

Sunovion

Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
ACC1000	<p>Accounting / Finance Planning Budgets, Forecasts & Financial Plans</p> <p>Reports related to reports that provide useful accounting information to management. Includes aging and distribution reports. Also includes reports and documents providing useful financial information to management. Does not include invoices, sales orders, cash receipts, or financial reporting for physician gifts.</p> <p>See ACC1020 for Accounts Payable / Accounts Receivable. See ACC1280 for Financial Management Reporting - Healthcare Providers/Entity Expenditures.</p> <p>Examples:</p> <ul style="list-style-type: none"> Accounts Payable Aging Reports Accounts Payable Analysis Reports Accounts Payable Distribution Reports Accounts Receivable Aging Reports Accounts Receivable Analysis Reports Accounts Receivable Distribution Reports Cash Disbursement Schedule Reports Cost Audit Reports Key Indicators Monthly Reports Performance Summary Reports Quarterly Statistics Reports 	3	Retain these records only as long as they are needed, up to a maximum of three years. These records may then be destroyed.

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ACC1020	<p>Accounting / Finance Accounting Accounting Records, Data & Support Documents</p> <p>Records related to the accounts payable and accounts receivable function. Includes payment of financial obligations, petty cash, the management and distribution of commissions, employee relocation expenses, and the management of the employee expense reimbursement function. Also includes sales orders and cash receipts of payments received from customers. Includes customer invoices, monthly customer statements, collection receipts, and cash receipts. These records verify the purchase of goods and services, the accuracy of the invoice, and authorize payment. Includes check requests, vendor invoices, travel expenses, and cash disbursements.</p> <p>Examples:</p> <ul style="list-style-type: none"> Accounts Payable Reconciliations Accounts Payable Vouchers Accounts Receivable Reconciliations Billing Files Cash Disbursements Cash Receipts Check Requests Collection Receipts Credit Card Statements Customer Invoices Customer Statements Employee Expense Reports Employee Relocation Expenses Expense Receipts Invoices Material Receipts Payables Payment Authorizations Petty Cash Receipts Royalty Payments Travel Expenses 	6	The retention period begins the date the record is created.

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ACC1040	<p>Accounting / Finance Accounting Bad Debts and Collections</p> <p>Records related to the monitoring, collecting, and writing off of bad debts. Includes collection records and uncollectible accounts.</p> <p>Examples:</p> <ul style="list-style-type: none"> Charge-Off Records Collection Records Uncollectible Accounts 	6	The retention period begins the date the record is created.
ACC1060	<p>Accounting / Finance Accounting Transactions Cash Management</p> <p>Records related to the analysis, forecasting, and disposition of cash balances. These records are used to determine actual and future cash balances, as well as records related to the analysis of borrowing strategies, investment strategies, and float trends. Includes cash forecasting records, cash investment analysis, and cash management reviews.</p> <p>Examples:</p> <ul style="list-style-type: none"> Cash Forecasting Records Cash Investment Analysis Cash Management Reviews Float Management 	6	The retention period begins the date the record is created.
ACC1080	<p>Accounting / Finance Accounting Cost Accounting</p> <p>Records related to evaluation, documentation, and analysis of the costs of products or services sold. These records detail total production costs (direct labor costs, fixed and variable overhead costs) and production output. Includes cost summaries, production cost analyses, and inventory reports. May also include records related to projects and production-related costs of products sold.</p> <p>Examples:</p> <ul style="list-style-type: none"> Cost of Sales Reports Cost Summaries Delivery Schedule Reports Forecast Cost Reports Inventory Reports Labor / Overhead Cost Reports Material Cost Summaries 	6	The retention period begins the date the record is created.

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ACC1100	<p>Accounting / Finance Managing Credit Customer Credit and Financing</p> <p>Records related to approved customer credit applications, agreements, and financing arrangements. Includes bank letters of credit, approved/denied credit applications, credit reports, and customer financial information.</p> <p>Examples:</p> <ul style="list-style-type: none"> Approved Credit Applications Bank Letters of Credit Collateral Documents Credit Agreements Credit Reports Customer Credit References Customer Financial Information 	ACT+6	Active while the customer relationship exists. The retention period begins when the relationship terminates.
ACC1120	<p>Accounting / Finance Managing Credit External Financing</p> <p>Records related to major financing efforts and the application, issuance, and management of loans. Includes initial public offering (IPO) records, debt offerings, bonds, debenture ledgers, sinking funds, lender reports, and letters of credit.</p> <p>Examples:</p> <ul style="list-style-type: none"> Bank Financing Records Bonds Certificate Transfers Debenture Ledgers Debt Issuance Records Debt Offerings External Financing Records Industrial Revenue Bonds Initial Public Offering (IPO) Lender Correspondence Lender Reports Letters of Credit Loan Workpapers Loans Notes Receivable Sinking Funds 	ACT+6	Active for the life of the financing efforts. The retention period begins when these efforts have been concluded.

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ACC1125	<p>Accounting / Finance Managing Credit Credit Collection and Adjustments</p> <p>Credit investigations, credit reports and case files pertaining to customers and potential customers and Credit & Debit memos for account adjustments.</p> <p>Examples:</p>	6	Active for the life of the financing efforts. The retention period begins when these efforts have been concluded.
ACC1130	<p>Accounting / Finance Managing Credit Load Agreements</p> <p>External bonds, Interest Bearing Call Accounts (IBCA's), and internal bonds.</p> <p>Examples:</p>	ACT+6	Active for the life of the financing efforts. The retention period begins when these efforts have been concluded.
ACC1140	<p>Accounting / Finance Accounting Intercompany Accounting</p> <p>Records related to the review and management of the intercompany accounting process. Includes intercompany account summaries, reconciliations, and transmittals.</p> <p>Examples:</p> <p style="padding-left: 40px;">Account Summaries - Intercompany Account Transfers - Intercompany Reconciliations - Intercompany</p>	6	The retention period begins the date the record is created.
ACC1160	<p>Accounting / Finance Managing Cash Banking Records- Accounting Forecasting & Rating</p> <p>Records related to the set-up and management of bank accounts. Includes bank account files, account set-up documentation, and signature cards.</p> <p>Examples:</p> <p style="padding-left: 40px;">Bank Account Files Bank Account Maintenance Bank Account Set-Up Documentation Signature Authorizations</p>	ACT+6	Active for the life of the account. The retention period begins when the account is closed.

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ACC1180	<p>Accounting / Finance Managing Cash Events and Activities</p> <p>Records related to banking activities, including account reconciliations. These records establish the terms and conditions for banking activities, correspondence about the accounts, and analyses and audits of the accounts. Includes deposit slips, cancelled checks, bank account statements, check registers, and wire transfers. Does not include account set-up and management records.</p> <p>See ACC1160 for Banking - Account Set-Up and Management.</p> <p>Examples:</p> <ul style="list-style-type: none"> Bank Account Reconciliations Bank Account Statements Cancelled Checks Cashbooks Check Copies Check Registers Correspondence - Banking Deposit Slips Voided Checks Wire Transfer Notifications 	6	The retention period begins the date the record is created.
ACC1200	<p>Accounting / Finance Cash Management Foreign Exchange</p> <p>Records related to the use of foreign money in settlement of foreign trade. Includes currency exchange records, foreign deal slips and confirmations, and foreign exchange drafts.</p> <p>Examples:</p> <ul style="list-style-type: none"> Currency Buys / Sells Currency Exchange Records Foreign Currency Exchange Foreign Deal Confirmations Foreign Deal Slips 	6	The retention period begins the date the record is created.

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ACC1220	<p>Accounting / Finance Planning Budgets and Financial Forecasts</p> <p>Records related to budgetary planning, financial management, financial planning, and forecasting. Includes budget analysis and data, budget workpapers, capital budgets, foreign exchange analyses, operating budgets, and operating and capital forecasts.</p> <p>Examples:</p> <ul style="list-style-type: none"> Budget Analysis and Data Budget Presentations Budget to Actual Results Budget Workpapers Business Area Profits and Losses Capital Budgets Financial Forecasts Financial Planning Records Foreign Exchange Analyses Monthly Sales Results Operating and Capital Forecasts 	ACT+1	The retention period begins the date the record is created.
ACC1240	<p>Accounting / Finance External Financial Audits External Auditor Oversight / Board Audit</p> <p>Records related to the oversight, monitoring, and management of external financial auditors by the Board Audit Committee, as well as complaints made to the Board Audit Committee regarding external financial audits of accounting practices. Includes audit complaints and Audit Committee responses, external financial audit-related correspondence, Audit Committee papers, and supporting documentation.</p> <p>Examples:</p> <ul style="list-style-type: none"> Audit Committee Papers Board Audit Committee Responses Board Audit Complaints Correspondence 	3	The retention period begins the date the record is created.

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ACC1260	<p>Accounting / Finance External Financial Audits / General Regulatory, Drug Safety, Quality Assurance, & Supply Chain</p> <p>Records related to external financial audits of the Company and its business units. Includes audit workpapers, final audit reports, and related response materials. Does not include external audit oversight or board audit committee complaint records.</p> <p>See ACC1240 for External Financial Audits - External Auditor Oversight / Board Audit Committee Complaints.</p> <p>Examples:</p> <ul style="list-style-type: none"> Audit Workpapers - External Financial Audits Final Audit Reports - External Financial Audits Management Responses - External Financial Preliminary Audit Reports - External Financial 	10	The retention period begins the date the record is created.
ACC1280	<p>Accounting / Finance Financial Management Reporting Healthcare Providers / Entity Expenditures</p> <p>Records related to reports tracking expenditures made to healthcare providers and/or entities including pharmacies, medical schools, hospitals, physicians, nurses, and clinics. These reports may be submitted to the FDA and States.</p> <p>Examples:</p> <ul style="list-style-type: none"> Charitable Contributions Consulting Fees Educational Items Grants Honorarium Fees Physician Gifts Reports Product Samples Supporting Documentation 	10	The retention period begins the date the record is created.

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ACC1300	<p>Accounting / Finance Accounting Financial Statements</p> <p>Financial statements, reports, and background information submitted to government agencies, shareholders, and others. Includes annual reports and financial statements from subsidiaries and divisions. Does not include Securities and Exchange Commission (SEC) filings.</p> <p>See COM1040 for Governmental Compliance and Reporting - General.</p> <p>Examples:</p> <ul style="list-style-type: none"> Annual Reports Consolidated Balance Sheets Financial Statements Financial Statements (except General Ledger) Canada Income Statements 	10	The retention period begins the date the record is created.
ACC1320	<p>Accounting / Finance Fixed Assets Fixed Assets</p> <p>Records related to the purchase, sale, and improvement of real property and equipment, as well as depreciation and amortization. Includes amortization records, fixed asset ledgers, and property disposal records. Does not include contracts related to the purchase and sale of real property.</p> <p>See LEG1100 for Contracts and Agreements - Real Estate Purchase and Sale.</p> <p>Examples:</p> <ul style="list-style-type: none"> Amortization Records Authorization for Capital Expenditures Capital Assets Data (Database) Canada Depreciation Schedules Fixed Asset Ledgers Property Acquired Records Property Disposal Records Property Sold Records 	ACT+6	Active for the life of the asset. The retention period begins upon the sale or disposition of the asset.

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ACC1340	<p>Accounting / Finance Accounting Accounting Projects</p> <p>Records related to general accounting functions not covered elsewhere. Includes special accounting projects and accounting project notes. Does not include payroll or tax accounting.</p> <p>See ACC1460 for Payroll Records - Payroll Accounting and Reporting. See TAX1120 for Tax Accounting.</p> <p>Examples:</p> <ul style="list-style-type: none"> Account Project Records Accounting Project Notes Chart of Accounts Updates 	6	The retention period begins the date the record is created.
ACC1360	<p>Accounting / Finance Accounting All Account Summaries</p> <p>Records related to the general ledger, subsidiary ledgers, the year-end ledger, and trial balances. Includes the actual general ledger that summarizes all corporate accounts and trial balances. Also includes transfer of charges between accounts and summaries of account information.</p> <p>Examples:</p> <ul style="list-style-type: none"> Accounts Payable Journal Entries Accounts Receivable Journal Entries Accruals Adjustments Edit Cycle Records General Ledgers Journal Vouchers Subsidiary Ledgers Suspense Accounting Trial Balances 	10	The retention period begins the date the record is created.

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ACC1380	<p>Accounting / Finance Planning Investment Management</p> <p>Records related to investments in stocks, bonds, and mutual funds. Includes bond issues, financial investment planning, investment performance reporting, and investment transaction lists.</p> <p>Examples:</p> <ul style="list-style-type: none"> Bond Issues Certificates of Deposit (CD) Investment Records Financial Investment Planning Investment Performance Reporting Investment Stock Reports 	ACT+6	Active for the life of the investment account. The retention period begins when the account is closed or superseded.
ACC1400	<p>Accounting / Finance Payroll Payroll Records / Deductions, Taxes, and Withholdings</p> <p>Records related to the federal and state taxes paid, withheld, and reported. Includes federal withholding tax returns, payroll tax data reports, tax workpapers, and W-2 forms. Also includes records submitted to state unemployment divisions. Includes employment and wage information for terminated employees who are requesting unemployment compensation. Also includes records related to the withholding and payment to third parties of amounts garnished from employee wages as required by court order and/or federal levies. Includes garnishment order copies and accounting records. Does not include court orders and levies.</p> <p>See LEG1220 for Garnishment and Levy Orders.</p> <p>Examples:</p> <ul style="list-style-type: none"> Federal Withholding Tax Returns FICA Records Form 941 Quarterly Withholding Tax Returns Garnishment Accounting Court Orders - Copies Garnishment Accounting Reports Information Files Payroll Tax Data Reports State Requests for Separation and Wage Tax Withholding Records (NR4) Canada Tax Workpapers Unemployment Forms Unemployment Insurance Workpapers W-2 Forms 	6	The retention period begins the date the record is created.

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ACC1420	<p>Accounting / Finance Payroll Employee Payroll and Direct Deposit Elections</p> <p>Records related to employees enrolled in the direct deposit payroll plan. Includes direct deposit waiver forms, electronic records, and pre-note reports.</p> <p>Examples:</p> <ul style="list-style-type: none"> Direct Deposit Pre-Note Reports Direct Deposit Waiver Forms 	ACT+6	Active while employee information is current. The retention period begins when the employee terminates or changes his or her direct deposit elections.
ACC1440	<p>Accounting / Finance Payroll Employee Time and Attendance</p> <p>Records related to the identification and reporting of hours worked by employees. Includes all timesheets submitted to payroll in order to document hours worked for a particular period, as well as vacation requests.</p> <p>Examples:</p> <ul style="list-style-type: none"> Leave Requests Timecards Timesheets 	5	The retention period begins the date the record is created.
ACC1460	<p>Accounting / Finance Accounting Payroll Accounting and Reporting</p> <p>Records related to payroll accounting records, such as input records, summary statements, payroll vouchers, and payroll history records.</p> <p>Examples:</p> <ul style="list-style-type: none"> Input Records Payroll History Payroll Records Payroll Register Canada Payroll Reporting Payroll Vouchers 	6	The retention period begins the date the record is created.

