

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 Queensland Coal Mining Board of Inquiry (**the Board**).
- 1.2 To facilitate the expeditious conduct of the Inquiry, the Board intends, as much as possible, to receive, manage and consider, materials in electronic form.
- 1.3 The Protocol should be read in conjunction with Practice Guideline No. 1, which is available on the Board's website at www.coalminesinquiry.qld.gov.au.
- 1.4 Where the Board thinks it appropriate, this Protocol may be varied, changed or replaced at any time.
- 1.5 Pursuant to this Protocol, a person is expected not to convert electronic documents to hard copy for the purposes of providing documents to the Board. Unless otherwise agreed with the Board, a person is expected to convert hard copy documents to electronic form for the purposes of production to the Board in accordance with this Protocol.
- 1.6 The Protocol applies to:
 - (a) all witness statements (including exhibits to witness statements); and
 - (b) unless otherwise specified by the Board, all other information, relevant documents and submissions referred to in Practice Guideline No. 1.

General Principles

2. Identification of documents

- 2.1 Document identifiers (**Document IDs**) and page numbers will be unique to each page and will be the primary means by which documents will be referenced.

- 2.2 A person will identify documents for the purpose of production using unique Document ID. A Document ID will be in the following format:

PPP.BBB.FFF.NNNN

where:

Level	Description
PPP	The producing party code is a three alpha code unique to each producing. The Board will liaise with producing parties and advise the producing party code to be used by each party.
BBB	The box number identifies a specific physical archive box or email mailbox or any other physical or virtual container. The box number is padded with zeros to consistently result in a 3 digit structure.
FFF	The folder number identifies a unique folder number allocated by each party in its own document collection. The folder number is padded with zeros to consistently result in a 3 digit structure.
NNNN	This refers to each individual page of each document. The page number is padded with zeros to consistently result in a 4 digit structure.

An example of the Document ID structure is XYZ.001.001.0001

where:

XYZ	Party Code
001	Unique box number allocated by person
001	Unique folder or container number allocated by person
0001	Sequential page or document number

Note: If a different number is required, please contact the Board 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. Host and attachment documents must, however, be identified and be given consecutive Document IDs.
- 2.4 A document filename is to be adopted according to its corresponding Document ID upon electronic production.

Document Management

3. Document metadata

- 3.1 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;
 - (c) producing documents in accordance with the Production Specification at Schedule 1 of this Protocol.
- 3.2 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.
- 3.3 The Board accepts that complete document metadata may not be available for all electronic documents. A person should attempt to provide complete metadata where practicable.

4. De-duplication of documents

- 4.1 A person must take reasonable steps to ensure that duplicate documents are removed from the exchanged material (de-duplication).
- 4.2 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 a duplicate only if the entire group of documents is duplicated elsewhere.

5. Exclusion of unusable file types

- 5.1 Files with no user-generated content, such as system files and executable files, are to be excluded from the disclosure process (to the extent possible).
- 5.2 Temporary internet files and cookies are to be excluded from the disclosure process.

Document Production

6. Production of documents to the Board

- 6.1 All documents will:
- (a) be accompanied by an excel spreadsheet as detailed at Schedule 1;
 - (b) be provided in electronic format in accordance with paragraphs 7, 8 and 9;
 - (c) include all requested metadata and files responsive to the production or tranche in their entirety.

7. Document format and naming

- 7.1 All documents will be provided as fully text-searchable images as multi-page PDF/A files.
- 7.2 Electronic documents that do not lend themselves to conversion to PDF (for example, complex spreadsheets or databases) may be provided to the Board as native electronic documents or in another form as agreed by the producing party and the Board.
- 7.3 Each file provided by a producing party to the Board will be stored in the folder structure that matches the Document ID structure. Further information is contained in Schedule 2 to this Protocol.
- 7.4 A unique page number label in the format described in paragraph 2.2 will be electronically stamped on the top right hand corner of each page of every document. Such page numbering can be readily achieved using commercial off the shelf products such as Adobe Acrobat Professional or Nitro PDF, however, any similar method will suffice.
- 7.5 The page number assigned to the first page of a document will be the Document ID for that document.

