



**2009 Victorian Bushfires Royal Commission**  
Letters Patent issued 16 February 2009

**Practice Note No. 2**

**Producing Material to the 2009 Victorian Bushfires Royal  
Commission under Summons or by way of a Submission**

The Hon. Bernard Teague AO  
Chairman  
2009 Victorian Bushfires Royal Commission  
2 June 2009

## **1. Purpose of this document**

- 1.1 This Practice Note is dated 2 June 2009.
- 1.2 This Practice Note nominates the way the Commission will receive electronic material produced under Summons and by way of Submission, and nominates that the Commission prefers to receive material in electronic format.
- 1.3 This Practice Note applies to Summonses issued from this date forward.
- 1.4 This Practice Note aims to ensure compliance with VERS (Victorian Electronic Records Strategy).
- 1.5 This Practice Note does not prevent material from being produced for the Commission in hard copy format or as objects.
- 1.6 This Practice Note should be read in conjunction with the attached Protocol for the exchange of documents and data.

## **2. Persons and entities to whom this document applies**

- 2.1 This Practice Note applies to all persons and entities who have been granted Leave to Appear, or Conditional Leave to Appear before the Commission and to all persons and entities who will make a Submission to the Commission.
- 2.2 The attached Protocol for the exchange of documents and data applies to parties granted Leave to Appear.

## **3. Protocols for producing electronic material to the Commission**

- 3.1 The Commission adopts [Practice Note 17](#) issued by the Federal Court of Australia dated 29 January 2009, and the Commission adopts the Protocol for the exchange of documents and data attached to this Practice Note.
- 3.2 Listed hereunder are the preferred formats for the production of electronic items. These are the long-term preservation formats set out by Public Record Office Victoria, to ensure that electronic records can be archived and managed for the long-term.
  - 3.2.1 Text for plain text records
  - 3.2.2 PDF/A or PDF for formatted document type records

3.2.3 TIFF for images such as plans

3.2.4 JPEG2000 or JPEG for photos

3.2.5 MPEG4 for video

The VERS standard, specification 4 has further detail at [http://www.prov.vic.gov.au/vers/standard/spec\\_04/](http://www.prov.vic.gov.au/vers/standard/spec_04/).

#### **4. Further Metadata Fields**

- 4.1 In addition to the mandatory information detailed in Practice Note 17, the Commission requires the following fields of information and an entry must be made in the export\_extras table for the fields for each document where they contain data as set out in the Protocol attached to this Practice Note.
- 4.2 Metadata which is produced to the Commission shall contain no “null” values in the Document Date or Document Title fields.

#### **5. Queries**

- 5.1 For any enquiries or to discuss the application of the Practice Note or Protocol please contact the Royal Commission (tel: 1800 243 650 or [enquiries@royalcommission.vic.gov.au](mailto:enquiries@royalcommission.vic.gov.au)).

# Protocol for the exchange of documents and data

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## 1 Introduction and purpose

- 1.1 This document outlines the proposed protocol for electronic exchange of material between the 2009 Victorian Bushfires Royal Commission (the Commission) and the parties who have been granted leave to appear.
- 1.2 The purpose of the protocol is to ensure that each party can use its own software to view its own documents and the other party's documents. All parties are responsible for providing its own systems for viewing the database and images.
- 1.3 This Protocol should be read in conjunction with the Commission's Practice Note No. 2.
- 1.4 Parties shall comply with [Practice Note 17](#) issued by the Federal Court on 29 January 2009, 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 17.
- 1.5 This protocol can be amended by the Commission in writing.
- 1.6 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 Commission and the parties 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) Summons 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 Commission prior to use.
- 2.3 The **List of Documents** to be exchanged between the parties 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 Parties 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 parties and the 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 parties agree that it is necessary
- 3.7 **Paper Documents** will be exchanged as **Searchable Images** wherever practicable<sup>1</sup>. 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**.

#### **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.
- 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 party will exchange data and images of their discovered documents in the export format enumerated in Practice Note 17 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.

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<sup>1</sup> The 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

## **6 Electronic exchange media**

- 6.1 Unless otherwise agreed or requested by the 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 party as soon as the data has been copied by the recipient party.

## **7 Data security**

- 7.1 The producing party 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 party 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 party must provide a sound copy of the data within two (2) working days of receipt of a written request from a receiving party; or such timeframe as is reasonable given the quantum of data and after consultation with the Commission.

