New York City Watershed Program
Information Bulletin No. 6
Study and Report Phase Guidelines

This bulletin is intended to guide you, the WWTP Owner, and your selected Engineer, through the Study and Report Process to an approvable Conceptual Upgrade Plan (CUP). Please refer to the following documents as you prepare for this process:

- Section 2.1, Study and Report Phase of the Scope of Engineering Services, in Appendix A, Attachment A, Section 2 of the Upgrade Contract
- Appendix A, Attachment A, Section 7 of the Upgrade Contract, the Preliminary Engineer's Scope of Work

The Study and Report Phase commences upon NYCDEP's approval of the Engineering Contract with the WWTP Owner. The major milestone associated with this phase is the submittal of an approvable CUP, which must occur within 4 months of the date EFC authorizes you to execute the Owner/Engineer Contract. However, there are several intermediate tasks and deliverables, which are listed in Table 1.

Table 1: Section 2.1 Requirements and Deliverables

Task - CUP Submittal	**Deliverable**	**Time Frame due**
2.1.1. Site Visit and review existing data	Not Applicable	Prior to Pre-CUP meeting
2.1.1.1. Pre-CUP Meeting	Pre-CUP Meeting Minutes	1 week from Pre-CUP meeting
2.1.4. Propose Project Approaches for CUP	Letter/Summary with paragraph describing each project approach	2 weeks from Pre-CUP meeting
2.1.5. Project Schedule Preparation	Project Schedule - 2 copies to EFC, 2 to owner	With CUP draft report submittal
2.1.6. CUP Preparation	CUP Draft Report - 2 copies to EFC, 2 to owner	2 to 3 months from authorization to proceed
2.1.8. CUP Revisions	Revised approvable CUP - 2 copies to EFC, 2 to owner	4 months from authorization to proceed
Other Tasks - Timing of tasks dependent upon individual project. See note 1.		
2.1.2. Soil Borings	As needed	As Appropriate
2.1.2. Survey	As needed	As Appropriate
2.1.2. Permitting	Permitting Applications as required	As appropriate, depending upon agency and requirements
2.1.3. Governmental Authority Identification, Analysis and Coordination	As Required	As Appropriate
2.1.2.1. SEQRA	EAF Form	As Needed

Table 1, Note 1: For some projects, some or all of these other tasks may not be required for completing the CUP, and indeed it may be more appropriate to do them after CUP

approval. For other projects, completion of these tasks must be done during the CUP to determine the feasibility of a proposed project approach.

CUP PREPARATION AND SUBMITTAL

The purpose of the CUP is to evaluate different approaches that satisfy the requirements of the "Rules and Regulations for the Protection From Contamination, Degradation and Pollution of the New York City Water Supply and its Sources, Section 18-36". These approaches are evaluated on feasibility, viability and cost effectiveness.

The CUP must include the following information:

I. Introduction - Description of the existing system including:
   - A. Flows and loadings, including permitted flows, average daily flows, peak hourly flows and average daily loadings of primary pollutants
   - B. SPDES Permit requirements resulting from the Watershed Rules and Regulations (Include final SPDES Permit)
   - C. Design criteria, such as that contained in the Preliminary Engineer's Scope of Work

II. For <u>each</u> Project Approach:

   - A. Description of Project Approach
     1. Design and Sizing Criteria
     2. Description of means to achieve each upgrade item required to bring the facility into compliance with the Watershed Rules and Regulations.
     3. Listing of qualitative and quantitative advantages and disadvantages of the project approach
     4. Process flow diagrams and site plan showing simple layout of major equipment and unit processes
     5. Schedule for design, construction and achieving compliance
   - B. Cost Analysis for Project Approach
     1. Present Worth Analysis, using the NYCDEP stipulated interest rate of 6% and a life estimate of 20 years; present the total present worth and individual itemizations for the following components:
        - a) Opinion of probable construction cost
        - b) Opinion of total annual operation and maintenance (O&M) costs
          - (1) Show portion of annual O&M costs that is for existing equipment and treatment, based upon information provided by the owner.

(2) Show portion of annual O&M costs that is the incremental costs for newly installed Upgrade Program equipment.

c) Allowances for contingencies

d) Design and professional services

e) Allowances for other items and services included in project approach costs

2. Breakdown of cost components listed under B.1 above, showing, as applicable, the portion attributable to:

a) Regulatory Upgrade Program

b) SPDES Upgrade Program

c) Costs unrelated to these programs

III. Summary/Comparison of project approaches and recommendation of a selected project approach.

IV. For the selected project approach, plan for compliance with applicable laws, regulations, and requirements of other governmental agencies having jurisdiction to approve portions of the project.

Note: This bulletin is only intended to serve as a guide for your reference when preparing your CUP. Please remember that your proposed CUP is subject to NYCDEP review and approval. Therefore, additional information and/or submissions may be requested by NYCDEP prior to you receiving approval of your proposed CUP.

Please refer any questions regarding the Study and Report Phase to:

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