



PRACTICE DIRECTION NO. 3 – PRODUCTION AND EXCHANGE OF MATERIAL BY PERSONS GRANTED LEAVE TO APPEAR¹

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INTRODUCTION

1. This Practice Direction deals with the production and exchange of materials by those granted leave to appear at the public hearings to be conducted by the Royal Commission into Family Violence (**Royal Commission**).
2. This Practice Direction is issued under, and should be read in conjunction with, the *Inquiries Act 2014* (Vic) (**Act**).
3. This Practice Direction may be varied from time to time.
4. The Royal Commission may, at any time, depart from this Practice Direction if it considers it appropriate to do so.

CONTEXT

5. Practice Direction No. 2 – Electronic Production of Material deals with general protocols for producing material to the Royal Commission.
6. This Practice Direction sets out the specific requirements that apply to those persons granted leave to appear at the public hearings (**relevant persons**).
7. Both Practice Direction No. 2 and this Practice Direction must be read together. To the extent of any inconsistency between the requirements of Practice Direction No. 2 and this Practice Direction, the latter prevails.

SPECIFIC REQUIREMENTS

8. Relevant persons must comply with the attached Protocol for the exchange of material.

¹ Issued under section 16(1) of the *Inquiries Act 2014* (Vic).

9. In addition to the mandatory information detailed in Federal Court of Australia Practice Note CM 6, the Royal Commission requires the fields of information, and an entry in the export_extras table for those fields, for each document which contains such data as set out in the attached Protocol.
10. Metadata produced to the Royal Commission must not contain any 'null' values in the Document Date or Document Title fields.

CONTACT

11. Any person wishing to contact the Royal Commission about the interpretation of this Practice Direction should contact Jared Heath, Principal Legal Adviser, at Jared.Heath@rcfv.com.au.
12. Any person who has a technical question about exchanging material with the Royal Commission should contact Rebecca Grant, at Rebecca.Grant@rcfv.com.au.

Protocol for the exchange of documents and data

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1 Introduction and purpose

- 1.1 This Protocol outlines the requirements for the electronic exchange of material between the Royal Commission and those persons who have been granted leave to appear (**relevant persons**).
- 1.2 The purpose of the Protocol is to ensure that each relevant person can use its own software to view its own documents and other relevant persons' documents. All relevant persons are responsible for providing their own systems for viewing the database and images.
- 1.3 Relevant persons must comply with [Practice Note CM 6](#) issued by the Federal Court of Australia on 1 August 2011, as applicable, when preparing documents for exchange. This Protocol is intended to provide further detail and clarification and should be read in conjunction with Practice Note CM 6.
- 1.4 This Protocol may be amended by the Royal Commission from time to time.
- 1.5 Unless stated otherwise, the meaning of the words represented in bold have the same meaning as given to those words in the Schedule 13.

2 List of Documents and Document Descriptions

- 2.1 All Documents to be exchanged between the Royal Commission and relevant persons will be described in a List of Documents containing the following information for each Document:
 - (a) Document ID (refer Schedule 1 for details);
 - (b) Document Title;
 - (c) Document Type (refer Schedule 7 for details);
 - (d) Document Date (refer Schedule 6 for details);
 - (e) Estimated Date; (“yes” if date is estimated, otherwise “no”)
 - (f) Author (refer Schedules 2 and 6 for details);
 - (g) Recipient (refer Schedule 2 and 6 for details);
 - (h) Host Document ID (refer Schedule 3 for details);
 - (i) Notice paragraph (refer to Schedule 6 for details, export extras table)
- 2.2 The Document ID Codes used within the Document ID will be determined in accordance with Schedule 1.3. Additional Document ID Codes must be agreed with the Royal Commission prior to use.
- 2.3 The List of Documents to be exchanged between the relevant persons will be in accordance with the format and structure described in Schedule 7.

3 Electronic exchange of Documents

- 3.1 The Documents will be exchanged in accordance with this section.

