

KENTUCKY TRANSPORTATION CABINET/DIVISION OF ENVIRONMENTAL ANALYSIS CULTURAL AND HISTORIC BASELINE GUIDANCE AND ACCOUNTABILITY FORM

Baseline Prepared by: _____			
Author		Firm	
County:	Route:	Item No.:	
Description:			
Prime Consultant:			
Due Date:	Submittal Date:	Submittal Draft #:	Approval Date:

Instructions:

Baseline Prepared by: Name of author/firm that prepared the study. **County:** Name of county(ies) within which the project is located.
Route: Name of highway for which the project is intended. Include route designation and number as applicable (i.e. US 60, Winchester Rd.)
Item No.: Item number as it appears in the contract and Six Year Plan which corresponds with the project.
Description: Official description of the project as it appears in the Six Year Plan.
Prime Consultant: Name of the Phase I Design and Environmental Consultant (prime contract holder) for the project.
Due Date: Date that the project is due as agreed upon in contract negotiation.
Date of Submittal/Submittal Draft Number: Date of submittal and draft being submitted (1st, 2nd, 3rd) in appropriate sections.
Approval Date: Date baseline is approved by DEA (*DEA use only*).

For "Required" column: √ indicates all applicable areas of focus (*DEA's responsibility*).
For "Completed" column: use **Y** for yes and **NA** for not applicable as necessary (*Consultant's responsibility*).
For "DEA" Column: DEA will use √ for all areas that adequately address concerns, and "I" for those that are insufficient in coverage.

"Comment" page: Discuss supplemental information, guidance or instructions, if any, that required deviation from the checklist. Discuss all categories which contain "NA" in the "Complete" columns of this format. Comments regarding the content and format of this form and/or its applicability may also be submitted in the comments section.

"Commitments to be Implemented" page: Identify any commitments that are documented within the study. Specify the nature of the commitment, to whom it was or should be made, when the commitment should be enacted upon, etc.

"Mitigation and Special Issues" page: Identify mitigation measures that are specified within the report, if any. Also, identify any special issues that are addressed within the document that should be considered by the Project Team as it makes decisions regarding the project.

"Signature" page: Signatures of Prime Consultant and KYTC/DEA Environmental Project Manager/Reviewer will attest that the base study meets the requirements set forth in this checklist. Signatures of KYTC Project Manager and District Environmental Coordinator ensure that the findings of the report, including impacts to the project and mitigation measures have been presented to the project development team and are acceptable.

Completed form is to be delivered to KYTC with the document. Previous checklists for the document, or a copy thereof, shall be attached to the current checklist.

Required	Complete	DEA	CATEGORY
Insert check mark as appropriate			GENERAL
√			<ul style="list-style-type: none"> • Acid free paper, 8 ½ x 11 paper.
√			<ul style="list-style-type: none"> • Report bound along left margin.
√			<ul style="list-style-type: none"> • Permanent, official site numbers issued by OSA or KHC.
√			<ul style="list-style-type: none"> • One set of historic site survey forms to the KHC.
√			<ul style="list-style-type: none"> • Figures match both the associated caption and the relevant text description.
√			<ul style="list-style-type: none"> • The report follows the most current and applicable SHPO specifications for report writing and the guidelines for fieldwork.
√			<ul style="list-style-type: none"> • Cultural Historic investigations conducted in adjacent states with KYTC as the lead state DOT agency follow the guidelines and procedures of each affected state.
√			<ul style="list-style-type: none"> • Photographs and illustrations are clear, free of pixelation or digital artifacts, and show accurately the subject of the photo or illustration.
√			<ul style="list-style-type: none"> • Topographic maps that show the overall project area.
√			<ul style="list-style-type: none"> • All sections of the report have been checked to ensure that they contain information relevant to the area discussed.
√			<ul style="list-style-type: none"> • The report is examined to make sure that it is free of typographic and grammatical errors.
√			<ul style="list-style-type: none"> • The spelling or designation of names or site numbers is correct and consistent throughout the report. In addition, the name of the county or counties where the project occurs remains the same throughout the report.
√			<ul style="list-style-type: none"> • Three copies of the historic report sent to Division of Environmental Analysis. (One copy sent to SHPO, one copy sent to District after concurrence letter from SHPO received.)

Required	Complete	DEA	CATEGORY
Insert check mark as appropriate			Title Page
√			<ul style="list-style-type: none"> • Project name, report author, report date. • Name, address, and contact information of institution, agency, or firm conducting the investigations, including applicable contract numbers. • Client information. • Principal Investigator's name, affiliation, contact information, and dated signature. • Lead Federal Agency and other involved Federal or State agencies, including permit or other project identification numbers. • The project item number is included in the report title and on the title page and the item number or numbers are correct and used consistently throughout the report.
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Insert check mark as appropriate			Introductory Page
√			<ul style="list-style-type: none"> • Table of Contents. • List of Figures, Plates, or Tables. • Report Abstract summarizing conclusions and cultural management recommendations.
√			
√			

Required	Complete	DEA	CATEGORY
Insert check mark as appropriate			Report Introduction
√			<ul style="list-style-type: none"> • Purpose of the report and scope of the work including a detailed project description.
√			<ul style="list-style-type: none"> • Dates of field investigations, and amount of time spent in the field.
√			<ul style="list-style-type: none"> • Names of field directors, supervisors, and crewmembers.
√			<ul style="list-style-type: none"> • Restrictions or limitations on survey efforts.
√			<ul style="list-style-type: none"> • Project sponsors, contract/permit numbers.
√			<ul style="list-style-type: none"> • Regulatory or statutory authority under which the assessment is being conducted.
√			<ul style="list-style-type: none"> • Explanation of project boundaries (APE), documented on 7.5 minute USGS topographic quadrangle maps, including previously recorded sites and districts within the APE.
√			<ul style="list-style-type: none"> • Other project planning or construction maps, as necessary.
√			<ul style="list-style-type: none"> • Oversized maps to be appended in a map pocket bound within report.
√			<ul style="list-style-type: none"> • Color photographs showing overall views of project area and general survey conditions.
√			<ul style="list-style-type: none"> • General overview of survey results, including potential impacts to historic resources.
√			<ul style="list-style-type: none"> • Project item number is included in the report introduction with the description of the project area.

