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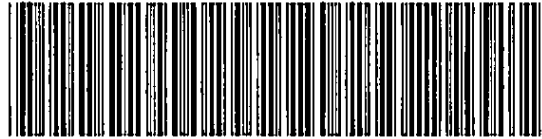
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COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: Halozyme, Inc.

Name of corporation - must include suffix

Dear Sir or Madam:

The enclosed "Application by Foreign Corporation for Authorization to Transact Business in Florida," "Certificate of Existence," or "Certificate of Good Standing" and check are submitted to register the above referenced foreign corporation to transact business in Florida.

Please return all correspondence concerning this matter to the following:

Lisa Heil

Name of Person

Halozyme, Inc

Firm/Company

11388 Sorrento Valley Road

Address

San Diego, CA 92121

City/State and Zip code

lheil@halozyme.com

E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

Lisa Heil

at (858) 704-8262

Name of Person

Area Code

Daytime Telephone Number

STREET/COURIER ADDRESS:

Registration Section
Division of Corporations
The Centre of Tallahassee
2415 N. Monroe Street, Suite 810
Tallahassee, FL 32303

MAILING ADDRESS:

Registration Section
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

Enclosed is a check for the following amount:

Please make check payable to: **FLORIDA DEPARTMENT OF STATE**

☒ \$70.00 Filing Fee

☐ \$78.75 Filing Fee &
Certificate of Status

☐ \$78.75 Filing Fee &
Certified Copy

☐ \$87.50 Filing Fee,
Certificate of Status &
Certified Copy

APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT BUSINESS IN FLORIDA

IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.

1. Halozyme, Incorporated
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION," "Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")
- (If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)
2. California 3. 33-0802801
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 04/07/2004 5. _____
(Date of incorporation) (Date of duration, if other than perpetual)
6. 11/07/2011
(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)
7. 11388 Sorrento Valley Road, San Diego, CA 92121
(Principal office street address)
- (Current mailing address, if different)

8. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

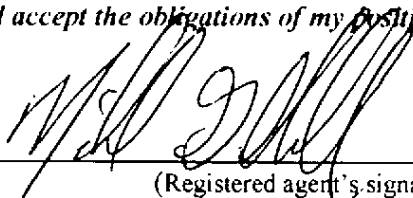
Name: Michael Gilliland

Office Address: 933 Bearded Oaks Terrace

Longwood, Florida 32779
(City) (Zip code)

9. Registered agent's acceptance:

Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.


(Registered agent's signature)

10. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

11. For initial indexing purposes, list names, titles and addresses of the primary officers and/or directors [up to six (6) total]:

A. DIRECTORS

☐ Chairman Name: Helen I. Torley

☐ Vice Chairman Address: 11388 Sorrento Valley Road

☐ Director San Diego, CA 92121

☐ President _____

☐ Vice President _____

☐ Secretary ☐ Treasurer

☒ Other Chief Exec. Officer ☐ Other _____

☐ Chairman Name: Mas Matsuda

☐ Vice Chairman Address: 11388 Sorrento Valley Road

☐ Director San Diego, CA 92121

☐ President _____

☐ Vice President _____

☒ Secretary ☐ Treasurer

☐ Other _____ ☐ Other _____

☐ Chairman Name: Elaine Sun

☐ Vice Chairman Address: 11388 Sorrento Valley Road

☐ Director San Diego, CA 92121

☐ President _____

☐ Vice President _____

☐ Secretary ☐ Treasurer

☒ Other Chief Financial Officer ☐ Other _____

☐ Chairman Name: Jean-Pierre Bizzari

☐ Vice Chairman Address: 11388 Sorrento Valley Road

☒ Director San Diego, CA 92121

☐ President _____

☐ Vice President _____

☐ Secretary ☐ Treasurer

☐ Other _____ ☐ Other _____

☐ Chairman Name: Bernadette Connaughton

☐ Vice Chairman Address: 11388 Sorrento Valley Road

☒ Director San Diego, CA 92121

☐ President _____

☐ Vice President _____

☐ Secretary ☐ Treasurer

☐ Other _____ ☐ Other _____

☐ Chairman Name: Connie Matsui

☐ Vice Chairman Address: 11388 Sorrento Valley Road

☒ Director San Diego, CA 92121

☐ President _____

☐ Vice President _____

☐ Secretary ☐ Treasurer

☐ Other _____ ☐ Other _____

Important Notice: Use an attachment to report more than six (6). The attachment will be imaged for reporting purposes only. Non-indexed individuals are not added to the index when filing your Florida Department of State Annual Report form.

