

**Information Technology Policy
Commonwealth of Pennsylvania
Governor's Office of Administration/Office for Information Technology**

ITP Number:	ITP-INFRM007	
ITP Title:	Management of Electronic Information Created via Multi-Functional Devices or Other non-EDMS Desktop Scanners	
Issued by:	Deputy Secretary for Information Technology	
Date Issued:	July 20, 2009	Date Revised: November 18, 2010
Domain:	Information	
Discipline:	Records Management	
Technology Area:	Information	
Revision History Date:	Description:	
7/20/2009	Written to replace ITP-G.5-Infrastructure, Legal & Records Management Issues Arising From the Use of Non-EDMS Desktop Scanners	
11/18/2010	ITP Refresh	

Abstract:

This Information Technology Policy (ITP) establishes enterprise-wide policy for all Commonwealth agencies pertaining to electronic information that is created, stored, and/or maintained independently of an agency-established official system comprised of a database, Electronic Document Management System (EDMS), or Enterprise Content Management (ECM).

Often non-EDMS/ECM scanners or multi-functional devices are used to convert paper to an electronic file format. Information, including those scanned documents, is to be managed throughout its existence, from creation to final disposal, the same as any other electronic information. Reference Management Directive 210.5, *The Commonwealth's Enterprise Records Management Program* and ITP-INFRM001: *The Life Cycle of Records: General Policy Statement*.

General:

This ITP applies to all departments, boards, commissions, and councils under the Governor's jurisdiction. Agencies not under the Governor's jurisdiction are strongly encouraged to follow this policy.

Policy:

Commonwealth Agencies are to take into account multiple considerations when independently creating electronic information that is not stored or maintained by agency applications using applications and databases, EDMS, or ECM. Of particular concern are electronic records that are generated via Multi-Functional Devices (MFDs) or other non-EDMS related desktop scanners.

Use of Multi-Functional Devices:

Multi-functional devices are to be used only for convenience purposes, (e.g., to route a copy of a document to another party) and not to store business records. MFDs are to be configured to wipe the hard drive on a daily basis. Cache is to be reset daily and the retention set to 0 days. If the parameter is not configurable, then a product to wipe the hard drive is to be purchased to accomplish the task. The following ITPs reference MFDs: ITPs PLT010 *CoPA Policy for the Management of Networked Multi-Function Equipment* and PLT007 *CoPA Data Cleansing Policy*.

Agencies are to consider the following when utilizing MFDs for non-EDMS/ECM/DBMS electronic documents:

- Quantity or volume issues

- No indexing capability
- No quality control capability
- Storage concerns
- No direct integration to an end EDMS/ECM application
- Format /migration issues
- Number of copies or backups
- Cost
- Security and privacy concerns
- Legal, audit, and business risks associated with keeping or losing records

When an agency's business processes has a need for scanning technology, the agency is required to assess the entire business process in accordance with INFRM006 *Electronic Document Management Systems*. The assessment is to include the review of supplements STD-INFRM006A *File Formats Supported by Electronic Document Management Systems* for supported file formats, STD-INFRM006B *Electronic Document Management Product Standards* for product standards, and a completed evaluation form RFD-INFRM006C *EDMS Evaluation Questionnaire*. Likewise, the design of all systems and processes related to the record will take into consideration results of the analysis. The analysis is to occur prior to procurement and the implementation of any new business activity and/or related information technology systems.

Refresh Schedule:

All standards identified in this ITP are subject to periodic review and possible revision, or upon request by the Enterprise Architecture Standards Committee (EASC).

Exemption from This Policy:

In the event an agency chooses to seek an exemption, for reasons such as the need to comply with requirements for a federally mandated system, a request for waiver may be submitted via the Commonwealth of PA Procurement and Architectural Review (COPPAR) process. Requests are to be entered into the COPPAR Tool located at <http://coppa.ia.pa.gov/>. Agency CIO approval is required. Contact your agency CoP Planner for further details or assistance.

Questions:

Questions regarding this policy are to be directed to RA-ITCentral@pa.gov.

References:

<u>MD 210.5:</u>	Commonwealth's Enterprise Records Management Program
<u>ITP-INFRM001:</u>	The Life Cycle of Records
<u>ITP-INFRM006:</u>	Electronic Document Management Systems
<u>STD-INFRM006A:</u>	File Formats Supported by Electronic Document Management Systems
<u>STD-INFRM006B:</u>	Electronic Document Management Product Standards
<u>RFD-INFRM006C:</u>	EDMS System Evaluation Questionnaire
<u>ITP-SYM009:</u>	CoPA Data Cleansing Policy
<u>ITP-PLT010:</u>	CoPA Policy for the Management of Networked Multi-Function Equipment