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| **1. UNDERTAKING DESCRIPTION AND LOCATION** |
| **District** | **County** | **Route** | **Post Mile(s)** | **EA** | **E-FIS Project Number** |
|  |  |  |  |  |  |
| *For Local Assistance projects off the highway system, use headers below in italics. Delete unused headers and this instruction line* |
| ***District*** | ***County*** | ***Federal Project. Number.(Prefix, Agency Code, Project No.)*** | ***Location*** |
|  |  |  |  |
| The environmental review, consultation, and any other actions required by applicable Federal environmental laws for this project are being, or have been, carried out by Caltrans pursuant to 23 U.S.C. 327 and the Memorandum of Understanding dated May 27, 2022 and executed by FHWA and Caltrans. *Delete this section if project is being processed as a Categorical Exclusion under 23 USC 326. Confirm with project generalist if unsure.*The studies for this undertaking were carried out in a manner consistent with Caltrans’ regulatory responsibilities under Section 106 of the National Historic Preservation Act (36 CFR Part 800) and pursuant to the January 2014 *First Amended Programmatic Agreement among the Federal Highway Administration, the Advisory Council on Historic Preservation, the California State Historic Preservation Officer, and the California Department of Transportation Regarding Compliance with Section 106 of the National Historic Preservation Act* (Section 106 PA), as well as under Public Resources Code 5024 and pursuant to the January 2015 *Memorandum of Understanding Between the California Department of Transportation and the California State Historic Preservation Office Regarding Compliance with Public Resources Code Section 5024 and Governor’s Executive Order W-26-92, addended 2019* (5024 MOU) as applicable. *Delete reference to 5024 MOU if not applicable.*  |
| **Project Description**: |
| (Insert **BRIEF** summary of project description, approximately 1-2 paragraphs; refer reader to full project description, location and vicinity maps in attachments. Delete this instruction line.) |
| **2. AREA OF POTENTIAL EFFECTS** |

In accordance with Section 106 PA Stipulation VIII.A, the Area of Potential Effects (APE) for the project was established in consultation with [Name of Caltrans PQS and PQS discipline/level], and [Name of Caltrans project manager/local assistance engineer], Project Manager/Local Assistance Engineer, on [date]. The APE maps are located in [specify technical study, figure or exhibit number].

The APE was established as [add brief description as to where and how boundaries were set. Include both vertical and horizontal boundaries].

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| **3. Consulting Parties / PUBLIC PARTICIPATION** |
| (Check all that apply. List organizations and/or persons, dates, and locations and results of contacts. Summarize verbal comments received and attach correspondence as appropriate. **Reference appendix that contains consultation logs**. Delete items below that are not applicable and this instruction line.) |
| [ ]  | Local Government (Head of local government, Preservation Office / Planning Department)  |
|  |  |
|[ ]  Native American Heritage Commission |
|  |  |
|[ ]  Native American Tribes, Groups and Individuals |
|  |  |
|[ ]  Local Historical Society / Historic Preservation Group (also if applicable, city archives, etc.) |
|  |  |
|[ ]  Public Information Meetings (list locations and dates below and attach copies of notices) |
|  |  |
|[ ]  Other  |
|  |  |
| **4. SUMMARY OF IDENTIFICATION EFFORTS** |

(Check all that apply. Delete items below that are not applicable and this instruction line.)

