



Document Imaging System Administration Guide

Table of Contents

- Using this Manual..... 4**

- How to Begin..... 5**
 - Create a Document Inventory List 5

- Conversion Approach 7**

- ES Imaging Anatomy and Features**
 - Anatomy..... 8
 - Multiple Item Selection..... 9
 - Shortcuts..... 9

- Folder Configuration**
 - Preparation for Folder Configuration 10**
 - Folder Structure 10
 - Preparation for Capture and Index Configuration 11**
 - Static and Dynamic Folders..... 12
 - Common Folder Needs..... 13
 - Search Needs 14
 - Folder Naming Scheme..... 15
 - Indexing Folder Destination..... 15
 - How Indexes Impact Indexing 19
 - Indexing Behavior Settings 21
 - Scanned Documents "Inbox" 21
 - Capture and Index User Groups 22
 - Establishing Folder Structure 23**
 - Creation of the System Root..... 23
 - Creation of Folder Types..... 23
 - Creation of Folders..... 24
 - Capture and Index Configuration 25**
 - Creation of Keyword Types..... 25
 - Creation of Dynamic Names 26
 - Updating Folder Type with Index Settings 26

Administration Guide

Creation of Capture and OCR Queues	27
Updating a Capture Queue Name	27
Creation of an Folder Index	28
Creation of an Document Index	29

Security Administration

Preparation for Security Administration	30
Functions	30
Types of Permission Settings	30
Group Permissions	31
User Permissions.....	31
Permission Levels	31
System Default Permissions.....	32
Object Type Permissions	32
Object Permissions.....	32
Permission Hierarchy	33
Permission Hierarchy when User in Multiple Groups.....	33
Preset User Permissions	33
Establishing User Accounts.....	35
Establishing Security	36
Setting System Default Permissions	36
Creation of Groups.....	37
Adding Users to Groups.....	37
Setting Object Type Permissions.....	38
Setting Object Permissions	39

User Interface

Preparation for User Interface Configuration.....	40
User Interface Overview	40
User Interface Configuration	41
Setting User Interface Permissions	43

Using this manual

This guide contains both the preparation steps and technical guidance needed to configure and customize ES Imaging. Before proceeding with the configuration, please be certain to review the preparation sections outlined within this document. These sections should be followed sequentially, since there are many areas that are dependent upon others. The preparation sections will reduce the time needed to setup the folder/file structure and security permissions and will eliminate rework later.

The color scheme and technique used throughout this manual are described below:

Designates preparation and/or analysis steps

Designates steps to be performed within ES Imaging

***ES Imaging
Terms***

Used for terms and notes which are specific to ES Imaging.

***Quick Tips and
Shortcuts***

Used for alternate methods to perform the designated function.

How to Begin

Before delving into setting up the folder/file structure of ES Imaging, it is important to understand the *business problems of your organization* that prompted the decision to purchase imaging software. If the business problem is “unable to locate files in an efficient manner”, then identify and document the specific shortcomings, so they can be addressed. If the business problem is “inability to access files from offsite location”, then be certain to understand those needs, so consideration can be given in this area.

Create a document inventory list

Identify the scope of the initial effort to convert paper into electronic documents. Be certain to know what is included and what is not. Consider starting with one department at a time, to enable a smooth, more manageable transition period.

Once the in-scope documents are identified, elaborate further and document the following for each type of document. See the “*Preparation for Folder Configuration*” and “*Preparation for Capture and Index Configuration*” sections for additional guidance.

- **How created?**

Is the document created at your organization or is it received from an external organization?

Scan/Import

- **How labeled?**

How is the document named for filing purposes? Is it named with client/customer name or account number?

Dynamic Name

- **How filed?**

Are the documents filed by year, category and client, or is some other filing system used? Is this current filing structure sufficient?

**Folder
Structure**

- **How to categorize?**

What type of document is it? This may result in multiple levels of categories, such as Insurance, Homeowner’s Insurance.

- **How retrieved?**

How are the current documents searched? What information is available when looking for a document? Are there situations that a document is not found, simply because the filing method does not provide for this need?

**Index/
Keywords**

Administration Guide

- **Who can access?**

Are there limited people that can view the document? Who is the document routed to for approval and are notations necessary at each step? What role will each person require? Global viewing or limited viewing (only designated folders)? Administrative functions, indexing or capturing?

**Security
(Permissions)**

- **What is the rough count of paper documents?**

For each type of document, what is the volume of paper received/sent? What is the volume of the historical and current filed documents?

**Conversion
Approach**

Conversion Approach

Once the above analysis is complete, decisions can be made as to whether to convert all old paper files into electronic documents. There are three basic approaches to choose when making this decision.

- First, a *scan forward* approach allows for a quicker startup, and is suitable when historical files are not routinely accessed. If this approach is chosen, an effort to convert these at a later time might also be appropriate.
- Second, a *hybrid* approach of only converting specific document types (such as invoices) based on the business needs of the organization. This is a good approach, when some of the historical files may be critical to the organization, while other files are not.
- Third, a *full conversion* of all historical files may be the best approach for the organization. A decision will need to be made as to whether to convert the files prior to implementing ES Imaging, or to have this process happening concurrently.

If the *hybrid* or *full conversion* approach is selected, there are many companies available that offer file scanning services to back scan paper documents. This service assists with back scanning so the organization can continue their routine business and adjust to the imaging system more easily.

For documents that already exist in electronic form, the *import* and *print routing features* of ES Imaging makes this task simple. See the ES Imaging User Manual for detailed instructions.

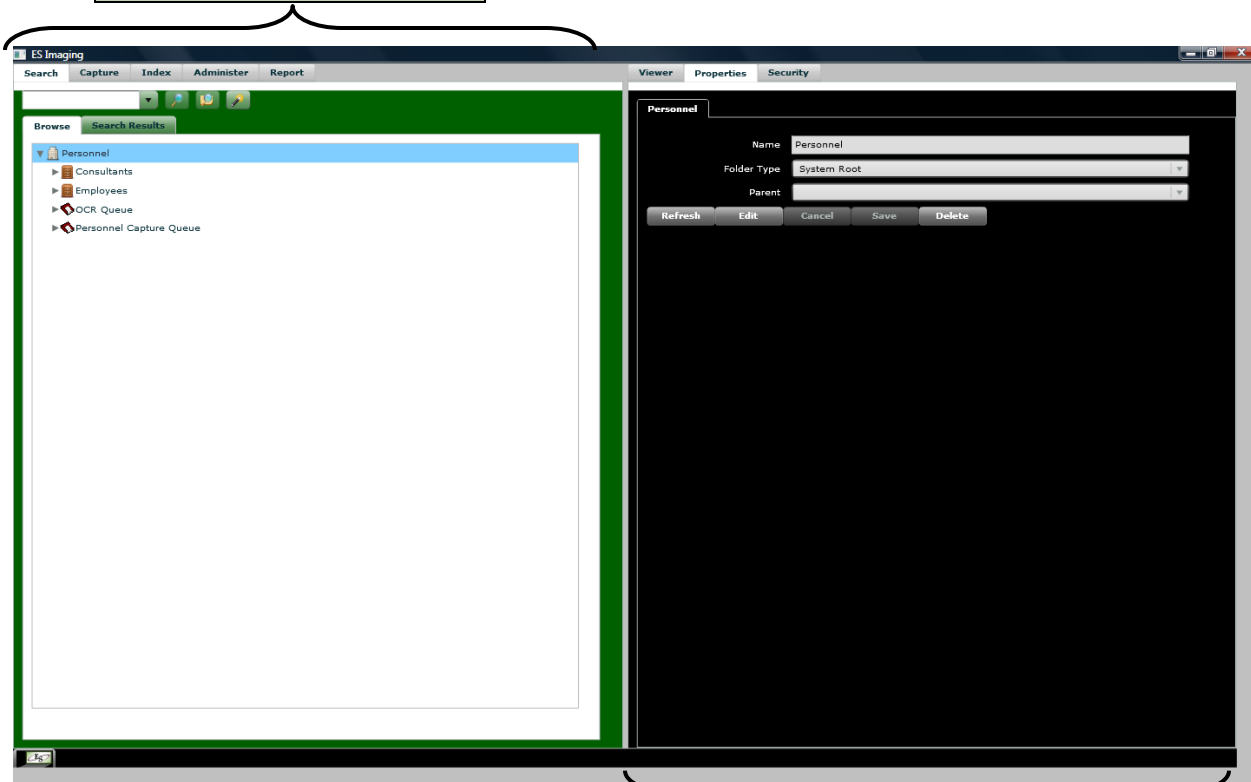
ES Imaging Anatomy and Features

A general understanding of the structure of ES Imaging is necessary before beginning administrative tasks. ES imaging uses a familiar tree structure and dual panels to provide an intuitive user interface and experience. Tabs and buttons are used to easily navigate from page to page. User interface is controlled with a combination of permissions (see “Preparation for Security Administration” section) and user interface settings (see “Preparation for User Interface Configuration” section).

Quick Tip – see the “Preparation for User Interface Configuration” section for an explanation of each tab.

Left Panel

- Search/Browse
- Copy/Cut/Paste
- Import/Export



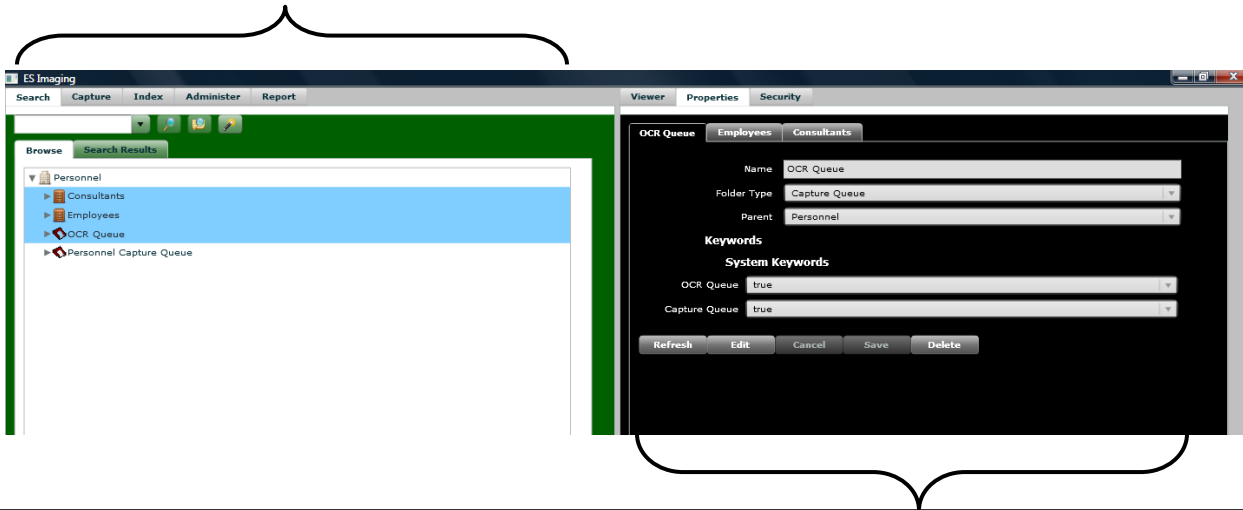
Right Panel

- View/Markup/Print
- View/Edit Properties
- View/Edit Security

Administration Guide

Multiple Item Selection

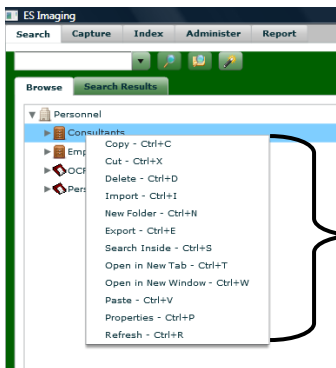
- To select consecutive items: Hold the Shift key and click on required items.
- To select non-consecutive items: Hold the Ctrl key and click on required items.



When selecting multiple items, the right portion of the screen will contain multiple tabs which are named with the selected items. This allows toggling back and forth from item to item. If changes are made to one of the items, a message is displayed prompting for saving or cancelling the changes.

Shortcuts

Several functions have built-in shortcuts to eliminate extra keystrokes or provide for the inability to right click (right click is unsupported within both a web browser and macintosh).



Copy – **Ctrl + C**
Cut – **Ctrl + X**
Delete – **Ctrl + D**
Import – **Ctrl + I**
New Folder – **Ctrl + N**
Export – **Ctrl + E**
Search Inside – **Ctrl + S**
Open in New Tab – **Ctrl + T**
Open in New Window – **Ctrl + W**
Paste – **Ctrl + V**
Properties – **Ctrl + P**
Refresh – **Ctrl + R**

Preparation for Folder Configuration

Once ES Imaging is installed, there will be a temptation to rush into the configuration so that the organization can benefit from the use of electronic documents. However, the more completely the needs of the organization are understood the more seamless the transition.

