

# MEMORANDUM OF UNDERSTANDING

among the



**California Department of Forestry and Fire Protection,  
California State Board of Forestry and Fire Protection,  
California State Office of Historic Preservation**

and the

**Information Centers of the  
California Historical Resources Information System**

(Revised on August 29, 2006 to include new CHRIS Fee Rates)

*ARCHAEOLOGICAL RECORDS CHECK PROCEDURES FOR PROJECTS  
ADMINISTERED OR PERMITTED BY THE CALIFORNIA DEPARTMENT OF  
FORESTRY AND FIRE PROTECTION*

**Note:** A complete copy of this Memorandum of Understanding is available in PDF format on the California Department of Forestry and Fire Protection (CDF) Archaeology Program Web Site at: <http://www.indiana.edu/%7Ee472/cdf/checks/MOU.pdf> and an electronic version in Microsoft Word format is available by submitting an email request to CDF Archaeology Program Manager Dan Foster at [dan.foster@fire.ca.gov](mailto:dan.foster@fire.ca.gov)

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## *ARCHAEOLOGICAL RECORDS CHECK PROCEDURES FOR PROJECTS ADMINISTERED OR PERMITTED BY THE CALIFORNIA DEPARTMENT OF FORESTRY AND FIRE PROTECTION*

This Memorandum of Understanding (MOU) is entered into among the California Department of Forestry and Fire Protection (CDF), California State Board of Forestry and Fire Protection (Board), California State Office of Historic Preservation (OHP), and Information Centers (ICs) of the California Historical Resources Information System (CHRIS). It clarifies the role of CDF, the Board, OHP, and CHRIS ICs when archaeological records checks are conducted for Timber Harvesting Plans (THPs) and other types of CDF projects. It describes CDF's methods of reviewing projects, the transmittal of completed archaeological survey reports and site records to the CHRIS ICs, and the use of CDF staff archaeologists to oversee the work products completed by archaeologically trained resource professionals. The Signatories to this MOU are: CDF, Board, and OHP. The Concurring Parties to this MOU are: the twelve CHRIS ICs.

### WITNESSETH:

**WHEREAS**, CDF and the Board are lead agencies in the approval of timber operations on nonfederal lands in California pursuant to the Forest Practice Act (Public Resources Code (PRC) Section 4511 et seq.); and

**WHEREAS**, the Secretary of Resources certified the Board's rulemaking process and the CDF's enforcement as functionally equivalent to the environmental review process in the California Environmental Quality Act (CEQA) (PRC 21080.5); and

**WHEREAS**, this functionally equivalent process has a more structured review process and more abbreviated timeframes for review and approval than are found in CEQA; and

**WHEREAS**, the Board, ensures identification of significant archaeological or historical sites located within Timber Harvesting Plans (THPs) and other types of commercial timber operations on nonfederal lands through regulations adopted under the authority of PRC Section 4551. These regulations require *Registered Professional Foresters (RPFs)* or their *supervised designees* to conduct current archaeological records checks as part of the review program to protect and manage these important resources; and

**WHEREAS**, the California State Legislature has instituted a program of registration for foresters to ensure professional conduct and standards pursuant to PRC Section 750 et seq. and this program is administered by the Board; and

**WHEREAS**, CDF is the lead agency responsibility pursuant to CEQA (PRC Section 21000 *et seq.*) for review and approval of THPs and other CDF projects permitted, funded, or administered by CDF; and

**WHEREAS**, California's State Executive Order W-26-92 and PRC 5020.7 direct state agencies, in consultation with the California State Historic Preservation Officer, to institute procedures that ensure state plans and programs contribute to the preservation and enhancement of significant non-state owned heritage resources; and

**WHEREAS**, CDF implements policies and procedures for the identification and protection of historical resources when planning CDF projects including but not limited to prescribed fire, forest improvement and management, fuel reduction treatments, reforestation, engineering, and other land management activities; and

**WHEREAS**, CDF has a responsibility for the protection of historical resources during suppression of wildland fires throughout California if such protection can be done safely without delaying or hindering emergency response operations. To accomplish this, CDF requires immediate access to information about the specific location and descriptions of known historical resources in areas likely to be affected by wildfires and associated suppression activities; and

**WHEREAS**, the OHP is mandated under PRC Section 5024.6(n) to maintain the State Historic Resources Inventory for planning and to maintain comprehensive records of historical resources pursuant to federal and state law; and

**WHEREAS**, California Government Code Section 6254.10 establishes that the records in the State Historical Resources Inventory relating to archaeological resources are exempt from disclosure requirements of the California Public Records Act (California Government Code Sections 6250-6270); and

**WHEREAS**, the OHP accomplishes maintenance of the State Historic Resources Inventory through the California Historical Resources Information System (CHRIS), comprised of units of the OHP and twelve CHRIS Information Centers (ICs) throughout California; and

**WHEREAS**, the OHP provides guidance to the ICs through the CHRIS Information Center Procedural Manual (IC Procedural Manual), which was developed in cooperation with the ICs and the State Historical Resources Commission (Commission) and adopted by the Commission at a noticed public meeting; and

**WHEREAS**, the IC Procedural Manual may be modified or replaced, and modification to or replacement of the Manual is subject to adoption by the Commission at a noticed public hearing; and

**WHEREAS**, the IC Procedural Manual requires ICs to restrict access to information concerning certain cultural resources in accordance with the Record Management and Access Policy set forth in the manual, and this policy is necessary to safeguard this information against misuse including but not limited to, vandalism, looting, non-scientific excavation, or relic-hunting; and

**WHEREAS**, the OHP recognizes that clarifications of access policy may be necessary for successful

implementation of unique governmental agency programs indicated in the IC Procedural Manual. That clarification states that access to CHRIS information pertaining to historical resources may also be directed by a Memorandum of Agreement/Understanding prepared by the government agency and OHP in consultation with the ICs; and

**WHEREAS**, CDF, the Board, OHP, and the ICs determined that access policy and specific records check procedures described in the IC Procedural Manual do not permit RPFs or supervised designees direct access to confidential historical resource information; and

**WHEREAS**, CDF, the Board, OHP, and the ICs determined that access policy to historical resources information specific to projects permitted or administered by CDF and the Board shall be promulgated in a Memorandum of Understanding. It shall outline conditions and stipulations necessary to achieve compliance with the policies adopted by the OHP and the Commission, regulations adopted by the Board, and records check policies implemented by CDF; and

**WHEREAS**, CDF, the Board, OHP, and CHRIS ICs executed a Memorandum of Agreement dated June 17, 1996, regarding records check procedures for CDF projects (hereafter called the 1996 MOA). The signatories to the 1996 MOA were consulted and determined that it shall be terminated and superseded by this MOU in order to address procedures for a wider range of CDF projects such as records checks for wildfires and to clarify CDF's instructions to the ICs concerning the content of records check replies and unique invoicing procedures;

**NOW, THEREFORE**, CDF, the Board, OHP, and the CHRIS ICs agree that records check procedures supporting THPs and other CDF projects covered by this MOU shall be implemented in accordance with the following stipulations.

## STIPULATIONS

CDF, the Board, OHP, and the twelve CHRIS ICs hereby understand and agree to the following:

### **I. Definition of Acronyms and Terms**

The acronyms and key terms used in this MOU, especially those which may be relevant to interpreting or implementing this MOU, are defined in Appendix I.

### **II. Records Check Request for a CDF Project**

CDF, in consultation with OHP, the Board, and the CHRIS ICs, developed a form entitled *Archaeological Records Check Request for a CDF Project* provided as Appendix II. This form, or an equivalent to it, is used to initiate all records checks pursuant to this MOU. CDF may modify this form in the future, and may do so without consulting the other parties to this MOU. Changes shall be relatively minor in scope and shall not reduce the usefulness of the form to transmit requests consistent with the stipulations of this MOU.

The form may only be used by an individual meeting the qualifications specified in this MOU (Requestor). This form may only be used for CDF projects. The Requestor must either be an *RPF*, *professional archaeologist*, or an *archaeologically trained resource professional* (these terms are defined in Appendix

I) who is working under the direction of an RPF or a professional archaeologist. If the Requestor is not an RPF or a professional archaeologist, the name, address and phone number of the RPF or professional archaeologist responsible for the CDF records check must be included on the form, and that RPF or professional archaeologist shall be responsible to ensure the stipulations contained in this MOU are carried out.

The completed request form must be typed, legibly printed in ink, or prepared on a word processor. For all types of records check requests except for *Wildfire Records Check* the Requestor shall include a project map or maps. At least one of these must be a portion of an original, photocopy, or digitally-replicated version of a USGS 7.5 minute topographic quadrangle map at a scale of 1:24,000 with the project area clearly indicated. Requests for *Wildfire Records Check* may be submitted prior to the availability of any maps and may be initiated by providing a description of the legal location including Township, Range, Sections, and name of the 7.5' USGS quad map(s) involved.

The Requestor shall provide direction to the IC through the completion of this request form by choosing the timeframe option and indicating any archaeological or historical site information already known to the Requestor. This will avoid unnecessary time spent on the records check providing material already available to the Requestor. The Requestor shall also indicate if the project is one of three special types (Ownership-wide or 5-Year Update, Emergency Notice Timber Operation, or Wildfire or other Emergency Incident) to inform the IC regarding unique records check procedures for these types of projects.

### **III. CDF Records Checks Fee Schedule and Invoicing Procedure**

The fee schedule for CDF records checks shall be the same as described in the latest adopted version of the IC Procedural Manual. ICs shall invoice private parties (such as an RPF or supervised designee preparing a THP) in the same manner used in non-CDF records checks. When the Requestor is CDF, the ICs shall submit an invoice to the CDF Requestor using an invoice format equivalent to the example provided in Appendix VIII. The invoice submitted to CDF shall be a bill that describes the purchase of confidential government records and maps.

The Requestor may request an estimate from the IC if fees are likely to exceed \$250 in total cost by indicating this preference on the *Archaeological Records Check Request for a CDF Project*. The timeframes for completing records checks indicated in Stipulation #V do not include the time spent estimating fees and making contact with the Requestor to obtain authorization to begin if that procedure was selected by the Requestor on the records check request form.

Payment for a CDF records check is due within sixty (60) calendar days of receipt of billing. Requestors who fail to pay for records checks within this timeframe, unless granted a time extension by the IC for special circumstances, may lose direct access privileges at all ICs. In such instances, the IC shall notify the Requestor in writing that access has been discontinued, and a copy of the letter shall also be sent to the CDF Archaeology Program Manager, who may assist in resolving the problems with payment delay.

### **IV. Records Check Procedures for CDF Projects**

The CHRIS ICs shall complete records checks for CDF projects in the following manner:

- (1) Identify all known historical resources, archaeological and historical sites, features, and objects depicted on base maps maintained at the IC which are located within the CDF project or within 1/16 mile of its boundaries. These resource locations and their identifier will be plotted on the map or maps provided by the Requestor. At least one of these maps must be a 1:1 scale copy of the appropriate USGS topographic quadrangle with the project boundaries depicted.
- (2) Provide copies of resource records for those resources within or within 1/16 mile of the project area, unless the Requestor has indicated these records are already in the Requestor's possession.
- (3) Depict pertinent study locations and their identifiers on the same or duplicate copy of the Requestor's project map. The response letter shall provide additional information linked to the identifier including the author, date, and IC file number.
- (4) Check the Office of Historic Preservation's Historic Property Directory and the California Inventory of Historical Resources.
- (5) Check all additional ethnographic and historic-period information housed at the IC. Maps and other locational information shall be provided, as appropriate.
- (6) Provide a response letter which summarizes all records search results, gives a list of references consulted, and provides a sensitivity assessment that identifies areas within the CDF project boundaries which are most likely to contain resources and the reason(s) why.

The CHRIS ICs shall not include:

- (1) Any recommendations or advice to the Requestor on how to comply with legal, regulatory, or policy mandates or what specific actions need to take place. This direction shall be provided by CDF.
- (2) Any tactical strategies or suggested survey methods. These tactics and strategies are provided by CDF.

### **Special Types of CDF Projects Requiring Special Procedures**

The three types of CDF projects requiring special procedures are Ownership-Wide Records Checks, Emergency Notice Timber Operations, and Wildfires or other emergency incidents. The records check procedures for these types of projects are specified below.

#### ***Ownership-Wide Records Check or 5-Year Update***

This type of records check is used by CDF and certain private timber companies which possess and maintain in-house databases of archaeological and historical site locations on their ownerships. The Forest Practice Rules and CDF policy require that records checks for all forms of CDF projects are current within the past five years. This requires CDF and certain timber companies to obtain updated cultural resource data from the IC (e.g., check the basemaps being used with the official sets of basemaps at the IC to confirm that all known archaeological and historical sites are identified). The CDF or the timber company may utilize one of the following three options to complete an initial ownership-wide records check or a five-year update:

- (1) CDF or the timber company may request that the IC complete the initial records check or 5-year update. Depending upon the scope of work involved, this may require the execution of a contract.
- (2) CDF or the timber company may hire a professional archaeologist or use a professional archaeologist on staff to complete the records check through an in-house series of visits to the IC in accordance with the fees and procedures identified in the IC Procedural Manual.
- (3) CDF or the timber company may schedule an in-house records check to be conducted by a qualified Requestor working under the close supervision of IC staff. This option is intended to include the participation of representatives of CDF or the timber company who possess expertise and familiarity with the base maps and lands being checked. Such participation and assistance given to IC staff may improve efficiency enabling the work to be done more quickly. Requestors working under this option are not entitled to the full range of access normally available only to professional archaeologists and therefore will be working on the in-house search under the IC's supervision. The hourly rate for this option would include the in-house hourly rate for the entire time, and the \$120/hour rate for the time the IC staff is training the Requestor or directly working on the records check. The IC Coordinator or designee shall review the ownership maps prior to check-out to ensure the 1/16 mile rule and other procedures have been followed.

The CHRIS ICs, professional archaeologists, or Requestors working on ownership-wide records checks or 5-year updates shall complete such records checks in the following manner:

- (1) Identify all known historical resources, archaeological and historical sites, features, and objects depicted on base maps maintained at the IC which are located within CDF or timber company ownership or within 1/16 mile of these boundaries. These resource locations and their identifier will be plotted on the sets of maps provided by the Requestor. These maps shall be in a 1:1 scale copy of the appropriate USGS topographic quadrangles with the ownership boundaries depicted.
- (2) Provide copies of resource records for those resources within or within 1/16 mile of the project area, unless the Requestor has indicated these records are already in the Requestor's possession.
- (3) Depict pertinent study locations and their identifiers on the same or duplicate copy of the Requestor's project map. The response letter shall provide additional information linked to the identifier including the author, date, and IC file number.
- (4) Check the Office of Historic Preservation's Historic Property Directory and the California Inventory of Historical Resources.
- (5) Check all additional ethnographic and historic-period information housed at the IC. Maps and other locational information shall be provided, as appropriate.
- (6) Provide a response letter which summarizes all records search results, gives a list of references consulted, and provides a sensitivity assessment that identifies areas within the CDF project boundaries which are most likely to contain resources and the reason(s) why.

The CHRIS ICs, professional archaeologists, or Requestors working on ownership-wide records checks or 5-year updates shall not include:

- (1) Any recommendations or advice to the Requestor on how to comply with legal, regulatory, or policy mandates or what specific actions need to take place. This direction shall be provided by CDF.
- (2) Any tactical strategies or suggested survey methods. These tactics and strategies are provided by CDF.

This type of records check shall be documented with a letter prepared by the IC or Professional Archaeologist that conducted the records check. This letter shall include the date the records check was completed and describe the legal location for the area checked including Township, Range, and Sections, name of quad maps, and a listing of identified sites. This letter will be used as an attachment to an archaeological survey report supporting a THP or other CDF project to verify that a current archaeological records check has been completed.

### ***Emergency Notice Timber Operations***

This type of records check applies only to specific timber operation known as an Emergency Notices. These fall under a different set of forest practice regulations reduced in scope from those applying to THPs. These special rules are intended to facilitate timber operations in response to emergency conditions. These include trees that are dead or dying as a result of insects, disease, parasites, or animal damage. It also includes trees that are fallen, damaged, dead, or dying as a result of wind, snow, fire, flood, landslide, earthquake, etc. The Board has adopted these unique regulations to require CDF's environmental review process to be completed more rapidly than for THPs. This procedure includes a reduced timeframe the Requestor must wait for a completed records check and the authority for the RPF to proceed without the records check information should the IC be unable to provide it within the allotted timeframe. 14CCR Section 929.1[949.1,969.1](e)(2) reads as follows:

Prior to submitting an Emergency Notice of three acres or more, the RPF or the RPF's supervised designee shall complete a current archaeological records check. This check may be conducted by telephone. If the Information Center is unable to provide the information within **three business days** following receipt of an RPF's request for an Emergency Notice Records Check, the records check requirement is waived.

The ICs shall attempt to conduct records checks for Emergency Notice timber operations using the procedures described for standard CDF projects listed above. If the IC is unable to meet the 3-business day deadline for a series of Emergency Notice requests, the ICs may reduce the scope of research to an identification of all known historical resources, archaeological and historical sites, features, and objects depicted on base maps maintained at the IC which are located within the Emergency Notice area or within 1/16 mile of its boundary. CDF would prefer to have the complete information provided, but completion of a limited check is preferable over one which could not be delivered within the 3-business-day timeframe. The Request Form contains a check-box to inform the ICs if the project is an Emergency Notice. The procedures for Emergency Notice timber operations are addressed in training to Requestors and clarification is provided in the Records Check Request Instructions.

### ***Wildfires or Other Emergency Incidents***

This records check is used by CDF in response to wildfires and other types of emergency incidents. It requires immediate access to archaeological and historic site locations within the area potentially affected

by wildfires and other emergency incidents. During the initial request for a wildfire records check, CDF may not have had time to develop a map depicting the limits of the area the IC is requested to search. In such instances CDF shall provide the IC with the name of the quad maps or maps involved and a legal location of the incident including Township, Range, and Sections. The Requestor is likely to be a CDF Archaeologist or a CDF employee who meets the definition listed in Appendix I for an *archaeologically trained resource professional*. The Requestor shall complete a signed request form but it might be only partially filled-out due to the emergency and reduced time to research and plan for the records check. For example, the request may come from the CDF Archaeology Program Manager in Sacramento via telephone call, on behalf of a CDF Archaeologist traveling to the incident. The form may also be completed by the CDF Archaeologist upon arrival at the IC or subsequently after arriving to the incident. The CDF Archaeologist may schedule an appointment to pick up records check information while traveling to the incident, or may wish to gather it in person. It is also possible that CDF will request the IC to gather the needed information and have someone other than the CDF Archaeologist collect the needed information. The name and address of the appropriate CDF office to receive the invoice may be unknown at this time, and that information may need to be added-in after the archaeologist reports to the incident. The procedures employed by CDF Archaeologists responding to wildfires, including the support role played by the ICs, are provided in Appendix VII.

The records check for a CDF Wildfire or other Emergency shall consist of the following:

- (1) Identification of all known historical resources, archaeological and historical sites, features, and objects depicted on base maps maintained at the IC which are located within or adjacent to the area affected by the emergency. CDF shall provide a map, legal location, or other guidance on the limits of the search area. These resource locations and their identifier shall be provided either by plotting them onto maps brought by CDF during an in-house visit, or by providing copies of site records.
- (2) Provide copies of resource records for those resources within or potentially affected by the emergency incident as advised by CDF.
- (3) Depict pertinent study locations and their identifiers on the same or duplicate copy of CDF's maps. Survey information may be useful to the CDF Archaeologist responding to an incident.

The CHRIS ICs shall not include:

- (1) Any recommendations or advice to the Requestor on how to comply with legal, regulatory, or policy mandates or what specific actions need to take place. This direction shall be provided by CDF.
- (2) Any tactical strategies or suggested survey methods. These tactics and strategies are provided by CDF.

## V. Timeframes for Completing a CDF Records Check

Requestors initiating a mail-in records check request shall choose one of two options pertaining the response time: *Standard Response*, and *Rapid Response*. Although Rapid Response will probably always be requested for Wildfires and Emergency Notice timber operations due to the emergency nature of these

projects and CDF's need to respond immediately, the Requestor may select the Rapid Response option for any type of CDF project by indicating this preference on the request form. There will be an increased fee for this rapid response service. Information on the current fee schedule is provided in the most current IC Procedural Manual adopted by the State Historical Resources Commission. This is made available at the OHP website at: <http://www.ohp.parks.ca.gov>

#### Timeframe for Standard Response

Although the IC Procedural Manual specifies that the ICs shall complete a standard Records Search within thirty (30) business days, through this MOU, these timeframes are shortened for CDF projects for the reasons described in the Whereas Clauses of this MOU. CDF operates within a unique regulatory environment with reduced timeframes for project planning, and on occasion, responds to emergency incidents, which requires a more rapid process for gathering information during project development. The ICs shall attempt to complete a standard response records check pursuant to this MOU within the following timeframes:

**Standard Response Records Check:** 14 business days from receipt of completed Request Form and Map.

**Ownership-Wide Check:** When an ownership-wide records check or 5-year update is done by the IC, the timeframe for completion of this work shall be negotiated between the IC and CDF or the timber company. CDF and timber companies are encouraged to provide as much lead time as possible. Another possibility may include staggering portions of the total number of quad maps involved in the ownership to complete a series of checks one at a time. If the IC is requested to complete this check, it is likely that if the project budget exceeds a certain amount, a contract may be set up between the Requestor and the IC. Due to large size and scope of the ownership-wide record checks, a cost and time estimate should be requested from the IC.

#### Timeframe for Rapid Response

The ICs shall attempt to complete a rapid response records check pursuant to this MOU within three (3) business days from receipt of completed Request Form and Project Map which may be transmitted by FAX, email, or other means. Some ICs refuse to accept faxed maps to initiate rapid response requests because such maps occasionally are so darkened or distorted by the fax process that project boundaries are obscured. In those instances, the ICs may require the map to be transmitted as an attached file to an email message, preferably in PDF format, or delivered in person, or sent by overnight mail. If the Requestor sends the map as an email attachment, the IC shall be notified via telephone call that a Rapid Response request map is waiting. The completed request form must contain the Requestor's signature and this document can be faxed.

The ICs shall be aware of the expected timeframes associated with two unique types of CDF projects: wildfires, and Emergency Notice timber operations. The expected timeframe for a **Wildfire Records Check** is immediately upon notification by CDF, if at all possible. The regulatory timeframe for Emergency Notice Timber Operations is within three business days following receipt by the IC of a request, with the unique caveat that the records check requirement is waived if the IC is unable to provide the information within three business days.

Note: Although the rapid response service is an option for any CDF project, this service comes to CDF Requestors with an increased cost. The fee schedule for rapid response service is specified in the most current IC Procedural Manual adopted by the State Historical Resources Commission.

If the IC is unable to meet these timeframes for a CDF Project, the Requestor shall be notified via a telephone call and given an estimated time for completion. These timeframes may be extended if the Requestor fails to properly complete the request form or if the Requestor chooses to be given a cost estimate prior to beginning a records check.

## **VI. Site Record Copies**

ICs shall directly provide the Requestor with copies of archaeological or historical site records for recorded sites within the project area for all CDF records checks unless the Requestor indicates that these records are in their possession.

## **VII. Confidentiality Agreement**

Requestors must sign a Confidentiality Agreement on the request form which reads as follows:

"I understand that the IC is providing confidential archaeological information as a service to CDF, the Requestor, and the RPF or professional archaeologist responsible to oversee this CDF project. By requesting this information, the Requestor and the RPF or Archaeologist assume the professional responsibility to the State Office of Historic Preservation and the IC for the appropriate management of this information. This management shall ensure that: (1) that all information regarding specific site locations is kept confidential except for disclosures required by forest practice rules or necessary to carry-out protection of sites, (2) that specific site locations are not included in any document made available to the general public, (3) this information shall not be utilized by the Requestor to destroy, excavate, or vandalize historical resources, and (4) the information is not utilized for project planning outside the scope of this MOU. Furthermore, CDF, in its capacity as lead agency under CEQA for environmental review and approval of projects on privately owned and other nonfederal lands in California, shall determine which archaeological and historical resources identified during the project review process need to be recorded, re-recorded, or supplemented. This determination will be based on the legal authority to carry-out recording efforts on private property and other considerations. CDF shall be responsible to ensure that a complete copy of the final archaeological investigation report including site records which may have been completed, shall be sent to the appropriate IC within 30 days following project approval. Within 30 days of cancellation, the Requestor shall notify the IC if the project has been cancelled or indefinitely delayed so that an archaeological survey report will not be submitted to the IC. By signature on this form, the Requestor agrees to comply with the terms stated in this paragraph."

## **VIII. Transmitting Completed Survey Reports and Site Records to the Information Centers**

CDF shall ensure that a complete copy of any archaeological and historical resource investigation report, including site records, prepared for a CDF project shall be provided to the appropriate IC within 30 days following project approval. This must be a final report containing any corrections required during the review by CDF. CDF shall submit copies of any new site records or updates for site records, completed to professional standards, as determined by CDF, prepared in reference to the project, if any such site records were prepared. The site records shall be submitted separated from the report as the IC stores site records

and survey reports in separate files.

If a project is cancelled or delayed for an extended period of time following a records check, the Requestor shall notify the IC about the cancellation or delay to clarify that there will not be an archaeological survey report transmitted to the IC.

### **IX. Professional Archaeologist Oversight**

CDF shall implement procedures to utilize a *CDF Archaeologist* to review the Confidential Archaeological Addendum to all THPs to ensure professional adequacy and to concur (on behalf of the CDF Director) with the investigation's findings. CDF Archaeologists shall also be involved in the conduct of archaeological and historic sites surveys and impact assessment supporting other types of CDF Projects as outlined in *Archaeological Review Procedures for CDF Projects* which is provided in this MOU in Appendix VI.

### **X. Current Records Checks**

CDF shall implement procedures and policies requiring current archaeological resource records checks for all THPs in accordance with stipulations in the Forest Practice Rules (Appendix IV). The use of current archaeological records checks for THPs is also discussed in CDF's instructions for the completion of a Confidential Archaeological Addendum (CAA) to a THP which is provided as Appendix V. CDF has implemented policies requiring the use of current archaeological records checks those CDF projects determined by CDF to have potential to adversely change historical resources as outlined in Appendix VI.

### **XI. Responsibility of CDF to Investigate Reported Misuse of Confidential Information**

CDF shall investigate any reported incident of misuse of confidential archaeological resource information provided to a Requestor pursuant to this MOU and take appropriate action. This may include notification to the Board if the misuse of confidential archaeological resource information involves the conduct of an RPF.

### **XII. CDF to Provide the Information Centers with List of Archaeologically Trained Personnel**

CDF shall provide the CHRIS ICs with access to the current listing of *archaeologically trained resource professionals*. This list is posted on the CDF Archaeology Program Web Site at: <http://www.indiana.edu/~e472/cdf/training/training.xls>

### **XIII. Information Centers to Provide CDF with Contact Numbers**

The CHRIS ICs shall provide CDF with a list of emergency response telephone numbers which CDF can use to attempt to contact IC staff during off hours in response to a CDF wildland fire or other type of emergency. This list shall be periodically updated as necessary. CDF shall consider this confidential information and will not distribute it the public or other agencies. The information shall only be used to facilitate contact with the IC in response to a wildfire or other emergency incident, and such contact may occur over the weekend or during early morning or late evening hours.

#### **XIV. Effective Date**

This MOU shall become effective immediately upon signature of the three *Signatories*. All parties shall inform their respective constituencies of the clarifications herein. Immediately following signature of this MOU by the three Signatories, the 1996 MOA will be terminated and superseded by this MOU.

#### **XV. Termination**

The Signatories shall have the exclusive right to terminate this MOU in accordance with these provisions.

Any Signatory may propose to the other Signatories to this MOU that it be terminated. The Signatory proposing termination shall notify all parties to this MOU, explaining the reasons for termination and affording the other Signatories at least thirty (30) calendar days to consult and seek alternatives to termination.

Any party to this MOU may propose that the MOU be amended, whereupon the Signatories shall consult for a period not to exceed sixty (60) calendar days to consider such amendment. Amendments shall be adopted only upon unanimous consent of the Signatories.

**AUTHORIZED SIGNATURES OF PARTIES**

It is the understanding of the parties to the MOU that the wording in the IC Procedural Manual, in combination with this MOU, provides direction from OHP to CDF, the Board, the CHRIS ICs, and to RPFs and other archaeologically trained resource professionals regarding the CDF records check procedures to be carried out on privately owned and other nonfederal lands subject to, and consistent with, the California Environmental Quality Act, the Forest Practice Act, and the Board of Forestry's regulations for timber harvesting.

Representatives hereby understand and agree to the terms of this *Memorandum of Understanding*.

**SIGNATORIES:**

*CALIFORNIA DEPARTMENT OF FORESTRY AND FIRE PROTECTION:*

By: \_\_\_signed\_\_\_\_\_ Date: April 20, 2005  
Dale T. Geldert, Director

*CALIFORNIA STATE BOARD OF FORESTRY AND FIRE PROTECTION:*

By: \_\_\_signed\_\_\_\_\_ Date: April 21, 2005  
George D. Gentry, Executive Officer

*CALIFORNIA STATE OFFICE OF HISTORIC PRESERVATION:*

By: \_\_\_signed\_\_\_\_\_ Date: April 21, 2005  
Milford Wayne Donaldson, State Historic Preservation Officer

**CONCURRING PARTIES:**

*NORTHWEST INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date: April 25, 2005  
Leigh Jordan, Coordinator

*NORTHEAST INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
Amy Huberland, Assistant Coordinator

*NORTH CENTRAL INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
Lee Simpson, Coordinator

*CENTRAL CALIFORNIA INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
Elizabeth A. Greathouse, Coordinator

*SOUTHERN SAN JOAQUIN VALLEY INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
Robert Yohe, Coordinator

*SOUTH CENTRAL COASTAL INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
Margaret Lopez, Coordinator

*CENTRAL COASTAL INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
Michael Glassow, Coordinator

*SOUTH COASTAL INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
 Seth Mallios, Coordinator

*SAN BERNARDINO INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
 Robin Laska, Acting Coordinator

*EASTERN INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
 Matthew Hall, Coordinator

*SOUTHEAST INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
 Ed Collins, Coordinator

*NORTH COASTAL INFORMATION CENTER:*

By: \_\_\_signed\_\_\_\_\_ Date:\_\_\_\_\_   
 Thomas Gates, Coordinator

## APPENDIX I

### DEFINITIONS

The following list of acronyms and definitions of key words, phrases, and other terms used in this MOU, and used in the practice CDF's Cultural Resource Management program, are provided to improve clarity.

