FileControl 2

User Guide

Contents

1   Logging In

A FileControl user may access a company by entering the URL provided into the address bar of any modern internet browser such as Internet Explorer, Microsoft Edge, Google Chrome or Mozilla FireFox. The URL is typically in the form https://xxx.myfilecontrol.com.
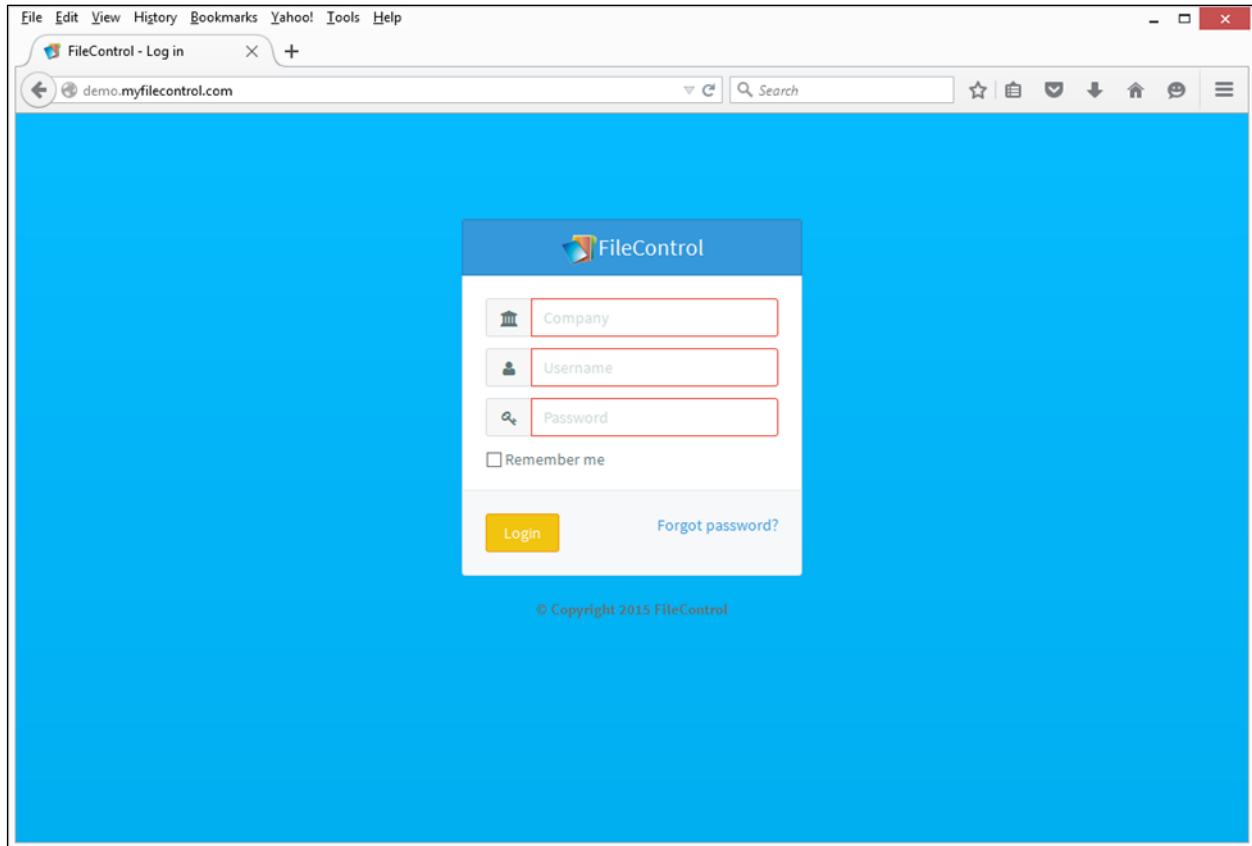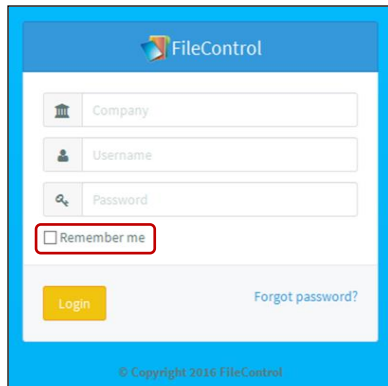
Login Page of demo.myfilecontrol.com

Once a user account has been created for a user, in addition to the URL the login information required includes the *Company [Name], Username* and *Password*. The password is usually temporary for security reasons and the user will be required to reset it on first login. Enter the provided login information into the fields and click the **Login** button.

1.1   Remember Me
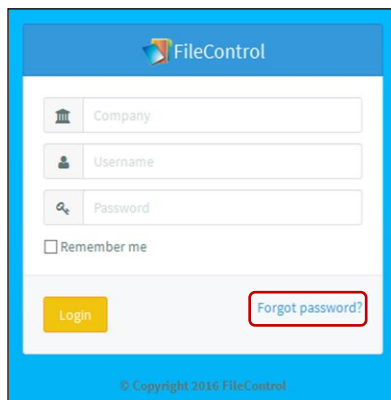
On the Login Page below the login fields is a checkbox called *Remember me*. Checking this box saves the Company and Username for the URL so that the next time the user connects to that URL those two fields will be auto populated. User will only need to enter the password. Password saving is browser based so the password can only be saved if this feature is enabled in the browser being used.

Login Page showing Remember Me Option
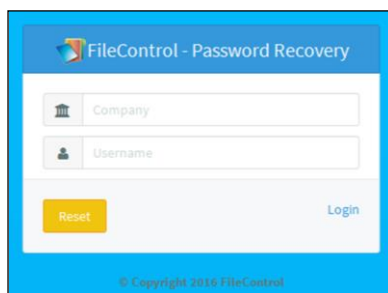
1.2 Forgot Password

A user may reset a forgotten password from the Login Page. Clicking the *Forgot Password?* link takes the user to the Password Recovery Page.

Login Page showing Forget Password link

Enter the Company and Username and click the **Reset** button. An email will be sent to the email address associated with the user account with a temporary password. The user will need to reset with a permanent password on next login.
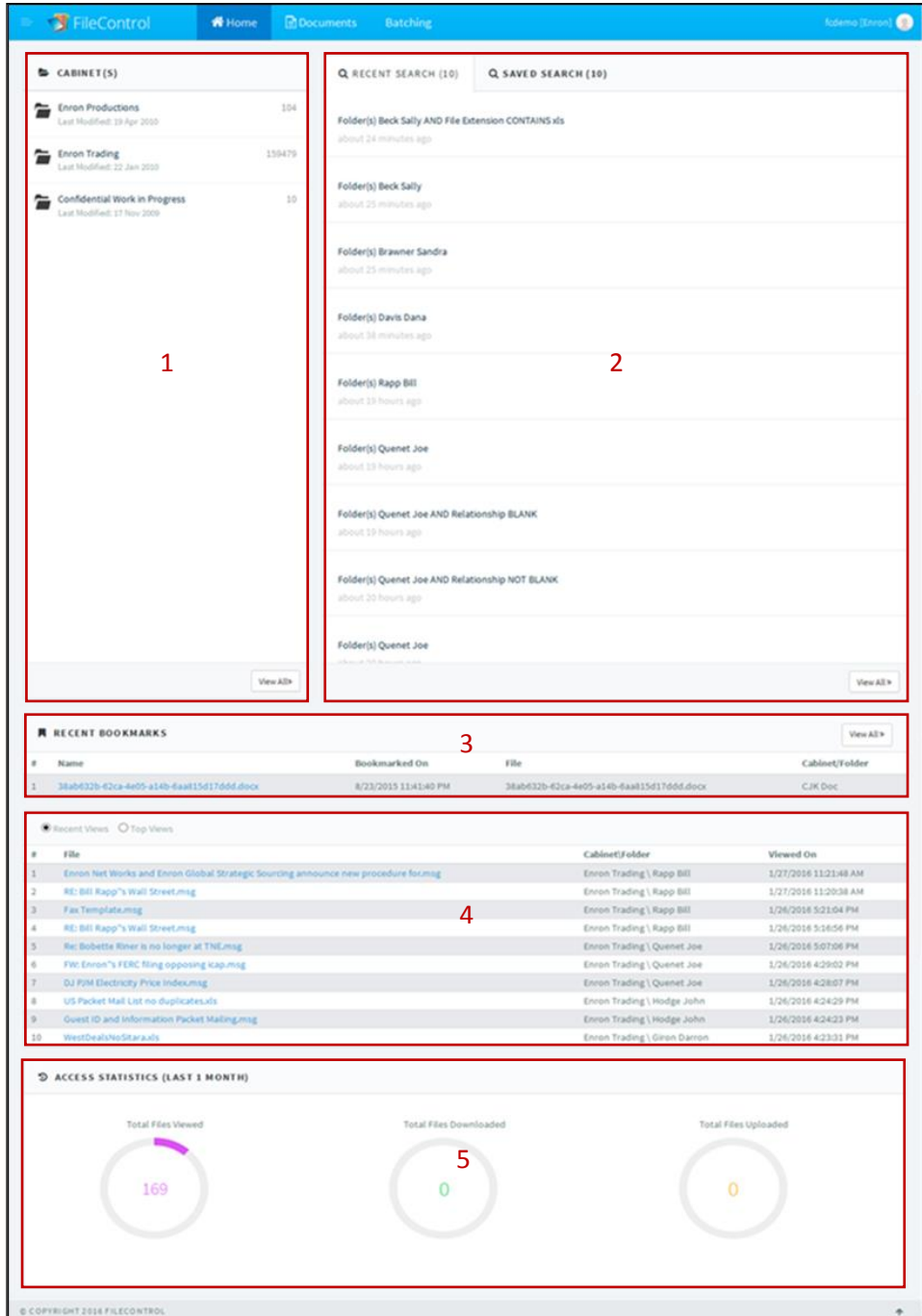
Password Recovery Page

2 Home Page

The Home Page is the default landing page on first login. The Home Page is divided into five sections: (1) Cabinets, (2) Search History – Recent Search and Saved Search, (3) Recent Bookmarks, (4) Recent and Top Views, and (5) Access Statistics.

Home Page showing All Sections

2.1 Cabinets

The Cabinets section is located on the left of the Home Page and displays the Cabinets that the user permissions to. Clicking on a particular Cabinet in the list takes the user to the Documents View of the Documents page where the cabinets, folders and documents are listed. Clicking the **View All** button at the bottom of the Cabinets Section will also take the user to the Documents Home View of the Documents page where cabinet details and their folders can be viewed. See Section 4.1 Documents Home View for more details.

Home Page showing the Cabinet Section

2.2 Search History

The Search History section is divided into two tabs: (1) Recent Search History and (2) Saved Search History.

Home Page showing the Search History Sections

2.2.1 Recent Search History

The recent Search History Section is located on the top middle of the Home Page and displays the last ten of the user's searches. The search criteria of a recent search can be displayed by hovering over the recent search. A recent search may be run from this view by clicking on the particular search.

Recent Search Tab in Search History Section

Clicking the **View All** button at the bottom of the Recent Search Tab will launch the Recent Search History List page where the last 100 recent searches are displayed by default.

Recent Search List Page

The Recent Search History List page displays for each recent search: search criteria, the date the search was created, and the date that the search was last modified. On the list page by clicking the corresponding button for a particular search the user can:

- 👁 **View search criteria:** Displays the full criteria of the search.
- ↻ **Execute the search:** Re-applies the search criteria and takes the user to the Documents View Page to view the search results.
- ↱ **Load search criteria:** Loads the search criteria into the Advanced Search screen where the user can view, or edit the criteria and execute the search.
- 💾 **Save the search:** Allows the user to save the search with a name and share with other users if desired.
- 🗑 **Delete the recent search from the history:** Allows the user to delete the recent search. Searches are automatically overwritten once the stored limit is reached. The default number of searches saved is 100 but this can be increased up to 250 in Accounts Settings.

2.2.2 Saved Search History

The Saved Search History section is located on the top right of the Home Page and displays the last ten of the user's saved searches or saved searches shared with the user. The search criteria of a saved search can be displayed by hovering over the saved. A saved search may be executed from this view by clicking on the particular search.

Saved Search Tab in Search History Section

The user may also launch the Saved Search List Page by clicking the **View All** button at the bottom of this section which will display the last 100 recent searches by default.

Saved Search List Page

The Saved Search List page displays each saved search's name, the date the saved search was created, the date that the search was last modified, who owns/created the search, and who last modified the search. A saved search may be saved as Private or Shared or may be associated with a Batch.

- Indicates that the search has been shared.
- Indicates that the search is associated with a batch

On the list page by clicking the corresponding button for a particular search the user can:

- **View search criteria:** Displays the criteria of the search below it.
- **Execute the search:** Re-applies the search criteria and takes the user to the Documents View Page to view the search results.
- **Load search criteria:** Loads the search criteria into the Advanced Search screen where the user can view, or edit the criteria before executing.
- **Edit the saved search:** Allows the user to edit the properties of a private search or one that is not associated with a batch; or share the search with a user or group.
- **Delete the saved search from the history:** Allows the user to delete the search. Searches are overwritten once the stored limit is reached. The default number of searches saved is 100 but this can be increased up to 250 in Accounts Settings.

2.3 Recent Bookmarks

The Recent Bookmarks section is located on the Home Page below the Cabinets and Search History sections and displays the last ten of the user's bookmarked documents. The list shows the name of the bookmark, the date the document/page was bookmarked, the filename of the document and the folder it exists in. A bookmarked document can be viewed by clicking the name. The user will be taken to the document or page of the document that was bookmarked. Clicking the **View All** button at the top of this section will take the user to a list of all the bookmarks owned by or shared with the user.

#	Name	Bookmarked On	File	Cabinet/Folder
1	Example of Book Mark	8/20/2015 10:38:46 AM	Don"t forget to register!.msg	Client Custodian Collections

Recent Bookmarks

2.4 Recent & Top Views

The Recent and Top Views section is located right below the Recent Bookmarks section. Recent Views displays a list of the last 10 documents viewed by the user in the order they were viewed while Top Views show a list of the 10 most viewed documents. Clicking the document name takes the user to the document. The user can toggle between the two lists using the radio buttons.

#	File	Cabinet\Folder	Viewed On
1	FIRM GAS GTC OTC B RED.DOC	Enron Trading \ Ring Andrea	1/23/2016 11:33:13 AM
2	FIRM GAS GTC OTC B RED.DOC	Enron Trading \ Ring Andrea	1/23/2016 11:33:13 AM
3	FIRM GAS GTC COLLATERAL SUPPORT OTC B RED.DOC	Enron Trading \ Ring Andrea	1/23/2016 11:33:08 AM
4	FIRM GAS GTC COLLATERAL SUPPORT OTC B RED.DOC	Enron Trading \ Ring Andrea	1/23/2016 11:33:08 AM
5	DirDeposit.pdf	Enron Trading \ Ring Andrea	1/23/2016 11:33:04 AM
6	Firm Gas GTC Collateral Support b.doc	Enron Trading \ Ring Andrea	1/23/2016 11:32:50 AM
7	Fwd: Fw: Parachute lots of truth to this. We got this from our dance teacher..msg	Enron Trading \ Ring Andrea	1/23/2016 11:32:34 AM
8	Fwd: Fw: Parachute lots of truth to this. We got this from our dance teacher..msg	Enron Trading \ Ring Andrea	1/23/2016 11:32:33 AM
9	RE: Note.msg	Enron Trading \ Ring Andrea	1/23/2016 11:32:24 AM
10	FC2_Batching_User_Guide.pdf	CJF	1/22/2016 10:47:56 AM

Section of the Home Page showing the Recent & Top Views Sections

2.5 Access Statistics

The Access Statistics section gives the user some basic usage information for the last month of activity. Statistics provided are *Total Files Viewed, Total Files Downloaded and Total Files Uploaded*.
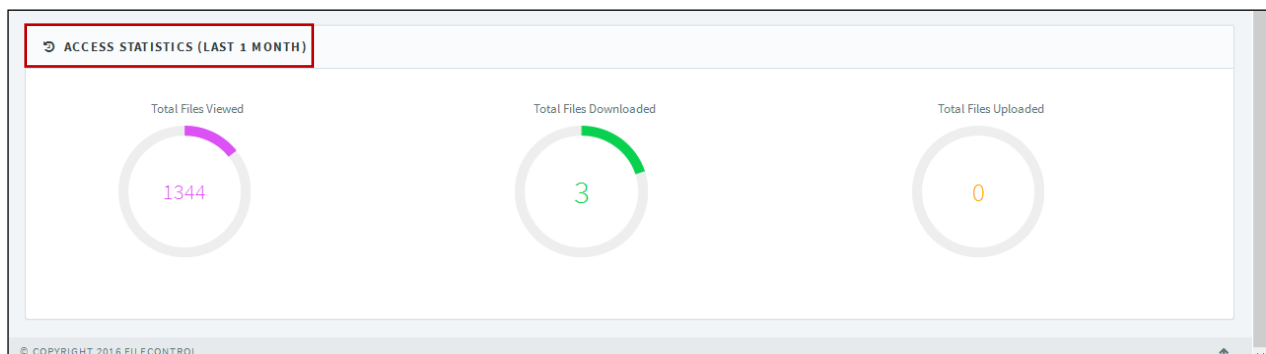
Section of the Home Page showing the Access Statistics Section

3 User Options
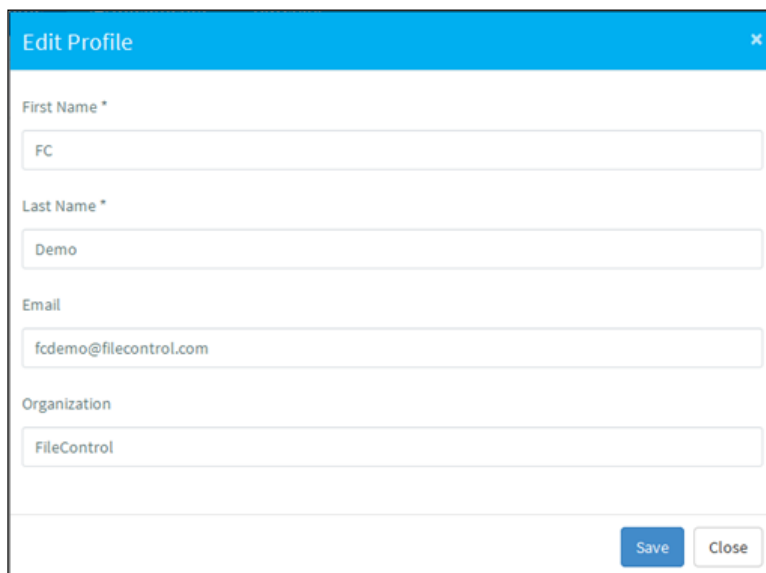
This User Options section is accessed upon login by clicking on the user name at the top right of the site (from any page). The drop down menu contains options to manage the user experience.
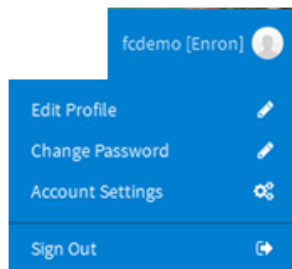
User Options Menu

3.1 Edit Profile
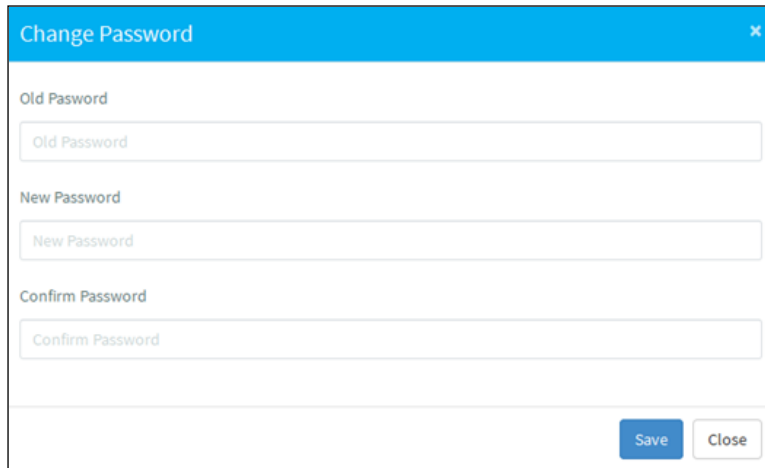
Clicking on Edit Profile on the drop down menu takes the user to the Edit Profile page where the User information can be updated. The available fields are **First Name** [Required], **Last Name** [Required], **Email**, and **Organization**. Clicking the **Save** button saves the changes while clicking the **Close** button cancels the process and exits the popup.

Edit Profile Page

3.2 Change Password

Clicking on Change Password on the drop down menu takes the user to the Change Password page where the password can be changed. The user will need to know the current password in order to change it here. Clicking the **Save** button saves the changes while clicking the **Close** button exits the popup without saving any changes.
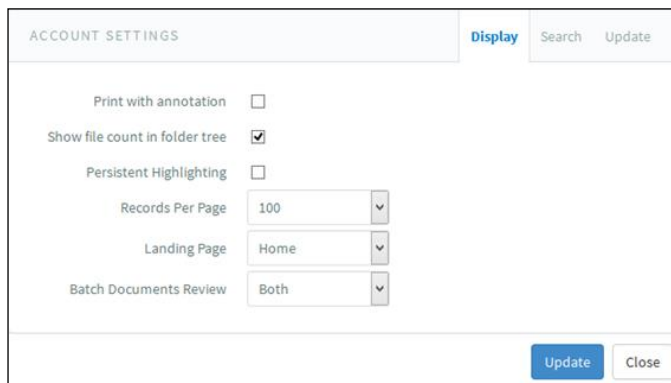
Change Password Page

3.3 Accounts Settings

Clicking on Accounts Settings on the drop down menu takes the user to the Accounts Settings pages where the Display, Search, Update behavior for the site may be set.

3.3.1 Display

The Display settings are listed on the Display tab. The user can check or select the options accordingly to make changes. Clicking the **Update** button saves the changes while clicking the **Close** button exits the popup without saving any changes.

Display Settings

The options are:

- **Print with annotation**: When checked any annotations on an image will be printed along with the image.
- **Show file count in folder tree**: When checked the number of documents in a folder and its subfolders will be displayed next to the folder name for all folders on the Documents View.
- **Persistent Highlighting:** When checked previously configured search terms are highlighted in the Document viewer whenever a document is viewed.

- **Records Per Page:** The user can select the number of documents to be listed per page in the Search Results List of the Documents View. The default is 100 and the options on the drop down menu range from 10 to 1000.
- **Landing Page:** The user can select the page which will appear first on logging into the site. The default is the Home Page and the options vary based on the tabs/modules the user has the permission to. The other options are Documents, Batching, Reports, and Admin.
- **Batch Documents Review:** Only available if the user has access to the Batching Module. The user can select the Review status of documents to be displayed. The options are Both, Reviewed, and Not Reviewed where Both is the default.

