



FDOT NEPA Assignment Type 1 Categorical Exclusion Evaluation Guidance

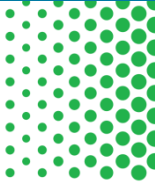
2017



Outline

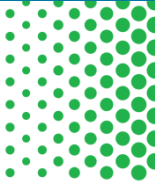
- Why are we changing the way we do Type 1 CEs?
- When and how do we evaluate impacts for a Type 1 CE?
- How does the Type 1 CE Checklist work?
- How do we Document the evaluation?

Why are we changing the way we do Type 1 CEs?



- The CE Programmatic Agreement is no longer in effect.
 - It was superseded by the MOU for NEPA assignment.
- It will simplify the self-assessment and audit process.
- It will reduce the need to provide extensive supporting documents.

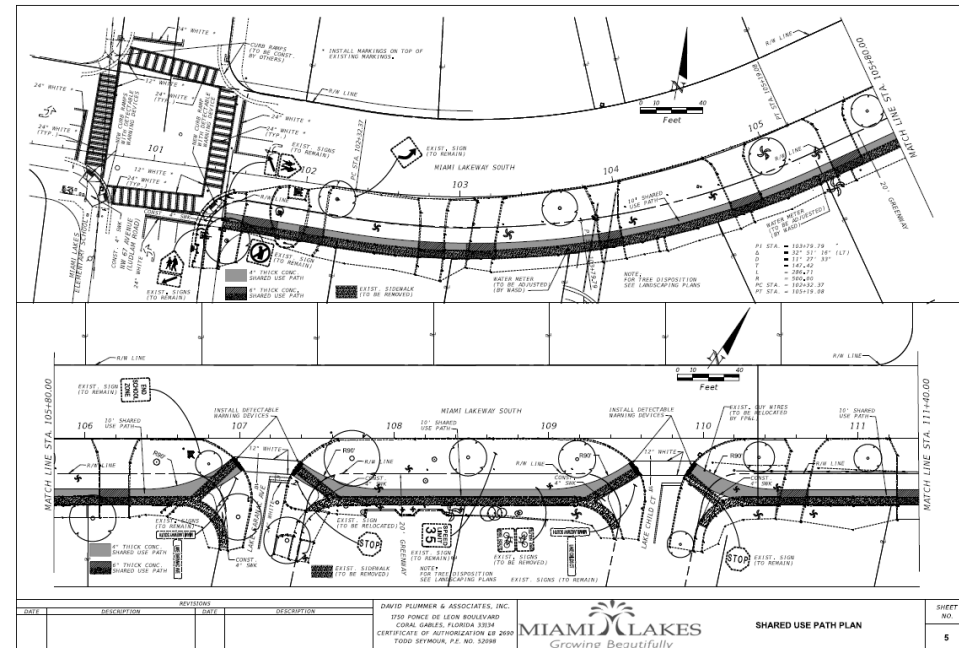
When and how do we evaluate impacts for a Type 1 CE?



- Environmental Review is typically accomplished by reviewing the design plans.
 - Environmental Reviewers should have basic plan reading skills.
- The Environmental Review Process should begin when design plans are received and reviewed by the EMO.
- The Evaluation should be completed when there is sufficient design information to determine environmental impacts.

