FDOT NEPA Assignment Training for FHWA Auditors

Trainers: Marjorie Kirby
Katasha Cornwell
Victor Muchuruza
Peter McGilvray

May 2018
Logistics

• Webinar – everyone is on mute. Please type your questions into the chat box and will answer as appropriate

• Recording – this webinar will be recorded and provided on our OEM NEPA Assignment Website under the SWEPT at: http://www.fdot.gov/environment/NEPAAssignment.shtm
Topics

- How does FDOT Comply with NEPA
- FDOT Environmental Processes
- StateWide Environmental Project Tracker (SWEPT)
- Using SWEPT to Support FHWA Audits
How does FDOT comply with NEPA?
Project Development & Environment (PD&E) Process

- FDOT’s means to comply with NEPA, federal and state laws, regulations, and requirements

- FDOT’s Office of Environmental Management (OEM) maintains a “PD&E Manual” that provides comprehensive guidance

- Provides framework for consistent technical and environmental documentation of transportation projects

- Used for both federal and non-federal actions

- Environmental documentation depends on the specific project and its impacts
FDOT Environmental Documents satisfy NEPA

- Wetlands
- Noise
- Natural Environment
- Air Quality
- Sociocultural Effects
- Contamination
- Human Environment
- Essential Fish Habitat
- Physical Environment
- Farmland
- Relocations
- Section 4(f)
Transportation Project Development Process

**Planning**
- Existing Conditions
- Needs & Assessment
- Planning Analysis
- Travel Demand
- LRTP\(^1\), CFP\(^2\), TIP\(^3\)
- Purpose and Need
- Work Program

**PD&E**
- Federal or State Process
- Purpose and Need
- Alternative Analysis
- Environmental Studies
- Technical Reports
- Env. Doc. Approval

**Design**
- Detailed Design
- Construction Plans
- Specifications
- Cost Estimates
- Permits
- Env. re-evaluation

**Right of Way**
- Appraisal
- Negotiations
- Acquisition
- Relocation

**Construction**
- Build and Deliver

**ETDM Screening**
- Screening Environmental Issues

**Planning and Environmental Linkage**
- Subarea and Corridor Studies
- Alternatives Corridor Evaluation
- Interchange Access Study

**SWAT Process**
- Project Scoping

**Public Outreach and Interagency Coordination**

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ACRONYMS:
1. Long Range Transportation Plan
2. Cost Feasible Plan
3. Transportation Improvement Plan
SWAT Defined

• Systematic approach to accelerate pre-construction activities
• Process benefits state funded and FHWA funded projects
• Coordinated with Work Program Development Cycle
• Multi-disciplinary coordination through SWAT Team meetings

• Goals
  ▪ Simplify documentation requirements
  ▪ Reduce redundant work
  ▪ Overlap PD&E and Design Phases
  ▪ Identify issues earlier through cross-functional review
Planning Phase

• Projects are identified to meet transportation needs
• Florida Transportation Plan (FTP)
• Cost Feasible Plan (CFP)
• Strategic Intermodal System (SIS) Plans
Planning Phase

• Planning and Environmental Linkage (PEL)
• Preliminary Environmental Discussion (PED)
• ETDM Screenings
  ▪ Planning screen
  ▪ Programming screen
• Statewide Acceleration Transformation (SWAT) process for Pre-PD&E activities
• Alternative Corridor Evaluation (ACE)
• Scoping work for the PD&E Phase
Planning Phase

Planning Studies

• Define or refine project parameters
• Establish Purpose and Need
• Define the project area
• Develop Alternatives
• Facilitate scope of work for the PD&E Phase
ETDM Screens lead to Project Development

Planning Screen
- Comprehensive Planning
  - Land Use
  - Mobility
  - Environment
  - Natural
  - Physical
  - Cultural
  - Community
- Development of Cost-Feasible Plans
- Planning Screen
  - ETAT Review and Coordination
  - Cost-Feasible Transportation Plans
  - MPO LRTP
  - SIS Plan
- ETDM Dispute Resolution Process
  - Potential Dispute?
  - NO: Planning Screen Summary Report
  - YES: ETDM Dispute Resolution Process

Programming Screen
- Cost-Feasible Transportation Plans
- Qualifying Priority Projects
- Federal Consistency Determination
  - YES: Programming Screen Summary Report
  - NO: ETDM Dispute Resolution Process
- Preliminary Programming Screen Summary Report
- Determine Class of Action
  - YES: Ready to Recommend Class of Action?
  - NO: PREP
- Technical Study Identified?
  - YES: Technical Study
  - NO: ETDM Dispute Resolution Required?
    - YES: ETDM Dispute Resolution Required?
    - NO: Candidate for or in Work Program?

Project Development & Environment Phase
- Environmental Technical Advisory Team (ETAT) Coordination

ETDM Manual

PD&E Manual

NEPA Assignment Training for FHWA Auditors
ETDM Framework

Efficient Transportation Decision Making
...While Protecting Florida’s Environment

Office of Environmental Management
FDOT
Office of Transportation
Office of Environmental Management

Efficient Transportation Decision Making
Office of Transportation
Office of Environmental Management

FDOT NEPA Assignment Training for FHWA Auditors

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About the ETDM process...

