

ICAEW - Accredited IT Product Scheme

Software Evaluation

Document Management System

Version: 5.4

By Invu Services Limited

INVU:

Evaluation carried out by: Baker Tilly

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1. Introduction

1.1 Terminology Used in the Report

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
COM	Component Object Model a method driven application programming interface
Full Text Search	The ability of the software to search for a particular word or phrase anywhere in a document
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
MAPI Compliant	Message Application Programming Interface. This means that any application which communicates using MAPI can interface with Invu
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
SME	Small to Medium-size enterprise
SQLBase	SQLBase is the embedded database that is shipped with Invu. It is manufactured by Gupta
SQLServer	A database manufactured by Microsoft
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, everything from a simple package to keep track of the files stored in a paper archive for around a hundred pounds, through to a large scale scanning and workflow system costing upwards of half a million pounds.

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.

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 fact, anything that the computer handles, Invu claims to manage. Invu provides full revision control and management of all documents in a Windows based environment. Invu allows for access through the Internet, so that even when users are out of the office they can still get to their documents or indeed access their in trays. Due to its Codefree Integration software, Invu can integrate with any Windows-based application or indeed a terminally emulated application without the need for any bespoke programming.

Invu's Version 5.4 product variations are S100, S200, S250, i200, i250. Essentially, they all fulfil the same document management functions but with minor variations as follows: -

S100 – a stand-alone document and information management product

S200 – as per S100 but in a client server networked environment

S250 – as per S200 but with **workflow** capabilities

i200 – as per S200 but in a web based environment and must be used in conjunction with S200

i250 – as per S250 but in a web based environment and must be used in conjunction with S250

The **i** products are only supplied where the customer already has the related **S** product, since these **i** products run over the Internet and feed into the related **S** product.

The following modules are part of the Invu v5.4 product, though these modules are not covered in this evaluation. Potential purchasers should take care to acquire the modules required for the purposes they require.

Invu Microsoft Office Addin

This works with Microsoft Office 2000 and above. It allows the users to send items (documents, emails spreadsheets etc) either to a person's in tray or indeed will allow them to index the item into Invu.

Netscan

This service can be set up to allow files to be moved from a Windows directory into Invu. In being moved these can be placed in a person's in tray, be indexed into Invu, or indeed be indexed into Invu and placed in a workflow.

Invu Research Service

This allows access to search and retrieve information from Invu through the Microsoft research pane. It also allows users to refer to documents in Invu through a link. This link can be mailed to other Invu users whereupon they can view the document. This is only available for customers using Microsoft Office 2003 and above. This has to be installed on an IIS server and uses the same configuration as the iSeries products.

Link Manager

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

Advanced Codefree Integration

A product that allows users to integrate other Windows and Terminally Emulated programs with Invu.

COM Object

This is a programming interface to Invu, which allows a developer to access the majority of Invu methods.

2. Approach to Evaluation

2.1 Objective

To evaluate the main modules of the Invu Document and Information Management software version 5.4 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 document management system was installed in order to provide a fully functional solution.

In order to effectively evaluate the features in Invu, 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.

2.3 Software and Hardware Utilised

The software used was an Invu v5.4 solution. The main areas of the product that have been evaluated were:

- Invu S250
- Advanced CodeFree Integration
- Invu iSeries

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

2.4 Suitability for User

Invu's 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. Web access is available through to the information allowing for complete flexibility of working.

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 1,700 customers representing 30,000 end users across the UK and The Netherlands. These customers include Universal Music Group, Millfield Independent Financial Advisors, Persimmon Homes, Logica CMG, Bourneville Village Trust, Centrica, Wincanton, Sweet & Maxwell and Collins Stewart.

More appropriately, their end user list already contains some 80 ICAEW member practices including BDO Stoy Haywood, Stanes Rand, Moore Stephens, RSM Robson Rhodes, Haslers and Macnair Mason. This list is steadily growing as some 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 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 1GHz 256Mb RAM with 100Mb available on the hard drive for installation.
- Invu will run on the following operating systems:
- Windows 95 OSR2, Windows 98 SE, Windows NT4 SP6, Windows 2000 and Windows XP Professional.

Minimum Server Requirement:

- Dual Pentium III 1Ghz processor 1Gb RAM (Hard drive space must be calculated for file store size plus 20% for text index).
- Operating systems:
- Windows NT 4 SP6a, Windows 2000 Server / Advanced Server, Windows 2003.

NB: As a general rule 100 users on S250 can be accommodated on Gupta SQLBase (embedded free of charge within the product) before considering scaling the solution to Microsoft SQL Server or Oracle.

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 has 40 employees and operates in the UK, Ireland and the Netherlands. The company raised nearly £4 million following its flotation on the AIM stock market in January 2004. Invu's products have been sold to over 1,700 customers, representing approximately 30,000 licensed users. Invu has a proven reseller business model and has established a network of more than 130 Value Added Resellers, 14 of which are in Benelux.

The company is growing rapidly with year on year turnover increasing organically at approx 60% p.a. 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 38 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 10 people including technical engineers, support desk personnel, and project managers.

