Exhibit 4.4:
Minimal Recordation for Certain Exempted State-owned Resources

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Background

Caltrans’ property management and policy responsibilities under Public Resources Code (PRC) 5024 and Governor’s Executive Order W-26-92 (W-26-92) are similar to those of Section 110 in the National Historic Preservation Act of 1966 as amended for federal agencies that own properties. In order to be able to manage its properties, Caltrans needs to have a very good idea of the scope of what it owns—whether or not it is historic or 30 or 40 or 50 years old. Inventorying state-owned resources is integral to management, planning and reporting.

Caltrans districts generally do not carry out the administration provisions of PRC 5024 or W-26-92; CSO does this with information garnered from the districts. In order to carry out that responsibility and to gauge future workloads and expenditures, Caltrans needs to have an inventory to gain a better perspective of the total population and range of its built-environment resources. That includes planning if and when resources previously exempted from evaluation will need to be evaluated.

Under PRC 5024, Caltrans’s long-term responsibilities include:

- Formulating policies to preserve and maintain, when prudent and feasible, all state-owned historical resources under its jurisdiction that are listed in or potentially eligible for inclusion in the National Register of Historic Places (NRHP) or registered or eligible for registration as a California Historical Landmark (CHL) [PRC 5024(a)];

- Completing an inventory of all state-owned structures over 50 years of age under its jurisdiction that are listed in or eligible for inclusion in the NRHP or CHL [PRC 5024(a)]; and

- Taking an inventory of state-owned structures in freeway rights-of-way before approval of any undertaking which would alter their original or significant features or fabric, or transfer, relocate or demolish those structures.
Similarly under W-26-92, Caltrans is responsible for:

- Developing and instituting feasible and prudent policies and developing a Heritage Resource Management Plan (HRMP) to preserve and maintain its significant heritage resources, in consultation with the SHPO and, as appropriate, the State Historical Building and Safety Board. Caltrans must consult with SHPO on the HRMP periodically to review and, if necessary, revise the HRMP;

- Completing an inventory of its significant heritage resources that takes into account the kind, quantity, location of, and development risk to properties within Caltrans ownership and control; and

- Annually report to the SHPO the progress in completing inventories, management plans, and policies for significant heritage resources.

For the purpose of developing management plans and policies under W-26-92, the term “significant heritage resource” is used. It is slightly different than what is used under PRC 5024 and is more inclusive. Significant heritage resource means any cultural resource that meets the following criteria:

1. Listed in or potentially eligible for inclusion in the NRHP
2. Registered or eligible for registration as a CHL
3. Registered or eligible for registration as a Point of Historical Interest
4. Registered or eligible for listing in the California Register of Historical Resources

Once the record for a state-owned built-environment resource is included in the Caltrans Cultural Resources Database\(^i\) (CCRD), that resource is considered to have been inventoried. New or additional DPR 523\(^ii\) forms will not need to be completed for later project/activities. However, as is the case for previously evaluated resources, the passage of time or change in the resource’s condition might warrant evaluation.

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\(^i\) This is an electronic inventory of architectural and archeological cultural resources that provides a connection to cultural resources along right-of-ways. Because it stores crucial and confidential cultural resources information its use is restricted to use by Caltrans cultural resource staff.

\(^ii\) The term “DPR 523 form” refers to the DPR 523 series designation that the Office of Historic Preservation (OHP) assigned to its California Historic Resources Inventory Form, as described in OHP’s March 1995 publication, *Instructions for Recording Historical Resources*. 
State-owned Resources Exempted from Evaluation - No Recordation or Citation Required

The following resource types do not need to be recorded:

- Resource Type 1: State-owned minor, ubiquitous, or fragmentary infrastructure elements built environment resources

- Resource Type 2: State-Owned Buildings, structures, objects, districts, and sites less than 30 years old

Citation is not required. In the Historical Resources Compliance Report (HRCR) or the Historic Property Survey Report (HPSR) and in the Historical Resources Evaluation Report (HRER), state that there are Type 1 built environment resources in the Project Area Limits (PAL).

