



PRACTICE DIRECTION NO. 2 – PRODUCTION OF MATERIALS AND DOCUMENT MANAGEMENT PROTOCOL

RELEASED 5 JUNE 2019

INTRODUCTION

- 1 This Practice Direction sets out the way in which the Royal Commission into Victoria's Mental Health System (**Royal Commission**) will receive materials in response to a Notice to Produce (**Notice**) or an informal request for information.
- 2 The intended audience of this Practice Direction is the legal representatives and IT professionals engaged to assist parties produce materials in response to a Notice or an informal request.
- 3 This Practice Direction is issued under, and should be read in conjunction with, the Inquiries Act 2014 (Vic) (**Act**).
- 4 This Practice Direction may be varied, changed or amended by the Royal Commission from time to time. The Royal Commission may, at any time, depart from this Practice Direction if it considers it appropriate to do so.

PROTOCOL FOR PRODUCING MATERIAL TO THE ROYAL COMMISSION

- 5 The Royal Commission would generally prefer to receive material in an electronic format consistent with the requirements of this Practice Direction and the Document Management Protocol (**Protocol**) attached to this Practice Direction. However, this does not preclude the Royal Commission from accepting material in a hard copy format or as objects.
- 6 All electronic material to be produced to the Royal Commission must be prepared and provided in accordance with the Protocol.

PROTOCOL FOR DOCUMENTS SUBJECT TO A CLAIM OF REASONABLE EXCUSE

- 7 Any party who asserts a claim that they have a reasonable excuse for failing to comply with a Notice, in whole or in part, must have regard to sections 18, 33(2) and 34(3) of the Act and any notes which accompany the Notice.
- 8 Examples of reasonable excuses recognised by the Act include, but are not limited to: 'self-incrimination', (s 33(2)); statutory secrecy (s 34(3)); parliamentary privilege (s 18(2)(b)) and public interest immunity (s 18(2)(c)).
- 9 The Commission will set out in each Notice the date by which a claim of reasonable excuse must be made (**Objection Date**).
- 10 If a party considers that a document it has identified as relevant to a Notice from the Commission is the subject of a reasonable excuse, it must, by the Objection Date:
 - (a) notify the Royal Commission in accordance with the requirements of the Notice;

- (b) inform the Royal Commission whether it claims the document should not be produced on the grounds of a specified reasonable excuse or whether it consents to production on appropriate terms; and
- (c) provide the following information to assist the Royal Commission to determine whether a reasonable excuse exists for failing to produce the document:
 - (1) the author and addressee of the document;
 - (2) the nature of the document (date, type etc);
 - (3) a brief general description of the subject matter it deals with; and
 - (4) the basis on which a claim of reasonable excuse is made and brief reasons for the claim.

11 A party must also comply with the requirements of the Protocol in respect of the production and coding of documents where a claim of reasonable excuse is made.

PROTOCOL FOR DOCUMENTS WHERE AN ORDER IS SOUGHT FOR PROHIBITION OR RESTRICTION OF PUBLICATION

- 12 Any party who seeks an order prohibiting or restricting the publication of (or part of) a document must:
- (a) have regard to section 26 of the Act and any notes which accompany the Notice; and
 - (b) comply with the requirements of the Protocol in respect of the production and coding of documents where an order is sought to prohibit or restrict publication of documents is made.

13 The Protocol provides a process for parties to identify information over which an order prohibiting or restricting publication is sought that is:

- (a) personally-identifying information; or
- (b) information subject to legal professional privilege.

However, the existence of personally-identifying information or information subject to legal professional privilege is not, on its own, a basis on which the Royal Commission will make an order prohibiting or restricting publication.

ROYAL COMMISSION'S DOCUMENT MANAGEMENT SYSTEM

14 The Royal Commission will maintain an electronic database using Relativity that will contain, amongst other things, copies of all material produced to the Royal Commission in response to a Notice, informal request for information or otherwise.

QUESTIONS REGARDING THIS PRACTICE DIRECTION OR DOCUMENT MANAGEMENT PROTOCOL

- 15 The Royal Commission accepts that some parties producing documents to the Royal Commission may not be able to comply with the Protocol. These parties should contact the person named on the Notice as the contact to discuss alternative arrangements for production.
- 16 Any person who has a technical question about producing material electronically to the Royal Commission should also contact Arjuna Guruge of Herbert Smith Freehills (RCVMHS_Production@hsf.com).



