

## Chapter Trans 400

WISCONSIN ENVIRONMENTAL POLICY ACT  
PROCEDURES FOR DEPARTMENT ACTIONS

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**Trans 400.01 Authority.** (1) This chapter is promulgated under the authority of ss. 1.11, 85.16 (1) and 227.11 (2), Stats.

(2) As specified in s. 227.01 (13) (d), (e) and (y), Stats., the definition of "rule" and the requirement to promulgate statements of general policy and interpretation of statutes as administrative rules do not apply to action or inaction of the department which relates to the use of highways and is made known by signs or signals, relates to the construction or maintenance of highways or bridges, except as provided in ss. 84.11 (1r) and 85.025, Stats., or prescribes measures to minimize the adverse environmental impact of bridge and highway construction and maintenance.

(3) As specified in ss. 20.395 (9) (qx), 84.01 (15), 84.015 and 84.03 (1), Stats., the department is directed to construct and maintain highways and related projects within the meaning of title 23, United States Code, and all acts amendatory and supplementary thereto, and the federal regulations issued under that code, as well as to receive and expend all funds in accordance with the requirements of acts of congress making such funds available.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

**Trans 400.02 Purpose.** The purpose of this chapter is to implement the Wisconsin environmental policy act, s. 1.11, Stats., by establishing the policy by which the department will consider environmental effects of its major actions on the quality of the human environment, by identifying actions under the jurisdiction of the department that have the potential to affect the quality of the human environment, by determining the appropriate environmental analysis and documentation necessary for each action, by ensuring an opportunity for public participation in the process, and by establishing procedures by which the department will consider the effects of its actions on the quality of the human environment.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

**Trans 400.03 Applicability.** (1) The provisions of this chapter shall apply to all department actions which may affect the quality of the human environment.

(2) Where another state or federal agency has concurrent responsibility with the department for a proposed type II action, a joint EA may be prepared with the other agency if the EA meets the requirements of this chapter. The department shall make an independent judgment on the need for an EIS in accordance with this chapter.

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(3) Where a proposed action involves another state or federal agency approval or decision, and it has been determined that an EIS shall be prepared in accordance with NEPA or WEPA, the WEPA requirement for an EIS under this chapter may be waived if:

(a) A joint EIS is prepared; or

(b) After review of the other state or federal EIS by the department, it appears that the requirements as to content of the EIS prescribed in s. 1.11, Stats., and this chapter have been met, and the EIS was developed and prepared through appropriate participation by the department with the other agencies in a coordinated effort to satisfy the requirement of NEPA and WEPA.

(4) If the joint EIS under sub. (3) appears to comply with the requirements of WEPA and this chapter, public hearings shall be held in accordance with this chapter unless they are held in Wisconsin by the lead agency with effective participation by the department.

(5) The department may accept certification of compliance by a county, city, village or town with any environmental laws applicable to improvements under the jurisdiction of the local government for which reimbursement is sought from the department through the local roads improvement program in s. 86.31, Stats.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

Trans 400.04 Definitions. In this chapter:

(1) "Access roads" means the various, incidental, public roads that provide service and access to state parks, national and state forests, and state institutions.

(2) "Alternatives" means other reasonable actions or activities which may achieve the same or altered purpose of the proposed action including the alternative of taking no action.

(3) "Categorical exclusion" means an action which meets the definition of the term in the guidelines published by the United States council on environmental quality as a federal rule in 40 CFR § 1508.4, July 1, 1990, and the rule published jointly by the federal highway administration and urban mass transit administration of the United States department of transportation in 23 CFR § 771.117, April 1, 1991, or the procedures published by the federal aviation administration of the United States department of transportation as order 5050.4A, chapter 3, paragraph 23, October 8, 1985, or other actions of the department for which neither an EA, EIS nor other environmental documentation is required by this rule.

(4) "Cooperating agency" means any local, state or federal agency, other than the lead or transportation agency, which has jurisdiction by law over the proposed action or which has special expertise with respect to any relevant environmental effect generated by the proposed action.

(5) "Department" means the Wisconsin department of transportation.

(6) "DEIS" or "draft environmental impact statement" means the preliminary version of an EIS.

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(7) "EA" or "environmental assessment" means a concise, comprehensive document containing an analysis of a proposed type II action to determine the significance of the action's environmental effects and whether or not the action constitutes a major action.

(8) "Environmental effect" or "environmental impact" means a beneficial or adverse influence resulting from an action of the department. The term includes ecological, aesthetic, historic, cultural, economic, social or health effects.

(9) "EIS" or "environmental impact statement" means a written report containing an analysis of a proposed major action and its alternatives to identify and address their effects on the quality of the human environment.

(10) "ER" or "environmental report" means a brief document used internally by the department to demonstrate a proposed action fits the criteria or conditions for approval as a categorical exclusion in 23 CFR § 771.117 (d), April 1, 1991, or has met the review criteria of paragraph 23.a. of chapter 3 of federal aviation administration order 5050.4A of October 8, 1985, or has been properly coordinated with other agencies having jurisdiction by law over specific activities.

(11) "FEIS" or "final environmental impact statement" means the final version of an EIS.

(12) "FONSI" or "finding of no significant impact" means an approved, completed EA containing a finding that the proposed type II action is not a major action.

(13) "Human environment" means the natural or physical environment and the relationship of people with that environment.

(14) "Joint lead agency" means the department together with any local, state or federal agency having equal responsibility for the preparation, content and processing of an environmental document for a proposed action.

(15) "Ldn" means the directly measurable sound level quantity using the day - night average sound level methodology developed for the United States environmental protection agency for estimating noise impacts at both civil and military airports.

(16) "Lead agency" means the local, state or federal agency preparing or having taken primary responsibility for preparing the environmental document for a proposed action.

(17) "LEIS" or "legislative environmental impact statement" means a written report containing an analysis to identify and address the effects on the quality of the human environment of a department-initiated report or recommendation on a proposal for legislation.

(18) "Major action" means an action that will have significant effects on the quality of the human environment. It does not include actions whose significance is based only on economic or social effects.

(19) "Major and significant new proposal" means a new proposal developed by the department which, if legislatively authorized and funded, may significantly affect the quality of the human environment and represents a significant departure from, or expansion of, the department's ex-

isting responsibilities by substantially expanding or substantially reducing total resources allocated to any existing programs.

(20) "Mitigation" means avoiding, minimizing, rectifying, reducing, eliminating or compensating for adverse environmental effects of a proposed action.

(21) "NEPA" means the national environmental policy act, 42 USC 4321, et seq.

(22) "Notice of availability," "notice of intent," "notice of opportunity for public hearing" or "notice of public hearing" means a class 1 notice as defined in ch. 985, Stats.

(23) "ROD" or "record of decision" means a public record which identifies:

- (a) The department's selected course of action.
- (b) The selected action's environmental effects.
- (c) Alternatives to the action that were considered.
- (d) Mitigation measures selected.
- (e) Reason for rejection of suggested reasonable mitigation measures.

(24) "Reevaluation" means the review of a DEIS or FEIS to assess whether there have been significant changes in the proposed action, the affected human environment, the anticipated environmental impacts, or the proposed mitigation measures.

(25) "Scoping" means an early, open process with the public and public agencies for identifying the anticipated range of issues for a proposed action.

(26) "Significant effects" means considerable and important impacts of department actions on the quality of the human environment.

(27) "SEE" or "system-plan environmental evaluation" means a conceptual environmental evaluation, that shall be considered the "detailed statement" required by statute commonly known as "environmental impact statement," developed as an integral element of a system plan that contemplates that if the plan recommendations are implemented, there will be subsequent project or site-specific environmental reviews. A SEE also serves as the LEIS regarding reports or recommendations on legislation required to implement the plan.