State-owned Resources Exempted from Evaluation - Citation Required

- Category 5 bridges and culverts with bridge numbers

No recordation: Because the Caltrans Historic Bridge Inventory is regularly updated, these resources are already included in the CCRD.

Citation required: List these resources in “Section 9: State-owned Historical Resources Findings” of the HRCR or “Section 9: Findings for State-owned Properties” of the HPSR.

Resource Types Requiring Recordation and Citation

The state-owned built-environment resource types 3 through 7 must be recorded on a DPR 523 Primary Record form (or its successor form) that are scanned into the CCRD, or can be electronically created by using data in the CCRD, and their addresses or locations noted in “Section 9: State-owned Historical Resources Findings” of the HRCR or “Section 9: Findings for State-owned Properties” of the HPSR. No other DPR 523 form types are to be used. When the project or activity is the transfer of state-owned property out of Caltrans ownership, the location/address for resource types 3 through 7 need only be listed in the HRCR as noted above.
See 5024 MOU Attachment 4 for more details about these types:

- Resource Type 3: state-owned Buildings, structures, objects, districts, and sites so altered as to appear less than 30 years old
- Resource Type 4: state-owned Buildings, structures, objects, districts, and sites 30 to 50 years old
- Resource Type 5: state-owned Buildings, structures, and objects moved within the past 50 years
- Resource Type 6: Altered state-owned buildings, structures, objects, districts, and sites whose alterations appear to be more than 30 years old
- Resource Type 7: state-owned Post-World War II builders’ houses and housing tracts

**Recordation**

For state-owned built-environment resource types 3 through 7, Caltrans PQS staff and consultants with access to the CCRD, enter the minimal information to identify the resource and that results in a DPR 523 Primary Record when printed. Enter only the following information:

- Resource name
- County
- Caltrans’ County/Route/Postmile or address and city
- Description:
  State, “Exempt: PRC 5024 MOU Attachment 4 Resource Type ___.” Add the resource type or types if there is more than one, such as in a maintenance station complex. Nothing else needs to be in the description.
- Construction date(s) age (actual or estimated)
- Owner
  State “Caltrans” and the district within which the resource is located. No other information needed in this field.
- Person who recorded the resource
- Date resource was recorded

Consultants without access to CCRD must complete a DPR 523 Primary Record and provide an electronic copy to the appropriate Caltrans District cultural resources staff
to input into CCRD, in addition to any other required copies and documents that may be required by contract.

Sample Minimal Recordation on DPR 523 Primary Record

The following is an example of an abbreviated DPR 523 for exempted resource types 3 through 7.
Exempted Resource Type 6 Recordation Example

Required text is highlighted in yellow.

<table>
<thead>
<tr>
<th>Resource Name or #</th>
<th>District 99 Equipment Shop</th>
<th>Caltrans Map Reference No.:</th>
</tr>
</thead>
<tbody>
<tr>
<td>P1. Other Identifier:</td>
<td>Not for Publication</td>
<td>Unrestricted</td>
</tr>
<tr>
<td>*P2. Location:</td>
<td>Sawyer</td>
<td></td>
</tr>
<tr>
<td>*a. County</td>
<td></td>
<td></td>
</tr>
<tr>
<td>*b. USGS 7.5' Quad:</td>
<td>Date</td>
<td>T</td>
</tr>
<tr>
<td>c. Address</td>
<td>1627 W. Main St.</td>
<td>City</td>
</tr>
<tr>
<td>d. UTM:</td>
<td>Zone</td>
<td>mE</td>
</tr>
<tr>
<td>e. Other Locational Data (APN #, etc.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>*P3a. Description: (Briefly describe resource below)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Exempted Resource Type 6

Resources Present is optional but aids future researchers who can conduct a query by resource type.

A photo is optional, but is helpful for future reference and is easily obtained during the field survey.

See Office of Historic Preservation Recording Historical Resources for instructions.

Caltrans DPR 523A (01/15)

*Required information.