you find significant archaeological properties in the project area which may be affected by your proposed project?**

When an applicant is told that a report documenting an archaeological assessment of a project area is required, a federal agency may be responding to the GaSHPO's opinion of "concern," Comment #3 (see above). The following should be done.

**IDENTIFY SIGNIFICANT ARCHAEOLOGICAL PROPERTIES:** have an archaeological investigation of a proposed project area conducted by a professional archaeologist to find and evaluate properties so that significant ones (eligible for the NRHP) may be assessed and treated.

**DOCUMENT FINDINGS:** have all results, identified properties, evaluations, means of identification, significance, assessments of probable effects, and any recommendations, documented in a report which meets federal and state guidelines and standards of documentation.

**REPORT RESULTS:** submit this report to the appropriate federal agency for review and comment regarding Section 106 compliance needs. The agency will then consult with the GaSHPO on the adequacy of the report and its findings for meeting Section 106 documentation requirements.

The next chapter provides recommendations and guidelines for identifying, documenting, and reporting significant archeological properties.



## Chapter 2.

### Integrating Archaeology with Environmental Planning

The smooth integration of archaeology with environmental effects assessment of project planning depends on four things:

1. INVOLVING ARCHAEOLOGY **EARLY**;
2. DEVELOPING AN **APPROPRIATE** SCOPE OF SERVICES;
3. FINDING A **QUALIFIED** ARCHAEOLOGICAL CONSULTANT;
4. SUBMITTING AN **ADEQUATE** REPORT.

Each will be discussed below in detail in the order given above.

#### 1. INVOLVING ARCHAEOLOGY **EARLY**

##### **What is so important about involving archaeology EARLY?**

Scheduling archaeological assessment EARLY in project planning when options are flexible may require a lower level of investigation. Time and money may be saved. As planning progresses, options for redesign become fewer. Scheduling an assessment at a later stage of planning will require a higher level of investigation. Costs of time and money may be greater. Also, EARLY involvement provides time to deal with any archeologically significant findings or problems which may be encountered by an investigation. Therefore, involving archaeology EARLY in planning may save time and money.

#### 2. DEVELOPING AN **APPROPRIATE** SCOPE OF SERVICES

##### **How do you get only the archaeology that you need?**

The following material about Scopes of Services for archaeological assessments contains suggestions, not directions. It has been developed to help applicants and others who may lack expertise in archaeology get the archaeological services they need. For some proposed projects, combinations of parts of these scopes of services may be more appropriate in meeting particular archaeological assessment needs.

No recipes for success - Scopes of services should NOT be applied as "cookbook" solutions to Section 106 compliance needs. They are guides for contracting for needed archaeological services.

Just the right amount - The level of investigation, **reconnaissance** or **intensive**, must be based on these considerations:

(a) conducted at a level sufficient to identify the expected numbers, types, and distributions of archaeological properties and contexts in the area to be affected by the proposed project, and;

(b) consistent with the probable effects, the nature of the area to be affected, and the nature of a proposed project.

Area(s) of potential effects - The geographic area, or areas, within which a proposed project's activities may cause changes in the character or use of archaeological properties, if such exist, is the "area of potential effects" [36 CFR Part 800.2 (c)]. Define the **area of potential effects** broadly at this stage, vertically and horizontally. Consider all reasonably foreseeable potential effects of the proposed project's activities. Narrowing the area that is subject to specific investigations will occur subsequently.

Scheduling is critical - In the EARLY stages of planning, a **RECONNAISSANCE** level of investigation may provide adequate information for evaluating design options or setting design priorities. At a later stage when design options are fewer or absent, a higher level, **INTENSIVE**, may be necessary. Most assessment investigations will be one of these, or some combination of them.

Restricted Information - Any information compiled about the location of archaeological properties should not be made available to the general public. Limited access to locational information is needed to protect archaeological properties from vandalism and looting as well as the land of the owner. Maps and detailed descriptions of archaeological property locations should not be included in any environmental assessment reports distributed to the general public.

