

## Park Roads and Parkways Program NEPA/Project Development Design and Environmental Compliance Steps

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
<b>PROJECT START</b> NOTE: This process begins after a project has been selected for funding.	<b>Confirm Project Scope &amp; Budget</b>	<ul style="list-style-type: none"> <li>▪ Verify the cost and proposed project scope with FHWA</li> <li>▪ Review Project Management Information System (PMIS) scope &amp; cost estimate</li> <li>▪ Send letter to park to initiate first project meeting, which includes a request to identify resources to be affected, etc.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Identify (a) potentially affected resources, including threatened/endangered species, cultural resources, floodplains/wetlands and (b) public involvement strategy – use FHWA project recon report template as checklist &amp; bring info to project agreement (PA) meeting.</li> </ul>	
	<b>Project Scoping &amp; Initial Field Review (Preliminary PA)</b>	<ul style="list-style-type: none"> <li>▪ Prepare and sign preliminary PA.<sup>1</sup></li> <li>▪ Collect information needed to prepare upcoming reconnaissance report.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Begin internal scoping (identify resources to be affected, including threatened/endangered species, cultural resources, floodplains/wetlands, public involvement strategy, consulting parties)</li> <li>▪ Initiate environmental screening form (ESF) &amp; make preliminary identification of appropriate NEPA pathway</li> <li>▪ Request threatened &amp; endangered (T&amp;E) species list</li> <li>▪ Determine if project is an undertaking with the potential to affect National Register properties</li> </ul>	<ul style="list-style-type: none"> <li>▪ Conduct meeting at the park and walk through project.</li> <li>▪ Identify purpose and need, and agree/document assumptions based on transportation, resource, and visitor use needs and concerns.</li> <li>▪ Identify project interdisciplinary team, roles, and responsibilities.</li> <li>▪ Identify range of alternatives, including non-construction, if applicable.</li> </ul>

<sup>1</sup> Preliminary PA - SCOPE: Refine the initial scope of a project based on the PMIS project proposal. Scope at this stage will be focused on problem identification, not problem solution. ROLES AND RESPONSIBILITIES: Commissioning the project team: Identify key team members for project development. This will include at a minimum project manager(s), and critical sub-element managers such as an environmental manager. Also included will be the key points of contact for all entities involved in project delivery. Not all members of the final project development team need to be identified but it is understood that the key members have the authority within their respective organizations to obtain human resources necessary to fill gaps within the project team as needed. SCHEDULE & BUDGET: Minimal. Dates and funds identified to prepare environmental work plan, reconnaissance report and preparation of comprehensive PA. MANAGEMENT ENDORSEMENT: Management for all organizations agree with the initial project scope and direction and agree with the allocation of human resources associated with the commitments implied by the roles and responsibilities assigned.

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
<b>PROJECT REPORTS/ WORK PLANS</b>	<b>Develop Reconnaissance Report</b>	<ul style="list-style-type: none"> <li>Prepare project reconnaissance report. Insert initial NPS ESF into this report.</li> </ul>	<ul style="list-style-type: none"> <li>Provide project manager(s) with initial ESF for development of reconnaissance report</li> </ul>	
	<b>Develop Environmental Work Plan</b>		<ul style="list-style-type: none"> <li>Develop an environmental work plan that describes the scope, schedule and budget to complete environmental compliance activities.</li> <li>Start data reporting in Planning Environment and Public Comment (PEPC).</li> </ul>	
	<b>Prepare Comprehensive PA<sup>2</sup></b>			<ul style="list-style-type: none"> <li>Review PA based on results of reconnaissance report and environmental work plan (EWP).</li> <li>Update PA to reflect refinements in scope and provide detailed schedule and budget information.</li> <li>Sign comprehensive PA.</li> </ul>
<b>NEPA SCOPING</b>	<b>Begin Public &amp; Agency Scoping</b>		<ul style="list-style-type: none"> <li>Contact and inform interested agencies (U.S. Fish &amp; Wildlife Service, National Marine Fisheries Service NMFS, etc.) and public of proposed project as consistent with Director's Order (DO-12).</li> <li>Notify State/Tribal Historic Preservation Officer (S/THPO), that National Register properties might be affected</li> </ul>	<ul style="list-style-type: none"> <li>Analyze comments received.</li> </ul>
<b>SURVEY &amp; MAPPING</b>	<b>Survey &amp; Mapping</b>	<ul style="list-style-type: none"> <li>Engineering surveys, investigations and mapping</li> </ul>		