12.

Mas Matsuda

863D1F2063CE41E

Signature of Director or Officer

The officer or director signing this document (and who is listed in number 11 above) affirms that the facts stated herein are true and that he or she is aware that false information submitted in a document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.

13.

Mas MatsudaSVP, General Counsel

(Typed or printed name and capacity of person signing application)



Secretary of State Certificate of Status

I, ALEX PADILLA, Secretary of State of the State of California, hereby certify:

Entity Name: HALOZYME, INC.
File Number: C2070923
Registration Date: 02/26/1998
Entity Type: DOMESTIC STOCK CORPORATION
Jurisdiction: CALIFORNIA
Status: ACTIVE (GOOD STANDING)

As of September 27, 2020 (Certification Date), the entity is authorized to exercise all of its powers, rights and privileges in California.

This certificate relates to the status of the entity on the Secretary of State's records as of the Certification Date and does not reflect documents that are pending review or other events that may affect status.

No information is available from this office regarding the financial condition, status of licenses, if any, business activities or practices of the entity.



IN WITNESS WHEREOF, I execute this certificate and affix the Great Seal of the State of California this day of September 28, 2020.

A handwritten signature in black ink, reading "Alex Padilla".

ALEX PADILLA
Secretary of State

Certificate Verification Number: R4KJ34Y

To verify the issuance of this Certificate, use the Certificate Verification Number above with the Secretary of State Certification Verification Search available at bebizfile.sos.ca.gov/certification/index.



California Secretary of State
Electronic Certified Copy

I, ALEX PADILLA, Secretary of State of the State of California, hereby certify that the attached transcript of 3 pages is a full, true and correct copy of the original record in the custody of the California Secretary of State's office.



IN WITNESS WHEREOF, I execute
this certificate and affix the Great
Seal of the State of California on
this day of April 03, 2020

A handwritten signature in black ink, reading "Alex Padilla".

ALEX PADILLA
Secretary of State

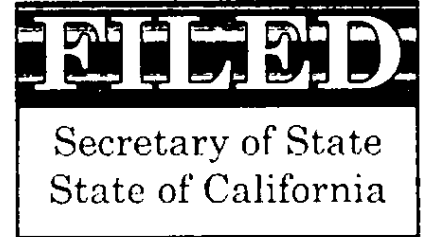
Verification Number: 6B3VRQ6

Entity (File) Number: C2070923

To verify the issuance of this Certificate, use the Verification Number above
with the Secretary of State Electronic Verification Search available at
bizfile.sos.ca.gov



California Secretary of State Electronic Filing



Corporation - Statement of Information

Entity Name: HALOZYME, INC.

Entity (File) Number: C2070923

File Date: 04/01/2020

Entity Type: Corporation

Jurisdiction: CALIFORNIA

Document ID: GE57891

Detailed Filing Information

1. Entity Name: HALOZYME, INC.
2. Business Addresses:
 - a. Street Address of Principal Office in California: 11388 Sorrento Valley Road
San Diego, California 92121
United States of America
 - b. Mailing Address: 11388 Sorrento Valley Road
San Diego, California 92121
United States of America
 - c. Street Address of Principal Executive Office: 11388 Sorrento Valley Road
San Diego, California 92121
United States of America
3. Officers:
 - a. Chief Executive Officer: Helen I. Torley
11388 Sorrento Valley Road
San Diego, California 92121
United States of America
 - b. Secretary: Mas Matsuda
11388 Sorrento Valley Road
San Diego, California 92121
United States of America

Certificate Verification Number: 6B3V/RQ6
Use bizfile.sos.ca.gov to verify the certified copy.

Document ID: GE57891



California Secretary of State Electronic Filing

Officers (cont'd):

c. Chief Financial Officer:

Elaine Sun
11388 Sorrento Valley Road
San Diego, California 92121
United States of America

4. Director:

Jean-Pierre Bizzari
11388 Sorrento Valley Road
San Diego, California 92121
United States of America

Number of Vacancies on the Board of
Directors:

0

5. Agent for Service of Process:

Mas Matsuda
1388 Sorrento Valley Road
San Diego, California 92121
United States of America

6. Type of Business:

Bio-pharmaceutical development

By signing this document, I certify that the information is true and correct and that I am authorized by California law to sign.

