

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

Sita Bauelemente GmbH
Ferdinand-Braun-Straße 1
33378 Rheda-Wiedenbrück
Germany

to confirm that its document management solution

d.3ecm

fulfils all applicable audit criteria for document management
solutions

AC-DMS, 5th edition 2019

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.



Certificate validity:
2021-02-24 – 2023-02-24

Certificate ID: 9962.21

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Essen, 2021-02-24

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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, d.3ecm”, version 1.0 as of 2020-12-09, TÜV Informationstechnik GmbH

Evaluation Requirements

- “AC-DMS – Audit Criteria for Electronic Document Management and Document Process Solutions”, 5th edition 2019, Verband Organisations- und Informationssysteme e. V. (VOI), (corresponds to the German issue PK-DML, 5th edition 2019)

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

Evaluation Target

- “d.3ecm” of Sita Bauelemente GmbH, operated in Rheda-Wiedenbrück
- German document: “Verfahrensdokumentation: Archivierung mit d.3ecm für Sita Bauelemente GmbH”, version 1.2 as of 2020-02-15, Sita Bauelemente GmbH

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 Cloud management
- 3.14 Electronic signatures, seals and time stamps

4 Information Security

- 4.1 General information security concept
- 4.2 Specific requirements for the information 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 Qualification of employees**
 - 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