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ACC1480	<p>Accounting / Finance Accounting Royalty Accounting</p> <p>Records related to royalty payments made to or received by owners of formulas, patents, trademarks, or other intellectual property used under agreement by the company. Includes royalty calculations, royalty payment authorizations, and royalty history files.</p> <p>See ACC1020 for Accounts Transactions - Accounts Payable / Accounts Receivable.</p> <p>Examples:</p> <ul style="list-style-type: none"> Royalty Calculation Records Royalty History Records Royalty Payment Authorizations 	6	The retention period begins the date the record is created.
ACC1500	<p>Accounting / Finance Acquisitions, Mergers, Divestments Acquisitions, Mergers & Divestments</p> <p>Financial documentation and reports related to business or product purchases, sales or joint ventures with other business entities including but not limited to: Acquisitions & Divestitures Financial Record & Documents, Accounting Issues Note (AIN), Acquisition Review and Company Information, Deal Prioritisation Matrix, Finance Implementation Note (FIN), Financial Model, HSR (Hart-Scott-Rodino) Review and Competition Filings, Self Assessment Form, Tax Correspondence, Treasury Correspondence</p> <p>Examples:</p>	ACT+10	The retention period begins the date the record is created.
ACC2000	<p>Accounting / Finance Tax Federal, Foreign and State Tax / Returns</p> <p>Records related to federal, foreign, and state corporate income and franchise tax returns. Does not include audits or appeals or tax workpapers.</p> <p>See TAX1020 for Federal, Foreign, and State Tax - Workpapers. See TAX1140 for Tax Audits and Appeals.</p> <p>Examples:</p> <ul style="list-style-type: none"> Amended Tax Returns Government Remittance Documents Tax Filings Canada 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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ACC2020	<p>Accounting / Finance Tax Federal, Foreign and State Tax / Workpapers</p> <p>Records related to federal, foreign, and state tax related workpapers. Does not include audits or appeals or the actual returns.</p> <p>See TAX1000 for Federal, Foreign, and State Tax - Returns. See TAX1140 for Tax Audits and Appeals.</p> <p>Examples:</p> <p style="padding-left: 40px;">Amended Tax Workpapers</p>	10	The retention period begins the date the record is created.
ACC2040	<p>Accounting / Finance Tax General Tax</p> <p>Record related to miscellaneous taxes, tax returns, and workpapers not covered elsewhere. Includes miscellaneous tax returns. Does not include audits or appeals.</p> <p>See TAX1140 for Tax Audits and Appeals.</p> <p>Examples:</p> <p style="padding-left: 40px;">Disposition / Liquidation Tax Records Internal Control Documentation Merger / Acquisition Tax Records Miscellaneous Tax Returns</p>	10	The retention period begins upon the filing of the tax return.
ACC2060	<p>Accounting / Finance Tax Local and Franchise Tax</p> <p>Records that represent actual tax returns for local and franchise taxes. Includes tax returns and workpapers. Does not include audits or appeals.</p> <p>See TAX1140 for Tax Audits and Appeals.</p> <p>Examples:</p> <p style="padding-left: 40px;">Amended Tax Returns - Local and Franchise Tax Returns - Local and Franchise</p>	10	The retention period begins upon the filing of the tax return.

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ACC2080	<p>Accounting / Finance Tax Property Tax</p> <p>Records that represent actual property tax returns. Includes personal property tax returns, real property tax returns, and supporting workpapers. Does not include audits or appeals.</p> <p>See TAX1140 for Tax Audits and Appeals.</p> <p>Examples:</p> <ul style="list-style-type: none"> Amended Tax Returns - Property Tax Bills - Property Tax Returns - Property 	10	The retention period begins upon the filing of the tax return.
ACC2100	<p>Accounting / Finance Tax Sales and Use Tax</p> <p>Records that represent actual sales and use tax returns. Includes sales and use tax workpapers. Does not include audits or appeals.</p> <p>See TAX1140 for Tax Audits and Appeals.</p> <p>Examples:</p> <ul style="list-style-type: none"> Amended Tax Returns - Sales and Use HST Remittances Canada Tax Returns - Sales and Use 	10	The retention period begins upon the filing of the tax return.
ACC2120	<p>Accounting / Finance Tax Tax Accounting</p> <p>Records related to accounting procedures and materials used to calculate various tax options, enabling the corporation to reduce its tax exposure. Includes tax accounting records.</p> <p>Examples:</p> <ul style="list-style-type: none"> Tax Accounting Records Tax Bills Tax Receipts 	6	The retention period begins the date the record is created.

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ACC2140	<p>Accounting / Finance Tax Tax Audits and Appeals</p> <p>Records related to audits of federal, state, and local tax returns of income, property, sales, and use. Includes audits and appeals, workpapers, details of records requested, audit reports, and settlement agreements.</p> <p>Examples:</p> <ul style="list-style-type: none"> Amended Returns / Claims Audit Workpapers - Tax Audits and Appeals Internal Revenue Service (IRS) Agreements Internal Revenue Service (IRS) Information Requests Notices of Proposed Adjustment and Responses Revenue Agent Reports Tax Appeals Tax Audits 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
ACC2160	<p>Accounting / Finance Tax Tax Planning and Forecasting</p> <p>Records related to internal tax planning and forecasting. Includes planning records and supporting documentation.</p> <p>Examples:</p> <ul style="list-style-type: none"> Supporting Documentation Tax Advice /Planning Tax Calendars Tax Citations Tax Forecasts Tax Planning Records Tax Regulations 	ACT+1	Active while the budget, plan, or forecast is in effect. The retention period begins when the plan or forecast is superseded or becomes obsolete.
ACC2180	<p>Accounting / Finance Tax Tax Reporting</p> <p>Records related to IRS-1099 tax reporting. Includes 1099 reporting records.</p> <p>Examples:</p> <ul style="list-style-type: none"> 1042 Reporting Records 	6	The retention period begins the date the record is created.

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COM1000	<p>Corporate Compliance Auditing Financial Audits</p> <p>Records related to internal financial audits of the Company and its business units. Includes audit workpapers and related response materials. Does not include Sarbanes-Oxley Testing.</p> <p>See COM1020 for Financial Audits - Internal Controls Testing and Audit reports</p> <p>Examples:</p> <ul style="list-style-type: none"> Audit Workpapers - Internal Financial Audits Management Response - Internal Financial Audits Preliminary Audit Reports - Internal Financial 	3	The retention period begins the date the record is created.
COM1020	<p>Corporate Compliance Auditing Internal Controls Testing and Audit Reports</p> <p>Records demonstrating management's assessment and approval of the design and effectiveness of the internal control structure. Includes testing that meets regulatory requirements from U.S. Sarbanes-Oxley Act (SOX) and the Japanese Financial Instruments and Exchange Law (J-SOX).</p> <p>See COM1020 for Financial Audits - Internal Controls Testing and Audit Reports.</p> <p>Examples:</p> <ul style="list-style-type: none"> 302 Requirements 402 Requirements 404 Requirements Accept / Reject Reports Application Compliance Testing Ethics Reports Final Audit Reports Process Documentation Risk and Control Documentation Test Programs Testing Documentation Tests / Workpapers 	3	The retention period begins the date the record is created.

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COM1040	<p>Corporate Compliance Governmental Compliance and Reporting General</p> <p>Records created, managed, and/or submitted to governmental agencies, such as the Department of Health (DOH) and Securities and Exchange Commission (SEC), in order to comply with local, state, and federal requirements. Includes federal and state government compliance records, antitrust acquisition reporting, and records documenting compliance with Gramm-Leach-Bliley regulations surrounding the handling and disclosure of personal financial information. Also includes records documenting compliance with Occupational Safety and Health Administration (OSHA) requirements. Does not include employee accident/injury, hazardous exposure, or medical records.</p> <p>See COM1060 for Governmental Compliance and Reporting - Protected Health Information. See EHS 1000 for Employees Accidents and Injuries. See EHS 1020 for Employees Hazardous Exposure. See HRE1180 for Employee Medical Records. See REG1100 for Governmental Compliance and Reporting - Controlled Substances. See REG1120 for Governmental Compliance and Reporting - FDA.</p> <p>Examples:</p> <ul style="list-style-type: none"> (10Q, 10K, 8K) Access Logs Acquisition Disclosures Amendments - Personal Financial Information Disclosure Logs - Personal Financial Information Federal Government Compliance Records Federal Trade Commission (FTC) Pre-Merger Gifts/Entertainment Records Dept RRS Review Health Information Use and Disclosure Logs Information Local Government Compliance Records Notifications Opt-Out Notices OSHA Reporting PAC/Good Governance Filings (Qrtly) Dept RRS Review Privacy Notices Requests for Access - Personal Financial Securities and Exchange Commission (SEC) Filings Securities and Exchange Commission (SEC) Reports State Government Compliance Records 	6	The retention period begins the date the record is created.

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COM1060	<p>Corporate Compliance Governmental Compliance and Reporting Protected Health Information</p> <p>Records documenting compliance with Health Insurance Portability and Accountability Act (HIPAA) regulations surrounding the handling and disclosure of protected health information (PHI). Includes signed disclosure consents, disclosure authorizations, notices of disclosure, requests for privacy protection, requests for access to protected health information, amendments to individual health information, and logs documenting the uses and disclosures of protected health information.</p> <p>Examples:</p> <ul style="list-style-type: none"> Amendments - Protected Health Information Disclosure Authorizations Disclosure Logs - Protected Health Information Electronic Transfer Records Health Information Use and Disclosure Logs Information Notices of Disclosure - Protected Health Requests for Access - Protected Health Information Requests for Privacy Protection 	10	The retention period begins the date the record is created.

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COM1080	<p>Corporate Compliance Auditing Operational Audits</p> <p>Records related to internal operational audits of facilities for compliance with internal policies and procedures not covered elsewhere. Includes personal computer audits, health and safety audits, compliance audits, and other internal non-financial operational audits.</p> <p>See AUD1120 for Internal Financial Audits - General.</p> <p>Examples:</p> <ul style="list-style-type: none"> Audit Corrective Actions and Responses Audit Findings and Responses Audit Notifications Audit Schedules Audit Status Logs Audit Summary Reports Compliance Audits Construction Safety Audits Environmental Audits Final Audit Reports - Internal Operational Audits Health and Safety Audits Internal Audits Internal Construction Audits Internal Procedures Audits Investigation Files, Documents Dept RRS Review New Process Reviews Procedural Audits 	3	The retention period begins the date the record is created.
COM1100	<p>Corporate Compliance Promotional Materials Compliance Review</p> <p>Records related to the development and approval of promotional materials for marketed drugs submitted to the Food and Drug Administration (FDA). Includes FDA submissions, pre-clearance correspondence with the FDA, and samples of promotional materials.</p> <p>Examples:</p> <ul style="list-style-type: none"> FDA Form 2253 Promotional Compliance Review Promotional Item Samples Promotional Material Pre-Clearance 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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COR1000	<p>Corporate Planning and and General Business Rewards Corporate Planning and General Business Rewards Administrative Inventory and Supply Control</p> <p>Records related to types, models, locations, and quantities of corporate property such as supplies and equipment. These records are used for operational purposes only. Includes inventory lists, and other inventory and supply-related documentation.</p> <p>Examples:</p> <ul style="list-style-type: none"> Asset Tag Lists Information Technology Inventories Inventory Lists Inventory Turns Physical Inventory Records 	SUP	Retain these records until superseded. These records may then be destroyed.
COR1020	<p>Corporate Planning and and General Business Rewards Records Historical Archives</p> <p>Records, previously classified elsewhere, that have intrinsic historical value after their normal retention period has expired. These records document the Company's past, its development, significant events, and key players.</p> <p>Examples:</p> <ul style="list-style-type: none"> Archival Records 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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COR1040	<p>Corporate Planning and and General Business Rewards Administration Departmental Management and Administration</p> <p>Records documenting departmental administration, planning, and management activities, as well as general, administrative correspondence. Includes chronological files, internal memoranda, employee work assignments, schedules, presentations, desk calendars, and other miscellaneous administrative records not covered elsewhere.</p> <p>Examples:</p> <ul style="list-style-type: none"> Attorney Registration and CLE Accreditation Chronological Files Department Staff Reference Records A-20-9250 Departmental Correspondence Departmental Goals and Planning Departmental Meeting Records Departmental Newsletters A-5-7350 Departmental Procedures and Best Practices Dept RRS Review Employee Shift Check Records, Shifts Schedules Canad Employee Work Assignments Employee Work Schedules Internal Memoranda Internal Presentations Records Unsolicited Correspondence on Products or Oppertunitite 	3	The retention period begins the date the record is created.

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COR1060	<p>Corporate Planning and and General Business Rewards Administration Internal Services</p> <p>Records related to providing internal administrative support for company personnel, including services and products not covered elsewhere. Includes material and supply orders, postal operations, forms management, and travel itineraries. Also includes records storage and retrieval records. Does not include records destruction certification.</p> <p>See AUD1240 for Records Destruction Certification.</p> <p>Examples:</p> <ul style="list-style-type: none"> Administrative Support Records Dept RRS Review Forms Requisitions Postal Logs Print Shop Requests Records Destruction Approval Forms - Completed and A Records Inventory Reports Records Shipping Reports Records Transmittal Forms Records Transmittal Labels Supply Orders Travel Itineraries 	3	Active for the calendar year in which the record is created. The retention period begins at the end of the calendar year.
COR1080	<p>Corporate Planning and and General Business Rewards Administration Project Management - Non-Product</p> <p>Records related to the management of internal projects, special studies, analyses, and other department events not covered elsewhere. Includes ad hoc studies performed at the corporate or work group level. Also includes project notes, presentations, special studies, project plans, and meeting minutes. Does not include projects related to legal matters.</p> <p>See LEG1360 for Legal Projects and Opinions.</p> <p>Examples:</p> <ul style="list-style-type: none"> Ad Hoc Studies Project Meeting Agendas Project Meeting Minutes Project Notes Project Plans Project Presentations Project Reports Project Sign-Off Sheets Project Timelines 	ACT+1	Active while the project or analysis is ongoing. The retention period begins when the project or analysis is complete.