<sup>2</sup> Comprehensive PA – SCOPE: Shift from problem identification to include preliminary approaches to solutions. ROLES AND RESPONSIBILITIES: Fill in missing development team members based on further knowledge of specialized design or resource information needs. SCHEDULE & BUDGET: Comprehensive. Dates and funds are identified to develop project fully. Budgets and schedules will be modified by subsequent PA updates but the schedule and budget developed at this stage should be the first comprehensive project schedule and budget. MANAGEMENT ENDORSEMENT: Higher level signature required to support human and fiscal resource commitments made with comprehensive schedule and budget.

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
	<b>Resource Surveys (Natural &amp; Cultural)</b>	<ul style="list-style-type: none"> <li>▪ Combine survey data above and the results of the data collection into the start of the preliminary design.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Resource data collection, as identified in environmental work plan.</li> <li>▪ Update PEPC.</li> </ul>	
<b>15% DESIGN<sup>3</sup></b>	<b>Design of Alternatives</b>	<ul style="list-style-type: none"> <li>▪ Design the alternatives to 15% as defined in footnote 3. Consider applicable design standards and possible design exceptions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Provide available resource data to design team.</li> </ul>	
	<b>Preliminary Impact Analyses</b>		<ul style="list-style-type: none"> <li>▪ Conduct preliminary impact analyses on the alternatives.</li> <li>▪ Update ESF.</li> </ul>	
	<b>Preliminary Consultations under §7 &amp; §106</b>		<p>With the preliminary impact analyses:</p> <ul style="list-style-type: none"> <li>▪ Contact S/THPO for preliminary effect determination under §106 of the National Historic Preservation Act (NHPA).</li> <li>▪ Consult with FWS and/or NMFS for preliminary effect determination under § 7 of the Endangered Species Act (ESA).</li> </ul>	

<sup>3</sup> **15% DESIGN DEFINITION:** Provide preliminary centerline and profile with approximate design footprint showing cut and fill limits (to within 20% for 3R and if possible 30 - 40% for 4R projects). Show all alternatives or treatment options at the same level of detail. For each alternative develop horizontal and vertical alignment and all other improvements to best fit topography and minimize environmental and visual impacts. Identify proposed parking areas and overlooks, major drainage improvements, detour routes, and potential material sources and staging areas. Provide preliminary identification of bridges, retaining walls, and guardrails needing to be repaired, replaced, or retained. For each alternative show preliminary estimated affected resource areas and include potential wetland and other mitigation sites.

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
<b>DETERMINE NEPA PATHWAY DEVELOP 30% DESIGN<sup>4</sup></b>	<b>Categorical Exclusion?</b>		<ul style="list-style-type: none"> <li>Based on outcome of the 15% Design, determine if the project can be categorically excluded under NEPA. Go to page 5 if project qualifies as a categorical exclusion (CE). Otherwise go to page 8 (table heading shows project phases for EAs/FONSIs.)</li> </ul>	
	<b>Design of Alternative</b>	<ul style="list-style-type: none"> <li>Design the alternative to 30% (footnote 4). Consider applicable design standards and possible design exceptions.</li> </ul>	<ul style="list-style-type: none"> <li>Complete ESF.</li> </ul>	
	<b>30% Field Review</b>		<ul style="list-style-type: none"> <li>Reaffirm identification of appropriate NEPA pathway.</li> <li>Identify mitigation needs and areas.</li> </ul>	<ul style="list-style-type: none"> <li>Field review</li> </ul>
	<b>Value Analysis/VE if Needed</b>			<ul style="list-style-type: none"> <li>Perform value analysis (VA) and/or value engineering (VE) if needed.</li> <li>Identify preferred alternative</li> </ul>

<sup>4</sup> **30% DESIGN DEFINITION:** Provide centerline and profile with approximate design footprint showing cut and fill limits (to within 5% for 3R and if possible 10-15% for 4R projects). Show all alternatives or treatment options at the same level of detail. For each alternative develop horizontal and vertical alignment to best fit topography and minimize environmental and visual impacts. Identify proposed parking areas and overlooks, major drainage improvements, detour routes, and potential material sources and staging areas. Provide preliminary identification of bridges, retaining walls, and guardrails needing to be repaired, replaced, or retained. For each bridge show preliminary type, size, and location (TS&L). For each alternative show estimated affected resource areas and include potential wetland and other mitigation sites.

