

Open Text Email Management Solutions

Part 2: End Users—The Key to Successful Email Management

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Abstract

This is the second part of a two-part series on email management. Part 1, *Taking the Cost and Risk out of the Inbox*, examined the key issues driving the adoption of email management. In Part 2, we focus on the end users, who play a critical role in any email management deployment. We'll examine how a successful email management system adjusts to the way users work, reducing barriers to adoption while supporting the business's need to reduce cost and risk.

Despite the critical role of end users, some organizations balk at the notion of user-driven email management. They ask whether it's realistic for users to make classification decisions about each of their email messages. We'll investigate these concerns and show not only how it's possible for end users to incorporate email management into their normal work processes, but why it's vital that they do so—and how end users themselves benefit from email management.



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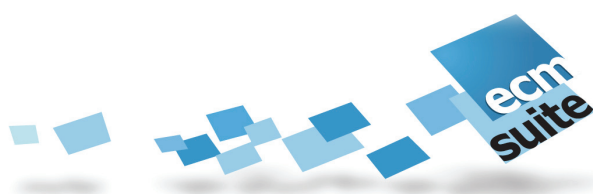
Executive Summary

This is the second part of a two-part series on email management.

Part 1, *Taking the Cost and Risk Out of the Inbox*, laid out the key issues—cost and risk—that are driving the adoption of email management at an increasing number of organizations. Ultimately, the cost and risk associated with mismanaged email are central concerns for two groups in particular: IT, which is responsible for the storage of data and the operation of the messaging system, and the legal department, which is sensitive to the amount of risk an organization takes on.

But there's a third group that plays a critical role in the overall success of an email management project: end users. That group is the focus of this whitepaper.

After we review the key issues that were discussed in detail in Part 1, we'll turn our attention to the end-user perspective. We will look at how email is actually used, and we'll explain how the Open Text Email Management solution was designed to simplify email management for end users, with the goal of reducing barriers to adoption and enabling them to go about their business with little or no impact. The Open Text Email Management solution works seamlessly with the way users work, encouraging them to participate in the active management of email in a way that aligns with the business's need to reduce cost and risk through the defensible disposition (or deletion) of unimportant and inconsequential email.



Introduction: A Review of the Issues Driving Email Management

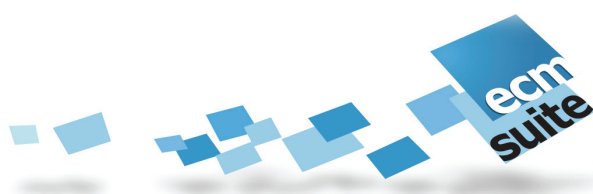
At the end of the day, for most businesses the cost and risk of poorly managed email are the key reasons for implementing an email management policy and solution. And the two groups most impacted by unmanaged email are the IT department, which is responsible for controlling storage costs, and the legal department, which is charged with reducing the risk that unmanaged email represents.

- IT feels the pain of managing growing volumes of email data and finding the budget for hardware to store all of that information. In an organization with 10,000 employees, for example, some 2 billion messages can accumulate over the course of seven or eight years, consuming easily over 100 TB of storage space. The cost of that information is significant in a number of different ways.
- The legal department sees unmanaged email as presenting two risks: the company may be storing information it has no business or legal obligation to keep, and at the same time, it may be deleting information that has legal relevance. But Legal is primarily interested in reducing email volume—in a responsible way—because the cost of a legal discovery request is directly related to the amount of information stored. The more data that is kept, the greater are the costs incurred.

Classifying email according to its business value

To address the needs of IT and the legal department, Open Text recommends that companies implement a “three zone” model of classifying email messages according to the value they represent for the business. We find it’s helpful to start by thinking about email in terms of these three types: email that must be saved for legal or regulatory reasons, email that has business value but is perhaps not legally required to be saved, and email that has no long-term business or legal value at all. In Part 1 of this whitepaper, we named these categories *intended records*, *reference*, and *transitory*:

- **Intended records**—These email messages should be captured and retained in accordance with corporate policy. They typically contain important and sensitive content that companies may be compelled to reproduce later.
- **Reference**—Some messages sent and received by employees are not formal records of the company but have value to the sender or recipient. For example, messages containing project-related information fall under the “reference” category.
- **Transitory**—The majority of email sent and received falls into this category. These messages have no long-term value to the company, and some may not relate to business activities at all.



Once email is classified into these three categories (and, if appropriate, sub-categories), the organization can apply rules that govern which types of email are retained and for how long. Deleting *transitory* messages as quickly as possible can save the business a tremendous amount of money in storage costs, and more importantly, costs related to eDiscovery. Eliminating those emails while retaining the *reference* and *intended records* also reduces the risk of deleting messages you have kept or keeping messages you should have deleted.

