

DRI Procedure--Inspection by Regulatory Agencies

1.0 PURPOSE

- 1.1 This procedure describes the entry procedure and contact person (Inspection Coordinator) for inspections by regulatory agencies.

2.0 SCOPE

- 2.1 These requirements apply to inspections by the agencies shown in Table 1.

3.0 RESPONSIBILITES

- 3.1 It is the responsibility of the contact people listed in Tables 1 and 2 and their alternates to understand and follow this procedure during regulatory inspections.
- 3.2 It is the responsibility of each Receptionist to read, understand, and follow the sections of these procedures that apply to Receptionists.

4.0 PROCEDURE

4.1 Upon arrival of Inspector

- 4.1.1 It is the responsibility of the Receptionist to greet the visitor, ask for credentials, and establish the name of the agency sponsoring the inspection and the reason for the inspection.
- 4.1.2 The Receptionist is to identify the visitor, using the credentials offered, and verify that the credentials match the individual(s) present.
- 4.1.3 The Receptionist will instruct the agency Inspector(s) to sign the visitor log.
- 4.1.4 The Receptionist is to then notify the correct contact person, or alternate, as shown in Table 1.
- 4.1.5 Standby-The Receptionist does not have the authority to consent to an inspection and in no event should permit the Inspector to enter the facility, (other than the lobby), unless accompanied by one of the Inspection Coordinators, Alternates or a member of the executive staff (VP or Division Director).
- 4.1.6 The Receptionist is to ask the agency Inspector to wait in the lobby until the correct DRI Inspection Coordinator takes charge of the situation. As a guideline, the Inspector should not be detained for more than ten minutes. If an Inspection Coordinator is not available or

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cannot be contacted by phone within ten minutes, the senior executive on site should be contacted.

4.2 Admitting

- 4.2.1 When notified that the Inspector is from a Federal, State or local regulatory agency, (for example, NV OSHA, NDEP, EPA Region 9, Washoe or Clark County, or the City of Reno), the Inspection Coordinator will go to the lobby to meet the Inspector. Ordinarily, the Inspector should not be kept waiting longer than about ten minutes. If longer than that, the Inspection Coordinator should explain the reasons for the delay to the Inspector.
- 4.2.3 The Inspection Coordinator shall not permit the Inspector to enter the facility before reviewing the Inspector's credentials. Ordinarily the Inspector will voluntarily offer credentials and the reason for the inspection, but if not, the Inspection Coordinator should not hesitate to request them. Request permission to photocopy the credentials for the internal inspection file.
- 4.2.7 Ordinarily the Inspection Coordinator should not refuse entry to the Inspector. If for any reason the Inspection Coordinator believes entry should be refused, or that consideration should be given to refusing entry, telephone the NSHE Legal Counsel and secure approval of the refusal. In the absence of Counsel's approval, only the DRI President may authorize refusal of entry to an Inspector.

4.3 Inspection

- 4.3.1 Conduct the inspection in a courteous and businesslike manner. Before commencing the inspection, request an opening conference to clarify the scope of the inspection. If possible, hold the opening conference in the conference room nearest to the lobby entrance used by the inspector.
- 4.3.2 During the inspection process, take the Inspector only to areas specifically requested during the opening conference. Use the most direct route that does not include movement through labs or areas not to be included in the inspection. This may mean walking outside of the buildings as opposed to down the hallways.
- 4.3.3 DO NOT SIGN ANYTHING or accept 'service' of any papers.
- 4.3.4 Do not provide Institute confidential information (internal audits, research and development, etc.) to regulatory inspectors.

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- 4.3.5 Do not permit photography or tape recording.
 - 4.3.5.1 If an Inspector attempts to bring a camera or tape recorder into the plant, inform the Inspector that DRI policy prohibits their use and ask the Inspector to leave the camera or tape recorder in his/her car.
 - 4.3.5.2 NOTE: OSHA, EPA and perhaps other regulations may authorize inspectors to take photographs. If an inspector persists in taking pictures after your initial attempt of refusal, permit photography, but volunteer the use of a DRI Polaroid camera (rather than using a film or digital camera) and take identical photos for your files.
 - 4.3.5.3 If the Inspector insists on using his/her own camera, be sure to take identical photos with a DRI camera or ask if they are taking digital photos if they will download them to a DRI computer prior to their departure.
- 4.3.6 Do not ever leave the Inspector alone.
 - 4.3.6.1 Never allow an Inspector to roam the Institute facilities unescorted.
 - 4.3.6.2 If an Inspector requests a private conversation with a DRI employee, set up the interview in a conference room, if possible. Instruct the employee to call you when the interview is over. The interviewed employee shall wait with the Inspector until the Inspection Coordinator relieves him/her.
- 4.3.7 Do not volunteer to show the Inspector any documents.
 - 4.3.7.1 Inspectors have a right to view documents normally considered public information and documents directly related to the scope and subject matter of the inspection. Show them only specific documentation requested, do not volunteer the existence of additional paperwork they have not asked to see.
 - 4.3.7.2 Do not allow inspectors to paw through file cabinets or other records so they can choose what they want to see.
- 4.3.8 Do not volunteer to give Inspectors copies of documents.
 - 4.3.8.1 Show Inspectors only the individual documents they have specifically ask to see.