## ARCHAEOLOGICAL ASSESSMENT REPORT GUIDELINES

### Scope of Services

#### Reconnaissance Level Survey

A **Reconnaissance** survey is designed as an optional step to characterize the archaeology of a region, IDENTIFYING what kind of sites are likely to be found and where. The survey's primary uses are those of refining archeological contexts within which to formulate expectations of site presence, type, distribution, and condition. Some sites may be identified through reports of previous survey. Other sites, by their nature, may be easily identified at this level of survey. For example, building foundations, Indian mounds, or scatters of artifacts on the ground may be seen and recorded. A survey's results should provide a basis for formulating estimates of the need, type, and cost of further investigation and for setting priorities.

The time needed to conduct a survey will vary with the location of the project area, the size of the **area of potential effect**, and the anticipated type, number, distribution, and condition of archaeological properties. For example, development of a large reservoir might require weeks to survey, while several short alternative sewer lines may take only a few days. Early contact with the GaSHPO will help refine a scope of services for this phase of planning.

A **Reconnaissance Survey** should include the following activities:

1. consultation with the Ga. SHPO about the State Preservation Plan's archaeological strategy and appropriate archaeological and historic contexts;
2. background study of regional prehistory, history, geography, geology, ecology, soils, land use history;
3. research to identify the locations of prehistoric and historic properties already reported;
4. check of records at the Georgia Archaeological Site File (GASF), and at the GaSHPO to identify known properties in and around the project area, including those eligible for listing or listed in the NRHP;
5. contacts with local professional archaeologists, Society for Ga. Archaeology chapter members, R.D.C. preservation planners, artifact collectors, historical organizations, and landowners to locate archaeological properties;
6. survey of sufficient coverage based on the **area of potential effect**, on the type, number, distribution, and condition of expected archaeological properties, and on the needs and priorities of pertinent archaeological contexts.

7. prediction of the archaeological sensitivity of locations, alignments, or materials of project design options, considering:

- (a) past and present uses of the land,
- (b) past ecological settings,
- (c) extent of existing land disturbance,
- (d) nature of the proposed project activities, and
- (e) survey results.

8. completion or update of site forms for all identified archaeological properties;

9. initial evaluation of NRHP eligibility of identified archaeological properties in the project area;

10. preliminary assessment of probable effects of a proposed project's design options, if any, on NRHP eligible or potentially eligible archaeological properties;

11. recommendations for further investigation needed to: a) complete the identification of properties; and b) evaluate properties for which NRHP eligibility is uncertain;

12. preparation and submission of a report documenting the survey and its design, conduct, results, findings, and recommendations.

A report of a reconnaissance survey includes minimally:

- (a) description of the proposed project and project area,
- (b) a justified research design based on the State Preservation Plan for archaeology, explicitly discussing problems, methods, and expected results,
- (c) a USGS (1:24,000) or USNOAA (1:40,000) map with the project area, **area of potential effect**, and the area surveyed clearly marked and labeled,
- (d) more precise maps of the project area showing areas surveyed and/or collected, survey transects, shovel tests, test units, and areas of known and expected archaeological properties, etc.,
- (e) a description of identified and predicted archaeological properties (including site maps), discussing their demonstrated or potential eligibility to the NRHP,
- (f) quantitative and qualitative summaries of findings,

- (g) a complete listing of sources, individuals, records, and literature consulted,
- (h) photos of all NRHP eligible properties, including buildings and structures, and of a representative sample of potentially eligible properties,
- (i) predictions of the archaeological sensitivities of project design options discussed in settings of past and present land uses, past ecological setting, the extent and kind of past land alterations (e.g., plowing, filling, cutting, borrowing, or eroding), type of construction proposed, and the results of background research and field survey,
- (j) for properties evaluated as potentially eligible for the NRHP, a plan with recommendations for further investigation to confirm eligibility (e.g., intensive level testing),
- (k) for design options predicted to be archaeologically sensitive, a plan with recommendations for identifying properties eligible for the NRHP (e.g., Intensive/Phase II Survey),
- (l) a statement of curation, identifying the name and address of a selected facility which meets NPS standards,
- (m) copies of Georgia Archaeological Survey forms for all identified properties,
- (n) a management summary: why the archaeology was done; what was done; where, when, and how it was done; any problems encountered; the results; their significance; and recommendations (including a plan, budget, and schedule) with necessary references to the body of the report as appropriate.