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
	<b>Consult as Needed under §7 and §106</b>		<ul style="list-style-type: none"> <li>Consult with S/THPO under §106 of the National Historic Preservation Act (NHPA) as needed.</li> <li>Consult with FWS and/or NMFS for §7 of Endangered Species Act (ESA).</li> </ul>	
	<b>Doc. Cat-Ex &amp; Initial ECS</b>		<ul style="list-style-type: none"> <li>NPS prepares CE.</li> <li>Identify what permits are required.</li> <li>FHWA prepares CE as directed by the Division Engineer.<sup>5</sup></li> <li>Park signs CE.</li> <li>FHWA signs CE if directed by DE.</li> <li>Prepare preliminary ECS.</li> </ul>	<ul style="list-style-type: none"> <li>The environmental commitment summary (ECS) is a list of all environmental commitments from all sources including NEPA documentation, consultation requirements, etc. Begin this summary based on the commitments known in the environmental documentation to date.</li> <li>Share ECS with designers for incorporation into contract documents.</li> <li>Share ECS with construction administration for constructability review.</li> </ul>
	<b>Update PA/EWP</b>			<ul style="list-style-type: none"> <li>Review PA and EWP and update as needed.</li> </ul>
<b>DEVELOP 30% to 70% DESIGN</b>	<b>Perform 30% to 70% Design</b>	<ul style="list-style-type: none"> <li>Continue refining design from the 30% field review.</li> <li>Review preliminary ECS &amp; incorporate information into draft plans &amp; specifications.</li> </ul>		
<b>70% DESIGN<sup>6</sup></b>	<b>Complete Intermediate Design (70%)</b>	<ul style="list-style-type: none"> <li>Complete intermediate design to 70% in preparation of the 70% field review. Complete design standard form noting design exceptions and obtain approval signatures.</li> </ul>		

<sup>5</sup> This assumes that FHWA's list of projects that can be categorically excluded under NEPA will include any project that NPS categorically excludes.

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
	<b>PIH Field Review (70%)</b>	<ul style="list-style-type: none"> <li>Schedule plan-in-hand (PIH) field review with project development team and others as needed.</li> </ul>		<ul style="list-style-type: none"> <li>Conduct PIH field review of the 70% design.</li> </ul>
	<b>Update PA/EWP</b>			<ul style="list-style-type: none"> <li>Review PA and EWP and update as needed.</li> </ul>
	<b>Apply for Permits</b>		<ul style="list-style-type: none"> <li>Apply and acquire all permits needed for the project.<sup>7</sup></li> </ul>	
	<b>Complete ECS</b>		<ul style="list-style-type: none"> <li>Complete ECS by incorporating permit requirements as needed and post to PEPC.</li> </ul>	
<b>FINAL DESIGN</b>	<b>Prepare Final Mitigation Plans</b>			<ul style="list-style-type: none"> <li>Prepare final mitigation as required from NEPA, consultations and permits. This document takes the mitigation requirements from the ECS and outlines specific actions, timelines, budgets, and funding sources.</li> </ul>
	<b>Final Design</b>	<ul style="list-style-type: none"> <li>Complete design activities to incorporate 70% review comments, permit requirements, and incorporation of any mitigation designs.</li> </ul>		
	<b>Final Design Review</b>	<ul style="list-style-type: none"> <li>Review of final design package by park and technical specialists.</li> </ul>	<ul style="list-style-type: none"> <li>Review final design package and ensure all environmental commitments as outlined in ECS are incorporated as needed.</li> </ul>	

<sup>6</sup> **70% DESIGN DEFINITION.** Provide centerline and profile with final design footprint showing cut and fill limits (within 5% for both 3R and 4R projects). For selected alternative, provide final horizontal and vertical alignment and all other improvements to best fit topography and minimize environmental and visual impacts. Provide final parking areas and overlooks, all drainage improvements, detour routes, and potential material sources and staging areas. Provide final identification of bridges, retaining walls, and guardrails needing to be repaired, replaced, or retained. For each bridge, show final TS&L. For selected alternative, show affected resource areas, and include potential wetland and other mitigation sites.

