RECOMMENDATIONS FOR EMAIL MANAGEMENT & GOVERNANCE

Criteria for Evaluating Email Management and Governance Solutions
1.0 Introduction

Email is the number one internal and external communication medium for corporations today. As a result, email represents two very significant challenges for businesses:

- **Cost containment** – explosive growth in email volumes creates an undue burden on IT in terms of content management, storage management and performance management.
- **Risk containment** – over-retention of non-relevant email content represents operational risk for the organization in terms of a.) Not knowing what is being stored (the “smoking gun”), and b.) Increased difficulty in finding and preserving the relevant content associated with a potential lawsuit.

Traditionally, organizations have maintained their email systems by storing everything forever using archival products and policies to address their needs; today’s operating environments require a more sophisticated, proactive approach to governing email content throughout its lifecycle, from creation to storage and from discovery to disposal, in order to reduce both cost and risk.

Integro, Inc. has been in the Enterprise Content Management (ECM) business specializing in Email Management for over fifteen years. We have drawn upon this experience to produce this guide to assist companies in properly evaluating and considering the best email management approach for their business.
2.0 Business Objectives

Every organization will have unique email management requirements based upon a variety of factors:

- **Size** – more employees equals greater volumes and greater risk.
- **Industry** – highly regulated industries have more complex compliance requirements.
- **Litigation profile** – the frequency, complexity and risk profile of the lawsuits the organization is involved with or to which it is exposed.

When it comes to proper email management and governance, there are common business objectives for most organizations:

1. Proper retention and governance of business record email content which needs to be kept and managed for legal, regulatory or business policy reasons.
2. Disposal of the non-record content as soon as possible after its usefulness has expired, and prior to costly and risky archival.
3. Positive experience for the end-users; complement rather than disrupt the user experience and increase user productivity.

Integro recommends considering the following categories when evaluating email management solutions:

- **Content Management** – the collection, storage and organization of email content in a central repository.
- **End-User Experience** – how the email users interact with and derive benefit from the solution.
- **Administration** – ease of implementing, administering and maintaining the solution.
- **eDiscovery** – the process of searching, preserving, analyzing and producing email content with the intent of using it as evidence in a legal case.
- **Records Management** – control the classification, storage, access and disposition of email record content.

Note: eDiscovery and Records Management are more advanced concepts that can be phased in over time depending on business requirements.

2.1 Content Management

Solution Considerations

- Provide a robust repository for storing and protecting the integrity of email content prescribed by company retention policies.
- Reduce email volumes by deleting obsolete, redundant and non-record information from the production email environment on an ongoing basis.
- Reduce archival volumes and operational risk by identifying, collecting and storing only relevant email content.
- Invest in a true ECM repository which can store other types of electronic content besides email, to support evolving business needs and eliminate restrictive, ‘siloed’ solutions.
- Provide a mechanism for journaling all email messages (if required for legal reasons).
Support stubbing and de-duplication of messages and attachments while allowing multiple classifications of same electronic document or email.

Have a mechanism for the future capture of other types of electronic content (both structured and unstructured), i.e., files, SharePoint, etc. into the same repository, allowing for same management of that content.

2.2 End-User Experience

Solution Considerations

- The email management system must be designed and implemented in a way that maximizes user acceptance and minimizes disruption or inconvenience to users. Otherwise, users may be motivated to subvert or avoid the system (e.g., continuing to use personal archives or moving email to other unmanaged drives), which could result in diminished employee productivity and/or the utility of the email management system as a means to reduce legal risks.

- Convenience: Integrate tightly and support current user behaviors that are both simple and familiar to traditional work habits.

- Increase productivity by providing the user with email management tools.

- Personalization: Allow users to personalize the records choices, auto-declare rules, folder locations and naming. Can be configured for different work styles, providing users the ability to maintain current naming conventions.

- Support for managing email content in place (inbox) as well as for user-defined folders.