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 80% of calls placed with Invu are apparently 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 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.
- images can only be captured automatically if Draycir is used.
- there is no facility for extraction of index fields and no COLD module.
- repositories cannot be searched simultaneously.
- limited Groupware solutions are supported.
- PST import is not available.
- Concurrent user licences are not supported.
- there is no customized archiving policy, no searching on off-line documents and no identification and automatic removal of obsolete data.
- there is no relocation and indexing of off-line storage.
- report writing is through external software, i.e. no included in the system.

4. Evaluation Conclusion

There were no areas in the evaluation that gave concern. Invu 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 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.

5. Functional Evaluation Questionnaire

5.1 Document Input

Question	Supplier Response	Evaluation
SCANNING		
1. Do you provide your own scanning solution? If yes – 1.1. Does it support batch scanning. 1.2. Does it support low volume desktop scanning? 1.3. Does it support quality checking of scanned images and re-scanning of bad images.	Yes Yes Yes	Yes – batch scanning supported. Yes – low volume scanning supported. Yes – quality & re-scanning supported.
2. Identify what scanner hardware you are able to integrate with and which are recommended	Invu will support all Twain/ISIS compliant hardware solutions. Multi Functional Devices (MFD), copiers are also supported.	Compliance agreed.
3. Please indicate which document formats are supported i.e. TIFF, PDF, JPEG.	.eps, .jif, .jpeg, .fpx, .pct, .awd, .psd, .png, .ras, .tif, .tiff, tga, .wnf .wpg, .pcx, pdf, jpg, bmp.	Standard + many other file types supported.
4. Does your product support document sizes up to A0 scans?	Yes	Noted
5. Does your product support colour scans?	Yes	Noted
6. Does your system support photocopier based networked scanning devices, such as MFD?	Yes	Noted
7. Does your system support downloaded images from the network?	Yes	Noted
8. Does your system have the ability to monitor network folders for file import automatically?	Yes	Noted
9. What controls are available to schedule file monitoring? Please detail.	Invu Netscan will run as a service to monitor any number of network locations	Agreed
10. Does your system support File Transfer Protocol (FTP)?	Yes – using above Invu Netscan technology	Agreed

Question	Supplier Response	Evaluation
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.	We provide the option for users to use the Invu scan interface or check a box to use a Scanner interface As long as the format is appropriate, i.e. one of the file formats mentioned above.	Noted
12. Does your product support both simplex and duplex scanning?	Yes	Noted
13. Does your product provide automated removal of blank images for mixed batch duplex scanning?	Yes	Noted
14. Does your product support image enhancement tools?	Yes	Noted
DOCUMENT IMAGE PROCESSING		
15. Does your product support OCR (Optical Character Recognition)?	Yes	Noted
16. Does your product provide for automatic and manual zoning of OCR text?	Invu provides automated zonal OCR recognition.	Noted
17. Does your product support OCR full text?	Yes	Noted
18. What OCR engine(s) are used if not your own?	Textbridge	Noted
19. Please indicate performance figures for full text indexing in terms of A4 pages per hour or equivalent?	3-5sec per A4 page giving 98% recognition.	Agreed
20. Does your product support Optical Mark Recognition?	No – in these cases the product would be deployed with Kofax Ascent Capture for which Invu has a dedicated off the shelf integration	Kofax Ascent Capture would require additional spend on licenses. Not reviewed.
21. Does the OMR (Optical Mark Recognition) support any form of handwriting recognition?	No – in these cases the product would be deployed with Kofax Ascent Capture for which Invu has a dedicated off the shelf integration	Kofax Ascent Capture would require additional spend on licenses. Not reviewed.
22. If there is handwriting recognition support what are its practical limitations?	No	No handwriting recognition
23. Does your product support barcode reading and indexing?	Yes	Noted
24. What Barcode engine(s) are used if not your own?	Lead Technologies	Noted. (Licensed with product).

Question	Supplier Response	Evaluation
25. Please indicate which Barcode formats are supported?	CodeABar, Code128, BAR128, Code3 of 9, EAN8, EAN128, EAN13, Interleaved 2of5, UPCA, UPCE	Not verified
26. Does your product support the definition of scanned fields such as: Alphanumeric, numeric only or alpha only Date format Bar code?	No – in these cases the product would be deployed with Kofax Ascent Capture for which Invu has a dedicated off the shelf integration	Kofax Ascent Capture would require additional spend on licenses. Not reviewed. Documents could be ordered by date or barcode.
27. Do you support basic image preparation including rotation, speckle removal and de-skewing.	Yes	Noted
28. Do you support bar code and/or text recognition to support automated document identification / filing of incoming documents.	Yes	Noted
29. Does your system enable automatic classification of document types based on their layout and appearance.	Invu is in development of this technology at this time.	Not reviewed
30. Can your system be used to semi-automate the extraction of data from forms.	No – in these cases the product would be deployed with Kofax Ascent Capture for which Invu has a dedicated off the shelf integration	Kofax Ascent Capture would require additional spend on licenses. Not reviewed.
31. Does your product provide a forms production tool or wizard?	No – in these cases the product would be deployed with Kofax Ascent Capture for which Invu has a dedicated off the shelf integration	Kofax Ascent Capture would require additional spend on licenses. Not reviewed.
32. If there is a forms wizard please outline the functionality?	No – in these cases the product would be deployed with Kofax Ascent Capture for which Invu has a dedicated off the shelf integration	Kofax Ascent Capture would require additional spend on licenses. Not reviewed.
33. Does your system enable automatic capture of images of outbound documents, generated by business applications?	Yes – in conjunction with Draycir Spindle, Planetpress etc	These are additional license agreements – not reviewed
34. Does your system contain a Windows print driver for document capture of outbound business documents?	Yes – however this would normally be done through deploying a tif or pdf driver.	Outbound documents files created and can be used as document capture.
35. What formats are supported via the print driver? 35.1. TIFF 35.2. PDF 35.3. Other	tif or pdf	Noted