<sup>7</sup> Sometimes permits will be authorized closer to 80 – 90% design.

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
<b>CONTRACT PREPARATION</b>	<b>Prepare/Sign Contract Documents</b>	<ul style="list-style-type: none"> <li>▪ Contracting reviews and compiles contract documents in preparation of advertisement.</li> <li>▪ Appropriate officials sign contract documents.</li> </ul>		
<b>ADVERTISE/AWARD</b>	<b>Advertise and Award</b>	<ul style="list-style-type: none"> <li>▪ Contract is released for advertisement.</li> <li>▪ Contract is awarded.</li> </ul>		
	<b>Update PA/EWP</b>			<ul style="list-style-type: none"> <li>▪ Review PA and EWP and update as needed.</li> </ul>
<b>CONSTRUCTION</b>	<b>Begin Construction</b>	<ul style="list-style-type: none"> <li>▪ Notice to proceed.</li> <li>▪ Begin construction.</li> <li>▪ Pre-construction conference</li> </ul>	<ul style="list-style-type: none"> <li>▪ Monitor to ensure environmental commitments are implemented.</li> <li>▪ Explain mitigation measures/ environmental restrictions to contractor at pre-construction conference</li> </ul>	
	<b>Begin monitoring to ensure all environmental commitments are met</b>			

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
<b>DETERMINE NEPA PATHWAY/ DEVELOP 30% DESIGN</b>	<b>Design of Alternatives</b>	<ul style="list-style-type: none"> <li>▪ Design the alternative to 30% as defined in footnote 2.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Update ESF.</li> </ul>	
	<b>30% Field Review</b>		<ul style="list-style-type: none"> <li>▪ Use Director's Order (DO-12) as the basis for eliminating alternatives.</li> <li>▪ Reaffirm identification of appropriate NEPA document.</li> <li>▪ Summarize preliminary impact analyses.</li> <li>▪ Preliminary draft of purpose/need, proposal/alternatives, and affected environment chapters of the EA.</li> <li>▪ Identify mitigation needs and areas.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Field review</li> <li>▪ Refine range of alternatives, including non-construction, if applicable)</li> </ul>
	<b>Value Analysis/VE if Needed</b>			<ul style="list-style-type: none"> <li>▪ Perform the value analysis (VA) and/or value engineering (VE) if needed.</li> </ul>
	<b>Identify Preferred Alternative</b>			<ul style="list-style-type: none"> <li>▪ Based on VA/VE process, identify preferred alternative</li> </ul>
	<b>Is There Enough Information to Complete the Impact Analyses?</b>		<ul style="list-style-type: none"> <li>▪ <b>IF YES.</b> If there is enough information to complete the impact analyses, then skip to the step, "Prepare EA and Draft SOF (internal review)"</li> <li>▪ <b>IF NO.</b> If there is <i>not</i> enough information to complete the impact analyses, then proceed to the following step.</li> </ul>	

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
	<b>Identify &amp; Document What Additional Information Is Needed</b>		<ul style="list-style-type: none"> <li>▪ Identify what specific additional information is needed in order to complete compliance activities (consultations, analyses, etc.)</li> <li>▪ Update the environmental work plan if needed.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document what specific information is needed in order to complete compliance activities.</li> <li>▪ Document what specific design details are needed in order to complete compliance activities.</li> </ul>
	<b>Do Further Design of Alternatives as Documented</b>	Do additional design of alternatives as documented in order to sufficiently complete compliance activities.		<ul style="list-style-type: none"> <li>▪ Gather additional information as needed in order to complete compliance activities.</li> </ul>
	<b>Update PA/EWP</b>			<ul style="list-style-type: none"> <li>▪ Review PA and EWP and update as needed.</li> </ul>
	<b>Prepare BA. Begin §7 Consultation Prepare Assessment of Effect (AEF) or combined EA/AEF and Initiate §106 Consultation</b>	<ul style="list-style-type: none"> <li>▪ Provide technical support to those engaged in environmental compliance activities, as needed.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Prepare biological assessment (BA)</li> <li>▪ Initiate consultations as required under §7 of ESA</li> <li>▪ Initiate consultations as required under §106 of NHPA<sup>8</sup></li> </ul>	

<sup>8</sup> If SHPO/THPO requests review of late stage design documents, execute memorandum of agreement on adverse effect on historic properties at or shortly after 30% design and include in the MOA a mitigating measure that ensures SHPO/THPO review. Another approach is to sign a programmatic agreement at 30% design stage that provides for additional review later in the process, and commits NPS to follow Secretary of Interior Standards and Guidelines to reduce adverse effects.

