

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

**Hamburg Port Authority AÖR  
Neuer Wandrahm 4  
20457 Hamburg, Germany**

to confirm that its document management solution

**DMS-HPA**

fulfils all applicable audit criteria for document management solutions

**AC-DMS, 4<sup>th</sup> edition 2014**

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 ID: 9955.17

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Certificate valid until  
2019-06-30

Essen, 2017-06-23

Dr. Christoph Sutter  
Head of Certification Body

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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 1.0 as of 2015-08-24, TÜV Informationstechnik GmbH

## **Evaluation Report**

- German document: "Prüfbericht – Dokumentenmanagement-Lösung (DML) – Dokumentenmanagementlösung DMS-HPA der Hamburg Port Authority AöR", version 1.0 as of 2017-05-23, TÜV Informationstechnik GmbH

## **Evaluation Requirements**

- "AC-DMS – Audit Criteria for Electronic Document Management and Document Process Solutions", 4th edition 2014, Verband Organisations- und Informationssysteme e. V. (VOI), (corresponds to the German issue PK-DML, 4<sup>th</sup> edition 2014)

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

## **Evaluation Target**

- Document Management Solution "DMS-HPA" of Hamburg Port Authority AöR, operated in Hamburg
- German document: "DMS Verfahrensdokumentation", version 4.0 as of 2017-05-03, Hamburg Port Authority AöR

## 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. Components for generation and processing of electronic signatures

### **4. IT Security**

- 4.1. General IT security concept
- 4.2. Specific requirements for the IT 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. Employee qualification**
  - 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