#### Acronyms used in this MOU

<b>APE</b>	Area of Potential Effect
<b>ARMR</b>	Archaeological Resource Management Report
<b>CAA</b>	Confidential Archaeological Addendum
<b>CCR</b>	California Code of Regulations
<b>CDF</b>	California Department of Forestry and Fire Protection
<b>CEQA</b>	California Environmental Quality Act
<b>CFIP</b>	California Forest Improvement Program
<b>CHRIS</b>	California Historical Resources Information System
<b>CLFA</b>	California Licensed Foresters Association
<b>EIR</b>	Environmental Impact Report
<b>EM</b>	Notice of Emergency Timber Operation
<b>EX</b>	Exemption Notice
<b>FLEP</b>	Forest Legacy Enhancement Program
<b>HFEO</b>	Heavy Fire Equipment Operator
<b>IC</b>	Information Center
<b>LTO</b>	Licensed Timber Operator
<b>MOU</b>	Memorandum of Understanding
<b>NAAC</b>	Native American Advisory Council
<b>NADP</b>	National Archaeological Database Printout
<b>NAHC</b>	Native American Heritage Commission
<b>NTMP</b>	Non-Industrial Timber Management Plan
<b>OHP</b>	Office of Historic Preservation
<b>PHI</b>	Preharvest Inspection
<b>PRC</b>	Public Resources Code
<b>PTHP</b>	Programmatic Timber Harvesting Plan
<b>RPF</b>	Registered Professional Forester
<b>SRA</b>	State Responsibility Area
<b>THP</b>	Timber Harvesting Plan
<b>USGS</b>	United States Geological Survey
<b>VMP</b>	Vegetation Management Program

#### Definitions for terms used in this MOU

**ADMINISTERED BY CDF:** one of the elements to define a CDF Project for this MOU, *administered by CDF* refers to those projects that might be funded with state and/or federal funds, where CDF has lead agency responsibility pursuant to the California Environmental Quality Act (PRC Section 21000 et seq.) for environmental review and project approval.

**ARCHAEOLOGICALLY TRAINED RESOURCE PROFESSIONAL:** a person who has successfully completed CDF's full archaeological site recognition training course and who has kept this certification current through successful completion of CDF's refresher training course at least once every five years, and who has demonstrated the ability to conduct professionally adequate cultural resource surveys and impact evaluations working in consultation with and/or review by a CDF Archaeologist.

**ARCHAEOLOGICAL COVERAGE MAP:** means the map or maps required as part of a Confidential Archaeological Addendum or a Confidential Archaeological Letter pursuant to 14 CCR §§ 929.1 [949.1, 969.1] (c)(9) and 1052(a)(10). The map(s) shall contain a north arrow, a scale, and accurately display the project boundary, the site survey area showing survey intensity(ies), and specific location of all archaeological and historical sites identified within the site survey area. The map(s) must be on a 1:1 scale copy of a USGS 7.5' quadrangle(s), or digitally generated topographical equivalent. Additional maps at other scales may be required to more accurately display required information or increase clarity.

**AREA OF POTENTIAL EFFECT (APE):** the geographic area, or areas, within which a project may directly or indirectly cause changes in the character or use of historic properties or historical resources, if any such properties exist.

**CDF ARCHAEOLOGIST:** a professional archaeologist on staff or under contract to the California Department of Forestry and Fire Protection (CDF).

**CDF PROJECT:** For the purpose of this MOU, a *CDF Project* means any project developed by CDF, administered by CDF, or any project permitted or enabled by CDF through its lead agency responsibility pursuant to CEQA or any of the various types of timber harvesting projects authorized by Forest Practice Regulations which are reviewed by CDF.

**CONFIDENTIAL ARCHAEOLOGICAL ADDENDUM:** means the archaeological and historical resources survey and impact assessment report prepared for a proposed timber operation. The addendum is confidential to the extent permitted pursuant to Government Code §§ 6254(r) and 6254.10 and shall not be included in any document provided to the public. It shall contain all information required by 14 CCR §§ 929.1, 929.2, 929.3, 929.7, 949.1, 949.2, 949.3, 949.7, 969.1, 969.2, 969.3, 969.7.

**CONFIDENTIAL ARCHAEOLOGICAL LETTER:** means the archaeological and historical resources survey and impact assessment prepared for an Emergency Notice covering three acres or more in size. It is included with the submittal of the Emergency Notice to CDF and contains all information required by 14 CCR § 929.1 [949.1, 969.1] (c)(2),(7),(8),(9), (10) and (11), including site records, as required pursuant to 14 CCR §§ 929.1 [949.1, 969.1] (g) and 929.5 [949.5, 969.5]. The information may be presented in either a letter or report format. It is confidential to the extent permitted pursuant to Government Code §§ 6254(r) and 6254.10 and shall not be included in any document provided to the public.

**CULTURAL RESOURCE:** a broad category that describes a wide variety of resources including archaeological sites, isolated artifacts, features, records, manuscripts, historical sites, traditional cultural properties, historical resources, and historic properties. As used in this MOU, this term is intended to include all forms of archaeological, historical, and traditional cultural properties, regardless of significance.

**CURRENT ARCHAEOLOGICAL RECORDS CHECK:** means a review of the State's archaeological and historic resource files conducted at the appropriate CHRIS IC for a CDF Project. To meet the "current" standard, the records check must not be more than five years old at the time a THP is submitted or, for other CDF projects, at the time the archaeological review for the project takes place.

**HISTORICAL RESOURCE:** For the purpose of this MOU, "Historical Resource" includes, but is not limited to, any object, building, structure, site, area, place, record, or manuscript which is historically or archaeologically significant, or is significant in the architectural, engineering, scientific, economic, agricultural, educational, social, political, military, or cultural annals of California, as defined in PRC Section 5020.1 (j).

**IMMEDIATELY ADJACENT:** For the purpose of this MOU, the area "immediately adjacent" to a CDF project referenced in Stipulation #IV means those areas within 1/16 mile of the project area.

**INTENSIVE CULTURAL RESOURCE SURVEY:** means an investigation to determine the presence or absence of cultural resources within a given project area. It is the process to determine precisely what cultural resources exist in a given area. It describes the distribution of cultural resources, determines the number, type, location, and condition of individual cultural resources within the area, and records their physical extent. The documentation for the survey shall include the boundaries of the area surveyed, the methods used during the survey including a description of the survey coverage achieved, and a record of the precise location of all cultural resources identified within a project area.

**LOCAL REGISTER OF HISTORICAL RESOURCES:** a list of properties officially designated or recognized as historically significant by a local government pursuant to a local ordinance or resolution.

**LOGGING AREA:** as defined in California's Forest Practice Rules, this means that area on which timber operations are being conducted as shown on the map accompanying a THP, and within 100 feet, as measured on the surface of the ground, from the edge of the traveled surface of appurtenant roads owned or controlled by the timberland owner, timber operator or timber owner, and being used during the harvesting of the particular area. The traveled surface of such appurtenant roads is also part of the logging area.

**NATIONAL HISTORIC LANDMARK (NHL):** a property formally designated by the Secretary of the Interior as having special importance in the interpretation and appreciation of the nation's history; NHLs receive additional protection under Section 106 (36 CFR 800.10) and Section 110 of the National Historic Preservation Act.

**NATIONAL REGISTER OF HISTORIC PLACES (National Register):** A list of districts, sites, buildings, structures, and objects maintained by the National Park Service to be of historical, cultural, architectural, archaeological, or engineering significance at the national, state, or local level, as authorized by the National Historic Preservation Act of 1966 (16 U.S.C. Section 470 et seq.).

**NATIVE AMERICAN ARCHAEOLOGICAL OR CULTURAL SITE:** a term used and defined in California's Forest Practice Rules, this means any archaeological or other cultural resource that is associated with Native Americans. These sites must be identifiable by a specific physical location containing specific physical attributes. Native American archaeological or cultural sites include but are not limited to village sites, camp sites, petroglyphs, prehistoric trails, quarries, milling stations, cemeteries,

ceremonial sites, or traditional cultural sites and properties.

**NATIVE AMERICAN CONTACT LIST:** means the list developed by CDF in consultation with the Native American Heritage Commission (NAHC) that identifies those Native Americans that must be notified or consulted pursuant to Forest Practice Rules and CDF policy. The list is organized by counties or portions of counties. It includes all federally recognized tribal governments and other California Native American tribal organizations or individuals that CDF has placed on the list based upon demonstrated knowledge concerning the location of archaeological or other cultural resources within California. The NAHC is also a required contact for each county to enable the NAHC to complete a check of its Sacred Lands File which is authorized by PRC Sections 5097.94(a) and 5097.95. CDF frequently updates the list to keep mailing addresses, telephone numbers, email addresses, and other information current. The list is available at: <http://www.indiana.edu/~e472/cdf/contacts/NAACL.htm> and also through written request (preferably by e-mail) to a CDF Archaeologist.

**NATIVE AMERICANS:** means the Native American Heritage Commission and those local Native American tribal groups and individuals to be notified or consulted pursuant to the Forest Practice Rules and CDF policy. The required local contacts are specified in the Native American Contact List, also defined in this MOU.

**OFFICE OF HISTORIC PRESERVATION:** the state office headed by the State Historic Preservation Officer, charged with administering the national and state historic preservation programs for California.

**POINT OF HISTORICAL INTEREST:** an official state list of landmarks of local interest as stipulated in PRC Section 5021 and 5022.5. These resources are posted with historical signs by the Department of Transportation.

**PRELIMINARY STUDY:** as used in Appendix V of this MOU, *Preliminary Study* means a preliminary analysis of a proposed CDF project to determine if potential impacts to cultural resources could result from project activities.

**PROFESSIONAL ARCHAEOLOGIST:** as defined in California's Forest Practice Rules and CDF policy (see Appendix V), this means a person who holds at least a bachelor of Arts or Science degree in Anthropology or Archaeology from a college or university and has completed at least three years of professional experience in research, writing, or project supervision in archaeological investigation or cultural resource management and protection programs, in conformance with the current California State Personnel Board's specifications for an Associate State Archaeologist in the State Archaeologist Series.

**PROJECT:** in state law (14CCR Section 15378), a *project* means the whole of an action, which has a potential for resulting in either a direct physical change in the environment, or a reasonably foreseeable indirect physical change in the environment, and that is any of the following:

- (1) An activity directly undertaken by any public agency including but not limited to public works construction and related activities clearing or grading of land, improvements to existing public structures, enactment and amendment of zoning ordinances, and the adoption and amendment of local General Plans or elements thereof pursuant to Government Code Sections 65100-65700.
- (2) An activity undertaken by a person which is supported in whole or in part through public agency contacts, grants, subsidies, loans, or other forms of assistance from one or more public

agencies.

- (3) An activity involving the issuance to a person of a lease, permit, license, certificate, or other entitlement for use by one or more public agencies.

**REGISTERED PROFESSIONAL FORESTER (RPF):** means a person who holds a valid license as a professional forester, issued by the California State Board of Forestry and Fire Protection, pursuant to Article 3, Chapter 2, Division 1, of the Public Resources Code.

**REQUESTOR:** As used in this MOU, the Requestor means the person completing and submitting an Archaeological Records Check Request for a CDF Project form. The Requestor must either be an RPF, professional archaeologist, or an archaeologically trained resource professional (terms also defined in this Appendix) who is working under the direction of an RPF or a professional archaeologist. If the Requestor is not an RPF or a professional archaeologist, the name, address and phone number of the RPF or professional archaeologist responsible for the CDF records check must be included on the form, and that RPF or professional archaeologist shall be responsible to ensure the stipulations contained in this MOU are carried out.

**SIGNIFICANT ARCHAEOLOGICAL OR HISTORICAL SITE:** as defined in California Forest Practice Rules applying to THPs, this term means a specific location which may contain artifacts, or objects and where evidence clearly demonstrates a high probability that the site meets one or more of the following criteria:

- (a) Contains information needed to answer important scientific research questions.
- (b) Has a special and particular quality such as the oldest of its type or the best available example of its type.
- (c) Is directly associated with a scientifically recognized important prehistoric or historic event or person.
- (d) Involves important research questions that historical research has shown can be answered only with archaeological methods.
- (e) Has significant cultural or religious importance to Native Americans as defined in 14 CCR § 895.1.

**SITE SURVEY AREA:** means the area where a field survey is conducted for archaeological and historical sites on THPs. This area includes the entire logging area except appurtenant roads and those portions of the 100 foot strip along such roads unless there are timber operations to remove commercial wood products that could affect an archaeological or historical site.

**STATE HISTORIC PRESERVATION OFFICER:** head of the Office of Historic Preservation; the appointed official in each state and territory charged with administering the national historic preservation program, pursuant to the National Historic Preservation Act, at the state level.

**STATE HISTORICAL LANDMARK:** an official state list of landmarks of statewide significance pursuant to PRC Section 5021.

**SUBSTANTIAL ADVERSE CHANGE:** demolition, destruction, relocation, or alteration such that the significance of a historical resource would be impaired as specified in PRC Section 5020.1 (q).

**SUPERVISED DESIGNEE:** means a person, who need not be an RPF, acting as an assistant under the

supervision of an RPF pursuant to Article 3, Chapter 2, Division 1 of the Public Resources Code. For the purposes of this definition, “supervision” means the RPF must perform regular and timely quality control, work review and inspection, both in the office and in the field, and be able to take, or effectively recommend, corrective actions where necessary; the frequency of the review, inspection and guidance shall take into consideration the experience of the non-RPF and technical complexity of the job, but shall be sufficiently frequent to ensure the accomplishment of work to professional standards.

**TRADITIONAL CULTURAL PROPERTY:** a district, site, building, structure, or object that is valued by a human community for the role it plays in sustaining the community’s cultural integrity. Generally a place that figures in important community traditions or in culturally important activities. May be eligible for inclusion in the National Register (see National Register Bulletin No. 38).

## APPENDIX II

### ARCHAEOLOGICAL RECORDS CHECK REQUEST FORM FOR A CDF PROJECT

This form may be used to initiate an archaeological records check for a California Department of Forestry and Fire Protection (CDF) project in accordance with the procedures and stipulations described in a Memorandum of Understanding (MOU) executed on April 21, 2005 by CDF, the Board of Forestry and Fire Protection, California Office of Historic Preservation, and the 12 Information Centers of the California Historical Resource Information System. Electronic versions of that MOU, this Request Form, and other pertinent instructions and guidance is available on the CDF Archaeology Program Web Site at <http://www.indiana.edu/~e472/cdf/checks/>. The Requestor must either be an RPF, a Professional Archaeologist, or a person who has successfully completed a CDF Archaeological Training Course within the five years prior to submission of this Request and who is working under the direction of an RPF or a Professional Archaeologist. This request cannot be processed without a project map and the Requestor's signature on this form. The project map must be a high-quality photocopy of the relevant portion of a USGS 7.5-minute map at a scale of 1:24,000 with the map name and the actual project boundaries clearly indicated. Any questions pertaining to the use of this form or the procedures to conduct an archaeological records check for a CDF project may be directed to CDF Archaeology Program Manager Dan Foster at (916) 653-0839 or to any of the regional CDF Archaeologists.

Requestor:	Name of RPF or Archaeologist involved:
Affiliation:	Affiliation:
Address:	Address:
Phone #:	Phone #:
Project Name:	County of proposed project:
USGS Quad(s):	Legal Location:
Number of Acres:	Project Type:
IC File # (completed by IC):	Project Description:

### DIRECTION TO THE INFORMATION CENTER

**Records Check Timeframe Option (select one)**

- Standard Response  
 Rapid Response

**Check if the project is one of these special types:**

- Ownership-wide Records Check or 5-Year Update  
 Emergency Notice Timber Operation  
 Wildfire or other Emergency Incident

**The Requestor shall provide any archaeological or historical site information about the project area which is already known to the Requestor. This will avoid unnecessary time spent on the records check providing material already available.**

- No archaeological or historical information known about this project area.
- I am aware of the following previous investigations within this project area:
- I am aware of the following known archaeological or historical sites within or directly adjacent to the project area:
- I do not request photocopies of the site records listed above, as I already have them.
- Information Center shall notify Requestor, prior to initiating the records check, if the total fee is likely to exceed \$250.
- Other relevant information (attach additional pages if necessary):
- Special Instructions:

**CONFIDENTIALITY STATEMENT AND DOCUMENTATION RESPONSIBILITY**

"I understand that the CHRIS Information Center (IC) is providing confidential archaeological information as a service to CDF, the Requestor, and the RPF or professional archaeologist responsible to oversee this CDF project. By requesting this information, the Requestor and the RPF or Archaeologist assume the professional responsibility to the State Office of Historic Preservation and the IC for the appropriate management of this information. This management shall ensure that: (1) that all information regarding specific site locations is kept confidential except for disclosures required by forest practice rules or necessary to carry-out protection of sites, (2) that specific site locations are not included in any document made available to the general public, (3) this information shall not be utilized by the Requestor to destroy, excavate, or vandalize historical resources, and (4) the information is not utilized for project planning outside the scope of this MOU. Furthermore, CDF, in its capacity as lead agency under CEQA for environmental review and approval of projects on privately owned and other nonfederal lands in California, shall determine which archaeological and historical resources identified during the project review process need to be recorded, re-recorded, or supplemented. This determination will be based on the legal authority to carry-out recording efforts on private property and other considerations. CDF shall be responsible to ensure that a complete copy of the final archaeological investigation report including site records which may have been completed, shall be sent to the appropriate Information Center within 30 days following project approval. Within 30 days of cancellation, the Requestor shall notify the IC if the project has been cancelled or indefinitely delayed so that an archaeological survey report will not be submitted to the IC. By signature on this form, the Requestor agrees to comply with the terms stated in this paragraph."

Signature of Requestor (required): \_\_\_\_\_ Date signed:

CDF Archaeology Office 04/18/05

## APPENDIX III

### INSTRUCTIONS FOR COMPLETING AN ARCHAEOLOGICAL RECORDS CHECK REQUEST FOR A CDF PROJECT

Revised Date: August 28, 2006

#### General Instructions

The instructions provided herein consist of an abbreviated version of the procedures, stipulations, and guidance provided in a Memorandum of Understanding (MOU) among CDF, the Board, OHP, and the 12 CHRIS ICs which was executed on April 21, 2005. That MOU is available on the CDF Archaeology Program Web Site at <http://www.indiana.edu/~e472/cdf/checks/>. These instructions are intended to help Requestors complete the CDF form entitled *Archaeological Records Check Request for a CDF Project*. The procedures for the conduct of archaeological records checks for CDF projects including the use of this form and the personnel eligible to use it are specified in the above-referenced MOU. With regard to CDF projects being prepared in accordance with the California Forest Practice Rules (Title 14, California Code of Regulations Chapters 4, 4.5, and 10), although the current Rules do not specify use of this records check request form, such use is required by the above-cited MOU, a copy of which is available on the CDF Archaeology Program Web Site. Any questions concerning the records check process for CDF projects may be directed to CDF Archaeology Program Manager Dan Foster, CDF Sacramento Headquarters at (916) 653-0839, [dan.foster@fire.ca.gov](mailto:dan.foster@fire.ca.gov) or to any of the these CDF archaeologists:

Richard Jenkins, CDF Northern Operations Center, Redding, (530) 224-4749  
Steven Grantham, CDF Humboldt-Del Norte Unit, Fortuna, (707) 726-1251  
Chuck Whatford, CDF Northern Region Headquarters, Santa Rosa, (707) 576-2966  
Linda Pollack, CDF Southern Region Headquarters, Fresno (559) 243-4119  
Gerrit Fenenga, Sacramento Headquarters, (916) 651-2021

The most current form entitled *Archaeological Records Check Request for a CDF Project* (herein after called "form"), or an equivalent to it, must be used to initiate all CDF records checks pursuant to the MOU. The form must be typed, legibly printed in ink, or prepared on a word processor. It is recommended that Requestors conducting frequent records checks develop a facsimile of this form on their personal computer. A downloadable version of the form is available on the CDF Archaeology Program Web Site.

The CDF Archaeology Program maintains a web site that, among other functions, serves as a convenient method to provide CDF staff and others with information, reports, forms, instructions, and other types of assistance in the task of conducting archaeological review work for CDF projects. These web pages can be located through a link at the Department's main Internet Web Site at <http://www.fire.ca.gov> by clicking on "Resource Management", then clicking on "Archaeology." You may also go directly to our web site at <http://www.indiana.edu/~e472/cdf/>. The contents of this web site include the current Native American Contacts List, a List of ICs, Archaeological Training Schedule and Enrollment Instructions, Survey and Recording Forms, CDF's Management Plan for Historic Buildings and Archaeological Sites, and many additional items.

The Requestor must either be an RPF, a Professional Archaeologist, or a person who has successfully

completed a CDF Archaeological Training Course within the five years prior to submission of the records check request and who is working under the direction of an RPF or Professional Archaeologist. If the Requestor is not an RPF or a Professional Archaeologist, the name address and phone number of the RPF or Professional Archaeologist responsible for the records check must be included on the form.

The Requestor must attach a project map consisting of a high-quality photocopy or digitally replicated version of the relevant portion of a USGS 7.5-minute topographic quadrangle map at a scale of 1:24000 with the map name and actual project area clearly indicated. A digitally replicated version of the 7.5-minute USGS map may be utilized provided it is a 1:1 high quality copy of the relevant portion of the 7.5-minute USGS map with the map name and actual project area clearly indicated. For rapid response records checks, a faxed map may not be acceptable. While some ICs do accept faxed maps, others refuse to accept faxed maps to initiate rapid response requests because such maps occasionally are so darkened or distorted by the fax process that project boundaries are obscured. In those instances, the ICs may require the map to be transmitted as an attached file to an email message, preferably in PDF format, or delivered in person, or sent by overnight mail. If the Requestor sends the map as an email attachment, the IC shall be notified via telephone call that a Rapid Response request map is waiting. This procedure is necessary because some ICs reportedly only check their email a few times during any given week. The completed request form must contain the Requestor's signature and this document can be faxed.

A "CDF Project" means any project developed by CDF, and any project permitted or enabled by CDF through its lead agency responsibility pursuant to the California Environmental Quality Act (CEQA), as amended, or any of the various types of timber harvesting projects authorized by the Forest Practice Regulations that are reviewed by CDF. For CDF projects on CDF properties, consult with a CDF Archaeologist first to find out if a records check has already been completed for the property. For all CDF projects, it is recommended that the entire parcel be included in the request for a records check so that this information may be used if additional projects occur on the same property.

The fee schedule for CDF records checks follows the same fee schedule for other types of record checks as approved by the State Historic Resources Commission. Effective October 1, 2006, the IC Coordinators are charging fees for providing information and/or access in accordance with the following schedule that also applies to CDF records checks:

- (A) Records Search Conducted by IC staff.
  - (1) Staff Time: \$150.00 per hour plus \$75 per one-half hour after first hour.
  - (2) Photocopy: \$0.15 per page.
  - (3) FAX: \$1.00 per page.
  
- (B) Fees for services not related to record searches performed by the Information Center staff.
  - (1) Staff Time: \$40.00 minimum plus \$20.00 per one-half hour after first hour.
  - (2) Photocopy: \$0.15 per page plus staff time.
  - (3) FAX: \$1.00 per page plus staff time.
  - (4) Information Center report bibliography printout: \$0.15 per page plus staff time.
  
- (C) In-House Records Search conducted by qualified individuals as specified in this Manual.
  - (1) Access Fee: \$100.00 minimum per person plus \$50.00 per person per half-hour (see NOTE below).
  - (2) Photocopy: \$0.15 per page plus staff time if staff performs photocopying).

- (3) IC report bibliography printout: \$0.15 per page plus staff time.
  - (4) Cancellation Fee for failure to give twenty-four (24) hours advance notice of cancellation of scheduled In-House Records Check appointment: \$50.00 per appointment.
- (D) Priority Response: total cost of Information Center Services rendered plus 50% of total cost; Information Center should be contacted to determine response time.
- (E) Emergency Response: total cost of Information Center services rendered plus \$100 of total cost; fee applies to a request made by a government agency or representative in response to a specific, identified emergency incident; Information Center should be contacted to determine response time.

**NOTE** The Access Fee for an In-House Records Search may be waived for research that is unrelated to compliance with requirements of such laws as, but not limited to, the National Environmental Policy Act, National Historic Preservation Act, Native American Graves and Repatriation Act, California Environmental Quality Act, and California Forest Practice Act, as well as local ordinances affecting permitting of construction and other land development actions, and mitigation of adverse impacts to historical resources.

**Disclaimer:** The fee schedule presented above is included in these instructions as a courtesy to CDF Requestors. This fee schedule takes effect on October 1, 2006. Fees are likely to increase in the future. The current fee schedule is provided in the most current IC Procedural Manual adopted by the State Historical Resources Commission. This is made available at the OHP website at: <http://www.ohp.parks.ca.gov>

While some ICs (e.g. the Northeast IC) accept prepayment of record search fees, other ICs (e.g. the Northwest IC) do not. When the requested information is provided, an invoice will be sent to the Requestor or, alternatively, to his/her designee. These fees should be paid in a timely manner. Also, according to the MOU, if the total fee is likely to exceed \$250, the IC is to notify the Requestor, even if the Requestor did not request a fee estimate.

### **Records Checks Procedures for CDF Projects**

The CHRIS ICs shall complete records checks for CDF projects in the following manner:

- (1) Identify all known historical resources, archaeological and historical sites, features, and objects depicted on base maps maintained at the IC which are located within the CDF project or within 1/16 mile of its boundaries. These resource locations and their identifier will be plotted on the map or maps provided by the Requestor. At least one of these maps must be a 1:1 scale copy of the appropriate USGS topographic quadrangle with the project boundaries depicted.
- (2) Provide copies of resource records for those resources within or within 1/16 mile of the project area, unless the Requestor has indicated these records are already in the Requestor's possession.
- (3) Depict pertinent study locations and their identifiers on the same or duplicate copy of the Requestor's project map. The response letter shall provide additional information linked to the identifier including the author, date, and IC file number.

- (4) Check the Office of Historic Preservation's Historic Property Directory and the California Inventory of Historical Resources.
- (5) Check all additional ethnographic and historic-period information housed at the IC. Maps and other locational information shall be provided, as appropriate.
- (6) Provide a response letter which summarizes all records search results, gives a list of references consulted, and provides a sensitivity assessment that identifies areas within the CDF project boundaries which are most likely to contain resources and the reason(s) why.

The CHRIS ICs shall not include:

- (1) Any recommendations or advice to the Requestor on how to comply with legal, regulatory, or policy mandates or what specific actions need to take place. This direction shall be provided by CDF.
- (2) Any tactical strategies or suggested survey methods. These tactics and strategies are provided by CDF.

### **Special Types of CDF Projects Requiring Special Procedures**

The three types of CDF projects requiring special procedures are Ownership-Wide Records Checks, Emergency Notice Timber Operations, and Wildfires or other emergency incidents. The records check procedures for these types of projects are specified below.

#### ***Ownership-Wide Records Check or 5-Year Update***

This type of records check is used by CDF and certain private timber companies which possess and maintain in-house databases of archaeological and historical site locations on their ownerships. The Forest Practice Rules and CDF policy require that records checks for all forms of CDF projects are current within the past five years. This requires CDF and certain timber companies to obtain updated cultural resource data from the IC (e.g., check the basemaps being used with the official sets of basemaps at the IC to confirm that all known archaeological and historical sites are identified). The CDF timber company may utilize one of the following three options to complete an initial ownership-wide records check or a five-year update:

- (1) CDF or the timber company may request that the IC complete the initial records check or 5-year update. Depending upon the scope of work involved, this may require the execution of a contract.
- (2) CDF or the timber company may hire a professional archaeologist or use a professional archaeologist on staff to complete the records check through an in-house series of visits to the IC in accordance with the fees and procedures identified in the IC Procedural Manual.
- (3) CDF or the timber company may schedule an in-house records check to be conducted by a qualified Requestor working under the close supervision of IC staff. This option is intended to include the participation of representatives of CDF or the timber company who possess expertise and familiarity with the base maps and lands being checked. Such participation and assistance given to IC staff may improve efficiency enabling the work to be done more quickly. Requestors working under this option are not entitled to the full range of access normally available only to

professional archaeologists and therefore will be working on the in-house search under the IC's supervision. The hourly rate for this option would include the in-house hourly rate for the entire time, and the \$150/hour rate for the time the IC staff is training the Requestor or directly working on the records check. The IC Coordinator or designee shall review the ownership maps prior to check-out to ensure the 1/16 mile rule and other procedures have been followed.

The CHRIS ICs, professional archaeologists, or Requestors working on ownership-wide records checks or 5-year updates shall complete records checks in the following manner:

- (1) Identify all known historical resources, archaeological and historical sites, features, and objects depicted on base maps maintained at the IC which are located within CDF or timber company ownership or within 1/16 mile of these boundaries. These resource locations and their identifier will be plotted on the sets of maps provided by the Requestor. These maps shall be in a 1:1 scale copy of the appropriate USGS topographic quadrangles with the ownership boundaries depicted.
- (2) Provide copies of resource records for those resources within or within 1/16 mile of the project area, unless the Requestor has indicated these records are already in the Requestor's possession.
- (3) Depict pertinent study locations and their identifiers on the same or duplicate copy of the Requestor's project map. The response letter shall provide additional information linked to the identifier including the author, date, and IC file number.
- (4) Check the Office of Historic Preservation's Historic Property Directory and the California Inventory of Historical Resources.
- (5) Check all additional ethnographic and historic-period information housed at the IC. Maps and other locational information shall be provided, as appropriate.
- (6) Provide a response letter which summarizes all records search results, gives a list of references consulted, and provides a sensitivity assessment that identifies areas within the CDF project boundaries which are most likely to contain resources and the reason(s) why.