One of the first considerations is the *structure of folders/files* and the *searching needs* of the organization. A clear and thorough knowledge of the organizational needs will make subsequent steps much easier for the administrator (see the “*How to Begin*” section).

Folder Structure

In the “*How to Begin*” section, the creation of a document inventory list was suggested. This list is essential in the creation of the folder structure within ES Imaging. From the steps where documents were categorized and the filing systems were defined, the hierarchy and relationship of folders begin to take shape.

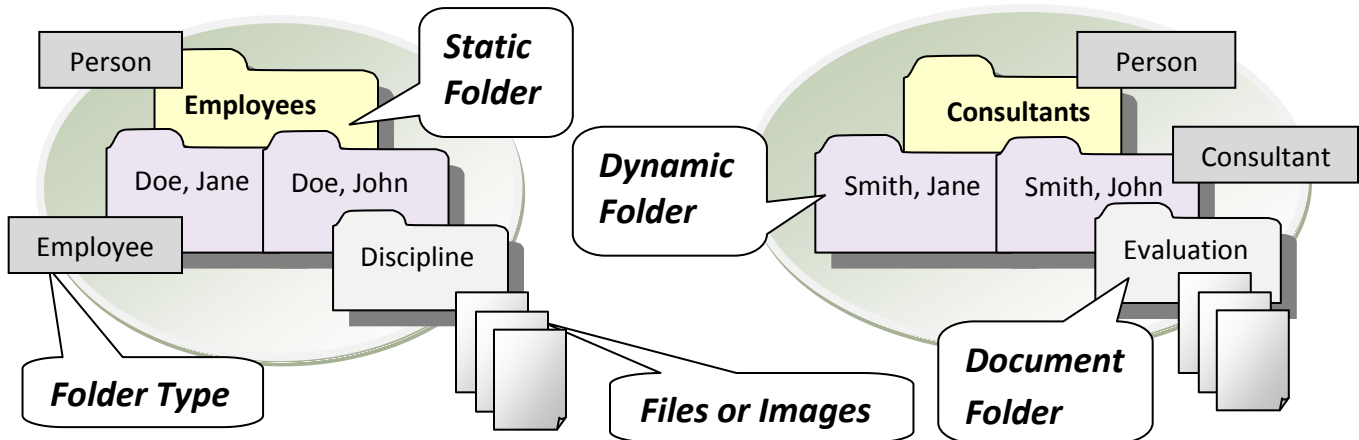
Folders

Identify and document the structure of the categories and the sub-categories until all security and search needs have been considered. If any of the categories or sub-categories have conflicting security or search needs within themselves, this would imply that another category/sub-category should be created.

Folders that are created by the administrator are referred to as *static folders* and those created during indexing are called *dynamic folders*. When there are several static or dynamic folders with identical search and index needs, these folders should be set up with the same *folder type*.

Folder Types

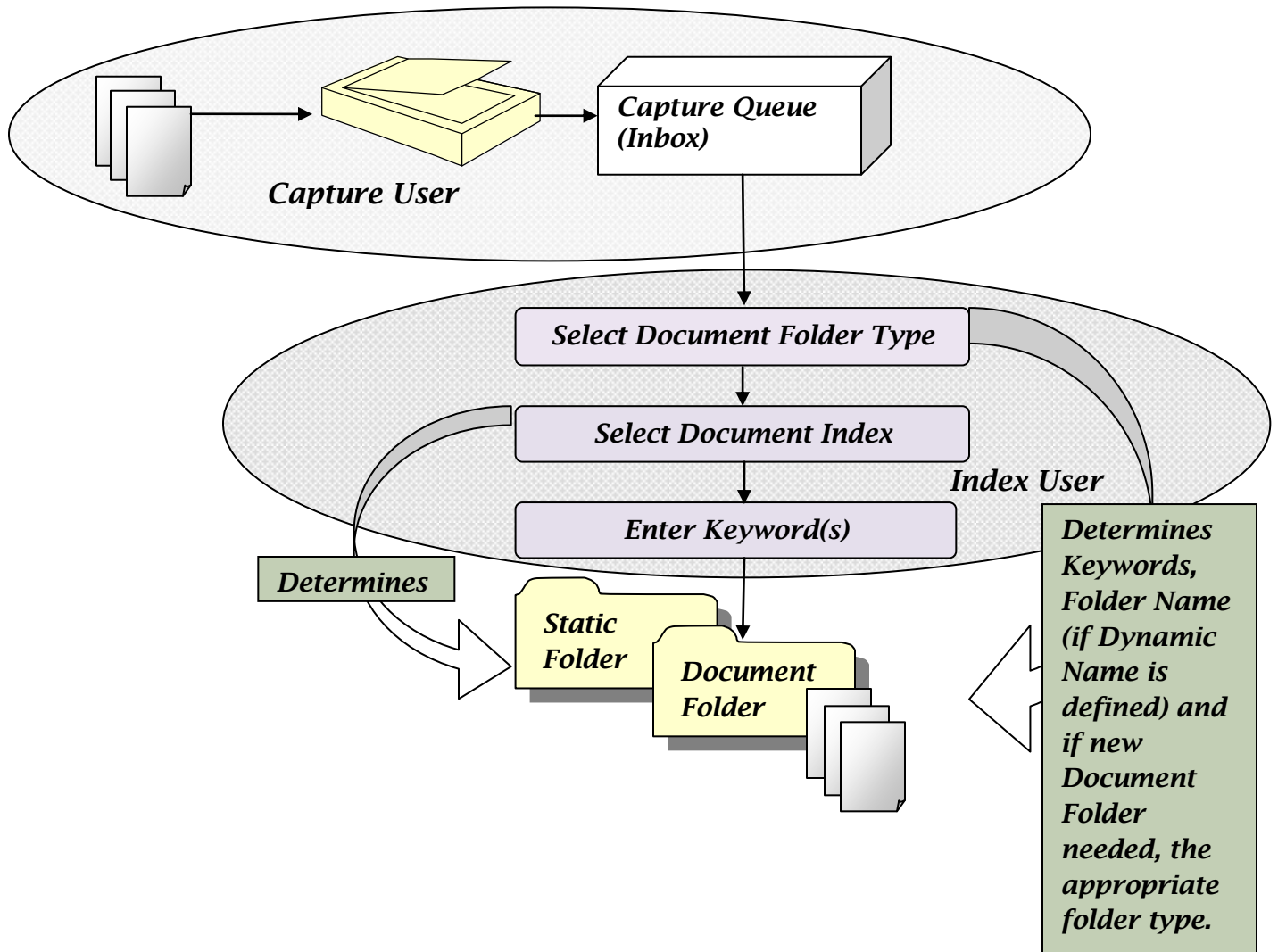
As shown below, the lowest folder level is called a *document folder* and is referred to as such within ES Imaging. Pages that are placed into the *document folder* are called *files* or *images*.



Preparation for Capture and Index Configuration

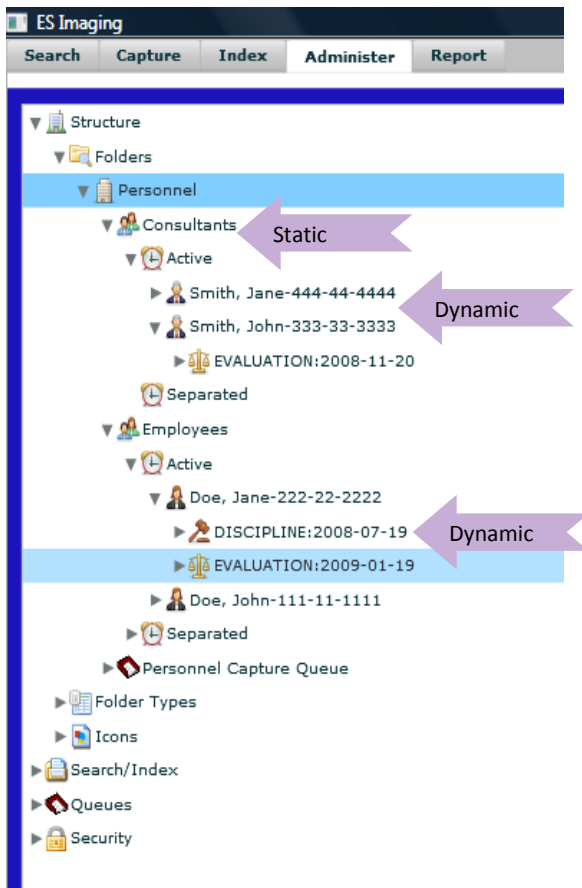
The *capture* and *index* functions within any imaging system are vital to the effectiveness of locating and retrieving folders/files. While the administrators are responsible for setting up the folder/file structure, the individuals scanning and indexing have an equally important role. The folders/files will be difficult to retrieve if not indexed accurately. In order to index effectively, the administrator needs to take special care to establish index settings correctly.

Before moving on to the individual components of capture and index, see the below overview of this process.



Static and Dynamic Folders

In order to adequately explain the index structure, let's begin with a sample folder structure. The administrator may want to begin with the end in mind when establishing the initial folder structure in ES Imaging.



As shown, the Personnel folder consists of a *static* “Consultants” and “Employees” folder. Within each of these are “Active” and “Separated” *static folders*. Within each of these is the actual folder for a specific person. And within each person’s folder is an “Evaluation” and/or “Discipline” document folder.

In structure shown, the “Consultants, “Employees”, “Active” and “Separated” folders are all *static* and are created by the administrator. The individual person’s folder and the “Evaluation” and “Discipline” folders are *dynamic* and are created during indexing.

Refer to the folder structure previously identified for your organization. Label each folder with whether it is *static* (known and setup by the administrator) or if it is *dynamic* (*created during indexing*). If not previously done, label each folder with *keywords* useful for searching and for each *dynamic* folder, the *dynamic naming* scheme to be used when folders are created.

Common Folder Needs

Several folders may share common needs and therefore can use a common *folder type*. For each static *folder*, determine whether there are others at the same folder level that are similar.

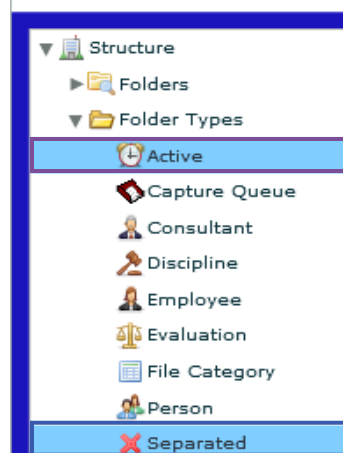
Folder Types

Folder Type

The “Consultants” and “Employees” folders are both similar and neither will require *keywords* associated to them. Additionally, these folders share the same icon. Therefore a folder type of “Person” will be created, so that settings can be shared by both static folders. Since files will not be placed directly into this folder level, the “Use in Capturing” and “Use in Indexing” are set to “false”.

On the other hand, the “Active” and “Separated” static folders (shown below) do not require keywords but they do require different icons to be more user-friendly. Consequently, both of these static folders will have a unique folder type.

Like the “Person” folder type, these folders do not have keywords and will not have files indexed to them.

