

ICAEW - Accredited IT Product Scheme

Software Evaluation

Document Management System

Invu Series 6

(Covering S600 Document Management and optional Workflow)

By Invu Services Limited



Evaluation carried out by: Baker Tilly

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1. Introduction

1.1 Terminology Used in the Report

API	Application programming interface
Barcode	Familiar images but are especially useful as the information they contain can be read very easily and accurately
Boolean	An expansion of the detail on searching options such as searches for a particular word with operands 'AND' and 'OR' or a search for phrase with or without wild card characters
Full Text Search	The ability of the software to search for a particular word or phrase anywhere in a document. To return all documents containing the searched word(s) and note which pages contain the word(s),highlighting those word(s) on the specific page.
Indexes	Text labels added after the document is scanned, such as Client Number and Name, which are later used to identify the document when searching and retrieving
IMAP4 Compliant	Internet Message Application Protocol – is an application layer Internet protocol that allows a local client to access email on a remote server.
MFD	Multi-function device (Scanner/Printer/Copier)
OCR	Optical Character Recognition and is very useful because scanned text cannot be read by a computer as it's simply an image or picture. OCR is a facility that converts this text image back into actual computer readable and editable text
Rich Client	Invu's rich client allows for processing to be done both on the client and on the server. Utilising web services this also allows access to documents and information through the internet.
SME	Small to Medium-size enterprise

SQLServer		Is a database manufactured by Microsoft
SQL Server Express Edition	2005	Is a royalty free version of Microsoft's SQL Server and is supplied with the Invu products.
VPN		Virtual private network
VRS		Virtual ReScan or VRS is a software product that manages the quality of images immediately after they have been scanned

1.2 Product Overview

The term 'Document Management', when associated with software, has a very wide meaning. At the basic level it is usually understood to mean the 'scanning and storage of documents' thereby providing the benefits of ease of access, space saving and back up. This basic functionality could be achieved by using MS Office products and a cheap scanner. However, the limitations of such a system are great and the benefits of true document management represent much greater functionality and accountability in all aspects of a business.

Current products available in the market represent everything from a simple package to keep track of the files stored in a paper archive, through to a large scale document capture, workflow and archiving system with elements of artificial intelligence. Invu Series 6 is an example of the latter definition, but is aimed at the SME market with a price point to match. Series 6 is Invu's brand new, functionally rich document management solution written in the Microsoft .NET programming language.

With the ever increasing deluge of information, document management systems are fast becoming the most essential software solution within businesses. Invu have developed a document and information management system that is "Easy to Use", of "High Quality" and believed to be cost effective. The system will store all types of documents from Microsoft Office documents through to scanned images in a wide variety of formats. In fact, anything that the computer handles, Invu claims to manage. Invu Series 6 provides full revision control and management of all documents in a Windows based environment. Invu Series 6 allows for access via client server networked PCs, web browser or even rich client (all within the same product), so that even when users are out of the office they can still get to their documents or indeed access their intrays. Due to its CodeFree Integration software (additional licence key purchase) Invu Series 6 can integrate with any Windows-based application or indeed a terminally emulated application without the need for any bespoke programming.

Invu's Series 6 product range is listed below.

S600 – A client server networked document management system utilising rich client technology allowing for internet access to documents.

S650 – Includes all the functionality of S600 and additionally includes a Multi-layered Workflow system. This again utilises rich client technology allowing for local area network access or internet access to documents and workflows.

In the "Technical Evaluation Questions and Functional Requirements" section of this document, the responses to the questions concerning workflow (specifically questions 194 - 222), the responses are valid for S650 only. All other questionnaire responses are valid for both S600 and S650.

The following modules are part of the Invu Series 6 product suite and are shipped with the CD and installed in the standard installation, but will require a separately purchased product key. These modules are not covered in this evaluation. Potential purchasers should take care to acquire the modules required for the purposes they require.

Link Manager

This allows users to import documents into Invu Series 6 using a csv/xml file and the image itself.

Codefree Integration

A product that allows users to integrate other Windows applications without the need for expensive hard-coding.

Advanced Codefree Integration

A product that allows users to integrate other Windows and Terminally Emulated programs with Invu Series 6 via wizard driven technology and, most importantly, without the need for expensive hard-coding.

API

This is an application programming interface which allows bespoke hard-coded integration with existing business systems.

2. Approach to Evaluation

2.1 Objective

To evaluate the main modules of the Invu Series 6 Document and Information Management software against a set of criteria developed by the ICAEW to ensure that the software meets the requirements for document management systems.

2.2 Approach and Work Performed

For this evaluation the ICAEW Functional Requirements Questionnaire was used. An Invu Series 6 document management system was installed in order to provide a fully functional solution.

In order to effectively evaluate the features in Invu Series 6, the company completed the detailed questionnaire and provided it to the evaluator to review. The evaluator then visited the headquarters of Invu Services Limited in Northamptonshire and checked the answers by running the system with the assistance of one of their Directors of Applications. The questions covering the features were individually reviewed and the majority of assessments were confirmed.

In the event of disagreement between Invu Services Limited and the Evaluator, the Evaluator's decision was taken as final and the response changed accordingly.

When the evaluation had been completed, the responses were typeset by the evaluator and draft copies sent to Invu Services Limited and the ICAEW before completion of the final report.

2.2 Software and Hardware Utilised

The software used was an Invu Series 6 solution. The products that have been evaluated were:
Invu Series 6 S600 Document Management product
Invu Series 6 S650 Document Management plus Workflow package

The product was tested on a Dell Precision Laptop with a 2.0 GHz Pentium Mobile Processor with 1Gb of RAM. Typically, Invu Series 6 solutions reside upon client server networks. These can range from single user to several thousand users.

2.4 Suitability for User

Invu's Series 6 document and information management solutions are based on market needs driven by customer requirements. All products are generic and have been designed to be easy to use, of high quality and to give a very fast return on investment. The product suite covers data capture, archiving, indexing, retrieval and workflow and can be set up to integrate with Microsoft Office and other Windows-based (or Windows-emulated) software solutions. Rich client / server capabilities are available throughout the product range, allowing complete flexibility of working whether over a local area network or indeed across the internet.

The product can be applied to any industry segment and is specifically aimed at the SME sector and individual departments within larger corporates. Invu solutions have been provided to over 2,300 customers representing 45,000 end users across the UK and The Netherlands. These customers include Universal Music Group, Bates Millfield Independent Financial Advisors, Persimmon Homes, Logica CMG, Bourneville Village Trust, Centrica, Wincanton, Sweet & Maxwell and Chelsea F.C..

More appropriately, their end user list already contains some 140 ICAEW member practices including BDO Stoy Haywood, Stanes Rand, Moore Stephens, RSM Robson Rhodes, Haslers and Macnair Mason. If one excludes the "Top Six", Invu already has over 25% representation in the top 50 ICAEW member firms. This list is growing rapidly as a number of the company's 130 accredited partners now specifically target this particular vertical market.

3 Matters to Consider before Purchasing

3.1 General

Invu claims its three key brand values are ease of use, high quality and price performance and each of these values is considered by them to be essential for all businesses seeking a fast return on investment. Invu's management believes that its software solutions are compelling to the market because they demonstrably solve customer problems within a short payback period.

Invu Series 6 has been designed to suit a wide range of types and sizes of business, being easy to set up and use with full document version control and with seamless integration with many other systems. Purchasers should ensure the product purchased includes all the modules appropriate to their needs.

3.2 Functional Questions Recommended System Requirements

Minimum Client Requirement:

Pentium III based processor (or equivalent) 1GHz 512Mb RAM with 100Mb available on the hard drive for installation.

Invu Series 6 will run on the following operating systems:

Windows 2000 (latest SP) and Windows XP SP2.

Minimum Server Requirement:

Pentium 4 (or equivalent) 2Gb RAM with 200Mb available on the hard drive for installation + 6Kb per document + file size of the document + 10%.

Operating systems:

Microsoft Server 2000, Microsoft Server 2003, Microsoft Small Business Server.

3.3 Questions relating to Software Supplier

Invu Inc

Invu [LSE, AIM, Symbol; NVUK] develops, markets and sells software (under the brand name of Invu) for the electronic management of all types of information and documents, such as forms, correspondence, literature, faxes, e-mail, technical drawings, electronic files and web pages. Invu targets the small-to-medium sized enterprise (“SME”) market and individual departments of larger organisations with a range of products which the directors believe adhere to Invu’s brand values of ease of use, high quality and price performance.

