

# NAID<sup>®</sup> Certification Application

## January 2008 (U.S. Applicants only)

Company Name: \_\_\_\_\_ Audit Contact: \_\_\_\_\_  
 Physical Address: \_\_\_\_\_ Unit/Ste: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Postal Code: \_\_\_\_\_  
 Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

**Profile Information**

Year Destruction Business Established: \_\_\_\_\_ Total Number of Access & Non-Access Individuals for this Location: \_\_\_\_\_

General Liability (Aggregate or Umbrella) Indemnification Level: \$ \_\_\_\_\_ million

Normal Hours of Operation: \_\_\_\_\_

No. Of Vehicles/Trucks in Fleet: Mobile Destruction/Shredding: \_\_\_\_\_ Collection Only: \_\_\_\_\_

Are any of your Destruction or Collection Vehicles stored at a location other than address above?

No  Yes, at the following address: \_\_\_\_\_

Typically, the First Truck of the Day is Dispatched at (Indicate time): \_\_\_\_\_

**Operation(s) Application is for:**

**MOBILE** – Commercial grade destruction equipment that processes within an enclosed and lockable vehicle (truck or trailer) located at or near the customer’s site.

*Do your destruction trucks & drivers service any of your other company locations?*

No  Yes - To Certify, please include all drivers on employee list and indicate location(s)

City & State: \_\_\_\_\_

**PLANT-BASED** – Commercial grade destruction equipment that conducts the entire destruction process within a secure building environment, including the staging, destruction, baling and storage of destroyed media.

*Other than information destruction, what other operations take place within the building (check all that apply)?*

None

Recycling (of unshredded paper)  Records Storage  Other (please indicate): \_\_\_\_\_

**Media Endorsement(s) for:** (Must check (apply for) at least one – See Definitions Page for descriptions of the media below)

**PAPER OR PRINTED MEDIA**

**MICRO MEDIA**

**Conventional COMPUTER HARD DRIVES**

**Application Fee (per site):** \$750 for Mobile or Plant-based Operation

\$850 for BOTH Mobile & Plant-based Operations

**Payment Info & Amount:** \$ \_\_\_\_\_

Enclosed Check (Payable to “NAID”) Check No.: \_\_\_\_\_

Mastercard  Visa  AmEx Card# \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ Expires (mo/yr): \_\_\_\_/\_\_\_\_

Name on Card: \_\_\_\_\_ Signature: \_\_\_\_\_

NAID Use Only			
New or Recert:	Auditor:		
Audit #: _____ - _____	Received: ____/____/____	DBS Updates: ____/____/____	Packet Sent: ____/____/____
Audit Appt.: ____/____/____	Auditor Rec: ____/____/____	CRB Approval: ____/____/____	Expires: ____/____/____
Funds given to controller: ____/____/____	Controller to Invoice: YES NO		

**Employment Information Disclaimer**

All organizations applying for NAID certification are expected to comply with any and all national, state, local, or other laws regarding the collection, maintenance and disclosure of employee information, and all laws regulating employment practices, in the jurisdiction governing the location for which the applicant company is applying for certification or does business. NAID is not responsible for the compliance of its individual certified members. Therefore, if the applicant company believes that anything in this Application or the audit process is, or may be, violative of any laws applicable to the applicant company, such company must notify NAID, concurrently with the submission of its Certification Application or during the audit, as applicable, of the practices or disclosures which are believed by the applying organization to be in conflict with or violative of any relevant laws. In addition, such notification must include a statement of and citation to the applicable law, code, ordinance or other legal authority. NAID will then analyze the law, code, ordinance or other legal authority to determine whether the applicant company may be exempted from the particular criteria, practice or disclosure. NAID will notify the applicant company in writing of such determination.

In addition, a particular requirement of this application, although permissible under applicable laws and regulations, may violate applicable laws and regulations if applied in an impermissible manner, particularly in regard to hiring and retention practices. You should consult your own legal counsel to determine whether your hiring and retention policies and practices comply with all applicable laws and regulations.

