Information Technology Policy

Management of Electronic Information Created via Multi-Functional Devices or Other non-EDMS Desktop Scanners

Number ITP-INFRM007	**Effective Date** July 20, 2009
Category Information	**Supersedes** None
Contact RA-ITCentral@pa.gov	**Scheduled Review** December 2023

1. Purpose

This Information Technology Policy (ITP) establishes an enterprise-wide policy for all Commonwealth agencies pertaining to the management of electronic information that is created, stored, or maintained via Multi-Functional Devices (MFDs) or other non-Electronic Document Management System (EDMS) or Enterprise Content Management (ECM) desktop scanners.

2. Scope

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

3. Background

Often non-EDMS/ECM scanners or MFDs are used to convert paper to an electronic file format. Information, including those scanned documents, shall be managed throughout its existence, from creation to final disposal; the same as any other electronic information.

4. Definitions

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.

Enterprise Content Management (ECM) – The strategies, methods, and tools used to capture, manage, store, preserve, and deliver content and documents related to organizational processes.

5.   Policy

Agencies shall carefully consider the creation of 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 MFDs or other non-EDMS related desktop scanners.

5.1 Use of MFDs:

MFDs shall 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 shall be configured to wipe the hard drive on a daily basis. The cache shall reset daily, and the retention shall be set to 0 days. If these parameters are not configurable, a product to wipe the hard drive shall be purchased to accomplish the task.

Agencies shall consider the following when utilizing MFDs for non-EDMS/ECM/[Database](#) [Management System (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 have a need for scanning technology, the agency shall assess the entire business process in accordance with *[INFRM006, Electronic Document Management Systems](#)*. The assessment shall 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 shall take into consideration results of the analysis. The analysis shall occur prior to procurement and implementation of any new business activity or related information technology systems.

6.   Responsibilities

6.1 Agencies shall:
- Ensure MFDs are configured to wipe the hard drive and reset the cache on a daily basis.
- Review and adhere to INFRM006 when evaluating or designing business processes that include a need for scanning technology.
- Comply with all other applicable requirements as outlined in this ITP.

6.2 Office of Administration, Office for Information Technology shall:
- Comply with the requirements as outlined in this ITP.

7. 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 Director 210.5, The Commonwealth of Pennsylvania State Records Management Program*

- *ITP-ACC001, Information Technology Digital Accessibility Policy*

- *ITP-INFRM001, The Life Cycle of Records: General Policy Statement*

- *ITP-INFRM006, Electronic Document Management Systems*

- *STD-INFRM006A, File Formats Supported by Electronic Document Management Systems*

- *STD-INFRM006B, Electronic Document Management Product Standards*

- *RFD-INFRM006C, EDMS System Evaluation Questionnaire*

- *ITP-PLT002, Multi-Function Equipment Management Policy*

- *ITP-SEC015, Data Cleansing Policy*

8. Authority

Executive Order 2016-06, Enterprise Information Technology Governance

9. 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 shall be directed to RA-ITCentral@pa.gov.

10. 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 shall 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	06/20/2009	Base Document	N/A
Revision	07/20/2006	Written to replace ITP-G.5-Infrastructure, Legal & Records Management Issues Arising From the Use of Non-EDMS Desktop Scanners	N/A
Revision	11/18/2010	ITP Refresh	N/A
Revision	06/25/2021	• ITP Refresh • Added to current ITP template • Added Definitions section • Updated Related ITPs and Exemption sections	N/A
Revision	12/01/2022	• ITP Refresh • Added a background section and relocated some content from the purpose section • Updated responsibilities section	Revised IT Policy Redline <12/01/2022>