## **8 Errors and updates to the electronic exchange**

- 8.1 If errors are found in the exchanged **Documents**, the producing party will re-issue the erroneous **Documents**.
- 8.2 However, if errors are found in more than 25% of the exchanged **Documents**, the producing party may request that all **Documents** are re-issued.
- 8.3 A written explanation will also be sent to all receiving parties 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 party will take reasonable steps to ensure that duplicated Documents are removed from the exchanged material (**‘De-Duplication’**).
- 9.2 However, the Commission acknowledges that there may be circumstances where **Duplicates** need to be identified and retained for evidential purposes<sup>2</sup>.
- 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.

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<sup>2</sup> 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 Party Source codes described in Schedule 10 should be used.

Document ID Code	Range	Legal representative assigned to	Description
CORR		Reserved for the Commission	Not applicable
DOC		Reserved for the Commission	Not applicable
DIR		Reserved for the Commission	Not applicable
EXH		Reserved for the Commission	Not applicable
EXP NB see important Note on how levels used <sup>3</sup>	EXP.001.FFF.PPPP EXP.2999.FFF.PPPP	Reserved for the Commission	For material from experts
	EXP.3000.FFF.PPPP to EXP.3999.FFF.PPPP	Victorian Government Solicitors	
	EXP.4000.FFF.PPPP to EXP.4999.FFF.PPPP	Mallesons Stephen Jacques	
	EXP.5000.FFF.PPPP to EXP.5999.FFF.PPPP	Freehills	
	EXP.6000.FFF.PPPP to EXP.6499.FFF.PPPP	AGS	
	EXP.6500.FFF.PPPP to EXP.6999.FFF.PPPP	Sidells	

<sup>3</sup> 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.

<b>Document ID Code</b>	<b>Range</b>	<b>Legal representative assigned to</b>	<b>Description</b>
	EXP.7000.FFF.PPPP to EXP.7499.FFF.PPPP	Wotton Kearney	
	EXP.7500.FFF.PPPP to EXP.9999.FFF.PPPP	Reserved for other parties and to be allocated by the Commission	
INF		Reserved for the Commission	Not applicable
MED		Reserved for the Commission	Not applicable
NOT		Reserved for the Commission	Not applicable
ORD		Reserved for the Commission	Not applicable
REP		Reserved for the Commission	Not applicable
TRAN		Reserved for the Commission	Not applicable
SUBM		Reserved for the Commission	Not applicable
SUMM NB see important Note on how Document IDs allocated <sup>4</sup>		Reserved for the Commission and allocated to parties as Summonses issued	Material produced in answer to a Summons
TEND		Reserved for the Commission	Not applicable
VBRC		Reserved for the Commission	Not applicable
WEB		Reserved for the Commission	Not applicable

<sup>4</sup> At the time of issuing the Summons, the Commission will notify the party the SUMM Document ID to be used for material produced electronically. If material to be produced has previously been processed, then the party needs to supply details to the Commission at the time of production.

<b>Document ID Code</b>	<b>Range</b>	<b>Legal representative assigned to</b>	<b>Description</b>
WIT NB see important Note on how levels used <sup>5</sup>	WIT.001.FFF.PPPP WIT.2999.FFF.PPPP	Commission	For witness statements
	WIT.3000.FFF.PPPP to WIT.3999.FFF.PPPP	Victorian Government Solicitors	
	WIT.4000.FFF.PPPP to WIT.4999.FFF.PPPP	Mallesons Stephen Jacques	
	WIT.5000.FFF.PPPP to WIT.5999.FFF.PPPP	Freehills	
	WIT.6000.FFF.PPPP to WIT.6499.FFF.PPPP	AGS	
	WIT.6500.FFF.PPPP to WIT.6999.FFF.PPPP	Sidells	
	WIT.7000.FFF.PPPP to WIT.7499.FFF.PPPP	Wotton Kearney	
	WIT.7500.FFF.PPPP to WIT.9999.FFF.PPPP	Reserved for other parties and to be allocated by the Commission	

For material which Parties are producing to the Commission electronically, the Party specific Source Codes described in Schedule 10 should be used.

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<sup>5</sup> 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, peoples 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 Parties Table in Schedule 6.
- 2.4 Multiple recipients will be entered as separate rows in the Parties 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 parties will have the parties 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 Attachments<sup>6</sup>**

- 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.<sup>7</sup>
- 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.

