

New York City Watershed Program
Information Bulletin No. 12
Procedures for Approval of Engineering Personnel

This bulletin is intended to serve as a reminder to you, the WWTP Owner, and your selected Engineer, regarding proper procedures for obtaining NYCDEP approval to add engineering personnel to your Upgrade Project.

Personnel Approved in Engineer Proposal

- All personnel who charge time for an Upgrade project must be identified in the engineer proposal that was approved by NYCDEP and incorporated into the engineer contract (unless added via the approval process below).
- **Key Personnel** - Names, titles, and billing rates charged for key personnel, must match the information provided in the approved engineer proposal. Key Personnel are those individuals responsible for the wastewater treatment process design and construction management including, but not limited to, those individuals providing any special expertise with regard to such design components as electrical/instrumentation, structural, geotechnical, process, construction management, and hydrogeological. This is regardless of the number of hours charged to the project. Some examples of typical key personnel include President, Vice President, Principal, Associate, Project Manager, Senior Engineer, Project Engineer, Engineer, Construction Manager, and Construction Inspector.
- **Non-Key Personnel** - Titles and billing rates charged for non-key personnel, must match the information provided in the approved engineer proposal.

Obtaining Subsequent Approval to Add or Substitute Personnel

- As the Upgrade Projects progress, it is anticipated that personnel changes may be necessary due to staff turnover or workload allocation. However, a review of qualifications and DEP approval of key personnel is still required under the Upgrade Program.
- **Key Personnel Change Request Form** - Whenever it is anticipated that previously unapproved staff will work on an Upgrade Project, a Key Personnel Change Request form must be submitted to EFC for NYCDEP approval. This is required regardless of the amount of time that is anticipated for the individual.
- **Exceptions** - The only exceptions will be for support staff that are considered non-key. Examples of staff titles that are considered non-key include: CADD Operator, Draftsperson, Assistant Engineer, Junior Engineer, Technician, Intern, Survey Crew, Clerical Staff, Secretary, Typist, Computer Technician, Word Processor, Bookkeeper. Please note that in order to use non-key personnel, titles and rates must be identified in the engineer proposal. If you would like to add a non-key title, please submit page one of the Key Personnel Change Request form and indicate the title and billing rate.
- **Determining Key vs. Non-Key Status** - If it is not clear whether the personnel to be added are key or non-key, submit the Key Personnel Change Request form and a determination will be made by NYCDEP.

- **Promotions** - In the event previously approved staff receive promotions, a Key Personnel Change Request form must be submitted and approved by DEP before the individual commences work on the Upgrade Project under the new title. The only exception will be when staff are promoted from one non-key title to another non-key title.
- **Adjustments for Unapproved Personnel** - Please note that if unapproved personnel charge any amount of time on an invoice, the charges will be subject to adjustments to subsequent disbursements. Key Personnel Change Request forms should be submitted and approved prior to the individual commencing work.

Attached for your use is a blank Key Personnel Change Request form. This form is also found on our website (www.nysefc.org). Forms should be submitted to the appropriate address found below.

NYS Environmental Facilities Corporation
625 Broadway
Albany, New York 12207-2997
Att: Watershed Upgrade Engineering Group
Phone: (518) 402-6924 or (800) 882-9721
Fax: (518) 486-9248