

# Certificate



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**

Certificate validity:  
2023-04-25 – 2025-04-25

to confirm that its document management solution

**d.3ecm**

fulfils all applicable requirements of the criteria for document management solutions

**AC-DMS, 5<sup>th</sup> 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 with the ID 9971.23 and consists of 6 pages.

Essen, 2024-04-26

Dr. Christoph Sutter, Head of Certification Body

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«VOI»

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

To Certificate



TÜVNORDGROUP

## Certification scheme

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

- German document: „Zertifizierungsprogramm (nicht akkreditierter Bereich) der Zertifizierungsstelle der TÜV Informationstechnik GmbH“, Version 1.1 vom 01.03.2020, TÜV Informationstechnik GmbH

## Evaluation report

- German document: “Evaluierungsbericht – Überwachungsevaluation – PKDML – Dokumentenmanagementlösung, d.3ecm”, Version 1.1 as of 2024-04-25, TÜV Informationstechnik GmbH

## Evaluation requirements

- “VOI AC-DMS – IT Compliance and Information Security, Audit criteria for electronic document management processes and associated IT solutions”, 5<sup>th</sup> revised edition 2019, VOI – Verband Organisations- und Informationssysteme e. V.

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

## Certification target

- The certification target is the document management solution “d.3ecm” of Sita Bauelemente GmbH operated in Rheda-Wiedenbrück.
- German document: “Verfahrensdokumentation Archivierung mit d.3ecm für Sita Bauelemente GmbH”, Version 1.9.2 as of 2024-03-28, 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 requirements

## AC-DMS Requirements

### **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 Digitisation 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 Editing 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 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/logs)
- 4.9 Safeguarding 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 backup
- 5.6 Handling of storage media
- 5.7 Monitoring of orderly operation
- 5.8 Responsibility for maintenance and troubleshooting
- 5.9 Preventive maintenance
- 5.10 Documentation of the maintenance processes
- 5.11 Troubleshooting
- 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 Services and responsibility

9.2 Process documentation

9.3 Interfaces

9.4 Control

## **10 Internal Control System (ICS)**

10.1 Description of the ICS method

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