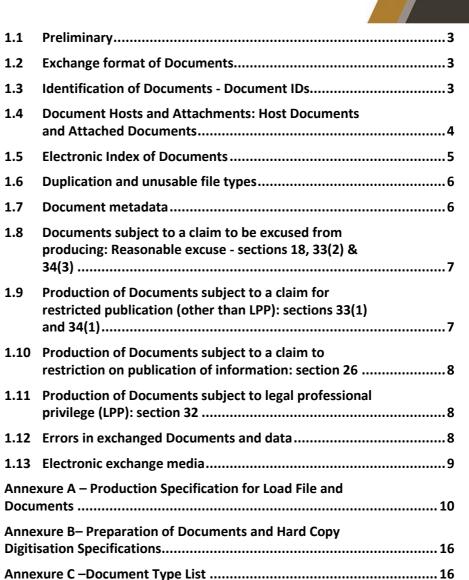
Royal Commission into the Management of Police Informants Document Management Protocol







Document Management Protocol

1.1 Preliminary

- (a) This Protocol outlines the method in which Documents are to be prepared and provided to the Royal Commission into the Management of Police Informants (Royal Commission).
- (b) All Documents to be produced to the Royal Commission will be prepared and produced in accordance with this Protocol.
- (c) This Protocol may be varied, changed or amended by the Royal Commission at any time.
- (d) The Royal Commission accepts that individuals producing Documents to the Royal Commission may not be able to comply with this Protocol and these individuals should contact the Royal Commission to discuss alternative arrangements for production c/-alexandra.tighe@holdingredlich.com.

1.2 Exchange format of Documents

- (a) The Royal Commission will accept electronic Documents in either a Concordance/Relativity (.dat/.opt) or Ringtail (.mdb) format as per Annexure A.
- (b) Electronic files will be produced in either native format or as PDFs, together with extracted text files, as per Annexure B.
- (c) The Royal Commission accepts that complete Document metadata might not be available for all electronic Documents. Persons should provide all metadata where practicable.
- (d) Hard copy Documents will be produced as PDFs, together with extracted text files, as per Annexure B where possible.
- (e) Original versions of all documents must be retained by the person producing it.

1.3 Identification of Documents - Document IDs

- (a) Each Document will be identified with a Document ID and page numbers which will be unique to each page and will be the primary means of identification of Documents.
- (b) When producing Documents, Persons will be required to identify the Document by using a unique Document ID as set out below. All Document IDs and page numbers are to be stamped in the top right hand corner of each page.
- (c) Persons producing both hard copy Documents, and electronic files rendered to PDF, must paginate each Document on the top right corner with a sequential page number in the below format.

PPP.BBBB.FFFF.DDDD_NNNN where:

(i) PPP is a three letter code to denote the Person providing the Documents. Each Person producing Documents should contact the Royal Commission c/-(alexandra.tighe@holdingredlich.com) prior to production to confirm the party code is available for use.



- (ii) BBBB is a unique four digit number, selected by the Person producing the documents, and used by the Person to sequence Document tranches. The number to be between 0001 9999.
- (iii) FFFF is an additional four digit number, selected by the Person producing the Documents, and used by the producing Person to further separate sequences of Document tranches. The number to be between 0001 9999.
- (iv) DDDD is a four digit Document level number which is used to differentiate individual Documents and/or individual pages within a Document. DDDD is to be padded with zeros to be consistently a 4 digit number.
- (v) _NNNN is an underscore followed by a four digit number to denote pages within a Document. It is only required to be used where there are additional pages to be added within a Document. If a Document is only one page, _NNNN it is not required to be used.

An example of the Document ID structure is as follows:

ABC.0001.0001.0020 0001:

ABC	Party Code
0001	Unique code to sequence Document tranches allocated by Person producing
0001	Unique code to further sequence Document tranches allocated by Person producing
0020	Sequential Document number within the Document tranches allocated by Person producing
_0001	Sequential page number within the Document number (ie page 1 of Document 20)

1.4 Document Hosts and Attachments: Host Documents and Attached Documents

- (a) For hard copy Documents, document delimiting is to be done logically. This means that physical delimiters such as staples, clips, dividers, may be used as a guide only and the start and end page of a document should be logically determined. All Documents comprising a brief, file, or similar are separate Documents.
- (b) For electronic material, each electronic file is a separate Document. All files in a container file (including e-mail mailboxes, e-mail messages with attachments, and compressed containers such as .zip and .rar files) are separate Documents. Any electronic files embedded within another electronic file are separate Documents.
- (c) Every Document that contains at least one Attached Document will be called a Host Document.
- (d) Every Document that is attached to or embedded within another Document will be treated as an Attached Document.
- (e) A Document that is not either a Host or Attached Document will be called an Unattached Document.





