

# Exhibit 6.5:

## Historical Resources Evaluation Report Format and Content Guide

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# **Exhibit 6.5: Historical Resources Evaluation Report Format and Content Guide**

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## **Historical Resources Evaluation Report (HRER) Format**

The Historical Resources Evaluation Report (HRER) is used to document identification, recordation and evaluation efforts for built environment resources, such as buildings, structures, objects, districts, and linear features, and historical archaeological resources.

While the level of detail will vary depending on the nature and scope of the project, its potential to affect historic properties and the significance of the identified resources, HRERs should follow these basic format and content guidelines. The content may vary depending on the types of resources discussed. If the APE/PAL contains built environment and historical archaeological resources, ideally a team of qualified cultural resources specialists would jointly prepare a single HRER; however, if a single HRER is not feasible (e.g., studies are conducted at different times or by different entities), separate HRERs can be prepared.

### **HRER Format**

- Title page
- Summary of Findings
- Table of Contents
- Project Description
- Research Methods
- Historical Overview
- Archaeological Research Context (if applicable)
- Field Methods
- Description of Cultural Resources
- Resource Significance (if applicable)
- Findings and Conclusions
- Bibliography
- Preparer(s)' Qualifications
- References Cited
- Maps
- DPR 523 Forms
- Other Attachments

## **Title Page**

The title page contains the following information:

- Brief descriptive title with type of study (HRER), name and general location of project (e.g., “Curve Correction on Route 989 between Forestview Drive and Limekiln Road”).
- County, route, and postmile or local street or road name.
- EA/E-FIS<sup>i</sup> project number and phase (For Local Assistance projects, use the Federal-Aid project number).
- Project contract number (if prepared by consultants).
- Name, title, and signature of the Caltrans Professionally Qualified Staff (PQS) or consultant PQS-equivalent who prepares the report. Also state the preparer’s PQS or PQS-equivalent level and address or location. If the report has multiple authors, all should be listed by name, but only the senior author’s name, title, location, and signature are needed.
- Name, title and signature of the PQS who reviewed the report for approval, along with the reviewer’s location/address and PQS level (if different than preparer).
- Name, title, location and signature of the Caltrans District Environmental Branch Chief (DEBC) for whom the document was prepared. The DEBC’s signature on the title page indicates approval and acceptance of the document.
- Date (month/year) HRER was prepared (appears at bottom of page).

## **Summary of Findings (Abstract)**

This section briefly summarizes, in one page or less, the intent, methods and results of the study. It includes:

- A concise description (abstract) of the proposed project.
- Purpose and scope of the investigation.
- Results of the investigation. State the total number of properties that required evaluation and summarize the consequent findings.
- For each property that is eligible for inclusion in the National Register of Historic Places (NRHP): state the name, location, applicable criteria, and period and level of significance.

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<sup>i</sup> Enterprise Resource Planning Financial Infrastructure, a 10-digit number, followed by a phase number of one or more digits.

## **Table of Contents**

A table of contents facilitates review of the document because it allows a reviewer to locate information more efficiently. List the major sections, subsections, appendices, maps, figures, tables, and exhibits of the HRER with corresponding page numbers.

## **Project Description**

While the District Project Development Team typically provides the project description, it is important that the cultural resource specialist present this information in a way that is relevant to cultural resources:

- Describe major design features concisely, but with sufficient illustrative detail to ensure that a reviewer not familiar with the project or project area has a clear understanding of its potential to affect historic properties and/or historical resources. Discuss the scope of proposed project activities and components (e.g., addition of passing lane, new alignment with intersection) and the need for new right-of-way or temporary construction easements.
- Describe the Area of Potential Effects (APE)/Project Area Limits (PAL).
- Include a statement about the general environment, such as whether the project lies in an urban or rural area.
- Reference all pertinent maps (Project Vicinity, Project Location, APE/PAL, etc.).

## **Research Methods**

Briefly, discuss sources and methodology used in conducting pre-field, background, and resource-specific research. Cite the standard sources of information used, such as NRHP and California Register of Historical Resources (CRHR), California Historical Landmarks (CHL) and California Points of Historic Interest listings (See Exhibit 4.2), and a statement regarding the areas (themes) of research used to establish the historical context in which the resources within the APE/PAL were evaluated. Note the names and locations of research facilities utilized.

This section also serves to document any public participation and/or consultation to date, including contacts with local historical societies, planning agencies, or interested individuals, and interviews with knowledgeable persons. Summarize any comments received (or note the lack thereof) in response to consultation requests and Caltrans' response. Relevant correspondence and/or consultation logs can be attached as an appendix and referenced here.

