

## CHECK LIST OF TECHNOLOGY ISSUES

This is the CHECK LIST OF TECHNOLOGY ISSUES to which Practice Direction 2.1 refers.

Parties are encouraged to use this checklist to identify technology issues that may arise during proceedings.

### Pre-Trial

#### 1.

<p><b>Document Exchange of Court Documents and Witness Statements</b></p> <p><input type="checkbox"/> Hard copy only</p> <p><input type="checkbox"/> Electronic copy only</p> <p><input type="checkbox"/> Hard copy &amp; electronic copy</p>	<p><b>Electronic Document Format</b></p> <p><input type="checkbox"/> ASCII text file</p> <p><input type="checkbox"/> Word Perfect Version____</p> <p><input type="checkbox"/> Microsoft Word Version____</p> <p><input type="checkbox"/> Word Pro Version____</p> <p><input type="checkbox"/> RTF</p> <p><input type="checkbox"/> HTML</p> <p><input type="checkbox"/> LegalXML</p> <p><input type="checkbox"/> Other</p>	<p><b>Document Exchange via</b></p> <p><input type="checkbox"/> DX</p> <p><input type="checkbox"/> Courier</p> <p><input type="checkbox"/> Australia Post</p> <p><input type="checkbox"/> Floppy disk</p> <p><input type="checkbox"/> Electronic mail</p> <p><input type="checkbox"/> CD Rom</p> <p><input type="checkbox"/> Internet</p> <p><input type="checkbox"/> Website</p>
---	---	---

#### 2.

<p><b>Exchange of Documents Lists</b></p> <p><input type="checkbox"/> Hard copy only</p> <p><input type="checkbox"/> Electronic copy only</p> <p><input type="checkbox"/> Hard copy &amp; electronic copy</p>	<p><b>Electronic Document List Format</b></p> <p><input type="checkbox"/> Delimited ASCII text file</p> <p><input type="checkbox"/> Word processing format</p> <p><input type="checkbox"/> Excel Spreadsheet</p> <p><input type="checkbox"/> LegalXML</p>	<p><b>Document Exchange via</b></p> <p><input type="checkbox"/> DX</p> <p><input type="checkbox"/> Courier</p> <p><input type="checkbox"/> Australia Post</p> <p><input type="checkbox"/> Floppy disk</p> <p><input type="checkbox"/> Electronic mail</p> <p><input type="checkbox"/> CD Rom</p> <p><input type="checkbox"/> Internet</p> <p><input type="checkbox"/> Website</p>
---	---	---

#### Example Database Formats

- Access
- Lotus Notes
- Filemaker Pro
- SQL
- Sybase
- Excel Spreadsheet
- Oracle
- Other

## 3.

<p><b>Document Inspection Format</b></p> <p><input type="checkbox"/> Hard copy only</p> <p><input type="checkbox"/> Electronic/image copy of hard copy</p> <p><input type="checkbox"/> Hard copy and electronic/image copy</p> <p><input type="checkbox"/> Non-paper record for example, video/audio tape, database, microfiche, etc.</p> <p><input type="checkbox"/> Other Medium _____</p>	<p><b>Electronic Image Formats</b></p> <p><input type="checkbox"/> TIFF – Multi</p> <p><input type="checkbox"/> TIFF – Single</p> <p><input type="checkbox"/> PDF</p> <p><input type="checkbox"/> GIF</p> <p><input type="checkbox"/> Other</p>	<p><b>Special Considerations</b></p> <p><input type="checkbox"/> Redacting/ Masking</p>
<p><b>Exchange of Agreed Bundle/Court Book Indexes</b></p> <p><input type="checkbox"/> Hard copy only</p> <p><input type="checkbox"/> Electronic/image copy only</p> <p><input type="checkbox"/> Hard copy and electronic/image copy</p> <p><input type="checkbox"/> Other Medium _____</p>	<p><b>Electronic Document Index Format</b></p> <p><input type="checkbox"/> Delimited ASCII text file</p> <p><input type="checkbox"/> Word Processing Format</p> <p><input type="checkbox"/> Excel Spreadsheet</p> <p><input type="checkbox"/> LegalXML</p> <p><input type="checkbox"/> Other</p>	<p><b>Document Exchange via</b></p> <p><input type="checkbox"/> DX</p> <p><input type="checkbox"/> Courier</p> <p><input type="checkbox"/> Australia Post</p> <p><input type="checkbox"/> Floppy disk</p> <p><input type="checkbox"/> Electronic Mail</p> <p><input type="checkbox"/> CD Rom</p> <p><input type="checkbox"/> Internet/Intranet</p> <p><input type="checkbox"/> Website</p>

a. **Image Resolution**

It is suggested that images should be scanned in at around 200 dpi; any greater and file size may be unworkable.

b. **Filename Structure**

It is suggested that images should be named identically to the relevant Document ID.

c. **Special Considerations**

Consideration should be given to whether there are any special requirements such as redacting or masking.