• Result of ETDM Programming Screen is the project’s recommended environmental document type or Class of Action (i.e. CE, EIS, EA)

• Florida’s process for incorporating environmental considerations into transportation planning to inform further project development phases. Provides agencies, local governments, tribes, and other stakeholders the opportunity for early input and consideration of the environment.

• Satisfies the statutory requirements under
  ▪ Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Section 6002(b) for Efficient Environmental Reviews for Project Decision Making
  ▪ Consistent with the streamlining objectives of the Moving Ahead for Progress in the 21st Century Act (MAP-21) and the FAST Act
About the ETDM process (continued)...

Projects need to meet screening criteria (ETDM Manual Topic No. 650-000-002) (EIS, EA, and certain types of CEs meet criteria)

Planning screen (ideally before project is selected for Work Program)

- Projects under consideration at the Long-Range Transportation Plan or County Growth Management Plan stage - and for prioritization within a Cost Feasible Plan (CFP)

Programming screen (typically after selection into Work Program)

- Builds upon planning screen, if applicable (not all projects completed planning screen)
- Projects being considered in FDOT’s Five Year Work Program for PD&E Study
- Supports development of PD&E Scope of Services

Web-based application with GIS tools: [https://etdmpub.fla-etat.org/est/](https://etdmpub.fla-etat.org/est/)
Alternative Corridor Evaluation (ACE)

• Need is identified during the SWAT Strategy Meeting
• Process used to identify, evaluate, and eliminate alternative corridors
• Typically, part of ETDM screening efforts
• Qualifying projects (EIS, EA, and SEIRs):
  ▪ New alignments
  ▪ Major realignments
  ▪ Major bypasses
  ▪ Others based on consultation with the Lead Agency
• PD&E Manual Part 1, Chapter 4
NEPA – Classes of Action

**Class I: Environmental Impact Statement (EIS)**
- Projects anticipated to have significant impacts
- Draft EIS, Final EIS, Record of Decision
- Final EIS and ROD should be combined

**Class II: Categorical Exclusions (CE)**
- Projects without significant impacts, excluded from requirement to prepare EA or EIS
- Type 1: Fits within a low-impact threshold checklist of project types
- Type 2: Non-significant impacts that need further explanation

**Class III: Environmental Assessment (EA)**
- Projects where significance of impacts is unknown
- Results in either a Finding of No Significant Impact (FONSI) or EIS
Project Development & Environmental (PD&E) Phase

- Environmental Document approval
- Continues PEL
- Builds on prior planning and ETDM screen
- Federal or state process
- Select recommended alternative for design
- Initial permit coordination
- PD&E Manual
FDOT Environmental Documents satisfy NEPA

- Proposed actions are fully described
- Legitimate purpose and need
- Existing study area environment is fully and appropriately evaluated
- Stakeholders are involved
  - Local governments, Federal/State Agency, and Tribal coordination and consultation takes place
  - Public notice and involvement appropriately occur, including participation and comment opportunities
  - Comments are considered during study and before a decision is made
- An appropriate range of alternatives is studied
FDOT Environmental Documents satisfy NEPA

• Impacts to the environment are identified, studied, and considered in decision-making
  - Natural Environment
  - Human Environment - social & economic
  - Indirect and Cumulative Effects considered

• Federal findings are documented

• Alternatives Analysis occurs, which compares potential impacts
  - A consistent decision-making approach is used
  - Balanced decision-making that considers all parameters
  - Avoid first, then minimize, then mitigate
  - The decision and its justification are publicly announced
Results from FDOT PD&E Study

• Balanced decision-making occurred
• Meets the requirements of NEPA and associated laws and regulations
• The Public, Local Governments, Tribes, and other Stakeholders are aware of the proposed project and its parameters
• The NEPA study lays the ground work to obtain appropriate Agency Permits
  ▪ Interagency coordination
  ▪ Appropriate federal findings
  ▪ Identification of mitigation needs and opportunities
Design Phase

- Produce final design plans for ROW acquisition, and construction
- Can sometimes commence when project team is comfortable with a “low risk,” recommended alternative
- Provide drawings to support Permit
- Maintain NEPA Consistency
  - Ensure previous project commitments are followed
  - Provide NEPA document Re-evaluations (if needed)
- Guidance:
  - Florida Design Manual
  - Florida Greenbook
Right-of-Way Phase

- Involves the appraisal, negotiation, and acquisition of needed parcels and easements.
- Adequate notice to property owners and tenants
- Relocation assistance
- Secure needed mitigation

Construction Phase

- Construct and deliver a completed facility
- Mitigation and commitments Implemented
Local Agency Program (LAP) Projects

- Local governments/agencies seek federal funds through FHWA’s Locally-Administered Federal-Aid Projects program
  - In Florida, we call it the Local Agency Program (LAP)
- LAP Projects must comply with NEPA
- Local governments/agencies develop projects
- FDOT is responsible for...
  - Administering Florida’s LAP
  - Project oversight
  - Disbursement of federal-aid funds
FDOT Environmental Processes
OEM Points of Contact

**ENVIRONMENTAL**

- Matt Marino*
  - Katie Britt
- Brittany Bianco*
  - Erica Christianson
- Mariano Berrios*
  - Lindsay Guthrie
- Thu-Huong Clark*
  - Erica Christianson
- Thu-Huong Clark*
  - Erica Christianson