For a large project area, a reconnaissance survey might include enough fieldwork to identify and evaluate a representative sample of archaeological properties. The sample could be used in EARLY planning for assessing impacts of various design options. For alternative locations, alignments, etc. information about the archaeological potential (sensitivity) of each design option could be included to help decide on preferences. In addition, such preliminary information could serve as a basis for any recommendations for more archaeological investigation.

GaSHPO documentation requirements - The GaSHPO needs **3 bound copies** of the reconnaissance survey report. One copy must have original photographs (not photo copies) and **copies** of completed Georgia Archaeological Survey forms with officially assigned site numbers.\* The other copies of the report may be photoduplicates with nothing deleted. The federal agency may require copies of the report also. An applicant should retain copies for use in making decisions.

Restricted Information - Any information compiled about the exact location of archaeological properties should not be made available to the general public.

**\* Completed original Georgia Archaeological Survey forms will be submitted directly to the GEORGIA ARCHAEOLOGICAL SITE FILE for permanent retention and assignment of site numbers. All forms submitted must show all categories, not just those used**

## ARCHAEOLOGICAL ASSESSMENT REPORT GUIDELINES

### Scope of Services

#### Intensive Level Survey

An **Intensive** level survey consists of an archaeological investigation of an **area of potential effect** for the purpose of identifying and evaluating properties. Enough information must be recovered to evaluate the setting, integrity, and significance of all identified archaeological properties. The survey should be structured so that enough information about each property/site is recovered to develop a fully justified evaluation of NRHP ineligibility or eligibility with a plan of treatment/mitigation.

**Intensive** level survey should include, but is not limited to, the following activities.

1. Consultation with the GaSHPO about the State Preservation Plan's archaeological strategy and appropriate archaeological and historical contexts.

2. Systematic archaeological investigations conducted according to a professionally designed, cost-effective survey strategy. Any subsurface investigations should be designed minimally to retrieve data addressing these general concerns:

- (a) definition of archaeological property boundaries in both horizontal and vertical dimensions,
- (b) functional and chronological nature and range of artifactual, ecofactual, and structural elements,
- (c) contextual data, i.e., provenience and/or integrity information,
- (d) environmental setting, i.e., geological, ecological, geomorphological, and palynological data.

Any use of mechanical excavation equipment should be explicitly described and justified as to its appropriateness with regards to survey objectives, soil conditions, depth of overburden, and other pertinent factors prior to field work.

3. Comprehensive review of the pertinent literature for comparative archaeological information concerning potential, distribution, and significance of archaeological properties.

4. Standard archaeological analysis and study of all recovered materials.

5. Evaluation of NRHP eligibility completed for all identified archaeological properties in the project area.

6. Completed or updated site forms for all archaeological properties inventoried and/or investigated.

7. Preparation of a report documenting the identification, evaluation, and assessment of archaeological properties in the **area of potential effect**. The report should contain analyses and syntheses of all archaeological and environmental information obtained in the investigations. **It should objectively evaluate the significance of each archaeological property inventoried with reference to the National Register Criteria, 36 CFR 60.** The evaluation must be done with the comprehensive perspective of the archaeological contexts of the State Preservation Plan, the known archaeological record, all research developed by local and regional archaeologists, and the general importance, or lack thereof, of the research potential of each archaeological property. Evaluations and recommendations concerning the eligibility or ineligibility of each property inventoried should be documented in a format consistent with the data requirements for determining eligibility.

**Further, a report must include an assessment of probable effects of a proposed project on all archaeological properties eligible for and/or listed on the National Register.** The Criteria of Effect and Adverse Effect should be applied (36 CFR Part 800.9). A project is considered to have an adverse effect when the project might diminish the integrity of the property's location, design, setting, materials, workmanship, feeling or association. For an assessment of adverse effect, a plan to mitigate the adverse effects of the project on the eligible properties must be included in a report with a budget and schedule. The plan must describe how the significant elements of the properties will be treated, e.g., by excavating the properties or critical portions of them.