**Additional Required Materials:** (to be submitted with application)

- 1) **Access Individuals and Non-Access Individuals) list** - A list of all employees/individuals broken down by “Access Individuals” and “Non-Access Individuals” indicating title/position/responsibility (driver, owner, manager, processing, etc) and for “Non-Access Individuals” the reason the individuals have been classified this way. Also, the Applicant must indicate any employees who are not citizens of the employer’s country.  
(See the Definitions document for detailed descriptions of Access Individuals and Non-Access Individuals).
- 2) **List of Destruction and Collection Vehicles** – A List of all mobile information destruction and collection vehicles, including Vehicle make & model, VIN, License Plate Number and the State the vehicle is licensed in.
- 3) **List of Recipients of Destroyed Media** – List should include all companies receiving destroyed media from Applicant within the last year and ultimate responsible disposition of materials (pulping, incineration, smelting, etc.)
- 4) **Subcontractor list** (if applicable) – A list of all companies or agents used within the last year to subcontract any part of the information destruction process indicating what aspects of the process for which they are responsible and accept custody (See Definitions page)
- 5) **Special Consideration Letter** (only applicable for hardship or extreme circumstances) – Letter requesting a temporary or conditional qualification for a specific Certification criteria; Only considered under extreme or special circumstances, applicant must submit this written request (on company letterhead & signed by an official company representative) with their Certification Application. The letter must identify the specific criteria, detail the hardship or special circumstance for consideration, and state how the applicant will achieve the intent of the criteria given their circumstances. The Certification Review Board will review and respond to all requests.

**We agree with and are bound to the following:** (Please initial each item and sign on bottom)

- Our company is an active/franchise member of NAID in good standing and with no outstanding debt to the association. In order to gain or maintain NAID Certification, we must be a NAID member in good standing.
- Certification is optional and is not required for NAID membership.
- The application criteria are fair and objective and the owners of this company are in complete agreement with them.
- I have read and understand the NAID Certification Audit Methodology, which make clear what documentation, facilities and equipment I will be required to have available and immediately accessible to the auditor.
- Any failure to make accessible for inspection all documentation, facilities, and equipment on the date, time and location identified on Confidentiality Agreement (Appointment) Form may result in failure to be certified, forfeiture of the application fee, additional fees for the failures, re-auditing or other expenses, and/or require that we reapply if we want to pursue this credential. Also, failure to meet the criteria for the type(s) indicated on this application may be considered a failure of the audit.
- All application fees are non-refundable, except in the instance where the Auditor fails to conduct the audit on the date, time and location indicated on the confirmation of appointment form (Auditor Assignment & Confidentiality Agreement); and when, in such circumstance, the applicant decides to withdraw their application.
- The audit and any Certification achieved as a result are applicable to the operation location listed on the application. I may not apply any certification achieved through this audit to any other operations or locations owned by the company.
- I understand that our firm must reapply for certification on an annual basis, prior to the expiration of the current certification. If we choose not to reapply and/or not to submit to the required audit, we will lose our certification. Loss of certification will not affect our NAID membership.

