

## Categorical Exclusion Checklist – for all Project Types

Project Name \_\_\_\_\_

Grant Number \_\_\_\_\_

Categorical Exclusions (CEs) are identified categories of actions which do not individually, cumulatively overtime, or in conjunction with other Federal, State, local or private actions have a significant effect on the quality of the human environment. For a project to be eligible for a CE, it generally relates to an existing infrastructure system which is either (1) an existing sewer collection network and treatment system; (2) a system to collect, treat, store and distribute drinking water; or (3) a stormwater system (including a combined sewer overflow system) and is in accord with determination procedures adopted by EPA [40 CFR 6.204].

<b>Table 1. Special Congressional Earmarks for Reimbursement of Costs of Already Completed Projects</b>	
<b>&gt;&gt;&gt;PreliminaryEvaluation&lt;&lt;&lt; If the earmark is not for the reimbursement of a completed project, proceed to Table 2.</b>	
Under 40 CFR 6.204(a)(1)(v), actions for the award of grants authorized by Congress under EPA's annual Appropriations Act may qualify for a CE if they are solely for the reimbursement of costs associated with a project completed prior to the enacted appropriation date. The project must also be in compliance with EPA guidelines covering the year of the appropriation in order to be funded.	
Indicate the date of the appropriation. _____	
Indicate the date of project completion. _____	
Is the completion date after the Appropriation date?	Yes _____ No _____
<b>If the answer is Yes, go to Table 2, the project does not qualify for a CE under this special provision, but may otherwise qualify. If the answer is No, proceed to Table 4.</b>	

<b>Table 2. Replacement of Existing Onsite Systems in Unsewered Communities</b>	
<b>&gt;&gt;&gt;PreliminaryEvaluation&lt;&lt;&lt; If the project does not consist of actions in unsewered communities involving the replacement of existing onsite systems, proceed to Table 3.</b>	
Under 40 CFR 6.204(a)(1)(iii), actions in unsewered communities involving the replacement of onsite systems with new onsite systems may qualify for a CE.	
Will the project result in substantial increases in the volume of discharge or loadings of pollutants from existing sources, or relocate an existing discharge?	Yes _____ No _____

**If the answer is Yes, the project does not qualify for a CE, STOP. If the answer is No, go to Table 4.**

**Table 3. General Categories of Projects That Qualify for a CE**

Under 40 CFR 6.204(a)(1)(ii), minor actions relating to an existing infrastructure system (a sewer collection network and treatment system; a system to collect, treat, store and distribute drinking water; or a stormwater or combined sewer system) may qualify for a CE. Answer 1 to 3.

<p><b>1. Is the project for minor upgrade or minor expansion of system capacity?</b> This includes, but is not limited to: minor extensions of sanitary sewers or force mains or drinking water extensions within approximately ½ mile of the existing system to primarily serve existing development; stormwater detention pond and retention pond cleaning and dredging or minor storage increase or culvert upgrades.</p>	<p>Yes _____ No _____</p>
--	-------------------------------

<p><b>2. Is the project for rehabilitation of existing facilities?</b> This includes, but is not limited to: infiltration and inflow corrections in the existing wastewater collection system or equipment rehabilitation at the existing wastewater plant, pumping, or storage facilities; drinking water system equipment replacement or modifications at an existing water plant, or pumping and storage facilities; stormwater culvert rehabilitation and repair, rip-rap renewal or other flow dissipation structure rehabilitation, or storm sewer to grass swale conversions.</p>	<p>Yes _____ No _____</p>
--	-------------------------------

<p><b>3. Is the project for new minor ancillary facilities adjacent to or on the same property as existing facilities?</b> This includes, but is not limited to: new wastewater facilities and equipment for sludge handling, odor control, screening, flow equalization, disinfection, or laboratory facilities; new drinking water facilities such as alum sludge handling, filtration, flow equalization, chemical storage, chlorination, or laboratory facilities; innovative facilities at stormwater control locations, such as sedimentation basins, infiltration trenches, detention pond to retention pond retrofits, or oil and grit separators.</p>	<p>Yes _____ No _____</p>
--	-------------------------------

**If the answer to all of the above is No, then the project does not qualify for a CE. STOP.  
If any answer is Yes, proceed to the next section: Excluding Factors.**

**Excluding Factors**

<p>(1) Project will involve new or relocated discharges to surface or ground water</p>	<p>Yes _____ No _____</p>
<p>(2) Project will result in substantial increases in the volume of discharge or the loadings of pollutant to the receiving water</p>	<p>Yes _____ No _____</p>
<p>(3) Project will provide capacity to serve a population 30 percent greater than the existing population</p>	<p>Yes _____ No _____</p>
<p>(4) Project will be in conflict with state or other regional growth plan or strategy</p>	<p>Yes _____ No _____</p>
<p>(5) Project will directly or indirectly relate to upgrading or extending infrastructure systems primarily for the purposes of future development</p>	<p>Yes _____ No _____</p>

**If any answer (1-5) is Yes, then project does not qualify for a CE. STOP.**  
**If all answers (1-5) are No, go to Table 4.**

**Table 4. Extraordinary Circumstances That Disallow a CE**

(1) The action is known or expected to have a significant effect on the quality of the human environment, either individually or cumulatively over time.	Yes _____ No _____
(2) The action is known or expected to have disproportionately high and adverse human health or environmental effects on any community, including minority communities, low-income communities, or federally-recognized Indian tribal communities.	Yes _____ No _____
(3) The action is known or expected to significantly affect federally listed threatened or endangered species or their critical habitat.	Yes _____ No _____
(4) The action is known or expected to significantly affect national natural landmarks or any property with nationally significant historic, architectural, prehistoric, archeological, or cultural value, including but not limited to, property listed on or eligible for the National Register of Historic Places.	Yes _____ No _____
(5) The action is known or expected to significantly affect environmentally important natural resource areas such as wetlands, floodplains, significant agricultural lands, aquifer recharge zones, coastal zones, barrier islands, wild and scenic rivers, and significant fish or wildlife habitat.	Yes _____ No _____
(6) The action is known or expected to cause significant adverse air quality effects.	Yes _____ No _____
(7) The action is known or expected to have a significant effect on the pattern and type of land use or growth and distribution of population including altering the character of existing residential area, or be inconsistent with state of local government, or federally-recognized Indian tribe approved land use plans or federal land management plans.	Yes _____ No _____
(8) The proposed action is known or expected to cause significant public controversy about a potential environmental impact of the proposed action.	Yes _____ No _____
(9) The proposed action is known or expected to be associated with providing financial assistance through an interagency agreement for a project that is known or expected to have potentially significant environmental impacts.	Yes _____ No _____
(10) The proposed action is known or expected to conflict with federal, state, or local government, or federally-recognized Indian tribe environmental resource-protection, or land-use laws or regulations.	Yes _____ No _____

**If all of the answers (1-10) are No, then the project is eligible for a CE.**  
**If any of the answers to the questions in Table 4 is Yes, then a CE can not be granted.**