



Lourdes A. Leon Guerrero
Governor
Joshua F. Tenorio
Lt. Governor

Department of Parks and Recreation
Dipattamenton Plaset yan Dibuetasion
Government of Guam

Director's Office, Parks and Recreation Divisions:
#1 Paseo de Susana, Hagåtña, Guam 96910
P.O. Box 2950, Hagåtña, Guam 96932
(671) 475-6288; Facsimile (671) 477-0997
Guam Historic Resources Division:
490 Chalan Palasyo, Agaña Heights, Guam 96910
(671) 475-6294/6355; Facsimile (671) 477-2822



Angel R. Sablan
Director
Warren E. Pelletier
Deputy Director

Guidelines for Plans and Reports
Guam Historic Resources Division
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Required Elements:

1. Cover letter with the project name, sponsor, and contractor, if applicable, acknowledged and copied by the client and contractor, signed by the client, and addressed to the State Historic Preservation Officer (SHPO).
2. Reports must be spiral bound and not loose paper.
3. Reference the project by the RC tracking number assigned by the Guam Historic Resources Division (GHRD) and consistently use the assigned title in subsequent submittals and communications.
4. Indicate whether the submission is the Draft or Final Version of the document.
5. Include a map with the location of Guam and the site/Area of Potential Effect (APE) on Guam. Provide all locational data in UTM's or meters with map data following WGS 1984 UTM Zone 55N.
6. Provide the total area in acreage (and metric, if appropriate) for the GHRD annual report to NPS on activities.
7. Include looseleaf in the rear of the report the Archeological Report Summary Form (ARSF) as Appendix A, as well as Guam Historic Property Inventory (GHPI) Form.
8. Include collections agreement with the Guam Cultural Repository and inventory of any collected materials.
9. Include a FINAL notice on all reports responding to comments on draft versions, and provide one bound hard copy of the FINAL report.
10. For all FINAL reports provide a CD with shapefiles, a digital copy of the report, GHPI site forms, high-resolution (300 DPI or greater) images used as figures in the report, and digital copies of field notes and analysis forms.

11. List staff, qualifications, and SOI qualified Project Director or Principal Investigator. If qualified staff are new, vetting must occur in conjunction with our office.
12. Illustrations: Maps, historical photographs, photographs of landscapes, sites, study units, and artifacts should be clear, high-resolution (300 dpi or greater), well-labeled (areas of interest marked, legend, and/or photo board), with directional data in the frame (scale and north arrow), and referenced in the report. Color for only digital reporting is acceptable so long as high-quality legible B/W copies can be viewed in the submitted document. Site boundaries of archaeological sites should be clear and justifiable.

Recommended Elements:

Plans and reports for projects conducted for review should follow the following guidelines. These are not required but will facilitate a more effective review. These follow the National Park Service guidelines for Section 106 projects for the National Register of Historic Preservation (NRHP) but also apply as default guidelines for GHRD and the Guam Register of Historic Places.

All Reports

The following elements should be in all reports submitted to GHRD.

1. Management Summary. The context within which the work was performed should be stated, including the territorial and/or federal regulations and programmatic agreements, as appropriate. These include the identity of the sponsor; the purpose of the sponsor in funding the investigation; the identity of the institution responsible for the performance of the project; the identities of the personnel employed in the project, and their respective roles; the person-hours invested in the project; the acreage of the APE for the project, and the dates on which the investigation occurred.

2. Definition of Study Area and APE. Present the Study Area and APE boundaries using an electronic mapping application (QGIS, ArcGIS, etc). Provide a map with all GHPI sites and previously conducted Cultural Resource Management (CRM) studies within a 400-meter radius of APE. Describe the site and context.
3. References. All cited references of reports, articles, general overviews, or external imagery.

SHORT REPORT. No effect recommendation.

A project or undertaking for Section 106 requirements with no historic properties will therefore have no impact or effect on historic resources. The short report may be a brief letter report, but should include the elements above as well as:

1. Recommendations. Justify and discuss the reason for the recommendation of no effect. Previous negative archaeological investigations? Evidence of no historic resources from first-hand observation of surface and subsurface? Evidence of severe degradation/disturbance of property?

SHORT REPORT. Small projects with negative findings.

The size of the project is determined through consultation with GHRD and based on the action performed. For small-scale projects that presented no findings, the following is recommended.

1. Research Design. Objectives of the project, brief historical and environmental contexts, prior research, methodologies for discovery, and documentation.
2. Results. Discussion of expectations and explanation for negative discovery, evidence of negative results such as shovel tests, backhoe trenches, pedestrian

survey observations, and documentation. Discuss the reason for the recommendation of no effect. Previous negative archaeological investigations? Evidence of no historic resources from first-hand observation of surface and subsurface? Evidence of severe degradation/disturbance of property?

3. Recommendations. Can the project proceed without limitations? Is monitoring recommended? Advisory to contractors to halt in the event of inadvertent discovery?

FULL REPORT

A full report should be a significant contribution to the historical resources documentation for Guam and should be systematic and compatible with prior reporting. It should have all the elements of the short report but an expanded research design that fully includes all previous investigations and findings, and should provide an intellectual, as well as historiographic contribution. Reviews of full reports should address the relevance of the themes and historical contexts and the appropriate discovery, documentation, and treatment of sites. A full report should be submitted for a large project, a project with known or expected historic resources, and where preservation strategies are necessary to protect resources and to treat adverse impacts on known resources.

