

# Environmental Assessment and Compliance Findings for the Related Laws

U.S. Department of Housing and Urban Development

1. Project Number	
HUD Program	
2. Date Received	

RMS: HI-00487R

**Findings and Recommendations** are to be prepared **after** the environmental analysis is completed. Complete items 1 through 15 as appropriate for all projects. For projects requiring an environmental assessment, also complete Parts A and B. For projects categorically excluded under 24 CFR 50.20, complete Part A. Attach notes and source documentation that support the findings.

3. Project Name and Location (Street, City, County, State)		4. Applicant Name and Address (Street, City, State, Zip Code), and Phone	
5. <input type="checkbox"/> Multifamily <input type="checkbox"/> Elderly <input type="checkbox"/> Other If Other, explain.	6. Number of _____ Dwelling Units _____ Buildings _____ Stories	7. Displacement <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, explain.	
8. <input type="checkbox"/> New Construction <input type="checkbox"/> Rehabilitation <input type="checkbox"/> Other (if Other, explain)	10. Planning Findings. Is the project in compliance or conformance with the following plans? Local Zoning <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable Coastal Zone <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable Air Quality (SIP) <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable  Explain any "No" answer: _____  Are there any unresolved conflicts concerning the use of the site? <input type="checkbox"/> No <input type="checkbox"/> Yes (explain): _____		
9. Has an environmental report (Federal, State, or local) been used in completing this form? <input type="checkbox"/> No <input type="checkbox"/> Yes  If Yes, identify: _____	11. Environmental Finding (check one) <input type="checkbox"/> Categorical exclusion is made in accordance with § 50.20 or <input type="checkbox"/> Environmental Assessment and a <b>Finding of No Significant Impact</b> (FONSI) is made in accordance with § 50.33 or <input type="checkbox"/> Environmental Assessment and a <b>Finding of Significant Impact</b> is made, and an Environmental Impact Statement is required in accordance with §§ 50.33(d) and 50.41.		
<input type="checkbox"/> Project is recommended for approval (List any conditions and requirements) <input type="checkbox"/> Project is recommended for rejection (State reasons)			

12. Preparer (signature)	Date	13. Supervisor (signature)	Date
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14. Comments by Environmental Clearance Officer (ECO) (required for projects over 200 lots/units)

ECO (signature) X	Date
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15. Comments (if any) by HUD Approving Official

HUD Approving Official (signature) X	Date
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**Part A. Compliance Findings for §50.4 Related Laws and Authorities**

§ 50.4 Laws and Authorities	Project is in Compliance		Source Documentation and Requirements for Approval
	Yes	No	
16. Coastal Barrier Resources			
17. Floodplain Management (24 CFR Part 55)			
18. Historic Preservation (36 CFR Part 800)			
19. Noise Abatement (24 CFR Part 51 Subpart B)			
20. Hazardous Operations (24 CFR Part 51 Subpart C)			
21. Airport Hazards (24 CFR Part 51 Subpart D)			
22. Protection of Wetlands (E. O. 11990)			
23. Toxic Chemicals & Radioactive Materials (§ 50.3(i))			
24. Other § 50.4 authorities (e.g., endangered species, sole source aquifers, farmlands protection, flood, insurance, environmental justice)			

**Part B. Environmental/Program Factors**

Factors	Anticipated Impact/Deficiencies			Source Documentation and Requirements for Approval
	None	Minor	Major	
25. Unique Natural Features and Areas				
26. Site Suitability, Access, and Compatibility with Surrounding Development				
27. Soil Stability, Erosion, and Drainage				
28. Nuisances and Hazards (natural and built)				
29. Water Supply / Sanitary Sewers				
30. Solid Waste Disposal				
31. Schools, Parks, Recreation, and Social Services				
32. Emergency Health Care, Fire and Police Services				
33. Commercial / Retail and Transportation				
34. Other				

# Sample Field Notes Checklist

Project Number	HUD Program
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Project Name:

Location (street, city, county/State, & zip code)

