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	HEADER		
	ICAEW Technical Accreditation Scheme "Intelligent Document Software For Wills" Software Evaluation		
	Date completed: 21st November 2023		
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7	Intelligent Document Software For Wills		

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1.	**INTRODUCTION AND PROLOGUE**		
Introduction			
1.01	The suitability of software for each particular user will always be dependent upon that user's individual requirements. These requirements should therefore always be fully considered before software is acquired. The quality of the software developers or suppliers should also be considered at the onset.		
1.02	Fundamentally, good software should: 1. Be capable of supporting the functions for which it was designed. 2. Provide facilities to ensure the completeness, accuracy, confidentiality and continued integrity of these functions. 3. Be effectively supported and maintained. It is also desirable that good software should: 5. Be easy to learn, understand and operate. 5. Make best practical use of available resources. 6. Accommodate limited changes to reflect specific user requirements. It is essential, when software is implemented, for appropriate support and training to be available.		
Approach to Evaluation			
1.03	The objective is to evaluate a product against a set of criteria developed by the ICAEW to ensure that the software meets the requirements of Good Accounting Software, as laid down in the summary.		
1.04	In order to effectively evaluate the software, a product specialist from the vendor completed the detailed questionnaire and provided it to the ICAEW to examine. The ICAEW's Scheme Technical Manager then reviewed the operation of the various aspects of the software assisted by a member of the vendor's technical staff and checked the answers to confirm their validity. The questions were individually reviewed and commented on and the majority of assessments were confirmed.		
1.05	The Technical Manager discussed the assessment with a member of the vendor's staff in order to clarify any points requiring further information. In the event of disagreement between the supplier and the Technical Manager, the Technical Manager's decision was taken as final and the response changed accordingly.		
1.06	The latest version of the software was used throughout the evaluation.		
1.07	When the evaluation had been completed, a draft copy was sent to the ICAEW Scheme Manager for review before completion of the final report.		
Prologue: Matters to consider before purchase			
1.08	General Overview:	WillSuite provides Solicitors, Will drafters, Financial advisers and Estate planners the ability to create legal documents simply, easily and with confidence. Our software is built with total adaptability and flexibility in mind, keeping us at the cutting edge of the industry.	

Ref		Vendor comments	
1.09	Supplier background:	WillSuite was founded in 2015, by the CEO, Seb Shakh. At the time Seb was providing IT services to various businesses and began working with a law firm providing private client services. Seb's advice was to upgrade the IT infrastructure and use a CRM system. The law firm explained they couldn't upgrade the IT system as the Will Writing software package they used only worked on old antiquated machines. Seb said he would find a suitable alternative and after searching for one and realising such a solution did not exist, he created one himself. WillSuite was released in 2015 and has established itself as the premier wills and lasting powers of attorney drafting solution on the market. In 2022 WillSuite joined the LEAP Legal Software family. LEAP are a global provider of legal software solutions, found in Australia over 30 years ago, LEAP opened offices in the UK in 2013. Since then, LEAP has continued to grow and dominate the UK sector with 1 in 3 law firms now using LEAP, and globally LEAP have offices in Australia, New Zealand, UK, Ireland, Canada and North America with over 60,000 legal professionals using LEAP everyday.	
1.10	Product background and suitability for the user:	Over 3,750 Wills and 2,500 LPAs are drafted through WillSuite each week such is the suitability and ease of use of the product. These weekly numbers have been rising greatly since inception in 2015 and remain on a strong trajectory. Since inception over 675,000 wills have been generated through WillSuite. WillSuite is supported through email and telephone support. Remote training is provided as part of the initial onboarding and can be requested at any time in the future. Our NPS survey conducted in June 23 saw us achieve a score of 50.9. In addition to the dynamically generated clauses, WillSuite users are permitted to alter the clauses and add new clauses, all of which is recorded through the tracked edit facility.	
1.11	Add-on modules:	Connect - client access portal TrustSuite - Trust creation	
1.12	Typical implementation [size]:	1 to 5	
1.13	Vertical applications:	Legal services marketing, specifically Wills, Lasting Power of Attorney and Estate Planning	
1.14	Server flatform and database:	SaaS Solution	
1.15	Client specification required:	An internet enabled device with access to a supported browser	
1.16	Partner network:	Yes. Amongst our partners are Institute of Professional Will Writers, Society of Will Writers, LEAP Legal Software, SOS (Solicitors Own Software), the University of Kent and Stripe	

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2.	**ISSUES AND CONCLUSION**			
Highlighted issues				
2.01	**There are a number of limitations in the product, which while not adversely impacting upon this evaluation may be of importance to some organisations. 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 certain requirements:**			
2.02	Findings for considerations by potential customers: (See vendor comments against the various Questions)			
*	The system does not integrate with Microsoft's Active Directory for single sign-on; but WillSuite report that this has been a deliberate decision so as not to become tied to one supplier's technology (Microsoft).			3.08
*	The system does not currently enforce password complexity.			3.14
*	It is not possible for a user to undertake "point in time" backups but daily backups of the whole platform are undertaken for disaster recovery purposes. However, the platform operator could restore a previous daily backup for a user if requested.			3.27-3.28 6.48, 6.50, 6.53
*	The system does not have an in-built report-writer, but does have flexibility in terms of displaying financial dashboards which can be drilled into.			4.30-4.35 6.85-6.87
*	Users cannot create saved searches /filters.			4.36, 5.14
*	Reports cannot be added to user menus as user-defined reports cannot be created and saved.			4.37
*	The system does not support the production of scheduled batch reports.			4.38
*	It is not possible to store preferences and default values on a per-user basis.			5.16
*	No service credits for failure to meet SLA.			5.33
*	WillSuite has a test environment but this is not offered to users to test software changes.			6.14 6.62-6.64
Evaluation conclusion				
2.03	For the specific use-cases in support of Will-related documentation production by professional advisors of all sizes, for which the product is designed, it is a solid and capable solution. It continues to be actively developed and enhanced. Members should be aware of the limitation of the solution as above, and fully understand the role that it can play in an engagement.			
Disclaimers				
2.04	Any organisation considering the purchase of this software should consider their requirements in the light of proposals from the software supplier or its dealers and potential suppliers of other similarly specified products. Whilst the contents of this document are presented in good faith, neither ICAEW, nor the ICAEW's Technical Manager (RSM UK Consulting LLP or any party nominated by the ICAEW to perform this role on the ICAEW's behalf) will accept liability for actions taken as a result of comments made herein. The decision to purchase software resides entirely with the organisation.			

