

# KENTUCKY TRANSPORTATION CABINET/DIVISION OF ENVIRONMENTAL ANALYSIS SOCIOECONOMIC BASELINE GUIDANCE AND ACCOUNTABILITY FORM

Baseline Prepared by: _____			
Author		Firm	
County:	Route:	Item No.:	
Description:			
Prime Consultant:			
Due Date:	Submittal Date:	Submittal Draft #:	Approval Date:

**Instructions:**

**Baseline Prepared by:** Name of author/firm that prepared the study. **County:** Name of county(ies) within which the project is located.  
**Route:** Name of highway for which the project is intended. Include route designation and number as applicable (i.e. US 60, Winchester Rd.)  
**Item No.:** Item number as it appears in the contract and Six Year Plan which corresponds with the project.  
**Description:** Official description of the project as it appears in the Six Year Plan.  
**Prime Consultant:** Name of the Phase I Design and Environmental Consultant (prime contract holder) for the project.  
**Due Date:** Date that the project is due as agreed upon in contract negotiation.  
**Date of Submittal/Submittal Draft Number:** Date of submittal and draft being submitted (1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>) in appropriate sections.  
**Approval Date:** Date baseline is approved by DEA (**DEA use only**).

**For “Required” column:** √ indicates all applicable areas of focus (**DEA’s responsibility**).  
**For “Completed” column:** use **Y** for yes and **NA** for not applicable as necessary (**Consultant’s responsibility**).  
**For “DEA” Column:** DEA will use √ for all areas that adequately address concerns, and “I” for those that are insufficient in coverage.

**“Comment” page:** Discuss supplemental information, guidance or instructions, if any, that required deviation from the checklist. Discuss all categories which contain “NA” in the “Complete” columns of this format. Comments regarding the content and format of this form and/or its applicability may also be submitted in the comments section.

**“Commitments to be Implemented” page:** Identify any commitments that are documented within the study. Specify the nature of the commitment, to whom it was or should be made, when the commitment should be enacted upon, etc.

**“Mitigation and Special Issues” page:** Identify mitigation measures that are specified within the report, if any. Also, identify any special issues that are addressed within the document that should be considered by the Project Team as it makes decisions regarding the project.

**“Signature” page:** Signatures of Prime Consultant and KYTC/DEA Environmental Project Manager/Reviewer will attest that the base study meets the requirements set forth in this checklist. Signatures of KYTC Project Manager and District Environmental Coordinator ensure that the findings of the report, including impacts to the project and mitigation measures have been presented to the project development team and are acceptable.

**Completed form is to be delivered to KYTC with the document. Previous checklists for the document, or a copy thereof, shall be attached to the current checklist.**

**Item No: ENTER THE ITEM # IN THIS FOOTER**

Required	Complete	DEA	CATEGORY	DATA SOURCES
<b>Insert check mark as appropriate</b>			<b>Land Use</b>	
✓			<ul style="list-style-type: none"> <li>Establish Baseline Conditions (Existing Land Use, include exhibit.).</li> </ul>	<p>US Census Bureau Website, <a href="http://www.bea.com/bea/regional/bearfacts">www.bea.com/bea/regional/bearfacts</a>, <a href="http://www.thinkkentucky.com">www.thinkkentucky.com</a> (Research and Statistics – Deskbook of Economic Statistics), <a href="http://cpba.louisville.edu/ksdc">http://cpba.louisville.edu/ksdc</a> (KY State Data Center) Interviews with local, regional officials, review of land use maps, municipal and ADD reports, field visits, KYTC Div of Planning reports.</p>
✓			<ul style="list-style-type: none"> <li>Discuss Project Compatibility with Existing Land Use Plans.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss Growth Inducement (Current Development Trends, Indirect Effects of the Project on Land Use Patterns, Population Density, &amp; Growth Rate.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss Cumulative and Indirect Impacts</li> </ul>	
			<b>Community Resources</b>	
✓			<ul style="list-style-type: none"> <li>Establish baseline conditions for existing neighborhoods and communities and cohesion.</li> </ul>	<p>Field visits, interviews with local officials (including elected officials, police and fire departments, health agencies, non-profit organizations), local realtors, PVA offices, reviews of local maps and plans, US Census reviews of commuting patterns, interviews with neighborhood associations, church leaders, etc.</p>
✓			<ul style="list-style-type: none"> <li>Identify community resources including parks, churches, schools, shopping, emergency services, libraries, etc.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss impacts on travel patterns, accessibility, community facilities, economic vitality in project area &amp; on established business districts.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss Mobility.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Reference any consultation with community, city or county officials.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss cumulative and indirect Impacts.</li> </ul>	
			<b>Replacement Housing/Available Commercial Facilities</b>	
✓			<ul style="list-style-type: none"> <li>Establish baseline conditions for available housing and commercial/industrial facilities based on current market data.</li> </ul>	<p>Local officials, real estate agents and listings, PVA figures, Cross reference data to determine listing value, sale value, assessed PVA value to determine actual value and its proximity to the listed value. Reference past five years of sales activities to determine the stability of the market and to make best estimate for the future year (continued in next segment).</p>
✓			<ul style="list-style-type: none"> <li>Discuss coordination with MPO or other governmental agencies to identify other proposed projects or activities that would compete for favorable housing.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss cumulative and indirect impacts.</li> </ul>	