Review of Design Plans

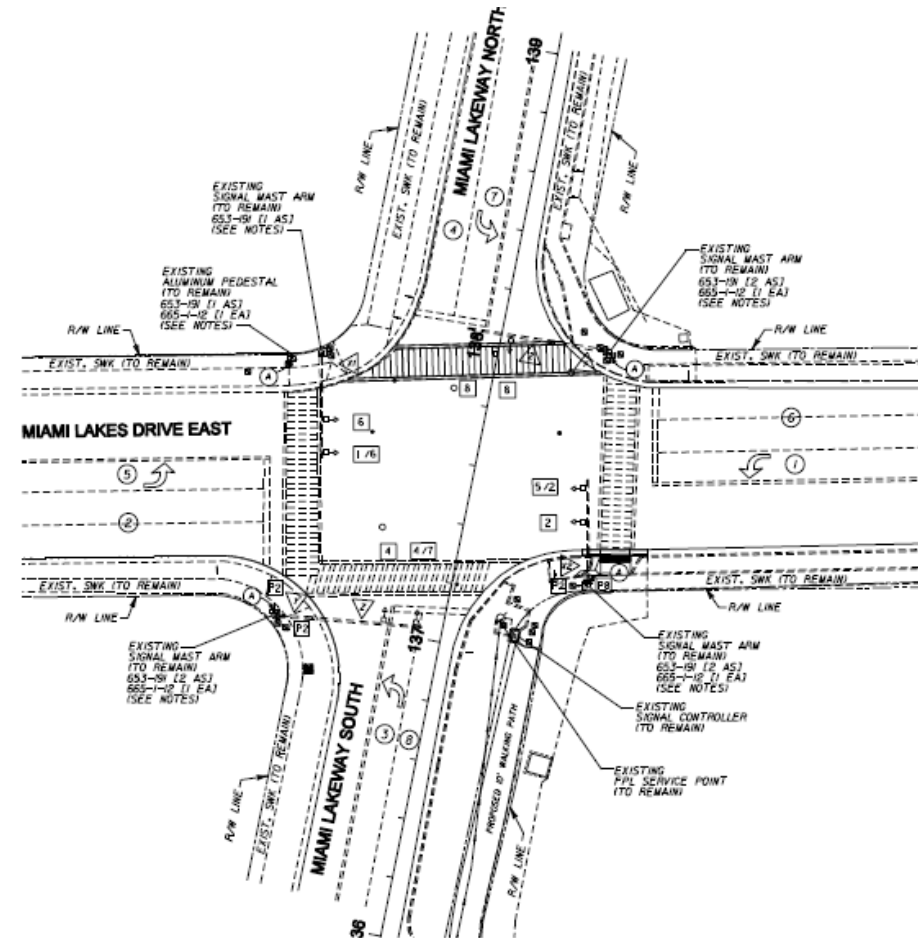
- Design phase plan review is usually assigned and tracked in ERC.
 - It can be assigned to consultant reviewers or in-house.
 - Environmental Manager or designee will then forward to additional subject matter experts for review.



Review of Design Plans

Things to consider when reviewing plans:

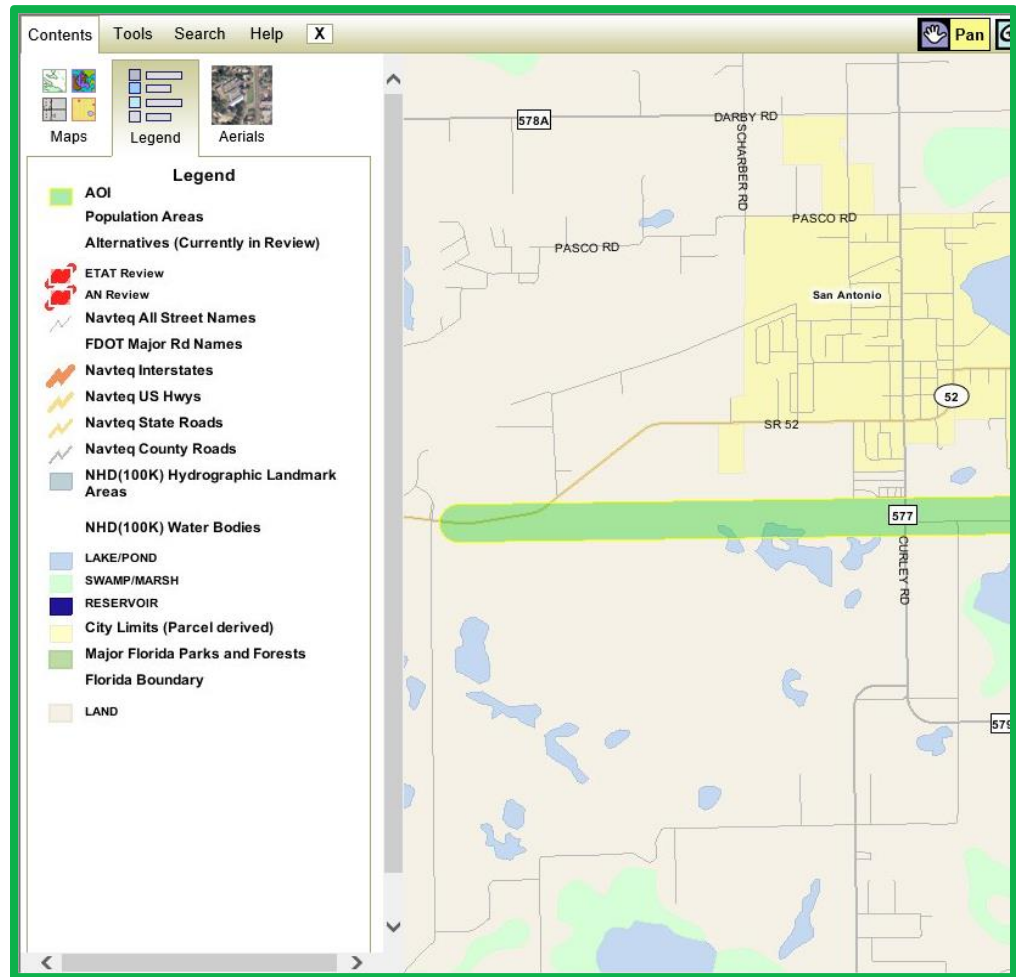
- Natural Resource identification (wetlands, species habitat etc.)
- Overlap of environmental resources and project work
 - ◆ Example: Is there any in water work?
- Excavation locations (do they impact a contamination site?)
- Is there overlap between Section 4(f) and/or Section 106 properties and work locations?
- Are there community features or aesthetic treatments in the project area?



