



Challenges Facing a New Records Manger

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Presented to
Richmond ARMA/AIIM Chapter

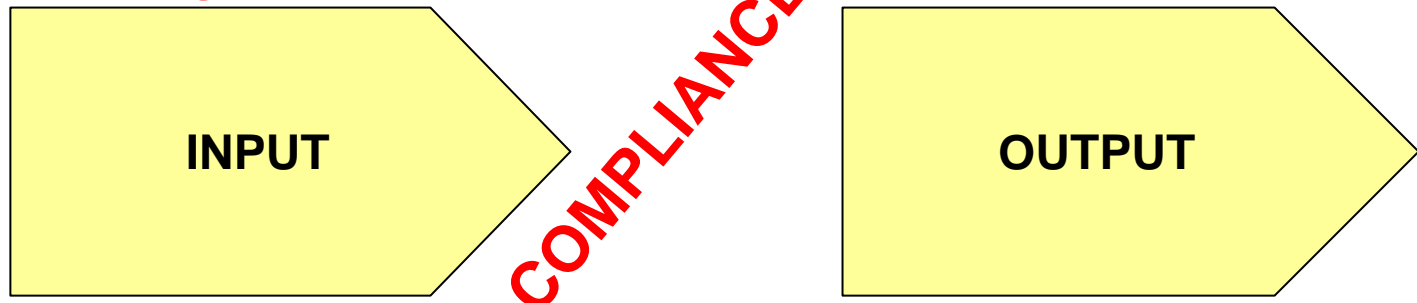


Overarching Challenge

Compliance: Part of the Business Process

- People want to do the right thing
- Make people confident
- Build compliance in without it being a burden

COMPLIANCE





Topics

- A Little Background Information
- Specific Challenge Areas
 - Infrastructure
 - Training
 - Storage
 - Technology



Background

Over 200,000 boxes of records stored

- Paper and Microfilm/fiche

Large Diverse Employee Population

- 11,000 + employees (hourly & salary)

Factors that affect our RM Program

- Compliance requirements
 - Laws, Regulations, and Business Requirements
- Litigation



Infrastructure

Challenge

- Communication (large diverse population)

How are we addressing:

- ❖ Compliance Leaders
 - On-boarding Manual
 - Law Info Sharing Sessions
- ❖ RM functional support structure
 - Quarterly Forums
 - CLP Courses



Infrastructure

How are we addressing (Cont'd):

❖ Resources

- Webpage (Policies & Procedures)
- 4 The Record Live
- 4 The Record Biweekly Questions
 - Intranet and Desk Drop
- Ask Records Management Mailbox
- Frequently Asked Questions



Webpage



Welcome to DOCUMENT & RECORDS MANAGEMENT

Our role is to ensure the integration and effectiveness of PM USA's Records Management program.

[» Records Coordinator Resources](#)

DOCUMENT & RECORDS MGMT

[OUR DEPARTMENTS](#)
[POLICIES & PROCEDURES](#)
[GUIDELINES & FORMS](#)
[DOCUMENT MGMT TOOLS](#)

ONE TOUCH RM

[» Records Lifecycle](#)
[» Disposal Suspension](#)
[» Records Security](#)

From the Desk of Doug Miller



Director of
Document and
Records
Management

At PM USA, it is the responsibility of each employee to properly maintain company information in accordance with business and legal requirements. The Document & Records Management website provides PM USA employees with the tools and resources to meet that responsibility.

The Document and Records Management Department governs the infrastructure that keeps you informed of current requirements and provides effective processes for the daily management of important company documents and records. In order to support and continually enhance the Company's Records Management program, the following are some of our

Document & Records Bulletin Board



As you know, it's your responsibility to know and follow the Company's records management policies. To help you, we have developed a communication tool that includes short questions and answers about records management issues you may encounter. Click [here](#) to test your knowledge.

Frequently Asked Questions (FAQ) - Click [here](#).