Question	Supplier Response	Evaluation
36. How may different format configurations can be stored for active usage using the print driver method?	Unlimited	Noted
37. What level of indexing can be derived from this capture method?	Full indexing	Noted
38. Can specific index fields be extracted and populated by this method? If so what configuration tools are available?	No	N/A
39. Does your system provide a COLD module?	No	N/A
40. What print-spool formats does this module support?	N/A	N/A
41. What image formats ie TIFF, PDF are supported via the COLD module?	N/A	N/A
42. What text formats are supported by this module?	N/A	N/A
43. What level of indexing can be derived from this capture method?	N/A	N/A
44. Can specific index fields be extracted and populated by this method? If so what configuration tools are available?	N/A	N/A

BATCH INPUT		
45. Are you able to support batch loading of legacy document sets if/when required?	Yes – through the Invu Link Manager product.	Yes – saw demonstration of batch loading with bar codes.
46. What methods of control are offered to reduce the possibility of documents missed through mis-feeds?	Display of page count indicating scanned pages combined with scanning history functionality. Also manual QA.	Agreed. No facility to add batch total (number of pages) and checking on this.
47. What method of batch delimitation is used to logically group relevant document together?	Batch separators and document separators	Agreed – saw demonstration of batch loading with bar codes.
48. How are the delimiters identified?	Using barcodes	Agreed – saw demonstration of batch loading with bar codes.
49. Are there options to include or exclude delimiters automatically from each document if desired for audit purposes, when placed in the repository?	Yes	Agreed – saw demonstration of batch loading with bar codes.

Question**Supplier Response****Evaluation**

FAX		
50. Do you provide your own fax solution? If yes please supply details.	Fax man software	Direct faxing works
51. Identify what fax systems, provided by 3rd party suppliers; you are able to integrate with.	We allow all fax systems that can output csv and the image to integrate with Invu using the Invu Link Manager product.	Noted
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.	Invu provides its own faxing system – both sending and receiving of faxes. However this is not a Network Fax solution. Utilising other software third party packages Invu can read indexing information in CSV form from the Fax package and index the fax accordingly.	Direct faxing works. Integration with external systems not tested

5.2 Document Indexing

Question	Supplier Response	Evaluation
53. Does your product provide facilities to hold scanned documents between scanning and indexing?	Yes – within a user's In tray	User in tray works as convenient interface for users
54. Does your product support multiple index stations into the same repository for scalability purposes?	Yes	Yes – seen
55. What types of database are supported for this temporary storage?	We support the following database system: - SQLBase, SQL Server, Oracle	Agreed. We tested using SQL.
56. Does your product provide the facility to add, delete and rearrange scanned images before indexing?	Yes – however this can be controlled by the system administrator as to whether it is deployed or not.	Agreed. Even within a “bundled” document, order of documents can be changed.
57. Does your product provide split screen capability for heads-up data entry from image?	Yes	Agreed. Multiple windows used.
58. Is there a zoom facility to identify hard to read information on the image?	Yes	Noted
59. Are these changes permanently stored with the index metadata?	No	System remembers last level of zoom setting from one document to next.
60. Does your product provide the facility to interrupt the indexing process leaving the remaining images safely stored until another time?	Yes	Noted
61. Does your product provide the facility to automatically index documents from an existing data source, such as a database?	Yes it can, using Invu Link Manager	Invu Link Manager not tested.
62. Is there any limit on the numbers of indexes that can be provided?	14	Noted
63. Is this process (above) able to automatically insert data into specified index field(s) on a document?	No the data cannot be indexed onto the document however can be indexed against the meta data corresponding to the document	Not tested
64. Does your product provide the facility to modify document indexes before the document is finally stored?	Yes	Noted
65. Does your product have a limit to the number and size of indexes?	Yes – It is limited to 14 indexes, comprising of a maximum of 230 characters each.	Noted
66. Does your product provide the facility for the value of one index to determine the value(s) of another index?	No	Noted

