Chapter 5: Categorical Exclusion (Class II)

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5. **CATEGORICAL EXCLUSION (CLASS II)**

This chapter discusses the Colorado Department of Transportation (CDOT) process and procedures for the Categorical Exclusion (CatEx) class of action (Class II). Chapters 4 and 6 address the other classes of action, Class I - Environmental Impact Statement (EIS) and Class III - Environmental Assessment (EA), respectively. Most of this chapter refers to the Federal Highway Administration’s (FHWA) process for CatExs. Chapter 10 discusses the Federal Transit Administration’s (FTA) process, which is somewhat different.

5.1 **Introduction**

CatExs, the most common National Environmental Policy Act (NEPA) class of action, are for actions that do not individually or cumulatively have a significant environmental impact and are excluded from the requirement to prepare an EA or an EIS. CatExs are activities that previous experience has shown do not involve significant environmental impacts. CatExs have several guiding regulations, including:

- Council on Environmental Quality (CEQ) through 40 CFR 1508.4
- 23 CFR 771.117 FHWA CatExs
- 23 CFR 771.117 FTA CatExs
- *Programmatic Agreement between the Federal Highway Administration, Colorado Division and the Colorado Department of Transportation Regarding the Processing of Actions Classified as Categorical Exclusions for Federal-Aid Highway Projects*, CDOT CatEx Agreement, June 2017

The regulations describe activities that are CatExs (23 CFR § 771.117), as well as unusual circumstances that would preclude an action from being classified as a CatEx.

As identified in 23 CFR § 771.117(a), CatExs are actions that:

- 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
- Do not otherwise, either individually or cumulatively, have any significant environmental impacts


According to CFR 23 § 771.117(b), any action that would normally be classified as a CatEx, but could involve unusual circumstances, will require the FHWA, in cooperation with the applicant, to conduct appropriate environmental studies to determine if the CatEx classification is proper. Unusual circumstances include:

- Significant environmental impacts;
- Substantial controversy on environmental grounds;
- Significant impact on properties protected by Section 4(f) of the DOT Act or Section 106 of the National Historic Preservation Act; or
- Inconsistencies with any federal, state, or local law, requirements, or administrative determination relating to the environmental aspects of the action.

CatExs require no major federal action and have impacts that are generally well-understood. Because CatEx projects have no significant impacts on the environment, NEPA requirements are significantly less stringent than those for an EA or an EIS. For example, public involvement and alternatives analysis are not explicitly required, and the level of documentation for FHWA approval is greatly reduced. Although public involvement is not explicitly required for a Programmatic or Non-Programmatic CatEx, it is recommended to have some sort of public involvement at least for those CatExs that include some right-of-way acquisition, construction impacts, road closures or detours, etc. Although a project may not have significant impacts, a large amount of public controversy can require preparation of an EA or an EIS as appropriate.

Classifying a project as a CatEx does not exempt it from other federal or state environmental requirements. All applicable environmental requirements including, but not limited to, consultation pursuant to Section 7 of the Endangered Species Act or Section 106 of the National Historic Preservation Act, must be completed before FHWA or CDOT make the CatEx determination. Documentation is required to record the rationale for decision-making on projects that are categorically excluded from further consideration under the NEPA process. Section 2.2.3 of this Manual discusses when NEPA applies to a project.

FHWA regulations (FHWA 23 CFR § 771.117) contain two lists of CatExs:

- **Programmatic CatEx** - These standard actions routinely occur in CDOT’s operations and maintenance of facilities and have previously been programatically approved by FHWA and can be processed internally by CDOT. Programmatic categories include several lists of project types:
  - C list CatExs from 23 CFR 771.117(c)
  - D list CatExs from 23 CFR 771.117(d)

- **Non-Programmatic CatEx** - These actions are often non-routine, require analysis to determine if significant environmental effects will not result to remain as a CatEx, and require additional FHWA review. To expedite and streamline the environmental process and to reduce paperwork for programmatic CatExs, CDOT and FHWA developed a CDOT CatEx Agreement (June 2017). The CDOT CatEx Agreement Types of CatExs
- Programmatic CatEx
- Non-Programmatic CatEx

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**March 2020**
provides expeditious processing of CatEx level actions by CDOT under the guidance and with the approval of FHWA. Evaluation criteria still must be met to proceed as a Programmatic CatEx, which is further discussed in Section 5.3.1.

5.2   CatExs and Recent Guidance

In December 2015, the Fixing America’s Surface Transportation Act or “FAST Act” was signed into law. A major theme of the FAST Act is to accelerate overall project delivery. Two items may impact CatExs:

- **Railroad rights-of-way (Subtitle E: Section 11504)** - Requires USDOT to propose an exemption from the historic preservation requirement to assess and address potential impacts on most railroad right-of-way, like the CatEx exemption granted to interstate highways in 2005.
- Allows the use of programmatic agreements to process CatExs as a group, rather than case by case or project by project. For example, there may be economies of scale to deliver multiple bridge replacements at one time.

In July 2012, the Moving Ahead for Progress in the 21st Century Act (MAP-21) was signed into law. MAP-21 authorized the funding of surface transportation programs for federal fiscal years 2013, 2014, and 2015 extensions. MAP-21 was the first long-term highway authorization enacted since the 2005 Safe Accountable Flexible Transportation Equity Act – A Legacy for Users (SAFETEA-LU).

MAP-21 enacted several new CatEx categories, including:

- Application of CatExs for Multimodal Projects
- CatExs in Emergencies
- CatExs for Projects within the Right-of-Way
- Programmatic Agreements and Additional CatExs

Because guidance for CatExs periodically changes, check the most current guidance posted on CDOT’s website (as described in this Manual).

5.3   Programmatic CatEx Projects

The CDOT CatEx Agreement expedites the processing of programmatic CatEx level actions that meet specific criteria. These actions do not require further NEPA approvals by FHWA or FHWA signature.

5.3.1 Programmatic CatEx Criteria

As part of the CDOT CatEx Agreement, a CatEx Criteria List has been developed (Table 5-1). Should any of the questions be answered in the positive (yes), the project may not proceed as a Programmatic CatEx and should proceed as a Non-Programmatic CatEx (see Section 5.4).
**Table 5-1  Example CatEx Criteria List**

If the project is Category C26, C27, or C28, exceeding any of the starred criteria would require that Category D13 be used instead.

