

**Louisiana Department of Environmental Quality**

**Environmental Self-Audit Program**

**Notice of Audit Form**

Please submit via certified mail to:

Office of Environmental Compliance

Enforcement Division

P.O. Box 4312

Baton Rouge, LA 70821-4312

Attention: Audit Section

**Instructions**

Pursuant to La. R.S. 30:2044(A)(4) and Chapter 70-Voluntary Environmental Self-Audit Regulations, the Louisiana Department of Environmental Quality (the Department) promulgated regulations for establishing a program for voluntary environmental self-audits. In accordance with regulations, the following Notice of Audit (NOA) form must be submitted.

Please note the following:

* Only the areas highlighted yellow can be edited.
* The Department shall be notified prior to initiation of the audit. [LAC 33:I.7009.A.1.a]
* An NOA form must be submitted in order to qualify for penalty mitigation.   
  [LAC 33:I.7009.A.1.a]
* The Department will only accept NOA forms submitted using this approved form via certified mail or other means approved by the Department. [LAC 33:I.7009.A.1.b-c]
  + At this time, certified mail is the only approved means of submission.
* An audit must be completed within six (6) months [or one hundred eighty (180) days] after the date of initiation. [LAC 33:I.7009.A.3]
  + If an audit cannot be completed within six months of initiation, an extension request must be submitted in writing at least thirty (30) days prior to the expiration date of the audit period.[LAC 33:I.7009.B]
  + The Department will approve or deny the request in writing.
* An NOA form shall not be considered confidential and will be part of the public record.
* The NOA form includes a confidentiality determination section. While the voluntary self-audit regulations, specifically LAC 33:I.7009.F grants confidentiality for a specified period, existing confidentiality regulations are not suspended as the result of a voluntary environment self-audit.
* Be sure the best contact information is provided in order to address any deficiencies or requests for additional information timely.
* All non-payment audit questions can be directed to \_DEQ\_ENFSelfAudit@la.gov.

Fee Payment

* All requests for reviewing environmental self-audits and corrective actions shall be accompanied by an initial $1,500 minimum fee. [LAC 33:I.7013.A.1]
* An additional fee shall be charged for the amount exceeding the initial minimum fee. Invoices for any additional fee amount may be issued periodically while the audit and corrective actions are being conducted and/or implemented and a final invoice shall be issued once the review is complete. [LAC 33:I.7013.A.2]
* Failure to pay the additional fee by the due date on the specified invoice will constitute a violation of the regulations, LAC 33:I.Chapter 70, and will be subject to enforcement action. [LAC 33:I.7013.C]
* A late fee will be charged for any payment not received within fifteen (15) days of the due date. [LAC 33:I.7013.E]
* Please see LAC 33:I.7013 for fees information in its entirety.

*Methods of Payment*

* All payments made by check, draft, or money order shall be made payable to the Louisiana Department of Environmental Quality, and mailed to the Department with a copy of the Notice of Audit form. The original Notice of Audit form shall be submitted as directed on the form.
* Payments can be submitted to:

Department of Environmental Quality

Office of Management and Finance

P. O. Box 4303

Baton Rouge, Louisiana 70821-4303

**Attn: Teyona James**

* Electronic Methods of Payment
  + To make a payment via electronic pay method, access the Department’s website and follow the instructions provided on the website.
  + To make a payment via electronic funds transfer (EFT), contact the Office of Management and Finance at \_DEQ-SelfAudit@la.gov for further instruction.