Question**Supplier Response****Evaluation**

67. Does your product provide manual and automatic facilities to bind together the pages of a document?	Yes it provides manual facilities only	Agreed. (Bar coded document separators allow for automated binding).
68. Does your product provide a method to select index from a selection of pre-defined categories?	Yes - user defined lists	Agreed, user can set up unlimited categories
69. Does your product provide context based selection of pre-defined indexes at multiple levels?	N/A	N/A
70. What methods are offered to support the simple management of predefined index fields such as drop downs?	Very straight forward process within the admin menu. This can be automated using Link Manager provided a csv file is outputted from a third party product.	Noted
71. What method of export is used to transfer index data and images to the repository?	This is an automated process using a secure data layer	This is the program code – part of software.
72. Can the export be configured to update other systems with indexed content?	No	N/A
73. What are the limitations of the export capability in respect of updating third party systems?	N/A	N/A

5.3 Document Repository

Question	Supplier Response	Evaluation
SEARCHING AND RETRIEVAL		
74. What interfaces are provided as standard to view data and images from the repository?	Standard Invu Client interface and/or Web interface	Reviewed using standard Invu interface. Worked fine.
75. Is there a browser interface provided as standard?	Yes (i200 & i250 only)	Reviewed using Invu web interface. Worked fine.
76. What browser types and versions are supported by this interface?	Internet explorer 5.0 or above (i200 & i250 only)	Noted
77. What additional customised interfaces are available for other applications?	None	Noted
78. Does your system provide facilities to customise the user interfaces?	Yes	Noted. Interfaces could be customised.
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	Yes No Yes Yes Yes Yes	Noted. Customisation was demonstrated in all areas where "Yes" had been answered.
80. What search facilities does your product provide?	Primary and Secondary indexing, Quick searching (searching across all indexes), Text searching (searching content of document obtained server side OCR process), Advanced Searching (Boolean)	Searching facilities good.
81. Does your search facility support Boolean operators And, Or, Not and wildcard searches?	Yes	Standard (and many level) boolean operators including And, Or, Not were available.
82. Does your product provide a facility to enter or select keywords from a list when making a search of a particular index?	Yes	Tested and 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	Tested and Agreed
84. Does your product provide free format and full text searches?	Yes	Tested and Agreed
85. What is the response rate using free format search?	Immediate	Response rates good on test database

Question	Supplier Response	Evaluation
86. What search tool is used?	Standard SQL & DT Search	Agreed
87. What search criteria can be used for a free format or full text search?	Alpha, Alpha numeric, Numeric	Agreed, all tested
88. Does your product provide facilities to customise search dialogs?	No	N/A
89. Does your product provide facilities to customise results dialog lists?	Yes	Columns & order could be customised
90. Does your product have any restriction on the content that is searched?	Yes – this is governed through security profiles.	Noted
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 Yes Yes Yes	Noted Noted Noted Others – redaction, over-stamp – drawing – polygon – freehand - ellipse
92. Does your product provide facilities for users to add notes pages (which are not added to the content of the document)?	Yes	Yes, notes tested (contents of sticky notes not searchable so other notes field can be used where important)
93. Where there are multiple repositories can these be searched for content simultaneously?	Not at present but this is in development for version 6.0 of Invu which is due for release in early 2006	Noted
94. With a simultaneous search is there any reduction in performance as a consequence?	N/A Testing has shown this will not be an issue in the next version.	Noted
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?	This is very much dependent on hardware however: 0.5 secs 1.0 secs 2.0 secs	Timings agreed
VIEWING		
96. Is the user able to quickly identify particular document types within a search.	Yes	Via the document type extensions or user defined fields.
97. Is the user able to view the document in its native form/application?	Yes	Tested and 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	Tested and agreed

Question	Supplier Response	Evaluation
99. Is the user able to display documents using standard viewing options including 99.1.Pan? 99.2.Rotate? 99.3.Zoom?	Yes	Tested and agreed all three.
100. Is the user able to quickly leaf through documents and their pages?	Yes – if a text search has been done the results are summarised by page and the text is highlighted in context on each page.	Tested and agreed
101. Is the user presented with any thumbnail images to aid navigation to the desired image?	Yes	Tested and agreed
102. What support is available for users of Terminal Emulation software?	Invu can be deployed through Microsoft Terminal Services or Citrix	Not tested
103. Does your product support remote users?	Yes, we have a web based version of Invu or it can be deployed over TS or Citrix (i200 & i250 only)	Web based version worked fine.
104. What methods are available to improve remote access for users with low bandwidth, such as 56k modems?	Invu iSeries – web based application (i200 & i250 only)	Access over 56k modem not tested
105. Can documents be uploaded from all interfaces in their native forms?	Yes	Tested and agreed
106. What tools are available to facilitate the movement of a complete record within the repository to provide a local copy?	Documents can be checked out to a transient location or indeed can e exported to the desktop.	Tested and agreed
107. Are all print functions available from the repository?	Yes	Tested and agreed
108. Are batch print functions possible?	Yes	Not recommended due to memory usage implications.

