

**Award Number:** P14AC00777

**Project Number**: UNM-100

**CFDA #**: 15.945

**Park/NPS Unit:** Montezuma Castle National Monument

**Title of Project: Condition Assessment and Treatment Planning for Montezuma Castle (PHASE II)**

**Administered through the:**  Colorado Plateau Cooperative Ecosystem Studies Unit Cooperative Agreement Number H1200-09-0005

**CESU Partner:** University of New Mexico

**PROJECT CONTACTS:**

**Principal Investigator:** *Angelyn Bass, Research Assistant Professor, Department of Anthropology, University of New Mexico, MSC04 2530, Albuquerque, NM 87131, 505-577-8603, angelynbass@gmail.com*

**Partner Administrative Contact:** *Diana Sargent, Contract and Grant Administrator Pre-Awards, University of New Mexico PreAward Services, 1700 Lomas Blvd. NE, Ste 2200, MSC01 1247, Albuquerque, NM 87131-0001,* (505)277-5793 [dsargent@unm.edu](mailto:dsargent@unm.edu)

**Park Contact:** *Matt Guebard, Chief of Resource Management/Park Archeologist, Montezuma Castle National Monument/Tuzigoot National Monument, Office: 928.649.6195 x225, Cell: 928.554.5086, Email:* matt\_guebard@nps.gov

**NPS Certified ATR:** *Matt Guebard, Chief of Resource Management/Park Archeologist, Montezuma Castle National Monument/Tuzigoot National Monument, Office: 928.649.6195 x225, Cell: 928.554.5086, Email:* matt\_guebard@nps.gov

**FUNDING INFORMATION:**

**Amount Funded: $28,420.00**

**NPS Account Numbers (amounts in parentheses): PPIMMOCA00 PPMRSCR1Z.Y00000 ($28,420.00)**

**Fund Source (e.g., ONPS, FLREA, CRPP, CESU, etc.): ONPS**

NPS Funding

Is this funded using a reimbursable account number? If yes, IMR contracting needs a copy of the Interagency Agreement.

**PROJECT DATES:**

**Start Date: May 01, 2014**

**End Date: August 31, 2015**

**NPS Administrative Contacts**

**Interim CESU Coordinator (May 18 – September 13, 2014):** Todd Chaudhry, National Park Service/CPCESU, NAU P.O. Box 5765, Flagstaff, AZ 86011, 928-523-6638, Fax: 928-523-2014; [todd\_chaudhry@nps.gov](mailto:todd_chaudhry@nps.gov)

**Intermountain Region Administrative Contact:** Kelly Adams, Grants and Agreements Specialist, National Park Service, 12795 West Alameda Pkwy, Lakewood, CO 80228 Phone: 303-969-2303 Fax: 303-969-2992 Email: Kelly\_adams@nps.gov

**FEDERAL FINANCIAL REPORTS SCHEDULE:**

***Federal Financial Reports*** (Check as required for project based on spending plan, period of performance, risk, cooperator history, etc.)

{ } Quarterly { } Semi-annually {X} Annually {X} Final

**Project SCHEDULE AND TECHNICAL REPORT DEADLINES:**

List all technical reports and products in sequential order as required in the scope (more lines and milestones can be added as needed):

*Project Start Date* – May 05, 2014

*Technical progress reports –* { } Quarterly { } Semi-annually {X} Annually

(Check as needed from PI to monitor progress of specific project. Content should be addressed in the scope.)

Fieldwork session: Fall 2014

Progress Conference Call: November 2014  
  
*Investigator’s Annual Report (IAR)* – August 31, 2015

*Database, Collections/Specimens, Archives, and Maps provided to the NPS ATR or Technical Expert* – August 05, 2015*Draft Final Report* – January 31, 2015

*Final Report* – May 31, 2015

*Project End Date* – August 05, 2015

*Final Financial Report (SF-425) –* no later than 90 days after the project end date

**CPCESU REQUIRED PRODUCTS (may be different from those products required by the ATR – See Statement of Work for Products required by the NPS unit):**

The Principal Investigator will prepare a brief report abstract suitable for public distribution and an electronic version (in PDF file format) of the final report and mail all toTodd Chaudhry, Interim CPCESU Research Coordinator, NAU P.O. Box 5765, Flagstaff, AZ 86011. Please be sure to include the project number (e.g.; NAU-###, UNM-###) and the P number on the cover page of the final report.

