

KENTUCKY TRANSPORTATION CABINET/DIVISION OF ENVIRONMENTAL ANALYSIS ARCHAEOLOGICAL BASELINE GUIDANCE AND ACCOUNTABILITY FORM

Baseline Prepared by: _____			
Author		Firm	
County:	Route:	Item No.:	
Description:			
Prime Consultant:			
Due Date:	Submittal Date:	Submittal Draft #:	Approval Date:

Instructions:

Baseline Prepared by: Name of author/firm that prepared the study. **County:** Name of county(ies) within which the project is located.
Route: Name of highway for which the project is intended. Include route designation and number as applicable (i.e. US 60, Winchester Rd.)
Item No.: Item number as it appears in the contract and Six Year Plan which corresponds with the project.
Description: Official description of the project as it appears in the Six Year Plan.
Prime Consultant: Name of the Phase I Design and Environmental Consultant (prime contract holder) for the project.
Due Date: Date that the project is due as agreed upon in contract negotiation.
Date of Submittal/Submittal Draft Number: Date of submittal and draft being submitted (1st, 2nd, 3rd) in appropriate sections.
Approval Date: Date baseline is approved by DEA (*DEA use only*).

For “Required” column: √ indicates all applicable areas of focus (*DEA’s responsibility*).
For “Completed” column: use **Y** for yes and **NA** for not applicable as necessary (*Consultant’s responsibility*).
For “DEA” Column: DEA will use √ for all areas that adequately address concerns, and “I” for those that are insufficient in coverage.

“Comment” page: Discuss supplemental information, guidance or instructions, if any, that required deviation from the checklist. Discuss all categories which contain “NA” in the “Complete” columns of this format. Comments regarding the content and format of this form and/or its applicability may also be submitted in the comments section.

“Commitments to be Implemented” page: Identify any commitments that are documented within the study. Specify the nature of the commitment, to whom it was or should be made, when the commitment should be enacted upon, etc.

“Mitigation and Special Issues” page: Identify mitigation measures that are specified within the report, if any. Also, identify any special issues that are addressed within the document that should be considered by the Project Team as it makes decisions regarding the project.

“Signature” page: Signatures of Prime Consultant and KYTC/DEA Environmental Project Manager/Reviewer will attest that the base study meets the requirements set forth in this checklist. Signatures of KYTC Project Manager and District Environmental Coordinator ensure that the findings of the report, including impacts to the project and mitigation measures have been presented to the project development team and are acceptable.

Completed form is to be delivered to KYTC with the document. Previous checklists for the document, or a copy thereof, shall be attached to the current checklist.

			CATEGORY
Required	Complete	DEA	
Insert check mark as appropriate			GENERAL
√			• Acid free paper, 8 ½ x 11 paper.
√			• Report bound along left margin.
√			• Permanent, official site numbers issued by OSA or KHC.
√			• Figures match both the associated caption and the relevant text description.
√			• In cases where multiple plan maps of the same area or site are included in different locations throughout a report, a common reference point consisting of grid coordinate data is added to all maps.
√			• The report follows the most current and applicable SHPO specifications for report writing and the guidelines for fieldwork.
√			• The total number of artifacts, probes (positive and negative), test units, backhoe trenches, etc. listed in a report is correct and consistent throughout.
√			• Archaeological investigations conducted in adjacent states with KYTC as the lead state DOT agency follow the guidelines and procedures of each affected state.
√			• Photographs and illustrations are clear, free of pixelation or digital artifacts, and show accurately the subject of the photo or illustration.
√			• Topographic maps that show the overall distribution of archaeological sites within a linear project area show the proper shape and orientation of the recorded sites (i.e., the site locations do not consist of point data).
√			• All sections of the report have been checked to ensure that they contain information relevant to the area discussed, i.e., they do not include background information, research, soil types, geology, etc. for counties other than where the project area is located, unless that information is relevant.
√			• The report is examined to make sure that it is free of typographic and grammatical errors.
√			• The spelling or designation of names or site numbers is correct and consistent throughout the report. In addition, the name of the county or counties where the project occurs remains the same throughout the report.
√			• Contributing authors are identified as to the section or sections of the report they have written.

