PRC 5024 MOU
ANNUAL REPORT

IMPLEMENTATION OF THE
PUBLIC RESOURCES CODE 5024
MEMORANDUM OF UNDERSTANDING

JULY 1, 2025 – JUNE 30, 2026

CULTURAL STUDIES OFFICE
DIVISION OF ENVIRONMENTAL ANALYSIS
CALIFORNIA DEPARTMENT OF TRANSPORTATION
SACRAMENTO, CALIFORNIA

SEPTEMBER 2026

EXECUTIVE SUMMARY

This report documents the effectiveness of and summarizes actions carried out under the 2024 "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" (PRC 5024 MOU) during the period from July 1, 2025, through June 30, 2026, in accordance with PRC 5024 MOU Stipulation XXIII.A.

Between July 1, 2025, and June 30, 2026, Caltrans handled 2,755 projects that involved state-owned cultural resources and were, therefore, subject to compliance with California Public Resources Code (PRC) 5024. Of these, 1,516 were state-only projects and 1,239 were Federal-aid highway projects. Pursuant to PRC 5024 MOU Stipulation II, the federal projects used documentation prepared under the 2024 Section 106 PA (Section 106 PA)[1] or the Section 106 Code of Federal Regulations 36 (CFR) Part 800 to fulfill Caltrans' PRC 5024 responsibilities.

Of the 2,755 projects, 2,254, qualified as "screened" under the terms of the PRC 5024 MOU or the Section 106 PA. The remaining 501 projects were reviewed internally by Caltrans in accordance with the PRC 5024 MOU or required consultation with the State Historic Preservation Officer (SHPO) for determinations of eligibility or findings of effect. A summary of results of the actions completed under the PRC 5024 MOU begins on page 2.

Post-Review discoveries, inadvertent effects, and emergency situations where Caltrans applied the emergency provisions set forth in Stipulation XV and XVI, are described beginning on page 5.

Quality assurance measures for this reporting period included two deliveries of a virtual PRC 5024 MOU training session for PQS staff and managers and a 4-day

[1] The *2024 Programmatic Agreement Among the Federal Highway Administration, the Advisory Council on Historic Preservation, the California State Historic Preservation Officer, the United States Army Corps of Engineers' Sacramento District, San Francisco District, and Los Angeles District, 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*.

Section 106 PA/PRC 5024 MOU training session for prospective PQS held in person in Sacramento January 27-30, 2026, following a virtual session held on January 14, 2026. Quality assurance measures are presented on page 24.

Through its mission, vision, goals and values, Caltrans strives for innovation, quality and commitment to its stewardship of state-owned cultural resources. It is Caltrans' assessment that the PRC 5024 MOU exceeds these internal standards and continues to be an effective program by ensuring that impacts to state-owned cultural resources are taken into account during project planning while streamlining project review procedures.

PRC 5024 MOU Annual Report

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INTRODUCTION

The PRC 5024 MOU went into effect on December 6, 2024, with a duration of 10 years. It streamlines PRC 5024 and Governor's Executive Order W-26-92 by delegating much of the SHPO's responsibility for carrying out routine aspects of the PRC 5024 process to Caltrans.

The PRC 5024 MOU applies to all state-owned cultural resources within Caltrans ownership or jurisdiction. Pursuant to PRC 5024 MOU Stipulation II, Caltrans uses Section 106 procedures under the 106 PA or 36 CFR Part 800, as applicable, to fulfill its PRC 5024 responsibilities when Federal-aid highway projects have state-owned cultural resources within their Area of Potential Effect (APE). All cultural resources studies completed under the PRC 5024 MOU and the Section 106 PA are carried out by or under the direct supervision of individuals who meet the Secretary of the Interior's Professional Qualifications Standards for the relevant field of study. Use of the Secretary's Standards ensures program quality and satisfies state mandates associated with compliance with PRC 5024. Caltrans meets these standards by training and certifying its cultural resources staff as Professionally Qualified Staff (PQS). The CSO Chief in the Division of Environmental Analysis (DEA) at Caltrans is responsible for certifying the qualifications of all PQS. PQS are responsible for ensuring that effects to state-owned historical resources are taken into account and that the PRC 5024 MOU is implemented appropriately during the project delivery process.

Caltrans ensures that documentation for projects that are not subject to SHPO review under the PRC 5024 MOU remains on file at each Caltrans District. PQS also provide copies of documentation to consulting parties and the public in accordance with the PRC 5024 MOU, consistent with applicable confidentiality requirements. By delegating to Caltrans the authority to perform many of the functions of the SHPO for projects with little or no potential to affect state-owned cultural resources, the PRC 5024 MOU enables SHPO staff to concentrate efforts on those few projects that do affect state-owned historical resources.

Pursuant to PRC 5024 MOU Stipulation XXIII.A, this report documents the effectiveness of, and summarizes activities carried out under, the PRC 5024 MOU. It covers actions for which PRC 5024 consultation concluded between July 1, 2025, and June 30, 2026.

In accordance with PRC 5024 MOU Stipulation XXIII.C, Caltrans is providing notice to the public that this report is available for inspection and will ensure that potentially interested members of the public are made aware of its availability. Additionally, the public may provide comments on the report to the PRC 5024 MOU signatory parties. This report is being submitted to the SHPO, the Caltrans Director, and Caltrans District Directors and is available upon request.

Summary of PRC 5024 MOU Actions

According to data provided by the 12 Caltrans Districts, enumerated in Table 1, Caltrans processed a total of 2,755 state-only or Federal-aid highway projects that involved state-owned resources during this reporting period and therefore required compliance with the PRC 5024 MOU. Of these, 1,516 were state-only projects and 1,239 were Federal-aid highway projects. Pursuant to PRC 5024 MOU Stipulation II, the federal projects used documentation prepared under the Section 106 PA or 36 CFR Part 800 to fulfill Caltrans' PRC 5024 responsibilities. A majority, 2,254 (82 percent of the total FY 25-26 projects), were exempted from further review after appropriate assessment, or "screening," by Caltrans PQS.[2]

Of the 501 projects that did not qualify as screened projects, 412 (15 percent of the total FY 25-26 projects) resulted in a finding of No State-Owned Historical Resources Affected, or No Historic Properties Affected for federal projects, which does not require SHPO concurrence under the PRC 5024 MOU or the Section 106 PA.