Number of Dwelling Units	Project site is in a location described as
<input type="checkbox"/> New construction <input type="checkbox"/> Rehabilitation	<input type="checkbox"/> Central city <input type="checkbox"/> Suburban <input type="checkbox"/> Infill urban development <input type="checkbox"/> In developing rural area <input type="checkbox"/> In undeveloped area

**Note to Reader:** An Environmental Assessment (EA) is a concise public document that a Federal agency must prepare in order to comply with the National Environmental Policy Act (NEPA) and the related Federal environmental laws and authorities. The EA must support decision making process and provide a clear rationale, justification, and documentation for ratings assigned.

## Instructions

It is recommended that this checklist be used by HUD staff who prepare the Environmental Assessment (EA; form HUD-4128). It will constitute full documentation for many factors on the EA, and partial documentation for others. It will avoid narrative reports and expedite the environmental review process. This checklist, which is a slightly revised version of Appendix C of Handbook 1390.2, should be used pending revision of Handbook 1390.2.

The number for each checklist topic is the number that appears on form HUD-4128. Also, each checklist title/heading is followed by a reference to where the topic appears in the current Handbook 1390.2.

Before the site visit, review the Phase I and all background information submitted with the application (if applicable). During the site visit, the preparers of form HUD-4128 are to: (i) answer all relevant questions on this checklist; (ii) use the spaces provided for comments to include supplemental information as well as to record any recommended mitigation measures or requirements for project approval; (iii) key your answers to the relevant questions (using additional sheets of paper to provide more detailed information); and (iv) use the spaces provided for source documentation to cite the information source used (e.g., title of

a technical report, map, or special study; site inspection/field observation; name and location of the qualified data source(s) that provided the information, for example, the local planning agency, the local housing and/or community development agency, the State environmental protection agency, the State Historic Preservation Officer, or other qualified data source.)

Preparers are to obtain and use, as appropriate, any environmental report (Federal, State, or local) that may have already been prepared for the property or area in which the property is located.

Several different types of maps will be useful in completing the review, such as the project plan or plot map, a location map showing major features and facilities in the vicinity, the USGS topographic map and FEMA flood map for the site area, and zoning/land use maps. **Many of the conditions can and should be recorded directly on the project plan.** Distances to major features and facilities (e.g., schools and fire stations) and a description of the surrounding area are examples. The plan can then be referenced as "source documentation" on form HUD-4128.

## 9. Environmental Report

List the Federal, State, or local agencies contacted to obtain their existing environmental reports and other data for the HUD environmental review for the proposed project.

List the major reports obtained. (attach the report(s) or otherwise list the title, author, publication date)

## 10. Planning Findings

Is the project in compliance or conformance with the local zoning?  
 Yes     No     Not Applicable    If No or Not Applicable, explain.

Is the project located within a coastal management zone (CZM)?

Yes     No     Not Applicable

If your answer is Yes, the State Coastal Zone Management (CZM) Agency must make a finding that the project is consistent with the approved State CZM program.

Is the State's finding attached to this checksheet?

Yes     No

Is the project in compliance with the air quality State Implementation Plan (SIP)?

Yes     No     Not Applicable

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Comments:

Source documentation:

Are there any unresolved conflicts concerning the use of the site?

Yes  No If your answer is Yes, briefly explain:

**16. Coastal Barrier Resources**

Is the project located within a coastal barrier designated on a current FEMA flood map or Department of Interior coastal barrier resources map?

Yes  No If your answer is Yes, the law prohibits Federal funding of projects in designated coastal barriers.

**17. Flood Management** (24 CFR Part 55) (see CF 3 and 4 of Handbook 1390.2)

Is the project located within a floodplain designated on a current FEMA flood map?

Yes  No Identify FEMA flood map used to make this finding:

Community Name and Number: \_\_\_\_\_

Map Panel Number and Date of Map Panel: \_\_\_\_\_

If your answer is Yes, use § 55.12 and the floodplain management decisionmaking process (§ 55.20) to comply with 24 CFR Part 55.