(28) "System plan" means a plan which identifies transportation facility or service needs for a statewide system. The needs are identified conceptually without addressing specific design and locational details.

(29) "Tiering" means the coverage of general matters in a broad EIS with subsequent narrower statements or environmental analyses which incorporate by reference the general discussion of the EIS.

(30) "WEPA" means the Wisconsin environmental policy act, s. 1.11, Stats.

**Trans 400.05 Federal regulations adopted.** Federal regulations, 23 CFR § 771.117, April 1, 1991, adopted jointly by the federal highway administration and urban mass transit administration of the United States department of transportation, and its federal aviation administration order 5050.4A, chapter 3, paragraph 23, October 8, 1985, pursuant to 40 CFR § 1508.4, July 1, 1990, as approved by the United States council on environmental quality, and 40 CFR §§ 1506.8 and 1508.17 are adopted by the department and are attached hereto in appendix 1.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

**Trans 400.06 Policy.** (1) The department shall strive to protect and enhance the quality of the human environment in carrying out its basic transportation mission and shall consider pertinent environmental factors consequential to any proposed action. The policy expressed in this section and the procedures defined in this chapter shall be implemented as an integrated process beginning during the initial planning stage for department action.

(2) The department acknowledges WEPA as a legal obligation shared by all divisions of the department to evaluate and be aware of environmental consequences of proposed actions.

(3) Alternative courses of action shall be evaluated and decisions on proposed actions shall be made in the best overall public interest consistent with state and federal statutes and regulations. Decisions on proposed actions shall be based upon a balanced consideration of the findings of the environmental document, public comments, and the need for safe and efficient transportation consistent with local, state and national environmental goals.

(4) Public involvement, interagency coordination and consultation, and a systematic interdisciplinary approach to analysis of the issues shall be essential parts of the environmental process for proposed actions.

(5) Measures necessary to avoid, minimize and to mitigate adverse environmental impacts of proposed actions shall be part of the development and evaluation of alternatives.

(6) The department shall implement procedures to make the WEPA process more useful to decision makers and the public by reducing paperwork and reducing delay utilizing the means for achieving these goals as specified in the rules of the United States council on environmental quality at 40 CFR § 1500.4 and 1500.5, July 1, 1990, that are attached hereto in appendix 1. Environmental documents shall be concise, clear, and to the point and emphasize real environmental issues and alternatives.

(7) In carrying out its responsibility under s. 1.11, Stats., the department shall substantially follow the guidelines issued as rules by the United States council on environmental quality and federal transportation agencies.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

**Trans 400.07 Action designation and environmental documentation.** (1) The designations, type I, type II, type III and type IV shall be used to categorize department actions. Actions designated type I actions shall be considered major actions, and actions designated type IV shall be considered categorical exclusions.

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(2) Except for actions designated type IV actions which shall not require any environmental documentation, actions designated type I, type II or type III shall require the following environmental documentation:

(a) *Type I.* A type I action is normally a major action or a major and significant new proposal. An EIS or LEIS shall be prepared for type I actions as follows:

1. EIS. An EIS shall be prepared for major actions.

2. LEIS. When a major and significant new proposal consists of a report or recommendation of the department on a proposal for legislation initiated by the department that is not within the scope of any categorical exclusion, the department shall prepare an LEIS substantially following the guidelines of the United States council on environmental quality in 40 CFR § 1506.8, July 1, 1990.

(b) *Type II.* A type II action is normally one for which the significance of the environmental impact is not clearly established. Either an EA, SEE or screening sheet shall initially be prepared for type II actions as follows:

1. EA. An EA shall be prepared for those project actions for which the significance of the environmental impact is not clearly established. If it is concluded from the analysis in the EA that the type II action is a major action, an EIS shall be prepared. If it is concluded from the analysis in the EA that the type II action is not a major action, the EA shall be revised to constitute a FONSI, and the FONSI shall serve as the environmental document. The FONSI shall be prepared only after availability of the EA for public and cooperating agency review and comment and the incorporation of any appropriate revisions resulting from the public involvement process. Where a permit will be required or other agency coordination is specifically required by law, the FONSI may serve as the vehicle for such permit or coordinating agency approval.

2. SEE. In the case of proposals contained in system plans, if it is concluded they are major and significant new proposals, a SEE shall be prepared. If it is concluded from an analysis of the system plan that it does not contain any major and significant new proposals, a clear statement of that determination shall be incorporated within the system plan or as a separately identifiable and retained record of the department's determination.

3. Screening sheet. In the case of reports or recommendations of the department on proposals for legislation initiated by the department, if it is concluded from the screening sheet they contain major and significant new proposals, an LEIS shall be prepared. If it is concluded from the screening sheet that they do not contain any major and significant new proposals or are within the scope of any categorical exclusion, a clear statement of that determination shall be included on screening sheet.

(c) *Type III.* A type III action is normally one that is likely to fit the criteria for a conditional categorical exclusion in 23 CFR § 771.117 (d), April 1, 1991, or federal aviation administration order 5050.4A, chapter 3, paragraph 23.a., October 8, 1985, or otherwise requires coordination with or concurrence of another agency. An ER shall be prepared for type III actions to demonstrate whether the proposed action does fit the criteria or conditions for approval as a categorical exclusion in the federal rule and has been properly coordinated with other agencies having jurisdic-

tion by law over specific activities. The ER shall serve as the department's record of coordination with other agencies having jurisdiction over specific activities, including the following activities:

1. Construction-related activities including, but not limited to, stream crossings, fills in wetlands and temporary structures in or over streams or wetlands.

2. Defined land use acquisition including, but not limited to, the acquisition of agricultural lands, historic or archeological sites, and state, county or national forest lands.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

Trans 400.08 Categorization of department actions. (1) Based on past experience with analysis of similar actions, the following typical department actions and proposals are categorized as type I to IV as follows:

<i>ACTION TYPE LIST</i>		
ACTION IDENTIFICATION	DESCRIPTION OF ACTION	ACTION TYPE
1. Highways, with substantial land acquisition.	a. Construction of a new freeway.	I
	b. Construction of a new expressway.	I
	c. Construction of a new highway for more than 2.5 miles.	I
	d. Continuous relocation of a highway for more than 2.5 miles.	I
	e. Construction of an additional one or more continuous lanes to an existing highway for more than 5.0 miles.	I
	f. Reconstruction of a substantial length of a rural highway.	II
	g. Reconstruction of an urban highway or street.	II
	h. Extensive remodeling, expansion or modification of a rest area, wayside, weigh station, parking lot, scenic overlook, park-ride lot, access road, or similar facility, which substantially either increases the capacity of the facility or changes its use.	III

<i>ACTION TYPE LIST</i>		
<b>ACTION IDENTIFICATION</b>	<b>DESCRIPTION OF ACTION</b>	<b>ACTION TYPE</b>
2. Highways, with some minimal or no land acquisition.	a. Construction of a new rest area, wayside, weigh station, parking lot, scenic overlook, park-ride lot, access road, or similar facility.	II
	b. Construction of an additional one or more continuous traffic lanes within a highway's existing right-of-way.	II
	c. Construction or relocation of an entrance or service road connection to a public road which affects the capacity of the public road.	II
	d. Resurfacing of a highway which involves no major changes to the highway's horizontal or vertical alignment or to its horizontal cross-sectional elements.	III
	e. Minor reconditioning of a highway which involves widening of the highway's shoulders or pavement and minor changes to its geometrics.	III
	f. Major reconditioning of a highway which involves complete rehabilitation of the highway, including replacement of the driving surface and restoration of the aggregate base course, and improvements to enhance safety, geometrics, drainage or intersections, with minimal or no improvement in vehicular capacity.	III
	g. Construction of one or more additional auxiliary lanes within a highway's existing right-of-way for such purposes as weaving, climbing, turning or speed change.	IV



