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File note

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Date: 27 September 2021

Subject: Autonomy Audit Data
in connection with
three Review counsel

Ref: GRM01

Introduction

1. The purpose of this note is to set out the following information:
 - a. The data captured by the Autonomy Audit records in respect of three review counsel in connection with their work on GRM01 and specifically in respect of three families of documents.
 - b. What conclusions can be drawn from the available data
2. I am a Principal Investigator at the SFO and have been in this role for nearly four years; I have been working on SFO investigations and using the Autonomy DRS system for over ten years. My understanding of Autonomy is drawn from this experience built on the standard Autonomy training, as it existed when I joined the SFO. I have been working on GRM02 (the sister case to GRM01 which shares the same space on Autonomy) since October 2017 and this has involved overlapping work with GRM01. Additionally while GRM01 was at trial, I was brought in to assist the GRM01 team with some of the disclosure challenges they were facing with particular reference to the use of Autonomy.

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Background

3. Autonomy provides a platform for the review of material acquired during the course of an investigation. As part of its Audit functionality, it records every 'tag' ever applied to any document. Even if the tag is subsequently changed, the previous tag is preserved in the Audit record. Any person looking at an item can view the tagging history of that individual item by looking at the relevant tab.
4. Additionally the SFO's Document Review System (DRS) team can provide and audit record for any document or reviewer on request, this captures additional information including Document View information. A Document View event is recorded each time the document is opened in the Review Panel and a new Document View event will be recorded if the same document is viewed in a different tab. For example, viewing the document in the Search Results panel and then viewing it in the Family panel will result in the same document having two Document View events right after each other. However, it is impossible to say what tab a Document View event occurred in. The explanatory notes at the end of this note set out the different tabs.
5. Case Teams will agree with the DRS the tags to be used and which user roles will have access to which tags. In this case the primary review took place on the 'Disclosure Review Panel', this is a lengthy panel containing 8 sections and 34 different fields, these are a mixture of free text boxes (where the user can enter any text they choose), tick boxes (where the user can either leave it blank or insert a tick), drop downs (where the user can select from a list of pre-determined options). The panel allows for multiple stages of review and case teams provide document review guidance specifying which fields should be filled in at any stage of the review.
6. Tags can be applied to documents in a number of ways.

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- a. Single document tagging. When viewing a document within the system the tagging panel can be visible on the left and the user can select which tags they wish to apply. When the user is finished, either they can click the disk icon to save their tags or they will automatically be saved when they move on to the next document.
- b. Family tagging. At the top of the tagging panel, a button displays either a broken chain link or a whole link. When the link is broken tags applied to the document will only be applied to the particular document as above. When the link is whole then any tags will not only be applied to the document being viewed but to any other family members. If other family members already have tags, these will be overwritten by the new ones (unless they are in a field that has not been changed). When the family tag is switched on the first time a set of tags are saved a warning will pop up reminding the user that they have family tagging switched on and asking them to confirm that they want to proceed. The pop up will also offer the user the opportunity to disable the warning for the rest of the session.
- c. Bulk tagging. When looking at a list view of multiple documents it is possible to select as many of them as the user wants. If they right click on the selection, they can select bulk tagging, which will bring up a pop up of the tagging panel. Any tags they select will then be applied to all the selected documents in the same way, as with family tagging, the difference is this can be used to tag multiple documents that are not members of the same family at the same time. In addition to this, the Bulk tagging panel pop up has a button to 'Include Family' with the same broken/whole link icon referred to above. If selected this will propagate the tags not just to the selected documents but all of their family members as well. Finally at the bottom of the bulk tagging panel is a tick box

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titled 'Erase existing multiselect values' this is unticked as default but if ticked when tags are applied then not only will the new tags overwrite previous ones but any fields not changed at this stage will be made blank even if the previously had tags in them.

7. At the end of this note are some Explanatory Notes setting out how to read the information in the Audit reports, how the various tags work and how the various tabs and displays within Autonomy work.
8. This particular issue arises as three documents (and their families) were reviewed by review counsel working on the GRM01 case and determined as not meeting the test for disclosure despite in fact doing so. All three documents cover similar issues and each one was reviewed by a different reviewer.
9. For the purposes of this note, I have assumed that tags referable to a particular user were made by the individual behind the user account. If a user provided their log in details to another SFO user then the other user could have tagged items, which would appear in the audit log as the work of the individual behind the user account. Equally if the user allowed someone else access to their laptop while logged into Autonomy that other person could have tagged items as the user.
10. Attached to this note are audit reports for all three reviewers covering the relevant date ranges and which the information that follows is derived from those reports, additionally there is one piece of information concerning [DRC 3]'s interaction with a document on 20 April 2020 that is not covered in the audit report for [their] data (Appendix A) but does appear in Appendix E which contains the full audit history for each of the nine documents being considered.
11. SFO case teams will normally give reviewers targets for the number of documents they are expected to review in a day. This varies from case team to case team and when reviewers first start reviewing on a case

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the number expected will be lower than when they are several weeks in and familiar with the material.