<table>
<thead>
<tr>
<th>Resource</th>
<th>Project Name</th>
<th>Environmental Project Manager</th>
<th>Project Number</th>
<th>Date Checklist Completed</th>
<th>Impacts from Project</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
<td>Yes</td>
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<tr>
<td>1</td>
<td>Through Lanes: Results in capacity expansion of a roadway by addition of through lanes;</td>
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<tr>
<td>2</td>
<td>Right of Way*: Involves acquisitions (fee simple) of more than a minor amount of right-of-way. A minor amount of right-of-way is defined as not more than 10% of any adjacent parcels for transportation related facilities (e.g. rest areas, intersections, maintenance yards) (Note: This requirement does not apply to “perfection of title for ROW” projects under 23 CFR 771.117(c)(5));</td>
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<td>3</td>
<td>Displacements: Involves acquisitions that result in any residential or non-residential displacements;</td>
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<tr>
<td>4</td>
<td>Early Acquisition: Includes acquisition of land for hardship or protective purposes, or early acquisition pursuant to Federal acquisition project (23 U.S.C. § 108(c));</td>
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<tr>
<td>5</td>
<td>Section 404 Permit*: Requires a U.S. Army Corps of Engineers Section 404 (33 U.S.C. § 1344) permit other than a Nationwide Permit or a Regional General Permit;</td>
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<td>6</td>
<td>Bridge Permit*: Requires a U.S. Coast Guard bridge permit (33 U.S.C. § 401);</td>
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<td>7</td>
<td>Historic Properties*: Results in a determination of adverse effect on historic properties pursuant to Section 106 the National Historic Preservation Act (54 U.S.C. § 306108);</td>
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<tr>
<td>8</td>
<td>Section 4(f)*: Requires the use of properties protected by Section 4(f) (49 U.S.C. § 303/23 U.S.C. § 138) that cannot be documented with an FHWA de minimis or exception;</td>
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<td>9</td>
<td>Section 6(f)*: Converts lands under the protection of Section 6(f) of the Land and Water Conservation Act of 1965 (54 U.S.C. § 200305), the Federal Aid in Sport Fish Restoration Act (16 U.S.C. 777-777k, 64 Stat. 430), the Federal Aid in Wildlife Restoration Act (16 U.S.C. 669-669); 50 Stat. 917), or other unique areas or special lands that were acquired in fee or easement with public-use money and have deed restrictions or covenants on the property;</td>
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<td>10</td>
<td>Endangered Species*: Requires formal consultation under Section 7 of the Endangered Species Act (16 U.S.C. 1536);</td>
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<tr>
<td>11</td>
<td>Temporary Access and Road Closures*: Involves the construction of temporary access, or the temporary closure of existing road, bridge, or ramps, that would result in major traffic disruptions, unless the use of such facilities satisfy the following conditions:</td>
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<td>a. Provisions are made for access by local traffic and so posted;</td>
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<td>b. The temporary access or closure, to the extent possible, will not interfere with any local special event or festival;</td>
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<td>c. The closure does not substantially change the environmental consequences of the action;</td>
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<td>d. There is no substantial controversy associated with the closure;</td>
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<td>12</td>
<td>Permanent Road Closures*: Involves the permanent closure of existing road, bridge, or ramps, unless the following conditions are met:</td>
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<tr>
<td></td>
<td>a. No major traffic disruptions;</td>
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<td></td>
<td>b. No adverse effects to through-traffic dependent business;</td>
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<tr>
<td></td>
<td>c. No closure that substantially changes the environmental consequences of the action;</td>
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<td></td>
<td>d. No substantial controversy associated with the closure;</td>
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<tr>
<td>Resource</td>
<td>Impacts from Project</td>
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<td></td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>13 <strong>Access Control</strong>*:</td>
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<tr>
<td>Involves changes in access control of an Interstate highway: or disposal of Interstate right-of-way (note: for C(26), (27), and (28), any change in access control of an interstate highway will require the use of D(13) instead);</td>
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<td>14 <strong>Floodplains</strong>*:</td>
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<td>Requires work encroaching on a regulatory floodway or work affecting the base floodplain (100-year flood) elevations of a water course or lake, pursuant to Executive Order 11988 and 23 CFR 650 subpart A;</td>
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<td>15 <strong>Wild and Scenic Rivers</strong>*:</td>
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<tr>
<td>Requires a Wild and Scenic River Section 7 determination from the river-administering agency. Please note that there is only one WSR river in Colorado: Cache La Poudre River in Region 4 near Fort Collins.</td>
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<td>16 <strong>Noise</strong>*:</td>
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<tr>
<td>Is defined as a “Type I project” per 23 CFR 772.5 and/or CDOT Noise Guidance and results in impacted receptors;</td>
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<tr>
<td>17 <strong>Air Quality</strong>*:</td>
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<td>Does the project require a project level air quality conformity analysis;</td>
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<td>18 <strong>Statewide Planning</strong>*:</td>
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<td>Is not included in or is inconsistent with the statewide transportation improvement program, and in applicable urbanized areas, the transportation improvement program; or</td>
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<td>19 <strong>Other Circumstances</strong>*:</td>
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<td>For situations that are atypical. (Superfund site)</td>
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</tbody>
</table>

**Description of Project and its impacts (for resources checked yes, please add description of project and assumed impacts):**
5.3.2 Programmatic CatEx Actions

Programmatic CatExs normally do not require any further NEPA approvals by FHWA.

For these actions, a Form 128 must be prepared and the CFR numbering (C1, C2, D1, D2, etc.) should be used for project tracking. If more than one programmatic CatEx category applies, the main category will be listed in the CatEx number field on CDOT Form 128, and the remaining categories will be listed in the comment box on the back part of the form. If both non-programmatic and programmatic categories apply, the project will be processed as a non-programmatic CatEx.

The following actions from 23 CFR § 771.117(c) and 23 CFR § 771.117(d) meet the criteria for CatExs in the CEQ regulation (CEQ, 40 CFR § 1508.4). Actions under these categories normally do not require any further approvals. The following types of actions are considered programmatic CatEx actions.

C1. Activities which do not involve or lead directly to construction, such as planning and research activities; grants for training 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.

C2. Approval of utility installations along or across a transportation facility

C3. Construction of bicycle and pedestrian lanes, paths, and facilities

C4. Activities included in the State's highway safety plan under 23 USC 402

C5. Transfer of Federal lands pursuant to 23 USC 317 107(d) and/or 23 USC 317 when the land transfer is in support of an action that is not otherwise subject to FHWA review under NEPA

C6. The installation of noise barriers or alterations to existing publicly owned buildings to provide for noise reduction

C7. Landscaping

C8. 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

C9. The following actions for transportation facilities damaged by an incident resulting in an emergency declared by the Governor of the State and concurred in by the secretary, or a disaster or emergency declared by the President pursuant to the Robert T. Stafford Act (42 USC 5121):

   i. Emergency repairs under 23 USC 125; and

   ii. The repair, reconstruction, restoration, retrofitting, or replacement of any road, highway, bridge, tunnel, or transit facility (such as a ferry dock or bus transfer station),
including ancillary transportation facilities (such as pedestrian/bicycle paths and bike lanes), that is in operation or under construction when damaged and the action:

A. Occurs within the existing right-of-way and in a manner that substantially conforms to the preexisting design, function, and location as the original (which may include upgrades to meet existing codes and standards as well as upgrades warranted to address conditions that have changed since the original construction); and

B. Is commenced within a 2-year period beginning on the date of the declaration.

C10. Acquisition of scenic easements

C11. Determination of payback under 23 USC 156 for property previously acquired with Federal-aid participation

C12. Improvements to existing rest areas and truck weigh stations

C13. Ridesharing activities

C14. Bus and rail car rehabilitation

C15. Alterations to facilities or vehicles in order to make them accessible for elderly and handicapped persons

C16. Program administration, technical assistance activities, and operating assistance to transit authorities to continue existing service or increase service to meet routine changes in demand

C17. 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 CatEx

C18. Track and railbed maintenance and improvements when carried out within the existing right-of-way

C19. Purchase and installation of operating or maintenance equipment to be located within the transit facility and with no significant impacts off the site

C20. Promulgation of rules, regulations, and directives

C21. Deployment of electronics, photonics, communications, or information processing used singly or in combination, or as components of a fully integrated system, to improve the efficiency or safety of a surface transportation system or to enhance security or passenger convenience. Examples include, but are not limited to, traffic control and detector devices, lane management systems, electronic payment equipment, automatic vehicle locaters, automated passenger counters, computer-aided dispatching systems, radio communications systems, radio communications systems, dynamic message signs, and security equipment including surveillance and detection cameras on roadways and in transit facilities and on buses.
C22. Projects, as defined in 23 U.S.C. 101, that would take place entirely within the existing operational right-of-way. Existing operational right-of-way refers to right-of-way that has been disturbed for an existing transportation facility or is maintained for a transportation purpose. This area includes the features associated with the physical footprint of the transportation facility (including the roadway, bridges, interchanges, culverts, drainage, fixed guideways, mitigation areas, etc.) and other areas maintained for transportation purposes such as clear zone, traffic control signage, landscaping, any rest areas with direct access to a controlled access highway, areas maintained for safety and security of a transportation facility, parking facilities with direct access to an existing transportation facility, transit power substations, transit venting structures, and transit maintenance facilities. Portions of the right-of-way that have not been disturbed or that are not maintained for transportation purposes are not in the existing operational right-of-way.