### GUIDELINES - POSSIBLE FIELDS FOR DATABASE

These are the GUIDELINES – POSSIBLE FIELDS FOR DATABASE to which Practice Direction 2.1 refers.

Field	Data Type and Length of Field	Notes
Document ID	Text and Numbers (if appropriate) Length - depending on field structure	<p>Each document should be uniquely identified. The field may be broken into different components such as First Page and Last Page providing the parties agree. The field or fields might comprise a four-part number in form AAA.NNN.NNN.NNNN where “AAA” represents alphabetic shorthand for the party name. The other three sets of numbers could be used to suit the convenience of the parties. It may be useful if the first set is used to refer to an archive box number, the second to the number of the folder within the box, and the third to the page number. <b>Rules for the numbering hierarchy can be agreed prior to discovery and the above is to be used as a guide not the definitive form.</b></p> <p>The parties should consider whether each page should be individually numbered or agree on some other satisfactory arrangement. If agreement is not reached then the parties should seek the Court’s direction.</p> <p>If the parties agree not to number each page, consideration should be given to an additional field recording the number of pages in each document.</p> <p>Attachments to documents can be separately listed and numbered. Attachments can be numbered sequentially following the host document. For example, a host document may be numbered XXX.001.001.0001 and its attachments would be numbered as XXX.001.001.0002, XXX.001.001.0003 and XXX.001.001.0004.</p> <p>If imaging is to be used the parties can agree to any additional information about document identification.</p> <p>It is recommended that the document ID match the image file name i.e. where the document ID is AAA.NNN.NNN.NNNN then the image file name should be AAA.NNN.NNN.NNNN.tif.</p>

Document Type	Text, 254	<p>This field can be completed using commonly received document types for example letter, memo, deed.</p> <p><b>Parties should endeavour to create a list of agreed document types prior to disclosure.</b></p> <p>If the document has been faxed, this field can include “facsimile”.</p> <p>If a group of documents is being disclosed as a bundle, this field may be completed as “Bundle of document type”.</p>
Descriptive Comments	Text and Numbers if appropriate Length, 254	<p>This should specify any special features of the document eg whether a draft, partially executed, fully executed, signed, unsigned, whether it has handwritten notations or other endorsements, etc.</p> <p>It should also indicate whether the document has been imaged and, if so, the number of pages.</p> <p>When necessary the page range should clearly be indicated. For example, a document may have pages numbered in reverse order, or there could be inserted pages. In the latter case the page range should be shown in the form 1-3, 3a, 4-5.</p>
Attachments	Text & Number, Length - depending on the number of attachments	Does not include documents that are only referred to in a disclosed document. Each attachment can be listed separately, with its own disclosure number and details. Multiple entries to be separated by commas.
Host Document Number	Text and Number, Length depending on the document ID. Structure	Contains First Page and, if agreed, Last Page of the host document to which an attachment is attached. There will never be multiple entries in this field, as each attachment should only ever have one host document.
Document Group	Text, 3	<p>HWA Host with attachment</p> <p>HNA Host no attachment</p> <p>ATT Attachment</p> <p>This field may be required if parties agree to swap image files.</p>

Date	Date, 10	<p>Date can be inserted as:</p> <p>ccyy:mm:dd for example 1996/09/05</p> <p>dd = Day  mm = Month  YYYY = Year</p> <p>Undated = If there is no way of ascertaining the date of the document*</p> <p>Documents with only the month and year (ie August 1997) can be coded 01/Aug/1997 and an entry made in the next field - "Estimate Date".</p> <p>Documents with the day and month but no year are considered undated. For example a document dated 04/Apr will be coded as "undated" as the year cannot be identified.</p> <p>*If there is no way of ascertaining the date of the document, then the parties may agree upon what naming convention to use, for example, "Undated", or 00/00/0000, however, it should be noted that some database formats may not recognise these codes.</p>
Estimate Date	Text, 3	<p>Blank = If the exact <b>full</b> date is on the document (for example 04/Aug/1963).</p> <p>Yes When we cannot be certain of the actual date. For example if there is a partial date (eg August 1979), the date is stamped on, the date has been amended by hand or the only visible date is on the fax track.</p> <p>If an agreement has an original date as well as a subsequent later date as a result of alterations being made to the document, then the later date is taken as the document date and guess date is left blank.</p> <p>If a newspaper clipping has the date/reference handwritten on to the document, then the document is dated according to the handwritten notation and is an "estimate date yes".</p> <p>Other options that can be considered for this field are:</p> <p>AFT = After  BEF = Before  MTH = Month  ABT = About</p>

