Exhibit 5.4: Archaeological Evaluation Proposal (Phase II) Format and Content Guide

TABLE OF CONTENTS

Exhibit 5.4: Archaeological Evaluation Proposal (Phase II) Format and Content Guide

Archaeological Evaluation Proposal (Phase II) Format

An Archaeological Evaluation Proposal (AEP), also referred to as a “Phase II Proposal,” states the goals of the study and clearly links the anticipated field and laboratory work to those goals. It is prepared and peer-reviewed by qualified prehistoric archaeologists and approved by the District Environmental Branch Chief (DEBC) prior to excavations. Post-contact archaeological resources are typically reported in a Historic Resources Evaluation Report (HRER). If the cultural resource has both post-contact and pre-contact components, then it is up to the PQS to decide how to report on the site. If the AEP proposes investigation of a post-contact archaeological component, then it must be prepared with or peer-reviewed by a qualified post-contact archaeologist PQS. See Chapter 5 for a general discussion of archaeological evaluation (Phase II) studies, Exhibit 5.14 for post-contact archaeological methods and Exhibit 6.5 for HRER format and content guidelines.

Archaeological Evaluation (Phase II) Proposal Format

- Title page
- Table of Contents
- Introduction
- Background
- Research Design and Work Plan
- Research Design and Work Plan– Special considerations for Post-contact Archaeological Sites
- Disposition or Curation Plan
- Native American Coordination
- References Cited
- Preparer’s Qualifications
- Maps
- Site Records
- Budget
- Other Appendices

Title Page

The title page contains the following information:

- Brief descriptive title with type of study (AEP), 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-FIS[1] 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) as described in Attachment 1 of the Section 106 PA (106 PA[2]) or the PRC 5024 MOU (5024 MOU[3]) or consultant PQS-equivalent who prepares the proposal. 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) XPI Report was prepared (appears at bottom of page).

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

[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).

Table of Contents

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

Introduction

Concisely describe or discuss the

- History of the proposed project as it pertains to the site
- Status of Section 106/CEQA compliance
- Goals of the proposed archaeological work
- Character and condition of the site, as currently known
- Any other information necessary to introduce the proposal

Background

Present background information under the following headings:

A. Environment / Paleoenvironment
B. Ethnography
C. Archaeology
D. History

The level of detail in each subsection should be scaled to the scope of the study. Focus on regional research issues and how these may be addressed at the site. Provide a context for the development of regional research topics to be fully developed in the subsequent research design and National Register evaluation sections.

Research Design and Work Plan

The research design is the core of the proposal. It should present a well-reasoned discussion of the research topics to be addressed at the site, their relationship to the study goals, and the specific methods and techniques to be used to meet these objectives. Research strategies should be flexible enough to be modified during fieldwork and post-field analyses. Contingencies should be built into the research design.

All research designs share elements in common; however, the distinction between AEPs (Phase II) and Archaeological Data Recovery (Phase III) proposals reflects the current state of knowledge on a particular site. Generally, since little is known about the specific site(s) under investigation, the proposed AEP research design must be broad and preliminary, containing research topics to be studied by data that may be expected in the site type under investigation. For an archaeological data recovery excavation, the specific data categories that the site is known to contain, based on prior excavation and analysis, and focuses the investigation on specific research questions that allow for a more sophisticated and elegant study. Shared elements include:

A. Theoretical / methodological orientation
B. Management goals (Note: the focus should be on those portions of the site within the Area of Direct Impact)
   - Define the horizontal and vertical extent of the site
   - Identify the types and quantities of cultural materials present
   - Identify and date all components present
   - Assess the physical integrity of the site
   - Assess the National Register eligibility/CEQA significance of the site
   - Provide data to assess the proposed project's effects on the site

C. Research goals
   - Describe relevant research topics, and show how they may be realistically addressed through the amount of excavation to be undertaken
   - Include any relevant information provided by tribes that could be incorporated in the research design

D. Methods
   - Describe the pre-field, field, and laboratory programs and how they are suited to recover the types and quantities of data needed to meet the study's objectives

E. Permits
   - Discuss any permits that are needed to conduct the archaeological work and explicitly identify the party responsible for obtaining them