Electronic Signature: Lisa L. Heil

Use bizfile.sos.ca.gov for online filings, searches, business records, and resources.

Certificate Verification Number: 6B3VRQ6
Use bizfile.sos.ca.gov to verify the certified copy.

Document ID: GE57891



California Secretary of State Electronic Filing

Corporation - Attachment to Statement of Information

List of Additional Directors:

1. Bernadette Connaughton
11388 Sorrento Valley Road
San Diego, California 92121
United States of America
2. Connie Matsui
11388 Sorrento Valley Road
San Diego, California 92121
United States of America
3. Jeff Henderson
11388 Sorrento Valley Road
San Diego, California 92121
United States of America
4. Matthew Posard
11388 Sorrento Valley Road
San Diego, California 92121
United States of America
5. James Daly
11388 Sorrento Valley Road
San Diego, California 92121
United States of America
6. Helen I. Torley
11388 Sorrento Valley Road
San Diego, California 92121
United States of America
7. Kenneth Kelley
11388 Sorrento Valley Road
San Diego, California 92121
United States of America

Certificate Verification Number: 6B3VRQ6
Use bizfile.sos.ca.gov to verify the certified copy.

Document ID: GE57891



RECORDS MANAGEMENT AND RETENTION PROGRAM POLICY

1. Purpose

Halozyne Therapeutics, Inc., together with its subsidiaries, including Halozyne, Inc. (collectively, "Halozyne" or the "Company"), adopts this Records Management and Retention Program ("RMRP") Policy (the "RMRP Policy") to establish a Company-wide Records management and retention program and document the objectives for appropriate control of Records through their entire lifecycle.

The purpose of this RMRP Policy is to:

- Help ensure the confidentiality, integrity, security, availability of, and access to Records needed for the functioning of the Company;
- Comply with applicable laws and regulations that establish minimum time periods for the retention of certain Records;
- Preserve Records that are important for the protection of the Company's legal rights and fulfillment of its duties;
- Provide for efficient and cost effective retrieval, transfer and storage of Records; and
- Ensure proper disposition and destruction of Records that are no longer necessary for the functioning of the Company.

Halozyne expects all employees to fully comply with this RMRP Policy. Failure to comply with the RMRP Policy may result in disciplinary action up to and including termination of employment.

2. Scope

This Policy applies to all Halozyne employees, contractors, vendors and other Third Parties acting on behalf of Halozyne.

The RMRP Policy also applies to all Records of any kind, whether paper or electronic, created or received in the course of conducting Halozyne business, including Records maintained in individual offices or at any off-site location where employees and contractors conduct Halozyne business.

3. Definitions

- 3.1 Functional Area:** An area within the Company having a discrete, definable business responsibility (e.g., Project Management, Medical Affairs, Finance).
- 3.2 Legal Preservation Hold:** A process to preserve all forms of relevant information, including Company Records, in the event of actual or



reasonably anticipated litigation, audit, government investigation, or other legal matter.

3.3 Legal Preservation Notice: A communication (usually via email) issued by the Company as a result of current or reasonably anticipated litigation, audit, government investigation or other such matter, that instructs recipients to preserve and retain information that is subject to a Legal Preservation Hold and stops any normal destruction, disposition or processing of information that is subject to a Legal Preservation Hold.

3.4 Record: A "Record" is any recorded or documented information created, received, or maintained by the Company and its employees, including contractors, in the course of Company business that relates to its organization, functions, operations or activities and should be retained because of its legal, regulatory or business value to the Company. Examples include but are not limited to paper and electronic documents, publications, books, microfilm and microfiche, video and audio recordings, maps, drawings, computer tapes/disks/printouts, as well as other forms of electronic media, email, websites, social media platforms, faxes, user-created documents such as Word documents, Excel or other spreadsheets, Adobe .pdf files, PowerPoint slides, and materials created or received in the ordinary course of conducting Halozyne's business.

3.4.1 Confidential Records: This term refers to Records that contain proprietary business information of the Company. Confidential Records contain information that if disclosed would harm the ability of Halozyne to do business or compete in the marketplace and that is normally closely held within the Company. Confidential Records may include, without limitation, information concerning trade secrets, ideas, patent applications, data, processes, formulae, programs, compounds, know-how, improvements, designs, information regarding plans for research development, business plans, customers, and budgets, whether disclosed in oral, written, graphic, or electronic form. If it is unclear whether information is confidential, treat the Record as confidential and consult the Legal Department for guidance before any disclosure outside the Company.