C23. Federally-funded projects:

i. That receive less than $5,000,000 (as adjusted annually by the Secretary to reflect any increases in the Consumer Price Index prepared by the Department of Labor, see www.fhwa.dot.gov or www.transit.dot.gov) of Federal funds; or

ii. With a total estimated cost of not more than $30,000,000 (as adjusted annually by the Secretary to reflect any increases in the Consumer Price Index prepared by the Department of Labor, see www.fhwa.dot.gov or www.transit.dot.gov) and Federal funds comprising less than 15 percent of the total estimated project cost

C24. Localized geotechnical and other investigation to provide information for preliminary design and for environmental analyses and permitting purposes, such as drilling test bores for soil samplings; archaeological investigations for archaeology resources assessment or similar survey; and wetland surveys. (note: Generally, these activities are done as part of project development and do not require a separate Form 128 or to be identified on the Form 128 for a project. A separate Form 128 will only be required when these activities are done as a stand-alone activity (e.g. geotechnical investigation for rockfall mitigation or archeological investigations done separately from construction projects)

C25. Environmental restoration and pollution abatement actions to minimize or mitigate the impacts of any existing transportation facility (including retrofitting and construction of stormwater treatment systems to meet federal and state requirements under sections 401 and 402 of the Federal Water Pollution Control Act (33 USC 1341; 1342) carried out to address water pollution or environmental degradation.
C26. Modernization of a highway by resurfacing, restoration, rehabilitation, reconstruction, adding shoulders, or adding auxiliary lanes (including parking, weaving, turning, and climbing) if the project meets the constraints in 23 CFR 771.117(e).

C27. Highway safety or traffic operations improvement projects, including the installation of ramp metering control devices and lighting if the project meets the constraints in 23 CFR 771.117(e).

C28. Bridge rehabilitation, reconstruction, or replacement or the construction of grade separation to replace existing at-grade railroad crossings if the project meets the constraints in 23 CFR 771.117(e).

Additional actions which meet the criteria for a CatEx in the CatEx regulations (40 CFR 1508.4), (40 CFR 771.117), and paragraph (a) of this section may be designated as CatExs only after Administration approval unless otherwise authorized under an executed agreement pursuant to paragraph (g) of this section. The applicant shall submit documentation which demonstrates that the specific conditions or criteria for these CatExs are satisfied and that significant environmental effects will not result. Examples of such actions include:

D1. [Reserved]
D2. [Reserved]
D3. [Reserved]
D4. Transportation corridor fringe parking facilities.
D5. Construction of new truck weigh stations or rest areas.
D6. 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 (non-Interstate).
D7. Approvals for changes in access control
D8. 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.
D9. Rehabilitation or reconstruction of existing rail and bus buildings and ancillary buildings where only minor amounts of additional land are required and where there is not a substantial increase in the number of users.
D10. 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 projected bus traffic.
D11. 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.

D12. Acquisition of land for hardship or protective purposes. 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 CatEx 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.

a. 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 remaining in the property poses an undue hardship compared to others.

b. Protective acquisition is done to prevent imminent development of a parcel which may be 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.

D13. Actions described in 23 CFR 771.117 paragraphs (c)(26), (c)(27), and (c)(28) that do not meet the constraints in 23 CFR 771.117(e).

As part of every CatEx, the CatEx Criteria List should be completed as shown in Table 5-1. Should any of the answers to the questions be yes, then the project cannot proceed as a Programmatic CatEx. The CatEx Criteria List is a required piece of each project file for every CatEx.

5.3.3 Programmatic CatEx Process

The CDOT CatEx Agreement establishes that CDOT, under certain circumstances, can determine on behalf of FHWA whether a project qualifies for a CatEx action specifically listed in 23 CFR 771.117. CDOT is also authorized to certify to FHWA that an action that cannot be approved on behalf of FHWA according to the terms of the CDOT CatEx Agreement, but meeting the CatEx criteria in 40 CFR 1508.4 and 23 CFR 771.117(a), qualifies for a CatEx if there are no unusual circumstances that could require the preparation of an EA or an EIS. These projects originate either through the CDOT planning process, which is further discussed in Chapter 3, or as a local agency project with CDOT oversight. The following sections discuss the processes for a CDOT Project Programmatic CatEx and a Local Agency Project with CDOT Oversight Programmatic CatEx.
Conducting actions documented by Form 128 will require information input by CDOT into the CDOT SAP computer tracking system. The CDOT SAP computer tracking system is accessible only to CDOT personnel.

**CDOT or Local Agency Project**

The following is the step-by-step process for approval of a Programmatic CatEx project:

1. **Internal Scoping** - The CDOT project manager (typically an engineer) initiates Form 463 - Design Data and coordinates with all design and specialty disciplines, including Environmental, Right-of-Way, Utilities, Hydraulics, Traffic, Bridge Materials and Maintenance, to reach consensus on the project scope and to identify the multidisciplinary project development team. Form 463 establishes the project within the CDOT tracking system. For local agency projects, the local agency project manager, typically an engineer, coordinates with the CDOT Resident Engineer and RPEM to prepare the scope of work. Environmental impact avoidance and minimization alternatives are discussed. The RPEM, or designee, makes preliminary determinations about the anticipated environmental clearances and permits, and the associated responsibilities for each. The RPEM, or designee, schedules and coordinates with the CDOT Environmental Programs Branch (EPB) as necessary to initiate environmental clearance processes required on Part B of Form 128.

2. **Project Schedule** - The CDOT project manager, or local agency project manager, drafts a preliminary detailed project schedule and circulates it to the multidisciplinary project development team for comments. With input from the team, the project schedule is adopted and shared with the multidisciplinary project development team.

3. **Environmental Clearances** - The RPEM, or designee, coordinates with the Region or EPB resource specialists for initiation of the anticipated environmental clearances required for Parts A and B of Form 128 (Figure 5-1). For a local agency project, the local agency project manager coordinates with the project team or consultant team. On a local agency project, the project team is typically an environmental consultant hired by the local agency with CDOT possibly helping on certain resources as time allows. Environmental resources requiring environmental clearances could include:
   a. Air Quality (hot spot analysis)
   b. Noise
   c. Hazardous Materials (Initial Site Assessment [ISA] Checklist or Modified Environmental Site Assessment [MESA] or Phase I Environmental Site Assessment)
   d. Threatened or Endangered Species or State Listed Species

Example CDOT CatEx schedules are located in Section 3 of CDOT’s Project Development Manual, which can be found here: https://www.codot.gov/business/designsupport/bulletins_manuals/project-development-manual/07-pdm-sect-3-environmental-final.pdf/view
e. Wetland Delineation (Survey)

f. Paleontology

g. Archaeology

h. History

i. Section 4(f) - Historic

j. Section 4(f) - Non-Historic

k. Section 6(f)

l. Other (Potentially may include Environmental Justice, Noxious Weeds, Migratory Birds, Water Resources, Visual/Aesthetic s, etc.)

4. **Field Inspection Review (FIR)** - The engineering project team prepares and provides the FIR engineering design plan set, which is approximately 30 percent design, for review and comment. Based on the environmental clearances’ documentation, the RPEM, or designee, or local agency project manager, coordinates with the CDOT project manager and project team to further identify environmental impact avoidance and minimization opportunities. The RPEM, or designee, communicates information requirements and anticipated timelines for necessary clearances and permits to the CDOT project manager.

5. **Front Part Approval** - The project team prepares the environmental documentation necessary for the environmental clearances required for the front part (Parts A and B) of Form 128. This documentation is provided to CDOT for their review and comment. A brief technical memorandum summarizing the environmental clearances completed is prepared and submitted to the RPEM.

6. **Summary of Mitigation** - Based on the environmental clearances documentation, the RPEM, or designee, or local agency project manager, prepares a Summary of Mitigation Measures and provides this summary to the CDOT project manager for inclusion in the Final Office Review (FOR) plans and specifications, which is approximately 90 percent design. A copy of the Summary of Mitigation Measures is provided to the RPEM. **Chapter 9** includes additional information on mitigation and monitoring commitments.

7. **Form 128 (Parts A and B)** - Once all resources that could be impacted have been inspected and impacts have been assessed, the RPEM approves the front part of Form 128. Upon completion of Parts A and B of Form 128, funds for right-of-way acquisition can be obligated and negotiations for right-of-way acquisition can proceed.

