

Document Management Protocol for the Royal Commission into Aged Care Quality and Safety

January 2019

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 Aged Care Quality and Safety (**Royal Commission**).
- 1.2 This Protocol should be read in conjunction with Practice Guideline 1, which will be made available on the Royal Commission's website at: <https://agedcare.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. Unless otherwise agreed with 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/.csv) 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
EAC	Example Aged Care 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 (arbitrary or otherwise), 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:

XYZ	Party code
0001	Unique box number allocated by person
0001	Unique container number allocated by person
0001	Sequential page or document 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, witness statements and post-hearing submissions

- 4.1 Refer to Practice Guideline 5, which will be made available on the Royal Commission's website, about the preparation of expert reports, witness statements and post-hearing submissions.

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.

Document Production

8. Production of documents to the Royal Commission

- 8.1 All Documents to be produced to the Royal Commission will:
- (a) be provided with an accompanying 'Production Tracker Form' as detailed in Schedule 3;
 - (b) include an electronic Index of documents;
 - (c) be provided in electronic format in accordance with the Production Specification at Schedule 1A or 1B (as applicable); and
 - (d) include all requested metadata and files responsive to the production or tranche in their entirety (ie entities will not withhold responsive documents or electronic files from a tranche on the basis they have been previously provided to an earlier Notice).

9. Format of the electronic index of documents

- 9.1 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 Reference
 - (c) Document Type
 - (d) Document Date
 - (e) Document Title
 - (f) From

- (g) To
- (h) Notice to Produce or Summons No.
- (i) Notice to Produce Category
- (j) Privilege LPP
- (k) Privilege LPP Basis
- (l) Privilege PII
- (m) Privilege Parliamentary
- (n) Confidential

10. Redacting legal professional privilege claims

- 10.1 Parties seeking to claim legal professional privilege over a document should refer to ss 6AA and 6AB of the *Royal Commissions Act 1902* (Cth) (**Act**) and any relevant Practice Guidelines which may be published by the Royal Commission on its website.
- 10.2 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 9 above, including the basis for the claim.
- 10.3 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 9 above, including the basis for the claim.
- 10.4 For the avoidance of doubt, only documents over which legal professional privilege is claimed may be redacted. Parties seeking to claim confidentiality, parliamentary privilege or public interest immunity must not redact or highlight documents on this basis, but should indicate these claims using the appropriate fields as identified in Schedules 1A and 1B below.

11. Data security

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

12. Amendments to exchanged documents

- 12.1 If errors are found in any produced documents, the person producing must provide a corrected version of the document to the Royal Commission.
- 12.2 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.

- 12.3 Where documents previously produced to the Royal Commission are re-provided with the intention to replace any content or rectify errors (ie images or LPP redactions or errors in metadata), they must be produced as a separate production accompanied with the following:
- (a) a clear written explanation identifying it as a replacement production;
 - (b) a completed Production Tracker Form in which the “Y” option is checked against the question “Are these replacement files to previously provided documents?” and details of the content to be replaced (e.g. PDF only, all metadata, or only certain fields) outlined in the “Description/Comments” section of the form.
- 12.4 It is the producing party’s responsibility to ensure a replacement production is clearly identified as outlined above. If the Royal Commission is unable to clearly ascertain that a production contains replacement documents, there is a risk that the documents may not be replaced accordingly.

13. Electronic exchange media

- 13.1 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).
- 13.2 Where, for security reasons, media is encrypted entities will endeavour to consistently use the same password or encryption code for all protected media or container files.

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

1. Production format

- 1.1. Documents will be exchanged electronically, using a .DAT or .CSV (Unicode ie UTF-8) data file format.
 - (a) The first line of the .DAT/CSV file must be a header row identifying the field names.
 - (b) The .DAT file must use the following Concordance® default delimiters:
 - i. Pilcrow ¶ character
 - ii. Quote ¨ character
 - (c) Date fields should be provided in the format: DD/MM/YYYY HH:MM.
 - (d) 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.
 - (e) Productions must include an extracted text file for each document. A TEXTPATH 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 content in the .DAT/CSV file.
 - (f) Productions must include a “Native Path” field with the file path and name of the native/PDF file on the produced storage media. The native/PDF file must be named after the Document ID.
- 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 produced to the Royal Commission as native electronic documents or in another format agreed with the Royal Commission.
- 2.6. Placeholder PDFs will not be produced for non-standard electronic documents (or otherwise).

- 2.7. 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.
- 2.8. 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.
- 2.9. 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:
 - (a) the Document ID hierarchy, ie "Documents\PPP\BBBB\FFFF"; or
 - (b) a standard Relativity export format:
 - i.* Documents\VOLXXX\NATIVE XXX\DocID.EXT;
 - ii.* Documents\VOLXXX\TEXTXXX\DocID.TXT.

