

UNITED STATES DEPARTMENT OF COMMERCE

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION



Introduction to the National Environmental Policy Act (NEPA) and the CEQ Regulations

SECO Annual Workshop

Emily Johannes, PPI NEPA Specialist
May 2010



Table of Contents



- 1: What is NEPA?
 - Introduction to NEPA
- 2: How does NEPA affect NOAA?
 - Introduction to NOAA actions are subject to NEPA
- 3: What did NEPA establish?
 - Introduction to CEQ Regulations and NEPA analysis
- 4: What are the types of analyses?
 - Introduction to a CE, EA or EIS



What is the National Environmental Policy Act (NEPA)?



- Signed into law on January 1, 1970, NEPA:
 - Established a national policy for considering environmental effects during Federal decision-making
 - Established a White House Council on Environmental Quality (CEQ)
- NEPA calls for all Federal agencies, when planning programs, projects, or issuing permits/grants, to conduct environmental reviews before making a decision.



What are the requirements of NEPA?



- Analyze impacts:
 - Describe in clear language the impacts of the agency's action and any alternatives to that action
- Evaluate impacts:
 - Compare the impacts of the action and any alternatives (including not doing the action at all)

- Disclose impacts to the public:
 - Agencies must disclose
 the analysis to the public
 before significant
 actions are taken
- Consider impacts when making decisions:
 - Must consider the human environment in all decisions



Isn't NEPA about writing documents?



NO!

Instead, NEPA...

- Should be used as a project and program planning tool.
- Helps federal agencies to make informed decisions.
- Is about places and people, not paper.

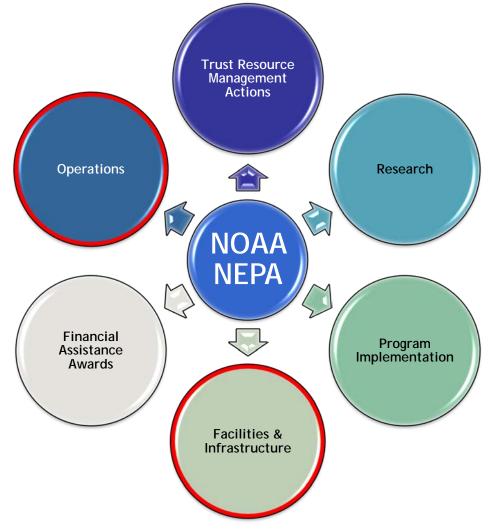




How does NEPA affect NOAA?



 NEPA touches all of NOAA in conducting its daily operations, fulfilling its regulatory mandates and meeting its strategic goals.





NEPA Applicability



- In some, very limited cases, NEPA review is not required for a major Federal action.
 - Regulatory exemptions
 - Judicial and Administrative Enforcement Actions
 - General Revenue Sharing
 - Statutory exemptions
 - Clean Air Act
 - Clean Water Act
 - Functional equivalence (i.e., CERCLA, RCRA)
 - Emergency actions (i.e., Stafford Act)
 - Ministerial actions (see also PPI-AGO guidance)
- There must be a statutory legal basis.
- Consultation with PPI and OGC is critical!



CEQ Regulations



- The CEQ Regulations establish the procedures that every agency must follow: 40 CFR 1500 - 1508
- Includes:
 - 1500: Purpose, Policy and Mandate
 - 1501: NEPA and Agency Planning
 - 1502: Environmental Impact Statement
 - 1503: Commenting
 - 1504: Predecisional Referrals to the Council
 - 1505: NEPA and Agency Decisionmaking
 - 1506: Other Requirements of NEPA
 - 1507: Agency Compliance
 - 1508: Terminology and Index



What is "NEPA Review"?



- To conduct a NEPA Review, an action is considered under the following procedural steps:
 - Purpose and Need/Initial Proposed Action
 - Identify the proposed action
 - Scope the Action
 - Identify reasonable alternatives
 - Analyze the reasonable alternatives (including no-action)
 - Document the analysis
 - Release the analysis to the public
 - Document the decision



Purpose and Need



- To define a purpose and need, one must:
 - Identify the need or requirements
 - Describe the current situation and the effect of that situation (positive or negative) or the unacceptable condition that is created
 - Discuss the relationship between the desired future condition and the current situation
- Questions to Consider:
 - Why is the action being taken?



Proposed Action



- Questions to Consider:
 - Who is proposing the action?
 - What is being proposed?
 - When will it happen?
 - Where will it occur?