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<sup>6</sup> May be referred to as Document Delimiting

<sup>7</sup> 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\’<sup>8</sup>
- 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.<sup>9</sup>
- 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*’

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<sup>8</sup> 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\’.

<sup>9</sup> 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 corner<sup>10</sup> 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 page<sup>11</sup> 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 parties 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.

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<sup>10</sup> 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.

<sup>11</sup> 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 <b>Document</b> information
Parties	People and organisation information for each <b>Document</b>
Pages	Listing of electronic image filenames for each <b>Document</b>
Export_Extras	Additional data fields for each <b>Document</b>

### Export Table

Field	Data Type	Explanation	
<b>Document_ID</b>	Text, 255	<b>Document ID</b> in accordance with Schedule 1	
<b>Document_Type</b>	Text, 255	<b>Paper Documents</b>	Please refer to Schedule 7 – Document Type List.
		E-mails	<b>Metadata</b> extraction
		Other <b>Electronic Documents</b> (including e-mail, e-mail attachments, etc)	<b>Metadata</b> extraction; or <b>Objective coding</b>
<b>Document_Date</b>	Date, 11	DD-MMM-YYYY	
		<b>Paper Documents</b>	<b>Objective Coding</b>
		Undated <b>Documents</b>	Leave field blank
		Incomplete Date (Year Only)	01-JAN-1990
		Incomplete Date (Month and Year Only)	01-MMM-YYYY
		Incomplete Date (Day and Month only)	DD-MMM-1900
		E-mails	<b>Metadata</b> extraction - Sent Date <sup>12</sup>
		Unsent E-mails	<b>Metadata</b> extraction - Last Saved Date
		Other <b>Electronic Documents</b>	<b>Metadata</b> extraction - Last Saved Date; or Last Modified Date; or Objective coding
<b>Estimated</b>	Text, 3	Yes OR No OR Blank	
		Default	No or Blank
		Undated <b>Documents</b>	No or Blank

<sup>12</sup> The concept of time zones can be difficult to manage where emails are sent from one location and time zone and received in many different locations and time zones. The emerging convention seems to be to record the time zone of the server that sent the e-mail in the primary date field for an email. The received date associated with the local email server for the recipient of a 'Duplicated' e-mail may also be captured in other metadata date fields (that is, other than the primary Date field). New conventions are likely to emerge in this area over time.

Field	Data Type	Explanation	
		Incomplete Date	Yes
<b>Host_Reference</b>	Text, 255	If the <b>Document</b> is an attachment, this field contains the <b>Document ID</b> of its <b>Host Document</b> . Please refer to Schedule 3 – Document Hosts & Attachments.	
<b>Title</b>	Text, 255	<b>Paper Documents</b>	<b>Objective Coding</b>
		Email	Subject Field
		<b>Other Electronic Documents</b>	<b>Objective Coding.</b>
<b>Level_1</b>		The Party level of the <b>Document ID</b> (refer Schedule 1)	
<b>Level_2</b>		The Box level of the <b>Document ID</b> (refer Schedule 1)	
<b>Level_3</b>		The Folder level of the <b>Document ID</b> (refer Schedule 1) under which the <b>Searchable and Unsearchable Images</b> or <b>Native Electronic Documents</b> are stored.	

### Parties 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 Parties table because multiple people could be associated with a single **Document**.

Field	Data Type	Explanation	
<b>Document_ID</b>	Text, 255	<b>Document ID</b> in accordance with Schedule 1	
<b>Correspondence_Type</b>	Text, 100	Correspondence Type (Sent or Received)	
		<b>Paper Documents</b>	<b>Objective Coding</b> FROM, TO, BETWEEN, ATTENDEES, CC
		E-mails	<b>Metadata</b> extraction FROM, TO, CC, BCC
		<b>Other Electronic Documents</b>	<b>Objective Coding</b> FROM, TO, BETWEEN, ATTENDEES, CC
<b>Organisations</b>	Text, 255	Please refer to Schedule 2 – Describing People and Organisations.	
		<b>Paper Documents</b>	<b>Objective Coding</b>
		E-mails	<b>Metadata</b> extraction; or automated manipulation of data

