

# Raising the Bar or “Skin in the Game”

On-Site Water Protection  
LHD Quality Assurance (QA) Programs



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# Background

- *Summer 2013*
  - Directive from Section Head for required LHD Internal QA for On Site Water Protection to be written into future consolidated agreement.
  - OSWP Branch to establish a program to assist LHD's in forming and starting an ongoing internal quality assurance program.

# Background

- *Early Fall 2013 - Spring 2014*
  - Partnered with NC Division of Public Health - Center for Public Health Quality
  - DPH Quality Improvement 101 Program
  - Currently developing policies, training, and tools to assist the LHD's in implementing a internal QA program
  - Currently working with a pilot county to test tools

# SEWAGE HANDLING INSPECTION TEAM AND WELLS



**Tim Crissman**

**Wilson  
Mize**

**Tim Warren**

**Angela Cochran**

**Lorna Withrow**

# GOALS

- *Increased uniformity and consistency of permit documentation and fieldwork*
- *Decreased timeframe in which errors are discovered*
- *Increase LHD participation in QA programs to 100%*
- *Provide training and support for LHD implementation*
- *Decreased incidence of tort claims (lawsuits) filed as result of issuing erroneous permits*
- *Increased stakeholder satisfaction*



# What is a Tort Claim?

- *A wrongful act, whether intentional or negligent, which causes an injury and can be remedied at civil law, usually through awarding damages.*
- *North Carolina Industrial Commission reviews and rules on the case.*



# What We've Seen

- *LTAR's too High*
- *Trench bottom too deep for soil condition*
- *Repairs to non-repairable sites*
- *Installations in unsuitable soil, saprolite/parent material and/or site conditions*
  - Soil characteristics, Saprolite, Landscape position, etc.

*What leads to lawsuits*

*Lot(s) permitted that shouldn't have been*



# Costs

- FY 2012/2013 - Tort Claims*

Legal Settlements \$ 62,255.62

Tort Claims \$ 298,221.61

Tort Claims-Transcripts \$ 948.00

Court Costs \$ 10.00

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Total Costs: \$ 361,435.23



# Onsite Water Protection Branch

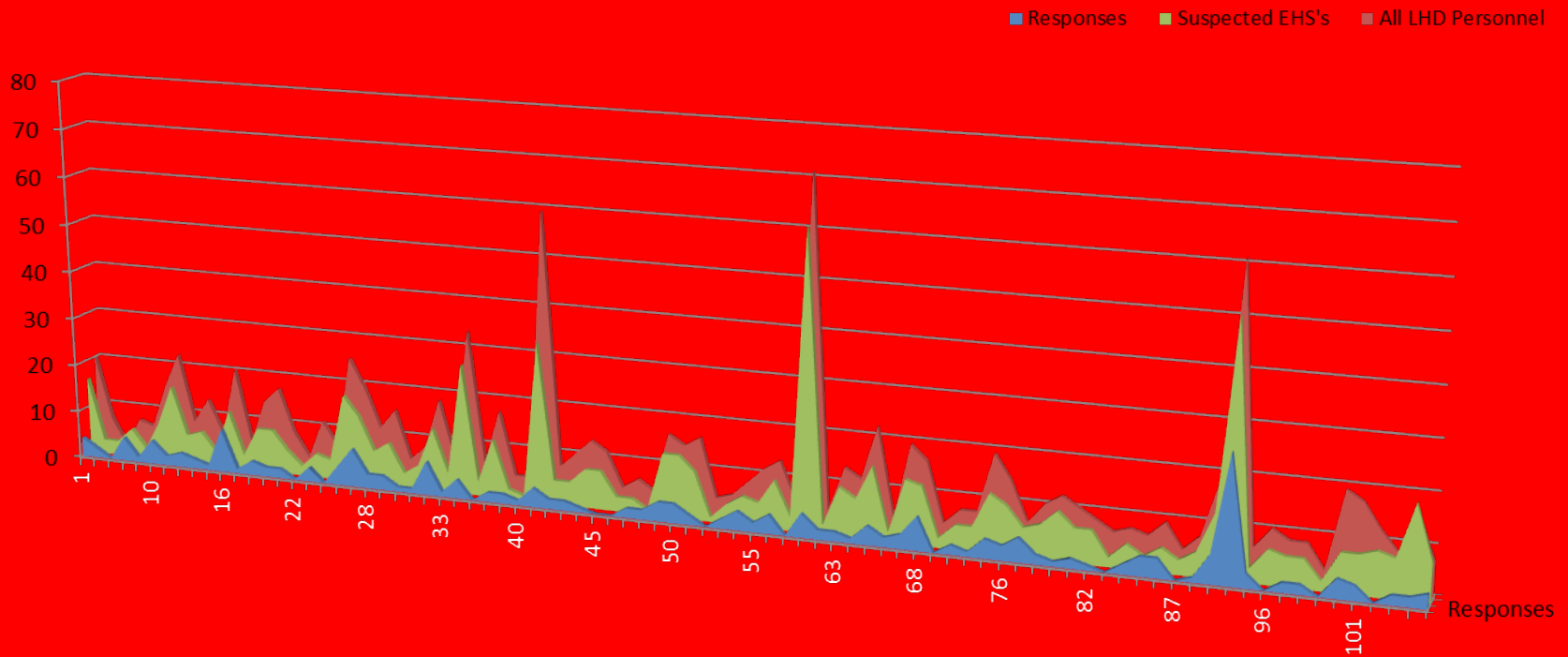
Claims Filed/Paid (Beginning June 1994 – 2011)

