



**SAMPLE CHECKLIST, PLEASE CONTACT YOUR
PTC FOR THE NECESSARY CHECKLIST BEFORE
BEGINNING**

REGION VI
Arkansas, Louisiana,
New Mexico, Oklahoma,
Texas

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Categorical Exclusion Checklist

This checklist is to help Federal Transit Administration (FTA) grantees/ recipients comply with Federal environmental requirements. The checklist helps FTA determine whether a proposed project qualifies for a Categorical Exclusion (CE), an action that normally does not have a significant effect on the human environment. Contact FTA for help completing the checklist.

Step 1: Describe the project:

Project Name: [Click here to enter text.](#)

Sponsoring Agency: [Click here to enter text.](#)

Point of Contact: [Click here to enter text.](#)

Anticipated Source of Federal Funds: [Click here to enter text.](#)

Project Description: [Click here to enter text.](#)

- Reason for the project
- Scope of Work
- Project size or scale
- Project location (e.g., street address and city or map)
- Project Map
- Photos

Step 2: Answer the following questions:

1. Will the project have a significant effect on the project area or its resources?
 - ☐ Unknown, contact FTA. This project may not qualify for a categorical exclusion.
 - ☐ Yes, contact FTA. This project may not qualify for a categorical exclusion.
 - ☐ No.
2. Is the project likely to generate intense public discussion, concern, or present extraordinary circumstances which may pose a significant effect?
 - ☐ Unknown, contact FTA.
 - ☐ Yes, contact FTA. This project may still be categorically excluded.
 - ☐ No.
3. Will the project involve property acquisition?
 - ☐ We already own the property. Contact FTA regarding eligibility for Federal funding.
 - ☐ Yes, we intend to acquire property. Note that FTA generally prohibits property acquisition prior to the completion of NEPA.
 - ☐ No, no property acquisition has or will be done for the project.
4. Assuming historic properties are present in the project area, is the project the type of activity that has the potential to cause effects on historic properties?

- ☐ Unknown, contact FTA.
 - ☐ Yes, contact FTA regarding consultation under Section 106 of the National Historic Preservation Act.
 - ☐ No.
5. Does the project involve the use of land from publicly owned parks, recreation areas, wildlife and waterfowl refuges, or public or private historic sites?
- ☐ Unknown, contact FTA.
 - ☐ Yes, contact FTA regarding requirements under Section 4(f) of the DOT Act of 1966.
 - ☐ No.
6. Will the project be located within a 100-year floodplain?
- ☐ Unknown, contact FTA.
 - ☐ Yes, contact FTA regarding further evaluation under Executive Order 11988.
 - ☐ No, continue.

Step 3. Provide supporting documentation, as necessary:
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Include documentation, as applicable, for the areas of concern below:

A. Property Acquisition/Relocations: (Refer to [FAQs on Real Property Acquisition](#) and [FTA's Award Management Circular 5010.1F](#))

- If real property is to be acquired, describe it (the land, structures, location, etc.), the type of acquisition, and any relevant site assessment reports.
- Where an acquisition requires the displacement of businesses or individuals, document compliance with the Uniform Relocation Act. See [FTA's Real Estate information](#).
- Describe any temporary effects (e.g., any temporary easements needed).

B. Land Use and Zoning Effects:

Document that the project is consistent with surrounding land use and zoning.

- Attach a land use map showing the project location and its surrounding parcel's land use classification.
- Attach a zoning map showing/describing the project's zoning classification.

C. Transportation Effects:

Document potential traffic and parking effects.

- Indicate whether the existing roadways have adequate capacity to handle increased vehicular traffic, if any, and identify level of service.
- Is there any loss of parking? Loss of general-purpose travel lane?
- Describe connectivity to other transportation facilities, modes, and relevant agencies.

D. Air Quality:

Document that requirements of the Clean Air Act have been met.

- Describe any effects to air quality resulting from the project.

- Is the project located in an Environmental Protection Agency-designated non-attainment or maintenance area? If so, indicate the criteria pollutant below and contact FTA to determine if a hot spot analysis is necessary.
 - ☐ Carbon Monoxide (CO)
 - ☐ Ozone (O₃)
 - ☐ Particulate Matter (PM_{2.5})
 - ☐ Particulate Matter (PM₁₀)
 - ☐ Nitrogen Dioxide (NO₂)
 - ☐ Sulfur Dioxide (SO₂)
- Does the project require conformity analysis?
 - ☐ No, it is exempt from conformity analysis under 40 CFR 93.126
 - ☐ Yes
- If the non-attainment area is also in a metropolitan area, was the project included in the MPO's Transportation Improvement Program air quality conformity analysis?
 - ☐ N/A
 - ☐ No
 - ☐ Yes, date of conformity finding: Click here to enter a date.