3.3.2   Search

The Search settings are listed on the Display tab. The user can check or select the options accordingly to make changes. Clicking the **Update** button saves the changes while clicking the **Close** button exits the popup without saving any changes.
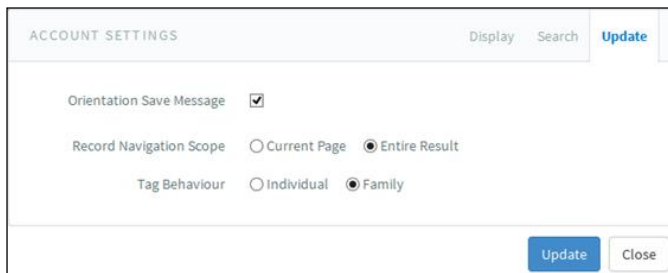
Search Settings

The options are:
- **Include memo fields:** When checked memo type fields appear in the Search Results list.
- **Include system fields:** When checked system type fields appear in the Search Results list.
- **Recent Search Count:** The number of recent searches to store. The user can enter a number from 1 to 250 with 100 being the default.

3.3.3   Update

Update settings are listed on the Display tab. The user can check or select the options accordingly to make changes. Clicking the **Update** button saves the changes while clicking the **Close** button exits the popup without saving any changes.

Update Settings

The options are:

- **Orientation Save Message:** When checked a message will be displayed reminding the user to save page orientation changes. This setting is checked by default.
- **Record Navigation Scope:** Controls the navigation between documents in the Document Viewer. The **Previous**, **Save**, **Save & Next**, and **Next** buttons are used for document navigation.
  - o **Current Page:** When selected navigation is restricted to the current search result page, i.e. once the user reaches the end of the current page of results the Next and Save & **Next** buttons will no longer be available and the user will have to go to the next page on the Documents View page to continue reviewing the documents.
  - o **Entire Results:** When selected navigation is <u>not</u> restricted to the current search result page, i.e. the user can navigate to the next document until the entire result set has been reviewed. The **Next** and **Save & Next** buttons are available until the last document in the search results set.
- **Tag Behavior:** Controls document tagging behavior.
  - o **Individual:** When selected only selected documents, page of documents or search criteria will be tagged during the tagging process.
  - o **Family:** When selected family documents will be tagged along with selected documents.

3.4   Signing Out

Clicking the **Sign Out** button on the User Options menu will log the user out of the site. The user will be taken to the log on screen. The date and time of sign out will be logged in the system.

4 Documents Page

The Documents Page has two views: (1) the Documents Home View and (2) the Documents View.

4.1 Documents Home View

The Documents Home View is accessed by clicking the Documents tab at the top of the site or by clicking the **View All** button on the Cabinets section of the Home Page. This view shows all of the Cabinets within the database that the user has permissions to.
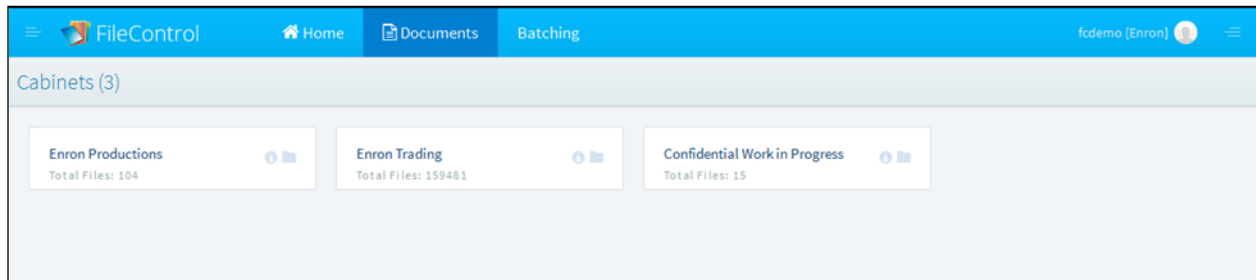
Documents Page Home View

Clicking on a Cabinet name will take the user to the Documents View. Clicking on the **Show Details** 🛈 button next to Cabinet name displays details about that cabinet.
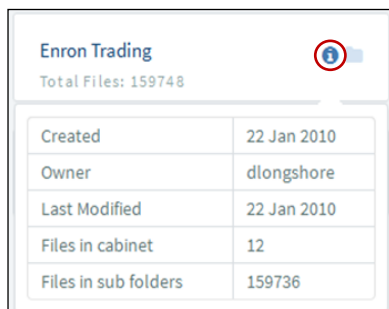
Show Details: Details of Enron Trading Cabinet
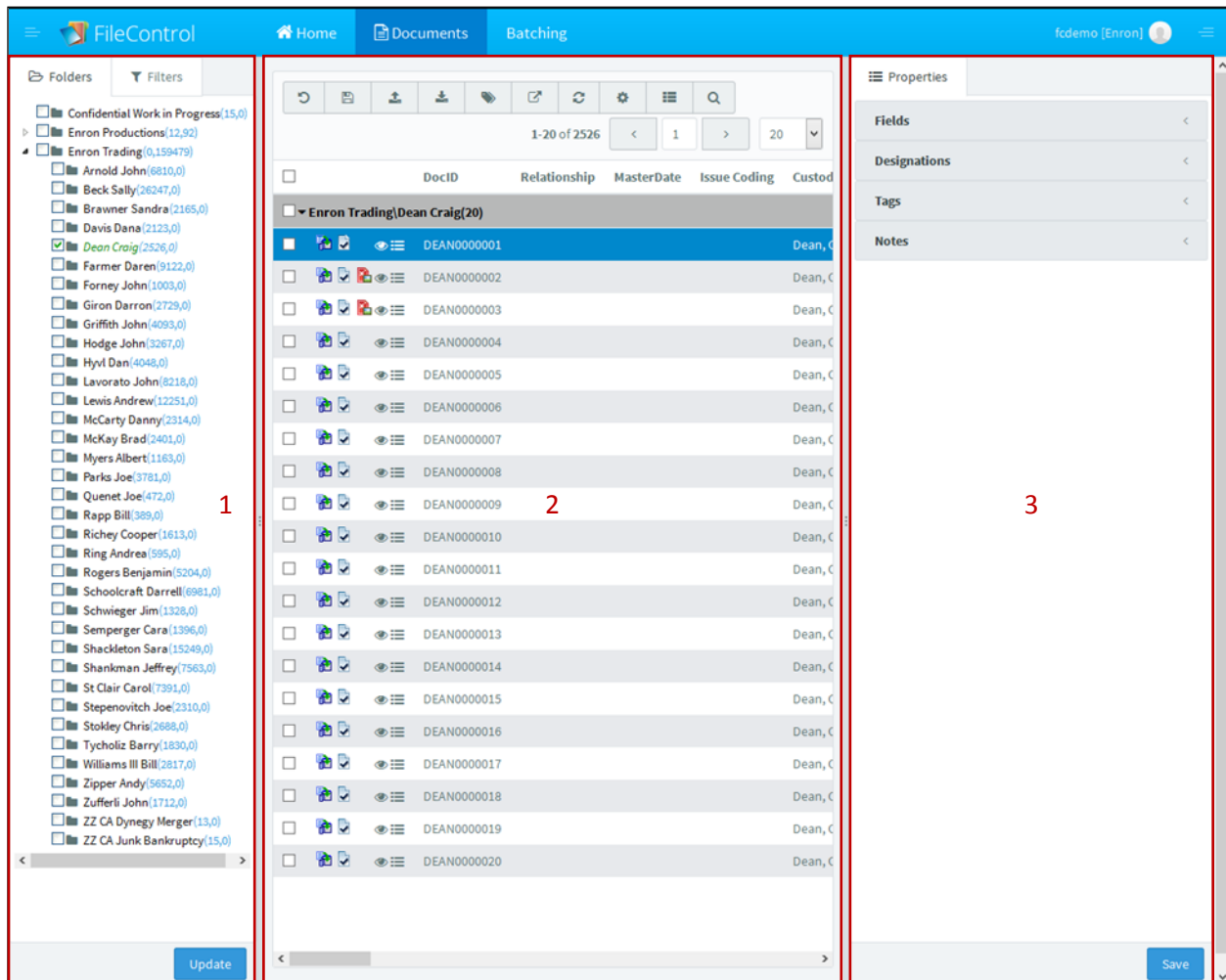
Clicking on the **Show Folders** 📁 button displays the Cabinet name which can be expanded to show all its subfolders. Here the user can check one, multiple or all folders to search for documents.
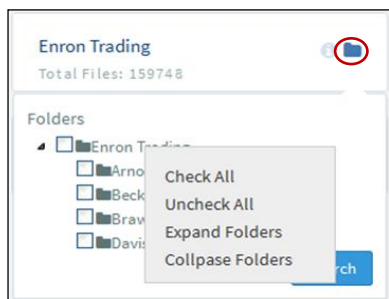
Show Folders: Folders of Enron Trading Cabinet (with Context Menu)

4.2 Documents View

After clicking on a cabinet or searching folders using the Show Folders option the user is taken to the Documents View. The Documents View is divided into three main sections: (1) the Folders & Filters Navigation section, (2) the Search Results List section, and (3) the Document Properties section (collapsed by default). From the Documents view, a user can access specific Folders in the File Room Folders view, view results of document searches, filter the documents contained in a particular folder based on a document's specific issue or designation tag(s), and search the content of Folders through new or saved searches.

Documents View showing all 3 sections

4.2.1 Folders

The Folders Tab is located on the left side of the Documents View and contains the File Room (Folders) that the user has the rights to access. The Folders & Filters Navigation pane may be expanded and hidden from the Documents View by clicked on the **Toggle Sidebar** button at the top left of the page (in front of the logo). The Folders on the Folders tab may be expanded by clicking the triangular pointer in front of the parent folder(s).

Documents View showing Folders Tab

If the *Show file count in folder tree* User Option is turned on two numbers will be shown after each folder name representing the document count of the current folder and the document count of its subfolders respectively. E.g. *Enron Productions (12, 90)* means that there are 12 documents in the Enron Productions folder and 90 documents in its subfolders.

4.2.2   Filters

The Filters Tab is located on the right side of the Documents View and allows for the filtering of the documents that have been tagged with specific issues or designations.

Documents View showing Filters Tab

4.2.3 Main Toolbar

On top of the Search Results List section of the Documents view is the Main toolbar which contains various functions for working with the documents of a search results. A description of each of these functions is displayed below. See Section 5 Working with Search Results for more details of these functions.

Documents View Main Toolbar

- ⟲ **Previous Search:** Execute the previous search.
- 💾 **Save Search:** Save the current search.
- ⬆ **Upload:** Upload documents.
- ⬇ **Download:** Download documents.
- 🏷 **Tag:** Add and Manages Tags, Tag and Untag files.

- ⬀ **Export:** Export search results metadata.
- ⟳ **Clear Search Criteria:** Clear the current search criteria.
- ⚙ **View Field Customization:** Customize fields visible and their order.
- ☰ **More Options:** Copy, Move, Tiff, Search documents with similar field values and delete files.

  ⧉ Copy

  ✄ Move

  🖼 Tiff

  🔍 Similar Document Search

  🗑 Delete Files

- 🔍 Search: Search document content, View saved searches, and perform advanced searches.

4.2.4   Page Navigation Toolbar

At the top right of the Search Results section is the Page Navigation toolbar. This begins with the range of documents being viewed out of the total documents in the search results. This is followed by the Previous Page button, then the current page being looked at, the Next Page button and finally the Records per page. The current page can be changed by editing the value in the field while the Records per page can be changed temporarily by selecting from the drop down menu or permanently by editing in Accounts Settings. The Records per page options range from 10 to 1000.

| 1-10 of 12 | < | 1 | > | 10 ⌄ |
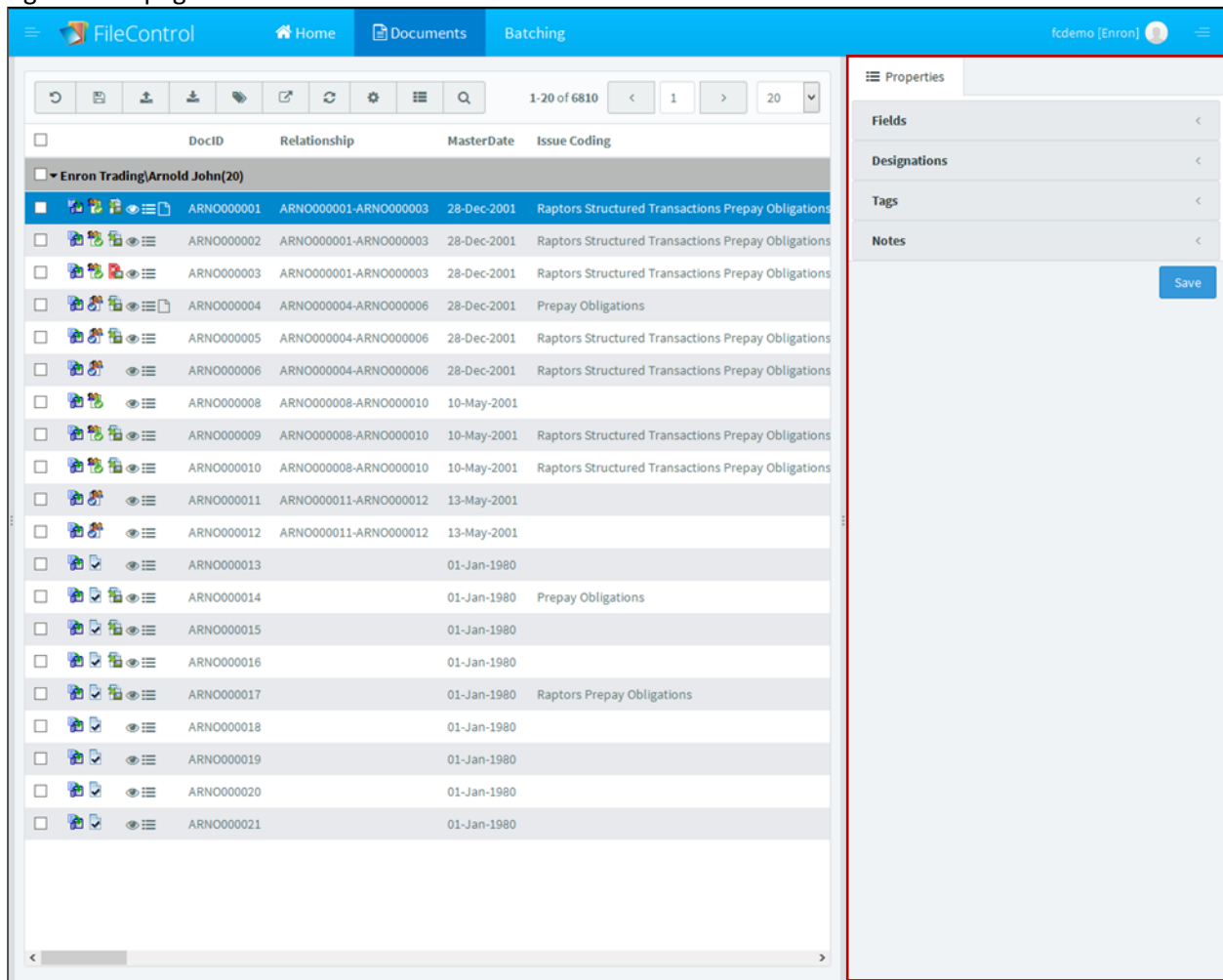
Documents View Page Navigation Toolbar:
The first 10 documents out of a total 12 are listed on page 1; 10 Records per page are being viewed.

4.2.5   The Search Results List

The Search Results List is the list of documents resulting from a search of the folders is displayed in the center of the Documents View page below the top toolbars. The documents are displayed by cabinet in tabular form showing the fields and their values that the user has permissions to. There are icons/buttons in front of each record in the list. See Section 5.3 Search Results List Functions for more details.

Documents View Search Results List

4.2.6 The Document Properties Pane

The Document Properties pane is collapsed by default. Clicking on **View Properties** button will expand the Properties Pane to the right of the Search Results list. The Fields, Designations, Tags and any Notes of the selected document are displayed and can be edited here. The Properties Pane may also be expanded or hidden from the Documents View by clicking on the **Toggle Properties** button at the top

right of the page.

Documents View Documents Properties Pane

5 Working with Search Results

The Search Results section of the Document View page contains the Main Toolbar, Page Navigation Toolbar and the Search Results List. The following gives details about working with this section.

5.1 Page Navigation

See Section 4.2.4 Page Navigation Toolbar for details.

5.2 Main Toolbar Functions

The Main Toolbar at the top left of the Search Results section contains the buttons used to work with the Search Results. These functions are described in below.

5.2.1 Previous Search

Clicking the **Previous Search** button loads the Search Results of the previous search to the Search Results Lists.
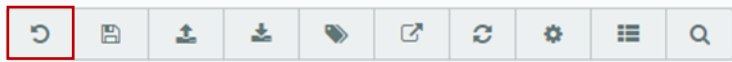
Main Toolbar showing the Previous Search button

5.2.2 Save

Clicking the **Save** button allows the user to save the Search Result criteria for later access. See Section 6.3 Saved Search for more details.

Main Toolbar showing the Save button

5.2.3 Upload

The user may upload documents into the system. Clicking the **Upload** button displays the Upload Documents popup.

Main Toolbar showing the Upload button

Here the user can select the Cabinet or Folder to upload to from the folders list on the left of the screen. Cabinets with subfolders may be expanded or collapsed by clicking the arrow in front of the cabinet name. To the right of the folder list the user can Drag and Drop into the highlighted area or click to select files. Clicking will bring up Windows Explorer where the user can browse to find the files to upload.
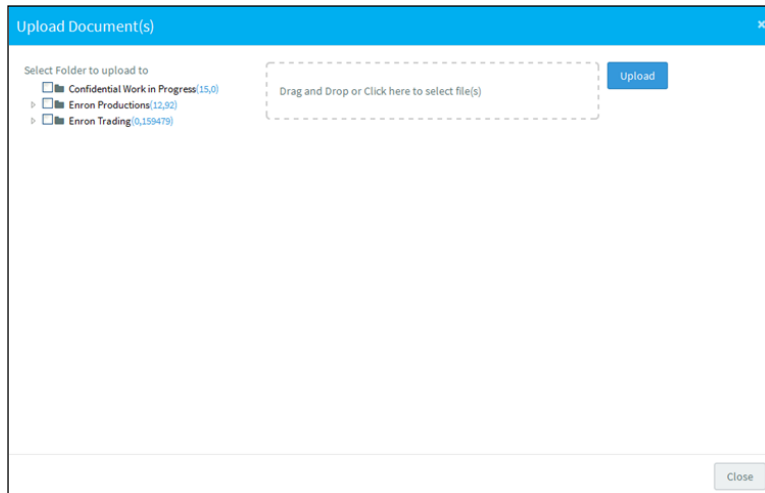
Upload Document(s) Popup

Multiple files can be selected using the Shift key for selecting sequential files and the Ctrl key for selecting multiple files not listed sequentially. Files can only be selected from one Windows folder at a time and can only be uploaded to one system folder at a time. Once the files have been selected they will be listed below the upload file selection area. Clicking the **Upload** button will begin the upload process.
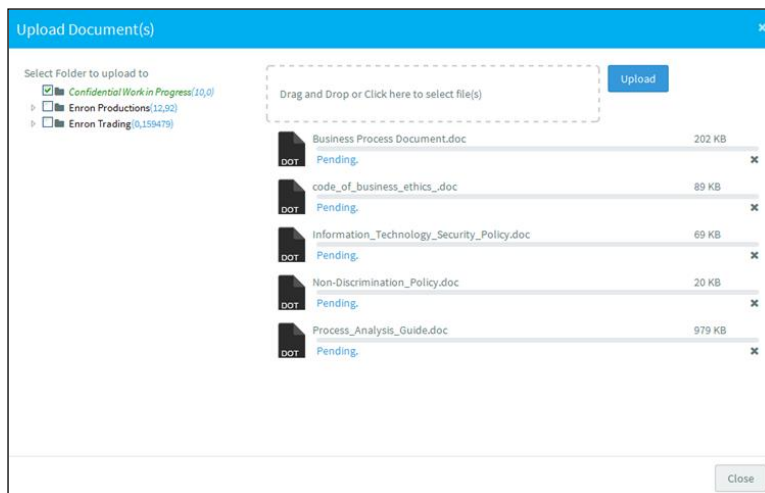
Upload Document(s) Popup showing files selected for upload

The file name and size as well as the upload progress of each file is shown. Once upload is complete clicking the **View Uploaded Files** button will load the documents in the upload folder to the Search Results List allowing the user to review the documents uploaded. Clicking the **Close** button will return the user to the Search Results List being viewed before upload.
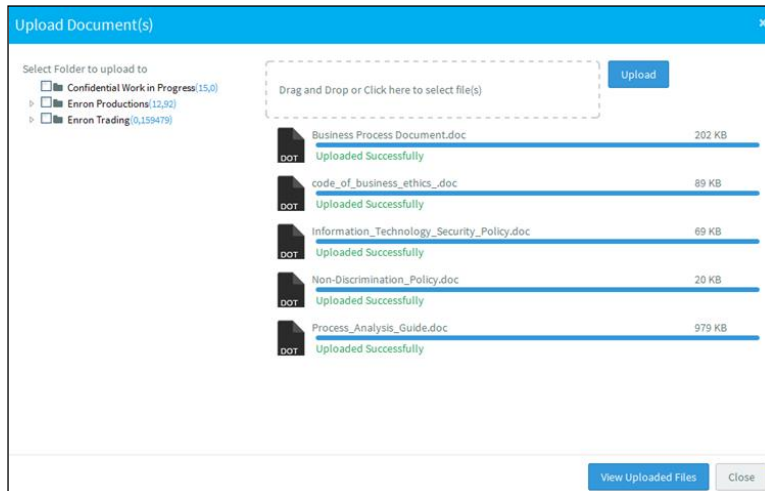
Upload Document(s) Popup showing files upload progress

5.2.4   Download

Documents can be downloaded from the Search Results list to the user's computer. Checking the box for a document, multiple documents or all documents on the current page will select them. Clicking the **Download** button displays the Download File(s) popup.
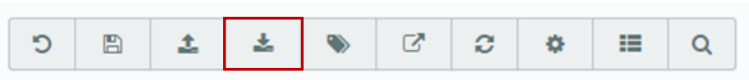
Main Toolbar showing the Download button

Here the user can check the box to download the document with Document ID as name or as is with the File Name. Clicking the **Next** button will proceed with the download into a zip file.
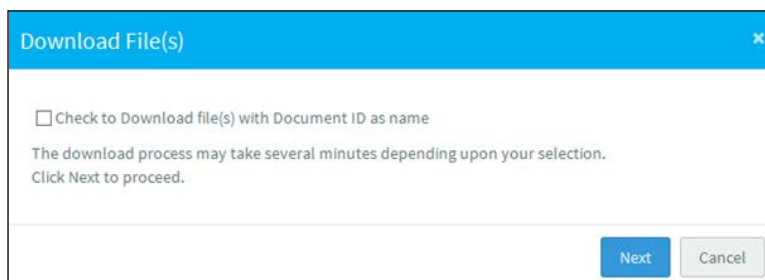
Download File(s) Popup

5.2.4.1   Download Limit Exceeded

In cases where the total size of the documents selected for download has exceeded the limit a message will be shown alerting the user of the total size of the selected documents and the download size limit which has been exceeded. User can choose to proceed or cancel the download process.
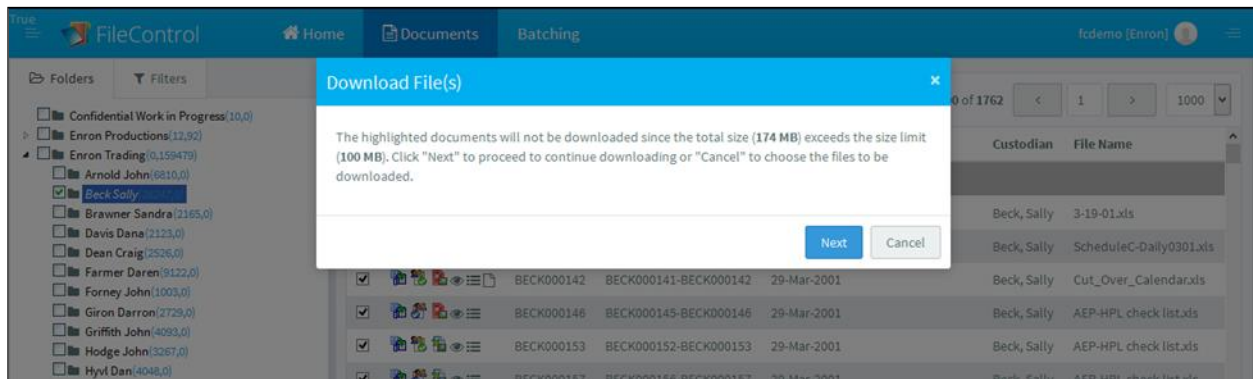
Download Limit Exceeded message with selected documents in the background

The user can proceed with the download job by clicking the **Next** button. If user chooses to proceed with the download only the documents within the limit will be downloaded and user will be presented with a list of the excluded documents after the download completes. The download job can be cancelled by clicking the **Cancel** button which exits the Download File(s) window and take the user back to the Documents View.

