



## PRACTICE DIRECTION 3

### PRODUCTION OF DOCUMENTS AND DOCUMENT MANAGEMENT PROTOCOL

18 May 2021

#### INTRODUCTION

- 1 This Practice Direction is issued under section 16 of the *Inquiries Act 2014* (Vic) (**Act**) by the Royal Commission into the Casino Operator and Licence (**Royal Commission**) and relates to:
  - (a) the receipt of materials in response to a Notice to Attend, Notice to Produce or Notice to Attend and Produce pursuant to section 17 of the Act (Notice));
  - (b) claims of reasonable excuse in response to a Notice; and
  - (c) the Protocol for the Management of Documents (Protocol).
- 2 This Practice Direction should be read in conjunction with the Act and the letters patent establishing the Royal Commission, including the Terms of Reference.
- 3 In this Practice Direction, and the Protocol that follows, reference to a Party (or Parties) means:
  - (a) any entity, organisation or individual that has been served with, or is the subject of a Notice; and
  - (b) anyone who intends to provide documents, evidence or other material to the Royal Commission, including in response to a request for information.
- 4 The intended audience for this Practice Direction includes a Party, as well as the legal representatives and IT professionals engaged to assist Parties in responding to Notices.
- 5 This Practice Direction may be varied or replaced at any time. The Royal Commission may, at any time, depart from this Practice Direction if it considers it appropriate to do so.

#### PRODUCTION OF MATERIAL TO THE ROYAL COMMISSION

- 6 Any material to be produced to the Royal Commission should be in an accessible electronic format consistent with the requirements of this Practice Direction and the Protocol.
- 7 This does not preclude the Royal Commission from accepting material, at its discretion, in a hard copy format or as objects.
- 8 If a Party producing documents to the Royal Commission is not able to comply with the requirements of this Practice Direction or the Protocol, the Party should contact the Royal Commission to discuss alternative arrangements for production: [contact@rccol.vic.gov.au](mailto:contact@rccol.vic.gov.au), Alex Thompson on (03) 9672 3104 or Tri Huynh on (07) 3228 9862.



### **SEEKING A NON PUBLICATION OR RESTRICTED PUBLICATION ORDER (OTHER THAN LEGAL PROFESSIONAL PRIVILEGE)**

- 9 The existence of personal information is not, on its own, a basis on which the Royal Commission will make an order prohibiting or restricting publication. However, the Protocol includes a process for Parties to identify any personal identifying information.
- 10 Any party who seeks an order prohibiting or restricting the publication of a document (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 for the production and coding of documents where an order restricting or prohibiting publication is made.

### **ROYAL COMMISSION'S DOCUMENT MANAGEMENT SYSTEM**

- 11 The Royal Commission will maintain an electronic database using the Nuix Discover (**Ringtail**) platform that will contain, among other things, copies of all material produced to the Royal Commission including material produced in response to a Notice, informal request for information or otherwise.
- 12 Any person who has a technical question about producing material electronically to the Royal Commission should contact [contact@rccol.vic.gov.au](mailto:contact@rccol.vic.gov.au), Alex Thompson on (03) 9672 3104 or Tri Huynh on (07) 3228 9862.

### **CLAIMS OF 'REASONABLE EXCUSE' IN RESPONSE TO NOTICES**

- 13 Any Party who asserts 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, any notes which accompany the Notice and any relevant Practice Directions issued by the Royal Commission.
- 14 The Royal Commission will set out in each Notice the date by which a claim of reasonable excuse must be made (**Objection Date**).
- 15 If a Party considers that the whole or part of a Notice concerns evidence, material or document(s) that is the subject of a claim of 'reasonable excuse' by that Party, it must, by the Objection Date:
- (a) notify the Royal Commission of the objection in accordance with the requirements of the Notice;
  - (b) provide the following information to assist the Royal Commission to determine whether a reasonable excuse exists:



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- (i) a brief general description of the subject matter, evidence, material or document(s) to which the reasonable excuse is claimed to apply;
- (ii) the basis on which the claim of reasonable excuse is made. Examples include, but are not limited to: self-incrimination (s 33(2)); statutory secrecy (s 34(3)); public interest immunity (s 18(c)); or other (s 18);
- (iii) brief reasons in support of the claim of reasonable excuse; and
- (iv) in addition, for documents or materials:
  - A. a description of the nature of the document (date, type etc); and
  - B. the author(s) and, where applicable, the addressee(s) of the document; and
- (v) inform the Royal Commission whether the Party:
  - A. claims that the reasonable excuse applies to all or part of the evidence, material or document(s);
  - B. claims the evidence, material or document(s) should not be adduced and/or produced at all on the grounds of the identified reasonable excuse, or
  - C. whether the Party consents to production of the evidence, material or document(s) on appropriate terms, and if so, what the proposed terms ought to be.