Field	Data Type	Explanation	
			after automated <b>Metadata</b> Extraction
		<b>Other Electronic Documents</b>	<b>Metadata</b> extraction; or <b>Objective Coding</b>
<b>Persons</b>	Text, 255	Please refer to Schedule 2 – Describing People and Organisations.	
		<b>Paper Documents</b>	<b>Objective Coding</b>
		E-mails	<b>Metadata</b> extraction of emails addresses or email alias names
		<b>Other Electronic Documents</b>	<b>Metadata</b> extraction; or <b>Objective coding</b>

### 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 Parties 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	Explanation
<b>Document_ID</b>	Text, 255	<b>Document ID</b> in accordance with Schedule 1
<b>File_Name</b>	Text, 128	Filename, including extension of each indexed <b>Document</b>
<b>Page_Label</b>	Text, 32	Where PDF files are exchanged use ‘PDF’. Where Native files are exchanged, use the file extension (eg XLS, DOC, DWG etc). Where <b>Single Page TIFF</b> files are exchanged no file extension is necessary.
<b>Page_Num</b>	Number, Double	An integer indicating the order in which the files related to the <b>Document ID</b> should be sequenced when viewing the full <b>Document</b> . For example, if a <b>TIFF</b> page is available for each page, the record in this table associated with the first <b>TIFF</b> page should have this value equal to “1”. The record in this table associated with the second page will have this value set to “2” and so on. A multi-page <b>PDF</b> file will have this value set to the value of the last <b>TIFF</b> page plus 1 (where <b>TIFF</b> pages have been produced) or set to “1” if no <b>TIFF</b> pages were produced. A <b>Native Document</b> will have a value equivalent to the <b>PDF</b> file value plus one unless there is no <b>PDF</b> file in which case it will receive a value of “1”.

## Export\_Extras Table

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

Field	Data Type	Explanation
<b>Document_ID</b>	Text, 255	Unique <b>Document Identifier (Document ID)</b>
<b>theCategory</b>	Text, 50	Text OR Date OR Numb OR Bool OR Pick
<b>theLabel</b>	Text, 255	Custom field name
<b>theValue</b>	Text, 255	Custom field contents
<b>9999Value</b>	Number, Double	If Numb, custom field data
<b>textValue</b>	Text, 255	If Text OR Pick, custom field data
<b>boolValue</b>	Number, Double	If Bool, custom field data

Parties should include in the Export\_Extras table such of the following custom fields as are applicable. Parties should also include the fields as enumerated in Practice Note 17 issued by the Federal Court.

Field	Data Type	Explanation
<b>LPP</b>	<b>Legal Professional Privilege</b> : The permissible entries in this field are "Yes", "No" or "Part" (for partly privileged documents).	PICK
<b>WPP</b>	<b>Without Prejudice Privilege</b> : The permissible entries in this field are "Yes", "No" or "Part" (for partly privileged documents).	PICK
<b>PII</b>	<b>Public Interest Immunity</b> : The permissible entries in this field are "Yes", "No" or "Part" (for partly privileged documents).	PICK
<b>Electronic</b>	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
<b>Original_Source_Location</b>	Provides the complete network file path for where the electronic file was sourced from	TEXT
<b>Custodian</b>	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
<b>Confidential</b>	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
<b>Party_Prod</b>	This field identifies, by reference to a defined list of Acronyms, the Party Producing the material. The permissible entries in this field	PICK

	are set out in Schedule "X".	
<b>Legal_Rep</b>	This field identifies the Legal Representative for the Party	PICK
<b>MD5#</b>		TEXT
<b>Summons_No</b>	This field narrates the unique Summons Number, as advised by the Commission	TEXT
<b>Summons_Date</b>	This fields narrates the date of the Summons, as taken from the face of the Summons	DATE
<b>Summons_Para</b>	This field records the paragraph number of the Summons in response to which the document is produced. If the document is produced in response to more than one paragraph of the Summons, all paragraph numbers must be recorded, each in a separate record in the export_extras table.	TEXT
<b>Sec_Class</b>	This fields records the relevant Security Classification of a record. The permissible entries in this field are "Unclassified", "In-Confidence", "Protected" or "Highly Protected". The default value is "Unclassified".	PICK

## Schedule 7 – Document Type List

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

<b>Document Type</b>	<b>includes</b>
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	
Commission Document	Statements of claim, summonses, affidavits, pleadings, requests for particulars
Commission Transcript	
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	

<b>Document Type</b>	<b>includes</b>
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 parties 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).<sup>13</sup>
- 8.3 MD5 hash values will be stored in the export extras table.