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- 4.3.8.2 If you give an Inspector a copy to view, it is not allowed to leave the building unless the Inspector specifically requests a copy of it. Do not volunteer to make copies, wait until an inspector requests one.
- 4.3.8.3 If the document contains DRI Confidential information, try to dissuade the Inspector from taking a copy for that reason. Note, however, that the fact a document contains confidential information is not justification for refusing to show or to give it to an Inspector.
- 4.3.8.4 If an Inspector is given a copy of a document containing confidential information, stamp each page "Confidential", inform the Inspector that the Institute considers the document to be confidential, and request the Inspector to treat it as the proprietary information of the DRI.
- 4.3.8.5 Keep a record of each document provided for viewing and which of those, if any, were provided as copies.
- 4.3.9 Do not permit the Inspector to take samples unless specifically requested.
 - 4.3.9.1 Inspectors are permitted to take samples. If the Inspector does take a sample, arrange to take a duplicate sample at the same time. If possible ask for a split sample as opposed to duplicate sample taking.
 - 4.3.9.2 In addition, request the Inspector send a copy of any results of their testing of the sample to you.
- 4.3.10 Do not volunteer information. When asked a question, answer only the question asked.
 - 4.3.10.1 When answering a question, do not volunteer information or offer explanations beyond that necessary to answer the question asked.
 - 4.3.10.2 Whenever possible, answer "yes" or "no", then stop talking. Silence may be embarrassing, but it is preferable to unsolicited discussion.
- 4.3.11 Do not attempt to answer a question you do not understand, which contains too many parts to answer each satisfactorily, which is a leading question, or which you believe is based on an invalid assumption.

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4.3.11.1 If you are confronted with a question, which you are not comfortable in answering, do not answer. Ask the Inspector to repeat or rephrase the question.

4.3.12 Do not engage in speculation, give opinions, or try to explain apparent discrepancies.

4.3.12.1 Give information only in response to direct questions, and give facts only. If you do not know something, say so.

4.3.12.2 If the Inspector implies that a certain activity does not comply with regulatory requirements, do not respond to the statement, if possible. If the Inspector presses the issue, state that you must review the matter thoroughly before responding.

4.3.13 Do not discuss business matters not related to the inspection in the presence of an Inspector.

4.3.13.1 Employees escorting the Inspector should advise others when an Inspector is in an area.

4.3.13.2 Business matters not relevant to the conduct of the inspection should not be discussed in front of the Inspector or within the potential range of the Inspector's hearing.

4.4 Post Inspection

4.4.1 Generally a regulatory agency representative, upon completion of the inspection, will meet with responsible personnel to review the findings. Such a summary discussion should be encouraged, since it gives management the opportunity to clarify any misinterpretations and to offer rebuttal should some comments appear to be unjustified. Request a closing conference, if the Inspector does not offer one

4.4.2 DRI policy requires, when a regulatory agency issues a written report of its findings, that a written response be prepared. This report shall be submitted to the agency within a reasonable time unless local regulations specifically do not require a response. Stating the corrective actions that have been taken or planned and a timetable for their completion may strengthen the response. If a disagreement occurs concerning an observation, respond by stating clearly and concisely why you disagree and provide objective information supportive of your position.

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4.5 Exit

4.5.1 The DRI Inspection Coordinator will, after completion of the inspection (and closing conference, if applicable), escort the agency Inspector through the lobby. At that time, the Receptionist shall request the Inspector sign out on the visitor logbook.

4.6 Follow-up Report

4.6.1 In order to provide an internal record of the inspection, a Follow-up Report is recommended. The report should be prepared within thirty days following the inspection, normally by the Inspection Coordinator.

