



SBG O&M LEGAL AND OTHER REQUIRMENT & COMPLIANCE OF EVALUATION





Purpose

To describe the process for identification of applicable legal requirements and other requirements to which SBG O&M subscribes related to its environmental, health and safety aspects, and data security requirements and to periodically evaluate compliance with applicable legal requirements and other requirements to which it subscribes.

To ensure that SBG O&M shall only import and export equipment and components containing focus materials in full compliance with all applicable importing, transit and exporting countries' laws.

Responsibility and Authority

The EHS Management Rep is responsible for maintaining an updated list or having access to applicable legal requirements including, regulations, rules, permits, and other requirements to which the organization subscribes.

Procedure

1. The EHS Management Rep is responsible for tracking and ensuring that all environmental, health and safety legal requirements and data security requirements that are applicable to the SBG O&M operations have been identified and for evaluating their potential impact on the company's operations.
2. The EHS Management Rep shall document applicable environmental, health and safety and data security legal requirements and other requirement that apply to the company's processes on the EHSS Legal and Other Requirements Summary List.
3. The EHS Management Rep shall employ several techniques to track, identify, and evaluate applicable EHSS Legal and Other requirements including;
 - a. website of the EPA - www.epa.gov/compliance/assistance/sectors/index.html,
 - b. website of OSHA- www.osha.gov,
 - c. information from trade associations,
 - d. the internet and email lists
 - e. outside consultants,
 - f. direct communication with federal, regional, state, and local agencies,
 - g. networking with industry peers,



- h. industry trade show,
 - i. industry publications,
 - j. participation in professional organizations,
 - k. training courses on environmental, health and safety and data security laws.
1. SBG O&M shall also ensure that “other” environmental, health and safety and data security requirements to which the company subscribes are listed on the EHSS Legal and Other Requirements Summary List, such as customer contracts, professional associations and certifications.
 2. The EHS Management Rep shall keep the EHSS Legal and Other Requirements Summary List up to date by continually monitoring actual and potential changes in legal requirements through active participation in trainings, industry groups, legislative newsletters, etc. listed in step three above.

Import /Transit /Export Compliance Plan

4. The EHS Management Rep shall identify and document on the Import Export Requirements Summary List the legality of all international shipments of FMs and untested or non-functioning equipment or components containing FMs, that have passed through the SBG O&M 's facility or control. This includes documenting exporting, transit, and importing countries.
5. Prior to shipment, the EH&S Rep shall identify the countries that are receiving or transferring such shipments on the Import Export Requirements Summary List
6. For each line on the Import Export Requirements Summary List, the EH&S Rep shall determine and record if import permission/notification, transit permission/notifications or export permission/notification is required. If required, the EH&S Rep shall obtain documentation demonstrating that each such country legally accepts such shipments.
7. SBG O&M shall demonstrate compliance of each shipment with the applicable export and import laws by retaining appropriate shipping/compliance records.

Compliance Plan

1. SBG O&M utilizes the EHS Compliance Calendar to identify and implement the steps necessary to comply with each requirement and record the implementation of these steps.



2. SBG O&M utilizes the Monthly Facility Inspection Checklist to evaluate its compliance with environmental, health and safety legal requirements and data security requirements.
8. The EHSS Legal and Other Requirements Summary List shall be reviewed for adequacy (both for new regulations and updated regulations) at least once a year by the EHS Rep. The EHS Rep shall report findings during the Management Review meetings.

Evaluation of Compliance Plan

9. The EHS Management Representative shall schedule a legal compliance audit at least once a year.
10. The legal compliance audit shall be conducted by qualified in-house personnel or a qualified third party. Qualified personnel/third party shall hold a minimum of 2 years on the job training or equivalent combination of training and formal education in EHS legal compliance.
11. The audit frequency may be reduced when repeat compliance audits find zero non-compliances.
12. The legal compliance audit shall include a review of activities based on the EHSS Legal and Other Requirements Summary List.
13. Additional legal requirements may be identified when the list of legal requirements is reviewed by the compliance auditor.
14. The legal compliance audit shall be tracked on the EHS Compliance Calendar.
15. Nonconformities from the legal compliance audit shall be recorded and tracked according to the Nonconformity, Corrective and Preventive Action Procedure.
16. The EHS Management Representative shall report legal compliance audit findings at the next Management Review meeting.

DEFINITIONS:

1. Procedure 1.1 Periodic evaluations are conducted through routine inspections as described in applicable environmental work instructions. Additionally, annual environmental regulatory compliance evaluations are conducted at each facility during the completion of the internal EMS audit or independently.



1.2 The Safety Department coordinates the annual environmental regulatory compliance evaluations using either internal resources or external assistance, ensuring that the person(s) performing the evaluation are qualified and are independent of the work function being evaluated.

1.3 The Safety Department is the contact and facilitator for the assessment team, coordinating the schedule, and ensuring the facilities, documents, and personnel are available as necessary to make the process efficient.

1.4 The criteria for performing the compliance evaluation includes legal requirements as identified through the Identification of Legal and Other Requirements and the results of past regulatory compliance evaluations, routine inspections, and corrective action reports.

1.5 A compliance evaluation report is produced as a record of the assessment, which is maintained by the Safety Department, in accordance with the Control of Records procedures.

1.6 The Safety Department reviews the report and initiates corrective actions according to the Nonconformity, Corrective Action and Preventive Action procedure. The results of the compliance assessments are presented to Senior Management and the Chief Executive Officer as part of the Management Review.

1.7 Annually, the Manager, or his designee coordinates a third party evaluation of the operations, including environmental compliance. The results of the evaluation are presented to the Board of Directors for review and comment.

These are either already standard requirements or the least onerous methods of evaluating compliance:

- **audits**
- **inspections**
- **product records**
- **management review**