DOCUMENT SUPPORT

109. What image and document formats are supported by your product?	Image formats please see earlier answer to question 3 – All Windows document formats are supported	All document types tested worked fine.
110. What Windows file types does your product support?	All	All standard Windows documents tested and worked fine.
111. Are these formats stored in their native form?	Yes	Noted
112. Which of these (above) file types is your product able to display with built-in viewers	All image file formats	Noted

Question	Supplier Response	Evaluation
113. Does your product provide support for all or any Microsoft Office products?	Yes - Office suites 2000/XP/2003	Noted
114. Are all of these document types stored within the same central repository?	Yes	Tested and agreed
115. Is there any limitation in your system as to the format of documents that can be stored.	No	There is a mapping association table so the user can dictate what software application is to open what file type.
116. Please provide details of file types that can be stored.	All Windows supported Formats	Noted, Windows and many other file types.
117. Does your product provide the facility for users to import Windows documents and store them in native format?	Yes	Tested and agreed
118. Does your product provide facilities to save Windows print images with full text indexes?	Yes	Tested and agreed
119. Can document properties of MS Office files be utilised to provide automatic indexation?	Yes	Yes for email only. Others (Word, Excel, etc) reliant on future versions
120. What search facilities are available though MS Word or other Office applications?	Invu Research Service can be used through MS office 2003 to search the Invu database.	Tested and agreed
121. Are object links such as Macros left functioning from Office applications in the repository?	Object links are not supported however Macros are unaffected.	Not tested
EMAIL		
122. Does your product support content from MS Outlook and Exchange?	Yes	Tested and agreed
123. What versions are supported?	Office 2000 and above.	Tested and agreed
124. Does your product support content from Lotus Notes?	Yes – through MAPI	Not tested
125. What versions are supported?	Lotus 6 +	Not tested
126. What other Groupware solutions are supported?	None	Not tested
127. What method of bulk import is utilised?	Invu Link Manager & Invu Netscan	Noted
128. Does this method preserve any folder metadata or hierarchy?	Yes – with Invu Link Manager	Not tested
129. What methods of PST import are available?	None	Noted

Question	Supplier Response	Evaluation
130. Is PST output supported?	None	Noted
131. Is remote access supported and to what level?	Yes	Via the web interface
132. What methods of mailbox synchronisation or replication are supported?	MAPI	Noted
133. Does your product capture and store emails as images and/or native text?	Invu captures the email as an email and any attachments in their native format	Tested and agreed
134. Can searches be made on from, to and subject fields from the email?	Yes	Tested and agreed (cc not searchable)
135. Does your product support the storage of emails with attachments?	Yes	Tested and agreed
136. Does your product support the full text search and retrieval of email and attachments?	Yes	Tested and agreed
137. What indications are left within the mailbox (if any) that an item has been moved to the repository?	None	More specifically, there is option to leave copy of email untouched in mailbox
138. How are email attachments supported?	They are treated as a document, and are therefore fully searchable against the email and the text that they contain.	Tested and agreed
139. When an email is stored into your document repository is it also available via the standard email client, such as Outlook?	Yes – Invu gives you the option to delete the original or keep the original when sending to the repository.	Tested and agreed
140. Does your product support the creation of an email from your product client interface?	Yes	Tested and agreed
141. Can documents from the repository be selected and attached to the email?	Yes	Tested and agreed
142. Can links to the documents from the repository be selected and attached to the email?	Yes	Tested and agreed
143. What alternative methods are provided to obtain and forward content from the repository via email?	None	Noted
144. Is there a scheduled method to store emails based on rules such as the age or size of the email?	No	Noted
145. Can a document search be enabled from any email application?	Yes from Office 2003	Tested and agreed

Question**Supplier Response****Evaluation**

REPOSITORY ARCHITECTURE		
146. Does your product have a scalable and robust repository capable of storing at least 1 million pages of documents online.	Yes	Noted, solution is scalable
147. What database architecture does your product support?	SQLBase, SQL Server, Oracle	Noted – tested on SQL
148. Does your solution support distributed environment over a WAN?	Yes	Noted
149. Does your system allow the establishment of additional storage areas if required in the future.	Yes	Noted
150. What limitations are there (if any) on the number of repositories that can be supported.	None	Noted
151. What type of storage facility does your product use for the document repository?	Secure/General folder structure on central/designated file server accessed through a secure layer.	SQL tables reviewed, but more detailed testing would require programming knowledge.
152. If this is a database is it an open standard database that allows other products and tools to query the data?	It is possible using development tools & utilities such as Crystal reports	Noted
153. Does your product have a limit to the amount of images and indexes that it can support?	No	Noted, solution is scalable
154. In what way are the images and index information stored in your repository?	The storage of documents on the server is handled through the secure access layer and are stored with unrecognisable names for added security	SQL tables reviewed, but more detailed testing would require programming knowledge.
155. Does the solution support named user licences?	Yes	Noted
156. Does the solution support concurrent user licences?	No	Noted
157. What impact does the deployment of interfaces have on the use of concurrent licences (if any)?	N/A	Noted
158. What ratio of actual users to concurrent licences, are recommended or achievable?	N/A	N/A
159. Is there a server component to the licencing of your product?	Yes – included	Noted
160. If there is a server component does this component need to be re-purchased for a multiple server environment?	No	N/A

