



Customer Service Plan and Proposed Sewer Certification Improvements

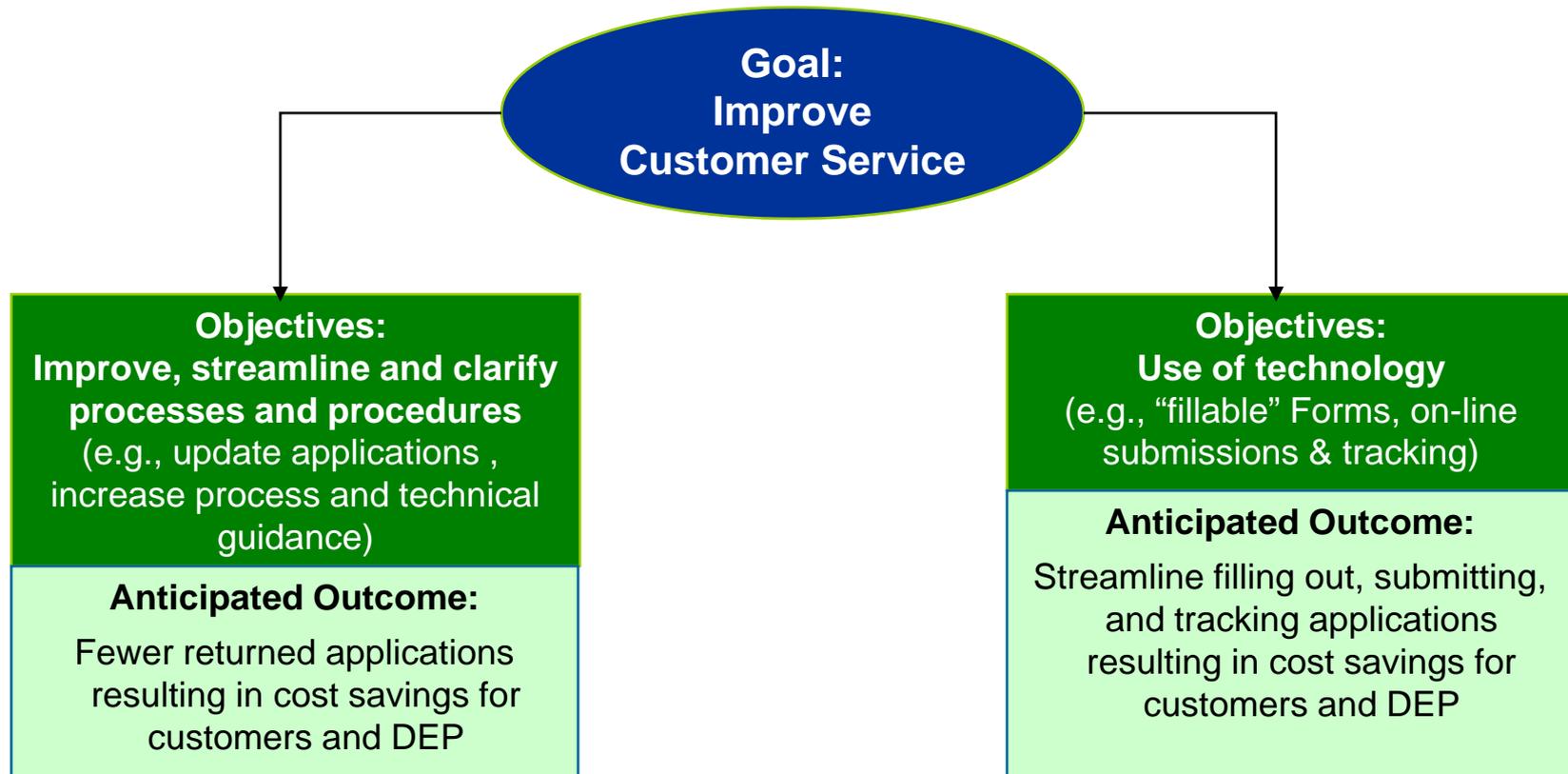
November 17, 2010 – Manhattan

November 19, 2010 – Queens

- ❖ Overview of Department of Environmental Protection (DEP) Customer Service Plan
- ❖ Sewer Certification: Initial focus of Customer Service Plan
- ❖ Recent Plan Efforts:
 - Website Improvements
 - Proposed Changes to HCP/SCP Application & Guidelines
- ❖ Online Survey to Gather Feedback on Recent Plan Efforts
 - ❖ Feedback on Website Improvements
 - ❖ Feedback on Proposed Revisions to the HCP/SCP Application & Guidelines
 - ❖ Feedback on Technology Solutions
- ❖ Questions and Comments

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The Bureau of Water and Sewer Operations (BWSO) has embarked on a long-term plan to improve customer service





Process

Improve Engineering Approval and Permitting Processes

Milestones to date:

- ✓ DOT street opening permit is now eliminated as a requirement to obtain DEP permit

Near Term Target Deadline – Summer 2011:

- Finalize revised Sewer Connection Applications (House and Site Connection Proposals) as Fillable PDF
- Update Sewer Connection Application and Process for Online Submission



Clarity

Improve Access to Information and create “one-stop-shop” for Information Requests

Milestones to date:

- ✓ New layout of Water and Sewer Forms website groups related material for ease of use
- ✓ Additional guidance materials added to Water and Sewer Forms website

Near Term Target deadline – Summer 2011:

- Submit Request for Information Form to request records via DEP website



Technology

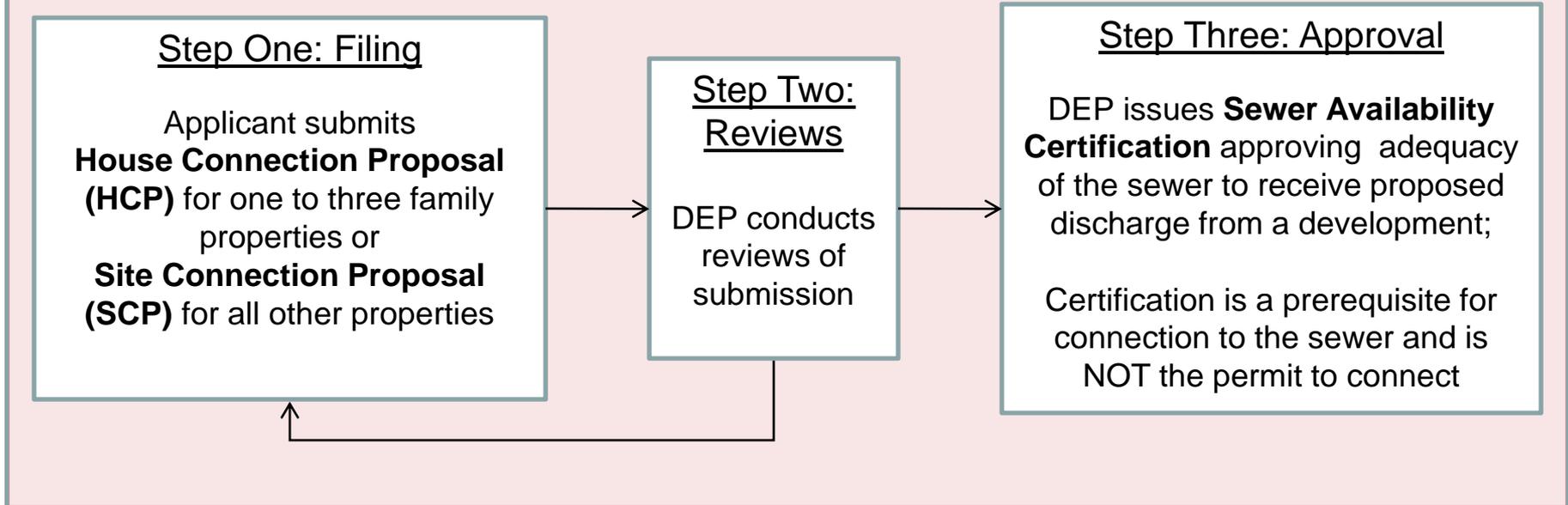
Improve Customer Interaction through the use of technology

Near Term Target deadline – January 2011:

- Initiate roll-out of Fillable Forms
- Go Live with Water Relay and Report Application online
- Initiate roll-out of online submission and tracking of all applications and requests

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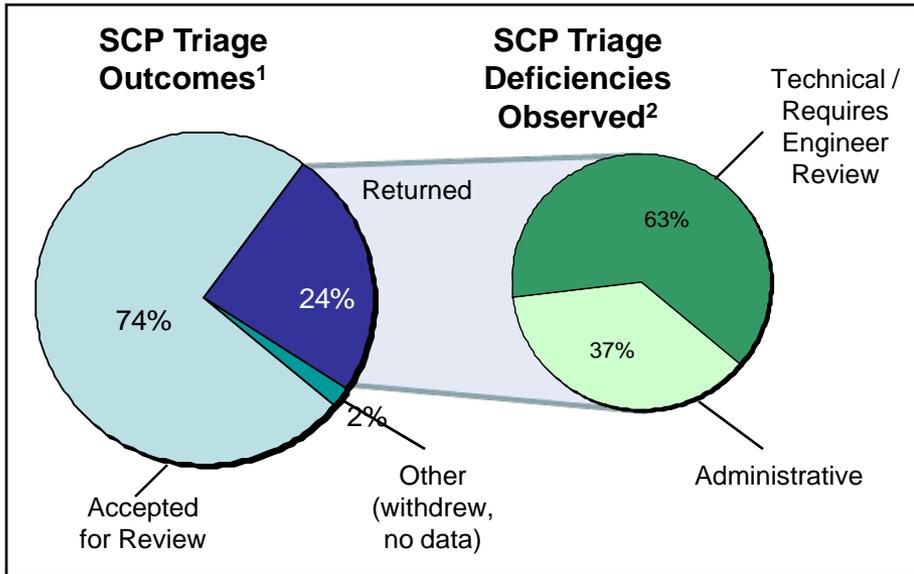
SEWER CERTIFICATION PROCESS



