

Exhibit 5.3: Extended Phase I Report Format and Content Guide

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Exhibit 5.3: Extended Phase I Report Format and Content Guide

Extended Phase I Report Format

The Extended Phase I (XPI) Report addresses the issue for which the work was undertaken, including determining site limits relative to the project's Area of Potential Effects (APE)/Project Area Limits (PAL) and/or Area of Direct Impact (ADI), or the potential for buried deposits within the APE/PAL or ADI.

As an extension of the identification phase, XPI studies most commonly serve to determine vertical and horizontal site boundaries based on the presence or absence of subsurface cultural materials. In certain circumstances, and with well supported and appropriate methods, XPI studies may be used to determine additional details such as the nature of buried site constituents, post-depositional site processes, and the extent of some disturbances. XPI methods may also be sufficient to determine whether properties qualify as exempt from evaluation pursuant to Appendix 4 of the Section 106 PA (106 PA¹) or the PRC 5024 MOU (5024 MOU²). XPI methods alone are not adequate for determining the eligibility of cultural resources. However, a combined XPI/Archaeological Evaluation Proposal (AEP) may be prepared to guide the evaluation of archaeological resources that were not exempted during the same field effort. See Chapter 5, Section 5.5 for more information on conducting XPI studies, Exhibit 5.4 for AEP format and content guidelines, and Exhibit 5.14 for post-contact archaeological methods.

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)

XPI Report Format

- Title page
- Summary of Findings (Abstract)
- Table of Contents (optional)
- Introduction
- Site Context
- Scope of Work
- Study Results
- Summary and Conclusions
- References Cited
- Preparer's Qualifications
- Maps
- Other Figures
- Tables
- Site Records

Title Page

The title page contains the following information:

- Brief descriptive title with type of study (XPI Report), 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").
- 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).
- 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.
- If a government permit for the excavation was issued, provide the name of 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 Report was prepared (appears at bottom of page).

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

Summary of Findings (Abstract)

Summarize the intent, methods, scope, and major findings of the study.

Table of Contents

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

Introduction

Concisely describe or discuss:

- Proposed highway project
- Brief history of the project as it pertains to the site
- Nature and purpose of the archaeological investigation
- Dates of fieldwork
- Names, titles, and qualifications of the personnel participating in the study
- Any permits and permission obtained
- Disposition and location of recovered artifacts
- Disposition of any human bone, associated funerary objects, or sacred objects
- Scope and results of Native American consultation and monitoring (for pre-contact sites only)

Site Context

- Reference background sections of the Archeological Survey Report (ASR), if applicable. Only newly relevant citations or changes in information previously provided should be discussed. Additional research after the ASR may be necessary before the XPI. If this research has been completed, discuss in this section.
- If background information has not been presented in a previous report, provide a brief summary and appropriate citations of relevant regional and local studies, following the ASR content and format guidelines for background information (see Exhibit 5.1).

Scope of Work

The scope of work discussion should:

- Describe the study plan outlined in the proposal
- Identify the methods used in fieldwork and relation to the project goals (e.g. define site limits or depth, identify buried sites etc.)

- State the number of person-hours expended
- Describe measures taken to restore excavated areas to their previous appearance
- Reference the study maps

Study Results

Describe and discuss the:

- Extent of the site in terms of both horizontal boundaries and depth, as far as those are known
- Excavated soil types and stratigraphy
- Integrity of the cultural deposit, including discussions of any disrupting intrusions (e.g., roads, vandalism) that have changed the site's condition or affected its integrity
- Presence/absence of sub-surface features
- Artifacts and ecofacts recovered, including total counts and/or weights and distributional data by test unit and by depth for each unit and data class
- Temporal placement and functional interpretation of the site to the extent possible given the scope of the investigation
- For post-contact sites, describe and enumerate artifacts by functional classifications and material type, including summaries of minimum numbers of items within individual features. In addition, the period of manufacture and use should be discussed, as well as any maker's marks or other attributes contributing to the identification of a time period or affiliation (refer to Exhibit 5.14 on post-contact archaeological methods).

Summary and Conclusions

- Summarize the results of the study in terms of the stated study goals.
- Discuss the degree to which those goals were achieved, and any limiting factors.

References Cited

- List all references cited.
- Bibliographic format should follow the most recent style guide for *American Antiquity* and *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, post miles, and EA/E-FIS project number and phase (for Local Assistance projects, use the Federal-Aid number). The Study Location Map and Study Site Map should have north arrows and graphic (analog) scales.

- *Study Vicinity Map*: Depict the location of the study area on a county or District map.
- *Study Location Map*: Depict 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.
- *Study Site Map*: This map should be at a scale sufficient to show details. An aerial photograph or engineering mapping may be used as a base map. Show the pertinent portion of the APE/ADI, right-of-way, site boundary, surface features, and locations of all study units (e.g., excavation units, surface scrapes, auger holes). Show topography and modern features, as appropriate.
- *Project Graphics*: Include additional photographs, engineering cross sections, as-builts or other materials that illustrate project area conditions and the relationship of proposed project elements to the study finds.

Other Figures

There may be few figures in the report because, normally, little is found in XPI studies.

Appropriate figures may include:

- Sidewall profiles
- Feature diagrams
- Graphs and charts on recovered materials
- Artifact illustrations
- Photographs to illustrate testing work, features, and artifacts, as appropriate
- Historic photos or maps of the site area

Tables

Tables should be used to summarize the:

- Types, sizes, and depths of excavation units
- Distributions of artifacts, ecofacts, and features

Site Record

Prepare a site record update documenting the findings of the work and disposition of recovered artifacts, if appropriate.

Peer Review and Approval

Caltrans PQS certified at the Principal Investigator level in the appropriate discipline must peer review the draft XPI Report following the guidelines in Exhibit 2.16: 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 may review XPI Reports for approval, which the DEBC approves. The Caltrans PQS or consultant who prepares the XPI Report signs, dates and includes their discipline, PQS level (as applicable) and District/Headquarters or affiliation. The Caltrans PQS at the Principal Investigator level reviewing the XPI Report for approval likewise signs, dates, and includes their PQS discipline, level and District. Finally, the DEBC approves the XPI Report 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.