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- (f) Persons must identify Host and Attached Documents with consecutive Document IDs when producing Documents to the Royal Commission and ensure that Host and Attached Documents have consecutive Document IDs.
- (g) Where an email is identified as relevant and it forms part of an email chain, Person(s) will disclose the entire email chain.
- (h) Examples of Host and Attachment Documents include:
 - (i) An email (Host) and its attachments (Attached Document(s)).
 - (ii) A letter or fax (Host) referencing attached documents (Attached Document(s)).
 - (iii) A brief of evidence will be considered as a Host Document, and Document(s) referred to within that brief will be captured (and described) as Attached Documents.
 - (iv) Embedded electronic files (Attached Documents) within another electronic file (Host).
- (i) Persons will ensure that false or unnecessary relationships between Host Documents and Attached Documents are not created by:
 - (i) taking reasonable steps to ensure that email footers, logos, and other repeated content are not separated as Attached Documents;
 - (ii) 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
 - (iii) 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.

1.5 Electronic Index of Documents

- (a) All Documents produced will be:
 - included in an electronic Index of Documents, to be provided with the Documents; and
 - (ii) provided in electronic format in accordance with the Production Specification at Annexure A or B (as applicable).
- (b) The list of Documents will include the following data for each Document:
 - (i) Document ID
 - (ii) Host Document ID
 - (iii) Document Type
 - (iv) Document Date
 - (v) Document Date Estimated



(vi)



- - (vii) Person(s) From

Document Title

- (viii) Person(s) To
- (ix) Person(s) CC
- (x) Persons(s) BCC
- (xi) Withheld
- (xii) Restricted
- (xiii) LPP
- (xiv) Request Number.
- (c) For further details on the Document Details and specifications, see Annexure A.

1.6 Duplication and unusable file types

- (a) Persons will take reasonable steps to ensure that duplicated Documents are removed from the Documents produced.
- (b) The Royal Commission acknowledges there might be circumstances where duplicates need to be produced for evidentiary purposes, but this should be avoided where possible.
- (c) Duplication will be considered at a Document group level. That is, all Documents within a group comprising a Host Document and its Attachment Document(s), 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 Unattached Document that is not associated with another group of Documents.
- (d) Where possible, Persons should remove duplicated Documents by the using the MD5 Hash algorithm. Documents may also be manually de-duplicated where appropriate so long as no substantive Document details are lost when not producing a manually deduplicated Document.
- (e) Parties will take reasonable steps to remove irrelevant system files and immaterial content including Temporary internet files, 'thumbs.db' files, and cookies.
- (f) Temporary internet files and cookies are to be excluded from the production process.

1.7 Document metadata

- (a) Reasonable steps should be undertaken to ensure that all appropriate Document metadata is not modified or corrupted during collection and preparation of electronic files for provision to the Royal Commission.
- (b) Document metadata is to be extracted using the UTC +10 (Sydney, Melbourne Canberra) time zone.





(c) Upon request, a Person will disclose details of the processing software used to prepare their electronic Documents including settings, version number and the software name, if requested by the Royal Commission.

