



**New York City  
Department of Environmental Protection  
Bureau of Water Supply**

**Applicant's Guide  
to  
Sewer Systems & Sewer Connections**

**January 2022**

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## 1.0 INTRODUCTION

The “Rules and Regulations for the Protection from Contamination, Degradation and Pollution of the New York City Water Supply and its Sources” (**Watershed Regulations**)<sup>1</sup> provide standards for the review and approval of plans for the construction, modification or expansion of sewer systems, sewer extensions, certain sewer connections or discharges to such systems.<sup>2</sup> Applicants must obtain approval from the New York City Department of Environmental Protection (**Department or DEP**) for new sewer systems, or modifications or expansions of existing sewer systems. In addition, applicants may also have to obtain approval from the New York State Department of Environmental Conservation (**NYSDEC**), and the appropriate county health department where necessary.

This guide was developed to assist in preparing applications for Department review, and to help expedite the review process. Section 3.0 describes the requirements for review and approval of new sewer systems, sewer extensions, expansions and certain sewer connections. Appendix B provides an application checklist, and Appendix C contains the application form to be submitted to the Department for review and approval. The Watershed Regulations are referred to throughout this guide. A copy of the Watershed Regulations may be obtained from the Department offices listed in this guide, or on DEP’s website: <https://www1.nyc.gov/site/dep/environment/regulations.page>. Where discrepancies exist between this guide and the Watershed Regulations, the Watershed Regulations will prevail.

## 2.0 APPLICATION PROCESS

Applications to the Department for review and approval under the Watershed Regulations<sup>3</sup> are subject to the following process. A flow chart depicting the time frames and the application process described below is attached as Appendix E.

### STEP 1 - OPTIONAL PRE-APPLICATION CONFERENCES

Prospective applicants may meet with Department representatives before submitting applications for review and approval to discuss proposed regulated activities, regulatory requirements, and the application process. The Department believes that pre-application conferences benefit both applicants and the Department, and therefore encourages applicants to include the Department early in the project planning stage. At the pre-application conference, an applicant may also request that the Department visit the applicant’s site and flag any watercourses that may affect the project. To request a pre-application conference, contact the appropriate Department office listed below:

#### **East of Hudson**

Regulatory and Engineering Programs  
DEP  
465 Columbus Avenue

#### **Kingston Region (Projects in Greene, Schoharie and Ulster counties)**

Regulatory and Engineering Programs  
DEP  
71 Smith Avenue

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<sup>1</sup>Title 15 Rules of the City of New York, Chapter 18 (Watershed Regulations).

<sup>2</sup> For a definition of terms used in this document, please refer to Watershed Regulations § 18-16

<sup>3</sup> Watershed Regulations § 18-36 and § 18-37.

Valhalla, NY 10595  
Phone (914) 749-5266

Kingston, NY 12401  
Phone (845) 340-7214

**Arkville Region (Projects in Delaware and Sullivan Counties)**

Regulatory and Engineering Programs  
DEP  
County Route 38  
Arkville, NY 12406  
(845) 771-1119

**Request to Flag Reservoir, Reservoir Stem, Controlled Lake or Watercourse**

Under the Watershed Regulations, property owners and applicants may request that the Department flag the presence of any watercourse, reservoir, reservoir stem, or controlled lake on the property.<sup>4</sup> Identification of such bodies of water is key to determining how the Watershed Regulations apply to many of the activities discussed in this guide. The Department will fulfill the request as soon as field schedules permit. Owners or applicants may also supply a surveyor's field map which includes representations of flagged watercourses, reservoirs, reservoir stems or controlled lakes. The Department will review the surveyor's map and confirm or amend it within 20 business days for applicants, and as soon as practicable for other property owners. Following Department confirmation, the survey map will be valid and binding upon the Department for five (5) years following the date of confirmation. Contact the Department at the above-listed offices to request flagging.

The Watershed Regulations address only those wetlands mapped by the NYSDEC. Applicants should consult with the United States Army Corps of Engineers (ACOE) and local authorities to determine if there are federally and/or locally designated wetlands, and if so, what restrictions may apply. The Department does not delineate wetlands. To establish the boundaries of a wetland, property owners must contact NYSDEC, ACOE, or local authorities.

**STEP 2 - APPLICATION SUBMISSION**

Applications for review and approval of activities governed by the Watershed Regulations may be submitted to either of the Department offices noted above by mail, or in person between the hours of 8:30 a.m. and 4:30 p.m., Monday through Friday. A checklist of all elements necessary for the Department approval is attached as Appendix B, and a copy of the application form is attached as Appendix C. One or more of the elements may not be necessary depending upon the individual circumstances. An applicant is encouraged to discuss the level of information required with the Department prior to submission. There are no application fees.

