

**Document Management Protocol for the  
Royal Commission into Misconduct in the  
Banking, Superannuation and Financial  
Services Industry**

**19 February 2018**

# Document Management Protocol

## 1. Purpose of this Protocol

- 1.1 This Protocol sets out the means and format in which electronic documents are to be produced to the Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Industry (**the Royal Commission**).
- 1.2 This Protocol should be read in conjunction with Practice Guideline 1, which is available on the Royal Commission's website at <https://financialservices.royalcommission.gov.au>.
- 1.3 Where the Royal Commission thinks it appropriate, this Protocol may be varied, changed or replaced at any time.
- 1.4 Pursuant to this Protocol, a person is expected not to convert electronic documents to hard copy for the purposes of providing documents to the Royal Commission. A person is expected to convert hard copy documents to electronic form for the purposes of production to the Royal Commission in accordance with this Protocol.
- 1.5 The Royal Commission will accept electronic documents in both Concordance/Relativity (.dat/.opt) and Ringtail (.mdb) formats, as outlined in Schedules 1A & 1B respectively.

## General Principles

### 2. Identification of documents

- 2.1 Document IDs and page numbers will be unique to each page and will be the primary means by which documents will be referenced. All document IDs and page numbers are to be stamped in the top right hand corner of each page.
- 2.2 A person will identify documents for the purpose of production using unique Document Identifiers (Document ID). A Document ID will be in the following format:
  - (a) PPP.BBBB.FFFF.NNNN\_XXXX where:
    - (1) PPP is a three letter party code that identifies a person's documents. A person producing documents should contact the Royal Commission prior to production to confirm the party codes available for use.

| Party Code | Party  |
|------------|--|
| EFS        | Example Financial Services Pty Ltd (Party A) |
| ABC        | AB Corporation Pty Ltd (Party B)             |
| XYH        | XY Holdings Pty Ltd (Party C)                |

- (2) BBBB is a 4-digit 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 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 pages. It is only required where additional pages or page numbers need to be inserted into a document, or where Document IDs need to be otherwise adjusted to ensure consistent numbering. The suffix will be preceded by an underscore, padded with zeros to consistently result in a 4-digit structure.

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

**XYZ.0001.0001.0001**

Where:

|             |   |
|-------------|---|
| <b>XYZ</b>  | Party code                                  |
| <b>0001</b> | Unique box number allocated by person       |
| <b>0001</b> | Unique container number allocated by person |
| <b>0001</b> | Sequential page number                      |

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

- 2.3 It is understood and accepted that Document IDs may not be consecutive as a result of the removal of irrelevant documents during review. A person will however identify host and attachment documents with consecutive Document IDs.
- 2.4 A document filename is to be named according to its corresponding Document ID upon electronic production.

**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 A person will 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;
- (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; and
- (c) 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. Expert reports, statements and submissions**

4.1 Unless otherwise agreed with the Royal Commission, each expert report, statement and submission should be provided in accordance with the timetable requested by the Royal Commission:

- (a) as Native Electronic Documents (for example, in Microsoft Word format); and
- (b) as Searchable Images retaining any court/commission applied markings such as signatures, stamps, and annotations.

4.2 A document referred to within an expert report, statement or submission will be referenced by use of the Document ID wherever possible.

4.3 Where possible all documents referenced in an expert report, statement or submission should be hyperlinked to the Protocol-compliant version of the document.

#### **Use of Technology to Manage Documents**

##### **5. Document metadata**

5.1 Wherever possible, a person 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 person 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).

5.4 The Royal Commission accepts that complete document metadata may not be available for all electronic documents. A person should attempt to provide complete metadata where practicable.

5.5 A person will provide information regarding the software and procedure used to automatically identify the metadata of their electronic documents if requested by the Royal Commission.

## **6. De-duplication of documents**

6.1 A person will 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 evidential purposes.

6.3 Duplication will 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 will 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 person will apply electronic deduplication using an MD5 algorithm.

6.5 A person 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 person'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 Subject to any redactions that may be required, where an email is identified as relevant and it forms part of an email chain, the person will disclose the entire email chain.

## **Document Production**

### **9. Production of documents to the Royal Commission**

9.1 All Documents to be produced to the Royal Commission will be:

- (a) included in an electronic Index of documents, to be provided with the documents; and
- (b) provided in electronic format in accordance with the Production Specification at Schedule 1A or 1B (as applicable).

