



**Special Commission of Inquiry into Healthcare Funding**  
**Document Management Protocol**  
**16 January 2024**

1. The Protocol operates to regulate the process of producing documents to the Special Commission of Inquiry into Healthcare Funding (“the Inquiry”), including setting the convention for the following:
  - a. Naming and production of document metadata including dates, author, etc.
  - b. Document coding (for the identification of individual documents and pages within documents).
2. **Document naming and coding**
- 2.1 When producing documents to the Inquiry, an excel spreadsheet containing the following categories of information concerning each of the documents is also required to be provided:
  - a. Document ID;
  - b. Document Title;
  - c. Document Date;
  - d. Author;
  - e. Recipient;
  - f. Document Type;
  - g. Host Document ID;
  - h. Summons to Produce;
  - i. Paragraph of schedule of Summons to Produce;
  - j. Privilege (yes, no part)
  - k. Privilege Basis (LPP<sup>1</sup>, PII<sup>2</sup>, Parliamentary);
  - l. Confidential; and
  - m. Basis for confidentiality claim. (“the Document Information”).
- 2.2 For documents produced to the Inquiry, every document should be uniquely numbered.

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<sup>1</sup> LPP is a reference to legal professional privilege.

<sup>2</sup> PII is a reference to Public Interest Immunity.

2.3 Every page of every document should be uniquely numbered in the top righthand corner at least 3 millimeters from both edges of the page.

2.4 The numbering convention to be inserted on the top righthand corner of each document is as follows:

a. AAA.BBBB.CCCC.DDDD where:

- i. AAA is a three-letter Party Code that identifies the party or source producing the document.
- ii. A person producing documents will be provided with a Party Code by the Solicitors Assisting the Inquiry. For example:

<b>Party Code</b>	<b>Party</b>
SCI	The Special Commission of Inquiry into Healthcare Funding Commissioner and Legal Team
MOH	The New South Wales Ministry of Health

- iii. BBBB identifies the sequential archive box for paper documents, a zip file, tranche of production or other suitable virtual classification such as a Summons to Produce. Leading zeros should be used where the number is less than 4 characters, and the maximum number in this section of the unique document identifier is 9999.
- iv. CCCC is the number that identifies an individual document within the archive box, zip file, tranche etc. Leading zeros should be used where the number is less than 4 characters, and the maximum number in this section of the unique document identifier is 9999.<sup>3</sup>
- v. DDDD is the number that identifies the page of an individual document. Leading zeros should be used where the number is less than 4 characters, and the maximum number in this section of the unique document identifier is 9999.

2.5 Where possible, documents will be produced to the Inquiry:

- a. in a text searchable format.
- b. converted into PDF format.
- c. With a load file in CSV format, or an export.mdb/Relativity .dat file (where applicable).
- d. With Text files (if available).

2.6 Documents that do not lend themselves to conversion to PDF (for example, complex spreadsheets, databases, etc.) may be exchanged or delivered to the Commissioner in their native document format or in another format agreed to by the Inquiry.

2.7 Documents that contain hyperlinks may be exchanged or delivered to the Commissioner with the hyperlinked documents as attachments to those documents.

2.8 Every document that is attached to or embedded within another document will be treated as an attached document.

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<sup>3</sup> Where more than 9999 documents are to be produced, they may be separated into consecutively numbered tranches, that is, by an increment to the BBBB number.

- 2.9 A document that contains at least one attached document will be called a host document. A person will identify host and attachments by way of the same sequence for the CCCC 4 character sequence, and consecutive sequence for the DDDD 4 character sequence.
- 2.10 Acceptable responses in the Privilege field are: yes, no or part.
- 2.11 Acceptable responses in the Privilege Basis are: PII, LPP or Parliamentary. More than one such response may be selected for each document.
- 2.12 Electronic Document Types include: email, email attachment, and electronic file.
- 2.13 Hard copy Document Types include:

Agenda	Email	Minutes of Meeting	Timesheet
Agreement/Contract/Deed	Facsimile	Notice	Transcript
Affidavit/Statement	Fax Transmission Report	Other	Web Page
Annual Report	File Note	Permit	
Article	Financial Document	Photograph	
Authority	Form	Physical Media	
Board Papers	Handwritten Note/Note	Presentation	
Brochure	Invoice/Statement	Receipt	
Certificate	Legislation/Act	Report	
Cheque Remittance	Letter	RFI – RFO	
Court Document	List	Search/Company Search	
Curriculum Vitae/Identification	Manual/Guidelines	Social Media/Messaging	
Diary Entry	Map	Specification	
Divider/File Cover	Media Article/Release	Table/Spreadsheet	
Diagram/Plan	Memorandum	Submissions	

### 3. De-duplication of documents

- 3.1 Each party will take reasonable steps to ensure that duplicate documents are removed from the exchanged material (“De-duplication”).
- 3.2 Parties acknowledge that there may be circumstances where duplicates need to be identified and retained for evidential purposes.

3.3 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.

4. **Redaction for Confidential or Privileged Documents**

4.1 If the whole or part of a document is subject to a claim of confidentiality, public interest immunity or privilege, the parts of the document that are subject to the claim should be identified or, if appropriate, redacted pending determination of the claim. If the whole or part of the document is redacted, the party producing the document must retain an unredacted version of the document which must be produced to the Commissioner if required to do so.

4.2 If the Commissioner makes a determination that the whole or part of a document is confidential, privileged or subject to public interest immunity, arrangements will be made to ensure that access to the document, or to the confidential parts of the document, is restricted in accordance with that determination.

**Date:** 16 January 2024