

The certification body of TÜV Informationstechnik GmbH
hereby awards this certificate to the company

AWG

Allgemeine Warenvertriebs-GmbH

Immanuel-Maier-Straße 2

73257 Köngen, Germany

to confirm that its document management solution

DMS-System

fulfils all applicable audit criteria for document management
solutions

AC-DMS, 3rd edition 2008

of VOI – Verband Organisations- und Informationssysteme e. V.

The requirements are summarized in the appendix to the
certificate.

The appendix is part of the certificate and consists of 5 pages.

The certificate is valid only in conjunction with the corresponding
evaluation report until 2015-10-31.



Certificate-Registration-No.:
TUVIT-DML9937.13

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Voluntary Validation

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Essen, 2013-11-15

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VOI voice of information

AC-DMS
is a criteria catalog of VOI
www.voi.de

Certificate

Certification System

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The certification body of TÜV Informationstechnik GmbH performs its certification on the basis of the following product certification system:

- German document: "Zertifizierungsschema für TÜVIT Trusted-Zertifikate der Zertifizierungsstelle TÜV Informationstechnik GmbH", version 1.0 as of 2010-05-18, TÜV Informationstechnik GmbH

Evaluation Report

- German document: "Prüfbericht – Dokumentenmanagementlösung (DML) - DMS-System" of AWG Allgemeine Warenvertriebs-GmbH, Version 1.2 as of 2013-10-21 TÜV Informationstechnik GmbH

Evaluation Requirements

- "AC-DMS – Audit Criteria for Document Management and Enterprise Content Management Solutions", 3rd edition 2008, Verband Organisations- und Informationssysteme e. V. (VOI), (corresponds to the German issue PK-DML, 3rd edition 2008)

The Evaluation Requirements are listed at the end. Not applicable requirements are printed in grey.

Evaluation Target

- Document Management Solution DMS-System der AWG Allgemeine Warenvertriebs-GmbH, operated in Köngen
- German document: "Verfahrensbeschreibung Dokumenten-Management-Lösung bei AWG ModeCenter", version 2.1 as of 2013-09-11, AWG Allgemeine Warenvertriebs-GmbH

Evaluation Result

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- All applicable AC-DMS evaluation requirements are fulfilled.
- The constraints and recommendations of the evaluation report have to be regarded.

Summary of the Evaluation Requirement

1 General description of area of use

- 1.1 Description of the organization
- 1.2 Location
- 1.3 Structural organization
- 1.4 Process organization

2 Logical system solution

- 2.1 Framework, tasks and guidelines
- 2.2 Description of organization
- 2.3 Document inventories
- 2.4 Processing rules
- 2.5 Destruction of paper and other original documents
- 2.6 Takeover of documents received in electronic form
- 2.7 Handling of e-mails
- 2.8 Electronic signatures

3 Technical system solution and migration

- 3.1 Storage systems
- 3.2 Recording systems
- 3.3 Output systems
- 3.4 Server hardware
- 3.5 Client hardware
- 3.6 Graphic representation of system
- 3.7 Server software
- 3.8 Client software
- 3.9 Special case: individual software
- 3.10 Interfaces
- 3.11 Network system description

3.12 Electronic signatures

3.13 Long-term availability and migration capacity

4 IT Security

4.1 General security concept

4.2 DMS-specific additions to the security concept

4.3 Backup concept

4.4 User administration and authorization concept

4.5 Access, entry and data access controls

4.6 Transaction, integrity and consistency security

4.7 Recording (protocols)

4.8 Security against failure

4.9 Data protection and control measures

5 Technical operation

5.1 Responsibilities

5.2 Prerequisites with respect to buildings

5.3 Operating conditions for hardware

5.4 Operating conditions for software

5.5 Data security

5.6 Handling of data carriers

5.7 Monitoring of orderly operation

5.8 Responsibility for maintenance and rectification of faults and disturbances

5.9 Preventive maintenance

5.10 Documentation of the maintenance processes

5.11 Rectification of faults and disturbances

5.12 Restart

5.13 Recovery

5.14 Updating of the hardware

5.15 Updating of the software

6 Processes

6.1 Digitization and takeover of paper documents

6.2 Destruction of paper originals following digitization

6.3 Original digital documents - takeover procedure

6.4 E-mail documents - takeover procedure

- 6.5 Takeover procedure for mass digital data
- 6.6 Takeover and checking of electronically signed documents
- 6.7 Indexing
- 6.8 Archiving
- 6.9 Search and access
- 6.10 Check-in / Check-out
- 6.11 Processing and assigning versions
- 6.12 Onward transfer
- 6.13 Reproduction
- 6.14 Deletion
- 6.15 Process documentation
- 6.16 Continuation of the Internal Control System (ICS)
- 6.17 Control and evaluation of the ICS

- 7 Employee qualification**
- 7.1 Roles
- 7.2 Necessary knowledge
- 7.3 Responsibilities
- 7.4 Qualification measures
- 7.5 Documentation of the qualifications and measures

- 8 Tests**
- 8.1 Test concept
- 8.2 Test plans and test rules and regulations
- 8.3 Test protocols

- 9 Outsourcing**
- 9.1 Performance and responsibility
- 9.2 Process documentation
- 9.3 Interfaces
- 9.4 Control

10 Internal control system (ICS)

- 10.1 Documentation of the organizational security measures
- 10.2 Documentation of the technical protection measures
- 10.3 Documentation of current changes
- 10.4 Revision of the ICS
- 10.5 Assignment of responsibilities