16 Where a claim of reasonable excuse is made over documents or material, the Party making that claim must also comply with the requirements of the Protocol in respect of the production and coding of documents.

### DOCUMENTS SUBJECT TO LEGAL PROFESSIONAL PRIVILEGE: SECTION 32

- 17 Parties seeking to assert a claim for legal professional privilege (**LPP**) in whole or in part for a document to be produced should have regard to section 32 of the Act, the notes which accompany the Notice and any relevant Practice Directions by the Royal Commission.
- 18 It is not a reasonable excuse for a Party to refuse to provide a document on the basis that it is subject to LPP.



## **DOCUMENT MANAGEMENT PROTOCOL**

### **INTRODUCTION**

- 1 This Protocol outlines the method by which documents are to be provided to the Royal Commission, whether in response to a Notice or otherwise.
- 2 The intended audience of this Protocol is the legal representatives and IT professionals engaged to assist Parties to produce materials to the Royal Commission.
- 3 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, including but not limited to circumstances where it is unreasonable or too onerous upon a Party to comply with the technical specifications of this Protocol.

### **EXCHANGE FORMAT OF DOCUMENTS**

- 4 The Royal Commission will accept electronic Documents in a Ringtail (.mdb) format (see **Annexure A**).
- 5 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 (see **Annexure B**).
- 6 Parties should provide all metadata where practicable. The Royal Commission accepts that complete document metadata might not be available for all electronic documents.
- 7 Hard copy documents will be produced as PDFs, together with extracted text files where possible (see **Annexure B**).
- 8 Original versions of all documents must be retained by the person producing it.

### **IDENTIFICATION OF DOCUMENTS – DOCUMENT IDS**

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

PPP(P).BBBB.FFFF.NNNN\_(XXXX)

Where:

- (a) **PPP(P)** is a three (or four) letter party code that identifies a Party. If a Party producing documents to the Royal Commission has not been assigned a party code, or it wishes to be assigned a different party code, it should contact the Royal Commission



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(contact@rccol.vic.gov.au, Alex Thompson on (03) 9672 3104 or Tri Huynh on (07) 3228 9862) prior to production to confirm the Party codes available for use.

- (b) **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 is to be between 0001–9999.
- (c) **FFFF** is a 3 or 4-digit 'container' number identifying further separate collections of documents. The number is to be between 0001–9999.
- (d) **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.
- (e) **(XXXX)** is an optional 4-digit number used to identify suffix rendered PDF pages. It is only required where Parties 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 and padded with zeros to consistently result in a 4-digit number structure.

12 An example of the Document ID structure is as follows:

ABC.0001.0001.0020

Where:

ABC	Party Code
0001	Unique 'box' number allocated by Party.
0001	Unique 'container' number allocated by Party.
0020	Unique Document number within the 'container'.

13 Assigned Document IDs must be unique to each document and must not be re-assigned to subsequent documents produced.

14 If alternate numbering is required please contact the Royal Commission to discuss.

15 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.

16 If Parties wish to render a document to PDF at the time of production, following a native file review, and:

- (a) the first Document ID is ABC.0001.0001.0001; then
- (b) the first page of that document rendered PDF must be stamped with: ABC.0001.0001.0001;
- (c) the second page of that document must be stamped with: ABC.0001.0001.0001\_0002; and
- (d) the third page of that document must be stamped with: ABC.0001.0001.0001\_0003



and so on.

