



Royal Commission on the Pike River Coal Mine Tragedy
Te Komihana a te Karauna mō te Parekura Ana Waro o te Awa o Pike

UNDER THE COMMISSIONS OF INQUIRY ACT 1908

**IN THE MATTER OF THE ROYAL COMMISSION ON THE PIKE
RIVER COAL MINE TRAGEDY**

PRACTICE NOTE NO. 2

12 MAY 2011

Level 14, Prime Property Tower, 86-90 Lambton Quay, Wellington
P O Box 5846, Lambton Quay, Wellington 6145
Email: pikeriver@royalcommission.govt.nz
Freephone (NZ only) 0800 080 092

Filing evidence with the Commission

1. Evidence filed with the Commission is to be filed in both hard copy and electronic form, unless otherwise specified by the Commission.

Numbering of documents

2. All documents filed with the Commission should be allocated a document number (or Document ID) determined in accordance with **Schedule 1**.

Electronic copies of documents

3. Electronic copies of documents should be supplied on a CD-Rom disc, DVD-Rom disc, or USB storage device sent to the address below.
4. The Commission's electronic evidence management system is *CT Summation iBlaze*. The preferred method of document exchange is a Summation electronic "Briefcase", with the minimum standard metadata set out in **Schedule 1**.
5. Where a Summation Briefcase cannot be supplied:
 - a) documents should be provided electronically as searchable (i.e. OCR processed¹) images in PDF or multi page TIFF format. Documents that do not lend themselves to conversion to PDF/TIFF format (for example complex spreadsheets, databases etc) may be provided in native format.
 - b) the file name of each document should correspond to its unique identifier, as set out in **Schedule 1**.
 - c) an index should be supplied in a separate directory. The index should be in Microsoft Excel or .csv format and specify the metadata set out in **Schedule 1**.
6. All documents should be supplied without redaction or markups, and should be de-duplicated.

Hard copies of documents

7. Material filed in hard copy should be sent by courier or post to the following address:

Royal Commission on the Pike River Coal Mine Tragedy
c/- Reception, Level 13
Prime Property Tower
86-90 Lambton Quay
PO Box 5846

¹ Where possible, a separate .txt file should be provided per document with the OCR information, using the same naming convention as the document file.

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8. Hard copies of documents should be:
- a) paginated;
 - b) stamped or labelled with the document numbers determined in accordance with rule 2;
 - c) accompanied by an index recording the metadata in **Schedule 1**.

Disclosure of documents

9. Subject to the directions of the Commission:
- a) documents filed with the Commission will be made available to the participants² in the Inquiry in advance of public hearings;
 - b) documents that are produced or relied upon at public hearings may be made publicly available;
 - c) all other evidence filed with the Commission may be made publicly available at the discretion of the Commission.
10. Any person seeking disclosure restrictions in relation to a document filed with the Commission should identify at the time of filing:
- a) the document(s) or portions of document(s) sought to be restricted;
 - b) the degree of restriction sought;³ and
 - c) the reasons for seeking restriction.

Access to information from the Commission

11. Access to information from the Commission will be provided via the E-Government Shared Workspace website ("the secure website"), which is accessible by link from the Commission's website:
<http://pikeriver.royalcommission.govt.nz>.
12. The secure website will provide:
- a) Access for participants to documents filed with the Commission in advance of hearings, as directed by the Commission;
 - b) Announcements and other information provided by the Commission to participants.

² Parties, interested persons, and where appropriate witnesses/submitters.

³ For example whether the restrictions may be limited by time or categories of recipient.

13. The secure website will be the primary means of communication by the Commission to participants, and it is expected that all participants will register for use of the site. Access to the site remains at the discretion of the Commission.
14. Any participant who has not otherwise been provided with access to the site should email his or her details to pikeriver@royalcommission.govt.nz, with a request for access.
15. Participants may also request access to documents by way of a Summation briefcase, which will be supplied at the discretion of the Commission.
16. Any person who obtains access to documents from the Commission, other than publicly-available information, is subject to an implied undertaking that the information obtained is received in confidence, and that the information will be used only for the purpose of the person's participation in the Inquiry.
17. Implied undertakings will cease to be in force in relation to any information once that information has become public in the course of an Inquiry hearing.
18. Any queries in relation to this practice note may be directed to the Royal Commission on the Pike River Coal Mine Tragedy, via the contact details at the foot of the cover page.

Produced by
The Royal Commission on the Pike River Coal Mine Tragedy
Wellington
12 May 2011

Schedule 1 : Minimum Standard Metadata

1.1 The following minimum standard metadata fields are required:

Field	Includes/refer to schedule
Document ID	<p>Each document must carry a unique document identifier. The format must include:</p> <ul style="list-style-type: none">• A minimum three letter code to indicate the party providing documents• A unique numerical code <p>For example: ABC0001 ABC0002</p> <p>Those filing evidence should contact the Commission to obtain the three-letter code to be used in each instance.</p>
Document Title	<p>A descriptive title for each document, for example the title of a report, the subject of an email or letter. This should be sufficient to describe the document and identify the document in searches.</p>
Document Type	<p>Refer Schedule 2</p>
Document Date	<p>The date, or estimated date, of the document in the format DD/MM/YYYY</p>
Estimated Document Date	<p>If the date is not known and an estimated date is given then enter "yes" in this field</p>
Author	<p>In the format: Firstname_Surname e.g. John Smith</p>
Recipient	<p>In the same format as "Author"</p>

1.2 Files should be named consistently with the following format:

ABC0001.pdf
ABC0002.tiff
ABC0003.xls

1.3 File names should not include any of the following characters:

\\ : @ ? < > " |

Schedule 2 : Document Types

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

Document Type	Includes
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	
Commission Transcript	
Consents	Permits, resource consents
Cover Page	
Curriculum vitae	
Diagram	Handwritten diagram, graphs, charts
Diary	Diary extracts, appointment books
Digital recording	CDs, DVDs, video, audio, film
Divider	
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	
Invoice	

Document Type	Includes
Legislation	Legislation, including statutes, regulations, by-laws and ordinances. Reading speeches
Letter	
List	Indexes
Manual	Booklets that contain instructions, codes of conduct, handbooks etc
Map	
Media Release	
Memorandum	Internal memoranda
Ministerial Documents	
Minutes of Meeting	
Notice	
Photograph	
Policy	
Post It Note	
Presentation	Powerpoint presentations, powerpoint slides, transparencies
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
Table	
With compliments slip	