

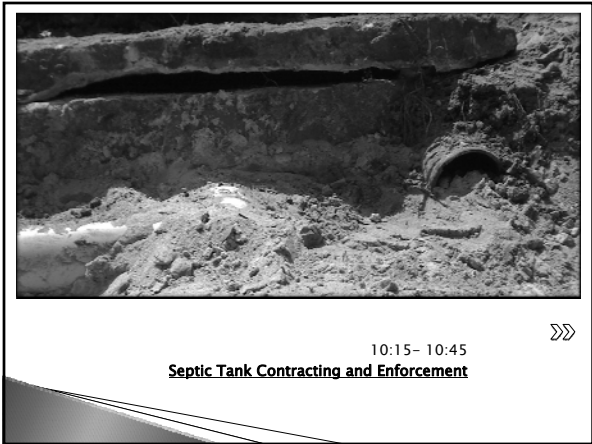
**ONSITE SEWAGE PROGRAM
ACCELERATED
CERTIFICATION TRAINING**

ONSITE SYSTEM CONSTRUCTION PERMITS AND INSPECTIONS
(MASTER CONTRACTOR PART III)

**Day 5 – Friday 8:00 AM–12:35
PM (6 CEUs)**

► Objectives:

- To give a clear understanding of the System Repair and Existing System Modification permitting process.
- To give a clear understanding of the Septic Tank Contracting Licensing and Enforcement duties and regulations of the DOH.



Septic Tank Contracting and Enforcement

- › Licensing Requirements
- › Enforcement Requirements

Licensing Requirements



Septic Tank Contracting

- Anyone holding themselves out as being capable of offering or providing septic tank contracting services must be registered by the department or a plumbing contractor in s. 489.105(3)(m), F.S.
- A registered septic tank contractor not providing septic tank contracting services under his full legal name must have a Certificate of Authorization issued by the department for his septic tank contracting business

Enforcement Requirements

The image shows a 'CITIZEN COMPLAINT FORM' from the Florida Department of Health. The form is titled 'CITIZEN COMPLAINT FORM' and 'CITIZEN COMPLAINT FORM' and is used for reporting alleged violations of the Florida Administrative Code (FAC) and Florida Statutes (FS) related to septic tank systems. It includes sections for 'CITIZEN INFORMATION', 'VIOLATION INFORMATION', 'CITIZEN'S STATEMENT OF COMPLAINT', and 'CITIZEN'S REQUEST FOR ACTION'. The form is designed to be filled out by a citizen who has observed a potential violation.

ENFORCEMENT ISSUES and CHD Involvement

- Public and Environmental Health Concerns.
- CHDs are the local regulatory authority:
 - Responsible to ensure installation, repair, modification and maintenance of OSTDS is done in accordance with pertinent laws and rules.
- Default public protection effects.

Complaints Against Contractors

- ▶ Alleged Violations of Rule and Law (64E-6, FAC, 381.0065-67, FS, & Part III, 489, FS), by licensed contractors.
- ▶ Contractor complaints are received by the bureau (Toll Free Complaint Line).
- ▶ Contractor complaints are received directly by CHD.
- ▶ Complaints are investigated by CHD in accordance with EH Program Manual 150-4, and applicable Rule Standards of Conduct and Disciplinary Guidelines.

EH Program Manual 150-4, Chapter K

- ▶ CHDs shall monitor licensed contractor's work for compliance with Chapters 381 and 489, F.S., and Chapter 64E-6, F.A.C. and take appropriate enforcement action for violations.
- ▶ Complaints regarding licensed contractors must be promptly investigated, documented, and coordinated with the Bureau of Onsite Sewage Programs and the CHD's legal council.

EH Program Manual 150-4, Chapter K

- ▶ Documentation of septic tank contracting complaints resulting in enforcement action shall be promptly forwarded to the Bureau of Onsite Sewage Programs for inclusion into the statewide enforcement database and appropriate contractor files.

Septic Tank Contracting

Suggested Complaint Investigation Process

1. **Receive and analyze the complaint** (identify the issues).
2. **Contact the complainant if practical** (clarify the complaint and collect any supporting evidence).
3. **Conduct a preliminary review** (establish the allegations, both expressed and implied).

Septic Tank Contracting
Suggested Complaint Investigation Process

4. **Plan the investigation** (prior planning prevents poor performance, helps coordinate the time and place of witnesses, and synchronizes time that the investigator will have to do the investigation with other work requirements).
5. **Contact the contractor** (request their written explanation of the allegations and collect any supporting evidence).
6. **Establish the facts** (use fact based references such as statute, rule, policy, procedure, industry guidelines, manufacturer specifications, etc.).