Adopting this classification strategy allows Legal to demonstrate that the company is following an established, well-documented process that is responsible and consistent. It also enables IT to greatly reduce the volume of data stored by as much as 75 percent. How an organization actually goes about classifying email messages is largely a function of end user action and discipline.

The third stakeholder in email management

While IT and Legal are the two groups most impacted by the growing volume of email—and thus the groups that are driving adoption of an email management solution—there's a third group that has a stake in how email management is implemented: end users.

For business users, which in many companies means the entire employee population, email is critical to how they do their job: and these users will resist—if not downright reject—anything that restricts their ability to use email in the way to which they've become accustomed. On the other hand, once business users understand how email management can improve their productivity and collaboration, they quickly grasp its value. And as long as it doesn't represent a new burden that interferes with how they work, end users are often willing participants.

The table below summarizes the benefits each group of stakeholders receives as a result of implementing a successful email management solution:

Stakeholders	Value of a Successful Email Management Solution
IT Organization	Reduces storage costs associated with the messaging environment Improves backup and restore processes Minimizes IT overhead associated with maintaining email system
Legal Department	Reduces legal costs by minimizing the total volume of information retained within the company subject to legal discovery and review Reduces risk by ensuring that important messages are demonstrably retained in accordance with policy



Stakeholders	Value of a Successful Email Management Solution
End Users	<p>Eliminates mailbox size restrictions—giving users more flexibility to keep the email that is important to them</p> <p>Provides much more robust search tools, enabling users to quickly locate messages and attachments</p> <p>Enables business users to collaborate and share email information between groups</p>



Why End-User Involvement Is Critical

Users are critical to the success of any email management project because they are the ones who make the actual decisions. Is this email important to keep? Is it an intended record or reference material? The reality is that without end-user participation, an organization's ability to reduce the cost and risk of email is severely limited.

That's why most organizations conclude that they prefer at least some level of direct user involvement in determining what email should be kept through a classification process. Company leaders usually feel that since users are the creators and custodians of content, they are in the best position to make an accurate decision about which information is business relevant and to take appropriate action to identify it as such when sufficiently trained.

So what does user involvement actually entail? Some organizations initially balk at the notion of user-driven email management as they believe the sheer volume of messages renders user-based decision making unrealistic. This is where the "three zone" philosophy described above helps explain how and why a user-driven email management strategy can be both plausible and successful.

Most organizations find that only a very small portion of email messages actually constitute *intended records* of the company. It is only for these messages that a user makes a measured decision about what it is and why it should be kept. In the case of *transitory* messages (the vast majority of email), the user takes no action at all—these are purged by default if the user did not take an explicit action to deem them important. And handling *reference* messages is really no different than what users are already doing today. For instance, many users maintain local archives like PST (personal archive) files that store old email and, as we'll see, the process for designating messages as *reference* material can be as simple and intuitive as working with a PST file.

Why not a completely automated approach?

It is appealing to think that an intelligent engine could identify and capture significant messages, separate the *intended* and *reference* messages from the *transitory* messages, and then automatically apply the right disposition schedule to each. However, many companies who initially pursue a completely automated decision ultimately come to the conclusion that it can at best serve as a supplement to a primarily user-driven model.

The primary reason lies in the fact that email is notoriously contextual and, at times, surprisingly vague. Automated systems may be pretty good (but rarely perfect) at identifying intended record messages. For instance, it may be a relatively simple exercise to identify an attached contract as such, and infer the topic from content in the message or other characteristics. From this information, the appropriate record classification could be derived. Where a wholly automated approach is less effective is in differentiating between *reference* messages and *transitory* messages. The messages a user needs to keep for reference purposes



will be extremely varied, often consisting of but a simple conversation with few, if any, keywords by which to trigger a classification. An automated system may have difficulty identifying the business value of messages that have no record context. And paired with a strategy that endeavors to purge unimportant messages, not recognizing them as reference messages means the system puts them on a short retention schedule and soon deletes them.

Of course, this is immediately a problem for users who consider those messages important and are frustrated when they search and are no longer able to find them. The result? Users who feel this frustration on more than one occasion may find other ways to save their messages outside the email management system. And that ultimately exacerbates the very problems the email management system is designed to solve.

For these reasons, many companies we've talked to at Open Text say they're not ready to accept the risk of misclassified messages and users who skirt the system—especially since the key reason they're interested in email management in the first place is to *reduce* risk. Instead, these companies prefer to rely on a fully trained and demonstrably certified end user who understands the importance of effective information management practices. They see this approach as markedly more defensible than relying on an automated system that disposes of key messages because it misinterpreted them.