E. Historic/Cultural Resources: (Refer to [FTA's procedure on the Section 106 process](#))

Document compliance with Section 106 of the National Historic Preservation Act.

- Describe any cultural, historic, or archaeological resources that are in or around the immediate vicinity of the project.
- Describe the potential for the project to affect that resource. Attach any relevant documentation and correspondence.
- Document any consultation and determinations or findings made.

F. Section 4(f) finding: (Refer to [FTA's procedure on Section 4\(f\) Evaluations](#))

Document compliance with Section 4(f) of the Department of Transportation Act of 1966.

- If the project is located in or adjacent to a publicly owned park, recreation area or wildlife or waterfowl refuge, or a publicly or privately owned historic district/ property, document any use of that resource.
- Describe the potential effects so FTA can make a Section 4(f) finding.

G. Hazardous Materials: (Refer to [FTA's procedure on Contaminated Properties](#))

Is there any known or potential contamination of the project site?

- Describe the analysis used to determine whether hazardous materials were present.
- Describe mitigation and clean-up measures that will be taken to remove hazardous materials. If the project includes property acquisition, a Phase I Environmental Site Assessment may be required for the land to be acquired.

H. Noise/Vibration: (Refer to [FTA's Noise and Vibration Manual](#))

Document whether the project has the potential for noise or vibration effects.

- Identify receptors within the screening distance.
- Attach a general noise or vibration assessment.
- Describe effects, proposed mitigation measures, and remaining effects after mitigation.

I. Floodplain Effects: (Refer to [FTA's guidance on Floodplain Management](#))

Document compliance with US DOT Order 5650.2, Floodplain Management and Protection, as revised.

- Is the project located within the 100-year floodplain? If so, provide the appropriate Federal Emergency Management Agency (FEMA) Flood Insurance Rate Map (FIRM).

J. Biological Resources: (Refer to [FTA's procedure on Biological Resources](#))

Document project effects on protected wildlife and plant species and/or their habitats.

- Describe if there are any species located within the project vicinity that are listed as threatened or endangered under the Endangered Species Act.
- Describe any critical habitat, essential fish habitat or other ecologically sensitive areas within or near the project area.

K. Water Resources: (Refer to [FTA's procedure on Water Resources](#))

Document that requirements of the Clean Water Act have been met.

- Describe the project's potential to affect water quality, including during construction.
- Describe potential effects and best management practices that will be in place.
- Will there be an increase in new impervious surface or restored pervious surface?
- Describe potential effects and proposed treatment for storm water runoff
- Document whether the project will affect on-site or adjacent wetlands. Include any findings by the U.S. Army Corps of Engineers.
- Is the project located near an EPA-designated sole source aquifer? Provide the name of the aquifer which the project is in and describe any potential effects to the aquifer. Also, include the approximate amount of new impervious surface created by the project.

L. Visual and Aesthetics Effects:

- Describe the project's effects on the existing visual/aesthetic character or quality of the site, its surrounding, and/or recognized view sheds.

M. Utilities and Energy:

- Describe any relocation to utility lines or facilities and identify the responsible party.
- Describe coordination done with utility providers.
- Describe the energy requirements and conservation potential of the project.

N. Safety/Security:

- Describe all measures that will be taken to ensure the safe and secure operation of the project (e.g., pedestrian and traffic hazards, as well as user and employee security issues).

O. Construction Effects:

- Describe temporary effects associated with construction activities, such as noise, air quality, sidewalk and road closures, traffic detour/access change, construction schedules.

- Describe mitigation measures to address the effects.

P. Public Involvement: (Refer to [FTA's procedure on Public and Agency Comments](#))

Document public meetings, project websites, public notices, and general response given.

- Has the affected community been informed of the project?
- Describe any public outreach done.
- Describe any interagency coordination done, including the result.

Q. Mitigation Measures:

- Describe any measures taken that avoid, minimize, or compensate for effects caused by the project and steps that will be taken to monitor mitigation measures.

Step 6. Date and Submit for FTA Review:
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Date:

[Click here to enter a date.](#)

Submitted by:

[Click here to enter text.](#)

Position/ Title:

[Click here to enter text.](#)

Please note that submitting this checklist does not mean that NEPA is complete. FTA determines whether a project qualifies as a Categorical Exclusion. Upon review, we will provide you with our final determination, signaling NEPA is complete. If you have any questions, please contact your FTA representative.