

# Certificate

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

**AXA Group Operations SAS**  
**81 Rue Mstislav Rostropovitch**  
**75017 Paris, France**

to confirm that its document management solution

**CMX V2**

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 9968.22 und and consists of 6 pages.

The certificate is valid only in conjunction with the evaluation report.



Certificate validity:  
2022-11-24 – 2024-11-02

Essen, 2022-11-02

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 as of 2020-03-01, TÜV Informationstechnik GmbH

## Evaluation report

- “Audit Report – Initial Certification – AC-DMS – Document Management Solution, CMX V2”, version 2.0 as of 2022-10-17, TÜV Informationstechnik GmbH

## Evaluation requirements

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

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

## Evaluation target

The evaluation target is the “Content Management eXperience” of AXA Group Operations SAS, operated in Paris with the following process descriptions:

- “Content Management eXperience - Procedural document for ACDMS Certification - 1. General description of the area of use”, version 1.0 as of 2022-01-11, AXA Group Operations SAS
- “Content Management eXperience - Procedural document for ACDMS Certification - 2. Task-related and inherently logical”, version 1.3 as of 2022-08-25, AXA Group Operations SAS
- “Content Management eXperience - Procedural document for ACDMS Certification – 3. Technical Solution”, version 1.1 as of 2022-07-25, AXA Group Operations SAS
- “Content Management eXperience - Procedural document for ACDMS Certification – 4. Information security”, version 1.0 as of 2022-07-18, AXA Group Operations SAS
- “Content Management eXperience - Procedural document for ACDMS Certification – 5. Technical operation”, version 1.0 as of 2022-07-18, AXA Group Operations SAS

- “Content Management eXperience - Procedural document for ACDMS Certification – 6. Long-term availability”, version 1.1 as of 2022-08-25, AXA Group Operations SAS
- “Content Management eXperience - Procedural document for ACDMS Certification – 7-Employee qualification”, version 1.0 as of 2022-07-18, AXA Group Operations SAS
- “Content Management eXperience - Procedural document for ACDMS Certification – 08 -Tests”, version 1.0 as of 2022-07-18, AXA Group Operations SAS
- “Content Management eXperience - Procedural document for ACDMS Certification – 09. Outsourcing”, version 1.1 as of 2022-08-25, AXA Group Operations SAS
- “Content Management eXperience - Procedural document for ACDMS Certification – 10. Internal Control System”, version 1.0 as of 2022-08-25, AXA Group Operations SAS

## 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

### 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

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