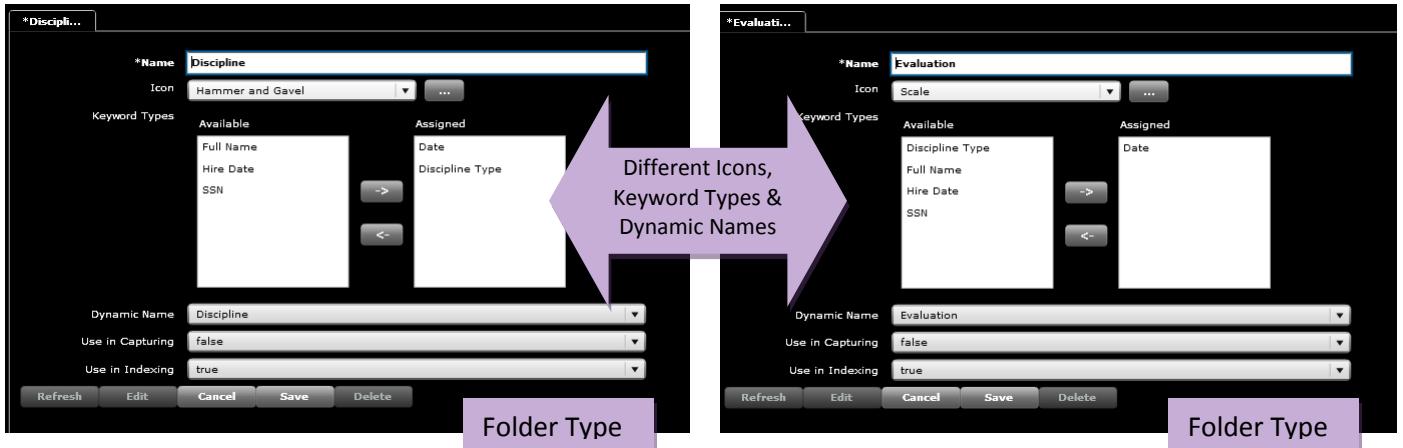


Folder Type

Folder Type

Different Icons

Administration Guide

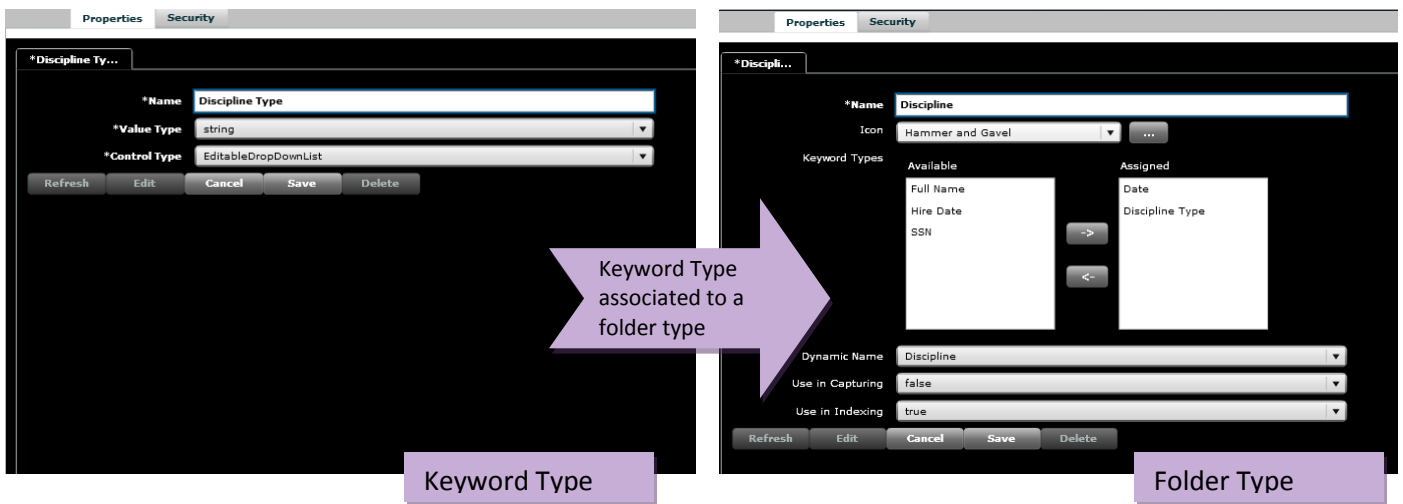


For each dynamic folder (such as “Discipline” and “Evaluation”) a different *folder type* will be necessary, since these folders have different *icons*, *keywords* and possibly *dynamic naming* schemes (as shown above). It is important for the administrator to note that these *folder types* created for *dynamic folders* will not be associated to a folder until indexing.

Search Needs

In order for files to be searched by appropriate criteria, *keyword types* will need to be set up and attached to the appropriate *folder type(s)* by the administrator. Without *keyword types*, only the contents of a *folder name* can be searched.

Keyword Types



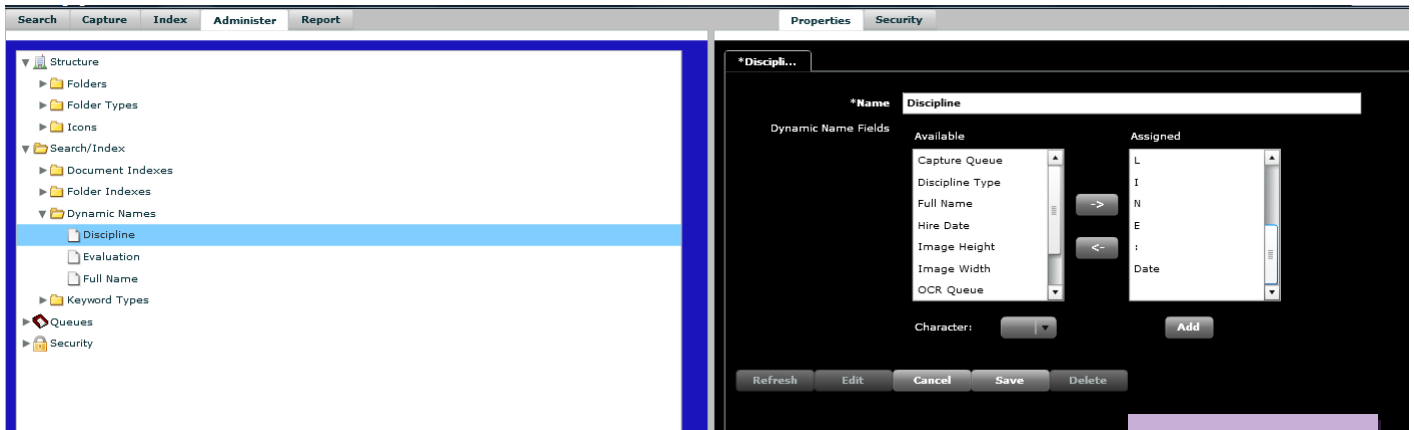
All files placed into the “Discipline” folder need to provide for searching by “date” and “discipline type”. These search attributes are all considered *keyword types* and are associated to the “Discipline” *folder type*. By doing so, when documents are indexed, each of the values for the “date” and “discipline type” *keywords* should be entered. This process ensures that each document placed in the system, can later be efficiently accessed.

Folder Naming Scheme

The *dynamic name* scheme is built by the administrator using a combination of *keywords* and *special characters*. When *keywords* are assigned during indexing, the *document folder* is created according to the established *dynamic name* scheme, if the document folder does not already exist.

Dynamic Name

The “Discipline” folder has a dynamic name that appends the *date* (entered during indexing) to the word “Discipline”. This is accomplished with a combination of a *keyword type* and *dynamic name*. A *dynamic name* scheme may also consist of a character string without any keywords.



Dynamic Name

Indexing Folder Destination

Both *document* and *folder indexes* are used during indexing to direct the scanned files to the appropriate location. These indexes assist the *index user* by reducing the typing necessary during the index process.

The *document index* contains the *static folder* (or path) destination where files will be placed. This index can also be thought of as the predetermined folder for indexed file, as it is a known folder and is established by the administrator during folder configuration.

Document Index

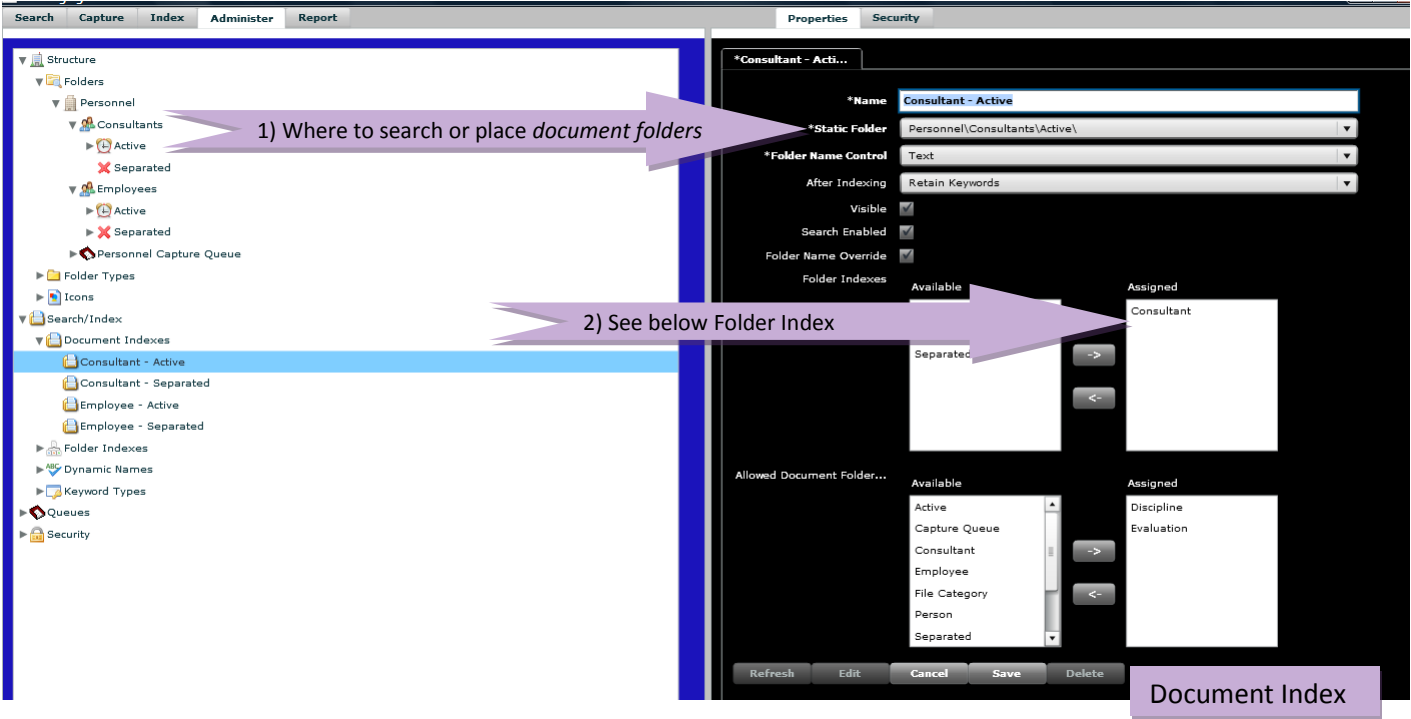
Folder index(es) are established and then associated to the appropriate *document index(es)* to provide further direction as to where the files will be placed during indexing.

Folder Index

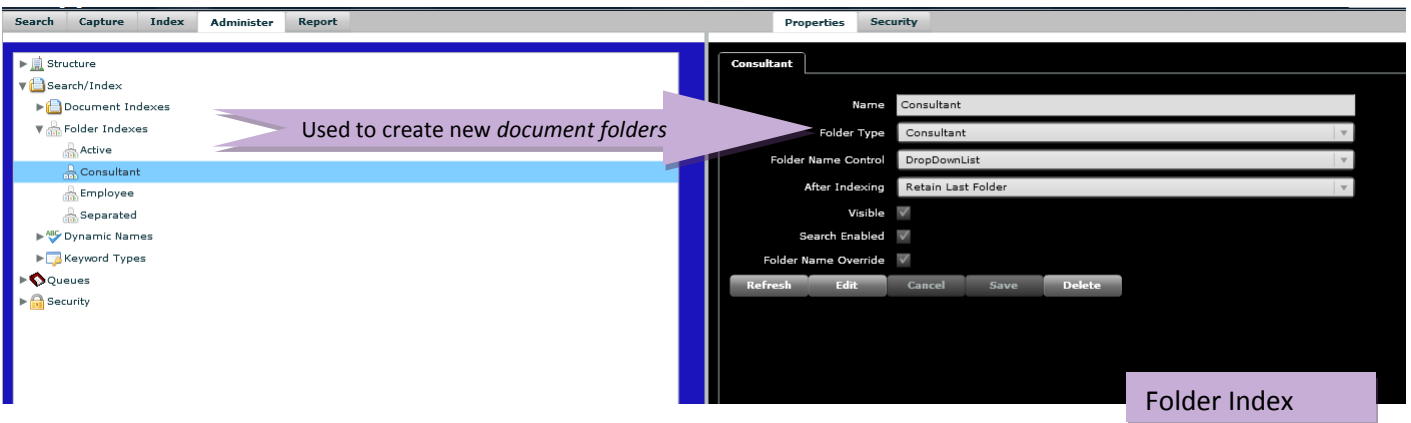
Administration Guide

The **first technique** that can be used for establishing indexes is to set up a separate *document index* for each static path.

As shown below, there are four *document indexes* that correspond to the “Active” and “Separated” folders within both “Consultants” and “Employees”. This technique is suitable when the number of static paths is limited to less than eight possibilities.



Each folder that can be created during indexing must have an associated *folder index*. The *folder index* is used when a *dynamic folder* is created during indexing so the system knows the correct *folder type* designation.