- I will hold NAID, its agents and/or Certification Auditor harmless from any claim of damage or loss as a result of our firm's failure to achieve certification.
- I agree that the location for which I am seeking NAID Certification is certified for Micro Media destruction **only if**: 1) we indicated that the location possessed equipment which meets the required specification, 2) the equipment was inspected by the auditor at the time of the NAID Certification audit, and 3) the destruction is being performed at the operation (generally only at plant-based operations) which we are seeking Certification.
- I agree that the location for which I am seeking NAID Certification is certified for Computer Hard Drive destruction **only if**: 1) we have an established and published standard destruction method for physically destroying computer hard drives; 2) all customers have agreed to or have been notified in writing to these standard procedures or other specific procedures; 3) these standard procedures have demonstrated to the NAID Auditor during the NAID Certification audit of this location; and 4) this destruction is being performed at the operation (generally only at plant-based operations) which we are seeking Certification.
- I understand and agree that **if** we become Certified for our Mobile Operations, then we must always destroy while on or near the customer's premises. **If** we leave the site, we are no longer following the Mobile Certification standards and may be subject to review and investigation by the Certification Review Board.
- I understand and agree that **if** we are applying for Plant-based Operations, we currently have 90 days of CCTV recordings and will be able to produce them during the scheduled audit appointment. If we are unable to produce the 90 days of recordings at the audit appointment, we may be subject to a reaudit, including associated costs for this reaudit.
- I understand and agree that the specifications and fees for certification are subject to change at the discretion of the NAID Board of Directors.
- All of our employees are legally registered to work in our country and we have all necessary documentation to confirm this (*see the Employment Information Disclaimer*).
- I understand that I am responsible for ensuring that background checks of current and prospective employees and any use of consumer reports for employment purposes comply with the mandates of the Fair Credit Reporting Act, 15 U.S.C. 1681 et seq.
- I understand that random Unannounced Audits are part of the Certification Program. Only if asked and not a hardship, I will allow access to a NAID Certification Auditor for purposes of conducting such Unannounced Audits.
- We will not prosecute the NAID Certification Auditor for trespassing or any crime resulting from verifying the Certification criteria or testing access control of our vehicles, containers, &/or plant/building.
- At any time during the application, audit process or after Certified, I acknowledge that NAID, its agents &/or the Certification Auditor may investigate or require additional information or documentation from our company in order to verify information on this application or the Certification criteria.
- I understand that the NAID Auditor does NOT approve or deny our Certification. The Auditor's findings will be submitted to the NAID Certification Review Board for approval, determination of remedial or corrective actions and/or additional fees necessary to approve a Certification, or denial of application.
- I have 14 business days (as determined by the postmark) to submit to the Certification Review Board in writing any protest of the results of the audit. I understand that the dispute should clearly state the perceived reason of the failure to achieve certification and why the finding is incorrect. I understand that the Certification Review Board will rule on the dispute within one month from receiving it. I will accept the ruling of the Certification Review Board as final and I will seek no further remedy, legal or otherwise, except to reapply for certification at my discretion.
- I understand and agree that our company, including all of its employees and agents will refrain from any false or misleading claims, suggestions or references regarding NAID Certification, including by not limited to such claims used in advertising produced in advance and/or in anticipation of NAID Certification at some future date.
- If at any time during our audit process or Certification our Certification Application information or procedures change, we must notify NAID in writing within 60 days of this status change; such as a change in ownership, location move, or any information on page 1 of this application.
- I agree that if the location for which I am seeking NAID Certification is certified, the company's service paperwork includes customer acknowledgement, receipt or agreement regarding the specific service they are agreeing to receive. If the services rendered are not NAID Certified, the recipient of the services must be notified in writing that such service is NOT Certified. This notification should be contained on a materials receipt, certificate of destruction or another written agreement between service provider and recipient of services.
- I agree that if the location for which I am seeking NAID Certification is certified and at any time during our audit process or Certification we elect to discontinue any or all Certification operations or endorsements, we must notify NAID in writing within 30 days of this status change and concurrently notify all clients of the change.
- This application is truthful and accurately represents the daily operating procedures of the company. I understand that if any of our company representatives willfully deceive NAID or a Certification Auditor, my company could be immediately removed from NAID &/or our Certification revoked.

Company Name: \_\_\_\_\_

[ ] Indication of my initials above and my signature below acknowledges that I am an owner, corporate officer or official representative of the company submitting this application and that I have full authority to request this audit, with full knowledge of our operation to accurately complete the application, and the authority to execute this agreement.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Print Name: \_\_\_\_\_ Title: \_\_\_\_\_