Have a question or comment? Click [here](#) to submit your question or comment to the Document & Records Management Department.

RECORDS MANAGEMENT TRAINING

- e-Training Courses-Integrity Interactive
- Additional Learning Information
- Continuous Learning Program

DOCUMENT MANAGEMENT TRAINING

- Classroom Training Available Upon Request

APPL. COORD. RESOURCES

- Application Coordinator Workspace
- Application Coordinator List
- Assistant Application Coordinator List

LIVELINK RESOURCE CENTER

- EDMS Overview
- EDMS Quick Guide
- Livelink Basics
- Livelink Explorer Quick Start
- Livelink Steering Committee Workspace
- Livelink Training Calendar



Training

Challenge

– The right training at the right time

How are we addressing:

- ❖ RM Training Project Team (X-functional)
 - Focus Groups
 - Assessment Results
 - Analysis (Training vs. Requirements)
 - Project Management Methodology



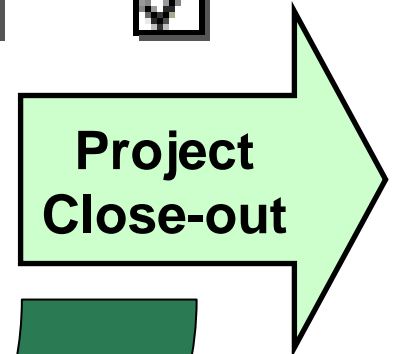
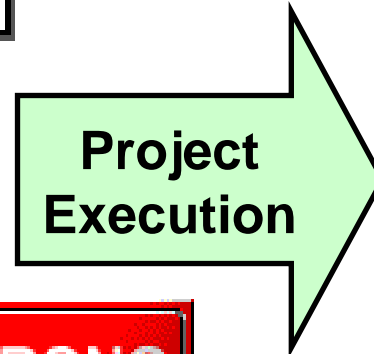
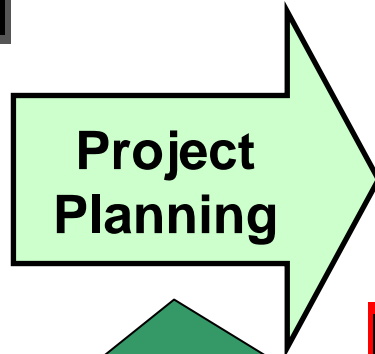
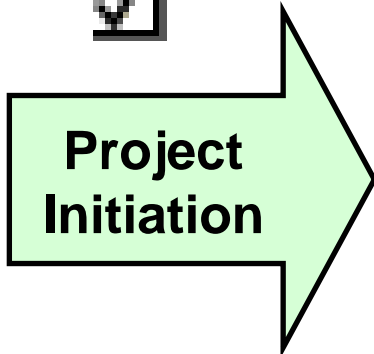
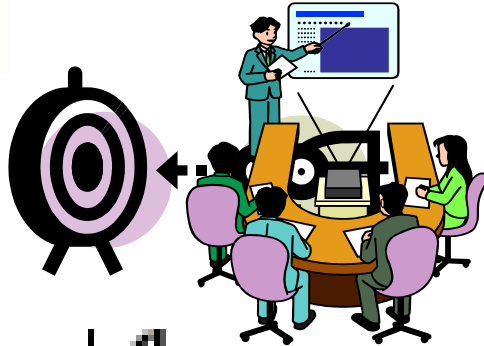
PHILIP MORRIS
USA

szervezeti változásokkal
jártak járnak. Lényeg: Piac!