<b>ACTION TYPE LIST</b>		
<b>ACTION IDENTIFICATION</b>	<b>DESCRIPTION OF ACTION</b>	<b>ACTION TYPE</b>
3. Controls and permits.	a. Implementation of a high-way access control, such as a linear restriction of access to a transportation facility other than a restriction resulting from an improvement project.	III
	b. Implementation of junkyard control, such as relocation, consolidation or removal of junk yards located within 1,000 feet of the nearest edge of the right-of-way of any interstate or federal-aid primary highway.	III
	c. Issuance of a permit for use of state-owned right-of-way which includes wetlands, drainage ways, or other environmentally sensitive areas.	III
4. Noise barriers.	Construction of noise attenuation barriers along an existing transportation facility as a retrofit operation.	III
5. Scenic easement.	Acquisition of scenic easement.	IV
6. Bridges, with substantial land acquisition.	Construction of a bridge, where none existed before, over a major waterway.	I
7. Bridges, with some minimal or no land acquisition.	a. Construction of a bridge at a new location not contiguous to the existing structure.	II
	b. Replacement of a bridge at the location of the existing structure, or at a new location contiguous to the existing structure.	III
	c. Rehabilitation of bridge which involves the repair, restoration or replacement of the components of the existing structure, including bituminous surfacing, concrete overlays, rails or ties.	III

<i>ACTION TYPE LIST</i>		
<b>ACTION IDENTIFICATION</b>	<b>DESCRIPTION OF ACTION</b>	<b>ACTION TYPE</b>
	d. Maintenance of a bridge structure, including painting, deck or substructure repair, or adding a ballast to the ballast deck, over a waterway.	IV
8. Railroads, with substantial land acquisition.	a. Construction of a new high speed railroad.	I
	b. Construction of a new freight railroad for more than 2.5 miles.	I
	c. Continuous relocation of the tracks of an existing railroad for more than 2.5 miles.	I
	d. Construction of an additional set of parallel tracks to an existing railroad for more than 5.0 miles.	II
	e. Reconstruction of a substantial length of track of a railroad.	II
	f. Construction of a new or replacement rail car storage or repair building, or other similar facility, at a new location.	II
9. Railroads, with some minimal or no land acquisition.	a. Construction of a new switching yard, piggy-back ramp, transloading, unloading or loading facility, or other similar facility.	II
	b. Construction of an additional one or more continuous tracks within the railroad's existing right-of-way.	III
	c. Extensive remodeling, expansion or modification of a switching yard, piggy-back ramp, transloading facility, or similar facility, which substantially either increases the capacity of the facility or changes its use.	III

<i>ACTION TYPE LIST</i>		
<b>ACTION IDENTIFICATION</b>	<b>DESCRIPTION OF ACTION</b>	<b>ACTION TYPE</b>
	d. Major reconstruction of a railroad which involves complete rehabilitation of the railroad, including replacement of the rail and ties and restoration or replacement of the ballast, and improvements to enhance safety, drainage or grade crossing visibility.	III
	e. Repair of a grade crossing, including replacement of rail, ties, and ballast through an existing highway or street.	IV
10. Airports, with substantial land acquisition.	a. First time airport location for a commercial service airport located in a standard metropolitan statistical area as defined and designated by the U.S. bureau of the census.	I
	b. Construction of a new runway capable of handling air carrier aircraft at a commercial service airport in a standard metropolitan statistical area as defined and designated by the U.S. bureau of the census.	I
11. Airports, with some minimal or no land acquisition.	a. Construction of a new airport or new runway.	II
	b. Extension of a major runway or strengthening of any runway which would result in a 1.5 Ldn or greater increase in noise over any noise sensitive area located within the 65 Ldn contour.	II
	c. Construction, including extending, or strengthening runways, taxiways, aprons, or loading ramps at existing airports, except where such work will create environmental effects off airport property.	III
	d. Removal of a displaced threshold on a runway.	III

<i>ACTION TYPE LIST</i>		
<b>ACTION IDENTIFICATION</b>	<b>DESCRIPTION OF ACTION</b>	<b>ACTION TYPE</b>
	e. Installation of an airport navigational facility, including a very high frequency omni range instrument and microwave landing system, approach light system, or runway end identifier light system.	III
	f. Construction or expansion of passenger handling facilities and entrance roadways.	III
	g. Grading or removal of obstructions on airport property and erosion control actions with no off-airport effects.	III
12. Airports, with no off-airport impacts.	a. Repair work, including reconstructing or resurfacing runways, taxiways, aprons, or loading ramps at existing airports.	IV
	b. Installing or upgrading runway lighting systems, visual approach slope indicators, rotating beacons, wind indicators, and security systems, including fencing.	IV
	c. Acquisition of a privately owned airport, as long as only a change of ownership is involved.	IV
	d. Issuance of airport planning grants.	IV
13. Administrative facilities.	a. Construction of a new or replacement administrative building, including an office building, state patrol academy, driver licensing and testing station, state patrol communications building, or other similar facility, at a new location.	II

<i>ACTION TYPE LIST</i>		
<b>ACTION IDENTIFICATION</b>	<b>DESCRIPTION OF ACTION</b>	<b>ACTION TYPE</b>
	b. Extensive remodeling, expansion or modification of an administrative building, including an office building, state patrol academy, driver licensing and testing station, state patrol communications building, or other similar facility, which substantially either increases the capacity of the facility or changes its use.	III
	c. Minor construction or expansion of an airport facility, such as a runway, taxiway, apron, service or entrance road, or passenger handling or parking facility.	IV
14. Financial assistance.	a. Financial grant for railroad construction action that may be categorized as a type I action in the table above.	II
	b. Financial grant for construction of a new port facilities.	II
	c. Financial grant for construction of a new disposal facility for harbor dredge material.	II
	d. Financial grant for dredging of material for the purpose of expanding an existing harbor.	II
	e. Financial grant for disposal of contaminated harbor dredge material into a new disposal facility.	II
	f. Financial grant under the transportation economic assistance program for the construction of a local transportation facility.	II
	g. Financial grant for repair or modification of existing port facilities in locations below the ordinary highwater mark that are not within an area designated by a bulkhead line, a lake bed grant, or a submerged lands lease.	III

<i>ACTION TYPE LIST</i>		
<b>ACTION IDENTIFICATION</b>	<b>DESCRIPTION OF ACTION</b>	<b>ACTION TYPE</b>
	h. Financial grant for repair of an approved disposal facility for contaminated dredge material.	III
	i. Financial grant for repair or modification of existing port facilities in locations below the ordinary high water mark that are within an area designated by a bulkhead line, lake bed grant, or a submerged lands lease.	IV
	j. Financial grant for maintenance dredging of navigable waterway.	IV
	k. Financial grant for disposal of contaminated dredge material into existing approved disposal facilities.	IV
15. Policy, contract, standard and specification changes.	a. Change in policy for non-highway use of highway right-of-way or non-railroad use of railroad right of way by utility companies, or for access to other public roads or private residential or commercial driveways or farm crossings.	II
	b. Change in policy for transport of hazardous cargo, such as explosives, hazardous wastes, toxins, radioactive material, or any other similar cargo.	II
	c. Change in policy for the maintenance program relating to the use of deicing materials, or to the use of pesticides, herbicides or insecticides within the right-of-way, or to the use of cut-back asphalt or creosoted ties, or other similar materials.	II
	d. Change in policy for acquisition of scenic easements.	II