Comments:

Source documentation: (attach § 55.20 analysis)

**18. Historic Preservation** (see CF 2 of Handbook 1390.2)

Has the SHPO been notified of the project and requested to provide comments?

Yes  No

Is the property listed on or eligible for listing on the National Register of Historic Places?

Yes  No

Is the property located within or directly adjacent to an historic district?

Yes  No

Does the property's area of potential effects include an historic district or property?

Yes  No

If your answer is Yes to any of the above questions, consult with the State Historic Preservation Officer (SHPO) and comply with 36 CFR part 800.

Has the SHPO been or is being advised of HUD's finding?

Yes  No

Comments:

Source documentation:

**19. Noise Abatement** (see CF 1 of Handbook 1390.2)

Is the project located near a major noise source, i.e., civil airports (within 5 miles), military airfields (15 miles), major highways or busy roads (within 1000 feet), or railroads (within 3000 feet)?

Yes  No If your answer is Yes, comply with 24 CFR 51, Subpart B which requires a noise assessment for proposed new construction. Use adopted DNL contours if the noise source is an airport.

Comments:

Source documentation: (attach NAG worksheets)

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**20. Hazardous Industrial Operations** (see CF 5 of Handbook 1390.2)

Are industrial facilities handling explosive or fire-prone materials such as liquid propane, gasoline or other storage tanks adjacent to or visible from the project site?

Yes  No If your answer is Yes, use HUD Hazards Guide and comply with 24 CFR Part 51, Subpart C.

Comments:

Source documentation: (attach ASD worksheets)

**21. Airport Hazards** (see CF 5 of Handbook 1390.2)

Is the project within 3,000 feet from the end of a runway at a civil airport?

Yes  No

Is the project within 2-1/2 miles from the end of a runway at a military airfield?

Yes  No If your answer is Yes to either of the above questions, comply with 24 CFR Part 51, Subpart D.

Comments:

Source documentation:

**22. Protection of Wetlands** (E.O. 11990) (see CF 3 and 4 of Handbook 1390.2)

Are there drainage ways, streams, rivers, or coastlines on or near the site?

Yes  No

Are there ponds, marshes, bogs, swamps or other wetlands on or near the site?

Yes  No

For projects proposing new construction and/or filling, the following applies:

Is the project located within a wetland designated on a National Wetlands Inventory map of the Department of the Interior (DOI)?

Yes  No If your answer is Yes, E.O. 11990, Protection of Wetlands, discourages Federal funding of new construction or filling in wetlands and compliance is required with the wetlands decisionmaking process (§ 55.20 of 24 CFR Part 55. Use proposed Part 55 published in the Federal Register on January 1, 1990 for wetland procedures).

Comments:

Source documentation: (attach § 55.20 analysis for new construction and/or filling)

**23. Toxic Chemicals and Radioactive Materials** (see CF 5 of Handbook 1390.2)

Has a Phase I (ASTM) Report been submitted and reviewed?

Yes  No If your answer is No, is a Phase I (ASTM) report needed?

Yes  No

Are there issues that require a special/specific Phase II report before completing the environmental assessment?

Yes  No

Is the project site near an industry disposing of chemicals or hazardous wastes?

Yes  No

Is the site listed on an EPA Superfund National Priorities or CERCLA, or equivalent State list?

Yes  No

Is the site located within 3,000 feet of a toxic or solid waste landfill site?

Yes  No

Does the site have an underground storage tank?

Yes  No

If your answer is Yes to any of the above questions, use current techniques by qualified professionals to undertake investigations determined necessary and comply with § 50.3(i).

Are there any unresolved concerns that could lead to HUD being determined to be a Potential Responsible Party (PRP)?

Yes  No

Comments:

Source documentation: (attach Phase I (ASTM) Report)

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**24. Other**

**a. Endangered Species** (see EF 3.4 of Handbook 1390.2)

Has the Department of Interior list of Endangered Species and Critical Habitats been reviewed?