Year	Amount	Number of Claims	Settlement
1994	1,000,000	1	1,000,000
1995	2,000,000	2	2,000,000
1996	3,000,000	3	3,000,000
1997	4,000,000	4	4,000,000
1998	5,000,000	5	5,000,000
1999	6,000,000	6	6,000,000
2000	7,000,000	7	7,000,000
2001	8,000,000	8	8,000,000
2002	9,000,000	9	9,000,000
2003	10,000,000	10	10,000,000
2004	11,000,000	11	11,000,000
2005	12,000,000	12	12,000,000
2006	13,000,000	13	13,000,000
2007	14,000,000	14	14,000,000
2008	15,000,000	15	15,000,000
2009	16,000,000	16	16,000,000
2010	17,000,000	17	17,000,000
2011	18,000,000	18	18,000,000
Total to Date	180,000,000	180	180,000,000

# CUSTOMER SURVEY

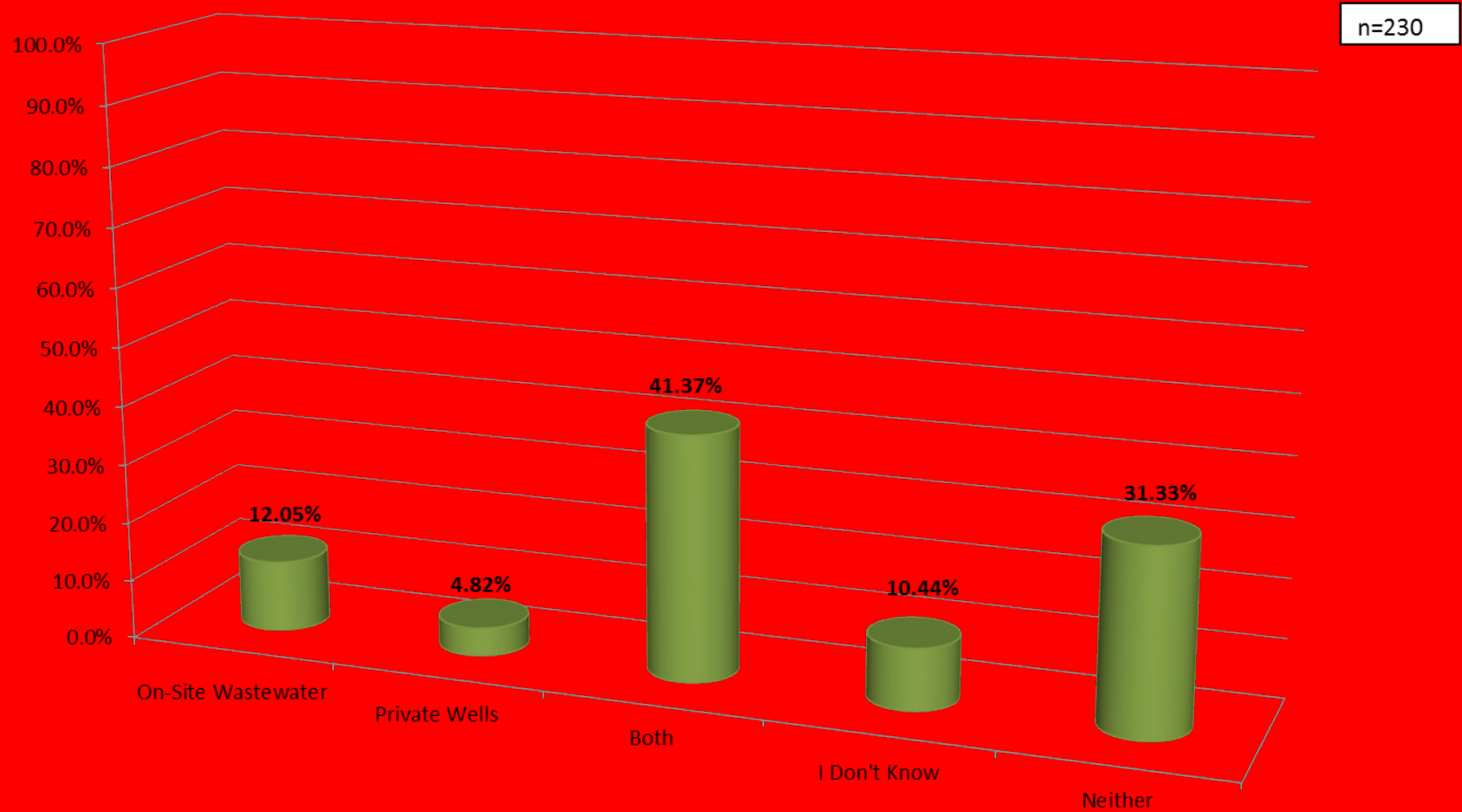
- *Email list of 1,746 persons compiled*
- *1,694 email successfully sent (54 bounced back)*
  - 1,064 LHD (63%)
  - 630 Non-LHD, including private industry (37%)
- *Only LHD survey track included internal QA questions*
- *230 responded to two internal QA questions*