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
<b>DEVELOP 30% to 70% DESIGN</b>	<b>Prepare EA &amp; Draft SOF &amp; Initial ECS (Internal Review)</b>		<ul style="list-style-type: none"> <li>▪ Prepare environmental assessment (EA) &amp; draft wetland statement of findings (SOF). Include proposed mitigation measures.</li> <li>▪ Circulate EA among project development team for review</li> <li>▪ Revise EA based on team's review &amp; comments</li> <li>▪ Region reviews EA. WASO reviews draft SOF</li> <li>▪ Revise EA and draft SOF based on all internal comments.</li> <li>▪ Prepare camera-ready EA and draft SOF</li> <li>▪ Begin preparation of the environmental commitment summary (ECS)</li> <li>▪ Identify what permits will be required.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Begin environmental commitment summary (ECS) based on the commitments known in environmental documentation to date.</li> <li>▪ Share ECS with designers for incorporation into contract documents.</li> <li>▪ Share ECS with construction administration for constructability review.</li> <li>▪ Project Development Team reviews and comments on EA.</li> </ul>
	<b>Public Review of EA &amp; Draft SOF</b> <b>Finalize §7 &amp; §106 Consultations</b>	<ul style="list-style-type: none"> <li>▪ Review preliminary ECS &amp; incorporate information into draft plans &amp; specifications.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Release the EA and draft SOF for public review.</li> <li>▪ Public review of the EA.</li> <li>▪ Finalize consultations with appropriate agencies.<sup>9</sup></li> <li>▪ Update ECS</li> </ul>	

<sup>9</sup> If there is any doubt about the consulted agencies' agreement on the effect determinations, it may be more effective to complete consultations before the EA is released for public review.

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
	<b>Final SOF</b>		<ul style="list-style-type: none"> <li>Finalize the SOF based on public review comments and agency decision.</li> </ul>	
	<b>Select Alt. &amp; Sign FONSI (NPS NEPA Complete)<sup>10</sup></b>		<ul style="list-style-type: none"> <li>Assess and draft responses to public review comments.</li> <li>Prepare FONSI.</li> <li>Draft a mitigation work plan that outlines scope, schedule and budget for required mitigation.</li> <li>Region review and approval of FONSI.</li> <li>Approve SOF.</li> </ul>	
	<b>FHWA Completes NEPA as Directed by DE</b>		<ul style="list-style-type: none"> <li>FHWA completes their NEPA responsibilities as directed by DE.</li> <li>Update ECS.</li> </ul>	
	<b>Continue Design to 70%</b>	<ul style="list-style-type: none"> <li>Continue with design activities from the completion of compliance activities to 70% completion</li> <li>Review updated ECS and incorporate information into draft plans and specifications.</li> </ul>		
<b>70% DESIGN</b>	<b>Complete Intermediate Design (70%)</b>	<ul style="list-style-type: none"> <li>Complete intermediate design to 70% (as described in footnote 4) in preparation of the 70% field review.</li> </ul>		
	<b>PIH Field Review (70%)</b>	<ul style="list-style-type: none"> <li>Schedule plan-in-hand (PIH) field review with project development team and others as needed.</li> </ul>		<ul style="list-style-type: none"> <li>Conduct PIH field review of the 70% design.</li> </ul>

<sup>10</sup> It is preferable to complete NEPA compliance using 30% design information.