ROYAL COMMISSION INTO VICTORIA'S MENTAL HEALTH SYSTEM DOCUMENT MANAGEMENT PROTOCOL

RELEASED 5 JUNE 2019

INTRODUCTION

- 1 This Document Management Protocol (**Protocol**) outlines the method by which documents provided in response to a Notice to Produce (**Notice**) or an informal request for information by the Royal Commission.
- 2 The intended audience of this Protocol is the legal representatives and IT professionals engaged to assist parties produce materials in response to a Notice, informal request for information or otherwise.
- 3 All documents to be produced to the Royal Commission must be prepared and provided in accordance with this Protocol.
- 4 This Protocol may be varied, changed or amended by the Royal Commission from time to time. The Royal Commission may, at any time, depart from this Protocol if it considers it appropriate to do so.

PRINCIPLES

1 Acceptable formats

- 1.1 The Royal Commission will accept electronic documents in both Concordance/Relativity (.dat/.opt) and Ringtail (.mdb) formats, as outlined in Schedules 1A & 1B respectively.
- 1.2 Each electronic file must be produced in its native format or, alternatively, produced as a rendered PDF together with a (.txt) file containing the OCR contents of the PDF file.

2 Identification of documents

- 2.1 Each document must be identified with a Document ID and page numbers which are unique to each page and will be the primary means of identification of documents.
- 2.2 All Document IDs and page numbers are to be stamped in the top right hand corner of each page.
- 2.3 A Document ID must be in the following format:

(a) PPP(P).BBBB.FFFF.NNNN_XXXX

- (1) **PPP(P)** is a three (or four) letter party code that identifies a Party. A Party producing Documents should contact the Royal Commission prior to production to confirm the party codes available for use.

Party Code	Party
EMSP	Example Mental Health Services Pty Ltd
ABC	AB Corporation Pty Ltd
XYZ	XY Holdings Pty Ltd

- (2) **BBBB** is a 4-digit 'box' number identifying separate collections of documents (for example in relation to a particular Notice to Produce or Summons), the number to be between 0001-9999.
- (3) **FFFF** is a 4-digit 'container' number identifying further separate collections of documents, the number to be between 0001-9999.
- (4) **NNNN** is a 4-digit number used to differentiate individual documents and/or individual pages. In some cases, NNNN operates as a document number rather than a page number because individual pages are not numbered (ie non-standard Native files not produced as searchable PDFs). This number is padded with zeros to consistently result in a 4 digit structure.
- (5) **XXXX** is an optional 4-digit number used to identify suffix rendered PDF pages. It is only required where parties may choose to review documents in native format in their document review platforms and render documents to PDF for the purpose of production. The suffix must be preceded by an underscore, padded with zeros to consistently result in a 4-digit number structure.

An example of the Document ID structure is set out below:

XYZ.0001.0001.0001

Where:

XYZ	Party code
0001	Unique 'box' number allocated by Party.
0001	Unique 'container' number allocated by Party.
0001	Sequential page number.

- 2.4 Document IDs assigned must be unique to each document and must not be re-assigned to subsequent documents produced.
- 2.5 If alternate numbering is required please contact the Royal Commission to discuss.
- 2.6 It is understood and accepted that Document IDs may not be consecutive as a result of the removal of irrelevant documents during review. A party must however identify host and attachment documents with consecutive Document IDs.
- 2.7 Upon production of a document, the document filename must be its Document ID.
- 2.8 If Parties wish to render a document at the time of production following a native file review and:
 - (a) the first Document ID is XYZ.0001.0001.0001, then
 - (b) the first page of that Document rendered PDF must be stamped with: XYZ.0001.0001.0001 or XYZ.0001.0001.0001_0001
 - (c) the second page of that Document must be stamped with XYZ.0001.0001.0001_0002,
 - (d) the third page of that Document must be stamped with: XYZ.0001.0001.0001_0003; and
 - (e) the next consecutive Document must be Document ID XYZ.0001.0001.0002.

3 Document Hosts and Attachments

- 3.1 Every document that is attached to or embedded within another document will be treated as an Attached Document. A document that contains at least one Attached Document will be called a Host Document. A document that is not either a Host or Attached Document will be called a Standalone Document.
- 3.2 Examples of Host Documents and Attached Documents include:
- (a) An email, letter or fax (Host Document) and its attachments (Attached Documents).
 - (b) An electronic file (Host Document) that has other files embedded within it (Attached Documents)
- 3.3 If an Attached Document also contains attachments, those attachments will be treated as attachments to the Host Document.
- 3.4 A party must ensure that false or unnecessary relationships between Host Documents and Attached Documents are not created by:
- (a) taking reasonable steps to ensure that email footers, logos, and other repeated content are not separated as Attached Documents; and
 - (b) ensuring that physical or digital document containers, such as hard copy folders or electronic ZIP container files, are not identified as Host Documents, unless the identification of the container as a Host Document is necessary to the understanding of the documents within that container.
- 3.5 Unless required to provide documents in their native structure for technical reasons, documents should be extracted from their containers and the container itself should not be produced.