Ref	Requirement	Vendor Response	Reviewer Comments
3.	ACCESS AND SECURITY		
Access control			
3.01	What security features are included to control access to the application?	Encrypted log in with optional 2FA (can be activated globally or by users) and forced regular password changes (can be activated globally). 2FA can either be via email or through an authenticator app	Noted
3.02	Can access to functions be managed via a permissions matrix so users can only see (in menus and other links) and access those areas they are authorised to access?	Yes, there are 13 sections that a users can be authorised for access. Without authorisations users are unable to access sections.	Confirmed
3.03	Is this access to the application managed by:- - Individual user profiles? - User groups or job roles?	Access is managed individually	Confirmed
3.04	Can a report be produced detailing all current users, their user groups if relevant, and their authority levels and/or access rights?	This information is visible under User Management	Confirmed
3.05	If menus can be tailored does the system limit the display of menu options to those for which permission has been granted for each user?	Yes	Confirmed
3.06	Does security allow for access to be limited to: - Read only? - Read/write? - Read/amend/delete?	Yes	Noted
3.07	If data can be accessed by separate reporting facilities, such as ODBC or an external report writer, is the user access security control applied?	This facility is not available	Noted
3.08	Does the system security integrate with Microsoft's Active Directory or other tools that provide a single sign-on?	No - WillSuite has been built to be entirely device and platform agnostic meaning an Apple Mac user using Gmail will find the system just as easy to implement and use as a Windows user using O365	Noted
3.09	Does the system provide 2-factor authentication (2FA)?	Yes	Confirmed
Passwords and access logs			
3.10	Is access to the software controlled by password?	Yes	Confirmed
3.11	Does each user have a separate log on (user id)?	Yes	Confirmed
3.12	If there is no password facility please state how confidentiality and accessibility control is maintained within the software?	N/A	-
3.13	Are passwords masked for any user logging in?	Yes	Confirmed
3.14	Is password complexity available and enforced?	Not at present. Minimum requirement is 6 chars	Noted
3.15	Are passwords encrypted?	Yes	Noted
3.16	Are users automatically logged off after a pre-set time not using the system? - Can the time period be changed? - Can any information be viewed without being logged in, including after logging off, if so what information?	Yes, they are logged off after 1 hrs of non-activity. This cannot be changed. To view information you must be logged in.	Noted
Deletion of transactions			
3.17	Is it possible to delete a transaction?	Yes, you can delete cases	Confirmed
3.18	If so, then how are deletions controlled by the system?	Access to delete transactions is security controlled.	Confirmed
3.19	Are deleted transactions retained in the audit trail (see below) and denoted as such?	We implement a soft delete though this is not visible to the user. The soft delete removes visibility of the data from the database and that data is then permanently deleted 30 days thereafter	Noted
Audit trails			
3.20	Does the system have an audit trail (log) which records all changes to transactions in the system?	All transactions within the application are audited via the case log. In addition, our tracked edit facility records all changes to clauses within a will. Our interaction log and pipeline log also provide auditing features	Confirmed; in the interaction log.
3.21	Does this log also record any system error messages and/or any security violations?	No	Noted
3.22	Is it possible to turn off or delete the audit trail?	No	Noted
3.23	Does the software allocate a system generated sequential unique reference number to each transaction in the audit log, date and time stamp it and record the user id?	Yes	Noted
3.24	Are all master file changes recorded in the audit trail?	Yes	Noted
Compliance			

Ref	Requirement	Vendor Response	Reviewer Comments
3.25	Does the system operate in a way that is compliant with data protection legislation including GDPR? How does the system facilitate this?	Section 2 of the Data Processing Agreement explains how the processing of personal data takes place in accordance with GDPR. https://willsuite.co.uk/data-processing	Noted. The DPA is at the bottom of the main web-site home page.
3.26	Describe your use of sub-processors if any?	Sub-processors are used to assist with management of our server environment, emails, payment gateway and bug reporting	Noted
Backup and recovery			
3.27	Is there a clear indication in the software or manuals as to how the data is backed-up and recovered?	This is covered in section 6 of the Security Policy and is as follows; 6.1. WillSuite's strict backup regime ensures customer data is backed up on point-in-time basis, supplemented by a further daily backup. 6.2. Before being purged; 6.2.1. Daily backups are held for a period of 16 days. 6.2.2. Weekly backups are held for a period of 8 weeks. 6.2.3. Monthly backups are held for a period of 3 months The full policy can be viewed at https://willsuite.co.uk/security-policy	Noted. This also linked at the bottom of the main web-site home page.
3.28	How often are backups taken and to what point can restores be done?	WillSuite's strict backup regime ensures customer data is backed up on an hourly basis. Before being purged; Hourly backups are held for a period of 7 days. Daily backups are held for a period of 16 days. Weekly backups are held for a period of 8 weeks. Monthly backups are held for a period of 3 months.	Noted. WillSuite do these. Clients cannot do their own separate backups.
3.29	How does the software facilitate recovery procedures in the event of software failure? (E.g. roll back to the last completed transaction).	As a hosted solution, backup recoveries are undertaken by WillSuite. Data can be restored to any point in time.	Noted
3.30	If software failure occurs part way through a batch or transaction, will the operator have to re-input the batch or only the transaction being input at the time of the failure?	Batch. This is only applicable when importing data	Noted. SQL's own data integrity will apply here too.
3.31	What features are available within the software to help track down processing problems?	All errors in the system are instantly recorded and sent to our development team.	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
4.	DATA PROCESSING AND REPORTING		
Input and validation of transactions			
4.01	Is data input controlled by self-explanatory menu options?	Yes. Using dynamic questionnaires data input screens only appears when required. Fields are supported by hints and tips to aid with completion of the fields.	Confirmed
4.02	Are these menus user/role-specific?	User specific	Confirmed
4.03	Can the creation or amendment of standing data (e.g. customer account details) be undertaken using menu options or dialogue boxes as opposed to requiring system configuration?	Yes, client and case data can be updated directly through the menu	Confirmed
4.04	Does the software provide input validation checks such as: - [account] code validation? - reasonableness limits? - validity checks?	Yes. Comprehensive validations checks are performed on each submission to ensure executors are appointed, that 100% of the residue is allocated and so on.	Confirmed
4.05	What control features are within the software to ensure completeness and accuracy of data input?	In addition to the use of data field controls, picklist and multiple picklists WillSuite also offers suggested input to assist with the accuracy of data input. One example of this is in the organ donation section whereby options for "I wish to donate all my organs except" are as follows "eyes", "eyes and heart" "eyes, heart and brain" as these are the most often required exceptions. Similarly when adding beneficiaries you are given options to select groups and the most often use groups are then made available such as "Children", "Grandchild", "Siblings" and so on. Upon completion of documents, error trapping is presented to warn the user of an items or areas that have not been completed that would invalidate the legality of the document	Noted
4.06	How does the software ensure uniqueness of the input transactions? (i.e. to avoid duplicate transactions)	Each case is given a unique File No and the simple searching facilities allows users to quickly access files that already exist. However, it would be reasonable to expect a returning client may have a new matter number assigned	Noted
4.07	Is data input by users validated by scripts or routines in the browser, or other client software, before transmission to the server?	Validation is done via the software before data is submitted to the database.	Noted
4.08	Is data input by users validated by routines running on the server before data files are updated?	Yes, database constraints avoid clashing of keys	Noted
4.09	Does the above validation ensure that data entered in all input boxes: - Cannot be longer than a maximum length? - Cannot contain unaccepted characters such as semi-colons etc?	Yes, server side data validation for relevant data input	Noted
4.10	Are responses to erroneous data input clear so that they do not lead to inappropriate actions?	Yes. Upon completion of a submission a validation note appears at the top of the screen in red that specifically details what must be corrected.	Confirmed
4.11	Does the software have an automatic facility to correct/reverse/delete transactions?	N/A	This is not an accounting system.
4.12	If yes, are these logged in the audit trail?	N/A	This is not an accounting system.
4.13	Are all data entries or file insertions and updates controlled to ensure that should part of a data entry fail the whole transaction fails?	Yes	Noted
4.14	Are messages provided to users clearly explaining whether the data entry or file upload has been processed successfully or not?	Yes. Users are notified of saved transactions	Confirmed
Import and export of data			
4.15	Can files/attachments be uploaded and stored against any transaction?	Yes	Confirmed
4.16	Is there an additional charge made for storage of uploaded files? - If yes, please indicate the cost.	No	Noted
4.17	Can data be imported into the system from multiple types of files, e.g. XLS, text, CSV?	Yes, client data can be inputted from a csv upload using the import feature.	Confirmed