The CHRIS ICs, professional archaeologists, or Requestors working on ownership-wide records checks or 5-year updates shall not include:

- (1) Any recommendations or advice to the Requestor on how to comply with legal, regulatory, or policy mandates or what specific actions need to take place. This direction shall be provided by CDF.
- (2) Any tactical strategies or suggested survey methods. These tactics and strategies are provided by CDF.

This type of records check shall be documented with a letter prepared by the IC or Professional Archaeologist that conducted the records check. This letter shall include the date the records check was completed and describe the legal location for the area checked including Township, Range, and Sections, name of quad maps, and a listing of identified sites. This letter will be used as an attachment to an

archaeological survey report supporting a THP or other CDF project to verify that a current archaeological records check has been completed.

### ***Emergency Notice Timber Operations***

This type of records check applies only to specific timber operation known as an Emergency Notices. These fall under a different set of forest practice regulations reduced in scope from those applying to THPs. These special rules are intended to facilitate timber operations in response to emergency conditions. These include trees that are dead or dying as a result of insects, disease, parasites, or animal damage. It also includes trees that are fallen, damaged, dead, or dying as a result of wind, snow, fire, flood, landslide, earthquake, etc. The Board has adopted these unique regulations to require CDF's environmental review process to be completed more rapidly than for THPs. This procedure includes a reduced timeframe the Requestor must wait for a completed records check and the authority for the RPF to proceed without the records check information should the IC be unable to provide it within the allotted timeframe. 14CCR Section 929.1[949.1,969.1](e)(2) reads as follows:

Prior to submitting an Emergency Notice of three acres or more, the RPF or the RPF's supervised designee shall complete a current archaeological records check. This check may be conducted by telephone. If the Information Center is unable to provide the information within **three business days** following receipt of an RPF's request for an Emergency Notice Records Check, the records check requirement is waived.

The ICs shall attempt to conduct records checks for Emergency Notice timber operations using the procedures described for standard CDF projects listed above. If the IC are unable to meet the 3-business day deadline for a series of Emergency Notice requests, the ICs may reduce the scope of research to an identification of all known historical resources, archaeological and historical sites, features, and objects depicted on base maps maintained at the IC which are located within the Emergency Notice area or within 1/16 mile of its boundary. CDF would prefer to have the complete information provided, but completion of a limited check is preferable over one which could not be delivered within the 3-business-day timeframe. The Request Form contains a check-box to inform the ICs if the project is an Emergency Notice. The procedures for Emergency Notice timber operations are addressed in training to Requestors and clarification is provided in the Records Check Request Instructions.

### ***Wildfires or Other Emergency Incidents***

This records check is used by CDF in response to wildfires and other types of emergency incidents. It requires immediate access to archaeological and historic site locations within the area potentially affected by wildfires and other emergency incidents. The Requestor is likely to be a CDF Archaeologist or a CDF employee who meets the definition listed in Appendix I for an *archaeologically trained resource professional*. The Requestor shall complete a signed request form but it might be only partially filled-out due to the emergency and reduced time to research and plan for the records check. For example, the request may come from the CDF Archaeology Program Manager in Sacramento via telephone call, on behalf of a CDF Archaeologist traveling to the incident. The form may also be completed by the CDF Archaeologist upon arrival at the IC or subsequently after arriving to the incident. The CDF Archaeologist may schedule an appointment to pick up records check information while traveling to the incident, or may wish to gather it in person. It is also possible that CDF will request the IC to gather the needed information and have someone other than the CDF Archaeologist collect the needed information. The name and address of the appropriate CDF office to receive the invoice may be unknown at this time, and that information may need to be added-in after the archaeologist reports to the incident. The procedures employed by CDF Archaeologists responding to wildfires, including the support role played by the ICs, are provided in Appendix VII.

The records check for a CDF Wildfire or other Emergency shall consist of the following:

- (1) Identification of all known historical resources, archaeological and historical sites, features, and objects depicted on base maps maintained at the IC which are located within or adjacent to the area affected by the emergency. CDF shall provide a map, legal location, or other guidance on the limits of the search area. These resource locations and their identifier shall be provided either by plotting them onto maps brought by CDF during an in-house visit, or by providing copies of site records.
- (2) Provide copies of resource records for those resources within or potentially affected by the emergency incident as advised by CDF.
- (3) Depict pertinent study locations and their identifiers on the same or duplicate copy of CDF's maps. Survey information may be useful to the CDF Archaeologist responding to an incident.

The CHRIS ICs shall not include:

- (1) Any recommendations or advice to the Requestor on how to comply with legal, regulatory, or policy mandates or what specific actions need to take place. This direction shall be provided by CDF.
- (2) Any tactical strategies or suggested survey methods. These tactics and strategies are provided by CDF.

## V. Timeframes for Completing a CDF Records Check

Requestors initiating a mail-in records check request shall choose one of two options pertaining the response time: *Standard Response*, and *Rapid Response*. Although Rapid Response will probably always be requested for Wildfires and Emergency Notice timber operations due to the emergency nature of these projects and CDF's need to respond immediately, the Requestor may select the Rapid Response option for any type of CDF project by indicating this preference on the request form. There will be an increased fee for this rapid response service. Information on the current fee schedule is provided in the most current IC Procedural Manual adopted by the State Historical Resources Commission. This is made available at the OHP website at: <http://www.ohp.parks.ca.gov>

### Timeframe for Standard Response

Although the IC Procedural Manual specifies that the ICs shall complete a standard Records Search within thirty (30) business days, through this MOU, these timeframes are shortened for CDF projects for the reasons described in the Whereas Clauses of this MOU. CDF operates within a unique regulatory environment with reduced timeframes for project planning, and on occasion, responds to emergency incidents, which requires a more rapid process for gathering information during project development. The ICs shall attempt to complete a standard response records check pursuant to this MOU within the following timeframes:

**Standard Response Records Check:** 14 business days from receipt of completed Request Form and

Map.

**Ownership-Wide Check:** When an ownership-wide records check or 5-year update is done by the IC, the timeframe for completion of this work shall be negotiated between the IC and CDF or the timber company. CDF and timber companies are encouraged to provide as much lead time as possible. Another possibility may include staggering portions of the total number of quad maps involved in the ownership to complete a series of checks one at a time. If the IC is requested to complete this check, it is likely that if the project budget exceeds a certain amount, a contract may be set up between the Requestor and the IC. Due to large size and scope of the ownership-wide record checks, a cost and time estimate should be requested from the IC.

#### Timeframe for Rapid Response

The ICs shall attempt to complete a rapid response records check pursuant to this MOU within three (3) business days from receipt of completed Request Form and Project Map which may be transmitted by FAX, email, or other means. Some ICs refuse to accept faxed maps to initiate rapid response requests because such maps occasionally are so darkened or distorted by the fax process that project boundaries are obscured. In those instances, the ICs may require the map to be transmitted as an attached file to an email message, preferably in PDF format, or delivered in person, or sent by overnight mail. If the Requestor sends the map as an email attachment, the IC shall be notified via telephone call that a Rapid Response request map is waiting. The completed request form must contain the Requestor's signature and this document can be faxed.

The ICs shall be aware of the expected timeframes associated with two unique types of CDF projects: wildfires, and Emergency Notice timber operations. The expected timeframe for a **Wildfire Records Check** is immediately upon notification by CDF, if at all possible. The regulatory timeframe for Emergency Notice Timber Operations is within three business days following receipt by the IC of a request, with the unique caveat that the records check requirement is waived if the IC is unable to provide the information within three business days.

Note: Although the rapid response service is an option for any CDF project, this service comes to CDF Requestors with an increased cost. The fee schedule for rapid response service is specified in the most current IC Procedural Manual adopted by the State Historical Resources Commission.

If the IC is unable to meet these timeframes for a CDF Project, the Requestor shall be notified via a telephone call and given an estimated time for completion. These timeframes may be extended if the Requestor fails to properly complete the request form or if the Requestor chooses to be given a cost estimate prior to beginning a records check.

Requestors must sign a *Confidentiality and Documentation Responsibility Statement* on the request form which shall ensure: (1) that all information regarding specific site locations is kept confidential except for disclosures required by forest practice rules or necessary to carry-out protection of sites, (2) that specific site locations are not included in any document made available to the general public, (3) this information shall not be utilized by the Requestor to destroy, excavate, or vandalize historical resources, and (4) the information is not utilized for any project other than a CDF project, as specified in the MOU.

CDF and the ICs encourage the Requestor to use the downloadable version of the *Archaeological*

*Records Check Request for a CDF Project* form available on the CDF Archaeology Program Web Site for use on their own computer system. In order to save space such that the form may be completed in one page plus a Project Map, the Requestor may delete any check boxes under "Directions to the IC" that do not apply. HOWEVER, the entire "Confidentiality Statement and Documentation Responsibility" section must always be included.

The *Archaeological Records Check Request for a CDF Project* form and attached Project Map shall be sent to the appropriate IC for processing. A listing of these ICs including the names of the Coordinators, IC addresses and counties of jurisdiction is available on the CDF Archaeology Program Web Site.

CDF shall ensure that a complete copy of any cultural resource investigation report, including site records, prepared for a CDF project shall be provided to the appropriate IC within 30 days following project approval. This must be a final report containing any corrections required during the review by CDF. CDF shall submit copies of any new site records or updates for site records, completed to State standards as determined by CDF, prepared in reference to the project, if any such site records were prepared, but shall not submit copies of the records check reply letter, or background reference information, or copies of previously recorded sites that were sent to the Requestor as a result of the records check, as the IC already has these on file. The site records shall be submitted separated from the report as the IC stores site records and survey reports in separate files.

A *current archaeological records check* is defined in the Forest Practice Rules (14 CCR Section 895.1) as one conducted within the past five years. This definition is applicable to all CDF Projects. Records checks for CDF projects that are older than five years from the date the new project is submitted to CDF should be resubmitted to the appropriate IC for a new records check. A Requestor may use an existing records check previously completed for another project on the same property if that records check is current (i.e., was conducted within the previous five years) and if all of the current project areas were covered in the previous records check.

### **Step-by Step Instructions for Completing the Form**

**Requestor** Provide the name of the person requesting the records check.

**Name of RPF or Archaeologist Involved** Provide the name of the RPF or Professional Archaeologist involved in the preparation of the project for which the records check is requested.

**Affiliation** Provide the name of any company, group, etc., represented by the Requestor, and as needed, the name of the company, group, etc. represented by the RPF or Professional Archaeologist involved in the proposed project.

**Address** Provide the business address of the Requestor, and as needed, the business address of the RPF or Professional Archaeologist involved in the proposed project.

**Phone #** Provide the business phone number of the Requestor, and as needed, the business phone number of the RPF or Professional Archaeologist involved in the proposed project.

**Project Name** Provide the name of the proposed project.

**County of proposed project** Provide the name of the county (or counties) in which the proposed project is located.

**USGS Quad(s)** Provide the name(s) of the USGS 7.5' topographic quadrangle map(s) on which the proposed project area can be found.

**Legal Location** Indicate the Township, Range, and Section(s) for the proposed project.

**Number of Acres** Provide the number of acres included in the proposed project area as depicted on the attached Project Map.

**Project Type** Indicate the type of proposed CDF project. Examples include Timber Harvesting Plan (THP), Notice of Emergency Timber Operations (EM), Exemption Notices (EX), Conversion Exemption, or Non-Industrial Timber Management Plans (NTMP). Other types of CDF Resource Management Programs include cost-share grants administered by CDF's Forestry Assistance Program (such as CFIP, FLEP, or Forest Stewardship), the purchase of conservation easements, vegetation management projects implemented under CDF's VMP or Pre-Fire Programs, Urban Forestry grants, projects on State Forests, as well as Capital Outlay, Facility Improvements on other CDF properties, and any other project for which CDF is the Lead Agency responsible for review and approval.

**IC File # (completed by IC)** Leave blank.

**Project Description** Provide a brief description of the nature of the proposed project and proposed project activities that may adversely affect cultural resources.

**DIRECTION TO THE INFORMATION CENTER**

Complete this information in such a way so to give direction to the IC on what type of records check you are requesting

**Records Check Timeframe Option (check one)**

Select Standard Response if you want the IC to complete the records check within the standard timeframe using the standard fee schedule. Select Rapid Response if you want the IC to attempt to complete the request within three business days. Keep in mind there is an increased cost for this service.

**Special Types of CDF Projects (check the one that applies, if one does)**

If the project you are working on is either an Ownership-wide Records Check or 5-year update, an Emergency Notice Timber Operation pursuant to 14 CCR Section 1052, or a Wildfire or other type of emergency incident, please check the appropriate box. This will alert the IC to unique records check procedures for these types of projects.

**The Requestor shall provide ... (check the ones that apply)**

Check as many boxes as appropriate for the proposed project. Provide any archaeological or historical site information about the project area that is already known to the Requestor. This will avoid unnecessary extra cost for time spent on the records check for the IC staff to provide material already available. The IC, as indicated by the boxes that the Requestor has checked, will provide any and all information. In order to save space such that the form may be completed on one page plus a Project

Map, the Requestor may delete any check boxes under this heading that don't apply. HOWEVER, the entire "Confidentiality Statement and Documentation Responsibility" section of the form MUST BE included as well as the Requestor's signature and the date the form was signed.

**No archaeological or historical information known about this project area.** The Requestor may check this box if no information about the project area is known to the Requestor.

**I am aware of the following previous investigations within this project area.** The Requestor may check this box if there are previous investigations already known to the Requestor. Be sure to reference any known report by author, title, and date.

**I am aware of the following known archaeological or historical sites within or directly adjacent to the property.** The Requestor may check this box if there are any sites already known to the Requestor that are located in or adjacent to the project area. Provide any site numbers and/or other designations for these known sites and plot the locations on the Project Map. The IC will confirm the accuracy of these plotted locations.

**I do not request photocopies of the site records listed above, as I already have them.** The Requestor may check this box if the Requestor is already in possession of copies of site records mentioned above.

**Information Center shall notify Requestor, prior to initiating the records check, if the total fee is likely to exceed \$250.** The minimum records check fee is currently \$120 per project. The Requestor may check this box if the Requestor needs to know that the total fee for the records check is likely to exceed \$250. By checking this box, the records check will not begin, if it likely to cost more than \$250, until the Requestor has authorized the IC to begin.

**Other relevant information (attach additional pages if necessary)** The Requestor may check this box and provide any additional information relevant to this records check.

**Special Instructions** The Requestor may check and provide any special instructions to the IC conducting the records check. This may include requests for information concerning ethnographic references, local archaeologists or Native Americans to contact, typical types of sites, artifacts, or material types, etc.

## **CONFIDENTIALITY STATEMENT AND DOCUMENTATION RESPONSIBILITY**

**Signature of Requestor and Date Signed** The Requestor must sign this form in the space provided and enter the date on which the request form was signed. The records check will not be processed until the form is signed and dated. Furthermore, by signing this form, the Requestor agrees to comply with the terms set forth in the paragraph titled "**Confidentiality Statement and Documentation Responsibility.**"

## APPENDIX IV

### CALIFORNIA'S FOREST PRACTICE RULES FOR THE PROTECTION OF ARCHAEOLOGICAL, HISTORICAL, AND CULTURAL SITES

This Appendix to the MOU contains a compilation of selected portions of the California Forest Practice Rules found in Title 14 of the California Code of Regulations (14 CCR). These rules apply to commercial timber operations on non-federal lands within California, which are CDF projects as defined in this MOU due to CDF's role as *lead agency* pursuant to the California Environmental Quality Act and Forest Practice Act. With the exception of certain definitions, all current (as of 2005), applicable rule sections related to requirements for the protection of archaeological, historical, and cultural sites are included herein. These rules were inserted into the MOU between CDF, the Board, OHP, and the CHRIS ICs as an appendix in order to provide the ICs with specific rule requirements for THPs including the conduct of archaeological records checks, the recording of sites, and the transmittal of final survey reports. The relevant definitions found in these rules are included in Appendix 1 of this MOU. The relevant portion of the rule in Sections 1037.5 and 1104.1 are highlighted in bolded and italicized text to make the archaeological rule easier to find. A flow-chart has been developed by CDF to help RPFs and CHRIS IC staff visualize the procedural tasks discussed in these rules that lead to the development and review of a THP. This flow-chart is available upon request to the CDF Archaeology Program Manager.

**Disclaimer:** This rule compilation is not intended to be authoritative. There are two official published sources of the rules, and one of these is available on-line. These are: Barclays Official California Code of Regulations, P.O. Box 3066, South San Francisco, CA 94083, (800) 888-3600 and Office of Administrative Law Web Site [www.oal.ca.gov](http://www.oal.ca.gov) (click on *California Code of Regulations*, then again select on *California Code of Regulations*).

#### Archaeological and Historical Resource Protection

##### Section 929 [949, 969] Statement of Purpose

The purpose of this article is to:

- (a) ensure that the significant archaeological and historical sites within the site survey area are adequately identified and protected,
- (b) provide direction to RPFs preparing THPs (which includes all forms of THPs including, but not limited to, Modified THPs and Nonindustrial Timber Management Plans (NTMPs), Program Timber Harvesting Plans (PTHPs)), Notice of Emergency Timber Operations (Emergency Notices), and any Exemption Notices pursuant to 14CCR Sections 1038 and 1104.1,
- (c) provide direction to the timber operator conducting timber operations,
- (d) provide direction to the Department of Forestry and Fire Protection in its review, approval and inspection programs.

##### Section 929.1 [949.1, 969.1] Plan and Emergency Notice Preparation

(a) **Preparing a plan.** Prior to submitting a plan, the RPF, or the RPF's supervised designee:

- (1) Shall conduct an archaeological records check at the appropriate IC. A previously-conducted archaeological records check for the property may be used to satisfy this requirement if it covers the entire area proposed for timber operations and if it meets the definition of "current archaeological

records check" in 14 CCR § 895.1.

(2) Shall provide written notification to Native Americans of the preparation of a plan. The primary purpose for this notification is to provide Native Americans an opportunity to disclose the existence of any Native American archaeological or cultural sites that are potentially within or adjacent to the site survey area, and the opportunity to comment on the plan. The RPF shall allow a minimum of 10 days for response to this notice before submitting the plan to the Director. The remainder of the 10-day waiting period is waived when all Native Americans required to be informed respond in less than 10 days. This notice shall contain the following attachments or items of information:

(A) A request for information concerning the potential existence of any Native American archaeological or cultural sites within the plan boundaries.

(B) Information concerning the location of the plan including:

(1) A general location map that, at a minimum, shows the travel route from the nearest community or well-known landmark to the plan area.

(2) A copied segment of the titled USGS (if available) or equivalent map(s) that displays the approximate boundary of the plan area, and includes a map legend and a scale.

(3) A description of the plan location including the county, section, township, range, base and meridian, and the approximate direction and distance from the nearest community or well-known landmark.

(C) A statement that all replies, comments, questions, or other information submitted by Native Americans as a result of this notice be directed to the RPF. The name, address, and phone number of the RPF shall be provided.

(D) Information concerning the available time for response. Indicate that the RPF is requesting a response within ten days from the date of the notice so the information can be incorporated into the plan when initially submitted to the Director. Provide the estimated date the plan will be submitted to Director. Provide the following statement: "The earliest possible date the Director may approve the plan is 16 calendar days after it is submitted to Director, although typically, the plan is reviewed for at least 45 calendar days following plan submittal before the Director approves the plan."

(E) A statement that the Native American groups may participate in the plan review process by submitting written comments to the Director before close of public comment period.

(F) A statement that locations of sites disclosed will be kept confidential.

(G) A statement that a Confidential Archaeological Addendum (CAA) will be prepared for the plan and a copy of pertinent information contained within the CAA may, at the discretion of the Director, be obtained from the Director.

(3) Shall provide a professional archaeologist or a person with archaeological training (in accordance with 14 CCR § 929.4 [949.4, 969.4]) to conduct a field survey for archaeological and historical sites within the site survey area. Previous archaeological surveys within the site survey area may also be used to partially or entirely satisfy this requirement.

(4) Shall ensure that research is conducted prior to the field survey, including review of appropriate literature and contacting knowledgeable individual, concerning potential archaeological or historical sites occurring on the property.

(b) Provide Notification to Native Americans if a Native American Archaeological or Cultural Site is located within the plan. On a plan that contains a Native American archaeological or cultural site as defined in 14 CCR § 895.1 the RPF or the RPF's supervised designee shall:

(1) provide a written notice to Native Americans informing them of the presence of Native American cultural resources within the site survey area. This notification shall include:

(A) The RPF's name, address, and telephone number.

(B) The name, number, or other designator of the plan.

(C) A list of all known Native American archaeological or cultural sites located within the site survey area, including a name, number or other designator and brief description of each site.

(D) A brief discussion of how each site shall be protected or avoided.

(E) The address and phone number of the appropriate CDF office to contact as well as a statement that written comments may be submitted to Director for consideration prior to the close of public comment.

(F) The estimated earliest date the Director may approve the plan.

(2) submit a copy of all letters sent pursuant to 14 CCR § 929.1 [949.1, 969.1] (b)(1) to the Director. The Director shall allow a minimum of 15 days from the date of the notification letter for receipt of responses to notices sent pursuant to 14 CCR § 929.1 [949.1, 969.1] (b)(1) prior to the close of public comment.

**(c) Submitting a Confidential Archaeological Addendum for a plan**

The RPF shall include the following information in a Confidential Archaeological Addendum with the proposed plan:

(1) Administrative Information which is not confidential and may be released to the public. This includes:

(A) The name, affiliation, address, and phone number of the archaeological surveyor.

(B) The name, affiliation, address, and phone number of the RPF, if different than the archaeological surveyor.

(C) The plan name ascribed by the RPF, plan number (if known), type, and approximate acreage.

(D) The county, legal description, and name of USGS 7.5' Quad(s) within which the project is located.

(E) The date the CAA was completed.

(F) The name of the author of the CAA.

(G) The signature of the RPF or archaeological surveyor.

(2) Archaeological Records Check Information. A copy of the records check and written reply (including mapped information) from the IC shall be attached, or a justification as to why that is not possible shall be included.

(A) If the records check request and written reply from the IC are attached, no additional information is required.

(B) If the records check request and written reply from the IC are not attached, the following information shall be included:

(1) Justification why records check request and written reply could not be attached.

(2) The date the records check was conducted at the IC.

(3) The IC File Number.

(4) Summary of records check results discussing whether or not archaeological or historical sites

are known or suspected to exist within the site survey area and whether or not the site survey area has a previous archaeological investigation on record.

(3) Results of notification to Native Americans of plan preparation pursuant to 14 CCR § 929.1 [949.1, 969.1](a)(2)(B). This shall include:

- (A) An example of a notification letter and project map submitted to Native American contacts.
- (B) Copies of any written responses received from Native American contacts.
- (C) A list of the individuals or groups that were provided written notification and the date of the Native American Contact List being used.
- (D) Date the notification was sent.
- (E) Results of the information request, specifically addressing the results of information received from the NAHC, if those results have been received.

(4) Results of notification to Native Americans of the existence of a Native American archaeological or cultural site on the plan, if required, pursuant to 14 CCR § 929.1 [949.1, 969.1](b).

(5) A list of the research done prior to field survey. This list shall include literature reviewed and persons contacted in addition to the required archaeological records check with IC and Native Americans, and a summary of the results of this research.

(6) Information on the current or previous archaeological surveyor(s), which is not confidential. This shall include:

- (A) the name of the current archaeological surveyors and an indication of whether or not the person either meets the specifications of a professional archaeologist as defined in 14 CCR § 895.1 or meets the requirements specified in 14 CCR § 929.4 [949.4, 969.4].
- (B) the name of any previous archaeological surveyors, if known.

(7) Description of archaeological survey methods and procedures including survey strategy, time spent conducting archaeological field survey, the date or dates the survey was conducted, survey coverage intensity, and ground visibility or other limitations.

(8) A list and description of all archaeological or historical sites identified within the site survey area including information on the site(s) size, type, and condition. The designations used in this listing of sites found shall be consistently used throughout the CAA.

(9) An Archaeological Coverage Map or maps prepared in accordance with the specifications identified in the definition of an Archaeological Coverage Map in 14 CCR § 895.1.

(10) A preliminary determination of significance of identified archaeological and historical sites, if damaging effects from timber operations cannot be avoided. This determination shall be based upon the criteria for a significant archaeological or historical site listed in 14CCR § 895.1.

(11) Description of any specific enforceable protection measures to be implemented both within the site boundaries and within 100 feet of the site boundaries.

(12) Information concerning the proposed on-site meeting between the RPF or supervised designee

familiar with on-site conditions and the LTO to discuss protection of archaeological and historical resources, if required, pursuant to 14 CCR § 929.2 [949.2,969.2](b).

(13) Information concerning site recording requirements pursuant to 14 CCR § 929.1 [949.1, 969.1](d)and(g).

(14) Other applicable information, if any, concerning the archaeological survey for this project.

(15) List of attachments to the CAA.

**(d) Site Records**

Upon submission of a plan, the RPF or the RPF's supervised designee shall submit completed site records for each site proposed to be a significant archaeological or historical site in a manner consistent with the recording standards identified in the State Office of Historic Preservation's "Instructions For Recording Historical Resources" March, 1995, which is incorporated by reference.

**(e) Emergency Notice of 3 Acres or More**

(1) Prior to submitting an Emergency Notice of three acres or more, the RPF:

(A) Shall ensure that an archaeological field survey is, or has been previously conducted by a professional archaeologist or person with archaeological training (pursuant to 14CCR §929.4 [949.4, 969.4]) within the site survey area.

(2) Prior to submitting an Emergency Notice of three acres or more, the RPF or the RPF's supervised designee:

(A) Shall complete a current archaeological records check. This check may be conducted by telephone. If the IC is unable to provide the information within three business days following receipt of an RPF's request for an Emergency Notice records check, the records check requirement is waived.

(B) Shall submit a Confidential Archaeological Letter that includes the information required by 14 CCR § 929.1 [949.1, 969.1](c)(2),(7),(8),(9), (10) and (11), including site records, if required pursuant to 14 CCR § 929.1 [949.1, 969.1](g) and 929.5 [949.5,969.5].

(C) Shall send a copy of the Emergency Notice to Native Americans.

**(f) Emergency Notice of Less Than 3 Acres**

(1) Prior to submitting an Emergency Notice of less than three acres, the RPF or the RPF's supervised designee shall:

(A) Conduct an archaeological survey for said area to determine whether it contains any significant archaeological sites using the criteria for a significant archaeological or historical site defined in 14 CCR § 895.1.

(B) Send a copy of the Notice to Native Americans.

(2) An archaeological records check, Confidential Archaeological Addendum, or Confidential Archaeological Letter, is not required.

(3) No timber operations shall occur within the boundaries of any significant archaeological or historical sites as determined by the RPF or the RPF's supervised designee.

**(g) Submitting Archaeological Information to Information Centers**

Within 30 days following the Director's approval of a plan or acceptance of an Emergency Notice of three acres or larger, the Director shall send to the appropriate Information Center of the California Historical Resource Information System the following information provided by the RPF:

- (1) a complete Confidential Archaeological Addendum which includes all changes and additions required in the plan review process and which identifies the plan number, or, for Emergency Notices of three acres or larger, a Confidential Archaeological Letter.
- (2) two copies each of any completed archaeological or historical site records for:
  - (A) archaeological sites determined to be significant, or
  - (B) sites that a person elects to record, but for which no determination of significance has been made.

The records shall be completed by a person who satisfies the training requirements specified in 14 CCR §§ 929.4 [949.4,969.4], in a manner consistent with the recording standards identified in the State Office of Historic Preservation's "Instructions For Recording Historical Resources" March, 1995, which is incorporated by reference.

- (3) The RPF or supervised designee shall ensure that the site records are completed in the manner specified in subsection (2).

**Section 929.2 [949.2,969.2] Protection Measures for Plans and Emergency Notices 3 Acres and Larger**

- (a)(1) The RPF shall describe in the separate Confidential Archaeological Addendum or Letter, measures to be taken to mitigate or avoid substantial adverse change to any known significant archaeological or historical sites.
- (2) The RPF may propose, and the Director may agree to, site specific protection measures for any identified archaeological or historical site without evaluating the significance of the site. These proposed protection measures shall be designed to ensure protection of such archaeological and historical sites from damaging effects. Avoidance of activities which will cause damaging effects is a preferred protection measure.
- (b) The RPF or supervised designee familiar with on-site conditions shall meet with the LTO prior to the start of timber operations at each archaeological or historical site that is described in the plan or notice that requires avoidance or other protection measures and do the following:
  - (1) show the LTO the location, extent and boundaries of each archaeological or historical site requiring protection,
  - (2) discuss with the LTO the protection measures,
  - (3) apprise the LTO of the confidentiality requirements for any information concerning the physical location of archaeological or historical sites.
- (c) If the RPF or supervised designee is unable to perform the duties in 14 CCR § 929.2 [949.2, 969.2](b), the RPF shall:
  - (1) explain the reasons in the emergency notice, plan, or as a minor amendment to the plan,
  - (2)(A) meet with the plan submitter, timberland owner, or their authorized agent, and review in the field, the items described in 14 CCR § 929.2 [949.2, 969.2](b),
  - (B) if the plan submitter, timberland owner, or their authorized agent will not comply with the RPF's or RPF's supervised designee's request for a meeting, the RPF shall notify the Director.

- (3) except for an emergency notice, notify the plan submitter in writing that it is the plan submitter's responsibility to transfer the information in 14 CCR § 929.2 [949.2, 969.2](b) to the LTO per 1035(h),
- (4) notify the Director in writing.

(d) The LTO shall not conduct timber operations within the boundaries of any archaeological or historical site identified in the CAA unless such operations are described in the CAA and made part of the plan approved by the Director.

(e) In the event that the CAA authorizes limited timber operations within the boundaries of archaeological or historical sites identified in the plan, the LTO and the RPF, if so stated in the plan, shall be responsible for ensuring that specific protection measures and timber operations are conducted in the manner described in the CAA.

### **Section 929.3, [949.3, 969.3] Post-Review Site Discovery**

If a person discovers a potentially significant archaeological or historical site after a plan, Emergency Notice, or Exemption is accepted by the Director, the following procedures apply:

(a) The person who made the discovery shall immediately notify the Director, LTO, RPF, or timberland owner of record.