HELP WANTED

Változások & költségek elvártak
szervezeti változásokkal
jártak járnak. Lényeg: Piac! x, y, z &
költségek & költségek

The Methodology



**WRONG
WAY**



Storage

Challenge

- Storing different types of media

How are we addressing:

❖ Building a Records Center

- Temperature & Humidity Controlled
- Security Classified Materials
- Vault (e-media)
- Boxed Record Management Workflow



Technology

Challenge

- Build Records Control into process and system design/retirement

How are we addressing:

- ❖ RM Technology Group
 - Example: Electronic Laboratory Notebook
 - Example: System Retirement Board
- ❖ Disposal Suspension System

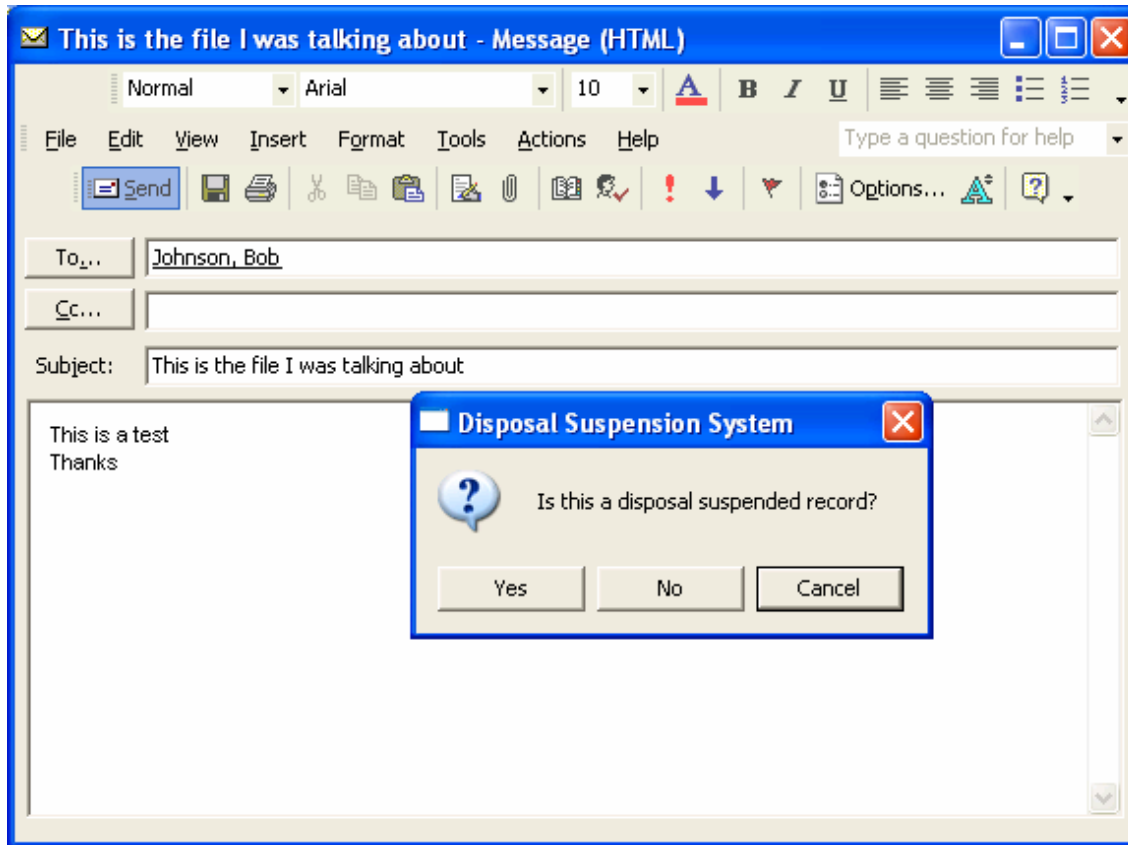


What is DSS?

- DSS is a custom software add-on to Microsoft Outlook that forwards selected e-mail and other electronic files to a permanent litigation archive
- System is “user-centric:” users are prompted to forward sent and received e-mails to archive, but must apply disposal suspension rules
- Once user makes DSS determination, user may generally either save or delete remaining Outlook copy



DSS for Sent Mail



- Yes/No menu pops up for all e-mail when user hits “Send”
- “Yes” adds DSS archive as a “bcc” to the message and any attachment
- “Pop Up” also works when e-mail sent from within Word, Excel, PowerPoint, etc.