Ref	Requirement	Vendor Response	Reviewer Comments
4.18	Explain how the system validates imports into the system and what happens to any import which fails?	The whole batch is validated and where a row fails the import the user is notified of the row in question. No records are imported until all records pass validation	Noted
4.19	Are imported /interfaced transactions detailed in the audit trail? *[See also 3.27]*	This data is recorded at database level but not visible to the end user	Noted
4.20	Can data be exported from all areas of the system to multiple formats e.g. XLS, CSV, PDF, text; if so specify which formats are supported?	We export data to CSV and documents and generated document in PDF	Confirmed
Data processing			
4.21	Does the software ensure that menu options or programs are executed in the correct sequence (e.g. outstanding transactions are processed before month end is run)?	The pipeline features, which can be built to suit a firms particular requirements does promote and prompt users to follow the predefined sequences.	Confirmed. This is essentially a workflow.
4.22	Does the software provide automatic recalculation, where appropriate, of data input? (e.g. VAT)	When questionnaires are amended, the output is automatically amended to reflect the changes made	Confirmed
4.23	Is a month/period-end routine required to be undertaken?	N/A	-
4.24	Is it possible to delete accounts if the balance if Nil but transactions have been recorded against the code?	N/A	-
4.25	What is the size and format of reference numbers and descriptions within:- - Ledgers? - Stock? - Currencies?	The only reference number used is the case reference number. This is automatically generated using the first four chars of the surname and a sequential four digit number thereafter.	Noted
4.26	How does the software guard against/warn about duplicate account numbers on set up?	User is notified case reference already exists and is prevented from saving the record until the case reference is altered.	Noted
4.27	How does the software enable the traceability [from, to and through the accounting records] of any source document or interfaced transaction?	N/A	-
4.28	What drill down/around functionality is available within the software?	N/A	-
4.29	If the software uses a lot of standing information which changes frequently or regularly, does the software allow for such changes to be effected through the use of parameters or tables?	N/A	-
Report writer			
4.30	Does the system have an in-built report generator or is a third-party solution used (if so please specify)?	Under case management, WillSuite allow users to export data to csv for reporting purposes. WillSuite does not have a report writer or a bolt in third party solution	Noted. Not a full report writer, but reports and letters can be generated by the platform.
4.31	Is the report writer based on a standard SQL-type approach and is it flexible and easy to use?	The facility is a simple export of raw data and allows for manipulation in the users chosen package	As above
4.32	Can the report generator operate over the financial and operational aspects of the system, e.g. combining service metrics with financial information?	N/A	-
4.33	Is a comprehensive data dictionary provided to aid field selection?	N/A	-
4.34	Does the system provide a library of reports and templates which can be amended, saved and re-run?	There are a number of standard feature options for reporting on usage of documents, invoices and matter creation. In addition the home page provides a dashboard giving year on year and month by month comparison of documents generated and matters created. A heat map provides a visual representation of your client base and an invoicing overview reports the financial position	Noted
4.35	Can users create their own reports? If so, what are the controls on users doing this?	No	Noted. Users can create their own templates and letters.
4.36	Can users create saved searches /filters / queries?	No	Noted
4.37	Can regular reports be added to user menus in the appropriate area of the system?	No	Noted
4.38	Does the system support the production of on demand (interactive) and scheduled batch reports?	No	Noted. Not a batch system.

Ref	Requirement	Vendor Response	Reviewer Comments
5.	USABILITY		
Ease of use			
5.01	Does the solution provide a multi-language user interface?	No, wills are currently restricted to England and Wales though we have plans to have Wills available for Scotland and Canada in the next 6 months	Noted
5.02	Does the system allow for customizable branding and UI (e.g. corporate colour palate, upload company logo, etc)?	Yes, logos can be uploaded to the site and all documents can be customised	Confirmed. Comprehensive customisation features.
5.03	Does the system have a similar look and feel and overall and consistency between screens and modules?	Yes, every efforts has been made to ensure the software has a consistent look and feel	Confirmed
5.04	Is data entry easily repeated if similar to previous entry?	Yes and through the use of the address books, persons that needs to be used multiple times are retained and can be selected rather than input again	Confirmed. Address books allow the selection of an individual; with all their details then being populated as required. Mirror documents allow streamlining of a second will-document based on one already created for a related party.
5.05	Does the software prevent access to a record while it is being updated?	No	Noted
5.06	Is there locking at file or record level?	No	Noted
5.07	Does the software allow for the running of reports whilst records are being updated?	Yes	Noted
5.08	Can timestamps or user comments be added to transactions?	Yes, the notes facility of the questionnaire allows users to add comments whilst working on the system.	Confirmed
5.09	Is there the ability to store preferences and default values on a per-user basis. e.g. department/team/user?	Yes, we can set the system so that each user in a company can customise their company settings. This allows them to customise the clause library, look of documents, and pipelines	Noted
5.10	Does the system have the ability to provide user-defined fields with associated validation of data input?	Yes, custom data fields can be created allowing users to retain additional information beyond the standards database fields	Confirmed. Flexible UDFs of different types are available.
5.11	Can the system provide user with reminders and notifications e.g. workflows?	Yes, the system has a pipeline feature which can be used at client or submission level	Confirmed
5.12	If the system provides workflows, does it have functionality to substitute/delegate authorisations?	Yes	As above
5.13	Is there the ability for users to define and configure layouts of letters and forms?	Yes. The letter templates enables users to create their own letters and merge data held within WillSuite	Confirmed
5.14	Can users save the parameters of searches?	No	Noted
5.15	Does the system have a "universal search" option, allowing a search to be undertaken over all modules of the system?	Yes	Confirmed; option is located at the top corner of the user's login landing page.
5.16	Can the system store menu option 'favourites' on a per user basis?	No	Noted
5.17	Can a user open multiple windows accessing the same or different modules of the system?	Yes	Confirmed
5.18	Can more than one software function be performed concurrently?	Yes	Noted
User documentation and training			
5.19	Is the manual provided as: - hard copy - on CD - by download - via a web-interface?	Our WillSuite help page provides access to relevant articles and to book training. https://willsuite.co.uk/help. Training can also be requested directly through the system. This function can be accessed under the support menu which also provides context sensitive support providing users with articles based on the keywords using in their support description. Support requests can be logged directly through the system. A library of video can also be accessed through the support menu	Noted

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5.20	Does the manual include: - An index or search facility? - A guide to basic functions of the software? - Pictures of screens and layouts? - Examples? - A tutorial section? - Details of any error messages and their meanings?	The support materials provided give the user various methods of obtaining and consuming the information they seek. Our combination of context sensitive searching, videos and downloadable guides and support call logging and feedback logging all from within the system ensures clients can navigate the system and report problems and the get the help they need with ease	Confirmed. A flexible keyword search is included as are easy links to training videos.
5.21	Is context-sensitive help available within the system?	Yes	Confirmed, as above
5.22	Is the manual and/or help editable by the user (subject to the permissions matrix)?	No	Noted
5.23	Will the Software House make the detailed program documentation (e.g. file definitions for third party links) available to the user, either directly or by deposit with a third party (ESCROW)?	Yes	Noted
5.24	Please detail the training options available?	Training can be provided remote or onsite (at cost). Training consists of the initial onboarding session and user training and can be supplemented at any time with additional bespoke training	Noted. This can be requested directly from within the system.
5.25	Who provides training: - Software House? - VAR?	WillSuite	Noted
Support and maintenance			
5.26	How is the software sold: - Direct from the software house? - Via a Value Added Reseller (VAR) or Integrator?	By WillSuite and through channel partnerships	Noted
5.27	How is the product supported: - Direct from the software house? - Via a Value Added Reseller (VAR) or Integrator?	Predominantly in house though occasionally calls may be dealt with by channel partners	Noted
5.28	Do VARs have to go through an accreditation process?	New VAR's will would be expected to undergo a training process and become certified	Noted
5.29	Is the software sold based upon number of named users or a number of concurrent users?	Named users	Noted
5.30	The supplier should detail the support cover options available, covering: - The hours provided? - Associated costs? - The global regions covered?	Support is provided from 09:00 - 17:00, Monday to Friday. Support is provided as part of the licence fee. All users are supported.	Noted
5.31	Detail the process by which customers raise support requests and how these can be viewed/managed?	Support calls are logged and recorded using our internal support ticketing system. Support requests are then dealt with on a first come first served basis. The most appropriate method of communication will be used whether this is a reply via or email or telephone	Noted
5.32	Please note the methods of support available: - Telephone? - Internet chat? - Remote access to customer workstation? - Other, please specify?	Support is provided via telephone, email or using the inpersonation feature within WillSuite.	Noted
5.33	Do you offer service credits for failure to meet performance around SLA and uptime (if applicable)	No	Noted
5.34	What is your escalation path for tickets which have not been resolved within a reasonable time?	Tickets are escalated from first line support to Operations Manager. If the matter cannot be resolved it is then referred to development and a final decision made and this information provided to the client. This will either be an impending fix or advice.	Noted
5.35	How often are general software enhancements provided?	Weekly updates are provided	Noted
5.36	Will they be given free of charge?	At present all service enhancement are provided free of charge	Noted
5.37	How are enhancements and bug fixes provided to customers?	System announcements are made informing the users	Noted
5.38	Is “hot line” support to assist with immediate problem solving available?	No	Noted
5.39	If so, is there an additional cost involved?	N/A	-
5.40	At what times will this support be available?	N/A	-
Integration and www facilities			