8. Format for witness statements and submissions

- 8.1 To enable hyperlinking to exhibits referred to within witness statements or submissions:
 - (a) witness statements and submissions should be provided as both –
 - i. Microsoft Word documents; and
 - ii. fully text-searchable images as multi-page PDF/A files;
 - (b) where a document is referred to in a submission or witness statement, the reference must be to the Document ID for the document; and
 - (c) each reference to an exhibit's Document ID should be made enclosed in double square brackets, for example [[ABC.001.001.0345]].

9. Completeness of documents

- 9.1 Where documents are produced, all parts of the document should be produced. For example, for an email chain the final instance of that chain, showing all parts of that chain, is to be produced along with every attachment.

10. Production media

10.1 Documents and accompanying metadata should be provided to the Board on a solid state universal serial bus storage (USB stick) or a portable hard drive or read-only optical media (e.g. CD-ROM, DVD-ROM), and delivered to the Board at Level 23, 50 Ann St, Brisbane.

11. Data security

11.1 Producing parties will take reasonable steps to ensure that the data is useable and is not infected by malicious software.

11.2 If data is found to be corrupted, infected by malicious software or is otherwise unusable, the producing party will, within 2 working days of receipt of a written request from the Board, provide a copy of the data that is not corrupted, infected by malicious software or otherwise unusable (as the case may be).

Schedule 1 – Production specification

Excel index

- 1.1 All documents to be produced will be itemised in an excel index containing the following information for each document, where available:
- (a) Document ID (see paragraph 2.2 of the Protocol);
 - (b) host Document ID (see below “**Document hosts and attachment relationships**”);
 - (c) document date;
 - (d) document type (see tab “**DocType List**” in the sample spreadsheet referred to in paragraph 1.2 of this Schedule);
 - (e) document title;
 - (f) author;
 - (g) author organisation;
 - (h) recipient;
 - (i) recipient organisation;
 - (j) confidential – yes/no/part and, if partly confidential, identifying the relevant part (refer to Practice Guideline No. 1 at paragraph 29(b)(i));
 - (k) confidential – scope (refer to Practice Guideline No. 1 at paragraph 29(b)(ii));
 - (l) confidential – grounds (refer to Practice Guideline No. 1 at paragraph 29(b)(iii)).
- 1.2 A sample spreadsheet is available from the Board’s website www.coalminesinquiry.qld.gov.au.

Document hosts and attachment relationships

- 1.3 Every document that is attached to another document will be called an attached document.
- 1.4 Attached documents will have the Document ID of their host document in the metadata field called ‘Host Document ID’.
- 1.5 Host documents and attached documents are jointly referred to as a ‘Document Group’.
- 1.6 In a Document Group, the host document will be immediately followed by each attached document in the order of their Document IDs.
- 1.7 Annexures, attachments and schedules to an agreement, report, legal document or minutes of a meeting may be described as separate attached documents associated with the relevant host document.

Schedule 2 – Folder structure and naming of files

- 2.1 This schedule specifies how electronic documents and images are to be located and named for the purposes of production to the Board.
- 2.2 The folder containing all documents will be named either ‘\Documents\’ or ‘\Images\’.
- 2.3 Documents produced as searchable images will be named ‘Document ID.pdf’. Only the final full stop between the Document ID and the file extension will be used (e.g. ‘ABC0010020312.pdf’).
- 2.4 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 (for example, ‘ABC0010020312.docx’).
- 2.5 Folders containing documents will be structured in accordance with the Document ID hierarchy. For example, the document produced as a searchable image called ‘ABC0010020312.pdf’ would be located in the folder called ‘Documents\ABC\001\002\’. That document will appear in the directory listing as ‘Documents\ABC\001\002\ABC0010020312.pdf’. Where this same document has been produced as a Word document, it would be called ‘ABC0010020312.doc’ and will be located in the folder called ‘Documents\ABC\001\002\’. It will appear in the directory listing as ‘Documents\ABC\001\002\ABC0010020312.doc’