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Code	Subjects / Description	Official Retention	Retention Event
COR1100	<p>Corporate Planning and and General Business Rewards Administration Reference Materials</p> <p>Records used specifically for reference purposes, such as copies of periodical articles, legislative and regulatory materials, or related project materials. Includes reference articles, white papers, and subject correspondence.</p> <p>Examples:</p> <ul style="list-style-type: none"> Article Reprints Industry Reference Materials Journals Legislative Reference Materials Magazines Reference Materials Regulatory Reference Materials Subject Correspondence Vendor Reference Materials 	ACT+1	Retain these records only as long as they are used. These records may be destroyed when no longer in use.
COR1120	<p>Corporate Planning and and General Business Rewards Corporate Strategic and Business Planning</p> <p>Records related to the strategic and business plans of the Company and its business units. Includes strategic plan records and long-range planning reports.</p> <p>Examples:</p> <ul style="list-style-type: none"> Business Plan Records Expert Opinion Records Long-Range Planning Reports Strategic Plan Records 	ACT+1	Active while the plan is in effect. The retention period begins when the plan becomes obsolete.

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Code	Subjects / Description	Official Retention	Retention Event
EHS1000	<p>Environment, Health, and Safety Assessments Employee Accidents and Injuries</p> <p>Records related to general liability and on-the job accidents as required by Occupational Safety and Health Administration (OSHA) regulations. Includes summaries of injury and illness logs, investigation reports, and accident records. Does not include related employee medical records.</p> <p>See HRE1060 for Employee Medical Records.</p> <p>Examples:</p> <ul style="list-style-type: none"> Accident Records Annual Occupational Injuries and Illness Survey (Form 2) Injury and Illness Incident Report (Form 301) Investigation Reports Log and Summary of Occupational Injuries and Illnesses (Log of Work-Related Injuries and Illnesses (Form 300) Summary of Work-Related Injuries and Illnesses (Form 3 Supplementary Record of Occupational Injuries 	10	The retention period begins the date the record is created.
EHS1020	<p>Environment, Health, and Safety Assessments Employee Hazardous Exposure</p> <p>Records documenting employee and contractor exposure to hazardous or toxic substances. Includes industrial hygiene monitoring records.</p> <p>Examples:</p> <ul style="list-style-type: none"> Asbestos Exposure Records Biomedical Surveillance Records Industrial Hygiene Monitoring Records 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Code	Subjects / Description	Official Retention	Retention Event
EHS1040	<p>Environment, Health, and Safety Assessments Environmental Testing, Monitoring, and Releases</p> <p>Records related to the environmental testing, monitoring, and assessment of property and the environmental impact resulting from company actions. Includes environmental testing, hazardous waste tests, and air and water quality monitoring.</p> <p>Examples:</p> <ul style="list-style-type: none"> Air Quality Test Records Emission Inventories Calculations Emissions Test Records Environmental and USP Purified Water Test Results Cana Environmental Releases Environmental Test Records Facility Air Quality Site Assessments Ground Water Site Assessments Ground Water Test Records Hazardous Waste Materials Test Records Hazmat Response Team Records Site Assessment Records Soil Site Assessments Soil Test Records Solid Waste Monitoring Records Surface Water Site Assessments 	CY+5	Active for the calendar year in which the record is created. The retention period begins at the end of the calendar year.
EHS1060	<p>Environment, Health, and Safety Communications Hazardous Materials and Employee Warnings</p> <p>Records related to the use, manufacture, and disposal of hazardous materials at facilities. Includes safety bulletins and warnings to employees regarding hazardous materials used, created, and stored. Does not include records related to the shipment of hazardous materials.</p> <p>See REG 1460 for Supply Chain - Hazardous Materials.</p> <p>Examples:</p> <ul style="list-style-type: none"> Chemical Inventories Employee Safety Warnings Hazardous Material Certificates Manifests - Disposal Copy Material Safety Data Sheets - Purchased Products 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
EHS1080	<p>Environment, Health, and Safety Assessments Health and Safety Testing / General</p> <p>Records related to tests conducted to ensure the health and safety of employees not covered elsewhere. Includes protective equipment and emergency response tests.</p> <p>See EHS1100 for Health and Safety Testing - Noise Exposure. See EHS1120 for Health and Safety Testing - Radiation Monitoring.</p> <p>Examples:</p> <p style="padding-left: 40px;">Emergency Response Tests Equipment and Processing Tests</p>	3	The retention period begins the date the record is created.
EHS1100	<p>Environment, Health, and Safety Assessments Health and Safety Testing/Noise Exposure</p> <p>Records related to noise exposure tests conducted to ensure the health and safety of employees. Includes tests of noise exposure and audiometric equipment and procedures.</p> <p>Examples:</p> <p style="padding-left: 40px;">Emergency Response Tests - Audiometric Emergency Response Tests - Noise Exposure Equipment and Process Tests - Audiometric Equipment and Process Tests - Noise Exposure Protective Equipment Tests - Audiometric</p>	2	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
EHS1120	<p>Environment, Health, and Safety Reporting Maintenance, Repair, and Inspection</p> <p>Records related to the repair and general maintenance of facilities and equipment. Includes building inspections and reports, equipment histories, maintenance records, and repair records. Also includes reference and technical instruction manuals provided by the manufacturer for products and equipment used internally</p> <p>Examples:</p> <ul style="list-style-type: none"> (OSHA) Inspections Boiler Maintenance checklist Building Inspections and Reports Chart Records for Inventory Storage Units Elevator Inspections Engineering Work Orders Equipment Histories Equipment Manuals Equipment Manuals Fire Extinguisher Inspections Laboratory Equipment Photographs Maintenance Manuals Maintenance Records Manufacturer Maintenance Guidelines Occupational Safety and Health Administration Piping and Instruction Diagram Preventative Maintenance Records Product Manuals Pump Inspections Repair Records - General Routine Facility Work Orders Safety Inspections Safety Shower Inspections Sprinkler Inspections Technical Reference Materials 	ACT+3	Active for the life of the facility or equipment. The retention period begins when the facility or equipment is no longer in use.
EHS1140	<p>Environment, Health, and Safety Assessments Radiation Monitoring</p> <p>Records related to radiation monitoring tests conducted to ensure the health and safety of employees. Includes tests of radiation monitoring equipment and testing procedures.</p> <p>Examples:</p> <ul style="list-style-type: none"> Emergency Response Tests - Radiation Monitoring Equipment and Process Tests - Radiation 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
EHS1160	<p>Environment, Health, and Safety Waste Management Waste and Environmental Repairs</p> <p>Records related to the ongoing maintenance and repair of areas that involve hazardous or non-hazardous waste, solid waste, and other environmental matters. Includes underground storage tank repairs, environmental repairs to the plant, and repairs to equipment that is used to handle and move waste. Does not include site remediation or waste disposal.</p> <p>Examples:</p> <ul style="list-style-type: none"> Environmental Repair Records Environmental Repair Schedules Environmental Repair Status Reports Equipment Records Underground Storage Tank (UST) Corrosion Protection Underground Storage Tank (UST) Maintenance and Tes Underground Storage Tank (UST) Removal Records 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
EHS1180	<p>Environment, Health, and Safety Waste Management Waste Management / Hazardous</p> <p>Records documenting the treatment and disposal of hazardous waste in accordance with federal requirements such as the Resource Conservation and Recovery Act (RCRA). Includes documentation of background investigations for approval of disposal sites and hazardous waste certificates.</p> <p>Examples:</p> <ul style="list-style-type: none"> Certificates of Destruction Hazardous Material Certificates Hazardous Waste Disposal Records 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
EHS1200	<p>Environment, Health, and Safety Waste Management Non-Hazardous</p> <p>Records documenting the treatment and disposal of non-hazardous waste. Includes waste manifests and waste profiles. Does not include the shipping of non-hazardous waste.</p> <p>See REG1440 for Supply Chain - General.</p> <p>Examples:</p> <ul style="list-style-type: none"> Non-Hazardous Waste Disposal Records 	3	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
FPM1000	<p>Facilities and Property Management Facilities and Property Management Design and Construction</p> <p>Records related to the design, construction, and remodeling of facilities, corporate offices, and field offices. Includes drawings, blueprints, construction reports, and floor plans. Does not include environmental testing and monitoring records.</p> <p>See LEG1040 for Environmental Testing Monitoring, and Releases.</p> <p>Examples:</p> <ul style="list-style-type: none"> As-Builts Blueprints Construction Reports Design Engineering Documents Drawings - Design and Construction Facilities Requests Facility Drawings (Blueprints) - Engineering Canada Floor Plans Piping and Instrument Drawings Price Estimates 	ACT+6	Active for the life of facility. The retention period begins upon the sale or disposition of the property.
GEN1000	<p>General Administrative Matters</p> <p>Non-essential correspondence, reference materials and transitory records such as planning documents, draft or work papers, courtesy copies, logs, calendars, reference lists, tracking sheets/lists, indexes, catalogues, personal reference files, presentations, contact or phone listings, service requests, shipping & receiving records for administrative supplies, materials and equipment. Also includes draft or reference copies of accounting transaction records such as Purchase Orders (the official copy is retained per the section on Finance & Accounting).</p> <p>Examples:</p>	ACT	

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
GEN1010	<p>General Line Management Records</p> <p>Internal meeting agendas, minutes and related records not included in other records series, internal newsletters and bulletins, departmental strategy and planning documentation (e.g., scorecards, activity reports, reports and presentations to management), records detailing group/project activities (achievements, status, expense analyses, goals, etc.), internal company announcements (e.g. promotions, reorganizations, company events, procedure changes, etc.). This category also includes manager's work papers and files related to management of personnel. EXCLUDES: official personnel files</p> <p>Examples:</p>	ACT	
GEN1020	<p>General Senior Leader Communications</p> <p>Communications materials prepared for and delivered by senior Company leaders to internal company personnel.</p> <p>Examples:</p>	2	
GEN1030	<p>General Corporate Communications Resource Files</p> <p>Biographical information, photographs of key personnel, media files (graphs, slides, video, schematics, etc.) for use in company publications and promotions.</p> <p>Examples:</p>	ACT	
GEN1040	<p>General Intercompany Agreements</p> <p>Service Level Agreements (SLAs) between company units to provide services with agreed-to terms and conditions. (Agreements of this type that are for GxP-regulated activities should be retained with the other records of those activities.)</p> <p>Examples:</p>	2	

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
GEN1050	<p>General Disaster Recovery and Business Continuity Materials</p> <p>Plans, materials and backup tapes/media needed for resumption of operations in the event of catastrophe or system failure. Examples include but are not limited to: Disaster Recovery Plans, Business Continuity Plans, Backup Plans, Backup Tapes</p> <p>Examples:</p>	ACT	
HRE1000	<p>Human Resources, Office Management, and Training Benefits Benefits Summary Records</p> <p>Records summarizing total employee enrollment and participation in benefit programs. Includes benefits accrued and years of service reports.</p> <p>Examples:</p> <p style="padding-left: 40px;">Benefits Accrued Reports Summaries of Benefit Contributions</p>	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
HRE1020	<p>Human Resources, Office Management, and Training Benefits Benefit Enrollment and Participation</p> <p>Records related to the enrollment and participation of employees in benefits programs such as disability and 401(k) plans. Includes change of address forms, benefit enrollment and application forms, employee loan applications, electronic enrollment records, and related correspondence. Does not include benefit summary records.</p> <p>See HRB1000 for Benefit Enrollment and Participation - Benefits Summary Records.</p> <p>Examples:</p> <p style="padding-left: 40px;">Beneficiary Designation / Change Forms Benefit Enrollment / Application Forms Change of Address Forms Correspondence - Benefits Enrollment Employee Loan Applications</p>	ACT+6	Active while the benefit plan is in effect and benefits are payable. The retention period begins when the plan becomes inactive and benefits are no longer payable.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
HRE1040	<p>Human Resources, Office Management, and Training Benefits Benefit Plan Administration</p> <p>Records related to the general management and administration of benefit plans such as 401(k), retirement plans, LTI, and disability, leave of absence, and tuition reimbursement. Includes general employee communications relative to these benefits. Also includes the assessment, selection, and renewal of benefit plan vendors. Includes employee communications related to the vendor selection and renewal process.</p> <p>Examples:</p> <ul style="list-style-type: none"> 401(k) Plan Administration 401(k) Plan Communications 5500 Forms Actuarial Studies Annual Valuation Reports Benefit Communications Benefit Plan Administration Records Benefit Plan Communications Correspondence - Benefit Plan Administration Long Term Incentive Plan Records Optionee Allocation Schedules Options Exercise Documentation Retirement Plan Appeals Tuition Reimbursement Records Vendor Assessment Records Vendor Renewal Records 	6	The retention period begins the date the record is created.
HRE1060	<p>Human Resources, Office Management, and Training Benefits Benefit Plan Development</p> <p>Records related to the design and development of the benefit plans. Includes benefit plan actuarial reports and benefit related merger information. May also include records documenting due diligence and the integration of acquired companies into corporate benefits programs.</p> <p>Examples:</p> <ul style="list-style-type: none"> Benefit Plan Actuarial Reports Benefit Plan Amendments Benefit Plan Analyses and Reports Benefit Plan Conversion Benefit Plan Documentation Benefit Plan Due Diligence 	ACT+6	Active while the benefit plan is in effect and benefits are payable. The retention period begins when the plan becomes inactive and benefits are no longer payable.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
HRE1080	<p>Human Resources, Office Management, and Training Benefits Compensation Plans</p> <p>Records related to the determination and monitoring of salary structures, incentive programs, job classifications, and placement. Includes incentive pay program documentation, salary guidelines, and wage and benefit surveys.</p> <p>Examples:</p> <ul style="list-style-type: none"> College Recruiting Starting Salary Guidelines Incentive Pay Program Documentation Job Evaluation Documents 	6	The retention period begins the date the record is created.
HRE1100	<p>Human Resources, Office Management, and Training Employment Contracts and Agreements/Employee Agreements</p> <p>Records related to obligations under contracts, leases, and other agreements with employees. Includes employee confidentiality, consent to guidelines, intellectual property, and non-compete agreements. Also includes disputes that do not progress to litigation and claims.</p> <p>See LEG1400 for Litigation and Claims.</p> <p>Examples:</p> <ul style="list-style-type: none"> Advice and Counsel Records - Employee Agreements Agreements Agreements At-Will Employment Agreements Confidentiality Agreements - Employee Consent to Guidelines Employee Agreements Employee Code and Policy Acknowledgements, Employment Agreements Intellectual Property Agreements - Employee Non-Compete Agreements - Employee Agreements Non-Disclosure Agreements Notifications of Contract Breach or Dispute Sexual Harassment Files 	ACT+6	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Code	Subjects / Description	Official Retention	Retention Event
HRE1140	<p>Human Resources, Office Management, and Training Employment Drug and Alcohol Testing-Negative Test Results</p> <p>Records related to drug and alcohol screenings required by all individuals applying for a position or for periodic and random testing. Includes negative lab results.</p> <p>Examples:</p> <p style="padding-left: 40px;">Chain of Custody Forms - Negative Test Results Lab Results - Negative</p>	1	The retention period begins the date the record is created.
HRE1160	<p>Human Resources, Office Management, and Training Employment Drug and Alcohol Testing-Positive Test Results</p> <p>Records related to drug and alcohol screenings required by all individuals applying for a position or for periodic and random testing. Records include positive lab results.</p> <p>Examples:</p> <p style="padding-left: 40px;">Chain of Custody Forms - Positive Test Results Lab Results - Positive</p>	5	The retention period begins the date the record is created.
HRE1180	<p>Human Resources, Office Management, and Training Employment Employee Medical Records</p> <p>Records documenting individual employee medical history. Includes medical records resulting from on-the-job injuries and accidents, and any employee medical records required under OSHA or equivalent (e.g. blood testing, respirator physicals, hepatitis vaccinations). Does not include on-the-job accident and injury reports (OSHA) or drug and alcohol testing.</p> <p>See EHS1000 for Employee Accidents and Injuries. See HRE1140 for Drug and Alcohol Testing - Negative Test Results. See HRE1160 for Drug and Alcohol Testing - Positive Test Results.</p> <p>Examples:</p> <p style="padding-left: 40px;">Contractor Medical Records Employee Medical Records Employee Work Limitations</p>	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Code	Subjects / Description	Official Retention	Retention Event
HRE1200	<p>Human Resources, Office Management, and Training Employment Employee Recruitment and Selection / General</p> <p>Records related to personnel requests, job applications testing, advertising, position descriptions, and interviews. Includes job postings, help wanted ads, assessment tests, and background checks. Recruitment records for hired employees become part of the personnel file.</p> <p>See HRE1220 for Employment Recruitment and Selection - Government Compliance. See HRE1240 Employee Recruitment and Selection - Job Descriptions. See HRE 1400 for Personnel Records - Full-Time Employees. See HRE 1420 for Personnel Records - Temporary Employees.</p> <p>See HRE1260 for Personnel Records - Temporary Employees.</p> <p>Examples:</p> <ul style="list-style-type: none"> Background Check Results Background Reviews Candidate Evaluations Consent to Request Consumer Report Information Forms Help Wanted Ads Interview Notes Job Postings Personnel Requisitions Reference Checks Rejected Employment Applications Rejected Resumes Release of Information Forms 	3	The retention period begins the date the record is created.