Septic Tank Contracting
Suggested Complaint Investigation Process

7. **Write a Complaint Report.** A framework for a report might look something like:
Introduction (i.e., who, what, when, where, how the complaint was received).
 State the **allegations** (i.e., who did, or failed to do, what, and what does this violate - Reference Law and Rule Citations).

Septic Tank Contracting
Suggested Complaint Investigation Process

(Complaint Report - Continued)

- ▶ Give the **facts** for the complaint (how did the situation develop - dates, names, records).
- ▶ State the **findings** for each allegation (some may be substantiated others may not).

Septic Tank Contracting
Suggested Complaint Investigation Process

(Complaint Report - Continued)

- ▶ Draw an overall **conclusion** resulting from the facts in the investigation. Remember the standard in an administrative investigation is "preponderance of the evidence," not "beyond a reasonable doubt".
- ▶ Make specific **recommendations** (identify who must do what).

8. Submit **report** to chain of command (i.e., EH Director or supervisor, etc.).

Septic Tank Contracting
Complaint Investigation Process

9. EH Director or supervisor, in coordination with the local CHD attorney and the bureau, **determine the need for disciplinary action** utilizing 64E-022, FAC, Disciplinary Guidelines, taking into consideration all mitigating and aggravating circumstances.

Septic Tank Contracting
Complaint Investigation Process

10. If complaint is deemed **INVALID or unfounded**, disciplinary action is **NOT** taken:

- Notify complainant and respondent of case closure.
- Send bureau copy of complaint report (email) and final case disposition.

Septic Tank Contracting

Complaint Investigation Process

11. If complaint is deemed **VALID**, disciplinary action **IS** taken:
 - Send bureau copy of complaint report and disciplinary instrument used (i.e., citation, letter of warning, etc).
 - Notify complainant of action taken with regards to their complaint allegations.
12. Respondent complies with corrective order and disciplinary action or enters the appeal process.

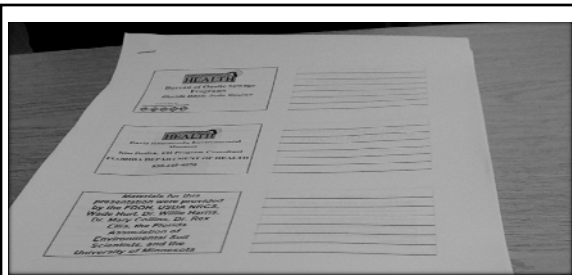
Septic Tank Contracting

Complaint Investigation Process

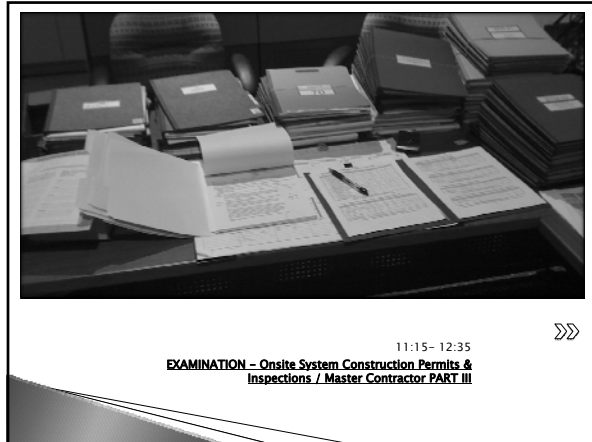
Check with your supervisors to see what the local policy, practice or process has been in conducting investigations.

If at any time during the conduct of an investigation there is **evidence of a crime**, **notify your supervisor**, the CHD attorney, and refer the evidence to local law enforcement.

OSTDS inspectors are not expected to investigate criminal activity...and should not be placed in jeopardy for such work.



10:45- 11:15
Review and Questions



EXAMINATION - ONSITE SYSTEM CONSTRUCTION PERMITS & INSPECTIONS / MASTER CONTRACTOR PART III

- Examinations will consist of 50 questions, both multiple choice and true/false. A participant taking the examinations will be allowed one hour and twenty minutes to complete each exam. Examinations will be graded when completed by the participant; 70% is the passing score. Those participants who do not pass the examination will be given the opportunity to review their examinations. A second examination will be offered after the review period. A participant who does not achieve a score of 70% on this second examination will be required to retake the class. If a participant elects to not retake the exam at this time, they must retake the course. Examination time does not qualify for continuing education.