## **DOCUMENT HOSTS AND ATTACHMENTS**

- 17 Every electronic 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 neither a Host Document nor an Attached Document will be called a **Standalone Document**.
- 18 Examples of Host Documents and Attached Documents include:
- (a) an email, letter or fax (Host Document) and its attachments (Attached Documents); and
  - (b) an electronic file (Host Document) that has other files embedded within it (Attached Documents).
- 19 If an Attached Document also contains attachments, those attachments will be treated as attachments to the Host Document.
- 20 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.
- 21 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.
- 22 For **hard copy documents**, document delimiting is to be done logically. This means that physical delimiters such as staples, clips, dividers, may be used as a guide only and the start and end page of a document should be logically determined. All documents comprising a brief, file, or similar are separate documents.

## **INDEXES AND LOAD FILES OF DOCUMENTS PRODUCED**

- 23 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 in accordance with the Production Load File Specification at Annexure A or B (as applicable) (Load File).
- 24 Both the Index and the Load File must contain the following data for each document, where available:



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- (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

25 For further details on the document details and specifications, see **Annexure A**.

### DOCUMENT METADATA

- 26 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 for Load File and Documents at Annexure A or B.
- 27 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.
- 28 Document metadata is to be automatically extracted using Australian Eastern Daylight Time (**AEDT**) as the time zone in the processing application.



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- 29 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.
- 30 Hard copy documents must be produced as searchable PDFs, together with a load file where possible (see **Annexure A or B**, as relevant).
- 31 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.

### DE-DUPLICATION OF DOCUMENTS

- 32 A Party must take reasonable steps to ensure that duplicate documents are removed from the produced material (**De-Duplication**).
- 33 The Royal Commission acknowledges that there may be circumstances where duplicates need to be identified and produced for evidentiary purposes.
- 34 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.
- 35 A Party must apply electronic De-Duplication using a MD5 algorithm.
- 36 Parties will take reasonable steps to remove irrelevant system files and immaterial content including temporary internet files, 'thumbs.db' files, and cookies.
- 37 Temporary internet files and cookies are to be excluded from the production process.

### EXCLUSION OF UNUSABLE FILE TYPES

- 38 An 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 production (to the extent possible).
- 39 Temporary internet files and cookies are to be excluded from the production process.

### TREATMENT OF EMAIL CHAIN CORRESPONDENCE

- 40 Where an email is identified as relevant and it forms part of an email chain, the Party must produce the entire email chain.



## **USE OF ADVANCED ANALYTICS TECHNOLOGY**

- 41 Parties may use advanced analytics technologies at their own discretion, but they must maintain the integrity and context of the documents, and produce entire document groups including all attachments.
- 42 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.
- 43 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.

## **DATA SECURITY**

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

## **ERRORS IN PRODUCED DOCUMENTS**

- 45 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 practicable once that error is identified.
- 46 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.
- 47 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.

## **ELECTRONIC PROVISION OF DATA FOR PRODUCTION**

- 48 Unless otherwise agreed or ordered by the Royal Commission, information and documents provided to the Royal Commission must be provided via a secure data transfer link, which will be provided by the Royal Commission upon request.
- 49 A Party requesting a secure data transfer link must email that request to [LTS.RCCOL@corrs.com.au](mailto:LTS.RCCOL@corrs.com.au), specifying:
- (a) the Notice to Produce reference number or other relevant reference number provided by the Royal Commission; and



- (b) the name(s) and email address(es) of the person(s) who require access to the secure data transfer link to upload the data.

#### **CLAIMS OF A REASONABLE EXCUSE FOR NOT COMPLYING WITH A NOTICE**

- 50 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.
- 51 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.
- 52 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 53;
  - (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.
- 53 The highlight colours to be applied are set out below:

<b>Colour</b>	<b>Reason for highlighting</b>
Light Blue	Personal identifying information.
Green	Claim for prohibition or restriction on publication provided for in section 26(2) of the Act.

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



### **PRODUCTION OF DOCUMENTS SUBJECT TO LPP: SECTION 32**

- 55 Where a Party asserts LPP over a whole document, the Party should produce the document, highlight the whole of the text of the document in **Yellow**, and select the 'Yes' value in the **Annexure A** table.
- 56 Where a Party asserts LPP over part of a document, the Party should produce the document, highlight the part(s) of the document that are subject to the claim in **Yellow**, and select the 'Part' value in the **Annexure A** table.