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5.41	Can the software be linked to other packages e.g. word processing, graphics, financial modelling, to provide alternative display and reporting facilities?	At present WillSuite integrates with LEAP Legal Software and SOS (Solicitors Own Software)	Noted. And Office365 integration too.
5.42	Can definable links to spreadsheets be created?	No	Noted
5.43	Does the system provide secure document storage capability: If so, please give examples of the document types saved and what transactions these might relate to.	Each case has an "Uploaded Files" area that users can upload documents relating to the case	Confirmed
5.44	Can documents be scanned into a secure repository?	Documents cannot be scanned directly but can be scanned locally and uploaded	Noted
5.45	Does the system provide data migration tools for transactional and master data sets (e.g. employees customers, suppliers, journals, invoices).	We are able to migrate the address book	Noted. This is not a n accounting system.
5.46	What connection mechanisms does the software have and what breadth of functionality in terms of: - operations (add, update, delete)? and - what transactions/data it can access? E.g. if webservices APIs available, then can customers connect to whatever software they wish?	WillSuite has a full API library available that we allow customers to work with if they choose. Clients are encouraged to contact WillSuite using info@willsuite.co.uk to obtain a copy of the APIs	Noted
5.47	Does the system support mobile working?	Yes, the system has been designed to be mobile responsive	Confirmed. The screen layout will automatically re-render based on the screen size available (and device used).

Ref	Requirement	Vendor Response	Reviewer Comments
6.	<u>SAAS/HOSTED OPERATION</u>		
	This evaluation covers the system but not the method by which it is delivered and/or contracted for. Potential users need to satisfy themselves on the security and disaster recovery aspects and licensing of the online system and any data protection issues of their own and customer/supplier information, contained therein, being held on the system, as well as the return of the data when the contract expires or is terminated.		
Data centres and customer data			
6.01	Whose data centres are used and where are these located: - If hosted -- where data centre controlled by a third-party? - If SaaS -- where the software vendor will be in control?	Digital Ocean for managed databases and AWS for file storage and back ups.	Noted
6.02	Does the customer get a choice of the jurisdiction in which their data resides?	No. As we expand globally Data Centres in each jurisdiction will be set up and users will be located and their geographically closest data centre used	Noted
6.03	What certification(s) do you or your platform operators hold relating to your data centres and your business operations?	https://www.digitalocean.com/security/ - https://aws.amazon.com/whitepapers/overview-of-security-processes/	Noted
6.04	Do you or your platform operator have an SSAE16 (System and Organization Controls) report available?	AWS and Digital Ocean both offer multiple control and organisation systems and reports to ensure the very best management of our infrastructure	Noted
6.05	What are the physical controls over the:- - Premises? - Fileservers? - Communications equipment?	These are managed by the data centre providers https://www.digitalocean.com/security/infrastructure-security#:~:text=Every%20DigitalOcean%20data%20center%20implements,systems%20and%20servers%20is%20restricted and https://aws.amazon.com/compliance/data-center/controls/.	Noted
6.06	Is the space in this/these data centre(s) shared with any other companies?	Yes	Noted
6.07	Is data for different customers/companies kept:- - On separate servers? - In different databases? - In separate database tables? - In a database with data for other customers and companies using logical security to partition customers' data?	Data for other customers are kept on different servers	Noted
6.08	How is it ensured that data for different customers and companies is reliably identifiable and only accessed by authorised users for each customer/company?	The application is multi tenanted and all data is scoped to authenticated users and segmented within the file system and database by their user and company GUID.	Noted
6.09	What controls are in place to prevent users from one customer/company accessing data from another customer/company by accident or by design?	As above	Noted
6.10	How is [Internet] communication traffic monitored to identify potential problems before they happen: - From a performance perspective? - From a security standpoint?	We implement data and server monitoring within all core services and the development team are notified of all issues which are automatically logged. From a security standpoint all servers have a firewall and automatic flag of potential exploit attempts such as XSS, RCE and SQL injection	Noted
6.11	What procedures are in place to prevent a break in Internet Connection (at the server, client or in between) from causing data corruption?	AWS has robust levels of redundancy to ensure access to the WillSuite is always operations. Internally we have our own backup and Disaster Recovery processes that we follow. Both AWS and Digital Ocean provide an uptime of 99.99%	Noted
6.12	Are communications between the user's computer and the software service encrypted: - User log in data only? - All data exchanged between user client and software service?	Yes, all data in encrypted in transit using SSL and backups are encrypted at rest in AWS	Noted
6.13	Is data on your servers encrypted at rest?	Yes	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.14	Is a test environment provided to test configuration changes? If so, is there an additional charge for this?	Yes, we do have a test configuration which is used for internal purposes and therefore no charges are made. AS a SaaS solution users do have access to a test environment however where we undertaking project work with clients we will make such an environment available	Noted
Access to customer data			
6.15	What are the implications of the Data Protection Act over information held by the hosting service provider, and how does the vendor mitigate these?	Our Data Processing Agreement details our Sub Processors in relation to responsibilities under the DPA. The DPA can be follow here - https://willsuite.co.uk/data-processing	Noted
6.16	Are you subject to any legal or regulatory requirements obliging you to retain a copy of customer data?	Not beyond our contractual terms	Noted
6.17	Who will be able to access or see customer data?	Only the customers themselves and vetted staff members.	Noted
6.18	Explain the procedures to prevent unauthorised access from staff, or contractors, working for the service provider or any other people with access to the service provider's internal systems.	Staff are provided with ongoing security training and their conditions of employment contains confidentiality sections relevant to the management of client data. Contractors will also be provided with training. All access to systems are monitored and audited. This helps ensure only relevant access is made available in line with the training that has taken place.	Noted
6.19	Explain the release management procedures in place and the associated segregation of duties ?	Any products changes are first tested in a staging environment and any code changes are peer reviewed by at least one peer. These changes are enforced through policy	Noted
6.20	Is there sufficient segregation of duties preventing system developers from accessing and changing live applications and data files?	Yes, the peer reviewed firstly ensures code is checked prior to release and released are agreed and elevated to the development manager. This way all updates are verified prior to release. Developers cannot release code without approval and that has not been peer reviewed	Noted
6.21	Explain the review and approval procedures covering system operations staff when emergency changes need to be made to live applications and data?	Escalated to most senior staff who would take responsibility	Noted
6.22	Is an audit trail always maintained of these emergency changes?	Yes, via incident reporting	Noted
6.23	What procedures are in place when members of staff leave to ensure that their system access is stopped?	All access users have individual SSH keys which are revoked upon leaving and accessing to live database is only available via a secure private network	Noted
Platform and service levels			
6.24	Which databases can be used (Hosted) or are used (SaaS)?	MySQL	Noted
6.25	What forms of user authentication are supported e.g. user names, passwords certificates, tokens etc.?	Username and passwords with ability to enforce 2FA via text or App based	Noted
6.26	What is the proposed product/service availability percentage?	99.99%	Noted
6.27	What percentage availability has been achieved over the past 12 months?	99.99%	Noted
6.28	Is a service level agreement ("SLA") offered regarding: - Service availability? - Data recovery?	Yes, as part of our data processing agreement	Noted
6.29	Is the service available 24x7 or are there downtime periods for maintenance?	Downtime is minimal and as detailed in our terms of service any agreement downtime occurs on a Sunday evening	Noted
6.30	Is the customer made aware of maintenance periods in advance?	Yes, this take place via in system notifications	Noted
6.31	Does the application software:- - Require any client software to be installed on the user's computer? - Work entirely within Internet Browser software on the user's computer?	The software works entirely within an internet browser	Noted
6.32	Where the product/service relies upon downloading and running an executable program, has that program been secured with a digital certificate to verify the source and integrity of the program?	N/A	-
Platform security			