Founded in 1997 and based in Northampton, Invu Inc operates in the UK, Ireland, Netherlands and SE Asia. The group raised nearly £4 million following its flotation on the AIM stock market in January 2004. Invu’s products have been sold to over 2,300 customers, representing approximately 45,000 licensed users. Invu has a proven reseller business model and has established a network of more than 130 Value Added Resellers, 10 of which are in Benelux and 8 in SE Asia.

The group is growing rapidly with year on year turnover increasing organically and profits rising exponentially. Since flotation in January 2004, the group’s share price has trebled and is continuing to rise.

Invu Services Limited

Based just outside Northampton, Invu employs 53 people in the UK and 2 in the Netherlands. All product development is undertaken at the company’s HQ. The company’s technical support team numbers some 15 people including technical engineers, technical trainers, support desk personnel, and project managers. This team provides a highly effective customer facing support function.

3.4 Software Installation and Support

Invu sells through resellers. All Invu’s partners have to be trained by Invu to provide technical services. Invu’s partners provide first line support backed up by the Invu technical team providing second line support. The Invu support helpdesk typically answers 500-600 support calls per month and Invu’s call logs demonstrate that 80% of calls placed are resolved within 1 hour. Invu’s support can remotely link to any Invu site to help support users.

Invu provides technical training for all of its resellers including classroom learning, practical workshops, technical manuals, and a technical web site. It has also launched a certified training programme for technical support engineers (ICE – Invu certified engineer). This programme has three levels of expertise; basic, intermediate and advanced. Intensive training days culminate in examinations and successful candidates obtain their ICE certification. This process is part of a larger initiative of “Invu Centres of Excellence” which aims to provide an elite level of partners to meet the needs of the more technically demanding customer.

As a guide a typical 5 user system of Invu Series 6 can be installed, configured and the users trained within 2 days. A complex 100 user workflow solution including installation, configuration, workflow consultancy and training would typically take 10-20 man days.

3.5 Limitations

There are a number of limitations in the product, which while not adversely impacting upon this evaluation may be of importance to some businesses. It is important that any business contemplating the purchase of software reviews the functionality described and limitations therein against its detailed requirements. Attention is drawn in particular to the following areas where the product, on its own, may not be suitable for businesses with particular requirements:

- the software does not support OMR.
- there is no facility for automatic classification of document type. Data cannot be extracted from forms. Wizards are not available.
- PST import is not available.
- Concurrent user licences are not supported.
- there is no customised archiving policy, no searching on off-line documents and no identification and automatic removal of obsolete data based upon retention rules.
- report writing is through external software using web services, i.e. not included in the system.
- reports cannot be exported in a standard format for re-importation into other third party reporting tools.
- scraping and retrieval of data from terminally emulated applications is only possible with additional licence for Invu's Advanced Codefree Integration software.
- there is no relocation and indexing of off-line storage, except though using third party systems.
- data indexes cannot be automatically created through links to external databases.
- the system does not include a COLD module. Invu believes that the business benefits of accessing data in this way have been superseded by other more efficient methods such as real time internet access to documents.
- no fax solution is provided, although it is possible to integrate with email programs to fax via email.
- batch printing is not supported but is under development.

4. Evaluation Conclusion

There were no areas in the evaluation that gave concern. Invu Series 6 is a well-designed document management system.

The Invu applications are well specified in terms of the functionality that is present in the product range and the target market for the software. It is easy to use, intuitive and very flexible in its approach. On screen help is available to assist the user along with helpdesk support from both reseller and Invu.

Disclaimer

Any organisation considering the purchase of Invu Series 6 should consider their requirements in the light of proposals made by Invu Services Ltd and its partner network and potential suppliers of other similarly specified products. Whilst the contents of this document are presented in good faith, neither Baker Tilly nor the ICAEW can accept liability for actions taken as a result of comments made herein.

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question

Supplier Response

Evaluation

5 Technical Evaluation Questions and Functional Requirements

The following questions should be asked of a prospective software supplier to ascertain if their proposed solution will meet the needs of your business.

5.1 Document Input

SCANNING		
1. Do you provide your own scanning solution. If yes –	Yes, scanning is an integral part of the system and this is one of many ways a document can be placed in the system.	Agreed. The system will detect any document in any format supported through Twain
1.1. Does it support batch scanning?	The system is designed to support this functionality.	Agreed.
1.2. Does it support low volume desktop scanning?	The system will support desktop scanning as well as network scans.	Agreed
1.3. Does it support quality checking of scanned images and re-scanning of bad images.	Yes the scanned image can be held in an inray for QA and rescan if required.	Agreed (& done after to comply with Code of Practice for Legal Admissibility).
2. Identify what scanner hardware you are able to integrate with and which are recommended	Invu Series 6 will integrate with the majority of TWAIN based scanners, Invu Series 6 will also facilitate images being passed to it from multi function devices.	Agreed
3. Please indicate which document formats are supported ie TIFF, PDF, JPEG.	Invu Series 6 can cater for all electronic document formats provided that the native application exists to view the document. A list of all image types supported is shown in Appendix A.	Appendix A details the IMAGE type documents that can be handled. Many other files formats can be handled including all Microsoft, video & sound files.
4. Does your product support document sizes up to A0 scans?	Yes, providing the scanner has the capability.	Agreed
5. Does your product support colour scans?	Colour documents are supported.	Agreed

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
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6. Does your system support photocopier based networked scanning devices, such as MFD?	Network scanning devices supported	Agreed
7. Does your system support downloaded images from the network?	Yes, this feature is supported.	Agreed – subject to existence in Appendix A
8. Does your system have the ability to monitor network folders for file import automatically?	The system is able to monitor network folders to allow documents to be imported automatically.	Agreed Will poll folders and will import any new documents.
9. What controls are available to schedule file monitoring? Please detail.	There is no requirement for this as Invu Series 6 will automatically import the files from the folder location.	Agreed Periodic polling.
10. Does your system support File Transfer Protocol (FTP)?	Yes, this feature is supported.	Agreed Polling in same manner as with folder.
11. Explain in detail what integration you provide to scanner systems, in particular describe - 11.1. Ability to interface to a chosen scanner system. 11.2. Ability to receive and handle images received from a scanner system.	Invu Series 6 is built to interface with TWAIN compliant scanner systems through the industry standard 1.9 TWAIN interface. Invu Series 6 incorporates its own image capture and manipulation technology. Where another scanning system such as Kofax Ascent Capture is used Invu Series 6 can integrate with this either through the file watching mechanism or in the case of Kofax through a standard product integration.	Agreed
12. Does your product support both simplex and duplex scanning?	Yes the system supports this functionality.	Agreed
13. Does your product provide automated removal of blank images for mixed batch duplex scanning?	Yes, blank page suppression is a feature.	Seen & agreed.

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
14. Does your product support image enhancement tools?	Yes image manipulation is supported.	Agreed Set out in Appendix A, including: Document rotation Document invert Document deskew Document despeckle Document autotrim Remove borders Remove hole punches Erase area function Area grab function Re-arrange pages function Add pages function Annotations function (tiff only) Note tool (tiff only) Redaction tool (tiff only) Highlight tool (tiff only) Text tool (tiff only) Stamp tool Pointer tool Shape drawing tools

DOCUMENT IMAGE PROCESSING		
15. Does your product support OCR (Optical Character Recognition)?	The system does support OCR of images.	Agreed
16. Does your product provide for automatic and manual zoning of OCR text?	Yes it does support automatic zonal OCR based on trained templates.	Agreed Template where used for auto indexing. With or without out templates whole doc is OCR anyway.
17. Does your product support OCR full text?	The product does support this feature.	Agreed
18. What OCR engine(s) are used if not your own?	Scansoft technology incorporating Omnipage	Agreed
19. Please indicate performance figures for full text indexing in terms of A4 pages per hour or equivalent?	The OCR performance is 1200 A4 scanned pages per hour. Full text indexing of the OCR'd image is measured in microseconds per page.	Agreed

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
20. Does your product support Optical Mark Recognition?	This feature is not part of the product.	Agreed, recognition of tick boxes or similar not supported.
21. Does the OMR (Optical Mark Recognition) support any form of handwriting recognition?	N/A	N/A
22. If there is handwriting recognition support what are its practical limitations?	N/A	N/A
23. Does your product support Barcode reading and indexing?	Yes	Both Barcode reading and indexing (& extracting related attributes / metadata).
24. What Barcode engine(s) are used if not your own?	Lead Technologies	Agreed
25. Please indicate which Barcode formats are supported?	All major barcode formats are supported, if required an exhaustive list can be provided but includes Code 128 3 of 9 etc	Agreed
26. Does your product support the definition of scanned fields such as: Alphanumeric, numeric only or alpha only Date format Bar code?	Yes, Invu Series 6 supports a variety of data types including all those mentioned.	Agreed, where scanning needs require information in a set area, then it has to be in the required format.
27. Do you support basic image preparation including rotation, speckle removal and de-skewing.	These features are all standard within the product.	Agreed