4 Indexes and Load Files of documents produced to the Royal Commission

- 4.1 All documents to be produced to the Royal Commission must be:
- (a) included in an itemised electronic index of documents in Microsoft Excel format (**Index**) that is provided to the Royal Commission; and
 - (b) provided in an electronic format that is in accordance with the applicable Production Load File Specification at Schedule 1A or 1B (**Load File**).
- 4.2 Both the Index and the Load File must contain the following information for each document, where available:
- (a) Document ID
 - (b) Host Document ID
 - (c) Document Type
 - (d) Document Date
 - (e) Document Title
 - (f) Author (From)
 - (g) Recipient (To)
 - (h) Recipient (CC)
 - (i) Recipient (BCC)
 - (j) Notice to Produce or Summons No.
 - (k) Notice to Produce Tranche No.
 - (l) Notice to Produce Schedule Item

- (m) Withheld
- (n) Withheld Reason
- (o) Restriction requested
- (p) Reason for restriction request
- (q) LPP
- (r) Personal-identifying-information

5 Document metadata

- 5.1 Wherever possible, a party is to rely on the automatically identified metadata of electronic documents. Automatically identified metadata should be used when:
- (a) searching for documents;
 - (b) itemising documents in a list; and
 - (c) preparing a production of documents in accordance with the Production Specification at Schedules 1A or 1B.
- 5.2 A party should take reasonable steps to ensure that all appropriate document metadata is not modified or corrupted during collection and preparation of electronic documents for review and production.
- 5.3 Document metadata is to be automatically extracted using UTC + 10 (Sydney, Melbourne, Canberra) as the time zone in the processing application.
- 5.4 The Royal Commission accepts that complete document metadata may not be available for all electronic documents. A party should attempt to provide complete metadata where practicable.
- 5.5 Hard copy documents must be produced as PDFs, together with extracted text files together with a load file as per Schedules 1A or 1B where possible.
- 5.6 A party must provide information regarding the software and procedure used to automatically identify the metadata of their electronic documents if requested by the Royal Commission.
- 5.7 Original versions of all documents must be retained by the party producing them.

6 De-duplication of documents

- 6.1 A party must take reasonable steps to ensure that duplicate documents are removed from the exchanged material (**de-duplication**).
- 6.2 The Royal Commission acknowledges that there may be circumstances where duplicates need to be identified and produced for evidentiary purposes.
- 6.3 Duplication must be considered at a document group level. That is, all documents within a group comprising a Host Document and its attachments, will be treated as duplicates only if the entire group of documents is duplicated elsewhere. An Attached Document must not be treated as a duplicate if it is merely duplicated elsewhere as an individual standalone document that is not associated with another group of documents.
- 6.4 A party must apply electronic de-duplication using a MD5 algorithm.
- 6.5 A party may also determine duplicate documents by way of manual review where appropriate.

7 Exclusion of unusable file types

- 7.1 A NIST filter is to be applied to a party's electronic documents to remove files with no user-generated content, such as system files and executable files, so that these are excluded from searches and disclosure (to the extent possible).
- 7.2 Temporary internet files and cookies are to be excluded from the disclosure process.

8 Treatment of email chain correspondence

- 8.1 Where an email is identified as relevant and it forms part of an email chain, the party must disclose the entire email chain.

9 Use of advanced analytics technology

- 9.1 Parties may use advanced analytics technologies at their own discretion, but they must maintain the integrity and context of the documents, and provide entire document groups including all attachments.
- 9.2 Parties may use 'Email threading' technology to minimise document review. Where this technology has been used, parties may provide only the relevant end point email with its attachments.
- 9.3 Parties may use technology commonly referred to as 'TAR / Assisted Review / Predictive coding' for document review at their discretion. Parties do not need to seek agreement to use such technology, but must disclose to the Royal Commission that it has been used and implement processes to ensure that they are meeting their obligations under a Notice or otherwise by providing only material identified as relevant to the Notices issued, along with their document group.

10 Data security

- 10.1 A party producing data must take all reasonable steps to ensure that the data is useable and is not infected by malicious software.

11 Errors in provided documents

- 11.1 If errors are found in any produced documents, the party producing must provide a corrected version of the document to the Royal Commission as soon as reasonably possible once that error is identified.
- 11.2 If errors are found in more than 25% of the produced documents in any one tranche, the party who produced those documents must, if requested by the Royal Commission, provide a correct version of all documents within the tranche.
- 11.3 A written explanation setting out the reasons for the errors in the documents and describing the data affected must be provided by the party producing if errors are found in any produced documents.

12 Electronic provision of data for productions

- 12.1 Unless otherwise agreed or ordered by the Royal Commission, the information provided and delivered to the Royal Commission must be contained on agreed electronic media, being either:

- (a) SFTP services of the party providing the documents; or
- (b) USB media.