Required	Complete	DEA	CATEGORY
Insert check mark as appropriate			TITLE PAGE
√			<ul style="list-style-type: none"> • Project name, report author, report date.
√			<ul style="list-style-type: none"> • Name, address, and contact information of institution, agency, or firm conducting the investigations, including applicable contract numbers.
√			<ul style="list-style-type: none"> • Client information (report prepared for)
√			<ul style="list-style-type: none"> • Principal Investigator's name, affiliation, contact information, and dated signature.
√			<ul style="list-style-type: none"> • Lead Federal Agency and other involved Federal or State agencies, including permit or other project identification numbers.
√			<ul style="list-style-type: none"> • The project item number is included in the report title and on the title page and the item number or numbers are correct and used consistently throughout the report.
			INTRODUCTORY PAGES
√			<ul style="list-style-type: none"> • Table of Contents.
√			<ul style="list-style-type: none"> • List of Figures, Plates, or Tables.
√			<ul style="list-style-type: none"> • Report Abstract summarizing conclusions and cultural management recommendations.

Required	Complete	DEA	CATEGORY
Insert check mark as appropriate			REPORT INTRODUCTION
√			<ul style="list-style-type: none"> • Purpose of the report and scope of the work.
√			<ul style="list-style-type: none"> • Dates of field investigations, and amount of time spent in the field.
√			<ul style="list-style-type: none"> • Names of field directors, supervisors, crew members.
√			<ul style="list-style-type: none"> • Restrictions or limitations on survey efforts.
√			<ul style="list-style-type: none"> • Detailed project description including project item number and its potential impact on historic and archaeological resources.
√			<ul style="list-style-type: none"> • Project sponsors, contract/permit numbers.
√			<ul style="list-style-type: none"> • Regulatory or statutory authority under which the assessment is being conducted.
√			<ul style="list-style-type: none"> • Explanation of project boundaries, documented on 7.5 minute USGS topographic quadrangle maps, including previously recorded sites and districts.
√			<ul style="list-style-type: none"> • Other project planning or construction maps, as necessary.
√			<ul style="list-style-type: none"> • Oversized maps to be appended in a map pocket bound within report.
√			<ul style="list-style-type: none"> • Color photographs showing overall views of project area and general survey conditions.
√			<ul style="list-style-type: none"> • Discuss general physiographic setting, land forms, drainage and major water sources, and dominant soil association.
√			<ul style="list-style-type: none"> • Curation information for field notes, artifacts, and other records.
√			<ul style="list-style-type: none"> • General overview of survey results, including potential impacts to historic resources.
√			<ul style="list-style-type: none"> • All aspects of any fill or disturbance within the project area (logging, road or house construction, grading for a trailer, looting, etc.), including information on type of disturbance or fill, areal extent, depth, age, and potential association with any specific activities in the project area have been documented and described.
√			<ul style="list-style-type: none"> • The report includes the total project area size (in acres and hectares).

Required	Complete	DEA	CATEGORY
Insert check mark as appropriate			ENVIRONMENTAL BACKGROUND
√			• Discussion of present and past environmental conditions.
√			• Potential environmental influences on historic and archaeological resources.
√			• Reports that include lithic assemblages must include a geology section detailing the chert-bearing formations, members, and beds that occur locally, as well as descriptions and locations for material types identified in the lithic assemblage.
			PREVIOUS INVESTIGATIONS
√			• Statement concerning site check at OSA or KHC, and outcome of literature review.
√			• Overview of the history and/or prehistory of the general project area.
√			• Discussion of the results of archival investigations.
√			• Discussion of previous survey work and its results.
√			• National Register status of previously recorded sites and districts.
√			• Maps showing locations of previously recorded sites.
√			• Previous cultural resource management recommendations.
√			• Non-site landscape features such as abandoned railways and roads, stone fences, etc. have been identified and recorded within the limits of the r/w. An historic, economic, and social context is provided for the construction, use, and abandonment of these non-site landscape features. Where appropriate, these features have been assessed in accordance with the guidelines provided in CRM and National Register Bulletins (i.e., National Register Bulletins #30 and #42, CRM Bulletin Vol. 22, No. 10, etc.).
√			• The background sections include all relevant information to provide the necessary context (generally for temporal and regional, specific for county and project area) for an accurate depiction, placement, and assessment of identified archaeological sites.
			PHASE II RESEARCH DESIGN
√			• Relevant research questions.
√			• Management issues.

