

My Company, Inc.

Records Management Policy

As of [insert last approval date]

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1. PURPOSE

My Company, Inc. (MYCO) is committed to effective records management including meeting legal standards for record retention and protection of confidentiality, optimizing the use of space, minimizing the cost of record retention, and properly destroying outdated records. Because records may sometimes relate to threatened or contemplated litigation or government investigations, audits, or inquiries, this Policy also provides a mechanism for immediately stopping any scheduled discarding of all such records.

2. WHAT IS RECORDS MANAGEMENT?

Records management is the field of management responsible for the systematic control of the maintenance, use, preservation, and disposition of business records. From the corporate perspective, it is the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved in records maintenance, use, preservation, and disposition in order to achieve adequate and proper documentation of the policies and transactions of MYCO.

Records management is not limited to paper records, but includes electronic records and other documentary materials regardless of physical form or characteristics. (See Section 7 entitled, "What are Records?")

Records management addresses the life cycle of records, which usually consists of moving information from creation and capture, to management, to sharing and collaboration, to publication, and to archival or disposal.

3. WHAT ARE THE BENEFITS OF RECORDS MANAGEMENT?

Records and information are corporate assets and are to be valued and managed accordingly and in compliance with all applicable laws and regulations. The growth in the volume of information, the need for MYCO to differentiate itself through the creation and protection of intellectual capital, and legislation that requires pharmaceutical companies to provide auditable records and comply with regulatory requirements have made records management an imperative for MYCO. Some of the benefits of records management are that it:

- Organizes knowledge to allow information to be shared and to enable MYCO to make better business decisions;
- Maximizes available workspace in development laboratories;
- Protects records from inappropriate and unauthorized access;
- Facilitates effective and consistent performance of activities throughout the company;
- Provides continuity in the event of a disaster;

- Prepares the company to respond quickly and accurately to any inquiry, investigation, or litigation; and
- Meets statutory and regulatory requirements regarding archival, audit, product safety, privacy, and corporate governance activities.

4. TO WHOM DOES THE POLICY APPLY?

Every employee, officer, and director must comply with this policy. Likewise, anyone who suspects a violation of this policy must report it to the Records Officer.

5. WHO IS THE RECORDS OFFICER?

The VP of Information Technology and Operations serves as the Records Officer and is responsible for coordinating MYCO's compliance with this policy.

5.1. WHAT ARE THE RESPONSIBILITIES OF THE RECORDS OFFICER?

The Records Officer is responsible for coordinating MYCO's compliance with this Policy. Employees should direct any questions or comments about this Policy to him. More specifically, the Records Officer is responsible for:

- Circulating, at least annually, updates and/or reminders of this Policy's key provisions to all employees;
- Ensuring, at least annually, that all employees screen and discard business records in accordance with the procedures set forth in this Policy;
- Consulting with counsel to determine when the preservation of records must be imposed, working with the Chief Compliance Officer to promptly notify affected employees of the need to halt scheduled discarding, coordinating all efforts to ensure compliance with such a hold, and making a written record of all such efforts;
- Reviewing and, if necessary, recommending revisions to this Policy or the Records Management Schedule;
- Developing and maintaining any necessary records management forms, including forms to accommodate storage, retrieval, and permissible destruction of records pursuant to this Policy;
- Establishing procedures for the creation, use, maintenance, safeguarding, and disposition of records, including electronic records;
- Providing management oversight of records management programs throughout the IT Department;

- Monitoring MYCO's information technology system to ensure that it is capable of complete compliance with this Policy and, when necessary, making recommendations on requests for the funding and acquisition of system upgrades to ensure continued compliance;
- Generating management systems and procedures to ensure that officials and employees do not destroy, mutilate, or remove business records from MYCO custody without appropriate authorization;
- Appointing and supervising Records Managers within various departments as necessary to implement this Policy; and
- Serving as the primary contact for employee questions and communications about this Policy.