- Actions to Consider:
 - Connected actions
 - Similar actions
 - Cumulative actions





Scoping



- Scoping is a process that allows the agency to discuss the proposed action with stakeholders, interested parties and the public.
- Scoping is required for EISs and encouraged for EAs.
- A "Notice of Intent" to prepare an EIS is published.
- Scoping may include:
 - Meetings (private or public, formal or informal)
 - Research of other analyses and existing documents
 - Identification of other agencies who may assist in the analysis
 - Exploration of any preliminary alternatives
 - Refinement of purpose and need or project scope



Alternatives Development



- The purpose and need statement defines the range of reasonable alternatives.
 - That is, only those alternatives that will achieve the purpose of and need for the proposed action should be evaluated in detail.
- Reasonable Alternatives:
 - Support the purpose and need
 - Are within the scope of the proposed action
 - Relevant to the decision
 - Implementable
 - Technically feasible



Analysis of Alternatives



- An analytic comparison of the alternatives is the heart of the NEPA process.
- Consider the objective attributes of the alternatives
 - Size, proximity, function, timing, environment, special features
- There are many techniques and methodologies that can be used to analyze alternatives.
 - Trend analysis, qualitative comparison, quantitative modeling, landscape evaluation, checklists, matrices, etc.



Determining Impacts



- Identify the direct, indirect and cumulative impacts.
- The affected environment serves as the analytic baseline for resource-based analysis.
- Examples include, but are not limited to:
 - Land Use/Public Infrastructure
 - Traffic
 - Biological Resources (i.e. critters)
 - Water Quality/Air Quality
 - Geology and the Physical Environment
 - Human Health and Safety





What is the public comment period?



- CEQ requires that certain NEPA documents be released to the public for review and comment.
 - Environmental Assessments *may* be released, although not mandatory. Release depends on context and public interest. Usual time period is for 30 calendar days.
 - Environmental Impact Statements must be released for a minimum of 45 calendar days.
- Agencies must assess and consider comments both individually and collectively.
- Agencies shall respond to public comments, which must be disclosed in Final EISs.



Socio-economic Analysis and NEPA



- Social and economic impacts, in and of themselves, are not sufficient to require the preparation of an EIS.
- However, socio-economic analysis should be conducted when:

 Social and economic effects are interrelated with environmental effects



Integrating Other Environmental Requirements



- The NEPA process should run concurrently rather than consecutively.
- Identify requirements during scoping:
 - Consultations
 - Assessments
- Types of environmental requirements include:
 - Fish and Wildlife Coordination Act
 - National Historic Preservation Act
 - Endangered Species Act
 - Other environmental review laws and executive orders



Lead and Cooperating Agencies



- In some cases, two or more federal agencies are involved in the NEPA process.
- The Lead Agency:
 - Is determined by the magnitude, duration of involvement
 - Is ultimately responsible for the NEPA document (including noticing, scope, and schedule)
 - Is expected to request the participation of cooperating agencies at earliest time
- Cooperating Agencies:
 - Special expertise or jurisdiction by law
 - May provide studies, analyses, or personnel to assist



How is the decision documented?



- Following the NEPA review process, a decision document outlines the process and the decision to be made.
- There are three types of decision documents:
 - Categorical Exclusion Decision Memo
 - Finding of No Significant Impact
 - Following an EA, if no significant impacts are determined in the analysis.
 - Record of Decision
 - Following an EIS, it states the final decision, any alternatives, and the practicable means adopted to avoid or minimize impacts.



Types of NEPA Analyses



Categorical Exclusions

Established in agency policy;
 Used for proposed actions which individually or cumulatively do not impact the environment

Environmental Assessments

 Used for proposed actions which may impact the environment, but the impacts are either not significant, or are not known to be significant

Environmental Impact Statements

- Used for proposed actions where there are known significant environmental impacts or significant controversy surrounding the action
- Such as:
 - Adoption of new programs or regulations
 - Adoption of formal plans
 - Approval of specific projects, such as construction or management activities



Categorical Exclusions



- An exclusion from further NEPA analysis the action will not require preparation of an EA or an EIS.
- Must consider extraordinary circumstances.
- Not every action NOAA does may apply for a categorical exclusion.
- While a CE may satisfy NEPA compliance for an action - other environmental requirements may still apply.
- New CEs can be developed in consultation with PPI and reviewed by the CEQ and released for public review.