3.4.2 Draft Record: A Draft Record is a preliminary version of a Record. Draft Records are supplanted by a subsequent draft, final version and/or the Official Record.

3.4.3 Duplicate Record: All copies other than the official copy of the Record are considered Duplicate Records. Employees may create Duplicate Records as information copies or as back-up copies on an as-needed basis.



3.4.4 Official Record: The Official Record is the document held by the Functional Area that is principally responsible for the business operation with which the Record is associated. Often, but not always, the Official Record is the original, final, fully executed, approved and/or government-endorsed (e.g., stamped by the government indicating receipt or acceptance for filing) version of the Record. Official Records can be physical or electronic documents. Where the same information exists in multiple copies, the Functional Area Head should designate one copy as the Official Record to satisfy legal and operational retention requirements.

3.4.5 Transitory Record: Documents of short-term value such as notes, outlines and other working papers that are developed during the transaction of Company business or during the preparation of its Records. Most documents of this type are superseded by the Official Record and have no business value that warrants retaining them beyond their immediate usefulness.

3.4.6 Vital Record: A Record that is essential to a business-critical activity or is of historical value to the Company. If such Records are lost, damaged, destroyed, or otherwise rendered unavailable or unusable, business-critical activities will be curtailed, discontinued, or severely disrupted, with resulting financial losses or other adverse consequences.

3.5 Records Management Committee: Cross-functional committee responsible for the governance, oversight and enforcement of the RMRP.

3.6 Record Retention Schedule ("RRS"): A list that contains the various Records used within the Company and how long they must be retained. The RRS provides a legally acceptable framework for disposing of Records when retention is no longer required based upon legal and regulatory requirements, as well as operational and business needs.

3.7 Third Party: An individual that is not employed directly by Halozyme, its subsidiaries or any of its affiliates, who may or may not be employed by a company providing services to Halozyme. A consultant, vendor or contractor retained by Halozyme is considered a Third Party for purposes of this RMRP Policy.

4. General Policy

4.1 Records created or received in the ordinary course of conducting Halozyme's business are Company Records and must be retained and disposed of in accordance with this RMRP Policy and RRS, regardless of the format in which they were created or received.



- 4.2 Unless they have been placed on a Legal Preservation Hold, Records should not be kept past their retention period.
 - 4.3 Company Records shall not be stored or retained on personal computers (e.g., an employee's personal or home computers or devices), externally connected hard drives or flash drives or other such portable media.
 - 4.4 Records may not be removed from Halozyne's premises, except when needed to conduct Halozyne business or for storage at a Company-approved, offsite storage facility.
 - 4.5 When a Record in question is subject to a Legal Preservation Hold, the retention period specified in this RMRP Policy is suspended until the Legal Preservation Hold is lifted by the Legal Department. No Records can be destroyed if subject to a Legal Preservation Hold.
 - 4.6 Confidential Records should be handled, stored, and destroyed in a manner that maintains their confidentiality and in accordance with this RMRP Policy.
 - 4.7 Vital Records shall be identified and appropriately safeguarded.
 - 4.8 Halozyne employees are accountable for properly managing Company Records in accordance with the RMRP Policy and RRS.
 - 4.9 RMRP training will be conducted to help to ensure that employees who handle Company Records are aware of their responsibilities under the RMRP.
 - 4.10 Employees of the Company who violate this RMRP Policy may be subject to discipline, up to and including termination of their employment. Also, the Company may initiate legal action against current or former employees who engage in conduct that violates this RMRP Policy and/or harms the interests of the Company or its employees.
5. **Record Retention Schedule ("RRS").** The RRS assigns retention periods by Record type in order to satisfy general business and legal requirements. Halozyne complies with all applicable recordkeeping laws and regulations. Where no laws or regulations exist to govern the retention period, the document retention period is based on current business need, reference need, or historical importance.
- 5.1 If a Functional Area believes that it creates, uses or receives a Record that is not listed in the RRS and should be maintained for longer than a

year, then the Functional Area shall notify the Legal Department and together determine whether a new Record series should be created with its own retention period. If there is reasonable doubt about the status of a Record or the future need for the Record, the Functional Area Head and Legal Department should be consulted prior to destruction. Any change(s) to retention periods specified in the RRS must receive prior approval of the Legal Department.