**ENGINEERING**

- Victor Muchuruza
- Michael Sykes
- Victor Muchuruza
- Michael Sykes
- Victor Muchuruza
- Jenna Bowman

**NOTES:** * Primary Contact

**Administrator Support to all Districts**

- Marjorie Kirby
- Victor Muchuruza
- Katasha Cornwell
- Peter McGilvray

**Office of General Counsel**

- Kathleen Toolan
- Nona Shaffner
- George Reynolds

April 17, 2018
Overview of Environmental Review Process

ETDM Screening; Scope of Services Finalized; Advance Notification; Class of Action evaluation

Project Initiation

Technical Studies

District Review of Technical Studies

Prepare Draft Environmental Document

OEM and Legal Document Review

District Updates Draft Environmental Document

OEM and Legal Review and Approval

Public Hearing

District Quality Control Certification prior to submittal to OEM

OEM and Legal Review of Final Document

District Certifies Final Document

OEM Approves Final Document; Location and Design Concept Acceptance

Additional Steps for FONSI/ROD (Publication and Limitation of Claims)

Final Legal Sufficiency Completed for EISs and Individual Section 4(f)

LEGEND
- District
- OEM
Review and Approval

1. **Document Preparation**
   - Project Editors: Prepare document
   - District Reviewers: Provide comments
   - Lead Reviewer: Consolidates and completes review

2. **District Certification**
   - Lead Reviewer
   - Project Manager
   - Project Development Manager/District Environmental Manager
   - Send to OEM Project Delivery Coordinator

3. **Initial OEM review**
   - OEM Project Delivery Coordinator: Confirms submittal
   - OEM /OGC Review: Provide comments
   - OEM Submits Comments to District In ERC

4. **District Response**
   - District Prepares Responses
   - OEM Comments Resolved
   - Approval Process for: Type 2 CE, EA, FONSI, DEIS, FEIS/ROD, Re-evaluations

5. **District Approval**
   - Project Manager
   - Project Development Manager/District Environmental Manager
   - Send to OEM Project Delivery Coordinator
   - Return to District

6. **OEM Approval**
   - OEM Project Delivery Coordinator: Confirms submittal
   - OEM Environmental Program Administrators and OGC (if needed): Recommend for approval
   - OEM Director Approves
Review and Approval - Type 1 CEs

1. Document Preparation
   - Project Editors
     - Prepare document
   - District Reviewers
     - Provide comments
   - Lead Reviewer
     - Consoldates and completes review

2. District Certification
   - Lead Reviewer
   - Project Manager
   - District Environmental Manager
     - Approves

Comment
Re-evaluations
Re-evaluation

District initiates a Re-evaluation

District Consults with OEM

Consultation Requires Signature?

District Documents Consultation in Project File

NO

YES

District Submits Re-evaluation to OEM

OEM Approval

Proceed with Project
Project Commitments
Project Commitments

• FDOT Commitments Tracking Procedure Topic No. 650-000-003
• PD&E Manual: Part 2, Chapter 22
  • Commitments are written and documented correctly
  • Commitments do not repeat laws, specs, standards
  • Commitments are doable
  • Recognize difference between permit conditions and commitments
  • Responsible party for commitments
• For Re-evaluations, districts provide status of NEPA Commitments
Project QA/QC
Project Quality Assurance / Quality Control

- Consultants conduct QC for the PD&E Studies
- Districts reviews Consultants work and verify QC was performed
- OEM performs quality assurance

Guidance:
- QA/QC Policy Topic No.: 001-260-001
- FDOT Project Management Handbook, Part 1, Chapter 16
- Scope of Services for PD&E Studies
- Quality Control Plan and QC Checklist
Training
OEM Training Opportunities:

- PD&E Process and Documentation
- ETDM Process
- NEPA Assignment
- SWEPT
- Subject Specific Courses
- Instructor Led Courses
- Webinars
- Web Based and On Demand Videos
- Transportation Symposium
- Tracked in LMS: Learning Curve
Any Questions?
Overview
Key Features

**SWEPT will provide tools to help:**

- Track environmental project schedules
- Integrate PD&E Scopes of Service
- Assign and document environmental document reviews
- Provide for consistent and reliable file management and retention
- Support Self-Assessment and FHWA audits of environmental documents
- Report quality and performance management results
SWEPT User Community

• District Environmental Administrators and Managers

• District PD&E Managers, Project Managers, & Team Members

• OEM Project Delivery Coordinators & Managers

• OEM Quality Assurance and Quality Control Staff

• OGC Environmental Document Reviewing Attorneys

• FHWA Auditors
SWEPT Components

- Project Dashboards
- Project Input / Setup
- Project Documents
- Quality & Performance Management
- Team Management
SWEPT Home Page

