



Iron Mountain Consulting Services



Get Compliant. Stay Compliant.™

Iron Mountain Consulting Services provides proven methodologies, industry experience, and practical technology to meet your compliance and risk mitigation challenges — including staying on top of the latest rules and regulations. With over 50 years of experience, we've designed and implemented enterprise-wide records retention solutions for the world's leading organizations.

No matter how regulated your industry is, you still need to have a good records retention program. We offer the most comprehensive suite of records retention consulting services for managing all of your organization's critical business information. This is an essential component of today's compliance needs. The cost of updating and implementing a records retention program will pay for itself over time by reducing litigation and regulatory exposure while reducing your records storage costs.

Organize. Assess. Develop. Implement. Maintain. Review.

Iron Mountain consultants can work to develop a legally credible and universally implemented records retention program that applies to records in all formats: e-mail, paper, and electronic. Our consultants can train your employees on the responsibilities and consequences of not adhering to guidelines. We also help you evaluate and audit your program to ensure that it is consistently enforced and up-to-date.

Compliance Gap Analysis

What are the strengths and weaknesses of your program? Our gap analysis is the most effective way to determine

how compliant your records management program is for all of your physical and electronic records. It will:

- Provide an in-depth analysis of the overall health of your program
- Identify the gaps in your program
- Compare your program to industry best practices
- Reveal areas of risk
- Outline, in priority order, the steps necessary to close the gaps

We're here
to help.

Is your organization in compliance with the latest regulatory requirements?

Sarbanes-Oxley, HIPAA, Gramm-Leach-Bliley, and SEC Rule 17a-4 have made a compliant records management program a necessity. You need to continually revisit your records retention program to make sure it is up-to-date.

Do you manage your electronic records as well as your physical records?

Most companies understand the power of e-mail as a business tool — too few have a good handle on its costs and risks. The costs of storage, the impact of overwhelmed e-mail servers, and the potential legal and credibility risks from not being able to find e-mails when required, can make complacency a costly and damaging mistake.

Are you wasting money and increasing your risks by retaining obsolete records?

Holding on to information too long can be just as problematic as not holding on to it long enough. You need to know when information has outlived its lifecycle and manage it in a credible, efficient manner.



SEC 17a-4 — specifies the requirements to which broker-dealers must conform for keeping and retaining electronic, micrographic, and paper business records. Specifically, the Rule details not only what records must be retained electronically, but also how electronic records must be stored and maintained.

Gramm-Leach-Bliley — requires that all financial institutions disclose their policies and practices for protecting the privacy of non-public, personal information of their customers. The Act allows for the affiliation between financial institutions and the sharing of customer information among affiliates; however, the customer has the opportunity to decline the sharing of non-public personal information with non-affiliates.

Health Insurance Portability and Accountability Act

(HIPAA) — intended to protect medical records and other health information held or disclosed by covered entities, and includes requirements to issue regulations related to the privacy of patient's health information.

Sarbanes-Oxley

— protects investors by improving the accuracy and reliability of corporate disclosures made available under the securities laws. The Public Company Accounting Oversight Board, a nonprofit corporation consisting of non-government affiliated members, was established to oversee the audit of public interest in the preparation of informative, accurate, and independent audit reports for companies.

Records Retention Program Implementation and Enforcement

A records retention schedule based on the latest legal research and industry best practices is the only way to attain a compliant records retention program. Iron Mountain consultants have access to an extensive, proprietary database of legal guidelines, regulations, court decisions, and industry-specific knowledge. We work closely with you to identify which records — regardless of format — you legally need to retain, and which ones can be purged.

Leveraging our expertise and knowledge is the best way to reduce litigation exposure and expense. Iron Mountain can provide you with the tools that enforce your program and ensure adherence. Program elements include:

- An enterprise-wide records retention schedule with industry-specific supporting legal research
- Employee training across the organization
- A browser-based repository of your retention program uploaded to your intranet.
- Online connectivity of your records retention schedule through the Iron Mountain Connect™ portal or a third-party system

Records Inventory Classification

You can significantly reduce liability and storage costs by applying a records retention schedule to your existing records. Iron Mountain's proprietary technology standardizes records inventory descriptions and applies the correct retention classification, so you know when each record is eligible for disposal. Net results include:

- Records inventory classified according to the corporate records retention schedule
- Standardized records inventory descriptions
- Application of retention 'holds' to suspend from destruction records needed for litigation or audit
- A destruction eligibility report which lists records inventory immediately eligible for disposal

E-Records Program Services

Our E-Mail and E-Records Program Services address the dilemma of how to apply your records retention requirements to e-mail and other electronic records. These services can dramatically reduce your e-mail and e-record storage costs — and help you respond much more effectively to discovery requests. Net results include:

- E-mail and e-records retention policy and procedures
- Application of your record retention schedule to e-mail and e-records
- Records management technology solution selection and implementation
- E-mail policy employee training

Ongoing Program Maintenance

Our Maintenance Services ensure that your records program remains in compliance and stays aligned with new laws, regulations, and business requirements. Iron Mountain consultants work with you so that updates to your current program are properly communicated and implemented in a timely manner. Maintenance Services include:

- Legal research updates
- Records retention schedule structure renewal
- Records retention policy and procedures refresh
- Training for new employees
- Updates to your intranet site on a regular basis
- Program compliance audits and enforcement support

End-to-End Solutions

Iron Mountain's comprehensive Consulting Services will help you address the full range of needs from program assessment and development to implementation and maintenance. No other provider offers our depth of resources, experience and services to help you reduce your storage costs and business risks for electronic and physical records — throughout the information lifecycle.



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Iron Mountain (NYSE: IRM) is the world's trusted partner for outsourced records and information management services.

Today, with over \$1.5 billion in annual revenues, Iron Mountain operates in major markets worldwide, serving thousands of customers in more than 82 markets in the U.S. and 63 markets in Europe, Canada, and Latin America.