Required	Complete	DEA	CATEGORY
Insert check mark as appropriate			FIELD METHODS SECTION
√			<ul style="list-style-type: none"> • Detailed description and evaluation of field methods used.
√			<ul style="list-style-type: none"> • Discussion of survey techniques and variations due to different field conditions; subsurface investigations.
√			<ul style="list-style-type: none"> • Description and discussion of shovel tests, test units, and any other excavations.
√			<ul style="list-style-type: none"> • Maps showing archaeological survey walk routes, vegetation cover, locations of subsurface shovel probes or test units, and areas not surveyed.
√			<ul style="list-style-type: none"> • Flotation samples taken from features or other contexts have been processed (i.e. floated) with the appropriate samples or materials submitted for paleobotanical analysis and/or radiocarbon assays. Note that trowel sorting of flotation samples is not sufficient and if the samples are not analyzed the reason and a statement to that effect must be included at the point where the sample is discussed (i.e., test unit or feature description).
			MATERIALS RECOVERED SECTION
√			<ul style="list-style-type: none"> • Discussion of general laboratory procedures.
√			<ul style="list-style-type: none"> • Discussion of analytical methods and techniques.
√			<ul style="list-style-type: none"> • Techniques used in analysis of any recovered paleoecological data.
√			<ul style="list-style-type: none"> • Description and analysis of assemblage from each site, including explanation of classification scheme.
√			<ul style="list-style-type: none"> • Illustrations of diagnostic artifacts.
√			<ul style="list-style-type: none"> • Discussions of cultural, temporal, and behavioral implications of the assemblages.
√			<ul style="list-style-type: none"> • Quantitative and qualitative analysis of artifact assemblages has been completed following appropriate and referenced methodologies.
√			<ul style="list-style-type: none"> • Artifacts depicted in photographs are identified as to provenience.
√			<ul style="list-style-type: none"> • Artifacts listed in provenience tables match, in number and type, descriptions of the associated assemblage provided in the text.
√			<ul style="list-style-type: none"> • Projectile points, bifaces, and tools are described in detail in tables and text, compared to regional types for temporal association, and utilized to assess site function.
√			<ul style="list-style-type: none"> • Prehistoric ceramic artifacts are described in detail in tables and text and are compared to regional types for correct temporal association.
√			<ul style="list-style-type: none"> • Artifact descriptions and the Artifacts Recovered section contain specific bibliographic references that include associated date ranges for each artifact type listed.