Ref	Requirement	Vendor Response	Reviewer Comments
6.33	What security steps are taken to prevent and detect intrusion attempts?	All queries are produced via an ORM to sanitise user input. All third party packages are scanned against OWASPs published security vulnerabilities on a daily basis	Noted. (Use of an ORM tool can protect against SQL injection attacks).
6.34	Is firewall hardware and software used to protect the live systems from unauthorised access?	We have both application level and server level firewalls live and additional databases are protected and only accessible via a private network. Firewalls are managed by our Sub Contractors as part of our hosting arrangement	Noted
6.35	Which monitoring software is used to create alerts when intrusion attempts are suspected?	UFW, Cloudflare monitoring, and additional bespoke intrusion detection software. AWS provided additional security of data centre level as do Digital Ocean.	Noted
6.36	Are designated staff responsible for receiving and urgently responding to these alerts?	Yes, Lead Developer with escalation to CEO	Noted
6.37	Have clear procedures been established for identifying and responding to security incidents?	Yes, these are documented in our internal security policies, which were authored and reviewed by our CEO in line with our lead developer.	Noted
6.38	Is all security sensitive software, such as operating systems and databases, kept up to date with the latest software patches? Please indicate how regularly updates are applied.	Yes. We run a patch fortnight program	Noted
6.39	List the procedures and software tools in place to prevent or detect and eliminate interference from malicious code, such as viruses?	Servers are checked for security patches on a nightly basis. Automated application checks are ran against the PHP Security Advisories Database (https://security.sensiolabs.org/) every 24 hours. WillSuite are alerted if there are any packages included within the system which require action. WillSuite are notified when suspicious account activity is detected. In some cases access to the system may be automatically restricted until manual intervention by WillSuite employees.	Noted
6.40	Is a system log maintained by the service provider that details - User access? - User activity? - Error messages? - Security violations?	Yes, for all items listed	Noted
6.41	Is this log available to the customer?	No	Noted
6.42	Have there been any successful unauthorised access attempts been made during the last year? If Yes:- - What was the effect on the business and users? - What steps are in place to prevent this happening again?	No	Noted
6.43	Is penetration testing regularly carried out by (please indicate frequency of tests): - Staff specialising in this field? - External specialists?	Both AWS and Digital Ocean regularly undergo pen testing. At an application level this is something we have done and do in conjunction with our clients.	Noted.
6.44	If penetration testing by a specialist is not performed regularly, please indicate the main procedures in place to identify weaknesses?	As above	Noted
6.45	Are security procedures regularly reviewed? Please indicate frequency of reviews.	Yes, as part of quarter training and development meetings	Noted
6.46	What security reporting is provided demonstrating compliance against certification(s) and policy(ies)?	Monthly security checks are reviewed by the Leader Developer and CEO. Identified issues are then resolved in accordance with their severity and risk. Once a resolution has been distributed, testing is then carried out once again to ensure the issue has been resolved	Noted
6.47	Are any security breaches communicated to customers?	Since inception WillSuite have not had a security breach however should a breach occur in the future and where appropriate it would be communicated to customers. Of course if a breach were to lead to the loss of customers data it would also be reported to the ICO in accordance with the Data Protection Act. Section 4.5 on the WillSuite Data Processing Agreement specifically deals with this point	Noted
Backups by the service provider			

