

**Q1 How do you handle these aspects of digital document retention and organization and what kind of software, commercial or otherwise, do you use to help you?**

Answered: 9 Skipped: 0

Answer Choices	Responses
Centrally store a variety of document types such as Word, Excel, JPG, AutoCAD, PDF?	100.00% 9
Share documents with third parties	100.00% 9
Centrally search for documents/emails	100.00% 9
Organize and group documents/emails	88.89% 8
Version documents (e.g. how do you retain original published documents and track changes?)	88.89% 8
Store Documents/emails beyond the limits imposed by Compliance	88.89% 8
Secure documents	88.89% 8

#	Centrally store a variety of document types such as Word, Excel, JPG, AutoCAD, PDF?	Date
1	SharePoint 2013 is used to centrally store and organize all documents.	6/17/2016 7:51 AM
2	Currently on a hard drive but moving to a sharepoint cloud based system	6/3/2016 12:24 PM
3	Windows Explorer	6/1/2016 6:55 AM
4	Cloud based	5/31/2016 7:23 PM
5	On our file server with nightly backups	5/31/2016 7:22 AM
6	Secure, unique named folders through Windows Active Directory	5/31/2016 6:09 AM
7	Internal sever, assessing cloud based	5/29/2016 11:15 AM
8	Imanage	5/27/2016 3:53 PM
9	Document Locator	5/27/2016 10:57 AM

#	Share documents with third parties	Date
1	We use either SharePoint of Box.com.	6/17/2016 7:51 AM
2	Sharepoint site and provide 3rd parties with access	6/3/2016 12:24 PM
3	Box.com	6/1/2016 6:55 AM
4	Secured-If contents contain PII or non public proprietary info	5/31/2016 7:23 PM
5	investigating Microsoft's encryption email	5/31/2016 7:22 AM
6	Secure File Transfer Protocol (SFTP) with file encryption	5/31/2016 6:09 AM
7	Secure internal FTP site	5/29/2016 11:15 AM
8	Imanage	5/27/2016 3:53 PM
9	Dropbox	5/27/2016 10:57 AM

#	Centrally search for documents/emails	Date
1	SharePoint 2013 for documents. MS Outlook for local emails. Mimecast for historical emails.	6/17/2016 7:51 AM
2	Search function on sharepoint site	6/3/2016 12:24 PM
3	Microsoft Outlook folder	6/1/2016 6:55 AM
4	Global Relay system	5/31/2016 7:23 PM

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5	Advisormail	5/31/2016 7:22 AM
6	Internal developed Records Management System, Windows Active Directory, SharePoint	5/31/2016 6:09 AM
7	Na	5/29/2016 11:15 AM
8	Imanage	5/27/2016 3:53 PM
9	Smarsh	5/27/2016 10:57 AM
<b>#</b>	<b>Organize and group documents/emails</b>	<b>Date</b>
1	Same as above.	6/17/2016 7:51 AM
2	Sharepoint	6/3/2016 12:24 PM
3	Shared Drives in Windows Explorer	6/1/2016 6:55 AM
4	Global Relay system	5/31/2016 7:23 PM
5	Advisormail	5/31/2016 7:22 AM
6	Documents stored in secure Windows folders, email is personal	5/31/2016 6:09 AM
7	Na	5/29/2016 11:15 AM
8	Imanage	5/27/2016 3:53 PM
<b>#</b>	<b>Version documents (e.g. how do you retain original published documents and track changes?)</b>	<b>Date</b>
1	SharePoint has version control built in.	6/17/2016 7:51 AM
2	Versioning saving used on Sharepoint	6/3/2016 12:24 PM
3	Printed and file in cabinet and store on shared drive	6/1/2016 6:55 AM
4	NA	5/31/2016 7:22 AM
5	Internal developed Records Management System	5/31/2016 6:09 AM
6	Maintain archive folders in each root folder	5/29/2016 11:15 AM
7	Imanage	5/27/2016 3:53 PM
8	Document Locator	5/27/2016 10:57 AM
<b>#</b>	<b>Store Documents/emails beyond the limits imposed by Compliance</b>	<b>Date</b>
1	We do not manage this well today.	6/17/2016 7:51 AM
2	Sharepoint	6/3/2016 12:24 PM
3	Archive folders in Microsoft Outlook	6/1/2016 6:55 AM
4	Global Relay system	5/31/2016 7:23 PM
5	NA	5/31/2016 7:22 AM
6	Documents are stored on local file server. Email limited by corporate policy. Emails can be saved local (e.g. PDF)	5/31/2016 6:09 AM
7	Data center and external hard drive storage	5/29/2016 11:15 AM
8	Global Relay	5/27/2016 3:53 PM
<b>#</b>	<b>Secure documents</b>	<b>Date</b>
1	SharePoint security.	6/17/2016 7:51 AM
2	Sharepoint access securities	6/3/2016 12:24 PM
3	Password protected in Windows Explorer	6/1/2016 6:55 AM
4	Access level only and proper encryption when necessary	5/31/2016 7:23 PM
5	Maintained through Windows folder, file naming	5/31/2016 6:09 AM
6	Internal and data center	5/29/2016 11:15 AM
7	Imanage	5/27/2016 3:53 PM

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8	Document Locator	5/27/2016 10:57 AM
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**Q2 What advice might you have for anyone considering moving to a new software solution for document retention and organization?**

Answered: 5 Skipped: 4

#	Responses	Date
1	This is a very challenging aspect of the business. Identify a staff who reports to you primary responsibility and meet with them every other week. Make sure senior management buys in 100% to an strategy in this area.	6/3/2016 12:24 PM
2	With the development of "The Cloud" public firm are still reluctant to use this capability due to confidentiality. Box.com and SharePoint are two common ways of storing documents in a secure fashion.	6/1/2016 6:55 AM
3	Software should have internal authentication, authorization that enforces security based on data governance rules. Software should enforce strict data rules based on classification (e.g. confidential, internal). Software should encrypt all data.	5/31/2016 6:09 AM
4	We use Smarsh for all communication documentation which also satisfies SEC requirements.	5/29/2016 11:15 AM
5	The upfront investment can be a significant time commitment, but in the long run, your document organization should dramatically improve.	5/27/2016 10:57 AM