

Exhibit 5.11: Post-Review Discovery and Monitoring Plan Format and Content Guide

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Exhibit 5.11: Post-Review Discovery and Monitoring Plan Format and Content Guide

Introduction

A Post Review Discovery and Monitoring Plan (PRDMP) is appropriate if there is a moderate to high potential to discover or impact unknown cultural resources or potentially significant elements of known cultural resources during construction. The plan outlines the process that Caltrans will implement to observe construction and evaluate and address potential adverse effects in the event that such resources are encountered. The plan is prepared in accordance with Stipulation XV.A of the Section 106 PA (106 PA¹) or the PRC 5024 MOU (5024 MOU²), or 36 CFR Part 800.13 (Post-review Discoveries) for federal undertakings when the 106 PA does not apply.

PRDMPs are not a substitute for adequate identification efforts.

PRDMPs are generally prepared under the following circumstances:

1. Caltrans finds that there is a moderate to high potential for historic properties to be discovered during implementation of a project and Caltrans has been unable to complete a thorough identification effort. If the phased approach is minor, pursuant to Stipulation XII.B of the 106 PA or the 5024 MOU, and the finding of effect for the project is likely to be No Adverse Effect (without Standard Conditions), Caltrans would include the PRDMP in the Finding of No Adverse Effect document. If the effects are unknown, Caltrans should enter into an agreement document with the SHPO (for federal projects) to phase identification, evaluation, and assessment of effects. The PRDMP would function

¹ Programmatic Agreement Among the Federal Highway Administration, the Advisory Council on Historic Preservation, the California State Historic Preservation Officer, the United States Army Corps of Engineers' Sacramento District, San Francisco District, and Los Angeles District, 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 (2024).

² 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 (2024).

as, or be a component of, a treatment or management plan included in the agreement document.

2. Historic properties are identified within the Area of Potential Effects (APE) or Project Area Limits (PAL) during identification efforts and Caltrans finds that *monitoring of construction impacts to historic properties is necessary* during construction. Depending on the scope and scale of the plan, Caltrans would include the PRDMP as an attachment to or section of the Finding of Effect document.

When determining if there is moderate to high potential to encounter historic properties, PQS should take multiple factors into account that include the project's activities, ADI, access restrictions, field visits/survey results, subsurface testing, research and identification results, and responses from consultation. A good faith effort to identify historic properties results in a determination of a Finding of No Adverse Effect- Standard Conditions – ESAs or VMESAs should not require a PRDMP. If an unanticipated discovery or unanticipated effect occurs in this circumstance, Caltrans must follow Stipulation XV.B pursuant to the 106 PA/5024 MOU (See Chapter 2 and Chapter 5). Monitoring for these types of findings should not be expecting to encounter any situations that require planning for Post-Review Discoveries.

If a good faith effort to identify historic properties reveals no National Register eligible properties in the APE/PAL (or no properties are present at all), and Caltrans finds that historic properties are not likely to be discovered after construction is underway, the appropriate finding for the project is No Historic Properties Affected/No State-Owned Resources Affected. If an unanticipated discovery is made in these circumstances, Caltrans must follow Stipulation XV.B pursuant to the 106 PA/5024 MOU (See Chapter 2 and Chapter 5).

Post-Review Discovery and Monitoring Plan Format

PRDMP format and content is tailored to the specific undertaking, and thus the length and detail of the plan will vary depending on the nature of potential resources expected to be encountered, the purpose of monitoring, and the nature of the project activity. The PRDMP format provided here is a general guideline. PQS should use their professional discretion and knowledge in developing the plan so

that it is appropriate to the undertaking. If the project documentation will include additional plans such as an Environmentally Sensitive Area (ESA), it is acceptable to combine the plans to create one document. If appropriate to the scale and scope of the plan, a PRDMP can be included as a section of a finding of effect document.

A PRDMP should be developed in consultation with interested parties, including Native American tribes, and incorporate the results of the consultation as appropriate in the content and protocols.

PRDMPs must include protocols for working within the construction environment, such as monitoring schedules, lines of communication for discoveries, consultation requirements, methods to evaluate finds and reporting and notifications. PRDMPs should contain a process by which resources may be identified (such as monitoring protocols) and also must provide a rationale for the expectation that resources are likely to be identified during project implementation. While a Data recovery Plan (DRP) prescribes methods to address adverse effects to known resources, a PRDMP must consider a wider range of potential outcomes based on less information. Therefore, PRDMPs tend to provide methods that could be utilized to resolve adverse effects under a wider range of variables, including potential for a range of site types, material conditions, or temporal components.

Post-Review Discovery and Monitoring Plan Format

- Title page
- Table of Contents
- Introduction
- Project Description
- Archaeological Sensitivity
- Archaeological Context
- Methods
- Monitoring
- Results and Conclusions
- Consulting Parties
- References Cited
- Preparer's Qualifications
- Attachment

Title Page

The title page contains the following information:

- Brief descriptive title with type of study (Data Recovery Plan), and the name and general location of project (e.g., “Curve Correction on Route 989 between Forestview Drive and Limekiln Road”).
- Project contract number (if prepared by consultants).
- County, route, and postmile or local street or road name.
- EA/E-FIS³ project number and phase (For Local Assistance projects, use the Federal-Aid project number).
- 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) PRDMP was prepared (appears at bottom of page).