**STEP 3 - DETERMINATION OF COMPLETENESS**

When the Department receives an application, it will review the application and within twenty (20) calendar days after it receives an application, determine if the application contains all information necessary to be considered complete. Section 3.0 of this document identifies the application requirements. Within twenty

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<sup>4</sup> Watershed Regulations § 18-23(b)(5) and (6).

(20) days, the Department will notify applicants either that the application is complete and that the Department has commenced its review, or that the application is incomplete, in which case the Department will specifically request the additional information that is needed before the review can proceed. If additional information is requested, the Department will notify the applicant whether or not the application, including the additional information, is complete within ten (10) days of receiving the requested information. Once additional information has been requested, the Department will request further information only if the additional information submitted by the applicant raises new questions. The Department may also request further information in the following situations: (1) false or misleading information has been submitted; (2) a change in relevant law has occurred; (3) changes have been proposed for the project; (4) there is a new applicant; or (5) the applicant's owner or sponsor has changed.

If the Department fails to notify the applicant within the time periods provided, the applicant may inform the Department of its failure to do so by writing to the Department office identified above, by certified mail, return receipt requested. In order to expedite this process, the notice should contain the applicant's name, the project name (if applicable), the location of the project, and the office where the application was filed. If the Department does not notify the applicant as to completeness within ten (10) business days of receiving the applicant's certified letter, the application will be deemed to be complete as of the eleventh day.

After determining that an application is complete, the Department will begin its review to determine whether the proposed construction, expansion, or modification of these sewer systems and connections meet the standards set forth in the Watershed Regulations.

#### **STEP 4 - DETERMINATION: APPROVAL OR DISAPPROVAL**

The Department will notify applicants in writing of its determination to approve or disapprove an application within forty-five (45) days following the notification that the application is complete. The forty-five (45) day time period does not begin until any additional information, if requested by the Department during Step 3 above has been supplied, and the Department has notified the applicant that the application is complete. The time period may be extended by mutual agreement between the applicant and the Department. A determination to approve may include conditions of approval.

If the Department fails to provide notification to the applicant of its determination within the forty-five (45) day period, the applicant may inform the Department of its failure to do so by writing to the Department office identified above, by certified mail, return receipt requested. The notice must contain:

- the applicant's name;
- the location of the proposed project;
- the project name (if applicable);
- the office in which the application was filed; and
- a statement that a decision is sought in accordance with the Watershed Regulations § 18-23(d)(6).

Any notice which does not contain the above information will not invoke this provision. If the Department fails to provide a determination to the applicant in writing within ten (10) business days of receipt of such a notice, the application will be deemed approved subject to the standard conditions for that approval.

Department approval of construction plans for sewer systems will expire unless construction is completed within five (5) years of the date of issuance of the approval, pursuant to the Watershed Regulations.<sup>5</sup> Prior to the expiration of the approval, a request for an extension of the approval for the project or activity may be submitted to the Department. Once an approval expires, it may be resubmitted to the Department for consideration of a new approval.

The Department may condition its approval on the applicant providing a bond or an equivalent guarantee, covering the full cost of construction, and an additional bond for the payment of labor and material. In addition, the Department may require a bond for the operation and maintenance of the facility for five years following construction. This does not apply when the owner or operator is a village, town, county, or city.

**State Environmental Quality Review Act (SEQRA):**

If the project is subject to review under SEQRA and the Lead Agency for the project has determined that the project may have a significant impact on the environment pursuant to the SEQRA regulations, the time periods specified above for determinations will be suspended until a Final Environmental Impact Statement has been issued by the Lead Agency and submitted to DEP. DEP will consider a project that requires SEQRA review as whole and will attempt to make determinations regarding all applications relating to such a project concurrently. DEP must issue its own Findings Statement before issuing an approval for any project that was subject to an Environmental Impact Statement.

**3.0 APPLICABILITY**

This document applies to the construction of new sewer systems, modification and expansion or upgrading of existing sewer systems, sewer connections and discharges to sewer systems.

It is the responsibility of the applicant to submit the proper Department application forms, project plans and complete details to the appropriate Department office. Approval by the Department does not eliminate the need for approval(s) by other agencies where required. The applicant is responsible for obtaining any such approvals.

**3.1 DESIGN AND SITING REQUIREMENTS**

The designs, plans and specifications for the construction of a new sewer system, sewer extensions, or the expansion or alteration or modification of an existing sewer system require the review and approval of the Department.

Sewer connections may require the Department’s review and construction observation. See Section 3.2.2 of this document for specific guidance.

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<sup>5</sup> Watershed Regulations § 18-37(c)(2).