Ref	Requirement	Vendor Response	Reviewer Comments
6.48	In relation to backups undertaken by the system provider please explain: - How is a customer's data backed up? - How often is this undertaken? - What is backed up? - What's the media used? - Where are backups stored? - How many copies are there? - How long are they retained for? - Who has access to them? - Is the data encrypted?	WillSuite's strict backup regime ensures customer data is backed up on an hourly basis. Before being purged; Hourly backups are held for a period of 7 days. Daily backups are held for a period of 16 days. Weekly backups are held for a period of 8 weeks. Monthly backups are held for a period of 3 months. Backups are stored on Digital Oceans on hardware. All backups are encrypted	Noted
6.49	How frequently is a test-restore of backups undertaken?	Quarterly	Noted
6.50	Can the provider restore from a backups that it has taken at a customer request?	No	Noted. As the customer cannot request their own separate backups be undertaken.
6.51	Does a customer have the ability to undertake their own backups?	No. They can export the customer data though this is an export process and not a full database backup	Noted
6.52	If so, can a customer restore data a backup that they have taken?	A customer could import their data is exported as above	Noted. There's the full CSV export available.
Platform recovery			
6.53	What contingency plans are in place to enable a quick recovery from: - Database or application software corruption? - Hardware failure or theft? - Fire, flood and other disasters? - Communication failures?	Backup database and application servers are in place and can be manually activated when necessary.	Noted
6.54	How often are these plans tested?	Quarterly	Noted
6.55	How often are these plans reviewed and updated?	Quarterly	Noted
6.56	What are your: - Recovery Point Object (RPO) standards? - Recovery Time Objective (RTO) minimum standards?	RPO is 3 hours and RTO is 3 hours	Noted
6.57	If transaction records are dated and time stamped are the times used local to the user or based on where the server is located?	Server location	Noted
6.58	What protection is in place to enable users to able to access their accounting and other data if the service provider should experience serious difficulties, cease trading or decide to stop providing the service?	WillSuite joined the LEAP family in August 2022. In doing so, WillSuite became part of the large globe provide of legal software solutions and part of a large and robust group. Over 60,000 legal professional user LEAP world wide. The business is now part of a much large and stronger group and as such customers can rest assured knowing the service will be provided at all times	Noted
6.59	If the system is hosted are there arrangements in place for this third party to continue providing a hosting service in the short term to allow time for customers to negotiate their own arrangements? If so, how long does the arrangement allow?	As above	Noted
6.60	Are there any individual members of the vendor's staff whose leaving or illness would significantly reduce, or even stop, the service provider's ability to provide a full and reliable service to customers?	No	Noted
Platform change management			
6.61	Describe your approach to upgrades including what option customers have not to take upgrades (if any)?	The operations manager along with the lead developer will discuss all new features being added and where appropriate a beta process will be implemented giving access to a few chosen users to gather feedback ahead of total release. Beta programs are managed by the operations manager who reports their findings into the lead developer.	Noted
6.62	Are users able to test the application before new versions go into live use?	No, all new features are tested internally prior to release	Noted
6.63	Are users given notice before application changes are applied to the live system?	No	Noted
6.64	Are changes delivered into the live environment "switched off" to enable users to test them before enabling them for their environment?	No	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.65	Describe what testing and QA processes are undertaken before upgrades and other changes are made live/available to customers?	Automated testing, continuous integration and continuous deployment	Noted
6.66	If a hosted system, explain the release management procedures in place and the associated segregation of duties ?	As above	Noted
6.67	Are users informed when they next login of the application changes that have gone into live use?	Yes, where system announcements are published	Noted
6.68	Do customer staff have to take any action (e.g. regression testing) when new editions, patches or upgrades are released? If so, please describe what they should ordinarily do.	No	Noted
Subscription options			
6.69	What is the minimum level of commitment must the customer sign up to, e.g. 36 months?	Rolling monthly	Noted
6.70	Where online payment is used, what type of security is used to protect sensitive information?	All handled by Stripe with no billing details held on the WillSuite platform	Noted
6.71	Where online subscription / payment is used, is an invoice provided to the customer and, if so, in what format?	Yes, PDF Format via email	Noted
6.72	When subscriptions need to be renewed, what advance notice is provided and what is the time limit for renewal?	No notice required	Noted
6.73	Is there a procedure for late renewal and is there a time limit after which subscriptions cannot be renewed?	Yes, 2 weeks	Noted
6.74	How soon after creating or renewing a subscription (if applicable) can the system / service be used?	Yes, data is retained in read-only format for 2 weeks	Noted
6.75	What notifications / confirmations are provided to the customer regarding subscriptions and payments?	Email notifications and system notifications	Noted
6.76	To what extent are users able to access their accounting and other data if: - They miss one or two payments? - They cease being customers?	They have a grace period to access data and are notified by our support team	Noted
6.77	At the end of the contract term, how long does a customer have to obtain a copy of their data from you?	2 weeks	Noted
6.78	At the end of the contract term, how is a customer's data destroyed (if appropriate) and will that destruction be certified?	Details in data processing agreement	Noted
6.79	What is your processes regarding disposal of end-of-life and failed hardware devices that were used to operate your service?	Handled by Digital Ocean and AWS	Noted
SaaS/Hosted Reporting			
6.80	Are reports produced from the same software as the financial applications or is separate reporting software used?	It is a single database	Noted
6.81	Does any application software (i.e. other than a web browser or PDF reader) need to be installed on the user’s computer in order to prepare or view the reports?	No	Noted
6.82	What browser versions are support: - On desktop/laptop (PC, Mac, Linux)? - On Tablets? - On mobiles?	All up to date browsers across all operating platforms and devices	Noted
6.83	Is access to the reporting facilities and data controlled by the same procedures as access to the main application?	Yes	Noted
6.84	If it's different, explain the user access control facilities available to ensure information is only viewed by users with appropriate authority?	N/A	-
6.85	In what electronic formats are reports produced:- - PDF? - XML? - MS Excel spreadsheet? - CSV file? - As html for viewing in a web browser? - Other, please specify?	CSV	Noted
6.86	Are report documents stored on the web server or on the user’s computer? If stored on the web server, are they secure to ensure only users with appropriate authority can get access?	Users computer	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.87	For documents viewable in a browser is any data stored on the user's computer in a web browser cache or temporary file? If Yes: - Is there any protection against other users viewing the report or data on which it is based? - Is it clear on the reports when they were produced and the date of the data on which they are based, so the user can tell whether they are viewing out of date information?	No. Only where the documents is downloaded is it then stored on the users device	Noted
6.88	Are communications between the browser and the server encrypted for any report related communications?	Yes	Noted
6.89	If reports are produced dynamically each time the user views them can historical reports be reproduced at any time?	No	
6.90	Can reports viewable in a browser be navigated dynamically by users? For example: - Enabling drill down to more detailed information? - Altering which columns and rows of data are displayed. - Choosing time periods? - Specifying selection criteria?	Yes, using the filter options for Cases, Submissions, Invoices	Noted
6.91	Can report data be reliably copied and pasted direct from browser viewable reports to an MS Excel spreadsheet retaining any table layout?	Reports available in CSV format	Noted
6.92	If reports are incomplete, for instance due to a poor Internet connection, is sufficient information provided to enable the user to notice that some of the report is missing?	Reports are generated and then downloaded. Where the internet connect is poor the download can be queued to take place later	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
7.	**INTELLIGENT DOCUMENT SOFTWARE FOR WILLS**		
	Note that the phrase: "Firm" has been used for the Firm of Accountants having individual "Users" of the software, and "Client" has been used for the individual Client of the accounting Firm whose will is being prepared.		
Global configuration			
7.01	Does the system provide for the setup and maintenance of the details of the Firm which has Users using the software?	Yes	Confirmed
7.02	Are there restrictions on more than one User working on the same will "case" at the same time?	No	Confirmed
7.03	Are there restrictions on more than one User working on multiple will "cases" at the same time?	No	Confirmed
7.04	Does the system allow a User to use multiple devices, e.g. a desktop and a tablet?	Users can use multiple devices but not concurrently	Noted. A user can have as many windows as required open on a single device at any point in time.
7.05	Does the system provide a facility for auto-saving entries made into the system (e.g. answers to questions) during a User's editing session? If so: - Can the frequency of these auto-saves of a Questionnaire be manually set? - Can the User initiate a save manually? - Can a User roll back to a previous saved version?	Whilst there is no auto save facility users can initiate a save after each question has been answered. When a submission has been completed a record is retain and user can go back to any previously saved submission	Noted
7.06	Does the system provide the facility for off-line working, e.g. downloading a specific will template for editing away from the home/office/while? If so, please explain how this operates.	No. A user must have an internet connection to operate WillSuite	Confirmed
7.07	Does the system make use of global lists, e.g. Postcodes, asset types, lists of banks/building societies/charities? - If so, specify what is provided.	The system has a global address book, a clause library and a global charity register look up	Confirmed
7.08	Does the system have an audit trail that includes details of: - Changes to standing data (global lists)? - All manual entries/changes to inputs made by a User?	Yes	Confirmed
7.09	Does the software directly integrate with on-line software/services? If yes, please list the packages/services in the categories below and explain the method of integration (e.g. dedicated connector, webservices, etc): - HMRC? - Accounting software (e.g. Sage, QB, Xero)? - Tax software? - Pension software - Others, please specify?	The system integration with Stripe for sending out links to pay invoices. Lexis Nexis for AML and KYC checks	Noted
7.10	Does the system provide a portal to enable the exchange of information between the Client and their accounting Firm?	Yes, we refer to this as Connect.	Noted. This can be used to request details of individuals and assets. A link is sent via an email to a client. It's an extra service with an additional cost.
7.11	If yes, please clarify the level of security in relation to: - How authentication is managed? - Whether MFA is supported? - Is a secure [https:] connection provided? - Are login / inactivity timeouts enforced? - Are complex passwords required as well as the need for regular password changes?	Username and password Complex passwords are enforced. MFA is support Connect is via https Inactive sessions are timed out	Noted. The client is logging into WillSuite.
7.12	In relation to the Client portal (above) can the Client log into the portal at any time and update their details? Please provide details of any update facility provided.	They can only update the details they have been asked to amend	Noted. Only if they've had a request via Connect.
7.13	If yes, please explain how is their access restricted?	Connect provides a client with access to WillSuite though heavily reduced through permissions. What the user can do once logged in is then down to the connect request sent.	Noted
7.14	What end-user computing platforms are supported for access, e.g. Windows, Mac, iOS, Android? And what Internet Browsers are supported?	All supported platforms and all supported browsers; in mainline support.	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
7.15	What accessibility standards have been adhered to in the design of the portal?	As present we are undertaking a review of our code base to ensure we adhere to WCAG2 guidelines	Noted
Case and Client setup			
7.16	Does the system allow the User to create "cases", with associated details including: - The type of case (will, EPOT, etc)? - Reference number/code? - The associated Client (see below)? - Notes? - Any special considerations/warnings?	Yes, all of these features are available	Confirmed
7.17	Does the system provide for the setup and maintenance of the general details of the Individual for whom the case is being undertaken (e.g. the will prepared)? If so, does this include: - The individual's name? - Address? - Date and Place of Birth and nationality? - Status and category codes? - Next of kin? - Legal and financial advisors? - Executors and trustees? - Individuals with EPOT? - Free form notes? - Any other contact information, please specify?	Yes, the system provides for all of this information. The parties (executors and trustees for instance) vary depending on the questionnaire submitted. So for a Wills questionnaire you will be asked for the Testators, guardians, executors, trustees, beneficiaries whereas in a Lasting Power of attorney questionnaire you are asked for donors, attorneys, certificate, providers and notifiable persons. The address book allows for data to be reused across questionnaires. In addition the data listed to the left WillSuite also provides room for an 'alias' often used in Wills and LPAs The Estate Assets and Liabilities also allow users to capture additional data. This data can be completed by the client through Connect	Confirmed
7.18	Can the system record Client special needs, e.g. translator, capacity, and provide entry to capture any associated signoffs required?	Yes, the client notes area is a perfect place to retain this kind of information	Confirmed
7.19	Does the system allow the entry of supplementary information? - If yes can this be uploaded and held against the Client?	Yes, the CRM fields allow users to design their own fields and retain any data they see fit.	Confirmed. And has UDFs if required.
7.20	Can the system record the full range of products and services offered by the Firm to the Client? And if so, the products taken by the Client?	The system provides for a fixed set of questionnaires, those being Wills, Advanced Wills, Lasting Powers of Attorney and LPA exemptions, Notice of Severance and Letter of Wishes.	Noted. Within the confines of estate planning services.
7.21	Does the system allow cases to be linked?	No. As all questionnaires can be accessed through one matter we don't allow matters to be linked	Noted. But mirror documents are supported.
7.22	If yes: - Can the system automatically copy information from an associated case (e.g. a spouse's will) when required? - Can this be manually overridden?	N/A	See above
7.23	Can this linking be extended to assist in the creation of mirror documents where multiple Clients are directly related?	Mirror documents and copying LPAs are standard features available where two clients are enter into the client details together.	Confirmed
7.24	Does the system allow the User to store details of those who should be informed after their death?	The CRM fields can be used to retain this information	Confirmed
7.25	How do the User's beneficiaries gain secure access to the information during probate? How are passwords transferred to the beneficiary?	The beneficiaries will not be entitled to view the data or will the executors. The executors will be given a copy of the sign will and make their enquiries using that once a grant of probate has been awards. The executors may contact the Will drafter for further information which they would normally provide if appropriate	Noted
7.26	What happens to the User's digital information in case of a dispute to the will during probate? Who maintains access to their records at this time?	The data will remain with the Will Drafter. As the data is audited it cannot be deleted or amended. The Will Drafter can create a Larke vs Nugus request which is effectively an extract of all data pertaining to a case and provide this to the other side	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
7.27	Does the system have an audit trail that includes details of changes to: - Standing data (global lists)? - Libraries of case-Questionnaires? - Cases and the associated Clients, and will/will details entered (in answer to the Questionnaire)?	Yes	Confirmed
Dashboard			
7.28	Does the system incorporate dashboard functionality such that the current status of all the Clients and cases managed by the Firm can be presented to the User on a single screen, showing: - Progress of cases for each Client? - Progress / status of each case? - Ongoing cases? - Cases over time by case type? - Reminders/actions? - Other, please detail?	Yes, upon log on users are greeted with a screen displaying Customers created by month with a year on year comparison Documents created per month with a year on year comparison Client Heat Map List of recent cases Invoicing figures Activity log Pipeline Overview Case Pipeline by stage	Confirmed
7.29	If so, can the User navigate directly from the dashboard into the case?	Yes	Confirmed
7.30	Does the dashboard allow the case(s) to be filtered by: - Progress? - Status? - Client? - Date? - Other, please specify?	Cases can be accessed through these categories but there is not an additional filter option available.	Confirmed
7.31	Is there also a dashboard that shows the caseload invoice totals and payment status over time?	Yes, this is the pipeline and invoices	Confirmed
7.32	Is possible to set alerts/reminders/appointments from the dashboard, e.g. To regularly review case(s)?	No, this must be done at case level	Confirmed
7.33	If so, do these integrate with Microsoft Outlook?	When setting at case level you can integrate with Outlook	Noted
Case-questionnaires			
7.34	Does the system come with a library of standard will-related Questionnaires that can be applied to a new case?	Yes	Confirmed
7.35	If so, please list the number and type of the will Questionnaires provided, e.g.: - Wills - Lasting powers of attorney (LPOT) - Will-based trusts - Lifetime trusts - Letters of wishes - SEV forms - Other, please specify	Wills, Advanced Wills, Lasting Powers of Attorney LP1H and LP1H LPA exemptions LP120 Notice of Severance (SEV) Letter of Wishes In addition on Wills a full commentary, signing guide and letters to executors are created. On LPA matter a signing guide and document notifying persons (LP3) is also created. On all matters a full list of all questions asked and answer given is created. Within the Wills themselves users can create multiple Will trusts	Confirmed
7.36	Does a will Questionnaire include: - Workflow sections matching the will process? - Selections of questions within each of these sections? - Input forms for the collection of associated data required by the application? - Other settings, please specify?	The Questionnaire areas run vertically on the left hand side of the screen. Click into each section brings about different questions in the centre of the screen. Hints and Tips are displayed to the right of the screen. As questions are answers, based on those answers other questions appear dynamically.	Confirmed

