


How to Ensure that End Users are Ready for Email Management



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How to Ensure that End Users are Ready for Email Management

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Some material developed in collaboration with
Jim Engler, Rohm and Haas Company

Agenda


- Issues and Goal
- Influencing Employee Behavior
- Email Control Zones
- Proof of Concept Experiences
- Possible “Must Haves”
- Training and Ongoing Support
- Lessons Learned



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RM Issues in Email

- **“Needless Retention”** means retention of information past the point that it should be destroyed because there is no legal retention obligation and the information has no ongoing material business value.
- **“Under Retention”** means premature destruction of information that should be retained because of either a legal retention obligation or because such information has ongoing material business value.




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The Goal for Email Management

A solution that enables us to:

- Aggressively restrict the accumulation of material that is no longer useful
- Identify, store & protect company records

...without affecting employees’ ability to conduct business productively



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Influencing Employee Behavior

Employee Behavior Goal:

- Employees make purposeful decisions about what they choose to keep in email.

What we have learned about employees:

- Employees want to decide what email messages are important to them and the company - they do this today.
- Employees need to be told or reminded as to why some email messages are of specific importance to the company, and why some of the messages they thought were important are not.
- Employees want an approach which is autonomous, flexible, convenient, personal, and consistent.




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How invasive is this, anyway?

Presently:

- The user “controls” physical office space assigned
- No one comes in and tells them how to organize space
- No one goes through their stuff on some time/event basis and takes things away or throws things out



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Challenge – Optimal Carrot/Stick


- **Physical office example...**
How do we mimic this in the electronic office?
- My desk surface (things I need to access asap)
- My desk drawers (things I file away)
 - some I lock up and some I don't
 - some are company records and some are not
 - some I know are company records and some I don't
- Department and Central Files (things I share)
- Off-site records storage (things I know I must keep until some event happens, then box up and send to storage – most people do not do this now)



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Email Control Zones


- Auto-delete
- Work space
- Company records
- **Time limits**
- **Space limits**
- **Business value**



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The Three Zones

80% Auto-Delete IT Managed • Do nothing and lose it • Inbox • Sent • Trash • Temporary Folders Time Limited Automatic Disposal	15% Designated Employee Managed ↓ Work Space Keep while active In designated folders Space Constrained Short Term Storage	5% Declared Managed by Org. Retention Schedule Category ↓ “Official” Records Retention per Retention Schedule
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Auto-delete Zone - Example

3 day retention:

- Trash


60 day retention: (interim 90-day step)

- Inbox, Sent
- Messages not in designated/declared folder structure

18 month retention:

- Calendar entries

Discontinue all employee controlled LN Archiving or Outlook .PST files



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Work Space Zone - Example

5MB limit:


- Messages in Individual folder/subfolders

50-200MB limit:

- Messages in WIP folder/subfolders
- Drafts

>100/200 MB

- Role-based need only




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Company Records Zone - Example

Records category based retention:

- Pre-configured categories based on company records retention schedule
- Targeted selection of categories by employees to their role and work function



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POC: Technology issues

Record-keeping Technologies Evaluation

- Focus initially on email / realize larger picture
- Analyze capabilities for email management
- Configure software/hardware
- Test & validate software/hardware
- **IT Review and Implementation Team**




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POC: Legal / regulatory issues

Compliance Requirements Evaluation

- Regulatory requirements for record retention
- Legal considerations
 - Litigation discovery process
 - Records hold process
- Trustworthiness of records and information
 - Authenticity, accuracy and integrity
- **Legal and Regulatory Team**




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POC: End user roll-out plan

Minimize Burden!


- **User Panel**
 - Tailored implementation program
 - Review record categories, system software tool...
- **Communications, Training and Awareness**
 - Communication Plan
 - Introduce Management to new concepts, standards
 - Initiate awareness program to prepare all
 - Training Program
 - Begin training for recordkeeping in system



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Configuring Record Categories in Email


- Configure for setup:
 1. self-configuration of record categories
 2. role-based push out of record categories
 3. work process-based auto-classification
- Why not use auto-categorization for all?
- Push out record categories when the work process has an identifiable discipline (either obvious by type of work/role or something developed by end user group)
- Batch process for migrating legacy mail



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Possible "Must Haves"


- Some portion of email messages **must** be allowed to be kept in active email db for an indefinite period of time
- Company records **must** be able to be declared using one of two methods:
 - Drag and drop into a record categorized folder
 - Individually declare (leaves message in InBox, Sent or Other)
- Company records **must** not be counted in size limits



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Possible "Must Haves"

- Employees **must** be able to initiate configuration of new records categories to use for registering new records
- Folder names **must** be able to be renamed by email user if they want to personalize
- Employees **must** be able to create and name subfolders under a categorized folder which will inherit its properties
- Employees **must** be able to search, find and retrieve all email records declared by themselves for as long as those records are retained



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Possible "Must Haves"


- Employees **must** be able to access some subset of their email messages when traveling or working remotely
- Employees **must** be able to see the active/repository status of their email messages regardless of where those messages are stored
 - Physical space is more noticeable when it fills up – electronic space is invisible
 - Dashboard concept showing status of various "zones"
- Employees **must** be adequately trained on how to use the new categories and how to use the new functionality of the email system



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User Training


- Tell them exactly what to do differently
- Audience segmentation
 - Compress information to avoid overload
 - Minimum key points to get across
 - Timing
- Approach to training deployment
 - Classroom, website, or portal, train-the-trainer
 - Corporate level training vs within division/BU
- Documentation/materials
 - All training materials are tied to policies and procedures
 - Have a central place for users to go back



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What Else Influences User Change?


- Compensation
 - Bonuses
 - Base on reward system (Performance system)
- Influences
 - People (Senior Management, Senior BU Management)
 - Influential programs (ISO)
- Audit Criteria
- Persuasion
 - Job Satisfaction
 - Model behavior (demonstration of Company values)
- Sell personal benefits
 - better organization & searching
 - loss of business productivity (excess retention makes it more difficult to locate and use valuable business information)



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Ongoing Support


- What level of hand-holding are you targeting, and what level of understanding can you truly expect?
- Introducing two things simultaneously
 - the intellectual part of selecting
 - the tool part of selecting
- A reasonable expectation is that the "quality" of the records management will be low out of the gate
- Monitoring and continuous improvement



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Lessons Learned


- Use simple methodology for people to be able to understand and follow a process
- Only need to make a decision on the 5% to categorize/customize. A questionnaire would help individuals categorize in terms of their job responsibility
- During this process it is critical to provide employees with guidance on categorizing and identify the emails that are necessary to keep and what to dispose of
- Say "Exactly" what you want the End User to do



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Key End User Requests

- Acknowledge my subject expertise
= *I want to determine the value* **Autonomous**
- Give me options
= *I want to choose* **Flexible**
- Reduce repetition
= *I want to take shortcuts* **Convenient**
- Speak my language
= *I want to understand* **Personal**
- Ensure the outcome is predictable
= *I want to depend on the action* **Consistent**



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Project Hurdles

- Tools are not fully proven
- Change management
 - Changing work habits is a hard fought battle
 - Any new discipline must make sense to end users
 - Need to tailor to different levels of email use
- Lack of program successes to emulate
 - No benchmark example of what this looks like when implemented



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