Environmental Assessments



- If a CE does not apply to the action, an EA may be prepared.
- EA documents are prepared when the environmental effects of an action are uncertain or are expected to be insignificant (i.e. an EIS is not warranted).
- Contents of an EA:
 - Purpose and Need
 - Alternatives
 - Environmental impacts
 - Agencies and persons consulted



Environmental Impact Statements



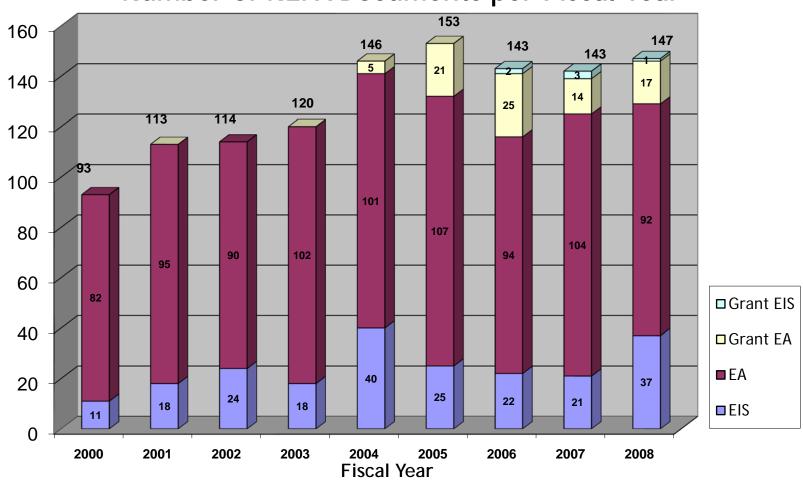
- If a CE does not apply to the action and it is expected that significant environmental effects will result from the action, an EIS must be prepared.
- Contents of an EIS:
 - Cover Sheet, Summary, Table of Contents
 - Purpose and Need
 - Alternatives, including the proposed action
 - Affected Environment
 - Environmental consequences
 - List of preparers, agencies/organizations/persons to whom the EIS is sent
 - Index, Appendices



NOAA's Recent NEPA Trend



Number of NEPA Documents per Fiscal Year





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Introduction to NOAA Administrative Order 216-6

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Outline



- NAO 216-6 and PPI
- Navigating the NAO
- PPI NEPA Instructions
- What's new in NOAA NEPA?

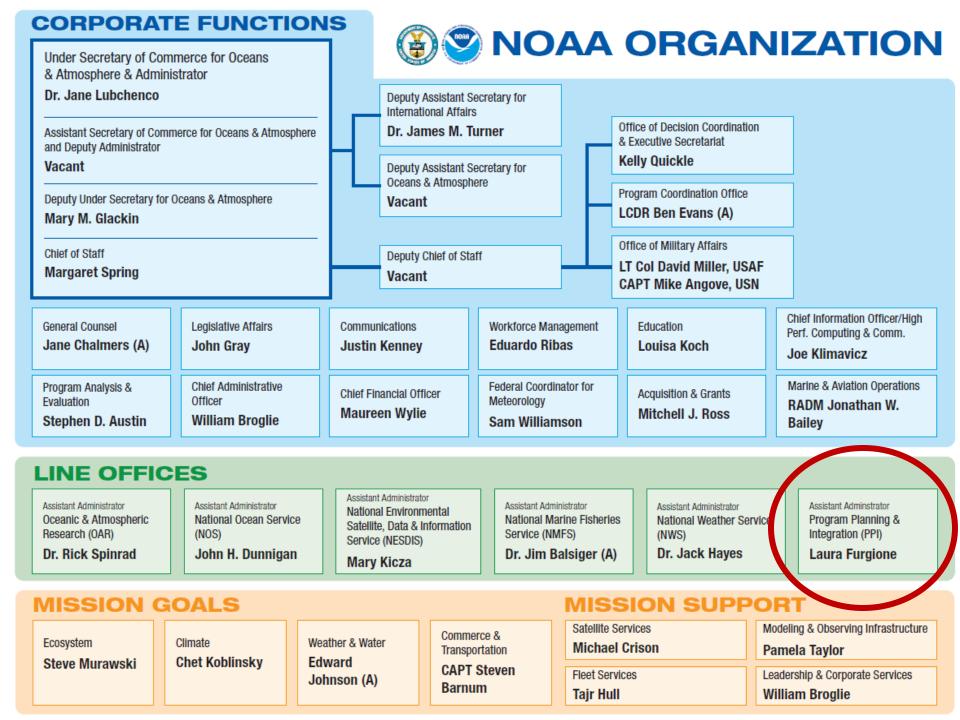




NOAA Administrative Order 216-6



- NOAA's agency-wide policy and procedures on how to comply with NEPA during decision-making.
- Required by CEQ Regulations (40 CFR 1507.3)
- All line and staff offices must comply with the NAO.
- The NAO:
 - Establishes NOAA's policy on NEPA
 - Outlines the procedures NOAA follows to comply
 - Establishes the NOAA NEPA Coordinator
 - Identifies roles and responsibilities of NOAA staff





What does PPI do?