[DRC 3] (GRM01B001453-48054-DOC3454233 + Family)

12. The family of documents reviewed by [DRC 3] consists of three items:
- a. An e-mail dated 04/11/2011 from Nadine Hambleton to Penni Gillen with the Subject HA REPORT attaching a word document title CG Q3 Board – Home Affairs MD’s Report – 01.08.11.docx and an image file title image001.gif (GRM01B001453-48054-DOC3454233)
 - b. The word document attached to the e-mail titled Civil Government Q3 Board 2011 – Home Affairs MD’s Report prepared by Elaine Bailey and dated 22 July 2011. This document contained the information that met the disclosure test. (GRM01B001453-48054-DOC3454235)
 - c. A .gif file containing Serco’s logo that appears to have been a standard footer in Serco e-mails. (GRM01B001453-48054-DOC3454238)

20 April 2020

13. The first member of this family [DRC 3] interacted with was the logo file (DOC3454238). On 20 April 2020 at 12:51:55 [they] tagged it as Non-relevant, marked it as Tier 1 Review and recorded [their] name and the date of the review:

14. The other two documents in the family do not show any tagging events for this date and time so we can infer that [DRC 3]’s tags were applied as single document tagging.

29 April 2020

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15. [DRC 3]'s next interaction with this family was on 29 April 2020. At 18:21:15, [they] clicked on the e-mail (DOC3454233), 19 seconds later at 18:21:39 [they] clicked on the word document (DOC3454235). Just over a minute later at 18:22:58 [they] tagged the word document as 'May be relevant' and checked the tick box for 'Undermine/Assist'. The other two documents in the family do not show any tagging events for this date and time so we can infer that [DRC 3]'s tags were applied as single document tagging.

16. Seconds after tagging the word document at 18:23:03 [DRC 3] viewed the e-mail (DOC3454233) again. Twelve seconds later at 18:23:15 [they] tagged the e-mail as 'May be relevant' and checked the tick box for 'Undermine/Assist'. [They] also entered into the free text box Reason for Undermine or Assist – Tier 1 the word 'Attachment'. From this we can infer that [they] viewed the e-mail as disclosable not because of its content but because [they] had tagged the attached word document as disclosable. The other two documents in the family do not show any tagging events for this date and time so we can infer that [DRC 3]'s tags were applied as single document tagging. [They] then moved on to other documents.

30 April 2020

17. At 15:29:20 on 30 April 2020, [DRC 3] again looked at the e-mail (DOC3454233), sixteen seconds later at 15:29:36 [they] looked at the word document (DOC3454235). Just under two minutes after that at 15:31:28 tags were applied to all three documents in the family at the same time. No documents outside the family group were tagged at the same time so we can infer that these tags were applied as part of family tagging with one family member being tagged and those tags propagating to the other two family members. All three documents were tagged as Non-relevant, [DRC 3]'s name was selected as the Tier 1 Reviewer, Tier 1 Review Complete was ticked and Tier 1 Date

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Completed was selected. In the seconds after tagging between 15:31:33 and 15:31:37 there are Document view events for both the word document (DOC3454235) and the e-mail (DOC3454233) suggesting that [they] clicked on them before moving on to the next document at 15:31:44. I had considered that this might have occurred because of tagging the logo as Non-relevant with the family tag on in error. However, there is no indication that either before or after applying these tags [DRC 3] had actually looked at the logo file (DOC3454238) and had instead been looking at the e-mail (DOC3454233) and word file (DOC3454235) which is indicative that [they] intended to apply the non-relevant tag to these documents. The last Document View prior to applying the tags was of the word file (DOC3454235) which suggests this was the document [DRC 3] was tagging.

18. A little over twenty minutes later at 15:53:00, [DRC 3] again clicked on the e-mail (DOC3454233) followed fourteen seconds later by clicking on the word document (DOC3454235). Nineteen seconds later at 15:53:33 [DRC 3] tagged the word document as May be relevant. No other documents were tagged at this date and time so we can infer that [DRC 3]'s tag was applied as single document tagging.

4 May 2020

19. At 18:28:02 on 4 May 2020, [DRC 3] again looked at the word document (DOC3454235), [they] clicked on it again twenty seconds later then at 18:30:48, [they] entered the following text into the document description field "2011/07/25. Document. Authored by pupadhvav. Title 'PREPARED FOR: SCG Home Affairs SMT'. Document for Civil Government Q3 Board Meeting prepared by Elaine Bailey. Attachment to GRM01B001453-48054-DOC3454233.". At the same time, [they] updated Tier 1 Date Completed field and unchecked the tick box for 'Undermine/Assist'. No other documents were tagged at this date and time so we can infer that [DRC 3]'s tags were applied as single document

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tagging. Eleven seconds after tagging the word document at 18:30:59 [DRC 3] viewed the e-mail (DOC3454233) again, then at 18:32:07 [they] tagged the e-mail as May be relevant, updated Tier 1 Date Completed field, unchecked the tick box for 'Undermine/Assist' and entered the following text into the document description box "2011/11/04. Email from Nadine Hambleton to Penni Gillen. Subject 'HA REPORT'. Attaches document GRM01B001453-48054-DOC3454235, presentation to board prepared by Elaine Bailey." No other documents were tagged at this date and time so we can infer that [DRC 3]'s tag was applied as single document tagging.

20. No further changes were made to the tags on these documents (although they were added to and removed from various folders within Autonomy) until 21 April 2021 when I completed the Tier 2 fields as part of the SFO's response to the disclosure requests during the trial of Marshall and Woods.

Conclusions concerning [DRC 3]'s review

21. When [DRC 3] initially tagged the e-mail (DOC3454233) and word document (DOC3454235) correctly on 29 April 2020 as May be relevant and Undermine/Assist this was on the basis of having looked at this 3 page, 1092 word document for a maximum of 1 minute 19 seconds. It is impossible to say why [they] considered it to meet the test for disclosure and whether or not [they] picked up on the key sentence "*The primary reason for the upside is the back dated internal management fee charged to Electronic Monitoring England & Wales...*".