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
28. Do you support bar code and/or text recognition to support automated document identification / filing of incoming documents.	Yes, based on barcodes, zonal OCR (text recognition) automated document identification and filing is supported.	Agreed
29. Does your system enable automatic classification of document types based on their layout and appearance.	This is achieved through integration with other products such as Kofax for automated forms processing.	No, system does not manage this (yet) on its own.
30. Can your system be used to semi-automate the extraction of data from forms.	This is not included in the standard product however Invu Series 6 has this capability through the Invu Intelligent Processing Engine (IPE) module or through third party applications such as Kofax.	Agreed
31. Does your product provide a forms production tool or wizard?	No.	Agreed
32. If there is a forms wizard please outline theality?	N/A	Agreed
33. Does your system enable automatic capture of images of outbound documents, generated by business applications?	Yes this is achieved through third party applications such as Spindle and Planetpress. Invu Series 6 can be set up to intercept the "Save" "Save as" control.	Invu Series 6 can intercept the "Save" "Save as" control.
34. Does your system contain a Windows print driver for document capture of outbound business documents?	Yes as 33 above.	Agreed
35. What formats are supported via the print driver? 35.1. TIFF 35.2. PDF 35.3. Other	Yes as 33 above	Agreed

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
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36. How may different format configurations can be stored for active usage using the print driver method?	Unlimited	Agreed
37. What level of indexing can be derived from this capture method?	Full text, and meta data indexing are gathered through this process.	Agreed
38. Can specific index fields be extracted and populated by this method? If so what configuration tools are available?	Yes	Agreed
39. Does your system provide a COLD module?	This feature is not part of the product as the business benefits of accessing data in this way have been superseded by other more efficient methods such as real time internet access to documents.	Exporting data to something removeable (ie CD) Not supported.
40. What print-spool formats does this module support?	See 39 above	COLD not supported
41. What image formats ie TIFF, PDF are supported via the COLD module?	See 39 above	COLD not supported
42. What text formats are supported by this module?	See 39 above	COLD not supported
43. What level of indexing can be derived from this capture method?	See 39 above	COLD not supported

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
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44. Can specific index fields be extracted and populated by this method? If so what configuration tools are available?	See 39 above	COLD not supported
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BATCH INPUT

45. Are you able to support batch loading of legacy document sets if/when required?	Yes, documents can be imported via the Invu Document Processing Engine (integral to the product) either using XML data or simply based on the location of the information in the windows file system.	Agreed
46. What methods of control are offered to reduce the possibility of documents missed through miss-feeds?	Scanner mis feeds are detected by the scanner. As Invu Series 6 has the ability to allow user either re-scan or indeed QA the image the number of mis-scans is minimised.	Agreed
47. What method of batch delimitation is used to logically group relevant document together?	Invu Series 6 uses barcode separator documents to perform this task.	Agreed If not barcode, then would require manual intervention at time of scanning.
48. How are the delimiters identified?	Using barcodes	Agreed
49. Are there options to include or exclude delimiters automatically from each document if desired for audit purposes, when placed in the repository?	Yes	Demo

FAX

50. Do you provide your own fax solution? If yes please supply details.	We do not provide a fax solution in Invu Series 6 as we provide detailed integration into email programs where most faxes are now sent and received. However please see 51.	Agreed, fax solution not provided.
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Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
51. Identify what fax systems, provided by 3rd party suppliers; you are able to integrate with.	Invu Series 6 will integrate with all third party fax software that is capable of out-putting the fax as an image. Once this is done Invu Series 6 will automatically pull in the image into a users intray. Should the fax system output a csv or xml file with indexing information in it, Invu Series 6 will also automatically index the fax based on the information provided.	Noted & agreed
52. Explain in detail what integration you provide to Fax systems, in particular describe: 52.1. Ability to interface to a chosen fax system. 52.2. Ability to receive and handle images received from a fax system.	Please see 51	Noted and agreed

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
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5.2 Document Indexing

53. Does your product provide facilities to hold scanned documents between scanning and indexing?	Yes this facility is accommodated, scanned documents are held in in trays, prior to indexing. It is important to note though that with Invu Series 6 even the documents in an in tray can be searched and found.	Agreed, standard functionality.
54. Does your product support multiple index stations into the same repository for scalability purposes?	Yes, documents can be indexed from an unlimited number of workstations.	Agreed
55. What types of database are supported for this temporary storage?	Invu Series 6 does not store its documents in a temporary file store. The documents themselves are held in the Invu Secure File Store along with the text index information. This ensures that documents are protected and easily backed up. All the meta data (indexing attributes) are held in one Microsoft SQL Server 2000 or 2005 database. Again this ensures very easy maintenance and backup.	Agreed, (see Appendix B System Structure diagrammatic.)
56. Does your product provide the facility to add, delete and rearrange scanned images before indexing?	Yes, whilst the document is in the in tray, the image can be edited and the user can perform these features. Furthermore this is subject to version control.	Agreed.
57. Does your product provide split screen capability for heads-up data entry from image?	Yes, the product is designed to support this feature.	With modern screens, not seen as necessary, but ability will exist subject to the power of the installed graphics card.
58. Is there a zoom facility to identify hard to read information on the image?	This feature is part of the product.	Agreed.
59. Are these changes permanently stored with the index metadata?	No	System remembers last level of zoom setting from one document to another.

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
60. Does your product provide the facility to interrupt the indexing process leaving the remaining images safely stored until another time?	Yes, documents that have not been indexed will reside in the in tray and can be indexed at any time.	Seen and agreed.
61. Does your product provide the facility to automatically index documents from an existing data source, such as a database?	Yes Invu Series 6 will use an xml data source to import documents.	See and agreed.
62. Is there any limit on the numbers of indexes that can be provided?	Indexes are unlimited.	Agreed.
63. Is this process (above) able to automatically insert data into specified index field(s) on a document?	Yes please see 61 above.	Agreed. Works and demonstrated.
64. Does your product provide the facility to modify document indexes before the document is finally stored?	Yes, indexes can be modified before and after the document has been indexed.	Agreed, indexing can be changed at any time. History of all changes maintained in audit logs.
65. Does your product have a limit to the number and size of indexes?	There is no limit on the number of indexes however the size of an index is governed by the database e.g. string 8,000 characters	Agreed
66. Does your product provide the facility for the value of one index to determine the value(s) of another index?	Yes.	Agreed.
67. Does your product provide manual and automatic facilities to bind together the pages of a document?	Yes.	Agreed. (Documents can be scanned as a 5-page doc or bundles if scanned separately.
68. Does your product provide a method to select index from a selection of pre-defined categories?	Yes – fixed lists can be assigned to indexes.	Agreed.
69. Does your product provide context based selection of pre-defined indexes at multiple levels?	Yes.	Agreed.

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
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70. What methods are offered to support the simple management of predefined index fields such as drop downs?	Either a service can be used to update predefined index fields from another data-source or they are maintained manually through a simple interface.	Agreed.
71. What method of export is used to transfer index data and images to the repository?	As soon as a document is brought in to Invu Series 6, it is automatically stored in the Invu Secure Store. There is no export requirement.	Agreed
72. Can the export be configured to update other systems with indexed content?	Please see 71	If the metadata can be exported into separate files, then yes it can be configured to do this.
73. What are the limitations of the export capability in respect of updating third party systems?	Please see 71	Limited to 3 rd party system protocols.