HCPs and SCPs are a logical initial step to process improvements because they:

- ✓ Comprise a large percentage of our submittals
- ✓ Impact residential, commercial, industrial, properties
- ✓ Affect approximately 200 different Professional Engineering / Registered Architectural firms and the real estate and development community
- ✓ Are an integral step in the construction process for new developments

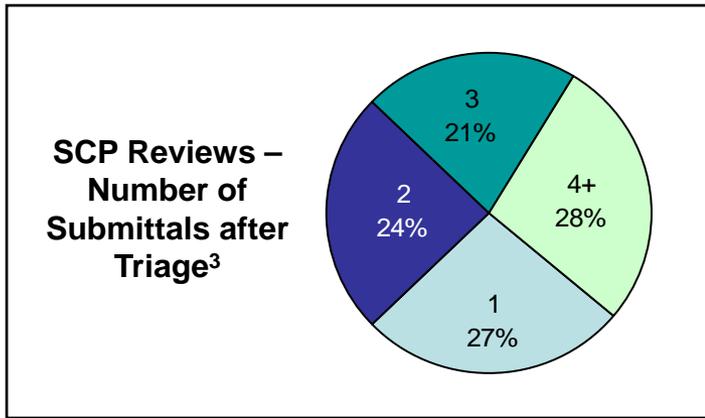
Current Efforts Stemmed from Analysis of SCP Process



Improve Accountability

Current Efforts

- ❖ Improvements to Website Layout and Content
- ❖ Proposed Revisions to Sewer Certification (Regular HCP/SCP) Application Guidelines



Improve Clarity

Note: Margin of error is assumed in Date; Date shown is for SCPs submitted to Headquarters only; Manhattan not included

(1) Based on average return rates from 2008 and 2009 from BWSO Tracking System for SCP applications submitted to Review & Construction Compliance only.

(2) Based on a manual review of 50 deficiency letters and 116 total deficiencies.

(3) Based on a review of re-submittal data for SCP submittals at Headquarters from 2003 – 2008; data from local offices and triage not included/ not available.

(4) From BWSO Tracking System, based on an average of monthly response times (February – April 2010 for Triage; January – April 2010 for reviews).

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Stay Connected

SEARCH [Advanced Search](#)

Home

CUSTOMER SERVICES
Ways to Pay Your Bill
Account Information & Assistance

WATER UTILITIES
Drinking Water
Wastewater
Stormwater
Harbor Water

THE WATERSHED
Watershed Protection
Watershed Recreation

ENVIRONMENTAL PROGRAMS
Environmental Education
Conservation Programs
Air Pollution Control
Noise Codes & Complaints

BUSINESSES & PROFESSIONALS
Forms & Permits
Water & Sewer Forms
Asbestos Forms
Doing Business with DEP
Asbestos Abatement
Construction, Demolition & Abatement

ABOUT DEP
Mission Statement
The Commissioner
DEP Offices
News
Capital Projects
Job Opportunities
Language Access Plan
DEP Alumni Association
Environmental Reviews
A to Z Index

Water & Sewer Forms
DEP is responsible for approving all work related to the City water and sewer infrastructure including construction of private water and sewer mains, connections to the water and sewer system, repair work on the system, and discharges into the sewer system. This section includes general information and detailed application requirements to assist property owners, Professional Engineers and Registered Architects, and plumbers in obtaining required approvals, permits and inspections.

Request Records
Use the [Request for Information Form](#) (PDF - 8.5" x 14") to request Drainage Plans and water main as-built records. You may also visit one of our [DEP Borough Water and Sewer Office Locations](#) to obtain water and sewer records.

Learn More about Water and Sewer Approvals
This section provides process explanations, frequently asked questions, and other information for property owners or applicants who are seeking additional information about how to obtain approval for water and sewer connections.
[Learn more](#)

Download Technical Guidance and Application Materials
Access a range of technical guidance documents and application forms, as well as supplementary documents and templates.
[Sewer Connections](#)
[Private Sewers / Drains](#)
[Drainage Proposals and Amended Drainage Plans](#)
[Cross-Connection Controls](#)
[Water Service Connections / Private Water Mains](#)
[Dewatering](#)
[Other Guidelines and Reference Materials](#)

Reservoir Levels
Current: 79.0%
Normal: 70.0%

Outreach Survey

Email a Friend

Customer Services
[Contact Customer Service](#)
[Dispute Resolution](#)
[Learn About AMR](#)
[Protect My Family From Lead](#)
[Dispose of Grease and Oil Properly](#)
[15-Day Service Termination Notice](#)
[For Businesses](#)
[More Services...](#)

Goal: Group Related Materials Together for Quick Reference

Download Technical Guidance and Application Materials

Access a range of technical guidance documents and application forms, as well as supplementary documents and templates.

