Exhibit 5.7: Archaeological Data Recovery (Phase III) Proposal Format and Content Guide

Table of Contents

Archaeological Data Recovery (Phase III) Proposal Format....................................1
Title Page....................................1
Table of Contents....................................1
Introduction....................................2
Background....................................2
Research Design....................................3
Organization and Personnel....................................4
Schedule....................................4
Native American Coordination....................................4
Permits....................................5
Artifact Disposition and Curation....................................5
References Cited....................................5
Preparer’s Qualifications....................................5
Maps....................................5
Appendices....................................6
Peer Review and Approval....................................6

Exhibit 5.7: Archaeological Data Recovery (Phase III) Proposal Format and Content Guide

Archaeological Data Recovery (Phase III) Proposal Format

The Archaeological Data Recovery Proposal, also referred to as a Phase III Proposal provides a research design and work plan with detailed information concerning project schedule, personnel, and cost. See Chapter 5 Section 5.7 for a more information on archaeological data recovery studies. See Exhibit 5.14 for specific historical archaeology methods.

Archaeological Data Recovery (Phase III) Proposal Format

- Title page
- Table of Contents
- Introduction
- Background
- Environment/Paleoenvironment
  Ethnography
  Archaeology
  History
- Research Design
- Organization and Personnel
- Schedule
- Native American Coordination
- Permits
- Disposition or Curation
- References Cited
- Preparer's Qualifications
- Maps
- Appendices

Title Page

The title page contains the following information:

- Brief descriptive title with type of study (Phase III Proposal), the primary number and trinomial for the site(s), 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-FIS[1] 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 PA (106 PA[2]) or the PRC 5024 MOU (5024 MOU[3]) 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.

Table of Contents

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

Introduction

- Provide a brief history of the proposed project as it pertains to the site(s).
- Demonstrate an understanding of the nature of the project, the project's regulatory context, and the work required.
- Discuss the goals of the proposed archaeological work.
- Include any other information necessary to introduce the proposal.

Background

The content of this section will vary considerably depending on whether pre-contact or historic-period archaeological resources are being addressed. For example, less discussion of the environmental context is typically required for historic-period sites and little or no treatment of historical background needed for pre-contact sites.

[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).

- Present background information under the following headings: Environment/Paleoenvironment, Ethnography, Archaeology, and History.
- Focus on regional, state, or national research issues as appropriate and how these may be addressed at the site(s).
- Demonstrate familiarity with the study area, the type of site under study, and the published and unpublished literature of the area.

Research Design

The research design is the core of the proposal. It should present a well-reasoned plan that discusses the research objectives of the study 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, and contingencies should be built into the research design. The data recovery research design is based on prior studies and specific research questions should be more refined than those posed for the test excavations.

A. Provide a proposed theoretical/methodological orientation
B. Research questions:

- Identify archaeological research topics that are important to regional pre- or post-contact history which the site data can be expected to significantly address.
- Discuss the hypotheses and test implications that will be addressed by the data recovery program.
- Discuss how expected data sets, will relate to each test implication and specify the data sample sizes necessary to resolve each issue.
- Discuss if and how any provided or documented tribal knowledge can be used to interpret the archaeological data.

C. 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.

- *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 and feature types.
- *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, specialized artifact analysis, 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.

Organization and Personnel

- Describe measures to ensure that the work is of high quality and completed on schedule.
- Identify the principal investigator, field director, crew chiefs, and analytical specialists, if they are known.
- Describe the key participants' degree of involvement and the number of hours they will devote to each phase of work.
- Describe staffing arrangements and any required contractual agreements, including arrangements for subconsultants or special services.

Schedule

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

Native American Coordination

Include this section in Phase III proposals 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.

Permits

Discuss any permits that are needed to conduct the archaeological work.

Artifact Disposition and Curation

- 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.

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 project on a county or district map.
- *Study Location Map:* Depict project 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(s):* Attach a map that shows the site boundaries in relation to the Area of Potential Effects (APE) and Area of Direct Impact (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 (e.g., shovel testing, control units, backhoe trenching or grading, etc.). The base for this map may be a topographic, 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, historic photographs, as-builts, or other materials) to illustrate project area conditions and support the proposal. (Note: such figures may also be included in the body of the text where appropriate.)
- Information on specialized analyses to be performed.
- Resumés of key personnel.
- Budget listing all personnel, time, and costs (should be broken down into different activity types – i.e., field vs. lab vs. reporting – so that the cost of different phases of work can be clearly identified).
- Disposition plan and/or signed curation agreement.
- Other information as appropriate.

Peer Review and Approval

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