## **Field Methods**

List the date(s) that fieldwork was conducted and identify the participants. Describe explicitly the survey methods that were used. For historical archaeological sites, include any archaeological field methods that were employed (e.g., mechanical or hand excavation, broad area exposures, or number and spacing of excavation units). Include a section on laboratory methods, as appropriate. For the built environment, detail the level of survey (intensive or reconnaissance).

## **Historical Overview**

The historical overview provides the broad context in which the cultural resources within the APE were evaluated for historical significance. Summarize the results of the background research, focusing on the areas or themes directly related to the resource(s) under evaluation, as identified in the Research Methods section. The historical overview is not intended to provide the definitive history of an area or historical person(s) except as the person(s) can be directly associated with an evaluated resource. Rather, it provides the frame of reference within which the cultural resources were evaluated. Unrelated information should not be presented.

The overview begins with a brief general historical introduction then narrows the focus to the regional level and ends with a discussion of topics directly related to the resources being evaluated. Topics that are relevant may include, but are not limited to: initial settlement, economic development and demographic factors, historic events that occurred in the area, factors of industrial and commercial development, and transportation and supply networks.

## **Archaeological Research Context**

This section is included in the HRER only when evaluated resources include historical archaeological sites that have yielded or are likely to yield important information and therefore could be eligible under NRHP Criterion D or other applicable criteria. Include general research themes, and theoretical/methodological orientation for the proposed study. The discussion should be well grounded in comparative studies on similar site types that serve to focus the research potential of the sites in this study.

## **Description of Cultural Resources**

**Built environment resources:** Because DPR 523 forms are prepared for evaluated built environment resources and typically provide sufficient detail regarding the physical descriptions of the resources and their integrity, it is a duplication of efforts

to repeat the information for built environment resources in the HREER. Rather, this section summarizes the broad range of cultural resources encountered within the APE and the general environment (rural, urban, suburban, etc.) in which they are located.

Provide a brief description (type, age, etc.) of any eligible resources and refer, by Map Reference Number, to the appropriate DPR 523 form(s) for a more detailed description. Resources that are not eligible are referenced but a description is not necessary.

**Historical archaeological resources:** include component features (if applicable) and identify any known or suspected archaeological deposits. Describe the physical components of each site with specific emphasis on information-bearing features that support the site's eligibility under Criterion D. Discuss integrity in relationship to the site's ability to address important research questions, or to the site's ability to convey significance under other NRHP criteria if appropriate. Include the site trinomial (e.g., CA-TRI-433) for each archaeological site covered in the document. As some Information Centers have a backlog in assigning trinomials, using a primary number is acceptable for those counties. However, every effort should be made to acquire a trinomial for any evaluated archaeological sites.

**Multi-component sites:** make sure the built environment and archaeological discussions are compatible.

### **Resource Significance for Archaeological Sites**

This section is included in the HREER only when evaluated resources include historical archaeological sites that have yielded or are likely to yield important information and therefore could be eligible under NRHP Criterion D or other applicable criteria.

List the relevant historical research questions and identify the kinds of data needed to address such questions. Summarize the degree to which these questions were addressed in previous studies.

Evaluation of historical archaeological resources requires a closely integrated assessment of both physical and historical evidence. In arguing the case for or against eligibility, clearly explain the information recovered through analysis of the artifacts and their distribution throughout the site, and how that information

contributes to an improved understanding of important research themes identified above.

## **Findings and Conclusions**

### **A. Findings**

This section identifies and quantifies cultural resources within the APE/PAL by eligibility status by listing them in the appropriate category below. If resources fall under more than one category (e.g., resources listed on the NRHP that are automatically included on the CRHR and therefore historical resources for the purposes of CEQA), it is not necessary to list them twice; referencing the previous section is sufficient.

- Historic properties listed in the NRHP.
- Historic properties previously determined eligible for the NRHP.
- Properties previously determined not eligible for the NRHP.
- Properties determined eligible for the NRHP as a result of the current study.
- Properties determined not eligible for the NRHP as a result of the current study.
- Resources for which further study is needed because evaluation was not possible (e.g., archaeological sites that require a test excavation to determine eligibility).
- Historical resources for the purposes of CEQA [resources in this category include resources listed in the CRHR or determined eligible for the CRHR by the State Historical Resources Commission, resources identified as significant in surveys that meet California Office of Historic Preservation (OHP) standards, resources that are designated landmarks under local ordinances, and resources that meet the CRHR criteria as outlined in PRC 5024.1.]
- Resources that are not historical resources under CEQA, per CEQA Guidelines 15064.5, because they do not meet the CRHR criteria outlined in PRC 5024.1.
- For state-only projects that involve Caltrans-owned resources: Caltrans-owned resources registered as CHLs.
- For state-only projects that involve Caltrans-owned resources: Caltrans-owned resources determined eligible for registration as CHLs as a result of the current study.