(b) The person first notified in (a) shall immediately notify the remaining parties in (a).

(c) No timber operations shall occur within 100 feet of the identified boundaries of the new site until the plan submitter proposes, and the Director agrees to, protection measures pursuant to 14CCR § 929.2 (949.2, 969.2).

(d) A minor deviation shall be filed to the plan. The minimum information provided shall include:

- (1) A statement that the information is confidential.
- (2) The mapped location of the site.
- (3) A description of the site.
- (4) Protection measures, and
- (5) Site records, if site records are required pursuant to 14 CCR §§ 929.1(g)(2)(b) and 929.5 [949.5, 969.5].

(e) Upon receipt the Director shall immediately provide the proposed minor deviation or portions of the minor deviation, to Native Americans when Native American archaeological or cultural sites are involved.

### **Section 929.4, [949.4, 969.4] Archaeological Training Requirements**

To meet the requirement of 14 CCR § 929.1 [949.1, 969.1] archaeological surveys of a plan or Emergency Notice areas for archaeological or historical sites shall be conducted only by a professional archaeologist or a person who has attended a training program approved by the Director within five years prior to submission of the plan or Emergency Notice. The training program must meet the following standards:

(a) The course shall use education materials approved by the Director which address the current

regulations and procedures for the identification, recordation, and protection of archaeological and historical resources during timber operations.

(b) The course may require that the applicant demonstrate, in the field, and in a final written examination, the ability to conduct a record search, perform field identification, complete an archaeological site record, and to identify appropriate mitigation and protection measures for archaeological or historical sites covered in the course.

(c) The Director shall issue a verification to all students that satisfactorily complete the training course.

(d) Following an individual's successful completion of an archaeological training course approved by the Director, he or she may enroll in a refresher training course, approved by the Director, to renew a 5-year archaeological training certification.

(e) The Director may conduct the archaeological training courses (in addition to or in-lieu of approving programs conducted by others) at least annually.

### **Section 929.5, [949.5, 969.5] Site Recording**

The Director shall ensure that all archaeological or historical sites determined to be significant and located within the site survey area on plans or Emergency Notices are recorded by the RPF or supervised designee in a manner consistent with the recording standards identified in the State Office of Historic Preservation's "Instructions For Recording Historical Resources" March, 1995, which is incorporated by reference.

### **Section 929.6, [949.6, 969.6] Protection of Sites During Timber Operations**

No person, except as otherwise permitted by law, who is involved in timber operations shall excavate, collect artifacts from, vandalize or loot archaeological or historical sites located within the THP, Emergency Notice, or Exemption boundary.

### **Section 929.7, [949.7, 969.7] Determination of Significance**

(a) A determination of significance shall be made for an identified archaeological or historical site within the site survey area on a THP or Emergency Notice by a person who satisfies the requirements specified in 14 CCR 929.4 [949.4, 969.4] if damaging effects from timber operations cannot be avoided.

(b) The determination of significance shall:

(1) Be based upon criteria defined for significant archaeological or historical sites in 14 CCR 895.1

(2) Utilize any information provided by Native Americans, archaeological, historical or ethnographic data pertinent to the region and to the cultural resource, and physical characteristics of the archaeological or historical site.

(c) If required by subsection (a), a preliminary determination of significance shall be made by the RPF or the RPF's supervised designee and provided in the Confidential Archaeological Addendum.

(d) Where the Director determines that timber operations may cause a substantial adverse change to a

significant archaeological or historical site and the RPF and the Director cannot agree upon protection measures, a professional archaeologist provided by the THP submitter shall make a survey and prepare a report on the potentially affected site or sites and the potential impacts of the proposed timber operations. The part of the report that relates to archaeological sites is confidential. This report, if it discusses impacts on Native American archaeological sites, shall be provided by the Director to Native Americans and the NAHC. This report shall contain recommendations for mitigation, the elimination of impacts, or for the reduction of impacts to avoid or prevent substantial adverse change to significant archaeological or historical resources. The report shall meet the standards of the Preservation Planning Bulletin, Number 4, December 1989 (Office of Historic Preservation), entitled Archaeological Resource Management Reports (ARMR): Recommended Contents and Format. The Director shall make the final determination of significance and substantial adverse change based on advice of a professional archaeologist.

### **Section 1035 Plan Submitter Responsibility**

The plan submitter, or successor in interest, shall:

(h) Disclose to the LTO, prior to the start of operations, through an on-the-ground meeting, the location and protection measures for any archaeological or historical sites requiring protection if the RPF has submitted written notification to the plan submitter that the plan submitter needs to provide the LTO with this information.

### **Section 1035.2 Interaction Between RPF and LTO.**

After the start of the plan preparation process but before commencement of operations, the responsible RPF or supervised designee familiar with on-site conditions, shall meet with either the LTO, or supervised designee, who will be on the ground and directly responsible for the harvesting operation. The meeting shall be on-site if requested by either the RPF or LTO. An on-site meeting is required between the RPF or supervised designee familiar with on-site conditions and LTO to discuss protection of any archaeological or historical sites requiring protection if any such sites exist within the site survey area pursuant to Section 929.2[949.2,969.2](b). If any amendment is incorporated to the plan by an RPF after the first meeting, that RPF or supervised designee familiar with on-site conditions shall comply with the intent of this section by explaining relevant changes to the LTO; if requested by either that RPF or LTO, another on-site meeting shall take place. The intent of any such meeting is to assure that the LTO:

- (a) Is advised of any sensitive on-site conditions requiring special care during operations.
- (b) Is advised regarding the intent and applicable provisions of the approved plan including amendments.

### **Section 1035.3 Licensed Timber Operator Responsibilities**

Each affected licensed Timber Operator shall:

(d) Keep a copy of the applicable approved plan and amendments available for reference at the site of active timber operations. The LTO is not required to possess any confidential addenda to the plan such as the Confidential Archaeological Addendum, nor is the LTO required to keep a copy of such confidential plan addenda at the site of active timber operations.

(f) In the event that the LTO executing the plan was not available to attend the on-site meeting to discuss archaeological site protection with the RPF or supervised designee familiar with on-site conditions pursuant to Section 929.2 [949.2,969.2] (b), it shall be the responsibility of the LTO executing the plan to

inquire with the plan submitter, timberland owner, or their authorized agent, RPF who wrote the plan, or the supervised designee familiar with on-site conditions, in order to determine if any mitigation measures or specific operating instructions are contained in the Confidential Archaeological Addendum or any other confidential addendum to the plan.

### **Section 1037.5 Review Teams to be Established**

Section 1037.5 Interdisciplinary review teams shall be established by the Director to review plans and assist the Director in the evaluation of proposed timber operations and their impacts on the environment.

(a) Review Team Composition: Each review team, when possible, shall consist of a representative from each of the following agencies: Regional Water Quality Control Board, Department of Fish and Game, a representative of county government when the county government so requests, Regional Coastal Commission (for plans in the coastal zone), California Tahoe Regional Planning Agency (for plans in the Tahoe Basin) and the Department of Forestry and Fire Protection. The Director shall request a representative from the Department of Parks and Recreation in the case of plans which may affect values in publicly owned parks. *The Director may request other federal, state or county agencies, or Native Americans as defined in 14 CCR 895.1, when appropriate, to assist as advisors in the review process.* The Department of Forestry and Fire Protection's representative shall be the review team Chairperson and shall be an RPF.

### **Section 1038 Exemption**

(b) Harvesting dead, dying or diseased trees

(10) No timber operations on any site that satisfies the criteria listed in 895.1 for a significant archaeological or historical site. Information on some of these sites may be available from the ICs of the California Historical Resources Information System within the Department of Parks and Recreation.

(f) On parcels of 20 acres or less in size within the Lake Tahoe Basin

(12) No timber operations on historical or archaeological sites. Information on some of these sites may be available from the ICs of the California Historical Resources Information System within the Department of Parks and Recreation.

### **Section 1051 Modified THP**

(a) On an ownership of 100 acres or less of timberland, a modified timber harvest plan may be filed by a plan submitter, providing that the following conditions and mitigations are met:

(12) No timber operations within potentially significant archaeological sites.

### **Section 1052 Emergency Notices.**

(a) The notice shall include, but not be limited to, the following:

(10) For Emergency Notices covering three acres or more in size, the RPF shall include a Confidential Archaeological Letter with the Emergency Notice submitted to the Director. The Confidential Archaeological Letter shall include all information required by 14 CCR § 929.1[949.1, 969.1](c)(2),(7),(8),(9), (10) and (11), including site records, if required pursuant to 14 CCR §§ 929.1 [949.1, 969.1] (g) and 929.5. The Director shall submit a complete copy of the Confidential

Archaeological Letter and two copies of any required archaeological or historical site records, to the appropriate Information Center of the California Historical Resource Information System within 30 days from the date of Emergency Notice submittal to the Director. Prior to submitting the emergency notice to the Director the RPF shall send a copy of the emergency notice to Native Americans as defined in 14 CCR § 895.1.

### **Section 1092.14 Licensed Timber Operator Responsibilities**

Each affected Licensed Timber Operator shall:

(f) In the event that the LTO executing the plan was not available to attend the on-site meeting to discuss archaeological site protection with the RPF or supervised designee familiar with on-site conditions pursuant to Section 929.2 [949.2, 969.2] (b), it shall be the responsibility of the LTO executing the plan to inquire with the plan submitter, timberland owner, or their authorized agent, RPF who wrote the plan, or the supervised designee familiar with on-site conditions, in order to determine if any mitigation measures or specific operating instructions are contained in the Confidential archaeological Addendum or any other confidential addendum to the plan.

### **Section 1104.1(a)(3) Conversion Exemptions**

(3) A neighborhood notification of conversion exemption timber operations shall be posted on the ownership visible to the public by the registered professional forester, at least 5 days prior to the postmark date of submission of the notice of Conversion Exemption Timber Operations to the Director. The date of posting shall be shown on the neighborhood notice. In addition, immediately prior to the submission of the exemption to the Director, ***the landowner shall mail a letter to*** adjacent landowners within 300 feet of the boundaries of the exemption, and to ***Native Americans, as defined in 895.1 notifying them of the intent to harvest timber.***

## APPENDIX V

### INSTRUCTIONS FOR COMPLETING CDF'S CAA REPORT FORM

by:

CDF Archaeology Program Staff

Revised February 10, 2003

### General Information Concerning the Form

**Statement of Purpose:** This document was prepared by the California Department of Forestry and Fire Protection (CDF) to provide direction to Registered Professional Foresters (RPFs), Professional Archaeologists, and other Resource Professionals in the task of completing CDF's Confidential Archaeological Addendum (CAA) Report Form. It is provided in this MOU as Appendix V to inform the parties of CDF's guidance for the preparation of archaeological survey reports supporting THPs.

The CAA is an archaeological survey report that may be used to document an archaeological and historical resource survey and impact assessment for a Timber Harvesting Plan (THP) Nonindustrial Timberland Management Plan (NTMP), Program Timber Harvesting Plan (PTHP), Emergency Notice (EM), Modified Timber Harvesting Plan (MTHP), or other commercial timber operation on privately-owned or other nonfederal lands within California pursuant to California's Forest Practice Regulations [14 CCR Sections 895.1, 929, 949, 969, 1035, 1037.5, 1038(b)(10), 1051(a)(12), 1052(a), 1092.14(f), and 1104(a)(3)].

The purpose of the CAA is to demonstrate conformance with applicable Forest Practice Rules. It also serves as a confidential technical addendum to the plan listing all identified archaeological and/or historical sites and how they will be protected. This information is reviewed by CDF but not made available to the general public in order to prevent disclosure of sensitive resource locations to unauthorized individuals. The completed CAA also functions as a professional archaeological survey report that is reviewed by CDF for completeness, accuracy, and professional adequacy. Once approved by CDF the completed CAA is forwarded to the appropriate Information Center of the California Historical Resources Information System for permanent retention so that this information can be added to the state's database of cultural resources and benefit future management or research on the property.

The CAA documents the archaeological survey and impact assessment work conducted during the preparation of a plan. RPFs are required to conduct a current archaeological records check, consult with Native Americans, ensure that research is conducted prior to the field survey, and provide a Professional Archaeologist or a person who has satisfactorily completed a CDF Archaeological Training Course within the past five years prior to submission of the project to CDF to conduct a field survey for archaeological and historical sites within the site survey area. The site survey area includes the entire logging area and those portions of appurtenant roads where timber operations that could affect an archaeological or historical site will take place. The RPF is also responsible for recording identified archaeological or historical sites in accordance with professional standards. This includes all sites determined to be significant as well as those for which no determination of significance has been made but which the RPF chooses to record. The RPF is required to develop specific enforceable protection measures to be implemented both within the site boundaries as well as within 100 feet of the site boundaries, and, prior to the start of timber operations, meet with the LTO at each archaeological site requiring avoidance or other forms of protection to discuss the specific actions the LTO must take to

ensure protection of the sites. All of this information is contained in the CAA.

**General Instructions Concerning the Use of the CAA Report Form:** CDF first created the CAA form in 1991 and has revised it several times. The current version of the CAA report form was created in December 2002 to accommodate recent revisions to Forest Practice Rules that became effective on January 1, 2003. RPFs are encouraged to discontinue use of older versions of the CAA form. We recommend RPFs delete these older files from their computers and replace them with the most current version provided by CDF, available in Microsoft Word format from the CDF Archaeology Program Web Site at <http://www.indiana.edu/~e472/cdf/forms/forms.html> or through written request by email to any of CDF's staff archaeologists. From 1991 through 2002 the CAA form was incorporated into the Forest Practice Rules and RPFs were required to use that specific form. This is no longer required. Although the current Forest Practice Rules contain a definition for a CAA (see Section 895.1) and a detailed list of required items of information that must be included in it (see Section 929.1(c)), RPFs are not specifically required to use the CAA form provided by CDF. We encourage the use of this report form to help RPFs ensure that all required information is included and to enable CDF staff to quickly locate and review the required information during review of the plan. RPFs are also encouraged to make modifications to the report form to customize features and improve the professional presentation of the report.

**Recent Revisions to the CAA Report Form:** The CAA report form was revised recently in order to take into account a set of rule revisions adopted by the State Board of Forestry and Fire Protection on October 3, 2002 that became effective on January 1, 2003. For example, there are new rules pertaining to Native American consultation. Under the new Rules, second written notice must be sent to appropriate Native American tribal groups and individuals if a Native American archaeological or cultural site is identified within the site survey area of a plan. Part 3 of the CAA now guides the RPF to include the results of the first mailing to Native Americans required for all plans (called "Information Request" on the CAA form), and the second mailing, if required (called "Notification to Native Americans"). Inclusion of the date of the Native American Contact List being used by the RPF is another new requirement. These and other rule changes are reflected in the new CAA report form. The revisions were motivated by an additional objective – to encourage RPFs to produce a more complete, professional report that looks more like a survey report and less like a completed form. For this reason all of the prompter information has been removed and the relevant guidance it contained is now included within this set of instructions.

### **Suggestions for the Required Tasks Before Starting the CAA Report Form**

**Archaeological Records Checks:** RPFs submit a records check request to the appropriate Information Center (IC). This request shall include the legal description of the project as well as a photocopied portion of a USGS 7.5' quadrangle with the project area outlined. The CDF Archaeologist reviewing the CAA will compare the map used to initiate the records check to the THP map contained in the plan to verify that the entire project area has been covered by the records check. Additional records search costs and delays could result if the records check does not include the entire project area. In such situations the plan will probably be returned and the submitter then be required to conduct an additional check for the new area.

**Written Notification and Information Requests to Native Americans:** CDF recommends this step be completed early in the process of developing a plan (such as the same time as the archaeological records check) in order to avoid delays, allow time for Native American groups and/or individuals to respond, and create the opportunity for the RPF to document the results of any consultation that may follow receipt of

the notification letters. Use the most current version of the CDF Native American Contact List (NACL) available at the time of THP preparation. As of January 2003, the NACL will no longer be mailed to RPFs every January as in past years. The current list can be obtained from the CDF Archaeology Program Web Site at <http://www.indiana.edu/~e472/cdf/contacts/>. The list is also available by submitting an email or written request to CDF Archaeology Program Manager Dan Foster at [dan.foster@fire.ca.gov](mailto:dan.foster@fire.ca.gov). The list is updated monthly and the current list is usually posted during the first week of each month.

The Notification Letter must include the following items: (A) request information concerning their knowledge of archaeological or historical sites within the THP boundaries, (B) provide a description of the plan location including the county, section, township, range, base and meridian, and the approximate direction and distance from the nearest community or well-known landmark, (C) provide two maps--a general location map such as a Thomas Brothers Map that shows the travel route from the nearest community or well known landmark to the plan area and a copy of the relevant portion of the USGS topographic quadrangle map clearly depicting the location of the plan boundary as well as a map legend and scale, (D) provide a statement that all replies, comments, questions or other information should be directed to the RPF and provide the RPF's name, address, and telephone number, (E) indicate that the RPF is requesting a response within ten days from the date of the notice so the information can be incorporated into the plan when initially submitted to the Director, (F) provide the estimated date the plan will be submitted to Director, (G) include the following statement: "The earliest possible date the Director may approve the plan is 16 calendar days after it is submitted to Director, although typically, the plan is reviewed for at least 45 calendar days following plan submittal before the Director approves the plan," (H) include a statement that the Native American groups and/or individuals may participate in the plan review process by submitting written comments to the Director before close of public comment period and provide the address and telephone number of the appropriate CDF Forest Practice Office, (I) provide a statement that locations of sites disclosed will be kept confidential, (J) lastly, provide a statement that a Confidential Archaeological Addendum (CAA) will be prepared for the plan and a copy of pertinent information contained within the CAA may, at the discretion of the Director, be obtained from the Director. Sample Native American notification letters are also posted on the CDF Archaeology Program Web Site at <http://www.indiana.edu/~e472/cdf/contacts/>.

**Prefield Research:** RPFs are required to ensure that adequate and appropriate prefield research is conducted prior to the field survey and information concerning this research is a required component of the CAA. The purpose of this research is to get prepared to conduct the survey, become familiar with the types of resources likely to be encountered within the project area, and to be ready to interpret, record, and evaluate these findings within the context of local history and prehistory. The investigator should review records, study maps, read pertinent ethnographic, archaeological, and historical literature specific to the area being studied, and conduct other tasks to maximize the effectiveness of the survey. The *Handbook of the Indians of California* (Kroeber 1925) and the *Handbook of North American Indians - Volume 8 - California* (Smithsonian Institution 1978) are two primary ethnographic sources. At least one of these should be reviewed to determine which tribal group or groups occupied the area containing the proposed project and to review information about those tribal groups that would benefit an archaeological survey. In Part 4 of the CAA list the references used. Another excellent source that should be checked every time is the General Land Office (GLO) plat maps for the township containing the project. Most GLO plat maps date from the 1850s to the 1870s although some are as late as 1900. The GLO surveyors often mapped homesteads, cabins, orchards, roads, trails, fencelines, mining areas, etc. that were observed during their survey. If any such features are depicted on the map within what is now the project area, a careful search should

be made for surviving remnants of them or of unmapped associated features or artifacts. GLO plat maps can be an excellent source for dating historic features discovered on your archaeological survey. The GLO surveyor's notes usually accompany the plats and review of these is sometimes useful as well. GLO plat maps and records may be obtained through the mail or in-person at the Bureau of Land Management Office of Survey Records in Sacramento. It is prudent to call first: (916) 978-4330. There is a fee per copy (24" X 36"). GLO plat maps are also kept on file at many of the ICs. The ICs can usually provide a copy of a relevant portion of a GLO plat map as part of a Complete Records Check. Old topographic maps, if available, should be examined for the locations of old houses, roads and other features that may have been displayed on these early maps but not on current USGS topographic quadrangle maps. Consulting a series of aerial photographs taken over a period of time can help date historic structures and aid in the assessment of the types of previous land-use practices and prior ground disturbances. Persons contacted should include individuals belonging to any local historical society, agency archaeologists, landowners, ranchers, neighbors, and/or other knowledgeable individuals that may have lived or worked in the area being studied. Prefield research should also include a review of archaeological reports (either survey reports or excavation reports) and/or site records for the local area. This review will provide specific examples of the kinds of cultural resources that have been previously discovered in the general area, a discussion of archaeological, historical, and ethnographic information pertaining to the area being studied, and examples of typical artifact assemblages. Look for site location patterning and the types of artifacts or features being recorded. Many RPFs simply list the Reference Manual and Study Guide for the CDF-CLFA Archaeological Training Program For Registered Professional Foresters And Other Resource Professionals (Manual) as a reference that was checked as part of prefield research. It is preferable to instead specify which references in the Manual were reviewed.

**Archaeological Survey of the Project:** An archaeological survey must be conducted within the entire site survey area (as defined in 14 CCR 895.1) for the project. The methods and techniques employed to achieve adequate coverage will vary based upon a variety of factors. These include the physical characteristics of the property, especially topographic and other environmental attributes, and other information gathered during the records check, in response to the Native American information request, and/or other prefield research, as well as the results of archaeological inventories in areas with a similar cultural and natural setting. There are four different levels of archaeological survey coverage intensity: complete, general, intuitive, and cursory. These are described below:

- **Complete** A complete reconnaissance is one in which archaeologically-trained individuals systematically traverse the area at 10 meter intervals or less, looking carefully for all evidence of prior human activity. Team members usually walk abreast. All archaeological phenomena in a given area may not be visible or as easily definable at the same time: different seasons, varying light conditions, differential erosion, and deadfall cover will obscure the investigator's vision or reveal certain remains at different times. Nevertheless, most features should be observable to a trained surveyor walking over the entire area under investigation in a complete manner. Coverage shall be sufficient to allow the investigator to encounter the smallest of the archaeological sites likely to occur in the area under study. Spacing must be narrow enough and ground cover must be modified (if it is an observational problem) to the extent that will allow the investigator to locate the sites. If needed, ground cover modifications (e.g., systematic removal of duff) shall be used to allow inspection of mineral soil for evidence of human activity. During a complete reconnaissance areas will be encountered that could contain archaeological remains (such as prominent rock outcroppings, benches, suspicious-looking features, possible artifacts, etc.). These

areas/features/possible artifacts should be intensively examined to determine if archaeological remains are present before transect coverage is resumed.

- **General** A general reconnaissance is one in which an attempt is made to systematically cover an area as in a complete reconnaissance but with wider transect intervals. This might be due to steepness of slope, absence of water, or because of other physical conditions or observational constraints (e.g., deadfall, brush, steep slopes). Transect spacing may be increased to 30 meters where large areas are covered by thick duff.
- **Intuitive** Detailed inspection is given only to specific localities that exhibit previously identified characteristics that may be associated with the location of archaeological properties. Coverage is usually accomplished by traverses 30-50 meters apart. For example, if the reconnaissance is within a steep timberland and controlled studies show that remains of historic activities are not expected for the area and prehistoric sites occur only on benches and near springs, the investigator might then be justified in covering the area in a manner sufficient to locate those natural phenomena that have potential for association with the location of archaeological sites. Detailed inspection is reserved for those areas identified as archaeologically sensitive. Localities within low potential areas that shall receive detailed inspection in this study include springs, seeps, and low rises in flat plains.
- **Cursory** A cursory reconnaissance is one in which the inspector gives the areas a quick field inspection rather than intensive coverage. Sometimes these areas can be examined by walking briefly through and checking likely or probable spots close to the line of travel. Such methods should be employed along with visual aids (e.g., aerial photographs) to ensure that specific localities that exhibit characteristics that may be associated with archaeological site locations are not overlooked. The environmental factors that should be scanned for have been mentioned above.

### Suggestions for Completing the CAA Form

**Title Block and Signature:** The title block must contain the plan name, county, author's name, author's affiliation, address, and phone number. Provide the date the report was written and have the RPF or archaeological surveyor sign the title page. The following is a typical example of how the title block should appear:

An Archaeological Survey Report for the  
Cold Stream Timber Harvesting Plan  
Shasta County, California

by:

Frank Fieldworker  
District Forester, RPF #0001  
Lumber Producing Industries  
1234 Mill Street  
Woodville, CA 90000  
(123) 456-7890

January 23, 2003

Signature of Frank Fieldworker

Feel free to use the acronym THP if the project name is lengthy or replace the words Timber Harvesting Plan with Nonindustrial Timber Management Plan, Program Timber Harvesting Plan, or Emergency Notice if the survey report is supporting one of those types of timber operations rather than a conventional THP. If the RPF is the author of the CAA and the archaeological surveyor, then their affiliation/title, mailing address, and telephone number need not be repeated in Part 1 and Part 5 of the CAA.

**Part 1: Project Information:** Provide the THP number if you know it. In most instances because the THP number will not be known at the time of submittal this space should be left blank. If you are asked to revise the CAA form during review of the plan you might have an opportunity to include the THP number on the revised report when resubmitted to CDF. If not, CDF will apply the THP number to the report after plan approval. It is important that the THP number is included on the final version of the CAA, which will be forwarded by CDF to the appropriate IC for permanent retention. List the name of the RPF preparing the plan and provide the RPF's License Number. If the RPF is not the author of the CAA and is not listed as one of the archaeological surveyors in Part 5, please also provide the RPF's affiliation, address, and phone number here in Part 1. If the RPF's affiliation, address, and phone number are already provided in either the author's information above Part 1 or in Part 5, it need not be repeated here. Provide the name of the 7.5 minute topographic quadrangle map, the name of the landowner, and the legal location. Make sure the legal location and project size match the Notice of Intent (NOI), where an NOI is required. Provide a brief project description and be sure to include a discussion of all ground disturbing activities.

**Part 2: Archaeological Records Check Information:** A current archaeological records check conducted at the appropriate Information Center of the California Historical Resource Information System must have been conducted for this project area. A copy of the completed records check request, maps, and reply (including mapped information) from the Information Center (IC) must be included as an attachment to this report, or a justification provided as to why that is not possible. If a copy of written records check response letter from the IC cannot be attached, you are required to provide a justification, the date of the records check, the IC File Number, and a summary of the results discussing whether or not archaeological or historical sites are known or suspected to exist within the site survey area, and whether or not the site survey area has a previous archaeological investigation on record. Most RPFs will attach the records search information.

Check the appropriate box to indicate whether or not the records check information is attached to the CAA. Although not required by the Rules, CDF recommends you also complete the summary information in addition to attaching the correspondence. This allows more efficient review by CDF. It is helpful if you include the date of the records check reply so CDF can confirm it meets the definition of a "current" archaeological records check (5 years), the IC File Number (a number that will appear on the reply from the IC), and a summary of the records check results. This summary should indicate whether any sites are recorded or suspected to occur within the project area and whether or not the area has previously received archaeological survey coverage.

The reason the Rules allow for the possibility that the records check information will not be attached is to accommodate those situations where the RPF did not have sufficient time to complete the check in the standard manner. The ICs may be able to perform a "rapid response" to a request (with significant increased cost) with a faxed map and a reply over the telephone---although not all of the ICs provide that particular service. Other examples include those situations where a company is utilizing an

ownership-wide database. In that situation, you must attach the letter from the IC indicating the date your database was last updated and copies of any relevant portions of reports, tables, or maps applicable to the project area.

CDF has developed detailed instructions for conducting archaeological records checks for CDF Projects. These instructions, called *Records Check Request Instructions* (dated January 28, 2003) are available at <http://www.indiana.edu/~e472/cdf/checks/instructions.html>

**Part 3: Native American Consultation Information:** The first half of this section must be completed for all plans. It documents the first notice and information request sent to Native Americans. The second half, beginning with the phrase “Date Notification Letters were sent to Native Americans (if applicable)” must be completed only in those instances where a Native American archaeological or cultural site was confirmed to exist within the site survey area for the project. In the first part, provide an example of an information request letter that was sent, including the maps. The information provided in this letter and map(s) will be compared to the Notice of Intent, or project map, to ensure the entire project area was covered. RPFs must also make sure the information request letters include all of the information and statements required in 14 CCR 929.1(a)(2). Two downloadable sample letters useful as templates for letters sent to Native Americans are available on the CDF Archaeology Program Web Site at <http://www.indiana.edu/~e472/cdf/contacts/>.

List all of the Native American contacts that you provided written notification about the proposed project, the date of the CDF Native American Contact List that you used to determine the appropriate tribal contacts, and the date your letters were sent. Check the appropriate box pertaining to the results of this request and check the appropriate box pertaining to the presence or absence of Native American archaeological or cultural sites identified within the site survey area for the plan as well. If you check “No” (that such sites have not been identified), then you may delete the remaining portions of the form in this section or leave them blank. We recommend that you delete them. Be aware, however, that sites are sometimes discovered during the PHI and this section may need to be revised if the information in the first draft of the report is no longer accurate. CDF suggests you wait until immediately after the PHI before sending the Notification letters pursuant to Section 929.1(b). The problem with sending the Notification Letter earlier is that additional sites could be discovered during the PHI and the noticing requirement would need to be repeated with addition of the correct information. After the PHI RPFs usually will have a better idea as to the protection measures that CDF will support. We also suggest that the RPF sends the letters immediately after the PHI to avoid delays in THP approval since a minimum of 15 days from the date of the Notification Letter prior to the close of public comment period must be provided. A sample letter of this type is also available on the CDF Archaeology Program Web Site at the above-listed address.

This letter must, at a minimum, include:

- the name, address, and telephone number of the RPF preparing the plan,
- the name, number, or other designator of the plan,
- a list of all known Native American archaeological or cultural sites located within the site survey area, including a name, number or other designator, and a brief description of each site,
- a brief discussion of how each site shall be protected,
- the address and phone number of the appropriate CDF Office (where Second Review is held), as well as a statement that written comments may be submitted to the Director for consideration prior to the close of public comment, and
- the estimated earliest date the Director may approve the plan.

There may be times, such as when working on a plan that has been logged in the recent past, where you know the location of the Native American archaeological or cultural sites and past protection measures prior to starting your project. You have the option of combining the two letters into one if you make sure that you include all information required for both letters. If there are any changes to the plan, such as the discovery of new (i.e., previously unrecorded) archaeological sites during the PHI, or changes to the protection measures, you would then have to send an additional Notification Letter to the Native American groups and individuals previously contacted.