- 3.2 Relevant persons will avoid printing Native Electronic Documents for exchange purposes and will instead exchange them as Searchable Images or, as an alternative and where agreed, as Native Electronic Documents.
- 3.3 Native Electronic Documents should be rendered directly to PDF to create Searchable Images. They should not be printed to paper and scanned or printed to TIFF format and then converted to PDF. Rendering Native Electronic Documents directly to PDF will minimise the costs and avoid inaccuracies associated with the Optical Character Recognition process.
- 3.4 In addition to the provision of Documents as Searchable Images documents will be exchanged as:
- (a) Single Page TIFF Images; and/or
 - (b) Native Electronic Documents.
- 3.5 Native Electronic Documents that do not lend themselves to conversion to PDF format (for example, complex spreadsheets, databases, etc.) may be exchanged as Native Electronic Documents or in any more useful format agreed by the relevant persons and the Royal Commission.
- 3.6 Native Electronic Documents that are imaged files in their original form may be rendered with OCR to improve their searchability where this is technically possible and the relevant persons agree that it is necessary
- 3.7 Paper Documents will be exchanged as Searchable Images wherever practicable.² Where it is agreed that OCR is unnecessary, Paper Documents may be exchanged as Unsearchable Images.
- 3.8 Colour versions of Documents will only be created if it will be of evidential significance to see the colour in a Document.
- 3.9 Blank, irrelevant pages will be removed where practicable, and will not be allocated Page Number Labels.
- 3.10 Relevant persons should make contact with the Royal Commission's Evidence Management team at Rebecca.Grant@rcfv.com.au as early as possible to discuss any aspect of electronic exchange of material.

4 Page Numbers

- 4.1 Subject to this section, a unique Page Number Label in the format described in Schedule 1 will be placed on each page of every Document.
- 4.2 The Page Number assigned to the first page of such Documents will also be assigned as the Document ID for that Document.
- 4.3 Native Electronic Documents will be assigned a single Document ID and individual Page Number Labels are not required.

² The Royal Commission has a strong preference for Searchable Images. This is because of the increased functionality available with Electronic Images as compared with Paper Documents and due to the relative high costs associated with photocopying documents multiple times when compared with the cost of converting them to an Electronic Image once.

- 4.4 Where a Document is not converted to a Searchable Image or an Unsearchable Image (e.g. for paper Documents in A2 size or larger) a Placeholder Page will be created and assigned the Document ID that would ordinarily have been assigned to the first page of the Document.
- 4.5 Page labelling is described in Schedule 5.

5 Provision of data

- 5.1 Each relevant person will exchange data and images of their discovered documents in the export format enumerated in Practice Note CM 6 issued by the Federal Court of Australia.
- 5.2 The data will be exchanged in a Microsoft Access database named export.mdb that contains the tables as described in Schedule 6.

6 Electronic exchange media

- 6.1 Unless otherwise agreed or requested by the Royal Commission, the information to be exchanged will be contained on read only optical media (eg. CD-ROM, ISO 9660 format or DVD) or portable hard drive.
- 6.2 The “media” label should state the name of proceedings, disc number, date, and description of data.
- 6.3 Where portable hard drives are used, they will be returned to the supplying relevant person as soon as the data has been copied by the recipient relevant person.

7 Data security

- 7.1 The producing relevant person must take reasonable steps to ensure that data is useable and is not infected by Malicious Software.
- 7.2 Notwithstanding, the onus is on the receiving relevant person to test the contents of any exchange media prior to use to ensure that it does not contain Malicious Software.
- 7.3 If data is found to be corrupted, infected by Malicious Software or is otherwise unusable, the producing relevant person must provide a sound copy of the data within two (2) working days of receipt of a written request from a receiving relevant person; or such timeframe as is reasonable given the quantum of data and after consultation with the Royal Commission.

8 Errors and updates to the electronic exchange

- 8.1 If errors are found in the exchanged Documents, the producing relevant person will re-issue the erroneous Documents.
- 8.2 However, if errors are found in more than 25% of the exchanged Documents, the producing relevant person may request that all Documents are re-issued.

- 8.3 A written explanation will also be sent to all receiving relevant persons with the re-issued data as to why the Documents have been re-issued and describing the data affected.

9 De-Duplication of Documents

- 9.1 Where appropriate, each relevant person will take reasonable steps to ensure that duplicated Documents are removed from the exchanged material (**De-Duplication**).
- 9.2 However, the Royal Commission acknowledges that there may be circumstances where Duplicates need to be identified and retained for evidential purposes.³
- 9.3 Duplication will be considered at a Document Group level. That is, all the Documents within a Document Group (that is, a Host Document and Attached Documents) will be treated as Duplicates if the entire Document Group is duplicated elsewhere within the collection. An Attached Document in a Document Group will not be treated as a duplicate if it is merely duplicated elsewhere as an individual, stand alone Document that is not associated with another Document Group.
- 9.4 The method of de-duplication is described in Schedule 8.