F. Organization
   - Describe measures to ensure that the work will be of high quality and completed on schedule

- Identify the staffing needed and the qualifications required. In so far as they are known, identify the principal investigator, crew chiefs, and analytical specialists
- Describe the participants' degree of involvement in percentage of their time devoted to the project and the number of hours they will devote to each phase of work
- Describe any arrangements that have been made with sub-consultants

G. Schedule:

- Specify milestone dates for obtaining permits, fieldwork, laboratory processing, analyses completion, and report submittals
- Estimate the time required for each task and the number and duties of people involved
- Specify maximum and minimum excavation amounts and the situations that could trigger an increase or decrease in the amount of excavation (e.g., presence of burials, disturbed strata)

H. Health and Safety

- Identify Health and Safety considerations for field and lab work and include a Health and Safety Plan if needed (see below)

Research Design and Work Plan – Special Considerations for Post-contact Archaeological Sites

The research design for post-contact archaeology defines the broad historic context, specific research topics, and data requirements that will be used to complete the evaluation of a post-contact archaeological site when eligibility for the National Register or whether it is a post-contact resource for purposes of CEQA cannot be determined without excavation. See Chapter 5 and Exhibit 5.14 for more information. The scope of the research design will vary, depending on whether it is prepared for an Extended Phase I study, Archaeological Evaluation or Data Recovery. The essential elements of the research design include:

A. Historic Context:

This subsection establishes the historic context, general research themes, and theoretical/methodological orientation for the proposed study.

B. Previous Research:

This subsection summarizes previous historical and post-contact archaeological findings concerning the research themes relevant to the site-specific context.

C. Definition of Specific Research Topics and Data Requirements:

The specificity of the research topics will depend on how much is already known about the resource, the objective of the proposed study, and the findings made during previous research of similar topics and site types. The topics should consist of important questions that are likely to be addressed with data from the resource, taking into consideration the scope of the proposed work.

D. Health and Safety:

Specific health and safety issues must be considered when planning work at post-contact archaeological sites, particularly those likely to contain hazardous wastes or dangerous working conditions. Plans should be formulated to identify and reduce field and laboratory hazards and promptly address health and safety concerns that arise during the proposed work. A formal Health and Safety Plan prepared by a Certified Industrial Hygienist may be required when work is planned in areas known to contain hazardous wastes.

Artifact Dispositon or Curation Plan

- Decisions on the final disposition of collections, including whether or not to curate, should be made in consultation with tribes or other associated descendent communities, as outlined in Section XIV of the 106 PA/5024 MOU.
- If the decision is made to curate, specify the facility that will curate the recovered cultural materials and, if known, the accession number under which they will be curated. Arrangements with a facility and a signed curation agreement are required prior to work.
- If any recovered materials will not be curated, provide details of the plan for alternative disposition, reburial, and/or any discard policy that will be used.
- Attach disposition plan and/or signed curation agreement (as appropriate) and upload it to the Caltrans Cultural Resources Database (CCRD) in the Collections module.
- Identify actions to be taken if human bone, associated grave goods, or sacred objects are found.

Native American Coordination

Include this section in AEPs for 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 study.
- Include expected involvement of Native American representatives in the field effort.
- Reference project consultation log for additional details.

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.

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.
- *Study Site Map*: Attach a map that shows the site boundaries in relation to the Area of Potential Effects (APE) and the ADI, as well as the portions of the site

where Phase II 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, the map must be at a scale that is sufficient to allow for the clear depiction of the spatial relationship between the undertaking and the location of the proposed test excavations.

- *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

Site Records

Attach copies of initial site record and all site record updates for each site where testing is proposed.

Budget

Attach a budget that lists all personnel, time, and estimated costs. The budget should be broken down into different activity types so that the costs of different phases of work can be clearly identified.

Other Appendices

Information on specialized analyses, résumés of key personnel, or additional graphics (e.g., engineering cross sections, historic maps, historic photographs, as-builts) that illustrate project area conditions may be attached to support the proposal.

Peer Review and Approval

Caltrans PQS certified at the Principal Investigator level must peer review the draft AEP 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 AERs for approval, which the DEBC approves. The Caltrans PQS or consultant who prepares the AER 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 AEP for approval likewise signs, dates, and includes their PQS discipline, level and District. Finally, the DEBC approves the AER 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.