8. **Form 128 (Part C)** - The RPEM, or designee, or local agency project manager, initiates coordination with the permitting agencies for Part C of Form 128. Permit requirements or other mitigation measures are communicated to the CDOT project manager for inclusion in the final plans and specifications.

9. **FOR** - Environmental impacts are definitively quantified for environmental permit applications and to ensure adequate

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**CDOT’s Mitigation Tracking Spreadsheet** is not required for Programmatic CatExs but is a recommended tool to track mitigation.

CDOT Forms are available at [https://www.codot.gov/library/forms](https://www.codot.gov/library/forms)
representation in the project plans and specifications. Form 463 is completed.

10. **Final Check** - The final plans and specifications containing all mitigation measures are provided to the RPEM, or designee, ideally a minimum of three weeks before final clearance is required. The RPEM, or designee, verifies that the relevant information presented in the Summary of Mitigation Measures is included in the Final Check plan set. Environmental staff explain/summarize changes required to the Final Check plan set. The RPEM, or designee, reviews and compiles the clearances and permits.

11. **Environmental Project Certification** - The RPEM approves the Environmental Project Certification in Part E of Form 128 (Figure 5-1). This signature means that all environmental commitments identified during the environmental clearance efforts are included or being otherwise handled. A copy of the version of the plan set that was approved must be kept in the file to document changes that may be made under advertisement of the project for construction that will need subsequent clearance tracking in the file.

12. **Final Forms** - The CDOT Resident Engineer (in some cases, the CDOT project manager) signs and submits the final Form 463 and, as applicable, submits the completed and signed Form 128 and the Form 1180 signed by the CDOT Business Manager - Plans, Specifications, and Estimates (PS&E), to FHWA and Office of Financial Management & Budget (OFMB). Form 1180 approves the project plans, specifications, and cost estimates and requests that funds be obligated for the project. If changes have been made to the project design data, submit a revised Form 463 with the coinciding Form 128.

Form 418 is initiated with FHWA whenever federal aid or oversight is involved for approval. FHWA receives copies of Forms 463, 128, 1180, and 418. Once FHWA approves Form 418, funds are obligated and authorized for the construction phase and the project is sent to advertisement.

13. **Construction** - A pre-construction meeting is held with all specialty disciplines to outline permit conditions and mitigation commitments, etc. The CDOT Construction Project Engineer, or the local agency team, begin mitigation monitoring during construction to ensure compliance with permit requirements and mitigation commitments. Note: Long-term monitoring of mitigation may be required to successfully complete mitigation obligations and permit requirements.

14. **Project Close-Out** - The project is closed once construction is final and accepted by CDOT and most of the conditions of environmental permits have been satisfied. CDOT will prepare a Form 950 for project closure once all environmental commitments have been completed for the whole project. Project documentation and records should be maintained in accordance with CDOT Procedural Directive 51.1
### 5.3.4 Programmatic CatEx Documentation

Completion of CDOT Form 128 is required for all CDOT projects. Figure 5-1 includes Form 128, along with detailed instructions for completing the form.

**Figure 5-1  Form 128 and Instructions**

<table>
<thead>
<tr>
<th>Resource Clearances</th>
<th>Revised Clearances</th>
<th>Revised Clearances</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Check Box Only If Impacted</strong></td>
<td><strong>Clearance Date</strong></td>
<td><strong>Clearance Date</strong></td>
</tr>
<tr>
<td>Air Quality (hot spot analysis)</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Noise</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Hazmat - ISAMESA</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>T&amp;E and State Listed Species</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Wetland Delineation (Survey)</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Paleontology</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Archaeology</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>History</td>
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<tr>
<td>Section 4(f) - Historic</td>
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<td>[ ]</td>
</tr>
<tr>
<td>Section 4(f) - Non-Historic</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Other:</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

All required clearance actions indicated have been completed for the design plans referenced below. If Project is a Categorical Exclusion, no significant environmental impacts will result from this project. Construction is not authorized until approved in Part E below. Implementation of project shall include required mitigation commitments.

- Action meets requirements to be a Programmatic CatEx per the FHWA/CDOT Programmatic Agreement for Categorical Exclusions (FHWA signature below not required).
- This is an EA/FONSI or EIS/ROD. The Decision Document has already been signed by FHWA (FHWA signature below is not required).

**Design Plan Set and Date:**

**RPEM Signature and Date:**

**FHWA Division Administrator Signature (if required):**
I concur with the above category designation and the scope of environmental clearance/permits indicated above.

**Signature and Date:**

**Comments:**
## C. PERMITS AND ADDITIONAL REQUIREMENTS

<table>
<thead>
<tr>
<th>Resource Clearances</th>
<th>Date Completed</th>
<th>Revised Clearances</th>
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<th>Date Updated</th>
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<tr>
<td>402 Certification</td>
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<tr>
<td>Const. Stormwater Permit (CDPS)</td>
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<tr>
<td>Const. Dewatering Permit</td>
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<tr>
<td>Noxious Weed Management</td>
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<td>SB40 Certification</td>
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<td>Wetland Finding</td>
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<td>Structure Demolition Permit</td>
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<tr>
<td>SWMP</td>
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<tr>
<td>Other:</td>
<td>□</td>
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</tr>
</tbody>
</table>

## D. Comments


## E. ENVIRONMENTAL PROJECT CERTIFICATION

All clearance and permit requirements for this project have been addressed and mitigation included. The appropriate documentation is on file in the Region office.

Design Plan Set and Date: / /  
Certification Type:  
□ Advertisement  
□ Advertisement & Construction  
□ Other:  
RPEM Signature & Date: / /  

Note to Project Manager: Any changes to the plans and specifications after the date of the RPEM signature in Part B that affect environmental impacts or mitigation must be approved by the RPEM.
Instructions for Filling out CDOT Form 128
Updated 8/6/2017

Completion of CDOT Form 128 is required for all CDOT projects, even those that have been cleared as fully documented (template) CatEx's, EAs or EISs. Parts A and B must be completed for Right of Way (ROW) authorization and obligation of federal funds for ROW. Parts A, B, C, and E must be completed prior to project advertisement and/or construction.

FHWA signature is required for all federally funded CatExs unless CDOT has been allowed to make a CatEx certification or determination and approval on FHWA's behalf (Programmatic CatEx). Programmatic CatExs are those that can be approved by CDOT without FHWA's signature based upon the requirements of the FHWA/CDOT Programmatic Agreement for Categorical Exclusions.

When FHWA signature is required, the FHWA will retain a copy of the signed Form 128 and return the original to the RPEM. A scanned copy is acceptable. The RPEM will be responsible for distributing copies within CDOT and maintaining the original within the Region.

FHWA approval is required for projects that exceed certain evaluation criteria, even if they would normally be considered Programmatic CatExs. Examples of reasons why a project could require FHWA approval include residential displacements, Individual Section 404 permits, individual Section 4(f) evaluations, or changes to access to the Interstate. The reason why FHWA signature is required when the project would normally be a Programmatic CatEx shall be stated in the Part B comments section.

If it is necessary for the Environmental Programs Branch to prepare a Form 128 for a statewide project, the EPB manager will be responsible for clearances, certification, and appropriate distribution.

If project revisions result in changes to the clearance/permit requirements, a revised Form 463 (Design Data) are required in addition to an updated Form 128. A CDOT Form 1399, NEPA Reevaluation, may also be appropriate.