6. WHO REPORTS TO THE RECORDS OFFICER?

While every employee must adhere to the Records Officer's instructions regarding records management, he will work directly with the Vice President of Information Technology and Operations as well as the Records Managers within each department to implement this Policy.

6.1. WHAT ARE RESPONSIBILITIES OF THE CHIEF COMPLIANCE OFFICER?

The Chief Compliance Officer plays an integral role in the records management process. He is responsible for:

- Ensuring that this Policy complies with all necessary laws, rules, standards, or regulations. Establishing procedures for the creation, use, maintenance, safeguarding, and disposition of records, including electronic records;
- Distributing a copy of this Policy to all existing employees via e-mail and followed-up with an in-person rollout presentation. For new employees, this Policy will be distributed as part of the New Hire Orientation Materials. Each employee must execute a certification that he/she has reviewed the policy and will abide by it;
- Addressing the application of this Policy to any situation involving an employee who leaves MYCO's employ for any reason;
- Consulting with counsel to determine when the preservation of records must be imposed, working with the Records Officer to promptly notify affected employees of the need to halt scheduled discarding, and assisting in coordinating all efforts to ensure compliance with such a hold; and
- Reviewing and, if necessary, recommending revisions to this Policy or the Records Management Schedule.

6.2. WHAT ARE THE RESPONSIBILITIES OF THE RECORDS MANAGERS?

The Records Officer is responsible for appointing Records Managers within various departments who will ensure the effective management of that department's records, including training, and coordinate its activities with the Records Officer.

7. WHAT ARE RECORDS?

While this may seem like a straightforward question, the answer has grown more complex. Typical records management requirements generally fall under the regulatory or quality management umbrella, but recent changes in eDiscovery law as well as general good corporate governance practices require a holistic approach to records management. As such, this Policy defines "records" as all forms of communication, data or information relating to MYCO or its business. Records include both hard copies and anything stored in electronic format. The most typical types of records are:

- Paper documents, files, and notes;
- E-mails and instant messages;
- Voice mail messages;
- Documents, files, data, or information stored electronically on computers (including the metadata for electronically stored records), hard drives, disks, CD-ROMs, DVDs, any other external drives or storage devices, servers, back-up tapes, or Blackberries (or any other similar personal data storage and communication device);
- Microfilm and Microfiche;
- Videotapes, cassette tapes, CDs, and DVDs

This Policy applies to all MYCO records wherever kept, including those residing or retained outside of MYCO, such as records kept at Contract Research Organizations' ("CRO") facilities, at third-party storage vendors (e.g., Iron Mountain), at the offices of any third-party consultants, at employees' homes, or even on employees' home computers.

7.1. WHAT ARE PERSONAL PAPERS?

Personal papers are those of a private or unofficial nature pertaining solely to the employee's personal affairs. An employee should minimize the volume of personal papers that are maintained in the office, and personal papers should be filed separately so that they can be clearly distinguished from the records of the office. However, you may not categorize business records as "personal" in an attempt to exempt those records from this Policy. Specifically, electronic mail and appointment calendars relating to business activities, notes of business activities, extra copies of business correspondence (including those with notes or other comments in the margins), business-related voice mails and the like are Company records

covered by this Policy. These records must be retained and, if appropriate, discarded according to this Policy and the attached Records Management Schedule.

8. WHAT IS THE RECORDS MANAGEMENT SCHEDULE?

The Records Management Schedule is a document that, consistent with legal authority, provides for the retention and disposition, including discarding, of recurring or nonrecurring records of MYCO. The record descriptions on the schedule contain sufficient detail so that it is clear which records are covered but are described with sufficient generality such that minor changes in the records will not require amending the schedule. A copy of the Records Management Schedule accompanies this Policy. If you do not have a schedule or have questions about it, please contact the Records Manager assigned to your department or the Records Officer.