<i>ACTION TYPE LIST</i>		
<b>ACTION IDENTIFICATION</b>	<b>DESCRIPTION OF ACTION</b>	<b>ACTION TYPE</b>
	e. Change in policy on artificial lighting for highways and airports.	III
	f. Change in policy for planting and landscaping on transportation corridors.	III
	g. Processing a contract change order for significant changes in project design.	III
	h. Major change in design standards or construction specifications.	III
16. System planning.	Publication or adoption of a system plan.	II

(2) In addition, the following actions and activities of the department are categorized type IV:

(a) Activities exempt by statute or approved as categorical exclusions by the United States council on environmental quality pursuant to 40 CFR § 1508.4, July 1, 1990, and the rule published by the United States department of transportation in 23 CFR § 771.117, April 1, 1991, or its federal aviation administration order 5050.4A, chapter 3, paragraph 23, October 8, 1985.

(b) Enforcement activities.

(c) Emergency activities to protect public health, safety and the human environment.

(d) Ancillary activities which are part of a routine series of related department actions.

(e) Actions which individually or cumulatively do not significantly affect the quality of the human environment and do not involve unresolved conflicts in the use of available resources.

(f) The budget request of the department as a whole submitted to the department of administration and legislature pursuant to ss. 16.42 and 19.45 (12), Stats.

(g) Proposals for enabling or conforming legislation that are required to be enacted to comply with federal law or federal standards as the department is authorized by ss. 20.395 (9) (qx), 84.01 (15), 84.015 and 84.03 (1), Stats., as a matter of federal preemption, but only to the extent so required and no further.

(h) Reports or recommendation on proposals for legislation for which the department has performed or caused to be performed a SEE as an integral part of system plans.

(i) Budget requests associated with implementation of a system plan for which a SEE has been completed.

(j) Reports or recommendations on revenue proposals.

(k) Expenditure or appropriation requests involving only an existing department program, except requests that constitute major and significant new proposals.

(l) Reports or recommendations on proposals for legislation that have not been initiated by or sponsored by the department.

(m) Budgetary proposals submitted in response to a request by the governor, the legislature, legislative committees, or individual legislators.

(n) Reports or recommendations on proposals for legislation that relate to the level of transportation aids payments to local units of government, including mass transit aids.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

**Trans 400.09 Scoping.** (1) As part of system plan development process, the department shall perform SEE scoping. This scoping is to identify the issues to be addressed, alternatives to be analyzed, and the affected public or agencies involved in the system plan development. No scoping is required for reports or recommendations on proposals for legislation, LEISs, or type III and type IV actions.

(2) For type I and type II project-level actions, the department shall determine by means of scoping, insofar as possible at the time that a proposed action is approved for planning, development or implementation, the probable action designation, environmental review and agency coordination that will be required. If a decision to prepare an EIS is made, the department shall inform the public and affected agencies by publishing a notice of intent in the Wisconsin administrative register and a local newspaper of general circulation. The notice of intent shall include:

(a) A statement that an EIS will be prepared.

(b) A brief description of the proposed action.

(c) A preliminary list of possible alternatives.

(d) A brief discussion of the proposed scoping process.

(e) Names and addresses of the contact persons at the federal and state review agencies.

(3) The scoping process shall include, to the extent feasible, affected local, state and federal agencies, any affected American Indian tribes, and other interested persons. The scoping process may consist of meetings, hearings, workshops, surveys, questionnaires, interagency committees, or other appropriate methods or activities, and may be integrated with other public participation requirements.

(4) The department shall use the scoping process to accomplish the following:

(a) Determine the scope of issues to be analyzed in depth in the environmental document.

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(b) Identify and eliminate from detailed study and further consideration alternatives which are unreasonable and issues which are not significant or which have been covered and documented by prior environmental review related to the proposed action.

(c) Establish a schedule for document preparation and for opportunities for public involvement.

(d) Determine, when the department is involved in the development of proposals with other state agencies, which agencies may be joint lead agencies or whether one agency should be designated the lead agency.

(e) Ensure the required involvement of any cooperating agencies.

(f) Determine whether tiering shall be used to improve or simplify the environmental processing of complex actions.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

**Trans 400.10 Preparation and content of environmental documents. (1) PREPARATION.** The environmental documents shall be prepared by one of the following:

(a) The department.

(b) Local units of government under the direction of the department and with final review and approval responsibility by the department.

(c) A consultant under the direction of the department and with final review and approval responsibility by the department.

(2) **SEE CONTENT.** While the general issues to be addressed by a SEE are similar to those in the individual project evaluations, it is recognized that it, in most cases the analysis of transportation alternatives, including multi-modal analyses where appropriate, will be qualitative, reflecting the broad level of generality of system plans. Therefore, by necessity, a SEE shall be more conceptual, qualitative, and general than is common with the individual project environmental reviews. A SEE, prepared as an integral part of a system plan, shall address the following matters:

(a) The range of environmental effects, including the effects on sensitive land and water resources, of system plans.

(b) In non-attainment areas, the range of air quality impacts which might be expected from system plan recommendations.

(c) The range of system plan effects on energy consumption.

(d) The relation of system plans to adopted regional development goals and plans, including potential effects of transportation on land use and land use on transportation demand.

(e) The range of anticipated effects of system plans on traffic congestion.

(f) The range of anticipated effects of system plans on economic development.

(g) The qualitative comparison of the costs of system plans and expected benefits.

(h) The range of effects of system plans on communities.

(3) **DEIS AND FEIS CONTENT.** (a) The DEIS and FEIS shall be consistent with applicable laws, orders and policies, and shall include all of the following:

1. A summary which describes the proposed action and discusses the major environmental issues and controversies associated with the proposal.

2. A statement of purpose and need for the proposed action.

3. A discussion of the proposed action. The discussion shall:

a. Evaluate alternatives.

b. Specify the reasons for eliminating any of the alternatives from further consideration.

c. Address each reasonable alternative being considered in detail, so that their relative merits and liabilities can be compared.

4. A brief description of the human environment of the area or areas that may be affected by each of the alternatives under consideration. The amount of detail of such description shall be commensurate with the significance of the potential environmental impacts, but shall at a minimum identify and describe:

a. The existing quality of the human environment, including the economy, land use, demographics and projections of the population, traffic, natural and physical characteristics and their use, energy consumption, historic and archeological sites, and recreational facilities.

b. The required agency coordination, public involvement and permits or authorizations.

c. The relationship of the proposed action to adopted or proposed land use plans, policies, controls, and goals and objectives of affected communities, including potential effects of transportation on land use and land use on transportation demand.

5. A discussion of the environmental consequences. The discussion shall include the following:

a. The environmental impacts of the alternatives.

b. The adverse environmental effects, if any, which cannot be avoided should the proposed action be implemented.

c. The relationship between local short-term uses of the human environment and the maintenance and enhancement of long-term productivity.

d. The significant irreversible or irretrievable commitments of resources, if any, which would be involved should the proposed action be implemented.

e. The beneficial aspects of the proposed action, both short and long term.

f. The economic advantages and disadvantages of the proposed action.

6. A discussion of the measures being considered to minimize the harm or enhance the beneficial environmental effects of the proposed action.

The discussion may include alternative designs or construction methods, alternative management actions, or other alternatives such as replacement, restoration or compensation.