- 5.2** Where two retention periods are equally applicable to a particular Record, the longer retention period shall govern. Where the retention period prescribed under applicable laws or regulations differ from the requirement set forth in the RRS, the longer retention period shall govern. If the retention period in the RRS differs with any applicable operating procedure established by a Functional Area, the retention period set forth in the RRS shall govern.

6. Filing Systems. Each Functional Area shall develop and maintain an appropriate filing system containing Records created by the Functional Area in the course of conducting Halozyme's business in compliance with this RMRP Policy.

- 6.1 Retention of Official Records.** Official Records shall be maintained for the applicable retention period identified in the RRS.

- 6.2 Retention of Records Other Than Official Records.** Unless subject to a Legal Preservation Hold:

- 6.2.1** Draft Records should be discarded at the earliest opportunity following the approval of the Official Record unless retained for operational reasons or at the discretion of the Legal Department.

- 6.2.2** Duplicate Records should be discarded when no longer needed for the purposes for which they were created and this should be done at the earliest opportunity;

- 6.2.3** Transitory Records should be discarded at the earliest opportunity after their purpose is fulfilled. Generally, Transitory Records should not be maintained longer than two years after their last accessed date;

- 6.3 Storage.** Records should be stored to protect against theft or other loss, consistent with the need for accessibility, as well as the nature of the information contained by the Records and in accordance with any applicable regulatory requirements.

- 6.3.1 Confidential Records and Other Records Containing Sensitive Information.** Confidential Records and other Records containing sensitive information, such as protected health information, personnel information, intellectual property information, and financial information must be given special consideration and be protected at all times. They should be secured at all times and accessed only by authorized personnel. This includes securing desktop paper and electronic documents and ensuring that files are returned to their storage repository and disposed of when no longer needed.
- 6.3.2 Removable Storage Media.** Unauthorized removable media, such as USB drives, thumb drives, CDs, and externally connected hard drives, are not backed up or otherwise supported by the IT Department, and therefore must not be used for long-term storage of the retention copy of any Records.
- 6.3.3 Labeling of Storage Containers.** Record storage containers, including virtual, electronic storage, must be labeled in sufficient detail that the contents can be promptly and accurately identified should retrieval prove necessary.

6.4 Electronic Records

- 6.4.1 Electronically-stored information (Not Email).** Where printed and electronic versions of the same Record exist, only the most useful version (generally the electronic version) should be kept in accordance with normal procedures unless otherwise specified by law. Records that have been printed for signature purposes must be maintained as the Official Record or saved in electronic form as an exact duplicate of the signed document (for example, in PDF format).
- 6.4.2 Email Communications.** E-mail is a communication tool and e-mail messages are considered to be Records if they serve as the only evidence of official policies, actions, decisions or transactions. To determine whether an email must be retained and for how long, the content of the email should be considered rather than the form. If you would retain a piece of paper due to its content, then you are required to retain an email of the same content for the same length of time under the RRS. Email that is not required to be retained pursuant to the RRS (i.e., an email classified as a Draft Record, Duplicate Record, and Transitory Record not subject to a Legal Preservation Hold) should be deleted by employees as described in Section 6.2 above.

6.4.3 Voicemail, Text Messaging and Instant Messaging. Use of voicemail, text messaging and instant messaging is permitted for administrative tasks only. Voicemail, text messaging and instant messaging should not be used for any business communication subject to retention requirements. If a Record is inadvertently created on Voicemail or Instant Message, then the content should be transferred to another media for long term storage.

6.5 Vital Records. Each Functional Area must identify and designate as Vital Records those Records in the Functional Area that are essential to a business-critical activity or of historical value to the Company. Vital Records must be duplicated and the duplicates must be stored in an off-site location (physically or electronically) for reconstructive use in the event of catastrophic document loss.

7. Back-Up and Disaster Recovery Systems and Media. Back up and disaster recovery systems and media are not governed by the RRS and shall not be used for complying with record retention periods or the RMRP Policy. Disaster recovery systems and media are to be used solely to recover data lost as a result of complete system failures, hardware destruction, or other similar disasters. Disaster recovery media shall not be used to preserve Records for a Legal Preservation Hold or otherwise under this RMRP Policy without the express written authorization of the Legal Department.