- ▶ [Sewer Connections](#)
- ▶ [Private Sewers / Drains](#)
- ▶ [Drainage Proposals and Amended Drainage Plans](#)
- ▶ [Cross-Connection Controls](#)
- ▶ [Water Service Connections / Private Water Mains](#)
- ▶ [Dewatering](#)
- ▶ [Other Guidelines and Reference Materials](#)

Current Efforts focused on content associated with Sewer Certification, we will continue to add content related to other applications in an on-going manner.

Fact Sheets /Checklists

Frequently Asked Questions
Requesting investigations
Requesting Meetings
Items Needed at Meetings

Process Explanations

Sewer Certification and Sewer Connection
Permitting Process
How to connect to a private sewer
Linkages between engineering approvals
and permitting requirements

Templates/Technical Guidance

Site Plan Template
Amended Drainage Plan Template
Hydraulic Study Computation
Worksheet; Deed Restriction
Homeowner's Association Affidavit

Other Information

Permitting and Approval Fees (NYC Water
and Wastewater Rate Schedule)
Water and Sewer Permitting and
Application Contacts and Office Locations
Helpful links for Sewer Certification; design
guidance for Drainage Plans

Website Usage of the Water and Sewer Forms Main Page show recent efforts have Improved the website overall

Metric	Data from July 1 to October 31 (New Website Layout and Content went Online in September)	Suggested Reason
Overall Traffic to Water and Sewer Forms Main Page	Remained the same: roughly 3,000 pageviews / 1,500 unique views a month	
Time on Page	Dropped significantly: From roughly 2 minutes to 40 seconds	Easier to find information
Quality of Visit (Rate visitors remained on site)	Dropped significantly: From roughly 60% to 24% for Bounce Rate From roughly 35% to 9 % for Exit Rate	Increased interested in website content (i.e. Additional information keep people from leaving the site)

Proposed Improvement	Initiative	Anticipated Benefits
<ul style="list-style-type: none"> ▪ New Submittal Checklist 	Accountability & Clarity	<ul style="list-style-type: none"> ▶ Defines which documents are required for application acceptance
<ul style="list-style-type: none"> ▪ Expanded Supporting Document Checklist with additional columns to track 	Accountability & Clarity	<ul style="list-style-type: none"> ▶ Improve tracking of documents that may be needed after initial submission
<ul style="list-style-type: none"> ▪ Expanded & Updated Guidelines (providing exact reference rather than generally stating “in accordance with DEP requirements”) 	Clarity	<ul style="list-style-type: none"> ▶ Increase the transparency of the process
<ul style="list-style-type: none"> ▪ Improve Presentation <ul style="list-style-type: none"> – Group related instructions together – Expanded form fields (i.e., data fields that allow multiple connection types or project addresses) – “Fillable” forms 	Accountability, Clarity, & Technology	<ul style="list-style-type: none"> ▶ Improves customer-friendliness ▶ Lays the groundwork for an online application system in the future
<ul style="list-style-type: none"> ▪ New data fields for applicant / owner information 	Accountability & Clarity	<ul style="list-style-type: none"> ▶ Supports initiatives to better track and manage applicant base and service levels ▶ Lays groundwork for more electronic communications
<ul style="list-style-type: none"> ▪ New data fields for stormwater detention 	Accountability & Clarity	<ul style="list-style-type: none"> ▶ Supports storm rule requirements

Sample Proposed Improvement: Submittal Checklist

SECTION I-B. DOCUMENTATION REQUIRED TO INITIATE REVIEW:

	Attached?	For DEP Use Only
1. One (1) typed Cover Letter on letterhead, with itemized enclosures; submission number (first, second, etc); type of submission (e.g., SCP); current and prior project number(s) if resubmission; brief description of the project and project history; and, if the application was previously certified, explanation of why recertification is requested*	<input type="checkbox"/>	
2. Six (6) copies of the completed SCP application form, on 8 ½ x 14 paper and double-sided*	<input type="checkbox"/>	
3. Six (6) copies of Attachment F, if used instead of Section F on form	<input type="checkbox"/>	
4. Six (6) copies of the Site Plan with hydraulic calculations*	<input type="checkbox"/>	
5. Three (3) copies of the Site Survey including watercourse note and dated within one (1) year*	<input type="checkbox"/>	
6. A check for the review fee, payable to the NYC Water Board, as per the NYC Water Board Rate Schedule (www.nyc.gov/html/nycwaterboard)	<input type="checkbox"/>	
7. One (1) copy of the pertinent Tax Map	<input type="checkbox"/>	
8. One (1) copy of the pertinent As-Built Sewer Records OR, if no record available, a copy of the DEP Field Investigation Report	<input type="checkbox"/>	
9. One (1) copy of the pertinent Drainage Plan OR documentation from BWSO indicating that no Drainage Plan is available	<input type="checkbox"/>	
10. One (1) copy of the pertinent Sewer Map(s) (a.k.a. Index Maps, Section Maps, Atlas Maps)	<input type="checkbox"/>	

* Requires PE / RA Stamp and Original Signature (LS for Site Survey)

“I affirm that the items indicated above are enclosed with this submission and are in compliance with the latest DEP rules, regulations and sewer design standards. I understand that INCOMPLETE, INCORRECT, or ILLEGIBLE submissions will be returned without review.