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<sup>13</sup> 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 10 – Party Source Codes

<b>Parties With Unconditional Leave to Appear</b>	<b>Source Code</b>
Commonwealth Government of Australia <sup>14</sup>	<b>CGA</b>
State Government of Victoria <sup>15</sup>	<b>SGV</b>
Municipal Association of Victoria	<b>MAV</b>
Alpine Shire Council	<b>ASC</b>
Ararat Rural City Council	<b>ACC</b>
Ballarat City Council	<b>BCC</b>
Banyule City Council	<b>BAC</b>
Bass Coast Shire Council	<b>BTC</b>
Baw Baw Shire Council	<b>BBC</b>
Bayside City Council	<b>BSC</b>
Benalla Rural City Council	<b>BEC</b>
Booroondara City Council	<b>BOC</b>
Brimbank City Council	<b>BRC</b>
Buloke Shire Council	<b>BUC</b>
Campaspe Shire Council	<b>CSC</b>
Cardinia Shire Council	<b>CAC</b>
Casey City Council	<b>CCC</b>
Central Goldfields Shire Council	<b>CGC</b>
Colac Otway Shire Council	<b>COC</b>
Corangamite Shire Council	<b>COR</b>
Darebin City Council	<b>DCC</b>
East Gippsland Shire Council	<b>EGC</b>
Frankston City Council	<b>FCC</b>
Gannawarra Shire Council	<b>GSC</b>
Glen Eira City Council	<b>GEC</b>
Glenelg Shire Council	<b>GLC</b>
Golden Plains Shire Council	<b>GPC</b>
Greater Bendigo City Council	<b>GBC</b>
Greater Geelong City Council	<b>GGC</b>
Greater Shepparton City Council	<b>GRC</b>
Hepburn Shire Council	<b>HSC</b>
Hindmarsh Shire Council	<b>HIC</b>
Hobsons Bay City Council	<b>HBC</b>

<sup>14</sup>Please refer to Schedule 11 for the Source Codes for Departmental Divisions within the Commonwealth Government of Australia

<sup>15</sup>Please refer to Schedule 12 for the Source Codes for Departmental Divisions within the State Government of Victoria

<b>Parties With Unconditional Leave to Appear</b>	<b>Source Code</b>
Horsham Rural City Council	<b>HRC</b>
Hume City Council	<b>HCC</b>
Kingston City Council	<b>KCC</b>
Knox City Council	<b>KNC</b>
Latrobe City Council	<b>LCC</b>
Loddon Shire Council	<b>LSC</b>
Macedon Ranges Shire Council	<b>MRC</b>
Manningham City Council	<b>MCC</b>
Mansfield Shire Council	<b>MNC</b>
Maribyrnong City Council	<b>MAC</b>
Maroondah City Council	<b>MFC</b>
Melbourne City Council	<b>MEC</b>
Melton Shire Council	<b>MSC</b>
Mildura Rural City Council	<b>MIC</b>
Mitchell Shire Council	<b>MTC</b>
Moria Shire Council	<b>MOC</b>
Monash City Council	<b>MHC</b>
Moonee Valley City Council	<b>MVC</b>
Moorabool Shire Council	<b>MBC</b>
Moreland City Council	<b>MXC</b>
Mornington Peninsula Shire Council	<b>MPC</b>
Mount Alexander Shire Council	<b>MDC</b>
Moyne Shire Council	<b>MYC</b>
Murrindindi Shire Council	<b>MUC</b>
Nillumbik Shire Council	<b>NMC</b>
Northern Grampians Shire Council	<b>NGC</b>
Port Phillip City Council	<b>PPC</b>
Pyrenees Shire Council	<b>PSC</b>
Queenscliffe Borough Council	<b>QBC</b>
South Gippsland Shire Council	<b>SGC</b>
Southern Grampians Shire Council	<b>SOC</b>
Strathbogie Shire Council	<b>SSC</b>
Surf Coast Shire Council	<b>SCC</b>
Swan Hill Rural City Council	<b>SHC</b>
Towong Shire Council	<b>TSC</b>
Wangaratta Rural City Council	<b>WRC</b>
Warrnambool City Council	<b>WCC</b>