Company: \_\_\_\_\_

	Initial	Criteria	Audit Methodology
<b>EMPLOYEE REQUIREMENTS</b>			
1.1	<p>Applicant Claims _____</p> <p>Auditor Verifies _____</p>	<p><b>All Access and Non-Access Individuals</b> must sign a Confidentiality Agreement and must be legally Registered to work at company.</p> <p><i>(See Employment Information Disclaimer.)</i></p>	<p><b>All Access and Non-Access Individuals' Files must contain the following documentation:</b></p> <ol style="list-style-type: none"> <li>1. <b>Confidentiality Agreement</b></li> <li>2. <b>I-9</b> or proper work permit/registration for persons hired after November 7, 1986</li> </ol> <p>In addition to the documents listed above, screening for <b>Access Individuals*</b> will include verification of:</p> <ol style="list-style-type: none"> <li>1. <b>Employment History Verification</b></li> <li>2. <b>Criminal Record Search</b></li> <li>3. <b>Drug Screening Results</b></li> </ol>
1.2	<p>Applicant Claims _____</p> <p>Auditor Verifies _____</p>	<p><b>Access Individuals</b> are subject to the employment screening restriction requirements of NAID Certification, including employment verification, criminal background check and initial employment drug-screening.</p> <p><i>(See Employment Information Disclaimer.)</i></p> <p>*Individuals who are officers, directors, owners and/or partners of the applicant company or other individuals who have access to, can grant or authorize access to the confidential media to be destroyed at the applicant's location but who are not engaged in the day-to-day operation of the applicant company are exempt from the employment verification and drug screening requirements.</p>	<p>In addition to the documents listed above, screening for <b>Access Individuals*</b> will include verification of:</p> <ol style="list-style-type: none"> <li>1. <b>Employment History Verification</b></li> <li>2. <b>Criminal Record Search</b></li> <li>3. <b>Drug Screening Results</b></li> </ol> <p>*Individuals who are officers, directors, owners and/or partners of the applicant company or other individuals who have access to, can grant or authorize access to the confidential media to be destroyed at the applicant's location but who are not engaged in the day-to-day operation of the applicant company are exempt from the employment verification and drug screening requirements.</p> <p>Based on the <b>Access Individual and Non-Access Individual List</b> submitted with the application, auditor will request evidence of the appropriate documentation in the individual files of this operation location as follows:</p> <p style="padding-left: 40px;">Where applicant company has 7 or fewer Access and/or Non-Access Individuals, auditor will request verification of applicable documentation for all Access and Non-Access Individuals.</p> <p style="text-align: center;">OR</p> <p style="padding-left: 40px;">If the applicant company has more than 7 Access and/or Non-Access Individuals, auditor will request verification of applicable documentation for a random sample, totaling 25% of the entire Access and Non-Access Individuals List, with a minimum of 7 individuals and a maximum of 15 individuals to be selected.</p> <p>When randomly selecting individuals' files, the Auditor should attempt to choose individuals from each category of Access Individual, i.e. driver, processor/sorter, driver helper, etc. Auditor to identify which files were checked so that these individuals' files may be exempted from the random selection process during future audits.</p> <p>If Auditor finds any missing documentation in representative sampling, he may request applicable documentation for additional Access and/or Non-Access Individuals. Auditor must inspect applicable documentation for all Non-Citizens and all Access owners and/or partners of company.</p> <p>A <b>Criminal Record Search</b> must be conducted for each place of residence and employment during the previous 7 years and obtained through a third-party background search service. <b>For all places in the U.S.</b>, both statewide and county-by-county searches must be conducted for any record searches conducted after July 1, 2005. Prior to that date, either statewide or county-by-county searches were acceptable. If both statewide and county searches are not available in a particular state, the applicant may do the one available and provide documentation to support the unavailability of the other.</p> <p>When searches are being conducted in <b>places outside of the U.S.</b> every effort should be made to have the searches done at a level comparable to the statewide and county-by-county searches done in the U.S.</p> <p>A <b>social security header search</b> must be conducted prior to the criminal background investigation to ensure all states and counties of residence and employment have been included (and verified) in the investigation. Prior to January 1, 2006, the Social Security Header search was not required for Certification.</p> <p>The criminal record search <b>must be current</b>, meaning that it was conducted within the <b>last seven years</b> from current date.</p> <p>No person subject to a felony conviction in the last seven years for any crime involving theft (of tangible or intangible property), fraud, burglary or larceny may be employed in a capacity where they may come in contact with confidential client information. This applies to all <b>Access Individuals</b>.</p> <p>The <b>employment screening</b> is applicable to all Access Individuals (other than those exempt from these requirements as mentioned above) regardless of length of service or pre-existing employment status. Access Individuals whose employment or relationship predates the implementation of NAID Certification policies, must be retroactively screened, and, if necessary, restricted from access to confidential media.</p>

	Initial	Criteria	Audit Methodology
1.3	Applicant Claims _____ Auditor Verifies _____	<p><b>Access Individuals</b>, other than those exempted from the drug screening requirements as discussed above, are monitored for drugs/substance abuse by one of the following methods (applicant to check the option used):</p> <p><input type="checkbox"/> Option #1: On a random basis, 50% of employees are drug-screened annually.</p> <p style="text-align: center;"><b>OR</b></p> <p><input type="checkbox"/> Option #2: The local management has been trained in a qualified (pre-approved by NAID) "Substance Abuse Recognition Awareness Program."</p> <p><i>(See Employment Information Disclaimer.)</i></p>	<p>Auditor will look to see evidence of the method indicated on application:</p> <p>Option #1: Invoices/results from drug testing lab for random sampling drug screening of 50% of employees</p> <p style="text-align: center;"><b>OR</b></p> <p>Option #2: Documentation showing Program approval from NAID and proof that on-site management has completed this Substance Abuse Recognition training within the last year.</p>
1.4	Applicant Claims _____ Auditor Verifies _____	<p>One-third of <b>Access Individuals</b> have been randomly selected and criminal record searches conducted annually.</p> <p><i>(See Employment Information Disclaimer.)</i></p>	<p>Auditor to see documentation from an outside agency or source which verifies that one-third of the Access Individuals have had criminal record searches annually .</p>
1.5	Applicant Claims _____ Auditor Verifies _____	<p>Drivers meet all licensing requirements of the governmental jurisdiction.</p> <p><i>(See Employment Information Disclaimer.)</i></p>	<p>The applicable law or regulation for commercial driver licenses will be made available and examined by the auditor. Auditor will request driver license verification, and any other items required by law (such as medical examinations) for all drivers listed on the Access and Non-Access Individuals List .</p>
<b>OPERATIONAL SECURITY</b>			
2.1	Applicant Claims _____ Auditor Verifies _____	<p>The firm has written policies and procedures for drivers and destruction processing employees.</p>	<p>Auditor to inspect copy of policies and procedures manuals</p>
2.2	Applicant Claims _____ Auditor Verifies _____	<p><b>Access Individuals</b> display picture ID badges at all times on duty.</p>	<p>Auditor to inspect employees present to see that all are wearing a photo I.D. badges.</p>
2.3	Applicant Claims _____ Auditor Verifies _____	<p>While at customer's location, drivers and other employees of contractor must wear a specific uniform (minimum of company shirt) to improve recognition by customers.</p>	<p>Auditor to inspect uniform of at least one driver and confirm that wearing a uniform is specified in policies and procedure manual(s).</p>
2.4	Applicant Claims _____ Auditor Verifies _____	<p>At time of media pick-up, customer must be provided with a receipt or certificate of destruction indicating type and quantity of media and an acknowledgement of the services rendered. If any of the services rendered are not NAID Certified, the recipient of the services must be notified in writing that said service(s) is NOT Certified. This notification should be contained on a materials receipt, certificate of destruction or another written agreement between service provider and recipient of services.</p>	<p>Auditor will inspect the company policies and procedures manual to insure that customer documentation process contains the requisite information and will inspect a copy or sample of the customer documentation.</p> <p><i>For Plant-based operation only:</i> .</p> <p>If a subcontractor is used for transport prior to destruction, the subcontractor must provide the customer and the applicant company with the customer receipt documentation. Auditor to verify documentation has been provided by the subcontractor and is being utilized by inspecting a copy of a past customer receipt.</p>

