

"AC-DMS ready" Certification Program Requirements V1.5

The "AC-DMS ready" certification program is used to test and certify software products for document management in companies and public institutions.

Evaluation requirements

The evaluation requirements to be applied are based on the following test catalog:

"VOI AC-DMS – IT compliance and information security. Audit criteria for digital document management processes and associated IT solutions", 5th revised edition 2019, VOI – Association of Organization and Information Systems e. V. in collaboration with TÜViT Informationstechnik GmbH | TÜV NORD GROUP.

The requirements for software products are less extensive than the complete test criteria framework of the "PK-DML", which is otherwise required for organizational and IT-related document management processes implemented in companies. The following criteria shown in *italics* are therefore only listed for the sake of completeness; however, these are not relevant for product certifications.

Summary of the evaluation requirements

Requirements according to the "AC-DMS ready" test procedure for product manufacturers

1 General description of the area of use

1.1 Description of the organization

As far as it is relevant for the user in relation to the software product and the guaranteed services.

1.2 Locations

As far as it is relevant for the user in relation to the software product and the guaranteed services.

1.3 *Organization structure*

No product manufacturer description required.

2 Task-related and inherently logical solution

- 2.1 Framework, tasks and guidelines
Intended use of the product, compliance with guidelines.
- 2.2 *Description of the organization*
No product manufacturer description required.
- 2.3 Document inventories
Description of functionality, if relevant or supported.
- 2.4 Digitization and taking over of paper documents
Description of functionality, if relevant or supported.
- 2.5 *Destruction of paper and other original documents*
No product manufacturer description required.
- 2.6 Takeover of documents received in electronic form
Description of functionality, if relevant or supported.
- 2.7 Handling of documents with electronic signatures
Description of functionality, if relevant or supported.
- 2.8 Handling of emails
Description of functionality, if relevant or supported.
- 2.9 Takeover procedure for mass digital data
Description of functionality, if relevant or supported.
- 2.10 Indexing
Description of functionality, if relevant or supported.
- 2.11 Archiving
Description of functionality.
- 2.12 Search and access
Description of functionality.
- 2.13 Check-in / Check-out
Description of functionality, if relevant or supported.
- 2.14 Editing and assigning versions
Description of functionality, if relevant or supported.
- 2.15 Onward transfer
Description of functionality, if relevant or supported.
- 2.16 Reproduction
Description of functionality, if relevant or supported.
- 2.17 Deletion
Description of functionality.

3 Technical solution

- 3.1 Graphic representation of system
Only relevant if the product consists of or requires different components.
- 3.2 Storage Systems
Description of the supported systems and the functionality implemented in each case.
- 3.3 Recording systems
Description of the supported recording systems and the functionality implemented in each case, if relevant.
- 3.4 Output systems
Description of the supported output systems and the functionality implemented in each case, if relevant.
- 3.5 Virtualisation
Description of the supported procedures and the functionality implemented in each case, if relevant.
- 3.6 Server hardware
Specification of requirements if separate server hardware is required.
- 3.7 Client hardware
Specification of requirements if separate client hardware is required.
- 3.8 Server software
Description of the server components of the product and possible adjustments (customizing), if relevant.
- 3.9 Client software
Description of the client components of the product and possible adjustments (customizing), if relevant.
- 3.10 Special case: individual software
Description relevant if essential functionality of the product depends on components that:
 - the creator created individually himself
 - the creator obtains from third parties or commissions them there
- 3.11 Interfaces
Description of the existing interfaces. In the context of IT security, this also includes interfaces that exist but are not used.
- 3.12 Network architecture description
Description of the requirements for network operation.
- 3.13 Cloud management
Description relevant if:
 - parts or the entire product can be operated via the manufacturer's clouds
 - functionality for cloud operation is implemented

- 3.14 Electronic signatures, seals and time stamps
Description of the supported procedures and the functionality implemented in each case, if relevant.