Helpful Methods for Determining Impacts

- Desktop Review
 - Examples:
 - ◆ AOI Tool
 - ◆ GIS Mapping
- Field Review

Note: Remember notes and maps can be used as documentation later for the Type 1 CE Checklist.



CE Checklist

- This will be completed as a form in SWEPT
- This is the project information section of the form

FM Number Enter at least the Item Number and Item Segment and click **Load** to continue.

227846 - 1 - 2 2 - 01 **Change**

Related FM Numbers Enter the item number and choose the FM Number you want to add from the matches that are displayed.

Federal-Aid Program (FAP) Number If this value is incorrect, please correct it in the Work Program. Updates will be reflected here within one day.

9040-026-C

CE Type (c) (d)

Project Description Enter a brief description of the proposed scope of work.

B I U [Rich Text Editor Icons]

CE Checklist

- Verification statement(s) must be checked in order to proceed as a Type 1

This action **will not induce significant impacts** to planned growth or land use for the area; travel patterns; air or water quality; or cause **substantial** controversy on environmental grounds.

Verified

Here is a sample question from the new checklist.
Select the option(s) you've determined from your evaluation of the project.



6. Section 7 of the Endangered Species Act (ESA) of 1973, as amended:

No ESA listed species present

Determination of "No Effect"

Identify species

Used key, no consultation required

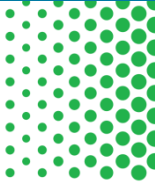
Identify species

Consultation with the US Fish and Wildlife Service or National Marine Fisheries Service, results in: **(If selected, the following appear)**

May Affect, Not Likely to Adversely Affect (attach concurrence letter)

May Affect, Likely to Adversely Affect **(If chosen warning label will appear if it is c26, c27, c28, or (d): This project has been identified as a c26, c27, c28 or (d) list project. By checking this box, the project does not meet the criteria of (e) and cannot proceed as a Type 1)**

CE Checklist



- This document serves as a verification that the project fits within the parameters of the Type 1- c or d list project
- Once complete, the Environmental Manager or designee will sign and date

This project has been reviewed and has been verified to meet the conditions of a Type 1 CE.

Signature: _____ Date: _____

District Environmental Manager or designee

Documentation

- Upload all supporting documentation into the SWEPT project file.
- The documentation should:
 - Support the conclusions of checklist
 - Show any coordination or consultation with OEM and other Agencies

Documentation

- Types of supporting documentation:
 - Maps (can also include AOI tool)
 - Field Reviews and Notes
 - Technical Studies/ Memos
 - Coordination/Consultation letters

Environmental Certification Form

- To be completed as part of the PS&E package
- Fill out the form in SWEPT.
 - It can be saved as a .pdf file.
- It verifies that environmental impacts have been considered and evaluated as part of the project.