7. The names and qualifications of the persons primarily responsible for preparing the document or significant supporting background papers, including basic components of the DEIS and FEIS.

(b) In addition to the contents required under par. (a), the DEIS shall also include the identification of the preferred alternative, if any.

(c) In addition to the contents required under par. (a), the FEIS shall also incorporate the comments received during the DEIS and subsequent hearing processes. A response shall be made to each environmental issue identified in the comments and not addressed in the DEIS. The response shall include a discussion of the environmental issue, including the identification of the efforts to resolve the issue and the commitments to specific measures to mitigate adverse impacts and enhance beneficial effects.

(4) EA AND FONSI CONTENT. (a) The EA and FONSI may be completed on screening sheets developed by the department, and shall include all of the following:

1. Stimulation of secondary environmental effects.
2. Creation of a new environmental effect.
3. Impacts on geographically scarce resources.
4. Precedent-setting nature of the proposed action.
5. The degree of controversy associated with the proposed action.
6. Conflicts with official agency plans or local, state, or national policies, including conflicts resulting from potential effects of transportation on land use and land use on transportation demand.
7. Cumulative environmental impacts of repeated actions of the type proposed.

8. Foreclosure of future options.
9. Direct or indirect impacts on ethnic or cultural groups.

(b) In addition to the contents required under par. (a), the FONSI shall also include the following:

1. A specific finding that the proposed action is not a major action.
2. Documentation showing permit or coordinating agency approval when the FONSI serves as the vehicle for such approval.

(5) ER CONTENT. The ER shall reflect compliance with the applicable laws and regulations of other agencies, and shall include all of the following:

- (a) A description of the proposed action.
- (b) The purpose and need of the proposed action.
- (c) A brief description of the preferred alternative and the other alternatives under consideration.

(d) The reasons for eliminating any of the alternatives from further consideration.

(e) A summary of the status and results of agency coordination and public involvement.

(f) A brief summarization of environmental, social and economic issues relevant to the proposed action including the use of prescribed construction-related methods or special contract provisions or land acquisitions that would be used to ensure that no significant adverse environmental effects or controversies developed.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

Trans 400.11 Distribution and review of environmental documents. (1) SEE. (a) *Public availability of SEE*. When required, a SEE shall be prepared as an integral element of system plans. The system plan and SEE shall be made available for public inspection at the department's central office, appropriate department district offices, and depository libraries.

(b) *Notice of availability of a SEE*. A notice of availability of a system plan and its SEE shall be published in the official state newspaper and other newspapers, as deemed appropriate. The notice may be combined with a notice of opportunity for a public hearing on the system plan. The notice shall:

1. Briefly describe the plan.
2. List the locations where the plan and its SEE may be reviewed.
3. Invite the public to furnish comments on the plan and the SEE.
4. Indicate where comments are to be sent and their due date.

(c) *Public hearing*. A public hearing on a system plan and its SEE shall be held by the department, except there is no requirement for a two-step, draft and final SEE because the planning process contemplates that if the plan recommendations are implemented, there will be subsequent project or site-specific environmental reviews.

(2) LEIS. In the case of a departmental report or recommendation on a department-initiated proposal for legislation that contains major and significant new proposals that are not within the scope of any categorical exclusion, the department shall prepare a LEIS substantially following the guidelines of the United States council on environmental quality in 40 CFR § 1506.8, July 1, 1990. This includes transmission of the LEIS to the legislature concurrent with or within 30 days after the legislative proposal is submitted to the legislature, provided that the LEIS must be available in time for legislative hearings and deliberations, and 5 days in advance. There is no scoping requirement and the statement shall be prepared in the same manner as a DEIS, but shall be considered the detailed statement required by s. 1.11 (2) (c), Stats. Any comments on the LEIS shall be given to the department which shall forward them along with its own responses to the legislative committees with jurisdiction.

(3) DEIS. (a) *Printing and distribution of DEIS*. Printing of the DEIS shall be the responsibility of the preparer. Sufficient quantities of the DEIS shall be printed to meet distribution requirements. The DEIS shall be distributed to the following:

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1. The office of the governor.
2. Local, state and federal governmental agencies having special expertise, interest or jurisdiction.
3. Regional and county planning agencies within the area of the proposed action.
4. Public officials, interest groups and members of the public having the potential to be directly affected by the proposed action and requesting a copy of the DEIS. A charge may be assessed to cover reproduction and handling costs.
5. Offices of the department located in the vicinity of the proposed action and at the department's central office.
6. Public libraries:
  - a. For proposals having local importance, the nearest public library. In addition, a request shall be made to an appropriate public official to make the document available in a public place.
  - b. For proposals having regional importance, public libraries with a geographic distribution which provides public access without undue travel.
  - c. For proposals having statewide interest, public libraries providing reasonable access for members of the public who would be potentially affected by such proposals.

(b) *Notice of availability of DEIS.* A notice of availability of the DEIS shall be published in the appropriate official local newspaper or in a newspaper with general circulation within the area affected by the proposed action. If the proposed action is of statewide interest, such notice shall also be published in the official state newspaper. Such notice shall include:

1. A brief description of the proposed action.
2. A brief description of the administrative procedures to be followed.
3. The date by which comments on the DEIS must be submitted to the department.
4. The locations where copies of the DEIS are available for review.

(4) *FEIS.* The FEIS shall be printed and distributed, and a notice of availability of the FEIS shall be published in the same manner as provided for a DEIS under sub. (3), except that the decision to proceed with the proposed action and to sign the ROD shall not be made sooner than 30 days after the date of publication of the notice of availability of the FEIS or 90 days after the date of publication of the notice of availability of the DEIS.

(5) *EA.* (a) *Public availability of EA.* The EA shall be made available for public inspection at the department's central office, the appropriate department district office, and the office of the local unit of government having requested the proposed action. A charge may be assessed to cover reproduction and handling costs for requested copies of the EA or portions thereof.

(b) *Notice of availability of EA.* A notice of availability of the EA shall be published in the appropriate official local newspaper or in a newspaper of general circulation within the area affected by the proposed action. If the proposed action is of statewide interest, the notice shall also be published in the official state newspaper. The notice may be combined with the notice of opportunity for public hearing provided for under par. (c). The notice shall:

1. Briefly describe the proposed action.
2. Announce the completion and availability of the EA.
3. List the locations where the EA may be inspected.
4. Invite the public to furnish written comments on the proposed action.
5. Indicate where comments are to be sent and that such comments must be submitted within 30 days of the publication date of the notice.

(c) *Notice of opportunity for public hearing on EA.* A notice of opportunity for public hearing shall be published when the EA is completed and made available for inspection as provided for under par. (a). Publication of the notice shall be in the appropriate official local newspaper or in a newspaper of general circulation within the area affected by the proposed action. Publication shall also be in the official state newspaper if the proposed action is of statewide interest. The notice shall invite submission of requests for a public hearing on the EA within 30 days after the date of publication of the notice. The notice shall include a description of the procedure for requesting a public hearing.

(6) *FONSI.* The FONSI shall be made available by the department to participating local units of government and to the public upon request. A notice of availability shall not be required for a FONSI. A charge may be assessed to cover reproduction and handling costs for requested copies of the FONSI or portions thereof.

(7) *ER.* The ER shall upon request be made available for inspection at the department's central office, the appropriate department district office, and the office of the local unit of government having requested the proposed action. A notice of availability shall not be required for an ER. A charge may be assessed to cover reproduction and handling costs for requested copies of the ER.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

**Trans 400.12 Public hearings.** (1) **PUBLIC HEARING ON SEE.** The department shall hold a public hearing on a system plan and its SEE no sooner than 15 days after its notice of public hearing. The public hearing shall be held after announcement of the public hearing and the identity of the system plan and its SEE shall be referenced in the public hearing announcement.