- Trust and empower the end user. Users are the experts regarding their own email. Users want to be in control of their email, and not have things “done to them.” Keep users in control, and give them the tools to manage efficiently.

- Flexibility: Provide options and let users choose. Make it easy.

- Consistency: The user must be able to depend on the action and the outcome must be predictable.

- Auto Classify emails that are potential records, but provide users the option to audit the auto-classification. This increases acceptance and consistency while providing users with control.

- Provide intuitive visual cues so the users can quickly understand message status.

- Users have a personal workspace for easily controlling “work in progress”: email content that is neither an official record nor ready for auto-deletion, but is important because its usefulness has not yet expired.

- Records declaration – users have a streamlined and efficient way to properly manage email to comply with the organization’s records policies.

- Auto-deletion of non-record email content based on a configurable retention policy.

- Flexible retention policies that can be applied to different groups of users.

- Intuitive reporting to allow employees to monitor their own email usage, organize records by category and control which messages will auto-delete.

- Ability to search and retrieve archived email at a future date.
2.3 Administration

Solution Considerations

- Ability to import and synchronize the corporate records File Plan with the email system.
- Support for deployment of portions of the File Plan to users based on their roles in the organization.
- End-User management: grouping, roles, permissions, etc.
- Robust reporting by user, group, record type, division, and more.
- Simple deployment and enablement of staged deployment.
- Pre-configuration of standard folders, as required.
- Integrated user management for out-of-office functionality and managing auto-deletion modes.
- Central or distributed administration to match organizational structures and processes.

2.4 eDiscovery

Solution Considerations

- Sophisticated search and hold capabilities of all stored email content and other electronic content per the business needs of the organization.
- Ability to execute a variety of search techniques: case sensitive, proximity, fuzzy, stemmed, wildcard, and Boolean.
- Search on message, full body, metadata and attachments; search on records declaration, To, From, date, subject and keyword.
- All searches should be applied directly against the repository without having to export content first.
- Ability to create unique Case folders and add relevant search content to each Case.
- Ability to put search results on a legal hold; allowing for multiple holds to be placed on the same data without creating copies.
- Ability to export the search content for further processing by analytic tools or legal reviewers.
- Maintain a robust audit trail that can be exported and used in court to support the admissibility of electronically stored information (ESI) as evidence.
- Automated hold capabilities allowing users to preserve ESI to help minimize the chance of spoliation sanctions and accidental deletions.
- Comprehensive security controls, enabled by dynamic roles, to supply granular control of case tasks.
- Ability to analyze case content to quickly cross-reference case-related material.
- Ability to visualize sender/recipient relationships to gain better understanding of communication traffic patterns relative to the matter.
- Ability to quickly identify irrelevant, non-responsive, and privileged content to reduce matter to a much smaller and relevant data set.

“When considering an email management solution, look for the ability to maintain a robust audit trail that can be exported and used in court to support the admissibility of ESI as evidence.”
2.5 Records Management

Solution Considerations

- Provide a single records classification and retention schedule across the entire enterprise for all types of content, including and especially email.
- Support for event-based email records. Event-based records can comprise greater than 50% of most organizations’ records. Event-based records retention starts upon the occurrence of an unknown future event, such as Policy End, End of Employment or End of Contract Term.
- The ability to identify and preserve intended records while safely removing convenience copies from the active email system.
- Application of retention policies to all content, not just records, so that email content is defensibly disposed as soon as possible.
- Ability to easily assign custom metadata to email messages, e.g., Employee Number, Region, Business unit, customer name, contract information, etc.
- Robust and feature-rich records disposition processes.

3.0 Conclusion

Understand that each of these categories applies to broader ECM initiatives as well, but this guide focuses specifically on email management. Also, each category and each criteria is worthy of further discussion as they are applied to your operating environment and specific business needs; we recommend engaging your Integro representative to review this guide together to validate requirements and prioritize needs.