**PROJECT ABSTRACT:**

Staff, students, and professional consultants from the University of New Mexico (UNM) will work with the National Park Service (NPS) to continue an archeological significance study and assessments of earthen architectural finishes at the Montezuma Castle cliff dwelling*.* The project will include high resolution photographic documentation and condition assessment of wall surfaces in rooms on levels 3 and 5. Additionally, a construction sequence, architectural inventory, and architectural analysis of all rooms on levels 3 and 5 will be conducted.

**Scope of Work:**

The Department of Anthropology / UNM proposes to continue a cooperative project to evaluate the archeological significance of the Montezuma Castle cliff dwelling and assess the condition of select earthen architectural finishes. This project was originally funded under PR 20025648 and included identification of remaining plaster, assessment of deterioration conditions, and evaluation of archeological significance for six rooms. During an onsite visit in September 2013, it became evident that the scope of work should be expanded to include the open areas on levels 3 and 5. The open areas display considerable evidence of deterioration not originally noted in the FY13 project proposal. An archaeological significance study is necessary to determine the scope of treatment planning. This proposal will provide funding to conduct additional photography, continue study of the archeological significance of levels 3 and 5, and condition assessment and treatment planning for the plaster in select rooms to be determined based on results of the significance assessment.

**Project Description:**

This agreement is an extension of a FY13 cooperative agreement funded through PR 20025648. The University of New Mexico began fieldwork in 2013, after which time the NPS and the cooperator agreed additional analysis is needed. Due to constraints imposed by the CESU program, a money-added modification is not possible. This project is therefore created to act as a modification to the original FY13 scope of work.

The goal of this phase of the project is to continue photography of the Castle, assess the archeological significance of earthen architecture on levels 3 and 5, and conduct a plaster survey and condition assessment of select rooms to be determined in cooperation with the project ATR after completion of the archaeological significance survey. Although the FY2013 component of the project proposed work in only a few of the dwelling’s “core rooms”, it is now clear that additional analysis is needed to better understand the relationship of interior room spaces and open areas on levels 3 and 5. Open areas are more exposed to weather and associated deterioration processes resulting in degradation, but are also critical to understanding the behavior of the Castle’s original inhabitants. Determining the archeological significance of this relationship is an important component to planning future preservation work.

Following field methodology developed for the FY13 component, the archeological significance study for open areas and rooms on levels 3 and 5 will involve field survey, construction sequencing and synthesis of past architectural analyses (reports, studies, publications). The survey will identify and graphically record specific architectural elements (e.g. cold joints, sealed doorways, wall abutments, plaster and wooden features…) that contribute to the site’s significance and require special consideration when developing conservation treatments. Plaster condition assessment will consist of evaluating deterioration conditions, delineating areas with urgent treatment needs, and assessing risks to continued preservation. Appropriate treatment options based on balancing archeological significance, management priorities and treatment feasibility will be proposed, as well as recommendations for future research and monitoring.

Since this scope of work is an extension of the FY2013 project, it will combine archeological significance findings, condition assessments and treatment recommendations into one completion report with both FY2013 and FY2014 data. This is the most time- and cost-efficient option and provides NPS with data in a more accessible format. Dates from the FY13 agreement will be superseded by the deadlines for a draft final report and final report listed here.