Making email management matter to end users

So if user participation is crucial, it's critical that they see the value. The challenge is that users do not typically feel a great need for email management. Even worse is that they can see it as a burden, especially if it requires extra work on their part. Users will always ask, "What's in it for me?"

For these reasons, it is important to educate users about the importance of reducing risk and cost. However, we cannot expect that simply because users understand something is important for the company, they'll actually do it. Users need to derive some personal benefit from the whole process—for example, having better access to information or becoming free of the traditional burdens of the email environment, such as Inbox size limits.

At the same time, organizations must strive to make the system as unobtrusive as possible by implementing a solution that meshes seamlessly with the way users prefer to work. And since users manage email in different ways, the email management system must provide a flexible approach that allows each user to classify messages easily, with minimal effort, and without having to change the way they are used to working.

The next section of this whitepaper is about how to design an approach to email management that encourages end user participation, while supporting the business's need to reduce cost and risk. Using the Open Text solution as an example, we discuss features that enable end users to easily incorporate email management into their daily processes.



Designing an Approach that Matches Your Business Goals

Open Text has always sought to understand the customer first and to build a product that can easily adapt to the myriad ways individual users and different organizations handle email and other legal records. After all, policies should drive technologies—not be forced to change to accommodate technical limitations.

Because we recognize that no single strategy can fit every business environment or culture or the habits of every user, we've designed Open Text Email Management to allow a great deal of flexibility in how companies like yours implement a solution. In the following sections, we'll discuss various approaches that businesses have taken and how Open Text supports those approaches. Because users are familiar with the idea of storing information in folders, this is a good place to start (though as we'll see, it's not the only approach).

First approach: User-defined and managed folder structure

Email applications like Microsoft® Outlook are designed to enable users to create folders within the Inbox that they can use to sort and store their messages; and in fact most users take advantage of this capability. One approach to email management, then, is to leverage this user-defined structure, allowing users to continue using the folder structure they've already created and simply indicate which folders contain messages that are critical to the business and which contain messages that the user wants to save for reference purposes.

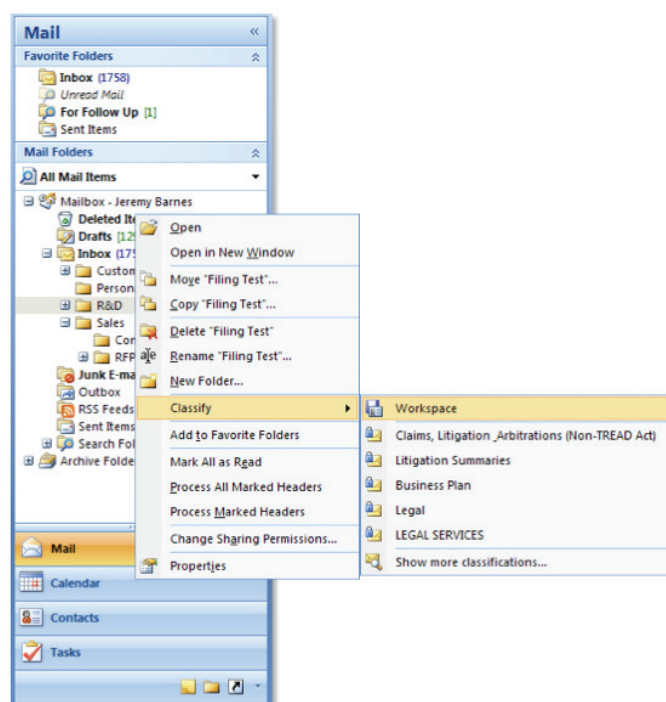
IT, working with Legal, defines the classification schema and retention policy for each category and then pushes this classification "picklist" to every Inbox. Each user's view of classification options is tailored to, and derived from, his or her role in the organization. For instance, a user in a customer support department might see entirely different options than a user working in engineering.

Users apply a classification to the folder they've set up, assigning one classification type for each folder. Users can map classifications to existing folders (including those they've been using for years) or to new folders upon creation. All messages within a folder automatically inherit the folder's classification. Messages stored in these folders are then extracted from the mail environment and placed into a managed repository, which provides additional benefits for the user, including better search, collaboration, and access control.

When a message is extracted from a folder, it is always replaced with a shortcut (or "stub"), which looks and functions just like the original email message. The shortcut preserves the normal email experience for the user by ensuring ready access to that email as if it were still in the user's Inbox.



User-defined and managed folder structure
 Users apply the appropriate classification to each of their folders. Email within each folder inherits the folder's classification.



The primary advantage of this approach (see table below) is that it works well with the way users already manage their email and requires very little effort on their part to classify messages, other than what they're already doing.