**Part 4: Prefield Research:** The prefield research will help you determine where you are going to intensify your survey and what you will be looking for. Suggestions on conducting prefield research were provided on page 3 of this document and will not be repeated here. Be sure to list the literature that was reviewed and the persons contacted during the required prefield research, and most importantly, provide a summary of the results of this research as it relates to this project. The following response is a quote from a CAA that is not acceptable: “Prefield research resulted in no additional information to what was already known or provided in the records check.” The summary of survey results needs to include a discussion of the history of the area. Indicate which tribal group lived in the area and the nature of their settlement patterns. How may they have used the project area? Describe the historic settlement in the area. Describe the sites known in the area and the type of sites that are expected to be found in the area.

**Part 5: Training and Experience of Archaeological Surveyors:** Provide information concerning the training and qualifications of the person or persons who conducted the archaeological survey to demonstrate that the surveyors meet the qualification standards described in Section 929.4. List the name of the current archaeological surveyor. Provide that person’s affiliation, address, and phone number if this information is not already included in the title block or in Part 1 of the CAA. If the archaeological survey was conducted by a person with current CDF Archaeological Training, provide the most recently completed training course number and the date the training course was completed. The training must be current (within five years) during the conduct of the survey as well as at the time of plan submission. If the current surveyor is a Professional Archaeologist check the appropriate box. If, according to the IC response, the project area or part of the project area had been previously surveyed, list the surveyor’s name. Sometimes RPFs know of previous archaeological surveys (on, for example, large company land ownerships) that are not displayed on the IC base maps and, therefore, do not show up in the IC response letter. The names of such surveyors should be listed as well. No additional information about previous surveyors is required.

**Part 6: Survey Methods and Procedures:** The information you provide in this section is intended to describe the effort made to search for cultural resources within the project area, and to demonstrate that an adequate and appropriate effort was made. In describing the survey strategy explain the archaeological survey methods that were used. Develop your survey strategy by incorporating recommendations made by the IC and by using results of your prefield research. Your strategy may be influenced by additional considerations such as topography and/or other physical attributes of the property. Provide information addressing where you looked, what methods were employed, and what you were looking for. For example, CDF recommends that you not state that you were searching for bedrock mortars in Humboldt County, since to date no bedrock mortars have been identified there and, therefore, it is believed that bedrock mortars do not occur there. On the other hand, if your survey was within the Sierra Nevada region it would be quite appropriate for you to indicate that you were searching all likely rock

outcrops for bedrock milling features. In other words, demonstrate that you know what you should have been looking for and that you employed a survey strategy that was appropriate for the area or region in which the property is located. CDF has produced a few articles designed to assist RPFs in developing appropriate strategies and these are available on CDF Archaeology Program Web Site and in the *Reference Manual and Study Guide for the CDF Archaeological Training Program*.

Discuss the length of time spent conducting the archaeological survey. If you indicate that only one or two days was spent on the archaeological survey for a 500 acre THP the CDF Archaeologist reviewing the plan would likely question the adequacy of your survey effort. Also provide the date or dates of your survey. It is important that you survey during good weather and at a time when you have the best ground visibility.

Discuss the survey coverage intensity. If you applied systematic survey coverage, describe your transect intervals. For surveys on smaller parcels, it is perfectly acceptable to describe a survey coverage intensity that results from looking for archaeological sites while you were cruising, marking, flagging, laying-out roads, and conducting other plan preparation activities. Coverage with adequate intensity can be accomplished with these techniques, but be sure to accurately describe how well the ground was covered. For large plans, it is better to apply different forms of systematic coverage. A lengthy discussion of systematic survey coverage is provided in this document. Discuss ground visibility and/or other limitations you encountered during the survey. If heavy duff or grass cover inhibited ground visibility and you used surface scrapes to improve your ability to see the soil, or if you observed exposed soils in road cut banks or creek banks, mention this. If portions of the project area were not included in the site survey area, be sure to explain why (i.e., the terrain was too steep, it was vegetated with abundant poison oak). Also include any other relevant information concerning your survey such as relevant details about the history of the area, any sites from a previous study, facts about previous logging history, etc.

If recorded archaeological or historical sites were identified during the archaeological records check as occurring within or adjacent to your project area, then you should attempt to relocate each site during the survey. For recorded sites adjacent to your plan area it would be helpful to relocate those sites and then determine if they extend into your project area. Be sure you have permission to enter any adjacent lands (trespassing is not recommended).

Once archaeological and/or historical sites are found you will need to determine their boundaries so they can be mapped, recorded, and protected. If flagging is to be used, we recommend printed flagging that contains the words "Special Treatment Zone."

**Part 7: Survey Results:** List and briefly describe all archaeological or historical sites identified within the site survey area, including their size, type, and condition, regardless of their significance. Display the specific location of all identified archaeological or historical sites on the attached Archaeological Coverage Map or Maps. The designations used for the sites on these maps must correspond to the designations for each of these sites in Parts 7, 8, and 9 of the CAA. This list and description must include previously recorded sites in addition to the new ones you discovered. If the Records Check shows sites that you were not able to relocate, discuss this in your survey results. Here is an example of a good site list with brief, but adequate site descriptions:

- Site #1. This is a previously recorded site, assigned the trinomial of CA-MEN-1806/H, recorded by Mark Gary in 1992. It is a multi-component site with both prehistoric and historic components. The majority of the site area contains a rich midden deposit with three possible housepits and a cupule

boulder--evidence suggesting that this was a major prehistoric village site. The site appears to be in excellent condition. Artifacts observed on the surface include a rich scatter of chert and obsidian flakes and three projectile points. The historic element is the ruins of a one-room log cabin built with wire nails in circa 1920. The site measures about 250 m. X 100 m. in area.

- Site #2. I discovered this site during the survey and named it the Bear Creek Site. It is a prehistoric lithic scatter of moderate density (about 5 flakes per square meter). Chert and obsidian flakes were found but no midden, features, or flaked tools. The site measures about 50 m. X 30 m. and appears to have been disturbed by previous logging operations.
- Site #3. Another site I discovered, named the Callie Homestead, is an historic homestead with a cabin, corral and fruit trees and scattered historic artifacts including cans and bottle fragments. The site area measures about 200 ft. X 150 ft. The cabin and trees are in good condition but the corral is in ruins. Only about 10% of it has survived.
- Site #4. Another site I discovered, this one named the Bear Creek Can Scatter, is a can scatter measuring 15 X 15 feet. It contains mostly beer cans and food tins and, based on the types of cans, appears to date to circa 1950. As a scatter, there is no depth to this site, which is in poor condition since the cans are extremely rusty and markings are not legible.
- Site #5. This is the location of another recorded site, CA-MEN-1807, recorded by Jim Mismap in 1973 as a small sparse lithic scatter. I did not relocate the site during my survey. The recorded location provided by the IC is included on the attached Archaeological Coverage Map, but no site was observed at that location.

In the above example, all five site locations should be mapped on the Archaeological Coverage Map or Maps attached to the CAA report, and these plotted locations should be designated Sites 1 through 5. Although site descriptions in the CAA should be kept brief, the same information can be copied and pasted/inserted into the site record, but the level of detail should then be expanded to be as detailed as possible.

**Part 8: Evaluation of Site Significance:** Most RPFs leave this section blank, even when sites are identified in the CAA. The Rules only require the RPF to provide a preliminary determination of significance of identified archaeological and historical sites if damaging effects from timber operations cannot be avoided. If the RPF does provide an initial assessment of site significance, the analysis must utilize the significance criteria in the definition for a *significant archaeological or historical* site found in Section 895.1 of the Rules. The significance assessment must also utilize any information provided by Native Americans and provide a context statement pertaining to archaeological, historical and ethnographic data pertinent to the region. It should also consider the physical characteristics of the archaeological or historical site. If the RPF is protecting the site from adverse effect and has recorded the site, then this section does not need to be completed. Instead, simply provide a statement that since the site will be protected and recorded, significance information is not required.

However, be aware that CDF will require the RPF to provide extensive support backing a statement that the site is not significant. Almost every prehistoric archaeological site has potential to meet significance criterion (a) (information potential), and it may be more difficult and costly to demonstrate lack of significance, particularly if subsurface testing is needed. When RPFs encounter

situations where damaging effects to sites cannot be avoided, a detailed discussion of site significance must be included in this section. Brief arguments dismissing site significance without adequate support are unlikely to result in CDF approval. If you determine that an archaeological site is not significant under the Rules, but the CDF Archaeologist disagrees, the RPF has the following options:

- Develop protection measures that will avoid damaging effects and record the site. Make changes to the discussion of significance as recommended by the CDF Archaeologist.
- Hire a Professional Archaeologist to study the site and prepare a written report pursuant to 14CCR 929.7 [949.7, 969.7]. CDF will then make the final determination of significance based upon the results of that study report.
- Exclude the site area from the THP.
- If the RPF does not agree to any of the first three options and refuses to change the plan, CDF may deny the plan. In that situation the RPF may appeal CDF's decision to the State Board of Forestry and Fire Protection.

**Part 9: Protection Measures:** You will need to list the specific enforceable protection measures to be implemented for each identified site. The sites should be listed using the same site designations in Part 7, with the specific protection measures included for each listed site. Describe measures designed to ensure protection within the site boundary and within 100 feet of the site boundary. Complete avoidance is the preferred treatment both within the site boundary and within the 100 foot buffer zone mentioned in the Rules. When the RPF proposes complete avoidance within the site but careful logging within the 100 foot zone surrounding it, specific measures to ensure the protection of such sites will be required. CDF recommends RPF supervision in those instances to provide greater assurance that marked trees will be felled the correct way and the site will not be harmed. If complete protection is not possible or is impractical, the RPF will need to develop a detailed plan involving limited timber operations and specific, enforceable protection measures. This plan will then be carefully reviewed by a CDF Archaeologist and key elements of that protection plan included in the second written Notice to Native Americans, if the site is a Native American resource. If limited timber operations are proposed within site boundaries, then the detailed plan must be written to avoid significant adverse impacts to that site.

If CDF determines that the proposed timber operations may cause a substantial adverse change to a significant archaeological or historical site and the RPF and the Director cannot agree upon protection measures, a Professional Archaeologist provided by the THP submitter shall conduct a study and prepare a report on the potentially affected site or sites and the potential impacts of the proposed timber operations. This report shall, at a minimum, contain recommendations for mitigation, the elimination of impacts, or for the reduction of impacts to avoid or prevent substantial adverse change to significant archaeological or historical sites, and shall meet the standards of Preservation Planning Bulletin Number 4 December 1989, Office of Historic Preservation), entitled Archaeological Resource Management Reports (ARMR): Recommended Contents and Format. The Director shall make the final determination of significance and substantial adverse change based on advice of a Professional Archaeologist, in accordance with 14 CCR 929.7, 949.7, and 969.7. Enforceable protection measures within 100 feet of the site may include one or more of the following protection measures: avoidance, felling trees away from the site, and/or an equipment exclusion zone (EEZ). Detailed information on site impacts and appropriate protection measures is available in the *Reference Manual and Study Guide for the CDF Archaeological Training Program*.

**Part 10: Meeting with the LTO:** The RPF or supervised designee familiar with on-site conditions must meet with the LTO prior to the start of timber operations at each site requiring avoidance or

protection. The LTO must be shown the location, extent, and boundaries of each site requiring avoidance or protection, and the specific protection measures and confidentiality requirements shall be discussed. To complete this section of the CAA, indicate how this meeting has been or will be handled. Check the appropriate box describing whether the meeting has taken place. If the meeting between the RPF or supervised designee is conducted prior to completing the CAA, provide information such as the names of the parties meeting at each site, what information was discussed, and what, if any, part of the CAA was provided to the LTO.

**Part 11: Site Recording:** The RPF is responsible for providing CDF with site records completed in accordance with currently acceptable professional standards for each archaeological or historical site determined to be significant and those sites that the RPF elects to record but for which no determination of significance has been made. If the RPF chooses to not record sites identified with the site survey area, then the plan must contain a detailed analysis supporting a preliminary determination that the site lacks significance. Check the appropriate boxes in Part 11 and list the sites that were recorded. If the RPF chooses to complete the CAA with a preliminary finding of lack of significance, CDF recommends that you provide a brief statement in Part 11 justifying as to why the site will not be recorded (such as the RPF's preliminary finding that the site is not significant, as discussed in Part 8). The required detailed analysis supporting that finding should be included in Part 8, not Part 11.

CDF offers the following additional suggestions concerning site recording:

- Site records must be included with the CAA at the time the THP is submitted to CDF. The Rules that became effective January 1, 2003 no longer give the RPF the option of submitting them any time prior to THP approval; if properly completed site records are not included with the CAA at submittal, the plan will be returned.
- If the site was previously recorded you may need to update the site record by re-recording it, particularly if the existing record does not meet current standards or if new information pertaining to the site was found.
- When determining the appropriate level of recording needed for each site, the following general guidelines can be used; bear in mind that some sites may need additional recordation above these suggested levels. Small, recent, or ubiquitous sites such as historic can dumps, minor ditch segments, etc. may qualify for recording with the minimum acceptable standard, which is a 2-page record including a completed Primary Record and Location Map. Small prehistoric sites (such as sparse lithic scatters) which are to be completely avoided can also be recorded with a Primary Record and Location Map, although CDF recommends the inclusion of a Site Map to ensure the site can be relocated in the future. Larger, more complex sites should be recorded using at least a 4-page record consisting of a Primary Record, Archaeological Site Record, Site Map, and Location Map. In general, all but the very simplest resources should be recorded with a Primary Record, Location Map, and an appropriate detailed recording form or forms (e.g., Archaeological Site Record, Linear Feature Record, Milling Station Record, Rock Art Record). Any significant site that will not be completely avoided must be recorded to the 4-page standard (Primary Record, Archaeological Site Record, Site Map, and Location Map) and CDF may require operational details mapped on the Site Map such as specific trees to be felled, direction of felling, and location of skid trails to be used. Sites containing diagnostic artifacts should include scale drawings of the artifacts and/or photographs.
- RPFs are encouraged to review two important references related to site recording available on our web pages at <http://www.indiana.edu/~e472/cdf/suggest/index.html> These are *Suggestions for Preparing*

*Archaeological Site Records and Site Maps* (Betts 2001) and *Instructions for Recording Historical Resources* (OHP 1995).

**Part 12: Other Applicable Information:** This section is intended to be used if the author wishes to provide any other applicable information that did not fit well in the previous sections of the report. In past years we have seen RPFs discuss logging history, landownership information, future development and/or resources found outside the site survey area.

**Part 13: Attachments:** The following attachments must be included with the Confidential Archaeological Addendum:

- A copy of the completed records check request and its accompanying map, and the written response from the appropriate IC including all information and/or site records provided by the IC.
- An example of your correspondence with the local Native American tribal groups and individuals including maps, and any response you have received.
- Site records including maps. Include original photos rather than photocopies of photos.
- Archaeological Coverage Map or Maps, one of which must be a USGS 7.5-min. quad map (or digitally generated topographic equivalent) at 1:24,000 scale. The map must show a north arrow, scale, project boundary, location of all archaeological and historic sites identified (with site size and configuration mapped accurately), regardless of significance, and specific areas examined during the archaeological survey. Make sure the designations used to list sites in Parts 7, 8, and 9 are the same designators used to differentiate mapped site locations on the Archaeological Coverage Map. Additional maps at other scales to provide increased clarity are encouraged, and in small plans may be necessary, but the 1:24,000 scale map is always required. The reason for this is to enable accurate transfer of site locations and survey coverage areas onto the official base maps kept at the ICs which are original 7.5 minute topographic quadrangle sheets.

**Additional Suggestions:** The Forest Practice Rules allow RPFs and other Resource Professionals with archaeological training provided by CDF to complete archaeological surveys and satisfy rule requirements during the preparation of most THPs. RPFs should be ready to recognize those situations where a Professional Archaeologist may be needed. Such situations may include plans containing complex archaeological or historical sites, a large number of such sites, plans with timber operations that may damage sites, or a plan where the RPF does not feel comfortable with the adequacy of the archaeological survey and determines that this particular plan would benefit from the involvement of a Professional Archaeologist. You may request a Referral List of Professional Archaeologists from your local IC.

CDF has six Professional Archaeologists on staff that are available for consultation and assistance to RPFs. Their names, office locations, and telephone numbers are listed below. Their assigned areas, mailing addresses, email addresses, and mobile telephone numbers are listed at <http://www.indiana.edu/~e472/cdf/staff/staff.html>

Dan Foster	Sacramento	(916) 653-0839
Rich Jenkins	Redding	(530) 224-4749
Linda Sandelin	Fresno	(559) 243-4119
Steve Grantham	Fortuna	(707) 726-1251
Chuck Whatford	Santa Rosa	(707) 576-2966
Gerrit Fenenga	Sacramento	(916) 651-2021

## Example of a Completed CAA Report

### An Archaeological Survey Report for the Smith Timber Harvesting Plan Siskiyou County, California

by:

Frank Forester, RPF #230  
F-F Enterprises  
123 River Way  
Red Bluff, CA 97113  
(530) 235-5678

Note: It is recommended that you use Times New Roman: 12 standard font. Do not bold, underline, or italicize your responses to the form requests. This gives a more professional appearance. You may use this form as a template for your own information.

January 21, 2003

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Signature of RPF or Archaeological Surveyor

### Part 1: Project Information

THP number:

Name, address and telephone number of the RPF: Same as report writer.

Project Size (acres): 290 Acres

Name of 7.5' USGS Quad Map: Pondosa, Calif.

Name of Landowner: John Smith

Legal Location: T41N, R5W, Sections 3, 4 MDM

Project Description: Timber Harvesting Plan

### Part 2: Archaeological Records Check Information

Date of Records Check Conducted by IC: 1/3/03

IC File Number: K03-122

Summary of Records Check Results: There is one previous survey on the western boundary of the project area. Two sites were recorded as a result of this survey, one prehistoric lithic scatter, and one historic debris scatter. The lithic scatter is adjacent to the project boundary, and the historic site is 1/8 mile west of the project area.

(X) Records Check Request, Map, and written reply from the Information Center are attached

( ) Records Check Not Attached

Justification:

### Part 3: Native American Consultation Information

(X) Example of a notification letter(s) (including maps) is attached

List of Native American individuals or groups that were provided written notification:

Native American Heritage Commission  
Pit River Environmental Office  
Pit River Tribal Office  
Ajumawi Band  
Illmawi Band  
Itsatawi Band  
Madesi Band  
Shasta Nation

One of the new (2003) rules requires second notification to tribal groups for THPs that have identified Native American archaeological or cultural sites within the plan area. This notice may be completed early in the process its results addressed in Part 3 of the CAA if you are confident that no other sites will be located and no changes to the proposed protection plan will be made during the PHI. Be sure the letter includes information regarding proposed protection of the site(s), and invite the tribal groups to participate in the review process. Alternatively, you may wait until immediately after the PHI to send the second notice, to avoid the possibility of having to re-notice should information change as a result of the PHI. Note that a 15 day response period is required prior to close of public comment.

Date of the CDF Native American Contact List that was used: January 2003

Date notification was sent: 1/2/03

Results of Information Request: There were no known sites reported.

( ) No reply received as of (date):

( ) Written reply received (copy attached)

(X) Verbal reply received (summarize reply below): 1/7/03

The Pit River Environmental Office, Shelly Elmay, responded by phone that she is aware of a prehistoric site in the general THP area and would like to schedule an inspection. No other replies have been received.

( ) Native American archaeological or cultural sites were not identified within the plan

(X) Native American archaeological or cultural sites have been identified within the plan

Date Notification Letters were sent to Native Americans (if applicable): 1/15/03

Date copies of notification letters sent to the Director: 1/15/03

Results of Notification to Native Americans:

( ) No reply received as of (date):

( ) Written reply received (copy attached)

(X) Verbal reply received (summarize reply below): Shelly Elmay phoned once again and stated that she was initially concerned about the site that was found by the RPF to be located outside of the plan boundaries. She has no further concerns about this site. She also said that she is comfortable with the proposed protection of the site in the meadow. She stated that no field inspection by her is now necessary.

### Part 4: Pre-Field Research

Historically, CDF has observed that information provided in Part 4 has often been incomplete, and sometimes inadequate for approval. The new (2003) rules made pre-field research a required element of the CAA. Adequate pre-field research is an important part of a well-developed plan as information gained during this process will help you design an appropriate survey strategy, interpret archaeological discoveries, and better determine their significance. This sample may be longer than you are accustomed to, but we encourage you to expand your pre-field research and discussion in Part 4. Information developed for this section may be reused in future CAAs for plans in the same vicinity.

Literature Reviewed: CDF Archaeological Training Manual, U.S.F.S. Cultural Resource Atlas, USGS Pondsosa 7.5' quad, and the survey report by Jones and Associates, and the reference books outlined in Part 12.

Persons Contacted: Bill Jones, District Archaeologist McCloud Ranger District; John Smith, landowner; Richard Jenkins, CDF Archaeologist.

Summary of Results of Pre-Field Research: Bill Jones did not know of any historic or prehistoric sites within, or adjacent to the plan area. Richard Jenkins gave advice on protection measures for the one prehistoric site within the project area.

## **PREHISTORIC BACKGROUND**

The project area lies within the ethnographic territory of the Ajumawi tribelet of the Achumawi or Pit River Indians. Several references discuss the culture and lifeways of these people (Dixon 1908, Kniffen 1928, Kroeber 1925, Merriam 1926, and Olmsted and Stewart 1978). Achumawi translates to "river (literally "it flows") people." The Achumawi occupied lands extending from Mount Shasta on the northwest to Lassen Peak on the southwest, and from Goose Lake on the northeast to Eagle Lake on the southeast (Olmsted and Stewart 1978:230-231). Achumawi prehistory in and around the project area has been researched by Baumhoff and Olmsted (1964) who suggest that the Achumawi originally occupied the Pit River watershed 3,000 to 4,000 years ago.

Streams, lakes, meadows, and swamps were especially important to the Achumawi because they provided such a large proportion of their food and shelter. Prior to the construction of powerhouses on the Pit River, salmon and other anadromous fish traveled up the Pit River and its tributaries. In Achumawi territory, there were about fifty miles of salmon streams and 150 miles of streams from which bass, catfish, lamprey, pike, suckers, trout, and a number of species of minnows were taken. Crawfish and mussels were also eaten (Olmsted and Stewart 1978:225).

According to Kroeber (1925:305), "the back country was visited and owned, but not settled." Vegetal foods were an important part of the diet and a wide variety of roots, seeds, berries, nuts, and herbs were gathered in season. Hunting appears to have been secondary to fishing and gathering, but numerous species were taken (Olmsted and Stewart 1978:228).

## **HISTORICAL BACKGROUND**

Alexander Roderick McLeod, a trapper, came through the area in 1827 or 1828 leading the first of the Hudson's Bay trappers into California and the river bore his name until Ross McCloud arrived in 1855. The McCloud post office was established in 1898 (Luecke 1982:59). Pondsosa was named for the ponderosa pine. A post office was first established here in December 1925 which operated until May 1932. The post office was opened again in 1938 (Luecke 1982:67).

The McCloud River Lumber Company was incorporated by William Van Arsdale and George W. Scott on March 14, 1896; and the McCloud River Railroad Company was incorporated as a common carrier short line on January 21, 1897 (Hanft 1971). From 1896 to 1910, the companies worked the McCloud Flats and extended to Ash Creek where a company mill was operating by 1901. They then moved north and east but the center of operations was McCloud with temporary camps set up in the woods which could be easily dismantled and moved. By the 1920s and '30s, larger more permanent camps were established farther afield (i.e., Hambone and Pondosa) with their own shops and maintenance facilities. The history of these companies spans many changes in railroad and logging technologies from steam to diesel. U.S. Plywood Corporation purchased McCloud River Lumber Company and Railroad in 1963, and the following year, all operations returned to McCloud under new management. The railroad was sold in 1975 to IteL Corporation.

### **Part 5: Training and Experience of Archaeological Surveyors**

Name of current Archaeological Surveyor(s): Frank Forester

( ) Archaeological Survey conducted by Professional Archaeologist

(X) Archaeological Survey conducted by person with current CDF Archaeological Training  
CDF Archaeological Training Course #72R

Date Training Course was completed: June 7, 2001

( ) Archaeological Survey for previous project within site survey area previously conducted by  
(provide name):

### **Part 6: Survey Methods and Procedures**

Survey strategy: The Information Center gave recommendations used to design the survey. Areas containing flat and gentle slopes were given an intensive survey, while moderate to steep slopes were covered using a cursory survey strategy.

Time spent conducting archaeological field survey: Approximately 10 hours of intensive archaeological survey was conducted. The remainder of the THP was covered in a cursory manner during THP layout.

Date or Dates the survey was conducted: January 6 and 7, 2003

Survey coverage intensity: The survey coverage intensity was equivalent to 10 meter transects in the intensively surveyed areas and 30 meter transects in the cursory survey areas.

Ground visibility/other limitations: The ground visibility was generally good with the exception of some areas of dense duff. In these areas a trowel and/or boot heel was used to scrape away the duff to observe mineral soil.

Other relevant information: There were many rodent mounds that provided good opportunities to observe the soil.

### **Part 7: Survey Results**

List and description of all sites found: The previously recorded prehistoric lithic scatter was relocated

and found to be located entirely outside the project area. No attempt was made to relocate the reported historic debris scatter site as it is located 1/8 mile to the west of the plan area. One additional lithic scatter, designated Smith THP Site 1, was discovered within the proposed THP. The site is approximately 15 meters in diameter and contains about 30 pieces of obsidian debitage. The site appears to be undisturbed and in good condition.

### **Part 8: Evaluation of Significance**

Preliminary determination of significance of listed sites (if required): The lithic scatter is presumed significant until determined otherwise through formal archaeological testing.

### **Part 9: Protection Measures**

Specific enforceable protection measures: The site is located within a meadow outside of any proposed impact area. The site plus a 10 meter buffer shall be flagged with "Special Treatment" flagging and designated an Equipment Exclusion Zone. No harvest trees are located nearby. The logging crew shall not use the area with 50 meters of the site for camping or work breaks.

### **Part 10: Meeting with the Licensed Timber Operator (LTO)**

Meeting with LTO:

- Since there are no archaeological or historical sites requiring protection, no meeting is required.
- Meeting between RPF or supervised designee familiar with on-site conditions and LTO will be conducted prior to start of timber operations.
- Meeting between RPF or supervised designee familiar with on-site conditions and LTO has been conducted (provide details):
- This RPF or supervised designee will not be meeting with the LTO. Provide information demonstrating compliance with 14 CCR Section 929.2 [949.2, 969.2]

### **Part 11: Site Recording**

- No sites found within the site survey area.
- The following sites have been recorded and completed records are attached: Smith THP Site 1.
- The following sites were previously recorded, updates not prepared (attach copy(ies)):
- The following sites were previously recorded, updates prepared (attach copy(ies)):
- The following sites will not be recorded, justification provided below:

### **Part 12: Other Applicable Information**

Additional Information: The subject parcel has been harvested no fewer than four times since 1900 and all needed roads, skid trails, and log landings are existing.

## **REFERENCES**

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1971 *Pine Across the Mountain, California's McCloud River Railroad*. Golden West Books, San Marino, California.

Kniffen, Fred B.

1928 Achomawi Geography. *University of California Publications in Anthropology, Archaeology, and Ethnology* 23(5):297-332. Berkeley.

Kroeber, A. L.

1925 *Handbook of the Indians of California*. Dover Publications, Inc., New York.

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1926 The Classification and Distribution of the Pit River Tribes of California. *Smithsonian Miscellaneous Collections* 78(3):1-52. Washington D.C.

Olmsted, D. L., and Omer C. Stewart

1978 Achumawi. In *California*, edited by R. F. Heizer, pp 225-235. *Handbook of North American Indians*, Volume 8, R. F. Heizer, volume editor. Smithsonian Institution, Washington D.C.

### Part 13: List of Attachments

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> Archaeological Records Check Request      | <input checked="" type="checkbox"/> Archaeological Coverage Map (1:1 scale of USGS 7.5' quad) |
| <input checked="" type="checkbox"/> Archaeological Records Check Request Map  | <input type="checkbox"/> Additional Archaeological coverage map(s)                            |
| <input checked="" type="checkbox"/> Information Center Reply                  | <input checked="" type="checkbox"/> Project Vicinity Map                                      |
| <input checked="" type="checkbox"/> Example of Notice(s) to Native Americans: | <input type="checkbox"/> Written Reply from Native Americans                                  |
| <input type="checkbox"/> USFS or other Agency Correspondence:                 | <input checked="" type="checkbox"/> Site Records  |
| <input type="checkbox"/> Other:   | <input type="checkbox"/> Photographs  |



## APPENDIX VI

### ARCHAEOLOGICAL REVIEW PROCEDURES FOR CDF PROJECTS

by:

Daniel G. Foster

January 9, 2003

**Introduction:** These procedures provide assistance and direction to CDF Foresters and other resource professional on staff at CDF in their task of completing archaeological reviews for CDF projects. They include guidance for completing an archaeological survey and impact assessment including detailed instructions for completing the *Archaeological Survey Report Form for CDF Projects*. The term *CDF projects*, as used in this Appendix, means any type of project where CDF is acting as lead agency pursuant to the California Environmental Quality Act (CEQA) except for Timber Harvesting Plans (THPs). Although procedures for archaeological review of THPs are similar, THP survey reports are presented on a different survey report form and the procedures followed in preparing and reviewing THPs are those that are stipulated in the Forest Practice Regulations. This document is intended to cover all forms of CDF projects (except for THPs), including, but not limited to, cost-share grants administered by CDF's Forestry Assistance Program (e.g. CFIP, FLEP, Forest Stewardship, etc.), purchase of conservation easements, vegetation management projects implemented under CDF's VMP or Pre-Fire Programs, Urban Forestry grants, projects on State Forests, as well as Capitol Outlay and/or Facility Improvements on other CDF properties. The Appendix is organized into three chapters: General Information, Procedures for Archaeological Reviews of CDF Projects, and Completing the Archaeological Survey Report Form.