³ For example, it may be relevant to retain multiple copies of an email in sender and recipient email boxes due to the fact that it will be of evidential relevance to know who actually received the email after it was sent.

10 Schedules

Schedule 1 – Document IDs and Page Numbers

- 1.1 **Page Numbers** and **Document IDs** will be unique because they are the sole means by which **Documents** and pages will be referenced.
- 1.2 **Page Numbers** and **Document IDs** will contain 3 levels and then the pages. For instance: SSS.BBBB.FFFF.NNNN_NN, where SSS is level 1, BBBB is level 2 and FFFF is level 3. Levels 1 and 2 can be 3 or 4 characters, as below. Level 3 will always be 3 characters, and level 4 (the pages level) will always be 4 characters.
- 1.3 **Document ID Codes for the Document ID**

For the purposes of the **Document ID**, the following **Document ID Codes** are available. In addition, the relevant person Source codes described in Schedule 10 should be used.

Document ID Code	Range	Legal representative assigned to	Description
CORR		Reserved for the Royal Commission	Not applicable
DOC		Reserved for the Royal Commission	Not applicable
DIR		Reserved for the Royal Commission	Not applicable
COMM		Reserved for the Royal Commission	Not applicable
EXH		Reserved for the Royal Commission	Not applicable
EXP NB see important Note on how levels used ⁴	EXP.001.FFF.PPPP EXP.2999.FFF.PPPP	Reserved for the Royal Commission	For material from experts

⁴ Expert statements level 2 – All expert statements received from a particular expert will receive the same level 2 value. Expert statements level 3 – Each expert statement from a particular expert shall receive a new level 3 value.

Document ID Code	Range	Legal representative assigned to	Description
	EXP.3000.FFF.PPPP to EXP.3999.FFF.PPPP	Victorian Government Solicitors	
	EXP.6000.FFF.PPPP to EXP.6499.FFF.PPPP	AGS	
	EXP.7500.FFF.PPPP to EXP.9999.FFF.PPPP	Reserved for other relevant persons and to be allocated by the Royal Commission	
FVRC		Reserved for the Royal Commission	Not applicable
INF		Reserved for the Royal Commission	Not applicable
MED		Reserved for the Royal Commission	Not applicable
NOT		Reserved for the Royal Commission	Not applicable
ORD		Reserved for the Royal Commission	Not applicable
RCFV		Reserved for the Royal Commission	Not applicable
REP		Reserved for the Royal Commission	Not applicable
TRAN		Reserved for the Royal Commission	Not applicable
SUBM		Reserved for the Royal Commission	Not applicable

Document ID Code	Range	Legal representative assigned to	Description
SUMM NB see important Note on how Document IDs allocated ⁵		Reserved for the Royal Commission and allocated to relevant persons as a Notice is issued	Material produced in answer to a Notice
TEND		Reserved for the Royal Commission	Not applicable
WEB		Reserved for the Royal Commission	Not applicable
WIT NB see important Note on how levels used ⁶	WIT.001.FFF.PPPP WIT.2999.FFF.PPPP	Royal Commission	For witness statements
	WIT.3000.FFF.PPPP to WIT.3999.FFF.PPPP	Victorian Government Solicitors	
	WIT.6000.FFF.PPPP to WIT.6499.FFF.PPPP	AGS	
	WIT.7500.FFF.PPPP to WIT.9999.FFF.PPPP	Reserved for other relevant persons and to be allocated by the Royal Commission	

For material which relevant persons are producing to the Royal Commission electronically, the relevant person specific Source Codes described in Schedule 10 should be used.

⁵ At the time of issuing the Notice, the Royal Commission will notify the relevant person the SUMM Document ID to be used for material produced electronically. If material to be produced has previously been processed, then the relevant person needs to supply details to the Royal Commission at the time of production.

⁶ Witness statements Level 2 – All witness statements received from a particular witness will receive the same level 2 value. Witness statements Level 3 – Each witness statement from a particular witness shall receive a new level 3 value.

Schedule 2 – Describing People & Organisations

- 2.1 Where documents are objectively coded, people's names will be referenced using:
- (a) Surname Initial (e.g. Citizen J) where clearly indicated; or
 - (b) E-mail addresses (e.g. jcitizen@abc.com.au); or
 - (c) by reference to a position (e.g. Marketing Manager) where email addresses or Surname Initial are not available.
- 2.2 Where documents are objectively coded, organisation names will be included where available.
- 2.3 Paragraph 1 and 2 above do not apply where **Metadata** extraction has been used in accordance with the Relevant persons Table in Schedule 6.
- 2.4 Multiple recipients will be entered as separate rows in the Relevant persons Table.
- 2.5 **Documents** that have not actually been sent from an author to one or more recipients and have rather been distributed or tabled at a meeting will have the meeting attendees recorded as "Attendees" for the **Document**. The author field for such **Documents** may remain blank.
- 2.6 **Documents** that represent agreements or contracts between multiple relevant persons will have the relevant persons to the agreement or contract recorded as "Between" for the **Document**. The author field for such **Documents** may remain blank.

