

Exhibit 4.1: Cultural Resources Process Checklist

Beginning on the next page is a checklist that can be used to identify the required steps in the federal and state cultural resources compliance process. The checklist is supplemental and complementary to the guidance found in other chapters and exhibits of the Caltrans [Standard Environmental Reference Volume 2](#)-Cultural Resources. For some, it may help to print a copy of the checklist to ensure all the steps have been completed or to use when working with project development teams, consultants or local agencies.

| PROJECT / UNDERTAKING / ACTIVITIES CHECKLIST | | | |
|---|--------------------------|----------|-----------------------------------|
| <p><i>This checklist is designed to assist Caltrans staff in following appropriate procedures for 36 CFR 800 compliance, CEQA and PRC 5024 compliance. This checklist is meant to be a guide and its use is optional. Start with Task 1, indicate Yes or No, as applicable, and follow the "go to..." instructions.</i></p> | | | |
| <p>1. Does this project qualify as a screened undertaking as described in Section 106 PA Attachment 2, "Screened Undertakings?"</p> | | | |
| <p><input type="checkbox"/> YES. Go to 11.</p> | | | |
| <p><input type="checkbox"/> NO. Go to 2.</p> | | | |
| <p>2. Is a BRIDGE located within the project postmiles? If not, go to 3; if so, consult the Caltrans Historic Highway Bridge Inventory. If the bridge is a:</p> | | | |
| <p><input type="checkbox"/> Category 1 or 2 bridge, go to 12. For state-only projects go to 13.</p> | | | |
| <p><input type="checkbox"/> Category 3, 4 bridges, contact the Section 106 Programmatic Agreement and Coordination Branch (Section 106 Branch) Chief in the DEA Cultural Studies Office in Headquarters for further guidance. If the bridge requires re-evaluation, go to 12. For state-only projects go to 13. If re-evaluation is not required, print the appropriate page of the bridge inventory, and go to 12; for state-only projects go to 13.</p> | | | |
| <p><input type="checkbox"/> Category 5 bridges, print the appropriate page of the latest updated bridge inventory, and go to 3.</p> | | | |
| <p>3. Review literature/records to determine potential for involvement of cultural resources. Consult the:</p> | | | |
| • National Register of Historic Places and Updates: | <input type="checkbox"/> | Negative | <input type="checkbox"/> Positive |
| • California Register of Historical Resources: | <input type="checkbox"/> | Negative | <input type="checkbox"/> Positive |
| • California Historical Landmarks (State of California 1990): | <input type="checkbox"/> | Negative | <input type="checkbox"/> Positive |
| • California Inventory of Historical Resources (State of California 1976): | <input type="checkbox"/> | Negative | <input type="checkbox"/> Positive |
| • Caltrans Cultural Resources Database (CCRD) | <input type="checkbox"/> | Negative | <input type="checkbox"/> Positive |
| <p>Also consult district records, maps, as-builts, databases, local historic resource inventories, and "collective corporate memory" for information about cultural sensitivity and extent of modern development and ground disturbance in the project area. In general, any project that will disturb ground previously undisturbed by road construction may require a field review to determine if surveys are necessary.</p> | | | |
| <p><input type="checkbox"/> If the records review indicates the presence of cultural resources or if there is too little information to make a decision as to the type of studies needed, perform a field review and further assess the need for studies. To examine the potential for archaeological sites, architectural properties, and other built environment resources within the project area, go to 4.</p> | | | |
| <p><input type="checkbox"/> If the records review indicates no possibility of cultural resources being present and the project involves <i>no ground-disturbing activities</i>, then state the explicit reasons why a survey is unnecessary in the HPSR, go to 11</p> | | | |