9. FOR HOW LONG SHOULD RECORDS BE RETAINED?

The retention period for records depends upon the contents of each record. There is not a single retention period for all records. Some may be discarded immediately or after a short period, others must be retained for many years, and still others will warrant permanent retention. The determination of the appropriate retention period is the result of the legal requirements pertaining to each record and MYCO's business needs. If a record falls into two or more categories listed on the Records Management Schedule, it should be kept for the longest applicable period. To the extent possible and practical, all related records with identical retention periods should be stored together. (See Section 10 entitled, "Where Are Centrally Filed Records Kept?"). If you ever have any question about how a record should be categorized within the Records Management Schedule or how long it should be retained, you must contact the Records Officer to resolve the issue before discarding or deleting the record in question.

Some records must be kept permanently. These records must be clearly designated as "Permanent Records," and segregated in a way that protects them from inadvertently being altered or discarded.

MYCO may, in exceptional circumstances, retain records longer than the period set out in the Records Management Schedule. The Records Officer is responsible for deciding whether to so extend any retention period and for communicating that decision to all affected employees.

10. WHERE ARE CENTRALLY FILED RECORDS KEPT?

Certain records must be filed in MYCO's centralized locations. These records include regulatory files and drug safety records as well as certain corporate files.

10.1. [INSERT TYPE OF DOCUMENTS] – [INSERT LOCATION ONE]

All records containing [insert type of documents] should be retained [insert location]. The corresponding Records Manager for these departments shall ensure that they are maintained in

accordance with this Policy. Please contact the Records Manager with any questions about what should and should not be retained in these first floor cabinets.

10.2. CORPORATE FILES – [INSERT LOCATION TWO]

Certain confidential records and key agreements must be retained in [insert location]. This includes, but is not limited to, financial statements and other documents filed with the Securities and Exchange Commission, certain Employment Agreements, Master Services Agreements, and [insert other relevant documents]. The Corporate Secretary will serve as the Records Manager for these records and will ensure that they are maintained in accordance with this Policy. Please contact the Records Manager with any questions about how a record should be categorized or whether or not the record is a corporate file that should be centrally retained in this area.

11. HOW SHOULD I REVIEW, RETAIN AND/OR DISCARD RECORDS?

All records, documents, and information shall be managed and retained in a manner that protects the integrity of the information and at the same time ensures appropriate access. Records, documents, and information shall be retained in accordance with MYCO's Records Management Schedule subject to any hold orders, laws, or regulations. Records that have reached the end of their retention period shall be deleted or destroyed in compliance with this Policy, subject to any hold orders, laws or regulations. Guidelines for the reviewing, retaining, and discarding of records are outlined in Sections 11.1 and 11.2, below.

11.1. MANAGING THE RETENTION OF HARD COPY RECORDS

The Records Officer will schedule and oversee, at least annually, a records review day for each office or department. On that day, review, storage, and destruction of records shall proceed as follows. You must review all of the records in your office, work area, or possession to determine whether those records must be retained or discarded in accordance with this Policy and the Record Management Schedule. More specifically, the principles outlined below must be followed.

- (i) Records relating to completed matters, inactive matters, or records which are not used or referenced with sufficient frequency to warrant having them immediately accessible, must be centrally stored or sent off-site. Records that meet these criteria must be sorted into files or boxes according to their record type as set forth in the Records Management Schedule. Each file or box must contain records of the same type, with the same destruction date. Each file or box must then be labeled with the record type that it contains, and the destruction date for those records. These files and boxes may then be sent to a central storage location or off-site.

- (ii) All records that are centrally stored in the centralized filing cabinets on the first and second floors must be reviewed by the applicable Records Managers and stored or destroyed in accordance with this Policy.
- (iii) Records that have reached the end of their retention period, as set forth in the Records Management Schedule, must be discarded by either recycling or shredding all hard copies or, in coordination with MYCO's Information Technology department, by appropriately deleting all electronically stored records. This need not occur exactly on the end-date identified in the Records Management Schedule, but may occur as part of the next scheduled records review day.
- (iv) When discarding sensitive or confidential information, please use your best judgment as to whether shredding of the documents is required.
- (v) Unless they are needed for independent business purposes, no copies or drafts of records should be retained longer than the original records.
- (vi) NO RECORDS MAY BE DISCARDED UNDER THE CIRCUMSTANCES OUTLINED IN SECTION 12 ENTITLED "WHEN IS IT FORBIDDEN TO DISCARD RECORDS?"
- (vii) If you have any questions about whether or not to discard a record, it must not be discarded. Instead, you must consult with the Records Manager and/or the Records Officer to resolve your questions.