## **10. Format of the electronic index of documents**

10.1 All Documents to be produced will be itemised in an excel Index containing 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) Notice to Produce or Summons No.
- (i) Notice to Produce Category
- (j) Privilege LPP
- (k) Basis for LPP Claim
- (l) Privilege PII
- (m) Privilege Parliamentary
- (n) Confidential

## **11. Redacting legal professional privilege claims**

11.1 Parties seeking to claim legal professional privilege over a document should refer to ss 6AA and 6AB of the *Royal Commissions Act 1902* (Cth) and any relevant Practice Guidelines published by the Royal Commission (accessible on its website).

11.2 Where, in accordance with the procedures in the Act and any relevant Practice Guidelines, a party is not required to produce a document that is subject to a claim of legal professional privilege, the party must still ensure that the document is described in the list of documents in accordance with section 10 above, including the basis for the claim.

11.3 Where, in accordance with the procedures in the Act and any relevant Practice Guidelines, a party is permitted to redact that part of a document that is subject to a claim of legal professional privilege, the party must ensure that the document is described in the list of documents in accordance with section 10 above, including the basis for the claim.

## 12. Highlighting other privilege or confidential claims

- 12.1 This section does not apply to claims of legal professional privilege.
- 12.2 If part of a document is subject to a claim of parliamentary privilege, public interest immunity or confidentiality, the parts of the document that are subject to the claim should be identified or, if appropriate, highlighted pending determination of the claim.
- 12.3 If a claim for parliamentary privilege, public interest immunity or confidentiality is made over the whole document, the person producing the document should not apply highlighting to that document. A claim over the whole document will be made by selecting the “Yes” value in respect of the relevant claim as described in Schedules 1A and 1B.
- 12.4 If part of the document is highlighted, the person producing the document must retain a non-highlighted version of the document which must be produced to the Royal Commission on request. The relevant highlight colours to be applied are set out below:

| Colour     | Claim                   |
|------------|-------------------------|
| Orange     | Privilege PII           |
| Pink       | Privilege Parliamentary |
| Light Blue | Confidential            |

## 13. Data security

- 13.1 A person producing data will take reasonable steps to ensure that the data is useable and is not infected by malicious software.

## 14. Errors in exchanged documents

- 14.1 If errors are found in any produced documents, the person producing must provide a corrected version of the document to the Royal Commission.
- 14.2 If errors are found in more than 25% of the produced documents in any one tranche, the person producing must, if requested by the Royal Commission, provide a correct version of all documents within the tranche.
- 14.3 A written explanation setting out the reasons for the errors in the documents and describing the data affected will be provided by the person producing if errors are found in any produced documents.

## 15. Electronic exchange media

- 15.1 Unless otherwise agreed or ordered by the Royal Commission, the information produced and delivered to the Royal Commission will be contained on agreed electronic media, being either:
- (a) hard drive or USB; or
  - (b) optical media (CD or DVD).

**Schedule 1A – Production Specification for .DAT/.OPT Load File  
(Concordance/Relativity Compliant)**

**1. Production format**

- 1.1. Documents will be exchanged electronically, using a .DAT/.OPT data file format & 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 delimiters:
  - (c) Pilcrow ¶ ASCII character
  - (d) Quote ¢ ASCII character
    - Date fields should be provided in the format: DD-MMM-YYYY.
    - 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.
    - Productions must include an extracted text file for each document. An OCRPATH 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.
    - 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 person will avoid converting native electronic documents to paper for production to the Royal Commission and will 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 will 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 will be PPP.BBBB.FFFF.NNNN.
- 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 redaction 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 spreadsheets, databases, etc.) will 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 will 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. A person may apply Document IDs to the following paper documents where they contain relevant content:
  - (a) folder covers, spines, separator sheets and dividers;
  - (b) hanging file labels; and
  - (c) the reverse pages of any Document.

### 3. Document folder structure

- 3.1. Each document will be named 'DocumentID.xxx(x)' where 'xxx(x)' is the file extension.
- 3.2. The top level folder containing every document will be named '\Documents\'.
- 3.3. The documents folder will be structured in accordance with the Document ID hierarchy, ie "Documents\PPP\BBBB\FFFF".