(2) **NO PUBLIC HEARING ON LEIS.** As provided in s. 1.11 (2) (d), Stats., no public hearing is required on environmental impact statements on reports or recommendations on proposals for legislation.

(3) **PUBLIC HEARING ON DEIS.** (a) Whenever a proposed action requires an EIS, the department shall hold a public hearing on the DEIS no sooner than 15 days after its notice of availability is published. The hear-

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ing shall be held prior to the determination of the recommended course of action for the proposal.

(b) A notice of public hearing shall be published, at least 15 days prior to the hearing, in the appropriate official local newspaper or in a newspaper of general circulation within the area affected by the proposed action. If the proposed action is of statewide interest, such notice shall also be published in the official state newspaper and any other newspapers as appropriate to obtain comprehensive coverage. Copies of the notice shall be mailed to appropriate local, state and federal agencies and to others having an interest in the proceedings of the proposed action. The notice of public hearing shall include:

1. Identification of the DEIS.
2. Date, time and place of the hearing.
3. A brief description of the proposed action.
4. A brief description of the scope and purpose of the hearing.
5. The address to which questions may be sent prior to the hearing and locations where additional information may be obtained.
6. Provision for submitting written statements in place of, or in addition to, testimony presented at the public hearing.
7. The locations where the DEIS may be obtained or reviewed.

(c) The public hearing may be combined with other hearings and notices of hearings required for departmental actions, provided the requirements under pars. (a) and (b) are met.

(4) **PUBLIC HEARING ON EA.** A public hearing on an EA may be held by the department if a request for such a hearing is received by the department within the time specified in the notice of opportunity for a public hearing provided for under s. Trans 400.11 (5) (c). Whenever the department approves a timely request for a public hearing under this subsection, the department shall proceed in the same manner as provided for a public hearing on a DEIS under sub. (3), except that the public hearing shall be held no sooner than 15 days after publication of the public hearing notice and the identity of the EA shall be referenced in the public hearing notice.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

**Trans 400.13 Decision on proposed action. (1) FEIS; RECORD OF DECISION.** (a) The department shall complete and sign a record of decision no sooner than 30 days after the date of publication of the notice of availability of the FEIS provided for under s. Trans 400.11 (4).

b) The record of decision shall contain the following information:

1. A statement of the decision.
2. Identification of all alternatives considered by the department in reaching its decision, specifying which one is considered environmentally preferable.

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3. A statement indicating that all practicable means to avoid or mitigate environmental harm have been adopted, and if not so adopted, a statement specifying the reasons for not adopting all such means.

(2) EA; FINDING OF NO SIGNIFICANT IMPACT. (a) The decision to revise an EA to constitute a FONSI shall not be made until after the end of the 30-day period specified in the notice of availability of the EA provided for under s. Trans 400.11 (5) (b).

(b) If potentially significant impacts have not been identified, the department shall revise the EA as appropriate and shall attach a summary of the public hearing, if a hearing was held, and a summary of any comments received and responses thereto. These items, along with a statement of no significant impact, shall constitute the FONSI and the record of decision.

(c) If, at any point in the EA process, the department determines that the proposed action may have a significant impact on the quality of the human environment, an EIS shall be prepared.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

Trans 400.14 Deis and feis reevaluation and supplement. (1) DEIS. (a) A reevaluation of a DEIS shall be prepared if 3 years have elapsed before the date of publication of the notice of availability of the FEIS provided for under s. Trans 400.11 (4). A reevaluation of a DEIS shall also be prepared any time prior to the date of publication of the notice of availability of the FEIS if, in the judgment of the department, there have been significant changes in the proposed action, the affected human environment, the anticipated environmental impacts or the proposed mitigation measures. If in either case the reevaluation indicates or confirms any such significant changes, a supplemental DEIS shall be prepared. The supplemental DEIS shall be prepared and processed in the same manner as a DEIS under this chapter. Preparation of the supplemental DEIS shall not require withdrawal of previous approvals for those aspects of the proposed action not directly affected by the changed condition or new information.

(b) An EA may be used to assess the need to prepare a supplemental DEIS if it is uncertain that significant changes in the proposed action, the affected human environment, the anticipated environmental impacts or proposed mitigation measures will result in significant environmental impacts which could not be identified from preparing a reevaluation of the DEIS. The EA shall be prepared and processed in accordance with the requirements of this chapter. Preparation of the EA shall not require withdrawal of previous approvals for those aspects of the proposed action not directly affected by the changed condition or new information.

(2) FEIS. (a) A reevaluation of a FEIS shall be prepared any time there have been, in the judgment of the department, significant changes in the proposed action, the affected human environment, the anticipated environmental impacts or the proposed mitigation measures. If the reevaluation confirms any such significant changes, a supplemental FEIS shall be prepared. The supplemental FEIS shall be prepared and processed in the same manner as a FEIS under this chapter. Preparation of the supplemental FEIS shall not require withdrawal of previous approvals for those aspects of the proposed action not directly affected by the changed condition or new information.

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(b) An EA may be used to assess the need to prepare a supplemental FEIS if it is uncertain that significant changes in the proposed action, the affected human environment, the anticipated environmental impacts or proposed mitigation measures will result in significant environmental impacts which could not be identified from preparing a reevaluation of the FEIS. The EA shall be prepared and processed in accordance with the requirements of this chapter. Preparation of the EA shall not require withdrawal of previous approvals for those aspects of the proposed action not directly affected by the changed condition or new information.

History: Cr. Register, April, 1992, No. 436, eff. 5-1-92.

#### APPENDIX I

##### Federal Regulations and Procedures Adopted by the Wisconsin Department of Transportation

###### United States Council on Environmental Quality 7-1-90

40 CFR § 1500.4	Reducing paperwork
40 CFR § 1500.5	Reducing delay
40 CFR § 1506.8	Proposals for legislation
40 CFR § 1508.4	Categorical exclusion
40 CFR § 1508.17	Legislation

###### United States Department of Transportation

Federal Highway Administration and Urban Mass Transit Administration 4-1-91	
23 CFR § 771.117	Categorical exclusions
Federal Aviation Administration 10-8-85	
Order 5050.4A,	Categorical exclusions
Chapter 3, paragraph 23	

UNITED STATES COUNCIL ON  
ENVIRONMENTAL QUALITY

7-1-90

40 CFR § 1500.4

## § 1502.4 Reducing paperwork.

Agencies shall reduce excessive paperwork by:

- (a) Reducing the length of environmental impact statements (§ 1502.2(c)), by means such as setting appropriate page limits (§§ 1501.3(b)(1) and 1502.7).
- (b) Preparing analytic rather than encyclopedic environmental impact statements (§ 1502.2(a)).
- (c) Discussing only briefly issues other than significant ones (§ 1502.2(b)).
- (d) Writing environmental impact statements in plain language (§ 1502.8).
- (e) Following a clear format for environmental impact statements (§ 1502.10).
- (f) Emphasizing the portions of the environmental impact statement that are useful to decisionmakers and the public (§§ 1502.14 and 1502.15) and reducing emphasis on background material (§ 1502.16).
- (g) Using the scoping process, not only to identify significant environmental issues deserving of study, but also to deemphasize insignificant issues, narrowing the scope of the environmental impact statement process accordingly (§ 1501.7).
- (h) Summarizing the environmental impact statement (§ 1502.12) and circulating the summary instead of the entire environmental impact statement if the latter is unusually long (§ 1502.19).
- (i) Using program, policy, or plan environmental impact statements and tiering from statements of broad scope to those of narrower scope, to eliminate repetitive discussions of the same issues (§§ 1502.4 and 1502.20).
- (j) Incorporating by reference (§ 1502.21).
- (k) Integrating NEPA requirements with other environmental review and consultation requirements (§ 1502.25).
- (l) Requiring comments to be as specific as possible (§ 1503.3).

