Retention Schedule Development Project – Oklahoma County, OK

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Iron Mountain® Policy Center Solution Recap

Policy Center is a modern cloud-based research authoring and distribution platform that is tightly integrated with Global Research:
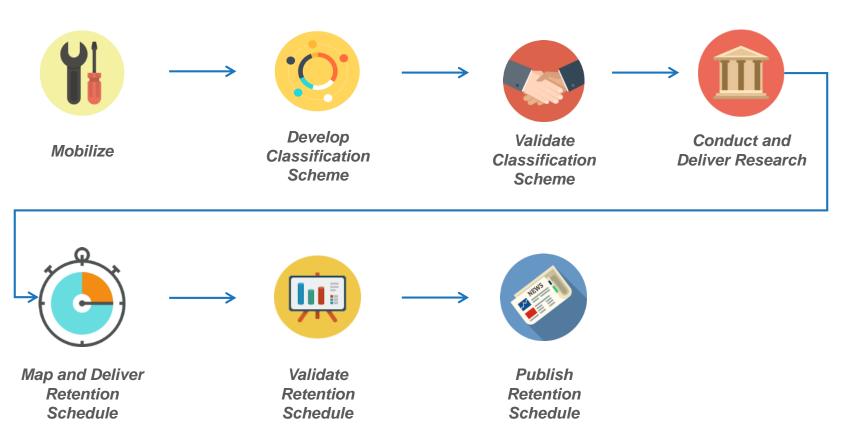
- Understand and interrogate legal and regulatory requirements with advanced filtering and searching

- Associate granular legal citations directly with your retention schedule class scheme

- Overcome the limitations of flat retention schedules with the ability to map your org structure, data locations, stewards, custodians

- Meet defensibility requirements with a full audit trail

- Integrate with your IT infrastructure through directory access and single sign-on capabilities

- Systematically share your retention schedules with your content infrastructure through a standardized integration connector

Engagement Approach

Project Methodology Overview

Mobilize → **Develop Classification Scheme** → **Validate Classification Scheme** → **Conduct and Deliver Research** → **Map and Deliver Retention Schedule** → **Validate Retention Schedule** → **Publish Retention Schedule**

Task 1: Mobilize

Description	Activities
• Create a collaborative planning process that ensures that our two organizations are working in concert throughout the project's lifecycle. • Agree to the end state of the retention schedule based on its intended use and legal underpinnings.	Kick-Off Meeting • Develop comprehensive business profile with detailed business activities and decision framework • Deliver the engagement PCS instance and create initial set of users • Import Customer's existing Records Retention Schedule (RRS) (If applicable) • Develop Project Plan and delivery schedule

Work Products and DELIVERABLES	
1. Design Decisions Document	3. Final Business Profile (Footprint)
2. Legal Decision Framework Document	4. Engagement instance of PCS

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Mobilize Takeaways

- Technical Initiation Tasks
  - Engagement PCS Instance Standup

- Project Planning and Management
  - Kickoff Meeting
  - Project Planning

Customer Participation:

- Identify records management project team members and their roles.

- Designate executive sponsorship and design authority.

- Contribute to and approve the project plan.

- Provide a functional list of Customer project participants

- Provide business profile information as requested and confirm business and legal scope.

- If applicable, provide content, in mutually agreeable format, to load to Customer's instance on PCS and validate.

Task 2: Develop Classification Scheme

Description	Activities
• Vet Customer legacy file plans and records inventories against our Core Business and Industry taxonomy accelerators (If applicable) • Develop functional classification taxonomy • Map the legacy retention schedule detail into the newly proposed draft records classification scheme (If applicable)	• Renovate the Record Class Taxonomy (add, combine, delete) • Revise and augment data supporting the taxonomy (descriptions, record types, etc.) • Schedule workshops with Oklahoma County end users to identify categories and types of records unique to the County's business activities

Work Products and DELIVERABLES	
1. **Draft Classification Scheme**	2. **Taxonomy Mapping Report**

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Develop Classification Scheme Takeaways

- Deliverable is an initial draft of a classification scheme
  - Structure of the retention schedule – describes and classifies records into big buckets
  - Based on our industry accelerators (or templates)
  - Informed by what we know about the client and/or their legacy retention schedules (if applicable)
  - This is the basis of records retention schedule

Customer Participation:

- Participate in workshops to identify unique records categories/types which are specific to Oklahoma County departments and business functions
- Participate in initial overview of Policy Center subscription features
- Review and approve draft records classification scheme

Task 3: Validate Classification Scheme

Description	Activities
• Ensure that the classification scheme is complete, useable and understandable, and identifies unique record types and records classes specific to your business • Validate and socialize the taxonomy with user groups and stakeholders	• Conduct reviewer workshops to guide users through the review and validation process • Facilitate reviewers comments and requests for changes to the Draft Classification Scheme • Incorporate reviewer input and deliver Final Classification Scheme.