_____ Applicant signature

_____ Date

**Improvements:
If the criteria in
this checklist
are not met,
applications
will be
promptly
returned before
initial review.**

Sample Proposed Improvement: Project Data

SECTION II-A. PROJECT DATA:			
1. Borough: <input type="text"/>		2. Zoning a. Designation: <input type="text"/> b. Map Number: <input type="text"/>	
3. a. Block(s): <input type="text"/> b. Tax Lot(s): <input type="text"/>		4. Project Address / Location(s): <input type="text"/>	
<input type="text"/>		<input type="text"/>	
<input type="text"/>		<input type="text"/>	
<input type="text"/>		<input type="text"/>	
<input type="checkbox"/> See additional attached sheet			
6. Filing Professional (PE / RA) a. Name: <input type="text"/> b. Company / Firm: <input type="text"/>			
c. Address and Zip Code: <input type="text"/>		d. Phone: <input type="text"/> e. Fax: <input type="text"/>	
f. License Number: <input type="text"/>		g. Email: <input type="text"/>	
7. Owner / Developer Information a. Name: <input type="text"/> b. Corporation: <input type="text"/> c. Phone: <input type="text"/>			
d. Address and Zip Code: <input type="text"/>		e. Fax: <input type="text"/> f. Email: <input type="text"/>	
8. Attached Review Fee Payable to NYC Water Board: \$ <input type="text"/>			

Improvements:

- Additional data fields: Filing Professional Company Firm, Fax Number, License Number, and Email Address; Owner/Developer Corporation, Fax Number, and Email Address
- This format is more conducive to projects covering multiple lots or with several addresses associated with the points of connection
- A numbering system shows better alignment of detailed guidelines to each data field

SECTION II-C. SEWER CONNECTIONS REQUESTED:

1. Total Developed Site Storm Flow: _____ cfs	2. Allowable Storm Flow to Sewer: _____ cfs			
3. Detention / On-site Retention:				
a <input type="checkbox"/> Detention	e <input checked="" type="checkbox"/> On-Site Retention			
b. Type: <u>select one</u> c Volume: _____	f Method: <input type="checkbox"/> Drywells <input type="checkbox"/> Other (specify)			
d. Describe (if applicable): _____	g. Describe (if applicable): _____			
4.				
	<u>Sanitary</u>	<u>Storm</u>	<u>Combined</u>	<u>Drywells</u>
Total Q (cfs):	_____	_____	_____	_____
No. Requested:	_____	_____	_____	_____
Size (in):	_____	_____	_____	N/A
Material(s):	_____	_____	_____	N/A
Note: You must provide sanitary flows and storm flow separately.				

Improvements:

In response to the new Storm Rule, application was updated to include detail on any detention or retention proposed

- In response to survey comments, above section will change to all for allow for:**
- more information on Detention/On-site Retention
 - additional information on Drywells

SECTION II-G: SUPPORTING DOCUMENTS:

Document Type	Applicable?	Submitted?	Date Submitted
1. DOF Tentative Lot Number Request Form (3 copies) *	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
2. Owner's Consent Form for Private Sewer Treatment Plant / Pumping Station Connection (3 copies) **	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
3. Condo / HOA Affidavit (1 copy) ***	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
4. Industrial Waste Approval (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
5. DOB "No Objection to the Concept" (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
6. Alteration Map for Mapping / Demapping Actions (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
7. Builders Pavement Plan (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
8. NY State Dept. of Environmental Conservation Permit (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
9. Application to DOT for Franchise Force Main (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
10. Board of Standards and Appeals Resolution (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
11. All Documents Associated with Use of Existing Connection (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
12. Boring Logs (1 copy) *	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
13. Internal Easements and Deed Restrictions (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
14. Topographic Map(s) (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
15. Permits/Approvals for Outfall Discharge to Waterways (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
16. Record of Plug (1 copy)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
17. Recertification Documents	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
18. Other (Specify):	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
19. Other (Specify):	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	
20. Other (Specify):	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	

* Requires PE/RA Stamp and Original Signature (L.S. for Survey)
 ** Must Be Notarized and have Corporate Seal
 *** Must be Notarized

Applicants will be asked to identify all applicable supporting documents initially to aid in tracking of future submission

Supporting documentation requirements have been clarified and expanded upon in guidelines