<b>Parties With Unconditional Leave to Appear</b>	<b>Source Code</b>
Wellington Shire Council	<b>WSC</b>
West Wimmera Shire Council	<b>WWC</b>
Whitehorse City Council	<b>WIC</b>
Whittlesea City Council	<b>WHC</b>
Wodonga City Council	<b>WOC</b>
Wyndham City Council	<b>WYC</b>
Yarra City Council	<b>YCC</b>
Yarra Ranges Shire Council	<b>YRC</b>
Yarriambiack Shire Council	<b>YSC</b>
<b>Parties With Conditional Leave to Appear</b>	<b>Source Code</b>
United Fire Fighters Union of Australia	<b>UFU</b>
Australian Worker's Union	<b>AWU</b>
Insurance Council of Australia	<b>ICA</b>
Housing Industry Association	<b>HIA</b>
Volunteer Fire Brigades Victoria	<b>VFBV</b>
SP Australian Networks	<b>SPA SPN</b>
Police Association of Victoria	<b>PAV</b>
Australian Broadcasting Corporation	<b>ABC</b>
Australian Institute of Architects Victorian Chapter	<b>AIA</b>
Telstra Corporation Limited	<b>TCL</b>
ACE Radio Broadcasters Pty Ltd	<b>ACE</b>
Master Builders Association	<b>MBA</b>
Powercorp Australia Limited	<b>PAL</b>
Utility Services Corporation Limited trading as Utility Asset Management	<b>UAM</b>
Australian Fire and Emergency Services Authorities	<b>AFAC</b>

Additional Party Source Codes	Source Code
Australian Building Codes Board	<b>ABCB</b>
Dr Kevin Tolhurst	<b>TOL</b>
EYEfi Pty Ltd	<b>EYE</b>
Standards Australia	<b>STA</b>
Coroner	<b>COR</b>
Bureau of Meteorology	<b>BOM</b>
Bushfire CRC	<b>BCRC</b>

**Schedule 11 – Party Source Codes for Departmental Divisions within the Commonwealth Government of Australia**

<b>Commonwealth of Australia Entity</b>	<b>Source Code</b>
Australian Communications & Media Authority	<b>ACMA</b>
Attorney General's Department	<b>AGD</b>
	<b>EWS</b>
Bureau of Meteorology	<b>BOM</b>
Broadband, Communications & the Digital Economy	<b>DBC</b>
Geoscience Australia	<b>GSA</b>
Prime Minister and Cabinet	<b>PMC</b>

## Schedule 12 – Party Source Codes for Departmental Divisions within the State Government of Victoria

State Government Victoria Entity	Division	Source Code
<b>DHS (Department of Human Services)</b>		<b>DHS</b>
	Ambulance Victoria	<b>AMB</b>
<b>DOJ (Department of Justice)</b>		<b>DOJ</b>
	CFA (County Fire Authority)	<b>CFA</b>
	ESTA (Emergency Services Telecommunications Authority)	<b>ESTA</b>
	MFB (Metropolitan Fire and Emergency Services Board)	<b>MFB</b>
	OESC (Office of the Emergency Services Commissioner)	<b>OESC</b>
	Strategic Communications	<b>SCO</b>
	VicSES (State Emergency Service)	<b>SES</b>
	Victoria Police	<b>VPO</b>
<b>DPC (Department of Premier and Cabinet)</b>		<b>DPC</b>
	Cabinet Secretariat	<b>SEC</b>
	National Reform Branch	<b>NRB</b>
	Resources and Infrastructure	<b>RAI</b>
	Securities and Emergencies Unit	<b>SEU</b>
	Legal Branch	<b>LEG</b>
	Social Policy	<b>SPO</b>
<b>DPCD (Department of Planning and Community Development)</b>		<b>PCD</b>
	Building Commission	<b>BDC</b>
<b>DPI (Department of Primary Industries)</b>		<b>DPI</b>
	Energy Safe Victoria	<b>ESV</b>
<b>DTF (Department of Trade and Finance)</b>		<b>DTF</b>
	VicForests	<b>VFR</b>
	Worksafe Victoria	<b>WSV</b>
<b>DSE (Department of Sustainability and Environment)</b>		<b>DSE</b>
	Melbourne Water	<b>MBW</b>
	Parks Victoria	<b>PKV</b>
<b>VicRoads</b>	Vic Roads	<b>VRD</b>

## 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 can not be a **Host Document**.

**Commission Book** means an indexed collection of Documents to be relied upon at the hearing of a matter and will, unless the 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 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 Commission Rules or any orders of the Commission.

**Document** means a document as defined in Order 1 rule 4 of the Federal 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 party 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 Commission Book** means a **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 **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 17 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 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.

**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.