| PROJECT / UNDERTAKING / ACTIVITIES CHECKLIST | |
|---|--|
| 4. ARCHAEOLOGY: Examine the project area for terrain already subjected to massive modern disturbance (e.g., cuts, fill, pavement, built environment). Projects that disturb natural soil may affect archaeological deposits, artifacts, or other prehistoric or historic materials. <i>Note that the integrity of archaeological materials is not the issue, just their potential presence.</i> If the project: | |
| <input type="checkbox"/> | will <i>not</i> affect native soils, or the areas to be disturbed are sufficiently altered to preclude any suggestion of archaeological materials being present (e.g., project takes place <i>entirely</i> on fill or in a cut below natural soil horizons), an archaeological survey is <i>not</i> warranted. State the explicit reasons why a survey is unnecessary go to 7. |
| <input type="checkbox"/> | will affect native soils, or archaeological materials may be present; an archaeological survey is warranted. Go to 5. |
| 5. Prepare maps and request a records search at the appropriate CHRIS Information Center. If the record search indicates that the APE: | |
| <input type="checkbox"/> | has been surveyed, examine the survey report(s). If the report does not meet Caltrans standards, go to 6. If it does meet Caltrans standards and is negative, go to 7; if the survey is positive, go to 12; for state-only projects go to 13. |
| <input type="checkbox"/> | has <i>not</i> been surveyed, go to 6. |
| 6. Conduct an archaeological survey. | |
| <input type="checkbox"/> | Prepare an ASR discussing survey results, including discussion of "Properties Exempt from Evaluation" as appropriate, and go to 7. |
| 7. BUILT ENVIRONMENT-BUILDINGS AND STRUCTURES: Examine the project area for buildings and structures that may be directly or indirectly affected by the project. <i>Note: If there is any question as to whether a building or structure may be directly or indirectly affected, contact the District PQS Architectural Historian(s) or the DEA Section 106 Branch Chief or DEA Built Environment Preservation Services (BEPS) Branch Chief.</i> If the: | |
| <input type="checkbox"/> | Project study area contains buildings, structures or objects that could be directly or indirectly affected by the project (including associated landscaping/setting), an architectural survey/evaluation is warranted; go to 8. |
| <input type="checkbox"/> | Project study area <i>does not</i> contain buildings, structures or objects that could be directly or indirectly affected, an architectural survey/evaluation is <i>not</i> warranted; go to 9. |
| 8. Have certified Caltrans PQS Architectural Historian or a consultant who meet the qualifications outlined in Section 106 PA Attachment 1 evaluate the buildings, structures or objects. | |
| <input type="checkbox"/> | If staff or a consultant determines that the properties <i>do not</i> fall within the purview of Section 106 PA Attachment 4 , "Properties Exempt from Evaluation," go to 12; for state-only projects go to 13. |
| <input type="checkbox"/> | If staff or a consultant determines that all the properties qualify for treatment under Section 106 PA Attachment 4, "Properties Exempt from Evaluation," document it in the HPSR findings by checking the appropriate box with the name and PQS certification level of the person making this determination, and go to 10. |
| 9. Examine the project area for other BUILT ENVIRONMENT RESOURCES (e.g., mines, roads, canals) that could be potentially significant or may contribute to the significance of a larger historic property. If the project: | |
| <input type="checkbox"/> | may directly affect potentially significant built environment resources, a historical evaluation is warranted; go to 12; for state-only projects go to 13. |
| <input type="checkbox"/> | <i>may not</i> directly affect potentially significant built environment resources, a historical evaluation is <i>not</i> warranted; go to 10. |

| PROJECT / UNDERTAKING / ACTIVITIES CHECKLIST | |
|--|--|
| 10. Examine the results of the field reviews/surveys. If cultural resources surveys resulted in: | |
| <input type="checkbox"/> | a statement justifying why an archaeological survey was unnecessary, an ASR that resulted in no sites identified, a statement that all properties fall under Section 106 PA Attachment 4, or a Category 5 bridge evaluation sheet, prepare an HPSR , complete the "HPSR to District File," and go to 11. |
| <input type="checkbox"/> | an ASR that identified sites, architectural properties requiring evaluation, Category 1-4 bridges, Category 5 bridges that have turned 50 years old since last inventory update, or any previously unidentified resources determined potentially significant, prepare an HPSR , complete the with "HPSR to SHPO" section, and go to 12; for state-only projects go to 13. |
| 11. For projects screened in accordance with Section 106 PA Attachment 2, the Caltrans PQS signs a Screened Undertaking memo to the project manager and files. This memo is evidence that Section 106, CEQA cultural resources compliance and, for state-owned properties, PRC 5024 compliance has been completed. The Screened Undertaking memo is attached to the CE Determination Form. Section 106 if complete. For state-only projects, CEQA and PRC 5024 compliance for cultural resources is complete. For projects that do not meet the criteria for screened undertakings in Section 106 PA Attachment 2 and where Caltrans archaeological or architectural study findings are negative (absence of resources, all properties are exempt from evaluation pursuant to Section 106 PA Attachment 4, or a Finding of No Historic Properties are Affected) prepare an HPSR and complete the "HPSR to District File" section; for state-only projects prepare an HRCR. Section 106 complete. For state-only projects: Cultural resources compliance for CEQA and PRC 5024 is complete. | |
| 12. Prepare the APE map and obtain Caltrans PQS signatures as appropriate. Conduct all necessary archaeological and/or built-environment studies. Prepare and process an HPSR , complete the "HPSR to SHPO" section and send to SHPO requesting concurrence on National Register eligibility. HPSRs with Findings of No Adverse Effect with Standard Conditions (ESAs or SOIS) are sent to the DEA Cultural Studies Office (CSO), CSO has 15 days to object and this finding is contingent on SHPO's concurrence on eligibility, if properties had to be evaluated. Attach the Section 106 compliance letter(s) to/from SHPO/DEA CSO to the appropriate NEPA documentation. Section 106 complete. Go to 14. | |
| 13. For state-only projects. Prepare the Project Area Limits map and obtain Caltrans PQS signatures as appropriate. Conduct all necessary archaeological and/or built-environment studies. Prepare an HRCR. Go to 14. | |
| 14. Are there state-owned historical resources in the Project Area Limits that are listed in/eligible for listing in the National Register or registered/eligible for registration as California Historical Landmark(s)? | |
| <input type="checkbox"/> | YES. ARCHAEOLOGICAL OR NON-STRUCTURAL HISTORICAL RESOURCES: Submit the HPSR or HRCR to SHPO , per PRC 5024(f) notifying SHPO of effects and requesting SHPO's comments For federal undertakings, this step can be completed in the HPSR concurrently with Step 12 above. Go to 15. |
| <input type="checkbox"/> | YES. BUILT-ENVIRONMENT HISTORICAL RESOURCES: Submit the HPSR or HRCR to SHPO , per PRC 5024(b) and 5024.5 notifying SHPO of effects and requesting SHPO's concurrence on eligibility and no effect/no adverse effect, or adverse effect and continued consultation, as appropriate. For federal undertakings, this step can be completed in the HPSR concurrently with Step 12 above. Provide a copy of SHPO's concurrence letter to the Caltrans staff responsible for Section 106 or CEQA documentation. Go to 15. |
| <input type="checkbox"/> | NO. Go to 15. |