In all cases parties must apply encryption to the zip file uploaded to the SFTP or the USB media provided and the password must be shared with the Royal Commission via a separate email, at the time of confirming the delivery.

13 Claims of a reasonable excuse for not complying with a Notice

- 13.1 Where a party asserts that it has a reasonable excuse for failing to produce a **whole** document, the party must:
- (a) ensure that the document is identified in the Index and Load File;
 - (b) code the field 'Withheld=Yes' in the Index and Load File; and
 - (c) select the basis for the claim in the field 'Withheld Reason' in the Index and Load File.
- 13.2 Where a party asserts that a reasonable excuse exists for failing to produce **part(s)** of a document, the party must:
- (a) redact the part(s) of the document that the party asserts it has a reasonable excuse to withhold;
 - (b) ensure that the document is identified in the Index and Load File;
 - (c) code the field 'Withheld=Part' in the Index and Load File; and
 - (d) select the basis for the claim in the field 'Withheld Reason' in the Index and Load File.
- 13.3 It is not a reasonable excuse for a party to refuse to provide a document or part(s) of a document on the basis of a claim of legal professional privilege (see s 32 of the Act).

14 Production of documents where an order is sought for restriction on publication of information

- 14.1 Where a party seeks an order to prohibit or restrict publication of a **whole** document, the party must:
- (a) produce the document;
 - (b) code the field 'Restricted=Yes' in the Index and Load File; and
 - (c) select the basis for the claim in the field 'Restricted Reason' in the Index and Load File.
- 14.2 Where a party seeks an order to prohibit or restrict publication of **part(s)** of a document, the party must:
- (a) produce the document;
 - (b) highlight the part(s) of the document that are the subject of the claim as set out in paragraph 14.5 below;
 - (c) code the field 'Restricted=Part' in the Index and Load File; and
 - (d) select the basis for the claim in the field 'Restricted Reason' in the Index and Load File.
- 14.3 Where a party seeks an order to prohibit or restrict publication over information that is personal identifying information, the party may:
- (a) highlight any personal identifying information as set out in paragraph 14.5;
 - (b) code the field 'Personal identifying information=Yes' in the Index and Load File; and
 - (c) code the fields 'Restricted' and 'Restricted Reason' in the Index and Load File as is appropriate.
- 14.4 Where a party seeks an order to prohibit or restrict publication over information that is subject to legal professional privilege (**LPP**), the party may:
- (a) highlight any information subject to LPP as set out in paragraph 14.5;

- (b) code the field 'LPP='Yes in the Index and Load File; and
- (c) code the fields 'Restricted' and 'Restricted Reason' in the Index and Load File as is appropriate.

14.5 The highlight colours to be applied are set out below:

Colour	Reason for highlighting
Pink	LPP
Light Blue	Personal identifying information.
Green	Claim for prohibition or restriction on publication provided for in s 26 of the Act.

14.6 If part of any document provided to the Royal Commission is highlighted in accordance with this section 14, the party producing that document must retain a non-highlighted version of the document which must be produced to the Royal Commission on request.

Schedule 1A – Production Specification for .DAT/.OPT Load File

(Concordance/Relativity Compliant)

1 Production format

- 1.1 Documents must be provided electronically, using a .DAT/.OPT data file format and in Microsoft Excel format.
 - (a) The first line of the .DAT file must be a header row identifying the field names.
 - (b) The .DAT file must use the following Concordance® default de-limiters:
 - (1) Pilcrow ¶ ASCII character
 - (2) Quote ¢ ASCII character
- 1.2 Date fields should be provided in the format: DD-MMM-YYYY or DD/mm/YYYY
- 1.3 If the production includes emails and attachments, the attachment fields must be included to preserve the parent/child relationship between an email and its attachments.
- 1.4 Productions must include an extracted text file for each document. An OCR PATH field must be included to provide the file path and name of the extracted text file on the produced storage media. The text file must be named after the Document ID. Do not include the text in the .DAT file.
- 1.5 For productions that contain PDF or Native documents, a LINK field must be included to provide the file path and name of the native file on the produced storage media. The native file must be named after the Document ID.