Table of Contents

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

Introduction

Concisely describe or discuss the

- Proposed highway project or Local Assistance project
- Nature of the archaeological sensitivity
- Purpose for a discovery and or monitoring plan
- Other information as necessary to introduce the report

³ Enterprise Resource Planning Financial Infrastructure, a 10-digit number, followed by a phase number of one or more digits.

Project Description

Include in this section, as applicable, a discussion of the nature and scope of the project:

- General scope of the proposed work, specifying relevant project components that may impact anticipated archaeological resources (e.g., roadway grading, utility and drainage excavations, soundwall trenching, borrow area, etc.)
- Nature and purpose of the plan relative to federal or state regulations (e.g., 106 PA/5024 MOU Stipulation XV.A or 5024 MOU, the Project MOA etc.)
- Citation of all pertinent maps or figures (Project Location, historic property/cultural resource boundaries, Project Area limits, construction plans, etc.)

Archaeological Sensitivity and Rationale for Post-Review Discovery and Monitoring Plan

Discuss previous archaeological studies as they pertain to the Project Area.

Archaeological sensitivity of an area should also take into account the input from tribes and/or other consulting parties, as appropriate. Depending on the sensitivity and scope of the project, this section may be brief or extensive. The plan should bring together the information regarding potential project effects and archaeological sensitivity to focus any monitoring efforts.

Archaeological Context and Research Design

Ensure this section takes into account input from tribes and/or other consulting parties. Eligibility determinations and research designs are improved by incorporating feedback from the parties potentially affiliated with the potential resources.

This section should include as appropriate:

- Archaeological context
- Historical context
- Ethnographic background
- Environmental context
- Geoarchaeological context
- Expected resource types
- Expected feature types

- Relevant context/research design for determining eligibility of finds under all National Register criteria, including but not limited to:
 - Research themes and questions
 - Thresholds for determining eligibility of any finds

Methods

Clearly state or explain what methods will be employed for evaluating, assessing affects, or treating any resource that may be discovered during the implementation of an undertaking and what consultation may be needed with tribes or stakeholders. The plan needs to be specific enough to document that an appropriate level of field work and treatment will be conducted in response to a discovery, but at the same time the plan needs to be flexible enough to be applicable to varying conditions that arise in the field.

Monitoring

The purpose and need for monitoring should be clearly stated. Specifics about monitoring procedures (e.g., methods, what activities will be monitored, protocols) also should be included. This may be general for small projects, or extensive and detailed for more complex projects.

If Native American monitoring is to be included, the parameters of their participation, as agreed through consultation (e.g., who will monitor, location of monitoring, length of time), should be clearly defined. In addition, any planned environmental sensitivity training (such as for construction personnel) should be described.

The following monitoring specifics should be discussed as necessary:

- Procedures for discoveries during construction
- Identify who will monitor (consultant, in-house etc.) and required expertise
- Chain of command and responsible parties with contact information
- Notification processes to consulting parties and review times/comment periods
- Special procedures for human remains
- Laboratory analysis
- Proposed or agreed-upon plan for the disposition of collections (e.g., reburial, curation, donation, repatriation)

- Format and content of monitoring report, including timeframes and responsibilities or
- Format and content of comprehensive technical report

If excavation, data recovery, or activities that could generate collections are included in the plan, the plan should include decisions regarding the final disposition of collections established through consultation. If the plan will involve curation, then a curation agreement must be attached with the PRDMP. If the plan is anticipating reburial, it is recommended to identify a location before construction, if possible, but a location is not required to be pre-established in a PRDMP. See Chapter 4 and Chapter 5 for additional information regarding archaeological collections management and disposition of archaeological collections.

Consulting Parties

If applicable, summarize coordination efforts and consulting parties' comments received to date. The results of consultation on processes and procedures to be included in the plan should be included and/or addressed in the appropriate sections and not exclusively limited to this section. Additionally, information on consultation here should also be included in the consultation log (see Chapter 3).

References Cited

- List all references cited in the proposal text.
- Bibliographic format should follow the most recent style guide for *American Antiquity* or *Historical Archaeology*, as appropriate.

Preparers Qualifications

Briefly summarize the professional qualifications of each person who contributed to the report. 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 2.18 contains guidance for documenting preparer(s)' qualifications.

Attachments

Include, as appropriate, the following:

- Project area map: The project area map should illustrate the proposed project, upon which the APE/PAL and ADI limits have been delineated. 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, proposed monitoring areas, ESAs (if applicable), and known or possible historic properties.
- Engineering plans
- DPR 523 forms (if appropriate)
- Profiles and cross-sections that show the actual limits of project impacts in relation to the expected cultural resource
- Photographs or other useful graphics
- Copies of correspondence

Peer Review and Approval

Caltrans PQS certified at the Principal Investigator level in Prehistoric Archaeology and/or Historical Archaeology, as appropriate, must peer review the draft PRDMP following the guidelines in Exhibit 2.16: Guidelines for Peer Review of 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 PRDMP for approval, which the DEBC approves. The Caltrans PQS, or consultant, who prepares the plan signs, dates and includes their discipline, PQS level (as applicable) and District/Headquarters or affiliation. The Caltrans PQS reviewing the plan for approval likewise signs, dates, and includes their PQS discipline, level and District. Finally, the DEBC approves the PRDMP by signing and dating the document. See Chapter 2 Section 2.12 and Exhibit 2.17 Table C for additional guidance on peer reviews and reviews for approvals.