(m) Attaching and circulating only changes to the draft environmental impact statement, rather than rewriting and circulating the entire statement when changes are minor (§ 1503.4(e)).

(n) Eliminating duplication with State and local procedures, by providing for joint preparation (§ 1504.2), and with other Federal procedures, by providing that an agency may adopt appropriate environmental documents prepared by another agency (§ 1508.3).

(o) Combining environmental documents with other documents (§ 1506.4).

(p) Using categorical exclusions to define categories of actions which do not individually or cumulatively have a significant effect on the human environment and which are therefore exempt from requirements to prepare an environmental impact statement (§ 1508.4).

(q) Using a finding of no significant impact when an action not otherwise excluded will not have a significant effect on the human environment and is therefore exempt from requirements to prepare an environmental impact statement (§ 1508.13).

(42 FR 8599, Nov. 29, 1978, 44 FR 878, Jan. 3, 1979)

**§ 1500.5 Reducing delay.**

Agencies shall reduce delay by:

(a) Integrating the NEPA process into early planning (§ 1501.2).

(b) Emphasizing interagency cooperation before the environmental impact statement is prepared, rather than submission of adversary comments on a completed document (§ 1501.9).

(c) Insuring the swift and fair resolution of lead agency disputes (§ 1501.5).

(d) Using the scoping process for an early identification of what are and what are not the real issues (§ 1501.7).

(e) Establishing appropriate time limits for the environmental impact statement process (§§ 1501.7(b)(2) and 1501.8).

(f) Preparing environmental impact statements early in the process (§ 1502.5).

(g) Integrating NEPA requirements with other environmental review and consultation requirements (§ 1502.23).

(h) Eliminating duplication with State and local procedures by providing for joint preparation (§ 1506.2) and with other Federal procedures by providing that an agency may adopt appropriate environmental documents prepared by another agency (§ 1504.3).

(i) Combining environmental documents with other documents (§ 1506.4).

(j) Using accelerated procedures for proposals for legislation (§ 1506.8).

(k) Using categorical exclusions to define categories of actions which do not individually or cumulatively have a significant effect on the human environment (§ 1508.4) and which are therefore exempt from requirements to prepare an environmental impact statement.

(l) Using a finding of no significant impact when an action not otherwise excluded will not have a significant effect on the human environment (§ 1508.13) and is therefore exempt from requirements to prepare an environmental impact statement.

§ 1506.8 Proposal for legislation.

(a) The NEPA process for proposals for legislation (§ 1503.17) significantly affecting the quality of the human environment shall be integrated with the legislative process of the Congress. A legislative environmental impact statement is the detailed statement required by law to be included in a recommendation or report on a legislative proposal to Congress. A legislative environmental impact statement shall be considered part of the formal transmittal of a legislative proposal to Congress; however, it may be transmitted to Congress up to 30 days later in order to allow time for completion of an accurate statement which can serve as the basis for public and Congressional debate. The statement must be available in time for Congressional hearings and deliberations.

(b) Preparation of a legislative environmental impact statement shall conform to the requirements of these regulations except as follows:

(1) There need not be a scoping process.

(2) The legislative statement shall be prepared in the same manner as a draft statement, but shall be considered the "detailed statement" required by statute. *Provided*, That when any of the following conditions exist both the draft and final environmental impact statement on the legislative proposal shall be prepared and circulated as provided by §§ 1503.1 and 1504.10.

(i) A Congressional Committee with jurisdiction over the proposal has a rule requiring both draft and final environmental impact statements.

(ii) The proposal results from a study process required by statute (such as those required by the Wild and Scenic Rivers Act (16 U.S.C. 1271 *et seq.*) and the Wilderness Act (16 U.S.C. 1131 *et seq.*).

(iii) Legislative approval is sought for Federal or federally assisted construction or other projects which the agency recommends be located at specific geographic locations. For proposals requiring an environmental impact statement for the acquisition of space by the General Services Administration, a draft statement shall accompany the Prospectus or the 11(b) Report of Building Project Surveys to the Congress, and a final statement shall be completed before site acquisition.

(iv) The agency decides to prepare draft and final statements.

(c) Comments on the legislative statement shall be given to the lead agency which shall forward them along with its own responses to the Congressional committees with jurisdiction.

**§ 1508.4 Categorical exclusion.**

"Categorical exclusion" means a category of actions which do not individually or cumulatively have a significant effect on the human environment and which have been found to have no such effect in procedures adopted by a Federal agency in implementation of these regulations (§ 1507.3) and for which, therefore, neither an environmental assessment nor an environmental impact statement is required. An agency may decide in its procedures or otherwise, to prepare environmental assessments for the reasons stated in § 1508.9 even though it is not required to do so. Any procedures under this section shall provide for extraordinary circumstances in which a normally excluded action may have a significant environmental effect.

UNITED STATES COUNCIL ON  
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7-1-90

40 CFR § 1508.17

§ 1508.17 Legislation.

"Legislation" includes a bill or legislative proposal to Congress developed by or with the significant cooperation and support of a Federal agency, but does not include requests for appropriations. The test for significant cooperation is whether the proposal is in fact predominantly that of the agency rather than another source. Drafting does not by itself constitute significant cooperation. Proposals for legislation include requests for ratification of treaties. Only the agency which has primary responsibility for the subject matter involved will prepare a legislative environmental impact statement.

FEDERAL HIGHWAY ADMINISTRATION  
AND URBAN MASS TRANSIT ADMINISTRATION

4-1-91

23 CFR § 771.117

## § 771.117 Categorical exclusions.

(a) Categorical exclusions (CEs) are actions which meet the definition contained in 40 CFR 1508.4, and, based on past experience with similar actions, do not involve significant environmental impacts. They are actions which do not induce significant impacts to planned growth or land use for the area; do not require the relocation of significant numbers of people; do not have a significant impact on any natural, cultural, recreational, historic or other resource; do not involve significant air, noise, or water quality impacts; do not have significant impacts on travel patterns; or do not otherwise, either individually or cumulatively, have any significant environmental impacts.

(b) Any action which normally would be classified as a CE but could involve unusual circumstances will require the Administration, in cooperation with the applicant, to conduct appropriate environmental studies to determine if the CE classification is proper. Such unusual circumstances include:

- (1) Significant environmental impacts;
- (2) Substantial controversy on environmental grounds;
- (3) Significant impact on properties protected by section 4(f) of the EOT Act or section 105 of the National Historic Preservation Act; or
- (4) Inconsistencies with any Federal, State, or local law, requirement or administrative determination relating to the environmental aspects of the action.

(c) The following actions meet the criteria for CEs in the CEQ regulation (section 1508.4) and § 771.117(b) of this regulation and normally do not require any further NEPA approvals by the Administration:

- (1) Activities which do not involve or lead directly to construction, such as planning and technical studies; grants for training and research programs; research activities as defined in 23 U.S.C. 307; approval of a unified work program and any findings required in the planning process pursuant to 23 U.S.C. 134; approval of statewide programs under 23 CFR part 630; approval of project concepts under 23 CFR part 416; engineering to define the elements of a proposed action or alternatives so that social, economic, and environmental effects can be assessed, and Federal-aid system revisions which establish classes of highways on the Federal-aid highway system.