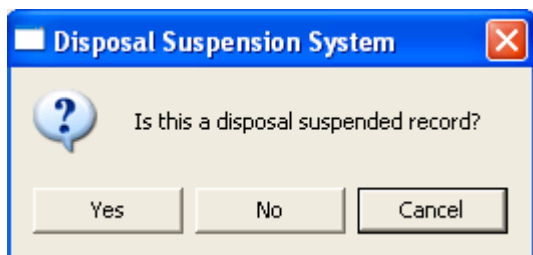
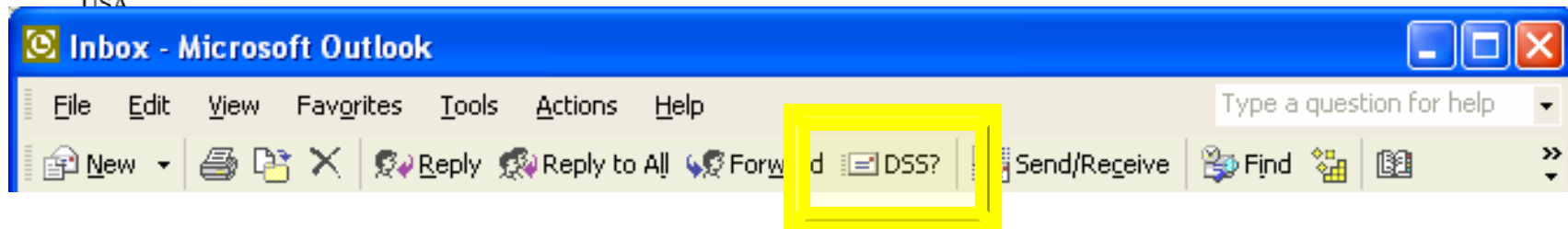
DSS for Received Mail

DSS	!	📄	🗑️	🔍	From	Subject	Received
					Employee, Katherine	Re: Global Meeting	Mon 10/6/200...
					Colleague, Paul	Re: Global Meeting	Mon 10/6/200...
					Vendor, Joseph	RE: Here's the product information...	Mon 10/6/200...

A yellow circle with a question mark is positioned to the left of the first three rows of the table, highlighting the 'From' column entries.

- Mail from outside the Company is automatically identified with a “?” through connection to HR and IS lists of employees and email accounts
- Users must only determine disposal suspension status of emails received from the outside, since sending employee makes the determination for messages sent from within

DSS for Received Mail



- User highlights the “?” message (or a group of messages) and clicks on the DSS toolbar, which pops up the familiar “Yes/No” menu
- Clicking “Yes” forwards the message and any attachment to archive
- “?” turns to a “Yes” (or a “No”) after user makes determination

DSS	!	📎	🗑️	📧	From	Subject	Received
		📎			Employee, Katherine	Re: Global Meeting	Mon 10/6/200...
		📎			Colleague, Paul	Re: Global Meeting	Mon 10/6/200...
Yes		📎			Vendor, Joseph	RE: Here's the product information...	Mon 10/6/200...



PM USA "DSS" Help Screen

Disposal Suspension System

Is this a disposal suspended record?

Yes No Cancel Help

Help

Disposal Suspension System

GENERAL DISPOSAL SUSPENSION CATEGORIES

- Smoking & Health (includes Addiction, ETS, Fire Safety)
- Research & Development
- Cigarette Manufacturing Processes & Quality Control
- Leaf Procurement & Blending
- Advertising, Marketing, Market Information & Sales
- Youth Smoking Prevention, Cessation Support & Corporate Responsibility Initiatives
- Public Communications & Government Regulation regarding Tobacco Products (includes Taxation, MSA, Lobbying, Contributions)
- Contraband Product (includes Counterfeit, Smuggling, Illegal Sales, Money Laundering)
- Relations with other Tobacco Companies, Industry Groups, Trade Associations or Research Organizations
- Records & Information Management

This summary provides a guide for determining whether current PM USA records are disposal suspended. It is provided for your convenience only and does not change existing Disposal Suspension Notices, which are the definitive source for determining whether records are disposal suspended. If you have any questions, please refer to the Records Management website and the "Categories of Information Subject to Disposal Suspension", or contact your Records Coordinator or the Document & Records Management Department.