5.2.5   Tags
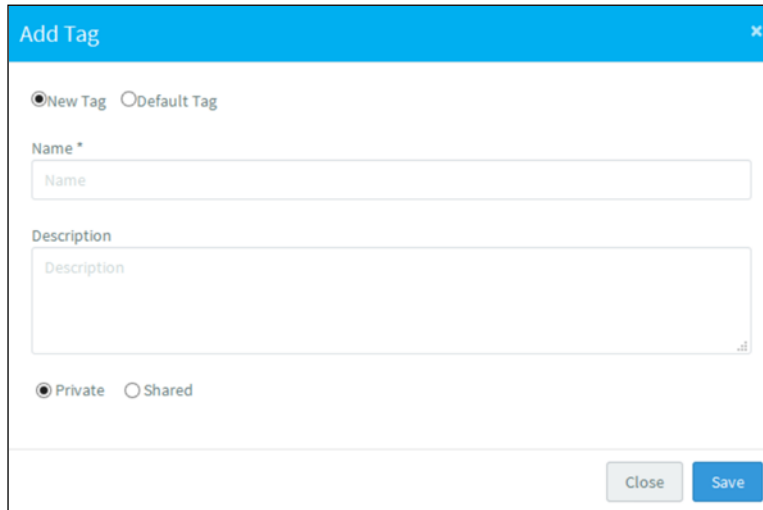
Tags are used in FileControl to group documents into different categories relevant to the document set. Each set of tags is associated with a Cabinet and its folders. Clicking on the **Tags** button displays the Tags menu where the user can create a new tag, manage existing tags, tag files or untag files. All of these functions are described below.
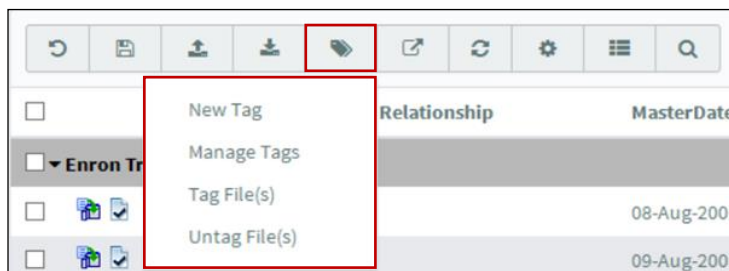
Main Toolbar showing Tags Button and Menu

5.2.5.1   Creating a New Tag
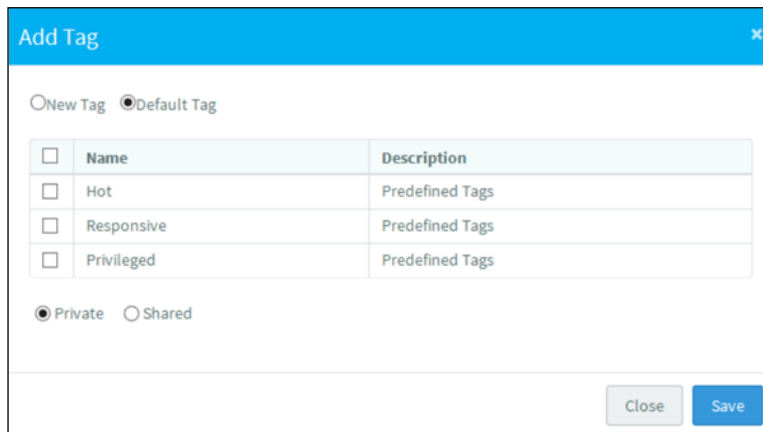
Clicking on the **New Tag** option on the Tags Menu takes the user to the Add Tag popup.

Add Tag Popup

By default, the **New Tag** radio button is selected. With this selection the user can create a new tag by giving it a **Name** [Required] and a **Description** [Optional]. By default, the tag is created as private. Alternatively, the user may create a predefined tag by selecting the **Default Tag** radio button.

Add Tag Popup showing Default Tag

Here the user can select from Hot, Responsive, or Privileged. The user may also share the tag with other users and groups by selecting the **Shared** radio button.

Add Tag Popup showing Shared selected

Clicking the **Save** button creates the tag while clicking the **Close** button cancels the Add Tag process and exits the popup.

5.2.5.2   Managing Existing Tag

Existing tags can be edited or deleted. Clicking the **Manage Tag** option displays the Manage Tags popup.
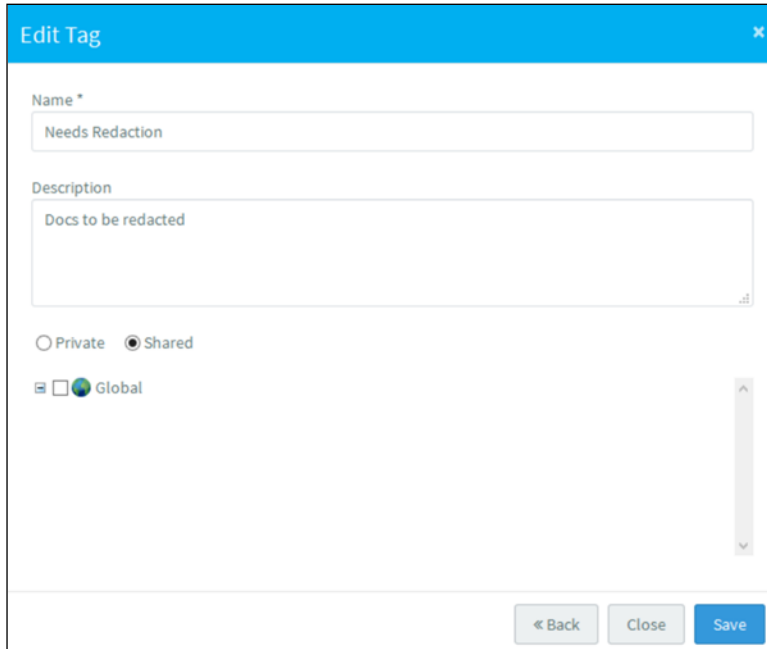
	Name	Description	Owner Name	Edit
☐	Hot Docs	Predefined Categories	admin	✎
☐	Needs Redaction	Docs to be redacted	admin	✎
☐	Privileged	Privileged	admin	✎
☐	Responsive	Predefined Tags	admin	✎
☐	To Produce		admin	✎
☐	Unsupported Files		admin	✎

Manage Tags Popup

Here the user may edit the tag name and description as well as change the privacy of the tag. Clicking the Edit icon for a tag displays the Edit Tag popup. The user may click the **Back** button to return to the Manage Tags popup, click the **Save** button to complete the edit process or click the **Close** button to cancel the process and exit the popup.

Edit Tag Popup

The user may also delete a tag or multiple tags but only if no documents are associated with the tag(s). An empty checkbox indicates the user has delete permission while a greyed out checkbox means the user does not. Checking the tag and clicking the **Delete** button at the top of the Manage Tags popup displays the delete confirmation and deletes the tag.

5.2.5.3   Tagging Files

Documents can be tagged by checking the box for an individual document, multiple documents, a folder of documents, or a page of documents and clicking the **Tag File(s)** option on the Tags menu. This displays the Tag File(s) popup.

Tag File(s) Popup

The **Selected Records** radio button is selected by default. This option means only selected documents will be tagged. The user may keep this selection, change this to *Current Page of Records* which would only tag the current page of documents or *All Records* which would tag all documents in the search results set. Checking the tag or tags from the list and clicking the **Tag File(s)** button will associate the documents with the tag(s). Clicking Cancel will cancel the process and exit the popup.

5.2.5.4 UnTagging Files

Documents can be untagged or removed from a tag in the same way. Clicking the **Untag File(s)** option on the Tags menu. This displays the Tag File(s) popup.

Untag File(s)

Here the user may keep the *Selected Records* option, change to *Current Page of Records* or to *All Records*. Checking the tag or tags from the list and clicking the **Untag File(s)** button will disassociate the documents with the tag(s). Clicking the **Cancel** button will cancel the process and exit the popup.

5.2.6 Export

FileControl allows the user to export the metadata for documents in the Search Results list. Clicking the **Export** button takes the user to the Export popup.
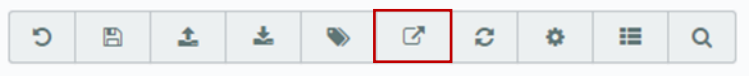
Main Toolbar showing the Export button

The user may choose may choose to **Export all Results** or **Export results in current page**. All metadata fields visible to the user are listed on the Export popup and are selected by default. They user may uncheck some of these if they are not need in the export. At least one field must be checked. Clicking the **Export Result** button will download the selected fields to a new excel file.
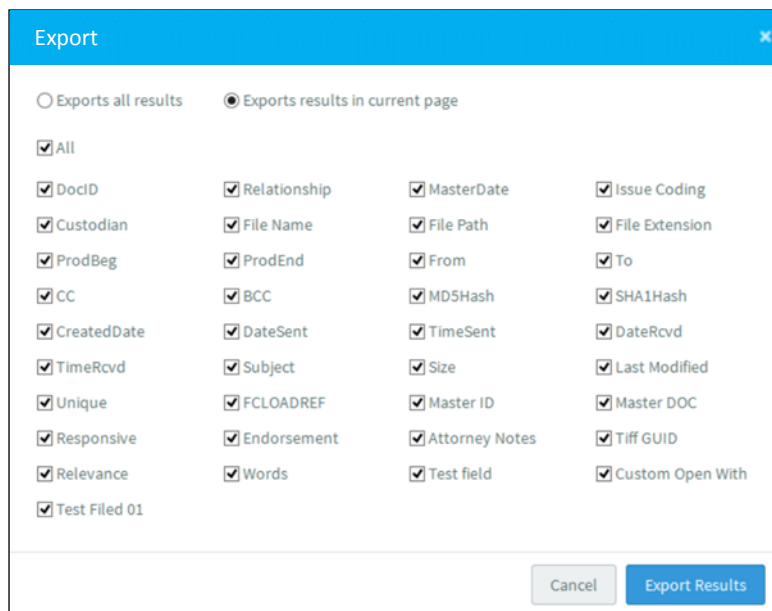
Export Popup

5.2.7   Clear Search Criteria

Clicking the **Clear Search Criteria** button clears the criteria of the current search and loads all documents found in the current Cabinet as the new Search Result.
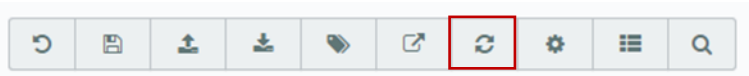
Main Toolbar showing the Clear Search Criteria button

5.2.8   Field View Customization

The fields visible as well as the sort order in the Search Results List can be customized by the user. Clicking the **Field View Customization** button displays the popup where this can be configured.

Main Toolbar showing the Field View Customization button

The current cabinet is selected by default. The fields listed will be updated if the user selects a different cabinet. The user may change the settings **For this search only**, **For this session only**, or **Make it permanent** by selecting the relevant radio button. Clicking the **Update** button saves any changes made, clicking the **Reset** button resets the field visibility and order back to the original state, while clicking the **Cancel** button exits the popup without saving any changes.

Field View Customization Popup

5.2.8.1   Showing or Hiding Fields

Checking the box in front of a field name shows the field in the Search Results List. All fields which ae visible to the user are checked by default. Unchecking the box for a field will hide it from the list for the time period selected.

5.2.8.2 Reordering Fields

Fields may be reordered by moving to *Top*, *Up*, *Down*, or *Bottom*. This is facilitated by clicking the buttons in the Reorder column of the fields list.

Field Reorder Buttons

5.2.8.3 Changing the Field Sort Order

The fields sort by the first field set up in the list in ascending order by default. Up to three **Sort By** fields can be added by selecting the desired field name from the drop down menus in the Field column for the first, second and third levels. The order can be changed in the same way by selecting Ascending or Descending from the drop down menus in the Order column.
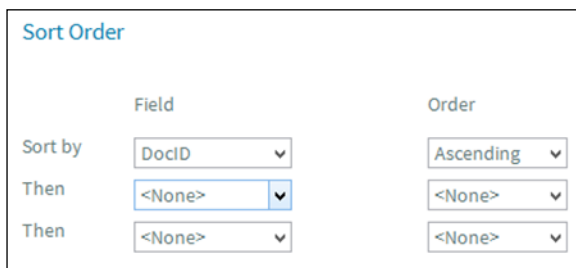
Sort Order Section of the Field View Customization Popup showing DocID as the Sort By Field in Ascending Order

5.2.9 More Actions

Clicking the **More Actions** button displays a menu of other actions that can be performed on the Search Results. These are Copy, Move, Tiff, Similar Document Search, and Delete and are described below.
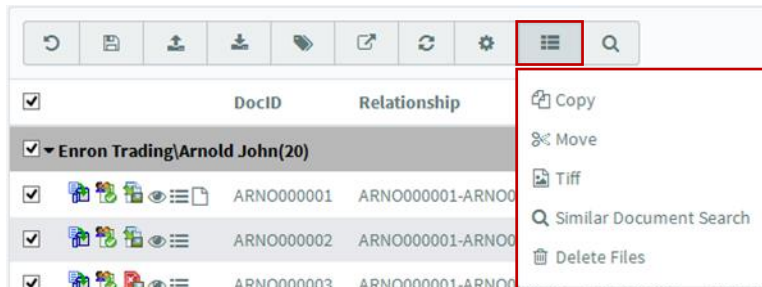
Main Toolbar showing More Actions Button and Menu

5.2.9.1 Copy

Documents may be copied from one folder to another if Copy, Move and Delete options are enabled for the site. Checking the box of one or multiple documents and clicking the **Copy** option on the Other Actions menu displays the Copy File popup.
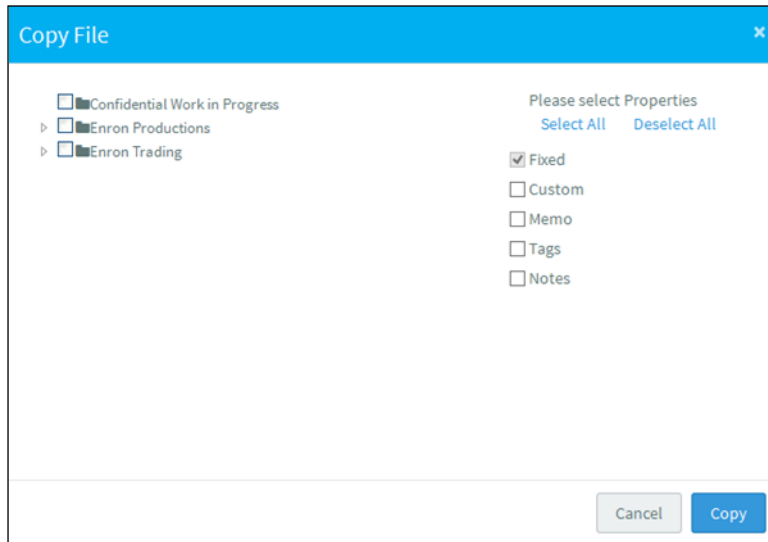
Copy File Popup

Here the user selects a folder from the list on the left of the popup and the desired properties on the right. The properties which can be copied along with the documents include Fixed [Fields], Custom [Fields], Memo [Fields], Tags and Notes. The Fixed fields option is selected by default as this is the minimum property copy requirement. Clicking the **Copy** button copies the documents(s) to the selected folders while the **Cancel** button cancels the process and exits the popup.

5.2.9.2   Move

Documents may also be moved from one folder to another within the same cabinet if Copy, Move and Delete options are enabled for the site. Checking the box of one or multiple documents and clicking the **Move** option on the Other Actions menu displays the Move File popup.

Move File Popup

![FileControl logo]
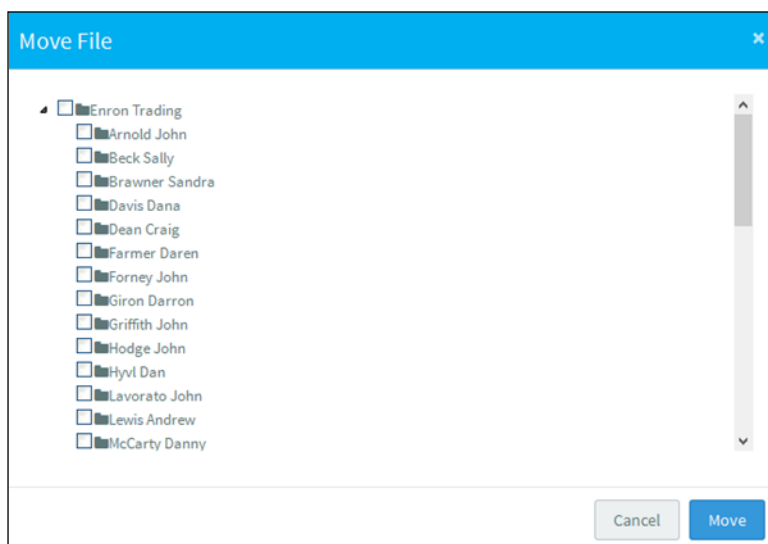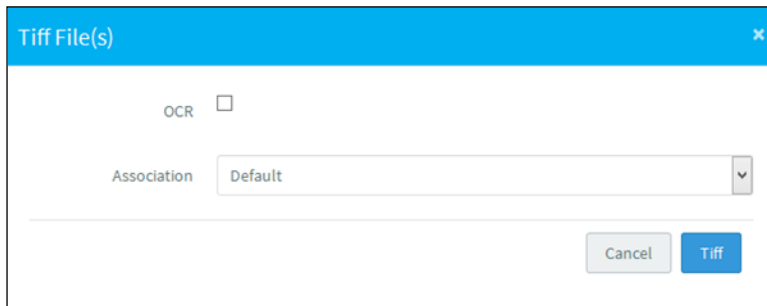
Here the user selects a folder from list. Clicking the **Move** button moves the document(s) to the selected folder while the **Cancel** button cancels the process and exits the popup.

5.2.9.3   Tiff

The Tiff-on-the-Fly functionality allows the user to quickly convert documents to tiff image form for annotating and redacting. Checking the box of one or multiple documents and clicking the **Tiff** option on the More Actions menu displays the Tiff File(s) popup.
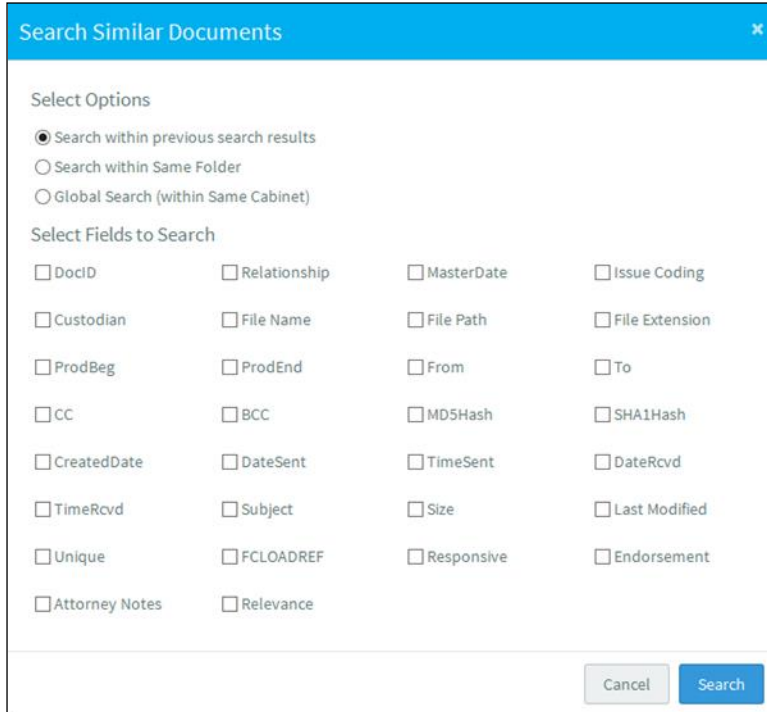
Tiff File(s) Popup

Here the user may choose to OCR during Tiff by checking the box and select the Association which controls the image links. The Default Association is selected by default. Clicking the **Tiff** button will queue the document for Tiffing while the **Cancel** button cancels the process and exits the popup.

5.2.9.4   Similar Document Search

The Similar Document Search feature allows the user to find other documents similar to a selected document based solely on field values. Checking the box of a document and clicking the **Similar Document Search** option on the More Actions menu displays the Search Similar Documents popup.

Search Similar Document Popup

Here the user selects the area within which to search by selecting the radio button for **Search within previous search results** (default), **Search within the Same Folder**, or **Global Search (within the Same Cabinet)**. Select the field(s) from the list by checking the box. Clicking the **Search** button refreshes the Search Results List to show the results of similar documents while clicking the **Cancel** button exits the popup.

5.2.9.5   Delete Files

Documents may be deleted if Copy, Move and Delete are enabled for the site. Checking the box of one or multiple documents and clicking the **Delete** option on the Other Actions menu displays a confirmation message. Clicking the **Ok** button permanently deletes the document while clicking the **Cancel** button cancels the process and exits the popup.

