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

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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 platform.
EHR: Electronic Health Records
FileNet: A legacy Enterprise Content Management (ECM) platform.
GotSource: A legacy ECM platform.
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.
PST: Personal Storage Table. An open proprietary file format used to store copies of messages, calendar events, and other items within Microsoft software. Also referred to as a "Personal Folder."
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 storage repository, with a 5GB storage limitation per user, that allows users to store and share files securely and collaborate on supported devices. This platform allows uploading through drag-and-drop or native upload functionality. Users can create files and folders, preview and edit documents, and share with other Box users.

Agencies should use Box as a storage platform for static documents that are typically stored in a network file share, or when using an application with built-in APIs for Box (e.g., Salesforce). For storage repository needs over 5GB, COT recommends using OneDrive or Network Attached Storage (NAS), or consulting with the COT ECM Team to identify the best storage solution.

FileNet

FileNet Content Manager is an ECM solution that enables an organization to manage content and documents. It is a legacy system, so agencies should consider moving documents to a modern platform, if possible. If not feasible to do so, agencies should plan their next systems upgrades to include migrating documents from FileNet.

GotSource

GotSource is a legacy platform that COT intends to phase out in the near-to-medium-range future. It is not a collaborative platform. Agencies and users should migrate records in GotSource to more modern platforms, such as SharePoint, Box, or OnBase, depending on the nature of the documents and need for dynamic or static access. COT discourages adding new documents to the GotSource platform; and document owners should coordinate with COT to migrate existing documents.

OnBase

OnBase is an ECM for managing and storing content and includes automated document management with workflow capabilities. Staff should use OnBase when migrating existing documents that have metadata, when documents are workflow-driven, or when ingesting new documents that have metadata.

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, but not necessarily for holding permanent records or the master copy of agency records.

OneDrive

Agencies should use Microsoft's OneDrive for individuals or small group collaboration. Documents stored here should be transient in nature. Agencies and users shall not keep master copies or records subject to records retention requirements on this platform.

As executive branch agencies migrate to COT-approved cloud-based services such as Microsoft's Office365 suite, staff members should move all personal work-related documents from the "U" drive to either the staff member's or workgroup's Office365 OneDrive for storage. OneDrive has a maximum storage allowance of 1 terabyte. Any group with storage needs that exceed this should consider

Network Attached Storage (NAS), or consult with the COT ECM Team to identify the best storage solution.

Individual and Shared Drives

Individuals create and store documents and maintain them in individual file repositories. These repositories may exist on the local hard drive or on assigned network storage space associated with that individual. Typically, Active Directory protocols assign these network spaces and often are associated as the "U" drive. These drives should be placed on network shares that are backed up regularly to prevent data loss. Agencies should phase out user drives by moving individual and small group transient documents to an appropriate OneDrive platform or SharePoint.

E-mail

Staff should use e-mail for routine correspondence and transfer of transitory work documents. KDLA schedules and regulations govern e-mail content; and agencies may retain e-mails and attachments in the e-mail application. Agencies and users shall properly identify and store the official e-mail records. These e-mails and attachments may also be transferred to other platforms (e.g., Box or OnBase) when desired or warranted, with the copies in e-mail being destroyed when no longer needed as e-mail and attachments. Of note, COT will phase out and prohibit the use of PST technology for Office, so users and agencies should migrate those e-mails to appropriate Outlook folders or a designated storage platform for use and archival functions.

Agency-based Software Document Storage

Agencies may have custom applications that store data and documents. Agencies shall ensure that these applications maintain the appropriate security and allow retrieval of the documents for open records and records retention purposes.

Software-as-a-Service (SaaS) Cloud Storage

Agencies may use vendor-based storage options if volume and cost necessitates. However, agencies and vendors shall ensure that the storage solutions adhere to all Commonwealth policies and standards; and the solution must support the agencies' records retention and open records efforts.

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
  - Store on shelves for safe placement and retrieval.

Enterprise Document Storage Best Practices

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Contact

For more information about enterprise document storage guidelines and best practices, please contact COT's Enterprise Content Management Services (ECM) Team, or the Commonwealth Service Desk by email ("Assign ticket to COT's ECM Services Team") or phone (502) 564-7576 or **(**800) 372-7434**.**

References

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