STEP BY STEP INSTRUCTIONS FOR FILLING OUT THE FORM

**Section A. Project Information**

1. **Scoping Date**: An initiation date is required for FHWA annual tracking purposes. If there is no scoping meeting, please use the date of the environmental kick-off meeting. The third preference for this cell would be the date of the EPB Environmental Clearance Request.
2. **Federal Project #:** This is the federal project number including its prefix.
3. **Subaccount #:** This is the CDOT 5-digit Project Control Number (PCN).
4. **Related Subaccount Numbers**: Some projects have different subaccount numbers for the NEPA phase and the construction phase(s), especially for EA and EIS projects. Also, for smaller Design Build projects it is common to combine multiple Catex projects into one project for construction. This is where you would enter all those numbers.
5. **Project Name**: Enter the full name of the project.
6. **Project Description (and location)**: Succinctly explain the full scope of work including the name of the roadway, endpoints or mileposts, etc.
7. **Region**: Enter Region(s) number. For statewide projects enter HQ.
8. **Statewide Program/Residency**: Based on how your Region divides projects, enter either the Program or Residency
9. **Environmental PM**: Provide the name of the person who has coordinated the environmental work for the project.
10. **FHWA Area Engineer**: Provide the name of the Area Engineer who is responsible for the project.
11. **FHWA Nexus**: This is for annual tracking purposes so please make sure to check the box if this is a project with FHWA oversight.
12. **Other Federal Nexus**: This is for projects that have a federal nexus from a different agency. An example is: a project that needs a 404 permit from the USACE. This field should be filled out even if there is not a FHWA nexus.
13. **Form #:** It is a way to track clearances for projects that need to be updated more than twice and require multiple Form 128s. This is applicable for projects with multiple phases, including Design Build.
14. **Project Lead**: Provide the Agency proponent. This is required for annual tracking purposes. An example of when the “Other” box would be checked is if you were working on an FTA project.
15. **Class of Action:** This form should be filled out for every project, even EIS/ROD and EA/FONSI projects, in order to document back part clearance (Section E) and project certification. For CATEX projects, the CATEX designation must be entered in the second line of this section. The designation must be taken from 23 CFR 771.117(c)-(d) or from the current FHWA/CDOT Programmatic Agreement for Categorical Exclusions. Project types that are not listed in 23 CFR 771.117(c)-(d) or the Programmatic Agreement may still be considered as non-Programmatic CATEXs; these require a transmittal letter of explanation to FHWA, and are coded as “DX” CATEXs.

16. **Project Delivery Method:** This is for annual tracking purposes and will help explain how the form will be used (i.e. whether the revised clearances will be used only if there are changes to the project, or if they will have to be used as a regular part of the approval process (for design-builds)). In SAP, it is anticipated that this field will be “greyed out” and populated by the Project Engineer via another function prior to the obligation of funds.

## Section 8. The NEPA Process

1. **Clearance Date:** The original clearance date for a resource on most CATEX projects is noted here (in the left hand column). Each dated resource area must have corresponding clearance documentation in the project file. Resources without dates indicate the resource did not require a clearance. A brief note/memo to the file should describe the conditions of non-cleared resources (i.e. project limits remain in ROW and no excavation will occur, therefore no 4(f), 6(f) or paleo clearances are requested.).

   For separately or fully documented CATEX (using a template), EA, and EIS projects, these dates are left blank.

   For Design Build projects, this column indicates a clearance for preliminary design (traditionally no more 30% design), as well as for Advertised plans or Bid. After awarded, subsequent environmental clearances will be obtained based on final design. The project can then be certified for construction.

   **Check box:** The check box to the right of a resource should be checked if there is an impact or anticipated impact to that resource, or if a minimization/avoidance measure needs to be included in the construction plans (see explanation for each resource below). A clearance date will always accompany a checked box. During the clearance process it was determined if mitigation is required, further evaluation is required, or a permit is required. Minimization or avoidance measures should be noted on the plan sheets. Here is an explanation of when to check the box for each resource:

   - **Air Quality:** checked if there is an air quality impact within non-attainment or maintenance areas.
   - **Noise:** checked if the project is classified as Type I in CDOT’s Noise Guidance and there is a noise impact, even if noise mitigation is not recommended.
   - **Hazard:** checked if there are special handling requirements of known or potential hazardous materials or if further hazmat investigation is required prior to construction.
   - **T &E/State Listed Species:** checked if there is an impact to federal or state listed species and/or avoidance minimization measures are needed during construction. Clearance will include Section 7 consultation and Concurrence (if required).
   - **Wetlands:** checked if there are impacts to wetland or Waters of the US, or a permit or mitigation is required to avoid impacts.
   - **Paleontology:** checked if there is a paleontology impact or mitigation/monitoring is required.
   - **Archaeology:** checked if there are direct impacts to any significant archaeological sites or features, or if mitigation/monitoring is required.
   - **History:** checked if there are adverse effects or no adverse effects with impacts to any eligible historic site, or if mitigation/monitoring is required.
   - **Section 4(f) - Historic:** checked if a de minimis, programmatic, or individual 4(f) is required, or if an exception is required that includes mitigation (e.g. temporary occupancy).
   - **Section 4(f) - Non-Historic:** checked if a de minimis, programmatic, or individual 4(f) is required or if an exception is required that includes mitigation (e.g. temporary occupancy).
   - **Section 6(f):** checked if a Temporary Non-conforming Use or Conversion is required; or if avoidance measures are required.
   - **Other:** this box can be used for any other resource that is not listed on the form. An example is visual, floodplain or farmlands. If you have two or more resources that you need to add, please add them to the comment box at the bottom of the page.
Date Only - If there is no impact or minimization measure to a specific resource, the check box should not be checked. However, there should be a date on the line to document when the resource was evaluated and clearance was provided.

- **Air Quality:** provide clearance date if a hotspot analysis is required
- **Noise:** provide clearance date if a noise analysis or review by the noise specialist is required
- **Helmat:** provide clearance date if an ISA or MESA is required
- **T &E/ State Listed Species:** provide date of no effect or no impact determination
- **Wetlands:** provide clearance date if a wetland delineation was conducted.
- **Paleontology:** provide clearance date if paleontology specialist reviewed the project.
- **Archaeology:** provide clearance date if an archaeological survey was done.
- **History:** provide clearance date for history review of the project.
- **Section 4(f) - Historic:** provide clearance date if the History or Archaeology reviews show that Section 4(f) is not applicable.
- **Section 4(f) - Non-Historic:** provide clearance date from 4(f) subject matter expert when there are non-historic Section 4(f) resources in the area, e.g. parks, trails, wildlife refuges.
- **Section 6(f):** provide clearance date if there are parks or trails in the area.
- **Other:** this box can be used for any other resource that is not listed on the form. An example is Visual Resources of Farmlands. If you have two or more resources that you need to add, please add them to the comment box at the bottom of the page.

Neither Checkbox nor Date - If a resource is clearly not present in the project area or if the project scope would clearly not impact a certain resource and therefore no verification would be necessary, the check box and date line can be left blank. They can also be blank for projects that have an EIS/ROD, EA/ONSI, or separately documented (e.g. template) CatEx.

3. **Revised Clearances:** (the middle and right-hand columns) should be filled out for NEPA reevaluations, including the following:
   - If the Form 1399 is used, the resource portion does not need to be filled out, just check the box indicating that a Form 1399 was completed and provide the reevaluation date, design plan set date, and signature are required.
   - For CatExs, these columns can be used to reassess the project, including documenting the updated resource clearances and/or impacts. Checkboxes and dates are used in the same way as for the first column. However, only resources with new impacts should have checked boxes.
   - For EAs or EISes where there are NO changes to the project or impacts, this column can be used in place of the Form 1399, and dates can be entered to show that the resources were reviewed.

These columns are applicable for Design Build Projects. As mentioned above, when a design-build project goes out for bid it is generally at 30% design. Once awarded, the contractor will be responsible for finalizing the design. So this design set needs an environmental clearance before it is released for construction. This could happen once or several times depending on how the contractor is advancing the project. Any of the above reevaluation methods could be appropriate depending on the circumstances. It also needs to be used for back part clearance (project certification) in Section E. A second form should be used if additional reevaluations are required.

4. **Design plan Set and Date** - This section should always be filled out so that it is clear what level of design (scoping, FIR, or FOR) was used for the front part clearance in Section B. This is the plan set provided to specialist for resource clearances.

5. **RPEM Signature and Date** - Coordinate with your RPEM to determine who has authorization to sign within your region.

6. **FHWA Signature:** The checkboxes at the bottom of Section B (above the signature lines) should be checked if an FHWA signature at the bottom is not required.

7. **(In SAP) Revision Signature Section:** Check the box to open a new signature box for revisions.
Section C. Permits and additional requirements

**CDPS-SCP:** Checked for a project with any construction activity that disturbs one or more acres or is part of a larger common plan of development.