22. The tagging that takes place at around 15:30 on 30 April 2020 appears to have been an attempt to complete some of the standard fields (Review complete, Reviewer name, date of review) but also resulted in an erroneous relevance determination with family tagging switched on. The fact that the U/A tags were not changed at the same time and the relevance determination (for the word document) was corrected twenty

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minutes later suggests that this change of determination was ultimately unintended. That said it does not appear to have been the result of correctly tagging the logo file (DOC3454238) with family tagging switched on in error.

23. The tagging on 4 May 2020 appears to be a full re-consideration of the e-mail and word document by [DRC 3]. [They] viewed the word document for a maximum of 2 minutes 46 seconds before apparently concluding that it did not meet the test for disclosure. [They] viewed the e-mail for a maximum of 1 minute 8 seconds and corrected the relevance determination but also removed the U/A assist tag. Given the time spent looking at the documents and the fact that these tags appear to have been made on a single document basis this change appears to have been intentional.

24. It is impossible to reconstruct what [DRC 3] was thinking from the tagging history but one can reasonably infer that:

- a. On 29 April 2020 [they] saw something in the word document that made [them] conclude that it met the test for disclosure;
- b. On 4 May 2020 when [they] re-reviewed it for slightly longer, [they] did not see anything within the document that [they] thought met the test.

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[DRC 2] (GRM01B001453-48054-DOC3449198 + Family)

25. The family of documents reviewed by [DRC 2] consists of three items:

- a. An e-mail dated 13/07/2011 from Yvette Carter to Nadine Hambleton with the Subject Home Affairs MD Report [I] attaching a word document titled BU MD Report May June 2011.docx and an image file title image001.gif (GRM01B001453-48054-DOC3449198)
- b. The word document attached to the e-mail titled Home Affairs MD's Report – June 11, prepared by Elaine Bailey and dated 12 July 2011. This document contained the information that met the disclosure test. (GRM01B001453-48054-DOC3449199)
- c. A .gif file containing Serco's logo that appears to have been a standard footer in Serco e-mails. (GRM01B001453-48054-DOC3449203)

19 April 2020

26. [DRC 2]'s first contact with this family occurred at 10:08:07 on 19 April 2020. There are no DocumentView events recorded on [DRC 2]'s audit for this family, on this day, prior to the tagging event at 10:08:07. Which suggests [they] tagged these documents without having viewed them. At 10:08:07, 5 fields on 22 documents in seven families were tagged. Given the exact timing match of the 110 tags this must have been the result of bulk tagging.

27. On 27 March 2020, [Disclosure Officer] had added all 22 documents alongside 1753 others into a folder titled 20200327 Hambleton Hits 2011 Part 1 in [DRC 2]'s folder in the Reviewer Workspace so it is reasonable to infer that [DRC 2] was in the process of reviewing the material in this folder. It is impossible to say if [they] selected all 22 items for bulk tagging

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or selected at least seven of them (At least one from each family) for bulk tagging and had Include Family switched on.

28. The 5 fields tagged were:

- a. GRM Strand Match
- b. Tier 1 Review Complete
- c. Tier 1 Reviewer's Name
- d. Date Completed for Tier 1 Review
- e. Tier 1 Determination.

29. All 22 documents were tagged as Non-relevant. It is impossible to tell definitively if this was an error or intentional but earlier the same day at 09:45:25 7 documents had the same 5 fields tagged with the same values suggesting that this was part of [DRC 2]'s way of working, namely selecting multiple items [they] had determined as non-relevant and then bulk coding them accordingly.

30. The lack of any DocumentView events in the audit record raises the possibility that [they were] not actually looking at the documents but making determinations based on data available in the Autonomy list view (e.g. file titles). I also considered that [DRC 2] may have been bulk coding irrelevant logo files and had accidentally switched on the include family function, However, one of the families tagged by [DRC 2] at 10:08:07 did not include a logo file (GRM01B001453-48054-DOC31783993 & GRM01B001453-48054-DOC31783995) which suggests that this was not what was occurring.

31. Shortly after the bulk tagging of the 22 documents there are DocumentView events for all 22 items between 10:08:11 and 10:34:33. Including two DocumentViewNative events for the Word Document (DOC3449199) at 10:11:03 and 10:11:19. This appears to indicate that

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having bulk coded these items as Non-relevant [they were] then considering them all in more detail. Having opened the word document (DOC3449199) in its native programme at 10:11:19 the next event in [DRC 2]'s audit was at 10:26:33 indicating that [they] reviewed it for a maximum of 15 minutes. At 10:26:33 [they] tagged it with a document description: *"2011/07/13 Report by Serco, by Elaine Bailey, dated 12/07/2011 titled 'Home Affairs MD's Report – June 11' prepared: SCG Home Affairs EMT for period: June 2011 – with the following headings: Executive Summary – Financial Performance; Operational Performance;"*. Over the next two minutes [DRC 2] appears to have looked at the other family members before at 10:28:33 [they] tagged the word document (DOC3449199) as may be relevant. This was the last piece of tagging on 19 April 2020.

32. At this stage the e-mail (DOC3449198) and logo (DOC3449203) were both tagged as Non-relevant and hadn't been described while the word document (DOC3449199) was tagged as May be relevant and had been given a description. None of the three were tagged as meeting the disclosure test and all had been marked as Tier 1 Review complete.

