

Exhibit 5.6: Data Recovery Plan Format and Content Guide

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Exhibit 5.6: Data Recovery Plan Format and Content Guide

Data Recovery Plan Format

The following information is provided to assist with archaeological data recovery plan preparation. Included as a technical appendix to a Finding of Adverse Effect (FAE) and/or a Memorandum of Agreement (MOA), the purpose of the data recovery plan (DRP) is to demonstrate that the Caltrans' level of effort appears justified and the expected costs are not unreasonable. The DRP differs from a Phase III data recovery proposal in that it provides sufficient information on Caltrans' general level of effort, but may not contain detailed discussions of project schedule, personnel, or cost. See Chapter 5 Section 5.8 for more information on archaeological data recovery studies and Exhibit 5.7 for a PIII Proposal format and content guidelines. See Exhibit 5.14 for specific historical archaeological methods for field, laboratory, analysis and reporting appropriate for historic sites and components of sites.

The DRP should include at minimum the sections outlined below.

Data Recovery Plan Format

- Title Page
- Table of Contents (optional)
- Introduction
- Site Context
- Site Significance/Research Issues
- Proposed Investigation
- Public Outreach Plan
- Native American Coordination
- Personnel
- Curation
- Archaeological Permits
- Anticipated Scope and Schedule
- References Cited
- Preparer's Qualifications
- Maps
- Appendices

Title Page

The title page contains the following information:

- Brief descriptive title with type of study (Data Recovery Plan), the primary number and trinomial for the site, and the name and general location of project (e.g., “Four-Lane Widening on Route 989 between Forestview Drive and Limekiln Road”).
- County, route, and postmile or local street or road name.
- EA/E-FIS¹ project number and phase (For Local Assistance projects, use the Federal-Aid project number).
- Project contract number (if prepared by consultants).
- Name, title, and signature of the Caltrans Professionally Qualified Staff (PQS) or consultant PQS-equivalent who prepares the report. Also state the preparer’s PQS or PQS-equivalent level and address or location. If the report has multiple authors, all should be listed by name, but only the senior author’s name, title, location, and signature are needed.
- Name, title and signature (if required) of the PQS who reviewed the report for approval, along with the reviewer’s location/address and PQS level (if different than preparer).
- Name, title, location and signature of the Caltrans District Environmental Branch Chief (DEBC) for whom the document was prepared. The DEBC’s signature on the title page indicates approval and acceptance of the document.
- Date (month/year) Data Recovery Plan was prepared (appears at bottom of page).

Table of Contents

List the major sections, subheadings, appendices, tables, and figures, with page numbers.

1 Enterprise Resource Planning Financial Infrastructure, a 10-digit number, followed by a phase number of one or more digits.

Introduction

- Discuss the goals of the study and the general nature of the research plan.
- Identify the site(s) by primary number and trinomial.
- Identify the National Register status of the site(s).
- State why the DRP is required (e.g., compliance with the Section 106 PA (106 PA²), 36 CFR 800, the PRC 5024 MOU (5024 MOU³) and/or CEQA⁴, as applicable).

Site Description

Concisely describe and discuss:

- General topographic setting
- Dimensions
- Spatial relationship between the site and the project's Area of Potential Effects (APE) or Project Area Limits (PAL) and the Area of Direct Impact (ADI)
- The general nature of artifacts and ecofacts found during prior investigations
- Archaeological features
- Temporal components and their chronological placement (for historic-period sites, discuss the site's relationship to broader historical themes)
- Functional interpretation (i.e., site type)

Reference technical reports, as appropriate, for more detailed information.

Site Significance and Research Issues

- Explicitly state that the site is eligible for inclusion in the National Register under criterion D.
- For state-only projects that involve Caltrans-owned resources, address the California Historical Landmark (CHL) significance of the site.
- Discuss under the appropriate subsections the research issues to which the site has the potential to contribute significant additional information (e.g., Chronology, Settlement

² First Amended Programmatic Agreement Among the Federal Highway Administration, the Advisory Council on Historic Preservation, the California State Historic Preservation Officer, and the California Department of Transportation Regarding Compliance with Section 106 of the National Historic Preservation Act as it Pertains to the Administration of the Federal-Aid Highway Program in California, effective January 1, 2014.

³ 2015 Memorandum of Understanding between the California Department of Transportation and the California State Historic Preservation Officer Regarding Compliance with Public Resources Code Section 5024 and Governor's Executive Order W-26-92, addended 2019.

⁴ Compliance with CEQA is discussed when Caltrans is the CEQA lead agency.

Systems, Exchange, etc. for prehistoric sites, and specific historical themes for historic-period sites).

- State what site constituents are important for generating the data to address the research questions including explicit links between the data expected and the proposed research goals. Pursuant to Attachment 6 of the 106 PA or the 5024 MOU, discuss how the public's interest is served through the recovery of data related to the proposed research questions and themes.