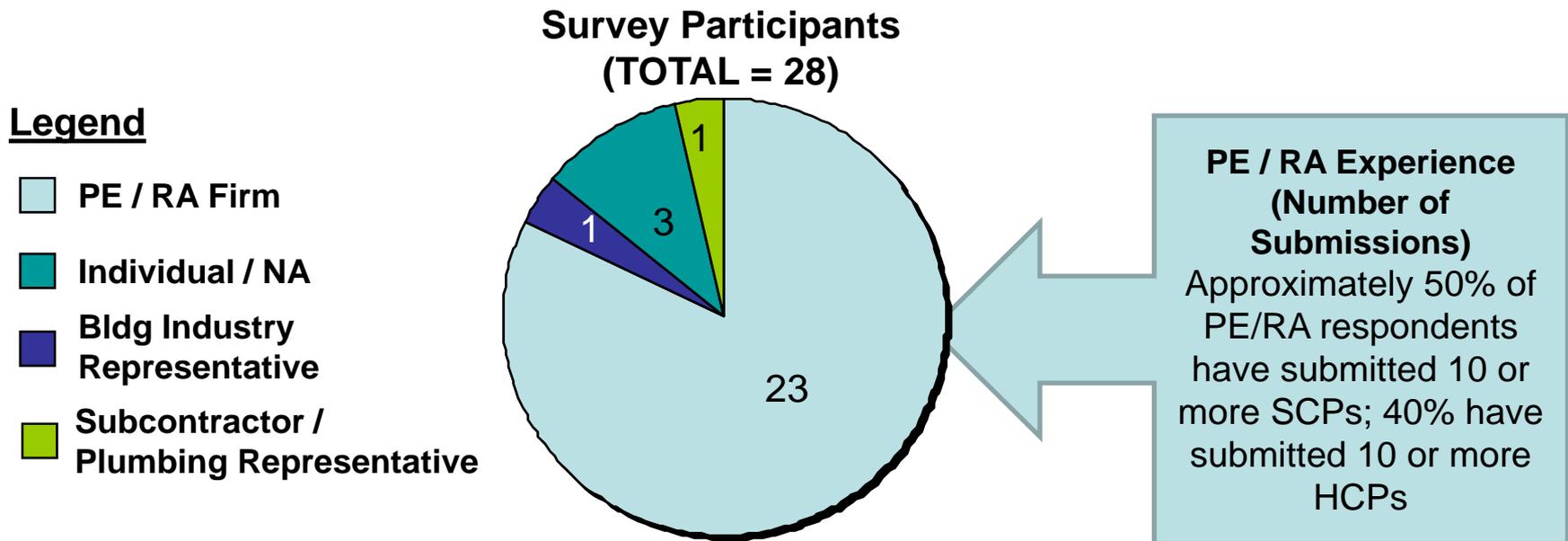
In response to survey comments,

- **Note will be added that not all documents in list are required for every project**
- **Associated guideline section will updated with recent DOF form changes**
- **Associated guidelines section will be further clarified as requested, including "All documents Associated with Use of Existing Connections"**

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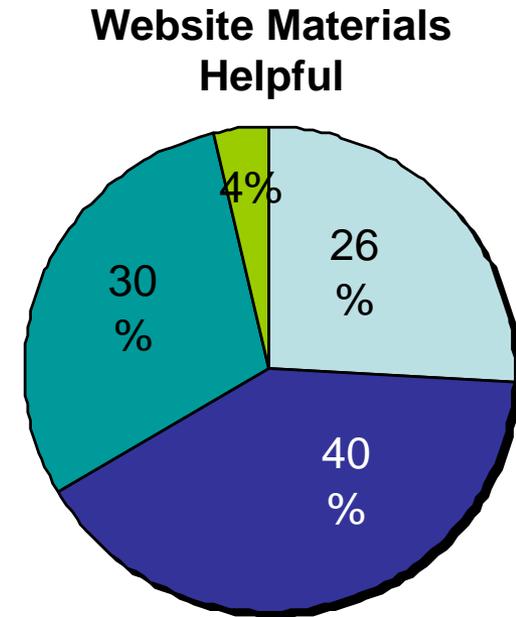
Purpose of Survey: Collect professional feedback on

- ❖ Website layout and content improvements
- ❖ HCP/SCP application guidelines proposed revisions
- ❖ Technology solutions

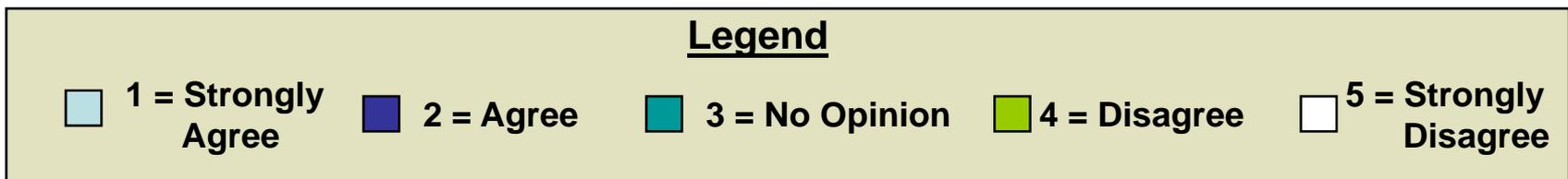


We are currently reviewing the write-in comments (approximately 130) and will send email notification when response document is posted to the website.