The “How Indexes Impact Indexing” section will cover indexing in more detail.

Administration Guide

The second technique that can be used for establishing indexes is to set up a shared *folder index* for each static path level.

As shown below, there are two *document indexes* that correspond to the “Consultants” and “Employees” static folders. This technique is suitable when the number of static paths is eight or more, or when this number is expected to increase with time.

The screenshot shows the software interface with a left-hand pane displaying a folder structure under 'Search/Index/Document Indexes'. The 'Consultant' folder is highlighted. A purple arrow labeled '1) Where to search or place document folders' points to this folder. The right-hand pane shows the configuration for the '*Consultant' document index. It includes fields for '*Name' (Consultant), '*Static Folder' (Personnel\Consultants\), and '*Folder Name Control' (DropDownList). Below these are checkboxes for 'Visible', 'Search Enabled', and 'Folder Name Override', all of which are checked. There are two lists: 'Folder Indexes' and 'Allowed Document Folder...'. The 'Folder Indexes' list has 'Employee' in the 'Available' column and 'Status Consultant' in the 'Assigned' column. The 'Allowed Document Folder...' list has 'Active', 'Capture Queue', 'Consultant', 'Employee', 'File Category', 'Person', and 'Separated' in the 'Available' column, and 'Evaluation' and 'Discipline' in the 'Assigned' column. A purple box labeled 'Document Index' is at the bottom right of the configuration pane.

With this technique, a *folder index* for each folder that can be created during indexing there must also be a common *folder index* for each level in the *static folder* path destination. The *folder indexes* must be added in the order which they should appear in the folder hierarchy.

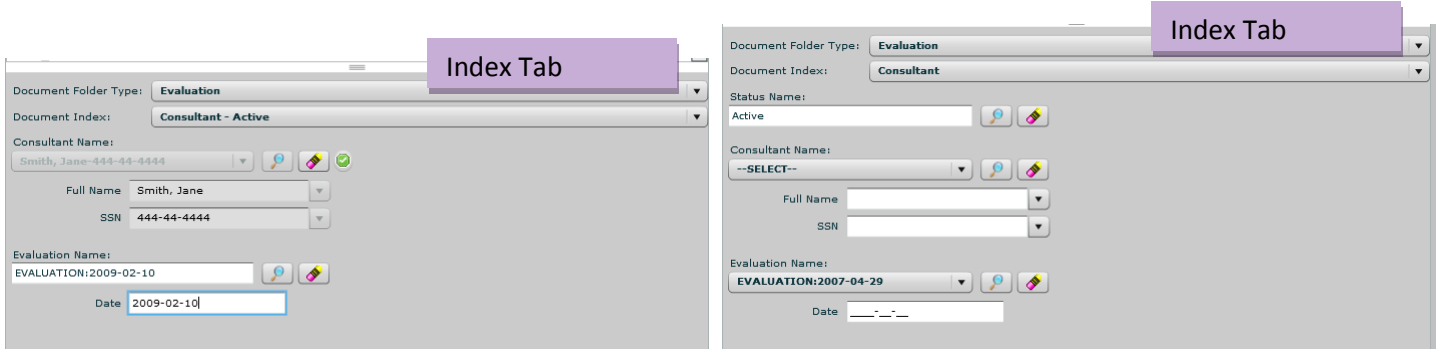
The screenshot shows the configuration for the '*Status' folder index. It includes fields for '*Name' (Status), '*Folder Type' (Status), and '*Folder Name Control' (Text). Below these are checkboxes for 'Visible', 'Search Enabled', and 'Folder Name Override', all of which are checked. A purple box labeled 'Folder Index' is at the bottom right of the configuration pane.

The screenshot shows the configuration for the '*Consultant' folder index. It includes fields for '*Name' (Consultant), '*Folder Type' (Consultant), and '*Folder Name Control' (DropDownList). Below these are checkboxes for 'Visible', 'Search Enabled', and 'Folder Name Override', all of which are checked. A purple box labeled 'Folder Index' is at the bottom right of the configuration pane.

Administration Guide

The first technique requires more administration, since each static folder combination will need to be created by the administrator. However, the *Index User* will save time during indexing, since one or more folder level selection/entry is eliminated.

The second technique will create less administration and allows for greater scalability. However, the *Index User* will need to enter/select additional index information, as shown below.



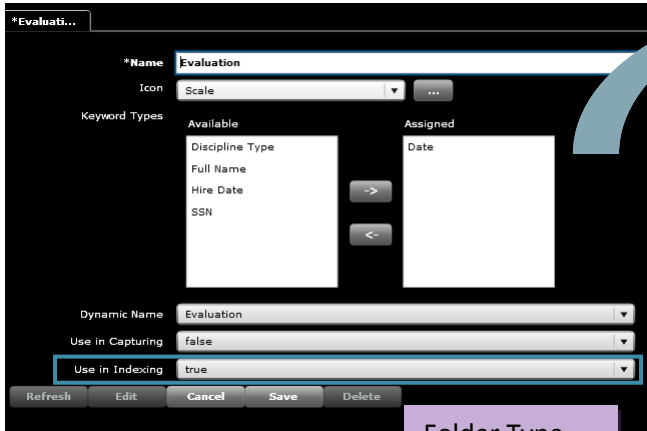
First technique, creating separate *document indexes* for each static folder path.

Second technique, creating a common folder index for each level within the static folder path.

How Indexes Impact Indexing

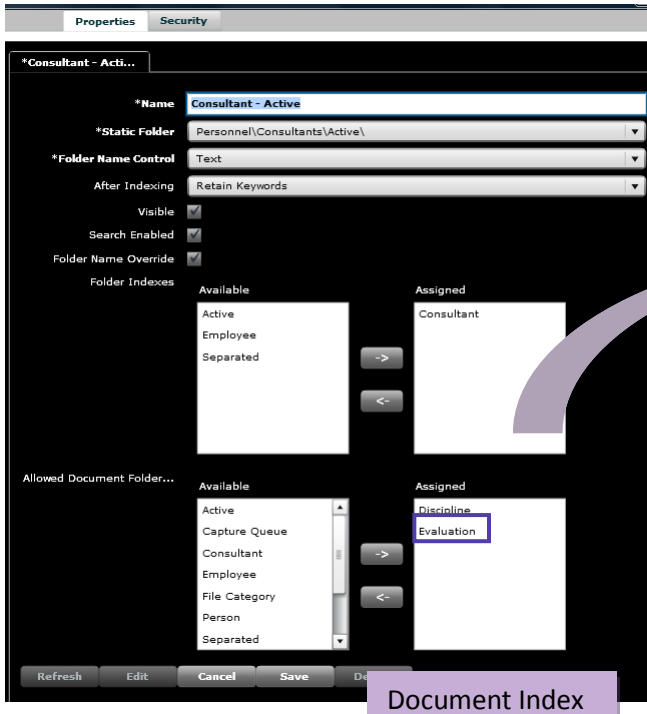
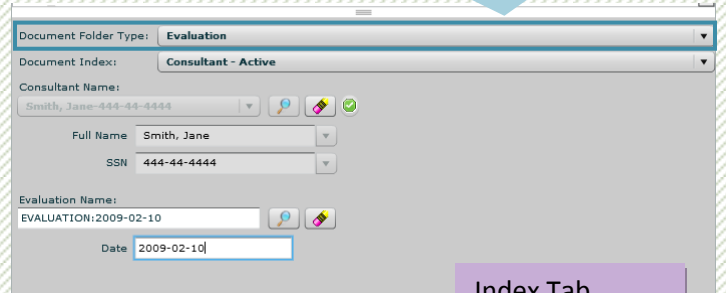
Now let's map the *document and folder index* that the administrator establishes to the indexing area (*Index Tab*) that the *Index User* uses.

Administrator View

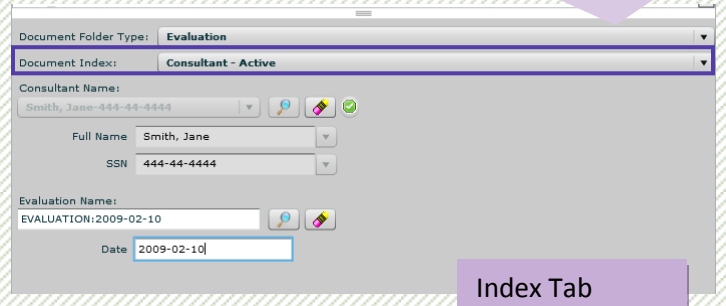


Index User View

Contains all *folder types* with "Use in Indexing" set to "true"



Contains all *document indexes* that contain an *allowed document folder type* = "Evaluation"



Administration Guide

Since the *Index User* selected the “Consultant - Active” *document index* and it contains the “Consultant” *folder index*, the “Consultant” *folder type* is evaluated for the *keyword types* and *dynamic name* used during indexing.

Administrator View

Properties Security

Consultant

Name Consultant

Folder Type Consultant

Folder Name Control DropDownList

After Indexing Retain Last Folder

Visible

Search Enabled

Folder Name Override

Refresh Edit Cancel Save Delete

Properties Security

*Consult...

*Name Consultant

Icon User 5

Keyword Types

Available

Assigned

Dynamic Name Full Name

Use in Capturing false

Use in Indexing false

Refresh Edit Cancel Save Delete

Index User View

Determines the 1st level of keywords & dynamic name scheme

Document Folder Type: Evaluation

Document Index: Consultant - Active

Consultant Name: Smith, Jane-444-44-4444

Full Name: Smith, Jane

SSN: 444-44-4444

Evaluation Name: EVALUATION:2009-02-10

Date: 2009-02-10

Refresh Edit Cancel Save Delete

After files are indexed with the above index values, the below *document folder* and its contents are available in ES Imaging.

Search Capture Index Administer Report

Viewer Properties Security

Structure

- Folders
 - Personnel
 - Consultants
 - Active
 - Smith, Jane-444-44-4444
 - DISCIPLINE:2009-03-22
 - EVALUATION:2009-02-10
 - EVALUATION:2009-05-22
 - Smith, John-333-33-3333
 - Separated
 - Employees
 - Personnel Capture Queue
 - Folder Types

EVALUATION:2009-02-10

Name EVALUATION:2009-02-10

Folder Type Evaluation

Parent Smith, Jane-444-44-4444

Keywords

Date 2009-02-10

System Keywords

Capture Queue

OCR Queue

Refresh Edit Cancel Save Delete

Indexing Behavior Settings

There are various administrator controlled index settings that greatly reduce the time needed for indexing. These behavior settings are associated to both *document and folder indexes*.

- *Folder Name Control* – allows for either a *text* (typed name), *drop down list* (choose from list) or *editable drop down list* (can type in a new list entry)
- *After Indexing* – provides option to *clear* all contents, *retain last folder* (keeps both folder and keywords) or *retain keywords*, after indexing a document
- *Visible* – hides or shows indexing values
- *Search Enabled* – allow for the *Index User* to search to see if the folder is already present, so that duplicate folders are not created. This will search for the folder name entered.
- *Folder Name Override* – allows for a folder name to be entered, in cases where there is not a *dynamic name scheme* assigned

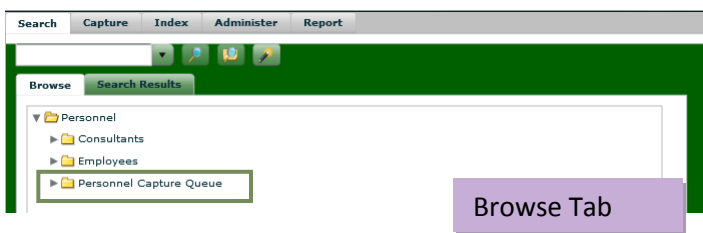
Scanned Documents “Inbox”

The capture and OCR queue are used during the capture process to hold scanned documents prior to indexing. It is basically an “inbox” for the *index user/group* assigned to the capture queue.

Capture /OCR Queues

When a new *root folder* is created a corresponding *capture queue* is also created. This *capture queue* folder is named with the *root folder* name appended with the words “capture queue”. If there are multiple individuals who will be indexing, it might be helpful to create personalized capture queues for each *index user/group*.

Quick Tip – A *root folder capture queue* is automatically created upon installation of *ES Imaging*.