5.2.10 Search

Clicking the **Search** button displays the Search field for searching content as well as links to the Saved Search and Advanced Search pages. See Section 6 Searching for more details.
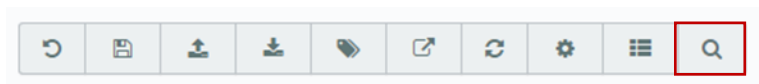
Main Toolbar showing the Search button

5.3   Search Results List Functions

The Search Results List displays the metadata fields and their values of the documents resulting from a search. The list can be sorted by any of the available fields, the icons for each record show various status

of the document, document properties can also be viewed and edited, and the documents can be viewed in Quick View mode.

5.3.1 Resorting the List

The fields sort by the first field set up in the list in ascending order by default. The list can be resorted by any field by clicking the field name. Clicking the field name once sorts in ascending order while clicking the name a second time sorts in descending order.

5.3.2 Search Results List Icons

The icons on the Search Results List which appear in front of each document provide information about the status of the document. These icons are described below.

Search Results List Icons

- **Indexing Status:** Indicates the status of a document's indexing.
  - Index Complete
  - Index Pending
  - Index Failed

- **Family Relationship:** Indicates whether a document is part of a family or not.
  - Individual File
  - Family Member

- **Tiff Status:** Indicates the status of a document's Tiffing.
  - Column blank if Document not Tiffed
  - Tiff Successful
  - Tiff Pending
  - Tiff Failed

- **Note:** Indicates that the document has a note associated with it. The column is blank if no note exists.

5.3.3 Viewing a Document in Quick View Mode

The **Quick View** button displays the document in popup mode. Clicking on the button opens a popup viewer in the foreground of the Search Results list for the user to have a quick look at the selected document.

BECK000009   BECK000009-BECK000010
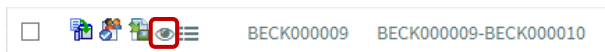
Section of the Search Result List showing Quick View button

The document viewer here is basically the same as the one on the Review/Coding page without content search options.
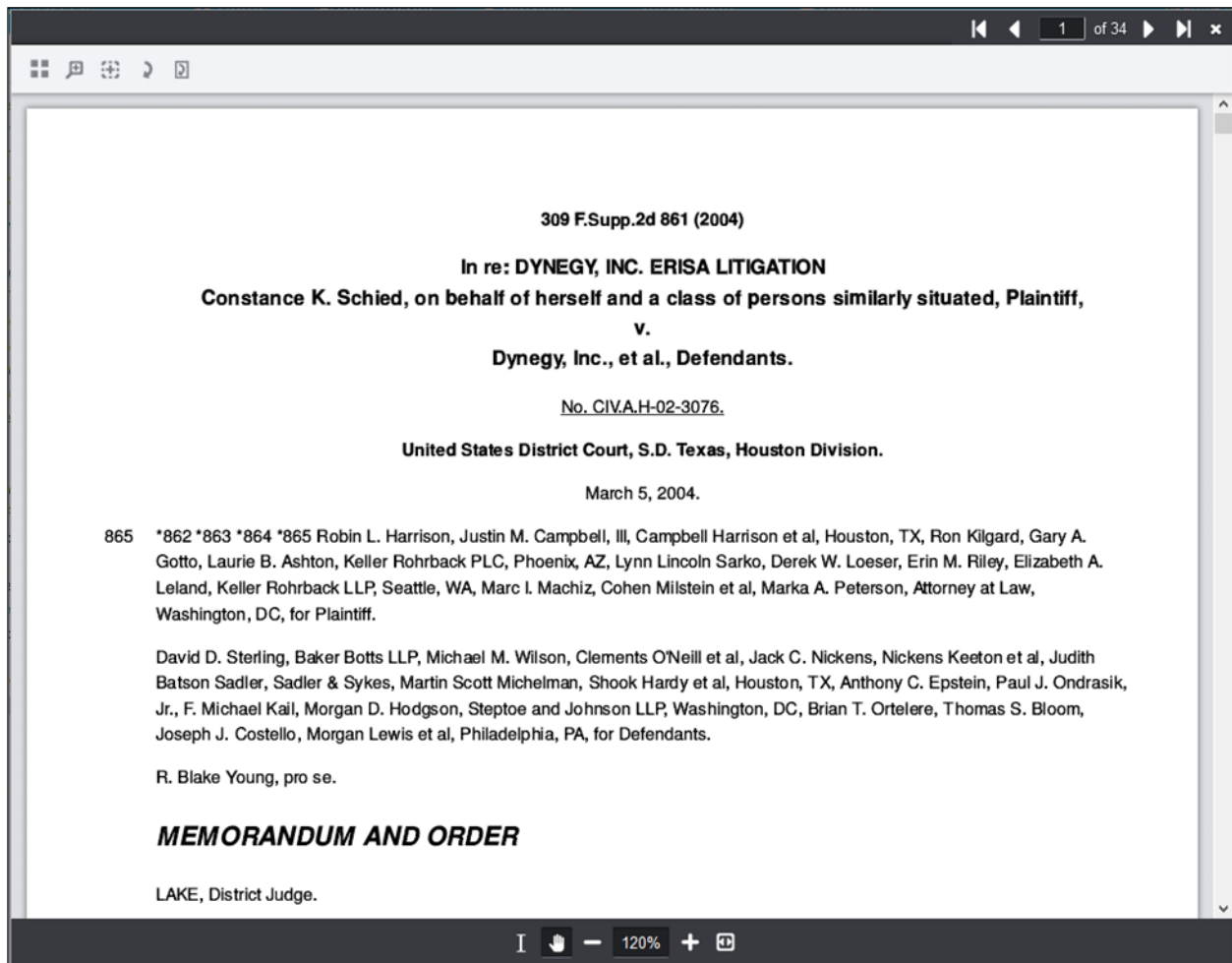
Document in Quick View Mode
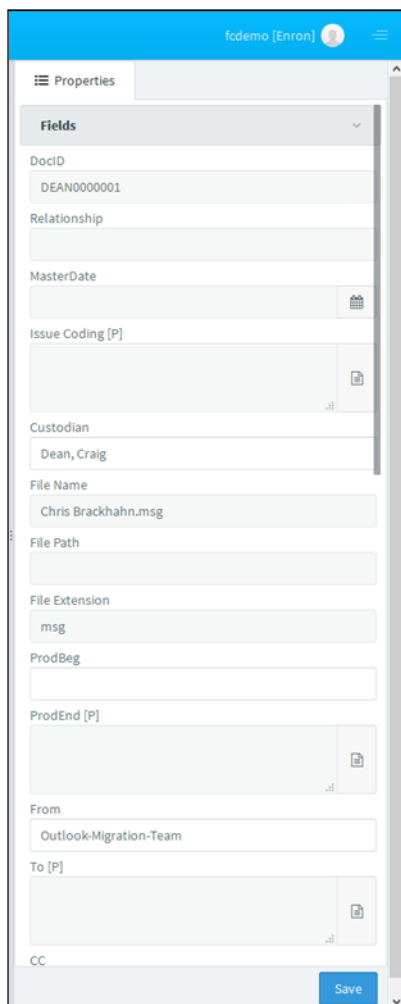
5.3.4 Viewing Document Properties

The **View Properties** ≣ button expands the Properties Pane to the right of the Search Results list to display the document's properties.
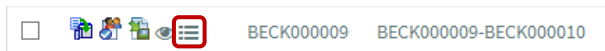
Section of the Search Result List showing View Properties button

There are tabs for Fields, Designations, Tags and/or Notes. The user may expand the respective tabs to edit those properties. Clicking the **Save** button will save any changes made to the document's properties.

Document Properties Pane Showing Fields Tab Expanded

The Properties Pane may also be expanded or hidden from the Documents View by clicking on the **Toggle Properties** ▤ button at the top right of the page.

6 Searching
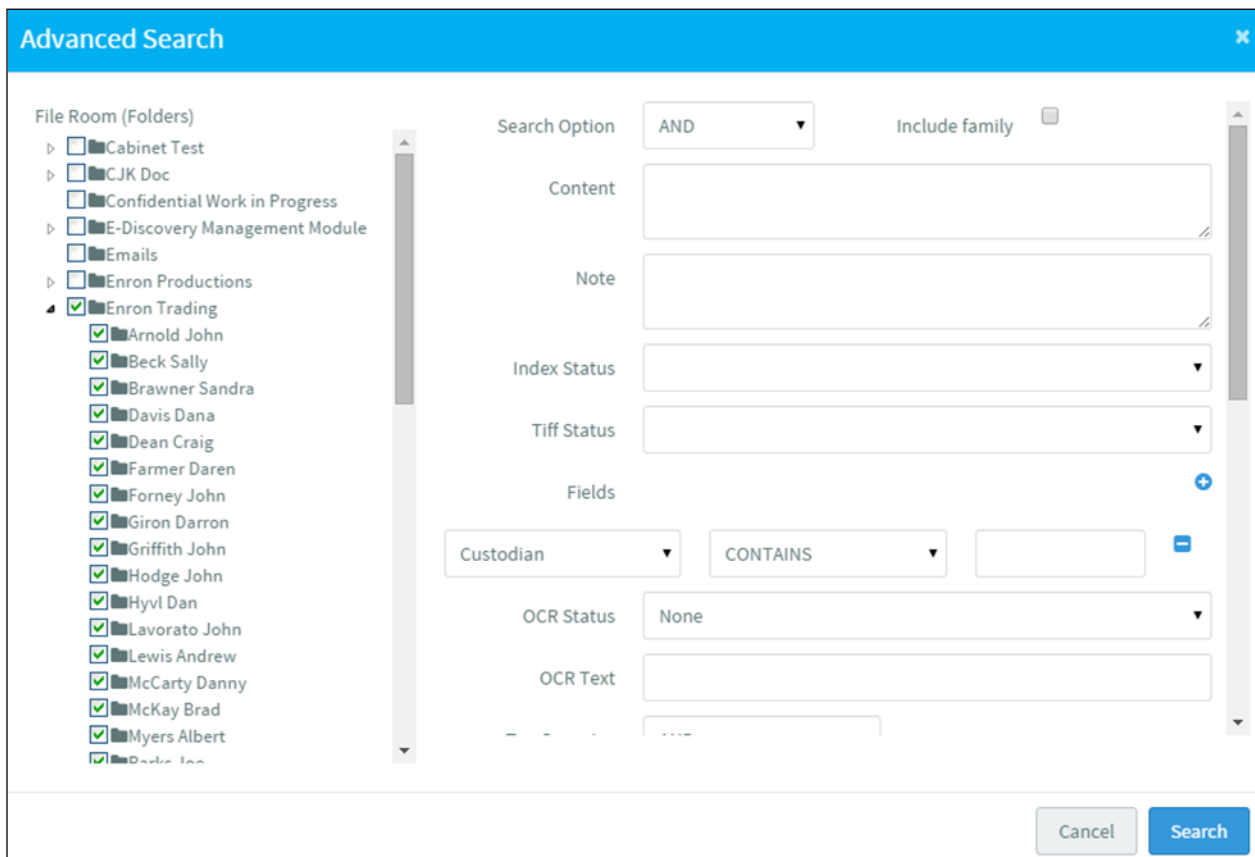
6.1 Advanced Search

The FileControl Advanced Search feature allows searching for documents based on the documents' field values, content (extracted text/OCR), tag information and/or index or tiff status. From the Documents view, the Advanced Search is accessed by clicking the **Search** 🔍 button on the Main Toolbar then clicking the Advanced Search link on the drop down menu. The Advanced Search popup is displayed.
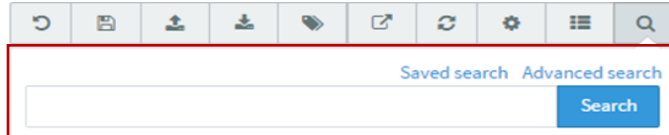
Documents View Search Content Dropdown

Here the user enters criteria to search for the documents. Details follow.

Advanced Search Window

- Any **Cabinets** (Top level folder) and their subfolders that the user has permission will be displayed in the **File Room (Folders)** pane on the left of the advanced search screen. A triangular pointer in front of a cabinet indicates that it has subfolders. Clicking the pointer will expand the list of subfolders.

Select the cabinet(s) or folder(s) from the **File Room (Folders)** pane that the user wishes to search by checking the box in front of the folder or cabinet's names or right clicking to use the dropdown context menu.
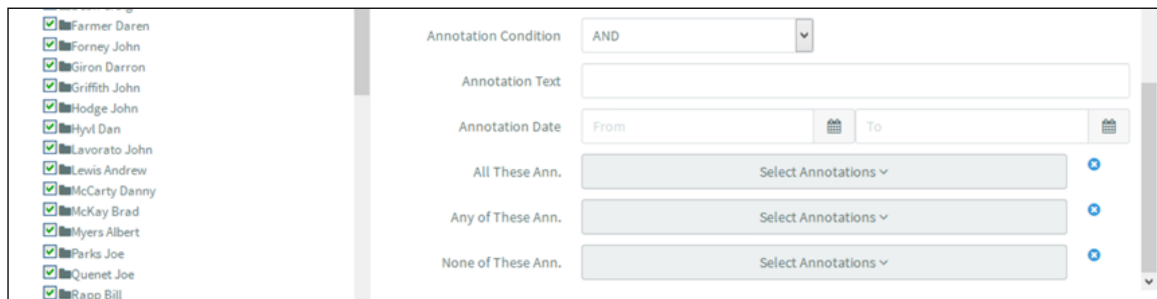
- The options for building the search criteria are displayed on the right. A custom query is built by providing Search Criteria based on the following options all of which are optional.
    - o **Search Option:** The search is by default an **AND** Search meaning documents fitting All of the search criteria entered will be found. To toggle to the **OR** search, select **OR** from the Search Option drop down menu at the top of the Advanced Search window. This will search for **Any** of the search criteria entered. Select **AND** to return to the **AND** search.
    - o **Include Family**: Checking the box will include all documents that share a parent-child relationship in the search.
    - o **Content**: Enter text in this field to search the extracted or embedded text of the electronic documents. Only electronic documents found to contain this text will be in the results. See Section 6.2 for Content Search Features.
    - o **Note:** Enter text in this field to search the content of notes associated with documents.
    - o **Index Status**: Defaults to None Select Pass, Pending or Fail from the drop down menu to only include those electronic documents with those index statuses in the search results.
    - o **Tiff Status:** Defaults to None; Select Pass, Pending or Fail from the drop down menu to only include those documents associated with images with those tiff statuses in the search results.
    - o **Fields:** Select a field from the 1ˢᵗ drop down menu, the criteria from the 2ⁿᵈ (such as CONTAINS, STARTS WITH, etc.), and enter the value sought in the 3ʳᵈ field. Click the top plus sign ⊕ to add another field to search. Click the plus sign ⊞ to the right of the fields to add another criterion to the search within the same field.
    - o **OCR Status:** Defaults to None; Select Pass, Pending or Fail from the drop down menu to only include those documents associated with images with those OCR statuses in the search results.
    - o **OCR Text:** Enter text in this field to search the OCR text of the documents with tiff images associated.
    - o **Tag Operator:** Select **AND** or **OR** from the Tag Operator dropdown.
    - o **Tag:** Select tags from the 3 lists to include in the criteria. Multiple tags can be selected to create a complex Boolean tag search. Click the ⊗ to the right of the tag selection fields to clear all selections.
        - ▪ **All of These Tags:** Documents associated will all the selected tags will be searched.
        - ▪ **Any of These Tags:** Documents associated with any of the selected tags will be searched.
        - ▪ **None of These Tags:** Documents that are not associated with any of the selected tags will be searched.

Advanced Search Window showing Tag Search options

- o **Annotation Condition:** Select **AND** or **OR** from the Tag Operator dropdown.

- Annotation Text: Enter text in this field to search the content of text based annotations.
- Annotation Date: Enter a date range to search the created dates of the annotations.
- Annotation Type: Select the type of annotations from the 3 lists below to include in the criteria. Multiple annotations can be selected. Click the ⊗ to the right of the annotation selection fields to clear all selections.
    - **All of These Tags:** Documents containing all the selected annotation types will be searched.
    - **Any of These Tags:** Documents containing any the selected annotation types will be searched.
    - **None of These Tags:** Documents that are not associated with any of the selected annotation types will be searched.

Advanced Search Window showing Annotation Search options

- Click the **Search** button to search for documents containing the search criteria entered.
    - The system will display all documents of the selected folder if user executes blank search (without search criteria).
- If any search hits are found, the results are listed in Search Results List, otherwise a *No record found* message is displayed in place of the list.

6.2   Content Search Features

Content Searching involves searching the text extracted from or embedded in electronic documents. In FileControl there are multiple content search features available to make it easier for users to find exactly the documents they are looking for. These include Fuzzy Search, Phonic Search, Stemming, Synonym Search, Numeric Range Searching, Variable Term Weighting, Words and Phrases, and Wildcards and are described below.

6.2.1   Fuzzy Search

Fuzzy searching will find a word even if it is misspelled. Fuzzy searching can be useful when searching text that may contain typographical errors, or for text that has been scanned using optical character recognition (OCR) e.g. fuzzy search for **apple** will find **appple**. Fuzziness can be added selectively, by using the **%** character. The number of % characters added determines the number of differences that the search engine will ignore, while searching for a word. The position of the % characters determines how many letters at the start of the word have to match exactly.
Examples:
- **ba%nana:** Word must begin with ba and have at most one difference between it and banana.
- **b%%anana:** Word must begin with b and have at most two differences between it and banana.

6.2.2　Phonic Search

Phonic searching looks for a word that sounds like the word being searched and begins with the same letter. To search for a word phonically, put a **#** in front of the word in the search request.

Examples:

- **#smith**: A phonic search for smith will also find **smithe** and **smythe**.
- **#johnson**: A phonic search for johnson will also find **jonson** and **johnsun**.

6.2.3　Stemming

Stemming extends a search to cover grammatical variations on a word. Stemming is added selectively, by adding a **~** at the end of words to be stemmed in a search. The stemming rules included with the search are designed to work with the English language.

Examples:

- **apply~**: A search for apply would also find **applying**, **applies**, and **applied**.
- **fish~**: A search for fish would also find **fishy** and **fishing**.

6.2.4　Synonym Search

Synonym searching finds synonyms of a word that included in a search request. Synonym searching is enabled selectively, by adding the **&** character after certain words in the request.

Examples:

- **modify&**: A search for modify would also find **change**.
- **fast&**: A search for fast would also find **quickly**.

6.2.5　Numeric Range Searching

A numeric range search is a search for any numbers that fall within a range. To add a numeric range component to a search request, enter the upper and lower bounds of the search separated by **~~**.

Examples:

- apple **w/5** 12~~17: This request would find any file containing apple within 5 words of a number between 12 and 17.

Numeric range searches only work with positive integers. Decimals and commas are treated as spaces and minus signs are ignored. E.g. 123,456.78 will be treated as 123 456 78.

6.2.6　Variable Term Weighting

Variable Term Weighting is the type of search that returns a word based on its occurrence within a file. When the search engine sorts search results after a search, by default all words in a request count equally in counting hits. However, this can be changed by specifying the relative weights for each word followed by a **:** and the weight.

Examples:

- **apple:5** and **pear:1**
  This request would retrieve the files containing apple and pear but the search engine would weigh apple five times as heavily as pear when sorting the results.

6.2.7   Words and Phrases

To search for a phrase, use quotation marks **" "** around it. Punctuation inside of a search word is treated as a space.

Examples:

- **"fruit salad"**: Files containing the phrase **fruit salad** will be returned.
- **can't**: The word can't would be treated as a phrase consisting of two words, **can** and **t**.

6.2.8   Wildcards

A wildcard is a special symbol that stands for one or more characters. Wildcards are used for identifying files and can be in any position in a word. It enables the user to select multiple files with a single specification. Some commonly used wildcard characters are *****, **?** and **=** etc. A ***** matches any number of characters, **?** matches any single character and **=** matches any single digit.

Examples:

- **appl***: Files that contain **apple**, **application**, **applied** will also be returned.
- **appl?**: Files that contain **apple** and **apply** will be returned.
- ***cipl***: Files that contain **principles**   will be returned.
- **N===**: Files that contain **N123** but not **N1234** or Nabc will be returned.

6.2.9   Content Search Operators Summary

Character	Meaning
?	matches any character
=	matches any single digit
*	matches any number of characters
%	fuzzy search
#	phonic search
~	stemming
&	synonym search
~~	numeric range

6.3   Saved Search

The Saved Search feature allows the user to save the current search to be re-run later and share with other users. Searches can be saved from the Document View and from the Recent Search List page. The user may also execute an existing saved search from the Saved Search List page.

6.3.1   Saving a Current or Recent Search

A current or a recent search can be saved from the Document View and Recent Search List page.
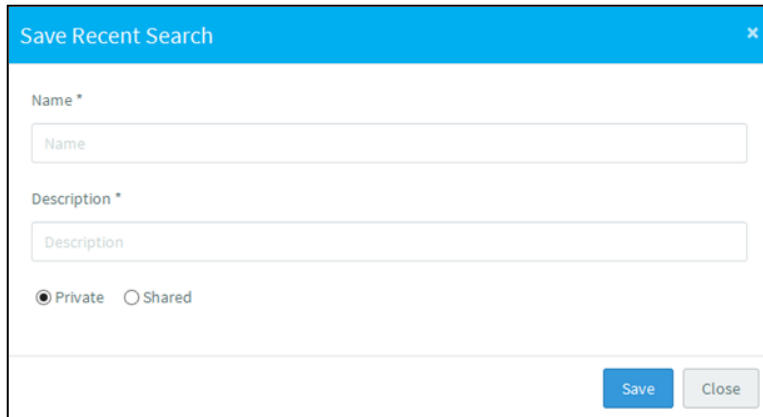
6.3.1.1   From the Document View

From the Document View the current search can be saved by clicking the **Save** button on the main tool bar. This displays the Save Recent Search popup.
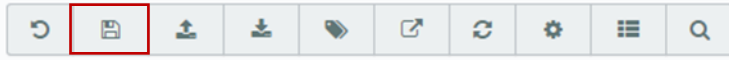
Main Toolbar showing the Save button

Here the user may enter a **Name** and **Description** for the search.
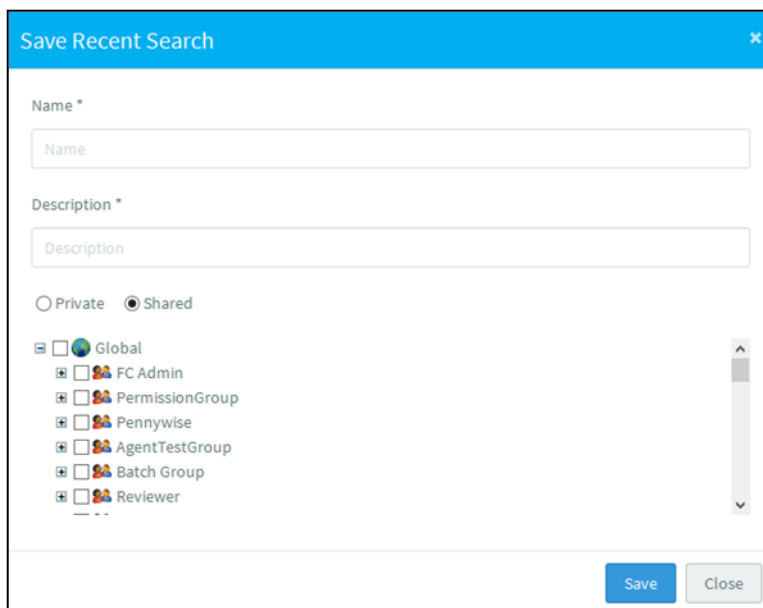
Save Recent Search Popup with Private option

The user may choose to keep the search private by keeping the default Private option and clicking the **Save** button. The user may also share the search with other users by clicking the **Shared** radio button and selecting either Global, which will make the search available to all users in the site, or one or more of the users or groups from the list by checking the applicable boxes. Clicking the **Close** button exits the popup without saving any changes.