4.6.2 The Follow-up Report shall contain:

4.6.2.1 The names of all individuals who escorted or provided information to the Inspector.

4.6.2.2 A description of all areas and processes observed by the Inspector.

4.6.2.3 Any comments, demands, or citations made by the Inspector and a description of the context in which they were made.

4.6.2.4 A list of all documents provided to the Inspector.

4.6.3.5 Copies of all documents provided to the Inspector (attach to the report).

4.6.2.6 A record of any samples given to or taken by the Inspector.

4.6.2.7 Duplicates of any photos taken by the Inspector.

4.6.2.8 A copy of the regulatory agency's report and the Institute's response, giving the actions to be taken and a timetable for their implementation and completion.

4.6.3 Stamp the Follow-up Report "CONFIDENTIAL".

4.6.4 The Inspection Coordinator shall determine and keep the executive staff informed through periodic follow-up inspections that the indicated corrective actions have been completed.

4.6.5 These follow-up inspections may be conducted by the Inspection Coordinator or by personnel assigned this responsibility.

Table 1
Regulatory Agencies that May Inspect the DRI Facilities in Northern Nevada and DRI Contact Personnel

AGENCY	CONTACT	ALTERNATE	FILE	REMARKS
Region IX, Federal EPA	M. McRae	D. Hammond	M. McRae	J. Warwick is Alternate 2
Nevada Division of Environmental Protection	M. McRae	D. Hammond	M. McRae	J. Warwick is Alternate 2
Nevada State Health Division, Radiological Health Section	Mr. Jo, UNR	LeRai Frank, UNR	UNR RSO	M. McRae is Alternate 2
Nevada or Federal OSHA				
a. Facility (boilers, elevators, etc.)	K. Ruf	P. Ross	G. Valdes?	G. Valdes is Alternate 2
b. Chemicals (right-to know)	M. McRae	D. Hammond	M. McRae	A. M. Zielinski is Alternate 2
c. Employee Complaints	M. McRae	J. Warwick	M. McRae	Contact HR for all employee complaints
Nevada State Fire Marshal				
a. Occupancy/Construction related	P. Ross	K. Ruf	P. Ross	G. Valdes is Alternate 2
b. Hazardous Materials	M. McRae	D. Hammond	M. McRae	A. M. Zielinski is Alternate 2
Washoe County (NNSC, WMOD)				
a. Storm Water	M. McRae	P. Ross	M. McRae	K. Ruf is Alternate 2
b. Hazardous Materials Releases (outside of bldg.)	M. McRae	D. Hammond	M. McRae	A. M. Zielinski is Alternate 2
c. Air Permits for facilities equipment	P. Ross	K. Ruf	P. Ross	G. Valdes is Alternate 2
d. Air permits for labs/lab equipment	A. Cunningham	M. McRae	Cunningham/McRae	B. Zielinska is Alternate 2
City of Reno (NNSC, WMOD)				
a. Industrial Waste Water	M. McRae	P. Ross	M. McRae	G. Valdes is Alternate 2
b. Fire Dept. (Facilities/Life Safety)	K. Ruf	M. McRae	M. McRae	P. Ross is Alternate 2
c. Fire Dept. (Hazardous materials/chemicals)	M. McRae	D. Hammond	M. McRae	J. Warwick is Alternate 2
Property Insurance Agency	P. Ross	G. Valdes	P. Ross	C. McDaniel is Alternate 2
UCCSN Risk Management (insurance issues)	G. Valdes	P. Ross		Location of file depends on issue
Business Center North (Worker's Comp. Issues)	G. Valdes	M. McRae	G. Valdes	S. Dunt, BCN is alt. 2
Nevada Highway Patrol (Haz. Mat. Incidents)	M. McRae	D. Hammond	M. McRae	J. Warwick is Alternate 2
Federal and Nevada Depts. of Transportation				
a. Hazardous Waste Shipments	M. McRae	D. Hammond	M. McRae	A.M. Zielinski is Alternate 2
b. Hazardous Materials Shipments	Receptionist	M. McRae	Receptionist	G. Valdes is Alternate 2
FAA (dangerous goods shipper inspection)	Receptionist	M. McRae	Receptionist	G. Valdes is Alternate 2
Department of Justice	S. Wells	C. McDaniel		Call NSHE Legal Immediately!
Federal Bureau of Investigation	P. Ross	C. McDaniel		L. Pritchett/S. Gifford if computer related
Equal Employment/other HR audit	P. Hughes	C. Littlefield	C. Littlefield	K. Carter is Alternate 2
SPA (Software Protection Association)	L. Pritchett	S. Gifford	L. Pritchett	E. Novak is alternate 2
DOE Computer Security/CYBER team	L. Pritchett	R. Cullison	R. Cullison	S.. Gifford is alternate 2
DOE Safeguards & Security	R. Cullison	J. Chapman	R. Cullison	No second alternate provided
Defense Security Service (DSS)	R. Cullison	G. Cochran	R. Cullison	No second alternate provided