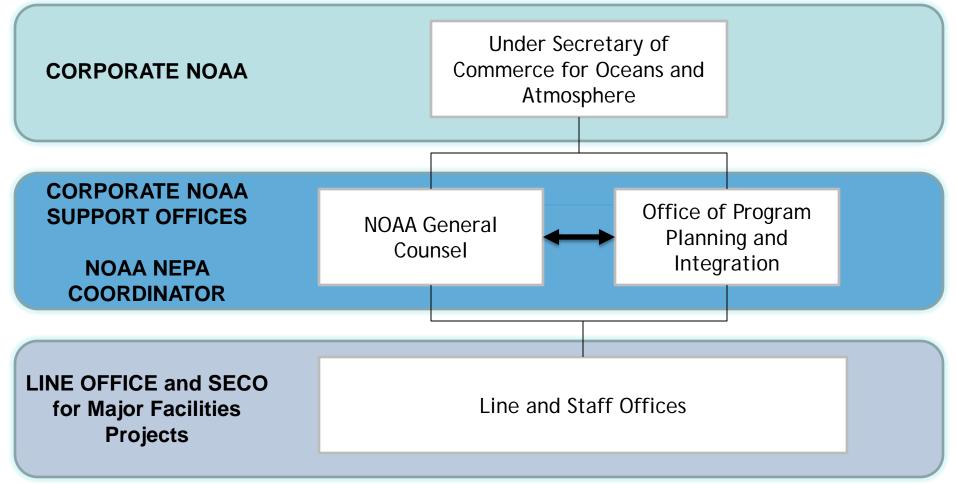
- The NOAA NEPA Coordinator's role includes:
 - Review and Clearance of NEPA documents, signs transmittal letters
 - Coordinates NOAA's review of other agencies' EISs
 - Maintains templates, tools, and training on NEPA for all NOAA staff
 - NOAA's Liaison between NOAA and CEQ/EPA
 - Develops and maintains the NEPA policy and procedures for NOAA
 - Acts as a "hotline" for questions for NEPA procedures for NOAA
 - Unique responsibilities include consulting with CEQ (e.g., emergencies and pre-decision referrals)

NEPA Statute & Regulations	NOAA & Department of Commerce (DoC) NEPA Procedures	NOAA NEPA Tools
CEQ & Other NEPA Resources	NOAA NEPA for Financial Assistance Awards (Grants)	EPA NEPA Information



NEPA within NOAA







PPI and SECO



What PPI does:

- Reviews NEPA documents for compliance with agency policies and procedures
- Provides NEPA guidance and training to NOAA staff
- Coordinates other environmental requirements so that they run concurrently, rather than consecutively

What SECO does:

- NOAA-wide environmental compliance and occupational health and safety
- Establishes policies and procedures, guidance, training
- Inextricably linked coordination is critical!



What does the NAO say?



- Specifically, the NAO outlines the following:
 - NOAA's policies on conducting NEPA reviews, including where NEPA applies
 - Definitions of terminology specific to NOAA
 - Implementing Procedures, including:
 - General requirements for NEPA documents
 - How to apply the NEPA review process to agency actions
 - Determining the significance of NOAA's actions
 - How NOAA integrates NEPA into decision-making
 - How to Integrate NEPA with other laws and orders:
 - e.g. Environmental Justice, Environmental Effects Abroad, Coral Reef Protection, etc.



Navigating the NAO



- Section 2.02 Roles and Responsibilities
- Section 3 NOAA's Policies on NEPA
- Section 4 Definitions
- Section 5.03 General Requirements for EAs
- Section 5.04 General Requirements for EISs
- Section 6.03 Categorical Exclusions
- Section 7 Integrating with other Orders



Roles and Responsibilities



- Assistant Administrators/Staff Office Directors:
 - Responsible for determining whether Federal actions undertaken should be assessed in accordance with NEPA or are excluded from that process:
 - Designates an RPM for each proposed action subject to the NEPA process.
- Responsible Program Manager (RPM):
 - Carries out a specific proposed action(s):
 - Determines the appropriate level of review and submits all NEPA documents, associated letters, and memoranda to the NOAA NEPA Coordinator.