There were 60 projects (2 percent of total FY 25-26 projects) for which SHPO consultation was not required because the effect finding was No Adverse Effect with Standard Conditions (FNAE-SC) in accordance with Stipulation X.B.1(a)-(b)

[2] Under Stipulation VII of the PRC 5024 MOU and the Section 106, the classes of activities identified in Appendices 2 of the PRC 5024 MOU and Section 106 as "screened" require no further review under the PRC 5024 MOU or Section 106 when the steps set forth in the attachment are satisfactorily completed. Caltrans PQS are responsible for reviewing individual actions for applicability of this provision. PQS cannot screen projects, activities or federal undertakings with potential to affect state-owned cultural resources if conditions must be imposed to ensure that state-owned historical resources will not be affected.

and Appendices 5 of the PRC 5024 MOU or the Section 106 PA. Another 27 projects resulted in a Finding of No Adverse Effect (FNAE). Of these, four reviewed and approved by CSO under PRC 5024 MOU Stipulation X.B.2(a) as they involved state-owned historical resources not on the Master List of Historical Resources (Master List).[3] The remaining 23 FNAE projects were processed under the Section 106 PA, which requires SHPO consultation for No Adverse Effect findings regardless of a state-owned resource's Master List status.

There were 2 projects (less than 1 percent of FY 25-26 projects) that resulted in a Finding of Adverse Effect (FAE). These FAE projects were processed under the Section 106 PA in consultation with the SHPO. One of the projects had an adverse effect on a state-owned historical resource on the Master List and the adverse effect was resolved through execution of a Memorandum of Agreement (MOA). The other project was located partially within state right-of-way, but the adverse effect did not involve state-owned historical resources.

In summary, of the 501 projects that were not screened, 476 were reviewed in-house by Caltrans, either in the Districts or by CSO. The remaining 31 projects required consultation with SHPO. See Table 1, below.

Table 1: Total Projects Completed - July 1, 2025-June 30, 2026

Projects Completed	**2,755**
PRC 5024-only Projects	1,516
Combined Section106/PRC 5024 Projects	1,239
Number of Projects Screened	**2254 (82%)**
Number of Projects Not Screened	**501 (18%)**
Of the projects not screened:	
Number reviewed by Caltrans (District or CSO)	**476**
Number reviewed by the SHPO	**25**

[3] The Master List includes any state-owned resources that are listed in the NRHP or registered as a CHL and state-owned buildings, structures and objects determined eligible for the NRHP or eligible for registration as a CHL. The Master List does not include archaeological sites or non-structural resources and sites that were determined eligible for the NRHP or for registration as a CHL, nor does it include resources that are assumed eligible for purposes of a project only.

EFFECT FINDINGS

A summary of effect findings for this reporting period is represented in Table 2 below. Of the 501 projects processed during the reporting period that did not qualify as "screened," 412 resulted in a finding of "No State-Owned Historical Resources Affected" or "No Historic Properties Affected" because there were either:

- no state-owned cultural resources present.
- all state-owned resources present qualified as exempt from evaluation in accordance with Appendix 4 of the PRC 5024 MOU and/or the Section 106 PA.
- no state-owned resources listed on or determined eligible for the NRHP and/or for registration as a CHL were present.
- state-owned historical resources listed on or eligible for the NRHP and/or registration as a CHL were present, but the project would not affect them.

Another 60 projects resulted in a FNAE-SC. Standard Conditions, described in MOU stipulation X.B.1, which applies when state-owned historical resources will be rehabilitated in accordance with the Secretary of the Interior's Standards for Treatment of Historic Properties (36 CFR Part 68) or will be protected by designation of an environmentally sensitive area (ESA) as described in Appendix 5 of the PRC 5024 MOU. Of the 60 FNAE-SC submittals, 52 had federal funding and were therefore processed under the Section 106 PA. The remaining 8 FNAE-SC submittals either involved state-owned archaeological resources not on the Master List that were protected through designation of an ESA or state-owned built environment resources on the Master List for which the Secretary of the Interior's Standards were applicable. Districts submitted documentation to CSO for review and approval in accordance with Stipulation X.B.1 of the PRC 5024 MOU.

A total of 27 projects resulted in a FNAE without standard conditions. Of these, 4 were state-only projects that did not involve a state-owned historical resource on the Master List and were reviewed by CSO in accordance with the PRC 5024 MOU. The other 23 projects had federal funding and were processed under the

Section 106 PA, which requires the CSO consult with the SHPO whether or not state-owned resources in the APE are on the Master List.

Two projects resulted in an FAE. These were federally-funded projects and were processed under the Section 106 PA with concurrent compliance with the PRC 5024 MOU. One of the projects had an adverse effect on state-owned historical resources on the Master list: the Whiskey Creek Bridge Replacement Project on State Route 299 in Shasta County, California. The adverse effect was resolved through an MOA between Caltrans and the SHPO under the Section 106 PA.

Table 2: Effect Findings – July 1, 2025-June 30, 2026

Number of Effect Findings	**501**
PRC 5024-only Projects	327
Combined Section 106/PRC 5024 Projects	174
No State-Owned Historical Resources Affected/ No Historic Properties Affected	**412**
PRC 5024-only Projects	267
Combined Section 106/PRC 5024 Projects	145
No Adverse Effect with Standard Conditions	**60**
PRC 5024-only Projects	8
Combined Section 106/PRC 5024 Projects	52
No Adverse Effect	**27**
PRC 5024-only Projects	4
Combined Section 106/PRC 5024 Projects	23
Adverse Effect	**2**
PRC 5024-only Projects	0
Combined Section 106/PRC 5024 Projects	2

POST-REVIEW DISCOVERIES, INADVERTENT EFFECTS AND EMERGENCIES

The following is a summary of post-review discoveries, inadvertent effects and emergencies that occurred during the reporting period. Caltrans PQS strive to avoid post-review discoveries or unanticipated effects by making a good-faith effort to identify state-owned historical resources and potential effects through

the regular PRC 5024 MOU process. When unforeseen events occurred, CSO finds that District PQS took the appropriate actions, in accordance with PRC 5024 MOU Stipulation XV, to ensure that adverse effects to state-owned resources were minimized or avoided.