CATEGORIES OF INFORMATION SUBJECT TO DISPOSAL SUSPENSION

PHILIP MORRIS USA, INC.

REVIEW THIS COMPILATION CAREFULLY!

USE THIS COMPILATION IN CONJUNCTION WITH ANY ACTIVE NOTICES OF DISPOSAL SUSPENSION

Document Name: PM USA Law Department Categories of Information Subject to Disposal Suspension
November 12, 2005 Page 1 of 21

Compliance & Brand Integrity - Records Management

DISPOSAL SUSPENSION NOTICE - NOTICE 64-998 Page 1 of 3

Name or Matter: Effective Date: 10/12/04 Draft

Contact: Director, Document and Records Management Approved By: Law Department, Document and Records Management Support

(Optional if applicable: "HIGHLY CONFIDENTIAL CATEGORY" - RELATES TO AN ONGOING ORIGINAL INVESTIGATION)

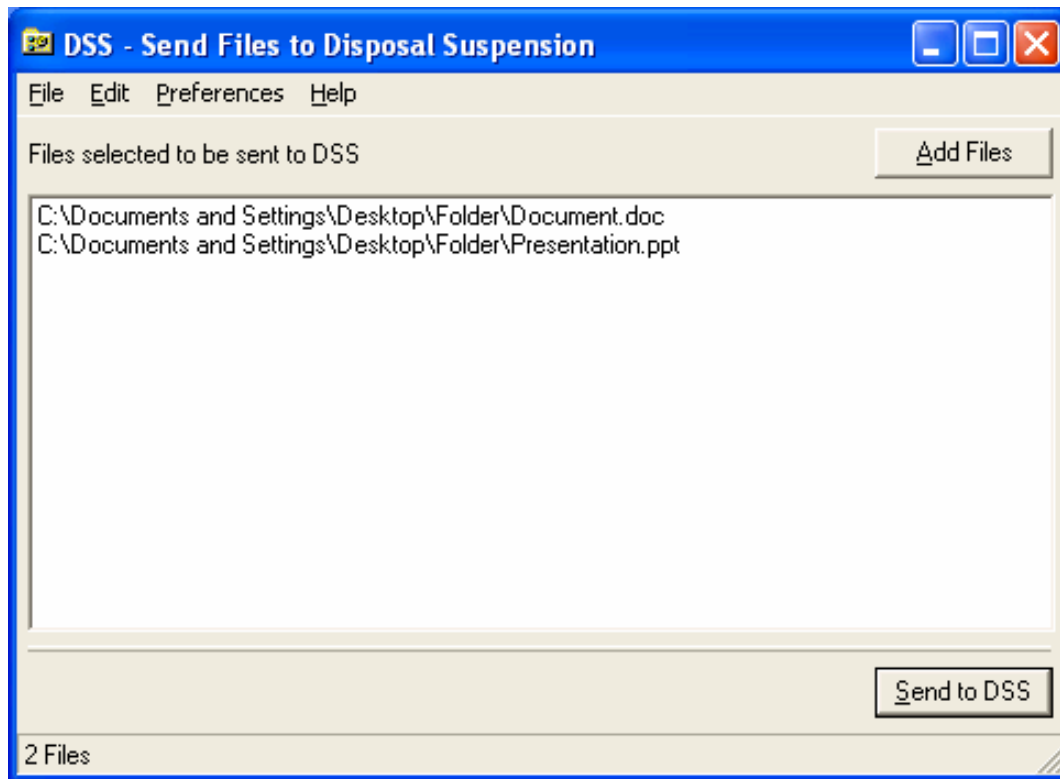
In connection with a pending or anticipated legal proceeding, audit or investigation, Philip Morris USA Inc. (the "Company") cannot take all reasonable steps to preserve Company Records related to these categories of information are hereby Disposal Suspended, and all Covered Persons must preserve such Company Records according to the Company's Disposal Suspension Policy and in accordance with a subsequent Disposal Suspension Release Notice. Attachment A also sets forth certain Company-Tangible Objects if any, that must be preserved in connection with this Notice, as well as specific retention instructions for such items.