2 Preparation of documents

- 2.1 A party should avoid converting native electronic documents to paper for production to the Royal Commission and must instead produce them as searchable multi-page PDF documents. For non-standard documents, such as Microsoft Excel and Audio/Video files, native document production is required.
- 2.2 Documents produced as searchable multi-page PDFs must be stamped with sequential page numbers in the top right hand corner of each page. The number on the first page will be the Document ID. The format must be PPP.BBBB.FFFF.NNNN, eg XYZ.0000.0000.0001
- 2.3 Searchable electronic documents should be rendered directly to PDF to create searchable images. Documents should not be printed to paper and scanned or rendered to Tagged Image File Format (**TIFF**) format and then converted to PDF, unless required for the purposes of highlighting within a document review platform.
- 2.4 Non-searchable or image only native files should be converted to searchable PDFs, and not image only or non-searchable PDFs.
- 2.5 Non-standard electronic documents that do not lend themselves to conversion to PDF (for example, complex spread-sheets, databases, etc.) must be produced to the Royal Commission as native electronic documents or in another format agreed with the Royal Commission.
- 2.6 Hard copy documents should be produced as searchable, stamped, multi-page PDF documents. The minimum requirement for scanned images is 300dpi text searchable multi-page PDF.
- 2.7 Colour versions of documents must be created if the presence of colour is necessary to the understanding of the document. Documents which have coloured annotations or highlighting, photos, graphs or images are to be captured in colour.

- 2.8 If documents are highlighted or redacted for the purposes identified in sections 13 and 14 of this Protocol, parties must provide the Royal Commission with an image set (as PDF files) with documents containing redactions or highlights burnt in, accompanied by a load file complying to this Schedule.
- 2.9 A party may apply Document IDs to the following paper documents where they contain relevant content:
- (a) folder covers, spines, separator sheets dividers;
 - (b) hanging file labels; and
 - (c) the reverse pages of any document

3 Document folder structure

- 3.1 The file name of each document must include the relevant file extension, e.g. 'DocumentID.xxx' where '.xxx' is the file extension.
- 3.2 The top level folder containing every document must be named '\Documents\'.
- 3.3 The documents folder must be structured in accordance with the Document ID hierarchy, e.g. 'Documents\ABC\.'

4 Overview of metadata provided within the data (.DAT) load file

- 4.1 Required fields/metadata in a flat file format:

Field	Explanation – Document Types and Coding Method and possible values	
Document_ID	Document ID	
Host_Reference	If the document is an attachment, this field contains the Document ID of its host document. If a document does not have a host, this field is to be left blank\NULL.	
Document_Type	Paper Documents	Refer Document Types in Schedule 2.
	Electronic Documents (including email, email attachments, loose files etc)	Either native file type or Document Type in Schedule 2 as determined on the basis of the face of the document.
Document_Date	DD-MMM-YYYY or DD/mm/YYYY	
	Paper Documents	Determined on the basis of the date appearing on the face of the document.
	Undated Documents	Leave field blank\NULL.
	Incomplete Date (Year Only)	For example, 01-JAN-YYYY
	Incomplete Date (Month and Year Only, or Day and Month Only)	For example, 01-MMM-YYYY, DD-MMM-1900
	Emails	Email Sent Date
	Unsent Emails	Last Modified Date
	Other Electronic Documents	Last Modified Date; or Date appearing on the face of the document.
Document Date and Time	DD-MMM-YYYY HH:MM:SS (where HH is a 24 hour format)	
	Paper Documents	Determined on the basis of the date appearing on the face of the document
	Undated Documents	Leave field blank\NULL.
	Incomplete Date (Year Only)	For example, 01-JAN-YYYY 00:00:00
	Incomplete Date (Month and Year Only, or Day and Month Only)	For example, 01-MMM-YYYY 00:00:00, DD-MMM-1900 00:00:00
	Emails	Email Sent Date and Time

	Unsent Emails	Last Modified Date and Time
	Other Electronic Documents	Last Modified Date and Time; or Date and time appearing on the face of the document.
Estimated	Yes OR No OR NULL	
	Default	No OR NULL
	Undated Documents	No OR NULL
	Incomplete Date	Yes
Title	Paper Documents	Determined on the basis of the title appearing on the face of the document
	Email	Subject field from email metadata.
	Other Electronic Documents	Metadata file name or determined on the basis of the title appearing on the face of the document.
People and Organisations	Format 1: Person [Organisation] Format 2: Organisation Format 3: Person name or email address	
	Paper Documents	Name of person to be determined on the basis of the face of the document [Name of organisation that produced the document as determined on the basis of the face of the document]
	Emails	Electronic metadata – email addresses or email alias names.
	Other Electronic Documents	To be determined from the automatically identified metadata.
Organisations	Paper Documents	Name of organisation that produced the document as determined on the basis of the face of the document.
	Emails	Blank\NULL
	Other Electronic Documents	To be determined from the automatically identified metadata.
Persons	Paper Documents	To be determined on the basis of the face of the document.
	Emails	Electronic metadata – email addresses or email alias names.
	Other Electronic Documents	Author value to be determined from the automatically identified metadata.
Withheld	Yes OR Part OR No	
Withheld Reason	Privilege against self-incrimination (offence) - (18(2)(a)(i)) and (33(2)(a)); Privilege against self-incrimination (penalty) - (18(2)(a)(ii)) and (33(2)(b)); Parliamentary privilege (18)(2)(b); Public interest immunity (18)(2)(c); Prohibited by court order (18)(2)(d); Prohibited by enactment (18)(2)(e); Prohibited by enactment prescribed by regulations (18)(2)(f) and (34(4)); or Other reason(18)(1)(a)	
Restricted	Yes OR Part OR No	
Restricted Reason	Prejudice or hardship (26(2)(a)); Sensitive nature and subject matter (26(2)(b)); Possible prejudice to legal proceedings (26(2)(c)); Conduct of proceeding would be more efficient and effective (26(2)(d)); or Commissioner should otherwise consider appropriate (26(2)(e))	
LPP	Yes OR No	