**Permanent Water Quality:** Checked only when a project will install PWQ. However, all projects require a PWQ clearance date. Enter the date when PWQ CJ20N (environmental tab) information has been completed in SAP.

**SWMP:** SWMPs must be prepared for every CatEx, regardless of the size of the disturbance area. The clearance date is when a project SWMP has been reviewed and cleared by official SWMP Reviewer.

For Design-Build projects, the left-hand column displays the permits that the contractor will be required to obtain and which will be obtained by CDOT. When plans are sent to the CDOT Environmental Manager for review, a copy of the contractor-obtained permits should also be included. The Environmental PM should enter the date the permit was obtained on the appropriate line in the middle and right hand columns.

Section D. Comments

Describe any permits to be obtained by the contractor after advertisement or other special conditions.

Section E. Environmental Project Certification

1. **Design Plan Set and Date:** The RPEM, or designee, must indicate the set of plans and specification (FIR, FOR, advertisement, award etc.) that were reviewed prior to certification. The date of these plans must be provided. If the project is being certified for construction then the plans being reviewed need to be marked as FINAL, AD or AWARD.

2. **Certification Type:**
   a) **Advertisement** – Applicable for Design-Build. By checking this box you are releasing the project for advertisement, but not for construction. For design-build, the project is certified for construction when the final plans are verified. This subsequent sign off will be documented in the middle column of this section.
   b) **Advertisement & Construction** – Checked for a traditional design-bid-build project that is being released for advertisement and construction at the same time.
   c) **Other** - An example of when this boxes gets checked is a CM/GC project.

3. **RPEM Signature & Date:** This is required for all projects being released for advertisement and/or construction. This signature is a certification that 1) all required clearance and permits have been obtained, 2) environmental mitigation is included in the referenced plans and specifications, 3) and appropriate NEPA documentation is on file.
Parts A and B of Form 128 list environmental clearances to be completed as part of the Programmatic CatEx process. These environmental clearances include:

- **Air Quality** - Air quality is most relevant to projects within nonattainment or maintenance areas. See Chapter 9, Section 9.2, for additional information on conducting an air quality hot spot analysis.

- **Noise** - Type 1 projects require an examination of traffic noise. A Type 1 project generally involves construction of a roadway in a new location, physically alters the vertical or horizontal alignment of an existing roadway or increases the number of through traffic lanes. Refer to Chapter 9, Section 9.22, for additional information on conducting a noise analysis.

- **Hazardous Materials** - Every project requires an ISA Checklist (Form 881), a MESA, or a Phase I Environmental Site Assessment. See Section 9.25 of Chapter 9 for additional information on when an ISA, a MESA, or a Phase I is applicable depending on the size and type of project.

- **Threatened and Endangered Species and State Listed Species** - Follow the process outlined in Section 9.9 of Chapter 9. Otherwise, the Biological Resources Report serves as documentation for the absence of threatened and endangered species in the project area.

- **Wetland Delineation (Survey)** - If wetlands are identified that would be impacted, a Wetland Delineation should be conducted for submittal to the USACE for a jurisdictional determination as outlined in Section 9.6 of Chapter 9.

- **Paleontology** - Section 9.11 of Chapter 9 provides additional information on the process for the survey and documentation of the presence/absence of paleontological resources.

- **Archaeology** - Section 9.10 of Chapter 9 provides additional information on the process for the survey and documentation of the presence/absence of archaeological resources.

- **History** - Section 9.10 of Chapter 9 provides additional information on the process for the Section 106 review and survey of historic resources. CDOT’s May 2010 Section 106 Programmatic Agreement is found here: [https://www.codot.gov/programs/environmental/archaeology-and-history/106-programmatic-agreement-1/view](https://www.codot.gov/programs/environmental/archaeology-and-history/106-programmatic-agreement-1/view) includes a section about Section 106 consultation requirements for non-eligible, eligible, and listed bridges identified in previous statewide historic bridge inventories or newly documented as part of individual projects. Coordination with a CDOT Historian is required.

- **Section 4(f) Historic** - Section 9.10 of Chapter 9 provides additional information on the process for the Section 106 review and survey of historic resources.
Section 4(f) Non-Historic - Commonly affected Section 4(f) impacts include parks, trails, or historic properties. Section 9.19 of Chapter 9 discusses the Section 4(f) process.

Section 6(f) - Section 9.20 of Chapter 9 provides additional guidance on Section 6(f), which relates to property purchased using Land and Water Conservation Funds.

Other - Based on the preliminary determinations made by the RPEM, or designee, regarding the anticipated environmental clearances for a project, additional environmental clearances may be required. Additional environmental clearances could include Environmental Justice, Water Resources, Visual/Aesthetics, Socioeconomic regarding business access changes, etc. Chapter 9 further discusses the methodologies and processes for these resources.

Part C of Form 128 identifies permits and additional requirements to be completed as part of the environmental project certification for the CatEx. The final plans and specifications identify and include permit mitigation measures. These permits and additional requirements include:

- **404 Permit (Clean Water Act)** - Impacts to streams and related jurisdictional wetlands or stream diversions of waters of the US could require a USACE Section 404 nationwide permit. An Individual Permit is required for projects with larger impacts to wetlands (typically greater than 0.5 acre in size). Section 9.4 of Chapter 9 includes additional information on the permitting process. It should be noted that a Section 404 permit cannot be obtained until the USACE receives clearance on Section 106 (historic) AND Threatened and Endangered species consultations from the USFWS.

- **401 Certification (Clean Water Act)** - A CDPHE Section 401 water quality certification is required if a Section 404 Individual Permit is required. This is generally the contractor’s responsibility. Section 9.5 of Chapter 9 includes additional information on the permitting process.

- **402 Certification Permits** - This permit is from the EPA if on federal land; CDPHE if on non-federal land:
  - **Construction Stormwater Certification (Colorado Discharge Permit System)** - Projects that disturb one acre or greater require this construction stormwater permit from the CDPHE Water Quality Control Division. Additionally, a Stormwater Management Plan in CDOT’s approved format must be prepared. Section 9.4 of Chapter 9 includes additional information on the permitting process.
  - **Construction Dewatering or Remediation Certification** - If groundwater is encountered, a CDPHE dewatering or Remediation permit may be required. Section 9.4 of Chapter 9 includes additional information on the permitting process.

- **Noxious Weed Management** - Project-specific plans are developed prior to advertisement when noxious weeds and their management...
cannot be adequately identified, handled, or proscribed in the plans and specifications.

- **SB 40 Certification** - This Colorado Parks and Wildlife permit for impacts to stream banks, stream channels, and riparian areas is required. *Section 9.8 of Chapter 9* includes additional information on the certification process.

- **Wetland Finding** - For impacts to jurisdictional and non-jurisdictional wetlands and waters of the US, a Wetland Finding of No Practicable Alternative is required by CDOT and FHWA if a certain threshold is reached. *Section 9.6 of Chapter 9* includes additional information on preparing a Wetland Finding.

- **Structure Demolition Permit** - Prior to demolition of bridges or other structures, a permit must be obtained from the APCD for possible air quality impacts. The Notification of Demolition Form should be submitted to CDPHE at least 10 days before the demolition.

- **Hazardous Materials (Phase II)** - If recommended by the ISA, MESA, or Phase I Environmental Site Assessment, a Phase II subsurface soil and groundwater investigation is required for potential hazardous materials that present a liability issue during right-of-way acquisition, require management during construction to protect worker health and safety and the environment, or to properly dispose of the hazardous material. A Phase II may also occur on bridge structures or buildings to be demolished for things such as asbestos. *Section 9.25 of Chapter 9* provides additional information on when a Phase II is applicable depending on project size and type.

- **Permanent Water Quality (PWQ)** - According to CDOT’s MS4 Permit, every project requires a PWQ clearance.

- **Stormwater Management Plan (SWMP)** - It must be documented that the SWMP has been approved and accepted by CDOT or the local agency Water Pollution Control Manager. SWMPs must be prepared for every CatEx regardless of the size of the disturbance area. A clearance reflects when a water quality specialist has reviewed and cleared a project SWMP.