### 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  |  |
|-----------------------|---|--|
| <b>Document_ID</b>    | Document ID   |  |
| <b>Host_Reference</b> | If the document is an attachment, this field contains the Document ID of its host document.<br>If a document does not have a host, this field is to be left blank\NULL. |  |
| <b>Document_Type</b>  | 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. |
| <b>Document_Date</b>  | DD-MMM-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<br>(Year Only)  | For example,<br>01-JAN-YYYY  |
|                       | Incomplete Date<br>(Month and Year Only, or<br>Day and Month Only)  | For example,<br>01-MMM-YYYY,<br>DD-MMM-1900  |
|                       | Emails  | Email Sent Date  |

| Field                           |   | Explanation – Document Types and Coding Method and possible values  |
|---------------------------------|---|---|
|                                 | Unsent Emails   | Last Modified Date  |
|                                 | Other Electronic Documents  | Last Modified Date; or<br>Date appearing on the face of the document.   |
| <b>Document Date and Time</b>   | 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<br>(Year Only)  | For example,<br>01-JAN-YYYY 00:00:00  |
|                                 | Incomplete Date<br>(Month and Year Only, or<br>Day and Month Only)                                  | For example,<br>01-MMM-YYYY 00:00:00,<br>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<br>Date and time appearing on the face of the document.   |
| <b>Time</b>                     | HH:MM:SS (where HH is a 24 hour format)   | Document 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 00:00:00 OR NULL. |
| <b>Estimated</b>                | Yes OR No OR NULL   |   |
|                                 | Default   | No OR NULL  |
|                                 | Undated Documents   | No OR NULL  |
|                                 | Incomplete Date   | Yes   |
| <b>Title</b>                    | 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.   |
| <b>People and Organisations</b> | Format 1: Person [Organisation]<br>Format 2: Organisation<br>Format 3: Person name or email address |   |
|                                 | Paper Documents   | Name of person to be determined on the basis of the face of the document<br>[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.  |
|                                 |   |   |
| <b>Organisations</b>            | 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  |

| Field                                   | Explanation – Document Types and Coding Method and possible values |  |
|---|--|--|
|   |  | metadata.  |
| <b>Persons</b>                          | 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>Confidential</b>                     | Yes<br>No<br>Part  | Identifies whether confidentiality is claimed over all or part of a document.  |
| <b>Privilege PII</b>                    | Yes<br>No<br>Part  | This field identifies whether a claim of public interest immunity is made over the document.   |
| <b>Privilege Parliamentary</b>          | Yes<br>No<br>Part  | Where applicable, this field identifies whether a claim of parliamentary privilege is made over the document.  |
| <b>Highlighted</b>                      | Yes<br>NULL  | This field identifies whether the document has been highlighted to identify a 'Part' Confidential claim, 'Part' Privilege PII or 'Part' Privilege Parliamentary claim.<br><br>This material must not be redacted.                                  |
| <b>Privileged LPP</b>                   | Yes<br>No<br>Part  | Identifies whether legal professional privilege is claimed over all or part of a Document.<br><br>This field is only required where legal professional privilege is claimed over all or part of the document.                                      |
| <b>Privilege LPP Basis</b>              | Legal Advice<br>Litigation<br>Commission Determined                | Identifies the basis for a claim of legal professional privilege over all or part of a document.<br><br>This field is only required where legal professional privilege is claimed over all or part of the document.                                |
| <b>Redacted</b>                         | Yes<br>NULL  | Identifies whether a document is produced in redacted form to identify a Part claim of legal professional privilege.<br><br>This field is only required where a document is produced in redacted form and must only be applied to Part LPP claims. |
| <b>Notice to Produce or Summons No.</b> | Eg:<br>NP-001  | Royal Commission request number as identified on the Notice or Summons.  |
| <b>Notice to Produce Category</b>       | Eg:<br>NP-001 (a)  | Specify the particular document category within the Notice to Produce Notice that the document relates to. Where more than one category, specify multiple. Always prefix the category with the Notice/Summons request number.                      |
| <b>Security Classification</b>          | Eg:<br>DLM: Sensitive  | Where applicable, the security classification of the document.   |
| <b>File Path</b>                        |  | Source path of the original file, if available.  |
| <b>File Name</b>                        |  | Source name of the original file, if available.  |
| <b>Date Created</b>                     | DD-MMM-YYYY HH:MM:SS   | Electronic metadata – created date, if available.  |
| <b>Date Last Modified</b>               | DD-MMM-YYYY HH:MM:SS   | Electronic metadata – last modified date, if available.  |

| Field                 | Explanation – Document Types and Coding Method and possible values |  |
|-----------------------|--|--|
| <b>MD5 Hash Value</b> |  | MD5 hash value used for deduplication, if available.                                 |
| <b>File Extension</b> | Eg:<br>XLSX<br>PDF   | The file extension or original native file type is to be provided for all documents. |
| <b>OCRTEXT</b>        | Documents\Document_ID.TXT  | Extracted text path.   |
| <b>Native Path</b>    | Documents\Document_ID.EXT  | Native path for documents produced in native format.                                 |
| <b>PDF Path</b>       | Documents\Document_ID.PDF  | PDF path for documents produced in Stamped PDF format.                               |

