

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

**Abrechnungszentrum Emmendingen  
An der B3 Haus Nr. 6  
79312 Emmendingen, Germany**

to confirm that its Document Management Solution

**Digitalisierung und Archivierung**

fulfils all applicable audit criteria for document management  
solutions

**AC-DMS, 3<sup>rd</sup> 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 2015-06-30.



**Voluntary Validation**  
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Certificate-Registration-No.:  
TUVIT-DML9939.13

Essen, 2013-06-10

Dr. Christoph Sutter  
Head of Certification Body

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**VOI** voice of information

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

**Certificate**

## Certification System

TÜV<sup>®</sup>

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) - Digitalisierung und Archivierung" of Abrechnungszentrum Emmendingen, Version 1.2 as of 2013-06-05, 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 „Digitalisierung und Archivierung“ of Abrechnungszentrum Emmendingen, operated in Emmendingen
- German document: „Verfahrensdokumentation einer DMS-Teillösung Digitalisierung und Archivierung als Serviceleistung im Abrechnungszentrum Emmendingen“, version 2.3 as of 2013-02-19, Abrechnungszentrum Emmendingen

## Evaluation Result

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- All applicable AC-DMS evaluation requirements are fulfilled.
- The 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