### **3.1.1 DESIGN STANDARDS**

Design standards for the development of sewer systems, connections and discharges to sewer systems are set forth in the following documents, which are available for review at Department offices or at the link included below:

- “New York State Design Standards for Intermediate Sized Wastewater Treatment Systems” NYSDEC (2014). <https://www.dec.ny.gov/permits/95768.html>
- “Recommended Standards for Wastewater Facilities,” Great Lakes-Upper Mississippi River Board of State Public Health and Environmental Managers (2014), [Ten State Standards]. <https://www.broward.org/WaterServices/Engineering/Documents/WWSTenStateStandardsWastewater.pdf>

### **3.1.2 ENVIRONMENTAL ASSESSMENT FORM OR ENVIRONMENTAL IMPACT STATEMENT**

A completed Part I of an Environmental Assessment Form (EAF) must be submitted with every application. Where a Draft Environmental Impact Statement (DEIS) has been prepared, it may contain some or all of the information required for an application, such as the possible development within the service area. In these cases, the DEIS may constitute all or part of the application submitted for the Department review and approval. As noted in Step 4 of the application process, the Department will not issue an approval until either an EIS is completed, or a determination of non-significance is issued by the Lead Agency. The Department must issue its SEQRA finding statement prior to the issuance of an approval.

## **3.2 DESIGN AND MAINTENANCE REQUIREMENTS**

The designs, plans and specifications for the construction of a new sewer system, or the modification or expansion of an existing sewer system require the review and approval of the Department.

### **3.2.1 NEW, MODIFIED OR EXPANDED SEWER SYSTEMS**

All new sewer systems must be designed and maintained to insure uninterrupted operation. The following section applies to the design of new, modified or expanded sewer systems, including pipelines or conduits, pumping stations, force mains and all related equipment, as well as the design and construction of sewer connections.

- Combined sewer systems are prohibited from discharging within the watershed;
- All sewer systems which connect to a WWTP that discharges within the watershed must be designed, operated and maintained to prevent inflow or infiltration that could cause either one of the following; the SPDES permitted flow to be exceeded, the overall efficiency of the Department approved treatment process to be adversely affected, a bypass of any portion of a treatment facility that would be prohibited pursuant to 6 NYCRR Subpart 750-2.
- All vital structures, mechanical and electrical systems located or designed within the 100-year flood plain (as defined by the Federal Emergency Management Agency Flood Insurance Rate



Map) should be protected from damage from a 100-year flood. Such structures and systems should be designed to remain fully operational in a 25-year flood;

- The use of pumping or other mechanical devices requiring a pump chamber must be equipped with an alarm to indicate malfunctions, a backup pump, and any other safety equipment required by the Department to prevent overflow;
- The owner/applicant of a facility which disposes of wastes regulated pursuant to the Federal Categorical Pretreatment Standards, 40 CFR Part 403 must submit three (3) copies of the engineering report, plans and specifications in compliance with 40 CFR Part 403;
- The approval of a new sewer system, or the alteration or modification of an existing sewer system or sewer extension will expire unless construction is completed within five (5) years of the date issuance;
- All sewer systems and sewer extensions shall be designed, operated and maintained to prevent exfiltration from such systems.

### **3.2.2 SEWER EXTENSIONS AND CONNECTIONS**

Any sewer connection that is designed and intended to convey 2,500 gallons per day of sewage, industrial wastes or other wastes is considered a sewer extension,<sup>6</sup> and the application requirements, including all plans and specifications requires the review and approval of the Department.

- A new sewer connection or sewer extension is prohibited if the wastewater treatment plant (WWTP) receiving the proposed flow has had a SPDES flow parameter violation<sup>7</sup> in the prior twelve (12) months, or the additional flow will cause or can be expected to cause the WWTP to have a SPDES flow parameter violation;
- The plans and specifications for a new sewer connection to an individual or two-family residence or an alteration or modification of an existing sewer connection do not require the review and approval of the Department. However, the owner must notify the Department 48 hours prior to the commencement of the installation to allow the Department to observe the installation. If the plans and specifications for the connection or alteration or modification of the connection are requested by the Department, they must be submitted to the Department 48 hours prior to the installation of the connection, and may be submitted simultaneously with the 48 hour notification.
- Municipal Sewer Use Law: The plans and specifications for a new sewer connection, or an alteration or modification of a sewer connection to a sewer system for a treatment facility with a SPDES permit, which is not subject to a municipal sewer use law, from a structure other than an

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<sup>6</sup> Watershed Regulations § 18-16(a)(109)

<sup>7</sup> A SPDES flow parameter violation means two or more violations of a permitted SPDES flow parameter limit during a consecutive six month period. A facility that operates less than 6 months per year will be deemed to have a SPDES flow parameter violation if the permitted SPDES flow parameter limit is violated one or more times during any consecutive four month period. See §18-16(a)(117).

individual residence, do require review and approval from DEP. As a condition of approval, the DEP must be notified 48 hours prior to the installation of the connection to provide the DEP an opportunity to observe the work. An application for review and approval of such connections must include 1) A written statement from the owner or operator of the treatment facility certifying that the new sewer connection or alteration or modification of the new sewer connection will not require a modification of the treatment facility's SPDES permit, and 2) plans and specifications for the sewer connection.

