Policies and Procedures Handbook
Illinois Institute of Technology

Procedure No.: Q.11
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Subject: Document Imaging Policy

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I.   PURPOSE

The purpose of this policy is to establish a digital imaging policy applicable to all University departments and offices that create, use, and manage digital documents on University systems. This policy also provides standards for the operations of these digital imaging systems to allow for the replacement of source documents with digital images for storage and retention, as outlined in Article III, Section B.4 of the University's Record and E-Mail Retention Procedure No. Q4 Policy.

These standards will ensure that the accuracy, reliability and trustworthiness of digital images can be proven. This policy also serves to protect those records digitized by the University's imaging system, which reduces required storage space for original documents as the University transitions to a "more paperless" digital system and provides instant and simultaneous access to documents as needed.

This policy supersedes any electronic records system policy previously adopted. This policy will be reevaluated at five (5) years intervals, or upon the implementation of a new information technology system, and will be updated as required.

II.   SCOPE AND AUTHORITY

This Policy applies to any document imaging program that destroys source documents and retains images as official copies. Other document imaging may continue; provided; however, the destruction of Source Documents is not authorized as part of any such other document imaging.

For the avoidance of doubt, nothing in this policy is intended to reduce, alter or minimize any department's of employee's obligation under the University's Record and E-Mail Retention Procedure No. Q4 Policy.

III.   RESPONSIBLE PARTIES

A. IT DEPARTMENT

The Office of Technology Services is responsible for providing and maintaining secure systems for digital image storage and protection over time. Enterprise Systems, a division of the Office of Technology Services, is authorized to establish and promulgate standards, procedures and techniques for the effective management of University digital records. It is also responsible for preserving the University's documents and records of legal significance or historical value. Responsibilities include:

1. Installing and maintaining equipment and software;
2. Configuring the system according to University needs, including creating and testing applications and indexes;
3. Controlling permission rights to the system;
4. Maintaining system hardware and software;
5. Establishing audit trails that document actions taken on records stored by the information technology system;
6. Providing backups for system records and recovering deleted imaged records when necessary;
7. Completing a disaster recovery backup at least once every two years;
8. Establishing and providing best practices for using system, vendor training materials, and providing remedial training as needed;
9. Creating and updating detailed procedural manuals describing the imaging process and equipment; and
10. Conducting any necessary batch conversions or batch renaming of imaged records.

B. REGISTRAR

The Office of the Registrar is responsible for ensuring for all systems and applications that new digital imaging repository requests comply with the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99) and the Illinois Tech FERPA Policy. The Office of the Registrar's responsibilities include:

1. Coordinating with the IT Department on all imaging application requests and determining that all documentation storage and use complies with FERPA policy; and
2. Participating in the design and implementation of campus electronic records initiatives, to ensure consideration of digital imaging applications are FERPA compliant.

C. APPLICATION OWNER

The Application Owner is the Department Head who requests a new digital imaging repository on the digital imaging system. The Application Owner responsibilities include:

1. Coordinating with the IT Department all imaging application requests;
2. Following all retention and disposal policies instructions for any records consistent with the University's Record and E-Mail Retention Procedure No. Q4 Policy or as indicated by the Department of Education or other applicable governmental authority for the respective Department for Records Creators;
3. Establishing appropriate retention and disposal policies and instructions for any records not covered by the University's Record and E-Mail Retention Procedure No. Q4 Policy for Records Creators;
4. Managing user accessibility, including approving and removing access, for the department's imaging application for Records Creators.
5. Reviewing records annually and working with Records Creators to purge records in accordance with the retention schedule; and
6. Guaranteeing that records, regardless of format, be retained for the period of time required by the University's records retention schedules.

D. RECORDS CREATORS

Records Creators are staff utilizing the imaging application/system. Responsibilities include:

1. Attending and signing off on training conducted by Application Owner;
2. Creating and managing electronic records in their purview in accordance with the policies and other guidance issued by the Department of Education and any other applicable governmental authority and complying with all University policies established by applicable University policies, including, but not limited to, this policy and Record and E-Mail Retention Procedure No. Q4 Policy; and
3. Carrying out day-to-day processes associated with the department's imaging program, including:
    - Designating records to be entered into the imaging system;
    - Noting confidential information or otherwise protected records and fields;
    - Removing transitory records from the scanning queue;
    - Completing indexing guide form for each record being scanned;
    - Reviewing images and indexing for quality assurance;
    - Naming and storing the scanned images in designated folders;
    - Once approved, destroying or otherwise disposing of original records in accordance with guidance issued by the Application Owner and;
    - Periodically auditing imaged records for accuracy, readability, and reproduction capabilities before the original documents are destroyed.

IV.   APPLICATION XTENDER OVERVIEW AND FEATURES

ApplicationXtender is the University's document imaging system. ApplicationXtender, hereafter referred to as "Xtender", enables users to query, create, index, and annotate electronic documents in a variety of formats for subsequent retrieval. Capabilities include those noted below.

- Scan documents to create new documents, add to existing documents, or batches. Scanning in Xtender requires the installation of the "Captiva Cloud Toolkit" software. If needed, please ask a LAN Administrator to install the Captiva Cloud Toolkit.
- Add/Import electronic files to Xtender as individual documents, batches, and individual pages.
- Index documents by specifying information in the application-specific index fields, Indexing enables you to organize, search, and retrieve documents efficiently.
- Retrieve documents through queries by using various search methods.
- Attach annotations or redactions to highlight important information, comment on the contents of the page, or block areas of the page from view.