Click box to go to module

Menus expand to list more pages
SWEPT Home Page

My Projects

<table>
<thead>
<tr>
<th>Managing District</th>
<th>FM Number</th>
<th>Project Name</th>
<th>COA</th>
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<tr>
<td>D3</td>
<td>215945-5-21-01</td>
<td>QUINCY LOOP SOUTH FROM SR 267 TO SR 10 (US 90) EAST</td>
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<td>426334-1-31-01</td>
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<td>218764-2-31-01</td>
<td>SR 65 GRAHAM CREEK BRIDGE NO. 490018</td>
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<td>D3</td>
<td>217909-9-22-01</td>
<td>SR 77 FROM N OF BLUE LAKE ROAD TO JACKSON CO LINE</td>
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<td>217911-8-61-01</td>
<td>SR 79 OVER WEST BAY BRIDGE NO. 460077</td>
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<td>433113-1-21-01</td>
<td>SR 8 (I-10) AT CR 99 BEULAH ROAD</td>
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<td>SR 8 (I-10) AT CR 99 BEULAH ROAD</td>
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<td>416749-4-21-03</td>
<td>SR 87 F&amp;D STUDY - EXPANSION</td>
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Links to projects

Help Desk

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For additional information, please e-mail questions or comments to Florida Department of Transportation Office of Environmental Management (OEM): swept@fl.dot or call 850-414-5333.
### Project Dashboards

#### Federal SWAT Dashboard

#### State SWAT Dashboard

#### Executive Dashboards

<table>
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<tr>
<th>Fiscal Year</th>
<th>Item ID</th>
<th>Item Description</th>
<th>Project Likely Requires New ROW</th>
<th>Estimated Federal COA</th>
<th>Ph I Plans (30%) / Ph II Plans (60%)</th>
<th>SEIR Start (PSM 705)</th>
<th>PD&amp;E Advertisement (PSM 706)</th>
<th>SEIR Approved (PSM 734)</th>
<th>60% Design Plans (PSM 392)</th>
<th>ROW Cert (PSM 255)</th>
<th>Production Date (PSM 204)</th>
<th>District Notes</th>
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<td>Yes</td>
<td>36 / 61 / 3</td>
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<td>01/31/2017 04/20/2022 04/19/2022</td>
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<td>2</td>
<td>2/15/16</td>
<td>PSM serves</td>
<td>Yes</td>
<td>36 / 61 / 3</td>
<td>01/05/2015 A 09/17/2015 A 10/20/2017</td>
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<td>15/16</td>
<td>PSM serves</td>
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<td>12/07/2015 A 05/20/2016 A 01/25/2018</td>
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<td></td>
<td></td>
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</tbody>
</table>

- **Note:** Projects with **PSM** are considered NEPA projects.

- **Total Projects:** 3

- **End of Project Dashboards**

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**NEPA Assignment Training for FHWA Auditors**

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**Office of Environmental Management**

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**PD&E:** Public Involvement Plan (PSM), Draft Environmental Impact Statement (PSM 262), Final Environmental Impact Statement (PSM 734), 60% Design Plan (PSM 392), ROW Certification (PSM 255), Production Date (PSM 204).
SWEPT Video – Project Dashboards
Type 1 Categorical Exclusion Checklist

**Financial Management (FM) Number** The Item Number and Item Segment (first two blocks) are required.

**Work Program Project Description (Name)** If this description is incorrect, please correct it in the Work Program. Updates will be reflected here within one day.

**Work Mix** If this description is incorrect, please correct it in the Work Program. Updates will be reflected here within one day.

**County Name** If the county name is incorrect, please correct it in the Work Program. Updates will be reflected here within one day.

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

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

**CE Activity Type** Select the primary activity type that describes this project and meets the criteria for Categorical Exclusion.

- (c) N/A
- (d) N/A

1. **Will the action cause major adverse impacts on travel patterns, planned growth, land use for the area or access control?**

2. **Will the action cause adverse impacts to air, noise or water quality?**
Project Documents

• Provides access to the project file
• Uses consistent format and structure
• Transfers files to EDMS
  ▪ Manages retention
  ▪ Organizes by group and type
  ▪ Accessible to other systems through EDMS
• Supports the Administrative Record
• Supports environmental document review process
## Environmental Document Submittal Form

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<th>Field</th>
<th>Value</th>
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<td>FM Number</td>
<td>433225-1-21-01</td>
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<tr>
<td>Project Name</td>
<td>US 41 FROM RINGLING BLVD TO MAIN STREET</td>
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<tr>
<td>District</td>
<td>FDOT District 1</td>
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### NEPA Document Type
- Select a value

### Submittal Type
- Select a value

### Re-evaluation
- Yes
- No

### Re-evaluation Type
- Preliminary Engineering
- Right of Way
- Design Change
- Construction Advertisement

### Project Phase
- Select a value

### LAP Project
- Yes
- No

### Anticipated Letting Type
- Select a value

### Contents of Submittal
Include a list of the documents and technical reports being submitted.
Digital Queues to keep everyone’s work in front of them
Standard Reports

Approved Categorical Exclusion Report

<table>
<thead>
<tr>
<th>Reporting Period: 12/14/2016 to 04/30/2017</th>
<th>Search</th>
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Projects With Approved Type 1 CE's

