

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

**Bundesagentur für Arbeit  
Regensburger Straße 104  
90478 Nürnberg, Germany**

to confirm that its document management solution

**eAkte DMS**

fulfils all applicable audit criteria for document management  
solutions

**AC-DMS, 4<sup>th</sup> edition 2014**

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 evaluation  
report.



22  
Certificate valid until  
2022-04-02

Certificate ID: 9961.20  
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Essen, 2020-04-02

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Head of Certification Body

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

**Certificate**

## Certification Scheme

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

- German document: “Zertifizierungsprogramm (nicht akkreditierter Bereich) der Zertifizierungsstelle der TÜV Informationstechnik GmbH”, version 1.1 as of 2020-03-01, TÜV Informationstechnik GmbH

## Evaluation Report

- German document: “Prüfbericht – Dokumentenmanagementlösung (DML) – Dokumentenmanagementlösung eAkte DMS”, version 1.0 as of 2020-03-30, TÜV Informationstechnik GmbH

## Evaluation Requirements

- “AC-DMS – Audit Criteria for Electronic Document Management and Document Process Solutions”, 4th edition 2014, Verband Organisations- und Informationssysteme e. V. (VOI), (corresponds to the German issue PK-DML, 4<sup>th</sup> edition 2014)

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

## Evaluation Target

- “eAkte DMS” of Bundesagentur für Arbeit, operated in Nürnberg
- German document: “Verfahrensdokumentation für das IT-Verfahren E-Akte”, version 8.3 as of 2019-07-19, Bundesagentur für Arbeit

## Evaluation Result

- 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 organisation
- 1.2 Locations
- 1.3 Organisation structure

### **2 Task-related and inherently logical system solution**

- 2.1 Framework, tasks and guidelines
- 2.2 Description of the organisation
- 2.3 Document inventories
- 2.4 Digitization and taking over of paper documents
- 2.5 Destruction of paper and other original documents
- 2.6 Takeover of documents received in electronic form
- 2.7 Handling of documents with electronic signatures
- 2.8 Handling of emails
- 2.9 Takeover procedure for mass digital data
- 2.10 Indexing
- 2.11 Archiving
- 2.12 Search and access
- 2.13 Check-in / Check-out
- 2.14 Processing and assigning versions
- 2.15 Onward transfer
- 2.16 Reproduction
- 2.17 Deletion

### **3 Technical system solution**

- 3.1 Graphic representation of system
- 3.2 Storage systems
- 3.3 Recording systems
- 3.4 Output systems
- 3.5 Virtualisation
- 3.6 Server hardware
- 3.7 Client hardware
- 3.8 Server software
- 3.9 Client software
- 3.10 Special case: individual software
- 3.11 Interfaces
- 3.12 Network system description
- 3.13 Components for generation and processing of electronic signatures

### **4 IT Security**

- 4.1 General IT security concept
- 4.2 Specific requirements for the IT security concept
- 4.3 Backup concept
- 4.4 IT security / user administration and authorisation concept
- 4.5 Entry controls
- 4.6 Access and data access controls
- 4.7 Transaction, integrity and consistency security
- 4.8 Recording (protocols)
- 4.9 Security against failure
- 4.10 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 Long-term availability and migration**
- 6.1 Concept for long-term availability
- 6.2 Migration concept
- 6.3 Control
- 6.4 Performance of migration
- 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 Description of the ICS methods

10.2 Traceability of controls

10.3 Documentation of the organisational control measures

10.4 Documentation of the technical control measures

10.5 Process documentation

10.6 Control and evaluation of the ICS

10.7 Assignment of responsibilities