

**SITE REMEDIATION PROFESSIONAL LICENSING BOARD OF NEW JERSEY
AUDIT PROCESS AS REQUIRED BY THE SITE REMEDIATION REFORM ACT**

N.J.S.A. 58:10C-24

Prepared by the LSRP Board Audit Subcommittee

August 11, 2011

These are the proposed procedures for completion of an audit of a Licensed Site Remediation Professional (LSRP), as required by law and to be performed by the Site Remediation Professional Licensing Board (SRPLB). These audit procedures and requirements are separate and distinct from the inspection and review of documents performed by NJDEP. It is the intention to finalize these procedures and approve by resolution of the SRPLB so audits can start immediately prior to the first SRPLB meeting of 2012, January 9, 2012. These procedures will be used to support the rule making process and may be modified by the SRPLB.

1. The Site Remediation Reform Act (SRRA) requires the SRPLB to audit at least 10% of the LSRPs per year, so the SRPLB will establish the number to be audited per calendar year at the first meeting of each calendar year. The number of LSRPs to be audited will be calculated by 10% of the approved LSRPs on January 1st of each year, plus 5 to anticipate additional LSRPs receiving approval in the calendar year. For example, if there are 420 LSRPs approved, than 47 LSRPs will be audited for the calendar year. An estimated 1/12 of the LSRPs will be selected for audit per month.
2. After the number of LSRPs to be audited has been established by the SRPLB, the Audit Committee will randomly select the monthly amount to be audited in a committee meeting. Immediately following the selection, audit teams made up of two (2) SRPLB members, one of which will be a non-LSRP, will be established. If potential conflicts in accordance with the SRPLB Bylaws occur, the Audit Committee will replace the conflicted *team* member, as necessary. Each member of the SRPLB will serve on an audit team, with the exception of the Chairperson, and the team members will rotate as determined by the Audit Committee. Since LSRPs who serve on the SRPLB are not exempt from the audit process, if one of the LSRPs on the SRPLB is selected for Audit, potential conflicts must be cleared with the Deputy Attorney General (DAG) and he or she must be recused from all actions. The random selection will be by LSRP number and the process will be predetermined based upon a procedure designed by the Audit Committee. The LSRP number and name will **not** be made public at the time of selection.
3. A letter will be sent via email with delivery confirmation, by the SRPLB Secretary detailing the statutory basis for the audit in accordance with SRRA and requesting the completion of the SRPLB Audit Questionnaire and return within **30** days of receipt. At the same time, a request will be made to SRPLB staff for a copy of the LSRP Comprehensive Report from NJEMS.
4. After the questionnaire is returned to the SRPLB Office by the LSRP, the assigned audit team will review the questionnaire and NJEMS report, outside of a Board meeting, and work with staff during the process, as needed. Upon completion of the review of the questionnaire and other documents, the audit team will render one of the following conclusions:

- a. Audit team determines the audit is complete and *satisfactory*,
 - b. Audit team has questions or concerns and contacts LSRP directly in writing via email (address provided). After review of the LSRPs response to the questions or concerns, the audit team determines the audit is complete and *satisfactory*; or
 - c. Audit team believes further investigation is required and requests review of files and documents submitted to NJDEP by the LSRP. Following the review of the NJDEP files, the audit team will conclude that the audit is complete and *satisfactory* or refer the LSRP to the Professional Conduct Committee for disciplinary review.
5. Audit team findings will be reported to the Audit Committee and the Audit Committee will report *completed* findings to the SRPLB at a Board meeting, issue a letter via email to the LSRP and then posted on the SRPLB website. The notice on the web site will simply list the number and name of the LSRP, and date of the "*satisfactory* audit." Any findings that warrant referral to the Professional Conduct Committee will be sent directly to the Professional Conduct Committee with no report to the SRPLB or LSRP and no posting to the website. Only if and when the Professional Conduct Committee determines that no disciplinary action will be taken, will the LSRP receive an email of a "*satisfactory*" audit and the findings posted to the website.
 6. All referrals to the Professional Conduct Committee will follow the procedures of said committee and confidentiality as prescribed.
 7. The goal of the SRPLB will be to complete each audit within 90 days of receipt of a completed questionnaire.
 8. LSRPs can expect to be audited a maximum of one (1) time during their licensure period (assumed to be a 3 year period); however the random selection will still be considered on 10% of the total number of LSRP's as of January 1st of each calendar year.