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Code	Subjects / Description	Official Retention	Retention Event
HRE1220	<p>Human Resources, Office Management, and Training Employment Employee Recruitment and Selection/Government Compliance</p> <p>Records documenting compliance with company equal employment policies. Includes reports which are required to be filed with the Equal Employment Opportunity Commission (EEOC) identifying workforce demographics. Does not include Equal Employment Opportunity and Affirmative Action policy information.</p> <p>See LEG1140 for Corporate Policies, Standards, and Procedures.</p> <p>Examples:</p> <ul style="list-style-type: none"> Affirmative Action Program Records Applicant Flow Logs Diversity Records EEO-1 Reports EEO-2 Reports Equal Employment Opportunity Reports Equal Employment Reference Materials Racial Harassment Records Records of Accommodation Sexual Harassment Records 	6	The retention period begins the date the record is created.
HRE1240	<p>Human Resources, Office Management, and Training Employment Job Descriptions</p> <p>Records related to job descriptions such as summary of position responsibilities, requirements, and reporting relationships. Includes job and position descriptions.</p> <p>Examples:</p> <ul style="list-style-type: none"> Job Descriptions 	ACT+10	Active while the job description is in effect. The retention period begins when the job description is obsolete or superseded.

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Code	Subjects / Description	Official Retention	Retention Event
HRE1260	<p>Human Resources, Office Management, and Training Employee Relations Communications</p> <p>Records related to general relations with employees not covered elsewhere. Includes website communications, newsletters, and employee announcements.</p> <p>Examples:</p> <ul style="list-style-type: none"> Company Communications Corporate Intranet Records Employee Announcements Employee Communications Employee Recognition Programs A-31-COMMALY Employee Resource Guide / Manual A-21-9300 Newsletters 	3	The retention period begins the date the record is created.
HRE1280	<p>Human Resources, Office Management, and Training Fleet Management Vehicle / Driver Accident Records</p> <p>Records documenting accidents in which company-owned vehicles/equipment and/or operators/drivers are involved. Includes analysis of the accident and any relevant findings, as well as accident logs, which provide a history of driver records and prior accidents. Does not include general vehicle records.</p> <p>See HRE1300 for Fleet Management - Vehicle Records.</p> <p>Examples:</p> <ul style="list-style-type: none"> Accident Analyses Equipment / Vehicle Accident Logs Equipment / Vehicle Damage Reports Operator / Driver Accident Claims Operator / Driver Accident Reports 	ACT+3	Active while the accident is being evaluated. The retention period begins when the accident evaluation is concluded.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
HRE1300	<p>Human Resources, Office Management, and Training Fleet Management Vehicle Records</p> <p>Records related to vehicle licensing, mileage, vehicle destinations, and fuel purchases. Includes vehicle registrations, certificates of insurance, fuel reports, maintenance records, and mileage reports. Does not include vehicle/driver accident records.</p> <p>See HRE1280 for Fleet Management - Vehicle / Driver Accident Records.</p> <p>Examples:</p> <ul style="list-style-type: none"> Mileage Reports Motor Vehicle Records Vehicle Certificates of Insurance Vehicle Destination Reports Vehicle Fuel Reports Vehicle Licenses Vehicle Maintenance Records 	ACT+3	Active while the vehicle is owned. The retention period begins upon the sale or disposition of the vehicle.
HRE1320	<p>Human Resources, Office Management, and Training Employment Immigration and Naturalization</p> <p>Records related to the immigration and naturalization of employees transferring to and from facilities. Includes federal Form I-9 which certifies employee identity and eligibility to work in the United States.</p> <p>Examples:</p> <ul style="list-style-type: none"> Employee Immigration Files Form I-9 Records H-1B Visa Documentation Labor Department Audit Records Naturalization Records 	ACT+3	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
HRE1340	<p>Human Resources, Office Management, and Training Employment Leaves of Absence / Medical</p> <p>Records related to time taken off by an employee for medical and FMLA covered reasons. Includes doctor's authorization for time off and work directives. Does not include employee medical records.</p> <p>See HRE1180 for Employee Medical Records.</p> <p>Examples:</p> <ul style="list-style-type: none"> Correspondence - Medical Leaves of Absence Doctor's Authorization for Time Off Family Medical Leave Act (FMLA) Application and Physic Family Medical Leave Act (FMLA) Requests Family Member Medical Certificate Leave Applications Medical Leave of Absence Requests Long-Term Disability Records Short-Term Disability Records 	6	The retention period begins the date the record is created.
HRE1360	<p>Human Resources, Office Management, and Training Employment Leaves of Absence/Non-Medical</p> <p>Records related to time taken off by an employee for reasons other than medical or FMLA. Includes employee leave of absence requests and approvals. Does not include medical leave of absence records.</p> <p>See HRE1340 for Leaves of Absence - Medical.</p> <p>Examples:</p> <ul style="list-style-type: none"> Bereavement Time Off Records Birth, Marriage, and Death Certifications for Leave Purpos Employee Correspondence Employee Leave of Absence Approvals Employee Leave of Absence Requests Employee Leaves of Absence Rejections Jury Duty Records Leave Applications -Non-Medical Military Service Leave Records Time Off Denials and Appeals Time Off Documentation 	6	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
HRE1380	Human Resources, Office Management, and Training Corporate Organization Charts Records related to the structure and staffing of the organization including positions, titles, and employee names. Includes organization charts. Examples: Department Organization and Structure Records	SUP	Retain these records until superseded. These records may then be destroyed.
HRE1400	Human Resources, Office Management, and Training Employment Personnel Records / Full-Time Employees Records providing a history of employment from initial hiring, including promotion, performance appraisals, and transfers. Includes employment applications, letters of acceptance, performance appraisals, and resumes. Also includes employee relocation records. Does not include temporary employee personnel records. See HRE1420 for Personnel Files - Temporary Employees. Examples: Address Changes Certification Records College Transcripts Continuing Education Records Curricula Vitae Delegation of Authority Records Employee Relocation Records Employee Termination Documents A-21-9300 Employment Applications Letters of Acceptance Offer Letter Performance Appraisals Personnel Files References Resumes Training Certifications	ACT+6	Retain for term of employment plus 6 years.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
HRE1420	<p>Human Resources, Office Management, and Training Personnel Records Temporary/Contracted Employees</p> <p>Records related to the hiring and management of temporary employees. Includes temporary employee applications, resumes, and contracts.</p> <p>Examples:</p> <ul style="list-style-type: none"> Temporary Employee Applications Temporary Employee Correspondence 	6	The retention period begins the date the record is created.
HRE1440	<p>Human Resources, Office Management, and Training Security Access and Entry Records</p> <p>Records related to routine security actions taken to protect employees, equipment, buildings, and information not covered elsewhere. Includes computer passwords, building access lists, and visitor registration logs. Does not include security incidents and investigations.</p> <p>See HRE 1460 for Security - Incidents and Investigations.</p> <p>See ADM1120 for Security - Incidents and Investigations.</p> <p>Examples:</p> <ul style="list-style-type: none"> Badge Lists Building Access Lists Computer Passwords Employee Clearance Lists Employee Fingerprints 	3	Active for the calendar year in which the record is created. The retention period begins at the end of the calendar year.

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Code	Subjects / Description	Official Retention	Retention Event
HRE1460	<p>Human Resources, Office Management, and Training Employment Incidents and Investigations</p> <p>Records related to security investigations of incidents involving or related to company employees or property. Includes employee or contractor misconduct cases, violent crime investigations, harassment investigations, and computer security investigations. Does not include investigations that lead to litigation.</p> <p>See LEG1400 for Litigation and Claims.</p> <p>Examples:</p> <ul style="list-style-type: none"> Attorney Work Product (Investigations) Computer Security Investigations Employee / Contractor Misconduct Cases Property Crime Investigations Threats / Harassment Investigations 	3	Retain while the incident or investigation is open. The retention period begins when the issue is resolved or settled.
HRE1480	<p>Human Resources, Office Management, and Training Training and Development Programs Training Records</p> <p>Records related to employee attendance at corporate training programs and seminars. Includes employee attendance records and records related to certification for individuals to perform certain tasks.</p> <p>Examples:</p> <ul style="list-style-type: none"> Course Sign-In Sheets Training Attendance Records 	ACT+5	Active for current employees. The retention period begins when the employee terminates.