Save Recent Search Popup with Shared option

6.3.1.2   From the Recent Search List Page

From the Recent Search List page, the user can save a recent search by clicking the **Save Search** button for the corresponding search. This displays the Save Recent Search popup, Here the user may enter a Name and Description for the search on the Save Recent Search popup, choose Private or Shared and click the **Save** button. Clicking the **Close** button exits the popup without saving any changes.

Recent Search List Page showing the Save Search button

6.3.2   Editing a Saved Search

Only a Saved Search which is Private or not associated with a batch can be edited. From the Saved Search List page, a saved search fitting these criteria can be edited by clicking the **Edit Search** button for the corresponding search.

Saved Search List Page showing the Edit Search button

On the Edit Saved Search popup, the user may edit the Name and Description or share the private search with users or groups. Clicking the **Update** button save changes while clicking the **Close** button exits the popup without saving any changes.

Edit Saved Search Popup

6.3.3   Executing an existing Saved Search

An existing saved search can be executed from the Saved Search history tab or from the Saved Search List page.

6.3.3.1   *From the Saved Search History Tab*

From the Saved Search History tab, the user can execute a saved search by clicking on the name of the desired search in the list. The Saved Search will be re-run displaying the updated Search Results on the Documents View Page. Only the 10 most recent saved searches are displayed on the Saved History tab. To view more the user must click the **View All** button to be taken to the Saved Search List page.

6.3.3.2   *From the Saved Search List Page*

From the Saved Search List page, the user can execute a saved search by clicking on the name of the desired search in the list or by clicking the **Execute Search** button for the corresponding search.

Saved Search List Page showing Execute Search button selected

6.3.4   Loading the Criteria of a Saved Search to Advanced Search

The criteria of a saved search can be loaded to the Advanced Search window for editing or for review. From the Saved Search List page, the user can load the search criteria by clicking the **Load Criteria** button for the corresponding search.

Saved Search List Page showing Load Search button selected

This will take the user to the Documents View Page and open the Advance Search popup with the search's criteria filled into the relevant fields. The user may review and edit the criteria and click the **Search** button to execute the search or click the **Cancel** button to exit the popup.
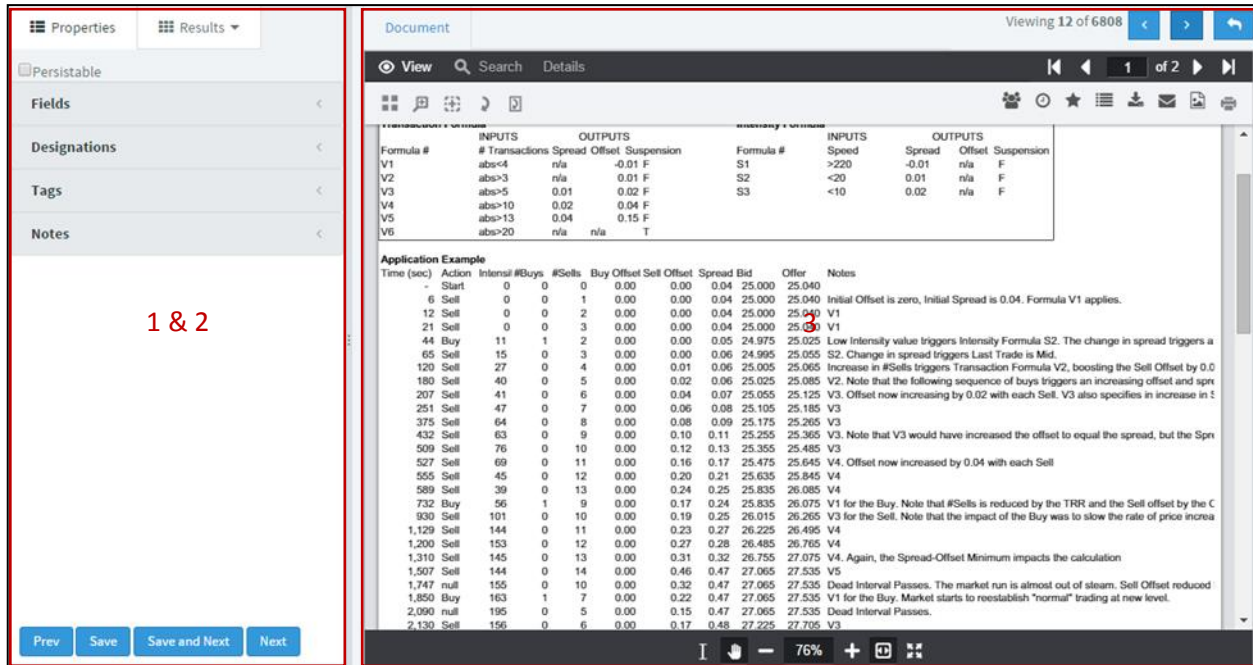
Advanced Search Popup

7 Reviewing/Coding Documents

The Document Review/Coding page contains viewer for viewing electronic documents and tiff image documents along their coded field information and other properties. The Document Review/Coding Page is divided into three main sections: (1) Properties, (2) Results, and (3) the Viewer.

Document Review/Coding Page

7.1 The Properties Pane

The Properties Pane (along with the Results Pane described below) is located at the top left of the Document Review/Coding page. The Properties Pane displays a document's fields, designations, tags and any notes.
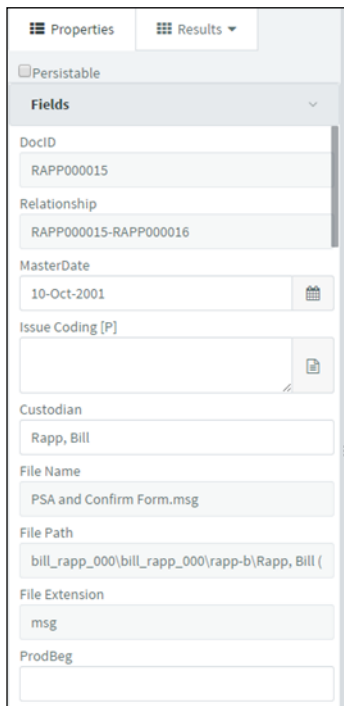
Properties Pane on Review/Coding Page with sections collapsed

The Properties Pane contains four tabs: (1) Fields, (2) Tags, (3) Designations Section, and (4) Notes.

7.1.1   Fields
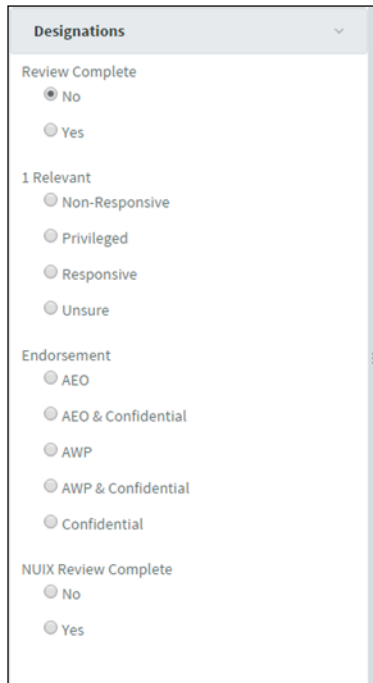
The Fields Tab contains the metadata fields and coding of the document.

Fields Section of Properties Pane

7.1.2   Designations
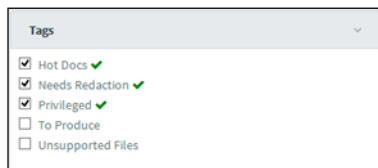
The Designations Tabs contains that can be coded for a particular document.

Designations Section of the Properties Pane

7.1.3   Tags
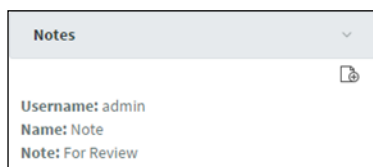
The Tags Tab contains tags that can be coded for a particular document.

Tags Section of Properties Pane

7.1.4   Notes

The Notes Tab allows the user to add or edit notes for a document.

Notes Section of Properties Pane

7.1.5 Saving Properties

A user may code fields, designation, multiple tags or make notes on a particular document then save the changes and stay on the document, save and move to the next document, or simply view properties of a document and move to the next or to the previous document by clicking the applicable button.
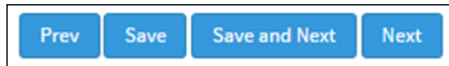
Navigation Buttons on Properties Pane

7.2 The Results Pane

The Results Pane lists the documents in the current search result set. The document being viewed is displayed in blue text. A user can select another record to display by clicking on the document information in this pane. Clicking the down arrow next to Results pane title toggles information displayed between showing More Details (File Name, DOCID and Relationship) and Less Details (File Name only).
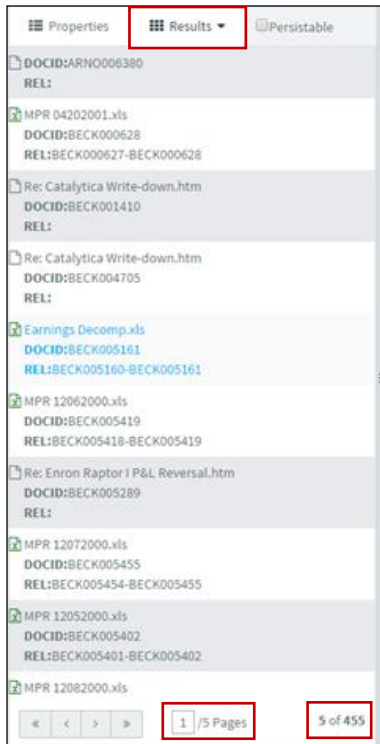
Results Pane on Review/Coding Page: In the above example, an Excel document is selected, Page 1 of 54 and document 5 of 455 documents are currently displayed in the Results pane.

The page of documents currently being viewed and the Document-in-View counter which tells the user what place the document currently being viewed is in the results set can also be found at the bottom of the Results pane.

7.3   The Viewers

On the Review/Coding page FileControl has two viewers. The Document Viewer for viewing documents and the Image Viewer for viewing tiff images associated with those documents. The document viewer is the default viewer. The Image Viewer will only be available if the selected document has an image associated with it.

7.3.1   Document Navigation

At the top right of the Review/Coding page is the Document Navigation toolbar. The Document-in-View counter precedes the Document Navigation buttons and tells the user what place the document currently being viewed is in the results set. The **Previous** and **Next** buttons allow the user to move between the results of documents while the **Back** button closes the viewer tab and takes the user back to the Documents View Page.

Document Navigation Toolbar

7.3.2   Document Viewer Features

The Document Viewer is the default viewer and is used for viewing electronic documents.

Document Viewer

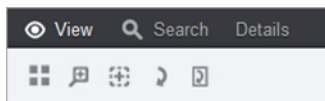### 7.3.2.1   View, Search & Details Options

At the top left of the Document Viewer are View, Search and Details buttons. Clicking one of the buttons displays its options directly below.

7.3.2.1.1   View

View options are displayed by default when a document is first accessed. The view options include Page Thumbnails display as well as Zoom and Rotation options.

View Options on Document Viewer

7.3.2.1.2   Search

Clicking on the Search button will display the search options which can be used to search text within the document. The options are Search, Match Exact word or phrase, Match Case, Whole Word, Begins With, Ends With, and Wilde Card. These are activated by entering the text in the Search Document field and clicking the applicable button.
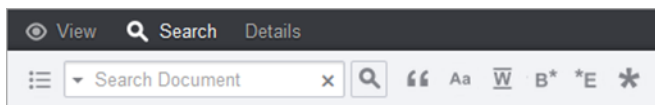
Search Options on Document Viewer

7.3.2.1.3   Details

Clicking on the Details button will display Folder and File Name information for the current document.
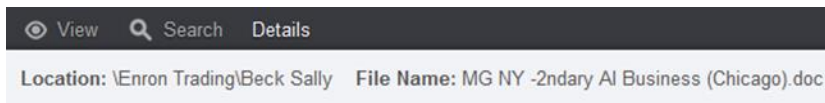
Details on Document Viewer

7.3.2.2   Page Navigation

The Page Navigation toolbar is on the right of the top toolbar and appears directly below the Document Navigation toolbar. It includes options to navigate to First, Previous, Next and Last page of the current document.

Page Navigation Toolbar on Document Viewer

7.3.2.3   Document Manipulation

The Main toolbar is directly below the Page Navigation toolbar and includes the following options: Family Relationship, File History, Bookmark, Download, Email, Tiff and Print. These features are described below.
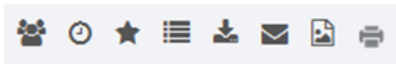
Main Toolbar on Document Viewer

7.3.2.3.1 Family Relationship

Family Relationship functionality can be found in the Document Search Results List and in the Document Viewer and indicates whether a document is an individual or part of a family. In the viewer, for Family files the Family Relationship button will allow the user to view the list of documents which a part of the family as well as select and launch other family documents to the viewer.

7.3.2.3.1.1 Document Viewer Family Relationship Icons

Clicking on the **Family File** button in the Document Viewer will display a popup list of all the documents belonging to the same family as the current document.
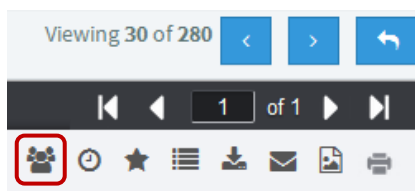
Section of the Main toolbar showing the Family File button

Documents that don't belong to a family will have the Individual File icon displayed in place of the Family File button.
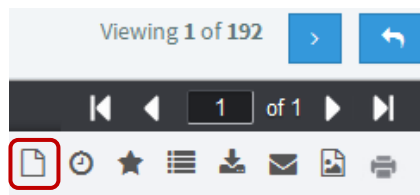
Section of the Main toolbar showing the Individual File icon

7.3.2.3.1.2 Viewing Family Members

Clicking the **Family File** button for a family document will launch the list of family members in a popup window. The document currently being viewed is displayed in blue in the list. Clicking on the eye icon of a file will launch the file to the viewer.

Family Files List showing the document being viewed

7.3.2.3.2 File History

Every action on a document is captured by the system. Clicking the **File History** button displays all actions performed on the current document since it was uploaded into the system on the File History popup. Information displayed includes the Date and Time the action was performed, which user performed this action, the action category and a description of the action.
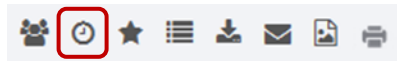
Section of the Main toolbar showing File History Button

File History Popup

7.3.2.3.3   Bookmarks

Bookmarking flags important documents for later access. Bookmarks can be shared with other users for review. On the Document Viewer there are two Bookmarking buttons: Bookmark and Show Bookmarks. Bookmarked documents are listed and can be accessed on the Bookmark section of the home page.

7.3.2.3.3.1   Bookmarking Documents

Clicking the **Bookmark** button displays the Add bookmark popup.
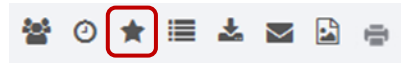
Section of the Main toolbar showing Bookmark Button

Here the user provides a name for the Bookmark which marks the current document or page of the document for quick access later. Clicking the **OK** button saves the name while clicking the **Cancel** button exits the popup without saving the changes.
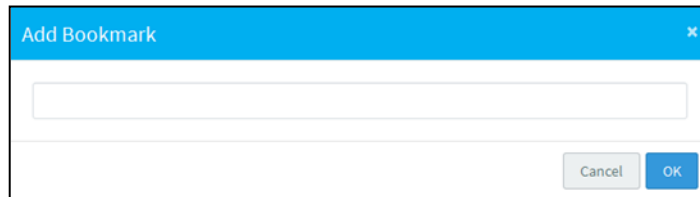
Add Bookmark Popup

7.3.2.3.3.2   Viewing Bookmarks of a Document

Clicking the Show Bookmark displays the Bookmarks popup which lists any bookmarks belonging to the current document.

Section of the Main toolbar showing Show Bookmark Button

Here if the document has been bookmarked the bookmark(s) details is displayed. The information provided on the Bookmark popup includes the Document Name, Folder, Bookmarked Page, Date Created, User, Copied/Shared Status and options to edit or delete the bookmark.
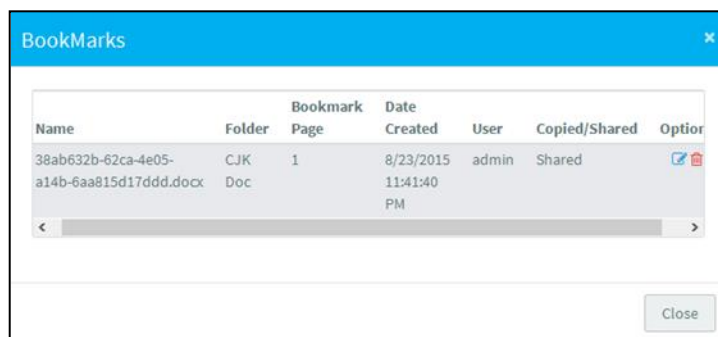
Bookmarks Popup

7.3.2.3.4   Download

The current document can be downloaded to the user's computer from the viewer in its native format. Clicking the **Download** button displays the Download File(s) popup.
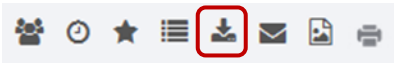
Section of the Main toolbar showing Download Button

Here the user can choose to download the document with Document ID as name by checking the box or as is with the File Name. Clicking the **Next** button will proceed with the download into a zip file while clicking the **Cancel** button cancels the process and exits the popup.
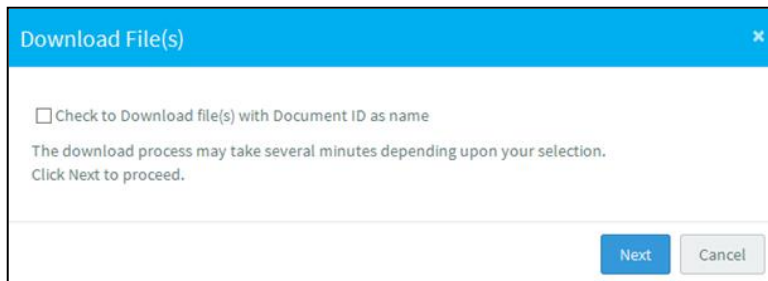
Download File(s) Popup

7.3.2.3.5   Email

The current document can be emailed to out of the system. Clicking the **Email** button displays Email popup.
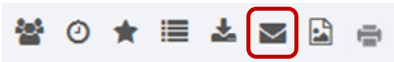
Section of the Main toolbar showing Show Bookmark Button

Here the user can enter the email address or addresses (separate by a semi colon) and subject of the email message. By default, the email is sent to the current user's email address. Unchecking the Send to default will not send the email to the user. Checking New Email Address allows the user to manually enter an address or multiple addresses to send the email to. Fill in the Subject field and click the **Send** button to send the email. A generic message is sent in the body of the email. Clicking the **Cancel** button exits the popup without sending the email.
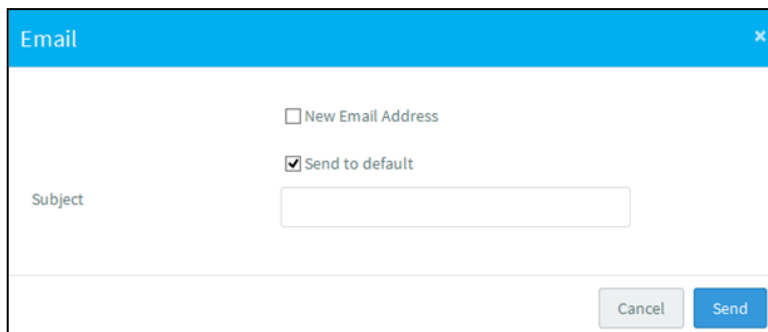
Email Popup

7.3.2.3.6　Tiff

The Tiff-on-the-Fly functionality allows the user to quickly convert documents to tiff image form for annotating and redacting. Clicking the **Generate Tiff** button displays the Generate Tiff popup.
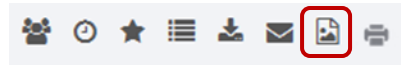
Section of the Main toolbar showing Generate Tiff Button

Here the user may choose to OCR during Tiff by checking the box and selecting the **Association** which controls the native to image links. The Default Association is selected by default. Clicking the **Generate Tiff** button will queue the document for Tiffing while clicking the **Cancel** button cancels the process and exits the popup.

Generate TIFF Popup

For documents that have been already tiffed the **File is Tiffed** icon will be shown on the toolbar instead of the **Generate Tiff** button.