- ❖ 85% of respondents currently use the website to access forms and templates
- ❖ 66% either agreed or strongly agreed that the new website materials are helpful
 - 30% had no opinion
 - 4% disagreed



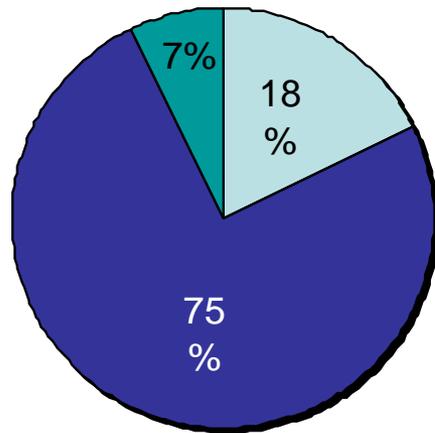
- ❖ Total Responses: 15
- ❖ Average Score: 2.2



Sample Comment	Preliminary Response	Future Improvement
<p>E-mail list to notify recipients of changes and new materials</p>	<p>Will build upon HCP/SCP outreach E-mail for all future notifications</p>	<p>System for Online Submission will generate notifications and can be updated by applicants</p>
<p>Need for additional materials including:</p> <ul style="list-style-type: none"> ▪ Explanations of master plans and phases ▪ Information on green infrastructure ▪ Link to RCNY code that is searchable ▪ Expanded information on approved materials and standards 	<p>We are continuing to create additional guidance materials to post on the website</p>	<p>We hope to address all requests, to make website a “one-stop-shop” for information; Online Submission system to link to documents on website where applicable.</p>

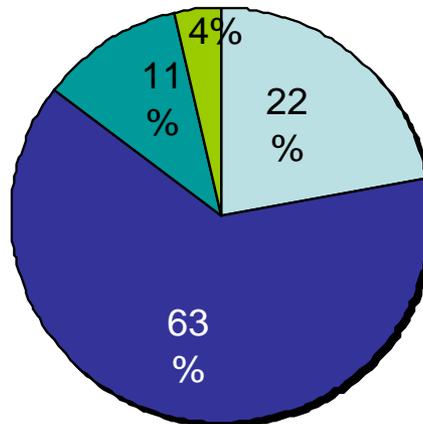
Survey responses indicate that we succeeded in improving the overall HCP/SCP application & guidelines

Better Explanation of Technical Requirements



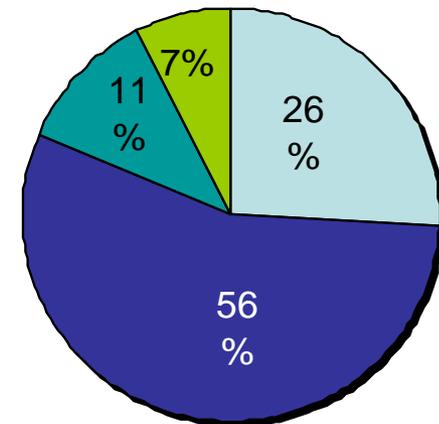
❖ Total Responses: 28
❖ Average Score: 1.89