|  |  |
| --- | --- |
|[ ]  National Register of Historic Places (NRHP) |[ ]  California Points of Historical Interest |
|[ ]  California Register of Historical Resources (CRHR) |[ ]  California Historical Resources Information System (CHRIS) |
|[ ]  National Historic Landmark (NHL) |[ ]  Caltrans Historic Bridge Inventory |
|[ ]  California Historical Landmarks (CHL) |[ ]  Caltrans Cultural Resources Database (CCRD) |
|[ ]  Other Sources consulted: |  |  |
|  |  |
|[ ]  Results: (Provide a brief summary of research results, as well as inventory findings.) |
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| **5. PROPERTIES IDENTIFIED** |
| (Check all that apply. List properties or refer reader to appropriate technical study attached. Identify State-owned resources as such and state whether they are on the Master List of Historical Resources. Do not include properties that are outside the APE. Attach previous SHPO determinations, as applicable. Delete statements below that are not applicable and this instruction line.) |
|[ ]  **No cultural resources are present** within the APE.  |
|[ ]  [Name of Caltrans or consultant architectural historian or archaeologist], who meets the Professionally Qualified Staff (PQS) Standards in Section 106 PA Attachment 1 as a(n) [Indicate applicable PQS level], has determined that the only/only other properties present within the APE meet the criteria for Section 106 PA Attachment 4 (**Properties Exempt from Evaluation**).  |
|  |  |
|[ ]  Caltrans, in accordance with Section 106 PA Stipulation VIII.C.5 has determined there are cultural resources within the APE that were **previously determined not eligible** for inclusion in the NRHP with SHPO concurrence and those determinations remain valid. Copy of SHPO/Keeper correspondence is attached. (List resources below and indicate if State-owned.) |
|  |  |
|  |[ ]  Bridges listed as **Category 5** (previously determined not eligible for listing in the NRHP) in the Caltrans Historic Bridge Inventory are present within the APE and those determinations remain valid. Appropriate pages from the Caltrans Historic Bridge Inventory are attached. (List bridge numbers below) |
|[ ]  Caltrans has determined there are cultural resources within the APE that were evaluated as a result of this project and are **not eligible** for inclusion in the NRHP. Under Section 106 PA Stipulation VIII.C.6, Caltrans requests SHPO’s concurrence in this determination. (List resources below and indicate if State-owned.) |
|  |  |
|[ ]  The following archaeological sites within the APE are **considered eligible** for inclusion in the NRHP for the purposes of this project only because they will be protected in their entirety from any potential effects through the establishment of an Environmentally Sensitive Area (ESA), in accordance with Section 106 PA Stipulation VIII.C.3. See attached documentation. (List properties below and indicate if State-owned.) |
|  |  |
|[ ]  The following properties within the APE are **considered eligible** for inclusion in the NRHP for the purposes of this project only because evaluation was not possible, in accordance with Section 106 PA Stipulation VIII.C.4. (Requires written CSO approval prior to completion of the HPSR; include as attachment. List properties below, indicate if State-owned; attach CSO correspondence.)  |
|  |  |
|[ ]  Caltrans, in accordance with Section 106 PA Stipulation VIII.C.5 has determined there are properties within the APE that were **previously determined eligible** for inclusion in the NRHP and those determinations remain valid. Copy of SHPO/Keeper correspondence is attached. (List properties below; indicate if State-owned and whether they are on the Master List of Historical Resources; include date of listing or determination.)  |
|  |  |
|[ ]  Caltrans has determined there are properties within the APE that were evaluated as a result of this project and are **eligible** for inclusion in the NRHP. Under Section 106 PA Stipulation VIII.C.6, Caltrans requests SHPO’s concurrence in this determination. (Include the following statement if applicable; delete if not:) Pursuant to PRC 5024(d), Caltrans also requests that SHPO add these resources to the Master List of Historical Resources. (List properties below and indicate if State-owned and whether they need to be added to the Master List of Historical Resources.) |
|  |  |
| **6. FINDING FOR THE UNDERTAKING** |
| (Check **ONLY ONE** overall finding for the project. Delete all findings that are not applicable and this instruction line.) |