Privilege	Text, 6	This identifies whether a claim of privilege is made over the document. The permissible entries in this field are “YES”, “NO” and “PART”. If this field is completed with “YES” or “PART”, the “basis of privilege field” must also be completed.
Basis of Privilege	Text, 50 (or combination of text and numbers)	Identifies basis of privilege claim. Parties can agree how they will identify privilege claims. One possibility is to set out here the type of privilege claimed or the section or sections of any statute on which a party relies to make out its claim that the document is privileged.
Status	Text, 10	“Copy” or “Original”.
Author	Text, 254 or as appropriate	<p>Person or persons who wrote the document. To be completed using information on the face of the document. <b>Last name First initial only</b> for example “Smith B”.</p> <p>If a document has multiple authors from the same author organisation enter as “Brown J/Jones J ...” etc. or if more than one author from different author organisations enter as “Brown J, Jones J ...” etc.</p> <p>Other ways of addressing multiple entries can be agreed between the parties.</p>
Author Organisation	Text, 254 or as appropriate	<p>Organisation from which the document emanated. To be completed from information on the face of the document. Multiple entries to be separated by commas. <b>Parties should endeavour to agree on standard spellings or abbreviations for organisations prior to disclosure.</b></p> <p>Other ways of addressing multiple entries can be agreed between the parties.</p>
Addressee	Text, 254 or as appropriate	<p>Person or persons to whom the document is addressed can include persons to whom copies are circulated. To be completed from information on the face of the document. <b>Last name First initial only</b> for example “Smith B”.</p> <p>If a document has multiple addressees from the same addressee organisation enter as “Brown J/Jones ...” etc. or if more than one addressee from different addressee organisations enter as “Brown J, Jones J ...” etc.</p> <p>Other ways of addressing multiple entries can be agreed between the parties.</p>

Addressee Organisation	Text, 254 or as appropriate	<p>Organisation receiving the document. To be completed from information on the face of the document. Multiple entries to be separated by commas. <b>Parties should endeavour to agree on standard spellings or abbreviations for organisations prior to disclosure.</b></p> <p>Other ways of addressing multiple entries can be agreed between the parties.</p>
Parties	Text, 254 or as appropriate	Identifies parties to an agreement or other legal document (not correspondence). Multiple entries to be separated by commas.
Source	Text, 20 or as appropriate	<p>Parties may find this field useful to identify documents that have been obtained from someone other than the party giving disclosure; for example, documents obtained on subpoena or through some other compulsory process of obtaining access to documents.</p> <p>This field would identify the party from whom such documents were obtained.</p>
Non-paper record	Text, 3	This field can be used to identify information recorded using a medium other than paper, where the relevant information has not been printed out and disclosed in hard form; for example, video and audio tapes, floppy disks and magnetic computer tapes. Permissible entries are “YES” and “NO”.

## GLOSSARY OF TERMS

### ***ASCII*** (American Standard Code for Information Interchange)

ASCII is the most common format for text files in computers and on the Internet. In an ASCII file, each alphabetic, numeric, or special character is represented with a 7-bit binary number.

### ***Database***

A database is a collection of data that is organised so that its contents can easily be accessed, managed and updated.

### ***Delimiter***

A delimiter is a character that identifies the beginning or the end of a character string (a contiguous sequence of characters).

### ***Diskette (Floppy disk)***

A diskette is a random access, removable data storage medium that can be used with personal computers.

### ***Electronic Data***

In computing, electronic data is information that has been translated into a form that is more convenient to move or process.

### ***Field***

A field represents a column of data within a database. Each record (row) can be made up of a number of pieces of information and, therefore, consists of a number of fields. These fields may be displayed as a box to enter or display data (in a form or report).

### ***GIF*** (Graphics Interchange Format)

A GIF is one of the two most common file formats for graphic images on the World Wide Web. The other is JPEG.

### ***HTML*** (Hypertext Markup Language)

HTML is the set of "markup" symbols or codes inserted in a file intended for display on a World Wide Web browser.

### ***Image***

An image is a picture that has been created or copied and stored in electronic form, an electronic photocopy.

### ***LegalXML*** (Extensible Markup Language)

XML documents are made up of storage containers called "entities" which contain either text or data. Like HTML, text can be either characters or mark up specifications. XML provides a mechanism to impose constraints on the storage layout and logical structure. LegalXML is an open, non-proprietary version of this standard for legal documents and related applications.

### ***Medium***

A medium is a third-party or element through which a message is communicated.

**PDF** (Portable Document Format)

PDF is a file format that has captured all the elements of a printed document. PDF is also an abbreviation for the Netware Printer Definition File but is not used in this document in this way.

**RTF** (Rich Text Format)

RTF is a file format that allows exchange of text files between different word processors in different operating systems.

**SQL** (Structured Query Language)

SQL is a standard interactive and programming language for getting information from and updating a database.

**TIF** or **TIFF** (Tagged Imaged File Format)

TIFF is a common format for exchanging raster (bitmapped) images between application programs, including those used for scanning images.

**Virus**

A virus is a piece of programming code inserted into other programming to cause some unexpected and, for the victim, usually undesirable event. Viruses can be transmitted by downloading programs from infected sites (including internet sites) or they may be present on a diskette received from an infected system.