For evaluated resources, reference the DPR 523 form and include their identifying information as described below.

To facilitate SHPO’s ability to maintain the OHP’s computerized inventories of resources, the identifying information for evaluated resources needs to follow a specific format that includes the name of the property (if there is one), address or other location information, the community the resource is in (or the nearest community) and the Map Reference Number that is keyed to the APE/PAL map, and OHP’s historical resource status code, if available.

For example:

The following properties have been determined eligible for inclusion in the National Register of Historic Places as a result of this study:

<b>Name</b>	<b>Address/Location</b>	<b>Community</b>	<b>OHP Status Code</b>	<b>Map Ref. #</b>
Smith House	451 Main St.	Anywhere, CA	2	MR #1
Ortega Feed Store	10097 Highway 4	Anywhere (vic.), CA	2	MR#5

The following properties have been determined not eligible for inclusion in the National Register of Historic Places as a result of this study:

<b>Name</b>	<b>Address/Location</b>	<b>Community</b>	<b>OHP Status Code</b>	<b>Map Ref. #</b>
Able’s Prune Packing Plant	35 E. Canterbury St.	Someplace, CA	6	MR #10
Melville Apts.	8012 S. Oceanview Dr.	Someplace, CA	6	MR #15
Little River RR Viaduct	Next to SR 43, KP 10.7	El Nido, CA	6	MR #18

Repeat this format for each of the applicable categories. If a category does not apply, it is sufficient to state “none.”



Resources that qualified as exempt from evaluation pursuant to Attachment 4 of the Section 106 PA (106 PA<sup>ii</sup>) and/or PRC 5024 MOU (5024 MOU<sup>iii</sup>) are not required to be listed in the HRER.<sup>iv</sup> It is sufficient to include the following statement:

[Name of Caltrans or consultant architectural historian or archaeologist], who meets the Professionally Qualified Staff (PQS) Standards in Section 106 PA/PRC 5024 MOU Attachment 1 [delete reference to 106 PA or 5024 MOU if not applicable] as a(n) [Indicate applicable PQS level], has determined that the only/only other properties present within the APE/PAL [delete reference to APE or PAL if not applicable] meet the criteria for Section 106 PA/PRC 5024 MOU Stipulation VIII.C. 1 and Attachment 4 [delete reference to 106 PA or 5024 MOU if not applicable].

## **B. Conclusions**

Summarize the results of the study (e.g., “Of the four built environment cultural resources located within the APE, one was previously listed on the NRHP and is a historical resource for the purposes of CEQA. Three resources evaluated for this project were determined to be not eligible for the NRHP and are not historical resources for the purposes of CEQA”).

For each eligible property and/or historical resource under CEQA, provide a brief statement that includes:

- Historic and/or common name. Add the bridge number if the resource is a bridge or the trinomial if the resource is a historical archaeological site.
- Map Reference Number, address or location (unless it is an historical archaeological site for which the location is confidential)

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<sup>ii</sup> 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.

<sup>iii</sup> 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.

<sup>iv</sup> Caltrans-owned resources that qualify as exempt under PRC 5024 MOU Attachment 4 as types 3-7 require minimal recordation but likewise do not need to be listed in the HRER (See Exhibit 4.4).

- Applicable eligibility criteria and reason it meets the criteria (e.g., “Eligible under NRHP Criterion C for its engineering significance.”) If a NRHP criteria consideration/CRHR special consideration applies, include the letter or number.
- Period of significance.
- Level of significance (local, state, national).
- Rough boundary descriptions.
- Contributing and noncontributing elements.
- State and local designations (if applicable).

For example, the Smith House (Map Reference #1), 451 Main Street, Anywhere, is eligible for inclusion in the National Register of Historic Places at the local level of significance under Criterion C as a finely crafted example of the Mission Revival style. Its period of significance is 1900. The house is also a historical resource for purposes of CEQA. The boundaries are the assessor’s parcel boundaries. Contributing elements include its massing, setback and siting on the parcel, red-tiled roof, curvilinear gables, parapet and coping, patchwork textured stucco walls, arcaded entry, all windows and exterior doors, front walkway and drive; matures hedges, olive trees and trellis in the front and side yards, and the stucco fence enclosing the rear yard. Noncontributing elements include the new detached rear garage, c.1960s lanai on the rear elevation and remodeled kitchen. The Smith house is also designated as Landmark #318 under the City of Anywhere’s Historic Preservation Ordinance and is California Point of Historical Interest #ZEB-995.