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question

Supplier Response

Evaluation

5.3 Document Repository

SEARCHING AND RETRIEVAL		
74. What interfaces are provided as standard to view data and images from the repository?	The product is able to open documents in their native application. The product also comes with its own image viewer wheres like zoom, print etc are possible. The index data is shown on screen next to the results set and is also visible through the viewer.	Agreed and seen.
75. Is there a browser interface provided as standard?	Invu's technology is far more advanced than a browser based application. Invu Series 6 is a rich client application. This means that the product communicates through web services to a server giving users greater functionality and usability.	Agreed
76. What browser types and versions are supported by this interface?	Please see 75.	See above
77. What additional customised interfaces are available for other applications?	Other interfaces will be available through the Invu API.	None "out-of-the-box"
78. Does your system provide facilities to customise the user interfaces?	Yes.	Agreed

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
79. Where customisation is possible, does this include: 79.1. Button toolbars 79.2. Foreground/background colouring 79.3. Results layout 79.4. Index order 79.5. User based index presentation 79.6. Direct to image/document options	No Yes through windows theming Yes Yes No Yes	Agreed Agreed Agreed Agreed Agreed Agreed
80. What search facilities does your product provide?	The product supports meta data searching, content searching and attribute searching.	Agreed and searching can be on combination of three with Boolean and Range expressions.
81. Does your search facility support Boolean operators And, Or, Not and wildcard searches?	The product has this facility and does build Boolean queries.	Agreed
82. Does your product provide a facility to enter or select keywords from a list when making a search of a particular index?	Yes.	Agreed
83. Is it possible to perform an index-based search followed by a full-text search only on the entries returned by the index search?	Yes.	Agreed Results panel can then be filtered on logical criteria.
84. Does your product provide free format and full text searches?	Yes.	Agreed and phonic, stemming, synonyms and fuzzy searching
85. What is the response rate using free format search?	Immediate	Delay not noticeable.

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

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86. What search tool is used?	Text searching is done through dtSearch embedded within Invu Series 6.	Agreed
87. What search criteria can be used for a free format or full text search?	Single word or phrase, phonic, stemming, synonyms and fuzzy searching	Seen & agreed
88. Does your product provide facilities to customise search dialogs?	No standard search is flexible enough to for all search combinations.	Agreed
89. Does your product provide facilities to customise results dialog lists?	Yes, depending on the user privileges set by the system administrator. Results can be ordered in any format and select headings to suit user.	Agreed.
90. Does your product have any restriction on the content that is searched?	Yes, the product will only return results providing the user has the appropriate security settings to see the documents.	Seen & agreed.
91. Does your product provide facilities for users to add annotations, which are not added to the content of the document, including; 91.1. Highlighters 91.2. Sticky notes 91.3. Date stamps 91.4. Other	Yes, all these and many more facilities exist.	Agreed, all seen
92. Does your product provide facilities for users to add notes pages (which are not added to the content of the document)?	Yes.	Seen & agreed

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93. Where there are multiple repositories can these be searched for content simultaneously?	Invu Series 6 supports multiple secure stores each of which can be searched independently or simultaneously.	Agreed.
94. With a simultaneous search is there any reduction in performance as a consequence?	As with any application this is purely dependent on the connection speed of the network to the secure stores.	Agreed
95. What is the search performance of your product for: 95.1. 100,000 documents? 95.2. 1,000,000 documents? 95.3. 10,000,000 documents?	Faster than the time it took you to read this! For instance a single word text search over 10,000,000 documents would return the results within 1 second. The technology's speed in searching is not directly related to the number of documents.	Speed is fine.

VIEWING		
96. Is the user able to quickly identify particular document types within a search.	Yes, results will be grouped per document type which we categorise by "Information Type" as advised in the BSI Code of Practice for Legal Admissibility.	Seen & agreed.
97. Is the user able to view the document in its native form/application?	Yes.	Seen & agreed.
98. Is the user able to sort the contents of each column of 'hits'? Such as by date or document type (e.g. agreements, correspondence)	Yes, search results can be sorted and filtered in many different ways.	Seen & agreed (incl. Filtering).

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99. Is the user able to display documents using standard viewing options including 99.1. Pan? 99.2. Rotate? 99.3. Zoom?	Yes, pan, rotate and zoom are features that are part of the product. Documents can also be printed from the viewer and perform any additional features the native application will offer.	Seen & agreed.
100. Is the user able to quickly leaf through documents and their pages?	Yes, documents can be previewed via thumbnails. Also multiple documents of different types can be opened in one viewer and 'flicked' through as if viewing a client file.	Seen & agreed.
101. Is the user presented with any thumbnail images to aid navigation to the desired image?	Yes.	Seen & agreed.
102. What support is available for users of Terminal Emulation software?	Invu's Advanced Codefree Integration software allows for the scraping and retrieval of data from terminally emulated applications.	Agreed, but this is an add-on product (separate licence fee – see prologue). Advanced Codefree Integration would allow for the scraping and retrieval of data from terminally emulated applications.
103. Does your product support remote users?	Yes.	Seen & agreed.
104. What methods are available to improve remote access for users with low bandwidth, such as 56k modems?	With the advent of broadband services being widely available at low cost Invu Series 6 does not support this level of bandwidth.	Agreed, low speeds not supported.

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105. Can documents be uploaded from all interfaces in their native forms?	Yes.	Seen & agreed.
106. What tools are available to facilitate the movement of a complete record within the repository to provide a local copy?	Invu Series 6 provides the facility within its 'Workspace' for a user to take documents on to the local machine allowing them to read and indeed update them off-line.	Seen & agreed.
107. Are all prints available from the repository?	Yes.	Seen & agreed.
108. Are batch prints possible?	This feature is not currently supported but is currently under development.	Batch not currently supported.

DOCUMENT SUPPORT

109. What image and document formats are supported by your product?	Please see Appendix A for image formats. All other formats that are supported by Windows are supported within Invu Series 6.	Seen & agreed.
110. What Windows file types does your product support?	Please see 109.	Seen & agreed.
111. Are these formats stored in their native form?	Yes.	Seen & agreed.

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

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112. Which of these (above) file types is your product able to display with built-in viewers	Appendix A image formats are available through the Invu Series 6 viewer as well as all Microsoft Office file types and pdf.	Seen & agreed.
113. Does your product provide support for all or any Microsoft Office products?	Yes.	Seen & agreed.
114. Are all of these document types stored within the same central repository?	Yes.	Seen & agreed.
115. Is there any limitation in your system as to the format of documents that can be stored.	No as long as it is supported by the Windows operating system.	Seen & agreed.
116. Please provide details of file types that can be stored.	Please see 109.	Seen & agreed.
117. Does your product provide the facility for users to import Windows documents and store them in native format?	Yes.	Seen & agreed.
118. Does your product provide facilities to save Windows print images with full text indexes?	Yes if the Windows print image is set to default to tiff.	Seen & agreed.

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119. Can document properties of MS Office files be utilised to provide automatic indexation?	Yes, the properties from Office documents are stored automatically in Invu Series 6 as office attributes.	Seen & agreed.
120. What search facilities are available though MS Word or other Office applications?	Invu Series 6 provides an Invu Research Service which is available through Office.	Agreed Seen working with MS Word & Outlook.
121. Are object links such as Macros lefting from Office applications in the repository?	Yes.	Seen & agreed.

EMAIL

122. Does your product support content from MS Outlook and Exchange?	Yes, emails from MS Outlook / Exchange are supported.	Seen & agreed.
123. What versions are supported?	Microsoft Outlook 2000 and above. Exchange supporting IMAP4 protocol.	Seen & agreed.
124. Does your product support content from Lotus Notes?	Yes, through the IMAP4 protocol.	Seen & agreed.
125. What versions are supported?	All versions supporting IMAP4 protocol.	Seen & agreed.

Functional Evaluation Questionnaire

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126. What other Groupware solutions are supported?	Email solutions supporting IMAP 4 protocol.	Seen & agreed.
127. What method of bulk import is utilised?	Emails can be indexed either individually or on bulk through the Invu Office Addin. Emails can also be set to automatic indexing through the Invu Email Indexing Service which is a rules based service taking email from the server and based on domain and sender details indexing into the DMS.	Seen & agreed.
128. Does this method preserve any folder metadata or hierarchy?	Yes.	Seen & agreed.
129. What methods of PST import are available?	No pst import is currently available	None available
130. Is PST output supported?	N/A	N/A
131. Is remote access supported and to what level?	Yes through the rich client technology giving full access.	Seen & agreed.
132. What methods of mailbox synchronisation or replication are supported?	IMAP4 protocol	Seen & agreed.

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133. Does your product capture and store emails as images and/or native text?	Emails are stored in their native format.	Seen & agreed.
134. Can searches be made on from, to and subject fields from the email?	Yes. As well as the from, to and subject fields, searches can be made on the content of the email, and the dates stamps.	Seen & agreed.
135. Does your product support the storage of emails with attachments?	Yes.	Seen & agreed (if attached emails are Word or Excel these too can be auto-indexed).
136. Does your product support the full text search and retrieval of email and attachments?	Yes.	Seen & agreed.
137. What indications are left within the mailbox (if any) that an item has been moved to the repository?	Within the Invu Series 6 mail box when running the automated mail indexing the icon changes to show that it has been indexed.	Agreed Icon shows as a short-cut icon.
138. How are email attachments supported?	Just like any other document.	Seen & agreed.
139. When an email is stored into your document repository is it also available via the standard email client, such as Outlook?	Yes, the email is copied not moved thus making it available in Outlook.	Seen & agreed. Replies from Outlook or Invu Series 6 are dealt with through Exchange, so either would be captured.