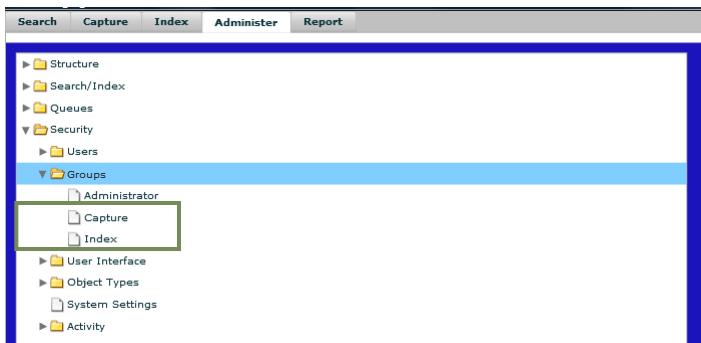


The “Personnel Capture Queue” contains scanned documents with a date and time stamp.

Capture and Index Users Groups

The *Capture User* scans/imports files into batches and routes them to the appropriate *capture queue*. This *capture queue* serves as an inbox for the *Index User*. In order for the Capture and Index Users to process documents, each will need specific permissions. The Capture User will need the ability to save to the appropriate capture queue. The Index User will need to view the appropriate capture queue and will also need save permission to the appropriate folders/files. Upon installation of ES Imaging, generic *Capture User* and *Index User* security groups are established and are granted the appropriate *view* and *save* permissions for the capture queue. However, the *Index User* security group will need additional permission granted to the appropriate folders/files.

Quick Tip The *Capture and Index User* groups are automatically created upon installation of ES Imaging.



Individual users will need to be assigned to each of the *capture* and *index user* groups. As mentioned in the security section of this manual, the use of groups eases the administration of security, specifically when multiple people require similar permissions. Refer to the “*Preparation for Security Administration*” and “*Establishing Security*” sections of this manual for guidance on security. Depending on the size of the organization, more than one individual may be necessary for capturing and indexing documents. If this is the case, additional groups might be necessary. The existing “Capture User” and “Index User” may need to be renamed to include the functional area they represent. For instance, there may be a need for a “Human Resource Capture User” and an “Insurance Capture User”. The more meaningfully the group names describe the area and the role, the easier it will be to administer permissions.

Capture and Index User Groups

It is important to note that many times an individual will belong to multiple groups, especially in a small organization. ES Imaging does allow this feature, but it is imperative to understand the rules on how permission conflicts are resolved (see “*Preparation for Security Configuration*”, “*Permission Hierarchy when User is in Multiple Groups*” subsection).

Establishing Folder Structure

Considerable analysis should be performed to establish the most effective folder structure for the organization. Prior to beginning these steps, review the “*How to Begin*”, “*Preparation for Folder Configuration*” and “*Preparation for Capture and Index Configuration*” sections.

Creation of the System Root

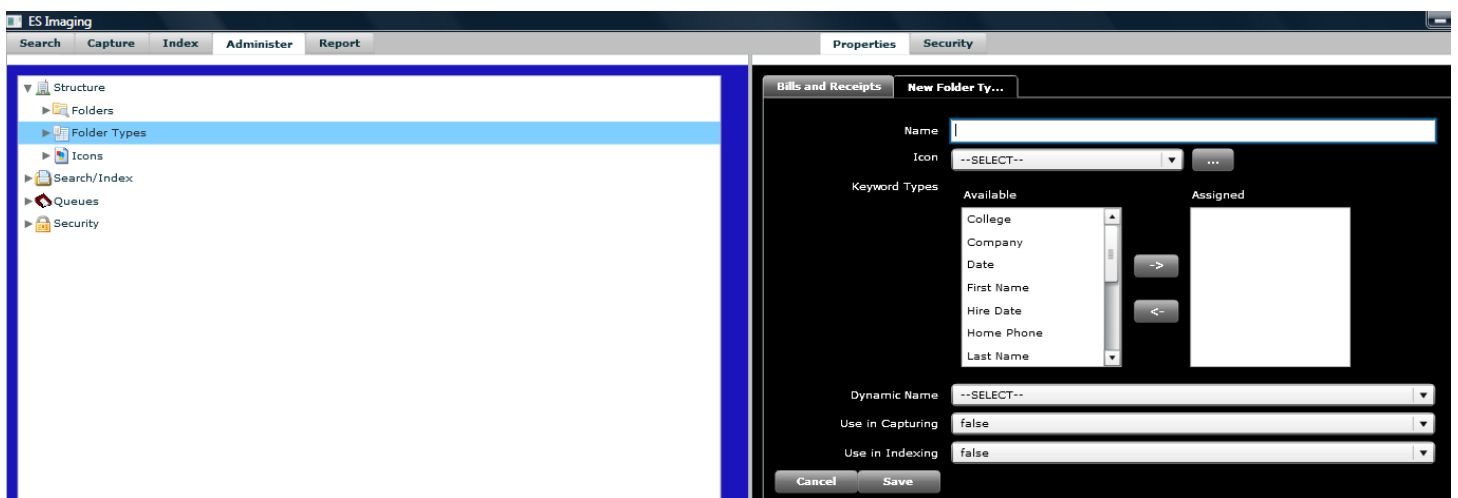
- Logon to ES Imaging
- At prompt to create a new root folder, type in the appropriate name.

Quick Tip – The “system root” is typically the company or organization name. Multiple root folders are allowed.

Creation of Folder Types

See “*Preparation for Folder Configuration*” and “*Preparation for Capture and Index Configuration*” section for guidance.

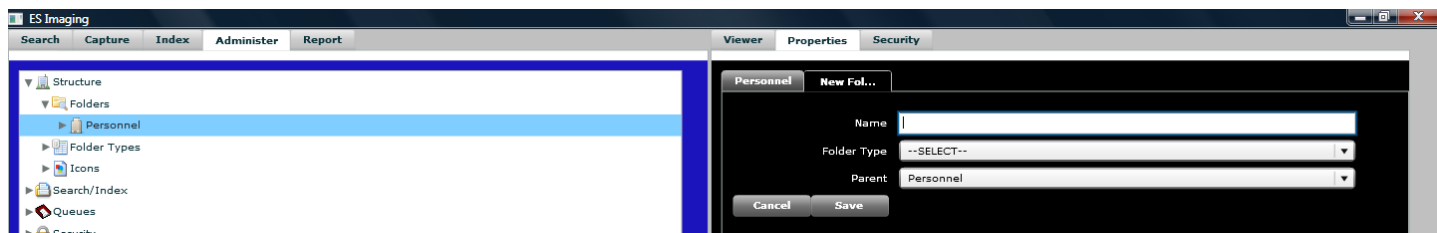
- Within the “Administer” tab, expand “Structure”
- Right click on “Folder Type”
- Click on “New Folder Type”
- Type an appropriate folder type “Name” and select the appropriate “Icon” (using the ...)
- Highlight the appropriate “Keyword Type(s)” and click on the right arrow (can be added later, see “*Capture and Index Configuration*” section)
- Select the appropriate “Dynamic Name” (can be added later, see “*Capture and Index Configuration*” section)
- Select true or false for “Use in Capturing” and “Use in Indexing”
- Click on “Save”



Creation of Folders

See “*Preparation for Folder Configuration*” section for guidance.

- Within the “Administer” tab, expand “Structure”
- Expand “Folders”
- Right click on the appropriate root or parent folder
- Click on “New Folder”
- Type an appropriate folder “Name”
- Select the appropriate “Folder Type”
- “Parent” defaults to the highlighted folder, but may be changed
- Click on “Save”



Capture and Index Configuration

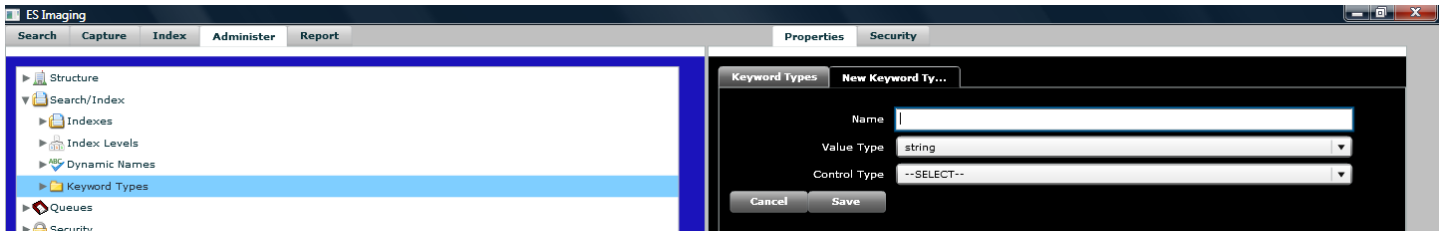
Prior to beginning these steps, complete the “*How to Begin*” and “*Preparation for Folder Configuration*” and “*Preparation for Capture and Index Configuration*” sections.

Creation of Keyword Types

See “*Preparation for Capture and Index Configuration*”, “*Search Needs*” subsection for guidance.

- Within the “Administer” tab, expand “Search/Index”
- Right click on “Keyword Types”
- Click on “New Keyword Type”
- Type an appropriate name
- Select the appropriate “Value Type”
- Select the appropriate “Control Type”
- Click on “Save”

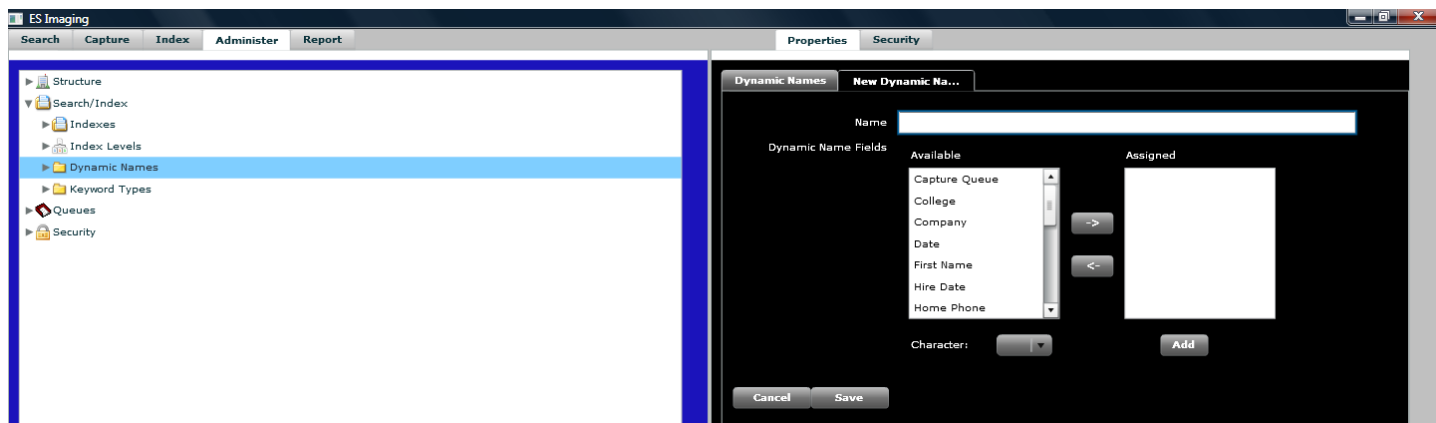
Quick Tip – The “system root” is typically the company or organization name. Multiple root folders are allowed.



Creation of Dynamic Names

See “*Preparation for Capture and Index Configuration*”, “*Folder Naming Scheme*” subsection for guidance.

- Within the “Administer” tab, expand “Search/Index”
- Right click on “Dynamic Names”
- Click on “New Dynamic Name”
- Type an appropriate name
- Select the appropriate “Keyword Type” needed for the name
- If necessary, select the appropriate “Character” to append to the name
- Continue to build the dynamic name until complete
- Click on “Save”



Updating Folder Type with Index Settings

- Within the “Administer” tab, expand “Structure”
- Click on the appropriate “Folder Type”
- Select the appropriate “Keyword Type(s)” that are required for searching
- Select the appropriate “Dynamic Name” scheme
- Select true or false for “Use in Capturing” and “Use in Indexing”
- Click on “Save”

Creation of Capture and OCR Queues

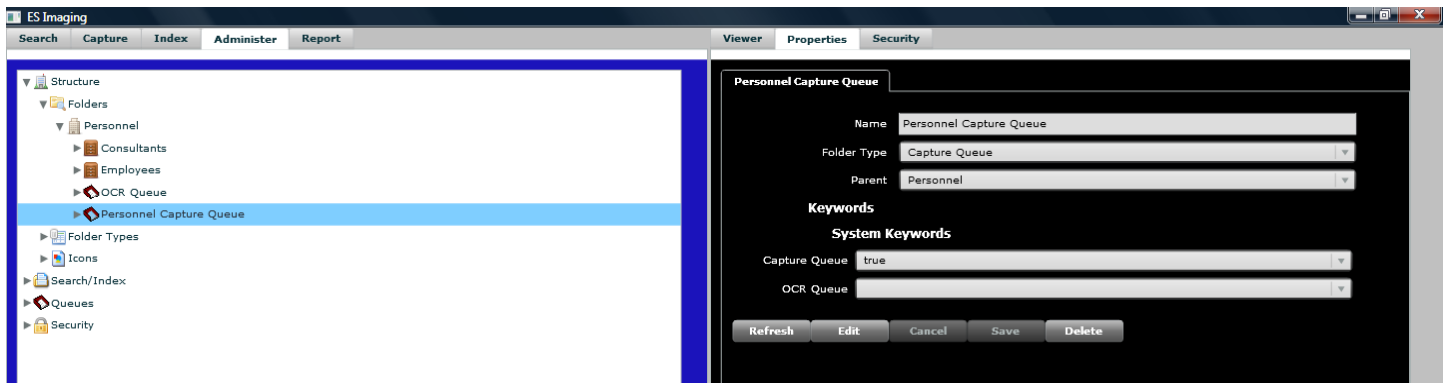
See “Preparation for Capture and Index Configuration”, “Scanned Document Inbox” subsection for guidance.