4 Information security

- 4.1 *General information security concept*
No manufacturer description required.
- 4.2 *Specific requirements for the information security concept*
No manufacturer description required.
- 4.3 Backup concept
Description of the functionality for creating backups / partial backups.
- 4.4 User administration and authorization concept
Description of the functionality for authorization control and administration of users.
- 4.5 *Entry controls*
No manufacturer description required.
- 4.6 *Access and data access controls*
No manufacturer description required.
- 4.7 Transaction, integrity and consistency security
Description of functionality.
- 4.8 Recording (protocols/logs)
Description of:
- System-inherent logging
- Individually adjustable protocol functionalities
- Protection options against subsequent changes (e.g. access only possible with the four-eye principle)
- 4.9 Safeguarding against failure
Description of functionality and services offered by the manufacturer.
- 4.10 *Data protection and control measures*
No manufacturer description required.

5 Technical operation

- 5.1 *Responsibilities*
No manufacturer description required.
- 5.2 Prerequisites with respect to buildings
Only relevant if these must be present for the product to function properly.
- 5.3 Operating conditions for hardware
Only relevant if these must be present for the product to function properly.

- 5.4 Operating conditions for software
Specification of prerequisites, if relevant.
- 5.5 *Data backup*
No manufacturer description required.
- 5.6 Handling of storage media
Only relevant if the product requires the use of special storage media.
- 5.7 Monitoring of orderly operation
Description of the functionality of how operations can be monitored.
- 5.8 *Responsibility for maintenance and troubleshooting*
No manufacturer description required.
- 5.9 *Preventive maintenance*
No manufacturer description required.
- 5.10 *Documentation of the maintenance processes*
No manufacturer description required.
- 5.11 Troubleshooting
Description of the services offered and functionalities within the scope of liability/maintenance.
- 5.12 Restart
Description of the requirements and procedure for a restart.
- 5.13 Recovery
Description of the requirements and procedure for recovering or resetting the product.
- 5.14 *Updating of the hardware*
No manufacturer description required.
- 5.15 Updating of the software
Description of how relevant updates (bug fixes, security updates) are brought to the user in an informed manner (e.g. option for online updates, information about relevant update requirements).

6 Long-term availability and migration

- 6.1 Concept for long-term availability
Description of functionality, if relevant. E.g. conversion into standardized long-term formats such as PDF/A or TIFF, especially considering that this can be configured and done automatically (e.g. with release, booking, etc. the documents and data are converted for long-term use). Changing or deleting it is then not possible. The processes are logged in an audit-proof manner by the system.
- 6.2 Migration concept
Description of how migration is possible and supported. It is clearly described which parts of the data storage are represented in proprietary formats and/or in standard formats.

6.3 *Control*
No manufacturer description required.

6.4 Performing a migration
Analogous to 6.1.

7 Qualification of employees

7.1 Roles
Description of the roles necessary to operate the product, if relevant.

7.2 Necessary knowledge
Description of the knowledge required for 7.1, if relevant.

7.3 *Responsibilities*
No manufacturer description required.

7.4 Qualification measures
Describe the training offered by the manufacturer, if available.

7.5 Documentation of the qualifications and measures
If 7.4 is relevant: certificates, confirmations of participation, etc.

8 Tests

8.1 Test concept
Description of the required tests that must be carried out by the user when introducing the product to check proper installation and functionality.

8.2 Test plans and test rules and regulations
Analogous to 8.1 Description of the required tests and the expected results.

8.3 *Test protocols*
No manufacturer description required.

9 Outsourcing

9.1 Services and responsibility
Only relevant if the creator himself outsources parts of his product and associated services and this affects legal framework conditions that a user must comply with (e.g. data protection, storage of documents and data abroad).

9.2 Procedural documentation
Relevant if 9.1 is applicable.

9.3 Interfaces
Relevant if 9.1 is applicable.

9.4 Control
Relevant if 9.1 applies. However, only the parts that are necessary for the verification of a user/customer.

10 Internal Control System (IKS)

10.1 Description of the ICS methods

No manufacturer description required.

10.2 Traceability of controls

No manufacturer description required.

10.3 Documentation of the organizational control measures

No manufacturer description required.

10.4 Documentation of the technical control measures

No manufacturer description required.

10.5 Process documentation

No manufacturer description required.

10.6 Control and evaluation of the ICS

No manufacturer description required.

10.7 Assignment of responsibilities

No manufacturer description required.

A precise specification of the criteria for VOI “AC-DMS ready” is contained in the following work:

“Audit Criteria for Digital Document Management Processes and Connected IT Solutions,” fully revised 5th edition, June 2019, 978-3-932898-29-7

available via the VOI under the following [LINK](#)