NOAA's NEPA Policies

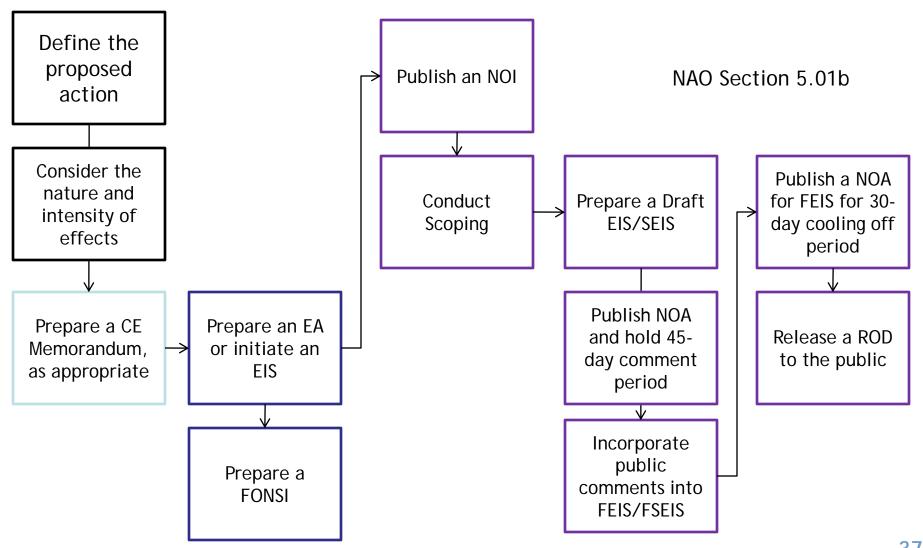


- In meeting the requirements of NEPA, NOAA will:
 - Fully integrate NEPA into the agency planning and decision-making process;
 - Fully consider the impacts of NOAA's proposed actions on the quality of the human environment;
 - Involve interested and affected agencies, governments, organizations, and individuals early in the agency planning and decision-making process when significant impacts are or may be expected to the quality of the human environment from implementation of proposed major Federal actions;
 - Conduct and document reviews and related decisions appropriately and efficiently;
 - The scope of the analysis will be to consider the impacts of actions on the marine environment both within and beyond the U.S. EEZ



General NOAA NEPA Process







NAO and Public Involvement



- Public involvement may be solicited through:
 - Public Hearings/Meetings
 - Solicitation of comments on draft or final NEPA documents
- When conducting public involvement, the RPM must:
 - Provide public notice of NEPA-related hearings/meetings
 - Provide notification of the availability of NEPA documents
- Public involvement is encouraged for EAs (NAO Section 5.02b.1)



NAO and Scoping



- Scoping Meetings:
 - Planning meetings, public hearings, requests for comment on public hearing documents, discussion papers, and other versions of decision and background environmental documents
- The Notice of Intent (NOI) must include:
 - Proposed action and possible alternatives
 - Summary of NOAA's proposed scoping process
 - Logistics information on meetings to be held
 - Name and address of RPM
- The NOI may be combined with similar notices for preparation of documents.



NAO and EAs



An EA must contain:

- Sufficient evidence and analysis for determining whether to prepare an EIS or FONSI
- Purpose and Need for the action
- Discussion of environmental impacts of the proposed action and alternatives
- Listing of agencies and persons consulted
- A FONSI, if appropriate

Mitigating Effects:

- Mitigation used in determining a FONSI are only relied upon if they are imposed by statute or regulation or are part of the proposed action.



NEPA Review Package - EA

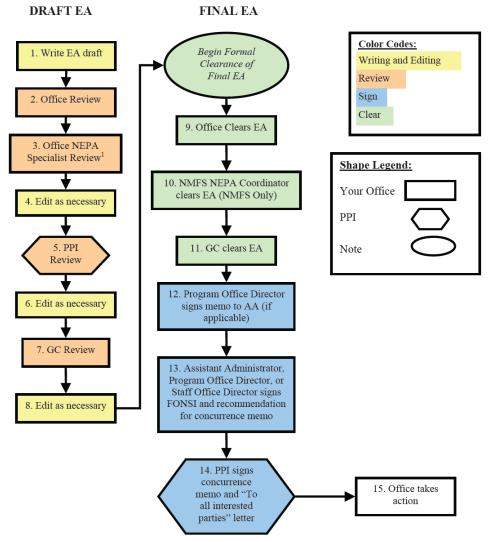


- PPI reviews "draft" EAs prior to concurrence within 10 business days
- PPI signs concurrence with the FONSI (as appropriate) within 3 business days
- NEPA Review Package includes:
 - Final EA
 - FONSI (signed by the RPM)
 - To All Interested Parties Memorandum
 - General Counsel Attorney Memorandum
 - Concurrence Memorandum (initialed by the RPM)
- All documents must be submitted electronically.



NOAA Review and Clearance - EA







NAO and EISs



• The EIS must contain:

- A cover sheet/table of contents
- Purpose and need for action
- Summary of the EIS, including any issues to be resolved, and in the FEIS the major conclusions and areas of controversy
- Alternatives
- Description of the affected environment
- Succinct description of the environmental impacts, including cumulative impacts
- Listing of agencies and persons consulted and to whom copies of the EIS are sent
- A ROD, in the case of an FEIS; and
- An index and appendices, as appropriate.