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

(a) These fields hold the names of people 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] Initial (for example, Citizen J) where email addresses are not available; or
- C. by reference to a position (for example, Marketing Manager) where email addresses and surname, initial is not available; or
- D. by reference to an organisation associated with the person where email address, surname, initial and position are not available.

(2) Multiple recipients will be separated by a semicolon

(3) Organisations will be placed into square brackets

An example of the technical requirements for the parties information can be seen below:

| From   | To   | CC  | BCC   |
|--|--|---|---|
| Surname F [Organisation]                                 | Surname F [Organisation]                                 | Surname F [Organisation]  | Surname F [Organisation]  |
| <a href="mailto:email@address.com">email@address.com</a> | <a href="mailto:email@address.com">email@address.com</a> | <a href="mailto:email@address.com">email@address.com</a> ; <a href="mailto:email2@address.com">email2@address.com</a> | <a href="mailto:email@address.com">email@address.com</a> ; <a href="mailto:email2@address.com">email2@address.com</a> |
|  |  |   |   |

*Note: Not all required fields are included in this sample. Example only.*

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

### **1. Production format**

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

### **2. Preparation of documents**

- 2.1. A person will avoid converting native electronic documents to paper for production to the Royal Commission and will 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 will 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 will be PPP.BBBB.FFFF.NNNN.
- 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 redaction 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 spreadsheets, databases, etc.) will 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 will 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. A person may apply Document IDs to the following paper documents where they contain relevant content:
  - (a) folder covers, spines, separator sheets and dividers
  - (b) hanging file labels
  - (c) the reverse pages of any Document.

### **3. Document folder structure**

- 3.1. Each document will be named 'DocumentID.xxx(x)' where 'xxx(x)' is the file extension.

- 3.2. The top level folder containing every document will be named ‘\Documents\’
- 3.3. The documents folder will be structured in accordance with the Document ID hierarchy, ie  
“Documents\PPP\BBBB\FFFF\”

#### 4. Overview of structure of four-table 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 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.   |

#### 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.<br><br>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   |  |
|                |           | 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,<br>01-JAN-YYYY  |
|                |           | Incomplete Date (Month and Year Only; or Day and Month Only)  | For example,<br>01-MMM-YYYY,<br>DD-MMM-1900  |
|                |           | Emails  | Email Sent Date  |
|                |           | Unsent Emails   | Last Modified Date   |
|                |           | Other Electronic Documents  | Last Modified Date; or<br><br>Date appearing on the face of the document.                                      |

| Field            | Data Type | Explanation – Document Types and Coding Method and possible values |   |
|------------------|-----------|--|---|
| <b>Estimated</b> | Text, 3   | Yes OR No OR NULL  |   |
|                  |           | Default  | No OR NULL  |
|                  |           | Undated Documents  | No OR NULL  |
|                  |           | Incomplete Date  | Yes   |
| <b>Title</b>     | 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. |
| <b>Level_1</b>   |           | The Party level of the Document ID.                                |   |
| <b>Level_2</b>   |           | The second level of the Document ID.                               |   |
| <b>Level_3</b>   |           | The third level of the Document ID.                                |   |

#### 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                |   |
|----------------------------|-----------|----------------------------|---|
| <b>Document_ID</b>         | Text, 255 | Document ID                |   |
| <b>Correspondence_Type</b> | Text, 100 | Paper Documents            | AUTHOR, RECIPIENT BETWEEN, ATTENDEES, CC<br>To be determined on the basis of the face of the document.  |
|                            |           | Emails                     | FROM, TO, CC, BCC   |
|                            |           | Other Electronic Documents | AUTHOR, RECIPIENT, CC<br>To be determined from the automatically identified metadata.                   |
| <b>Organisations</b>       | 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.  |
| <b>Persons</b>             | 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.   |

| Field | Data Type | Explanation                |   |
|-------|-----------|----------------------------|---|
|       |           | 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:

- (i) email addresses (for example, [ycitizen@xyz.com.au](mailto:ycitizen@xyz.com.au)); or
- (ii) Surname [space] Initial (for example, Citizen J) where email addresses are not available; or
- (iii) by reference to a position (for example, Marketing Manager) where email addresses and surname, initial is not available; or
- (iv) by reference to an organisation associated with the person where email address, surname, initial and position are not available.

