

Exhibit 2.5: Screened Undertaking Memo Format and Content Guide

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Exhibit 2.5: Screened Undertaking Memo Format and Content Guide

Introduction

Certain undertakings by their very nature have little potential to affect historic properties. The Section 106 Programmatic Agreement ([Section 106 PA](#)) under [Stipulation VII](#) and [Attachment 2](#) allows Caltrans to streamline the process by exempting certain classes of undertakings from Section 106 review.

For projects and activities involving state-owned cultural resources, the Public Resources Code 5024 Memorandum of Understanding ([5024 MOU](#)) under [Stipulation VII](#) and [Attachment 2](#) also allows Caltrans to streamline the PRC 5024 compliance process by exempting certain projects and activities from review. Caltrans follows the procedure outlined in this exhibit, but the memo is called the “Screened Project/Activity Memo.”

The Screened Undertaking Memo is the summary document Caltrans uses to document that that Caltrans Professionally Qualified Staff (PQS) has reviewed an individual undertaking and determined that it exempt from further review because there is no potential to affect historic properties. The Screened Undertaking is used to screen both state and Local Assistance federally-funded undertakings. It may also be used to screened state-only projects for compliance with the California Environmental Quality Act (CEQA).

[Chapter 2 Section 2.3.2](#) Screened Undertakings discusses screening process while [Section 106 PA/5024 MOU](#) Attachment 2 outlines the process and lists the 30 classes of undertaking that may be screened, including those for historic bridges and tunnels. Only the specific actions on the list qualify for screening, but an undertaking comprised of several actions on the list can be screened. As with all other actions under the Section 106 PA and the 5024 MOU, a Caltrans PQS must conduct the screening process.

MEMO FORMAT

- Name of Senior Planner or Office Chief responsible for environmental documentation
- Project description
- Cite the Section 106 PA or 5024 MOU as the authority to screen
- Name and PQS level of staff who conducted screening
 - Archaeologist
 - Architectural Historian
- Background research justifying screening , e.g.:
 - Literature search
 - Field visit
- Applicable screening class(es)
- Finding that Section 106 is complete
- Staff contact information
- Environmental Branch Senior or Office Chief signature
- Attachments, if needed

Information to Include in Screened Undertaking Memo

Caltrans PQS staff prepare the screening memo. As appropriate, the memo should be addressed to the senior planner responsible for the overall environmental document, either in the District's Environmental Division/Branch or in the District's Local Assistance Division/Branch, to the memo preparer's supervisor, or to the district staff-level environmental planner.

Include the following basic information in the memo:

- Section 106 Compliance Screened Undertaking, or CEQA and/or PRC 5024 compliance, and name of project in the subject line.
- Who made the request to review for screened activities, date of request and what materials were provided.
- Description of the undertaking. Be as specific as possible so if the project changes, it will be clear what activities were and were not previously screened.
- Cite the Section 106 PA as the authority for screening the project undertaking or for CEQA and PRC 5024 compliance, the use of 5024 MOU Attachment 2 as the guide.
- Name the PQS who did the screening, and that person(s) PQS level.
- Describe any research and investigation done as part of the screening process, such as literature searches, document and map reviews, field visits, or consultation with knowledgeable individuals, and the results.
- State which of the 30 screened classes apply; see [Section 106 PA/5024 MOU](#) Attachment 2.
- State that the undertaking is exempt from further review and Section 106, CEQA Cultural Resources component, or PRC 5024 is complete.
- State that if the undertaking changes or additional locations are added that Section 106, CEQA or PRC 5024 may need to be reopened.
- Provide PQS staff contact information for any questions.
- Include attachments as appropriate.

When addressed to the senior planner responsible for the overall environmental document in the District's Environmental Division/Branch or in the District's Local Assistance Division/Branch, the District Environmental Branch Chief signs the memo. When addressed to the PQS staff's supervisor, the PQS staff sign(s) the memo.

Sample Screened Undertaking Memos

Below are examples of Screened Undertaking Memos for a state project and for a Local Assistance project.

State Project Example

State of California
Memorandum

State Transportation Agency

To: WARD CLEAVER, Chief
District 14 Office of Environmental Analysis

Date: January 3, 2014
File: 14-SAW-17
PM 22.3 EA 1000000068
Off Ramp and Sidewalk Project

Attention: FRED RUTHERFORD
Senior Environmental Planning

From: JASON HARRISON, Chief
East Region Environmental Management Branch

Section 106 finding (required language) and project name

Project description details

Subject: **Section 106 Compliance—Screened Undertaking** for SAW-17 Off Ramp and Sidewalk Project at Mayfield and Curtis Streets in the City of Beale Heights, Sawyer County

Caltrans proposes to reconstruct the curb, curb ramp, and sidewalk at the southwest corner of Mayfield and Curtis Streets that are adjacent to the SAW-17 off ramp in the City of Beale Heights. All work for this federally-funded project will take place within the existing state, county and city right-of-way, and no new right-of-way will be required for the project.

This paragraph contains required Section 106 and Section 106 PA language. NEPA Assignment is incorporated in the 2014 agreement and no longer needed in correspondence when using the Section 106 PA. Use the full citation in the correspondence when first mentioned.

This review is intended to ensure that this undertaking is carried out in a manner consistent with Caltrans' regulatory responsibilities under **Section 106 of the National Historic Preservation Act (36 CFR Part 800)** and pursuant to the **January 2014 First Amended Programmatic Agreement among the Federal Highway Administration, the Advisory Council on Historic Preservation, the California State Historic Preservation Officer, and the California Department of Transportation Regarding Compliance with Section 106 of the National Historic Preservation Act (Section 106 PA).**

Name and PQS level of staff making determination

Caltrans District 14 Professionally Qualified Staff (PQS) **Anuva Gupta**, Principal Architectural Historian and **Rusty Wrangler**, Principal Investigator, **Prehistoric Archaeology**, conducted a review of cultural resources sensitivity for the above referenced undertaking based on the materials you have provided (Preliminary Environmental Studies (PES) form, Field Review form, and plan sheets from Frank Hannaford, dated December 19, 2013), as well as District 14's Cultural Resources Database (CCRD), files maps and photographs.