NAO and Public Comment



- EPA publishes a Notice of Availability in the Federal Register every Friday.
 - This starts the "clock"!
- On the same date copies of each DEIS or FEIS must be sent to agencies, public groups, individuals who may have interest in the project.
- Public comment period is at least 45 days, unless an exemption is granted (PPI/EPA).
- FEIS must include all substantive comments or summaries of comments received on the DEIS.



NEPA Review Package - EIS

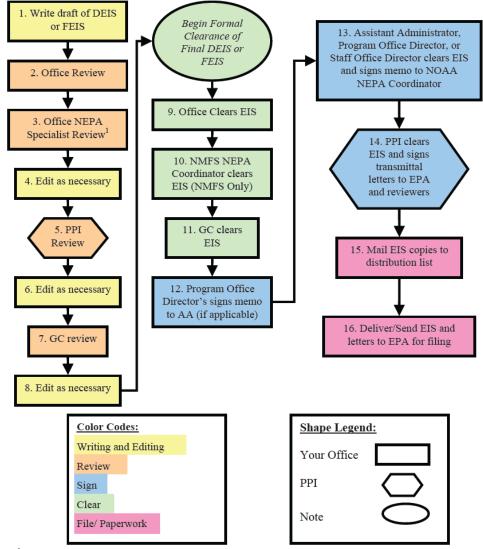


- PPI reviews DEIS and FEIS prior to concurrence within 10 business days.
- PPI signs concurrence with both DEIS and FEIS.
- NEPA Review Package includes:
 - EIS (Draft or Final)
 - EPA Letter to notice the EIS
 - Dear Reviewer Memorandum
 - General Counsel Attorney Memorandum
 - Concurrence Memorandum (initialed by the RPM)
- All documents must be submitted electronically.



NOAA's EIS Process







NAO and CEs

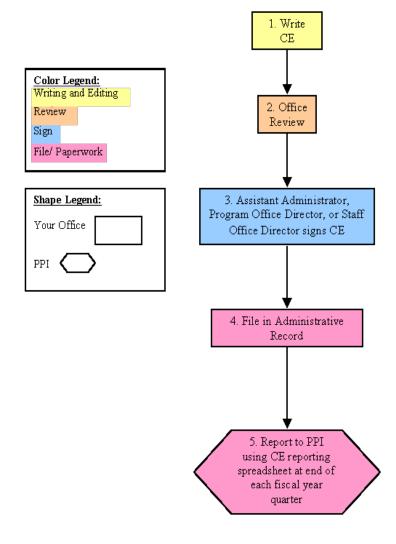


- Review the proposed action to determine the appropriateness of the use of a CE
- Exceptions to using a CE (extraordinary circumstances, NAO Section 5.05c):
 - Involve a geographic area with unique characteristics
 - Are subject of public controversy based on potential environmental consequences
 - Have uncertain environmental impacts or unique or unknown risks
 - Establish a precedent or decision in principle about future proposals
 - May result in cumulatively significant impacts
 - May have any adverse effects on endangered or threatened species or their designated habitats



NOAA's CE Process







PPI NEPA Instructions



- Since 1999, PPI has developed specific procedures for assisting LO/SO with NEPA implementation:
 - PPI 001: NOAA Procedures For Submitting Comments On Another Federal Agency's Environmental Impact Statement
 - PPI 002: Quarterly Categorical Exclusion Reporting (report template)
 - PPI 003: Reporting Procedure for Major Federal Actions
 - PPI 004: Procedures for Adopting National Environmental Policy Act Documents Prepared by Other Federal Agencies
 - PPI 005: Clarification of Section 5.03b of NOAA Administrative Order 216-6, Contents of Environmental Assessments



PPI 001: Commenting



- NOAA provides comments to other agencies' EIS documents when the agency has jurisdiction by law or special expertise.
- NAO requires that NOAA provide considered, timely, and factual comments. (NAO Section 5.10a)
- Agency comments are coordinated by PPI.
 - Notifications every Friday when EPA releases NOAs
 - Liquefied Natural Gas projects high priority
 - Other marine projects: OCS Leasing, Energy, etc.



PPI 004: Adopting a NEPA Document



- NOAA may adopt another agency's EA or EIS.
- Must determine whether the document is <u>sufficient</u> for adoption by NOAA
 - Consider similarities and differences between NOAA's action and the other agency's action
 - Consider completeness and adequacy of the document
 - Consider significance and effects of NOAA's action (EA)
 - Consider comments and how they were addressed
 - Consider public reviews (EA and EIS)
- Adopted documents still undergo OCAO/OGC/PPI review and concurrence.