5.4 Archiving documents

Question	Supplier Response	Evaluation
161. Does your product provide the facility to create and customise archival policies?	No	Noted
162. What types of storage media does your product support for off-line and near-line storage retrieval?	Backup tapes, CD, Snap etc.	Noted, consistent with standard storage
163. Does your product provide the facility to search for documents that have been migrated to near-line storage, such as jukeboxes?	Yes – through standard archiving software e.g. OTD	Not tested
164. Does your product support data caching for retrieval purposes?	Yes	Not tested or reviewed in detail
165. Does your product provide the facility to search for documents that have been migrated to off-line storage?	No	Noted
166. What facilities does your product provide for the migration of documents to other devices, such as jukeboxes?	Export function which enables the export of documents & associated index information – or it can be deployed with third party software e.g. OTD	Noted, consistent with standard storage
167. Does your system provide for obsolete data automatically being removed from the system? And does the user or system administrator specify this?	No	Noted
168. Is your product capable of identifying documents to be destroyed or moved offline based on defined retention rules.	No	Noted
169. Relocating such documents and associated index data to 'offline' storage devices and allow the re-location of documents onto different storage media.	No	Noted
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	Consistent with WORM (write only, read many times)
171. Is your product accredited to any other standards? If so, please detail?	BASDA	Noted
172. Can the system be configured to provide Hierarchical Storage Management?	Yes	Requires other software

Question**Supplier Response****Evaluation**

173. What Disaster Recovery provision is recommended for the solution?	This would be defined on an individual basis with the client through standard routines for back up	DR would be reliant on SQL/Oracle backup procedures.
174. Does this DR strategy include failover support?	Yes	Noted

5.5 Document Security

Question	Supplier Response	Evaluation
175. What general security features does your product provide?	3 levels of Security 1. At document level (view, edit, delete, alter rights) 2. At interest level – Public/private 3. User privilege level.	Tested and agreed
176. Does your security include the definition of user groups?	Yes	Tested and agreed
177. Does your security include the definition of individual users?	Yes	Tested and agreed
178. Does your product provide user ID codes with individual passwords?	Yes	Tested and agreed
179. Can user and group permissions be linked to the equivalent Windows permissions?	Yes – through NT Authentication	Noted
180. Does your product provide a facility to track access to documents in the repository and maintain history logs?	Yes	Tested and agreed Full audit logging of access to document, changes to document and “before v after” copies (versions)
181. Does your system provide the means to set access rights at a document or folder level?	Yes	Tested and agreed
182. Does your product provide the facility to control access to individual documents?	Yes using Security profiles.	Tested and agreed
183. Are user interactions logged by user name in a revision-proofed manner?	Yes	Tested and agreed
184. Does your product provide support for version control of documents?	Yes	Tested and agreed
185. Is the version control visible to the user?	Yes	Tested and agreed
186. Is the most recent version always presented as the first search result?	Yes	Tested and agreed
187. Can the version number be incorporated within any search function?	Yes	Tested and agreed
188. Does your system provide a full audit trail of all system and document usage?	Yes	Tested and agreed
189. Can functionality be conferred or denied by user and group as required?	Yes	Tested and agreed

Question	Supplier Response	Evaluation
190. Can deletion rights be controlled by user and group?	Yes	Tested and agreed
191. Can read-only capability be provided through user and group access?	Yes	Tested and agreed
192. Can the stored documents be accessed individually via a Windows Explorer?	No	No – subject to correct access rights. Managed by system admin and standard NT.
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	Noted

5.6 Work Flow

Question	Supplier Response	Evaluation
194. Does your product provide the facility to route documents?	Yes (S250 & i250 only)	Tested and agreed
195. What additional interfaces are available through the workflow/routing solution?	Action, Authorisation and Indexing available through client interface or through the web (i250 only)	Tested and agreed
196. Does your product support workflow?	Yes (S250 & i250 only)	Tested and agreed
197. What database types are supported by your workflow solution?	SQL Base, SQL Server, Oracle (S250 & i250 only)	Tested on SQL
198. What Operating Systems are supported with your workflow solution?	Windows 98 and above. (S250 & i250 only)	Noted
199. What security technology does your product support to prevent unauthorised access?	In built authentication, & Windows NT Authentication when using SQL Server. (S250 & i250 only)	Noted
200. Does your product provide facilities to enable basic management of work queues, covering initial sorting and filing of documents.	Yes (S250 & i250 only)	Tested and agreed
201. Can workflows be incepted from the scanning interface?	Yes (S250 & i250 only)	Tested and agreed
202. Can the workflows be incepted from the print driver or COLD modules?	Yes (S250 & i250 only)	Not tested
203. Can workflows support both serial and parallel routing?	Yes (S250 & i250 only)	Tested and agreed
204. Does it provide a GUI based workflow builder?	No (S250 & i250 only)	N/A
205. Does the workflow support rules-based routing around the meta-data being used?	No (S250 & i250 only)	N/A
206. Can the workflow be configured via user exits to update third party systems?	No (S250 & i250 only)	N/A
207. Is the workflow compliant with standard email solutions to provide change notification?	Yes (S250 & i250 only)	Tested and agreed
208. Can documents in the workflow be locked out to prevent incidences of multiple versions?	Yes (S250 & i250 only)	Tested and agreed
209. Does the workflow support authorisation scenarios?	Yes (S250 & i250 only)	Tested and agreed Authorisation levels (for example based on value) not supported.