#0400-13
ENVIRONMENTAL MANAGEMENT
11/15

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION
**STATUS OF ENVIRONMENTAL CERTIFICATION
FOR FEDERAL PROJECT**

Financial Management No. 431321-1-18-01
FAP No. 8886-923-A
Title: JOHN YARBROUGH LINEAR PARK PHASE IV FEASIBILITY STUDY
Work Mix: PEDESTRIAN SAFETY IMPROVEMENT
District: FDOT District 1
County: Lee County
Project Description:

JOHN YARBROUGH LINEAR PARK PHASE IV FEASIBILITY STUDY

This project is a Categorical Exclusion under 23 C.F.R. 771.117 and per Florida's Programmatic Agreement for Categorical Exclusions effective October, 2015:

A Type 1 Categorical Exclusion per (c) (1) or (d) ___ as determined on December 1, 2016
 A Type 2 Categorical Exclusion approved on ____

The final environmental document for this project was a (check one):

A Finding of No Significant Impact under 23 C.F.R. 771.121 approved on December 1, 2016
 A Record of Decision under 23 C.F.R. 771.127 approved on ____

A reevaluation in accordance with 23 C.F.R. 771.129 was (check one):

Approved on ____
 Not required.

Signature: Jonathon Adam Bennett Date: December 1, 2016
Environmental Manager or designee

The environmental review, consultation, and other actions required by applicable federal environmental laws for this project are being, or have been, carried out by the Florida Department of Transportation (FDOT) pursuant to 23 U.S.C. §327 and a Memorandum of Understanding dated and executed by the Federal Highway Administration and FDOT.
Submitted pursuant to 42 U.S.C. § 4332(2)(c).

Page 1 of 1 SWEPT Printed on: 1/27/2017

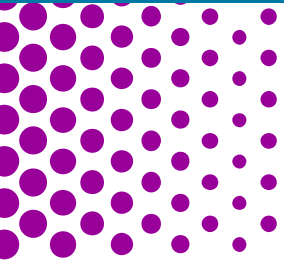


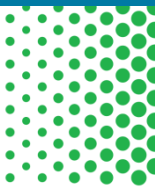
Questions?

Contact your assigned Project
Delivery Coordinator at OEM



SWEPT Implementation





SWEPT Implementation of Type 1 CE

- Goes into Production on Monday 6/12/2017
 - Please complete Type 1s (all the way to approval) before that time
 - Unfinished (in draft) Type 1s will continue under previous form
 - You will not be able to edit and update on old form **after approval**
 - Do not start new ones on the old form on Friday 6/9/2017
- Environmental Certification remains unchanged
- Recording this training
- Developed Quick Guide



Type 1 Quick Guide



Getting Started!

FDOT's StateWide Environmental Project Tracker (SWEPT) is an interactive web-based application that supports activities in FDOT's environmental process. SWEPT also provides access to the Type 1 Categorical Exclusion (Type 1 CE) Checklist. This quick reference provides guidance on where to find, and how to complete the Type 1 CE checklist, and how to submit it for approval.

It is also helpful to have **Part 1, Chapter 2 – Federal Highway Administration Class of Action Determination**, of the **Project Development & Environment (PD&E) Manual** handy for reference. A hyperlink to the manual is provided below:

<http://www.fdot.gov/environment/pubs/pdeman/pdeman1.shtm>

1. Load a Project

Type 1 Categorical Exclusion Checklist

FM Number Enter at least the Item Number and Item Segment and click Load to continue.

238359 - 1 - 2 1 - 01

Enter the 11 digit Financial Management (FM) Number

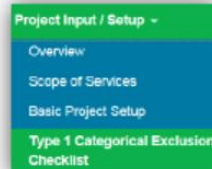
Click **Load**, after entering FM Number.

Completing the Type 1 CE Checklist

Locating the Type 1 Categorical Exclusion (Type 1 CE) Checklist

<https://www.fla-etat.org/est/swept>

From the **Home Page** – Click on **Project Input/Setup**, then click **Type 1 Categorical Exclusion Checklist**:



The Type 1 CE checklist is located in the drop down menu titled **"Project Input/Setup,"** located within the blue sidebar on the left-hand side of your screen.