# CUSTOMER SURVEY RESPONSE



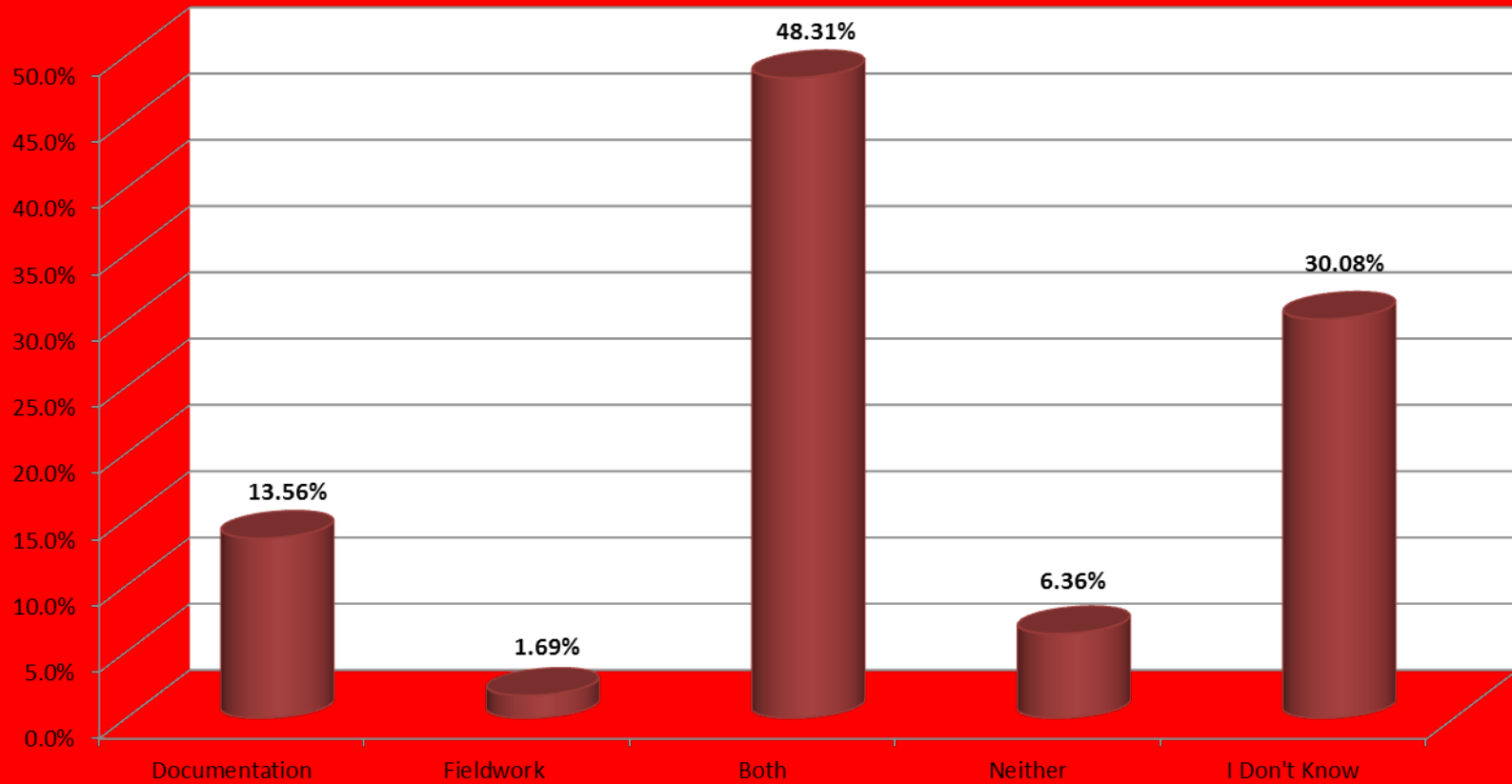
*Note: Approximately 85% of the Local Health Departments/Districts had at least one survey respondent.*