Schedule 3 - Document Hosts and Attachments⁷

- 3.1 Every **Document** that is attached to or embedded within another **Document** will be called an **Attached Document**.
- 3.2 A Container is not a Host Document for the purposes of this Protocol.⁸
- 3.3 Attached Documents will have the Document ID of their Host Document in the descriptive field called 'Host Document ID'.
- 3.4 Host Documents and Attached Documents are jointly referred to as a 'Document Group'.
- 3.5 Subject to paragraphs 3.6 and 3.7 below, in a Document Group the Host Document will be immediately followed by each Attached Document in the order in which the Attached Documents are numbered in their Document ID.
- 3.6 If a Document is contained within a Container (for example, a single ZIP file) that is attached to an email then the email should be treated as the Host Document and the Document in the Container should be treated as an Attached Document to that Host Document (that is, the Host Document will be the email and not the Container within which the Document is contained).
- 3.7 If the Document Group consists of a number of Paper Documents fastened together, the first Document will be treated as the Host Document and the remaining Documents will be treated as the Attached Documents within the Document Group unless those Documents are not related, in which case each Document will be treated as a separate Document without a Host Document.
- 3.8 Annexures, Attachments and Schedules that are attached to an Agreement, Report, Legal Document or Minutes of a Meeting may be described as separate Attached Documents associated with the relevant Host Document.

⁷ May be referred to as Document Delimiting.

⁸ See the Glossary for further information on Host Documents and Containers.

Schedule 4 – Electronic Folders and Filenames

- 4.1 This schedule specifies how **Electronic Images** are to be located and named for the purposes of **Document** exchange. It does not relate to the capture and exchange of the original source location of an **Electronic Document**.
- 4.2 The Folder containing all **Documents** will be named either '\Documents\' or '\Images\'⁹
- 4.3 **Documents** produced as **Searchable Images** will be named 'DocumentID.pdf'
- 4.4 Documents produced as multiple Single Page TIFF Images will have each TIFF image file named 'PageID.TIFF'.
- 4.5 **Documents** produced as **Native Electronic Documents** will be named 'DocumentID.xxx(x)' where 'xxx(x)' is the original default file extension typically assigned to source Native Electronic Files of that type.¹⁰
- 4.6 The **Documents** folder will be structured in accordance with the Document ID hierarchy, for example:
- The **Document** produced as a **Searchable Image** called 'ABC.001.0004.0392.pdf' would be located in the folder called '*Documents\ABC\001\0004*'. So, it will appear in the directory listing as '*Documents\ABC\001\0004\ABC.001.0004.0392.pdf*'.
 - Where this same **Document** has also been produced as many Single Page TIFF Images, the second page will be called 'ABC.001.0004.00393.TIFF' and will be located in the folder called '*Documents\ABC\001\0004*'. So, it will appear in the directory listing as '*Documents\ABC\001\0004\0393.TIFF*'
 - Where this same **Document** has been produced as a **Native Electronic Document**, and, assuming it is a Microsoft Excel spreadsheet file, for example, it would be called 'ABC.001.0004.0392.xls' and will be located in the folder called '*Documents\ABC\001\0004*'. So it will appear in the directory listing as '*Documents\ABC\001\0004\ABC.001.0004.0392.xls*'

⁹ The term 'Images' is becoming increasingly obsolete in light of the increasing trend for Documents to be exchanged as Native Electronic Documents rather than as Images. This directory name also reflects the requirements of a proprietary commercial application so it may be desirable to replace it with the more neutral and contemporary term '\Documents'.

¹⁰ For example, Microsoft Word documents will have a '.doc' extension, Microsoft Excel spreadsheets will have a '.xls' extension, so Native Electronic Documents will be named along the following lines *ABC.001.003.0456.xls (Excel Spreadsheet)*, *XYZ.099.456.0093.doc (Word Document)* A four character extension may be required for particular file types.