- New sewer connections, or alterations or modifications of sewer connections, to treatment facilities that do not have SPDES permits shall be reviewed in accordance with Section 18-37 of the Watershed Regulations.
- The owner of a structure other than an individual residence that will be served by a new sewer connection, or by an alteration or modification of a new sewer connection, to a sewer system that is subject to a municipal sewer use law must 1) provide to the DEP, at least 48 hours prior to the installation of the connection, a written permit from the superintendent of the sewer system authorizing the connection, and 2) notify the DEP 48 hours prior to the installation of the connection to provide the DEP an opportunity to observe the work.

**NOTE:** Proposals for a connection to a New York City WWTP under the Sewer Extension Program must complete the NYCDEP Sewer Connection Permit Request form (Appendix D).

### **3.3 SUBMISSION REQUIREMENTS**

In addition to the Application form (Appendix C), the application must contain specific information to be considered complete. While the following outlines the required items, the Department always considers a Pre-Application conference a primary source of information and answers.

#### **3.3.1 GENERAL REQUIREMENTS FOR NEW, ALTERED, MODIFIED SEWER SYSTEMS OR SEWER EXTENSIONS**

The plans for new sewer systems, the alteration or modification of an existing system or the expansion/extension of an existing system must be submitted with the application for Department review and approval, and shall contain the following information:

- The municipality and county in which the project is proposed;
- The street address and tax map parcel identification of the proposed project;
- Include, where available, the building permit number for each property to be served by the proposed sewer system or sewer extension;
- The name, address and phone number of the owner/applicant;
- The name, address and phone number of the design professional;
- Engineering plans and report with the seal and signature of the design professional;

- A letter of acceptance of proposed flow from the owner/operator of the receiving WWTP;
- If available, Geographic Information System (GIS) information, to include a minimum of three geographic coordinates from either New York State (NYS) Plane Survey (1927) or longitude and latitude (degrees, minutes and seconds) and a digital map or site plan of proposed project;
- A list of any enforcement actions commenced against the applicant, or any principal affiliate of the applicant, for any alleged violations of law related to the activity for which approval is sought or the facility or site at which the activity is located, in the five years preceding the application, and the agency or entity that commenced the action, the date of commencement, the facility location and address where the alleged violation occurred, and disposition or status of the actions.
- An Environmental Assessment Form.

### **3.3.2 ENGINEERING**

An engineering report presents the entire concept of a project's design, construction, and operation. Applicants may be required to prepare and submit an engineering report to the Department as part of the application process for a new, or altered or modified sewer system or sewer extension. The engineering report should contain the following information:

- A description of site conditions including (if applicable) topography, soils, geologic conditions, depth to bedrock groundwater level, and floodplain or floodway considerations;
- A description of the proposed project including existing and proposed flows and waste loads;
- A location map (preferably a portion of tax map) highlighting the exact boundaries of the system
- An evaluation of the projects impact on any existing facilities (if applicable), including gravity sewers, pump/lift stations and treatment facilities;
- If the project involves the expansion or modification of an existing system, the condition of the existing system must be described, including available information on age, materials of construction, design flow, and any prior or required rehabilitation;
- The areas to be served by the proposed system or sewer extension must be identified on a map along with the boundaries of any existing, proposed or expanded sewer districts;
- Supporting calculations for hydraulic flows and design of system components must be documented in accordance with the methods and definitions required by the accepted standards and best engineering practices;
- Operation and maintenance requirements (including cost projections);
- The system's operation under emergency conditions;
- An estimation of costs, proposed financing methods, and anticipated user fees;

- A list of all regulatory review and permitting requirements.