1. Abstract. Required for annual report to National Park Service. Should include a brief account of the project description, sponsor, location, general nature of the project, methodology, findings, significance, and recommendations.
2. Introduction. Expanded from abstract and management summary with a general narrative that includes a discussion of relevance to the cultural history of Guam and the region.

3. Research Design. Should include but is not limited to the objectives of the project, brief relevant historical and environmental contexts, prior research, and the methodologies for discovery and documentation.

Previous investigations and documented sites in the project area.

Historical Background – regional chronology, material culture, archaeological and cultural landscapes and features, lifeways, and expectations for discovery.

Environmental context – geomorphology, climate, hydrology, vegetation, paleoenvironmental data, and knowledge relevant to the project and archaeological site context and formation processes.

Historic Contexts – a formal statement that frames research themes, objectives, expectations, and significance for Guam and NHPA research criteria for significance. The Historic Context identifies an idea or theme such as a historical or prehistoric period or significant event or cultural lifeway (see <https://www.nps.gov/subjects/nationalregister/publications.htm> especially National Register Bulletins 15, 36, and 39 for guidance). A proper historical context will call out data gaps and how this project might, or does, or does not fill in these gaps.

Oral history – any local residents or family connections to the project property should be interviewed for their knowledge of the history of the property and of the cultural and family background relevant to prior uses, CHamoru traditions and lifeways, and cultural landscapes including traditional cultural property designation.

Interpretations – discussion of the sites, chronology, and synthesis of results and expectations

4. Results. Survey discovery and site documentation and mapping, excavation results, artifact discovery, inventory and pattern analysis, data interpretation, if possible, collections, and curation procedures.
5. Recommendations. Can the project proceed without limitations? Are further identification or eligibility evaluation efforts needed? National Register and Guam Register eligibility? Under what Criterion? Relevant Historic Context, Preservation strategies, including possibly: avoidance, data recovery, and preservation in place within a broader context? Monitoring recommended? Advisory to contractors to halt in the event of inadvertent discovery? Relevant SOPs used?

Archaeological Survey and Discovery Plan (ASDP)

An ASDP should be submitted for any projects expected to find or impact historic resources. The outline will be similar to a short report and should include the relevant expectations and recommendations. Are there historic resources present? If so, will there be an impact or "adverse effect" on the historic resources? If so, what are the treatment strategies to avoid or reduce adverse effects? [Note: Archaeological monitoring is necessarily an appropriate "mitigation" treatment for historical resources. It is an identification methodology, like shovel testing or backhoe testing, when there is potential for historic resources that were not found during the pedestrian survey because of site burial.] These methods can come at any phase/step in the identification to mitigation stage but may have very different research questions. Discovery of subsurface sites will require documentation, NRHP Significance, Integrity, Eligibility recommendations, and treatment strategies. Note that significance + integrity (to convey significance) = Eligibility, and casual observations of disturbance are not necessarily relevant.

1. **Research Design.** The level of detail can vary but should include the objectives of the project, brief historical and environmental contexts, prior research, methodologies for discovery, and documentation.
2. **Discovery methodology.** Use of a pedestrian survey, remote sensing, shovel testing, backhoe trenching or scraping, NRHP evaluative testing, mitigation data recovering, monitoring during construction, oral history, or other method.

General Notes for All Reports

These guidelines are minimal expectations for review by GHRD. Except for the requirements cited initially in this documentation, the plans and reports are flexible so long as they are clear, well-documented, consistent, and systematic. Delays in reviews may follow from inconsistent formats, or from unprofessional reporting. These reports will be part of the permanent record and should be the best efforts of the sponsors and archaeological investigators. There is no required cultural chronology or context required so long as it is justifiable from previous studies or cultural framework.

Presentation: The font should be 12-point Arial.

Avoid red and green color schemes in maps and figures due to issues with color-blind legibility.

Default Microsoft Word document margins with 1.5 line spacing and left-aligned, ragged right is compatible with ease of reading.

Table of Contents and Table of Figures and Tables should be auto-generated for Full Reports.

Preferably use the American Antiquities Style Guide, but others commonly used such as the SHA Style Guide or Chicago Manual of Style are acceptable. The style must be

consistent throughout the document.

<https://www.cambridge.org/core/journals/american-antiquity/article/abs/style-guide-for-american-antiquity/58B0681CE53EF66015066EFA3E5FBD52>

Acknowledgments, if included, should list all cooperators, co-producers, and co-sponsors of the project/report (mayors, community members, etc).

The background for these guidelines has been adapted from the Council of Texas Archaeologists Guidelines for Cultural Resource Management Reports (<https://www.thc.texas.gov/public/upload/CTAguidelines.pdf>).

For Guam Register of Historic Places eligibility, view the Guam Historic Preservation Review Board 2010 "Useful References" document Chapter 3 which is available at the GHRD Office.

For Oral Histories, there are many excellent guidelines, including (<https://siarchives.si.edu/history/how-do-oral-history>). Please consult GHRD to coordinate with the GHRD historian.



Patrick Q. Lujan, State Historic Preservation Officer (SHPO)
Guam Historic Resources Division
Date: 1 Aug 25