Clearer Explanation of Application Process



❖ Total Responses: 27
❖ Average Score: 1.96

Easier to Use and Understand

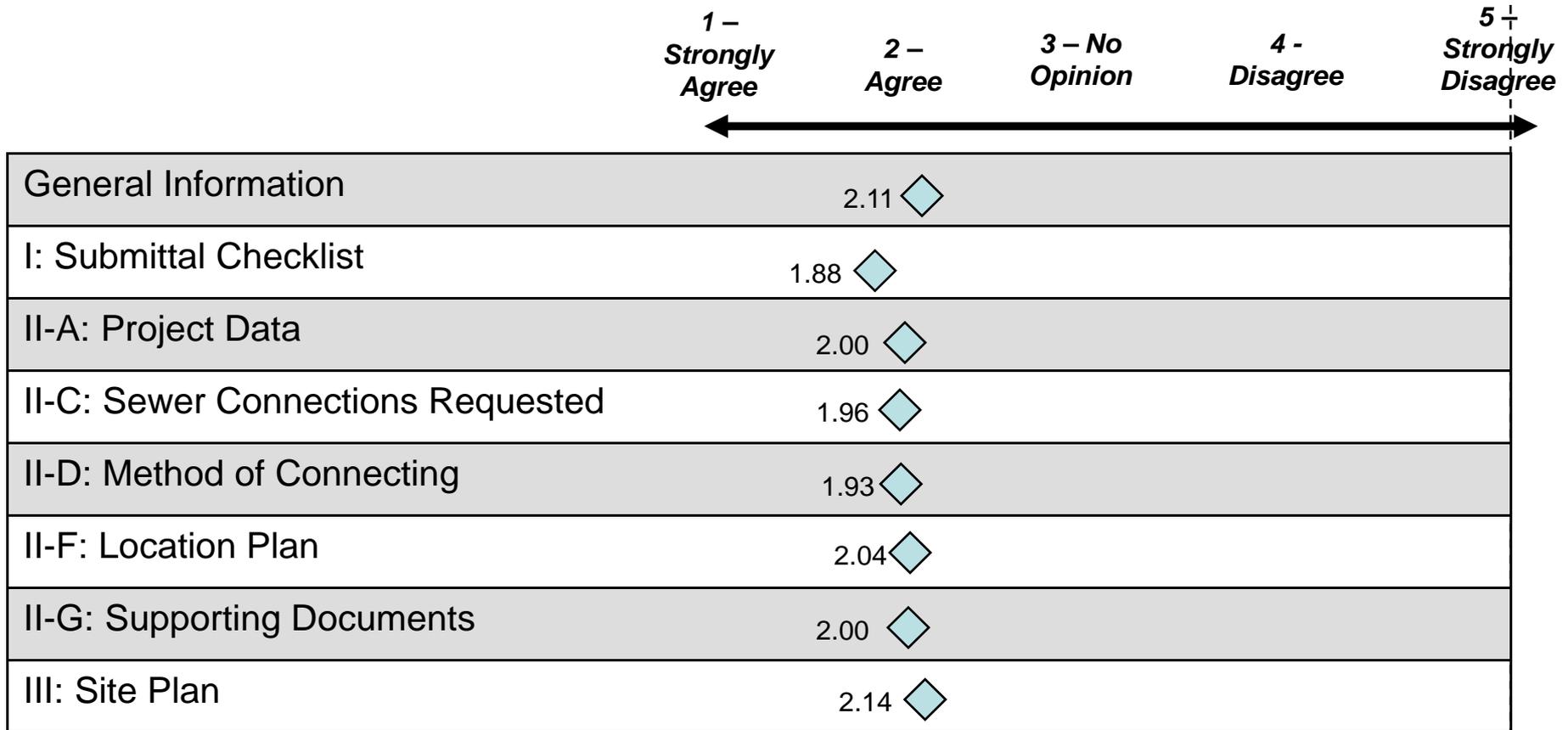


❖ Total Responses: 27
❖ Average Score: 2.00

Legend

- | | | | | |
|--------------------|-----------|----------------|--------------|-----------------------|
| 1 = Strongly Agree | 2 = Agree | 3 = No Opinion | 4 = Disagree | 5 = Strongly Disagree |
|--------------------|-----------|----------------|--------------|-----------------------|

Survey responses also indicated that we improved each section of the HCP/SCP application & guidelines



Sample Comment	Preliminary Response	Future Improvement
<p>Clarify technical requirements including:</p> <ul style="list-style-type: none"> ▪ Master plans and phases ▪ Manhole connections ▪ Detention/On-site Retention 	<p>Application sections, and associated guidelines sections will be revised to incorporate responses</p>	
<p>Clarify application process</p> <ul style="list-style-type: none"> ▪ Provide contact information & how to check the status of an application ▪ Where to obtain records ▪ Show application process (flow chart) 	<p>Fillable PDF application will reference (with hyperlinks) to process information on website</p>	<p>Application process will change when application goes online: at that time, extensive outreach and training on the new process will begin</p>
<p>More explanation of key terms</p>	<p>Glossary of terms will be posted to website</p>	<p>Online system will be dynamic and provide quick links to information</p>

Sample Comment	Preliminary Response	Future Improvement
<p>Confusion on whether supporting documentation section adds more requirements that are burdensome / difficult to obtain (e.g. DOB letter, BWT approval)</p>	<p>Application will further clarify that the supporting document checklist list all possible document, not necessarily all required documents</p>	
<p>Changes to current filing methods to reduce mailing/drop-off hardships</p>	<p>Currently hardships with various filing methods include acceptance of electronic plans.</p>	<p>Online Submission will begin to address filing hardships</p>
<p>Current process is not streamlined enough</p>		<p>Application will be furthered streamlined with online submission</p>

Sample Comment	Preliminary Response	Future Improvement
Request fillable PDF forms	Final revised HCP/SCP will be a fillable PDF	On-going effort to update and convert all applications info fillable PDF
<p>On-line submission:</p> <ul style="list-style-type: none"> ▪ 81% would use an online submission tool if available ▪ Desire to see submittal status and objections online similar to DOB system ▪ Concern about whether supporting documents would have to be submitted in paper form 	Currently, initiating plan to move all applications into an online system	<p>Target goal to start accept regular HCP/SCP application Online: Summer 2011</p> <p>Make every possible effort to include you, the users, in the development of the online system</p>
<p>Records</p> <ul style="list-style-type: none"> ▪ Significant interest in on-line access / more centralized access to records 	Currently in discussions on electronic records requests	Goal of initiating electronic records request by Summer 2011

- ❖ Questions and Comments
- ❖ For additional comments or questions on the application guidelines or website revisions contact:
Caroline Forger
718-595-3237
cforger@dep.nyc.gov
- ❖ This presentation will be posted on the Water and Sewer Forms Webpage:
http://nyc.gov/dep/html/forms_and_permits/water_sewer.shtml