20 April 2020

33. Between 13:05:36 and 13:07:41 [DRC 2] appears to have viewed all three family members again before family tagging all three at 13:07:42 as May be relevant. In addition to tagging them as May be relevant at the same time all three were given the same description: *"2011/07/13 Email from Yvette Carter to Nadine Hambleton with subject: Home Affairs MD Report – attaching the same."* (This overrode the previous description given to the Word documents (DOC3449199)). No further tags were applied to either the e-mail (DOC3449198) or the word document (DOC3449199) (although they were added to and removed from various folders within Autonomy) until 22 April 2021 when [another

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user] completed the Tier 2 fields as part of the SFO's response to the disclosure requests during the trial of Marshall and Woods.

24 April 2020

34. Between 10:53:40 and 10:54:58 on 24 April 2020 [DRC 2] looked at all three documents again until at 10:55:17 [they] changed the logo (DOC3449203) to Non-relevant, updated the Tier 1 Date Completed and deleted its document description. No other documents were tagged at this date and time so we can infer that [DRC 2]'s tags were applied as single document tagging. At 10:55:18 [DRC 2] again viewed the logo (DOC3449203) and the e-mail (DOC3449198), these two Document View events occur at exactly the same time which means that [DRC 2] must have selected the logo file and the e-mail in very quick succession.

Conclusions concerning [DRC 2]'s review

35. Despite reviewing the word document (DOC3449199) for potentially as much as 15 minutes [DRC 2] never tagged it as disclosable suggesting that [they] didn't notice the references to a back dated internal management fee or if [they] did failed to appreciate the significance.

36. The initial tagging of this family as non-relevant without apparently viewing each individual document appears to have been part of [DRC 2]'s methodology as [they] subsequently did view each family member and altered the tags. As noted above this would be consistent with making a preliminary determination based on information in the list view and then going through subsequently to verify the initial determination. It is impossible to know what fields [DRC 2] had showing in [their] list view at the time of the review. This methodology apparently adopted by [DRC 2] has risks associated with it but also benefits from speeding up the review key considerations are below:

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- The most time consuming part of a review is the actual tagging, if you are tagging each item individually then you have to select each tag for every single document and whilst it is a matter of seconds for each tag over time this adds up.
- You can (as shown below in the explanatory notes) derive quite a lot of information from the list view.
- When doing a review like this you often will get lots of either very similar or wholly duplicative material coming up and you get quite familiar with the type of material you are reviewing and can frequently identify wholly irrelevant material from the list view very easily.
- I have used a similar methodology myself, as it allows you to clear out obviously irrelevant material quickly in order to focus your time on the borderline documents.

[DRC 1] (GRM01B001453-48054-DOC3144562 + Family)

37. The family of documents reviewed by [DRC 1] consists of three items:

- d. An e-mail dated 22/07/2011 from Yvette Carter to Nadine Hambleton, CC: Elaine Bailey with the Subject: FW: CIVIL GOVT BOARD MTG – 1 AUG [!] attaching a word document titled BU MD Report May June 2011.docx and an image file title image001.gif (GRM01B001453-48054-DOC3144562)
- e. The word document attached to the e-mail titled Home Affairs MD's Report – June 11, prepared by Elaine Bailey and dated 12 July 2011. This document contained the information that met the disclosure test. (GRM01B001453-48054-DOC3144566)

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- f. A .gif file containing Serco's logo that appears to have been a standard footer in Serco e-mails. (GRM01B001453-48054-DOC3144570)

23 October 2019

38. [DRC 1]'s first contact with this family occurred at 01:41:43 on 23 October 2019. With a Document View of the word file (GRM01B001453-48054-DOC3144566). This occurred at the same time (to the second) as another (unrelated) document was tagged. This suggests that [DRC 1] had tagged the previous document and then to save the tags had clicked on to the next document in [their] batch, which happened to be this word file.

39. A little under 3 minutes later at 01:44:21 there was a second Document View event for the word file (DOC3144566) suggesting that [they] had viewed it in a different tab. 20 seconds after that at 01:44:44 [they] viewed it in Native. This will have allowed [them] to view it in its native program (MS Word). Then a little over a minute later at 01:45:51 [they] applied the following tags to the word file:

- a. Date Completed for Tier 1 Review: 23/10/2019
- b. Tier 1 Review Complete: True
- c. Tier 1 Reviewer's Name: [DRC 1]
- d. GRM Strand: GRM01
- e. Tier 1 Determination: May be relevant

40. At exactly the same time as the tags were applied to the Word file a Document View event was recorded for the e-mail (GRM01B001453-48054-DOC3144562). This suggests that [DRC 1] had tagged the word file (DOC3144566) and then to save the tags had clicked on to the parent e-mail. There followed a series of Document View events of both the e-

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mail and the word file in quick succession. At 01:45:52, there was a Document View event for both the e-mail and word document followed by another two Document View events for the word file at 01:47:18. Also at 01:47:18 the following tags were applied by [DRC 1] to the e-mail:

- a. Date Completed for Tier 1 Review: 23/10/2019
- b. Tier 1 Review Complete: True
- c. Tier 1 Reviewer's Name: [DRC 1]
- d. GRM Strand: GRM01
- e. Tier 1 Determination: May be relevant

41. There was another Document View event for the word file (DOC3144566) at 01:49:05 but no further tags were applied by [DRC 1] to either the word file or the parent e-mail (DOC3144562).