Characteristics	Advantages	Disadvantages
Users define the folder structure	Works well with the way most users already manage their email	Doesn't apply to messages that haven't been stored in folders
IT and Legal define the classification schema and the retention schedule for various types within that schema	Requires minimal effort on the part of users, who can very quickly assign a classification schema to each folder they've created	Doesn't work well for users who don't use folders and don't ever move messages out of the main Inbox folder
Users assign classification types to each folder in their Inbox	Ensures that every message is assigned a classification, based on the folder in which it's stored	Assumes that folders contain only one type of message

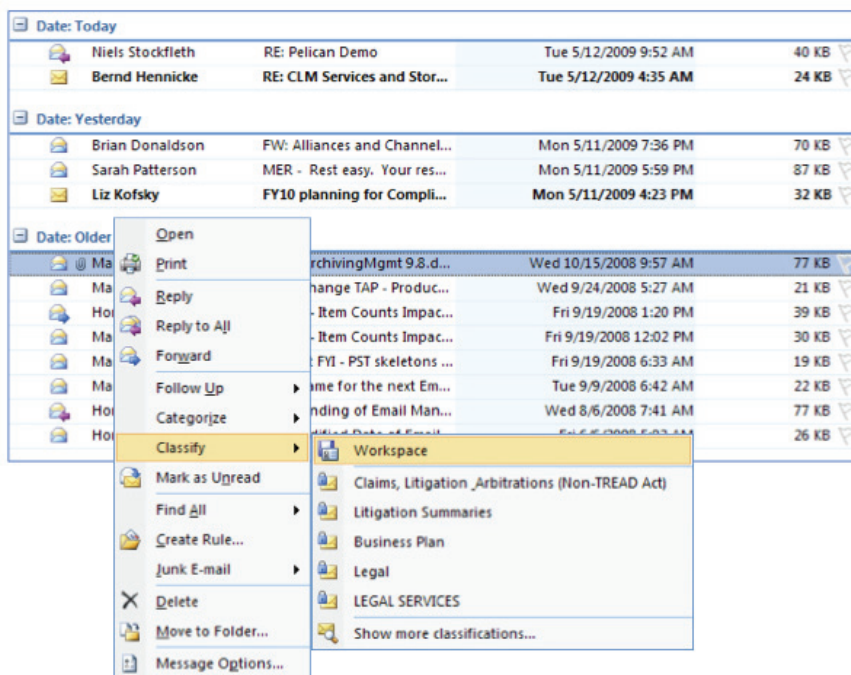
Second approach: "In place" classification

Having users assign classification to folders and having that classification automatically apply to the email messages within those folders is perhaps the most "user friendly" approach to email management, but it doesn't account for a certain segment of the user population—namely, those users who don't like to

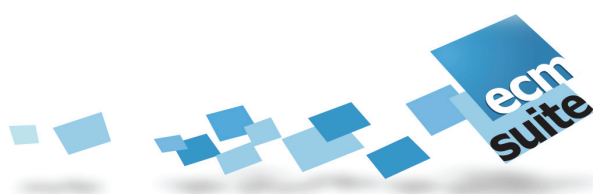


organize their messages into folders. For these users, Open Text provides “in place” functionality.

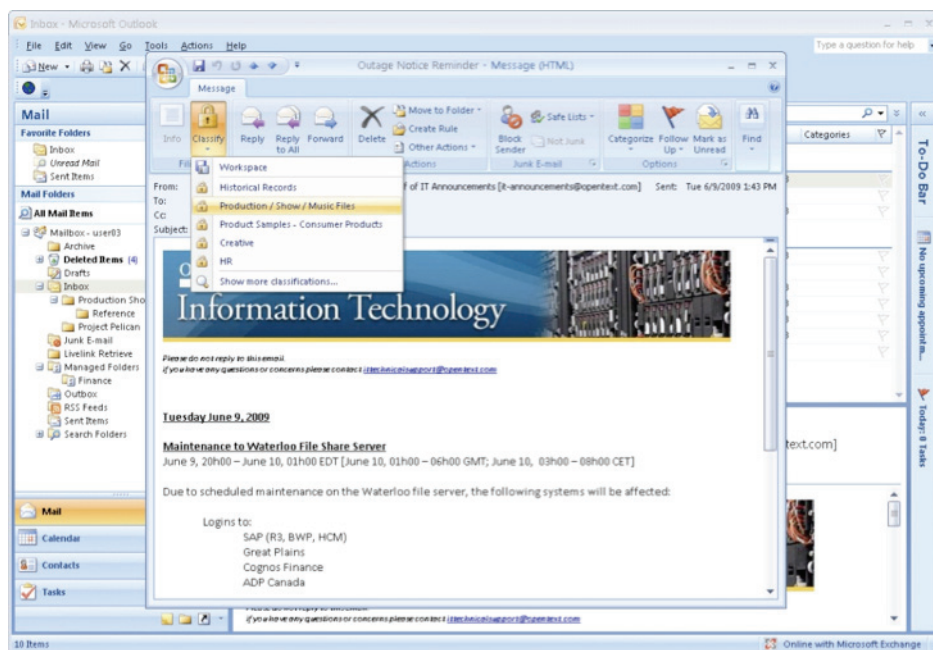
“In place” classification
 Users apply classification type to individual (or multiple) email messages in the Inbox.