Further Distribution of this Notice: This Disposal Suspension Notice relates to a pending or anticipated legal proceeding, audit or investigation, and the evidence and release of this information to any third party, including governmental authorities, is prohibited. If you have any questions, please contact the Law, Senior Analyst for Records Management Support in the PM USA Law Department at 800-456-6866, or any member of the Document and Records Management Department.

Users can "drill down" from the Help Screen summary to a Compilation of all DSN's to each individual DSN

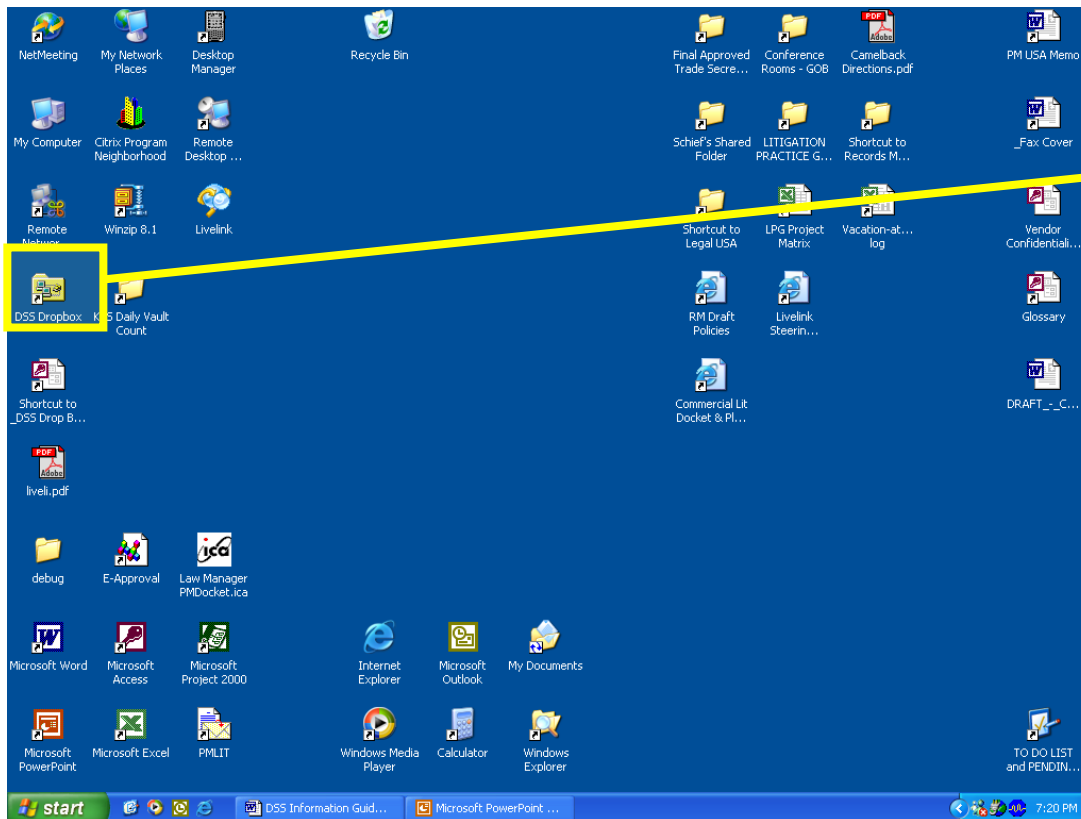


DSS for Other E-Files



- Dragging files into Dropbox opens DSS menu box
- User may send additional files by clicking “Add Files”
- When user selects “Send to DSS,” files are individually forwarded as attachments to archive

