ENT-303: Enterprise Document Storage Guidelines and Best Practices			
Document Revision History			
Version	Date	Change Description/ Notes	Author / Editor
1.0	11/21/2019	Creation and incorporation of document storage guidelines.	John Barnes
1.1	01/06/2020	Change Request – Box and OneDrive sections.	Katherine Estes
2.0	12/29/2021	Review and Revision	Karen Chrisman
3.0	4/12/2024	Review and Revision	Jason Rowand

Table of Contents

Purpose of this Document

This document outlines the guidelines and best practices for appropriate use of storage platforms as part of proper document handling on the Commonwealth's IT systems.

Applicability

The information outlined in this document applies to all systems and users under the authority of the Commonwealth of Kentucky. These guidelines and practices reference relevant policies and require the same compliance as the originating policy. As the Commonwealth Office of Technology (COT) continues to modernize and standardize its document handling procedures and systems, it will update this document to reflect the appropriate handling of Commonwealth information.

COT recommends reviewing this document for changes at least annually, or when updating agency systems, processes, or key personnel. All executive branch agencies, users, and associated entities such as vendors shall adhere to the most current, published version of the Commonwealth of Kentucky Enterprise IT Policies, and the associated guidelines and practices in this document. Each version of this document supersedes the previous ones.

Definitions and Acronyms

API: Application Programming Interface
ECM: Enterprise Content Management
BOX: A Commonwealth cloud storage and collaboration platform.
EHR: Electronic Health Records
Indexes: Words or phrases associated with a document to help identify the contents of the document via search.
OnBase: An ECM service platform for the Commonwealth.
OneDrive: A Microsoft cloud storage and collaboration service.
Teams: Collaborative working platform
SharePoint: A Microsoft website, collaboration, and document storage platform.

Electronic Document Storage Guidelines

Executive branch agencies create, modify, store, and delete electronic documents on a daily basis in support of the agencies' business activities. Agencies store the documents in a variety of formats and in numerous locations on various platforms. Documents may move between platforms as part of a document's lifecycle. Agencies must handle and maintain these appropriately, i.e., adhering to policies, statutes, agency requirements, and according to records retention schedules outlined by the Kentucky Department for Libraries and Archives (KDLA). **This document summarizes the appropriate use of storage platforms as part of proper document handling.**

General Guidelines

➢ Content such as contracts, requirements, strategic plans, official procedures, official correspondence, orders, licensing, and other such documents should reside on an Enterprise Content Management (ECM) service platform.
➢ When working on collaboration platforms, staff should minimize creating copies of documents and should only work from a shared copy.

Local and Transportable Drives

Executive branch staff shall not store any work-related documents on personal drives, to include the local hard drive, USB "thumb drives," locally attached hard drives, compact discs (CDs), DVDs, etc.

Box

Box is a cloud-based ECM, with unlimited storage, that allows users to store and share files securely and collaborate on supported devices. Along with storing and collaborating files, Box offers workflows, e-signatures, external application integrations, and retention policies. Typically, documents stored in Box are used for collaboration between internal Commonwealth employees and between internal and external users.

OnBase

OnBase is an on-prem ECM for internal ky.gov users that has servers housed by COT. It is used for managing and storing content and includes automated document management with workflow capabilities. Typically, documents stored in OnBase are accessed by employees through a robust search feature and utilized in conducting day-to-day business processes.

OnBase also has the capability to integrate with Agency applications as a document repository and is able to write its image metadata to Agency databases through the use of APIs and scripts.

SharePoint

SharePoint is a collaborative file repository with a limited workflow engine. How agencies use SharePoint varies, but it mainly houses draft documentation, support documentation, procedures, etc. Typically, documents stored here are for medium and long-range collaboration.
With SharePoint, Commonwealth users can:

- Build intranet sites and create pages, document libraries, and lists.
- Add web parts to customize your content.
- Show important visuals, news, and updates with a team or communication site.
- Discover, follow, and search for sites, files, and people across your company.
- Manage your daily routine with workflows, forms, and lists.
- Sync and store your files in the cloud so anyone can securely work with you.

OneDrive

Agencies should use Microsoft's OneDrive for individuals or small group collaborations. Documents stored here should be transient in nature.   OneDrive has an initial storage allowance of 1 terabyte, expandable to 25 terabytes.

Accounts in our system are linked to individual users and are slated for deletion upon separation from the organization. Consequently, OneDrive should not be employed for permanent document sharing, either internally or externally. In cases where files are saved and a user is in the process of separating from the agency, it is imperative to devise a migration plan for those documents.

Teams

Teams is a collaborative platform facilitating effective communication and teamwork. Users can collaboratively edit documents, spreadsheets, and other files in real time. Teams is ideal for project or group work independent of individual users.

Physical Document Storage Guidelines

While this Guidelines document focuses largely on *electronic* storage, agencies may also need to maintain official master copies in *physical* format, whether in hard-copy documents, photos, or otherwise. When this is necessary, agencies should protect these documents and identify appropriate storage conditions.

Specifically, agencies may consider local storage, off-site storage, or **storage with KDLA**. While not an exhaustive list, when agencies store hardcopies, they should consider appropriate security and protection measures such as:

➢ Secure, locked storage
➢ Cataloged for easy retrieval and disposal.
➢ Documented access control and tracking of documents.
➢ Environmental protection and safety from water, fire, and other types of damage. (This is similar to how COT and agencies should protect IT systems for physical and environmental protection. Refer to **CIO-115 Physical and Environmental Protection Policy**.)
➢ Employee safety Limit the size and weight of boxes or documents that staff or others accessing documents must carry.
　　o Store on shelves for safe placement and retrieval.

Contact

For more information about enterprise document storage guidelines and best practices, please contact the Commonwealth Service Desk by email or phone (502) 564-7576 or **(**800) 372-7434**.**

References

Helpful references can be found on the Enterprise IT Policies webpage.

Commonwealth of Kentucky Office of the Chief Information Officer Enterprise Guidelines	Commonwealth Office of Technology 500 Mero St Frankfort KY 40601
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