Proposed Investigation

Discuss the general plan and procedures for all stages of the investigation. The discussion of methods and data needs identified must demonstrate cost effectiveness and be specifically linked to the research questions. Discuss in the appropriate subsections the provisions made for the following:

A. Additional background research (if needed)

B. Field investigations

- *Mapping:* Identify how the site and features will be mapped and how the archaeological work will be documented.
- *Surface collection:* Indicate areas and types of materials to be collected, and methods for documenting provenience.
- *Excavation:* Identify excavation methods (manual, mechanical), amount of excavation (square and/or cubic meters; maximum and minimum), unit size, sorting method (wet, dry), screen size, and the records to be kept. Include a discussion of any special methods required for anticipated archaeological features.

C. Laboratory processing

- *Cataloging:* State that all recovered material will be cleaned appropriately and cataloged following current professional standards and the requirements of the curation facility.
- *Analytical studies:* Discuss expected analytical studies (e.g., chronometric, lithic, faunal, botanical, soil studies etc.), and allow for other analytical studies if appropriate materials are recovered.

D. Reporting

Indicate that a final report will be prepared, documenting and interpreting the results of the data recovery program. Include a projected timeframe for completion and where or who will receive copies.

Public Outreach Plan

- Discuss and identify specific measures for disseminating the results of the program to professionals and to the public
- As in other aspects of site testing and data recovery, outreach efforts should be commensurate with the scope and scale of the project, and the nature and significance of the historic property

Native American Coordination

- Describe the previous and anticipated Native American involvement through consultation and monitoring.
- Describe the actions to be taken if human bone, associated grave artifacts, or items of cultural patrimony are found.

Personnel

- State that the data recovery program will be conducted and/or overseen by archaeologists meeting the Caltrans Professionally Qualified Staff (PQS) standards as identified in 106 PA or 5024 MOU Attachment 1.
- State that, if appropriate, the services of specialists will be obtained as necessary.
- Indicate the anticipated plan for staffing the project (in-house, consultants etc.)

Curation

- Specify the facility that will curate the recovered cultural materials.
- Provide the accession number, if known.

Permits

Discuss any permits that are needed to conduct the archaeological work. These may include federal or state permits, private landowner's permission, and Caltrans' encroachment permits.

Anticipated Scope and Schedule

Discuss anticipated funds required, timing and duration of proposed work, and any subsequent planning, such as the development of a Phase III proposal (see Chapter 5 Section 5.8.4). While

specific costs and personnel may not be known at the time a DRP is prepared, an estimate is needed to inform agency commitments documented in an MOA.

References Cited

- List all references used in the Data Recovery Plan text.
- Bibliographic format should follow the most recent *American Antiquity or Historical Archaeology* style guide as appropriate.

Preparers Qualifications

Briefly summarize the professional qualifications of each person who contributed to the proposal. For Caltrans PQS it is sufficient to list their names, PQS level and that their qualifications are on file in the Caltrans Division of Environmental Analysis Cultural Studies Office. For consultants, include name, classification or job title, qualifying degree(s) and major(s) and a one or two sentence description of qualifying experience. Exhibit 2.15 contains guidance for documenting preparer(s)' qualifications.

Maps

All maps should display the district, county, route, post miles, and EA/E-FIS project number and phase (for Local Assistance projects, use the Federal-Aid number), and should feature a north arrow and a graphic scale. The following maps should be attached to the report.

- *Study Vicinity Map*: Depict the location of the Study on a county or district map.
- *Study Location Map*: Depict study location on portion of the appropriate USGS topographic map. Make sure to identify the topographic map by name, type (e.g., 7.5-minute), and date of latest revision.
- Attach a map that shows the site boundaries in relation to the APE/PAL and ADI, as well as the portions of the site where Phase III excavations are proposed. Ideally, the map will indicate proposed locations of different types of excavation activities (shovel testing, control units, backhoe trenching or grading, etc.). The base for this map may be a topographic or planimetric map, or an aerial photograph. Most importantly, however, the

map must be at a scale that is sufficient to allow for clearly depicting the spatial relationship between the transportation project and the proposed excavations.

Appendices

- Other graphics (e.g., photographs, engineering cross sections, historic maps, as-builts) that illustrate project area conditions. (Note: such figures may need to be included in the body of the text where appropriate).
- Updated site records for each site where data recovery is proposed
- Native American Monitor agreements
- Curation agreements. Once the curation agreement is signed, upload it to the CCRD Curation module.

Peer Review and Approval

Caltrans PQS certified at the Principal Investigator level in the appropriate discipline must peer review the draft DRP following the guidelines in Exhibit 2.13: Peer Review Guidelines for Cultural Resources Reports. Peer reviewers' names should be kept on record and comments retained in the project files.

Only Caltrans PQS at the Principal Investigator level may review the final DRP for approval, which the DEBC approves. The Caltrans PQS or consultant who prepares the DRP signs, dates and includes their discipline, PQS level (as applicable) and District/Headquarters or affiliation. The Caltrans PQS reviewing the DRP for approval likewise signs, dates, and includes their PQS discipline, level and District. Finally, the DEBC approves the DRP by signing and dating the document. See Chapter 2 Section 2.12 and Exhibit 2.14 Table C for additional guidance on peer reviews and reviews for approvals.