Simply put, this functionality allows users to assign classification to individual email messages. IT (along with Legal) still defines the classification schema and retention policy and pushes the schema to every Inbox—in each case, the user is provided with the same role-based picklist of options. Similar to the filing-based paradigm, once a user identifies a message as important to keep by classifying it, the email management solution extracts it from the mailbox, stores it in the centralized records management system, and replaces it with a shortcut that looks and functions just like the original email message.



“In place” classification
Users may also apply classifications to individual emails from the “ribbon” in Microsoft Outlook.

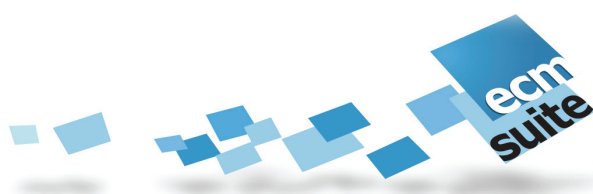


In addition to accommodating those users not inclined to file emails into folders, in-place classification also provides an additional level of granularity. It enables message classification to be decoupled from organizational filing. In other words, users may organize multiple *intended records* types and *reference* materials into the same folder, free from the burden that simply because information resides in a folder it all must inherit the same classification.

This approach is more granular—and thus, likely to be more accurate—than the approach in which classification is applied at the folder level. However, for that reason it also requires more effort on the part of users.

Some organizations may want to make both approaches available to users: the ability to apply classification at the folder and at the individual email level. This takes care of a potential issue noted in the previous section. With the combined approach, a user can set the classification broadly for folders but then apply a different classification to some emails that are stored in that folder.

Characteristics	Advantages	Disadvantages
IT and Legal define the classification schema and the retention schedule for various types within that schema	Works well for users who don't tend to store their email in folders	Requires more effort on the part of users, and thus may also meet with more resistance
Users assign classification types to individual email messages	May be more accurate because classification and retention are applied at a more granular level	

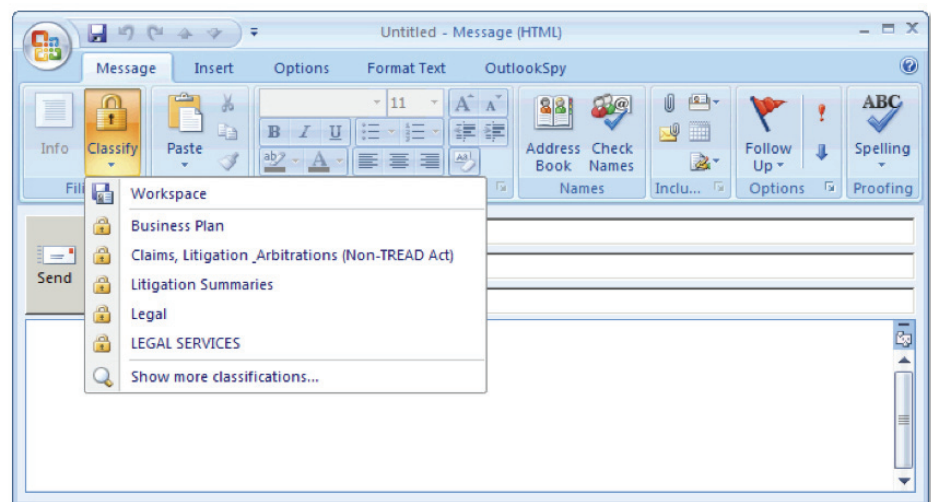


Third approach: Classify on send

If you spend any time at all thinking about how people manage or work with email, you quickly realize that one reason the amount of email is so high is that numerous copies of messages are received by numerous people. You send a message and copy three other people. Now four people have an instance of the message. One person replies to the group, and then another person replies, and then you reply, and now there are 16 copies of a single email thread. If each person identifies each message as a business record, you can see that even in this very small example how many times a classification is applied.