1.8 Documents subject to a claim to be excused from producing: Reasonable excuse - sections 18, 33(2) & 34(3)

- (a) Persons seeking to assert a claim that the Person has a reasonable excuse for failing to comply with a Notice to produce a Document, in whole or in part, should have regard to sections 18, 33(2) and 34(3) of the *Inquiries Act*, 2014 (Vic) (the Act), the Notes which accompany the Notice and any relevant Practice Directions issued by the Royal Commission.
- (b) Where a Person asserts a reasonable excuse exists for failing to produce the **whole** of a Document, the Person must still ensure that the Document is described in the List of Documents in the Annexure A table, and the basis for the claim, pending determination of the claim. Examples include, but are not limited to: self-incrimination, (s 33(2)); statutory secrecy (s 34(3)); public interest immunity; or other (s 18)).
- (c) Where a Person asserts a reasonable excuse for failing to produce **part** of a Document, the Person must still ensure that the Document is described in the List of Documents in the Annexure A table and should redact the part(s) of a Document that is asserted to be subject to the reasonable excuse, must still ensure that the Document is described in the list of Documents in the Annexure A table, and the basis for the claim, pending determination of the claim. Examples include, but are not limited to; self-incrimination, (section 33(2)); statutory secrecy (34(3)); public interest immunity; or other (s 18).

1.9 Production of Documents subject to a claim for restricted publication (other than LPP): sections 33(1) and 34(1)

- (a) Persons seeking to assert a claim to privilege against self-incrimination, statutory secrecy or statutory confidentiality in respect of a Document, in whole or in part, should have regard to sections 33 and 34 of the Act, the Notes which accompany the Notice and any relevant Practice Directions by the Royal Commission.
- (b) Unless the provisions of 33(2) and 34(3) of the Act apply (see paragraph 1.8 above), it is not a reasonable excuse for a Person to refuse to provide a Document on the basis that it is subject to privilege against self-incrimination (33)(1)) or statutory secrecy and confidentiality (34(1)).
- (c) Where a Person does not have a reasonable excuse for failing to comply with a Notice for production of a Document and asserts a claim to privilege against self-incrimination, statutory secrecy or statutory confidentiality in respect of a **whole** Document, the Person should produce the Document, highlight the whole of the text subject of the claim in the colour as set out in paragraph (e) below, select the 'Yes' value in the Annexure A table, and the basis for the claim, pending determination of the claim.
- (d) Where a Person does not have a reasonable excuse for failing to comply with a Notice for production of a Document and asserts a claim to privilege against self-incrimination, statutory secrecy or statutory confidentiality in respect of a **part** of a Document, the Person should produce the Document, highlight the part(s) of the text subject of the



claim in the colour as set out in paragraph (e) below, select the 'Part' value in the Annexure A table, and the basis for the claim, pending determination of the claim.

(e) The highlight colours to be applied are set out below:

Colour	Claim
Green	Self-incrimination
Light Blue	Statutory Secrecy or Statutory Duty of Confidentiality

1.10 Production of Documents subject to a claim to restriction on publication of information: section 26

- (a) Persons making a claim to the Royal Commission for it to make an order pursuant to section 26(2) of the Act should have regard to that section of the Act, the Notes which accompany the Notice to Produce and any relevant Practice Directions issued by the Royal Commission.
- (b) Pending determination of any claim for an order to be made pursuant to section 26(2), the Person should produce the Document, highlight the part(s) of the text subject of the claim in Pink, select 'Yes' or 'Part' value in the Annexure A table, and the basis for the claim, pending determination of the claim.

1.11 Production of Documents subject to legal professional privilege (LPP): section 32

- (a) Persons seeking to assert a claim for legal professional privilege (LPP) in respect of a Document to be produced, in whole or in part, should have regard to section 32 of the Act, the Notes which accompany the Notice and any relevant Practice Directions by the Royal Commission.
- (b) It is not a reasonable excuse for a Person to refuse to provide a Document on the basis that it is subject to LPP in accordance with the Act.
- (c) Where a Person asserts LPP over a **whole** Document, the Person should produce the Document, highlight the whole of the text of the Document in Yellow, and select the 'Yes' value in the Annexure A table.
- (d) Where a Person asserts LPP over **part** of a Document, the Person should produce the Document, highlight the part(s) of the Document that are subject to the claim in Yellow, and select the 'Part' value in the Annexure A table.

1.12 Errors in exchanged Documents and data

(a) If errors are identified in any Documents produced, the producing Person must provide a corrected version of the Document to the Royal Commission or to the parties as directed by the Royal Commission.



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- (b) If errors are identified in more than 25% of Documents produced in any one tranche, the producing Person must, if requested by the Royal Commission, provide a correct version of all Documents within the tranche.
- (c) If requested, the Person producing Documents must provide a written explanation setting out the reasons for the errors in the Documents and describing the method of remediating the Documents.