	Initial	Criteria	Audit Methodology
2.5	Applicant Claims _____ Auditor Verifies _____	All media are always attended by a company employee or physically secured from unauthorized access while in the custody of the destruction contractor before they are destroyed.	The auditor will verify that containers used in the field to transport confidential media from the client's facility to the destruction provider's vehicle have operable locks and are locked when unattended. Auditor will inspect the company policies and procedures manual to assure that custody of the media for destruction is addressed.  For Plant-based operations, Auditor will determine that there is a secured area designated for holding media when unattended until that media can be destroyed.
2.6	Applicant Claims _____ Auditor Verifies _____	All media are securely contained during transfer from customers' custody to transportation vehicle to prevent loss from wind or other atmospheric conditions.	Auditor to inspect collection equipment used by the contractor in the field to make sure it protects the media from loss due to wind, tipping/spillage or other atmospheric conditions.  If in the field, Auditor to check area around collection or destruction vehicle to verify it is free from loose information-bearing media.
2.7	Applicant Claims _____ Auditor Verifies _____	All vehicles used for transfer of client media will have the applicable government inspection for roadworthiness on file.	Auditor will review paperwork from the most recent inspection of all company's commercial vehicles within the time frame stated in the applicable state law regarding the nature and frequency of these inspections. If there is a jurisdiction, which does not require an inspection of commercial vehicles, auditor will require copy of government statement saying so. Three vehicle records will be checked.
2.8	Applicant Claims _____ Auditor Verifies _____	All vehicles used for transfer and/or destruction of client records (whether intact or destroyed) will have lockable cabs and lockable fully enclosed boxes. These vehicle cabs and boxes must be locked during transport and when unattended by Access Individual.  _____ Number of <b>Mobile Destruction/Shredding</b> Vehicles/Trucks in fleet  _____ Number of <b>Collection Only</b> Vehicles/Trucks in fleet	Auditor will inspect trucks made available by the company to verify that all cab doors and truck boxes are lockable and that locks work properly. Auditor will inspect the company policies and procedures manual to assure that vehicle cab and box locking is addressed.  <b>Note:</b> If there are 3 trucks or less in either separate category (Mobile Shredding and Collection Only), all trucks in each category must be made available for inspection. If there are 4 or more trucks in each category, 75% of the fleet in each category must be made available for inspection. If trucks are not made available, the company must provide written testimony that those trucks not presented for inspection are of equal or superior condition of roadworthiness and security. The testimony must be on company letterhead and signed by an officer of the company.
2.9	Applicant Claims _____ Auditor Verifies _____	All drivers of collection or destruction vehicles must have readily accessible two-way communication devices.  <b>Type of Device Used:</b> <input type="checkbox"/> Radio/CB <input type="checkbox"/> Cell Phone <input type="checkbox"/> Other (please indicate): _____	Auditor to verify each driver has the stated and operable two-way communication device with them or in the vehicle.
2.10	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<b>APPLIES TO MOBILE CERTIFICATION ONLY</b>  The company must perform mobile destruction services at the customer's site.	Auditor will verify that the company policies and procedures manual indicates that mobile destruction services must be performed at the customer's site, unless there is a written agreement stating otherwise.
2.11	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b>  Unauthorized access to the designated secure destruction area and client records is effectively prevented.	Auditor to inspect all entrances to see that unauthorized access to secured area is effectively preventable when media are not attended.  Auditor will verify that the company policies and procedures manual covers access control and unauthorized access interdiction measures.