A report of an intensive survey includes minimally:

(a) description of proposed project and project area,

(b) relevant background research findings,

(c) justified research design based on the State Preservation Plan's archaeological strategy and contexts, discussing methods, techniques, and expected results,

(d) USGS(1:24,000) or USNOAA(1:40,000) map with both the project area and surveyed area clearly marked,

(e) more precise maps of the project area showing the **area of potential effect**, areas surveyed, locations of survey transects, shovel tests, and subsurface test units, boundaries of archaeological properties, topography, and other pertinent features, conditions, or information,

(f) description field and laboratory methods used, identify and justify any changes from the research design,



- (g) description of all identified properties (including site maps) with a justified evaluation of eligibility or ineligibility for the NRHP for each, using the National Register Criteria of Evaluation,
- (h) quantitative and qualitative summaries of survey findings and analytic results,
- (i) complete listing of sources, individuals, records, and literature consulted,
- (j) photos of all properties recommended as eligible for the NRHP, showing their condition and environmental setting,
- (k) for all properties evaluated as eligible for nomination to the NRHP occurring in the **area of potential effect**, an assessment of the probable effect of a proposed project on them,
- (l) for all NRHP listed and eligible properties assessed as adversely effected by a proposed project, a plan to mitigate (reduce) the adverse effect(s) on them,
- (m) statement of curation, identifying the name and address of a selected facility which meets NPS curatorial standards,
- (n) **copies** of Georgia Archaeological Survey forms for all identified properties,
- (o) management summary: why the archaeology was done; what was done; where, when, and how it was done; any problems or constraints encountered; the results; significance; and recommendations, including a mitigation plan if appropriate.

GaSHPO documentation needs - The GaSHPO needs **3 bound copies** of the intensive survey report. One copy must have original photographs (not photo copies) and **copies** of completed Georgia Archaeological Survey forms with officially assigned site numbers.\* The other copies of the report may be photoduplicates with nothing deleted. The federal agency may require copies of the report also. Applicants should retain copies for use.

Restricted Information - Any information compiled about the exact location of archaeological properties should not be made available to the general public.

**\* Completed original Georgia Archaeological Survey forms will be submitted DIRECTLY to the GEORGIA ARCHAEOLOGICAL SITE FILE for permanent retention and assignment of site numbers. All forms submitted must show all categories, not just those used.**

### 3. FINDING A **QUALIFIED** ARCHAEOLOGICAL CONSULTANT

## How do I find someone qualified to do the archaeology I need?

The GaSHPO recommends that selecting an archaeological consultant should include some or all of these steps.

1. Define the work needed carefully in a Scope of Services so that you have a clear idea of what kind of consultant you need.

The GaSHPO can assist you by reviewing a draft of your scope.

2. Solicit written proposals from some firms, institutions, organizations, or qualified individuals with your scope of services.

3. Evaluate the proposals to see how well each consultant understood the reasons for and the nature of the work. Compare them with your scope of services to see if your needs are addressed and how.

4. Consider the general qualifications of those who submitted proposals. Require references and investigate them.

5. Ask a potential consultant to provide you with a list of former clients. Contact them, asking if that consultant completed reports on time and within budget. Was the product satisfactory for the intended use? Did it meet federal and state requirements? Were there any delays or problems?

6. Ask a potential consultant for a copy of a report recently produced. Such reports are critical products of the **Section 106** compliance process. Its adequacy in meeting federal and state requirements is an indication of the abilities of a consultant.

7. Regarding exemplary reports, plans, etc. sent to you as verifying a consultant's success, be sure the personnel who performed and produced them are still on staff.

8. Find out if a potential consultant has done a project similar to yours. Ask for verification of success with the project.

9. Find out if a potential consultant has worked in the area of your project before.

10. Ask if the consultant has at this time the qualified staff to do your project.

11. Make an appointment to visit the GaSHPO (Ph. 404/656-2840) to get information about past performances of consultants. Documentation prepared and submitted by consultants in compliance with federal and state requirements is on file.

12. Interview the best two or three consultants.

13. Conduct interviews separately, explaining the work to be done and your selection procedures. Schedule enough time for a thorough examination of qualifications and discussion of your needs in the scope of services.
14. List the consultants interviewed in order of apparent ability to meet the needs of your scope of services.
15. Contact your first choice and agree on a precise outline of responsibilities and a fee.
16. If you cannot agree on responsibilities, fees, or contract details, then notify the consultant in writing that negotiations are discontinued. Begin negotiations with the next consultant on your list (see #14).
17. When a consultant is found then prepare and sign a contract, attaching the scope of services.