26 November 2019

42. [DRC 1] returned to this family a little over a month later and at 15:47:44 on 26/11/2019, [they] viewed the logo file (GRM01B001453-48054-DOC3144570). A little over a minute later at 15:48:52 there was a second Document View again for the logo file. Just under a minute after that at 15:49:43 there was a Document View for the parent e-mail (DOC3144562) and at the same time the following tags were applied to the logo file:

- a. Date Completed for Tier 1 Review: 26/11/2019
- b. Tier 1 Review Complete: True
- c. Tier 1 Reviewer's Name: [DRC 1]
- d. Tier 1 Determination: Non-relevant.

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43.[DRC 1] subsequently appears to have viewed each member of the family with a Document View of the parent e-mail (DOC3144562) at 15:49:44, the word file (DOC3144566) at 15:49:49 and the logo (DOC3144570) at 15:50:00.

44.No further tags were applied to either the e-mail (DOC3144562), the word document (DOC3144566) or the logo file (DOC3144570) (although they were added to and removed from various folders within Autonomy) until 21 April 2021 when [another user] completed the Tier 2 fields as part of the SFO's response to the disclosure requests during the trial of Marshall and Woods.

Conclusions concerning [DRC 1]'s review

45.Little can be drawn from [DRC 1]'s review. [DRC 1] appears to have reviewed each item individually not using bulk coding or family tagging. When considering the two substantive documents in the family [they have] looked at both around the same time, which suggests [they were] using them to place each other in context. [DRC 1] even appears to have viewed the Word file in native giving the best possible view of it. Between the first Document View for the word file and the tags being applied, it took just over four minutes and the gap between selecting View Native and the tags being applied was only just over a minute. [DRC 1] never tagged it as disclosable suggesting that [they] did not notice the references to a back dated internal management fee or if [they] did, failed to appreciate the significance.

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Other Considerations of these documents

46. In addition to the Audit reports for these three reviewers also attached to this note is an audit report detailing every interaction with these nine documents. In particular, I have looked at who else viewed the three word documents (DOC3144566, DOC3449199 and DOC3454235).

47. Between [DRC 1]'s last view of it on 26 November 2019 and [another user]'s Tier 2 review of it on 21/04/2021 DOC3144566 was added to and removed from various folders primarily by [Disclosure Officer] but also by [Deputy Disclosure Officer] and [another user]. However, it was not viewed again until 13/04/2021, when [Disclosure Officer] and subsequently [Case Controller] viewed it. This appears to be the start of its consideration because of the disclosure requests made by Woods and Marshall during the course of the trial. There is no indication of it being viewed prior to [DRC 1]'s review.

48. Between [DRC 2]'s last view of it on 24 April 2020 and [another user]'s Tier 2 review of it on 22/04/2021 DOC3449199 was added to and removed from various folders by [Disclosure Officer] and [another user]. However, it was not viewed again until 13/04/2021, when [Disclosure Officer] and subsequently [Case Controller] viewed it. This appears to be the start of its consideration because of the disclosure requests made by Woods and Marshall during the course of the trial. There is no indication of it being viewed prior to [DRC 2]'s review.

49. Unlike the two items above DOC3454235 was viewed prior to [DRC 3] review on 21/04/2020. On 23/09/2019 at 12:24:28 [another user] at that stage I believe a trainee investigator working on GRM01 viewed the document (I have not at this stage obtained [their] audit report for the day but it could be done if required). In any event, [they] did not apply any tags and nothing else seems to have flowed from this. This would not have occurred as part of the disclosure review.

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50. Between [DRC 3]'s view of DOC3454235 on 04 May 2020 and my Tier 2 review of it on 21 April 2021 it was added to and removed from various folders primarily by [Disclosure Officer] but also by [another user]. However, it was not viewed again until 13/04/2021, when [Disclosure Officer] and subsequently [Case Controller] viewed it. This appears to be the start of its consideration because of the disclosure requests made by Woods and Marshall during the course of the trial.

Appendixes

- A. [DRC 3] Audit Report 24/04/2020 – 04/05/2020
- B. [DRC 2] Audit Report 19/04/2020 – 24/04/2020
- C. [DRC 1] Audit Report 23/10/2019
- D. [DRC 1] Audit Report 26/11/2019
- E. Full Audit Report for 9 UUIDs

Explanatory Notes:

- I. Within the audit reports attached as appendixes to this report one of the columns of data is titled Epoch. The Epoch value is the way in which Autonomy can store Date/Time information in a single number and you can calculate the Date/Time from it. By applying an excel formula: `=TEXT((EPOCHVALUE/86400+1/24)+DATE(1970,1,1),"dd/mm/yyyy hh:mm:ss")`
- II. This note references a number of the Tags reviewers applied, each one has its common name, which is how it appears in the User Interface (UI) that the reviewer sees and then its formal name in the back-end of Autonomy, which is what appears in the Field column in the audit reports. Full details of these tags is set out below:

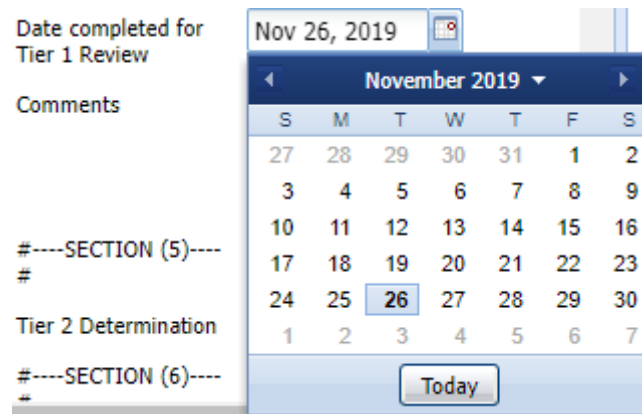
- a. **Date Completed for Tier 1 Review = TIER_ONE_DATE_COMPLETED_NUMERICDATE:** - This should be populated by the reviewer to show the date they