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140. Does your product support the creation of an email from your product client interface?	Yes, emails can be created through the product interface and will open in its native application.	Seen & agreed.
141. Can documents from the repository be selected and attached to the email?	Yes, any document from the system can be sent via email.	Seen & agreed.
142. Can links to the documents from the repository be selected and attached to the email?	Yes.	Seen & agreed.
143. What alternative methods are provided to obtain and forward content from the repository via email?	N/A	N/A
144. Is there a scheduled method to store emails based on rules such as the age or size of the email?	Yes please see 127	The rules are not within. The rules would be within Exchange.
145. Can a document search be enabled from any email application?	Yes when using Microsoft Word as the email editor.	Same as response to Q 120.

REPOSITORY ARCHITECTURE

146. Does your product have a scalable and robust repository capable of storing at least 1 million pages of documents online.	Yes.	Agreed

Functional Evaluation Questionnaire

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Question

Supplier Response

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147. What database architecture does your product support?	The product supports Microsoft SQL Server 2000 and 2005.	Agreed
148. Does your solution support distributed environment over a WAN?	Yes.	Seen & agreed.
149. Does your system allow the establishment of additional storage areas if required in the future.	Yes, multiple document stores can be added at any time.	Seen & agreed.
150. What limitations are there (if any) on the number of repositories that can be supported.	There are no limitations on the number of repositories.	Agreed
151. What type of storage facility does your product use for the document repository?	Documents are stored in a NTFS file structure that is controlled by our products.	Agreed
152. If this is a database is it an open standard database that allows other products and tools to query the data?	Yes. We encourage the use of the Invu API for interaction with the database.	Agreed.

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Question

Supplier Response

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153. Does your product have a limit to the amount of images and indexes that it can support?	No this is only governed by hardware specification.	Agreed
154. In what way are the images and index information stored in your repository?	The database holds metadata and documents are stored in the Invu Secure File Store.	Agreed
155. Does the solution support named user licences?	Yes, the product is user licence based.	Seen & agreed.
156. Does the solution support concurrent user licences?	Yes the product can be deployed concurrently but this is not encouraged due to the issues of users not being allowed on the system.	Working as product intended, licensing is NOT concurrent. Licensed by the number of network users who require access.
157. What impact does the deployment of interfaces have on the use of concurrent licences (if any)?	None.	Agreed
158. What ratio of actual users to concurrent licences, are recommended or achievable?	Please see 156	Not a concurrent licence.
159. Is there a server component to the licencing of your product?	No.	Agreed

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160. If there is a server component does this component need to be re-purchased for a multiple server environment?	N/A	Agreed
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Functional Evaluation Questionnaire

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Question

Supplier Response

Evaluation

5.4 Archiving Documents

161. Does your product provide the facility to create and customise archival policies?	No.	No recommended approach to archive.
162. What types of storage media does your product support for off-line and near-line storage retrieval?	Offline and Nearline storage are supported through third party applications and hardware.	Agreed
163. Does your product provide the facility to search for documents that have been migrated to near-line storage, such as jukeboxes?	Yes.	Agreed
164. Does your product support data caching for retrieval purposes?	Yes	Agreed Much caching kept on client side.
165. Does your product provide the facility to search for documents that have been migrated to off-line storage?	Yes through third party soft and hardware	Agreed
166. What facilities does your product provide for the migration of documents to other devices, such as Jukeboxes?	Provided through third party software	Agreed

Functional Evaluation Questionnaire

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Question

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167. Does your system provide for obsolete data automatically being removed from the system? And does the user or system administrator specify this?	No, although Invu Series 6's development path is mapped to include records management.	No method of archiving based on rules.
168. Is your product capable of identifying documents to be destroyed or moved offline based on defined retention rules.	Please see 167	Archiving left to be a manual process, but links to document remain in Database.
169. Relocating such documents and associated index data to 'offline' storage devices and allow the re-location of documents onto different storage media.	Please see 167	Archiving left to be a manual process, but links to document remain in Database.
170. Is your product capable of supporting the BSI PD 5000 Code of Practice for Legal Admissibility, where this is required, for storage purposes?	Yes	Agreed
171. Is your product accredited to any other standards? If so, please detail?	Microsoft Certified Partner. The product has been fully platform tested.	Noted.
172. Can the system be configured to provide Hierarchical Storage Management?	Yes	Seen & agreed.
173. What Disaster Recovery provision is recommended for the solution?	Database and Secure Stores to be part of clients standard DR procedure	Agreed

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174. Does this DR strategy include failover support?	Yes.	Agreed System can have run continual replication then automatic switch-over in case of failure.

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5.5 Document Security

175. What general security features does your product provide?	Security is tightly governed by Invu Series 6. It can be set using individual or group rights which govern what a user can do with a document. Whilst privileges govern what users can access. The database and documents use encryption technology to prevent unauthorised access.	Seen & agreed.
176. Does your security include the definition of user groups?	Yes, please see 175	Seen & agreed.
177. Does your security include the definition of individual users?	Yes.	Seen & agreed.
178. Does your product provide user ID codes with individual passwords?	Yes, the product utilises the security of NT Authentication.	Seen & agreed.
179. Can user and group permissions be linked to the equivalent Windows permissions?	Invu Series 6 interacts with Active Directory within Windows, however the user and group rights are established through the Invu Series 6 interface as they are far more detailed than in the operating system.	Seen & agreed.

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180. Does your product provide a facility to track access to documents in the repository and maintain history logs?	Yes, the product comes with a comprehensive auditing facility. Through this 'log' all actions on the system can viewed including those carried out on documents.	Seen & agreed.
181. Does your system provide the means to set access rights at a document or folder level?	Yes.	Seen & agreed.
182. Does your product provide the facility to control access to individual documents?	Yes.	This is normally switched off as users do not use it.
183. Are user interactions logged by user name in a revision-proofed manner?	Yes.	Seen & agreed.
184. Does your product provide support for version control of documents?	Yes, this is an integral part of the system. Documents that are edited will create a new version or draft thus you can never lose the original document.	Seen & agreed.
185. Is the version control visible to the user?	Yes, users can see if a document has more than one version.	Seen & agreed.
186. Is the most recent version always presented as the first search result?	Yes, however the user will also have the option to view previous versions of the document.	Seen & agreed.

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187. Can the version number be incorporated within any search?	Yes	Seen & agreed.
188. Does your system provide a full audit trail of all system and document usage?	Yes.	Seen & agreed.
189. Canality be conferred or denied by user and group as required?	Yes	Seen & agreed.
190. Can deletion rights be controlled by user and group?	Yes.	Seen & agreed.
191. Can read-only capability be provided through user and group access?	Yes.	Seen & agreed.
192. Can the stored documents be accessed individually via a Windows Explorer?	No.	Seen & agreed. Access security allows access only through Invu Series 6 product. This reviewer does not believe that access through Windows Explorer would be a benefit.
193. Does your product provide the facilities required to ensure compliance with recommendations in BSI Codes of Practice relating to admissibility of electronic documents?	Yes, the system is designed to follow guidelines that adhere to the BSI Code of Practice.	Agreed

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Question

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5.6 Work Flow

194. Does your product provide the facility to route documents?	Yes.	Seen & agreed
195. What additional interfaces are available through the workflow/routing solution?	A Graphical Designer is used to setup and configure workflows.	Agreed.
196. Does your product support workflow?	Yes.	Agreed
197. What database types are supported by your workflow solution?	Standard Microsoft SQL 2005.	Agreed
198. What Operating Systems are supported with your workflow solution?	Windows Server 2003 for configuration. Windows XP or Windows 2000 for standard usage.	Agreed (see Appendix B)
199. What security technology does your product support to prevent unauthorised access?	NT Authentication and hash coding of the Invu Series 6 database and physical files.	Agreed

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200. Does your product provide facilities to enable basic management of work queues, covering initial sorting and filing of documents.	Yes	Agreed
201. Can workflows be incepted from the scanning interface?	Yes, based on configuration setup.	Agreed
202. Can the workflows be incepted from the print driver or COLD modules?	Yes.	Can from print driver. COLD modules not present – discussed earlier (above)
203. Can workflows support both serial and parallel routing?	Yes both serial and parallel routing are supported.	Agreed
204. Does it provide a GUI based workflow builder?	Yes.	Agreed
205. Does the workflow support rules-based routing around the meta-data being used?	Yes.	Agreed
206. Can the workflow be configured via user exits to update third party systems?	Yes through Data Services designed and built for those systems.	Agreed