Section of the Main toolbar showing File is Tiffed Icon

7.3.2.3.7　Print

The user is allowed to print documents from the viewer. Clicking the **Print** button displays the Print Settings popup.
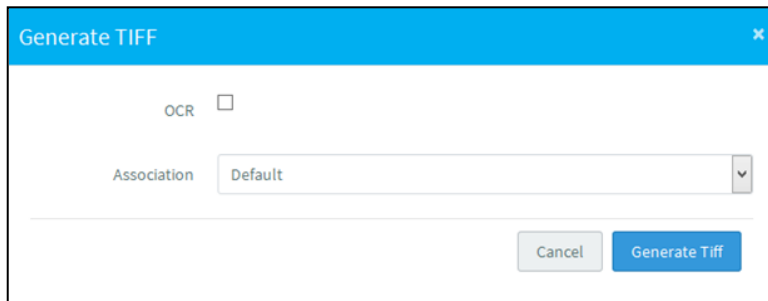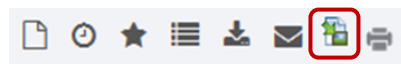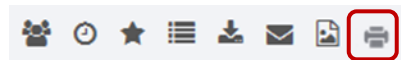

Section of the Main toolbar showing Print Button

Here the user may choose to Print All, Current or a Range of pages, oriented in Portrait or Landscape and Auto Fit Margins. Clicking the **Print** button sends the document to the user's default printer. The number of pages allowed is set per company with the default being 500 pages.
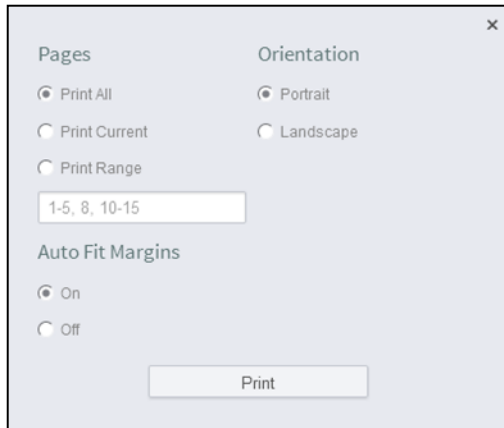
Print Settings Popup

7.3.2.4   Fit Toolbar

The Fit Toolbar is at the very bottom of the Document Viewer. It contains features including Select Text, Pan, Zoom, Best Page Fit, and Full Screen options. Select Text contains options to copy, highlight, redact and add hyperlinks to text on the document. The Zoom settings include zoom percentages from 50 to 800%. Clicking the zoom percentage value displays a menu with the percentages available as well as Full Width, Full Height and Full Page options.
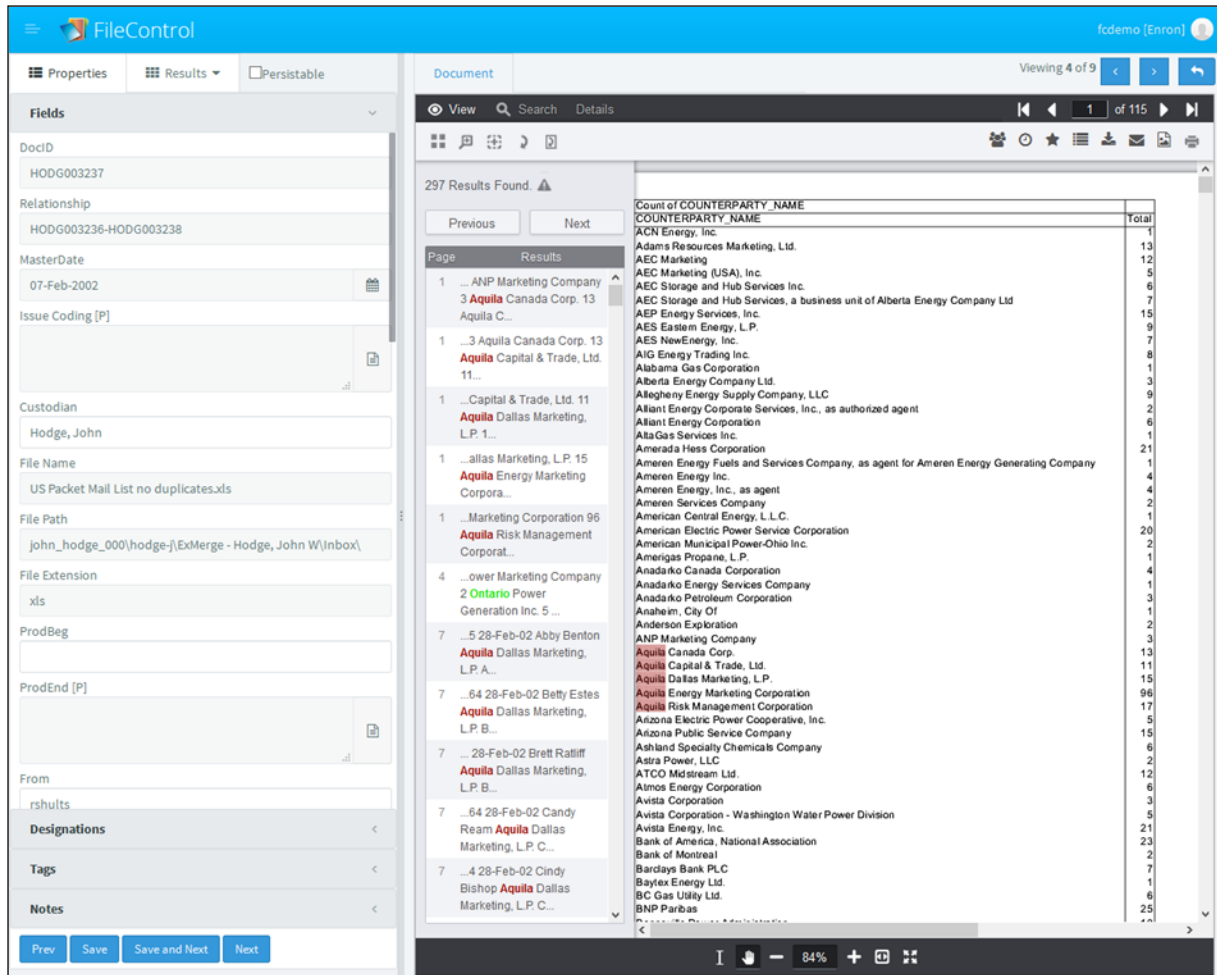

Fit Toolbar on Document Viewer showing Zoom Menu

7.3.2.5   Search Term Highlighting

In FileControl individual search terms entered in the Content Search field on the Advanced Search window are highlighted in the viewer for the Search Results Hits. The same applies if the term is search within the viewer. The search term hits are also listed on the left of the viewer. The user may click on the hit to be taken to the page where the term exists. In cases where multiple terms are found in a document they will be highlighted with different colors.

Viewer showing search terms highlighted

7.3.2.5.1 Persistent Highlighting

The Persistent Highlighting feature is an enhancement to Search Term Highlighting where agreed upon terms are always highlighted where found. This feature is a user option meaning it can be turned on or off by each user. Search terms which have been set for persistent highlighting will be highlighted automatically in the document viewer for document hits. The user will also be presented with the list of hits on the left of the viewer and may select them to navigate to the page.

7.3.3 Image Viewer Features

For documents with an image associated the Image Tab will be visible next to the Document Tab. The user can toggle between the document and the image using these tabs.

7.3.3.1 View & Annotations Options

At the top left of the Image Viewer are the View and Annotations buttons. Clicking on the buttons displays its options directly below.

7.3.3.1.1 View

View options are displayed by default and include all the options that can be done on the image including zoom, rotation and fit options as well as various image manipulation options.
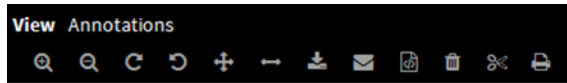
View Options on Image Viewer

7.3.3.1.2 Annotations

Clicking the **Annotations** button will display various options for Annotation and Redaction of the image.

Annotations Options on Image Viewer

7.3.3.2 Page Navigation

As on the Document Viewer the Page Navigation toolbar is on the right of the top toolbar and appears directly below the Document Navigation toolbar. It includes options to navigate to First, Previous, Next and Last page of the current document.
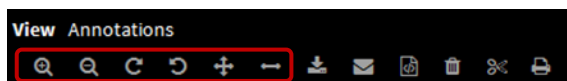

Page Navigation Toolbar on Image Viewer

7.3.3.3 Image Manipulation

The View Options contain all the options to manipulate the image. These are described below.

#### 7.3.3.3.1 Zoom, Redo/Undo & Fit Options.

The first 6 View options control Zoom, Redo/Undo and Fit of the image. They include Zoom-in, Zoom-out, Redo, Undo, Fit Always and Fit Width.

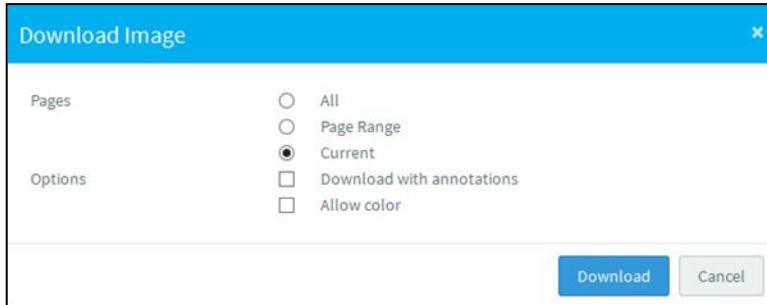*Zoom, Redo/Undo and Fit Options on Image Viewer*

7.3.3.3.2 Download

The current images can be downloaded to the user's computer from the viewer in tiff format. Clicking the **Download** button displays the Download Image popup.
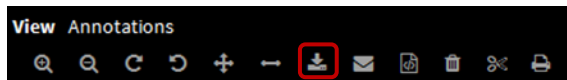
Download Button on Image Viewer

Here the user may choose to download All Pages, a Page Range or current Page as well as whether to include annotations and color. By default, the current page will be downloaded without annotations or color. Clicking the **Download** button will proceed with the download into a zip file while clicking the

Cancel button cancels the process and exits the popup. Where multiple pages are selected a Multi-Page tiff will be downloaded.
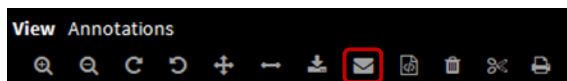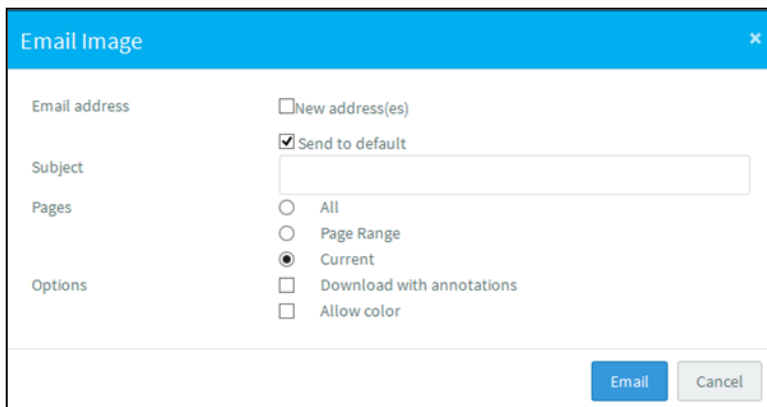

Download Image Popup

7.3.3.3   Email

Images can be emailed out the system. Clicking the **Email** button displays Email Image popup.

Email Button on Image Viewer

Here the user may enter the email address or addresses (separated by semi colons) and subject of the email message. By default, the email is sent to the current user's email address. Unchecking the Send to default will not send the email to the user. Checking New Email Address allows the user to manually enter an address or multiple addresses to send the email to. Fill in the Subject field, select page, annotation and color options and click the **Send** button to send the email. By default, the current page will be emailed without annotations or color. A generic message is sent in the body of the email. Clicking the **Cancel** button will exit the popup without sending the email.
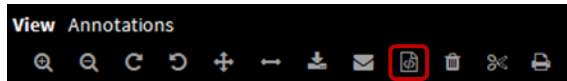

Email Popup

7.3.3.4   View OCR

The View OCR feature allows the user to view the OCR text captured for the images. Clicking the View **OCR** button takes the user to the OCR Page in a new browser tab.

View OCR Button on Image Viewer

Here the default view is the Page View which shows the OCR and Image side by side. The page navigation buttons on the top of the OCR (left) section allows the user to navigate to pages within the image document.
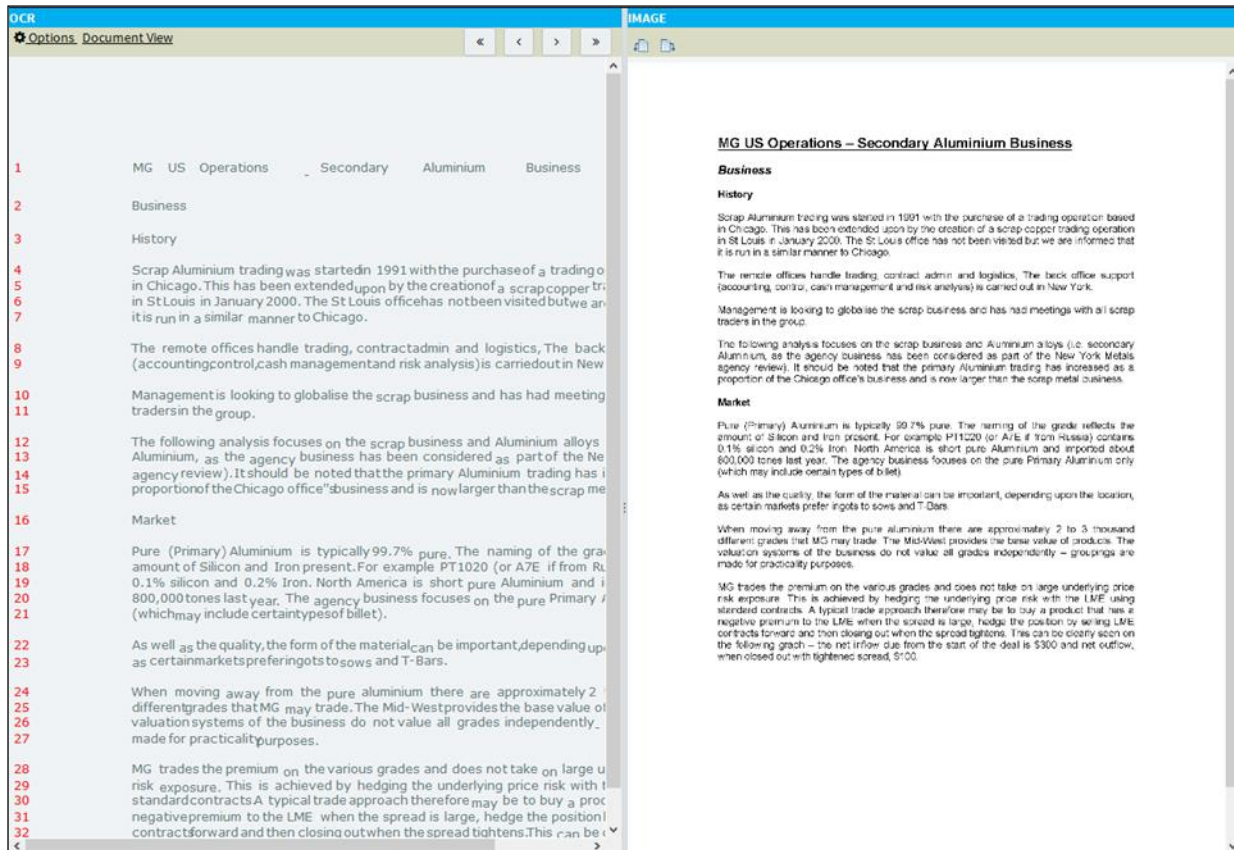
OCR Page in Page View

Clicking the **Document View** button on the top right of the OCR section allows the user to view all pages sequentially. OCR text can also be selected and copied from this view. Closing the tab exits the View OCR Page.

Page No : 1
MG US Operations - Secondary Aluminium Business Business History Scrap Aluminium trading was started in 1991 with the purchase of a trading operation based in Chicago. This has been extended upon by the creation of a scrap copper trading operation in St Louis in January 2000. The St Louis office has not been visited but we are informed that it is run in a similar manner to Chicago. The remote offices handle trading, contract admin and logistics, The back office support (accounting, control, cash management and risk analysis) is carried out in New York. Management is looking to globalise the scrap business and has had meetings with all scrap traders in the group. The following analysis focuses on the scrap business and Aluminium alloys (i.e. secondary Aluminium, as the agency business has been considered as part of the New York Metals agency review). It should be noted that the primary Aluminium trading has increased as a proportion of the Chicago office's business and is now larger than the scrap metal business. Market Pure (Primary) Aluminium is typically 99.7% pure. The naming of the grade reflects the amount of Silicon and Iron present. For example PT1 020 (or A7E if from Russia) contains 0.1% silicon and 0.2% Iron. North America is short pure Aluminium and imported about 800,000 tones last year. The agency business focuses on the pure Primary Aluminium only (which may include certain types of billet). As well as the quality, the form of the material can be important, depending upon the location, as certain markets prefer ingots to sows and T-Bars. When moving away from the pure aluminium there are approximately 2 to 3 thousand different grades that MG may trade. The Mid-West provides the base value of products. The valuation systems of the business do not value all grades independently - groupings are made for practicality purposes. MG trades the premium on the various grades and does not take on large underlying price risk exposure. This is achieved by hedging the underlying price risk with the LME using standard contracts. A typical trade approach therefore may be to buy a product that has a negative premium to the LME when the spread is large, hedge the position by selling LME contracts forward and then closing out when the spread tightens. This can be clearly seen on the following graph - the net inflow due from the start of the deal is $300 and net outflow, when closed out with tightened spread, $100

Page No : 2
Premium Trade 1500 4' 1000 U 500 0 1 2 3 4 5 6 Time The scrap metal (secondary) business involves moving small amounts of material, typically 30 tons. There are various types of scrap. These range from specific grades in billet/ingot form etc to the specific waste generated by the canned drink industry (the production process generates approximately 22% waste). Example Graded scrap: * 356 billets - used in the alloy wheel business. MG distributes as an agent (but actually purchases the material) for a Russian producer. * AKS, AB87- Base metals in ingot or sow form alloyed to a certain degree. These are sold to secondary smelters who will produce specification alloys. * AS380 - US specification alloy. Drink industry waste. * Class 1 - waste from punched sheets used for drinks cans (not decorated). * Class 2- waste from lids (different grade of Aluminium) * Class 3 - waste from bodies drinks cans (decorated) * UBC - Used Beverage Cans * RSI - Re-melt specification ingots The traders tend to focus on the clean scrap i.e. class 1, as this results in less issues on quality of product. Controls The following provide a high level view. More detail is contained in Appendix 1, a breakdown of roles & responsibilities by person & Appendix 2, the completed Doorstep review form. Deal Entry Incoming e-mails are routed to all 3 traders PCs. The trader produces a contract note (see Appendix 3) that is faxed to New York and passed to traffic who then enter into their traffic log (a spreadsheet for each deal, see Appendix 6). The contract note is then used by contracts to enter summary data into the logbook and produce the confirmation (see Appendix 4) using the Access based system. The confirmation is reviewed and signed off by the trader. Copies of the confirmation are placed on file and sent to New York and the customer. Customers are requested to return signed confirmations but negative confirmation is used. New York enters the contract into the WANG system. Contracts in Chicago are also currently entering the deal into the AS400 in parallel. Daily volumes range from nil to ten. The Chicago Access system is reconciled daily to the WANG system by a member of Louis Colarusso's team (Kathy Gagel). Derek also prints off the inventory report from the WANG on a weekly basis and reconciles to his daily positions reports (see Appendix 11) which are maintained in excel (these are updated by Derek daily for movements).

Page No : 3
To allow the traders to more effectively manage the business there are several reports produced by Derek on a bi-weekly basis. These are: * the scrap position summary which shows inventory and forward positions summarised by month (see Appendix 10) * the detail position summary which breaks down positions by location and forward month (see Appendix 8) The reports are maintained in excel and updated with volumes from contracts The business is not regulated and hence phone lines are not recorded. For hedging trades on the LME MGL Inc is used along with other brokers. Traffic Traffic makes use of the Access based systems for logistics purposes. This provides inventory by location and daily management reports but is not used for AR/AR. Material is stored at numerous locations. Material has to be stored correctly as water present in certain types of Aluminium can causes explosions when the metal is being treated. Warehouse inventories are reconciled twice yearly. Differences may arise due to: * Entry errors * Customer invoices wrong amount * Weighing scale calibration differences Inventory reports are obtained from the WANG system for this (see Appendix 12). Where the trading has had treatment work carried out on materials a conversion report (see Appendix 13) is produced Traffic monitors the invoicing of consignment stock using the open contract list (see Appendix 15). Traffic for the primary Aluminium agency business is carried out in New York by Bob Klyde. Settlements Traffic is responsible for raising invoices using the Access system and passing them onto to trading for authorisation and contracts for checking. Once complete, contracts send the invoice (see Appendix 7) to file, New York and the customer. Any adjustments to invoices are notified to third parties by use of an Invoice Adjustment note (see Appendix 5). Invoices in New York are entered into the WANG system by Kathy Gagel. This downloads to SAP to generate the AR/AR. Incoming purchase/sales orders from third parties are agreed to original documentation by traffic. Any discrepancies are notified to the trader and escalated accordingly. Metals invoices are agreed to Bills of Lading. Each invoice must then be authorised for payment (authorisation limits are set by New York) and sent to New York. It is then entered into the WANG system and hence downloaded to SAP. Monitoring of AR/AR is carried out by contracts in Chicago in conjunction with cash management and accounting in New York. Downloads are taken from SAP twice weekly and copies of payment details faxed from New York daily. Chicago contracts chase amounts due and provide assistance to New York for allocations of cash where it is not clear. Some of the invoices for the primary Aluminium (& billets) are still generated in Chicago, as the move to the agency set-up is recent. Credit

Page No : 4
The traders must make a credit application (see Appendix 9) prior to trading with a new counterparty. If the deal is concluded before approval is received (2 days for US, longer for international) then the terms and conditions laid down in the contract stipulate prepayment for material subject to credit approval. The credit function is run on a part time basis in New York. Credit is not able to see exposures until they are invoiced and hence there is a lack of timeliness to the credit monitoring. In addition there is no summary of exposure combined with limits provided to Chicago - a monthly summary of limits is supplied. This means that credit limit violations are managed retrospectively with credit requesting the traders reduce exposure

OCR Page in Document View

7.3.3.3.5   Delete Pages

Image documents and pages within them may be deleted from the system. Clicking on the **Delete Pages** button displays the Delete Image popup.
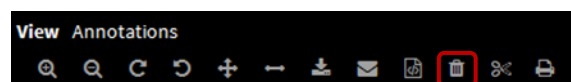
Delete Pages Button on Image Viewer

Here the user may choose to delete the Whole Document, a Page Range or the Current page. Current page is deleted by default. Note the warning: *"Not reversible! This will delete the current Document."*
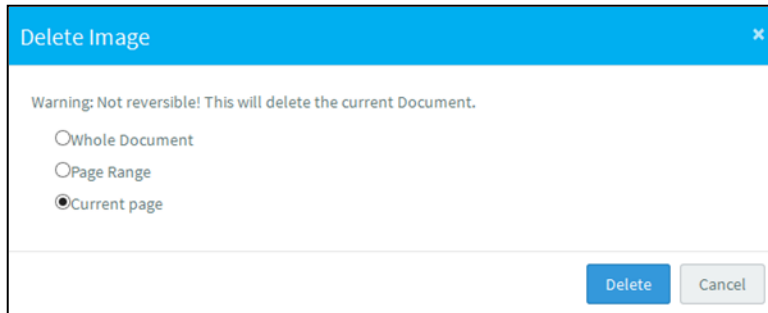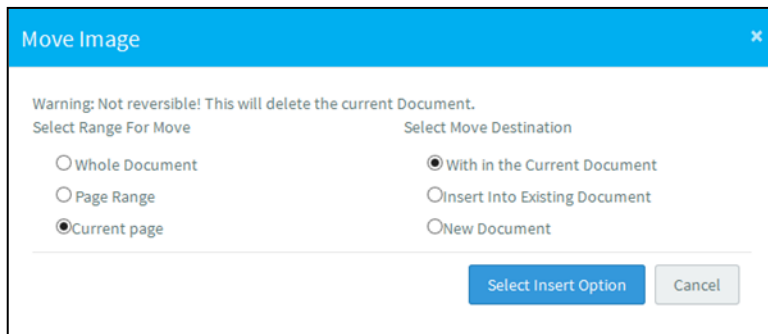
Delete Image Popup

7.3.3.3.6   Move Pages

Pages can be moved from one folder to another within the same cabinet. Clicking the **Move Pages** button displays the Move Image popup.
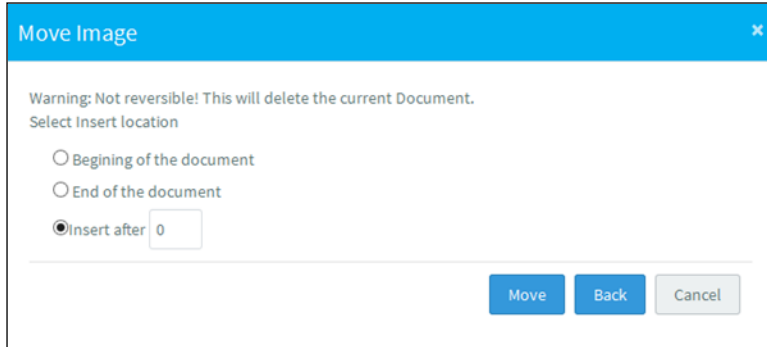

Move Pages Button on Image Viewer

On the Move Image popup, the user selects **Range for Move** and **Move Destination** options. The user can elect to move the Whole Document, a Page Range, or the Current Page to Within the Current Document, an Existing Document or into a Dew Document. Clicking the **Select Insert Option** button takes the user to the next screen. The options available on this screen will depend on the Move Destination selected.