#### Sources of Information

"Professional Qualifications Standards," Secretary of the Interior's Standards and Guidelines, Archeology and Historic Preservation, **Federal Register**, Vol. 48, No.190, 9/29/83, pp. 44738-44739

**Georgia Council of Professional Archaeologists'** Membership List. c/o Dr. Debbie Wallsmith, GCPA Secretary/Treasurer, c/o Ga. DNR Parks & Historic Sites Division, Suite 1352, East Tower, 2 M. L. King, Jr., Dr., Atlanta, GA 30334. Phone 404. 651-5871; E-mail: Debbie\_Wallsmith@dnr.state.ga.us

A1998 Administrative and Member Directory.≅ Society for American Archaeology, 900 Second St., N.E., Ste 12, Washington, D.C. 20002-3557. Phone: 202/789-8200 Fax: 202/789-0284  
WWW: www.saa.org

"Archaeologists," The Real Yellow Pages. BellSouth Advertising & Publishing Corp., Atlanta, Ga.

#### 4. SUBMITTING AN ADEQUATE REPORT

##### **What makes an archaeological assessment report adequate?**

An outline of the components of an assessment report is given in PART II, Chapter 3, which follows next. Your archaeological consultant should be sure that any report provided to you for the purpose of meeting **Section 106** documentation requirements follows this outline.

## PART II. ARCHAEOLOGICAL ASSESSMENT REPORT COMPONENTS

### Chapter 3.

#### Components of Archaeological Assessment Reports

##### I. Title Page

- \* A. Report Title, include the following:
  - 1. scope of investigation, e.g. archaeological, archaeological & historical, ...
  - 2. type of investigation, e.g., background research, reconnaissance or intensive survey, mitigation
  - 3. location of investigation, e.g. county & state
- \* B. Principal Investigator's name and signature
- \* C. Name and address of company or institution of PI
- \* D. Name and address of contracting sponsor
- \* E. Name and address of federal agency
- \* F. Name of author(s) if not the PI
- \* G. Date of report (day, month & year)

##### II. Abstract (not more than a page)

- A. Identify type of project, e.g., reservoir
- B. Give summary of report's contents: location, research orientation, level of survey, findings, conclusions, recommendations, and any new information
- C. Mention significant (NRHP eligible) properties found

##### III. Table of Contents

- A. Appropriately ordered and paginated
- B. List of tables, figures, & plates

##### IV. Management Summary (as required)

- A. Why was the archaeology done?
- B. Who did the archaeology?
- C. What was done?
- D. Where and when was it done?
- E. How was the archaeology done?
- F. Any problems or constraints?
- G. What were the results and their significance?
- H. What recommendations for preservation or further archaeology?

- \* Required for Section 106 compliance purposes
- \*\* Recommended by Sec. of Interior's Standards & Guidelines
- \*\*\* Recommended by the Georgia Council of Professional Archaeologists

## V. INTRODUCTION

- A. Names of contract sponsor and lead federal agency
- B. Identify pertinent federal and state legislation
- C. Description of proposed project, project area, nature and extent of anticipated impacts of proposed project
- \* D. Definition of **area of potential effect**
- E. Purpose of investigation
- F. Discussion of Management Objectives, e.g., scope of work, legislative authority, & implementing regulations
- G. Date(s) of investigation
- H. Personnel involved and company organization
- \* I. Curation of field notes, artifacts, etc.
- \* J. Topographic map (USGS) with PROJECT AREA and **area of potential effect** clearly marked and labeled

## \*VI. Effective Environment

This information should relate to the natural setting of the **area of potential effect**, providing an environmental context within which to anticipate conditions of archaeological resources. It should be related to the research design.