Personal-identifying information	Yes OR No	
Notice to Produce or Summons No.	Eg: NP002	Royal Commission request number as identified on the Notice or Summons
Notice to Produce Tranche No	NP002_TR01	Notice to Produce Tranche No in which the document is produced under
Notice to Produce Schedule Item	NP002-sch01	Notice to Produce Schedule item the document is relevant to
File Path	e.g. \\server\custodianname\	Source path of the original file, if available.
File Name	e.g. draft report.pdf	Source name of the original file, if available.
Date Created	DD-MMM-YYYY HH:MM:SS	Electronic metadata – created date, if available.
Date Last Modified	DD-MMM-YYYY HH:MM:SS	Electronic metadata – last modified date, if available.
MD5 Hash Value		MD5 hash value used for deduplication, if available.
File Extension	Eg: XLSX PDF	The file extension or original native file type is to be provided for all documents.
OCR TEXT file path	Documents\Text\Document_ID.TXT	Extracted text path.
Native\PDF file Path	Documents\Native\Document_ID.EXT	Native path for documents produced in native format.

4.2 Parties' information (To/From/CC/BCC) technical requirements:

- (a) These fields hold the names of parties associated with a particular document and their relationship to the document. It may also hold organisation information for these people.

- (1) Describing people

- (i) A person's name may be referenced using:
 - A. email addresses (for example, jcitizen@xyz.com.au); or
 - B. Surname [space] first name initial (for example, Citizen J) where email addresses are not available; or
 - C. by reference to a position (for example, Psychologist) where email addresses or surname and first name initial are not available; or
 - D. by reference to an organisation associated with the person where email address, surname and first name initial and position are not available.
- (2) Multiple recipients must be separated by a semicolon.
- (3) Organisations must be placed into square brackets.

Schedule 1B – Production Specification for Four-Table Microsoft Access Load File (Ringtail Compliant)

1 Production format

- 1.1 Documents must be produced electronically, in a cascading Windows folder structure, with the corresponding document metadata structured in a four-table Microsoft Access database format.
- 1.2 A party should also include the index of documents in Microsoft Excel format.

2 Preparation of documents

- 2.1 A party should avoid converting native electronic documents to paper for production to the Royal Commission and must instead produce them as searchable multi-page PDF documents. For non-standard documents, such as Microsoft Excel and Audio/Video files, native document production is required.
- 2.2 Documents produced as searchable multi-page PDFs must be stamped with sequential page numbers in the top right hand corner of each page. The number on the first page must be the Document ID. The format must be PPP.BBBB.FFFF.NNNN, e.g. XYZ.0001.0001.0001.
- 2.3 Searchable electronic documents should be rendered directly to PDF to create searchable images. Documents should not be printed to paper and scanned or rendered to Tagged Image File Format (**TIFF**) format and then converted to PDF, unless required for the purposes of highlighting within a document review platform.
- 2.4 Non-searchable or image only native files should be converted to searchable PDFs, and not image only or non-searchable PDFs.
- 2.5 Non-standard electronic documents that do not lend themselves to conversion to PDF (for example, complex spread-sheets, databases, etc.) must be delivered to the Royal Commission as native electronic documents or in another format agreed with the Royal Commission.
- 2.6 Hard copy documents should be provided as searchable, stamped, multi-page PDF documents. The minimum requirement for scanned images is 300dpi text searchable multi-page PDF.
- 2.7 Colour versions of documents must be created if the presence of colour is necessary to the understanding of the document. Documents which have coloured annotations or highlighting, photos, graphs or images are to be captured in colour.
- 2.8 If documents are highlighted for the purposes identified in section 18, 19 and 20 of this Protocol, parties must provide the Royal Commission with an image set (as PDF files) with documents containing highlights burnt in accompanied by a load file, complying to this Schedule.
- 2.9 A party may apply Document IDs to the following paper documents where they contain relevant content:
 - (a) folder covers, spines, separator sheets dividers;
 - (b) hanging file labels; and
 - (c) the reverse pages of any document