Move Image Popup with Within the Current Document selected

7.3.3.3.6.1   Moving Pages within the Current Document

When **Within the Current Document** is selected as the **Move Destination** option clicking the **Select Insert Option** button takes the user to the Select Insert Location screen. Here the user can select to move the page(s) to the beginning or end of the current document or insert after a specific page. Click the **Move** button to complete the move, the **Back** button to go back to the previous screens to make changes, or the **Cancel** button to cancel the process and exit the popup.

Select Insert Location for Move within the Current Document

7.3.3.3.6.2   Moving Pages into an Existing Document

When **Insert into Existing Document** is selected as the **Move Destination** option the confirmation button changes to Search File. Clicking the **Search File** button takes the user to the File Search option.

Move Image Popup with Insert into Existing Document selected

This popup is identical to the Advanced Search screen. Here the user can enter search criteria to find the document to insert the pages into. Clicking the **Search** button takes the user to the Results list. Only documents with associated images will be listed. Clicking the **Back** button takes the user back to the previous screen.

File Search Popup

Here the user can click select the document to insert into from the list. Clicking the **Select** button takes the user to the Select Insert Location screen.

Results List of File Search Popup

Here the user can select to move the page(s) to the beginning or end of the selected document or insert after a specific page. Click the **Move** button to complete the move, the **Back** button to go back to the previous screens to make changes, or the **Cancel** button to cancel the process and exit the popup.

Select Insert Location for Move into Existing Document

7.3.3.3.6.3   Moving Pages into a New Document

When **New Document** is selected as the **Move Destination** option the confirmation button changes to Select Folder. Clicking the **Select Folder** button takes the user to the list of cabinets and their folders.
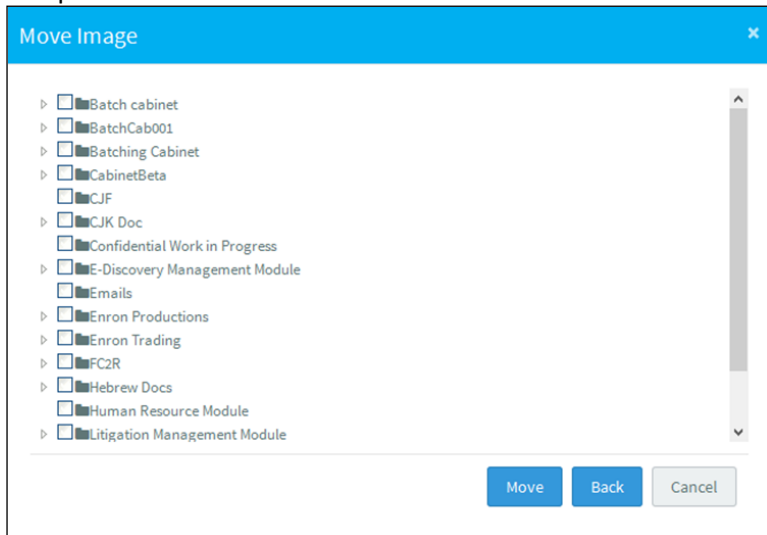
Move Image Popup with Insert into New Document selected

Here the user can select the folder to move the new document into. Clicking the **Move** button completes the move.

Cabinet/Folder Popup

7.3.3.3.7   Print

Images can be printed from the viewer to the user's printer or a pdf writer. Clicking the **Print** button displays the Print Image popup.
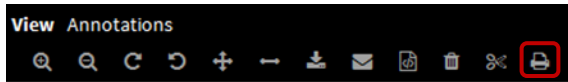
Print Button on Image Viewer

Here the user can choose to Print All Pages, a Page Range or current Page as well as whether to include annotations and color. By default, the current page will be printed without annotations or color. Clicking the **Print** button will send the pages to the user's default printer.
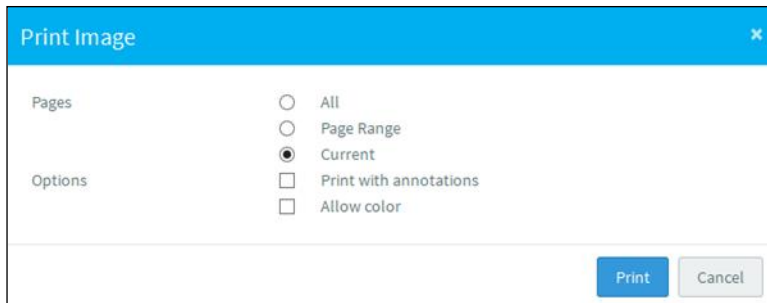
Print Image Popup

7.3.3.3.8   Annotation and Redaction
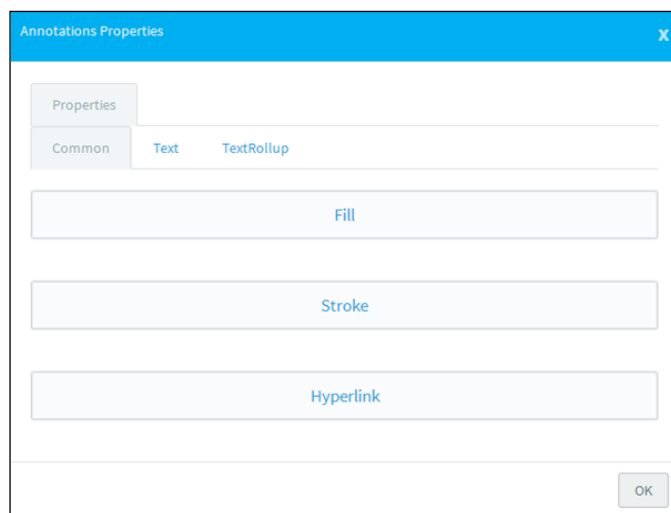
The user may add annotation and redaction objects to images simply by clicking the option desired. The object options are listed below in the order they appear on the annotations toolbar. Clicking the option then clicking and dragging on the desired location on the page will add the object to the page.

Object	
Rectangle	
Curve	
Line	
Freehand Line	
Ellipse	
Polygon	
Note	
Text Rollup	
Save	
Delete	
Pan	
Edit	
Run Mode	

Design Mode	⬜
Highlight	✏️
Hotspot	H
Text	A
Text Pointer	A
Text Stamp	🖼️
Rubber Stamp	🔨
Freehand Hotspot	H
Point	⊗
Ruler	📏
Polyruler	L
Protractor	◯
CrossProduct	📊
Rotate Left	◿
Rotate Right	◺
Redact	📰

Annotations Objects

Once an object has been added to the image right clicking in it will open the properties popup which allows the user to change the object configuration before saving. The object must be saved before moving to another page or document.

Annotation Properties Popup for TextRollup Object

8 Batching Module

The Batching Module was developed to split larger collections of documents into smaller sets and assign them to other users to make reviewing quicker and easier. The Batch Sets are created with specific requirements. Each Batch Set is then initiated or split into batches the size; the contents of which is determined by those requirements. The batches are then assigned to users or groups for review.

The Batching Module comprises two main sections: (1) The Administration (Admin) and (2) the Batch Review sections. Details and illustrations of these sections follow.
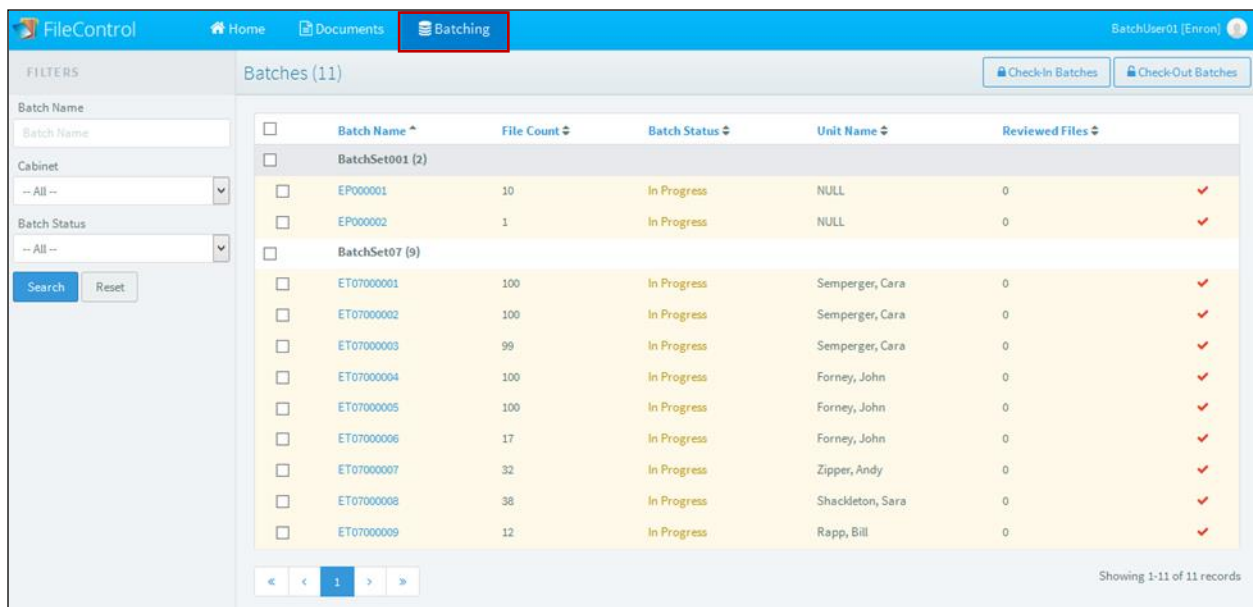
8.1 Batch Administration

Permissions to the Batching module is controlled in the Admin Module by an administrator. If you can see the Batching tab when you log in to your FC2 Company, then you already have access to the Batching module. If not see the Admin User Guide if you are administrator or contact FileControl Support for assistance.

Batch Administration involves five main activities performed on the Admin module of the website: (1) Viewing and Filtering Batch Sets; (2) Creating (also Editing and Deleting) Batch Sets; (3) Initiating Batch Sets; (4) Managing Batch Permissions and (5) Assigning Permissions. See the Admin User Guide for details on Batch Administration.

8.2 Batch Review

The Batch Review section allows users to view batches assigned to them in order to review the documents within those batches. Batch review involves three main activities performed on the Batching tab of the website: (1) Viewing and Filtering Batches; (2) Checking In and Checking Out Batches; and (3) Accessing and Reviewing Documents. Details of each these activities are outlined below.
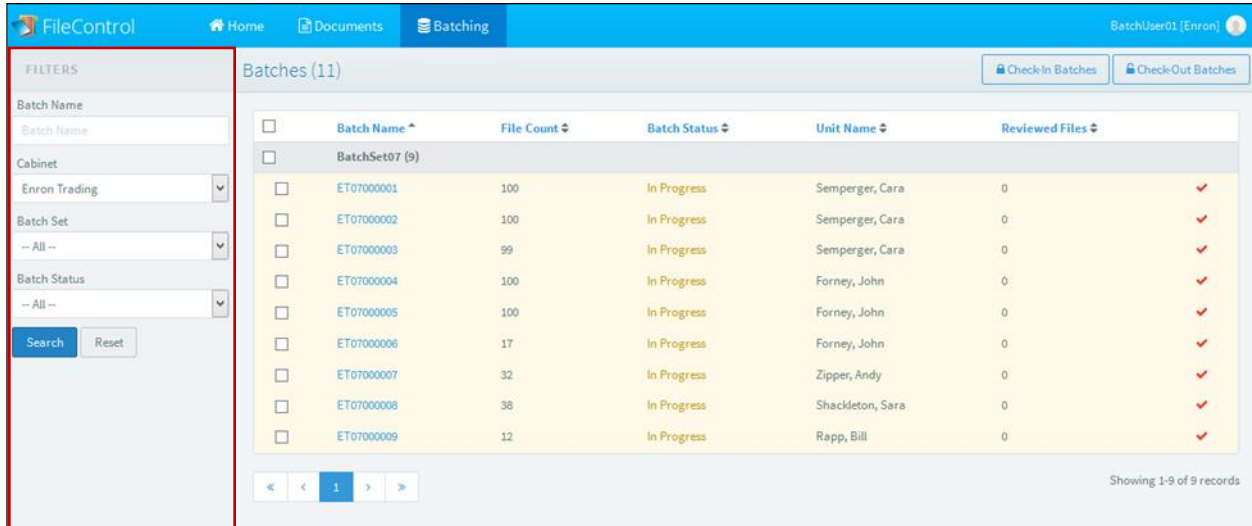

Batch Review Section of Batching Module

8.2.1 Viewing and Filtering Batches

Once a Batch is assigned to a user the Batch can be viewed from the Batching Tab. Clicking on the Batching Tab will display the Batches that the user has access to. The Batches are listed grouped by Batch Set Name with options to filter on Batch Name, individual Cabinet name, Batch Set name and Batch Status. Clicking the **Search** button will filter on the selections made while Clicking the **Refresh** button will refresh the list showing all Batches.

Batch Review Batch List filtered by Enron Trading Cabinet

8.2.2 Checking In and Checking Out a Batch

Once a batch has been assigned to a user, it is automatically **Checked Out** for that user and given **Batch** Status of **In Progress**. A Checked out batch is unavailable to other users. Checking the box of a Batch record or multiple records and clicking the **Check-In Batches** button will Check in the Batch. If the batch has been partially reviewed or none of the documents have been reviewed the **Batch Status** will be updated to **Check-In Pending**. However, if all documents in the batch has been reviewed the **Batch Status** will be updated to **Check-In Complete**. A Batch can be **Checked Out** again by checking the box of the Batch records and clicking the **Check-Out Batches** button.

Batch Review Batch List showing the Check-In and Check-Out Batches buttons

8.2.3   Accessing and Reviewing Batched Documents

Clicking on the name of a Batch will take the user to the **Batch Document List** page. Here the documents in the batch are listed with their index field values in tabular form. Information for the batch is displayed at the top left of the page in the form: *Cabinet Name > Batch Set > Name Batch Name (Doc Count)*.

Clicking the **Back** button [↶] at the top right of the page will take the user back to the Batch List page. The horizontal scroll bar at the bottom can be used to view more fields.

DocID ⇕	Relationship ⇕	Review Complete ⇕	MasterDate ⇕	Issue Coding ⇕	Custodian ⇕	File Name ▲	File Path ⇕
SEMP001095	No		5/2/2001 12:00:00 AM		Semperger, Cara	(No subject/filename).msg	cara_semperger_000\cara_semperger_000\
SEMP001070	No		5/2/2001 12:00:00 AM		Semperger, Cara	10th Anniversary.msg	cara_semperger_000\cara_semperger_000\
SEMP001086	No		5/2/2001 12:00:00 AM		Semperger, Cara	3:45 - Harry.msg	cara_semperger_000\cara_semperger_000\
SEMP001057	No		5/2/2001 12:00:00 AM		Semperger, Cara	6-10 pm.msg	cara_semperger_000\cara_semperger_000\
SEMP001075	No		5/2/2001 12:00:00 AM		Semperger, Cara	6-10 pm.msg	cara_semperger_000\cara_semperger_000\
SEMP001001	No		5/2/2001 12:00:00 AM		Semperger, Cara	Alan Lyons.msg	cara_semperger_000\cara_semperger_000\
SEMP001101	No		5/2/2001 12:00:00 AM		Semperger, Cara	Are you packed for Hawaii???.msg	cara_semperger_000\cara_semperger_000\
SEMP001102	No		5/2/2001 12:00:00 AM		Semperger, Cara	Arsha Perm @ 3:30.msg	cara_semperger_000\cara_semperger_000\
SEMP001093	No		5/2/2001 12:00:00 AM		Semperger, Cara	be nice.msg	cara_semperger_000\cara_semperger_000\
SEMP001060	No		5/2/2001 12:00:00 AM		Semperger, Cara	Begin Mid C Scheduling position.msg	cara_semperger_000\cara_semperger_000\
SEMP001000	No		5/2/2001 12:00:00 AM		Semperger, Cara	Bev and Keith Llewellyn.msg	cara_semperger_000\cara_semperger_000\
SEMP001012	No		5/2/2001 12:00:00 AM		Semperger, Cara	Cara"s Pager Phone.msg	cara_semperger_000\cara_semperger_000\
SEMP000988	No		5/2/2001 12:00:00 AM		Semperger, Cara	Cash,Services,RealTime.msg	cara_semperger_000\cara_semperger_000\
SEMP001008	No		5/2/2001 12:00:00 AM		Semperger, Cara	Cheri McPherson.msg	cara_semperger_000\cara_semperger_000\
SEMP001015	No		5/2/2001 12:00:00 AM		Semperger, Cara	Cherie Steigerwald.msg	cara_semperger_000\cara_semperger_000\
SEMP001014	No		5/2/2001 12:00:00 AM		Semperger, Cara	Christine Semperger.msg	cara_semperger_000\cara_semperger_000\
SEMP000067	No		5/2/2001 12:00:00 AM		Semperger, Cara	Continue to work on Scheduler"s Agenda Meeting page..msg	cara_semperger_000\cara_semperger_000\
SEMP000078	No		5/2/2001 12:00:00 AM		Semperger, Cara	Create Global ID Roster for Real Time.msg	cara_semperger_000\cara_semperger_000\
SEMP000990	No		5/2/2001 12:00:00 AM		Semperger, Cara	Dad.msg	cara_semperger_000\cara_semperger_000\
SEMP000996	No		5/2/2001 12:00:00 AM		Semperger, Cara	Dave"s Folks.msg	cara_semperger_000\cara_semperger_000\

Batch Review Batch Document List

Selecting a document will take the user to the **Document View/Coding Page**. Document properties (Fields, Designations, Tags, and Notes) are displayed on the Properties pane to the left while the document is displayed in the Document Viewer to the right. The document can be coded and marked reviewed in the Properties pane while it can viewed in native form and tiff form (if it has been tiffed) and the content can be searched in the Document Viewer. Clicking the **Back** button [↶] at the top right of the page will take the user back to the Batch Document List page.

Batch Review Batch Document View/Coding Page

9 Reports Module

FileControl's Reports Module was developed to provide user and document activity reporting capabilities. There are currently 3 reports available. Access to the module as well as to each report is based on user permission.

The 3 reports comprising the Reports Module are: (1) User Status Report; (2) Tag Status Report and (3) Document Review Status Report. Details and illustrations of these reports follow.

9.1 Reports Administration

Permissions to the Reports module is controlled in the Admin Module by an administrator. If you can see the Reports tab and one or more reports when you log in to your FC2 Company, then you already have access to the Reports module. If not see the Admin User Guide if you are administrator or contact FileControl Support for assistance.

The permissions that can be granted for each report are: (1) Execute; (2) Export; and (3) Print. As expected Execute permission makes the report(s) available to the user to run and review; Export permission allows the user to export the results of the report to PDF of Excel format; while Print allows the user to print the results of the report to a local or network printer. Execute permission is required for a user to have Export or Print permission. See the Admin User Guide for details on Reports Administration.

9.2 Executing and Reviewing Reports
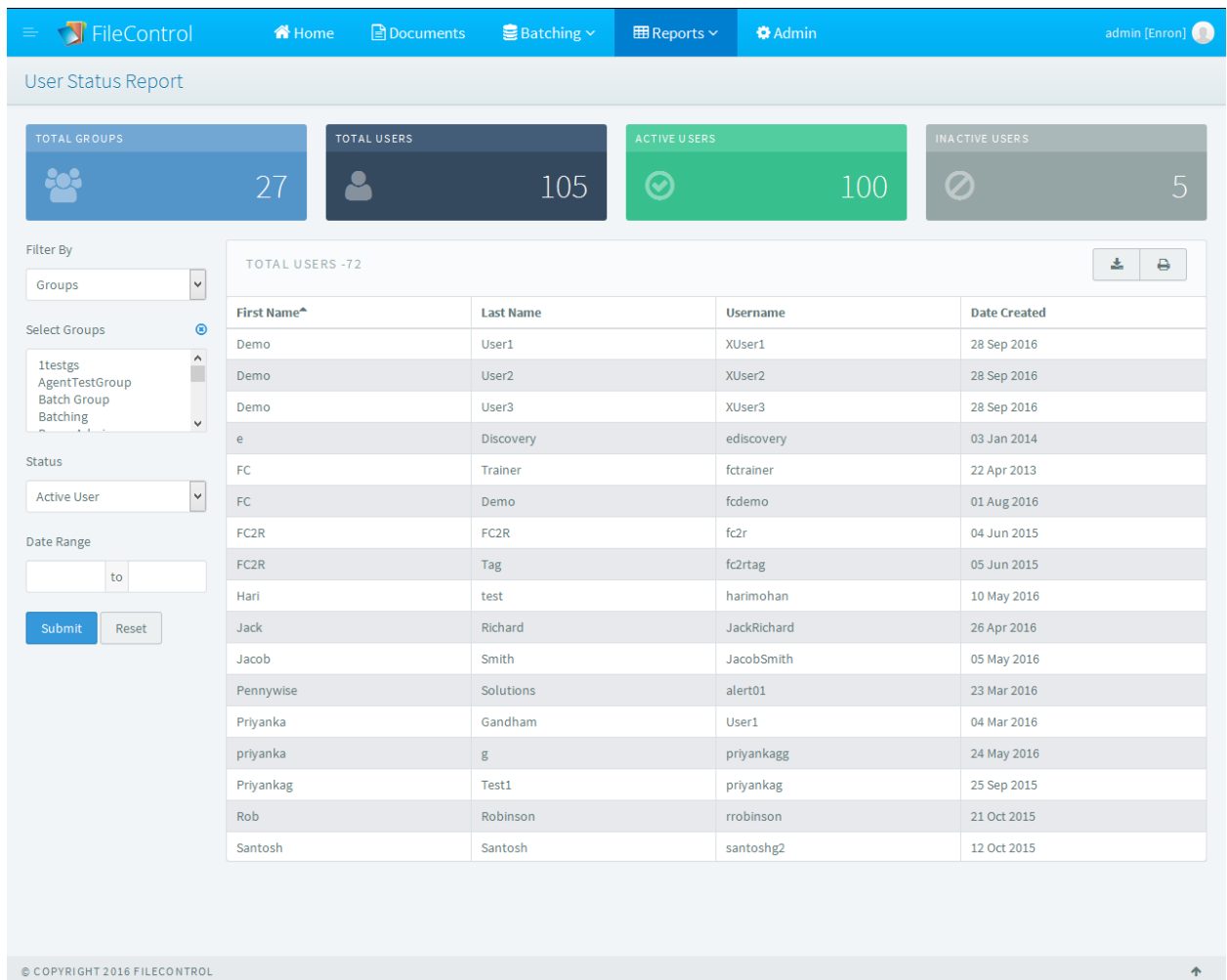
A user with permissions to the Report module will see the Reports tab on the Company header on login. Clicking on the tab will drop down the list of one or more of the reports that the user has access to. Clicking on the desired report will take the user to the report's page.