# Do you currently participate in a LHD Internal QA?

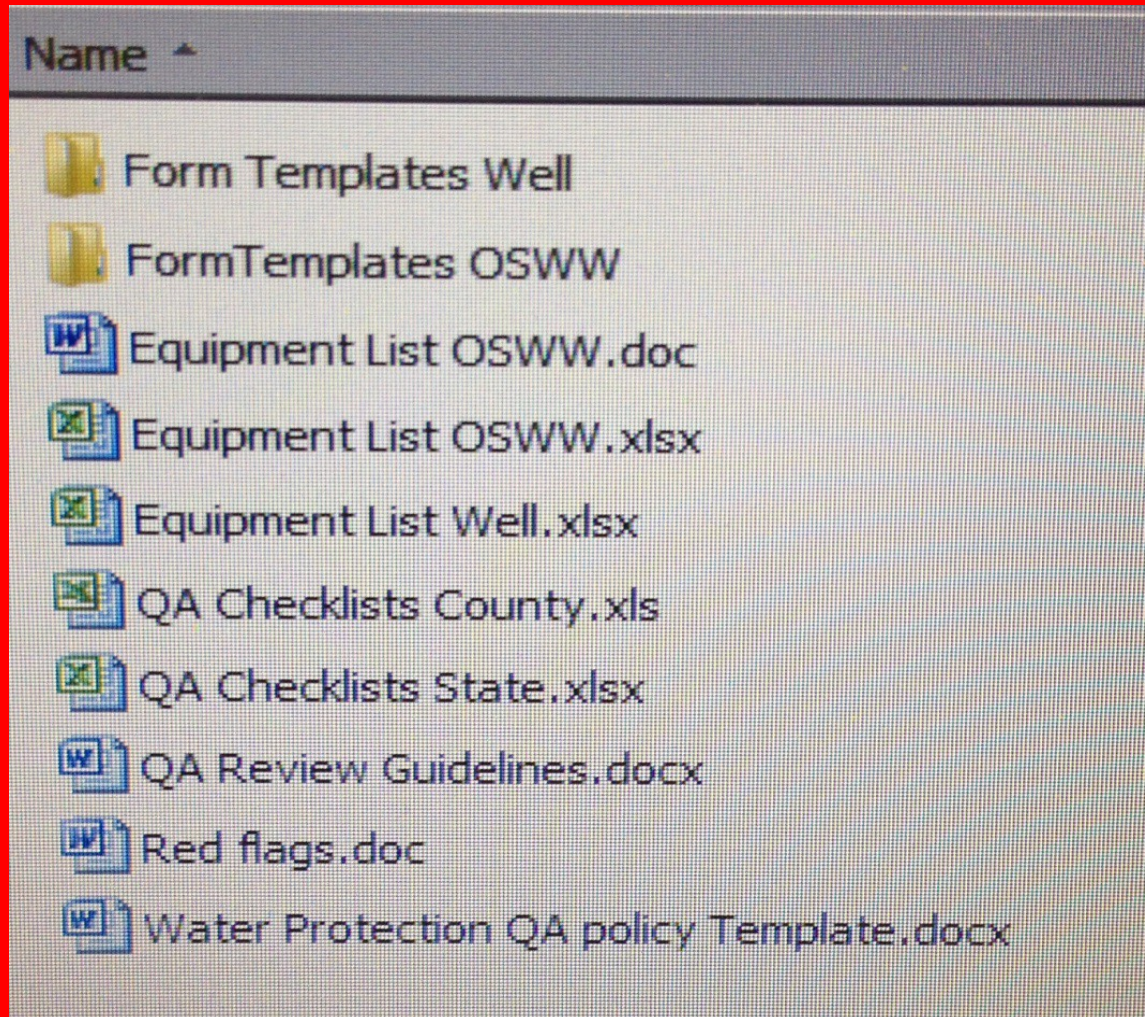


# Does the QA program you participate in involve paperwork or fieldwork review?

n=230



# TOOLBOX CONTENTS



# QA REVIEW GUIDELINES

- ***Level 1 – Paperwork Review***

- Ideal

- Review by authorized staff member
- Evidence of review (e.g., initials, signature, notation, etc.)
- $\geq 95\%$  of all reviewed
- Review completed prior to permit issuance

- Minimum

- Review by authorized staff member
- Evidence of review (e.g., initials, signature, notation, etc.)