- **Other** - Any other permits specific to the project may be required and documented in this location.

### 5.3.5 Programmatic CatEx Approval

CDOT may approve, on behalf of FHWA, those CatExs specifically listed in 23 CFR 771.117(c) and (d) that do not exceed the thresholds identified previously or in the CatEx Criteria List. CDOT will identify the applicable CatEx category from 23 CFR 771.117(c) or (d), ensure any conditions or constraints are met, verify that unusual circumstances do not apply, address any and all other environmental requirements, and complete the review with a signature evidencing approval. No project-specific review or approval of the CatEx by FHWA is required. All programmatic CatExs require the review and approval of a CDOT RPEM or designee. CDOT may coordinate with FHWA.
depending on the project and type of action. The RPEM or designee may request or invite the FHWA Area Engineer to review a Programmatic CatEx, especially if unique circumstances surround the project.

CDOT may not approve actions listed in 23 CFR 771.117 (c) or (d) that exceed any of the following listed thresholds (if the project is category C26, C27, or C28, exceeding any of the starred criteria (*) below would require that category D13 be used instead):

1. **Significant Impacts** - Has any significant environmental impacts as described in 23 CFR 771.117(a)

2. **Unusual Circumstances** - Involves unusual circumstances as described in 23 CFR 771.117(b)
   a. Significant environmental impacts;
   b. Substantial controversy on environmental grounds;
   c. Significant impact on properties protected by Section 4(f) of the DOT Act or Section 106 of the National Historic Preservation Act; or
   d. Inconsistencies with any Federal, State, or local law, requirement or administrative determination relating to environmental aspects of the action.

3. **Through Lanes** - Results in capacity expansion of a roadway by the addition of through lanes.

4. **Right of Way*** - Involves acquisitions (fee simple) of more than a minor amount of right-of-way. A minor amount of right-of-way is defined by not more than 10 percent of any adjacent parcels for transportation-related facilities (e.g., rest areas, intersections, maintenance yards) (Note: This requirement does not apply to “perfection of title for right-of-way” projects under 23 CFR 771.117(c)(5).)

5. **Displacements*** - Involves acquisitions that result in any residential or non-residential displacements

6. **Early Acquisition** - Includes acquisition of land for hardship or protective purposes, or early acquisition pursuant to Federal acquisition project (23 USC § 108(c))

7. **Section 404 Permit*** - Requires a USACE Section 404 (33 USC § 1344) permit other than a Nationwide Permit or a Regional General Permit.

8. **Bridge Permit*** - Requires a US Coast Guard bridge permit (33 USC § 401).

9. **Historic Properties*** - Results in a determination of adverse effect on historic properties pursuant to Section 106 of the National Historic Preservation Act (54 USC § 306108).

10. **Section 4(f)** - Requires the use of properties protected by Section 4(f) (49 USC § 303/23 USC § 138) that cannot be documented
with an FHWA *de minimis* determination (as defined in 23 CFR 774.17) or exception (23 CFR 774.13).

11. **Section 6(f)** - Converts lands under the protection of Section 6(f) of the Land and Water Conservation Act of 1965 (54 USC § 200305), the Federal Aid in Sport Fish Restoration Act (16 USC 777-777k, 64 Stat. 430), the Federal Aid in Wildlife Restoration Act (16 USC 669-669i; 50 Stat.917), or other unique areas or special lands that were acquired in fee or easement with public-use money and have deed restrictions or covenants on the property.

12. **Endangered Species** - Requires formal consultation under Section 7 of the Endangered Species Act (16 USC 1536).

13. **Temporary Access and Road Closures** - Involves the construction of temporary access, or the temporary closure of existing roads, bridges, or ramps, that would result in major traffic disruptions, unless the use of such facilities satisfies the following conditions:
   a. Provisions are made for access by local traffic and so posted.
   b. The temporary access or closure, to the extent possible, will not interfere with any local special event or festival.
   c. The closure does not substantially change the environmental consequences of the action.

14. **Permanent Road Closures** - Involves the permanent closure of existing roads, bridges, or ramps, unless the following conditions are met:
   a. No major traffic disruptions
   b. No substantial adverse effects to through-traffic dependent businesses
   c. No substantial changes to the environmental consequences of the action resulting from the closure
   d. No substantial controversy associated with the closure

15. **Access Control** - Involves changes in access control of an Interstate highway: or disposal of Interstate right-of-way (Note: For C(26), (27), and (28), any change in access control will require the use of D(13) instead.)

16. **Floodplains** - Requires work encroaching on a regulatory floodway or work affecting the base floodplain (100-year flood) elevations of a water course or lake, pursuant to Executive Order 11988 and 23 CFR 650 subpart A.

17. **Wild and Scenic Rivers** - Requires a Wild and Scenic River (WSR) Section 7 determination from the river-administering agency. There is only one WSR river in Colorado: Cache La Poudre River in CDOT Region 4 near Fort Collins.

18. **Noise** - Is defined as a “Type I project” per 23 CFR 772.5 and/or CDOT Noise Guidance and results in impacted receptors.

19. **Air Quality** - Requires a project level air quality conformity analysis.

If the project is category C26, C27, or C28, exceeding any of the starred criteria would require that category D13 be used instead.
20. **Statewide Planning** - Is not included in or is inconsistent with the statewide transportation improvement program, and in applicable urbanized areas, the transportation improvement program.

21. **Other Circumstances** - For situations that are atypical (for example, Superfund site).

### 5.4 Non-Programmatic CatEx Projects

Non-programmatic CatExs are actions that meet the criteria for a CatEx in the CEQ regulations (CEQ, 40 CFR § 1508.4) if they are appropriately analyzed, documented, and approved by FHWA and their regulations (FHWA, 23 CFR § 771.117). The applicant must submit documentation that demonstrates that the specific conditions or criteria for these CatExs are satisfied and that significant environmental effects will not result from the action.

#### 5.4.1 Non-Programmatic CatEx Criteria

To facilitate determining if a project action can proceed as a Programmatic or Non-Programmatic CatEx, CDOT has developed a list of questions on the CatEx Criteria List. If any of the questions on the CatEx Criteria List *(Table 5-1)* can be answered in the positive and cannot be resolved by amending the planned action, the project might not be approved as a CatEx and requires closer review by FHWA before determining the NEPA class of action.

#### 5.4.2 Non-Programmatic CatEx Actions

Non-programmatic CatExs are actions that meet the definition of a CatEx in 23 CFR § 771.117 (a) and (b) but are not covered by a category in 23 CFR 771.117 (c) and (d). It is an action that does not individually or cumulatively have significant environmental impacts or have any yes answers in the CatEx Criteria List, but requires additional review by FHWA. The applicant must submit documentation that demonstrates that the specific conditions or criteria for these CatExs are satisfied and that significant environmental effects will not result from the action.

#### 5.4.3 Non-Programmatic CatEx Process

As discussed in Section 2.4, CDOT staff, typically the CDOT RPEM, decide the appropriate class of NEPA documentation needed for a project in consultation with FHWA, although FHWA makes the final determination on class of action. These projects originate either through the CDOT planning process, which is further discussed in Chapter 3, or as a local agency project with CDOT oversight. The following sections discuss the processes for a CDOT Project Non-Programmatic CatEx and a Local Agency Project with CDOT Oversight Non-Programmatic CatEx. Conducting actions documented by Form 128 will require information input by CDOT into the CDOT SAP computer tracking system.
The following is the step-by-step process for approval of a Non-Programmatic CatEx project:

1. **Internal Scoping** - The CDOT project manager or the local agency manager prepares a scope of work. The CDOT project manager or local agency manager coordinates with all design and specialty disciplines, including Environmental, Right-of-Way, Utilities, Hydraulics, Traffic, Bridge Materials and Maintenance, to reach consensus on the project scope and to identify the multidisciplinary project development team. FHWA should be invited but can be briefed afterward if they are unable to attend. Environmental impact avoidance and minimization alternatives are discussed. The RPEM, or designee, makes preliminary determinations regarding the anticipated environmental clearances and permits, and associated responsibilities for each. The RPEM, or designee, schedules and coordinates with the CDOT EPB as necessary to initiate environmental clearance processes required on Part B of Form 128.