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Code	Subjects / Description	Official Retention	Retention Event
HRE1500	<p>Human Resources, Office Management, and Training Training and Development Programs GXP Programs Training Materials</p> <p>Records related to the creation and operation of corporate training and development programs for GXP Programs. Includes course manuals, schedules, and course evaluation sheets. Does not include training attendance and certification records.</p> <p>See HRE1400 for Personnel Records - Full-Time Employees.</p> <p>Examples:</p> <ul style="list-style-type: none"> Change Management Records SOP Training Presentation Materials SOP, Training etc Testing for Competency Training Attendance and Completion Records Training Course Evaluation Sheets Training Course Instructor Guides Training Course Manuals Training Course Materials Training Course Schedules Training Program Documentation 	ACT+5	Active for the calendar year in which the record is created. The retention period begins at the end of the calendar year.
HRE1520	<p>Human Resources, Office Management, and Training Training and Development Programs Non-GXP Programs Training Materials</p> <p>Records related to the creation and operation of corporate training and development programs for non-GXP Programs. Includes course manuals, schedules, and course evaluation sheets. Does not include training attendance and certification records.</p> <p>See HRE1400 for Personnel Records - Full-Time Employees. See HRE1480 for Training and Development Programs - Attendance and Certification.</p> <p>Examples:</p> <ul style="list-style-type: none"> Training Course Evaluation Sheets Training Course Instructor Guides Training Course Manuals Training Course Materials Training Course Schedules Training Presentation Materials 	ACT+5	Active for the life of the training program. The retention period begins when the program has been superseded or is no longer offered to employees.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
ISY1000	<p>Information Technology Systems Application Documentation / Source Code</p> <p>Records documenting the development of new functionality and architecture for computer systems and applications. Includes change management records, requirements documents, and scope documents. Also includes source code for software that is either internally or externally developed and used internally by employees. Includes program and source code. Does not include application documentation.</p> <p>Examples:</p> <ul style="list-style-type: none"> Agilent Binders Application Change Management Records Application Testing Records Computer Programming Design Specifications Computer Programming Standards Data Models Manuals, Systems and Software Object Models Process Models Program Code Requirement Records Scope Records Source Code Technical Design Records User Acceptance Results User Acceptance Test Plans User Requirements 	ACT+6	Active for the life of the computer system. The retention period begins after the system has been decommissioned
ISY1020	<p>Information Technology User Accounts Network and Computer Access Records</p> <p>Information used to provide details and history of network and computer system access records. Includes access and network security logs.</p> <p>Examples:</p> <ul style="list-style-type: none"> Access and Security Records Network / Computer Access Logs Network Security Logs 	1	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
ISY1040	<p>Information Technology Systems Service and Support Requests</p> <p>Records related to external customer and internal employee requests for technical support. These records identify the caller's concern or request for information, and identify the response and resolution. Includes help desk records, problem tracking documentation, and telecommunications service requests.</p> <p>Examples:</p> <ul style="list-style-type: none"> Development Service Requests Equipment / Maintenance Records Equipment Acquisition Sheets Help Desk Records Performance / Trouble Logs and Reports Problem Tracking Documentation Product Support and Advice Production Service Requests 	3	The retention period begins the date the record is created.
ISY1060	<p>Information Technology Infrastructure Development Life Cycle Records System Conversions, Testing, and Data Mapping Plans</p> <p>Records related to internal testing, details, and history of systems conversions. Includes records related to systems conversions resulting from mergers and acquisitions.</p> <p>Examples:</p> <ul style="list-style-type: none"> Conversion History Conversion Records 	ACT+6	Active for current systems. The retention period begins when the system is converted, superseded, or discontinued.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
ISY1080	<p>Information Technology Systems System Technical Administration</p> <p>Records used to provide details of the information systems environment. Includes design reports that detail the layout and configuration of the network servers and printers, including the physical layout of hardware on the individual floors. Also documents network and server storage space allocation. May also include Year 2000 (Y2K) compliance records. Does not include application documentation.</p> <p>See ISY1000 for Application Documentation.</p> <p>Examples:</p> <ul style="list-style-type: none"> Asset Tracking Inventories Data Security / Data Transmission Database Access Logs Design Records Destruction Sign-Off Sheets Canada Encryption System Passwords Information Security Risk Assessments Log-In Keys Network and Server Space Allocation Records Network and Server Storage Management Network Security Administration Network Server Records Performance Capacity Monitoring Performance Monitoring Records Problem Tracking Records Schematics Security Administration Records System Change Management Records Systems Development Specifications Systems Testing Records Test Scripts for Oracle (HR) Database 	ACT+6	Active for the life of the computer software. The retention period begins when the system or software has been decommissioned.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
ISY1100	<p>Information Technology Security Website Data Security</p> <p>Records related to security protocols for data transferred over the web including how the session data is encrypted and records that document reasonable protection from eavesdroppers and or hackers. Includes surf control and internal measures taken to monitor internet usage.</p> <p>Examples:</p> <ul style="list-style-type: none"> Surf Control Records Transaction Protection Records Web Security Documentation 	ACT+10	Active while the security protocol is in place. The retention period begins when the protocol is superseded or is no longer being used.
LEG1000	<p>Legal Corporate Board and Shareholder Meetings</p> <p>Records related to proceedings of the board, board committees, shareholders, and other legally required meetings. Includes board committee meeting minutes and meeting notices, shareholder voting records, and shareholder proxies. Does not include records for non-legally required meetings or shareholder communications.</p> <p>See LEG1020 for Committee Meetings. See LEG1500 for Shareholder Communications.</p> <p>Examples:</p> <ul style="list-style-type: none"> Board Committee Meeting Minutes Board Committee Meeting Notices Board Committee Voting Records Board Meeting Minutes Shareholder Meeting Minutes Shareholder Meeting Notices Shareholder Proxies 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1020	<p>Legal Administrative Committee Meetings</p> <p>Records documenting the proceedings of management/executive committees below the Board of Directors level as well as external board meetings that the Company attends. Includes executive/senior management committee meetings and high-level departmental meetings.</p> <p>Examples:</p> <ul style="list-style-type: none"> Meeting Agendas and Supporting Papers Meeting Minutes 	3	Retain these records only as long as they are needed, up to a maximum of three years. These records may then be destroyed.
LEG1040	<p>Legal Litigation and Claims Complaint Files</p> <p>Records related to quality issues raised with respect to the company's pharmaceutical products which are not adverse reactions. Includes product complaints and investigation records.</p> <p>Examples:</p> <ul style="list-style-type: none"> Complaint Files Complaint Notifications Complaint Report Investigation Records Complaints and Investigation Reports Complaints and Responses 	6	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1060	<p>Legal Contracts and Agreements General</p> <p>Records related to obligations under contracts, leases, and other agreements, such as clinical studies, with outside parties not covered elsewhere. Includes contract and agreement amendments, breach of contract notifications, and contract management and administration. Also includes corporate matters and disputes that do not progress to litigation and claims.</p> <p>See HRE1100 for Contracts and Agreements - Employee Agreements. See LEG1080 for Contracts and Agreements - Real Estate Construction and Improvement. See LEG1100 for Contracts and Agreements - Real Estate Purchase and Sale. See LEG1120 for Contracts and Agreements - Settlement of Agreements and Releases. See LEG1400 for Litigation and Claims.</p> <p>Examples:</p> <ul style="list-style-type: none"> 3rd Party Contracts 3rd Party QA Agreements Advice and Counsel Records Amendments - General Contracts Branding Agreements Business Development Agreements Client Contracts Confidentiality Agreements - Consultants Consulting Agreements Contract and Agreement Negotiations Contract and Agreement Term Sheets Dept RRS Review Contract Status Reports Hardware Lease and Support Agreements Intellectual Property Agreements Intercompany Agreements Leases Legal Agreements Licensing Agreements Maintenance Agreements Notifications of Contract Breach or Dispute Settlement Agreements and Releases Software Licenses and Escrow Agreements Speaker Agreements Statements of Work - General Cont Third Party document approvals Third Party Supplier Contracts Vendor Agreements and Work Orders Working Files - State Rebate and Supplemental 	ACT+6	Active for the life of the contract or agreement. The retention period begins when the contract or agreement terminates or expires.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1080	<p>Legal Property Real Estate Construction and Improvement</p> <p>Records related to contracts and agreements for improvements to real property. Includes construction and property improvement bids, service contracts, and property improvement contracts. Also includes disputes that do not progress to litigation and claims. See LEG 1400 for Litigation and Claims.</p> <p>See LEG1400 for Litigation and Claims.</p> <p>Examples:</p> <ul style="list-style-type: none"> Advice and Counsel Records - Real Estate Architect Agreements Construction and Improvement Construction Bid Records Construction Contracts Construction Disputes Design-Build Agreements Estate Construction and Improvement General Contractor Agreements Notifications of Contract Breach or Dispute - Real Official Correspondence and Notes - Real Estate Construc Project Management Agreements Property Improvement Contracts Real Estate Service Contracts Statements of Work - Real Estate Construction and Impro 	ACT+15	Active for the life of the contract or agreement. The retention period begins when the contract or agreement terminates or expires.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1100	<p>Legal Property Real Estate Purchase and Sale</p> <p>Records related to the purchase and sale of real estate and the proof of ownership and access to real estate. Includes real estate purchase agreements, deeds, titles, easements, sale agreements, and environmental reports. Also includes disputes that do not progress to litigation and claims.</p> <p>See LEG1400 for Litigation and Claims.</p> <p>Examples:</p> <ul style="list-style-type: none"> Building Property Descriptions Closing Records Deeds Easements Environmental Reports Estate Purchase and Sale Non-Legal Contract Disputes Notifications of Contract Breach or Dispute - Real Real Estate Due Diligence Real Estate Purchase Agreements Real Estate Sale Agreements 	IND	<p>Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.</p>
LEG1120	<p>Legal Litigation and Claims Settlement Agreements and Releases</p> <p>Records related to obligation under settlement agreements with outside parties not covered elsewhere. Includes settlement agreements and any related documentation. Also includes disputes that do not progress to litigation or claims.</p> <p>See HRE1100 for Contracts and Agreements - Employee Agreements. See LEG 1060 for Contracts and Agreements - General. See LEG1400 for Litigation and Claims.</p> <p>Examples:</p>	ACT+6	<p>Active for the life of the contract or agreement. The retention period begins after all underlying obligations are fulfilled.</p>

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1140	<p>Legal Privacy Program Policies, Standards, and Procedures</p> <p>Records documenting the policies and procedures intended to ensure compliance with internal requirements. Includes requirements contained in governmental regulations and records relating to programs designed to document good company practices not covered elsewhere. Includes corporate policies and procedures posted to internal websites and standard operating procedures.</p> <p>Examples:</p> <ul style="list-style-type: none"> Accounting Procedures Affirmative Action Policies Business Conduct and Compliance Policies Code of Ethics Drug-Free Workplace Policies Email Policies Employee Handbooks Employee Policies Environmental Policies Financial Policies and Procedures Health and Safety Policy Documentation Operating Policies Privacy Policies Purchasing Policies Records Management Policies Records Management Procedures Records Retention Schedule Sales and Marketing Policies Standard Operating Procedures Travel Policies 	ACT+10	Active for the life of the policy or procedure. The retention period begins when the policy or procedure are either superseded or discontinued.
LEG1160	<p>Legal Financial Management Corporate Stock Transactions</p> <p>Records related to the recorded transactions of corporate stock. Includes stock ledgers, transfers, and history reports.</p> <p>Examples:</p> <ul style="list-style-type: none"> Cancelled Stock Certificates Stock History Reports Stock Ledgers Stock Redemptions 	ACT+6	Stock history is active for the life of the organization. Stock certificates are active while owned. The retention period for stock history begins when the corporation is either sold or dissolved. The retention period for stock certificates begins when