11.2. MANAGING THE RETENTION OF ELECTRONIC RECORDS

Electronic records are informational files or data files that are created and stored in digitized form through the use of computers and applications software. In managing electronic records, metadata must be captured along with electronic records to enable them to be understood and to support their management and use. The Vice President of Information Technology must ensure that metadata is captured and preserved in the same manner and for the same duration as the electronic records themselves. Electronic records, wherever located, shall be reviewed in the same manner as hard copies, as described above. Electronic documents or data that have exceeded their retention period in the attached Records Management Schedule must be deleted.

11.2.1 Managing the Retention of Electronic Mail

The person who transmits an e-mail message is responsible for retention of that message in accordance with retention guidelines described herein. The nature of e-mail communications allows us to use the retention periods in the Records Management Schedule for all records transmitted by e-mail. Employees should be aware that e-mails will be automatically deleted from their general Inbox and from their Deleted and Sent Items folders after 60 days. However, e-mails placed in any subfolder or archived within e-mailing software will not be subject to the automatic deletion policy. As such, when it is necessary to retain a particular e-mail pursuant to

the attached Records Management Schedule, the employee should either archive the message or place it in a subfolder. If any employee has any questions about how to save e-mails in compliance with this Policy, the employee should contact the Records Officer. E-mails retained in a hard copy form, archived, or in an electronic subfolder must be reviewed and, if appropriate, discarded, according to the procedures above.

11.2.2 The Role of Back-Up Tapes

Employees should be aware that back-up tapes are not used for general retention purposes, and must not be relied on by any employee for compliance with the retention provisions in this Policy and the Records Management Schedule. Back-up tapes are for disaster recovery purposes only, and they are not designed or kept in order to accommodate the storage or retrieval of records for general business purposes.

12 WHEN IS IT FORBIDDEN TO DISCARD RECORDS?

From time to time, MYCO may need to ensure that certain records are not destroyed. This Section identifies the circumstances under which certain records must be preserved. The Records Officer will provide written or e-mail notice, known as a hold, to all affected employees when records must be preserved pursuant to this Section. If you receive such notice and believe that fellow employees who have not received the notice may have relevant records, please immediately inform the applicable Records Manager and the Records Officer.

12.1 RECORDS RELATED TO A SUBPOENA OR INVESTIGATION

As soon as you become aware that records may relate to a threatened, anticipated or actual government inquiry, investigation or matter, or any internal investigation conducted or initiated by MYCO, you must not discard, conceal, falsify or alter any such record. Even if a record does not directly relate to any such inquiry, investigation, or matter, discarding, concealing, falsifying, or altering any such record even in contemplation of such an inquiry, investigation, or matter is **ABSOLUTELY FORBIDDEN**.

These circumstances may include, but are not limited to, when MYCO or one of its employees receives a subpoena or other formal request for records in a government inquiry, investigation, or matter, or in a criminal, civil, or administrative proceeding or matter, or when MYCO engages outside counsel to conduct an internal investigation. Discarding, concealing, falsifying or altering any record called for by, or related to, the subject matter of such a subpoena, request, or investigation is **ABSOLUTELY FORBIDDEN**. And again, even if a record does not directly relate to that subpoena or investigation, discarding, concealing, falsifying, or altering any such record even in contemplation of the investigation or subject matter of the government inquiry that gave rise to that subpoena is **ABSOLUTELY FORBIDDEN**.

It is important to keep in mind that MYCO does not have to be the target of the inquiry or investigation for this Section's provisions to apply. The provisions of this Section apply equally to an anticipated or actual government inquiry or investigation into MYCO or a third party.