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

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

Field	Explanation – Document Types and Coding Method and possible values	
Document_ID	Document ID	
Host_Reference	If the document is an attachment, this field contains the Document ID of its host document. If a document does not have a host, this field is to be left blanknull.	
Document_Type	Paper Documents	Refer Document Types in Schedule 2.
	Electronic Documents (including email, email attachments, loose files etc)	Either native file type or Document Type in Schedule 2 as determined on the basis of the face of the document.
Document_Date	DD/MM/YYYY HH:MM	
	Paper Documents	Determined on the basis of the date appearing on the face of the document.
	Undated Documents	Leave field blanknull.
	Incomplete Date (Year Only)	For example, 01/01/YYYY 00:00

Field	Explanation – Document Types and Coding Method and possible values	
	Incomplete Date (Month and Year Only, or Day and Month Only)	For example, 01/MM/YYYY 00:00 DD/MM/1900 00:00
	Emails	Email Sent Date & Time
	Unsent Emails	Last Modified Date & Time
	Other Electronic Documents	Last Modified Date & Time; or Date appearing on the face of the document.
Estimated	Yes OR No OR blank	
	Default	No OR blank
	Undated Documents	No OR blank
	Incomplete Date	Yes
Title	Paper Documents	Determined on the basis of the title appearing on the face of the document.
	Email	Subject field from email metadata.
	Other Electronic Documents	Metadata file name or determined on the basis of the title appearing on the face of the document.
From	Format: Person[Organisation];	Paper Documents: Name of person to be determined on the basis of the face of the document [Name of organisation that produced the document as determined on the basis of the face of the document]
To		Emails: Electronic metadata – email addresses or email alias names.
CC		
BCC		
Between		
Attendees		Other Electronic Documents: Where practicable, to be determined from the automatically identified metadata.
Confidential	Yes No Part	Identifies whether confidentiality is claimed over all or part of a document.
Privilege PII	Yes No Part	This field identifies whether a claim of public interest immunity is made over the document.
Privilege Parliamentary	Yes No Part	Where applicable, this field identifies whether a claim of parliamentary privilege is made over the document.
Privilege LPP	Yes No Part	Identifies whether legal professional privilege is claimed over all or part of a Document. This field is only required where legal professional privilege is claimed over all or part of the document.
Privilege LPP Basis	Legal Advice Litigation Commission Determined	Identifies the basis for a claim of legal professional privilege over all or part of a document. This field is only required where legal professional

Field	Explanation – Document Types and Coding Method and possible values	
		privilege is claimed over all or part of the document.
Redacted	Yes	Identifies whether a document is produced in redacted form to identify a Part claim of legal professional privilege. This field is only required where a document is produced in redacted form and must only be applied to Part LPP claims.
Notice or Summons No.	Eg: NTP-0001 NTG-0001	Royal Commission request number as identified on the Notice or Summons, padded to 4 numbers (the last 4 numbers on the notice or summons).
Notice to Produce Category	Eg: NTP-0001(a); NTP-0001(b)	Specify the category within the Notice to Produce that the document relates to. Must take the format of the full Notice to Produce number followed by the category letter in parentheses (with no space in between). Where more than one category applies to a document, each category must follow the above format and be separated by semicolons (see example).
Security Classification	Eg: DLM: Sensitive	Where applicable, the security classification of the document.
File Path		Source path of the original file, if available.
File Name		Source name of the original file, if available.
Date Created	DD/MM/YYYY HH:MM	Electronic metadata – created date, if available.
Date Last Modified	DD/MM/YYYY HH:MM	Electronic metadata – last modified date, if available.
MD5 Hash Value		MD5 hash value used for deduplication, if available.
File Extension	Eg: XLSX PDF	Where available the original file extension is to be provided for electronic files (with the exception of container files such as ZIP or PST).
TEXTPATH	FolderPath\Document_ID.TXT	Extracted text path.
Native Path	FolderPath\Document_ID.EXT	Native path for documents produced in native/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]
email@address.com	email@address.com	email@address.com ; email2@address.com	email@address.com ; email2@address.com

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. Placeholder PDFs will not be produced for non-standard electronic documents (or otherwise).
- 2.7. 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.
- 2.8. 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.
- 2.9. 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. 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, 01-JAN-YYYY
		Incomplete Date (Month and Year Only; or Day and Month Only)	For example, 01-MMM-YYYY, DD-MMM-1900
		Emails	Email Sent Date
Unsent Emails	Last Modified Date		