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
	<b>Update PA/EWP</b>			<ul style="list-style-type: none"> <li>Review PA and EWP and update as needed.</li> </ul>
	<b>Apply for Permits</b>		<ul style="list-style-type: none"> <li>Apply &amp; acquire all permits needed for the project.<sup>11</sup></li> </ul>	
	<b>Complete ECS</b>		<ul style="list-style-type: none"> <li>Complete ECS by incorporating permit requirements as needed.</li> </ul>	
<b>FINAL DESIGN</b>	<b>Prepare Final Mitigation Plans</b>			<ul style="list-style-type: none"> <li>Prepare final mitigation as required from NEPA, consultations and permits. This document takes the mitigation requirements from the ECS and outlines specific actions, timelines, budgets and funding sources.</li> </ul>
	<b>Final Design</b>	<ul style="list-style-type: none"> <li>Complete design activities to incorporate 70% review comments, permit requirements, incorporation of any mitigation designs. and all appropriate items in ECS .</li> </ul>		
	<b>Final Design Review</b>	<ul style="list-style-type: none"> <li>Review of final design package by park and technical specialists.</li> </ul>	<ul style="list-style-type: none"> <li>Review final design package and ensure all environmental commitments as outlined in ECS are incorporated as needed.</li> </ul>	
<b>CONTRACT PREPARATION</b>	<b>Prepare &amp; Sign Contract Documents</b>	<ul style="list-style-type: none"> <li>Contracting reviews and compiles contracts in preparation of advertisement.</li> <li>Appropriate officials sign contract documents.</li> </ul>		
<b>ADVERTISE AND AWARD</b>	<b>Advertise and Award</b>	<ul style="list-style-type: none"> <li>Contract is released for advertisement.</li> <li>Contract is awarded.</li> </ul>		
	<b>Update PA/EWP</b>			<ul style="list-style-type: none"> <li>Review PA/EWP and update as needed.</li> </ul>

<sup>11</sup>Sometimes permits will be authorized closer to 80 – 90% design.

Project Phase	Steps	Project Development	Environmental/Cultural Compliance	Combined Project Development and Environmental/Cultural Compliance
<b>CONSTRUCTION</b>	<b>Begin Construction</b>	<ul style="list-style-type: none"> <li>▪ Notice to proceed.</li> <li>▪ Begin construction.</li> <li>▪ Pre-construction conference</li> </ul>	<ul style="list-style-type: none"> <li>▪ Monitor to ensure environmental commitments are implemented.</li> <li>▪ Explain mitigation measures/ environmental restrictions to contractor at pre-construction conference</li> </ul>	
	<b>Begin monitoring to ensure all environmental commitments are met</b>			

## GLOSSARY

**Adverse effect (AE):** one of the three categories of effect under §106 compliance. An adverse effect diminishes the integrity of the characteristics that qualify a cultural resource for inclusion in the National Register of Historic Places.

**Area of potential effect:** the geographic area or areas within which an undertaking may cause changes in the character or use of cultural resources, if any resources exist there. This area always includes the actual site of an undertaking, but may also include other areas where the undertaking will cause changes in land use, traffic patterns, or other aspects that could affect cultural resources, including visual, atmospheric, or audible changes.

**Assessment of Effect form (AEF):** "Assessment of Actions Having an Effect on Cultural Resources" form, also known as a XXX form, is used to describe and document proposed actions that may affect cultural resources.

**Biological Opinion (BO):** Document prepared by FWS or NMFS during §7 consultation. BO determines if the project/plan will jeopardize the continued existence of species and may specify measures to avoid or reduce impacts.

**Categorical Exclusion:** an action with no measurable environmental impact that is described in one of the categorical exclusion lists and for which no exceptional circumstances exist.

**Division Engineer (DE):** Line officer in charge of a Federal Lands Highway Division office. Similar to an NPS Regional Director.

**Environmental Assessment (EA):** a brief NEPA document that is prepared to (a) help determine whether the impact of a proposed action or alternatives could be significant on natural, cultural, socioeconomic resources and visitor use ; (b) aid NPS in compliance with NEPA by evaluating a proposal that will have no significant impacts, but that may have measurable adverse impacts; or (c) evaluate a proposal that either is not described on the list of categorically excluded actions, or is on the list but exceptional circumstances apply.

**Environmental Commitment Summary (ECS):** a list of all environmental commitments from all sources including an EA, BO, consultation requirements, etc.

**Environmental Screening Form (ESF):** form that initiates projects and tracks compliance needed and its status. The form documents the internal scoping process and analysis that precedes a determination of the appropriate level of NEPA compliance, as well as other compliance steps needed. Also called project review record, project compliance log, etc.

**Environmental Work Plan (EWP):** Scope, schedule, budget, roles and responsibilities for environmental (cultural and natural) compliance activities. Schedule integrates resource issues and a compliance activities schedule into the project development process and design and construction schedule from FHWA and correlates to milestone dates established in the project agreement. Project compliance budget identified by elements and activities.