1.13 Electronic exchange media

- (a) Unless otherwise agreed or ordered by the Royal Commission, Persons should produce data on encrypted hard disk drives or USB drives.
- (b) Passwords should be provided separately to the Royal Commission and not accompany the drives.
- (c) Persons will take reasonable steps to ensure that data and drives are useable and clear of viruses or malicious software. In the event a virus is detected, parties should be notified as soon as possible and the providing party must resupply a corrected drive to the Royal Commission.





Annexure A – Production Specification for Load File and Documents

- 1. The production will consist of three parts:
 - (a) Load file in either a Concordance .DAT file format or a Ringtail export.MDB format.
 - (b) Documents either provided as stamped, text searchable PDF files, or Native files
 - (c) Extracted text of the Document content provided as a .TXT file.

2. Field Values and Formats

Fields	Details	
Document ID	Unique Identifier for each Document	
Document Parent ID	The Document ID of the Host Document. Populated for attachments only.	
Document Group ID	The Document ID of the first Document in a family. Populated with the same value for all Documents in the same family.	
Document Type	Hard copy: objectively captured (refer Annexure C). Native Emails: "Email". Other electronic Documents (not native emails): objectively captured, electronic file type, or electronic file kind.	
Document Date	Format: DD-MMM-YYYY HH:MM where HH is a 24 hour format (e.g. 01-Mar-2010 14:22) 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 No time: 00:00	
Document Date Estimated	Yes or No only (no NULL values). Partial date: Yes. Date ranges: Yes. Undated Documents: No. Default: No.	
Document Title	Hard copy: objectively captured Emails: subject field Other electronic Documents (non-emails): objectively captured, filename, or extracted from metadata. Untitled Documents: NULL	
Parties From	Hard copy: objectively captured in the format: {Surname} {First	
Parties To	Name Initial { [Organisation] } e.g. Smith J [ABC Company]. Electronic emails: email addresses or email alias name or	
Parties CC	_ objectively captured	
Parties BCC	Other electronic Documents (non-emails): objectively captured, extracted from metadata, or NULL.	
	Multiple entries will be delimited using a semicolon. Attendees to a meeting or parties to a contract will be captured as Parties From.	



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Fields	Details	
Withheld	Yes, Part	
Withheld Reason	Privilege against self-incrimination (33(2)) Statutory Secrecy or Statutory Duty of Confidentiality (34(3)) Other (18)	
Restricted	Yes, Part	
Restricted Reason	Privilege against self-incrimination (33(1)) Statutory Secrecy/Statutory Duty of Confidentiality (34(1) Restriction on publication of information (26(2))	
LPP	Yes, Part	
File Path	The folder path and file name (relative to the data load file) used to link the record of the load file to the Document. The Document will be named to match with the Document ID.	
Extracted Text Path	The folder path and file name (relative to the data load file) used to link the record of the load file to the extracted text file of a Document. The extracted text file of a Document will be named to match with the Document ID.	
MD5	Electronic files (including emails): The MD5 Hash value of the file. Hard copy: NULL	
Request Number	Notice to Produce or Summons Number. The Royal Commission request number as identified on the Notice to Produce or Summons Number (e.g. NP-100, S-100).	

3. Concordance specification

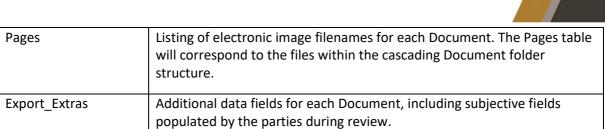
- (a) Load file data will be exported to a UTF-8 encoded text file with a .dat extension. Fields will be named as per the above. Data is delimited using following:
 - (i) Column ASCII 020
 - (ii) Quote ASCII 254
 - (iii) Newline ASCII 174
 - (iv) Multi-Value ASCII 059
 - (v) Nested Values ASCII 092

4. Ringtail specification

- (a) Overview of structure of four-table Microsoft Access database
 - (i) 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.