FileControl Company header showing Reports Module highlighted

9.2.1 User Status Report

The User Status Report provides information on users and groups in the current Company.

User Status Report

At the top of the report are 'At a Glance' values for Total Groups, Total Users, Active (Enabled) Users and Inactive (Disabled) Users.

'At a Glance' User Counts for User Status Report

By default, the report lists all users in the Company sorted by username. Details available for each user are First Name, Last Name, Username and Date Created. The report can be filtered by Users or Groups, User Status and Created Date Range using the filtering tools on the left and sorted by any of the existing fields.

User Status Report filtered by Groups showing Active Users created within a Date Range

9.2.2　Tag Status Report

The Tag Status Report provides information on tags that exist in the current Company.
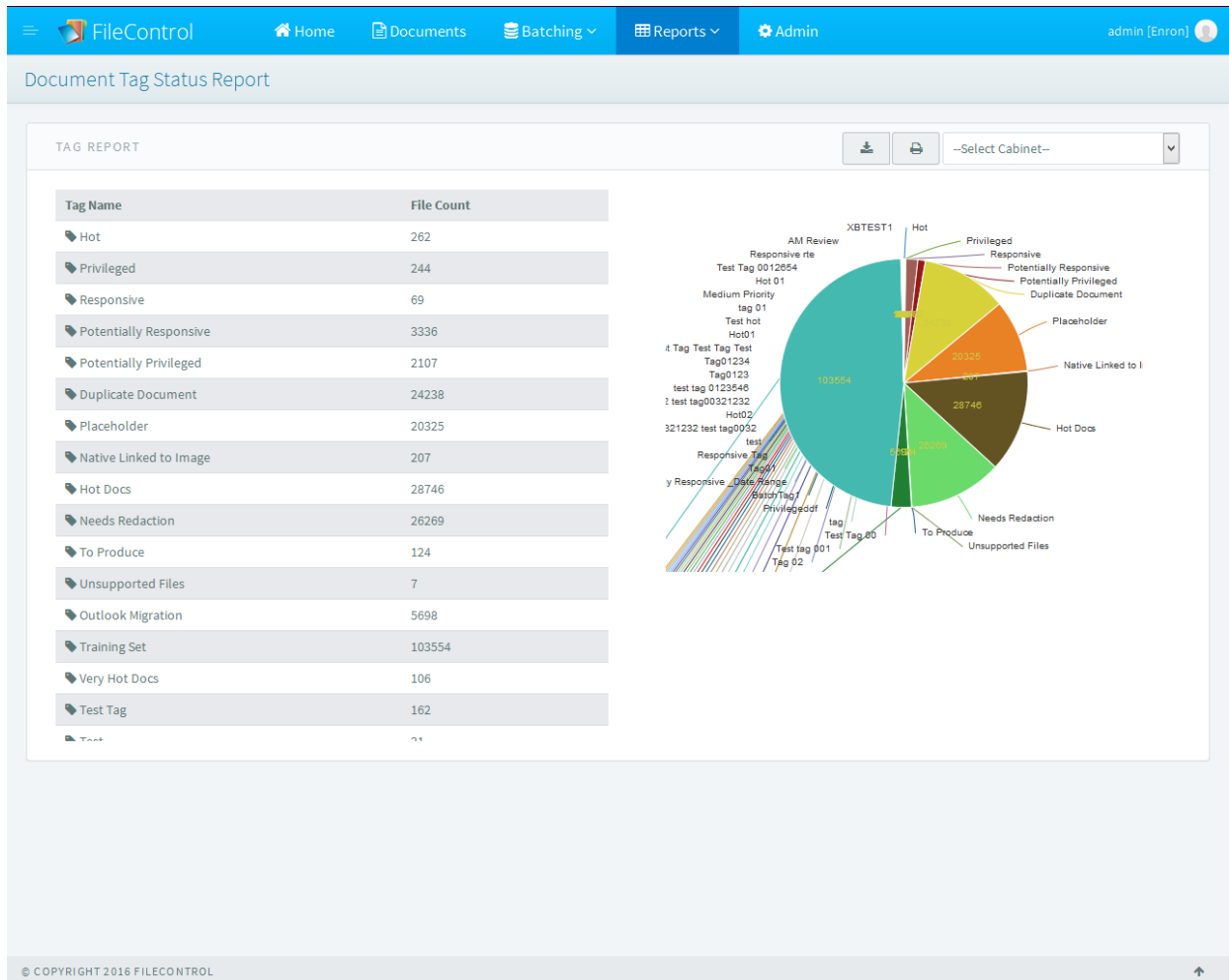
Tag Status Report

By default, the report lists all tags in the Company sorted by Tag Name along with their File Counts to the left and shows a pie chart graph of the tags to the right. The Report can be filtered by Cabinet using the drop down menu at the top right making it easier to find specific tags.
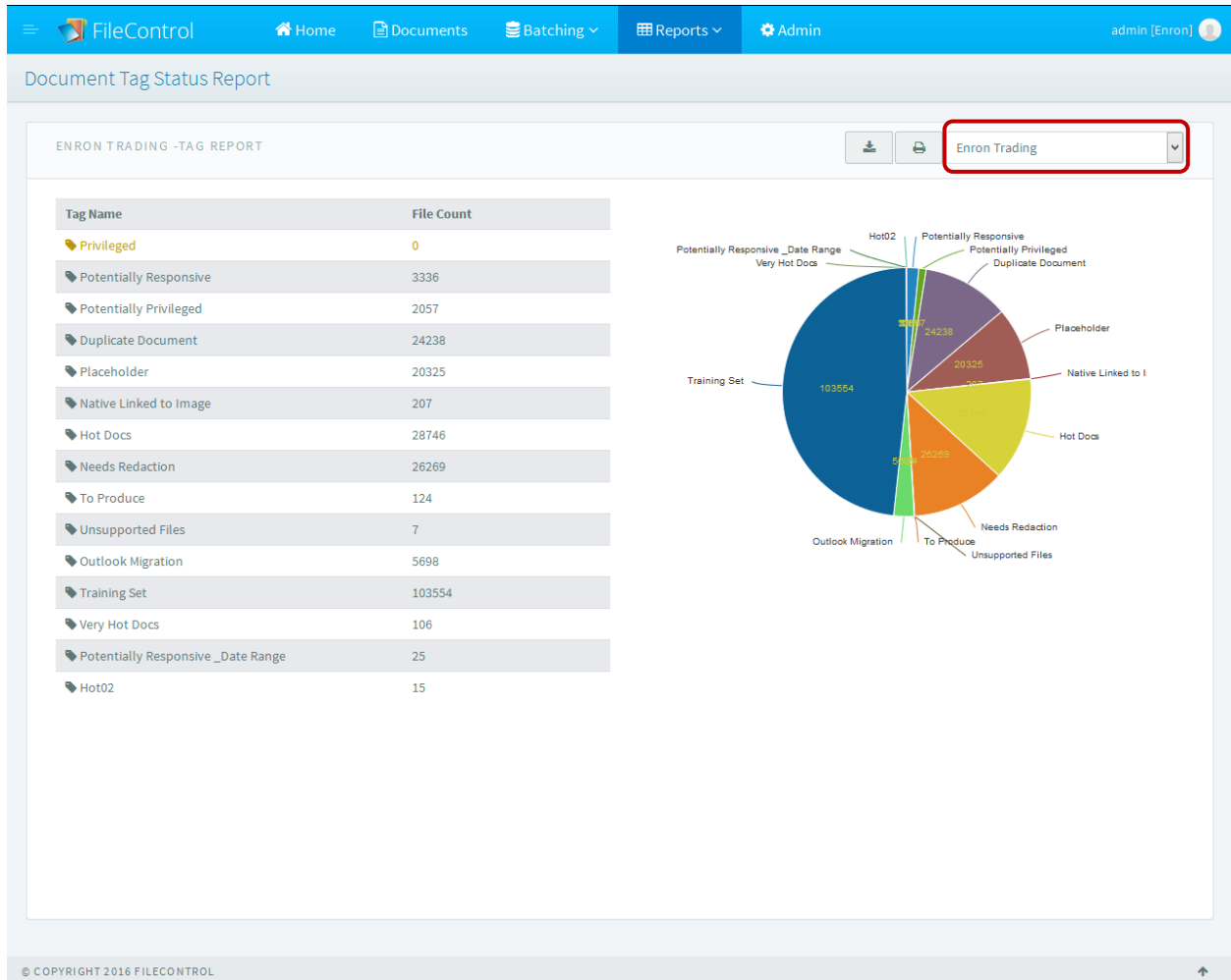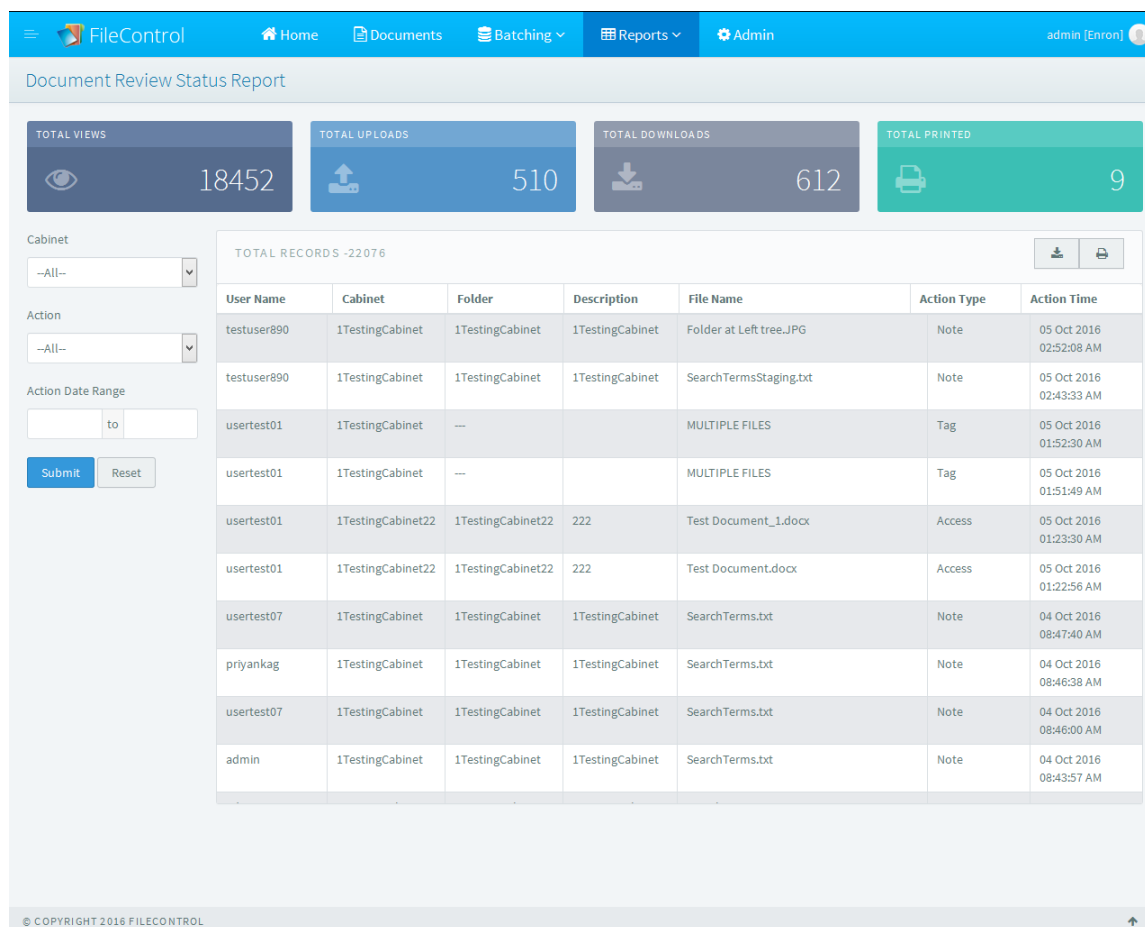
Tag Status Report filtered by Cabinet

Clicking on any Tag Name will execute the search of documents associated with that tag. The user will be taken to the Documents page to view the Results List.

9.2.3 Document Review Status Report

The Document Status Report provides information on actions performed on documents in the current Company.

Document Review Status Report

At the top of the report are 'At a Glance' values for Total Views, Total Uploads, Total Downloads and Total Printed.
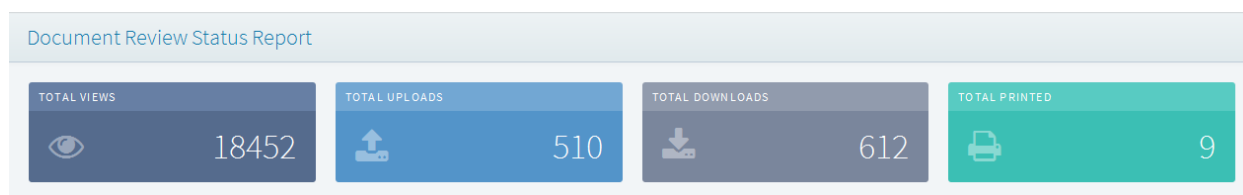
'At a Glance' Document Counts for Document Review Status Report

By default, the report lists all document activity in the Company sorted by Action Time. Details available are User Name, Cabinet or Folder, Document ID, File Name, Action Type, and Action Time. The report can be filtered by Cabinet, Folder, Action and Action Date Range using the tools on the left and sorted by the existing fields.

The reported Action types are:
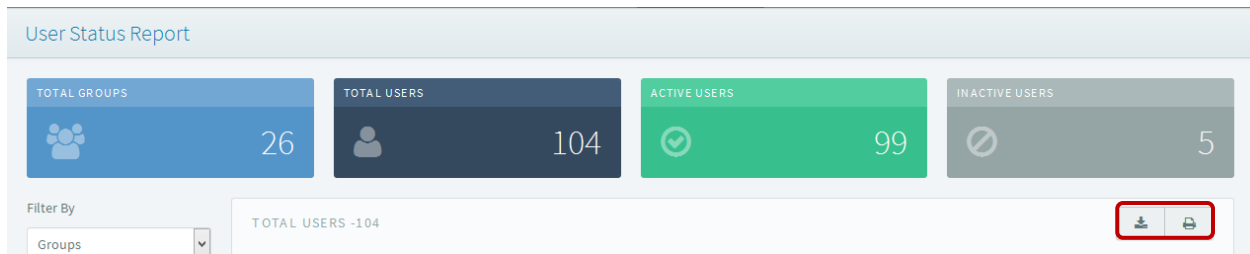
- Access
- Copy
- Delete
- Download
- Email
- Move
- Note

- Print
- Reviewed
- Tag
- Tiff
- Untag
- Update
- Upload
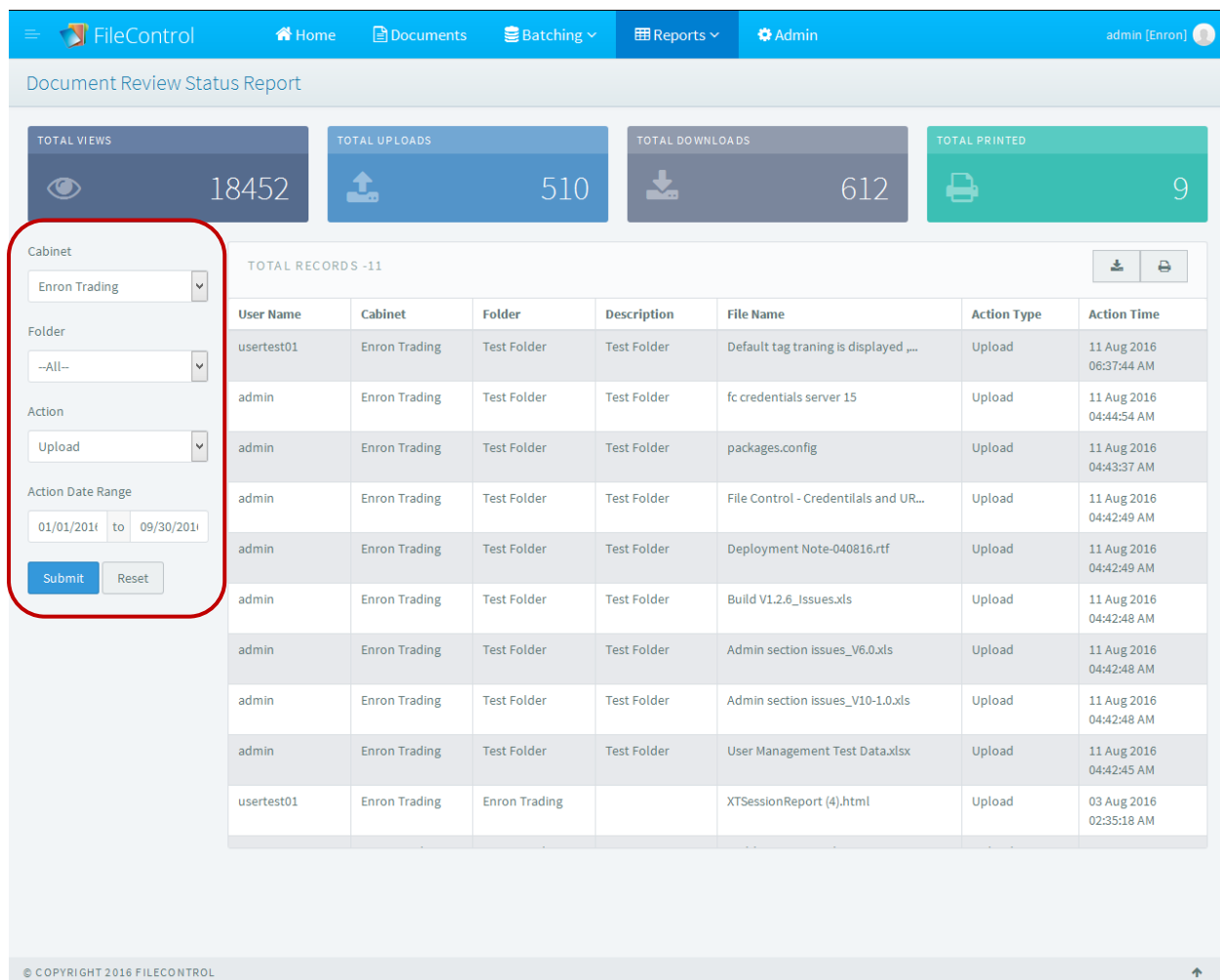
Document Review Status Report filtered by Cabinet showing documents that have been Uploaded within a Date Range
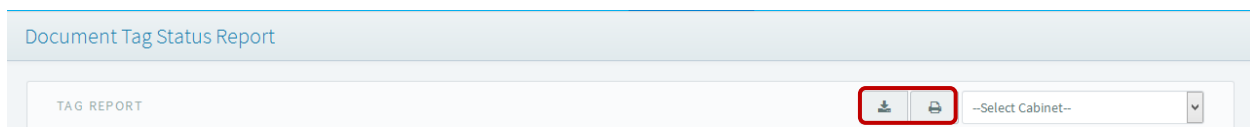
9.3 Exporting and Printing Reports

Users with permissions to do so may Export and Print these reports. At the top of each report's page there are Export and Print buttons.
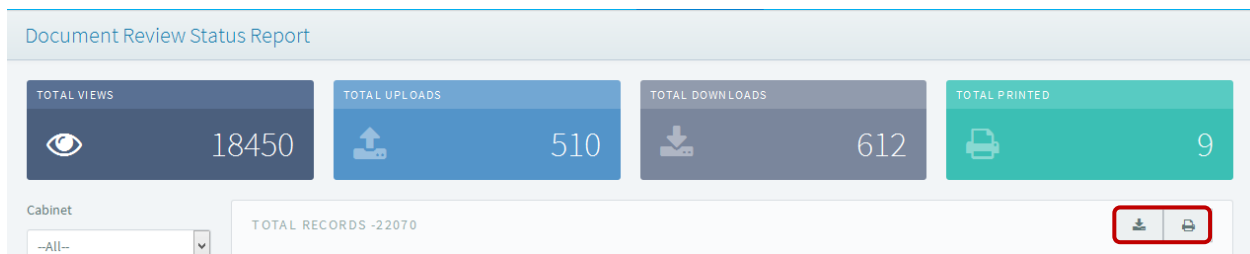

User Status Report showing Export and Print Buttons

Document Tag Status Report showing Export and Print Buttons

Document Review Status Report showing Export and Print Buttons
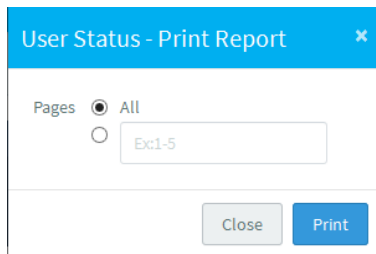
9.3.1 Export

To export, click the Export button and select the desired export format, Excel or PDF. Confirm selections to complete the export. The report will be exported to a location on your machine depending on your browser settings. The default is usually the Downloads folder.
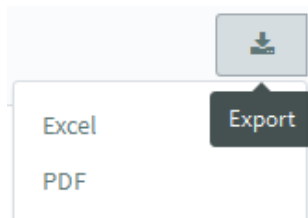
Export Button showing export format options

9.3.2   Print

To print, click the Print button 🖨 and click Print on the Print Report popup to print the default 'All' pages or enter a page(s) or page range and click Print to print only select pages. Select Printer and settings on the Windows Print popup to complete printing. The report will be printed to selected printer.

Print Report popup (User Status Report)