| PROJECT / UNDERTAKING / ACTIVITIES CHECKLIST | |
|---|---|
| 15. Is there a substantial adverse change to a historical resource under CEQA? | |
| <input type="checkbox"/> | YES. The project likely does <i>not</i> qualify as a CEQA C.E. When Caltrans is the lead agency, coordinate with the project manager so the appropriate CEQA documentation can be prepared. Go to 17. |
| <input type="checkbox"/> | NO. Go to 16. |
| 16. Assessment of effects. | |
| <input type="checkbox"/> | Federal undertakings: Finding of No Adverse Effect with Standard Conditions (FNAE-SC) Send FNAE-SC with District Environmental Branch Chief's signature to CSO and notify consulting parties. If CSO does not object, and SHPO concurs on eligibility, Section 106 is complete, Cultural resources compliance for CEQA and PRC 5024 is complete. If CSO objects to FNAE-SC or SHPO objects to eligibility determination continue consultation, if not resolved, go to 17. |
| <input type="checkbox"/> | State-only projects: No change or no substantial adverse change The District Environmental Branch Chief's signature on the HRCR indicates that CEQA cultural resources requirements have been met and, for state-owned resources, the HRCR with SHPO's concurrence letter indicates that PRC 5024(f) and/or PRC 5024.5 for state-owned historical resources requirements have been met. Cultural resources compliance for CEQA and PRC 5024 is complete. If SHPO objects under PRC 5024.5 continue consultation, if not resolved, go to 17. |
| <input type="checkbox"/> | Federal undertakings: Finding of No Adverse Effect without Standard Conditions (FNAE-No SC) The Caltrans district prepares the FNAE-No SC and sends it to DEA CSO Section 106 Branch Chief for review and forwarding to SHPO; the district concurrently notifies consulting parties. If CSO and SHPO do not object, Section 106 is complete, Cultural resources compliance for CEQA and PRC 5024 is complete. If CSO or SHPO object continue consultation, if not resolved, go to 17. |
| <input type="checkbox"/> | State-only projects: No adverse effect or no substantial adverse change The District Environmental Branch Chief's signature on the HRCR indicates that CEQA cultural resources requirements have been met and, for state-owned resources, the HRCR with SHPO's concurrence letter indicates that PRC 5024(f) and/or PRC 5024.5 requirements have been met. Cultural resources compliance for CEQA and PRC 5024 is complete. If SHPO objects under PRC 5024.5 continue consultation, if not resolved, go to 17. |
| <input type="checkbox"/> | Adverse Effect / Substantial Adverse Change. If effects to any of the historic properties are adverse or result in substantial adverse change, go to 17. |
| 17. Federal undertakings: Prepare a Finding of Adverse Effect (FAE) document and send to the DEA CSO Section 106 Branch Chief for review, approval and transmission to SHPO. The District notifies the consulting parties. Go to 18. State-only projects: Complete the mitigation plan section of the HRCR. The District Environmental Branch Chief's signature on the HRCR indicates approval of the mitigation plan. Provide the staff preparing the CEQA documentation a copy of the HRCR and supporting documentation of mitigation measures. Cultural resources compliance with CEQA is complete when the overall CEQA documentation is complete. For state-owned resources, Complete the mitigation plan section of the HRCR and submit to SHPO. This can be a concurrent HRCR submittal with the determinations of eligibility or a separate supplemental HRCR. SHPO's concurrence letter indicates that PRC 5024(f) and/or PRC 5024.5 requirements have been met. PRC 5024 compliance is complete. | |
| 18. Federal undertakings: District works with DEA CSO and SHPO to draft a Memorandum of Agreement and notifies consulting parties. When the MOA is signed and filed with the Advisory Council on Historic Preservation, Section 106 compliance is complete | |