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<th>FM Number</th>
<th>Project Name</th>
<th>Date</th>
<th>CE Number</th>
<th>Approver</th>
</tr>
</thead>
<tbody>
<tr>
<td>D1</td>
<td>433185-1-02-01</td>
<td>2ND STREET SOUTH FROM 11TH AVENUE SOUTH TO 5TH AVENUE SOUTH</td>
<td>04/15/2017</td>
<td>(c) (3)</td>
<td>Jonathon Adam Bennett FOR Gwen G. Pipkin</td>
</tr>
<tr>
<td>D1</td>
<td>433168-1-02-01</td>
<td>3RD STREET NORTH FROM CENTRAL AVENUE TO 7TH AVE NORTH</td>
<td>04/17/2017</td>
<td>(c) (3)</td>
<td>Jonathon Adam Bennett FOR Gwen G. Pipkin</td>
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<td>D2</td>
<td>206532-1-44-01</td>
<td>ACOSTA BRIDGE BRIDGE NO 726030</td>
<td>03/24/2017</td>
<td>(d) (6)</td>
<td>Terri Newman</td>
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<tr>
<td>D7</td>
<td>432603-1-52-01</td>
<td>ALT US 12 (SR 555) FROM S OF PARK ST N TO W END LONG BAYOU BRIDGE</td>
<td>03/20/2017</td>
<td>(c) (25)</td>
<td>Joseph Feaster FOR Robin Rhinesmith</td>
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<tr>
<td>D3</td>
<td>437085-1-31-01</td>
<td>BAUER ROAD FROM CR 292A GULF BEACH HWY TO SR 292 SORRENTO ROAD</td>
<td>04/26/2017</td>
<td>(c) (26)</td>
<td>Amanda Marshall FOR Joy Swanson Pleas</td>
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<tr>
<td>D7</td>
<td>410992-3-06-01</td>
<td>BAYSHORE BLVD FROM GANDY BLVD TO S HOWARD AVE</td>
<td>03/16/2017</td>
<td>(c) (3)</td>
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<tr>
<td>D5</td>
<td>435832-1-58-01</td>
<td>BIG TREE ROAD SHARED USE PATH FROM NOVA RD TO E OF SEGRAVE ST</td>
<td>02/23/2017</td>
<td>(c) (3)</td>
<td>William G. Walsh</td>
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<tr>
<td>D5</td>
<td>440092-1-58-01</td>
<td>CATALINA BOULEVARD @ HOWLAND BOULEVARD</td>
<td>02/23/2017</td>
<td>(c) (26)</td>
<td>William G. Walsh</td>
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<tr>
<td>D1</td>
<td>434969-1-02-01</td>
<td>CHESTER AVE FROM DOC COIL RD TO ORANGE ST</td>
<td>04/25/2017</td>
<td>(c) (3)</td>
<td>Jonathon Adam Bennett FOR Gwen G. Pipkin</td>
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<td>D3</td>
<td>432224-1-38-01</td>
<td>CHIPOLA ROAD FROM SR 71 SOUTH TO SR 20 CENTRAL AVENUE</td>
<td>02/03/2017</td>
<td>(c) (3)</td>
<td>Amanda Marshall FOR Joy Swanson Pleas</td>
</tr>
</tbody>
</table>

Standard reports to monitor performance
SWEPT Demonstration

• General Navigation
SWEPT Support for the Environmental Document Review Process
**Environmental Document Review Quick Reference**

### Type 1 Categorical Exclusion (CE)

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Fill out Type 2 CE form in SWIFT (do not submit for approval yet)</td>
</tr>
<tr>
<td>2</td>
<td>Save as PDF</td>
</tr>
<tr>
<td>3</td>
<td>Upload form and supporting documentation to ERC</td>
</tr>
<tr>
<td>4</td>
<td>Fill out EDS after uploading documents to ERC</td>
</tr>
</tbody>
</table>
| 5    | On EDS, select:  
|      | - Submittal Type = Initial  
|      | - Document Type = Type 2 CE  
|      | - Submit for routing |
| 7    | SWIFT routes EDS through:  
|      | - Environmental Manager  
|      | - Project Development Manager  
|      | - District approves EDS certifies that the document is ready for review |
| 8    | OEM confirms that document is ready for review (in SWIFT) within 24 days |
| 9    | OEM and OEC provide comments (if EEC) within 30 days |
| 10   | OEM and District coordinate to resolve comments (offline) |
| 11   | OEM and District agree when document is ready to submit for approval (offline) |

### Type 2 CE

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>12</td>
<td>Attach supporting documents to Type 2 CE form in SWIFT and route for District approval</td>
</tr>
<tr>
<td>13</td>
<td>After Type 2 CE form is approved by District, fill out the EDS form</td>
</tr>
</tbody>
</table>
| 14   | On EDS, select:  
|      | - Submittal Type = Request for Approval  
|      | - Document Type = Type 2 CE  
|      | - Submit for routing |
| 16   | EDS form approved by:  
|      | - Environmental Manager  
|      | - Project Development Manager |

### Environmental Assessment (EA) or Environmental Impact Statement (EIS)

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Send supporting documents to ERC and route for District approval</td>
</tr>
</tbody>
</table>
| 7    | EDS routes EDS through:  
|      | - Environmental Manager  
|      | - Project Development Manager  
|      | - District approves EDS certifies that the document is ready for review |
| 6    | OEM confirms that document is ready for review (in SWIFT) within 14 days |
| 7    | OEM and District coordinate to resolve comments (offline) |
| 8    | OEM and District agree when document is ready to submit for approval (offline) |