	Initial	Criteria	Audit Methodology
2.12	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<p><i><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></i></p> <p>All visitors entering the secure destruction building sign a log with their name, time in, affiliation, and time out. Visitors must be issued a Visitor Badge and be escorted or under the supervision of an Access Employee at all times while in the plant. This log info/record must be maintained for one year.</p>	Auditor will examine visitor/contractor logs and verify records maintained for one year.
2.13	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<p><i><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></i></p> <p>There is a secure area within the building devoted only to destroying media. No baling of unshredded paper may take place in this area except cardboard.</p>	Auditor to inspect building to determine that secured area for information destruction exists and that no baling of unshredded paper is processed there.  If a secured area within the building is required, it must meet the following specifications: <ol style="list-style-type: none"> <li>1. There must be enough space within this area to stage all media to be destroyed.</li> <li>2. The wall or fence securing this area must be a minimum of six feet tall and have a lockable gate or door.</li> <li>3. If the wall or fence does not go all the way to the ceiling, then it must have a ceiling mounted sensor alarm inside and over the perimeter of the secure destruction area (or similar, suitable device) to detect if and when individuals have climbed over or come through a section of the secured area fence/wall.</li> </ol>
2.14	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<p><i><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></i></p> <p>There is a <u>monitored</u> alarm system in place and utilized when the secure destruction building is unoccupied.</p> <p>Monitoring Company:                      _____</p> <p>Individual Contacted at the Certified Company when alarms are set off/activated:                      _____</p>	Auditor is to inspect alarm system to make sure it is operational and examine alarm test reports &/or invoices from alarm monitoring service.
2.15	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<p><i><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></i></p> <p>There is a closed circuit camera system monitoring all access points into the secure destruction building/area and all processing activity with sufficient clarity to identify people and their activities.</p> <p><b>Recordings must be retained for 90 days in an organized, retrievable manner.</b></p>	Auditor to inspect the closed circuit monitoring system to meet criteria. This includes checking that the system has sufficient cameras and image quality to identify individuals and capture the full range of motion and all activities in the secure destruction process from point of entry into the building through final destruction, including any unauthorized access to the confidential information.  <b>CCTV playback must be available at the time of the scheduled audit.</b>  Auditor to inspect recording library system and to review four 4-minute samples: <ul style="list-style-type: none"> <li>• Two random samples during operational hours</li> <li>• One random sample during non-operational hours</li> <li>• One sample from the 90<sup>th</sup> day back from the current date</li> </ul> Recording of operations may be suspended for playback recordings.
2.16	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<p><i><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></i></p> <p>Operational Security systems are checked and maintained on a monthly basis and records must be kept for one year using the NAID-issued Form (or the information/content contained on it).</p>	Auditor to review the monthly Operational Security Maintenance Logs used to check, record and maintain the facility's operational security functions, including CCTV, Alarms, Lighting and Visitor Logs – records must be kept for one year.

