

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

KOLDI GmbH & Co. KG
Conrad-Clauß-Straße 7a
09337 Hohenstein-Ernstthal
Germany

to confirm that its Document Management Solution

®KOLDI 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 4 pages.

The certificate is valid only in conjunction with the corresponding evaluation report until 2017-02-28.



Voluntary Validation
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Certificate-Registration-No.:
TUVIT-DML9945.15

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Essen, 2015-05-29

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[®]

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) - ®KOLDI System”, version 1.0 as of 2015-05-20 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. (VON) (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 “®KOLDI System” of KOLDI GmbH & Co. KG, operated in Hohenstein-Ernstthal
- German document: “Verfahrensdokumentation des ®KOLDI Systems”, version 5.0 as of 2015-03-07, KOLDI GmbH & Co. KG

Evaluation Result

- All applicable AC-DMS evaluation requirements are fulfilled.

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- 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

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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

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- 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

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