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

E-Akte-DMS

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.

AC-DMS

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Certificate ID: 9970.22

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Certificate validity:
2022-09-19 – 2024-09-19

Essen, 2022-09-19

Dr. Christoph Sutter
Head of Certification Body

TÜV Informationstechnik GmbH
TÜV NORD GROUP
Am TÜV 1
45307 Essen, Germany
www.tuvit.de

«VOI»

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

TO 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 – Re-Zertifizierung – PK-DML, E-Akte-DMS", version 1.0 as of 2022-09-12, 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

- "E-Akte-DMS" of Bundesagentur für Arbeit, operated in Nürnberg

- German document: "Verfahrensdokumentation für das IT-Verfahren E-Akte", version 14.0 as of 2022-09-06, 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 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 architecture 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

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