

Exhibit 5.2: Extended Phase I Proposal Format and Content Guide

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EXHIBIT 5.2: EXTENDED PHASE I PROPOSAL FORMAT AND CONTENT GUIDE

Extended Phase I (XPI) Proposal Format

An Extended Phase I (XPI) study is an extension of the identification phase for archaeological resources, meeting the requirements of 36 CFR 800.4(b) to “identify historic properties within the area of potential effects,” and similar requirements under CEQA. The XPI Proposal is used to explain the reasons for the XPI study, to describe the proposed field methods, and determine when the study goals have been met and fieldwork can cease. See Chapter 5, Section 5.5 for more information on conducting XPI studies and Exhibit 5.3 for XPI report format and content guidelines. See Exhibit 5.14 for information on methods for post-contact archaeological resources.

XPI Proposal Format

- Title page
- Table of Contents (optional)
- Introduction
- Site Context
- Decision Thresholds
- Scope of Work
- Timetable
- Native American Coordination
- Disposition of artifacts
- Archaeological Permits
- References Cited
- Preparer’s Qualifications
- Maps
- Other Figures
- Site Record Forms

Title Page

The title page contains the following information:

- Brief descriptive title with type of study (XPI Proposal), the primary number and trinomial for the site, and the name and general location of project (e.g., “Curve Correction 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).

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

- Name, title, and signature of the Caltrans Professionally Qualified Staff (PQS) as described in Appendix 1 of the Section 106 PA² (106 PA) or the PRC 5024 MOU³ (5024 MOU) 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.
- 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.
- If a governmental permit for the survey was issued, provide the name of the permitting agency and the permit number.
- USGS topographic quadrangle(s) depicting the study area.
- Primary numbers, trinomials, and other permanent designations of all cultural resources identified in the report.
- Date (month/year) XPI Proposal was prepared (appears at bottom of page).

Table of Contents

A table of contents is usually not necessary for the XPI proposal, since it is limited to a few pages. If the report is large enough to make a table helpful, list the major report sections subheadings, appendices, tables, and figures, with page numbers.

Introduction

- Summarize the project and studies leading to the need for the current field effort.
- State why an XPI study is needed (e.g., compliance with the 106 PA, 36 CFR 800, the 5024 MOU and/or CEQA, as appropriate).
- If the XPI is being conducted in or near a known site, briefly describe it.
- State whether any XPI is proposed to test for the presence or absence of unknown archaeological resources, and briefly describe why.

² 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).

³ 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).

- Summarize the goals of the study.

Site Context

- If an ASR has been prepared for this project, reference its background sections.
- If background information has not been presented in a previous report, provide a limited background and appropriate citations of relevant regional and local studies.
- If conducting studies on a known resource, provide information relevant to understanding the nature of known and potential archaeological deposits.
- Discuss the extent of the currently-known vertical and horizontal site boundaries in relation to the vertical and horizontal area of potential effects (APE)/project area limits (PAL).
- If conducting XPI to determine the presence or absence of unknown archaeological deposits, discuss the relevant reasoning. Include what is known about the study area and vicinity, including known nearby resources.
 - Reference or attach any sensitivity studies or mapping that is necessary to understand the proposed effort.
- Briefly discuss the types of materials and features that might be anticipated and research issues sites of this nature might be able to address.

Decision Thresholds

This section defines specific thresholds for assessing when the goals of the study have been met. At a minimum, these thresholds should determine the relationship of the APE/PAL to the boundaries of the known or potential archaeological deposits targeted by the study. They can be further refined to reflect the type of expected deposits, specific field conditions (such as pavement, fill, or traffic safety concerns), or other project constraints.

- Discuss the study's goals (e.g., the presence of a deposit, horizontal and/or vertical site boundaries).
- Discuss the findings that would signal the goals have been met (e.g., the presence or absence of artifacts, a certain density of artifacts, midden soils).

Scope of Work

- Describe the proposed field methods, including the types, numbers, and placement of units, and the screen size(s) proposed.
- Describe why methods are appropriate for locating the potential resources that may be present.
- Discuss any problems or special conditions that might require modification of the proposed work program.

- Discuss the key personnel and number of crewmembers, their qualifications and estimated duration of their participation.

Timetable

- Provide a schedule for completion of the proposed work. This timetable may be presented in text or graphic form (e.g., as a timeline).
- Include the start date and the duration of fieldwork, laboratory processing, and report preparation.
- Include any arrangements for gaining permission to conduct the study, including any necessary permits.

Native American Coordination

Include this section for XPI studies on any pre-contact archaeological sites or other archaeological or cultural sites for which Native American consulting parties have expressed concern or interest.

- Describe the coordination and consultation with interested Native American parties relevant to the XPI study.
- Include expected involvement of Native American representatives in the field effort.
- Reference project consultation log for additional details.

Disposition of Artifacts

As indicated in Chapter 5, do not collect artifacts during Extended Phase I studies.

- Note that the investigation will not include collection of recovered artifacts.
- Given the expected cultural materials to be encountered, describe documentation and recording techniques to be used to ensure appropriate contextual information data and will be retained after reburial.
- Explicitly identify action to be taken if human bone, associated funerary objects, or sacred objects are found.

Archaeological Permits

- Discuss any permits that may be needed to conduct the work.
- Include permit acquisition in the timetable discussed above in the Timetable.

References Cited

- A bibliography is usually not necessary, but any references in the text should be listed.

- Citations may 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.

Maps

All maps should display the district, county, route, postmiles, and EA/E-FIS project number and phase (for Local Assistance projects, use the Federal-Aid number), and should have north arrows and scales.

- *Project Vicinity Map*: Indicate the site location on a county or district map.
- *Project Location Map*: Indicate the site location on a portion of the appropriate USGS topographic quadrangle. Make sure to identify the topographic map by name, type (e.g., 7.5-minute), and date of latest revision.
- *Site Map*: This map should be scaled to clearly show sufficient detail and can be based on an aerial photograph or engineering map. Show the known site boundaries in relation to the APE/ADI, as well as the portion of the site to undergo XPI excavation. If possible, depict proposed excavation locations.

Other Figures

Include any additional graphics or figures to support the proposal (e.g., photographs, engineering cross sections, as-builts or other materials that illustrate project area conditions).

Site Record Forms

Attach all primary and site record forms available for the site, including initial and updated forms.

Peer Review and Approval

Caltrans PQS certified at the Principal Investigator level in the appropriate discipline must peer review the draft XPI Proposal 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 may review XPI Proposals for approval, which the DEBC approves. The Caltrans PQS or consultant who prepares the XPI Proposal signs, dates and includes his/her discipline, PQS level (as applicable) and District/Headquarters or affiliation. The Caltrans PQS at the Principal Investigator level reviewing the XPI Proposal for approval likewise signs, dates, and includes his/her PQS discipline, level and District. Finally, the DEBC approves the XPI Proposal 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.