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207. Is the workflow compliant with standard email solutions to provide change notification?	Yes.	Agreed
208. Can documents in the workflow be locked out to prevent incidences of multiple versions?	Yes as documents are under the version control mechanism.	Agreed
209. Does the workflow support authorisation scenarios?	Yes, both serial and parallel.	Agreed
210. Does the workflow allow the support of user hierarchies and groups?	Yes, documents can be routed to both users and groups and also on a roles basis.	Agreed
211. Are all actions and tasks recorded within an audit trail?	Yes, all actions and tasks are recorded,	Agreed
212. Can users be limited to read-only interaction?	Yes, security can be set on the system to apply read only rights.	Agreed
213. Can user rights for read-write access be controlled centrally via an administration console?	Yes, this feature is supported.	Agreed

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214. Can intermediate users link to external databases for additional index data?	This is done through the Invu Advanced Codefree integration module. However where tighter integration is required this is done through the implementation of a 'data service' for that product.	Noted - Invu Advanced Codefree is additional with extra licensing costs.
215. Is the audit trail or history visible to other users in the workflow?	Yes, permissions can be set to grant or restrict this access.	Agreed
216. Are user interactions logged by user name in a revision proofed manner?	Yes, audit checks can be made on the individual user or workstation and are protected in the log by encryption.	Agreed
217. Are all changes and notifications stored within the audit trail whilst the workflow is progressing?	Yes this is controlled by an event history and the audit history on the document.	Agreed
218. Is the workflow component fully integrated with the repository architecture for secure archiving?	Yes, Invu Series 6 utilises an advanced security structure governed by the core document management system. This method provides even greater security of information.	Agreed
219. Is the audit trail archived with the documents at the end of a process?	Documents in Invu Series 6 are kept live hence the audit history also remains live.	Whatever is done with document is separate from audit trail files, but the audit trail will log everything done to documents, up to the point of archiving.

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220. Does your solution provide an application programming interface (API)?	Yes.	Agreed API additional cost
221. Is the API supplied with any demonstration code?	Yes, full user documentation is supplied.	Agreed
222. What other functionality does your workflow offer?	<p>The Invu Series 6 workflow module provides for interaction between different databases at a data level. It allows for the construction of complex system workflow processes as well as document related processing. The workflow module will offer amongst other things:</p> <ul style="list-style-type: none"> - Regular expressions - Offline configuration - Parallel and serial routing - Graphical interfaces with drag and dropability. <p>Full documentation can be provided.</p>	Agreed

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5.7 System Administration

<p>223. Does your system offer a comprehensive range of facilities to allow simple and efficient ongoing operation and support, covering</p> <p>223.1. Access Control (defining system and document security and access rights)</p> <p>223.2. User Management (defining user profiles and their roles and rights within the system)</p> <p>223.3. Storage Management (controlling the physical storage locations of documents including system backup and recovery).</p>	<p>Access control, user management and Storage management are all comprehensively covered within the Invu Series 6 Administration interface. In addition business modelling can be achieved through the use of 'Entity' structures ensuring easier administration, control and security of the document management system.</p>	<p>Agreed</p>
<p>224. Does your system provide interactive facilities for making minor modifications to the user interface at a user preference level. (e.g. Menu and toolbar configuration)</p>	<p>Yes, modifications can be made to tailor user privileges including, amongst other things, menu and toolbar options.</p>	<p>Agreed</p>
<p>225. Does your system provide administrator facilities for creating new storage areas for new sets of documents and for defining document profiles.</p>	<p>Yes this is driven through the Invu Series 6 'Entity' model. Storage areas cannot be set up dynamically. They can only be set up at time of instal on that server then linked using WebConfig files & Web Services.</p>	<p>Agreed</p>

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<p>226. Is there a facility for the creation of new indexes by the system administrator after the solution is in production?</p> <p>226.1.What are the implications?</p>	<p>Yes, new indexes can be set at any time on any document.</p> <p>None as referential integrity prevents this.</p>	<p>Seen & agreed.</p> <p>No, once used, indexes cannot be deleted, only updated.</p>
<p>227. Is there a facility for the modification of existing indexes by the system administrator after the system is in production?</p> <p>227.1.What are the implications?</p>	<p>Yes, indexes can be modified.</p> <p>None as referential integrity prevents this.</p>	<p>Seen & agreed.</p> <p>Note, as above, once used indexes cannot be deleted, only updated.</p>
<p>228. Does your product support document deletion by System Administrator?</p>	<p>No. A member of the system administrator group can delete a document only if that person has been given the security to do so. The system administrator cannot give themselves such rights.</p>	<p>Agreed</p>
<p>229. When deleted is the information recorded and can the document be recalled?</p>	<p>Yes the document can be recalled by a member of the system administrator group, unless by statute e.g. Data Protection Act it has physically been deleted.</p>	<p>Agreed</p>
<p>230. Can the use of licences be monitored via the administration console?</p>	<p>Yes, through the administration screen you can control the disposal of user licences.</p>	<p>Seen & agreed.</p>

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BACK-UP		
231. What facilities does your product provide for backup devices?	The product runs in a SQLServer environment therefore the database should be backed up by a SQL DBA. The file repository should be backed up through the customers back up policy / D.R. procedure.	Seen & agreed.
232. What do you recommend as the preferred storage medium for long-term storage of data and method of data transfer to new media	This would be based on customer requirements. Invu Series 6 fully supports external storage devices i.e. backup tapes, magneto optical storage etc.	Agreed
233. What is your recommended solution for backup and recovery of your system?	Invu Series 6 uses Veritas as its in house back up solution. Other commercially acceptable product such as ArcServe would be suitable.	Agreed
234. Please state the recommended back-up media?	This is really down to the customers backup and DR procedure	Agreed
235. What is your recommended solution or approach for disaster avoidance and recovery of your system?	Please see 233. in conjunction with a full DR policy.	Agreed

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236. Are the repositories complete with respect to storing both images and meta-data for the back-up and recovery from storage media?	Yes as long as 233 or the like is implemented.	Agreed
237. Can the solution be configured to mirror the data?	Yes, this can be achieved through 3 rd party software.	Agreed

REPORTS

238. Facilities for defining and generating reports from the system's database.	This is not available. Provisions will be made to implement a detailed reporting tool at a later stage. However complex queries within the Invu Series 6 search facility already provide detailed management information.	No inbuilt reporting package, but searches can be done through the standard query windows which are information & exported to an MS Office (or similar) package. Queries could be written through the API. Reports could not be run through the SQL database as the user would not know the fields to query.
239. Are the reports able to demonstrate compliance with BSI PD0008, regarding audit compliance?	Please see 238	
240. What standard management reports are supplied with the system.	Please see 238	
241. What software is provided to produce new reports.	Please see 238	

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242. Does the system provide wizards or a report library that can be copied or modified.	Please see 238	
243. Can reports be previewed on screens prior to printing.	Please see 238	
244. Can reports be written to a file for later printing, or for archiving.	Please see 238	
245. Does re-running a report overwrite the previous one, or can they be saved with separate identities.	Please see 238	
246. Can simple reports be generated from the system containing a summary of all the data stored?	Yes, please see 238	
247. Can the report format be exported in a standard format for re-importation into other third party reporting tools?	Yes	Not without either some programming in macros or in designing xml import scripts.

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Supplier Response

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5.8 Equipment & Installation

INSTALLATION		
248. Provide details on your typical project management methodology for implementing a system	Standard Prince2 methodology for documentation and project implementation.	Agreed
249. As the solution supplier what services would you provide for the following; 249.1. Business Analysis 249.2. Installation 249.3. Configuration & Customisation?	In the majority of cases Invu sells through a reseller. It is the reseller that provides the project management, business analysis and installation of the system. Where this cannot be provided by the reseller it will be provided by Invu.	Agreed

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250. Confirm that your vendor obligations would cover the following	Yes	Agreed
250.1. Development of project controls	Yes	Agreed
250.2. Development of all necessary system configuration, acceptance test and other specifications	Yes	Agreed
250.3. The configuration of the system in accordance with agreed specifications.	Yes	Agreed
250.4. Installation of all supplied hardware and software	Yes	Agreed
250.5. Loading of any identified legacy document and index data	Yes	Agreed
250.6. Execution of agreed acceptance tests	Yes	Agreed
250.7. All necessary on-site and off-site support throughout the implementation including during the deployment of the system across the user population.		