Required	Complete	DEA	CATEGORY	DATA SOURCES
<b>Insert check mark as appropriate</b>			<b>Relocations and Displacements</b>	
✓			<ul style="list-style-type: none"> <li>Establish baseline Conditions (Identify number &amp; type of relocations – residential, commercial, industrial, etc.).</li> </ul>	<a href="http://www.apartment.com">www.apartment.com</a>  Determine if construction projects are anticipated within the same timeframe of this project. If there are projects, will they provide competition in the housing market for residents associated with this project? Seek roadway, airport, commercial development projects, etc. This info can be found through the Six-Year Plan, local interviews, newspaper articles, chambers of commerce and interviews with local and regional officials.
✓			<ul style="list-style-type: none"> <li>Reference the Conceptual Stage Relocation Report.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss Relocation Assistance Program (Last Resort Housing), Title VI of the Civil Rights Act, 1966.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Include statement if applicable that the acquisition and relocation program will be conducted in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss mobility for physically challenged residents.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Include table to summarize relocations for each alternate.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss cumulative and indirect impacts.</li> </ul>	When assessing options for commercial and non-profit relocations, determine the function of affected site and the level of necessity for it to remain within the project area – are its customers dependent upon it remaining nearby?
✓			<ul style="list-style-type: none"> <li>Discuss number of right-of-way sections and 6-year plan time frames for each section identified if applicable.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Cite competing projects/economic development initiatives that could compete for each right-of-way section identified.</li> </ul>	<a href="http://www.kytc.state.ky.us/planning/maps.shtrn">www.kytc.state.ky.us/planning/maps.shtrn</a>
✓			<ul style="list-style-type: none"> <li>All proposed alternates identified and discussed.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Anticipated problems and solutions for all proposed alternates thoroughly discussed.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Secondary sources of information (such as census records, contact with local and community leaders, economic reports) cited.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Relocation information presented in sufficient detail to adequately explain relocation impacts for each alternate.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Displaced community(s) affected by the project discussed including divisive or disruptive effects, special relocation considerations, and measures proposed to resolve relocation concerns.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Anticipated impacts to communities and potential adverse environmental factors present in areas adequately discussed.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Last Resort Housing Funds discussed, and if necessary, recommendations of how to remedy these types of displacements.</li> </ul>	