|[ ]  Caltrans, pursuant to Section 106 PA Stipulation IX.A, has determined a Finding of **No Historic Properties Affected** is appropriate for this undertaking because there are no historic properties within the APE **/** the following historic properties will not be affected. (Choose one or the other of the above statements. If there are previously listed/eligible historic properties within the APE, explain why they would not be affected.)  |
|[ ]  Caltrans, pursuant to Section 106 PA Stipulation IX.B, has determined that there are historic properties within the APE that may be affected by the undertaking. **Effects are still undetermined**, so in accordance with Section 106 PA Stipulation X, Caltrans will continue consultation with CSO and/or SHPO in the future on the assessment of effects. |
|[ ]  Caltrans, pursuant to Section 106 PA Stipulation X.B.1.a/b and Attachment 5, has determined a **Finding of No Adverse Effect with Standard Conditions-[select one or both: ESA and/or SOIS]**, is appropriate for this undertaking, and requests CSO’s approval of this finding. [Name], who meets the PQS Standards in Section 106 PA Attachment 1 as a(n) [Indicate applicable PQS level], has reviewed the attached documentation and determined that it is adequate. (Include ESA and/or SOIS Action Plan as attachment.) |
|[ ]  Caltrans, pursuant to Section 106 PA Stipulation X.B.2, has determined a **Finding of No Adverse Effect (without Standard Conditions)** is appropriate for this undertaking, and requests SHPO’s concurrence in this determination. (Include FOE as attachment.) |
|[ ]  Caltrans, pursuant to Section 106 PA Stipulation X.C, has determined a **Finding of Adverse Effect** is appropriate for this undertaking, and requests SHPO’s concurrence in this determination. (Include FOE as attachment.) |
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| **7. CEQA CONSIDERATIONS** |
| (Consultation with SHPO is not required under CEQA. Discuss potential impacts to historic resources with PDT to determine appropriate impact findings for the environmental document. Delete findings that are not applicable and this instruction line.)  |
|[ ]  Not applicable; **Caltrans is not the lead agency under CEQA**. |
|[ ]  Caltrans PQS has determined there are **No Historical Resources** present, as outlined in CEQA Guidelines 15064.5(a). |
|[ ]  Caltrans PQS has determined that there are resources in the project area that **are** **not significant resources** under CEQA; see Section 5. |
|[ ]  Caltrans PQS has determined that there are resources that **do NOT meet NRHP criteria, but ARE historical resources for the purposes of CEQA**. (List the resources and how they were determined a CEQA resource). |
|[ ]  Caltrans PQS has determined that there are resources in the project area that **are** **historical resources** for the purposes of CEQA; see Section 5. |
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| **8. LIST OF ATTACHED DOCUMENTATION** |
| (Provide the author/date of the technical report. Note number or letter of corresponding attachment. Delete documentation that is not applicable and this instruction line.) |
|[ ]  Project Vicinity, Location, and APE Maps (Note which attachment(s) contain the maps – do not need to attach separately if included within other attachments). |
|[ ]  Caltrans Historic Bridge Inventory Sheet  |
|[ ]  Historical Resources Evaluation Report (HRER) |
|  |  |
|[ ]  Archaeological Survey Report (ASR) |
|  |  |
|[ ]  Extended Phase One Report (XPI)  |
|  |  |
|[ ]  Archaeological Evaluation Report (AER, PII) |
|[ ]  Environmentally Sensitive Area (ESA) Action Plan |
|  |  |
|[ ]  Secretary of the Interior’s Standards for the Treatment of Historic Properties (SOIS) Action Plan |
|  |  |
|[ ]  CSO Approval of Assumption of Eligibility |
|  |  |
|[ ]  Finding of Effect (FOE) |
|  |  |
|[ ]  Agreement Document (PA, MOA) |
|  |  |
|[ ]  Other (Specify below) |
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| **9. HPSR PREPARATION AND CALTRANS APPROVAL** |

Prepared by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

District \_\_\_ Caltrans PQS [Level and discipline] Date

Prepared by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[Consultant / Discipline] Date

[Appropriate PQS discipline equivalent Firm/company and location]

Reviewed for

Approval by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

District \_\_\_ Caltrans PQS [Level and discipline] Date

Approval by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

District \_\_\_ EBC [Environmental Branch Name] Date