### No OEM concurrence:

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>Fill out re-evaluation form in SWIFT, documenting the nature of concurrence with OEM, then submit for approval</td>
</tr>
<tr>
<td>11</td>
<td>The Environmental Manager approves the re-evaluation in SWIFT</td>
</tr>
</tbody>
</table>

### Internal ERC Review (For OEM concurrence)

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Fill out re-evaluation form in SWIFT and route for District approval</td>
</tr>
<tr>
<td>4</td>
<td>Fill out EDS after uploading documents to ERC</td>
</tr>
</tbody>
</table>
| 5    | Select:  
|      | - Submittal Type = Initial  
|      | - Document Type = Re-Evaluation  
|      | - Submit for routing |
| 7    | SWIFT routes EDS through:  
|      | - Environmental Manager  
|      | - Project Development Manager  
|      | - District approves EDS certifies that the document is ready for review |
| 8    | OEM confirms that document is ready for review (in SWIFT) within 14 days |
| 9    | OEM provides comments (if EEC) within 30 days |
| 10   | OEM and District coordinate to resolve comments (offline) |
| 11   | OEM and District agree when document is ready to submit for approval (offline) |

### Re-evaluation

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>12</td>
<td>Attach supporting documents to re-evaluation form in SWIFT and route for District approval</td>
</tr>
<tr>
<td>13</td>
<td>After Re-evaluation form is approved by District, fill out the EDS form</td>
</tr>
</tbody>
</table>
| 16   | EDS form approved by:  
|      | - Environmental Manager  
|      | - Project Development Manager |

### Office of Environmental Management

**NEPA Assignment Training for FHWA Auditors**
SWEPT Videos

http://www.fdot.gov/environment/sched/train1.shtm
# Document Review and Approvals: Categorical Exclusions

Environmental Document Review Quick Reference

<table>
<thead>
<tr>
<th>Type 1 Categorical Exclusion (CE)</th>
<th>OEM ERC Review</th>
<th>EDS Environmental Document Submittal</th>
<th>District Approval</th>
<th>OEM Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>X</strong></td>
<td></td>
<td></td>
<td></td>
<td><strong>X</strong></td>
</tr>
</tbody>
</table>

**OEM ERC Review**

1. Fill out Type 2 CE form in SWEPT (do not submit for approval yet)
2. Save as PDF
3. Upload form and supporting documentation to ERC
4. Fill out EDS after uploading documents to ERC
5. On EDS, select:
   - **Submittal Type** = Initial
   - **Document Type** = Type 2 CE
6. Submit for routing

**Route for Signatures**

12. Attach supporting documents to Type 2 CE form in SWEPT and route for District approval
13. After Type 2 CE form is approved by District, fill out the EDS form.
14. On EDS, select:
   - **Submittal Type** = Request for Approval
   - **Document Type** = Type 2 CE
15. Submit for routing
12a. Type 2 CE form approved by:
    - **Project Manager**
    - **Environmental Manager**
16. EDS form approved by:
    - **Environmental Manager**
    - **Project Development Manager**

**District Approval**

7. SWEPT routes EDS through:
   - Environmental Manager
   - Project Development Manager

District approval of EDS certifies that the document is ready for review

8. OEM confirms that document is ready for review (in SWEPT) within 14 days
9. OEM and OGC (if requested) provide comments (in ERC) within 30 days
10. OEM and District coordinate to resolve comments (off-line)
11. OEM and District agree when document is ready to submit for approval (off-line)

**OEM Approval**

17. OEM PDC confirms that document is ready for approval within 14 days
18. OGC/OEM Administrators complete review within 25 days
   - OGC determines legal sufficiency when Section 4(f) is involved
   - OGC recommends for approval (if needed)
19. OEM Administrators recommend document for approval

---

1. Approvers may designate another active FDOT SWEPT user in their District as a delegate to perform their approvals for a defined time period.
2. When OEM returns a document for minor edits, it may be resubmitted directly to OEM without interruption to the time line. When OEM returns a document for more substantial changes, it is re-routed and the review period will restart.
3. **X** = no action occurs at this point in the process.
OGC Review and Legal Sufficiency Determination

*EIS Significant Impacts to Section 4(f)?*

- **YES** - Legal Sufficiency Determination required
  - PDC → OGC and OEM Env. Administrators → OEM Director

- **No or Enhancement**
  - Legal Sufficiency Determination not required
  - OGC review only required if determined by OEM or OGC
  - PDC → OGC and OEM Env. Administrators → OEM Director

- **No Involvement** – No OGC review or Legal Sufficiency Determination
  - PDC → OEM Env. Administrators → OEM Director
Creating the Environmental Document Submittal

Main Menu

- My Alerts
- Project input / Setup
- Project Documents
- Overview
- Environmental Document Submittal Form

Project Page

- Project Documents
  - Show all
  - Collapse all
  - Show files

Topic/Document

- PD&E Provisions for Work
- Planning
- Environmental Review Process

Environmental Document Submittal form

- Environmental Document Submittal

or

FDOT

NEPA Assignment Training for FHWA Auditors 59
Route the Environmental Document Submittal

Use options under Submit to save or process the form:

**Project Team Member**
- Save as Draft
- Send for Review

**District Project Manager**
- (must be FDOT employee)
- Send for Review
- Need More Information

**District Environmental Manager**
- and
**Project Development Manager**
- (must be FDOT employees)
- Certify that the document is complete
- Need More Information

After both managers certify the document (in any order), the OEM Project Delivery Coordinator receives an email indicating that the document is ready for review.
Document Review and Approvals:

**EA/EIS**

<table>
<thead>
<tr>
<th>Environmental Assessment (EA) or Environmental Impact Statement (EIS)</th>
<th>OEM ERC Review</th>
<th>Route for Signatures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OEM ERC Review</strong></td>
<td>Upload documents to ERC</td>
<td></td>
</tr>
</tbody>
</table>
1) Fill out EDS after uploading documents to ERC  
2) Submittal Type = Initial  
3) Submit for routing |  
4) SWEPT routes EDS through:  
- Environmental Manager  
- Project Development Manager  
  District approval of EDS certifies that the document is ready for review |  
5) OEM confirms that document is ready for review (in SWEPT) within 14 days  
6) OEM and OGC provide comments (in ERC) within 30 days  
7) OEM and District coordinate to resolve comments (off-line)  
8) OEM and District agree when document is ready to submit for approval (off-line) |

| **Route for Signatures** |  
9) Upload EA (or EA/FONSI) and supporting documents to SWEPT  
10) Fill out the EDS form in SWEPT selecting Submittal Type = Request for Approval  
11) Identify applicable Document Type and Approval Cover Page Expected (see options below)  
12) Submit for routing |  
13) EDS form approved by:  
- Environmental Manager  
- Project Development Manager |  
14) OEM PDC confirms that document is ready for approval within 14 days  
15) OGC/OEM Administrators complete review within 25 days  
  - OGC determines legal sufficiency when Section 4(f) is involved  
  - OGC recommends for approval (if needed)  
  - OEM Administrators recommend document for approval  
16) OEM Director approves document within 5 days |

---

1 Approvers may designate another active FDOT SWEPT user in their District as a delegate to perform their approvals for a defined time period.

2 When OEM returns a document for minor edits, it may be resubmitted directly to OEM without interruption to the time line. When OEM returns a document for more substantial changes, it is re-routed and the review period will restart.

3 X = no action occurs at this point in the process.
Environmental Document Submittal

EA/EIS

• Similar to information provided for Type 2 CE submittal

• On Requests for Approval also provide:
  ▪ Type of cover page
  ▪ Information for the cover page (fields may vary according to cover page):
    ◆ Abstract
    ◆ Brief Project Description
    ◆ District Contact
# Document Review and Approvals: EA/EIS

## Document Types and Cover Pages

The following document types and cover pages options are available when processing EAs or EISs for OEM approval.

<table>
<thead>
<tr>
<th>Class of Action</th>
<th>Document Type</th>
<th>Approval Cover Page Expected</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EA</strong></td>
<td>EA for public availability</td>
<td>• Environmental Assessment/Draft Section 4(f) Evaluation</td>
</tr>
<tr>
<td></td>
<td>EA</td>
<td>• Environmental Assessment</td>
</tr>
</tbody>
</table>
|                 | EA with FONSI | • Finding of No Significant Impact  
|                 |               | • Finding of No Significant Impact/Final Section 4(f) Evaluation  
|                 |               | • Finding of No Significant Impact/Final Section 4(f) de minimis Approval  |
| Re-evaluation   |               | • None                       |
| **EIS**         | Notice of Intent | • Notice of Intent              |
|                 | DEIS          | • Draft Environmental Impact Statement  
|                 |               | • Draft Environmental Impact Statement/Section 4(f) Evaluation  |
|                 | FEIS          | • Final Environmental Impact Statement  
|                 |               | • Final Environmental Impact Statement/Section 4(f) Evaluation  
|                 |               | • Final Environmental Impact Statement/Section 4(f) de minimis Approval  |
|                 | ROD           | • Record of Decision          |
|                 | FEIS/ROD      | • Final Environmental Impact Statement/Record of Decision  
|                 |               | • Final Environmental Impact Statement/Record of Decision/Section 4(f) Evaluation  
|                 |               | • Final Environmental Impact Statement/Record of Decision/Section 4(f) de minimis Approval  |
|                 | Supplemental EIS | • Supplemental Draft Environmental Impact Statement  |
|                 |               | • Final Supplemental Environmental Impact Statement  |
|                 | Re-evaluation | • None                       |
# Document Review and Approvals: Re-evaluations