Materials provided and by whom

Philip Marlow
January 3, 2014
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Research review and results

Based on this review, the undertaking, as currently proposed, has **no potential to affect historic properties** eligible for or listed in the National Register of Historic Places. The work conforms to the following “classes of screened undertakings” listed in the Section 106 PA Attachment 2:

Applicable screened class(es) with brief description

- Class 5** – Minor modification of on/off ramps
- Class 11** – Minor modification of curbs and sidewalks
- Class 14** – Alteration of roadway markings

Required concluding language that Section 106 is complete.

As a result, this undertaking is **exempt from further review**, ~~no additional archaeological or built environment studies are required at this time and the Section 106 compliance process, CEQA cultural resources component and PRC 5024 compliance are complete.~~

Required caveat that Section 106 may reopen if project undertaking changes.

Please note that this assessment could change and additional studies may be required if project change. If previously unidentified cultural materials are unearthed during construction, work shall be halted in that area until a qualified archaeologist can assess the significance of the find.

Include contact information.

If you have any questions about the content of this memo or project-related items, please contact **Ms. Gupta** t 555-555-5554 and Anuya.Gupta@dot.ca.gov or **Mr. Wrangler** at 555-555-5555 or Rusty.Wrangler@dot.ca.gov.

- c: **Carmen Sternwood, D14 HRC**
D14 Project file

In addition to the project file, copy the District HRC.

Local Assistance Example

State of California
Memorandum

California State Transportation Agency

To: PHILLIP MARLOW, Chief
District 14 Local Assistance

Date: January 3, 2014
File: 14-SAW
XXX 5555555
Signalization of Mason Way and
Main Street

Attention: BRUCE SOMERSET
Senior Environmental Planning

From: JASON HARRISON, Chief
East Region Environmental Management Branch

Section 106 finding (required language) and project name

Subject: ~~Section 106 Compliance~~—Screened Undertaking for Signal Light Installation Project at the intersection of Mason Way and Main Street, Sawyer County

This paragraph contains required Section 106 and Section 106 PA language. NEPA Assignment is incorporated in the 2014 agreement and no longer needed in correspondence when using the Section 106 PA. Use the full citation in the correspondence when first mentioned.

This review is intended to ensure that this undertaking is carried out in a manner consistent with Caltrans' regulatory responsibilities under **Section 106 of the National Historic Preservation Act (36 CFR Part 800)** and to provide project oversight **according to the January 2014 First Amended Programmatic Agreement among the Federal Highway Administration, the Advisory Council on Historic Preservation, the California State Historic Preservation Officer, and the California Department of Transportation Regarding Compliance with Section 106 of the National Historic Preservation Act (Section 106 PA).**

Project description details

The proposed undertaking includes the following activities:

- 1) Installation of a light pole in each of the four corners of the intersection, each requiring the excavation of a hole measuring approximately 6' x 6' in width by 8' deep;
- 2) Installation of 5 signposts at different locations at the intersection, each requiring two holes measuring approximately 1' x 1' in width and 4' in depth; and
- 3) A total of approximately 30 feet of trenching (approximately 2' in width by 3' in depth) to connect the new signal lights to existing utilities.

Name and PQS level of staff making determination

Materials provided and by whom

Rusty Wrangler, in his capacity as Caltrans Professionally Qualified Staff (PQS) **Principal Investigator in Prehistoric Archaeology**, conducted a review of the cultural resources sensitivity of the above referenced undertaking based on the materials you have provided (Preliminary Environmental Studies (PES) form, Field Review form, and plan sheets from Frank Hannaford, dated December 22, 2013).

Philip Marlow
January 3, 2014
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Research review and results

The cultural resources review included a Regional Information Center records search, review of District 14 files, and a visit to the project location on December 27, 2013. This review indicated:

- A. There are no known potential historic properties in the undertaking's Area of Potential Effects (APE);
- B. The location has low sensitivity for archaeological resources;
- C. The intersection and surrounding areas have been heavily disturbed and re-contoured during previous construction activities; and (4) the buildings located at the intersection are all of new construction, and include a gas station, a hotel, and two fast-food restaurants.

Required Section 106 finding and Section 106 PA Stipulation.

Based on this review, the undertaking, as currently proposed, has **no potential to affect historic properties** eligible for or listed in the National Register of Historic Places, and is **exempt from further review** pursuant to the Section 106 PA **Stipulation VII and Attachment 2**. The work conforms to the following "classes of screened undertakings" listed in the Section 106 PA Attachment 2:

Applicable screened class(es) with brief description

Class 20 - Modification of traffic control systems or devices utilizing existing infrastructure, including installation, removal, or modification of regulatory, warning, or informational signs or signals.

Required concluding language that Section 106 is complete.

Required caveat that Section 106 may reopen if project undertaking changes.

As a result, this undertaking is **exempt from further review**, no additional studies are required and the **Section 106 compliance process is complete**.

Please note that **this assessment could change if there are any changes to the proposed activities, or if additional locations are added**. If there are any such changes to the proposed undertaking, an additional review by the cultural resources unit will be required.

Include contact information.

If you have any questions, please do not hesitate to contact **Mr. Wrangler** at (555) 555-5555 or Rusty.Wrangler@dot.ca.gov.

c: **Carmen Sternwood, D14 HRC**
D14 Project file

In addition to the project file, copy the District HRC.