8. Destruction of Records. Each Functional Area shall, in coordination with the IT Department where relevant, establish and maintain a process for ensuring that Records are destroyed on a periodic basis in accordance with this RMRP Policy and the RRS.

8.1 Whenever Records are destroyed in accordance with this RMRP Policy, they must be destroyed in all formats in which they have been maintained along with all electronic counterparts. Records must be destroyed in a manner that ensures the confidentiality of the Records and renders the information no longer recognizable as Halozyne Records. Approved methods to destroy Company Records include, but are not limited to, shredding and magnetizing. Coordination with the appropriate Legal and IT personnel is necessary to ensure proper destruction.

9. Litigation, Investigation, or Subpoena. Upon receipt of a written Legal Preservation Notice from the Legal Department, Records (including e-mails) pertaining to the subject of the Legal Preservation Hold shall not be destroyed.

9.1 Upon receipt of any Legal Preservation Notice, each Functional Area Head is responsible for immediately communicating the Notice to all affected individuals within his or her area of responsibility, unless the



Legal Department has included all such individuals as recipients of the Legal Preservation Notice.

- 9.2** Destruction of any Records subject to a Legal Preservation Hold shall resume only upon receipt of a written notice from the Legal Department stating that the Legal Preservation Hold has been released and that such destruction is permitted.
- 9.3** Each Functional Area Head is responsible for ensuring that his or her Functional Area provides the Records requested by the Legal Department in connection with any Legal Preservation Hold.
- 9.4** Anyone who believes, or has been informed by the Company, that Company Records are relevant to a Legal Preservation Hold must preserve the Records until the Legal Department notifies them that the Legal Preservation Hold has been lifted and the obligation to preserve has ended. The Company's duty to preserve Records subject to a Legal Preservation Hold supersedes any previously or subsequently established destruction schedule for those Records. Before any Records subject to a Legal Preservation Hold are destroyed, the Legal Department must be consulted. If there is any doubt, do not destroy the information and consult with the Legal Department.
- 10. Third Party Requests.** No Confidential Records may be released to a Third Party unless the Confidential Records involved are governed by a properly executed confidentiality agreement or other agreement containing appropriate confidentiality provisions, a valid court order or government agency subpoena, or are required to be produced to a government inspector in accordance with law (collectively, in accordance with the "Law"). All documents released in accordance with the Law must be reviewed by the Legal Department prior to disclosure.
- 11. Departing Employees.** Each Functional Area Head and the Human Resources Department shall ensure that the Records of an employee who is terminating their employment with Halozyne or transferring to a different Functional Area shall be reviewed concurrent with their departure to ensure compliance with this RMRP. These records shall be retained or destroyed in accordance with this RMRP Policy and distributed, where appropriate, to individuals in the Company for business continuity purposes.

 - 11.1** Before an employee departs, the Legal Department must be contacted to determine if the employee is subject to a Legal Preservation Hold. If so, the Functional Area Head of the departing employee must coordinate with the Legal, Human Resources and IT Departments to ensure that any information subject to the hold is preserved and that the employee is reminded of the duty before departing to ensure that information is preserved.

12. **Governance.** Governance, oversight and enforcement of the RMRP will be the responsibility of the Records Management Committee ("RMC"). The RMC, will interpret, review and amend the RMRP Policy and the RRS; provide strategic guidance regarding the direction of the RMRP; audit the effectiveness of the program; report to executive leadership periodically on the state of the RMRP; and designate and coordinate the annual Document Management Day. The RMC shall be chaired by a member of the Legal Department and permanent members shall include one representative each from the following Functional Areas: Regulatory, Quality, Project Management, Clinical Operations, and IT. The permanent RMC members may appoint ad hoc committee members to assist as needed.
13. **Document Management Day.** The Records Management Committee will designate one day each year (unless otherwise stated) for employees to conduct a file review and purge process ("Document Management Day") and coordinate Document Management Day activities to ensure compliance with the RMRP Policy and RRS. No Functional Area will be excused from participating in the Document Management Day program without advance approval from the Legal Department.
14. **Compliance.** Compliance with this RMRP Policy will be audited periodically to ensure that all Records are being maintained and destroyed according to this RMRP Policy, all types of Records are represented on the RRS, and all retention periods assigned are adequate.