**Endangered Species Act (ESA):** requires federal agencies to insure that any action authorized, funded or carried out does not jeopardize the continued existence of any endangered or threatened species or result in the destruction or adverse modifications of critical habitat. Section 7 requires all federal agencies to consult with Interior and to "...insure that any action authorized, funded or carried out by such agenc(ies)...is not likely to jeopardize the continued existence or destruction or adverse modification of habitat of such species which is...critical."

**Fish and Wildlife Service (FWS):** One of the two federal agencies charged with implementing §7 of the Endangered Species Act.

**Interdisciplinary team (IDT):** NEPA requires that agencies use an interdisciplinary approach to insure the integrated use of the natural and social sciences and the environmental design arts.

**Mitigating measures:** Constraints, requirements, or conditions imposed to reduce the significance of or eliminate an anticipated impact to environmental, socioeconomic, or other resource value from a proposed land use.

**National Environmental Policy Act (NEPA):** our nation's environmental charter for protection of the environment. The law requires that decision-makers and the public know the consequences of an action before taking it.

**National Historic Preservation Act (NHPA):** declares a national policy of historic preservation, including the encouragement of preservation on the state and private levels; authorizes the secretary of the interior to expand and maintain a National Register of Historic Places including properties of state and local as well as national significance; establishes the Advisory Council on Historic Preservation; requires federal agencies to consider the effects of their undertakings on National Register properties and provide the Advisory Council opportunities to comment (§106).

**National Marine Fisheries Service (NMFS):** One of the two federal agencies charged with implementing §7 of the Endangered Species Act.

**Plans-in-hand field review (PIH):** Final field review of contract documents prepared for the project – plans, specifications and cost estimate.

**Planning, Environment, and Public Comment (PEPC):** Web-based database for use by all National Park System units to track projects and compliance. PEPC was designed to incorporate best practices from existing park and regional processes and can be used by contractors and other agencies.

**Programmatic agreement (PA):** a special type of memorandum of agreement typically developed for a large or complex project or a class of undertakings that would otherwise require numerous individual §106 actions. Procedures for developing a programmatic agreement are spelled out in 36 CFR Part 800.14(b).

**Project Management Information System (PMIS):** Project formulation software system used for preparing project proposals. Also a project status tracking system.

**Project Agreement (PA):** The PA is an agreement between all parties involved in project development and implementation that defines the scope, schedule, budget, roles and responsibilities for the project. It is signed by officials at the park, region, DSC and FHWA who have the authority commission the project and commit fiscal and human resources to it. Changes to the PA are coordinated by the project manager.

**Reconnaissance Report:** A report documenting the detailed results of the engineering and resource field review that occurs during the initial scoping of the project. This is the first technical assessment of field conditions and issues identified in the preliminary PA. It forms the detailed basis for preparation of a comprehensive PA and the environmental work plan.

**State historic preservation officer (SHPO):** an official within each state appointed by the governor to administer the state historic preservation program and carry out certain responsibilities relating to federal undertakings within the state.

**Statement of findings (SOF):** separately identifiable document attached to NPS decision documents that explains why an action is taking place in a floodplain or wetland, what alternatives were considered, mitigating measures, and what the effects on natural and beneficial floodplain and wetland values would be.

**Tribal historic preservation officer (THPO):** the tribal official appointed by the tribe's chief governing authority or designated by a tribal ordinance or preservation program who has assumed the responsibilities of the state historic preservation officer (SHPO) for purposes of §106 compliance on tribal lands. The term also includes the designated representative of an Indian tribe that has not formally assumed the SHPO's responsibilities when an undertaking occurs on or affects cultural resources on the tribal lands of an Indian tribe.

**Undertaking:** an undertaking means a project, activity, or program funded in whole or in part under the direct or indirect jurisdiction of a Federal agency, including those carried out by or on behalf of a federal agency; those carried out with federal financial assistance; those requiring a federal permit, license or approval; and those subject to state or local regulation administered pursuant to a delegation or approval by a federal agency [36 CFR Part 800.16(y)].

**Value Analysis/Value Engineering:** A structured, independent project review to ensure that the project direction is in line with the overall goals of the park and to ensure that the project is being developed in a cost effective manner.