(2) Multiple recipients will be entered as separate rows in the Parties Table.

#### 4.4. Pages Table

(a) 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.<br>"Native" for documents produced as native electronic files.   |
| Page_Num    | Number,<br>Double | "1" for files produced as searchable multipage PDF documents.<br>"2" for documents produced as native electronic files.  |
| Num_Pages   | Number,<br>Double | A number that represents the total number of pages of the document for files produced as searchable multipage PDF documents.<br>"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 exchange that is not held in the other three Tables mentioned above. In addition to automatically identified document metadata, the Export Extras Table will 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 |



| Field            | Data Type | Explanation  |
|------------------|-----------|--|
| <b>theLabel</b>  | Text, 255 | Custom Field Name, from the List of Extras Fields below  |
| <b>theValue</b>  | Text, 255 | Custom Field Contents from the List of Extras Fields below                                     |
| <b>MemoValue</b> | MEMO      | Custom Field Contents from the List of Extras Fields below for values more than 255 characters |

(b) Required Extras Fields

| theLabel                       | Field Type (theCategory) | Acceptable Values                                   | Explanation  |
|--------------------------------|--------------------------|---|--|
| <b>Document Date and Time</b>  | 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        |
| <b>Time</b>                    | TEXT                     | HH:MM:SS (where HH is a 24 hour format)             | Document 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 00:00:00 OR NULL.                    |
| <b>Confidential</b>            | PICK                     | Yes<br>No<br>Part                                   | Identifies whether confidentiality is claimed over all or part of a document.  |
| <b>Privilege PII</b>           | PICK                     | Yes<br>No<br>Part                                   | This field identifies whether a claim of public interest immunity is made over the document.   |
| <b>Privilege Parliamentary</b> | PICK                     | Yes<br>No<br>Part                                   | Where applicable, this field identifies whether a claim of parliamentary privilege is made over the document.  |
| <b>Highlighted</b>             | PICK                     | Yes<br>NULL   | This field identifies whether the document has been highlighted to identify a 'Part' Confidential claim, 'Part' Privilege PII or 'Part' Privilege Parliamentary claim.<br><br>This material must not be redacted.                                  |
| <b>Privileged LPP</b>          | PICK                     | Yes<br>No<br>Part                                   | Identifies whether legal professional privilege is claimed over all or part of a document.<br><br>This field is only required where legal professional privilege is claimed over all or part of the document.                                      |
| <b>Privilege LPP Basis</b>     | PICK                     | Legal Advice<br>Litigation<br>Commission Determined | Identifies the basis for a claim of legal professional privilege over all or part of a document.<br><br>This field is only required where legal professional privilege is claimed over all or part of the document.                                |
| <b>Redacted</b>                | PICK                     | Yes<br>NULL   | Identifies whether a document is produced in redacted form to identify a Part claim of legal professional privilege.<br><br>This field is only required where a document is produced in redacted form and must only be applied to Part LPP claims. |

|   |      |                       |   |
|---|------|-----------------------|---|
| <b>Notice to Produce or Summons No.</b> | PICK | Eg:<br>NP-001         | Royal Commission request number as identified on the Notice or Summons.   |
| <b>Notice to Produce Category</b>       | PICK | Eg:<br>NP-001 (a)     | Specify the particular document category within the Notice to Produce Notice that the document relates to. Where more than one category, specify multiple. Always prefix the category with the Notice/Summons request number. |
| <b>Security Classification</b>          | PICK | Eg:<br>DLM: Sensitive | Where applicable, the security classification of the document.  |
| <b>File Path</b>                        | MEMO |                       | Source path of the original file, if available.   |
| <b>File Name</b>                        | TEXT |                       | Source name of the original file, if available.   |
| <b>Date Created</b>                     | TEXT | DD-MMM-YYYY HH:MM:SS  | Electronic metadata – created date, if available.   |
| <b>Date Last Modified</b>               | TEXT | DD-MMM-YYYY HH:MM:SS  | Electronic metadata – last modified date, if available.   |
| <b>MD5 Hash Value</b>                   | TEXT |                       | MD5 hash value used for deduplication, if available.  |
| <b>File Extension</b>                   | TEXT | Eg:<br>XLSX<br>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              |            |