The emergency procedures outlined in PRC 5024 MOU Stipulation XVI allow Caltrans PQS to respond quickly during emergency incidents and efficiently assess potential effects to state-owned historical resources while prioritizing safety and recovery of life and property. Note that some emergency situations arose during the current reporting period, but consultation remains ongoing; such projects will be reported in the next Annual Report following conclusion of consultation.

Use of Emergency Procedures

District 3. Hazardous Spill Emergency Project, Interstate 80, Placer County (CATRA_2025_1217_001)

On December 12, 2025, the District 3 Director declared an emergency for a hazardous spill on Interstate-80 in Placer County caused by a vehicle collision. Located approximately 3500 feet east of the Alta and Morton Road interchange, the spill was located in the boundary of the historic-era townsite of Towle (CA-PLA-2823H). Due to the hazardous nature of the spill it was necessary to proceed with immediate remediation. District 3 cultural staff notified CSO and the SHPO of the emergency situation on December 16, 2025. The SHPO acknowledged the notification on December 17, 2025, and requested updated information if there were any changes to the project or if additional information became available.

Due to weather delays, Caltrans conducted archaeological monitoring of the diesel fuel spill cleanup on March 20, 2026. As a result of the monitoring efforts, no archaeological resources were identified during project ground disturbance. An archaeological monitor was present for all work, and no site constituents were encountered during the cleanup. On April 29, 2026, District 3 updated CSO and the SHPO, providing a copy of the monitoring report2. The SHPO responded on May 20. 2026, acknowledging Caltrans' lose-out notice of this emergency. There were no further comments.

District 3. Camino Emergency Tree Project, U.S. Route 50, El Dorado County (CATRA_2026_0408_001)

On March 20, 2026, the Caltrans District 3 Director declared an emergency on US Route (US) 50, in El Dorado County at Post Mile (PM) 24.0, east of Blakeley Reservoir and west of the town of Camino, though PM 40.0, just east of Riverton and west of White Hall. A series of severe winter storms that occurred during winter of 2025 through 2026 damaged trees along US 50 resulting in an unexpected number of trees falling into the roadway and along the Caltrans Right-Of-Way (ROW). The ROW also contained trees damaged during the storms that are still standing and posed a serious risk to the traveling public and needed immediate removal.

There were five known resources within the project area:

PM 24.06-24.8 P-09-001251 ~ An abandoned historic railroad grade for the Camino, Placerville, and Lake Tahoe Railroad that was used for lumber transportation.

PM 24.7 P-09-000233 ~ A large Prehistoric Native American habitation site including BRM's, midden, cupules, and petroglyphs.

PM 28.4 P-09-01512 ~ A large historical refuse scatter including historical housing materials.

PM 33.7 P-09-000599 ~ The historic El Dorado canal.

PM 39.8 P-09-003778 ~ A historic site recorded by the forest service (FS 05 03 55 182) as a section of reinforced roadway with fencing, ditch segment, fenceline, and a possible water tank.

Caltrans District 3 notified CSO and the SHPO of the emergency on April 8, 2026, in accordance with Stipulation XVI of the PRC 5024 MOU. The SHPO responded on April 15, 2026, requesting that Caltrans provide a summary of consultation efforts with other consulting parties regarding the proposed emergency project and to clarify whether the Eldorado National Forest included in consultation. The SHPO recommend that Caltrans collaborate with the Eldorado National Forest

to identify best management practices to minimize effects and consult with other parties on their use.

The work consisting of the removal of approximately 2,000 damaged and fallen trees, stump grinding, tree disposal, the replacement of a damaged service cabinet, traffic control box, and other incidental work was completed between April 19, 2026, to June 18, 2026.

No impact occurred to the sites or sensitive locations due to careful monitoring from both archaeological and tribal monitors. An archaeological monitor was present every day during tree felling and all other work monitoring and documenting impacts, which were none. Consultation with the USFS and Caltrans' tribal partners is complete.

District 5. Gifford Fire Emergency Project, State Route 166, San Luis Obispo and Santa Barbara Counties (FHWA-CATRA_2025_0819_001)

The Gifford Fire began on August 1, 2025, and caused damage to Highway 166 in San Louis Obispo and Santa Barabara counties. On August 3, 2025, the Caltrans District 5 Director declared a state of emergency for the Gifford Fire, and an emergency project was implemented to repair damage to the highway, which was closed due to safety concern. Crews began work on August 9, 2025, to repair damaged guardrail, replace burned high-density polyethylene culverts, and replace signage to reopen the damaged roadway. The highway reopened on August 13, 2025.

Two locations where emergency culvert replacements were required were near cultural resources: one culvert was near the precontact rock shelter site known as CA-SLO-84 and the second was within a newly recorded precontact site known as CA-SLO-3046. Culvert work in the vicinity of CA-SLO-84 was determined to require only archaeological and Native American monitoring and there were no project-related impacts to SLO-84. A second culvert was located within the boundaries of CA-SLO-3046, a newly recorded archaeological resource that had not been subject to previous archaeological testing. District 5 notified CSO and the SHPO on August 19, 2025. The SHPO responded on August 25, 2025, recommending that Caltrans update the DPR

523 form for CA-SLO-84 as part of this project and requesting the opportunity to review the Archaeological Treatment Plan for CA-SLO-3046 and provide comments before it was finalized.

Archaeological excavations were carried out at CA-SLO-3046 and it was determined to be redeposited cultural materials, likely washed into the ROW from past storm events. All work was monitored by two Native American tribes: Santa Ynez Band of Chumash Indians and the Northern Chumash Tribe-YTT. District 5 submitted the narrative report documenting the emergency work within the 6-month window.

District 5. Granite Canyon Bridge Railing Repair Emergency, State Route 1, San Luis Obispo County (CATRA_2026_0424_001).

