

COMMONWEALTH OFFICE OF TECHNOLOGY		Page 1 of 2
Office of the Chief Information Officer Enterprise Policy (CIO)		
CIO-122: Enterprise Document Management Policy		
EFFECTIVE DATE: 11/21/2019	REVISED: 12/29/2021 08/21/2024	REVIEWED: 12/29/2021 08/21/2024

I. PURPOSE

This policy establishes a set of controls related to enterprise document management, including associated standards and supporting guidelines. The policy's chief focus is the creation of executive branch agency-specific Document Management Plans. The policy provides guidance in decision-making and practices that optimize resources, mitigate risk, and maximize return on investment.

II. DEFINITIONS

"Public Records" - means all books, papers, maps, photographs, cards, tapes, discs, diskettes, recordings, software, or other documentation regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by a public agency".

III. POLICY

The Commonwealth Office of Technology (COT) and other executive branch agencies shall preserve and protect Commonwealth documents, both physical and digital, according to Commonwealth statutes, Kentucky Department for Libraries and Archives (KDLA) retention schedules, and state and agency policies. Executive branch agencies shall create an ***Electronic Document Management Plan*** that outlines the agency's security, handling, storing, preservation, and destruction of documents in accordance with statutory requirements.

When handling public records and developing an Electronic Document Management Plan, agencies shall also address privacy, retention, open records, and business needs. These considerations apply as well in the design, development, and operation of IT systems for handling documents and public records.

COT and agencies shall adhere to the scanning standards outlined in ENT-103 Enterprise Digitization Standards, the scanning guidelines outlined in ENT-302 Enterprise Digitization Guidelines and Best Practices, and the records storage guidelines outlined in ENT-303 Enterprise Document Storage Guidelines and Best Practice, all published on the COT Enterprise IT Policies webpage.

Agencies may request exceptions to this policy by submitting a security exemption request through ServiceNow. The CISO will consider requests on a case-by-case basis.

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IV. CORRECTIVE OR DISCIPLINARY ACTION

Each agency shall ensure that all relevant staff within their organizational authority are aware of, and comply with, this policy. The agency is responsible for enforcing it. Unauthorized and/or neglectful actions regarding this policy may result in disciplinary action up to and including dismissal. COT may require additional service charges for remediation efforts due to non-compliance with this policy.

V. APPLICABILITY

All executive branch agencies and non-executive branch agencies using COT-managed infrastructure or services shall adhere to this policy. This includes employees, contractors, consultants, temporaries, volunteers, and other workers within state government. Organizations may modify this policy to fulfill their responsibilities subject to approval granted in response to an exception request submitted via the ServiceNow application. Staff should refer to their internal policy that may have additional information or clarification.