

Exhibit 2.7: Screened Undertaking Memo Format and Content Guide

TABLE OF CONTENTS

Exhibit 2.7: Screened Undertaking Memo Format and Content Guide	1
INTRODUCTION	1
INFORMATION TO INCLUDE IN SCREENED UNDERTAKING MEMO	2
SAMPLE SCREENED UNDERTAKING MEMOS.....	2
Section 106 Caltrans Project Example	3
Local Assistance Section 106 Project Example	5
PRC 5024-Only Project Example	7
CEQA-Only Project Example.....	9

Exhibit 2.7: Screened Undertaking Memo Format and Content Guide

Introduction

Certain undertakings by their nature have little potential to affect historic properties. Stipulation VII and Appendix 2 of the 106 PA¹ and the 5024 MOU² allow Caltrans to streamline compliance by exempting certain classes of undertakings that have been predetermined to have little potential for effects from complete Section 106 and/or PRC 5024 review.

A screened undertaking/screened project memo is the summary document Caltrans Professionally Qualified Staff (PQS) use to record that they have screened an individual undertaking in accordance with Appendix 2 and determined that it is exempt from further Section 106 or PRC 5024 review because it will not affect historic properties. A screening memo may also be used to screened state-only projects for compliance with the California Environmental Quality Act (CEQA). See Chapter 2 Section 2.3.6 for more information on the screening process under the 106 PA; Section 2.7.6 for information on screening projects under CEQA; and 2.8.6 for information on the 5024 MOU screening process.

Appendix 2 of the 106 PA/5024 MOU outlines the screening process and lists the 30 classes of undertaking that may be screened following appropriate review by a Caltrans PQS. Exhibit 7.3 clarifies routine maintenance-type activities specific to historic bridges and tunnels under Appendix 2 of the 106 PA and the 5024 MOU that Caltrans considers to have no potential to affect the character-defining features or historic fabric of historic bridges and tunnels.

The undertaking must be composed wholly of the classes of actions listed in Appendix 2 to qualify for screening, but may include multiple actions on the list. Undertakings may not be partially screened; if any part of an undertaking does not fall under the classes of screenable activities in Appendix 2, the entire undertaking is subject to full review.

¹ 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 (2024).

² 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 (2024).

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. 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.

Include the following basic information in the memo:

- Applicable legal compliance (Section 106, PRC 5024, CEQA). If a Section 106 undertaking also involves Caltrans-owned properties, cite both Section 106 and PRC 5024. For CEQA compliance, Appendix 2 of the 106 PA or 5024, as applicable, is cited as guidance
- Name/location of project
- Name and PQS level of staff who conducted the screening
- Name of person who made the request to review for screened activities, date of request and what materials were provided
- Description and results of background research conducted for the screening process (e.g., literature search, field visit, consultation with knowledgeable individuals)
- 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
- Applicable screened class(es) from 106 PA/5024 MOU Appendix 2
- Statement that the undertaking is exempt from further review and Section 106, PRC 5024 or CEQA Cultural Resources component is complete
- Statement that if the undertaking changes or additional locations are added Section 106, PRC 5024 or CEQA may need to be reopened
- PQS contact information for any questions
- Attachments, if needed

Sample Screened Undertaking Memos

Examples of screened undertaking/screened project memos are provided below.

Section 106 Caltrans Project Example

State of California State Transportation Agency
Memorandum

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

Date: December 31, 2024
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 and, when applicable, PRC 5024 finding (required language) and project name

Subject: **Section 106 and PRC 5024 Compliance—Screened Undertaking** for SAW-17 Off Ramp and Sidewalk Project at Mayfield and Curtis Streets in the City of Beale Heights, Sawyer County

Project description details

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.

This paragraph contains required Section 106 and Section 106 PA language and, when applicable, PRC 5024 and PRC 5024 MOU language. Use the full citation in the correspondence when first mentioned. NEPA Assignment is incorporated into the Section 106 PA and does not need to be included in Section 106 PA correspondence.

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 *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 (Section 106 PA)* and Public Resources Code (PRC) 5024 in accordance with the 2024 Memorandum of Understanding Between the California Department of Transportation and the California State Historic Preservation Office Regarding Compliance with Public Resources Code Section 5024 and Governor's Executive Order W-26-92 (PRC 5024 MOU).

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 November 19, 2024), as well as District 14's Cultural Resources Database (CCRD), files maps and photographs.

Materials provided and by whom

WARD CLEAVER

Research review and results

December 24, 2024

Page 2

Based on this review, the project, 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 Appendix 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 and PRC 5024, as applicable, 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 there are changes to the undertaking.

Please note that this assessment could change and additional studies may be required if the undertaking changes. 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** at 555-555-5554 and Anuya.Gupta@dot.ca.gov or **Mr. Wrangler** at 555-555-5555 or Rusty.Wrangler@dot.ca.gov.

c: **Alice Landers, D14 HRC**
D14 Project file

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

Local Assistance Section 106 Project Example

State of California
Agency

California State Transportation

Memorandum

To: PHILLIP MARLOW, Chief
District 14 Local Assistance

Date: December 31, 2024
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. Use the full citation in the correspondence when first mentioned. NEPA Assignment is incorporated in the Section 106 PA and is not needed in Section 106 PA correspondence.