### **3.3.3 ENGINEERING PLANS AND SPECIFICATIONS**

Engineering plans to the Department must include:

- site location in relation to established sewer district;
- distances to wells, watercourses, rock outcroppings, wetlands (as defined herein), controlled lakes and reservoirs;
- system profile including all connections, manholes and required pump stations;
- design details and specifications of system components including pipe sizes and pump capacities; and
- where applicable, a copy of the application for modification of the SPDES permit for the receiving wastewater treatment plant and, if available, any draft revisions to such SPDES permit; and
- construction phasing.
- Construction of a new, expanded, or modified sewer system may require a Department approved stormwater pollution prevention plan (SWPPP) if construction will meet any of the thresholds listed in the Watershed Regulations.<sup>8</sup> For further information, please see the Department’s “Applicant’s Guide to Stormwater Pollution Prevention Plans.”

### **3.3.4 CONSTRUCTION SCHEDULE**

An application must include a detailed construction schedule. The schedule will be the basis for the Department’s monitoring of the project. The applicant is responsible for notifying the Department of any changes to the construction schedule. In addition, communication between the construction contractor and the Department will be necessary for scheduling construction observation appointments. §18-37(j)(4)(vi).

### **3.3.5 OPERATIONAL INSTRUCTION MANUAL**

The owner or operator of all new or existing systems must operate and maintain the system in accordance with the operational instruction manual. This manual must be prepared or revised and submitted to the

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<sup>8</sup> Watershed Regulations § 18-39(b)(3).

Department for approval within ninety (90) days after construction, expansion, alteration or modification of the sewer system is completed. §18-37(j)(5).

### **3.4 BOND REQUIREMENTS**

Owners or operators of approved new sewer systems may be required to deposit a performance bond or equivalent guaranty for the completion of construction of the system, and an additional bond or equivalent guaranty for the payment of labor and materials. § 18-37(l). These bonds or other guaranties will be released upon the completion of the construction and payment of all labor and material costs. In addition, the owners or operators may be required to provide operation and maintenance bonds or equivalent guaranty for the maintenance and operation the system for a period of five years. No bonds or guaranty will be required if the owner or operator is a village, town, county or city.

### **3.5 RECORD DRAWING**

As a condition of all sewer system approvals, the Department requires that the applicant submit a set of sealed, final record drawings or "as-built" drawings following the construction of the system prepared by a design professional. §18-37(k)

## APPENDIX A GLOSSARY

***Design Professional:*** A professional engineer or a registered architect who is licensed to practice in the State of New York, or a land surveyor with an exemption under Section 7208(n) of the State Education Law.

***Industrial Waste:*** Any liquid, gaseous, solid or waste substance or a combination thereof resulting from any process of industry, manufacturing, trade or business, or from the development or recovery of any natural resources, which may cause or might reasonably be expected to cause contamination to or degradation of the water supply.

***Infiltration:*** Water, other than wastewater, that enters a sewer system, including sewer connections, from the ground through such means as defective pipes, pipe joints, connections, or manholes. Infiltration does not include, and is distinguished from, inflow and from treatment of runoff by stormwater by stormwater infiltration.

***Inflow:*** Water other than wastewater that enters a sewer system, including sewer connections, from sources such as, but not limited to, roof leaders, cellar drains, yard drains, area drains, foundation drains, drains from springs and swampy areas, manhole covers, cross connections between storm sewers and sanitary sewers, catch basins, cooling towers, storm waters, surface runoff, street wash waters, or drainage. Inflow does not include, and is distinguished from, infiltration.

***Sewage:*** The water-carried human or animal wastes from residences, buildings, industrial establishments or other places, together with such groundwater infiltration and surface water as may be present. The admixture of sewage with industrial waste or any other waste herein defined shall also be considered "sewage".

***Sewer Connection:*** The connection between a building, residence, or other structure and a sewer system except that any connection designed and intended to convey 2,500 gallons per day or more of sewage, industrial waste or other wastes shall be considered a sewer extension. Sewer connections designed to facilitate additional sewer connections shall be considered sewer extensions.

***Sewer Extension:*** Newly constructed sewer pipe lines or conduits, and pumping stations, and other constructions, appurtenant thereto, designed to serve one or more sewer connections and to convey sewage, industrial waste or other wastes to a sewer system.

***Sewer System:*** Pipe lines or conduits, pumping stations, and force mains, and all other constructions, devices, and appliances appurtenant thereto, including sewer extensions, used for conducting sewage, industrial waste or other wastes to a treatment facility.