**The scope of work includes:**

1. Photographing the interior rooms where possible and the open areas on levels 3 and 5
2. Performing an archeological significance survey of the open areas and rooms on levels 3 and 5, and recording architectural elements that contribute to the site’s significance and require special conservation treatment
3. Conducting condition assessment of the plaster in select areas (TBD) of levels 3 and 5
4. Evaluating causes of damage and potential risks to continued preservation in the assessment area
5. Delineating areas with high urgency for treatment based on condition and risk assessment
6. Discussing treatment options with the park in a post-fieldwork conference call
7. Preparing a project completion report, combining data from FY13 and FY14 project objectives, that includes:
8. a narrative description of the project goals and methodology
9. results of the archeological significance assessment and location map of architectural features
10. results of the preliminary comparative study of architectural elements and spatial relationships of the site’s construction
11. results of a condition assessment of select rooms focusing on the architectural finishes
12. discussion of treatment priorities and options, focusing on the wall surface treatments, but taking into account larger building issues affecting wall stability (including structural movement, pest control, environmental factors, and drainage)
13. recommendations for future archeological and materials research, monitoring, and treatment
14. Preparing the survey, assessment, and treatment recommendations sections of the report in a format suitable for integration into a draft park-wide preservation plan (to be prepared in the future).

**Statement of Work:**

The UNM will:

1. Appoint Angelyn Bass (Department of Anthropology) as Principal Investigator
2. Hire student research assistants as needed to conduct the project
3. Hire consultants including: (1) Douglas Porter, an architectural conservator, to assist with wood and materials analysis; (2) Larry Nordby, an archaeologist, to conduct archaeological significance assessment; and Neil Dixon to complete architectural photography and photomontages of the open areas and other rooms as allowable
4. The cooperator will perform the following tasks:
5. Develop a work plan in collaboration with park experts
6. Provide oversight, supervision and guidance to consultants and students involved in the project
7. Work with park staff to complete archival research for the site
8. Plan and conduct fieldwork to document the structure, assess current conditions, and develop treatment recommendations
9. Produce a final report as described in Item 7
10. Provide a minimum of one qualified trainee to work with the project team
11. Fully acknowledge the NPS in any published or formally presented material (PowerPoint presentations, signs and film) developed or derived from this Task Agreement.

The NPS will:

1. Provide specific preservation experience and skills on-site to accomplish the project
2. Provide specific knowledge about the site and its administrative history that can only be provided by and reside with NPS staff due to sensitivity issues with culturally affiliated Native American tribes
3. Work closely with UNM staff in the field to perform fieldwork
4. Provide ongoing condition assessment and observation data
5. Assist with logistics to gain access to the multi-story Montezuma Castle.

**COOPERATIVE AGREEMENTS OR TASK AGREEMENTS INVOLVING COOPERATORS WORKING ON-SITE**

**Background**

In cooperative agreements or task agreements with universities where the university utilizes interns, student employees, research associates (RAs) or cooperators on-site (hereafter called “cooperator personnel”), these cooperator personnel sometimes work on government sites in close proximity to federal employees. It is illegal (without specific statutory authority) for federal employees to directly supervise the cooperator personnel or any university employees or for the students or other university employees to supervise federal employees. When cooperator personnel are working on an NPS site, it is important that there is a clear distinction between students and federal employees.

**Office Environment and Vehicles**

* The office space of the cooperator personnel and NPS personnel should be clearly labeled (Name and NPS or University affiliation on office or cubicle space).
* Cooperator personnel should be listed separately from NPS personnel in telephone lists, other identification or organizational rosters, and publication credits.
* Cooperator personnel should not receive “all-employee” e-mail or other communications intended for NPS personnel (unless it relates directly to the work the cooperator is doing for the NPS). When the e-mail does relate to the work being done, a copy of the same e-mail message should be sent to the University or cooperator’s supervisor.
* Cooperator personnel may use NPS e-mail systems when the communication relates directly to the work the cooperator is doing for the NPS. The e-mail addresses of the cooperator personnel must include a label associated with their NPS e-mail address that identifies the cooperator’s status (i.e., “Linda Webb, Cooperator” would be the label associated with the e-mail address, [linda\_webb@contractor.nps.gov](mailto:linda_webb@contractor.nps.gov)). Doing so clearly identifies this individual each time they send an e-mail message using the NPS system, and it identifies their status as a research associate, student intern or student employee in the e-mail directory.
* Unless stipulated in the agreement, cooperator personnel should not drive government vehicles.
* Unless stipulated in the agreement, cooperator personnel should not ride as a passenger in a government vehicle. When this is planned as part of the agreement, an appropriate amount of liability insurance should be negotiated.
* Prior written approval by the Park Superintendent or Center Manager must be obtained in order for a task to allow cooperator personnel to drive or ride in government vehicles.