Click to open the checklist.

TIP: Need to Change Projects?

Once a project is loaded, the **"Load"** button changes to a **"Change"** button. To change projects, simply hit **"Change,"** then enter in new FM number.

Type 1 Categorical Exclusion Checklist

FM Number Enter at least the Item Number and Item Segment and click Load to continue.

238359 - 1 - 2 1 - 01

Type 1 Quick Guide (continued)

2. Enter Project Information

Enter the first 6 digits (item number) and pick the **Related FM Numbers**, if applicable.

Related FM Numbers Enter the item number and choose the FM Number you want to add from the matches that are displayed.

238395-1-21-01
238395-4-45-01

The **Federal-Aid Program (FAP) Number** will be populated (assuming one exists); if not correct, update it in the Work Program. The update will appear in SWEPT the following morning.

Federal-Aid Program (FAP) Number If this value is incorrect, please correct it in the Work Program. Updates will be reflected here within one day.

Click on the appropriate **CE Type**; select from the dropdown menu [contains 30 options for (c) and 13 options for (d) options].

CE Type (c) (d)

N/A

For the **Project Description**, enter in a brief summary of the proposed scope of work (use toolbar to format).

Project Description Enter a brief description of the proposed scope of work.

3. Verify Criteria

If the project does not meet the criteria of this statement, stop; the checklist does not apply. If project meets criteria, check **Verified** and questions will appear below the statement.

This action **will not induce significant impacts** to planned growth or land use for the area; travel patterns; air or water quality; or cause substantial controversy on environmental grounds.

Verified

This statement will only appear if CE Type C (Options 26, 27, or 28) or CE Type D is selected. It must be verified to proceed with form.

The action **will not cause changes in interchange access control; result in major traffic disruptions** due to the construction of temporary access; or the closure of existing road, bridge, or ramps.

Verified

4. Answer Questions

After checking "**Verified**" as discussed above, ten multiple choice questions will appear. All ten questions must be answered. Some questions require additional information, depending on the answer. Each question also includes a text box for comments. A green check mark appears when comments are entered. Questions 7, 8, & 9 require attached documentation depending on the answer selected, and Question 10 requires appropriate documentation to be attached to support project evaluation. The process to attach appropriate documentation for a particular question is the same as uploading documents, using the **Upload Document** button (found below Question 10). This process is described below.

7. Will the action impact any properties protected by Section 4(f) pursuant to 23 CFR § 774

No potential Section 4(f) properties present

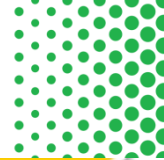
Section 4(f) resources present or adjacent, but there is "no use" within the meaning of Section 4(f).

Consult with OEM and record date of consultation

List resource(s) (required)

Each question will inform the user if more information is required, depending upon the answer selected. Some answers may require documentation, dates, resources, and/or comments.

Type 1 Quick Guide (continued)



5. Save Draft or Reassign to Another User



At any point, a draft of the Type 1 CE checklist can be saved by clicking the blue **Save Draft** option, located below the questions.



The orange **Reassign** button is used when the individual completing the checklist needs to assign another, approved individual to be responsible for the checklist.

6. Submit Type 1 CE Checklist for Approval



When all ten questions are completely answered, the green **Send for Approval** button at the bottom becomes enabled.

The checklist can only be submitted for approval at this time. If any one of the questions remains unanswered, the **Send for Approval** button will remain disabled. Remember, each question shall also be supported by a comment or uploaded documentation, before submitting it for approval. Approval authority is only granted to the District Environmental Manager (DEM) or their designee (must be FDOT employee). The approval process is summarized below:

Project Team Member

- **Complete Type 1 CE checklist** using this quick guide as a reference.
- **Submit for approval** to the District Environmental Manager, after the checklist is completed, all ten questions answered with supporting documentation.

District Environmental Manager or Designee

- **Check that the checklist is complete** and includes all completed fields, and appropriate uploaded documentation or comments to support answers to the ten questions.
- **Approve checklist** only if checklist is complete and meets all the requirements for a Type 1 CE.