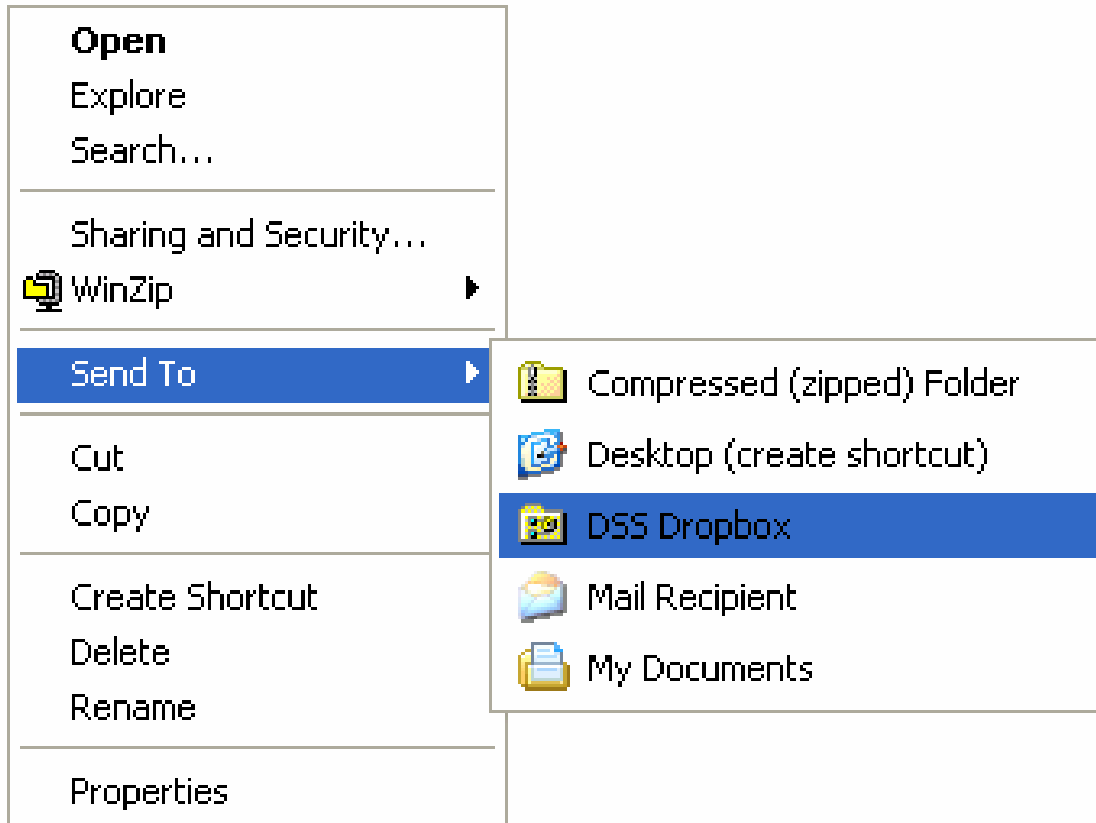
DSS for Other E-Files



- Each user's desktop has a DSS "Dropbox" folder
- Disposal suspended files can be dragged-and-dropped into Dropbox



DSS for Other E-Files



- In addition to Dropbox, users may right-click on files from Windows Explorer and select “Send To” and “DSS Dropbox”

- **DSS Dropbox is used for electronic files *not* circulated by Outlook email**



QUESTIONS