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1180	<p>Legal Policy and SOP Disaster Recovery Plans</p> <p>Records related to the documentation of plans which would be implemented in the event of a disaster or systems failure. Includes disaster recovery plans, business resumption plans, business continuity plans, and contingency planning.</p> <p>Examples:</p> <ul style="list-style-type: none"> Business Continuity Plans Business Resumption Plans Contingency Planning Disaster Recovery Plans Disaster Test Plans and Results 	ACT+10	Active for the life of the plan. The retention period begins when the plan is superseded or is no longer in effect.
LEG1200	<p>Legal Property Escheat Property</p> <p>Records that document the inability to locate the recipient of monies or property and the associated compliance with abandoned property laws. Includes abandoned property records.</p> <p>Examples:</p> <ul style="list-style-type: none"> Abandoned Property Records 	10	The retention period begins the date the record is created.
LEG1220	<p>Legal Litigation and Claims Garnishment and Levy Orders</p> <p>Records related to garnishment orders received from the court requesting garnishment of employee wages. Includes garnishment orders and child support levy orders. Does not include garnishment accounting records.</p> <p>See ACC1400 for Payroll Records - Deductions, Taxes, and Withholding.</p> <p>Examples:</p> <ul style="list-style-type: none"> Child Support Levy Orders Federal Levies 	ACT+3	Active for the life of the garnishment or levy order. The retention period begins when it has been superseded or is no longer in effect.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1240	<p>Legal Insurance Analysis and Reporting Insurance Analysis and Reporting</p> <p>Records related to the analysis and summary of insurance programs. Includes insurance policy coverage reports and insurance risk analyses.</p> <p>Examples:</p> <p style="padding-left: 40px;">Insurance Policy Coverage Reports</p>	MAX3	Retain these records only as long as they are needed, up to a maximum of three years. These records may then be destroyed.
LEG1260	<p>Legal Insurance Claims Insurance Claims/General</p> <p>Records related to general claims filed against the Company's insurance policies, including liability and property claims. Includes claim notification and settlement documents. Does not include workers' compensation claims.</p> <p>See LEG1280 for Insurance Claims - Workers' Compensation.</p> <p>Examples:</p> <p style="padding-left: 40px;">Claim Settlement Documents Notifications of Insurance Claims - General</p>	6	The retention period begins the date the claim is settled.
LEG1280	<p>Legal Litigation and Claims Workers' Compensation</p> <p>Records related to workers' compensation claims filed for on-the-job accidents. Includes workers' compensation claim notification documents and claim settlement documents. Does not include employee accident/injury records.</p> <p>See EHS1000 for Employee Accidents and Injuries.</p> <p>Examples:</p> <p style="padding-left: 40px;">Notifications of Insurance Claim - Workers' Compensation Settlement Documents - Workers' Compensation Claims</p>	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1300	<p>Legal Insurance Policies Insurance Policies-General</p> <p>Records describing and administering corporate insurance programs that provide coverage affecting liability, including executive policies, fidelity and surety bonds, property, and workers' compensation. Includes insurance policies, certificates, amendments and riders, and proof of payment. Does not include liability insurance.</p> <p>See LEG 1320 for Insurance Policies - Liability.</p> <p>Examples:</p> <ul style="list-style-type: none"> Amendments and Riders - General Insurance Policies Correspondence - General Insurance Policies Insurance Certificates Insurance Policies - General Insurance Policies Proof of Payment -General Program Manuals - Insurance Policies Third Party Insurance Certificates 	ACT+6	Active for the life of the policy. The retention period begins when the policy is superseded or is no longer in effect.
LEG1320	<p>Legal Insurance Policies Liability</p> <p>Records related to insurance coverage for product liability, exposure to hazardous substances, or other problems manifesting themselves long after the policy terminates. Includes future liability insurance program payment records and program manuals, and clinical trial insurance records. Also includes insurance certificates.</p> <p>Examples:</p> <ul style="list-style-type: none"> Clinical Trial Insurance Policies Correspondence - Liability Insurance Policy Insurance Certificates Insurance Policies - Liability Insurance Policy Program Manuals - Liability Insurance Policy Program Payment Records - Liability Insurance Policy Third Party Insurance Certificates 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1340	<p>Legal Intellectual Property Copyrights, Trademarks, Patents, and Oppositions</p> <p>Records related to the registration and management of copyrights, trademarks, and foreign or domestic patents. Includes trademark records, patent applications, copyright records, and related correspondence. Also includes abandoned applications and records related to copyright infringements. Selected records from this category may be considered archive documents and should be retained in the Company archives.</p> <p>Examples:</p> <ul style="list-style-type: none"> Abandoned Applications Copyright / Trademark / Patent Applications Copyright Records Correspondence - Copyrights, Trademarks, and Patents Former Employee Working Files Infringements Invention Records (non-Patent) Patent Records Patent Registrations Trademark Records Trademark Registrations 	ACT+6	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
LEG1360	<p>Legal Administrative Matters Legal Projects and Opinions</p> <p>Records related to legal opinions for various subjects and projects such as employee matters or insurance consultation for contracts and agreements. Includes legal opinions and workpapers. Does not include legal opinions documenting specific litigation and claims.</p> <p>See LEG1400 for Litigation and Claims.</p> <p>Examples:</p> <ul style="list-style-type: none"> Attorney Working Files Employee Matter Files Insurance Consultation Files Legal Opinions - Legal Projects Legal Workpapers PMRC Documents with Notes Working Files - Brands and/or Products 	ACT+10	Active while the project or analysis is ongoing. The retention period begins when the project or analysis is complete.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1380	<p>Legal Property Licenses, Permits, and Certifications</p> <p>Records related to licenses, permits, and certifications which are obtained from government agencies in order to perform certain tasks. Includes building permits, zoning permits, construction permits, business licenses, and environmental permits.</p> <p>Examples:</p> <ul style="list-style-type: none"> Air Quality Permits Building Permits Business Licenses Business Permits Certificates of Occupancy Certifications Construction Permits Environmental Impact Statements Environmental Permits Land Use Permits Seismic Permits Water Quality Permits 	ACT+3	Active for the life of the license, permit, or certification. The retention period begins when the license, permit, or certification has been superseded or is no longer in effect.
LEG1400	<p>Legal Litigation and Claims Litigation and Claims</p> <p>Records related to threatened or asserted litigation and claims for a range of issues including employment, intellectual property, product liability, and environmental. Includes pleadings, discovery records, exhibits, and final judgments. See LEG1040 for Complaint Files.</p> <p>Examples:</p> <ul style="list-style-type: none"> Affidavits Case Files Claims Depositions Discovery Records Exhibits Final Judgments Legal Opinions - Litigation and Claims Litigation Litigation Document Holds Motions Pleadings 	ACT+6	Active for the life of the litigation or claim, including appeal periods. The retention period begins upon closure of the litigation or claim.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1420	<p>Legal Property Mergers, Acquisitions, and Divestitures</p> <p>Records related to the purchase or sale of a company or business unit. Includes acquisition, sales, and merger agreements. Does not include acquisition or divestment of real property that is independent of a business unit's purchase or sale. Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>See COM1040 for Governmental Compliance and Reporting - General. See COR1020 for Company Archives. See LEG1100 for Contracts and Agreements - Real Estate Purchase and Sale.</p> <p>Examples:</p> <ul style="list-style-type: none"> Acquisition Agreements Assignment / Assumption Agreements Bills of Sale Corporate Actions Disbursement Agreements Divestiture / Sales Agreements Divestiture Files Due Diligence Historical Records Escrow Agreements Financial Forecasts Legal Advice Documentation Merger Agreements Merger Studies Original Closing Records Purchase Agreements - Mergers and Acquisitions 	10	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1440	<p>Legal Corporate Organization and Incorporation</p> <p>Records related to the creation, structure, and governance of the Company and its subsidiaries, both foreign and domestic. Includes articles of incorporation, corporate by-laws, and charters. Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>See COR1020 for Company Archives.</p> <p>Examples:</p> <ul style="list-style-type: none"> Articles of Incorporation Corporate and Subsidiary By-Laws Corporate Committee Charters Corporate Seal 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
LEG1460	<p>Legal Procurement Procurement</p> <p>Records related to the request, authorization, and procurement of goods and services. These records are used to document the request of product or service. Includes purchasing and requisition bids, request for proposals, purchase orders, service orders, and work authorization forms. Does not include vendor contracts for payment for products or services.</p> <p>See ACC1020 for Accounting Transactions - Accounts Payable / Accounts Receivable. See LEG1060 for Contracts and Agreements - General.</p> <p>Examples:</p> <ul style="list-style-type: none"> Bid Reviews Blanket Purchase Agreements (BPA) Change Orders Procurement Records - Purchase Orders Canada Purchase Orders Purchase Registers Purchase Requisitions Purchasing and Requisition Bids Quotations Request for Bids Request for Information (RFI) Request for Proposals (RFP) Service Orders Tariff Information Vendor Responses 	ACT+6	Active for the life of the purchase order. The retention period begins when the purchase order is complete.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1480	<p>Legal Corporate Registered Shareholders</p> <p>Records related to registered shareholders. These records are used to identify who the active shareholders are and the dividends paid to them. Includes shareholder records and shareholder lists.</p> <p>Examples:</p> <p style="padding-left: 40px;">Shareholder Lists</p>	ACT+6	Active for the life of the corporation. The retention period begins when the corporation is either sold or dissolved.
LEG1500	<p>Legal Corporate Shareholder Communications</p> <p>Records related to general communication with shareholders not covered elsewhere. Includes shareholder publications. Does not include shareholder meeting notices, voting records, or proxies.</p> <p>See LEG1000 for Board and Shareholder Meetings.</p> <p>Examples:</p> <p style="padding-left: 40px;">Correspondence - Shareholder</p>	6	The retention period begins the date the record is created.
LEG1520	<p>Legal Litigation and Claims Third Party Discovery</p> <p>Documents related to disputes involving third parties, including vendors or employees, in which the Company is not directly involved but has been requested to provide information regarding the third party dispute. Includes court orders, protective orders, and subpoenas.</p> <p>Examples:</p> <p style="padding-left: 40px;">Correspondence - Third Party Litigation Court Orders Protective Orders Responses to Discovery Requests</p>	ACT+6	Active for the life of the dispute, plus appeal periods. The retention period begins when the dispute is closed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
LEG1540	<p>Legal</p> <p>Vendor Life Cycle Management / Performance Management</p> <p>Performance Management</p> <p>Records related to monitoring and managing vendor performance. Includes vendor assessment, vendor management, and corrective action requests.</p> <p>Examples:</p> <ul style="list-style-type: none"> Performance Metrics Score Cards Vendor Corrective Action Records Vendor Corrective Action Requests Vendor Correspondence Vendor Responses to Corrective Action Requests 	6	The retention period begins the date the record is created.
LEG1560	<p>Legal</p> <p>Vendor Life Cycle Management</p> <p>Vendor / Supplier Candidates and Qualifications</p> <p>Records that serve to identify and provide support for the official procurement supplier and vendor lists. Includes approved supplier lists, approved partners, and safety risk ratings.</p> <p>Examples:</p> <ul style="list-style-type: none"> (CSQIP) Documentation Approved Supplier Lists Approved Vendor Lists Customer Service Quality Improvement Process Safety Risk Ratings 	ACT+1	Retain these records only as long as they are used. These records may be destroyed when no longer in use.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1000	<p>Product Development, Manufacture and Support Discovery Research Animal Care</p> <p>Records related to the animals owned or controlled by the Company and its operations. Includes controlled permits, animal collection care records, veterinary care files. Also includes animal permits and drug inventory files.</p> <p>Examples:</p> <ul style="list-style-type: none"> Animal Care Records Animal Inventory Files Animal Permits Controlled Substance Records Cycle Count Documents Daily Order Forms Drug Inventory Lists Drug Inventory Records Drug Sign-In Sheets 	ACT+3	Active while the study is being conducted. The retention period begins when the study has concluded.
PRD1020	<p>Product Development, Manufacture and Support Pharmaceutical Development Batch Records</p> <p>Records related to the batch production of manufactured pharmaceutical and clinical products. Includes aborted batch records, first lot to stock batch records, packaging batch records, and drug reserve samples. These records also include formula charts and instructions that document the materials and steps required for blending, tableting, encapsulation, or coating processes.</p> <p>Examples:</p> <ul style="list-style-type: none"> Aborted Lot Batch Records Batch History Records Drug Reserve Sample Records First Lot to Stock Batch Records Liquid Enzyme Cleaner Batch Records Lot Number Records Manufacturing Formula Charts Manufacturing Instructions Master Batch Records Control Logs Master Production Records (MPRs), LPDs Canada Packaging Batch Records Pharmaceutical Batch Records Pharmaceutical Batch Records Production Batch Records Production Batch records , 3rd Party BRs Reprocessing Batch Records Sterilization Records 	ACT+10	Active while the manufactured items are in use. The retention period begins when no items manufactured in the batch are still in use or their shelf life has expired.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1040	<p>Product Development, Manufacture and Support Pharmaceutical Development Chemical Compound Records</p> <p>Records related to compound-specific information, findings, and supporting documents. Includes clinical investigator brochures, compound sample accountability, safety mailings, and compound-specific notes and reports.</p> <p>Examples:</p> <ul style="list-style-type: none"> Analyses of Compounds Analytical Method Transfer Protocols Ancillary Notebook Documentation Audit Certificates Clinical Investigator Brochure Updates / Revisions Clinical Investigator Brochures Compound Reports Compound Sample Dispensation Records Compound Sample Distribution Records Compound Sample Move Records Equipment Log Books Memoranda Method Transfer Protocols, Test Methods and Reports Notebooks Notes Safety Mailings Specifications and Test Methods Stability Protocols 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1060	<p>Product Development, Manufacture and Support</p> <p>Clinical Trial Management</p> <p>Clinical Trial Management</p> <p>Records related to clinical trial management activities. Includes protocols and procedures used in clinical trials, individual investigator records, patient data, correspondence to and from investigators, site-specific evaluations and assessments, reports to/from the Independent Ethics Committee (IEC) and Institutional Review Board (IRB), and site-specific study planning documents.</p> <p>Examples:</p>	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
	Analyses		
	Annual Independent Ethics Committee (IEC)		
	Annual Institutional Review Board (IRB) Reports		
	Case Report Forms		
	Clinical Study Master File, including Site Related		
	Clinical Study Reports		
	Completed Subject Identification Code Lists		
	Correspondence and Tracking Reports		
	Dose Preparation Records		
	Eligibility Screening Forms		
	Final Analysis		
	Financial Disclosure Information		
	Individual Subject Related Correspondence		
	Informed Consent Forms		
	Institutional Review Board (IRB) Approvals		
	Inventory Accountability		
	Investigator Agreements		
	Investigator Letters of Confidentiality		
	Investigator Notes		
	Investigator Records of Retained Body Fluids / Tissue Samples		
	Investigator Reports		
	Investigator Signature Sheets, Subject Identification Lists		
	IRB Member Listing		
	Medical Histories		
	Medical Records		
	Memoranda		
	Methodologies		
	Pre-Study Visit Reports		
	Procedures		
	Product Handling Instructions		
	Protocol		
	Protocol Amendment Signature Records		
	Protocol Amendments		
	Protocol Development Records		
	Randomization Lists		
	Randomization Test Results		
	Regulatory Documents		
	Reports		
	Signature Page		
	Site Evaluation Checklists		
	Site Quality Assessments		
	Site Signature Log		
	Specifications		
	Statistical Considerations Statistics		
	Study Design Records		
	Study Test Data Records		
	Subject Ancillary Data		
	Subject Enrollment Logs		
	Subject Monitoring Forms		
	Subject Screening Logs		
	Subject X-Ray Reports		
	Technical Procedures		