Once a Type 1 CE Checklist has been approved, it will be visible on the Project Page of SWEPT. If the Environmental Certification for a Federal project has not been completed, you will see the pop up displayed below. Click the green **here** button to access the certification and complete it. After completing, click the green **Approve** button at the bottom to sign & submit for approval.

Attach Appropriate Documentation / Upload Documents

To attach documentation / upload documents supporting the answers to the ten questions, or to provide additional information:

1. Click the **Attach** button associated with the question requiring documentation, or **Upload Documents** button (found below Question 10) to open the dialogue box.
2. Click **Choose File** to find the file on your local computer network. Options include: DOC, DOCX, PDF, PNG, JPG
3. **Describe document** – Type a brief description in the text box.
4. **Document Date** – Enter the publication date.
5. **Select Document Type** – Options include: Supporting Documentation, Correspondence, Picture, or Other. If the document is supporting answers to one or more of the questions, select Supporting Documentation.
6. If the document category is **Supporting Documentation**, select the form question(s) answered by the supporting document you are uploading. You may **Select All** if the document applies to all questions.
7. If the document type is **Correspondence**, fill out the additional fields (**From** and **To**) fields to indicate the sender and recipients.
8. Click **Save** at the bottom.

Environmental Certification: The Environmental Certification for this project has not been completed. Click [here](#) to view and submit the Project Certification document for this project.



SWEPT Videos



The screenshot shows the FDOT website header with the logo and navigation menu. The main content area is titled "Office of Environmental Management" and "OEM Training program". Below this is a section titled "Office of Environmental Management Training Program Overview" which contains introductory text about the training academy and a list of seven training tracks.

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Office of Environmental Management

Office of Environmental Management / OEM Training Program
OEM Training program

Office of Environmental Management Training Program Overview

Welcome to the Environmental Management Training Academy! Our goal on this site is to provide FDOT staff, consultants, resource agency partners and Local Agency Program (LAP) partners with information about our training program and delivery plan.

We offer a wide range of opportunities for training in various delivery formats including on-demand and instructor led courses as well as access to relevant training materials from previous classes. Topics in our curriculum range from the National Environmental Policy Act (NEPA) Assignment Program, the Project Development and Environment (PD&E) Process, Environmental Permitting, Efficient Transportation Decision Making (ETDM) Process, Section 4(f), and more.

Our on-demand training includes both Computer Based Trainings (CBTs) as well recorded webinars. CBTs provide a great opportunity for the learner to work at their own pace, whether you are a new employee just starting out or a seasoned professional that may need a refresher.

Live webinars often provide direct access to OEM staff and our agency partners, such as the National Marine Fisheries Service. No more missing out on training due to schedule conflicts. This page includes recordings of these webinars for those that may have missed the opportunity to attend or want to review the material again.

For non-FDOT participants (agencies, consultants, etc.), we are able to provide instructor led training for a fee. Until external user access to FDOT's training materials listed across the tracks below and at the bottom of this page. Instructors can share information with participants via email and transcripts.

Our Environmental Management Training Academy is generally arranged into different training tracks.

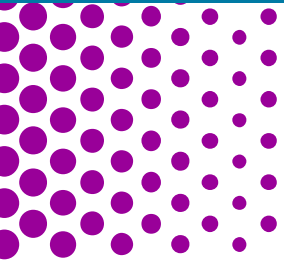
- Track 1 - National Environmental Policy Act (NEPA) Assignment Training
- Track 2 - StateWide Environmental Project Tracker (SWEPT) Training
- Track 3 - Project Development and Environment (PD&E) Training
- Track 4 - Statewide Acceleration and Transformation (SWAT) Process
- Track 5 - Environmental Coordination, Consultation and Permitting
- Track 6 - Engineering Topics
- Track 7 - Efficient Transportation Decision Making (ETDM) Process Training



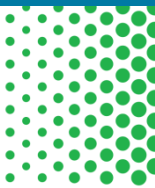
<http://www.fdot.gov/environment/sched/train1.shtm>

SWEPT Demonstration

- Type 1
- Environmental Certification



SWEPT Contacts



Office of Environmental Management

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Dean Rogers

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Any Questions?