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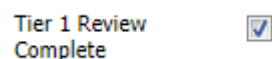
completed their review of the item in question, within the Audit reports this is recorded in the Epoch value and can be converted to a date/time using the formula above. It appears as below in the UI:



When the reviewer clicks on the calendar icon then a full calendar appears and they can select the date they want:



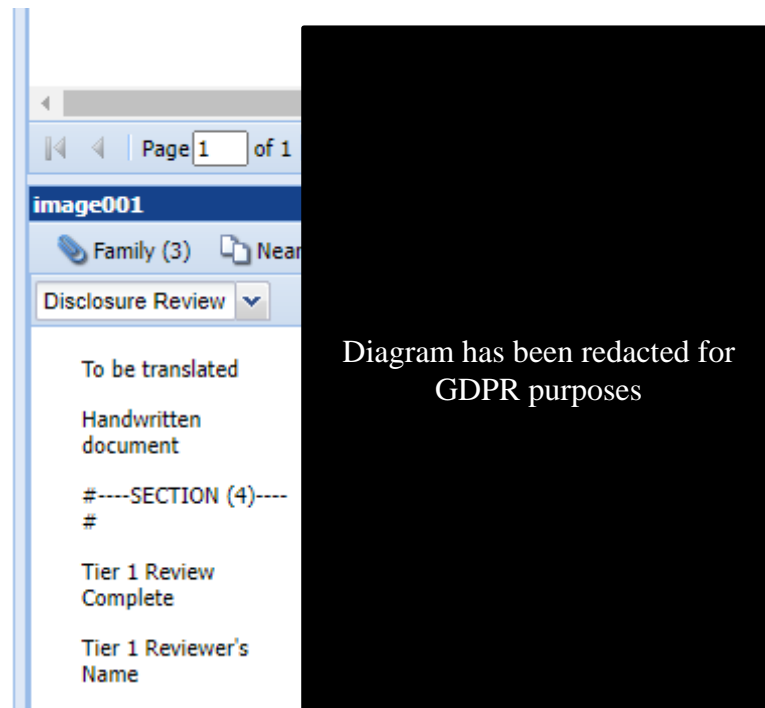
- b. **Tier 1 Review Complete** = **INTROSPECT_TIER_1_REVIEW_COMPLETE**: This is a check box which the reviewer should tick once they have finished reviewing the item to confirm that all fields that should be populated have been. In the audit reports if the box has been checked it will appear as a 1 in the value column, if the box is unchecked it will appear as a 0.



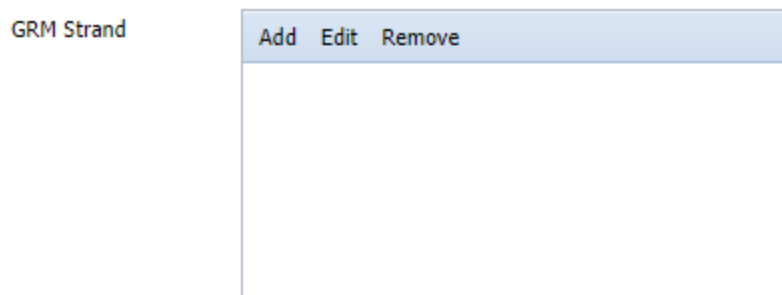
- c. **Tier 1 Reviewer's Name** = **INTROSPECT_TIER_1_REVIEWER**: This is a drop down menu that contains all the names of the people on the case team who have ever been authorised to review material on the case (due to the shared scope of the

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GRM01 Autonomy area, this includes GRM02 case team members). The reviewer can select any name appearing there but should only select their own name:

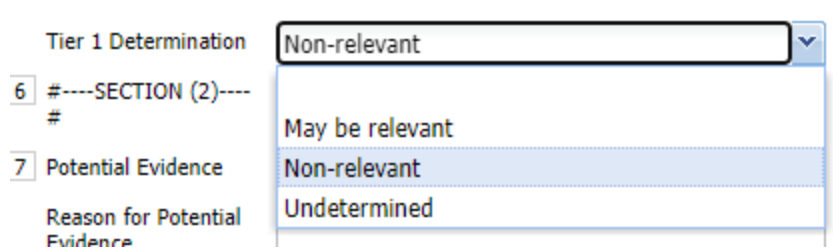


- d. **GRM Strand = GRM_STRAND_MATCH:** This is a field unique to GRM01 and was created due to the shared nature of the Autonomy area. In practice, it did not serve its purpose as the GRM02 team ended up using a completely different tagging panel and my understanding is that it has only been completed sporadically. The reviewer can either add or remove any of the three possible tags (GRM01, GRM02 or GRM03) so a document can be tagged with any combination of the three.