On April 10, 2026, a vehicle struck and severely damaged an approximately 10-foot-long section of the bridge railing on the Granite Cayon Bridge (44 0012) on State Route 1 in San Luis Obispo County. Built in 1932, Granite Canyon Bridge is a state-owned historical resource on the Master List. It is individually eligible for the National Register the National Register of Historic Places and is a contributing element of the Carmel to San Simeon Highway Historic District. On April 20, 2026, the Caltrans District 5 Director declared an emergency for the damage to the Granite Canyon Bridge railing. On April 23, 2026, District 5 notified CSO and the SHPO in accordance with Stipulation XVI of the PRC 5024 MOU of its intention to use emergency procedures for the proposed repair. District 5 cultural staff proposed that repairs to the railing be completed in a manner that matched the existing railing as closely as possible, as detailed in the bridge's construction records/As-Builts. The SHPO responded on April 27, 2026, that District 5's recommendations were a reasonable approach to remedying the damaged property. In the event that the work completed under the emergency repair did not match the existing railing aesthetic, the SHPO requested the opportunity to comment on any proposed measures taken to correct the work. The repair work was successfully completed in a manner consistent with the recommendations District 5. The District documented the completion of the railing repair work in a narrative report submitted to CSO and the SHPO on June 23, 2026.

Unused Emergency Procedures Time Extensions for Applicability

In some cases, Caltrans notifies the SHPO of its intention to use emergency procedures in anticipation of emergency projects being initiated in response to an emergency declaration, to meet the 30-day notification requirement. For the current reporting period, however, Caltrans Districts either received no projects under these emergencies within the allotted time and/or ultimately did not need to use emergency procedures due to the projects being "screened" per Stipulation VII of the PRC 5024 MOU. Table 3 below describes the name of the emergencies, the District, the emergency declaration date, who declared the emergency, the date Caltrans notified the SHPO of the intent to use emergency procedures, and the date of the SHPO's response.

Table 3: Unused Emergency Procedures Time Extensions for Applicability

District	Emergency	CATRA Number	Emergency Declaration	Notification to SHPO	SHPO Response Date
2, 7, 8, 11, 12	2025 Late Winter Storms Large-Scale Emergency	CATRA_2026_0115_001	Governor	1/15/2026	1/22/2026

Post Review Discoveries and Inadvertent Effects

District 3. Post Review Discovery. Chico Rehab Project, State Route 32, Butte County, EA 03-4F760 (FHWA_2021_0722_001)

The post-review discovery for this Section 106/PRC 5024 project occurred during electrical trenching for the Chico Rehab Project on State Route 32 within the City of Chico in Butte County, California. In 2021 Caltrans found that the project would likely have no adverse effect, using the Minor Phasing provisions of the Section 106 PA. During implementation of the Project's Post Review Discovery and Monitoring Plan (PRDMP) and Phased Identification Plan (PIP), Caltrans was informed that the archaeological monitor had identified a subsurface refuse

scatter during construction on September 2, 2025. All work was stopped within 60 feet of the find. Caltrans PQS investigated the discovery on September 3, 2025, confirmed the find met the threshold of a Post-Review Discovery, and notified the SHPO, CSO, and the Mechoopda Indian Tribe of the find on the same day. The Mechoopda Indian Tribe's Tribal Historic Preservation Officer responded acknowledging the find and requested updates as scheduling occurred. The SHPO responded with comments on September 4, 2025, which Caltrans addressed on September 5, 2025. On September 8, 2025, the SHPO acknowledged this response and had no further comments.

Due to public safety and for protection of the find, the trench was backfilled temporarily until implementation of the PRDMP field methods could occur. The location was tied historically to the Kempf property that served at times as a city dump for Chico. While the find was not found to qualify as an exempt resource under Attachment 4 of the Section 106 PA/PRC 5024 MOU, research into the property for the PRDMP found that the property was not likely to be eligible for the National Register of Historic Places. The find could potentially meet data thresholds under Criterion D based on the project research design in the PRDMP, however, despite this established context. As the location was unavoidable for the project, Caltrans consulted with the SHPO and the Mechoopda Indian Tribe and committed to proceeding to the next step of the procedures established in the PRDMP. Caltrans is completing the identification and evaluation effort within the unavoidable location using the data recovery methods established in the PRDMP. Caltrans will continue consulting with the SHPO and Mechoopda Indian Tribe on the final monitoring report, that shall include a summary of the results of construction monitoring, all DPR forms, excavation records, and analyses of the data recovered property within 12 months following the completion of construction, per the PIP and the PRDMP.

District 4. Post Review Discovery. Arcadian Middle Mile Broadband Network Project, State Route 680, Alameda County, Encroachment Permit #04-25-6-BB-0387 (CATRA_2026_0511_001)

The post-review discovery occurred on May 7, 2026, outside of any Environmentally Sensitive Areas (ESAs) during nighttime conduit installation for the Arcadian Middle Mile Broadband Network Encroachment Permit #04-25-6-

BB-0387 Project. In July 2025, Caltrans made a finding of No Adverse Effect with Standard Conditions – ESA for this Section 106/PRC 5024 project. The find consisted of shell midden located approximately 300 feet southwest of a known shell midden and habitation site, P-01-002162 (CA-ALA-576). Due to the proximity of the ESA and through ongoing consultation with the Muwekma Ohlone Indian Tribe of the SF Bay Area (Muwekma) and the Confederated Villages of Lisjan Nation (Lisjan), archaeological and tribal monitors were present and observed the find. The monitors and Caltrans PQS did a preliminary inspection to assess the discovery and secure the site until an assessment of the potential eligibility could be made per Stipulation XV.B.1 of the Section 106 PA/PRC 5024 MOU. The monitors informed their supervisors, who informed Caltrans District 4 Office of Cultural Resource Studies (OCRS) immediately. OCRS immediately consulted with the Muwekma and the Lisjan to discuss the find and the preferred treatment from the tribal perspectives. Construction was stopped within 100 feet of the discovery and the area was secured. All stockpiled soils were covered and secured, and the bore pits were secured with steel plates. OCRS notified CSO and the SHPO of the discovery on May 8, 2026.