- $\geq 80\%$  of all reviewed
- Review completed within 30 days of permit issuance



Improvement Permit \_\_\_\_\_

Construction Authorization

**SITE SKETCH**

Bob Lane  
Applicant's Name

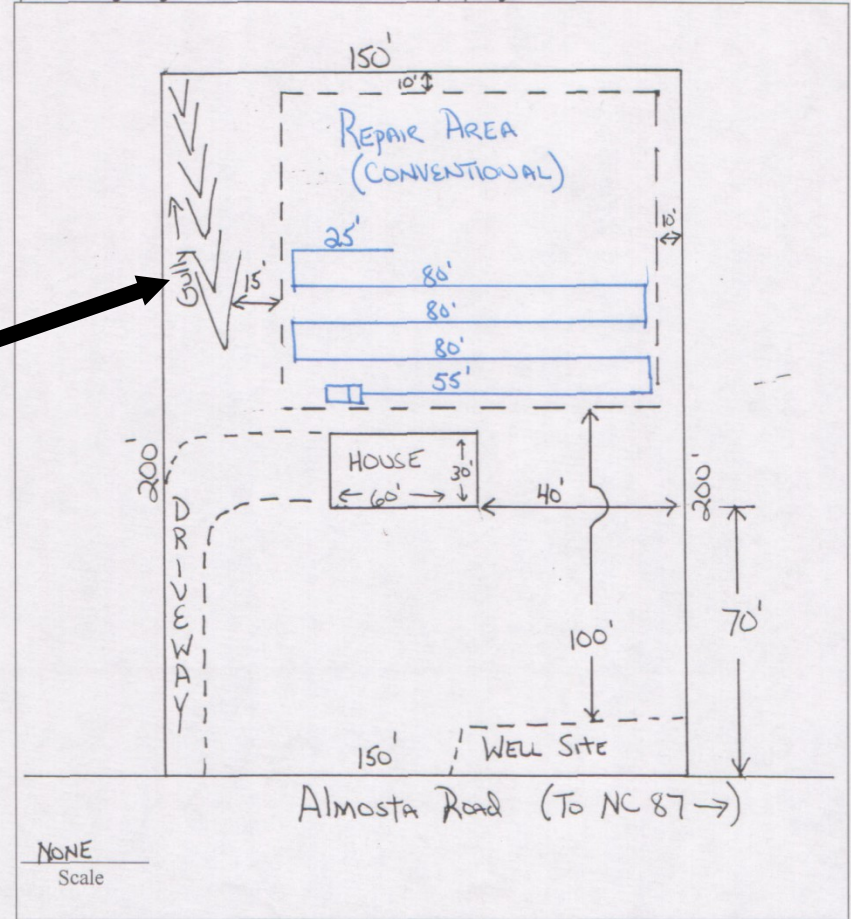
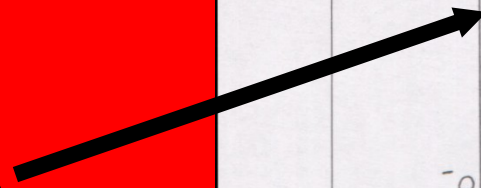
08-14-76 D  
Subdivision/Section/Lot #

Chester Bestatester, R.S.  
Authorized State Agent

XX-XX-XX  
Date

System components represent approximate contours only. The contractor must flag the system prior to beginning the installation to insure that proper grade is maintained.