<table>
<thead>
<tr>
<th>No OEM Concurrency Signature Required</th>
<th></th>
<th></th>
<th>Fill out Re-evaluation form in SWEPT, documenting the date of consultation with OEM. The Environmental Manager approves the Re-evaluation in SWEPT</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal ERC Review (for OEM concurrence)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1) Fill out Re-evaluation form in SWEPT (do not submit for approval yet)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2) Save as PDF</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3) Upload form and supporting documentation to ERC</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4) Fill out EDS after uploading documents to ERC</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 5) Select:  
  • Submittal Type = Initial  
  • Document Type = Re-evaluation |  |  |  |  |
| 6) Submit for routing |  |  |  |  |
| 7) SWEPT routes EDS through:  
  • Environmental Manager  
  • Project Development Manager  
  District approval of EDS certifies that the document is ready for review |  |  |  |  |
| 8) OEM confirms that document is ready for review (in SWEPT) within 14 days |  |  |  |  |
| 9) OEM provides comments (in ERC) within 30 days |  |  |  |  |
| 10) OEM and District coordinate to resolve comments (off-line) |  |  |  |  |
| 11) OEM and District agree when document is ready to submit for approval (off-line) |  |  |  |  |
| Route for Signatures (for OEM concurrence) |  | 12) Attach supporting documents to Re-evaluation form in SWEPT and route for District approval |  |  |
| 13) After Re-evaluation form is approved by District, fill out the EDS form.  
  14) Submittal Type = Request for Approval  
  15) Submit for routing |  | 12a) Re-evaluation form approved by Environmental Manager |  |  |
| 16) EDS form approved by:  
  • Environmental Manager  
  • Project Development Manager |  |  |  |  |
| 17) OEM PDC confirms that document is ready for approval within 14 days |  |  |  |  |
| 18) CGC/OEM Administrators complete review within 25 days  
  - CGC recommends for approval (if needed)  
  - OEM Administrators recommend document for approval |  |  |  |  |
| 19) OEM Director approves document within 5 days |  |  |  |  |

---

1 Approvers may designate another active FDOT SWEPT user in their District as a delegate to perform their approvals for a defined time period.

2 When OEM returns a document for minor edits, it may be resubmitted directly to OEM without interruption to the time line. When OEM returns a document for more substantial changes, it is re-routed and the review period will restart.

3 X = no action occurs at this point in the process.
SWEPT Demonstration

• Enhancements Since Previous Audit
• Type 1
• Re-evaluation
Using SWEPT to Support FHWA Audits
General Navigation

Return to Home page

Account Settings

Export pages

Find projects, documents, or contacts

Main Menu

Toggle Main Menu

StateWide Environmental Project Tracker
<table>
<thead>
<tr>
<th>Managing District</th>
<th>Project Name</th>
<th>EA</th>
<th>Re-evaluation</th>
<th>Section 4 (f)</th>
<th>CE #</th>
<th>ETOM #</th>
<th>Approver</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>D1</td>
<td>416656-1-22-01</td>
<td>EA</td>
<td>Re-evaluation</td>
<td>No</td>
<td>N/A</td>
<td>Jason Watts</td>
<td>01/11/2018</td>
<td></td>
</tr>
<tr>
<td>D2</td>
<td>428455-1-21-01</td>
<td>EA</td>
<td>Re-evaluation</td>
<td>No</td>
<td>N/A</td>
<td>Jason Watts</td>
<td>04/33/2018</td>
<td></td>
</tr>
<tr>
<td>D3</td>
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<td>EA</td>
<td>Re-evaluation</td>
<td>No</td>
<td>N/A</td>
<td>Jason Watts</td>
<td>04/15/2018</td>
<td></td>
</tr>
<tr>
<td>D3</td>
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<td>EA</td>
<td>Re-evaluation</td>
<td>No</td>
<td>N/A</td>
<td>Jason Watts</td>
<td>04/12/2018</td>
<td></td>
</tr>
<tr>
<td>D3</td>
<td>490334-1-22-01</td>
<td>EA</td>
<td>Re-evaluation</td>
<td>No</td>
<td>N/A</td>
<td>Jason Watts</td>
<td>03/05/2018</td>
<td></td>
</tr>
<tr>
<td>D3</td>
<td>424464-3-22-01</td>
<td>EA</td>
<td>Re-evaluation</td>
<td>No</td>
<td>N/A</td>
<td>Jason Watts</td>
<td>02/16/2018</td>
<td></td>
</tr>
<tr>
<td>D3</td>
<td>217099-2-22-01</td>
<td>EA</td>
<td>Re-evaluation</td>
<td>No</td>
<td>N/A</td>
<td>Jason Watts</td>
<td>09/14/2017</td>
<td></td>
</tr>
<tr>
<td>D4</td>
<td>296664-2-22-01</td>
<td>EA</td>
<td>Re-evaluation</td>
<td>No</td>
<td>N/A</td>
<td>Jason Watts</td>
<td>02/22/2018</td>
<td></td>
</tr>
<tr>
<td>D5</td>
<td>494605-1-22-01</td>
<td>EA</td>
<td>Re-evaluation</td>
<td>No</td>
<td>N/A</td>
<td>Jason Watts</td>
<td>03/28/2018</td>
<td></td>
</tr>
<tr>
<td>D5</td>
<td>416874-1-22-01</td>
<td>EA</td>
<td>Re-evaluation</td>
<td>No</td>
<td>N/A</td>
<td>Jason Watts</td>
<td>06/14/2018</td>
<td></td>
</tr>
</tbody>
</table>

Showing 1 to 10 of 898 entries
SWEPT Demonstration

- FHWA Audit Team
Any Questions?
SWEPT Videos

http://www.fdot.gov/environment/sched/train1.shtm
SWEPT Contacts

Office of Environmental Management

Pete McGilvray
Peter.Mcgilvray@dot.state.fl.us
(850) 414-5330

Help Desk
swept@fla-etat.org
(850) 414-5334