12.2 RECORDS RELATED TO ANTICIPATED OR ACTUAL LITIGATION

Some records may relate to actual or anticipated lawsuits in which MYCO already is, or likely may become, a party or witness. You must follow all of the procedures outlined in Section 12.1 of this Section with regard to such records, meaning that discarding, concealing, falsifying or altering any such records is ABSOLUTELY FORBIDDEN.

12.3 REPORTING KNOWLEDGE OF ANY ANTICIPATED OR ACTUAL INQUIRIES, INVESTIGATION, OR LITIGATION

If an employee learns of any threatened, anticipated, or actual litigation or government investigation, he or she must immediately notify the Records Officer and refrain from discarding, concealing, falsifying or altering any record in your possession that may be related to that litigation or investigation, or from discarding, concealing, falsifying or altering any record in his or her possession in contemplation of that litigation or investigation.

13 WHAT IS A HOLD AND WHAT SHOULD I DO WHEN I AM NOTIFIED ABOUT A HOLD?

In records management, a hold is an action suspending a document's disposition so that it remains preserved and protected until the hold is lifted by the Records Officer. A hold is most often placed when events such as litigation, audits, or investigations are anticipated or occur. When you are notified that a hold is in place, you must take every effort to preserve the retention of all relevant records.

13.1 DO NOT DELETE ELECTRONICALLY STORED RECORDS

This Section applies equally to all records stored in electronic form. In managing electronic records, metadata must be captured along with electronic records to enable them to be understood and to support their management and use. The Vice President of Information Technology must ensure that metadata is captured and preserved in the same manner and for the same duration as the electronic records themselves. Employees must stop deleting records stored in electronic form, including e-mail, if they receive a notice to preserve as described in this Section. MYCO's Information Technology department must also ensure that any automatic deletion of e-mail is suspended while relevant records are located and secured. As stated in this Policy, MYCO maintains back-up tapes for disaster recovery purposes only, and not for the storage and retrieval of records.

The routine overwriting of back-up tapes must cease if (a) the backup tapes contain information related to an actual or anticipated government inquiry, investigation or subpoena, or any civil litigation, or any internal Government investigation, and (b) the information on the tapes is not already stored in some other form, including hard copies or electronically retrievable files. In addition, overwriting backup tapes as a means of destroying any information in contemplation

of such an inquiry or investigation, based on the belief that the information on that tape is not already stored in hard copy or in some other form, is also ABSOLUTELY FORBIDDEN.

13.2 SEARCH, STORE, AND FORWARD ALL RELEVANT RECORDS

Whenever you are notified that the discarding of records must stop pursuant to this Section, you must immediately search all paper and electronic records in your possession or custody to determine if you have any relevant records that must be preserved. The Records Managers that oversee centrally retained records must search any centrally stored files of their departments, as well as files of departed employees of the department, to locate any relevant records that must be preserved. The Records Officer must search any of MYCO's other centrally stored files to locate any relevant records that must be preserved. All such relevant records then must be sent or forwarded to a separate, secure location designated by the Records Officer. If reference to these records is needed for ongoing business operations, you may make a copy of the relevant record for that business use only. If you know of the existence of a relevant record, but you are unable to locate it, you must immediately notify the Records Officer or your department's Records Manager. From time to time, the Records Officer or your department's Records Manager will follow up with you to ensure your compliance with your obligations under this Section.

13.3 NOTIFY THIRD PARTIES IN POSSESSION OF RELEVANT RECORDS

If the Records Officer has placed a hold pursuant to this Section, the Records Officer, working with relevant Records Managers, must identify all third parties (e.g., storage vendors or any third-party consultants) that may have copies of any relevant records still within MYCO's control. The Records Officer must contact these third parties and notify them that any relevant records still within MYCO's control (a) must not be discarded, altered, or falsified, and (b) must be returned to MYCO.