- Within the “Administer” tab, expand “Structure”
- Expand “Folders”
- Right click on the root folder
- Click on “New Folders”
- Type an appropriate capture/ocr queue “Name” (recommend name contains “capture queue” or “OCR queue”)
- Select the appropriate “Icon”
- For “Folder Type” select “Capture Queue” (used for both capture and OCR queues)
- Select “true” for the “Capture Queue” system keyword (for capture queues)
- Select “true” for the “OCR Queue” system keyword (for OCR queues)
- Click on “Save”

Quick Tip – If documents require full-text searching, “OCR queue” system keyword must be set to “true”.

Updating a Capture Queue Name

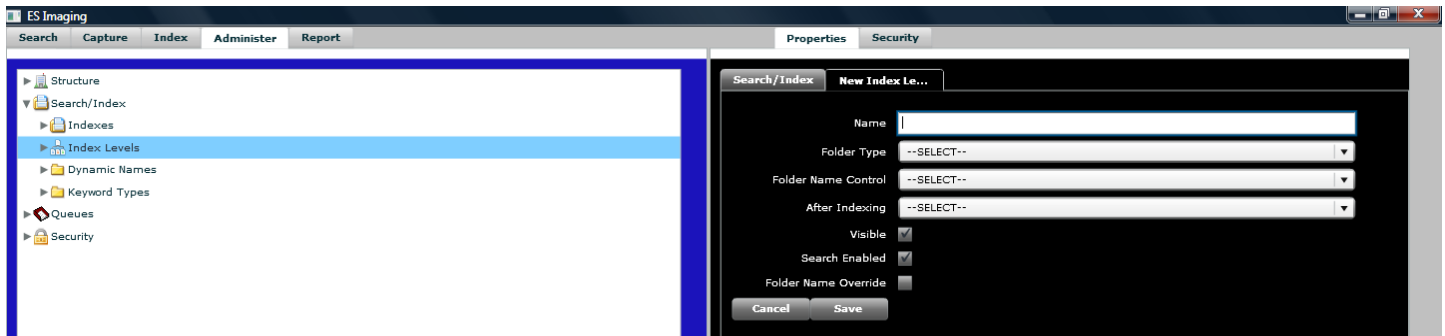
- Within the “Administer” tab, expand “Structure”
- Expand both “Folders” and the root folder
- Click on the appropriate capture queue folder
- Click on “Edit”
- Update the folder “Name”
- Click on “Save”



Creation of a Folder Index

See “*Preparation for Capture and Index Configuration*”, “*Indexing Folder Destination*” subsection for guidance.

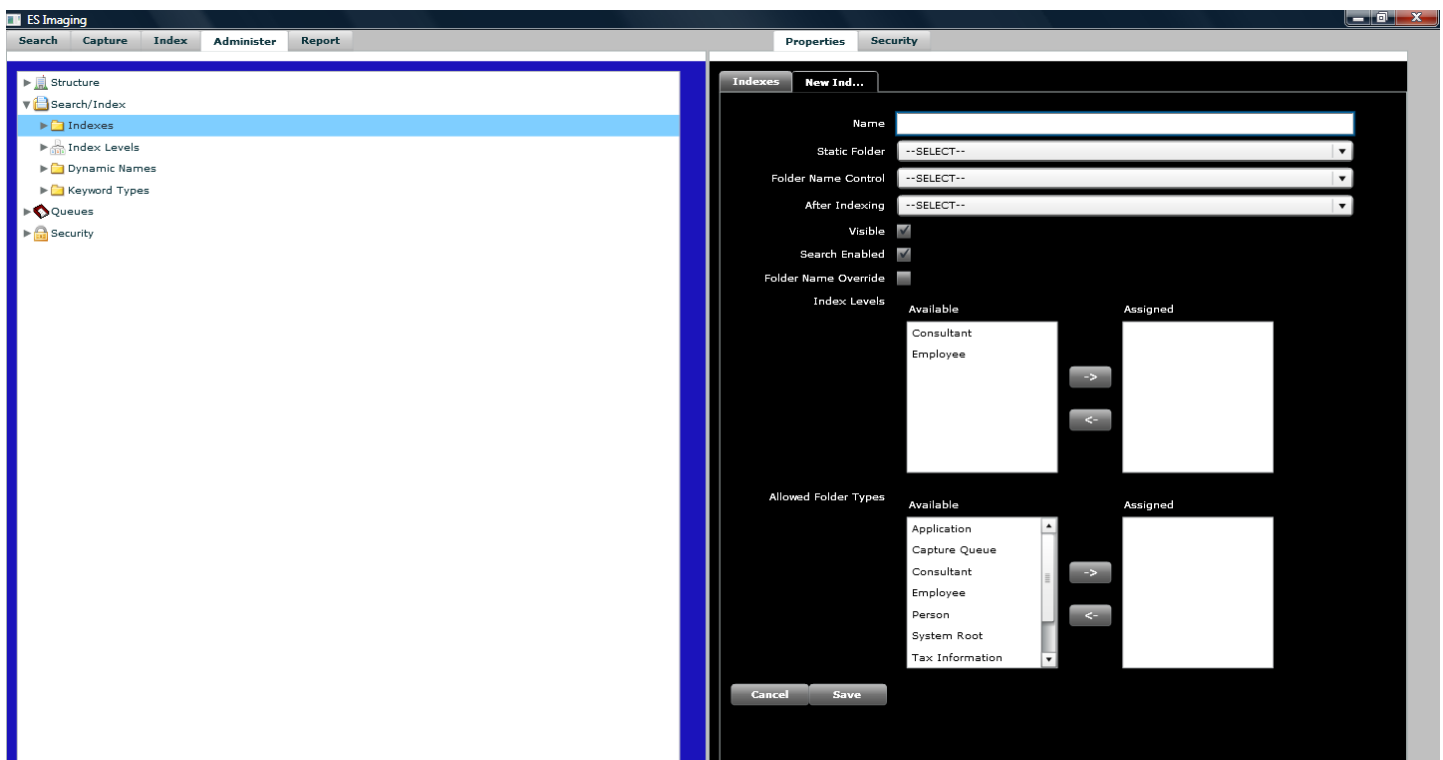
- Within the “Administer” tab, expand “Search/Index”
- Right click on “Folder Index”
- Click on “New Folder Index”
- Type an appropriate folder index “Name”
- Select the other appropriate values/options
- Click on “Save”



Creation of a Document Index

See “*Preparation for Capture and Index Configuration*”, “*Indexing Folder Destination*” subsection for guidance.

- Within the “Administer” tab, expand “Search/Index”
- Right click on “Document Index”
- Click on “New Document Index”
- Type an appropriate document index “Name”
- Select the appropriate “Static Folder”
- Select the other appropriate values, including “Folder Indexes” and “Folder Types”
- Click on “Save”



Preparation for Security Administration

ES Imaging security is designed to allow for the most specific needs of an organization. In order to provide maximum flexibility, security is managed with functions (*view, save, delete, copy, etc.*), system permission defaults and group permission levels.

Functions

Some functions allow/protect file content from being viewed, while others allow/protect files from being inadvertently edited or removed. The list of functions below briefly describes each.

- *View* – see images and properties
- *Save* – change/save properties
- *New Image Markup* – add/change/remove image markups
- *View Security* – see security details
- *Save Security* – change/save security details
- *New* – create new folders
- *Delete* – remove folders and files
- *Copy* – copy folders and files
- *Cut* – cut folders and files
- *Paste* – paste folders and files
- *Import* – copy folders/files from a network location into system
- *Export* – copy folders/files from system to a network location

Types of Permission Settings

There are three types of permissions to grant within the system. The “allow” permission grants access to the designated item(s) for the designated individual(s). The “deny” permission prevents access to the designated item(s) for the designated individual(s). Both the “allow” and “deny” permissions are known as “explicit” permission settings.

The “unspecified” permission implies moving to the next higher permission level to determine explicit permissions. This is explained further in the “*Permission Hierarchy*” and “*Permission Hierarchy when User in Multiple Groups*” subsections.



Group Permissions

Several *users* of the system may require identical permissions. *Group* permission bundles *users* together so permissions can be administered as a whole for these individuals.

Groups

User Permissions

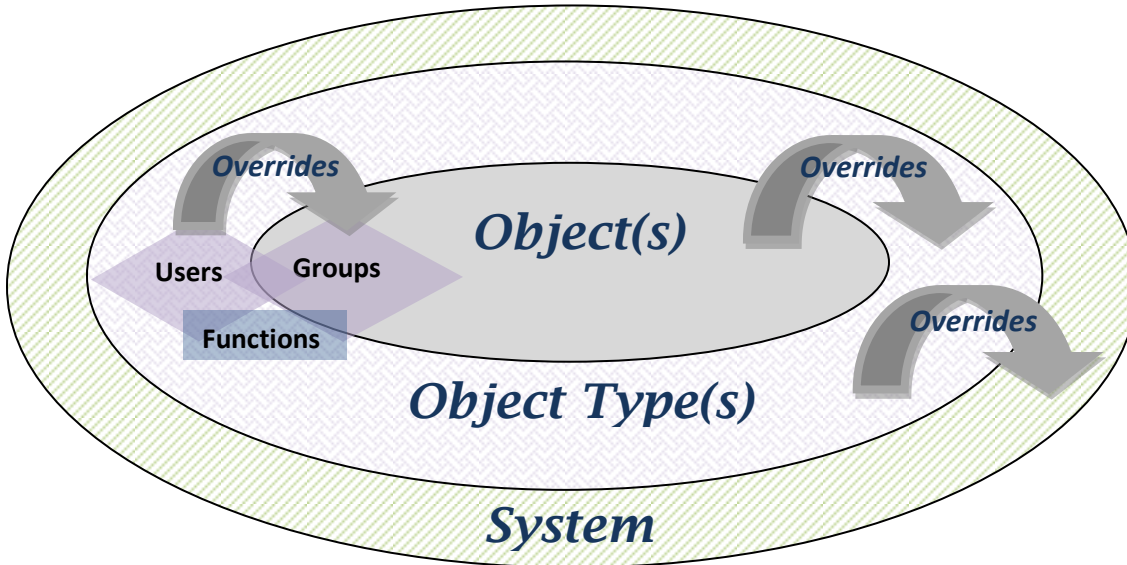
At times, it may be necessary to manage security at an individual level. For example, when an individual requires access to a restricted, confidential folder/file then the user can be granted access to the appropriate folder/file.

Users

Permission Levels

Permissions can be established at three levels: the *system level* (for all users), an intermediate level (*object type*) or a more specific level (*object*). Each level allows for common explicit (allow/deny) permissions to be used by other levels, as shown below.

Allow/Deny



System Default Permissions

System level permission allows each of the previously mentioned functions to be set to “allow” across all users. However, *system level* permissions are overridden by security granted at the *object type* and *object levels (as shown above)*. Please note that ES Imaging automatically sets all of the function permissions to “deny”, except for the designated administrator which is granted global “allow” permission.

Object Type Permissions

An *object type* is a logical grouping of *objects* (see below for object explanation) within the system. These *object types* are used to more effectively maintain security within the system by administering permissions across all *objects* within the *object type*. *Users* and *group(s)* and the appropriate functions are designated as “allow”, “deny” or “unspecified” for each *object type*.