Work Products and DELIVERABLES

1. **Final Classification Scheme**

Validate Classification Scheme Takeaways

- Opportunity to involve stakeholders and invite them to provide feedback on the draft classification scheme
    - Workshops introduce them to the material and the system
    - Time period for stakeholders to review and provide feedback in the system
    - Iron Mountain reviews feedback and incorporates in consultation with client project managers.

Customer Participation:

- Identify reviewers for participation in reviewer workshop sessions and validation input.

- Have reviewers input comments and change requests into PCS.

- Review and approve final classification scheme.

Task 4: Conduct and Deliver Research

Description	Activities
• Fulfill the primary research requirements as identified and documented • Configure Global Research subscription service for delivery to the engagement instance of Policy Center • Verify that the in-scope Legal data was delivered to engagement instance of Policy Center	• Utilize the cloud-based research authoring and distribution Policy Center platform with supporting Global Research services • Curate legal research to support the formation of the classification scheme and corresponding retention information. • Conduct additional research if necessary to fully meet Customer's business and jurisdictional scope • Deliver primary research tailored to Customer business profile

Work Products and DELIVERABLES
1. **Primary research subscription for in-scope jurisdictions**

Conduct and Deliver Research Takeaways

- Legal research process
  - Includes delivery of "on the shelf" research
  - Includes original legal research efforts, if required
  - Includes delivery of in scope citations to engagement PCS instance for mapping

Customer Participation:

- Confirm delivery of the in scope legal research to the Customer instance of PCS.

Task 5: Map and Deliver Retention Schedule

Description	Activities
• Prepare a draft record retention schedule by associating relevant law and regulation to the records classification scheme and propose retention rules based thereon • Electronically map individual citations to the records classification scheme resulting in retention and limitation requirements being mapped to relevant record classes	• Associate Iron Mountain tag groups to Customer record classes • Review, update and edit citation mappings • Develop retention rules • Prepare a final validation presentation to stakeholders

Work Products and DELIVERABLES
1. **Draft Retention Schedule**

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Map and Deliver Retention Schedule Takeaways

- Association of legal research citations (from Task 4) to classification scheme (Tasks 2 and 3)

- Retention rule (or retention period) recommendations based on the legal research citation associations and customer preferences

Customer Participation:

- Respond to questions arising from the mapping and rule setting.

Task 6: Validate Draft Retention Schedule

Description	Activities
• Validate the draft retention schedule with business and legal stakeholders • Ensure that the final recommendations adhere to risk tolerance and business requirements of Customer	• Conduct virtual workshops with Customer legal, compliance and business participants to explain retention and solicit feedback. • Facilitate reviewers input of comments and desired changes into Policy Center • Incorporate feedback and finalize the Customer record retention schedule

Work Products and DELIVERABLES
1. **Final Retention Schedule**

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Validate Retention Schedule Takeaways

- Similar to validation of classification scheme
  - Now, however, we are also looking at the legal research support and retention rules
  - Typically, this phase also includes legal and compliance representatives accordingly.
- Once validation is complete, the retention schedule is finalized.
- Publish the retention schedule in the preferred format.

Customer Participation:

- Identify reviewers for participation in reviewer workshop sessions and validation input.
- Review and approve Final Record Retention Schedule.

Assumptions

The estimated pricing and timeline for this project is based on the following assumptions:

- <u>The scope of the Customer business and jurisdictional 'footprint' is the core business functions for the jurisdictions shown on the following slide. This assumption will be validated as part of further analysis.</u>

- All work will be conducted remotely, unless requested and pre-approved by the Customer.

- Customer subject matter and legal experts will provide their validation input of the retention schedule online, via the PCS platform.

- Customer will provide a part-time project manager to this project.

- Customer will participate promptly in the project tasks as set forth in the Process and Methodology Overview section above.

- Iron Mountain will adjust the level of granularity in the records classes by proposing the use of 'big buckets' where appropriate.

- Pricing is in $USD

- Pricing for the Policy Center and Global Research platforms require a (3) Three Year subscription

- Proposal remains valid for a period of 60 days from issuance to client.

Assumptions – Jurisdictions & Industries In Scope

The jurisdictions shown in this table represent the agreed upon scope for retention research.

US (Federal) + State of Oklahoma

The industries shown in this table represent the agreed upon scope for retention research.

General Business Rules
Government

Thank you

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