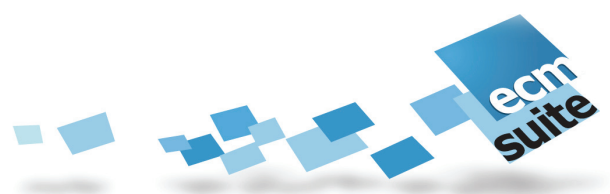
With that in mind, some organizations opt for a “classify on send” approach. With this approach, the initial sender indicates the type of message and applies the appropriate classification. That classification stays on the message and is made visible to each recipient—so long as they are internal to the company. As long as each recipient agrees with the initial classification, that person doesn’t need to do anything (in terms of assigning a classification type); alternatively, if the recipient disagrees, he or she can indicate a new or additional classification.

Classify on send
The person composing the message determines its classification. As long as recipients agree with the sender’s determination, they don’t need to take any action with regard to the classification.



Classified messages are extracted from the Sent Items folder and replaced by shortcuts, as described in the two scenarios above. Users can access their managed sent messages by simply opening the Sent Items folder as they always have.

The primary advantage of this approach is that it reduces the amount of effort on the part of the users. It also allows granular classification, but it does require that users give some thought to the business value of a message as they are composing it.



Characteristics	Advantages	Disadvantages
IT and Legal define the classification schema and the retention schedule	Eliminates the need for every recipient of a message to apply classification	Although it requires less overall effort, it may be perceived as requiring more effort by the sender
Users assign classification types to individual email messages before they hit the Send button	As long as each recipient agrees with the initial classification, there's no need to do anything further	
	Allows for flexibility in case recipients disagree with the original classification or want to classify their own copy differently	

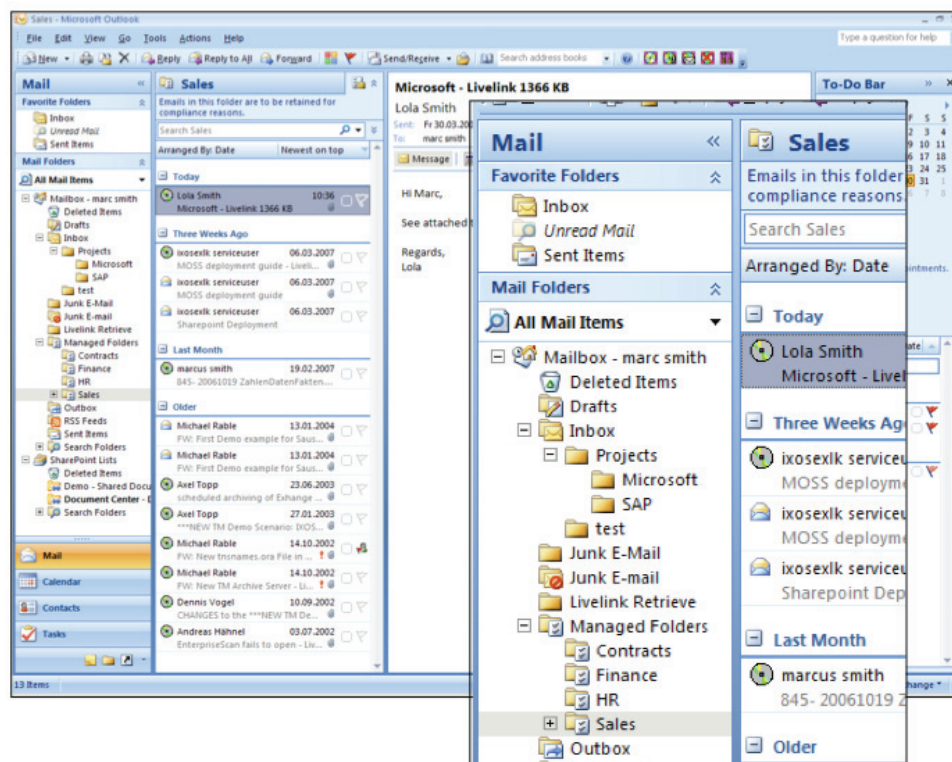
Fourth approach: Centrally defined and managed folder structure

So far we've talked about decentralized approaches that depend more on users to determine how intended records are classified. But some organizations prefer to define records-enabled folders centrally and push them out to users. This strategy helps the organization ensure that the right kind of information is being saved by providing general guidance to users about the types of messages that are important to the business. For instance, the organization might create project-based folders to capture all information pertinent to each project or, as in the example below, folders related to areas of the business, such as Finance or HR. These folders are then propagated in each user's Inbox automatically, and the next time users log in, they'll see the new list of folders in their mailboxes.

The folders themselves have defined records management characteristics, including retention schedules and other metadata that can make the discovery process easier and faster. As discussed above, the email messages placed into these folders are removed from the users' Inboxes, stored in a centrally managed repository, and replaced by a shortcut.



Centrally defined and managed folder structure
 One approach to managing records-enabled folders: create them centrally and push them out to all users. Users simply drag-and-drop messages into the relevant folder (such as Contracts, Finance, HR, and Sales).