**Role of CDF Archaeologists:** As of 2005, CDF has six full-time professional Archaeologists on staff to assist and support the archaeological review of CDF projects. As part of their regular duties these CDF archaeologists are responsible for providing assistance to CDF project managers in the task of environmental planning of CDF projects. It is important to clarify, however, that these archaeologists are assigned numerous other duties as well, which reduces their availability for support. CDF Archaeologists have major responsibilities in THP review and enforcement, training, historic preservation, policy development, contract administration, Native American and agency contacts, assistance to private RPFs, and response to wildfires and other emergencies. The Department does not have nearly enough archaeologist positions to conduct all of the archaeological surveys and project reviews required by law. Instead, the CDF Archaeology Program commits a good portion of its resources to the planning and delivery of an archaeological site recognition training program to private and state foresters and other resource professionals to assist them as they develop their projects. In order to supplement this training, CDF staff Archaeologists provide support and professional review. In addition to our six archaeologist positions, CDF has for many years utilized the services of additional archaeologists through contracts with state universities. These contract archaeologists, whose ranks currently include eleven people working part-time in an office setting or on-call for field assignments, work under the direction of CDF staff Archaeologists. They assist in THP reviews, conduct field inspections, record sites, report on damaged sites, provide significance assessments, and perform other important tasks to support CDF's programs.

To be effective, the relationship between CDF Archaeologists and CDF staff developing projects must include a high level of technical supervision and oversight by the CDF Archaeologist at each key step in the archaeological review process. The CDF Archaeologists' role includes performing regular and timely quality control, and work review and inspection, both in the office and in the field, and are able to take, or effectively recommend, corrective actions where necessary. The frequency of the review, inspection, and

guidance shall take into consideration the cultural resource survey work products previously submitted and the technical complexity of the job, but shall be sufficiently frequent to ensure the completion of work that meets current professional standards. In addition, archaeologically trained resource professionals must maintain their archaeological training certification from CDF, and must regularly consult with a CDF Archaeologist during the planning of CDF projects to receive sufficient guidance and assistance. CDF Archaeologists shall review all work products submitted by archaeologically trained resource professionals and shall provide approval signature on archaeological survey reports only after satisfactory completion of archaeological surveys, site records, and written reports.

On occasion CDF has projects that include archaeological work completed by archaeological consultants or other agencies, such as the State Department of General Services which oversees capitol outlay projects. In these instances, the archaeological consultant must also consult with the appropriate CDF Archaeologist. CDF Archaeologists must review and approve the work products submitted by such consultants, as well. Although the written reports provided by those professionals do not need to follow the CDF Archaeological Survey Report format, such reports must nevertheless follow the standards of *Preservation Planning Bulletin Number 4, Archaeological Resource Management Reports (ARMR): Recommended Contents and Format* (December 1989, California Office of Historic Preservation).

**How to Reach a CDF Archaeologist:** CDF staff Archaeologists are often on assignment away from their offices conducting field inspections throughout the state, planning and delivering training, and completing other duties. In recognition of the critical role they have in the planning of CDF projects, efforts have been made to maximize their accessibility to CDF staff for consultation, support, and assistance. All CDF Archaeologists carry pagers and/or cell phones which can be helpful in making contact, even when the person is away on field assignment. Each of the six CDF staff Archaeologists has a regularly scheduled office day so CDF project managers can plan effectively. Gerrit Fenenga holds a regular office day every Tuesday, while Dan Foster, Linda Sandelin, Richard Jenkins, Steve Grantham, and Chuck Whatford maintain regular office hours every Monday. Because the CDF Archaeologists hold a weekly conference call every Monday morning from 8:30 to 9:30, in order to reach us on Mondays call before 8:30 or after 9:30 in the morning. You are also welcome to drop in on the conference call by dialing (916) 324-6460. CDF project managers are encouraged to make contact with the appropriate CDF Archaeologist for assistance, but you may request assistance from any CDF Archaeologist if your primary contact is unavailable. A list of CDF Staff Archaeologists is provided in Table 1 on the following page. It includes each archaeologist's mailing address, telephone number, email address, and areas of responsibility.

**Role of the Project Manager:** The CDF Project Manager is responsible to ensure that archaeological review procedures have been satisfactorily completed before initiating the project. A key element of the procedures described in this document is a coordinated effort between CDF staff developing the project and the appropriate CDF Archaeologist responsible for support and assistance.

**Table 1 - List of CDF Staff Archaeologists**

<b>Name</b>	<b>Address/Phone/E-Mail</b>	<b>Responsibility Area</b>
<b>Dan Foster</b>	<b>CDF Archaeology Office Sacramento Headquarters</b> Room #1516-33 P.O. Box 944246 Sacramento, CA 94244-2460 (916) 653-0839 (office) (916) 261-4415 (cell) <a href="mailto:dan.foster@fire.ca.gov">dan.foster@fire.ca.gov</a>	Manager, CDF Archaeology Program. Duties: Supervisor, Program Management, Policy Development, Public and Agency Liaison, CDF Historic Preservation Officer, Archaeological Training Coordinator, Contracts Manager, Native American Coordinator, Web Site Manager.
<b>Linda Sandelin</b>	<b>CDF Archaeology Office Southern Region Headquarters</b> 1234 East Shaw Avenue Fresno, CA 93710-7899 (559) 243-4119 (office) (559) 250-8557 (cell) (559) 771-3813 (pager) <a href="mailto:linda.sandelin@fire.ca.gov">linda.sandelin@fire.ca.gov</a>	Area Archaeologist supporting CDF projects in Alpine, Amador, Calaveras, El Dorado, Fresno, Imperial, Inyo, Kern, Kings, Los Angeles, Madera, Mariposa, Merced, Mono, Monterey, Orange, Riverside, Sacramento, San Joaquin, Stanislaus, San Bernardino, San Diego, San Luis Obispo, Santa Barbara, Tulare, Tuolumne, and Ventura counties. Additional duties: Lead Archaeologist - Southern Region, Assist Review Teams, Assist State Forests, Assist Contract Counties, Instructor in CDF Archaeological Training Courses (Academy and Statewide), Technical Specialist (archaeological resources) responding to Emergency Incidents, statewide.
<b>Chuck Whatford</b>	<b>CDF Archaeology Office Northern Region Headquarters</b> 135 Ridgway Avenue Santa Rosa, CA 95402 (707) 576-2966 (office) (707) 529-7989 (cell) (707) 541-5177 (pager) <a href="mailto:chuck.whatford@fire.ca.gov">chuck.whatford@fire.ca.gov</a>	Area Archaeologist supporting CDF projects in Alameda, Colusa, Contra Costa, Lake, Marin, Mendocino, Napa, San Benito, San Francisco, San Mateo, Santa Clara, Santa Cruz, Solano, Sonoma, and Yolo counties. Additional duties: Assist Review Teams, Assist State Forests, Training Instructor (Coast Area of Northern Region), Technical Specialist (archaeological resources) responding to Emergency Incidents, statewide.
<b>Richard Jenkins</b>	<b>CDF Archaeology Office Northern Operations Center</b> 6105 Airport Road Redding, CA 96002 (530) 224-4749 (office) (530) 949-8822 (cell) (530) 242-7170 (pager) <a href="mailto:rich.jenkins@fire.ca.gov">rich.jenkins@fire.ca.gov</a>	Area Archaeologist supporting CDF projects in Butte, Glenn, Lassen, Modoc, Nevada, Placer, Plumas, Shasta, Sierra, Siskiyou, Sutter, Tehama, Trinity (east) and Yuba counties. Additional Duties: Supervisor, Archaeology Program - Northern Region, Lead Planner for Archaeological Review Procedures for Wildfires, Assist Review Team, Training Instructor (Northern Region), Technical Specialist (archaeological resources) responding to Emergency Incidents, statewide.
<b>Steve Grantham</b>	<b>CDF Archaeology Office Humboldt-Del Norte Unit</b> 118 Fortuna Boulevard Fortuna, CA 95540-0425 (707) 726-1251 (office) (707) 599-7355 (cell) (707) 444-7293 (pager) <a href="mailto:steve.grantham@fire.ca.gov">steve.grantham@fire.ca.gov</a>	Area Archaeologist supporting CDF projects in Humboldt, Del Norte and the western side of Trinity counties. Additional duties: Assist Review Team, Training Instructor (Northern Region), Technical Specialist (archaeological resources) responding to Emergency Incidents, statewide.
<b>Gerrit Fenenga</b>	<b>CDF Archaeology Office Sacramento Headquarters</b> Room #1516-22 P.O. Box 944246 Sacramento, CA 94244-2460 (916) 651-2021 (office) (916) 261-1108 (cell) (916) 423-0817 (pager) <a href="mailto:gerrit.fenenga@fire.ca.gov">gerrit.fenenga@fire.ca.gov</a>	Area Archaeologist supporting federally funded projects administered by CDF in Southern California. Additional duties: Instructor in CDF Archaeological Training Courses (Academy and Statewide), and Technical Specialist (archaeological resources) responding to Emergency Incidents, statewide.

**Minimum Qualifications of CDF Personnel:** Archaeological review work for CDF projects shall be conducted by persons meeting the same training standards specified in the Forest Practice Rules for the preparation and review of THPs (see 14 CCR Section 929.4). These standards require that archaeological surveys, impact assessments, site recording, and preliminary studies be conducted either by a professional archaeologist or an archaeologically trained resource professional working under the supervision of a CDF Archaeologist. For most CDF projects, the preliminary study, survey work, and preparation of a survey report or clearance letter will be completed by an archaeologically trained forester or other key official in the unit in consultation with a CDF Archaeologist. CDF Units are encouraged to support the acquisition of and maintenance of archaeological training for key staff in order to facilitate project planning and avoid delays that could occur if staff resources are not available to complete the review work required by applicable state law and regulation.

**Archaeological Training Opportunities:** The archaeological training program delivered by CDF provides archaeological site recognition training to both CDF staff and members of the regulated public including Registered Professional Foresters (RPFs) who prepare THPs. Since this training is made available to CDF personnel and to members of the private sector in response to forest practice requirements, the program is external and is delivered in partnership with the California Licensed Foresters Association (CLFA). Because CDF is not staffed or budgeted to provide this training, CLFA pays the costs of the courses from a fund generated through the collection of registration fees. These costs include speaker fees, travel costs for instructors, printing expenses, facility and equipment rentals, lunches and refreshments. CDF personnel who should complete this training include Forest Practice Inspectors, VMP Coordinators, Pre-Fire Engineers, Environmental Coordinators, FAS Specialists, State Forest Managers and other key staff. CDF also has a responsibility to identify and protect archaeological sites that might be impacted during wildland fire suppression work, when such protection is possible. Therefore, it is also suggested that key staff in a fire protection capacity, including Battalion Chiefs, Station Captains, Crew Captains, HFEOs, Field Observers, Fire Suppression Rehab Personnel, and Planning Section Chiefs be encouraged to receive the training. Private sector personnel who are responsible for completing archaeological surveys, impact evaluations and site recording requirements set forth in California's Forest Practice Rules are also expected to complete this training. This group includes Registered Professional Foresters (RPFs) who prepare THPs and other Forest Technicians and Supervised Designees who participate in cultural resource surveys. These training courses are also open to Licensed Timber Operators, Timberland Owners, Native Americans, and other resource professionals who have occasion to work on or review CDF projects. General members of the public may also attend, if space is available. There are two types of courses:

- **Full Four Day Course** - This is the initial basic course. It is offered to those who have not previously completed a CDF/CLFA Archaeological Training Course as well as those who previously completed a course prior to 1990 when the current curriculum was first established. People who haven't kept their training current (i.e., haven't attended a training program approved by the Director within five years prior to the planning of a CDF project or THP) and/or who have not used their training have the option, and are encouraged, to repeat the full four-day course which is designed as a practical training course for CDF staff, foresters and other resource professionals who may encounter archeological sites and other cultural resources in their job duties. In addition, the course satisfies the five-year continuing education requirement of the Forest Practice Rules. Illustrated slide lectures, assigned reading, group workshops, group discussions, and archaeological field surveying exercises will familiarize students with the kinds of archaeological materials they are likely to encounter, their legal obligations towards them, and how to best achieve compliance

with current state cultural resource protection laws and regulations. Course instructors include state, consulting and research archaeologists, as well as an RPF and a Native American Instructor. The cost of the four-day course is currently \$400 (cost subject to change), which includes a course reference manual, lunches and refreshments all 4 days. Students who satisfactorily complete this course are issued a training certificate valid for a five year period.

- **One Day Refresher Course** - This course is only offered to those individuals who have previously completed the initial training course. It is held entirely in the field, students work in small group settings to refresh site and artifact recognition skills and develop appropriate management strategies for sites located within mock project areas. In addition to refresher training, the course serves as a performance evaluation. In small group settings, professional archaeologists evaluate each student's skills, knowledge and ability to conduct the archaeological tasks required by the Forest Practice Rules. Students must complete a homework assignment as part of this course: the completion of an archaeological site record that meets current professional standards. Students who satisfactorily complete this course are issued a training certificate valid for a five year period. The cost of the refresher course is currently \$150 (cost subject to change) which includes a course reference manual, a sack lunch, and refreshments during the field trip.

Notices of class schedules, locations, and instructions for enrollment are distributed to the CDF Training Coordinators at the beginning of each year. This information is also available on the CDF Archaeology Program's Web Site.

**Web Site:** The CDF Archaeology Program maintains a web site that, among other functions, serves as a convenient method to provide CDF staff and others with information, reports, forms, instructions, and other types of assistance in the task of conducting archaeological review work for CDF projects. These web pages can be located through a link at the Department's main Internet Web Site at <http://www.fire.ca.gov> by clicking on *Resource Management*, then clicking on *Archaeology*. You may also go directly to our web site at <http://www.indiana.edu/~e472/cdf/> CDF project managers are encouraged to regularly visit this web site and become familiar with its contents which include the current Native American Contacts List, a List of ICs, Archaeological Training Schedule and Enrollment Instructions, Survey and Recording Forms, CDF's Management Plan for Historic Buildings and Archaeological Sites, and many additional items needed to conduct archaeological reviews for CDF projects.

**Legal Requirements:** A number of state laws and regulations require CDF to identify and protect cultural resources. Section 106 of the National Historic Preservation Act and its implementing regulations also apply to some CDF projects when federal funds are being used. The primary mandate requiring archaeological review of CDF projects is found in the California Environmental Quality Act (CEQA). This state law requires CDF to identify potential impacts to archaeological resources during our assessment of environmental impacts from CDF projects, and to change the project or develop mitigation measures to eliminate or reduce the severity of those impacts. Additional state agency requirements pertaining to the management of cultural resources on state-owned lands are found in Public Resources Code (PRC) Section 5024. Environmental Impact Reports (EIRs) for CDF's California Forest Improvement Program (CFIP), Vegetation Management Program (VMP), State Forest Management Plans, and our statewide Management Plan for Historic Buildings and Archaeological Sites contain specific requirements we must follow. California Executive Order W-26-92 directs CDF to develop programs for the preservation of the state's heritage resources throughout our jurisdiction. CDF also receives funding from several federal agencies to support our programs. This brings in a suite of federal laws and regulations pertaining to the protection of

cultural resources. In 1996, CDF entered into a Programmatic Agreement (PA) with the U.S. Forest Service (USFS), State Office of Historic Preservation, and the Advisory Council on Historic Preservation that specifically addresses CDF's responsibilities for archaeological review of CDF projects funded by the USFS. The 1996 PA will soon be superseded by a new PA (expected to be signed by August, 2003) that is broader in scope to include CDF projects utilizing federal funds provided by the Bureau of Land Management (BLM) and Natural Resource Conservation Service (NRCS) in addition to the USFS. The procedures outlined in this document are intended to satisfy all of these legal requirements. A more complete listing of applicable laws and regulations is presented in CDF's *Reference Manual and Study Guide for the CDF-CLFA Archaeological Training Program for Registered Professional Foresters and Other Resource Professionals*.

## **Procedures for Archaeological Reviews of CDF Projects**

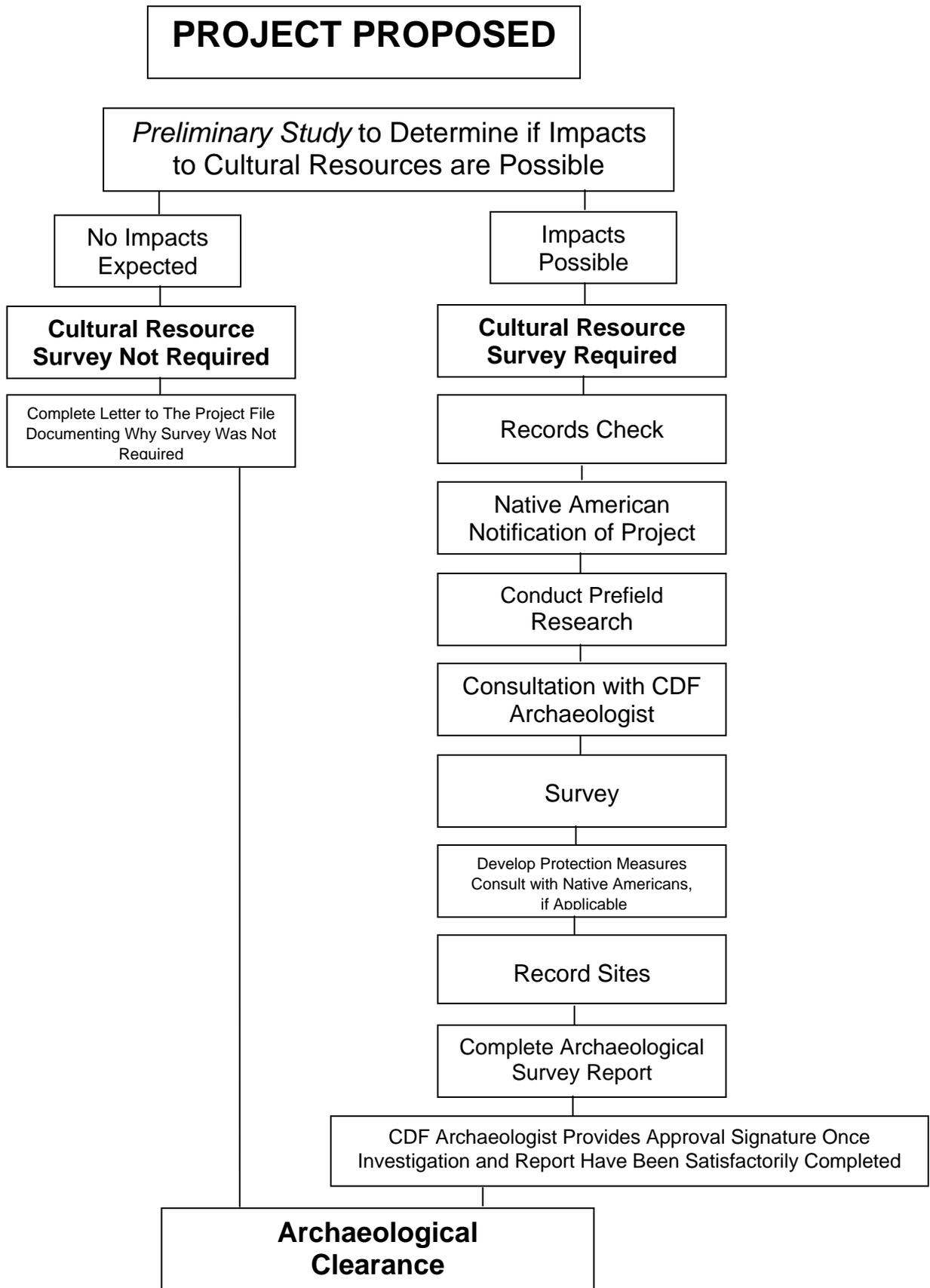
**Preliminary Study:** The first step in the process of conducting an archaeological review of a CDF project is the completion of a *Preliminary Study*. This study should be undertaken by the CDF project manager in consultation with the appropriate CDF Archaeologist. If the CDF project manager does not have current CDF archaeological training as described in this document, then the CDF project manager shall appoint a designee who has current CDF archaeological training, and who is familiar with the details of the proposed activities and locations. The purpose of the Preliminary Study is to determine if impacts to cultural resources are possible. This determination shall be made after considering the full range of specific project activities and practices, the location of the project, and other relevant factors.

The Preliminary Study will be conducted during a telephone conversation or face-to-face meeting between the CDF project manager and the appropriate CDF Archaeologist. Prior to this telephone conversation or face-to-face meeting, the CDF project manager shall provide the CDF Archaeologist with a copy of the project map(s) as well as a description of the proposed project in order to provide the adequate information the Archaeologists need to assess the likelihood of the presence of cultural resources. CDF Archaeologists are regularly available each week to participate in telephone consultations and assist in the completion of Preliminary Studies for CDF projects. The CDF project manager and CDF Archaeologist shall identify and evaluate the full range of project activities and compare those activities to the list of Exempt Practices provided in this document.

If the Preliminary Study concludes that the proposed project does not have the potential to affect cultural resources, pursuant to the list of Exempt Practices (listed below), or other circumstances, then an archaeological survey would not be required. The CDF Archaeologist must concur with this finding. In such cases, a records check, Native American notification, prefield research, and survey report are not required. Archaeological clearance of the project must be documented in the form of a letter to the project file (prepared by the CDF project manager) that indicates the rationale supporting the decision to waive archaeological survey requirements. A copy of this letter shall also be sent to the appropriate CDF Archaeologist for his/her file.

The CDF project manager (or their designee) shall conduct an intensive cultural resource survey if the Preliminary Study reveals the potential to affect cultural resources. In most situations, this survey will include all of the procedural steps discussed below and shown on the *Cultural Resource Review*

# Cultural Resource Review Procedures



*Procedures* flow chart appearing above. The list of tasks specified in *Cultural Resource Survey Procedures* shall be completed as part of the cultural resource review for every CDF project determined to have the potential to affect cultural resources.

In general, any project that includes ground disturbing practices shall be considered to have the potential to affect cultural resources and, consequently, shall require an archaeological survey. Typical examples of such practices include, but are not limited to, any type of use of heavy equipment to alter the landscape, site preparation, forestland conservation work such as erosion control, road repair, stabilization and abandonment of road beds, improvement of drainage facilities, and/or stream bank stabilization. Other types of projects may also require archaeological survey in spite of limited disturbance to the ground. Such projects include, but are not limited to, rural tree planting, prescribed burning, broadcast burning, and the burning of slash piles. CDF generally does not fund projects resulting in the planting of commercial species trees within the boundaries of archaeological sites. This practice is due to the possibility that eventual harvest of such trees might be prohibited by CDF enforcing California's Forest Practice Rules since timber harvesting operations can affect cultural resources. For this reason, archaeological survey shall be required prior to funding most tree planting projects in order to identify and avoid sites.

**List of Exempt Practices:** Because they are unlikely to impact cultural resources, the following practices are exempt from archaeological survey, investigation, and reporting requirements. An archaeological records check, notification to Native Americans, prefield research, intensive cultural resource survey, or the completion of an archaeological survey report are not required for projects that involve only these practices.

1. Management Plan: A long term forest and land management plan to assist forest landowners in developing their land management objectives and feasible projects. The preparation of a forest land management plan is not, in itself, a ground disturbing practice and may be funded without an archaeological survey. In such cases, archaeological survey must precede any ground disturbing practice called for in the plan. However, CDF recommends the inclusion of some level of cultural resource planning in the management plan itself, such as a record search for the entire property, an overview of local archaeology, ethnography, and history as it relates to predicting the kinds of cultural resources likely to exist on the property, and a discussion regarding future archaeological survey work and how sites will be managed. This exemption also includes Coordinated Resource Management Planning, Fire Plans, and other forms of broadly scoped planning efforts by CDF that do not result in ground disturbing practices.
2. RPF Supervision: The practice of utilizing a Registered Professional Forester to supervise on-the-ground management activities.
3. Feasibility Studies and Market Analysis: The practice of conducting studies to determine the feasibility of future projects including, but not limited to, an investigation of the marketability of certain products derived from such projects.
4. Purchase of Tree Seeds and Seedlings The purchase of tree seeds and seedlings and costs of transporting and storing them. Note: The actual planting of seeds or small seedlings in rural forested areas is not an exempt practice. While such planting may be conducted without significant ground disturbance, CDF generally does not approve funding for projects resulting in the planting of

commercial species trees within archaeological site boundaries. California's Forest Practice Rules may restrict or prohibit the eventual harvest of such trees since the harvesting of commercial size trees is a practice that has potential to damage or destroy cultural resources. For these reasons, archaeological survey is required prior to funding most tree planting projects in rural forested areas in order to identify and avoid archaeological and historic sites.

5. Tree Shelters: The purchase and installation of vexar netting for browse control and shelter cards for shade necessary to assure survival of seedlings.
6. Follow-up (Release): Practices necessary to promote the survival of seed or seedlings within 36 months of planting. Generally such work is intended to control insects, diseases, rodents, weeds or brush competition and may include the use of herbicide, chain saw, weed-eater, or hand-grubbing. These practices are only implemented within tree planting units where an intensive cultural resource survey, conducted in accordance with the specifications and standards listed in this document, was completed. This follow-up work is exempt from further review because the cultural resource inventory work does not need to be repeated. If, for some reason, follow-up activities are considered for treatment units that were not previously subjected to intensive cultural resource survey, these activities shall not be considered exempt.
7. Timber Stand Improvement: Activities designed to improve timber stands include pre-commercial thinning of young commercial tree species to reduce the number of stems per acre, release of commercial tree species by removing competing noncommercial species of trees and shrubs, and pruning of young trees by removing lower branches from commercial tree species. This work will usually be done by crews using hand tools and the slash is just left on the ground, typically lopped and scattered. Note: if the slash will be piled and burned, or mechanically collected and removed for biomass utilization, those activities may not be exempt. Some biomass harvesting operations can cause significant ground disturbance and, therefore, have the potential to disturb/damage archaeological and historic sites.
8. Wildlife Habitat Improvement: The creation of snags, installation of nest boxes, roost poles, platforms, or artificial cavities for animal habitat improvement where the ground is not disturbed.
9. Reseeding: Hand or aerial applications of seed or nutrients.
10. Mulch: Hand application of mulch, placement of weed barriers, hay bales, or animal repellent.
11. Irrigation: Surface installation of trickle irrigation system.
12. Educational Materials and Events: Production and distribution of flyers, pamphlets, brochures, booklets, newsletters, telephone helpline, videos, etc.; conducting meetings, seminars, conferences, classes, etc. to educate and disseminate information to landowners; and, lastly, the funding of CDF staff and contractors to deliver technical assistance to landowners.
13. Conservation Easement and Fee Title Purchase: Acquisition of easements and fee title purchase of forest lands with the intention of keeping the lands in traditional forest uses and to prevent conversion to nonforest uses. The title will be held by either federal, state or local government.

14. Acquisition: Land acquisitions or transfers of administrative control to CDF, where the historic properties received are not considered in exchange for any historic properties relinquished.
15. Urban Forestry Projects: Purchase and transport of trees and the planting of native and non native species of trees in urban settings. Typically, these settings occur in areas previously landscaped such as within public parks or schools. Such projects also occur in street medians and along sidewalks within developed areas. Note: Most of these projects will not require archaeological survey unless known cultural resources exist in a planning location or the area possesses high archaeological sensitivity. If the urban forestry grant proposes to plant trees in undeveloped wildland settings, such projects are not exempt and will require archaeological survey. Similarly, the planting of trees suitable for the purpose of creating a windbreak in a rural or agricultural setting is not exempt. Note: Trees can be an important part of a historic landscape in both rural and urban areas. CDF project managers should keep in mind that planting new trees in a historic district or on the property of a historic building may affect the setting of that historic property. In such situations the appropriate CDF Archaeologist should be consulted at an early stage of project planning.
16. Shaded Fuelbreaks (Handwork Only): Thinning and pruning of trees, generally along both sides of a road or along the crest of a ridgetop, to create an effective fuelbreak to potentially stop a wildfire, provided such trees are not part of a historic landscape. The accomplishment of such projects involves removal of vegetation by hand, lopped and scattered or chipped and scattered. Note: Shaded fuelbreak projects involving mechanical timber harvesting or the piling and burning of slash are not exempt.
17. Fire-Safe Projects: Treatment of vegetation surrounding communities to reduce the risk of catastrophic wildfires through thinning and/or removal of vegetation by crews using hand tools. To be exempt such projects must involve the chipping and removal of woody material or the chipping and scattering of woody material. Note: Fire-Safe Projects involving the piling and burning of slash are not exempt.
18. Disposal of Piled Brush: This activity involves the disposal and removal of brush piles. CDF often administers federal grants to provide chipping and removal of biomass to homeowners doing their own legally mandated defensible space clearing required by PRC 4291. In these instances, the treatment of the vegetation is not a CDF project and CDF's responsibility for environmental review only pertains to the disposal of brush piles. A chipper may be utilized to chip and scatter woody material near the brush piles. If brush piles will be collected and transported to a location for biomass utilization, those activities must be carefully evaluated for potential effects to cultural resources.
19. Diseased Oak Removal: Activities related to the eradication, gathering and removal of diseased oak trees, limbs and slash from oak trees, including, but not limited to, infestation zones of *Sudden Oak Death* without causing significant ground disturbance. Note: Ground disturbing practices such as stump removal, mechanical yarding, site preparation, and/or the burning of slash piles, are not exempt activities and will require archaeological survey.
20. Fuelwood and Christmas Trees: The collection and personal use of fuelwood and the harvesting of Christmas trees.