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
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251. Please provide outline timescales for the installation and configuration of your base product, additional modules and client software.	This is completely dependant upon the number of seats purchased/additional modules and products brought. Recommended product installation timescales can be obtained on request. However as an example a standard 5 user system installation configuration and full customer training would be 2 days.	Reply reasonable.
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EQUIPMENT

252. What network infrastructures does your product support?	TCP/IP network	Seen & agreed.
253. Does your system solution require a minimum sized VDU / other user interface to operate successfully.	Yes, 1024 x 768 minimum	Seen & agreed.

TRAINING

254. What would you recommend as typical training requirements for a Search and Retrieval user?	0.5 Hour of onsite instruction	Seen & agreed.
255. Will training include the use and maintenance of the scanners?	Not the maintenance but users will be shown how to configure Invu Series 6 with the scanner.	Seen & agreed.

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question

Supplier Response

Evaluation

256. What would you recommend as the typical training requirements for a scanning and indexing user?	0.5 Hour of onsite instruction	Seen & agreed.
257. What would you recommend as the typical training requirements for an Administrator?	Invu will provide administrator training along with manuals to accommodate the user this normally takes 1 day.	Agreed
258. Will training include the maintenance of the server database and the archiving of images?	Recommendations will be given on the procedure for backup on the secure storage repository and the SQL database. This should always be performed by an appropriate network administrator or database administrator.	Agreed
259. What level of skill and effort is typically required to manage the document management system once installed?	The user will have completed Administrative and end-user training and therefore will have the knowledge to maintain the system. Manuals and technical support will be provided to aid the user.	Agreed

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question

Supplier Response

Evaluation

SUPPORT		
260. What after sales support is provided, for example Helpdesk?	Invu works through a reseller channel where Invu Certified Engineers have to be employed to support the customers hence the reseller will provide first line support with Invu providing second line support. Invu's IT helpdesk provides full call logging and remote support facilities.	Reply reasonable
261. Please provide details of the level of support provided by the Maintenance Agreement	Support is given through the above structure via phones, email and over remote software sessions. Access is given to upgrades and service packs for all users with InvuCare (software assurance) through internet downloads and media	Seen & agreed.
262. What hours are your helpdesk available?	9am to 5.30pm, Monday to Friday.	Agreed
263. Please provide details of your first line support, response times and level of problem resolution.	Our partners undertake first line support on a individual basis.	Agreed
264. Please provide details of your second line support, response times and level of problem resolution.	Second line support is Monday to Friday, 9am to 5.30pm. 80 % of all calls are resolved within one hour	Agreed

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question

Supplier Response

Evaluation

265. Please provide details of your third level support, response times and level of problem resolution.	N/A	None
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Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
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5.9 Integration

266. Does your product provide an API and is this separate product?	Yes, the API is available as a separate product.	Seen & agreed Separate licence cost for API.
267. Does your product provide facilities to import and export documents as images with index information?	Yes, documents that imported/exported will have an XML file associated with it. The XML file will contain indexing information and can be imported in to other systems if necessary.	Seen & agreed.
268. Does your product offer suitable programming interfaces that would allow key userality to be 'called' from other applications? (For example: To be able to link document records with records in the business application by sharing of common keys. Provide a means of triggering actions in other systems as a result of document events such as the arrival of a customer communication.)	Yes please see 266	Seen & agreed.
269. Does your API support the use of XML to enable calls into/from the repository?	Yes, this feature is supported.	Seen & agreed.
270. Identify what desktop environments you are able to interface with.	All Windows based applications and terminal emulator based applications. This is using the CodeFree product.	Seen & agreed.

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question

Supplier Response

Evaluation

271. Explain how your solution integrates with the standard Windows desktop.	Through a Rich client.	Seen & agreed.
272. Explain in detail what integration if any you provide to Lotus Notes.	The product integrates with Lotus Notes through email via IMAP4 allowing access to email.	Agreed

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
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5.10 General Product

273. Does your system hold a Certificate of Compliance for BSI-DISC PD0008:1999 (BSI-DISC Code of Practice for Legal Admissibility and Evidential Weight of Information Stored Electronically).	At the moment the certificate has not been obtained although the system is designed to allow compliance.	None obtained
274. What experience do you have in assisting in the development and implementation of policies and procedures governing the retention of records?	Multiple project implementations ranging from 5 user systems to 3500 user systems.	Agreed
275. What experience do you have in assisting in the implementation of new operational procedures to accompany introduction of a Document Management System into a business area?	Invu have project managers which will assist in designing, implementing and training a scalable solution with the customer and have been used to implement the systems in 274.	Agreed
276. As a supplier do you have a proven record in the supply of document scanning solutions? 276.1. Please supply a list of UK users.	Yes – Invu is the fastest growing document management company in Europe. With over 2,500 U.K. customers. A list can be provided if required.	Noted

Functional Evaluation Questionnaire

Invu Series 6 S600 Document Management with optional Workflow

Question	Supplier Response	Evaluation
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277. Is your system under continued development with facilities for updating systems in use?	Yes, development team is based in the UK and are constantly working/updating the software.	Agreed
278. Does your system ensure that all document images are stored without loss of information?	Yes	Agreed
279. Does your product support both WEB Browser and Windows platforms?	Invu Series 6 uses a Rich client which is a mixture of both thin and thick client. Runs through IIS however client must be installed or downloaded on to each workstation.	Web browser version I600 available, but Rich Client makes this near redundant.
280. Does your product provide consistent performance as the document store grows?	Yes, through multiple store locations.	Agreed Or through more (and bigger) storage servers.
Is your product scalable - providing an upgrade path capable of supporting future increases in users and volumes?	Yes, through multiple document stores, and multiple server configuration.	Agreed
281. Would these increases (above) require any additional products or upgrades?	No.	Agreed
282. How would you recommend sizing future hardware requirements for your product?	This would be based on number of users and document storage requirements.	System requirements, including sizing, detailed in Appendix C

Appendix A

Integral scanning module handles small and large documents dependent (British English) on the scanner capabilities - A5, A4, A3, A1, A0 and B size are all supported. The formats that can be used are as follows:

Raster Color and Grayscale

- AFP - AFP Format
- ANI - Windows Animated Cursor
- BMP - Windows and OS/2 Bitmap Formats
- CIN - Cineon Format
- CLP - Microsoft Windows Clipboard Format
- CMP - LEAD Compressed
- CMW - LEAD Wavelet Compressed
- CRW - Canon RAW Format
- CUR - Windows Cursors
- CUT - Dr. Halo Format
- DCR - Kodak Professional Digital Camera Format
- DCS - Kodak Professional Digital Camera System Format
- DCX - DCX Format
- ECW - Enhanced Compressed Wavelet Format
- EMF - Windows Metafile Formats
- EPS - Encapsulated PostScript Format
- EXIF - Exif Formats
- FIT - FITS Format
- FLC - Flic Animation Format
- GIF - Compuserve GIF Format
- ICO - Windows Icons
- IFF - Interchange File Formats
- JBG - JBIG Format
- JPG - JPEG Compressed
- JP2 - JPEG 2000 Compressed
- KDC - Kodak Digital Camera Format
- LEAD MRC - LEAD Mixed Raster Content
- LEAD PDF MRC - LEAD PDF with Mixed Raster Content
- MRC - Mixed Raster Content
- PBM - Portable Bitmap Utilities Format
- PCD - Kodak Format
- PCX - PCX Format
- PDF - Portable Document Format
- PDF – Portable Document Format (readable)
- PNG - Portable Network Graphics Format
- PSD - PhotoShop 3.0 Format
- PSP - Paint Shop Pro Format
- PTK - PTOCA Format
- RAS - SUN Raster Format
- SCT - Scitex Continuous Tone Format
- SFF - Structured Fax File Format
- SGI - Silicon Graphics Image Format
- TGA - Truevision TARGA Format
- TIFF - Tagged Image File Format
- TIFX - Xerox Internet Fax File Format

- WBMP - Wireless Bitmap Form
- WMF - Windows Metafile Formats
- WPG - WordPerfect Format
- XPM - XPicMap
- XWD - X WindowDump

Raster Bitonal (1-Bit)

- ABC - ABC Format
- ABIC - ABIC Format
- AWD - Microsoft FAX Format
- CAL - CALS Raster Format
- CMP - LEAD 1-Bit Format
- FAX - Raw Fax Format
- FAX - LaserView LaserData Format
- ICA - Image Object Content Architecture (IOCA/MODCA)
- IMG - GEM Image Format
- ITG - Intergraph Format
- JB2 - JBIG2 Format
- MAC - MacPaint Format
- MSP - Microsoft Paint
- SMP - Xionics Format
- TXT - ASCII Text Format
- TIFF - Tagged Image File Format / CCITT
- WFX - WinFax Format
- XBM - XBitMap Format

The viewer also supports the viewing of Microsoft Office documents where Office is installed on the PC.