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 **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 (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

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 November 22, 2024).

Materials provided and by whom

PHILLIP MARLOW
December 31, 2024

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 November 27, 2024. 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 Appendix 2**. The work conforms to the following "classes of screened undertakings" listed in the Section 106 PA Appendix 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 there are changes to the undertaking

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: **Alice Landers, D14 HRC**
D14 Project file

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

PRC 5024-Only Project Example

State of California
Memorandum

State Transportation Agency

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

Date: December 31, 2024
File: 14-SAW-17
PM 22.3 EA 100000068
Off Ramp and Sidewalk Project

Attention: FRED RUTHERFORD
Senior Environmental Planning

From: JASON HARRISON, Chief
East Region Environmental Management Branch

PRC 5024 finding (required language) and project name

Subject: **PRC 5024 Compliance—Screened Project** for SAW-17 Off Ramp and Sidewalk Project at Mayfield and Curtis Streets in the City of Beale Heights, Sawyer County

Project description details

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 state-only funded project will take place within the existing Caltrans right-of-way, and no new right-of-way will be required.

This paragraph contains required PRC 5024 and PRC 5024 MOU language. Use the full citation in the correspondence when first mentioned.

This review is intended to ensure that this project is carried out in a manner consistent with Caltrans' regulatory responsibilities under **Public Resources Code (PRC) 5024** and pursuant to the 2024 *Memorandum of Understanding Between the California Department of Transportation and the California State Historic Preservation Office Regarding Compliance with Public Resources Code Section 5024 and Governor's Executive Order W-26-92 (PRC 5024 MOU)*.

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 project based on the materials you have provided (Preliminary Environmental Studies (PES) form, Field Review form, and plan sheets from Frank Hannaford, dated November 19, 2024), as well as District 14's Cultural Resources Database (CCRD), files maps and photographs.

Materials provided and by whom

WARD CLEAVER

December 24, 2024

Page 2

Research review and results

Based on this review, the undertaking, as currently proposed, has **no potential to affect Caltrans-owned historical resources** eligible for or listed in the National Register of Historic Places or that qualify for registration as California Historical Landmarks. The work conforms to the following “classes of screened undertakings” listed in the PRC 5024 MOU Appendix 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 PRC 5024 is complete.

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

Required caveat that PRC 5024 may reopen if there are changes to the project

Please note that this assessment could change and additional studies may be required if there are any changes to the proposed activities or if additional locations are added. 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** at 555-555-5554 and Anuya.Gupta@dot.ca.gov or **Mr. Wrangler** at 555-555-5555 or Rusty.Wrangler@dot.ca.gov.

c: **Alice Landers, D14 HRC**
D14 Project file

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

CEQA-Only Project Example

State of California		State Transportation Agency
Memorandum		
Project description details	To: WARD CLEAVER, Chief District 14 Office of Environmental Analysis	Date: December 31, 2024 File: 14-SAW-0 EA 1000000068 Sidewalk Repair Project
	Attention: FRED RUTHERFORD Senior Environmental Planning	
	From: JASON HARRISON, Chief East Region Environmental Management Branch	
CEQA cultural resources component finding and project name		
Subject: CEQA Cultural Resources Component Compliance—Screened Undertaking for the 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 state-only funded project will take place within the existing county right-of-way. No new right-of-way will be required.		
Appendix 2 of the Section 106 PA cited as guidance		
This review is intended to ensure that this undertaking is carried out in a manner consistent with Caltrans' regulatory responsibilities under the California Environmental Quality Act (CEQA) and follows guidance for "screened undertakings" found in Appendix 2 of the 2024 the <i>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</i> .		
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 project based on the materials you have provided (Field Review form, and plan sheets from Frank Hannaford , dated November 19, 2024), as well as District 14's Cultural Resources Database (CCRD), files maps and photographs.	
	Materials provided and by whom	

WARD CLEAVER

December 24, 2024

Page 2

Research review and results

Based on this review, the project, as currently proposed, has **no potential to affect resources that are** eligible for or listed in the National Register of Historic Places or that are historical resources for the purposes of CEQA. The work conforms to the following “classes of screened undertakings” listed in the Section 106 PA Appendix 2:

Applicable screened class(es) with brief description

Class 11 – Minor modification of curbs and sidewalks

Required concluding language that Section 106 and PRC 5024, as applicable, is complete.

As a result, this project is **exempt from further review**, no additional archaeological or built environment studies are required at this time and the **CEQA cultural resources component compliance is complete.**

Caveat that more studies may be needed if there are changes to the project

Please note that this assessment could change and additional studies may be required if there are any changes to the proposed activities, or if additional locations are added. 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** at 555-555-5554 and Anuya.Gupta@dot.ca.gov or **Mr. Wrangler** at 555-555-5555 or Rusty.Wrangler@dot.ca.gov.

c: **Alice Landers, D14 HRC**
D14 Project file

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