### **PRODUCTION OF REDACTED COPIES OF DOCUMENTS SUBJECT TO NON-PUBLICATION ORDER**

- 57 Where the Commission has granted a non-publication order in respect of a document or part/s of a document, the Party who has produced the document in accordance with paragraphs 50 to 56 above must produce to the Commission a replacement image of the document which:
- (a) contains black redactions over the document or part/s of the document subject to the non-publication order; and
  - (b) is marked with '\_R' at the end of the document ID.
- 58 Unless otherwise directed, the replacement image must be provided to the Commission no later than two (2) business days after the non-publication order has been granted. If a non-publication order is applied for or granted in close proximity to a hearing at which the document is intended to be tendered, to allow for the efficient conduct of the hearing, the Commission may require a Party to provide a replacement image less than two business (2) days after the non-publication order has been granted.
- 59 If an image is redacted multiple times or by multiple parties, then the replacement image must be marked with '\_R1', '\_R2' and so on.



## ANNEXURE A

### PRODUCTION SPECIFICATION FOR LOAD FILE AND DOCUMENTS

- 1 The production will consist of two parts:
  - (a) Load file in a Ringtail export.MDB format.
  - (b) Cascading documents folder.

#### CASCADING DOCUMENT FOLDER STRUCTURE

- 2 Text searchable PDF files, NATIVE files and extracted TEXT files of the Document will be organised in a cascading folder structure according to the Document ID components.

PPP\BBBB\FFFF\

Eg. ABC\0001\0001\ABC.0001.0001.0020.pdf

#### RINGTAIL MDB SPECIFICATION

- 3 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 will 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.

#### EXPORT

- 4 This table contains a single entry for each document produced.

Field	Data type	Explanation – Document Types and Coding Method and possible values
Document_ID	Text, 255	Unique identifier for each document.
Document_Type	Text, 255	Hard copy: objectively captured (refer Annexure C). Native Emails: "Email".



Field	Data type	Explanation – Document Types and Coding Method and possible values
		Other electronic documents (not native emails): objectively captured, electronic file type, or electronic file kind.
Document_Date	Date, 11	Format: DD-MMM-YYYY (eg 01-Mar-2010) Hard copy: objectively captured. Emails: sent or received date. Other electronic documents (non-emails): objectively captured or extracted from metadata. Undated documents: NULL. Partial date (year only): 01-Jan-YYYY. Partial date (month and year): 01-MMM-YYYY. Partial date (date and month): DD-MMM-1900. Date ranges: the latest/greatest date.
Estimated	Text, 3	Yes or No only (no NULL values). Partial date: Yes. Date ranges: Yes. Undated documents: No. Default: No.
Title	Text, 255	Hard copy: objectively captured Emails: subject field. Other electronic documents (non-emails): objectively captured, filename, or extracted from metadata. Untitled documents: NULL
Level_1 - Level_1	Text, 20	The corresponding level information of the Document ID and documents.

## **PARTIES TABLE**

- 5 This table contains a single entry for each document produced. It holds the names of people associated with a particular document and their relationship to the document. It might 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.
- 6 Where a document has multiple parties, each party must be entered into a separate row in the parties table.
- 7 To associate a person with an organisation (or vice versa), the person and organisation should appear on the same row within the parties table, but with the person information captured in the persons field, and the organisation information captured in the organisations field.



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- 8 It is not mandatory for email addresses to be split into person and organisation, even where this information is visible from the email address. Where the email address is not split between person and organisation, the full email address should be entered into the persons field.
- 9 Where metadata is used, it is not mandatory to split the parties' information into person and organisation, even where this information is visible. Where the metadata is not split between person and organisation, the metadata should be entered into the persons field.
- 10 It is not mandatory for every document to have an author (ie "From") where this information is not visible in the document.

Field	Data type	Explanation
Document_ID	Text, 255	Document ID.
Correspondence Type	Text, 100	FROM, TO, CC, BCC.
Organisations	Text, 255	Hard copy: objectively captured. Electronic emails: email addresses or email alias name or objectively captured. Other electronic documents (non-emails): objectively captured, extracted from metadata, or NULL.
Persons	Text, 255	Hard copy: objectively captured in the format: {Surname} {First Name Initial} eg Smith J. Electronic emails: email addresses or email alias name. Other electronic documents (non-emails): objectively captured, extracted from metadata, or NULL.

### PAGES TABLE

- 11 There will be at least one entry in the Pages Table that relates to a single document in the Export Table. Concurrently, there will 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 extracted text files.
Page_Num	Number, Double	An integer indicating the order in which the files related to the document should be sequenced.