Object Types

- *Admin Data* – includes administrative items (*structure, search/index, queues and security*)
- *User Interface* – the graphical features, like buttons and tabs
- *File* – a page of a scanned/imported image, text document, spreadsheet, etc.
- *Folder* – grouping of files and other folders
- *Folder Type* – templates for folders
- *Icon* – graphical symbols that can be associated to folder types
- *Document Index* – defines behaviors and properties during indexing for documents
- *Folder Index* - defines behavior and properties during indexing for a specific folder type
- *Keyword Type* – templates for folder keyword values to allow finding/searching
- *Report* – various administrative views of ES Imaging activity , logs, data, etc.
- *Security Group* – established by administrator to group similar users
- *Security User* – individual using the system

Quick Tip – this permission level is useful to allow a user or group **all folder/file contents and nothing more.**

Permissions set at this level are especially useful if all users of the system or a specific group(s) are allowed to view **all** file/folder content and nothing more. The “allow” permission set for the “view” function for the “file” and “folder” *object types* would easily accomplish this.

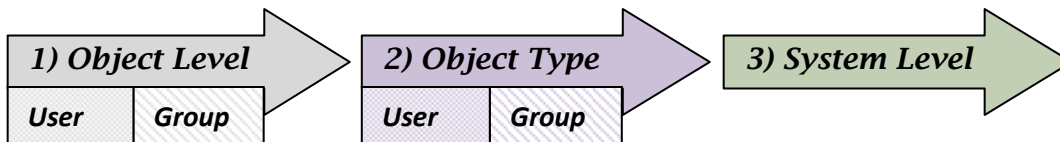
Object Permissions

An object within the system is simply a node of the tree structure. For instance, while “folder” is considered an *object type (designating all folders)*, a specific named folder or file, is an *object*. *Users* and *group(s)* along with the appropriate functions are designated as “allow”, “deny” or “unspecified” for each object.

Objects

Permission Hierarchy

Earlier we discussed the three levels of permissions that can be managed within the system. In addition to these permissions, it is important to understand the hierarchy of permissions. The below diagram shows how permissions are determined:



Explicitly set allow/deny *user* permission attached to the *object level* overrides all others. If permissions are not explicitly set at the *object level* (“unspecified” permission), then the explicitly set *group* permission at the *object level* is used. This same evaluation repeats from left to right, as shown above.

Quick Tip – *user explicit permissions at an object level override all other permissions. System level permissions are only used when no other explicit permissions are set.*

Permission Hierarchy when User in Multiple Groups

An explanation is necessary for a scenario involving a user with “unspecified” permission who belongs to multiple groups, specifically when these groups have conflicting explicit security settings (for example one group is “deny” and the other is “allow” for a specific folder). The following evaluation applies:

- If the *system level* default is “deny”, then the permission will result in “deny”
- If the *system level* default is “allow”, then the permission will result in “allow”

Preset Group Permissions

Individuals perform a variety of functions when using ES Imaging. Some of these functional *groups* have preset permissions upon installation of ES Imaging. Each *group* carries with it different security settings as described below:

- *System Administrator* – Can perform **any function** in the system for **all objects**.
- *Administrator* – Same as system administrator, except they **cannot alter system settings**.
- *File/Folder Administrator* – Can perform **any function** on **all folders and files**.
- *Capture User* – Can **scan/import files** into the default capture queue.
- *Index User* – Can **specify keyword values** and **move documents** in the default capture queue to the **proper location** in the system.
- *File/Folder Viewer* – Can view **any folder and file**.
- *Report Viewer* – Can **view any report**.

Administration Guide

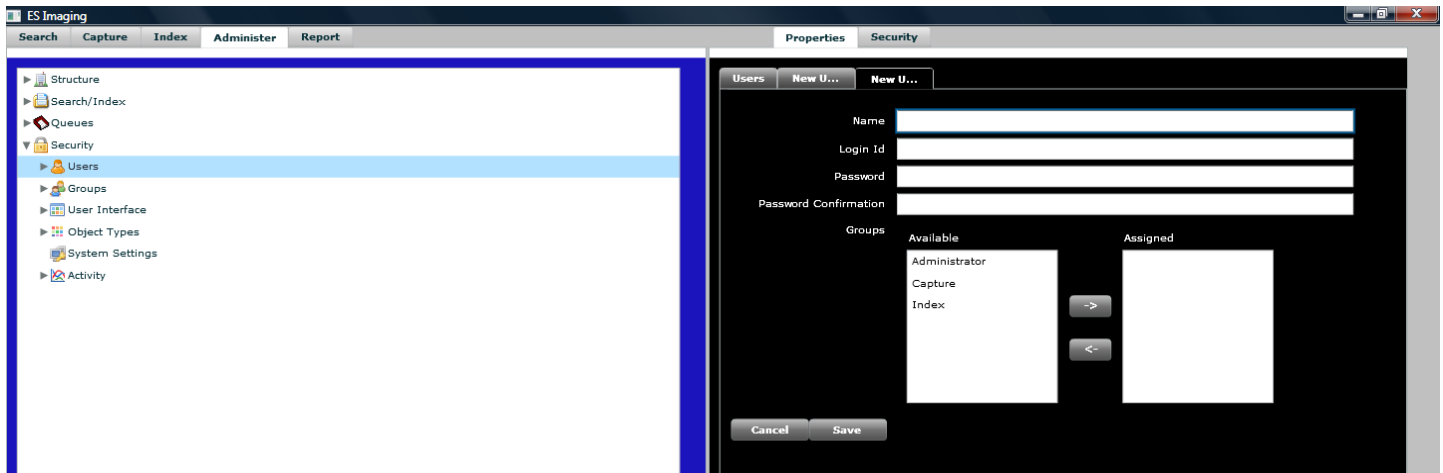
Although these *groups* are preset during ES Imaging installation, these can be changed by the *System Administrator* and *Administrator*. *Users* will need to be attached to the appropriate *group(s)* by the *Administrator*.

A *user* can belong to multiple *groups*. See the “*Permission Hierarchy when User in Multiple Groups*” subsection.

Establishing User Accounts

Before security settings can be established, *user* accounts must be established.

- Within the “Administer” tab, expand “Security”
- Right click on “Users”
- Click on “New User”
- Type in the individual’s “Name” (recommend last, first name format)
- Type in the appropriate “Login Id”, “Password” and “Password Confirmation”
- “Groups” will be updated later (see “Establishing Security” section)
- Click on “Save”

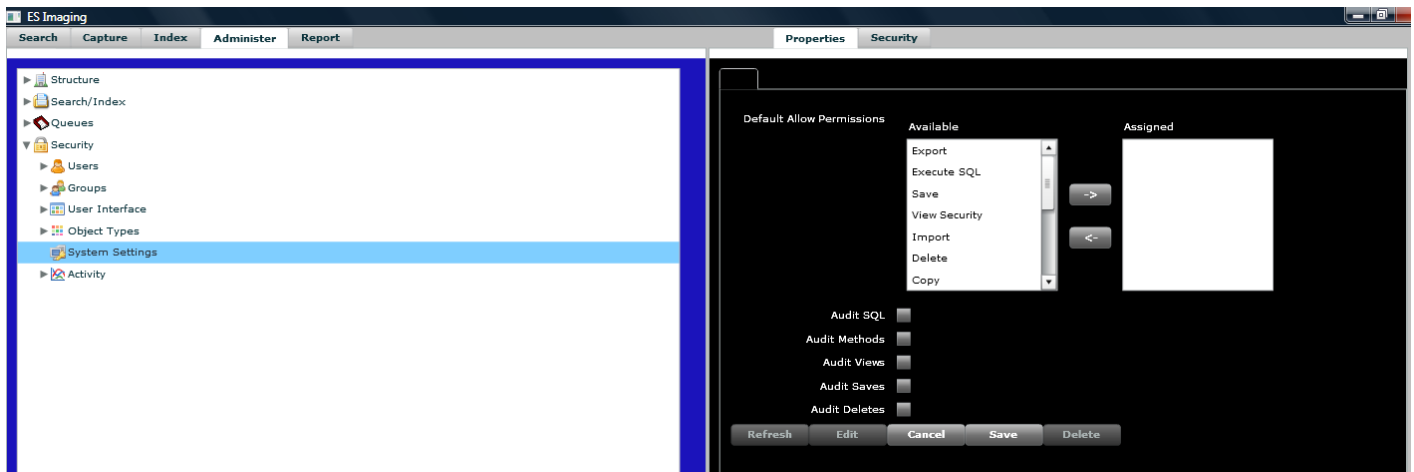


Establishing Security

See “Preparation for Security Administration” section, “System Default Permissions” and “Permission Hierarchy” subsections for guidance.

Setting System Default Permissions

- Within the “Administer” tab, expand “Security”
- Click on “System Settings”
- Click on the “Properties” tab
- Click on “Edit”
- Select the functions that require “allow” as a default
- Click on the right arrow
- Click on “Save”

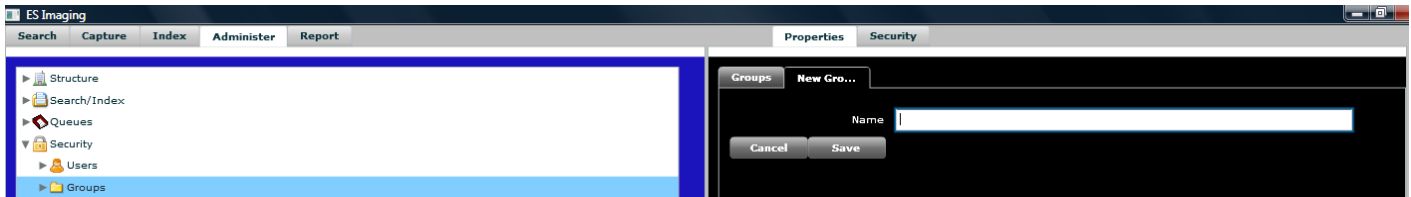


Creation of Groups

See “Preparation for Security Administration” section, “Group Permissions” and “Preset Group Permissions” subsections for guidance.

- Within the “Administer” tab, expand “Security”
- Right click on “Groups”
- Click on “New Group”
- Type in the group “Name” (a meaningful name is recommended)
- Click on “Save”

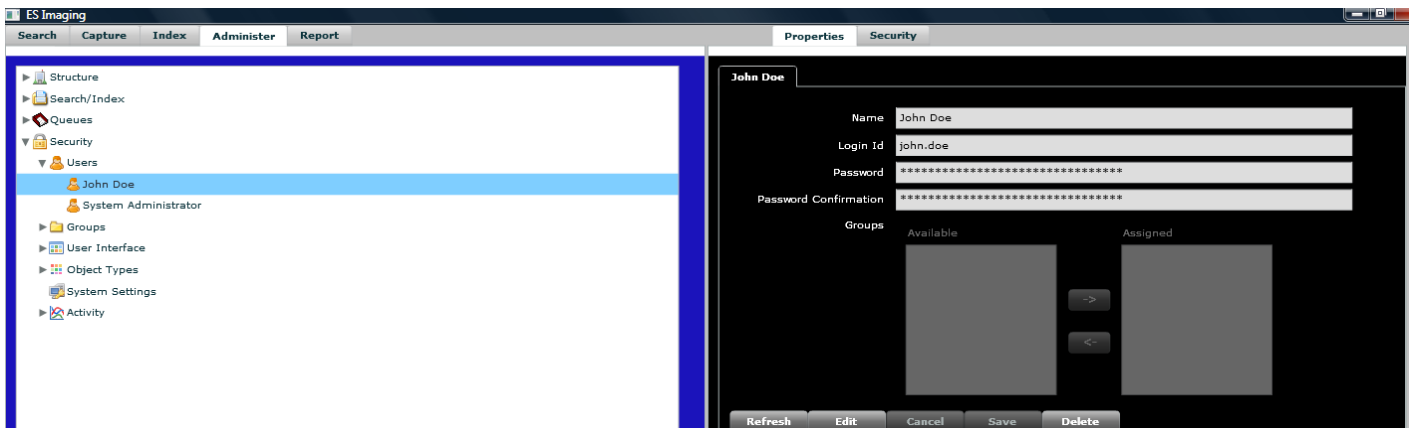
Quick Tip – groups are used to help simplify security administration, when individuals require identical security levels.



Adding Users to Groups

See “Preparation for Security Administration” section, “Group Permissions” subsections for guidance.