Required			Complete			DEA			CATEGORY			DATA SOURCES		
<b>Insert check mark as appropriate</b>			<b>Relocations and Displacements continued</b>									<p>Report for each proposed alternate provides discussion of the types of homes to be acquired including estimates of:</p> <ul style="list-style-type: none"> <li>• Number of residential displacements.</li> <li>• Number of owners/tenants being displaced.</li> <li>• Income ranges in dollars of displaced residents.</li> <li>• Percentages of minority residences being displaced.</li> <li>• Percentage of displaced elderly residences.</li> <li>• Percentage of residences with five or more family members.</li> <li>• Nonresidential displacements estimates include: <ul style="list-style-type: none"> <li>• Number of employees.</li> <li>• Owner/Tenant.</li> <li>• Potential impacts on displaced establishments.</li> <li>• Unique attributes of the nonresidential establishments.</li> <li>• Estimated availability of replacement sites.</li> <li>• Likelihood of relocation by those displaced.</li> <li>• Social, economic, cultural loss to community by those displaced.</li> </ul> </li> </ul> <p>Field visits should include after hours visits to the area when most residents are at home. This will maximize efforts at determining ages, physical limitations (handicap license plates), number of children, some signs of interdependency between households, etc.</p> <p>Socioeconomic data collected, such as percentages of residents living at or below the poverty level within affected census tract(s) will be utilized along with field observations and official interviews to determine conditions within and adjacent to the project corridors.</p>		
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			<b>Farmland</b>									<p>Field visits, coordination with county USDA/NRCS offices, LESA form, Kentucky Agricultural Statistics publication - call 800-928-5277 for latest edition (No charge). <a href="http://www.nass.usda.gov/ky/">www.nass.usda.gov/ky/</a></p>		
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Required	Complete	DEA	CATEGORY	DATA SOURCES	
<b>Insert check mark as appropriate</b>			<b>Environmental Justice</b>		
✓					<ul style="list-style-type: none"> <li>Establish baseline conditions (i.e. racial diversity, income levels, family clusters, etc).</li> </ul>
✓					<ul style="list-style-type: none"> <li>Include statement of project compliance with E.O. 12898, Environmental Justice guidance.</li> </ul>
✓					<ul style="list-style-type: none"> <li>Discuss avoidance, minimization, and mitigation if applicable.</li> </ul>
✓					<ul style="list-style-type: none"> <li>Discuss cumulative and indirect impacts.</li> </ul>
			<b>Pedestrian and Bicycle Facilities</b>		
✓					<ul style="list-style-type: none"> <li>Establish baseline conditions by identifying existing facilities and their uses for transportation and/or recreation.</li> </ul>
✓					<ul style="list-style-type: none"> <li>Discuss opportunities for providing pedestrian and/or bicycle facilities thereby increasing mobility of this mode of transportation.</li> </ul>
✓					<ul style="list-style-type: none"> <li>Discuss cumulative and indirect impacts.</li> </ul>
			<b>Visual Impacts</b>		
✓					<ul style="list-style-type: none"> <li>Establish baseline conditions (existing viewshed).</li> </ul>
✓					<ul style="list-style-type: none"> <li>Discuss view of proposed road from surrounding area and view of the proposed road. Include impacts and/or anticipated enhancements to viewshed after construction.</li> </ul>
✓					<ul style="list-style-type: none"> <li>Discuss cumulative and indirect impacts.</li> </ul>

Required	Complete	DEA	CATEGORY	DATA SOURCES
			<b>Construction Activities</b>	
✓			<ul style="list-style-type: none"> <li>Discuss waste and borrow sites.</li> </ul>	Refer to KYTC Standard Specifications for Road & Bridge Construction.
✓			<ul style="list-style-type: none"> <li>Discuss dust, noise, erosion controls.</li> </ul>	Kentucky Department of Highways Standard Specifications for Road and Bridge Construction
			<b>4(f) Resources</b>	
✓			<ul style="list-style-type: none"> <li>Identify 4(f) resources</li> </ul>	Reviews of local maps, interviews with local officials, field trips.
✓			<ul style="list-style-type: none"> <li>Separate 4(f) documentation to be prepared.</li> </ul>	
			<b>6(f) Resources</b>	
✓			<ul style="list-style-type: none"> <li>Identify 6(f) resources.</li> </ul>	
			<b>Safety</b>	
✓			<ul style="list-style-type: none"> <li>List road deficiencies (lack of shoulders, curve deficiencies, etc.)</li> </ul>	KYTC traffic studies Interviews with local emergency officials. Interviews with local elected officials. Field trip observations.
✓			<ul style="list-style-type: none"> <li>Crash analysis of existing roadway(s) including existing conditions and design year.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss crime rates; existing and projected.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Discuss cumulative and indirect impacts.</li> </ul>	
			<b>Other Issues</b>	
✓			<ul style="list-style-type: none"> <li>Discuss unresolved issues or situations, which are anticipated and not included in the previous areas. Include impacts, suggested mitigation and commitments. Establish baseline and discuss cumulative and indirect impacts if applicable.</li> </ul>	NA
			<b>Summary</b>	
✓			<ul style="list-style-type: none"> <li>Brief discussion summarizing the impacts and mitigation commitments for the project. Include results and recommendations.</li> </ul>	NA
✓			<ul style="list-style-type: none"> <li>Include matrix which scores and compares impacts for each alternate.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Explain methodology(ies) incorporated in making determinations of impacts.</li> </ul>	
✓			<ul style="list-style-type: none"> <li>Guidance and Accountability Form included in submitted base study report.</li> </ul>	









## ***SIGNATURE PAGE***

I have reviewed the project documentation and attest that those responsible for its preparation are familiar with the requirements set forth in the checklist above and that proper management controls were in effect throughout the course of document development to assure that the document is complete, thorough and addresses all applicable checklist components.

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*Prime Consultant*

*Date*

### **Recommended for Approval By:**

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*KYTC/DEA Environmental Project Manager/Reviewer*

*Date*

### **Team Review of Commitments**

The findings of the report, including impacts to the project and project commitments, have been presented to the Project Team and will be considered during the development of this project.

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*KYTC/District Environmental Coordinator*

*Date*

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*Project Manager*

*Date*