

Exhibit 5.13: Construction Impacts to Cultural Resources Report Format and Content Guide

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Exhibit 5.13: Construction Impacts to Cultural Resources Report Format and Content Guide

General Report Format

This guide provides an outline of the basic format and information requirements Caltrans uses for reporting any unplanned impacts to a cultural resource during construction. The Construction Impacts to Cultural Resources Report explains what happened and how, and outlines the measures Caltrans intends to establish to reduce or eliminate additional project impacts and to prevent similar incidences on future projects. The Caltrans Professionally Qualified Staff (PQS) in the District Environmental Branch prepares the report and the District Environmental Branch Chief (DEBC) certifies it by signing it. The DEBC sends copies of this report to Headquarters Division of Construction and to the Caltrans Division of Environmental Analysis, Cultural Studies Office (CSO) Chief.

Construction Impacts to Cultural Resources Report

- Title Page
- Introduction
- Legal Status
- Resource Description
- Status of Environmental Commitments
- New Mitigation Measures
- Exhibits

Title Page

The title page identifies the Caltrans project by:

- In the title, identify the document as a Construction Impacts to Cultural Resources Report, and identify the highway project by name.
- Below the title, identify the highway project by District, county, route, post miles, and E-FIS¹ project number and phase, or for a Local Assistance project, use the Federal-Aid number (e.g. "07-Ven-118, P.M. 17.5018.0, E-FIS 07000004170").
- Provide the name, title, Professionally Qualified Staff (PQS) level, and location of the report author(s) meeting the Caltrans PQS standards as identified in Section 106 PA²

¹ Enterprise Resource Planning Financial Infrastructure, a 10-digit number, followed by a phase number of one or more digits.

² 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 as it Pertains to the Administration of the Federal-Aid Highway Program in California, effective January 1, 2014.

Attachment 1, and for state-owned cultural resources 5024 MOU³ Attachment 1. The senior author is to sign the title page of the report.

- Provide the name, title, and location of the DEBC for whom the report was prepared. Approval of the report is documented by the DEBC's signature on the title page.
- Month and year Report was prepared (appears at bottom of page)

Introduction

- State the district, county, route, postmile and E-FIS project number and phase (for Local Assistance projects, use the Federal-Aid number). Refer to and attach a project location map.
- Note the date the impacts were identified and further work in that area was halted. If the identification and work-halted dates are different, explain the reason why.
- Provide the Resident Engineer's or other responsible District contact's name, office address, telephone number, and if applicable, e-mail address.
- Provide the name, address, telephone number and affiliation of the individual who reported the incident (if different from the Resident Engineer or other responsible District contact).
- Note which agencies Caltrans contacted (e.g. SHPO, USFS) and the information they were provided.

Legal Status

Identify the National Register of Historic Places and CEQA historical resource status of the impacted historical resource, including the relevant eligibility criteria, period and level of significance. For state-only project that involve Caltrans-owned historical resources, pursuant to the 5024 MOU, also cite the California Historical Landmarks status, if applicable, and whether the Caltrans-owned resource is on the Master List of Historical Resources. See Chapter 2 Section 2.8.

Description of the Cultural Resource

Prior to the construction impact:

³ 2015 Memorandum of Understanding between the California Department of Transportation and the California State Historic Preservation Officer Regarding Compliance with Public Resources Code Section 5024 and Governor's Executive Order W-26-92, addended 2019.

- Describe the cultural resource and its pre-impact condition. Describe the resource's location, areal extent or boundaries, its association with other properties, if appropriate, and its appearance.
- Discuss the cultural resource's known or potential significance.
- Reference and append appropriate maps and photographs to illustrate (See Exhibits section below)

After the construction impact:

- Describe the impact to the cultural resource and how much of the resource was damaged.
- Describe the cultural resource's altered condition.
- Discuss any potential changes in the resource's significance.
- Discuss the significance of the impacts, including the potential for jeopardizing current agreements with other agencies.

Status of Environmental Commitments

- Discuss the protective measures identified in the Environmental Document (ED), Historic Property Survey Report (HPSR), Historical Resources Compliance Report (HRCR), Finding of Effect (FOE), Memorandum of Agreement (MOA), Plans Specifications and Estimates (PS&E), etc.
- Discuss the reasons why the measures failed or were not implemented. Note any measures that worked.
- Discuss preventive measures that will be implemented on future projects to prevent this type of incident from occurring again.

New Mitigation Measures

Now that impacts of this project on the cultural resource are identified, discuss:

- What measures are being taken to reduce or eliminate additional problems
- What measures are being taken to reduce or correct present impacts

Exhibits

- Show cultural resource and impact area on the best available maps.
- Provide photographs of impacts, if available. Include additional photographs, engineering cross sections, as-builts or other materials that illustrate prior and subsequent project area and site conditions.

Peer Review and Approval

Caltrans PQS certified at the Principal Investigator level in prehistoric or historical archaeology and/or Principal Architectural Historian level, as appropriate, must peer review the draft Construction Impacts to Cultural Resources Report following the guidelines in Exhibit 2.13: Guidelines for Peer Review of Cultural Resources Reports. Peer reviewers' names should be kept on record and comments retained in the project files.

Only Caltrans PQS at the Principal Investigator level and/or Principal Architectural Historian level may review the final Report for approval, which the DEBC approves. The Caltrans PQS, or consultant, who prepares the Report signs, dates and includes their discipline, PQS level (as applicable) and District/Headquarters or affiliation. The Caltrans PQS reviewing the final Report for approval likewise signs, dates, and includes their PQS discipline, level and District. Finally, the DEBC approves the Phase III Report by signing and dating the document. See Chapter 2 Section 2.12 and Exhibit 2.14 Table C for additional guidance on peer reviews and reviews for approvals.