Required	Complete	DEA	CATEGORY
Insert check mark as appropriate			SITE DESCRIPTIONS AND SURVEY RESULTS
√			<ul style="list-style-type: none"> For all survey reports, include maps showing all previous and newly recorded sites, structures or districts. Site numbers shall be labeled directly on the map.
√			<ul style="list-style-type: none"> For archaeological surveys, a description of each individual site investigated, including setting, the results of surface and subsurface investigations, artifacts recovered, and features recorded.
√			<ul style="list-style-type: none"> Individual site plan maps showing site boundaries, survey walk areas or collection areas, placement of shovel or core tests, test units, trenches, and surface or subsurface features. Site datum must be shown on map.
√			<ul style="list-style-type: none"> Photos or drawings of test units, features, soil profiles.
√			<ul style="list-style-type: none"> Artifact illustrations.
√			<ul style="list-style-type: none"> Historic maps from archival investigations, as warranted.
√			<ul style="list-style-type: none"> Color xerox photos showing general overview of each archaeological site.
√			<ul style="list-style-type: none"> Archival and oral history of a site specific nature.
√			<ul style="list-style-type: none"> For all reports, National Register evaluation of eligibility or ineligibility for each site over fifty years of age in project impact area.
√			<ul style="list-style-type: none"> For all reports, description of project effects on each site.
√			<ul style="list-style-type: none"> For all reports, management recommendation for each site in area of project's impact.
√			<ul style="list-style-type: none"> For all reports, If further investigations are recommended, a brief suggested scope of work.
√			<ul style="list-style-type: none"> For all reports, If further investigations are recommended, include an estimated cost associated with the scope of work.
√			<ul style="list-style-type: none"> Fill or disturbance within or adjacent to identified sites has been described and includes information on the type of disturbance or fill, areal extent, depth, age, potential association with any specific activities in the project area and a discussion of associated impact to the affected resource.
√			<ul style="list-style-type: none"> The areal extent (dimensions and square meters) of each recorded site.
√			<ul style="list-style-type: none"> Artifacts depicted in photographs are identified as to provenience.
√			<ul style="list-style-type: none"> Artifacts listed in provenience tables match, in number and type, descriptions of the associated assemblage provided in the text.
√			<ul style="list-style-type: none"> The locations of all positive probes, negative probes, test units, trenches, features, etc. are numbered and depicted accurately in all relevant figures.
√			<ul style="list-style-type: none"> Specific justification for site boundaries is included in each site description (such as decreased artifact counts or artifact absence, landform or topographic features that limit, constrain or stop the investigation, or the limits of the R/W).

Required	Complete	DEA	CATEGORY
SITE DESCRIPTIONS AND SURVEY RESULTS (CONTINUED)			
√			<ul style="list-style-type: none"> • A determination of the potential of a site to contain subsurface deposits or features has been conducted in the field and adequately described in the text - this means multiple probes even in a plowed field or in other areas of high surface visibility.
√			<ul style="list-style-type: none"> • Statements of eligibility for each site are restricted to those impacted portions of the site, as "the impacted portion of site 15MF632 is determined to be eligible..." or "the portion of the site within the current project r/w is not eligible for listing..."
√			<ul style="list-style-type: none"> • The report includes dimensions and detailed descriptions (construction type, height, width, length, aspect, orientation, etc.) of remnant historic foundations, wells, cisterns, cellars, etc., and information relevant to determining the age of construction, the approximate date range of utilization, the approximate date of abandonment, and the potential function of the site.
√			<ul style="list-style-type: none"> • Site maps include site boundaries, r/w limits (if applicable), the locations of associated features, structures, diagnostic artifact locations, artifact clusters, etc., and the location of negative probes, positive probes, surface collection units, etc. with appropriate keys for each feature of the map not otherwise identified.
√			<ul style="list-style-type: none"> • All site maps have been checked to ensure that scales, north arrows, probe and unit locations, etc. are accurate and error-free.
√			<ul style="list-style-type: none"> • Structures within, potentially associated with, or that comprise all or a portion of an archaeological site are shown in photographs.
√			<ul style="list-style-type: none"> • Maps of sites are as accurate and detailed as possible, and include information on contour or other topographic or landform constraints that limit or direct the level of investigation possible or required at a site
√			<ul style="list-style-type: none"> • Maps include standard USGS symbols and mapping techniques.
√			<ul style="list-style-type: none"> • Isolated finds do not consist of multiple artifacts; if multiple artifacts are present, an attempt must be made at OSA to receive a site number. If rejected, the report states that the OSA would not assign a state number to the artifact concentration and the concentration is referred to as a non-site locality.
√			<ul style="list-style-type: none"> • Any potentially associated structures, features, or components are included within the boundaries of an archaeological site.
√			<ul style="list-style-type: none"> • Isolated finds and non-site localities are described separately, as their own category distinct from identified sites and as individual artifact locations, both in figures and in the text.
√			<ul style="list-style-type: none"> • Historic structure descriptions include a listing of all relevant historic maps where the structures are and are not depicted.
√			<ul style="list-style-type: none"> • An assessment of secondary and cumulative impacts has been provided for portions of sites that occur outside the r/w.