Schedule 5 – Page number labels

- 5.1 Wherever possible, **Page Number Labels** will be placed on the top right corner¹¹ at least 3 millimetres from both edges of the page.
- 5.2 If there is insufficient space for a **Page Number Label** on a **Searchable Image** or an **Unsearchable Image**, the electronic image of the page will, if possible, be reduced in size to make room for the **Page Number Label**.
- 5.3 **Page Number Labels** may also include machine readable barcodes.
- 5.4 Where feasible, landscape pages of **Searchable Images**, **Unsearchable Images** and **Paper Documents** should be positioned so that the title is on the left side of the page¹² and the **Label** is oriented to the text, preferably at the bottom right corner of the original page so it appears down the top right side edge of the rotated page. .
- 5.5 The relevant persons may apply **Page Number Labels** 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
- 5.6 Adhesive notes should not normally be labelled but should be scanned in place on the page to which they were attached. If this cannot be done without obscuring text, the adhesive note should be numbered as the page after the page to which it was attached and the page should be scanned twice – first with and then without the adhesive note.

¹¹ This ensures that upon electronic retrieval, images will not need to be scrolled down manually on the screen in order to view the Page Number Label.

¹² This generally involves a 90 degree anti-clockwise rotation.

Schedule 6 – Document Descriptions

Document Descriptions will be structured in the following tables in Microsoft Access Database format.

Table Name	Table Description
Export	Main Document information
Relevant persons	People and organisation information for each Document
Pages	Listing of electronic image filenames for each Document
Export_Extras	Additional data fields for each Document

Export Table

Field	Data Type	Details
Document_ID	Text, 255	Document ID (refer Schedule 1)
Document_Type	Text, 255	Document Type (refer Schedule 2) Hard copy: objectively captured. Native Emails: "Email". Other electronic documents (not native emails): objectively captured or "eFile".
Document_Date	Date, 11	Format: DD-MMM-YYYY (e.g. 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.

Field	Data Type	Details
Host_Reference	Text, 255	Attachments: the Document ID of its Host Document. Host: NULL Unattached: NULL (refer Schedule 3).
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		Relevant person level of the Document ID (refer Schedule 1).
Level_2		Box level of the Document ID (refer Schedule 1).
Level_3		Folder level of the Document ID (refer Schedule 1).

Relevant persons Table

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 Relevant persons table because multiple people could be associated with a single **Document**.

Field	Data Type	Details
Document_ID	Text, 255	Document ID (refer Schedule 1).
Correspondence_Type	Text, 100	"From" or "To" or "CC" or "Between" or "Attendees" or "BCC".
Persons	Text, 255	Person (refer Schedule 5).
Organisations	Text, 255	Organisation (refer Schedule 5).

Pages Table

There will be an entry in the Pages table for every TIFF page or PDF document that relates to a single Document in the Export table. i.e. There is a one to many relationship between the Export table and the Relevant persons table. Where Native Electronic Documents only are exchanged

(no TIFF, PDF files or placeholder pages), there will only be one entry in the pages table corresponding to each Native Electronic Document.

Field	Data Type	Details
Document_ID	Text, 255	Document ID (refer Schedule 1).
Image_File_Name	Text, 128	Filename including the file extension (e.g ABC.1005.0082.0346.PDF) of the image file.
page_label	Text, 32	The file extension (e.g. PDF, XLS)
page_num	Number, Double	An integer indicating the order in which the files related to the document should be sequenced.
num_pages	Number, Long Integer	Multipage PDFs: the number of pages in the multipage PDF. Otherwise: 1

Export_Extras Table

This table holds any additional metadata the relevant persons wish to exchange that is not held in the other three tables mentioned above.

Field	Data Type	Details
Document_ID	Text, 255	Document ID (refer Schedule 1).
theCategory	Text, 50	“PICK” OR “TEXT” OR “DATE” OR “NUMB” OR “BOOL” or “MEMO” (refer Schedule 4)
theLabel	Text, 255	Field Name (refer Schedule 4)
theValue	Text, 255	Field Value (only where theCategory NOT EQUAL “MEMO”, otherwise NULL) (refer Schedule 4)
memoValue	Memo	Field Value (only where theCategory = “MEMO”, otherwise NULL) (refer Schedule 4)

Relevant persons should include in the Export_Extras table such of the following custom fields as are applicable. Relevant persons should also include the fields as enumerated in Practice Note CM 6 issued by the Federal Court.