Field Review  
Important  
because  
"Pretty on  
paper..."



NONE  
Scale

Doesn't = accuracy in the field!



# QA REVIEW GUIDELINES (continued)

- *Level 2 – Fieldwork vs. Paperwork Review*

- Ideal

- Review by supervisor, program manager, or coordinator
- Evidence of review (e.g., initials, signature, notation, etc.)
- > 20% of all sites checked on a monthly basis
- Verify permitted system/well installed per permit requirements (i.e., field matches paper)
- Review completed prior to permit issuance

# QA REVIEW GUIDELINES (continued)

- *Level 2 – Fieldwork vs. Paperwork Review*
  - Minimum
    - Review by supervisor, program manager, or coordinator
    - Evidence of review (e.g., initials, signature, notation, etc.)
    - 10%-20% of all sites checked on a quarterly basis
    - Verify permitted system/well installed per permit requirements (i.e., field matches paper)
    - Review completed prior to permit issuance

# QA CHECKLIST COUNTY

ADHD On-Site Field Review Worksheet		Sites Visited					
Rule or Law	Site Evaluation Information	1	2	3	4	5	Permit Number
	Property lines found?						1
	Proposed structure and appurtenances found?						2
.1939 (a)(1)	Topography and Landscape Position Recorded?						3
.1940 (a-g)	Slope % Recorded?						4
.1939 (a)(2)	Texture Class Recorded?						5
.1939 (a)(2)	Structure type Recorded?						<b>Comments:</b>
.1939 (a)(2)	Consistence Recorded?						
.1939 (a)(2)	Mineralogy Recorded?						
.1939 (a)(3)	Soil Wetness Condition Recorded?						
.1939 (a)(4)	Soil Depth to Rock or Parent Material Recorded When Encountered?						
.1939 (a)(5)	Depth to Restrictive Horizons Recorded When Encountered?						
.1939 (a)(6)	Sufficient Available Space Recorded?						
.1937(m)	Are the Profile Locations Shown?						
.1939(a) & .1945(b)	Are the S/PS Profiles in system & in repair area?						
	Number of auger borings made:						
	Were sufficient auger borings made?						
.1939(d), .1955, .1956, .1957	LTAR assigned correctly?						
	Applicable measurements taken?						
	Adjacent property(s) water supply, osww, etc. accounted for?						
	All evaluation tools, rules books, etc. with EHS?						

# CONSOLIDATED AGREEMENT (Revision)

- *The Section is recommending in the 2015/16 Division of Public Health Agreement Addendum Section IV Performance Measures and Reporting Requirements the following language:*
  - *.....Local environmental health programs must submit monthly reports on environmental health activities performed, including implementing a quality assurance (QA) program. Reports are to be submitted on forms provided by the Environmental Health Section. Additionally each.....*

# QA TIMELINE

- *Training Development*
  - March 21, 2014
  - Ongoing (QA Toolbox tools)
- *Initial Program Introduction*
  - March 28, 2014 (Eastern NC EH Supervisors' Association Meeting)
- *Introduction to QA for LHD leaders*
  - Target no later than June 30, 2014

# QA TIMELINE (continued)

- *Localized/Regional LHD QA Training Rollout*
  - Educational Districts (Mountain, West Piedmont, North Central, Northeast, Southeast)
  - Regional Workshops (Asheville, Winston-Salem, Mooresville, Raleigh, Fayetteville, Washington, Wilmington)
  - Locally (Upon Request)
- *Rollout Completion*
  - Target no later than December 31, 2014
- *LHD Program QA assistance*
  - Ongoing



# SUMMARY

- *Increased uniformity and consistency of permit documentation and fieldwork*
  - Increase the percentage of LHDs participating in a QA program
  - Decrease the percentage of IP/CA documentation errors
  - Decrease the percentage of fieldwork errors
- *Decreased timeframe in which errors are discovered*
  - Decrease the length of time between reviews
  - Increase the number of LHD personnel trained in internal QA monitoring
  - Increase the number of LHDs who actively utilize QA resources



# SUMMARY (continued)

- *Decreased incidence of tort claims (lawsuits) filed as result of issuing erroneous permits*
  - Reduce the number of tort claims
  - Decrease the monetary amount paid for tort claims (\$\$ is not budgeted)
  - Reduce the drain on staff man hours
  - Reduce the occurrence of county employees being sued in their individual capacity
- *Increased stakeholder satisfaction*
- *Increased staff satisfaction*