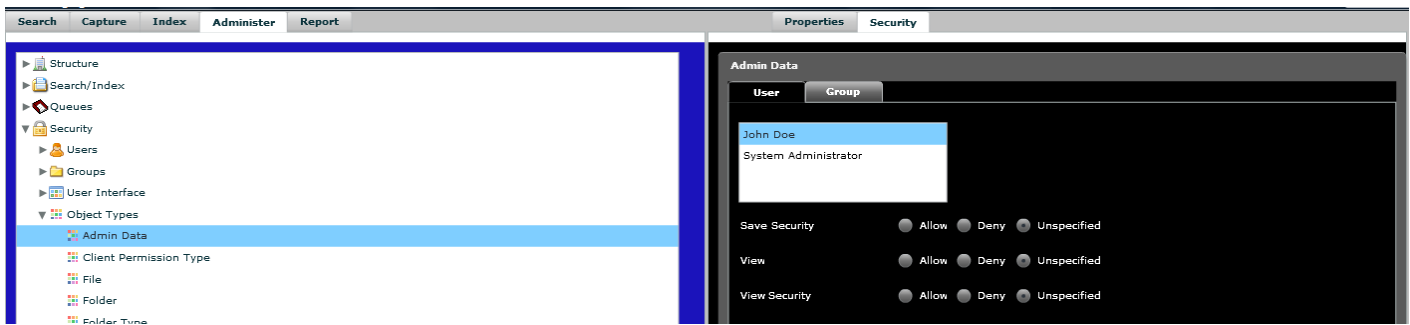
- Within the “Administer” tab, expand “Security”
- Expand “Users”
- Right click on the user to be added to a group(s)
- Click on “Edit”
- Select the groups to assign to the user
- Click on the right arrow
- Click on “Save”



Setting Object Type Permissions

See “*Preparation for Security Administration*” section, “*Permission Levels*”, “*Object Type Permissions*” and “*Permission Hierarchy*” subsections for guidance.

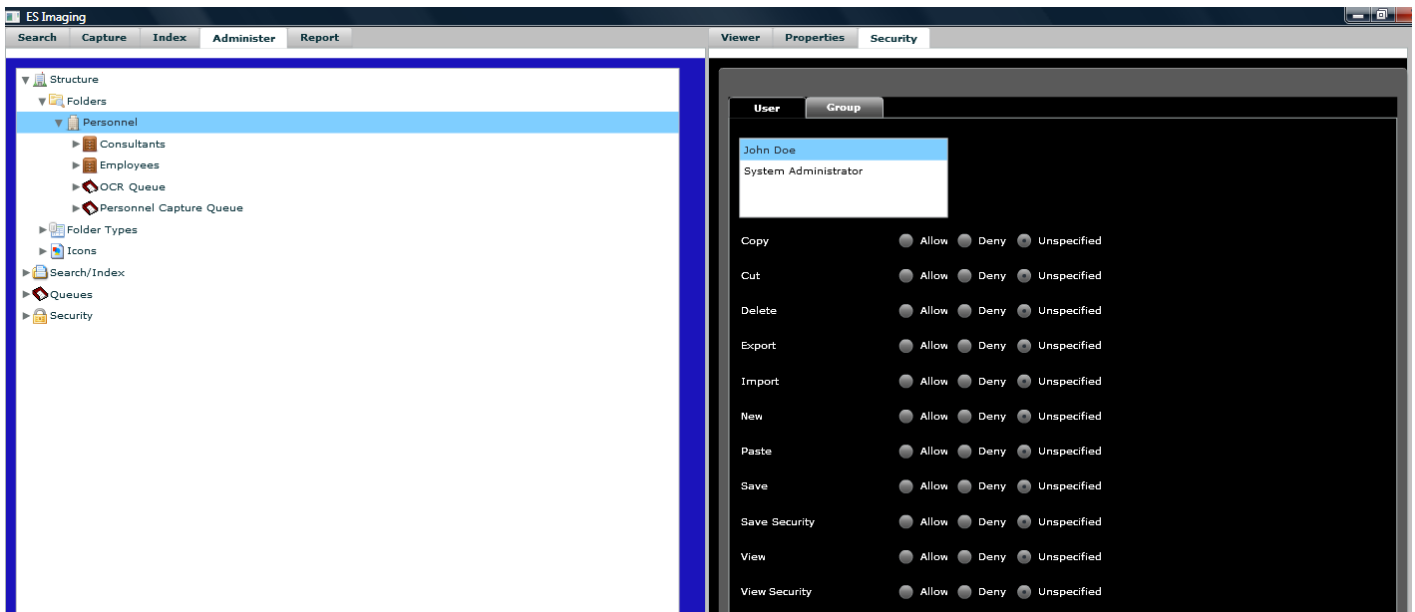
- Within the “Administer” tab, expand “Security”
- Expand “Object Types”
- Click on the appropriate “Object Type”
- Click on the “Security” tab
- Select the appropriate user(s) or group(s)
- Click on “Edit”
- Select the “allow”, “deny” or “unspecified” permission
- Click on “Save”



Setting Object Permissions

See “*Preparation for Security Administration*”, “*Permission Levels*”, “*Object Permissions*” and “*Permission Hierarchy*” subsections for guidance.

- Within the “Administer” tab, expand the tree node until the appropriate “object” (a file, folder or another specific item) is highlighted
- Click on “Security” tab
- Select the appropriate user(s) or group(s)
- Click on “Edit”
- Select the “allow”, “deny” or “unspecified” permission
- Click on “Save”



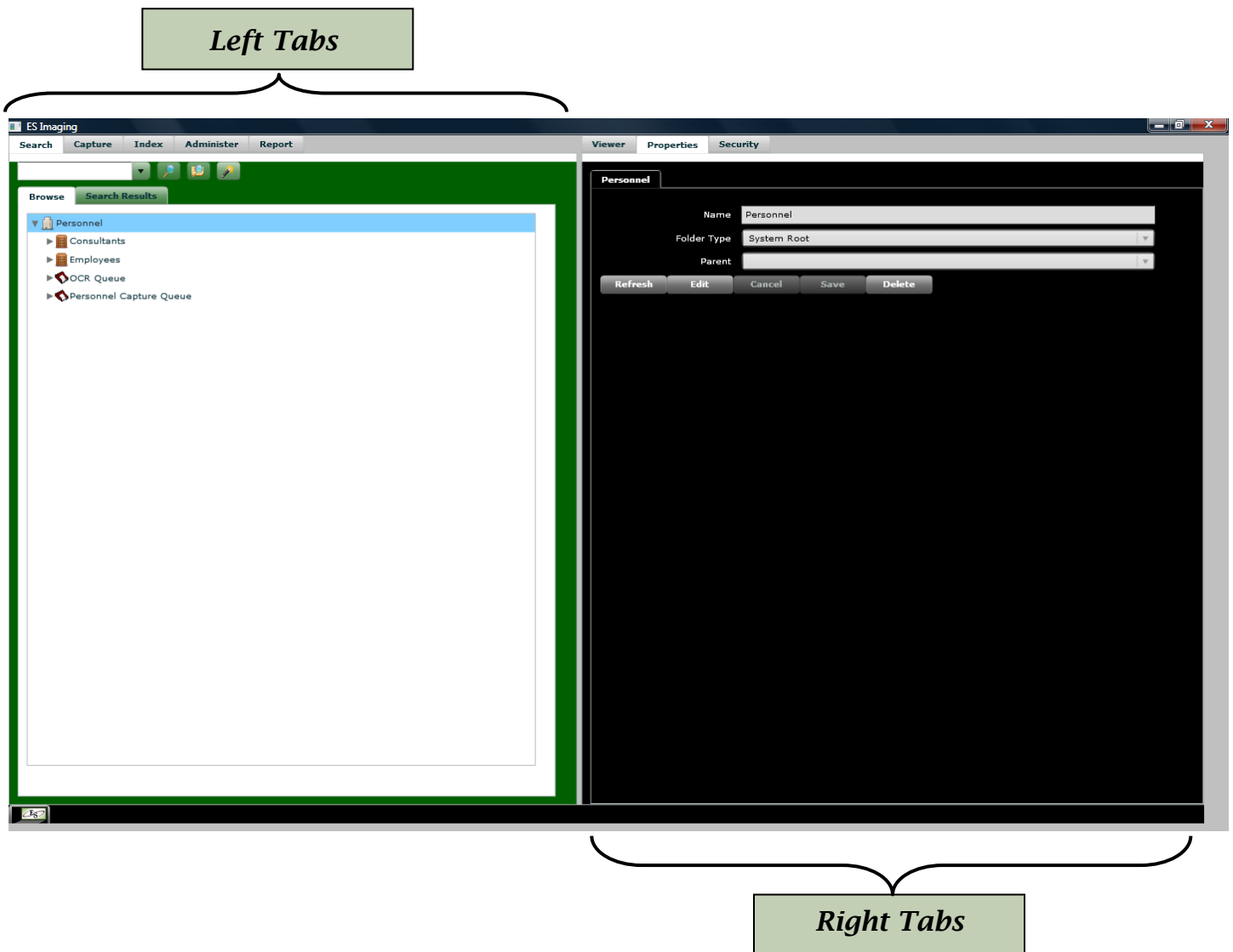
Preparation for User Interface Configuration

ES Imaging allows for customization of user interface to control what each user can view. The Administrator can hide tabs and buttons for user and/or group accounts, based on the functions an individual can perform. Additionally, icons can be imported to accurately represent various folders within ES Imaging.

User Interface Overview

ES Imaging is designed with side by side panels that allow the user to view and navigate the tree structure while simultaneously looking at images, properties and security.

User Interface

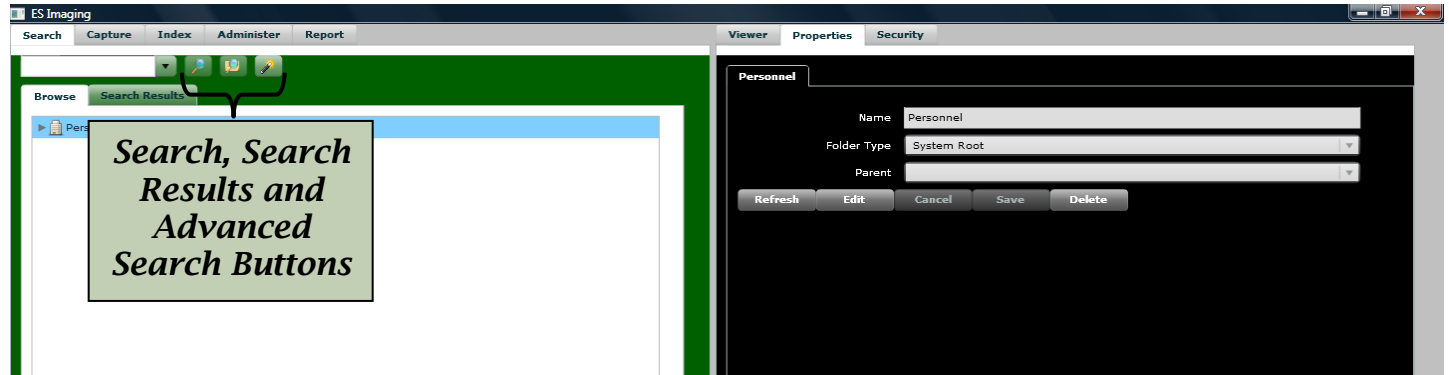


Administration Guide

Within the left and right panels, there are several *tabs* and *sub tabs*.



Within these panels, there are *buttons* that perform a variety of functions.



Administration Guide

As mentioned within the “*Preparation for Security Administration*” section, consideration should be given as to the individual(s) performing the various functions within ES Imaging. The control of the *user interface* settings along with the permission settings will provide each user exactly what they need to perform their tasks within the system. Here are the installed *user interface* settings for the various *Preset Groups* (see the “*Preparation for Security Administration*” section, “*Preset Group Permissions*” subsection for an explanation of permissions for these groups):

- *System Administrator* – allowed to view **all tabs and buttons**.
- *Administrator* – allowed to view **all tabs and buttons**.
- *File/Folder Administrator* – allowed to view **all tabs and buttons except the capture and index tabs**.
- *Capture User* – allowed to view the **search, viewer, properties and capture tabs**.
- *Index User* – allowed to view the **search, viewer, properties and index tabs**.
- *File/Folder Viewer* – allowed to view the **search, viewer and properties tabs**.
- *Report Viewer* – allowed to view the **reports, viewer and properties tabs**.

User Interface Configuration

See “Preparation for User Interface Configuration” section for guidance.

Setting User Interface Permissions

- Within the “Administer” tab, expand “Security”
- Expand “User Interface”
- Click on the appropriate item
- Click on the “Security” tab
- Click on the appropriate user(s) or group(s)
- Click on “Edit”
- Select “allow” for the “view” function
- Click on “Save”

Note that if the “unspecified” permission is selected that the *user interface object type*’s permission will be used.

Quick Tip – permissions set at the parent item will be used for all children, when permissions are set to “unspecified” at the children level.