The summary paragraph for each eligible resource plays a pivotal role in later Section 106 documents and should be written concisely so that it can be inserted in its totality in to a finding of effect document, Memoranda of Agreement, and appropriate environmental documents, as needed. In addition, when SHPO responds to Caltrans’ requests for concurrence on eligibility, SHPO must reiterate the criteria, period and level of significance. It saves considerable time for the SHPO reviewer when the information is contained succinctly in one paragraph. See Exhibit 2.15 for guidance on summary paragraphs.

## **Bibliography**

The lead author will determine the appropriate citation format. Acceptable formats include *Chicago Manual of Style*, *Historical Archaeology*, or other standard

humanities or scientific styles. All citations made in the HRER text will be included in the form of endnotes, footnotes, and/or a list of references cited.

### **Preparers Qualifications**

Briefly summarize the professional qualifications of each person who contributed to the report. For Caltrans PQS it is sufficient to list their names, PQS level and that their qualifications are on file in the Caltrans Division of Environmental Analysis Cultural Studies Office. For consultants, include name, classification or job title, qualifying degree(s) and major(s) and a one or two sentence description of qualifying experience. Exhibit 2.15 contains guidance for documenting preparer(s)' qualifications.

### **Attachments**

#### **Maps**

All maps should display the district, county, route, post miles, and EA/E-FIS project number and phase (for Local Assistance projects, use the Federal-Aid number). The following maps must be included in the HRER:

- Project Vicinity Map. Include north arrow and graphic (analog) scale.
- Project Location Map. Include north arrow and graphic (analog) scale.
- APE/PAL Map. Must be of sufficient scale to show project features, including construction limits, existing and new right-of-way limits, the limits of the APE/PAL and the locations and boundaries of historic properties/historical resources under CEQA.

#### **DPR 523 Forms**

Include all relevant DPR 523 inventory forms, with a Map Reference Number assigned to each evaluated built environment resource.

The DPR 523 form should discuss the overall size, boundaries, and layout of the resource and refer the reader to any appropriate records or maps. For properties with both historical archaeological and built environment components, the form should reflect the same property boundary. Include dates of construction or occupation, ownership, historical function, and other pertinent data if known. Discuss the overall integrity of the cultural resource and if applicable, the integrity of its components. Note any modifications and disturbances to the resource and its

setting, basing the comments on the field observations, historical records, and/or interview data.

Include the following information in the statement of significance section:

- **Previous research.** Summarize relevant previous research for its type of resources, relevant local, regional, and where appropriate, state, and, national historic contexts.
- **Statement of significance.** Summarize whether the resource meets the applicable eligibility criteria and whether it is a historical resource for the purposes of CEQA.
- For properties that are not eligible or are not historical resources under CEQA, explain why (no historical associations, lack of integrity, etc.).
- For properties that are eligible for the NRHP or are historical resources under CEQA, include the specific criteria, period and level of significance, and boundary descriptions. List character-defining features, if applicable, and contributing and non-contributing elements.
- State whether the resource is a NRHP criteria consideration or a CRHR special consideration. See Chapter 4 and Exhibit 4.3 for more details.

## Other Attachments

**Historical maps and charts:** Include detailed maps and copies of historic maps and charts, as appropriate.

**Figures:** Photographs, lithographs, and other graphic materials. Figures should be adequately captioned to identify the subject, view and date, with credit given to the source of that image.

**Additional Resource Records:** Previously prepared records that are used to support the evaluation of a cultural resource within the APE/PAL.

**Historical archaeological site reports:** Reports that document excavations at historical archaeological sites should include a catalog or tabulation of recovered materials and the reports of any specialized consultants. Copies of pertinent legal documents, such as deeds and other supporting historic materials, also may be attached if they are relevant.

**Consultation records:** Documents such as logs and correspondence that chronical the outreach effort. Results of the consultation should be briefly summarized in the HRER.

## **Peer Review and Approval**

For historical archaeological resources Caltrans PQS certified at the Principal Investigator level for historical archaeological resource must peer review the draft HRER. For built environment resources, Caltrans PQS certified at the Principal Architectural Historian must peer review the draft HRER. Peer reviewers in both disciplines should follow the guidelines in Exhibit 2.13: Peer Review Guidelines. Peer reviewers' names should be kept on record and comments retained in the project files. Chapter 2 Section 2-5.5 and Exhibit 2.11 Table C contain additional guidance on peer reviews and reviews for approvals.

Only Caltrans PQS certified at the Principal Investigator Historical Archaeology or Principal Architectural Historian level may review final HRERs for approval by the DEBC. The Caltrans PQS or consultant who prepares the HRER signs, dates and includes his/her discipline, PQS level (as applicable) and District/Headquarters or affiliation. The Caltrans PQS reviewing the HRER for approval likewise signs, dates, and includes his/her PQS discipline, level and District. Finally, the DEBC approves the HRER by signing and dating the document. See Chapter 6 Section 6.11 for more information.