At the request of Lisjan, no evaluation or assessment of the significance of the discovery occurred until after a meeting with the tribal archaeologists and leadership. An on-site meeting was held on Monday, May 11, 2026, with all parties involved to discuss the significance of the discovery and next steps.

OCRS reiterated discovery protocols, lines of communication, and chain-of-command procedures with construction staff and cultural monitors should any additional finds occur. Additionally, OCRS coordinated with project staff to ensure that the location remains protected, and additional tribal monitors were brought in to provide increased oversight. Remaining conduit tie-in and backfilling work will proceed only under continued consultation with the tribes and with full archaeological and tribal monitoring on site. Consultation with Muwekma and Lisjan have continued and will continue for the project. As of August 2026 no additional cultural finds have been identified within the vicinity of CA-ALA-576 or the ESA. As requested by the SHPO, OCRS provided a Department of Parks and Recreation (DPR) 523 site record for the find to the

SHPO and CSO on August 24, 2026. The post-review discovery is considered to be resolved by all parties.

District 4. Inadvertent Effect, Capital Maintenance Project, State Route 131, Marin County (FHWA_2023_1016_002)

On August 22, 2025, District 4 notified CSO and the SHPO of a breach in an Environmentally Sensitive and Archaeological Monitoring Area (ESA/AMA) established for the Capital Maintenance (CAPM) Project, State Route 131 in Marin County.

On July 2, 2025, the Caltrans Utility Engineering Office conducted potholing for utilities at the intersection of San Rafael Avenue and SR 131, within an ESA and AMA established for archaeological site CA-MRN-35. The ESA and AMA were established during the Project Approval & Environmental Document (PAED) phase of project delivery. The ESA/AMA is included in the Plans and Specifications and the Environmental Commitment Record. On August 20, 2025, the District 4 OCRS was notified by the Town of Tiburon that the potholing had occurred to support the completion of the CAPM Project's design plans. No archaeological or Native American monitor was present at the time of the potholing. The excavations took place over existing utilities to relocate them for planning/design purposes. Nine holes were excavated between 7 inches and 5 feet 10 inches deep.

Immediately after notification of the violation, OCRS contacted the Project Manager and the Caltrans Utility Engineering Office and received a copy of the report documenting the potholing work, which occurred on July 2, 2025. Caltrans staff discussed the potholing discussed in a call with Buffy McQuillen, Tribal Historic Preservation Officer (THPO) for the Federated Indians of Graton Rancheria (FIGR) on August 21, 2025. Caltrans followed up with an email to THPO McQuillen with the potholing report and summary of the known information. Caltrans and FIGR Representative Hector Garcia visited the location of the potholing on August 22, 2025. Pothole locations were still visible within the paved roadway, indicated by spray paint and asphalt patches. No cultural deposits were noted on the visible ground surfaces.

Extended Phase II testing at this location had been completed in Fall 2023. Extended Phase I/II Investigations for the SR 131 Rehabilitation Project, Marin County, CA (XPI/II) included two augers on the north side of the intersection of San Rafael Avenue, where potholing occurred to 4 feet 2 inches below ground surface (bgs). One auger was completed to a depth of 0.6 meters (approx. 2 feet) bgs and the second to 1.25 meters (approx. 4 feet) bgs. Fill was identified to a depth of 4 feet when there was a refusal due to a dense rocky layer. Project work at this location was anticipated to go to 2.5 feet bgs.

On the south side of the intersection with San Rafael Avenue, a total of 5 potholes were opened to depths between 2 feet 7 inches and 5 feet 10 inches. The deepest pothole did not identify the utility as it encountered refusal at 5 feet 10 inches due to rock. The XPI/II tested to 1 meter (approx. 3 feet) and 0.75 meters (approx. 2.5 feet). Both augers identified artificial fill, and one also identified a small lens of redeposited shell midden at 0.6 meters (approx. 2 feet). The pothole that occurred nearest the auger that identified the redeposited midden went to a depth of 2 feet 7 inches.

Based on the XPI/II testing, the location of the potholing over existing utility lines, the field visit with a FIGR representative and a review of the potholing report, Caltrans determined that the ESA and AMA breach likely did not extend beyond the fill or encounter intact midden deposits and therefore, did not result in an adverse effect to CA-MRN-35.

OCRS confirmed with Utility Engineering that the soils disturbed during potholing were removed using a vacuum truck and were deposited at the Potrero Hills Landfill. Because of this, the soils could not be retrieved or inspected by an archaeologist or Tribal representative.

The SHPO responded on August 25, 2025, acknowledging receipt of the notification and requested to be included in consultation regarding this matter as additional information becomes available.

On September 5, 2025, OCRS sent a memo to the Project Manager documenting the ESA/AMA violation and the importance of adhering to these requirements. Through several email chains and project meetings, OCRS

conveyed to the project development team the sensitivity of the area and the need to adhere to the ESA/AMA plan in all phases of the project. To prevent violations such as this from occurring in the future, potholing dates, location, and depths are to be discussed in Project Development Team (PDT) meetings by the Office of Utility Engineering (OUE). OCRS will work closely with the PDT and OUE to ensure that no work occurs within established ESA and AMAs in the future.

Several actions were agreed upon to address the challenges of communicating utility planning needs during PS&E and to ensure that Tribal and archaeological monitors have accurate information when crews are working within ESAs and AMAs. These actions include:

- PDT members will be informed that utility relocations are needed, and OCRS and OUE will work together to schedule monitors.

- PQS will be invited and attend all PS&E meetings when ESAs and/or AMAs are present. PQS will be informed of any ground disturbing work needed before 100% plans are finalized to ensure the ESA and/or AMA measures are in place.

District 4 concluded that the ESA/AMA violation did not result in an adverse effect to historic properties and provided updated information to CSO and the SHPO on October 2, 2025. The SHPO responded on November 3, 2025 with no objection to the finding and acknowledged that Caltrans had taken steps to prevent such breaches from occurring in the future. There were no further comments.