3 Document folder structure

- 3.1 The file name of each document must include the relevant file extension, e.g. 'DocumentID.xxx' where '.xxx' is the file extension.
- 3.2 The top level folder containing every document must be named '\Documents\'

3.3 The documents folder must be structured in accordance with the Document ID hierarchy, ie “Documents\ABC\[subfolders if required]”

4 Overview of structure of four-tabled Microsoft Access database

4.1 The document metadata is to be structured into the following four Microsoft Access database tables:

Table Name	Table Description
Export	Main document information.
Parties	People and organisation information for each document.
Pages	Listing of electronic image filenames for each document. The Pages table must correspond to the files within the cascading document folder structure.
Export_Extras	Additional data fields for each document, including subjective fields populated by the parties during review.

4.2 Export Table

Field	Data Type	Explanation – Document Types and Coding Method and possible values	
Document_ID	Text, 255	Document ID	
Host_Reference	Text, 255	If the document is an attachment, this field contains the Document ID of its host document. If a document does not have a host, this field is to be left blank\NULL.	
Document_Type	Text, 255	Paper Documents	Refer Document Types in Schedule 2.
		Electronic Documents (including email, email attachments, loose files etc)	Either native file type or Document Type in Schedule 2 as determined on the basis of the face of the document.
Document_Date	Date, 11	DD-MMM-YYYY or DD/mm/YYYY	
		Paper Documents	Determined on the basis of the date appearing on the face of the document.
		Undated Documents	Leave field blank\NULL.
		Incomplete Date (Year Only)	For example, 01-JAN-YYYY
		Incomplete Date (Month and Year Only; or Day and Month Only)	For example, 01-MMM-YYYY, DD-MMM-1900
		Emails	Email Sent Date
		Unsent Emails	Last Modified Date
		Other Electronic Documents	Last Modified Date; or Date appearing on the face of the document.
Estimated	Text, 3	Yes OR No OR NULL	
		Default	No OR NULL
		Undated Documents	No OR NULL
		Incomplete Date	Yes
Title	Text, 255	Paper Documents	Determined on the basis of the title appearing on the face of the document.
		Email	Subject field from email metadata.
		Other Electronic Documents	Metadata file name or determined on the basis of the title appearing on the face of the document.
Level_1		First subfolder level of where the document file is.	
Level_2		Second subfolder (if required) of where the document file is.	

4.3 Parties Table

- (a) This Table holds the names of people associated with a particular document and their relationship to the document. It may also hold organisation information for these people. There is a one-to-many relationship between the Export Table containing the primary document information and the Parties Table because multiple people could be associated with a single document.

Field	Data Type	Explanation	
Document_ID	Text, 255	Document ID	
Correspondence_Type	Text, 100	Paper Documents	AUTHOR, RECIPIENT BETWEEN, ATTENDEES, CC To be determined on the basis of the face of the document.
		Emails	FROM, TO, CC, BCC
		Other Electronic Documents	AUTHOR, RECIPIENT, CC To be determined from the automatically identified metadata.
Organisations	Text, 255	Paper Documents	Name of organisation that produced the document as determined on the basis of the face of the document.
		Emails	Blank\NULL
		Other Electronic Documents	To be determined from the automatically identified metadata.
Persons	Text, 255	Paper Documents	To be determined on the basis of the face of the document.
		Emails	Electronic metadata – email addresses or email alias names.
		Other Electronic Documents	Author value to be determined from the automatically identified metadata.

- (b) Describing people in the Parties Table:

- (1) A person's name may be referenced using:
 - (A) email addresses (for example, jcitizen@xyz.com.au); or
 - (B) Surname [space] first name initial (for example, Citizen J) where email addresses are not available; or
 - (C) by reference to a position (for example, Psychologist Manager) where email addresses or surname and first name initial are not available; or
 - (D) by reference to an organisation associated with the person where email address, surname, surname and first name initial and position are not available.
- (2) Multiple recipients must be entered as separate rows in the Parties Table.

4.4 Pages Table

- (a) There must be at least one entry in the Pages Table that relates to a single document in the Export Table. Concurrently, there must be an entry in the Pages Table for every file provided in the cascading document folder structure.

Field	Data Type	Explanation
Document_ID	Text, 255	Document ID
File_Name	Text, 128	Filename, including extension of each indexed document.
Page_Label	Text, 32	"PDF" for files produced as searchable multipage PDF documents. "Native" for documents produced as native electronic files. "Text" for the extracted text (OCR) contents of the file.
Page_Num	Number, Double	"1" for files produced as searchable multipage PDF documents. "2" for documents produced as native electronic files. "3" for the OCR text file.
Num_Pages	Number, Double	A number that represents the total number of pages of the document for files produced as searchable multipage PDF documents. "1" for documents produced as native electronic files.