Field	Data Type	Explanation
LPP	Legal Professional Privilege : The permissible entries in this field are "Yes", "No" or "Part" (for partly privileged documents).	PICK
WPP	Without Prejudice Privilege : The permissible entries in this field are "Yes", "No" or "Part" (for partly privileged documents).	PICK
PII	Public Interest Immunity : The permissible entries in this field are "Yes", "No" or "Part" (for partly privileged documents).	PICK
Electronic	Permissible entries in this field 'Yes' or 'No'. All efiles will be coded as 'Yes'. All hard copy documents will be populated with 'No'.	PICK
Original_Source_Location	Provides the complete network file path for where the electronic file was sourced from	TEXT
Custodian	Provides information about the parent 'source' location for an efile or email; or the person custodian for hardcopy documents. That is, it states where each document was stored when it was captured.	TEXT
Confidential	This field identifies whether PICK a claim of confidentiality is made over the document. The permissible entries in this field are "Yes", "No" or "Part" (for claims for part of a document).	PICK
Relevant person_Prod	This field identifies, by reference to a defined list of Acronyms, the Relevant person Producing the material. The permissible entries in this field are set out in Schedule "X".	PICK
Legal_Rep	This field identifies the Legal Representative for the Relevant person	PICK
MD5#		TEXT
A Notice_No	This field narrates the unique A Notice Number, as advised by the Royal Commission	TEXT
A Notice_Date	This fields narrates the date of the A Notice, as taken from the face of the A Notice	DATE
A Notice_Para	This field records the paragraph number of the A Notice in response to which the document is produced. If the document is produced in response to more than one paragraph of the A Notice, all paragraph numbers must be recorded, each in a separate record in the export_extras table.	TEXT
Sec_Class	This fields records the relevant Security Classification of a record. The permissible entries in this field are "Unclassified", In-	PICK

Field	Data Type	Explanation
	Confidence", "Protected" or "Highly Protected". The default value is "Unclassified".	

Schedule 7 - Document Type List

The following list of **Document Types** is not exhaustive and where necessary additional **Document Types** may be used.

Document Type	includes
Advice	Counsel's Opinion, Memorandum of Advice
Agenda	
Agreement	Contracts, debentures
Annexure/Appendix	
Article	Journal article, internet article
Board Papers	
Brief	
Brochure	Booklets, pamphlets, leaflets
Case	Cases, judgments
Certificate	
Royal Commission Document	Statements of claim, a Noticees, affidavits, pleadings, requests for particulars
Royal Commission	
Cover Page	
Curriculum vitae	Handwritten diagram, graphs, charts
Diagram	Handwritten diagram, graphs, charts
Diary	Diary extracts, appointment books
Digital document	CDs, DVDs, video, audio, film
Divider	
Document	For documents that don't fall under any other document type. If a particular document type is continually referred to it should be added as a separate document type but this is to be determined by the Supervisor
Drawing	Plans, architectural drawings, professionally prepared drawings
Email	
Extract	
Facsimile	
Facsimile Transmission Report	
File note	
Financial document	Cheques, bank statements, profit & loss accounts, budget, spreadsheets
Flowchart	Charts, organisation charts
Form	Department generated document that requires details to be completed
Graph	
Handwritten note	
Invoice	

Document Type	includes
Legislation	Legislation, including statutes, regulations, by-laws and ordinances. Reading speeches
Letter	
List	Indexes
Manual	Booklets that contain instructions, codes of conduct, handbooks, policy protocols, other protocols
Map	
Media Release	
Memorandum	Internal memoranda
Ministerial Documents	
Minutes of Meeting	
Notice	
Photograph	
Policy	
Post It Note	
Presentation	Powerpoint presentations, powerpoint slides, transparencies
Presentation	
Press Clipping	Newspaper article, newspaper clipping
Press Release	
Report	Annual reports, expert reports. (Reports will vary in content, however in most instances they will be the outcome of an investigation or a summary/consolidation of data).
Schedule	Tables, computer printouts
Search	ASIC searches, internet searches
Spreadsheet	
Statement	Statutory declarations, Witness Statements (from prior proceedings and for the purposes of discovery)
Table	
With compliments slip	

Schedule 8 – De-duplication Methodology

- 8.1 The relevant persons will use MD5 hash values to identify and, where appropriate, remove Duplicates from their exchanged Document collections based on the approach agreed during the Pre-Discovery Conference.
- 8.2 The Metadata fields to be used to generate the MD5 hash value for emails are 'Sender', 'To' and 'Date Sent', 'Body' and 'Number of Attachments' (or MD5 hash values of Attachments).¹³
- 8.3 MD5 hash values will be stored in the export extras table.