	Initial	Criteria	Audit Methodology
<b>ENDORSEMENTS &amp; THE DESTRUCTION PROCESS</b>			
3.1	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<p><b>MEDIA ENDORSEMENT</b></p> <p><b>PAPER or PRINTED MEDIA</b> is destroyed by commercial grade destruction equipment with the following OEM specifications or produces particle sizes no larger than those listed below (applicant to check and complete details for all equipment used):</p> <p><input type="checkbox"/> <b>Continuous Shred:</b> Width (max): 5/8 inch &amp; Length: Indefinite</p> <p><input type="checkbox"/> <b>Cross Cut or Pierce &amp; Tear:</b> Width (max): 3/4 inch &amp; Length (max): 2.5 inches</p> <p><input type="checkbox"/> <b>Pulverizer, Disintegrator or Hammermill*</b> Screen Size (max): 2-inch diameter holes</p> <p><input type="checkbox"/> <b>Unspecified Equipment</b> Please describe the type of equipment and cutting mechanism specifications (screen hole size*, blade width, etc.): _____                      _____                      _____</p> <p>Mobile or Plant Equipment: _____                      Manufacturer: _____                      Model: _____                      Serial #: _____                      Capacity/Throughput (lbs/hr): _____                      Horsepower: _____</p> <p><input type="checkbox"/> <i>See attached form listing additional/all equipment information</i></p> <p><input type="checkbox"/> <b>Pulping or Incineration</b> (Plant-based only)</p> <p>Manufacturer: _____                      Model: _____                      Serial #: _____</p>	<p>Certified operations must always utilize commercial grade destruction equipment that meet the Certification specifications.</p> <p><b>CONTINUOUS SHRED, CROSS-CUT, PIERCE &amp; TEAR, PULVERIZER, DISINTEGRATOR &amp;/OR HAMMERMILL:</b>                      Auditor to verify the equipment in use to destroy paper media meets the specifications by:</p> <p style="padding-left: 40px;">Using the OEM specs listed on an invoice or spec sheet that matches the serial number on the equipment.</p> <p style="text-align: center;"><b>OR</b></p> <p style="padding-left: 40px;">Measuring the width of the cutters and/or screens</p> <p>Acceptable deviant tolerance: 1/16 inch</p> <p>Auditor to check that the resulting particles processed by the indicated equipment meet the requirements.</p> <p><b>UNSPECIFIED EQUIPMENT:</b></p> <ul style="list-style-type: none"> <li>• The auditor verifies the particles produced by the equipment are reasonably consistent with the OEM specifications for the equipment.</li> <li>• The auditor verifies that the equipment is conventionally regarded as commercial grade and is consistent with the description provided in this application.</li> <li>• The auditor verifies that the shredded particles are similar in size to those produced by any of the NAID specified destruction equipment (cross cut, pierce &amp; tear, pulverizer, etc.).</li> </ul> <p>*For destruction equipment with adjustable screens, the Certified location must have a NAID-issued Screen Changing Log (or the information/content contained on it) noting the starting point of the log and the pertinent information regarding any screen changes. A log must be kept on or near each machine, which includes mobile destruction logs being carried in the truck. Records must be maintained for one year. Auditor will review the log(s) during the audit.</p> <p><b>PULPING OR INCINERATION (PLANT-BASED ONLY)</b>                      In-House Pulping or Incineration must not require any Transfer of Custody:</p> <p>If the NAID Member seeking NAID Certification owns or leases the pulping or incineration equipment and building, and also does not transfer custody of media to a third party for transport or processing before media are pulped or incinerated, then the results of the pulping or incineration must effectively reduce the media to a size or condition that is unreadable and not reconstructible</p>
3.2	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<p><b>MEDIA ENDORSEMENT</b></p> <p><b>MICRO MEDIA DESTRUCTION</b></p> <p>The ability to destroy Micro Media is certified based on commercial grade destruction equipment or process which produces a particle size of 1/8 inch maximum dimension or less.</p> <p>Mobile or Plant Equipment: _____                      Manufacturer: _____                      Model: _____</p>	<p>Auditor will determine the applicant has equipment with an OEM cutter mechanism of 1/8 inch at its maximum cut dimension by:</p> <p style="padding-left: 40px;">Using the OEM specs listed on an invoice or spec sheet that matches the serial number on the equipment.</p> <p style="text-align: center;"><b>OR</b></p> <p style="padding-left: 40px;">Measuring the width of the cutters and/or screens</p> <p>Acceptable deviant tolerance: 1/16 inch.</p> <p>Auditor to check that the resulting particles processed by the equipment meet the requirements.</p>