- A. Description of physiographic province, e.g., topography, drainage, geology
- B. Microenvironment of the project area
  1. Flora
  2. Fauna
  3. Geology
  4. Soils
- C. Pertinent climatic history
- D. Historic land use patterns and significant changes
- E. Current land use and condition
- F. Prehistoric and historic resource utilization potential, e.g., lithics, water, or soil resources

## \*VII. Literature Review and Existing Sources of Information

- A. Date, purpose, scope, location, and results of previous investigations
- B. Historic documents and records
- C. Informants (names & addresses), amateur and professional
- D. Location, condition, and contents of notes, unpublished manuscripts, maps, and artifact collections from previous investigations
- E. Relevant ethnographic and/or ethnohistoric information

F. The **area of the potential effect** should be placed in its regional setting in regard to the known culture history. This consists of a description of the outline of prehistoric and historic cultures, including chronology, settlement patterns, means of subsistence, and other pertinent information. Appropriate archaeological contexts of the State Preservation Plan should frame the research.

**\*\*VIII. Research Design**

- A. Research objectives and goals
- B. Theoretical orientation
- C. Justification of selected problems, e.g., arch. context
- D. Definition of "site" and "isolated find" used for purposes of the investigation
- E. Explicit discussion of the methods to be used and how they relate to the research objectives and goals, e.g., survey, subsurface testing, testing intervals, excavation, expected results, and relationships to research objectives
- F. Hypotheses to be tested, test implications and analytical techniques required to test hypotheses, as appropriate
- G. Expected results

**\*IX. Field Methods**

- A. Surface survey techniques--both site specific and general (e.g., level of survey and where accomplished, deployment of crew, site recording techniques, collection techniques)
- B. Subsurface testing techniques--both site specific and general (e.g., testing methods, excavation levels, location, and size of test units, and selection of methods, locations, and unit size)
- C. Description of any non-disruptive techniques used for survey and testing (e.g., proton magnetometer, aerial photography, soil resistivity)
- D. Description of data collection techniques (e.g., surface collection, artifact provenience recording, screen size, soil sampling) and measuring devices and circumstances when used and not used
- E. Constraints on investigation (e.g., access to site, ground visibility, weather, or other factors)
- F. Controls for personal bias
- G. Justification of any in-field modifications of research strategy
- H. Maps showing areas surveyed, level of survey (e.g., reconnaissance, intensive, or other), and deployment of surveyors (transects); for areas not surveyed, they should be shown clearly and their exclusion justified

**\*\*X. Laboratory Methods and Analysis**

- A. Classificatory (typological) scheme(s) used in artifact description and analysis--give rationale for choices
- B. Method of chronological determination (typological, radiometric, etc.)

- C. Other special analytical methods and techniques (e.g., functional analysis of lithic tools through edge-angle studies, predictive model(s))
- D. Description of all natural material observed (e.g., soils descriptions and profiles graphically portrayed)
- E. Description of other potential paleoecological data
- F. Description of assemblage(s) with illustrations, distribution tables, weights, and other measures
- G. Scaled photographs and/or line drawings of all diagnostic or a representative sample of each type and class of artifacts
- H. Justification for any changes in research strategy

\*XI. Inventory of Cultural Properties (findings)

All properties should be fully described. Those evaluated as ineligible for the NRHP (insignificant) may be destroyed, negating any further investigation; however, they are just as much a part of the archaeological record as those evaluated eligible (significant). Failure to report them fully is a serious lack of responsibility to the public and the archaeological record. Some properties may have values of significance to local communities or to social and ethnic groups. Historical, architectural, aesthetic and other humanistic values should be recognized, considered, and fully described.

\* A. Physical characteristics

1. Location (boundary description and UTM)
2. Site extent must be clearly delineated on a map specific to the site
3. Site location within the **area of potential effect** must be plotted on a USGS 7.5 minute topographic map
4. Site dimensions, vertical and horizontal
5. Photographs of all N.R. eligible sites and settings
6. Topographic setting
7. Vegetative cover
8. Proximity to water or land
9. Elevation (ft./m.: AMSL/BMSL/pool level)
10. Soil/sediment descriptions based on USDA soil reports

\* B. Cultural/Temporal characteristics

1. Cultural materials
2. Site type with supporting evidence
3. Site function with supporting evidence
4. Intrasite structure
5. Artifact provenience data
6. Distribution of artifacts by type (horizontal and vertical)
7. Cultural/temporal placement within regional context

8. Appropriate portrayals, e.g., photos, drawings, table, graphs, of features and artifacts

C. Nature, extent, and source of previous disturbance

D. Relationship between site location and probable project effects (impacts)

E. Site specific research activities conducted and results (e.g., for subsurface testing there must be a full description of the size, number, and location of test units; all units--or a representative sample--should be described and graphically interpreted).