¹³ There is a general trend to simply use the fields 'Sender', 'To' and 'Date Sent' for de-duplication however, the additional field 'Number of Attachments' is recommended to address the potential problem associated with 'Sent' times being rounded to minutes rather than seconds by some e-mail servers. On such servers it would be possible for the same author to send two entirely different emails to the same recipients at what appears to be the same time.

Schedule 9 – Document Containers, Categories and File Types

Container Type	Container Description
Directory	An electronic folder or directory on a computer file system that contains electronic files. This includes folders or directories inside an email store.
Compressed File	An Electronic Document that contains one or more compressed Electronic Documents that are considered 'Documents' in their own right and may be extracted to their original size.
Email Store	A single file (or 'email box') containing multiple emails, email attachments and other items such as diary appointments and tasks. The most common email store file types are PST and NSF files.
Diary	A paper based personal calendar containing multiple appointments over a period of time.
Folder	A Physical, Hard Copy Binder containing multiple Paper Documents.
Database	An electronic file that contains data that may be considered to be multiple Documents.

Document Category	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.
Loose 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.
Paper	A Document that is in paper format in its original state (where the electronic version of the Document is not available).
Diary	A single entry in a Diary or Calendar. For example, Appointment, Meeting etc.
Task	A single task on an electronic To-Do list – usually contained in an email box.

Schedule 11 - Relevant person Source Codes for Departmental Divisions within the Commonwealth Government of Australia

Commonwealth of Australia Entity	Source Code
Attorney General's Department	AGD
Prime Minister and Cabinet	PMC

Schedule 12 - Relevant person Source Codes for Departmental Divisions within the State Government of Victoria

State Government Victoria Entity	Division	Source Code
Department of Education and Training		DET
Department of Health and Human Services		DHHS
Department of Justice		DOJ
Department of Premier and Cabinet		DPC

Schedule 13 - Glossary

Attached Document means a **Document** attached to, or embedded in, a **Host Document**. See also **Embedded Document**.

CD-ROM means 'Compact Disc – Read Only Memory', a medium for the storage and exchange of **Electronic Documents** and **Electronic Images**.

Container means a store which contains **Documents** or other Containers. A **Container** may be:

- (a) an electronic file or directory.
- (b) an email box (or email store), such as a PST and NSF file, which contain emails, email attachments, tasks, notes and diary or calendar entries.
- (c) a compressed file, such as a ZIP file containing other files that may be extracted.
- (d) a hard copy folder or box.

A **Container** is not a **Document** and cannot be a **Host Document**.

Royal Commission Book means an indexed collection of Documents to be relied upon at the hearing of a matter and will, unless the Royal Commission or a Judge otherwise orders, include:

- (a) the originating process;
- (b) all pleadings;
- (c) any affidavit or witness statement to be relied on at the trial (not those for any interlocutory purposes);
- (d) all particulars which have been furnished, whether in the form of a Royal Commission document or a letter, and of the requests for those particulars; and
- (e) all documents that are to be tendered in evidence (arranged in chronological order).

De-Duplication means the process of identifying and removing duplicate **Documents** from a collection of **Documents** so that only 1 unique copy of each document remains. A cryptographic hash function such as the Message Digest algorithm 5 ('**MD5 Hash**') may be used to generate a *digital fingerprint* for an **Electronic Document**. The *digital fingerprint* of a **Document** can then be electronically compared against the *digital fingerprint* of any other **Document** to determine whether the **Documents** are exact duplicates. **De-duplication** may also be implemented by using a cryptographic hash function and referring to the **Document Groups** or context of the **Documents** being examined.

Discoverable Document means a **Document** that may have to be discovered pursuant to Order 15 of the Federal Royal Commission Rules or any orders of the Royal Commission.

Document means a document as defined in Order 1 rule 4 of the Federal Royal Commission Rules.

Document Description means the set of data fields used to describe a **Document** pursuant to a **Document Management Protocol**.

Document Group means a **Host Document** and the **Attached Documents** associated with it. For example, an email and any **Documents** attached to it constitute a **Document Group**, as does an **Electronic Document** and any **Documents** embedded within it. However, a **Container** (such as a ZIP file) and the **Documents** contained in it do not constitute a **Document Group**.

Document ID (or **Document Identifier** or **Document Number**) means an alphanumeric sequence which uniquely identifies a **Document** within a collection of **Documents**.

