

# Information Technology Policy

## *Electronic Document Management Systems*

<b>ITP Number</b> ITP-INFRM006	<b>Effective Date</b> June 21, 2007
<b>Category</b> Domain	<b>Supersedes</b> None
<b>Contact</b> <a href="mailto:RA-ITCentral@pa.gov">RA-ITCentral@pa.gov</a>	<b>Scheduled Review</b> July 2022

### 1. Purpose

This Information Technology Policy (ITP) establishes an enterprise-wide policy for all Commonwealth agencies pertaining to Electronic Document Management Systems (EDMS) software and activities associated with EDMS procurement and implementation.

### 2. Scope

This ITP applies to all offices, departments, boards, commissions, and councils under the Governor’s jurisdiction (collectively "agencies"). Agencies not under the Governor’s jurisdiction are strongly encouraged to follow this ITP.

Third-party vendors, licensors, contractors, or suppliers shall meet the policy requirements of this ITP that are applicable to the products and services provided to the Commonwealth.

### 3. Definitions

**3.1 Electronic Document Management Systems (EDMS)** – the use of a computer system and software to store, manage, and track electronic documents and electronic images of paper-based information captured through the use of a document scanner.

### 4. Policy

Agencies shall consider and evaluate the user of an EDMS solution for business processes that necessitate simultaneous access and management of documents and files, conversion of hardcopy materials to electronic images, or automatic workflow processes.

Agencies shall adhere to the following in the procurement, implementation, and upgrade of EDMS software and hardware:

- Industry standard file formats as outlined in STD-INFRM006A *File Formats Supported by Electronic Document Management Systems*.
- Commonwealth’s EDMS software standards as detailed in STD-INFRM006B *Electronic Document Management Product Standards*.
- Other applicable ITPs and Management Directives (MDs) addressing records management.

Agencies shall coordinate with the agency CoP planner to determine if an Information Technology Investment submission and/or a Community of Practice (CoP) IT Project Proposal based on the criteria outlined in ITP-BUS001 *IT Planning and Projects* and ITP-BUS002 *IT Investment Review Process* are required prior to engaging in the implementation or upgrade of an EDMS.

The agency shall complete the documentation in RFD-INFRM006C *EDMS System Evaluation*

*Questionnaire* and include it as an attachment to the submission.

Agencies implementing EDMS solutions shall ensure that their implementation:

- Has an infrastructure sufficiently robust to transport the required volume of transactions.
- Is image-based and uses electronic files to allow easy exchange with other agency or Commonwealth systems for ease of document and information dissemination with internal and external users.
- Has flexible reader content into multiple renditions for the easy output of selected image(s) and associated file name(s) in whatever standard or industry-predominate image file/data format that is in use by the Commonwealth at the time of the implementation.
- Allows native access that does not require a proprietary intermediary format.
- Interoperates with the enterprise-wide Microsoft Exchange email network for the transmission of ad-hoc electronic document records/images/data between agencies under the Governor's jurisdiction.
- Uses defined file formats and compression ratio.
- Outputs associated nonproprietary basic index data to an American Standard Code for Information Interchange (ASCII) format.
- Permits the transfer of larger volume image/index files via disk or tape media.

Agencies implementing EDMS shall perform the following:

- Approve the scanning of the documents prior to the purchase of scanners after consultation with appropriate entities as defined in Management Directive 210.4 *Central Microfilm Management*.
- Contact the Enterprise Records Information Manager to assist with scanner recommendations for correct file format output/resolution, and to review document types to be scanned.
- Determine the level of mission criticality of their EDMS and design the infrastructure, security, and operational procedures necessary to support the EDMS commensurate to the level of mission criticality of the EDMS.
- Contact the agency records coordinator to amend the Agency-Specific Records Retention and Disposition Schedule to reflect records series amendments/additions.
- Appropriately design the system to maintain and manage the resulting records for their defined retention period(s).
- Arrange for image storage on servers that are secured and backed up.
- Test the system throughput with a volume/type/quality of documents sufficient to simulate "peak production processing" and assess the impact (e.g. performance degradation) on the network and infrastructure.
- "Lock-down" scanning applications to prohibit image manipulation/alteration; restricting these capabilities to system administrators or assigned staff in consultation with agency legal counsel.
- Address and define a quality control regimen to assure image quality and indexing accuracy.
- Document and design scanning processes to include policy and training manuals, audit processes, benchmark tests and quality assurance (image quality and index values).
- Design systems and processes to provide for system security, trustworthiness, accuracy, integrity and preservation of contextual records origin information (e.g., date of creation, creating organization, record format).
- Perform a post-implementation review six months after the successful completion of system acceptance testing to assess the performance measures and benefits realized

from the project.

## 5. Responsibilities

**5.1 Agencies** shall comply with the requirements as outlined in this ITP.

**5.2 Third-party vendors, licensors, contractors, or suppliers** procuring and/or implementing EDMS solutions on behalf of the Commonwealth shall comply with the requirements as outlined in this ITP.

## 6. Related ITPs/Other References

Definitions of associated terms of this policy are published on the Office of Administration's public portal: <http://www.oa.pa.gov/Policies/Pages/Glossary.aspx>

Commonwealth policies, including Executive Orders, Management Directives, and IT Policies are published on the Office of Administration's public portal:

<http://www.oa.pa.gov/Policies/Pages/default.aspx>

- Management Directive 205.34 Amended *Commonwealth of Pennsylvania Information Technology Acceptable Use Policy*
- Management Directive 210.4 Amended *Central Microfilm Management*
- ITP-ACC001 *Information Technology Digital Accessibility Policy*
- ITP-BUS001 *IT Planning and Projects*
- ITP-BUS002 *IT Investment Review Process*
- STD-INFRM006A *File Forms Support by Electronic Document Management Systems*
- STD-INFRM006B *Electronic Document Management Product Standards*
- RFD-INFRM006C *EDMS System Evaluation Questionnaire*

## 7. Authority

Executive Order 2016-06 *Enterprise Information Technology Governance*

## 8. Publication Version Control

It is the [Authorized User's](#) responsibility to ensure they have the latest version of this publication, which appears on <https://itcentral.pa.gov> for Commonwealth personnel and on the Office of Administration public portal: <http://www.oa.pa.gov/Policies/Pages/default.aspx>. Questions regarding this publication are to be directed to [RA-ITCentral@pa.gov](mailto:RA-ITCentral@pa.gov).

## 9. Exemption from This Policy

In the event an agency chooses to seek an exemption from the guidance within this ITP, a request for a policy waiver is to be submitted via the enterprise IT policy waiver process. Refer to [ITP-BUS004 IT Policy Waiver Review Process](#) for guidance.

This chart contains a history of this publication's revisions. Redline documents detail the revisions and are available to CWOPA users only.

Version	Date	Purpose of Revision	Redline Link
Original	06/21/2007	Base Document	N/A

Revision	05/13/2020	<ul style="list-style-type: none"> <li>• Revised policy format</li> <li>• Removed reference to COPPAR tool</li> <li>• Removed EDMS resource account and reference to EDMSIT Specialist</li> </ul>	
Revision	07/19/2021	<ul style="list-style-type: none"> <li>• ITP Refresh</li> <li>• Added Definition Section</li> <li>• Added Third-party vendors to Scope and Responsibilities</li> <li>• Updated Related ITPs</li> </ul>	<a href="#">Revised IT Policy Redline &lt;07/19/2021&gt;</a>