

NAID® CERTIFICATION PROGRAM AUDIT PREPARATION CHECKLIST

The following checklist has been prepared to help you expedite a successful Certification audit. You should review this checklist at least one week prior to your scheduled audit to ensure all items are in place.

Items 1.1 through 1.5 – EMPLOYEE REQUIREMENTS

- All** employee files must contain completed **Confidentiality Agreements** and an **I-9 form** (or proper work permit/registration paperwork).
- All **ACCESS** employee files must contain an **Employment History Verification**, a **Criminal Record Search** (at least 7 years of history) and **Drug Screening Results**.*
- All employee files for **DRIVERS** must contain a copy of a **valid driver license** and/or commercial driver license and any additional items required by governmental jurisdiction for drivers.
- File containing documentation supporting **annual random Access employee criminal searches**.
- For the **annual Access employee drug/substance** monitoring:
 - Option 1 - Drug/Substance Screening on annual random basis, then a file containing documentation supporting the 50% annual random **ACCESS** employee drug testing should be available.

OR

- Option 2 – Drug/Substance Management Training, then a file containing proof of completed yearly management training should be in available.

**Individuals who are officers, directors, owners and/or partners of the applicant company or other individuals who have access to, can grant or authorized access to the confidential materials 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.*

Items 2.1 through 2.16 – OPERATIONAL SECURITY

- Policies and Procedures manual** for employees and drivers updated and accessible. Employee manual must include:
 - Stated media destruction timeframe(s)
 - Quality control procedures
 - Customer documentation process that includes customer acknowledgement, receipt or agreement of the specific services they have received (Sample of documentation must be available for the auditor)
 - Access controls and unauthorized access prohibiting measures (Plant-based operations)
 - The standard physical destruction method of computer hard drives (not wiping or overwriting), if applicable
- All **ACCESS** employees in possession of and utilizing **photo I.D. badges** while on duty.
- Company uniform** worn by required employees.
- Customers are provided with a receipt at the time of Media pickup, which includes the following:
 - Type of Media (Paper, Micro Media or Computer Hard Drives)
 - Quantity of Media
 - Acknowledgement of the services rendered
- Customers are notified in writing when they are provided a service that is NOT NAID Certified. This notification may be contained on a materials receipt, or another written agreement between the service provider and recipient of services.
- Containers used to transport confidential materials have operable locks. Locks must always be used when containers have confidential materials and are left unattended.
- Destruction and/or Collection vehicles protect material from loss due to wind, tipping/spillage or other atmospheric conditions.
- File containing most recent inspections of all commercial vehicles. Inspections must be within the timeframe stated in the applicable state laws.**
- The **required number of vehicles** to be inspected will be available on the day of audit. (Requirements are: Three or less in either category (mobile destruction or collection only), all vehicles must be available. Four or more vehicles in either category (mobile destruction or collection only), 75% of vehicles must be available.)***
- All vehicles used for transfer and/or destruction of client records have lockable cabs and lockable fully enclosed boxes. Locks must always be used during transport and when left unattended.
- Readily accessible, **operable two-way communication devices** for all drivers of collection or destruction vehicles.
- Waste receptacles are free from unshredded confidential materials and no loose information-bearing materials are scattered around destruction building/area.

AUDIT PREPARATION CHECKLIST

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IF APPLYING FOR PLANT-BASED OPERATION ENSURE THAT THESE ITEMS ARE IN PLACE:

- Visitor badges** are available. (All visitors must sign visitor log and must be escorted or under the supervision of an ACCESS individual at all times while in the plant.)
- Visitor logs** available for one year.
- A secured area designated is available for holding confidential materials when unattended until destroyed.
- A secured area devoted only to destroying media is available. (No baling of unshredded paper may take place in this area, except cardboard.)
- If the building is not devoted to only destroying media, then a **secured area** within building must meet these certification requirements:
 - Enough space within the area to stage all materials to be destroyed.
 - Wall or fence securing the area must be a minimum of 6ft tall. (If the wall or fence does NOT go all the way to the ceiling then the area MUST have a ceiling mounted sensor alarm inside and over the perimeter of the secured destruction area to detect breach of secured fence/wall.)
 - Wall or fence securing the area must have lockable gate or door.
- Monitored alarm system** in place and utilized when secure destruction building/area is unoccupied.
- Closed circuit camera system monitoring all access points into secure destruction building/area.
- Closed circuit camera system provides sufficient clarity to identify individuals and their activities.
- CCTV playback** available to auditor for **90 days** from date of audit.
- Operational Security Maintenance Check logs** available for one year.
 - Alarm, Lighting, Door Locks and Visitor Logs are checked on a monthly basis.
 - CCTV system is checked on a weekly basis, which includes a minimum five minutes of playback to ensure that the cameras and recording system is operating correctly.
- An ACCESS individual is available on the day of the audit to operate the CCTV equipment for the auditor.

***If there is a jurisdiction which does not require inspections, the file must contain proof of the government statement supporting this.*

****If all vehicles are not made available to auditor, the company must provide written testimony on company letterhead that those vehicles are of equal or superior condition or roadworthiness and security. The testimony must be signed by an officer or the company. The required number of vehicles though, must be available for the auditor*

Items 3.1 through 3.7 – ENDORSEMENTS & THE DESTRUCTION PROCESS

- APPLICABLE FOR PAPER OR PRINTED MEDIA ENDORSEMENT:**
Paper or Printed media destruction equipment produces particle sizes as follows:
 - Continuous Shred: Width (max): 5/8 inch & Length: Indefinite
 - Cross Cut or Pierce & Tear: Width (max): 3/4 inch & Length (max): 2.5 inches
 - Pulverized (Equipment with Screens)****: Screen Size (max): 2 inch diameter holes
- APPLICABLE FOR MICRO MEDIA ENDORSEMENT:**
Micro Media destruction equipment produces a particle size of 1/8 inch maximum or less.
- APPLICABLE FOR COMPUTER HARD DRIVE ENDORSEMENT:**
File containing recorded serial numbers of all hard drives or CPUs destroyed for each client and copies of the written standards/agreements for computer hard drive destruction for these clients.
- File containing documentation/agreements for the recipients of destroyed materials submitted on your Certification Application. The signed **Agreement for Responsible Disposal of Materials** (or customized document with similar wording) would be between you and your recipient indicating the type of media being destroyed and the final disposition of said media.
- IF APPLICABLE**, file containing supporting documentation for any **transfer of custody** scenarios. This would include subcontractor list, subcontractor agreements, client agreements and proof of meeting certification requirements.

****NAID® issued **SCREEN CHANGING LOGS** (or the information/content contained on it) must be kept for one year, for each piece of equipment, noting the screen changes.

Items 4.1 through 4.2 – COMPANY ASSURANCES

- File containing business license(s) and any other supporting documentation on business.
- File containing **valid proof of general liability insurance** (aggregate or umbrella) of **\$2,000,000.00** or more.

Note: The indicates sample forms that are available online at www.naidonline.org either under Forms or in the Members Only section on the Certification Program page.