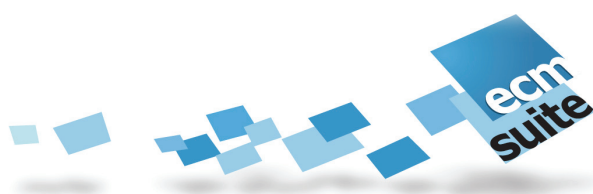
A disadvantage of this approach is that individual users may not agree with the centrally defined folder schema because it doesn't map to the way they would like to organize their information. For this reason, users may be reluctant to archive their email in these folders, preferring instead to use a folder structure they've defined and perhaps have been working with for many years.

Characteristics	Advantages	Disadvantages
Records-enabled folders exposed in mail client interface	Organization can ensure consistency in terms of which folders are created	Users may be less likely to adopt a system in which folders are defined by someone else
Folders defined and configured centrally	Folders can be defined by department, group, or user role	Folders may be too general for users who like a different or more granular archiving structure
Folders mapped to central record classification schema	Centrally managed folders enable greater collaboration between individual users, who can access all messages in the folders	
Permissions assigned to email messages as they're dragged into folders		
Ingested messages replaced by shortcuts	Duplicate messages can be removed, saving space on storage servers	

Flexibility to meet the needs of a diverse set of users

One big advantage of Open Text Email Management is that it aligns well with the way many users like to work. It gives them a way to remove messages from their Inbox and place them into a managed repository—but the manner in which they get there is entirely based on the user's preferred behavior. If users prefer to file messages into folders, capturing important content can be a transparent part of that activity. For users who are averse to filing, classification mechanisms are available to suit their tendencies as well.

This is the great thing about Open Text Email Management. We enable you to design an approach that fits well with your particular organization's culture and goals. Companies in highly regulated industries, such as healthcare, are likely to take a more centralized approach. In organizations where very little email would be considered intended records of the business—marketing departments, for example—a decentralized, user-defined approach may be preferable. With Open Text, you have the flexibility to adapt your approach to *your* requirements.



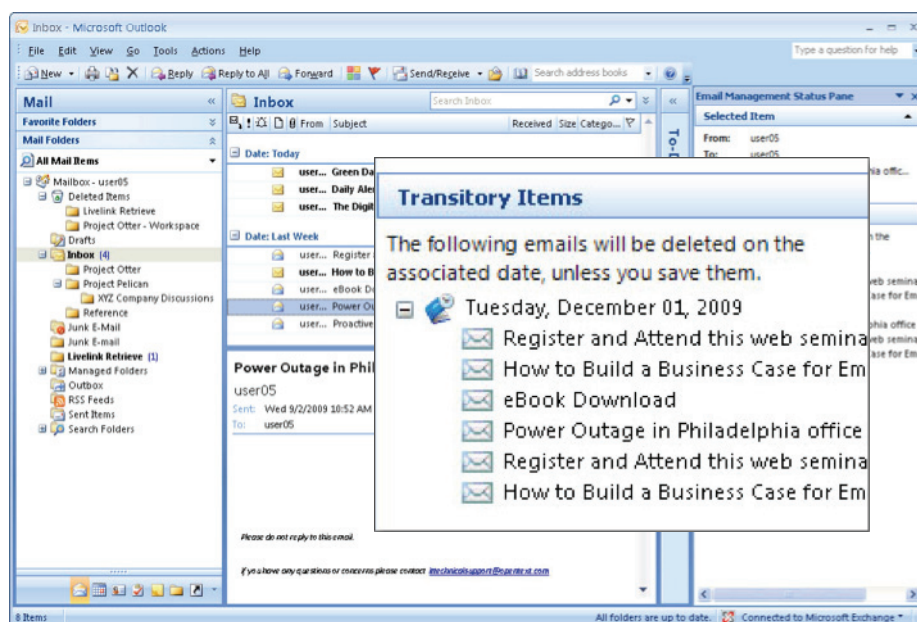
Ensuring Transitory Information Is Quickly Disposed of

So far we have discussed the mechanisms available to users to identify messages that are important to keep: those that are intended records of the company or those that are useful to retain for reference purposes. By default, everything else in the mailbox is considered *transitory*, or unimportant to keep.

Organizations can use an email management solution to establish a time period after which such *transitory* emails are purged from the mailbox. For instance, some companies opt to delete after 90 or 180 days all emails that have not been identified as important to keep. And many organizations believe this to be a responsible practice, so long as it's done in good faith and during the course of normal business operations. Of course in the event of litigation, or when litigation is reasonably foreseeable, organizations are compelled to halt any disposition processes associated with individual custodians and ensure any potentially relevant information is put on litigation hold.