PPI Templates



Standard Templates

For Grant-related actions, see section below

- Finding of No Significant Impact
- EA/FONSI Concurrence Memorandum
- EA/FONSI Transmittal Letter "To all interested parties"
- EIS Transmittal Letter to EPA
- EIS Transmittal Letter to Reviewer
- <u>CE Memorandum</u>
- Letter to EPA to Extend NOAA's Comment Period
- · Letter Asking Lead Agency to Extend Their Comment Period on an EIS
- Letter Asking Lead Agency to Extend Their EIS Comment Period Deadline for NOAA Only
- Letter to EPA Requesting Withdrawal of an EIS to be Published in the Federal Register
- Notice of Intent to Prepare an EIS for the Federal Register
- · Notice of Availability of an EIS for the Federal Register
- Record of Decision for an EIS
- Affidavit Confirming Distribution of an EIS Prior to Filing EIS at EPA for Notice of Availability (for EISs delivered to EPA by a NOAA Contractor)
- Postcard to Ask Public If They Would Like to Receive an EIS and In What Format
- Response to Public Comments Table for FEISs

Abbreviations used on this page:

CE: Categorical Exclusion

EA: Environmental Assessment

EIS: Environmental Impact Statement

EPA: Environmental Protection Agency

FONSI: Finding of No Significant Impact

MOU: Memorandum of Understanding

ROD: Record of Decision



What's New in NOAA NEPA?



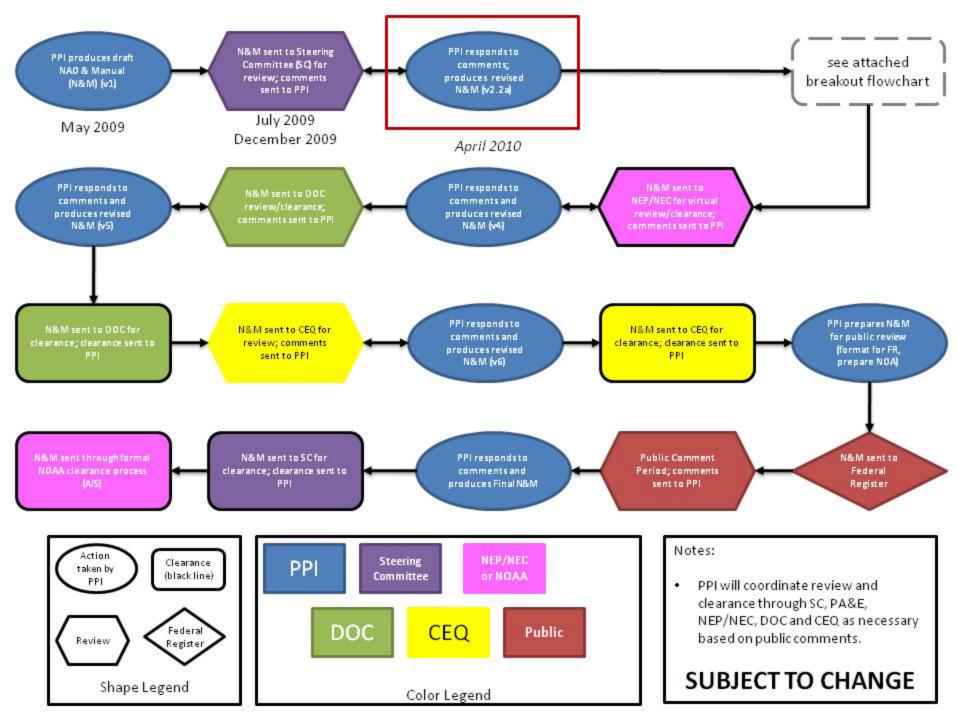
- PPI is revising the NAO 216-6 to:
 - Better reflect NOAA's current organizational structure.
 - Update guidance and procedures developed since 1999.
 - Provide a clearer, easier to read document.
 - Better integrate other environmental requirements.
 - Update actions that normally require a CE, EA, EIS.
- Interim Guidance Memos on Financial Assistance
- PPI's Quarterly Newsletter: NOAA NEPA NEWS
- NEPA Training Calendar on Website
- To sign up for PPI updates: ppi.nepa@noaa.gov