District 7. Post Review Discovery. State Route 1 Drainage Restoration and Culvert Modification/Fish Passage Repair Project, State Route 1, Los Angeles and Ventura Counties, EA 07-31350 (FHWA_2018_1206_001)

The post-review discovery occurred during the excavation of Cast-in drilled hole (CIDH) piles for Stage 3 of construction for this Section 106/PRC 5024 project. In 2019, Caltrans found that there would likely be no adverse effect, using the Minor Phasing provisions of the Section 106 PA/PRC 5024 MOU. The CIDH piles involved large drills going to specified depths. In accordance with the Monitoring Plan for the project, archaeological and tribal monitors sample

screened the drilling spoils from the soil lenses including native soils and mixed context excavated within the site boundaries of CA-LAN-210 to identify any potential cultural materials and found multiple bone fragments, lithic shards, and shell fragments. During a field visit by Caltrans qualified human osteologists on October 23, 2025, however, 5 fragmented disarticulated human remains were identified after examining the osteological material identified during the sampling.

Upon identification of the human remains, Caltrans stopped all work in the immediate area and contacted the coroner per the process outlined in the monitoring plan and in compliance with Section 7050.5 of the California Health and Safety Code and California Public Resources Code Section 5097.98. On October 23, 2025, District 7 notified the Fernandeño Tataviam Band of Mission Indians and the Coastal Band of Mission Indians and notified CSO and the SHPO on October 24, 2025. Representatives from both tribes were present on the site that day and were informed of the positive identification immediately. Caltrans PQS, CSO, the tribal representatives, and the coroner consulted on the process to follow and agreed to temporarily house and protect the identified cultural material and human remains at Caltrans until the Most Likely Descendant (MLD) was determined by the Native American Heritage Commission (NAHC). For safety reasons, the drill hole was filled with concrete to ensure the stabilization of the slope, and construction was otherwise stopped until consultation with MLD, the consulting parties, and the SHPO could be completed.

The NAHC identified the Barbareno/Ventureno Band of Mission Indians (BVBMI) as the MLD on October 27, 2025. Caltrans District 7 met with the MLD on November 5, 2025 and discussed and resolved the following items.

1. The MLD identified all cultural materials and artifacts recovered from the project site at CA-LAN-210 as either human remains or associated grave goods, as defined in PRC 5097.98. Caltrans agreed and is facilitating the MLD's recommendation that all human remains and associated grave goods are reburied following the analysis provided in the PRDMP.

2. A supplemental PRDMP was produced to capture Caltrans' commitments based on the outcome of discussions with the MLD, as well as to address the issues that resulted in the misidentification of the remains initially.
3. Additional conversations are ongoing with the MLD regarding the location for the eventual reburial.
4. Caltrans authorized minor work in the area consisting of work that does not enter the depth range where the midden was identified, with an archaeological and tribal monitor present. This was authorized while the supplemental PRDMP was being developed due to its lack of potential to affect the midden.

To address the issues that resulted in the initial misidentification of the remains, Caltrans included the following updates to monitoring procedures in the supplemental monitoring plan:

1. Updated the protocols to follow should additional human remains be found;
2. Requires the presence of an on-call osteologist who will determine if bones are human within 24 hours of a discovery;
3. Requires 100 percent of the spoils extracted during CDIH pile excavations to be sifted until the archaeological and tribal monitors determine it can be discontinued based on what is being found and depth/soils profile.

Caltrans also provided information on the work that remains for the project that will include going into depths the midden was discovered at. Additionally, the remainder of the work contract was modified through a contract change order to provide additional protocol additions that will help ensure ground disturbance will not occur in archaeological monitoring areas without monitor presence while helping avoid construction and communication conflicts.

On November 25, 2025, Caltrans sent a supplemental PRDMP to the SHPO requesting comments on the proposed treatments. The SHPO responded acknowledging receipt of the letter and Supplemental PRDMP; stated understanding that the assessment of effects to CA-LAN-210 is ongoing and a

formal finding of effect is yet to be made; and that the SHPO looked forward to receiving and consulting on this and any other proposed treatment measures when available. The SHPO also stated the Supplemental PRDMP was still under review and requested additional consultation among all consulting parties regarding the treatment of cultural materials and artifacts identified during a PRD should they be determined to contribute to National Register Significance. Caltrans responded December 18, 2025, clarifying that it will propose a finding based on the results of ongoing work in accordance with the project's PIP, and will consult with the SHPO regarding these efforts. Additionally, Caltrans clarified the nature of the find under PRC 5097.98 and that the state law does not prescribe landowner or MLD consultation with the SHPO concerning the treatment of human remains or associated grave goods. Caltrans requested additional information on the goal or purpose of the requested additional consultation to better take the request into account and ensure concerns are adequately addressed. Caltrans has not received further response from the SHPO. The other consulting parties and the MLD had no comments regarding the proposed treatments, processual modifications, and supplemental PRDMP. As such, construction for the project has continued.

Caltrans is still in the process of determining the finding of effect and intends to further continue proceeding under the PIP, PRDMP, and Supplemental PRDMP processes, and will consult regarding the finding at the end of this work with the final reporting.

District 10. Post Review Discovery. State Route 12 Calaveras County Bridge Project, State Route 12, Calaveras County (FHWA_2021_1022_002)

The post-review discovery is a previously unidentified a historic-era mining feature located on private property immediately adjacent to the existing Highway 12 alignment. The discovery was reported to Caltrans PQS on May 20, 2026, and Caltrans PQS conducted a site visit on May 21, 2026. The feature, an adit, was a passage to an underground mine. The property owner stated that neither he nor the previous owner had prior knowledge of the adit. The feature is isolated with limited associating to the broader historical landscape and had no identified relationship to other known cultural resources within the vicinity. The presence of the mine posed broader potential geotechnical and public safety

concerns as it is unknown how far it extends; therefore Caltrans determined that additional geotechnical work was required to fully identify the extent and depth. No construction on the project had yet started in the vicinity of mine, and the work schedule was shifted to allow for a full analysis of the potential historic resource.

On May 26, 2026, Caltrans notified the Calaveras Band of Miwok Indian, CSO and the SHPO of the discovery on May 26, 2026. The SHPO responded on May 27, 2026, requesting information regarding why there had been a delay in notification, a map, DPR 523 forms, and additional information on the resource, as well as to be kept up to date on consultation outcomes.