Yes  No

Is the project likely to affect any listed or proposed endangered or threatened species or critical habitats?

Yes  No If your answer is Yes, compliance is required with Section 7 of the Endangered Species Act, which mandates consultation with the Fish and Wildlife Service in order to preserve the species.

Comments:

Source documentation

**b. Sole Source aquifers**

Will the proposed project affect a sole source or other aquifer?

Yes  No

Comments

Source documentation

**c. Farmlands Protection** (see EF 3.3 of Handbook 1390.2)

If the site or area is presently being farmed, does the project conform with the Farmland Protection Policy Act and HUD policy memo?  
 Yes  No If your answer is Yes, compliance is required with 7 CFR Part 658, Department of Agriculture regulations implementing the Act.

Comments:

Source documentation:

**d. Flood Insurance**

Is the building located or to be located within a Special Flood Hazard Area identified on a current Flood Insurance Rate Map (FIRM)?

Yes  No

If your answer is Yes, flood insurance protection is required for buildings located or to be located within a Special Flood Hazard Area as a condition of approval of the project. In addition, compliance with § 55.12 and the floodplain management decisionmaking process (§ 55.20) is required (refer to item #17 above). Document the map used to determine Special Flood Hazard Area in above item #17 pertaining to community name and number, map panel number and date of map panel.

**e. Environmental Justice**

Is the project located in a predominantly minority and low-income neighborhood?

Yes  No

Does the project site or neighborhood suffer from disproportionately adverse environmental effects on minority and low-income populations relative to the community-at-large?

Yes  No

If your answer is Yes, compliance is required with E.O. 12898, Federal Actions to Address Environmental Justice.

Comments:

Source documentation:

**25. Unique Natural Features and Areas** (see EF 3.2 of Handbook 1390.2)

Is the site near natural features (i.e., bluffs or cliffs) or near public or private scenic areas?

Yes  No

Are other natural resources visible on site or in vicinity? Will any such resources be adversely affected or will they adversely affect the project?

Yes  No

Comments:

**26. Site Suitability, Access, and Compatibility with Surrounding Development** (see EF 1.1 and 1.3 of Handbook 1390.2)

Has the site has been used as a dump, sanitary landfill or mine waste disposal area?  Yes  No  
 Is there paved access to the site?  Yes  No  
 Are there other unusual conditions on site?  Yes  No

Is there indication of:	Yes	No		Yes	No
distressed vegetation	<input type="checkbox"/>	<input type="checkbox"/>	oil/chemical spills	<input type="checkbox"/>	<input type="checkbox"/>
waste material/containers	<input type="checkbox"/>	<input type="checkbox"/>	abandoned machinery, cars, refrigerators, etc.	<input type="checkbox"/>	<input type="checkbox"/>
soil staining, pools of liquid	<input type="checkbox"/>	<input type="checkbox"/>	transformers, fill/vent pipes, pipelines, drainage structures	<input type="checkbox"/>	<input type="checkbox"/>
loose/empty drums, barrels	<input type="checkbox"/>	<input type="checkbox"/>			

Is the project compatible with surrounding area in terms of:

	Yes	No		Yes	No
Land use	<input type="checkbox"/>	<input type="checkbox"/>	Building type (low/high-rise)	<input type="checkbox"/>	<input type="checkbox"/>
Height, bulk, mass	<input type="checkbox"/>	<input type="checkbox"/>	Building density	<input type="checkbox"/>	<input type="checkbox"/>

Will the project be unduly influenced by:

	Yes	No		Yes	No
Building deterioration	<input type="checkbox"/>	<input type="checkbox"/>	Transition of land uses	<input type="checkbox"/>	<input type="checkbox"/>
Postponed maintenance	<input type="checkbox"/>	<input type="checkbox"/>	Incompatible land uses	<input type="checkbox"/>	<input type="checkbox"/>
Obsolete public facilities	<input type="checkbox"/>	<input type="checkbox"/>	Inadequate off-street parking	<input type="checkbox"/>	<input type="checkbox"/>