13.4 ALWAYS ERR ON THE SIDE OF PRESERVATION

If you have any question about (a) whether a record relates to any relevant government investigation, inquiry, matter or subpoena, or internal MYCO investigation; (b) whether any such investigation, inquiry or matter is threatened or anticipated; (c) whether a record relates to any relevant litigation in which MYCO is a party or witness; or (d) whether any such litigation is threatened or anticipated, you must not discard or alter any record in question until you receive specific guidance from the Records Officer. If you have questions about the storing or forwarding of electronic records, please immediately contact the Records Officer for assistance.

14 FOR HOW LONG CAN A HOLD EXIST?

The length of time for a hold will vary greatly depending upon the particular circumstance. It is the Records Officer's responsibility to manage any holds. The Records Officer will notify you in

e-mail or in writing when a hold is lifted. At that point in time, and only then, can you return to the normal review, retention and discard provisions of this Policy.

15 WHAT HAPPENS WHEN AN EMPLOYEE LEAVES THE COMPANY?

When an employee permanently leaves MYCO, certain efforts must be instituted to ensure that MYCO protects and preserves any necessary information and records.

15.1 HOW WILL HR MANAGE PERSONNEL AND EMPLOYMENT RECORDS OF FORMER EMPLOYEES?

Personnel and employment records related to a departing employee must be placed in a file clearly marked with the employee's name and date of separation, and forwarded to the Records Officer for storage in a secure location. All stored personnel or employment records shall be reviewed by the Records Officer annually, and destroyed or retained in accordance with the Records Management Schedule.

15.2 WHAT ARE AN EMPLOYEE'S OBLIGATIONS UNDER THIS POLICY IF HE/SHE LEAVES MYCO?

Any employee who permanently leaves MYCO must turn over all business-related records in his/her possession or control. These records must not be stored off-site or destroyed simply because the employee is leaving, but must be stored or destroyed only as called for by this Policy. In addition, no employee leaving MYCO may conceal or alter any records nor may they carry any records or copies away from Company property without prior written permission from the Chief Compliance Officer.

When an employee leaves MYCO, records that had been in his or her possession (including lab notebooks) should be stored in a secure location on-site. During each department's records review day, the Records Officer will assign an individual to sort through and review that employee's records according to the procedures set forth in Section 11.

16 EMPLOYEES' DUTY TO MAINTAIN THE CONFIDENTIALITY OF BUSINESS INFORMATION

Each employee is responsible for maintaining the confidentiality of MYCO's records and information pursuant to Section III(B) of MYCO's Corporate Code of Conduct and Ethics. Nothing in this Policy should be read as altering or modifying any of those obligations. Please follow Section 11.1(iv) of this Policy regarding employee obligations when discarding certain confidential information.

17 POLICY LIMITATIONS, REVIEW AND APPROVAL

17.1 POLICY LIMITATIONS

Nothing in this Policy alters in any way an employee's employment status with MYCO, or limits any obligation or responsibility an employee may have to the company.

17.2 CHANGES TO THE POLICY

Occasionally, this Policy and/or the Records Management Schedule may need to be amended due to changes in MYCO's operations or the law. All changes to this Policy or the Records Management Schedule must be approved by the Records Officer. Upon such changes, the Records Officer promptly will provide all employees with revised versions of this Policy, prefaced by a written explanation of the specific changes. The latest amendments and future review dates will be tracked so that MYCO can ensure that every employee is in compliance with the latest version of the policy. All questions about this Policy, the Records Management Schedule, or any amendments thereto, should be directed to the Records Officer.

Work Type	Date
Origination Date	
Last Amended Date	
Next Review Date	

17.3 POLICY APPROVAL

The Records Officer approved this version of the Policy on _____.

My Company, Inc.

Records Management Policy

EMPLOYEE CERTIFICATION

I hereby certify that I have received and read the Records Management Policy and the attached Records Management Schedule. I understand the Policy and I agree to abide by it.

Signature _____

Print Name _____

Title _____

Department _____

Date _____

Please return the signed original of this Employee Certification to the Records Officer.