Required	Complete	DEA	CATEGORY	
Insert check mark as appropriate			Environmental Background	
√				<ul style="list-style-type: none"> • Discussion of present and past environmental conditions.
√			<ul style="list-style-type: none"> • Potential environmental influences on historic and archaeological resources. 	
			Previous Investigations	
√				<ul style="list-style-type: none"> • Statement concerning site check at OSA or KHC, and outcome of literature review.
√				<ul style="list-style-type: none"> • Overview of the history and/or prehistory of the general project area.
√				<ul style="list-style-type: none"> • Discussion of the results of archival investigations.
√				<ul style="list-style-type: none"> • Discussion of previous survey work and its results.
√				<ul style="list-style-type: none"> • National Register status of previously recorded sites and districts.
√				<ul style="list-style-type: none"> • Maps showing locations of previously recorded sites and historic districts within the APE (but not outside the APE).
√				<ul style="list-style-type: none"> • Previous cultural resource management recommendations.
√				<ul style="list-style-type: none"> • The background sections include all relevant information to provide the necessary context (generally for temporal and regional, specific for county and project area) for an accurate depiction, placement, and assessment of historic sites.
			Context Development	
√				<ul style="list-style-type: none"> • Description of historic context development.
√				<ul style="list-style-type: none"> • Identification of sources used to develop contexts.
√				<ul style="list-style-type: none"> • Define and summarize existing historic contexts associated with the project area.
√				<ul style="list-style-type: none"> • Define and summarize new contexts developed for the project area.

Required	Complete	DEA	CATEGORY
Insert check mark as appropriate			Site Descriptions and Survey Results
√			<ul style="list-style-type: none"> • For all survey reports, maps showing all newly recorded sites, structures or districts. Site numbers shall be labeled directly on the map.
√			<ul style="list-style-type: none"> • Individual site plan maps showing site boundaries.
√			<ul style="list-style-type: none"> • Historic maps from archival investigations, as warranted.
√			<ul style="list-style-type: none"> • Color xerox photos showing general overview of each archaeological site.
√			<ul style="list-style-type: none"> • Archival and oral history of a site-specific nature.
√			<ul style="list-style-type: none"> • For all reports, National Register evaluation of eligibility or ineligibility for each site over fifty years of age in project impact area.
√			<ul style="list-style-type: none"> • For all reports, description of project effects on each site.
√			<ul style="list-style-type: none"> • For all reports, management recommendation for each site in area of project's impact.
√			<ul style="list-style-type: none"> • For all reports, if further investigations are recommended, a brief suggested scope of work.
√			<ul style="list-style-type: none"> • Site maps include site boundaries, r/w limits (if applicable), the locations of associated features, structures, with appropriate keys for each feature of the map not otherwise identified.
√			<ul style="list-style-type: none"> • All site maps have been checked to ensure that scales, north arrows, probe and unit locations, etc. are accurate and error-free.
√			<ul style="list-style-type: none"> • Structures within, potentially associated with, or that comprise all or a portion of an archaeological site are shown in photographs.
√			<ul style="list-style-type: none"> • Maps of sites are as accurate and detailed as possible, and include information on contour or other topographic or landform constraints that limit or direct the level of investigation possible or required at a site.
√			<ul style="list-style-type: none"> • Maps include standard USGS symbols and mapping techniques.
√			<ul style="list-style-type: none"> • Historic structure descriptions include a listing of all relevant historic maps where the structures are and are not depicted.

Required	Complete	DEA	CATEGORY
Insert check mark as appropriate			References Cited
√			<ul style="list-style-type: none"> All references in the body of the report are to be cited in the bibliography in <i>American Antiquity</i> format.
√			<ul style="list-style-type: none"> All citations in the bibliography to appear in the text of the report.
			Appendices and Attachments
√			<ul style="list-style-type: none"> <i>Curriculum vitae</i> for Principal Investigator and Field Supervisors if not already on file with Kentucky SHPO.
√			<ul style="list-style-type: none"> Optional cemetery forms as an Appendix, as warranted.
√			<ul style="list-style-type: none"> Pocket included in back of report to attach final clearance letter from SHPO (no other correspondence associated with the project is required or needed).

SIGNATURE PAGE

I have reviewed the project documentation and attest that those responsible for its preparation are familiar with the requirements set forth in the checklist above and that proper management controls were in effect throughout the course of document development to assure that the document is complete, thorough and addresses all applicable checklist components.

Prime Consultant

Date

Recommended for Approval By:

KYTC/DEA Environmental Project Manager/Reviewer

Date

Team Review of Commitments

The findings of the report, including impacts to the project and project commitments, have been presented to the Project Team and will be considered during the development of this project.

KYTC/District Environmental Coordinator

Date

Project Manager

Date