21. Sign Posts: The installation of sign posts and monuments, when no new ground disturbance is involved.
22. Log Jam Removal: The removal of log jams and debris jams using hand labor or small mechanical devices.
23. One Cubic Meter Disturbance: Activities that involve less than one cubic meter of cumulative ground disturbance per acre.
24. Disturbed Areas: Those activities or projects where the area of potential effect (APE) is entirely within obviously disturbed contexts, and the disturbance is such that the presence of historic properties is considered highly unlikely.
25. Pesticides: The application of pesticides where such application does not have the potential to affect use of plant resources by Native Americans. The CDF project manager may need to demonstrate how Native American plant gatherers will be protected.
26. Existing Borrow Pits: Work within the perimeter of existing material borrow pits. Expansion of the area of ground disturbance to outside of the existing borrow pit is not exempt.
27. Stream Channels: Activities limited within stream channels. Note: stream channel improvements resulting in alterations to streamside terraces or cut banks along the margins of stream channels are not exempt.
28. Handlines: The creation of narrow handlines using hand tools to establish a burn perimeter. Handlines are often used to keep prescribed fire from entering into an archaeological site. This includes hand grubbing around trees or near cultural resources to prevent fire from entering or damaging such resources. Such activities are limited to light brushing of vegetation to expose mineral soil using handtools.
29. Trail Maintenance: Routine trail maintenance limited to brushing and light maintenance of existing tread with hand tools only.
30. Road Maintenance: Routine road maintenance and resurfacing where work is confined to previously maintained surfaces, ditches, culverts, and cut and fill slopes along road segments crossing no known archaeological or historic sites. Proposed road maintenance activities within known archaeological or historical sites must be carefully reviewed by the CDF project manager in consultation with the appropriate CDF Archaeologist.
31. Hazard Tree Removal: The felling of hazardous trees within recreation areas or other areas for health and safety reasons provided they are left in place or cut up for firewood using hand tools. This includes the felling and removal of hazard and windthrow trees from road prisms where deemed necessary for health, safety, or administrative reasons, so long as trees are felled into and removed from within existing road prisms (area clearly associated with road construction, from road surface to top of cut and/or toe of fill) where previous disturbance is such that the presence of historic properties is considered unlikely, and so long as ground disturbance is strictly limited to

previously disturbed areas associated with road prisms.

32. Road Use Permits: The issuance of road use permits for commercial hauling over existing roads, whenever CDF's involvement is incidental to activities associated with the permit's purpose and where effects to traditional cultural properties are not expected. If the permit includes road maintenance work on state lands, consideration must be given to known cultural resources that might be affected (see Exemption #30).
33. Temporary Road Closure: Temporary road closures involving no new ground disturbance.
34. Snow Fences: The construction of snow fences where no new ground disturbance is involved.
35. Existing Nonstructural Facilities: The maintenance or replacement in-kind of existing nonstructural facilities that does not involve new or additional ground disturbance (e.g., maintenance or replacement of existing cattle guards, gates, fences, stock tanks, guardrails, barriers, traffic control devices, light fixtures, curbs, sidewalks, etc.).
36. Recent Facilities: Activities or alterations involving facilities or structures that are less than 50 years of age. For activities involving CDF buildings or facilities older than 50 years of age, consult the *Management Plan for CDF's Historic Buildings and Archaeological Sites* (Foster and Thornton 2001), available on the CDF Archaeology Program Web Site, for guidance.
37. Trash Removal: The removal of trash that is less than 50 years old and does not otherwise qualify as a cultural resource.
38. Installation of Law Enforcement Detection Devices: The installation of law enforcement detection devices within historic properties to assist investigations of site looting and to prevent site vandalism where such installation is unlikely to cause substantial adverse change to the site. The CDF Archaeologist must be involved in the planning of this type of project.
39. Purchase of Equipment: The purchase of tools and equipment (such as a chipper) that may be utilized in subsequent projects for the treatment of brush and other vegetation. The purchase of such equipment shall be considered an exempt practice.
40. Project Areas Previously Surveyed: Project activities which are entirely within areas previously surveyed for cultural resources where no cultural resources were found, if the previous survey work was conducted in accordance with the specifications and standards listed in this document.
41. Other Practices: Other practices on an individual basis as agreed to by a CDF Archaeologist. If the project is federally funded, the State Historic Preservation Officer (SHPO) and the federal agency funding the project must also agree that the practice is exempt.

**Cultural Resource Survey Procedures:** Archaeological surveys for CDF projects must include the following tasks (these match the flow chart appearing above):

Records Check: A *current archaeological records check* (defined in Section 895.1 of the Forest Practice Rules) shall be utilized in project planning. CDF may use an existing records check previously completed

for another project on the same property if that records check is current (i.e., was conducted within the previous five years) and if all of the current project areas were covered in the previous records check. For CDF properties, consult with a CDF Archaeologist first to find out if a records check has already been completed for the property. Typically, however, the CDF project manager or designee shall initiate a new archaeological records check specifically for the project being reviewed. It is recommended that the entire parcel be included in the request for a records check so that this information may be used if additional projects occur on the same property. This is particularly true if the records check is initiated as part of the preparation of a forest land management plan. The policies and procedures governing records checks for CDF projects are outlined in a 2005 Memorandum of Understanding (MOU) between CDF, SHPO, and the CHRIS ICs, which is available on the CDF Archaeology Program Web Site. The ICs charge a fee for providing a records check and this fee must be paid in a timely manner. For some programs, the CDF Unit pays the fee. In other programs, the fee might be paid by the consulting RPF preparing a management plan or project in one of our cost-share programs. In such circumstances the records search fee may be reimbursed by CDF. In other circumstances the landowner or applicant may have to pay the fee. In some years, certain CDF programs establish a fund to be used for records check fees. The CDF Archaeology Program Web Site also contains a downloadable form to be completed when requesting an archaeological records check.

Native American Project Notification and Information Gathering: The CDF project manager shall send written notification of the proposed project to the appropriate Native Americans listed on the most current version of CDF's Native American Contact List (NACL) which is also available on the web site. The purpose of this notification is to inform Indian tribes, local Native American groups and the Native American Heritage Commission (NAHC) about the proposed project, and also to invite their views and comments about the project. It also serves as an information gathering step. Through this procedure, the CDF project manager shall request information concerning the location of any archaeological or cultural sites that may be known within the project area. In response, the NAHC will complete a check of its Sacred Lands File. CDF shall follow-up and investigate any potential positive result revealed through this request for information. We recommend this step be completed early in the process of developing a project (such as the same time as the archaeological records check) in order to avoid delays, allow time for Native American groups and/or individuals to respond, and create the opportunity to document the results of any consultation that may follow receipt of the notification letters and include this in the archaeological survey report. Use the most current version of the NACL available at the time the environmental impact review is being conducted. This list is updated monthly and the current list is usually posted during the first week of each month. The notification letter must include the following items:

- A request for information concerning their knowledge of archaeological, historical, or other cultural resources within the project boundaries,
- A description of the project location including the county, section, township, range, base and meridian, and the approximate direction and distance from the nearest community or well-known landmark,
- Two maps--a general location map such as a Thomas Brothers Map that shows the travel route from the nearest community or well known landmark to the project area and a copy of the relevant portion of the USGS topographic quadrangle map clearly depicting the location of the project boundaries as well as a map legend and scale,
- A statement that all replies, comments, questions or other information should be directed to CDF and provide the name, address, and telephone number of the CDF project manager,

- A statement that CDF is requesting a response within thirty days from the date of the notice so the information can be utilized during project planning,
- A statement that the Native American groups and/or individuals may participate in the project review process by submitting written comments to CDF within 30 days,
- A statement that locations of sites disclosed will be kept confidential.

Additional guidance pertaining to consultation with Native Americans is provided on our web site at <http://www.indiana.edu/~e472/cdf/contacts/procedures.html>

Prefield Research: The CDF project manager, designee, or archaeologist working on the cultural resources survey shall conduct appropriate levels of prefield research as part of the investigation. The purpose of this research is to get prepared to conduct the survey, become familiar with the types of resources likely to be encountered within the project area, and to be ready to interpret, record, and evaluate these findings within the context of local history and prehistory. The investigator should review records, study maps, read pertinent ethnographic, archaeological, and historical literature specific to the area being studied, and conduct other tasks to maximize the effectiveness of the survey. The *Handbook of North American Indians - Volume 8 – California* (Smithsonian Institution 1978) and the *Handbook of the Indians of California* (Kroeber 1925) are two primary ethnographic sources; at least one of which should be reviewed. Determine which tribal group or groups occupied the area containing the proposed project and review information about those tribal groups. Another excellent source that should be checked every time is the General Land Office (GLO) plat maps for the township containing the project. Most GLO plat maps date from the 1850s to the 1870s although some are as late as 1900. The GLO surveyors often mapped homesteads, cabins, orchards, roads, trails, fencelines, mining areas, etc. that were observed during their survey. If any such features are depicted on the map within what is now the project area, a careful search should be made for surviving remnants of them or of unmapped associated features or artifacts. GLO plat maps can be an excellent source for dating historic features discovered on your archaeological survey. The GLO surveyor's notes usually accompany the plats and review of these is sometimes useful as well. GLO plat maps and records may be obtained through the mail or in-person at the Bureau of Land Management Office of Survey Records in Sacramento. It is prudent to call first: (916) 978-4330. The BLM usually charges a small fee per copy (24" X 36") but BLM has waived the fee for CDF. GLO plat maps are also kept on file at some of the ICs. Those ICs may provide a copy of a relevant portion of a GLO plat map as part of a Complete Records Check, if so requested. Old topographic maps, if available, should be examined for the locations of old houses, roads and other features that may have been displayed on these early maps but not on current USGS topographic quadrangle maps. Consulting a series of aerial photographs taken over a period of time can help date historic structures and aid in the assessment of the types of previous land-use practices and prior ground disturbances. Persons contacted should include individuals belonging to any local historical society, agency archaeologists, landowners, ranchers, neighbors, and/or other knowledgeable individuals that may have lived or worked in the area being studied. Prefield research should also include a review of archaeological reports (either survey reports or excavation reports) and/or site records for the local area. This review will provide specific examples of the kinds of cultural resources that have been previously discovered in the general area, a discussion of archaeological, historical, and ethnographic information pertaining to the area being studied, and examples of typical artifact assemblages. Look for site location patterning and the types of artifacts or features being recorded. For projects on CDF facilities or state-owned lands, be sure to review *CDF's Management Plan for Historic Buildings and Archaeological Sites* (Foster and Thornton 2001), and *A Survey and Historic Significance Evaluation of the CDF Building Inventory* (Thornton 1994). This

two-volume report includes a complete listing of all CDF buildings and provides the date of construction for each building. For projects containing CDF lookouts, review *An Inventory and Historical Significance Evaluation of the CDF Lookout Stations* (Thornton 1993). This volume also provides the age and historical significance of each surviving CDF lookout facility.

Consultation with a CDF Archaeologist: After the records check, Native American project notification, and prefield research steps have been completed, the CDF project manager shall consult with a CDF Archaeologist to review these findings and determine appropriate survey strategy and methods. It will be determined at this time whether or not a CDF Archaeologist is available to assist in the completion of the survey, or if this work will be conducted entirely by an archaeologically trained resource professional.

Survey: An intensive cultural resource survey shall be made of the Area of Potential Effect (APE) of the project area. Such a survey shall only be performed by a *professional archaeologist*, or an *archaeologically trained resource professional* as defined in the Forest Practice Rules. In most cases the work will be done by the CDF project manager, possibly assisted by a CDF Archaeologist. It is possible, however, that the survey work will be completed by a consulting RPF or professional archaeologist retained by the landowner, as part of the grant, or retained by CDF. In all cases, however, the work will be completed under close supervision by a CDF Archaeologist. The objective of this survey is to identify the specific location of all cultural resources within the project area, including but not limited to: historic landscapes, prehistoric or historic archaeological sites, features, or artifacts, historic buildings or structures, or other types of resources that have significant cultural importance to Native Americans such as traditional cultural properties, cemeteries, gathering areas, and/or sacred sites. In some situations, archaeological survey work may be delayed until after the project has begun. For example, certain exempt practices may begin without archaeological survey, and this staggered approach may be necessary to determine the precise location of Areas of Potential Effect for subsequent activities. Fuels reduction projects involving hand cutting of brush and the burning of brush piles are typical examples of the kinds of projects where archaeological survey may take place after the exact location of the brush piles becomes known.

Survey methods and techniques employed to achieve adequate coverage will vary based upon a variety of factors. These include the physical characteristics of the property, especially topographic and other environmental attributes, and other information gathered during the records check, in response to the Native American information request, and/or other prefield research, as well as the results of archaeological inventories in areas with a similar cultural and natural setting. There are four different levels of archaeological survey coverage intensity: complete, general, intuitive, and cursory. These are described below:

- **Complete** A complete reconnaissance is one in which archaeologically-trained individuals systematically traverse the area at 10 meter intervals or less, looking carefully for all evidence of prior human activity. Team members usually walk abreast. All archaeological phenomena in a given area may not be visible or as easily definable at the same time: different seasons, varying light conditions, differential erosion, and/or deadfall and duff cover may obscure the investigator's vision or reveal certain remains at different times. Nevertheless, most features should be observable to a trained surveyor walking over the entire area under investigation in a complete manner. Coverage shall be sufficient to allow the investigator to encounter the smallest of the archaeological sites likely to occur in the area under study. Spacing must be narrow enough and ground cover must be modified (if it is an observational problem) to the extent that will allow the

investigator to locate the sites. If needed, ground cover modifications (e.g., systematic removal of duff) shall be used to allow inspection of mineral soil for evidence of human activity. During a complete reconnaissance areas will be encountered that could contain archaeological remains (such as prominent rock outcroppings, benches, suspicious-looking features, possible artifacts, etc.). These areas should be intensively examined to determine if archaeological remains are present before transect coverage is resumed.

- **General** A general reconnaissance is one in which an attempt is made to systematically cover an area as in a complete reconnaissance but with wider transect intervals. This might be due to steepness of slope, absence of water, or because of other physical conditions or observational constraints (e.g., deadfall, brush, steep slopes). Transect spacing may be increased to 30 meters.
- **Intuitive** Detailed inspection is given only to specific localities that exhibit previously identified characteristics that may be associated with the location of archaeological properties. Coverage is usually accomplished by traverses 30-50 meters apart. For example, if the reconnaissance is within a steep timberland and controlled studies show that remains of historic activities are not expected for the area and prehistoric sites occur only on benches and near springs, the investigator might then be justified in covering the area in a manner sufficient to locate those natural phenomena that have potential for association with the location of archaeological sites. Detailed inspection is reserved for those areas identified as archaeologically sensitive. Localities within low potential areas that shall receive detailed inspection in this study include springs, seeps, and low rises in flat plains.
- **Cursory** A cursory reconnaissance is one in which the inspector gives the areas a quick field inspection rather than intensive coverage. Sometimes these areas can be examined by walking briefly through and checking likely or probable spots close to the line of travel. Such methods should be employed along with visual aids (e.g., aerial photographs) to ensure that specific localities that exhibit characteristics that may be associated with archaeological site locations are not overlooked. The environmental factors that should be scanned for have been mentioned above.

Develop Protection Measures: CDF shall develop effective protection measures for all identified cultural resources located within project areas. These measures may include adjusting the project location or design to entirely avoid cultural resource locations or changing project activities so that damaging effects to cultural resources will not occur. These protection measures shall be written in clear, enforceable language, and shall be included in the archaeological survey report. CDF shall exercise a strategy of avoiding all adverse impacts to cultural resources. If impacts to cultural resources cannot be avoided, CDF is responsible for developing specific, effective measures to ensure the mitigation/reduction of impacts to cultural resources in order to avoid or prevent substantial adverse change as defined in state law (PRC Sections 5020-5024, 210833.2, 21084.1, and CCR Sections 15064.5 through 15360).

Consultation with Native Americans: In the event that *Native American Archaeological or Cultural Sites* (defined in the Forest Practice Rules) are identified within a project area, CDF shall notify Native Americans regarding the existence of such sites, provide information regarding the proposed protection measures, and provide Native Americans the opportunity to submit comments and participate in consultation to resolve issues of concern.

If, during review of certain CDF projects, the typical practice of allowing 30 days for reply to this second

notice will create difficulties, the CDF project manager may consult over the telephone or through a face-to-face meeting with each required tribal contact and document this consultation in Part 3 of the report.

Record Sites: CDF shall record all archaeological or historical sites discovered within project areas. This recording work shall be conducted in accordance with the policies specified in OHP's *Instructions for Recording Historical Resources* (1995). Additional guidance for site recording is provided in CDF's *Suggestions for Preparing Archaeological Site Records and Site Maps* (2001). Both of these documents on site recording procedures and the forms used to record them are available on our web site. CDF is occasionally requested by Native American groups to not record certain types of cultural resources (such as ceremonial or sacred sites) as a condition upon their disclosure. In such instances, CDF will honor the request and not record these types of sensitive cultural resources.

Complete Archaeological Survey Report: CDF shall ensure that an archaeological survey report is completed for every cultural resource survey conducted for a CDF project. This report will be prepared using CDF's *Archaeological Survey Report Form for CDF Projects* (available on our web site) or an equivalent format containing the same information in the same order. Detailed instructions for completing this report are provided in Chapter III beginning on page 18.

CDF Archaeologist Provides Approval Signature Following Satisfactory Completion of Investigation and Report: A CDF Archaeologist shall carefully review all archaeological survey reports prepared for CDF projects. This review shall include elements of completeness, accuracy, content, and professional adequacy. If necessary, this review shall include a field inspection to examine cultural resource discoveries, spot-check areas to test adequacy of survey coverage, and review of site records in field settings. Most importantly, this review shall include a careful review of the proposed protection measures to ensure that the project has been designed or redesigned to be in full conformance with applicable state laws, regulations, and other mandates such as Programmatic Agreements, EIRs, and/or current professional standards. The CDF Archaeologist shall provide approval signature ONLY after the investigation and report have been satisfactorily completed. The CDF Archaeologist shall ensure that a clean, complete copy of the survey report is provided to the appropriate IC for permanent retention. The CDF project manager shall ensure that a copy is included in the appropriate project file to demonstrate compliance with these procedures.

Archaeological Clearance: Archaeological clearance shall be given only after all these procedural steps have been completed and documented in the project file. This documentation shall include either a letter to the file or a survey report signed and approved by a CDF Archaeologist.

**Procedures for Post-Approval Discovery of Cultural Resources:** If a cultural resource is discovered within a project area after the project has been approved, the following procedures apply:

1. Project activities within 100 feet of the newly discovered cultural resource shall be immediately halted.
2. The appropriate CDF Archaeologist shall be immediately notified.
3. The CDF Archaeologist shall evaluate the new discovery and develop appropriate protection measures.
4. The CDF Archaeologist shall investigate how the project was reviewed for cultural resources to determine if the cultural resource should have been identified earlier.
5. The CDF Archaeologist shall ensure that the newly discovered site is recorded and its discovery and protection measures are documented in the project files.
6. For discoveries made on federally funded CDF projects, the CDF Archaeologist shall notify and

consult with the federal agency funding the project and the SHPO prior to authorizing recommencement of project activities near the newly discovered site.

7. If the newly discovered site is a Native American Archaeological or Cultural Site (defined in the Forest Practice Rules), the CDF Archaeologist shall notify the appropriate Native American tribal group and the NAHC, if appropriate.

**Private Landowner Involvement:** Many CDF projects are located on privately owned lands. CDF shall respect landowner's rights when implementing these procedures. This courtesy includes notifying the landowner(s) of CDF's cultural resource responsibilities and inviting their comments and participation. Landowners shall be notified regarding the scheduling of archaeological survey or other inspection work carried out by CDF and given the opportunity to comment on and participate in such inspections. CDF shall provide a copy of any completed survey reports to the appropriate landowner(s), if so requested. Landowners shall also be advised that such reports containing specific site locations are confidential and shall not be distributed to the public.

### Completing the CDF Archaeological Survey Report Form

**Introduction:** The purpose of the *CDF Archaeological Survey Report Form* is to document the results of an archaeological survey and impact assessment, demonstrate completion of required tasks, identify specific protection measures, and ensure review and approval by a CDF Archaeologist to support the Department's approval of the project. This information is kept by CDF but not made available to the general public in order to prevent disclosure of sensitive resource locations to unauthorized individuals. Once approved, the completed report is forwarded to the appropriate IC of the California Historical Resources Information System for permanent retention so that this information can be added to the state's database of cultural resources and benefit future management or research on the property. The current version of the *Archaeological Survey Report Form for CDF Projects* was created in January 2003 and was designed to closely follow the recently revised Confidential Archaeological Addendum for THPs. A downloadable version of the form is available from the CDF Archaeology Program Web Site at <http://www.indiana.edu/~e472/cdf/forms/forms.html> or through written request by email to any of CDF's staff Archaeologists. The survey report form is designed to document investigations for typical CDF projects. Complex investigations, such as those requiring site testing, may require additional documentation. This report form is intended for use by a CDF resource professional who has completed archaeological training. The investigation documented in the report shall be conducted under the guidance of a CDF Archaeologist for professional review and concurrence with findings.

**Title Block and Footer:** The title block must contain the name of the project, county, author's name, author's affiliation, address, and phone number. Provide the date the report was written. [Be sure to delete the parentheses which were placed on the form only to guide the insertion of the appropriate project specific information.] The following are typical examples of how the title block should appear:

An Archaeological Survey Report for the Rice Canyon VMP Project Lassen County, California	An Archaeological Survey Report for the Well Replacement and Utility Trenching at the CDF Coalinga Forest Fire Station
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by:  Joe Forester, RPF #0001 Unit Forester, Lassen-Modoc Unit 697-345 Highway 36 Susanville, CA 96130 (123) 456-7890  January 23, 2003	Fresno County, California  by:  Susan Jones, Battalion Chief Coalinga Battalion, Fresno-Kings Unit California Department of Forestry and Fire Protection 640 West Elm Avenue Coalinga, CA 93210 (123) 456-7890  March 1, 2003
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Insert the name of the project into the space created in the footer. The CDF Archaeologists request that the name of the project appear in small, italicized font as a footer on each page. To insert the information, open the survey report to page 2, click on *View*, then select *Headers and Footers*. Click the third button to the left of *Close* which will switch to the footer and display the prompter to insert the project name. After entering the name and deleting the prompter and parentheses, select *Close* and save the file. The name of the project should now appear in small italicized font on the bottom of each page except the first page.

**Part 1. Project Information:** Provide the project number and the name of the CDF project manager. Include the title, headquarters location and telephone number of the project manager if the project manager is not the author of the report. The author of the report is usually also the project manager and archaeological surveyor. In such instances the address and telephone numbers do not need to be repeated in Parts 1 and 5. Indicate the size of the project, usually in acres, although linear projects (such as shaded fuelbreaks) can be described differently. Provide the name of the 7.5 minute topographic quadrangle map, the name of the landowner or landowners, and the legal location. Briefly discuss the source of funds supporting the project. Indicate if the project includes state funds, federal funds, or both. For projects involving federal funds, indicate the federal agency that provided funding. This funding information is needed to comply with Programmatic Agreements and to prepare annual reports specified in those agreements. Provide a brief project description and be sure to include a discussion of all ground disturbing activities.

**Part 2. Archaeological Records Check Information:** A current archaeological records check conducted at the appropriate Information Center (IC) of the California Historical Resource Information System must have been conducted for the project area. A request form and additional instructions are available on our web site. Indicate the date this check was completed and attach a copy of the completed records check request, maps, and reply from the Information Center (IC) including mapped information. Provide the IC file number and summarize the results of the records check discussing whether or not archaeological or historical sites are known or suspected to exist within the project area, and whether or not the property has a previous archaeological investigation on record.

In some instances, CDF project managers will be using a different method to complete an archaeological records check. CDF maintains a data base of information on cultural resources on Demonstration State Forests, and these sources may be reviewed in lieu of a typical records check at the IC if the data base has been kept current. CDF also keeps records on archaeological surveys for many of its facilities. CDF must update its data base every five years for those sources in order for that data base

to continue to be an adequate and legal alternative to IC record checks for every project.

**Part 3. Native American Consultation Information:** The first half of this section must be completed for all projects. It documents the first notice and information request sent to Native Americans. The second half, beginning with the phrase “Date Notification Letters were sent to Native Americans (if applicable)” must be completed only in those instances where a Native American archaeological or cultural site was confirmed to exist within the Area of Potential Effect for the project. In the first part, provide an example of an information request letter that was sent, including the maps. Be sure the information request letters include all of the information and statements identified on pages 13-14 of this document.

List all of the Native American contacts that you provided written notification about the proposed project, the date of the CDF Native American Contact List that you used to determine the appropriate tribal contacts, and the date your letters were sent. Check the appropriate box pertaining to the results of this request and check the appropriate box pertaining to the presence or absence of Native American archaeological or cultural sites identified within the CDF project area. If you check “No” (that such sites have not been identified), then you may delete the remaining portions of the form in this section or leave them blank. We recommend that you delete those portions of the form if they do not apply to the report being prepared. If you check “Yes” (that such sites have been located within the project) you will need to send additional noticing to Native Americans and discuss the results in Part 3. To avoid delays in project approval, send the second letters immediately after the survey has been completed and protection measures have been determined, in consultation with the CDF Archaeologist. This second letter should contain the following:

- the name, address, and telephone number of the CDF project manager sending the notice,
- the name, number, or other designator of the CDF project,
- a list of all known Native American archaeological or cultural sites located within the project area, including a name, number or other designator, and a brief description of each site,
- a brief discussion of how each site shall be protected,
- a statement that written comments may be submitted for CDF’s consideration at the address provided if received within 30 days.

If, during review of certain CDF projects, the typical practice of allowing 30 days for reply to this second notice will create difficulties, the CDF project manager may consult over the telephone or through a face-to-face meeting with each required tribal contact and document this consultation in Part 3 of the report.

There may be times, such as when working on a project that has previously surveyed, when you know the location of the Native American archaeological or cultural sites and appropriate, specific, enforceable protection measures prior to starting your project. You have the option of combining the two letters into one if you make sure that you include all information required for both letters. If there are any changes to the project, such as the discovery of new (i.e., previously unrecorded) archaeological sites during additional surveys, or changes to the protection measures, you would then have to send an additional notification letter to the Native American groups and individuals previously contacted.

**Part 4. Prefield Research:** The prefield research will help you determine where you are going to intensify your survey and what you should be looking for. Suggestions for conducting prefield research were provided on pages 14-15 and are not repeated here. Be sure to list the literature reviewed and the

persons contacted during the required prefield research, and most importantly, provide a summary of the results of this research as it relates to this project. The following statement in quotation marks is an example of a summary that would be neither acceptable nor adequate: "Prefield research resulted in no additional information to what was already known or provided in the records check." The summary of prefield research results must include a discussion of the history of the area. Indicate which tribal group lived in the area, briefly characterize the nature of its settlement patterns and describe how the tribe may have used the project area. Also describe the historic settlement in the area and list the sites known in the area and the type of sites that are expected to be found in the project area and vicinity.

**Part 5. Training and Experience of Archaeological Surveyors:** Provide information concerning the training and qualifications of the person or persons who conducted the archaeological survey to demonstrate that the surveyors meet the qualification standards described in Section 929.4 of the Forest Practice Rules. List the name of the current archaeological surveyor. Provide that person's affiliation, address, and phone number if this information is not already included in the title block or in Part 1 of the report. If the archaeological survey was conducted by a person with current CDF archaeological training, provide the most recently completed training course number and the date the training course was completed. The training must be current (within five years prior to the survey). If the current surveyor is a Professional Archaeologist check the appropriate box. If, according to the IC response, the project area or part of the project area had been previously surveyed, list the previous surveyor's name and title of any applicable survey report on file.

**Part 6. Survey Methods and Procedures:** The information provided in this section should describe the effort made to search for cultural resources within the project area, and to demonstrate that an adequate and appropriate effort was made. In describing the survey strategy explain the archaeological survey methods that were used. Summarize the survey strategy by incorporating recommendations made by the IC and by using results of the prefield research. Survey strategy may be influenced by additional considerations such as topography and/or other physical attributes of the property. Provide information addressing where you looked, what methods were employed, and what you were looking for. For example, CDF recommends that you not state that you were searching for bedrock mortars in Humboldt County, since to date no bedrock mortars have been identified there and, therefore, it is believed that bedrock mortars do not occur there. On the other hand, if your survey was within the Sierra Nevada region it would be quite appropriate for you to indicate that you were searching all likely rock outcrops for bedrock milling features. In other words, demonstrate that you know what you should have been looking for and that you employed a survey strategy that was appropriate for the area or region in which the property is located. CDF has produced a few articles designed to assist CDF personnel in developing appropriate strategies and these are available on the CDF Archaeology Program Web Site and in the *Reference Manual and Study Guide for the CDF-CLFA Archaeological Training Program For Registered Professional Foresters And Other Resource Professionals*.

Discuss the length of time spent conducting the archaeological survey. If you indicate that only one day was spent on the archaeological survey for a 500 acre project the CDF Archaeologist reviewing that project would likely question the adequacy of the survey effort. Also provide the date or dates of your survey. It is important that you survey during good weather and at a time when you have the best ground visibility.

Discuss the survey coverage intensity. If you applied systematic survey coverage, describe your transect intervals. For surveys on smaller parcels, it is perfectly acceptable to describe a survey coverage intensity

that results from looking for archaeological sites while you were covering the area in the conduct of other tasks. Be sure, however, that you proceed slowly enough and cover the ground intensively enough to ensure that adequate survey coverage has been applied. Coverage with adequate intensity can be accomplished while doing other fieldwork, but be sure to accurately describe how well the ground was covered. For large project areas, it is better to apply different forms of systematic coverage. A lengthy discussion of systematic survey coverage is provided on pages 15-16 of this document. Discuss ground visibility and/or other limitations you encountered during the survey. If heavy duff or grass cover inhibited ground visibility and you used surface scrapes to improve your ability to see the soil, or if you observed exposed soils in road cut banks or creek banks, mention this. If portions of the project area were not included in the site survey area, be sure to explain why (i.e., the terrain was too steep, it was vegetated with abundant poison oak, etc.). Also include any other relevant information concerning your survey such as relevant details about the history of the area, any sites from a previous study, facts about previous land management practices, burn history, etc.

If recorded archaeological or historical sites were identified during the archaeological records check as occurring within or adjacent to your project area, then you should attempt to relocate each site during the survey. For recorded sites adjacent to the project area, you should relocate those sites and determine if they extend into your project area. Be sure you have obtained permission to enter any adjacent lands (trespassing is not recommended).

Once archaeological and/or historical sites are found you will need to determine their boundaries so they can be mapped, recorded, and protected. If flagging is to be used, we recommend the use of printed flagging that contains the words "Special Treatment Zone" and the placement of enough flagging so that the site boundaries are readily visible to equipment operators and other members of the project crew.