Question	Supplier Response	Evaluation
210. Does the workflow allow the support of user hierarchies and groups?	Yes (S250 & i250 only)	Tested and agreed
211. Are all actions and tasks recorded within an audit trail?	Yes (S250 & i250 only)	Tested and agreed
212. Can users be limited to read-only interaction?	Yes (S250 & i250 only)	Tested and agreed
213. Can user rights for read-write access be controlled centrally via an administration console?	Yes (S250 & i250 only)	Tested and agreed
214. Can intermediate users link to external databases for additional index data?	No (S250 & i250 only)	N/A
215. Is the audit trail or history visible to other users in the workflow?	Yes (S250 & i250 only)	Tested and agreed
216. Are user interactions logged by user name in a revision proofed manner?	Yes (S250 & i250 only)	Tested and agreed
217. Are all changes and notifications stored within the audit trail whilst the workflow is progressing?	Yes (S250 & i250 only)	Tested and agreed
218. Is the workflow component fully integrated with the repository architecture for secure archiving?	Yes (S250 & i250 only)	Tested and agreed
219. Is the audit trail archived with the documents at the end of a process?	Yes (S250 & i250 only)	Not tested
220. Does your solution provide an application programming interface (API)?	Yes (S250 & i250 only)	Noted
221. Is the API supplied with any demonstration code?	Only on request (S250 & i250 only)	Noted
222. What other functionality does your workflow offer?	PIN Security, Simultaneous authorisation, Web based Workflows. (i250 only)	Noted

5.7 System Administration

Question	Supplier Response	Evaluation
223. Does your system offer a comprehensive range of facilities to allow simple and efficient ongoing operation and support, covering 223.1. Access Control (defining system and document security and access rights) 223.2. User Management (defining user profiles and their roles and rights within the system) 223.3. Storage Management (controlling the physical storage locations of documents including system backup and recovery).	Yes – Security profiles, Public/Private Interests, Security at Document type level Privileges – Yes	Noted Noted Noted
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)	Yes	Tested and agreed
225. Is there a facility for the creation of new indexes by the system administrator after the solution is in production? 225.1. What are the implications?	Yes None	Tested and agreed Noted
226. Is there a facility for the modification of existing indexes by the system administrator after the system is in production? 226.1. What are the implications?	Yes None as such, we offer a bulk changer which can update indexes.	Tested and agreed Noted
227. Does your product support document deletion by System Administrator?	Yes	Noted
228. When deleted is the information recorded and can the document be recalled?	The information is recorded. The document can only be recalled from the previous backup	Noted
229. Can the use of licences be monitored via the administration console?	Yes	Tested and agreed
BACK-UP		
230. What facilities does your product provide for backup devices?	An Invu Service monitors is installed to tie in with Windows Scheduler.	Not tested
231. What do you recommend as the preferred storage medium for long-term storage of data and method of data transfer to new media	Magneto optical storage	Agreed – any standard storage medium acceptable

Question	Supplier Response	Evaluation
232. What is your recommended solution for backup and recovery of your system?	Invu will sit comfortably with all standard backup solutions	Noted
233. Please state the recommended back-up media?	Tape / NAS	Noted
234. What is your recommended solution or approach for disaster avoidance and recovery of your system?	This would be discussed on an individual basis with the customer to fit in with their DR policy. The standard would be nightly incremental backups with weekly full back up running on a 3 month rotation	Agreed – nightly backup – subject to client requirements. System backs up images first then underlying database.
235. Are the repositories complete with respect to storing both images and meta-data for the back-up and recovery from storage media?	Yes	Noted
236. Can the solution be configured to mirror the data?	Yes	Noted
REPORTS		
237. Facilities for defining and generating reports from the system's database.	Report writing packages can be used such as Crystal reports or Business Objects.	Reporting generally through external software (or MS Office solution)
238. Are the reports able to demonstrate compliance with BSI PD0008, regarding audit compliance?	Yes	Noted
239. What standard management reports are supplied with the system.	None, although SQL Script can be provided.	Reporting generally through external software (or MS Office solution)
240. What software is provided to produce new reports.	None	Noted
241. Does the system provide wizards or a report library that can be copied or modified.	No	Noted
242. Can reports be previewed on screens prior to printing.	N/A	N/A
243. Can reports be written to a file for later printing, or for archiving.	Yes from the designated reporting package	Noted
244. Does re-running a report overwrite the previous one, or can they be saved with separate identities.	N/A	N/A
245. Can simple reports be generated from the system containing a summary of all the data stored?	No	Noted
246. Can the report format be exported in a standard format for re-importation into other third party reporting tools?	N/A	N/A