Ref	Requirement	Vendor Response	Reviewer Comments
7.37	Explain the fundamental elements of the templates provided by the system. For example, are the following elements covered: - Variable Questionnaire structure - Intelligent workflow - Section dependencies - Legal text - Input areas - Associated information - Links to statute/legislation	WillSuite provides 7 questionnaires. Each create multiple documents. Questionnaires are all dynamic. They are set into a structure of areas on the left hand side of the screen, data entry in the middle and hints and tips on the right. Pipelines are our workflow engine that allows notifications to be sent automatically and at scheduled times. Section dependencies are controlled by the document type. For instance an Lasting Power of Attorney for Health and Welfare have a different set of section to a finance LPA. Legal text or clauses as we call them are all reviewed and updated by the WillSuite Legacy Advisory panel. Input areas appears on screen as questions are answered that require further input Associated information and Links to Statute are accessed via the hints and tips	Confirmed
7.38	Is there the ability to supress parts of the Questionnaire structure, workflow, and text?	Questionnaire structures are fixed whereas workflow and text can be supressed and amended to the clients requirements	Confirmed
7.39	If so, is this initiated automatically by: - Questionnaire type? - Client type? - On a per-Client basis? - Is there a manual override? - Can this be done by the User?	It is initially by selecting the appropriate Pipeline from which the automation flows.	Noted
7.40	Can a will Questionnaire itself be manually edited by the User? - To add new sections to the Questionnaire on a case? - To add in additional questions?	No, those additional clauses can be added to a Will once drafted and clauses can also be edited	Confirmed
7.41	Can a new will Questionnaire be created based on an existing Questionnaire, then manually amended?	Yes, this is called our Scenario feature allowing users to partially completed a recurring scenario and then load this as default when drafting wills of that type	Confirmed. This is a flexible feature.
7.42	Can the inbuilt Questionnaire workflow enable/disable [expose] specific question sets at input-time depending on answers provided to previous questions in a section of a Questionnaire?	Yes, this is the dynamic nature of the system and works across all appropriate areas	Confirmed
7.43	Can the inbuilt Questionnaire workflow enable/disable [expose] parts of the Questionnaire structure [sets of questions] *elsewhere* in the Questionnaire depending on answers provided to specific questions?	The questions only impact that specific section and do work across section. This was done by design to ensure all relevant data is captured at the same time.	Noted
7.44	Does the system support the use of intelligent pick-lists, i.e. only valid options are shown depending on the answers made in other areas of the Questionnaire?	Questions rather than the Question output are dynamically managed to ensure accurate data entry	Noted
Completing a questionnaire for a case			
7.45	Does the system allow the User to enter the Questionnaire workflow at pre-defined places (e.g. start of any section or to jump to any question), and if so how is workflow integrity ensured?	Yes. Upon saving validation checks are performed to check the integrity of the Will and information provided to the user	Confirmed
7.46	Does the system provide inbuilt guidance [help] to assist the User in completion of the various questions? - If so can the User edit this guidance text?	Yes though this guidance cannot be edited by the user	Confirmed
7.47	Can a question, associated help, and associated answer box be displayed side-by-side on the screen to aid easy completion?	Questions appear over the screen as a pop up though WillSuite can be open in multiple windows at the same time allow this to take place	Confirmed