Are there air pollution generators nearby which would adversely affect the site:

	Yes	No		Yes	No
Heavy industry	<input type="checkbox"/>	<input type="checkbox"/>	Large parking facilities (1000 or more cars)	<input type="checkbox"/>	<input type="checkbox"/>
Incinerators	<input type="checkbox"/>	<input type="checkbox"/>	Heavy travelled highway (6 or more lanes)	<input type="checkbox"/>	<input type="checkbox"/>
Power generating plants	<input type="checkbox"/>	<input type="checkbox"/>	Oil refineries	<input type="checkbox"/>	<input type="checkbox"/>
Cement plants	<input type="checkbox"/>	<input type="checkbox"/>	Other(specify)	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

Source documentation:

**27. Soil Stability, Erosion, and Drainage** (see EF 1.2 of Handbook 1390.2)

Slopes:  Not Applicable  Steep  Moderate  Slight

Is there evidence of slope erosion or unstable slope conditions on or near the site?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there evidence of ground subsidence, high water table, or other unusual conditions on the site?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there any visible evidence of soil problems (foundations cracking or settling, basement flooding, etc.) in the neighborhood of the site?	<input type="checkbox"/>	<input type="checkbox"/>	
Have soil studies or borings been made for the project site or the area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Unknown
Do the soil studies or borings indicate marginal or unsatisfactory soil conditions?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there indication of cross-lot runoff, swales, drainage flows on the property?	<input type="checkbox"/>	<input type="checkbox"/>	
Are there visual indications of filled ground?	<input type="checkbox"/>	<input type="checkbox"/>	
If your answer is Yes, was a 79(g) report/analysis submitted?	<input type="checkbox"/>	<input type="checkbox"/>	
Are there active rills and gullies on site?	<input type="checkbox"/>	<input type="checkbox"/>	
If the site is not to be served by a municipal waste water disposal system, has a report of the soil conditions suitable for on-site septic systems been submitted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> N.A.
Is a soils report (other than structural) needed?	<input type="checkbox"/>	<input type="checkbox"/>	
Are structural borings or a dynamic soil analysis/geological study needed?	<input type="checkbox"/>	<input type="checkbox"/>	

Comments:

Source documentation:

**28. Nuisances and Hazards** (see EF 1.3 and 1.4 of Handbook 1390.2)

Will the project be affected by natural hazards:

	Yes	No		Yes	No
Faults, fracture	<input type="checkbox"/>	<input type="checkbox"/>	Fire hazard materials	<input type="checkbox"/>	<input type="checkbox"/>
Cliffs, bluffs, crevices	<input type="checkbox"/>	<input type="checkbox"/>	Wind/sand storm concerns	<input type="checkbox"/>	<input type="checkbox"/>
Slope-failures from rains	<input type="checkbox"/>	<input type="checkbox"/>	Poisonous plants, insects, animals	<input type="checkbox"/>	<input type="checkbox"/>
Unprotected water bodies	<input type="checkbox"/>	<input type="checkbox"/>	Hazardous terrain features	<input type="checkbox"/>	<input type="checkbox"/>

Will the project be affected by built hazards and nuisances:

	Yes	No		Yes	No
Hazardous street	<input type="checkbox"/>	<input type="checkbox"/>	Inadequate screened drainage catchments	<input type="checkbox"/>	<input type="checkbox"/>
Dangerous intersection	<input type="checkbox"/>	<input type="checkbox"/>	Hazards in vacant lots	<input type="checkbox"/>	<input type="checkbox"/>
Through traffic	<input type="checkbox"/>	<input type="checkbox"/>	Chemical tank-car terminals	<input type="checkbox"/>	<input type="checkbox"/>
Inadequate separation of pedestrian/vehicle traffic	<input type="checkbox"/>	<input type="checkbox"/>	Other hazardous chemical storage	<input type="checkbox"/>	<input type="checkbox"/>
Children's play areas located next to freeway or other high traffic way	<input type="checkbox"/>	<input type="checkbox"/>	High-pressure gas or liquid petroleum transmission lines on site	<input type="checkbox"/>	<input type="checkbox"/>
Inadequate street lighting	<input type="checkbox"/>	<input type="checkbox"/>	Overhead transmission lines	<input type="checkbox"/>	<input type="checkbox"/>
Quarries or other excavations	<input type="checkbox"/>	<input type="checkbox"/>	Hazardous cargo transportation routes	<input type="checkbox"/>	<input type="checkbox"/>
Dumps/sanitary landfills or mining	<input type="checkbox"/>	<input type="checkbox"/>	Oil or gas wells	<input type="checkbox"/>	<input type="checkbox"/>
Railroad crossing	<input type="checkbox"/>	<input type="checkbox"/>	Industrial operations	<input type="checkbox"/>	<input type="checkbox"/>

Will the project be affected by nuisances:

	Yes	No	Yes	No
Gas, smoke, fumes	<input type="checkbox"/>	<input type="checkbox"/>	Unsightly land uses	<input type="checkbox"/>
Odors	<input type="checkbox"/>	<input type="checkbox"/>	Front-lawn parking	<input type="checkbox"/>
Vibration	<input type="checkbox"/>	<input type="checkbox"/>	Abandoned vehicle	<input type="checkbox"/>
Glare from parking area	<input type="checkbox"/>	<input type="checkbox"/>	Vermin infestation	<input type="checkbox"/>
Vacant/boarded-up buildings	<input type="checkbox"/>	<input type="checkbox"/>	Industrial nuisances	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	Other (specify)	<input type="checkbox"/>

Comments:

Source documentation:

**29. Water, Supply, Sanitary Sewers, and Solid Waste Disposal** (see EF 2.1, 2.2, and 2.4 of Handbook 1390.2)

Is the site served by an adequate and acceptable:

water supply

Yes  No  Municipal  Private

sanitary sewers and waste water disposal systems

Yes  No  Municipal  Private

trash collection and solid waste disposal

Yes  No  Municipal  Private

If the water supply is non-municipal, has an acceptable "system" been approved by appropriate authorities and agencies?

Yes  No

If the sanitary sewers and waste water disposal systems are non-municipal, has an acceptable "system" been approved by appropriate authorities and agencies?

Yes  No

Comments:

Source documentation:



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**31. Schools, Parks, Recreation, and Social Services** (see U/EF 4, 5, and 6 of Handbook 1390.2)

Will the local school system have the capability to service the potential school age children from the project?

Yes  No

Are parks and play spaces available on site or nearby?

Yes  No

Will social services be available on site or nearby for residents of the proposed project?

Yes  No

Comments:

Source documentation:

**32. Emergency Health Care, Fire and Police Services** (see U/EF 7, 8, and 9 of Handbook 1390.2)

Are emergency health care providers located within reasonable proximity to the proposed project?

Yes  No Approximate response time: \_\_\_\_\_

Are police services located within reasonable proximity to the proposed project?

Yes  No Approximate response time: \_\_\_\_\_

Is fire fighting protection  municipal  volunteer adequate and equipped to service the project?

Yes  No Approximate/estimated response time: \_\_\_\_\_

Comments:

Source documentation:

**33. Commercial/Retail and Transportation** (see U/EF 10 and 11 of Handbook 1390.2)

Are commercial/retail shopping services nearby?

Yes  No

Is the project accessible to employment, shopping and services by

public transportation or  private vehicle?

Is adequate public transportation available from the project to these facilities?

Yes  No

Are the approaches to the project convenient, safe and attractive?

Yes  No

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**11. Conditions and Requirements for Approval**

Are mitigation measures required?

Yes  No

If your answer is Yes, list and describe:

Brief Description of the Project:

Field Inspection on (date) \_\_\_\_\_

By (signature) \_\_\_\_\_