Caltrans PQS conducted a field visit with geophysics personnel. Standing water within the adit limited the effectiveness of geophysical survey. Caltrans PQS evaluated the adit and determined that it was not eligible for the National Register. Caltrans consulted the SHPO regarding the determination of eligibility on July 15, 2026. The SHPO concurred with the determination on July 30, 2026. Therefore, consultation for the PRD is completed. The adit shall be permanently closed to address public safety concerns.

EFFECTIVENESS OF THE PRC 5024 MOU

Prior to the execution of the PRC 5024 MOU, pursuant to PRC 5024, all projects that involved state-owned cultural resources required consultation with the SHPO. Caltrans conducted an inventory and evaluation of the resources using the NRHP and CHL criteria and consulted SHPO on eligibility in accordance with PRC 5024(b) and (d). If state-owned historical resources were identified, Caltrans continued consultation with SHPO on effects to properties on the Master List per PRC 5024.5. PRC 5024(f) required that Caltrans notify the SHPO regarding effects to state-owned historical resources not on the Master List and request SHPO's comment; there is no time frame for this consultation, and the process could take several months depending on the circumstances.

The PRC 5024 MOU delegated many steps of the PRC 5024 process to Caltrans. It also established agreed-upon time frames for all steps in the SHPO review process, and delegated some reviews to CSO, which likewise have time frames.

Since January 1, 2015, Caltrans has used the alternate provisions of the PRC 5024 MOU instead of the regular PRC 5024 compliance process for state-only projects and activities and for Section 106 PA projects that involved state-owned cultural resources. The result is a time savings of up to 60 days for projects requiring determinations of eligibility and approximately the same for effect findings. Table 4, below, shows a comparison of time frames under the standard PRC 5024 process and those under the PRC 5024 MOU.

Table 4: PRC 5024 Review Timeframes

Action	PRC 5024 Process	PRC 5024 MOU Process
Potential to affect state-owned historical resources not on the Master List (if present)	SHPO review time not specified	No SHPO review; only annual reporting
Potential to affect state-owned historical resources on the Master List (if present)	30-day SHPO review	No SHPO review; only annual reporting
Evaluation of cultural resources (if present)	30-day SHPO review	30-day SHPO review

Projects Exempt from SHPO Review

PQS may exempt certain projects and activities from further PRC 5024 review if PQS determines that they do not have potential to affect state-owned historical resources. The finding is documented in a memo to file, along with any supporting documentation, such as project plans, records search results, or correspondence with interested parties.

The "screening" process is a major streamlining feature of the PRC 5024 MOU. PQS measure the time saved by this provision by estimating the amount of time that otherwise would have been spent conducting PRC 5024 studies and preparing consultation documents for SHPO. In addition, the amount of time saved by not having to wait for a determination saves, at a minimum, 90 days per project, compared to the non-PRC 5024 MOU process. CSO estimates that the time saved per project averages approximately 45 hours statewide. This represents a considerable savings of labor hours between Caltrans and SHPO as well as an unknown amount of valuable tax dollars.

For this reporting period, PQS concluded that 2254 projects (82 percent) qualified as "screened" and were exempt from further review. Time saved is best viewed as a measure of more efficient project delivery, in that the screening process has allowed Caltrans to complete the compliance process more efficiently than could be accomplished without the PRC 5024 MOU and has saved the SHPO time in not having to review projects with no potential to affect historical resources. Without the PRC 5024 MOU, projects that involved both Federal-aid highway funding and state-owned properties could still be "screened" under the Section 106 PA, but Caltrans would potentially have had to consult separately with the SHPO to comply with PRC 5024. Bringing the two processes into line with each other has saved considerable time and effort.

Time Savings for Effect Findings

Under the PRC 5024 MOU, when Caltrans PQS determine that a project results in a finding of "No State-Owned Historical Resources Affected" either because no state-owned historical resources requiring evaluation are present or no state-owned historical resources will be affected, the finding is documented in Caltrans files and SHPO is notified in the annual report. Time saved using this procedure is 30 days per project.

Prior to the PRC 5024 MOU, when Caltrans determined that a project resulted in a FNAE-SC, using the guidance provided by the Section 106 PA, there were two procedures for compliance, depending on whether the project affected state-owned historical resources on, or not on, the Master List. For a FNAE-SC affecting historical resources not on the Master List, Caltrans notified SHPO and requested comments under PRC 5024(f). There was no time frame for this consultation nor was SHPO required to concur. For a FNAE-SC affecting historical resources on the Master List, Caltrans notified the SHPO and requested comments under PRC 5024.5 within 30 days.

Under the PRC 5024 MOU, all FNAE-SCs are sent to CSO for a 15-day review. If CSO does not object within that time frame, the District can move forward and the project or activity is not subject to further review. Caltrans notifies SHPO in quarterly reports as well as an overall reporting in the annual report. This streamlining measure of PRC 5024 MOU Stipulation X.B.1 results in review time

savings of 15 to 30 days per project for properties on the Master List, and up to 90 days for properties not on the Master List. Table 5 below compares the timeframes for review of effect findings under PRC 5024 to those under the PRC 5024 MOU.