**Part 7. Survey Results:** List and briefly describe all archaeological or historical sites identified within the site survey area, including their size, type, and condition, regardless of their significance. Display the specific location of all identified archaeological or historical sites, and the areas covered, on an attached map or set of maps. At least one of these maps must be a 1:1 scale copy of a USGS 7.5' quad map so the information can be accurately transferred to the official data base maps at the IC. The designations used for the sites on these maps must correspond to the designations for each of these sites in Parts 7, 8, and 9 of the report. This list and description must include previously recorded sites in addition to the new ones you discovered. If the Records Check shows sites that you were not able to relocate, discuss this in your survey results. Here is an example of a good site list with brief, but adequate site descriptions:

- Site #1. This is a previously recorded site, assigned the trinomial of CA-MEN-1806/H, recorded by Mark Gary in 1992. It is a multi-component site with both prehistoric and historic components. The majority of the site area contains a rich midden deposit with three possible housepits and a cupule boulder--evidence suggesting that this was a major prehistoric village site. The site appears to be in excellent condition. Artifacts observed on the surface include a rich scatter of chert and obsidian flakes and three projectile points. The historic element is the ruins of a one-room log cabin built with wire nails in circa 1920. The site measures about 250 m. X 100 m. in area.
- Site #2. I discovered this site during the survey and named it the Bear Creek Site. It is a prehistoric lithic scatter of moderate density (about 5 flakes per square meter). Chert and obsidian flakes were found but no midden, features, or flaked tools. The site measures about 50 m. X 30 m. and appears to

have been disturbed by previous logging operations.

- Site #3. Another site I discovered, named the Callie Homestead, is an historic homestead with a cabin, corral, fruit trees, and scattered historic artifacts including cans and bottle fragments. The site area measures about 200 ft. X 150 ft. The cabin and trees are in good condition but the corral is in ruins. Only about 10% of it has survived.
- Site #4. Another site I discovered, this one named the Bear Creek Can Scatter, is a can scatter measuring 15 X 15 feet. It contains mostly beer cans and food tins and, based on the types of cans, appears to date to circa 1950. As a scatter, there is no depth to this site, which is in poor condition since the cans are extremely rusty and markings are not legible.
- Site #5. This is the location of another recorded site, CA-MEN-1807, recorded by Jim Mismap in 1973 as a small sparse lithic scatter. I did not relocate the site during my survey. The recorded location provided by the IC is included on the attached Archaeological Coverage Map, but no site was observed at that location.

In the above example, all five site locations must be plotted on the attached maps, and these plotted locations should be designated Sites 1 through 5. Although site descriptions in the survey report may be kept brief, the same information can be copied and pasted/inserted into the site record, but the level of detail should then be expanded so that it is as detailed as possible.

Following the list and description of each identified site, check the appropriate boxes indicating how CDF's recording requirements have been or will be met. CDF is responsible for recording sites located within project areas and these site records must be completed in accordance with currently acceptable professional standards. The following additional suggestions concerning site recording are offered:

- Site records should be included with the draft report forwarded to the CDF Archaeologist for review.
- If the site was previously recorded you may need to update the site record by re-recording it, particularly if the existing record does not meet current standards or if new information pertaining to the site was found.
- When determining the appropriate level of recording needed for each site, the following general guidelines should be used; bearing in mind that some sites may need additional recordation above these suggested levels. Small, recent, or ubiquitous sites such as historic can dumps, minor ditch segments, etc. may qualify for recording with the minimum acceptable standard, which is a 2-page record including a completed Primary Record and Location Map. Small prehistoric sites (such as sparse lithic scatters) which are to be completely avoided may also be recorded with a Primary Record and Location Map, although CDF recommends the inclusion of a Site Map to ensure the site can be relocated in the future. Larger, more complex sites should be recorded using at least a 4-page record consisting of a Primary Record, Archaeological Site Record, Site Map, and Location Map. In general, all but the very simplest resources should be recorded with a Primary Record, Location Map, and an appropriate detailed recording form or forms (e.g., Archaeological Site Record, Linear Feature Record, Milling Station Record, Rock Art Record). At a minimum, any significant site should be recorded to the 4-page standard (Primary Record, Archaeological Site Record, Site Map, and Location Map). Sites containing diagnostic artifacts should include scale drawings of the artifacts and/or photographs. CDF

staff should be familiar with two important references on site recording that are available on our web site. These are: *Suggestions for Preparing Archaeological Site Records and Site Maps* (Betts 2001) and *Instructions for Recording Historical Resources* (Office of Historic Preservation 1995).

- **Part 8. Evaluation of Site Significance:** Most CDF project managers or their designees leave this section blank, even when sites are identified in the project area, and we encourage this practice. An evaluation of site significance is usually needed only if damaging effects to identified archaeological and historical sites cannot be avoided. If the report author chooses to provide an initial assessment of site significance, the analysis must utilize the significance criteria in the definition for a *significant archaeological or historical* site found in Section 895.1 of the Forest Practice Rules. The significance assessment must also utilize any information provided by Native Americans and provide a context statement pertaining to archaeological, historical and ethnographic data pertinent to the region. It should also consider the physical characteristics of the archaeological or historical site. If CDF proposes to protect the site from all *substantial adverse change* (defined in PRC Section 5020.1) and the site has been adequately recorded, then this section does not need to be completed. Instead, simply provide a statement that since the site will be protected and recorded, a preliminary significance assessment is not required.

Be aware that the CDF Archaeologist will require the report to contain extensive documentation in support of a statement that the site is not significant. Almost every prehistoric archaeological site has the potential to meet significance criterion (a) (information potential), and it may be more difficult and costly to demonstrate lack of significance, particularly if subsurface testing is needed. When CDF personnel encounter situations where damaging effects to sites cannot be avoided, a detailed discussion of site significance must be included in this section. Brief arguments dismissing site significance without adequate support are unlikely to result in archaeological clearance of the project by the CDF Archaeologist.

**Part 9. Protection Measures:** You will need to list the specific enforceable protection measures to be implemented for each identified site. The sites should be listed using the same site designations in Part 7, with specific protection measures included for each listed site. Describe measures designed to ensure protection within the site boundary and within 100 feet of the site boundary. Complete avoidance is the preferred treatment both within the site boundary and within a 100 foot buffer zone, if this is practical. When the report author proposes to carefully implement activities in and around identified cultural resources, an assessment of likely or possible impacts must be presented. In such situations we advise you develop this language in close consultation with a CDF Archaeologist and include an element of on-site supervision to ensure that protection measures or restricted project activities are closely followed. If complete protection is not possible or is impractical, the author will need to develop a detailed plan describing project activities and specific, enforceable protection measures. This plan will then be carefully reviewed by a CDF Archaeologist and key elements of that protection plan included in the second written Notice to Native Americans, if the site is a Native American resource. If limited project activities are proposed within site boundaries, then the detailed plan must be written to avoid significant adverse impacts to that site.

If CDF determines that the proposed project may cause a *substantial adverse change* (as defined in PRC Section 5020.1) to a potentially significant archaeological or historical site and these potential impacts can not be avoided, one or more of the following scenarios will most likely ensue:

- The project may need to be changed to avoid the affected sites.
- CDF may need to retain a consulting archaeologist to investigate the significance of the site or complete data recovery as mitigation. This investigation could include subsurface testing and artifact analysis and detailed documentation.
- The project may have to be cancelled.
- The project may require an Environmental Impact Report (EIR) including public and agency review.
- The project may require consultation with the appropriate federal agency and the State Historic Preservation Officer (SHPO) if federal funding is involved.

Any investigation report shall, at a minimum, contain recommendations for the mitigation and/or the reduction of impacts to avoid or prevent substantial adverse change to significant archaeological or historical sites, and shall meet the standards of *Preservation Planning Bulletin Number 4* December 1989, Office of Historic Preservation), entitled *Archaeological Resource Management Reports (ARMR): Recommended Contents and Format*. Detailed information on site impacts and appropriate protection measures is available in the *Reference Manual and Study Guide for the CDF Archaeological Training Program* (2004).

**Part 10. Implementation of Protection Measures:** In this section, the author should describe the efforts made to ensure that protection measures are effectively carried out. For example, the protection measures should be included in the *Incident Action Plan* for VMP projects so crews carrying out project activities are adequately informed. For CFIP projects, protection measures may be inserted into the Forestland Management Plan, and specific directions given to work crews. On-site supervision is another useful tool to ensure the protection measures are carefully followed. Protection measures should be included in the Environmental Checklist for CFIP and VMP projects. Upon request the CDF Archaeologist may provide assistance in developing the appropriate language for the Cultural Resources Section in this Checklist. The CDF Forester or RPF may need to revise the Project Description to incorporate the results of the archaeological investigation, especially when specific, enforceable protection measures have been developed to protect archaeological sites. Remember that archaeological site locations are exempt from the Public Records Act; they must be kept confidential and must never be included in any public document. The CDF Archaeologist should review any perceived conflict between confidentiality policy and public disclosure requirements. A decision needs to be made regarding who must know where sites are located and how much information they need to know about them. Those individuals trusted with archaeological site location information must be advised of the importance of keeping this information confidential. The project manager should incorporate results of the archaeological investigation into the Management Plan for the property, if one is being prepared, and should notify all appropriate project personnel of specific archaeological protection measures that were agreed-to, and ensure that these measures are carried-out. The project manager should monitor and evaluate the effectiveness of any plan used to protect archaeological or historical resources upon completion of the project by inspecting sensitive areas to determine if desired objectives have been met. These efforts should be discussed in Part 10 of the report.

**Part 11. Other Applicable Information:** This section is intended to be used if the author wishes to provide any other applicable information that did not fit well in the previous sections of the report. In past years we have seen authors use this section to discuss land ownership history, history of land management practices, future development and/or resources found outside the site survey area.

**Part 12. Attachments:** The following attachments should be included with your survey report:

- A copy of the completed records check request and its accompanying map, and the written response from the appropriate IC including all information and/or site records provided by the IC.
- An example of CDF's correspondence with the local Native American tribal groups and individuals including maps, and any response that has been received.
- Site records including maps. Include original photos rather than photocopies of photos.
- Archaeological Coverage Map or Maps, one of which must be a USGS 7.5-min. quad map (or digitally generated topographic equivalent) at 1:24,000 scale. The map must show a north arrow, scale, project boundary, location of all archaeological and historic sites identified (with site size and configuration mapped accurately), regardless of significance, and specific areas examined during the archaeological survey. Make sure the designations used to list sites in Parts 7, 8, and 9 are the same designators used to differentiate mapped site locations on the Archaeological Coverage Map. Additional maps at other scales to provide increased clarity are encouraged, and in small projects may be necessary, but the 1:24,000 scale map is always required. The reason for this is to enable accurate transfer of site locations and survey coverage areas onto the official base maps kept at the ICs which are original 7.5 minute topographic quadrangle sheets.

**Part 13. Professional Review and Approval:** A CDF Archaeologist will review the report and provide a signature once the investigation and report have been satisfactorily completed. The author may complete the printed name, title, and location, but leave the signature and date lines blank; these will be completed by the CDF Archaeologist. You are encouraged to consult with the CDF Archaeologist several times during the investigation and development of the report. You may wish to forward a draft copy of the report via email for the CDF Archaeologist to review, edit, and finalize. You could send draft maps and site records via FAX for review. Once the CDF Archaeologist determines the investigation and report have been satisfactorily completed, assemble an original report, including all changes recommended during review and with all attachments, and send it to the appropriate CDF Archaeologist for signature and distribution.

**CDF Archaeological Survey Report Form:**

**An Archaeological Survey Report for the  
(name of project)  
(name of county), California**

by:

(author's name)

(author's affiliation/title)

(author's mailing address)

(author's telephone number)

(date report was written)

**Part 1: Project Information**

Project Number:

Name of CDF Project Manager:

Project Size (acres):  
Name of 7.5' USGS Quad Map:  
Name of Landowner:  
Legal Location:  
Funding Information:  
Project Description:

### **Part 2: Archaeological Records Check Information**

Date of Records Check Conducted by IC:  
IC File Number:  
Summary of Records Check Results:

- Records Check Request, Map, and written reply from the IC are attached
  - Records Check Not Attached
- Justification:

### **Part 3: Native American Consultation Information**

- Example of a notification letter(s) (including maps) is attached
- List of Native American individuals or groups that were provided written notification:  
Date of the CDF Native American Contact List that was used:  
Date notification was sent:  
Results of Information Request:
- No reply received as of (date):
  - Written reply received (copy attached)
  - Verbal reply received (summarize verbal reply):
  - Native American archaeological or cultural sites were not identified within the project area
  - Native American archaeological or cultural sites have been identified within the project area
- Date Notification Letters were sent to Native Americans (if applicable):  
Date copies of notification letters sent to the Director:  
Results of Notification to Native Americans:
- No reply received as of (date):
  - Written reply received (copy attached)
  - Verbal reply received (summarize verbal reply):

### **Part 4: Pre-Field Research**

Literature Reviewed:  
Persons Contacted:  
Summary of Results of Pre-Field Research:

### **Part 5: Training and Experience of Archaeological Surveyors**

Name of current Archaeological Surveyor(s):  
 Archaeological Survey conducted by Professional Archaeologist

- ( ) Archaeological Survey conducted by person with current CDF Archaeological Training  
CDF Archaeological Training Course #  
Date Training Course was completed:
- ( ) Archaeological Survey for previous project within site survey area previously conducted by  
(provide name):

### **Part 6: Survey Methods and Procedures**

Survey strategy:

Time spent conducting archaeological field survey:

Date or Dates the survey was conducted:

Survey coverage intensity:

Ground visibility/other limitations:

Other relevant information:

### **Part 7: Survey Results**

List and description of all sites found:

- ( ) No sites found within the site survey area.
- ( ) The following sites have been recorded and completed records are attached:
- ( ) The following sites were previously recorded, updates not prepared (attach copy(ies)):
- ( ) The following sites were previously recorded, updates prepared (attach copy(ies)):
- ( ) The following sites will not be recorded, justification provided below:

### **Part 8: Evaluation of Significance**

Preliminary determination of significance of listed sites (if required):

### **Part 9: Protection Measures**

Specific enforceable protection measures:

### **Part 10: Implementation of Protection Measures**

Discuss actions taken to carry out protection measures:

### **Part 11: Other Applicable Information**

Additional Information:

**Part 12: List of Attachments**

- |  |  |
|--|--|
| <input type="checkbox"/> Archaeological Records Check Request      | <input type="checkbox"/> Archaeological Coverage Map (1:1 scale of USGS 7.5' quad) |
| <input type="checkbox"/> Archaeological Records Check Request Map  | <input type="checkbox"/> Additional Archaeological coverage map(s)                 |
| <input type="checkbox"/> Information Center Reply                  | <input type="checkbox"/> Project Vicinity Map                                      |
| <input type="checkbox"/> Example of Notice(s) to Native Americans: | <input type="checkbox"/> Written Reply from Native Americans                       |
| <input type="checkbox"/> USFS or other Agency Correspondence:      | <input type="checkbox"/> Site Records  |
| <input type="checkbox"/> Other:                                    | <input type="checkbox"/> Photographs   |

**Part 13: Professional Review and Approval**

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**Signature of CDF Archaeologist**

Date Signed:

Printed name:

Title:

Location:

## APPENDIX VII

### PROCEDURES FOR AN ARCHAEOLOGIST ASSIGNED TO A CDF WILDFIRE OR OTHER EMERGENCY INCIDENT

This document provides guidance to an Archaeologist assigned to a California Department of Forestry and Fire Protection (CDF) wildfire or other type of emergency incident. This information includes a goals statement and specific logistic and technical suggestions describing what needs to be done when first assigned to an incident, as well as suggestions for successful completion of tasks upon arrival, during, and before departing an incident. These procedures are also intended to provide useful information for the Plans Section staff to which Archaeologists are likely to be assigned, and to the California Historical Resource Information System (CHRIS) Information Centers, Native American Heritage Commission (NAHC), and local Native American tribal contacts who will play a role in providing the Archaeologist with information concerning cultural resources which may occur within the areas affected by the incident.

#### *GOALS STATEMENT*

The purpose of assigning an Archaeologist to an incident is to identify and protect important archaeological, historical, and other types of cultural resources whenever feasible if such protection can be accomplished in a safe manner without delaying or hindering emergency response operations. The Archaeologist must never compromise safety for the protection and preservation of archaeological and historic properties. A successful Archaeologist is one that is viewed by most members of the team as an asset, rather than a hindrance, to the team that he or she supports.

#### *ASSIGNMENT TO THE INCIDENT*

- The request to fill an order for a Technical Specialist (Archaeologist) is likely to come from the Incident to the CDF Command Center. When the request reaches the Archaeologist he or she will be asked concerning their availability to respond to the incident. If the Archaeologist is available to take the assignment that person should clearly indicate so, calculate the estimated arrival time to the incident, and provide that information to the Command Center. The Archaeologist will also need to ask for and write down the following items of information:
  1. Order and Request Numbers – These numbers will be needed to check in once the Archaeologist arrives at the incident and will be used on the incident timesheet (FC-33).
  2. Reporting Location – Get the name of and directions to the incident reporting location. Ask for the phone number for the camp. Ask for the time of the morning briefing. Note that the Command Center will in turn ask the date and time of anticipated arrival. Be sure to budget time for sleep and try to arrive in time to attend the morning briefing.
  3. Incident Legal Description – Township, range, and section information. Also request the size of the fire and the name of the USGS quadrangle(s) that show the fire area. This information may or may not be known at the time the Archaeologist receives the assignment, but CDF can

usually provide information regarding the location of the fire and the direction the fire is moving.

4. Names of Other Landowning Agencies – Find out whether or not other agencies such as the USFS, BLM, California Department of Parks and Recreation, etc. manage lands within the incident area.

#### *PREPARATION BEFORE DEPARTING TO GET TO THE INCIDENT*

- After receiving an incident assignment from the Command Center contact the appropriate CDF Region Archaeologist. Inform them of the assignment to seek and acquire pertinent information regarding the fire area.
- Contact the appropriate CHRIS Information Center and request an archaeological records check for the incident area as outlined in the Memorandum of Agreement between CDF and the Information Centers. The Information Center should be contacted by telephone, notified of the incident, and requested to provide the needed information as quickly as possible. Request a listing of all known archaeological, historical, or other cultural resource sites which are located within the incident area and adjacent areas, and if the area had previously been surveyed. It will be helpful to provide the ICs with information on which direction(s) a wildfire is spreading in order to include information on all known sites that could be immediately affected by the fire or by suppression efforts. The IC will need a map or maps depicting the incident location, or if this is not available - a legal location (Township, Range, and Sections) in order to provide the needed information. CDF will usually need copies of the site records for these sites, or at least mapped locations and site descriptions. In some cases the CDF Archaeology Program manager may be assisting the Archaeologist responding to the incident by providing the IC with the map or legal location and helping arrange a mechanism for such information to get to the responding Archaeologist. In some cases the Archaeologist may be able to have the Information Center photocopy the entire USGS quadrangle(s) that contain the fire area and arrange to pick up the maps en-route to the incident. In other cases the Archaeologist will have to report to the incident, obtain copies of incident maps, and then visit the Information Center to obtain USGS map copies or to simply transfer mapped data directly on to incident maps. Note that these offices are closed on the weekends but through an MOU the Information Centers have agreed to provide CDF with a list of confidential emergency response telephone numbers. Contact the CDF Archaeology Program Manager for this list of phone numbers. A statewide electronic database containing locations of all known sites throughout California is not yet available but CDF and the Information Centers are working on this, and soon CDF expects to acquire immediate access to archaeological site location information pertinent to the incident.
- Consult with the Native American Heritage Commission (NAHC). Our contact is Rob Wood. His office telephone number is (916) 653-4040. Ask the NAHC to check the Sacred Lands File for known sites and provide CDF with local tribal contact information. If the NAHC does identify a site on the Sacred Lands File the contact information about the site might not be a person identified on either CDF's or the NAHC's contact lists. The NAHC may provide CDF with a confidential emergency response telephone number to use during weekends or off hours. Check with the CDF Archaeology Program Manager to see if such a number is available, if appropriate. Also note that these consultation procedures may have to be repeated if the fire grows substantially in size.

- Attempt to make contact with the appropriate local tribal contact(s) for the incident location. Provide notification about the incident and request information concerning the locations of cultural resources which might be threatened by the incident. The NAHC should be consulted to determine the most appropriate tribal contact(s) to be notified for the incident. CDF's Native American Contact List may not be a useful source for emergency response since multiple contacts (sometimes over 15) are listed for individual counties. Note that this contact or series of contacts may take some time to complete, and the Archaeologists responding to the incident may choose to forward this task to someone else, such as the CDF Archaeology Program Manager, to complete while the Archaeologist is driving to the incident.
- Consult with any State or Federal Agency Archaeologist that has jurisdiction over lands within the incident area. The Archaeologist should make plans for a meeting to get site information upon arrival to the incident base.
- Gather field equipment, pertinent reference materials (Kroeber's *Handbook of the Indians of California*, the Smithsonian's *Handbook of North American Indians*, Moratto's *California Archaeology*, etc) camera, GPS unit, laptop computer, printer, cell phone, and any topographic maps (paper or electronic) that cover the incident area.
- Gather complete complement of personal protective gear (PPG) including Nomex, hard hat, gloves, web gear, and assigned radio.
- Gather complete CDF uniform including shirts, T-shirts, trousers, sweatshirt or jacket, boots, socks, undergarments, cap, and belt as well as after-hours clothing from home to last a week. Also be sure to bring a medium to large-sized ice chest for lunches and drinks.

#### *TRAVEL TO THE INCIDENT*

- The Archaeologist should drive to the Incident Base in their CDF vehicle. It is critical that the Archaeologist have a 4-wheel drive vehicle available for use on the incident and one may not be available should the Archaeologist fly to the incident and rely on a rental agency.
- The Archaeologist should make sure to use 00900 for the gas code when traveling to and from the incident.
- Be sure to plan adequate time for sleeping. Working the incident with little or no sleep will render an Archaeologist less effective and safety-conscious than if adequately rested.

#### *ARRIVAL AT THE INCIDENT AND FIRST DAY SCOPE OF WORK*

- Find the Check-In recorder. Oftentimes this person will be located at the entrance to the compound that is hosting the Incident Base and will have nothing more than a clipboard on which he or she records your name, place of origin, assignment, vehicle number, and time of arrival. In other cases the Check-In is found inside a trailer with the clerk sitting behind a computer where he/she enters the same information directly into an electronic database. If the Archaeologist does not find Check-In within a few moments of arrival, ask for its location.

- Following check-in go to the Plans Section area, which is typically a trailer, and ask for the Plans Section Chief. The Archaeologist should provide an introduction and assure staff that the Archaeologist requires very little supervision. Inform staff that the locations of known archaeological sites will be obtained and the Archaeologist will work with Plans to develop strategies to avoid important sites where possible. Ask for an incident briefing and obtain a copy of the most recent Incident Action Plan (IAP). The Archaeologist should advise staff that a few hours will be needed to gather data and that the Archaeologist will meet with them later to discuss an archaeology plan.
- Obtain a copy of the full size incident map from the GIS trailer.
- Find a work space in one of the trailers or tents (perhaps with GIS or Fire Suppression Repair personnel) that has access to electricity for a computer, a table to lay out maps, and for a place for people to leave messages for the Archaeologist.
- Obtain site location data from Information Center, NAHC, and other agency Archaeologists. Plot known archeological site locations on GIS map and return to GIS trailer for digitization of site locations. Request that the burn boundary, Federal agency ownership boundaries (if any), and fire control line locations also be included on the requested map.
- If the incident includes federal lands, contact appropriate federal agency personnel to determine if any fire management plan or cooperative fire protection agreement exists for the affected federal unit, and consult to determine protection strategies and priorities. Find out who is the Agency Resource Advisor and make contact.
- Plot site locations and high sensitivity locations on IAP maps. Review IAP for description of general fire control objectives in these areas. Develop prioritized plan for field inspecting known site locations based upon estimated threats from fire and/or suppression. Also develop a plan for surveying high probability areas which may be threatened by suppression activities. Determine whether or not additional Archaeologists are required to implement the plan.
- Meet with Plans Section Chief to discuss archaeology plan. If additional archaeology staff is required ask for approval to request them. Ask about attending the afternoon Plans Meeting if possible so that the Archaeologist gets an idea of where heavy equipment will be assigned the following day and to get to know the remainder of the Plans Section staff members. If asked to make a presentation at the Planning Meeting by all means do so in an effort to convey the importance of cultural resources to all in attendance. Ask about making a brief presentation at the next day's Morning Briefing so that you have an opportunity to alert all other fire-going personnel of archaeological concerns.
- Submit a one-page Archaeological Guidelines sheet to the Plans Section for inclusion in the next IAP. This document can be prepared using site data gleaned from the Information Center and other sources. Include types of artifacts and sites likely to be encountered, locations of likely sites, recommend avoidance if at all possible and otherwise to minimize ground disturbance, recommend mapping or taking GPS readings for new discoveries, have discoveries reported to the Archaeologist or Plans Section, note that work should cease in the event of discovery of human remains. Incident personal that discover bones thought to possibly be human should immediately

request an evaluation by a CDF Archaeologist to determine whether or not the remains are human. Once confirmed, Health and Safety Code Section 7050.5 requires immediate notification to the County Coroner. The discovery should also be promptly reported to the Plans Section Chief, CDF Archaeologist (if not involved earlier), the Native American Heritage Commission (NAHC). The NAHC will designate a Most Likely Descendant pursuant to PRC 5097.98 to make a recommendation to the landowner for the treatment and disposition of Native American human remains and any associated funerary objects.

- If time allows begin to relocate and flag known sites. Develop written protection measures, if required, to be included in the next IAP. Submit protection measures, in writing on an ICS 204 Form, to the Plans Section.
- Prepare Unit/Activity Logs (ICS 214) at end of shift and submit to Documentation Unit. List major events that occurred during the shift, any special actions that are required, and who you passed, in the chain-of-command, the information on to.

#### *SECOND AND SUBSEQUENT DAYS SCOPE OF WORK*

- Attend the Morning Briefing to find out whether or not the fire location changed overnight. Listen closely to predictions of where the fire is likely to grow. Also listen closely to messages delivered by Fire Weather, Fire Behavior, and Safety personnel. Have of a quad map available at the briefing showing site locations so Division and Branch Supervisors, Dozer Bosses and Dozer Operators can look at the locations of sites in the areas that they will be working in. Have them mark pertinent site locations on their maps.
- Flag known sites and develop written protection measures to be included in the next IAP. Make sure your flagging is different from colors that others are using to mark other types of areas. *Example:* Say the Archaeologist has relocated a known prehistoric village near the west end of Division C and marked it with red plastic flagging tape. The site is located immediately adjacent to a dozer line and you note that widening the north edge of the line would impact the site. In the “Special Instructions” section of the Division C page (ICS 204) for the next IAP the Archaeologist would provide language such as “Exclude heavy equipment operations from the Special Treatment Area flagged in red in the western portion of Division C”.
- Develop plan for conducting field inspections prior to new fire control line construction in potentially sensitive areas. Flag any discovered sites and develop written protection measures to be included in the next IAP.
- Develop plan for field inspecting existing fire control lines placed in potentially sensitive areas prior to arrival of the Archaeologist. Flag any discovered sites and develop written protection measures to be included in the next IAP.
- Meet daily with Plans Section Chief for debriefing, especially during the afternoon Planning Meeting if possible.

- Prepare an e-mail message sent to the CDF Archaeology Program Manager and your supervisor every few days to provide an update regarding incident events.
- Note that the Archaeologist may be asked (or the Archaeologist may ask to) transition from the Plans Section to the Fire Suppression Repair (rehab) Section. This transition may take place after the incident is contained but not always. Suppression Repair activities sometimes begin before the incident is contained.

### **BEFORE DEPARTING THE INCIDENT**

- Obtain a “S-Number” from the Ordering Manager in the Logistics Section for expenditure of funds for the required Archaeological Records Check. Transmit this “S-Number” to the Information Center for inclusion on the Records Check invoice along with the incident name. Have a copy of the invoice faxed to you for hand-delivery to the Finance section if possible. If not possible have invoice faxed directly to Finance. Alternatively have invoice sent directly to the CDF Unit (AEU, MEU, etc) within which the incident is situated.
- Prepare a written report for Plans Section. The report should include the names and dates of those assisting in the archaeological effort and include a brief description of each known site, effects of fire or fire suppression activities, and management recommendations. It should also describe the Native American consultation efforts and the results of those efforts. A map showing specific site locations should generally not be provided with this report, since this is not a confidential document.
- Provide a copy of the written report to the Fire Suppression Repair Team. Go over the list of known sites and management recommendations for each with the Team leader or his/her deputy.
- Provide a copy of the written report to the Documentation Unit.
- Provide final Unit/Activity Log (ICS Form 214) that documents your daily activities to the Documentation Unit.
- Go through the Demobilization process.

### **AFTER DEPARTING THE INCIDENT**

- Complete final version of the report that contains survey coverage and site location maps. Distribute copies of the final report and maps to the following:

The Native American Heritage Commission.

Local tribal groups that were consulted during the incident.

Any agency whose land was involved in the incident.

The appropriate CDF Northern or Southern Region Archaeologist.

The CDF Archaeology Program Manager.

The appropriate Center of the California Historical Resources Information System Office. (Note that any archaeological site records completed following the incident are to be attached to the report for submission to this office as well.)

- Contact the CDF Archaeology Program Manager to discuss any site damage that might be mitigated through use of the 00900 archaeology contract funds.

**APPENDIX VIII**

**CDF-INFORMATION CENTER INVOICE FORM**

**Invoice**

**To:** (CDF Requestor or Administrative Unit)

**From:** (Information Center)

**Invoice Date:**

**Product Purchased by CDF:**

Note: The following is an example of a description of a product typically purchased by CDF in the conduct of an archaeological records check pursuant to this MOU: "Copies of Confidential Government Records including include an Archaeological Site Location Maps and associated Archaeological Site Record Forms."

**Name of CDF Project:**

**Project Type:** ( ) Wildfire Incident Number:

( ) Resource Management Project

**Total Amount of Invoice:**

**Make Check Payable To:**

**Remit to (Address):**