5. Export: This table contains a single entry for each Document produced

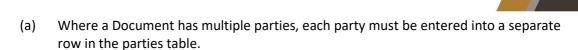
Field	Data Type	Explanation – Document Types and Coding Method and possible values	
Document_ID	Text, 255	Unique Identifier for each Document	
Host_Reference	Text, 255	The Document ID of the Host Document	
Document_Type	Text, 255	Hard copy: objectively captured (refer Annexure C). Native Emails: "Email". Other electronic Documents (not native emails): objectively captured, electronic file type, or electronic file kind.	
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.	
Title	Text, 255	Hard copy: objectively captured Emails: subject field. Other electronic Documents (non-emails): objectively captured, filename, or extracted from metadata. Untitled Documents: NULL	
Level_1 - Level_10	TEXT, 20	The corresponding level information of the Document ID and Documents	

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



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- (b) To associate a Person with an organisation (or vice versa), the Person and organisation should appear on the same row within the parties table, but with the Person information captured in the Persons field, and the organisation information captured in the organisations field.
- (c) It is not mandatory for email addresses to be split into Person and organisation, even where this information is visible from the email address. Where the email address is not split between Person and organisation, the full email address should be entered into the Persons field.
- (d) Where metadata is used, it is not mandatory to split the parties' information into Person and organisation, even where this information is visible. Where the metadata is not split between Person and organisation, the metadata should be entered into the Persons field.
- (e) It is not mandatory for every Document to have an author (i.e. "From") where this information is not visible in the Document.

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

7. Pages Table: There will be at least one entry in the Pages Table that relates to a single Document in the Export Table. Concurrently, there will be an entry in the Pages Table for every file provided in the cascading Document folder structure.

Field	Data Type	Explanation
Document_ID	Text, 255	Document ID
File_Name	Text, 128	Filename, including extension of each indexed Document.
Page_Label	Text, 32	"PDF" for files produced as searchable multipage PDF Documents. "Native" for Documents produced as native electronic files. "Text" for extracted text files





Field	Data Type	Explanation	
Page_Num	Number, Double	An integer indicating the order in which the files related to the Document should be sequenced.	
Num_Pages	Number, Double A number that represents the total number of page 200 pocument for files produced as searchable multiple 200 pocuments.		
		"1" for Documents produced as native electronic files and for extracted text files	

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

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

(a) Required Extras Fields

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



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theLabel	Field Type (theCategory)	Acceptable Values	Explanation
Restricted Reason	PICK	Privilege against self-incrimination (33(1)); or Statutory Secrecy/Statutory Duty of Confidentiality (34(1) Restriction on publication of information (26(2))	Basis on which it self- incrimination or secrecy/statutory duty of confidentiality is claimed Only required for Documents marked as Privilege or Secrecy/statutory duty of confidentiality Claimed = Yes or Part
LPP	PICK	Yes, Part	Only required were Legal Professional Privileged is claimed in full or part. Single choice only
MD5	TEXT		MD5 hash value used for deduplication, if available.
Request Number	TEXT	NP-100	Notice to Produce or Summons Number. The Royal Commission request number as identified on the Notice to Produce or Summons Number (e.g. NP- 100).
Date (time)	TEXT	DD-MMM-YYYY HH:MM (where HH is a 24 hour format)	As the Document_Date field in the Export table does not support Date/Time, this field should be added as a text field in the export_extras. Format: DD-MMM-YYYY HH:MM where HH is a 24 hour format (e.g. 01-Mar-2010 14:22) 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. No time: 00:00



Annexure B- Preparation of Documents and Hard Copy Digitisation Specifications

- 1. Preparation of Documents
 - (a) Non-Standard electronic Documents that do not lend themselves to conversion to PDF (for example, complex spreadsheets, databases, etc.) will be produced in native format, all other files will be provided as multipage text searchable paginated PDFs.
 - (b) Electronic Documents produced as searchable multi-page PDFs will be stamped with sequential page numbers in the top right hand corner of each page.
 - (c) 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.
 - (d) Colour versions of Documents will be created if the presence of colour is necessary to the understanding of the Document.
 - (e) Extracted text files will be generated directly from the native file, even if the file is being produced in PDF format. Only redacted or hard copy Documents will have their extract text generated after conversion to PDF.

Annexure C – Document Type List

(a) For electronic files this can be extracted from the native file type or kind.

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/Resume	Manual/Guidelines	Specification		
Diary Entry	Мар	Table/Spreadsheet		



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Document Type				
Divider/File Cover	Media Article/Release	Submissions		
Diagram/Plan	Memorandum	Timesheet		