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1080	<p>Product Development, Manufacture and Support Discovery Research Laboratory and Engineering Notebooks and Supplemental Data</p> <p>Records related to research books issued to and maintained by research scientists and other laboratory personnel that document research laboratory activities. These notebooks may support intellectual property claims related to patent applications. Includes officially assigned and numbered laboratory notebooks, workbooks, and the databooks that are cross-referenced to them. Includes current and historical notebooks.</p> <p>Examples:</p> <ul style="list-style-type: none"> Ancillary Data/Raw Data Instrumentation Logbooks Laboratory Notebooks 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
PRD1100	<p>Product Development, Manufacture and Support Pre-Clinical Studies / Product Testing Product Testing</p> <p>Records documenting tests performed in the research and development phase to verify product safety, quality, and reliability. Includes laboratory test records and reports, transcripts, and certificates of analysis.</p> <p>Examples:</p> <ul style="list-style-type: none"> Certificates of Analysis Certificates of Analysis and batch related data Development and Intensity and Impact Analysis Drug Product Closures Laboratory Test Records Laboratory Test Reports 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1120	<p>Product Development, Manufacture and Support Pre-Clinical Studies / Study Documents/Specimens and Slides Study Documents/Specimens and Slides</p> <p>Records related to pre-clinical studies conducted for drug development. These records include study documents such as response studies, genotoxicity, reproductive toxicity, or carcinogenicity studies. These records also include actual laboratory specimens used in company studies. Includes laboratory test reports, toxicology reports, study results, and protocols and procedures. Does not include pre-clinical studies conducted for product testing.</p> <p>See PRD1100 for Pre-Clinical Studies - Product Testing.</p> <p>Examples:</p> <ul style="list-style-type: none"> Antigenicity Reports Carcinogenicity Reports Clinical Pathology Specimens Electron Microscopy Slides Genetic Toxicology Specimens Genotoxicity Reports Histology Specimens Immunotoxicity Reports Laboratory Test Reports Local Tolerance Reports Metabolism and Pharmacokinetics Reports Pre-Clinical Study Reports / Summaries Toxicity Reports Toxicology Analysis Toxicology Raw Data Toxicology Reports 	ACT+20	Active while the study is taking place. The retention period begins when the study has concluded.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1140	<p>Product Development, Manufacture and Support Regulatory Product Design, Packaging, and Labeling</p> <p>Records detailing the specifications and blueprints for products that are in research and development, including specifications and development of product packaging from the development phase through final design. Includes requirements, invention records, and product specifications.</p> <p>Examples:</p> <ul style="list-style-type: none"> Change Notices Consumer Warnings Device History Records Engineering Change Notices Finishing Specifications for Shipping Illustrative Packaging Design Records Intermediates & APIs Label Approvals Forms Packaging and Sterilization Reports Packaging Guidelines Packaging Specifications Performance Packaging Records Pre-Manufacturing Design and Engineering Product History Records Product Inserts Product Packaging Warnings Project Approval Summaries Specifications Specifications - Raw Materials, Packaging, 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
PRD1160	<p>Product Development, Manufacture and Support Pharmaceutical Development Product Testing</p> <p>Records related to idea generation for products, the actual creation of products, and the training and marketing efforts that will accompany its introduction. Includes conceptual designs, marketing plans, and testing data.</p> <p>Examples:</p> <ul style="list-style-type: none"> Conceptual Designs Design Research Design Specifications Development Redesigns New Product Plans Product Design Reviews Product Design Specifications 	ACT+10	Active for the life of the product. The retention period begins when the product is discontinued or superseded.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1180	<p>Product Development, Manufacture and Support Discovery Research Product Discovery Projects</p> <p>Records related to the management and tracking of developmental activities related to discovery projects. Includes decision point reports, meeting documents, schedules, milestones, and project planning.</p> <p>Examples:</p> <ul style="list-style-type: none"> Analyses of Compounds Annotated Project Data Sets Compound Reports Discovery Study Summaries Early Program Proposals Master Location Indices Master Schedules Meeting Agendas Meeting Minutes Progress Reports Project Data Reports and Team Presentations Dept RRS 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
PRD1200	<p>Product Development, Manufacture and Support Pharmaceutical Development Product Engineering Design, Development, and Qualification</p> <p>Records related to product production planning and the testing of the manufacturing process following product design and development. Includes pre-production and full-scale production planning, and design records for software used during manufacturing operations.</p> <p>Examples:</p> <ul style="list-style-type: none"> Blueprints Capability Studies Design Files Design Reports Drawings Flow Sheets Material Specifications Product Specifications Project History Files 	ACT+10	Active while the manufacturing process or method is current. The retention period begins when the manufacturing process or method is superseded or no longer in use.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1220	<p>Product Development, Manufacture and Support Pharmaceutical Development Product Investigations</p> <p>Records related to marketed products or product batches that exhibit non-conformance with specifications. Includes investigations for potential GMP non-compliance, notifications to management, and supporting documentation. Does not include product recalls.</p> <p>See LEG1260 for Product Recalls - General. See REG1280 for Product Recalls - Pharmaceutical.</p> <p>Examples:</p> <ul style="list-style-type: none"> Deviation Investigations GMP Non-Compliance Reports GMP Non-Conformance Investigations Notifications to Management Product Stability Investigations 	ACT+10	Active while the investigation is taking place. The retention period begins when the investigation has concluded.
PRD1240	<p>Product Development, Manufacture and Support Pharmaceutical Development Product Manufacturing Change Control</p> <p>Records documenting all changes made to methods, specifications, stability parameters, system changes, or any other processes related to the manufacturing of bulk materials or finished products. Includes change control records and supporting documentation.</p> <p>Examples:</p> <ul style="list-style-type: none"> Building Changes Change Authorizations Change Control Records Equipment Changes Method Change Control Records Process Changes Specification Change Control Records Stability Change Control Records Supporting Documentation 	ACT+10	Active while the change process is in place. The retention period begins when the change process is complete.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1260	<p>Product Development, Manufacture and Support Discovery Research Published Scientific Research</p> <p>Records related to articles, studies, and other publications authored by company scientists for public disclosure which describe discoveries, findings, products, or other scientific data. Includes final publications and all legal approvals required prior to publishing. Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>See COR1020 for Company Archives.</p> <p>Examples:</p> <ul style="list-style-type: none"> Abstracts and Manuscripts External Presentations Publication Approval Forms Published Manuscripts Published Research Published Studies 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
PRD1280	<p>Product Development, Manufacture and Support Discovery Research Research Grants</p> <p>Records related to the application, assessment and approval of grants given to or received from external sources for the purpose of research and development. Includes grant proposals and status reports. Selected records in this category may be historical and should be retained in the Company archives.</p> <p>Examples:</p> <ul style="list-style-type: none"> Grant Agreements Grant Evaluations Grant Materials Grant Proposals Grant Reports 	ACT+6	Active while the grant is current. The retention period begins when the final report has been submitted.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1300	<p>Product Development, Manufacture and Support Discovery Research Research Technology Development</p> <p>Records related to the development of new technologies, techniques, and tools to support and improve the early discovery process. Includes technical development, technology evaluations, and testing records.</p> <p>Examples:</p> <ul style="list-style-type: none">New Equipment RecordsNew Research Summaries and Reference ToolsNew Technique RecordsResearch Technology Evaluations	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1320	<p>Product Development, Manufacture and Support Strategic Planning / Analytical Research and Development Analytical Research and Development</p> <p>Records related to the analytical research and development processes used by the company. Includes analytical spectrum, product stability, mass spectral data, and biotechnology validation reports. Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>See COR1020 for Company Archives.</p> <p>Examples:</p> <ul style="list-style-type: none"> Analytical Reports Chemistry Spectra Compound Stability Memo Data Reviews Final Stability Reports Formulation Reports Interim Stability Reports Mass Spectral Data NMR Spectral Data Physical Testing Documents Product Packaging Stability Specifications Research and Development data Canada Spectroscopy Lab Reports Stability Chamber Electronic Monitoring System Data Stability Chamber Records Stability Change Control Records Stability Data Stability Investigation Reports Stability Issues Reports Stability Plan Documents Stability Studies Canada Stability Study Documents 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1340	<p>Product Development, Manufacture and Support Strategic Planning / Chemical Process Development Chemical Process Development</p> <p>Records related to post-discovery studies performed to determine if discovery compounds can be manufactured in sufficient volumes and with sufficient ease to support toxicology studies and clinical trials. Includes development reports, chemical synthesis routing information, and supporting documents. Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>See COR1020 for Company Archives.</p> <p>Examples:</p> <ul style="list-style-type: none"> Chemical Graphic Formulae Chemical Process Compound Files Chemical Process Development Reports Chemical Process Internal Reports Chemical Synthesis Routing Information 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
PRD1360	<p>Product Development, Manufacture and Support Strategic Planning / Registrations Registrations</p> <p>Records related to the registration of compounds created during the research and development phase. Includes compound names, characteristics, chemical structures, and associated documentation.</p> <p>Examples:</p> <ul style="list-style-type: none"> Chemical Data Sheets Compound Registration Records 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1380	<p>Product Development, Manufacture and Support Clinical Study Files</p> <p>Records related to studies performed by independent/outside laboratories in support of ongoing company protocols, as well as records related to the screening of compounds and molecular entities and the identification of potential drug candidates during early discovery. Includes all study start-up materials provided to the outside laboratory, study results and deviations, epidemiological and cost/quality of care studies conducted as part of outcomes research, and study administration documents. Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>Examples:</p> <ul style="list-style-type: none"> Ad Hoc Models Cost Comparison Models Cost Effectiveness Models Cost of Care Studies Early Discovery Study Files Epidemiological Studies Final Study Reports Independent Laboratory Reports Individual Project Agreements Investigator Information Laboratory Reference Ranges Molecular and Compound Analyses Molecule Optimization Procedures Outcomes Manuscripts Pre-Clinical Methodology Development Records Pricing Models Protein Optimization Records Quality of Care Studies Requisitions / Worksheets Specifications Sheets Study Budgets Study Data Sets Study Presentations, Study Specific Data / Results Study Specific Databases Supporting Documentation Trial Specific Alert Forms 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PRD1400	<p>Product Development, Manufacture and Support Strategic Planning Waste Minimization</p> <p>Records related to waste minimization and recycling in manufacturing and production facilities. Includes minimization processes used to manufacture finished pharmaceutical products.</p> <p>Examples:</p> <ul style="list-style-type: none"> Annual Recycling Summaries Manufacturing Recycling Records Manufacturing Waste Analysis Plans 	3	The retention period begins the date the record is created.
PUB1000	<p>Public Relations and Communications External Communications Advocacy and Industry Relations</p> <p>Records related to relations and interactions with other companies or industries. Includes correspondence with other companies or industries and participation in industry and professional organizations.</p> <p>Examples:</p> <ul style="list-style-type: none"> Correspondence - Industry Relations 	ACT+1	Retain these records only as long as they are used. These records may be destroyed when no longer in use.
PUB1020	<p>Public Relations and Communications Giving Charitable Giving / Philanthropy / Community Relations</p> <p>Records and information related to corporate sponsorships, corporate foundation grants, and charitable contributions made by the Company and/or its employees. Includes grant applications, requests for charitable contributions, and grant denials.</p> <p>Examples:</p> <ul style="list-style-type: none"> Check Records - Charitable Giving Community Relations Records Correspondence - Community Relations Eligibility Criteria Sheets Grant Applications Grant Denials Grant Letters Grant Tracking Records 	3	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PUB1040	<p>Public Relations and Communications External Communications / Branding Branding</p> <p>Records documenting the Company's corporate identity, brand positioning, brand programs, and related visual materials. Includes corporate logos and signage records. Does not include corporate branding policies, licensing agreements, or brand license records.</p> <p>Examples:</p> <ul style="list-style-type: none"> Branding Template Records Corporate Logo Records Signage Records 	ACT+6	Active for the life of the brand. The retention period begins when the brand has been superseded or is no longer in use.
PUB1060	<p>Public Relations and Communications External Communications Media Relations</p> <p>Records related to communications with the public not covered elsewhere. Includes journals, newspapers, press material, and videos. Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>See PUB1020 for Charitable Giving / Philanthropy / Community Relations. See COR1020 for Company Archives.</p> <p>Examples:</p> <ul style="list-style-type: none"> Clip Books Journals Management Photos Newspapers Periodicals Press Kits Press Material 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
PUB1080	<p>Public Relations and Communications External Communications Government Relations</p> <p>Records related to government relations on local, state, and/or federal levels, reflecting issues that have an impact on the Company. Includes election monitoring records, political action committee records, political issue records, and correspondence with legislators.</p> <p>Examples:</p> <ul style="list-style-type: none"> Correspondence - Government Relations Election Monitoring Records Election Results Fundraising Records Government Advocacy Records Lobbying Medicare / Medicaid Records Political Action Committee (PAC) Records Political Activity Records 	5	The retention period begins the date the record is created.
PUB1100	<p>Public Relations and Communications Internal Communications Internal Communications</p> <p>Records related to general relations with employees not covered elsewhere. Includes newsletters, announcements, website communications, and promotional materials.</p> <p>Examples:</p> <ul style="list-style-type: none"> Employee Announcements Employee Communications Newsletters Promotional Items 	3	The retention period begins the date the record is created.
PUB1120	<p>Public Relations and Communications External Communications Investor Relations</p> <p>Records related to communications with security analysts and institutional investors. Includes investor relations presentations and correspondence.</p> <p>Examples:</p> <ul style="list-style-type: none"> Correspondence - Investor Relations Presentations - Investor Relations 	6	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1000	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Pharmacovigilance Adverse Events</p> <p>Records documenting reports of medical problems, such as deviations from expectedness, which are potentially related to products. Includes original reports, correspondence, and follow-up materials.</p> <p>Examples:</p> <ul style="list-style-type: none"> Adverse Drug Reaction Reports Adverse Event Follow-Up Documentation Adverse Event Notifications Adverse Event Reports Correspondence Dept RRS Review Due Diligence Documentation on Adverse Event Medical Backup Records Medical Observation Forms Physician Notes Reports (Non-AE) 	ACT+10	Active for the life of the product. The retention period begins when the product is voluntarily or involuntarily removed from the market.
REG1020	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Quality Assurance Corrective and Preventive Actions</p> <p>Records related to the analysis of potential failures and non-conformance with product quality or Quality Management Systems. Includes potential failure lists, proposed actions, and corrective and preventive documentation.</p> <p>Examples:</p> <ul style="list-style-type: none"> Action Plans Canada CAPA Plans Canada Corrective Action Report Canada Corrective and Preventive Action Records Deviation Records Deviations, Non-Conforming Material Evaluation Effectiveness Evaluation Documents Incident Reports Non-Conformance and Deviation Reports Canada Potential Failure Lists Proposed Action Records Rejection Reports Canada Reports (RRs), Non-Conformance Reports Status Reports Supplier Complaints 	6	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1040	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Pharmacovigilance Customer Certification Letters</p> <p>Records related to customer certification about the safety of the company products and their compliance with various regulations and certifying bodies.</p> <p>Examples:</p> <p style="padding-left: 40px;">Customer Certification Letters</p>	6	The retention period begins the date the record is created.
REG1060	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Pharmacovigilance Drug Safety Inquiries</p> <p>Records related to drug safety inquiries that do not result in an Adverse Event Report. Includes drug safety inquiries and correspondence. Does not include drug safety administration.</p> <p>Examples:</p> <p style="padding-left: 40px;">Correspondence</p>	ACT+3	Active while the inquiry is in effect. The retention period begins when the inquiry is concluded.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1080	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Regulatory FDA Submissions</p> <p>Records related to Food and Drug Administration (FDA) submissions for testing and approval of drugs. Includes testing and approval of drugs which were not approved or are inactive, Investigational New Drug Applications (INDA), New Drug Applications (NDA), Amended New Drug Applications (ANDA), Supplemental New Drug Applications (SNDAs), and supporting documentation. Also includes applications to the Office of Orphan Product Development (OOPD). Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>See COR1020 for Company Archives.</p> <p>Examples:</p> <ul style="list-style-type: none"> Adverse Event Reports Annual Reports Bio Statistics Case Report Forms Clinical Trial Final Reports Efficacy Data FDA Correspondence File Note Final Toxicology Study Reports Initial Submissions Investigator Documents NDA Field Alert Reports Orphan Drug Applications Quarterly Reports to FDA Regulatory Commitment Documents Regulatory Correspondence Safety Data Submission Supplements 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1100	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Governmental Compliance and Reporting Controlled Substances</p> <p>Records related to legally required reports made to government agencies, such as the Environmental Protection Agency (EPA) and the Drug Enforcement Agency (DEA), concerning sales of chemicals. Includes controlled substances product registration information, government agency audits, and workpapers.</p> <p>See REG1400 for Regulatory Audit and Inspection - General.</p> <p>Examples:</p> <ul style="list-style-type: none"> Audit Notifications Audit Reports Audit Workpapers Controlled Substances Product Registrations Controlled Substances Reporting Environmental Protection Agency (EPA) Biennial Reports Environmental Reporting Records External Environmental Audits 	7	Active while the audit is taking place. The retention period begins when the audit has concluded.
REG1120	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Governmental Compliance and Reporting / FDA FDA</p> <p>Records related to audits conducted by the Food and Drug Administration (FDA). Includes agency orders, notifications, correspondence, audit reports, and workpapers. Does not include regulatory inquiries and responses.</p> <p>See REG1400 for Regulatory Audits and Inspection - General.</p> <p>Examples:</p> <ul style="list-style-type: none"> Audit Action Plans Audit Correspondence Audit Notifications Audit Reports Audit Workpapers FDA Orders FDA Security Inspections 	ACT+10	Active while the audit is taking place. The retention period begins when the audit has concluded.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1140	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Governmental Compliance and Reporting Governmental Investigations, Hearings, and Audits</p> <p>Records related to audits and investigations by governmental agencies. Includes governmental agency orders, hearing notices, audit reports, and correspondence. Does not include litigation or tax audits and appeals.</p> <p>See LEG1400 for Litigation and Claims. See TAX1140 for Audits and Appeals.</p> <p>Examples:</p> <ul style="list-style-type: none"> Governmental Agency Audit Reports Governmental Agency Audits Governmental Agency Citations Governmental Agency Correspondence Governmental Agency Hearing Notices Governmental Agency Inspection Reports Governmental Agency Notices of Violation Governmental Agency Orders 	ACT+3	Active for the life of the investigation. The retention period begins when the investigation has concluded.
REG1160	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Governmental Compliance and Reporting Manufacturing Process Changes</p> <p>Records related to customer notifications and regulatory filings to the Food and Drug Administration (FDA), National Science Foundation (NSF), and the Underwriters' Laboratories (UL) that must take place when additives or formulation of products change.</p> <p>Examples:</p> <ul style="list-style-type: none"> Customer Notifications for Process Changes FDA Additive Change Notifications NSF Change Notifications Supporting Documentation 	6	Active for the life of the product. The retention period begins the product is removed voluntarily or involuntarily from the market.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1180	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Quality Assurance Manufacturing Process Validations and Qualifications</p> <p>Records documenting the official analytical and validation processes used for all phases of a product from sampling and developing compounds through to the final finished product. Includes validation protocols, procedures, and critical process factors.</p> <p>Examples:</p> <ul style="list-style-type: none"> Analytical Methods Cleaning Validations Equipment Cleaning Records, Cleaning Data (QC) Lot Number Records Materials Reference Standards Method Certification Reports Method Validation Notebooks Process Validations Validation Procedures Validation Protocols Validation Protocols and Reports Validation Records Validation Test Results 	ACT+10	Active for the life of the product. The retention period begins when the product has been superseded or discontinued.
REG1200	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Supply Chain Marketed Products Sample Accountability</p> <p>Records documenting the distribution, receipt, and inventory reconciliation of drug samples distributed to physicians, as required by the Pharmaceutical Drug Marketing Act (PDMA). Includes physical inventories and inventory reconciliations, shipping and receipt records, and all other sample tracking records which comprise supporting documentation for regulatory agencies. Does not include sample administration.</p> <p>See SAL1200 for Samples Administration.</p> <p>Examples:</p> <ul style="list-style-type: none"> Distributed Sample Lot Numbers Doctors' Signatures Physicians' State License Numbers Rx Licensure Certificates Sample Allocations Sample Inventory Reconciliations Sample Physical Inventories Sample Receipt Records Sample Request Forms 	3	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1220	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Compliance Non-U.S. Health Authority Certifications</p> <p>Records related to certifications and related documents granted by foreign health authorities concerning products that are manufactured in non-U.S. facilities. Includes certifications from foreign governments and health agencies. Does not include product registrations or required regulatory reporting.</p> <p>See REG1240 for Non-U.S. Regulatory Reporting.</p> <p>Examples:</p> <ul style="list-style-type: none"> Correspondence Non-U.S. Government Certifications 	ACT+3	Active while the certification is current. The retention period begins when the certification has been either superseded or discontinued.
REG1240	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Compliance Non-U.S. Regulatory Reporting</p> <p>Records related to non-U.S. regulatory compliance and reporting. Includes international registration requirements and product submissions for non-U.S. product development.</p> <p>Examples:</p> <ul style="list-style-type: none"> Non-U.S. Product Registration Requirements Non-U.S. Product Registrations Non-U.S. Product Submission Documents 	6	The retention period begins the date the record is created.
REG1260	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Product Recalls / General General</p> <p>Records related to company products, both marketed and investigational, which are withdrawn from clinical trials or the market as a result of instability or other nonconformance to specifications. Includes data supporting the withdrawal as well as withdrawal notifications and correspondence. Does not include product recalls for pharmaceutical products.</p> <p>See REG1280 for Product Recalls - Pharmaceuticals.</p> <p>Examples:</p> <ul style="list-style-type: none"> 3-Day Field Alerts Correspondence Mock Recall Reports Recall Forms of Notice Recall Records Recall Reports 	6	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1280	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Product Recalls / Pharmaceuticals Pharmaceuticals</p> <p>Records documenting product recalls, including government ordered recalls, for pharmaceutical products. Includes product recall forms and notices, recall reports, and remedial action forms.</p> <p>Examples:</p> <ul style="list-style-type: none"> Correspondence Lot Tracking System Information Recall Forms of Notice Recall Records Recall Reports 	ACT+3	Active while the product recall is taking place. The retention period begins when the recall has concluded.
REG1300	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Quality Control / Analytical Investigations Analytical Investigations</p> <p>Records related to the investigation of possible laboratory error in performing assays on various marketed products, active pharmaceutical ingredients, raw materials, clinical trial lots, or investigational lots. Includes analytical investigation notebooks, investigation checklists, and supporting documents.</p> <p>Examples:</p> <ul style="list-style-type: none"> Analytical Investigation Checklists Analytical Investigation Notebooks QC Laboratory Investigations, OOS, and OOT Reports Supporting Documents 	ACT+10	Active for the life of the product. The retention period begins when the product has been superseded or discontinued.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1320	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Quality Control / General General</p> <p>Records related to the testing and quality assurance of manufactured products. Includes document control records, raw materials test results, proficiency tests, quality management notebooks, and laboratory information management systems data. Does not include quality control specifications.</p> <p>See REG1300 for Quality Control - Analytical Investigations.</p> <p>Examples:</p> <ul style="list-style-type: none"> Archived QA Records Biannual CC Meeting Minutes Calibration Records and Reports, QC Calibration Campaign Summary Reports Envelopes Incoming Inspection Records Institute of Quality Assurance (IQA) Records Internal Quality Audits and Schedules Product Reviews QC Log Books QC Material Usage Records and Inventory Binders QC Raw Data, Lab Books QC Test Data (QC Envelopes) QC Test Methods Quality Assurance Test Results Quality Control (QC) Laboratory Records, Lab Books / N Quality Management Notebooks Quality Planning Records Quality Reviews RSRM Test Plans 	ACT+10	Active for the life of the product. The retention period begins when the product has been superseded or discontinued.
REG1340	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Regulatory Audit and Inspection Animal Health</p> <p>Records related to the audit or inspection of animal health operations by the FDA's Center for Veterinary Medicine (CVM) or other regulatory agencies. Includes agency orders and notifications, correspondence, audit reports, and supporting documentation.</p> <p>Examples:</p> <ul style="list-style-type: none"> Audit Notifications Audit Orders Audit Reports 	ACT+3	Active while the audit or inspection is taking place. The retention period begins when the audit or inspection has concluded.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1360	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Regulatory Audit and Inspection / Clinical Facility Audits Clinical Facility Audits</p> <p>Records related to the audit and inspection of facilities where clinical trial research and studies are conducted. Includes reports by the study monitors and auditors, site monitoring reports, and facility audits that are submitted to regulatory agencies.</p> <p>Examples:</p> <ul style="list-style-type: none"> Audit Workpapers Clinical Facility Audit Reports Close-Out Monitoring Reports Contract Labs Materials Investigator Site Periodic Reports Monitoring Visit Reports Site Compliance Audit Reports 	10	Active while the audit or inspection is taking place. The retention period begins when the audit or inspection has concluded.
REG1380	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Regulatory Audit and Inspection / Clinical Facility Certification Clinical Facility Certification</p> <p>Records related to the licensing and certification of clinical research laboratories and other clinical trial facilities. These records document the competence of the facility to perform required tests and support the reliability of the results. Includes accreditations, quality assessments, and other validations as well as supporting documents and correspondence. Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>See COR1020 for Company Archives</p> <p>Examples:</p> <ul style="list-style-type: none"> Centers for Disease Control (CDC) Laboratory Certificat Centers for Disease Control (CDC) Laboratory Licenses Facility Accreditations Facility Certifications Facility Validations Laboratory Quality Assessments 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1400	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Regulatory Audit and Inspection / General General</p> <p>Records related to audits and inspections by regulatory agencies not covered elsewhere. Includes agency orders and notifications, correspondence, audit reports, and supporting records. Also includes regulatory inquiries and responses.</p> <p>See REG1100 for Governmental Compliance and Reporting - Controlled Substances. See REG1120 for Governmental Compliance and Reporting - FDA. See REG1340 for Regulatory Audit and Inspection - Animal Health. See REG1360 for Regulatory Audit and Inspection - Clinical Facility Certification.</p> <p>Examples:</p> <ul style="list-style-type: none"> 3rd Party Audit Reports Audit Notifications Audit Orders Audit Reports Audit Workpapers Audits/CPARs Inspection Reports Quality Audit Records (internal and external) Regulatory Inquiry Records Regulatory Inquiry Responses Responses to Federal Register Notices Stability Deficiency Responses 	ACT+3	Active while the audit or inspection is taking place. The retention period begins when the audit or inspection has concluded.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1420	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Compliance Standard Operating Procedures</p> <p>Records related to published materials that document standard operating procedures for all research and development, manufacturing, and clinical trial operations. These records include Good Laboratory Practices (GLP's), and Good Clinical Practices (GCP's), Good Manufacturing Practices (GMP's) and any other industry standards that dictate the company's operations. Also includes all other Standard Operating Procedures (SOP's) not specifically listed.</p> <p>Examples:</p> <ul style="list-style-type: none"> Analytical R&D Lab Procedures Biometrics Data Entry Manuals Biometrics Standard Operating Procedures cGCP Reference Manuals Clinical Pathology Departmental Standard Operating Proc Departmental Standard Operating Procedures Good Clinical Practices Good Laboratory Practices Good Manufacturing Practices International Standards Organization (ISO) Quality Manua Package Development Standard Operating Procedures Pathology Departmental Standard Operating Procedures Pharmaceutical Research and Development Responsible Research Practices Standard Operating Procedures Standard Operating Procedures 	ACT+10	Active while the process or method are current. The retention period begins when the process or method has been superseded or discontinued.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1440	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Supply Chain / General General</p> <p>Records used to verify and prove the shipment of products not covered elsewhere. These records identify quantities shipped and supporting documentation. Includes shipping manifests, bills of lading, and loading sheets. Also includes records related to the importing and exporting of goods. Includes documentation required by the North American Free Trade Agreement (NAFTA) and re-export documentation. Does not include the shipping of hazardous materials.</p> <p>See REG1460 for Supply Chain - Hazardous Materials.</p> <p>See TRA1040 for Shipping and Receiving - Foreign Trade. See TRA1080 for Shipping and Receiving - Hazardous Materials.</p> <p>Examples:</p> <ul style="list-style-type: none"> Bills of Lading Boycott Records and Reports Certificates of Origin Certificates of Re-Export Customs Bonds Customs Release Forms Declarations Delivery Verification Certificates Destination Control Statements Drawback Claims Duty Referrals Export Clearance and Certificates Exportation Documentation Foreign Trade Manifests Importation Documentation Loading Sheets Manifests Manufacturers Affidavits Materials Destruction Notices Dept RRS Review NAFTA Certificates and Guidelines Shipping and Receiving Records Shipping Documentation Shipping Manifests Supplier Correspondence 	6	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
REG1460	<p>Regulatory, Drug Safety, Quality Assurance, & Supply Chain Supply Chain / Hazardous Materials Hazardous Materials</p> <p>Records used to verify and prove the shipment of hazardous materials. These records identify quantities shipped and supporting documentation. Includes hazardous materials shipping manifests, bills of lading, and loading sheets.</p> <p>Examples:</p> <ul style="list-style-type: none"> Bills of Lading - Hazardous Materials Certificates of Analysis Loading Sheets - Hazardous Materials 	IND	Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed.
SAL1000	<p>Sales and Marketing Advertising Advertising and Promotion</p> <p>Records related to original artwork, including final copy, created internally or by external agencies in the development of an advertising or marketing campaign, including print, sound, film, and digital media. Includes displays, website design and promotion materials, photographs, and videos. Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>See COR1020 for Company Archives</p> <p>Examples:</p> <ul style="list-style-type: none"> Artwork Audiotape Displays Drawings - Advertising and Promotion Final Copy Layouts Marketing Materials Photographs Videotape 	6	The retention period begins the date the record is created.