Required	Complete	DEA	CATEGORY
SITE DESCRIPTIONS AND SURVEY RESULTS (CONTINUED)			
√			<ul style="list-style-type: none"> Site maps include site boundaries, r/w limits (if applicable), the locations of associated features, structures, diagnostic artifact locations, artifact clusters, etc., and the location of negative probes, positive probes, surface collection units, etc. with appropriate keys for each feature of the map not otherwise identified.
√			<ul style="list-style-type: none"> All site maps have been checked to ensure that scales, north arrows, probe and unit locations, etc. are accurate and error-free.
√			<ul style="list-style-type: none"> Structures within, potentially associated with, or that comprise all or a portion of an archaeological site are shown in photographs.
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√			<ul style="list-style-type: none"> Any potentially associated structures, features, or components are included within the boundaries of an archaeological site.
√			<ul style="list-style-type: none"> Isolated finds and non-site localities are described separately, as their own category distinct from identified sites and as individual artifact locations, both in figures and in the text.
√			<ul style="list-style-type: none"> Historic structure descriptions include a listing of all relevant historic maps where the structures are and are not depicted.
√			<ul style="list-style-type: none"> An assessment of secondary and cumulative impacts has been provided for portions of sites that occur outside the r/w.
REPORT SUMMARY AND RECOMMENDATIONS			
√			<ul style="list-style-type: none"> Establish baseline conditions (describe Area of Potential Effect (APE) and all archaeological sites identified)
√			<ul style="list-style-type: none"> Identify sites recommended for additional work (Phase II) and any parcel(s) for which phase I could not be completed due to lack of property owner permission (document efforts to access property)
√			<ul style="list-style-type: none"> Identify any sites eligible or determined to be eligible for the National Register
√			<ul style="list-style-type: none"> Reference coordination with SHPO regarding archaeological sites and recommendations for further work (include letters in Appendix)
√			<ul style="list-style-type: none"> Discuss cumulative and indirect impacts

Required	Complete	DEA	CATEGORY
			REFERENCES CITED
√			<ul style="list-style-type: none"> • All references in the body of the report are to be cited in the bibliography in <i>American Antiquity</i> format.
√			<ul style="list-style-type: none"> • All citations in the bibliography to appear in the text of the report.
			APPENDICES AND ATTACHMENTS
√			<ul style="list-style-type: none"> • <i>Curriculum vitae</i> for Principal Investigator and Field Supervisors if not already on file with Kentucky SHPO.
√			<ul style="list-style-type: none"> • Artifact tabulations as an Appendix, as warranted.
√			<ul style="list-style-type: none"> • Optional cemetery forms as an Appendix, as warranted.
√			<ul style="list-style-type: none"> • Pocket included in back of report to attach final clearance letter from SHPO (no other correspondence associated with the project is required or needed).

Comments: Discuss supplemental information, guidance or instructions that required deviation from the checklist. Discuss all categories which contain “NA” in the “Complete” columns of this format. Comments regarding the content and format of this form and/or its applicability may also be submitted through this section.

Commitments to be Implemented: Identify any commitments that are documented within the study. Specify the nature of the commitment, to whom it was or should be made, when the commitment should be enacted upon, etc.

Mitigation and Special Issues: Identify mitigation measures that are specified within the report, if any. Also, identify any special issues that are addressed within the document that should be considered by the Project Team as it makes decisions regarding the project.

SIGNATURE PAGE

I have reviewed the project documentation and attest that those responsible for its preparation are familiar with the requirements set forth in the checklist above and that proper management controls were in effect throughout the course of document development to assure that the document is complete, thorough and addresses all applicable checklist components.

Prime Consultant

Date

Recommended for Approval By:

KYTC/DEA Environmental Project Manager/Reviewer

Date

Team Review of Commitments

The findings of the report, including impacts to the project and project commitments, have been presented to the Project Team and will be considered during the development of this project.

KYTC/District Environmental Coordinator

Date

Project Manager

Date