5.8 Installation, training and support

Question	Supplier Response	Evaluation
INSTALLATION		
247. Provide details on your typical project management methodology for implementing a system	Standard Prince2 methodology for documentation and project implementation.	Not reviewed further
248. As the solution supplier what services would you provide for the following; 248.1. Business Analysis 248.2. Installation 248.3. 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.	The reseller channel is a key route. Resellers are regularly trained by Invu.
249. Confirm that your vendor obligations would cover the following 249.1. Development of project controls 249.2. Development of all necessary system configuration, acceptance test and other specifications 249.3. The configuration of the system in accordance with agreed specifications. 249.4. Installation of all supplied hardware and software 249.5. Loading of any identified legacy document and index data 249.6. Execution of agreed acceptance tests 249.7. All necessary on-site and off-site support throughout the implementation including during the deployment of the system across the user population.	Yes Yes Yes Yes Yes Yes Yes	All noted
250. Please provide outline timescales for the installation and configuration of your base product, additional modules and client software.	This is completely dependent 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 seems reasonable
EQUIPMENT		
251. What network infrastructures does your product support?	TCP/IP	Tested on TCP/IP network
252. Does your system solution require a minimum sized VDU / other user interface to operate successfully.	No	Noted

Question**Supplier Response****Evaluation**

TRAINING		
253. What would you recommend as typical training requirements for a Search and Retrieval user?	½ hour	Minimum ½ hour, but system is intuitive.
254. Will training include the use and maintenance of the scanners?	Yes	Noted
255. What would you recommend as the typical training requirements for a scanning and indexing user?	½ hour	½ hour per user is reasonable
256. What would you recommend as the typical training requirements for an administrator?	1 day	Again, reasonable minimum requirement
257. Will training include the maintenance of the server database and the archiving of images?	Yes	Noted
258. What level of skill and effort is typically required to manage the document management system once installed?	General IT/IS knowledge. Knowledge of internal IT structure. Adequate knowledge of backup procedures.	Noted

SUPPORT		
259. 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.	The reseller channel is the route for support. Resellers are regularly trained by Invu.
260. 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.	Support centre seen. Invu have dial-in screen control access at all supported customers.
261. What hours are your helpdesk available?	9.00am – 5.30pm however supplementary service level agreements are available.	Noted
262. Please provide details of your first line support, response times and level of problem resolution.	First line support is through an Invu reseller.	Noted
263. Please provide details of your second line support, response times and level of problem resolution.	80% of all calls are resolved within one hour.	Not reviewed further

264. Please provide details of your third level support, response times and level of problem resolution.	N/A	N/A
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5.9 Integration

Question	Supplier Response	Evaluation
265. Does your product provide an API and is this separate product?	Yes Yes	Noted
266. Does your product provide facilities to import and export documents as images with index information?	Yes	Noted
267. Does your product offer suitable programming interfaces that would allow key user functionality 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 – there is the API that can be deployed but also Invu has a product that will allow integration to third party products through a wizard driven interface. Invu CodeFree integration is easy to install and deploy with no programming overheads.	Additional module not tested.
268. Does your API support the use of XML to enable calls into/from the repository?	No – however version 6.0 will support XML natively.	Not reviewed further
269. 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.	Noted
270. Explain how your solution integrates with the standard Windows desktop.	Invu has a standard toolbar which is overlaid on the desktop	Noted
271. Explain in detail what integration if any you provide to Lotus Notes.	Invu only provides simple MAPI integration	Noted

5.10 General Product

Question	Supplier Response	Evaluation
272. 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).	No	Noted
273. 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.	Client base growing and supportive.
274. 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?	Please see above	Client base growing and supportive.
275. As a supplier do you have a proven record in the supply of document scanning solutions? 275.1. Please supply a list of UK users.	-Yes Invu are one of the fastest growing document management companies in Europe. Large seat users include Universal Music Group, Millfield Partnership, Persimmon Homes. The overall number exceeds 1700 companies including more than 80 accountancy practices.	Client base growing and supportive.
276. Is your system under continued development with facilities for updating systems in use?	Yes – at this point in time we are developing Version 6.0 a .NET based product.	Agreed, client very exited about opportunities for version 6
277. Does your system ensure that all document images are stored without loss of information?	Yes	Tested and agreed
278. Does your product support both WEB Browser and Windows platforms?	Yes	Tested in both environments and agreed
279. Does your product provide consistent performance as the document store grows?	Yes	Not tested
280. Is your product scalable - providing an upgrade path capable of supporting future increases in users and volumes?	Yes	Noted

Question**Supplier Response****Evaluation**

281. Would these increases (above) require any additional products or upgrades?	No	Scalability not seen as issue.
282. How would you recommend sizing future hardware requirements for your product?	This would be dependant on usage of the database and number of users connecting to it, combined with the number of documents being processed. However in all cases standard server hardware will accommodate the Invu product lines. Usually costing less that £1500.	Agreed, hardware overhead minimal for this solution.