**Supervision and Scheduling**

* Each task must specify the university’s/cooperator’s supervisor for the cooperator personnel.
* Unless stipulated in the agreement, NPS staff should not set hours for cooperator personnel, specify where the work should be done, or conduct performance appraisals. National Park Service staff may give performance feedback to the cooperator personnel supervisor.
* Cooperator personnel should report leave, scheduling, and other related issues to the university or cooperator’s supervisor, not to NPS employees. The supervisor of the cooperator personnel should then communicate with the NPS. National Park Service employees cannot directly supervise cooperator personnel on a day-to-day basis. Work should be given to the cooperator personnel (via the cooperator’s supervisor) on a “task basis.” Cooperators should work without NPS supervision to accomplish each task, although technical consultations and cooperation is permissible.
* The Cooperator will be responsible for any disciplinary action needed to correct student employee conduct or performance problems. The NPS agreements technical representative will inform the university/cooperator’s supervisor of any conduct or performance problems.
* The Cooperator will remove student employees from their positions if they fail to improve performance or address conduct issues.
* The NPS will review and provide feedback to students or interns regarding work assignments.
* The NPS will inform the cooperator of conduct or performance problems with cooperator personnel so that the university can counsel employees and correct the performance problems.
* The NPS will recommend to the cooperator dismissal of cooperator personnel based on conduct or performance issues.
* The Cooperator will hire students, interns or RAs to work on NPS tasks identified in the agreement. Hiring will be conducted in consultation with the NPS Agreements Technical Representative (ATR).
* The Cooperator will: pay students, interns or RAs for hours they have worked in support of the agreement.

**Representation and Communication**

* Cooperator personnel cannot in any way represent themselves to the public as NPS employees.
* Cooperator personnel are required to wear visible identification at all times.

**Other Issues**

* Cooperator personnel should not list an NPS affiliation on publications, but rather should list the cooperative agreement under which the work was performed.
* Cooperator personnel should not be invited to official NPS “social” events.
* Cooperator personnel will follow the local policy of the facility when federal facilities are closed due to early release for holidays, snow days, etc.

**PRODUCTS:**

Prepare a project completion report that includes:

1. a narrative description of the project goals and methodology
2. results of the archeological significance assessment and location map of architectural features
3. results of the preliminary comparative study of architectural elements and spatial relationships of the site’s construction
4. results of a condition assessment of select rooms focusing on the architectural finishes
5. discussion of treatment priorities and options, focusing on the wall surface treatments, but taking into account larger building issues affecting wall stability (including structural movement, pest control, environmental factors, and drainage)
6. recommendations for future archeological and materials research, monitoring, and treatment

**BUDGET:***(You may create your budget in a spreadsheet and attach it as a separate document when you submit your project coversheet and justification forms)*