**\*\*XII. Evaluation of Research**

A. Reliability of data (e.g., potential for unlocated or unidentified sites within the **area of potential effect**)

B. Relationship between results of analysis and stated goals

C. Identification of changes in research goals

D. Synthesis and comparison of results of analysis

E. Integration of ancillary data

F. Identification and discussion of perceived patterns and relevant cultural processes

G. Contribution of this project to the state preservation plan's archaeological contexts and other theoretical and substantive concerns

**\*XIII. Recommendations**

A. Evaluate all identified properties for NRHP eligibility (significance) on a site-by-site and/or district basis, considering the "Secretary of the Interior's Standards & Guidelines for Evaluation" and Georgia's archaeological contexts

1. Apply the National Register criteria for evaluating eligibility explicitly to each property. Specify the criterion used. Recommend a level of significance, local, state, or national. Concisely discuss known and potential characteristics of each site or district that may contribute to current archaeological research-preservation needs and priorities. **For each site or district, state clearly a justified rationale for all evaluations of ELIGIBILITY and INELIGIBILITY.**

Properties may be eligible under NRHP criteria other than D: A., a major event (battlefield); B., associated with an important person (leader); and C., a construction (effigy mound) or work of a master (petroglyph).

B. Assess **probable** effect(s) of a project's activities on all NRHP eligible sites on a site-by-site or district basis

1. Assessing Effect(s): Apply the **Criteria of Effect** when a project's activities may change the NRHP qualifying characteristics of a site or district. Provide a



professional opinion as to which of a project's activities might **effect** an eligible site or district's location, setting, content, or use. Clearly identify the **effect(s)**, e.g., none, good and bad, current and future, nearby and distant.

2. Assessing Adverse Effect(s): Apply the **Criteria of Adverse Effect** to all identified effect(s). Provide a professional opinion on which effects are probably ADVERSE. Effects that diminish the qualifying characteristics of a site or district's location, design, setting, materials, workmanship, feeling, or association are considered **adverse**. Clearly identify **probable** adverse effect(s), e.g., current or future, nearby or distant. For each probable **Adverse Effect** discuss how the qualifying characteristics of each eligible site or district might be diminished, e.g., destroyed, altered, transferred.

C. Treat NRHP eligible sites or districts with a plan for mitigating the Adverse Effect(s) of a project's activities

1. **PRESERVATION IN-PLACE** - For preservation in-place, develop a plan for preserving the NRHP qualifying characteristics of each site or district (SIMPLE AVOIDANCE DOES **NOT** COMPLETE THE SECTION 106 COMPLIANCE PROCESS). This plan should be consistent with the principles set forth in "Consulting About Archaeology Under Section 106" and with the "Secretary of the Interior's Standards and Guidelines for Historic Preservation Projects." The plan should identify and address the "Specific Standards," e.g., Protection, and "Guidelines" for preserving in-place sites or districts.

a. General planning objectives for in-place preservation:

- 1) identify the potential adverse effects of proposed project activities which could adversely affect the site;
- 2) based on the identified adverse effects, formulate a plan for preserving in-place the NRHP qualifying characteristics of the sites or districts;
- 3) address the appropriate standards and guidelines for in-place preservation of the sites and districts in the contexts of planning (project design and development) and of management (project operations and maintenance);
- 4) identify methods and techniques and their order and manner of implementation for in-place preservation of sites and districts;
- 5) all methods or techniques identified for in-place preservation should be consistent with the characteristics which qualify the sites and districts for the NRHP;

6) all identified methods and techniques should be reasonable and practical, considering short-range and long-range factors of research, design, development, management, and costs;

b. Some in-place preservation options are:

1) designing a project so as to leave an archeological site or district in protected open space;

2) covering an archeological site with fill, taking precautions regarding compaction, chemical changes, soil disturbance, and future access;

3) protecting sites from damage by nearby project activities by means of fencing or other barriers;

4) designing structures over archeological sites in such a way as to minimize disturbance; or

5) establishing protective covenants, easements, or other arrangements with participants so to protect sites or districts within their control.