Table 5: Review Timeframes for Effect Findings

Action	PRC 5024 Process	PRC 5024 MOU Process
Finding of No State-Owned Historical Resources Affected (including when State-owed Historical Resources on the Master List not affected)	No time frame specified; open-ended or 30-day SHPO review	No SHPO review; annual reporting
Finding of No Adverse Effect with Standard Conditions – Not on Master List	No time frame specified; open-ended	15-day CSO review[4]
Finding of No Adverse Effect with Standard Conditions – On Master List	30-day SHPO review	15-day CSO review
Finding of No Adverse Effect without Standard Conditions – Not on Master List	No time frame specified; open-ended	15-day CSO review
Finding of No Adverse Effect without Standard Conditions – On Master List	30-day SHPO review	30-day SHPO review
Adverse Effect – Not on Master List	No time frame specified; open-ended	30-day CSO review
Adverse Effect – On Master List	30-day SHPO review	30-day SHPO review

[4] CSO responsibility and review period per Stipulation X.B.1

PRC 5024 MOU Stipulation VIII.C.1 and Appendix 4: Resources Exempt from Evaluation

Stipulation VIII.C.1 and Appendix 4 of the PRC 5024 MOU require a reasonable level of effort to identify and evaluate state-owned historical resources. However, the PRC 5024 MOU recognizes that not all properties possess potential for historical significance. Caltrans PQS and qualified consultants are entrusted with the responsibility of determining whether cultural resources property types meet the terms of PRC 5024 MOU Appendix 4 and, if so, may exempt them from PRC 5024 evaluation. Measuring the time saved under this provision is difficult, but by roughly estimating the amount of time PQS or qualified consultants would have had to spend evaluating the resources, Caltrans saves from 20 to 60 hours per resource. CSO review is not required for exemptions of resources under this stipulation. However, CSO provides guidance and review when requested.

To plan for future inventories pursuant to PRC 5024(a) and (b) and to comply with W-26-92, Caltrans PQS are required to complete minimal information on the Office of Historic Preservation's DPR 523A Primary Record Form for PRC 5024 MOU Attachment 4 built-environment resource types 3 through 7. Exhibit 6.7: Minimal Recordation for Certain Exempted State-owned Resources, in Volume 2 of the Caltrans Standard Environmental Reference (SERv2) provides guidance on what to record. While it may take an hour or two to complete the Primary Record and upload it into the Caltrans Cultural Resources Database (CCRD), having information on the location and type of built environment resource will save time for future projects in that during background research PQS will know the resource was previously exempted and can avoid repeating the information.[5] In planning updates to its list of state-owned historical resources, Caltrans can save time by checking the CCRD to see whether the exempted resource continues to qualify as exempt or requires evaluation.

[5] The CCRD is an electronic inventory of architectural and archeological cultural resources in the state right-of-way.

PRC 5024 MOU Stipulation VIII.C.4: Considering a State-Owned Cultural Resource Eligible

Stipulation VIII.C.4 of the PRC 5024 MOU allows Caltrans PQS to consider state-owned cultural resources as eligible for inclusion in the NRHP or eligible for registration as a CHL for the purposes of a project when special circumstances preclude their complete evaluation. Such circumstances include restricted access, large property size, or limited potential for effects. PQS are required to receive written approval from CSO for such assumptions of eligibility. Cultural resources treated under this stipulation may require consultation with SHPO at a later date.

QUALITY ASSURANCE MEASURES

Under the PRC 5024 MOU, Caltrans PQS have taken on much of the responsibility for ensuring that effects to state-owned historical resources are taken into account and that there is no loss in quality of work. CSO's commitment to ensure that PQS are trained to work within the terms of the PRC 5024 MOU is embodied in PRC 5024 MOU Stipulation XVIII. Caltrans and SHPO determine the type of training that is appropriate under this stipulation, which was developed to ensure that Caltrans makes training a priority. As the results of this report indicate, this responsibility is being handled competently but with recognition that ongoing communication and training are keys to continued success. To ensure that this level of quality continues, the following quality assurance measures were implemented during this reporting period:

- CSO developed focused PRC 5024 training for PQS and supervisory staff PRC 5024 MOU to familiarize staff with provisions specific to the PRC 5024 MOU. Two virtual deliveries of this training were held: July 17, 2025, and October 1, 2025.
- Annual training in use of the Section 106 PA and PRC 5024 MOU (required for new cultural staff before certification as PQS) delivered a virtual session via WEBEX on January 14, 2026 followed by an in-person 4-day training in Sacramento from January 27 to January 30, 2026.

- CSO produced 5 editions of The Cultural Call CSO bulletin, a newsletter to discuss implementation and interpretation of policy and disseminate the information to PQS and other Caltrans staff statewide.
- CSO, Districts, and Office of Historic Preservation (OHP) Project Review staff held quarterly statewide virtual meetings to discuss policy, procedures, and workload issues, including "mini training" sessions.
- The Section 106 Branch and PRC 5024 Coordinator in CSO hold monthly "office hours" during which District staff can ask questions about specific projects or implementation of the PRC 5024 MOU and Section 106 PA.
- CSO staff peer reviews cultural resource studies as requested by the Districts.
- CSO reviews evaluation documents submitted directly to SHPO in accordance with Stipulation VIII.C.6 of the PRC 5024 MOU. CSO works with OHP, District PQS and managers as needed to correct deficiencies when encountered.
- CSO reviews and approves all No Adverse Effects and Adverse Effect reports for state-owned historical resources on and not on the Master List. Those that involved state-owned built environment resources on the Master List are reviewed by CSO prior to transmittal to SHPO.

PRC 5024 MOU Stipulation XIX.B

Pursuant to Stipulation XIX.B of the PRC 5024 MOU, in consultation with the CSO Chief and the OHP Review and Compliance Unit Supervisor, the DEA Chief may place individual Caltrans Districts, Divisions, Offices, or Branches on probation, suspension, or removal from use of the PRC 5024 MOU. Consistent with previous reporting periods, there was no application of this stipulation during the current reporting period.

CONCLUSION

The results of this report reveal that during the 2025-2026 reporting period, Caltrans handled 2,755 projects that involved state-owned cultural resources. A large percentage of these, 2,254 (82 percent), qualified as Screened Projects and were exempted from further PCR 5024 review by PQS. The remaining 501

projects or activities that did not qualify for treatment under the screening provision were processed by Caltrans Districts and/or CSO under the terms of the PRC 5024 MOU or required consultation with the SHPO for determination of eligibility or findings of effect. This figure includes projects that had federal funding and therefore used documentation prepared under the Section 106 PA or 36 CFR Part 800 to comply with PRC 5024, in accordance with Stipulation II of the PRC 5024 MOU.

It is Caltrans' finding that the PRC 5024 MOU continues to save significant time by streamlining the process for projects and activities with little or no potential to affect state-owned historical resources while maintaining Caltrans' standards of stewardship for important resources under its jurisdiction.