**APPENDIX B**  
**SEWER SYSTEMS, SEWER EXTENSIONS AND SEWER CONNECTIONS<sup>9</sup>**  
**APPLICATION CHECKLIST**

1. General application items:

- \_\_\_ The municipality and county in which the project is proposed
- \_\_\_ The street address and tax map parcel identification of the proposed project
- \_\_\_ The name, address and phone number of the owner/applicant
- \_\_\_ The name, address and phone number of the design professional
- \_\_\_ Engineering plans and report with the seal and signature of the design professional
- \_\_\_ Topography of the area of activity
- \_\_\_ Identification of existing structures at the location
- \_\_\_ A list of all other approvals required from the Department or other agencies, and a statement as to the status of the approvals
- \_\_\_ A list of any enforcement actions commenced against the applicant for any alleged violations of law related to the activity for which approval is sought, and disposition or status of the actions
- \_\_\_ A completed Part 1 of an EAF
- \_\_\_ A DEIS (if applicable)
- \_\_\_ Copy of municipal sewer use ordinance (if any)
- \_\_\_ Letter of flow acceptance from the owner of the receiving wastewater treatment plant
- \_\_\_ A copy of the application for modification of the SPDES permit for the receiving wastewater treatment plant and, if available any draft revisions to such SPDES permit.
- \_\_\_ Construction phasing
- \_\_\_ An operation and maintenance plan for the sewer system, which may be a component of the operation and maintenance plan for the treatment facility severed by the sewer system.

2. Engineering Report (where applicable):

- \_\_\_ A description of site conditions including (if applicable):
  - \_\_\_ Topography
  - \_\_\_ Soils and geologic conditions
  - \_\_\_ Depth to bedrock
  - \_\_\_ Groundwater levels
  - \_\_\_ Floodplain or floodway considerations
- \_\_\_ A description of the proposed project including:
  - \_\_\_ Existing and/or proposed flows
  - \_\_\_ Waste loads
- \_\_\_ A location map or drawing(s) identifying:
  - \_\_\_ The site of the project
  - \_\_\_ Location and alignment of proposed facilities
  - \_\_\_ Existing sewer district boundaries (if applicable)

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<sup>9</sup> Where a municipal sewage use law is in effect and the sewage discharge is less than 2500 gpd, no DEP review and approval of a sewer connection for a resid is necessary. See section 3.2.2 for further discussion.

\_\_\_ Any proposed sewer districts or expansions of existing districts and the areas to be served by the system

\_\_\_ An evaluation of the project's impact on any existing facilities including (if applicable):

- \_\_\_ Gravity sewers/existing collection system
- \_\_\_ Existing pump/lift stations
- \_\_\_ Existing treatment facilities

\_\_\_ For expansion or modification of an existing systems a description of the condition of the existing system including (if applicable):

- \_\_\_ Age and materials of construction
- \_\_\_ Design flow/capacity
- \_\_\_ Any prior or required rehabilitation

\_\_\_ Supporting calculations for hydraulic flows and design of extension or connection components

\_\_\_ Operation and maintenance requirements (including cost projections) of extension or connection

\_\_\_ A procedure for operation of the extension or connection components under emergency conditions

\_\_\_ An estimation of costs, proposed financing methods, and anticipated user fees of extension or connection

\_\_\_ A list of regulatory review and permitting requirements

### 3. Engineering Plans:

\_\_\_ All plan sheets (where applicable) should contain the following information:

- \_\_\_ Title with name/location of facility, municipality and sewer district, drawing/sheet title
- \_\_\_ Scale (generally not greater than 1 inch equals 50 feet for detailed plans)
- \_\_\_ North arrow
- \_\_\_ Sheet number (if multiple pages)
- \_\_\_ Name, contact information, stamp and seal of design professional preparing plans

\_\_\_ The following information shall be included within the plan set:

\_\_\_ A location map 1:24,000 vicinity map (preferable a portion of a USGS map or equivalent) showing the location of the parcel

\_\_\_ A general plan of the proposed and (applicable) existing sewers

\_\_\_ Topography and elevations (2 foot contours)

\_\_\_ Identification of existing structures

\_\_\_ Existing and proposed physical site features streets, structures, parking areas, etc.

\_\_\_ Watercourses

\_\_\_ Existing and proposed property boundaries and easements

\_\_\_ The location of all known/proposed structures and utilities above and below ground which might interfere with the proposed sewer construction or require setbacks.

\_\_\_ The location of any special features such as stream crossings, encasements, insulation, etc.

\_\_\_ The location, size, material, slope and inverts of proposed sewers and applicable existing sewers

\_\_\_ A profile of all proposed and applicable existing sewers which includes:

- \_\_\_ Line of ground surfaces
- \_\_\_ Size, material, length, and grade of sewer pipe
- \_\_\_ Invert and surface elevations at manholes



- \_\_\_ The location, dimension, and invert elevations of proposed and applicable existing manholes
- \_\_\_ The location, dimension, and elevations (inverts and operating levels) of proposed and applicable existing pump/lift stations
- \_\_\_ Details of all sewer appurtenances, such as manholes, pump stations, tanks, vaults, etc.
- \_\_\_ Any special detail drawings to clearly show the nature of the design
- \_\_\_ Electrical system layout including alarm system and power requirements

4. Engineering Specifications:

- \_\_\_ Installation specifications
- \_\_\_ Construction specifications
- \_\_\_ Material specifications
- \_\_\_ Equipment specifications
- \_\_\_ Performance testing specifications (pressure, vacuum, deflection, etc.)