Field	Data type	Explanation
Num_Pages	Number, Double	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 and for extracted text files.

## EXPORT EXTRAS TABLE

- 12 The Export Extras Table holds the additional metadata that is not held in the other three Tables mentioned above.

Field	Data type	Explanation
Document_ID	Text, 255	Unique document Identifier (Document ID).
theCategory	Text, 50	Text OR Date OR Num OR Bool OR Pick OR Memo.
theLabel	Text, 255	Custom Field Contents 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.

## REQUIRED EXTRAS FIELDS

The Label	Field Type (the Category)	Acceptable Values	Explanation
Withheld	PICK	Yes, Part	Only required for documents being withheld in full or part. Single choice only
Withheld Reason	PICK	Privilege against self- incrimination (33(2)); Statutory Secrecy or Statutory Duty of Confidentiality (34(3)); or Other (18) (ie parliamentary privilege, public interest immunity	Basis on which a reasonable excuse is claimed: Only required for documents marked as Withheld = Yes or Part.



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The Label	Field Type (the Category)	Acceptable Values	Explanation
Restricted	PICK	Yes, Part	Only required for documents with restrictions in full or part. Single choice only.
Restricted Reason	PICK	Privilege against self-incrimination (33(1)); or Statutory Secrecy/Statutory Duty of Confidentiality (34(1)); or Restriction on publication of information (26(2)).	Basis on which self-incrimination or secrecy/statutory duty of confidentiality is claimed. Only required for documents marked as Privilege or Secrecy/statutory duty of confidentiality Claimed = Yes or Part.
LPP	PICK	Yes, Part.	Only required where Legal Professional Privilege is claimed in full or part. Single choice only.
MD5	TEXT		MD5 hash value used for De-Duplication, if available.
Request Number	TEXT	NP-100.	Notice to Produce or Summons Number. The Royal Commission request number as identified on the Notice to Produce or Summons Number (eg NP- 100).
NTP Category	TEXT	1b;2c(ii)	Specify the category within the Notice to Produce that the document relates to (eg 4a). Where more than one category applies to a document, each category should follow the above format and be separated by semicolons (eg. 4a;4b;5c)
Date (time)	TEXT	DD-MMM-YYYY HH:MM (where HH is a 24 hour format).	As the Document_Date field in the Export Table does not support Date/Time, this field should be added as a text field in the export_extras. Format: DD-MMM-YYYY HH:MM where HH is a 24 hour format (eg 01-Mar- 2010 14:22) Hard copy: objectively captured.



The Label	Field Type (the Category)	Acceptable Values	Explanation
			Emails: sent or received date. Other electronic documents (non-emails): objectively captured or extracted from metadata. Undated Documents: NULL. Partial date (year only): 01- Jan-YYYY. Partial date (month and year): 01- MMM-YYYY. Partial date (date and month): DD- MMM-1900. Date ranges: the latest/greatest date. No time: 00:00.



## **ANNEXURE B**

### **PREPARATION OF DOCUMENTS AND HARD COPY DIGITISATION SPECIFICATIONS**

- 1 Non-standard electronic documents that do not lend themselves to conversion to PDF (for example, complex spreadsheets, databases, etc.) will be produced in native format. All other files will be provided as multi-page text searchable paginated PDFs.
- 2 Electronic documents produced as multi-page text searchable PDFs will be stamped with sequential page numbers in the top right hand corner of each page.
- 3 Hard copy documents should be produced as multi-page text searchable, stamped, PDF Documents. The minimum requirement for scanned images is 300dpi text searchable multi-page PDF.
- 4 Colour versions of documents will be created if the presence of colour is necessary to the understanding of the document.
- 5 Extracted text files will be generated directly from the native file, even if the file is being produced in PDF format. Only redacted or hard copy documents will have their extract text generated after conversion to PDF.



**ANNEXURE C**

**DOCUMENT TYPE LIST – OBJECTIVELY CODED**

For electronic files, this can be extracted from the native file type or kind.

<b>Document Type</b>			
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/Resume	Manual/Guidelines	Specification	
Diary Entry	Map	Table/Spreadsheet	
Divider/File Cover	Media Article/Release	Submissions	
Diagram/Plan	Memorandum	Timesheet	