4.5 Export Extras Table

- (a) The Export Extras Table holds any additional metadata the parties wish to produce that is not held in the other three Tables mentioned above. In addition to automatically identified document metadata, the Export Extras Table must also hold subjective coding information about documents that has been determined by the parties.

Field	Data Type	Explanation
Document_ID	Text, 255	Unique Document Identifier (Document ID)
theCategory	Text, 50	Text OR Date OR Numb OR Bool OR Pick OR Memo
theLabel	Text, 255	Custom Field Name, from the List of Extras Fields below
theValue	Text, 255	Custom Field Contents from the List of Extras Fields below
MemoValue	MEMO	Custom Field Contents from the List of Extras Fields below for values more than 255 characters

(b) Required Extras Fields

Field	Data Type	Acceptable Values	Explanation
Document Date and Time	TEXT	DD-MMM-YYYY HH:MM:SS (where HH is a 24 hour format)	Document Date and Time electronically extracted using the respective processing tool (ie. Email Sent Date and Time OR Last Modified Date and Time). Where no time is electronically available the format value will be DD-MMM-YYYY 00:00:00
Withheld	PICK	Yes, Part	Only required for Documents being withheld in full or part. Single choice only
Withheld Reason	PICK	Privilege against self-incrimination (offence) - (18(2)(a)(i)) and (33(2)(a)); Privilege against self-incrimination (penalty) - (18(2)(a)(ii)) and (33(2)(b)); Parliamentary privilege (18)(2)(b)); Public interest immunity (18(2)(c)); Prohibited by court order	Basis on which document is withheld. Only required for Documents marked as Withheld = Yes or Part

		(18(2)(d)); Prohibited by enactment (18(2)(e)); Prohibited by enactment prescribed by regulations (18(2)(f)) and (34(4)); or Other reason(18)(1)(a)	
Restricted	PICK	Yes, Part	Only required for documents with restrictions in full or part. Single choice only
Restriction Reason	PICK	Prejudice or hardship (26(2)(a)); Sensitive nature and subject matter (26(2)(b)); Possible prejudice to legal proceedings (26(2)(c)); Conduct of proceeding would be more efficient and effective (26(2)(d)); or Commissioner should otherwise consider appropriate (26(2)(e)	Basis on which document is restricted. Only required for documents marked as Restricted = Yes or Part
LPP	PICK	Yes	Only required where information is highlighted as subject to LPP. Single choice only
Personal identifying information	PICK	Yes	Only required where information is highlighted as personal identifying information. Single choice only
Notice to Produce or Summons No.	PICK	Eg: N006/16	Royal Commission request number as identified on the Notice or Summons.
Notice to Produce Tranche No	PICK	NP002_TR01	Notice to Produce Tranche No in which the document is produced under
Notice to Produce Schedule Item	PICK	NP002-sch01	Notice to Produce schedule item the document is relevant to
File Path	MEMO		Source path of the original file, if available.
File Name	TEXT		Source name of the original file, if available.
Date Created	TEXT	DD-MMM-YYYY HH:MM:SS	Electronic metadata – created date, if available.
Date Last Modified	TEXT	DD-MMM-YYYY HH:MM:SS	Electronic metadata – last modified date, if available.
MD5 Hash Value	TEXT		MD5 hash value used for deduplication, if available.
File Extension	TEXT	Eg: XLSX PDF	The file extension or original native file type is to be provided for all documents.

Schedule 2 – Document Types

1 Document Types for electronic documents

Document Type	Description
Email	An email – usually contained within an email store (e.g. an email box) but may be extracted to reside within a directory or folder on a file system.
Email Attachment	An electronic document attached to an email.
Electronic File	An electronic file that is not attached to an email but rather resided in its original state in a directory on a file system.

2 Document Types for hard copy documents

2.1 Standard document types:

Document Type			
Agenda	Email	Minutes of Meeting	Transcript
Agreement/Contract/Deed	Facsimile	Notice	Web Page
Affidavit/Statement	Fax Transmission Report	Permit	
Annual Report	File Note	Photograph	
Article	Financial Document	Physical Media	
Authority	Form	Presentation	
Board Papers	Handwritten Note/Note	Receipt	
Brochure	Invoice/Statement	Report	
Certificate	Legislation/Act	RFI – RFO	
Cheque Remittance	Letter	Search/Company Search	
Court Document	List	Social Media/Messaging	
Curriculum Vitae/Identification	Manual/Guidelines	Specification	
Diary Entry	Map	Table/Spreadsheet	
Divider/File Cover	Media Article/Release	Submissions	
Diagram/Plan	Memorandum	Timesheet	