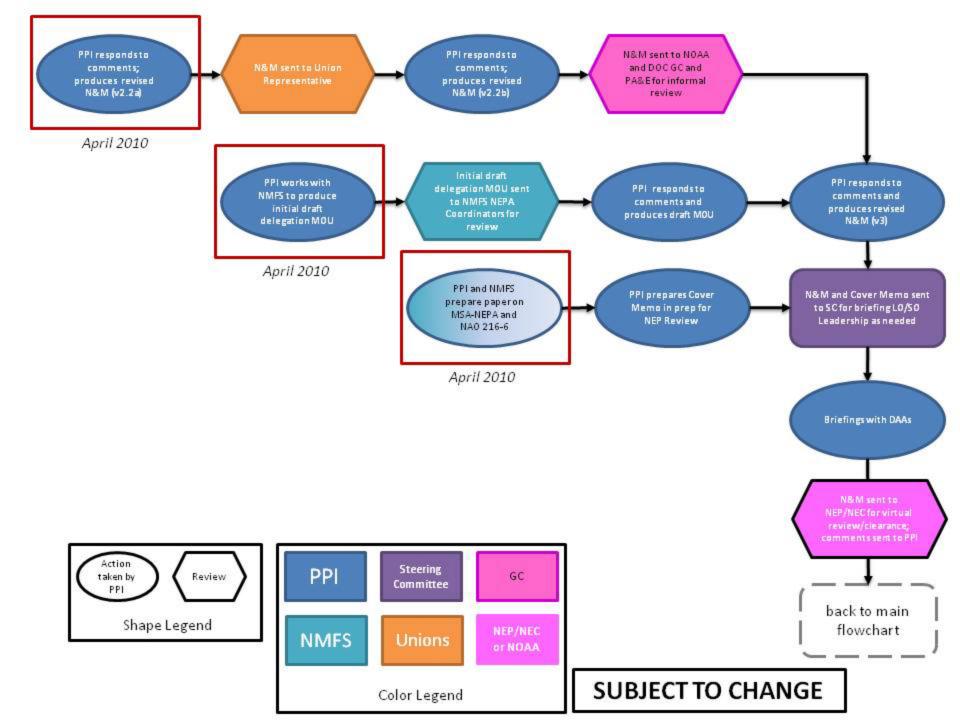


Revision of NAO 216-6



- Agency-specific procedures are mandated under the CEQ Regulations. (40 CFR 1507.3)
- Revision of the NAO will create a shorter, policy-level NAO and authorize a Companion Manual to outline the specific procedures.
- The revision process has involved input and discussion from a staff-level Steering Committee.
- The revised documents will undergo NOAA, DOC, CEQ, and public review.







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How does NEPA affect SECO?



 NEPA's mandate to prepare analyses concurrently with and integrated with related environmental requirements (40 CFR 1502.25)





NEPA and Executive Orders



- Executive Order 13514 Federal Leadership in Environmental, Energy, and Economic Performance
- Executive Order 13423 Strengthening Federal Environmental, Energy, and Transportation Mgt
- Executive Order 11988 Floodplain Mgt
- Executive Order 11990 Wetlands
- Executive Order 12898 Environmental Justice



NEPA and Environmental Laws



- Clean Water Act (CWA)
- Clean Air Act (CAA)

- National Historic Preservation Act (NHPA)
- Occupational Safety and Health (OSHA)

Coastal Zone Management Act (CZMA)



NEPA Guidance



- February, 2010:
 - CEQ Guidance on GHG Emissions and Climate Change
 - CEQ Guidance on Categorical Exclusions
 - CEQ Guidance on Mitigation and Monitoring
- Other CEQ Resources:
 - NEPA and Environmental Management Systems
 - Cumulative Effects Analysis
- Other agency resources:
 - Department of Energy
 - Environmental Protection Agency



NEPA and NOAA's Facilities and Property



 NOAA must analyze decisions to lease, build, manage, renovate, operate, and maintain the agency's facilities and property.





NEPA and Major Projects



- "Major" as defined by the NAO 217-104, Facility
 Capital Planning and Project Management Policy,
 NOAA facility construction projects are classified as
 either major or minor, depending on the Total
 Project Cost.
- Major projects are investments subject to DOC approval thresholds for estimated total project cost.
- SECO is responsible for NEPA compliance for decisions within OCAO (Broglie memo January 23, 2007).



NEPA and NOAA Property



- NEPA applies when NOAA acquires, designs, deploys, maintains, repairs, and operates property in the environment.
- Type of NEPA analysis would depend on the potential for environmental effect:
 - Categorical Exclusions
 - Environmental Assessments
 - Environmental Impact Statements



Credit: NOAA



Credit: NOAA



NEPA and Operations



- NEPA applies when NOAA operates equipment, renovates within buildings, etc.
- Likely categorical exclusions because these activities occur within existing buildings.



Credit: NOAA



Credit: NOAA



Where can I get more information?



- The NOAA NEPA Intranet: https://www.intranet.nepa.noaa.gov/
- CEQ NEPAnet: http://www.nepa.gov
- PPI Review and Clearance Procedure Flowcharts: https://www.intranet.nepa.noaa.gov/flowcharts.html



PPI NEPA Coordination and Compliance



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