5. Other Requirements:

- \_\_\_ Geographic Information System (GIS) information, to include a minimum of three geographic coordinates from either New York State (NYS) Plane Survey (1927) or Longitude and Latitude (degrees, minutes and seconds) and a digital map or site plan of proposed project if available
- \_\_\_ Construction schedule
- \_\_\_ Operational Instruction manual
- \_\_\_ Record Drawings:
- \_\_\_ "As Built" plans upon completion of construction certified by a licensed Professional Engineer



APPENDIX C
NEW YORK CITY DEPARTMENT OF ENVIRONMENTAL PROTECTION
APPLICATION FOR REVIEW AND APPROVAL
OF SEWER SYSTEMS & APPLICABLE SEWER CONNECTIONS

You are encouraged to participate in an optional pre-application conference to discuss your proposal and any specific requirements for Department review and approval. Please contact the appropriate Department office listed in the accompanying Applicant's Guide to arrange a pre-application meeting.

Applicant/Designated Representative:
Name:
Address:
Phone:
Project: Address:
Town:

Design Professional:
Name:
Address:
Phone:
Tax Map Parcel:
County:
Reservoir Basin:

- Application is submitted for:
New Sewer System
Sewer System Expansion/Alteration or Modification
Sewer Connection

Submissions must include four copies of all plans and supporting documents providing the following information:

General Requirements

- EAF/EIS
Engineering Plans and Specifications
Operation Instruction Manual
Engineering Report/Facility Report
Construction Schedule

General Requirements for submission are set forth in Section 3.3 of the accompanying Guide.

I believe this application to be complete and in compliance with the Watershed Regulations.

(Signature)

(Filing Date)

(Print Name)

Submit completed form to: NYCDEP - Regulatory and Engineering Programs

\_\_\_\_\_
\_\_\_\_\_



APPENDIX D
NEW YORK CITY DEPARTMENT OF ENVIRONMENTAL PROTECTION
PERMIT TO CONNECT TO A
NEW YORK CITY SEWER SYSTEM

This is a special permit request form that must be completed and approved by both the Department and the Town/Village to allow the applicant to connect to a sewer system that is serviced by a New York City wastewater treatment plant (WWTP). Town approval must be granted before submission of the form to the Department.

PERMIT NUMBER: \_\_\_\_\_ (To be completed by the Department)

Applicant

Name: \_\_\_\_\_
Address: \_\_\_\_\_
Phone: \_\_\_\_\_

Agent/Engineer or Contractor

Name: \_\_\_\_\_
Address: \_\_\_\_\_
Phone: \_\_\_\_\_

Project Location: Address: \_\_\_\_\_ Tax Map Parcel #: \_\_\_\_\_
Town: \_\_\_\_\_ County: \_\_\_\_\_
Subdivision Name: \_\_\_\_\_ Lot Number: \_\_\_\_\_

Application is for:

- G One Family \_\_\_\_\_ Bedrooms G Apartment Units \_\_\_\_\_ Bedrooms
G Two Family \_\_\_\_\_ Bedrooms G Commercial/ Industrial/Municipal, Etc.

Total anticipated flow (gallons per day – (GPD): \_\_\_\_\_
NYC wastewater treatment plant to receive flow: \_\_\_\_\_
Distance to nearest manhole: \_\_\_\_\_ (ft.) or (yds.) - Circle one
Proposed construction start date: \_\_\_\_\_

All requests must include narratives and site plans with building locations, watercourses and connection details indicated.

\_\_\_\_\_  
(Signature) (Filing Date)

Return the completed portion of this form to your Town/Village Official, Building Inspector/CEO for the required review and approval.

For Official Town/Village Use Only

Town/Village of \_\_\_\_\_ has reviewed and approved this request. The proposed connection conforms to the conditions and requirements of the Sewer Use Law, and those outlined in the NYC Sewer Extension Program. Approval Date \_\_\_\_\_

Town/Village Official, Building Inspector/CEO \_\_\_\_\_  
(Print Name) (Signature)

**Return completed form to:** **NYCDEP – Wastewater Operations**  
**P.O. Box 358**  
**Grahamsville, NY 12740**

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**For NYCDEP Use Only**

NYCDEP has reviewed the request to connect to the NYC \_\_\_\_\_ wastewater treatment plant (WWTP), and has determined that the WWTP is (is not) able to accept the additional flow expected from this connection.