Ref	Requirement	Vendor Response	Reviewer Comments
7.48	Does the system support different types of answers input depending on the question types? If so, does this include: - Selection or multi-selection? - Yes/no option? - Check boxes? - Radio buttons? - Text or numeric entry? - Date or date range entry? - Tabular data? - Free-form notes? - Other, please specify	Yes, they include Selection of multiple selection Yes/No option Radio buttons Text or numeric entry Check box Selection from Address book Free form notes Drawn signatures Charity look up	Confirmed
7.49	Can the system enforce the answer to questions (mandatory fields) with appropriate alerts to the User?	Yes, this is essential to ensure executors are specified and the legacies bequeathed total 100% of the estate	Confirmed
7.50	Does the system provide validation of User input? - If so please detail the validation types provided.	Charities can be validated against the charity lookup by name and registration number	Noted
7.51	Does the system allow subsequent amendment of individual entries, without the need to walkthrough complete sections of questions?	Yes, though this is done by going back to a section to make the amendment	Confirmed
7.52	Does the system provide: - A viewable answer history? - An audit trail of answers and changes to answers?	Yes, this is one of the documents provided. The system allows user to run multiple submissions each of which can be accessed for viewing later	Confirmed
7.53	Does the system retain data entries (answers), even if the workflow has changed and a specific question is no longer available to be answered because it is no longer exposed?	Yes. The previous submission is retained and the data is available there.	Noted
7.54	If so: - Can data entered still affect the workflow elsewhere? - If the question is subsequently enabled will the previous answer be displayed?	No. To view the old data you would need to revert to an earlier submission	Noted
7.55	As sections of a case and it's associated Questionnaire are completed, does the system automatically update the case's progress/status (e.g. Instructions, drafting, with client, approval, review, etc)? If so, can this be manually overwritten?	Yes. On the questionnaire this is a percentage shown in the top left hand corner. In terms of a matter, this is shown by the pipeline which can be manually updated	Confirmed
7.56	Once a case-Questionnaire has been completed does the system undertake any validation/check on what has been entered, e.g.: - That answers have not been omitted? - That related questions all have answers? - That any amounts entered are within reasonable bounds? - That gift amounts and any residue are consistent? - Other, please specify?	Yes. Appointment of Executors and Trustees are checked as is the total percentage of the estate bequeathed. Beyond that check is minimal as each estate can be different and therefore other areas of the questionnaire may be omitted purposefully so.	Confirmed
Supplementary information			
7.57	Does the system allow the User to upload documents as part of the answer to a question? If so: - Can files be uploaded from a User's workstation/device? - Can files be scanned/uploaded? - Does the system have embedded OCR capability?	Users can upload files to the uploaded files but not as part of a questionnaire. Files can be uploaded from a desktop	Confirmed
7.58	Does the system allow the entry of 'side-tables' of data? If so: - Do these calculate if numeric? - Can data be imported, e.g. Excel or simple cut/paste?	No	Noted
7.59	Can uploaded documents and/or side-tables be printed alongside and answers as part the reporting process (see later)?	All questions asked and answers given can be printed along with any notes you have made as part of giving those answers	Confirmed
7.60	Does the system provide a mechanism to store non-financial information such as National Insurance number, passport number etc?	Yes, this can be collected using the CRM fields	Confirmed
7.61	Does the system allow the entry of supplementary information aside from the information directly requested in the various questions in the case-Questionnaire, e.g. contracts, lists, spreadsheets? - If yes can these be: - Uploaded and held against the case? - Held against a specific question ?	Additional information can be uploaded to the case in any format in "uploaded files" and the CRM fields allow additional data to be captured against a case. Information cannot be uploaded against a question but the notes facility attached to every question allows for additional data to be entered against a question	Confirmed

Ref	Requirement	Vendor Response	Reviewer Comments
7.62	Does the system allow case-related documents added for a Client to be: - Shown as a list on-screen - The details viewed on-screen - Details to be printed out	Files are listed in the uploaded files screen and displayed by Title, Filename, Date Uploaded, Comments and Size. Users have the following options view download delete	Confirmed
7.63	Does the system incorporate a document library of standard case/will-related letters?	Yes, and the system allows users to enter their own document library	Confirmed
7.64	If so, can these letters automatically populate with client, associated contact, and address details held in the system?	Yes	Noted
Information relating to gifts			
7.65	Does the system contain functionality to record details of gifts to be made as part of a will?	Yes - there are areas for specific gifts, gifts of money and property gifts as part of the questionnaire	Confirmed
7.66	If so, does this include provision for: - When the gift is to be made (i.e. single or joint deaths) - The handling of tax? - The amount(s)? - Allowance for variation in value for indexation? - Any conditions? - Distribution [list] for recipients? - Other, please explain?	Yes, all of these are catered for as well as making the gift subject to a trust	Confirmed
7.67	Does the system contain a list of UK charities, for easy selection as a gift recipient?	Yes	Confirmed. With a live link for lookup.
Client invoicing			
7.68	Does the system provide routines within the system to enable a Client to be invoiced for the service provided by the Firm?	Yes	Confirmed
7.69	Are invoice totals recorded within the system and available for dashboard reporting?	Yes	Confirmed
7.70	Doe the system provide a list of historic invoices which can be drilled into to get to the details of a specific Client invoice?	Yes	Confirmed
Reports / Document production			
7.71	Does the system support dual screen functionality, such that the document being created can be shown on a display separate from the one being used to complete the Questionnaire/case?	Yes, this is achieved through the use of either multiple internet browser tabs or windows	Confirmed
7.72	Does the system provide a series of inbuilt reports that cover: - The basic detail of the case? - The various sections of the Questionnaire, together with the underlying questions and answers? - The final document (i.e. the will); - Any other reports/documents; please describe what is available.	Reporting is done by using the Filter Cases, Filter Submissions and Filter Invoice options. All Filter sets can be exported to Excel. Under Filter Cases you can using standard filters, CRM field filters, Case Pipeline Filters. Submissions display the Pipeline Step, when it was entered and the Submission type. Invoices show Date Sent, Data Due, Date Paid, Amount as well as the client details and invoice reference	Confirmed
7.73	Does the system allow drill through from a report into the underlying case and Questionnaire sections/questions?	Cases, questionnaires and actions can all be accessed through a drill down facility	Noted. As the clause output does not necessarily directly relate to a single question the drill through might not be possible or relevant.
7.74	Are all reports adequately titled and dated? e.g. report name, Client name, pages, numbers etc.	Reports are exported to excel and whilst appropriately titled and set out they do not contain page numbering	Confirmed
7.75	Can the User preview the draft and/or final document being created in real-time as they respond to the questions in the Plan?	Yes	Confirmed

Ref	Requirement	Vendor Response	Reviewer Comments
7.76	Does the system allow the layout of reports / documents to be customised: - Font? - Paragraph style? - Page format? - Watermark, e.g. "Draft"? - Firm's logo/graphic? - Other, please specify	Yes, in addition margins sizes, preferences for addressing parties in the first instances and subsequent instances, bold type on names are just a few of the additional customisation features available	Confirmed
7.77	If so, does the system allow graphics and/or Firm logos to be incorporated in the page formatting?	Yes	Confirmed. There are a very flexible set of document customisation options.
7.78	Can all reports be print previewed?	All reports viewed on screen before being exported	Confirmed
7.79	Does the reporting functionality have the facility to scroll up and down when output to screen?	Yes	Confirmed
7.80	Can reports be output directly to other formats e.g. Excel, CSV, txt, XML, PDF etc. for any period of time required? - If so, please state the formats supported.	Into CSV	Confirmed. Lists export to CSVs; final documents output to PDFs.