|  | | ***Notice of Audit*** | |  | |
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| **Facility Information** | | | | | |
| Company Name | |  | | | |
| Mailing Address | |  | | | |
| City |  | State |  | Zip |  |
| Facility Name | |  | | | |
| Facility Street Address | |  | | | |
| Parish | |  | | | |
| City |  | State |  | Zip |  |
| Facility Agency Interest Number (if applicable) | |  | | | |
| Current LDEQ Permits (if applicable) | |  | | | |
| **Facility Contact Information** | | | | | |
| Contact | |  | | | |
| Title | |  | | | |
| Phone Number | |  | | | |
| Email | |  | | | |
| **Audit Information** | | | | | |
| Date the Audit Will Commence | |  | | | |
| Name of Party Performing the Audit (Employees or 3rd Party) | |  | | | |
| Identify the party responsible for compliance with environmental statutes, regulations, and/or permits. | |  | | | |
| Scope of the audit including a detailed description of the facility, processes or operations being audited, audit methodology, etc. (Please use the attachment to provide additional information) | |  | | | |
| **Audit Information (continued)** | | | | | |
| Which media/Division(s) will the audit affect? (Air Quality, Water Quality, Waste Quality, Permits, etc.) | |  | | | |
| If the audit is being conducted at a facility with an effective Title V (Part 70) permit, please describe how the audit is above and beyond reasonable inquiry as required per 40 CFR 70.5(d). | |  | | | |
| Is this a voluntary audit as defined in LAC 33:I.7005? | | Yes | | No | |
| Is this voluntary environmental audit connected to a potential purchase/sale of a facility/facilities? | | Yes | | No | |
| Identify the party responsible for billing and provide the appropriate billing address. | |  | | | |
| **New Owner Information** | | | | | |
| Note: Complete the following section if the facility was undergoing an environmental audit prior to the acquisition closing date. For new owners that acquire a facility that is undergoing an environmental audit prior to the acquisition closing date, a Notice of Audit must be provided to the Department no later than forty-five (45) days after the acquisition closing date. | | | | | |
| Acquisition Closing Date | |  | | | |
| Name of the Seller (previous owner of the facility) | |  | | | |
| Do you plan on continuing the environmental audit? | | Yes | | No | |
| Was your company responsible for the scope of the environmental compliance being audited at the facility? | | Yes | | No | |
| Does your company have the largest ownership share of the seller? | | Yes | | No | |
| Does the seller have the largest ownership share of your company? | | Yes | | No | |
| Does your company and the seller share a common corporate parent or common majority interest owner? | | Yes | | No | |
| **Confidentiality Assessment** | | | | | |
| Please review each of the items below. If you answered yes to any of the items, please contact the Legal Division for instructions regarding confidentiality prior to submitting this form. | | | | | |
| Does this document contain information or records related to an ongoing investigation?  [LAC 33:I.501.B.1] | | Yes | | No | |
| Does this document contain information that may cause prejudice concerning a final decision for a violation?  [LAC 33:I.501.B.2] | | Yes | | No | |
| Does this document contain trade secrets?  [LAC 33:I.501.B.3] | | Yes | | No | |
| Does this document contain proprietary secrets?  [LAC 33:I.501.B.4] | | Yes | | No | |
| Does this document contain commercial or financial information?  [LAC 33:I.501.B.5] | | Yes | | No | |
| Does this document contain information that may affect compliance with a federal or state law or regulation or a valid court order?  [LAC 33:I.501.B.6] | | Yes | | No | |
| **Note: The following information is prohibited from being classified as confidential: 1) air emission data [LAC 33:I.503.E.1] ; 2) any permit or portion of a permit issued to a source in accordance with LAC 33:III.507 [LAC 33:I.503.E.2]; 3) effluent and discharge data to surface water and groundwater [LAC 33:I.503.E.3]; 4) the location and identification of any buried waste [LAC 33:I.503.E.4]; 5) the name and address of any license, registration, or permit applicant or permittee [LAC 33:I.503.E.5]; 6) all National Pollution Discharge Elimination System (NPDES), Louisiana Pollution Discharge Elimination System (LPDES), and other water discharge permit applications or permits and information required by LPDES application forms, including information submitted on the forms and any attachments used to supply information required by the forms [LAC 33:I.503.E.6]; 7) any information required by law of regulation to be disclosed or made available to the public [LAC 33:I.503.E.7]; and 8) any other information for which a claim of confidentiality is prohibited by law or regulation [LAC 33:I.503.E.8].** | | | | | |

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| **Certification of Voluntary Environmental Audit** | | | |
| **I certify, based on information and belief formed after reasonable inquiry, the statements and information in this document are true, accurate, and complete.** | | | |
| Responsible Official (signature) |  | | |
| Responsible Official (typed) |  | Date |  |
| Responsible Official Title |  | | |

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| --- | --- | --- | --- |
|  | | ***Notice of Audit***  ***Audit Information***  ***Attachment*** |  |
| **Audit Information** | | | |
| Scope of the audit including a detailed description of the facility, processes or operations being audited, audit methodology, etc. |  | | |