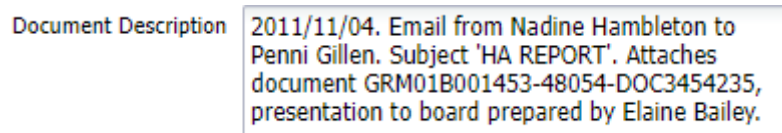


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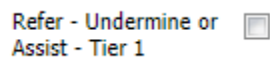
- e. **Tier 1 Determination = TIER_ONE_DETERMINATION_MATCH:** This is a drop down menu with three options, May be relevant, Non-relevant and Undetermined:



- f. **Document Description = DOCUMENT_DESCRIPTION:** This is a free text box into which the reviewer can write anything they think appropriate to describe the item:



- g. **Refer - Undermine or Assist - Tier 1 = TIER_ONE_UNDERMINE_OR_ASSIST_NUMERIC:** This is a check box, which the reviewer should check if they consider that the item might meet the test for disclosure. In the Audit reports the value appears as 1 if the box has been checked or 0 if it has been unchecked:



- h. **Reason for Undermine or Assist - Tier 1 = TIER_ONE_UNDERMINE_OR_ASSIST_REASON_MATCH:** This is a free text box where the reviewer can write what they like to explain why they have checked the box **Refer - Undermine or Assist - Tier 1**.

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Reason for Undermine
or Assist - Tier 1

- III. In the Audit reports where the value for a field is 1 this will normally indicate that the field is a check box that has been checked equally where that value is 0 it will normally indicate that a check box has been unchecked.
- IV. I am not aware of any technical faults within the Autonomy system that could lead to a tag changing without action by a reviewer.
- V. The Autonomy User Interface uses a system of different tabs to allow different views of the data held within the system. These can be broadly placed in two Categories:
- a. Navigation Tabs – these tabs are primarily used to navigate the data held within the Autonomy System and provide different ways of viewing multiple items:

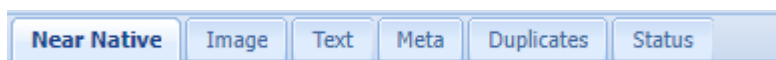


- i. Folder View Tab (Showing 00. Document Library in the example above) – Data in Autonomy is structured by being stored in multiple folders. This tab is always open and will show the contents of any folder selected by the user, this could be a top-level folder within the document library holding millions of items or it could be a user created folder containing a smaller number.
- ii. Search tab – This does not show documents but allows the user to search for material using various different search functions.
- iii. Search Results List tab – This shows a list of items that have most responded to the most recently run search terms.

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- iv. Family tab – This can be accessed by selecting the family button when already viewing a document; it will display all other items that form part of the same family of documents. For example if you are viewing an e-mail with an attachment in the Search Result tab and select the family button then the family tab will open and show both the parent e-mail and the attachment which can then be selected for view.
 - v. Near Duplicates – This can be accessed by selecting the Near Duplicates button when already viewing a document; it will then display all the documents that the system can identify that either full duplicates or Near Duplicates and it will rank them by their level of similarity to the document being viewed. For example if you are viewing an e-mail and select the Near Duplicates button it could bring up one exact duplicate of the e-mail you are already viewing alongside three further items from different points within the same e-mail chain.
 - vi. Message Tracer – This can be accessed by selecting the Message Tracer button when already viewing an e-mail; it is supposed to display all the senders and recipients as well as other e-mails in the same chain, in practice this is rarely used as it is unreliable in producing a complete set of linked e-mails.
- b. Document View tabs – these tabs provide different ways of viewing data from a single document:



- i. Near Native tab – this displays the content of the document in a facsimile of how it would appear when opened in its native software, this will normally contain the majority of


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the information in the document in a reconstruction of the formatting but will display complex formatting poorly. For example the start of DOC3454235 appears as below in Near Native vs it's appearance in its Native software Word:

Prepared for: Civil Government Q3 Board Meeting
Prepared by: Elaine Bailey, MD Home Affairs
Date: 22 July 2011

A. EXECUTIVE SUMMARY
i. FINANCIAL PERFORMANCE

Near Native

Bringing service to life 

Civil Government Q3 Board 2011 – Home Affairs MD's Report

Prepared for: Civil Government Q3 Board Meeting
Prepared by: Elaine Bailey, MD Home Affairs
Date: 22 July 2011

A. EXECUTIVE SUMMARY
i. FINANCIAL PERFORMANCE

Word

As can be seen Near Native does not display Header information correctly

- ii. Image tab – this displays an image of the document (normally in TIFF format) this is normally the equivalent of a black and white print out of the document in question, the whole thing will appear here as an image so the text cannot be selected. An example of the same document in this view is below:



SFO

serious
fraud
office

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Bringing service to life

serco

Civil Government Q3 Board 2011 – Home Affairs MD's Report

Prepared for: Civil Government Q3 Board Meeting
Prepared by: Elaine Bailey, MD Home Affairs
Date: 22 July 2011

A. EXECUTIVE SUMMARY

i. FINANCIAL PERFORMANCE

- iii. Text tab – this displays all of the text found within the document but without any formatting at all, the text can be selected and searched but obviously the formatting is missing. An example of the same document in this view is below:

Civil Government Q3 Board 2011 – Home Affairs MD's Report

Serco Internal
Page of 3
Serco Internal
Serco Internal
Serco Internal
Serco Internal

Prepared for: Civil Government Q3 Board Meeting
Prepared by: Elaine Bailey, MD Home Affairs
Date: 22 July 2011

EXECUTIVE SUMMARY
FINANCIAL PERFORMANCE

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- iv. Meta tab – This tab contains all the available metadata for the item being viewed. An example of the same document in this view is below:

Field ▲	Value
☰ Dates and Times	
DREDATE	Fri Nov 04 15:04:00 GMT 2011
FILECREATEDTIME	Fri Nov 04 15:04:00 GMT 2011
FILEMODIFIEDTIME	Mon Jul 25 11:33:00 BST 2011
LASTSAVE_DTM	1311589980
☰ Document Identifiers	
DREPARENTREFERENCE_ID	GRM01B001453-48054-DOC3454233
DREROTFAMILYREFERENCE_ID	GRM01B001453-48054-DOC3454233_FUID
FAMILYMD5	GRM01B001453-48054-DOC3454233_FUID
MD5	a95db7db0109672a974d0106502e6944
UUID	GRM01B001453-48054-DOC3454235
☰ Document Properties	
AUN_CUSTODIAN	GRM01B001453
AUTHOR	pupadhyay
DOCUMENTCLASS	1
DOCUMENTTYPE	321
DREORIGINALNAME	CG Q3 Board - Home Affairs MD's Report - 01.08.11
DRETITLE	PREPARED FOR: SCG Home Affairs SMT
FILESIZE_NUMERIC	232352
FILETYPE_PARAMETRIC	.docx
TITLE	PREPARED FOR: SCG Home Affairs SMT
TYPE	Attachment

- v. Duplicates tab – This tab will show a list of **exact** duplicates of the document being viewed. None of the nine items considered by this note display any duplicates in this tab.
- vi. Status tab – This tab contains information about the status of the document being viewed in Autonomy. These are split into 3 groups:
 1. Folders – This shows which folders within Autonomy the document has been stored in. An example of the same document in this view is below:



SFO

serious
fraud
office

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Diagram has been redacted for GDPR purposes

- 20210420 GL Document
- 20200130_Serco_001
- Total Hits
- Overturned Items
- 20201110 Unused Number Exists
- 20210416 - Serco Docs previously tagged 'Refer undermine or Assist - Tier 1' ticked now un-ticked (1089)
- Serco 3
- E-mails with family
- Nadine Hambleton
- 20201113 Unused Item Numbers
- 20200206 Serco MBR No Description
- 20200518 Serco MBR
- (3) CG Board meeting
- 20200731 Serco Pt Blue 2
- GRM01B001453
- minutes

Diagram has been redacted for GDPR purposes

2. Tagging History tab – This displays the history of the tags applied to the document being viewed and the user that applied them. It is not as comprehensive as the Audit reports as it does not include Document View events. An example of the of the same document in this view is below:

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Diagram has been redacted for GDPR purposes

Changed	Value	Field
Added To Folder	108800	FOLDER:ADDED_TO
Added To Folder	120567	FOLDER:ADDED_TO
Added To Folder	120568	FOLDER:ADDED_TO
Added To Folder	120568	FOLDER:ADDED_TO
Added To Folder	120643,Serco Bag GRM01B001453 Sea...	FOLDER:ADDED_TO
Added To Folder	132828	FOLDER:ADDED_TO
Added To Folder	133810,20200130_Serco_001	FOLDER:ADDED_TO
Added To Folder	133810,20200130_Serco_001	FOLDER:ADDED_TO
Added To Folder	133909	FOLDER:ADDED_TO
Removed From Folder	133909,20200205 Serco No Determinati...	FOLDER:REMOVED_FROM
Added To Folder	133916,20200206 Serco MBR No Descri...	FOLDER:ADDED_TO
Added To Folder	135537	FOLDER:ADDED_TO
Added To Folder	135538	FOLDER:ADDED_TO
Added To Folder	135587,20200327 Hambleton Hits 2011 ...	FOLDER:ADDED_TO
Tier 1 Determination	May be relevant	TIER_ONE_DETERMINATION_MATCH
Refer - Undermine or Assist - Tier 1	1	TIER_ONE_UNDERMINE_OR_ASSIST_NUMERIC
Tier 1 Review Complete	1	INTROSPECT_TIER_1_REVIEW_COMPLETE

Diagram has been redacted for GDPR purposes

3. Annotation History tab – This displays the history of any redactions that have been applied to the document being viewed. None of the nine items considered by this note display any information in this view.

VI. The List View is how documents are displayed in the Folder View, Search Results and Near Duplicates Navigation Tabs. Below is a list view of the nine documents this note considers:

Score	Att.	UUID	Email Sent Date	Title	Recipient	Sender
96.00		GRM01B001453-48054-DOC3144562	2011/07/22 16:25	FW: CIVIL GOVT BOARD MTG - 1 AU...	Nadine Hambleton </o=serco exchange/ou=exchange administrative group (fydibohf...>	Yvette Carter </o=serco exchange/ou=first administrative gr...
96.00		GRM01B001453-48054-DOC3144566		PREPARED FOR: SCG Home Affairs ...		
96.00		GRM01B001453-48054-DOC3144570				
96.00		GRM01B001453-48054-DOC3449198	2011/07/13 16:26	Home Affairs MD Report [J]	Nadine Hambleton </o=serco exchange/ou=exchange administrative group (fydibohf...>	Yvette Carter </o=serco exchange/ou=first administrative gr...
96.00		GRM01B001453-48054-DOC3449199		PREPARED FOR: SCG Home Affairs ...		
96.00		GRM01B001453-48054-DOC3449203				
96.00		GRM01B001453-48054-DOC3454233	2011/11/04 15:04	HA REPORT	Penni Gillen </o=serco exchange/ou=first administrative group/cn=recipients/cn=pgil...>	Nadine Hambleton </o=serco exchange/ou=exchange adm...
96.00		GRM01B001453-48054-DOC3454235		PREPARED FOR: SCG Home Affairs ...		
96.00		GRM01B001453-48054-DOC3454238				

The list view can be customised by each reviewer so they can choose which columns to display and in what order to sort the entries.