(2) Approval of utility installations along or across a transportation facility.

(3) Construction of bicycle and pedestrian lanes, paths, and facilities.

(4) Activities included in the State's highway safety plan under 23 U.S.C. 402.

(5) Transfer of Federal lands pursuant to 23 U.S.C. 317 when the subsequent action is not an FHWA action.

(6) The installation of noise barriers or alterations to existing publicly owned buildings to provide for noise reduction.

(7) Landscaping.

(8) Installation of fencing, signs, pavement markings, small passenger shelters, traffic signals, and railroad warning devices where no substantial land acquisition or traffic disruption will occur.

(9) Emergency repairs under 23 U.S.C. 125.

(10) Acquisition of scenic easements.

(11) Determination of payback under 23 CFR part 430 for property previously acquired with Federal-aid participation.

(12) Improvements to existing rest areas and truck weight stations.

(13) Ridesharing activities.

(14) Bus and rail car rehabilitation.

(15) Alterations to facilities or vehicles in order to make them accessible for elderly and handicapped persons.

(16) Program administration, technical assistance activities, and operating assistance to transit authorities to continue existing service or increase service to meet routine changes in demand.

(17) The purchase of vehicles by the applicant where the use of these vehicles can be accommodated by existing facilities or by new facilities which themselves are within a CE.

(18) Track and railbed maintenance and improvements when carried out within the existing right-of-way.

(19) Purchase and installation of operating or maintenance equipment to be located within the transit facility and with no significant impacts off the site.

(20) Promulgation of rules, regulations, and directives.

(d) Additional actions which meet the criteria for a CE in the CEQ regulation (40 CFR 1508.4) and paragraph (a) of this section may be designated as CEs only after Administration approval. The applicant shall submit documentation which demonstrates that the specific conditions or criteria for these CEs are satisfied and that significant environmental effects will

not result. Examples of such actions include but are not limited to:

- (1) Modernization of a highway by resurfacing, restoration, rehabilitation, reconstruction, adding shoulders, or adding auxiliary lanes (e.g., parking, weaving, turning, climbing).
- (2) Highway safety or traffic operations improvement projects including the installation of ramp metering control devices and lighting.
- (3) Bridge rehabilitation, reconstruction or replacement or the construction of grade separation to replace existing at-grade railroad crossings.
- (4) Transportation corridor fringe parking facilities.
- (5) Construction of new truck weigh stations or rest areas.
- (6) Approvals for disposal of excess right-of-way or for joint or limited use of right-of-way, where the proposed use does not have significant adverse impacts.
- (7) Approvals for changes in access control.
- (8) Construction of new bus storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning and located on or near a street with adequate capacity to handle anticipated bus and support vehicle traffic.
- (9) Rehabilitation or reconstruction of existing rail and bus buildings and ancillary facilities where only minor amounts of additional land are required and there is not a substantial increase in the number of users.
- (10) Construction of bus transfer facilities (an open area consisting of passenger shelters, boarding areas, kiosks and related street improvements) when located in a commercial area or other high activity center in which there is adequate street capacity for protected bus traffic.
- (11) Construction of rail storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning and where there is no significant noise impact on the surrounding community.

- (12) Acquisition of land for hardship or protective purposes; advance land acquisition loans under section 3(b) of the UMT Act.<sup>3</sup> Hardship and protective buying will be permitted only for a particular parcel or a limited number of parcels. These types of land acquisition qualify for a CE only where the acquisition will not limit the evaluation of alternatives, including shifts in alignment for planned construction projects, which may be required in the NEPA process. No project development on such land may proceed until the NEPA process has been completed.
  - (e) Where a pattern emerges of granting CE status for a particular type of action, the Administration will initiate rulemaking proposing to add this type of action to the list of categorical exclusions in paragraph (c) or (d) of this section, as appropriate.
- (52 FR 33860, Aug. 23, 1987; 53 FR 11068, Apr. 5, 1988)

<sup>3</sup> Hardship acquisition is early acquisition of property by the applicant at the property owner's request to alleviate particular hardship to the owner, in contrast to others, because of an inability to sell his property. This is justified when the property owner can document on the basis of health, safety or financial reasons that retaining in the property poses an undue hardship compared to others. Protective acquisition is done to prevent imminent development of a parcel which is needed for a proposed transportation corridor or site. Documentation must clearly demonstrate that development of the land would preclude future transportation use and that such development is imminent. Advance acquisition is not permitted for the sole purpose of reducing the cost of property for a proposed project.



10/8/85

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23. CATEGORICAL EXCLUSIONS.

a. Unless specifically covered by paragraphs 21, 22, 24, or 26, the items below are categorically excluded from the requirement for formal environmental assessment. Paragraphs 21 and 22 identify specific airport actions such as major runway extensions which require, as a minimum, an environmental assessment. Paragraph 24 identifies extraordinary circumstances which create a requirement for environmental assessment of actions otherwise excluded. Paragraph 26 deals with cumulative impact. For any of the following specific items, paragraphs 21, 22, 24, and 26 shall be reviewed.

(1) Runway, taxiway, apron, or loading ramp construction or repair work including extension, strengthening, reconstruction, resurfacing, marking, grooving, filllets and jet blast facilities, and new heliports on existing airports, except where such action will create environmental impacts off airport property.

(2) Installation or upgrading of airfield lighting systems, including runway end identification lights, visual approach aids, beacons and electrical distribution systems.

(3) Installation of miscellaneous items including segmented circles, wind or landing direction indicators or measuring devices, or fencing.

(4) Construction or expansion of passenger handling facilities.

(5) Construction, relocation or repair of entrance and service roadways.

(6) Grading or removal of obstructions on airport property and erosion control actions with no off-airport impacts.

(7) Landscaping generally, and landscaping or construction of physical barriers to diminish impact of airport blast and noise.

(8) Projects to carry out noise compatibility programs.

(9) Land acquisition and relocation associated with any of the above items.

(10) Federal release of airport land (see paragraph 35).

(11) Removal of a displaced threshold.

b. The following items are not subject to the paragraphs listed in a. above and are categorically excluded:

(1) Acquisition of an existing privately owned airport, as long as acquisition only involves change of ownership.

(2) Acquisition of: security equipment required by rule or regulation for the safety or security of personnel and property on the airport (14 CFR Part 107), safety equipment required by rule or regulation for certification of an airport (14 CFR Part 139) or snow removal equipment.

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- (3) Issuance of airport planning grants.
- (4) Airport Improvement Program actions which are tentative and conditional and clearly taken as a preliminary action to establish a sponsor's eligibility under the Program.
- (5) Retirement of the principal of bond or other indebtedness for terminal development.
- (6) Issuance of airport policy and planning documents including the National Plan of Integrated Airport Systems (NPIAS); Airport Improvement Program (AIP) priority system, advisory circulars on planning, design, and development programs which are not intended for direct implementation or which are issued by FAA as administrative and technical guidance to the public.
- (7) Issuance of certificates and related actions under the Airport Certification Program (14 CFR Part 139).
- (8) Issuance of grants for preparation of noise exposure maps and noise compatibility programs per sections 103(a) and 104(a) of the Aviation Safety and Noise Abatement Act of 1979 and 14 CFR Part 150 determinations on noise exposure maps and approval of noise compatibility programs.
- (9) Airspace determinations (see paragraph 25, Advisory Actions).