In this way an email management solution helps companies dispose of unimportant information by enabling users to identify what needs to be kept and automating the destruction of the rest. However, to ensure that users are always given one last chance to review and keep any potentially useful emails, Open Text Email Management provides an “email management assistant.”

Email management assistant
The Open Text email management assistant identifies transitory emails in the user's mailbox that are about to be deleted—providing one last chance to save useful messages.



The email management assistant is an optional pane that can be displayed in Microsoft Outlook to provide the user with a real-time view of the messages in their mailbox that are pending deletion. It provides the users with one last



opportunity to review *transitory* emails and ensure that nothing important is deleted.

The email management assistant is typically configured to display emails pending disposition several days before they will be deleted. For instance, if a company opts to delete *transitory* email after 90 days, the email management assistant can be configured to start notifying users about messages 10 days before they will be deleted. The email management assistant displays the messages that will be deleted on each day accordingly and allows the user to classify messages that are important and should be saved.



The Importance of a Centrally Managed Repository

Although we haven't talked about it in detail prior to this point, a central repository is a key requirement for any true, enterprise-scale email management system, such as the Open Text Email Management solution. A records-enabled central repository is where email messages themselves are stored and managed. This repository provides the ability to apply disposition and retention rules that automatically archive content and then dispose of it at the right time. By ensuring continuity and recovery in the event of disaster, a central repository also protects the business against accidental loss of critical email messages and other business records.

A selling point for end users

A central repository also adds key features that end users are looking for and that will help sell them on the idea of using email management. Recall from the table on page five that an email management solution provides the following benefits to end users:

- Eliminates mailbox size restrictions, giving users more flexibility to keep the email that is important to them
- Provides much more robust search tools, enabling users to quickly locate messages and attachments
- Enables business users to collaborate and share email information between groups

The last point is an important benefit, but one that's often undervalued—until an email management system is put in place. The ability to use email as a collaboration tool is much stronger when business email messages are stored centrally and accessible by more than just the sender or recipient. Email is a notoriously "siloed" application. Storing business-relevant messages in a repository allows users to search for and take advantage of information that would otherwise be inaccessible.

An enterprise-grade, records-enabled content management repository is what makes this collaboration possible. Using Open Text Email Management to set up records-enabled folders allows users to move their business-relevant messages into these folders and make them instantly searchable by other users who may profit from that information. As discussed above, it's critical that end users see the value themselves, and ability to collaborate more freely can help convince them of the benefits of email management.



Conclusion: A First Step on the Journey to ECM

An enterprise-grade email management solution like Open Text's must be built on a records-enabled central repository. That repository is also the foundation for Enterprise Content Management (ECM).

Businesses that do not have an ECM system in place often find that implementing email management is a good first step toward bringing *all* of their content under control. They realize that the issues they're facing with unmanaged email—increased IT and legal costs, decreased user productivity, and unacceptable levels of risk—are also the same issues they're facing as a result of not managing their content. Because email is typically one of the first areas to be brought under control, it can represent an initial step in the ECM journey. Once end users have accepted and embraced email management, it's an easy transition for them to an ECM system.

The Open Text ECM Suite
Open Text Email Management is part of the Open Text ECM Suite and is typically used in conjunction with Records Management and Archiving. Often email management is first step on an organization's journey to ECM.



In the case of Open Text, our email management solution is tightly integrated with other components within the Open Text ECM Suite, like Archiving and Records Management. And of course, Open Text Email Management makes use of the Open Text ECM repository for functionality such as search and collaboration (discussed above).

Why is ECM so important? Regardless of the specific problem they're trying to solve, at the end of the day organizations invest in software for three primary reasons: efficiency, innovation, and compliance:

- Greater efficiency reduces costs and increases profit.
- Innovation leads to growth, which contributes to revenue.
- Compliance protects the business by ensuring that you meet legal requirements.

The Open Text ECM Suite meets these needs by empowering people, automating processes, and controlling the risk and cost of content.



About Open Text

Open Text is a leader in Enterprise Content Management (ECM). With two decades of experience helping organizations overcome the challenges associated with managing and gaining the true value of their business content, Open Text stands unmatched in the market.

Together with our customers and partners, we are truly The Content Experts,™ supporting 46,000 organizations and millions of users in 114 countries around the globe. We know how organizations work. We have a keen understanding of how content flows throughout an enterprise, and of the business challenges that organizations face today.

It is this knowledge that gives us our unique ability to develop the richest array of tailored content management applications and solutions in the industry. Our unique and collaborative approach helps us provide guidance so that our customers can effectively address business challenges and leverage content to drive growth, mitigate risk, increase brand equity, automate processes, manage compliance, and generate competitive advantage. Organizations can trust the management of their vital business content to Open Text, The Content Experts.

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