**Summary budget prepared by PI**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Item** | **Rate** | **Unit** | **No. of Units** | **Total** |
| **UNM SALARIES** |  |  |  |  |
| Faculty- University Investigator | percent effort | annual | 6% | $4,503 |
| Student | $12.00 | hr | 120 | $1,440 |
| Project Lead Benefits | 30% of total salary rate |  |  | $1,360 |
| Student Benefits | 1% of total temp salary + insurance |  |  | $865 |
| **UNM TRAVEL** |  |  |  |  |
| Air Travel (PI) | $400 | roundtrip | 1 | $400 |
| Local Travel (ca rental, fuel for PI & student) | $100 | day | 4 | $400 |
| Housing/M&IE (for PI & student) | $150 | day | 8 | $1,200 |
| **CONSULTANTS** |  |  |  |  |
| Architectural Conservator/Structural |  |  |  |  |
| Fees | $80 | hr | 50 | $4,000 |
| Benefits | $0 |  |  | $0 |
| Housing/M&IE | $150 | day | 4 | $600 |
| Archaeologist |  |  |  |  |
| Fees | $50 | hr | 30 | $1,500 |
| Benefits | $0 |  |  | $0 |
| Local travel (car, fuel) | $100 | day | 4 | $400 |
| Housing/M&IE | $150 | day | 4 | $600 |
| Photographer/Archaeologist |  |  |  |  |
| Fees | $60 | hr | 90 | $5,400 |
| Benefits | $0 |  |  | $0 |
| Local travel (car rental, fuel) | $100 | day | 6 | $600 |
| Housing/M&IE | $100 | day | 6 | $600 |
| **SUPPLIES** |  |  |  |  |
| Printing of architectural photographs and copying of maps for field documentation |  |  |  | $320 |
| **Project Totals** |  |  |  |  |
| **Total Direct Costs** |  |  |  | $24,188 |
| **Total Indirect Costs (17.5%)** |  |  |  | $4,233 |
| **GRAND TOTAL** |  |  |  | $28,420 |

**Budget Narrative:**

It is anticipated that documentation and condition assessment fieldwork will require approximately four days onsite. The balance of the time will be spent on treatment design and report preparation. A student trainee will assist in all aspects of the work. The student will assist in conducting archival research, fieldwork, and report writing. Work conducted by the student is a critical component to all aspects of the project. A total of 120 hours is allocated for all aspects of project work. Additionally, a total of 4 days of travel and M&IE costs is budgeted for onsite fieldwork. Costs for air travel are included in the PHASE I budget.

**The consultants hired for the project will continue research accomplished in the first phase**. These include Larry Nordby, archaeologist; Douglas Porter, architectural conservator, and; Neil Dixon, archaeologist and photographer. Field work and reporting time is budgeted in both the FY2013 (PHASE I) and FY 2014 (PHASE II) components of the project. The following narrative discusses only costs associated with the FY2014 (PHASE II). Because both budgets are combined, some costs, such as air travel are not shown in the above budget.

Larry Nordby will continue the archeological significance assessment of the open areas and rooms, which will result in a written report and a location map of critical architectural features for preservation planning. A total of 30 hours is budged for field work and report writing. The budget also includes a total of 4 days of local travel and M&IE costs associated with onsite fieldwork.

Douglas Porter will participate in additional condition assessment of the cliff dwelling, as well as collaborate on treatment design and report preparation. A total of 50 hours of time is budgeted for condition assessment and reporting. The budget also includes 4 days of local travel and M&IE costs associated with fieldwork.

Neil Dixon will travel to the site to continue semi-rectified photography of the open areas and associated rooms. These photographs will form the basis of the condition assessment graphics and a baseline for monitoring. A total of 90 hours is budgeted for field work and photograph post-processing. A total of 6 days of local travel and M&IE costs is budgeted for onsite fieldwork. Mr. Dixon will complete all fieldwork in advance of additional researchers.

The PI will make an additional visit to the site to coordinate consultant activities and conduct fieldwork. A total of 6% effort (total annual cost) is allocated to meet project objectives. The PI’s time is reported in a percent value, as opposed to a number of hours, at the request of UNM and to maximize the flexibility of allotted time necessary to complete the project.

The budget includes provisions for air travel for the PI between Albuquerque and Phoenix, car and fuel for travel in Phoenix to the site / archives shared with the student trainee, as well as hotel and meals while traveling.

Funding for supplies will cover costs for duplicating photos and other archival material necessary for completing research.