The viewer also supports the viewing of Adobe Reader documents where the application is installed on the PC.

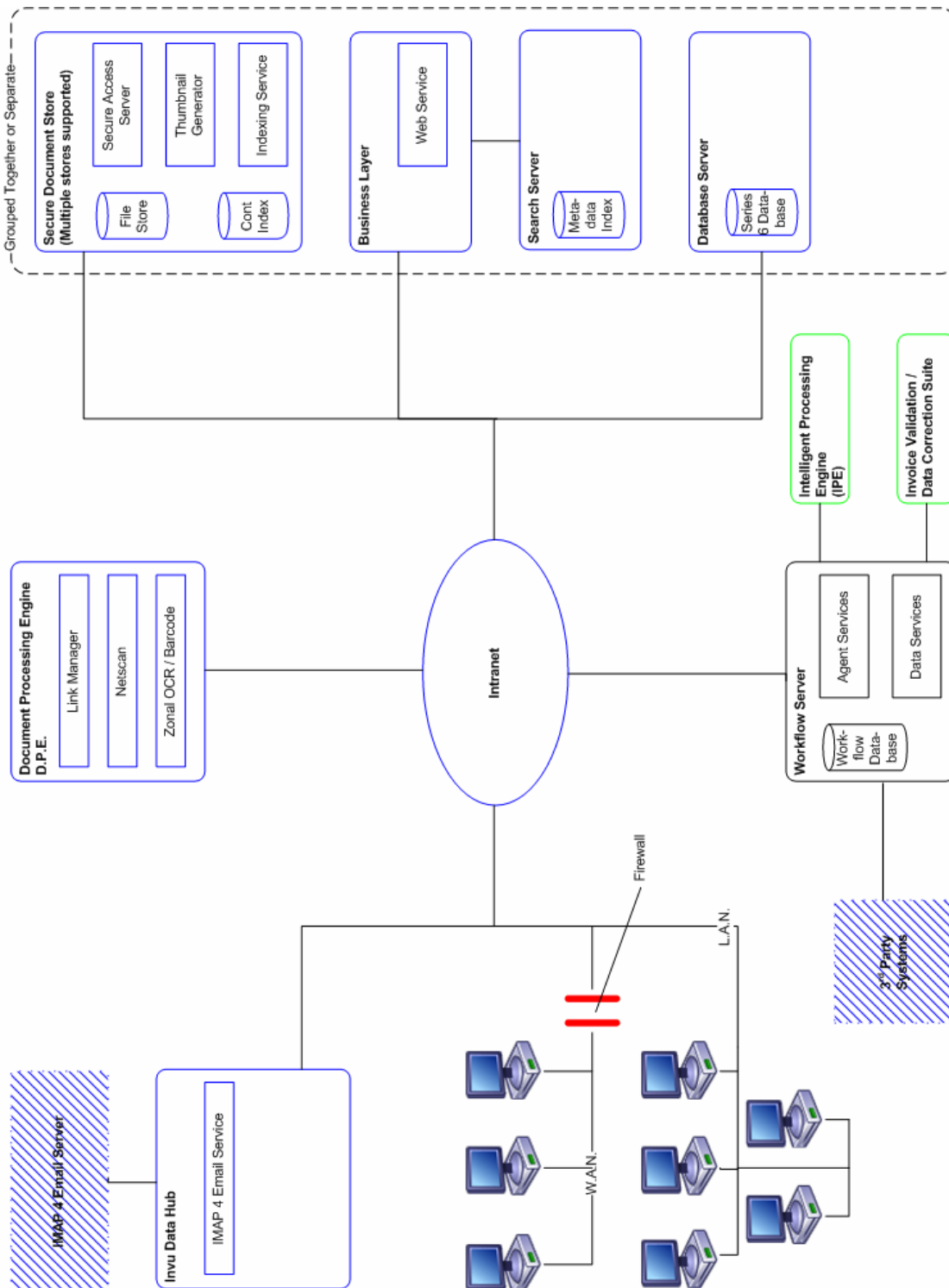
- TWAIN (compliant to 1.9 standard) facilitates client based scanning
- Network based scanning through Invu Document Processing Engine (DPE)
- Batch scanning supported
- Duplex scanning supported*
- Multiple page documents supported
- Document rotation
- Document invert
- Document deskew
- Document despeckle
- Document autotrim
- Remove borders
- Remove hole punches
- Erase area
- Area grab
- Re-arrange pages
- Add pages
- Annotations (tiff file format only)
- Note tool (tiff file format only)
- Redaction tool (tiff file format only)
- Highlight tool (tiff file format only)

- Text tool (tiff file format only)
- Stamp tool
- Pointer tool
- Shape drawing tools
- Conversion of multiple single page images to one image with multiple pages
- Conversion of single image multiple pages to multiple single page images
- Print
- Copy to clipboard
- View or hide annotations

* Dependent on scanner capabilities

Appendix B

System structure



Appendix C

System requirements

Series 6 client machine - minimum specification

Operating System	Microsoft Windows 2000 (latest SP), Microsoft Windows XP SP2
Processor	P3 or equivalent
RAM	512Mb
Hard Drive****	100 Mb (installed)
Minimum Monitor Resolution	1024 x 768

Series 6 client machine - minimum specification for running a full stand alone single user system

Operating System	Microsoft Windows XP SP2
Processor	P4 or equivalent
RAM*****	1Gb
Hard Drive****	200 Mb (installed) + 6k per document + file size of the document* + 10%
Minimum Monitor Resolution	1024 x 768

Series 6 Server - minimum specification running the database, services and the file store**

Operating System	Microsoft Server 2000, Microsoft Server 2003, Microsoft Small Business Server***
Processor	P4 or equivalent
RAM*****	2Gb
Hard Drive****	200 Mb (installed) + 6k per document + file size of the document* + 10%
Minimum Monitor Resolution	N/A

Series 6 Server - minimum specification running the Invu Series 6 database only

Operating System	Microsoft Server 2000, Microsoft Server 2003, Microsoft Small Business Server***
Processor	P4 or equivalent
RAM*****	1Gb
Hard Drive****	200 Mb (installed) + 6k per document.
Minimum Monitor Resolution	N/A

Series 6 Server - minimum specification running web services

Operating System	Microsoft Server 2000, Microsoft Server 2003, Microsoft Small Business Server***
Processor	P4 or equivalent
RAM*****	1Gb
Hard Drive****	200 Mb (installed)
Minimum Monitor Resolution	N/A

Series 6 Server - minimum specification running secure store

Operating System	Microsoft Server 2000, Microsoft Server 2003, Microsoft Small Business Server***
Processor	P4 or equivalent
RAM*****	1Gb
Hard Drive****	60 Mb (installed) + data files + 10%
Minimum Monitor Resolution	N/A

Series 6 Server - minimum specification running workflow (S650) the database Invu Series 6 web services and the file store

Operating System	Microsoft Server 2003
Processor	P4 or equivalent
RAM	3Gb
Hard Drive	400 Mb (installed) + 6k per document + file size of the document* + 10%
Minimum Monitor Resolution	N/A

Series 6 S650 server (workflow) - minimum specification

Operating System	Microsoft Server 2003
Processor	P4 or equivalent
RAM	1Gb
Hard Drive	200 Mb (installed)
Minimum Monitor Resolution	N/A

* This is an estimated amount and should be used as a guideline. Calculations should be completed for each individual installation to meet the user needs for storage. Audit information will contribute significantly to the database size.

** This is an estimated specification for a 20 user system. The more data and users that are added need to be taken into consideration when specifying the system.

*** The use of the system on a domain controller is highly discouraged however if it is deployed in this scenario the web services and the database must reside on the domain controller.

**** The hard drive values shown are the estimated footprint of the system. Not including Microsoft .Net framework 2.0, WSE 3.0 and Microsoft SQL Server. Please make sure your hard drive has sufficient space to run all applications efficiently as per Microsoft guidelines.

***** Invu Series 6 services will use approximately 150 Mb of RAM.