

**ARIZONA CODE OF JUDICIAL ADMINISTRATION**

**Part 1: Judicial Branch Administration**

**Chapter #:**

**Section #-###:**

**A. Definitions.** In this section, the following definitions apply:

“ANSI/AIIM” means the American National Standards Institute and the Association for Information and Image Management. These two organizations are responsible for promoting and facilitating voluntary consensus standards and conformity assessment systems and promoting their integrity.

“Archival” means that point in the electronic document management process when the subject matter (for example, a case) associated with a document is no longer subject to modification, related documents are purged and the long-term or permanent copy of the document is created and maintained so as to reasonably ensure its preservation according to approved records retention schedules.

“Backward compatible” means that a document storage system is compatible with earlier models or versions of the same product. Software is backward compatible if it can use files and data created with an older version of the same software program. Hardware is backward compatible if it can run the same software as the previous model.

“Electronic Document Management System” (EDMS) means a collection of computer software application programs and hardware devices that provide a means of organizing and controlling the creation, management and retrieval of documents through their life cycle. It may include workflow software which enables organizations to define routing and processing schemes to automate the business processes for document handling. It may also include imaging and optical character recognition (OCR) software and devices to support the capture, storage, and retrieval of document images from paper.

“Electronic record” means any record that requires the aid of a computer to read the record.

“Imaging” means the process of creating electronic copies by electronically photographing a document, photograph, color slide or other material using a scanner. Scanners record images digitally rather than on paper or film.

“Imaging system” means the collection of computer software application programs and hardware devices that provides a means to capture, store, and retrieve document images from paper. An imaging system is often a part of an EDMS.

“Index” means descriptive locator information about a digital document that allows the user to accurately identify it on electronic storage media. An index in an EDMS is an electronic file distinct from the collection of documents it catalogues. The act of providing the descriptive locator information is referred to as “indexing.” For example, a document might be “indexed” by its case number, party names, document type and date filed. For single judge limited jurisdiction courts without an EDMS, AZTEC may be used to perform the indexing function.

“Media” means physical devices for storing data and images. It includes write once/read many (WORM) compact discs, compact disc-read only memory (CD-ROM), and digital video disc (DVD).

“Migration” means the process of upgrading to new technologies while preserving accessibility to existing records. It includes translating one electronic data format to another when a new computer or data management system is incompatible with the existing system. It also means the process of moving electronic data from one storage device or media to another.

“Non-proprietary” means material (particularly software) that is not subject to ownership and control by a third party. “Proprietary,” on the other hand, generally refers to vendor-owned material whose specifications are not public.

“Open system standard” means a published and commonly available interface specification that describes services provided by a software product. As a result, the specification is available to anyone and evolves through a consensus process that is open to the entire industry.

“Pixel” means picture element and is the smallest element of a display surface that can be independently assigned color or intensity. The number of pixels determines the sharpness or clarity of an image and in imaging is often expressed in dots per inch (dpi).

“Records” means the electronic or imaged documents and files in an EDMS.

“Refresh” means the copying of an image or a whole storage medium for the purpose of preserving or enhancing the quality of the images.

“Reproduction” means the process of making an identical copy from an existing document on the same or different media.

“Tagged Image File Format” (TIFF) means a format for storing images on computers. It includes a standardized header or tag that defines the exact data structure of the associated image.

**B. Applicability.** This section is applicable to limited jurisdiction courts, which in Arizona are courts of non-record. These standards shall apply to all records kept by limited jurisdiction courts, including methods used to electronically reproduce or create records and also the methods and formats used to electronically store, archive and reproduce records for the purpose of

maintenance and preservation.

For the purposes of local data integration, limited jurisdiction courts may exempt themselves from the EDMS-related requirements of ACJA § 1-505 by providing a notice of intent to the Administrative Office of the Courts when a city/county EDMS is available to them.

## **C. Requirements**

### **1. General Requirements.**

- a. Courts that use an EDMS shall ensure that it is non-proprietary and adheres to open system standards to image, store and access records. Courts shall not use systems that employ proprietary designs, formats, software or media or require use of non-standard devices to access records.
- b. Courts shall employ security procedures that prevent unauthorized modification or deletion of records.
- c. Courts shall establish written procedures to ensure records are true and correct copies of the original document.

### **2. Imaging and Indexing Requirements.**

- a. The imaging system shall use a non-proprietary format such as TIFF or PDF.
- b. The imaging system must support scanning densities of 200 pixels (dots) per inch or higher.
- c. Scanning quality must comply with *Recommended Practices for Quality Control of Image Scanners* (ANSI/AIIM MS44-1988 (R1993)).
- d. The imaging system shall employ an index capable of locating imaged documents successfully.
- e. Image processing procedures shall include an index entry verification process performed to ensure that all the images input are retrievable.

### **5. Electronically Filed or Delivered Document Requirements.**

- a. All documents shall be preserved so that the content of the original document is not altered in any way and the appearance of the document when displayed or printed closely resembles the original without any material alteration.
- b. Documents in imaged or graphic formats (for example, pictures or maps) shall be in a nonproprietary file format (for example, TIFF, GIF, or JPEG) and shall comply with ACJA § 1-504.
- c. Courts shall strive for interoperability among document management systems especially in the area of electronic record transfer.
- d. Paper documents shall be provided to other courts, as needed, unless arrangements have been made for those courts to receive electronic documents in lieu of paper.

### **6. Retention and Storage Requirements.**

- a. All media used for storing records must comply with ANSI/AIIM standards.
- b. The manufacturer's recommendation for storage and use of storage media shall dictate the criteria for storing and using such media.
- c. Courts shall annually inspect and test a random sampling of media used for storing records to verify its good condition.

- d. Courts shall use only non-reusable media for storing records for archival purposes.
- e. Records generated by or received by courts shall be preserved in accordance with the applicable records retention schedules.
- f. The court shall be able to trace changes made to electronic records over the retention period of the record in compliance with 1-506(E)(3).

**D. Electronic Document Management.** Any court implementing electronic filing or electronic document management shall establish a written Electronic Records Management Plan meeting the requirements of ACJA § 1-504 that sets forth the following items as a minimum:

- 1. Security procedures that:
  - a. prevent unauthorized modification or deletion of the electronically filed or imaged documents;
  - b. ensure electronic document integrity, so that any copies produced may be regarded as true and correct copies of the original document; and
  - c. limit access to records and information that must be kept confidential.
- 2. Public access procedures that are reasonable and consistent with Supreme Court Rule 123.
- 3. Technological procedures that include a planned migration path so devices, media and technologies used to store and retrieve records including archived records are not allowed to become obsolete and that require:
  - a. backward compatibility of any new equipment or software for an existing imaging system including procedures to obtain vendor certification that the system will convert 100% of the image and index data to the new system so access to existing records is never impeded;
  - b. periodic backup of added images at least daily;
  - c. “refreshing” of media containing electronic images to ensure their accessibility for as long as the applicable record retention schedules require. These procedures may require recopying of images to new media;
  - d. availability of at least one other copy of any electronic document;
  - e. use of recording media for storing electronic records that comply with ANSI/AIIM standards; and
  - f. use of non-reusable media for archiving court records electronically.
- 4. Processing procedures for implementing an electronic filing system and an electronic filing plan that describes at least the following:
  - a. hardware and software acquisition, installation and implementation;
  - b. testing, training, staffing and support;
  - c. integration with the document and case management systems; and
  - d. security and document availability.