NOTE: If neither the Contact of Alternates are unavailable, immediately inform Cleve McDaniel, then Steve Wells

Table 2
Regulatory Agencies that May Inspect the DRI in Southern Nevada and DRI Contact Personnel

AGENCY	CONTACT	ALTERNATE	FILE	REMARKS
Region IX, Federal EPA	A. M. Zielinski	M. McRae	A. M. Zielinski	Additional alternates: P. Ross/J.Naumann
Nevada Division of Environmental Protection	A. M. Zielinski	M. McRae	A. M. Zielinski	Additional alternates P. Ross/J.Naumann
Nevada State Health Division, Radiological Health Section	Mr. Jo, UNR	LeRai Frank, UNR	UNR RSO	M. McRae is Alternate 2
Nevada or Federal OSHA				
a. Facility (boilers, elevators, etc.)	W. Shingles	J. Naumann	L. McClain	L. McClain is Alternate 2
b. Chemicals (right-to know)	A. M. Zielinski	M. McRae	A. M. Zielinski	J. Naumann is Alternate 2
c. Employee Complaints	A. M. Zielinski	M. McRae	A. M. Zielinski	Contact HR for all ee complaints
Nevada State Fire Marshal				
a. Occupancy/Construction related	J. Naumann	W. Shingles	L. McClain	L. McClain is Alternate 2
b. Hazardous Materials	A. M. Zielinski	M. McRae	A. M. Zielinski	G. Valdes is Alternate 2
Clark County (SNSC)				
a. Industrial Waste Water	A. M. Zielinski	W. Shingles	A. M. Zielinski	M. McRae is Alternate 2
b. Fire Dept. (Facilities/Life Safety)	W. Shingles	J. Naumann	L. McClain	Alternates: A.M. Zielinski/M/McRae
c. Fire Dept. (Hazardous materials/chemicals)	A. M. Zielinski	J. Naumann	A. M. Zielinski	M. McRae is Alternate 2
d. Air Permits	J. Naumann	W. Shingles	L. McClain	L. McClain is Alternate 2
Property Insurance	G. Valdes	P. Ross	L. McClain	C. McDaniel is Alternate 2
NSHE Risk Management (insurance issues)	G. Valdes	P. Ross		Location of file depends on issue
Business Center North (Worker's Comp. Issues)	G. Valdes	M. McRae	G. Valdes	S. Dunt, BCN is Alternate. 2
Nevada Highway Patrol (Haz. mat. Incidents)	M. McRae	A.M. Zielinski	M. McRae	J. Warwick is Alternate 2
Federal and Nevada Depts. of Transportation				
a. Hazardous Waste shipments	M. McRae	A. M. Zielinski	A. M. Zielinski	D. Hammond is Alternate 2
b. Hazardous Materials shipments	Receptionist	M. McRae	Receptionist	C. Sargent is Alternate 2
FAA (dangerous goods shipper inspection)	Receptionist	M. McRae	Receptionist	C. Sargent is Alternate 2
Department of Justice	S. Wells	C. McDaniel		Call NSHE Legal Immediately!
Federal Bureau of Investigation	P. Ross	C. McDaniel		L. Pritchett/S. Gifford if computer related
Equal Employment/other HR audit	P. Hughes	B. Kim	B. Kim	C. Littlefield is Alternate 2
SPA (Software Protection Association)	L. Pritchett	J. Derby	L. Pritchett	E. Novak is alternate 2
DOE Computer Security/CYBER team	L. Pritchett	R. Cullison	R. Cullison	S.. Gifford is alternate 2
DOE Safeguards & Security	R. Cullison	J. Chapman	R. Cullison	No second alternate provided
Defense Security Service (DSS)	R. Cullison	G. Cochran	R. Cullison	No second alternate provided

NOTE: If neither the Contact of Alternates are unavailable, immediately inform Cleve McDaniel, then Steve Wells