Document ID Code means a sequence of alphanumeric characters in a **Document ID** that uniquely identify a relevant person to the proceedings.

Document Management means the manual and automated processes for the management of **Documents** during the course of a proceeding, including the identification, preservation, collection, processing, analysis, review, production and exchange of **Documents**.

Document Type means the **Document Description** data field containing the category or classification of a **Document** (e.g. Letter, Facsimile, Report, E-mail).

DVD-ROM means 'Digital Versatile Disc – Read Only Memory', a medium for the storage and exchange of **Electronic Documents** and **Electronic Images**.

Electronic Royal Commission Book means a **Royal Commission Book** in which the **Documents** are stored and managed electronically and displayed through computer equipment using specific software that facilitates the indexing, searching, filtering, referencing, display and management of the documents in the **Royal Commission Book** throughout the hearing.

Electronic Document means a **Document** or component of information that was originally created using a computer system, software application or database. This is often referred to as **Electronically Stored Information ('ESI')**. The **Metadata** embedded within an **Electronic Document** is considered part of that **Document**. The definition of **Electronic Document** includes an email, email attachment or a **Loose File**. A **Container** is not an **Electronic Document** for the purposes of Practice Note No CM 6 and the Related Materials.

Electronic Image means an electronic representation of a **Paper Document** or **Electronic Document**. An **Electronic Image** may be a **Searchable Image** or an **Unsearchable Image**.

Electronically Stored Information ('ESI') – see **Electronic Document**.

Embedded Document means a **Document** that is embedded within an **Electronic Document**. An **Embedded Document** is to be treated as an **Attached Document**, with the **Document** within which it is embedded being its **Host Document**. A **Document** attached to an email is not an **Embedded Document**.

Host Document means a **Document** with one or more **Attached Documents**. For example, an email is a **Host Document** and any **Documents** attached to the email (including any **Documents** stored in a **Container** that is attached to the email) are its **Attached Documents**. A **Container** is not a **Host Document**.

List of Documents means the list of documents mentioned in Order 15 rule 6 of the Federal Royal Commission Rules.

Loose Document means an **Electronic Document** that is stored in its Native Form in a **Container** that is a file system or directory system but not an email box. An email or **Document** attached to an email, even if extracted from the email box in which it was originally stored, is not a **Loose File**.

Malicious Software means computer code designed to cause damage, destruction or impairment to computer equipment, or the data stored on a computer, in part or in whole.

Metadata is described as 'data about data'. In the case of an **Electronic Document**, metadata is typically embedded information about the **Document** which is not readily accessible once the

Native Electronic Document has been converted into an **Electronic Image** or **Paper Document**. Metadata may be created automatically by a computer system ('System Metadata') or may be created manually by a user ('Application Metadata'). Depending on the circumstances of the case, Metadata may be discoverable.

Native Electronic Document (or **Native Form**) means an **Electronic Document**, stored in the original form in which it was created by a computer software program.

Objective Coding means the manual or automated review and classification of a **Document**, based on the objective elements of the **Document**.

Optical Character Recognition ('OCR') means the computer-facilitated recognition of printed or written text characters in an **Unsearchable Image**.

Page Number Label means a label containing a unique **Page Number** that is placed on each page of a **Document**. The **Page Number Label** may also include a machine readable barcode version of the **Page Number**.

Page Number means a sequence of alphanumeric digits determined in accordance with a **Document Management Protocol** to enable each page of each **Document** to be uniquely referenced.

Paper Document means a **Document** stored in paper form. This does not include a printed version of an **Electronic Document**.

Portable Document Format ('PDF') is an **Electronic Image** format.

Placeholder Page means a page that is inserted into a collection of **Documents** to represent a **Document** that, for whatever reason, has not been included in the collection of **Documents**.

Redaction means the process of rendering part of a **Document** unreadable. It is sometimes referred to as 'Masking'. Redaction is typically used to render confidential or privileged portions of an otherwise **Discoverable Document** unreadable.

Relevant person means a person granted to leave to appear at the public hearings.

Searchable Image means an **Electronic Image** in which the text-based contents can be searched electronically.

Subjective Coding means the review and classification of a **Document**, based on the subjective elements related to the **Document** and the proceeding. This activity is usually performed manually by reviewers with legal training.

Tagged Image File Format ('TIFF') is an **Electronic Image** format.

Unattached Document means an **Attached Document** without a **Host Document**.

Unsearchable Image means an **Electronic Image** in which the text-based contents cannot be searched electronically.