2. **Project Schedule** - The CDOT project manager or local agency representative drafts a preliminary detailed project schedule that is circulated to the multidisciplinary project development team for comments. The project schedule is adopted and shared with the multidisciplinary project development team. Examples of CDOT CatEx schedules can be found in the Environmental Section (Section 2) of CDOT’s Project Development Manual (2013).

3. **Project Planning and Programming** - The CDOT project manager should verify that the project is included in the Statewide Transportation Plan (STP): Statewide Transportation Improvement Program (STIP). If the project is in an urban area, the CDOT project manager should verify that the project is included in the Regional Transportation Plan (RTP) and the Transportation Improvement Program (TIP). If a project is not included in the SWP, STIP, RTP, and TIP, FHWA cannot approve the project. Note: Projects that do not meet the metropolitan planning organization regionally significant project criteria are not required to be in the STIP, RTP, or TIP.

4. **Environmental Clearances** - The RPEM, or designee, or local agency representative, coordinates with the Region or EPB resource specialists for initiation of the anticipated environmental clearances required for the front part (Parts A and B) of Form 128. For local agency projects, this could be an environmental consulting team.

5. **FIR** - The project team prepares and provides the FIR engineering design plan set, which is approximately 30 percent design, for review and comment. Based on the environmental clearances’ documentation, the RPEM, or designee, coordinates with the CDOT project manager and project team to further identify environmental impact avoidance and minimization opportunities. For local agency projects coordination with the RPEM and CDOT project manager occurs. The RPEM, or designee, communicates information
requirements and anticipated timelines for necessary clearances and permits to the CDOT project manager.

6. **Summary of Mitigation** - Based on the environmental clearances’ documentation, the RPEM, or designee, updates the mitigation and monitoring commitments as necessary and provides this information to the CDOT project manager for inclusion in the FOR plans and specifications, which is approximately 90 percent design. CDOT’s Mitigation Tracking Spreadsheet is recommended to provide a summary to the project team for inclusion in the CatEx, FOR plans, and specifications. **Chapter 9** includes additional information on mitigation and monitoring commitments.

7. **Form 128 (Parts A and B)** - The RPEM, or designee, approves Parts A and B of Form 128. Usually funds for right-of-way acquisition can be obligated and negotiations for right-of-way acquisition can proceed.

8. The RPEM, or designee, or local agency team prepares the Non-Programmatic CatEx documentation (see **Section 5.3.3**) and submits it to FHWA, along with Form 128 and backup clearance documentation for approval.

9. **Front Part Approval** - The FHWA project representative approves the front part of Form 128 and the associated documentation and returns the originals to the RPEM for the project file. Upon completion of Parts A and B of Form 128, funds for final design and right-of-way acquisition can be obligated and negotiations for right-of-way acquisition can proceed.

10. **FOR** - Environmental impacts are definitively quantified for environmental permit applications and to ensure adequate representation in the project plans and specifications. Form 463 is completed.

11. **Form 128 (Part C)** - The RPEM, or designee, initiates coordination with the permitting agencies for Part C of Form 128. The RPEM, or designee, satisfies the requirements identified in Part C of Form 128. The local agency project manager coordinates with the RPEM, or designee, to verify that the requirements identified in Part C of Form 128 have been completed. Permit mitigation measures are added to the mitigation and monitoring commitments and are communicated to the CDOT project manager for inclusion in the final plans and specifications.

12. **Final Check** - The final plans and specifications containing all mitigation measures are provided to the RPEM, or designee, ideally a minimum of three weeks before final clearance is required. The RPEM, or designee, verifies that the relevant information presented in the mitigation and monitoring commitments is included in the Final Check plan set. Changes made to the plans subsequent to the Final Check plan set are explained/summarized. The RPEM, or designee, reviews and compiles the clearances and permits.
13. **Environmental Project Certification** - The RPEM, or designee, approves the Environmental Project Certification in Part E of Form 128. This signature means that all environmental commitments are included or being otherwise handled that were identified during the environmental clearance efforts.

14. **Final Forms** - The CDOT Resident Engineer (in some cases the CDOT project manager) signs and submits the final Form 463, and as applicable, the completed and signed Form 128, and the signed Form 1180 - PS&E by the CDOT Region Business Manager, to FHWA and OFMB. If changes have been made to the project design data, submit a revised Form 463 instead, along with the coinciding Form 128. OFMB then initiates the Form 418. Form 418 is initiated with FHWA whenever federal aid or oversight is involved for approval. Once FHWA approves Form 418, funds are obligated and authorized for the construction phase. The project is sent to advertisement.

15. **Pre-Construction** - A pre-construction meeting is held with all specialty disciplines to outline permit conditions and mitigation commitments, etc.

16. **Construction** - The Construction Project Engineer and the RPEM, or designee, begin mitigation monitoring during construction to ensure compliance with permit requirements and mitigation commitments. Note: Long-term monitoring of mitigation may be required to successfully complete mitigation obligations and permit requirements.

17. **Project Closeout** - The project is closed once construction is final and accepted by CDOT and most of the conditions of environmental permits have been satisfied. CDOT will prepare a Form 950 for project closure. Project documentation and records should be maintained in accordance with CDOT Procedural Directive 51.1.

### 5.4.4 Non-Programmatic CatEx Documentation

Parts A and B of Form 128 document the necessary environmental clearances. These environmental clearances for Form 128 were previously discussed in **Section 5.3.4**.

There are several documentation options for a Non-Programmatic CatEx. The RPEM or designee and the FHWA Operations Engineer should agree on and decide which option to use. Options include:

- CDOT’s CatEx Template
- Technical reports
- Combination of Documented CatEx Template and EA style
- Other

Documentation that supports the CatEx determination becomes part of the administrative record and provides evidence that CDOT’s decision was based
on factual information and sound judgment. The level of documentation should be commensurate with the action’s potential for adverse impacts and should support anticipated impacts and mitigation.

### 5.4.5 Non-Programmatic CatEx Approval

All Non-Programmatic CatExs require the review and approval of FHWA. The CDOT RPEM, or designee, will sign Part B of Form 128 after environmental clearances have been obtained. FHWA is sent Form 128 and the agreed-upon documentation for review and signature if the project is a federal project. Once FHWA signs Part B of Form 128 and returns it to the CDOT RPEM for the project file, right-of-way negotiations typically can proceed. The RPEM will not sign Part E of Form 128 until all clearances and permits or their requirements for the project have been obtained or identified in the project plans and specifications to be handled by the contractor, FHWA has signed Part B, and mitigation or subsequent permit requirements are included in the plans and specifications.

### 5.5 Moving a Project Out of a CatEx Class of Action

As a project is progressing through the design stages, there may be situations when the potential impacts to environmental resources have greater severity than initially anticipated, in which case approving the project as a CatEx may no longer be appropriate. The following items indicate when a project should move out of a CatEx class of action:

- Induces significant impacts to planned growth or land use for the area
- Requires relocation of significant numbers of people or businesses
- Has significant impacts on any natural, cultural, recreational, historic, or other resource
- Has significant air, noise, or water quality impacts
- Has significant impacts on travel patterns
- Has individual or cumulative significant environmental impacts
- Has a large amount of public controversy surrounding the project
- Has substantial controversy on environmental grounds
- Has significant impact on properties protected by Section 4(f)
- Shows inconsistencies with any federal, state, or local law

It should be noted that there are no set thresholds for significant determinations because it takes both the context and intensity of the impact to decide significance of an impact. It is often the call of resource experts, regulatory agencies, or FHWA. It should also be noted that public involvement outreach, although not specifically required for a CatEx, can assist in keeping a project as a CatEx to avoid or minimize public controversy. If it appears adding a public involvement outreach component to a project would minimize or diminish public controversy, this might be a viable option for keeping the project as a CatEx instead of moving it to the next class.
5.6 References