**2. Data Recovery** - For data recovery develop a plan for mitigating the loss of information resulting from adverse project effects. It should be consistent with the principles set forth in "Consulting About Archeology Under Section 106," with the "Secretary of the Interior's Standards and Guidelines for Archeological Documentation," and with Treatment of Archeological Properties (ACHP 1980). The amount and area(s) of the site(s) to be mitigated should be in line with the assessed adverse effect(s) of the project. All research questions posed should be logical, current, and answerable in terms of the information potential the site(s) can be expected to yield given the proposed data recovery plan. All field and laboratory methods must be consonant with the research questions. Minimally the following should be included:

a) Information on archeological site(s) being treated and archeological context(s) in which such properties are eligible for the NRHP;

b) Information on any archeological site(s) that will be destroyed, altered, or transferred without data recovery;

c) Discussion of research questions to be addressed, with an explanation/justification of their relevance and importance;

- d) Description of recovery methods to be used, with an explanation of their pertinence to the research questions,
- e) Description of methods to be used in analysis, data management, and dissemination of data;
- f) Information on arrangements for any regular progress reports or meetings to update agency managers and SHPO on the course of work;
- g) Documentation of curatorial arrangements for all recovered materials and records, including name and address facility that meets NPS curation standards;
- h) Proposed methods for disseminating results of the work to the interested public;
- i) Proposed methods by which any pertinent Indian groups, local governments, or other specific groups will be kept informed of the work;
- j) Information on identification and consultation with appropriate groups if human remains or funerary materials are anticipated;

\* D. For any site or district evaluated as POTENTIALLY eligible for the NRHP, a plan (scope of work) should be developed which includes:

1. a research design which recommends what additional investigation is needed to complete NRHP evaluation; and,
2. recommendations for protecting these sites or districts from project activities until NRHP evaluation is completed, e.g., fencing, monitoring, guarding.

#### XIV. Reference

Use American Antiquity's "Style Guide," 1992, Vol. 57, pp. 749-770 or Historical Archaeology's "The Society for Historical Archaeology Publications Style Guide," 2001, Vol. 35, No. 4, pp. 136-63.

#### XV. Appendices

- A. Supporting Data (e.g., computer readouts, site forms)
- B. Scope of Work (should be included in all reports)
- C. Ancillary Studies (e.g., palynological report)

- D. Proposal
- E. Other
- F. Vita (PI, author, and other primary contributors)

## APPENDIX

### NAMES, ADDRESSES, AND NUMBERS YOU MIGHT NEED TO KNOW

**STATE HISTORIC PRESERVATION OFFICE**

Dr. W. Ray Luce, Deputy SHPO and Director  
Historic Preservation Division, GA DNR  
47 Trinity Avenue, S.W., Suite 414-H, Atlanta, GA 30334-9006  
Phone 404-656-2840 FAX 404-656-1040 [www.gashpo.org](http://www.gashpo.org)

**For questions about environmental review procedures, project status, or projects, contact:**

- Environmental review coordinator, Ms. Serena Bellew, 404-651-6624, or
- Review archaeologists, Mr. Joey Charles at 404-651-6433 or Mr. Bob Entorf at 404-651-6775.

**For general questions or concerns about Georgia archaeology, contact the Archaeological Services Unit:**

- Dr. David C. Crass, Unit Manager & State Archaeologist, 404-656-9344 or
- Ms. Christine Van Voorhies, Archaeology Outreach Specialist, 404-657-1367

**GEORGIA ARCHAEOLOGICAL SITE FILE**

Dr. Mark Williams, Director  
Georgia Archaeological Site File  
University of Georgia  
110 Riverbend Road, Athens, GA 30602-4702  
Phone 706-542-8737 FAX 706-542-8920  
<http://Shapiro.anthro.uga.edu/GASF>

**GEORGIA COUNCIL OF PROFESSIONAL ARCHAEOLOGISTS**

Dr. Debbie Wallsmith, Secretary  
Georgia Council of Professional Archaeologists  
c/o Parks & Historic Sites Division, GA DNR  
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