	Initial	Criteria	Audit Methodology
3.3	Applicant Claims _____ <input type="checkbox"/> Not Claimed _____ Auditor Verifies _____ _____	<p><b>MEDIA ENDORSEMENT</b></p> <p><b>CONVENTIONAL COMPUTER HARD DRIVE DESTRUCTION</b></p> <p>The company has a written and verifiable process for the <b>physical</b> destruction (not wiping or overwriting) of conventional computer hard drives.</p> <p>Mobile or Plant-based Method: _____</p> <p>Method of Physical Destruction: _____</p> <p>_____</p>	<p>Auditor will review the company's written policies and procedures for their standard <b>physical</b> destruction (not wiping or overwriting) of computer hard drives. As part of their methodology, company must record the serial numbers of all hard drives or CPUs being destroyed for each client. Company must have provided clients with printed materials on their standard destruction procedures or have specific, written agreements with clients' specifying another method of destruction for their computer hard drives. During audit, company must show these written standards and any client agreements for alternative methods used and demonstrate their ability to conduct their standard, described method of computer hard drive destruction.</p>
3.4	Applicant Claims _____ <input type="checkbox"/> Not Claimed _____ Auditor Verifies _____ _____	<p><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></p> <p>Standard operating procedures states that the destruction of confidential media must take place within 3 business days, or the policies and procedures, the terms and conditions, and contracts used by the applicant must specify and reflect the actual time frame in which destruction is performed.</p> <p>Standard operating procedures state that destruction occurs within (indicate timeframe) _____.</p>	<p>Auditor will check procedures manual to assure that there is a procedure stated that all media are destroyed within requisite timeframe and verify the timeframe indicated by the applicant. Exceptions include acts of God, breakdowns or client instruction (or permission) to retain media for a longer period</p>
3.5	Applicant Claims _____ Auditor Verifies _____ _____	<p>Destruction process has a method of quality control in place to ensure destroyed information is within the stated standards for the specific media endorsements for which the company has applied.</p>	<p>Auditor will check procedures manual to assure that there is a regular quality control procedure in place for ensuring destroyed information are within stated standards.</p>
3.6	Applicant Claims _____ Auditor Verifies _____ _____	<p>Destroyed media must be disposed (sold, gifted, or discarded) in a responsible manner, which does NOT include any type of REUSE (for purposes such as animal bedding or packing materials).</p> <p>Applicant must attach a list of all current recipients (within past year) of destroyed media, indicating type of media and final disposition of materials by these recipients.</p>	<p>Auditor will review list of recipients and manner in which media are disposed subsequent to destruction and verify that company has written agreements or documentation in place to support stated responsible disposal, i.e. pulping, incineration, smelting, etc.</p> <p>Auditor to check waste receptacles and area directly outside of the information destruction building/area to see that no unshredded, confidential information has been deposited in waste receptacles or that no loose information-bearing materials are scattered around or near the destruction building.</p>

	Initial	Criteria	Audit Methodology
3.7	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____ _____	<p><b>TRANSFER OF CUSTODY (IF APPLICABLE)</b></p> <p>Transfer of custody is used for each as indicated (Check all that apply):</p> <p><input type="checkbox"/> Temporary Staffing</p> <p><input type="checkbox"/> Transportation (of media prior to destruction)</p> <p><input type="checkbox"/> Other (describe): _____</p>	<p>Auditor will review subcontractor list provided and discuss with applicant all transfer of custody scenarios claimed.</p> <p>In the event that there is a <b>Transfer of Custody</b>, or a transfer or extension of <b>Fiduciary Responsibility</b> (i.e., Subcontracting), the following policies are necessary for the Applicant's operation to be NAID Certified:</p> <ol style="list-style-type: none"> <li>1) All affected <b>clients</b> have explicitly indicated in writing that they <b>are fully aware of the process</b>; including                         <ol style="list-style-type: none"> <li>a) any eminent or potential transfer of custody and/or fiduciary responsibilities, including identifying the parties destined to accept custody</li> <li>b) the exact location of destruction</li> <li>c) the method of the destruction</li> </ol> </li> <li>2) All <b>Access Individuals</b> of all companies or agents in the chain of custody, including third party transporters, acknowledge in writing that they understand that all media with which they come in contact may be confidential, and accept the <b>fiduciary responsibility</b>. Copies of such agreements shall be on file at the offices of the NAID Members' offices.</li> <li>3) <b>All Access Employees and Individuals</b> in the subsequent chain of custody submits to the same background screening required for NAID Certification.</li> <li>4) All agents subsequently accepting custody of media must meet the current NAID Certification specifications for all applicable criteria.</li> </ol> <p>Documentation to verify above policies must be available at the Applicant's location. When a site visit is required for verification, Applicant assumes responsibility for any additional time/costs of the auditor and for making the necessary arrangements with the agent for the site visit.</p>
<b>COMPANY ASSURANCES</b>			
4.1	Applicant Claims _____ Auditor Verifies _____ _____	Company is a legally registered business in the state of residence.	Auditor to examine business license
4.2	Applicant Claims _____ Auditor Verifies _____ _____	General liability insurance (aggregate or umbrella) of \$2,000,000 or more.	Auditor to examine valid insurance documents, which could be a certificate of insurance or a letter from broker verifying coverage limits. Letter must be dated no earlier than one month prior to audit.

Upon completion of the application, please submit the entire application and additional required materials via

Fax: (602) 788-4144 (if paying by credit card)

OR

Mail: NAID, Certification Program, 3420 E. Shea Blvd. Suite #115, Phoenix, AZ 85028