Reviewed by: \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name) (Signature)

**Permit Number** \_\_\_\_\_

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**Forward to: Regulatory and Engineering Programs**

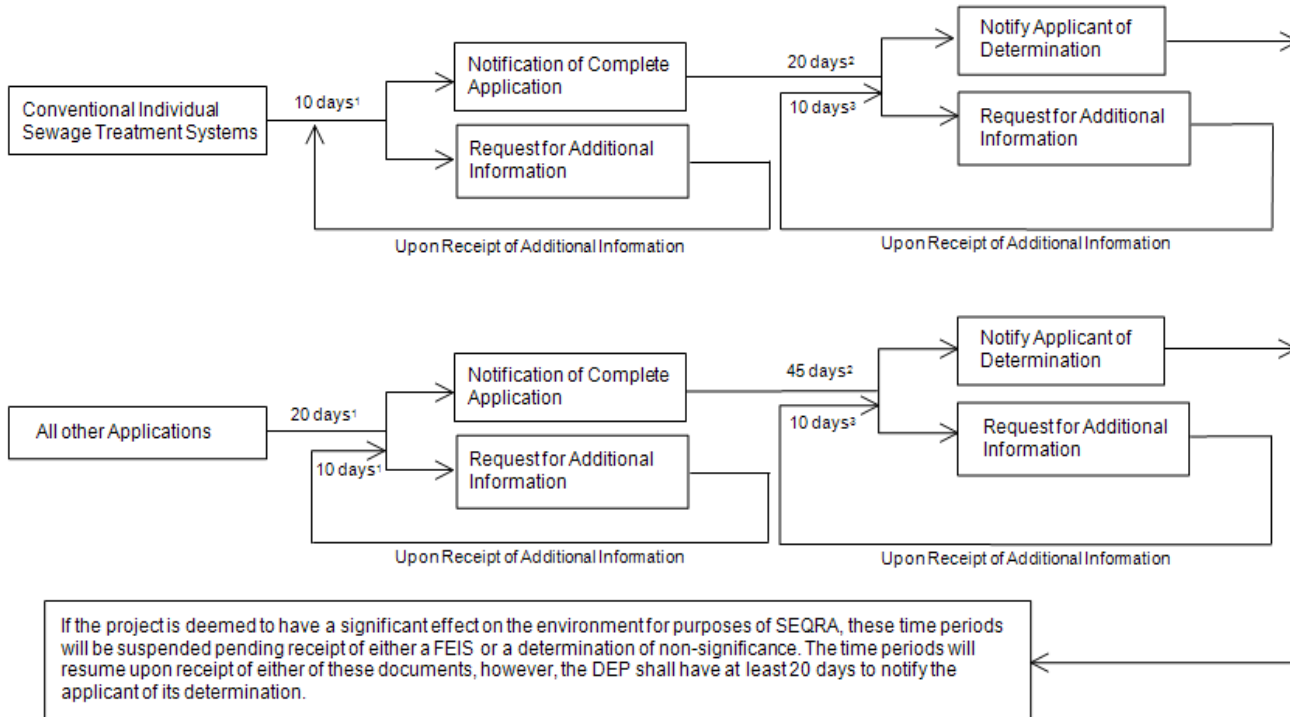
**DESIGN AND CONSTRUCTION APPROVAL**

NYCDEP grants approval for the above described sewer connection design. Any deviation requires approval in writing from NYCDEP.

Design Approved \_\_\_\_\_ By: \_\_\_\_\_  
Date Name Title

Construction Approval: \_\_\_\_\_ By: \_\_\_\_\_  
Date Name Title

## APPENDIX E PROJECT REVIEW TIMELINES



1. If the DEP fails to notify the Applicant in writing within these time periods, the Applicant may inform the DEP of its failure to do so, and request a determination of completeness in writing. The DEP then has 10 business days to notify the Applicant of the status of the application. If the DEP fails to act within those 10 days, the application will be deemed complete as of the eleventh day, For further information, refer to the guide.
2. If the DEP fails to notify the Applicant in writing within these time periods, the Applicant may inform the DEP of its failure to do so, and request a determination of completeness in writing. The DEP then has 10 business days to notify the Applicant of the status of the application. If the DEP fails to act within those 10 days, the application will be deemed approved, subject to standard conditions. For further information, refer to the guide.
3. If, during the review period, the DEP requests revisions to the application, the review period shall be suspended from the date such request is made until the date on which the DEP receives such revisions, provided that the DEP shall have no fewer than 10 days from the date of receipt to issue a determination. Refer to the Guide and §18-23(d)(4) and (5) for more information.