Field	Data Type	Explanation – Document Types and Coding Method and possible values	
		Other Electronic Documents	Last Modified Date; or Date appearing on the face of the document.
Estimated	Text, 3	Yes OR No OR blank	
		Default	No OR blank
		Undated Documents	No OR blank
		Incomplete Date	Yes
Title	Text, 255	Paper Documents	Determined on the basis of the title appearing on the face of the document.
		Email	Subject field from email metadata.
		Other Electronic Documents	Metadata file name or determined on the basis of the title appearing on the face of the document.
Level_1		The Party level of the Document ID.	
Level_2		The second level of the Document ID.	
Level_3		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	
Document_ID	Text, 255	Document ID	
Correspondence_Type	Text, 100	Paper Documents	FROM, TO, BETWEEN, ATTENDEES, CC, BCC To be determined on the basis of the face of the document.
		Emails	FROM, TO, CC, BCC
		Other Electronic Documents	FROM, TO, CC Where practicable, to be determined from the automatically identified metadata.
Organisations	Text, 255	Paper Documents	Name of organisation that produced the document as determined on the basis of the face of the document.
		Emails	Blank/null
		Other Electronic Documents	Where practicable, to be determined from the automatically identified

Field	Data Type	Explanation	
Persons	Text, 255	Paper Documents	To be determined on the basis of the face of the document.
		Emails	Electronic metadata – email addresses or email alias names.
		Other Electronic Documents	Where practicable, 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, icitizen@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
Image_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 non-native extracted text files.
Page_Num	Number, Double	"1" for files produced as searchable multipage PDF documents. "2" for documents produced as native electronic files. "3" for non-native extracted text files.
Num_Pages	Number, Double	A number that represents the total number of pages of the document for files produced as searchable multipage PDF documents. Otherwise "1" for documents produced as extracted text or 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 Pck OR Memo
theLabel	Text, 255	Custom Field Name, from the List of Extras Fields below
theValue	Text, 255	Custom Field Contents from the List of Extras Fields below
MemoValue	MEMO	Custom Field Contents from the List of Extras Fields below for values more than 255 characters

(b) Required Extras Fields

theLabel	Field Type (theCategory)	Acceptable Values	Explanation
Document Date and Time	TEXT	DD/MM/YYYY HH:MM (w here 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/MM/YYYY 00:00
Confidential	PICK	Yes No Part	Identifies w hether confidentiality is claimed over all or part of a document.
Privilege PII	PICK	Yes No Part	This field identifies w hether a claim of public interest immunity is made over the document.
Privilege Parliamentary	PICK	Yes No Part	Where applicable, this field identifies w hether a claim of parliamentary privilege is made over the document.
Privilege LPP	PICK	Yes No Part	Identifies w hether legal professional privilege is claimed over all or part of a document. This field is only required w here legal professional privilege is claimed over all or part of the document.
Privilege LPP Basis	PICK	Legal Advice Litigation Commission Determined	Identifies the basis for a claim of legal professional privilege over all or part of a document. This field is only required w here legal professional privilege is claimed over all or part of the document.
Redacted	PICK	Yes	Identifies w hether a document is produced in redacted form to identify a Part claim of legal professional privilege. This field is only required w here a document is produced in redacted form and must only be applied to Part LPP claims.
Notice or Summons No.	PICK	Eg: NTP-0001 NTG-0001	Royal Commission request number as identified on the Notice or Summons, padded to 4 numbers (the last 4 numbers on the notice or summons).

Notice to Produce Category	PICK	Eg: NTP-0001(a); NTP-0001(b)	Specify the category within the Notice to Produce that the document relates to. Must take the format of the full Notice to Produce number, followed by the category letter in parentheses (with no space in between). Where more than one category applies to a document, each category must follow the above format and be separated by semicolons (see example).
Security Classification	PICK	Eg: DLM: Sensitive	Where applicable, the security classification of the document.
File Path	MEMO		Source path of the original file, if available.
File Name	TEXT		Source name of the original file, if available.
Date Created	TEXT	DD/MM/YYYY HH:MM	Electronic metadata – created date, if available.
Date Last Modified	TEXT	DD/MM/YYYY HH:MM	Electronic metadata – last modified date, if available.
MD5 Hash Value	TEXT		MD5 hash value used for deduplication, if available.
File Extension	TEXT	Eg: XLSX PDF	Where available the original file extension is to be provided for electronic files (with the exception of container files such as ZIP or PST).

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	

Schedule 3 – Production Tracker Form

General Information			
Producing Entity		Represented By	
Contact Name		Email	
Contact No.		Reference No.	

Production Details			
Date of Production		Are these replacement files to previously provided documents?	Y / N
Notice to Produce No.		Tranche No.	
Media Type	ie USB	If media is protected, has the password been emailed to ACRCRegistry@lawinorder.com [Note: please use this email address for passwords only. Do not produce documents to this address.]	Y / N
Description / Comments			

FOR OFFICE USE ONLY:

Royal Commission / AGS Recipient Name:			
Date		Time	
Signature			

Law In Order Recipient Name:			
LIO Registry No:			
Date		Time	
Signature			

Item Return (only applicable to physical item exchange)			
Royal Commission / AGS Recipient Name:			
Date		Time	
Signature			