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Records Retention Schedule

Code	Subjects / Description	Official Retention	Retention Event
SAL1020	<p>Sales and Marketing Customer Management Call Center Operations</p> <p>Records related to the management and administration of a call center. Includes call logs, customer interaction logs, and phone system data.</p> <p>Examples:</p> <ul style="list-style-type: none"> Call Center Performance Evaluations Call Logs RRS table Customer Interaction Logs Customer Surveys Operational Data Phone Logs Phone System Data Productivity Reports 	3	The retention period begins the date the record is created.
SAL1040	<p>Sales and Marketing Forecasting Market Research, Analysis, and Plans</p> <p>Records related to the development, administration, and analysis of market research. Includes research reports and competitive information.</p> <p>Examples:</p> <ul style="list-style-type: none"> Competitive Information Market Analyses 	ACT+1	Active while the research effort is ongoing or the analysis is current. The retention period begins when the research effort concludes.
SAL1060	<p>Sales and Marketing Strategy New Product Development</p> <p>Records related to idea generation for products and the training and marketing efforts that will accompany the introduction of a new product. Includes conceptual designs, marketing plans, and testing data. Does not include product development after ideas are submitted to research and development.</p> <p>Examples:</p> <ul style="list-style-type: none"> New Product Development Records New Product Introductions 	ACT+1	Active while the product is in use. The retention period begins when the product is superseded or discontinued.

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SAL1080	<p>Sales and Marketing Pricing Patient Assistance Programs</p> <p>Records documenting programs to provide free medications to people who have no insurance, inadequate insurance, or who are unable to purchase medications at market price due to financial difficulties. Includes patient eligibility requirements and medicine distribution documentation. Does not include orphan drug applications.</p> <p>See REG1080 for FDA Submissions.</p> <p>Examples:</p> <ul style="list-style-type: none"> Medicine Distribution Documentation Medicines Offered Lists Patient Assistance Program Records Program Applications 	6	The retention period begins the date the record is created.
SAL1100	<p>Sales and Marketing Advertising Product Instruction Manuals</p> <p>Records documenting instructions on how to use products manufactured by the company. Includes manuals and product instructions provided to physicians, medical personnel, and consumers. Selected records in this category may be historical and should be reviewed for preservation in the Company Archives prior to disposition.</p> <p>See COR1020 for Company Archives.</p> <p>Examples:</p> <ul style="list-style-type: none"> Product Disclosures Product Fact Sheets Product Information Materials Product Instruction Manuals Product Reference Guides 	ACT+10	Active while the manuals are current. The retention period begins when the manuals are superseded or no longer in use.

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SAL1120	<p>Sales and Marketing Pricing Product Pricing and Rebates</p> <p>Records related to the description and pricing of products and services to prospects and customers. Includes product collateral and materials/documents connected to specific marketing campaigns, product pricing, and pricing schedules.</p> <p>Examples:</p> <ul style="list-style-type: none"> Fact Sheets Pricing Records Pricing Schedules Product Brochures Product Descriptions 	6	The retention period begins the date the record is created.
SAL1140	<p>Sales and Marketing Advertising Promotional Materials</p> <p>Records related to promotional and developed for use by physicians or medical personnel or for direct-to-consumer use. Includes product brochures and promotional literature. Also includes records substantiating claims made in advertising campaigns. Does not include promotional materials compliance. Selected records in this category may be historical and should be reviewed for preservation in the Company archives prior to disposition.</p> <p>See COM1100 for Promotional Materials - Compliance. See COR1020 for Company Archives.</p> <p>Examples:</p> <ul style="list-style-type: none"> Direct-to-Consumer Materials Give-Aways Marketing Claim Substantiation Records Product Brochures Product Descriptions Product Promotional Materials 	6	The retention period begins the date the record is created.

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Code	Subjects / Description	Official Retention	Retention Event
SAL1160	<p>Sales and Marketing Strategy Sales Proposals - Rejected</p> <p>Records related to proposals or quotations prepared for prospective customers. Includes RFPs, RFIs, RFQs, and rejected sales proposals. Accepted proposals become part of the customer contract file.</p> <p>See LEG1060 for Contracts and Agreements - General.</p> <p>Examples:</p> <ul style="list-style-type: none"> Rejected Sales Proposals Requests for Information (RFI) Requests for Proposal (RFP) Requests for Quote (RFQ) 	ACT+1	Active while the sales process is ongoing. The retention period begins when the sales proposal is rejected.
SAL1180	<p>Sales and Marketing Operations Sales Reporting and Analysis</p> <p>Reports related to sales activity for a particular period of time. Includes sales call reports and sales territory lists.</p> <p>Examples:</p> <ul style="list-style-type: none"> Factory Sales Trackers Periodic Sales Reports Sales Call Reports 	3	Retain these records only as long as they are needed, up to a maximum of 6 years. These records may then be destroyed.
SAL1200	<p>Sales and Marketing Operations Product Sampling</p> <p>Records related to the distribution of drug samples. Includes sample disbursement cards, sample receipts, and sample reporting. Does not include marketed products sample accountability to regulatory agencies.</p> <p>See REG1200 for Marketed Products Sample Accountability.</p> <p>Examples:</p> <ul style="list-style-type: none"> Sample Planning and Forecasts Samples Allocation Requirements Samples Disbursement Cards Samples Log-In and Tracking Sheets Samples Receipts Samples Reports Samples Storage Site Inspection Forms 	3	The retention period begins the date the record is created.